

	and blood in populations with well-characterized fish consumption	samples (including laboratory assessment), especially in women of child-bearing age
Cadmium	1. Information on levels of urinary cadmium in rice-eating nations where rice grows in volcanic soil (China, Indonesia, Japan & Philippines)	1. Existing study to be identified OR community-based studies collecting human samples (including laboratory assessment)
Organophosphate pesticides	1. Incidence studies of acute organophosphate poisoning (by age and sex); 2. Diet studies assessing levels and types of OPs in food and intake;	1. Existing study to be identified OR retrospective cohort studies (incl. assessment of poison centre records) 2. Direct diet studies (including laboratory assessment of contamination)
Parasites (all studies)		
Intestinal protozoa (<i>G. lamblia</i> , <i>E. histolytica</i> , <i>Cryptosporidium</i>)	1. Incidence / prevalence studies at community level (by age and sex); 2. Proportion of patients with infections, who develop sequelae 3. Proportion of infections that are foodborne 4. Extent of co-morbidity between cryptosporidiosis and HIV infection	1-4. Review of all available literature and reports in country, and surveillance/lab data, cohort studies, population-based and lab-based studies 3. Expert elicitation at national level?
Toxoplasmosis	1. Incidence / prevalence studies at community level (by age and sex); 2. Proportion of patients with infections, who develop sequelae 3. Proportion of infections that are foodborne	1-4. Review of all available literature and reports in country, and surveillance/lab data, cohort studies, population-based and lab-based studies 3. Expert elicitation at national level?
Parasites (if relevant i.e. endemic within the country)		
<i>Fasciola hepatica</i>	1. Incidence / prevalence studies at community level (by age and sex); 2. Proportion of patients with infections, who develop sequelae 3. Proportion of infections that are foodborne 4. Extent of co-morbidity between fasciolosis and other parasitic infections	1-4. Review of available literature and reports in country 3. Expert elicitation at national level?
Alveolar echinococcosis	1. Hospital based incidence of AE in endemic countries 2. Population prevalence of AE in endemic	1. Review of hospital records / registers; 2. Review of available literature and reports on mass surveys 3. Cross sectional surveys? Expert elicitation?

	countries 3. Proportion of infection that is foodborne	
Cystic echinococcosis	1. Hospital based incidence of CE in endemic countries 2. Population prevalence of CE in endemic countries 3. Proportion of infection that is foodborne	1. Review of hospital records / registers; 2. Review of available literature and reports on mass surveys 3. Cross sectional surveys? Expert elicitation?
Cysticercosis	1. Incidence / prevalence studies at community level (humans and pigs; cysticercosis and taeniosis) 2. Hospital/slaughterhouse based incidence / prevalence of NCC/subcutaneous cysticercosis and porcine cysticercosis 3. Proportion of epilepsy cases with NCC (attribution?)	1. Review of available literature and reports on mass surveys; 2. Review of hospital (epilepsy/neuroimaging)/slaughterhouse records (porcine cysticercosis) / registers; 3. Cross sectional surveys?
Any other parasite XX of concern in the country	1. Hospital based incidence / prevalence of XX in endemic countries or incidence / prevalence studies at community level (by age and sex) 2. Population prevalence of XX in endemic countries 3. Proportion of infection that is foodborne	1. Hospital based incidence of XX in endemic countries or incidence studies at community level (by age and sex) 2. Population prevalence of XX in endemic countries 3. Proportion of infection that is foodborne
Enterics		
Bacterial toxin-based illnesses	1. Incidence of toxin-based outbreaks of gastroenteritis due to <i>C. perfringens</i> , <i>B. cereus</i> & <i>S. aureus</i> , to identify patterns of morbidity and mortality 2. Foodborne causes of toxin-based outbreaks in terms of specific food vehicles	1. Surveillance of foodborne disease outbreaks at country or sub-country level
<i>Clostridium botulinum</i>	1. Hospital based incidence of botulism in endemic countries (by age and sex) 2. Foodborne causes of botulism in terms of specific food vehicles	1. Review of hospital records in country 2. Literature review of incidence in country 3. Conduct surveillance of outbreaks to identify food vehicles
<i>Listeria monocytogenes</i>	1. Incidence from hospitalization records (by age, sex and	1. Review hospital records in country for listeriosis 2. Literature review of incidence and food contamination in country

	presentation)	
Hepatitis A	<ol style="list-style-type: none"> 1. Incidence from hospitalization records (by age and sex) 2. Proportion of infections that are foodborne 	<ol style="list-style-type: none"> 1. Review hospital records in country for hepatitis and related presentations 2. Conduct seroprevalence study, if not done 3. Literature review of incidence in country 4. Conduct surveillance of outbreaks to identify food vehicles
Norovirus	<ol style="list-style-type: none"> 1. Incidence studies at community level (by age and sex) 2. Proportion of norovirus infections that are foodborne 	<ol style="list-style-type: none"> 1. Microbiological study of detection of strains in faeces in either inpatient or community-based studies 2. Conduct surveillance of gastroenteritis outbreaks to identify proportion that is foodborne and potential vehicles of infection. 3. Expert elicitation at national level?
Enteric infections of concern in the country	<ol style="list-style-type: none"> 1. Incidence studies at community level (by age and sex) using a cohort study approach for enteric pathogens, such as <i>Vibrio</i> spp., <i>Campylobacter</i>, <i>Salmonella</i>, pathogenic <i>E. coli</i>, noroviruses, and rotaviruses. 2. Proportion of infections that are foodborne and specific food commodities causing illness 	<ol style="list-style-type: none"> 1. Microbiological study of detection of strains in faeces in either inpatient or community-based studies 2. Conduct surveillance of outbreaks to identify food vehicles 3. Expert elicitation at national level?

参考資料 5

FERG Situation Analyses Manual

**The Foodborne Disease Burden Epidemiology
Reference Group (FERG)
Situation Analyses Manual**
working draft 2
May 25, 2012



World Health Organization

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This manual was written by Sandy Campbell. Tanja Kuchenmüller and other FERG colleagues provided strong feedback throughout the writing process. All feedback to this manual should be addressed to: kuchenmullert@who.int.

1.0 Overview

This manual presents a menu of possibilities in conducting several different types of situation analyses. Recognizing the many knowledge gaps in food and food safety issues, this manual seeks to assist country teams in filling those gaps, with particular emphasis on increasing country-level knowledge of stakeholders, power dynamics, relationships, networks, and policy processes.

The manual is structured in nine different sections. The analysis tools are presented largely in theoretical terms; they are not definitive or prescriptive, and are for guidance purposes only. Teams may decide to combine aspects of different tools, deem some irrelevant, or employ other tools not discussed here. As this is a pilot exercise, the experience of the four participating country teams (Albania, Japan, Thailand and Uganda) are crucial to informing and shaping the eventual scale up of these analyses across the six WHO regions, and thus documenting the lessons and the processes arising from this work is imperative.¹

The unit of study for these analyses is the nation-state. The analyses are intended to capture the perspective of countries from the national level – more meta than micro, more oriented to the regional and global dynamics than the local. These analyses are designed above all to complement the accompanying country-based burden of foodborne disease studies, working to position these studies as comprehensive inputs to the wider policy-making processes within countries, regions and at the global level.

While many different approaches and tools have been outlined here, this manual is not designed to align a situation with a tool to magically produce a complete analysis. In every case, a good opening discussion and understanding of the situation – through collective, often facilitated brainstorming – will suggest the tools that should be used, typically in combination, and typically tailored to context, to arrive at a thorough analysis of the situation. This manual recommends the creation of participatory, multi-stakeholder, multi-disciplinary, multi-sectoral Task Forces to lead all analyses, and specifies in *Section Two* how countries may form these bodies.

This manual is a working draft, and will be finalized by May 2012.

1.1 The Three Situation Analyses

Country teams are expected to use or modify the tools and approaches described here to execute three separate yet connected situation analyses. These analyses will provide largely qualitative “snapshots” of complex and overlapping processes, allowing country teams to better understand the actors, dynamics, actions, structures and processes surrounding priority food safety issues and policies at a national level. While country teams may approach these three analyses separately, they are inherently connected and may each be done simultaneously, in combination, or tailored to match specific contexts and opportunities.

These analyses will assist each Task Force in producing:

¹ Monitoring and evaluation guidelines will be developed and distributed to country teams at the end of November, 2011.

- a peer-reviewed document analyzing the actors, context and dynamics of food safety within their particular country, how this has changed over time, and what prospects the future holds. This will also assess which stakeholders, structures and processes may support or impede changes towards evidence-informed policy and practice in food safety at the national level.
- a national-level strategy positioning foodborne disease-burden data as a comprehensive input into national policy-making. Such a strategy may take many different forms, from cabinet recommendations to an evidence-informed policy brief and deliberative dialogue to an op-ed piece.
- synthesis documents reflecting the Task Force's work in each of the three analyses. These may be published online as grey literature.
- evaluative reports reflecting experience, data and recommendations arising from the conduct of these situation analyses to better assist the programme's eventual scale up across all WHO regions.

Central to all analyses is the creation of a national-level Task Force with the necessary skills and perspectives to lead the work. While the Task Force may commission other groups or individuals to undertake some of the suggested tasks, a key recommendation for the formation and eventual operation of a Task Force is the use of brainstorming techniques. Sometimes facilitated, sometimes structured using different dialogue modalities, this brainstorming will provide much of the preliminary raw data that individual situation analysis tools can then review, evaluate, and add value to.

The first analysis is a **stakeholder analysis**, where the Task Force will work to understand the positions, interest, power and dynamics among global, regional and national stakeholders relevant to food and food safety. This should begin with facilitated brainstorming to define and describe the major actors, their positions vis-à-vis food safety, the dynamics among them, and their interests, capacities, power and influence in food and food safety policy-making. The manual contains several different stakeholder analysis tools that will assist Task Forces in this work.

The second analysis is designed to create a systematic overview and analysis of the **political context** of food and food safety, with respect to the global, regional, and national levels. While connected to the stakeholder analysis above, this is more intended to document the political and policy environment surrounding food and food safety issues. This may include: understanding the factors external to a country that affect national policy-makers and food safety policy processes (from international food safety bodies to foreign aid organizations); structural factors within the national food industry, from economic parameters (e.g. subsidies, food handling regulations) to unique political-social trends, customs and pressures (e.g. common hand-washing practices); the degree of integration of food safety strategies in the health system; and a general understanding of the domestic food safety system, its institutions and management system, operations and capacity, as well as the resources allocated to food safety.

The third and final analysis aims to sketch and assess **national policy processes** and mechanisms related to or affecting food safety, including food safety policy. While clearly connected to the first two analyses, this is a much more focused investigation of national processes and

mechanisms. This includes a description and analysis of all national policies relevant to food safety and how they have changed over time; how previous policy agendas related to food safety issues have been set, formulated, adopted, implemented and evaluated; and an analysis of current or future opportunities for influencing policy and policy processes with food safety research evidence. This last variable is critical in terms of understanding how knowledge can inform and influence change. Studying this variable must include attention to the ways and means stakeholders currently access research evidence on food safety; the overall capacities of policy-makers to access, assess, adopt and apply research evidence in food safety; the national-level mechanisms in place to encourage the sharing and dissemination of relevant research evidence;

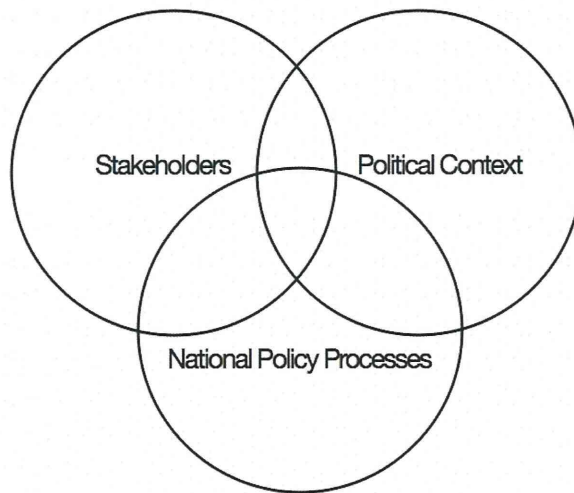


Diagram 1: Three Situation Analyses

and the individual and institutional obstacles to knowledge sharing, access and utilization.

1.2 Timing considerations

In light of the timeframe for completing the national burden of foodborne diseases study, it is hoped that country teams will complete this work by the end of May 2012. How country teams divide the work over this period depends on the context – some Task Forces will take longer on particular tools than others; some may use a skeleton set of tools, while others will find tools not described in this manual to be of use. WHO will provide limited technical assistance during this period to address any questions, challenges or problems individual teams may have, while also serving to connect focal individuals across the four pilot countries to encourage learning and collective problem solving.

Note that in light of timing considerations, and in recognition of resource limitations and constraints, this manual provides, at the end of *Sections Three, Four and Five*, a minimum set of tools required to complete each situation analysis. While this minimal approach is not the recommended one, it will certainly provide a fair baseline of understanding for each analysis.

2.0 Task Force Formation

Central to these analyses is the formation of a national Task Force. The Task Force will coordinate and/or undertake all analyses, commission the work where appropriate, promote the involvement of key stakeholders, and oversee the production of the final outputs. There are many different approaches for forming, appointing or electing a Task Force, but the composition of each should reflect a wide sample of national food safety and policy stakeholders. Members of the Task Force need to possess not only knowledge of the country's food safety context, but must also have the abilities and time to perform, manage and/or review these analyses.

Each Task Force should be composed of 5-10 members. As there is a limited timeframe to conduct these activities (2-6 months), it is suggested that the Task Force form its geographic base where the majority of its members are located. This may exclude some individuals deemed essential to the Task Force's operations, but as described in *Section 2.3.1* below, there are other means for adopting their perspective and expertise into the Task Force.

In some countries, there may already exist a legitimate and capable body or entity that could either become or oversee the creation of the Task Force. However, in other countries, *how* the Task Force is created, and who sits upon it, are critical variables. As these situation analyses are inherently political – with an end goal being eventual policy influence and an understanding of policy pathways relevant to foodborne disease data – caution must be applied in the creation of a Task Force. In order to ensure that every Task Force possesses the necessary skills (in food safety and in situation analysis) *and* the required political support and acceptance among all major stakeholders, this manual recommends countries follow a number of connected steps that will, in the end, create a participatory, multi-stakeholder, multi-disciplinary, multi-sectoral group incorporating a range of voices.² If this is done poorly or exclusively or arbitrarily, the abilities of the Task Force to execute its mandate may be strongly impaired, with any of its eventual recommendations perceived as biased, untrustworthy or incomplete.

Task Force Endorsement and Oversight

Given the clear political mandate of a Task Force – to discuss and analyze issues with obvious political, economic and/or cultural sensitivity – every Task Force requires deep political roots and support. And the higher the level of national endorsement the better. For instance, if a Minister of Health were to declare the need for such a Task Force, this would likely carry greater weight than the assertions of a mid-level ministry bureaucrat. As a non-binding, voluntary entity, its legitimacy is directly tied to this kind of endorsement and support. In terms of oversight, as the Task Force limits itself to providing recommendations for the way ahead, it may in fact require little active oversight. However, its operations and outputs should be evaluated upon conclusion, to document lessons learned if nothing else.

2.1 Step One: The Senior Advisory Team

Each country team likely already has a champion in food safety issues, and he or she may well be a participant in the FERG's foodborne disease study. Assuming a wide knowledge of the food safety arena in his/her country, this individual can begin the process by selecting three other individuals to jointly create a Senior Advisory Team (also called in other contexts a *Council of*

² These steps are an amalgam of those outlined in the priority-setting literature (see, for instance Campbell 2010), the deliberative dialogue literature (see McDonald, Bammer and Deane 2009), in Tuckman (1965), in programmatic decisions supported by international entities (see, for instance, UNICEF 2003), and in Dodge and Bennett (2011).

Elders). These four members should all be senior individuals with long experience in domestic food safety issues and processes; they should have experience in the public sector – at various

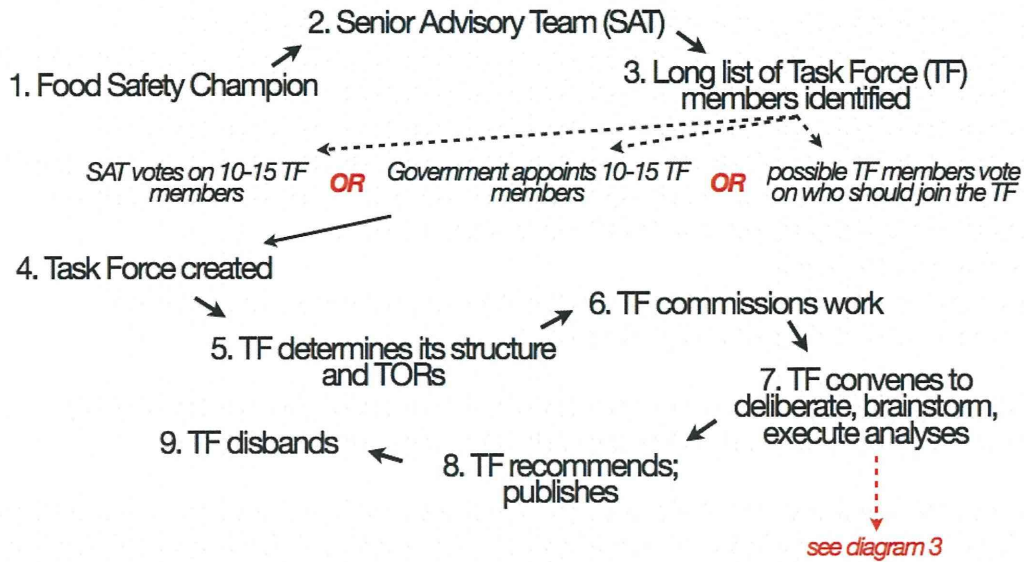


Diagram 2: Steps to complete the Situation Analyses

levels, domestic and international – civil society, and possibly the private sector.³ The role of this Senior Advisory Team is to brainstorm a long list of individuals who could be part of the Task Force. It must discuss and take into consideration a range of variables for each candidate, including: relevant experience in the area; food safety knowledge; potential situation analysis skills; educational background; realistic availability; gender; age; and sector of expertise (among others). Upon completion of this long list (which may indeed include members of the Senior Advisory Team), the Senior Advisory Team may vote on the possible members, with those 5-10 individuals receiving the most votes becoming members. Or, following discussion, they may arrive at a consensus on who should serve as members. A third alternative would be to submit the long list of individuals to the identified individuals themselves, explain the overall goal and processes of the analyses, and have them vote on who should participate as a member of the Task Force.

Possible Task Force Members
<ul style="list-style-type: none"> • environmental health officers involved in food safety assurance • federal, state, district government officials with responsibilities in health, agriculture and/or commerce (assuming routine interaction with food safety issues); this may include representatives from ministries of health, agriculture, commerce, etc. • members of non-governmental organizations involved in health action or food safety • representatives of consumer health groups • academics researching/teaching food safety issues

³ Importantly, there may already exist an in-country arrangement or group similar to this Senior Advisory Team or the Task Force itself. If that is the case, then this Team or Task Force could certainly proceed in its current composition.

- | |
|--|
| <ul style="list-style-type: none">• international individuals/experts relevant to the area• food industry representatives |
|--|

2.2 Step Two: Determining Task Force Structure and Terms of Reference

Each Task Force must arrive at an agreed-upon set of rules governing its operations. This should be discussed at the first meeting of the Task Force, with specific attention paid to:

- the overall intent, goals and specific activities expected of the Task Force.
- how the Task Force will operate over its lifetime, with attention to how meetings will be conducted; how tasks will be assigned; how outputs will be created, reviewed and finalized; how interaction with WHO will occur, and so on.
- electing a chairperson.
- how and which situation analysis tools will be used, by whom, and by when.
- how and when the Task Force will disband.

This will not, in all likelihood, require the creation of a Strategic Plan or other binding governance document, but these TORs should be discussed and agreed upon.

One key consideration every Task Force may wish to discuss from the outset concerns the kinds of activities it should commission to consultants or other experts. Following careful review of the three situation analyses, including how the country will approach each, the types of tasks the Task Force may wish to commission could include: literature reviews (covering peer-reviewed and grey literature) relevant to any of the analyses or to food safety-related issues in general; scoping exercises designed, for instance, to document all of the key players within food safety and their relevant activities (e.g. creating a “who’s who” type of directory); and desk research investigating the general policy context in food safety (e.g. reviewing a country’s history of policy-making in the area). Additionally, the Task Force may wish at this point to draw up a list of individuals who have the necessary expertise, seniority and objectivity to lead it through facilitated brainstorming dialogues, as brainstorming is central to its operations. Experience from many different contexts shows the value of facilitation in guiding and sharpening brainstorming processes.⁴

⁴ See, for instance, Isaksen 1998.

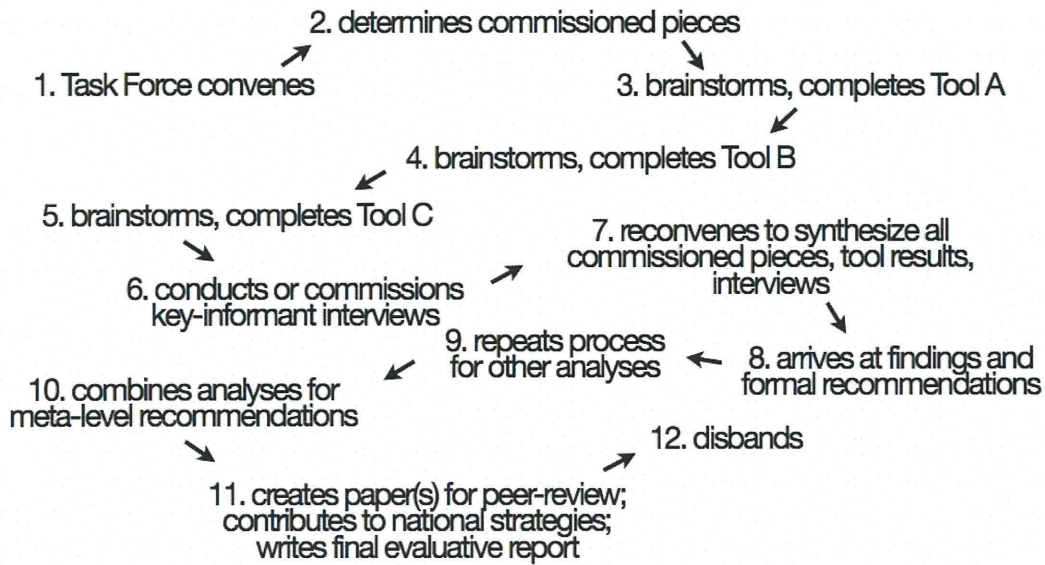


Diagram 3: Task Force Operations

2.3 Specific Task Force Dialogue Modalities

Given the participatory composition of the Task Force, and given the additional priority each Task Force must place on brainstorming techniques, the Task Force may wish to pay specific attention to different types of dialogues that will better allow it to brainstorm, discuss and analyze. Below are four different types of dialogue modalities designed to bring out and amplify all necessary voices; to weigh and assess competing opinions (without necessarily arriving at consensus); to incorporate and absorb specific pieces of expertise; to brainstorm from a distance; and to give individuals within the Task Force the ability to speak as individuals – and not as representatives of their institutions – without the specter of public attribution. There are certainly other techniques available to help guide deliberative dialogues (including the Delphi Model, the Nominal Group Technique, Consensus Conferences, etc.) and those interested should refer to the *Resources* section of this manual for more information.⁵

2.3.1 Expert Witness Panels

Once the Task Force has achieved some coherence – with clarity of purpose, of teamwork, and of the scope of the analyses – an expert witness panel may be able to provide key insights, particularly in the brainstorming processes that are essential to each analysis. Such a panel can usefully incorporate the voices of individuals who have specific insights but who, because of time constraints, geographical limits, or institutional/personal conflicts, cannot or should not serve on the Task Force. To convene an expert witness panel, the Task Force:

- brainstorms the names of various experts relevant to their discussions
- invites a select number of experts to come to a Task Force meeting

⁵ see in particular McDonald, Bammer and Deane (2009).

- formally interviews those experts during that meeting (as opposed to listening passively to an expert presentation on what the expert believes is important).⁶

Following all expert witness interviews, the Task Force summarizes and synthesizes their input and uses these insights to assist its brainstorming or decision-making processes.

2.3.2 *The Chatham House Rule*

This technique can be added to any Task Force meeting or dialogue. Long used in political settings, this rule assures those present that nothing will be attributed, thus opening up discussion to areas that some may deem sensitive, or may be hesitant to comment on for fear of misrepresenting or exposing an institution. Under the Chatham House Rule, “speakers are free to voice their own opinions, without concern for their personal reputation or their official duties and affiliations. The Chatham House Rule resolves a boundary problem faced by many communities of practice, in that it permits acknowledgment of the community or conversation, while protecting the freedom of interaction that is necessary for the community to carry out its conversations... The success of the rule may depend upon it being considered morally binding, particularly in circumstances where a failure to comply with the rule may not result in sanction. Sometimes the rule is half-jokingly summarized as, ‘You may be quoted, but you cannot be fired.’”⁷

2.3.3 *Visualization in Participatory Planning*

Visualization in Participatory Planning (VIPP) is another useful dialogue tool, though one that depends upon expert facilitation and sufficient time. VIPP works to understand and expose group dynamics through diagrams, cards and photographs to express central ideas, with the “less talkative” participants able to express themselves, and the group arriving at various degrees of consensus. For a Task Force that is having difficulty navigating its own dynamics, or is dominated by one or two individuals, VIPP can be an excellent tool in leveling the dialogue, resolving conflict, developing a group identity and inter-dependence, and providing equal opportunities for all members.⁸

2.3.4 *Concept Mapping*

This is a participatory tool that fuses organized brainstorming with statistical analysis that can then initiate more refined brainstorming or deeper dialogue (Novak and Cañas 2008, National Cancer Institute 2007). It may have particular relevance here for its power to organize and clarify the complex and overlapping factors listed under the (somewhat arbitrary) headings of external, structural and systemic. And, as importantly, it can be used as an at-a-distance brainstorming tool, where responses are solicited and gathered via email (with positive cost connotations here as well).

“A concept map is a way of representing relations between ideas, images or words, in the same way that a sentence diagram represents the grammar of a sentence, a road map represents the locations of highways and towns, and a circuit diagram represents the workings of an electrical appliance. In a

⁶ For more on the precise methodology of interviewing an expert witness, see Dodge and Bennett (2011).

⁷ Quotations from [Wikipedia](#), and [enotes](#). Both accessed October 25 2011.

⁸ For more, see Dodge and Bennett (2011), McKee et al (2009) and Smith (2005).

concept map, each word or phrase is connected to another and linked back to the original idea, word or phrase.”

-Wikipedia⁹

Concept mapping begins with a focus prompt or question (e.g. One thing that would improve food safety processes in my country is...). Following the initial responses to the focus prompt, the Task Force (or a leader within it) would then group those responses into 15-25 concepts. “These concepts could be listed, and then from this list a rank ordered list should be established from the most general, most inclusive concept, for this particular problem or situation at the top of the list, to the most specific, least general concept at the bottom of the list. Although this rank order may be only approximate, it helps to begin the process of map construction. We refer to the list of concepts as a *parking lot*, since we will move these concepts into the concept map as we determine where they fit in. Some concepts may remain in the parking lot as the map is completed if the map-maker sees no good connection for these with other concepts in the map” (Novak and Cañas 2008).

Case Study: Concept Mapping in Tobacco Control

The following focus prompt began a concept mapping exercise done by the National Cancer Institute (2007) in the United States: *one thing that should be done to accelerate the adoption of cancer-control research discoveries by health service delivery programs is...* “Approximately 55 people contributed (by email) more than 200 answers to the focus prompt, which were subsequently synthesized by the steering committee into 98 unique ideas. The data were aggregated and analyzed with a sequence of multivariate analyses that included multidimensional scaling and hierarchical cluster analysis. The resulting map grouped the 98 ideas into 12 conceptual categories. The participants also were asked to identify clusters of clusters that seemed to belong together and provide a label for each such region of the map. Participants identified four major regions: 1) policy, consisting of policy issues that would enable more integration of research and practice, as opposed to policy that results from such efforts; 2) research; 3) practice; and 4) partnerships and support” (National Cancer Institute 2007). This generated the map shown in Diagram 4 below.¹⁰

Initial concept maps work to illustrate the connections between ideas and concepts, suggesting further ways to combine or contrast them. As with many of the stakeholder analysis tools discussed in *Section Three* below, the visual nature of the concept map allows the Task Force to see, at a glance, how the major political factors are linked. The thematic grouping also shows, in this instance, how the Task Force envisions the major factors and thus creates some initial boundaries to guide the brainstorming.

⁹ Available at Wikipedia. Accessed October 28, 2011.

¹⁰ Reproduced from National Cancer Institute 2007. Permission not required.

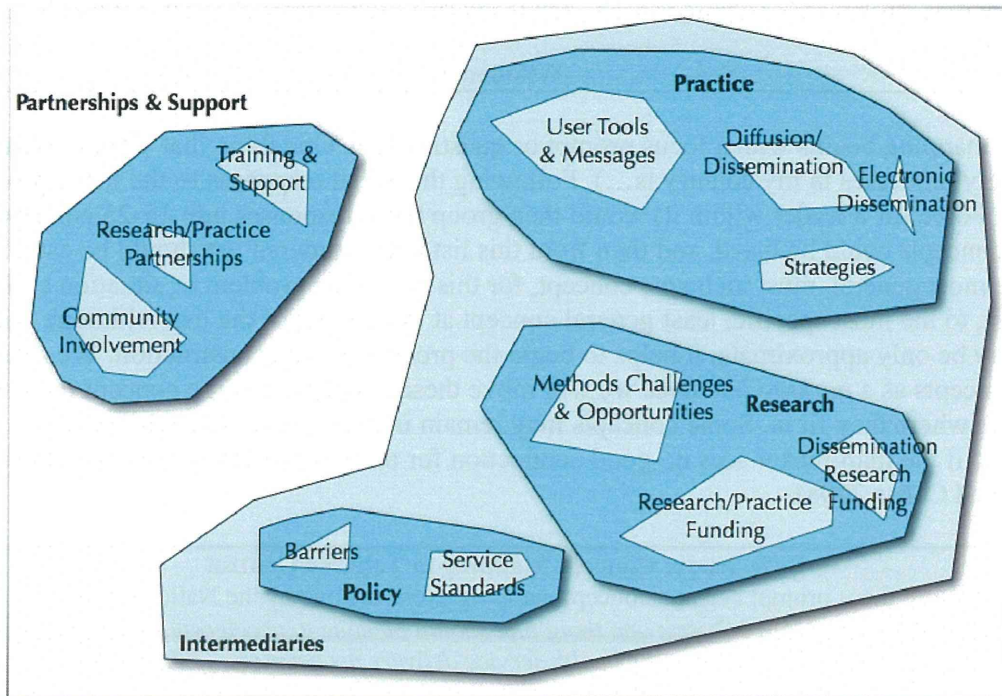


Diagram 4: Concept Mapping

3.0 Situation Analysis I: Stakeholders

Sections Three, Four, and Five provide concrete (and in places sequential) tools to Task Forces. As indicated above, none of these tools are required; all are merely suggestions or guidance to complete the analyses. Aspects from each of these tools may be combined, tailored, or deleted to suit the context or the desired directions of the Task Force. While recognizing that context will dictate what is required to perform this analysis, this section concludes with a proposed minimum set of tools (i.e. what is imperative vs. what is additional).

The first analysis is a **stakeholder analysis**, where the Task Force will work to understand the positions, interest, power and dynamics among global, regional and national stakeholders relevant to food and food safety. This should begin with facilitated brainstorming to define and describe the major actors, their positions vis-à-vis food safety, the dynamics among them, and their interests, capacities, power and influence in food and food safety policy-making. The manual contains several different stakeholder analysis tools that will assist Task Forces in this work.

3.1 Stakeholder Analysis: major concepts and approaches

Understanding the stakeholders who are relevant to any given situation can be complex, and identifying them must go much deeper than simply creating a long list of individuals, groups, organizations, departments, structures or networks. While brainstorming such a list is a good first step, Task Forces must add nuance and depth to the list, potentially by prioritizing stakeholders, by understanding how they might affect, or be affected by food safety issues, by describing their power and interests, and by describing the dynamics that exist among them. Task Forces may

then go deeper by analyzing the prevailing forces for and against change within food safety (as described in *Section Four*), and working to understand these stakeholders against a context that is constantly moving and changing.

Stakeholders are defined here as any individual, group, organization, department, structure or network with a vested interest in food and food safety. They stand to gain or lose if conditions stay the same or if conditions change. As they have a stake in those conditions, they have rights, possibly ownership and, very likely, information that is critical to the successful creation or implementation of any food safety policy, shift or change.

A stakeholder analysis is a multi-layered approach used to identify, understand and analyze relevant stakeholders, and the dynamics among them. While the literature presents many different examples and theories of stakeholder analysis, for food safety issues such an analysis should normatively map out – for each stakeholder:

- the role the stakeholder plays and the influence the stakeholder carries in food and food safety;
- the layers and levels within complex stakeholders (e.g. a Ministry of Health can be treated as either a single or multiple actor); and
- the relative “importance” each stakeholder has relative to food safety;

A second level of analysis investigates the dynamics among stakeholders:

- how interests may converge, overlap or be opposed among different stakeholders;
- the history of interaction (e.g. understanding previous cooperation, relationships and potential conflicts) among stakeholders; and
- how a shifting policy or political context might modify any of these dynamics.

A stakeholder analysis “considers not only the characteristics of stakeholders with regard to the issue of interest, whether it be around a policy, project or organizational objective. It can also be used to illustrate existing organizational relationships and predict – or help develop – stakeholder alliances. Where there is a short-term pragmatic goal – e.g. implementation of a specific policy or project – the identification and assessments of the nature and strengths of these relationships can assist in developing strategies for managing the stakeholders” (Varvasovszky and Brugha 2000).

As Bryson (2004) notes, a stakeholder analysis usually focuses on the *key* stakeholders, which are sometimes divided into *primary* and *secondary* stakeholders. Where primary stakeholders have a fundamental interest in the objective, project, policy, policy reform or issue, secondary stakeholders may be less directly interested in those or may be influenced directly by the actions of the primary stakeholder. Importantly, determining which stakeholders are primary and which secondary is inherently political. This is where the neutrality and/or balance of the Task Force is essential – to “compensate for and neutralize individual biases and question untested assumptions”. (Varvasovszky and Brugha 2000).

Bearing this theory in mind, below are a series of steps Task Forces may wish to follow in executing a stakeholder analysis.

3.2 Brainstorming Sessions

As noted throughout this manual, brainstorming is an essential analytical tool. It is the very first step in the process, and capitalizes on the assembled expertise and social networks within the Task Force. However, the intent of these sessions is not merely to create laundry lists of individuals, organizations, and dynamics – the intent is rather to create raw amounts of qualitative data and the ways in which that data will be sharpened into an incisive and comprehensive analysis. For the stakeholder analysis, these brainstorming sessions are

- to determine the purpose, plan and process governing the stakeholder analysis;
- to produce (possibly using facilitation) the raw data or information outlining major food safety stakeholders and their interests, dynamics and power;
- to decide upon which subsequent stakeholder-analysis tools will be used to add value to that information;
- to determine who will do what and when (including any commissioned work); and
- to agree on a schedule of follow-up work.

This is clearly a significant amount of work, and the Task Force may wish to set aside several days of its time to complete it. Task Forces should very clearly consider whether facilitation is required, and if so spend the needed time in securing the right individual. This variable – a professional, skilled and experienced facilitator – is quite often critical to a successful process.

3.2.1 The Purpose, Plan and Process

For these structural issues – what exactly will the Task Force brainstorm on? how? when? etc. – much can be done in advance of any physical meetings through the usual virtual platforms (e.g. email). For stakeholder analysis, two critical elements worthy of discussion ahead of time include the overall *plan* – what the process is, what it aims to achieve – and the *timing* – sketching out how the analysis will proceed over a course of weeks or months to its final destination (in this case a synthesis document). Regardless of any advance preparations, the Task Force should open its deliberations on the stakeholder analysis by discussing its overarching purpose, its plan for achieving that purpose, and an overview of the process that will underpin all activities.

As there is likely to be overlap with some of the other analyses, Task Forces may wish to anticipate such overlap or synergy at this point. And lastly, if the Task Force is to commission any of the stakeholder analysis work, having a full understanding of the tasks to be commissioned will make for greater cohesiveness in its approach, and better time management (e.g. in identifying relevant individuals or institutions with sufficient time and scope to agree upon terms of reference).

3.2.2 Brainstorming

Bryson (2004) very usefully describes a scenario (modified here) that Task Forces might use in arriving at an annotated or qualified list of stakeholders. Possibly using some of the deliberative techniques described in *Section Two* above (with particular reference to Expert Witness Panels) the Task Force could, either by itself or through a facilitator:

- Lead initial brainstorming on *every possible major stakeholder* relevant to food and food safety issues at the national, regional and global levels. As noted this could include individuals, organizations, networks, departments, institutions or structures. The Task

Force may narrow this list by eliminating those deemed to have a lesser influence; or it may weigh and rank all stakeholders from 1 to X through voting or other consensus-building methods.¹¹ It may also be useful at this point to start dividing stakeholders into primary and secondary stakeholders, with the possible addition of a special category of particularly “key” stakeholders.

One fairly straightforward way of adding value to this list of stakeholders could see the Task Force:

- preparing a separate flipchart sheet for each stakeholder
- placing a stakeholder’s name at the top of each sheet (see Diagram 5 to the right)¹²
- drawing a line down the right-centre side of each sheet and leave the columns on either side of the line blank.
- for each stakeholder, in the area to the left of the line, listing how each stakeholder influences food safety issues
- placing coloured dots beside each influence to indicate the Task Force’s perception and judgement, either positive (green), neutral (yellow) or negative (red).
- taking a photograph of the final flipchart for the Task Force’s records

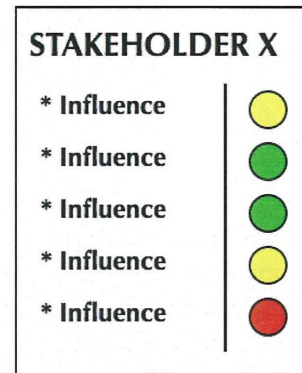


Diagram 5: Stakeholder Sheet

A summary document or analysis could then bring together the full list of stakeholders, along with a preliminary assessment of their influence on food safety issues. This could be of particular value in ranking the stakeholders, dividing them into primary and secondary categories, and in preparing the Task Force for other analysis tools presented below (e.g. preparing a Power vs. Influence grid).

A second straightforward task the Task Force could initiate to help brainstorm out all the stakeholders of importance lies in completing a Sector Stakeholder Map (DFID 2009). This tool does not work to add depth (i.e. to weigh, rank or assess stakeholders) but can be useful in providing some visual perspective on exactly who is of relevance to food safety issues. See Diagram 6 below.

¹¹ Two such methods include the [Delphi Method](#) and the [Nominal Group Technique](#).

¹² Adapted from Bryson 2004.