



DLR Project Management Agency

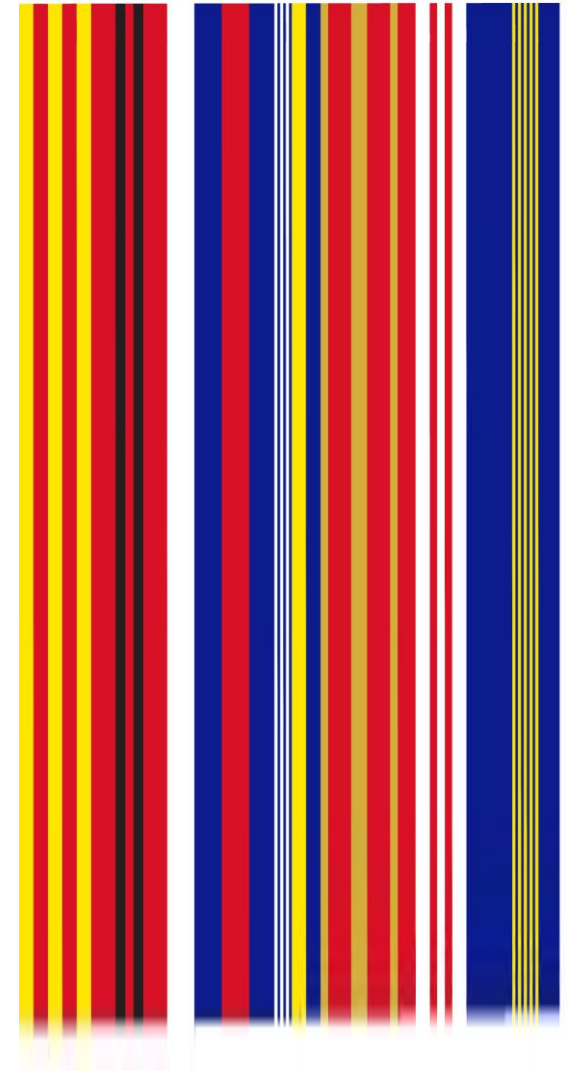
# How to effectively engage the stakeholders in S3

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**wbc-inco.net**  
Co-ordination of Research Policies  
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## Key questions

- What is meant by engagement? Information, participation, collaboration?
- Who needs a participatory / collaborative approach and why?
- Who are the relevant – or key – stakeholders? What are their interests?
- How can they be involved and when?
- When is stakeholder engagement effective?



## Issues covered

- Some basics on strategic planning and stakeholder engagement
- RIS 3 – requirements for stakeholder engagement
- Modes of governance for strategic planning
- Organising stakeholder engagement
- Conclusions on stakeholder engagement in light of RIS 3



## Strategic planning is a way to

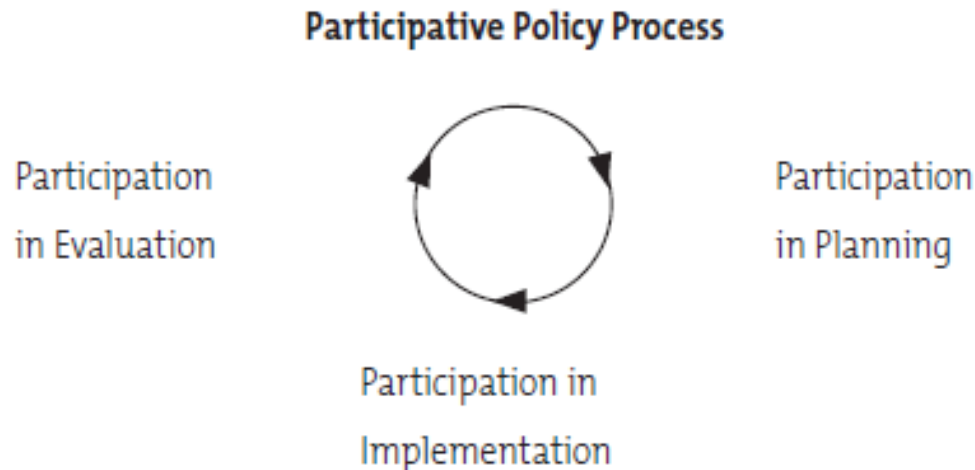
- Exercising power
- Creating benefit towards shared / public interest
- Making efficient and effective use of public resources
- Providing security for implementing activities, i.e. investments etc.

Strategic planning as a policy-driven (not interest-driven), co-ordinative, knowledge-rich and future-oriented approach is only likely to flourish in **particular modes of governance.**



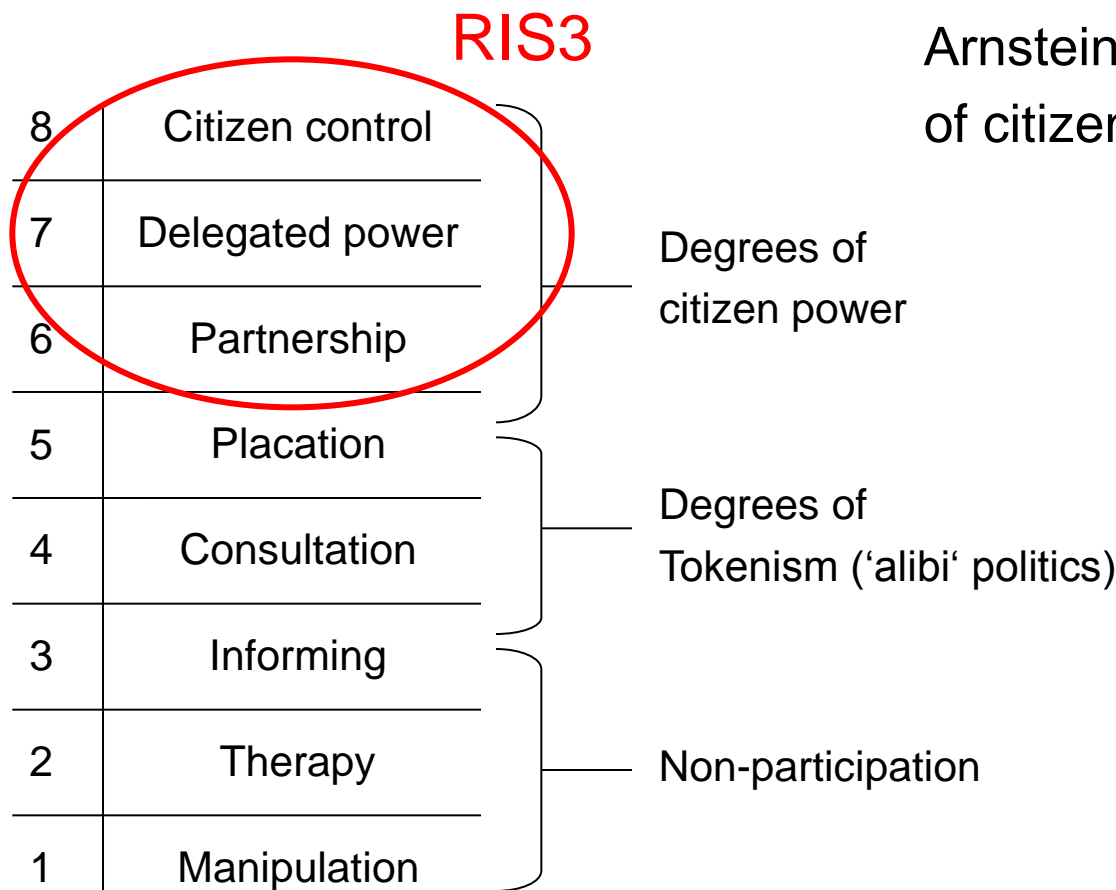
## Stakeholder engagement is a way to

- Building relations (between relevant actors)
- Creating consensus (on objectives, priorities, activities)
- Making strategies more likely to be implemented, reviewed, redesigned and their objectives to be achieved





# What is meant by engagement?



Arnstein's Ladder  
of citizen participation (1969)



## RIS 3 – requirements for stakeholder engagement

- RIS 3 is based on a **wide view of innovation**
- → Triple Helix governance model no longer sufficient: market and the civic society to be included (**‘quadruple helix’**)
- an **inclusive RIS3 governance structure** should be able to prevent capture by specific interest groups, powerful lobbies, or major regional stakeholders
- **‘collaborative leadership’**: secure that all stakeholders own and share the strategy
- Effective **process moderation**: ‘boundary spanners’ managing potential conflicts and promoting collaboration

(S3 Platform, Step 2: Governance)



## Modes of governance for strategic planning

Four models widely employed in describing existing governance systems in democracies:

- Representative democracy
- Pluralist democracy
- Corporatism
- Clientelism

Who represents a political community?

To whom must their actions be legitimated?





# Representative democracy

## Characteristics:

- Focused on institutions of formal government
- Strong role of government officials and experts in articulating ‚public interest‘
- May work well in homogeneous societies, but not in culturally diverse ones
- ‚Apex‘ structure / hierarchical bureaucracies: actions justified to seniors and politicians (not people)
- Focus on technical and legal reasoning of policy objectives

„**The good decision**“ is one where public interest is articulated by government.

## To be challenged:

- Politicians and officials are subject to all kinds of influences; these are hidden and unaccountable
- Impossible to aggregate the high diversity of interests
- Limited knowledge about issues and concerns (of businesses, citizens...)
- Public participation challenges the role of representatives, minimising willingness of involvement



# Pluralist democracy

## Characteristics:

- Diversity of interests is recognised
- Competition of different interest groups to define the agenda of governmental actions
- Role of politicians to arbitrate between the individual interests, claims and preferences

## „The good decision“:

- Is the one which everyone can agree upon (eliminating all issues on which participants cannot agree) → Favours minimalist solutions

## To be challenged:

- Strategy development becomes a practice of mediating between competing interests
- Risk of bargaining and NIMBY-style politics, minimising willingness of government to involve the public
- Need to develop policy reasoning mechanisms in advance of decisions



# Corporatism

## Characteristics:

- Routinised practice of collaboration between government, major business organisations and trade unions determining economic and social policy
- Assumes a ‚shared-power‘ world, but only among a few (unlike in a pluralist system)
- Not hierarchical, but also ‚apex‘ structure (dominant major organisations)
- Focus on scientific knowledge and ‚instrumental rationalism‘
- Able to develop stable consensus (coordinate various policies, long-term horizons overriding changing political majorities)
- Allows mutual learning: capacity for flexibility
- Avoids competitive politics (as in pluralist systems)

## „The good decision“:

- Is the one which best achieves the public interest defined by corporate alliances

## To be challenged:

- Small or disparate entities are often ignored (e.g. SMEs, citizens)
- Social change not considered, but undermines corporatist model: consensus regarded as unrepresentative, unable to learn, innovate, adapt to new conditions
- Strategy process flourishes at the expense of a narrow agenda



# Clientelism

## Characteristics:

- Interactive relationship of politicians and government officials with their social networks
- Focused on allocating and distributing resources
- Arises where the role of governance is to distribute resources (taxes, programme funds, building permits etc.), more likely in systems with less developed principles of administrative procedures or a policy-driven governance culture
- Politicians and officials become ‚gatekeepers‘ in managing flows of resources (patrons with bands of clients, clustering round the ‚pork-barrel‘ or ‚gravy train‘, e.g. in exchange for a vote)

## „The good decision“:

- Is the one which best sustains ‚patronage‘ relations

## To be challenged:

- Decision-making is hidden from public / democratic scrutiny
- Priorities meet particular (not public) interests or general policy objectives



## New forms of governance

For a governance effort to be legitimate, the challenge is to find more inclusionary ways of collaboration and consensus-building.

→ The RIS3 concept demands nothing less than a **paradigm shift** in the way strategies are developed, implemented, evaluated and redesigned!

Current trends from:

- Criteria-driven approaches: „hard infrastructure“ of regulatory criteria and performance targets
- To entrepreneurial consensus-building: „soft infrastructure“ of institutional capacity and consensus-building
- To **inclusionary argumentation**: combining both hard and soft...



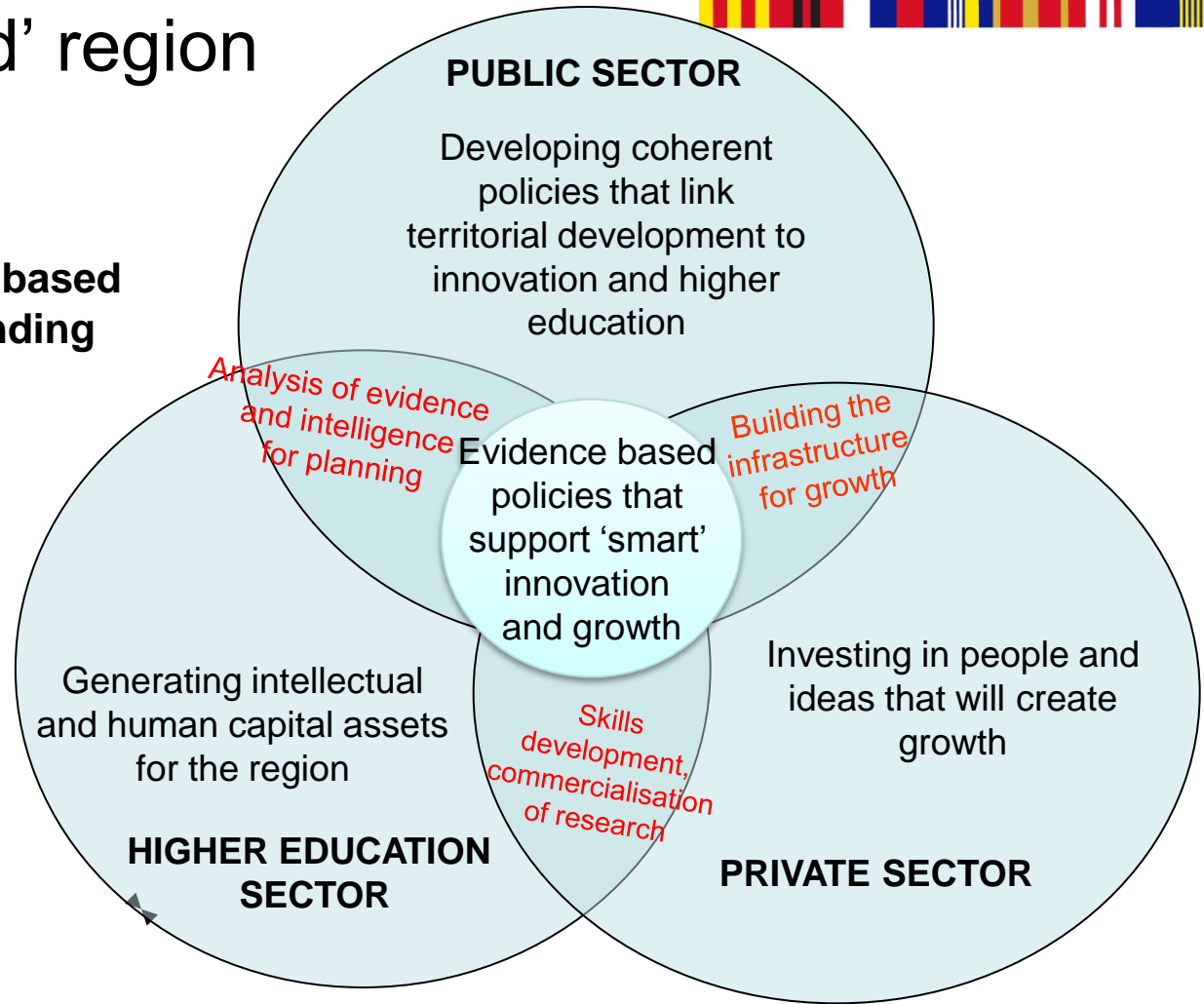
## Inclusionary argumentation

- Is a model of participatory discursive democracy:
- Is based on collaborative argumentation about
  - What are the issues?
  - How are these understood by different groups of society?
  - What constitute problems?
  - What are the options for acting on them?
  - How may these affect the various members of a community?
  - How may choices impact on different members?
- Giving *rights* to be heard goes with *responsibility* to listen
- **The ‘good’ decision:** one for which decision-makers are accountable and which is legitimate, as it is based on collaborative discussion, thus good reasons can be given for it if challenged.



# The 'connected' region

**strong partnerships based on shared understanding of the challenges and how to overcome them**



John Goddard (University of Newcastle):

[http://ec.europa.eu/regional\\_policy/conferences/od2011/Open-Days-FTP-2011/docs/817-11UNIV06-11UNIV06\\_-\\_Goddard\\_John\\_New.ppt](http://ec.europa.eu/regional_policy/conferences/od2011/Open-Days-FTP-2011/docs/817-11UNIV06-11UNIV06_-_Goddard_John_New.ppt)



# Organising stakeholder engagement

- Who are stakeholders?

Any individual or organisation

- taking decisions
- influencing framework conditions for decisions, hence influencing decisions
- affected by decisions / strategy
- meant to implement decisions / actions foreseen in the strategy
- contributing knowledge / know-how and expertise





# Organising stakeholder engagement

Starting off: choosing participants for stakeholder analysis

- Step 1: small group: brainstorming about suitable participants for stakeholder analysis (snow-balling technique)
- Step 2: larger group: consider actual / potential stakeholder power, legitimacy, and attention-getting capacity; positive and negative consequences of involving – or not – other stakeholders or their representatives
- **Possible technique:** Stakeholder Influence Diagram
- **Informational inputs** through: e.g. use of interviews, questionnaires, focus groups, or other targeted information gathering techniques



# Organising stakeholder engagement

## Steps 1 + 2: Stakeholder analysis

Stakeholder	Importance (influence on decision-making / implementation, mandate, knowledge, network / contacts, financial capacity etc.)  High / low	Interest (demand, claims, preferences)  High / low	Relations with other actors  strong / weak
Actor 1			
Actor 2			
Actor 3			

→ see also stakeholder map in RIS3 key



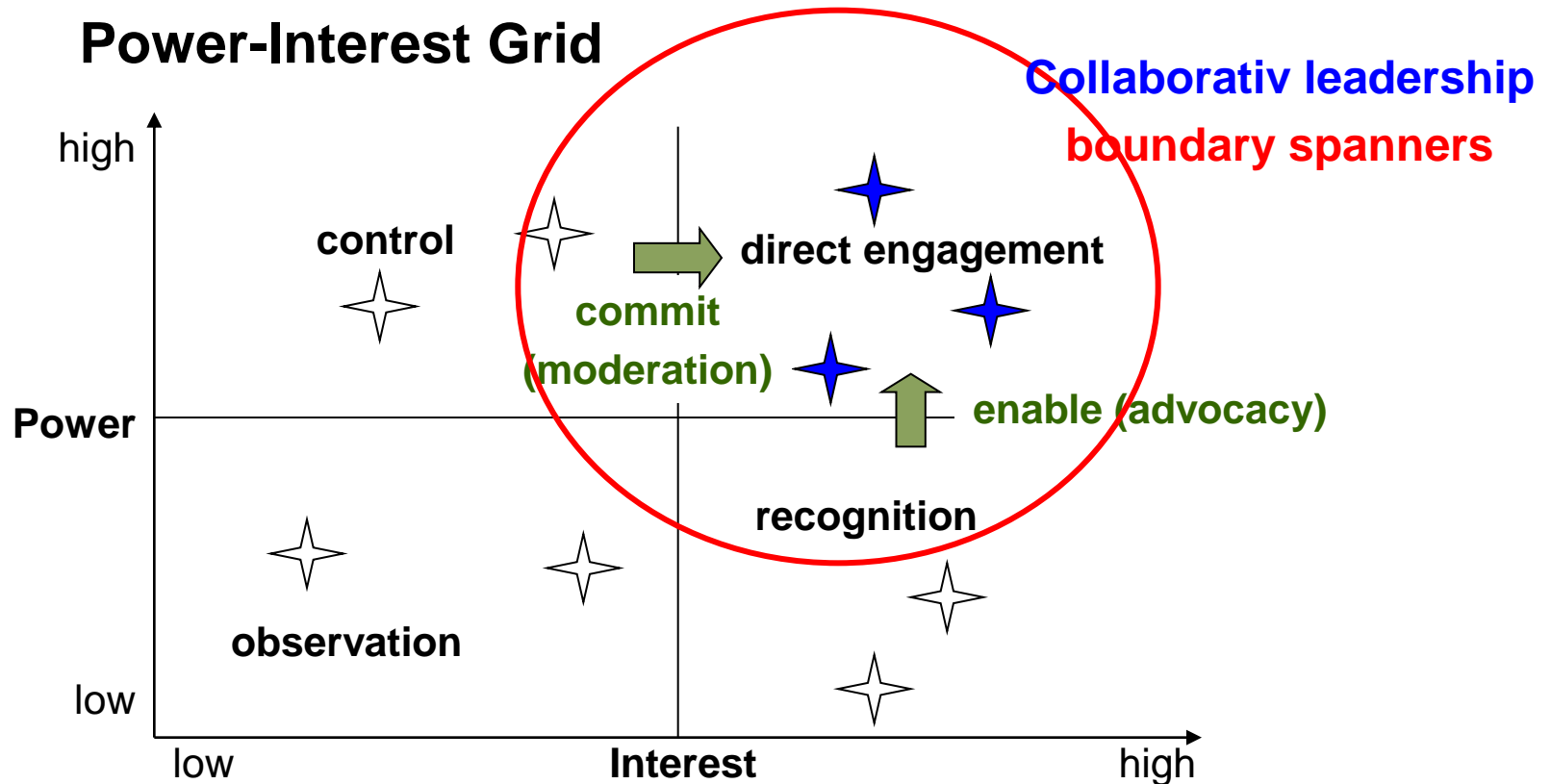
## Organising stakeholder engagement

- Step 3: „full“ group: identify various groups who will have some role to play in the strategy-making effort: sponsors and champions, coordinating group, planning team, and various advisory or support groups
- **Possible technique:** Power versus Interest Grid

# Organising stakeholder engagement

- Step 3: Who are the relevant / key stakeholders?

## Power-Interest Grid





## Organising stakeholder engagement

- Step 4: planning for stakeholder participation: responding to or engaging different stakeholders in different ways over the course of a policy or strategy change effort
- **Possible techniques:** Participation Planning Matrix



# Organising stakeholder engagement

Participation  
planning matrix  
(Bryson, 2003)

Stakeholders to Approach by Which Means:				
Inform	Consult	Involve	Collaborate	Empower
Promise: We will keep you informed	Promise: We will keep you informed, listen to you, and provide feedback on how your input influenced the decision.	Promise: We will work with you to ensure your concerns are considered and reflected in the alternatives considered, and provide feedback on your input influenced the decision.	Promise: We will incorporate your advice and recommendation to the maximum extent possible.	Promise: We will implement what you decide.

The matrix identifies the **role of each stakeholder in four strategic management functions**: organizing participation; creating ideas for strategic interventions; building a winning coalition around proposal development, review, and adoption; and Implementing, Monitoring and Evaluating Strategic Interventions



## Collaborative policy processes

**engage stakeholders in different ‘participatory scenes’**

- **Forums:** wide range of stakeholders; creation and communication of ‘meaning’ (values, preferences, perspectives, fears...)
- **Arenas:** key groups (sponsors and champions, coordinating group, planning team, and various advisory or support groups); policy-making and implementation, agenda-setting, planning, budgeting
- **Courts:** boundary spanners and formal institutions; managing conflict, enforcing underlying norms, rules



# RIS 3 Governance

COM	MS	Regions	Industry / Science / Society
Set up <b>7-year plan implementing Horizon 2020</b> (expenditure and activity planning) on European R&I priorities	Conclude <b>CP „Partnership Agreements“</b> with COM		
<b>Information of CP managing authorities</b> about <b>priorities</b> (and subsequent <b>multi-annual</b> work programme up-dates)	feed into the <b>development of the RIS3</b> strategies and <b>OPs</b>		<b>Partnership principle:</b> contribute to development of <b>RIS3</b> and <b>OP</b>
More specific information on <b>timing and modalities for Horizon 2020 “bridging”-measures</b> e.g. Twinning competition, ERA chairs, regional partner facilities of ESFRI, labels of excellence, the SME instrument	managing authorities to consider opportunities for the <b>preparation of the respective OPs</b>		
<b>Industrial Leadership</b> pillar of Horizon 2020	<b>Consider in RIS3</b> and involve actors from the relevant regions		Development of (EIT) <b>research and innovation agendas</b>
<b>Societal Challenges</b> pillar of Horizon 2020	<b>European Innovation Partnerships</b>		
	Consider <b>EIP priorities in CP actions</b> (pilot / demonstration activities and public procurement of innovation)		

EU Bureau; based on COM Fiche 28 (MFF) on „Synergies“





## Conclusions for SEE in light of the RIS3 concept

- **RIS3 is about making a bet on the future:** minimising and sharing risk through partnership is key
- NO ‚one-size-fits-all‘ method: collaborative leadership needs to be adapted to local culture of governance, management etc. → **learning to read the ‚politics of place‘ is a critical skill**
- **Collaboration THROUGHOUT the whole process** of strategy design, monitoring/review and evaluation, but
- **Secure OWNERSHIP of the strategy:** delegate leadership; minimise purchase of external expertise and services (e.g. experts, analyses)
- Maintain strategy as a living entity: secure iterative processes, **keep communication channels open** in a STRUCTURED dialogue
- Involve all **RELEVANT – also new – stakeholders** i.e. social entrepreneurs, but keep CONTROL over process („boundary spanners“)
- Unlock R&I potential through **analyses not just FOR each sector but BETWEEN the sectors** and stakeholder groups



## Further information and reading

- S3-Platform (Step 2 ,Governance‘): <http://s3platform.jrc.ec.europa.eu/wikis3pguide/-/wiki/Main/PART+III+Step+2>
- King Baudouin Foundation and the Flemish Institute for Science and Technology Assessment (viWTA): Participatory Methods Toolkit. A practitioner’s manual: <http://www.foresight-platform.eu/wp-content/uploads/2011/06/0509-Participatory-Method-Toolkit.pdf>
- John M. Bryson (2003): What to do when stakeholders matter. A Guide to Stakeholder Identification and Analysis Techniques, Washington D.C.: [http://www.governat.eu/files/files/pb\\_bryson\\_stakeholder\\_identification.pdf](http://www.governat.eu/files/files/pb_bryson_stakeholder_identification.pdf)
- European Network of Living Labs (ENoLL): <http://www.openlivinglabs.eu/>
- Ministerium für Wirtschaft, Energie, Industrie, Mittelstand und Handwerk des Landes Nordrhein-Westfalen (Ministry of Economics Northrhine-Westphalia): Werkzeugkasten Dialog und Beteiligung (toolbox on dialogue and participation): [www.dialog-schafft-zukunft.nrw.de](http://www.dialog-schafft-zukunft.nrw.de)
- Guide to Civil Society Germany <http://www.buergergesellschaft.de/index.php?id=106460> (English article)
- Patsy Healey (1997): Collaborative Planning, Shaping Places in Fragmented Societies, New York



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***Whatever you're up to – I hope it's collaborative!***

**Thank you for your attention!**

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