

Introduction and Integration and Implementation Sciences (i2S) Framework

Gabriele Bammer



Introduction

Theory and methods for dealing with complex problems

- fragmented
- i2S aims to provide underpinning discipline, as conduit for sharing
- building a community by combining small communities and groups

Where does transdisciplinarity fit?

General loose use of term – including stakeholders in research

Specific intellectual communities

- European and US differences
- Agreed frameworks, toolkits, handbooks
- Conference, MOOC and formal network

This workshop

- TD in i2S context
- Mix of didactic, reflective, interactive (introductions later)
- Ask questions when need to
- Discussion, call on you
- Slides available, plus resources handouts
- Build links across projects

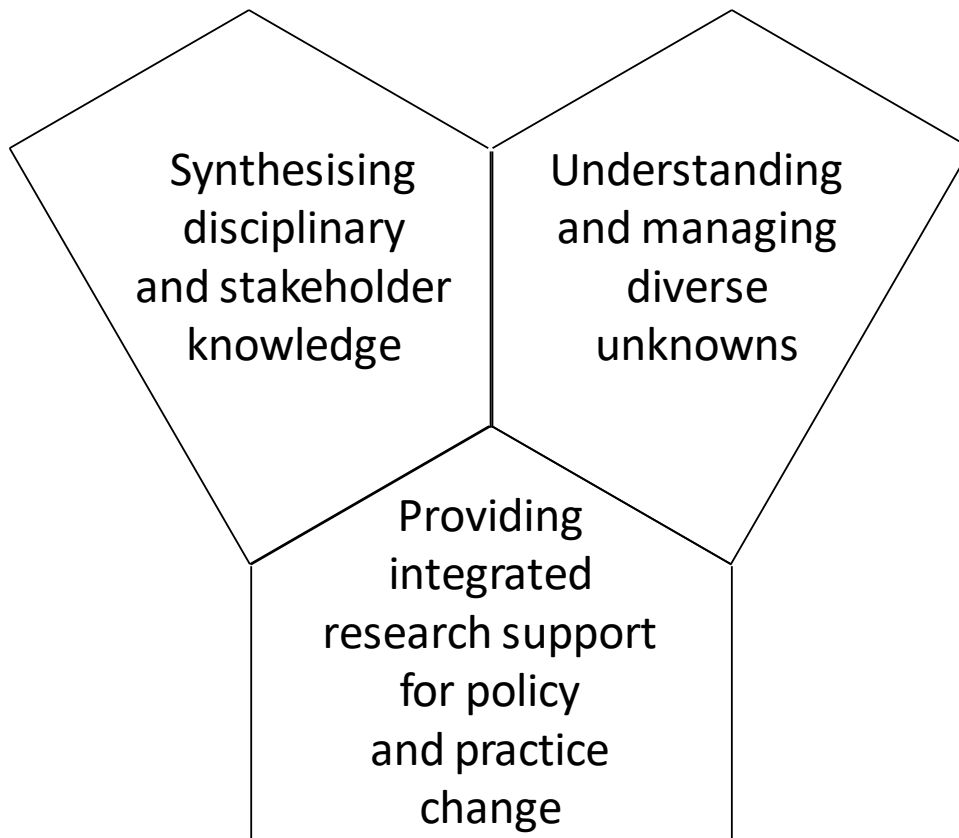
- Focus on stakeholder engagement
 - frameworks (thinking tools)
 - lessons from experience (& principles)

Stakeholder engagement in context

Research on complex problems aims to:

1. Develop a more comprehensive understanding of the problem
 - what we know
 - what we don't know
2. Support policy and practice change

i2S Framework



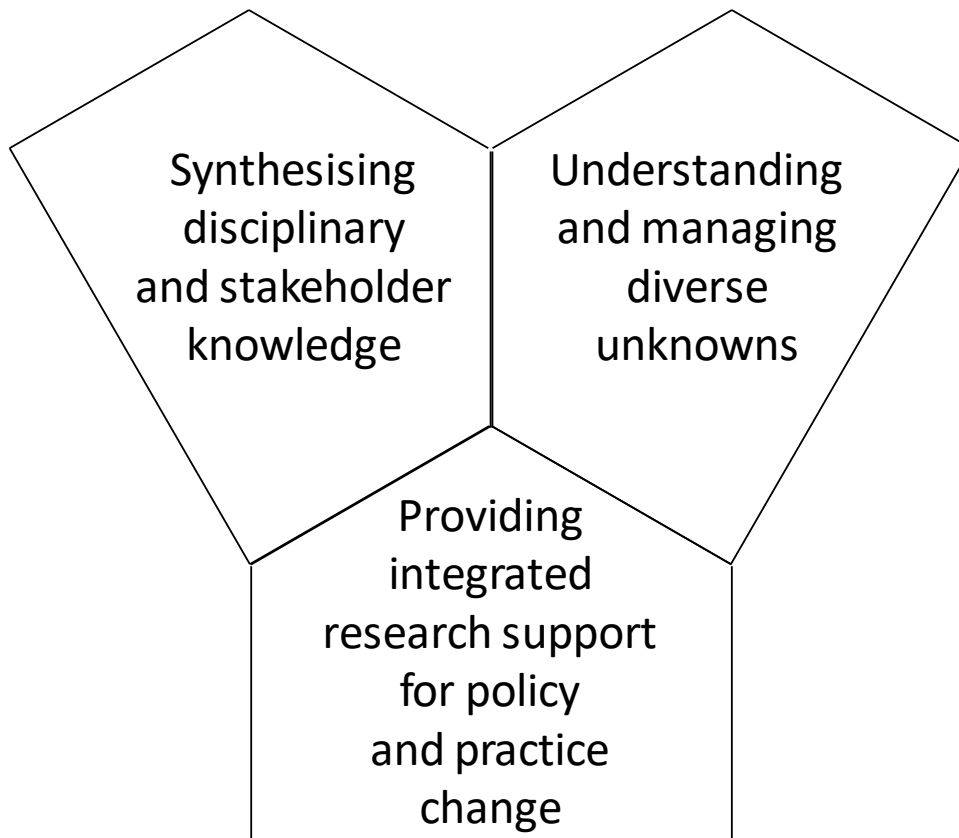
Cross-cutting categories

- Systems
- Context
- Diversity
- Participation
- Stakeholders
- Integration
- Communication

Specific categories

- Unknowns
- Research implementation
- Decision support
- Change

i2S Framework



Cross-cutting categories

- Systems
- Context
- Diversity
- **Participation**
- **Stakeholders**
- Integration
- Communication

Specific categories

- Unknowns
- Research implementation
- Decision support
- **(Change)**



Any questions or comments at this stage?



Stakeholders: defining, identifying, prioritising

Gabriele Bammer



Defining & identifying stakeholders...1

Those

- affected by the problem
- in a position to do something about the problem

Make sure you include both groups.

Defining & identifying stakeholders...2

What they can contribute to the research:

- can help build a more comprehensive understanding of the problem
- can use the research to support change addressing the problem

Building a more comprehensive understanding of the problem

- problem definitions, interconnections etc
- context (historical, cultural etc)
- values, interests etc
- unknowns – uncovering, reducing

Using research to support action on the problem

All

- new ideas for policy and practice
- legitimise problem and those affected

Decision makers

- what can help or hinder (eg problem framings, missing info, context)



Let me say this another way

Stakeholder role in tackling complex problems

Complex problems have:
No clearly defined limits

S **Y** **S** **T** **E** **M** **S**

Stakeholders can:
Help identify interconnections



Complex problems have:
Contested definitions

V **A** **L** **U** **E** **S**

Stakeholders can:
Provide different perspectives

Complex problems have:

Real-world constraints on understanding
and action

C O N T E X T

Stakeholders can:

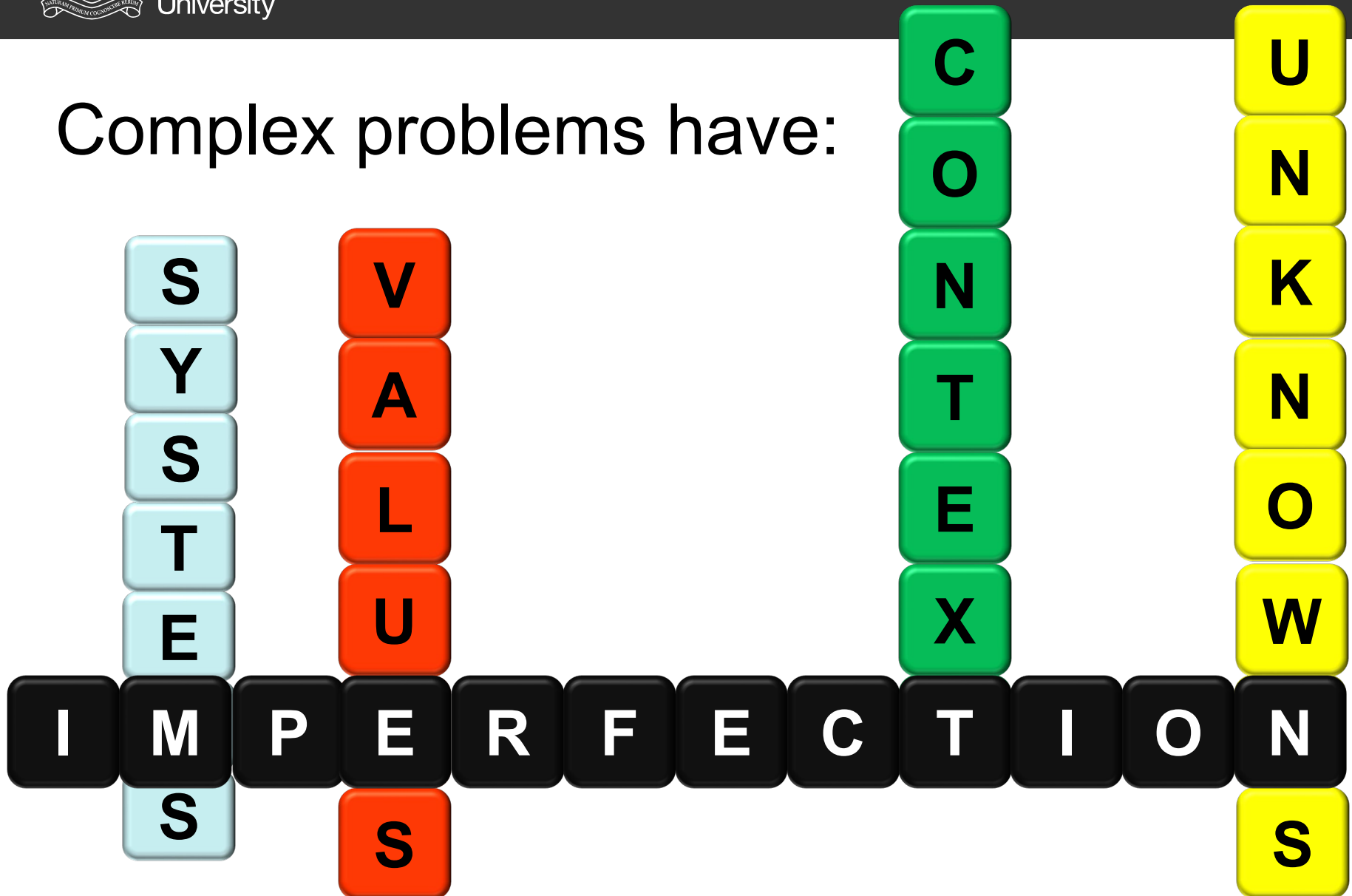
Help identify constraints

Complex problems have:
Multiple unknowns

U N K N O W N S

Stakeholders can:
Help identify important unknowns (and
avoid unintended consequences)

Complex problems have:



And solutions can only ever be partial & temporary

Defining & identifying stakeholders...3

- Individuals (specific knowledge or power)
- Groups (networks, loose affiliations, neighbourhoods, organisations, the general public, etc)
 - representatives, whole groups
- Natural environment
- (not researchers)

Identifying stakeholders

Handout

- Key questions
- Processes
- Categories
- Mind map
- Working backwards

More at end if there's time

Defining & identifying stakeholders...4

Who has 'control':

- Researchers

Developing a more comprehensive understanding (you let them in)

- Those in a position to do something about the problem

Using the research to support change (they let you in)

Defining & identifying stakeholders...5

Stakeholders	Who do you want to 'let in' (more comprehensive understanding)	Who do you need to 'let you in' (research supporting action)
affected by the problem	Illicit drug users	
in a position to do something about the problem	Police officers Treatment providers	Government policy makers

Exercise: fill in (2 minutes)

Stakeholders	can help build a more comprehensive understanding of the problem	can use research to support policy and practice change
affected by the problem		
in a position to do something about the problem		

Prioritising stakeholders... 1

Usually cannot include all stakeholders.

Useful to consider:

- Power
- Legitimacy
- Urgency
- Context

- Practicalities

Prioritising stakeholders...2. Power

Three kinds:

- Utilitarian - material or financial resources
- Normative - symbolic resources such as prestige, esteem, love and acceptance.
- (Coercive - force)

Prioritising stakeholders...3. Legitimacy

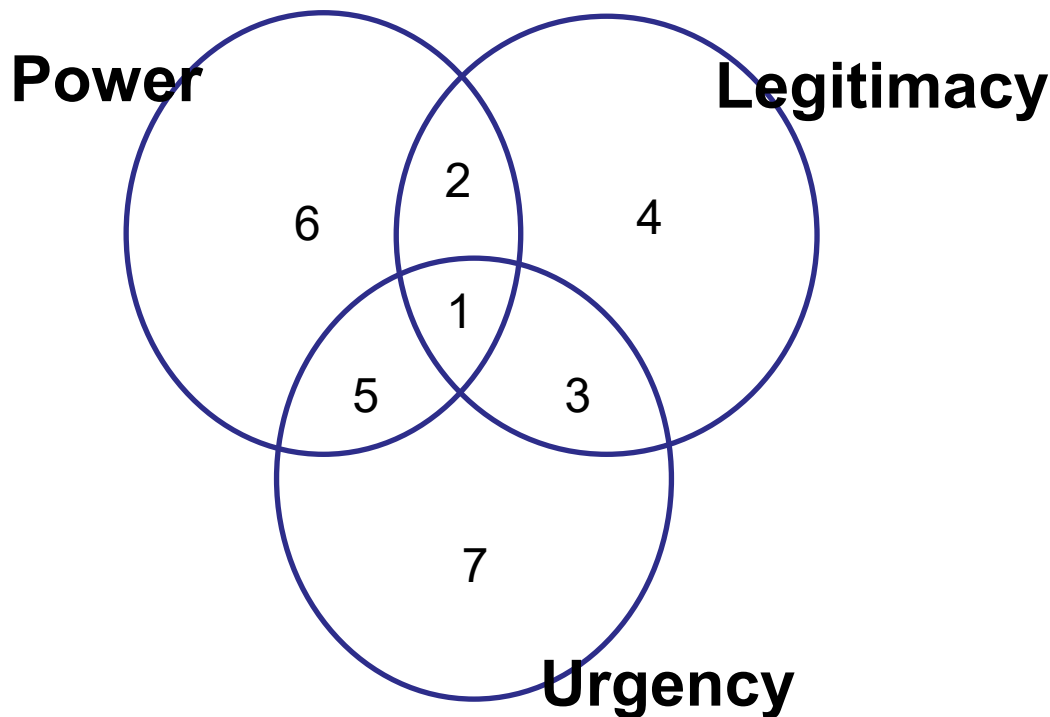
Working for the public good, rather than self-interest

Type of representation

Prioritising stakeholders...4. Urgency

How urgently is action required?

Prioritising stakeholders...5 Combining power, legitimacy and urgency



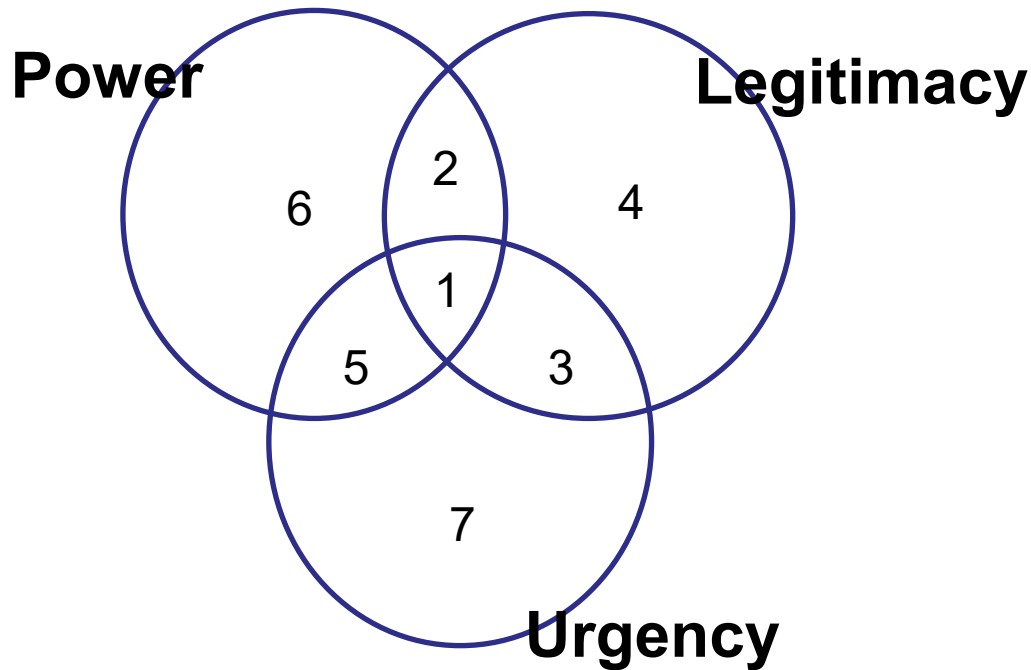
Priority High:
Groups 1&2

Priority High:
Groups 3&4

Priority Medium:
Groups 5&6

Priority Low: Group 7

Prioritising stakeholders...6 Combining power, legitimacy & urgency **Example**



Priority High: 1&2

Government (2)

Priority High: 3&4

Drug users (3)

Priority Medium: 5&6

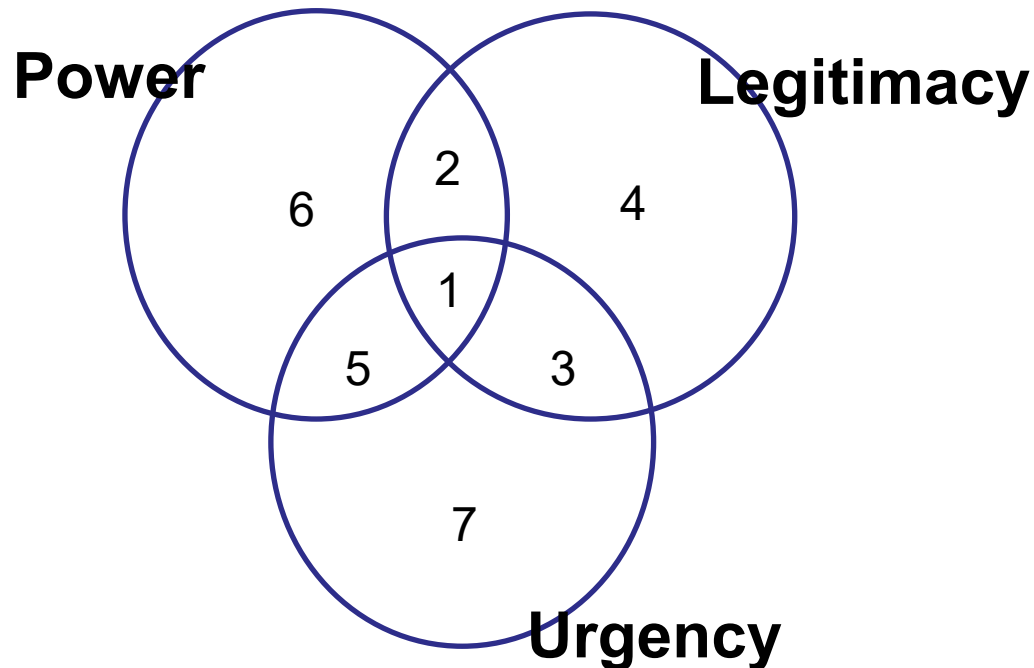
Drug cartels (5)

Governments of other countries (6)

Priority Low: 7

“Cranks”

Prioritising stakeholders...7 Combining power, legitimacy & urgency **Reflection**



Priority High: Groups
1&2

Priority High: Groups
3&4

Priority Medium:
Groups 5&6

Priority Low: Group 7

Prioritising stakeholders...8. Context

- Previous research
- Historical, political, economic, cultural etc circumstances
- Wider decision making processes
- Existing networks of stakeholders
- Existing events, activities, communication channels

Prioritising stakeholders...9. Context

Examples

- Previous research
- Historical, political, economic, cultural etc circumstances (**Indigenous community**)
- Wider decision making processes (**US govt & poppy industry**)
- Existing networks of stakeholders
- Existing events, activities, communication channels

Prioritising stakeholders... 10. Practicalities

- Don't let this be the primary driver!
- Time and resources
- Accessibility
- Willingness to be involved
- ...

Discussion (groups of 5, 45 sec each per topic = 15 min)

Please be crisp! Please make sure everyone has an equal turn!

- Quick introduction
- Any insights
- Anything missing
- Any other comments

Please record your comments on the whiteboard.

Stakeholders: Engaging (Framework)

Gabriele Bammer



Engagement

Use to ‘harness’ diversity in:

- Knowledge and perspectives
- Problem definitions, interconnections
- Interests and values
- Understanding of context
- Unknowns (and concerns about them)
- etc

Modified IAP2 spectrum: 5 types of engagement... 1

- Inform
- Consult
- Involve
- Collaborate
- Empower

Modified IAP2 spectrum: 5 types of engagement...2

All have a place and none inherently better than others, depending on circumstances of research, including:

- problem under consideration
- parties involved
- aims of the participation and the research
- practical issues such as available resources and timeframes.

Modified IAP2 spectrum: 5 types of engagement...3 Promise

- *Inform promise:* keep informed
- *Consult promise:* listen and feedback
- *Involve promise:* reflect concerns in research
- *Collaborate promise:* include
- *Empower promise:* we will advise you



INCREASING STAKEHOLDER INFLUENCE ON THE RESEARCH

INFORM

CONSULT

INVOLVE

COLLABORATE

EMPOWER

STAKEHOLDER PARTICIPATION GOAL

PROMISE MADE TO STAKEHOLDERS BY RESEARCHERS



INFORM

STAKEHOLDER PARTICIPATION GOAL

Researchers provide stakeholders with balanced and objective information to assist them in understanding the research.

PROMISE MADE TO STAKEHOLDERS BY RESEARCHERS

We will keep you informed.



CONSULT

Researchers obtain stakeholder feedback on the research.

We will keep you informed, listen to and acknowledge your concerns and aspirations and provide feedback on how your input influenced the research.



INVOLVE

Researchers work directly with stakeholders to ensure that stakeholder concerns and aspirations are consistently understood and considered in the research.

We will work with you to ensure your concerns and aspirations are directly reflected in the research and we will provide feedback on how your input influenced the research.



COLLABORATE

Researchers partner with stakeholders for salient aspects of the research.

We will look to you for advice and innovation in designing and conducting the research and incorporate your advice and recommendations to the maximum extent possible.



EMPOWER

Researchers assist stakeholders in conducting their own research.

We will provide advice and assistance as requested in line with your decisions for designing and conducting your research, as well as for implementing the findings.

INCREASING STAKEHOLDER INFLUENCE ON THE RESEARCH



	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
STAKEHOLDER PARTICIPATION GOAL	<p>Researchers provide stakeholders with balanced and objective information to assist them in understanding the research.</p>	<p>Researchers obtain stakeholder feedback on the research.</p>	<p>Researchers work directly with stakeholders to ensure that stakeholder concerns and aspirations are consistently understood and considered in the research.</p>	<p>Researchers partner with stakeholders for salient aspects of the research.</p>	<p>Researchers assist stakeholders in conducting their own research.</p>
PROMISE MADE TO STAKEHOLDERS BY RESEARCHERS	<p>We will keep you informed.</p>	<p>We will keep you informed, listen to and acknowledge your concerns and aspirations and provide feedback on how your input influenced the research.</p>	<p>We will work with you to ensure your concerns and aspirations are directly reflected in the research and we will provide feedback on how your input influenced the research.</p>	<p>We will look to you for advice and innovation in designing and conducting the research and incorporate your advice and recommendations to the maximum extent possible.</p>	<p>We will provide advice and assistance as requested in line with your decisions for designing and conducting your research, as well as for implementing the findings.</p>

How to involve stakeholders: Research-modified IAP2 spectrum

All options are fine

- Be clear which
- Keep promise

Likely that different forms of involvement at different times and for different stakeholders

Modified IAP2 spectrum: 4

- Promotes deep thinking about engagement
- Can involve same stakeholders in different ways
- Can involve different stakeholders in different ways
- Also what's feasible given the number of stakeholders and size of stakeholder groups

Reflection:

How do you interact with your stakeholders?
Do you make/keep the promise to them?

INCREASING STAKEHOLDER INFLUENCE ON THE RESEARCH



	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
STAKEHOLDER PARTICIPATION GOAL	<p>Researchers provide stakeholders with balanced and objective information to assist them in understanding the research.</p>	<p>Researchers obtain stakeholder feedback on the research.</p>	<p>Researchers work directly with stakeholders to ensure their concerns and aspirations are directly reflected in the research and we will provide feedback on how your input influenced the research.</p>	<p>Researchers partner with stakeholders for various aspects of the research.</p>	<p>Researchers assist stakeholders in conducting their own research.</p>
PROMISE MADE TO STAKEHOLDERS BY RESEARCHERS	<p>We will keep you informed.</p>	<p>We will provide you with information and feedback on how your input influenced the research.</p>	<p>We will work with you to ensure your concerns and aspirations are directly reflected in the research and we will provide feedback on how your input influenced the research.</p>	<p>We will look to you for advice and innovation in designing and conducting the research and incorporate your advice and recommendations to the maximum extent possible.</p>	<p>We will provide advice and assistance as requested in line with your decisions for designing and conducting your research, as well as for implementing the findings.</p>

**How do you interact with your stakeholders?
Do you make/keep the promise to them?**

What about all the co-'s?... 1

Co-production

Co-creation

Co-design

Co-innovation

Co-construction

...

Tend to be used interchangeably

What about all the co-'s?... 2

- Co-production – service improvement (Elinor Ostrom)
- Co-creation – business context
- Co-design = participatory design – software, product design, landscape design for sustainability
- Co-innovation – invention & commercialisation
- Co-construction – education
- ...

What about all the co-'s?... 3

Co-production is:

- a privilege (both sides)
- time-consuming

Need to “say what we mean, mean what we say, and learn as we go”

What about all the co-'s?... 4

Helpful to think about research stages – at which stages will you co-produce?

- Problem identification
- Research design, methodology
- Grant writing
- Data Collection
- Data analysis
- Synthesis and interpretation
- Publication and dissemination
- Implementation

Reflection

How does co-production work in your research?

Discussion (groups of 5, 45 sec each per topic = 15 min)

Please be crisp! Please make sure everyone has an equal turn!

- Quick introduction (introduce each other)
- What does engagement & co-production mean to you?
- What engagement do well?
- Where could you improve?

Please record your comments on the whiteboard.

Engaging stakeholders – process issues

Gabriele Bammer



Key questions include...

- How do you involve stakeholders who are wary of participation?
- How do you involve all stakeholders in an equitable manner?
 - eg power and resource differences
- How do you keep stakeholders engaged over the long term?

No simple answers...

- Context matters
- Learn from experience (be open to it)
- Learn from experience of others
(how to share those experiences?)
- Derive general principles
- Helpful tools

Lessons from my work... 1

- Be genuinely open to learning from stakeholders (this is the fun)
- If they are wary try to figure out why
- Building trust takes:
 - time
 - integrity
 - genuine respect

Lessons from my work... 2

Beware of prioritizing efficiency over effectiveness eg

- may be best to work with different stakeholders separately
- only bring stakeholders together if you are interested in the interaction
- power differences are a reality, don't gloss over them

Lessons from my work... 3

- Manage expectations
- Make sure stakeholders get something out of being involved, even if you don't achieve the ultimate goals (eg improvement)

Four useful tools (handout)

- Principled negotiation – resolves conflicting interests
- Appreciative inquiry – plan a joint vision for change
- Nominal group technique – idea generation & problem solving (equal vote)
- Delphi method – idea generation & problem solving (anonymity)

Take a break (10 min)

Then

- Small groups on process issues
- Identifying and working with stakeholders who can make change happen
- Back to i2S Framework
- Wrap-up

Discussion (groups of 5 – learning from experience) 15 min

Please be crisp! Please make sure everyone has a turn!

- Quick introductions
- Share successes
- Share failures
- Add to principles

Please record your comments on the whiteboard.

Identifying and working with stakeholders who can make change happen

Gabriele Bammer

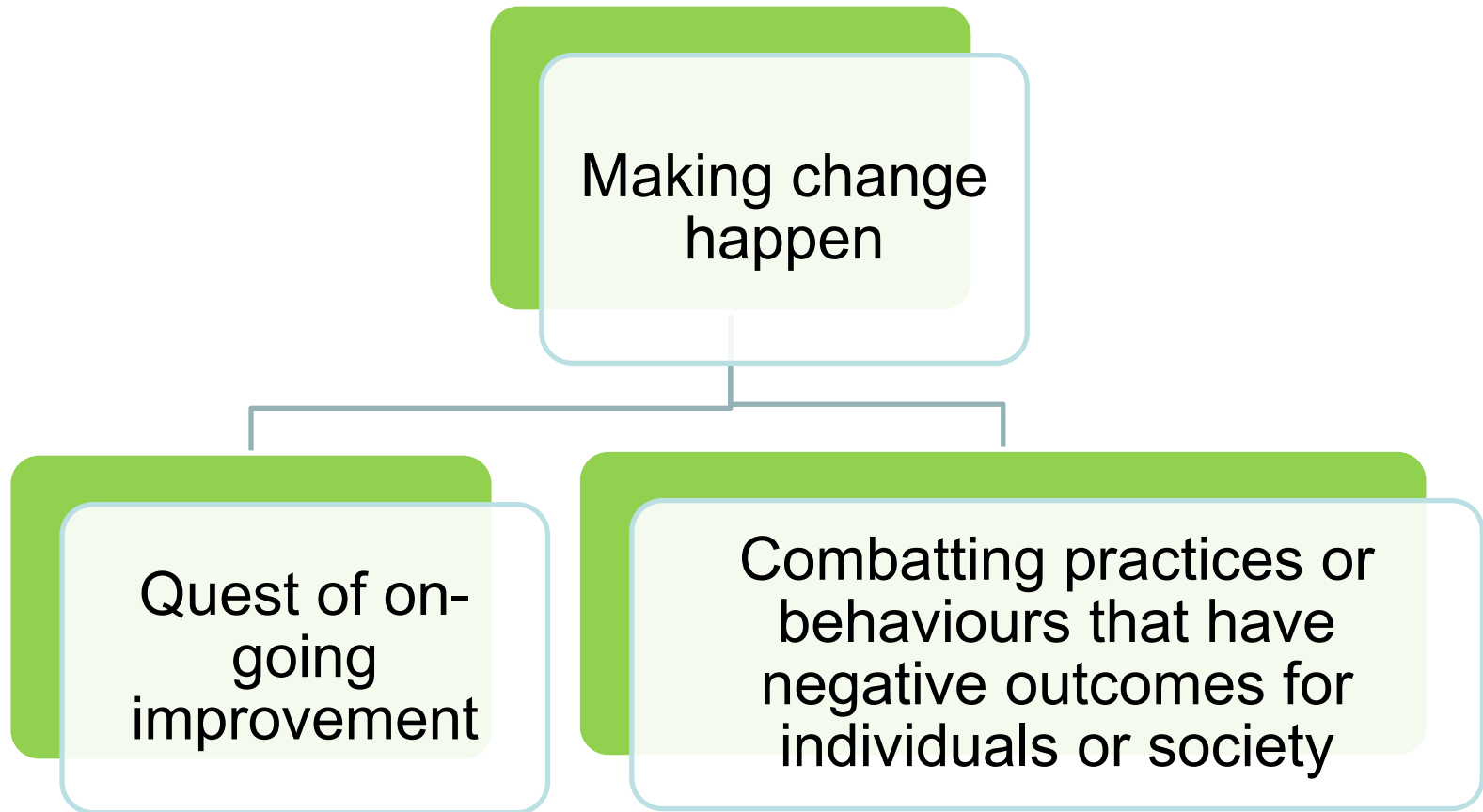


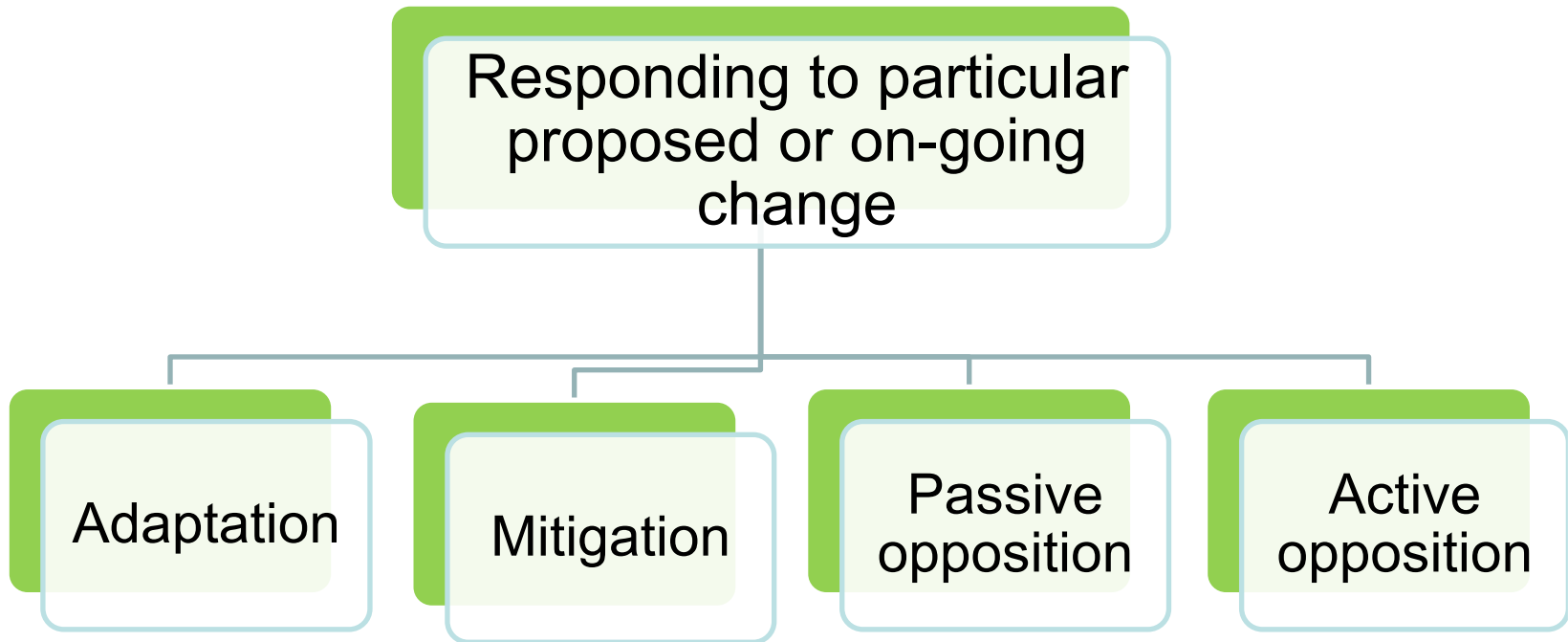
What kind of change do you want to see?

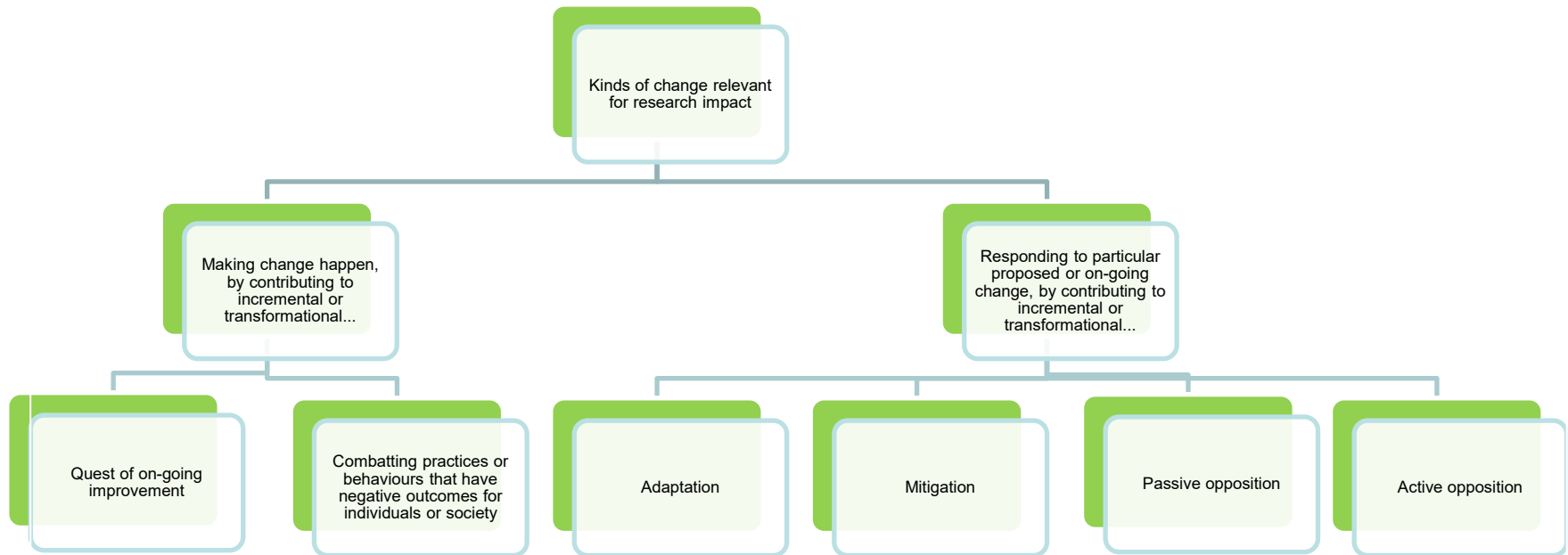
Kinds of change relevant for research impact

Making change
happen

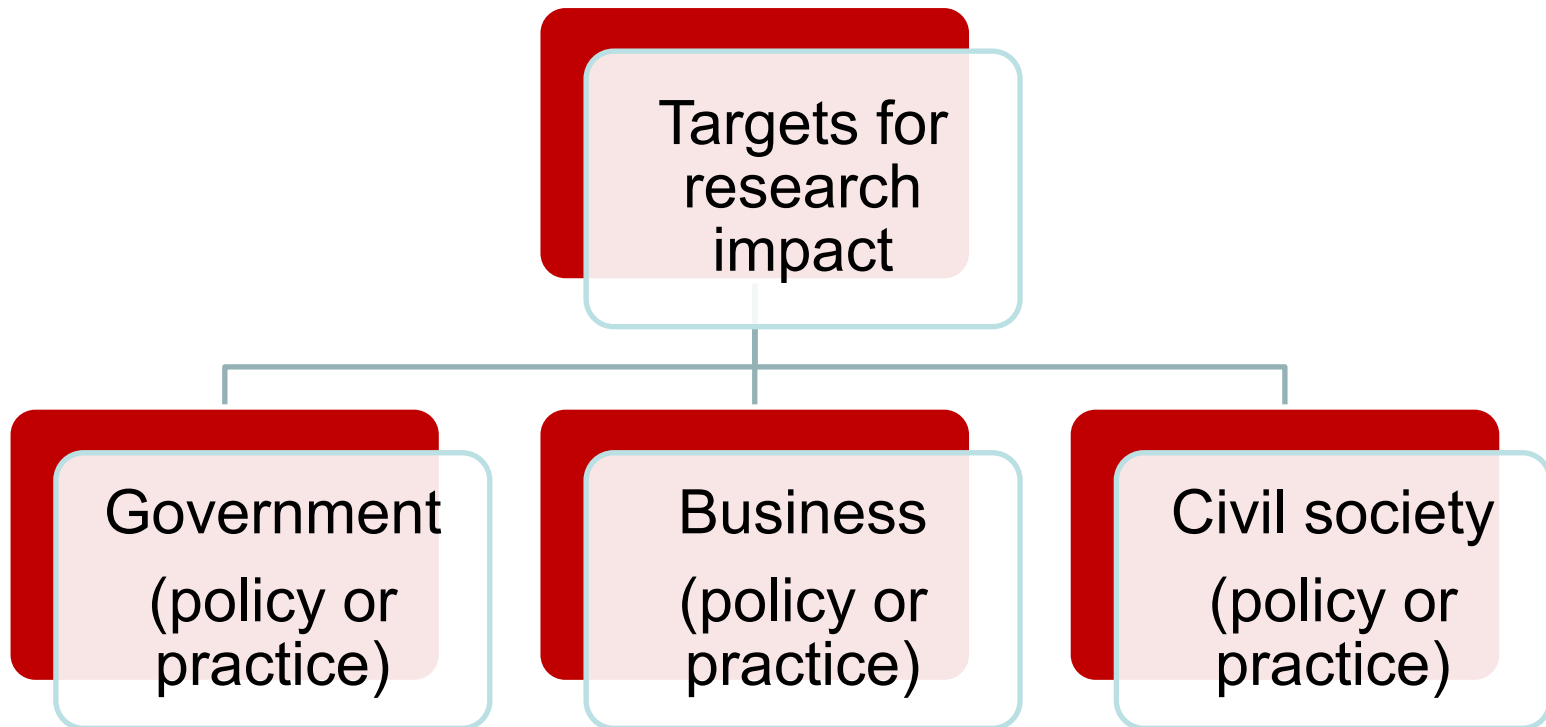
Responding to particular
proposed or on-going
change








Which stakeholders do you need?



Reflection

What sort of research implementation are you looking for in your research?

How do you want to engage these stakeholders?

INCREASING STAKEHOLDER INFLUENCE ON THE RESEARCH 

	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
STAKEHOLDER PARTICIPATION GOAL	Researchers provide stakeholders with balanced and objective information to assist them in understanding the research.	Researchers obtain stakeholder feedback on the research.	Researchers work directly with stakeholders to ensure that stakeholder concerns and aspirations are consistently understood and considered in the research.	Researchers partner with stakeholders for salient aspects of the research.	Researchers assist stakeholders in conducting their own research.
PROMISE MADE TO STAKEHOLDERS BY RESEARCHERS	We will keep you informed.	We will keep you informed, listen to and acknowledge your concerns and aspirations and provide feedback on how your input influenced the research.	We will work with you to ensure your concerns and aspirations are directly reflected in the research and we will provide feedback on how your input influenced the research.	We will look to you for advice and innovation in designing and conducting the research and incorporate your advice and recommendations to the maximum extent possible.	We will provide advice and assistance as requested in line with your decisions for designing and conducting your research, as well as for implementing the findings.

PLUS

- advocacy
- driving change

Advocacy and Driving change

Loss of neutrality should not be taken lightly
When is it justified?

Watch out for biases, esp confirmation bias

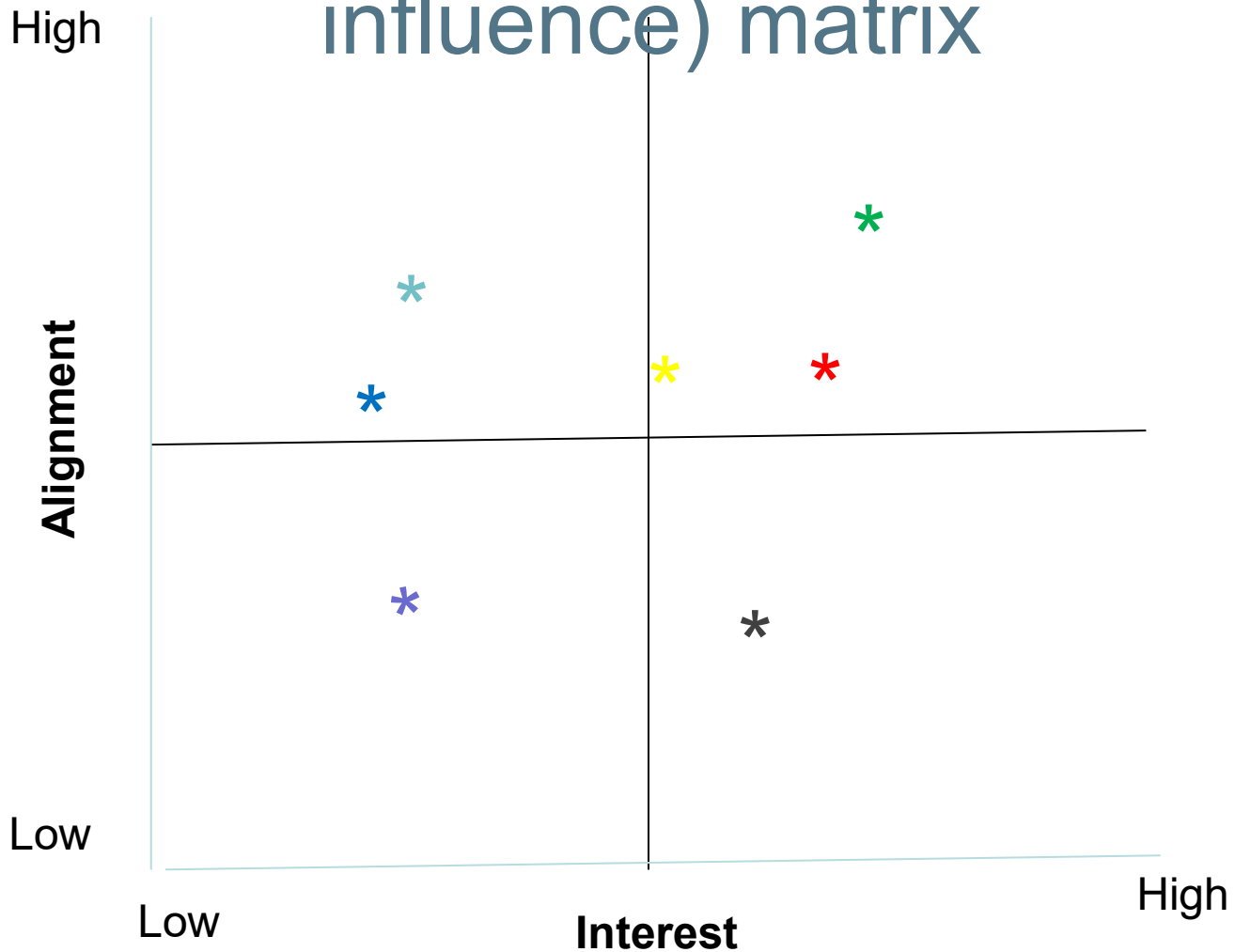
Stakeholder alignment, interest and influence matrix

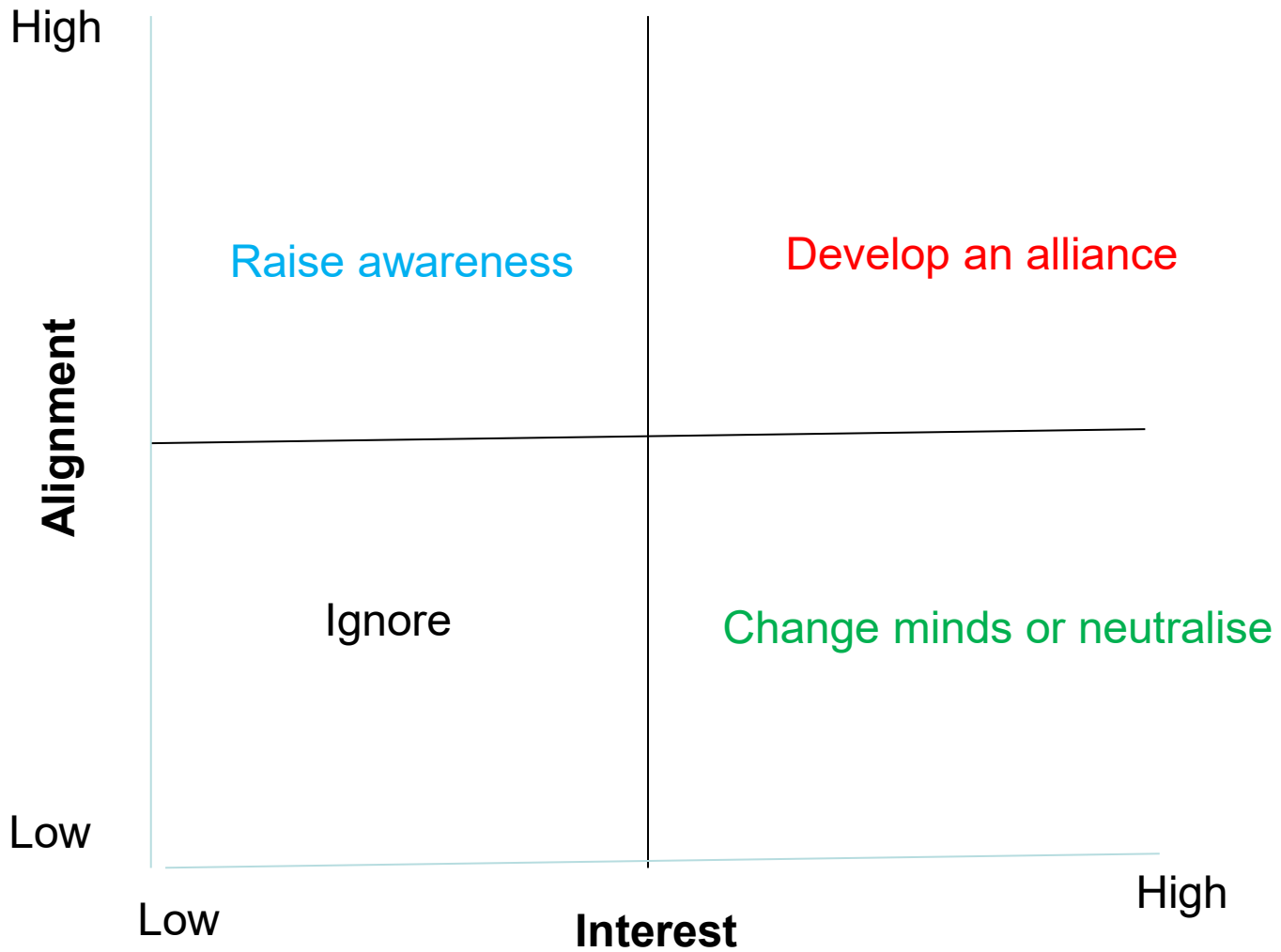
Variant of power, legitimacy, urgency

Focus on:

- Alignment (agreement with problem definition and aims)
- Interest (want to be involved)

Stakeholder alignment, interest (and influence) matrix





To be effective, you need to understand...

Organisational structures

- how organisations operate and how they are interconnected

= who to engage with

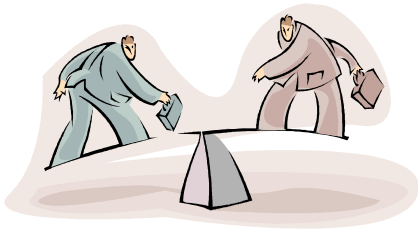
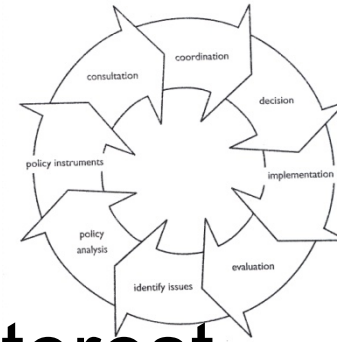
Processes

- how decisions are made and actions are taken

= when, how and where to engage

Theory can help eg Government policy processes

Technical-rational policy cycle



Response to interest
group pressure

Entrepreneurship & windows of opportunity



Key messages for engaging well

Government, business and civil society are
all options

Policy &/or practice

Government, business and civil society are
systems (interconnections matter)

Structure and process

Theory can help illuminate

All theories are partial

Reflection

Who are you aiming to target?

When, where and how?

Discussion (groups of 5, 30 sec each per topic = 10 min)

Please be crisp! Please make sure everyone has an equal turn!

- Quick introduction
- Successes
- Failures
- Any other comments

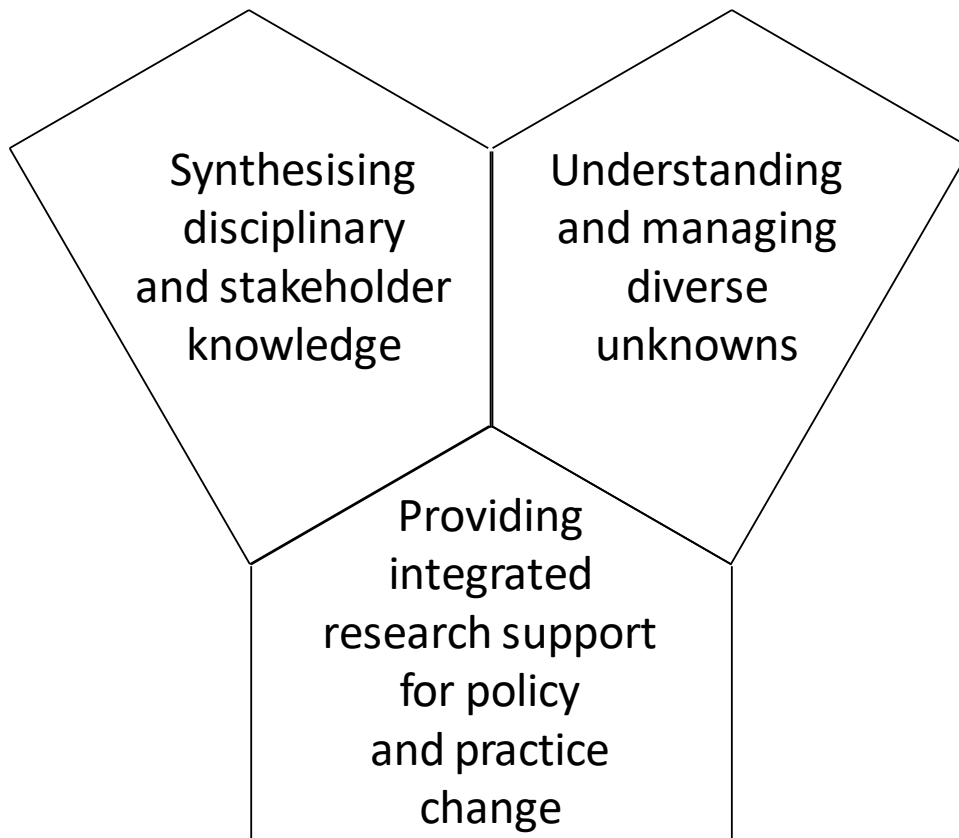
Please record your comments on the whiteboard.

Back to i2S Framework and Wrap-up

Gabriele Bammer



i2S Framework



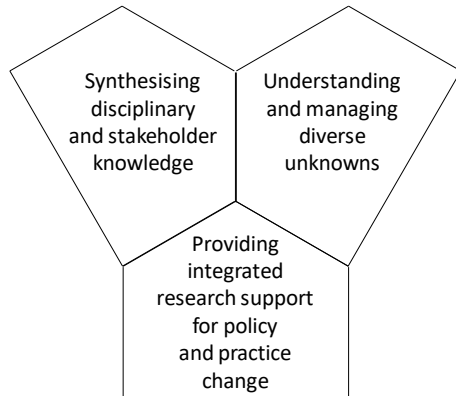
Cross-cutting categories

- Systems
- Context
- Diversity
- **Participation**
- **Stakeholders**
- Integration
- Communication

Specific categories

- Unknowns
- Research implementation
- Decision support
- **(Change)**

i2S Framework



NOTE: Topics in red are covered in workshop (integration only partially)
Reflection on framework
 (Small group discussion)

- What do you and your team do well?
- Are there any gaps?
- How can you bridge from what you do well to the gaps?
- How could Belmont Forum help?

Cross-cutting categories

- Systems
- Context
- Diversity
- Participation
- Stakeholders
- Integration
- Communication

Specific categories

- Unknowns
- Research implementation
- Decision support
- (Change)

Discussion (groups of 5, 30 sec each per topic = 10 min)

Please be crisp! Please make sure everyone has an equal turn!

- What do you and your team do well?
- Are there any gaps?
- How can you bridge from what you do well to the gaps?
- **How could Belmont Forum help? REPORT BACK**

Please record your comments on the whiteboard.



Assessment of the workshop

Please complete the poll

Wrap-up

Last word from everyone:

1. What was the highlight for you?

2. What will you take back to your Collaborative Research Action?

3. What would you recommend to improve the workshop?