

Stakeholder engagement

Edited Volume**Author(s):**

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Publication date:

2020-03-02

Permanent link:

<https://doi.org/10.3929/ethz-b-000308464>

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Originally published in:

Engaging in the Science-Policy Dialogue 2

Funding acknowledgement:

608422 - IDP Bridging Plant Science and Policy (EC)

Engaging in the science-policy dialogue

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Stakeholder engagement

Publisher
Zurich-Basel Plant Science Center

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Publisher

The Zurich-Basel Plant Science Center is a competence center linking and supporting the plant science research community of the University of Zurich, ETH Zurich and the University of Basel. The center promotes plant science research and education and provides platforms for interactions with peers, policymakers, industry, stakeholders and the general public.

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Version 1: 01.02.2020

Download link

DOI: [10.3929/ethz-b-000308464](https://doi.org/10.3929/ethz-b-000308464)

Citation

Hemmati, M. (2020). Stakeholder engagement. With contribution of: Maier, B. In: Paschke, M. and Dahinden, M. (eds.): Engaging in the science-policy dialogue, Workbook 2. Zurich: Zurich-Basel Plant Science Center.

We would like to thank the funding agencies and foundations supporting the PSC Science & Policy training program for graduate students, including the Swiss Science Foundation, the European Commission and the Mercator Foundation Switzerland.

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Engaging in the science-policy dialogue, 2020.

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Minu Hemmati

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Minu Hemmati

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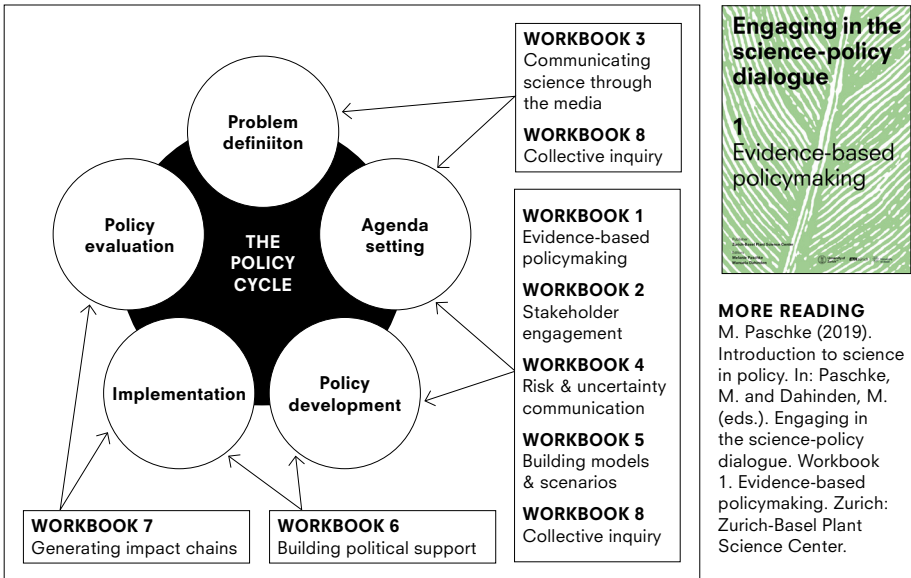
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Editorial

Implementing policy programs such as the conservation and sustainable use of ecosystems requires changing of habits and adoption of new techniques. Human nature, social theory and implementation experience all suggest that individuals and groups are reluctant to change if they do not see the benefits for themselves. The obvious way to convince people of the benefits of potential changes is to involve them as equal partners in the analysis of the issues and in the development of policy proposals.

This workbook is the second in a series of eight workbooks exploring the role of scientists in the science-policy dialogue. Multi-stakeholder approaches and participatory methods are important tools to make scientific expertise heard. Based on how we define our role as scientists, we will participate in different forms of stakeholder engagement. These might range from negotiation and advocacy to a setting where diverse expertise is valued in order to find new cooperative ways to reframe problems and create new options.

FIGURE 1 — The policy cycle.



Guide to workbook 2

The aim

Workbook 2 introduces you to the theory of multi-stakeholder processes. You will prepare your own stakeholder analysis and practice stakeholder engagement.

Competencies

- You will gain a basic understanding of multi-stakeholder processes.
- You will get an overview as to where multi-stakeholder processes could play a role.
- You will understand the different levels and forms of involvement that governments may use to engage stakeholders.
- You will learn to identify and analyze stakeholders.
- You will understand the criteria and methods for evaluating the outcomes of stakeholder engagement.

How to read this workbook

THEORY

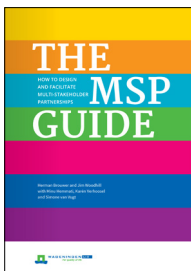
We will make you aware of the characteristics and phases of successful multi-stakeholder processes. We will introduce you to stakeholder analysis and discuss the questions: Who is involved in the stakeholder process, how and why? In an exercise, we will introduce a role-play about multi-stakeholder process and reflect on the experience. We will share insights about different kinds and qualities of communication and dialogue.

TOOLS

Description of tools that are used in multi-stakeholder processes such as empathy mapping and the different steps of stakeholder analysis.

EXAMPLE

We will present one example of a stakeholder analysis elaborated by a former participant of the *PSC Science & Policy training program* for graduate students.



MORE READING

Many of the theory, concepts and tools that we present in this workbook are explained in more detail in:

Brouwer, H., Woodhill, J., Hemmati, M., Verhoosel, K., van Vugt, S. (2015). The MSP guide – how to design and facilitate multi-stakeholder partnerships.

Retrieved from: www.mspguide.org/msp-guide

1. THEORY of stakeholder engagement

Minu Hemmati

Co-founder of MSP Institute e.V., Berlin, Germany

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1.1. What are stakeholders and their roles?

Stakeholders are people or institutions that have an interest in a particular course of development or a particular decision, either as individuals or as representatives of a group. This includes people who might influence a decision, are key actors in its implementation or are affected by the development in question (Hemmati, 2002).

This is a broad pragmatic definition. It includes representatives of groups and sectors as well as individuals – which is particularly important for processes at the local level. It also includes reference to those who might in future exert an influence. So we consider all relevant stakeholders in our analysis, including those that have not (yet) come forward, but with whom we may need at some point to interact and engage.

In addition, practical and cost implications will need to be considered. How many stakeholders can you engage in the process with the resources available? If resources are very limited, you may miss stakeholders who could be very important for finding a solution. In stakeholder analysis, it is important to keep an eye on both the issue(s) and the stakeholders.

1.2. Multi-stakeholder processes

A multi-stakeholder process is defined as a process of interactive learning, empowerment and participatory governance that enables stakeholders with interconnected problems and ambitions, but often different interests, to be collectively innovative and resilient when faced with emerging risks, crises and opportunities of a complex and changing environment.

— Brouwer et. al., 2015: 18.

FIGURE 2 — Artwork by Minu Hemmati.



1.2.1. Levels of multi-stakeholder processes

Multi-stakeholder processes (MSPs) bring together all major stakeholders (a minimum of three or more) to represent their views, communicate and participate in the decision-finding process on a particular issue. The dialogue should be between equal and accountable partners and be based on the democratic principles of transparency and participation. Outcomes are not only deliberative decisions built on consensus between stakeholders but also partnerships and strengthened networks between and among stakeholders (Hemmati, 2002).

MSPs can play a role in a variety of contexts and settings, for example, in:

- **Sustainable development** – bringing together people and organizations representing the environmental, social and economic aspects of challenges and developments.
- **Governance and democracy building** – enhancing engagement and participation of citizens, actors and stakeholders.
- **Peacebuilding, conflict transformation and reconciliation** – facilitating communication and collaboration across different sectors of societies.
- **Corporate governance, (social & environmental) responsibility** – helping companies to engage with their stakeholders and the communities in which they operate along the entire value chain.
- **Social entrepreneurship and inclusive business** – helping to redefine the customer, target group, workforce and investor bases of businesses and social endeavors and to facilitate their exchange and collaboration.
- **Organizational development and change management** – understanding that different departments, teams, projects and even individuals in organizations are also different stakeholders, and helping them to cooperate and manage change together.
- **Accountability** – particularly in terms of participatory monitoring and evaluation, when stakeholders – including beneficiaries, investors, donors and all others engaged in a development or project – work together to assess progress and engage in joint learning in order to continuously improve their work.
- **Leadership development** – multi-stakeholder processes require well-developed leadership that is value-based, visionary, facilitative and service oriented.

Ideally, an MSP leads to a practical outcome that could not have been achieved otherwise, and that can more easily be implemented because all stakeholders involved experience a higher degree of ownership. In high quality multi-stakeholder processes differences, even conflicts, hold the potential for innovative solutions and the achievement of goals that ultimately benefit all. High quality MSPs create a climate of trust, commitment and collective intelligence.

MSPs vary in terms of the level of engagement, ranging from one-way conversations such as hearings through continued, regular dialogue to joint action. Multi-stakeholder partnerships go beyond communication and include collaboration, where participants work together on a common problem over a shorter or longer period of time.

TABLE 1 — Levels in MSPs.

	Hearing	One-off dialogue event	Regular dialogue	Multi-stakeholder steering body	Multi-stakeholder partnership
Type of conversation	One-way conversation.	Two- or multi-way conversation.	Two- or multi-way conversation.	Two- or multi-way conversation / collaboration.	Two- or multi-way collaboration.
Description	Convener receiving input: research, planning, policy.	Convener receiving input and engaging in exchange: research, planning, policy.	Convener receiving input and engaging in exchange over longer period: regular policy review, planning review.	Joint responsibility, steering adjustments, steering results.	Joint decision-making process, planning, monitoring and evaluating implementation activities.
Outputs	Input received on one side; potentially increased understanding.	Input received on both sides; potentially new thinking emerges through exchange.	Input received on both sides; potentially new thinking emerges through exchanges; increasing stakeholder influence over time.	Memorandum of Understanding (MoU) or other institutional arrangement.	MoU or other institutional arrangement; action plans; project outputs; monitoring, evaluation and learning arrangements.
	>> from event >> to process >>				
	>> from listening >> through exchanging >> and guidance >> to collaboration >>				

1.2.2. Examples of multi-stakeholder processes

Examples of multi-stakeholder partnerships for sustainable development range in principle from small collaborative projects of individual organizations and institutions that address local challenges to international partnerships tackling global issues. Goals and activities can put emphasis on capacity development and knowledge exchange, market development, technological innovation, or standard setting. Many national centers that implement a global standard are networking among each other to share lessons learned and support each other's work.

The following two examples develop and implement quality standards for natural resources and consumer products and use MSPs to achieve these goals:

The *Forest Stewardship Council (FSC)* is a global non-profit organization that sets standards for responsibly managed forests, both environmentally and socially. FSC certification helps forests remain thriving environments for generations to come, by promoting ethical and responsible choices in local supermarkets, bookstores, furniture retailers. FSC consults with a global network of environmental, social, and economic members to ensure that forest standards represent everyone's needs, from indigenous peoples to endangered animal species (FSC, 2017).

The *Extractive Industries Transparency Initiative (EITI)* is another example of a global standard. It aims to promote the open and accountable management of natural resources. The partnership supports the implementation of EITI standards, for example in Germany (D-EITI), and promotes dialogue and transparency in the (German) raw materials sector through a range of activities, including producing regular reports about the sector and its key financial flows between state and business, communicating findings to the general public, and thus achieving a unique level of data transparency and establishing the basis for more accountability (EITI, 2017). D-EITI's governance includes a multi-stakeholder group comprising 15 representatives from the public and private sectors and civil society.

1.2.3. Principal benefits and risks of multi-stakeholder processes

MSPs are costly and time-consuming, often difficult to handle and don't come with a guarantee of success. However, there are some key benefits that justify the investment:

- **Quality of decisions.** MSPs involve a greater variety of knowledge and expertise, hence more knowledge goes into decision-making processes. In addition, diversity can enhance creativity in groups and teams, so MSPs can increase the likelihood of finding innovative, integrative solutions.
- **Credibility of decisions.** Knowing that various interests have been balanced or integrated, increases perceived credibility and legitimacy.
- **Likelihood of implementation.** Participation breeds ownership, and enhanced ownership increases the likelihood of implementation of agreed plans and actions.
- **Outreach.** Involving stakeholder groups in the process of decision-making (and possibly decision-making) already spreads information to their constituencies, so these are better prepared to engage in implementation when decisions are made and plans are agreed.
- **Quality of cross-sector relationships.** In MSPs, participants realize their differences, but also their commonalities. They enhance their cross-sector communication and build relationships through successful collaboration. This helps overcome stereotypes, increases social cohesion, and hence contributes to enabling fundamental transformation.

MSPs also carry risks which need to be managed in successful engagement processes:

- **Undue increase of stakeholder influence.** There may be criticism about engaging stakeholders at all, for example, when elected governments seek stakeholder participation, while citizens feel that their government as the democratically legitimate decision-makers should have the necessary expertise in-house to proceed without stakeholder involvement.
- **Biased stakeholder influence.** Processes may suffer legitimacy and credibility problems when stakeholder influence isn't sufficiently balanced – e.g., when private sector companies can afford to be more engaged than civil society groups; such differences need to be balanced through appropriate rules and support for under-represented groups.

- **Lack of transparency toward the outside.** While it is sometimes essential to enable confidential exchange within an MSP, it can also put the credibility of a process at risk, because keeping conversations confidential also means not being transparent about them.
- **Risks of suboptimal process.** A process that is not being run well puts at risk the reputation of conveners and participants; it causes frustration, withdrawal and often conflict, and stakeholders may not be willing to engage in such processes again.

1.2.4. Characteristics of well-functioning multi-stakeholder processes

MSPs are very diverse. Well-functioning MSPs may be described as follows (adapted from Brouwer et. al., 2015):

- **Shared problem.** Stakeholders need to have a shared problem in order to invest time and energy exchange and collaboration. The problem will usually be defined in more detail during the process of developing the MSP.
- **All key stakeholders have to be engaged in the process from the beginning.** Credibility and success of an MSP is endangered when key stakeholders are being left out or are being involved too late. As the focus may evolve during the process, new groups may need to be included and other groups may not be relevant anymore.
- **Working across different sectors and scales.** Different stakeholders from government, business and civil society engaging in a stakeholder process will increase the chances of finding a solution.
- **Following an agreed process and timeframe.** Stakeholders need to fully understand the process, its steps and timeframe before they can engage.
- **Involving stakeholders in establishing their expectations for an effective MSP.** Partnerships need to develop clear rules and procedures of communication, decision-making, leadership and responsibilities. If expectations are not discussed and agreed, processes can suffer from unnecessary misunderstanding and conflict.
- **Working with power differences and conflicts.** Stakeholders will come to a partnership with different kinds and levels of power, e.g., in terms of wealth, status, political connections, knowledge, or communicative abilities. In a constructive MSP, power differences need to be addressed and underlying conflicts need to be recognized and discussed.

- **Fostering stakeholder learning.** MSPs create an environment where people can learn from each other and learn together, taking the perspectives of others and moving beyond their own positions. Thus, stakeholders pool their knowledge and have a better chance at creating innovative solutions. All need to learn in order to get beyond 'business as usual' and enable truly transformative change.
- **Balancing bottom-up and top-down approaches.** MSPs need to balance working with structures and decisions that come from the top and supporting input from a wide range of stakeholders that come from the bottom.
- **Making transformative and institutional changes possible.** Most of the issues and challenges we face in the world today are deep-seated. They lie in a mismatch between how the world is now and our past ideas, cultural attitudes, dominant technologies, decision-making mechanisms, and legal frameworks.

1.2.5. The 4-phase process model

Multi-stakeholder dialogues and collaborative actions go through four phases over time. Brouwer et al. (2015) suggest the following iterative phases:

1. Initiating

In the **development phase**, an initial idea develops into a plan of activities. Plans change as thinking develops and more partners are sought and become engaged in the process. This period is often marked by initial skepticism (toward ideas and toward each other) and a building of trust – often followed by a veritably enthusiastic 'honeymoon' ensues.

2. Adaptive planning

More detailed **action planning** leads to agreement on who should do what, when and with whom. It is also often the phase of acquiring financial resources, because most partnership programs require additional resources for implementation.

3. Collaborative action

The need for a fiduciary agent also often prompts the development of contractual arrangements among the partners. By then, the process is moving toward its **implementation phase**, when joint actions are beginning. The transition from development to implementation is crucial and is often the point where the process gets stuck. This can have a number of reasons, such as 'diffusion of responsibility' (when people implicitly assume that someone else was supposed to take this or that action), or delays due to initial lack of resources or the need for

intra-organizational clearance. Also, increasing experience with the partnership often leads to restructuring and reassignment of roles and responsibilities. All of these challenges can cause frustration and negative group dynamics, and need to be managed carefully.

4. Reflective monitoring

The next phase(s) can include further, permanent **institutionalizing** of the partnership, **monitoring and evaluation** or closure of the joint activity. Again, transitions pose any number of potential pitfalls and need to be carefully managed.

A few examples may illustrate these phases and transitions: There may be agreement on basic ideas but when developing an action plan, differences of understanding, of perspective, and of ideas about roles and responsibilities commonly arise. It is also likely to take much more time and effort to move from ideas to concrete action plans than was expected. In other cases, all partners may want the program to be implemented, but nobody has the resources to work on, manage or raise funds for it.

TABLE 2 — The 4-phases of a multi-stakeholder process and related tasks. Brouwer et al., 2015: 29.

Phase	Description
Initiating	<ul style="list-style-type: none"> • Clarify reasons for the multi-stakeholder process. • Undertake stakeholder analysis. • Establish steering committee. • Build stakeholder support. • Establish scope and mandate. • Outline the process.
Adaptive planning	<ul style="list-style-type: none"> • Deepen understanding and trust. • Identify issues and opportunities. • Generate visions for the future. • Examine future scenarios. • Agree on strategies for change. • Identify actions and responsibilities. • Communicate outcomes of this phase.
Collaborative action	<ul style="list-style-type: none"> • Develop detailed action plans. • Secure resources and support. • Develop capacities for action. • Manage implementation. • Maintain stakeholder commitment.
Reflective monitoring	<ul style="list-style-type: none"> • Create a learning culture and environment. • Define success criteria and indicators. • Develop and implement monitoring mechanisms. • Review progress and generate lessons • Use lessons for improvement.

EXERCISE 1

Please read table 3 carefully and fill in the last column 'Science'.

TABLE 3 — Some comparative distinctive attributes of different sectors.

Adapted from Waddell, 2015.

	Public sector	Private sector	Civil society	Science
Representatives	Ministers and advisors (executive), civil servants & departments (bureaucracy), elected representatives (legislature), courts (judiciary), political parties, local government, military, international bodies (World Bank, UN).	Corporations and businesses, business associations, professional bodies, individual business leaders, financial institutions.	National NGOs, international NGOs, trade unions, social movements, advocacy groups, churches / religions, schools and universities, media.	
Primary concerns	Political systems.	Economic systems.	Social systems.	
Control units (legitimated by ...)	Voters / rulers.	Owners, shareholders.	Members, constituencies.	
Primary power forms	Laws, police, fines.	Money, jobs, human resources, technology.	Traditions, values, publicity.	
Primary goals	Societal order.	Wealth creation.	Healthy communities, healthy environment.	

THEORY

TOOLS

EXAMPLE

Assessment frame	Legality.	Profitability.	Justice, sustainability.	
Goods produced	Public goods & services.	Private goods & services.	Group / public goods.	
Dominant organizational form	Governmental.	For profit.	Non-profit.	
Operating frame	Administrative.	Managerial.	Developmental.	
Relationship basis	Rules.	Transactions.	Values.	
Temporal framework	Election cycles.	Profit-reporting / business cycles.	Sustainability / regeneration cycles / consultation cycles.	
Reasons to enter MSP	Staying informed, fulfilling participatory tasks, getting help implementing rules.	Seeking business opportunities, maintaining license to operate, minimizing risks.	Seeking to convince, fulfilling advocacy mandate, initiating change.	
Typical behavior in MSPs	Observing, reporting back to hierarchy, providing information about regulatory frameworks.	Fast, decision-oriented, action-oriented.	Slow, conversation-oriented, advocating, sometimes demanding and accusatory.	

1.3. Stakeholder analysis

Stakeholder analysis includes steps to systematically analyze interests and capacities of different stakeholders so that they can be considered when developing and/or implementing a policy or program (adapted from Schmeer, 1999).

Stakeholder analysis is a collaborative process of research, debate and discussion that draws on multiple perspectives to determine a key list of stakeholders across the entire stakeholder spectrum. It can be broken down into four phases: (1) **identifying**, (2) **analyzing**, (3) **mapping** and (4) **prioritizing**, by ranking stakeholder relevance and identifying issues.

The process is as important as the result, and the quality of the process depends essentially on the knowledge of the people participating. It should be an iterative process involving a number of stakeholders and conversations with them. Even a group exercise with an initial 'core group' of stakeholders in a given process can be a fruitful step toward developing an accurate stakeholder landscape and a shared understanding of it.

FIGURE 3 — Example of a stakeholder map. Underlined are stakeholders with high networking value.
 Diagram is courtesy of Minu Hemmati.

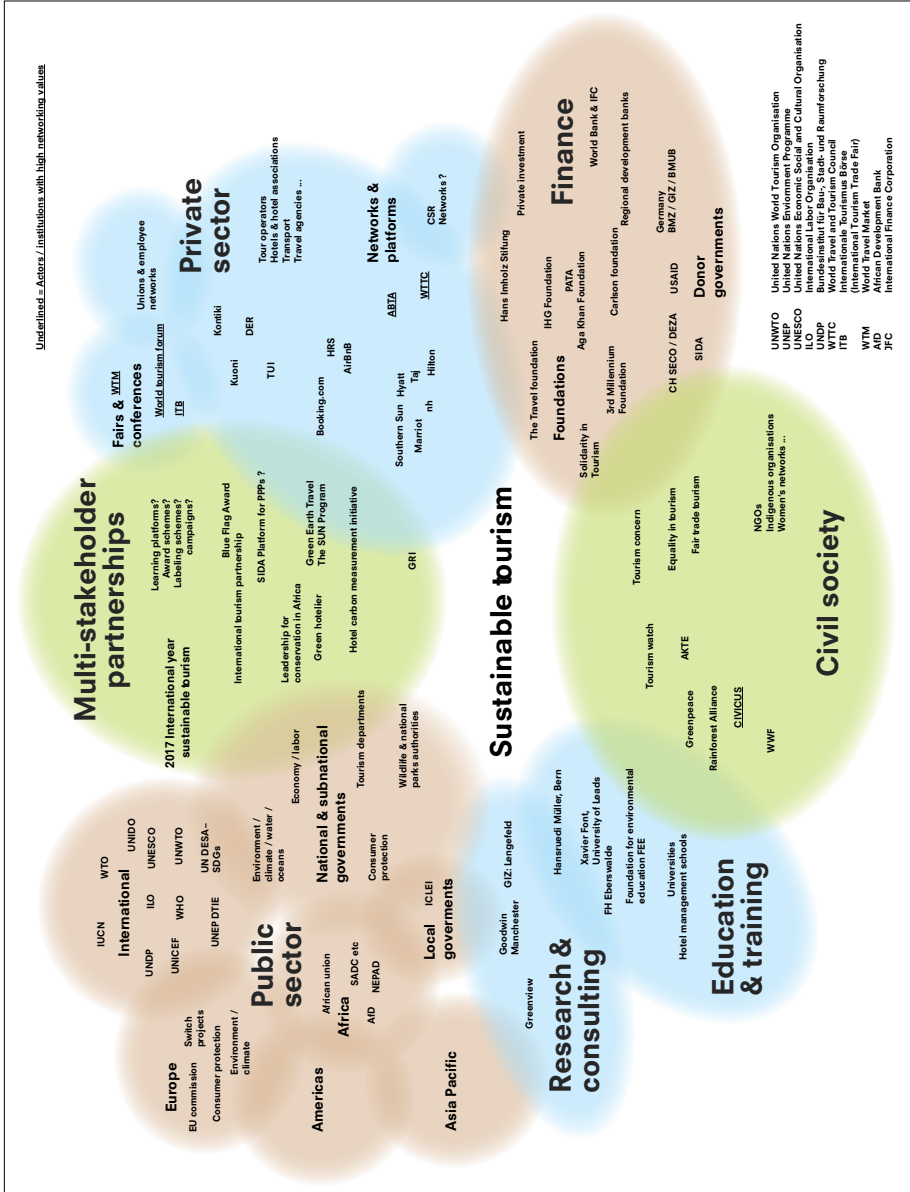


TABLE 4 — Steps in stakeholder analysis.

STEP 1 — List stakeholders	Identify the most important stakeholders by simply making a list.
STEP 2 — Characterize stakeholders	Characterize stakeholders based on their interests – i.e., stakes in the process, their possible contributions to successful outcomes of the process (i.e., knowledge, money, time, labor) and their decision-making power (i.e., influential or not).
STEP 3 — Map stakeholders’ influence & interests	Map their influence and interests on a vertical and horizontal axis.
STEP 4 — Determine stakeholders’ roles and levels of engagement	Are they partners, contractors, influencers, disseminators, funders, informers, knowledge providers, regulators or beneficiaries?

Methods and tools linked to these steps are described in ‘Chapter 2. Tools’.

EXERCISE 2

Role-play. Simulate a stakeholder process and public dialogue – Should genetically modified crops be commercialized in Europe?

The use of genetically modified (GM) crops in Europe has been debated for a long time. Strong critical voices from different stakeholder groups have resulted in bans on GM crops in many European member states. This exercise is we do a role-play presenting the different positions for practicing a fair and transparent stakeholder dialogue.

Implementation

With a range of different views from different stakeholders and a conflict, this is a good topic for a lively exercise. In addition, participants will quickly find plenty of relevant materials on the web, to collect arguments for their respective roles.

The role-play can be conducted with a group of 10–20 individuals. Each role is written on a card, and roles are randomly assigned by drawing cards.

Participants

- **Convener:** the organization hosting the dialogue.
- **Facilitators and co-facilitators / note takers:** people co-opted by the convener.
- **Journalists:** reporting about the dialogue.
- **Observers:** take notes about stakeholders' and facilitators' activities and provide feedback for discussion.
- **Stakeholders:**
 - Pro:** scientist; biotech company; biotech business network.
 - Contra:** concerned scientist; consumer group; environmental group; women's network.
 - Neutral:** government; union.

How to prepare and conduct the role-play:

STEP 1

10 minutes.

Think individually about the leading question and note your opinion, collect arguments that support your opinion (brainstorming). Be clear about why it is in your interest to have this opinion.

STEP 2

20 minutes.

Select your role using the prepared cards. Convener, facilitators: prepare the session: agenda, times, methods / formats. Others: research arguments from the respective opposite side (internet research).

STEP 3

10–15 minutes.

Plan the role-play together.

STEP 4

10–15 minutes.

Start process.

STEP 5

15 minutes.

Review and discuss: observers share what they have noted; all participants share their experiences.

STEP 6

10–15 minutes.

Continue the role-play.

STEP 7

10 minutes.

Review and discuss: observers share what they have noted; participants share their experiences and ask: what went well? What did we not do so well? What could we do differently? What have we experienced and learned? About ourselves and about multi-stakeholder dialogue?

1.4. Enhancing the quality of communication

An essential element of stakeholder engagement and multi-stakeholder processes is obviously communication among stakeholders. The quality of communication can vary greatly, and different forms of communication are best for different circumstances and purposes. Multi-stakeholder processes will often be characterized by efforts to create opportunities for dialogue, rather than discussion, debate or negotiation.

In a dialogue of stakeholders, representatives not only state their views but listen to each other's views for the purpose of developing mutual understanding, including each other's value-base, interests, goals and concerns. Dialogue requires the willing participation of all parties; even one person whose primary orientation is toward getting her or his way can destroy the dialogue.

Discussion is a frank exchange of views, followed by mutual exploration of the benefits and shortcomings of those views. More than 'dialogue', the term 'discussion' recognizes the differences between views and people and is less focused on mutual understanding than on consensus-building.

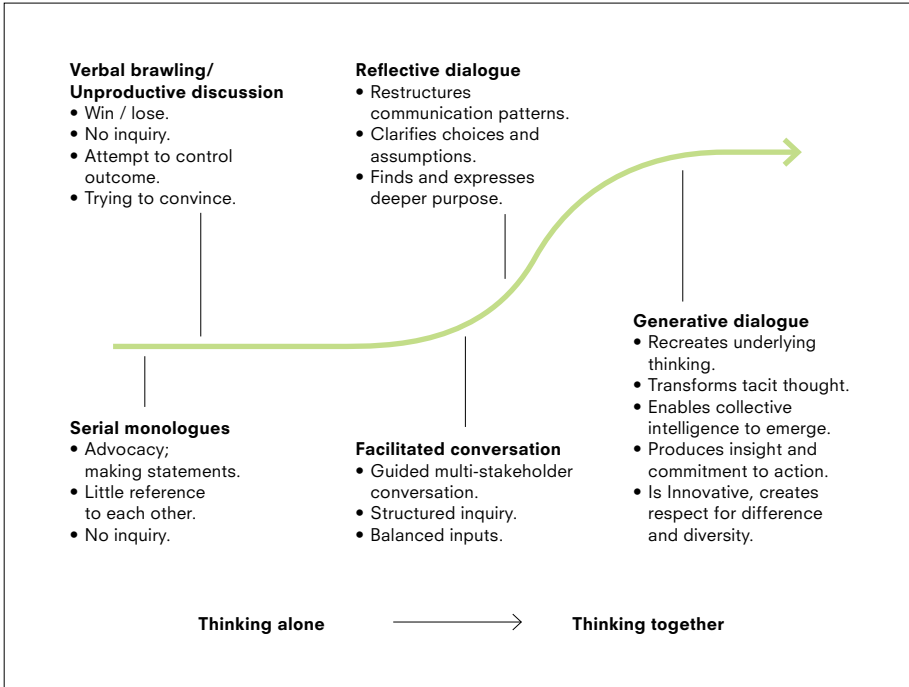
The term debate refers to stakeholders stating their views and arguing 'their case'. Debates imply a party-political approach and are usually 'won', meaning that they don't lead to an integration of views.

— Hemmati, 2002: 18.

Whenever the level of engagement (see above) goes beyond hearings, mutual understanding will be essential in order to move forward. Whenever stakeholders engage in joint decision-making processes, an integration of views is necessary – or at least preferable to mere deal-making or negotiation. This is particularly true when it comes to complex matters of implementing sustainability, when very different aspects and goals – environmental, social, and economic – need to be integrated in decisions or solutions.

Various models describe different kinds and qualities of communication, among them the idea of 'developing conversations' from serial monologues to generative dialogue (Smith and Mackie, 2007).

FIGURE 4 — The development of conversations. Adapted from DIALogos, Inc., 2001.



Good listening is a particularly important component of high quality conversations – it seems simple but is often not easy, especially if you are listening to someone with very different opinions, using different terms, or proposing a perspective that you find problematic. Listening is powerful. Research has shown that listening can support performance. People who are listened to well can think better and tend to be more eloquent when expressing themselves (e.g., Smith and Mackie 2007). Good listening also helps to create a culture of respect and appreciation that serves everyone in a multi-stakeholder setting – including yourself. So listen attentively. Good listening can also motivate engagement. Identifying the needs and wants of all stakeholders helps us to approach and attract people from different stakeholder groups. Becoming a good listener is a matter of understanding what makes good listening, and a lot of practice. Table 5 shows some key do’s and don’ts of listening.

TABLE 5 — Do’s and don’ts of listening. Smith and Mackie, 2007.

DO	DON'T
Reserve time, avoid distractions and be in eye contact with the speaker.	Avoid intensive staring as this may make the speaker feel uncomfortable.
Show that you are listening through non-verbal clues.	Avoid interrupting or changing the subject.
Show empathy.	Avoid sharing your own related stories without being asked.
Listen attentively while the person is speaking.	Plan your own response while the person is speaking and fail to hear everything.
The speaking person decides how much they wish to reveal.	Avoid trying to get the person to speak about things that are too personal.
Summarize the speaker’s points to make sure you have understood correctly.	Avoid repeating what the speaker said word-for-word.
Ask questions to prompt the speaker to think about possible alternatives.	Avoid offering your own opinions, unless you have expertise that will help provide a solution.
Encourage the speaker and be optimistic.	Avoid false enthusiasm or unrealistic suggestions.
Promise to keep all you have heard confidential.	Avoid repeating what you were told in confidence.

1.5. Four dimensions of change

We all distil our life experience in a certain way and draw conclusions from our experience about how the world works, and how, as a result of that, it would be best to go about things and which would be the best structure to work in. Most of the time we unconsciously assume that what we are most used to or what is most comfortable for ourselves must be the best way of operating for everybody. This, not surprisingly, is a serious obstacle in multi-stakeholder dialogues that are designed to lead to concrete change.

Table 6 captures a framework developed by Thomas (2007). It represents an integration of two important streams of work: the literature on social conflict and conflict transformation, which identifies four dimensions in which conflict creates change and where change must occur for conflict to be transformed to lasting peace (Lederach, 2007); and the four quadrants of Ken Wilber’s *Integral Theory* (2003). Each quadrant represents a distinct approach to change, focusing on changing individuals, relationships, structures, or culture. When working in groups, it may be helpful to engage in reflection and meta-communication: what are the dimensions of change the different group members engage? It is also a good fundament for strategy making, as our knowledge and assumptions about the world and how change can be achieved are an important basis for strategic choices of activities towards change.

TABLE 6 — Framework of four dimensions of broad, sustainable change. Thomas, 2007.

<p>INDIVIDUAL Personal transformation</p> <ul style="list-style-type: none"> • Help individuals grow and develop greater self-awareness. • Education to broaden knowledge base. • Training to broaden competency base. • Attention to mental and spiritual health and growth. • Make explicit and examine assumptions, mindsets, mental models. 	<p>RELATIONSHIPS Transforming relationships</p> <ul style="list-style-type: none"> • Reconciliation / conflict transformation. • Building trust. • Promoting respect and recognition. • Increasing knowledge and awareness of interdependence. • Changing patterns of dysfunctional relations.
<p>CULTURE Transforming collective patterns of thinking and acting</p> <ul style="list-style-type: none"> • Changing the 'rules' and values that sustain patterns of exclusion. • Exploring and transforming taken-for-granted collective habits of thinking and behavior. • Promoting more inclusive, participatory culture of 'civic engagement'. • Transforming patterns of overly simplistic and distorted discourse. 	<p>STRUCTURES / SYSTEMS Transforming structures, processes, mechanisms</p> <ul style="list-style-type: none"> • Lobbying for more just policies, greater transparency and accountability, institutional rearrangements . • Just and equitable allocation of resources and services. • Reforming processes.

2. TOOLS for stakeholder engagement

Minu Hemmati

Co-founder of MSP Institute e.V., Berlin, Germany

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2.1. Empathy mapping

Purpose

Empathy mapping was initially developed in marketing and market research for understanding customers, but can be used in stakeholder analysis as well. Empathy mapping is a tool to help you synthesize your observations and draw out unexpected insights. An empathy map is a useful tool in stakeholder analysis, for example in participatory research.

Time needed

20 min.

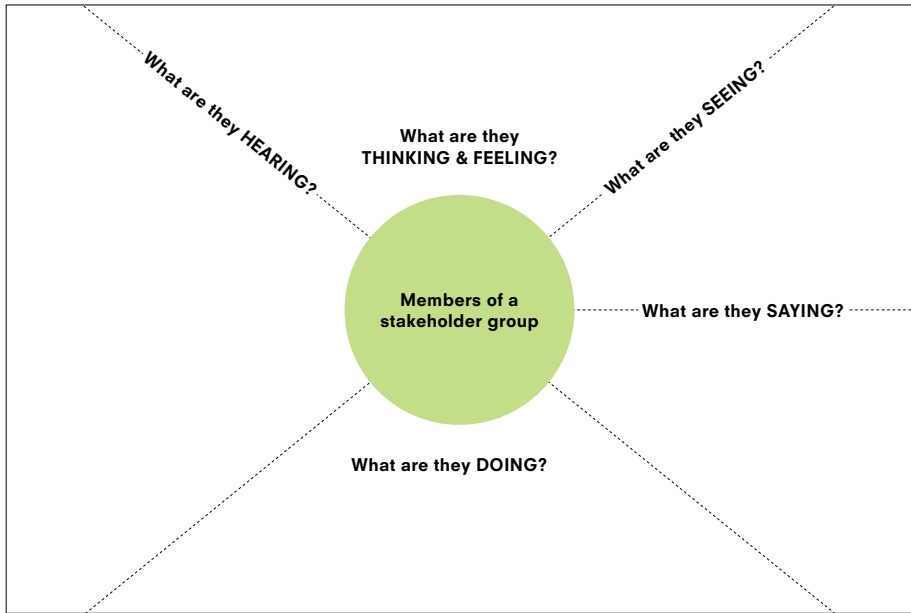
Implementation

The purpose of the tool is to help you to take perspective – slip into the shoes of a stakeholder group, and understand the way they think, feel, speak and act.

Once you have an empathy map, it is necessary to validate it with actual stakeholder responses. You can have a test group of sample stakeholders from the segment itself answer your questions and correct any responses.

- You will need a large format of the worksheet and a lot of colorful post-its.
- A set of stakeholder cards is given to all participants at the beginning.
- Find your respective group, depending on the card you have drawn.
- Take a flip-chart paper and pens.
- Discuss how you want to draw your picture of how this stakeholder thinks, feels and acts toward e.g., genetic engineering in agriculture in Africa. Differentiate clearly between thinking, feeling, speaking and acting:
 - **THINK.** What might members of this group be thinking? What might this tell you about their beliefs?
 - **FEEL.** What emotions might members of this group be feeling?
 - **SAY.** What could be typical quotes or defining words that members of this group would use?
 - **DO.** What actions and behaviors did you expect from members of this group?
- Collect your knowledge and assumptions on how this stakeholder thinks, feels, speaks and acts – first individually for yourself, then for group discussion.
- Finish your picture on the flip-chart. You should show clearly that you understand the stakeholder's thinking, feeling, saying and acting (you can use arrows or colors, as well).
- Be prepared to present your results to the group.

FIGURE 5 — Empathy map worksheet.



SOURCE— adapted from

The empathy map was developed by the visual thinking company XPLANE. <http://x.xplane.com/empathymap>

2.2. Stakeholder analysis

Purpose

It is important to understand who has, or may have, an interest in a particular process, who might be affected by it, and who does or could influence it. It is important to invest time and effort in good stakeholder analysis. You can begin at your desk and continue in initial conversations with potential participants, and as part of the beginning dialogue among stakeholders itself. Good stakeholder analysis, paired with a good understanding of the issues and context, is the basis of good stakeholder processes.

Time needed

120 minutes.

Implementation

Stakeholder analysis can benefit from using some simple tools and from reviewing and revision over time. Stakeholder analysis is an essential aspect of developing an effective action or engagement plan and for analyzing its outcomes.

Here are the four steps you should consider:

STEP 1 – List your stakeholders

Take a few minutes by yourself, in an individual conversation and /or with your dialogue partners to identify the most important stakeholders.

STEP 2 – Characterize your stakeholders

For each stakeholder fill the matrix in table 7.

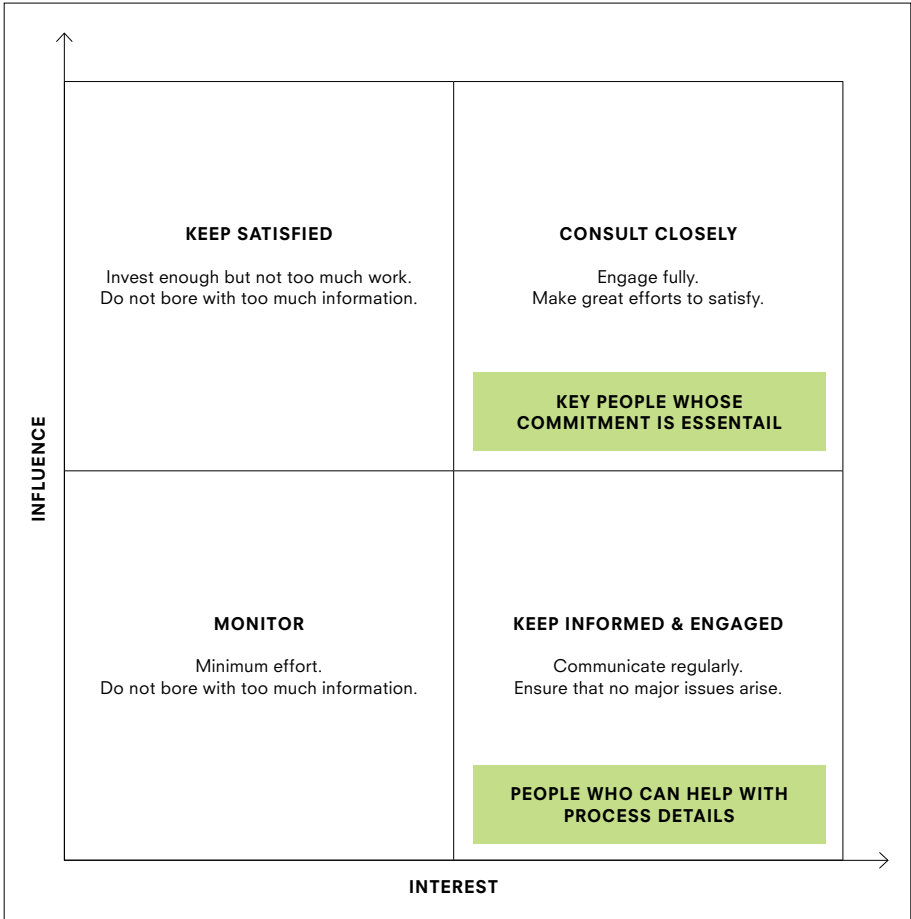
STEP 3 – Map your stakeholders' influence and interests

Take a large piece of paper, a flip chart or a board, mark out four quadrants and name the vertical and horizontal axes. Use figure 6 as template. In a real-life process, this can also be done together with participants, or when you begin the stakeholder analysis during an initial phase of individual conversation with different actors. It is good to work with a growing list and an increasingly refined analysis. Share it with the people you are talking to.

TABLE 7 — Matrix of stakeholders and their interests, contributions and decision-making power.

STAKEHOLDERS	Interests – i.e., stakes in the process.	Contributions to successful outcomes of the process (knowledge, money, time, labor).	Decision-making power (influential or not).
1			
2			
3			
4			
5			

FIGURE 6 — Interest and influence map.



When the matrix is complete, think about what you need to do. Your 'ideal stakeholders' will have both a strong influence over and a high interest in your process and the change you want to achieve. Think about how to motivate and mobilize people to move from 'low interest' to 'high interest'. You will need individual strategies for each group, especially different ones for low- and high-influence stakeholders. Consider whose capacity needs to grow and that a stakeholder with high interest but low influence may become stronger and more influential.

STEP 4 – Determine your stakeholders’ roles and levels of engagement

In this step, you sort through your stakeholders and think about their roles in the process, and their levels of engagement. Use table 8 as a template.

This can also be done in preparatory conversations and as part of the process. The table can be used to explicitly and transparently agree who will play which role. If repeated at intervals during a process, it can also be used to review, reflect and possibly adjust roles and levels of engagement as your process and relationships develop.

TABLE 8 — Stakeholders and their roles.

Stakeholder	Role
	Partner.
	Contractor.
	Influencer / champion.
	Disseminator.
	Funder.
	Informer / consultant.
	Knowledge provider.
	Regulator.
	Beneficiary.
	Other.

SOURCES

www.mspguide.org and www.stakeholdermap.com/stakeholder-analysis.html

3. EXAMPLE of stakeholder engagement

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3.1. Protection of plants against pathogens

This practice-oriented example deals with naturally occurring, commensal bacteria that colonize plants and protect them against pathogenic bacteria (and to a lesser extent fungi). We as scientists wish to discuss with different stakeholders how we could use naturally occurring bacteria or their products in agricultural applications.

3.1.1. Stakeholder analysis

The first question we need to raise is: Who are the stakeholders (roles, positions, interests, influences)? Table 9 defines the main stakeholders and their presumed positions. Table 10 defines main stakeholders and their influence.

TABLE 9 — Identification of stakeholders and presumed positions.

Presumably PRO	Presumably NEUTRAL	Presumably CONTRA
Agricultural companies involved in production and distribution of the bacterial inoculant.	Farming groups / unions. NGOs concerned about pollution.	Chemical / agricultural / pharmaceutical companies involved in the production of insecticides, fungicides and other established competitor products. NGOs concerned about biodiversity.
Small biotech start-ups.	'Green' consumers.	Consumer groups.
Scientists.	Governments.	

TABLE 10 — Classification of influence of stakeholders.

Stakeholders	Interests – stakes in MSP	Contributions to successful outcomes of MSP	Decision-making power
Companies	Financial gain / loss.	Knowledge, lobbying, labor, money.	Influential (economic).
NGOs	Ideas, environment.	Public opinion, lobbying.	Fairly influential (ideas).
Farming groups / unions	Financial gain / loss.	Knowledge, lobbying, application of technology.	Influential (political).
Consumer groups	Personal health.	Public opinion, lobbying.	Fairly Influential (political, ideas).
Scientists	Funding, scientific interest.	Knowledge, labor.	Little influence (expert knowledge, ideas).
Farmers	Financial gain / loss.	Knowledge, labor, application of technology.	Not influential (outside of unions).
Small biotech start-ups	Financial gain / loss.	Knowledge.	Little influence (economic).
'Green' consumers	Knowledge.	Public opinion.	Little influence (ideas).
Governments	International competition, safety, public opinion.	Legal framework.	Influential (political, economic).

3.1.2. Underlying values and interests

Figure 7 sets out the key and influences of the stakeholders involved. The identification and analysis was derived from recent public biotechnology debates and the voices of stakeholders. From the analysis it would appear that ecology- and health-related issues must be weighed against economic issues. While the economic side is dominated by the private sector (pharmaceutical, chemical, and agricultural companies), health and ecology are in the hands of the public sector (consumer and farming associations, non-governmental organizations and local governments). This sector is highly sensitive to public opinion, which is itself dependent on informed experts (scientists, NGOs, public officials) and conceptual framing of the subject (NGOs, associations, private sector advertisements / lobbying). European member states must strike a balance between realizing economic advantages and increasing overall wealth and protection and satisfaction of their citizens.

FIGURE 7 — Interest and influence map.

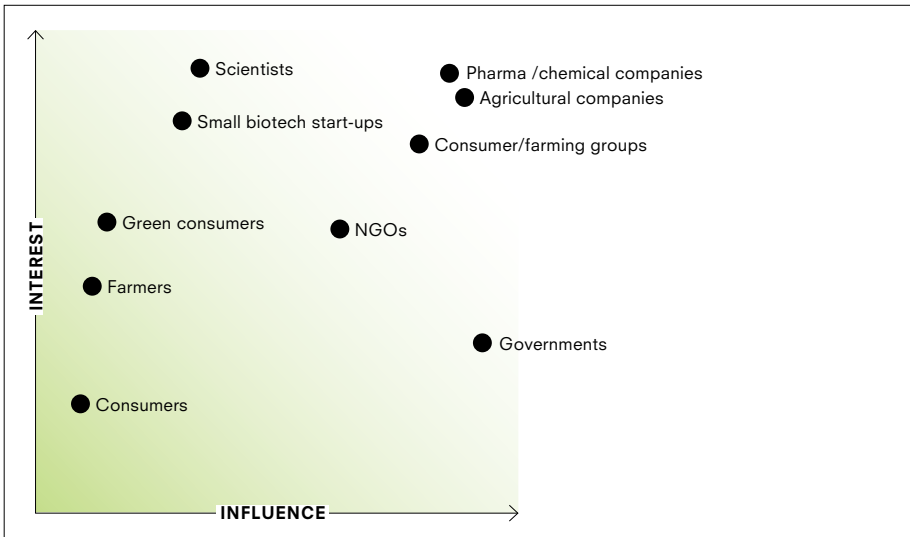


TABLE 11 — Roles and levels of engagement.

Role	Stakeholder
Influencer / champion.	NGOs, farming / consumer groups.
Disseminator.	Scientists, government, NGOs.
Funder.	Governments, farming groups.
Informer / consultation.	Scientists, consumer groups, NGOs.
Knowledge provider.	Scientists.
Regulator.	Government.
Beneficiary.	Agricultural companies, small biotech start-ups.

3.1.3. Negotiation and action

The roles are less easy to identify than it seems. Companies are interested in multi-stakeholder processes (MSPs), however, any MSP funded significantly by a company would be vulnerable to the accusation of bias. Governments and farmers' unions are presumed to be initially neutral on the issue and should, therefore, be considered as possible sponsors. Scientists from companies and start-ups can also be included, but are less likely to be perceived unbiased compared to scientists from universities or foundations. The 'beneficiary' category also has to be defined more precisely. In the case of successful implementation of the technology, and assuming it will reduce chemical pesticide usage, consumers, farmers, and the environment would all benefit. In the short term, the parties with a potentially positive financial stake would be the prime beneficiaries.

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