



UNIVERSITY OF GOTHENBURG

# Walk the talk

-

## Research - Policy Interaction and Impact

Environmen for Development Initiative

October 24, 2017

[Daniel.Slunge@gu.se](mailto:Daniel.Slunge@gu.se)

Center for Environment and Sustainability

[www.gmv.gu.se](http://www.gmv.gu.se)



# STAKEHOLDER INTERACTION IN RESEARCH PROCESSES - A GUIDE FOR RESEARCHERS AND RESEARCH GROUPS

In many research projects, stakeholder interaction is ad hoc rather than strategic and systematic. This guide provides advice on good practice, strategies and tools for researchers and research groups interested in finding effective ways to involve stakeholders in their research and have an impact on society.

Daniel Skunge, Olof Drakenberg, Anders Ekborn, Maria Göthberg,  
Asa Knaggård and Ullrika Sahlin, 2017



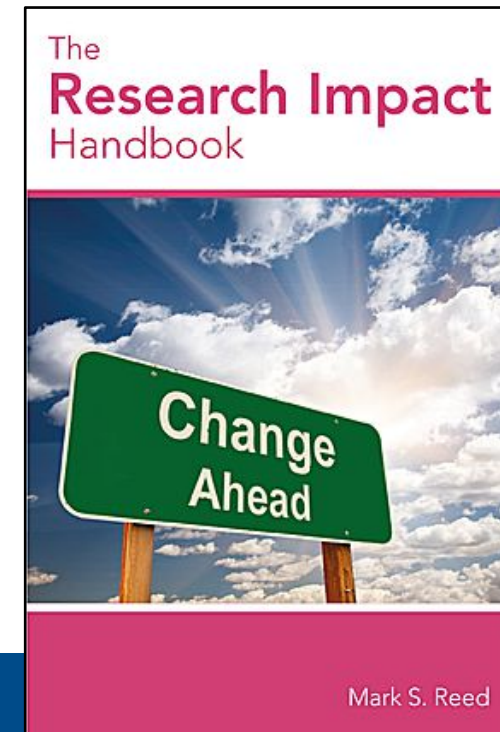
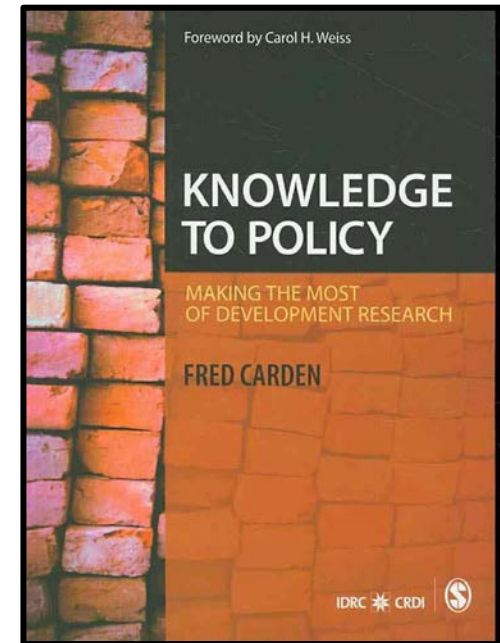
## TODAY

- Why?
  - Motivation, opportunities & risks.
- What?
  - Prioritized policy processes and stakeholders
- How?
  - Tools for interaction
- When?
  - Action Plan



# Point of departure

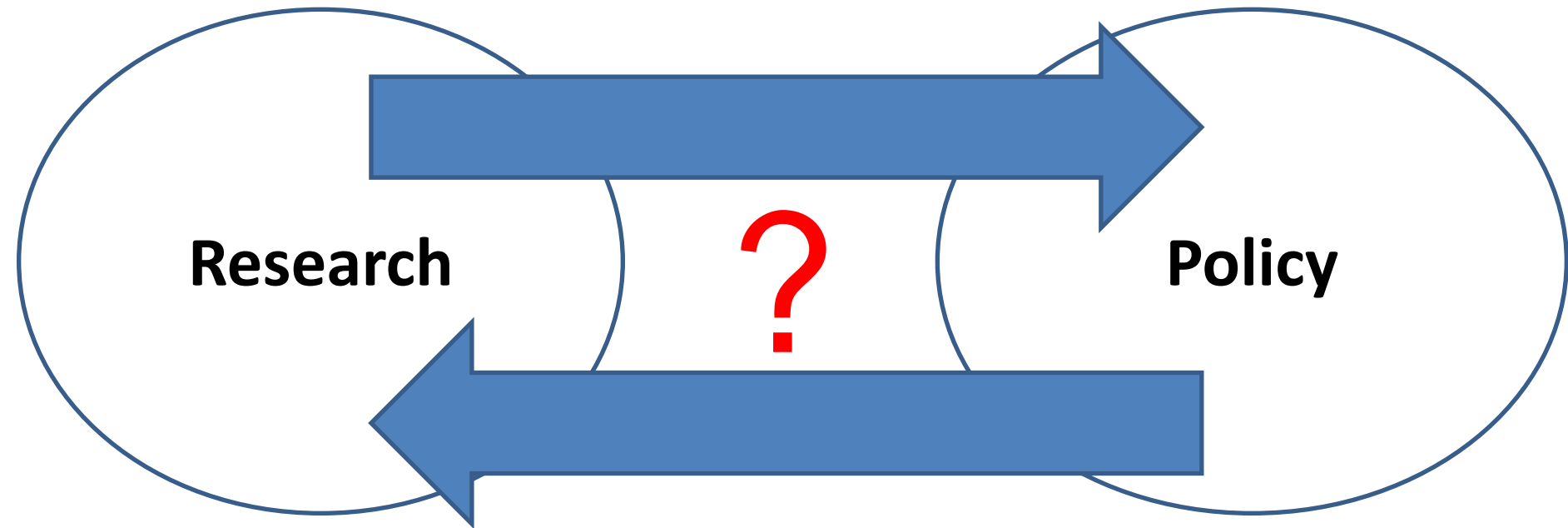
- Analyze the context of your research
- Develop a strategy
- Have a long time perspective
- Be persistent and opportunistic



References: Carden, F. 2009. IDRC. <http://idl-bnc.idrc.ca/dspace/bitstream/10625/37706/1/IDL-37706.pdf>  
Reed, M. 2016. <http://www.fasttrackimpact.com/research-impact-book>



# A Research – Policy Gap?



Never the twain shall meet?! (Glover 1995)



# Research vs Policy Making

## Research

- Curiosity, integrity
- Objectivity, neutrality
- “Truth”, facts, logic
- Data, scient. *Analysis*
- Public., Promotion
- Independence
- Scientific esteem
- Slow, evidence-based

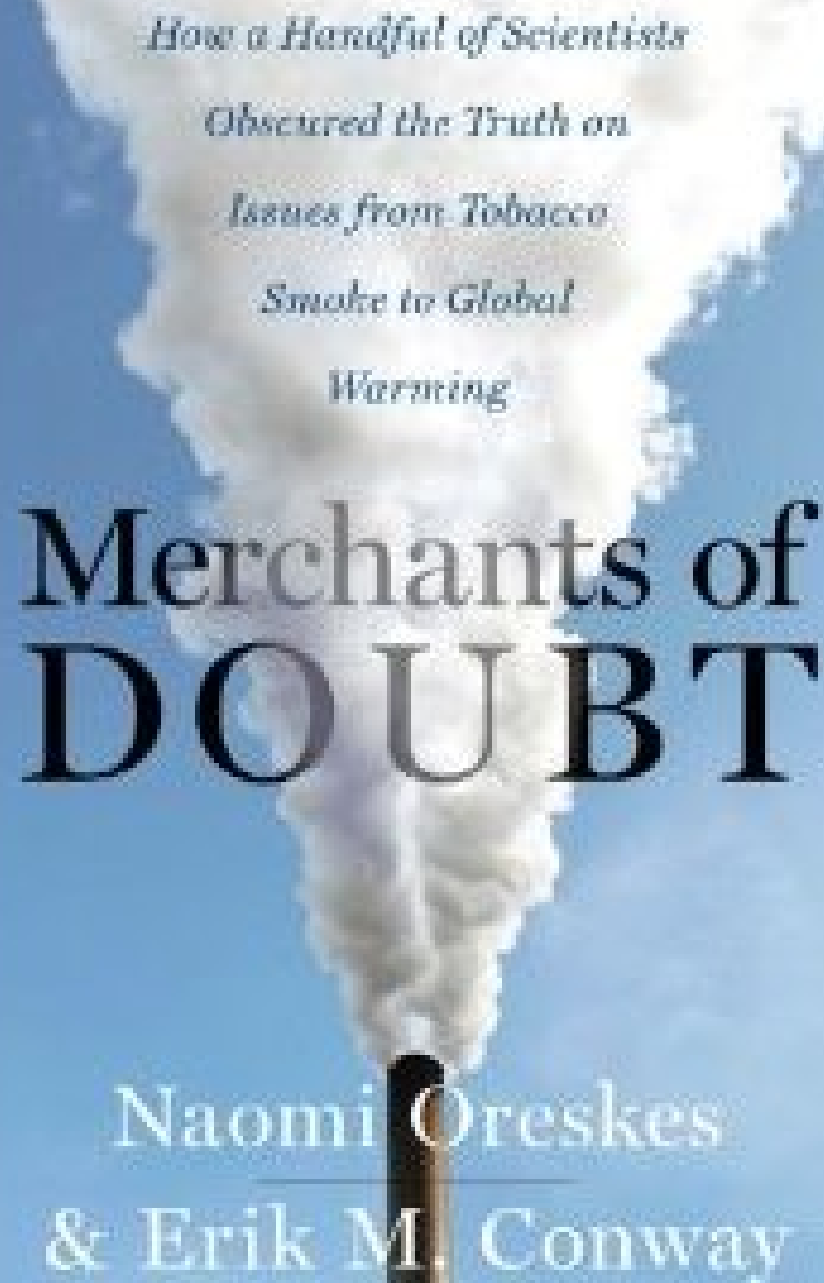
## Policy

- Ideology, “will”
- Power, re-election
- Actions, Results
- e g Growth, Employment
- Constituencies, majority
- Path dependence
- Subjectivity
- Fast, short time horizon





2017-12-20





**Well, is it that bad?**

**Doesn't research have a large  
impact on policy ?**

**What does history tell us?**



# JOURNAL OF AGRICULTURAL RESEARCH

VOLUME XVIII

OCTOBER 1, 1919—MARCH 15, 1920

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OF LAND-GRANT COLLEGES

WASHINGTON, D. C.

# JOURNAL OF AGRICULTURAL RESEARCH

VOL. XVIII

WASHINGTON, D. C., OCTOBER 1, 1919

No. 1

## NOTES ON THE COMPOSITION OF THE SORGHUM PLANT<sup>1</sup>

By J. J. WILLAMAN, *Plant Chemist*, R. M. WEST, *formerly Assistant Chemist*, D. O. PRIESTERSBACH, *formerly Research Assistant*, and G. E. HOLM, *Research Assistant*,  
*Division of Agricultural Biochemistry, Minnesota Agricultural Experiment Station*

### I.—INTRODUCTION

Since 1877, when the United States Department of Agriculture undertook the investigation of sorghum (*Sorghum vulgare*) as a source of crystallized sugar, many thousands of analyses of sorghum juice, from many different varieties, have been made and published. As a result, there is a well-established fund of knowledge concerning the kinds and quantities of sugars in the juice, especially for the more temperate regions of the United States. Considerable work has been done in this and in other countries on the effect of removing the seed heads on the composition of the juice. Also a little work has been done on the practices followed in the manufacture of sorghum sirup. However, when one of the present writers, R. M. West, undertook in 1912 to place the sorghum industry in Minnesota on a better economic and scientific basis, the need for further chemical investigations was seen at once. It was apparent (1) that, considering the effect of climatic factors on the composition of the cane, more exact knowledge was needed concerning the behavior of sorghum grown in the most northern limit of its range; (2) that the utilization of the cane somewhat prior to maturity, and very often after being killed by frost, would be necessary in order to lengthen the milling season as much as possible; (3) that the methods of defecation and evaporation in vogue were decidedly in need of improvement and standardization; (4) that for economic reasons the small-scale manufacture of sorghum sirup, with inefficient mills, little or no defecation, and slow boiling, would have to give way to large-scale production or the rapid decrease in production of sirup, as witnessed for the last thirty years, would no doubt continue. The investigations at this Station resulted in the accumulation of considerable data of both scientific and practical interest. The

<sup>1</sup> Published with the approval of the Director as Paper 170, Journal Series, Minnesota Agricultural Experiment Station.

Journal of Agricultural Research,  
Washington, D. C.

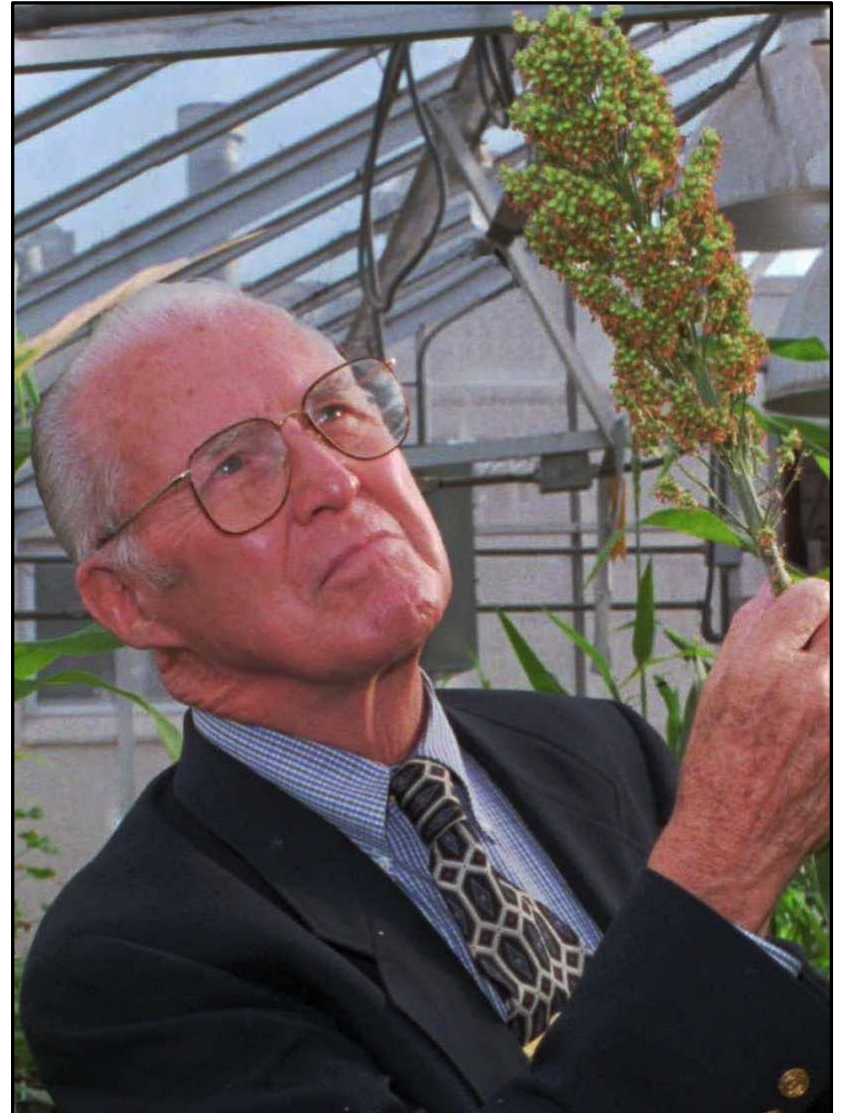
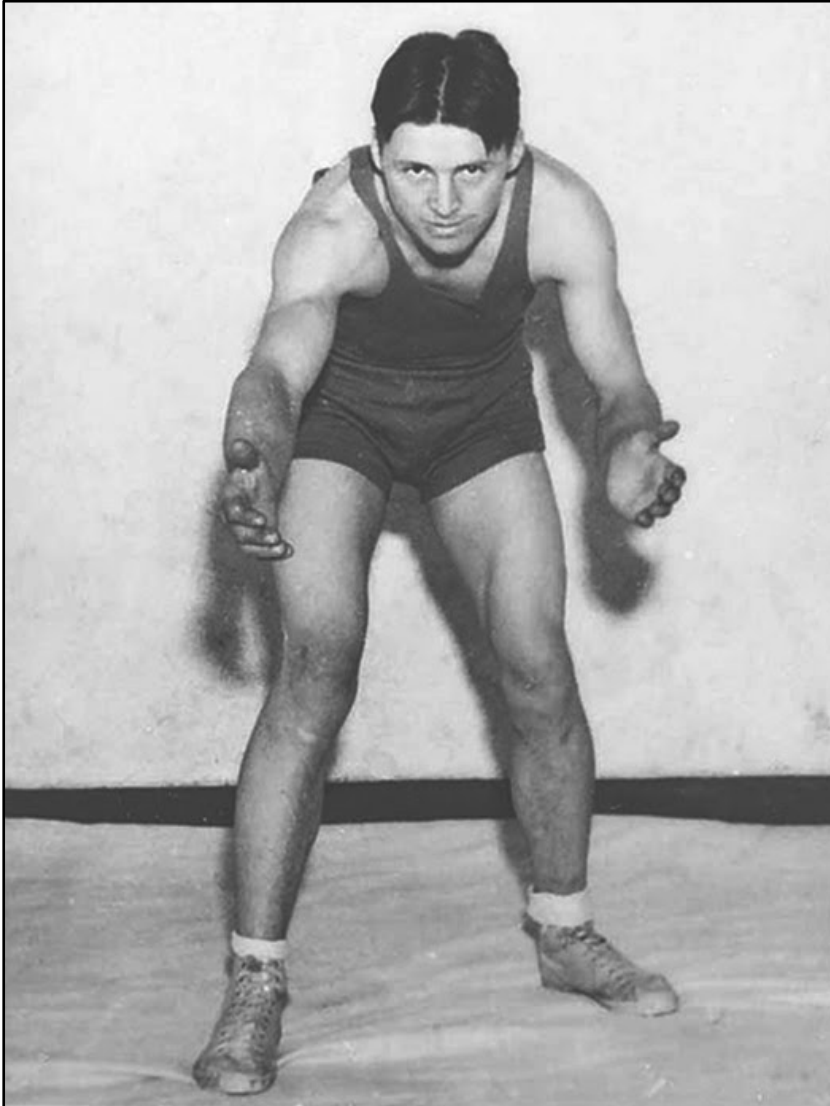
Vol. XVIII, No. 1  
Oct. 1, 1919  
Key No. Minn.-33

(1)

OCT 1 1919

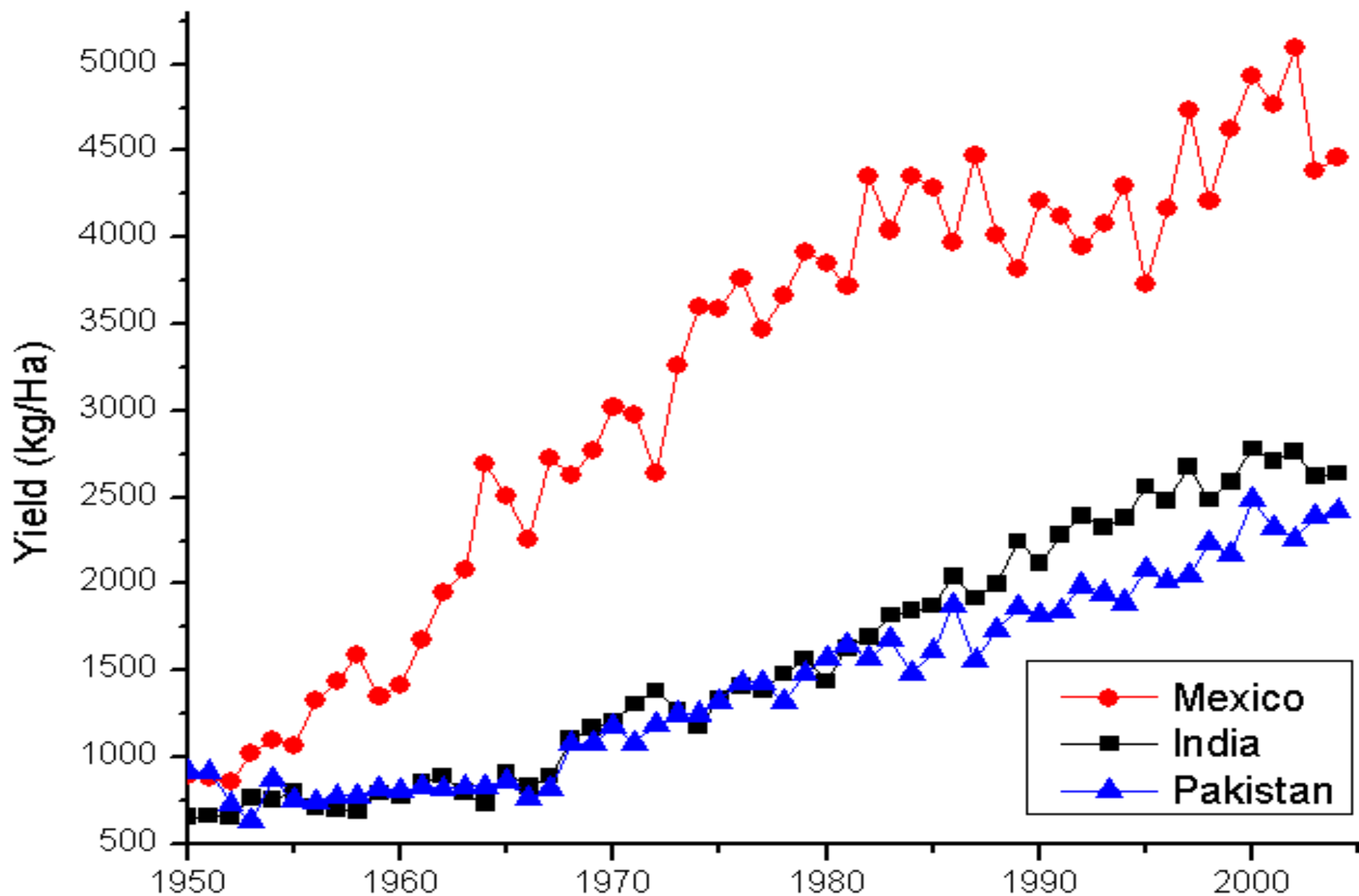


# The role of agricultural research on policy & practice





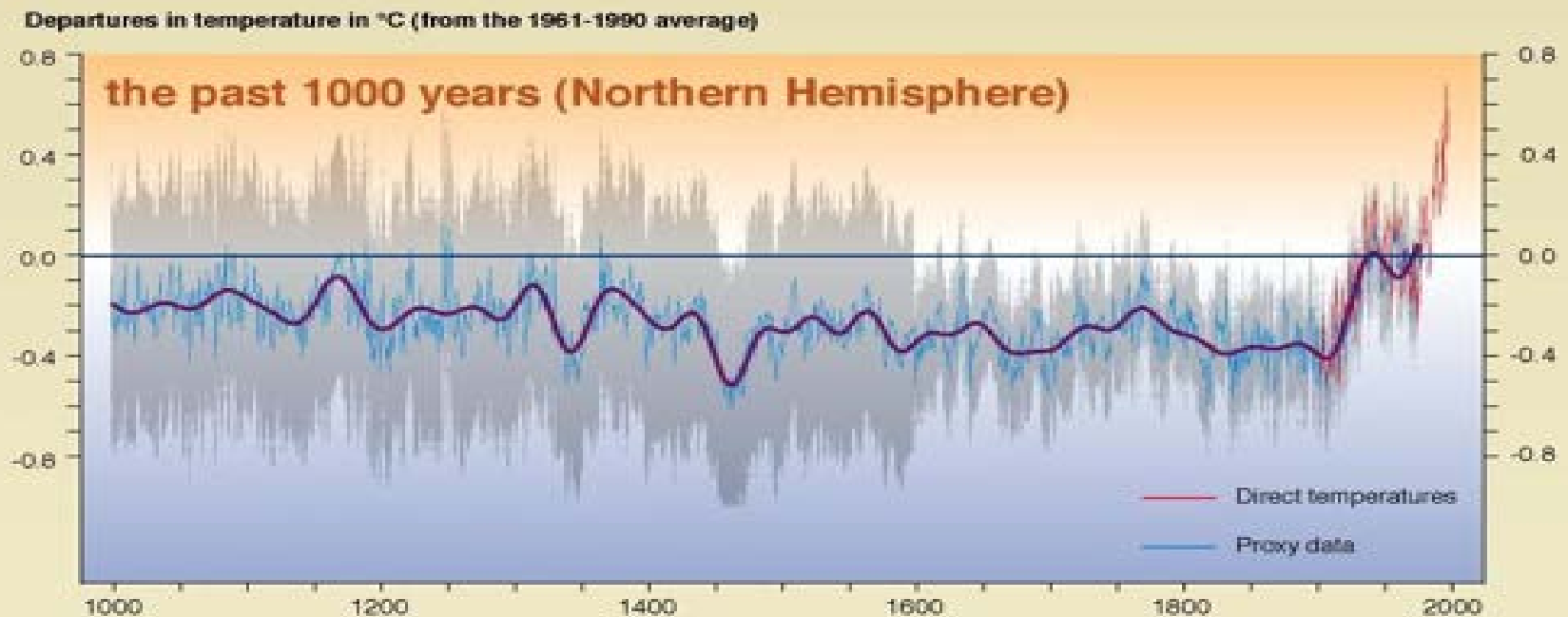
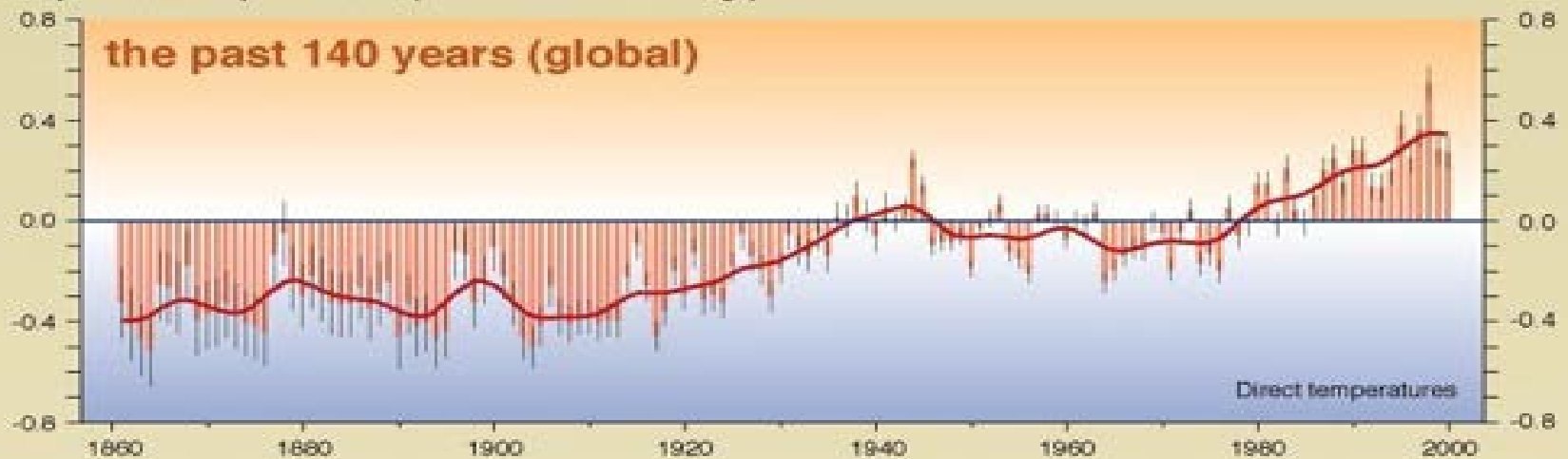
# Wheat yields in Mexico, India, Pakistan 1950-2009



Source: FAO



# Climate change +1C 1860-2016



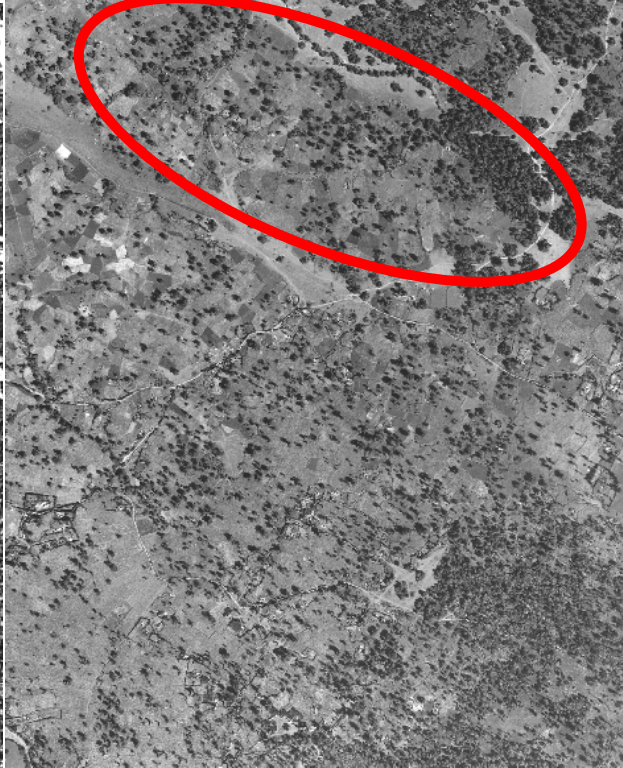


# Deforestation and Land use change in Ethiopia

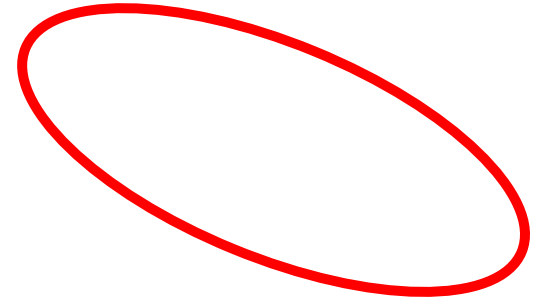
1967



1986



2006





# How is research transferred to & used in policy?:

- Instrumentally: quick; solve concrete well defined problems; evaluate policy actions
- Symbolically: to persuade, legitimize (to maintain existing positions/practices)
- Conceptually: slow; sheds new light; shapes thinking (informs, enlightens (Weiss, 1977))



## **Excercise 1: Risks and opportunities with policy interaction?**

For your center and for researchers at your center:

- What are the main risks/costs/barriers for related to policy interaction activities?
- What are the main opportunities/benefits?



# Opportunities w Research-Policy interaction

- Access to data and research materials
- New research ideas
- Present findings at policy/stakeholder workshops/seminars
- Invitations to Advisory boards, Government commissions
- Invitations to media events, debates, public hearings
- Membership in Research-funding-; and/or research-policy committees
- Inquiries for independent research advice and “second opinions” on plans, programmes, policies
- => esteem, recognition, influence



# Having the will to engage?!

## Reflective questions on roles/strategies for policy interaction (individual researcher)

- What kind of researcher would you like to be?
- What **motivates** you? What do you want to attain?
- Is policy interaction **important** to you? Why?
- How **active** would you like to be: now, later?



## Incentives for policy interaction at different levels

- *Individual level – will & skills*
- *Research group level – culture*
- *Institutional level – incentives, fostering an enabling environment*



## ***Questions for a research group/center on roles and strategies relating to policy and stakeholder interaction***

- What are our objectives relating to stakeholder interaction?
- What strategies do we use to reach these objectives?
- What roles do we as individual members of the research group have? Is the division of labour adequate?
- What can we do to develop our capacity for and skills in effective stakeholder interaction?
- How do we monitor and evaluate the results of our interaction activities?



# Research Roles in successful Research Groups (Perez-Vico 2015)



**Researcher**



**Educator**



**Advisor**



**Networker**



**Midwife**



**Infrastructure  
Developer**



**Debater**



**Evaluator**



**Entrepreneur**





# Planning for Policy Interaction at EfD Centers

"Country needs" –  
Environment and  
Development Priorities ?

Policy processes  
Windows of opportunity?

Key stakeholders ?



Centers' research themes  
Historic, ongoing processes

Center's network and  
capacity



# **EfD Policy Research Reviews 2016-2017**

- 1. Review of main policies related to sustainability and growth in your country, including plans for SDGs and INDCs.**
- 2. Review of related past research within EfD.**
- 3. Implications on focus areas for EfD research and policy interaction objectives and activities the coming five years.**

## **Next steps**

- Policy Interaction and Communication Action plan 2018**



# Excercise 2: Policy Interaction Priorities

**Work in groups – 3 centers/collaboratives per group)**

**20 minute per center:**

**1. Brief presentation (5-7 min):**

- Centers priority research area
- Key policy processes linked to research areas
- Key stakeholders
- Policy interaction priorities for 2018

**2. Questions and comments (5 min)**

**3. Reflect on key challenges to improve the center's policy-interaction activities as well as ways to address challenges (8-10 min)**

-----

**4 . Write 3-5 identied key challenges on wall paper (5 minutes)**

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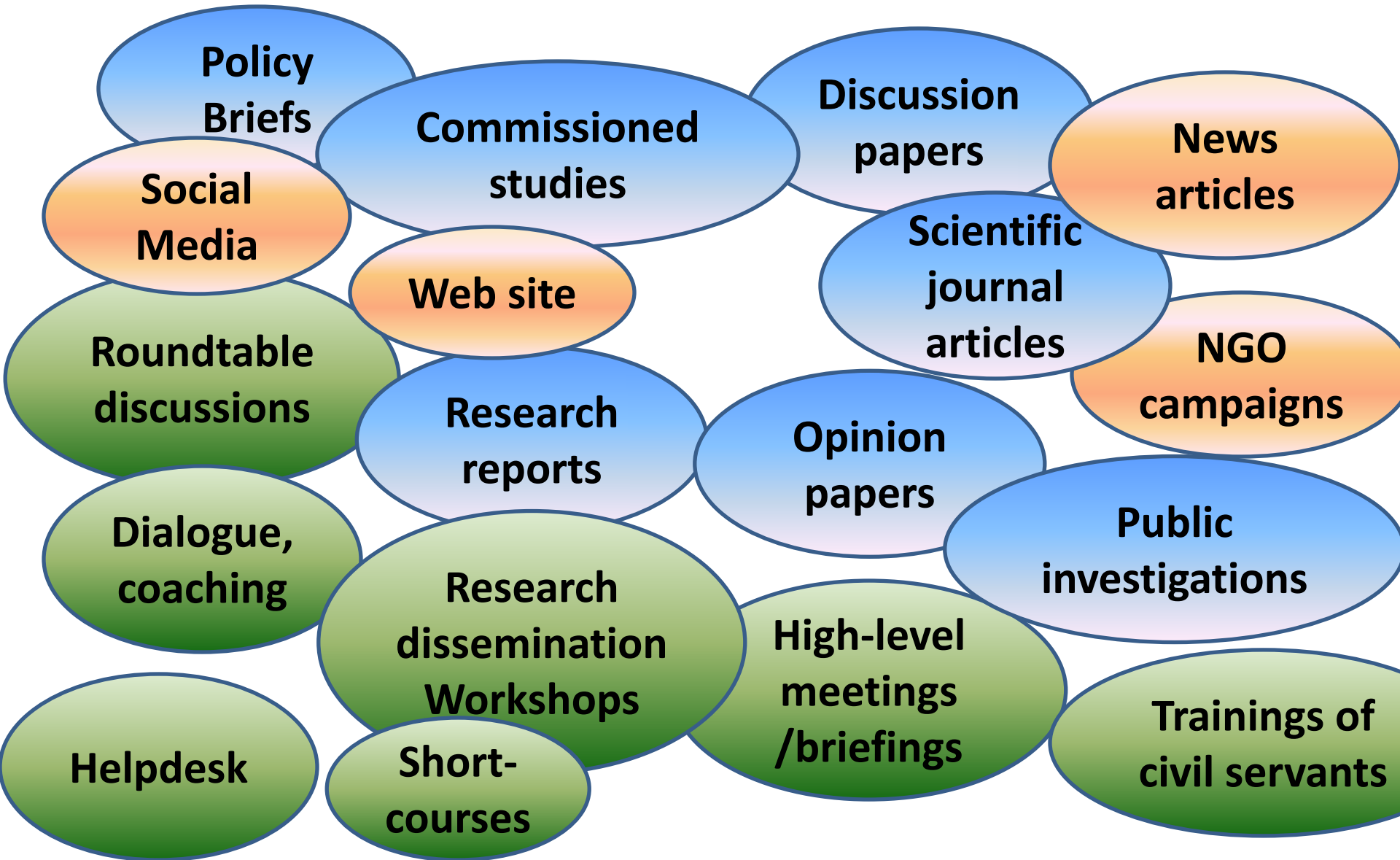
**5. Presentations and discussion**



# **Session 3: Modes of Policy Interaction**



# Many tools for research-policy interaction

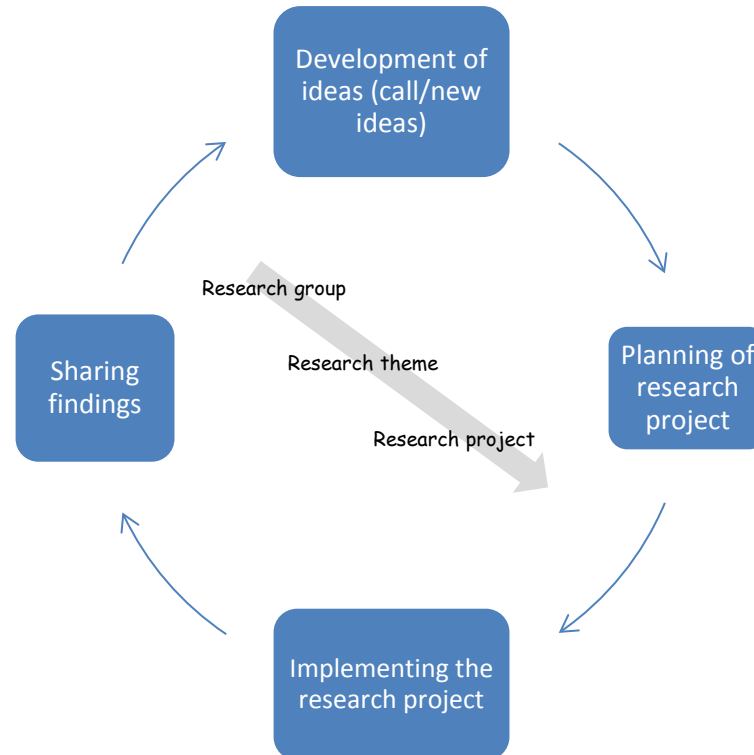




# Tools for policy interaction during the research cycle?

Stakeholder interaction?

Stakeholder interaction?



Stakeholder interaction?

Stakeholder interaction?



# Excercise: Modes of policy interaction

- Identify tools for policy interaction during different stages of the research cycle that you/your center have/has good experiences from
- Discuss: Why was the tool good? Specific contextual factors? Other factors?
- Write – in order of priority – the 3-5 tools that you would recomment others to use during different stages of the research cycle



## Stakeholder interaction

- Policy briefs
- Workshops
- Targeted presentations
- Opinion articles

## Stakeholder interaction

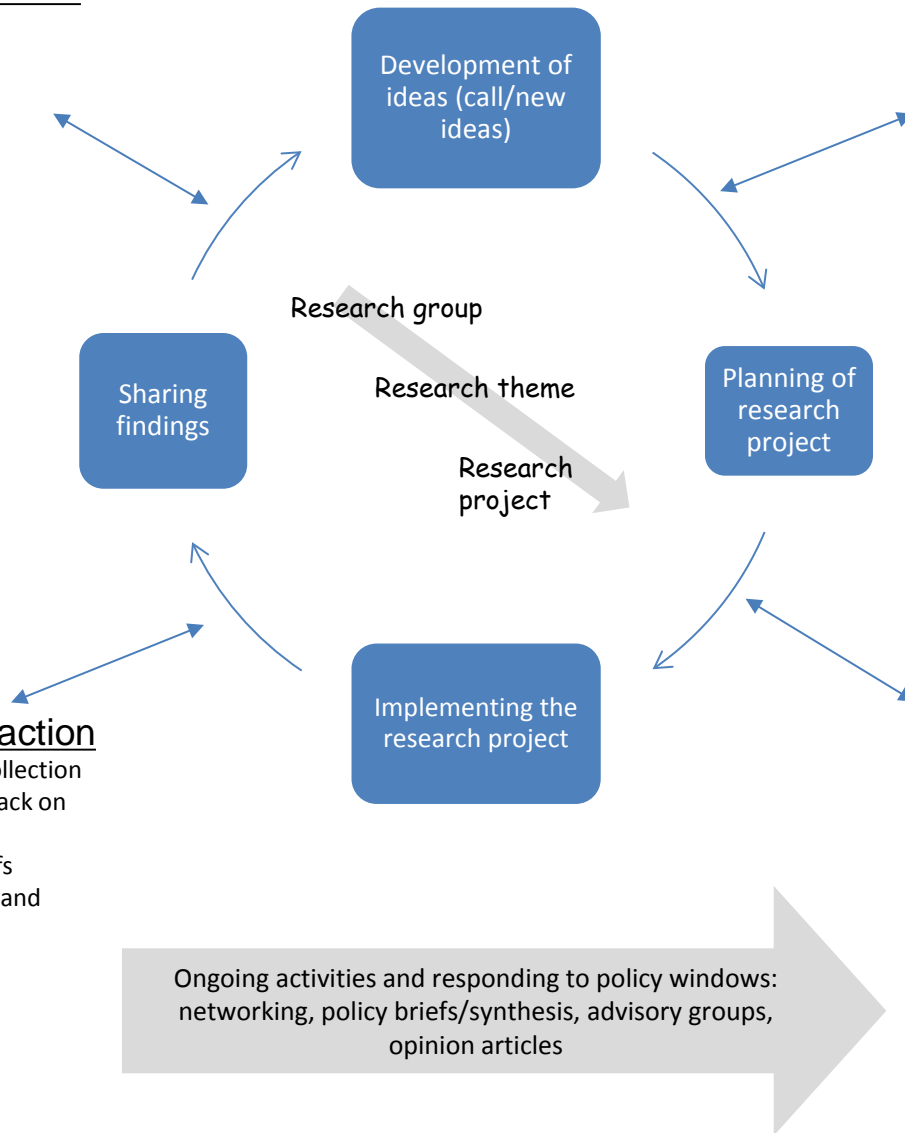
- Inform and consult
- Interview key stakeholders
- Attend policy oriented workshops
- Map stakeholders and policy processes
- Write a draft plan for stakeholder interaction

## Stakeholder interaction

- Collaborate on data collection
- Present and get feedback on preliminary results
- Develop research briefs
- Inform via home page and other social media

## Stakeholder interaction

- Stakeholder workshop to learn more about policy aspects of the planned research
- Develop a policy brief based on literature review
- Discuss data collection/access in collaboration with stakeholders
- Revise stakeholder mapping and plan for stakeholder interaction
- Inform about your upcoming research





# Action Plan 2018 - Policy Interaction and Impact

- **How will you develop the action plan?**
  - Who will be involved ?
  - Next steps?
  - Key Challenges?
  - Need for support/collaboration?
- **What are the key activities in the action plan?**
  - Key challenges in implementation?
  - Need for support/collaboration during implementation?
- **How will you monitor implementation and report on progress?**



## Action Plan for policy interaction and impact

<b>Research Area:</b>					
<b>Interaction objective</b>					
<b>Interaction activity</b>	<b>When</b>	<b>Who</b>	<b>Stakeholders involved</b>	<b>Comment</b>	<b>Status Sept 28 2017</b>
Review papers for global chemical outlook	2017/18 Workshop March Final version June	Daniel Thomas B.	UN Environment Achim Haalpap Collaboration with researchers in EfD	Plan also for scientific paper Try to limit number of consultations	Contract signed. Outlines of the two papers sent to UN env.
Activity 2					
Activity 3					



## Wrap-up

- Points of interest?
- Lessons learned (individual, center, EFD)?
- What to share with others in EFD?
- Issues to consider during Day 2 of the workshop





Nations Unies

# Conférence sur les Changements Climatiques 2015

COP21/CMP11

Paris, France



**Successful Research-Policy Interaction will play a Fundamental Role for Reaching the SDGs**



## Counting on the World: Building modern data systems for sustainable development

This new report from [SDSN TRenDS](#) explores the kinds of data needed to achieve the SDGs and identifies the roles and responsibilities of different actors, as well as the urgent changes needed to build architectures capable of responding to the increasing demand for high-quality, disaggregated and geo-referenced data.

[Learn More](#)

## SDSN Northern Europe

A REGIONAL NETWORK HOSTED BY GMV »

## Collaboration for sustainable development

The Centre for Environment and Sustainability, GMV, in Göteborg, Sweden is a network organisation at Chalmers University of Technology and University of Gothenburg. We promote research and education for sustainable development.

GMV creates and encourages research projects and multidisciplinary initiatives. Co-operation with the business community in western Sweden as well as the provision of information and education to the general public are part of GMV's brief. Both research and training are firmly founded in existing science.

## News

[How to engage students in sustainability](#)

[6 Oct 2017]

[One billion to be invested in electric mobility](#)

[18 Sep 2017]

[Agenda 2030, inclusion and mingle with sustainability pros at](#)

## GETTING STARTED WITH THE SDGS IN UNIVERSITIES

A GUIDE FOR UNIVERSITIES, HIGHER EDUCATION INSTITUTIONS, AND THE ACADEMIC SECTOR



15 CITIES SDG





Don't rush...





*"Fortune favours the prepared mind"*

*Louis Pasteur*



EXTRA



## **Extra slides for session 2**



## Preparatory slides

- What is your center's priority research areas?
- What are the key policy processes linked to these research areas?/What are key entry points for policy engagements based on your research?
- Which are the key stakeholders driving the policy agenda? Which stakeholders are prioritized for the center's interaction activities?
- Based on the above - What will be your policy interaction priorities for 2018?





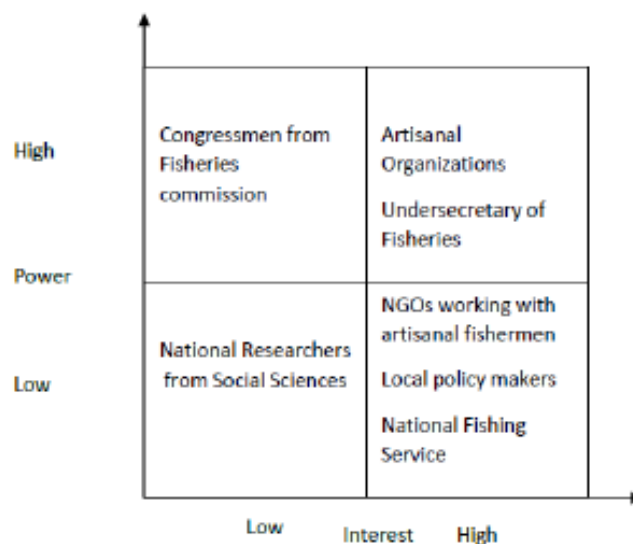
Universidad  
de Concepción



NÚCLEO MILENIO  
Economía  
Ambiental y de  
Recursos Naturales

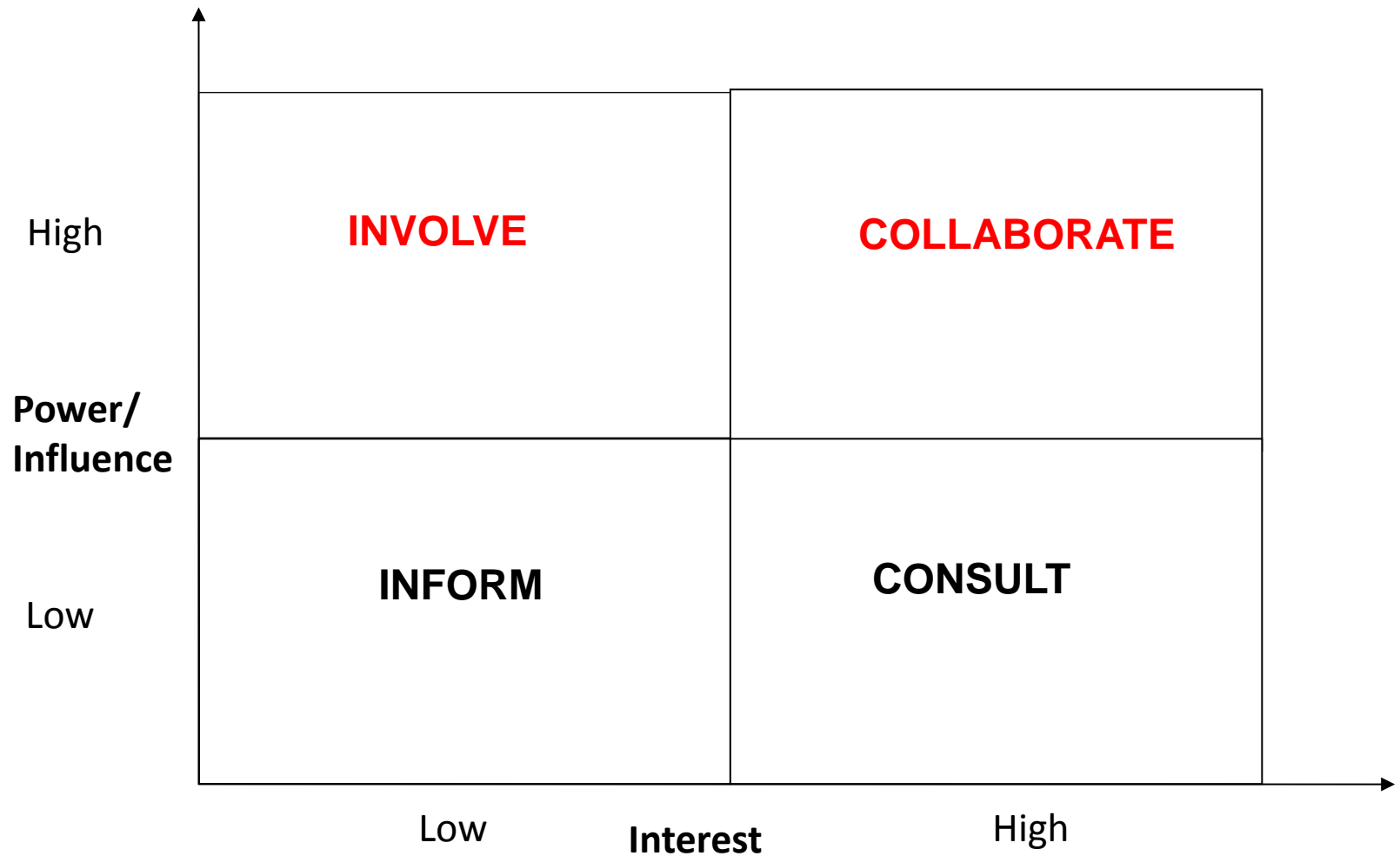


Research theme 2	Effect of collective quotas systems on fisheries performance indicators
Private sector stakeholders:	<ul style="list-style-type: none"> <li>National artisanal organizations</li> </ul>
Public sector stakeholders:	<ul style="list-style-type: none"> <li>Undersecretary of Fisheries (Regulatory authority)</li> <li>National Fishing Service (Monitoring authority)</li> <li>Congressmen from the Fisheries Commission</li> <li>Local policy makers from Fishing Regions</li> </ul>
Civil society stakeholders:	<ul style="list-style-type: none"> <li>NGOs working with artisanal fishermen</li> </ul>
Academic stakeholders:	<ul style="list-style-type: none"> <li>Researchers from social sciences working in Fisheries</li> <li>International researchers in Rights Based Regulatory Systems for fisheries.</li> </ul>





# Analyze the power and interest of stakeholders





## Example: FRAM: The Centre for Future Chemical Risk Assessment and Management



**WWW.FRAM.GU.SE**

# FRAM

The Centre for Future Chemical Risk Assessment  
and Management at the University of Gothenburg



**Director:** Prof. Thomas Backhaus, [thomas.backhaus@gu.se](mailto:thomas.backhaus@gu.se)  
**Co-Director:** Assoc. Prof. Jessica Coria, [jessica.coria@economics.gu.se](mailto:jessica.coria@economics.gu.se)



FRAM is a multi-disciplinary academic centre established in 2016 focusing on chemical mixtures.



# FRAM: list of stakeholders

<i>Public sector National and International level</i>
<i>ECHA, the European Chemicals Agency</i>
<i>EEA, the European Environmental Agency; EFSA (European Food Safety Authority)</i>
<i>UNEP</i>
<i>SAICM (Strategic Approach to International Chemicals Management), <a href="http://www.saicm.org">www.saicm.org</a></i>
<i>OECD</i>
<i>Swedish chemicals agency and other important national authorities</i>
<i>DG Environment</i>
<i>Industry</i>
<i>ECETOC, the European Centre for Ecotoxicology and Toxicology of Chemicals, <a href="http://www.ecetoc.org">www.ecetoc.org</a></i>
<i>CEFIC, the European Chemical Industry Council, <a href="http://www.cefic.org">www.cefic.org</a></i>
<i>ACS, the American Chemical Society, <a href="http://www.acs.org">www.acs.org</a></i>
<i>NGOs</i>
<i>See members of the EEB, <a href="http://www.eeb.org/">www.eeb.org/</a> EEB is a quite complete list of all important NGOs in the area.</i>
<i>Research networks</i>
<i>Swetox</i>
<i>Other</i>
<i>EU Parliament; National parliaments</i>
<i>Media</i>





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# Mapping stakeholders, entry points and possible FRAM-contributions

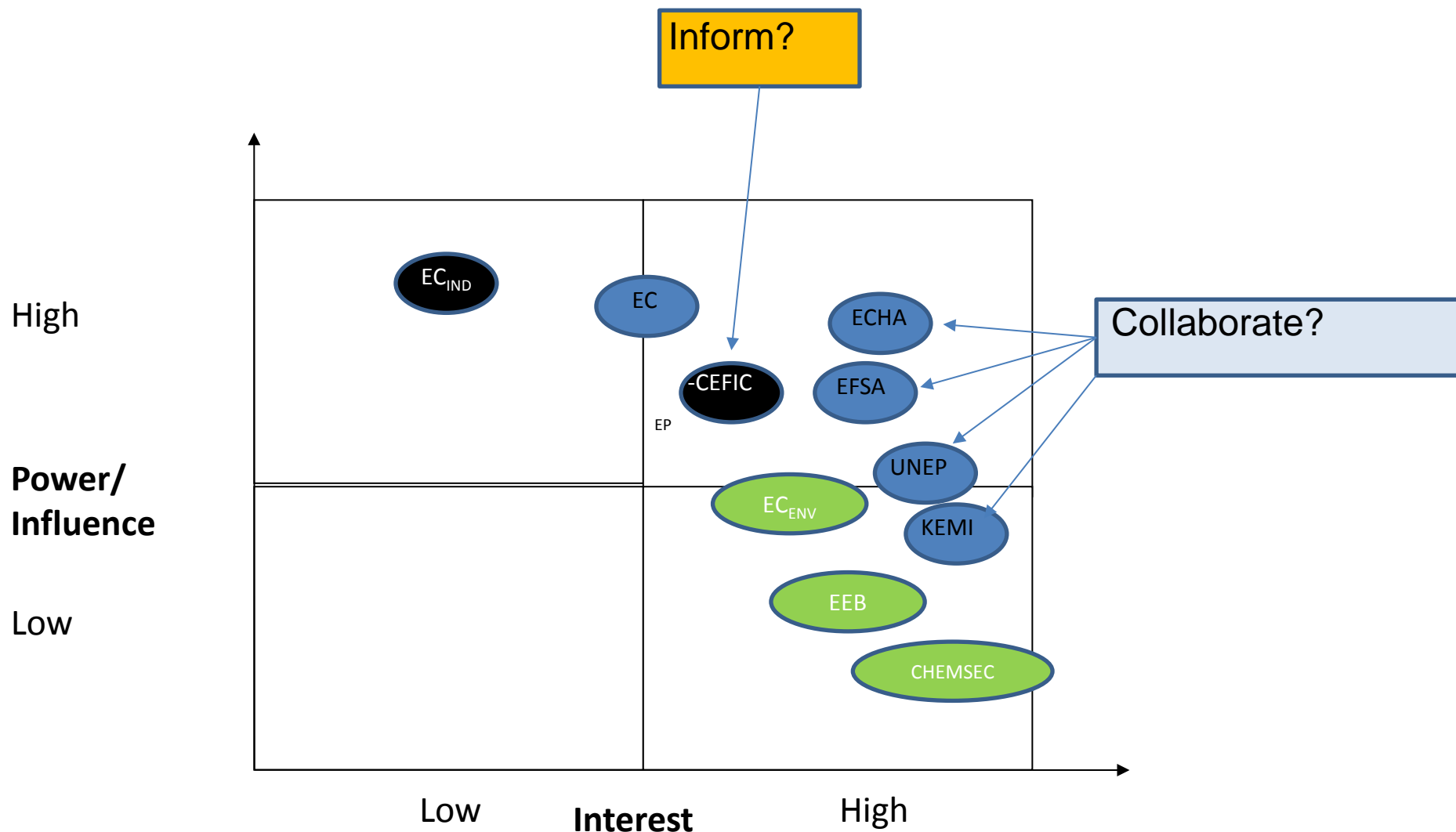


FRAM Advisory board meeting, May 2016



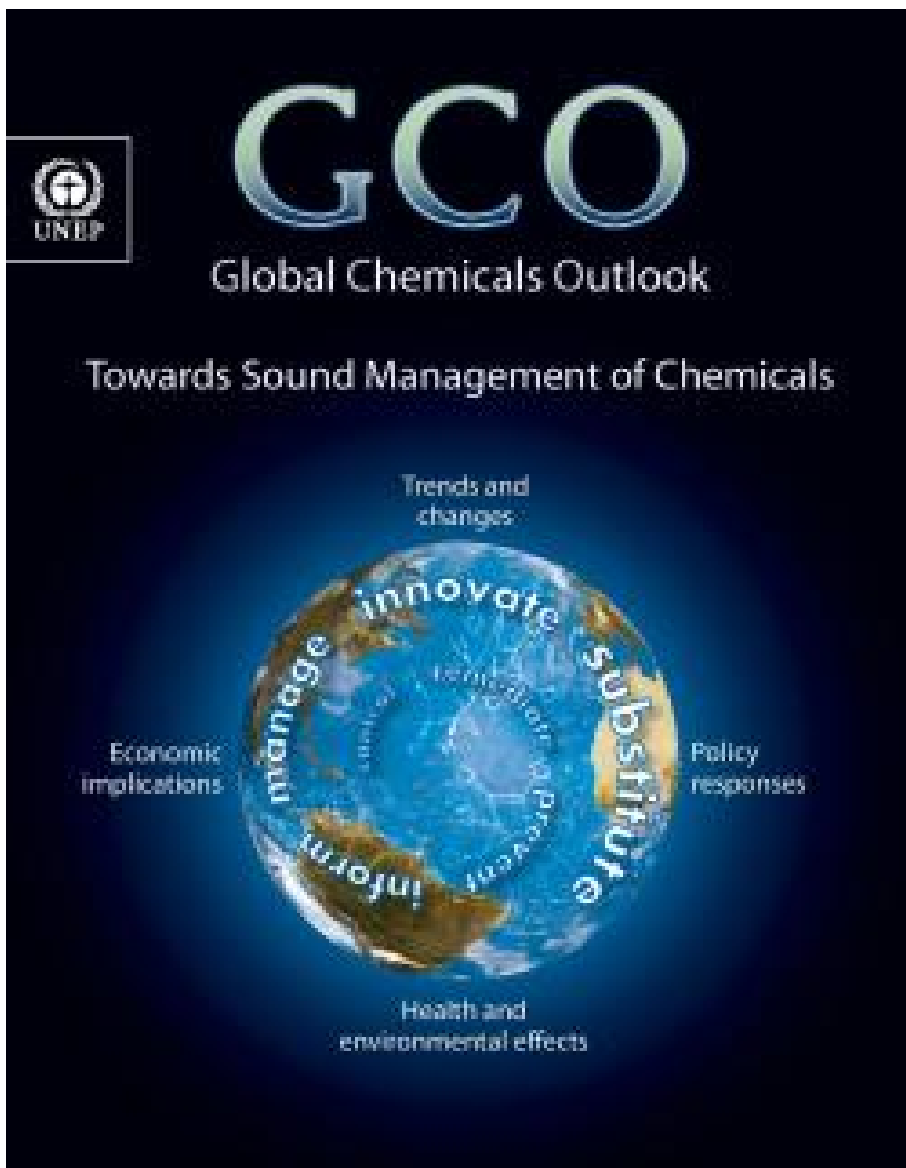
# Stakeholder analysis

– Interest in FRAM's research vs Power to influence



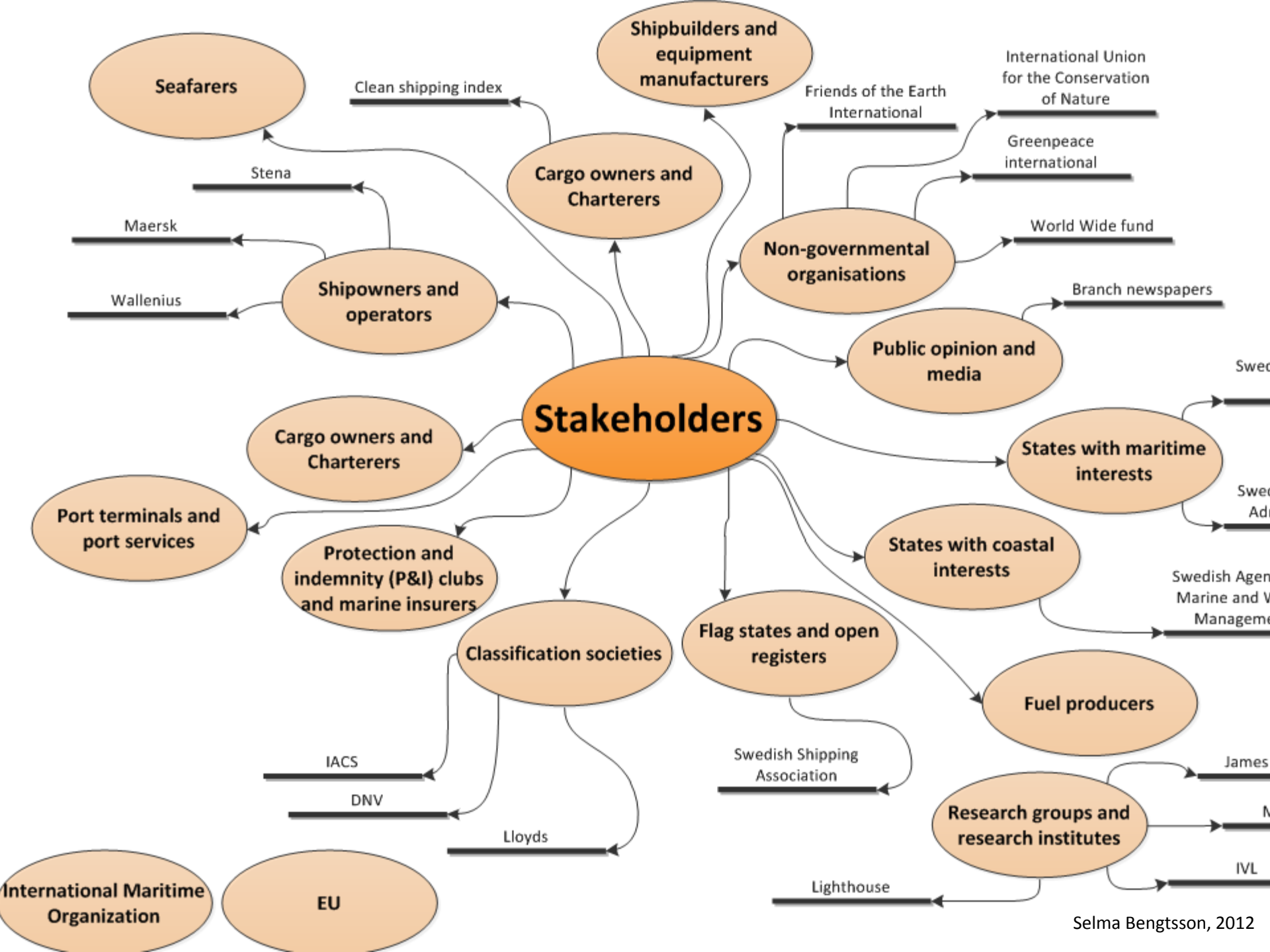


# Example of policy spin-off project:



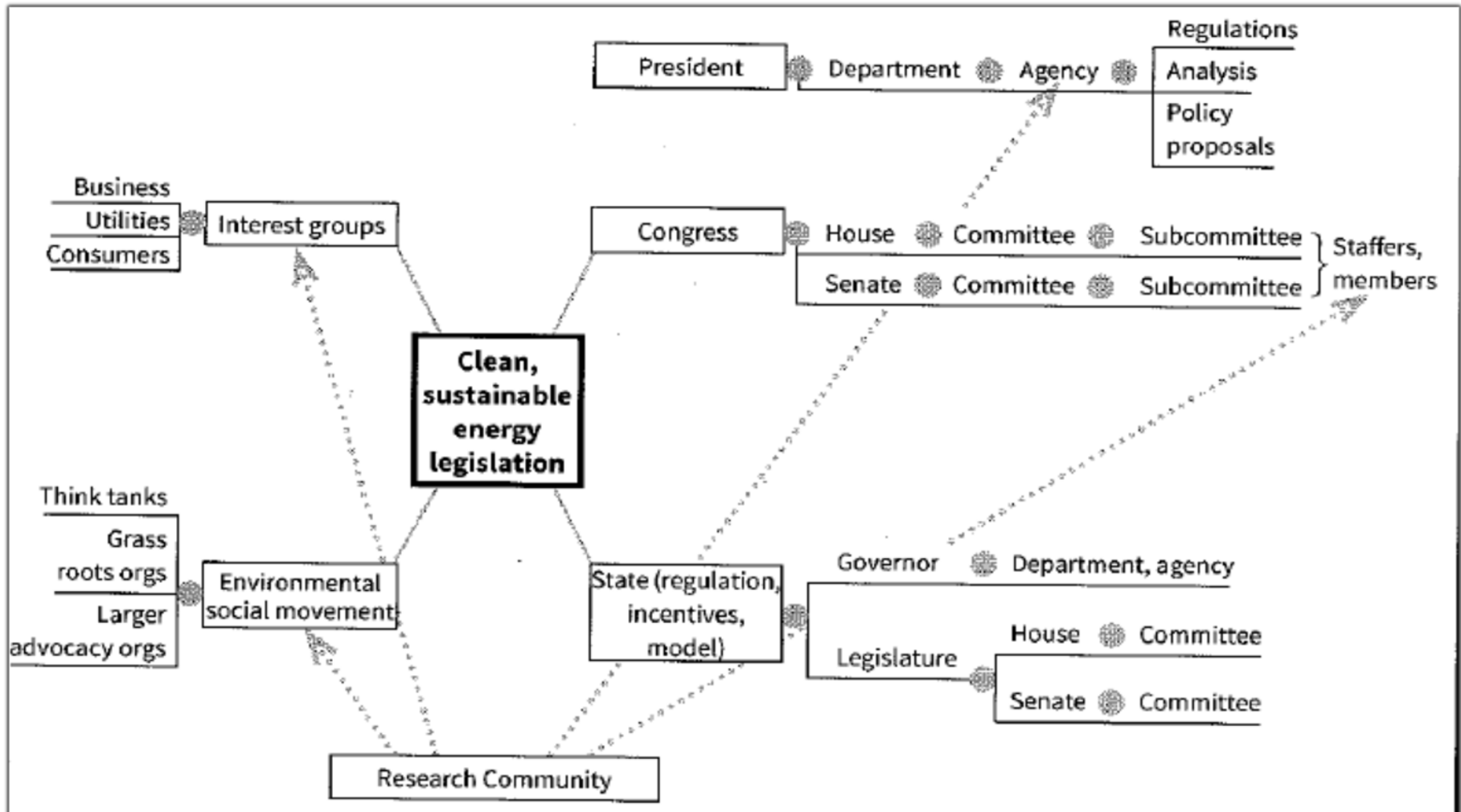
- UN Flagship report 2018
- Input to new international agenda for chemicals management, 2020->
- FRAM: 3 review papers
  - Economic policy instruments
  - Risk assessment
  - Emerging policy issues
- Provide the scientific background for GCO
- Need to be scientifically sound and defensible. But also short and easily accessible.







# Graphical mapping of policy processes and stakeholders





# Prioritize and examine your network,

David Smith, technology correspondent  
[The Observer](#), Sunday 3 August 2008  
[Article history](#)



**A** [larger](#) | [smaller](#)



Just six degrees of separation or fewer between the Dalai Lama and everyone else.  
Photograph: Carl de Souza/AFP/Getty Images

In a world of 6.6 billion people, it does seem hard to believe. The theory of six degrees of separation contends that, because we are all linked by chains of acquaintance, you are just six introductions away from any other person on the planet.

**Technology**  
[Internet · Email](#)

**Observer**

**Media**  
[Social networking](#)

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**15 Nov 2010**  
[Facebook mail: it might kill Gmail, but 'it's not email'](#)

**14 May 2008**  
[MySpace spammers fined \\$230m](#)

**15 May 2008**  
[MySpace wins \\$230m payout from spammers](#)

**30 Sep 2009**  
[Google Wave beta testing begins](#)



# Research-Policy Linkages? How do we know? =>

**Research about research-policy linkages** (eg Weiss, 1977; Owens 2005, Sarewitz 2004, Seck et al 2013, Fernandez 2016 etc.)

- Does research matter for policy making; do policy-makers absorb & base decisions on (env.) research?
- If not, why? (which are the **barriers**?)
- If so, when, how? Which are the **facilitating factors**?  
Examples; evidence?!
- **Tools & approaches** to strengthen the interface?!



# **Research about research-policy linkages** (eg Weiss, 1977;

Owens 2005, Sarewitz 2004, Seck et al 2013, Cairney et al 2016 etc.)

- Does research matter for policy making; do policy-makers absorb & base decisions on (env) research?
- If not, why? (which are the barriers?)
- If so, when, how? Which are the facilitating factors?
- Tools & approaches to strengthen the interface?!

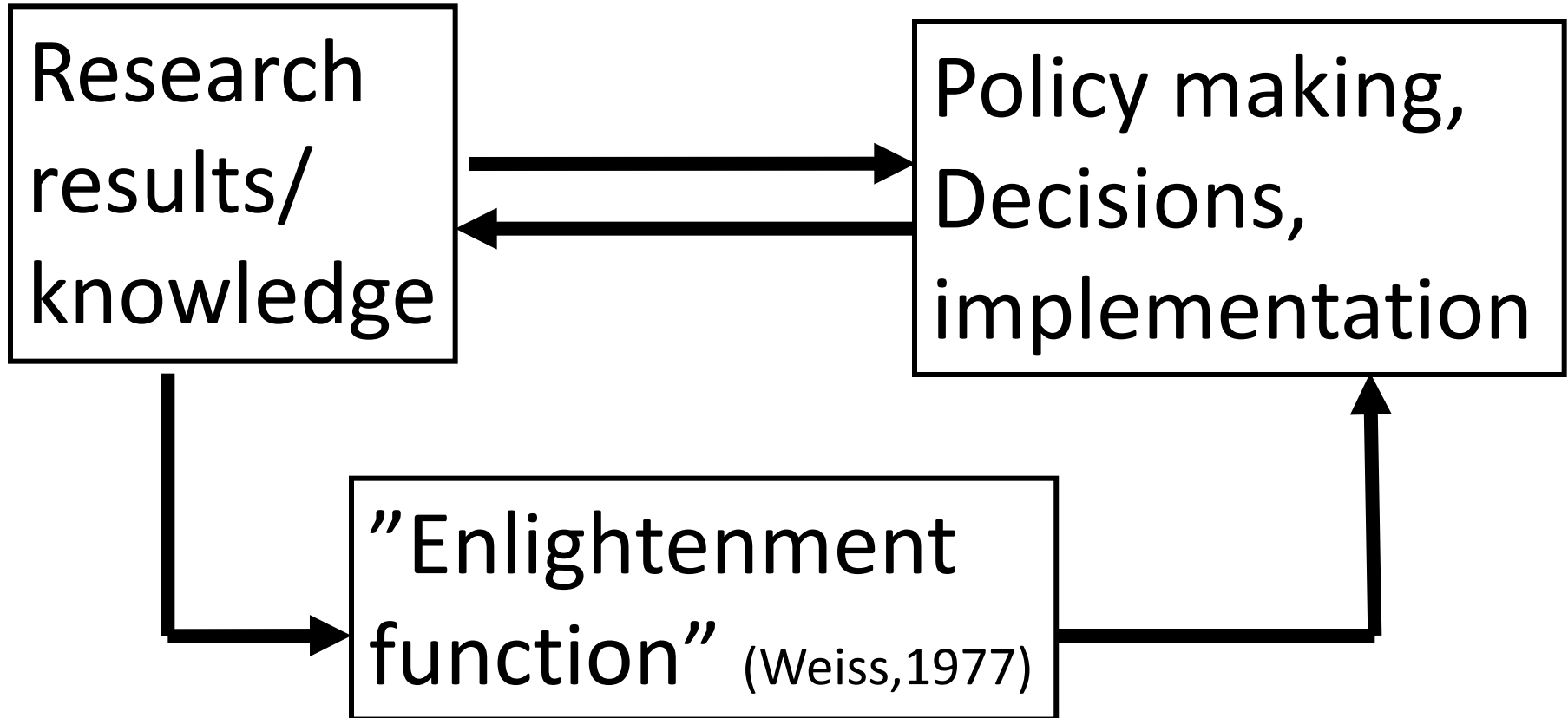


# Influencing policy is a skill:

- Develop **detailed understanding of key policy processes**
  - Key influencing factors? Barriers? Entry points?
  - Key stakeholders/actors/messengers?
- Develop a **strategy for linking research to policy**
  - build long term programs of credible research
  - ensure evidence is credible & practically useful
  - keep an eye out for/react to policy windows
- Be **entrepreneurial**
  - get to know & work with policymakers,
  - communicate effectively, build networks
  - Make effective use of available tools



# Possibility to close the Research-Policy Gap?



***Slow process, costly, ineffective***



# ***Models, roles and strategies for policy engagement:***

1. *The Transfer model and The Interaction model*

2. *The role of research and researchers:*

- *individual level*
- *research group level*
- *Institutional level*



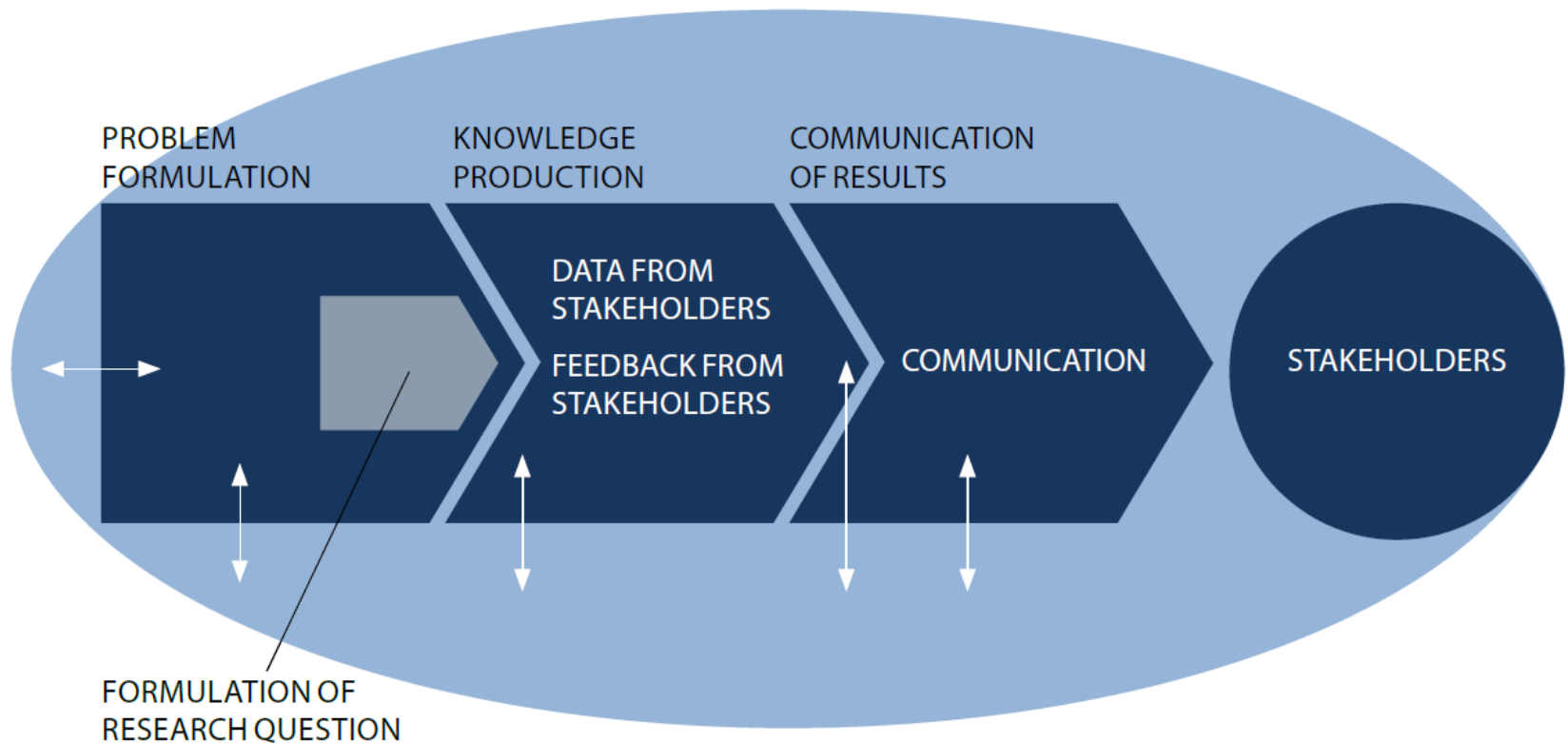
# The Transfer model

*The research process*



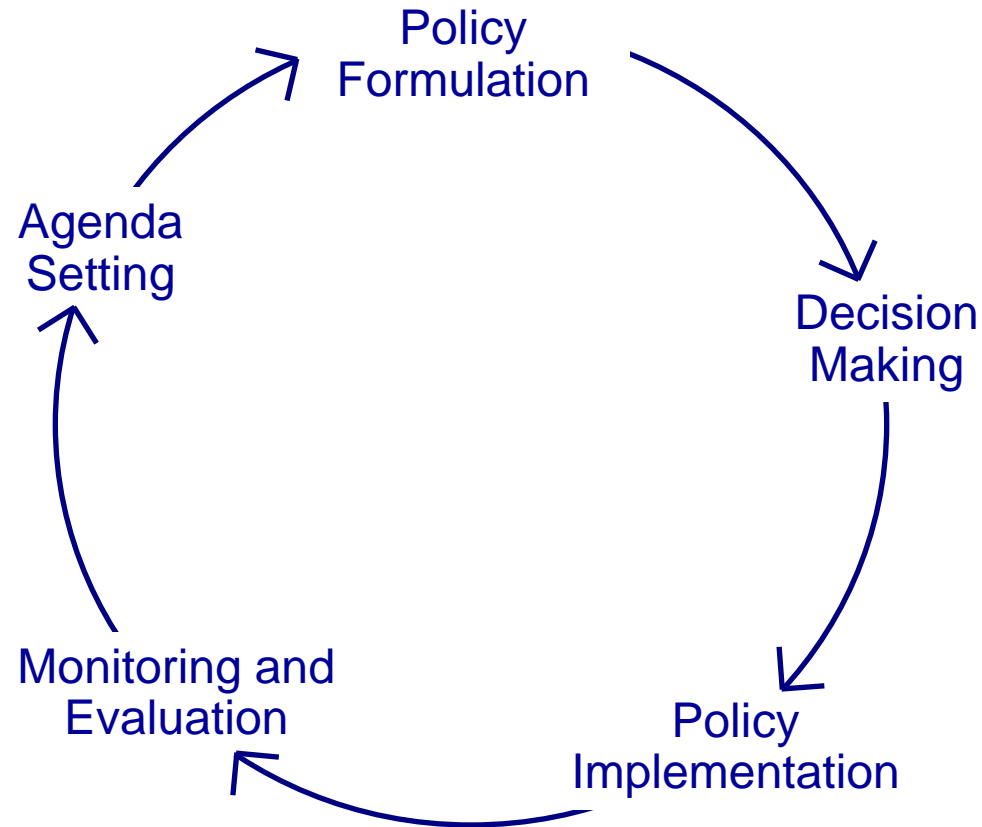


# The Interaction Model



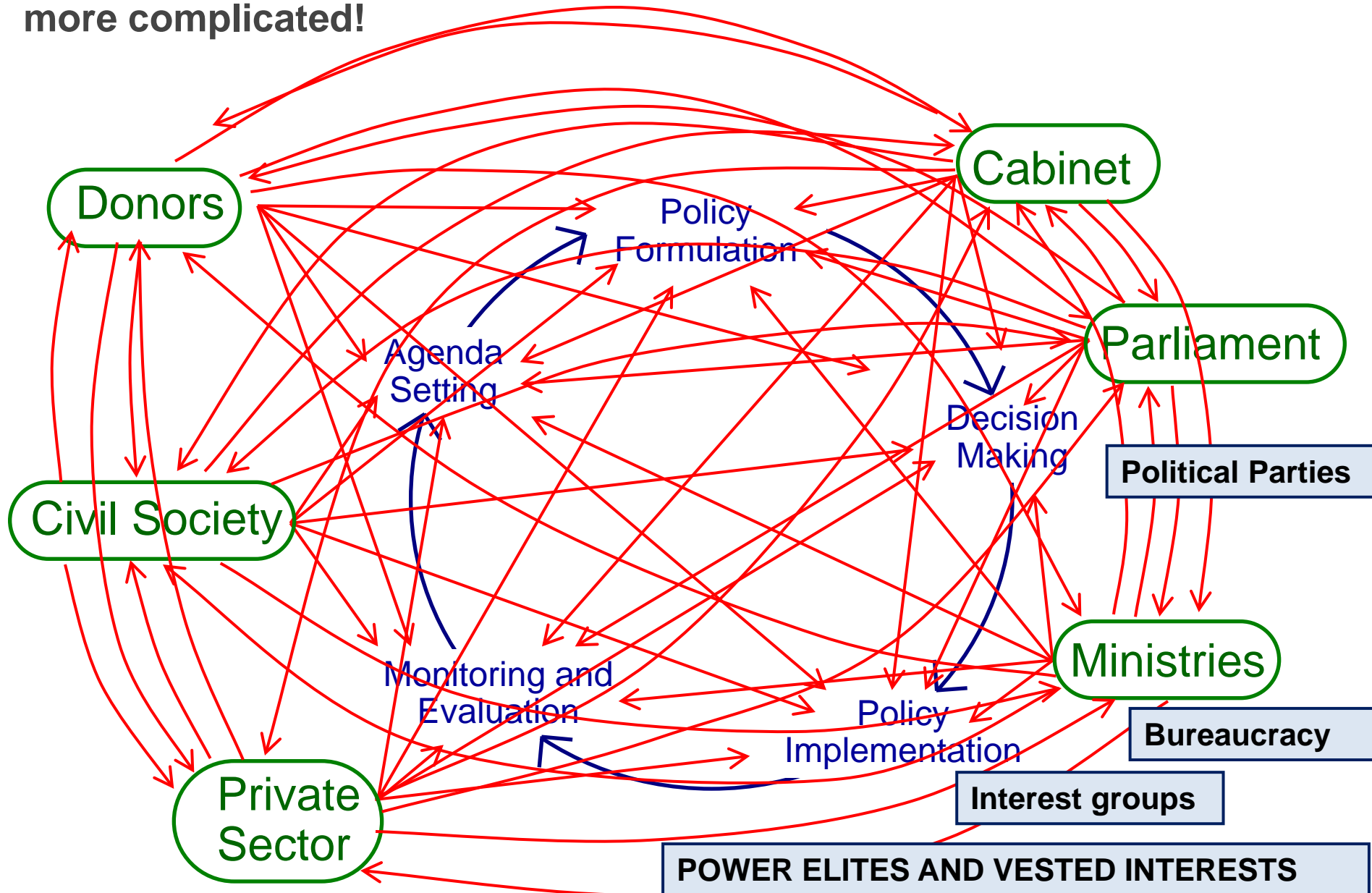


**It is common to view the policy process as consisting of different stages**





But in reality policy processes are always more complicated!





## Policy learning?

- Broadened policy options
- Policy horizons