ESTEEM manual

Deliverable 5 of the Create Acceptance project

E. Jolivet (IAE)
R.M. Mourik (ECN)
R.P.J.M. Raven (ECN)
C.F.J. Feenstra (ECN)
A. Alcantud Torrent (ECO)
E. Heiskanen (NCRC)
M. Hodson (SURF)
B. Brohmann (OEKO)
A. Oniszk-Poplawska (IEO)
M. Di Fiori (CERIS-CNR)
U.R. Fritsche (OEKO)
J. Fucsko (MAKK)
K. Hünecke (OEKO)
M.H. Maack (INE)
B.M. Poti (CERIS-CNR)
G. Prasad (UCT)
B. Schaefer (ECO)

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For more information, please contact Ms. Ruth M. Mourik, mourik@ecn.nl, Energy research Centre of the Netherlands, Policy Studies department.

Abstract

The ESTEEM tool is one of the outcomes of Create Acceptance. ESTEEM (Engage stakeholders through a systematic toolbox to manage new energy projects) is a six step tool which is performed by a consultant in close cooperation with the project manager of a new energy project. The focus of the tool is put on the early recognition and discussion of stakeholders expectations and the integration of these in the design of the project. ESTEEM, including background information is freely available via www.esteem-tool.eu.

*C*ultural Influences on *R*enewable *E*nergy *A*cceptance and *T*ools for the development of communication strategies to promot*E* ACCEPTANCE among key actor groups

Project co-funded by the European Commission within the Sixth Framework Programme, Contract no. 518351 (2002-2006)

Partners of Create Acceptance

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PRIORITY
FP6-2004-Energy-3, SUSTDEV-1.2.8

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Project acronym: CREATE ACCEPTANCE

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Executive summary

The create acceptance project and the place of WP3

This summary provides an overview of one of the main outcomes of the European project Create Acceptance. This report describes the result of its third phase (WP3) which was coordinated by IAE- University of Toulouse, France, and involved eleven Institutes with complementary expertise in social, environmental, engineering, energy and economic sciences, including the project coordinator, ECN, the Netherlands. This activity was aimed at developing a tool, a methodology that assist project manager measure, promote and improve social acceptance of RES and RUE technologies.

Create Acceptance was divided in four main interrelated phases:

- Analysing and measuring the extent of social acceptance problems faced by RES projects (WP2).
- Reviewing and critically evaluating existing tools addressing this problem (WP1).
- Developing an original methodology improving the acceptance of RES projects through multi-level and multi stakeholders integration (WP3).
- Demonstrating the methodology feasibility and efficiency through six demonstration projects in different RES technologies and different European and African contexts (WP4).

Create Acceptance was supported by the European Commission within the Sixth Framework Programme (N° 518351). The overall project was coordinated by ECN, The Netherlands, and involved eleven European and African Institutes including ERC/ University of Cape Town, South Africa, SURF/University of Salford, United kingdom, Oeko-Institut, Germany, EcoInstitut Barcelona, Spain, NCRC, Finland, INE, Iceland, MAKK, Hungary, IEO, Poland, CERIS/ CNR, Italy, IAE/University of Toulouse, France.

Presentation and objective of WP3

In principle, many citizens support the development of cleaner and more renewable energy technologies. In practice, however, and we could confirm this phenomenon through a study performed as Work Package 2, many projects face social acceptance problems[1].

The Create Acceptance project contributes to facilitating the implementation of cleaner and more renewable technologies in the field of energy. It supports project management practices and assist projects managers in taking better care of socio-political contexts, users and consumers expectations, and citizen positions. It takes the form of a tool that can measure, promote and improve social acceptance, and a method - to apply the tool- to be implemented by project promoters of such technologies and/or consultants assisting these project managers.

Two main deliverables have been issued as an outcome of work package 3 that together compose Create Acceptance D5:

- **A manual**
  the manual and its appendixes propose a detailed description of each of the 20 tools composing the global tool box. It also is a guideline, explaining step by step, how to implement the ESTEEM methodology and use the tools in different situations.

- **A web site** presenting an electronic and downloadable format of the tool
  The web site is presenting the tools and the method in an interactive and clickable way. In addition to this, specific tools have been elaborated for the web site so that using a simple

[1] See report *Factors influencing the societal acceptance of new energy technologies: meta analysis of recent European Projects*, Deliverable 3.1, 3.2 and 4, www.createacceptance.net

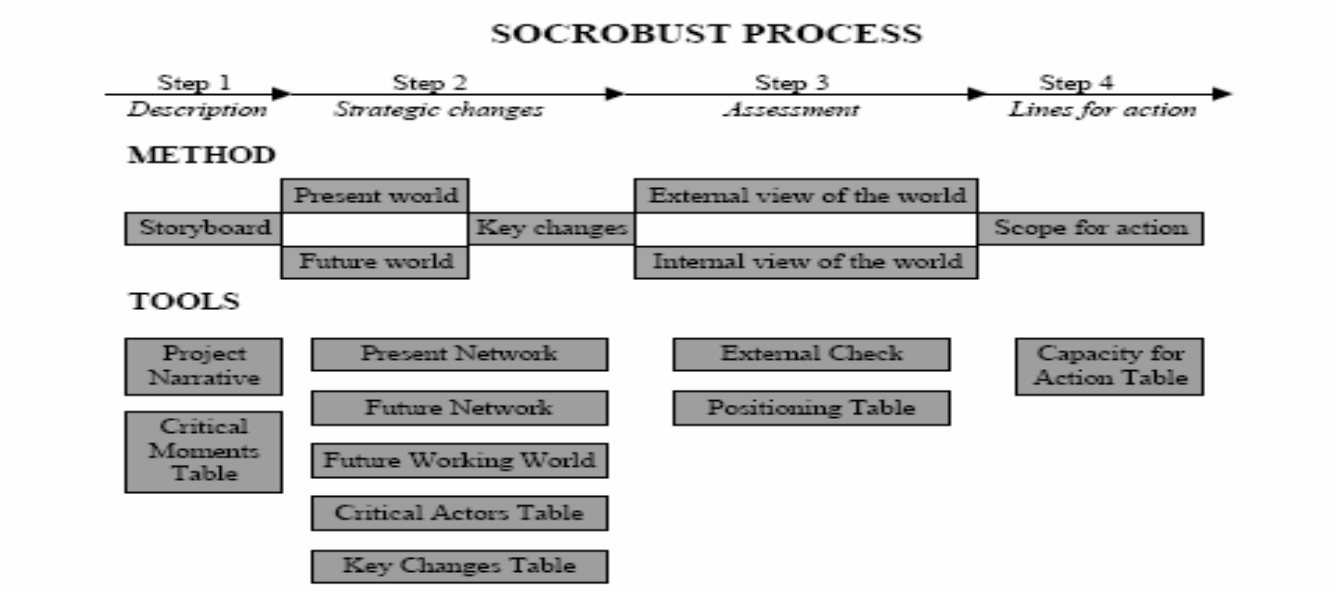
and downloadable excel file, each user can easily develop its own digital graphs and tables and electronic version of its network maps.

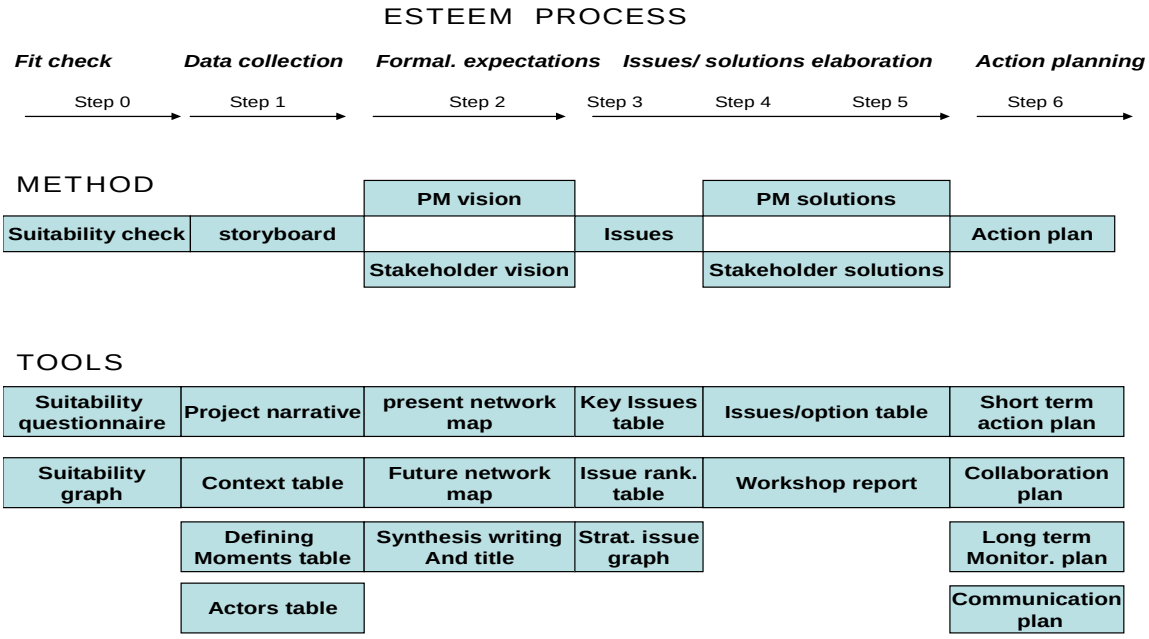
Approach to tool design and organisation

In addition to an extensive review of the phenomenon of societal acceptance in new energy projects conducted as WP 2, the consortium very early performed a state of the art analysis to review existing tools and more widely scientific advances of relevance in addressing the question of societal acceptance as WP 1 (see D2 reports www.createacceptance.net). Science and Technology Studies, Stakeholder's theory, Public understanding of science and regional energy planning knowledge were targeted as good sources of useful insights and knowledge.

Of particular interest, a method called Socrobust, designed to measure and enhance the social robustness of project was thoroughly and critically reviewed (see D1 report www.createacceptance.net). Socrobust was developed between 1999 and 2001 by a consortium of European social scientists financed by the EC (TSER SOE 1981126). The objective was to apply 20 years of research advances in Science and technology studies into a operational tool that would help project managers better address the social dimension of their project success. Interestingly, this method was used by a first user team at ECN on a new energy project. Although specifically targeted at breakthrough innovation, and poorly addressing multi-level and multi-stakeholders integration, this method was considered an valuable starting point for methodological development. The critical review and gaps evaluation provided specifications for reuse and new tool development.

Graph 1. The SOCROBUST and ESTEEM Processes





Two major questions were raised, how to include stakeholders in the process and how to address a wider variety of new energy projects ranging from the very local application of an off the shelf technology (like wind mill projects today) to breakthrough technologies (such as large scale solar energy mill). The full consortium first spent a few months reflecting and conceiving the overall architecture of the ESTEEM tool. An important aspect of the discussions was to make a choice in terms of the major phases the ESTEEM process needed to follow in order to reach its goal and be efficient. As it was finally done, working groups were allocated to each phase in order to proceed to the tooling of each phase. Each of this group has to review Socrobust and other existing tools and to determine which tools might be reused, and which needed to be adapted or developed. The final output, after about 6 months of development is a 6 steps, 20 tools method called ESTEEM.

Main outcome

a) Method design: Six steps to enhance societal awareness of PM

As illustrated in Graph 1, the resulting method, called ESTEEM is made of 20 tools, follows six steps, and is organised in 4+1 phases.

Although it could probably be adapted to a variety of use situation, the ESTEEM methodology has been conceived as a tool involving an interaction between three key players: 'the project manager', 'the stakeholders' concerned by the project, and an important intermediary to facilitate the dialogue between the two, 'the consultant'. Of the quality of the interaction between these three players depends the quality and efficiency of the improvement of the energy technology societal acceptance. The ESTEEM tools, steps and phases are then a sort of scenarized process of interplay between these players, a kind of gameplay. The framework of tools, instruments and situations are organised to facilitate interactions and efficiently order them towards achieving improvement of new energy projects societal acceptance.

A detailed explanation of the ESTEEM process and tools is provided in this report and can also be found in a more interactive format in an ESTEEM web site (see www.createacceptance.net). It follows an architecture made of four+one fundamental phases.

The first phase, *suitability check*, is a sort of preliminary activity during which 'consultant' and 'project manager' will evaluate if and to which extent applying ESTEEM might be useful in the particular case of their project.

Once the suitability of the project and the interest of applying the method has been confirmed, phase two organises a *data collection* on the project. This is all the most important for 'the consultant' to gain enough knowledge of the project and its context. This often proved useful also for 'the consultant' and the 'project manager' to start with a shared knowledge about the project.

Once facts and figures have been collected and a satisfying shared knowledge has been built between 'the consultant' and 'the project manager', phase three moves towards eliciting and *formalising* 'project manager' and key 'stakeholders' *visions and expectations* about the project and its future outcomes.

With a clear view on main actors visions and expectations about the project, phase four is about identifying and ranking a number of *issues* that can reinforce or on the contrary threaten project acceptance among these various actors. *Solutions* to these issues are gradually reflected upon to finally be negotiated and discussed in a workshop gathering selected representatives of 'stakeholders', the 'project manager' with the 'consultant' acting as a facilitator.

As a result of the negotiations and discussions, most societally acceptable solutions can be identified and programmed into an *action plan*. Implementation of such plan should improve societal acceptance of the project accordingly, reinforce its network of alliances, and lesser its opposition.

b) Feasibility and efficiency: assessing the tool through demonstration projects

Create Acceptance was not only aimed at developing a new tool. It was also clearly necessary to test and evaluate the new method on a variety of on going new energy projects:

- Projects involving different kinds of innovation (breakthrough and incremental, national or local).
- Projects seized in different socio-political contexts (6 different countries Italy, Hungary, Iceland, Germany, South Africa, the Netherlands).

These demonstrations are reported and discussed extensively in the WP4 report (see www.createacceptance.net). It shows that the ESTEEM method was successfully adapted to a large variety of new energy projects. Another important result is that actors who have been involved estimate that the method clearly improved the project societal acceptance.

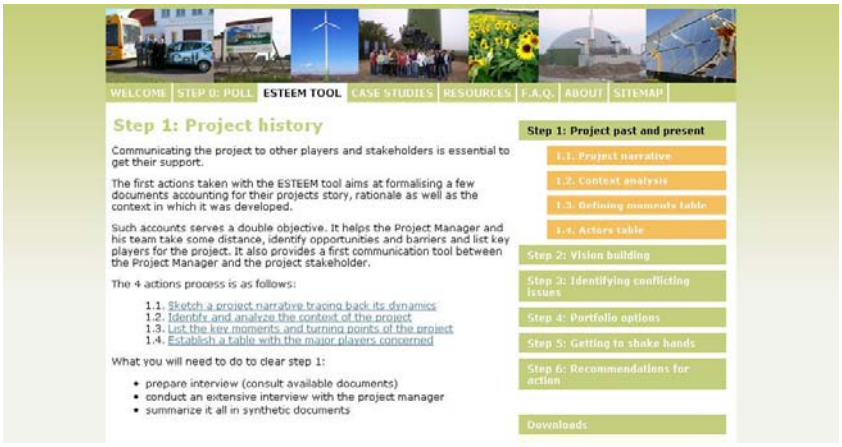
c) A manual and a web site formats for consultants and project managers

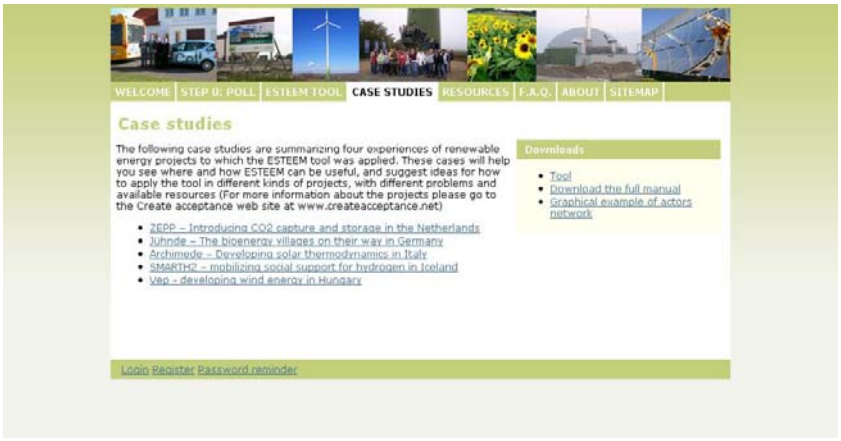
Developing a method that improves the societal acceptance of new energy projects was certainly a central achievement of this project. Another goal of the project was that the tool be diffused as widely as possible. To do so, the consortium had to devise formats for delivering the ESTEEM method to the public that are both easily accessible, simple to use and stand alone.

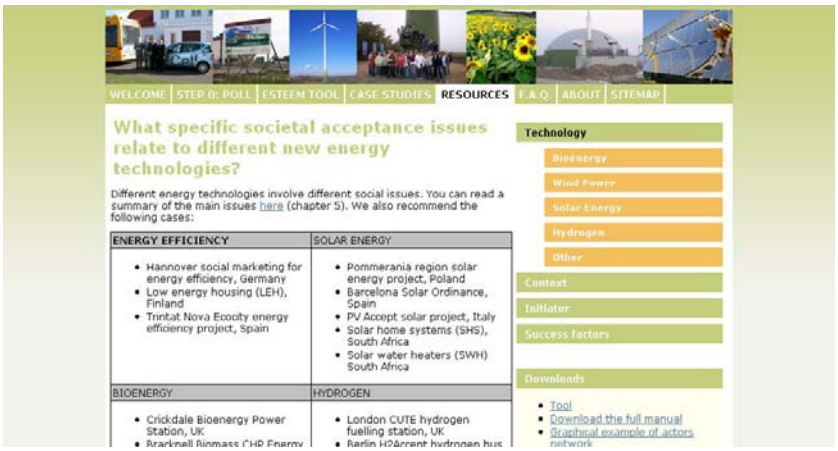
Therefore, ESTEEM method was developed in two main complementary format. A manual has been written in order to provide an extensive reference to users, a guidebook to which they can refer when needed. It is composed of two parts, the manual itself and its appendixes. Together, they provide detailed description of the 20 tools, explanation on how to use them in different situations and with different type of projects, as well as a large number of templates and visual illustrations through examples that the reader can refer to.

In parallel, a web site has been developed, to provide a more direct, more interactive entry for users into the ESTEEM method.

On this web site, specific information can be downloaded by users on the tools, the different steps to follow as well as extensive examples and illustrations.







The web site also furnishes downloadable ‘case studies’ comprising how ESTEEM and its tools were actually used in actual new energy projects so far. This library can be enriched as more experience will be gained in the application of ESTEEM.

Computer engineers have been called upon to design an electronic version of the tools: - suitability check has been elaborated into a downloadable poll that automatically generates a graph to assess how suitable a particular project is for applying ESTEEM,

- A genuine graphic interface has been inserted in the web site to allow for drawing digital versions of social network maps.
- Tables and templates have been programmed in an excel file that users can easily download, use and save on their computers at different stages of the ESTEEM process.

d) Perspective

EU Project Socrobust has been an important step in applying social science knowledge into an operational tool for managers. As a prototype, it needed some further development to become a developed, stand alone, multi-level and multi stakeholder method. We believe that the EU Create Acceptance project made this possible, with the ESTEEM methodology delivered in an electronic and guidebook formats. The Socrobust platform has been successfully adapted to a wide range of RES and RUE projects to enhance their societal acceptance.

Now to some extent, we think that the R&D stage is more or less cleared and this is a time for diffusion, incremental adaptation and use. This means probably the need for commercial action to take place and promote ESTEEM towards its potential clients.

1. Introduction

The present manual describes the ESTEEM methodology developed in the Create Acceptance project.

Our goal in the project Create Acceptance was to devise an approach and a set of tools that consultants in technology development, and project managers could rely on and easily use to better anticipate and solve questions of social acceptance related to their projects.

As analysts and experts know well, even in the popular fields of renewable energy and rational use of energy enjoying an overall positive image, diffusion and local implementation of even well established energy technologies such as wind turbines is rarely straightforward as it involves a number of concerned actors that might have different interests and views. The management of this socio-political side of projects often proves as important to success as the more classical financial and technological dimensions as phase II of this project has well documented (see WP 2 report for further analysis and exemplification).

On the other hand, one reason why the socio-political side of technology projects is often overlooked as compared with economic or technological ones, is that social scientists in the field have mainly focused their activities on understanding the social side of technology or delivering expertise, but have generally fail to propose operational tools usable by practitioners of technology development and project management out of what they know. We consider this gap must be fulfilled, and social science will have to gradually take its share in enhancing better, more socially sound and accepted project management in the future (see section 'Situating ESTEEM in the project management tools' in this manual for further discussion on this matter).

A recent and interesting initiative taken by social scientists to develop such a method and a set of operational tools for project management has been the EU funded project SOCROBUST. Between 1999 and 2001, a consortium of European social scientists have tried to capitalize on the existing knowledge accumulated in different research fields and to determine which of this knowledge could be used by professional projects managers and how. The resulting Socrobust methodology can be seen as a prototype approach for managing the socio-political side of technology projects. Its feasibility was established through its application to 6 IT based case studies in Europe. Starting from this first experience, Create Acceptance was aimed at transforming this prototype into a methodology and an operational set of tools that could be used either by technology developers and consultant in the field of renewable energy and rational use of energy, either by project managers in this field. Thorough reviews of the Socrobust method and experience made it clear that three major adaptations were needed to reach our objectives (see WP1 report for further discussion):

- Enlarge the scope of application of the tools from radical / breakthrough innovation to more incremental.
- Enlarge the focus from national to local and multi-level actors and places.
- Integrate stakeholders directly in the process of project management.

This manual is the outcome of the Create Acceptance consortium effort to develop an operational methodology along these lines. The following pages is then the result of our numerous interactions within the consortia - between its social scientists and technology developers members- and with actual energy technology project managers -through a close articulation between tool development and their practical application in the 6 demonstration projects (see WP4 report for more detailed accounts).

The method, called ESTEEM, follows two major ideas: a) It is a process made of steps and sub steps b) each step is made of the application of tools to the project

1.1 A process approach to acceptability

How to assess a project acceptability? One way could have been to evaluate project acceptance ex post through a number of indicators such as rate of contestation letters, level of local opposition/support to the project. This type of evaluation might prove quite interesting but how useful would it be to on going projects? Experience shows ex post is often irreversible once actors have taken position and these positions have become entrenched. Then how to evaluate the weak signals of the early stage projects and address acceptance problems before it is too late?

Our choice, following the SOCROBUST experience and the PROTEE lessons (Bijker, 2007) is to organize a dialogue with project managers in order to help them take a better account of the social acceptance aspect of their project early on in their projects. It means not waiting for the signals of opposition to become strong, but find out ways of interpreting weak signals in a meaningful way. An interactive method, involving the project manager and an intermediary person that we call consultant, seem appropriate.

The dialogue between 'consultant' and the 'project manager' needs then to be organized in order to optimize their respective contribution and interactions in terms of time spend and content quality. Assessing social acceptance paradoxically suppose both enough distance to the project to bring a new perspective, and a sufficient acquaintance in order to seize small signals.

The first phase (step 1 & 2) of the method is then dedicated to documenting the case and collecting information and signals about the project. The first step (step 1) aims at describing and situating the project in its historical and local socio-political context. The second step (step 2) aims at testing which areas of key actors positions might potentially lead to strong agreements and commitments and which one could possibly drive to disagreements and opposition. Although quite time consuming, this data collection phase is necessary for the consultant to gain enough ground in the project. For the project manager, part of this stage is redundant. However, the tools are conceived in order to systematize socio-political outlook on the project, and eliciting and systematically exploring it often prove quite attractive to them.

The second phase of the method is a dialogue organized between consultant and project managers. What is at stake here is the interpretation of the data collected during the first stage in terms of possible issues that could weaken or reinforce project acceptance. The first step (step 3) aims at coining the main issues that might have an impact on the socio-political side of the project. What are the issues that stakeholders consider central? What are the questions that need are the most vexing, and these that make it possible to envision a common future? The second step (step 4) aims at envisaging a portfolio of possible solutions / answers to these issues, and to think about the implications of different possible paths on the project success.

The third phase of the method is a phase during which the consultant helps the project manager envision different options for the future, confront them with stakeholders, and recommend some valuable lines of actions. The first step (step 5) consist in confronting the reactions of stakeholders to a number of possible options and solutions. The second step (step 6) aims at delivering a number of recommendations for the future implementation of the project.

1.2 Each step is made of the application of simple tools

The choice we made in terms of methodology, in line with the Socrobust experience, was to organize the ESTEEM process like a path composed of the step by step application of small tools. Two reasons led us to make this choice. First, the consistence of the tools articulation is aimed at sustaining the implementation of the ESTEEM process and its philosophy. By applying the tools step by step in a flow chart, you will be conducted to applying the method and our approach. Second, incorporating social science knowledge in tools rather than choosing to use expertise make it possible for non specialists of social science to use our approach without having to know about the large corpus of social research it came from. Each tool is articulated to the others by relations of staggering input and output provision but is also self standing as a tool.

Each tool has been kept as simple and straightforward as possible (although it is probably still possible to devise ways of further simplifying some of them while doing the same task). Our goal here is double. First, time is precious, especially when running a new technology project so let's keep it small and downsized. Our estimation from the demonstration project is that routinely applying ESTEEM requires about three consultant weeks and one project manager week over a period of time of 3 to 6 months. Second, simplicity makes it more straightforward for use and interpretation by non social scientists experts.

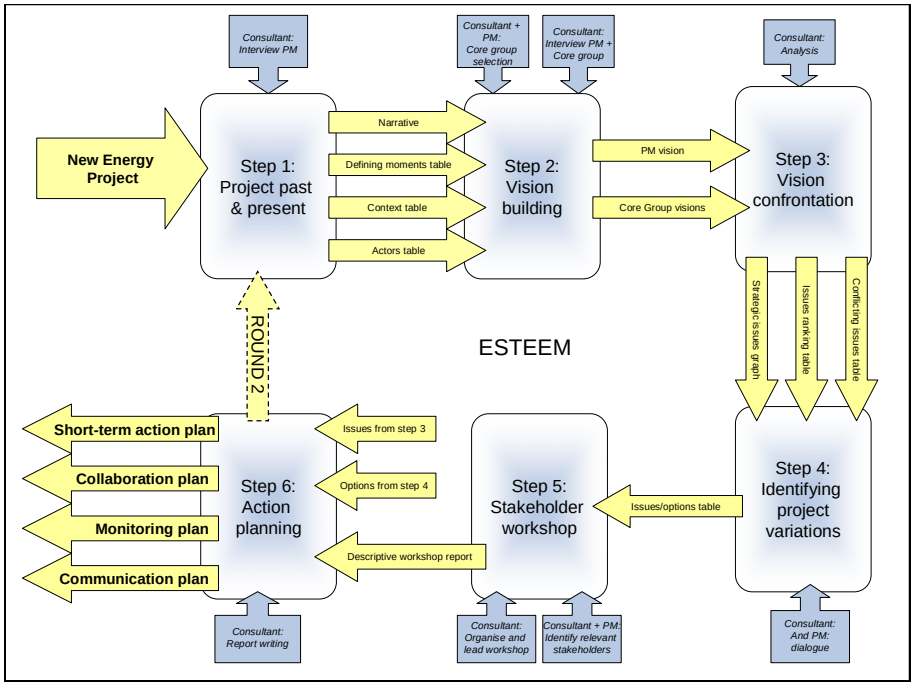


Figure 1.1 *General flow chart of the ESTEEM methodology*

We hope that you will find our approach interesting and above all useful for your projects, or your client's projects, and as we have made our best to keep them simple, our best wishes that these tools and approach were circulated and used in many different projects in the future.

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2. Situating ESTEEM in the wider context of project management tools

ESTEEM can provide a valuable framework for project management in an area that can become crucial for the survival or collapse of any project: the integration into the societal context. The following text identifies ways in which ESTEEM can provide support to a number of project management tasks, but also shows some limits of ESTEEM.

This text discusses how ESTEEM fits in with other project management tools that technology developers, consultants and project managers are currently using. ESTEEM is not developed to fit a particular project management system, but as most of them have common traits, ESTEEM can be integrated to most project management cycles, especially during the project design and organisation. On top of that ESTEEM supports related activities that many projects are likely to undertake, such as, risk analysis and risk management, impact assessment and public consultation in other contexts, as well as stakeholder management and project communications.

2.1 ESTEEM and the project management cycle

ESTEEM can in principle be used for many kinds of sustainable energy projects. How it fits in with the overall project structure depends on the type and size of project and its internal structure and external environment. For example, larger projects will have more complex management structures, according to official regulations whereas, smaller projects will have a simpler and less bureaucratic structure. Projects that aim to build some kind of a facility will be also subject to a permitting process. Larger projects - for example, energy projects with a planned capacity of more than 300 MW and even some smaller RES plants will also be required to undergo an environmental impact assessment (EIA).

Project management will involve different kinds of tasks, tools and required procedures. For example, the *Project Management Body of Knowledge* (PMI 2004) divides projects into:

- initiation
- design
- execution
- monitoring and controlling
- closing.

The initiation stage may also involve problem identification, pre-feasibility assessments, or other kinds of studies. Design may further be divided into 'definition' and 'detailed design'. Project management cycles may also involve appraisal steps between stages in which decisions are made on whether the project is allowed to go forward.

Figure 1 indicates the ideal place of the ESTEEM process in the project management cycle. ESTEEM should preferably be used at the design stage of a project: when the main project partners are already known, but when project details have not been definitively fixed. It provides a good summary of the project definition stage (including project history and 'defining moments'), contributes to a number of important product design issues, and provides input for project execution and monitoring.

Project Management Cycle

Definition
- idea
- objectives
- scope
- timeline
- budget

ESTEEM process

Step 1
- narrative
- defining key moments
- actors table
- context analysis

Step 2
- Management vision

Step 1 complements the traditional approach of project definition by considering importance of history, actors relations, path dependencies, and supports the strategic positioning of the project by wider social-policy context analysis

Step 2 provides tools and an approach to support the elicitation of the project manager vision for the project

Design
- partners
- phases
- technology selection
- site selection
- communication
- risk analysis

Step 1
- actor's table
- context analysis

Step 2
- stakeholders vision

Step 3
- conflicting issues

Step 4
- portfolio of options

Step 5
- Stakeholder's workshop

Step 6
- Recommendations for actions

Step 1 & 4 provide further information/ assessment supporting the decisions about partners, technology, phases and site selection

Step 2 & 3 provide a unique insight into socio-political risk analysis

Step 5 (+step 2) encourages project management to switch from a way communication to a participation process
Step 6 provides an early assessment of the decisions made in terms of phase, partners, technology and site and their implications. It proposes ways of improving the design choices from a social acceptance perspective

Figure 2.1 *Relations of ESTEEM to the project management cycle*

As each project is different, these different stages and their coordination may take a different amount of time. External events may stall the progress of a project, and they may also suddenly re-launch an intensive period of rapid development. Consultants need to be sensitive to the evolution of the project and think closely about applying the right tools at the right time, from the perspective of the project.

2.2 Project management tasks with overlaps with ESTEEM

ESTEEM can provide valuable input to a number of project management tasks, most importantly project communications, stakeholder management and risk analysis. The ESTEEM process can support redesign that steers away from later conflict and therefore make the project design more resilient. The following sections details the contributions of ESTEEM to these different tasks, but also point out important requirements for applying the ESTEEM process, as well as tasks that cannot be replaced by applying ESTEEM.

2.2.1 Project communications and stakeholder management

Typically, project communications and stakeholder management involve the following kinds of project management tasks (PMI 2004):

- drawing up an official presentable project outline,
- identifying communication needs & requirements,
- identifying communication audiences & formats,
- making a communication management plan,
- communicating: presentations, reporting, meetings,
- keeping track of feedback, resolved and unresolved issues, change requests, corrective actions, lessons learned,
- making changes to project plans.

The use of ESTEEM places some initial *requirements on the project group*. The ESTEEM process supports an open communication process with stakeholders. This is important to take into account when considering the desired level of disclosure in project communications. Project managers need to decide how, to whom, when and how much they are prepared to communicate, and the consultant needs to judge whether this level of openness is sufficient to support the ESTEEM process.

ESTEEM also offers a complementary approach to some tasks that project managers would need to do in any case. The entire ESTEEM process contributes significantly to project communications and stakeholder management. Some particular stages make particular contributions:

- Step 1 - project history, context and actors - in ESTEEM provides a structured process for identifying the relevant actors and stakeholders of the project (Actors table). This table can be helpful in identifying communication needs, audiences and formats. It also encourages

project management to take some distance and consider the project environment further, notably from a social and political perspective. How fit is the project to this environment?

- Steps 2 - vision building and 5 - getting to shake hands - involve direct communication about the project to selected stakeholders. The tools and the original approach suggested here can considerably help in eliciting the project management vision for the project and its strategic positioning. They suggest formats for illustrating the vision of the project and developing a project dossier for stakeholder communication. The results of these steps are also very helpful in further specifying additional communication needs and audiences.
- Step 6 - recommendations for action - provides a structured process for responding to stakeholders' requirements by modifying project plans and/or the external environment. Step 6 also suggests checklists and formats for a communication plan, as well as checklists to identify lessons learned.

In order to gain the full benefit of ESTEEM for project communications and stakeholder management (and to avoid duplication of effort), the timelines of ESTEEM and normal project tasks should be synchronized. For example, Steps 1 and 2 can provide the best input to internal communications about task division, common views and planning if they are done at the start of the communication management planning. On the other hand, Step 5 needs to be done after a decision has been made on what information about the project will be released to the public.

2.2.2 Environmental impact assessment and related procedures

Certain projects that have a significant impact on the environment are required to go through an environmental impact assessment by European law. These projects are specified in Annex I of the Directive (97/11/EC). For example, EIA is required of large energy projects (thermal power stations and other combustion installations with a heat output of 300 MW or more).

It is important to note that EIA and the ESTEEM process have related yet different purposes and underlying approaches. EIA, even though it acknowledges social issues as one kind of environmental aspect, is more focused on the collection of 'objective' knowledge about environmental impacts and allows stakeholders to comment on the findings. ESTEEM facilitates direct involvement of stakeholders to act according to their interested in social and political issues and communicate those at the early design stages of projects. These can be actors, beneficiaries and those who may have conflicting stakes. Usually, projects will contract the environmental studies and the drafting of the EIS from an external consultant with specialist knowledge on environmental impacts. The work of compiling the EIS can, nonetheless, draw on some of the information collected within the ESTEEM process.

Public consultation (EIA) has some potential overlaps with ESTEEM, Public consultation is also required for obtaining an environmental permit for facilities covered by the IPPC Directive (2003/35/EC). This includes, for example, combustion installations with a rated thermal input exceeding 50MW (Council Directive 96/61/EC).

Public consultation in EIA and environmental permitting involves some important differences vis-à-vis the stakeholder participation organized in the ESTEEM process:

- Whereas, in ESTEEM the aim in the stakeholder participation is to learn about stakeholders' concerns and build up constructive relations with them, public consultation in EIA has a more formal role: the purpose is to allow the 'public concerned' to express comments and opinions to the competent authority before decisions are made about permitting the plant, and the competent authority must explicitly show what has been the influence of the opinions brought forth in the participation process - no citing is necessary here- the above is obvious for this procedure.

- The 'public concerned' is likely to be a broader group than the stakeholders involved in the ESTEEM process[2]. Whether or not a specific member of the public is 'concerned' is determined on a legal, rather than on a social or political basis in EIA. In ESTEEM, selecting the stakeholders to be engaged is ultimately at the discretion of the consultant and the project manager, whereas in EIA all 'concerned' members of the public should be at least invited to submit their comments.
- Whereas, in ESTEEM, the aim is to actively engage the stakeholders in a search for issues and alternative solutions related to the project, public participation in EIA does not have such a far-going aim. Thus, even though public participation may be organized in the form of a public hearing, for example, it can also be organized by inviting the 'public concerned' to submit their opinions and comments in writing to the competent authorities.

Even though public participation in EIA is a more formal process than the stakeholder participation in ESTEEM, they are not mutually exclusive[3]. The ESTEEM process can help to create good relations with stakeholders and a communication scheme built on insight. Step 1 can help to identify potentially concerned parties. Steps 2 - vision building and 3 - identifying conflicting issues can further help to identify potential concerns. In particular, Step 5 can help to engage in a dialogue with a broader audience and address issues early on in the design stage of the project.

It is strongly recommended that ESTEEM is conducted (at least up to Step 5) before launching potential EIA processes or other formal public consultations required for permit applications.

2.2.3 Risk analysis and management

Risk analysis and management is a third area where there is potential overlap with ESTEEM. Depending on the size and type of project, risk analysis and management can involve the following kinds of tasks and procedures (PMI, 2004):

- Risk management planning:
  - Meetings & analysis.
- Risk identification:
  - Risk identification techniques like document review, SWOT, stakeholder interviews, checklists, assumption analysis.
- Qualitative and quantitative risk analysis:
  - Probability and impact assessment, risk categorization, risk urgency assessment, ranking.
  - Probability distributions, sensitivity analysis, expected monetary value, decision trees, modeling and simulations.
- Risk response planning:
  - Avoidance, transfer, mitigation, contingency response.
- Risk monitoring and control:
  - *e.g.*, reassessment, audits, corrective actions.

[2] The EIA Directive, as amended by Directive 2003/35/EC defines 'the public concerned' as: "The public affected or likely to be affected by, or having an interest in, the environmental decision-making procedures referred to in Article 2(2); for the purposes of this definition, non-governmental organisations promoting environmental protection and meeting any requirements under national law shall be deemed to have an interest". Nonetheless, Verschuuren (2004) and Ryall (2007) have critiqued actual practices in Member States, such as requiring 'concerned parties' to show that they have a specific interest in the case.

[3] In fact, the Aarhus Convention, which strengthened the role of public participation in the EIA directive, actually encourages applicants for permits to identify the public concerned, enter into discussions, and to provide information regarding the objectives of their application before applying for a permit (Verschuuren, 2004).

The ESTEEM process can provide very valuable and complementary input into risk identification and risk management planning by shedding some light on the socio-political and human dimension of projects. Indeed, applying the ESTEEM process allows project managers to identify how much his vision of the project is shared and supported by other stakeholders. In particular, Step 2 'Vision building' identifies stakeholders' visions of the project, which may be quite different from those of the project manager(s). Step 3 - identifying conflicting issues explicitly confronts these different visions to point possible alliances and oppositions about specific issues. Step 4 - portfolio of options goes further to categorize these issues, e.g., in terms of importance rating, urgency and solvability. In Step 4, options for modifying the project or its external environment are identified, which can make a good contribution to risk response planning.

ESTEEM focuses on particular types of risks related to social acceptance, cultural and political influence on projects. It may also help in identifying other kinds of risks through improved information inflow from stakeholders.

It is, however, important to understand that ESTEEM does not explicitly quantify environmental, technological and financial risks. Thus, projects should not rely merely on ESTEEM, but also apply the appropriate environmental, technological and financial risk analysis techniques. ESTEEM can help presenting the outcome and other information to stakeholders. Feedback from stakeholders can also give the opportunity to adapt project plans to the societal context and avoid unforeseen conflicts.

Conclusions

ESTEEM should preferably be used at the design stage of a project: when the main project partners are already known, but when project details have not been definitively fixed. It provides a good summary of the project definition stage (including project history), contributes to a number of important product design issues, and provides input for project execution and monitoring.

ESTEEM can provide valuable input to a number of project management tasks, most importantly project communications and stakeholder management, preparations for EIA and other permitting procedures, and risk analysis. It is important to time the use of the ESTEEM process so that it provides the maximum benefits for these tasks.

ESTEEM does not exclude the need for formal risk analysis (environmental, economic and technical risks) or the need to engage in regulatory processes such as EIA or permitting. Information provided by ESTEEM can be useful, and early contacts and negotiations with stakeholders can make the regulatory and EIA processes smoother. Thus, it is recommended that ESTEEM is used as early as possible: before mandatory public consultations or permitting processes are started.

References

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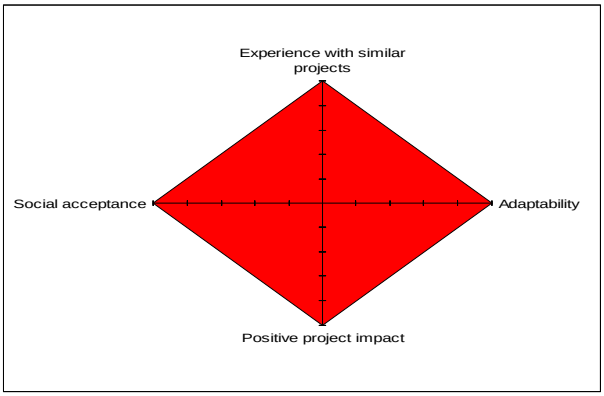
3. Step 0: Suitability check

What are the most suited project profiles to best benefit from ESTEEM? Who is the methodology tailored for? What are the conditions for its efficient use?

ESTEEM is a useful tool for facilitating societal acceptance of new energy projects. However, like all methodology, it has its own inherent limits. To determine whether ESTEEM is a good match for a project, a poll was developed to confirm this depending on the project profile.

The poll consists of 14 questions such as the stage of the project development, or the negotiability/irreversibility of the choices already made, the experience of project managers with such projects and so on (see Table 3.1 for a complete list of the question used).

The results are presented along four different dimensions.



The first dimension is '*Experience with similar projects*'. A high score on this dimension means that the project manager and potential stakeholders of the project are not very familiar with this type of technology or project. When this is the case for your project it is likely that the project manager and stakeholders are facing many uncertainties, which can be a potential source for non-acceptance, miss-communication or difficulties identifying stakeholders.

The second dimension is '*adaptability*'. A high score on this dimension means that the project manager is willing and able to adjust the project to stakeholder input. When this is the case for your project it is likely that you can benefit from ESTEEM, because the ESTEEM recommendations can still be implemented in the project.

The third dimension is '*positive project impact*'. A high score means that there are many negative impacts of a project expected. Negative impacts can be an important source for non-acceptance of a project. When this is the case for your project it is likely that you will benefit from ESTEEM, because you will be able to better communicate the project and learn from stakeholders how to deal with the negative impacts in a social desirable way.

The fourth dimension is '*social acceptance'*. A high score means that there is currently limited social acceptance for this type of technology or that there is no knowledge on the level of acceptance. When this is the case for your project it is very likely that you will encounter resistance to your project. Using ESTEEM will help you to improve your knowledge on the reasons why there is a lack of social acceptance and better deal with potential opposition to the project.

An excel template has been posted on the ESTEEM web site for trial (createacceptance.pshenkin.net). It contains the poll in the form of 14 questions. Each question is answered on a scale of 0-10. For each question there is an explanation about what a low or high score means. The result is then presented in the form of a radar graph, that visually represent the suitability of ESTEEM for a defined project.

Table 3.1 *List of questions used as indicators for project suitability*

Nr.	Question
1	Is this project completely new or a replication of another project?
2	Is the local community familiar with this type of technology?
3	Has the project manager experience with similar projects?
4	In what phase of development is the project?
5	To what extent can the project be adapted to stakeholder wishes?
6	Would you characterise the current political and social debates as local or global?
7	Is the project manager willing and able to engage in discussions with stakeholders in the planning phase of the project?
8	Is the project manager willing and able to discuss the project with stakeholders with quite opposite views?
7	How do you estimate the local socio-economic consequences of the project?
8	How do you estimate the national socio-economic consequences of the project?
9	How do you estimate the local environmental consequences of the project?
8	How do you estimate the national environmental consequences of the project?
9	How do you estimate the average policy and regulatory consequences of the project?
10	How would you characterise the point of view of the local policy community?
11	How would you characterise the point of view of the national policy community?
12	How would you characterise the point of view of NGO's?
13	How would you characterise the point of view of local citizens?
14	How would you characterise the point of the general public?

4. Step 1: Project history, context and actors

The first phase of the method is organized to document and collect information and signals about the project for later analysis. As the method is based on an interaction between a 'consultant' and a 'project manager', the consultant clearly needs to get a thorough understanding of the project if he is going to contribute in later stage.

On the project manager side, it is a good opportunity to systematize and take a distance to his/her project and elaborate communication tools to help interact with other actors in search of their support. The first step aims at describing and situating the project in its historical and socio-political context. It helps the project manager take some distance, identify opportunities and barriers and list key players.

The step 1 process comprises 4 actions:
- *1.1 sketch a project narrative tracing back its dynamics (project narrative)*
- *1.2 identify and analyze the context of the project (context analysis)*
- *1.3 list the key moments and turning points of the project (defining moments table)*
- *1.4 establish a table with the major players concerned (actor's table)*

This chapter contains an introduction to four sub steps which constitute Step 1 of ESTEEM. The purpose of Step 1 is fourfold:
- To develop a narrative through which project managers can reflect on and make explicit the history and present of their project;
- To reflect on this narrative and its relationship to the opportunities and barriers of the context of the project's development;
- In doing this, to identify defining moments for the development of the project, and
- From this understanding of past and present, identifying key actors the project needs to engage with in its future development.

The four sub steps in the first step part of an overall integrated six-step process with links between each of them. The full sequence of steps should be followed.

Having said this, there is considerable discretion for the consultant to omit questions if relevant information about the documents can be gained from documents and/or depending on the level of experience of the project manager. Where the opposite is the case there is also additional support for using the sub steps in a series of appendices to this manual.

4.1 General overview of process and sub steps

The sequential process of using the sub steps is outlined in the main section of this document.[4] To aid use of the sub steps reference is made to a series of appendices which provide further detail as to the purpose of each of the sub steps.

The four sub steps contained in Step 1 are:
1) project narrative
2) context analysis
3) defining moments table
4) actors table.

[4] Step 1 and each of the sub steps within has been designed through reflecting on a wide range of case study examples and theoretical and empirical literatures. The aim here, however, is to outline the sub steps in 'easy to use' format

Two interviews of up to three hours each (maximum) with the project manager/ management team provide the input for these sub steps. In the first interview the consultant and project manager go through all the questions for developing the narrative[5] (see below). The consultant then uses the information for developing the first draft of the narrative, which is sent back to the project manager for checking *before* the second interview.

In the second interview, the consultant and project manager go through the questions and tables for the context analysis, the defining moments table[6] and the actors table[7].

The consultant works out the information after the interview and sends back the tables to the project manager for checking. Step 1 is finished when consultants and project managers have agreed on the output of all four sub steps.

4.1.1 Project narrative

Introduction

The project narrative is the first sub step in the ESTEEM methodology. The aim of the sub step is to make the history and present status of the project explicit[8]. This narrative is used as a basic reference that ensures that both interviewers and managers, and any other actor involved in the interaction, are in consensus on main details. The form in which it is presented is that of a chronological story-like text, a narrative.

Process

The main input for writing the project narrative is a single interview with the project manager. Prior to the interview the consultant should carefully prepare it through consulting existing and available literature on the project, including, for example, flyers, brochures and tenders. The result of this preparation is to give the consultant a first general idea about the project story (to be tested during the interview) and a set of questions to be clarified during the interview.

Additionally, this preparation should allow the consultant to form a better understanding of the level of project experience and awareness of the project manager they will interview. It may also answer questions which the consultant intended to ask, with the added benefit of saving the project manager time.

After the interview the consultant rewrites the notes taken during the interview into a coherent, 2-3 page narrative, which will be sent to the project manager for checking. The project manager can suggest changes to the narrative such as names, timing, additional information etc.

In a second interview the project narrative is used as frame of reference to construct the context table[9], the defining moments table, and the actors table. Some of the questions below already anticipate this function of the narrative.

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[5] A narrative a short story presenting the project see vocabulary of terms for finer definition.

[6] A defining moment table is a table summarizing the main events and turning points through which the project has grown see vocabulary of terms for further definition.

[7] An actor table is a list of the major actors concerned with and of concern for the project, see vocabulary of terms for further definition.

[8] See Appendix 1 for further details on the structure of narratives, the role of the narrative in the wider Create Acceptance process and for an example of a narrative.

[9] The context table list the socio-political opportunities and barriers in the environment of the project see vocabulary of terms for further definition.

Writing a narrative is not an easy task and requires an external person who is relatively new to the project, *i.e.* the consultant. If a project manager wants to go through the ESTEEM process without a consultant, he might ask a colleague not involved in the project (or any other outsider) to perform the role of consultant. Being new to the project is important, because someone who is not yet part of the project history can be more reflexive and critical towards the project history. The person producing the narrative is required to have, in particular, good interviewing and writing skills.

Interview questions for constructing a narrative

The interview is performed in a semi-structured way. A semi-structured interview consists of a two-way communication process using a fairly open list of topics and general questions as a framework. The following list can assist in getting the right information for drafting the narrative. Note that the questions do not necessarily have to be asked in this particular order. In many cases actors and defining moments come up during the chronological descriptions of the project's history, which enables the consultant to go into details of a specific actor or event. Note also that maybe not all questions are relevant for a particular project.

Initial idea of the project and chronological development:

- When was the idea of the project born?
- Who thought of it?
- What was the immediate reason to come up with the idea of the project?
- Was the idea fed by specific literature, other projects or events?
- What happened next and why?
  - Was the idea patented?
  - Did the original idea owner contact others?
- When did this happen?
- Who was involved?
- Was there opposition? if so why, if not why not?
- Could the project manager have taken different steps?
- If so, which steps could have been taken?
- What would have been a possible outcome of these different steps?
- What is the current status of the project?
- What are the major barriers / opportunities?
- Which developments are planned / expected the coming month?
- …

On the involvement of actors:

- Who is the project manager and what is his role in the project and relation with other partners?
- Who became involved during project development?
- Why did they become involved?
  - What is their role?
  - Did their role change during project development?
  - What reason does the actor have to participate?
  - Does the actor agree with all the objectives of the project?
  - Does the actor disagree with (some of) the objectives?
  - If so, which objectives does the actor disagree with, and why?
  - Where disagreements overcome? If so, how?
- How important is their participation to project development?
  - Can the actor be replaced easily?
  - How dependent is the project on the actor's resources?
  - How important is the actor outside the project?
- Did their participation in the project change the project design or objectives?

- If so, how did their participation change the project or objectives?
- How did the project manager react to the changes in the project design?
- Did anybody else oppose the development of the project?
  - Why did they oppose the development of the project?
  - How important was their opposition to project development?
  - How did the project manager react to their opposition?
  - Did it change the development of the project?
  - Could the project manager have reacted differently?
- Which actors have not yet been mentioned but have been important to project development?
- Which actors have not yet played a role but might become involved in the future (i.e. NGO's, civil society, consumer organizations, …)?

On defining moments and important events:

- Where there any events that crucially affected the development of the project?
  - i.e. that affected the design of project in general terms
  - i.e. that affected the design of the technology itself
  - i.e. that affected the involvement of actors
- What kind of events were these?
- What was the cause of the event?
- Was this caused by internal project developments or by external developments?
- How did those events change the development of the project?
- How did the project manager react to those developments?
- Could the project manager have reacted differently?
- Did the events also have implications outside the project?
- Do these events still influence the project actively (apart from the earlier changes),
- ….

4.1.2 Context analysis

Introduction

The context analysis is the second sub step in ESTEEM Step 1. It builds on the narrative and extends the project manager's historical and present understanding of their project to also include the opportunities and barriers of the context within which their project is to be deployed. In short, it allows the project manager to reflect on the dynamics between their project and the context within which it is to be deployed. Two important aspects of context are tackled:

1. Successful implementation of a technology depends very much on how the actual technological artefacts will fit into the local context where they are implanted. Wind turbines are considered positively by many citizen, but many would be chocked if they were sited too close to a historical of natural landscape.
2. The context in which the technology is deployed consists of multiple levels (e.g. international, national, and the local project level).

Process of context analysis: context analysis tables and a guide to filling them in

The context analysis relies on filling in two tables, called 'context analysis table part I & II', one listing opportunities, another listing barriers, to make explicit positive and negative forces in the context within which a project is deployed, to develop a clear sense of sensitivity to local, national and international context issues (both general and specific).[10]

[10] See Appendix 2 for further details on context analysis and its role in the wider Create Acceptance process.

The main output is two tables: one table describes opportunities coming from developments in the context, which are analysed in detail through several additional columns; the second table describes constraints emerging from the context, which are also analysed in more detail.

A list of example questions and topics is provided (see below) and should be used as a *guide* in filling in the two tables to identify *the most important* possible barriers and opportunities and their key characteristics[11]. There are five topics (technological issues; government policies; socio-economic factors; cultural factors; and geographical factors) to be considered and the questions within them are not necessarily the only questions to be answered. They are there to be used selectively or in addition to other appropriate questions to guide project managers' in thinking about opportunities and barriers in filling in the tables. The consultant must be careful in making sure that additional questions are relatively 'standardised' in allowing for a limited range of answers (*e.g.* 'high', 'medium', 'low')

Technological issues:
- To what extent does the project fit with existing infrastructure? (*e.g.* 'high', medium' or 'low' degree of fit).
- To what extent is there a need for complementary technologies?
- What other technological opportunities and barriers are there?
- …

Government policies:
- To what extent does the project fit with governmental policies on new energy technologies and related topics?
- To what extent is there stability of national policy?
- What other government policy opportunities and barriers are there?
- …

Socio-economic factors:
- To what extent is there a widespread availability of natural resources?
- To what extent are existing energy prices an opportunity?
- What other socio-economic opportunities and barriers are there?
- …

Cultural factors:
- To what extent is there trust in relevant institutions?
- To what extent is there environmental awareness in the relevant population?
- What other cultural factors need to be considered as opportunities and barriers?
- …

Geographical factors:
- To what extent is the local climate suitable for the project?
- To what extent is there availability of suitable locations for the project?
- What other geographical factors need to be considered as opportunities and barriers?
- …

[11] The list of topics is based on work conducted under WP 2 of Create Acceptance, which examined the contextual opportunities and barriers in deploying renewable energy technology projects.

4.1.2.1 Context analysis part I- Opportunities

Part 1: The relationship between project and context: what opportunities emerge?

	Name the opportunity	When will this opportunity become important to the project (immediately, within the next year, within next five years, or long-term)?	Level on which opportunity emerges (local, national, international)?	How large are the possibilities to seize the opportunity (low, medium, high)?	To what extent is the project concerned with seizing the opportunity? (low, medium, high, go-no-go)?	Describe the project strategy to seize the opportunity (monitoring, indirect influence, direct influence).	Describe specific actions within the strategy.	Is the strategy focus internal (changing the project) or external (changing the context)?	What is the expected result of the strategy?
Technology context									
Policy context									
Socio-economic context									
Cultural context									
Geographical context									
Other opportunities									

4.1.2.2 Context analysis Part II - Barriers

Part 2: The relationship between project and context: what barriers emerge?

	Name the barrier	When will this barrier become important to the project (immediately, within the next year, within next five years, or long-term)?	Level where barrier emerges (local, national, international)?	What is the expected influence of the barrier on the project (low, medium, high, go-no-go)?	To what extent is the project concerned with dealing with the barrier? (low, medium, high)?	Describe the project strategy to seize the opportunity (monitoring, indirect influence, direct influence).	Describe specific actions within the strategy	Is the strategy focus internal (changing the project) or external (changing the context)?	What is the expected result of the strategy?
Technology context									
Policy context									
Socio-economic context									
Cultural context									
Geographical context									
Other opportunities									

4.1.3 Defining moments table

Introduction

The defining moments table is the third sub step in ESTEEM Step 1. The aim of the defining moments table is to extract important moments in time and significant trends from the project narrative and make important attributes of these moments and trends explicit[12]. Building on the project narrative and context analysis, this table then enables a more strategic reading of the relationship between the project and the context of its development. Specifically, it provides insight into the level of 'path dependence of the project' and also possible points of intervention to re-shape the direction of the project.

Process

The project narrative and the context analysis are the basis for developing the defining moments table[13]. The consultant first drafts a list of key events and turning points (the second column in the table) on the basis of the narrative and the context analysis. This table is then discussed with the project manager and the remaining columns are filled. The project manager can also suggest additional defining moments, or suggest removing others. After the interview the consultant makes the final version of the table and sends it to the project manager for a final check and approval.

The defining moments table can be discussed together with the actor and context tables in a meeting.

Interview questions for constructing a defining moments table

The defining moments table is the base for the interview questions. The consultant fills in all the empty cells of the table in a structured way. The following table is an empty defining moments table.

Date	Description of defining moment	Description of cause	Internal or external cause	Internal consequences	External consequences	Process and Irreversibility
	Defining moment 1					
	Defining moment 2					
	Defining moment 3					
	…					

Description of columns

Date

What was the date the defining moment took place?

Description of defining moment

Can you give a short description of the defining moment?
What happened?

Description of cause

Can you describe the cause of the defining moment?
Why did the defining moment happen?
What are the underlying reasons?

Internal or external cause

Did the defining moment emerge from decisions or events internal to the project?

[12] See Appendix 3 for further details on the defining moments table and its role in the wider Create Acceptance process.

[13] A defining moment table is a table listing key events and turning points is the life of the project. For further definition see vocabulary of terms

Or was the defining moment caused by external events?

Internal consequences
How was the project effect by the defining moment?
- Positively or negatively

What changed in the project?
- *i.e.* change in project design
- *i.e.* change in technology design
- *i.e.* change in actor involvement

External consequences
Where there any external consequences of the defining moment?
Were others affected by the defining moment, if so how?

Process and Irreversibility
To what extent can the defining moment be reversed?
Is irreversibility 'low', 'medium' or 'high'?

4.1.4 Actors table

Introduction
The actors table is the fourth sub step in ESTEEM Step 1. The aim of the sub step is to help project managers to identify key actors and stakeholders of their project. By systematically addressing the questions presented in the table, project managers can become aware of the actors and stakeholders related to their project, and also be alerted to their concerns, resources, social networks and potential sources of influence on the project. By recording actor information that the project manager knows and identifying information that the project manager does not know, the social networks surrounding the project are made more visible and also to some extent more manageable. Project managers are thus better equipped to identify latent opportunities and threats in the operating environment.

Process of actor analysis
Filling in the actors table constitutes the core of the actor analysis. This process is supported by questions guiding the project manager and the consultant while filling in each cell in the actors table.

After filling in the table, project managers are asked to identify: (a) actors that are potentially critical - in a positive or negative sense - due to their large stake, large interest or centrality in social networks; (b) potential conflicts between actors' expectations and concerns and the vision of the project or among different actors' expectations; (c) actors that the project manager does not know very well; (d) actors that have not been hitherto addressed in the project communications in an appropriate way.

Format for actors table
Actors are classified roughly into four groups: (A) private sector companies (partners, contractors, financiers, competitors, etc. (B) Experts, i.e., technology developers, environmental experts and other experts that can be important for the specific pilot project (C) public sector, i.e., local authorities and elected politicians and governing bodies on the local, regional and national level, e.g., the City Council, (D) Associations and NGOs (e.g., neighbours' association, environment NGOs, renewable energy NGOs, consumers organizations, organised labour and professional associations, churches, etc) and (E) consumers, local community, neighbours, employees.

The Actors Table template (Table 3.1) asks the project manager to identify these actors and to characterize them according to roles, interests and power, social organization, and social affinity to the project. Both current and potential actors are to be considered in order to anticipate the emergence of relevant actors at a later stage of the project. Examples and guiding questions are presented below for each cell.

Table 4.1 *The actors table template*

Characterisation	1. Identification	2. Interests and Power				3. Social Organization		4. Affinity to the pro-ject
Type of stakeholder	name /description of actor	Expectations or concerns: motivation to participate	Resources that the actor controls	Replace-ability	Formal and informal influence channels on the project	overlaps in roles	social networks	
A. Private sector companies (business partners, financiers, competitors, etc.)								
B. Experts								
C. Public sector (administrators, politicians)								
D. Associations and NGOs (e.g., resident's associations, environmental organisations, church)								
E. Non-associated persons and groups (e.g., neighbours, consumers)								

Characterization of the actors
There are five further columns in the actor table, which can be understood as follows:

1. Identification[14]
Name /description of actor: this is simply a name or label to identify the actor, *e.g.*, CTS Global Fund, Regional Authority of Borduria, local residents. If a name of a person is entered, project managers should also identify the position of the actor within his or her domain.

2. Interests and Power
What expectations or concerns are there which motivate involvement with the project? These may be quite obvious or relatively obvious for many 'partners' (e.g., for a venture capitalist, company growth and increase in value enabling successful investment in 10 years). They may also less obvious, for example in the case of local community representatives (e.g., environmental quality, concern about increased social mobility). It is important to note all uncertainties related to actors' expectations. Suggested entry for the column: Project managers should be asked for keywords for actors' expectations (e.g., better environment).

Many new energy projects involve a range of potential benefits and other impacts. Some may be more and some less critical. If possible, it is recommended to consider: *which expectations or concerns are so critical that they are likely to determine whether or not the actor will co-operate with the project?* This will include considering differing perceptions of risk of different actors. Suggested entry for the column: Project managers should identify, among the expectations listed, ones that are critical for each actor (to be underlined in the column).

What resources can the actor bring to the project or withhold from it? This refers to the type of dependency created for the project by this actor group. Resources can be financial or market resources (e.g. cash flow through purchases), or they can be administrative (granting of permits or concessions) or they can be social (legitimacy, public image). Suggested entry for this column: keywords (e.g. 'money', 'permits').

Replaceability. *How difficult or easy would it be to replace the actor with another one?* This can mean, for a partner investing resources in the project, how difficult or easy it to find another investor to replace the original partner. It may also be possible to find different customers to replace the existing ones, but for example, local residents are quite difficult to replace. For this column, project managers should classify the actors as 'difficult', 'medium' or 'easy' to replace.

What influence do formal and informal channels have on the project? This includes the ways in which members of a particular actor group can influence the project. They may be inclusion on the Board or an advisory group for the project, or they may include counter-measures that members of the group can legally take against the project (lawsuits, citizen referenda, negative statements on EIA or permit hearings, *etc.*). NB: the formal influence channels depend largely on the design of the project, and can for example ensue from public funding granted or expected, or from the use of land areas subject to specific criteria. Informal channels can be ways of utilising image, respect, the 'connection capital' of actors, market power etc. For this column, project managers should think of keywords for influence channels (*e.g.*, lobbying politicians).

3. Social Organization
Overlaps in roles refer to members of different actor groups also belonging to other actor groups. For example, local residents may also be potential contractors or employees of the project or of a competing project. If an actor group has a number of different roles vis-à-vis the project, this may increase its influence on the project or its dependency on the project. For this col-

[14] See Appendix 4 for a table showing how the topics from the Context Analysis help in identifying 'relevant' actors.

umn, project managers should be asked to suggest keywords for the other roles *vis-à-vis* the project that the actor may have (e.g., employee).

Social networks are closely related to the above-mentioned overlaps. Some actors may be central or have contacts with other actor groups. It is especially important to note the social networks to which project partners enable access (and hence consider some partners as 'potential' due to the social networks to which they provide access). Social networks may also provide actors with resources beyond their own ones: for example, local residents in a middle-class neighbourhood may have good access to people on the City Council, or individual NGOs may be able to mobilize the support of other NGOs without a clear interest in the project. For the project manager, this requires them to ask: *does an actor group have a high, medium or low potential to provide access to wider social networks?* (or enter keywords for the networks to which the actor has access, *e.g*., access to politicians, ability to mobilize other NGOs?)

4. Social affinity

The 'Social Affinity' analysis consists in classify the actors according to their proximity and agreement - disagreement with the project in five categories. This categorization also pertains to the level of trust between the actors.

- *Close-by / We*: This includes the actors that absolutely agree, participate actively and belongs to the pilot project. This category includes basically: CA Team, project manager and partners.
- *Supportive*: This includes the actors who are agree with the project but do not belong to the project (are not partners). This category includes for example the local public authorities that agree with the development of the energy project but does not participate as a partner.
- *Indifferent*: This category includes all the actors that know the project but for they doesn't matter if the pilot project is a failure or success.
- *Opposite*: Actors who are explicitly against the pilot project.
- *Unknown*: Actors whose position toward the project is not know

Identification of critical issues for action and for the next stage

When the Actors Table has been filled in, project managers should attempt to answer the following questions:

(a) Are there actors that are potentially critical - in a positive or negative sense - due to their large stake, large interest or centrality in social networks? Project managers should list these actors.

(b) Are there potential conflicts between actors' expectations and concerns and the vision of the project?
Or are there potential conflicts among different actors' expectations? Project managers should list these potential conflicts and the actors that they pertain to.

(c) Are there (potentially) influential actors that the project manager does not know very well? Project managers should make a list of such actors, consider whether they might be important, and think about ways in which to contact such actors. Alongside the groups, project managers should consider who are legitimate representatives for such groups. Project managers should also be encouraged to monitor the communication channels that such groups (in particular, those less well-known to the project manager) use.

(d) Are there actors that have not been hitherto addressed in the project communications in an appropriate way? Project managers should make a list of actors who may not yet know about the project or who might not know enough about the project. Project managers should also be encouraged to think about potential ways of communicating with these actors, taking into account the relevant communication channels for each group.

These questions can help project managers to start engaging with actors that are necessary to reach alignment among the project and its network of stakeholders. In particular, answers to questions (a) (b) and (c) also provide guidance for actors that should be engaged in the Contact Group in Step 2.

5. Step 2: Vision building

How to anticipate possible social acceptance problems before they even occur? To identify such weak signals, the 'consultant' confronts the vision and expectations of the 'project manager' to these of the other stakeholders. From there, they can determine how articulated and shared they are, and identify which areas of actor's positions might potentially lead to strong agreement and commitment and which could possibly drive to disagreement and oppositions.

Step 2 process comprises 4 actions:
- *collect project manager vision of the present*
- *define project manager expectations about the future*
- *select a relevant group of stakeholders for confrontation of visions*
- *identify these stakeholders expectations and visions*

Step 2 in ESTEEM aims at collecting a variety of visions and expectations about the project held by various actors.

The project manager's vision is elicited in a variety of complementary formats (present, future and intermediate). The purpose is to enable other stakeholders to react to a given end vision, and also to react to the pathway chosen by the project manager to get there.

Step 2 consists of four sub-steps
- project manager's present vision
- project manager's future vision
- selecting core group of stakeholders
- stakeholders future vision.

They are presented in the following pages. First, we will provide the general process overview. Then more detailed presentation of the tools and how to use them will be presented. Finally, additional information can be found in the appendix to this manual.

5.1 General overview of the process

Step 2 consists of four interrelated steps that aim at collecting and confronting different actor's expectations about the project and its future.

Collecting the project manager's current vision of the project
Based on the documents collected in step 1 (narrative, context tables and the actor table) a 'present vision' that represents the project manager's view on the current status of the project is constructed. The 'consultant' does that job alone (unless the project manager wishes to interact at this stage).

The main purpose of the present vision is in fact instrumental and it will assist the consultant in eliciting what the project manager's think about the future.

A network map[15] and a synthesis writing[16] are produced in order to build to create a sense of a pathway, of a dynamics to back-cast or forecast from present to future visions.

[15] A network map is a graph in which the main actors and their links are drawn.
[16] The synthesis writing is a short paper description of the social network of the project.

Defining project manager's expectations about the future

In the next sub step, 'consultant' and 'project manager' will together elicit project manager's expectations about the future, so called 'future vision'.

To clear this task, consultant needs to plan a 3-hour meeting with the project manager. The consultant would preferably send the present and intermediary vision documents in advance.

The direct interaction between 'consultant' and 'project manager addresses three important issues.

a) *Agreeing upon the documents produced* - first, the two players need to agree upon the documents elaborated so far. One way to check this consensus is to propose that the 'project manager' reviews and revises the network map and the synthesis writing that have been sent to him.
b) *Eliciting project manager's expectations about the project future* - here, 'consultant' and 'project manager' will discuss together how the world should look like if the project succeeds. To help this process, the project manager will draw a new network map to represent graphically how he/she sees the world of the future. This map will be intensely commented and discussed by the two players. This will be the basis on which the 'consultant' will draft another synthesis writing dedicated to project manager's view of the future
c) *Entitling the vision with a name* - the 'consultant' will ask the 'project manager' for a possible name that would represent his vision of the future well.

Select a relevant group of stakeholders for confronting visions

In the final stage of their meeting, the consultant and the project managers need to determine a group of representative stakeholders with whom the project manager's vision and expectations about the project will be confronted.

The list should be carefully composed as a group of 5 to 7 people will be formed. If too sympathetic with project managers views, this group will not accurately provide signals of possible conflicting areas. If too opposed with the project manager expectations, the group might lead to the biased idea that little negotiation or alliances are to be found by adapting the project t its context. These implications should be made clear in the discussion.

Identify the chosen stakeholders representatives expectations and visions of the future

The final phase of step 2 aims at identifying stakeholders visions and expectation about the project and its future. To generate these visions, the stakeholders selected will be presented with the material describing the project managers ideas about the project and its prospects (present and future maps, synthesis writing and name). The material could be send in advance. This way, they will be encouraged to react, agree, modify and rewrite the documents according to their own experience, interest and expectations. Several processes are suggested to do so: either to conduct individual interviews with each of the stakeholder listed or to organise a collective meeting gathering all the listed stakeholders (especially if such an organised group are already involved together). The resulting revised documents will together form the stakeholders' vision (maps, synthesis writing and name).

Final output

As a result, consultant will be in possession of a number of documents that he can compare: original documents and maps eliciting the project manager's vision; revised documents pointing to stakeholders' agreements and disagreements with it.

More detailed presentation of the different sub steps and tools composing step 2 are presented in the following paragraphs.

5.1.1 The project manager's present vision

The Project Manager's present vision will be approached by the application of two tools. A network map graphically representing and linking the social actors that the project manager's considers to play a role (positive or negative) in the project. One synthesis writings that 1) comments the graphical network map and highlights current dilemma's, opportunities, strength and weaknesses as identified by the project manager and 2) provide a reference point for dynamic forecasting to or back-casting from the future.

Main inputs that will be useful here are the following step 1 documents: Project Narrative, the Context Analysis and the Actors Table. The 'Consultant' is encouraged to pre-fill a 'social network map' scheme and draft a preliminary 'synthesis writing' based on this information. These documents can then be sent to the project manager to prepare the future interview with him/her.

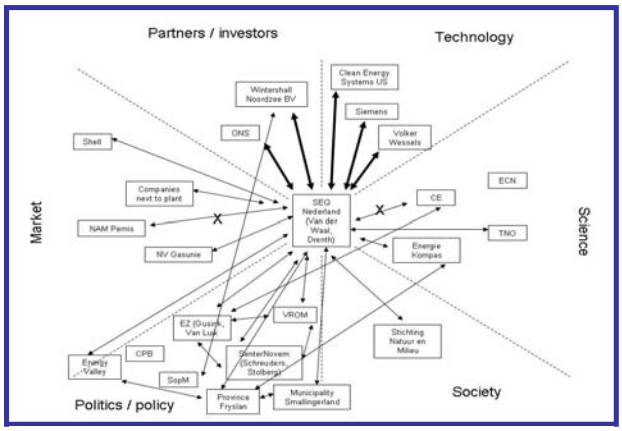


Figure 5.1 *Present situation: stakeholder map*

5.1.1.1 The social network map

One key instrument to catch actor's visions of the project is called a 'social network map'. This tool has been elaborated by social scientists to help actor's elicit their views about the socio-political context of their projects (Laredo et al, 1996, de LAAT, 1999[17]).

It consist in poles (policy, technology, science, partners/investors, society, markets) along which key actor's can be positioned. Arrows indicate the nature of links between them. The poles can slightly differ across projects to fit, but should remain the same within a project to ensure compatibility. The actors involved in a social network can then be mapped in the social map. When relevant, non-human items might be included in a network map, such as for example high energy prices, a law, subsidies or technological efficiency improvements.

5.1.1.2 Synthesis writing

The synthesis writing is complements the social network map. The synthesis writing consists of two parts:

a) 1 page of text describing and commenting the present social network as the 'project manager' sees it. It includes the network main characteristics and possible dilemma's, problems or other issues the project manager has mentioned specifically during step 1.
b) One page of text describing the pathway to the future. The 'consultant' uses documents issued in step 1 to draft the 'synthesis writing'. The 'context table' is particularly useful to draft the pathway to the future. It contains valuable insight about the strategies the project manager envisioned to valorise chances and overcome barriers in the future. Preferably, the synthesis writing would be written in the form of a newspaper article or 'popular press' article that describes the project now and in time wise halfway (2009) to the end vision of the project (for example 2010). These documents will then be sent to the 'project manager' and discussed/ reviewed, revised during the meeting between the 'consultant' and the 'project manager'.

[17] Laredo, P. and P. Mustar (1996): *The techno-economic network: a socio-economic approach to State Intervention in innovation* in Combs, R., A. Richards, P. Saviotti, V. Walsh (eds) technological collaborations. EE.pp 143-164. De LAAT (1999)

5.1.2 The Project manager's future vision

In the second part the project manager interview, 'project manager's' future vision is constructed.

As we used a social network map and a complementary synthesis writing to elicit project manager's present vision, the same tools will be used here to help describe the project manager's vision about the future. The social network map will be particularly useful for 'project managers' and 'consultant' to discuss about the future and make the views of the future explicit.

5.1.2.1 Synthesis writing

During their meeting, the 'consultant' will conduct an interview with the project manager on how he/she sees the future.

To start with, it could be useful to explain what we call a vision about the future:
basically, it describes how the project managers imagines how the project will look like when successfully finished. Using a specific date can be very helpful: how do you think the project will look like in 2015?

The following list of questions can assist the consultant in his/ her interview:

- Who will be important actors for the project in 2015? Who can make the project a success or block it?
- What factors will be important for the successful operation of the technology in 2015?
- What will be the main strength and weaknesses of the project in 2015?
- Who will be cooperating with the project in 2015?
- Who do you think will act against the project? Can you imagine why?
- What are the main risks factors that could disrupt the continuity of the project until 2015?
- What should change to overcome these risks? Who could help you?

5.1.2.2 Creating a vision title

Another task of the meeting is to decide upon a name for the project manager's vision of the future.

When the future network has been completed and the consultant has sufficient information for writing the future synthesis, the consultant and project manager can think of a vision title. The vision title should make clear what the most important element of the vision is. It can be helpful to imagine a newspaper article in 2015, and think of a title for this article. Therefore, the title should be a 'newspaper' style title that represents the project manager vision in a short and catchy way. The aim is to stimulate the project manager or stakeholder to highlight the most important element in the vision. It also enables the consultant to start the stakeholder meeting in Step 5.

5.1.2.3 Future social network

A social network map representing the future can be constructed in a joint effort of consultant and project manager. It can be very helpful to do this directly on a laptop connected to a beamer.

One good starting point is to comment the present social network map. The consultant and project managers could review its dimensions and devise what will be different in 2015. This way, changes can be made straight away on the map. Project managers comments are collected by the consultant for finalising/completing the different documents making project manager's 'future vision'.

5.1.3 Selecting the group of core stakeholders

One crucial aspect of the ESTEEM methodology is the selection and participation process of representative stakeholders. As a small group of them has to be listed and chosen with care, this selection process being particularly essential to the methodology efficiency.

During their interview, and after having elicited the project manager's vision of the future, the 'consultant' and 'project manager' will have to discuss about a stakeholders representative list. The following criteria can be useful for selecting stakeholders.

1. Advocates and opponents to the projects

The stakeholder group should represent both (expected) advocates/opponents of the project. The following distinction helps to select stakeholders according to this criterion:

- *Close-by / We*: The actors that absolutely agree, participate actively and belong to the pilot project, such as project financers or technology suppliers.
- *Affine*: The actors who agree with the project but do not belong to the project (are not partners). This category includes for example the local public authorities that are agree with the development of the energy project but do not participate as a partner.
- *Indifferent*: This category includes all the actors that know the project, but do not have a specific opinion about project success or failure.
- *Opposite*: Actors who explicitly manifest against the project.

2. Variety of social function

The consultant and project managers might want the panel to represent the variety of the society in which the technology will be implanted. The extension of this variety and its dimensions might be discussed between them. So for instance, it might be important not to select actor policy makers alone, but rather aim for a balanced representation including civil society organizations, public administrators, private sector companies, scientific experts and non-associated persons that are not organized and usually considered the silent majority (e.g. neighbouring people).

3. Variety of social profiles

Another dimension that could be considered is the social profile of people invited. Such social representation criteria include age, gender and geographic and social origins.

4. Centrality of the actor in the project social network

One final dimension is that of actor centrality in the project network. This is a technical criterion that directly relates to the application of Social Network Analysis and Social Network maps. In the present network map elaborated earlier in step 2, project manager has positioned actors in the map according to their centrality and proximity with him/her/ the project, the project being at the centre. From a network analysis, actors can be characterised according to their 'proximity' (core or peripherical). The core stakeholders are those on which the organization dependents, such as consumers, owners, employees/suppliers, local community and/or those who concentrate the biggest number of relations. The peripheral stakeholders (such as NGOs and media), are those who are not be central in the network of the project and those who have few relations with other actors of the net (but can be important since they can influence the stakeholders' perceptions).

After finishing the interview the consultant will revise the written documents and send them in a finalise version with network maps and the vision title to the project manager for a final check. The project manager's vision is now completed and can be used in the interviews with the stakeholders.

5.1.4 The Stakeholder future visions

At this stage, step 2 aims at confronting project managers vision in the form of different documents completed so far, to the stakeholders experience, interests and views. Pushing this confrontation is expected to stress and accelerate the genesis of weak signals of agreement and disagreement on specific project issues.

To perform this task, consultant and project manager can choose between alternative routes:

- Either to conduct individual interviews with the short listed stakeholders selected previously with the advantage of facilitating deep individual expression.
- Interview them in consistent group or communities when they exist to cover the group rationale better than with individual thinking.
- Or organise a general workshop to both collect reactions but also observe interactions between different stakeholders.

Another dimension of the choice depends on already existing structure of actors around the project. In some cases, there may already be a highly formalised participatory process in which stakeholders have already been enrolled. Sometimes, financial or organisational enrolment in the project can be observed. In other cases there may be no stakeholder involvement yet, and the project manager may decide that a formalised approach is/or is not desirable from there.

If the consultant and the project manager discussion end up in favour of the formalization of a stakeholders participatory group, several types of structures might be considered.

- Close-by Official Group
- Official representatives of the stakeholder group
- Local support Group
- Informal support group
- Well informed contact group.[18]

In any case, the group of stakeholders might not exceed 5-7 people at this stage. Prior to the interview/workshop, the consultant sends the project manager's future vision documents (network map, present, intermediate and future synthesis writing and title) to the short listed stakeholders.

During the interview, the stakeholder is presented with the documents built as 'project manager's vision' and is required to react to them.

First, the consultant generally explains the CreateAcceptance process and the purpose of the interview and asks the stakeholder to explain his or her background and position. The purpose is to get a first impression of the stakeholders position and what his or her main concerns are. These concerns do not necessarily have to relate to the new energy project.

Afterwards, the consultant and stakeholder discuss the project more specifically on the bases of the documents sent. The output of the project manager interview (network map, synthesis writing and title) is the basis for this part of the interview. Redrawing and commenting the map and text is highly encouraged. The consultant coins issues/areas stakeholder agreement or disagreement.

The following list of question might be used as an example:

- What kind of changes does the stakeholder proposes in the network map?
- Are there actors missing?
- Are there relations wrongly depicted according to the stakeholder?
- Does he agree or disagree with (parts of) the synthesis writing?
- Does the title reflect his or her own vision on the future of the project?

[18] The different types of formalized core group are explained in the appendix.

- Or does he propose a different title?

At the end of the interview, consultant is asking stakeholders themselves who should be part of the stakeholder's workshop. This will be used in step 5.

After the interview, consultant finalises the stakeholder's vision documents and comes up with fresh: revised network map, revised synthesis writing and revised vision's title. They could be send back to stakeholders for validation.

6. Step 3: Identifying conflicting issues

How do the main players visions and expectations converge and diverge with that of the project manager? What are the major point of agreement/disagreement that could potentially lead to further support or opposition to the project in the future? The consultant here is analyzing the material collected in step 2 in order to pinpoint the major issues uniting or opposing actors.

Step 3 process comprises 2 actions:

- *list and describe the issues at stake*
- *rank them*

Step 3 in the ESTEEM methodology aims at identifying conflicting issues and main points of agreement in the project. To do so, the different visions collected from the various project actors and stakeholders will be contrasted and compared in a 'key issues table'. Project manager's vision and stakeholder's visions collected during step 2 will be analyzed for their representativeness and confronted with one another. Then most debated and conflicting issues as well as strong points of agreements will be ranked and organized according to their strategic importance.

The focus in this step is on the diversity and divergence of views among a variety of actors. Stakeholder' interviews performed in step 2 analyzed to revealing the concerns they might have, and with which feature or aspect of the project/installation it is associated. This approach allows for the identification of existing sources of possible conflicts, disagreements about project features that would possibly lead to problems of acceptance. In this manner, strong points of agreement and consensus about the project will be pointed. On time, it will ease negotiations by pointing to the features stakeholders would like to modify or change and these that they would like to keep.

The purpose is to get a clear view about actors and issues with a potential strong impact on acceptance/rejection of the project before the consultant will share it with PM in step 4.

Step 3 consists of two main sub-steps. Below, a general process overview is presented. Subsequently the two major sub-steps and their components and tasks are discussed in detail in the appendix.

6.1 General overview of the process

Step 3 can be divided into two main sub-steps that will be totally handled by the consultant. Indeed, step 3 is a synthesis step during which the consultant analyzes the descriptive data collected so far and prepares next interview with project manager that will take place during step 4.

6.1.1 Identification of key issues

A large variety of visions and data have been collected in steps 1 and 2. The consultants (preferably the ones who performed the interviews in step 2) will confront them here to identify areas of agreements and conflicts between them.

To do so, he/she will build a 'key issues table' (sub step 3.1.1). Constructing the 'key issues table' will serve both to analyse each vision and to synthesise what they have in common or different. The consultant will fill the table based on the project manager's future vision (social network map + synthesis writing + vision title) and the reactions from stakeholders (redrawings

and revised documents, contested or desired features) collected from the project managers & stakeholders interviews during step 2.

As an outcome, each stakeholder vision will be synthesized and checked for its consistency. In addition, the project will be analysed along key 5 dimensions (policy, economy, socio-cultural, environmental, infrastructural) to identify major areas of possible conflicts and agreements.

Finally, the project manager's vision will be tested against other actor's visions in order to identify most conflicting issues as well as strong points of agreement and their actors.

6.1.2 Ranking key issues according to their strategic importance

Identifying conflicting features and issues is one thing, evaluating how important and strategic they are is another. Sub step 3.2 aims precisely at ranking issues and actors and describing the most relevant to be taken into account. To do this, the consultant will use the 'issues ranking table' (3.2.1) and 'issues ranking graph' (3.2.2). Based on previous material collected and on the 'conflicting issues table' build in 3.1, the consultant will have to evaluate the relative importance, emergency and solvability of the different issues.

Final output
The final output of Step 3 is a 'key issues table' that points to the main divergence and convergence of vision between PM and other concerned actors, and an 'issues ranking table' + an 'issues ranking graph' that will help visualise and describe the most strategic issues to be addressed in step 4.

6.1.2.1 The conflicting issues table

Conflicting issues and features raised by the project of renewable energy are approached here through gaps and convergences between project manager's and other actors visions.

The main inputs for identifying conflicting issues and features will then refer to project manager's present and future vision documents, as well as stakeholder's vision documents as built in step 2.

The consultants, that if possible will be the same who performed the interviews with the PM and stakeholders during step 2 will prepare the 'key issues table' out of this information.

The main component in step 3 is the conflicting issues table. This table is used to help the consultants synthesize and analyse the now large set of information they collected so far, focusing on conflicting aspects and strong consensus points of the project. It is an instrumental component that would be fruitfully used by a team of several consultants to share their interpretations of the project acceptance. The table will force them to discuss the collected material, to summarize information into a few key words, to comprehend each stakeholder's rationale and each of the 5 projects dimensions.

Finally, the table will focus the discussion on gaps and divergence relative to the referential Project manager's future vision and installation features.

The table is a matrix representing the different issues and actors visions associated with the project. Different poles are displayed in column (infrastructure, economy, social, environmental, regulatory) and the different stakeholders visions in rows. Internal coherence by each vision (by row) and the consistency of each aspect (by column) can be checked. Moreover, the table allows for two synthesizing judgments (the last two columns) and a list of key issues.

Different stakeholders' visions are examined and confronted with each other in order to find out key issues divided into 3 subcategories marked with 3 colours:

- conflicting issues,
- points of strong agreement.
- not sufficient or unresolved issues,

	Business as usual vision	Project Manager	Actors x	Actor Y	Actor Z	Controversy	Opportunities
Infrastructure							
Economic							
Environment							
Society							
Policy							

Issues are presented (policy, social, economy, infrastructure, environment) in columns. On the project manager side, the issues are the objectives and benefits that the project manager thinks the new technology will bring to the local and wider context in which it will be installed. On the stakeholder's side, the issues are the problems they believe the technology will help raise or solve. Actors visions are presented (project manager, stakeholders -categories of actors) in rows.

Two synthetic columns sum up most striking controversial and consensual issues.
Are there conflicting issues/features of particular accuracy between PM and other stakeholders? Are there features that are particularly consensual? One example of conflicting issue is that of ownership of the infrastructure in the geothermal project, or the mandatory labelling of GM food. There are strong debate and strongly diverging positions about these. One example of features might be aesthetics of wind turbines, the PM might estimate that wind turbines are modern lighthouses and embellish the landscape with modernity, whereas safeguarding associations of heritage and housing might considering them as terrible monsters of steel that spoil the landscape.

By drawing this table, consultants will more clearly identify key actors and key issues/features with conflicting or consensus potential. The exercise is one of synthesis, so the most obvious and serious conflicting areas have been identified already in the previous steps. Provided that consultants have a good background knowledge of the project and their actors, it will help point to major issues that might threaten the project acceptance. This table will be send to the project manager prior to step 4 meeting for validation during the interview.

6.1.2.2 The issues ranking table

The second component in step 3 is also a table: the 'issues ranking table'. This table aims at helping consultants point to the most important and sensitive issues/features in terms of the project acceptance. As the conflicting issues table, this is mainly an instrumental component, which can be used in a team of consultants as it involves an important share of interpretive work. Again, and for this reason, it seems recommendable that the consultants who did the interviews in step 2, and the interpretative work in building the key issues table, would be involved in the construction of this table.

The table consists of two main parts, one describing issues/features more extensively, the second ranking them according to their strategic importance.

In the first part of the table, each important issue - in row- identified in the key issue table will be described in further detail in a few sentences.

In the second part of the table, each issue - in row - will be estimated in terms of their Urgency and Importance level - each corresponding to a particular column.
The final column is a synthesizing one, in which consultants will attribute a ranking to the issue/feature as regards its risk/importance for the project acceptance

Urgency: referring to the timeframe within which the issue should be solved in order for the project to continue (high/low)
Importance: referring to the dependence of the project on resolution of the issue (high/low).
Solvability: level of costs/ feasibility obstacles

On the basis of this the issues are ranked (1, 2, 3, 4, etc.). Then the project manager can add a comment on the extent to which they are solvable/feasible.

Issues/features	Description			
Issue 1				
Issue 2				
Issue 3				
Issue 4				
Issues/features	Urgency	Importance	Weight=U*I	Solvability
Issue 1				
Issue 2				
Issue 3				
Issue 4				

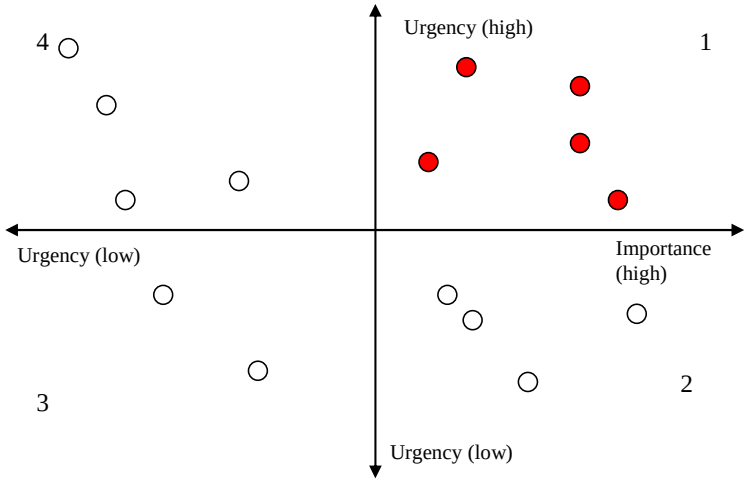
From this table, the consultants will derive a graph that will illustrate and synthesize the analytical work in step 3. It will be the major output of Step 3 to step 4 and is going to be presented, with ranking issues table to the project manager for orienting step 4 activities.

6.1.3 Strategic issues graph

The third and last task in step 3 is the ‘strategic issues graph’. Directly derived from the previous table it is a visual representation of the table main results. It will help consultants visualize the work they have done in step 3 and be a powerful output to show the project manager.

The graph is two dimensional:
- Horizontal axis represents the urgency.
- Second axis represents the importance.

In this way the different issues / features will be directly comparable. Moreover, the table shows, which activities are required for a given set of issues:
- Quadrant 1 (high urgency and high importance): the project manager should immediately act upon these issues.
- Quadrant 2 (low urgency and high importance): the project manager should develop an action strategy and planning to deal with these issues in the coming month/years.
- Quadrant 3 (low urgency and low importance): the project manager should not deal with these issues.
- Quadrant 4 (high urgency and low importance): these issues need a defensive strategy, as they are urgent, but not important for the project manager (they might be important to other stakeholders!).


4
Urgency (high)
1
Urgency (low)
Importance
(high)
3
2
Urgency (low)

7. Step 4: Portfolio of options

Step 4 is concerned with devising how to improve the project acceptance by reviewing the variety of options offered. Which piece of hardware, software and context of the future installation can be modify to raise acceptance level of the project?

Step 4 process follows two actions:

- *Draw a list of solutions/option for each important issue*
- *Clarify which options are most desirable*

7.1 General overview of the process

The objective of the create acceptance Step 4 is to identify the variety of options 'the project manager' can take to enhance social acceptance of its project, and their implications.

To do so, a new meeting, involving 'the consultant' and 'the project manager' is held. The documents of step 3, 'issue ranking table' as well as the 'strategic issue graph', will be provided as a basis for discussion. Then possible solutions and their implications as well as possible processes to implement them will be examined with the project manager and ranked in accordance to his/her preference during 1 hour meeting. This options will then be the basis for further discussions with stakeholders in step 5.

Consultants will assist project managers in different ways and along three main sessions during the meeting:

a) They will raise project manager's awareness about issues (by discussing with them the result of step 3).
b) They will assist project managers in generating and identifying possible solutions.
c) They will provide guidelines for ranking solutions.

7.1.1 Identifying solutions

During step 3, debated issues, strong points of agreements and disagreements have been identified by consultants.

Step 4 is the occasion for a new meeting between 'project manager' and 'consultant'. This time, they are discussing the different options offered to improve project acceptance, and prepare together step 5 'stakeholder's workshop' meeting.

Before the face to face starts, the 'consultant' sends to the 'project manager' a number of documents from step 3. This includes the 'key issues table', the 'Issue ranking table' as well as the 'Strategic issues graph' (see 3.1, 3.2 and 3.3). The project manager can then discover, in a summarized form, the result of the confrontation between his vision and the stakeholder's ones. Project managers comments and possible revisions should be noticed by the consultant.

Once this validation task is cleared, the two players focus on finding out solutions that might address the major issues raised, starting with the highly ranked ones. The idea here is to generate options. Although not mandatory, we recommend to rank and evaluate the solutions. As a working condition for this session, we also strongly advise that consultants phrase issues as much as possible in terms of product/equipment features.

This focus will make full sense in step 4, as one major way to resolve issues will be to reengineer some aspects of the equipment design and features that stakeholders would like to change, or the impact of which they disapprove (in a wider sense, including the qualities of the equipment, and their performance).

The purpose of this exercise is to get a clear view on the project manager strategy, and the concessions he/she is ready to concede in order to increase the project's chances of success before these options are actually submitted to concerned stakeholders in step 5.

7.1.1.1 Issues/solution table

In terms of tools, this process is facilitated by the use of the 'issues/solutions table'. This table will help systematically address the major issues raised in step 3 by articulating a list of issues (validated during the first part of the meeting) together with a list of solutions (that the project manager will imagine as a response to these issues).

In order to focus and ease this creative thinking, we suggest that solutions to each issue should be guided along three major categories of solutions depending on the nature of the issue/problem raised:

a) *Hardware type* - equipment design/environment adaptation,
b) *Knowledge gap type* - uncertainty reduction/expert assessment of impact,
c) *Economic prejudice type* - financial incentive.

Further explanation of what these different categories relate to are provided in the following.

a) In case of a well identified physical impacts of the technology, solutions can be search by focusing on changing/re-designing some parts of the equipment and the hardware characteristics. What part of the equipment is actually concerned by the issue? Is there a way that this part should be re-designed in order to comply with stakeholders will?

For example, neighbours to a wind turbine might complain about the noise. In this case, implanting the turbine with a clearance zone of 500m away from housing should considerably reduce this problem.

b) In case the future impact of the technology is not clear or uncertain, or submitted to controversies, solutions can be search by trying to first filling the knowledge gap and reduce uncertainty. Is there any expertise already available, as well as proved calculation methods that could be trustfully called upon? If not, is there a possibility for an option/ to delay some aspects of the project/ decisions, until more experiments/knowledge is gained through R&D?

One example has been provided by the Asbestos case. There were doubts and opposition to the use of this metal fibres. On the other hand, its property made it very attractive for use in plants and many other applications. As long as a clear and widely accepted toxicological study established that it was a cause for very bad cancers, this material has been widely used in plants.

c) In case of important economic prejudice/damage is made to the neighbourhood in an irreversible way and it can not be satisfactorily solved with a hardware solution, solution might rather be searched by focussing on financial compensations (when satisfying). Is there a well established way of calculating irreversible economic prejudice? Is there a way of associating stakeholders in changing their attitude towards the economic benefits?

The recent trial of the ERIKA oil slick in France is interesting in this respect. First, the judgement has established the responsibility of TOTAL as a company, although the ship was of course outsourced to non accountable third party. For the first time in France, the prejudice has

covered the price of irreversible damage caused to neighbours and the environment (for instance killed birds were billed).

The table below will potentially support 'project manager' both to identify the nature of the problem/issue, and focus solutions on consistent dimensions. Consultant should carefully explain the different dimensions to project manager before they start the creative thinking.

ISSUES/SOLUTIONS TABLE SCHEME

Key issues	**Envisaged solution**			
	Equipment/environment improved adaptation	**Knowledge gap reduction**	**Financial incentive**	**Other**
Noise of wind turbine	Find better siting	Define the scientific laws of noise diffusion	Finance double glazing	

7.1.2 Ranking solutions and devising process of negotiation

The third and final task of the meeting will be devoted to evaluating and ranking possible options as well as devising preferred processes of negotiation for the coming workshop with stakeholders.

a) Solutions are ranked according to project manager's preference (importance, emergency, solvability) and the revised ranking of issue.
b) The implications of the envisaged solutions are estimated. When possible, a rough cost/benefits trade off will be calculated for each listed solution.

Solutions often come as trade-off between different variables: changing the hardware of a wind turbine might reduce its noise while reducing also its performance. This should be kept in mind by the consultant when discussing the implications of different solutions with him/her.

For example, the wind turbine height can be reduced to limit visibility from afar. On the other hand, the higher the turbine, the more energy it can produce. Hence, turbine productivity will be affected negatively by size reduction.

Final output
As an outcome, a tool called 'Issue/solution table is produced' (4. 1). In addition, some thinking has been made on most desirable solutions. Both the project manager and consultants will get a clearer view of the project manager's preferred options a well as the way he/she intends to implement them. With this outcome in hands, it will be time to go to next stage and test the solutions for their robustness.

8. Step 5: Getting to shake hands

Step 5 consists in collecting the reactions of stakeholders to a number of possible options and solutions for improving the project. Which of the possible solutions considered in step 4 have the stakeholder's preference? What kind of alternative possibility would they have in mind? This step is dedicated to test/ evaluate and come up with a limited number of solutions for improvement of the project.

Step 5 comprises three actions:
- *prepare the workshop*
- *hold the workshop*
- *wrap up and synthesis the workshop*

Introduction
Step 5 is focused on the execution of a stakeholders' workshop. The aim is to validating the different project scenarios and reaching agreements on solutions that can improve its acceptance.

The detailed objectives of step 5 are the following:
- check the different future scenarios of the Project during the workshop
- collect all the inputs/reactions from the participants/stakeholders
- check, which alternatives have more support and generate consensus and which are problematic because they involve a (potential or real) conflict.

There will be two different types of results of the step 5, tangibles and intangibles.
The tangible result will take the form of a 'workshop report': a descriptive document wrapping up the main results of the workshop. This includes the description of different possible futures for the project, and their evaluation by the stakeholders in terms of how much consensus or disagreement level they are reaching. It comes with a brief description of the workshop unfolding (notices about difficulties/easiness in the discussion, the general atmosphere rather defensive or cooperative…).

The intangible result is the establishment and/or development of communication opened by the workshop directly with the main actors of the project. This can be seen as a starting point to create a new communication dynamics with major stakeholders and involve them more directly in the project.

8.1 General overview of the process

Step 5 can be divided into three main sub-steps.

5.1 The preparations of the workshop
The preparations of the workshop are all the different tasks needed to perform an efficient workshop day. These tasks include choosing the format of the workshop, selecting the participants, preparing and sending relevant information to the participants, training the facilitators of the workshop and planning a number of logistics questions.

5.2 Realization of the workshop
Within this ESTEEM methodology realm, we are proposing three different formats of workshops, depending on the status of the project, the time stakeholders spend in the workshop (one or two days) and the available human resources.

- The one day project partners workshop format
- The one day stakeholders' workshop format
- The two days stakeholders' workshop

More details about these formats and how to choose from them is provided in the following.

5.3 The return of the workshop results
The third sub-step entails the elaboration of the workshop report and its mailing to all the participants. The report is an informative dossier/document that includes an explanation of what has been done in the workshop and its results. At this stage, the reporting should remain rather descriptive, in order to transcribe what happens and what participants said in a faithful way.

Faithfulness is essential here to the credibility of the process: participants should be in a position to easily recognize and check the presence and good transcription of their ideas in the document. The document is sent to the participants as an acknowledgment of their work in the workshop, and a further opportunity to validate and will be one on the main inputs for building the recommendations for action in step 6.

Final result

As a result of step 5, the 'project manager' and the 'consultant' will be in a position to list options and solutions for improvement of the project and determine which are the most/the least consensual amongst them.

8.2 Process description of sub-steps

In the following lines, more detailed description of the different tasks and tools making step 5 is provided

8.2.1 The preparation of the workshop

Efficient running of the workshop depends on a number of decisions:

1.a. Format of the workshop
1.b. Who will be invited
1.c. Prepare relevant information for the participants
1.d. Training and debriefing the facilitators
1.e. Logistics: booking the room, office stationery, drinks and snacks...

8.2.1.1 How to decide on the workshop format

We propose three different formats for the workshop:
- The one day project partners workshop format
- The one day stakeholders' workshop format
- The two days stakeholders' workshop

The 'one day project partner's workshop' will be particularly suitable for the projects that are practically in their early stage. Indeed, when the Project is starting, one key task is to build the first circle networks of project team and partners. In this case, the workshop might help project manager contact with partners (ministries, local authorities, universities, companies, financial supporters...) and reach agreements with them so they get committed to the Project. So, in this case, we suggest holding a one day - 5 hours with two to three facilitators- workshop with the main partners or future partners in order to ease this process.

A ‘stakeholders workshop’ is recommended in all the other situations for testing and evaluating the project future options with concerned stakeholders. In this case, the aim of the workshop is to increase project acceptance by identifying different stakeholders preferred solutions.

We suggest to organise the ‘stakeholders’ workshop in either one or two days. Decision upon the time frame should be made in accordance to availability of stakeholders and project manager, and on the basis of previous experience of participants. If participants are not well informed about the project they might find it hard to contribute straight away with coherent proposals during the workshop.

In order to increase their awareness, it is recommended to:

- Keep stakeholders informed during the entire project (newsletters, other workshops, meetings...).
- Elaborating and sending an informative dossier to each participant before the workshop.

NB: *a two-day workshop allows a much deeper work with stakeholders, particularly appropriate when little previous information was disclosed and exchanged. In this case, the first day can be focused on discovering and discussing the different step 1 and step 2 documents (such as the project manager’s vision), and the second day can be oriented to enriching the proposals and possible solutions list.*

In both cases, one or two-day stakeholders workshop, it is very important to select carefully who will be invited to participate in the workshop.

8.2.1.2 Selection of the workshop participants

Regardless of the type of workshop held, there are some general criteria for the selection of participants:

- Whenever there is an open conflict, controversy or strong debate, opposing parties to the conflict should be invited. The organization of the workshop has to be careful to leave room to the main conflict protagonists, excluding them usually entails that the conflict intensifies. In this case, the workshop will be unique opportunity to bring the different parties face to face and try to reach a constructive stage in the discussion when possible.
- A balanced social representativeness of the concerned population should be looked for. This includes two aspects: a) balanced representation of different social functions spheres (researchers, financers, technology providers, market consumers, policy makers) b) variety of social actors

Two good sources of documentation to help this selection process are step 1 and step 2 documents: one natural path is to depart from the stakeholder selection made in step 2 and to enrich/modify it depending on the workshop objectives. The ‘Actors Table’ the ‘Context Analysis’ and the ‘social network maps’ (steps 1 and 2) are certainly helpful too.

Detailed guidelines for the partners workshop

Besides these general criteria, selection of the participants for partners workshop might consider the following:

- The *close-by*, main partners, closely involved in making the project come true should be considered deciding on whom to invite. Actors such as the funders, key technology providers and involved policy makers might fruitfully contribute here.
- The size of the workshop in terms of number of participants should also be carefully considered. 5 to 10 participants should seem to be the most effective formats.

Detailed guideline for the selection of stakeholders workshop

- The advocates and opponents criteria: keep the balance between *close-by*, *affine*, *indifferent*, and *opposite stakeholders*, trying that all categories are well represented. Moreover, it is interesting to invite participants with no clear stated position.

- A balanced social representativeness of the concerned population should be looked for. Two complementary aspects should be considered
  a) Balancing different social functions/spheres representation (researchers, financers, technology providers, market consumers, policy makers).
  b) Variety of social actors should be considered for invitation. Civil social organisations, public administrations, private sector companies small and big, technology & scientific experts, non-involved people (the silent majority) to name a few. For instance that would be good to think, if it is possible, to inviting men and women, young, middle age, and elder people in a balance way (in some culture, some categories tend to systematically be under-represented, especially women voice to mention one).

- Bridging actors - some actors are key pieces in the social networks. They should be invited in priority (they are unique linking between one actor and the rest of the net).
- Actors for the future - stakeholders that, despite they are not yet involved, but that should be considered for the future (see the social network map of the PM future vision for helpful insight here)
- 20 - 25 (max) participants

NB: The project manager and the Project Partners would naturally attend to the Workshop, but their position should be handled with care. The workshop is a good opportunity to listen and learn from the stakeholders, so they should not be too prominent. To prevent the workshop to turn into an 'information meeting' one way from the project management to the stakeholders, - which would certainly inhibit most of the other participants - information should be sent to the different participants in advance.

8.2.1.3 Preparing the previous information for participants

Accurately informing the different participants to the workshop so that they can actively participate and contribute is of extreme importance. The quality of the discussion and the proposals depend very much on this.

Different situations can be faced here depending on how much the participants have already been associated to the project so far (including in step 2 during the stakeholders meeting). In any case, and this is especially relevant if little information has been disclosed yet, the constitution of a 'stakeholders dossier' would be recommendable.

<u>The stakeholders' dossier</u>

Whenever the participants has been not apprised of the project before, a dossier/paper/document explaining the project should be made and sent for guarantying that there is a necessary common level of information among all them.

The most important thing for elaborating this document is always to bear in mind that for some stakeholders this will be one of the firsts contacts with the Project. So the most important information to send is the description of the Project. To do this job, some of the documents built in previous steps can be used.

We suggest that the stakeholders' dossier should include:

- two'synthesis writing' of the present and the future vision of the project manager.
- the 'stakeholders' visions'.

An alternative documentation for shorter description might the storyline format:

Example Oeko-institut

> Storyline to start the vision building
>
> Energy farmer and operations manager Norbert Werum looks at his surroundings with a sense of satisfaction. “The machine has been operating well for 2 months without malfunction or complaint; all of the teething problems that we had with the new unit have finally been solved.
>
> The district heating customers can rely on us.” Norbert W. is one of the pioneers from the early 2000s who has made the transition from farmer to energy farmer. In addition to his farm, he has built a certified biogas plant together with four other farmers in the near vicinity and inhabitants of the neighbouring village. “Financially, it didn’t seem easy at all at the beginning, but then the prices for forage maize fell dramatically, so it must have been around the end of 2009,” Werum recalls. „Then it suddenly seemed like a good idea to cultivate energy crops and produce electricity from them. In the meantime we’ve had to upgrade our first unit”.
>
> He and his colleagues have been successful energy entrepreneurs for 10 years now; as a result of fair contracts with their neighbours, they are not dependent on world market prices. “This new branch of business has also safeguarded livelihoods in agriculture,” says Werum’s colleague Friedbert Kaiser of the farmers’ union.

This document should be simple and adapted to their targeted readers. In addition, the dossier should be sent early on (2 weeks before the workshop would be good) and accompanied by a letter of explanation (purpose of the workshop, who will be invited, why it is important that stakeholders participate, where and how long it will stand).

The issues list

Issues as identified during step 2 and 3 (see key issues table and ranking), are the central matter for discussion during step 5 stakeholder’s workshop. A list of issues will then preferably be sent in advance to participants, especially in case the one day stakeholder workshop format has been selected. To compose this list, different options are offered:

- Whenever there are a limited number of issues, they would preferably directly compose the issues list.
- In case there is a partner meeting organised beforehand, partners could be selecting a short list of issues for the workshop.
- If the number of issues is high, and there is no previous short listing by partners of the project manager, this could then be asked to workshop participants to constitute such issue short list as a first task. In this case, that should be handy to send the list of issues in advance to them. We will call the ‘short list’ a ‘voting list’ in this case. As a result, key topics for discussion will be ranked and selected.

8.2.1.4 Having a training session for the facilitators of the workshop

Once it is decided what kind of workshop will be held, which participants will be invited, we recommend to organise a training session for the facilitators. On the one hand, this session is used to allocating tasks to the different facilitators, but it is also particularly useful to:

- Revising together the workshop methodology, to ensure that, in case of creating subgroups, all of them will use the same *modus operandi*.

- Deciding on the composition of subgroups (in workshop with more than 10 participants). In other words, making consensus on the distribution of the participants in the subgroups with the aim of keeping the desirable balances and reaching a good working atmosphere.
- Warning on possible 'trouble making' participants and possible 'hot issues' and devising a line of action on how to handle them.
- Explaining and revising the key issues that will be discussed during the workshop, especially in case the one day stakeholder's workshop is selected. The degree of depth and details of the discussion in the workshop depends to large extend on the facilitators' comprehension of the key issues. Therefore, facilitators should have a good knowledge of the 'issues' and a clear idea on their role as facilitator of the discussion of these issues.

Example: take the following key issue - Everyday life impact of the wind project includes as sub-issue about noise and visual impact. If the facilitator has a good knowledge of the issues and the participants do not say a word about noise, the facilitators can either raise the question directly to focus the debate, or indirectly by asking the audience what kind of physical troubles they fear might be associated with the site of wind turbines.

Another aspect of the role of the facilitators might be also to suggest solutions in order to evaluate how stakeholders react to them. Again, previous preparation of the facilitator is needed here to both explain how and when make such suggestion. If facilitators should come to make some suggestion, they have to be careful not to direct the interaction too much. It will always be a much better case if the stakeholders will come to a solution by themselves. If they do not consider some important solution or options after a while, facilitators might approach them more or less directly.

Example: If stakeholders have identified noise as a real problem, but they could not devise any possible feasible solution to this, then facilitator might suggest ideas such as the installation of appropriate windows (a solution from the issues-solution table) to test how much agreement they would get.

8.2.1.5 To foresee the logistics

Many little details make a successful workshop, logistics being one of them. Think of all the different aspects of practicalities in advance: welcoming the participants, leading them to the meeting place, providing the necessary stationary related to each exercise, booking rooms in appropriate number and with the appropriate number of seats, when needed, paper boards, white boards with markers and post it, video projector and so on. A more detailed guideline is provided by the 'cookbook' in Appendix, Section 5.

8.2.2 Realization of the workshop

We differentiate three formats that can be used for the workshop. Each of them corresponds to different situation in terms of time and human resources availability, as well as the stage of the Project development.

However, which ever of the three formats has been harmonised in a way that workshop results would be comparable in the end and step 6 can proceed in the same manner afterwards.

The tasks that will be done in all the workshops are:
1. Checking the visions (project managers and stakeholders).
2. Choose key issues for discussion.
3. Reaching agreements on the proposals and ranking solutions according to panel acceptance for them.

The Table below settles at which moment the different tasks will be done in the different workshops.[19]

Type of workshop	After INCOME	Workshop	Before OUTCOME
One day focus group workshop	- Check the visions - Choose the key issues to discuss - Rank key issues	- Discuss key issues - Reach agreements - Ranking proposals	Workshop report: - List of proposals - Ranking list - Development of the workshop
One day stakeholders workshop	- Check the visions - Choose the key issues to discuss - Rank key issues	- Discuss key issues - Reach agreements - Ranking proposals	Workshop report: - List of proposals - Ranking list - Development of the workshop
Two days stakeholders workshop	- Check the visions	Day 1: - Visions assessment - Choose the key issues to discuss - Rank key issues visions Day 2: - Discuss key issues - Reach agreements - Ranking proposals	Workshop report: - Visions assessment - List of proposals - Ranking list - Development of the workshop

8.2.3 Returning the results of the workshop

Finally, once the workshop is finished, the consultant has to write a 'workshop report' and to mail to all participants (including project manager). The 'workshop report' should be sent quickly, while participants remind it well (within two weeks after the workshop sounds reasonable).

8.2.3.1 The workshop report

The report at this stage is not involving any analytics, but is rather a sort of minutes of the workshop meeting. It aims mainly at feeding back the participants with an overview of the work done. A descriptive document will facilitate the recognition by each participant that his /her viewpoint has been listened to and taken into account. Faithfulness and representativeness of the different viewpoints and arguments are essential for gaining credibility. Participants will have a chance to check and validate its position and contribution to the workshop[20].

[19] More detailed info on workshop programming is provided in the 'cookbook', see Appendix, Section 5.
[20] Template for the workshop report is provided in the Appendix, Section 5.

9. Step 6: Recommendations for action

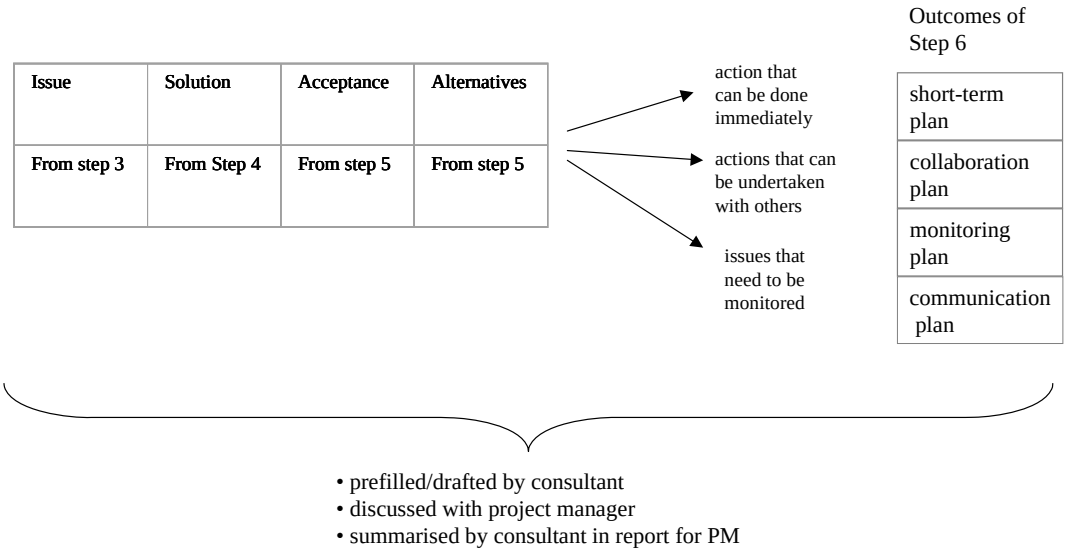
The final step of ESTEEM is oriented towards acting and planning. Different options for the future will be reviewed and compared in view of the stakeholder's acceptance and desire for them. An action plan will then be derived in cooperation between 'the consultant' and the 'project manager'.

It is a process with 5 actions:

- *workshop synthesis*
- *identify acceptance and feasibility of options*
- *sort out and rank options*
- *recommendations to project manager*
- *evaluation of the ESTEEM method*

9.1 General overview of the process and the sub steps

Step 6 is the final step in the ESTEEM tool. It provides an overview of different acceptable project options. Its purpose is to derive recommendations for action and develop an action plan on the basis of the previous steps and to evaluate the ESTEEM process. Step 6 involves five sub steps: (6.1) workshop summary (6.2) identifying acceptance, feasibility and capacity for action (6.3) capacity for action summary table (6.4) recommendations for action and (6.5) evaluation of the process.



Sub steps 6.1-6.4 involve two kinds of sorting and summarizing processes, which are represented schematically in the figure below. Firstly, the outcomes of steps 3-5 are sorted into a table outlining the alternative courses of action. Then, these course of action are sorted into ones that can be dealt with by the PM alone and immediately, actions that require more long-term collaboration with other actors, and issues that cannot be influenced but require monitoring. Recommendations for action involve drawing up detailed short-term and long-term plans, including a communication plan.

The output of Step 6 is an internal report for the project manager and internal project stakeholders. This report is constructed in the following way:

(a) The consultant prefills the tables and checklists for sub steps 6.1-6.4.
(b) The consultant discusses sub steps 6.1-6.4 with the project manager in a face-to-face meeting, and revises where necessary the content of the tables and answers to the checklists.
(c) The consultant documents the process and results of sub steps 6.1-6.4 and delivers the report to the PM.

The evaluation is conducted after this process. Where possible, it would be good for the consultant to discuss the results of the evaluation at a final meeting with the PM, but the form can also be returned by e-mail or discussed over the phone.

9.1.1 Workshop summary

In the workshop summary, the consultant summarises for him/herself the results of the workshop conducted in Step 5 (using, if necessary, the workshop report). This is necessary in order to gain an overview of the stakeholders' acceptance of the different project options, as well as to make a note of any new issues that emerged and can be important for the project manager.

If feasible in terms of time and other resources, it is also recommended that the consultant discuss these issues with the project manager (e.g., over the phone or by e-mail) in an informal manner, to see what impression the workshop has made on the project manger. The summary can also be made immediately after the Step 5 workshop together with the project manager, if all the necessary information is available (i.e., voting for options have not been postponed to after the workshop).

The following questions can be used to make a summary of the workshop:

What was the overall response of the stakeholders to the PM vision and project variations presented at the workshop?

- Were the responses consistent (between and within stakeholder groups)?

What new options/strategic action lines were suggested?

- How wide a support did these suggestions gain at the workshop? (i.e, if voting was used at the workshop, how many votes for and against did each option gain?)
- In particular, what were the stakeholders opposing each option and what were their reasons for opposition?

What new issues or stakeholders emerged?

- Including issues/stakeholders for the short and long term?

What were the main outcomes of the workshop?

- Including open and unresolved questions?

9.2 Identifying acceptance, feasibility and capacity for action

The core of this sub-step is the Acceptance and Feasibility Table. The consultant pre-fills this table by (6.2.1) summarizing the main outcomes of Steps 3-5 and identifying the types of actions and resources required by each issue. After pre filling in the table, the consultant (6.2.2) complements the table together with the project manager in a face-to-face meeting.

9.2.1.1 The Acceptance and Feasibility Table and instructions for the consultant to pre-fill it

The Acceptance and Feasibility Table is based on information already documented in Steps 3-4, and in the summary of the workshop made in Step 6.1.

Acceptance and Feasibility: Project redesign and stakeholder negotiation options

1	2	3	4	5	6
Key issue	Alternative solutions	Acceptance (stakeholder response)	Type of action(s) required	Feasibility: capacity for action of the project manager	Note: reason for capacity for action classification
Key issue 1 **(from step 3)**	option A **(from step 4)**	response **(from step 6.1)**			
	option B (from step 4)				
	new option C **(from step 6.1)**				
Key issue 2	option D(from step 4)				
	option E (from step 4)				
New key issue 3 **(from step 5)**	new option F(to be developed in this session)				

Column 1, key issues, can be largely filled in on the basis of Step 3, in which key issues were identified. But the workshop organized in Step 5 may also have brought up some new issues, identified in Step 6.1, that should be included as a new row in column 1. Entries into column 1 should be keywords describing each issue (e.g., 'visual impact').

Column 2, alternative solutions, can be largely filled in on the basis of Step 4, where alternatives were identified for modifying the project itself, or for modifying the external environment of the project, for example by negotiating with stakeholders. But the workshop organized in Step 5 may also have brought up some new options, identified in Step 6.1, which should be included in Column 2 next to the issue which that option mostly closely addresses.

Column 3, acceptance, is a summary of the responses gained at to the option presented by the PM (and potential new options presented by stakeholders at the workshop) by the stakeholders present in the workshop. This column is filled in on the basis of the summary made in Step 6.1. The column can be filled in by noting the number of positive/negative/don't know votes, or by classifying the acceptance of each option in a more qualitative way as 'positive', 'negative' or 'mixed'.

NB: *It is important here to make good note of 'mixed' responses, for example if an option was in general received positively, but there were still some important stakeholders that opposed the option.*

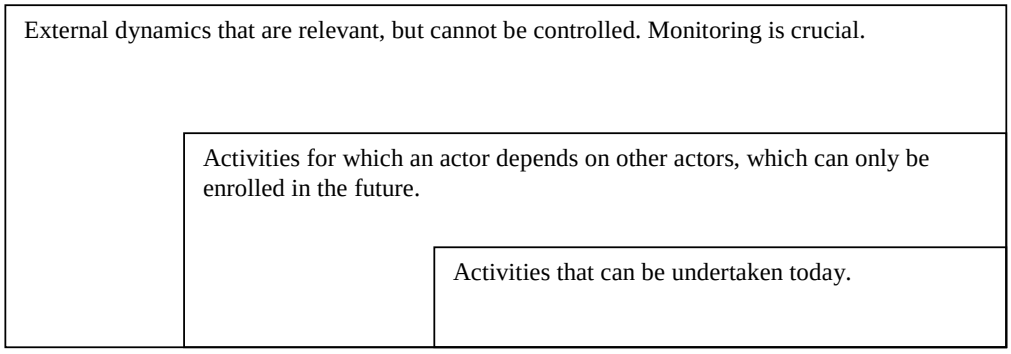
Next, a first sorting process is started. The consultant identifies the options that met with a negative response, and eliminates them from further consideration by drawing a cross in Columns 4 and 5 for these options. Depending on the situation, also some of the options meeting with a mixed response may be eliminated, if the nature of the opposition seems strong enough to forget about such options.

Column 4, for the remaining options, in order to consider the feasibility of the options, it is necessary to outline the actions suggested by the option. This is done using keywords in Column 4.

Types of action required, can include *project redesign actions* (keywords, e.g.: finding a new site, altering drawings, mitigation measures) or *stakeholder negotiation options* (keywords: e.g., (e.g., meeting with x, new workshop, inviting a new Board member).

Column 5, capacity for action. In order to consider the feasibility of the options, it is also necessary to estimate the capacity and the willingness of the project manager to take action on each issue. Potential actions to be taken by the project manager can be classified into three types of activities (see figure below):

1. Activities that can be undertaken today/unilaterally by the project manager
2. Activities for which the project manager's depends on other actors, which can only be enrolled in the future
3. Monitoring external developments that are relevant for the project, but cannot be controlled by the project manager



Capacity for action is noted in the table by classifying each action as 1, 2 or 3. Reasons for this classification are noted in Column 6.

We now should have a table that looks like the example below. The table can be summarized by creating highlights for the following categories of issues and options:

a) Options that have high acceptance and are feasible for immediate action by the project manager: highlighted green (as type 1 above)
b) Options that have mixed acceptance and high feasibility for immediate action by the project manager: highlighted blue (as type 1 above)
c) Options that have high acceptance but can only be undertaken together with others: highlighted yellow (as type 2 above)
d) Options that have high or mixed stakeholder acceptance but cannot be influenced by the project manager in the near term: highlighted red (as type 3 above)
e) Issues that do not have solution options or ones that are acceptable: highlighted red (as type 3 above).

Example of entries in an Acceptance and Feasibility table

1	2	3	4	5	6
Key issue	**Alternative solutions**	**Acceptance (stakeholder response)**	**Type of action (s) required**	**Feasibility: capacity for action**	**Note: reason for capacity for action classification**
Key issue 1 **co-visibility from the CITY**	option A**:** **reduce height**	high	re-engineering recalculating wind velocity recalculating power capacity and investment calculus	2	investors in the project need to approve the change in plans
	option B: **find better site**	mixed	total reorganization of the Cap Discovery park or change of entire project patrnership	3	would imply redesigning the entire project Cap Discovery mgmt would withdraw
	new option C**:** **contract survey for tourists**	mixed: few oppose but some think this is just stalling	contracting study: extra costs and time	1	yes: different parties need to be involved in planning and contracting the study
Key issue 2 **Noise for close neighbours**	option D: **install appropriate windows**	high	finding funds for paying for the new windows organizing the installation	1	yes: investors in the project need to approve the new expense need to collaborate with neighbours and building authority
Key issue 3**:** **Possible soil instability**	option E: **reduce weight**	high	redesigning the turbines using more expensive material > new investment calculus and delay in construction	2	yes: investors in the project need to approve the change in plans
Key issue 4: neighbouring village vision	option F: reach agreement of benefit sharing with neighbouring village	mixed: neiggbours will not negotiate			

9.2.1.2 Discussing and finalizing the table together with the PM

The consultant should attempt to record keywords for Columns 1-3 before the meeting, and also at least think about Columns 4-6, but it is possible that these can only be filled in after discussing with the project manager. The table should be discussed and finalized in the final session together with the PM.

9.2.1.3 Capacity for action summary table

In order to facilitate the action planning, the main points from the 'Acceptance and Feasibility table' can be summarized into a 'capacity for action table' (see table below). This provides the project manager with a clearer view of the implications of each option.

Capacity for Action Table

Type 1 actions Activities that can be done today	Type 2 actions: Activities that can only be undertaken in co-operation with others	Type 3 actions: External dynamics that are relevant, but cannot be controlled. Monitoring is crucial.
List here activities related to options marked green List here activities related to options marked blue, but make a note that these are not fully accepted by all stakeholders	List here activities marked yellow that involve significant input from other stakeholders You should also list here activities marked red if they are crucial for the survival of the project, but make a note that they imply acceptance or feasibility problems.	List here issues marked red, which the project manager cannot successfully solve (even with co-operation with others), but which are significant for the future survival of the project and thus need to be monitored, discussed or explored further.

This table provides the backbone for the recommendations for action, which are outlined in the following step.

The consultant should attempt to fill as much of the table as is possible before the meeting. The table should be discussed and finalized in the final session together with the project manager.

9.2.2 Develop the recommendations and action plans

The aim here is to outline action plans suggested by the Esteem process. This sub step provides a systematic process for outlining action plans, as well as checklists that help to develop different kinds of plans. Depending on the needs of the project four kinds of plans can be needed:

a) A short-term action plan (always necessary)
b) A collaboration plan (necessary if many options were identified that require collaboration)
c) A long-term monitoring and capacity-building plan (necessary in most cases)
d) A communication plan (optional: depending on the needs of the project).

The consultant constructs a first version of each plan, and submits them together with the material assembled in the previous steps for discussion and completion together with the project manager. In due course, these actions should also be included in relevant parts of the project documentation (planning documents, timelines, budget, contract terms, staff instructions, strategic plans, Board agendas, etc.).

9.2.2.1 Short-term action plan

This plan is primarily based on activities classified as type (1) in terms of feasibility and capacity for action - i.e., actions that the project manager can take immediately and unilaterally. Planning is assisted by the checklist presented below. Before devising a plan, however, it is necessary to consider the totality of actions listed in this column: Are they alternative or complementary? Can all of these actions be taken simultaneously? Where necessary, activities should be prioritized before, during and after constructing the short-term action plan.

NB: *the short-term action plan deals with actions that the project manager can launch unilaterally. They may not be the most urgent or important actions. Thus, there may be urgent actions*

also in the collaboration plan, and it may be necessary to launch both types of actions in parallel. Thus, short-term does not necessarily mean 'most urgent'.

For this purpose, the consultant drafts and then finalizes together with the project manager a short-term action plan, which consists of a list of recommendations outlining the next steps to be taken toward its realization (see checklist below). This should include a list of actions to be taken, including sub-actions such as securing resources, allocating staff time, as well as necessary revisions to project documents and necessary interfacing with external stakeholders. It can also be helpful to list necessary revisions to project plans, necessary interfacing with external stakeholders, as well as timing (noted, e.g., an interval, a deadline or 'continuously').

Checklist for short-term action plan

Action (picked selectively from Column 1 in the Capacity for Action table)	Issue(s) that this action addresses		Necessary revisions to project plans	Necessary interfacing with external stakeholders	Timing

9.2.2.2 Collaboration plan

The collaboration plan incorporates actions classified as type (2) in terms of feasibility and capacity for action - i.e., actions that the project manager can only take in collaboration with others. The consultant drafts a first version of the collaboration plan and finalizes it together with the project manager, using the checklist below.

The issues listed in this table can imply actions such as collaborative projects together with other actors (e.g., through industry associations, in co-operation with the municipality), stakeholders to be involved, networks to cultivate, new actors to enroll, external activities to encourage. The consultant should identify the type of actions recommended for each category (where relevant), and where possible, also outline actions that can help in realizing the plan.

NB: *the key words for actions in the first column are merely indicative: not very type of action may be relevant for each project, and some projects may require a different type of collaborative action.*

For example, a 'collaborative project to launch' could be a study on tourists' views on wind turbines, and actions could be securing finance for the study, setting up a collaborative steering group, and contracting a research agency. Some collaboration actions may also imply revisions to existing practices, e.g., including a representative of an important stakeholder group on the Board of the project. These should be listed in the 'sub-actions and revisions' column.

Even if none of the options for collaboration identified in the Step 4 appear acceptable or feasible in the light of information gained in Step 5 and sub step 6.1 (i.e., were marked red), it is important to include all collaborations that might be crucial for the survival of the project in the collaboration plan. The consultant should try to think of ways to find new solutions for issues that threaten the project, and to discover ways in which the project manager can at least keep communication channels open with opposing stakeholders. It can also be helpful to make a note of with whom the action should be taken, necessary actions and revisions to existing practices, as well as timing (noted, e.g., an interval, a deadline or 'continuously').

Checklist for collaboration plan

Actions to be taken together with other stakeholders (picked from Column 2 of the Feasibility Table)	Issue(s) that this action addresses	Type of action recommended	With whom?		Timing
Collaborative projects to launch?					
Stakeholders to engage?					
Networks to cultivate?					
New actors to enroll?					
Links between actors to strengthen?					
External activities to encourage?					
Communication channels to keep open?					

9.2.2.3 Long-term monitoring and capacity-building plan (optional)

Depending on the type of project, it may be useful to also make a plan (or at least a list) of issues to monitor and capacities that are likely to be useful in the future for the project or the project managing organization, or for the organization managing the facility developed in the project.

The long-term monitoring and capacity-building plan is based on the issues identified as important, but for which there is no solution within the reach and resources of the project manager, and which cannot even be addressed in the near term through collaboration. It is important, however, to keep these issues on the management agenda: monitor, revisit at a later time, or minimize the damage or risks caused by these issues through communication efforts (see communication plan).

This long-term plan focuses on the monitoring of external dynamics that the project manager cannot influence, but needs to be aware of. The type of actions recommended in this table are different kinds of monitoring activities (e.g., through web searches, regular surveys or by participating in specific discussion forums). They can also be future alternatives which are not currently available, but could be explored for future use. They can also include pitfalls to avoid in the project in the future - i.e., behavior of the project manager that has led to problems in the project, problems in governance structure, or other issues that need revising in order to avoid problems in the future.

NB: *the key words for actions in the first column are merely indicative: not very type of action may be relevant for each project, and some projects may require a different type of collaborative action.*

It can also be helpful to make a note of necessary actions and revisions to existing practices, as well as an indicative timing (noted, e.g., as an interval, a deadline or ‘continuously’).

Checklist for monitoring and capacity-building plan

Monitoring actions	Issue(s) that this action addresses	Type of action recommended		Timing
Issues to monitor (e.g., controversies, organized groups, legislative developments, technical advances)?				
Issues to discuss with project partners?				
Alternative routes to reflect on?				
Future alternatives to explore?				
Potential opportunities for future development?				
Capacities to develop?				
Ambitions to abandon?				
Pitfalls to avoid?				

In due course, these supporting, long-term activities should also be made visible in the project documents, and most importantly, in the management and interaction practices and capacities of the project. Project managers should be encouraged to think about and list concrete ways in which such long-term, strategic activities could be made part of the routine (and formal) management of the project, for example, by allocating staff resources to specific activities, by providing training, by or by regularly including issues on the agenda of the project management team or Board.

9.2.2.4 Communication plan (optional)

The Esteem process is likely to bring up new communication needs. Some projects may have a well-elaborated communication plan, in which case it is worth reviewing the existing plan and adding new items where necessary. In some cases, where no suitable communication plan exists, the consultant can help the project manager by drawing up a communication plan. A third option is to include the communication plan into the three action plans (short-term plan, collaboration plan and long-term monitoring and capacity-building plan) by adding an additional column for 'communications'.

The communication plan focuses on how the results of the ESTEEM process are communicated to external stakeholders (those involved in the Step 5 workshop and others). The communication plan is drafted by the consultant and finalized together with the project manager on the basis of the solutions reached in the short-term, collaboration and monitoring plans.

Proposed format
Hereafter we provide an indicative content (main message) of the type of communication plan under consideration:

Introduction

- Description of the project (e.g., summary project present vision from Step 2) and brief summary of stakeholder consultation and involvement engaged in until the present (Step 2 and Step 5)

Short-term plans of the project

- Communication of modifications and negotiation processes that the project manager is committed to launching (including timing and actions where possible)

Long-term plan

- Communication of issues that the project manager cannot deal with within the power, resources and structure of the current project. Brief discussion of potential future collaborations and monitoring activities to deal with these issues in the future.

Audience/target selection

The target groups and formats/media for the communication plan can be outlined using the following checklists:

Checklists for communication target groups and formats/media

Target groups	Formats/media
Position vis-à-vis the project: • close-by stakeholders • stakeholders with an affinity to the project • indifferent stakeholders • opposing stakeholders Type of social actors: • NGOs • public administration • private sectors companies • techno-scientific experts • non associated person ('those affected' as consumers, employers or neighbours) • the general public	• Face-to-face meetings (one-off or regular) • Public information and discussion sessions • Regular or upcoming local events to which project communications can be linked (e.g., presence at a local fair) • Regular or upcoming events pertaining to a specific community to which project communications can be linked (e.g., speech at an NGO sponsored seminar) • Local and national press, television, radio • Web communications

Using this checklist, the consultant picks out target groups and formats for communication. The recommended combination of target groups and formats/media can be summarized in a table (see example below), which also enables the consultant and project manager to make sure that all groups are adequately addressed. It may also be useful to make a note of the recommended timing or time span of the communication activity (noted, e.g., as an interval, a deadline or 'continuously').

Communication plan: table format example

Target group: position vis-à-vis stakeholders	Type of stakeholder	Format for communication	Timing/time span
close-by (partners)	private sector companies public administration	written and face-to-face communication at Board meeting	
stakeholders with affinity to the project	some of the local residents in x	participation in local events public meeting in x	
	national-level NGOs	article for NGO newsletter	
indifferent stakeholders	some of the local residents in x	public meeting in x participation in local events	
opposing stakeholders	some of the local residents in y	public meeting in y regular meetings with key representatives of the local opposition	
everybody	all	press release, Web information	

It is also important to note that the communication plan should not only be based on the preferred communication formats and media of the PM or consultant, but should also take into account the natural and preferred communication channels of the target groups. The communication should be brought as close as possible to the stakeholders, and face-to-face and interactive communications should be favored in the plan as an important complement to one-way, non-target group specific communications.

It is also important to list what communications should be available for everybody, and how the project can keep in touch and interact with specific stakeholders. Continuity of communications and establishment of regular formats for meeting and keeping in touch with the relevant stakeholders is essential.

9.2.3 Evaluation of the ESTEEM process

The final sub step of Step 6 involves an evaluation of the ESTEEM process itself. Where possible, it is recommended that these issues are discussed by the project manager and the consultant in a final short meeting. Depending on the project and its situation, some of the following questions can help to guide the discussion in a reflective, but also constructive direction:

- What was most memorable about the ESTEEM process?
- What was most difficult or uncomfortable about the process?
- Was there a good balance between your input and the output you received?
- What have you learned about your project?
- What have you learned about the context and stakeholders of the project?
- Have you gained any new contacts (allies, information channels, opponents)?
- Are there questions that have been left unanswered?
- Are there things that should have been done differently?
- How has the project changed as a consequence of the ESTEEM process?
- Have any new management capabilities been developed?
- Would you do the ESTEEM process again?