TRANSFORuM

Shaping the TRANSFORuM Network
Working Paper

Deliverable 2.1

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Introduction

The essence of TRANSFORuM's methodical approach is based on input from a wide range of stakeholders. Although the DoW provides some indicative mention of *types* of stakeholders it is far too unclear to determine the choice of which individual stakeholders and organisations should be consulted, listened to and – very concretely – should be invited to the various TRANSFORuM events.

TRANSFORuM has a built-in deliverable (D2.1), the working paper "Shaping the TRANSFORuM network" (led by VTI, due in March 2013) to provide explicit considerations to guide this selection process. This document is meant to force TRANSFORuM into the most deliberate and reflexive selection process, to provide an explicitly articulated rationale that determines the decisions whom to invite. Only with such a document will TRANSFORuM's choices be open to scrutiny, public debate and democratic discourse.

This will not only allow us to pre-emptively identify the dangers of any lurking selection bias but will also ensure the complete transparency and lucidity of our choices and thereby boost the project's overall

robustness and credibility. After all, and for good reasons, the working paper "Shaping the TRANSFORuM network" has to be made available to the public for very good reasons.

General considerations

What we need can be phrased in a number of different ways – just to indicate the spirit and purpose of this document: We need a catalogue of *selection criteria*, a *rationale* to guide our choices or a selection *policy.* We acknowledge that we cannot go for the most convenient sample in the sense of inviting people from our already existing personal networks – although this is not precluded per se either. Neither can we adopt a mechanistic sampling rationale based on some basic "hard" criteria. TRANSFORuM has to employ a *purposive* sampling strategy and the result (i.e. the logic of who gets invited to which event) might actually differ over the project's lifecycle and vary in line with the thematic foci per event. However, we do want to build a working relationship with key stakeholders which therefore necessitates a degree of continuity across the project's phases.

Starting with the DoW it mentions the following thematic communities as stakeholder types: "research, technology, planning and scheduling, operations, energy, infrastructure, authorities at local, national and EU level, etc." The DoW also exhorts to include representatives of on-going related activities[1] and other existing organisations[2], which includes, explicitly, ERRAC, ERTRAC, WATERBORNE and POLIS.

More systematically speaking, what needs to guide TRANSFORuM's stakeholder selection process are two general considerations. One is balance along many dimensions. The other is effectiveness; with some practical overlap between the two. We do acknowledge that some overlap between all the following categories is inevitable, in some cases even desired. For example, a Spanish woman representing an important industry group would "tick more than one box" and therefore help to achieve the balance and effectiveness we need.

Balance

A balance has to be achieved – or at least explicitly be pursued[3] – along the following dimensions:

- Gender: <u>At least one fourth</u> of the 10 (max 15) stakeholders to be invited to TRANSFORuM's Joint Forum Meetings per thematic group should be female.

- EU accession date (old member states vs. new member states): <u>At least two persons</u> (better one fourth of the invited stakeholders) per thematic group should be from New Member States.

- Geographical spread: <u>At least two persons</u> (better one fourth of the invited stakeholders) per thematic group should be from Mediterranean countries (incl. Portugal). Related considerations will guide our attention to a balance between spatial scales: From European wide to national, regional and local.

- Big, incumbent players vs. new and emerging actors: Care has to be taken to avoid selection bias in favour of existing, incumbent big players, which would amount to a degree of *conservatism by design*. Quite

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[1] e.g. Technology Platforms, 'European Green Cars Initiative' and 'eSafety Forum'
[2] e.g. FIA, UITP, EUROCITIES, European Intermodal Association
[3] Or justified if missed.

plausibly, the future of a competitive and resource-efficient transport system will also be based on new, yet to be developed products and services, some of which might even qualify as *game changing* innovations. It lies in the nature of such attempts that their success can only be judged in retrospect; including such lateral thinkers therefore comes at an inevitable risk of inviting people whose effort might turn out irrelevant. However, we consider this risk worth taking. We will therefore strive to also involve <u>at least one, better two</u>, "emerging players" at every TRANSFORuM event, even if they do not yet have established associations representing their interest.

- Where TRANSFORuM does include stakeholders with a clearly vested interest and a more or less open degree of partiality, it should ensure that these do not only represent corporate interests but also those of non-profit groups – especially where they overlap with goals of the White Paper – such as voices of future generations (youth organisations, environmental organisations etc.). TRANSFORuM therefore aims to ensure a <u>meaningful representation</u> of such groups at all its events.

- The transformation of the European transport and mobility arena not only requires the will of political decision makers but also the buy-in of policy "recipients". This needs to be taken into account when inviting stakeholders. We do see an overlap here between this criterion and the one immediately above.

We realise that it will be close to impossible to achieve the perfect balance across all above dimensions within one TRANSFORuM event, let alone one thematic workshop. We have to strive for a fair balance across all TRANSFORuM events and keep an eye on the best phasing logic over the project's lifetime.

<u>Effectiveness</u>

In order to produce real value added TRANSFORuM must avoid redundancy with the plethora of other roadmapping initiatives and not to duplicate their efforts. Likewise, the discussions taking place on the platform provided by TRANSFORuM should not repeat discussions already had elsewhere in other contexts. TRANSFORuM's starting point must be the existing state of the art, i.e. the current level of discussion. This obviously requires a thorough understanding and mapping of the current landscape of related issues and a comprehensive screening of existing initiatives in preparation of the TRANSFORuM events. The following stakeholder selection criteria can be derived from such considerations:

- TRANSFORuM should invite a good number of people who can report from other partnerships / platforms and roadmapping processes (buzzword "meta-roadmapping"). An example of such an existing forum involving different categories of stakeholders would be the European Green Car initiative. UITP would be interesting for similar reasons because it combines operators and agencies with partially opposite interests (= are not the 'same' stakeholders). Their involvement would help TRANSFORuM to avoid ignoring and renegotiating already existing consensus or compromises in other contexts. Suitable individuals might be the co-ordinators of similar projects and agenda setting processes. We acknowledge the different kinds of road-mapping exercises (academic ventures versus those carried out by interest groups) and will strive to achieve a balance between them. Therefore, <u>one third</u> of the stakeholders attending TRANSFORuM events should represent such people with some overview-knowledge, who can "funnel" the essence of the current discussion landscape "out there" in a condensed form to us. These

people are gatekeepers and opinion leaders with strong links to the wider European transport and mobility arena[4].

- Based on our in-house (even if potentially incomplete) "screening activity" TRANSFORuM needs to identify the bottlenecks and gaps in the current discussion that are as of yet underexplored and invite people who can speak about such issues[5]. This point in particular would produce a real value added by TRANSFORuM.

- Particular overlap between effectiveness and the aforementioned considerations on balance has the question to what degree TRANSFORuM should invite stakeholders who might only want to lobby their particular interests into the policy analysis process. It seems better – certainly at the earlier stages of TRANSFORuM – to keep this group of voices at bay and rather to consult on representatives of the actual policy making process. Some representation from public bodies (e.g. the European Commission) is therefore advisable.

- This said, it is also clear, however, that TRANSFORuM also needs a representation of the "movers and shakers" of the European transport and mobility landscape. By this we mean two types of actors, service providers (individual producers, rail companies, industry organisations, …) and important customers. We therefore intend to have at least two representatives of each category present at TRANSFORuM events.

1st Joint Forum Meeting

Of immediate concern is the question whom to invite for TRANSFORuM's first joint forum meeting in Gdansk (June 24th / 25th). As specified in the DoW this event will consist of two parts, i.e. two days: Day 1 = MS8, workshop on policies, funds, actors and trends and Day 2 = MS9, workshop on challenges and barriers. For pragmatic but also for substantive reasons the stakeholders attending on these two days will be the same. In order to inform the selection of invitees it is therefore useful to recall the purpose of these two workshop parts as defined in the DoW – because only with this background in mind will it be possible to select invitees who are able to speak authoritatively to these issues.

Day 1 = MS8, workshop on policies, funds, actors and trends

"Guiding questions for WP3 work across all four Thematic Groups will be … Which are the main policies at various levels relevant for White Paper implementation? Which relevant funding opportunities/ mechanisms do exist, which are missing, and how can they be geared towards White Paper implementation? Who are relevant actors? What are the trends which will influence future developments taking a 2030/ 2050 perspective (responding directly to roadmaps and the strategic outlook)? … The goal of this workshop is to verify the relevance of the selected policies and trends. … A Joint Forum Meeting with stakeholders from all four Thematic Groups will validate these results and help to complete and refine them."

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[4] Representatives from European Technology Platforms seem particularly suitable in this regard.
[5] This mechanism must be applied with the utmost alertness and reflexion because the internal mapping exercise cannot be completed before the invitation for the 1st Joint Forum Meeting will have to be issued. This is therefore an on-going, continuous process for all other events (thematic workshops, 2nd Joint Forum Meeting and Final Conference).

Day 2 = MS9, workshop on challenges and barriers

The purpose of the second day of the 1st Joint Forum meeting is to "explore the participants' insights and perspectives regarding challenges and barriers, and to formulate a tentative action plan overcoming and managing the challenges and barriers in question. … The first Joint Forum Meeting will serve to identify those challenges and barriers that should be addressed by the project with priority."

Future Events

Analogous purpose-driven considerations will guide the selection of participants at future TRANSFORuM events. If needed, this document will be updated accordingly.

Structure of the Stakeholder Database

Bearing in mind the above rationale we made some strategic choices about the structure of the TRANSFORuM stakeholder database, which, when completed, is a separate milestone in its own right. We needed to represent and record the key criteria as mentioned above and added several other important factors to facilitate the selection process of the 260 stakeholders and actors who will attend one of the eleven forthcoming TRANSFORuM events. In order to record all information the structure of the database became quite complex.

The database, an Excel file, covers individuals and organisations in two separate tabs. The primary source for the recruitment of attendees of most TRANSFORuM events will be the "individuals" section. We will, however, also carefully scrutinize the "organisations" section in order to ensure proper representation of key stakeholder *groups.*

Beside the individual's professional and contact data, there are nine cluster categories to identify the backgrounds; Operator, Consultant, Research, NGO, interest or consumer group, Media, Local or regional authority, Public authority/regulator, Industry, Consortium participants. In addition there is also a choice to identifying the person as an emerging player, a category TRANSFORuM has identified as an important player to consider inviting to all events.

All individuals are also linked to the four TRANSFORuM Thematic Groups. The additional database information comprises information regarding contacts and participation in the eleven TRANSFORuM meetings.

The database information concerning TRANSFORuM relevant organisations is structured in the same way, but with information about the geographical scope for the organizations; Local, Regional, National, European or International.

Annex 1 gives an overview of the database structure with all the database column titles shown in the left column. The annex right column provides some additional explanations of our strategy.

Database contribution and security

All TRANSFORuM partners are contributing to the database build-up and the database structure has also been created in close cooperation with the project partners.

The database is available for all partners on the password-protected TRANSFORuM SharePoint website. In order to protect data and provide better security in the data handling, the consortium in late March took a decision that all partners from then on have to provide all new or additional data by directly managing the SharePoint file and not by sending the database as email attachment.

Database launching

The database was presented to all TRANSFORuM partners on March 8 2013, when all partners began delivering stakeholder information into the database. On March 19 it was also launched on the TRANSFORuM SharePoint website. The database will be available for all partners on SharePoint during the whole project. As of 31 March 2013 the database comprised some 240 individuals and some 50 organizations.

The aim is that in the end of the project the database will comprise 1 000 stakeholders, individuals and organizations, which then will be delivered to the European Commission at the end of the project.

Annex 2 is the very first instruction to the project partners on how to use and manage the database at the SharePoint web site.

Database structure for Individuals

Database column title
Responsible for the data delivered *[Indicates which consortium member provided the information]*
Person
Personal data *This group contains basic contact data. Not all are mandatory. But if data can aid evaluating stakeholders please add it*
Formal title (e.g. Dr. or Prof. Etc)
Surname
First name
Sex (M or F) *[Important information to try to find some gender balance, as a goal is that at least one fourth of the invitees to all events are women.]*
Job title
Organisation / Network *Organisation, network, company, institution at a university, platform etc. It is not necessary to also add the organisation to the organisation sheet.*
Has to be contacted through: If so, state name and contact details (e-mail, telephone)
Postal address
Country *[We seek a geographical spread among the invitees with a goal to have representation from both new member states and the Mediterranean countries to all meetings]*
E-mail
Telephone
Web site (LinkedIn, "My pages" etc)
Stakeholder cluster Mark with an x. *Multiple choice is possible but default should be to select one. [*An important information in the selection process to get input from stakeholders with different background and interests*]*
Operator
Consultant
Research (R&D)
NGO,   interest or consumer group
Media
Local or regional authority
Public authority / Regulator
Industry
Consortium participants
Emerging player? If so, state yes. One risk in selection of stakeholders is a bias for those well known, traditional and established stakeholders.

The future transport system will undoubtedly include new providers of products and services. We need to identify and involve such emerging players. [The aim is to invite at least one emerging player to every event]
Thematic groups   *Select if competence/interest is:*   *A=High, B=Medium or C=Low. (Mark at least one.)*   *Following the "Thematic groups" and "Candidates for meetings" follows a column were you in free text can add explanatory notes about the person. This can help in evaluating candidates.*
Theme 1 "Urban"
Theme 2 "Freight"
Theme 3 "HST"
Theme 4 "ITS"
Candidates for meetings:
State theme number   Stakeholders 1st Joint forum meeting GDANSK
State theme number   Stakeholders 1st 4 thematic workshops   (PM 9-12)
10 selected stakeholders   Stakeholders 2nd Joint forum meeting   VIENNA (PM 13)
State theme number   Stakeholders 2nd 4 thematic workshops   (PM 15-18)
State theme number   Final conference BRUSSELS (PM 23)
Not mandatory but can be used to refine   *description concerning e.g. competence*   Notes about the stakeholder
Initial contact. A consortia member makes a first contact.
Responsible for taking contact   Stakeholders 1st Joint forum meeting GDANSK
Answer: Yes, No or Maybe
Responsible for taking contact   Stakeholders 1st 4 thematic workshops (PM 9-12)
Answer: Yes, No or Maybe
Responsible for taking contact   Stakeholders 2nd Joint forum meeting VIENNA (PM 13)
Answer: Yes, No or Maybe
Responsible for taking contact   Stakeholders 2nd 4 thematic workshops (PM 15-18)
Answer: Yes, No or Maybe
Responsible for taking contact   Final conference BRUSSELS (PM 23)
Answer: Yes, No or Maybe

Formal invitation sent:
State theme number Stakeholders 1st Joint forum meeting GDANSK
State theme number Stakeholders 1st 4 thematic workshops (PM 9-12)
State theme number Stakeholders 2nd Joint forum meeting VIENNA (PM 13)
State theme number Stakeholders 2nd 4 thematic workshops (PM 15-18)
State theme number Final conference BRUSSELS (PM 23)
Participated in meetings:
State theme number Stakeholders 1st Joint forum meeting GDANSK
State theme number Stakeholders 1st 4 thematic workshops (PM 9-12)
State theme number Stakeholders 2nd Joint forum meeting VIENNA (PM 13)
State theme number Stakeholders 2nd 4 thematic workshops (PM 15-18)
State theme number Final conference BRUSSELS (PM 23

Database structure about Organisations

Database column
Responsible for the data delivered
Organisation / Network *This group contains basic contact data. Not all are mandatory.*
Organisation
Emerging player? If so, state yes One risk in selection of stakeholders is a bias for those well known, traditional and established stakeholders. The future transport system will undoubtedly include new providers of products and services. We need to identify and involve such emerging players. [Also among the organisations we want to identify the emerging players]
Organisation website
Surname of official contact person
First name of official contact person
E-mail to official contact person
Postal address to official contact person

Country
Organisation type   *Mark with an x. Multiple choice is possible but default should be to select one.*
Operator
Consultant
Research (R&D)
NGO / Interest or consumer association
Media
Local or regional authority
Public authority / Regulator
Industry
Consortium participants
Geographical scope for organisation   *Mark with an x. Multiple choice is possible.*
Local
Regional
National
European
International
Notes about geographical coverage
Thematic groups   *Mark at least one and select if competence/interest is A=High, B=Medium or C=Low*
Theme 1 "Urban"
Theme 2 "Freight"
Theme 3 "HST"
Theme 4 "ITS"
Not mandatory but could be used to refine description.   Notes about qualifications for the thematic groups.

As our database is available on SharePoint for all of us to use and manage – which also means it is easy to make mistakes and destroy uploaded data, especially when it grows bigger – it is important to follow some rules for handling the Excel file.

Add information:

If you just want to add a small amount of additional information to an already uploaded post – chose the mode "edit in Microsoft Excel" from the right bar – add your information – save – close the file.

If you have a lot of new information or additional posts to add into the file – choose the "check out" mode from the right bar. (make a right mouse click). Everyone else will then see that the file is in editing mode by you and no one else should open it during that time. When you save and close the document you receive a question if you want to "check in". Answer Yes (you also get the choice to add a comment), and the document close down from your computer and into SharePoint. You will now show up as the last editor of the file.

When adding new posts of people or organisations you can prepare by adding all the information into an empty Excel file (take a copy of the empty file on SharePoint). "Check out" the original Excel file on SharePoint and then just copy your new information at the end of the original file. Then "check in" as above.

If you feel insecure how to use Sharepoint – feel free to send your file to transforum@vti.se and we will add your posts.

Searching, filtering and sorting the stakeholder database

Take a copy of the file and save it on your hard disk before starting any searching, filtering or sorting of the database!

Please note that Excel exists in several versions and in several language editions when reading the instructions below.

The small red triangle in some of the upper right corners indicates there are more in-comment notes if you take the mouse to the triangle.

1   Filtering the database

An example to show this feature: A common task would be to check or complete the data that you or a colleague has inputted. We go to the "Organisations" sheet. In the column A we have data about the person that is responsible for the data delivered. Now let us filter, since we do not want to scroll down and manually find the rows to check.

Noticed the drop-down arrow! Click on it!

Uncheck "select all". Check the box or the boxes with your name or all kind of variations you used. Click OK. (Perhaps you noticed the search box in the menu that drops down? You can use it for finding all variations of your name).

The drop-down arrow changes it appearance. The numbers for the rows found is also in blue.

But this shows ALL of the data you are responsible for. Let us say you only want to see the organisations you inputted as beeing relevant for theme 4 "ITS". You can apply a second filter by clicking on the drop-down arrow and select the boxes with A (and B or C if you need).

Removing filters – click on the drop-down arrow marked with the tiny filter icon: "select all" → OK.

Removing several filters – look at the image below. It is in Swedish. To the right of the large "Filter" icon you have "Ta bort", that means Clear (all my filters). When there are filters applied the little x will be red.

If the drop-down arrows disappeared – mark the row (number 4). On the Data tab you will find this large icon. (See image below.) When you click on it it will turn yellow and the arrows shows again.

If you want to learn more about filtering? – go to start at Microsoft help pages.
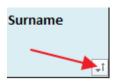

Sorting the database

Below we show a simple and easy way of sorting in the database.

You are searching for someone which surname begins with N. Go to the "Persons" sheet. Click on the drop-down arrow:

The surnames will appear at the bottom of the menu in a disordered way. However, at the top of the menu you have the sort option, where A-Z seems appropriate. Click that option.

A small, very vague, arrow will appear to the right of the drop-down arrow. All data below the row with drop-down arrows will be sorted in accordance with stakeholders surnames.

Remove the sorting and restore to the disorder that once prevailed – look at the image below. It is in Swedish. To the right of the large "Filter" icon you have "Ta bort", that means Clear (all my sorting and filtering). When there are sorting and filters applied the little x will be red.

If the drop-down arrows disappeared – mark the row (number 4). On the Data tab you will find this large icon. When you click on it it will turn yellow?

If you want to learn more about sorting? Go to <u>start at Office help page</u>.

2   Searching the database
CTRL+H will bring up the standard office search box.

Using the now familiar drop-down arrows you can search for data in a specific column.