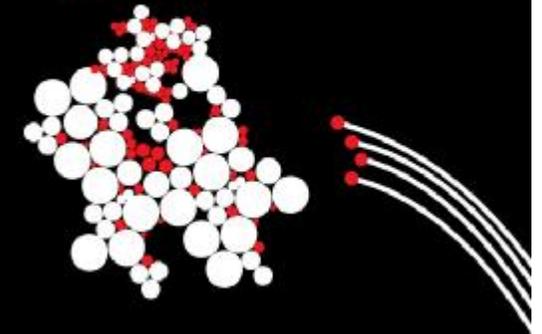


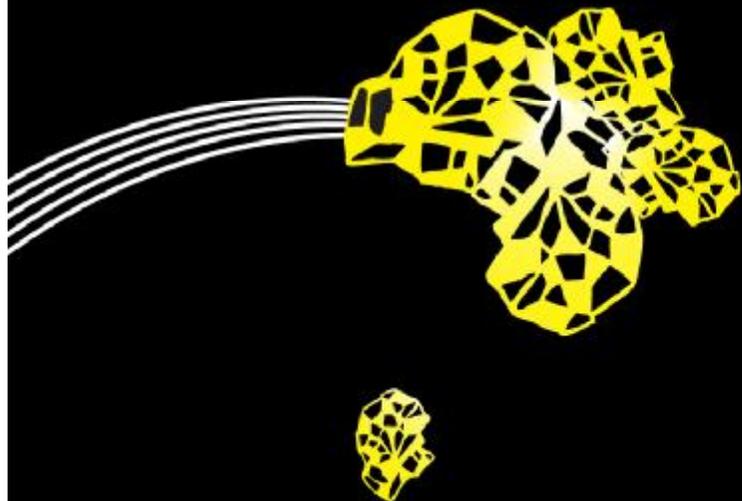
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# Governance of and by expectations

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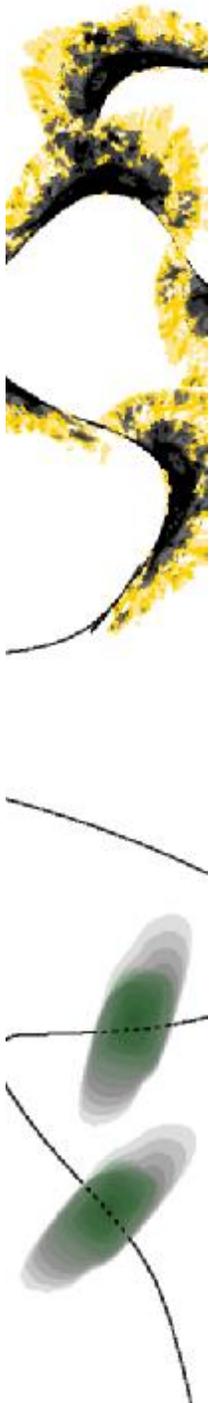




# Overview

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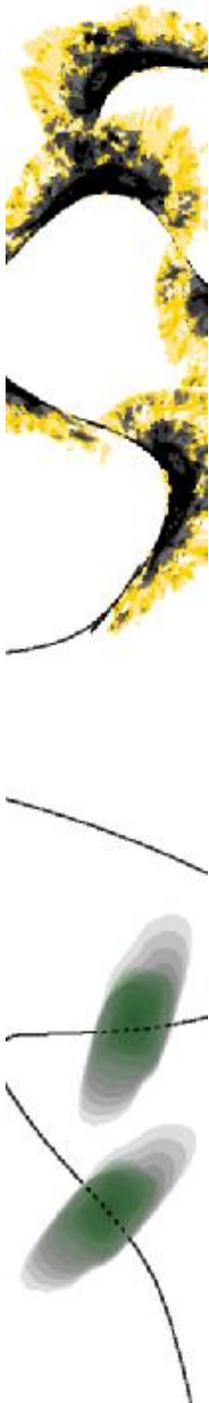
- § Introduction
- § Governance of and by expectation
  - § What does it mean?
  - § Different modes
- § Evolving modes and arrangements in the governance of expectations
  - § fuel cells
  - § nanotechnology
- § Summary and outlook



## Introduction

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- § NEST: high uncertainties
  - § future shape, embedding in society, business practices, user routines, impact?
- § governance has to rely largely on expectations -> tentative
- § sociology of expectations, TM, SNM, management & org. studies
  - § promises, visions, risk concerns
  - § shared or contested
  - § motivate, guide, coordinate actors, shape technologies
- § Expectations themselves are coordinated and shaped
  - § In public discourse, communities, organizations
  - § As part of dedicated, systematic processes foresight, TA
  - § Commercial, professionalized exp-building by consultancies etc.
- § *Exp essential in 'governing' innovation and they are themselves governed in distinct ways*



# Governance of and by expectations

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## § Governance

§ different modes or institutional rules of coordination ranging from hierarchical steering to networks and market-like forms of coordination organized by formal and informal rules (Benz et al. 2007)

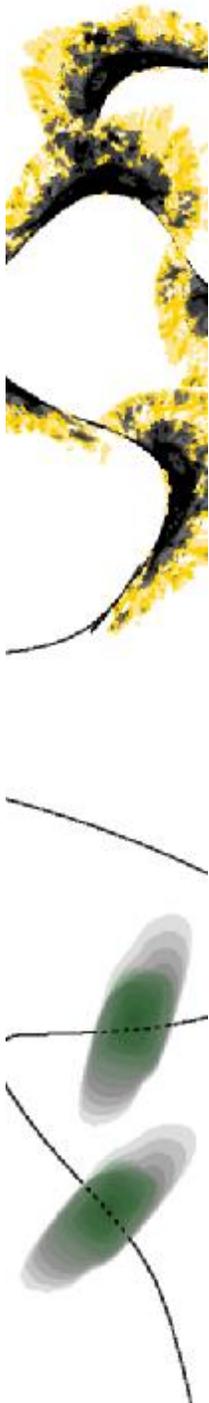
## § Governance of expectations

§ different modes how expectations are (built and) coordinated  
§ Based on specific actor constellations and institutional settings

## § Governance by expectations

§ different modes of how expectations contribute to the coordination of innovation processes

## § Intentional and de-facto governance



## Different modes of governance *of* expectations

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### § Market

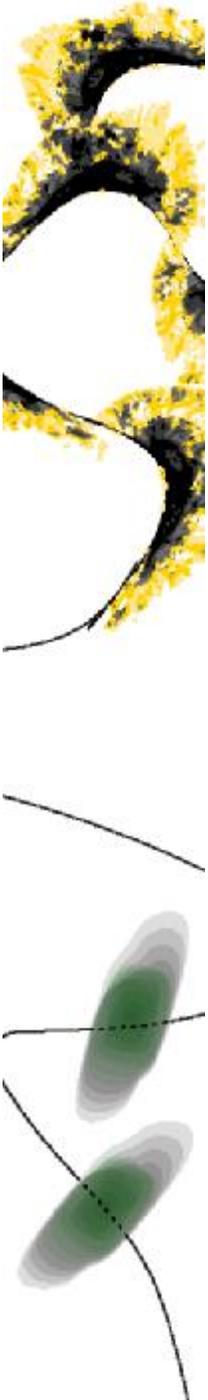
- § voicing of expectations as part of public, ... discourses
- § Commercial expectation market

### § Network

- § Exp negotiated within more or less closed networks according to more or less codified rules, e.g. innovation networks or foresight processes

### § Hierarchy

- § Religious communities?
- § Dominant role of certain actors in expectation-building



## Different modes of governance *by* expectations

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- § 'soft' mode of coordination of actor strategies and constellations when expectations are rather fluid
- § May become increasingly institutionalized and binding
  - § collective expectations
  - § taken up as part of obligatory institutional arrangements as funding schemes or as part of broadly accepted requirements (Moore's law)



## Governance of $\leftrightarrow$ by expectations

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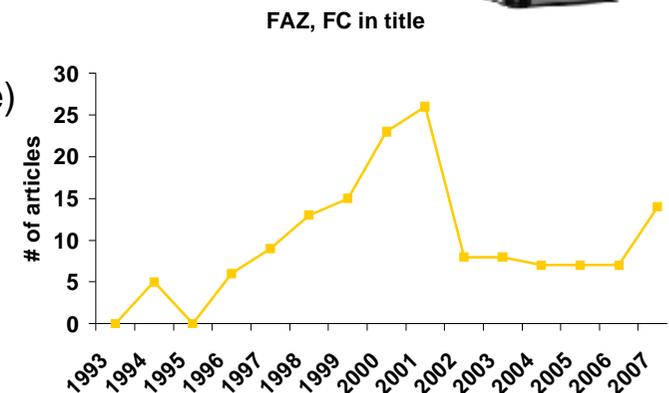
- § Reflexive relation between expectations and actor & institutional arrangements within an innovation field
- § Dynamics: governance by expectations feeds back on governance of expectations
- § Concrete examples ...

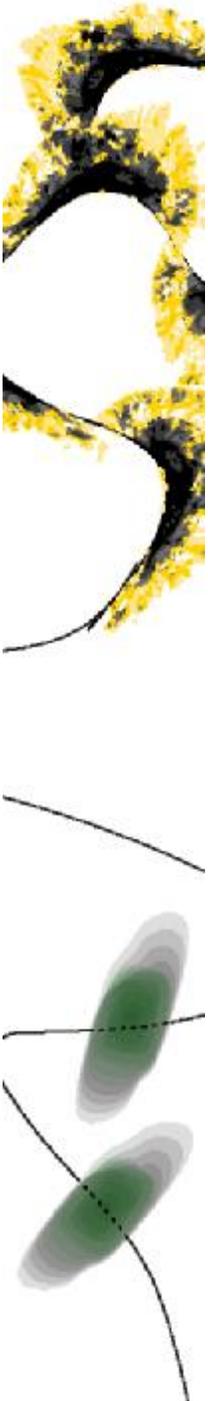


## From market to network coordination: stationary fuel cells

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- § hype cycle affected actor constellation & institutional arrangements
- § reflexively affected modes of building & coordinating exp and expectation dynamics
  - § Hype & disapp (de)motivated specific types of innovation actors
    - § Hype: financial actors joined in
      - > coupling of expectation dynamics and dynamics of financial markets
      - > coordination of exp / exp dynamics:  
incentive for hyping / competitive voicing of exp
    - § Disappointment: financial actors retreated,  
while policy actors could be enrolled (climate change)
      - > long-term support program
      - > reduced incentive for hyping

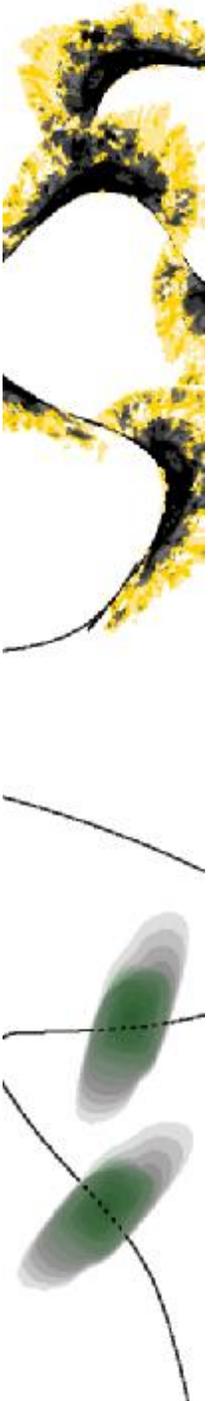




## From market to network coordination: fuel cells (ctd)

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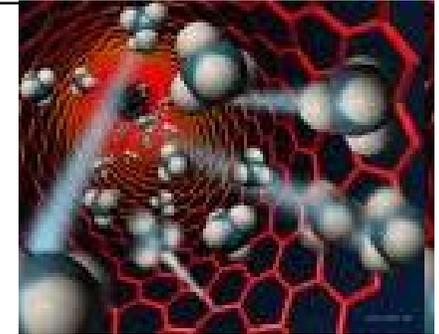
- § Institutional changes, partly resulting from disappointment
  - § Increasing coordination of expectations within networks, associations, inscription into funding programme
- § Competitive, 'market-style' mode of 'individual' voicing of exp, partly driven by financial dynamics, changed into a more network-based mode of coordination
- § Tension between intentional and de-facto governance of expectations
  - § Reflexivity of strategies: actors revised discourse activities when confronted with the (un-intended) cumulative effects



## Institutionalization of risk expectations: nanotechnology

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- § In recent years specific type of risk concerns has emerged beside the nanohype as a legitimate concern (Rip & van Amerom 2010)
- § -> new actors joined the field and new institutions emerged / are currently taking shape
  - § networks and associations dedicated to risk issues / risk assessment as required module of R&D funding programmes / codes of conduct / public engagement processes
- § -> emergence of certain collective expectations fed back on actor constellation and institutional arrangements affecting the very foundations of expectation-building and coordination
- § Increase in dedicated and formalized modes of exp-building
- § -> effect? reinforce social dynamics or mitigate them?





## Summary and outlook

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### § Basic claims

- § how exp are produced & coordinated in specific settings (actor and institutional arrangements) matters for how exp affect innovation processes
- § drawing on insights from governance studies useful
- § Empirically: governance modes change reflexively

### § Contributions to scholarly debate

- § Sociology of expectations: comprehensive conceptual framework
- § FTA: benefit from understanding impacts at the level of innovation field and in relation to further anticipatory processes

### § Further research

- § Role of specific modes of governance
- § interaction different modes, e.g. societal discourses and formalized ways (FTA)
- § Typical patterns in the evolvment of governance of exp?