

# EFFECTS OF GOAL-DEPENDENT IMPLEMENTATION CHOICES ON THE ACHIEVEMENT OF GOALS IN PARTICIPATORY VALUE EVALUATION PROCESSES

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# Effects of goal-dependent implementation choices on the achievement of goals in Participatory Value Evaluation processes

by

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# Preface

This thesis presents the final results and conclusions of my master thesis. It is the final deliverable I submit to complete the master's programme Management of Technology at Delft University of Technology.

The last seven months I have been researching the PVE method, but at the start of it could not have guessed that this would be the result. I started looking for my graduation project early; already in October 2020, I emailed my supervisor, Niek Mouter, about my interest in the method. When I hit send, I doubted whether my enthusiastic email might have contained too many exclamation marks, but little did I know: my enthusiasm was answered by Niek who included just as much of them. I was introduced to Shannon Spruit, my external supervisor, early on, and we started working on a case with a heat supplier together. My research would have been focused on that case study, but unfortunately, the process was terminated prematurely. This led to a shift in the focus of this research, which gave room to investigate why the process ended, and how processes might be improved in the future.

The writing of this thesis would not have been possible without the guidance and supervision of my graduation committee. Udo Pesch, the chair of my graduation committee, I would like to thank you for your flexibility and feedback. Niek, thanks for sharing your endless enthusiasm and knowledge about the PVE method, your flexibility in giving feedback, and your ever-quick responses to emails. Shannon, I'd also like to thank you for your endless enthusiasm and knowledge, for always knowing about a paper someone has written on a topic I bring up, for giving me advice on how to get writing, and for involving me in Populytics.

Furthermore, I want to thank my friends and family for reviewing my report, tips and tricks, motivation and support. But most of all, I would like to thank Wouter for his wholehearted support, his faith in me, and his pleasant company while the both of us were working on our thesis at home.

Marjolein Bouwmeester  
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# Summary

As public participation is increasingly used, more and more scholars publish about how to execute it effectively and its facilitation and running has become a profession. The research on effective participation that investigates the combination of the possible ways to realise public participation and the goal that it is pursuing is, however, limited. A relatively novel online participation method is Participatory Value Evaluation (PVE). This method was initially developed as an instrument to measure social welfare but has organically transformed to a public participation method of which the function of economic evaluation has been dropped. This transformation of the method, in combination with the limited amount of research on the effect of the implementation of a participatory process on the achievement of its goals, leads to the following research question:

*How can goal-dependent implementation choices in a participatory process using the Participatory Value Evaluation method affect the achievement of its goals?*

To answer this question, the first step was to conduct a literature review. In this review, 30 factors that scholars wrote to contribute to effective participation (implementation choices) were investigated, as well as many potential goals that public participation could achieve. These goals and factors have been reduced to a list of five potential goals, and nine goal-dependent implementation choices by further examining the factors based on PVE literature and including insights from semi-structured interviews with PVE researchers. The five goals are: 1) To inform and educate the public, 2) To incorporate public values, assumptions and preferences into decision making, 3) To increase the substantive quality of decision, 4) To improve or foster relationships between involved parties, and 5) To make decisions cost-effectively.

The nine goal-dependent implementation choices are: 1) Inclusion of constraints and targets, 2) Concreteness of policy options, 3) Openness to new ideas, 4) Involvement of citizens during the process, 5) Degree of interaction, 6) Status of decision-making, 7) Type of PVE (open or panel), 8) Involvement of management personnel, and 9) Citizens' power. These goals and implementation choices compose a framework, combined with the implementation options corresponding to the choices. Implementation options are options to choose from for an implementation choice, e.g. the type of PVE can be open (everyone can participate), panel (a group of citizens is selected to participate to be representative for the population), or both.

The framework was first applied to the national climate consultation, which was the in-depth case study of this research. For this PVE process, experiences that participants shared in the PVE have been examined as well. It was found that participants of the panel PVE reported more often to have learnt and they reported more often to feel involved, while participants of the panel PVE reported more often to

have gained an increased understanding of the government(s) dilemmas). These effects of the implementation choice Type of PVE are probably due to the fact that participants of the open PVE join by self-selection. These insights, as well as the information on the goal of the national climate consultation, the extent to which that is achieved, and the implementation options used for that, are combined with insights from examining eight comparative cases. All of the cases are studied by applying the framework.

Some of the implementation choices were found to depend on each other and they were summarised into the PVE being focused on the vision of the problem (strategic PVE), the solutions to the problem (operational PVE), or in between (tactical PVE). The established effects of implementation options per goal are presented in Table S.1.

	Goal 1	Goal 2a	Goal 2b	Goal 3	Goal 4
<b>Status of decision-making</b>	Strategic PVE: +: <i>Status of setting the agenda</i> +: <i>No constraints and targets</i> +: <u>Strategic options</u> Operational PVE: +: <i>Status existing proposal</i> +: <i>Targets and/or constraints</i> +: <i>Concrete options</i>  -: <i>Concrete options when information is still being gathered</i>				+: <u>Setting the agenda</u>
<b>Inclusion of constraints and targets</b>					+: <u>No constraints and targets</u>
<b>Concreteness of options</b>					+: <u>Strategic options</u> → Strategic PVE
<b>Openness to new ideas</b>	+: <i>Encouragement for new ideas</i>		+: <i>Encouragement for new ideas</i>		
<b>Involvement of citizens during the process</b>	+: <i>Before</i>	When strategic : +: <u>After</u>	+: <i>Before</i>		+: <u>Before</u> +: <u>After</u>
<b>Degree of interaction</b>			+: <i>High</i>		+: <u>High</u>
<b>Type of PVE</b>	+: <u>Open</u> +: <i>Panel</i>	+: <u>Panel</u>	+: <u>Panel</u>	+: <i>Open</i>	+: <u>Open</u>
<b>Involvement of management personnel</b>			+: <i>Multiple phases</i>		+: <i>Multiple phases</i>
<b>Citizens' power</b>			-: <u>Yes, but</u>		+: <i>Bottom-up</i> -: <i>Yes, but</i>

Table S.1: Overview of effects of implementation choices per goal. A plus sign indicates a positive effect, and a minus sign a negative effect. There is strong evidence for the effect of the underlined options, and indicative evidence for the effect of the italic options. (This Table is a copy of Table 8.4)



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# 1

## Introduction

In 2005, Hisschemöller (2005) wrote that policymaking and democracy were confronted with a trend towards participatory approaches, in contrast to solely top-down policymaking. The importance of citizen participation, a process that focuses on the involvement of citizens in public policymaking, is underlined by the belief that citizens should be allowed to participate more directly in decisions that affect them (Burton, 2009). When considering the European Union, this trend towards participatory approaches is illustrated by the European Commission including participation as one of the five principles of good governance in a White Paper (European Commission, 2001). Due to this trend, in the last few decades the government has evolved to a form of governance with high levels of cooperation (Kickert, 1997, Stoker, 1998). The trend might be caused by an increasing dissatisfaction with traditional mechanisms of political representation (Ianniello et al., 2019). One of the reasons for this is the idea that governments simply do not have all the required knowledge and skills, and therefore need the expertise of other parties (Edelenbos et al., 2006). Interactive policymaking can reduce this gap, as it is a way of policymaking that involves other parties, such as companies, interest groups or citizens to develop and implement policies with the purpose of making the process more effective (Driessen et al., 2001, Edelenbos et al., 2006). Additionally, citizen participation gives citizens the possibility to share their thoughts on policy problems more than once every four years (Nieuwsuur, NOS NTR, 2021) and more specific to a problem at hand. Citizen participation provides the opportunity to translate the preferences and interests of citizens into policy in a more direct way and thereby increases the legitimacy of government decisions (Edelenbos et al., 2001).

Moreover, it is widely recognised that developments in Information and Communication Technologies helped the transformation, as these tend to make it easier to communicate with citizens, inform them, educate them, empower them and reduce the costs of a decision-making process (Hajer et al., 2004, Thomas and Streib, 2005, Vragov and Kumar, 2013). People, companies and public authorities can now connect and cooperate more efficiently than ever before (Schaffers et al., 2011).

Due to the trend towards participatory approaches, over the last decades more and more scholars are interested in investigating citizen participation as a field of science. This resulted in several scholars publishing on how to effectively realise citizen participation (e.g., Booth and Richardson, 2001, Bickerstaff, 2002, Liu et al., 2018). Effectiveness is defined as the degree to which something is successful in producing the desired result. Accordingly, what steps to take to reach effectiveness, might then be related to the result a particular participatory approach is aiming at. Liu et al. (2018) mention several trivial success factors that every participatory process can benefit from, but also recognise the relationship between how to execute the process and the goals it aims to achieve. This is illustrated by them stating that “appropriate techniques” should be employed and that the involved parties should be empowered “appropriately” (p. 04018026-6). Furthermore, Bobbio (2019) reports recurrent dilemmas that occur when setting up participation, such as whether to include everyone willing to participate or select a representative group. The discussion of how to set up a participatory process to meet a particular goal – in other words: the infilling of how to be effective – is, however, limited.

This thesis aims to add to this discussion for a specific participatory method, namely the novel method Participatory Value Evaluation (PVE). The following section explains what the PVE method entails, and how it developed from an evaluation instrument to a participation instrument. After that, the link to effectiveness for this method is discussed. Subsequently, this leads to the research gap, research questions, and a discussion on the relevance of the topic in Section 1.2. The chapter ends with Section 1.3 describing the structure of this thesis.

## 1.1 Participatory Value Evaluation

The Participatory Value Evaluation method, first officially published in 2019 (Mouter et al., 2019a), is a novel method to evaluate policy options via a webtool. The method is developed by researchers of Delft University of Technology, VU University Amsterdam, and ITS Leeds in collaboration with Natural Born Coders, and along the way, researchers of other universities joined in developing the instrument. At first, the method was applied by scholars to obtain new scientific insights. However, when the interest in applications grew and the method seemed to have commercial potential as well, Populytics was founded as a spinoff from Delft University of Technology in order to be the facilitator of future applications of the method.

To illustrate what the method entails, and to define its concepts, an example of a PVE is given. The example resembles the PVE that evaluated future urban mobility investments for the transport region Amsterdam (Mouter et al., 2019b). An overview of the definitions is given in Table 1.1 on page 6.

- Each PVE focuses on a **policy problem**, which is a conceptualized collective problem or challenge to be dealt with by the involved policy-maker. The policy problem in the example is

‘How to spend a budget of 100 million euros on improving the future liveability for transport region Amsterdam?’

- To approach the policy problem, **policy options** are proposed. A policy option is a project, a scenario or a measure in order to tackle the policy problem. In the example, sixteen policy options are included, e.g., a pedestrian tunnel that reduces travel time of cars and improves pedestrian safety, a bicycle bridge that reduces travel time, and traffic education for children aged 0-18 across the region which improves safety.
- The policy options have corresponding **properties**, which express their consequences when implemented. In the PVE for transport region Amsterdam, the included properties are costs, the number of travellers that benefit from the option, the reduction of travel time, the change in traffic fatalities, the change in traffic injuries, the change in noise pollution, and the amount of felled trees.
- A PVE might include **constraints**, which are capped properties that the selected policy options cannot exceed; a constraint is the upper boundary for a property. In this example, the constraint was a maximum budget. Other possible constraints include a maximum increase in noise pollution or a maximum execution time. A PVE can have zero, or any number of constraints.
- A PVE might include a **target**. Whereas a constraint is the upper boundary for a property, a target is the lower boundary for a property; it is a certain minimum that the selected policy options need to meet. The example did not include targets, but a potential target could have been a minimum reduction of traffic fatalities. A PVE can have zero, or any number of targets.

With the PVE organised like this, participants are put in the policy-makers’ shoes in order to select a policy option, multiple options, or no options at all. The participants base their choices on the information provided, such as the options’ properties, and must thus make trade-offs between e.g., costs and safety. These preferences will reflect the value they give to these properties, which is complemented by written, qualitative statements that give depth to the outcomes of the PVE; participants can share their motivations, concerns, required preconditions and alternative ideas.

The abovementioned PVE addresses the **consultation**, which is defined to be a distinct PVE around some topic. This consultation is, however, part of a bigger **PVE process**, in which the consultation is prepared in three phases beforehand and processed afterwards. In the preparation of the consultation, the exact question that the policy-maker has is distinguished, information is being gathered and the PVE is designed. In the processing of the consultation, its outcomes are analysed and reported on. The full process consists out of five phases, established by Populytics. The phases are shown in Figure 1.1.

Phase 1	Phase 2	Phase 3	Phase 4	Phase 5
<b>Issue articulation:</b> Facilitators and client explore the question and identify some possible policy options.	<b>Information and operationalisation:</b> Information is being gathered on the policy problem, -options, and their properties.	<b>Designing the PVE:</b> The online consultation is being prepared.	<b>Citizens participate in the PVE:</b> The consultation is online.	<b>Data analysis and reporting:</b> The outcomes of the PVE are analysed and presented in a report.

Figure 1.1: Five phases of the PVE process

### 1.1.1 PVE as evaluation method

Participatory Value Evaluation is said to be able to address three pillars: participation, evaluation and communication (TU Delft, n.d.), but was originally developed to serve just one of its pillars: evaluation. This initial application is discussed in this subsection.

Originally, the PVE method was meant to be a method to complement the Cost-Benefit Analysis (CBA) method. The CBA method systematically catalogues impacts as benefits and costs, puts a weight on each impact by giving it a monetary value, after which the costs and benefits are compared. The outcome of the comparison are the net benefits of a project, these can then be compared to the status quo and possibly to other projects (Boardman et al., 2017). It is evident that the outcome of the comparison, and thereby the advice on whether or not to perform a project, is highly dependent on the monetary values assigned per item. These choices, however, are not neutral; different political viewpoints can lead to different basic assumptions (Mouter, 2019). For example, politicians from a green party may assign a higher amount of money to the benefit of a reduction of CO<sub>2</sub> emissions that a project promises to achieve than politicians from other parties. This higher amount of money assigned to the reduction of emissions, all other things equal, leads to the politicians of the green party assigning higher net benefits to that same project than politicians from other parties. Also, one runs into ethical problems, e.g., how to assign a monetary value to a human life? The same holds for subjects such as noise pollution, a ruined view, etc.; how to express the costs/benefits if a project leads to an increase/reduction in such effects in a monetary value? To tackle such issues, CBA might use individuals' Willingness To Pay (WTP). WTP assumes that the welfare effect of consumer goods and public projects can be derived from the choices people make from their private resources. However, scholars argue that this is not a good measure for what those individuals think public budget should be spent on. After experimenting with individuals sharing their preferences via Willingness To Allocate Public Budget (WTAPB) (Mouter et al., 2017), Mouter et al. (2019a) developed a new method to establish individuals' preferences and economic evaluation of public policies, being PVE.



The PVE and the CBA can be combined in the sense that the outcomes of a PVE can be used as input for a CBA. To do this, the choices of the participants in the PVE are analysed using the multiple discrete continuous extreme value (MDCEV) model (Dekker et al., 2019). This model estimates individuals' preferences for (the impact of) government projects and the extent to which participants think that the public budget should be allocated to the proposed project in the PVE, and these outcomes can serve as input for the CBA.

Instead of using the outcomes as input for a CBA, the choices of participants in a PVE could be directly used to rank public projects in terms of their social desirability (Deckert et al., 2020). It is empirically shown that the direct outcomes may differ from the outcomes of the CBA (Mouter et al., 2020a). This might be due to the CBA using people's past consumer choices, whereas PVE uses choices that lead to a preferred future situation. Additionally, PVE allows large groups of citizens to participate, which could lead to growing awareness of the problem at hand.

The abovementioned usages are forms of measuring the social welfare effect of public policies for economic evaluation. The design of a PVE was optimized for this purpose. This means that it must enable the possibility to contain a maximum amount of information on the correlation between the choices participants make and the value they attach to the assigned properties (Mouter et al., 2019a). To ensure this statistical information, a so-called 'experimental design' is generated: this shows participants random values for each of the attributes from a defined distribution (Mouter et al., 2020a).

Note that when doing an evaluation, it is important to make a well-considered choice of method. In several cases, PVE researchers have confirmed that PVE is more suitable for their aim. An example of this is the case study on spatial infrastructure projects by Volberda (2020), who links the importance of PVE over CBA to the heuristics and biases described by Kahneman (2011). The latter states that individuals tend to base their decisions on instinct or subconscious analogy. Following this assumption, it is needed for individuals to declare their preferences and think them through. In other cases, however, Willingness to Allocate Public Budget experiments turned out to be sufficient since the forced choice those experiments require was not an obstacle (Randsdorp, 2020).

### **1.1.2 PVE as participation method**

Another pillar of the PVE method is participation. At first, this was assumed to go hand in hand with the evaluative nature of the PVE method. However, in earlier cases of applying the PVE method, it was found that the PVE is designed in such a way that the outcomes cannot serve as an economic evaluation, in order to achieve the participatory goals. For example, for a consultation on the thermal energy transition in the municipality of Utrecht it was chosen that citizens could not allocate public budget to proposed options, because this conflicted with the reality that the public budget is limited and when a

more expensive strategy is chosen, citizens will have to bear private costs (Mouter et al., 2021c). This is a change in phase 3 of the process, but other phases might experience changes as well. For example, for a consultation on the future energy policy of the municipality of Súdwest-Fryslân, citizens were involved in selecting the included policy options and processing the outcomes of the consultation. This led to changes in phases 2 and 5 as well. Hence, the method organically transforming into a participatory approach leads to additional and different trade-offs in how to execute the process of a PVE. These trade-offs are referred to as **implementation choices**. The infilling of such choices, **implementation options**, are ideally determined at the beginning of the process, but can also evolve with the whims of a process.

For the PVE method, a start at establishing appropriate implementation choices in order to reach goals has been made by van Delft (2021). Based on the list of social goals of public participation set up by Beierle (1999) and the hypothesised relationships with four implementation choices, she concluded which *type of PVE* fits best to each of the goals. The implementation choice *type of PVE* comes with two implementation options: whether the PVE is held in an open way in which anyone willing to participate, can participate, or a panel PVE in which a representative group is invited to participate. Her outcomes are discussed further in Section 3.2. For now, it suffices to know that for some goals she recommended using a panel PVE, and for some an open PVE. This is an indication that the implementation choice *type of PVE* is a **goal-dependent implementation choice**: the implementation option that positively contributes to the achievement of a goal differs per goal.

Concept	Definition
Policy problem	Conceptualized collective problem or challenge to be dealt with by the involved policy-maker.
Policy option	Project, scenario or measure in order to tackle the policy problem.
Options' property	Type of consequence of implementing the options
Constraint	Maximum property value that the selected policy options cannot exceed. It is an upper boundary for a property.
Target	Minimum property value that the selected policy options must meet. It is a lower boundary for a property.
Consultation	A distinct PVE around some topic.
PVE process	The process of preparing the consultation, the consultation itself and the processing of its outcomes.
Implementation choices	Choices on how to fill in the process. Ideally determined at the beginning of the process, but possibly evolving with the whims of the process.
Implementation options	Each implementation choices comes with multiple implementation options. These are options for completing the choice.
Goal-dependent implementation choices	When implementation choice A is under consideration, and its option I is best to reach goal X, and option II is best to reach goal Y, then implementation choice A is a goal-dependent implementation choice.

Table 1.1: Concept definitions

## 1.2 Research gap, research questions and relevance

This section starts with the research gap this thesis addresses, subsequently, the research questions are discussed and lastly the relevance of this topic is elaborated on.

As stated before, several scholars have investigated broadly how participatory processes can be set up in an effective way. Previous research has shown that implementation choices can influence the achievement of the intended goals. However, to the best of the author's knowledge, there is only a limited amount of research done on how to fill in this effectiveness and thereby what implementation options should be chosen to reach a particular goal.

Next to that, there is the novel PVE method, which is not widely studied yet. To the best of the author's knowledge, the only research on a PVE process in which there was a procedural evaluation of whether the set goals have been achieved, is the paper on the PVE on the thermal energy transition in the municipality of Utrecht (Mouter et al., 2021c), and only the effect of one specific implementation choice has been studied by van Delft (2021). This thesis addresses the research gap that consists of the overlap between the search for the infilling of effectiveness for participation processes and the PVE method (Figure 1.2).

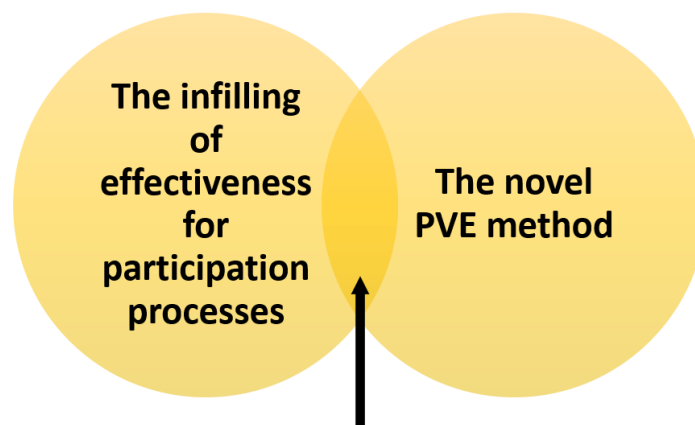


Figure 1.2: The research gap of this thesis, that consists of the overlap between the search for the infilling of effectiveness for participation processes and the PVE method.

Next to establishing this research gap, it is observed that the number of cases in which PVE is used is increasing and therefore more and more empirical material is available. This study investigates literature on implementation choices and goals for participation processes. It aims to find correlations between implementation choices and the achievement of goals for the PVE method based on previous applications of the method. It is chosen to consider implementation choices that are goal-dependent, and goal-independent implementation choices are considered out of scope.

The abovementioned research gap leads to the main research question of this thesis:

*How can goal-dependent implementation choices in a participatory process using the Participatory Value Evaluation method affect the achievement of its goals?*

In order to answer the main research question, the following sub-questions are formulated:

1. What implementation choices and goals for participatory processes are discussed in literature?
2. How can the goals be translated to the PVE method, which of the implementation choices found in literature are goal-dependent, and how can those goal-dependent implementation choices be translated to the PVE method?

As goal-dependent implementation choices are not widely discussed in literature, the first question addresses implementation choices in general. Next to that it aims at the search for reported participatory goals. In the second question, these goals are translated to the PVE method. Furthermore, from the found implementation choices, a subset of implementation choices that are judged to be goal dependent are selected for answering the second question. The last part of that question refers to identifying implementation options corresponding to the choices. These first two questions provide a starting position on which to investigate cases of previous applications of the PVE method. As further explained in the *Research approach* in Chapter 2, one case is selected to study in-depth, while eight others are selected as comparative cases. The in-depth case study is the national climate consultation. This consultation was performed in both an open way and via a panel. Data on the experiences of both groups was available for this research. The next sub-question refers to this in-depth case study:

3. What goals were pursued in the national climate consultation, what goal-dependent implementation choices were made in attempt to achieve them, to what extent were the goals achieved and what can be learnt from the experiences shared by participants in the PVE?

To check the results of the investigation of the national climate consultation, and to complement them, eight other cases are examined in order to answer the following sub-question:

4. What goals were pursued in other previous applications of the PVE method, what goal-dependent implementation choices were made in attempt to achieve them and to what extent were the goals achieved?

Following this, the answers of the third and fourth sub-question serve as input for the answering of the fifth sub-question.

5. How do the goal-dependent implementation choices in a PVE process affect the achievement of its goals?

This last sub-question resembles the main research question and extracts the learnings from comparing the previous cases categorised by their goal.

The relevance of this research is discussed in three categories, scientific relevance, societal relevance, and relevance for the Master programme Management of Technology.

### **Scientific relevance**

This thesis addresses the earlier mentioned research gap in the intersection of the search for the proper infilling of the effectiveness of participatory processes and the Participatory Value Evaluation method. It thereby aims to add to both the broad field of successful citizen participation and to the research on the specific method.

### **Societal relevance**

As there is an increasing call for citizen participation, insights into the execution of such processes become increasingly relevant as well. The practical aim of this research is to contribute to the achievement of goals of future participatory processes using the PVE method (and possibly similar methods) by indicating how implementation options can influence this achievement; the aim is to increase the extent to which goals are achieved. Besides the achievement of the goal, using the right implementation choices improves the chance that the efforts of participating citizens are worthwhile. Furthermore, it is expected that sharing these insights with policy-makers at the start of the process, will encourage them to considerably determine the goals they want the participatory process to aim at. Seeing that the establishment of the goals influences the implementation of the process is expected to show the variety of goals citizen participation can contribute to.

### **Relevance for Management of Technology**

This thesis combines knowledge from, among other courses, decision-making theory with the knowledge of stakeholder management that is woven throughout the master's programme. Furthermore, in multiple cases, the PVE method serves as an instrument to get citizens on board for technological products/techniques that most of them are not familiar with, such as for citizen participation on the thermal energy transition or measures to tackle climate change. Moreover, the quadruple helix model –

which includes citizens next to the government, industry and universities – is a concept that is discussed in MOT for knowledge production and innovation adoption, is applied via the PVE method.

Furthermore, the PVE method has become a corporate resource when Populytics was founded. Additionally, multiple scholars state that designing and running public participation has become a profession (Bherer et al., 2017, Hendriks and Carson, 2008). This shows in this thesis, as establishing how to be effective, can lead to finding how to be efficient as well. This is a commercially interesting step for Populytics. Additionally, the effectiveness itself helps, as there is no better promotion than a buzz created by word-of-mouth after previous successes (Kotler and Keller, 2016).

### **1.3 Report structure**

The structure of the remaining report is as follows. Chapter 2 elaborates on the research approach of this thesis. Chapter 3 discusses implementation choices and goals found in literature. In Chapter 4, the findings from Chapter 3 are translated to the PVE method: goal-dependent implementation choices are established and complemented with implementation options that suit the PVE method. In Chapter 5, the in-depth case study of the national climate consultation is discussed. After that, comparative cases are discussed in Chapter 6. In Chapter 7, the outcomes of the two preceding chapters are combined and it is thereby discussed how the chosen implementation options influence the achievement of the goals. Lastly, Chapter 8 presents the conclusion of this research and Chapter 9 discusses the limitations and implications of this research.

# 2

## Research approach

This chapter elaborates on the methodology used to answer each of the sub-questions. A short recapitulation of the methodology of the sub-question discussed is given in each chapter.

### 2.1 Methodology sub-question 1

The first sub-question is: “What implementation choices and goals for participatory processes are discussed in literature?”

This sub-question, as is stated in its formulation, is answered by conducting a literature review. The starting point for the review consists of two papers, namely the works of Liu et al. (2018) and of van Delft (2021). By using a backward snowballing approach, relevant papers are selected for further reading. The first selection of relevant work is made based on the title of the document in the reference list. A second selection for further reading is based on scanning the abstract, introduction, and conclusion of the papers. When the papers still seem relevant after this step, they are saved for detailed reading.

In addition, scientific databases Scopus and Google Scholar are used to retrieve papers. Search terms include, but are not limited to, (a combination of) the following terms: “public participation”, "citizen participation", “effective participation”, "participation mechanisms", "participation approaches", "design choices", "goals", "dimensions", “implementation”. First, the results are sorted on the number of citations in Scopus and on relevance in Google scholar. Second, a same approach as described above is used to select relevant work. Finally, backward snowballing is applied to the papers that provide valuable insights.

### 2.2 Methodology sub-question 2

The second sub-question is: “How can the goals be translated to the PVE method, which of the implementation choices found in literature are goal-dependent, and how can those goal-dependent implementation choices be translated to the PVE method?”

This sub-question builds upon sub-question 1 and further explores the information that was found answering that one. The goals found in literature are compiled into a list of goals applicable for the PVE method.

Furthermore, five interviews are conducted. For these interviews, a semi-structured approach is used, in which a list of questions is prepared, but there is also room to add or leave out questions based on the context of the answers given by the interviewee, and the order of the questions might differ. Interviews were held with five experts: each of them contributed to (the major part of) designing and running of a PVE process.

Based on the combination of literature and the interviews, a subset of the implementation choices found in answering the previous sub-question, is selected as goal-dependent implementation choices. Subsequently, based on the interviews and on papers on previous applications of the PVE method, the corresponding implementation options are added to the choices. Together, the goals, goal-dependent implementation choices and the implementation options form a framework by which the cases can be investigated.

## **2.3 Methodology for sub-question 3**

The third sub-question is: “What goals were pursued in the national climate consultation, what goal-dependent implementation choices were made in order to achieve them, to what extent were the goals achieved and what can be learnt from the experiences shared by participants in the PVE?”

The methodology used to answer this sub-question consists of two parts: 1) application of the framework and 2) analysis of experiences shared by participants in the PVE. The national climate consultation is hereby used as an in-depth case study. This choice to study this process in depth is due to the available information, and also because it is a PVE process that, at the time of writing this thesis, is recent but finished. It is therefore the case that reflects the state-of-the-art of implementing the PVE method in PVE processes. However, as it is only one case, comparative cases are considered in the next question, to get a broader view and to check the outcomes based on this case.

### **2.3.1 Applying the framework**

Answering this sub-question starts with applying the framework that is established in answering sub-question 2. This framework can now serve as a basis to examine the case study and answer the first part of this sub-question. Using the framework is helpful here as the cases in the next sub-question are examined following the framework as well, which makes it possible to compare their findings. The first part of the question, on the goals, their achievement and the goal-dependent implementation choices, is



answered based on the interview with the involved researcher, and the report of the consultation by Mouter et al. (2021d).

### **2.3.2 Examining experiences shared by participants in the PVE**

In the PVE experiment of the case study, participants were asked to provide an advice for the government about which climate measures to impose. The national climate consultation has two available datasets.

One dataset contains the results from the panel PVE in which members of Dynata – a group representing the Dutch population based on demographic characteristics – could participate. The other dataset contains results from a PVE that was freely accessible for the Dutch public. The panel dataset consists out of the answers of 1933 participants, and of the 8518 participants that joined the open PVE, the first 2000 participants' answers were selected for this analysis.

#### **Representativeness**

The first step of the analysis is to check for representativeness in both datasets. This step clarifies to what extent the outcomes might be representative for the whole population. In order to do this, the distribution of demographic characteristics are determined for both cases. If available, these distributions are compared to data of Statistics Netherlands (CBS) that represents the distribution of demographic characteristics among the population.

#### **Codifying experiences**

In the PVE, participants received open questions on what they found positive and negative about the consultation. Not all participants answered this question, but the responses that came varied from single words to essays. To be able to analyse the experiences, the written answers need to be codified. The codification was done together with a PhD student in the following steps:

1. Both codifiers codified a part of the panel PVE;
2. A codebook was set up based on these first codifications, with which both codifiers analysed the same subset of data individually;
3. The differences between the two codifications were examined and the codebook was adjusted;
4. Another subset of the panel PVE dataset was codified by the two codifiers individually. The two versions were compared to check for intercoder reliability (O'Connor and Joffe, 2020). The intercoder reliability was 91% and this was considered sufficient to divide the data and perform the codification together.
5. To check whether the codebook would also fit the experiences shared in the open PVE, both codifiers also codified the same subset of data on the open PVE individually and checked the intercoder reliability for these codifications. This intercoder reliability was 93% and this was also considered to be sufficient to perform the rest of the codification together.

## Analysing and comparing experiences

Once the experiences are codified, they can be analysed and the two datasets can be compared via simple functions in excel.

### 2.4 Methodology sub-question 4

The fourth sub-question is: “What goals were pursued in other previous applications of the PVE method, what goal-dependent implementation choices were made in order to achieve them and to what extent were the goals achieved?”

This sub-question refers to the analysis of comparative cases in order to check and complement the outcomes of sub-question 3. The methodology of this question consists of two parts: 1) what cases are selected and why? 2) how are the selected cases studied?

#### 2.4.1 Case selection

To extract lessons from previously performed PVEs to check and complement the findings based on the national climate consultation, a selection of cases has to be made. The eventual selection contains eight cases, which are presented with some of their characteristics in Table 2.1. The characteristic *main partner* refers to who was in charge of the process from the decision maker's side. For comparison, the national climate consultation is added in this table as well.

For case selection, the aim was to consider cases diverse in scale and topic. Another condition, which was recommended by a PVE researcher, was that the process must have been performed relatively recent, such that the researcher has the information fresh on their minds when they are being interviewed. Therefore, for example the consultation for the transport region in Amsterdam (Mouter et al., 2019b) was excluded. This approach led to the selection of cases 2-6 in Table 2.1. The seventh and eighth case in Table 2.1 are ongoing cases. These were included after recommendations of researchers: these ongoing cases could provide more details and, in addition were different from the other cases as they were not performed as research projects, but with a paying client. The eighth case terminated prematurely. During the process of this case, several observations were made that could contribute to establishing how implementation choices can influence the achievement of goals, and therefore this case is included as well.

Topic	Scale	Funder	Main partner
<i>National climate consultation</i>	<i>National</i>	<i>Dutch Organisation for Scientific Research (NWO)</i>	<i>Ministry of Economic Affairs and Climate Policy (EZK)</i>
1. Future energy policy of the municipality of Súdwest-Fryslân	Municipality	Dutch Platform for Civic Participation and Public Policy (NPBO)	Municipal councillors
2. Future energy policy of the region Foodvalley	Region	Dutch Platform for Civic Participation and Public Policy (NPBO)	Municipal councillors
3. Thermal energy transition vision of the municipality of Utrecht	Municipality	Dutch Organisation for Scientific Research (NWO)	Municipal councillors
4. Relaxation of Covid-19 measures	National	TU Delft Covid-19 response fund	National Institute of Public Health and the Environment (RIVM)
5. Thermal energy transition vision for the neighbourhood Nieuw Sloten, Amsterdam	Neighbourhood	Dutch Organisation for Scientific Research (NWO)	Local energy transition working group
6. Medical fitness to drive	National	Ministry of Infrastructure and Water Management (I&W)	Ministry of Infrastructure and Water Management (I&W)
7. Infilling of the public space of the neighbourhood Tarwewijk, Rotterdam	Neighbourhood	Municipality of Rotterdam	Municipal councillors
8. Renewing the heat supply in a neighbourhood	Neighbourhood	Heat supplier	Heat supplier

Table 2.1: Characteristics of the national climate consultation and the eight comparative cases

## 2.4.2 Studying the selected cases

To get information on the selected cases, several sources were consulted. An overview of the material used in each case is given in Table 2.2. Again, the national climate consultation is added as well to give a good overview. As shown in the table, reports and scientific papers are examined. Furthermore, semi-structured interviews were conducted with five facilitators of PVE processes. Other available sources are the webinar organised by Populytics and TU Delft's PVE lab, in which two cases were discussed, a master thesis that was performed based on one of the cases, data on experiences of participants, internal documents and personal observations (as the last case was initially the case study for this thesis).

Topic	Interview	Report	Scientific paper	Other
<i>National climate consultation</i>	Researcher 2	Mouter et al. (2021d)		<i>Data on experiences of participants</i>
1. Future energy policy of the municipality of Súdwest-Fryslân	Researcher 1	Spruit and Mouter (2020)		Webinar by Populytics and TU Delft's PWE lab (2021)
2. Future energy policy of the region Foodvalley	Researcher 1	Spruit and Mouter (2021)		Supplementary notes on Foodvalley's website
3. Thermal energy transition vision of the municipality of Utrecht	Researcher 2	Mouter et al. (2020)	Mouter et al. (2021c)	
4. Relaxation of Covid-19 measures	Discussed partially in interviews	Mouter et al. (2020b)	Mouter et al. (2021a)	Thesis van Delft (2021)
5. Thermal energy transition vision for the neighbourhood Nieuw Sloten, Amsterdam	Researcher 3	Collewet et al. (2021)		Webinar by Populytics and TU Delft's PWE lab (2021)
6. Medical fitness to drive	Researcher 4			
7. Infilling of the public space of the neighbourhood Tarwewijk, Rotterdam	Researcher 5			
8. Renewing the heat supply in a neighbourhood	Evaluation with the heat supplier and Populytics			Internal documents and own observations

Table 2.2: Available sources of information per case.

The cases are studied by applying the framework of sub-question 2 to the available information.

## 2.5 Methodology for sub-question 5

The fifth and final sub-question is: "How do the goal-dependent implementation choices in a PVE process affect the achievement of its goals?"

In answering this final sub-question, all previously gathered information is combined. In order to extract the influence of goal-dependent implementation choices on a goal, the cases are examined per goal. Per goal, used implementation options of the cases that pursued the goal are compared, together with whether the processes managed to achieve that goal. These comparisons are performed via the method that is presented in Figure 2.1. When the implementation options are the same and the outcomes are the

same, this gives an indication that these implementation options have an effect on the outcomes of the achievement of the goal. If the same implementation options lead to different outcomes on whether the goals are achieved, this indicates that other factors play a role. Different implementation options that lead to the same outcomes of the achievement of a goal also ask for further investigation on the actual role of the implementation choices for that goal. Lastly, when different implementation options lead to different outcomes on the achievement of the goal, this gives an indication that one set of implementation options might contribute in a more significant way than the other; this might be due to a certain implementation option influencing the achievement positively or negatively.

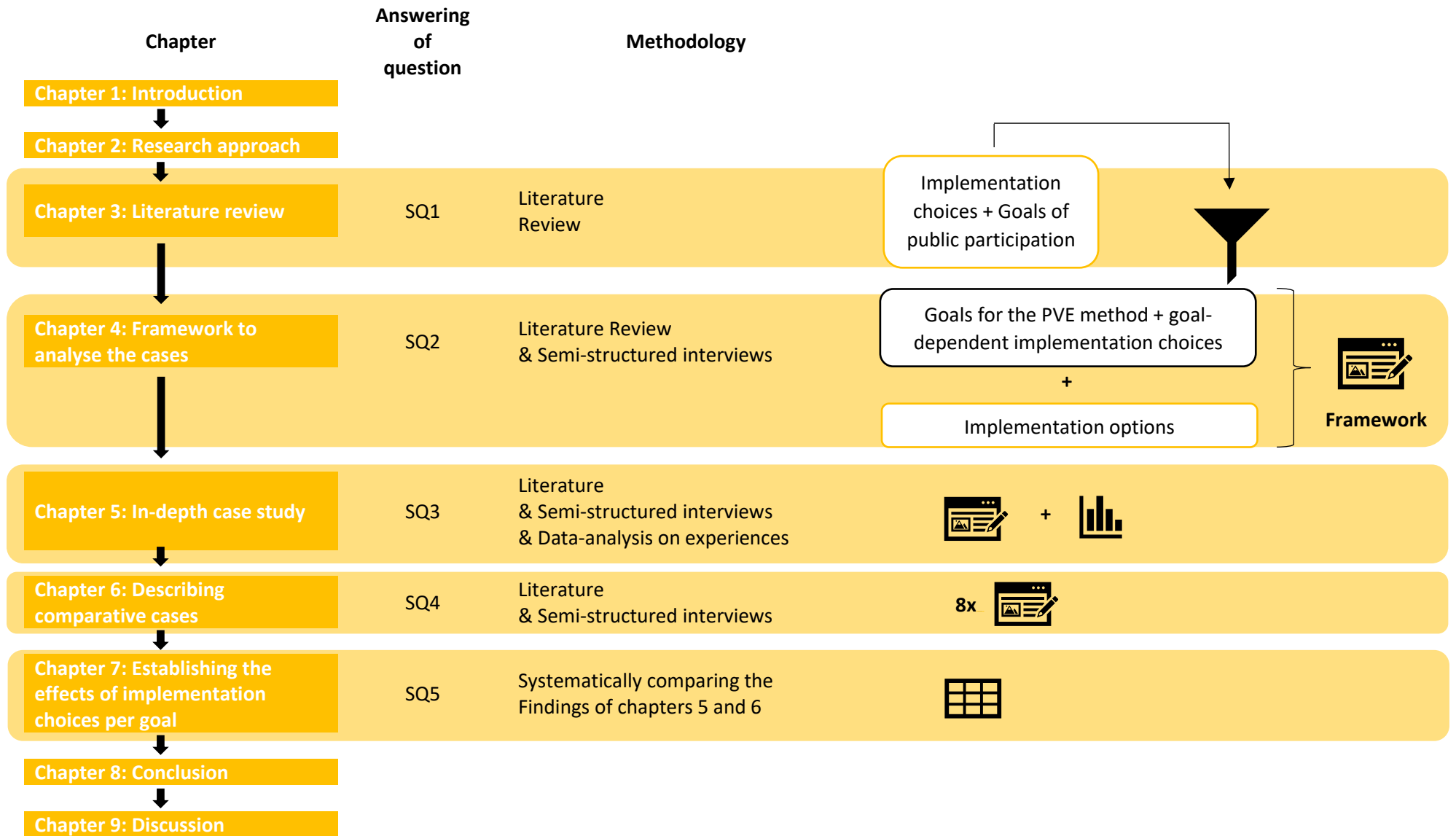
As the implementation options partly depend on each other and multiple implementation options might differ within a case, this approach cannot be applied exactly. However, it is the chain of thought that is used in the discussion of the goals.

		Outcome on achievement of a goal	
		Same	Different
Implementation options	Same	Indication that implementation options have an effect on the achievement of the goal	Considered implementation options do not seem to influence the achievement of the goal
	Different	Considered implementation options do not seem to influence the achievement of the goals	Indication one set of implementation options suits better than the other

Figure 2.1: Methodology to compare set of implementation options to the achievement of the goal.

## 2.6 Overview of the methodology

Figure 2.2 provides an overview of the sub-questions addressed in each chapter and the methodology used to do so.



# 3

## Literature review

This chapter answers the first sub-question: it dives into what goals and implementation choices are found in literature. This elaborate literature review is an important step, as it serves not only as a background for this thesis, but also as a basis for the framework consisting of the goals and goal-dependent implementation choices for setting up a participatory process using the PVE method as established in Chapter 4, on which the investigation of PVE cases in Chapters 5 and 6 is based.

As discussed more elaborately in Chapter 2, the approach used for this review is taking the works of Liu et al. (2018) and van Delft (2021) as a starting point and then select relevant papers using a backward snowballing approach. In addition, scientific databases Scopus and Google scholar are used to find complementary research.

In terms of content, the backbone of this chapter is also the relatively recent paper by Liu et al. (2018). In their work, Liu et al. determine factors that attribute to the effective management of participation processes. Even though the exact definition of effectiveness is not formulated and the findings of the article do not link to particular goals, the paper does provide an elaborate overview of factors to consider. For this reason, the seven components set up by Liu et al., based on literature research and expert interviews, are used as a guideline to discuss the available literature on what is important to determine when setting up a participatory process. The components are: 1) Participant characteristics, 2) Participatory schemes, 3) Support from external resources, 4) Information disclosure and inquiry, 5) Management of participation process, 6) Empowerment, and 7) Valuing decision information. For each component, the corresponding factors set up by Liu et al. are discussed. In their work, 30 factors are discussed in total, which are shown in Figure 3.1 (reorganised, so that they are more convenient for discussion). The discussion of the factors is complemented with literature by other scholars, which is partly based on the PVE method itself.

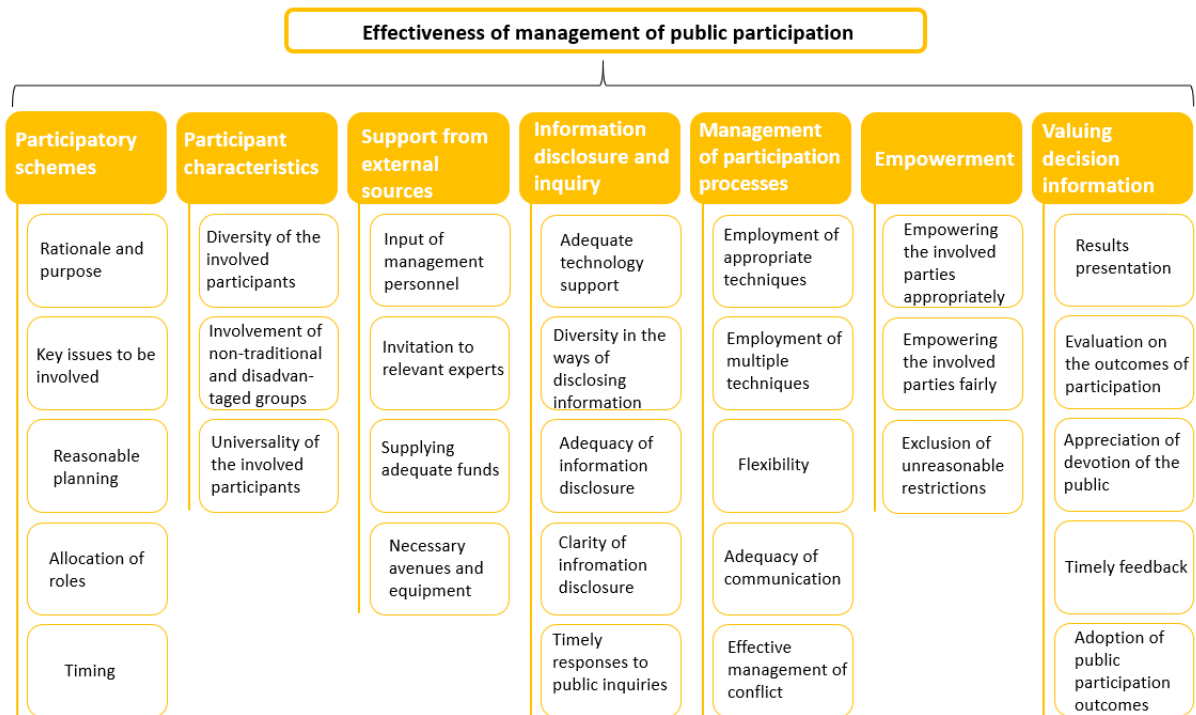


Figure 3.1: The seven components set up by Liu et al. (2018) that overarch a total of 30 factors that are said to contribute to effective participation.

### 3.1 Participatory schemes

This section discusses a component of five factors which are discussed as four diverse and stand-alone topics, as shown in Figure 3.2. It is chosen to discuss first, as this component is judged to discuss the most fundamental parts of the participatory process. It discusses the importance of clarifying whether the decision-maker handles from either a substantive, normative or instrumental rationale, and which goal is aimed to be achieved. Then, it is discussed that the clarification of what is negotiable and what is not is judged important by some scholars, but brings challenges for the meaningfulness of a participatory process. After that, it is discussed that the involvement of citizens evidently takes place during the PVE, but might also include involvement in the preparation or processing of the consultation (outcomes), and what forms this involvement can take. Lastly, it is discussed that when it comes to the timing of the whole process in terms of the phase of decision-making, the process traditionally takes place in the Policy Formation phase.

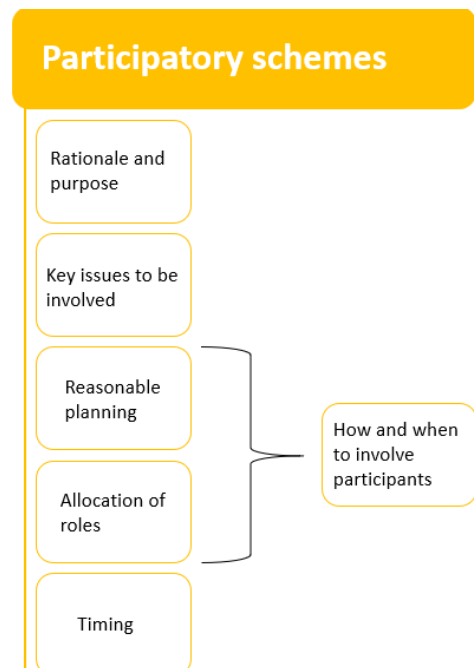


Figure 3.2: Discussion of factors for the component Participatory schemes



### 3.1.1 Clarification of rationale and goals

Liu et al. (2018) formulate the clarification of rationale and purpose as one of their factors attributing to successful participation. They do not, however, go into what kind of rationales and purposes can be found in participatory processes. This section first discusses the three rationales for public participation formulated by Fiorino (1990): instrumental, substantive and normative. Then, goals that are described in literature are discussed, ranging from empowering to merely informing, and from improving decisions to improving relationships. When the variety in rationales and goals is shown, the importance of clarifying them is discussed.

#### Rationales

In 1990, Fiorino writes about the three rationales for involving citizens in policy-making. His rationales stem from arguments against a technocratic orientation towards policy problems. The three rationales are now used in many studies (e.g., Leach et al., 2005, Stern and Fineberg, 2012, Stirling, 2006, Wesselink et al., 2011).

The three arguments against technocracy, that are translated to rationales, are substantive, normative and instrumental:

- A **substantive** argument against technocracy is that nonexperts see problems, issues and solutions that experts miss (Isacson, 1986), and thereby lay people are just as suitable to judge risks as experts. Additionally, a benefit of including the lay public as opposed to solely working with experts, is what Barber (1984, p. 258-59) describes as "institutionalizing regret," or for accommodating uncertainty and correcting errors that might occur through deliberation and debate.

This argument is translated into the substantive rationale. The basis of this rationale is the belief that involving citizens will actually lead to a better decision-making process (Beierle, 1999). The main difference between this rationale and the instrumental rationale lies in the openness of the decision-maker; there is no predetermined option and the best outcome is expected to be created in collaboration.

- A **normative** argument against technocracy is that it conflicts with the ideals of democracy. Fiorino quotes Shrader-Frechette (1985, p.151) saying that it is "to ignore the value dimension of policy analysis and to disenfranchise the public who, in a democracy, ought to control that policy". To be a citizen is to be able "to participate in decisions that affect oneself and one's community," according to Bachrach (1967), which he based on Aristotle's argument that citizens are "those who are able to take part in the deliberative and judicial areas of government" (III, 1289a32-34).

The step from this argument to the normative rationale is small. This rationale is a motivation by wanting to do 'the right thing'. Compared to the substantive rationale, the focus of participation in the normative rationale lies more on executing the process properly as opposed to getting a better outcome.

- An **instrumental** argument Fiorino gives, lies in the detection that lay people are unwilling to delegate important decisions for the reason that those decisions are technical in basis. To make sure that the confidence in risk institutions will not decrease, Fiorino insists on mechanisms for lay participation.

Following on that, the instrumental rationale is a motivation from the idea that participation makes decisions more legitimate and improves results. This rationale frequently plays a role when the decision-maker is seeking for (an increase in) support for the option that is already chosen. It is often used to increase public support or to restore public trust, which is for example important for energy projects, as these often antagonise citizens (Cuppen et al., 2019, Wolsink, 2010).

## Goals

Multiple scholars have created lists of goals that citizen participation might aim for. Three lists of these are considered, and put alongside each other in Table 3.1. The table includes the list of social goals Beierle (1999) has set-up, the list of goals included in the research of Del Furia and Wallace-Jones (2000) and the list of the most common goals composed by Wilcox (1994). The lists show a wide variety of possible goals.

## Clarification of rationale and goals

Now that it is clear that public participation can have various rationales and goals, it follows that the decision-maker should clarify on which rationale they act and what they intend to achieve. Multiple scholars emphasise this in their work, Booth and Richardson (2001), for example, mention the clarification on why the public is involved as first of their five issues to be considered for public participation. Panopoulou et al. (2014) support the importance of clarifying intended achievements, and Wilcox (1994) underlines this by stating that “the most intractable problems arise because organisations promoting participation aren't clear about what they want to achieve”. If the motivation and purpose are not clear, voluntary participants with high expectations about their participation will be disappointed by the same reasons that mobilized them (Font and Navarro, 2013).

Beierle, 1999	Del Furia and Wallace-Jones, 2000	Wilcox, 1994
1. To inform and educate the public	1. Understand the perception of proposed activity	1. Improving the quality of the outcome – the project, or programme
2. To incorporate public values, assumptions and preferences into decision making	2. Resolve conflict and reach consensus	2. Developing the capabilities of the participants
3. To increase the substantive quality of decision	3. Identify interested parties and their concerns and values surrounding the proposed development	3. Building working relationships of benefit for the future
4. To foster trust in institutions	4. Collect information about the local environment and the local community	4. Increase ownership and the acceptability of the outcome
5. To reduce conflict among stakeholders	5. Define problems and issues that should be addressed (scoping)	
6. To make decisions cost-effectively	6. Identifying alternatives	
	7. Validate the quality of the project and obtain feedback about the quality of the proposal	
	8. Inform and educate on the project, the consequences and the decisions	

Table 3.1: Lists of goals of Beierle (1999), Del Furia and Wallace-Jones (2000) and Wilcox (1994).

### 3.1.2 Key issues to be involved

As in the previous factor Liu et al. made a point of clarifying rationale and purpose, this factor is about clarifying what the focus of the policy problem is, and what parts of it are negotiable and which are not. To discuss this a bit broader, this section also discusses the determination of the focus.

The importance of stating what is negotiable and what is not stems from Booth and Richardson (2001). By distinguishing this transparently, a charge of tokenism can be avoided (Darke, 1990). Pallett et al. (2019), however, observed a tension between tight framing of the problem and the possibility for citizens to propose alternative solutions that are deemed ‘out of scope’ by policy makers. In one example participants did not find the participation meaningful as they did not agree to one of the main assumptions. Therefore, it is considered important to assess how rigid the constraints of the policy problem are. In literature this is discussed as closing down versus opening up (Stirling, 2008). Closing down means that the aim is to develop a clear, narrow scoped problem to which prescriptive

recommendations can be made. The outcomes of such a participation can then easily be used as straightforward advice for implementing policy, while opening up is more open and leaves room to new interpretations of the policy problem.

Additionally, when determining a focus, it is important to consider what information to include in it. This is illustrated in the research by Volberda (2020). In her thesis, Volberda encountered an effect she called *the location-effect*: the closer a project was located to the living location of the participant, the more likely it was that individuals selected that project. In itself this is not problematic, but it might obscure the value given to other properties. One should thus consider whether to include such details, and how to include these.

### 3.1.3 When and how to involve participants

In the two factors Reasonable planning and Allocation of roles, Liu et al. discuss that reasonable public participation includes specific and appropriate methods, and that the role of citizens should be determined based on participants’ characteristics. This is translated to when in the process citizens should be involved, and how, as is discussed in this section.

#### When in the process to involve citizens

The role of citizens obviously includes participating in the consultation itself. Furthermore, the PVE process, like many participatory processes (Bobbio, 2003), is structured through well-defined phases, of which the consultation is just one. There are three phases before the consultation itself, and one phase after, as was shown already in the Introduction, but also below in Figure 3.3.

Phase 1	Phase 2	Phase 3	Phase 4	Phase 5
<p><b>Issue articulation:</b> Facilitators and client explore the question and identify some possible policy options.</p>	<p><b>Information and operationalisation:</b> Information is being gathered on the policy problem, -options, and their properties.</p>	<p><b>Designing the PVE:</b> The online consultation is being prepared.</p>	<p><b>Citizens participate in the PVE:</b> The consultation is online.</p>	<p><b>Data analysis and reporting:</b> The outcomes of the PVE are analysed and presented in a report.</p>

Figure 3.3: Five phases of the PVE process

Hurlbert and Gupta (2015) distinguish between three levels of structuredness of a policy problem for which they recommend different levels of involvement. Structured problems are problems “where there is substantive agreement on norms, principles, ends and goals surrounding a policy problem and agreement on the knowledge inherent in solving the problem” (p.101), for moderately structured problems policy makers either agree on the norms, or on the required knowledge, but not both, and for

unstructured problems there exists uncertainty in both values and science (Hoppe, 2011). For the latter, Hurlbert and Gupta recommend involving citizens in the shaping of the issue, which happens in phase 1 of the PVE process. When it comes to the structured problems, they state that these “require minimal public participation and can be responded to in a technocratic manner” (p.107). The moderately structured problem lies in between the two, and might benefit from increased involvement of the public, rather than solely in the consultation itself. The involvement of citizens in earlier phases, for example in phase 2, can influence the key issues involved mentioned in the previous section.

Next to having a role in the preparation of the consultation, citizens can have a role in the processing of the outcomes of the consultation as well. This is the last phase of the PVE process.

### How to involve participants

Now that it is discussed when the public can be involved, the next step is how to involve them in the phases other than the consultation itself. The methods discussed are categorized in three ways of information flows as distinguished by Beierle (1999): information flowing from the government to the public, information flowing from the public to the government and two-way communication.

Information flowing from the government to the public can take place during the preparation of the PVE and processing of the PVE outcomes. It would imply that citizens are informed and/or educated about (the outcomes of) the PVE. This is thus considered to be a passive form of involvement.

In the second category information flows from the public to the government. This can take place during the preparation of the PVE via, for example, a focus group that is a proxy of the public’s opinion and gives one-way input of citizens’ views (Beierle, 1999), that can be taken into account in the design. In processing the outcomes, a focus group could translate the outcomes of the PVE into advice to give to the governmental body. A focus group could take the form of “mini-publics”, which are “designed to be groups small enough to be genuinely deliberative, and representative enough to be genuinely democratic (though rarely will they meet standards of statistical representativeness, and they are never representative in the electoral sense)” (Goodin and Dryzek, 2006, p.220).

Lastly, in two-way communication the information goes back and forth. This could translate to a group of citizens being invited like mini-publics, but with the decision-makers present as well, in order to jointly discuss how the consultation could best be carried out. After the consultation, such cooperation could provide a supported plan of action for the decision-maker.

### 3.1.4 Timing

The previous section discussed when in the process the public should be involved, whereas this section discusses the timing of the whole process itself. When timing is discussed, it is not meant in an absolute way, but it addresses the decision-making phase.

Del Furia and Wallace-Jones (2000) are clear on this issue: the earlier the public is involved, the better. Booth and Richardson (2001) also include timing as one of their criteria, and although they first vaguely state that it's difficult to decide at which point to involve the public, they then quote Williams (1995) saying "early involvement of stakeholders in decision-making can help to avoid expensive conflict later".

To determine the decision-making phase, a common approach to analyse decision-making is by using the *phase model*, "both in science (viz. e.g., Anderson, 2014, Crosby and Bryson, 2005) and in policy practice (procedures are often based on the concept of phasing)" (Teisman, 2000). This model is an ideal take on a much messier reality, but as George Box puts it: "all models are wrong, but some are useful". The model represents decision-making in terms of three distinct stages, as shown in Figure 3.4. In the Policy Formation phase, information is being gathered to form the policy. In the Policy Adoption phase, influence is exerted on politicians, as they will make decisions on the adjustments on the contents of policy in this phase. The last phase is about the Operationalisation of the policy. A public consultation set-up by the decision-maker evidently falls in the first phase of decision-making: the Policy Formation phase.

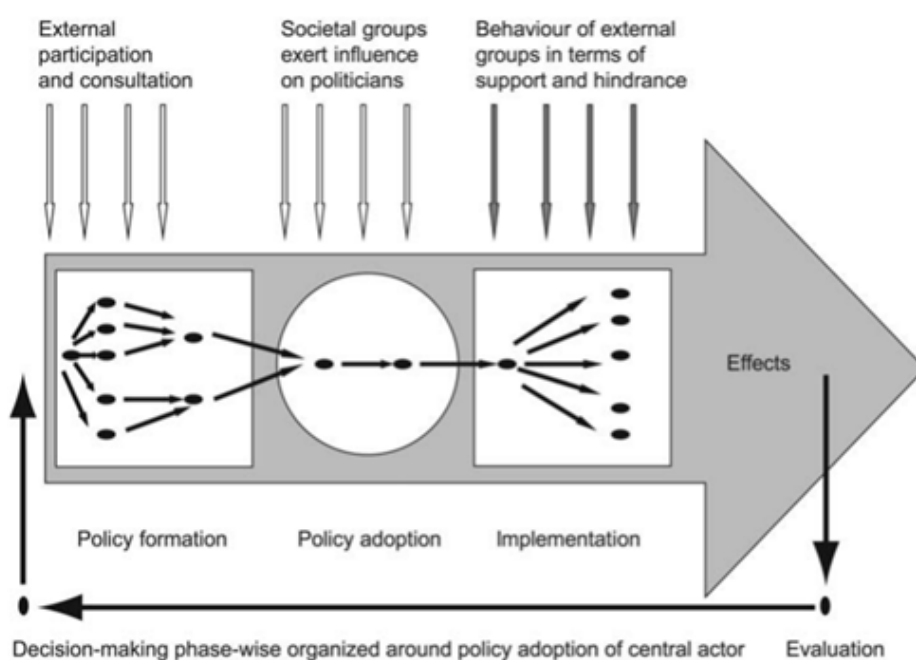


Figure 3.4: The concept of decision-making used in the phase model (Teisman, 2000).

## 3.2 Participant characteristics

For this component, Liu et al. (2018) consider the inclusion of non-traditional and disadvantaged groups, the diversity of involved participants and the representation of all potential groups. This can be captured in a more broad way by considering inclusiveness and representativeness, as shown in Figure 3.5. This section discusses how inclusiveness and representativeness are two factors that complement each other, but also partly fight each other.

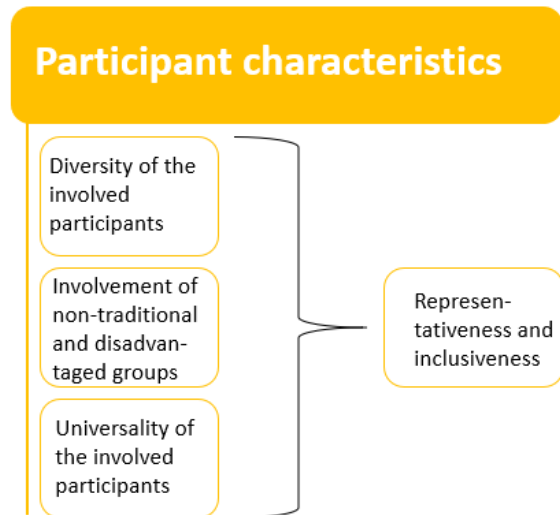


Figure 3.5: Discussion of factors for the component Participant characteristics

Representativeness is considered important as it is not reasonable to expect that the whole population that has an interest in the topic under consideration will participate, no matter whether this population consists out of the entire population of the Netherlands, the residents of a municipality or the residents of a neighbourhood. Sampling, which means considering a subset of the population of interest, is an answer to this challenge.

Del Furia and Wallace-Jones (2000) argue that the wider the representation, the better. Representation, however, can be interpreted in multiple ways. The traditional way is to represent citizens based on their demographic characteristics, such as age, gender and income. An alternative way is to represent citizens based on their discourses, which Dryzek and Niemeyer (2008) describe as “a set of categories and concepts embodying specific assumptions, judgments, contentions, dispositions and capabilities” (p.481). The following two subsections show how the PVE method mostly depends on the traditional kind of representation, but could possibly involve some aspects of discursive representation as well.

### Representation based on demographic characteristics

Of the two types of representation, representation based on demographic characteristics is easiest to check and put in place, as is discussed in this section. To check for this kind of representativeness, one should compare the distribution of selected characteristics, such as gender, age and education level, of the sample with the distribution of those characteristics of the population. The sample is (almost) never perfect; the distribution of characteristics of the sample does not exactly mimic the distribution of the population. However, when *sufficient* number of elements from the population are selected, the results from analysing the sample will be *generalizable* to the population (Sekaran and Bougie, 201). Namely, when all characteristics are present in the sample, there can be corrected for bias via weight adjustment

such that the distribution of characteristics of the sample does match the distribution of the population, and thereby representativeness is restored (Bethlehem, 2008, Engel et al., 2014).

The potential skewness in representation, even though it can be corrected for via weight adjustment, does pose a challenge to participatory processes as they can easily be labelled as not being inclusive enough or meaningful enough for citizens (Fraune and Knodt, 2017). Additionally, elected officials might question the extent to which participants and their priorities are a good proxy to represent ‘the public’ or only a narrow cross-section of their communities (Mouter et al., 2021c). It is thus important to consider how to create the sample. The two main categories of sampling techniques are probability sampling in which members of the population have a known, equal and non-zero chance of being chosen, and non-probability sampling in which people choose to participate themselves. There are two forms of sampling that are used for the PVE method, both forms of non-probability sampling:

- The first is **Quota Sampling**: this sampling technique divides the population in heterogeneous strata (e.g., age groups, gender) and selects from them at convenience (Sekaran and Bougie, 2016). This technique was initially used for the PVE method to tackle the challenges described above. An external party - a panel agency - creates this sample, which in this thesis is called the `\textit{panel}`. The panel is explicitly composed to represent the population and its characteristics, however, not all the members who are invited to participate will eventually do this. Therefore it is still important to check for representativeness and if necessary perform weight adjustment. As this form of sampling works with invitations and might reject people if sufficient people with similar demographic characteristics have participated, it has a limited level of inclusiveness; it is not the case that anyone who is willing to participate can actually participate (Goodin, 2007).
- The second form is **Convenience Sampling**: this sampling technique includes the most easily accessible members (Sekaran and Bougie, 2016), and in the case of PVE this means that the participatory process is promoted and participants join via self-selection. This form of the consultation, called the *open* PVE counters the low level of inclusiveness of the first form (van Delft 2021). For this form, additional attention should be given to the promotion of the consultation and the recruitment of participants, as the facilitator has no control over the eventual sample and participation is demanding for citizens and stakeholders in terms of knowledge, capability, time and resources (Coenen et al., 2009). Following from this, there is a potential to lead to an overrepresentation of citizens who either think that the issue is in their immediate interest, citizens who have a lot to gain by influencing decisions, citizens who are experts on the topic, citizens who have a lot of spare time, or citizens that simply enjoy speaking in public (Coenen et al., 2009). On demographic characteristics, Hendriks (2008) found that an underrepresentation of women and younger citizens is not unusual. Additionally, less educated people often are underrepresented, which might be due to the accessibility of participation



methods, but also because less educated people exclude themselves based on how they think others will judge them. As Visser (2018) states: "people feel less entitled to participate when they experience stigma and perceive that they lack mastery of the culturally legitimate knowledge and language". Representing non-traditional groups, as found important by Bickerstaff et al. (2002), might thus need additional attention. An example of how to accomplish the participation of young people, is that it is found that young people are far more likely to be represented when participation is online, due to their capability and willingness to engage online (Best and Krueger, 2005, Loader et al. , 2014). In Germany, it was found that digital participatory tools can ensure a diversity of participants (Deckert et al., 2020).

When considering the differences between the two forms, it is seen that the panel PVE tends to ensure a better representation, but has a lower level of inclusiveness, whereas additional attention should be given to make the open PVE representative, while this form has a higher level of inclusiveness. Bobbio (2019) refers to this as the dilemma of open-door settings vs. mini-publics, and van Delft (2021) dedicated her thesis to the trade-off between representativeness and inclusiveness within the two types of PVE. Van Delft investigated which type of PVE - open or panel - suits best to each of the social goals set up by Beierle (1999). An open PVE enables more people to participate, and therefore she concludes that this type of PVE is best for informing and educating the public, and fostering trust in institutions. As the outcomes of a panel PVE are representative for the larger population, she suggests this type when the aim is to incorporate preferences, values and attitudes of the public, and to increase the substantive quality of a decision. Based on Beierle's hypotheses, van Delft concludes that the PVE is not a suitable method for resolving conflicts, no matter which type is used.

### **Discursive representation**

Now that the more traditional way of representation based on demographic characteristics is discussed in the previous subsection, an alternative way of representation - discursive representation - is discussed in this one.

Mansbridge (1999) questions the traditional form of representativeness in her paper by questioning whether "black should represent blacks and women should represent women," and answers this with a contingent "yes". Dryzek and Niemeyer (2008) argue that "there may be more than one discourse relevant to black interests or women's interests, which a unitary framing of that group's interests will not capture" (p.483). Again, a discourse is defined by them as "a set of categories and concepts embodying specific assumptions, judgments, contentions, dispositions and capabilities" (p.481). Dryzek and Niemeyer therefore plead for discursive representation in some participatory approaches, and so does Cuppen (2018). Representing discourses is different from representing perspectives, in the sense that the latter is judged as often being more elusive, while discourses can be measured and described (Dryzek

and Niemeyer, 2008). Young (2002, p.143-144) links perspectives to socio-demographic characteristics to guide the selection of representatives by assuming that "to the extent that persons are positioned similarly in those [social] structures, then they have similar perspectives". Dryzek and Niemeyer argue that discourses are independent of social structure and can thus not be linked to demographic characteristics. The ontological justification of discursive representation given by the scholars lies in a less analytical and more empirical treatment of the concept of what Elster (1986) calls *the multiple self*, which holds that a person may be multiple discourses, which can be seen as "fluid positionings instead of fixed roles" (Harré and Gillet, 1994, p.36). An example of this is shown by Sagoff (1998) differentiating between people's role as a citizen and as a consumer (which is also at the core of differentiating Willingness to Pay from Willingness to Allocate Budget). Dryzek and Niemeyer state that people can reflect on their discourses and switch between them, but can never fully escape their constraints.

This different kind of representation, has different rules for what a proper sample is. While in the traditional view of representativeness, a sample is considered to be representative for a characteristic when proportionality to the population is in place (Goodin, 2007), for discursive representation, proportionality may actually be undesirable, as this may lead to groupthink (Dryzek and Niemeyer, 2008) on one hand, and on the other hand it is found that the "weight" of a message is not dependent on the amount of people that support it, but on the amount of repetitions of the statement (Weaver et al., 2007).

While selecting citizens based on their demographic characteristics is evidently easier than selecting citizens based on their discourses, there is a systematic way for the latter as well. Dryzek and Niemeyer point to Davies et al. (2005) showing how an individual's subjective orientation to an issue area can be measured by the individual ranking a set of 35 to 60 statements about the issue. Several hundred individuals are selected at random from the population of interest to give their ranking on the statements, after which discourses are determined via factor analysis (a statistical technique to reduce a large number of interrelated variables to a small number of common underlying components). Then, the individuals with the highest correlation coefficient on a particular discourse will make particularly good discursive representatives.

As an alternative, less systematic way, one could determine discourses beforehand, and select participants that represent them based on their membership of a group of activists or political party, publications issued from a particular discourse, etc. Both selection methods are meant to select a small number of participants as the papers aim to contribute to deliberative democracy, which needs face-to-face conversations.

### 3.3 Support from external resources

The third component is a practical one that exists out of four factors. The first is the input of management personnel, which is changed slightly into their involvement, as they need to make sure that the process is guided properly as stated by Liu et al., but they also need to consider the ownership of the process and whether they are willing to commit themselves. For the second factor it is discussed that experts should be invited to give input on the preparation of the consultation. Lastly, the third and fourth factor, on venues and funds are combined into discussing the tangible resources.

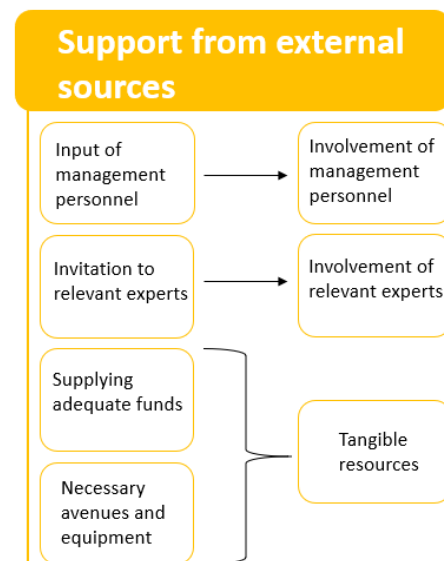


Figure 3.6: Discussion of factors for the component Support from external resources.

#### 3.3.1 Involving management personnel

On the first factor of this component, Liu et al. state that the decision-makers should arrange competent personnel “to ensure that public participation is orderly” (p.04018026-4). Wilcox (1994) adds to this that decision-makers should clearly know who is involved internally, whether they have got their “internal act together”, whether they are committed to the process and whether they will stay committed when it might not go according to plan. Additionally, he states that it is important to know who the owner of the process is, and how the management will work when there are multiple owners.

Wilcox does not state that the owner of the process should necessarily be a more senior officer, but he does see a role for the senior officers. For this reason, the factor that Liu et al. named “Input of management personnel” is here changed to the involvement of them; involvement in the sense that they make sure that the right people are on board, but also that they are prepared to make a public commitment to some extent.

#### 3.3.2 Involving relevant experts

Besides seeing a role for management personnel, Liu et al. also see a role for experts in related fields. Experts can help give input on the information about the policy problem and policy options to be included, or can check proposed information. This role thus mainly takes place in the phases before the actual consultation. However, the experts are then aware of the existence of the consultation, so if they are part of the population of interest, it is likely that they will participate in the consultation itself as well.

### 3.3.3 Tangible resources

Next to human resources, Liu et al. mention two factors that include tangible resources: supplying adequate funds and necessary avenues and equipment. These factors seem trivial, but the latter was ranked top five via the 264 surveys returned to the scholars in their research. As the consultation of the PVE method takes place online, this does not require a venue, but a deliberative face-to-face session prior to or following consultation might need it. The available monetary resources, also underlined by Wilcox (1994), might be more trivial, as *there ain't no such thing as a free lunch*. The amount of available money might influence what a facilitator can offer.

## 3.4 Information disclosure and inquiry

This component discusses information disclosure and inquiry.

Firstly, the importance of visualisation to increase understanding and overcome language barriers, and of promoting the consultation on multiple platforms as this reaches different people, are discussed as the practical factors on disclosing information. Then, it is discussed how there might be a trade-off between meaningful and useful information; therefore the adequacy and clarity of information are discussed together. In that part, framing is also discussed, since the choice of language or of in-/exclusion of certain information might influence the outcomes of the PVE. The last factor that Liu et al. address in this component is the timely responses to public inquiries. Even though it is ranked top five via the 264 surveys returned to them in their research, this factor is not further discussed for the PVE method for the reason that it does not hold for the consultation: citizens are asked to share preferences based on the provided information.

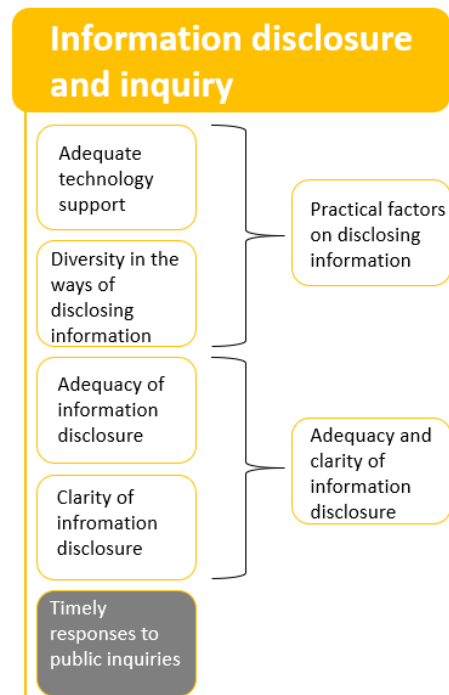


Figure 3.7: Discussion of factors for the component Information disclosure and inquiry

### 3.4.1 Practical factors on disclosing information

To start with, this first subsection discusses the factors of this component that Liu et al. address that are straightforward, being two practical factors: adequate technology support and the diversity in the ways of disclosing information.

With adequate technology support, Liu et al. point to the use of visualisation techniques. When providing information, even more when this is done in a non-interactive way, it is important to help the public grasp the meaning of the information. Visualisation is found to help achieve this, and also stimulates

critical thinking (Shatri and Buza, 2017). Furthermore, it has the advantage to create universal clarity regardless of language challenges (Veřmiřovský, 2013).

Secondly, Liu et al. discuss that information should be disclosed using multiple methods, such as newspapers, broadcasts, etc.. This is seen as a way to create attention for the participatory process that one can participate in. When the consultation is open, it is evident that it should be promoted via different platforms, as different types of people are reached by different types of platforms (e.g., Barnhart, 2021).

### **3.4.2 Adequacy and clarity of information disclosure**

The adequacy and clarity of information disclosure might seem as straightforward as the two aforementioned factors. However, there might be a trade-off between the two. For this reason, these two factors are discussed together. When it comes to the adequacy of information, framing might also play a role. The second part of this subsection discusses that framing can influence citizens' responses, and should therefore be applied considerately.

#### **Trade-off between meaningful and useful information**

When designing a PVE, several researchers run into a difficult trade-off between the partly conflicting values of inclusion, meaningfulness, usefulness and realism. Heijnen (2020) encountered this problem in designing the PVE in a company context, for which he tried to find the sweet spot at which the PVE was useful and realistic and thus had a certain level of complexity, but also one that employees with different roles could participate in. In the end some participants considered it too complex, while others doubted the usefulness of the simplified PVE.

Nouws (2020) aimed to find a balance between meaningful and useful participation by improving information provision. This research mentioned that the provision of information still faces challenges like susceptibility by framing, misinterpretation and self-selection. To solve this, it is proposed that information provision approaches should reduce complexity of the subject, reduce psychological distance and reduce the possibilities of misinterpretation by eliminating ambiguous information. It is added that information provision needs to comply with the heterogeneity among participants. How to achieve that last part is considered the main take-away from this research. There is concise advice provided for this: information needs to be disclosed progressively. Additionally, it is recommended to link the information provision to the objectives of the participation and to the values formulated by stakeholders.

#### **Framing**

Next to considering the complexity of the provided information, the language used should also be considered. As discussed in Section 3.2, language matters (de Bruijn, 2019). This is illustrated in an

experiment when people were asked to give solutions to upcoming crime, and the proposed solutions were strikingly different for people who got the upcoming crime described as a spreading disease, versus people for whom the problem was described as a growing monster (Thibodeau and Boroditsky, 2011).

De Geus (2019) specifically investigated this for the PVE method. He used a form of emphasis-framing in which either solely the positive or solely the negative aspects of a solution were mentioned. He found that this did make a difference to the results, which confirms the attention that should be given to the absence of framing or the careful application of it. When framing techniques are used, it is thus an ethical choice that should be made consciously (Bourgeois-Gironde and Giraud, 2009, de Bruijn, 2019). In general, de Geus (2019) recommends that PVEs should be framed as neutral as possible.

### 3.5 Management of participation process

This component contains five factors. The first of the five merely underlines the relevance of this research: it states that the participatory process should be set up in such a way that it fits the goals it aims to achieve. The second factor implies that citizens should be involved via multiple techniques for one topic. The PVE method might contribute to this factor as the process might include other techniques next to the consultation itself, such as mini-publics to determine the issues to be involved. However, the ensuring of the usage of multiple techniques is the responsibility of the decision-maker and not of the facilitator of the PVE process.

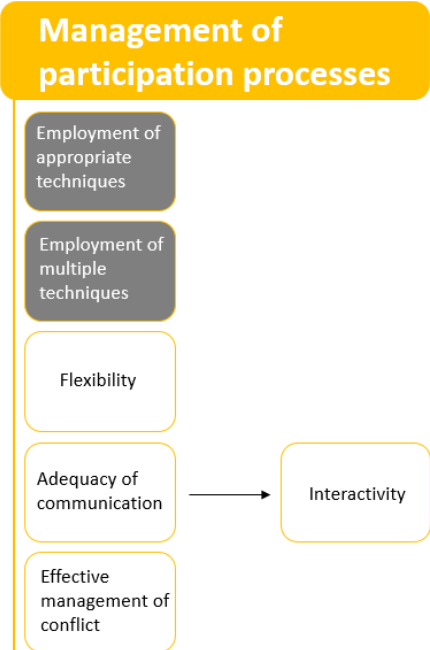


Figure 3.8: Discussion of factors for the component Management of participation process

The first factor that is further discussed is flexibility, for which it is described that adjusting plans for the participation based on feedback from preceding phases has a positive influence on the process. Then, the adequacy of communication is discussed, which means that there are opportunities provided for discussion and debate and thus a certain level of interactivity. This factor is said to contribute to the effective management of conflict, which is discussed lastly, although not all scholars agree that conflict should be managed.

#### 3.5.1 Flexibility

The main point of this factor is that a process is not set in stone after the initial plan is agreed on by the decision-maker and the facilitator. It implies that the process may be changed due to feedback from

preceding phases and/or changed conditions. This is embedded in the set-up of the PVE, that includes that the consultation is designed after information is gathered, and feedback can thus be handled.

### **3.5.2 Interactivity**

One of the factors \Liu et al. discuss for this component, is the possibility for discussion and debate: interactivity. Bickerstaff et al. (2002) mention interactivity as one of the key criteria for participation and Fiorino (1990) emphasises the need for face-to-face discussions. The latter, however, only deems interaction crucial in case of conflicts. More scholars link the needed degree of interaction to the case at hand. Beierle (1999) agrees by concluding that interaction is only necessary for reducing conflict. Pahl-Wostl (2009) and Huntjens et al. (2011) conclude that iterative, two-way information flows are required when the aim is to build trust. Hisschemöller (2005) states that interaction is crucial for learning, as otherwise participants are not able to question their own taken for granted assumptions. This idea is in line with Kahneman's (2011) theory that individuals tend to base their decisions on instinct or subconscious analogy. Bobbio (2019) states more neutrally that the appropriate level of interaction should be decided on per case.

The consultation itself does not allow for direct interaction, but during the preparation of the consultation or the processing of its outcomes, there might be possibilities for interaction, as discussed in Section 3.1.3.

### **3.5.3 Effective management of conflict**

The last part of this section is dedicated to the factor Effective management of conflict, which Liu et al. describe as “the ability to anticipate and avoid potential conflict, resolve conflict, and reach consensus” (p.04018026-4).

The inclusion of the ability to “manage” conflicts is probably based on the conclusions of Del Furia and Wallace-Jones (2000), who include the factor as one of their four factors contributing to the effectiveness of public involvement. Furthermore, other scholars consider the solving or reduction of conflict as a goal. For example, Beierle (1999) discussed reducing conflict as a goal, and linked the degree of interaction among potentially opposing interests to this goal as a contributing factor and also Fiorino (1990) emphasises the importance of interactivity in order to reduce conflict. Van Delft (2021) concluded in her thesis that PVE is an unsuitable method to reduce conflict among stakeholders as it does not allow for direct interaction among (opposing) stakeholders. Yet, she adds that the outcomes of a PVE experiment may be used as input for other participatory approaches in which opposing stakeholders get the chance to deliberate, and this could for example happen in phase five of the PVE process.

Contrary to the aforementioned, Cuppen (2018) does not agree on involving the reduction of conflict as a success factor for or a goal of public participation. She invites her readers to view social conflicts as self-organized participation that serves as a source for identification and inclusion of normative appraisals, instead of merely focusing on how to ameliorate conflict with invited participation. Van den Hove (2006) shares this view partly, stating that conflict does not need to be suppressed, but that it is important for the decision-maker to differentiate on whether one is searching for consensus, or for a compromise. The latter is said to include some degree of cooperation and some degree of conflict.

### 3.6 Empowerment

Under this component, Liu et al. take up three factors: empowering the involved parties appropriately, doing that fairly, and the exclusion of unreasonable restrictions. The latter points to the restrictions given to participants, and it is evident that these should not be unreasonable. In some cases it might be hard to determine what is perceived to be unreasonable beforehand; for example, scoping of the problem must be done considerately, since tight framing can have negative effects, as for the case of Pallett et al.. This is excluded in this section, as this was already discussed in

Section 3.1.2. For the other two factors, the different takes on the need of empowerment in the shape of a redistribution of power are discussed in this section: some scholars state that this redistribution is essential, while it is also widely recognised that different levels of power might be appropriate for different situations.

To start with, a much cited view on the importance of empowerment is that of Arnstein (1969). Over half a century ago, she wrote that “the idea of citizen participation is a little like eating spinach: no one is against it in principle because it is good for you.” Her main comment, however, is that it is essential that there is a redistribution of power. Without it, participation would be “an empty and frustrating process for the powerless”. To illustrate her view, she created a ladder of participation. Each rung of the ladder stands for a degree of citizen participation, which she then categorized into three categories, as seen in Figure 3.10.

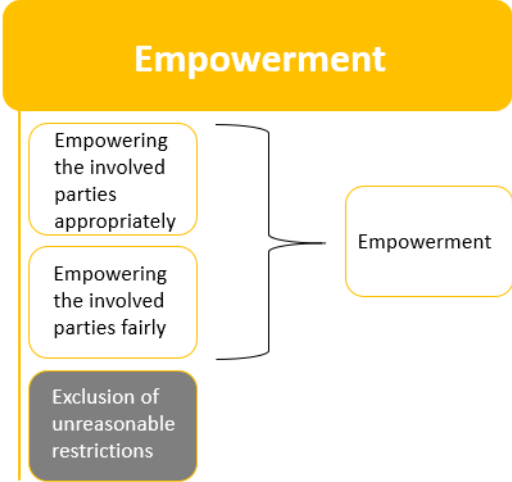


Figure 3.9: Discussion of factors for the component Empowerment.



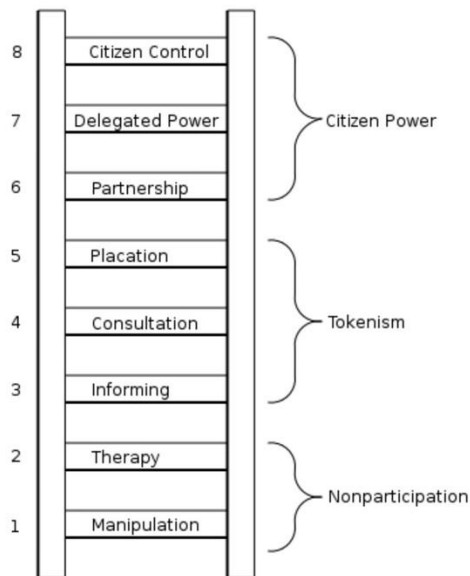


Figure 3.10: Eight rungs on a Ladder of Citizen Participation (Arnstein, 1969)

Rungs 3 and 4 of the ladder, informing and consultation, do contain a form of hear and be heard. Arnstein's objection is, though, that these degrees of participation lack the power to insure that there will be acted upon these views. She states that when participation is restricted to the level of consultation, participation remains a window-dressing ritual. Ezrahi (1990) shares this idea by stating the fear that real interventions that serve political ends are replaced by symbolism.

The view that the essence of public participation is effective power redistribution between the government and its citizens is supported by several researchers, among which Booth and Richardson (2001) and Renn et al. (2013). Bloomfield et al. (1998) and Burgess et al. (1998) concluded that one can distinguish between modes of:

- Consultation - where citizens will be heard by the decision-maker, but the latter can selectively embrace views that suit its existing ideas and ignore views that are considered to be inappropriate or irrelevant; and
- Participation - where there is a degree of redistribution of power.

Bobbio (2019) compares these two variants as decision-making versus consultation and frames the choice as a dilemma. He concludes from examples that "influence does not necessarily stem from formal power" (p. 51).

Although some scholars do argue that the more power the public has, the better (Del Furia and Wallace-Jones, 2000), others seem to agree that a great amount of formal power for citizens is not necessary. Arnstein (1969) recognises herself that the ladder is a simplification, but she emphasises its meaning to

illustrate the significant gradations of citizen participation. Wilcox (1994) recognises that “understanding participation involves understanding power”, but he thinks that the hierarchical ladder of participation is too rigid. Also, he states the importance of having a fit between the levels of participation and the situation at hand, and how this may differ, which seems to fit better with the idea of considering dimensions by Beierle (1999). As an alternative, Wilcox created a ladder that consisted of five rungs in an attempt to cover what local authorities consider participation: informing, consulting, deciding together, acting together and supporting independent community interests. The levels Wilcox presents are still on a ladder, but he does not attach the hierarchy of values to the rungs. He recognises the power the initiator has to control the process, but states that the selection of the level of participation is a managerial decision that is deemed to be unproblematic. Several others have proposed alternative ladders to Arnstein’s one (Garau et al., 2012). Some even take the approach of losing the hierarchical aspect a step further by changing the ladder metaphor into a wheel (Davidson, 1998).

Another argument against Arnstein's ladder can be found in the philosophical way of looking at power. Instead of interpreting power as a resource (Marx, 1976) or as a relation (Foucault, 1982), it can be interpreted as a way of influencing the human mind (Castells, 2009). Then, one could say that lower rungs of the ladder might give citizens power as well, as long as they are given the room to express and argue their opinion.

One could also say that the appropriate kind of power assigned to citizens depends on the kind of democracy one is living in. The Netherlands has a representative democracy, which means that citizens elect representatives who then enact policy initiatives. Michels (2006) writes that most forms of citizen participation are instruments to improve the current functioning of the representative democracy. Dutch philosopher Kok (2018) argues that this is positive by stating that it is in nobody’s interest for citizens to take over the work of politicians. Cultural historian van Reybrouck (2016a) argues that politicians should indeed be the ones making laws and policy, but that citizens selected by sortition should be enabled to have a substantial say in the content of those. He bases his views on Aristotle saying that “the appointment of magistrates by lot is democratical, and the election of them oligarchical” and on history showing that the introduction of election was initially put in place to prevent democracy (van Reybrouck 2016b).

To conclude this section, following Liu et al. pointing to *appropriate* empowerment and the critics on Arnstein’s rigid ladder, it is seen that various levels of empowerment might suffice. Multiple ranges are defined to fill in this choice. Fung (2006) lets the *extent of authority and power* range from least to most authority in five steps: personal benefits, communicative influence, advice and consult, co-governance and direct authority. Beierle (1999) defines a range for the decision-making role of the public from none, to advisory, to decisional. Young (1996) defines a continuum which ranges from top-down to bottom-

up, with to further identified stages being the limited dialogue strategy and the 'yes ... but' strategy. Top-down strategies could be said to use participation as a communication tool, with no influence for citizens. The 'yes...but' strategy is a form of hear and be heard, but citizens' arguments will not influence the decision-maker's decision. The limited dialogue is a strategy in which the decision-maker is in control, but is willing to let the decisions be influenced by the results of the participatory process. Lastly, the bottom-up strategy is considered to be a genuine way of co-deciding.

### 3.7 Valuing decision information

This last section goes into the component of valuing decision information, which takes place in the last phase of the PVE and after. The component comprises five factors, of which the first two - results presentation and evaluation on the outcomes - are part of the processing of the outcomes, which can consist of merely data-analysis, or that analysis complemented with a translation to advice by citizens. The last three factors are: giving timely feedback on the policy impacts of the process, the actual adoption of policy outputs and appreciation of the public's devotion. These three can be said to take place after the PVE process, as these activities should be performed by the decision maker at the end of the process and the facilitator has in principle no role in these. However, the facilitator might help the decision-maker by pointing to these finishing steps, and it is expected that citizens will perceive them as part of the process.

Therefore these three factors are discussed as well, in the subsection on concluding the process.

#### 3.7.1 Processing of the outcomes

The participation of citizens in the PVE creates a lot of data. In the fifth phase of the PVE, the data is analysed and a report is written by the facilitators to present these outcomes. This step is included in the process by default. The outcomes are descriptive in the sense that they do not call to action in itself.

The outcomes cannot be transformed into normative claims by the facilitators, as they are assigned to be neutral (Bobbio, 2019). However, as described in Section 3.1.3, citizens are able to perform this translation. Via a complementary, deliberative part of the process citizens can translate the outcomes into advice to the decision maker. This is an optional part of the last phase of the process.

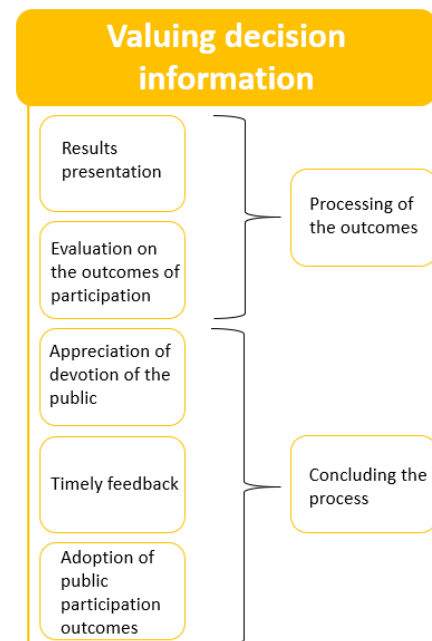


Figure 3.11: Discussion of factors for the component Valuing decision information.

### **3.7.2 Concluding the process**

After the processing of the outcomes, it could be said that the process is completed. When one takes the viewpoint of the facilitator, this might seem the case, but it is expected that citizens view the following communication and acts of the decision maker as part of the process. For this reason, the facilitator might best stay in touch with the decision-maker a bit longer.

Liu et al. mention three factors. One is to appreciate the public for their efforts. This might seem insignificant, but it is expected to have an influence on the relationship between the decision maker and the citizens, and the willingness of citizens to join in a future participatory process. This sharing of appreciation can be combined with communicating on how the outcomes of the process impact the policy making, as is judged important by Bickerstaff et al. (2002). What then follows is for the decision maker to practice what they preach and actually show the influence in the policy. Liu et al. describe this as the adoption of the outputs, although it might differ to what extent the decision maker will adopt all the outputs. The extent to which the outputs are adopted is, or at least should be, a result from the predetermined level of empowerment that is discussed in Section 3.6.

# 4

## Framework to analyse the cases

This chapter answers the second sub-question of this thesis, namely how the goals can be translated to the PVE method, which of the implementation choices found in literature are goal-dependent, and how those implementation choices can in turn be translated to the PVE method. The result of answering this threefold question is a framework by which cases of previous applications of the PVE method can be analysed. Analysing the cases through a set framework enables their comparison.

This chapter, as mentioned, builds on the literature review from the previous chapter. In the first section, the previously established lists of goals for public participation are compiled into an overarching list of five goals by which the cases can be categorised in the analysis. The second section, establishes which of the factors found in literature are implementation choices of which the appropriate infilling depends per goal. This is based on literature on the PVE method and insights from the interviews with PVE researchers. Eventually, nine goal-dependent implementation choices are established, and corresponding implementation options are formulated for each of them. This chapter ends by discussing the expected impact that these choices may have on the phases of the process.

### 4.1 Goals of citizen participation

This section answers the first part of the second sub-question, and therefore composes a list of possible goals for PVE processes based on the goals formulated in literature. The list is then part of the framework to analyse PVE cases with, such that cases with similar goals can be compared to each other.

The lists used as input for this section are those of Beierle (1999), Del Furia and Wallace-Jones (2000) and Wilcox (1994). These are shown alongside each other in Table 3.1 on page 23. Beierle links his goals to four dimensions, that could be viewed as similar to implementation choices, and formulated hypothesised relationships between them. For this reason, his list of goals is taken as leading. Beierle's goals are the following: 1) Educating and informing the public, 2) Incorporating public values into decision-making, 3) Improving the substantive quality of decisions, 4) Increasing trust in institutions,

and 5) Reducing trust, and to these five social goals, the sixth is added as a gatekeeper to choose the least resource-intensive process: 6) Making decisions cost-effectively.

It is now checked whether the goals of the other two lists incline adjustments or additions. Del Furia and Wallace-Jones include the following goals on their list: 1) Understanding the perception of proposed activity, 2) Resolving conflict and reaching consensus, 3) Identifying interested parties and their concerns and values surrounding the proposed development, 4) Collecting information about the local environment and the local community, 5) Defining problems and issues that should be addressed (scoping), 6) Identifying alternatives, 7) Validating the quality of the project and obtain feedback about the quality of the proposal, and 8) Informing and educating on the projects, the consequences and the decisions.

Goal 8 of Del Furia and Wallace-Jones' list is captured in goal 1 of Beierle's list, and goal 2 resembles goal 5 of that list. However, for the latter, the formulation of Del Furia and Wallace-Jones is stronger. Based on the notion of van den Hove (2006) that participation could also lead to compromise instead of consensus, the stronger formulation is not copied.

Goals 1, 3, 5 of Del Furia and Wallace-Jones focus on perception, values, concerns and assumptions, and are therefore understood as a lighter form of goal 2 of Beierle. Lastly, goals 4, 6, 7 aim at gathering information from the participants, which can then improve the substantive quality of decisions (Beierle's goal 3).

Then, in his guide to effective participation, Wilcox defines four goals: 1) Improving the quality of the outcome - the project, or programme, 2) Developing the capabilities of participants, 3) Building working relationships of benefit for the future, and 4) Increase ownership and the acceptability of the outcome. Of this list, goal 1 is similar to goal 3 of Beierle's list and goal 2 is a form of educating the public which is Beierle's first goal. Goal 4 of Wilcox's list is a more instrumental way of looking at participation: to involve the public in order to make decisions more legitimate. This is considered to be captured in the combination of Beierle's goal 2 and the instrumental rationale and is therefore not added to the list. Wilcox's goal 3 is on relationships, which might fall in between goals 4 and 5 of Beierle's list. In addition, van Delft (2021) states that the PVE method is not suitable for reducing conflict, as it would need a high degree of interaction among stakeholders in order to do that. Interaction might be included during its preparation and the processing of its outcomes, but if the goal was merely to reduce conflict, one might turn to another participatory method. For this reason, combined with how the goal on relationships falls in between Beierle's goal 4 and 5, these are adjusted into the improvement or fostering of relationships.

After reviewing these three lists of goals, the final list that the PVE method will be reviewed on is shown in Figure 4.1.

**Potential goals of PVE processes:**

1. To inform and educate the public
2. To incorporate public values, assumptions and preferences into decision making
3. To increase the substantive quality of decision
4. To improve or foster relationships between involved parties
5. To make decisions cost-effectively

Figure 4.1: List of potential goals of PVE processes.

As stated by Beierle, the last goal, cost-effectiveness, acts mostly as a gatekeeper for the other goals. “The goal argues that public participation programs must earn their keep by producing results which justify the added effort” (p.87). Choosing the appropriate implementation choices to achieve the intended goals, is expected to contribute to that goal.

The selected goals can be linked to Fiorino’s rationales that were discussed in Section 3.1.1. To do so, for each goal it should be checked whether a policy maker would want to achieve this goal for substantive, instrumental or normative reasons. Informing and educating can be seen as ‘the right thing to do’ in a democracy and can therefore be aimed for by normative reasons. Furthermore, when the underlying reason is for it to contribute to the acceptance of the outcome (Li and Zhao, 2019), then the policy maker handles from an instrumental rationale. The incorporation of public values, assumptions and preferences in decision making can also be grounded in these two rationales. From an instrumental point of view, the achievement of this goal might lead to more support for the outcomes of the decision-making process (Irvin and Stansbury, 2004), while from the normative point of view, incorporating the preferences of citizens might be desirable for democratic reasons. The second goal with the substantial rationale equals the third goal, and therefore, in order to clearly differentiate between the two, this rationale is excluded for the second goal. As said, the third goal is grounded in the substantive rationale. The fourth goal, improving or fostering relationships, is based on the instrumental rationale, which is said to often be used to increase public support or to restore public trust. Lastly, the goal of making cost-effective decisions is not based on any of the rationales of participation, but acts as a gatekeeper for the others.

As the abovementioned rationales focus on the policy makers’ view, so will the discussion of goals of the cases that are described in the coming chapters be based upon the goals set by the decision maker. The goals of other parties such as the facilitator are thus not considered. Bobbio (2003) legitimates this decision by concluding that for most participation processes the facilitator is neutral, as this is deemed important since public values of facilitators might influence the process (Clark, 2018). In these cases, it could be said that the facilitators are not fully neutral, as researchers have scientific goals, and Populytics

has their mission to bring citizens and decision-makers closer together (Populytics, n.d.). However, as these goals are openly communicated, it is assumed that they do not interfere with the goals set by the decision-maker.

## **4.2 Goal-dependent implementation choices and their corresponding implementation options**

In this section, it is determined which of the implementation choices found in literature are important for every PVE process and are thus not further discussed as goal-dependent implementation choices, and which of the implementation choices have different appropriate infilling depending on the intended goal. For the latter, implementation options are set up which reflect the possible infilling of the implementation choices.

### **4.2.1 Implementation choices that are independent of the goal of the process**

This subsection discusses the implementation choices that are concluded to be goal-independent. This does, however, not mean that they are irrelevant to PVE processes; it means that they are out of the scope of this research and are therefore not investigated further. Implementation choices are concluded to be independent of the goal of the process for three main reasons: 1) the choice is made by default, which means it concerns standard practice for PVE processes, 2) scholars all agree on the relevance of its inclusion and there are no significant variations within the implementation options, and 3) the implementation choice is one where the facilitators have no role. The excluded implementation choices are now discussed per reason. For each implementation choice, the number of the subsection in which it is discussed is added, such that related information can easily be found.

#### **Implementation choices excluded because they are standard practice**

Sticking to the order in which the factors are discussed in Chapter 3, the first factor that is excluded, is the involvement of relevant experts (3.3.2) as this is standard practice in the second phase of the PVE process. Furthermore, it is evident that appropriate tangible resources (3.3.3), such as funding and available avenues, should be arranged for each process. The needed tangible resources are indirectly affected by the goal of the process, as a more elaborate process might require more tangible resources, but because of this being a secondary effect, this factor is excluded as well.

Another standard practice is found in the disclosure of information: PVEs always include visualisations and are promoted via multiple platforms (3.4.1). The other choice addressed for this component is the



trade-off between participation that is meaningful and useful (3.4.2). Although the trade-off should be made considerately for each individual case, it is not included as it does not per se depend on the goal, but more on the topic and the population of interest.

Lastly, flexibility in managing the participation process (3.5.1) is excluded for this reason. It is likely that the flexibility of designers will be called upon more often for some of the goals (i.e., for goals that require more elaborate processes), but it is possible for any of the goals.

### **Implementation choices excluded because they are widely agreed upon**

The reason of not being included because scholars all agree on its importance holds for the clarification of rationale and goals (3.1.1). Every PVE gives room for doing this, and multiple scholars mention, and agree on, its importance.

### **Success factors excluded because the facilitator has no role in them**

This third reason holds for the last part of the process, referred to in the concluding of the process (3.7.2). Even though it is expected to be more important for the goal of improving the relationships than the others, it is not included as the facilitator has no role in this part of the process, except for encouraging the decision-maker to do this.

## **4.2.2 Implementation choices that are dependent of the goal of the process**

Now that it is discussed which of the implementation choices are excluded and for what reasons, multiple implementation choices remain. These choices, of which the appropriate infilling depends on the goal of the process are now considered. Some of the discussed implementation choices are combined into one goal-dependent implementation choice, and some lead to multiple goal-dependent implementation choices. For each of the included implementation choices, a corresponding gradation of implementation options is set up to illustrate the ways in which it can be implemented. This subsection elaborates on the nine implementation choices to be included in the framework.

### **Key issues to be involved**

This implementation choice (3.1.2) has multiple aspects: it taps into the scope and the presentation of that scope, including its strictness. To map these differences out, three implementation choices are included: 1) the inclusion of constraints and targets, 2) the concreteness of the policy options, and 3) the openness to new ideas. To implement these choices, there is a gradation of possibilities for each of these. These gradations of implementation options are shown in Figures 4.2 - 4.4.

### Inclusion of constraints and targets

No constraints or targets   -   Either constraints or targets   -   Both constraints and targets

Figure 4.2: First goal-dependent implementation choice and its corresponding implementation options.

### Concreteness of policy options

Solely strategic, no properties   -   Mainly strategic, with properties   -   Mainly concrete, with properties   -   Realistic and concrete, with properties

Figure 4.3: Second goal-dependent implementation choice and its corresponding implementation options.

### Openness to new ideas

No room for new ideas   -   Room for new ideas   -   Encouragement for new ideas

Figure 4.4: Third goal-dependent implementation choice and its corresponding implementation options.

As shown in the figures, the inclusion of constraints and targets relates to the presence of lower and upper boundaries for participants when selecting policy options. The concreteness of policy options discusses the way in which options are presented to participants that have to express their preference between them. The concreteness ranges from concrete and realistic to strategic with no corresponding attributes. The openness to new ideas is included, which can range from non-existing to encouraging participants to come up with alternatives.

## When in the process and how to involve participants

This next implementation choice is twofold (3.1.3). At a minimum, participants should be involved during the consultation itself. Additionally, citizens can be involved before the consultation, after, or both. Distinguishing this, also shows whether participants are included in the processing of the outcomes (3.7.1). In order to distinguish between involving them before or after without assigning more value to one of those, the implementation options are placed in an oval shape, as shown in Figure 4.5.

### Involvement of citizens during the process

/   Before and during   \  
 During the consultation                      Before, during and after

\      During and after      /

Figure 4.5: Fourth goal-dependent implementation choice and its corresponding implementation options.

How the participants are involved before or after consultation, can be categorised in several ways. Because these two moments of involvement might differ from the consultation itself in the degree of interaction between possibly opposing interests and because this was judged to be important by literature (3.5.2), this is the implementation choice that is included. This goal-dependent implementation choice also covers the management of conflict (3.5.3), as this was discussed to coincide. The degree of interaction ranges from none to high, as defined by Beierle (1999), which is shown in Figure 4.6.

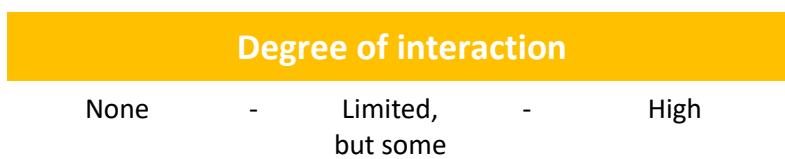


Figure 4.6: Fifth goal-dependent implementation choice and its corresponding implementation options.

### Timing

As stated in Section 3.1.4, the process of involving citizens into decision-making is by definition in the Policy Formation phase. However, within in this phase, some stages can be distinguished. One could say that this refers to the status of decision-making: is there already a proposal, is there the will for a proposal, but no content yet, or is the agenda for the topic just being set? Whether a participation process is set up when setting the agenda, or when a proposal already exists, is expected to influence the achievement of goals; for some goals it might be appropriate for the problem to be in a very open phase, while for others it might be better to involve citizens when the topic is more concrete. The implementation options are shown in Figure 4.7.



Figure 4.7: Sixth goal-dependent implementation choice and its corresponding implementation options.

### Representativeness and inclusiveness

The implementation choice for this topic is on whether to conduct the process via an open PVE, or a panel PVE. An advantage is that sometimes it is possible to do both. Since the open and the panel PVE

both have their advantages and drawbacks, there is no clear build-up in the gradations, and therefore they are shaped *like a triangle*, as shown in Figure 4.8.

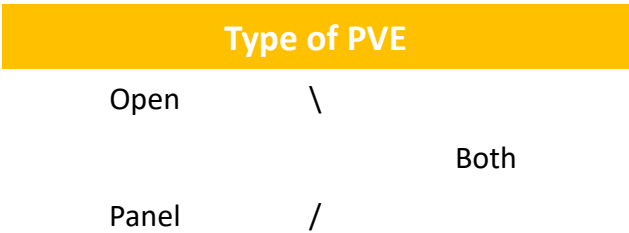


Figure 4.8: Seventh goal-dependent implementation choice and its corresponding implementation options.

### Involving management personnel

The involvement of management personnel might not seem to be the role of the facilitator; however, the facilitator can try to actively involve management, which might pay-off later on. At least, it is expected that involving management personnel contributes to the achievement of some goals, while it may be unnecessary for others. Therefore, this implementation choice is added to be goal-dependent. Figure 4.9 shows that their involvement ranges from none, to being involved in one phase of the process, to being involved in multiple phases.



Figure 4.9: Eighth goal-dependent implementation choice and its corresponding implementation options.

### Empowerment

In Section 3.6, multiple ranges were shown to define different levels of power. As Young's range focuses more on influence rather than formal power, this seems to fit the current status of Dutch democracy best. Additionally, it is expected to be most recognisable when discussing the design with the decision-maker that needs to make up one's mind on what role to give the participant in decision-making. The implementation options are shown in Figure 4.10. To repeat, top-down strategies could use participation as a communication tool from the decision maker to citizens, with no influence for citizens. The 'yes...but' strategy is a form of hear and be heard, in which citizens' arguments will not influence the decision-maker's decision. The limited dialogue is a strategy in which the decision-maker is in control, but is willing to let the decisions be influenced by the results of the participatory process. Lastly, the bottom-up strategy is considered to be a genuine way of co-deciding.



Figure 4.10: Ninth goal-dependent implementation choice and its corresponding implementation options.

### 4.2.3 Overview of the included implementation choices

The goal-dependent implementation choices are now determined and corresponding gradations of implementation options are set up. Some of these implementation choices partially overlap. The nine goal-dependent implementation choices are listed in Figure 4.11.

- Goal-dependent implementation choices**

  1. Inclusion of constraints and targets
  2. Concreteness of policy options
  3. Openness to new ideas
  4. Involvement of citizens during the process
  5. Degree of interaction
  6. Status of decision-making
  7. Type of PVE
  8. Involvement of management personnel
  9. Citizens' power

Figure 4.11: List of goal-dependent implementation choices.

To get an idea of how these selected goal-dependent choices impact the process, Figure 4.12 shows in which phases of the process they might incur a change. One could say that, for example, the choice for the type of PVE changes the outcomes of the PVE and therefore also the processing of it, but the processing can be done via the same steps independent of the type of PVE that is used. Following this reasoning, it is expected that the inclusion of constraints, concreteness of policy options, openness to new ideas and type of PVE have impact on the process in phase 4. The status of the problem should be considered in the issue articulation in phase 1. The involvement of citizens, the degree of interaction, and the involvement of management personnel, could have impact on how the process proceeds, but this depends on the selected implementation option. The power assigned to citizens is expected to reflect in all the stages of the process.

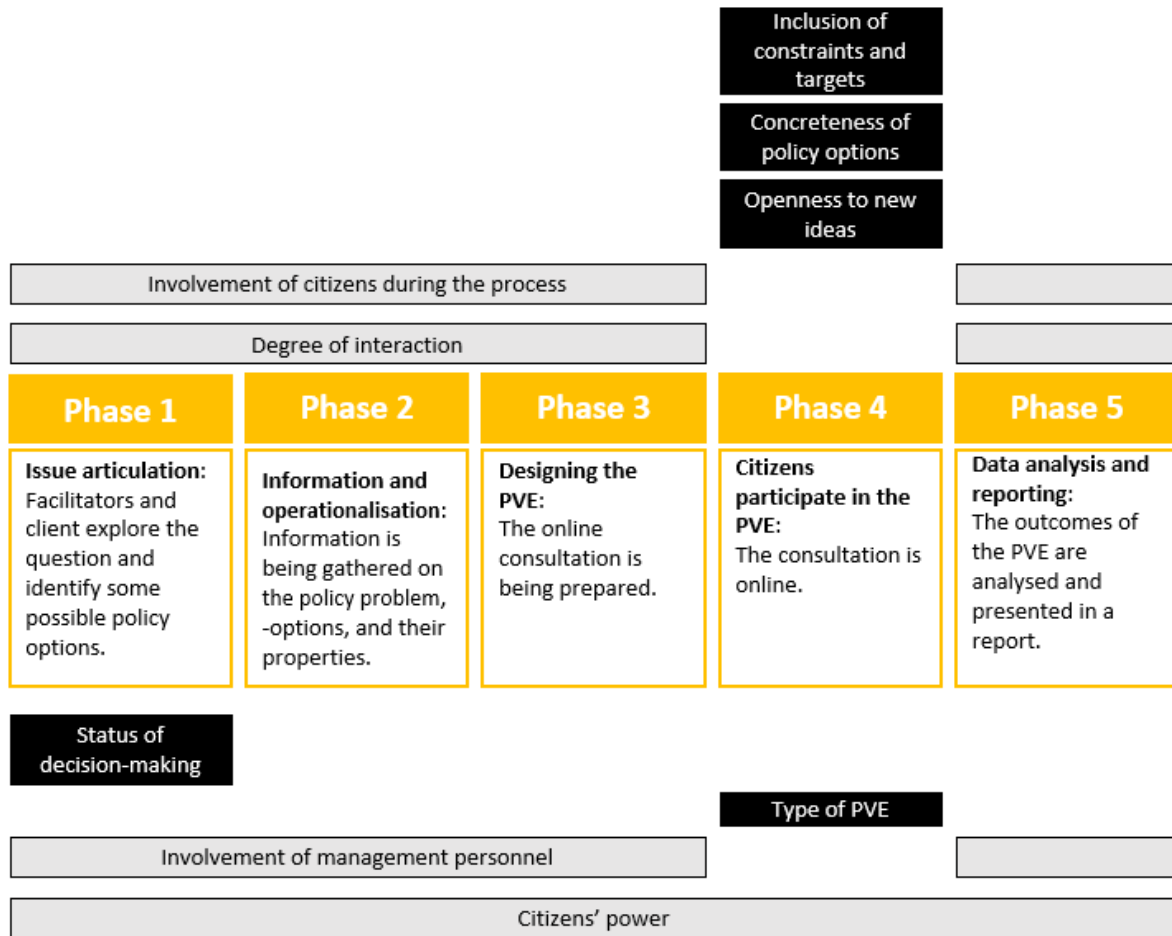


Figure 4.12: The selected implementation choices and how these influence (black) or might influence (grey) the process.

# 5

## **In-depth case study: the national climate consultation**

This chapter discusses the in-depth case study, that is the national climate consultation. The case is introduced in Section 5.1. Section 5.2 shows the application of the framework to the case. Lastly, Section 5.3 explores the experiences shared by participants at the end of the PVE.

### **5.1 Introducing the case**

To start with the urgency of the policy problem: Europe has recently tightened its climate targets (European Commission, 2020) and the need for that is underlined by the IPCC report of August, 2021. Before the release of the latter report, it was already clear that action was needed. The new Cabinet, for which elections have been held in March 2021, but for which formation discussions are still being held while this thesis is being written, has to decide which measures will be taken to reduce greenhouse gases. Members of the House of Representatives have previously indicated that they would like to involve the society at large in this process (Tweede Kamer, 2020). The chairman of the Climate Council, Ed Nijpels, made an appeal in September 2020 to give citizens a voice in shaping climate policy (Nijpels, 2020), and around the same time this topic was picked up by media channels (e.g., Mommers and Rovers, 2020) and by citizens via activists groups such as Extinction Rebellion (2020). In October, Mulder (2020) seemed to search for a way in order to realise the early involvement of citizens, by submitting a proposal for examining the possibilities of citizen panels.

In the interview with the involved PVE researcher, it was explained that the researchers saw this as a window of opportunity to apply the PVE method as a national climate consultation. They got in touch with Ed Nijpels and his spokesperson and offered to execute the consultation, financed by a Dutch Organisation for Scientific Research (NWO) fund. The Ministry of Economic Affairs and Climate Policy (EZK) agreed to this idea. After that, the process got a kick start in order to be online before the elections.

In the online climate consultation, participants were asked to give advice on the extent to which measures should be applied by the government in order to achieve the climate targets of 2030 (Mouter et al., 2021d). The consultation exists out of two parts. In the first part, ten selected measures to reduce greenhouse gases were presented to the participants, and these policy options were complemented with properties such as costs and the reduction they would realise. Participants could select the amount to which they thought the measure should be applied for each of them, while having a budgetary constraint and a reduction target.

While the first part asks citizens to share preferences within the boundaries set by the government, the second part of the consultation neglects these boundaries. Participants can choose to select no measures at all, or can add measures that they missed in the first part. The second part also gives room for sharing arguments and motivations.

Now that the initiation and some basic features of the consultation are clear, the next step is to apply the framework to this case.

## 5.2 Applying the framework

In this section, the framework set up in Chapter 4 is applied to the national climate consultation. The information used to do that is the report by Mouter et al. (2021d) and the insights from the interview with an involved researcher. To start with, the goals set-up by the decision-maker are discussed and categorised following the list of goals in Section 4.1. Subsequently, the implementation options chosen for the goal-dependent implementation choices, as established in Section 4.2.2, are discussed. The considered implementation choices that are now discussed one by one are: inclusion of constraints and targets, concreteness of policy options, openness to new ideas, involvement of citizens during the process, degree of interaction, status of decision-making, type of PVE, involvement of management personnel and citizens’ power. Lastly, it is concluded to what extent the goals are achieved. The section ends with a summary overview, that shows the characteristics of the case, the goals it aimed for and the extent to which those goals are achieved, as shown in the legend in Figure 5.1, complemented with the chosen implementation options.



Figure 5.1: Legend of the summary figure.



## Goals

According to the involved researcher, the goals formulated with the Ministry are the following:

- To involve citizens in a broad sense;
- To give citizens a possibility to express their preferences and values about the short-term climate goals.

The combination of these goals resemble Goal 2 of the list of goals composed in Section 4.1, as it focuses on involving the citizens who give their preferences.

## Selected implementation options

### **Status of decision-making**

According to the involved researcher, the timing of this process was based on the discussed window of opportunity due to the proposals in the House of Representatives wrote. Additionally, the Ministry considered it valuable to use the results of the consultation as input for the formation. As the outcomes would serve as input for policy-making around possible compositions of proposed measures, this process is judged to be in the status of *developing a proposal*.

### **Citizens' power**

The consultation was meant to involve the public in a broad way. The power they have can best be compared to a *limited dialogue*: the decision-maker is in the lead, but might change ideas based on the outcomes of the consultation. The outcomes were meant as input for the formation of the new government, and climate policy is still under discussion on this formation-table.

### **Involvement of citizens during the process**

This process was set up with great speed, with the aim of being online before the elections. No citizens were involved in the preparation or in the processing. They were only involved *during* the consultation.

### **Degree of interaction**

In the preparation and processing of the PVE, a limited number of people were involved. The degree of interaction is therefore judged to be *none*.

### **Type of PVE**

To ensure both inclusiveness and representativeness, there was an open PVE as well as a panel PVE: the process included *both*.

### **Inclusion of constraints and targets**

In this consultation, a part of it was closing down, and a part was opening up. The consultation started closing down, as the participants were asked to achieve a target in terms of CO<sub>2</sub> reduction by selecting

measures within a budgetary constraint of 15 million euros. This part helped in testing the support for the proposed measures (Mouter et al., 2021d).

The main partner was also interested in what ideas participants would come up with themselves. This asked for a more open approach, and therefore in the second part of the PVE participants had the possibility to share any other measures they perceived possible. There were thus *rigid constraints and targets* in part one, and *none* in part two.

### **Concreteness of options**

The included options were based on previous research by Studiegroep Invulling klimaatopgave Green Deal (2021), because this report includes elaborate information on potential climate measures. To keep the participation threshold low, only a limited number of measures can be included in the PVE. A selection of measures was made based on three selection criteria set up by the researchers: 1) Big contribution to the goal of reducing 55% emission, 2) Diversity in sectors (electricity, agriculture, industry, mobility, built environment) and 3) Diversity in type of measures (tax, standardisation, subsidy) (Mouter et al., 2021d). The information about the measures and their properties was discussed with several experts. The measures included were *mainly concrete, with properties*.

### **Openness to new ideas**

In the second part of the PVE, participants could share any measure they deemed suitable to solve the problem. Therefore it is concluded that there was *encouragement for new ideas*.

### **Involvement of management personnel**

Due to the speed with which this consultation was set up, the researchers went through the phases relatively quick. The Ministry was involved in phase 1, in which the issue was articulated, but apart from that the researchers acted independently. After the finishing of phase 5, the report was handed to Ed Nijpels on the 17<sup>th</sup> of June (TU Delft, n.d.), after which the results were explained in the House of Representatives (Vaste commissie voor Economische Zaken en Klimaat, 2021).

### **Achievement of goals**

The involved researcher explained that citizens were asked to participate within the boundaries of the policy makers so that it would produce relevant results for them. But he also said that it was undesirable to exclude people who had other ideas about the urgency of climate change. The latter is not fully achieved. In the second part of the consultation, there was room to participate 'out the box', but the researcher indicates that participants did not always experience this as such. The researcher indicated that this might have to do with the sequencing: for participants it might have helped to first indicate what they would recommend openly, then share preferences from a limited list.

Over 10,000 citizens participated in the national climate consultation. The final report focuses on values and conditions and thereby on what the common ground of citizens is (Mouter et al. 2021d). The researcher said that by doing this, the added value of the instrument is highlighted: a PVE is more than an opinion poll.

After participating, participants could hear about the outcomes in the news, as these were picked up by newspapers (Bijlo, 2021, Redactie Trouw, 2021, Timmer, 2021), a news platform (Ekker, 2021), a television show (Nieuwsuur, NOS NTR, 2021) and put on TU Delft's website (Webredactie communication, 2021).

### Summary of this case

To achieve goals similar to Goal 2 of the list in Section 4.1, this case used the implementation options as shown in Figure 5.2. This figure also shows the scale, the main partner and the funder of the case.

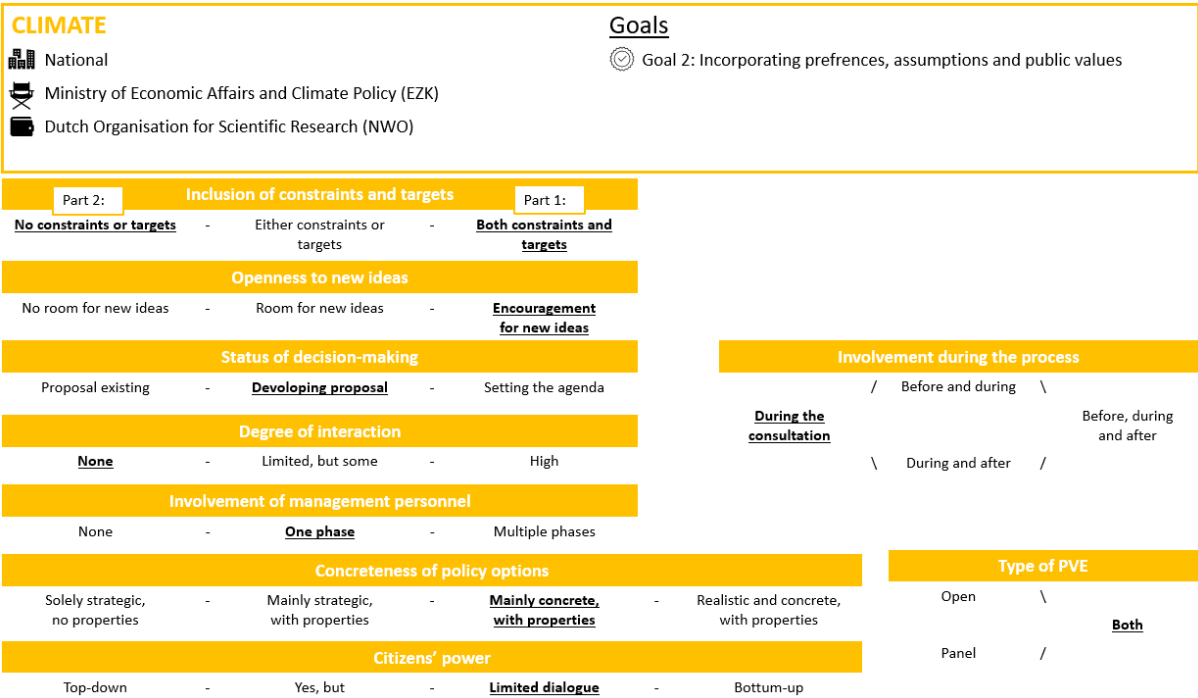


Figure 5.2: Characteristics, goals, their achievement and selected implementation options of the national climate consultation.

### 5.3 Analysing reported experiences

Now that the framework is applied, this section will discuss the other step of the in-depth case study, being the analysis on reported experiences by participants in the consultation.

As explained in Section 2.3.2, two datasets were available for this analysis: one of the open PVE that was available for anyone who was willing to participate, and one of the panel PVE, that was accessible to a select group of people only, selected by the aim of being represent for the whole population. To be able to compare the datasets, the representativeness based on demographic characteristics of both samples is discussed first. Then, the second subsection discusses the experiences of participants that they shared when answering a question on what they found positive on the consultation, and one on what they perceived to be negative. These answers include their reflections on the goals set up in Section 4.1, and the selected implementation options as discussed in Section 5.2. Analysing their responses gives a unique insight in how the participants perceived the set-up of the consultation and thereby adds to the main research question on the effects of the goal-dependent implementation choices. The insights from this chapter are complemented with insights from analysing eight comparative cases in Chapter 6. The combining of the insights can be found in Chapter 7.

### 5.3.1 Representativeness

Before going into the actual representativeness, it was interesting to see the differences in the amount that participants worried about this: 4% of the participants of the open PVE are explicitly worried about whether the outcome of the PVE will give a good representation of the country, while not even 1% of the participants mentions this concern in the panel PVE. The biggest concern in both types, although more in the open PVE, is that the PVE would not be suitable for the less educated. Next to that, in the open PVE participants share the concern that only people with a strong opinion would join. For the latter, the fear of including opinions of participants who are against taking measures for climate action is more present than the fear of including opinions of participants who think even more is needed to tackle the challenge of climate change.

To give some examples, here are some of the quotes that participants have filled in. These quotes have been translated from Dutch to English. The original quotes can be found in appendix A.

1. *[...] I am concerned about the very large group of Dutch people who are not being reached by this survey. Don't forget that I think more than half of our country may not be educated enough to understand what the questionnaire is about. [...]* – Panel
2. *Perhaps a certain group makes particular use of this method, especially the higher educated?*  
– Open
3. *I wonder whether you get a good picture of Dutch society with this. If within a certain online environment (say, *geenstijl*) it is encouraged to participate, you quickly get a distorted picture.*  
- Open

To check whether the concerns about representativeness are legitimate, demographic variables are used as a proxy to determine whether the samples are representative for the Dutch population. To compare the samples of the panel and open PVE with the population, the population's distribution of the variables

of interest should be known. The following demographic variables can be checked via comparing them to datasets of Statistics Netherlands (CBS) as shown in Table 5.1: gender, age, education level, and province of living. The variable preference for political party is compared to the outcome of the elections. This is not a pure comparison, as it was also an option that one was still in doubt on the decision, or a participant could have changed their mind between consultation and voting, etc. The outcomes of the elections do, however, give an indication to compare on. The demographic variables income, type of living area (village, small city, medium-sized city, big city), and employment status could not be checked as there was no suitable dataset available for this. The graphs of their distributions, however, are shown at the end of this section as well, to show the differences between the two datasets.

Demographic characteristic	Dataset CBS
Gender	Population on January 1 and average; gender, age, and region
Age	Population on January 1 and average; gender, age, and region
Educational level	Population; education level; gender, age, and migration background
Province of living	Population on January 1 and average; gender, age, and region

Table 5.1: CBS datasets used to determine population distributions

Figure 5.3 shows that the distribution of age among the two samples is a bit off: the 75+ group is underrepresented in both samples, while in the panel mostly the youngest group is overrepresented, and the 45-54 group in the open PVE. Figure 5.4 shows that the distribution of province of living of the two samples, however, resemble the distribution of the population quite well.

In Figure 5.5 it is shown that the distribution of gender mimics the population well, while in the open PVE, men are overrepresented. The gender option *Other* is not included in the CBS datasets.

When investigating the education level of the participants, it turns out that, especially in the open PVE, less educated people were underrepresented. In Figure 5.6 the distribution of education level<sup>1</sup> in both the PVEs and the population are shown. The distribution for the population in this graph is based on data on people from 15 to 75 years old, since that is how Statistics Netherlands (CBS) categorises. In the open PVE the highest two education levels are over-represented, while the other three levels are under-represented, while in the panel PVE the representation of the three highest levels resembled the education level of the distribution quite well, and the other two did combined, but within the two, the less educated are under-represented.

<sup>1</sup> It was decided to use the Dutch terms, as the levels of the Dutch school system cannot be translated literally.

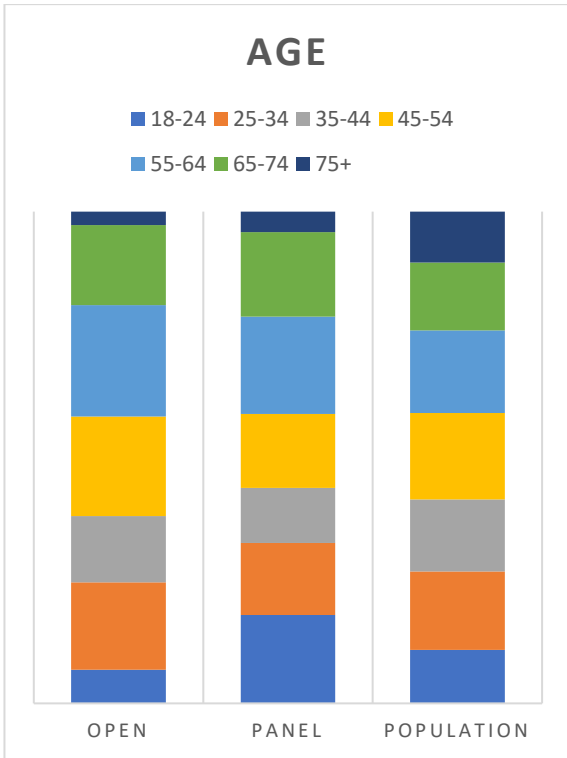


Figure 5.3: Distribution of Age for the open PVE, panel PVE and the population (based on CBS data).

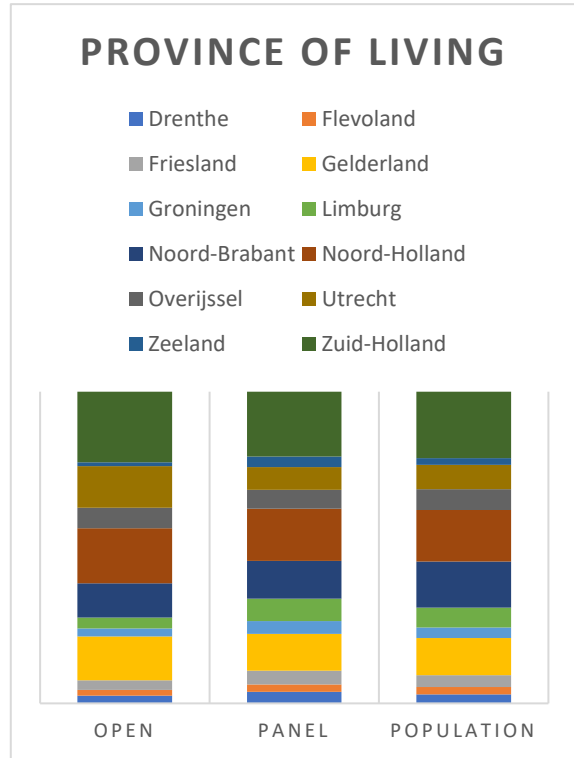


Figure 5.4: Distribution of Province of Living for the open PVE, panel PVE and the population (based on CBS data).

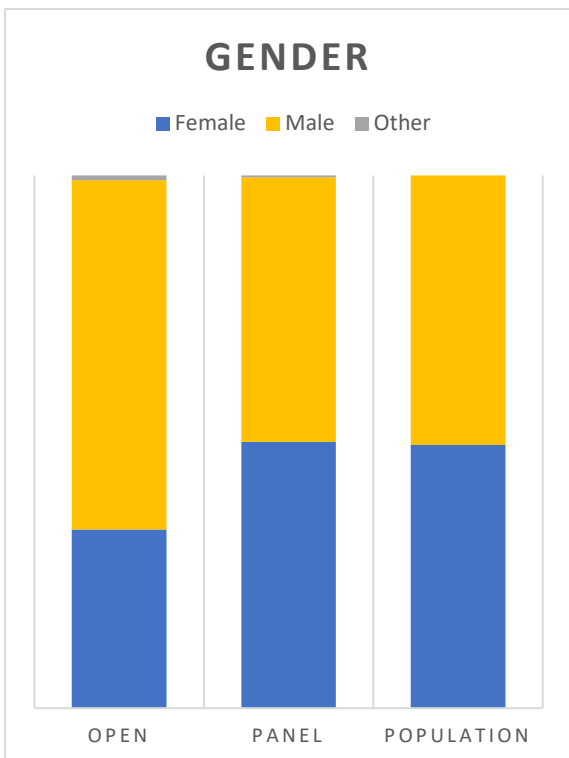


Figure 5.5: Distribution of Gender for the open PVE, panel PVE and the population (based on CBS data).

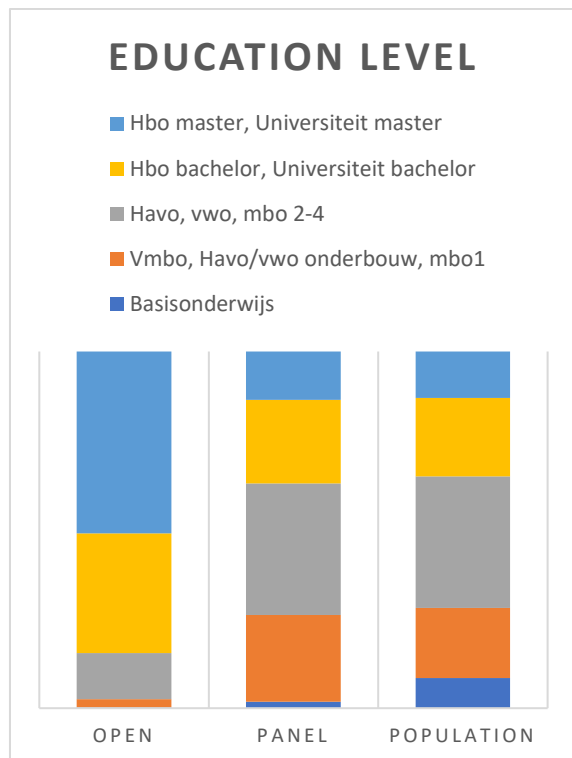


Figure 5.6: Distribution of Education Level for the open PVE, panel PVE and the population (based on CBS data).

When it comes to political preferences, researchers used the information on the political party a participant was planning to vote for or voted for to give an overview of which measures supporters of a certain party recommended and disapproved (Mouter et al., 2021d). The reported political preference gives an indication of whether one is in favour of or against climate action, even more since these elections were said to be crucial for tackling climate change (van Zoelen, 2021, Milieudefensie, 2021). The responses of the participants are compared to the results of the elections (Kiesraad, 2021). Figures 5.7a – 5.7c. show that the concern for the open PVE that citizens with strong opinions are more likely to participate might be justified, but in particular for citizens that are explicitly pro-action; GroenLinks and Partij voor de Dieren, two parties that are focusing on taking measures against climate change, are both over-represented. In the panel PVE these two parties are over-represented as well, but D66, which is also ambitious on taking measures (Markus, 2021), is under-represented. In the figures, the political parties are clustered to give an easier overview. This clustering is as follows: the left wing/progressive parties are DENK, GL, PvdA, PvdD and SP (blue in the figures), the centre parties are 50Plus, CDA, CU and D66 (orange in the figures), the right/conservative parties are FvD, JA21, PVV, SGP and VVD (grey in the figures) and lastly participants could fill in to vote for 'another party' (yellow in the figures).

The participants in the open PVE being more in favour of climate measures fits with the outcomes of the latent class cluster analysis by Mouter et al. (p. 11):

- 6% of the participants of the panel PVE was in favour of ambitious climate measures against 11% of the participants of the open PVE;
- 19% of the participants of the panel PVE expresses the opinion that the Dutch government should not do more to combat climate change against 11% in the open PVE;
- 23% of the participants of the panel PVE reports to doubt the urgency of climate change, against 9% in the open PVE.

Even though no claims on representation can be made based upon the characteristics for which no comparative dataset is available – type of living area, monthly household income and employment status – their distributions within the two samples are shown in Figures 5.8-5.10 to show the differences between the two samples.

In conclusion, it could be said that the biggest differences within the characteristics that can be linked to representation are on the characteristics education and political preferences: higher-educated people were overrepresented in the open PVE and less-educated were underrepresented. From political preferences, it could be seen that citizens with a positive interest in climate measures were over-represented in the open PVE.

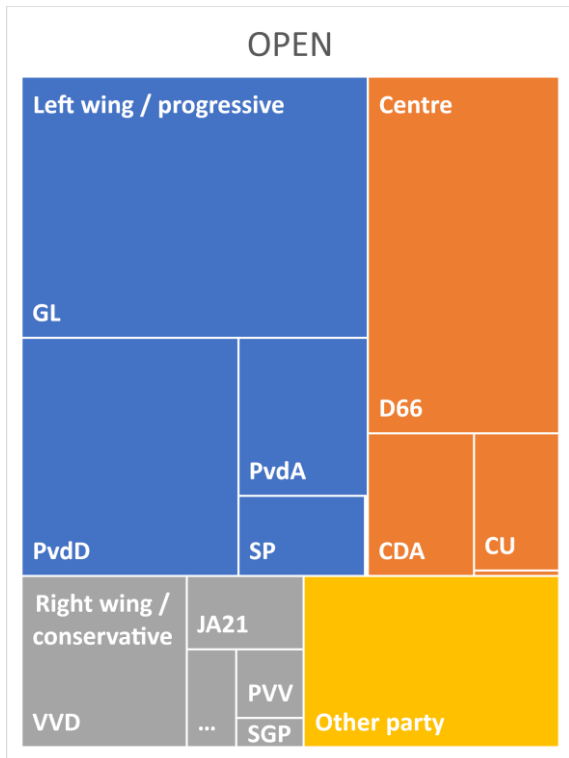


Figure 5.7a: Distribution of political preferences for the open PVE.

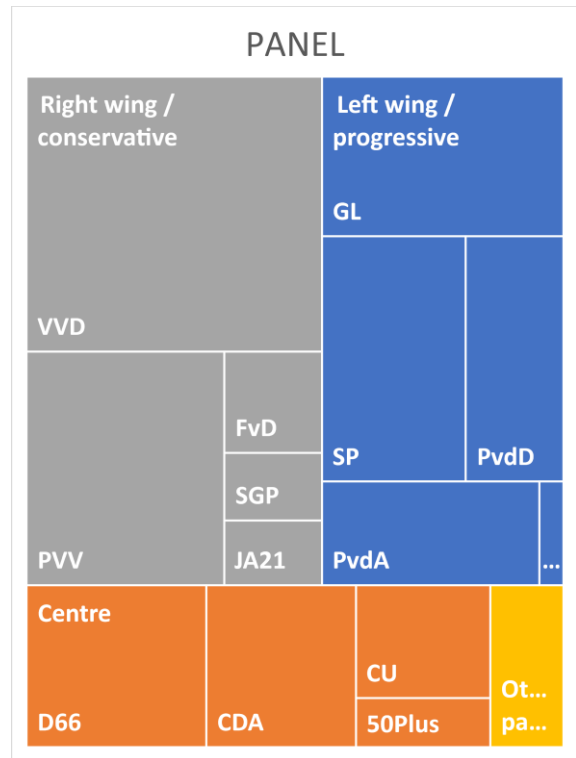


Figure 5.7b: Distribution of political preferences for the panel PVE.

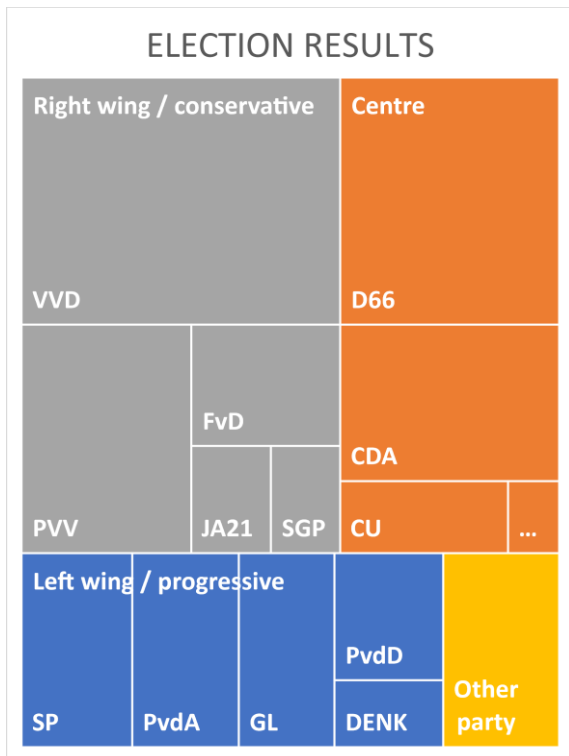


Figure 5.7c: Distribution of election results.



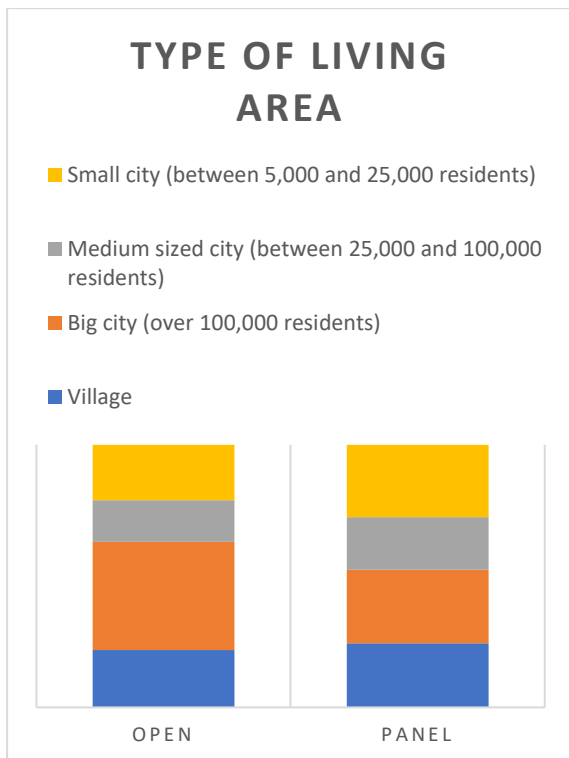


Figure 5.8: Distribution of Type of living area for the open PVE and the panel PVE.

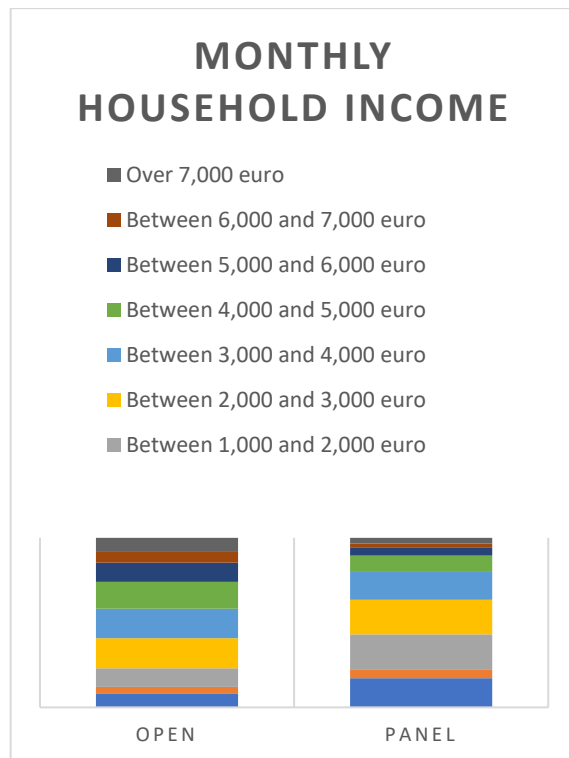


Figure 5.9: Distribution of Monthly household income for the open PVE and the panel PVE.

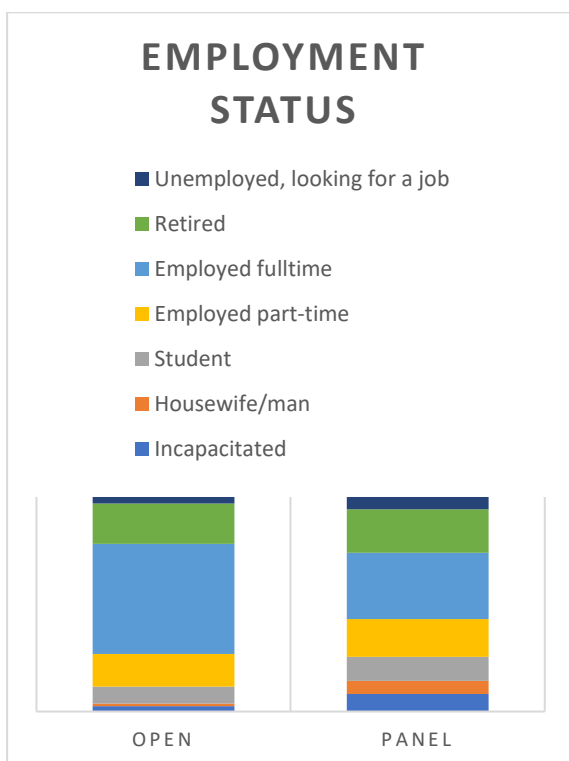


Figure 5.10: Distribution of Employment status for the open PVE and the panel PVE.

### 5.3.2 Reflections on goals and included implementation options

Towards the end of the consultation, participants were asked to share what they had experienced as positive and what as negative about the consultation. In this section, their reflections on goals and implementation choices are discussed. Due to the differences in demographic characteristics between the open and the panel PVE, the findings in the datasets are discussed separately.

#### Reflections on goals

In the written answers of participants, reflections on the possible goals are found. These are discussed per goal.

##### Goal 1: Informing and educating

The first issue that is searched in the data are reported experiences on education and learning, as this is one of the established goals in the framework. In the open PVE 8.5% of the participants reported to have learnt from the PVE or to have the expectation that others will learn, while in the panel PVE 11.7% of the participants reported this. Some quotes of participants on this topic:

1. *It makes me smarter and I start thinking differently.* – Panel
2. *Everything was well explained and you gained extra knowledge, which is actually quite important.* – Panel
3. *Fun way to gain more knowledge.* – Open
4. *[...] Also, I thought I was reasonably informed about the different policies, but I learned a lot of new things about how big or small the impact of some of the policies is. I had expected much more impact from offshore wind, and much less from a meat tax, for example. This might even change how I vote on the 17th.* – Open

The difference in demographic characteristics of the participants of both samples might explain the difference in how much is learned. In the open PVE, the highly educated were over-represented, as well as people who are likely to be positive about taking measures based on their political preferences. Therefore more of those participants might already be aware of the information that the PVE provided.

##### Goal 2: Incorporating preferences, assumptions and public values

For this goal, it is investigated whether participants have the idea that their preferences will be heard and/or incorporated. 15.7% of the participants of the panel PVE explicitly mention that they feel involved in the decision-making, while this percentage is 9.4% for the open PVE. Some quotes that illustrative quotes:

5. *That opinions really count. Not just those of the lobbying clique and exiled PvdA members.* – Panel

6. *That the opinion of the citizens is being asked for and that it will also count in the decision-making process.* – Panel
7. *That you can actually speak out about what you consider important. What does and does not work in society. Support is very important. We have to do it together. Not just imposing the choice of the government. This method is good at indicating what choice citizens would make. Keep it up!* – Open
8. *[...] It gives you the idea that your opinion counts and is taken into account. (The influence is very small, of course, but still.....the idea that you matter is nice).* – Open

Within the statements on feeling involved in the decision-making, there are different interpretations of the amount with which their preferences will be incorporated. This range varies from participants reporting appreciation for having influence on the decisions, to participants valuing having the possibility to share one's opinion. The following quotes illustrate the difference. The range goes from:

9. *You can influence what the government does.* – Panel
10. *That the citizen can also participate in decision-making* - Open

to:

11. *I am allowed to give my opinion.* - Panel
12. *Clear method where everyone can express his/her views (NL: ei kwijt kunnen).* – Open

And some participants do not feel like their participation will add anything at all:

13. *It is also somewhat implausible that the government would take my advice into account in their decisions. I do not have that confidence.* – Panel

*It always remains to be seen whether politicians take this kind of advice on board.* – Open

### **Goal 3: Increasing the substantive quality of decisions**

This third goal resembles the second goal, but with the substantial rationale. Two quotes that present the substantive rationale:

14. *Citizens themselves know what is feasible for the normal working world, not men in suits who express their opinions and earn their money from it.* – Panel
15. *I believe that citizens collectively have enough knowledge to make a good decision.* - Open

### **Goal 4: Improving or fostering relationships between involved parties**

The most reported aspect in line with this goal is the understanding of government(s dilemmas). Gaining an improved understanding of government(s dilemmas) is mentioned by 2% of the participants of the panel PVE, and 5% of the participants of the open PVE. Hereby some illustrative quotes:

16. *You have certainly given me an insight as to why the government sometimes has to resort to fierce action. Thank you for this insight.* – Panel

17. *That you see the dilemmas with which the government has to contend: you can try as hard as you like to economise, but you can only spend your money once. What compromises do you make in order to live as environmentally-friendly as possible as a country but that it is also affordable for the government and that the citizens and/or entrepreneurs/industry also accept it and can act in an economically viable way? – Panel*
18. *It may give people more insight into the dilemmas the government faces when making decisions. – Open*
19. *It gives a good picture of how difficult the considerations can be to make a sensible choice and that you always disappoint a group with your choice. – Open*

A bigger part of the participants of the open PVE reported to have gained understanding of government(s) dilemmas). It could be that these participants are more aware of the decision making procedure as they participated via self-selection.

## Reflections on implementation options

In this part, the reflections on the used implementation options are discussed.

### Inclusion of constraints and targets

Some participants report positively about the inclusion of the constraint and target in the first part of the PVE. They view it as a source of information, a way to ensure realistic outcomes, or a stimulation to think:

20. *The insight into the effects of the various measures but especially the frameworks. These are often not clear to citizens. Measures are often discussed without a framework and coherence.- Open*
21. *The advice must be given within the frameworks of budget and time, so that a realistic outcome can be expected. – Open*
22. *You have to think seriously and weigh things up and consider the consequences of certain choices. Very informative. – Panel*

However, others view the inclusion as negative, as they perceived it as confusing or as pointing them in a predetermined direction:

23. *I felt that I had to make my choice fairly based on the "thermometer" and the outstanding millions to be spent. There was not so much room to get closer to a 175 million still to be spent budget. I get confused by that! – Panel*
24. *Since you had to come up with 27 megatons less of emissions, I had to change my initial choice and adjust it – Panel*

25. *The advice almost forces you to turn on measures you do not want. Other measures, such as nuclear energy, are missing.* - Open

### **Concreteness of policy options and openness to new ideas**

The concreteness of the options and their properties was perceived positively, as they provide information:

26. *I liked the fact that each measure was not only briefly summarised in terms of what is already being done and what more could be done, but also in terms of what the consequences of the measure might be. This ensures that you think carefully about what the extra consequences of the measures are. For me, it also emphasised how complex the subject is in the field of combating the greenhouse effect.* – Panel

27. *It provides clarity on how much (or how little) each measure will achieve and how many measures are still needed to reach the targets.* – Open

Despite the benefit of serving as a source of information, scoped options also lead to the clear exclusion of topics; several participants indicated to have received too few policy options to choose from. 3.5% of the participants of the panel PVE and 4.8% of the participants of the open PVE reported such a statement, for example in the following illustrative quotes:

5. *The number of possible measures. I was only presented with what the government had thought up anyway. That gives a somewhat coloured picture.* – Panel

1. *Because of the framing of the options (where e.g. initial nuclear energy is emphatically absent), in my opinion, there is too much focus on the outcome. This smells like whitewashing of policy decisions already taken (in secret). Unfortunately, this fits the pattern of government in the 21st century.* – Open

There are, however, participants who shared to view the amount of options insufficient, but also shared their positive thoughts on the possibility to share one's own ideas. This indicates that this encouragement for own ideas might counter the limited amount of included options.

2. *Contributing your own ideas.* – Panel

3. *Room for own ideas in the end.* - Open

The room to share one's ideas came after the question in which participants were asked to share their preferences within the target and the constraint. There is an indication that this order matters. A participant reported, for example, to appreciate the inclusion of more measures in a later stage, but judged the first part as unpleasant due to the boundaries:

4. *The useful measures were not in Exercise 2, but only came in Exercise 3. This made exercise 2 the creation of the cheapest short-sighted embarrassment within the set financial frameworks, without changing much about the fundamental problem. – Open*

### **Citizens' power**

Based on the different interpretations of their influence, as discussed before for Goal 2, one could say there is something to be won in the communication of citizens' power.

However, some participants doubt whether this goal is appropriate, and think that citizens should have less power, as they would not have sufficient knowledge:

5. *To really give an opinion, you have to have more knowledge on the subject. I don't think the average Dutch person has that! – Panel*
6. *The background to climate change is largely assumed to be known. Not everyone watches the NOS infomercials or reads climate-related newspaper articles or books. The average citizen is naturally inclined to take the standpoint of 'better for the world, but not on my account' - voluntarily limiting freedom of choice or prosperity is a taboo to be broken. In my opinion, we could work towards this. – Open*

These participants doubt the goal of the participation itself and whether it is appropriate for citizens to have a say on this topic. This opinion belongs to only a small group: when explicitly asked, 6% of the participants think that the government should only listen to experts, while 91% think that the government should consider both the advice of citizens and experts, and 3% even think that the government should only look at advice from citizens and ignore advice from experts (Mouter et al., 2021d).

### **Type of PVE**

As stated in Section 5.3.1 on representativeness, the participants in the open PVE are, and rightly so, more concerned about representativeness. Additionally, they state that the open PVE might not reach the *ordinary/neutral* citizen:

7. *These kinds of questionnaires never end up with the ordinary citizen. – Open*
8. *I think that mainly people who have a strong opinion on climate policy (very much for or against) will participate and that the more 'neutral' Dutchman will be heard less.- Open*

### **Other implementation options**

There were no reflections found on the other implementation options. This is not surprising, as participants are not aware of implementation choices in other stages of the process.

### 5.3.3 Conclusion

To start with the differences between the two datasets: on the first goal, informing and educating, a bigger percentage of participants of the panel PVE reported to have learnt than of the open PVE. This can plausibly be explained by two factors: 1) in Section 5.3.1 it was found that the participants had a higher education level than the participants of the panel PVE and might thus have learnt less, 2) in the same section, it was shown that the participants of the open PVE were more in favour of climate action, and it is therefore more plausible that they had more preliminary knowledge and have learnt less. On the second and third goal, incorporating of public values and preferences and improving the substantive quality of decision making respectively, a bigger percentage of participants of the panel PVE reported to feel involved than of the open PVE. This might be due to the self-selection in the open PVE: these participants have actively chosen to be involved without any form of reimbursement, and might therefore be less likely to explicitly mention this, whereas the participants of the panel PVE have probably joined like they did in many other surveys, and did explicitly feel involved in this topic. On the improvement or fostering of relationships, more participants of the open PVE reported to have gained understanding of the government(s) dilemmas. It is expected that this is also due to the self-selection that happens in the open PVE, which makes participants more aware of their role in the governmental process.

When it comes to the reflections on the selected implementation options, it was seen that there are advantages and disadvantages of the used implementation options; some participants interpret an option as positive, while others negatively reflect on it. To start with the inclusion of the constraint and the target, participants reflect positively on the inclusion of them in the sense that they are sources of information, they stimulate participants to think due to the trade-offs they create and they thereby also give more insight in the dilemma's government faces. However, some participants reflect negatively on the target and constraint, because they feel that it sends them in a predetermined direction.

Policy options being mainly concrete are also perceived as sources of information. However, the options having a concrete scope also emphasises what is out of the scope of those options. Several participants have reported the proposed options were too few. The openness to new ideas in the second part countered this for some of the participants.

The degree of power assigned to citizens was the same for all participants, but it was perceived in various ways. This underlines the importance of clarifying the influence that participants will have and how the outcomes of the consultation will be handled.

The experiences of participants are combined with the insights from other cases that are discussed in Chapter 6, after which in Chapter 7 it is discussed what the right balance is for the implementation options per goal.





# 6

## Describing comparative cases

In this chapter, the fourth sub-question is answered: what goals were pursued in other previous applications of the PVE method, what goal-dependent implementation choices were made in attempt to achieve them and to what extent were the goals achieved? These other previous applications of the method serve as comparative cases to complement the insights based on the national climate consultation. The insight of both the in-depth case study and of these cases are combined into Chapter 7 which compares the insights per goal, after which the main research question can be answered.

As discussed more elaborately in Section 2.4., eight cases are selected as comparative cases, which are diverse in scale and topic. The selected cases are:

1. Future energy policy of the municipality of Súdwest-Fryslân
2. Future energy policy of the region Foodvalley
3. Thermal Energy Transition Vision for the municipality of Utrecht
4. Relaxation of Covid-19 measures
5. Thermal Energy Transition Vision for the neighbourhood Nieuw Sloten, Amsterdam
6. Medical fitness to drive
7. Infilling of the public space of the neighbourhood Tarwewijk, Rotterdam
8. Renewing the heat supply in a neighbourhood

The first five cases have recently been finished, the sixth and seventh case are ongoing and the eighth one is recently prematurely terminated.

In order to study the cases, several sources were consulted, among which reports written on the finished consultations, scientific papers on them and the semi-structured interviews. Table 2.2 on page 16 gives an overview of all the sources, and they are mentioned per case in the text as well.

For each case, to start with, the policy problem at hand and the situation in which the process is set up are introduced. Then the goals that the process was aiming at are introduced and these goals are categorised via the list of goals established in Section 4.1 to be able to compare the cases per goal later

on. Following that, the goal-dependent implementation choices in the process are examined, that were established in Section 4.2. The examined implementation choices are: inclusion of constraints and targets, concreteness of options, openness to new ideas, involvement of citizens during the process, degree of interaction, status of decision-making, type of PVE (open or panel), involvement of management personnel and citizens' power. To conclude with, it is discussed whether the goals are achieved. Like the national climate consultation in Section 5.2, the description of each case ends with a summary picture that shows the characteristics of the case, the goals it aimed for and whether these are considered to be achieved, complemented with the chosen implementation options.

To appreciate the storyline and avoid repetition, the order of discussing the implementation options may change per case.

## **6.1 Future energy policy of the municipality of Súdwest-Fryslân**

It is an aim of the Netherlands to generate about half of its energy in a sustainable way by 2030, as laid down in the climate agreement. Every municipality has to do its part in this transition, and so does the municipality of Súdwest-Fryslân. Therefore this municipality wants to come up with a plan on how to generate part of its own energy use from renewable sources by 2030.

After having a period with several conflicts and activists who stopped talking to the municipality, the latter felt the need to turn this around. To stop the mutual frustration, they wanted to make a big gesture and to show that they really did care about what citizens think. The municipality discussed with the Dutch Platform for Civic Participation (NPBO) and the company Public Mediation how to change the approach of their citizen participation. This is where the this process started, with the consultation itself as part of a bigger process of five steps.

### **Goals**

According to the involved researcher, there were two main goals. The first was the main goal of the consultation itself (Spruit and Mouter, 2020), and the second was the goal of the overall process:

- To learn from the participants about their values and preferences;
- To open up a constructive conversation.

The first goal is a resembles a lighter form of Goal 2 of the list composed in Section 4.1, as it focuses on identifying the preferences and values. The second goal aligns with Goal 4, improving the relationships.

## Selected implementation options

### **Involvement of citizens during the process**

The citizens were involved before the consultation in the *Hackathon*. 45 citizens, that were chosen randomly, were invited to join this Hackathon to come and think about possible scenarios for the future energy policy in the municipality. The eventual options that were included in the PVE were the options that were determined in this Hackathon.

After researchers processed the data from the consultation, the outcomes were interpreted by a citizen's forum. This forum existed out of participants of the consultation that voluntarily applied to join the forum. Five guiding principles were drawn up, such as maintaining happiness and helping citizens to cooperate (Populytics and TU Delft's PWE-lab, 2021). The citizens were in the lead to formulate these principles.

The outcomes of the PVE combined with the advice from the citizen's forum were presented in a council meeting. Citizens were thus involved *before, during and after the consultation*.

### **Degree of interaction**

In the Hackathon, participants were randomly chosen, which could have led to opposing views participating. For the citizens' forum, participants could apply after participating in the consultation. The involved researcher said that this led to a group of people that were mostly already interested in the topic. She said, however, that participants of the forum were able to put themselves in the position of others; for example, there was an older woman who stood up for the interests of young people. The degree of interaction is judged to be *high*.

### **Citizens' power**

As explained in the subsection on the involvement, citizens were involved in shaping the policy options that were included in the consultation, as well as in the interpretation of the outcomes by a citizens' forum.

The council, mayor and Alderman have embraced the outcomes and the principles that were presented. They were committed to the process, to which their early involvement, due to discussing the constraints with them, contributed. It was noted by the researchers that during the process the organisation opened up. They dared to be transparent about their considerations, they started to participate in the set-up of the consultation more and more and increasingly wondered what questions to ask their residents.

A citizen said that he read in the newspaper that the Alderman stated that a certain measure may not be taken at *the expense of the citizens' happiness*; a principle that was literally copied from the citizens' advice. As this advice is on a strategic level though, concrete measures do not follow from this process. This could be said to limit the power of citizens as they cannot directly advice one concrete direction that the municipality will follow up on. However, when it comes to decision-making on the vision part, it could be said that this process was held following a *bottom-up* strategy.

### **Type of PVE**

The participants were recruited via, among others, local newspaper reports, social media and a letter to 10.000 households (Spruit and Mouter, 2020). The municipality was a good partner in the recruiting, as it is beneficial when the main partner knows how to reach people. In this case, the involved researcher explained that it also helped that this municipality takes pride in the Frisian nationality, which has a great social soil for participation. There is a will to do it together and an invitation to participation is seen as an invitation to do that. One of the citizens confirmed this in a webinar (Populytics and TU Delft's PVE-lab, 2021). This part of the PVE was *open*

To ensure representativity, a panel agency also recruited a *panel* to participate. By having *both* an open and a panel PVE, there is no trade-off between inclusiveness and representativeness (although weight adjustment was still necessary).

Eventually, 1376 citizens shared their preferences by the use of this tool, which are 1.8\% of the residents of Súdwest-Fryslân that are 14 years old and above. This was the highest percentage that was reached for a participation with the PVE method thus far.

### **Status of decision-making**

At time of the start of the process, there was conflict. The involved researcher said that there were action groups that did not want to join the conversation with the municipality anymore. The municipality has communicated that action had to be taken with regard to the thermal energy transition, but citizens protested against the proposals they picked up and a coherent vision was not formulated yet. This process served as input into this vision and one could thus say that the process took place in the status of decision making when the focus was on *setting the agenda*.

### **Inclusion of constraints and targets**

It was discussed with the Alderman, the mayor and some municipal councillors whether to include constraints and targets. They decided not to include many restrictions, as they wanted to learn from the participants widely. It was thus chosen that there were no targets such as a minimum reduction in CO<sub>2</sub>

emissions, but participants could divide 100 points over the six included policy options to represent their preferences. For this PVE, there were thus *no constraints or targets*.

### **Involvement of management personnel**

By involving the Alderman, mayor and some municipal councillors in the discussion on the boundaries to present to citizens, they were involved from the start. The involved researcher explained that during the process, the organisation opened up; they were increasingly stepping into the process. By doing this, they joined thinking along in other phases than just the start: for example, they were thinking what they would like to ask in the PVE and asked for more information when the results came out. The involved researcher said the Alderman felt ownership over the process, and he was proud of the project.

The management personnel was thus involved in *multiple phases*.

### **Concreteness of options**

The policy options concluded were not concrete, but were meant to provoke reactions. They were thus *solely strategic, no properties*. Next to dividing points to show preferences, participants could also share whether they were concerned about (one or a multiple of) the options. Both preferences and concerns could be motivated in written answers to the open questions. From these, preferences, concerns, but also values could be obtained. These were eventually presented in value cards (Spruit and Mouter, 2020).

### **Openness to new ideas**

As this consultation was taking place in an early stage of the decision-making, it could be designed in an opening-up way. As stated, the options were included to provoke responses and there were questions included to report concerns. By doing this, the consultation was automatically open to new ideas. Explicitly it included questions such as: How could this option be adjusted to work for you. This consultation is therefore concluded to have *encouragement for new ideas*.

### **Achievement of goals**

The high percentage of the citizens participating and giving input on their preferences, concerns and values in the PVE that a subset of them helped setting up (Spruit and Mouter, 2020) leads to the conclusion that the goal of identifying the values and preferences of participants is achieved. This goal was said to be a lighter form of Goal 2. In the process, it could be said that the process went beyond that and even Goal 2 itself is achieved: the council, mayor and Alderman have embraced the outcomes and the principles that were presented. A citizen said that he read in the newspaper that the Alderman stated that a certain measure may not be taken at *the expense of the citizens' happiness*; a principle that was literally copied from the citizens' advice. This illustrates that the decision-makers value the advice and incorporated it into their decisions.

The second goal, opening up the conversation is also achieved. One of the citizens who were part in the citizens' forum reported that activists joined the conversation again (Populytics and TU Delft's PWE-lab, 2021).

## Summary of this case

With the aim to achieve goals similar to a lighter form of Goal 2, and Goal 4 of the list in Section 4.1, this case used the implementation options as stated in Figure 6.1. This figure also shows the scale, the main partner and the funder of the case.

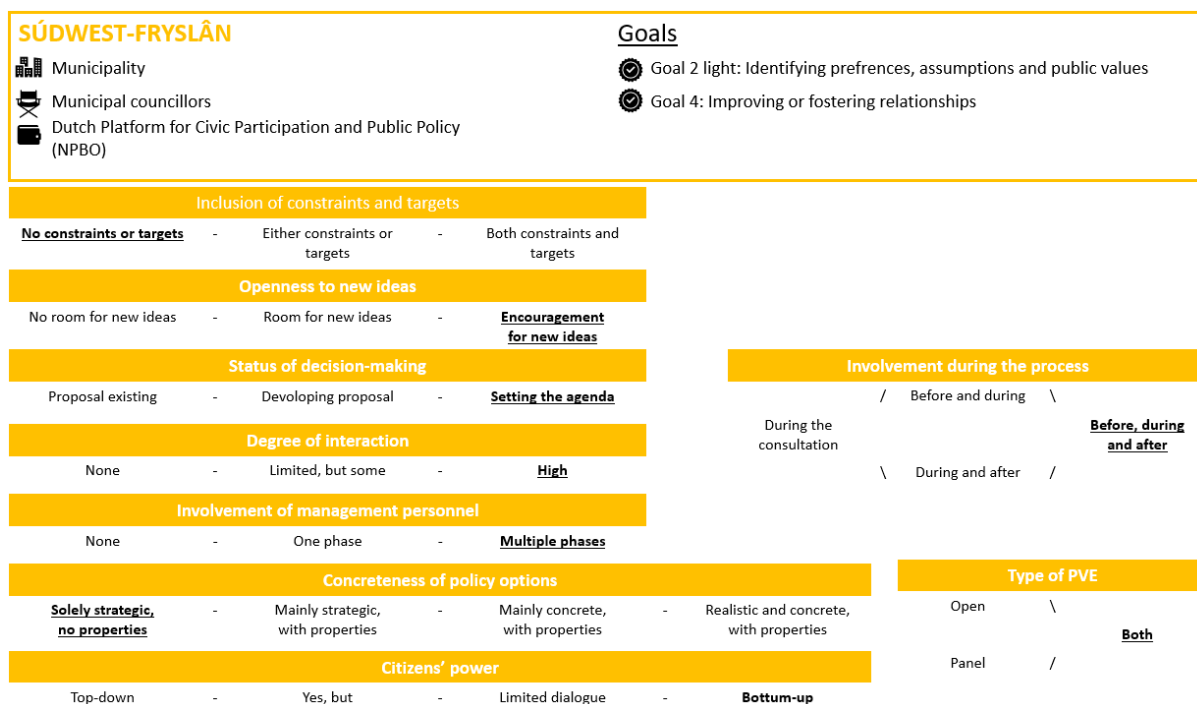


Figure 6.1: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on the future energy policy of the municipality of Súdwest-Fryslân.

## 6.2 Future energy policy of the region Foodvalley

The topic of this process is the future energy policy of the region Foodvalley. This policy eventually turns into a regional energy strategy (RES)<sup>2</sup>. In a RES the energy-region describes its own choices on how to halve its CO<sub>2</sub> emissions by 2030. The RES includes where and how to generate sustainable electricity on land by using wind and solar power, which heat sources can be used such that neighbourhoods and buildings do not need natural gas anymore, whether the plans are socially acceptable and financially feasible, etc. The involved researcher explained that the decision-making on a RES is usually done not only by the municipalities, but by a collaboration of municipality's

<sup>2</sup> www.regionale-energiestrategie.nl

representatives and local stakeholders. In the region Foodvalley, a participation process was initiated to involve citizens in the subject. The process was a collaboration of the region, the Dutch Platform for Civic Participation (NPBO), Public Mediation and Populytics.

## Goals

The goal of the consultation itself is the first of the two following goals (Spruit and Mouter, 2021). The second goal is the goal for the broader process, formulated by the involved researcher.

- To identify public values and preferences;
- To improve the relationships between the municipalities and local stakeholders, being representatives, local entrepreneurs, organisations such as energy cooperatives, and inhabitants of the region.

The first of these goals is a lighter form of Goal 2 of the list of goals composed in Section 4.1. The second goal resembles Goal 4 of this list.

## Selected implementation options

### **Status of decision-making**

This participatory process was early in the composition process of the RES. It served as input for the strategy, and therefore it could be said this process took place in the stage of *setting the agenda*.

### **Involvement of management personnel**

It was challenging to the researchers to start this process, as all eight involved municipalities had to be convinced separately. One of the municipalities did not feel the need to join the process and did not want to pay. Their main problem was that there was political uproar because of an initiative for a wind park that citizens were poorly informed about. They did not see how this could be combined with the PVE. This last municipality was eventually won over by including local questions for them to intervene the processes. There was thus involvement in *multiple phases*.

### **Involvement of citizens during the process**

This consultation process started with online Hackathons in which 23 stakeholders were involved to think about scenarios that would be interesting to propose to the participants (Spruit and Mouter, 2021). Citizens participated during the consultation, and additionally a group of 20 of them took place in the follow-up citizen's forum. For this forum, citizens were selected with the aim to get a proper representation on gender, age, education, etc. (Rietveld, 2020a). This group was in place to translate the outcomes of the consultation to advise the parties developing the RES. Citizens were thus involved *during and after* the consultation.

When it came to the citizens' forum, the citizens were in the lead. They had the opportunity to ask questions, and they had a say in the information provision they thought was suitable to base their advice on. The involved researcher explained that some citizens struggled with the statistical information, and it was then chosen to focus the report more on the qualitative information (Spruit and Mouter, 2021). According to the researcher, the report might have looked different if it was written for the municipalities.

### **Degree of interaction**

It was aimed to select a diverse group in the citizen's forum with regard to the affinity with the topic. Applicants, however, did not provide enough information to achieve this (Rietveld, 2020b). Eventually however, according to an involved researcher, the citizens' forum did consist out of a diverse group of citizens with different views and interests. Via the Hackathons stakeholders with possibly opposing views also came together. Therefore the degree of interaction is concluded to be *high*.

### **Citizens' power**

The outcome of this process was an advice to the parties involved in developing the RES. These parties stayed in control over the decision-making, but were open to be influenced by the advice following from the citizens' forum. This process was thus a form of a *limited dialogue*.

### **Type of PVE**

The outcomes of this consultation are meant to represent the preferences of the residents of Foodvalley. An involved researcher explained that Foodvalley, however, does not exist as an identity, nobody feels *an inhabitant of Foodvalley*. This lack of shared identity makes it harder to make statements like "This is what the inhabitants of Foodvalley prefer," even when based on socio-demographic characteristics the participants would be a representative group.

It was chosen to perform the PVE *open*. Everyone who wanted to participate, could participate.

### **Inclusion of constraints and targets**

In this consultation, there was no target to be met. This was decided upon after conversations with all eight municipalities. There were thus *no constraints*.

Participants were asked to divide 100 points over five policy options, in line with their preferences. They were, however, obliged to divide all of the 100 points. Participants were thus forced to choose, even if they did not appreciate the options given, because there was no status quo option.



### **Concreteness of options**

The policy options were set up in a way to provoke responses; they were in place to help citizens think about the positive and negative aspects of the policy options (Spruit and Mouter, 2021), and share their preferences based on that. After dividing the 100 points, they were asked to motivate their choices. Additionally, participants were asked to share concerns and conditions. The options were *mainly strategic, with properties*.

### **Openness to new ideas**

The reason for not including target constraints, was to keep the consultation open for new ideas. The obligation to allocate all of the 100 points might have taken the emphasis of the sharing of new ideas for some participants. However, there was *encouragement for new ideas* in the open questions.

### **Achievement of goals**

The goals of this consultation were to learn from participants and to improve the relationships between municipalities and local stakeholders.

For the first goal, around 85% of the participants who answered this part of the consultation, indicated that they had had sufficient opportunity to give their opinion (Spruit and Mouter, 2021). Some of the participants thought the options were too limited and disliked the obligations to assign all 100 points, but the alternative options they proposed were eventually taken up in the report and decision-makers could thus also learn from these perspectives. The first goal is therefore concluded to be achieved.

Most of the residents said to be in favour of a hybrid form of weighing the options of citizens and experts, and around 60% of them thought PVE was a good method to involve them (Spruit and Mouter, 2021). The involved researcher explained that the process also led to commotion in the region. The goal of improving relationships is thus concluded to be partly achieved. As a side note, according to the researcher, it can be debated whether this commotion should be seen as detrimental.

### **Summary of this case**

With the aim to achieve goals similar to a lighter form of Goal 2, and Goal 4 of the list in Section 4.1, this case used the implementation options as stated in Figure 6.2. This figure also shows the scale, the main partner and the funder of the case.

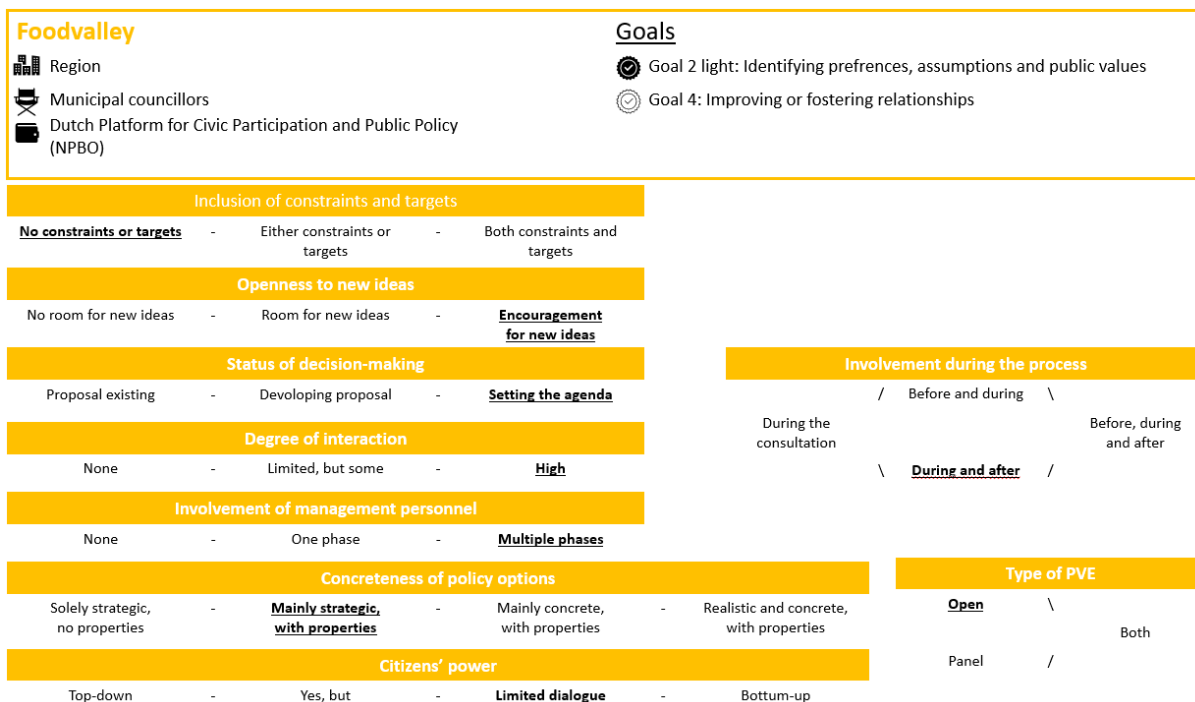


Figure 6.2: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on the future energy policy of the region Foodvalley.

## 6.3 Thermal Energy Transition Vision for the municipality of Utrecht

The involved researcher explained the participation process in Utrecht was started as scientific project. Researchers were investigating the fit of the PVE method as a participation tool in the thermal energy transition, and needed a municipality that was willing to join the experiment. Conducting a PVE was seen as a political risk, and therefore many municipalities were not convinced enough to step in (Mouter et al., 2021c). The municipality of Utrecht, however, stepped in. They stand for a big challenge, as 110,000 homes are connected to natural gas and the aim is to disconnect 40,000 of those by 2030. The PVE method promises to be able to show the participants the issues as scarcity of public resources and difficult trade-offs within the alternative policy options and the method greatly differs from regular policy surveys in which one has to choose between binary options. It also differs from civic forums as these have very limited attendance. These were reasons for the municipality to facilitate the case study. They started with the first three goals on their mind, and the other two were added during the process in a meeting with civil servants (Mouter et al., 2021c).

### Goals

The involved researchers formulated the goals as following (Mouter et al., 2021c):

- To enable participation of people that normally do not participate (particularly young people);
- To perform the project with low time investment of civil servants;

- To create useful outcomes for decision-making;
- To raise awareness among citizens about decisions and implications of the energy transition;
- To be meaningful for citizens.

The second on these goals resembles Goal 6 on the list composed in Section 4.1 which is cost-effectiveness, as it is focused on resource-effectiveness with the resource being civil servants' time. The third of these goals resembles Goal 2 on the list, as it focuses on the outcomes of decision-making and on the preferences and values of participants. The fourth goal is about informing and educating and is thus in line with Goal 1.

The fifth goal is on how citizens perceive the process set up for them. This meaningfulness, which sometimes clashes with usefulness (Nouws, 2020), is interpreted more as a condition, rather than as a separate goal.

The first goal is about including non-traditional and disadvantaged groups. Many scholars underline the importance of this (Barnes, 1999, Bickerstaff et al., 2002). It is, however, often seen as a factor that contributes to the success of each participation process and not as a goal in itself. Therefore, this goal is also seen as a condition.

The interpretation of two of the goals as conditions is in line with the fact that these were reasons for the municipality to facilitate the case study, rather than goals they came up with (Mouter et al., 2021c).

## Selected implementation options

### Status of decision-making

An involved researcher explained that one could say that participation in Utrecht should have started when the need for an energy transition vision was not yet so firmly established. This need was already settled, but this process was still performed in the stage that input could be given, so decision making was in the stage of *developing a proposal*.

### Involvement of citizens during the process

During the preparation of the PVE, several groups of stakeholders were involved, among which civil servants, the Alderman, experts and stakeholders, and even a group of citizens (Mouter et al., 2021c). As stated in the report, seven citizens were involved in two workshops to test the PVE. They were asked for feedback on the content and to specifically reflect on a dilemma encountered by the researchers. This was the inclusiveness vs. complexity dilemma; a dilemma on the balance between simplified information to make the PVE more inclusive to people that prefer simpler information and the complex information that might grasp the problem in a more realistic way, but excludes people due to its

complexity. The citizens were pleased with the multi-layered way of presenting information that was set up to serve this balance. Citizens were thus involved *before and during* the consultation.

### **Degree of interaction**

The involved researcher explained that especially in the meeting with civil servants, there was room for interaction, as several of them joined and they had different wishes when the researchers asked openly for feedback. The different kind of stakeholder groups, being civil servants, the Alderman, experts and citizens, were mostly invited in separate meetings. Additionally, in the citizens' workshops, only citizens were involved that were already actively involved in other participation processes regarding the thermal energy transition in Utrecht. Therefore the degree of interaction is judged to be *limited, but some*.

### **Citizens' power**

During the citizens' workshop, the involved citizens, who were already taking an active part in other participatory processes on this topic, expressed concern about the extent to which the outcomes of the PVE would marginalize the importance of the outcomes of existing offline participation processes (Mouter et al., 2021c). In their view, the Alderman should not attach more importance to the input of layman citizens who would participate in the PVE than to the input of expert citizens who were involved in the offline processes. Civil servants that were present during this workshop reassured that this was not the purpose of the PVE, but that it was meant as a complementary process. The role of the participants can thus be explained as a *limited dialogue*; it was not a stand-alone process that can be considered bottom-up, but it is part of a set of process by which the decision-makers are open to change their minds.

### **Type of PVE**

Participants were recruited in three rounds. In the first round, the residents' panel of Utrecht was invited to participate. In the second round, more promotion was given to the consultation and it was shared on social media and the website of the municipality. In the third round, residents were approached via a panel agency, with the researchers' request to specifically approach less educated citizens, because they were under-represented in the participants thus far and civil servants were interested in their views as well. The PVE was thus filled in via *both* an open approach and via a panel.

### **Inclusion of constraints and targets**

Civil servants had formulated the constraints for the consultation, being the sustainability goal of 22,000 households getting rid of gas by 2030, and a maximum government budget to achieve this (Mouter et al., 2021c). Not all strategies fitted in this budget, and after a meeting with the Alderman it was decided that this should be shown to participants. Then, participants would see private costs borne by citizens when they selected. There was no option to spend more, and the option to spend the budget on other

projects which was first included, was excluded on advice of the Alderman (Mouter et al., 2021c). Citizens had to assign all their points over the options aligned with their preferences.

On one hand it could be said that there were *no constraints*, as citizens had to merely divide points over options and this selection is not steered by a certain target that has to be met, on the other hand, it could be said that the whole PVE is set up with a *constraint and a target*, as the sustainability goal and the budget were fixed.

### **Involvement of management personnel**

The management personnel in this case, is the Alderman, who is the elected official responsible for political decision-making on the thermal energy strategy. She was asked to give feedback on the draft PVE (Mouter et al. 2021c), and was thus involved in phase 3 of the process. When the results came out, she wrote a note to the citizens on what she had learnt from the results. This is an important step in concluding the process, as discussed in Section 3.7.2, but this is considered not to be part of the process anymore. Therefore, the management personnel is involved in *one phase*.

### **Concreteness of options**

In collaboration with civil servants, four strategy options were set up which were concluded to represent four values: affordability, freedom of choice, sustainability and fairness (Mouter et al., 2021c). The strategies were *mainly strategic, with properties*.

### **Openness to new ideas**

Participants had to assign their 100 points within the proposed scenarios. There was, however, a second part added in the PVE to explicitly create room for new ideas. There were thus *encouragement for new ideas*.

## **Achievement of goals**

In the paper written on this PVE, the researchers have indicated which of the goals are achieved (Mouter et al., 2021c). The goals on participation of people that normally do not participate, on the low time investment of civil servants and on the outcomes being useful for decision-making were concluded to be achieved, based on descriptive data of the PVE, questions in the PVE survey and interviews with civil servants. The other two goals, on raising awareness and on the meaningfulness, were said to be partly achieved, based on participants' answers to questions in the PVE survey.

Citizens who negatively evaluated meaningfulness of the PVE disliked the main assumption that the thermal energy transition will take place (Mouter et al., 2021c). It was consciously chosen to include this in the defining stage of the problem, and not including it would lead to a conflict with the usefulness

of the PVE, which was a goal that was now concluded to be met. A solution that is proposed in the paper is to include a more heterogenous group of citizens into the design process, as now all the involved citizens were positive towards the thermal energy transition.

For the awareness, 60% of the participants reported to have learnt more about the choices of the municipality on this topic, whereas 20% disagreed to the proposition on learning.

Based on this, Goal 1 is concluded to be partly achieved, Goal 2 is concluded to be achieved and Goal 6 is concluded to be achieved.

### Summary of this case

With the aim to achieve goals similar to Goal 1, Goal 2 and Goal 6 of the list in Section 4.1, this case used the implementation options as presented in Figure 6.3. This figure also shows the scale, the main partner and the funder of the case.

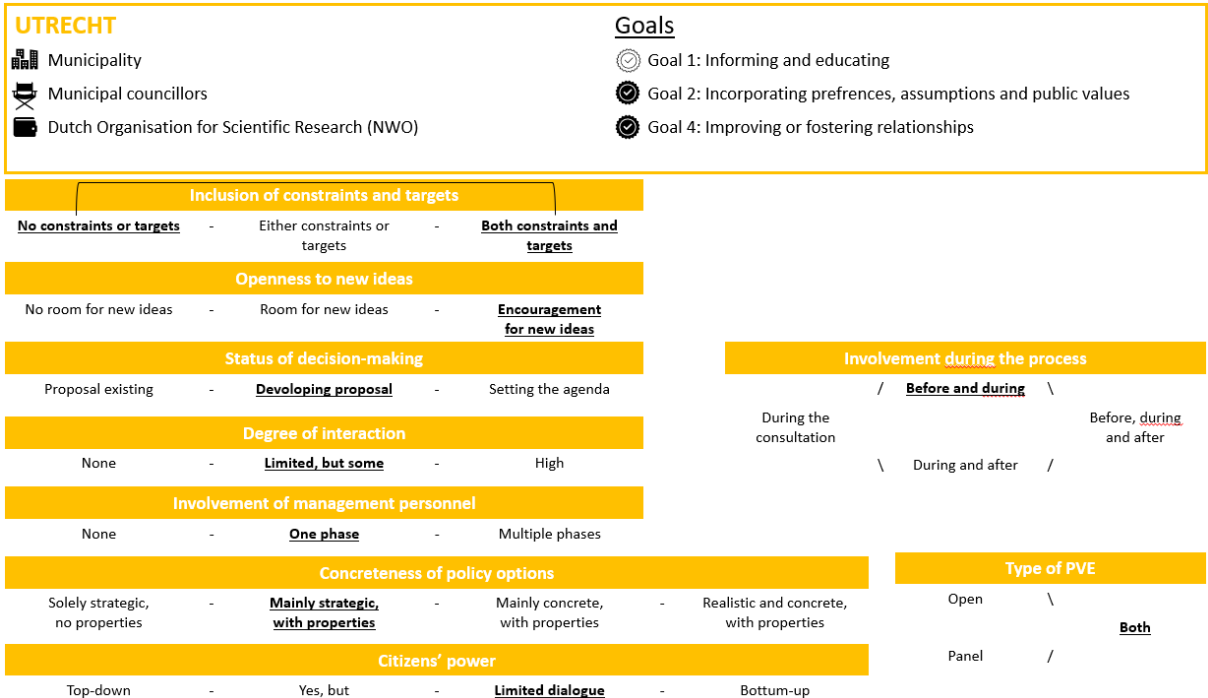


Figure 6.3: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on the thermal energy transition vision of the municipality of Utrecht.

## 6.4 Relaxation of Covid-19 measures

After the outbreak of the coronavirus COVID-19 in the Netherlands, the government took several measures to control the spread of the virus, to protect risk groups like the elderly and people with poor health, and to prevent various parts of the healthcare system from becoming overburdened. When the measures seemed to be effective, the question had to be answered as to when these measures could be

phased out and how (at what pace, and which measures first) this could best be done. The Cabinet based its decisions on advice and model studies by experts, but the Cabinet also took the preferences of society into account (the latter was explicitly mentioned when communicating the decision to close schools) (Mouter et al., 2020b).

Insight into the preferences of the Dutch population is also important, as greater public support for the decision taken is likely to lead to greater legitimacy and compliance (Mouter et al., 2020b).

The study was financed via the TU Delft COVID-19 Response fund and initiated by the researchers of TU Delft and other universities. It was executed by the researchers of the universities and researchers of the national institute for public health and environment (RIVM) (Mouter et al., 2020b).

## Goals

According to the report written by the researchers, the main goal of the participatory process is:

- To identify public preferences.

The goal in this process is a lighter version of Goal 2 on the list of Section 4.1. As explained, it is mainly for the instrumental rationale; to make more legitimate decisions with greater compliance.

## Selected implementation options

### **Citizens' power**

The preferences reported by participants in the PVE can be used as input for behaviourally-informed choice models which analyse people's preferences for (the impacts of) relaxation policies (Mouter et al., 2020b). Insights on the ranking of options in term of desirability can be obtained this way.

As policy-makers have let their decisions be influenced by preferences of participants before (Mouter et al., 2020b), it is expected that they also are willing to adjust position based on this consultation. Participants were, however, chosen not to be included in designing the options, so there is no form of co-deciding which is the case in the bottom-up strategy. Therefore the decision-making role is a *limited dialogue*.

### **Involvement of citizens during the process and degree of interaction**

It was chosen to only let citizens participate *during the consultation* itself (Mouter et al., 2020b). From this, it follows there was *no interaction*.

### **Type of PVE**

To ensure representativeness and inclusiveness, the PVE is carried out with two different samples. One of the samples is randomly selected by Kantar Public, drawn to represent the Dutch population in terms of age and gender. This panel PVE was conducted to identify the preferences of the *average Dutch citizen*. To ensure inclusiveness as well, the PVE was then opened up to the general public and created a sample by self-selection. *Both* types of the PVE were thus in place.

In addition, van Delft (2021) dedicated her thesis to the topic of representativity and inclusivity. She dives into the bias in demographic characteristics and focuses on how this influences the preferences shared by the participants. Both samples, whether created by self-selection or by Kantar Public with the aim to be representative, showed bias for age, education level and province, although these biases were relatively small for the panel PVE.

When comparing the preferences the participants shared, it turned out that the participants from the open PVE were more willing to relax COVID-19 measures than participants from the panel PVE. The top three selected and rejected options were, however, the same for both forms of consultation.

These top threes did not change for the panel sample when the weights were adjusted to correct for representation. Therefore it was concluded that the panel sample provided an accurate reflection of the participants' preferences. The open sample, however, showed a bias too big to properly correct and thereby representativity was not achieved for this sample.

Overall it was concluded that "demographic variables can only partly explain the differences in preferences between both samples. Other characteristics do play a role in the preferences of participants." (van Delft, 2021, p.55).

### **Status of decision-making**

The citizens were involved when it was clear that it might be possible to relax some measures, but remaining questions were whether citizens found this desirable, and if so, in what way this should happen (Mouter et al., 2020b). As this participatory process taps into the operationalisation of measures, the status is viewed as *existing proposal*.

### **Inclusion of constraints and targets**

There was one constraint for the participants when choosing their measures to relax: the increase of pressure on the healthcare system. This increase was expressed as a percentage. The constraint was rigid in the sense that the maximum was 50%. However, it was emphasised that participants did not have to meet this maximum by establishing levels within the constraints. The healthcare system was said to be able to handle the pressure if the increase would be between 0% and 25%. If the increase in pressure was between 26% and 40%, the system would be overstretched. Lastly, if the pressure increased between 41% and 50%, the system would be seriously overstretched (Mouter et al., 2020b). This process thus includes a *constraints, but no target*.



### **Concreteness of options**

The included options are derived from a brainstorm with policymakers and researchers from the Dutch National Institute for Public Health and Environment (RIVM), the Ministry of Health, Welfare and Sport (VWS) and the Ministry of Finance (FIN) and subsequent discussion with various academics. The included properties, which were the number of deaths, the number of people with serious physical or mental injuries and the decrease in the number of households with long-term income loss, were also discussed with these stakeholders. This led to *realistic and concrete options, with properties*.

### **Involvement of management personnel**

The management personnel, in the persons of the policy makers of the National Institute for Public Health and Environment and the Ministries, were involved in the setting of options, and thus in phase 2 of the process.

### **Openness to new ideas**

There was room for new ideas in the open questions, but there was no explicit question for new ideas (Mouter et al., 2020b). Therefore this level is *room for new ideas*.

### **Achievement of goals**

Of the 30,000 participants, 80% found the PVE method a proper method to be involved in these choices, against 6% who did not perceive it as a proper method (Mouter et al., 2020b). Additionally, 71% had said to be convinced by their choice. A quote of one of the participants: "I also like the fact that the government is open to the (good) ideas of its citizens. Thank you very much!". The goal is concluded to be achieved.

While the relaxation of Covid-19 measures is still ongoing, this research stays relevant. Recently the NOS referred to the consultation (van den Enden, 2021).

### **Summary of this case**

With the aim to achieve the goal similar to a lighter form of Goal 2 of the list in Section 4.1, this case used the implementation choices as presented in Figure 6.4. This figure also shows the scale, the main partner and the funder of the case.

COVID-19 MEASURES				Goals	
<ul style="list-style-type: none"> <li>National</li> <li>National Institute of Public Health and the Environment (RIVM)</li> <li>Dutch Platform for Civic Participation and Public Policy (NPBO)</li> </ul>				<ul style="list-style-type: none"> <li>Goal 2 light: Identifying preferences, assumptions and public values</li> </ul>	
<b>Inclusion of constraints and targets</b>					
No constraints or targets	-	<u>Either constraints or targets</u>	-	Both constraints and targets	
<b>Openness to new ideas</b>					
No room for new ideas	-	<u>Room for new ideas</u>	-	Encouragement for new ideas	
<b>Status of decision-making</b>					
<u>Proposal existing</u>	-	Developing proposal	-	Setting the agenda	
<b>Degree of interaction</b>					
<u>None</u>	-	Limited, but some	-	High	
<b>Involvement of management personnel</b>					
None	-	<u>One phase</u>	-	Multiple phases	
<b>Concreteness of policy options</b>					
Solely strategic, no properties	-	Mainly strategic, with properties	-	Mainly concrete, with properties	- <u>Realistic and concrete, with properties</u>
<b>Citizens' power</b>					
Top-down	-	Yes, but	-	<u>Limited dialogue</u>	- Bottom-up
				<b>Involvement during the process</b>	
				/	Before and <u>during</u> \
				<u>During the consultation</u>	Before, <u>during</u> and after
				\	During and after /
				<b>Type of PVE</b>	
				Open	\
					<u>Both</u>
				Panel	/

Figure 6.4: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on the relaxation of Covid-19 measures.

## 6.5 Thermal Energy Transition Vision for the neighbourhood Nieuw Sloten, Amsterdam

The involved researcher in this case explained that this PVE was one of the first PVEs for the NWO fund. When this fund was received by the researchers, they went looking for cases. This search was discussed with councillors of the municipality of Amsterdam, who linked them to the neighbourhood Nieuw Sloten. This neighbourhood needed to be disconnected to natural gas according to the national vision on thermal energy, but the municipality did not start any process to get it done there. This would mean that the researchers and the municipality would not get in each other's way. Additionally, there was already an energy transition working group, consisting of a couple of interested residents of the neighbourhood who were trying to get the topic on the local agenda.

Except for the working group, not many residents were concerned with the energy transition and what implications it would have for their neighbourhood. They illustrated this to the researcher by stating that nobody showed up when they organised an information meeting, but when paid parking was discussed, everyone wanted to have a say. The ignorance of their neighbours on the subject was the main reason why the working group wanted to start a PVE process.

## Goals

According to the researcher, the main goals of the PVE process were:

- To inform residents on the energy transition and the implications it will have on one's home, street, wallet, and so on;
- To identify public values and preferences.

Of these two, the first goal corresponds with Goal 1 of the composed list in Section 4.1, and goal 2 is a lighter form of Goal 2 in that list.

## Selected implementation options

### Citizens' power

The municipality started to doubt the role of citizen involvement in Nieuw Sloten when they had their proposal for the Amsterdam-wide thermal energy transition vision. This is explained further in the section on status of decision-making. The working group, however, stood firm and still thought the input of citizens would be valuable in the process as advisory input. Eventually the municipality was happy that the consultation was performed as they are interested in the results.

In this study 55% of the participants judged the voice of the residents more important than the voice of experts. That is significantly higher than in similar research on energy related topics that had been performed so far (Collewet et al., 2021).

As the focus was on more passive goals, and the actual decision-maker was not involved in the process, the decision-making role of the participants can be seen as in between *yes, but* and *limited dialogue*. The researcher explained that the working group intended for a limited dialogue, in which their input could change the municipality-wide vision. It seemed, however, to have end up like *yes, but*. The municipality was willing to see the results, but has not shown willingness to change its initial position.

### Involvement of citizens during the process and degree of interaction

Since in this case the initiator of the process was a working group consisting out of interested residents, citizens were involved *before, during and after the consultation*. As these residents were all agreeing on the importance of the thermal energy transition, one could *not* speak of interaction between possible opposing interests.

### Type of PVE

The idea was to have the consultation online and offline. Online such that people could do it on a time and place of their choice, and offline such that people could get help. Covid-19, however, threw a spanner in the works. To compensate this a bit, there was an email-address and a phone number citizens

could reach out to. By doing this, it was tried to achieve that everyone who wanted to participate, could participate. Eventually the PVE was thus online with help available.

The working group recruited the participants. They did this, among other things, by posting messages on Facebook, articles in the local newspaper, distributing leaflets in the shopping area of the neighbourhood. It turned out that by these ways of promoting not a lot of young people were reached (Populytics and TU Delft's PWE-lab, 2021), and indeed, only few young people participated (Collewet et al., 2021). The PVE was thus *open*.

### **Status of decision-making**

When this process was set up, the working group and the researchers were told that there was not yet any work done for the infilling of the thermal energy transition in the neighbourhood Nieuw Sloten. While the PVE process was being set up, the municipality started to work on their municipality-wide thermal energy transition vision and it was expected by the researchers and the working group that the PVE could give input on this vision. The process would thus take place in the stage of *setting the agenda*, in which an overarching vision is established.

However, the development of this Amsterdam-wide vision went way faster than the PVE process. A consultancy firm made a plan and assigned an option to each neighbourhood; Nieuw Sloten would become all electric. This was not set in stone though, but this changed the status of the process as *existing proposal*.

Even though this change in planning was made externally and led to confusion for the researchers and the working group, they did not doubt the usefulness of the process. The researcher explained that the working group still wanted to put the topic on the neighbourhood's agenda and they still wanted to gather information on the preferences of their neighbours.

### **Involvement of management personnel**

The initiators of the process were the citizens that formed the energy transition working group, the managers of the decision making, were not involved.

### **Inclusion of constraints and targets**

In this PVE, there were *no constraints and targets* included. Participants had to divide 100 points over four scenarios, corresponding to their preferences; they assigned the most points, or even all their points, to the scenario they liked best, etc. (Collewet et al., 2021). A status quo options was included.

### **Concreteness of options**

Four scenarios were proposed in this PVE, of which the option that was assigned via the municipality-wide vision was one. The researchers discussed this with the municipality, and the aim of including it was that the outcome would be more useful for the municipality. The involved researcher explained that the scenarios were meant to provoke responses rather than being concrete, ready to implement solutions, and were therefore *mainly strategic, with properties*.

The researchers, however, also found it important to ensure the realism of the options, with an eye on the goal of informing. To ensure realistic information for the attributes, the researchers collaborated with a consultancy firm working in the energy transition. A result of the attributes being realistic was that three out of four - the options that were a change from the status quo - were quite similar to each other and relatively much different from the status quo option. This made it hard to find correlations between the preferences and for example the costs of the options. Statistically, it would have been better if there was more variation in attributes of the options.

### **Openness to new ideas**

While a lot of the participants agreed in wanting a certain level of influence, there was less agreement on the desirability of the proposed scenarios. The consultation was perceived as closing down (Collewet et al., 2021), while there was some *room for new ideas* in the open questions.

### **Achievement of the goals**

The involved researcher explained that because of the preferences being hard to relate to the attributes of the options, it was hard to learn from the participants about their values and preferences. The outcomes did give an indication, but the goal is not fully met. Additionally, not all residents were represented well, which also made it hard to get a grip on the preferences of the neighbourhood.

The gap in representation led to the researchers' conclusion that the goal of informing residents is not fully met. Additionally, only nearly half of the residents reported to have learnt something about the choices the government has to make and about half of the residents reported that enough information was provided to make a choice they are convinced of (Collewet et al., 2021).

It was said, however, that the working group interpreted the process as a step in the right direction. They considered the residents to be uninterested in the topic, but in the end 335 residents participated and 85% of them reported to find it a good case that residents are involved (Collewet et al., 2021).

## Summary of this case

With the aim to achieve goals similar to a Goal 1 and a lighter form of Goal 2 of the list in Section 4.1, this case used the implementation options as presented in Figure 6.5. This figure also shows the scale, the main partner and the funder of the case.

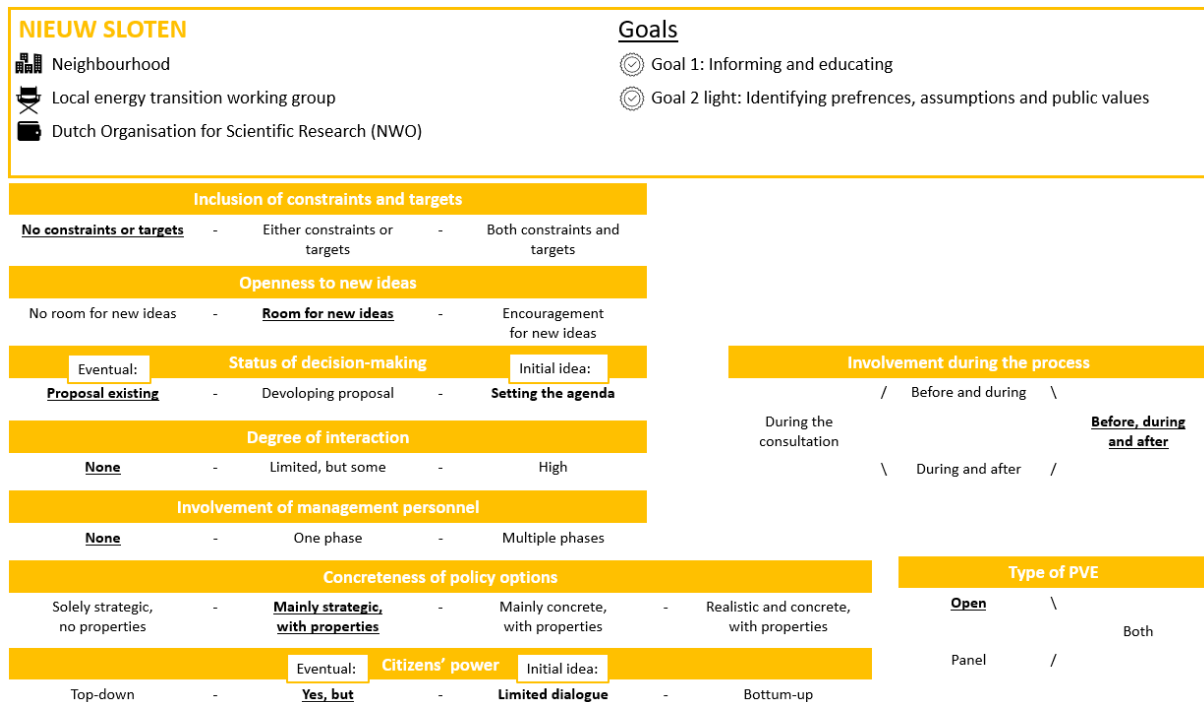


Figure 6.5: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on the thermal energy transition vision for the neighbourhood Nieuw Sloten, Amsterdam.

## 6.6 Medical fitness to drive

The medical driving suitability system (NL: stelsel medische rijgeschiktheid) may not seem too interesting to discuss at first glance. However, an involved researcher explained that it is a system in which political choices are made and several people have to deal with the system and might experience obstacles such as long waiting times and frequent medical examinations in the case of a chronic condition. To give an example that illustrates this, the Dutch online consumer programme *BOOS* made an episode about the topic (BOOS, BNNVARA, 2019).

A review is planned for the system, and the minister of Infrastructure and Water Management sent a letter to the House of Representatives stating to involve citizens in the review of the medical driving suitability system. A committee was set up to look at how this could be done and they came up with the idea to let the involvement take place via a PVE. They set up a meeting with two researchers who explained about the method and showed examples, after which it was decided to indeed apply the PVE method to this policy problem.

At the start of the process, a meeting was organised to discuss what the main aim of the participation is, what the motives are, what information needs to be retrieved, and so on. An involved researcher said that the reactions to these topics, however, differed over time. She said this was due to shifts in internal vision, but also due to political fluctuations. Eventually there was consensus on how to involve the citizens and what it should achieve.

## Goals

The goals of the ministry that the researcher formulated are:

- To incorporate public values and preferences into decision making;
- To involve stakeholders in decision-making, as the subject is sensitive and might otherwise lead to commotion by the several stakeholders have a great interest in the reform of the system.

The first of these two goals is equivalent to the Goal 2 of the list in Section 4.1. The second is closest to fostering the relationships, which is Goal 4 of the list.

## Selected implementation options

### Citizens' power

The ministry reported on the opening page of the PVE<sup>3</sup> that they will use the advice to think about how to improve rules and laws, and they added that they have not made choices yet, since they will do this after reading the outcomes of the consultation. This consultation is thus a form of *limited dialogue*: the decision-maker will stay in control, but is willing to change position based on the outcomes.

### Involvement of citizens during the process and degree of interaction

It was important for the ministry to involve stakeholders in the process, as this topic is a sensitive issue and stakeholders have a lot to gain by a change in the system. The stakeholders are, among others, interest groups such as a patients' association and doctors' federation, the Central Office for Driving Licenses (CBR), the Public Prosecution Service (OM) and the police. These groups were involved in creating the proposed options *before the consultation* itself. Citizens were in this stage not included in their role of amateurs, but are represented by professional interest groups, which is the third type of citizen representation that Beierle (1999) distinguished. By involving the interest groups who each represented their own interests, there was a *high* degree of interaction among possibly opposing interests.

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<sup>3</sup> [www.denkmeeoverkeuren.nl](http://www.denkmeeoverkeuren.nl)

### **Type of PVE**

To make sure that the consultation is taken by a representative group, this consultation will be filled in by a panel. Next to that, inclusiveness is maintained by opening the PVE to the public as well. The PVE will thus be performed in *both* ways. Many of the stakeholders are willing to disseminate the consultation within their own circles. An involved research said that therefore chances that the open PVE is representative are smaller, as it is probably mainly interest groups that will participate. The panel PVE will make sure that the *silent middle* is also heard.

### **Status of decision-making**

The PVE was initiated as a renewal of the medical driving suitability system was planned. By doing this, the minister took control over the provided information before there was a fuss about it. An involved researcher said that when the process started, it was unclear at what point exactly the main partner was in their decision-making. They had four scenarios ready that they wanted feedback on, but the existence of these scenarios was initially not known by the researchers.

Since the scenarios were composed already and would come down to adjustments of the current policy, the decision making is concluded to be in a stage with an *existing proposal*.

### **Inclusion of constraints and targets**

For the first part of the PVE, participants were presented a constraint of spending a maximum of 100 million euros, with the note that it was not needed to spend the whole budget. Additionally, there were policy options that saved money and it is possible for a participant to only select those. There was *either a constraint or a target* in part 1. In part 2 there were no constraints, but citizens had to choose between two scenarios.

### **Openness to new ideas**

The involved researcher said that when it turned out that the civil servants had prepared four scenarios, they wanted to test preferences for those. This would have been a form of closing down; having the participants choose best from a preliminary defined list. After advice of the researchers, the scenarios were included in a later part of the consultation. The first part consisted out of policy options based on five buttons on which the system could be changed, defined by the ministry and complemented by the involved stakeholders. A researcher called this part 'assembling a shopping basket'.

By doing this, participants could first freely choose from the selected options what they would like to include themselves and there is also a question added addressing whether they have other suggestions. Then, participants were forced to choose within the ideas of the ministry by choosing between the scenarios. This PVE can thus be said to include *encouragement to bring new ideas*.



### **Involvement of management personnel**

The Ministry was involved in the sense that they proposed the scenarios, but they also improved the draft PVE. Management personnel was thus involved in *multiple phases*.

### **Concreteness of options**

The policy options included were in basis easy to grasp, for example: "All drivers aged 50 and over should undergo a medical examination". The corresponding attributes, such as costs and a increase or decrease in the number of traffic fatalities, were attained from earlier research and conversations with experts and stakeholders. The options are thus *mainly concrete, with properties*.

An involved researcher explained that a topic that was more controversial - the duty to report about medical conditions for doctors - was also added as a separate question, such that it could be found whether this influenced the rating of the scenario that included it.

### **Achievement of goals**

While this thesis is being written, the data for of the consultation is being collected. Whether the goals of this PVE will be achieved is thus not known yet.

### **Summary of this case**

With the aim to achieve goals similar to Goal 2 and Goal 4 of the list in Section 4.1, this case used the implementation options as presented in Figure 6.6. This figure also shows the scale, the main partner and the funder of the case.

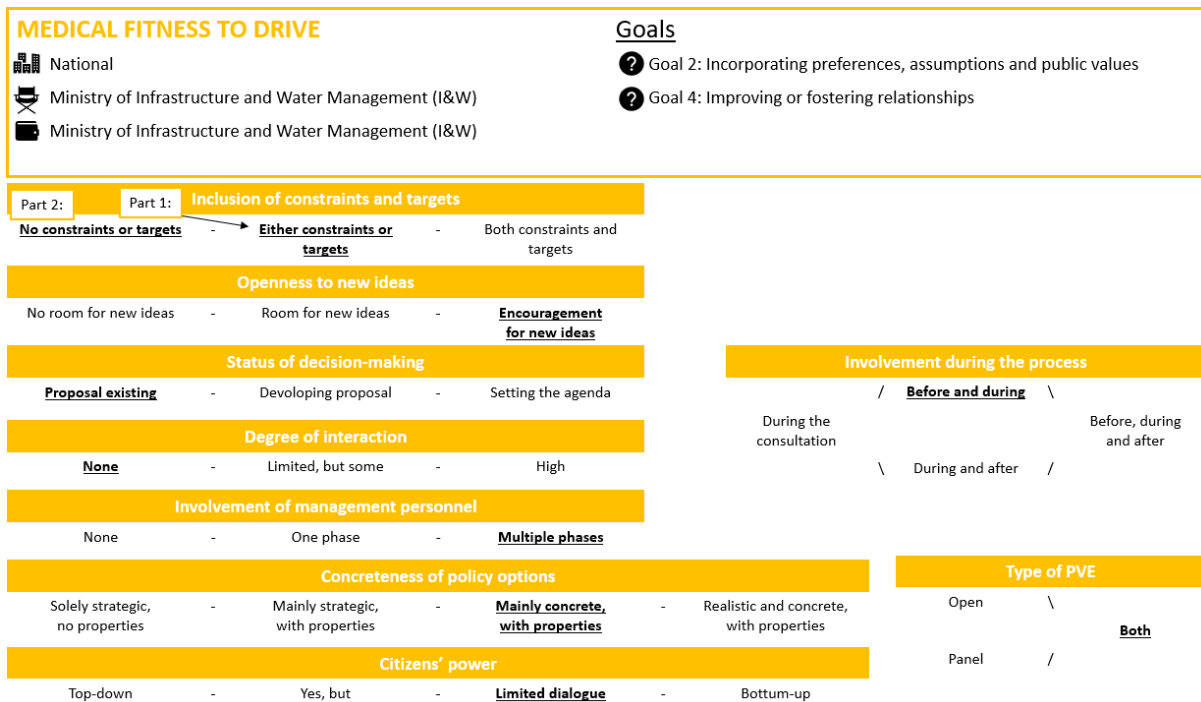


Figure 6.6: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on medical fitness to drive.

## 6.7 Infilling of the public space of the neighbourhood Tarwewijk, Rotterdam

The Tarwewijk is a neighbourhood in the south of Rotterdam. As explained by one of the researchers, the area struggles with parking issues that lead to inconvenient situations. Additionally, the sewerage system needs work. If the street has to be opened anyway, this provides a good opportunity to simultaneously consider the public space in a broader way and to tackle the parking problem, according to the municipality.

The neighbourhood is part of a bigger program: the national program Rotterdam South<sup>4</sup>. This program focuses on the challenges that occur in the south of Rotterdam, for example people no longer participating in society. As a response to this, in combination with the likely upcoming changes in the public space of the neighbourhood and the wish to tackle themes like climate adaptation and the health of citizens, civic involvement was envisioned.

The involved researchers discussed the possible participation process with the municipality. At first the idea was to scope the policy problem as a parking problem. However, the researchers expected that approaching the problem solely as a parking problem would lead to a lot of resistance. Therefore a

<sup>4</sup> www.nprz.nl

researcher suggested to let the citizens design their ideal neighbourhood first, after which mobility was one of the factors to fit into this.

## Goals

Please note that this process is ongoing, and the consultation has not taken place yet. The involved researcher explained that the goals of the municipality are the following:

- To identify public values and preferences;
- To involve citizens in decision-making in order to make more supported decisions;
- To raise awareness among citizens about decisions on their public space;
- To create understanding of the complexity of the case.

The combination of the first and second goal resembles Goal 2 of the list of goals set up in Section 4.1 (combined with the instrumental rationale). The third and fourth goal are both a form of educating and informing, which is Goal 1 of the list.

## Selected implementation options

### Status of decision-making

As it is not even known exactly when the sewers have to be opened up, this process could be said to be in an early stage of the decision making. Input is being gathered on what the future public space could look like, and therefore this process is in the stage of *developing proposal*.

### Citizens' power

The involved researcher explained that the municipality plans said they wanted to use the outcomes of the participation to shape their future plans. However, it is expected that not all the plans shared by participants will be feasible. Citizens' power in this process can best be described as *limited dialogue*: the decision-maker is in control, but is willing to change its ideas due to the results of the consultation. The involved researcher mentioned that as this process is still ongoing, it is not yet sure how the municipality will eventually process the advice.

### Involvement of citizens during the process

There is an area committee in place in this neighbourhood, but (most of) the other residents are not aware of this subject. The area committee and a housing corporation are involved slightly while the consultation is being prepared, but there is no further role for citizens during the preparation. Citizens are only involved *during* the consultation.

### **Degree of interaction**

As only the area committee and a housing corporation were involved slightly in the preparation of the consultation, interaction among opposing interests was *not* provided.

### **Involvement of management personnel**

The municipality is the initiator and paying client in this case. It is therefore expected that they are more actively involved than municipalities might have been in research projects. They are involved in *multiple phases*.

### **Type of PVE**

This PVE will be performed in an *open* way. Additional attention is given to the accessibility of the consultation to make it accessible to various residents of the Tarwewijk. The municipality maintains a standard for communication which is language level B1. It was discussed whether to make the consultation available in other languages as this neighbourhood is a multicultural one, but eventually it was agreed to provide the consultation only in Dutch, for reasons of organisational convenience. To counter this, many animations are added, many pictures and easy and brief texts. This is an attempt to not let the level of education of a participant matter.

Another way of including a diverse group of citizens in this open consultation is by working with ambassadors. An involved researcher explained that Rhapsody in West in Amsterdam worked like this and their practices are appreciated (n.a., 2019). They used a local artist collective with a big network that promoted the participation. The involved researcher said to expect that, even more in a neighbourhood where the level of participation is low like in Tarwewijk, it works better to approach people *via via* rather than via a link on a poster or in a local newspaper. Therefore, the municipality is now searching for some stakeholders that can be ambassadors of the method.

### **Inclusion of constraints and targets**

The municipality sets the boundaries for this policy problem. As explained, researchers had influence on this by broadening the scope from a parking problem to the infilling of the public space. Participants will first be asked what their ideal neighbourhood looks like, and then what options one would choose to realise that. There are *no constraints* in the sense that no target has to be met when choosing policy options.

### **Concreteness of options**

In the second part of the consultation, options are proposed. At the time of the interview, it was not exactly known how the options would look like, but probably *mainly strategic, with properties*.

## Openness to new ideas

As this participation is in an early stage, the municipality wants the participants to share vision. The set-up is therefore *encouraging for new ideas*.

## Achievement of goals

As stated, the process of this case is ongoing, and therefore it is not known whether the proposed goals will be achieved.

## Summary of this case

With the aim to achieve goals similar to a Goal 1 and Goal 2 of the list in Section 4.1, this case used the implementation options as presented in Figure 6.7. This figure also shows the scale, the main partner and the funder of the case.






TARWEWIJK				Goals	
 Neighbourhood				 Goal 1: Informing and educating	
 Municipal councillors				 Goal 2: Incorporating preferences, assumptions and public values	
 Municipality of Rotterdam					
Inclusion of constraints and targets					
<b>No constraints or targets</b>	-	Either constraints or targets	-	Both constraints and targets	
Openness to new ideas					
No room for new ideas	-	Room for new ideas	-	<b>Encouragement for new ideas</b>	
Status of decision-making			Involvement during the process		
Proposal existing	-	<b>Developing proposal</b>	-	Setting the agenda	
Degree of interaction			Involvement during the process		
<b>None</b>	-	Limited, but some	-	High	
Involvement of management personnel					
None	-	One phase	-	<b>Multiple phases</b>	
Concreteness of policy options				Type of PVE	
Solely strategic, no properties	-	<b>Mainly strategic, with properties</b>	-	Mainly concrete, with properties	-
				Realistic and concrete, with properties	
Citizens' power					
Top-down	-	Yes, but	-	<b>Limited dialogue</b>	-
				Bottom-up	
				<b>Open</b>	\
				Panel	/
					Both

Figure 6.7: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on the infilling of the public space of the neighbourhood Tarwewijk, Rotterdam.

## 6.8 Renewing the heat supply in a neighbourhood

The main players in this case are a heat supplier, an installation company, a neighbourhood whose residents are represented by a residents' committee and a housing corporation, a consultancy firm for heat networks and the municipality. For reasons of confidentiality, these parties are not made more explicit.

The process, which was been terminated in its second phase, has been evaluated with the heat supplier. Most of the information in this case comes from that evaluation, and it is complemented with own observations. The heat supplier, who was the client in this case, has bought the heat network in this neighbourhood from the previous heat supplier, who was deemed malfunctioning. However, ever since the takeover, there were still problems experienced by residents. The municipality hired a consultancy firm to conduct an audit, after which the installation company was given the task to investigate how the clusters of the network could be improved. When the results of the audit were spread by the municipality, this gave room for conversations between the heat supplier and the municipality, the residents' committee and the housing corporation. The outcome of the installation company's investigation was that it might be better to renew the system rather than improve the current one, and the heat supplier observed that this was received happily by the residents at the start. However, when the conversations started in the autumn of 2020, these were perceived by the heat supplier as mostly awkward and unconstructive. The satisfaction surrounding the announcement of renewal soon gave way to frustration over misfortunes that had built up over a long period of time. To solve this, agreements were made between the heat supplier and the residents. It was agreed that the residents would share their thoughts about the project, which the heat supplier would use as input. However, a couple of weeks later they communicated that they preferred to do this the other way around; the heat supplier does a proposal, and the residents can give their opinion on this proposal. The heat supplier sensed the need for residents to have their say, but also felt the need to conduct the conversation in a better way. Additionally, another driver for the heat supplier to think of different ways to get input from the residents is the fact that the residents' committee contains only a small part of the residents.

This was the moment that applying a PVE came to discussion. An explanatory presentation was given to the residents' committee by the researchers and the heat supplier saw they found it interesting. They seemed to see it as an opening to a new way of collaboration.

## Goals

In the evaluation, the heat supplier formulated to have had the following goals for the process:

- To create support for the process;
- To incorporate preferences into decision making;
- To improve the relationship with the citizens;
- To create understanding of the complexity of the challenge.

The first and second goal resemble Goal 2 of the list of goals composed in Section 4.1, with the instrumental rationale. Furthermore, the third goal resembles Goal 4 and the fourth goal resembles Goal 1.

## Selected policy options

### **Status of decision-making**

At the time this PVE was started, information was being gathered on the possibilities for renewal. There was a pilot ongoing in two of the twelve clusters to check for the impact of several adjustments. What would be feasible and what would not be was still very open, and therefore the problem is judged to be in a phase of *developing the proposal*.

### **Involvement of citizens during the process**

The citizens, represented by the citizens' committee and the housing corporation were intensively involved *before the consultation*. There were multiple meetings in which the stakeholders came together. In the evaluation, the heat supplier said that they had too little control over the process; the process was too close to co-creation. They expected the cause of this to be that too little thought had been given to responsibilities and dependencies beforehand. This manifested itself in multiple moments of disruption in the ongoing work due to the urgent compiling of information requested by the citizens.

### **Degree of interaction**

Due to all the meetings with the heat supplier, citizens' committee, housing corporation, consultancy firm, municipality and sometimes the installation company, it is judged that there was a *high* degree of interaction among opposing views.

### **Concreteness of options, inclusion of constraints and targets**

Already before the process had started, the heat supplier had presented four possible concepts to the citizens in a memo. These concepts were hold onto during the process, but it was observed in meetings that these led to confusion. The options were concrete proposals, while they lacked information on feasibility in terms of costs, sustainability, etc.

Additionally, the citizens asked questions on the technical requirements for the options included, as the heat supplier was not clear on the constraints they used for the inclusion of the options. In a meeting, the citizens' committee had communicated that they first wanted to see a problem analysis, a program of requirements, etc.

Moreover, citizens asked in meetings about an individual system. The heat supplier explained they went along with this, as they wanted to satisfy the needs of the citizens. However, with the benefit of hindsight they would have communicated from the start that this is not possible due to legal, financial and organisational reasons.

### **Citizens' power**

What the power of citizens would have been, was unclear. The heat supplier said to be willing to exert citizens' influence, but this clashed with the principle that the ultimate choice lies with the heat supplier. In the end, the project needs to be technically and financially feasible. If the participation were to be continued, it is expected to have been with a *Yes, but* approach when the options that were proposed earlier were included.

Citizens could have had more influence if the focus would have been shifted towards the implementation of a chosen system, such as by investigating preferences on effects of the public space.

### **Involvement of management personnel**

Not the executive board of the heat supplier was involved, but it did involve employees who could lead the decision-making. They were involved in multiple phases, and would have probably be involved in all the stages.

### **Termination of process**

Eventually, it was decided to not continue the process. According to the heat supplier, the main reasons were the shifts in schedule and the lack of trust in the process. Not much attention was given to the termination of the process, although on the one hand some expressed to feel awkward about the disappearance of their influence, and on the other hand some appreciated that the heat supplier took back control.

The heat supplier said that the biggest positive contribution of this control to the relationships between the heat supplier and the other stakeholders is that now all the agreements are strict, simple and concrete and all the deadlines are met. There are still many steps to go, but the project is less intensive for all stakeholders and seems to be going in the right direction.

It is judged that the biggest pitfall in this case was the mismatch between the status of decision-making and the proposed options. The concreteness of the options implied information being prepared which was not prepared yet. Requests for that information then came, and the heat supplier explained that they had not yet thought about what to share and what not. Therefore they replied ad hoc to these requests, which sometimes led to them changing opinions on what to share later on, which in turn added to the lack of clarity for the citizens.

The hypothesis of one of the involved researchers is that expectations are different for a private party compared to a public party. In cases with a governmental body, it was seen that it is appreciated when



they show vulnerability by for example sharing unknowns. In this process, however, it created distrust and fuelled the idea that the heat supplier was not competent.

### Summary of this case

With the aim to achieve goals similar to a Goal 1, Goal 2 and Goal 4 of the list in Section 4.1, this case used the implementation options as presented in Figure 6.8. This case was terminated during the process. Therefore, not all choices were firm; these are italic in the overview. This figure also shows the scale, the main partner and the funder of the case.

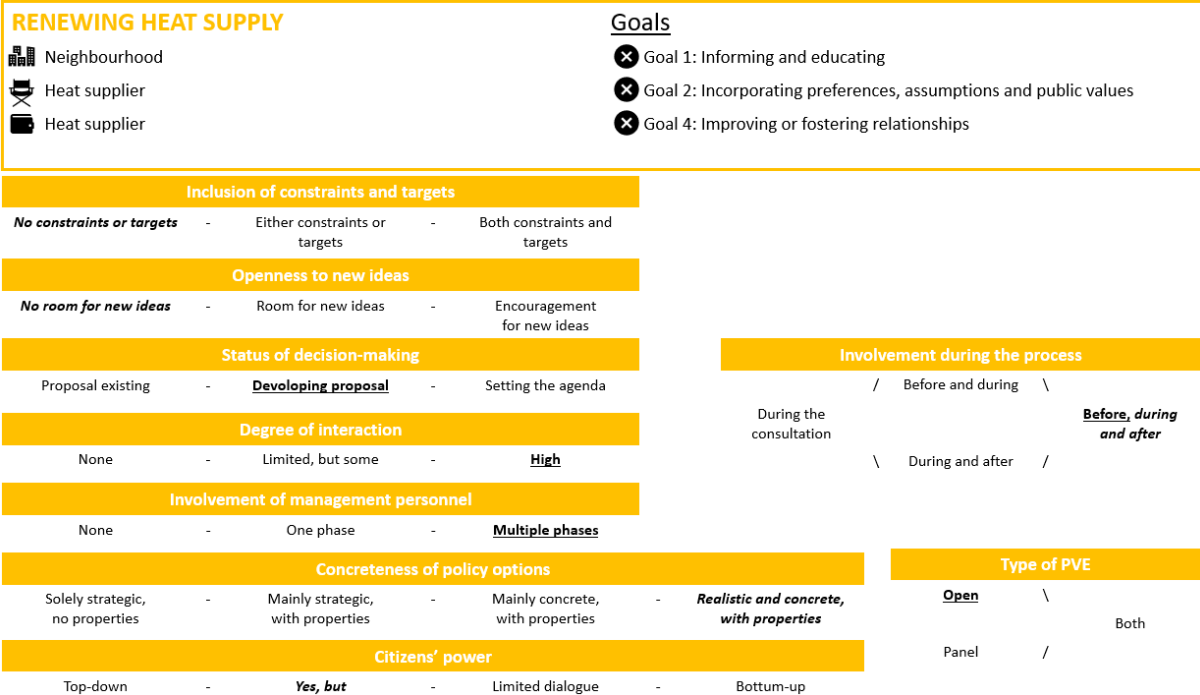


Figure 6.8: Characteristics, goals, their achievement, and the selected implementation options of the PVE process on renewing of the heat supply in a neighbourhood.



# 7

## Establishing the effects of implementation options per goal

This chapter discusses the last sub-question: How do the goal-dependent implementation choices in a PVE process affect the achievement of its goals? To establish the effects of selected implementation options per goal, the insights of the in-depth case study are combined with the information on used implementation options and whether the established goals were met in the eight comparative cases.

The coming sections discuss the goals one by one. Most of the cases aim for multiple goals, which means they are included in multiple sections. The information on the goals and whether these were achieved is gathered from interviews with involved researchers and available literature. It was discussed per case in Chapters 5 and 6, and Figure 7.1 gives an overview of all the cases. Goal 2 is separated into two different version; the original incorporation of public values, assumptions and preferences, and a lighter form in which they are merely identified.

Goals \ Cases	1. Informing and educating	2a. Identifying public values, assumptions, preferences	2b. Incorporating public values, assumptions, preferences	3. Increasing substantive quality	4. Improving or fostering relationships	5. Cost-effectiveness
National climate consultation			☑			
1. Súdwest-Fryslân		☑			☑	
2. Foodvalley		☑			☑	
3. Utrecht	☑		☑			☑
4. Covid-19		☑				
5. Nieuw Sloten	☑	☑				
7. Medical fitness to drive			?		?	
8. Tarwewijk	?		?			
9. Renewing heat supply	✘		✘		✘	





 = Goal achieved, 
  = Goal partly achieved, 
  = Unknown whether goal is achieved, and 
  = Goal not achieved.

Figure 7.1: Overview of the goals per case, and whether they were achieved.

Per goal, the included implementation options are compared together with whether the process managed to achieve that goal. These comparisons are performed via the method presented in Figure 7.2. As shown, when the implementation options are the same and the outcomes are the same, this gives an indication that these implementation options have an effect on the outcomes of the achievement of the goal. If the same implementation options lead to different outcomes on whether the goals are achieved, this gives an indication for other factors to play a role. Different implementation options that lead to the same outcomes of the achievement of a goal also ask for further investigation on the role of the implementation options for that goal. Lastly, when different implementation options lead to different outcomes on the achievement of the goal, this gives an indication that one set of implementation options might contribute in a more significant way than the other; this might be due to a certain implementation option influencing the achievement positively or negatively. As the implementation options partly depend on each other and multiple implementation options might differ within a case, this approach cannot be applied literally. However, it is the chain of thought that is used in the discussion of the goals.

		Outcome on achievement of a goal	
		Same	Different
Implementation options	Same	Indication that implementation options have an effect on the achievement of the goal	Considered implementation options do not seem to influence the achievement of the goal
	Different	Considered implementation options do not seem to influence the achievement of the goals	Indication one set of implementation options suits better than the other

Figure 7.2: Methodology to compare set of implementation options to the achievement of the goal.

To assess how the considered implementation choices influence the achievement of the goals, each goal is now considered individually. The fifth goal, on cost-effectiveness, is not considered as a separate goal, as this goal is mainly a gatekeeper to the others. It entails that when one is deciding on design features, one should choose the least intensive version with regard to the resource that is aimed to use effectively. Which of the choices is the requires the least resources differs per situation.

The other goals - informing and educating, identifying/incorporating public values, assumptions and preferences, increasing the substantive quality and improving or fostering relationships are now each discussed.

## 7.1 To inform and educate the public

This section focuses on the goal of informing and educating the public and investigates the effects of the selected implementation options in order to achieve this goal.

This goal was aimed for in the case of the thermal energy transition vision for the municipality of Utrecht, the thermal energy transition vision for the neighbourhood Nieuw Sloten in Amsterdam and the renewing of the heat supply in a neighbourhood, and it is currently being aimed for in the process of the infilling of the public space of the neighbourhood Tarwewijk, Rotterdam. For the latter, it can thus not be concluded whether the goals will be achieved and how the implementation choices influenced that. For Utrecht, it was concluded to be partly achieved, as 60% reported to have learnt from the consultation and 20% disagreed to this. In Nieuw Sloten only nearly half of the residents reported to have learnt about the choices the government has to make in the thermal energy transition. Because also some groups were underrepresented (such as young people), this goal was said to be partly achieved. The case with the heat supplier has been terminated during the process, however, lessons can be learnt from the preparation of the process and therefore it is included.

### Discussing implementation options to achieve this goal

The used implementation options in the four cases are put alongside each other in Table 7.1. To give an elaborate overview, the extent to which the goal is achieved is also included, as well as the scale of the case.

As stated, both Utrecht and Nieuw Sloten are finished processes. Therefore the main discussion is on the insights from the in-depth case study and those two processes, with additional notes based on the cases for the Tarwewijk and the heat supplier. For both Utrecht and Nieuws Sloten, it is concluded that the goal is partly achieved. It is judged that Utrecht performed slightly better than Nieuw Sloten, based on the percentages of participants that had reported to have learnt.





	Utrecht	Nieuw Sloten	Tarwewijk	Heat supplier
<b>Achievement of goal</b>	 Partly achieved	 Partly achieved	 Unknown	 Not achieved
<b>Scale</b>	Municipality	Neighbourhood	Neighbourhood	Neighbourhood
<b>Status of decision-making</b>	Developing proposal	Setting the agenda à Proposal existing	Developing proposal	Developing proposal
<b>Citizens' power</b>	Limited dialogue	Limited dialogue à Yes, but	Limited dialogue	<i>Yes, but</i>
<b>Involvement of citizens during the process</b>	Before and during	Before, during and after	During	<i>Before, during and after</i>
<b>Degree of interaction</b>	Limited, but some	None	None	High
<b>Involvement of management personnel</b>	One phase	None	Multiple phases	Multiple phases
<b>Type of PVE</b>	Both	Open	Open	Open
<b>Inclusion of constraints and targets</b>	No/both constraints and targets	No constraints or targets	No constraints or targets	<i>No constraints or targets</i>
<b>Concreteness of options</b>	Mainly strategic, with properties	Mainly strategic, with properties	Mainly strategic, with properties	<i>Realistic and concrete, with properties</i>
<b>Openness to new ideas</b>	Encouragement for new ideas	Room for new ideas	Encouragement for new ideas	<i>No room for new ideas</i>

Table 7.1: Implementation options of the four cases with informing and educating as a goal.

### Type of PVE

To start with the type of PVE, van Delft (2021) concluded in her thesis that the open PVE suits best when the aim is to inform and educate the public, as this type of PVE reaches the most people. However, the national climate consultation indicates that an open PVE might have its downsides due to it working with self-selection. The participants of the open PVE namely reported less to have learnt than the participants of the panel PVE. A plausible explanation for this is that the education level of participants of the open PVE was higher and those participants had more affinity with the topic, and therefore had more prior knowledge. It is discussed in literature that it is not uncommon that people who have affinity with the topic participate (Coenen et al., 2009). This is a consequence of the open PVE that one might needs to consider.

When it comes to the two finished cases aiming for this goal, in Nieuw Sloten there was an open PVE. A challenge was that only a small amount of young people was reached by the PVE. It is seen that a

PVE that is only available open might only reach people who are connected to media-platforms etc. that the initiators of the consultation think of. This can lead to a representation of people who are similar to the initiator.

In Utrecht, the effect of underrepresenting people with particular demographic characteristics was countered by performing a panel PVE as well. The panel agency was explicitly asked to recruit less educated participants, as they were underrepresented in the groups of participants recruited in the open PVE. This ensures that those people learn about the topic as well.

It should be noted that a panel PVE is not always feasible due to the scale of the PVE. Nieuw Sloten, but also the Tarwewijk and the heat supplier's neighbourhood, are all just neighbourhoods. Because of the smaller scale an open PVE might be the only option. It is then recommended to give additional thought to including non-traditional groups, such as young people.

### **Citizens' power**

According to Beierle (1999), a top-down approach is sufficient for informing and educating. However, a PVE process cannot fit into this, as the consultation is always a form of sending and receiving information. The national climate consultation does not give an indication on whether citizens' power would have influence on this goal. In the cases of Utrecht and Nieuw Sloten, the idea was for them to have the same level of power, limited dialogue, but in Nieuw Sloten the assigned power changed due to external factor. There is no indication that the lower percentage of participants reporting to have learnt is caused by this shift in power.

### **Status of decision-making, inclusion of constraints and targets, and concreteness of options**

The examining of experiences of participants of the national climate consultation does not provide a basis to discuss the status of decision-making, since as far as found, citizens did not reflect on this. It is expected that the status of decision-making mainly taps into what there is for participants to learn about; if the problem is in the stage where a proposal is already being formed, there might be more concrete information available. However, it might be just as interesting to learn about a topic on a more visionary level.

In Nieuw Sloten, there was a challenge with respect to the status of the policy problem and what the initiator wanted for the process. The working group wanted to inform their neighbours in a broad sense, to let them know that the thermal energy transition was getting closer and would affect them in the future. However, during the process, the decision-making status changed from *setting the agenda* to *existing proposal*, as the municipality came up with a plan for the neighbourhood to become all-electric. The presentation of this plan clashed with the will of the working group to inform residents on the broader topic without creating commotion due to ongoing plans.

In Utrecht it was seen that participants still appreciated the information on the broader topic, even though the municipality was already in a next step that was more focused on making plans rather than setting the vision. This underlines the importance of knowing what to inform and educate about. There is no indication that the problem being in a further status influences the goal negatively.

Including constraints and targets can be a good way of showing participants what is negotiable and what is not, and if formulated clearly, they thereby reflect information. This was found in the national climate consultation, as many participants found it positive that the boundaries were shown: some explicitly mentioned this, while others reported that the trade-offs (induced by the boundaries) were educational for them.

This is underlined by the case in Utrecht. A target was included on the number of households that needed to be disconnected from gas and a budgetary constraint. Additionally, after a conversation with the Alderman, it was concluded that it would not be possible to assign the budget to other projects, as this would not be possible in the real execution and would thus lead to misinformation.

The inclusion of constraints and targets also has a downside. In the national climate consultation, there were participants who negatively reflected on the inclusion of constraints and targets, and in Utrecht the non-negotiable targets led to a reduce in meaningfulness for participants disagreeing to them.

For the concreteness of the options, a similar phenomenon is seen as for the constraints: the policy options are sources of information. However, their concreteness should fit the status of decision-making. There was a mismatch between those factors in the case of the heat supplier. The plans for renewal were still very open and the heat supplier was in the phase in which they were collecting information. However, the options shown to citizens while preparing the consultation were concrete. This information on the options did give some information to the citizens, but mainly created more questions on what the options were based on and whether they would meet citizens' needs. It was concluded by the heat supplier that this was mainly due to the lack of constraints and targets for the options to meet, such as via a program of requirements.

### **Involvement during the process**

It was seen in the case of the heat supplier that it helped to have citizens involved in the preparation of the PVE, as they had the chance to share their needs in the sense of information provision. This was also seen in Utrecht, in which citizens were specifically asked to check the information on whether it was on the right balance of being accessible and still realistic enough to be informative (the inclusiveness versus complexity dilemma).

In Nieuw Sloten citizens were the initiator and therefore citizens were included in the whole process. This was perceived to be positive as they thought to have a good idea of the current interest in the topic.



### **Involvement of management personnel**

In Utrecht the management personnel was involved in one phase, and in Nieuw Sloten in none of the phases. There is no indication that the difference in the extent to which the goal is achieved is grounded in this.

In the case with the heat supplier, decision makers were involved in all phases. They were also present in the deliberative meetings with citizens in the preparation of the PVE. It was observed that for the information provision, there is no indication that it matters whether one is the decision-maker or not.

### **Openness to new ideas**

In Utrecht, citizens were encouraged to think out of the box as this an explicit part of the PVE. In Nieuw Sloten, there was room for new ideas and participants did use this, but it was not explicitly asked for. It is expected that the explicit question for new ideas has a positive influence on the educating, as it is another form of stimulating citizens to think what they would like. If a PVE is in the stage where new ideas can be implemented, it is thus expected to be useful to ask for those for the goal of educating.

## **7.2 To incorporate public values, assumptions and preferences into decision making**

In this section, the goal of incorporating public values, assumptions and preferences into decision making is under consideration. The section aims to establish positive and/or negative effects caused by the used implementation options.

All cases pursue some form of this goal, but a distinction has already been made between the goal as formulated above and a lighter formulated version. The lighter version is about merely identifying preferences, public values and assumptions, rather than incorporating them. Given the amount of empirical material, the cases are also discussed according to this distinction. The first subsection deals with the lighter version of the goal, which is pursued by the cases on the future energy policy of Súdwest-Fryslân, the future energy policy of the region Foodvalley, the relaxation of Covid-19 measures, and the thermal energy transition vision for the neighbourhood Nieuw Sloten. The second subsection discusses the cases with the incorporation of preferences and values as their goal: the national climate consultation, the thermal energy transition vision for the municipality of Utrecht, the national consultation on medical fitness to drive, the infilling of the public space of the neighbourhood Tarwewijk and the renewing of heat supply in a neighbourhood.

## 7.2.1 To identify public values, assumptions and preferences

This subsection discusses the insights from the national climate consultation in combination with the examining of the four cases that pursued this goal and their chosen implementation options. Of the cases aiming for this goal, the cases in Súdwest-Fryslân, Foodvalley and the national case on the relaxation of Covid-19 measures are concluded to have achieved it, whereas in Nieuw Sloten the goal is only partly achieved.

### Discussing implementation options to achieve this goal

The used implementation options for each of the cases are shown in Table 7.2.





	Súdwest-Fryslân	Foodvalley	Covid-19	Nieuw Sloten
<b>Achievement of goal</b>	 Achieved	 Achieved	 Achieved	 Partly achieved
<b>Scale</b>	Municipality	Region	National	Neighbourhood
<b>Status of decision-making</b>	Setting the agenda	Setting the agenda	Proposal existing	Setting the agenda à Proposal existing
<b>Citizens' power</b>	Bottom-up	Limited dialogue	Limited dialogue	Limited dialogue à Yes, but
<b>Involvement of citizens during the process</b>	Before, during and after	During and after	During	Before, during and after
<b>Degree of interaction</b>	High	High	None	None
<b>Involvement of management personnel</b>	Multiple phases	Multiple phases	One phase	None
<b>Type of PVE</b>	Both	Open	Both	None
<b>Inclusion of constraints and targets</b>	No constraints or targets	No constraints or targets	Either constraints or targets	Open
<b>Concreteness of options</b>	Solely strategic, no properties	Mainly strategic, with properties	Realistic and concrete, with properties	No constraints or targets
<b>Openness to new ideas</b>	Encouragement for new ideas	Encouragement for new ideas	Room for new ideas	Mainly strategic, with properties

Table 7.2: Implementation options of the four cases with the identification of public values, assumptions and preferences as a goal.

### **Status of decision making and concreteness of the options**

When considering the status of decision-making, it can be seen for the cases of Súdwest-Fryslân, Foodvalley and the Covid-19 measures that the status corresponds with what the initiator wants to identify: in Súdwest-Fryslân and Foodvalley the focus was on values, which suited the early stage of the decision-making well, while in the Covid-19 case there was also a good fit as the decision-maker wanted to identify preferences between concrete measures that they came up with.

For Nieuw Sloten, a mismatch arose: the initiators wanted to identify openly what their neighbours would find important with regard to the thermal heat transition, but during the process there was a proposal from the municipality on what kind of transition would take place in the neighbourhood. Eventually this proposal was included as one of the policy options, which made the consultation useful despite the changed status.

### **Citizens' power**

The presentation of the proposal by the municipality in Nieuw Sloten also led to a change in influence. The initiators initially thought the consultation could serve as input for the composing of the municipality-wide vision, but as this vision was now already set up, their influence resembled the yes, but approach. There was a form of hear and be heard, but no influence. This, however, did not seem to negatively influence this specific goal, as preferences could still be gathered and the yes, but strategy is thus sufficient. Two of the other cases had a limited dialogue structure as a decision-making role, and in Súdwest-Fryslân citizens were even included in a bottom-up approach. There is no indication that these increased forms of power attributed to the achievement of the goal.

### **Involvement of the public and degree of interaction**

The importance of in what stages of the problem to involve the public, and how much interaction is needed also links to whether one is interested in values or preferences on concrete options. When the focus is on values, the translation of the outcomes of the PVE to advice by the citizen's forum is concluded to have had a positive influence; this asks for involvement after and interaction. For simply identifying preferences, the PVE itself is considered to be sufficient and interaction is not necessary.

### **Involvement of management personnel**

In Súdwest-Fryslân and Foodvalley management personnel was involved in multiple phases and in the case on the relaxation of Covid-19 measures the management was involved in one phase, whereas the management is not included in the case in Nieuw Sloten. Based on the methodology in Figure 7.2, this gives an indication that the infilling of this implementation choice might influence the achievement of the goal. However, based on the interview with the involved researcher, there is no reason to conclude that this implementation option might have influenced the outcome of the achievement of this goal.

### **Type of PVE**

In Súdwest-Fryslân and in the case on Covid-19 measures, both an open and a panel PVE were performed. In Foodvalley and Nieuw Sloten there was only an open PVE. In the national climate consultation, participants of the open PVE reported to doubt its representativeness. In Nieuw Sloten, concerns about the representativeness of an open PVE proved to be justified, since the recruitment by the citizens' working group missed a part of the neighbourhood's society: for example, young people were underrepresented. In this sense, the preferences of the 'average inhabitant of the neighbourhood' could not be identified properly.

Performing a panel PVE circumvents this, as a panel is set up in order to be representative for the population under consideration. It is also possible to add the characteristics of the panel PVE to the open PVE, as discussed in the previous section. An open PVE might lead to a more representative group if invitations are sent and a small reimbursement is given.

### **Inclusion of constraints and targets, concreteness of options and openness to new ideas**

These three implementation choices also link to the specification of the goal. For Foodvalley, some of the participants disliked that they had to assign all of the 100 points to the options even if they disapproved them. However, this was countered by the options being strategic and the room for sharing motivations and concerns. In the end, limited attention was given to the points and focus was on the written answers, as requested by the involved citizens in the processing of the outcomes. This underlines the importance of their involvement when identifying values.

In the case of Covid-19, the inclusion of the constraint and the concrete options contributed positively to the goal of identifying preferences, as this made the process straightforward and participants' preferences could clearly be identified based on this.

In Nieuw Sloten, it was hard to find explanations for the preferences citizens shared. There were four options included, of which one resembled the status quo. The other three were very different from the status quo with regard to their properties, but relatively similar to each other. This resulted in the absence of statistical correlation between the preferences and their properties. It was chosen to include realistic properties since the PVE also served as a way of informing citizens. However, considering the goal of identifying preferences, the realism of the properties influenced the achievement of the goal negatively.

## **7.2.2 To incorporate public values, assumptions and preferences into decision making**

The original version of the second goal, the incorporation of public values, assumptions and preferences is pursued in the national climate consultation and in four comparative cases. In Utrecht the goal of incorporating public values, assumptions and preferences is judged to be achieved, while for the national climate consultation the goal is partly achieved. The cases on medical fitness to drive and the infilling of the public space in the Tarwewijk are still ongoing, and the case with the heat supplier has been terminated during the process. The latter three are considered as lessons can be learnt from these cases.

### **Discussing implementation options to achieve this goal**

The used implementation options of each of the cases are shown in Table 7.3.

#### **Status of decision making**

As for the lighter version of this goal, the distinction between whether to incorporate preferences or values can be important. Except for the case on the renewal of the system on medical fitness to drive, all the cases pursuing this goal took/take place in a phase in which the decision maker is working towards policy, but has no proposal yet. This is judged to positively contribute to the incorporating of values, as in this early stage, the problem is more open and policy can be more easily shaped with these values included.

#### **Citizens' power**

When the aim is to incorporate the values and preferences of participants, their power should by definition at least be in the form of a limited dialogue. In the case of the heat supplier, there was tension between the wish to give citizens a say, and the ultimate choice for the renewal being made by the heat supplier based on technical feasibility and the best business plan. The options they proposed contained an option that was requested by citizens, but which was infeasible for the heat supplier and would thus never be implemented. The eventual process would therefore probably have had the yes, but approach, which by definition makes the incorporation of preferences impossible. This is said to negatively influence the goal.

#### **Involvement of citizens during the process and degree of interaction**

In Utrecht, citizens were involved in the preparation to some extent, mainly to check whether the provided information was understandable. The involvement of citizens in the case on medical fitness to drive was more intense. This resulted in two additional options to improve the system which the Ministry approved to include. The involvement before the consultation is judged to affect the achievement of the






	Climate	Utrecht	Fitness to drive	Tarwewijk	Heat supplier
<b>Achievement of goal</b>	 Partly achieved	 Achieved	 Unknown	 Unknown	 Not achieved
<b>Scale</b>	National	Municipality	National	Neighbourhood	Neighbourhood
<b>Status of decision-making</b>	Developing proposal	Developing proposal	Proposal existing	Developing proposal	Developing proposal
<b>Citizens' power</b>	Limited dialogue	Limited dialogue	Limited dialogue	Limited dialogue	<i>Yes, but</i>
<b>Involvement of citizens during the process</b>	During	Before and during	Before and during	During	<i>Before, during and after</i>
<b>Degree of interaction</b>	None	Limited, but some	High	None	High
<b>Involvement of management personnel</b>	One phase	One phase	Multiple phases	Multiple phases	Multiple phases
<b>Type of PVE</b>	Both	Both	Both	Open	Open
<b>Inclusion of constraints and targets</b>	P1: Both constraints and targets, P2: None	No/both constraints and targets	P1: Either constraints or targets, P2: None	No constraints or targets	<i>No constraints or targets</i>
<b>Concreteness of options</b>	Mainly concrete, with properties	Mainly strategic, with properties	Mainly concrete, with properties	Mainly strategic, with properties	<i>Realistic and concrete, with properties</i>
<b>Openness to new ideas</b>	Encouragement for new ideas	Encouragement for new ideas	Encouragement for new ideas	Encouragement for new ideas	<i>No room for new ideas</i>

Table 7.3: Implementation options of the five cases with the incorporation of public values, assumptions and preferences as a goal.

goal positively based on the two cases, and the interaction in the case of medical fitness to drive is also judged to be positive.

Despite those positive effects, the case of the heat supplier illustrates that one should involve citizens considerably: when citizens are given too much room in the preparation, they might already start pushing their values and preferences before the consultation has started. This can be undesirable, as the involved citizens in this stage are only a small subset of the future participants.

### **Type of PVE**

It was stated by van Delft (2021) that if one had to choose, a panel PVE should be performed, as this type is best at ensuring the representativeness that is important to incorporate values and preferences of the ‘average citizen’. The importance of representativeness was underlined by many participants in the open PVE of the national climate consultation worrying about whether the outcomes of that consultation

would reflect the average Dutch citizen. By checking the demographic characteristics of both the panel PVE and the open PVE for the climate consultation, it was found that they were right in their concerns and that the distribution of demographic characteristics matches that of the population better.

It would be interesting to compare the results of the open and the panel PVE for the consultation on medical fitness to drive, as it is expected that the difference in affinity with the topic is even bigger. It is expected that the open PVE is mostly filled in by citizens with an interest in the renewal of the system, as the topic does not speak that much to citizens who do not. The latter group of citizens are, however, indirectly affected by the system, and therefore it is important to gather their preferences and values as well. Doing both an open and a panel PVE is expected to contribute positively to the incorporation of preferences and values of people who have more experience with the topic and people who do not.

In the Tarwewijk, the PVE will probably be open, due to its scale. It is expected to be important to give additional attention to the recruitment of non-traditional groups to include their voices as well.

#### **Involvement of management personnel**

The management was included in one phase for the case in which the goal was concluded to be partly achieved, the climate consultation, and in a case in which the goal was concluded to be achieved. This, in principle, gives an indication that the difference in achievement of the goal should be assigned to other implementation options.

The case in Súdwest-Fryslân indicates that involving the management in more phases can contribute positively. The case was included in Section 7.2.1, as the formulated goal was to identify preferences and values. However, eventually these preferences and values were implemented as well. The involved researcher said that the involvement of the Alderman contributed to this, as he felt ownership over the process and was increasingly involved of its set-up. Consequently, this contributes positively to the adoption of the values and preferences.

#### **Inclusion of constraints and targets, concreteness of options and openness to new ideas**

For the inclusion of constraints and targets, and the concreteness of options, the match between the status of decision-making and what one is willing to incorporate is most important, as it was for the lighter version of the goal. Both in the national climate consultation and in Utrecht, some participants felt to have no room to disagree to the main goal set by the decision-maker, even when there explicitly was in the national climate consultation in the second part. It is judged that insignificantly highlighting the

option to disagree to constraints and targets of the consultation affects the achievement of this goal negatively.

In the case with the heat supplier, the lack of constraints and targets and the concreteness of the options did not match each other and the status of decision-making. This is further discussed in Sections 7.1 and 7.4, as the decision-making role is the main reason that this goal could not be achieved.

The openness to new ideas was the same in all considered cases, based on the experiences of citizens in the national climate consultation, this is judged to contribute positively.

### **7.3 To increase the substantive quality of the decision**

For none of the selected cases, (a goal similar to) the goal of increasing the substantive quality of decision was mentioned. This section is included though, to add insight on the type of PVE based on the national climate consultation, that differs from the outcome of van Delft (2021) who claims that increasing the substantive quality of a decision is best to be achieved via a panel PVE.

The national climate consultation gives the indication that the open PVE might be better at increasing the substantive quality of the decision. In that consultation, participants were invited to include alternative ideas as climate measures (Mouter et al., 2021d, p.157). Some of the ideas shared by participants are adjustments on the proposed measures to make them more effective or fair, while others are named "out-of-the-box" ideas. The involved researcher said that most of the alternative ideas came from the open PVE. A reason for this might be that such ideas come from citizens who are positive on ambitious climate measures. To illustrate, in the open PVE, 11% of the participants were in favour of ambitious action, while in the panel PVE 6% was in favour of this (Mouter et al., 2021d, p.11).

When the goal is to collect adjustments to measures or alternative measures to increase the substantive quality of a decision, one could thus say that an open PVE with the encouragement to bring new ideas seems to have a positive influence on this.

### **7.4 To improve or foster relationships between involved parties**

This section discusses the goal of improving or fostering relationships between involved parties. The cases on the future energy policy for the Súdwest-Fryslân and for such policy for the region Foodvalley addressed this goal, as well as the ongoing case on medical fitness to drive and the prematurely terminated case on renewing the heat supply in a neighbourhood. One of the reasons for the termination of the latter case with the heat supplier was that the citizens' committee's confidence in the competences



of the heat supplier had declined too much. Therefore, it is concluded that the goal is not achieved. However, the heat supplier said in the evaluation that it did help to keep the conversation going. For the case in Foodvalley, the goal is concluded to be partly achieved, as the decision-makers did work together well in the process, but it also led to commotion. This section discusses the lessons learnt from these four cases.

## Discussing implementation options to achieve this goal

Their implementation options are put alongside each other in Table 7.4.





	Súdwest-Fryslân	Foodvalley	Fitness to drive	Heat supplier
<b>Achievement of goal</b>	 Achieved	 Partly achieved	 Unknown	 Not achieved
<b>Scale</b>	Municipality	Region	National	Neighbourhood
<b>Status of decision-making</b>	Setting the agenda	Setting the agenda	Proposal existing	Developing proposal
<b>Citizens' power</b>	Bottom-up	Limited dialogue	Limited dialogue	<i>Yes, but</i>
<b>Involvement of citizens during the process</b>	Before, during and after	During and after	Before and during	<i>Before, during and after</i>
<b>Degree of interaction</b>	High	High	High	High
<b>Involvement of management personnel</b>	Multiple phases	Multiple phases	Multiple phases	Multiple phases
<b>Type of PVE</b>	Both	Open	Both	Open
<b>Inclusion of constraints and targets</b>	No constraints or targets	No constraints or targets	P1: Either constraints or targets, P2: None	<i>No constraints or targets</i>
<b>Concreteness of options</b>	Solely strategic, no properties	Mainly strategic, with properties	Mainly concrete, with properties	<i>Realistic and concrete, with properties</i>
<b>Openness to new ideas</b>	Encouragement for new ideas	Encouragement for new ideas	Encouragement for new ideas	<i>No room for new ideas</i>

Table 7.4: Implementation options of the four cases with the improving or fostering of relationships as a goal.

### Status of decision making

For both cases of which the outcome is known, decision-making was in a stage where the agenda was being set. Consulting on the problem in that phase is expected to have positive influence, as in this phase it is easier to find common ground, since focus can be more on values. It was seen in Foodvalley that the citizens' struggled with the statistical information on the preferences, but appreciated the qualitative

outcomes of the consultation. The citizen's committee in the case of the heat supplier were said to initially reply happily to the announcement that the system would be renewed, and appreciated that they could have a say in the new plans.

### **Citizens' power**

In Súdwest-Fryslân, the approach was bottom-up. Citizens were part of the shaping of the policy problem and the proposed policy options to be included in the consultation. This contributed to the ownership citizens felt, and therefore this influenced the achievement of the goal positively.

In the case with the heat supplier, the yes, but approach was in place. This approach is expected to have a negative influence: citizens in the case with the heat supplier indicated in meetings that they struggled with the idea that they would be able to express their preferences on the options, while the heat supplier would ultimately make the choice based on technical and financial feasibility. It seemed to give them a sense of pretence.

### **Involvement of citizens during the process**

For both Foodvalley and Súdwest-Fryslân, citizens were involved in more than just the consultation itself. The citizens' forums that translated the outcomes of the PVE to advice to the policy-makers was seen to have a positive influence on the relationships in both cases. The researcher involved in the case in Foodvalley said that it was interesting to see that even though Foodvalley does not exist as an identity, one of the conclusions in the advice was that the energy policy should be handled as a region rather than as separate municipalities.

For Súdwest-Fryslân, the involved researcher explained that a main driver for the achievement of this goal was the involvement of citizens during the process; in this case they were involved both before and after the actual consultation. This led to citizens having a sense of ownership throughout the process. In the citizens' forum, the outcomes of the process could be translated to leading principles and these could be communicated to the decision-makers in this way.

The involvement of citizens, both before and after the consultation, is judged to positively influence the achievement of this goal.

In the case on medical fitness to drive, citizens were involved via interest groups who represented them, such as a patients' association or doctors' federation. This underlines the idea that involvement in the preparation of a PVE is positive, as the conversations were perceived by the involved researcher as constructive and valuable. There is, however, no conclusion yet on the achievement of the goal in that process.

### **Degree of interaction**

For all four cases, the interaction is judged to be of a high degree. Some interaction is theoretically seen as necessary, and these high degrees of interaction were thus expected to be positive. This is underlined by Súdwest-Fryslân and already a bit by the case of medical fitness to drive.

However, it should be noticed that interaction does not always lead to consensus, as was seen in the case of the heat supplier. It was learnt from this case that the decision-maker should have good internal agreements on what to be transparent on and how to shape the deliberative sessions. The case showed, for example, that more supply of information can create even more demand for information. If this information is then not available, this has a negative influence on the relationship.

### **Type of PVE**

In examining the national climate consultation, it was found that the participants of the open PVE reported more often to have gained understanding of the government(s dilemmas) than the panel PVE, for which the self-selection might be a plausible explanation.

For two of the cases that pursued this goal it was chosen to conduct both an open and a panel PVE, and for the other two an open PVE was conducted. For this particular goal, an open PVE is expected to have a positive influence, as it is expected that it is crucial for the improvement or fostering of relationships that everyone who wants to participate, can participate and that no one is excluded, and because of the aforementioned self-selection. There is no indication that the outcome that the case in Súdwest-Fryslân did better at achieving this goal than the case in Foodvalley is related to the inclusion of the panel PVE.

### **Involvement of management personnel**

The management is involved in multiple phases for all four cases. Following the scheme in Figure 7.2, this means that this is not an explanatory implementation option. However, the involved researcher reflected positively on the involvement of the Alderman in the process in Súdwest-Fryslân. As discussed, it gave the Alderman a sense of ownership over the process, and it placed him closer to the citizens. The involvement of management personnel in multiple phases is therefore concluded to contribute positively to this goal.

### **Inclusion of constraints and targets, concreteness of options and openness to new ideas**

The case in Súdwest-Fryslân started early in the decision-making of the municipality. This led to it being possible that there were no constraints, solely strategic options and encouragement to bring new ideas. This openness and the focus on vision helped in focusing on shared values rather than on disagreements on operational details, which is expected to contribute positively to the achievement of the goal.

In Foodvalley, it was chosen that participants were obliged to assign all of the 100 points and there was no status quo option included. This led to frustration for some of the participants, as they had to assign points to options they disliked. However, as the options were mainly strategic and could be complemented with motivations and concerns, it was possible to not focus too much on the points assigned, but to focus on the qualitative outcomes. Due to the stage of the policy problem, it was possible to assign no further constraints or targets in the PVE.

For the case on medical fitness to drive, the decision-making is in another stage, as the decision entails adjustments to the current system. This timing leads to more concrete policy options. Next to that, the Ministry is also open to new ideas.

As explained in Section 7.1, in the case of the heat supplier the mismatch between the timing, the lack of constraints and/or targets and the concreteness of the options led to confusion and frustration. This mismatch is said to negatively contribute to this goal.

## 7.5 Overview of the effects of the implementation options per goal

This section is aimed at finding some overarching conclusions on the effects of implementation options on the goals.

To start with, for Goals 1, 2a and 2b, it turned out to be important for the implementation options what to inform about, what to identify or what to incorporate in terms of focus on values or preferences. The importance of the match between this and the implementation options was also discussed. The effects of implementation options can be underlined by strong evidence or indicative evidence. The difference between the two lies in the amount of empirical material and literature to underline the statement.

To capture this distinction, PVEs can be categorised by being strategic, tactical or operational:

- A **strategic** PVE is one that focuses on the problem in a broad way, on setting a vision and considering values. The effects of implementation options are:
  - There is strong evidence that options being strategic contributes positively.
  - There is indicative evidence that the status of decision-making being *setting the agenda* has positive influence.
  - There is indicative evidence that the exclusion of constraints and targets contributes positively.
- An **operational** PVE is one that focuses on the solution to a policy problem rather than on the problem itself. The effects of implementation options are:

- There is indicative evidence that the status of decision-making being *existing proposal* contributes positively, due to the available information in that stage.
  - There is indicative evidence that the options being concrete has positive influence.
  - There is indicative evidence that including constraints and/or targets contributes positively.
- A **tactical** PVE is one that could be placed in between the two. As this type is less distinctive, there is no specific evidence on the influence of implementation options.

A mismatch between these factors was found in one case: there is indicative evidence that the combination of *setting the agenda* and *concrete* policy options contributes negatively to the achievement of goals.

When aiming to achieve Goal 1, distinguishing whether one wants to inform about the policy problem in a broad way (strategic PVE) or on possible solutions to the policy problem (operational PVE) gives indications on the effects of the status of decision-making, the inclusion of constraints and targets and the concreteness of the options. Furthermore, there is strong evidence that performing an open PVE contributes positively and indicative evidence that a panel PVE contributes positively, as this ensures informing a big amount of citizens and the informing of some participants of non-traditional groups. There is indicative evidence that the involving citizens in the preparation of the consultation influences the goal positively, as this can help shape the information in an appropriate way. Lastly, there is indicative evidence that the encouragement for new ideas contributes positively.

For Goal 2a and Goal 2b, the effects of the status of decision-making, the inclusion of constraints and targets and the concreteness of options is indicated by distinguishing whether one wants to identify/incorporate values (strategic PVE) or preferences (operational PVE). For both goals, there is strong evidence that using a panel PVE contributes positively. For Goal 2a, there is strong evidence that the involvement of citizens in the processing of the outcomes contributes positively if the focus is on values. For Goal 2b there is indicative evidence that the involvement of citizens in the preparation of the PVE and a high degree of interaction contributes positively, when this is arranged well. There is strong evidence that the achievement of Goal 2b is affected negatively if citizens' power fits the yes, but approach. For this goal there is also indicative evidence that the involvement of management personnel in multiple phases contributes positively. Lastly on Goal 2b, there is indicative evidence that the encouragement for sharing new ideas contributes positively, if there is actual room for new ideas in the solving of the problem.

On Goal 3, there is only indicative evidence that an open PVE positively contributes to this goal.

For Goal 4, there is strong evidence that early involvement contributes positively, and so does a focus of vision by including strategic options and no constraints. It could thus be said that the use of strategic PVE contributes positively to this goal. There is indicative evidence that the bottom-up approach contributes positively to this goal, and the yes, but approach negatively. There is strong evidence that a high degree of interaction, involvement of citizens in the processing of the process and involvement of citizens in the preparation of the consultation contribute positively. There is indicative evidence that the involvement of management personnel in multiple phases contributes positively.

# 8

## Conclusion

In this chapter, the main conclusion of the research is presented, which answers the main research question:

*How can goal-dependent implementation choices in a participatory process using the Participatory Value Evaluation method affect the achievement of its goals?*

To answer the main research question, five sub-questions were formulated. The answering of the sub-questions builds up to the answering of the main research question.

- 1. What implementation choices and goals for participatory processes are discussed in literature?**
- 2. How can the goals be translated to the PVE method, which of the implementation choices found in literature are goal-dependent, and how can those goal-dependent implementation choices be translated to the PVE method?**

The answering of the first sub-question gave a long list of implementation choices and goals for participatory processes. The answering of the second sub-question shortened these lists into a framework that can be applied to analyse processes using the PVE method.

The framework includes five goals, being 1) To inform and educate the public, 2) To incorporate public values, assumptions and preferences into decision making, 3) To increase the substantive quality of decision, 4) To improve or foster relationships between involved parties, and 5) To make decisions cost-effectively. The latter acts as a gatekeeper for the other goals; it argues that “public participation programs must earn their keep by producing results which justify the added effort” (Beierle, 1999, p.87).

Furthermore, the framework includes a subset of the implementation choices as established in sub-question 1: it includes the implementation choices that are expected to be goal-dependent. This means that the infilling that contributes to the achievement of a particular goal, differs per goal. Nine goal-dependent implementation choices are included in the framework, along with their implementation options, as presented in Table 8.1

Inclusion of constraints and targets			
No constraints or targets	Either constraints or targets	Both constraints and targets	
Concreteness of policy options			
Solely strategic, no properties	Mainly strategic, with properties	Mainly concrete, with properties	Realistic and concrete, with properties
Openness to new ideas			
No room for new ideas	Room for new ideas	Encouragement for new ideas	
Involvement of citizens during the process			
During the consultation	Before and during	During and after	Before, during and after
Degree of interaction			
None	Limited, but some	High	
Status of decision-making			
Proposal existing	Developing proposal	Setting the agenda	
Type of PVE			
Open	Panel	Both	
Involvement of management personnel			
None	One phase	Multiple phases	
Citizens' power			
Top-down	Yes, but	Limited dialogue	Bottom-up

Table 8.1: Goal-dependent implementation choices (yellow boxes) and their corresponding implementation options.

**3. What goals were pursued in the national climate consultation, what goal-dependent implementation choices were made in attempt to achieve them, to what extent were the goals achieved and what can be learnt from the experiences shared by participants in the PVE?**

After the framework was established, it is first applied to the national climate consultation, which serves as the in-depth case study for this thesis. The outcomes of the application of the framework answer the first three parts of this sub-question. Its outcomes are presented in Figure 8.1.



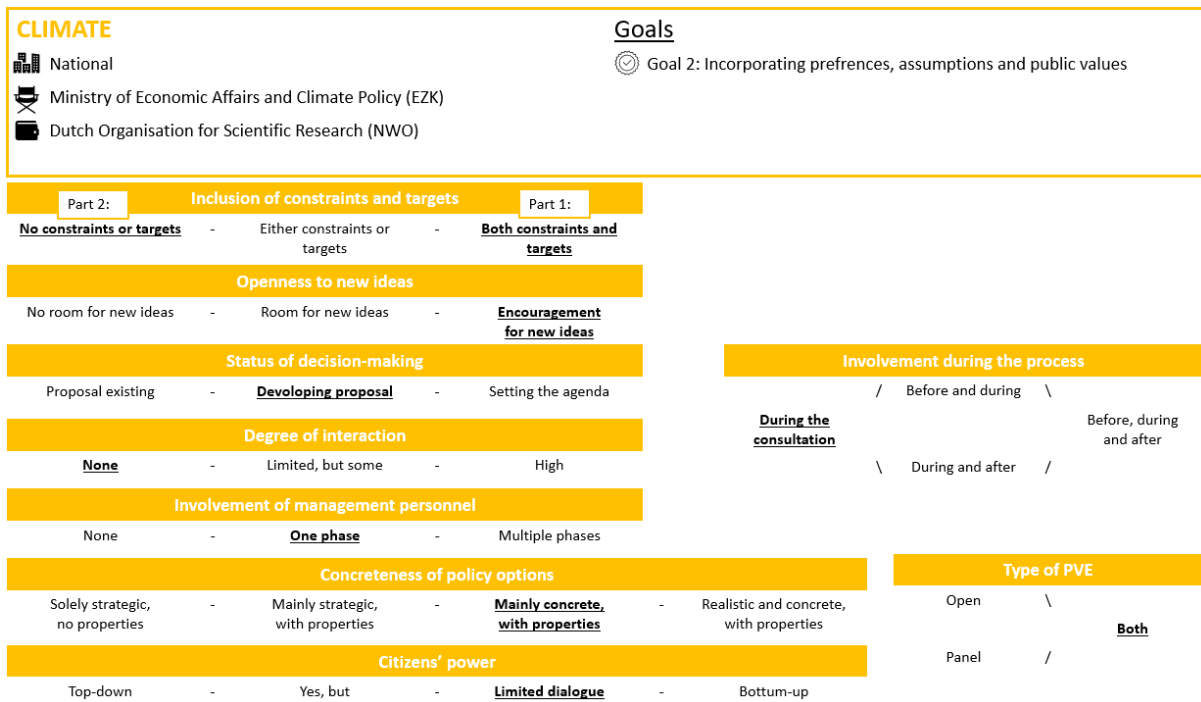


Figure 8.1: Characteristics, goals, their achievement and selected implementation options of the national climate consultation. (This figure is a copy of Figure 5.2)

The answering of the latter part of the third sub-question consists of participants reporting on the goals and included implementation options. When it comes to the goals and the corresponding rationales, there are reflections on each of them. On educating and informing, a bigger percentage of the participants in the panel PVE reported to have learnt than in the open PVE. A plausible explanation for this is that the participants in the open PVE show to have more affinity with the subject, and therefore probably have more knowledge prior to the consultation. For participants to feel involved, in order to incorporate their preferences or values for the normative, instrumental (Goal 2), or substantive rationale (Goal 3), the same holds: a bigger percentage of the participants in the panel PVE report this compared to the open PVE. It is expected that this could be caused by the participants of the open PVE joining by self-selection; they have chosen themselves to be involved, so they are less likely to explicitly report on this. Self-selection might also be the cause for participants of the open PVE reporting more often to have gained an increased understanding of government(s dilemmas), which will contribute to the improving or fostering of relationships.

Participants also reflect on some of the goal-dependent implementation choices. To start with the inclusion of the constraint and the target, participants reflect positively on the inclusion of them in the sense that they are sources of information, they stimulate participants to think due to the trade-offs they create and they thereby also give more insight in the dilemma's government faces. However, some participants reflect negatively on the target and constraint, because they feel that it sends them in a predetermined direction.

Policy options being mainly concrete are also perceived as sources of information. However, the options having a concrete scope also emphasises what is out of the scope of those options. Several participants have reported the proposed options were too few. The openness to new ideas in the second part countered this for some of the participants.

The degree of power assigned to citizens was the same for all participants, but it was perceived in various ways. This underlines the importance of clarifying the influence that participants will have and how the outcomes of the consultation will be handled.

**4. What goals were pursued in other previous applications of the PVE method, what goal-dependent implementation choices were made in attempt to achieve them and to what extent were the goals achieved?**

In order to answer this sub-question, eight cases were selected to be comparative cases next to the national climate consultation. The goals pursued by those cases are categorised by the framework and the outcomes of that categorisation is presented in Figure 8.2. The extent to which the goals are achieved is included. As shown in the figure, Goal 2 is divided into two levels: the incorporation of public values, assumptions and preferences, versus mainly their identification. This division is made based on the formulations of the goals of the cases, and because it was expected that the effects of implementation options would differ for the two.

Goals \ Cases	1. Informing and educating	2a. Identifying public values, assumptions, preferences	2b. Incorporating public values, assumptions, preferences	3. Increasing substantive quality	4. Improving or fostering relationships	5. Cost-effectiveness
National climate consultation			☑			
1. Súdwest-Fryslân		☑			☑	
2. Foodvalley		☑			☑	
3. Utrecht	☑		☑			☑
4. Covid-19		☑				
5. Nieuw Sloten	☑	☑				
7. Medical fitness to drive			?		?	
8. Tarwewijk	?		?			
9. Renewing heat supply	✘		✘		✘	





 = Goal achieved, 
  = Goal partly achieved, 
  = Unknown whether goal is achieved, and 
  = Goal not achieved.

Figure 8.2: Overview of the goals per case, and whether they were achieved. (This figure is a copy of Figure 7.1)

The used implementation options for each of the cases are shown in Tables 8.2 and 8.3.

	Súdwest-Fryslân	Foodvalley	Utrecht	Covid-19
<b>Status of decision-making</b>	Setting the agenda	Setting the agenda	Developing proposal	Proposal existing
<b>Citizens' power</b>	Bottom-up	Limited dialogue	Limited dialogue	Limited dialogue
<b>Involvement of citizens during the process</b>	Before, during and after	During and after	Before and during	During
<b>Degree of interaction</b>	High	High	Limited, but some	None
<b>Involvement of management personnel</b>	Multiple phases	Multiple phases	One phase	One phase
<b>Type of PVE</b>	Both	Open	Both	Both
<b>Inclusion of constraints and targets</b>	No constraints or targets	No constraints or targets	No/both constraints and targets	Either constraints or targets
<b>Concreteness of options</b>	Solely strategic, no properties	Mainly strategic, with properties	Mainly strategic, with properties	Realistic and concrete, with properties
<b>Openness to new ideas</b>	Encouragement for new ideas	Encouragement for new ideas	Encouragement for new ideas	Room for new ideas

Table 8.2: Implementation options used in the comparative cases (1/2)

	Nieuw Sloten	Fitness to drive	Tarwewijk	Heat supplier
<b>Status of decision-making</b>	Setting the agenda à Proposal existing	Proposal existing	Developing proposal	Developing proposal
<b>Citizens' power</b>	Limited dialogue à Yes, but	Limited dialogue	Limited dialogue	<i>Yes, but</i>
<b>Involvement of citizens during the process</b>	Before, during and after	Before and during	During	<i>Before, during and after</i>
<b>Degree of interaction</b>	None	High	None	High
<b>Involvement of management personnel</b>	None	Multiple phases	Multiple phases	Multiple phases
<b>Type of PVE</b>	None	Both	Open	Open
<b>Inclusion of constraints and targets</b>	Open	P1: Either constraints or targets, P2: None	No constraints or targets	<i>No constraints or targets</i>
<b>Concreteness of options</b>	No constraints or targets	Mainly concrete, with properties	Mainly strategic, with properties	<i>Realistic and concrete, with properties</i>
<b>Openness to new ideas</b>	Mainly strategic, with properties	Encouragement for new ideas	Encouragement for new ideas	<i>No room for new ideas</i>

Table 8.3: Implementation options used in the comparative cases (2/2)

## 5. How do the goal-dependent implementation choices in a PVE process affect the achievement of its goals?

This sub-question, which follows up on the previous four sub-questions, is equivalent to the main research questions. In Chapter 7, the observed effects of used implementation options are discussed elaborately per goal. In its overview in Section 7.5, three kinds of PVEs are established, because some of the implementation options were found to depend on each other and on whether the PVE was focused on the vision of the problem (strategic PVE), the solutions to the problem (operational PVE), or in between (tactical PVE). The effects of implementation options per goal are discussed in Table 8.4. In this table, whether the effect is positive or negative is indicated by a '+' or a '-' respectively. The effect is underlined when it is supported by strong evidence, and italic when there is indicative evidence. A box is left empty when there is no indication of an effect.

	Goal 1	Goal 2a	Goal 2b	Goal 3	Goal 4
<b>Status of decision-making</b>	Strategic PVE: +: <i>Status of setting the agenda</i> +: <i>No constraints and targets</i>				+: <u>Setting the agenda</u> +: <u>No constraints and targets</u>
<b>Inclusion of constraints and targets</b>	+: <u>Strategic options</u> Operational PVE: +: <i>Status existing proposal</i>				+: <u>Strategic options</u>
<b>Concreteness of options</b>	+: <i>Targets and/or constraints</i> +: <i>Concrete options</i>  -: <i>Concrete options when information is still being gathered</i>				→ Strategic PVE
<b>Openness to new ideas</b>	+: <i>Encouragement for new ideas</i>		+: <i>Encouragement for new ideas</i>		
<b>Involvement of citizens during the process</b>	+: <i>Before</i>	When strategic: +: <u>After</u>	+: <i>Before</i>		+: <u>Before</u> +: <u>After</u>
<b>Degree of interaction</b>			+: <i>High</i>		+: <u>High</u>
<b>Type of PVE</b>	+: <u>Open</u> +: <i>Panel</i>	+: <u>Panel</u>	+: <u>Panel</u>	+: <i>Open</i>	+: <u>Open</u>
<b>Involvement of management personnel</b>			+: <i>Multiple phases</i>		+: <i>Multiple phases</i>
<b>Citizens' power</b>			-: <u>Yes, but</u>		+: <i>Bottom-up</i> -: <i>Yes, but</i>

Table 8.4: Overview of effects of implementation choices per goal. A plus sign indicates a positive effect, and a minus sign a negative effect. There is strong evidence for the effect of the underlined options, and indicative evidence for the effect of the italic options.

Table 8.4 shows how some implementations contribute positively to some of the goals, where no effect is found in other goals. The type of PVE is an important implementation choice, and the option that contributes positively differs per goal. Furthermore, it shows when additional effort is expected to pay off, which is in line with gatekeeping Goal 5. The involvement of management personnel in multiple is expected to pay off when the goal is to incorporate public values, assumptions and preferences or to improve or foster relationships. And for the latter, the involvement of citizens before and after the process is expected to pay off as well. In Figures B.1 – B.5 in Appendix B, the implementation options are shown in the phases of the process.



# 9

## Discussion and recommendations

Within this chapter, Section 9.1 reflects on the limitations of this study and makes recommendations for further research. Section 9.2 provides some additional reflection on literature. Lastly, Section 9.3 discusses the practical implications for conducting a PVE process and for Populytics.

### 9.1 Discussion and recommendations for further research

#### 9.1.1 Discussion on coping with ambivalence

In most of the cases, multiple goals were aimed for, while the effects of implementation options are considered per goal. This might make deciding on which implementation options complex, as these might be contradicting. Bobbio (2019) calls this coping with ambivalence. On participation processes, he reflects: "they are open to new solutions, but often force participants to confirm those that have already been made; they aim at making policymakers learn from citizens, but, at the same time, they put the participants in the position of having to discuss within pre-defined agendas and already framed problems." He expresses that one kind of ambivalence is present in one case, and another in the other, but that a kind of ambivalence is often present. A form of this ambivalence is seen in the inclusiveness-complexity dilemma that is studied by Mouter et al. (2021c) and Nouws (2020). But it is also seen in the dilemma of how much room to give participants to disagree with the main assumptions of a consultation. The latter would be interesting to investigate in future research. Ideas that might be interesting to consider are the added value of explaining the reason to include a target, the influence of the order of questions if participants can participate inside and outside of the box, and a box to check saying "I don't consider these options to be best, but I consider them the least bad" with additional open space to explain this. The coping with ambivalence in itself does not have to be a problem, as this is common for political processes. Finding the right balance is the main challenge for which, as stated, further research would be interesting.

### 9.1.2 Discussion of the composition of goals

The definition found for effective participation is the following: Public participation can be judged to be effective when it fulfils the goals of all involved parties (Rowe and Frewer, 2005). However, in this study, only the goals of the main partners, formulated by the researchers, are considered. In most of the cases, other parties were not asked about their goals, and it is impossible to reverse engineer them. The reason for this is that, for example, the citizens did not come together and discuss their goals. Therefore, there are different views on what a certain participatory process should enhance. It was found in the experiences shared by participants of the national climate consultation that their wishes are conflicting and thus incompatible. In future research, it would be interesting to gather more empirical material in the same way as was done in Utrecht (Mouter et al., 2021c).

Additionally, a researcher stated in an interview that as researchers they have an idea of how proper participation looks like. This does not always correspond to the way clients prefer to organise their participation. Clark (2018) discussed this phenomenon by stating that the public values of facilitators are seen to influence the design choices. It was found in cases that the client sometimes changes its goals along the way, which leads to the rise of the dilemma to what extent to move along with that. This is discussed further in Section 9.3.2 in which the implications for Populytics are discussed.

Furthermore, to be able to compare cases, the goals were categorised. However, this loses some of the details of the cases, and when they were compared some details turned out to be relevant. However, when the goals would not be categorised, it would be hard to base conclusions out of the cases, as there were so few cases per goal. Now the goals had the following number of cases:

- To inform and educate: n=4
- To identify public values, assumptions and preferences: n=4
- To incorporate public values, assumptions and preferences into decision making: n=5
- To increase the substantive quality of decisions: n=0
- To improve or foster relationships between involved parties: n=4

Studying more cases will increase the quality of the conclusions. Furthermore, it would be interesting to categorise the goals together with the decision-maker in the future. This helps in knowing whether the goal is understood correctly.

In the discussion of the goals, Goal 2 was split up into Goal 2a) identification of public values, assumptions and preferences and Goal 2b) incorporation of public values, assumptions and preferences. There is a difference between the two, and it can be reasoned that there are implementation options that suffice for Goal 2a and not for Goal 2b, such as the *yes, but* approach in citizen power. However, when



the used power is *limited dialogue*, it can be argued whether the goals are that different. In future applications of the method, it is recommended to give additional attention to this distinction.

### **9.1.3 Discussion on goal-dependent implementation choices**

In the framework that investigated the cases, nine goal-dependent implementation choices were established. It can be discussed whether this framework is complete. It would be interesting to investigate this in evaluations of future cases, for example for the case on medical fitness to drive and the case in the Tarwewijk.

### **9.1.4 Discussion on case selection**

The scope of this research contributed to its limitations. Only one case study was studied in-depth and thus only for this case study, the national climate consultation, were the experiences of citizens included. Furthermore, ideally one would study the effects of implementation options from a closer point of view; while following the case study. That was the initial aim for this thesis as well, but due to the case's termination, this was not possible anymore. For that case, it was experienced how much one can learn from helping to share the process, so working with an in-depth case study that one can follow during the process is recommended in future research.

To complement the findings of the national climate consultation, eight comparative cases were included. This gave additional information on the other goals and could place the findings of the national climate consultation into context. As stated in Section 9.1.2, additional cases add to the findings. Ideally, for all the statements on the effects, there would have been strong evidence.

Furthermore, in the current research, the in-depth case only pursued one of the goals. Reflections on more implementation options could be gathered, but for similar research in the future, it is recommended to perform an in-depth case study on each of the goals that are considered in the comparative cases.

### **9.1.5 Discussion on effects of implementation options**

When the implementation options are discussed, it was only possible to reflect on the implementation options that were included in one of the cases. Therefore, the amount of cases limits the number of implementation options that can be investigated.

When examining their effects, if the implementation options differed and the outcomes of the goal-achievement differed, this gives the strongest indication of impact of the implementation option (Figure 7.2). However, due to multiple implementation options playing a role, as well details on how they are executed exactly, it is still not trivial to link the extent to which a goal is achieved to the implementation

options. An example of this is seen in the case of Nieuw Sloten. There were four policy options proposed to citizens, of which three were very similar to each other and different from the other one. The result of this was that it was not possible to find statistical correlations between the preferences shared and the included properties. The reduced achievement of the identification does then not depend on the concreteness of the options, but it depends on the variability between the properties.

Like this, there are more options for which the execution of the implementation option is expected to influence the achievement of goals:

- As discussed in Section 9.1.1, it might be interesting to investigate the effects of explaining why a constraint or target is included on the meaningfulness. Another option is to include room to disagree. Furthermore, the national climate consultation indicates investigating the order of participating inside and out of the boundaries set by the decision-maker.
- A high degree of interaction is judged to contribute positively to two of the goals. The case with the heat supplier shows that interaction might lead to conflict as well. When interaction is in place, the decision-maker should have proper internal agreements, for example on what to be transparent on.
- In some cases, the panel PVE is recommended. But this is not always feasible, for example, due to the scale of the consultation. An open PVE can, in such cases, benefit from mimicking the characteristics of a panel PVE, being the personal invitations and the small reimbursements. This can also be more efficient, for example when the aim is to inform and educate: participants who join via invitations might have less prior knowledge than participants that join via self-selection, but installing a panel for this might be not worth the effort when this is the only goal.

For the ongoing cases, two implementation options seem additionally interesting to keep an eye on:

- The differences in the outcomes of the open and the panel PVE of the case on medical fitness to drive. Some people have great interest in the policy that is discussed in this topic, while a big part of the Dutch population might only experience its in-direct effects. Therefore, in such a case, the open PVE might influence the goal positively by ensuring to gather sufficient preferences of people who have an interest in the topic.
- In the Tarwewijk, the open PVE is complemented with ambassadors. It would be interesting to see whether this is a good technique to ensure the inclusion of non-traditional groups in an open PVE.

## **9.1.6 Discussion on the analysis of experiences**

### **Panel sample**

In this study, two datasets of the national climate consultation were used. The participants for the panel PVE were recruited by Dynata and only members of Dynata can be selected. These members therefore probably participate in similar consultations more often and therefore develop a critical attitude. Because of this, the members of a panel agency might be less representative of the public over time (Lazarsfeld, 1940). A panel selected by sending letters to randomly selected citizens may therefore lead to other results.

### **Codification**

The experiences of participants were codified and thereby categorised. For most answers, the appropriate code was trivial, while for others this was more ambiguous. One answer could get multiple codes, but there might still be small differences if the experiences were codified by another researcher. The codification via a codebook with another researcher did help in consistently codifying.

## **9.2 Reflections on literature**

Chapter 3 of this thesis presented 30 factors that Liu et al. (2018) concluded to be critical success factors for effective participation. When discussing his factors, several views of others scholars are included. This section reflects on statements made on the responsibility for citizens to participate, the redistributing of power or influence, and the possible implementations of discursive representation.

### **9.2.1 Citizens' responsibility to participate**

The list of success factors that is discussed in Chapter 3 includes some aspects of the list of success factors established by Del Furia and Wallace-Jones (2000). These scholars reflect on the representativeness, the amount of power allocated to the public, the timing of the process, and the ability to “manage” conflict, but end their research by saying that responsibility for effective participation falls on the public. They state that the public should use its right to participate, and refer to Roberts (1995) stating “the greatest guarantee of continuing growth of public involvement is the public itself”.

Tonkens (2014) counters this by pointing to the challenges in representativeness. She says that when the participating public is applauded, only the people who are already participating will be reached, and this will thereby lead to an increase in social inequality. The good news is, however, as she ends her speech,

that if one acknowledges the challenges, measures can be taken to solve them. One of the contributions the PVE method does to this is having a lower entry threshold and, in some cases, specifically focusing on groups of people that normally do not participate. Furthermore, additional effort is and should be made when the PVE is open. As Coenen et al. (2009) discussed, participation can be demanding, and this must not be a reason for only letting some voices be heard.

### **9.2.2 Redistribution of power or influence**

In Section 3.6, Arnstein's ladder of participation is discussed. According to Arnstein, participation can only be judged as decent when power is redistributed. This topic was discussed with one of the researchers, and she had an interesting answer to this. She explained her view that with power comes responsibility. And while a participatory process is in principle able to redistribute power, will the responsibility then also be distributed? Some initiatives do, but in most cases, a redistribution of responsibility is unfeasible and undesirable.

It is argued by van Reybrouck (2016b) that citizens should not have more formal power, in the sense that elected politicians should still be the ones making laws and policies, but they should have a bigger influence. He states that installing citizen councils (NL: burgerberaad) is a proper way to complement representative democracy and thereby update our democracy. Three base features of a citizen council are:

1. Sortition – Citizens are randomly selected in order to be representative for the population, based on demographic characteristics;
2. Rotation – After a predetermined amount of time, a new group of members of the council is selected
3. Deliberation – There are structured conversations with citizens, experts and politicians in order to come to avoid discussing topics based on gut feeling.

His views are found interesting, but they do not entirely fit the PVE method. Sortition and rotation are expected to be relatively easy to ensure, but the deliberative character of the PVE is limited. Citizens could be involved in the processing of the outcomes in a deliberative way, but when the focus is as much on deliberation as discussed by van Reybrouck, then it is doubted whether the PVE is of sufficient added value.

### **9.2.3 Discursive representation**

Section 3.2 discussed two types of representation: 1) representation based on demographic characteristics, and 2) discursive representation. For the consultation, representativeness is measured based on demographic characteristics. This is appropriate, as discursive representation fits deliberative participation. When the outcomes of a PVE are processed in a deliberative way, however, discursive representation could be interesting to investigate. The reason for this is that this type of representation aims to make sure that all different discourses are being heard while only a small group of citizens has to join. To do this, participants are selected by their discourses, which, can be done determined via 35 to 60 statements (Davies et al., 2005). It is judged to be inappropriate to include this amount of statements in a PVE solely to select participants for the processing phase. There are, however, characteristics that do at least indicate someone's discourse: e.g., the political party one is voting for, or the experiences one has with a certain topic.

Additionally, thought could be given to whether one wants to involve participants "in their capabilities as amateurs (i.e., citizens) rather than in their professional or career roles" (p.229) as judged preferably by Fiorino (1990). It could lead to differences similar to those found by Sagoff (1988) differentiating between one's role as a citizen and as a consumer. Citizens taking their 'citizen point of view' could be realised via explicitly mentioning this and considering it in the framing of the questions. As de Bruijn (2019) states: language matters. Framing in the PVE method should, however, be an ethical choice (de Geus, 2019).

## **9.3 Practical implications**

This study also resulted in practical implications for conducting a PVE experiment, and for Populytics as a company.

### **9.3.1 Implications for the PVE method**

It is recommended to discuss the goals of a PVE process with the decision-maker at the start of the process and to additionally discuss what kind of implementation options would then positively contribute to the achievement of the goal. It is recommended that this is a standard part of the process.

#### **Including a pop-up for participants that stop their participation prematurely**

Next to that, when comparing the experiences of participants of the open PVE and the panel PVE to each other, it was found that there is probably a difference in motivation to finish the consultation. The

members of the panel receive a small financial reimbursement if they finish the consultation. This might lead to them finishing it, even though they find it too hard, irrelevant, too simple, etc. However, this is not the case for the open PVE; it is expected that when a participant perceives the consultation negatively, one will just stop participating. There might be members of the panel PVE that would have stopped participating if they had joined the open PVE. Based on this, it would be interesting to know the reason for participants to drop out. This could be done via a pop-up proposing some options, for instance:

- I will come back later to participate
- I find this consultation too complicated
- I find this consultation too simplified
- I find this consultation irrelevant
- Other ...

### **Distinguishing the reason for not learning**

When the goal of a participatory process is to inform and educate, a performance indicator could be the percentage of citizens that have learnt. However, when someone reports to not have learnt, this could have several reasons. Two examples of reasons are 1) a participant has not learnt because the provided information was perceived too difficult, 2) a participant has not learnt due to their prior knowledge. The second reason might not be negative for decision-makers, as it indicates that the participant is aware of the topic. If the goal is to inform and educate, one might consider framing the question differently, such that this distinction can be seen.

### **Mimicking characteristics of a panel PVE**

As discussed in Section 9.1.5, in some cases a panel PVE is infeasible, while it is the recommended choice. This can be countered by performing an open PVE with characteristics of a panel PVE: sending invitations and/or arranging a small reimbursement.

## **9.3.2 Implications for Populytics**

This section discusses implications for Populytics. One with regard to its mission, and one on how the established effects of implementation options can be used in conversations with new clients.

### **Populytics' mission**

In Section 4.1, Populytics mission is discussed and how they thereby have their own vision on how citizens should be involved. This is not always in line with how decision-makers view this, as explained by an involved researcher. It is recommended for Populytics to determine whether they want to be neutral, or even more transparent on their own view on how citizens should be involved. In case of the

second, this gives additional importance to the starting conversations with the decision-maker, as Populytics might want to turn a project down if their goals are too far apart.

### **Effects of implementation options in conversations with new clients**

At the start of the process, its implementation is discussed in a conversation with the client. Some implementation options are then proposed, such as the inclusion of citizens in the processing of the outcomes. It is expected to help determine the added value of such efforts based on the outcomes of this research.

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# A

## Quotes

### A.1 Original quotes and their translations, Section 5.3.1

1	[...] I am concerned about the very large group of Dutch people who are not being reached by this survey. Don't forget that I think more than half of our country may not be educated enough to understand what the questionnaire is about. [...]	[...] ik maak me zorgen om de heel grote groep Nederlanders die nu niet bereikt worden met deze enquête. Vergeet niet, dat volgens mij meer dan de helft van ons land misschien niet zo opgeleid is om een beetje te begrijpen waar de vragenlijst over gaat. [...]
2	Perhaps a certain group makes particular use of this method, especially the higher educated?	Wellicht maakt een bepaalde groep vooral gebruik van deze methode, met name hoger opgeleiden?
3	I wonder whether you get a good picture of Dutch society with this. If within a certain online environment (say, geenstijl) it is encouraged to participate, you quickly get a distorted picture.	Ik vraag me af of je een goed beeld krijgt van de NL maatschappij hiermee. Als binnen een bepaalde online omgeving (zeg, geenstijl) wordt aangemoedigd om dit in te vullen, krijg je al snel een vertekend beeld.

### A.2 Original quotes and their translations, Section 5.3.2

1	It makes me smarter and I start thinking differently	Alles het maakt mij slimmer en ik begin er anders over te denken
2	Everything was well explained and you gained extra knowledge, which is actually quite important.	Dat alles goed werd uitgelegd en je extra kennis kreeg wat eigenlijk best belangrijk is.
3	Fun way to gain more knowledge	Leuke manier van meer kennis vergaren
4	[...] Also, I thought I was reasonably informed about the different policies, but I learned a lot of new things about how big or small the impact of some of the policies is. I had	[...] Ook dacht ik redelijk geïnformeerd te zijn over de verschillende beleidspunten, maar heb ik heel veel nieuws geleerd over hoe groot of juist klein de impact van sommige

	expected much more impact from offshore wind, and much less from a meat tax, for example. This might even change how I vote on the 17th.	punten zijn. Ik had véél meer impact van offshore wind verwacht, en véél minder van een vleestaks bijvoorbeeld. Dit verandert misschien zelfs hoe ik op de 17e stem.
5	That opinions really count. Not just those of the lobbying clique and exiled PvdA members.	Dat meningen echt tellen. Niet alleen die van de lobbyklikek en uitgerangeerde pvda'ers.
6	That the opinion of the citizens is being asked for and that it will also count in the decision-making process.	Dat er naar de mening van de burgers wordt gevraagd en dat die ook mee gaat tellen in de besluitvorming.
7	That you can actually speak out about what you consider important. What does and does not work in society. Support is very important. We have to do it together. Not just imposing the choice of the government. This method is good at indicating what choice citizens would make. Keep it up!	Dat je eigenlijk je mag uitspreken over wat jezelf belangrijk vind. Wat wel en niet werkt in de maatschappij. Draagvlak is heel belangrijk. We moeten het samen doen. Niet alleen opleggen van de keuze van de overheid. Bij deze methode is goed aan te geven welke keuze de burgers zouden doen. Ga zo door!
8	[...] It gives you the idea that your opinion counts and is taken into account. (The influence is very small, of course, but still.....the idea that you matter is nice).	[...] Het geeft je het idee dat jouw mening telt en wordt meegewogen. (De invloed is natuurlijk maar heel klein, maar toch.....het idee dat je er toe doet is lekker).
9	You can influence what the government does.	Je kunt invloed uit oefen wat de overheid doet.
10	That the citizen can also participate in decision-making	Dat de burger ook mee kan beslissen
11	I am allowed to give my opinion	ik mag mijn mening geven
12	Clear method where everyone can express his/her views (NL: ei kwijt kunnen).	Duidelijke methode waarbij iedereen zijn/haar ei kwijt kan.
13	It is also somewhat implausible that the government would take my advice into account in their decisions. I do not have that confidence.	Ergens ook wel ongeloofwaardig dat de overheid mijn advies mee zou nemen in hun besluiten. Dat vertrouwen heb ik niet.
14	Citizens themselves know what is feasible for the normal working world, not men in suits who express their opinions and earn their money from it.	Burgers weten zelf wat haalbaar is voor de normale werkende wereld, niet mannetjes in pak die daar hun mening uiten en hun geld daar aan verdienen.
15	I believe that citizens collectively have enough knowledge to make a good decision.	Ik denk dat burgers gezamenlijk genoeg kennis hebben om tot een goed besluit te komen.

16	You have certainly given me an insight as to why the government sometimes has to resort to fierce action. Thank you for this insight.	U heeft me zeker inzicht gegeven waarom de overheid soms over moet gaan tot bikkelharde acties. Dank u voor dit inzicht.
17	That you see the dilemmas with which the government has to contend: you can try as hard as you like to economise, but you can only spend your money once. What compromises do you make in order to live as environmentally-friendly as possible as a country but that it is also affordable for the government and that the citizens and/or entrepreneurs/industry also accept it and can act in an economically viable way?	Dat je de dilemma's ziet waar de overheid mee te kampen heeft: je kunt nog zo goed willen bezuinigen maar je kunt je geld ook maar 1 keer uitgeven. Welke compromissen sluit je om zo milieu-vriendelijk mogelijk te leven als land maar dat dat ook betaalbaar is voor de overheid en dat de burgers en/of ondernemers/de industrie het ook nog accepteren en economisch haalbaar kunnen handelen.
18	It may give people more insight into the dilemmas the government faces when making decisions.	Het geeft mensen misschien meer inzicht in de dilemma's die de overheid heeft bij besluiten maken.
19	It gives a good picture of how difficult the considerations can be to make a sensible choice and that you always disappoint a group with your choice.	Geeft een goed beeld hoe moeilijk de afwegingen kunnen zijn voor een verstandige keuze en dat je met de keuze altijd een groep teleurstelt.
20	The insight into the effects of the various measures but especially the frameworks. These are often not clear to citizens. Measures are often discussed without a framework and coherence.	Het inzicht in de effecten van de verschillende maatregelen maar vooral de kaders. Die zijn voor burgers vaak niet duidelijk. Maatregelen worden vaak zonder kader en samenhang besproken.
21	The advice must be given within the frameworks of budget and time, so that a realistic outcome can be expected.	Het advies moet worden gegeven binnen de kaders van budget en tijd, waardoor een realistische uitkomst kan worden verwacht.
22	You have to think seriously and weigh things up and consider the consequences of certain choices. Very informative.	Je moet er serieus over nadenken en dingen goed afwegen en consequenties van bepaalde keuzes overzien. Erg informatief.
23	I felt that I had to make my choice fairly based on the "thermometer" and the outstanding millions to be spent. There was not so much room to get closer to a 175 million still to be spent budget. I get confused by that!	Ik had het gevoel dat ik mijn keuze toch redelijk moest baseren op de "thermometer" en de openstaande te besteden miljoenen. Er was niet zoveel ruimte om dichterbij een 175 miljoen nog te besteden budget te komen. Ik raak daarvan in verwarring!
24	Since you had to come up with 27 megatons less of emissions, I had to change my initial choice and adjust it	Aangezien je uit moest komen bij 27 megaton minder uitstoot moest ik mijn oorspronkelijke keuze wijzigen en bijstellen

25	The advice almost forces you to turn on measures you do not want. Other measures, such as nuclear energy, are missing.	Bij het advies wordt je bijna gedwongen om maatregelen aan te zetten die je niet wil. Dit terwijl andere maatregelen, zoals kernenergie missen.
26	I liked the fact that each measure was not only briefly summarised in terms of what is already being done and what more could be done, but also in terms of what the consequences of the measure might be. This ensures that you think carefully about what the extra consequences of the measures are. For me, it also emphasised how complex the subject is in the field of combating the greenhouse effect.	Ik vond het sterk dat per maatregel niet alleen kort opgesomd stond wat er nu al gedaan wordt en wat er nog extra gedaan zou kunnen worden, maar ook wat de gevolgen van de maatregel zouden kunnen zijn. Dit zorgt ervoor dat je goed nadenkt over wat de extra gevolgen zijn van de maatregelen. Voor mij benadrukte het ook nog eens extra hoe complex de materie is op het gebied van het tegengaan van broeikaseffect.
27	It provides clarity on how much (or how little) each measure will achieve and how many measures are still needed to reach the targets.	Het geeft duidelijkheid in hoe veel (of hoe weinig) iedere maatregel oplevert en hoeveel maatregelen er nog nodig zijn om de doelen te halen.
28	The number of possible measures. I was only presented with what the government had thought up anyway. That gives a somewhat coloured picture.	Het aantal mogelijke maatregelen. Ik kreeg alleen maar voorgeschoteld wat toch al door de regering bedacht is. Dat geeft een ietwat gekleurd beeld.
29	Because of the framing of the options (where e.g., initial nuclear energy is emphatically absent), in my opinion, there is too much focus on the outcome. This smells like whitewashing of policy decisions already taken (in secret). Unfortunately, this fits the pattern of government in the 21st century.	Door de framing van de opties (waar bv initieel kernenergie nadrukkelijk afwezig is) wordt er mijns inziens te veel in gestuurd op de uitkomst. Dit ruikt naar white washing van de al (in het geheim) genomen beleidsbeslissingen. Dit past helaas in het patroon van de overheid in de 21ste eeuw.
30	Contributing your own ideas	Eigen ideeën inbrengen
31	Room for own ideas in the end	Ruimte voor eigen ideeën op het einde.
32	The useful measures were not in Exercise 2, but only came in Exercise 3. This made exercise 2 the creation of the cheapest short-sighted embarrassment within the set financial frameworks, without changing much about the fundamental problem.	De nuttige maatregelen zaten niet in het oefening 2, maar kwamen pas in oefening 3. Dit maakte oefening twee tot het creëren van de goedkoopste kortzichtige schaamlap binnen de gestelde financiële kaders, zonder dat het veel aan het fundamentele probleem wijzigt.
33	To really give an opinion, you have to have more knowledge on the subject. I don't think the average Dutch person has that!	Om werkelijk een oordeel te geven moet je meer kennis van zaken hebben. Volgens mij heeft de gemiddelde Nederlander dat niet!

34	The background to climate change is largely assumed to be known. Not everyone watches the NOS infomercials or reads climate-related newspaper articles or books. The average citizen is naturally inclined to take the standpoint of 'better for the world, but not on my account' - voluntarily limiting freedom of choice or prosperity is a taboo to be broken. In my opinion, we could work towards this.	De achtergrond van klimaatverandering wordt grotendeels als bekend verondersteld. Niet iedereen bekijkt de info-filmpjes van de NOS of leest klimaat gerelateerde krantenartikelen of boeken. De gemiddelde burger is van nature geneigd om een standpunt in te nemen van 'graag beter voor de wereld, maar niet voor mijn rekening' - het vrijwillig beperken van keuzevrijheid of welvaart is een te doorbreken taboe. Daar zou mijns inziens naar toe gewerkt kunnen worden.
35	These kinds of questionnaires never end up with the ordinary citizen	Dit soort vragenlijsten belanden nooit bij de gewone burger
36	I think that mainly people who have a strong opinion on climate policy (very much for or against) will participate and that the more 'neutral' Dutchman will be heard less.	Ik denk dat voornamelijk mensen die een sterke mening hebben over het klimaatbeleid (erg voor of tegen) hieraan mee zullen doen en dat de 'neutralere' Nederlander hierdoor minder wordt gehoord.

# B

## Supplementary figures

### B.1 Effects of implementation options linked to process phase

Figure B.1 – B.5 show the effects of implementation options as concluded in Chapter 8 linked to the phases of the process in which they take place

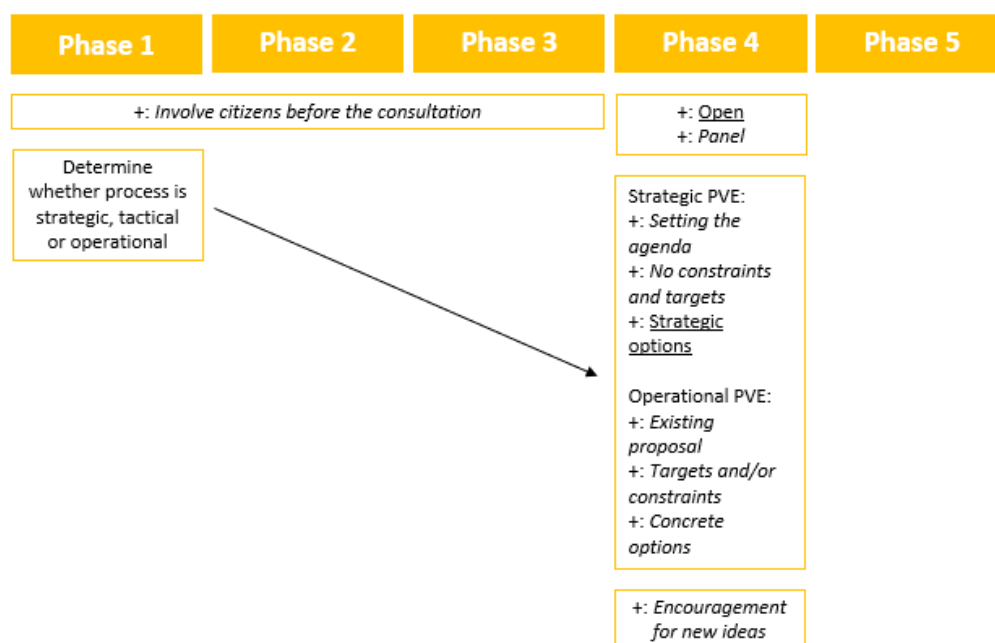


Figure B.1: The effects of implementation options on the goal of informing and educating, linked to the phases of the process in which they take place.



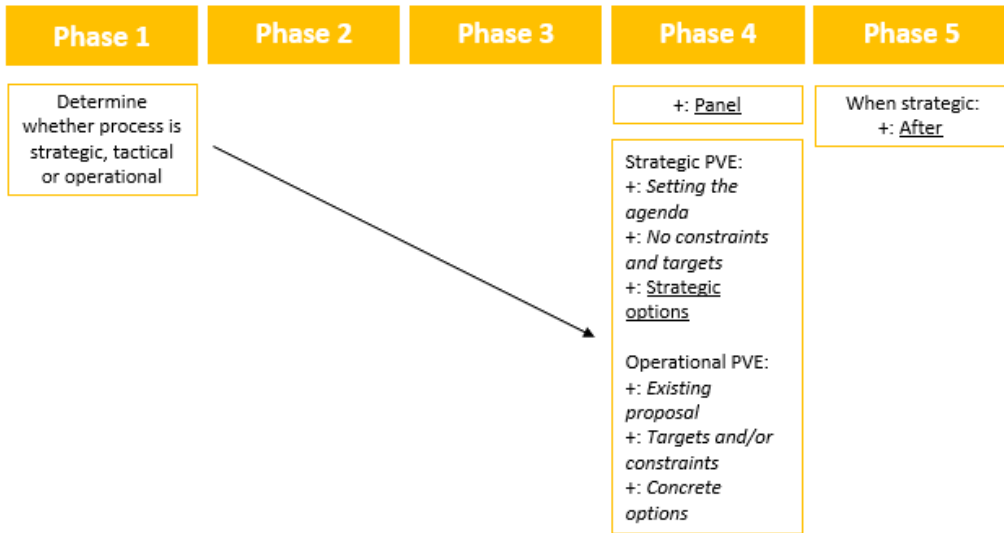


Figure B.2: The effects of implementation options on the goal of identifying public values, assumptions and preferences, linked to the phases of the process in which they take place.

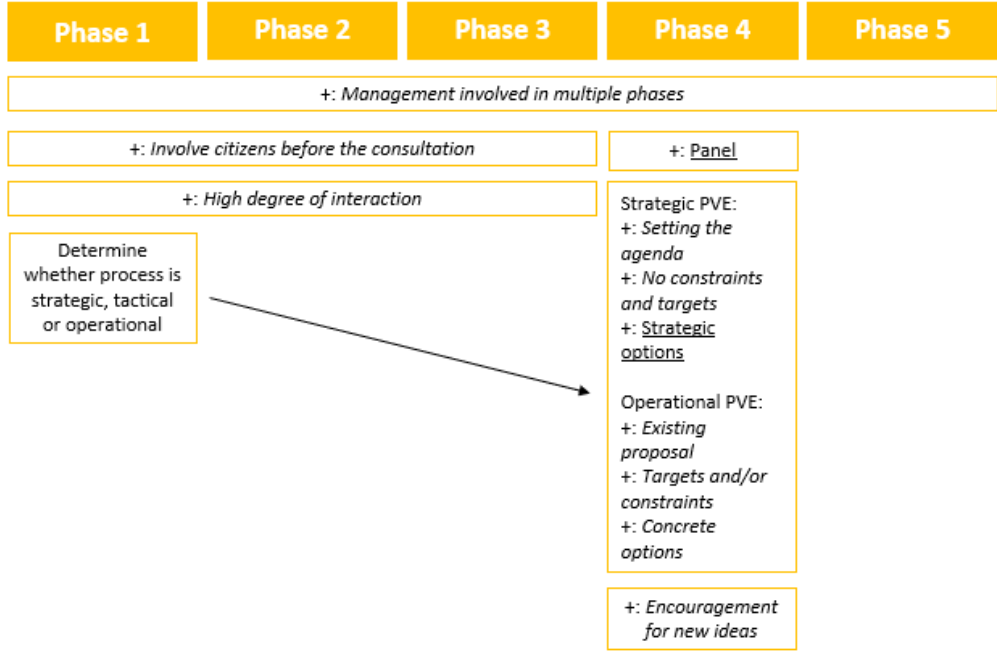


Figure B.3: The effects of implementation options on the goal of incorporating public values, assumptions and preferences, linked to the phases of the process in which they take place.

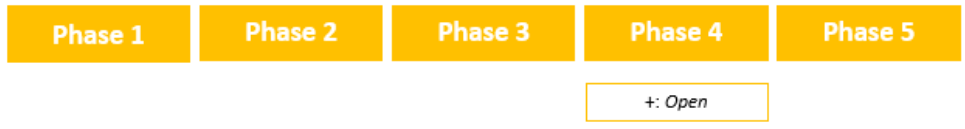


Figure B.4: The effects of implementation options on the goal of increasing the substantive quality of decision, linked to the phases of the process in which they take place.

