

Analysing the collaborative process of the creation of RES 1.0 in Twente

Bachelor thesis

Maartje Gerarda Petronella Peters, s2757427

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University of Twente, Enschede

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First supervisor: Le Anh Long

Second supervisor: Su Yun Woo

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Abstract

In this thesis the RES Twente 1.0 has been used as a case to study collaborative governance. RES Twente 1.0 is a unique collaborative process, where multiple public and (semi)private organizations came together in order to create a plan to translate and implement the national climate agreement on a local level. To answer the explanatory research question “under what conditions participatory design and/or leadership styles promote successful collaborative governance?”, interviews with participants of RES 1.0 Twente were conducted. Next to this, the starting note document was analysed and compared to the interviews. Using the model of collaborative governance by Ansell and Gash (2007) as a baseline, the RES 1.0 Twente was evaluated. This study shows that participatory design and leadership promote successful collaborative governance under conditions where there is: facilitative leadership, consensus on an end goal, intermediate goals and outcomes, stakeholder inclusion, commitment to the process, starting goals, ground rules, process transparency and trust building.

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Introduction

Many of the issues that we're facing today are increasingly complex, thus they cannot be solved by one person or institution but rather depend on collaboration between multiple stakeholders (Lathrop & Ruma, 2010). To this end, governments are increasingly applying principles of collaborative governance to address these complex problems. One example of a complex problem they are facing with this approach is renewable energy.

In 2019 the Dutch government presented the national climate agreement, which is based on the commitments that are made in the Paris climate agreement of 2015. A sub section of the national climate agreement is the regional energy strategy, or RES. In the RES the national agreements from the climate agreement are put into practice. The Netherlands was divided into 30 energy regions and within each energy region the local governments, network operators, social partners, relevant corporate institutions and citizens work together to create a local translation of the national plan (Dutch Government, 2019). Essentially, the RES is designed as a collaborative governance process.

For the development of a RES, in each energy region, different governmental and non-governmental institutions must work together and where possible also include citizens (RES Regio's Op De Kaart - Regionale Energiestrategie, n.d.-b). The formulation of the RES is thus intended to be a highly collaborative process, but what does it mean for a process to be collaborative? Literature offers indications of what a collaborative governance process looks like. A prominent model is offered by Ansell and Gash.

Ansell and Gash (2007) define collaborative governance, "A governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets." Ansell and Gash's model has four main components, which are, starting conditions, institutional design, leadership and collaborative process. In general, leadership is considered an important factor in whether a process is collaborative or not (Ansell & Gash, 2007). This framework has been used to assess and design many different processes since Ansell and Gash published their study (Google Scholar, n.d.) They further specify six important criteria that must be present for a governing process to be collaborative" (1) The forum is initiated by public agencies or institutions, (2) participants in the forum include nonstate actors, (3) participants engage directly in decision making and are not merely consulted by public agencies, (4) the forum is formally organized and meets collectively, (5) the forum aims to make decisions by consensus (even if consensus is not achieved in practice),(6) the focus of collaboration is on public policy or public management. "(Ansell & Gash, 2007). I propose that this model can be used to evaluate the level of collaboration in the RES process.

In this paper, this model of collaborative governance has been used to evaluate the creation of the RES 1.0 for the energy region Twente. This evaluation has provided insight into the process so far and might be able to find points of improvement.

To guide this research and to gain a proper insight into collaborative governance and leadership styles within a collaborative process in the Netherlands, the following research questions and sub questions were formulated:

"Under what conditions participatory design and/or leadership styles promote successful collaborative governance?"

The following sub questions will guide the research and will be answered for the energy region of Twente:

1. What were the starting conditions, institutional design, and collaborative process of the RES and how did these factors impact collaborative governance?
2. Did the RES process have leadership? If yes/no how did that impact collaborative governance?

The two sub questions focus on the participatory design and leadership part of the main research question. By first looking at both parts individually a good structure has been provided on which the factors can later be compared to determine their influence on collaborative governance.

Answering the research question holds scientific relevance since the RES is such a unique case. Within the RES people don't necessarily work together because they want to, or they themselves concluded that they needed to work together to achieve their goals. Rather, with the RES it is mandatory. To translate national climate policy to local climate policy, all these actors must work together (*Over De RES - Regionale Energiestrategie*, n.d.). This makes it a unique example of collaborative governance, since the collaboration happens by design. The research also holds social relevance since the RES will impact all people living in the Netherlands. By analysing the RES 1.0, it might lead to opportunities for improving the process of creating RES 2.0. The RES plays a vital role in the climate strategy of the Netherlands, and thus holds social relevance.

Theory

In this paper, the process of creating RES 1.0 has been evaluated using the model by Ansell and Gash. Ansell and Gash (2007) created a model for collaborative governance, which can be seen in figure 1. Within this model there are four main variables that impact the outcome. These variables are starting conditions, institutional design, facilitative leadership and collaborative process. Each variable can be split into multiple more specified variables, which can then be used to evaluate the collective governance process. In the following part, the sub parameters of the preconditions of the model by Ansell and Gash will be further elaborated upon.

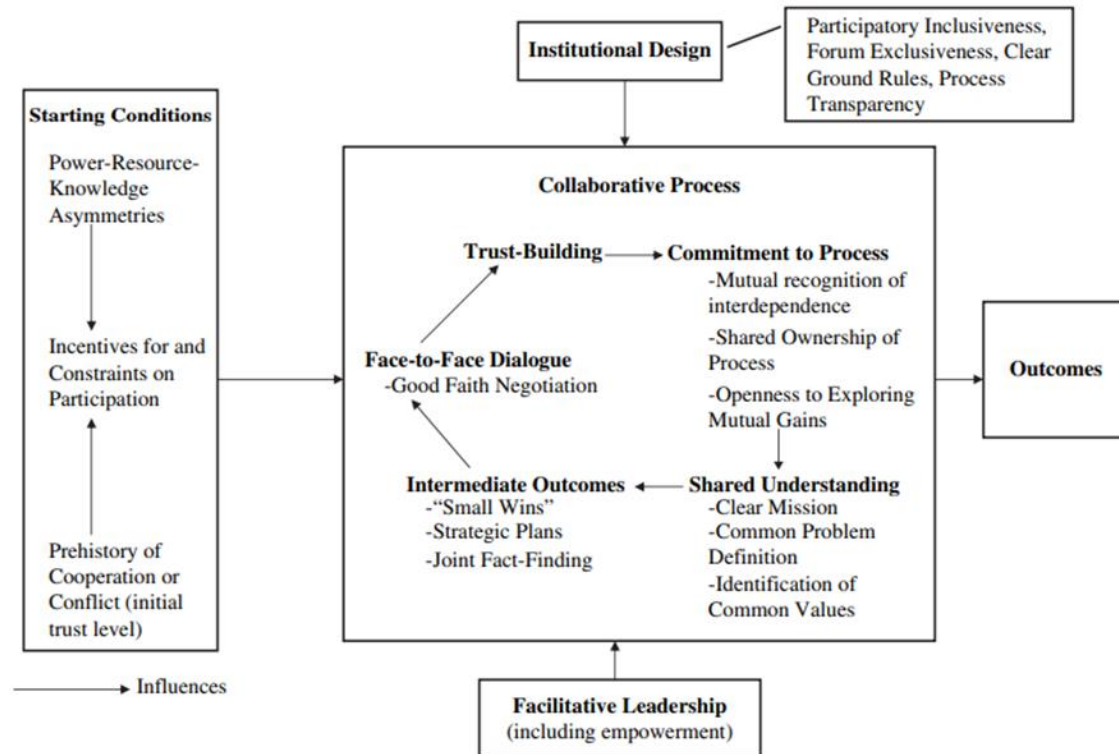


Figure 1: A model of collaborative governance by Ansell and Gash (2007)

Starting conditions

In the energy regions that were formed for the creation of the RES, municipalities, provinces and water boards work together with citizens, energy cooperations, network operators, the national government and other social parties (Over De RES - Regionale Energiestrategie, n.d.). Within this process, the citizens and other social partners hold the biggest disadvantage. The starting conditions of a collaborative process lay out the basis for the collaboration. Ansell and Gash (2007) formulated three main variables that influence the starting conditions; imbalances between the resources or power of different stakeholders, the incentives that stakeholders have to collaborate and the history of conflict or cooperation among stakeholders. Power and resource imbalances can lead to manipulation by the stronger or more informed stakeholders towards the other stakeholders. In order to have a successful collaborative process a positive strategy to empower and represent the weaker and/or disadvantaged stakeholders is required.

To check whether the RES had a good collaborative process is thus also to check whether there were systems in place to empower those stakeholders. Also, in regard to the incentives to participate, citizens and other social partners are at a disadvantage. The governmental institutions don't have a choice whether to participate in the RES. But citizens and other social partners do it on a voluntary basis. They are important stakeholders, but it might be more difficult to incentivize them to participate. According to Ansell and Gash, the incentive to participate is to a large part based on whether the participating stakeholders feel that the results of the collaborative process will be meaningful. If stakeholders perceive

that reaching their goals is dependent on the collaboration of the other stakeholders, they are more likely to participate in a collaborative process (Ansell & Gash, 2007).

Institutional design

Institutional design says something about the way in which a process is organized. It describes the basic protocols and ground rules for a collaborative process. In order to have a successful collaborative process, there should be a broad level of participation. If critical stakeholders are not participating, the process is more likely to fail. In the figure of Ansell and Gash (2007), institutional design refers to the basic protocols and ground rules for collaboration. Part of institutional design are the level of participation, inclusiveness, forum exclusiveness, clear ground rules and process transparency. Next to this, clear ground rules and process transparency are very important for trust building. Which on its own is a very influential factor.

Bell and Scott (2020) conducted an analysis of a collaborative system in the State of Georgia. They wrote that institutional design is critical for the platforms in Georgia to facilitate devotion and coherence across the local platform but to still allow for flexibility and input from local stakeholders. Features such as representation, rules on decision-making and size influence how a collaborative platform works. However, in the end they concluded that even though the platforms they analysed all had those similar institutional designs, the results were different across the platforms. This confirms the model by Ansell and Gash (2007), even though intuitional design is important, it isn't the only factor determining the outcome of a collaborative process.

(Facilitative) leadership

Ansell and Gash state the following about Facilitative leadership: it is a key factor in whether a collaborative process is successful or not. Good leadership can bring parties together and guide them through the participative process. A facilitative leader is a leader that doesn't necessarily take on the role of making the decisions, but rather the role of mediating between the stakeholders. Leadership should set and maintain ground rules, build trust and facilitate dialogue. Leadership is also important for empowering and representing the weaker and/or disadvantaged stakeholders (Ansell & Gash, 2007).

Besides facilitative leadership, which Ansell and Gash promote, there are also other types of leadership that can support collaborative governance. The influence of certain leadership styles on collaborative processes have been studied before. For example, Page (2010) argues that neighbourhood planning has a direct influence on policy. They argue this based on a case study in Seattle. Their neighbourhood planning initiative invited citizens of the community to make their own plans for the area. The plans still had to meet the city's legal mandates and were made in collaboration with the city. The neighbourhood planning office focused on encouraging inclusion, building relationships, having open discussions and reached out consistently. In the end, all the participating groups were able to agree with the plans made and less than 20% of the plans created through this system weren't approved by or needed mediation from the city council (Page, 2010). This is a great example of leadership by the neighbourhood council that resulted in successful policies.

Kinder et al. (2021) suggested a framework that can be used to explain leadership within collaborative governance ecosystems. Kinder et al. (2021) looked at the differences between leadership and learning in an ecosystem where there is one leader versus ecosystems that are self-organizing. In their article they

write that leaders are role models for the attitudes of other people in the system. They also state that a team will create new ideas if they are willing and able to learn, leaders play a big role in creating an environment that promotes learning and the distribution of good ideas.

Collaborative process

There are five sub parameters to the variable collaborative process: trust-building, face-to-face dialogue, intermediate outcomes, shared understanding and commitment to process. However, the collaborative process is difficult to measure, probably because it is all based on interactions between people, which is very subjective in any situation (Ansell & Gash, 2007).

Two features of the collaborative process are trust and commitment to the process. First, trust is critical for a good collaborative process. Many processes start with a low level of trust, and it is thus important to actively work towards a situation in which trust is present. Here also lies an important role for the leaders within the collaborative process. They should recognize they must build trust between the participating stakeholders. Second, if stakeholders are dependent on each other, they will most likely feel a higher commitment to the process. Commitment is also related to the original reason the stakeholders were willing to participate in the collaborative process. Stakeholders might want to participate to ensure their perspective isn't neglected, this does not necessarily mean they are open to compromise, even though this is crucial for a good collaborative process. To have commitment to the process also means to believe that compromising is needed, so that all stakeholders can gain something, is the best way to proceed within a collaborative process.

Ansell and Gash (2007) also note the importance of a shared understanding. Developing a sense of shared understanding can mean to gain an insight into what they can achieve together as a collective. But also, to agree on a common purpose, to agree on goals, to agree on the problem at hand or even to agree on what knowledge is necessary to come to a solution (Ansell & Gash, 2007). Also, Ansell and Gash (2007) argue that face-to-face dialogue is based on many other requirements for a good collaborative process. By having face-to-face dialogues stakeholders can identify opportunities for mutual gain, they can break through stereotypes and help with building trust, respect and shared understanding. It is also beneficial to create a commitment to the process. Effective collaboration without face-to-face dialogue is difficult to imagine.

Another part of the collaborative process, which doesn't focus on the interactions between people, is reaching intermediate outcomes. A collaborative process is more likely to succeed when the purpose and advantages of the collaboration are visible and concrete, in other words, small wins. If the small wins are visible can ignite a cycle of trust building and commitment to the process (Ansell & Gash, 2007).

Methods

To translate national climate policy to local RES 1.0 policy, many stakeholders had to work together (Over De RES - Regionale Energiestrategie, n.d.). For RES 1.0 Twente, 14 municipalities, the Province of Overijssel, water board Vechtstromen, network operators, housing cooperations and more had to cooperate with each other (RES Twente, 2020). This makes RES 1.0 an interesting example of collaborative governance. This study is situated in that context. The reason the energy region of Twente

was selected is due to its close location to the University of Twente, which makes the interviews scheduling more practical.

Case Background

After signing the Paris climate agreement, the Dutch government presented a draft for a national climate agreement on December 21st, 2018. In the draft national climate agreement, there were goals along five main lines: industry, built environment, mobility, agriculture, land use and electricity. To finalize this agreement, a custom plan for each region is needed. Thus, the regional energy regions were created to put together the regional energy strategies, which will have an important role in the finalization of the draft climate agreement. The RES is the regional translations of the national climate goals. The RES should show how the region will contribute to the national goals in relation to (large-scale) onshore renewable electricity and sustainability of the built environment. This regional plan should be co-created by municipalities, provinces, nature and environmental organizations, inhabitants, the private sector and other societally relevant partners. As an attachment in the starting nota, an overview of participants of the steering group and the officials core team is presented. Together these two groups, consist of people Municipalities, Coteq and Enexis (network operators), Waterboard and the Province (Regionale Energiestrategie Twente, 2019). The official starting note (start nota), published by the regionale energiestrategie Twente (2019), describes the general process of creating RES 1.0 and who will be involved in this process.

The RES Twente is the collaborative product in which Twente describes which goals will be achieved and within which timeframe. It gives an insight into ongoing projects and opportunities. In the starting note of the RES Twente, they state the following about the process: “In Twente we are committed to a joint bid in which the municipalities, water boards and province make their contribution and make a joint effort to realize this task. The municipalities, water boards, provinces and grid managers are accountable to each other and to stakeholders for this. A realistic offer for the generation of renewable electricity will be included in the Twente Energy Strategy, which will be worked out for each municipality according to source (at least wind and solar). We will jointly map out where it is possible and where it is not. We formulate regional principles for the distribution of costs and benefits, spatial compatibility and local ownership. There will be a regional heat strategy that will focus on the heat sources available in Twente, such as biogas, residual heat and geothermal energy, and the distribution of these sources.”. (Regionale Energiestrategie Twente, 2019) At the beginning of RES 1.0 the concrete goal to generate 1.5 TWh in renewable energy in 2030 was formulated (*Zonne- En Windenergie - RES Twente*, n.d.)

In the starting note, the RES Twente also provides a timeline which includes national and regional deadlines. With the most important one being the 1st of March 2021, where the regional energy strategy 1.0 must be finished (Regionale Energiestrategie Twente, 2019).

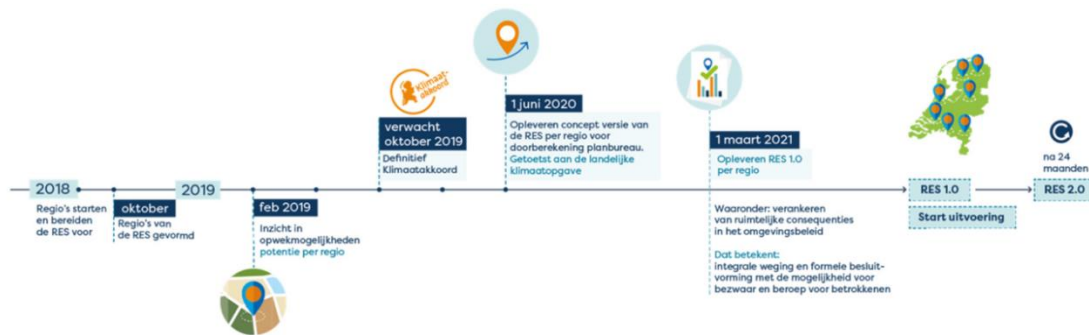


Figure 2: Timetable of RES Twente as mentioned in starting note. (Regionale Energiestrategie Twente, 2019)

Interviews

To answer the explanatory research question; “under what conditions to participatory design and/or leadership styles promote successful collaborative governance?” Interviews with participants of the RES 1.0 in the energy region Twente were conducted. Overall interviews have proven to be an effective way to evaluate collaborative processes, as it has been done by; Page (2010), Kinder et al. (2021), Clark (2020) and Koebele (2019).

The process of the creation of RES 1.0 has been analysed using the model by Ansell and Gash (2007). As described under theory, this model provides guidelines outlining the criteria that a good collaborative process should meet. Based on these criteria, an interview scheme was developed. The interviews created primary qualitative data, which has been analysed with a textual analysis. Interviews were selected as the primary data source to address the research question due to the focus of this paper on the collaborative process involved in creating RES 1.0 Twente. It would be very difficult to answer questions about the process based on policy documents or any other source of official data alone. The only way to gain a proper insight about the process is by speaking to the people involved. Therefore, an interview pool of people who had different roles within the RES 1.0 process was created, in order to obtain the most diverse perspectives. The sample was chosen based on the availability and willingness to cooperate from the people involved in the case. Thus, the thesis employs convenience sampling (Sedgwick, 2013). To gather people for the interviews, a central person within the RES 1.0 process, who is currently employed at the University of Twente, was contacted. This person then used their contacts to ask around who would be willing to participate. If they were, their contact info would be sent to me. This method of collecting participants is a form of snowball sampling (Snowball Sampling, 2017). This method was deemed right for this research due to the limited options for participants. Even though there were quite some participants in the RES Twente 1.0 process, the group was still relatively small.

In the end, I managed to interview 4 people, who were involved in the RES Twente to varying degrees. An overview of the interviewees can be found in table 1. Before the start of the interview, all participants have signed a consent form. Next to this, at the start of the interview I explained the general

process and gave interviewees the opportunity to ask questions. Also, some general terms used were explained, such as the term process, since this term is used often during the interview. With the term process I refer to the time between the first time all people came together, until the document of RES 1.0 Twente was finished.

Three out of four interviews took place online. One of the interviews took place physically, on a location arranged by the interviewee. It is possible that the difference in venues affected respondents' willingness to answer, however the effect is expected to be minimal. All interviews were conducted in Dutch, since this is the native language of the interviewees and was the language spoken during the RES process and the language in which the RES process was documented. During the interviews, the questions written down below were asked. After the interviews were conducted, the interviews were transcribed using Amberscript. With the exception of interview 2, at the time of transcribing the Amberscript license was not yet available. Thus, transcript 2 was created with the help of Microsoft Teams. Immediately after transcribing the interviews, the transcripts were anonymized according to University of Twente protocol (Guidelines Personal Information | BMS - BMS Datalab, n.d.). After anonymization the original transcripts were deleted. The anonymization was done by hand, and all personal PII (Personal Identifiable Information) has been removed to the best of my ability. If someone for example said, "I work as an astronaut" this has been replaced by "I work as FUNCTION".

Interviewee	Their role	Date of Interview	Location/Length of Interview
1	Leadership role within one group	29 th of May 2024	Physically in Enschede, +/- 1 hour
2	Leadership role within one group	31 st of May 2024	Online on Teams, +/- 50 minutes
3	Academic expert	3rd of June 2024	Online on Teams, +/- 35 minutes
4	Facilitating role to the process	14 th of June 2024	Online on Teams, +/- 45 minutes

Table 1, overview of interviewees. Full transcripts are available in uploaded transcript.

The interview questions were formulated in Dutch, and later translated to English using Deep L. The Dutch interview questions can be found in the uploaded data appendix or can be requested by contacting me.

The interview questions were piloted on three people. These people had no role in the RES but were asked to answer the questions for any collaborative process that they had been a part of. The piloting revealed that some questions were open for double interpretations or did not provide the type of answers that were expected by me. After the pilot sessions the questions have been adjusted.

1. Can you briefly introduce yourself and explain why you were involved in the process of drafting RES 1.0 for the Twente energy region?
2. Can you tell why you wanted to participate in the development of RES 1.0?

- a. Why did or did not you feel motivated to participate in this process?
3. Before you began the process, was it clear what the process would look like?
 - a. How was or was not this made clear?
 - b. Were there clear agreements about how the collaboration would proceed?
 - i. If so, what did these agreements look like?
 - c. Was there a clear time schedule?
 - i. If so, what did it look like?
4. What can you tell about the process and cooperation?
 - a. How often did you talk to each other and in what form?
 - b. Did you feel that each participant's input was treated equally?
 - c. Were there intermediate deadlines/goals?
 - d. Were intermediate steps/achieved goals also celebrated?
 - e. Was the timeline for the process clear?
5. Did you feel that all relevant parties were part of the process?
 - a. If not, which parties do you think were not involved in the process when they should have been?
6. How was cooperation during the process?
 - a. Was leadership present during the process and what did it look like?
 - i. If so, how did this affect collaboration?
 - ii. If not, why did you feel there was no leadership? How was the process coordinated?
7. During the process, did you feel that there was trust between all parties?
 - a. If yes, why did you feel this way?
 - b. If no, why did you feel this way?
8. Did you feel that all parties involved were on the same page regarding the process?
9. In your opinion, what was the final goal of the process?
 - a. Were all participants in agreement on this?
 - b. Did this common end goal correspond to your own interests?
10. Did you feel committed to the goal of the RES?
 - a. Why did you feel committed to the goal of the RES?
 - b. Did you feel that others were also committed to the purpose of the RES?

To analyse the transcripts a textual content analysis was conducted (Given, 2008, p.120). The transcripts were inductively coded, by one researcher, myself. For this, a coding guide based on the collaborative governance model by Ansell and Gash (2007) was used. This coding guide can be found in table 2.

Category	Code	Explanation
Starting conditions	Incentives for participation	Text that reflects that there were incentives for the participant to participate
	Power-resource-knowledge asymmetries	Text that indicates that there were power-resource-knowledge asymmetries
Institutional design	Clear ground rules	At the beginning of the process, were there clear ground rules?
	Participatory inclusiveness	Did everyone feel included to participate?
	Process transparency	Was the process clear to every participant?
Leadership	Supportive leadership	Indications that there was leadership present which had a positive effect on the collaboration
	Negative leadership	Indications that there was leadership present which had a negative effect on the collaboration
Collaborative process	Trust building	Indication that during the collaborative process there was an effort made to build trust. Trust is also built through having small wins
	Face-face-face dialogue	Indication that there was face-to-face dialogue

	Intermediate outcomes	During the process there were intermediate outcomes
	Commitment to process	Stakeholder feels committed to the collaborative process
	Shared understanding	People have a shared understanding of what the process will lead to and what their shared goal is

Table 2: Coding guide

Findings

Below, I present what I have found after analysing the starting note of the RES (Regionale Energiestrategie Twente, 2019) as well as the interviews that were conducted. The complete analysis can be found in Appendix B. The findings are organized into four parts. Firstly, the starting conditions, secondly the institutional design, then collaborative process and lastly leadership.

Starting conditions

The starting note of the RES is the official document that documented the starting conditions for the RES Twente process. It laid out the timelines, working groups, who would be participating and how. It translated the national policy into steps that had to be taken by the regional energy regions (Regionale Energiestrategie Twente, 2019). However, compared to the starting conditions mentioned in the model by Ansell and Gash (2007), the starting note of the RES Twente does not go into detail. It does not mention incentives for participation, power-resource-knowledge asymmetries or prehistory of cooperation or conflict (initial trust level). However, it does have to be said that starting conditions are pre-existing conditions which were already there at the start of the process. Thus, the participants in the RES, are unlikely to have great influence on these conditions.

In the interviews, plenty came forward about the starting conditions. One of the strongest starting conditions regarded the incentives for participation. Although there weren't many external incentives for participation, but all the interviewees mentioned to be intrinsically motivated to participate in the RES. It could be argued that intrinsic motivation is the best type of incentive for participation. This does not take away from the fact that for some interviewees participating was also something that just came from the job they already had. However, they still all felt an intrinsic motivation, one way or another. For example, interviewee 1 was motivated because they had a certain passion for sustainability and the energy transition and specifically wanted to join the RES Twente in a leadership role because they didn't think it was going quick enough:

“But I wanted to have that sustainability there. I became that, but with one intention, it is immediately said. If I am FUNCTION, I would also like to become FUNCTION in that transition. To become of that working group, regional energy strategy, because I thought that was going way too slow” (Transcript 1, 2024).

Something to be noted here is that even though the participants I spoke to all felt intrinsically motivated, they also mentioned that they observed that not every participant felt intrinsically motivated:

“This also had to do with the fact that a few people were a little different in the race.”
(Transcript 2, 2024).

Thus, even though the data now shows a high intrinsic motivation, it must be noted that if other participants had been interviewed this would perhaps have been different.

Something that also came across rather strongly, was the lack of a negative prehistory of cooperation between actors. This is not something that came forward when the interviewees were asked about trust between actors. It was mentioned that participants of the RES also often worked together or spoke each other at other work occasions, but this wasn't related to issues within the RES. However, it did result in those people talking about the RES outside of scheduled meetings about the RES.

“You meet not only in that one regional consultation, but also in other regional consultations with other subjects. Then you also get to know each other and of course there is a lot of bilateral, multilateral consultation as well,” (Transcript 1,2024).

This, however, was not described as something that caused a lower trust level between participants by the interviewee. It is however something that has to be taken into account. In relation to a (negative) prehistory of cooperation between actors, it might not have been an issue. However, the fact that certain actors have inner circles within the bigger RES group, might cause the level of trust to decline during the process.

The starting condition that came out the weakest within the RES Twente 1.0 process was the Power-resource-knowledge asymmetries aspect. Looking at the power-resource-knowledge asymmetries, the answers of the interviewees showed some interesting differences. When asked if they felt that the input of all the participants in the process was treated equally, they all gave different answers. For instance, Interviewee 4 instantly said yes to this question. They did elaborate by stating that there wasn't a culture in which people called each other out, which in their opinion helped with the feeling of equalness. But it wasn't necessarily beneficial in reaching the targets within the RES Twente process (Transcript 4, 2024). Interviewee 1, on the other hand, gave the following answer:

“No, that's not how politics works. That's not how discussion works.” (Transcript 1,2024)

In Interviewee 1's opinion, that level of equality is not possible within a political process, since there are just too many different political agendas.

Compared to Interviewee 1, Interviewee 2, is a bit more moderate. They state that in principle everyone was treated equal, but that this was something that had to be consciously arranged (transcript 2, 2024). Overall, they did experience that there was respect and that everyone was treated equally. Interviewee 3 partly agrees with interviewee 2. From their perspective, everyone was treated equally, also because the meetings were designed to accommodate this (Transcript 3, 2024). However, at a later point in the interview, they did both still mention the influence of politics on the process. Interviewee 2 also says the following about this.

“That the powers of the various parties simply remain legally intact. And that horizontal cooperation and that vertical relationship that are there in the legislation.” (Transcript 2, 2024).

Thus, even though everyone was working in a collaborative process together and was equal within that process, there were still differences. Within the process everyone still had their own autonomy and legal rights, but the RES process itself did not have any legal rights on its own. Everyone participating in it remained autonomous. Which will always cause some irregularities. It is rather interesting to see how the level of equality between participants was so differently perceived. Throughout the interviews it did become clear that the interviewees all think that 100% equality can never be achieved, because you are working within a political process.

Institutional design

Institutional design says something about the way in which a process is organized. It describes the basic protocols and ground rules for a collaborative process (Ansell and Gash, 2007). Two aspects of institutional design that were rather strong with the RES Twente 1.0 process were the establishment of clear ground rules and process transparency. To start, in the starting note of RES Twente there are clear ground rules established and the process is also presented in a very transparent way. The starting note clearly states the goals, the timeline, the organization and decision-making process. It states who will be taking part in which part of the RES and what this will look like, in broad terms (Regionale Energiestrategie Twente, 2019).

Looking at the interviews in regard to clear ground rules and process transparency, the interviewees in general terms agree with the starting note. There are some differences from the starting note and between the interviewees. However, these differences can be explained by the function the interviewee had within the process. Interviewee 3 said the following when asked whether the RES process in terms of timeline and collaboration agreements was clear:

“But really the interpretation of that RES and say the roadmap or planning. That was never clear to me and wasn't, the only thing relevant to me was of when do you need what” (Transcript 3, 2024).

Also, from other parts of the interview it became clear that the exact agreements on collaboration or what the process would look like, never became clear. However, this also wasn't relevant to them. They had more of an outside role as an academic expert and provided the team with information and data visualization. The deadlines for when those were needed, were clear, and that was all that mattered to them.

Interviewee 1 and Interviewee 2 both refer to the starting note as a document that provided the base lines for the process. Which was in that sense very transparent and also provided some ground rules. However, when talking about ground rules specifically in relation to collaboration, interviewee 1 also mentioned that the collaboration was more of a ‘as you go’ process. They mentioned that they would just come together with all parties involved and would then just start the conversation. There weren't many clear ground rules for this, also because the collaboration took place on so many different levels which made the process very complicated. (Transcript 1, 2024). In comparison, Interviewee 4, was there

at the start of the process. Thus, when they started there weren't any clear ground rules and/or process transparency. The only ground rules present came from the national level which they then still had to translate into the starting note, in which they made the first agreements. However, once the starting note for the RES Twente was created, this acted as a base line throughout the entire process (Transcript 4,2024).

An aspect of institutional design that was weaker, according to the interviews and starting note, was the participatory inclusiveness. In the previous chapter it was already discussed that not everyone was treated equally and that there were some differences between the different participants. Participatory inclusiveness is related to this; however, participatory inclusiveness relates more to looking at whether all the necessary stakeholders had a chair at the table to begin with (Ansell and Gash, 2007). The starting note of the RES does somewhat specify who will be working together in what way. It does also mention all the different parties that should be collaborating to formulate the RES Twente 1.0. It does unfortunately not mention any specific actions that will be taken in order to ensure that everyone actually feels included in the process.

When it comes to participatory inclusiveness, the interviewees' answers differed. In the previous paragraph it was mentioned that not everyone's input was taken into account equally. However, this wasn't related to whether or not people felt like they should or should not participate. This came more from disagreements rooted in the different political colours of the participants. When the question of participatory inclusiveness was asked during the interviews, the answers differed. Interviewee 1 noted that in the time that they were part of the RES Twente, they thought every important stakeholder had a chair at the table. They would've liked to have more private parties represented,

“That we had to have market parties at the table. Because realization power is not in governments, is not in the municipality” (Transcript 1, 2024).

However, they also recognize that having private parties present from the beginning might clash with a process that is innately public,

“That public character had to be upheld, not disturbed by private interest” (Transcript 1, 2024).

Interviewee 3 thought that the process was quite elaborate, in their opinion less people could have shortened the timeline for the RES process (Transcript 3, 2024). Interviewee 2 mentioned that in the beginning of the process, there could have been less people involved. In their opinion there were stakeholders present who, at that time, were not needed. It would have been better for them to join at a later time, when the conversation was more about realisation, “but those did matter, but fit more at the component level than the whole” (Transcript 2, 2024). In the opinion of interviewee 4, all relevant parties were present. They did also mention that they also purposely put different target groups together,

“Getting different target groups to the table. For example, we had conversations with representatives from the agricultural sector, we had conversations with resident initiatives” (Transcript 4, 2024).

The impact of citizens on the RES Twente process has also been mentioned by interviewees. Citizens didn't have a chair at the table within the RES Twente directly but were represented through their municipality. In other words, the council members that were a part of the RES, would go back to

their municipality with the discussion and agreements from the RES to then try and get their own council to agree and to also meet and discuss with their citizens. This on its own influenced the process, since if the representatives could not get an agreement within their own municipality, they could also not commit within the RES. Interviewee 1 said the following about this:

“But then you get a process, the administrative-political, administrative process of creating support, to actual realization” (Transcript 1, 2024).

Interviewee 2 also mentioned a case where in one municipality citizens even threatened to create their own political party to counter the decision of the municipality council regarding the RES (Transcript 2, 2024).

As the interviews showed, the problem with participatory inclusiveness lies not necessarily with who was participating but more with how it was structured. None of the interviewees missed certain groups within the RES process, the only comments they have relate to how it was structured. This relates to who joined when and for example the indirect representation of citizens. Participatory inclusiveness could thus still be improved.

Collaborative process

The collaborative process is very subjective and is incredibly personal to each process. Ansell and Gash (2007) see the variables connected to the collaborative process as the core of their model. They do also iterate that “The collaborative process itself is highly iterative and nonlinear, and thus, we represent it (with considerable simplification) as a cycle.” (Ansell and Gash 2007). This shows that the variables all have an interaction with each other, and one does not influence the process more than the other. The collaborative process in the model of Ansell and Gash (2007) is made up of 5 variables: trust building, face-to-face dialogue, intermediate outcomes, commitment to process and shared understanding.

Let’s start with the variable, shared understanding. This was something that went well within the RES Twente process. The starting note of the RES Twente already presented a clear overview of goals and steps that had to be taken by the regional energy strategies. It presented the national goals and showed the timeline for when the national plans had to be translated into a regional strategy (Regionale Energiestrategie Twente, 2019). Next to this, all four of the interviewees, shared the same concept of what the end goal for RES 1.0 was, even though they might have used different words to formulate it:

- Interviewee 1: *“We are going for that 1.5 terra some large-scale generation.”* (Transcript 1, 2024).
- Interviewee 2: *“It was 1.0 was actually arresting the task everyone was facing.”* (Transcript 2,2024)
- Interviewee 3: *“to have a, a, a widely supported plan, to deliver the one and a half terra watt-hours from all Twente municipalities, to have concrete of what are we going to do as Twente to solve that task”* (Transcript 3,2024).

- Interviewee 4: *“That ambition was set pretty early on, and that also included an indication that we have a certain energy mix 60 percent wind, 40 percent solar.” (Transcript 4,2024).*

It becomes clear that they all agreed on the end goal of the RES Twente 1.0, and they also noted that they felt like this was also the case for other participants in the process. With the end goal they all mostly referred to the 1,5 Terawatt hour that the Twente region wanted to generate in 2030, this was a goal that was formulated quite early in the RES Twente process. Getting everyone to agree on this goal, was not an issue according to the interviewees, the difficulty lied in deciding on how to do it.

Intermediate outcomes were something that was also well arranged with the RES Twente. The starting note already presented some intermediate deadlines, and assuming they are achieved also outcomes. The only thing that could have been approved regarding this is that there could have been more attention to the achieving of these intermediate outcomes, according to the interviewees, this wasn't always the case.

The interviewees said the following about intermediate outcomes. Interviewee 1 noted that intermediate outcomes were there also to structure a long process. But that they didn't result into a feeling of urgency for everyone (Transcript 1, 2024). Interviewee 2, experienced there to be very clear intermediate deadlines, and with that also outcomes. When asked whether there was attention for the achieving of those intermediate deadlines they said the following:

“At the official level, yes. But at the administrative level it was not always obvious. That also had to do with the fact that a few people were in the game a little differently.” (Transcript 2, 2024).

Interviewee 4 noted that there were very clear intermediate deadlines and thus outcomes but that this was not something that was explicitly celebrated or paid attention to in a special way (Transcript 4,2024). Interviewee 3 noted that they were not that involved throughout the whole process, but as far as they knew, there were very clear intermediate deadlines, prepared by one of the leaders within the process. But, due to their more outside role in the process, they didn't experience this first hand. (Transcript 3,2024).

Face-to-face dialogue is another aspect of the collaborative process, within the RES this was quite a neutral part of the collaborative process. Due to Covid it wasn't always possible, but if it were, face-to-face dialogue took place. The sessions that interviewee 3 attended were all physical (Transcript 3, 2024). Interviewee 2 noted that once every two weeks there was an online meeting and once per six weeks, they would have a meeting that took place physically (Transcript 2,2024). However, in the conversations, this did not come forward as something that they considered to be a big issue. In some cases, the online meetings, did cause some more urgency, but this wasn't always a bad thing necessarily. Interviewee 1, said the following about this:

“The advantage of those time blocks in teams were consultations, especially as aldermen. You went from one meeting to the next. And I say: it is now five to two. I will give four more minutes. For all to say yes, do not do it, I consider the view of the majority as unanimity” (Transcript 1, 2024).

Two aspects of the collaborative process that were weaker, according to the interviews, are trust building and commitment to process.

Let's first start with trust building. Trust building isn't mentioned in the starting note of the RES Twente and there are no official plans or efforts made to promote trust building. This is something that the interviewees collaborated. The interviewees did agree that there was a level of trust between participants, but the situation still didn't sound ideal. In regarding to trust building, the interviewees didn't really mention any specific activities that helped with trust building. But most of them, did in general perceived that there was trust between the participants of RES Twente 1.0. Interviewee 1 said the following:

"I did feel trust. By some six, seven, eight, that was also expressed." (Transcript 1, 2024).

They did also mention that even though overall there was trust. There still were frustrations or "bilaterals" within the group sometimes, however, they did not perceive this as a problem. This is rather a normal part of such a process (Transcript 1, 2024). Interviewee 2 wasn't as quick to say that there was trust but confirmed that everyone respected each other. He also noted that some people within the group were very connecting and could help to get people together (Transcript 2,2024). Interviewee 3 did notice trust between the different actors, partly because of the urgency. They also noticed that the tools they developed created trust between the participants since they would then be working with truthful data (Transcript 3, 2024). Interviewee 4 recognized that within the context in which the RES Twente took place, that there was trust. However, people would set goals together but then not commit to executing those, which didn't create trust in the group as a whole. They said the following about this:

" I think the confidence was on I'm setting this course for myself and I'm holding it up. There was confidence in that, but not so much in, this is the way we're going to achieve that ambition." (Transcript 4, 2024).

The process of the RES Twente might not have directly suffered from a lack of trust, there also wasn't a mechanism set in place to make sure that trust was there and remained there. This is concerning since trust is a very important factor in having a successful collaborative governance process.

The final part of collaborative process is the commitment to process. This was something that, in the final part of RES 1.0 was truly lacking. This is something that has also been mentioned before but during the RES Twente, people in general felt committed while they were still talking about the why question. However, as soon as the discussion shifted to the how question, certain participants lost their commitment. The starting note of the RES does not specify how the RES Twente process will guarantee that everyone will feel committed to the process. It only mentions official commitments and deadlines, but this not necessarily how committed participants might truly feel (Regionale Energiestrategie Twente, 2019). The interviewees had the following to say about this.

Interviewee 1 mentioned a difference in commitment to the process multiple times during the interview. In his opinion not everyone felt the same level of commitment to the process, there were also significant differences in how the urgency of the task of the RES was experienced. The differences in commitment to the process also became more evident the further in the process they got. Once the conversation shifted more to the how question on how to actually put the agreements made into action. In other words, when it had to be decided where the wind turbines would actually be built. Some people started backing out and/or not wanting to commit anymore (Transcript 1, 2024). Interviewee 2 also recognized this and said the following about it:

“Also, if such a RES 1.0 is accepted. I mean, as I say, there is support for the assignment. That does not mean that there is commitment to its execution” (Transcript 2,2024),

they also said that participants were happy to formulate the RES 1.0, but when it came to realization, people had a feeling of not in my backyard (Transcript 2,2024).

Interviewee 3 perceived there to be a good level of commitment to the process from all participants. They also noted that within their group, there was a nice working atmosphere with similarly minded people which was an extra incentive to give it your best. However, they did also notice that politics did still play a role and said the following about this.

“I think that was a single director who felt that, the urgency and they acted on it. For most directors, if you look at the situation, they are just very political and then survival is more important than achieving a mission.” (Transcript 4,2024).

Interviewee 3, who experiences the RES Twente from a more outside perspective definitely noticed a lot of commitment from the academic people assisting with the RES Twente and to their knowledge also say commitment from other participants in the core group of the RES (Transcript 3, 2024).

Leadership

Good leadership can bring participants together and guide them through a collaborative process. Leadership also plays a key role in empowering and representing the weaker and/or disadvantaged stakeholders. One example of a leadership type is facilitative leadership. A facilitative leader is a leader that doesn't necessarily take on the role of making the decisions, but rather to mediate between the stakeholders. Leadership should set and maintain ground rules, build trust and facilitate dialogue (Ansell & Gash, 2007). Leadership can thus be a determining factor of whether a process will be successful or not, this also goes for the RES Twente.

When taking a look at leadership within the RES Twente, the starting note doesn't state much about this. It does mention a structure of working together, which includes leadership roles. However, it doesn't give any specific instructions or guidelines about how such a leader should act (Regionale Energiestrategie Twente, 2019).

The interviewees did recognize that there was leadership present. Two of the interviewees also had a leadership role themselves. It is important to note their roles were not similar at all but did both have some leadership aspects. First, let's take a look at how they perceived leadership during the RES Twente. The way that Interviewee 1 describes their leadership style, bears very much resemblance with a facilitative leadership style. Some things they said about their leadership are:

“I am in my DNA is made up of consensus. I am connective person.” “I will not enforce anything and the word "should" would be used as little as possible by me. What I am trying to do on the basis of persuasion, trying to get you to go along with me” (Transcript 1, 2024).

They tried to always look for consensus, but when needed, would also be hard:

“So that's also leadership. You have to, you can do it by conviction. Sometimes you have to enforce things and tie knots.” (Transcript 1, 2024).

Interviewee 2, when asked about leadership during the RES Twente, first started naming the people that all had a leadership role within the process (in the different groups etc.). They experienced there to be mainly a facilitating type of leadership with leaders that were very loyal to the process. But did also experience leaders that were more of a “So don't whine. We'll go for it” (Transcript 2, 2024) type of leader. Overall, both interviewee 1 and 2 experienced the leadership to be positive during the RES Twente. Similarly, Interviewee 3, noted that the program manager of the RES showed real leadership and also acted as the in between person between the regional and national RES and between the different groups within the RES Twente. They experienced the leadership as charming, but still urgent. They said the following about this.

“We're going to do it all together way, but it was very directive, he had a very directive style actually, which wrapped it up in a very charming we'll do it together, but in the meantime I'll tell you what to do, so I think that's what he does well.”(Transcript 3,2024).

Interviewee 4 described the leadership present as a leader that didn't just push their own agenda but used information and input from others to then navigate the process. The way leadership was described matches the description of facilitative leadership as described by Ansell and Gash (2007).

“And you have administrators who are quite up to speed, but have somewhat less of their own ambition, let alone and own vision of where to go. And who then rely more for that on that what is provided by officials. And I think if you're talking about leadership, was more in that second group” (Transcript 4, 2024).

Even though all interviewees used different words it does appear that they all describe a form of facilitative leadership, which is rather positive.

Discussion

The RES 1.0 is the first step in the RES process. Currently, RES Twente is working on RES 2.0 which will work out how to realize the ambitions that were discussed in RES 1.0(Over De RES - RES Twente, n.d.). So, then, what can be taken from the RES 1.0 process to improve the RES 2.0 process?

Starting conditions

Firstly, let's look at the starting conditions. The starting condition that came out the weakest within RES 1.0, was the power-resource-asymmetries. There were mixed perceptions from the interviewees on whether or not everyone's input was always treated equally. Something they did agree on was that there would always be some sort of power-resource-asymmetries, since they are working in a political process. And that is true, especially in the council men group. There everyone is a representative of their own constituency. Keeping the influence of politics in mind, it would still be good to consciously try to guarantee that everyone's input gets treated the same. Something that Interviewee 3 brought forward was that working with clear data and facts, helped to make sure that everyone got treated equally (Transcript 3, 2024). It might not be possible to have data and facts for every discussion, however, in

general it would be good to make sure that everyone has access to all the information available. This is something that should be kept in mind when designing the collaborative process.

With the RES 2.0, many of the participants are the same as in RES 1.0. This will most likely already improve the starting level of trust. However, it would be good to also make an effort to consciously invest in maintaining and improving trust between participants. This will be discussed under collaborative process. The participants that were interviewed for this research, had a strong intrinsic motivation to participate. The results that came from this study thus don't imply that something should change in regard to providing incentives to participate. However, for this study only a small number of participants was interviewed. It could thus be, that other participants would have liked to have more incentives. However, with the RES, most people involved are involved because it's simply their responsibility from their job. For example, members of the municipality council. Thus, they don't really need to be persuaded to participate in this collaborative process, they are just expected to participate. There isn't any action required for this.

The starting conditions, as it is said in the name, are the already existing conditions at the start of a process. Since RES 2.0 builds on RES 1.0, the starting conditions are already set. However, even though these starting conditions cannot necessarily be changed anymore, it is important to keep them in mind when designing the participatory and collaborative institutions. The RES 2.0 would do well to look at the influence of the starting conditions and adjust their design for institutional design, collaborative process and leadership to fit with the already existing starting conditions.

Institutional design

Overall the institutional design of the RES Twente was rather strong. There were clear ground rules as well as process transparency. This is something that should be maintained during RES 2.0. However, there is room for improvement.

Regarding the participatory inclusiveness some things can be improved. Interviewees made it know that they did think everyone that should have been included was indeed included, however the timing did feel off to some. It came forward that it might have been better for some parties to be included later. The RES 1.0 was mostly about writing down ambitions, and the RES 2.0 is about realizing those. During this study it was found that it would have been better if some parties were only included for the realizing part. Since that is the part that is starting now, the participatory inclusiveness should already be better suited for RES 2.0. However, even though this might not be something that is relevant for the RES 2.0, it could still be relevant in case a similar process would be started.

The advice would then be to critically think about which phase of the process you are in and who are needed in this phase. It is an exceptionally fine balance between making sure an important stakeholder has a chair at the table and making the process longer due to unnecessary input. Something that was mentioned by interviewees was that in this instance it perhaps would have been more beneficial to only have the executing stakeholders be part of RES 2.0, where they would actually start discussing how to realize the goals from RES 1.0.

Collaborative process

Two aspects of the collaborative process that the interviews indicate might benefit from improvement are trust building and commitment to the process.

To start, let's examine the level of commitment to the process that was observed in the RES 1.0. The interviews indicate that participants had a different level of commitment to the process. For a big part this

could be explained by the fact that the participants came from different political colours. Which makes it that some in general see less urgency in climate change in general. This then also translates to the level of urgency they perceive at the RES. However, this is not the only issue. Interviewees mentioned that the difference in commitment especially became clear when the agreements had to be realized. People then became afraid of what their constituents would think, and they got a “not in my backyard” (Transcript 2, 2024) attitude. Creating these feelings of commitment is crucial for a successful RES 2.0. Alas, if people don’t feel committed to executing the ambitions of RES 1.0, they will not be realized.

Then, looking at trust building within the RES Twente. During RES 1.0, there weren’t any direct issues due to a lack of trust between participants. However, this was more due to luck than due to effort. This study showed that there wasn’t a specific effort made in order to increase trust between the participants. For future processes, it would be good to be aware of this, and actively put efforts into building and maintaining trust. Trust is built through many varied factors. By improving, leadership, starting conditions and institutional design trust can already grow. For example, having and celebrating intermediate outcomes, having process transparency and a shared understanding of the end goal are all factors that influence the level of trust (Ansell and Gash, 2007).

Leadership

Leadership during RES 1.0 was described as positive by the interviewees. Multiple characteristics of facilitative leadership were mentioned, which was experienced as positive. Thus, for RES 2.0, it’s best to keep this up. Leaders should try and realize the following things: promoting process integrity and transparency, creating clear ground rules and safeguarding these, building trust, creating an open atmosphere for dialogue, find an emphasize opportunities for mutual gain, empowering stakeholders and balance out power-knowledge-asymmetries. These leadership qualities all fit within the facilitative leadership model by Ansell and Gash (2007).

General findings and limitations

The RES Twente 1.0 was a very collaborative process and very unique in its kind. Overall, it was very collaborative, and it did well in getting everyone a chair at the table, either directly or indirectly through representatives. However, this does not take away that there were issues. It took relatively long before the discussion about “How” was started and at the end of RES 1.0 they were not able to come to the 1,5 Terawatt hour goal that was initially set.

For RES 2.0, starting conditions cannot be changed, this would only be relevant if a similar process would be started again. However, the collaborative process, institutional design and leadership still have opportunities to improve. For RES 2.0, my advice would be the following.

1. Learn from the leadership of RES 1.0, leaders might have changed but they would do good to keep the facilitative leadership style and take notes from the findings mentioned above.
2. Be critical of which stakeholders are involved at which point. Is a certain stakeholder needed right now or can they be included later? This does not mean that stakeholders should be removed from the process completely, however, perhaps they do not need to be on an input basis at all point. Perhaps sometimes they can just receive information.
3. Make sure that the shared understanding of the end goal does not get lost and create clear intermediate goals. When these intermediate goals are achieved, pay attention to this and celebrate together before going to the next step.

4. Try to create an equal level of commitment to the process. This will not be 100% possible, but perhaps can still be improved.
5. Put effort into actively building and maintaining trust.

Conclusion

Climate change cannot be denied anymore, and its effects on the earth are ever more clear with more intense weather, longer periods of heat and drought, wildfires and melting ice (Effects - NASA Science, n.d.). The Dutch government committed to 49% CO2 emission reduction opposed to 1990 by 2030 and to a minimum of 80-95% CO2 emission reduction by 2050 in the Paris climate agreement (Regionale Energiestrategie Twente, 2019). In order to execute this, the RES was realized so that the regional could make their own plan to realize their contribution to complete this climate goals. The RES thus plays a particularly important role in the Dutch energy transition. This study evaluated the RES Twente 1.0 with the hope creating valuable insights that can improve the RES process and with that make a contribution to the research about the energy transition. Next to the importance of the energy transition, the RES is also an incredibly unique collaborative process. There also lies the focus of this study. The research question for this thesis is: “Under what conditions participatory design and/or leadership styles promote successful collaborative governance?”. To answer this question the model by Ansell and Gash (2007) was used to evaluate the case of RES Twente 1.0.

This study showed that participatory design and leadership promote successful collaborative governance under conditions where:

- There is strong facilitative leadership.
- There is consensus about the shared end goal of the process.
- There are clear intermediate goals and outcomes which are celebrated.
- Every stakeholder has a chair at the table, at the right time within the process.
- The participants have an equal level of commitment to the process.
- There are clear starting goals and ground rules, and the process is transparent.
- There is effort being put into building and maintaining trust.

Within the RES Twente 1.0 many of these factors were present, but many also still leave room for improvement. However, the RES Twente has proven to be an interesting case. People working together within a process, who, within the process itself are all equal, but then at the same time are still dependent on the input from the people they represent. This makes the RES an incredibly unique process in which collaboration has to be navigated through politics.

Looking at this study's findings and suggestions for RES 2.0, there are some things that should be considered. Firstly, it wasn't easy to find interviewees. There is a limited pool of subjects to choose from, and since the interview is quite elaborate not everyone was able or willing to make time to participate. For instance, one interviewee cancelled their interview after being asked to sign an informed consent form. Then as a second requirement it was also deemed important for this research to have the interviewees to have different roles in the process. To be able to gather data from multiple perspectives, this limited the

pool of possible participants even more. If this study would have to be done again, it would be better to also hold a survey in order to reach more participants.

Secondly, interviews on their own cannot be trusted as 100% objective data. With an interview you are always gathering data based on a person's personal experience. This is in general for this research somewhat of a limitation. Since this research only evaluated the process, there is no way to objectively conclude whether the process would have been better if something was different. Only assumptions can be made on this. This also comes from the fact that the RES is a unique form of collaborative governance, which doesn't give much opportunity to compare it with another process. For future research it would be advised to compare the process of a RES in different regions or to compare RES 1.0 with RES 2.0 within one region.

Also, this study was conducted some time after RES 1.0 has finished. This means that the data gathered in the interviews was based on the memory of the interviewees. It would have been more ideal to conduct the study while the process was still going on, or immediately after the process was finished. In this regard, the RES 2.0 process and other future processes are opportunities to improve the study.

There were also some limitations in the data analysis. Especially with the recording of the interview of interviewee 1, it was sometimes not possible to hear what exactly was said. This had to do with the heavy rain on the background which interferes with the quality of the audio. The general lines of the interview did not get lost, but it does of course leave some open spots.

Next to this, I was the only one coding the document, which does make the coding open to my own interpretation. To help minimize the effect of this, this paper has been peer reviewed by another bachelor student, also writing a bachelor thesis at this time. She has found my conclusions gathered from the data reasonable. However, if time and resources were available, a second coder could have been hired to make the methods more robust.

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Appendix A: Dutch interview questions

1. Kunt u zich kort voorstellen en uitleggen waarom u betrokken was bij het proces van het opstellen van RES 1.0 voor de energieregio Twente?
2. Kunt u vertellen waarom u deel wilde nemen in de ontwikkeling van RES 1.0?
 - a. Waarom voelde u zich wel of niet gemotiveerd om deel te nemen aan dit proces?
3. Was het voordat u aan het proces begon duidelijk hoe het proces uit zou gaan zien?
 - a. Hoe was dit wel of niet duidelijk gemaakt?
 - b. Waren er duidelijke afspraken over hoe de samenwerking zou verlopen?
 - i. Zo ja, hoe zagen deze afspraken eruit?
 - c. Was er een duidelijke tijdsplanning?
 - i. Zo ja, hoe zag deze eruit?
4. Wat kunt u vertellen over het proces en de samenwerking?
 - a. Hoe vaak spraken jullie elkaar en in welke vorm?
 - b. Had u het idee dat de input van iedere deelnemer gelijkwaardig werd behandeld?

- c. Waren er tussentijdse deadlines/doelen?
- d. Werden tussen stappen/behaalde doelen ook gevierd?
- e. Was de tijdlijn voor het proces duidelijk?
- 5. Had u het idee dat alle relevante partijen onderdeel waren van het proces?
 - a. Zo niet, welke partijen waren volgens u niet betrokken bij het proces terwijl ze dit wel hadden moeten zijn?
- 6. Hoe verliep de samenwerking tijdens het proces?
 - a. Was er leiderschap aanwezig tijdens het proces en hoe zag dat eruit?
 - i. Zo ja, hoe beïnvloedde dit de samenwerking?
 - ii. Zo niet, waarom had u het idee dat er geen leiderschap was? How werd het proces gecoördineerd?
- 7. Had u tijdens het proces het gevoel dat er vertrouwens was tussen alle partijen?
 - a. Zo ja, waarom heeft u dit zo ervaren?
 - b. Zo nee, waarom heeft u dit zo ervaren?
- 8. Had u het idee dat alle betrokken partijen op één lijn zaten met betrekking tot het proces?
- 9. Wat was volgens u het einddoel van het proces?
 - a. Waren alle deelnemers het hierover eens?
 - b. Kwam dit gezamenlijke einddoel overeen met uw eigen belangen?
- 10. Voelde u zich toegewijd aan het doel van de RES?
 - a. Waarom voelde u zich toegewijd aan het doel van de RES?
 - b. Had u het idee dat anderen ook toegewijd waren aan het doel van de RES?

Appendix B: Analysis

Main category from Ansell and Gash (2007) model	Sub category	Starting note ((Regionale Energiestrategie Twente, 2019)	Interviews
Starting conditions	Incentives for participation	The starting note of RES Twente does not mention anything specific about incentives for people to participate (Regionale Energiestrategie Twente, 2019).	Looking at the interviews, it was noticeable that all of the interviewees in one way or other felt intrinsically motivated to participate in the RES Twente. For some participating was also something that just came from the job they already had, but they still all felt an intrinsic motivation, one way or another. For example, interviewee 1 was motivated because they had a certain passion of sustainability and the energy transition and specifically wanted to join the RES Twente in a leadership role because they didn't think it was going quick enough. "But I wanted to have that sustainability there. I became that, but with one

			<p>intention, it is immediately said. If I am FUNCTION, I would also like to become FUNCTION in that transition. To become of that working group, regional energy strategy, because I thought that was going way too slow” (Transcript 1, 2024).</p>
	<p>Power-resource-knowledge asymmetries</p>	<p>The starting note doesn't go into the power-resource-knowledge asymmetries. It mentions the different working groups and the decision-making process, but it doesn't go into any asymmetries. The document assumes that everyone has the same rights and knowledge within the RES group (Regionale Energiestrategie Twente, 2019).</p>	<p>Looking at the power-resource-knowledge asymmetries, the answers of the interviewees showed some interesting differences. When asked if they felt that the input of all the participants in the process was treated equally, they all gave different answers. For instance, Interviewee 4 instantly said yes on this question. They did elaborate by stating that there wasn't a culture in which people called each other out, which in their opinion helped with the feeling of equalness but wasn't necessarily beneficial in reaching the targets within the RES Twente process (Transcript 4, 2024). Interviewee 1, on the other hand, gave the following answer: “No, that's not how politics works. That's not how discussion works.” (Transcript 1,2024) In their opinion, that level of equality is not possible within a political process, since there are just too many different political agenda's. Interviewee 2 stays a bit in the middle. They state that in principle everyone was treated equal, but that this was something that was something that had to be consciously arranged (transcript 2, 2024). However, overall, they did experience that there was respect and that everyone was treated equally.</p> <p>Interviewee 3 partly corroborates interviewee 2. From their perspective, everyone was treated equally, also because that was the way in which they designed the meetings (transcript 3, 2024). However, at a later point in the interview, they did both still mention the influence of politics on the process. Interviewee 2 also says the following about this” That the powers of the various parties simply remain legally intact.</p> <p>And that horizontal cooperation and that vertical relationship that are there in the legislation.”</p>

			(Transcript 2, 2024). Thus, even though everyone was working in a collaborative process together, and in that process everyone was equal. This does not take away the fact, that everyone has their own autonomy and legal rights. The RES process did not have any legal rights on its own. Everyone participating in it remained autonomous. Which will always cause some irregularities.
	Prehistory of Cooperation or conflict (initial trust level)	In the starting note nothing specific is mentioned about this	This is not something that came forward when the interviewees were asked about trust between actors. It was mentioned that participants of the RES also often worked together or spoke each other at other work occasions, but this wasn't related to issues within the RES. However, it did make it so that those people also spoke about the RES, outside of scheduled meetings about the RES. "You meet not only in that one regional consultation, but also in other regional consultations with other subjects. Then you also get to know each other and of course there is a lot of bilateral, multilateral consultation as well," (Transcript 1,2024).
Institutional design	Clear ground rules	In the starting note there are clear ground rules established and process is also presented in a very transparent way. The starting note clearly states the goals, the timeline and the organization and decision-making process. It states who will be taking part in which part of the RES and what this will look like, in broad terms (Regionale	Then, looking at the interviews in regard to clear ground rules and process transparency. The answers showed some differences. However, these differences can be explained by the function the interviewee had within the process. Interviewee 3 said the following when asked whether the RES process in terms of timeline and collaboration agreements was clear: "But really the interpretation of that RES and say the roadmap or planning. That was never clear to me and wasn't, the only thing relevant to me was of when you need what" (Transcript 3, 2024). Also, from other parts of the interview it became clear that the exact agreements on collaboration or what the process would look like, never became clear. However, this also wasn't relevant to them. They had more of an outside role as academic expert and provided the team with information and data visualization.

		<p>Energiestrategie Twente, 2019).</p>	<p>The deadlines for when those were needed, were clear, and that was all that mattered to them.</p> <p>Interviewee 1 and Interviewee 2 both refer to the starting note as a document that provided the base lines for the process. Which was in that sense very transparent and also provided some ground rules. However, when talking about ground rules specifically in relation to collaboration, interviewee 1 also mentioned that the collaboration was more of a ‘‘ as you go’’ process. They mentioned that they would just come together will all parties involved and would then just start the conversation. There weren’t many clear ground rules for this, also because the process was just very complicated, since collaboration had to take place on so many different levels (Transcript 1, 2024).</p> <p>Interviewee 4 was there at the start of the process. Thus, when they started there weren’t any clear ground rules and/or process transparency. They only ground rules present came from the national level which they then still had to translate into the starting note, in which they made the first agreements (Transcript 4,2024).</p>
	<p>Participatory inclusiveness</p>	<p>Even though the document states who will be participating and in which way, it doesn’t specify any actions taken to guarantee that everyone feels included to participate (Regionale Energiestrategie Twente, 2019).</p>	<p>In the previous paragraph it was mentioned that not everyone’s input was taken into account equally. However, this wasn’t related to whether or not people felt like they should or should not participate. This came more from disagreements since participants had different political colours.</p> <p>Looking at participatory inclusiveness relates more to looking at whether all the necessary stakeholders had a chair at the table (Ansell and Gash, 2007).</p> <p>When this question was asked during the interviews, the answered differed. Interviewee 1, noted that in the time that they were part of the RES Twente, they thought every important stakeholder had a chair at the table. They would’ve</p>

		<p>liked to have more private parties be represented, “That we had to have market parties at the table. Because realization power is not in governments, is not in the municipality” (Transcript 1, 2024). However, on the other hand they also recognize that having private parties present from the beginning, might clash with a process that is innately public, “That public character had to be upheld, not disturbed by private interest” (Transcript 1, 2024).</p> <p>Interviewee 3 thought that the process was quite elaborate, in their opinion less people could have shortened the timeline for the RES process (Transcript 3, 2024). Interviewee 2 mentioned that in the beginning of the process, there could have been less people involved. In their opinion there were stakeholders present who, at that time, were not needed. It would have been better for them to join at a later time, when the conversation was more about realisation, “but those did matter, but fit more at the component level than the whole” (Transcript 2, 2024).</p> <p>In the opinion of interviewee 4, all relevant parties were present. They did also mention that they also purposely put different target groups together, “Getting different target groups to the table. For example, we had conversations with representatives from the agricultural sector, we had conversations with resident initiatives” (Transcript 4, 2024).</p> <p>The impact of citizens on the RES Twente process has also been mentioned by interviewees. Citizens didn’t have a chair at the table within the RES Twente directly but were represented through their municipality. Thus, the council members that were a part of the RES, would go back to their municipality with the discussion and agreements from the RES to then try and get their own council to agree and to also meet and discuss with their citizens. This on it’s own influenced the process, since if the representatives could not get an</p>
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			<p>agreement within their own municipality, they could also not commit with in the RES.</p> <p>Interviewee 1 said the following about this: “But then you get a process ,the administrative-political, administrative process of creating support, to actual realization” (Transcript 1, 2024).</p> <p>Interviewee 2 also mentioned a case where in one municipality citizens even threatened to create their own political party to counter the decision of the municipality council regarding the RES (Transcript 2, 2024).</p>
	Process transparency	See clear ground rules	See clear ground rules.
Leadership		<p>The document does not say anything specific about leadership(styles). It does mention that there will be people taking on a leadership role (chair for example) but doesn't go into specifics.</p>	<p>Good leadership can bring participants together and guide them through a collaborative process. Leadership also plays an important role in empowering and representing the weaker and/or disadvantaged stakeholders. One example of a leadership type is facilitative leadership. A facilitative leader is a leader that doesn't necessarily take on the role of making the decisions, but rather to mediate between the stakeholders. Leadership should set and maintain ground rules, build trust and facilitate dialogue (Ansell & Gash, 2007). Leadership can thus be a determining factor of whether a process will be successful or not, this also goes for the RES Twente.</p> <p>When taking a look at leadership within the RES Twente, the starting note doesn't state much about this. It does mention a structure of working together, which includes leadership roles. However, it doesn't give any specific instructions</p>

		<p>or guidelines about how such a leader should act (Regionale Energiestrategie Twente, 2019).</p> <p>The interviewees did recognize that there was leadership present. Two of the interviewees also had a leadership role themselves. It is important to note their roles were not similar at all, but did both have some leadership aspects. First, let's take a look at how they perceived leadership during the RES Twente. The way that Interviewee 1 describes their leadership style, bears very much resemblance with a facilitative leadership style. Some things they said about their leadership are: "I am in my DNA is made up of consensus. I am connective person." "I will not enforce anything, and the word "should" would be used as little as possible by me. What I am trying to do on the basis of persuasion, trying to get you to go along with me" (Transcript 1, 2024). They tried to always look for consensus, but when needed, would also be hard. "So that's also leadership. You have to, you can do it by conviction. Sometimes you have to enforce things and tie knots." (Transcript 1, 2024).</p> <p>Interviewee 2, when asked about leadership during the RES Twente, first started naming the people that all had a leadership role within the process (in the different groups etc.). They experienced there to be mainly a facilitating type of leadership with leaders that were very loyal to the process. But did also experience leaders that were more of a "So don't whine. We'll go for it" (Transcript 2, 2024) type of leader. Overall, both interviewee 1 and 2 experienced the leadership to be positive during the RES Twente.</p> <p>Interviewee 3 noted that the program manager of the RES showed real leadership and also acted as the in between person between the regional and national RES and between the different groups within the RES Twente. They experienced the leadership as charming, but still urgent. They said the following about this "We're going to do it all together way, but it was very directive, he had a</p>
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			<p>very directive style actually, which wrapped it up in a very charming we'll do it together, but in the meantime I'll tell you what to do, so I think that's what he does well.”(Transcript 3,2024).</p> <p>Interviewee 4 described the leadership present as a leader that didn't just push their own agenda but used information and input from others to then navigate the process. “And you have administrators who are quite up to speed, but have somewhat less of their own ambition, let alone and own vision of where to go. And who then rely more for that on that what is provided by officials. And I think if you're talking about leadership, was more in that second group” (Transcript 4, 2024).</p> <p>Even though all interviewees used different words it does appear that they all describe a form of facilitative leadership, which is rather positive.</p>
Collaborative process	Trust building	Trust building isn't mentioned in the document.	<p>In regarding to trust building, the interviewees didn't really mention any specific activities that helped with trust building. But most of them, did in general perceived that there was trust between the participants of RES Twente 1.0. Interviewee 1 said the following: “I did feel trust. By some six, seven, eight, that was also expressed.” (Transcript 1, 2024). They did also mention that even though overall there was trust. There still were frustrations or “bilaterals” within the group sometimes, however, they did not perceive this as a problem. This is rather a normal part of such a process (Transcript 1, 2024). Interviewee 2 wasn't as quick to say that there was trust but confirmed that everyone respected each other. He also noted that some people within the group were very connecting and could help to get people together (Transcript 2,2024). Interviewee 3 did notice trust between the different actors, partly because of the urgency. They also noticed that the tools they developed also created trust between the participants since they would then be working with truthful data (Transcript 3, 2024). Interviewee 4 recognized that within the context in which the RES Twente took place, that there was trust.</p>

			<p>However, people would set goals together but then not commit to executing those, which didn't create trust in the group as a whole. They said the following about this: "I think the confidence was on I'm setting this course for myself and I'm holding it up. There was confidence in that, but not so much on that this the way we are going to realize that ambition." (Transcript 4, 2024).</p>
Face-face-dialogue	<p>Face-to-face dialogue also isn't mentioned (Regionale Energiestrategie Twente, 2019). However, face-to-face dialogue could be implied as it might seem logical to have face-to-face dialogue in order to come to agreements.</p>	<p>Since a big part of RES 1.0 took place under the Covid 19 restrictions, face-to-face dialogues were limited. However, the sessions that interviewee 3 attended were all physical (Transcript 3, 2024). Interviewee 2 noted that once every two weeks there was an online meeting and once per six weeks, they would have a meeting that took place physically (Transcript 2,2024). However, in the conversations, this did not come forward as something that they considered to be a big issue. In some cases, the online meetings, did cause some more urgency, but this wasn't always a bad thing necessarily. Interviewee 1 said the following about this: "The advantage of those time blocks in teams were consultations, especially as aldermen. You went from one meeting to the next." and "I say: it is now five to two. I will give you four more minutes. For all to say yes, do not do it, I consider the view of the majority as unanimity" (Transcript 1, 2024).</p>	
Intermediate outcomes	<p>Taking a look at the starting note, the document does mention intermediate outcomes, in the form of deadlines in the time planning.</p>	<p>All of the interviewees recognized that there were intermediate outcomes. Interviewee 1 noted that intermediate outcomes were there also to structure a long process. But that they didn't result into a feeling of urgency for everyone (Transcript 1, 2024). Interviewee 2, experienced there to be very clear intermediate deadlines, and with that also outcomes. When asked whether there was attention for the achieving of those intermediate deadlines they said the following: "At the official level, yes. But at the administrative level it was not always obvious. That also had to do with the fact that a few people were in the game a little differently.</p>	

			“(Transcript 2, 2024). Interviewee 4 noted that there were very clear intermediate deadlines and thus outcomes but that this was not something that was explicitly celebrated or paid attention to in a special way (Transcript 4,2024). Interviewee 3 noted that they were not that involved throughout the whole process, but as far as they knew, there were very clear intermediate deadlines, prepared by one of the leaders within the process. But, due to their more outside role in the process, they didn’t experience this first hand. (Transcript 3,2024).
Commitment to process	It does not really specify how the RES Twente process will guarantee that everyone will feel committed to the process. It only mentions official commitments and deadlines, but this not necessarily how committed participants might truly feel	Interviewee 1 mentioned a difference in commitment to the process multiple times during the interview. In his opinion not everyone felt the same level of commitment to the process, there were also significant differences in how the urgency of the task of the RES was experienced. The differences in commitment to the process also became more evident the further in the process they got. Once the conversation shifted more to the how question on how to actually put the agreements made into action. In other words, when it had to be decided where the wind turbines would actually be built. Some people started backing out and/or not wanting to commit anymore (Transcript 1, 2024). Interviewee 2 also recognized this and said the following about it: “also if such a RES 1.0 is accepted. I mean, as I say, there is support for the assignment. That does not mean that there is commitment to its execution” (Transcript 2,2024), they also said that participants were happy to formulate the RES 1.0, but when it came to realization, people had a feeling of “not in my backyard” (Transcript 2,2024). Interviewee 3 perceived there to be a good level of commitment to the process from all participants. They also noted that within their group, there was a nice working atmosphere with similarly minded people which was an extra incentive to give it your best. However, they did also notice that politics	

			<p>did still play a role and said the following about this “I think that was a single director who felt that the urgency and they acted on it. For most directors, if you look at the situation, they are just very political and then survival is more important than achieving a mission.” (Transcript 4,2024). Interviewee 3, who experiences the RES Twente from a more outside perspective definitely noticed a lot of commitment from the academic people assisting with the RES Twente and to their knowledge also say commitment from other participants in the core group of the RES (Transcript 3, 2024).</p> <p>All interviewees noticed an issue at this point in the process. As long as it was about the why/what it went quite smoothly, but as soon as the question turned to how people started backing out. Interviewee 3 and 4 both mentioned that in their opinion it would have been better to start the discussion about the how sooner. Not because it then would have been easier, but in the hope to be able to start the realization process sooner (Transcript 3,2024) (Transcript 4,2024).</p>
Shared understanding	In a way the document also creates a feeling of shared understanding, since it provides a clear overview of the goals and process of the RES Twente. This does make the end goal clear for everyone.		<p>All four of the interviewees, shared the same concept of what the end goal for RES 1.0 was, even though they might have used different words to formulate it.</p> <p>Interviewee 1: “We are going for that 1.5 terra some large-scale generation.” (Transcript 1, 2024). Interviewee 2: “It was 1.0 was actually arresting the task everyone was facing.”(Transcript 2,2024) Interviewee 3: “to have a, a, a widely supported plan, to deliver the one and a half terra watt-hours from all Twente municipalities, to have concrete of what are we going to do as Twente to solve that task”(Transcript 3,2024). Interviewee 4: “That ambition was set pretty early on, and that also included an indication that we have a certain energy mix 60 percent wind, 40 percent solar.” (Transcript 4,2024).</p>

			<p>Thus, to summarize they all agreed that the end goal of the RES Twente 1.0 was to formulate a plan on how the stakeholders within the RES Twente region would give shape to the nationally laid out challenge. This was almost immediately translated into 1,5 Terawatt hour for the Twente region, but then it still had to be decided on how, where, when etc. This was the difficult part.</p>
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