MASTER THESIS

Does Design Matter? A qualitative study of the relationship between the design of participatory processes and the level of influence assigned to participatory input.

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Abstract

This research examined if and how different designs of participatory processes affect the level of influence of participation input on the policy process. The main research question guiding this research was "To what extent do the different designs of public participation in three cases in Twente explain the level of influence of participation input on the municipal policy process in the context of the Regional Energy Strategy Twente?". In order to answer this question, a design framework and contextual factors framework have been developed for this research. Both frameworks are applied to the three cases in the Twente region, in the context of the development of policy for the RES Twente. The results show that design does matter. Specifically, the level of control assigned to participants and the level of represenativeness achieved in the process have been found to be influential, as expected. Furthermore, partial support has been found for the influence of the interactions implemented in the participation processes.

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Overview of terms and abbreviations

(municipal) Policy: the collective term used in this research to refer to the municipal proposal as well as the policies formulated that support, facilitate or contribute to the municipal proposal

Municipal proposal (also: bid): a proposal by a municipality outlining the municipality's aimed contribution to the CO_2 reduction goals, expressed in GWh

NET: Northeast Twente municipalities

RES Twente: Regional Energy Strategy Twente; the document consisting of the combined municipal proposals. This document outlines the region's goals for contributing to the CO_2 reduction, expressed in TWh and GWh

1. Introduction

In 2019 the Dutch government published the Climate Agreement, the Dutch implementation of the international climate deal made in Paris in 2015. In the Climate Agreement, 30 energy regions were outlined which were tasked with each formulating a strategy for their contribution to the CO_2 reduction goals. The regions have been set up based on the vision that the energy transition transcends municipal borders. Therefore, a region consists of several municipalities, working together in one region with other relevant stakeholders. When formulating their strategy, the energy regions were to focus on renewable energy sources on land, i.e. solar and wind energy, as well as ways to provide heating in a way that allows a transition away from fossil gas. Important points to consider when formulating the strategy are how much space is available and where it is available, as well as the social acceptance and financial feasibility. Choices made regarding these issues are made within each region and the energy strategy they deliver describes and explains the choices made ("Nationaal Programma Regionale Energiestrategie," 2019).

Because the energy transition is expected to result in major changes that will affect citizens and other stakeholders, there is a lot of attention for establishing support and acceptance among stakeholders (Klimaatakkoord, 2019). There are many types of stakeholders, ranging from public bodies to businesses and citizens. These different stakeholders are not only affected by the policies made but are also able to affect policy (Nguyen Long, Foster & Arnold, 2019). Because stakeholders are affected by the energy transition, the Dutch government sees it as essential that their worries and preferences are noticeably considered in the process of developing policy for the energy transition (*Klimaatakkoord: Bevordering draagvlak*, 2019).

1.1. Types of Participation

The Dutch government is not unique in seeing participation as an essential part of policy decision-making as this is the case in many industrialised countries. Reasons stated for implementing public participation have been the improvement of the legitimacy and quality of decisions, increased accountability and education of stakeholders about a certain issue (Li, Abelson, Giacomini & Contandriopoulos, 2015). There are two categories of arguments in favour of participation: functional and normative. The arguments stated so far fit with the functional or instrumental category, which sees participation as a means to an end. From this perspective, participation is expected to result in higher quality decisions because decisions are based on more complete information. Participation also enables the needs and ideas of those affected to be taken into account in the formulation of the decisions. Because of this, the decisions are more likely to fit the local needs as well as the socio-cultural and environmental context. Furthermore, participation has the potential to lead to a sense of ownership among stakeholders. Combined, these benefits of participation have the potential to lead to more acceptance and support of decisions and, in some cases, lower implementation costs (Reed, 2008). Another benefit of participation is its potential to act as a medium to break through gridlock in decision-making. By considering the input provided from participants, politicians charged with making decisions are able to reach compromise and find solutions to complex problems (Irvin & Stansbury, 2004). Thus, from an instrumental perspective, participation can have major advantages compared to a policy-making process without participation (Coenen, 2009).

The second category of arguments favouring participation is that of the normative arguments, which emphasise the democratic value of participation (Coenen, 2009). For example, the normative perspective emphasises the potential that participation offers to reduce the marginalisation of members of society who are otherwise placed on the periphery of society and decision-making. Furthermore, normative argumentations point out that participation can increase public trust in the government and empower citizens, given that the process is transparent and creates space for different

views. Participation is also regarded as beneficial because it is expected that the decisions it produces are more equitable and holistic than would otherwise be the case (Reed, 2008).

1.2. Research Context

This research is conducted in the context of the Twente energy region and its energy strategy, the Regional Energy Strategy Twente (RES Twente). The fourteen municipalities that comprise the geographical Twente region also comprise the energy region Twente. Together, the municipalities must deliver the Twente strategy for the region's contribution to the national goals for CO2 reduction. The municipalities must collaborate and consult several different stakeholders, such as the province, water authorities, housing corporations, citizens and entrepreneurs, to formulate this strategy (Twente, 2019). The research focuses on the participatory processes with citizens and societal partners, which took place between June 2020 and March 2021. Within this period the municipalities focused on translating the plans outlined in the draft RES Twente to policy plans, which were then incorporated into the RES Twente 1.0. The draft RES Twente, which was published in October 2020, formed the starting point for these participation processes ("Vanaf de eerste stap,").

In the process leading towards the RES Twente 1.0, the municipalities must take into account the RES Twente assessment framework. The assessment framework consists of three cornerstones: spatial quality, system efficiency/cost-effectiveness and societal acceptance. In the development of the energy strategy 1.0, each municipality must find a suitable balance of these cornerstones in order to reach their specific proposal or bid for their contribution to the CO2 reduction goals. The municipal proposals are then combined to form the RES Twente, which outlines the strategy to reduce CO2 for the entire region ("Samen invulling geven aan RES Twente 1.0," 2020). The municipal proposals focus primarily on how many GWh the municipality aims to reduce. However, separate policies are made or will be made to determine the details such as where the required energy installations will be located, how many are necessary etc. ("Gezamenlijke ambities Twente,"). Because these different policies contribute to and overlap with each other, together they are considered the policy of interest in this research.

According to the RES, the participation processes should also pay attention to the local elected representatives who have to make the final decision, advocacy groups and the local citizens, entrepreneurs and youth. Each municipality is free to decide how to meet the requirement of stakeholder involvement and 50% local ownership ("Afwegingskader RES Twente 1.0,"). Furthermore, the municipalities are responsible for informing and involving the local citizens, entrepreneurs, advocacy groups and energy cooperatives ("Samen invulling geven aan RES Twente 1.0," 2020). The 'societal acceptance' requirement of the assessment framework is interesting because it points out that municipalities are responsible for the involvement of their citizens and other stakeholders in the process. This implies the possibility for municipalities to implement different approaches to participation, despite striving for the same goal of achieving societal acceptance. From an instrumental perspective, it is then interesting to investigate if and how the different approaches chosen by municipalities affect the policy process leading up to the adoption of the necessary policies.

1.3. Participatory Designs

This research follows the instrumental perspective of participation by studying the relation between the participation processes in the context of the RES Twente and how they influence the policy process leading up to the municipal proposals submitted to the RES Twente and the policies formulated to support those proposals. Participation does not take place uniformly, but can indeed adopt different approaches. When designing participation processes, policy makers have a choice regarding the extent of the participatory nature of the process. The options available range from a traditional political-administrative process to processes more inclusive of other stakeholders using co-

governing mechanisms (Jager, Newig, Challies & Kochskämper, 2019). Furthermore, a choice can be made to allow only top-down communication between officials and the public or to take the participation further to include input from the public in a two-way flow of information (Rowe & Frewer, 2000). In the context of the RES, the municipalities are given the freedom to decide how they want to design their participation processes, which means variation in the participation methods and design is possible ("Samen invulling geven aan RES Twente 1.0," 2020).

The Dutch government expects stakeholder input to be noticeably considered in the processes for the development of a regional energy strategy. In the Twente region, municipalities are allowed to design their participation processes however they want. The question, therefore, arises if the consideration of participant input then takes place in a similar way, if each municipality uses a different design to collect that input. Armeni (2016) argues that the choice of approach to participation determines how much the policy making process can be influenced. Armeni (2016) distinguishes two models of participation to support this argument. On the one hand, are the models of 'public acceptance involvement' and on the other are the 'participation involvement' models. Participative involvement makes use of consensus-based exchanges and includes participation based on a range of open options. Approaches using this model give participants the ability to influence outcomes. Approaches following the 'public acceptance' model however, tend to be more symbolic and limit participants' ability to influence policy. These approaches see involvement of stakeholders as a means of validating policy that has already been made. To achieve the aim of advancing implementation and facilitating compliance, these approaches attempt to boost support and societal awareness (Armeni, 2016). This argument suggests that the way participation is designed determines whether participants are able to influence policy, although the exact mechanisms at play remain unclear. This research aims to contribute to a better understanding of these mechanisms, by studying the role participation design plays in relation to the policy making process. Based on Armeni's (2016) two models, it seems that the exchanges implemented in a participation process and the point at which participation input is considered in the policy process determine whether participants can influence the outcome or not. Furthermore, the literature also points out that timing and the methods for participant selection are important determinants of the success of participation (Yang & Pandey, 2011). More generally, Walters, Aydelotte, and Miller (2000) argue that the appropriate design of citizen participation strategies is crucial for the success of participation processes.

This research builds on these arguments by testing the exact ways different design choices are influential in the policy process. For the design of a participation process, several participation methods are available. A participation method can be defined as a particular approach or procedure used to gather information from specifically defined participants as well as to process that information in the context of a decision-making process (Coenen, 2009). Such a participation method often takes a central role in the organisational setup of participation processes. A participation process is governed by the rules set by the officials. Such rules set arrangements for the content of the participation process, the flows of information, who participates and the mechanisms employed to make decisions (Coenen, 2009). In this research, these so-called institutional arrangements will be used as a lens to map out the design of the participation methods and to analyse the relationship between the design and the influence of participation on the policy making process. The policy-making processes of interest in this research are those in the Twente municipalities in the context of the formulation of their policy plans to contribute to the RES Twente. The research aims to generate concrete insight into the specific mechanisms that determine how participation design influences the policy process in the context of the RES Twente.

1.4.   Academic and societal relevance
This research thus sets out to study if and how differences in participatory designs matter for the level of influence participation input has on the policy process for the development of municipal policies

for the energy strategy in Twente. Such research is academically relevant because it adds to the understanding of the role of participatory designs in policy development. With its focus, the research helps to clarify the conditions under which participation can affect the policy process.

By creating a better understanding of the relationship between participatory designs and the level of influence on the policy process, this research is also useful to policy officers in the field. Using this research, policy officers can gain awareness of factors and conditions they need to consider to achieve the desired level of influence of participation input in the process of developing their policies. This is particularly useful because, in the context of policy making, participatory processes are becoming an increasingly important source of information for public officials (Fraussen, Albareda and Braun, 2020). Secondly, this research has societal relevance because it is rooted in the context of the Regional Energy Strategy in the Twente region. This allows the researcher to take local conditions and contextual factors into account. This, in turn, enables a research outcome that is useful in practice. Finally, this research studies important elements of the goal of the RES Twente. Therefore, it can provide the RES Twente with useful information which can be used to facilitate the development of an energy strategy that is acceptable for societal actors and administrators in the whole region.

To perform this research, the following research question has been formulated:
To what extent do the different designs of public participation in three cases in Twente explain the level of influence of participation input on the municipal policy process in the context of the Regional Energy Strategy Twente?

To answer this research question, the following sub-questions have been formulated:
1. How can participatory designs be mapped out?
2. How have the participatory processes been designed?
3. What is the level of influence of the participation input on the municipal policy process in the context of the RES?
4. To what extent can the level of influence of participation input be explained using the design framework?

2. Theoretical Framework

This research aims to investigate if and how the design of participatory processes affect the level of influence participation input has on the policy process. Therefore, in this literature review, existing literature will be introduced and discussed that provides a better understanding of these concepts. First, literature will be presented to explain and conceptualise the policy process. Following that, the literature review will discuss existing theories regarding how to map out participatory designs. In the discussion of the participatory design literature, factors that are expected to influence the policy making process will also be discussed. This provides an integrated overview of claims in the literature regarding how participation designs determine the level of influence of participation input in the policy process. Based on the literature, a framework is introduced that will be used to observe and analyse the participatory designs in this research. Furthermore, propositions will be introduced that will guide the research. Following the discussion of the design literature, the theoretical framework will move on to a discussion of contextual factors that must also be considered in order to understand the relationship under investigation in this research. Based on these contextual factors, a contextual framework is also developed for this research.

2.1.   Understanding the Policy Process

Studying the policy process entails studying the "change and development of policy and the related actors, events, and contexts" (Weible, Heikkila, deLeon, & Sabatier, 2012, p. 3). In the literature, this study is often performed on the basis of models depicting the process. A commonly used model is the policy cycle, which sees the policy process as a series of stages that a policy must pass through: agenda setting, policy formulation, policy adoption, policy implementation, evaluation and termination (Weible et al., 2012). In the agenda setting stage, an issue emerges or is recognised as problematic. Once on the agenda, solutions or approaches to address the issue are formulated. Activities related to this stage are diagnosis of the issue, search for information and the design and evaluation of alternative solutions. Several actors can be involved in this stage such as government officials, citizens and interest groups. In the third stage of the process, the formulated policy is adopted by the relevant decision-makers (Teisman, 2000). In the case of the RES, the relevant decision-makers are the aldermen of the municipal executive board and the municipal council members. After adoption, the policy process moves to the implementation of the adopted policy. In this stage, the relevant actors execute the chosen alternative(s) (Teisman, 2000). In the evaluation phase, an implemented policy is assessed to determine if a policy has achieved its goals. The outcomes of this evaluation can lead to policy improvement, which feeds back naturally into the policy cycle as described so far, or termination (DeLeon, 1978; Hill, 2013). In the termination stage, policy can be definitively terminated, which entails calculated conclusion of a policy or other government function, or partially terminated, which entails a redirection of activities (DeLeon, 1978). Despite its common use in the literature, the policy cycle model is also subject to criticism. Particularly, critics claim that the model is too rigid and does not reflect the complex reality of decision-making because that generally does not follow a structured sequence. However, the main advantage of the policy cycle is that it allows for a structured analysis of the development of policy (Teisman, 2000). This is also the case in this research. The aim is to gain a better understanding of how participation designs affect the level of influence participation has within the policy process. Therefore, the structured approach to the policy process offered by the policy cycle is a useful tool to guide the analysis in this research.

2.2.   Influencing the policy process

The perspective of the policy process as a cycle consisting of distinct stages forms the basis for the analysis of the relationship between participation design and the level of influence participation input has on the policy process. Understanding this relationship means understanding where in the process, i.e. at which stage, the participation input is influential and to which extent this can be explained by

the design choices made in the participation process. Therefore, 'influence on the policy process' in this research focuses on how much weight the municipality attaches to the input provided by participants in the translation from participatory input to municipal decision. In relation to the design of the participation process, the researcher aims to determine if and to which extent the design choices explain this level of influence.

With this definition of 'level of influence on the policy process' in mind, a discussion of existing theories in the literature for the description of participatory designs will follow.

2.3. Participatory designs

The literature discusses two frameworks which allow for a clear understanding of the institutional design of participation processes: the Institutional Analysis and Development (IAD) framework and the democracy cube. Both theories are introduced in this section, first with some background information of both theories. This is followed by a discussion of the elements of both theories.

The IAD framework is a framework developed to analyse so-called institutional settings. An institutional setting is a situation that involves interaction among people within a particular context and according to specific rules. Those specific rules within an institutional setting are the institutional arrangements (Smajgl, Leitch, & Lynam, 2009). Analysis of the institutional arrangements is performed by focusing on action arenas. An action arena comprises a particular activity called the action situation, as well as the actors who take part in that action situation (Smajgl et al., 2009). In this research, the action situations of interest are the participation processes and the actors taking part are the participants and the municipalities. There are seven elements of an action situation. From the IAD perspective, these elements determine how the participatory processes are structured internally (Smajgl et al., 2009). Correspondingly, the framework distinguishes seven types of institutional rules, which are connected to the elements of the action situation (Klok & Denters, 2004). The opportunities for interaction among participants are facilitated or restricted by the institutional rules and the rules largely shape how the participants behave (Klok, Coenen, & Denters, 2006).

A different approach to describing the institutional arrangements of a participatory process is the democracy cube introduced by Fung (2006). Fung (2006) describes three dimensions along which variation in forms of participation can be found. Using these three dimensions, decision-making arenas can be mapped out in the resulting "design space" (Fung, 2006, p. 67). The democracy cube has been developed as a tool to examine governance choices. Therefore, the tool also takes into account arenas and mechanisms that do not include public participation but choose for the alternative of policy formulation by public officials only, without public participation input. It is argued that including these arenas where participation does not take place enables comparison (Fung, 2006).

The IAD framework and democracy cube are useful for this research because they work complementarily to one another. Both theories focus on similar design rules, although they do this in a different way. The IAD framework does not prioritise certain arrangements above others. Rather, the framework allows for an organised analysis of the arrangements without adopting a normative stance (Shah et al., 2020). This is useful for this research because it helps to create an understanding of how participatory designs can differ in a structured and neutral way. The democracy cube is particularly useful because it makes the dimensions discussed concrete by providing categorisations of the design choices that can be made within one dimension, for example. This helps to understand what concrete design choices can look like in practice, thereby giving insight into how the design rules can be manifested in the research cases.

In the following section, the rules and dimensions that make up the IAD framework and democracy cube respectively will be discussed. Furthermore, literature outlining possible ways the design of participation processes can affect the policy process is also discussed.

2.3.1. Participants and their positions

Both frameworks focus firstly on the actual participants in the process: the democracy cube approach discusses participants as the first dimension, whereas the IAD framework discusses the so-called boundary rules that determine who participates in the action situation. In the democracy cube approach, this first dimension considers the representativeness of the participants in relation to the relevant population or general public; the inclusion or exclusion of important perspectives; possession of necessary information and competence and the responsiveness and accountability of participants to non-participants (Fung, 2006). The IAD framework focuses on factors such as the number of participants as well as relevant characteristics of the participants, which are used to determine their eligibility for participation (Smajgl et al., 2009; Theesfeld, Dufhues, & Buchenrieder, 2017). Relevant characteristics for boundary rules can be specific to individuals, such as age or education level, but boundary rules can also be based on the potential perspective participants can represent. This can be their individual perspective or that of a so-called composite actor such as a household or organisation (Smajgl et al., 2009). Therefore, the boundary rules determine the "entry, exit and domain conditions for individual participants" (Klok & Denters, 2004, p. 42).

The democracy cube goes further than the IAD framework by also categorising the methods used to select the required participants. The methods discussed by Fung (2006), who focuses specifically on citizen participation, are also described by Fraussen, Albareda, and Braun (2020), who refer to the consultation of "any type of organisation that has a stake in a particular policy issue", so-called organised stakeholders (Fraussen et al., 2020, p. 476). They distinguish open, closed and hybrid approaches. Open approaches relate to selection methods that rely fully on the self-selection of participants and are generally implemented to reach a wide range of stakeholders and collect their input (Fraussen et al., 2020). Closed approaches, referred to as 'professional stakeholder involvement' by Fung (2006), only allows the participation of invited, specifically defined stakeholders with specific knowledge or expertise (Fraussen et al., 2020). Hybrid approaches combine methods from the open and closed approaches (Fraussen et al., 2020). The first dimension of the democracy cube also relates to the second element of the IAD framework, which focuses on the positions present in an action situation and how these positions are filled. Examples of positions are citizen or neighbourhood representative (Coenen, 2009). The position rules determine a specific set of positions for a participatory process and how many participants are to be assigned to a certain position (Theesfeld et al., 2017).

Understanding who the participants are in a participatory process and why they have been granted access to the process makes it possible to determine whether the process is inclusive and/or representative of the right stakeholders. In the literature, inclusion is mentioned as an important criterion to ensure the interests of different participants are accommodated (Newig et al., 2018). Inclusion refers to who does and who does not participate, with special attention for particular societal groups defined based on gender, ethnic background, race or socioeconomic status (Jollymore, 2018; Quick & Bryson, 2016). In this sense, inclusion is closely related to the representativeness of participants (Jollymore, 2018). Representativeness is especially important in transboundary issues where decisions made by one constituency can affect another. However, realising true representativeness is likely to be difficult politically in such cases (Rowe & Frewer, 2000). Alternatively, inclusion is seen as allowing room for different views to be taken into account, thereby allowing for renewed or improved understanding of the problems and solutions at hand, as well as the resources available to link the two (Quick & Bryson, 2016). Rejection of a policy outcome can be

expected if societal groups that are affected by the policy are excluded from the process. It is therefore argued that participatory processes should achieve representation of all affected groups to ensure that the solutions generated provide mutual gains and/or resolve conflicts for all stakeholders (Schroeter et al., 2016; Newig et al., 2018). Particularly, normally under-represented and marginalised societal groups must be considered. However, the effects of full inclusion in this sense are disputed (Quick & Bryson, 2016).

2.3.2. Communication and Interactions in Participatory Processes

After establishing who the participants are, how they were selected and what their positions are in the process, the frameworks shift their attention to describing the communication and other interactions within the actual process, as well as the factors that influence this.

The position rules discussed previously are closely related to the actions in a participatory process because positions are seen as the link between participants and actions (Smajgl et al., 2009). 'Actions' refer to the actions available to specific participants with their corresponding positions, and at a particular point in the participation process (Theesfeld et al., 2017). These available actions are determined by the authority rules, which are the third element in the IAD framework (Klok & Denters, 2004). Authority rules assign rights and obligations for the positions present, thereby determining the authority a position has to take particular actions (Coenen, 2009; Theesfeld et al., 2017). The authority rules correspond with the second dimension in the democracy cube, which focuses on how participants interact in the context of a participation process. In Fung's (2006) perspective, a distinction must be made between communication-focused mechanisms and decision-making mechanisms. The communication-focused mechanisms are generally found in participation processes that do not translate participants' input into collective decisions. The decision-making mechanisms, on the other hand, are generally found in participation processes that do attempt to translate input into a collective decision using combinations of decision-making methods (Fung, 2006). However, such processes are not present in the participation processes conducted in the RES Twente. Therefore, these methods will not be discussed here.

In the communication-focused category, Fung (2006) first discusses public meetings with only spectators, which are rare. In this communication form, many participants do not actively participate but use the participation event as an opportunity to gain information or to observe the decision-making conflicts. Most meetings allow room for at least some of the participants to share their preferences with other participants, including officials. A third mode of interaction involves discussions that allow for the exploration and development of preferences (Fung, 2006). These communication methods relate to the authority rules in the IAD framework because both focus on if and how participants are allowed to take actions within the participatory process, i.e. whether they are allowed the room to share their input in a one-way exchange of information directed at the municipality or whether they are expected to engage in discussions amongst themselves.

It is argued that as soon as value judgements become relevant, participation should be implemented to enable discussion about underlying assumptions as well as agenda-setting possibilities (Rowe & Frewer, 2000). Implementing interactive opportunities for citizens to share genuine preferences is recommended above participation methods which only allow participation based on scenarios that have already been decided by administrative officials. By allowing for value judgements to be shared early on in the process, participant input is thought to be more valuable and to have more influence on the considerations of decision-makers (Franklin & Ebdon, 2005). However, it is important to take into account that the appropriate moment and level of participation differ and that, contrary to the inclusion argument, the appropriate level may not always include all perspectives equally (Rowe & Frewer, 2000). Furthermore, the literature argues that by implementing participation early in the

process, there is a higher chance that the interests of the participants will align with the content of the process. This, in turn, is regarded as beneficial for motivating participants (Reed, 2008).

How participants communicate within the participatory process, regardless of who they communicate with, is closely related to the information they have at any given moment in the participatory process (Klok & Denters, 2004). Generally, the assumption is made that participants only have incomplete information. Therefore, the question of which information is available to which actor at any particular point in the process is an important one to consider in this regard because it determines how much individual participants can contribute to the participation processes (Smajgl et al., 2009). The information rules of the IAD framework regulate this by determining which information can or must be communicated from participants in a certain position to other participants in their particular position at given points in the participation process (Klok & Denters, 2004; Theesfeld et al., 2017). Information provision towards participants is crucial for ensuring purposeful participation, particularly in relation to novel topics (Rowe & Watermeyer, 2018). The literature argues that without sufficient information provision, there is a danger of participants, particularly citizens, participating in a way that does not contribute adequately because they do not have the knowledge or expertise to contribute to discussions of complex issues. Therefore, providing information to participants is seen as vital for the facilitation of meaningful discussions (Schroeter, Scheel, Renn, & Schweizer, 2016).

2.3.3. Participant Control

The actions authorised for participants, combined with the information they have, are important determinants of the contribution participants can make to the process and, thereby, to the policy decision. The IAD framework focuses on this contribution by describing how policy decisions are reached based on the input of certain participants in a participatory process (Klok & Denters, 2004; Theesfeld et al., 2017). The institutional rules relating to this are the aggregation rules, which determine how the actions taken by the actors in a participatory process are aggregated in the policy-making process following the participation. The aggregation rules determine the extent to which participants can control how actions within the participatory process are linked to the policy outcomes. This control can vary from practically no control to absolute control (Smajgl et al., 2009). In his third dimension of the democracy cube, Fung (2006) also provides a similar ranking for how the input of participants is connected with the actions of public authorities. He ranks this dimension from least authority on one end of the continuum to most authority on the other. Starting on the 'least authority' side, are the participation processes where participants do not expect to have any effect on policy. In these cases, participants are motivated by the possibility of personal gain, learning or the fulfilment of civic duty. These participation methods generally affect the participants more than participants affect policy. Next on the continuum is 'communicative impact' which is the case when participation mechanisms have an effect by changing or mobilising public opinion. A third mechanism for having an impact is 'advice and consultation'. In this case, officials engage in participation processes to collect input from participants, thus allowing public authority to be influenced. The remaining category on the continuum, 'direct impact', grants participatory forums direct control over public decisions (Fung, 2006).

In relation to the formulation of a policy based on participation, the scope rules are also of importance because they focus on the elements of the participation topics which can be impacted by participants (Smajgl et al., 2009). These rules determine what is relevant to the participation process as well as if outcomes are to be regarded as intermediate or definitive (Klok & Denters, 2004). Furthermore, the scope rules determine the range of topics and geographical domain that can be impacted by the interactions in the participatory process (Theesfeld et al., 2017). The final element of the IAD framework comprises the possible payoffs available, which determine what the costs and benefits are of certain actions and outcomes. This is regulated by the payoff rules (Klok & Denters, 2004). The

IAD framework assumes that costs are incurred by the actions participants must undertake, whereas the benefits are produced by the outcomes of the process. The assumption is then made that participants weigh these costs against the benefits (Smajgl et al., 2009).

Understanding the level of control participant input is assigned over the policy outcome is important in relation to the content of the policy. The literature argues that policies that do not threaten personal freedom and opportunities tend to be accepted more than policies that do (Kyselá, 2015). Furthermore, the perception that a policy will incur high personal costs for those affected by it is also likely to result in a negative evaluation of that policy. In this regard, perceived distributional fairness, i.e. how costs and benefits are distributed, is also important to take into account (Bicket & Vanner, 2016). Considering the importance of the policy's content, it is necessary to understand how much control participatory input has and how this translates into the resulting policy. However, it is also plausible that the participatory process can only impact the outcome to a certain extent since, one way or another, choices have to be made in this context. Despite this, administrators need public support and might therefore be less accepting of a policy that is perceived as costly for citizens, i.e. for their constituents (Hysing & Isaksson, 2015).

Based on the literature discussed so far in this section, as well as input from practitioners in the field, the next section will provide an operationalisation of the literature. The literature will be operationalised in the form of a framework that can be used specifically for this research context and topic.

2.4.   Design Framework for This Research

Based on the IAD framework and the democracy cube, an 'institutional arrangements' framework for this research is developed. The framework used in this research uses the two existing frameworks as a starting point but tweaks them where necessary, for example by combining elements of both theories, to ensure a good fit with the focus of this research. Below, an explanation of the resulting framework is provided. This framework has been developed with the goal of being applicable for the entire participation process in the context of the RES. Therefore, the framework takes into account the presence of societal partners in the participation process as well as citizens.

Additionally, the final design framework is essential for determining to which extent the designs of the participatory processes affect the level of influence participation input has on the policy process. Therefore, when discussing the operationalisation of the relevant rules discussed in the literature, a discussion is also provided of the expected relations with the policy process in the municipalities. Expected direct relations are also expressed in the form of a proposition that will be used in the analysis of the arrangements.

2.4.1. Participants

Based on the literature, it is expected that the level of representativeness of the participant group can contribute to decision-makers' willingness to adopt a policy that has been formulated following participation. 'Representativeness' here refers to the extent to which those who are most likely to be affected by the policy outcome were included in the participation process leading up to the formulation of that policy. A high level of representativeness is therefore expected to contribute to a higher level of influence for participation input because the perspectives of those who will be affected have been included to a larger extent. A lower level of representativeness would then mean that the perspectives of those who will be affected most have been included to a lesser extent, meaning that important input on which to base the policy is missing. This is therefore expected to contribute to a lower level of influence for participant input. Decision-makers may not want to adopt an outcome that is based on non-representative input because they are worried about objections from society.

Based on this, the following proposition has been formulated:

Proposition 1: Participant arrangements that allow for a higher level of representativeness of the participant group are expected to contribute to a higher level of input influence in the adoption stage of the policy process.

To test this proposition, the framework will focus on the participant arrangements used in the participatory designs of each case. This entails an examination of the recruitment methods implemented in the participatory process and the criteria set for participants beforehand in terms of individual or collective characteristics. The examination of the recruitment methods will focus on whether the municipality made use of open, closed or hybrid methods to engage participants. The interaction between these recruitment methods and the aspect of self-selection is also taken into account here because the choice participants make to participate is what determines the actual participation levels. The examination of the participant requirements will focus on if the municipality set specific requirements for participants as well as the nature of these requirements. Relevant requirements are age or neighbourhood representative, for example.

2.4.2. Positions and Roles for Participants

Closely related to who participates, are the arrangements that regulate the roles participants fulfil in a participation process. Understanding these arrangements entails determining whether participants are expected to take on the role of representative of specific interests in the process, for example on behalf of their neighbourhood or local entrepreneurs, or whether they are expected to express their personal views. Also interesting in this regard is whether the participants already have this role before entering the participation process and if this is why they participate. These arrangements relate to the importance of representativeness and inclusion, particularly when only specific roles are granted access to the participatory process. The position arrangements are therefore expected to indirectly affect the level of influence on the policy process because assigning roles which appropriately correspond with the participants and the perspectives they hold, can be beneficial for the representativeness of the participatory process. However, when the position arrangements are too limiting or assign inappropriate roles to participants, this is expected to decrease the quality of the participant input. As a result, the input is less likely to be considered in the policy process. Thus, a lower level of influence can be expected.

2.4.3. Participants' Knowledge and Information Provision

These arrangements refer to the information that is provided to participants throughout the process in order to achieve a common base of information and to alleviate any knowledge imbalances that are present among participants. This is a point of interest because the knowledge and information that participants have that is relevant for the participation process varies among citizens, as well as between citizens and partners who participate due to their possession of specific information. The literature argues that providing sufficient and/or suitable information to participants will allow them to contribute to the process in a meaningful way. These arrangements are therefore expected to impact the level of influence of participant input because they enable meaningful and well-informed participation. This is expected to increase the quality of the participation input, thus making it more useful for decision-makers to process it in the formulation of the policy.

Based on this, the following proposition is:

Proposition 2: Information provision arrangements that provide sufficient and appropriate information to participants throughout the participation processes are expected to contribute to a higher level of influence in the formulation stage of the policy process.

Testing this proposition will entail an examination of the methods used by municipalities to inform participants as well as to which extent these methods were effective for ensuring meaningful participation.

2.4.4. Participant Interactions

Based on the literature, the expectation is that the implementation of interaction mechanisms that allow for the exchange of value judgements during the participatory process will influence the formulation of a policy after the participation has taken place. 'Interactions' refer to how the actors involved in a participation process communicate and exchange information with one another. These interactions can be among participants or between participants and the municipality. 'Exchange of value judgements' refers to the possibility for participants to express and discuss their underlying assumptions, preferences and expectations for the policy outcome early on, rather than only allowing the discussion of pre-defined issues at a later stage in the decision-making process. It is expected that the exchange of value judgements in the participatory interactions will result in input that better represents the true preferences of participants, making the input more valuable for decision-makers. Such input is therefore expected to be considered and processed to a larger extent in the formulation of the policy. As a result, input based on value judgements is expected to influence the formulation stage in the policy process more than input which is not based on value judgements.

Based on this, the following proposition is:
Proposition 3: Interaction arrangements that allow for a larger degree of exchange of value judgements are expected to contribute to a higher level of input influence in the formulation stage of the policy process.

This proposition will be tested by examining what type of interactions have taken place within the processes. To do this, the interaction types categorised in the democracy cube will be used. These types are: no active participation, sharing of preferences with participants and other officials and the development of preferences through discussion. These interaction types are expected to correspond with an increasing possibility for values to be exchanged. Examining these interaction types, therefore, means studying what type of interactions participants are authorised to have within the processes, i.e. whether they are authorised to simply listen and absorb information or if they are authorised more action in the form of discussing and sharing preferences and assumptions.

2.4.5. Control of Participation Input

The literature shows that the control arrangements determine to which extent participants control how much their input is included in the final policy. Therefore, these arrangements determine how much participants are able to ensure their input is included in the policy outcome. A high level of control for participants is therefore expected to contribute to a higher level of influence for participation input. This is expected because when participants have a high level of control over the outcome, the outcome will be more in line with what participants want. Therefore, in order to ensure public support, the municipality will be more likely to accept the outcome that has been determined by the participants.

Based on this, the following proposition is:
Proposition 4: Assigning a high level of control to participants will contribute to a higher level of influence for participatory input in the formulation stage of the policy process.

Investigating this proposition entails determining how much control the municipality retained over determining the outcome that followed from the participatory process and how much control participants had. Determining this entails investigating which topics participants were allowed to impact with their input. Control arrangements that allow participants to impact a broad range of topics

with their input are expected to influence the policy formulation more because participation can be considered in relation to more aspects of the policy. To determine the level of control, the categorisation used in the democracy cube is used: no control over the policy, communicative impact, control through advice & consultation and direct impact. Furthermore, the examination of these arrangements focuses on whether all input provided in the participatory process is weighed evenly, thus controlling the final decisions evenly, or if certain input is prioritised.

Below, a visual representation is provided of the expected relations in Figure 1.

Figure 1: Visual representation of expected relations
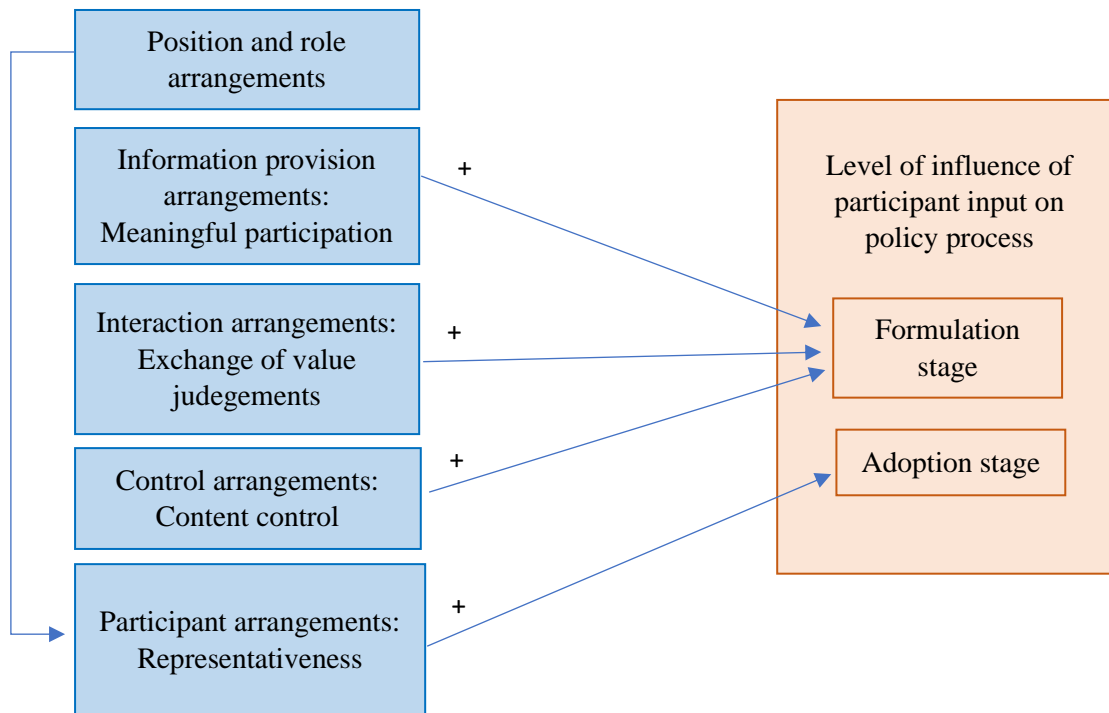
2.5. Participatory designs and context

So far, the discussion of the extant literature and the framework used in this research has focused on the design arrangements of participatory processes and how they are expected to influence the policy process in the context of the RES. However, the IAD framework also emphasises the examination of contextual factors that could affect the institutional situation under study (Shah et al., 2020). This examination draws attention to the interaction between the context in which the action situation takes place and the design of the action situation itself, thereby allowing for a more complete understanding of how and why certain outcomes are produced (Shah et al., 2020). Furthermore, understanding the institutional context is important because the context can lead to variation in the outcomes of participatory processes, even when the institutional arrangements thereof are the same (Klok & Denters, 2004). Therefore, the following section will introduce extant literature that provides insight into the relevant contextual factors.

2.6. Contextual factors according to the collaborative governance literature

In the terminology of the IAD framework, the institutional context is referred to as the exogenous variables. The IAD framework identifies three types of exogenous variables: attributes of the physical world, attributes of the community and the working rules which govern the behaviour of participants (Smajgl et al., 2009). However, this classification of exogenous variables is not very extensive. In order to allow for a more complete understanding of the contextual factors, collaborative governance literature is consulted.

In the collaborative governance literature, the view is that the context is formed by political, socioeconomic, legal and environmental forces which affect how the collaborative processes develop (Emerson, Nabatchi, & Balogh, 2011). The collaborative governance literature provides useful insights into specific factors to consider and how they can affect the processes being studied. Emerson et al. (2011) define collaborative governance as "the processes and structures of public policy decision making and management that engage people constructively across the boundaries of public agencies, levels of government, and/or the public, private and civic spheres in order to carry out a public purpose that could not otherwise be accomplished." (Emerson et al., 2011, p. 2). This description is also applicable to the participatory processes which are the focus of this research because those processes also span the spheres of government and the public. Furthermore, the participatory processes studied here are also conducted as part of a policy development process in a context that assumes some form of involvement by non-government actors is necessary. Therefore, the collaborative governance literature is deemed a suitable strand of literature to provide insight into the relevant contextual factors that must be considered in this research. Below, a selection of the contextual factors outlined by Emerson et al. (2011) will be discussed.

2.6.1. Existing (policy) frameworks
This consists of the normative, legal and administrative frameworks to which participatory processes must conform in order to gain legitimacy and continue existing. When participation is used for the formulation of public policy or to solve public problems, the relevant frameworks can span different jurisdictional areas. These overlapping frameworks can have a direct influence on the objective, design and outcome of participatory processes (Bryson, Crosby, & Stone, 2006; Emerson et al., 2011). The nature of these frameworks can also affect the intensity of the participation process. For example, if the existing frameworks create a facilitative environment for participation, it is more likely for a higher level of participation to emerge (Lu & Li, 2020).

2.6.2. Nature of the issue
The type of participation or the intensity of the participation can be affected by the nature of the issue at hand. For example, whether a participation process is short-term or long-term is relevant. Long-term participation processes among societal partners have been found to have higher levels of patience and commitment to their stated mission (Tang & Wang, 2020). However, in the case of citizen participation, participation is likely to be more attractive when the issue being discussed is concrete and 'closer to home', rather than abstract, long-term topics, in which case citizens are generally less likely to become involved (Energiestrategie, 2019). The complexity of the issue must also be considered. Cases where complex information is involved and participants, especially citizens, are required to master complex technical knowledge are seen as 'costly'. The presence of complex information is therefore seen as non-ideal (Irvin & Stansbury, 2004).

2.6.3. Levels of conflict/trust
This refers to the current levels of trust or conflict among the different (citizen) groups present in a municipality and how this affects the current participation process (Emerson et al., 2011). A history of positive cooperation, solidarity or a strong community feeling between participants is expected to facilitate participation whereas a history of antagonism is expected to hinder it, generally through the presence of an 'us versus them' mindset (Ansell & Gash, 2007). If previous encounters among partners were unsatisfactory, actors can take on an antagonistic attitude and allow their grudges to affect the current process (Buchy & Hoverman, 2000). Conversely, when there is a history of cooperation, the social capital and high trust levels can be beneficial for participation (Ansell & Gash, 2007).

2.6.4. Socioeconomic composition and homogeneity

Generally speaking, this element takes into account the composition of the community in question and the various ways this can affect the participation process. Five items are identified. The first possible way the community composition can have an influence on participatory processes is through the size of the community. When there are many (potential) stakeholders or citizen groups, it can be difficult to identify who exactly should be involved, thereby hindering effective contribution (Tang & Wang, 2020). Furthermore, when the population is large, the chances of having an actual impact might decrease (Irvin & Stansbury, 2004). Secondly, the willingness of citizens to become involved in government work, through volunteering, for example, is also a relevant aspect of the societal composition in a municipality. A high level of willingness is seen as an ideal condition for participation because the population is more likely to take part in the participation processes (Irvin & Stansbury, 2004). The third item of the socioeconomic composition is the degree of homogeneity in a community, which is also expected to influence the participatory process and its outcomes. When the pool of potential participants, such as citizens, is homogenous it is easier to achieve representativeness with fewer participants. This might also allow for a smoother participation process (Irvin & Stansbury, 2004). Participants' ability to participate without compromising income, family priorities or other priorities in their lives is the fourth item (Irvin & Stansbury, 2004). The final item is the level of hostility among citizens towards government agencies. When hostility levels are high, participation can be a source of validation for the decisions taken. However, when hostility levels are low, participation might not be of much added value (Irvin & Stansbury, 2004).

2.6.5. (Organisation of) Existing Participation Forums

This factor refers to the relative ease of implementing participation that results from being able to make use of existing participation forums such as village and neighbourhood councils. The presence of these forums makes it easy for a municipality to reach its citizens because it is not necessary to set up new councils or other forums. Rather, the municipality can make use of the existing relations, experience and knowledge. When such forums do not exist, the municipality cannot rely on this existing experience and must set up participation arenas entirely from scratch, which might come with some difficulties or present obstacles throughout the process (Bryson et al., 2006). In relation to the digital processes that took place, it can be expected that the presence of participation forums can be beneficial as well. Even where the adaptive capacity to the digital situation is low, participation could still be successful if the municipality is able to make use of well-connected individuals or participative forums to involve others (RES-Practitioners, 2021).

2.6.6. Commitment and administrative prioritisation

Given the mandate of a government organisation and any possible constraints related to it, commitment from the municipality is an important factor to take into account. Within the government agency, relevant staff members must commit to the process of participation. Part of ensuring commitment is the provision of sufficient resources such as assigned working hours. Furthermore, allowing enough time for the process to develop and take place is an important way to encourage commitment (Buchy & Hoverman, 2000). The commitment displayed by the municipality is connected to a general point, namely the administrative prioritisation of participation. If the municipal council and executive board assign a high level of priority to the participation process and topic, it can be expected that they are willing to assign the appropriate resources to the process to ensure its success. When this does not happen, the expectation is that this will negatively affect the participatory process and its outcome (RES-Practitioners, 2021).

2.7. Contextual framework for this research

The existing literature summarised so far has focused on an existing framework for describing the context within which participatory processes take place. The framework discussed is very general and

can, in theory, be applied to any participation process. However, this thesis focuses on participatory processes within a very specific research context. Therefore, additional steps have been taken in order to achieve an operationalisation of these frameworks that is finetuned to fit this research context. The result is a contextual framework developed by the researcher in order to map out the relevant contextual factors for the cases.

Based on the literature describing the contextual factors, a contextual framework specifically for this research was developed. In order to do so, the participatory framework provided by the RES itself was first consulted. The RES framework puts a heavy emphasis on the importance of involving the general local population in order to achieve societal acceptance. Therefore, in order to understand the designs of the different participation processes, the contextual framework aims to help map out the contextual factors relating to the population such as the composition of the population and the relations among different groups in the population. These factors are expected to be relevant for the institutional arrangements relating to the participants. The second aim of the contextual framework used in this research is to gain insight into the institutional context in which the participation processes take place. This takes into account factors such as the importance attached to participation and the guidelines formulated by the municipality or other relevant government bodies.

The framework was discussed with two practitioners who are directly involved with the RES Twente process and therefore have experience with the participation processes that take place in this context. Based on their suggestions, the framework was finalised. Given the time in which this research is being conducted, an important factor to include is also how the municipality adjusts to the digital sphere, which has become increasingly important due to the COVID-19 pandemic. Therefore, this element has been added and is introduced in this section. The element 'Goal of participation' has also been added on the basis of the practitioners' input. This element is also introduced in this section.

The aim of the contextual framework is not to explain the origin of certain contextual factors. Rather, the contextual framework will be used to take stock of the contextual factors that affect the institutional arrangements of the participatory processes. That means determining if and to what extent they are present and relevant. This allows for a complete analysis of the relationship between institutional arrangements and the level of influence of participation input on the policy process.

Based on these steps and the literature discussed, the following factors comprise the contextual framework for this research.

2.7.1. Guidelines for participation

This element in the contextual framework focuses on any relevant normative, legal or administrative guidelines for the ways in which the participatory processes are designed. In the case of the RES, individual municipalities are responsible for the design and implementation of their own participation processes. Therefore, relevant guidelines can be found in policy documents formulated by the executive board or municipal council for participation in general or specifically for participation related to the RES (Energiestrategie, 2019). Despite the municipalities' individual responsibility for their participation processes, it can be expected that there are similarities in the existing frameworks because they are all based on the RES requirements and starting points for participation. Relevant frameworks do not necessarily have to be related to participation for the energy strategy. Frameworks that discuss or affect participation in general within a municipality are also considered relevant because it can be expected that these frameworks are also used to guide the participatory processes for the RES.

These guidelines for participation comprise a general contextual factor that is expected to have an influence on several arrangements of the participatory processes rather than on one specific arrangement. That is because these guidelines are expected to be formulated for the participation processes as a whole, rather than for one specific aspect of the processes.

2.7.2. Nature of the Issue

This contextual factor focuses on the topic of the participatory processes. Generally, this factor considers the fit between the (type of) topic and the participants. Relevant aspects in this regard are whether the topic of the participatory processes have a suitable level of concreteness and duration to attract the required stakeholders to participate. For example, in the case of citizen participants, a suitable topic is expected to be concrete and short-term in order to attract citizens to participate. The nature of the issue is therefore expected to be relevant for understanding the participant group that has participated in the processes.

Furthermore, this contextual factor focuses on whether the complexity of the topic being discussed is appropriate for the particular stakeholders. Therefore, the nature of the issue is also relevant for understanding and evaluating the information arrangements because it can be expected that the complexity of the topic determines how much (additional) information is required to ensure participants are able to participate meaningfully.

2.7.3. Adaptive capacity in relation to COVID-19

The participation processes under study in this research have largely taken place during the COVID-19 pandemic. While the pandemic has been disruptive for many areas of daily life, it provides a potential advantage for the participation processes. Because the majority of activities take place online during the pandemic, this provides municipalities the chance to reach more and different people in their communities than they otherwise would. Having a larger or more varied pool of participants is expected to be beneficial for participation (KennisknooppuntParticipatie, 2020). However, whether the municipalities succeed in reaching a wider and more varied audience digitally, is dependent on their ability to adapt to the situation and set up appropriate communication and participation channels (Korthagen & Keulen, 2017).

This contextual factor focuses on the extent to which municipalities have taken steps to alleviate any negative consequences of digital participation. Important aspects are how long it took the municipalities to adapt their participatory processes and whether the adaptations were appropriate, considering, for example, the composition of the target population and the goal of participation. These considerations are significant because they are expected to influence some of the design arrangements. For example, if a municipality is able to adapt its participation processes well to digital participation, this is expected to increase the likelihood of the municipality reaching a broader audience. This, in turn, could affect the municipality's capability to achieve a representative participant group. Therefore, the adaptive capacity is relevant for understanding the participant arrangements. The adaptive capacity is also expected to influence the participant interactions. That is because the extent to which the municipality is able to adapt to a situation of digital participation is expected to affect the extent to which the municipality is able to implement appropriate and desired interactions.

2.7.4. Goal of participation

Before a participation process starts, it is important to set a goal or purpose for the participation. This allows for correct implementation of adequate resources and scale, as well as the involvement of the relevant target groups. The goal of participation can therefore affect the intensity of the participation and the outcomes it produces (Energiestrategie, 2019). For example, if participation is seen as an

important medium to achieve the goal of acceptable policy, this might lead to an intense, long-term process with citizens. However, if the municipality only engages in participation out of a sense of obligation or to display fulfilment of legal requirements, it can be expected that not much effort will be put into designing an appropriate or effective participatory process. The goal of participation is therefore expected to be specifically influential for the interaction arrangements and the control arrangements. The assumption here is that the goal of participation will determine the intensity required from the interactions and control assigned to participants.

2.7.5. Levels of Conflict and Trust

For both citizens and other partners, trust and conflict are linked to previous experiences with the municipality or with each other (RES-Practitioners, 2021). However, for this research, the focus is not on the causes of particular levels of conflict or trust. Rather, the focus is on gaining insight into the degrees of trust or conflict present within a municipality. This is significant because the degrees of trust and conflict are expected to affect how the participatory process unfolds, as described in the literature. Therefore, it can be expected that the municipality must take these levels into account in the design of the participatory processes. The focus here is on whether they do so and how they do so. Where present, the levels of trust and conflict in a municipality are therefore expected to influence the entire participatory process, rather than one specific design arrangement.

2.7.6. Socioeconomic composition and homogeneity

This element provides a general overview of the type of municipality each case is in terms of its citizenry. The focus is on characteristics of the municipal population that can be relevant and influential for the arrangements of participatory processes. Relevant characteristics to take into account are the size and homogeneity within the communities, citizens' attitudes towards the local government and micro-level characteristics such as age and income distribution. These characteristics are relevant because they can affect the willingness, opportunities and incentives potential participants have to participate. Therefore, this element is particularly important to consider when describing the 'Participants' arrangements of the design framework.

2.7.7. Existing Participation Forums

This contextual factor considers if any participatory forums existed in the municipality before participation was set up. In the case that such forums did exist, this contextual factor also takes into account if and how they were included in the participation processes set up for the RES and how this affects the 'Participants' arrangements of the design framework. The expectation is that when participatory forums do exist, it is easier for the municipality to reach the participants they want or need to reach. This is because the organisation of citizens in a certain participation forum makes it easy for the municipality to reach a group of participants without too much effort. Furthermore, due to the existing experience with participation in these forums, it can be expected that using these forums in the participatory processes will affect the interactions used in the process. It might be easier to implement discussions and other exchanges, for example.

Finally, the presence and use of participatory forums in a municipality are also expected to be beneficial for the adaptive capacity in light of digital participation. Because of the existing structures, it is expected that if the municipality can engage the existing forums, this will make it easier to reach the participants they need for the participation process and to implement the interactions required to achieve the desired outcome.

2.7.8. Commitment and administrative prioritisation

This contextual factor takes into account whether the municipality sees participation as a priority and if this is reflected in its actions. This reflection can be noticed in how much attention participation

receives and which resources the municipality deploys to achieve successful participation. The expectation is therefore that this contextual factor will affect the process as a whole.

3. Methodology

In this chapter, the methodology that has been used in this research is described. The section first discusses the choice for a case study research. This is followed by a step-by-step description of the data collection methods for both types of data, as well as how the data was analysed.

3.1.   Case Study Research

This research makes use of a case study design. Three cases are used: the municipality of Hellendoorn, the municipality of Hengelo and the collaboration of the Northeast Twente municipalities (NET), consisting of the municipalities of Losser, Oldenzaal, Tubbergen and Dinkelland. These cases have been selected based on a preliminary analysis of the participatory processes already in use at the start of the research. This preliminary analysis showed enough variation in terms of design to render these cases useful for the research and to allow for a clear connection to be made between the design and the level of influence of participatory input on the policy process. Thus, the research makes use of comparison based on differences among the cases to determine how the design influences the policy process. For each case, the contextual framework and design framework have been used as the basis for a case profile, which describes the situation for each design arrangement and contextual factor in a case, as well as how that particular design element influences the policy process.

An advantage of a case study design is that it allows for in-depth data collection and analysis. This is ideal for this research because it allows room for the researcher to take note of the contextual factors and design arrangements at play, thereby contributing to a clear understanding of the relationship with the policy process. A major disadvantage of the choice for a case study design is the limited possibility for generalisation that this choice brings. Due to the specificity of the data, it can be harder to generalise the outcomes to other participatory processes. However, this disadvantage is outweighed by the ability to test the framework developed in this research, thereby contributing to the understanding of how participatory design influences the policy process. While the outcomes of this research may be less generalisable than a different design would have allowed, the outcomes are expected to be a useful starting point for further research in different contexts regarding this relation.

3.2.   Data Collection

This research made use of two types of data: primary and secondary. The secondary data consists of existing municipal documents found online or through contact with relevant contacts connected to the RES. The primary data consists of data generated from interviews with the municipality employees responsible for participation in the RES as well as one council member per municipality. This section will describe the steps taken to collect both types of data.

3.2.1. Secondary Data

The data collection started with the secondary data because this allowed the researcher to create a clear overview of which information needed to be collected, clarified or supplemented with the interview data. The first step in the collection of the secondary data was to consult the public minutes from the executive board meetings. These minutes were obtained from the municipal websites. The minutes from January 1st 2018 to March or April 2021 were consulted. 2018 was chosen as starting year because that is the year that the current executive board was installed. In March and April 2021 the Twente municipalities discussed the draft RES 1.0, which indicates the first official bid for the RES 1.0 after the participatory processes. The relevant minutes from this period were then collected in one place to allow for a clear overview. Minutes were deemed relevant if they discussed participation in general or in relation to the RES.

The second step was the collection of other relevant documents based on the content of the minutes. These documents include policy plans, memos and reports that are referred to in the minutes and that are somehow related to participation in general and/or in the RES context. These additional documents were collected through the municipal websites, through Google searches and sometimes through a contact person within the municipality. Furthermore, for all cases, the coalition agreements and, where applicable, executive board programmes were collected through a Google search or the municipal website. General RES documentation was collected from the RES website. In some cases, general RES information was also found in specific municipal minutes.

Collecting the minutes and additional documents first allowed for a provisional case profile of each municipality to be composed before conducting the interviews. In an attempt to make the case profiles as complete as possible, one final round was held of Google searches and checking the municipal websites. In this case, the goal was to find specific information that could help to fill any gaps in the provisional case profiles and that might have been overlooked in the initial search. The provisional case profiles allowed for interview questions to be developed that were tailored to the required information per municipality. This choice was made to allow for a better understanding of the contextual factors and design elements because there was room for municipality-specific aspects to be explored, which is difficult when using the same fixed questions for each municipality.

3.2.2. Primary Data

The primary data was collected through interviews with the relevant municipal employees and council members. One policy officer per municipality and one council member per municipality was the intended pool of respondents. The final result differed slightly. One respondent was interviewed who could provide information for the NET as a whole. Additionally, policy officers for the separate NET municipalities were also interviewed in order to get more detailed insight. However, the municipalities of Tubbergen and Dinkelland share an administrative organisation, so only one respondent was required for these municipalities. All the policy officers were approached through a contact person at the RES organisation, who made the first contact on behalf of the researcher. All policy officers who were contacted were willing to take part in an interview. This resulted in six interviews with policy officers. The council members were contacted through a different contact person at the RES organisation who works more with council members. The researcher was unable to conduct an interview with council members from Hengelo and Dinkelland due to time restraints and non-response respectively. Alternative respondents for these municipalities could not be found. This resulted in four interviews with council members, adding up to a total of ten interviews.

The interview questions for the policy officers were composed based on the elements of the contextual framework, the design framework and their expected mechanisms of influencing the policy process, as well as on the basis of the preliminary case profiles. Information that was missing, unclear or incomplete was then incorporated into the questions. The interviews with the council members were only used to collect data regarding the influence on the policy process. The questions in these interviews were the same as the questions regarding the level of influence that were posed in the interviews with the policy officers. The choice to make this distinction in interview questions was made based on the fact that the policy officers were directly involved throughout the process of participation and therefore were expected to be the most suitable actors to provide answers related to the design and context. The council members were included in order to allow for a more complete perspective on how the participation designs influenced the policy process than just the interpretation of the policy officers. Furthermore, by also interviewing council members, the researcher was able to study whether there were different perceptions of the level of influence and the process, as well as the causes for these differences. Using the data collected in the interviews, the case profiles were finalised.

3.3. Data Analysis

In this section, the analysis will be explained. The explanation will be provided per sub-question.

3.3.1. Sub-question 2: How have the participatory processes been designed?

For the analysis, deductive coding was performed using ATLAS.ti. The codes used correspond with the design arrangements and contextual factors in the frameworks, with each arrangement and factor having its own code. This results in a total of fourteen codes that are applied to the case profile, which have been composed using the secondary data as well as the primary data. Both frameworks were included in the analysis because it was the expectation that the contextual factors influence the design. Therefore, including both in the analysis allowed the researcher to get insight into the full picture. Passages or statements in these documents that provided insight into a particular element of the frameworks were assigned the appropriate code from the coding scheme. Based on the assigned codes, the researcher could gain insight into if and to which extent the results supported the propositions or not, as well as if any additional insights were gained. A comparative reflection on these findings was provided for each arrangement and factor in the framework, which also allowed for a reflection on the propositions.

3.3.2. Sub-question 3: What is the level of influence of the participation input on the municipal policy process in the context of the RES?

In order to analyse the level of influence of participation input, the researcher again made use of deductive coding in the programme ATLAS.ti. In this case, the pre-determined codes were formulated based on the expected mechanisms that determine the level of influence. The analysis was performed in the same way as the analysis described for sub-question 1.

Deductive coding fit with this research because the researcher was not looking for new patterns in the data, but was rather using the data to develop an understanding of the cases in a structured way. Because the researcher made use of pre-determined frameworks and influence mechanisms to develop this understanding, it made sense to let these frameworks and criteria guide the analysis, as is the case with deductive coding.

3.3.3. Sub-question 4: To what extent can the level of influence of participation input be explained using the design framework?

In order to determine to which extent the design frameworks actually explain the level of influence, the researcher compared the analyses performed for the two previous sub-questions. Based on this comparison, the researcher was able to determine which design arrangements had been found to impact the level of influence, to what extent this was the case and which arrangements were not found to be influential.

4. Results and Analysis
4.1. Results
4.1.1. Hellendoorn

4.1.1.a. Policy guidelines

The participatory processes in Hellendoorn were guided by the Roadmap RES Hellendoorn particularly, and, to a lesser extent, the Participation Code for the municipality. The Roadmap RES Hellendoorn, which was developed in the process of the draft RES and then extended to the RES 1.0 processes, was tailored to the RES process. This Roadmap RES Hellendoorn outlines how citizens and other stakeholders are to be approached and involved in the context of the energy strategy, whereas the Participation Code Hellendoorn sets out guidelines for participation across policy areas. The participation processes in Hellendoorn were supervised by an energy director, one of three civil servants working on the topic of renewable energy within the municipality.

4.1.1.b. Participants

In line with the participant arrangements outlined in the Roadmap RES Hellendoorn, the participatory processes in Hellendoorn made use of location-oriented processes, focused on energy groups. These energy groups consist of new and existing participatory forums such as village councils and neighbourhood associations. The energy groups also consist of non-citizen actors such as (representatives of) interest groups and business clusters. There were eight location-oriented energy groups in total. The energy groups were formed via a call to action directed at the local participatory forums. This shows the use of closed recruitment methods. This call to action was also spread in a more general sense throughout the municipality, leading to the formation of new forums which joined the energy groups. This shows the use of open recruitment methods. The municipality thus made use of hybrid recruitment methods. The municipality did not set criteria determining which groups should be involved in the process or which areas needed to be included.

Due to the COVID-19 pandemic, the participation had to take place digitally for the most part. Respondent 10 noted that the digital processes sometimes led to miscommunication and misunderstanding and Respondent 7 indicated that it took time to find the best way to handle the situation. However, Respondent 7 also noted that digital participation allowed the municipality to reach a broader audience, both in the informative sessions and in the input sessions. The exact digital methods used were determined by the energy groups themselves, but ranged from digital residents' meetings to small scale or one-on-one meetings.

Overall, the municipality was able to achieve a high to very high level of representativeness in the participation processes of affected stakeholders, according to Respondent 7. Respondent 7 indicated that by sending the surveys at the end of the processes with the energy groups, the municipality was able to ensure that anyone who had not participated earlier could still share their input with the municipality before the bid was finalised. Furthermore, Respondent 10 points out that the level of support shown in society for the bid and corresponding plans, shows that the policies are representative of what society wants. Due to their role in the energy groups, the participation forums played a central role in the participatory process in Hellendoorn. Respondent 7 argues that the presence of the existing forums facilitated a quick start of the process because the forums had experience with participation. Before the RES the comprising participatory forums in the energy groups already focused on issues in their particular geographic location, so they were already organised in such a way that they could participate on behalf of their respective area in the RES context.

4.1.1.c. Positions and roles

For the most part, the process in Hellendoorn assigned participants in the working groups the role of representative of their respective geographical locations or, in the case of non-citizen participants, their respective interests. Participants who were already part of an existing forum had this role before the participation processes for the RES. The exception to participation as representative of the geographical locations or specific interests was the participation provided through a survey, which was filled in based on the personal perspective of individual citizens.

4.1.1.d. Information provision

Informing society about the energy transition was one of the goals of the participation processes in Hellendoorn. Therefore, throughout the process, Hellendoorn provided general information through (digital) presentations to inform participants. Furthermore, the energy groups could submit requests to the energy director for specific information. This information was accumulated in the way deemed most suitable, such as conducting analyses or consulting experts for advice, and then shared with the respective energy groups. When relevant for other energy groups, this information was shared with them as well. Respondent 10 indicated that the efforts to inform the participants have been effective because the energy group members know more than municipal council members about the topic, also due to their intensive work regarding the topic. However, as Respondent 10 also indicates, other citizens are much less informed about the topic despite the goal of having the energy groups disseminate the information further in their communities.

4.1.1.e. Interactions

In order to deliver the expected outcome, the working groups worked towards the formulation of concrete local proposals, with facilitation and support from the municipality. This indicates a concrete topic from the start. Respondent 10 indicates that this concrete focus helped to attract citizens to participate. The interaction arrangements in the process allowed citizens and non-citizen participants to interact with each other and with the municipality in the energy groups. While the majority of the interactions with the municipality were in the form of the municipality facilitating the processes, there was also interaction in the form of the survey filled in by participants. The surveys served as a final check after the formulation of the municipal bid to see if society agreed with the content of the bid. The interactions in the energy groups also contributed to the development of a proposal submitted to the municipality for how to implement the energy transition in their respective areas. These proposals were then processed into the final municipal bid. The nature of the outcome produced by the interactions implies the interactions belong to the category of 'preference sharing' or 'preference development'. The precise mechanisms implemented for the interactions to take place are unknown and Respondent 7 indicates the energy groups were given the freedom to decide that themselves. The exact mechanisms, therefore, differ per group.

4.1.1.f. Control

Gaining insight into the societal preferences, ensuring acceptance of the energy strategy and giving shape to the energy transition in a concrete way with the development of local proposals were important goals of the participation processes. Respondent 7 indicates that these goals were the reason the process was set up in such an open way, setting only a few basic criteria and giving the energy groups the freedom to develop their own proposals. A main criterion was that, combined, the plans should meet the amount determined in the municipal bid for the RES Twente (71 GWh), otherwise the municipality would step in. Another criterion was that the energy groups would deliver location-specific proposals for the realisation of the energy transition in their area. The proposals had to provide an overview of which techniques and locations the energy groups wanted to utilise for the realisation of the energy transition. The municipality had hoped the energy groups would deliver

proposals with a better balance of solar and wind energy techniques. However, as indicated by Respondent 10, the proposals had a heavy focus on solar energy.

Following from the goals of the process, the control arrangements allowed the working groups a high degree of control, which was manifested in the local proposals being copied fully by the municipality for its bid. The municipality checked the local proposals to ensure there were no overlapping or contradictory plans in the energy group proposals. Once this had been determined, the content of the eight proposals was processed fully into the municipality's policy. Therefore, the control arrangements in Hellendoorn belong to the 'direct impact' category. When copying the local proposals into the municipal policy, the municipality did not assign different weight to the proposal of any area over another, i.e. the proposals were processed equally.

The level of control assigned to the participatory input resulted in a heavy focus on solar energy in the municipal bid at the expense of wind energy, which contributes to citizens' positive attitude towards the outcome, according to Respondent 10. Despite the imbalance between wind and solar energy in the proposals, both respondents state that the high level of acceptability within society, which is a result of the participation process leading up to the policy, is the main determinant of the level of influence assigned to the participation input in the policy process. Respondent 7 indicates that the level of influence is high, despite discussions in the municipality that the processes and the resulting local proposals have not paid enough attention to other important elements of the RES: network capacity and spatial quality. Within the municipality, the choice has been made to simply focus on the policy that has been approved now because society supports this policy.

4.1.1g. Trust and conflict
Respondent 7 observed that there was a certain distrust towards the municipality in the beginning because citizens were not sure their input would be taken seriously. Additionally, citizens were not used to being involved in such a complex topic so early in the process. As the process continued, Respondent 7 noticed that the trust levels grew among the participants because they saw that their input was being taken seriously. Respondent 7 also states that the municipality's trust in the citizens grew when it became clear that citizens could handle such a complex topic.

Conflict within communities was also visible. Respondent 10 observed that early initiatives for wind projects created a rift in the local community. The respondent noted that this is undesirable in such communities because citizens rely on each other very much in such communities. Furthermore, Respondent 7 also observed tensions between the village Nijverdal and other areas in the municipality because Nijverdal did not show much initiative to get involved in the process of developing proposals. The lack of initiative in Nijverdal was caused by the fact that the participation forums in the village were only used to participation in small-scale social issues but had no experience with participation for big topics. As a result, the village of Nijverdal initially did not show initiative to contribute to the plans and therefore fell behind other areas. However, Respondent 7 also noted that the possibilities for large-scale sustainable energy generation are limited in Nijverdal, which is also expected to have contributed to the attitude there. The lack of initiative in Nijverdal had a discouraging effect on other areas which were already hard at work and felt Nijverdal was getting off easy.

4.1.1.h. Evaluation
In Hellendoorn, Respondent 7 and Respondent 10 indicated that the proposals have a very high level of influence on the municipality's final policy as a result of how the process had been designed and the level of acceptance the plans have in society. The process allowed the working groups a great deal of control, which was manifested in the local proposals being copied fully by the municipality for its

bid. Throughout the process, it was the working groups that were responsible for the formulation of the final proposal, with facilitation and support from the municipality.

Table 1: Hellendoorn Results Summary

Contextual framework	
Guidelines for participation	Roadmap RES Hellendoorn: specific steps for involvement of stakeholders in RES process (To a lesser extent) Participation code: general document for all participation
Nature of the issue	Long-term, concrete topic aimed at determining how each location would contribute to the energy transition in their area
Adaptive capacity in relation to COVID-19	Different approaches per area e.g. digital residents' meetings or one-on-one meetings Digital setting caused uncertainty, miscommunication and misunderstandings at the beginning Digital participation facilitated participation of a broader audience
Goal of participation	Acceptance of the energy strategy, allowing input from society, connecting mutual interests, giving shape to the energy transition locally Inform society about the energy transition and gaining awareness for it
Levels of conflict/trust	Low trust in the beginning, grew during the process but levels differed per area Conflict arose based on different attitudes e.g. in Nijverdal compared to other villages Distrust towards the municipality also decreased over time Type of process and control arrangements to participation helped to alleviate distrust and conflict Initiatives for wind energy threatened to create split in local communities
Socioeconomic composition and homogeneity	Existence of participatory forums indicates willingness to be involved in government tasks Younger participants were able to join because of digital participation Hostile citizenry not noted, only some distrust in the beginning
(Organisation of) Existing Participation Forums	Several already existed: Village working groups and interest groups, neighbourhood associations, village council, business clusters Presence of these forums was noted as an advantage compared to places where no forums existed
Commitment and administrative prioritisation	Three employees working on the energy transition Deployment of resources to inform participants and ensure successful participation
Institutional Design	
Participant arrangements	Participatory forums such as business clusters, interest groups and citizen platforms working together in energy groups; organised based on location

Positions and roles arrangements	All participants expected to participate on behalf of the interests of their relevant area, in line with composition of energy groups
	Working groups also responsible for sharing information in their areas
Information provision arrangements	General information provided in the beginning through presentations, residents' meetings etc.
	Additional specific information provided via energy director in different forms ranging from research, analyses etc. performed by experts on request to providing financing for the organisation of residents' meetings
	Intensive work in the process has led to high degree of knowledge among participants
Participant interactions arrangements	Interactions between municipality and participants in the form of facilitation by the municipality and survey
	Interactions among participants in the form of discussions leading up to proposal; precise interactions within energy groups unknown
	Value judgement exchange enabled throughout the process: participants were involved from early on and on the basis of an open agenda
Control of participation input arrangements	High degree of control, reflected in open set up of process without restrictions for participation and allowing for early involvement
	All proposals were processed equally

4.1.2. Hengelo

The guidelines for participation in Hengelo were found in the New Energy Hengelo (NEH) programme, although the municipality incorporated these guidelines into the Environmental Vision for the rural areas. The Environmental Vision is part of the new Environmental Act, which requires the involvement of citizens based on the expectation that citizen involvement will restore trust in (local) government. The Environmental Act only discusses participation in general terms but is based on the assumption that early involvement of citizens will lead to more societal support for spatial policy (VNG, 2019). The NEH communication and participation plan outlines the steps that must be taken to determine when and how citizens should be involved.

4.1.2.a. Participants

Throughout the participatory processes, reaching the citizens was a priority for the municipality, clarifies Respondent 9. Therefore, the participant arrangements place citizens as the central stakeholders in the process. Particularly the citizens in the outlying areas of the municipality were considered an important target group because those citizens are expected to be affected most by the energy transition. However, the municipality also wanted to involve citizens from other areas of the municipality, so efforts were also made to recruit those citizens, mostly for the more informative processes. To involve participants, the municipality made use of hybrid recruitment methods. Closed recruitment methods were used for the citizens in the outlying areas of the municipality. Those citizens were invited by letter and those whose contact details were known to the municipality were also invited by email. Furthermore, the Hengelo Panel, which is a fixed group of residents that the municipality consults about certain topics, was also recruited using closed methods because these participants were recruited specifically through the Hengelo Panel survey tool. Open recruitment methods were employed for other residents of the municipality, who were recruited using more general communication that was spread throughout the municipality. The precise recruitment methods for the non-citizen participants are unknown, but the data implies hybrid recruitment methods were

used for these participants as well. The non-citizen participants were included in separate processes from the citizens, particularly during the online energy markets and the corresponding working sessions. These stakeholder energy markets were open to actors such as the grid operators, interest representatives and energy cooperatives. The municipality also considered representatives from the neighbourhood associations stakeholders and saw them as separate from the actual residents of those neighbourhoods. The municipality did not restrict the participatory process to specific citizens or other stakeholders by setting criteria for participants. Rather, anyone who was interested and wanted to get involved could participate.

Respondent 9 indicated that, despite the municipality's efforts, the final participant group was not representative of the municipality as a whole. The effect of the lack of representativeness is also noticeable after the participatory process because, according to the respondent, some 'silent opponents' who have not been involved so far and are now making their way to the council to give their opinions anyway. Because they are approached by people from their constituency, mostly opponents, council members' attitude towards the policy is affected. The respondent also indicates that this trend is highlighted by the fact that the RES is a politically sensitive topic and the elections for the municipal council are coming up at the beginning of 2022. However, the lack of representativeness is also noticeable in the fact that that very few proponents of the policy have been heard throughout the participation processes. Only in rare cases did a proponent of the policy show up and participate, according to Respondent 9.

4.1.2.b. Positions and roles
Throughout the processes, the municipality allowed room for participation by individual citizens as well as representatives of collective interests. The role of the citizen platforms was to participate on behalf of the platform's interests, but not on behalf of the citizens represented by the platform. Respondent 9 explained this choice was made because the municipality wanted to focus on the actual citizens. Furthermore, the municipality also expected the participatory forums to inform other citizens. Therefore, these forums fulfilled the role of reaching the main stakeholders of the process: the citizens. Other non-citizen participants were expected to participate on behalf of the interest they represented. In the survey and the energy markets, citizens did not have to adopt a specific role: citizens were expected to participate based on their own personal interests.

4.1.2.c. Information provision
A goal of the participation processes in Hengelo was to inform society about the energy transition and about ways to decrease energy use. To achieve this goal, the municipality implemented several methods. The municipality regarded the participation forums, such as the neighbourhood associations, as communication and information channels which were used to inform other citizens. Other methods used to inform participants were (digital) presentations, informative webinars and sending digital and analogue newsletters. Another form of informing citizens was a document which outlined the main points of the municipality's plans and which summarised the input that had been provided during the energy markets. This document was used to inform participants in the walk-in sessions on location, which were implemented as additional steps towards the end of the participation phase. Respondent 9 concludes that the efforts taken by the municipality were successful because in the final steps of the participatory processes there was a low attendance level, even in areas that had heavily opposed the plans.

4.1.2.d. Interactions
Another goal of participation in Hengelo was to encourage as many people as possible to provide input and share their opinion with the municipality. The municipality set this as a goal so that societal input could be processed in the formulation of the so-called environmental programme, which focused

on concrete locations for the wind and solar installations as well as preconditions for the realisation of the energy transition. The interaction arrangements thus allowed for direct interactions between participants and the municipality, particularly through the energy markets and the survey. These interactions fall into the category of 'preference sharing'. During the energy markets, the work sessions also allowed for small scale interaction among participants, although the citizen and non-citizen participants were kept separate in these sessions. The work sessions allowed participants to explore the possibilities for wind and solar energy in a hands-on way as well as to provide input based on statements for discussion. Therefore, these sessions belong more to the category of 'preference development'. The same statements from the energy work sessions were also included in the digital survey sent out to the Hengelo Panel.

The input collected in the energy markets, the Hengelo Panel and the initial processes for the environmental vision were intended to be sufficient to process into the environmental programme. However, Respondent 9 indicated that, from the municipality's perspective, the level of participation had been insufficient so the decision was made to initiate additional participation. To do so, the municipality summarised the main points from the Environmental Vision, the input gathered until that point and any technical information that had been gathered in analyses. Using this document to give people a concrete idea of the topic, the municipality entered the final phase of participation: organising walk-in input sessions on location in different areas of the municipality.

Due to the COVID-19 pandemic, participation took place digitally for the most part (before the implementation of the additional participation methods). The municipality would have preferred to organise the participation in person but Respondent 9 claims the municipality was able to adjust quickly to digital participation, through digital energy markets, for example. The respondent noticed that because the participation was digital, participation was more accessible for certain participants because it took place within their homes. However, in order for participants to experience the benefit of more accessible participation methods from home, they had to be digitally competent. For those who were not, the municipality arranged alternative participation options that adhered to the COVID measures, such as small-scale meetings at the town hall. The respondent did not note any particular effect resulting from the use of existing participatory forums. This is because the participation forums, such as neighbourhood associations, were regarded primarily as communication and information channels which were used to inform other citizens.

4.1.2.e. Control

Based on the NEH communication and participation plan, the municipality has organised its participation process in phases. The control arrangements in Hengelo differed per phase. In the first phase, the Environmental Vision was developed using co-creation with the residents in the affected areas. In the next phase of the process, the municipality switched to a consultative and informative approach, indicating the influence arrangements shifted to the 'advice and consultation' category. The control arrangements for the participation input thus differed depending on the phase of the process. At the start of the process, participants were granted more control than at the end. All input provided by participants was weighed equally, irrespective of location etc. of the participants. In the formulation of the policy the municipality also relied heavily on the outcome of a site survey to determine where the energy installations should be located. Respondent 9 indicated that, because the municipality had the site survey outcomes, it was not necessary to assign different weight to the input from different participants. Throughout the phases of the participatory process, the type of topic shifted from abstract to concrete. The process started with a focus on an abstract vision, at which point the municipality noticed low participation levels. Gradually the municipality moved on to a more concrete topic, namely giving shape to the bid and the NEH goals, which meant looking at specific locations and analysing their potential. At this stage, participation levels started to pick up.

Regardless of the control assigned to the participatory input, Respondent 9 thinks the influence of participation input is more related to the coalition agreements that have been made in the council. Furthermore, the evaluation of the policy in the municipality is also dependent on whether the content of the policy takes into account specific foci that are important for particular political parties. For example, Respondent 9 mentions that one local party is not in favour of the measures being taken for the energy transition, but sees that they are inevitable. Therefore, that party is a big proponent of installing solar panels on roofs as much as possible to generate the required energy. If the policy takes that into account, that party might be supportive of it. Another party is very focused on minority groups and people with limited financial means. Therefore, the municipality has ensured that the policy frameworks for the energy transition will provide room for these people to also participate and benefit financially. With these efforts, Respondent 9 indicates, the municipality hopes to ensure at least sufficient support for the policy to ensure its adoption. Finally, Respondent 9 indicates that the attitudes towards the current policy among decision-makers would be different if the wind turbines would be left out of the plans. In that case, there would be less concerns about whether the policy will receive enough support to be adopted. Despite the inclusion of wind turbines, Respondent 9 does think that eventually the policy will be able to rely on sufficient political support to be adopted.

4.1.2.f. Trust and conflict

A lack of distrust was noticed among the citizens towards the municipality because they thought the municipality already had its own plans and would not actually listen to citizen input. Furthermore, conflict was also noted between different areas as a result of different attitudes and actions in the areas. For example, conflict was noted between similar neighbourhoods where the municipality was planning to place wind turbines. One neighbourhood was strongly and openly opposed to the plans. As a result, the other neighbourhood was scared its needs would be overlooked and that it would have to bear the full responsibility for achieving the goals for the energy transition. Eventually, the municipality was able to decrease the conflict between the two neighbourhoods, as well as decrease the distrust towards the municipality, by agreeing on guidelines that would give the neighbourhoods more say on the implementation of the plans in the future.

Table 2: Hengelo Results Summary

Contextual framework	
Guidelines for participation	New Energy Hengelo programme: developed for RES, including outline of communication and participation steps. Council decision: NEH goals should be leading and RES bid should be determined as part of the NEH goals Environmental vision: NEH goals are incorporated into the municipal development of the Environmental Vision
Nature of the issue	Shifted from abstract vision to concrete: which factors to consider for placement, discussion of what is considered acceptable for citizens, how to ensure installations fit in the environment, citizen willingness to be involved financially Main points developed based on input from the Environmental Vision participation processes

Adaptive capacity in relation to COVID-19	Digital energy markets with the option for in-person meetings in small groups for digitally incompetent citizens Survey Webinar
Goal of participation	Encourage input sharing to gain insight into municipal preferences Create awareness for the energy transition
Levels of conflict/trust	Worries within one neighbourhood about the consequences of heavy resistance in other areas Low trust levels among citizens towards the municipality: fears that the municipality already had its own plans and wouldn't consider participation input
Socioeconomic composition and homogeneity	Presence of existing forums implies willingness to participate Distrust of municipality indicates some hostility towards the municipality
(Organisation of) Existing Participation Forums	Existing platforms used as communication and information channels to reach other residents One citizen platform resulted in a citizen initiative No effect noted in the set up of participation processes
Commitment and administrative prioritisation	Attempts to create involve as many people as possible Implementation of additional participation methods when participation level was insufficient
Institutional Design	
Participant arrangements	Citizens, business representatives, other stakeholders
Positions and roles arrangements	Citizens participated based on individual opinion Business representatives participated based on particular interest Citizen platform representatives participate on behalf of platform (not on behalf of citizens)
Information provision arrangements	Presentation of relevant background information during energy markets Outline of main points of the plans for additional participation methods Digital and analogue news letters Citizen platforms as information channels
Participant interactions arrangements	Interaction between participants and municipality through survey, energy markets, webinar and work sessions Interaction among participants during work sessions Exchange of value judgements during work sessions and to lesser extent in survey

Control of participation input arrangements	Co-creation for developing the Environmental Vision
	Advisory/consultation for gathering input for the more concrete policy All input processed equally

4.1.3. NET

4.1.3.a. Policy guidelines

The North-East Twente (NET) municipalities of Oldenzaal, Losser, Dinkelland and Tubbergen work together at an administrative and official level. The NET cooperation is focused on the large-scale energy transition. Here, the implementation of local policy remains the responsibility of each individual municipality. The municipalities formulate the energy strategy jointly and the NET as a whole is responsible for this. A lot of coordination takes place at the administrative level so that each alderman can share the jointly developed policy with his or her own municipal council and executive board. At an NET scale, the relevant policy guidelines for the participation are the solar policy and wind policy documents. These documents outline a process of participation that focuses on the (potential) search locations for solar or wind energy. Furthermore, these policies stress the involvement of citizens in the process leading up to the realisation of specific energy projects, not earlier. The NET municipalities also adhere to the principle of keeping the costs and profits of solar and wind energy projects local (*Lusten & Lasten Lokaal*). This principle relates mostly to financial participation such as participation through shares in wind turbines.

4.1.3.b. Participants

The participant arrangements in NET mostly placed citizens at a central position in the process. In order to reach the citizens, NET made use of hybrid recruitment methods, i.e. a mix of closed and open recruitment methods. The invitation for the survey was sent directly by post to citizens who formed a representative cross section of society in all four municipalities, and therefore of the NET as a whole. The respondents for the survey were recruited based on characteristics such as age and gender. This shows closed recruitment was used. However, other citizens were also able to participate in the survey and these participants were recruited using general methods. Thus, open methods were also used for the survey. Furthermore, in order to reach more citizens, the NET also contacted the existing participatory forums, such as the village councils. This also implies closed recruitment methods because these forums were approached based on their existence as a platform for their community. New participatory forums were also formed throughout the participatory process. Non-citizen actors were not included extensively in the processes. Respondent 5 indicated that they were only involved in the form of some talks, although these were not very extensive. The non-citizen participants were expected to participate on behalf of the interest they represented. This implies these non-citizen participants were recruited on the basis of the specific knowledge or perspective they possessed, thus closed recruitment.

A notable involvement of a non-citizen actor throughout the process is that of the Agriculture and Horticulture Organisation (*Land- en Tuinbouw Organisatie, LTO*). During the process, the LTO lobbied to prevent the placement of solar fields on agricultural land. In line with this lobby, the LTO supported wind turbines in the NET as an alternative to solar fields and supported the NET in its efforts to gain permission for wind turbines from the province. However, societal resistance to wind turbines in the NET has caused the LTO to backtrack its original position so the LTO is no longer a proponent of wind energy. According to Respondent 5, the LTO's position contributes to the reluctance among politicians to approve wind energy plans. Based on this reluctance, which is also related to the upcoming municipal elections, Respondent 5 estimates that the wind policy cannot rely on sufficient support in the council. It is therefore unlikely to be adopted by the councils at this point.

Respondent 5 indicated that in broad terms, the most important stakeholders have been included in the process but the respondent also acknowledges that there are important stakeholders on a more local level that have not been included so far. This is confirmed by Respondent 1, who believes the perspectives of the most important stakeholders, the citizens, have not been sufficiently included in the process so far. Furthermore, the data shows that the perception of the level of representativeness differs. For example, Respondent 2 observed that, in Oldenzaal at least, the participatory processes were representative on the basis of geographic location but not in terms of different societal groups. Youth, for example, were insufficiently involved. Respondent 6 also indicates that despite efforts to reach a broad participant group, the extent that this was successful differs per municipality. Furthermore, the effects of the COVID-19 pandemic were also noticeable in relation to the participants in the process. Respondent 6 indicated that, if the COVID-19 pandemic had not been an issue, the municipality would have been able to come into contact more with citizens. However, Respondents 5 and 8 also point out that digital participation created new chances. Respondent 8 noted that a different audience was attracted to the digital participation methods. However, the respondent also noted that when in-person participation started again, some of the participants present there claimed to not have heard anything about digital participation. This shows that digital participation might have mostly attracted different participants rather than additional participants.

4.1.3.c. Positions and roles

In the cases that participatory forums were involved in the process, they were not expected to participate on behalf of their respective citizens but the NET municipalities did expect them to coordinate their input internally to some extent. The forums were thus not assigned the role of representative of citizens. The citizens were also not assigned a specific role within the participation processes. They filled in the survey on the basis of their own personal preferences. During the webinars, participants were also not expected to participate within any specific role, their interactions were based on their own personal preferences or concerns.

4.1.3.d. Information provision

The NET municipalities did not consider the RES bid a topic that is suitable for participation because it was based on the current energy use and the national goals for CO_2 reduction. In the NET perspective, this is not a topic that can really be subject to differences in opinion, thus participation does not make sense in that context. As a result, the NET municipalities focused on informing citizens and creating awareness. Informing society about the energy transition was one of the goals of the participatory processes for NET. To achieve this goal, the municipalities provided information about the consequences of the energy transition and the municipalities spread information to increase awareness about the energy transition. The goal of informing society is reflected in the main participative method, i.e. the webinars and informing (via) the local participation platforms. The other main goal of the NET municipalities was to prepare society for the implementation phase, in which the NET hopes many actors will show initiative and get involved. In line with this goal, the NET went through the entire participation process with an abstract topic.

To achieve the goal of informing society, the NET made use of (digital) presentations and webinars, which were a major element in the participation processes in the NET municipalities. Webinars organised to provide information about specific elements of the RES were an essential tool throughout the participation process. Furthermore, information was provided to local participatory forums, such as village councils, who were then responsible for sharing that information with their constituents. The participatory forums indicated they preferred to act as information channel, rather than as opponent or proponent of certain plans. As part of the strategy to inform society and in an attempt to reach as many citizens as possible, the municipalities also provided informative presentations to other

local groups, such as cultural groups, who could request such presentations. Additionally, participants were also informed when filling in the survey through an informative YouTube video and short background information introducing the questions. Despite the goal of informing citizens and the various methods implemented to achieve this goal, the respondents conclude that there is still insufficient knowledge regarding the RES. Respondent 4 has received signals from society that citizens are unaware of what exactly the RES entails. According to Respondent 8, the topic of the RES is too complex at this point for citizens to grasp and thinks the municipalities need to pay attention to the information provision in the future to ensure all participants can participate on the same level.

4.1.3.e. Interactions
Because of the set up of the participatory processes, the interaction arrangements only allowed minimal interaction between participants and the municipality. These interactions mostly took place through the webinars and the survey. For the members of the forums, there was also direct interaction with the municipality, but not for other citizens. The interaction arrangements in the NET therefore mostly fall into the category 'no active participation'. The exception is the survey, which belongs to the interaction category of 'preference sharing' because participants were able to express their preferences for energy techniques as well as their preferred mix of techniques, among other things. However, due to the nature of the survey, this was only possible on the basis of predetermined statements and answer options. The data indicates that the implementation of digital participation caused some difficulties. Respondent 1 stated that not being able to organise in-person participation hampered the processes. Respondent 3 stated that digital participation was not ideal because any interactions that did take place, remained superficial and it was more difficult to discuss topics in depth. However, Respondent 5 is positive about how the digital participation took place, on a whole.

4.1.3.f. Control
Because of the goal of informing society, the influence arrangements in NET were not geared towards the collection of opinions or input from participants. The clear exception is the survey, which did allow participants to share their opinions regarding specific statements. However, Respondent 5 indicates that due to the timing of the survey, it was more of a check to confirm that residents supported the plans that had been formulated top-down. Therefore, the input from this survey has not been allowed control over the municipal plans. However, Respondent 5 indicated that the survey did indeed show support for the plans. Therefore, the effect of the survey might be that it encouraged the municipality to stick to its chosen course of action. All in all, the control arrangements in NET seem to span the categories of 'no influence' to 'communicative influence'. Despite the lack of direct input channels, Respondent 2 indicated that policy advisors do receive signals from society regarding the preferences, for example when they attend local village meetings. These signals do translate into choices made, but do not directly influence the policy. Therefore, the level of control over the outcome is limited in NET.

T4.1.4.g. Trust and conflict[1]
In addition to a lack of trust towards the municipality in terms of the municipalities' intentions for participation, the NET municipalities also experienced conflict within communities, rather than between areas. In the NET case, proponents of the plans are hesitant to share their support openly, at least until the policy has been definitively adopted in the municipal council. Before then, proponents are unsure of the consequences their support for the plans will have in the community. However, the major form of conflict noted in the NET was at the administrative level between the cooperating municipalities. Firstly, the municipalities still have to adopt the wind policy, which outlines the steps

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[1] Due to the sensitive nature of the events described in this paragraph, the names of the municipalities have been left out.

to be taken for the realisation of wind turbines in an area. The municipal council of one of the NET municipalities had initially indicated that it was in favour of having wind turbines in the NET landscape. However, the council was shocked by the level of resistance these plans faced from citizens. Therefore, the municipal council is now no longer willing to accept the wind policy, at least not until the municipal council elections have taken place in March 2022. The municipality of a second NET municipality, on the other hand, is very eager to pass the wind policy because there is already a potential project for wind energy in the municipality. However, the municipal council in this second municipality has determined that no wind projects can go through until the wind policy has been accepted. Therefore, the first municipality backing out of the collective policy is frustrating for the second municipality and the other municipalities in NET. This situation has put a strain on the NET cooperation.

4.1.3.h. Evaluation

How municipal politicians evaluate the bid is affected by the upcoming municipal elections. Respondent 5 notes that, because of the upcoming elections, politicians are reluctant to approve the plans because they are afraid that will cost them votes. Respondent 5 estimates the level of support for the plans to be a six or seven on a scale of one to ten. This score is based on the expectation that the bid will pass the council vote but that there will be some parties that vote against it. Respondent 5 thinks that if elections were not coming up, the (general) level of support for the policy would be a seven or an eight because, in general, people do see the urgency of the energy transition. The respondent thinks that there is support and understanding for the policy but that, because of the upcoming elections and the resistance from society, decision-makers are afraid to display it. As a result, society is also unable to accept the policy and therefore continues to resist it. Respondent 5 expects that once the decision makers have adopted the policy, the acceptability in society will also grow and people will take their responsibility to contribute to the energy transition somehow.

The score of six or seven is related to the general RES bid itself, because that bid does not specify how much wind and solar energy will be needed and, generally, politicians do understand the need for the bid. The evaluation of the wind and solar policies is expected to be lower, indicating insufficient approval of these policies in the municipal councils.

Table 3: NET Results Summary

Contextual framework	
Guidelines for participation	NET wind and solar policy
Nature of the issue	Long term, abstract topic
Adaptive capacity in relation to COVID-19	Mostly reliant on webinars and digital meetings with local participation forums
Goal of participation	Survey: Gain (representative) insight into the opinions of the average residents of the respective municipalities Other processes: create awareness, inform
Levels of conflict/trust	Yes, mostly at the administrative level (between municipalities)
Socioeconomic composition and homogeneity	Presence of participation forums in three of the municipalities indicates willingness to participate
(Organisation of) Existing Participation Forums	Present in the rural municipalities and used there as a communication medium with the rest of the citizens Not present in Oldenzaal, but developed somewhat during the process No effect noted in set up of participation processes
Commitment and administrative prioritisation	Implementation of informative participation processes and survey

Institutional Design	
Participant arrangements	Survey: Selected group, representing a cross-section of the residents of the municipalities, determined based on age, gender Survey: Other citizens who wanted to fill it in Other processes: Members of local participation forums and to lesser extent interest groups; all citizens welcome
Positions and roles arrangements	Survey: Participation based on individual preferences Participants in participation forums expected to participate in coordination with fellow village members Interest group representatives participated on behalf of specific interest
Information provision arrangements	YouTube video links in survey to provide explanation, basic information to introduce certain questions in survey Presentations for local participation forums and on request for other local groups Webinars
Participant interactions arrangements	No interaction among participants, only minimal interaction with municipalities Interaction arrangements did not allow for the discussion of value judgements
Control of participation input arrangements	Limited influence because survey was only used as a check Processes did not aim to collect input, so limited control for participants on outcome Input was collected indirectly and also considered, most likely to a differing extent

4.2. Comparative Analysis

The following section will provide an analysis of the results, structured according to the design and contextual frameworks. The analysis will focus on all three cases, allowing for a comparison of design and contextual factors. Furthermore, the analysis will discuss the expected relations between the design arrangements and level of influence on the policy process, as well as the relations among design arrangements or between contextual factors and design arrangements. The focus of the analysis is to determine to what extent the design arrangements and the contextual factors affect each other and, more importantly, the level of influence on the policy process.

4.2.1. Participant arrangements

Despite similar recruitment methods in the three cases, the data indicates differences in the resulting representativeness of the participant group. Hellendoorn indicated that a representative participant group was achieved, particularly through the survey which ensured input was collected from a participant group that was representative for the whole municipality. Furthermore, due to the nature of the process in Hellendoorn and the local proposals that were developed, it can be concluded that those who would be affected by the outcome were automatically involved in the process, at least indirectly, because they were the ones who developed the proposals for the municipal bid. In NET the data provides mixed results. Overall, however, it can be concluded that the level of representativeness there was insufficient. Despite the survey being sent to a group of citizens that was representative for the entire NET, it seems that on the local level, the citizens were not included enough in the process. A non-representative group of participants was also noted in Hengelo, despite the many different methods implemented and despite the targeted recruitment of those living in the areas that were expected to be affected most by the energy transition.

Based on the results, there seems to be support for the proposition that the level of representativeness contributes to the level of influence participation input has on the policy process. In Hellendoorn, the data shows that a representative participant group has been achieved and, because of that, administrators are more certain the policy is what society wants. As a result, they are willing to accept the policy, even though its content is not fully in line with what the municipality had expected beforehand in terms of the distribution between wind and solar energy. The cases of Hengelo and NET did not achieve representative processes. The results from Hengelo indicate that people, mostly those opposed to the outcome, who feel their input has not been heard in the participatory processes so far are now approaching council members with their concerns. This, in turn, is cited as a reason for uncertainty as to whether the policy will be able to rely on sufficient support for adoption by the council. Furthermore, the results suggest that the implementation of hybrid recruitment method is not a guarantee for representativeness, even though a wide audience is reached with this approach. Overall, the results suggest that the participant arrangements are influential in the adoption phase of the policy process. In this phase, a low level of representativeness results in doubts or objections among decision-makers regarding the policy, whereas a high level of representativeness can give decision-makers more confidence they are adopting a policy that will be accepted in society. These doubts or the extra confidence in the outcome then seem to affect decision-makers' willingness to adopt the policy, thereby allowing the representativeness of the participant group to influence the policy process.

Table 4: Comparative summary of 'Participants' arrangements

Proposition: A higher level of representativeness of the participant group is expected to contribute to a higher level of influence in the adoption stage of the policy process.		Confirmed
	Hengelo	Hellendoorn	NET

Description of participants	Citizens, business representatives, interest representatives (e.g. of estates), local participation platforms Direct participation	Energy groups consisting of local participation forums, interest groups, company clusters Indirect participation through energy groups	Citizens, participation forums Direct participation
Recruitment methods	Hybrid recruitment: Targeted recruitment for those in the search locations + Open recruitment aimed at the whole municipality	Hybrid recruitment: Targeted recruitment directed at existing forums + Open recruitment throughout municipality	Hybrid recruitment: Targeted recruitment for representative citizen group (survey) and participation forums + Open recruitment during webinars to encourage involvement and for other citizens to fill in survey
Participation criteria	No restrictions or characteristics determined Municipality explicitly wanted to reach all citizens	No restrictions or criteria set beforehand; process open to anyone interested	Characteristics of population such as age, gender (Survey) Membership of participation forum
Access arrangement adjusted to digital participation?	No	No	No

4.2.2. Positions and Roles for Participants

All cases made use of participation based on personal interests as well as participation based on a collective or organised interest, although the distribution of these roles differed per case. The processes in Hellendoorn mostly made use of participation through representatives of a particular collective interest. For the most part, these representatives already had this role before the participation processes. NET and Hengelo mostly made use of participation based on individual preferences. In these cases, participation on behalf of a particular interest was mostly a role assigned to non-citizen participants. Hellendoorn was also the only case that indicated having achieved a representative participant group.

The results therefore do not provide a clear answer regarding the function of participants' roles and positions in the design arrangements. The case of Hellendoorn suggests that the participation on the basis of individual preferences was an important addition to ensure representativeness. This implies that including the option for participants to participate based on their individual preferences, in addition to participation by representatives of specific interests and communities, facilitates the realisation of representativeness. This is in line with the expectation that the position and role arrangements in the participatory process contribute to the level of influence in the policy process, through the participant arrangements. However, in NET and Hengelo there is also a distribution of participants taking on the role of representative of a specific interest and participants who are not assigned a specific role but participate based on their own individual preferences. These cases do not achieve representativeness, which might point to the importance of the nature of the distribution of roles in the design, i.e. it is possible that the way the roles were distributed in Hellendoorn made it easier to achieve representativeness. For example, in Hellendoorn citizens were also assigned the role of representative of the interests of other citizens in their geographic location whereas the other cases only assigned a specific role to non-citizen participants. This suggests that the combination of citizen representatives providing input on behalf of other citizens and citizens providing input on the basis of their own preferences, makes it easier to achieve representativeness.

However, it is also possible that there is a different reason for the level of representativeness achieved that is separate from the distribution of roles and positions in the process. For example, the topic in Hellendoorn was concrete from the beginning which might have made participation more attractive for citizens. This in turn might have made it easier to achieve a representative participant group compared to Hengelo and NET where the topic was less concrete throughout the participation processes.

Table 5: Comparative summary 'Positions & Roles' Arrangements

	Hengelo	Hellendoorn	NET
Participation on behalf of particular role or personal preferences?	Citizens participated on behalf of individual preferences Business representatives participated on behalf of entrepreneurial interest and capacities Participatory forum members participated on behalf of forum interests (not of their respective citizens)	Energy groups participated on behalf of their respective interest e.g. location's interests, business interests Citizen respondents in survey participated on behalf of individual interests	Stakeholder participants (e.g. interest groups) expected to participate on behalf of the interest they represent Village councils etc. expected to at least coordinate input with members, but not necessarily to participate on their behalf Individual respondents in survey participate on behalf of own personal interests
Required role present before participation?	Yes	Yes, for the existing participation forums; new members took on this role during the process	Yes

4.2.3. Participants' Knowledge and Information Provision

In all three cases, the information provision had to take place digitally, at least partially. Large-scale general informative platforms were used, such as webinars or presentations for anyone who was interested. Furthermore, in each case, additional measures were taken to inform participants, such as newsletters. In all the cases, existing participatory forums were also mobilised to inform the citizens they represent or who lived in the respective area. The data shows that this was not always a successful approach because those who were not directly involved in the participatory forums were generally not as well informed as those who were involved. Despite this, the respondents from Hengelo and Hellendoorn did not indicate that differences in knowledge levels were found to be problematic during the processes, despite being present. This seems to suggest two possibilities: the knowledge differences among the participants were not large enough to disrupt or otherwise affect the participation processes; or the efforts taken by the municipality to ensure a similar knowledge level among the participants throughout the participation were sufficient. These results seem to suggest that, even though the information provision did not reach everyone equally, the participation process was not negatively impacted. However, these results do not clarify if the proposition is supported or not. That means, based on the results, it is not possible to determine if the information provision arrangements have resulted in more meaningful participation. Therefore, it is also not possible to draw conclusions regarding the expectation that information provision affects the formulation of the policy.

The results from the NET indicate that the information provision towards citizens has been insufficient so far. This is a striking result because of the NET's main goal of informing society. There are a number of possible explanations for this finding. First, it is possible that the abstract nature of the participatory processes so far have made it harder for citizens to understand the topic, despite the informative efforts of the municipalities. Another possible explanation is that, for the information provision to be effective, a combination with other participatory processes is required. This might help citizens to grasp the topic more because they are confronted with it in different ways and engage with it more. Finally, it is also possible that the information provided in NET was simply insufficient or not adequately adjusted to the target audience. Despite the finding that the information provision was insufficient in NET, it is not possible to assess if and how this affected the formulation of the policy. Thus, the results for the information provision arrangements are inconclusive.

Table 6: Comparative Summary of 'Information Provision' Arrangements

Proposition: Information provision arrangements that provide sufficient and appropriate information to participants throughout the participation processes are expected to contribute to a higher level of influence in the formulation stage of the policy process.			Not confirmed
	Hengelo	Hellendoorn	NET
Steps taken to minimise differences	Presentations during energy markets Outline of main points from Environmental Vision process Digital and analogue news letters Information spread through local participation platforms	Presentations providing information to participating forums beforehand Specific information provided through additional means on request and shared with other energy groups where applicable	Information provided during webinars, meetings with village councils and on request for other local forums Introducing survey with general YouTube video Introducing survey questions with some background information and examples
Steps taken effective?	Yes, which shows in the low number of attendees for the information caravan (according to respondent)	Yes, for members of energy groups	No

4.2.4. Interaction arrangements

The data shows that all three types of participant interactions were found in the three cases and that all cases used a combination of interaction arrangements. Based on the description of the interaction methods used, it can be concluded that the cases showed a different extent to which they allowed for the exchange of value judgements. The NET interactions belonged mostly to the 'no active participation' category and therefore allowed this to the least extent whereas Hellendoorn allowed for this exchange the most, which is reflected in the dominance of interaction arrangements in the 'development of preferences' category. Hengelo mostly made use of interaction arrangements in the 'sharing of preferences' category and can be placed between these two cases.

Based on the results, it can be concluded that the interaction arrangements in Hellendoorn allowed for a more complete collection of input than the interaction arrangements in Hengelo and NET. This can be concluded because the arrangements in Hellendoorn allowed participants to share their underlying assumptions leading up to the formulation of their preferences in the form of a proposal. Furthermore, the precise topic of participation in Hellendoorn was not specifically defined so participants were able to discuss what they thought was most relevant and to provide input on these topics in whichever way

they thought most suitable. The interactions in Hengelo and NET made more use of participation based on predefined topics or statements. While these cases did allow participants to share their preferences regarding those statements, the presence of those statements implies less room for the discussion of the assumptions and values underpinning the actual preferences. This implies that, compared to Hengelo and NET, the input provided in Hellendoorn was a better reflection of what participants want, what they find important and why. Based on the arguments found in the literature, this would suggest that the nature of the input collected in Hellendoorn created more of an incentive for decision-makers to consider the input and process it while formulating policy. This is supported by the societal acceptance of the policy in Hellendoorn because the societal acceptance suggests the policy is satisfactory for society. This suggests that the policy aligns with the true preferences in society. In Hengelo and NET, on the other hand, there is resistance towards the policy because of the inclusion of wind turbines. This suggests that the interaction arrangements in Hengelo and NET have not resulted in input from participants that reflects what participants want in a complete enough way. As a result, the true preferences of participants have not been able to influence the formulation of the policy enough to result in the exclusion of wind turbines in the municipal policy. However, based on the data, this cannot be concluded with certainty.

Based on the results, it is clear that the interaction arrangements differed in terms of the levels of value judgement discussion present in the participation processes. However, it is not possible to conclude with certainty that this has resulted in more influence on the outcome. It is possible that this is the case because the outcome in Hellendoorn, where value judgements were discussed most, is accepted by decision makers and society. This implies that the input that was provided has given the municipality enough clarity regarding what society wants, thereby creating an incentive to allow the input to influence the policy. In Hengelo and NET this is to a lesser extent the case, which could explain the resistance to the policy there. However, the data does not allow this to be concluded definitively. Therefore, the researcher acknowledges the possibility that considerations other than the nature of the input resulted in the inclusion of wind turbines in the policies in NET and Hengelo. For example, the desire to adhere to the preferred distribution of wind and solar energy might have influenced the formulation of the policy more, regardless of how certain decision-makers were of the extent to which the input reflected societal preferences.

Table 7: Comparative summary of 'Interactions' arrangements

Proposition: Interaction arrangements that allow for a larger degree of exchange of value judgements are expected to contribute to a higher level of input influence in the formulation stage of the policy process.			Partially confirmed
	Hengelo	Hellendoorn	NET
Interaction between participants and municipality	Yes: through meetings, digital energy markets, survey Interaction with municipality was a main element	Yes: municipality acted as facilitator of the local processes taking place in the energy groups Interaction with the municipality was a secondary element	Yes: through survey, questions asked during webinar and through participation forums Interaction with municipality was limited and mostly one-sided (municipality to citizens)
Interaction among participants	Yes: in work sessions	Yes: in energy groups and between working groups and other citizens	Yes: in participation forums only
Interaction with partners and other participants	No	Yes: in energy groups	No

Inclusion of value judgements in process?	Yes: in working sessions but based on closed agenda	Yes: in the entire process on the basis of an open agenda	Yes: only in survey on the basis of closed agenda

4.2.5. Control arrangements

The results show that the level of participant control differed among the cases and can be observed in different degrees. The highest level of participant control was in Hellendoorn. In Hellendoorn, participants were involved in the process from the start and their involvement resulted in concrete proposals that were copied fully into the municipal bid. This shows that participants were involved in the formulation phase of the policy process. It could even be argued that participation in Hellendoorn was present in the agenda setting phase because the process was designed with so few restrictions and requirements. That implies that participants were free to determine what was most important and what they wanted to focus on, which fits with the agenda setting phase. The energy group proposals in Hellendoorn were copied fully into the municipal bid, which was then ratified by the executive board and municipal council. This shows that the municipality retained formal control in the adoption phase. In Hengelo and NET, the control arrangements limited the level of control participants had over the outcome more. In Hengelo, participation was allowed in line with the 'consultation & advice' category, which suggests that the input gathered throughout the process has been taken into account in the formulation stage but the municipality retained the right to formulate the final bid. This means the municipality allowed the outcome to be influenced by participation, because the input was considered, but not fully because the municipality retained most of the control over the outcome. Thus, the municipality could decide if and to which extent it wanted to incorporate the input into the outcome. The control arrangements in NET assigned the lowest level of control to participants because of the strong focus on informing society that was present in these municipalities. Therefore, the control arrangements provided participants with very limited opportunities to even provide input to the municipalities. This, in turn, allowed the municipalities full control over the formulation of the outcome, specifically because the survey was filled in after the formulation of the policy. However, the NET findings also show that societal input was collected informally, i.e. not in the context of the participation processes. This input has also been considered to some extent in the policy formulation, indicating that societal preferences have had some control over the policy. However, this control is distinct from the control arrangements of the participation processes and is expected to be limited because of the incidental nature of the input.

These results suggest that the level of control assigned to participants does indeed influence the outcome. The results show that when participants have more control over the outcome, they are able to include and exclude foci in the outcome that suit their needs or preferences. This is the case in Hellendoorn, for example, where the participants decided to focus heavily on solar energy rather than wind energy. Because of the level of control assigned to the input, the municipality did not overrule this decision, indicating a high level of influence on the policy process. However, the results from NET show that the control arrangements are not the sole determinants of how much societal actors can exercise control over the outcome with their input. The collection of input outside the context of the specific participation processes in NET shows that citizens have been able to share their input with the municipality in other ways. Therefore, in reality, stakeholders in NET may have had more control on the policy than the control arrangements suggest. Furthermore, the results from the Hengelo case point out the possibility that the control arrangements can be overruled as a result of the politics in the municipal council in two ways. Firstly, the degree of alignment of the policy content with the points of focus of the council parties can affect the level of support for a policy in the council. Including elements in the policy that will please specific parties can therefore ensure broader support in the council. Secondly, coalition agreements and the extent to which the policy corresponds with those agreements are also an influencing factor. These findings are interesting because they suggest that

after the participation processes, the formulation and adoption of the policy might be influenced more by the politics of the council than the design of the process.

All in all, the results regarding the control arrangements lead to mixed conclusions. The case of Hellendoorn supports the proposition that a high level of control for participants leads to a high level of influence on the policy process. Specifically, a high level of control influences the formulation of the policy because participants are more able to determine the content of the policy. However, the cases of Hengelo and NET make clear that the level of control might be less relevant compared to political considerations in the municipal council and input collection that is separate from the participation processes. It must be noted that the level of control in Hengelo and NET is lower than in Hellendoorn. Therefore, it is possible that the overruling power of political considerations in the council only becomes relevant when the level of control is insufficient to give decision-makers confidence that the content of a policy reflects societal preferences. This suggestion seems to be supported by the hesitance among politicians to support the policy in light of the upcoming elections. If the control arrangements had assigned more control to participants in Hengelo and NET, the policy would have been more satisfying for society. In that case, politicians would be less hesitant to adopt the policy. When the level of control does provide this certainty, as is the case in Hellendoorn, it might be harder or less attractive for decision-makers to overrule the content in favour of other political considerations. However, the results do not provide enough information to determine with certainty if that is indeed the case.

Table 8: Comparative summary of 'Control of Participation Input' arrangements

Proposition: Assigning a high level of control to participants will contribute to higher level of influence for participatory input in the formulation stage of the policy process.			Partially confirmed
	Hengelo	Hellendoorn	NET
Control arrangements	Medium level of control: collection and consideration of input but municipality retains full control over formulation of policy	High level of control: noticeable in copying of proposals into final bid	Low level of control: survey was only used as a check and participation processes were not geared towards processing input in decision Input was indirectly taken into account but likely to a differing extent
Scope of topics to be impacted by participants	Broad: participant involvement in Environmental Vision processes and in processes to determine concrete content of policy	Broad: almost no restrictions to the process, implies freedom for energy groups to exercise control where they desired	Limited due to limited input collection
Equal weight attached to all participation input	Yes	Yes	N.A.

The following section will provide the analysis of the contextual factors. This analysis will focus on how the contextual factors outlined in the contextual framework have affected specific design arrangements or the process as a whole. Similarly to the analysis of the design framework, the analysis of the contextual framework will be discussed per factor.

4.2.6. Guidelines for participation

The literature points out that the nature of any relevant guidelines can affect the design of a participatory process. The findings support this expectation because the approach in Hellendoorn and Hengelo follow the steps outlined in the frameworks chosen to guide the participation process. As a result, the process in Hellendoorn made extensive use of participatory forums in the energy groups, assigning them a lot of control and freedom to choose their preferred interaction mechanisms, and Hengelo started early with participation in an attempt to ensure societal acceptance and gather participant input, for example through the energy markets. Also as a result of following what was outlined in the guidelines, the NET has focused on informing society at this stage and leaving the in-depth participation for a later stage in the areas where energy projects are likely to be realised. This all confirms that participation guidelines, when followed, are important determinants for how the processes take place. Therefore, careful consideration should be given to the formulation of relevant frameworks to increase the likelihood of the participation taking place in the desired form.

The results furthermore show that the municipalities rely mostly on their own participation guidelines, rather than on general RES guidelines. The ambition to include a certain share of local ownership in the energy installations when they come, is an explicit element of the processes that links to a general RES Twente ambition. However, apart from this element, the results show that the municipalities have largely opted for their own guidelines and corresponding approaches to participation. Furthermore, it is also noticeable that the municipalities largely make use of guidelines specifically formulated for or in the context of the energy transition, rather than other general guidelines.

Table 9: Comparative summary of 'Guidelines for Participation' contextual factor

	Hengelo	Hellendoorn	NET
General participation framework	No	Yes: Participation Code Hellendoorn	No
RES framework	Yes: Strategic Communication and Participation plan (part of NEH programme)	Yes: Roadmap RES Hellendoorn	Yes: NET wind and solar policy; administrative coordination among aldermen
Other frameworks	Yes: Environmental Vision	No	Principle of keeping costs and profits local

4.2.7. Nature of the issue

All three cases support the expectation from the literature that concrete topics are more attractive for citizens to participate in, whereas abstract topics are less attractive. Particularly in Hengelo and the NET, where the respondents indicated an initially low level of interest and/or participation, this expectation is supported by the findings. The fact that in Hengelo people only became involved, mostly by showing resistance to the plans, when there was a concrete outline of the municipality's plans and when the topic became more concrete is a good example. Furthermore, based on the results, it can be argued that the degree to which the topic is concrete is of more importance for the involvement of participants than whether the processes are short-term or long-term. For example, Hellendoorn displays a generally high level of participation throughout the process, despite being a long-term process like the other municipalities. In Hellendoorn, the focus was on developing concrete plans, i.e. taking into account potential locations etc., from the beginning. This suggests that if the topic is made concrete enough to be attractive to citizens, that can compensate for the long-term nature of the topic.

The literature argues that the presence of complex information in a participation topic is non-ideal and might make the participation processes costly. The data partially supports this argument. For example,

in Hellendoorn the respondents indicated that the citizens proved that they could handle such a complex topic, which increased the municipality's trust in the citizens' capacities. This would suggest that complex information is not necessarily a disadvantage for participation. However, the processes in Hellendoorn were very extensive and it can be concluded that they required a lot of effort from participants and the municipality (in terms of resources) to make them a success. This seems to confirm the expectation that complex information makes participation costly. However, this case shows that the decision to apply participation can be made on the basis of what the municipality is willing and able to invest in participation to ensure its success, rather than whether the topic is complex or not.

Table 10: Comparative summary of 'Nature of the Issue' contextual factor

	Hengelo	Hellendoorn	NET
Short or long-term topic?	Long term: plans leading up to 2030 and as part of a broader sustainable energy focus	Long term: bid leading to 2030	Long term: information and preparation leading up to the implementation of the plans
Concrete topic?	Yes and no: started with focus on an abstract vision but became more concrete with a focus on locations etc.	Yes: plans concretely related to own area, with attention for how exactly to give shape to the task in each area	No: process seems focused on generalities regarding the energy transition
Complexity adjusted to participants?	No	No, but participants grew in their role and showed they could handle it	No

4.2.8. Adaptive capacity in relation to COVID-19

Based on the results, it is clear that the anti-COVID-19 measures brought advantages and disadvantages for the municipalities. It had advantages because it allowed the municipalities to reach different audiences than they otherwise would have with their 'normal' participation methods, such as youth and young families. These findings are in line with the expectations in the contextual framework. Because they were able to adapt to a situation of digital participation, the municipalities were indeed able to reach a wider audience. This was noted in all three cases, although in NET it seemed that the digital participation may have mostly reached a different audience than a wider audience. However, doing the participation online also changed the dynamic of the participation and was sometimes limiting. Despite the disadvantages of and the sudden need for digital participation, the respondents generally indicate being mostly positive regarding how participation took place anyway. A few municipalities in NET are the exception to this conclusion, although it can be questioned to which extent in-person participation would have made a difference for these municipalities, given the informative focus of their processes. However, if the opinion prevails that not enough citizens were involved due to the digital participation, this could result in a negative evaluation of the processes within the municipality. All in all, the adaptive capacity of the municipalities seems to have been, at least, sufficient.

The framework also points out that the ability to set up appropriate digital participation is also influential for the interactions that take place in the processes. The results support this argument. In Hellendoorn the energy groups were left a lot of freedom to organise their own digital participation, so it can be assumed that they were able to settle on a form that fit their group best. In Hengelo, the municipality realised that the digital participation was not suitable for everyone so the non-digital alternatives were offered. This shows that the municipality was aware of the necessity to have an appropriate form of participation in order to make the process successful. These municipalities did not note any significant negative effects of digital participation on how their interactions took place. NET,

however, did note that the interactions were more superficial than they would have hoped, due to the digital participation. This confirms that the choices for adapting to digital participation are indeed influential for the interactions that can take place.

Table 11: Comparative summary of 'Adaptive capacity' contextual factor

	Hengelo	Hellendoorn	NET
Acknowledgement of disruptive effect of pandemic	Yes	Yes	Yes
Steps taken to alleviate disruption	Planned methods switched to digital form (energy markets)	Working groups were able to decide their preferred alternative	Webinars, digital meetings with village councils etc.
Appropriateness of alternative participation methods considered?	Yes, shown in the non-digital alternatives offered to those who are not digitally competent	Unknown, but expected to be yes because alternative methods were determined by the participants themselves	Yes, efforts made to adjust group size

4.2.9. Goal of Participation

The results seem to show that, when followed, a goal set at the beginning of the participatory processes is a strong influencing factor on the design of the participation process. For example, in Hellendoorn, ensuring acceptance of the energy strategy and developing concrete local plans for the energy transition were goals the municipality had set. In line with these goals, the design arrangements allowed for extensive exchange of value judgements and the participants' proposals had a high level of control over the final outcome. As a result, the participation input has had a large influence on the policy and the policy is accepted by society. Thus, setting a goal and designing the process accordingly has influence the design of the interaction and control arrangements. In the NET case, the level of control on the outcome was low, which fits with the NET goal of informing society. Additionally, in the case of Hengelo, one of the goals was to encourage as many people as possible to provide input to the municipality. Based on this goal, the municipality made use of hybrid recruitment methods and different participation methods. Based on these findings, the results show that the goal set for participation is influential for several arrangements in the participation design, not just the interaction and control arrangements.

Table 12: Comparative summary of 'Goal of Participation' contextual factors

	Hengelo	Hellendoorn	NET
Goal set beforehand	Yes	Yes	Yes
Goal	Inform citizens about the energy transition and ways they can decrease their energy use Encourage as many people as possible to provide input to the municipality	Inform society about the energy transition Gain insight into the societal preferences Ensure acceptance of the energy strategy Give shape to the energy transition in a concrete way	Inform society about the energy transition Prepare society for the implementation phase
Effect of goal on design	Input opportunities in each phase of participation Additional participation implemented when input was insufficient	Processes designed with lots of freedom for energy groups and only very limited guidance from the municipality	Processes designed with a heavy focus on informing and preparing citizens for the next step (implementation of projects) through webinars etc.

	Information provision municipality wide and through existing participation forums	Energy groups developed their own plans for the energy transition	Little involvement for businesses

4.2.10. Levels of conflict/trust

The results show that conflict and trust do indeed play a role in the participatory processes, although the way conflict and trust are experienced in the municipalities differs from how trust and conflict are described in the literature. The respondents link conflict mostly to the attitudes of citizens towards the municipality, in the form of distrust regarding the municipality's intentions, for example. In Hellendoorn, the municipality had decided to start with participation as early as possible, a lesson learned from previous experiences. However, this early involvement was new for participants and was actually identified as a source of some distrust initially. Rather than this distrust shaping the design of the participation, the results show a reversed relation. Due to the design, particularly the control assigned to the participation input and the fact that participants felt they were being taken seriously, trust towards the municipality grew throughout the process. The municipality's trust in the citizens' capacities also grew throughout the process as it became clear that the citizens were able to handle big, complex topics.

In NET, conflict was most prominently noticeable at the administrative level. However, this conflict is not manifested as an 'us vs them' attitude, as expected in the literature, rather in the form of opposing views regarding the specific policy elements of the final bid. The conflict has not affected the design of the participation but has led to a delay in the adoption of the policy. In the NET case, there is no reference to previous experiences being related to the current conflict levels between the municipalities. This shows that conflict can also arise in the context of a participation process and directly affect how that process works. Furthermore, the example of the NET shows that conflict can be present at several stakeholder levels and is not only present among citizens or from citizens towards the municipality.

Based on the results, it can be concluded that trust and conflict levels in a municipality are indeed relevant to consider. However, the results do not show that trust and conflict necessarily affect the design of the participatory process. Trust and conflict do, however, affect the progress of the process overall.

Table 13: Comparative summary of 'Levels of Conflict & Trust' contextual factor

	Hengelo	Hellendoorn	NET
(Level of) trust/conflict among participants	Conflict noted between neighbourhoods where potential locations were found Conflict noted based on the attitudes/actions taken in certain neighbourhoods	Conflict noted between areas already at work and areas which were slacking Initially low trust levels grew throughout the process but overall levels differed per area	Conflict noted under the surface between proponents and opponents of the plans (related to the absence of a definitive political decision for wind energy)
(Level of) trust/conflict between participants and municipality	Low levels of trust noted from citizens towards municipality based on the expectation among citizens that the municipality would form its own plan and not take	Initially low due to the expectation that municipality wouldn't take participation seriously and lack of experience (for citizens) with involvement at such an early stage	Low levels of trust noted from citizens towards municipality based on the expectation among citizens that the municipality would form its own plan and

	participation input seriously	Trust grew due to set up of the participation processes	not take participation input seriously
(Level of) trust/conflict between municipality and partners	N.A.	N.A.	Conflict present among partner municipalities as a result of Tubbergen's rejection of the wind policy, which goes against the initial agreement. Conflict present because Oldenzaal is unable to contribute very much, others feel this needs to be compensated somehow
Effect of (levels of) trust/conflict on design	No: Effect noted in interactions between the municipality and the neighbourhoods, but no effect noted on the process	No: opposite was noted, i.e. design of the process helped foster trust	Not on design but on adoption of policy: conflict is delaying the process which is obstructing the cultivation of acceptance

4.2.11. Socioeconomic composition and homogeneity

The literature identified several aspects of socioeconomic composition and homogeneity, some of which can be found to some extent in the results provided by these cases. Based on the results, the aspects of size and homogeneity of the community do not seem to be of influence, because they have not been identified as relevant in the three cases. Other aspects of the socioeconomic composition have been found to be relevant for the participation. The literature states that willingness to become involved in government issues within a municipality can be beneficial for participation because people are more likely to actually participate. In Hellendoorn, there were many participatory forums that had experience with participation on several topics, with the exception of Nijverdal. The presence of these forums suggests that people in Hellendoorn are indeed willing to get involved in government issues. Furthermore, the results show that the processes in Hellendoorn took place without many difficulties or obstacles. This seems to confirm the expectation in the literature that when members of society have a high level of willingness to get involved in government issues, they are more likely to get involved in participation. However, it must also be considered that the participant arrangements in Hellendoorn centred around the participation forums, i.e. the municipality made explicit use of citizens' willingness to get involved. This point is crucial in relation to the other cases. Hengelo and NET also have participatory forums present in their communities but in these cases, more obstacles were noted regarding the participation process, such as a low participation rate, for example. This suggests that simply having a society that is willing to get involved in government issues might not be enough. Ensuring enough people participate might also be related to designing the participation process in such a way that those who are willing to get involved, are put in a position to actually do so. This is an important consideration that could help explain the findings regarding representativeness in the three cases.

The literature also discusses the ability to participate without compromising other priorities. The findings in all three cases indicate that more or other people participated in the digital participation processes than would have been the case in non-digital processes. Particularly, the socioeconomic groups of people between the ages 30-40 and youth were mentioned as being more involved in these processes than would otherwise have been the case. This finding supports the expectation that when

participation methods are adjusted to fit the needs and/or lifestyle of the intended participants, it becomes easier for them to join, thereby increasing the participation rate.

Finally, the literature also discusses the role of a hostile society. The expectation in the literature is that, in a hostile society, participation can act as a source of validation for decisions. The case of Hengelo confirms this expectation somewhat. By implementing additional processes when strong resistance was noted in society, the municipality seems to have been able to reduce the resistance and hostility, although not completely. This is reflected in the statement made by Respondent 9 that there were very few attendees in the final stages of participation, even in areas that had shown heavy resistance. The respondent assumed that this meant the extra steps taken had been effective in reducing the worries that were causing resistance. However, it must be taken into account that there may be other reasons for the low attendance rate. For example, it may be possible that those resisting the plans are looking for other channels to express their opposition to the plans, perhaps by contacting the municipal council. However, the course of events in the two neighbourhoods that were granted control over the placement of wind turbines in their area in future processes also provide some support for the expectation that participation can reduce hostility. In NET, the municipalities also faced hostile citizens. However, there, no reduction of the resistance was noted. This could be related to the choice in NET for an informative participatory process. Therefore, participants were offered fewer opportunities to influence the outcome and validate it.

All in all, the findings confirm that the composition of a community can indeed affect the participant arrangements of the design. In relation to the finding that more or different participants took part in the processes, it must be noted that the aspect of digital participation also played an important role. This emphasises the importance of not only considering specific characteristics of the relevant community for participation, but also that it is crucial to adapt the participatory process to a method that works for each relevant community. By doing so, the required participants may be more likely to participate.

Table 14: Comparative summary of 'Socioeconomic composition' contextual factor

	Hengelo	Hellendoorn	NET
Relevant socioeconomic factors?	N.A.	Area of residence (in relation to experience in participation forums)	Area of residence Age, gender
Effect of these factors on design	N.A.	Those in rural areas and hamlets were found to adapt to the process easier Youth and people aged 30-40 are thought to have participated to a lesser extent compared to other groups, but more than without non-digital processes	Participation was mostly focused on the possible locations for installing sustainable energy techniques Survey respondents initially determined based on characteristics such as age and gender

4.2.12. Organisation of Existing Participation Forums

The findings regarding the effects of having existing participatory forums are similar to those regarding the willingness to get involved in government issues, as discussed in the previous paragraph. Hellendoorn makes extensive use of the participatory forums that are present in the municipality. In line with the expectations from the literature, this allowed the process to take place relatively smoothly. The exception is Nijverdal, where more effort was required from the municipality to encourage energy groups there. However, this exception also supports the expectations from the literature because it shows that when existing participatory forums are not present, the participatory

process requires more effort to get started. The example from Hengelo of the two neighbourhoods being granted more involvement in the municipality's plans also supports this expectation because the initiative for this involvement came from an existing participation forum in one neighbourhood. However, this is a unique example in Hengelo. This implies that it is easier to benefit from having existing participatory forums when the participation process explicitly includes these forums in the process. If that does not happen, the initiative has to come completely from the participatory forums, which might be too big an obstacle for some. However, the examples of the neighbourhoods in Hengelo and of the local groups and clubs in the NET municipalities that made requests for presentations from the municipality about the energy transition, show that it is not impossible to achieve this.

While focusing heavily on existing participation processes can be beneficial for that particular participatory process, the results also point to an important flip-side that must be noted. By focusing on these specific groups, a division may occur in the communities between those who are part of the forums and those who are not. Members of the forums gain more experience and knowledge and are more involved with the topic than citizens who are not members. Even though the municipalities expect the participatory forums to share their knowledge and information with the rest of their communities, it can be expected that this is not 100% successful. For example, in Hellendoorn it was the additional survey that safeguarded representativeness of the entire municipality. Furthermore, it must also be monitored if and how this division changes on the long term. For example, when additional measures have to be taken, the data indicate more resistance can be expected. In that case, it would be interesting to see if the resistance grows more among those who are not in a participatory forum (and therefore less involved) than among those who are.

Based on these findings, it can be concluded that existing participatory forums, when used, can indeed make it easier to reach the desired participants and to implement the interactions within the process. However, how participatory forums are used in the process should also receive consideration because they can be limiting in terms of participants and might not offer the best range of participants. While these forums do indeed make it easier for municipalities to reach certain participants, municipalities must consider that too much focus on these forums might limit the range of input gathered from participation.

Table 15: Comparative summary of 'Existing Participation Forums' contextual factor

	Hengelo	Hellendoorn	NET
Participation forums present beforehand?	Yes	Yes, in most areas	Yes, in Losser, Dinkelland, Tubbergen
Existing participation forums used?	Yes	Yes	Yes
Effect noticed by absence/presence of existing participation forums?	Forums were found to be a useful tool for spreading information In one case, an existing forum took the initiative to become involved in the plans for the energy transition in its area In one case, the perception was that the forum presented different input than the citizens of the respective area would have	Existing forums made process easier because participants were used to providing input Areas where forums didn't exist generally had more difficulty in this process	Existing forums were an important link in the information chain. In Oldenzaal these forums were developed throughout the process

4.2.13. Commitment and administrative prioritisation

In all three cases, it was stated that there was commitment to and prioritisation of participation. Despite this, the reflection of this commitment in the processes differed per case. For example, in Hellendoorn the municipality made use of an energy director to oversee the processes. Furthermore, upon request, the municipality was willing to invest resources into different ways of gathering the necessary information for participants, such as consulting experts and performing studies. This seems in line with the stated commitment. In Hengelo the commitment is also reflected in the municipality's decision to implement additional participation processes when it was clear that the processes that had taken place so far had provided insufficient input. This shows that the municipality was willing to delay the process if it meant collecting more input. These findings confirm the expectation that the commitment a municipality has to participation is important for the participation process as a whole. Similarly, in NET the municipalities have also decided to implement additional participatory processes in the future because the current resistance to the wind policy is bigger than expected and is leading to a delay in the process. However, it is unclear how the municipalities will implement these additional processes.

In the processes so far, NET has chosen for a top-down decision-making process and mostly informative participation processes. While this does not necessarily show a lack of commitment, it seems to suggest that the municipalities, until now, did not prioritise gathering input from society. However, this could be linked a different element found in the results, namely a municipality's vision of participation. The NET municipalities indicated that, for them, participation on the RES as a topic did not make sense because the RES was simply a strategic guiding document. Furthermore, the NET municipalities' vision of participation is that it makes most sense in those areas that will be affected and in the process leading up to the realisation of an initiative. This vision could explain the NET's approach to participation so far, suggesting that a municipality's vision is also important, not just the extent to which it commits to that vision.

Table 16: Comparative summary of 'Commitment and Administrative Prioritisation' contextual factor

	Hengelo	Hellendoorn	NET
Participation as priority?	Yes	Yes	Yes
Priority reflected in actions?	Deployment of resources to formulate communication plan Trying to create resistance to bring the topic to broad attention so many people can participate	Application of Code of Conduct on acceptance and Participation Deployment of 3 employees, including energy director	Efforts to inform as many citizens and other stakeholders as possible

5. Conclusion

In this chapter, answers will be provided to the sub-questions posed in the introduction section of this thesis. Based on these answers, the main question of this thesis will be answered as well. Furthermore, a reflection on the outcomes and conclusions of this research will be provided.

This research set out to answer the research question "*To what extent do the different designs of public participation in three cases in Twente explain the level of influence of participation input on the municipal policy process in the context of the Regional Energy Strategy Twente?*". In order to answer this research question, four sub-questions were posed to guide the research. Answers to the sub-questions can be found below. The research design made use of a comparative case study research, using three cases in the Twente region: the municipality of Hengelo, the municipality of Hellendoorn and the Northeast Twente municipalities (Losser, Tubbergen, Dinkelland and Oldenzaal) who work together in the context of the energy transition. Frameworks were established which were used to gain insight into how the participatory processes took place and how this related to the level of influence of the participation input.

5.1. Answering Sub-question 1

The first sub-question was "How can participatory designs be mapped out?". To answer this question, a design framework and a contextual framework have been developed. For the development of these frameworks, the researcher has drawn from different literature. For the design framework, the researcher has made use of elements of the IAD framework and the democracy cube. Using these elements, the researcher has developed a framework that has been used to schematically map out the design of the participatory processes. The design framework includes five arrangements, each relating to an important element of the process: participants, the positions of the participants, the information provision towards participants, the interactions that take place and the control of participation input. These arrangements formed the basis of the description of the participatory designs. Specific dimensions of these arrangements were highlighted in the description of the process, based on the expected relationships with the policy process as outlined in the theoretical framework. In order to allow for a complete description of the designs used in each case, the researcher also developed a contextual framework. This contextual framework was used to provide clarification for the findings based on the design framework, because of the relation between the context in which participation takes place and how the participation is designed. Therefore, the contextual framework is complementary to the design framework. The contextual framework was developed on the basis of collaboration literature and was confirmed using input from practitioners who are involved with the RES Twente organisation.

5.2. Answering Sub-question 2

The second sub-question was "How have the participatory processes been designed?". To answer this question, the researcher used the design framework to develop a case profile that provides a clear description of the design. The case profile was composed on the basis of the primary and secondary data collected from the cases. These data show many differences in how the three cases approached the participation process. The design of the process in Hellendoorn has invested heavily in a process that is centred around the participants and what they want. This is particularly noticeable in the interaction arrangements and the control arrangements. The interaction arrangements allowed for value judgements to be exchanged, which made it possible to determine the true preferences of participants. Furthermore, the participants, which were the energy groups, were also allowed a lot of freedom regarding important choices in the participation process. For example, in light of the digital participation, the energy groups were able to determine which interactions they wished to implement to facilitate their participation. The control arrangements also allowed the energy groups a high level

of control in the policy process because the energy groups were able to control the formulation stage fully, thereby formulating the policy that was later adopted. The design of the process in Hengelo was focused on collecting as much input as possible from society, with no specific requirements for participants. This is reflected in the different methods used by the municipality. However, the main difference with Hellendoorn is that Hengelo retained control over the final policy. This is visible in the ways the municipality interacted with society, assigning participants the role of advisor or consultant but never giving participants full control over the outcome. The NET processes differed from the other cases most notably in the informative approach to participation. Rather than gearing the process towards gathering input somehow, the processes in NET were focused on informing society and preparing society for the changes that were to come. The municipalities did come into contact with several actors and did allow minimal input through a survey. However, it is clear that, in terms of influence of participation input, the processes in NET score low. In this process, the municipalities retained full control over the outcome.

5.3.   Answering Sub-question 3

The third sub-question in this research was "What is the level of influence of the participation input on the municipal policy process in the context of the RES?". Determining the level of influence was also done on the basis of the case profile which was composed using the primary and secondary data. Based on the findings, it is clear that the levels of influence on the policy process also differed among the three cases. The results show that the participation input had a large influence in Hellendoorn. This level of influence was high because the participation input influenced the adoption stage of the policy process, the formulation stage and to some extent even the agenda setting stage. This shows that participants were able to influence several stages of the policy process, thereby resulting in a high level of influence overall.

The level of influence of participation input in Hengelo and NET is lower than in Hellendoorn. In Hengelo, the level of influence was low to medium because the participants were only able to influence the formulation stage of the policy process. However, unlike in Hellendoorn, the participation input only influenced the formulation stage partially because the input provided was considered by the municipal officials, but the municipality retained control over the actual formulation. The level of influence of participation input in NET was low because the participation input was not granted formal influence in any of the policy process stages. The results show that informal input was collected and considered in the formulation stage. However, the influence of this input is expected to be low.

5.4.   Answering Sub-question 4

The fourth and final sub-question was "To what extent can the level of influence of participation input be explained using the design framework?". To answer this question, the researcher performed an analysis of the results. The analysis used the design arrangements and contextual factors to determine if and how the design of the processes had contributed to the level of influence of the participation input on the policy process. Based on this analysis, evidence is found that the following design elements contribute to the level of influence on the policy process: the representativeness of the processes, which is determined by the participant arrangements; and the level of control assigned to participants.

In Hellendoorn, the level of representativeness of the participant group gave the municipality certainty in the adoption stage regarding the wishes of society. This certainty was absent or present to a lesser extent in Hengelo and NET. Therefore, decision-makers in those municipalities were more hesitant to adopt the policy. The control arrangements determined where in the process participant input was collected, whether specific input was prioritised and how much power the participants had to

determine the content of the policy. In Hellendoorn, participants were allowed to provide input for the agenda setting and formulation stage so they had many opportunities to determine the content of the outcome. In Hengelo, the control arrangements only allowed participants to provide input in the formulation stage but the participant input was not granted full control in this stage. In NET, the control arrangements did not allow participants to provide input because the only participation method implemented in NET that allowed some preference sharing was implemented after the policy had already been formulated. It can be argued that the low levels of control in earlier stages of the policy process in Hengelo and NET are now influencing the adoption stage of the process because of the hesitance among decision-makers to adopt the policy.

Furthermore, the results show that factors other than the design arrangements help to explain the level of influence of participation input. The case of Hellendoorn shows that societal support for the policy has encouraged decision-makers to adopt the policy. Furthermore, the results from Hengelo and NET show that politics in the municipal council also affect how much influence participant input has. This is particularly noticeable because municipal elections will be held soon, so politicians are hesitant to support the policy, even though they realise it is necessary. This hesitance is also enhanced by the resistance from society regarding the policy. Furthermore, the presence of coalition agreements and the specific foci of political parties in the council also determine how much influence the participation input is assigned in the process.

Based on the results it is clear that the interaction arrangements do indeed matter for the type of input collected, as expected. However, the results do not allow for a clear conclusion regarding the relationship between the interaction arrangements and the level of influence on the policy process. The expected relationship between the information provision arrangements and the level of influence has also not been found in the results. It can therefore be concluded that the design framework partially explains the level of influence in the policy process because not all expected relationships are present or confirmed.

5.5.   Answering the Main Research Question

The main research question for this research was "*To what extent do the different designs of public participation in three cases in Twente explain the level of influence of participation input on the municipal policy process in the context of the Regional Energy Strategy Twente?*". Based on the findings of this research, it can be concluded that the different designs of public participation in the three cases partially explain the level of influence of participation input on the municipal policy processes in the context of the RES Twente. Particularly the arrangements that regulate the participants in the processes, the level of control assigned to participants and the possibility for discussion of value judgements in the participatory interactions have been found to be influential. However, the findings also point out that there are factors that are related to politics rather than design that influence the level of participation input.

As argued in the theoretical framework, the participation processes do not take place in a vacuum. Therefore, their design cannot be seen as standalone choices. Rather, they must be seen in light of the context in which the processes take place. To do this, the researcher has also studied the contextual factors that affect the design arrangements and the process as a whole. A unique contextual factor for the processes studied here is the digital adaptive capacity because of the necessity to implement digital participation processes as a result of the COVID-19 pandemic. The research shows that digital participation can help municipalities to reach more or different participants than analogue participation methods do. This is an important finding for future participation processes because it suggests that the municipalities can benefit from more use of digital participation methods in the future, especially if this is combined with analogue participation. Furthermore, municipalities also

stand to achieve better participation levels by making use of existing participation structures. By doing so, municipalities put citizens who are likely to be most willing to participate in a position that they can actually participate and the municipality is able to make use of their experience with participation, which can be beneficial for the interactions that can be implemented. Finally, the results suggest that the nature of the issue in participation processes is also influential for the participants in the process because the nature of the issue determines if the participation processes are attractive enough for the relevant stakeholders. An interesting finding in the research is that the level of concreteness of the topic is possibly more important than the duration for attracting participants and keeping them engaged throughout the process. This represents a challenge for municipalities because making a topic concrete enough may not always be an easy task, especially in light of avoiding oversimplification of the topic.

5.6.   Discussion

This section will first provide a reflection on the implications of this research, both from an academic perspective and a practical one. This reflection is followed by a short discussion of the limitations and strengths of this research. Suggestions for future research will also be provided.

5.6.1.   Implications of the Research

The conclusions drawn in this research show that participation is not only important for ensuring societal acceptability and support but that it also plays a role in how administrators view the outcomes produced by participation. This means that those designing participation need to be aware of what they want to achieve from participation, how they want to achieve it and what the consequences of their choices could be. This also implies the necessity of weighing out different priorities and adjusting the design of participation accordingly. A crucial consideration in this regard is the role the municipality wants to play and what the role is of representative democracy compared to participative democracy. These findings regarding how the different mechanisms work are not only relevant for those in the field who must make these choices in the context of actual participation processes, but also for those studying participation in relation to policy development. This is particularly the case because of the increasing use of participation in decision-making processes and the importance assigned to them in policy areas such as the development of the RES. Therefore, it is important that future research continues to study this relationship, thereby developing a better understanding of the precise mechanisms at play.

5.6.2.   Limitations and strengths

This research approached the research question with a qualitative approach. While this allowed the researcher the opportunity to delve properly into the data and create an in-depth understanding of the cases, the research could have benefitted from some quantitative elements. This would have been particularly helpful for the analysis of the relations to confirm the correlations found. Future research could therefore build on this research by opting for a mixed-methods approach, combining the richness of data from the qualitative approach with the concrete outcomes of the quantitative approach.

Furthermore, given more time, future research could also benefit from widening the scope of the research. For example, this research was rooted in the research context of the RES Twente. This was helpful for this research because it facilitated a clear understanding of the particular processes that took place in this context. However, future research could benefit from comparing more cases and cases in different research contexts. Findings of such research would help to further develop a clear understanding of exactly how design arrangements can affect the level of influence of participation input. Finally, in this research, the researcher was only able to interview one council member per municipality. While this was a crucial contribution to the results because it complemented the other

data well, a recommendation for further research would be to include more council members and possibly also aldermen, thereby allowing for a focus on the full scope of municipal policy officials and decision-makers.

Finally, this research has approached the analysis of the data in a compartmentalised way. Firstly, the researcher has analysed each arrangement and contextual factor separately. The main advantage of this choice is the ability to observe the relationship between each separate arrangement with the level of influence on the policy process and between each contextual factor and the design arrangements. However, this approach has also hampered an integrated analysis of possible interactions among the design arrangements. Secondly, the researcher has excluded possible intervening variables in the research. Potential intervening variables that could explain certain findings have been discussed shortly in the analysis. However, intervening variables have not been explicitly included in the frameworks. As a result, the researcher has experienced difficulties explaining some of the findings. The data provides strong clues regarding the nature of the relationships found but in many cases, concrete conclusions are not possible. The researcher expects that the inclusion of intervening variables would enrich the analysis and allow for an even better understanding of how mechanisms affect the level of influence on the policy process. This research serves as a useful starting point from which to develop analyses that explore the role of intervening variables.

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Appendix 1: Interview Questions

Hengelo

Bestaande kaders

1. Klopt het dat het programma 'Nieuw Energie Hengelo' de basis vormt van de participatieprocessen? Zo ja, kun je uitleggen hoe dit het ontwerp heeft beïnvloedt (bv. Welke overwegingen zijn er gemaakt voor de verschillende punten binnen de strategie)?
2. Zijn er ook aanvullende vereisten of andere kaders geformuleerd door de raad specifiek voor de RES?
3. Welke potentiële participatie kanalen worden overwogen bij de derde stap van de participatiestrategie?

Aard van het onderwerp

4. Hoe zijn de participatie onderwerpen gekozen voor de burgerparticipatie en de participatie met de ondernemers? Welke overwegingen zijn hierbij gemaakt? (Is hierbij rekening gehouden met zaken als complexiteit van het onderwerp, lange termijn/korte termijn onderwerp en aansluiting bij de doelgroep?)
5. Op welke manier heeft de gemeente ervoor gezorgd dat het onderwerp niet beïnvloedt werd door andere onderwerpen?

Aanpassingsvermogen i.v.m. COVID-19

6. Zijn er naast de genoemde vormen (= digitale markten en één op één afspraken) nog andere (digitale) participatievormen geïmplementeerd?
7. Is het gelukt om de doelgroep te bereiken ondanks de COVID-maatregelen?
8. Is het de gemeente gelukt om de participatiedoelen te realiseren ondanks de nodige digitale aanpassingen?
9. Heeft het opzetten van alternatieve (digitale) participatiemethoden het participatieproces in de aanloop naar het RES 1.0 vertraagd of op een andere manier verstoord?
10. Wat is het eindoordeel van de gemeente over de implementatie van de participatiemethoden over het algemeen, gezien de vereiste digitale aanpassingen?

Doel van participatie

11. Was er van tevoren een duidelijk doel opgesteld voor participatie? Zo ja, wat was dat doel?
12. Er worden vier fasen van participatie onderscheiden met bijbehorende werkvormen. Komen deze werkvormen overeen met een bepaald doel van participatie of wordt het doel van participatie anders bepaald?
13. [Komt elke fase voor in een participatieproces of is een fase een heel proces?]
14. (Hoe) Heeft het doel beïnvloedt hoe de participatie is georganiseerd?

Mate van conflict/vertrouwen

15. In welke mate is er sprake van conflict(/vertrouwen) tussen burgers onderling, tussen burgers en de gemeente en tussen de gemeente en andere betrokken partijen?
16. Beïnvloedt de mate van conflict/vertrouwen de manier waarop participatie vorm krijgt? Hoe? (Worden er maatregelen genomen om rekening te houden met de mate van conflict/vertrouwen?)

Socio-economische samenstelling en homogeniteit

17. Toenemende verschillen tussen arm en rijk en bestaande verschillen tussen burgers op het platteland en in de steden worden genoemd. Hebben deze verschillen beïnvloedt hoe de RES participatieprocessen vorm hebben gekregen? Zo ja, hoe?

18. [Zijn er andere socio-economische factoren die van invloed zijn geweest?]

(Organisatie van) Bestaande participatie forums
19. Bestonden er al participatieforums vóór de RES participatietrajecten? Zo ja, zijn die forums gebruikt?
20. Denk je dat de aanwezigheid/afwezigheid van dergelijke forums de participatieprocessen op een manier hebben beïnvloedt/had kunnen beïnvloeden?

Commitment en bestuurlijke prioritering
-

Participanten
21. Welke criteria zijn gebruikt om vast te stellen welke participanten nodig waren binnen de processen? (zowel burgers als andere participanten)
22. Hoe is de verdeling tussen burgers en andere (niet-burger) participanten bepaald?
23. Zijn de participanten gericht/specifiek benaderd of via algemene methoden? [In hoeverre speelt zelf-selectie mee in de benaderingsmethoden?]
24. Welke stakeholders waren aanwezig bij de stakeholder meetings? Welke niet-burger participanten zijn precies betrokken geweest?
25. Zijn de benaderingsmethoden die voor de participanten zijn gebruikt aangepast aan de digitale participatie methoden?
26. [Samenvatting van alle participanten en hoe ze zijn benaderd/geselecteerd]

Posities en rollen van participanten
27. Klopt het dat burgers verwacht werden om te participeren op basis van hun eigen opvattingen (persoonlijke opvattingen en voorkeuren delen) en dat andere stakeholders op basis van een collectieve opvatting verwacht werden te participeren (namens een bepaald belang)?
28. Waren er andere rollen/posities beschikbaar/toegekend tijdens de participatieprocessen?

Kennis van participanten en informatievoorziening
29. Ik heb gezien dat er tijdens de energiemarkten een presentatie is gegeven, was de informatie uit deze presentatie ook beschikbaar voor participanten van andere participatiemethoden?
30. Zijn er andere manieren gebruikt om participanten te informeren en/of om verschillen in kennis onder participanten te verkleinen?
31. [Samenvatting van de gebruikte methoden om informatie te verschaffen en/of kennisverschillen te verkleinen]
32. In hoeverre zijn deze methoden succesvol geweest in het verkleinen van kennisverschillen onder participanten?

Invloed van participatie input
33. Concreet: hoeveel gewicht/bevoegdheid wordt toegekend aan de uitkomst van het participatieproces?
34. In hoeverre wordt aan alle participatie-input hetzelfde gewicht/bevoegdheid toegekend? / Wordt de inbreng van verschillende actoren in de participatietrajecten verschillend verwerkt (met een verschillend gewicht)?
35. Welk participatieniveau (volgens de participatieladder) werd in de participatieve processen geïmplementeerd?

Participant-interacties
36. Klopt het dat de deelnemers alleen interactie hadden met de gemeente en niet met elkaar?

37. Welke mechanismen zijn gebruikt om de interacties en input van de deelnemers in een besluit om te zetten?

Hellendoorn

Bestaande kaders
1. Klopt het dat de participatieprocessen zijn vormgegeven op basis van de participatiecode en de daarin beschreven uitgangspunten in combinatie met de Routekaart RES Hellendoorn?
2. Hoe zijn deze uitgangspunten in de praktijk meegenomen/geïmplementeerd en hoe heeft dit invloed gehad op de inrichting van het participatieproces?
3. [Hoe heeft de combinatie van deze twee kaders in de praktijk gewerkt?]

Aard van het onderwerp
4. Wat was het onderwerp van het participatieproces?
5. In hoeverre werd bij het bepalen van het onderwerp rekening gehouden met de geschiktheid (op basis van mate van complexiteit, concreetheid en lange/korte termijn) van het onderwerp?
6. Is de gemeente erin geslaagd participatie te implementeren op basis van een geschikt onderwerp?

Aanpassingsvermogen i.v.m. COVID-19
7. Hoe heeft de gemeente zich aangepast aan een situatie van digitale participatie? Welke vormen van digitale participatie zijn toegepast?
8. Heeft de gemeente ondanks de Covid-maatregelen haar beoogde doelgroep digitaal kunnen bereiken?
9. Heeft de gemeente kunnen bereiken wat zij wilde bereiken ondanks de omschakeling naar digitale participatie?
10. Heeft het opzetten van alternatieve participatiemethoden het proces dat heeft geleid tot de RES 1.0 vertraagd of anderszins verstoord?
11. Hoe beoordeelt de gemeente de implementatie van participatie in dit proces in het algemeen, gelet op de noodzakelijke digitale veranderingen?

Doel van participatie
12. Wat was het doel van de participatie? (Was dit hetzelfde als het doel dat in het concept RES-proces werd genoemd?)
13. Hoe beïnvloedde dit doel de manier waarop de inspraak werd georganiseerd?

Mate van conflict/vertrouwen
14. In hoeverre is er vertrouwen of conflict tussen de burgers en tussen de gemeente en de betrokken partners?
15. [Hebben de mate van vertrouwen en/of conflict invloed op de wijze waarop participatie wordt georganiseerd (worden er inspanningen gedaan om hiermee rekening te houden bij de organisatie van participatie in de gemeente)? Hoe?]
16. Denk je dat de ervaringen uit het verleden met participatieve projecten van invloed zijn (geweest) op het vertrouwen tussen de burgers en de gemeente? Op welke manieren is die invloed merkbaar geweest in de RES participatieprocessen?

Socio-economische samenstelling en homogeniteit
17. Welke sociaaleconomische kenmerken waren relevant bij het bepalen welke burgers in staat zijn deel te nemen?

18. Hebben deze sociaaleconomische kenmerken op enige wijze invloed gehad op het ontwerp van de participatieprocessen van de RES? Hoe?

(Organisatie van) Bestaande participatie forums
19. Uit de lijst van bij de RES betrokken actoren blijkt dat veel bestaande (participatie)forums bij het proces waren betrokken. Denk je dat de aanwezigheid van deze forums op enige wijze van invloed is geweest op de participatieprocessen? Hoe?
20. Zijn er nog andere relevante participatieforums aanwezig in de gemeente? Zijn deze op enige wijze betrokken geweest bij de participatieprocessen?

Commitment en bestuurlijke prioritering
-

Participanten
21. Hoe heeft de gemeente deze selectie van deelnemers bepaald? (Zowel burger als niet-burger) [Wat waren de relevante criteria/eisen?]
22. Hoe werd de verdeling tussen burger- en niet-burgerdeelnemers bepaald?
23. Werden de deelnemers rechtstreeks benaderd of via algemene wervingsmethoden? (In welke mate speelt zelfselectie een rol bij de werving van deelnemers?)
24. Zijn de wervingsmethoden en criteria voor deelname aangepast aan de digitale participatiemethoden?

Posities en rollen van participanten
25. Klopt het dat alle deelnemers verwacht werden deel te nemen namens hun respectieve (collectieve) belang (bv. burger/buurtbelangengroep of ondernemer)?

Kennis van participanten en informatievoorziening
26. Welke specifieke methoden werden gebruikt om de deelnemers te informeren en de kennisverschillen bij de participatieprocessen in het kader van de RES 1.0 tot een minimum te beperken?
27. In hoeverre zijn deze inspanningen om de kennisverschillen te minimaliseren succesvol geweest?

Invloed van participatie input
28. In welke mate wordt aan alle inspraak evenveel gewicht/bevoegdheid toegekend? (denk ook aan verschil tussen partners en burgers)
29. Wordt de inbreng van verschillende actoren in de participatieprocessen verschillend verwerkt (met een verschillend gewicht)?
30. In welke mate worden de voorstellen van de werkgroepen beïnvloed door hulp/steun/input van de gemeente?

Participant-interacties
31. Hoe werkten de interacties tussen de (burger)deelnemers tijdens het proces van het ontwikkelen van hun voorstellen?
32. Hoe was de interactie tussen de gemeente en de maatschappelijke partners georganiseerd?
33. Vond er interactie plaats tussen de maatschappelijke partners en burgers? Zo ja, hoe?
34. Welke mechanismen werden gebruikt om de door de werkgroepen voorgestelde eindbeslissing te bepalen?

NOT-gemeenten

Bestaande kaders

1. De NET-gemeenten verklaren dat de participatie wordt georganiseerd volgens het windbeleid. In dit beleid wordt echter gesproken over projectparticipatie. Betekent dit dat in deze gemeenten alleen projectparticipatie heeft plaatsgevonden?
2. Waren er andere relevante kaders van kracht die de organisatie van de participatie bepaalden?
3. Waren deze kaders algemeen voor alle NET-gemeenten of gemeentespecifiek?
4. Hoe hebben de bestaande kaders de opzet van de participatieprocessen beïnvloed?

Aard van het onderwerp

5. Werd het onderwerp van de participatieprocessen collectief vastgesteld voor alle NET-gemeenten of verschilde dit per gemeente?
6. [In het geval van een gedeeld onderwerp] Wat was het onderwerp van participatie en hoe is dit bepaald? (denk aan geschiktheid van het onderwerp op basis van complexiteit, concreetheid en korte/lange termijn)

Aanpassingsvermogen i.v.m. COVID-19

7. Hoe heeft NET(/de respectieve gemeenten) zich aangepast aan een situatie van digitale participatie? Welke methoden werden gebruikt?
8. Is NOT ondanks de Covid-maatregelen in staat geweest de beoogde doelgroep digitaal te bereiken?
9. Was de NOT in staat om passende alternatieve participatiemethoden op te zetten, gelet op het doel van participatie en de doelgroep?
10. Heeft het opzetten van alternatieve participatiemethoden het proces dat heeft geleid tot de RES 1.0 vertraagd of anderszins verstoord?
11. Hoe beoordeelt de NOT de uitvoering van de participatie in dit proces in het algemeen, ondanks/gezien de noodzakelijke digitale veranderingen?

Doel van participatie

12. Welke invloed had dit doel op de wijze waarop de participatie werd georganiseerd?
13. Werden er andere doelen gesteld voor de gemeentespecifieke participatieprocessen? Hoe hebben deze doelstellingen het proces beïnvloed?

Mate van conflict/vertrouwen

14. In hoeverre is er sprake van vertrouwen of conflict tussen burgers onderling, tussen burgers en de gemeente en tussen de gemeente en de betrokken partners?
15. Hebben de mate van vertrouwen en/of conflict invloed op de manier waarop participatie wordt georganiseerd (worden er inspanningen geleverd om hiermee rekening te houden bij de organisatie van participatie in de gemeenten/door de NOT)? Hoe?
16. Hebben verschillende niveaus van vertrouwen/conflict binnen de samenwerkende gemeenten invloed op de wijze waarop participatie wordt georganiseerd?

Socio-economische samenstelling en homogeniteit

17. (Hoe) Hebben kenmerken van de sociaaleconomische samenstelling op enige wijze invloed gehad op (de opzet van) de participatieprocessen van de RES? (zowel verschillen tussen de gemeenten als binnen de gemeenten)
18. Welke kenmerken waren in dit verband relevant en hoe hebben zij het ontwerp beïnvloed?

(Organisatie van) Bestaande participatie forums

19. Waren er bestaande participatiefora voor het NET als geheel?

20. [Zou de aanwezigheid van dergelijke fora het participatieproces op een bepaalde manier hebben beïnvloed? Hoe?]
21. Kon/Is er gebruik worden gemaakt van bestaande fora binnen de gemeenten? Hoe heeft dit de participatieprocessen beïnvloedt?

Commitment en bestuurlijke prioritering
22. In hoeverre zag het NOT participatie als een prioriteit in het proces dat tot de RES 1.0. heeft geleid? [Was dit nodig vanuit NOT als geheel of kwam dit van de gemeenten? Hoe heeft dat precies gewerkt?]
23. Hoe heeft die prioritering/commitment zich geuit (Op welke manier was dit merkbaar)?

Participanten
24. Welke specifieke kenmerken zijn gebruikt om de respondenten voor de enquête te bepalen?
25. Is de representatieve deelnemersgroep representatief voor kenmerken van de vier gemeenten samen of wordt de representativiteit per gemeente bepaald?
26. Zijn de wervingsmethoden en criteria voor deelname aangepast aan de digitale inspraakalternatieven?
27. Zijn niet-burgerpartners in het participatieproces betrokken? Zo ja, welke (type partner) en hoe zijn deze geselecteerd?
28. Waren degenen die deelnamen aan de enquête de enige deelnemers of waren er aanvullende (gemeentespecifieke) participatieprocessen?

Posities en rollen van participanten
29. Werd van de deelnemers verwacht dat zij een bijdrage leverden op basis van hun persoonlijke standpunten/voorkeuren of namens bepaalde belangen (bv. als vertegenwoordiger van een collectief)?
30. In het laatste geval, hebben de deelnemers deze rol reeds op voorhand of wordt hun deze rol tijdens het proces toegewezen?

Kennis van participanten en informatievoorziening
31. In welke mate zijn deze inspanningen om kennisverschillen te verkleinen volgens succesvol geweest denk je?
32. [In het geval van (aanvullende) gemeentespecifieke participatieprocessen] Zijn er in elke gemeente verschillende inspanningen geleverd om de kennisverschillen te verkleinen? Hoe hebben deze verschillende inspanningen de kennisniveaus beïnvloed en hoe is dit merkbaar binnen de NOT als geheel?

Invloed van participatie input
33. Concreet: hoeveel gewicht/bevoegdheid wordt toegekend aan het resultaat van het participatieproces?
34. In hoeverre wordt aan alle inspraakinbreng evenveel gewicht/bevoegdheid toegekend en gelijkwaardig verwerkt? (denk aan inbreng van verschillende actoren en van bepaalde gemeenten)

Participant-interacties
35. In welke mate is er interactie tussen de deelnemers tijdens het proces?
36. Welke mechanismen worden gebruikt om de interacties en input van de deelnemers te vertalen in een beslissing?

Invloed vragen

(Inclusie en) Representativiteit

1. In hoeverre is de gemeente erin geslaagd de representativiteit van alle relevante belanghebbenden in het participatieproces te bewerkstelligen?

Vroegtijdige betrokkenheid

2. In hoeverre was het voor de gemeente van belang om vroeg met participatie te beginnen (en waarom)?
3. [In hoeverre is de gemeente hierin geslaagd?]
4. In hoeverre is participatie op een manier georganiseerd dat er ruimte overbleef voor waardeoordelen van participanten?

Rekening houden met de dynamiek van de deelnemers

5. De participanten hebben uiteenlopende kennis en andere capaciteiten. In hoeverre is de gemeente erin geslaagd om hier rekening mee te houden/op in te spelen tijdens de participatieprocessen? [Was dat een prioriteit of doel?]
6. [Heeft dat het uiteindelijke bod op een manier beïnvloed? Hoe? Was dat terecht/passend?]

Effect op individuen

7. Als het uiteindelijke bod wordt geïmplementeerd, wat voor invloed zal dat hebben op individuele actoren en de keuzes die zij nog kunnen maken (omtrent energie)?
8. Als het uiteindelijke bod wordt geïmplementeerd, in hoeverre zal er dan sprake zijn van distributieve rechtvaardigheid (m.b.t. plaatsing van installaties bv.)

Geheel

9. Als je alle bovengenoemde elementen (van acceptatie) in acht neemt, hoe groot is de bestuurlijke acceptatie van het bod denk je? Waarom?

Appendix 2: Coding Scheme

Cgc: Existing policy frameworks
Cgc: Socioeconomic composition & homogeneity
Cgc: Existing participation forums
Cgc: Nature of the issue
Cgc: Levels of conflict/trust
Cgc: Adaptive capacity (COVID-19)
Cgc: Goal of participation
Cd: Commitment and administrative prioritisation
D: Participants
D: Positions & roles for participants
D: Participants' knowledge & information provision
D: Participant interactions
D: Control of participation input
I: Representativeness
I: Involvement for value judgements
I: Early involvement
I: Meaningful participation
I: Influence on content

C = Contextual factor
D = Design arrangement