



ENergies for Local Administrations  
to Renovate Governance in Europe

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# Project: ENLARGE – Energies for Local Administrations to Renovate Governance in Europe

## WP3: Case study analysis

### D.3.4 Report: Knowledge Map

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Comments are welcomed. Please send them to: [contact@enlarge-project.eu](mailto:contact@enlarge-project.eu)



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**ENLARGE** is a two-year project funded European Union's Horizon 2020 research and innovation programme. It aims to generate and disseminate knowledge on participatory governance with focus on sustainable energy, through a process of dialogue and exchange involving policymakers, civil society actors and practitioners.

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## Presentation of the report

ENLARGE aims to generate and disseminate knowledge on participatory governance with a focus on sustainable energy, through a process of dialogue and exchange involving policymakers, civil society actors and practitioners.

WP1 'Methodological approach. Construction of the co-design and co-production matrix' aimed to develop a conceptual and methodological framework of participatory processes, especially in sustainable energy. The conceptual report contains the ENLARGE main methodological assumptions, setting the path for the realisation of the activities of engagement, collection and analysis of relevant participatory practices in the field of sustainable energy. It is available at this link.

WP2 'Engagement and identification of practices' has been aimed at engaging local actors, through the identification of around 50 supporting partners and the launch of a call for practices, with the goal of collecting real experiences of participatory approaches within policies and projects in the field of sustainable energy. A total of 35 cases have been collected and 31 have been selected for further analysis.

WP3 'Case studies' dealt with the in-depth analysis of 31 case studies according to a common template developed in WP1 (scorecard).

This D.3.4 report 'knowledge map' aims to synthesise information collected through the literature review (WP1), the call for exemplary practices (WP2) and the case studies analysis (WP3). The knowledge map has the goal of assisting the discussion to be held during the deliberative event (WP4) and focuses on the relevance, effectiveness, sustainability, legitimacy and success mechanisms of participatory processes. The knowledge map has been finally revised including the insights raised during the deliberative event.

### 1 Goals of the knowledge map

This knowledge map has the goal of providing a structured way to look at collaborative practices and to better understand them. It has been drafted based on the information collected through the 31 case studies analysed by the ENLARGE team, and further discussed during the deliberative event held in October 2017.

The selected exemplar cases do not represent best practices, but rather significant examples of the various types of collaborative approaches and tools identified by the ENLARGE methodology. The ENLARGE project is based on the assumption that no ideal collaborative formats exist. On the contrary, a careful choice of the strategies and tools is key, together with the capacity to adapt the collaborative processes to the characteristics of the context and the dynamics, and to the unexpected events and challenges that can possibly be faced during implementation.

The cases have shown that different solutions can be promoted, based on the goal to be achieved, the different characteristics of the context, and of course, also on the resources available – be they financial, professional, etc.

This draft knowledge map represents a synthesis of the different classificatory dimensions to expand knowledge on collaborative processes. It can be read adopting two types of perspectives. The first perspective is analytical: the map provides researchers, policymakers and stakeholders with a clear identification of the different elements that one can analyse, to better understand the links between the collaborative process and the policy in which it is embedded.

The second perspective is design oriented: the map aspires to provide insights for

polymakers and interested stakeholders that plan to design a collaborative process and to achieve, thanks to participation, better policy goals.

## 2 The ENLARGE analytical framework

The ENLARGE research team has developed a framework to collect disciplined information that develop in four steps, described in Table 1. The framework is also illustrated.

*Table 1 The framework to collect disciplined information from collaborative experiences in the field of sustainable energy*

<b>The policy context</b>	The energy problems to be dealt with, the regulatory framework and characteristics of the policy intervention promoted, the actor involved and their pattern of interaction, and other contextual elements in which the collaborative process takes place
<b>The collaborative process features</b>	The characteristics, methods, tools, timing and resources of the collaborative process carried out to support or complement the policy intervention
<b>The mechanisms</b>	The forms of explanation able to explain why the combination of context features and collaborative process features have favoured the achievement of the expected outcomes
<b>The outcomes</b>	The goals expected or achieved, by the process of engagement of citizens or other stakeholders

### 2.1 The policy context

The first element, the policy context, is relevant because it sets the conditions for the collaborative process to be promoted. The policy context describes elements such as the type of intervention carried out (is it a time-bound project or a complex programme?), the regulatory framework (are there any rules favouring the adoption of collaborative processes?) and the policy phase in which cooperation should/has been promoted (before the decision has been taken, during the implementation or after the termination of the initiative).

Other aspects of particular importance are: the type of problem addressed (what kind of change is expected from the intervention?), the actors involved (are they limited, or does the intervention addresses a broad number of people, eventually the entire citizenship?) and their dynamics (do cooperation or conflict characterise the policy arena?).

The following table resumes the main aspects of the context to be taken into account when analysing a policy that foresees a collaborative approach, or when designing a collaborative approach starting from the context's characteristics.

*Table 2 The policy context: different elements characterising the practices*

<b>The problem to be dealt with</b>	Different examples, such as: renovating and refurbishing an antiquated real estate heritage; find new solutions to overcome the challenges of energy production and consumption in sparsely populated areas; new models of living and moving, with a lower environmental impact and a closer social and institutional cooperation
<b>The type of the intervention</b>	Programme, policy or project; long time span or one-shot intervention; resources available; legal and policy framework; participation mandatory or voluntary; etc.

<b>People affected</b>	Narrow/limited audience vs. wide/general audience
<b>Social and political dynamics</b>	Cooperation vs. conflict (or distrust)
<b>Policy phase</b>	Decision on what to do and how to do it vs. implementation of the decision; Role assigned to collaboration: co-design; co-production; co-evaluation

The context features can explain the worth of promoting a collaborative process. Collaboration can contribute to include interested citizens and stakeholders in the process of decision-making, in order to achieve their endorsement on the proposed solution. It can enhance the cooperation towards the policy implementation, as an example, by reducing or changing the consumption habits of the citizens. Finally, citizens and stakeholders can contribute to the monitoring and evaluation of the initiatives undertaken, thanks to their knowledge and opinions on the results achieved and on the process of achieving them. In other words, the context's characteristics explain why collaboration takes the form of co-design, co-production or co-evaluation.

## 2.2 The collaborative process features

Collaboration comes in different shapes. Collaboration can vary from very simple interventions aiming at informing citizens on the purposes and characteristics of a project, to more complex strategies involving people in both the design and the implementation of the intervention. Tools and techniques also vary, according to the goals to be achieved.

The ENLARGE research team has developed a twofold classification that distinguishes between participatory and deliberative approaches.

**Table 3 Collaborative processes: deliberative and participatory**

<b>Participatory</b>	Participatory processes have the main aim of mobilising and activating citizens in public affairs, in order to influence political decisions directly. The legitimacy of participatory practices lies in the number of citizens they manage to involve and in the strength of the voice they manage to transmit to the political authorities.
<b>Deliberative</b>	Deliberative processes aim at creating public spaces of discussion between different viewpoints, reasons, ideas and interests, in order to take decisions in a constructive and consensual way. For this reason, deliberative processes pay more attention to the balance between different voices than to the detection of a majority voice in civil society; to the quality of the dialogues, rather than to the quantity of participants; to the search for a consensual agreement, rather than to the empowerment of the most representative opinions.

Participatory approaches have a mobilisation purpose: the more people involved, the better. Deliberative processes pay more attention to the balance between different voices, to the quality of dialogue and to the search for a consensual agreement. For this reason, deliberative processes are de facto more challenging for the proposers and difficult to deal with. Participatory approaches can sometimes shrink to mere informative actions, with no real effect on the policy (and the risk of disappointment of the participants in the first hour).

Participatory or deliberative processes can adopt different tools to achieve their goals. The design elements vary accordingly.

As an example, in a participatory model, a co-design collaborative process could *set the arena*

of the participants using an ‘open door’ technique (whoever is interested can join). In the deliberative model, it is recommended to recruit participants with specific characteristics (e.g. equal number of women and men; balanced representation of different interests). The *information processing* could be more or less structured; the deliberative way involves technicians and experts in the debate, while the participatory way leaves room for the direct interactions between policymakers and stakeholders.

A deliberative approach could involve citizens directly in the *implementation* of an intervention, using agreements and contracts (such as, for example, the decision to buy energy from a sustainable energy supplier). Within a participatory approach, it could be more appropriate to provide incentives, such as energy discounts or other forms of gifts, to mobilise the wider audience towards the policy goals.

A deliberative approach to co-evaluation can lead to the recruitment of a balanced commission entrusted to provide judgements on the results achieved by the policy. Alternatively, it can be more participatory in nature if it simply entails periodic occasions for people to exchange information on the policy results.

Table 4 provides exemplar tools that characterise the deliberative and participatory approach commonly presented in literature. The table has been integrated with information raised from the ENLARGE case study analysis.

**Table 4 Collaborative policymaking: deliberative vs. participatory approach**

	Deliberative model		Participatory model	
	Design element	Aim	Design element	Aim
<b>Arena construction</b>	Targeted recruitment of participants	Equal room for different voices and interests	Open door	Maximum mobilisation and participation
<b>Dialogue conduction</b>	Independent facilitation/use of techniques for constructive dialogue	Stimulus to reasoned and equal discussion	Spontaneous interaction and low structuration	Emergence of diffused needs and opinions
<b>Information processing</b>	Involvement of technicians and experts	Development of informed and wiser decisions	Direct interaction between politicians and citizens	Stronger popular control on politicians
<b>Decision rule</b>	Unanimity rule	Reach consensual decisions	Preference aggregation/vote	Identification of the majority view in civil society
<b>Implementation</b>	Agreements, contracts	Overcome impasses and improve policy effectiveness	Motivators and facilitators	Empowerment of citizens and policy effectiveness
<b>Evaluation</b>	Targeted recruitment of a participatory evaluation committee	Equal room for different voices and interests to assess the results achieved	Regular meetings among voluntary participants	To provide a permanent occasion to monitor and discuss progress, and exchange practices

### 2.3 The mechanisms

Another interesting element is the mechanisms that make tools work. Mechanisms are defined as the *causal explanations for why the context features combined with process features shape the behaviours of some policy actors and trigger some kind of change*. The 31 case studies allowed an enriching of our knowledge of the mechanisms at work in collaborative processes within energy-related intervention, as some mechanisms occur with a certain regularity. Table 5 provides a deepening of some of the mechanisms detected.

**Table 5 The mechanisms found in the case studies**

Mechanism	Explanation and sources
Bandwagon effect and threshold model	Bandwagons have a positive feedback loop in which information generated by more adoptions creates a stronger bandwagon pressure, and a stronger bandwagon pressure prompts more adoptions. The threshold model assumes that individuals' behaviour depends on the number of other individuals already engaging in that behaviour (Granovetter, 1978).
Emulation	Emulation is a form of observational learning, different from imitation, which focuses on the action's environmental results instead of a model's action (Bandura, 1977; Wood, 1988).
Moral obligation to keep promises	The moral obligation to keeping a promise is a main point of the social contract theory, and aims to establish and maintain one's good name and honour. It was typical of medieval societies (Rubin, 2007).
Mutual responsibility	Mutual responsibility reduces inadvertent social exclusion and enhances 'peripheral vision', picking up on that which would normally go unnoticed. (Ben-Avie, Ives and Loewenthal, 2015).
Sense of belonging	The need to belong is the need to give and receive attention to and from others. A sense of belonging to a greater community improves your motivation, health and happiness. (Baumeister and Leary, (1995).
Self-efficacy	Self-efficacy refers to people's beliefs in their efficacy to influence events that affect their lives. Unless people believe they can produce desired effects by their actions, they have little incentive to undertake activities or to persevere in the face of difficulties. (Bandura, 1977).
Attribution of threat or opportunity	The attribution of opportunity is highly mobilising. The same can be said of threat. Incentives can mobilise people who react positively to such an opportunity, which is basically exogenous and relates to the domain of the interests (as opposed to values).
Reputation	The willingness to cooperate is increased in the presence of highly esteemed actors: the reputation of the source of information is a very powerful resource for convincing other people to give their adhesion and support. (Rogers, 1995; Abrahamson and Fombrun, 1994).
Feedback	Feedback entails the production, handling and interpretation of information about efforts and outcomes, in the light of previously established aspirations and goals (Cyert and March, 1963; Greve 2003; Barzelay 2007). Performance monitoring and evaluation, communication and visibility of results achieved are the most common tools to give performance feedback on implemented initiatives.

The case studies analysis has shown that one of the most frequently adopted mechanisms is the 'bandwagon/threshold'. This is to say that a nurtured group of experiences dealt with the necessity of spreading knowledge widely, and acceptance of the proposed intervention. Among these interventions, some put specific attention on activating the threshold mechanism, by focusing the engagement initiative starting from the people most keen to innovate, the forerunners and the youngsters.

A sense of belonging and other endogenous mechanisms, such as self-efficacy, characterised other practices and can be traced back in different policy phases (from the arena construction to implementation). *Perception of opportunity* is among the mechanisms mostly linked to implementation and it is often activated through actions that aim at facilitating people to adopt a certain behaviour.

Feedback is the mechanism most linked to the monitoring and implementation phases: different techniques have been fostered for this, from the building of a city's databases on energy consumption, to recurrent meetings among the interested stakeholders, to direct information to the inhabitants on the progress achieved.

## 2.4 The outcomes

A key step of the analytical framework is to discuss the outcomes of the collaborative processes. Which kind of contribution have they brought to policymaking? The ENLARGE project has focused on three types of outcomes of the collaborative processes, which we reiterate here:

*Table 6 Different types of outcomes of the collaborative processes*

<b>Policy effectiveness</b>	The capacity of the collaborative process to influence public policies, and determine some kind of change in one or more of the policy phases: decision-making, implementation or evaluation
<b>Institutional sustainability</b>	The capacity of the process to be integrated in the traditional democratic processes without generating conflicts and resistance by the political authority and civil servants
<b>Social legitimacy</b>	The capacity of the process to be perceived by public opinion as a legitimate tool to take public decisions and improve policy implementation

This classification of the outcomes of collaborative processes is particularly challenging as it asks itself if collaboration has really contributed to the policy process, supporting it without generating disruptive conflicts within the institutional machine, and if it has been perceived as legitimate by the citizens. The proposed classification is not intended to assess the achievement of the policy results, such as for example the number of people who changed their consumption habits and the amount of energy used before and after the intervention. Even though these aspects are key when evaluating an intervention, this classification aims at understanding the specific contribution of collaboration and its possible shortcomings. In a policy-design perspective, the reference to the three dimensions of policy effectiveness, institutional sustainability and social legitimacy are particularly useful to guide policymakers in the construction of a collaborative intervention, paying attention to the possible positive or adverse effects of the solutions envisaged.

The ENLARGE Case Study Report provides an overview of the main collaborative process tools adopted within the 31 case studies. The presentation of the collaborative tools follows the distinctions among arena construction, conduct of dialogue, information processing, decision rules, implementation and evaluation. For each design element a brief description of the context in which it has take place is provided, together with the practice that has featured it and the mechanisms and the outcome to which the collaborative process is linked. We refer to that document for an exhaustive exemplification of the various collaborative tools adopted.

## 2.5 The framework at work: examples from the ENLARGE case studies

This paragraph recaps the main collaborative process tools adopted within the 31 case studies. The presentation of the collaborative tools follows the distinction among arena construction, conduct of dialogue, information processing, decision rule, implementation and evaluation. For each design element is provided a brief description of the context in which it has take place, the practice that has featured it, the mechanisms and the outcome to which the collaborative process is linked.

### Arena construction:

Context features	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
Wide audience, mild distrust/disregard of the energy issues	Creation of a working group composed of citizens, stakeholders and technicians to set goals on energy saving	# 8 Rouge Parish Devel. Plan	Mutual responsibility	SL, IS
Narrow audience, cooperation	Co-design meetings involving the employees and future users of a refurbished structure, such as parents of a kindergarten	# 7 Renovation of Rakvere Rohuaia Kindergarten	Sense of belonging	PE
Wide audience, low level of conflict	Public call to collect expressions of interest for voluntary participation in the initiatives	# 19 Madonie Green community	Threshold	PE, IS, SL

### Conduct of dialogue:

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
Wide audience, low level of conflict, need for widespread awareness in the citizens towards the project goals	Co-design process about the format of a future conference on energy production and consumption, involving forerunner students together with experts and technicians	# 21 Sustainable Santorso	Threshold	IS, SL
Wide audience, low level of conflict, need to design innovative services and identify the rewards to foster virtuous energy behaviours	Public workshops with citizens plus technical tables with local stakeholders and partners for envisioning new urban services	# 31 Sharing cities	Sense of belonging, self- efficacy	SL, PE

### Information processing:

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
Narrow audience of inhabitants affected by the intervention, mild level of conflict, need to explain the advantages of the project	Communication campaigns targeting selected participants with the support of experts and technicians, printed materials and brochures	# 1 wind farm in Korca Region	Bandwagon/threshold	IS, SL
Small rural context, grant for refurbishment, participation mandatory to receive the funding	Face-to face meetings between the mayor and citizens affected by the intervention	# 13 Vaasta Retirement Home	Perception of opportunity, moral obligation to keep one's promises	IS, SL
Urban context, wide audience, presence of actors with a high level of awareness towards the	Creation of a temporary association of voluntary citizens tasked with the coordination of the participatory process	# 2 Living streets, Ghent	Sense of belonging, self- efficacy	SL, IS, PE

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
sustainability issue				
Urban context, different branches of the administration involved, long timespan of the initiative	Intersectoral working group involving employees from different branches of the administration	# 2 Living streets, Ghent	Mutual responsibility	IS
Urban context, goal of motivating households to adopt energy-saving techniques	Door-to-door visits to households, providing personalised energy-saving advice	# 17 Step by Step	Perception of opportunity	PE

*Decision rule:*

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
Participatory process in which citizens decided to organise an energy purchasing group to lower energy costs	Vote of citizens for the preferred option (e.g. to choose the energy supplier)	# 21 Sustainable Santorso	Sense of belonging, self-efficacy	SL, PE, IS
Wide audience, funding to be assigned to the most environmentally-friendly projects proposed by citizens, mild level of conflict among the different stakeholders involved	Commission composed of citizens selected for their expertise and interest tasked with the evaluation of the projects to be funded	# 16 Participatory housing in Strasbourg	Mutual responsibility, reputation	SL, PE, IS

*Implementation: motivators and facilitators*

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
Wide audience, low level of conflict, resources available	Creation of a training centre, involving experts and citizens, for the promotion of energy-saving technologies and the popularisation of energy- and resource-saving ideas	# 3 My contribution to climate change	Bandwagon	PE
Wide audience, need for widespread awareness among the citizens towards the project goals	Organisation of public initiatives and events, such parties, to popularise the material and messages of the project (such as car-free days; yarn bombing, etc.)	# 2 Living streets in Ghent # 4 SEAP of Polotsk	Bandwagon	PE
Wide audience, need for widespread awareness among the citizens towards the project goals	Campaign of awareness-raising dedicated to pupils, with lessons and competitions among schools on energy saving	# 6 Energy wise	Bandwagon	PE
Wide audience, need for widespread awareness among the citizens towards the project goals	Engagement initiatives starting from the most keen to innovation: the youngsters (e.g.: contests directed to architecture students for the construction of public furniture for parks, forerunners bootcamps, providing dedicated assistance to those most interested in	# 4 SEAP of Polotsk	Bandwagon, Emulation	PE

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
	developing specific initiatives)			
Wide audience, need for widespread awareness among the citizens towards the project goals	Collective challenges on energy savings	# 17 Step by Step	Bandwagon, emulation	PE
Narrow/ easily identifiable audience, need to convince people to change their behaviour	Grants for refurbishing apartments; financial assistance and provision of grant guarantee conditions to housing associations for energy refurbishment of multistorey houses; discounts on energy-efficient households appliances	# 11 SmartEnCity	Perception of opportunity	PE
Target audience: pupils; need to maintain engagement towards the project goals	Bonuses (i.e. free entrance to the city zoo, etc.) for those who adopt virtuous behaviour, such as using a sustainable means of transport	# 26 Oscar the snake game	Perception of opportunity	PE
Narrow/ easily identifiable audience, need to convince people to change their behaviour	Support and facilitation tasks for citizens to help them handle administrative and legal requirements to implement the actions (such as applications for energy savings contributions)	# 5 Programme for energy efficiency in multifamily buildings	Perception of opportunity	PE, IS
Narrow/ easily identifiable audience, need to convince people to change their behaviour	Provision of energy-saving kits including, for instance, LED light bulbs and draught excluders for windows	# 17 Step by Step	Perception of opportunity	PE
Wide audience, need for widespread awareness among the citizens towards the project goals	Information points and advisory services in collaboration with the local municipalities; energy help desks as consultancy offices for citizens directly managed by ordinary citizens, giving advice and energy savings tips	# 21 Sustainable Santorso	Perception of opportunity, sense of belonging	PE, IS

### Implementation: Agreements and contracts

Context	Design element/collaborative process features	Ref. case study	Mechanism	Outcome*
Wide or narrow audience, low level of conflict	Purchasing groups: people gather to buy energy technologies together, in order to lower the costs	# 21 Sustainable Santorso # 22 <i>ènostra</i>	Perception of opportunity, Sense of belonging	PE, SL
Narrow/easily identifiable audience	Pilot agreements with private forest owners available to join a common forest management pathway thanks to advantageous contractual solutions	# 18 GE.COO.FOR for the coordinated management of forestry resources	Perception of opportunity	PE, IS

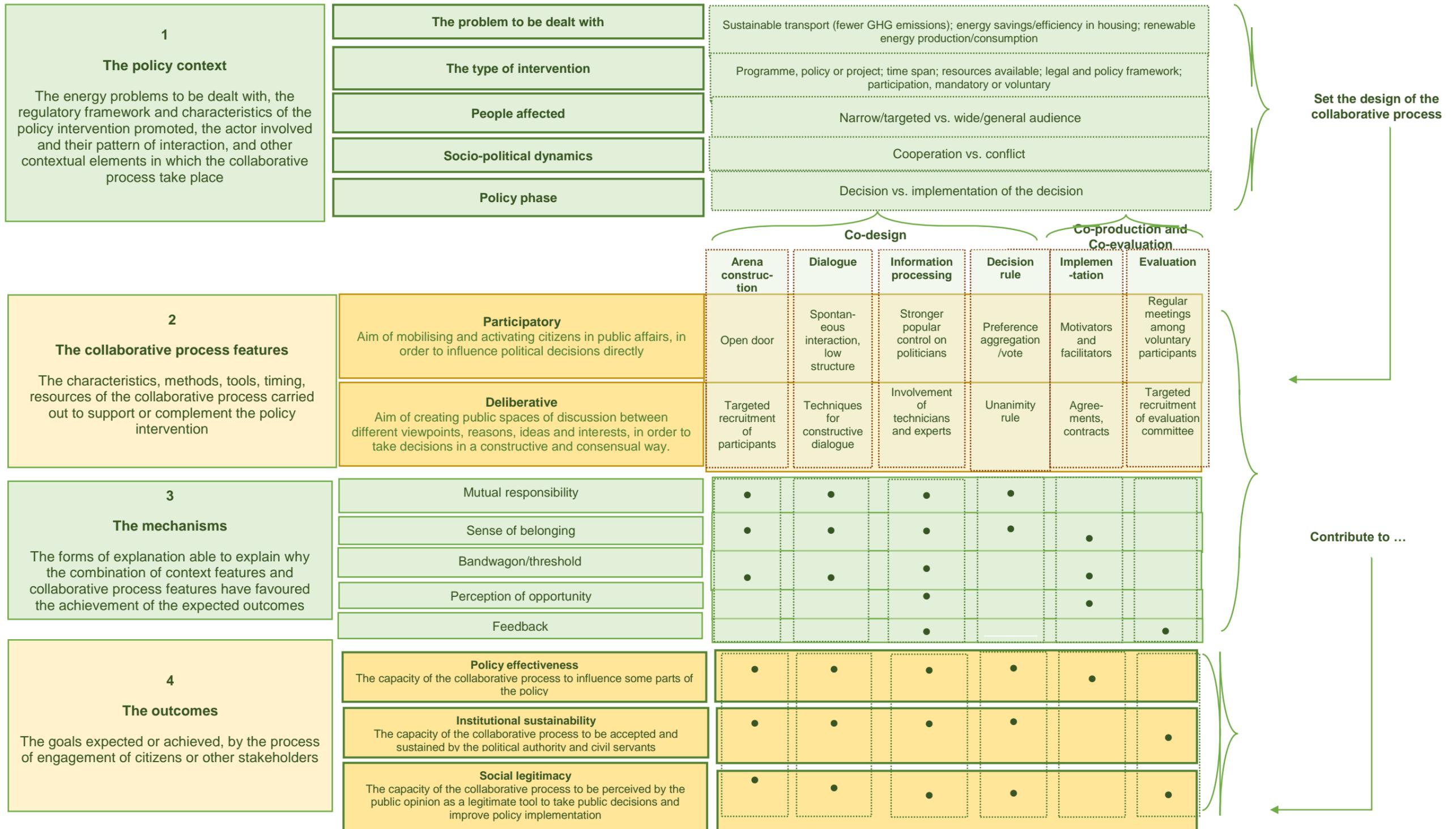
*Evaluation:*

<b>Context</b>	<b>Design element/collaborative process features</b>	<b>Ref. case study</b>	<b>Mechanism</b>	<b>Outcome*</b>
Narrow/easily identifiable audience, need to convince people to change their behaviour	Monthly telephone calls collecting feedback on the household's behaviour and implemented commitments	# 17 Step by Step	Feedback	IS, PE
Wide audience, funding to be assigned to the most environmentally-friendly projects proposed by citizens, mild level of conflict among the different stakeholders involved	Working group composed of citizens, students, local business representatives and media to monitor the implementation of the project	# 16 Participatory housing in Strasbourg	Feedback	SL
Long time span of the initiative to achieve its goals, need to convince people to change their behaviour	Creation of a municipal energy database	# 5 Programme for energy efficiency in multifamily buildings	Feedback	IS

\* PE = policy effectiveness; IS: institutional sustainability; SL= Social legitimacy

### 3 The ENLARGE knowledge map for learning from real collaborative practices in sustainable energy

Figure 1 The ENLARGE knowledge map for learning from real collaborative practices in sustainable energy



#### 4 Indication and recommendation on collaborative governance in the field of sustainable energy

The **ENLARGE Manifest for boosting collaborative processes to achieve relevant results in sustainable energy policies and processes** has **identified some recurrent obstacles** to the social legitimacy, institutional sustainability and policy effectiveness of collaborative processes, as well as **some key ingredients to achieve more satisfactory results**. As already said, a collaborative process should be adapted to the specific characteristics of the context and to the goals of the collaboration within the policy process in which is embedded. However, some general recommendations can be presented here.

*Table 7 Obstacles and key ingredients for collaborative governance in the field of sustainable energy*

<p><b>Recurrent obstacles</b></p>	<ul style="list-style-type: none"> <li>■ Citizens' fear of being manipulated and of hidden interests of public institutions in the process;</li> <li>■ People's low environmental knowledge on sustainable energy-related issues;</li> <li>■ People's late involvement in the process and/or creation of false expectations;</li> <li>■ Scepticism of public institutions and politicians towards collaborative processes and their resistance to collaboration with citizens and stakeholders;</li> <li>■ Rigid delivery procedures and weak communication of the process and of its outcomes at community, political and institutional levels;</li> <li>■ Lack of resources (e.g. knowledge, economic, legal) for the delivery of the process and/or implementation of its outcomes.</li> </ul>
<p><b>Key ingredients for social legitimacy</b></p>	<ul style="list-style-type: none"> <li>■ Openness, inclusiveness and transparency of collaborative processes;</li> <li>■ Early timing of the collaborative process within the sustainable energy policy;</li> <li>■ Continuous interaction and feedback on the process and its performance;</li> <li>■ Official public promise of politicians and administrations to maintain their commitments;</li> <li>■ Reputation and legitimacy of the promoter/manager;</li> <li>■ Ensuring adequate time resources to collaborative processes, especially for complex sustainable energy issues and in contexts with a low level of participatory culture.</li> </ul>
<p><b>Key ingredients for policy effectiveness</b></p>	<ul style="list-style-type: none"> <li>■ Explicitly driven tools to mobilise participation by promoting imitative behaviours;</li> <li>■ Use of tools, such as calls for interest and pilots, to enhance voluntarily participation starting from the most keen to innovate;</li> <li>■ Gaining the support of a relevant number of stakeholders and citizens on the proposed solutions (e.g. through final votes, referendum) to exert pressure on politicians to activate the proposed solutions;</li> <li>■ Provision of incentives or drafting of agreements and contracts, such as purchasing groups, to show the value of joining or collaborating with the policy implementation.</li> </ul>
<p><b>Key ingredients for institutional sustainability</b></p>	<ul style="list-style-type: none"> <li>■ Building the capacities of politicians and administrative staff on public participation;</li> <li>■ Promotion of participatory processes within the administration, involving both politicians and administrative staff;</li> <li>■ Involvement of potential opponents (representatives of opposition parties, sceptical administrative staff, etc.) from the beginning;</li> <li>■ Creation of intergovernmental bodies to ensure involvement of, and coordination and dialogue between institutions at different levels and continuous updates on the process and its performance;</li> <li>■ Continuous interaction and feedback on the process and its performance.</li> </ul>

## 5 A check list for policymakers and other stakeholders

The following table resumes some basic questions and possible answers for people interested in undertaking collaborative processes. A full range of options and alternatives is provided in the ENLARGE CYOA book, available on the ENLARGE website.

*Table 8 A check list*

Key questions	Answers
<ul style="list-style-type: none"> <li>■ Is the involvement of citizens or stakeholders relevant to achieve the sustainable policy goal? Is the request for collaboration mandatory?</li> </ul>	<p>If yes, the undertaking of a collaborative process is highly recommended. Different tools can be adopted if cooperation is requested to shape the decision (co-design), to implement (co-production) or evaluate (co-evaluation) the decision.</p>
<ul style="list-style-type: none"> <li>■ Are the available resources (time, competencies, funding) of the policy adequate to undertaken a collaborative process?</li> </ul>	<p>If no, consider finding extra resources to design and conduct an appropriate collaborative process, such as allocating appropriate time to the process and/or procuring facilitators with appropriate competence on this subject. Otherwise, counter-effects could be difficult to manage.</p>
<ul style="list-style-type: none"> <li>■ Is the target audience limited or does the policy virtually affect the entire population?</li> </ul>	<p>All actors interested in and affected by the issue at stake in the respective process should be included. Appropriate tools can be adopted from face-to-face meetings with all the potential beneficiaries to selected working groups with citizens' representatives.</p>
<ul style="list-style-type: none"> <li>■ Are distrust or conflict particularly relevant within the policy arena?</li> </ul>	<p>If yes, consider involving professional facilitators and/or highly esteemed experts. Minorities' representatives should participate on committees. Clarity of the rules of engagement and transparency of collaborative processes, throughout the entire process and after its end, are key in these cases.</p>
<ul style="list-style-type: none"> <li>■ What kind of collaborative tools should be adopted?</li> </ul>	<p>No model exists. However, it is important to design the collaborative tools in such a way to activate the most useful mechanism to achieve the results, given the policy context. Mutual responsibility on the future actions, a sense of belonging, bandwagon, perception of opportunity and feedback are key mechanisms found in collaborative experiences in the field of sustainable energy; in different ways and circumstances, they can sustain the policy effectiveness of collaboration.</p>
<ul style="list-style-type: none"> <li>■ Have you considered the effects of the collaborative process on the institutional and political apparatus?</li> </ul>	<p>If no, do it. The collaborative process could have disruptive effects on the institutional environment if not correctly managed. Different tools exist to overcome this problem, including an early involvement of the technicians or the creation of intersectoral commissions, to share the responsibility and merit of collaborative processes.</p>