



**RESHAPING EUROPEAN ADVANCES TOWARDS GREEN LEADERSHIP
THROUGH DELIBERATIVE APPROACHES AND LEARNING**

D1.4 Selection of techniques for citizen deliberation on the EGD

**WP1 – State-of-the-art assessment of deliberative and
participatory approaches relevant to the EGD**

Prepared by Pia-Johanna Schweizer, IASS

Reviewed by
Gabriela Donaire Pattzy, ALDA
Heiko Thomas, GCF
Manuela Gervasi, EEB
Ingeborg Niestroy, IASS



REAL DEAL has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101037071. The contents of this publication are the sole responsibility of the authors and can in no way be taken to reflect the views of the European Commission.

Project Summary

REAL DEAL will stimulate a pan-European debate to reshape citizens' and stakeholders' active participation through deliberative processes around the European Green Deal (EGD). It brings together researchers and practitioners of deliberative democracy from a wide range of disciplines including environmental rights and the law of public participation, ethics and responsible innovation, gender studies and ecofeminism, psychology, geography, urban planning, and sustainability studies. It includes the EU's largest civil society networks advocating on the environment, climate, sustainable development, local democracy, and the European movement. It teams up with youth climate, social justice and women's organisations, SMEs, universities and research institutes, mobilising networks with thousands of CSOs, uniting millions of citizens and activating contacts to thousands of policymakers. In a large co-creation exercise, REAL DEAL will develop, test, and validate innovative tools and formats to propel deliberative democracy to the next level. It will test its innovations at citizens assemblies for the transition in at least 13 countries. We will scrutinise pan-European formats ranging from digital deliberation through our online platform www.realdeal.eu to in-person processes such as an Assembly for a Gender-Just Green Deal and a pan-European Youth Climate Assembly. REAL DEAL will co-create a comprehensive protocol for meaningful citizens' participation and deliberation to work towards the objectives of the EGD. It will validate recommendations on how to design such processes and how they can be applied by European institutions, Member States, and civil society alike. Gender equality will be embedded into the project's DNA. It pays specific attention to the leave-no-one-behind principle, fostering the engagement of disenfranchised groups that are disproportionally burdened by environmental damage. REAL DEAL will develop a new model of environmental citizenship across Europe.

Project Information

Acronym	REAL DEAL
Title	Reshaping European Advances towards green Leadership Through Deliberative Approaches and Learning
Project ID	101037071
Funding Programme	Horizon 2020
Topic	LC-GD-10-1-2020, European capacities for citizen deliberation and participation for the Green Deal
Start and end date	1 February 2022 – 31 January 2025
Duration	36 months
Website	www.realdeal.eu

Consortium partners

Logo	Partner	Abbreviation	Country
	INSTITUTE FOR ADVANCED SUSTAINABILITY STUDIES	IASS	Germany
	EUROPEAN ENVIRONMENTAL BUREAU	EEB	Belgium
	ALLEANZA ITALIANA PER LO SVILUPPO SOSTENIBILE	ASviS	Italy
	ASSOCIATION DES AGENCES DE LA DEMOCRATIE LOCALE	AADL/ALDA	France
	CENTRAL EUROPEAN UNIVERSITY	CEU	Hungary
	CLIMATE ACTION NETWORK EUROPE	CAN EUROPE	Belgium
	DIALOGIK	DIA	Germany
	EUROPEAN MOVEMENT INTERNATIONAL	EMI	Belgium
	GLOBAL CLIMATE FORUM	GCF	Germany
	FORENINGEN NYT EUROPA	NYT EUROPA	Denmark
	SOLIDAR	SOLIDAR	Belgium
	TECHNICAL UNIVERSITY OF BERLIN	TUB	Germany
	TRILATERAL RESEARCH	TRI IE	Ireland
	WAGENINGEN UNIVERSITY & RESEARCH	WR	Netherlands
	WOMEN ENGAGE FOR A COMMON FUTURE	WECF	Germany
	YOUTH AND ENVIRONMENT EUROPE	YEE	Czech Republic

Lead Contributor	Pia-Johanna Schweizer (IASS)
	pia-johanna.schweizer@iass-potsdam.de
Other Contributors	Gabriela Donaire Pattzy, ALDA (Contributor)
	Kristina Naunova CAN EUROPE(Contributor)
	Stephen Stec, CEU (Contributor)
	Piet Sellke, DIALOGIK (Contributor)
	Manuela Gervasi, EEB (Contributor)
	Frederik Hafen, EEB (Contributor)
	Patrizia Heidegger, EEB (Contributor)
	Jeffrey Moxom, EEB (Contributor)
	Sebastian Rodriguez, EMI (Contributor)
	Heiko Thomas, GCF (Contributor)
	Carlo Jaeger, GCF (Contributor)
	Ilan Chabay, IASS (Contributor)
	Solène Droy, IASS (Contributor)
	Armin Haas, IASS (Contributor)
	Luca Johannsen, IASS (Contributor)
	Ingeborg Niestroy, IASS (Contributor)
	Ortwin Renn, IASS (Contributor)
	Kathinka Schliecker, IASS (Contributor)
	Jacob Jørgensen, NYT EUROPA (Contributor)
	Julie Rosenkilde, NYT EUROPA (Contributor)
	Hilmi Tekoglu, SOLIDAR (Contributor)
	Aine Sperrin, TRI IE (Contributor)
	Amelia Williams, TRI IE (Contributor)
	Thomas Blanchet, TUB (Contributor)
	Hanna Gunnarsson, WECF (Contributor)
	Rose Heffernan, WECF (Contributor)
	Anke Stock, WECF (Contributor)
	Else Giesbers, WUR (Contributor)
	Mark Ryan, WUR (Contributor)
	Janita Sanderse, WUR (Contributor)
	Lucia Sanchez, YEE (Contributor)
	Contributions from REAL DEAL Advisory Board Members

Due Date	31.01.2023
Delivery Date	31.01.2023
Type	OTHER
Dissemination level	PU = Public

Document History

Version	Date	Description	Reason for Change	Distribution
V1.1	10.01.2023	Submission for internal review	Revision based on internal quality assurance process	10.01.2023
V1.2	31.01.2023	Final submission		31.01.2023

Table of contents

1. Introduction	8
2. Survey.....	8
2.1.General views on citizen participation and stakeholder engagement.....	8
2.2.Views on citizen participation and stakeholder engagement with regards to specific formats.....	9
2.3.Qualitative feedback concerning advantages and disadvantages of formats as well as suggestions for improvement.....	12
3. Workshop	14
4. Suggestions for a procedural framework.....	16
4.1.Set-up and sequences	16
4.2. Taking multiple contexts into account.....	16
4.3. Process co-design framework	17
5. Conclusions.....	19
6. Annex.....	21
6.1. Survey results.....	21

Executive summary

The deliverable constitutes of a selection of tools, formats and techniques for citizen participation and deliberation that the consortium proposes for consideration in subsequent tasks with regards to operationalisation and testing.

Several steps were taken in T1.4 to achieve this aim. First, a survey was conducted amongst the consortium to assess deliberative and participatory techniques and formats. Second, a 2-day online workshop was hosted for all consortium members to discuss and jointly decide on tools and formats for citizen participation and deliberation for further consideration and potential operationalisation in WP3 supporting the sustainability transition of the EGD. Based on the assessment of deliberative and participatory formats in the survey and the workshop, the consortium made the decision to consider the following formats for implementation in WP3.

1. Citizens' Assembly or Citizen Forum
2. 21st Century Town Meeting®
3. Public Hearing
4. Public Participation Network
5. Roundtable or Stakeholder Panel
6. Focus Group
7. Analytic-deliberative Discourse
8. Group Delphi
9. Participatory Modelling

Furthermore, the consortium decided to focus on the following points going forward in the REAL DEAL project.

- Stakeholder-focused formats such as Roundtables, Stakeholder Panels, and Stakeholder Workshops should be connected with citizens-focused formats such as Citizens' Assemblies
- Random selection is advised for recruiting citizens. However, stratified random selection in addition to extra effort for recruiting underrepresented groups is considered important.
- Safe spaces should be created especially for marginalised groups, e.g., by use of focus groups.
- Expert input with respect to evidence is considered important. Formats like Expert Delphis or Group Delphi support this aim.
- A modular design should be considered for implementation with the aim of having methods and tools run in parallel or in a sequential design for different phases (information phase, capacity building, discussion phase, decision phase).
- Creating safe spaces (online and offline) should be a priority.

List of figures

Figure 1 ..Heuristic framework for making subsequent iterative choices of formats and events	16
--	----

List of tables

Table 1 List of acronyms/abbreviations	7
Table 2 Glossary of terms	7
Table 3 Overview of deliberative and participatory formats assessed in T1.4	11
Table 4 T1.4 survey respondents' view on advantages of specific deliberative and participatory formats	12
Table 5 T1.4 survey respondents' view on disadvantages of specific deliberative and participatory formats	13

List of acronyms/abbreviations

Abbreviation	Explanation
EGD	European Green Deal

Table 1 List of acronyms/abbreviations

Glossary of terms

Term	Explanation
Deliberation	The term deliberation refers to the style and procedure of decision-making without specifying the participants who are invited to deliberate. For a discussion to be called deliberative, it must rely on a mutual exchange of arguments and reflections rather than on decision-making based on the status of the participants, sublime strategies of persuasion, or socio-political pressure. Deliberative processes should include a debate about the relative weight of each argument and a transparent procedure for balancing pros and cons.
Participation	The term participation refers to different mechanisms and processed for the public to express opinions and exert influence in policymaking
Inclusion	Inclusion refers to the engagement of various perspectives in decision-making processes.
Safe space	A safe space is somewhere either online or in person where those in the space should be free from any form of violence. This includes discrimination based on any characteristics or identities. Creating such safe spaces usually requires pre-emptive work, such as letting people know that it is a safe space and that violence will not be tolerated, ensuring that everyone has space to speak if they want to, and creating an atmosphere where people feel comfortable regardless of who they are.
Closure	The term refers to decision-making mechanisms by which a deliberative and participatory process can be concluded. Closure can be achieved by voting, seeking consensus and/or mapping diverging views.

Table 2 Glossary of terms

1. Introduction

This deliverable is the outcome of T1.4 “Select and review tools, formats and processes deemed most suitable for citizen deliberation in the EGD” and constitutes the final building block of the REAL DEAL WP 1 “State-of-the-art assessment of deliberative and participatory approaches relevant to the EGD”. It focuses on deliberative and participatory tools, formats and techniques in the context of the EGD. The deliverable constitutes of a selection of tools, formats and techniques for citizen participation and deliberation that the consortium proposes for consideration in subsequent tasks with regards to operationalisation and testing. Special attention has been paid to questions of inequality and inequity, conflicting values and interests; and how participation can overcome structural barriers that hinder marginalised and under-represented societal groups in taking on an active role in implementing the objectives of the sustainability transition in the context of the EGD.

Several steps were taken in T1.4 to achieve this aim. First, a survey was conducted amongst the consortium to assess deliberative and participatory techniques and formats. Second, a 2-day online workshop was hosted for all consortium members to discuss and jointly decide on tools and formats for citizen participation and deliberation for further consideration and potential operationalisation in WP3 supporting the sustainability transition of the EGD. This deliverable presents results of both phases and presents suggestions for a procedural design framework for further consideration in WP3.

2. Survey

The purpose of asking the members of the consortium to answer the survey was to provide a collective assessment of the preferences and valuation of the issues and formats that will most effectively address inclusion, empowerment, and closure in regard to specific concerns and contexts. This qualitative information is essential for guiding the decisions that must be made as to which formats and questions should be used in empirical testing of participatory deliberative democratic processes in WP 3.

For an initial assessment of a wider range of deliberative and participatory approaches, a survey was developed. The survey documents an assessment and comments on the formats and methods options delineated in D1.2. All consortium partners were invited to complete the online survey in a fixed period. The final sample included 12 participants (12 out of 44 individuals who received an invitation to participate in the survey). The survey was structured in three parts as described below.

2.1. General views on citizen participation and stakeholder engagement

First, all respondents were asked to give their opinion on several objectives generally associated with deliberative and participatory processes in support of the EGD. These questions are intended to find out about the consortium members' preferences regarding the purpose of participation and citizen and stakeholder engagement in general regardless of the formats.

The questions are posed on the following issues and purposes of citizen participation and stakeholder engagement: *Do you agree that the following should be an objective of deliberation and participation / citizen / stakeholder engagement?*

- Identify what is most important to the affected or concerned public

- Address specific issues that are important to the public, e.g., migration, climate change
- Create opportunities for fair and open discussion
- Allow all interested individuals to have their voices heard
- Level the playing field of influence in society
- Allow opposing parties to negotiate decisions
- Balance power among social groups
- Expose structures of power in society
- Correct social injustices
- Protect decision makers from liability
- Avoid delays in implementing a decision
- Decrease costs of implementing a decision
- Give the public the power to make decisions
- Address the potential needs of future generations and voiceless non-human species
- Increase trust in institutions
- Facilitate responsible innovation of novel technologies

These statements reflect the criteria developed in REAL DEAL (see D1.1 and D1.2) with regards to meta-criteria, evaluation criteria (outcome and process) as well as the crucial goals of inclusion, closure and impact.

Respondents were asked to indicate their preference on a 5-point Likert scale (strongly disagree - disagree - neither agree nor disagree - agree - strongly agree).

2.2. Views on citizen participation and stakeholder engagement with regards to specific formats

Second, the survey posed the same questions for 10 formats (see table below), in order to discover what the respondents think of the formats and what they fulfil.

Formats	Descriptions
Citizen's Assembly	This format engages randomly selected citizens to deliberate on a chosen issue. Initially, time is devoted to learning about the topic, including with expert input. After deliberation, recommendations are proposed, prioritised, and submitted as a report

21st Century Town Meeting®	This is a public forum in which a particular preselected issue is deliberated in small groups at multiple locations. The aim is to increase the number of participating citizens, while maintaining a high quality of deliberation. Information on the issue for deliberation is distributed beforehand and participants are given prepared questions for deliberation, which are then tabulated across all groups, resulting in reports for wide distribution.
Citizens' panel or planning cells	As an effort to help decision-makers' process and engage a wide diversity of citizens, groups of randomly selected citizens co-develop a set of policy recommendations on a specific issue. The citizen participants have the opportunity to learn about the technical and policy aspects of the topic and then to deliberate on and evaluate the options and consequences in terms of their own perspectives and values.
Public hearings	Public hearings are primarily intended to offer an opportunity for citizens to voice their opinions on an issue that is or may be under consideration by an agency or organization. Citizens hear the arguments of experts and then add their questions and comments.
Public participation network	A public participation network is an on-going connection set up by local authorities between community groups of citizens and the local authorities/agencies to facilitate communication that can influence delivery of services to the communities. In biannual meetings of the network, decisions are taken by voting with each member group having one vote in plenary.
Roundtable or stakeholder panel	This format brings together stakeholder groups and administrative agencies in small group settings to discuss a particular issue with support from a neutral professional moderator. A protocol or summary of the discussion is circulated to participants and, in some cases, as recommendations for decision-making.
Focus group	Moderated workshop format intended to solicit feedback on a topic from a small group of selected participants, especially including those who are less likely to join larger participatory events.
Analytic-deliberative discourse	This format brings together the expertise and interests of the public, experts, and stakeholders for making informed decisions on complex issues. The aim is not only to share responsibility for dealing with risks among those affected by potential consequences of actions, but primarily to enhance competence of participants in the decision-making process. In the third step of a multi-stage process, randomly selected citizens evaluate decision options regarding stakeholder interests, expert inputs, and their own interests as citizens.
Group Delphi Method	The Delphi method is a structured iterative process of converging on an evaluation of long-term forecasts or scenarios on a subject of concern by a group of subject-matter experts. It requires a survey of expert opinions on the subject, which often includes the

	experts' estimation of the uncertainty in their expectations for the forecast. The survey then is analysed by the organisers of the process and the results fed back to the experts for further responses and discussion, which leads to a report on the results.
Participatory modelling	Participatory co-creative modelling is a process in which stakeholders and citizen groups join in developing a model as an interactive form of representation that allows for shared meaning-making and decision-making regarding an issue or challenge of concern to the participants. Having participants provide direction, priorities, and feedback to the modelers based on their interpretation of the model output offers them insight into the functions and value of models in decision-making and greater understanding of the particular issue at hand. The models can take a wide variety of forms, including games, stories, and visual representations.

Table 3 Overview of deliberative and participatory formats assessed in T1.4

This initial set of formats was selected because it provides a broad spectrum of approaches with regards to citizen participation and stakeholder engagement as well as expert consultation. The respondents were asked to assess these formats with regards to the following statements on a 5-point Likert scale (strongly disagree - disagree - neither agree nor disagree - agree - strongly agree).

Do you agree that the described format fulfils the following objective of deliberative and participatory processes:

- Identify what is most important to the affected or concerned public
- Address specific issues that are important to the public, e.g., migration, climate change
- Create opportunities for fair and open discussion
- Allow all interested individuals to have their voices heard
- Level the playing field of influence in society
- Allow opposing parties to negotiate decisions
- Balance power among social groups
- Expose structures of power in society
- Correct social injustices
- Protect decision makers from liability
- Avoid delays in implementing a decision
- Decrease costs of implementing a decision
- Give the public the power to make decisions

- Address the potential needs of future generations and voiceless non-human species
- Increase trust in institutions
- Facilitate responsible innovation of novel technologies

The results of the quantitative parts of the survey can be found on Annex 1.

2.3. Qualitative feedback concerning advantages and disadvantages of formats as well as suggestions for improvement

Third, the survey concluded with three open ended questions which allowed the respondents to assess the formats and express their preferences as well as make suggestions for improvement. Respondents addressed the following questions:

1. What do you like about the formats? Please note some examples of formats that you think are good examples.
2. What do you not like about the formats? Please mention formats that contain certain undesirable features.
3. Do you have any suggestions for methodological improvements, e.g., by combining elements or adding features?

With regards to advantages, respondents singled out a number of formats.

Format	Advantages
CITIZEN ASSEMBLIES, FORUMS	targeted towards the non-organised public; public, big, attention-grabbing events that can lead to pressure on decision-makers
ROUND TABLES, STAKEHOLDER PANELS, HEARINGS	targeted towards organised stakeholders
21ST CENTURY TOWN HALL MEETINGS	good way for including people in decision making, negotiating compromises, & decision making between opposing parties or viewpoints
FOCUS GROUPS	small, safe spaces which can lead to broader social inclusion and thus also diversity
ANALYTIC-DELIBERATIVE DISCOURSE	joint deliberations in which stakeholders, experts and citizens all discuss the same issues are a plus

Table 4 T1.4 survey respondents' view on advantages of specific deliberative and participatory formats

In addition to their view on formats, respondents provided feedback on responsibilities and issues associated with the facilitator's or moderator's role as well as wider reaching considerations on the role of deliberative and participatory processes at large.

- in all formats, moderators are important to ensure an open and fair discussion
- Involving many citizens and stakeholders can increase trust in institutions and account for better understanding amongst citizens

- good reporting for citizens who are not included in the deliberative processes is necessary
- robust methods of gathering opinions from a wide variety of actors and stakeholders are an advantage

Respondents associated the following disadvantages or issues with specific formats.

Format	Disadvantages
CITIZEN ASSEMBLIES, FORUMS, MINIPUBLICS AND OTHER DELIBERATIVE FORMATS	Do not lend themselves to voting as a form of closure
ROUND TABLES, STAKEHOLDER PANELS, HEARINGS	Can seem to be only a token representation of citizens
STAKEHOLDER PANELS	Reinforce current power imbalances
PARTICIPATORY MODELLING AND THE GROUP DELPHI	Homogeneity of participants may lead to counter-productive groupthink and lock-in
21ST CENTURY TOWN HALL MEETINGS	Does not create a safe space for disenfranchised societal groups

Table 5 T1.4 survey respondents' view on disadvantages of specific deliberative and participatory formats

Furthermore, respondents identified several general issues, esp. in relation to the role of citizens.

- Voting should not be part of formats that rely heavily on deliberation, e.g., citizen assemblies.
- Token representation of citizens, e.g., in stakeholder panels or roundtables should be avoided.
- Premature closure should be avoided. Citizens should be given the opportunity to discuss the wider implications of an issue.
- Formats such as participatory modelling and Group Delphi call for a homogenous group of participants which can lead in counter-productive group-think and lock-in.
- Citizens should be given more influence with regards to topic selection.
- Experts and stakeholders should not overrule citizens.

Concluding the survey, respondents made suggestions for methodological innovations, several of which pick up on drawbacks identified with some of the formats.

- Citizens should have more influence in co-deciding the selection of topics that are discussed.
- A combination of Group Delphi, Round Table and Citizen Assembly combines aspects of expert advice/knowledge integration, stakeholder consultation, deliberation and participation for maximum benefit.
- The needs of disenfranchised societal groups are often glossed over in large-scale deliberative and participatory processes based on random selection. Targeted focus groups could compensate for this shortcoming.

- Where random selection is not essential, participants can be recruited via activate public participation networks and local authorities.
- Financial reimbursement should be offered to lower structural barriers for increased accessibility.
- Online tools such as ideation or voting can be used to collect ideas and opinions of a larger group which can be then discussed during, for instance, a roundtable or a stakeholder workshop.
- Transparent communication and documentation of processes and results is key to ensure buy-in from people who are not directly involved.
- Facilitators play an important role in various respects, e.g., for maintaining safe spaces for discussion, for supporting learning, co-design, and co-creation.

3. Workshop

Following up on the survey an online workshop was held on December 14 and 16, 2022 to which all consortium members had been invited. 36 participants attended in total, including members of the REAL DEAL advisory board. The online workshop was split into four segments of two hours each, spanning the mornings and afternoons on both days. The aim of the workshop was to jointly discuss and select tools and formats for citizen participation and deliberation for further consideration and potential operationalisation in WP3 supporting the sustainability transition of the EGD.

The following sections provide an overview of key take-aways from the workshop and decision taken by the consortium with regards to selecting tools and formats for consideration in WP3.

Based on a discussion of the survey results, several key take-aways with regards to specific formats stand out.

- Citizen Assemblies and Citizen Forums: provide opportunities for the non-organised publics to engage with issues
- Round Tables, Stakeholder Panels and Hearings: offer opportunities for organised stakeholders
- 21st century Town hall meetings: are a good way for negotiating compromises between opposing positions and facilitating decision-making
- Focus Groups: provide safe spaces for disenfranchised social groups, allow a deep dive into specific issues, but do not lend themselves to conflict resolution
- Analytic-deliberative discourse: the various iterations between stakeholders and citizens modules are an advantage
- Group Delphis: are a good technique for bringing in expert advice and knowledge

The discussion focused inter alia on the following topics.

- Context: Workshop participants agreed on the importance of context for selecting formats and tools of deliberative and participatory approaches in support of the EGD. Context plays a role with regards to multi-level governance and connectivity between governance levels. It also plays a role with regards to conflicts, stakeholders, different problem framings and the (often iniquitous) distribution of risks and benefits of policies across society and societal groups.
- Thematic focus: Contextual constellations change with the thematic focus. Participants agreed that a narrower focus on Green Finance, traffic/mobility, and food/agriculture should be considered as the REAL DEAL project proceeds with the aim to limit variability to a manageable level for testing formats and tools in work package 3.
- Inclusion of marginalised societal groups: Extra effort should be put into mobilisation and inclusion of vulnerable, marginalised, or under-represented social groups. This should go hand in hand with creating safe spaces and room for in-depth discussions. Focus groups lend themselves to this task.
- Citizen participation: Active engagement and participation of the non-organised public is considered key for reaching the objectives of the EGD both with regards to an involvement in decision-making processes, as well as with regards to follow-through and support of policies relating to the sustainability transition. However, token participation must be avoided. In that regard, citizens should be given some leeway in the problem definition phase as their everyday experience provides valuable insights into the complexity of issues concerning the objectives of EGD and related policies.
- Stakeholder engagement: Stakeholder consultation and engagement is considered an important mechanism for creating leverage in support of the EGD. However, attention should be paid in concrete processes which also include citizens that stakeholders do not dominate the discussion as they are often highly trained and loquacious individuals.
- Role of the facilitator/moderator: Different styles of moderation might be appropriate for various contexts, audiences and topics. Irrespective of context, a key requirement is that the moderator creates safe spaces for discussion.
- Digital tools: Digital tools are an innovation that can be an effective instrument in participatory and deliberative processes, either as an addition to in-person meetings, e.g., as a tool for ideation or voting, or – if the need arises, for instance under pandemic conditions – as a surrogate for in-person meetings. Innovative tools like Decision Theatres¹, which combine mapping of interrelated systems, iterative analysis as well as engagement and co-creation, are promising and should be explored further. But differences in digital literacy and accessibility as well as safety issues must be considered.
- Sequential design/modular approach: There is no one-size-fits-all format, tool or technique that would be applicable in all contexts for each topic of the EGD. Therefore, attention must be paid to the specific requirements of the different process phases, i.e., the information phase, the capacity building phase, the discussion phase, and the decision-making phase. An innovative idea that should be explored going forward in the REAL DEAL project is to start out with citizen deliberation (“open

¹ See resources by the Global Climate Forum (<https://globalclimateforum.org/portfolio-item/decision-theater/>) and the Arizona State University (<https://dt.asu.edu/>).

sky” discussions), then bring in stakeholders and experts. Feedback between modules/phases is essential, irrespective of starting point.

4. Suggestions for a procedural framework

4.1. Set-up and sequences

Organising a participatory and deliberative event on the complex issues of implementing the EGD with multiple stakeholders, citizens and social groups requires making choices of formats and methods for the event.

The process for making decisions can be facilitated by referring to a heuristic framework. When the decisions have been made, they can then be instantiated in a chosen context as a discrete event or events, such as a citizen assembly or roundtable.

The outcomes of those events can then be used as the basis for making subsequent iterative choices of formats and methods for events, as needed. This heuristic framework is schematically indicated in Figure 1 below.

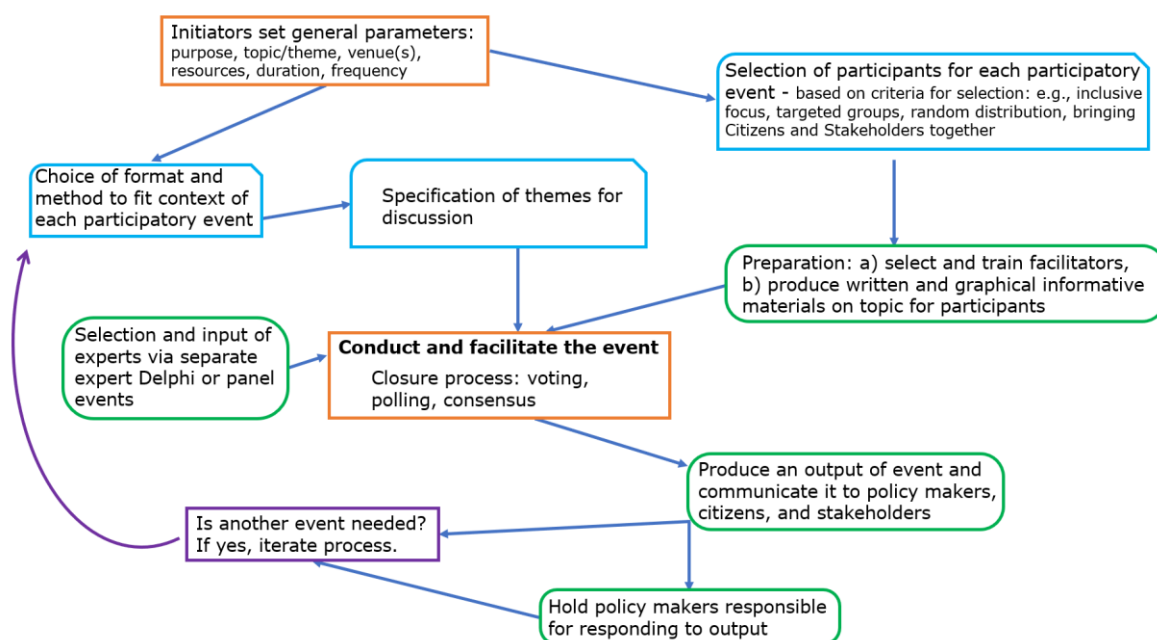


Figure 1 Heuristic framework for making subsequent iterative choices of formats and events

4.2. Taking multiple contexts into account

Contextual factors play a critical role in shaping the choices of formats, methods and tools for the event and thus their potential for making a significant impact in policy and society. An important aspect is to identify, elicit, and prioritise considerations which can guide choices of formats and methods based on the local/regional conditions that promote, circumscribe, or inhibit participatory deliberative activities. The following three key points, which are applicable in all contexts, should be taken into consideration.

1. State of governance and civil society

- a. What are the governance modalities of the country, its history, and peoples' attitudes toward democratic participatory deliberation?
 - b. Which institutional actors, networks, and hierarchy of power in governance processes should be identified?
 - c. What patterns of interaction and discourse are prevalent?
 - d. What experience do citizens and stakeholders have with governance processes?
 - e. What support for strengthening agency and responsibility of civil society groups, stakeholders, and institutions is available in the context?
2. Inclusion criteria and conditions for equitable and safe access to and voice in deliberative activities should be analysed and evaluated to support effective implementation.
 3. The conditions in which different actors and mechanisms for promoting accountability in addressing output of deliberation (i.e., which agencies have responsibility and what incentives are there for policy implementation and providing timely feedback to participants) need to be identified and analysed.

Further specific contextual factors can be found in the country profiles sections of D1.3.

Moreover, in terms of environmental governance specifically, the following key aspects and issues should be taken into account in the selection of participatory and deliberative formats and methods.

1. Resource Management: What kind of efforts are made and which instruments are available for effective and efficient operations that also conserve resources?
2. Transparency: How transparent are decisions? What is the stage of accessibility of and access to information in decision-making processes?
3. Equity: How is equity in participation valued? Are meaningful opportunities for all societal groups to engage employed in practice? Is access to justice equitable for all segments of the population?
4. Impact: Is there a process by which the outputs of participatory processes are delivered to relevant actors and that the actors are held accountable for credible responses in the appropriate political arena?

4.3. Process co-design framework

The choices made in setting format, context, and method in organising and structuring the event must be developed in a co-creative manner by engaging with the relevant citizens, stakeholders, and institutions. The co-design process has several phases which are integral to ensuring that participatory events are transparent, equitable, and provide a solid basis for meaningful citizen and stakeholder engagement. These phases are: 1. initiation; 2. setting framework; 3. conducting and facilitating; 4. concluding.

1. Initiation

Initial identification of and engagement with key stakeholders and citizen groups to elicit their concerns and establish their buy-in to the purpose and process
--

Given specific conditions and resources available, decide on duration, frequency, and venue

2. Setting Framework

Set format, participant selection, and methods
Open a discussion to choose or refine the choice of topic, where appropriate
Produce background Information on chosen topic that is accessible and can be shared with participants Prepare participants before or at the start of the event to help them understand a) how to engage in the event, b) how to recognise and respect safe spaces for participants, c) what form of closure will be employed, and d) what form output will take and how participants will receive it
Provide expert input to participants when desired to augment informational materials either directly in a citizen or stakeholder event or as input from a parallel expert panel or Delphi process

3. Conducting and facilitating

<p>Select facilitator(s) and methods for training</p> <ul style="list-style-type: none"> ▪ Selection criteria includes prior experience with or training in facilitating similar format events, lack of expressed alignment or preference in topic under consideration, commitment to ensuring open, fair discussion and for provision of safe space to allow engagement and voice of under-represented societal groups ▪ Training should include discussion of ways to avoid and, if necessary, de-escalate open conflict or intimidation; background information on history of participating groups relevant the topic and structure of political or social networks active in topic; plans for recording and documenting the event

4. Conclude

Decide on form of closure of the event (e.g., consensus, polling, or voting)
Summary information from events to be provided to the wider public who were not involved or present in the event(s)

5. Follow up for accountability and implementation of ideas put forth

5. Conclusions

The consortium made the decision to consider the following formats for implementation in WP3.

1. Citizens' Assembly or Citizen Forum
2. 21st Century Town Meeting®
3. Public Hearing
4. Public Participation Network
5. Roundtable or Stakeholder Panel
6. Focus Group
7. Analytic-deliberative Discourse
8. Group Delphi
9. Participatory Modelling

Furthermore, the consortium decided to focus on the following points going forward in the REAL DEAL project.











- Stakeholder focused formats such as Roundtables, Stakeholder Panels, and Stakeholder Workshops should be connected with citizens focused formats such as Citizens' Assemblies
- Random selection is advised for recruiting citizens. However, stratified random selection in addition to extra effort for recruiting underrepresented groups is considered important.
- Safe spaces should be a priority and be created online and offline, especially for marginalised groups, e.g., by use of focus groups.
- Expert input with respect to evidence is considered important. Formats like Expert Delphis or Group Delphi support this aim.
- A modular design should be considered for implementation with the aim of having methods and tools run in parallel or in a sequential design for different phases (information phase, capacity building, discussion phase, decision phase).

- Creating safe spaces (online and offline) should be a priority.

















































































6. Annex

6.1. Survey results

















































































The sample includes answers from 12 respondents out of 44 individuals who received an invitation to participate in the survey, i.e., n=12; N=44.

Results									
0%	1-5%	5-10%	10-20%	20-30%	30-40%	40-50%	50-60%	60-70%	>70%
									
Colour Code									
Majority of survey respondents "Agree" or "Strongly agree"									
Majority of survey respondents "Disagree" or "Strongly disagree"									

















































































Do you agree that the following should be an objective of deliberative and participatory formats?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

















































































Do you agree that the **Citizen's assembly** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

















































































Do you agree that the **21st Century Town Meeting®** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

















































































Do you agree that the **Citizens' panel or planning cells** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

Do you agree that the **Public hearing** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

















































































Do you agree that the **Public participation network** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

















































































Do you agree that the **Roundtable or stakeholder panel** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

















































































Do you agree that the **Focus group** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

Do you agree that the **Analytic-deliberative discourse** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

Do you agree that the **Group Delphi Method** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					

Do you agree that the **Participatory modelling** fulfills the following objectives of deliberative and participatory processes?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Address specific issues that are important to the public, e.g., climate change, migration					
Identify what is most important to the public					
Create opportunities for fair and open discussions					
Allow all interested individuals to have their voice heard					
Leveling the playing field of influence in society					
Allow opposing parties to negotiate decisions					
Balance powers amongst social groups					
Expose structures of powers in the society					
Correct social injustices					
Protect decisions-makers from liability					
Avoid delays in implementing a decision					
Decrease costs in implementing a decision					
Give the public the power to make decisions					
Address the potential needs of future generations and non-human species					
Increase trust in institutions					
Facilitate responsible innovation of novel technologies					