

# PACHELBEL

POLICY ADDRESSING CLIMATE CHANGE AND LEARNING ABOUT CONSUMER BEHAVIOUR AND EVERYDAY LIFE

## PUBLICATION

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<b>Executive summary</b>	
<p>This deliverable is about the group discussions (STAVE trials) that have been carried out in the partner countries of project PACHELBEL on various substantive policy issues in the field of sustainability. It focuses on the methods that have been used to interact with lay citizens in the STAVE groups, and on the feedback that has been provided to policy makers on findings from the groups. Building upon these elaborations, conclusions will be drawn as to STAVE as a policy tool. Furthermore, this deliverable provides key features of STAVE groups on a country-by-country basis.</p>	
<b>Keywords</b>	STAVE, sustainability, engagement, group deliberations, policy feedback

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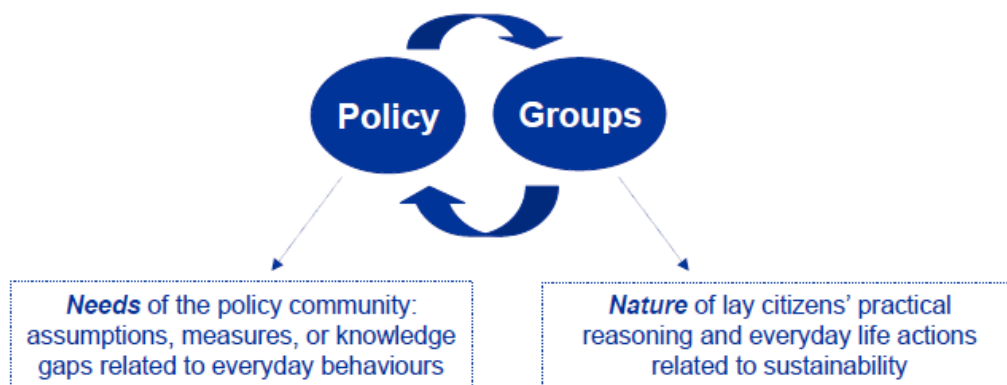
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## 1. Introduction

The major objective of project PACHELBEL is to develop the STAVE tool which seeks to link the world of sustainability-oriented policy-making with everyday lay practices. There was a need to produce suitable means by which the needs of the policy community in question could be captured and translated into a form suitable to “pose questions” to the citizen community being investigated. There was also a need to capture the deliberations of the citizen group, and to translate these into a form which could be fed back into the policy-making process in meaningful and constructive ways (cf. figure 1).

**Figure 1: Schematic diagram of the STAVE tool**



Regarding the citizens groups, a reference scheme for conducting STAVE groups was elaborated that provides instructions for implementing citizen deliberations including instructions on the use of stimulus materials and questionnaire templates (cf. annex 7.1 and D5.1). Relying on this reference scheme, each PACHELBEL partner performed three national STAVE interventions (each of 3 citizen meetings) whose topics were agreed in conversations with partners’ national policy makers.

It is important to note that this reference scheme should not totally prescribe how PACHELBEL partners would have to carry out STAVE groups. Rather, the objective of project PACHELBEL is to develop a new tool and therefore each STAVE group is part of a trialling process. This implies flexibility, i.e. to properly adapt the reference scheme to the different countries and backgrounds within the project team, and opportunities for comparing how different options and approaches work. The fine tuning and final design of the STAVE tool then should build upon these various experiences.

## 1.1 Overview of policy partners and policy issues

The policy organisations cooperating with project PACHELBEL consist of administrative bodies operating on a local (Spain), regional (Germany, Romania, Sweden), and national level (France, UK). In addition, a subdivision of a state owned company belongs to PACHELBEL's policy partners (France). Four PACHELBEL partners do interact with one policy maker (Germany, Romania, Sweden, and UK), while the two others with two policy organisations (France, Spain). In the following a brief summary of the national policy partners will be provided:

**France:** The French policy partners are the General Council for environment and sustainable development (CGEDD) at French Ministry of Environment, and ERDF, the national electricity distribution utility. The CGEDD was formed by decree in July 2008, this is the “environmental authority” identified by European directives in regard to the evaluation of plans, programs and projects. It is also an expert arm offering advice, inspection and auditing services to the Ministry. The ERDF is a fully-owned subsidiary of the national utility Electricity of France (EdF), and manages the public electricity distribution network for 95% of the continental territory of France.

**Germany:** The German policy partner is the Ministry of the Environment of Baden-Württemberg. Baden-Württemberg is one of the 16 German States (Länder), the Ministry is in charge of environmental, climate protection, and energy policies in this State.

**Romania:** The Romanian policy partner is the Caras-Severin County Council (CSCC). CSCC is the local authority for Caras-Severin county, one of the 41 counties of Romania. County Councils in Romania are responsible for local strategies, development and local laws/rules (including local taxes).

**Spain:** The Barcelona Agenda21 Technical Office and the Barcelona Energy Agency are the two policy makers involved in the STAVE implementation in Spain, both depending on the Environment Department of the Barcelona City Council. The Agenda 21 Technical Office is a body formed by environmental experts dedicated to promote sustainability in the city. The purpose of the Barcelona Energy Agency is to promote Barcelona as an exemplary city in the handling of energy matters and their repercussion on the environment.

**Sweden:** The Swedish policy partner is the County Administrative Board of Värmland (CABV). In each of Sweden's 21 counties there is a county administrative board which is the central government's regional representative and functions as a link between the national and regional levels. The county administrative board is responsible for, among other things, certain social welfare matters and regional planning. A policy official with particular responsibility for climate and energy strategies in the county was appointed in 2010 and this official has been the focal contact for the project.

**UK:** In the UK, the policy officials who interacted with project PACHELBEL are members of the team designated “Centre of Expertise on Influencing Behaviour” (CEIB), which forms part of the UK government's environment ministry (DEFRA). One of the major roles of the

CEIB is to develop effective interventions that can bring about persistent changes in lay behaviours that promote environmental sustainability.

### Policy issues

The most addressed area of the STAVE trials is the topic of energy use in terms of patterns of spending and saving electricity, heat, and hot water, the links of smart meters with electricity savings, and thermal refurbishment. These energy topics have been implemented as overall issue of a group (France, Germany, Romania, Spain), or together with other issues (Spain, Sweden). Aside from energy consumption, other topics investigated consist of mobility (Spain, Sweden), consumption (Sweden), wastes (Spain), and white goods in relation to consumers' understanding of product lifetimes and its relationship with shopping behaviour (UK).

The following table provides an overview of participating policy partners, policy issues explored, and STAVE interventions carried out.

**Table 1: Overview of STAVE groups**

<b>Country</b>	<b>Policy partner</b>	<b>STAVE policy issue</b>	<b>STAVE implementations</b>
France	- Ministry of Environment - ERDF	Smart meters and electricity savings	STAVE 1: Nov-Dec 2011 STAVE 2-3: Jan-Feb 2012
Germany	Ministry of Environment Baden Württemberg (UVM)	Climate Protection Concept 2020+ (domestic energy use)	STAVE 1-2-3: July 2011
Romania	Caraş-Severin County Council (CSCC)	National Thermal Rehabilitation Programme	STAVE 1-2-3: June-July 2011
Spain	- Barcelona Agenda21 Technical Office - Barcelona Energy Agency	- Agenda 21 for Barcelona (energy saving, wastes, mobility) - Participatory energy plan in a neighbourhood (domestic energy savings with/without smart meters)	STAVE 1: June-July 2011 (Agenda 21) STAVE 2-3: Nov-Dec 2011 (Barcelona Energy Agency)
Sweden	County Administrative Board of Värmland (CABV)	Policy for climate-neutral Värmland by 2030 (mobility, consumption, electricity consumption)	STAVE 1: May-June 2011 STAVE 2: Aug-Sep 2011 STAVE 3: Sep-Oct 2011
UK	Department for Environment, Food and Rural Affairs (DEFRA)	White goods, lifetimes, and shopping	STAVE 1: July-August 2011 STAVE 2-3: Nov-Dec 2011

In the following light will be shed on the component parts forming STAVE and how these components have worked in STAVE interventions (chapter 2). The next part of this document focuses on the policy feedback process of STAVE (chapter 3), followed by



conclusions with respect to STAVE as a policy tool (chapter 4.). Finally, section 5 offers detailed information on all STAVE groups on a country-by-country basis.

## 2. Composition and use of STAVE

The STAVE groups seek to generate discourse that makes visible understandings and practices related to sustainability that are shared among lay citizens. Starting from the idea of carrying out reconvened group discussions that will be linked to everyday life by the means of diaries (cf. figure 2), a set of component parts was identified that could be implemented in order to engage with participants. To enable comparative analyses of STAVE performance, national partners was encouraged to follow the same general approach to implementing group discussions. One the other hand, there was also an awareness that some degree of flexibility would be needed to allow individual teams to adapt the interventions to their specific national circumstances and needs. A consequence of this combined approach of comparability and flexibility is that the implementation of STAVE components slightly varies between countries, and partners have developed specific instruments to be used in their national setting.

**Figure 2: Sequence of STAVE meetings and diaries**

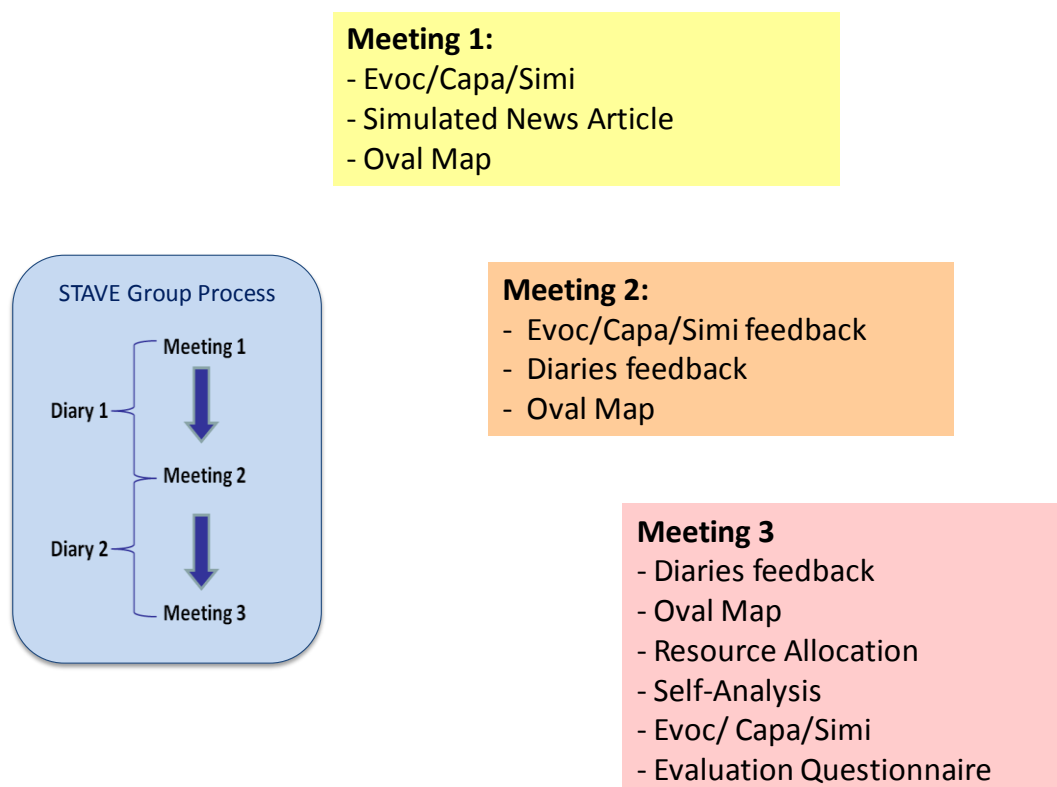


In what follows, at first a description of all single STAVE components is presented. Then insights will be provided on which STAVE methods partners have been applied, and how they have worked.

## 2.1 The STAVE toolbox

As mentioned above, STAVE consists of a set of component parts to be implemented in order to engage with lay citizens. Figure 3 provides an idealised picture of methods assigned to the three meetings of a STAVE group.

**Figure 3: Idealised overview of STAVE methods**



**EVOC-CAPA-SIMI** is a set of three short questionnaires:<sup>1</sup>

→ EVOC is a free-association exercise that asks in sum “what does a given concept evoke for you?”. This technique provides a simple way to identify the notions a given community shares (or does not share) about social issues – in the case of PACHELBEL, sustainable consumption. It asked participants to write down the five words or ideas that came to their minds when they thought of “sustainable consumption”.

<sup>1</sup> Cf. D4.4 for detailed analyses of the EVOC-CAPA-SIMI set and the stimulus materials used in the STAVE trials.

- The CAPA instrument is designed to address the participant's personal identification with the issue, in our case, "sustainable consumption". This instrument consists of three questions: one about the "sustainable consumption" issue in general, another question about the personal identification with the issue, and a third question accessing the perceived capacity to act.
- SIMI is an instrument to access the main lines of thought a specific community follows, that is, their reasoning sequence. It consists of 12 items or notions that must be classified in 3 groups of 4 items that, according to participants, "go together" (in our case these notions were related to sustainable consumption and encompassed topics like climate change, organic agriculture, or public transport). Thus, SIMI aims to reveal the perceived similitude of notions. Given that the understanding of the proposed notions could differ between countries, a glossary was developed in order to assure participants received the same explanations from partners in different countries.

**EVOC-CAPA-SIMI feedback:** This refers to the feedback of EVOC-CAPA-SIMI results to group participants based on the analyses carried out by the French partner. The objective of this feedback was to provide the groups with an aggregated view on their thoughts about sustainable consumption as one means to create a lively group dynamic.

**Simulated newspaper article:** The creation of a simulated newspaper article is a method to present information in a form easy to grasp by group participants. The key issue here was to produce a narrative that a) is readily understandable for the citizens, b) links easily to everyday consumer practices in meaningful ways, c) is "alive" in the sense that it is clearly about issues to which the citizens can relate, rather than being strictly technical, academic or abstract in nature, d) has the potential to be read in several ways through different framings. For example, a given statement could give rise to the interpretation "this practice is a common part of everyday life" as well as "this practice is environmentally damaging". Supported by the WP leader (the French partner), each national team composed its own article by using material specific to the country's substantive policy issue.

**Oval mapping** is a method of surfacing participants' perceptions, understandings, and ideas regarding a specific issue or question. It was developed in the context of organisational planning as a means to resolve complex management problems (being a component part of some Problem Structuring Methods) (the term "oval mapping" refers to the oval post-its that will be used by this technique). A major advantage of the method is its ability to elicit shared understandings by allowing a continuous process of adding new and removing existing ovals. This feature is especially interesting in the context of reconvened groups aiming to spread discussions of an issue over various sessions.

**Diaries:** Between the group sessions, participants of STAVE keep diaries for a few days on their everyday behaviour and reasoning in the consumption domain addressed. These diaries must not be confused with a personal journal people keep for recording private occurrences only for themselves. Rather, STAVE participants have to take notes on their everyday lives according to specifications designed by researchers. Different diary formats

can be used, including paper-based diaries, oral diaries, and electronic diaries. The diary instrument is a means to reflexively link the group discussions with participants' everyday lives and to trigger a process of review and change of everyday practices. Diaries are also a means for grounding the issues to be discussed on the citizen's experiences and initiating very concrete rather than abstract interactions.

**Diaries feedback:** The feedback of diaries material into the group sessions has the purpose of stimulating discourses and reinforcing the connection between group discussions and participants' day-to-day lives. Feedback can be based on quotes or summaries of entries.

**Policy questions:** STAVE is a tool to produce knowledge about lay citizens sustainability oriented reasoning and behaviour to be feedback to policy makers. This includes engaging with people on their everyday lives by the means of group discussions and diaries. The other way to create useful knowledge for policy makers is to present participants of STAVE groups questions raised by policy officials in order to elicit shared answers by the means of group discourses.

**Self-analysis exercises:** STAVE as a policy tool needs procedures able to produce findings for policy makers without a research team being present. In this respect, involving the group in identifying their own findings is a possible option. For gathering the group's autonomous feedback and shaping it in a way useable for policy feedback a self-analysis template was created encompassing five sections: policy questions, possible answers, queries, new questions, and issues/connections (cf. annex 7.3).

**Resource allocation:** The objective of this tool is to summarize and rank group discussions on a quantitative basis (cf. annex 7.2). It lists the issues previously addressed (e.g. policy measures) and requests people to evaluate the options by distributing a fictitious amount of money (e.g. 100 M €). In order to do this, participants will be given a sheet with the list of options, and four sticky dots representing different amounts of money (40 M €, 20 M €, etc.). Then they will be asked to individually distribute the dots among the options as they wanted (all dots could go to the same option or each dot to one option, etc).

**Evaluation questionnaire:** This instrument is related to the evaluation of the complete STAVE process (3 group meetings, diaries) from the perspective of the participants (cf. annex 7.4). It includes seven statements (e.g. "I think that the people taking part in the group discussions were a fair cross-section of lay citizens", or "The way the group discussions were run allowed me to have my say") to be answered on a scale from 1 (very strongly agree) to 7 (very strongly disagree). Furthermore, three open questions (e.g. "Do you have any further comments about the group discussions?") give people space to comment on their experiences and impressions in their own words.

**Simulation exercise:** In the context of this group activity the participants – working in pairs – were invited to write an advertisement for a product, and then to try to "sell it" to other participants in the group.

**Other stimulus material:** Instruments belonging to this category are cartoons, information from policy partner's webpage, real magazine articles, and descriptions of products and policy measures.

**Other questionnaires:** This includes a questionnaire to gather socio-demographic data of group participants, background questionnaires related to the collection of information on participants' use of energy or transportation, and behaviour questionnaires on room temperatures and the evaluation of own behaviour and action options.

## 2.2 Using the STAVE toolbox

### 2.2.1 Methods used in STAVE groups

The implementation of STAVE was based on the "Reference scheme for reconvened STAVE group meetings" (cf. annex 7.1). As explained above, this scheme was meant to provide PACHELBEL partners a common framework how to design and run their citizen groups. Due to the prototype character of STAVE, and the various national particularities in terms e.g. of policy issues investigated, **flexibility** was a key feature of that scheme. Partners were not "obliged" to proceed in a predetermined way, rather the idea was the scheme to work as a tool kit from which partners could choose methods that they might find suitable to their specific objections. This created an opportunity to omit some suggested methods and to draw on other tools if they seemed appropriate.

One might think of the flexibility approach to the STAVE tool-kit as providing an opportunity to use component parts of STAVE, on their own or in combination, to generate a range of **different sorts of group conversation**, each with their own properties. Seen in this light, the process of STAVE trialling might be regarded as seeking to identify which of these sorts of conversation is good at achieving different objectives.

The consequence of this flexible approach is that different methods have been applied with different intensity while performing STAVE interventions. Three frequencies categories are distinguishable (cf. Table 2):

- *Methods used by all partners:* This applies for six methods, namely diaries, diaries feedback, policy questions, the simulated newspaper article, the oval mapping exercise, and the resource allocation exercise.
- *Methods used by the majority of partners:* Another five methods have been used quite often, although some partners decided to leave them out. These five methods are the SIMI questionnaire, EVOC and CAPA (not used in UK STAVE 1), feedback on EVOV-CAPA-SIMI results, the self analysis exercise, and the evaluation questionnaire (not used in UK STAVE 1).
- *Methods used by particular partners:* There are a couple of questionnaires and stimulus materials which in each case only one or two partner(s) have created to

meet their specific requirements. For example, the Swedish team has used individual questionnaires to gather some background and behaviour-related information, and the German and UK teams have applied product and policy descriptions to enable and stimulate group deliberations. Another singular method is the simulation exercise, deployed only by the UK team.

**Table 2: Methods used in STAVE groups**

<i>Tool</i>	<i>France</i>	<i>Germany</i>	<i>Romania</i>	<i>Spain</i>	<i>Sweden</i>	<i>UK</i>
EVOC-CAPA-SIMI	S1,2/G1 S1,3/G2-3	S1,3/G1-3	S1,3/G1-3	S1,3/G1-3	S1,3/G1-3	S3/G2,3 (without SIMI)
EVOC-CAPA-SIMI feedback	S2/G1-3	S2/G1-3	S2/G1-3	S2/G1-3	S2/G1-3	
Fake article	S1/G1-3	S1/G1-3	S1/G1-3	S1/G1-3	S1/G1-3	S1,2/G1 S1/G2,3
Oval mapping	S1/G1-3 S2/G1	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1/G1 S1,2,3/G2,3
Diaries	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3
Diaries feedback	S2,3/G1-3	S2,3/G1-3	S2,3/G1-3	S2,3/G1-3	S2,3/G1-3	S2,3/G1-3
Policy questions	S2,3/G2,3	S2,3/G1-3	S2/G1-3	S2/G1-3	S3/G1-3	No special agenda item, overall part of G1-3
Self analysis		S2,3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	
Resource allocation	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	S3/G2,3	S3/G1-3
Evaluation questionnaire	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	S3/G2,3
Simulation exercise						S2/G2,3
Other stimulus material		S2,3/G1-3	S1/G1-3 S3/G1,2		Homework between S1,2/G1-3	S2,3/G1
Other questionnaires	Homework between S1,2 + S2/G2,3 S3/G1-3	S1,2/G1-3			S1,3/G1-3	

Key: S = Session; G = Group; 2x1W = 2 times one week

### 2.2.2. How STAVE methods have worked

**EVOC-CAPA-SIMI:** This questionnaire set mostly was applied two times. The first administration mainly took place at the very beginning of the first group session, the second at the very end of the third meeting. There were two exceptions from this procedure: a) UK – EVOC and CAPA (without SIMI) only were applied at the end of sessions 3 of groups 2 and 3; b) France – in group 1, the questionnaire set was administrated at the very beginning of sessions 1 and 2; in groups 2 and 3 at the very beginning of sessions 1 and 3. Whereas some countries were not faced with difficulties to fill in the set the first time (France, Spain, Sweden, UK), others reported about participants' problems with EVOC-CAPA-SIMI. In Romania this applied particularly for EVOC because the participants felt discomfort with this task. In Germany the very first administration of EVOC-CAPA-SIMI (session 1 of group 1) created an atmosphere of confusion because

participants had no or only a vague idea why they were asked to fill in questionnaires on sustainable consumption. This confusion was mainly due to the originally adopted approach to quickly go through the questionnaires and let people just saying some answers without discussing them. Thus, it was decided to provide STAVE groups 2 and 3 with more time for discussing answers and now the exercise worked well. Other countries did not experience that discussing EVOC-CAPA-SIMI answers was a precondition for accepting the tool. Interestingly, in France the second administration of EVOV-CAPA-SIMI in group 2 created rich group discussions when a participant admitted having problems with the questionnaire terms sustainable and consumption. Overall, the EVOC-CAPA-SIMI set showed good value for the STAVE dynamic and was a good warmer up for the coming conversations about details of everyday life.

**EVOC-CAPA-SIMI feedback:** Results from this questionnaire set were presented in the session following its first administration using PowerPoint or handouts based on the analyses provided by Symlog. EVOC and CAPA results were easy to capture for the participants, whereas the findings from SIMI were a little more difficult to understand (in Germany SIMI findings were not presented). The participants were interested in the results, especially they wanted to know how their own group compares to others. In France, the presentation of SIMI findings generated a rich group discussion.

**Simulated newspaper article:** In the groups, printouts of the article were circulated. Participants read the article quietly and with concentration, only one Romanian group (G3) was not happy to read a page of text. The articles were well understood. They were very efficient in stimulating dialogue and contributed to creating both a good group dynamic and cohesion. In the UK group 1, the same article was brought up two times (sessions 1 and 2) because the first discussion did not really pick up on the points that the article makes about environmental impacts of kitchen appliances.

The **oval mapping** exercise worked very well in creating rich insights into participants' thinking and behaving related to various consumption domains (e.g. energy use, transport, purchasing white goods). It was appreciated by participants who felt comfortable with it and rapidly engaged in discussions. Only in the Romanian case some difficulties in implementing oval mapping occurred because of local context factors like a general lack of experience with this kind of group engagement technique. And the German team faced some problems with the initially adopted approach to led participants write an unlimited number of notes as this resulted in problems to sort the ovals and create a clear picture. Both difficulties were solved by a sensitive facilitation style (Romania) and an adapted approach of producing oval maps by participants (Germany). Almost all partners deployed oval mapping in each of the three sessions of a STAVE intervention, following the idea of stepwise enhancing and refining the initial outcome from meeting to meeting. In the context of the UK STAVE 1 and the French STAVE 2,3 oval mapping was practiced only in session 1, in the French group 2 it was deployed in sessions 1 and 2.

The **diaries** performed very well in focusing participants' attention to their day-to-day activities and producing responses close to the everyday behaviours and thoughts of the participants. In each STAVE group participants had to keep a diary two times on a weekly



basis. Usually, people reported about their daily behaviour regarding the substantive issue of the group. In one case, namely the second diary administration in the UK, people were requested to look on ebay for second-hand goods (washing machines, kettles) and to check warranties of their white goods. The diary templates provided to participants included both structured and open-ended parts, in the French and Romanian cases with a clear focus on structured questions. Diary formats consist of paper-based and digital diaries, the Spanish team phoned or visited participants almost on a daily basis to gather diary information. There were a few indications of being bored of standardized questions after a while (France, Sweden), or running out of interesting things to write about in the second diary week (Germany). As to the quality of the diaries, the UK team reported that STAVE 2 and 3 diaries were minimal and incomplete. Cases of low material provision were also observable in Romania. In Germany three types of diaries (on daily energy use) are to be distinguished:

- Short narratives: Here participants told about their day with detailed depictions of what has happened or what they have thought. These diaries were highly valuable for gaining insights into everyday life.
- Lists of events: Diaries of this style are more or less detailed lists or short sentences about energy related topics. They were useful in getting insights in the daily energy use, but they provide only minor evidence about day-to-day behaviour.
- Lacking in content: In this case the participants produced not a diary, rather they said – in various ways – that they have nothing to report. These “diaries” provided no useful evidence.

**Diaries feedback:** This exercise mostly consisted of two parts. First, participants talked about their experiences with the tool itself (e.g. understanding of structured questions, using an electronic template) and how it was to report from day to day about one’s everyday life. Second, findings from the diaries were presented to the group, i.e. quotes or conclusions were introduced using techniques like PowerPoint or copies of diary extracts (the “authors” of the material presented were anonymised). All in all, participants were highly interested and open about what they had written. The feedback was useful to stimulate discourses and opened up the discussion to be more personal. In Spain, it almost became a game among participants trying to identify who said what in a very relaxed way.

**Policy questions:** This part of the groups’ discourses worked well in eliciting participants’ opinions, answers, or suggestions related to policy issues and measures selected to be examined in STAVE groups. They appreciated the possibility to give advice to policy, even if some Romanian participants had doubts that policy makers will value their ideas. In Romania also a tendency could be observed of not sticking to the topic but switching to other themes.

**Self-analysis exercise:** This exercise was performed in order to answer the policy questions in a way that these answers would represent an autonomously created group result. To shape this process and its results self-analysis templates was used, either the

above depicted original version or forms that were derived from it. All templates worked well in supporting a focused and targeted discussion.

**Resource allocation exercise:** This instrument worked extremely well. Participants had no difficulties to understand why they should assign “money” (i.e. coloured dots) to possible policy options and how to perform this. They liked to simulate being a decision maker, even if some felt it difficult to choose between different actions that might be equivalent in terms of sustainability (e.g. Sweden). After participants had allotted the dots, in some countries a discussion on the exercise took place (France, Spain, Sweden), whereas in Germany, Romania and the UK this was not the case.

**Evaluation questionnaire:** Participants filled in this questionnaire at the very end of a STAVE group, i.e. at the end of session 3. No particular difficulties were reported in this regard. Participants of all French STAVE groups raised the issue of representativeness, and showed some anxiety as to the responsibility they have in this group process (anxiety to be the voice of all citizens).

**Simulation exercise:** In the UK, the policy makers made the suggestion to create and use a “mock-up”, in other words a simulation exercise. This tool prompted a useful group activity that worked well.

**Other stimulus material:** According to their specific group design, partners have created and used special stimulus materials for their STAVE interventions:

- sheets with information on policy measures as basis for the discussion of policy questions and performing self-analysis exercises (Germany)
- cartoons addressing environmental issues, technological evolution, and consume; these cartoons were used to introduce the sustainable consumption issue in order to help citizens to capture some ideas for the debate (Romania)
- information from policy partner’s homepage about the plans and the progress that the authorities are making regarding transportation and consumption issues (participants were given this material as a home work assignment) (Sweden)
- fictitious product description of two Bosch washing machines with different lifetime metrics – participants were requested to compare the two appliances (UK)
- real magazine article (the ‘Built to last?’ feature in Which? consumer magazine) – participants were engaged to discuss the information provided by the feature (UK)

**Other questionnaires:** Some partners used special questionnaires to gather the following information:

- socio-demographic data of group participants (Germany, Sweden)
- background information on participants’ use of energy, transportation, or food in order to support the understanding of diaries and oval mapping, answer policy questions, and create an overview of households’ equipment with appliances (France, Germany, Sweden)

- participants' evaluations of own behaviour and action options regarding transportation and consumption as a means of summarizing how the individuals assess their own behaviour linked to sustainable development (Sweden)
- information on room temperatures (to this end participants were equipped with individual thermometers) (France)

### 3. The policy feedback process

As a general approach, the STAVE trialling was associated with a two stage feedback process of taking STAVE findings back to the policy makers. As with the reference scheme adopted to run the STAVE citizen groups, the general approach for providing feedback to policy makers was not intended to totally prescribe how PACHELBEL partners would have to provide their specific feedback to their specific policy maker. The objective of project PACHELBEL is to develop a new tool and therefore each STAVE feedback process is also part of such trialling process. This implies flexibility, i.e. to properly adapt the feedback process to the real policy situations and needs of our policy partners. Thus, as STAVE is being implemented in real policy situations, the sequence of the feedback process needed to be able to cope with uncertainties inherent to policy making (e.g. unforeseen adjustments in time tables, shifts in priorities of the political agenda, etc.).

Therefore, in most countries a “two stage” approach including real (physical) meetings was adopted, others used the two stage process in slightly different ways (including more phone and e-mail contacts), and there was also the option of concentrating the feedback of findings on one single meeting, directly providing a mix of the so-called “immediate & unrefined” and “full feedback”.

With regards to the general approach of the STAVE trialling process for providing feedback of the STAVE findings to the policy makers the next two stages are to be highlighted.

- The first stage is called “immediate and unrefined”. The idea of this feedback mode is to provide findings right after a session or a complete STAVE intervention, responding by this means to assumed policy makers’ needs for quickly available and easy to understand information. The creation of these inputs builds upon preliminary analyses of the evidence gathered. Importantly, the “immediate and unrefined” findings heavily rely on the materials directly produced by the citizens participating in the group. Thus, this is the key feedback in terms of the STAVE tool (as it does not require the expertise of a research team performing “orthodox” analysis of the group discourses).
- At a later point, “full feedback” will be given. This second feedback stage has a more research oriented focus. It is based upon a thematic analysis of the group data (cf. D5.2) and provides findings to policy makers that may detail or adjust the immediate and unrefined results. From the perspective of project PACHELBEL’s primary objective to develop STAVE as a policy tool the full feedback is about fine-tuning the immediate and unrefined feedback that will form part of the finalised STAVE tool.

In most cases, both stages of feedback took place during face-to-face meetings although there were also emails and phone conversations between the research team and policy makers. As mentioned above, the option of combining the two feedbacks in a mixture of the immediate and the detailed was also adopted.

In what follows, at first an overview will be provided what sort of evidence was gathered during STAVE groups in order to create policy feedback. Then it will be shown how feedback was given to our policy partners.

### 3.1 Evidence gathered

The evidence gathered by the STAVE sessions obviously corresponds to the tools that have been used by partners while carrying these groups out. So there are five types of evidence which applies for all implemented STAVE interventions (cf. table 3):

- material from the oval mapping exercises (applied in all three sessions of all groups; exceptions: oval mapping only in session 1 of UK STAVE 1 and French STAVE 1,2,3);
- diaries from each time the two intermediate phases;
- filled in resource allocation questionnaires (deployed in session 3 of all groups; exception: no resource allocation in Swedish STAVE 1);
- filled in evaluation questionnaires (employed in session 3 of all groups);
- socio-demographic data of all groups (partly gathered by using a special questionnaire [Germany, Sweden])-

As the EVOC-CAPA-SIMI questionnaire set, the self analysis template, as well as some specifically designed instruments were not used by all partners, evidence collected by these tools is restricted to subsets of the partners:

- EVOC-CAPA-SIMI data of sessions 1 and 3 (all groups in Germany, Romania, Spain, Sweden, groups 2 and 3 in France) respectively of sessions 1 and 2 of French STAVE 1;
- EVOC-CAPA data of session 3 of groups 2 and 3 in the UK;
- self analysis templates of sessions 2 and 3 (Germany) respectively session 3 (Spain, Sweden) of all groups;
- filled in background questionnaires of session 1 of all groups in Germany and Sweden, and session 3 of all French groups;
- filled in behaviour questionnaires of session 3 of all groups in Sweden, and session 2 of French groups 2 and 3;
- written advertisements of the simulation exercise of session 2 of groups 2 and 3 in the UK.

Generally speaking, a necessary means for carrying out qualitative analysis of group discourses are transcripts of participants' deliberations based on audio and/or video recordings. Researchers who are expert in analysing audio or video recordings will sometimes be content to work direct from the recording, listening/viewing them on multiple occasions. Even for such experienced researchers, transcriptions provide a useful resource for analysis.

All partners have taken photos, on the one hand for illustrative reasons, on the other hand to save outcomes by photographing e.g. final arrangements of oval maps on pinboards, or flipchart notes.

**Table 3: Evidence gathered**

<i>Tool</i>	<i>France</i>	<i>Germany</i>	<i>Romania</i>	<i>Spain</i>	<i>Sweden</i>	<i>UK</i>
Audio recordings	S1,2,3/G1 PT S1,2,3/G2,3 FT	S1,2,3/G1-3 FT	S1,2,3/G1-3 PT	S1,2,3/G1-3 FT	S1,2,3/G1-3 FT	S1,2,3/G1-3 FT
Video recordings		S1,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3		S1,2,3/G2,3
Photos	S3/G1 S2/G2,3	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3
EVOC-CAPA-SIMI questionnaires	S1,2/G1 S1,3/G2,3	S1,3/G1-3	S1,3/G1-3	S1,3/G1-3	S1,3/G1-3	S3/G2,3 (without SIMI)
Oval maps	S1/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1,2,3/G1-3	S1/G1 S1,2,3/G2,3
Diaries	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3	2x1W/G1-3
Self analysis template (original and derived forms)		S2,3/G1-3		S3/G1-3	S3/G1-3	
Resource allocation	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	S3/G2, 3	S3/G1-3
Evaluation questionnaire	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3	S3/G1-3
Simulation exercise						S2/G2,3
Background questionnaire	S3/G1-3	S1/G1-3			S1/G1-3	
Behaviour questionnaire	S2/G2,3				S3/G1-3	
Socio-demographic data	S1/G1-3	S2/G1-3 questionnaire	G1-3	G1-3	S1/G1-3 questionnaire	G1

Key: S = Session; G = Group; 2x1W = two times one week; FT = fully transcribed; PT = partially transcribed

### 3.2 The feedback process

As mentioned above, in most countries the “two stage” approach including real (physical) meetings was adopted, while others used the two stage process in slightly different ways (including more phone and e-mail contacts), and there was also the option of concentrating the feedback of findings on one single meeting, directly providing a mix of the so-called “immediate & unrefined” and “full feedback”.

The details of the “two stage” process are included next as – one way or another – they constitute the essence of the feedback that was provided to our policy partners in all the PACHELBEL countries.

### Immediate and unrefined feedback

All partners have carried out analyses of the quantitative and qualitative data gathered:

- Descriptive quantitative data analysis relates to the EVOV-CAPA-SIMI set, the resource allocation exercise, various questionnaires (evaluation, background, behaviour), and socio-demographic data.
- Qualitative content analysis is based on the transcripts of the group sessions, the diaries, the oval maps, and self-analysis exercises.

Each partner has used the insights from these analyses to provide immediate and unrefined feedback to their national policy partners. These feedbacks were given as oral presentations, supported by PowerPoint charts containing mainly overviews of the tasks performed, verbal and graphical summaries of the findings, and illustrative items like quotes from the transcripts and diaries, photos, or stimulus materials (e.g. fake newspaper article). Besides PowerPoint, sometimes also paper-based handouts (e.g. summary of resource allocation data) were used to provide policy makers with findings from the STAVE interventions. In one case (France) also an interim report on STAVE findings was submitted to the policy partners (cf. table 4).

### Full feedback

For the purpose of providing full feedback, final content analyses of the transcripts and diaries have been carried out. These examinations were built upon a range of inductively identified thematic issues (cf. D5.2). The already present findings were reviewed and enriched according to the various categories of the developed thematic framework.

Furthermore, the descriptive analyses of quantitative data were enhanced and completed by refining already existing evaluations and analysing not yet evaluated instruments.

Partners produced PowerPoint presentations to support their full feedback to policy makers. On the one hand, the original presentations were revised and additional slides with new findings were added. On the other hand, selections of slides from the immediate and unrefined feedback were integrated into full feedback PowerPoint presentations. The French partner extended the previous interim report to a full report.

As mentioned above, in the UK a mixture of both the immediate and unrefined and the full feedback was provided to the UK policy partner.

### **Table 4: Feedback material used in stage 1 and 2**

Country	Feedback material used in stage 1 (immediate and unrefined feedback)	Feedback material used in stage 2 (full feedback)
France	<ul style="list-style-type: none"> <li>→ Photos of group participants</li> <li>→ Group Segmentation</li> <li>→ Maps (localisation of city and group participants (STAVE1))</li> <li>→ Description and goals of simulated news article</li> <li>→ Description of sessions (agenda, duration)</li> <li>→ Preliminary analysis, graphs and fragments of:               <ul style="list-style-type: none"> <li>○ diaries</li> <li>○ EVOC-CAPA-SIMI</li> <li>○ Resource allocation exercise</li> <li>○ Ad hoc questionnaires</li> </ul> </li> <li>→ Interim full report on STAVE 1</li> </ul>	<ul style="list-style-type: none"> <li>→ Full report (120 pages, including annexes); table of content of the report               <ul style="list-style-type: none"> <li>○ 1. Introduction</li> <li>○ 2. STAVE and its objectives</li> <li>○ 3. Group Description: dates, localisation, participants' profiles</li> <li>○ 4. Synthesis of STAVE findings</li> <li>○ 5. Detailed presentation of STAVE results                   <ul style="list-style-type: none"> <li>○ 5.1 Citizens' motivations to engage in electricity savings</li> <li>○ 5.2 Citizens' barriers to engage in energy savings</li> <li>○ 5.3 Everyday behaviours to make electricity savings</li> <li>○ 5.4 LINKY: living and experiencing the smart meter</li> <li>○ 5.5 The issue of consumption peaks and shaving</li> <li>○ 5.6 The Citizen in the shoes of the Policy Person : his financial strategies (resource allocation exercise)</li> <li>○ 5.7 Citizens' satisfaction and worries as to the group discussions and the follow-up.</li> </ul> </li> <li>○ Annexes to the report                   <ul style="list-style-type: none"> <li>▪ Simulated News article</li> <li>▪ EVOC-CAPA-SIMI results (all STAVE groups together)</li> <li>▪ Diary results all STAVE groups (graphs and quotations)</li> <li>▪ Resource allocation exercise (all STAVE groups together)</li> <li>▪ Ad hoc questionnaire results (All STAVE groups together)</li> <li>▪ Evaluation questionnaire results (including quotations on the open questions)</li> </ul> </li> </ul> </li> </ul>



<b>Country</b>	<b>Feedback material used in stage 1 (immediate and unrefined feedback)</b>	<b>Feedback material used in stage 2 (full feedback)</b>
Germany	<ul style="list-style-type: none"> <li>→ Photos with examples of oval mapping and self-analysis pinboard sheets</li> <li>→ Example of filled in resource allocation template</li> <li>→ PowerPoint presentation on               <ul style="list-style-type: none"> <li>○ groups' segmentation</li> <li>○ selected findings from evaluation questionnaire</li> <li>○ findings from diaries and oval mapping exercise</li> <li>○ findings from participants' assessment of policy measures</li> <li>○ findings from the resource allocation exercise</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>→ PowerPoint presentation that included both the materials of and findings from the immediate and unrefined feedback and newly generated materials and insights. It addresses the following points               <ul style="list-style-type: none"> <li>○ groups' segmentation</li> <li>○ findings from evaluation questionnaire</li> <li>○ findings from the first administration of EVOC-CAPA-SIMI</li> <li>○ findings from the background questionnaire</li> <li>○ impressions from discussions on simulated news article of sessions 1</li> <li>○ findings from oval mapping exercise and diaries</li> <li>○ findings from participants' assessment of policy measures (self analysis exercise)</li> <li>○ findings from the resource allocation exercise</li> </ul> </li> <li>→ Handout document presenting               <ul style="list-style-type: none"> <li>○ EVOC-CAPA-SIMI questionnaire set</li> <li>○ simulated news article</li> <li>○ runs of group discussions</li> </ul> </li> </ul>
Romania	<ul style="list-style-type: none"> <li>→ Photos from the sessions/after the meeting</li> <li>→ Photos of oval mappings</li> <li>→ Number of participants, duration, timing according with the protocol</li> <li>→ PowerPoint with diary quotations of all groups</li> <li>→ Graphs of the quantitative results from questionnaire investigations (initial and final evaluation, resource allocation exercise)</li> <li>→ Preliminary analysis including main conclusion from the discussion on the policy maker questions:               <ul style="list-style-type: none"> <li>○ segmentation details</li> <li>○ sessions: general presentation</li> <li>○ diaries: structure and instructions + feedback from diaries (conclusive elements without quotations)</li> <li>○ initial evaluation of EVOC-CAPA-SIMI results</li> <li>○ stimulus material description and role</li> <li>○ focus group discussions: general presentation</li> <li>○ resource allocation exercise: presentation and results</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>→ Additionally to the materials presented as immediate and unrefined feedback the following materials were used to provide full feedback:               <ul style="list-style-type: none"> <li>○ oval mappings edited in MsWord</li> <li>○ some diaries as example of the efforts of the citizens</li> <li>○ relevant extract from the diaries</li> <li>○ comparative texts from transcripts for the three groups on the issue of thermal rehabilitation</li> <li>○ graphical comparison of the results of all groups for initial and final stage resulted from CAPA</li> <li>○ graphical comparison of resource allocation exercise results for all groups</li> <li>○ graphical comparison of the results of final evaluation</li> <li>○ conclusion resulted from the answers to the policy maker questions</li> </ul> </li> </ul>

<b>Country</b>	<b>Feedback material used in stage 1 (immediate and unrefined feedback)</b>	<b>Feedback material used in stage 2 (full feedback)</b>
Spain	<ul style="list-style-type: none"> <li>→ Photos</li> <li>→ Oval mappings</li> <li>→ EVOC-CAPA-SIMI results</li> <li>→ Fragments of diaries from both interval periods</li> <li>→ Resource allocation exercise</li> <li>→ PowerPoint presentations were produced to support immediate and unrefined feedbacks including the following:               <ul style="list-style-type: none"> <li>○ photos from the group sessions</li> <li>○ feedback on the identification of policy assumptions</li> <li>○ oval maps</li> <li>○ EVOC-CAPA-SIMI results</li> <li>○ diary quotations</li> <li>○ results from the resource allocation exercises</li> <li>○ preliminary conclusions from the immediate and unrefined analyses</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>→ PowerPoint presentations were produced to support full feedback including the following:               <ul style="list-style-type: none"> <li>○ reintroducing PACHELBEL and STAVE</li> <li>○ refreshing the immediate and unrefined feedback (selection of slides from the immediate and unrefined PPT)</li> <li>○ presentation of the full feedback                   <ul style="list-style-type: none"> <li>▪ STAVE 1: PPT with fragments of the group discussions and diaries illustrating the main outcomes of the orthodox analysis</li> <li>▪ STAVE 2-3: PPT with the main outcomes of the orthodox analysis including two main sections: a) what do the detailed analysis says with regards to the policy questions? b) what do the detailed analysis (including theoretical reflections on the evidence) says with regards to the smart meters?</li> </ul> </li> <li>○ final discussion on the findings to gather policy reactions, doubts, questions, etc.</li> </ul> </li> </ul>
Sweden	<ul style="list-style-type: none"> <li>→ Photos of participants and oval mapping</li> <li>→ The oval mapping, compiled in summary</li> <li>→ Preliminary analyses of the taped discussions, with example quotes</li> <li>→ Overview of diary findings with example quotes</li> <li>→ Overview results from EVOC-CAPA-SIMI</li> <li>→ Visualized (paper) summary of resource allocation data</li> <li>→ Summaries of findings from the self analysis exercise</li> <li>→ Results were compiled mainly in PowerPoint form, using a format based on the model developed and tested by the Spanish team</li> </ul>	<ul style="list-style-type: none"> <li>→ The original PowerPoint presentation was revised and additional slides were added to provide a summary overview of the key points. An analysis of the transcript from the immediate and unrefined feedback was also used to direct the full feedback session to areas of particular interest to the policy official and to respond to some questions raised previously</li> </ul>

<b>Country</b>	<b>Feedback material used in stage 1 (immediate and unrefined feedback)</b>	<b>Feedback material used in stage 2 (full feedback)</b>
UK	<ul style="list-style-type: none"> <li>→ Overview of the tasks covered in the group processes (G1)</li> <li>→ Verbatim description of the main points emerging from the participants' discourses (G1)</li> <li>→ Participants' diary entries (G1)</li> <li>→ Results of the oval mapping (G1-3)</li> <li>→ Results of the resource allocation task (G1-3)</li> <li>→ EVOC-CAPA data (G2,3)</li> <li>→ Stimulus newspaper article (G1)</li> <li>→ Description of two fictitious washing machines detailing the appliances' expected lifetimes (G1)</li> <li>→ A real Which? magazine feature on the lifetime of electrical appliances (G1)</li> <li>→ The results of the ebay search task and the results on the participants' search for their warranties (G1)</li> <li>→ Results from the preliminary thematic analysis (G2,3)</li> <li>→ Feedback in response to policy questions (G2,3)</li> </ul>	<ul style="list-style-type: none"> <li>→ The feedback provided to DEFRA was a mixture of the immediate &amp; unrefined and full feedback. In order to round off the feedback process and discuss potentially open queries and further findings an additional meeting has been provisional scheduled for a date in May 2012.</li> </ul>

## 4. Findings as to STAVE as a policy tool

In the first place, most of the policy makers appreciated the findings from the STAVE groups and the methods used to collect evidence. They valued STAVE's capacity to offer the opportunity to both look deeply into citizens' everyday life as well as testing various policy options.

STAVE provides unique knowledge about sustainability-related attitudes and behaviours and therefore helps policy makers to close their blind spot regarding – as a Spanish policy maker put it – “what people actually do”.

Another important asset of STAVE in the policy makers' view is its ability to provide fruitful results within a short time as immediate and unrefined feedback.

### → *Key insights with regards to the performance of **STAVE components***

All STAVE components have proven to be useful, but policy makers explicitly highlighted the following ones:

- *oval mapping* as a powerful resource to illustrate the evolution from the abstract to the specific, bridge the gap between self-perception and real behaviour, and synthesise attitudes and reasoning; an crucial advantage of this method are its immediate visualization capabilities – the final picture of the maps together with some additional explanations would work in giving policy makers viable knowledge
- *diaries* as a tool that is able to deliver a richness of data on daily behaviours and focusing participants' attention to their day-to-day activities; for a German policy maker the diaries are the most preferred tool, because “(t)heir data exudes a high level of credibility. It is worthwhile to take them as a kind of basis of decision-making”
- *policy questions* as a means to create “lay knowledge” usable in political decision making process
- *resource allocation* as a straightforward ranking of potential policy measures and a means to put citizens in the role of the decision-maker; these assets will be amplified by the fact that this tool can be quickly analysed by performing rather simple statistical operations
- *EVOC-CAPA-SIMI set* as a method for ratifying policy makers' intuitions on citizens' attitudes, and learning about individual profiles and awareness of the group participants
- *simulated newspaper article* as an excellent instrument to put information into groups and stimulate discussions

There also some strong clues that policy officials value the components not only on their own, rather they also focus on **component combinations** which in their view have proven to be specific useful. This applies particularly for the interplay of the oval mapping exercise with the diaries that in the opinion of a German policy maker has “*created a frank and dynamic discussion atmosphere which triggered participants to politically instructive self-reflecting reasoning about their everyday lives*”. The resource allocation exercise was appreciated as excellent quantitative complement to the qualitative STAVE data.

→ *Key insights with regards to the performance of the **whole tool***

From the policy makers’ reactions to the STAVE feedback it is obvious that they not only valued single STAVE components, but also evaluate the whole tool as very useful in providing insights which gave “real food for thought” (as a Swedish policy maker said). Pretty often they were impressed by the tool’s ability to uncover different aspects of citizen attitudes and behaviours, reveal underlying complexities in human behaviours, and generating meaningful knowledge as to policy questions and measures.

To a certain extent this was attributed to the overall discursive approach of STAVE. It was stressed that especially the most interesting findings (e.g. barriers of behaving sustainably) could not have been obtained by an empirical design that was not based on citizens’ interactions. One Spanish policy maker said about this significant STAVE feature:

*“Every year we receive results from surveys. The problem is that such surveys provides... I mean they talk about values and not about real behaviors. We can see the values of different social groups, but we know little about their final behaviors. However, here (with STAVE) we have received highly useful data (...).”*

In other words, STAVE deals with the idea of providing “proximity”, i.e. access to the daily lives of lay citizens. Proximity is considered to be a pillar stone in the way “*of discovering the essence – that needs to be identified – for any behavioural change towards sustainability*” (quote from a Spanish policy maker).

Here are some more specific points dealing with policy makers’ appreciation of the whole STAVE tool:

- *Exploratory approach:* STAVE provides the opportunity to test out ideas relating to policy options, attitudes, priorities, or values in a very flexible, yet profound way, without too many questions having being prepared in advance.
- *Promoting engagement:* Policy makers’ welcome that STAVE enables lay citizens to engage because, as one Spanish policy maker said, “*it generates a feeling of usefulness among participants (...), and makes them feel they have a voice.*”
- *Support of policy making:* Policy makers link STAVE findings with their policy objectives and conclude that they are helpful knowledge regarding the matching of policy initiatives with citizens’ demands.
- *Quickness:* STAVE provides precise information in a fast way.

Finally, there is evidence that taking part in STAVE led to some self reflection among policy makers. So in France they started as rather self-centred technical experts, then they took notice of the citizens reasoning and injected new issues to be worked with the groups, then they integrated citizens reasoning. In Romania STAVE has raised policy maker's awareness on the importance and usefulness of engaging with lay citizens.

→ *Key insights with regards to **improving the tool***

Aside from stressing policy makers' interest in STAVE and the material it provides, the STAVE feedback process also shed light on some issues that need further reflections in order to build STAVE as a policy tool:

- *Instructions for use:* analysing how the different STAVE methods – individually and combined – can match the particular problems facing policy makers, and producing evaluation criteria for STAVE methods that would allow policy makers to decide on their suitability for exploring or validating a specific policy issue. Particularly the Romanian policy makers raised the point that each STAVE method needs some expertise to be correctly applied. Moreover, the combination of the methods in STAVE requires a good documentation and also a set of recommendations, especially in order to be able to investigate other issues than the one scrutinized in the STAVE trials.
- *Creating trust in reliability of findings:* providing advice as to the reliability of STAVE findings in order to cope with representative requirements; in this regard, understanding of what constitutes policy-making evidence for the policy officials in their particular circumstances should be an important factor in designing a suitable STAVE intervention that will meet policy officials needs.
- *Awareness of limitations of STAVE:* STAVE cannot be the, as a Swedish policy maker has put it, “*solution to all problems*”. This point to a need to consider how STAVE can be combined with other strategies in policymaking processes.
- *Defining the issue:* in highly exploratory STAVES a proper attention to defining the issue (at the start; through the process) is necessary, but without limiting the required flexibility when collecting everyday data.
- *Resource allocation exercise:* In the perspective of the UK STAVE 1 experience, this task could have been better if it had required the participants to design potential policy issues themselves. Such a group exercise might have allowed for the shared lay meanings attached to sustainability to emerge, and would have produced material that could be easily taken as feedback to the policy partner. The Spanish team has chosen a mixed approach. At first researches produced a tentative list including the citizens' proposals as identified through sessions 1 and 2. This list was checked with the policy makers in order to complement it if necessary with specific measures of interest for the policy makers that were not already included by the citizens. This combination worked very well in integrating the views of “both sides”.

- *EVOC-CAPA-SIMI*: In the perspective of the German policy partner the EVOC-CAPA-SIMI questionnaire set is not assessed as an useful tool in the STAVE context. Not because the questionnaire set itself would be reviewed badly, but because policy makers feel that due to the small numbers of STAVE participants it is not able to produce useful findings. With a view to CAPA it was suspected that the answers mainly reflect socially desired response. Overall, the policy makers' recognized that EVOC-CAPA-SIMI results may be beneficial for the group dynamic, but see only a low value in the policy context.
- *Balance between different feedback stages*: In the light of the UK STAVE trialling, it could be argued that a balance needs to be struck between immediate and unrefined feedback to the policy officials and in-depth analysis of the data generated by the STAVE participants. Involving the policy officials at each stage of the STAVE process seems necessary in order to ensure that the process is implemented in ways strongly responsive to policy officials needs, and in this way it is more likely to produce material that can be used as robust evidence in the policy-making process.
- *Sensibility to resource constraints*: when there is time or money constrains, implying too many methods could be counterproductive.
- *STAVE and pre-existing commissioned research*: The STAVE 2 and 3 interventions in the UK produced some hints that policy makers who already own a sizeable body of specially-commissioned research may not appreciate STAVE material because it could tend to go against their pre-existing view of lay behaviours. This could have been the reason why DEFRA policy officials did not – in contrast to all other policy makers – find the STAVE feedback very interesting.

Looking at both feedback stages where they took place, the immediate & unrefined and the full feedback, it can be concluded that no essential differences between them have been found. The full feedback mainly has confirmed the initially provided evidence and elicited only some additional insights. It seems that the immediate and unrefined feedback gives policy makers sufficient material and information about issues under examination. This impression is especially true for Spain, where one policy maker put it like this: *"I think I liked the first presentation more because it was more alive, more visual... Today it was less surprising, it seems more like a standard report and any..."* This represents a highly important confirmation of the STAVE tool's policy feedback approach which is in principle based on the immediate and unrefined feedback.

Again, the UK policy officials had a different view since they seemed to just have expected a standard research report and now were a bit puzzled when receiving "only" immediate and unrefined feedback.

- *Summary of findings as to STAVE as a policy tool*

The STAVE trialling process has allowed identifying the most powerful STAVE components as well as shed light on some difficulties related with STAVE methods. Based on the evidence presented above the strongest tools are:

- *oval mapping* as a powerful resource to illustrate the evolution from the abstract to the specific, bridge the gap between self-perception and real behaviour, and synthesise attitudes and reasoning; an crucial advantage of this method are its immediate visualization capabilities
- *diaries* as a tool that is able to deliver a richness of data on daily behaviours and focusing participants' attention to their day-to-day activities
- *policy questions* as a means to create “lay knowledge” usable in political decision making process
- *resource allocation exercise* as a straightforward ranking of potential policy measures
- *EVOC-CAPA-SIMI set* as a method for ratifying policy makers' intuitions on citizens' attitudes, and learning about individual profiles and awareness of the group participants
- *simulated newspaper article* as an excellent instrument to put information into groups and stimulate discussions

Regarding the **resource allocation exercise** and the **diaries** some performance problems have occurred. The first tool could provide even better findings in terms of shared lay meanings attached to sustainability if participants will be required to design potential policy issues themselves. As to the diaries sometime it happened that participants after a while started to feel bored or run out of things to write about. This influenced the diary quality negatively. For the German policy partner the **EVOC-CAPA-SIMI set** is a useful tool only in terms of creating group dynamic and not with respect to creating valuable policy findings.

In terms of the overall capability of STAVE to support policy related decision making the trialling process has produced the following insights.

The **most positive STAVE feature** in this respect is the tool's ability to uncover different aspects of citizen attitudes and behaviours, reveal underlying complexities in human behaviours, and generating meaningful knowledge as to policy questions and measures. STAVE creates “access” to the daily lives of lay citizens which is a major precondition in order to elaborate policies that are able to induce behavioural changes towards sustainability.

This advantage is amplified by **further valuable characteristics**, mainly the exploratory approach of STAVE and the capability of providing useful information in a fast way (i.e. adapted to the needs of the policy process).

On the other hand, the trialling process has revealed various issues that need to be carefully considered in the final STAVE design, most of all the following ones:



- *Instructions for use:* Policy makers need clear guidance how the different STAVE tools work, which evidence they provide, how this evidence is to be evaluated/analysed, and for which policy domains, questions, etc. STAVE is suitable.
- *Creating trust in reliability of findings:* Policy officials need convincing arguments that STAVE findings are reliable information even without being representative. This would be specifically important when it comes to present STAVE results to top level colleagues or the minister.
- *STAVE and other policy instruments:* This point to the need to consider how STAVE can be combined with other strategies in policymaking processes.

Overall, evaluating and analysing the extensive STAVE trialling process has generated all material and findings that are necessary to proceed to the next STAVE building stage, i.e. the elaboration of the final tool design. In this process, all above presented component parts, options and difficulties will be properly considered, always with a view on providing policy makers a tool that is adapted to their needs and flexible enough to be used in different policy contexts.

We expect that this final design process will benefit from the following forthcoming PACHELBEL activities:

- the Stuttgart meeting (April 16-18, 2012) where we will have the chance to gather suggestions of the Advisory Board in order to integrate them in the final STAVE design
- the results of WP2 ("Integration and Evaluation) in terms of the in-built evaluation of the whole process
- the results from the validation workshop to be held in Autumn 2012.

## 5. STAVE implementation in country perspective

The following depictions of the results from the already analysed STAVE groups and policy feedbacks are based on a twofold structure. Each country chapter starts out with “general information” about STAVE interventions and policy related topics. Then the results as to “creating and providing policy feedback” will be depicted.

### 5.1 France

#### 5.1.1 General information

**Policy maker and approach to citizen engagement:** The French PACHELBEL team worked with three policy makers. Two are council representatives of the CGEDD (General Council for environment and sustainable development) at French Ministry of Environment. One is a representative from ERDF (the national electricity distribution utility), directly involved in the implementation of the French smart meter “LINKY” (our policy issue for France).

About CGEDD: Formed by decree in July 2008, this is the “environmental authority” identified by European directives in regard to the evaluation of plans, programs and projects. It is also an expert arm offering advice, inspection and auditing services to the Ministry. The ERDF is a fully-owned subsidiary of the national utility Electricity of France EdF, and manages the public electricity distribution network for 95% of the continental territory of France.

Considering their institutional context and missions, all three policy makers showed interest in engaging in the STAVE process, thus engaging dialogue with lay citizens. Our two policy makers from the French Ministry of Environment have rather limited “direct” experience as to citizen engagement (meaning here direct interactions with citizens). However they use a lot of studies (both quantitative and qualitative) dealing with citizens’ views and insights. They say that they are “research results consumers” rather than “research results producers”. Our policy partner from ERDF is more familiar with direct consultation approaches as he organized already (within the implementation process of LINKY) some round tables with citizens (although in his vocabulary these are designated as clients and/or consumers).

**Policy issue:** A smart meter (named LINKY) has been implemented by the national utility in 250,000 households in two French regions (a rural region in the Center of France, and Lyon, a large city towards the south-East of the country). This smart meter is currently in a “test” sequence before the equipment is generalized across the territory. Our French policy partner and policy officials were thus interested in using the STAVE process to explore how this new smart meter was viewed, integrated and utilized by the citizens. STAVE was also seen as offering an opportunity for collecting information about citizen behaviours in energy conservation and sustainable consumption in general.

**Policy assumptions:** A major policy assumption is that feedback to the citizen/consumer will translate into electricity savings. If the consumers knows how much he consumes, he can engage saving behavior. Then new feedback shows him the results, reinforces his effort, and so on. So the goal has been to develop a smart meter that gives direct, precise, immediate information within each household.

Another policy assumption, or even tool, is summarized by the three leverages available for policy: Stick (punishment or authoritarian approach); Carrot (rewards or incentives); Sermon (advice to become a good citizen).

**Policy questions:** In a first phase, it was decided to gain broad evidence of lay people's reasoning on domestic energy savings and also to gather information on how the smart meter was integrated and utilized. In a second phase, a more focused policy question was introduced into the groups, coinciding with the weather context which presented an opportunity to gain evidence about a specific issue: electricity consumption peaks. Indeed, at the time of the urban STAVE groups in the city of Lyon, France encountered unusual climatic conditions (very low temperatures in January and February) that generated record-breaking electricity consumption peaks, highlighting the problems of over-consumption and their (potential) consequences in terms of costs, pollution and possible black-out. This specific issue became of interest to our policy partners, and we developed an ad hoc questionnaire to stimulate group discussions in the two STAVE groups (2&3) in Lyon. The questionnaire was mailed to each member of the first STAVE group which had terminated a few weeks earlier, and all participants returned it. Another specific uncertainty for the policy partners regarded the actual temperatures inside the homes. So we provided the two STAVE groups in Lyon with individual thermometers to measure the temperatures of the various areas of their living interior.

**STAVE mode:** STAVE was conducted in an exploratory mode.

**Policy feedback:** The following table offers an overview of the feedback provided on the three French STAVE groups:

**Table 5: Policy feedback on STAVE groups in France**

<b>Policy feedback</b>	<b>Date</b>	<b>Objectives</b>	<b>Participants</b>
E-mail	Nov. 30, 2011	Immediate and unrefined feedback on STAVE 1, session 1	HB, JRB, BL
E-mail	Jan. 1, 2012	Research team sent Full Report (80 pages) on STAVE 1, 3 cycles	HB, JRB, BL
Phone interaction	Jan. 8, 2012	Talk on STAVE 1 report	HB MP(PACH)
Phone interaction	Jan. 17, 2012	Talk on STAVE 1 report	BL MP (PACH)
Meeting	Jan. 20, 2012	Talk on STAVE 1 report	JRB MP(PACH)
Meeting	Feb. 22, 2012	Immediate and unrefined feedback on STAVE 2&3, 3 cycles	HB MP(PACH)
Meeting	Feb. 29, 2012	Draft report on STAVE 2&3, 3 cycles	HB, JRB MP(PACH)
E-mail	March 19, 2012	Research team sent Full Report on STAVE 1,2&3, 3 cycles	HB, JRB, BL MP(PACH)
Phone Interaction	March 22, 2012	Additional individual interview on STAVE results	HB NS(PACH)
Phone Interaction	March 23, 2012	Additional individual interview on STAVE results	BL NS(PACH)
Meeting	March 27, 2012	Additional individual interview on STAVE results	JRB NS(PACH)

### 5.1.2 Creating and providing policy feedback

#### → Methods used to create policy findings and how they have worked

#### Groups 1-3, 1st session

1. **EVOC-CAPA-SIMI questionnaire.** We administered the EVOC-CAPA-SIMI set at the beginning of the meetings. We quickly explained how the questionnaire was structured and that it included a glossary for the part 3 (SIMI), that could help them if they had any doubt about a meaning. Participants welcomed the exercise. They completed it rather fast. Some of them used the glossary and others not. We had no discussion after the questionnaire was completed. When collecting sheets, we told them that we would present the results at the next meeting. Participants felt comfortable with this proposal, or at least they did not object – the fact is they were a little shy at first (they would become more expressive during the next meetings, sometimes to complain, e.g., about the repetitiveness of the diary).

2. **Simulated newspaper article.** Again, participants welcomed this material. The article we used was a simulated newspaper article. We announced this when handing out the copies to participants. This did not

raise any questions or reactions. Participants read the article quietly and there were no questions on vocabulary or other notions while they read it. The article was a description of LINKY. It presented the objectives, the geographic implementation of the test phase of this smart meter, its functionalities and the debates around this new technology.

Once participants were finished with reading, we went round the group to hear insights from each participant. They had all something to say or share. The discussions keyed on their personal experience of the smart meter, technical difficulties they encountered, the lack of information they suffered from. They also started to share first practices on how they save energy at home.

Although it was a simulated news article, participants took it as if it were an official information source (*"it is about time that we are given some information about Linky!"*).

**3. Oval mapping exercise.** The oval mapping was efficient and also welcomed. We prepared 4 questions for the oval mapping. 1/What are your personal motivations to engage in saving electricity? 2/What are the obstacles to your engagement in saving electricity? 3/Concretely, what do you do to save electricity? (give examples). 4/How can LINKY help you to save electricity? After each question, we collected the post-its, and put them on the blackboard. Together we compared, structured and discussed the various responses and ideas.

**4. Behaviour questionnaire (Temperature template).** At the end of the session we provided STAVE groups 2 and 3 with individual thermometers to measure the temperatures of the various areas of their domestic interior.

## First intermediate phase

Between the 1st and 2nd meeting, participants had to complete a diary, daily, for 7 days. We used both electronic diaries and paper diaries (for those who didn't have internet access – only in STAVE 1, older sample and rural population). The diary included 12 or 13 questions every day. People were asked the following questions: if they checked their energy consumption with Linky; what they could observe; how they reacted to what they had observed; what appliances they used and at what time; if they tried to use their appliances differently and if yes explain how and what they learnt. They were also asked if they had discussed about energy savings during the week, at home or elsewhere, with whom and on what subject specifically; if they had seen or read any information on energy savings, and where. Broadly, all participants responded in time with some exceptions (2 or 3 group participants had to be reminded).

Participants from group 2 and 3 had also to complete the temperature template we provided them with at the first session, asking them to indicate at least once a day the temperature in each room of their home and ideally indicate it twice a day (morning/evening). Another option we offered was to complete 1 room twice a day. As mentioned, we provided an attractive standard thermometer to effect these measures.

## Groups 1-3, 2nd session

### 1. Behaviour questionnaire (Temperature Template).

#### Group 2 and 3 only

All participants (except one who forgot it at home) filled this template in very scrupulously. Surprisingly they even did better than we asked: many participants completed all rooms, twice a day! As we collected their templates, we asked them to share their thoughts about the exercise and what they had learnt. Aside the fact that some of them estimated that it was a lot of additional home work (referring to the diary task they had also to complete during the intermediate phase), they found the task very interesting and were sometimes even surprised about results. Ex: one participant thought she had a much lower temperature than what the thermometer indicated. Another experienced that in a same room, the temperature could vary from 1m to another. This exercise generated lots of discussions among participants and they were quite eager to learn about other's temperatures. There was a high variability of temperatures among the group: from 12.5°C to 23°C (cold temperatures being an exception).

## 2. EVOC-CAPA-SIMI questionnaire.

### Group 1 only

2nd Administration: We administrated the questionnaire again, at the very beginning of the second session. We wanted to see if results had evolved already after one meeting.

### Group 1, 2 and 3

- Feedback on EVOC-CAPA-SIMI Results (1st administration). We gave feedback on all three parts of the questionnaire: EVOC, CAPA and SIMI. We presented the results using power point. Participants were interested in visualizing their group results for EVOC and CAPA but it did not raise any questions or much discussion. On our side we did not more focus on them as we wanted to spend more time on the next part, the SIMI results (especially within STAVE 1). We spent a lot of time on these results which connected sustainable consumption to public transport, local action capacity, recycling and bio-agriculture. The discussion on the basis of the slide we showed was very rich, with participants giving a lot of explanations on their local context and habits. Within STAVE 2 and 3, there was also discussion but group participants were more focused on trying to understand the connections they made.

## 3. Diary feedback (to all 3 groups).

Firstly, we asked participants to report on their experience with their diary. They did not report any technical problems and said that they rather enjoyed filling it in (especially STAVE 1 participants). On the other hand they also told us that they found it a little too repetitive as far as the 3 first questions are concerned (did you look at your energy consumption today, using Linky). Several others reported that they responded 'no' to the questions as they did not have easy access to their smart meter (this was quite surprising because we did not have the information that Linky could also be outside the home, in a coffer or in garage). The feedback on the diaries had a good impact on the group discussions and more practices, tips and suggestions were shared among the group.

4. Oval mapping exercise (Group 1 only). People have been equipped with Linky without being a volunteer. Their region was selected for the test phase and every home in this region now has the smart meter. The fact that people were not asked raised a lot of discussion among the group as well as scepticism or criticism about Linky. We made the oval mapping exercise on the following question: "If you had been asked, what would have been the arguments that would have convinced you to go for it?"

## Second intermediate phase

Between the 2<sup>nd</sup> and 3<sup>rd</sup> meetings, participants hold their diary again, for 7 days. Every participant responded, except one person (same as for the 1<sup>st</sup> diary, STAVE 1), who again did not respond every day. We slightly changed the questions, adding new ones in as we had more knowledge about group participants and their habits.

## Groups 1-3, 3rd session

1. EVOC-CAPA-SIMI (2nd administration) in group 2 and 3. We administrated the questionnaires at the very beginning of the Session. In group 3 participants had no problem to fill it in a second time. They took their time and showed themselves to be very concentrated. At the end of the exercise, one participant of this group asked if she could keep the glossary because she found it very clear and thought that it was a good document to have in hand when discussing sustainability with her children. In group 2, the second administration created some tensions. Indeed, right at the beginning of the task, one participant said that she had a problem with this questionnaire and in particular with the terms consumption and sustainable. We went back to her after the whole group had completed the questionnaire, to hear what she had to say and this generated rich group discussions. Discussions keyed on the following themes: Impact of individual and isolated behaviors in comparison of the impacts produced by the business or public sectors; the importance to act collectively rather than individually; the anger to be considered as a simple consumer and not a citizen... It has to be noted that this participant did not question the terms during the first application. A hypothesis can be that she gained either or both in awareness and expressiveness over time. Generally, all

participants in all groups increased their mode of participation and generated more analytical content. The STAVE process had an empowering effect upon the participants.

## 2. Diary feedback.

- Again, we asked (all 3 STAVE group) participants to share their experience of the diaries. While group 1 and 2 did not really complain about the task (just telling us again that they found it a little too repetitive), participants of group 3 were much more virulent saying that they were sick of answering the same questions day after day, even though we had introduced new questions.

- Diary feedback was only given in group 1 for time reasons (we had to introduce a new policy question, thus a new questionnaire). Group 1 didn't report any difficulties. The new questions were discussed within the group. A lot of practices on how to save electricity and more widely energy were shared.

3. Policy question/background questionnaire on consumption 'peaks and shaving' (or leveling). The questionnaire interested our participants as much as it worried them. Indeed, this questionnaire was focused on immediate and more visible issues (problems of over-consumption and their potential consequences in terms of costs, pollution and possible black-out). Participants filled it in individually and moderators then went round the room asking for comments. Each participant was happy to share his views about this specific questionnaire.

4. Resource allocation exercise. The resource allocation exercise worked very well. Each participant completed the template and presented his allocation strategy to the group. One of the moderators wrote the amount of allocation for existing or new options on the board. Together we summed up the budget for each option and ranked them.

Participants enjoyed this exercise. Insights and discussions were rich. The template included initially 10 options. Group 1 was particularly inspired and added 6 new options. Group 2 and 3 added only one option.

5. Evaluation questionnaire. At the very end of the sessions the evaluation questionnaire was filled in. In all three STAVE group participants raised the issue of representativeness, and showed some anxiety as to the responsibility they have in this group process (anxiety to be the voice of all citizens). Another of their concerns regarded the follow-up of these group sessions. Will they be heard or is it going to be a 2000-page report that will end up in a drawer?

→ **Evidence gathered, analysis of evidence, and material captured for policy feedback**

### Evidence gathered

The following evidence was gathered for all 3 STAVE groups (26 participants in total)

- Audio recordings of all group sessions (9 sessions, fully or partially transcribed)
- Photos of all groups; photos and maps (for Group1)
- Photos of oval maps
- 2 x 26 diaries
- 2 x 26 EVOC-CAPA-SIMI questionnaires

- 26 Resource allocation exercise questionnaires
- 17 Temperature templates
- 26 questionnaires about consumption peaks and shaving
- 26 Evaluation questionnaires

### Immediate and unrefined feedback

#### **Analysis of the evidence**

*Qualitative* analysis has been carried out and communicated to the policy persons. This analysis contained:

- First insights of participants as to their electricity saving behaviours (from Diaries),
- Information about motivations, barriers, concrete actions in end of engaging electricity savings
- Points of views about the efficiency and lacks of the smart meters (from group discussions)
- Long term considerations about improving their electricity/energy consumption (isolation of homes, solar energy). The day to day efforts are good but not enough.
- Their views on wider considerations regarding energy: place of nuclear energy; renewable energies; waste management
- Considerations about roles and responsibilities in saving energy; national, European and international considerations about energy strategies (need of coherent state community energy strategies); Individual efforts are not sufficient anymore, energy savings are the matter of all, the collective effort is important. Collective effort must happen in the private sector (citizen collectives, associations, companies) as well as in the public sector (urban lightening, transports, waste, development of new energies, education)

*Quantitative* data analysis has been carried out and focussed on the EVOC/CAPA/SIMI questionnaire, the allocation exercise, the ad hoc questionnaire on consumption peaks, and the evaluation questionnaire.

#### **Material captured for policy feedback**

- Description of Group sample
- Photos of group
- Maps: location of the city in France, suburbs of the city (bigger cities around at 30-50km distance), city map with indication of where participants live.



- Powerpoints on EVOC/CAPA/SIMI and Diary results
- Interim full report on STAVE 1 (3 cycles)

### Full feedback

#### **Analysis of the evidence**

As for immediate and unrefined feedback, quantitative and qualitative analysis has been carried out but in a more detailed way. Researchers analysed each piece of STAVE to constitute a whole that reflects as fully and precisely as possible the citizens reasoning.

#### **Material captured for policy feedback**

Full Report -120 pages, including annexes

##### Table of content of the report

1. Introduction
2. STAVE and its objectives
3. Group Description: dates, localisation, participants' profiles
4. Synthesis of STAVE findings
5. Detailed presentation of STAVE results
  - 5.1 Citizens' motivations to engage in electricity savings
  - 5.2 Citizens' barriers to engaging in energy savings
  - 5.3 Everyday behaviours to make electricity savings
  - 5.4 LINKY: living and experiencing the smart meter
  - 5.5 The issue of consumption peaks and shaving
  - 5.6 The Citizen in the shoes of the Policy : his financial strategies (resource allocation exercise)
  - 5.7 Citizens' satisfaction and worries as to the group discussions and the follow-up.

##### Annexes to the report

Simulated News article

EVOC-CAPA-SIMI results (all STAVE groups together)

Diary results all STAVE groups (graphs and quotations)

Resource allocation exercise (all STAVE groups together)

Ad hoc questionnaire results (All STAVE groups together)

Evaluation questionnaire results (including quotations on the open questions)

## → Policy maker's reactions to STAVE feedback

Our policy partners are certainly satisfied with the STAVE feedback. They are impressed by the capacity of STAVE to generate and validate results which have been produced by other research. They also gained some new knowledge about citizens' reasoning – and they feel quite close and supportive of this reasoning.

In addition to this overall aspect, it has to be noted that their reactions evolved over time. Here it is important to mention the schedule of our 3 STAVE groups, as this seemed to impact both the extent of their reactions and their reactivity and involvement in the STAVE process.

The policy officials reacted to various aspects of the group process. Of particular interest, however, is the cadence of their reactions. Indeed the policy officials became more and more engaged with the PACHELBEL research as the cycle of group meetings and feedback progressed. Here it is important to mention the schedule of our 3 STAVE groups, as this seemed to impact both the extent of the policy officials responses and their reactivity and involvement in the STAVE process.

The STAVE groups were conducted within the following time frame:

- → STAVE group 1 in November-December 2011, in a rural region of France (small city, oldest citizen sample, middle and working class profiles)
- → STAVE groups 2&3 in January-February 2012, in a more urban region (big city, younger sample, middle class profiles).

Our 3 STAVE groups were thus not concomitant but were conducted over a rather long period, 4 months in total. Reactions of our policy partners evolved slowly and progressively, starting in a rather shy way and getting more and more focused and precise as we went forward. Indeed, we got rather few reactions at the very beginning of the STAVE process. This can be related to the general posture that our policy partners wanted to adopt at the beginning of the process, i.e. an exploratory mode. Indeed, the first STAVE group was rather seen by them as a "test" phase. A move by the PR after the close of STAVE 1 probably caught their interest in a new way: we prepared an interim but full report (80 pages) on STAVE 1 results. This demonstrated that STAVE was capable of generating a great deal of insightful material. One policy official commented after STAVE 1: "Go ahead, apply the same process to the next two groups in Lyon". From this point on the policy officials reactions and involvement (availability + reactivity) became stronger.

Among their reactions we can include at some indirect level some evolution of our policy partners. They started as rather self-centred technical experts, then they took notice of the citizens reasoning and injected new issues to be worked with the groups (S2 and 3), then they integrated citizens reasoning. This process led to some self reflexion and analysis about their own role and institutional context.

Overall we can mention here that our policy partners were very open-minded and eager to have feedback on STAVE outputs and group results. They were very attentive to each

immediate and unrefined feedback, regarding the results obtained by the various material used in the STAVE process i.e.: questionnaires, exercises, diaries. They also appreciated the interim full report after STAVE 1 as well as the complete report which included a synthesis of all findings.

### → Conclusions on usefulness of STAVE components in policy making

As PP1 mentioned, he is above all interested about the results and leaves to us the methodological aspects. Looking back at the role played by each material, some main points appear:

- The EVOC-CAPA-SIMI questionnaire gave policy officials a broad idea of the citizens' sensitivity to sustainability issues and their perceived capacity to act in favour of sustainable consumption. This helped policy officials learn about individual profiles and awareness of the group participants. In particular for STAVE 1, it made clear that the first sustainability issue for rural citizens is local transportation (living in a rather isolated area, they say).
- Diaries informed policy officials on individual behaviours at home (and independently from the group dynamic) and on how these behaviours evolved during the STAVE process, thus demonstrating the impact of the group dynamic. The results of the diaries were integrated by policy officials and they mentioned the diaries as an interesting source of learning about behaviours. Diaries have also been mentioned when our policy officials talked about the uniqueness of STAVE in comparison to other methods.
- The ad hoc questionnaires gave important and additional information on further aspects about electricity savings and energy consumption. These were developed directly in responses to issues brought up by policy officials during the discussion of the first results.
  - The first ad hoc material was a template that citizens had to fill in twice a day for one full week, indicating the temperatures in each room at home.
  - The second ad hoc material – a questionnaire about the issue of consumption peaks and shaving solutions – informed policy officials of:
    - a) citizens' awareness about this issue,
    - b) what kind of behavioral changes they were ready to make,
    - c) their acceptance if prices of electricity were increased, and their opinions about the implementation of this price increase on a societal and equity level. This was seen as an important aspect given that electricity rates are regulated: there is a concern about the political reactions within society that could be triggered by an unpopular decision. When discussing the results of this specific questionnaire with our policy

officials, they questioned for instance the way this price issue was presented and realized that it was perhaps not presented in the appropriate way. The results of this specific questionnaire had an important impact on interactions among our policy officials, challenging their reasoning, creating new insights as well as new assumptions.

→ The citizens' verbatim in general (extracted from all the above material but also extracted from the group discussions and partially or fully transcribed) formed the essence of policy official's understanding about citizen's reasoning.

The resource allocation exercise was probably the only material from which our policy officials could not extract sufficient material and on which they interacted the least. Nevertheless, it contributed to showing the overall views about investment priorities from the point of view of citizens, thus highlighting potential disagreements between policy makers and citizens about priorities and about broad political strategies and decision making. They saw in the results that any increase of electricity pricing is rejected, as is the idea of fines for overheating at home (a topic suggested by one policy official). Maybe policy officials in France react defensively to this tool: they might consider they are the ones who make the policy decisions, not the citizens. And the group participants enjoyed very much this exercise, maybe their favorite.

## 5.2 Germany

### 5.2.1 General information

**Policy maker and approach to citizen engagement:** The German policy partner is the Ministry of the Environment of Baden-Württemberg. Baden-Württemberg is one of the 16 German States (Länder), the Ministry is in charge of environmental, climate protection, and energy policies in this State. The collaborating policy makers of the Ministry work in the Unit "Basic Issues of Climate Protection" which belongs to the Department "Basic Issues, Sustainability, Climate Protection, Green Technologies". This department is one of the 6 departments of the Ministry. The policy makers' experience with public participation processes is limited to some so-called internet consultations. These are questionnaire-based online surveys aimed at eliciting citizens' and stakeholders' opinions and evaluations in view of scheduled policy initiatives. After some opposition against involving lay people in policy making even on such low levels, in the meantime – as one policy official stressed – an internet consultation "definitely" belongs to the policy making processes of the Ministry. And since the recent change of state government (March 2011) participatory approaches seems to gain strongly in importance.

**Policy issue:** The policy issue of all three German STAVE interventions was domestic energy use in the fields of electric kitchen appliances, electronic devices, heating, and hot water (power and heat). The objective was to create evidence about citizens' daily energy-related behaviour at home and to investigate their motives, activities and obstacles as to saving energy. The selection of this substantive issue was agreed with the German policy

partner, the Ministry of the Environment, Climate Protection and the Energy Sector of Baden-Württemberg, UVM. During the year 2010, the Ministry had developed the so-called Climate Protection Concept 2020 Plus. This is a very broad policy programme which addresses almost all climate-relevant sectors, including consumer areas like traffic and energy use at home. In the consultations with UVM about the topic to be chosen for STAVE it turned out that the latter issue is of specific interest for the policy makers as they felt a considerable lack of knowledge on citizens' attitudes and behaviours as to this consumption domain.

**Policy assumptions:** No explicit assumptions were identified to be validated by STAVE groups.

**Policy questions:** The policy makers wanted to know whether and to what extent citizens would accept policy measures aiming on reducing households' energy consumption.

**STAVE mode:** The focus of the German STAVE interventions was on investigating citizens' energy using behaviour and learning about how they would perceive climate relate policy measures. Thus, STAVE groups in Germany can be characterized as being explorative.

**Policy feedback:** The following table offers an overview of the feedback provided on the three German STAVE groups:

**Table 6: Policy feedback on STAVE groups in Germany**

<b>Policy feedback</b>	<b>Date</b>	<b>Objectives</b>	<b>Participants</b>
Meeting 1	Sept. 28, 2011	Immediate and unrefined feedback on STAVE 1, 2, 3	GS, RC, GT WK (PACH)
Phone/Email interactions	Sept. 29 – Oct. 7, 2011	Preparing the Stockholm meeting	RC WK (PACH)
Phone conversation	Oct 14, 2011	Feedback from Stockholm meeting	RC WK (PACH)
Meeting 2	March 9, 2012	Full feedback on STAVE 1, 2, 3	RC WK (PACH)

## 5.2.2 Creating and providing policy feedback

### → Methods used to create policy findings and how they have worked

#### Groups 1-3, 1st session

1. **EVOC-CAPA-SIMI tools.** We administered the EVOC-CAPA-SIMI set and discussed answers in the first session of all three STAVE groups. The original idea was to quickly go through the questionnaires and let

people just say some answers without discussing them. But participants of group 1 felt unsatisfied by this approach and instead of relaxing the atmosphere people got a bit puzzled. They had no or only a vague idea why we let them fill in questionnaires on sustainable consumption because they had expected to join a discussion on energy use at home. So the facilitator had to do some persuading in order to prevent people from getting bored when we requested them to proceed with reading the fake article.

Thus, we provided groups 2 and 3 more time for discussing answers and now the exercise worked well in creating a positive group feeling, namely for two reasons:

- While talking about sustainable consumption, participants started to perceive that this topic is also related to energy use, and so they could make sense of EVOC-CAPA-SIMI exercises.
- The first interactions about the general topic of sustainable consumption were a good warm-up for the later conversations about details of everyday life at home. In other words: starting with a topic that was not directly linked with participants' real lives helped them to get rid of possibly existing reservations to reveal private habits.

**2. Simulated newspaper article.** The participants found it easy to read the article and it worked well in triggering reflections on one's own and others roles and opportunities for contributing to climate protection. The article was a good bridge between the previous general discussion of sustainable consumption and the succeeding oval mapping exercise on individual possibilities of reducing household-related energy use.

The participants characterized the article as multifaceted and said it pointed out clearly that climate protection can only be achieved if all societal actors are actively involved. Just to wait that new technologies (e.g. renewable energies) will solve our problems would not be an appropriate approach. On the other hand, the question was raised that if climate protection is labelled as a task for the whole society, many would take this as excuse to do nothing at all. Thus, policy should set the framework under which citizens, industry, and other actors can play their roles. Some participants had a controversial interaction if a more market-oriented or a more regulation-oriented policy would gain the best results in terms of behavioural changes.

**3. Oval mapping exercise.** The oval mapping elicited a rich collection of things people can do in order to save energy at home. But as with EVOC-CAPA-SIMI, in the light of the experience of group 1 we used a different approach for groups 2 and 3. In group 1 we requested participants to produce as many maps as they want. Then we collected the maps and the facilitator put them on the pinboard. But because of the great amount of maps it was difficult to sort them and to create a clear picture of participants' ideas. In group 2 and 3 we applied a different approach. We at first requested people to produce only three maps, and then go to the pinboard in order to stick them there and explain its meaning. Then we opened the discussion and always when new ideas appeared people made further maps. So we had a more structured and focussed oval mapping exercise.

**4. Background questionnaire.** Participants filled in a questionnaire with general information on their domestic energy use (e.g. equipment with appliances, size of the flat, etc.). This information was needed to support our understanding of the energy diaries participants were requested to keep between the sessions (cf. below).

## First intermediate phase

Between the first and the second meetings we requested people to keep diaries on 7 days about their energy use at home. We produced a diary template which consisted of two parts. At first there was a structured section where people should make entries on their daily use of devices and illuminant. Then the template provided some open space for participants' depictions about their everyday life related to energy use at home. We used an electronic diary format based on Google docs.

After receiving two or three diaries, we called almost all participants to give them a feedback and – if they were obviously uncertain how to report about energy use – communicate some additional ideas on what to write in the diary.

## Groups 1-3, 2nd session

**1. EVOC-CAPA feedback.** We started with a brief report about the results from the EVOC and CAPA questionnaires using two charts of Symlog's evaluation which we circulated as handouts. To keep things straightforward, we focussed on these two tools as they are easiest to understand and provide sufficient insights into the groups' ideas on sustainable consumption. People were interested in the results, especially they wanted to know whether and how their own group differs from the other groups (CAPA). But as we had detailed discussions on sustainable consumption during the first meetings, we administered no discussion on the results and left it at some questions.

**2. Diary feedback.** Firstly, we requested all participants to report about their experiences with the diaries, and insights and changes that might have occurred while reflecting energy use. Then we fed in some selected findings from the diaries in order to elicit comments and discussions on these issues, e.g. complaints about the carefree energy use of teenagers or doing the washing up by dishwasher and hand in parallel. All in all the diaries worked pretty well in providing insights into the everyday conditions of energy use.

**3. Oval mapping exercise.** The next part of the meetings dealt with the continuation of the oval mapping exercise. We recalled the oval maps from the last meeting which were about general ideas how to reduce energy use at home. Then we requested participants to go to the pinboard and mark with a dot these activities they have not done yet. After this, we let participants write down additional maps with triggers for carrying out energy saving habits (those they actually do). Every participant was requested to come to the front and stick his/her maps on the board, say something about their contents and discuss them with the group.

**4. Policy question/self analysis exercise.** As last exercise of the meetings the policy questions were on the agenda. The most interesting question for the policy makers was whether people are accepting policy measures aiming at reducing domestic energy use. We chose a handful of consumer related measures from the Climate Protection Concept 2020+ (CPC 2020+) that would be appropriate for group discussions. Four measures in the field of energy efficient buildings and two in the field of electric appliances were selected to be discussed by the STAVE groups. Beginning with the extensive, expert oriented descriptions in the CPC 2020+, we elaborated easy-to-understand sheets for both action fields with the following structure:

Preliminary note about the origin of the following policy measures

- General information about energy efficient buildings respectively electric appliances
- Brief depictions of the policy measures
- Assessment of the climate protection impact of the measures

In session 2 we focused on energy efficient buildings. The participants were requested to read the sheet (2-page paper handouts) and evaluate the measures along 3 questions:

- What is good/bad about the measure?
- What questions about the measure would you ask the policy makers?
- Do you think the measure should be implemented?

These questions were derived from the self analysis template, and we aimed at enabling the group to create shared answers. As the group deliberations have shown, the information sheets worked well in providing participants with sufficient knowledge to be able to reason about these questions. It was also possible for the groups to agree on shared answers. We wrote down the group's answers on a pinboard template which we had prepared in advance for this exercise.

It turned out that the owner group (G3) had a very intensive and well-informed discussion, whereas the two tenant groups (G1, G2) had some difficulties to talk about measures of which they are not directly affected. Nonetheless also the tenant groups were able to jointly create answers.

**5. Socio-demographic questionnaire.** We closed sessions 2 with quickly administering a questionnaire on participants' socio-demographic data.

## Second intermediate phase

Between the second and third meetings participants again were requested to keep diaries on 7 days about their energy use at home. The same diary template and format (Google docs based electronic diaries) were used.

### Groups 1-3, 3rd session

**1. Diary feedback.** We started with a quick feedback to the second diary week. They reported no problems but some of them said that they had the feeling that there was nothing new to report about. In order to elicit lively discussions among participants we then asked them to talk about individual learning and behavioural experiences all group members should adopt.

Concerning the quality of the received diaries, three types of diaries can be distinguished:

- Short narratives: Here participants told about their day with detailed depictions of what has happened or what they have thought. These diaries were highly valuable for gaining insights into everyday life.
- Lists of events: Diaries of this style are more or less detailed lists or short sentences about energy related topics. They were useful in getting insights in the daily energy use, but they provide only minor evidence about day-to-day behaviour.
- Lacking in content: In this case the participants produced not a diary, rather they said – in various ways – that they have nothing to report. These “diaries” provided no useful evidence.

**2. Oval mapping exercise.** Results from the oval mapping of the second meeting were remembered. Whereas the focus of the previous meetings had been on energy saving behaviour and its triggers, participants now reflected on barriers that prevent them from behaving in an energy efficient way at home. This was very fruitful because it helped to get a realistic picture of how domestic energy use respectively citizens’ reasoning about environmental and climate protection is embedded in their complex, sometimes contradictory everyday lives.

**3. Policy question/self analysis exercise.** Like in the previous meeting, a handout with brief descriptions of measures of the Climate Protection Concept 2020+ was circulated, this time with two measures in the field of electric appliances. As the topics discussed this time were easier to understand as those of the last meeting (energy efficient buildings), group deliberations immediately were quite lively. This is especially true for the two tenant groups (G1, G2) who the last time had to struggle with the issues in question.

**4. Resource allocation exercise.** The resource allocation exercise was used as individual ranking of the six policy measures discussed during this and the last meeting. It worked very well and it was fun for the participants to have the chance to clearly point out their favourites. A few added additional measures, indicating that they have their own ideas for achieving energy savings.

**5. EVOC-CAPA-SIMI.** The participants filled in the EVOC-CAPA-SIMI set a second time, this time without discussing the entries.

**6. Evaluation questionnaire.** At the very end of the sessions the evaluation questionnaire was filled in.

→ **Evidence gathered, analysis of evidence, and material captured for policy feedback**

### Evidence gathered

The following evidence was gathered along the three German STAVE groups:

- Audio recordings of all 9 group meetings (transcribed in full)



- Video recordings of all 6 sessions of STAVE 1 and 3; two participants of STAVE 2 wanted not to be filmed, so we had to refrain from video recording the sessions of this group
- Photos of the groups, oval maps, and pinboard sheets
- 2 x 7 diaries of all participants
- Background questionnaire of session 1 of all STAVE groups
- Oval maps of sessions 1-3 of all STAVE groups
- EVOC-CAPA-SIMI questionnaire of sessions 1 and 3 of all STAVE groups
- Resource allocation exercise of all STAVE groups
- Pinboard sheets of self analysis exercise of sessions 2 and 3 of all STAVE groups
- Evaluation questionnaire of session 3 of all STAVE groups
- Socio-demographic questionnaire of session 2 of all STAVE groups

### Immediate and unrefined feedback

#### **Analysis of the evidence**

As to the qualitative data, i.e. transcripts of the group interactions, diaries, and the oval maps, a preliminary content analysis has been carried out. The objective of this analysis was to gain insights into participants reasoning about environmental and climate protection as it is related to domestic energy use in everyday settings, and to create an overview of participants' views on policy measures (self analysis exercise).

The descriptive analysis of the quantitative data has been focussed on the resource allocation exercise, socio-demographic questionnaire, the evaluation questionnaire, and the first administration of EVOC-CAPA-SIMI.

#### **Material captured for policy feedback**

The material captured for immediate and unrefined policy feedback encompassed photos with examples of oval mapping and self analysis pinboard sheets, and an example of a filled in resource allocation template. These materials were integrated into a PowerPoint presentation (cf. annex 7.5.1) that addressed the following items:

- Groups' segmentation
- Selected findings from evaluation questionnaire
- Findings from oval mapping exercise and diaries of sessions 1-3
- Findings from participants' assessment of policy measures (self analysis exercise of sessions 2 and 3)
- Findings from the resource allocation exercise

## Full feedback

### **Analysis of the evidence**

In order to gain insights to be used for the full feedback to policy makers, a final content analysis of the transcripts of group discussions and diaries have been carried out. This examination was built upon a range of inductively identified thematic issues (cf. D5.2). The already present findings were reviewed and enriched according to the various categories of the developed thematic framework.

Furthermore, the already existent descriptive analyses of quantitative data were enhanced and completed by evaluating the background questionnaire which aimed to gather general information on participants' domestic energy use (e.g. equipment with appliances, size of homes, etc.).

### **Material captured for policy feedback**

The additional material captured for full policy feedback included the EVOC-CAPA-SIMI questionnaire set, the simulated news article, quotes from participants, and runs of transcribed group discussions. A part of these materials (quotes) was integrated into a PowerPoint presentation that encompassed both the materials of and findings from the immediate and unrefined feedback and the newly generated materials and insights. It addresses the following points (cf. annex 7.5.2):

- Groups' segmentation
- Findings from evaluation questionnaire of sessions 3
- Findings from the first administration of EVOC-CAPA-SIMI of sessions 1
- Findings from the background questionnaire of sessions 1
- Impressions from discussions on simulated news article of sessions 1
- Findings from oval mapping exercise and diaries of sessions 1-3
- Findings from participants' assessment of policy measures (self analysis exercise of sessions 2 and 3)
- Findings from the resource allocation exercise

The other parts of the material captured for the purpose of providing full feedback were put into a separate paper-based document that was handed over at the beginning of the feedback meeting. This document (cf. annex 7.5.3) presents the

- EVOC-CAPA-SIMI questionnaire set,
- simulated news article, and
- runs of group discussions.

### → Policy maker's reactions to STAVE feedback

With respect to the *immediate and unrefined feedback*, the policy makers valued very much the insights that were gained by applying STAVE and analysing the evidence gathered. They were surprised about the rich picture of attitudes and behaviour patterns as to domestic energy use and lay citizens' intensive consideration of policy measures. In their view, the interplay of the oval mapping exercise with the diaries has created a frank and dynamic discussion atmosphere which triggered participants to politically instructive self-reflecting reasoning about their everyday lives.

Concerning individual component elements of STAVE, they highlighted specifically the discursive approach and the resource allocation exercise. As to the former they were convinced that especially the most interesting findings (i.e. barriers of energy savings, assessment of policy measures) could not have been obtained by an empirical design that was not based on citizens' interactions. The results from the latter were appreciated as excellent quantitative complements to the qualitative evaluations, queries and implementation suggestions with respect to the six policy measures. Thus, STAVE would not only provide rich qualitative information, rather it would allow also a ranking of participants' preferences.

The *full feedback* has not shown essential differences to the immediate and unrefined one. It has confirmed the policy makers' particular interest in the results of the diaries, oval mapping, discussion of policy questions, and resource allocation exercise. One policy maker stressed the point that STAVE has provided him with a realistic view of household behaviour. Thinking about how to achieve a reduced energy consumption would be important for him as policy maker who deals with this issue continuously. This made him assuming that saving energy is a top priority for everyone: *"STAVE results with respect to an average household are different from my own. Thus, I have learned that it is important not to lose track of reality."*

On the other hand, the full feedback revealed doubts about the validity of EVOC-CAPA-SIMI results (the full feedback was the first time these were presented to the project group). These doubts were attached to the small number of cases, and especially with a view to CAPA it was suspected that the answers mainly reflect socially desired response. Overall, the policy makers' recognized that EVOC-CAPA-SIMI results may be beneficial for the group dynamic, but see only a low value in the policy context. Applied on a higher scale, however, EVOC-CAPA-SIMI findings may be valuable for policy makers.

### → Conclusions on usefulness of STAVE components in policy making

The applied evaluation methods meet, broadly speaking, the requirements of the policy makers to obtain reliable knowledge that is both easily comprehensible and communicable.

- Oval mapping is highly valuable because it contributes to bridge the gap between citizens' self-perceptions and their concrete behaviour, thus delivering information that is usable in political decision processes. It is an important advantage of this method to be able to produce findings even without having transcripts of group deliberations or extensive analysis resources available. The final picture of the maps together with some additional explanations would work in giving policy makers viable knowledge.
- The diaries both support the oval mapping process and feed in information that would otherwise not be obtainable. The Internet based tool used may also be useful in policy contexts since it reduces the organisational efforts needed to produce and distribute the diary material. Another advantage of electronic diaries is that the entries can be processed without transferring the data from one media to another (e.g. from paper to electronic files).
- Both the diaries and oval mapping are seen as means to look behind the facade of participants' often too positive self-perceptions. Asked while the full feedback if in his view there is a STAVE component which he would prefer most one policy maker said this applies for the diaries: *"By far the diaries. Their data exudes a high level of credibility. It is worthwhile to take them as a kind of basis of decision-making"*.
- The self analysis exercises have shown that even complex topics can be discussed and "answered" in a short time. The success factors are to provide participants with quickly perceivable information and to offer very clear key questions in order to focus interactions on the targeted outcomes. As in the case of the oval maps, a careful recording of the answers on pinboard sheets or flipcharts might be sufficient to meet the information needs of the policy makers.
- The resource allocation tool fits very well to policy contexts. The policy makers appreciate its ability to deliver a hierarchy of preferences because this helps them to assess findings in terms of policy actions. This asset will be amplified by the fact that this tool is easy-to-use by participants and can be analysed by performing simple statistical operations.
- The simulated newspaper article will be valued as an excellent instrument to put information into groups and stimulate discussions.
- Only on STAVE component part, namely the EVOC-CAPA-SIMI questionnaire set, is not assessed as an useful tool in the STAVE context. Not because the questionnaire set itself would be reviewed badly, but because policy makers feel that due to the small numbers of STAVE participants it is not able to produce useful findings. With a view to CAPA it was suspected that the answers mainly reflect socially desired response. Overall, the policy makers' recognized that EVOC-CAPA-SIMI results may be beneficial for the group dynamic, but see only a low value in the policy context.

To have demonstrated the capability of the STAVE groups to create policy relevant findings was an important step on the way to design STAVE as useful tool for policy

makers. The feedback of these findings to the policy makers has revealed at least three topics that seem to be key requirements with respect to STAVE as policy tool:

- They need clear explanations how the different STAVE tools work, which evidence they provide, how this evidence is to be analysed, and for which policy domains, questions, etc. each tool is suitable.
- They need advice how to combine the individual STAVE methods, perhaps in the sense of providing a range of different powerful or comprehensive STAVE packages.
- They need convincing arguments that STAVE findings are reliable information even without being representative. This would be specifically important when it comes to present STAVE results to top level colleagues or the minister.

## 5.3 Romania

### 5.3.1 General information

**Policy maker and approach to citizen engagement:** The Romanian policy partner is the Caras-Severin County Council (CSCC). CSCC is the local authority for Caras-Severin county, one of the 41 counties of Romania. County Councils in Romania are responsible for local strategies, development and local laws/rules (including local taxes). The policy makers' experience with public participation is limited at public hearings and public consultation during the environmental approval of specific investment at the level of county, or more generally for programmes and policies with environmental impact. After 2010 there is an increasing interest of CSCC to understand more the behaviour of citizens and how they may be involved in the development of policies and programmes. The implementation of methods and tools aimed to improve the decision making process by a better involvement of the citizens is of special interest due to the integration process of the country in EU. A special topic of interest is to understand how the thermal rehabilitation program may be accelerated by identifying appropriate measures proposed or agreed by a large part of the citizens.

**Policy issue:** Investigating citizens' perceptions on sustainable energy consumption at each household, with an emphasis on rehabilitation issues of condominiums (insulation of the walls) in connection with National Thermal Rehabilitation Program evolution.

**Policy assumptions:** Citizens are interested in reducing the consume of energy at household level mainly due to the relative high price of the energy comparing with the level of income, but some barriers derived from their habitudes, difficulties to invest and local context.

**Policy questions:** The policy makers' questions are related mainly to the state-of-the-art of National Thermal Rehabilitation Programme and the motivations of the citizens to postpone the action of insulation. The questions are presented in the following table:

**Table 7: Romanian policy questions**

No.	Question
1	What are in your opinion the main motivations to insulate the walls of your house? Try to put them into a hierarchy.
2	What are the drawbacks connected with the insulation of the walls?
3	What are, at the level of your condominium, the main barriers acting against the achievement of the thermal rehabilitation actions?
4	What are in your opinion the main deficiencies of the National Thermal Rehabilitation Programme?
5	How important is it for citizens that by reducing heat consumption is reduced the irrational use of resources?
6	What would be the best methods to increase the citizens' awareness on the importance of reducing energy consumption?
7	Financial incentives are needed to accelerate the process of thermal rehabilitation?
8	Extensive information about how to do an effective insulation is needed? In what way?

**STAVE mode:** Because the investigated policy assumptions are very general, STAVE was carried out in the exploratory mode.

**Policy feedback:** The following table offers an overview of the feedback provided on the three Romanian STAVE groups:

**Table 8: Policy feedback on STAVE groups in Romania**

Policy feedback	Date	Objectives	Participants
After session 1 of G1, G2, G3	June 11, 2011	Immediate and unrefined feedback on sessions 1; identifying policy makers' questions for session 2	Email from MC (PACH) to VN, CC, DC, CS Phone conversation MC (PACH) with VN
After session 2 of G1, G2, G3	June 25, 2011	Immediate and unrefined feedback on sessions 2; identifying policy makers' questions for session 3	Email from MC (PACH) to VN, CC, DC, CS Phone conversation MC (PACH) with VN
After session 3 of G1, G2, G3	July 9, 2011	Immediate and unrefined feedback on sessions 3	Email from MC (PACH) to VN, CC, DC, CS Phone conversation MC (PACH) with VN r
More feedback	August 14, 2011	Preliminary analysis of the STAVE process	Email from MC (PACH) to VN, CC, DC, CS
Meeting 1	Sept. 30, 2011	Preparation of the Stockholm meeting	DC, ACT, VN MC (PACH)
Meeting 2	Oct. 9-12, 2011	Detailed discussion with VN including feedback from the Stockholm meeting	VN MC (PACH)
Meeting 3	March 14, 2012	Full feedback on STAVE 1, 2, 3	VN, CC, DC, CS MC (PACH)

## 5.3.2 Creating and providing policy feedback

### → Methods used to create policy findings and how they have worked

#### Groups 1-3, 1st session

1. **EVOC-CAPA-SIMI tools.** We administered the EVOC-CAPA-SIMI set for all three groups in the same manner. Each participant received a form. The moderator explained how to fill without any suggestion or use of synonyms for sustainable consumption. Looking at their reactions it was clear that many of the citizens are not very happy with EVOC questions, but the moderator encouraged them saying “it is the most difficult job you have to do today, please try to focus on the issue...”. Also he explained we need a “fresh and personal view on the sustainable consumption” and “we are interested what they think and associate with sustainable consumption, thus we cannot discuss anything before”. Also he said “we are not at school, we haven’t correct and wrong answers, we have only your opinion about...”. Simpler was the application for CAPA and SIMI since the initial discomfort disappeared and the questions are clearer to them. In case of SIMI they needed some time to select their answers according to own vision on sustainable consumption.

2. **Simulated newspaper article.** The participants received a copy of a simulated article from a local newspaper called “Curierul”. Everyone thought that the article is real, even though it was dated the day before (June 10) the first session (June 11) and, perhaps, few of them already read the newspaper. The article was a good path to introduce the main issue of the debate: domestic insulation and energy consumption. The moderator explained the role of the article to have a common point to start “a friendly discussion” and the importance to read it carefully. For the majority of citizens (only some few exceptions in Group 3) it seemed to be a pleasure to read it. The participants characterized the content of the article as very good since they understood better “how to insulate”, “what are the advantages and the drawbacks”, “current situation of the rehabilitation programme”. Also the connection with climate changing was appreciated as a good idea despite the citizens’ motivation to insulate is connected with the high price of the heating during winters.

3. **Cartoons.** A particularity of the Romanian STAVE process was the use of two stimulus materials: newspaper article and cartoons. Cartoons were selected by the project team from international cartoon contests having topics on environmental issues, evolution of technology, and consume. In session 1, for all groups we used a set of 6 cartoons included in a PPT presentation, continuously run for 5 minutes, with 5 seconds/slide, before to start the discussion part (oval mapping and debate). When our project team decided to use together cartoons and newspaper article as stimulus materials, the idea was to introduce a more “general sustainable consume issue” on the frame of the discussion and also to help citizens to capture some ideas for the debate. Unfortunately for Group 3 the use of cartoons was not an appropriate method. However, this kind of stimulus material had a clear role to change the atmosphere from an excessive caution, restraint and some fear for dialogue to a more open one, even the capturing of the ideas was poor (or at least apparently poor). A special note for the receptivity of G2 for the cartoons. They laughed and commented the situations in terms of attitudes “... very nice. I like the image with the man navigating on internet ... facebook ... escaping from his immediate reality... it is a virtual reality...”. Another said “sometimes each of us close the eyes to the immediate facts that we dislike... maybe we are unable to change something or we accustomed the situations...”

4. **Oval mapping exercise.** This method was used to extract relevant ideas about energy saving and insulation issues. It was a good method to elicit the citizens’ understanding of energy use and the attitudes on insulation. We planned to cover the following issues:

- sustainable consumption in Romanian society; possible actions/measures to enhance sustainable consumption
- insulation of the walls for condominiums (perception of the current situation, perception on benefits)
- possible measures to accelerate National Thermal Rehabilitation Programme

Even the method is very simple and easy applicable, due to the local context (especially the lack of experience in such exercise and the lack of trust in participation), we faced some difficulties in application, at

least in the first part of the session. These difficulties were over passed by the help of moderator and the component of the team. It was difficult to work individually on ovals, and also to connect different maps. Therefore the moderator helped citizens to work together by animating the discussion and requesting them to put on the oval the ideas they consider as valuable. In this manner we got ovals as a product of the whole group. This approach allowed a more structured picture of the citizens' ideas.

**5. Debate oriented to answer the policy maker questions.** This method was the basic one to discuss the thermal rehabilitation issue focused on insulation of the walls for block of flats. It was used for all the three sessions, for all groups, in order to cover the questions agreed with the policy maker (Caras Severin County Council). Work technique was based on questions asked by the moderator, with an attempt to involve all participants in the debate, including those who tend to stand aside and just listen or to intervene only sporadically. The moderator tried to steer the discussion and keeping a balance between planning and exploring deeper existence of valuable elements revealed by the opinions of participants. Because of this the structure of the questions for the three groups is slightly different, but this derives mainly from the basic characteristics of focus group technique. There were the rules the participants were asked to follow:

- Opinions expressed must reflect personal experience, opinions, views or thoughts about the issues on debate.
- Critical views can be stated, but is not allowed to attack the person; criticism must be accompanied by arguments.
- It is recommended to avoid disruption of the views expressed by colleagues.
- We are not in school, so we do not have answers right or wrong, better or worse, we have opinions and personal experiences.
- Each participant should try to respond as spontaneously as possible to the questions.

The method worked very well with the following notes:

- the formulation of the questions in the sessions didn't follow exactly the previous presented questions (cf. Table 7); the meaning was maintained, but accordingly with the debate context the questions were reformulated in an appropriate manner to be understood and answered by the participants; therefore there are differences in the formulation between groups;
- also the order of the questions was different from a group to another since the moderator decided to have an open dialogue based on a quite natural flow of ideas introduced by the citizens;
- the questions were introduced by the moderator in connection with a fact/story/idea presented by the participants since a direct question may put the interlocutor in a non-comfortable position; therefore the questions were introduced apparently as a requirement for details after the formulation of some opinions.

## First intermediate phase

Between the first and the second meetings we requested people to keep diaries on 7 days about energy savings at home. Romanian project team selected the classical diaries (on paper) due to the local context (we didn't want to introduce supplementary criteria such as the computer literacy, etc.). Expecting some difficulties induced by the habits and experiences of common citizens with diaries, the project team decided to use a pre-formatted diary in two versions, one for each period of completion. We produced a diary form which was structured in some sections. The diary for the first intermediate phase was based on pre-defined actions structured in classes and components for the purpose of comparison between different participants.

The structure is presented below:

- a) There are two classes:
  - 1. Energy-saving with the components:
    - 1.1 Save energy in lighting
    - 1.2 Save electricity in appliances' use
    - 1.3 Transport
    - 1.4 Heating-air conditioning
    - 1.5 Water
  - 2. Recycling and reducing the consume of natural resources
- b) Each component included some specific actions and some free spaces aimed to introduce new actions by the citizens according to their opinions and habitudes. For example, the component "1.3 Transport" includes the following actions:
  - 1.3.1 Ride a bicycle or walk to work when the weather is temperate



- 1.3.2 Use the public transportation instead of own car
- 1.3.3 Drive the speed limit and save diesel or gasoline
- 1.3.4 Not aggressive style when driving
- 1.3.5 Use the lowest octane gas your car can tolerate without knocking
- 1.3.6 Clean out heavy items such as tools from the trunk of your car. They are extra weight the car must move and so they reduce gas consumption
- 1.3.7 Other action 1 (describe exactly)
- 1.3.8 Other action 2 (describe exactly)
- 1.3.9 Other action 3 (describe exactly)

→ c) For each action 3 cells (day, date, and description) are available to insert a description of the action or even opinions, habitudes, comments together with the date.

The participants were invited to describe as exactly as possible an action done during the period of diary. For example, for "saving electricity, frequently washing windows to make them improve the access of natural light" the participant must certify if the action was performed, when, and to describe (how many windows, how dirty they were, etc.). They may introduce any other actions considered by them as relevant for energy saving at home.

The method was appreciated by the project team as good to explore general aspects of sustainable consumption, but it wasn't enough appropriate for the issue of thermal rehabilitation (difficult issue for the diary in the middle of the summer). However we didn't expect to obtain relevant information about the insulation issue inside the diaries. All participants supplied the diaries in time and write down their observations.

## Groups 1-3, 2nd session

**1. EVOC-CAPA-SIMI feedback.** For each group we started with a PowerPoint presentation about the results from the EVOC, CAPA and SIMI questionnaires using the graphs and charts of Symlog's evaluation. A clear image was obtained only from CAPA results. For SIMI and EVOC two drawbacks were present: the charts showed global results (taking into consideration all groups); the results were difficult to understand by all participants. However they obtained a general view about their results and they were interested in comparing with other groups from countries.

**2. Diary feedback.** In the first part we asked all participants about their experiences with the diaries, "difficulties, time allocated to write, discussion with other member of family, colleagues or friends", "if the structure was appropriate", and "what are the main gains writing in the diary". They didn't report any difficulties and appreciated as a good structure to have an appropriate reflection on daily activities in energy consume at household level. They were very delighted because they have learned new things about how to save energy even from the actions included in the diary structure. They introduced some actions in their experience and also they were amazed that very simple actions such as "cleaning the windows or bulb light" are very important for reducing energy consumption. The diaries worked pretty well in providing insights into the everyday action for energy savings.

**3. Debate oriented to answer general aspects of sustainability perception and attitudes of the common citizens in Romania.** Method was also used for three groups and it worked very well. The moderator tried to follow similar aspects of sustainability for all groups starting with consumption and environmental aspects. Although the main stream of the debate was similar there are important differences between groups due to the differences in the experiences and attitudes. For example G2 (young people) are mainly oriented to the relation consumption – pollution – health with a special focus on the acceleration of the consumption of the resources and motivation for the lack of the reaction from the Romanian civil society. Group G1 (adults over 35 years old) oriented the discussion toward the national consumption and the need for intelligent decision makers to introduce measures to stimulate sustainable consumption. At the same time G3 (disadvantaged people) went on the path of irrational consumption based on technological development and human behaviour (greedy attitude) leading to climate changing.

**4. Oval mapping exercise.** The next part of the meetings was a continuation of the oval mapping exercise. Firstly, an overview of the oval maps from session 1 was presented. For simplicity the ovals are re-written in PowerPoint presentation and presented to the group. A review of the oval maps was performed by the participants and moderator in order to confirm all the ovals and connections between them or to introduce

new ones. After this review a new set of ovals was developed by the participants on the following issues: national and local policies for sustainable consumption (existing or potential policies), role of public involvement in decision making processes, and the difficulties resulting from the condominium living. The process was more fruitful as in the first session due to the increased experience of the participants.

**5. Policy questions.** The last exercise of the meetings has introduced more directly the policy questions. Two of the questions formulated by the policy makers were very interesting for participants: “What are, at the level of your condominium, the main barriers acting against the achievement of the thermal rehabilitation actions?”, “What would be the best methods to increase the citizens’ awareness on the importance of reducing energy consumption?” They were very active and debated the difficulties to insulate a block of flats, from the lack of funds to the aspects of cohabitation in condominium. Education with different components (school, education for adults, media, etc.) is seen as an important factor to accelerate thermal rehabilitation programme. Also clear measures to help citizens with low incomes are necessary.

This exercise explored also some other issues (connected with the research theme, but unexpected) raised by participants during the sessions. For example G1 introduced in discussion the participation of the common citizen in the policy making process. This issue was discussed also with the other groups for the purpose of the comparison.

The method works very well, but it needs some precautions related to the timing and initial planning of the sessions. There is a tendency of citizens to push the discussion to other current issues such as political issues, lack of a strong civil society, scarcity of revenue, measures introduced by the current government in the economy, etc.

## Second intermediate phase

Between the second and third meetings participants again were requested to keep diaries on 7 days about the energy saving issue, but on a different diary format. The second diary is closer to free format, but it is not a full free format diary. We choose a minimal structure in order to help respondents in completing and also to facilitate the comparison between groups. The structure is described by the following three sections:

- Section 1: Personal impressions, feelings, thoughts, opinions, reflections about energy consumption (electricity, water, heat, gas, etc.) resulting from different sources:
  - Television
  - Radio
  - Internet
  - Discussions with family members
  - Discussions with friends, colleagues, etc
  - Other (described by citizens)
- Section 2: Personal opinions about what is possible to do at individual or family level to reduce energy consumption.
- Section 3: Personal opinions about what measures could be taken by the society (local, national) to encourage the reduction of energy consumption, with a focus on the thermal rehabilitation programme.

All participants supplied the diaries in time. The amount of the content is quite different, group G1 having the tendency to write more than G2 (young people) or G3.

## Groups 1-3, 3rd session

**1. Diary feedback.** For all groups we started the session with a quick feedback on the second diary week. The interest of the team was mainly connected with the differences between the two diaries. We have asked participants to compare the two types of diaries. They considered that the first type of diary has prepared them for the second one. The second diary is much closer to a daily diary aimed to record opinions and feelings, but without the first one they appreciated that it was difficult for them to focus on the appropriate elements of energy consumption. The method of using two types of diaries was seen as appropriate for their learning needs. No previous personal experience to write such kind of diaries exists.

Also we discussed the role of discussions of first and second meeting in everyday life. Citizens appreciated that they learned a lot about energy consumption, about the debate process and the role of the opinions and experience of other people.

Concerning the quality of the received diaries we found differences that occur with regard to the individual level rather than the group level. Some citizens behaved like a school child making his homework, awaiting a greater appreciation if its composition is more extensive. It is questionable if they were so eager to do a lot of actions in a single week or if they are so receptive to introduce in their lives what they have learned in interaction with others. Only few people have given us diaries with low content. Beyond that there is a large amount of data in the diaries to be analysed.

**2. Cartoons.** For Group 1 and 2 we used a second set of cartoons (24 cartoons included in a PPT presentation, continuously run for 5 minutes, with 5 seconds/slide). We did not use it for G3 due to the low impact of the cartoons on this group in the first session (perceived by the team project). This set of cartoons had a great impact on G2 and a good impact on G1.

**3. Oval mapping exercise.** We discussed the previous oval mapping results (of the second meeting) in order to review the ovals, mainly the connections. This review was based on a PowerPoint presentation. We have continued the oval mapping investigations with a focus on the energy saving decisions and actions at the level of family and condominium. We asked citizens to group the actions in two classes: “simple or small actions” (without or with no significant investment) and “complex or big actions” (with investment or with condominium level decisions) in supporting sustainable consumption. In this context we investigated domestic insulation as a complex action. We requested the participants to express ideas about the needs and the perspectives of the National Thermal Rehabilitation Programme.

The method was fruitful for all groups. Similar with sessions 1 and 2 we produced ovals at the level of the groups, by discussing together and jointly deciding to write an oval when an important thing or idea had been appearing.

**4. Resource allocation exercise.** The session 3 continued with the allocation exercise. In the opinion of the project team it was the most powerful method to understand the perception and attitudes of the citizens related to measures and instruments to support sustainable consume (focused on energy consume). The tool was intended to synthesize and deepen in discourses at the end of the group processes. A set of 10 policy measures and instruments was identified from participants’ discourses along sessions first and two and from the diaries. This list entails the following topics:

- 1) Subsidies for Giga-calorie (heat)
- 2) Support for the insulation of block of flats
- 3) Modernization of public transport
- 4) Construction of underground parking and ground
- 5) Construction of bicycle lanes
- 6) Establishment of green spaces
- 7) Program to promote sustainable consumption to the public
- 8) Educational programme (in schools) for sustainable consumption
- 9) Modernisation of water supply network, sewage network, waste water plant
- 10) Practical implementation of recycling

The method was appreciated by the project team as very adaptable to the context, easy to be used (even the citizens need to think hard), exciting, relevant for the investigation and with quantitative results. Also the citizens positively appreciated (some of them were enthusiastic) the situation to decide in a difficult context imposed by the restriction of the allocation exercise.

**5. EVOC-CAPA-SIMI.** We applied the same set of EVOC-CAPA-SIMI questionnaires for all groups in order to have a comparison with the initial knowledge and attitudes. Compared with the first session the citizens felt more comfortable.

**6. Self analysis exercise.** The self analysis exercise was applied at the end of the third session for all three groups. The groups identified their own insights and lessons learned from discussions on policy questions: They understood the process as a learning one: “It is important that we could say what we think, to discuss between us and find out other people's opinions. We learn a lot, but more important would be if someone would take into account these different views”; “It was very interesting, when I fill in the diary I thought about common thinks, about thinks that usually are not in my concern...”.

The citizens perceived that an open dialogue process is possible in their community involving common people, but this kind of activity is not in the practice of policy makers. The dialogue allows to debate different ideas and to understand the diversity of motivations and attitudes.

Related to the feedback for policy makers, citizens want to emphasize the need of debate, to construct a real civil society and take into consideration their voices. Also they want to express their support for thermal rehabilitation programme, but in the absence of clear measures (standardization, control, informational support) and financial support the progress will not be significant.

I want to mention that some participants expressed their pessimism about the implementation of their ideas in policy even they recognize the utility of the process as a good exercise to put people to think together about their concerns.

**7. Evaluation questionnaire.** At the very end of the sessions the evaluation questionnaire was filled in.

In the next Table a quantitative appreciation of eight used methods is presented. The final score is an average of the scores appreciated by the members of the team. The Romanian team was composed by 5 persons in order to run all three groups in the same day:

- Moderator
- Assistant 1 – to take notes
- Assistant 2 – to introduce data in computer format, to take photos
- Assistant 3 – to supply stimulus materials, questionnaires, beverage, etc.
- Assistant 4 – to perform contractual arrangements and to check the participation, diary collecting, etc.

The appreciation was from the point of view of the effectiveness of the method to create policy findings. The scale is from 1 to 10 (for the maximum effectiveness).

**Table 9: Usefulness of methods applied in Romanian STAVE groups**

<i>Method</i>	<i>Score</i>
EVOC-CAPA-SIMI	9.50
Simulated newspaper article	10.00
Policy question/self analysis exercise	9.10
Debate oriented to answer general aspects of sustainability perception and attitudes of the common citizens in Romania	9.10
Exploring some other issues (connected with the research theme, but unexpected) raised by the participants during the sessions	8.70
Diaries	8.15
Allocation exercise	10.00
Oval mapping	8.90

→ **Evidence gathered, analysis of evidence, and material captured for policy feedback**

Evidence gathered

The following evidence was collected:

- Audio & video recording of all sessions and all groups (partially transcribed)
- Photos during sessions and after the sessions
- Photos of the ovals at the end of each meeting
- Diaries (1 week between session 1 and 2; one week between session 2 and 3) for each participant
- Oval maps for all sessions and all groups
- EVOC-CAPA-SIMI questionnaire (sessions 1 and 3) for all groups
- Resource allocation exercise (session 3) for all groups
- Evaluation questionnaire (session 3) for all groups

Immediate an unrefined feedback

**Analysis of the evidence**

The descriptive analysis of the **quantitative data** has been focussed on:

- results from EVOC-CAPA-SIMI questionnaires (both for session 1 and 3); analysis already performed for session 1 and partially for session 3 (only CAPA)
- resource allocation exercise; detailed analysis is already performed
- evaluation questionnaire; preliminary analysis performed.

For **qualitative data**, i.e. oval maps, transcripts of the discussions, and diaries, only a preliminary content analysis has been performed. The aim of preliminary analysis was to produce a more consistent feedback for policy makers by gaining insights into participants reasoning about energy saving, domestic insulation, National Thermal Rehabilitation Programme.

**Material captured for policy feedback**

The following materials were used to provide immediate and unrefined feedback:

- Group photos after the meeting
- Photo of oval mappings

- Photos from the sessions
- Number of participants, duration, timing according with the protocol
- PowerPoint with diary quotations for all groups
- Graphs of the quantitative results from questionnaire investigations (initial and final evaluation, resource allocation exercise)
- Preliminary analysis including main conclusion from the discussion on the policy maker questions These parts were included in preliminary analysis:
  - Segmentation details
  - Sessions: general presentation
  - Diaries: structure and instructions + feedback from diaries (conclusive elements without quotations)
  - Initial evaluation of EVOC-CAPA-SIMI results
  - Stimulus material description and role
  - Focus group discussions: general presentation
  - Resource allocation exercise: presentation and results
  - Final evaluation: presentation and results; general presentation of the discussions on the policy issue was focused on the findings about thermal rehabilitation:
    - Citizens expressed their needs for technical projects, standardization and control for thermal rehabilitation activities.
    - They proposed some regulations involving periodical technical inspection of block of flats and obtaining a certificate to proof normal performances, otherwise rehabilitation must be performed.
    - The informational support is poor.
    - Thermal insulation is perceived as having a great efficiency in reducing the energy consumption at the level of household by all the participants; the effect is important both in winter and summer (reducing of air-conditioning).
    - There are many difficulties and barriers acting against the implementation of the policy: lack of resources at family level, reduction of the incentives due to the economic crisis, cohabitation in condominium, differences in attitudes generated by income, education, generation pattern, increasing of the price of works, lack of effective communication channels between policy makers and citizens, problems derived from legal context and owner association statute, lack of experts starting with the administrators of the

condominiums, misunderstandings between citizens especially in case of an initiative, etc.

- Citizens perceived the drawbacks of insulation achieved individually with increasing the costs, reducing in efficiency of the insulation and unpleasant effect on the urban landscape.
- There is a tendency to capture the common property at the level of condominium for individual use, and also a lack of the private property feeling on the common spaces for the most part of the citizens.
- There is a great need for transparency in policy making process.
- Also a great need, expressed by all citizens, for financial support for families with low income in order to perform the insulation of block of flats; payment rates would be useful on the long time, with support from authorities; reducing of national and local administrative costs can sustain thermal insulation (by government); laws: subventions to disadvantaged persons, possibility of systematic verification and great penalties in case of abuse.
- The need to reduce the costs with heating and also the need for thermal comfort may force citizens to insulate their houses.
- Poverty causes little interest for the future, only immediate actions are important.
- Consumption is a concern for those with little money or sufficient education.

### Full feedback

### **Analysis of the evidence**

The descriptive analysis of the **quantitative data** has been focussed on:

- Comparative results from EVOC-CAPA-SIMI questionnaires applied in session 3 versus session 1;
- Evaluation questionnaire- detailed analysis;
- Resource allocation exercise; new graphical presentations including comparison between groups and deviations from averaged values.

For **qualitative data** a more refined feedback was presented:

- oval maps re-written in graphical format in order to be easily read and discussed;
- integral transcript of the discussions on thermal rehabilitation issue; partial transcript of the part dedicated to the sustainability issue;

→ relevant extracts from the diaries.

The aim of full feedback was to allow a more detailed analysis about the potential use of STAVE, peculiarities in national context, and also to allow policy makers to have new insights for participants reasoning about energy saving, domestic insulation, National Thermal Rehabilitation Programme.

### **Material captured for policy feedback**

Additionally to the materials presented as immediate and unrefined feedback the following materials were used to provide full feedback:

- Oval mappings edited in MsWord
- Some diaries as example of the efforts of the citizens
- Relevant extract from the diaries
- Comparative texts from transcripts for the three groups, on the issue of thermal rehabilitation
- Graphical comparison of the results of all groups for initial and final stage resulted from CAPA
- Graphical comparison of resource allocation exercise results for all groups
- Graphical comparison of the results of final evaluation
- Conclusion resulted from the answer at the policy maker questions

### **→ Policy maker's reactions to STAVE feedback**

Policy makers recognized STAVE as a quite complex tool involving some methods very clearly defined: questionnaire, oval-mapping, debate, diaries, etc. In the opinion of policy makers each method needs some expertise to be correctly applied. Moreover, the combination of the methods in STAVE requires a good documentation and also a set of recommendations, especially in order to be able to investigate other issues than the current one. The difficulty is introduced by the uncertainties in the behaviour of the groups of citizens. Related to the materials used (e.g. newspaper article, cartoon sets, PowerPoint presentations, questionnaires), the policy makers appreciated their high quality and appropriateness to be used by common citizens.

There are not major changes in the policy makers' opinions after receiving **full feedback**. They appreciated the progress of the work and the action to inform them about new results of the analysis. A personal opinion about this stagnation is there are some external motivations induced by some recent political events: change of the Government by the resignation of the previous one, and changes on public Agenda (the most important is the local elections planned by the former Government in November, but amended by the Court



to be in June). My impression was the policy makers are aware about the good perspectives to use STAVE, but they are facing great pressures produced by above mentioned changes.

They recognize the lack of time to enter in details, but they understood the feature of STAVE to elicit valuable ideas from the citizens and moreover they are more aware about the importance of public participation in construction of their decisions.

However, full feedback produced a consolidated idea about the possibility to introduce participatory methods in policy makers practice. They learned it is possible to involve public, but at the same time they recognized the need to learn more about methods and tools and to learn about their practical use. At the same time they understood the need for a preparatory phase with some consultancy in order to use STAVE and/or other tools/methods. Also they recognize the need to have some specialists in their organization maybe by hiring appropriate personal.

It is not clear, even after full feedback, the issue or the issues for a future use of STAVE, but their feeling is STAVE may have a broad spectrum of applicability. However they are interested in obtaining a clarification about the limitations of the STAVE, especially a description of the appropriate cases and non-recommended cases to use STAVE.

In my opinion the difference between “immediate and unrefined” and “full feedback” consists of:

- the amount of data presented and the details involved;
- the preparation of policy makers in order to be receptive to the content of the analysis;
- creation of the appropriate conditions to discuss on STAVE characteristics.

Therefore a good opportunity to reveal the perception of policy makers about STAVE tool was created, but to the context condition this opportunity was not fully exploited. However the premises for short-term reflections were created and I hope policy makers will express more clear ideas about STAVE and how they want to use the tool and/or associated knowledge.

### → **Conclusions on usefulness of STAVE components in policy making**

- 1) Evaluation criteria are needed in order to decide if the methods are appropriate, adaptable or not usable for a STAVE process for other issues than the current one.
- 2) Also a set of evaluation criteria is needed for the STAVE process; this set should be based on the comparison of expected results and final output of the process.
- 3) In the set of criteria to evaluate the process it should be included:
  - capability of the process to capture ideas from the citizens

- degree in the stimulation of an open and fruitful dialogue
- capability to produce and store a relevant output from the point of view of the investigated policy
- direct applicability of the proposals, recommendations from citizens in the decision making process
- appropriateness for revealing the attitudes, motivations and habitudes of lay citizens
- versatility of the tool in different contexts and for different issues
- easy to be implemented
- the total costs
- the time needed to prepare the process (including adaptability of the methods, producing the materials, recruitment, etc.)
- capacity to be run without consultants
- availability of consultants to help in the process

4) Evaluation should include qualitative appreciations of the project group members and also quantitative (e.g. costs, interval time, amount of produced output)

5) The evaluation should take into consideration previous experience of the STAVE team such as the number of sessions accumulated.

There is a general appreciation that all “tools” integrated in STAVE are appropriate for the citizens engaging, but there is a special appreciation for the oval mapping, and the resource allocation exercise. I think this preference is determined by the aspect of the results, offering a synthesis of a large set of attitudes and reasoning. Also the interest of policy officials in the insulation issue influenced this appreciation. There is no opinion about the existence of less useful tools, even there is a lower interest for diaries, but this fact is a consequence of the difficulties to reflect the insulation process into a diary.

## 5.4 Spain

### 5.4.1 General information

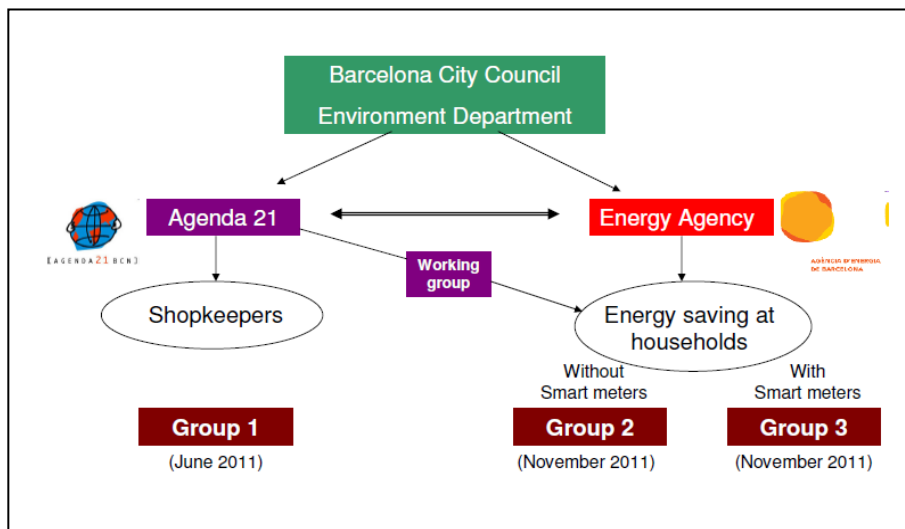
**Policy maker and approach to citizen engagement:** The Environmental Department of the Barcelona City Council includes several municipal services, such as “Waste Cleaning and Management”, the “Municipal Institute of Parks and Gardens”; the “Beaches of Barcelona”, the “Barcelona Energy Agency”; the “Barcelona Sustainable Resources Centre”, and the “Agenda 21” initiative. The Agenda21 and the Barcelona Energy Agency are the two policy makers involved in the STAVE implementation in Spain (Agenda21 Technical Office for STAVE 1, and BCN Energy Agency for STAVE 2 and STAVE 3).

The *Agenda 21 Technical Office* is a technical body formed by environmental experts dedicated to promote sustainability in the city. During 2010 the Agenda21 Technical office

carried out an evaluation process (“A participatory process for change”) in order to obtain a diagnosis of its performance (since 2002) as well as an assessment of its impact. The most relevant issue for the first STAVE realization in Spain was the implementation of the Agenda21 among the signatories of the Citizen’s Commitment towards Sustainability, and more precisely among shopkeepers.

The purpose of the *Barcelona Energy Agency* is to promote Barcelona as an exemplary city in the handling of energy matters and their repercussion on the environment. Accordingly, the Agency works to endow the city with optimum standards of use and management of local energy resources through consensus and participation, and to promote a rational sustainable energy demand that is marked by its quality. The development of a participative programme for energy saving in a neighborhood (linked to the Agenda21 process but promoted by the Barcelona Energy Agency) emerged as suitable for the 2nd and 3rd STAVE implementations in Spain. In this case citizens living in the neighborhood would be properly segmented to constitute the STAVE groups.

**Figure 4: STAVE interventions and relationship with policy makers in Spain**



As the figure illustrates, the two policy makers involved in our STAVE implementations depend on the Environment Department of the Barcelona City Council. Even though, members of the project group within the Agenda21 (STAVE 1) have a background on environmental education and are highly familiar with public participation processes. In contrast, members of the project group from the Energy Agency (STAVE 2, 3) are engineers and have a quite limited experience with engagement approaches.

- **Agenda21:** It is important to note that the Agenda21 policy makers hold a truly participatory approach; participation is “their option and their strategy”. Most of them have a background on “environmental education” (so participation is a key element in their approach), and – in addition – they feel it is the best strategy to make the

best of their (limited) resources. The kind of tools they usually deal with to implement their strategies include: norms and economic incentives on the one hand (but they feel they do not have full capabilities in these regards), and participation (engagement) on the other; this last tool is the one they can handle easier and the one they (by principles) believe in.

They do not have the time or the resources to “systematize” their hypothesis /intuitions regarding citizens (or other collectives addressed by the Agenda21) behaviours and/or attitudes. As they deal with a wide (and diverse) range of actors they have difficulties to properly discriminate the “causes” underlying such behaviours. Intuitively they do have ideas, but not “models” (such as the DEFRA’s segmentation model). They do have generic insights about lay citizens (periodic surveys on values and habits).

- **Barcelona Energy Agency:** The Barcelona Energy Agency is not so used to participatory approaches. They do recognize that social sciences can (and should) significantly contribute to the suitable implementation of their policy measures/strategies/technologies; but they do not have a long tradition in this regard. During our interaction with them it became clear that they left all the “social-related” decisions (i.e., segmentation of the groups) in our hands. They were indeed keen on STAVE and very positively valued how it could improve one of their weakest points (lack of suitable knowledge on daily behaviours of their targeted populations). As far as their new energy plan is concerned they had commissioned a couple of social research studies, but they felt they knew very little about the “real” behaviours of the Barcelona citizens in term of energy saving or energy behaviours.

### STAVE interventions: STAVE 1 – June and July 2011

**Policy issue:** Implementation of the Agenda21 in Barcelona and potential role of “shopkeepers”, in particular with regards to energy consumption, wastes and mobility. The policy maker plans to develop a future Agenda21 for shopkeepers, as in their view there is plenty of “space” for improvement with this collective, in terms of energy saving, mobility and wastes.

**Policy assumptions:** No explicit assumptions for shopkeepers were identified. The “generic” assumptions underlying the development of the Agenda21 were expected to apply also in this case (i.e., voluntariness, participation, etc.).

**Policy questions:** The policy makers know “very little” – almost nothing - about shopkeepers in terms of sustainability so they would like to know: weakness and strengths of shopkeepers (in sustainable terms); opportunities for improvement; interests and concerns; triggers and barriers for changes; how can the city council support changes (specific actions and how to implement them).

**STAVE mode:** The STAVE intervention on the potential role of shopkeepers in Barcelona’s Agenda 21 was completely run in the exploratory mode.

**Policy feedback:** The following table offers an overview of the feedback provided on the Spanish STAVE 1 group:

**Table 10: Policy feedback on Spanish STAVE 1**

<b>Policy feedback</b>	<b>Date</b>	<b>Objectives</b>	<b>Participants</b>
Meeting 1	July 13, 2011	Immediate and unrefined feedback on sessions 1-2; identifying questions for session 3	MC JE, AP (PACH)
Meeting 2	July 26, 2011	Immediate and unrefined feedback on the complete STAVE implementation	TF, MR, MC JE, AP, AB (PACH)
Meeting 3	Oct. 6, 2011	Preparation of the Stockholm meeting	MC JE, AP (PACH)
Meeting 4	Dec. 1, 2011	Feedback from the Stockholm Meeting and “additional” immediate and unrefined feedback	MC JE, AP (PACH)
Meeting 5	March 13, 2012	Full feedback	TF, MC, MR + TP JE, AP, AB (PACH)

In our “full feedback” meeting, besides the members of our project group (TF, MR and MC), another member from the Agency attended our presentation (TP). He was our very first contact at the Environment Department at the beginning of the project so he was willing to hear about our progress and final results.

*STAVE interventions: STAVE 2 and 3 – November and December 2011*

**Policy issue:** The second and the third STAVE interventions (groups 2 and 3) dealt with energy saving at households and the potential role of “smart meters” in the way of enhancing energy saving behaviours:

- STAVE 2: Domestic energy saving without smart meters
- STAVE 3: Domestic energy saving with smart meters

The selection of this substantive issue was agreed both with Barcelona Energy Agency representatives. Last 2011 a new Energy Plan was approved by the City Council aiming to frame the city policies regarding energy use for the next ten years. As long as this Plan contains several references to citizen behaviour and attitudes, it was supposed that STAVE tool could help them to better know the public perceptions and expectancies about the City Council planned measures, and about the everyday people behaviour regarding energy use at home.

**Policy Assumptions:** No explicit assumptions were identified.

**Policy questions:** Policy makers know “very little” about householders’ behaviours in terms of energy saving, so they would like to know: weakness and strengths (in sustainable terms); opportunities for improvement; interests and concerns; triggers and barriers for changes; how can the city council support changes (specific actions and how to implement them). In addition they wanted STAVE to trial some of the options included in the latest BCN Energy Plan (including information camp gains, smart meters, energy advisor, Web platforms, and so on).

**STAVE mode:** The STAVE interventions on domestic energy saving with and without smart meters were run in a mixed way combining exploration (not well known behaviours), and somehow “validation” of the measures included in the new Energy Plan.

**Policy feedback:** The following table offers an overview of the feedback provided on the Spanish STAVE 2 and 3 groups:

**Table 11: Policy feedback on Spanish STAVE 2 and 3**

<i>Policy feedback</i>	<i>Date</i>	<i>Objectives</i>	<i>Participants</i>
Meeting 1	Dec. 13, 2011	Immediate feedback on sessions 1-2; identifying questions for session 3	IS, GP JE, AP (PACH)
Meeting 2	Dec. 21, 2011	Immediate and unrefined feedback on the complete STAVE implementation	IS, GP, Head of BCN Energy Agency JE, AP, CO (PACH)
Meeting 3	March 13 2012	Full Feedback	IS, GP, Head of BCN Energy Agency, PI staff from the Env. Dept, representatives from Agenda21 JE, AP, CO, AB (PACH)

In our “full feedback” meeting, besides the members of our project group (IS and GP), and the Head of the Energy Agency (C) (i.e., the ones attending the “immediate and unrefined” feedback), some other members from the Department of the Environment of the City Council attended our presentation. Thus, a representative from the Public Information Department, a representative from the Environmental Education Department (Agenda21), and a representative from the “Sun Factory” were invited to join us. The members of our project group thought they would also be interested in hearing the final results of our STAVE implementations.

## 5.4.2 Creating and providing policy feedback

### → Methods used to create policy findings and how they have worked

#### Groups 1-3, 1st session

1. **EVOC-CAPA-SIMI tools.** These tools were applied at the beginning of the first session, without discussing the results. We just gathered the data – as we were a bit concerned with the available time. We told participants they will see the results in the next session.

2. **Simulated news paper article.** Most participants had very little knowledge on the policy issues, so they relied on the different characters included in the news to start their reasoning on its meaning and how it may relate to their own behaviours. It did help to “break the ice” and engage participants in discussing daily issues. For instance, in Stave 3, the simulated news article worked pretty well as a stimulus material in the group dynamics. The participants began to discuss the Council proposals presented in the article in a very natural way (basically, without the intervention of the moderator).

3. **Oval mapping exercise.** We used post-its to identify “barriers” (some of them very specific) and “facilitators” (again, some of them quite specific) for “behaving in a sustainable way”. It worked very well; participants felt comfortable with the exercise and rapidly engaged in discussing the different options.

- STAVE 1: Findings were structured under three headings: wastes; resources/energy saving, and mobility. Importantly, the diaries provided evidence on the perceived “real” difficulties shopkeepers face when trying to behave in a sustainable way; they perceived to be like in the middle of a “sandwich” – between the suppliers and the clients – with not so many margins for action. Participants really enjoyed the diaries results; they were trying to guess who said what... – it became almost a game!
- STAVE 2: Findings were structured under three main headings (dealing with both barriers and facilitators towards energy saving at households): infrastructures (characteristics of the building itself); domestic appliances (lights, washing machine, etc.) and habits – behaviours.
- STAVE 3: Findings were structured under three main headings (dealing with both barriers and facilitators towards energy saving at households): vested interests from utilities and the economic-energetic system; behaviours-life style (lack of awareness, social apathy, etc); barriers linked to (problematic) house infrastructures’ and appliances’.

#### First intermediate phase

Diaries were implemented in the same way in all 3 STAVES. Participants were asked to complete their diaries during a week after the 1st session of the groups. All participants received the complete set of the diaries to be completed during the week (empty protocols including both quantitative and qualitative questions). A detailed calendar for the follow-up of the diaries process was agreed with participants, so researchers would either phoned or visited (face-to face) them at the agreed times (almost on daily basis). At the end of the week all the information was analysed to produce suitable feedback (in a PPT) for the next session of the groups.

#### Groups 1-3, 2nd session

1. **EVOC-CAPA-SIMI** results were presented at the start of the second session (power point adapted from the results sent by French partner).

- STAVE 1: Interestingly, since the very beginning the “business frame” of the (shopkeepers) group emerged clearly in EVOC: “saving resources as saving money and increasing chances for profit”; “green” things are more expensive”. CAPA showed extremely high scores. SIMI provided evidence on the saliency of wastes – the “real” issues for shopkeepers in terms of sustainable behaviour.

- STAVE 2: “Saving” and “recycling” emerged as key concepts in this group.
- STAVE 3: “Ecology”, “future”, “nature” or “renewable” emerged as key elements in this group since the very beginning.

2. **Diaries results** were presented next (also a PPT). Diaries performed extremely well and provoke detail debate on daily behaviours. All participants really enjoyed the diaries results; they were trying to guess who said what... – it became almost a game!

3. **Oval mapping**. Findings from session 1 were presented and participants were asked to re-think, and re-locate both barriers and triggers in the more specific way. Again it worked very well. In STAVE 3, clearly focussed on the role of smart meters, the exercise concentrated on the pros and cons of the participants’ experience with the smart meters.

4. **Policy questions**. Trying to generate a “logical” sequence – from the identification of triggers and barriers – , participants were asked to think about “very detailed” ways in which the City Council could play a role in the above discussed scenario.

## Second intermediate phase

Diaries were implemented in the same way. Participants were asked to complete their diaries during a week after the 2nd session of the groups. All participants received the complete set of the diaries to be completed during the week (empty protocols including both quantitative and qualitative questions). A detailed calendar for the follow-up of the diaries process was agreed with participants, so researchers would either phoned or visited (face-to face) them at the agreed times (almost on daily basis). At the end of the week all the information was analysed to produce suitable feedback (in a PPT) for the next session of the groups.

## Groups 1-3, 3rd session

1. **Diaries results**. Again the diaries performed extremely well and provoke detail debate on daily behaviours.

2. **Oval mapping**. Results from the second session were presented and, once more, participants re-defined and re-located the more and more specific triggers and difficulties in their way towards sustainability. There were clear changes from the first post-its to the latest one especially in terms of “specificity”: the later in the process the more specific and grounded (the less generic). In STAVE 3 the oval mapping exercise focussed on how smart meters should be distributed in the city of Barcelona, according to the participants’ experience with them.

3. **Resource allocation exercise**. A list of possible actions that could facilitate their way to sustainability (i.e. to support waste management) was produced from the evidence participants produced in the previous sessions (and then it was refined with the policy feedback that took place between sessions 2 and 3). Participants were asked to assign resources to the diverse policy actions. Results offered a “quick” but “hierarchical” map and justified a list of potentially applicable measures. This exercise performed really well. The above mentioned procedure was the same in all our three STAVES. However, in STAVE 2 as we were concerned with time, results were not discussed with participant; we just gathered the data and directly move towards the “self-analysis” exercise. In STAVE 3 results of the resource allocation exercise were discussed.

### 4. Self-analysis exercise.

- STAVE 1: In our view, two factors conditioned its implementation:
  - As the resource allocation exercise was applied just before (and it already addressed the participants preferences in terms of measures to be applied by the City Council), the self-analysis exercise was a bit “repetitive” (i.e., addressing the same issues with two different exercises).
  - There were important time constraints as we only had 90 minutes available and the third session includes quite a few “exercises” (feedback from diaries, oval map, resource allocation, self-analysis, EVOC-CAPA-SIMI, and the evaluation questionnaire).



In any case, we used the self-analysis template produced by Tom Horlick-Jones, including the two specific policy questions suggested by our policy maker during the intermediate feedback meeting that took place between sessions 2 and 3 of the groups. Even though the resource allocation had already “answered/addressed” the essence of our policy maker questions (what can they do to promote sustainable behaviours among shopkeepers), meaningful insights were gathered regarding the very specific concerns of our policy maker: how to provide shopkeepers with information/training, and what kind of shops should be “promoted” by the city council.

- STAVE 2 and 3: The specific questions posed by the BCN Energy Agency were:
- Which of the two following measures would better enhance changes in your saving behaviour: subventions (incentives) or tax exemption (deductions or reliefs)?
  - How should the City Council promote the distribution and installation of smart meters in BCN (renting, buy, other options...)?
  - If your works were needed in your building (to improve the heating system) would you be willing to contract and external company (using the best available technology) that would take care of the works and that would only charge you depending on your consumption (excluding the investment)?

As mentioned above, in the STAVE 2, we did not discuss the results of the resource allocation exercise with participants (we just gathered the data and moved ahead to the self-analysis exercise). In all three questions participants provided direct and useful insights for our policy maker – as could be checked in the immediate and unrefined feedback.

5. [Evaluation questionnaire and EVOC-CAPA-SIMI](#). The two protocols were completed at the very end of the session; just before participants left. In STAVE 1 some participants – who had to run to open their shops – took the protocols with them and a pick-up date was agreed.

→ **Evidence gathered, analysis of evidence, and material captured for policy feedback**

Evidence gathered

The following evidence was gathered along the sessions of the three STAVE groups:

- Audio recording of the three group sessions (fully transcribed)
- Video recording of the three group sessions
- Photos
- Diaries (1 week between session 1 and 2; one week between session 2 and 3)
- Oval maps (sessions 1-2-3)
- EVOC-CAPA-SIMI questionnaire (sessions 1 and 3)
- Resource allocation exercise (session 3)
- Self analysis template (session 3)
- Evaluation questionnaire (session 3)

## Immediate and unrefined feedback

### Analysis of the evidence

- **Quantitative data:** EVOC-CAPA-SIMI, resource allocation, and evaluation questionnaire are already analysed (descriptive). Results were directly translated to the policy makers when providing the “immediate and unrefined” feedback.
- **Diaries:** preliminary content analysis (“immediate and unrefined” to feed the groups and policy maker) / “orthodox” analysis to be done (on-going). Results were directly translated to the policy makers when providing the “immediate and unrefined” feedback.
- **Self-analysis exercise:** We used the self-analysis template produced by Tom Horlick-Jones, including the two specific policy questions suggested by our policy maker during the intermediate feedback meeting that took place between sessions 2 and 3 of the groups. Results were directly translated to the policy makers when providing the “immediate and unrefined” feedback, and they were highly valued (problem-solving dimension of STAVE) after the third session of the groups.
- **Group transcriptions:** “orthodox” analysis is done for STAVE 1 and in progress for STAVE 2 and 3, by means of a broad approach to discourse analysis sensitive to the detail of conversational interaction, and the resources deployed in the talk (Antaki, 1994; Horlick-Jones, 2007; Horlick-Jones et al, 2007; Myers, 2007), analytic induction (Bloor, 1978; Silverman, 1993), and elements of Grounded Theory (Bloor et al, 2002; Seale, 1999; Dey, 1993).

### Material captured for policy feedback

- Photos (visual feedback)
- Oval mappings from the three sessions
- EVOC-CAPA-SIMI results from sessions 1 (results from session 3 were not available by the time of the immediate and unrefined feedback)
- Fragments of diaries from both interval periods
- Resource allocation exercise (from sessions 3)

PowerPoint presentations were produced to support our immediate and unrefined feedbacks including the following (cf. annex 7.5.4 for STAVE 1, annex 7.5.5 for STAVE 2, and annex 7.5.6 for STAVE 3):

- Photos from the group sessions
- Feedback on the identification of policy assumptions
- Oval maps from sessions 1 -2- 3

- EVOC-CAPA-SIMI results (from the first sessions of the groups) (when the immediate and unrefined feedback took place results from the third sessions were not available yet)
- Diary quotations
- Results from the resource allocation exercises
- Preliminary conclusions from the immediate and unrefined analyses

### Full feedback

#### **Analysis of the evidence**

“Orthodox” analysis of the transcriptions of all citizen group sessions and the dairies by means of a broad approach to discourse analysis sensitive to the detail of conversational interaction, and the resources deployed in the talk (Antaki, 1994; Horlick-Jones, 2007; Horlick-Jones et al, 2007; Myers, 2007), analytic induction (Bloor, 1978; Silverman, 1993), and elements of Grounded Theory (Bloor et al, 2002; Seale, 1999; Dey, 1993).

#### **Material captured for policy feedback**

A PowerPoint presentation was produced to support our full feedback including the following:

- Reintroducing PACHELBEL and STAVE (selected slides on the project and the tool):
  - As in both “full feedback” meetings we had “new” policy representatives (i.e., for them it was the first contact with PACHELBEL and STAVE) we started with a short introduction of the PACHELBEL project and the STAVE tool.
- Refreshing the “immediate and unrefined feedback” (selection of slides from the “immediate and unrefined” PPT)
  - STAVE 1 (A21): as the “immediate and unrefined” feedback was provided almost 8 months before, a summary of that PPT was introduced just as a “reminder”
  - STAVE 2 and 3 (BCN Energy Agency): as three policy representatives did not attend the “immediate and unrefined” feedback, a summary of that PPT was introduced to provide them with the necessary context. Special attention was paid to the “preliminary” findings to the policy “questions” (by means of the resource allocation exercise and the self-analysis exercise)
- Presentation of the full feedback:
  - STAVE 1: PPT with fragments of the group discussions and dairies illustrating the main outcomes of the “orthodox analysis”

- STAVE 2-3: PPT with the main outcomes of the “orthodox analysis” including two main sections:
  - What do the detailed analysis says with regards to the policy questions?
  - What do the detailed analysis (including theoretical reflections on the evidence) says with regards to the smart meters?

→ Final discussion on the findings to gather policy reactions, doubts, questions, etc.

The “full feedback” PPTs presented at both the Agenda21 and the BCN Energy Agency are attached to this document (cf. annex 7.5.7 and 7.5.8).

### → Policy makers’ reactions to STAVE feedback

#### STAVE 1

The most “singular” value of STAVE deals with the idea of it providing “proximity” (access to the daily lives of the groups/citizens addressed in Agenda21). Proximity is considered a pillar stone in the way “*of discovering the essence – that needs to be identified – for any behavioural change towards sustainability*”. STAVE seems (in their view) to be unique in this sense.

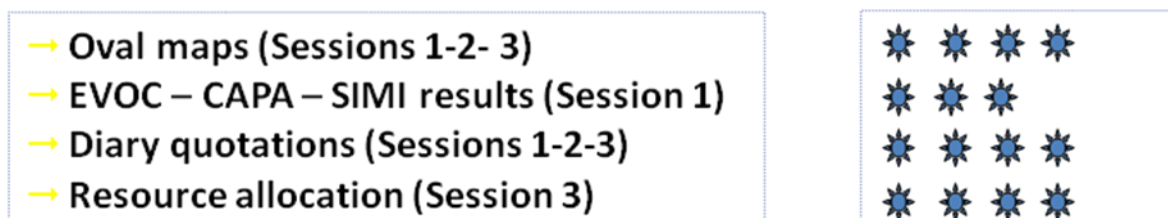
- *“The tool itself is highly useful as a motivating factor. The STAVE approach does ‘engage’ citizens, it generates a feeling of usefulness among participants (they are useful, they can contribute), and makes them feel they have a voice. In this regard STAVE is a perfect tool to promote engagement. It is also useful because it helps us to match what we can offer with what they (citizens) need.”*
- *“As we are aware of our limitations when capturing the population views, STAVE is highly meaningful for us. We have a tradition (methods and practices) in finding out what stakeholders need, but we do not have a clear picture on what people actually do. This is why STAVE is so useful for us.”*

Members of our project group expressed a highly positive view on our “immediate and unrefined” feedback. They did value diaries (richness of data on daily behaviours), oval map (as a powerful resource to illustrate the evolution from the abstract to the specific), resource allocation exercise (straightforward ranking of potential policy measures), and EVOC-CAPA-SIMI (ratifying their intuitions on the key role of recycling in the shopkeepers conceptualization of sustainable consumption) (cf. figure 5).

- *“STAVE is very.... We do not have the time or the resources to obtain a systematic knowledge on what people do, on what the Agenda21 entities do... We know there are plenty of factors shaping – underlying – such behaviours... We just had intuitions on what is going on...”*

- “We do have some knowledge about lay citizens behaviours (survey on values and habits), but not on what A21 associations do. Such associations are very diverse, each one holds its own dynamic... Your (STAVE) ethnographic work (interviews with the A21 associations) helped us a lot! We already had a few ideas in this regard, but we had never had the time to write them down..., so your (STAVE) findings did help to clarify.”
- “We find it highly positive that participants in the groups got so much involved (as you said), that they enjoyed it! This is a very good thing. The tool itself generates engagement. STAVE develops a micro participative dynamic that matches pretty well our way of doing.”
- “Your work is very enlightening (telling) because it let us know what people is ready to do, what are their capabilities, their limitations, and chances...; and what are the resources we could provide them with to promote their sustainability.”
- “As far as shopkeepers are concerned we did not have contact with them at all (interaction; knowledge), we did not have any input in terms of how they value our actions. Therefore your work (STAVE) has been very useful; it has opened a new communication channel between them and us.”
- “STAVE is a useful tool that provides quick and precise information.”

**Figure 5: Evaluation of STAVE tools used in Spanish STAVE 1**



As mentioned earlier the **full feedback** was based on the analysis of the transcriptions (discourse analysis grounded in a very inductive way), combining all the inputs generated during the STAVE process (EVOC-CAPA-SIMI questionnaires, oval maps, resource allocation, diaries, etc.). This allowed us to sort the resulting information in the following topics: a) shopkeeper’s willingness to behave sustainably; b) economic obstacles (general ones, related both to energy consumption and to waste management); c) limitations in their ability to act in order to change their behaviour; d) How they think the A21 program of the Barcelona City Council could help them.

It should be noted the “immediate and unrefined” feedback took place in July 2011, while the full feedback in March 2012 (8 months later, as in the meanwhile we implemented the other 2 Stave groups for the Energy Agency). This long time may have affected the comparison between the two feedbacks, as the policy officials may not remember too well

the first one. However the policy officials insisted they remember the past performance quite well (which we refresh shortly during the full feedback) and they said that during this time they have reflected on that.

In general, the policy officials did not find much difference between the full and the immediate feedback. They recognize that the full feedback has offered them more accurate information, but they tend to consider that – for their purposes – the “immediate and unrefined” was detailed enough. In fact, one of them said:

→ *"I think I liked the first presentation more because it was more alive, more visual ... Today it was least surprising, it seems more like a standard report and any... I think you told us all this stuff last time."*

In this sense, despite the effort spent in doing the detailed analysis, the policy officials prefer the immediate and unrefined analysis, because it is also equally informative and their results are "more alive", it means they arouse more interest because they can see the direct expressions of people (which they perceive as more authentic and allows them to infer many other connections with their background).

→ *"The diaries showed the expressions of people, what people say, with all its mistakes and confusion... and successes... this says us a lot... gives us many ideas."*

Like in the first feedback (immediate and unrefined), the policy officials recognize specific merits in STAVE. They have valued most the next things:

→ The method allows them to obtain information with a high degree of detail about usually inaccessible social groups, at least by the usual methods applied by the City Council and the A21. For example

*"From the A21, we always wanted to do something with shopkeepers, because we know they are an important part to improve the sustainability of the city, but we were never able to work with them, or even to establish conversations with them, as their own daily life does not allow them time to come and meet us..."*

→ The method allows an exploratory approach to test attitudes, priorities, values, and behaviours of citizens, in a very flexible, yet profound way, without too many questions having being prepared in advance:

*"I think that without having to think too many previous questions, you were able to get all this information... I find it very useful to refine what we are looking for during the actual process, in the light of the results of previous sessions... it allows us to define very well our needs even if we do not know how to express it since the beginning..."*

→ The method generates empathy among participants, and this is a strong point for the policy officials. This entails useful considerations for training measures: shopkeepers tend to reject “training” measures (mainly because they considered themselves already sufficiently aware of the importance of sustainability). However, they agree to participate in workshops and meetings to "exchange experiences" or

similar events (where they could participate as active agents rather than passive ones). Although this was already observed in the “immediate” analysis, it became best understood through the full analysis. An interesting debate among the policy officials was generated, who concluded that there may be an effect of the method itself:

*"What traders are saying is that they do not want training, because they prefer STAVE, they prefer to be invited to talk and share experiences... From my point of view it is a meta-message, somehow... they have felt so comfortable that they have thought so... yes in this way it does worth it to get involved in these things..."*

- The full analysis allows the policy officials to observe a question that remained unnoticed with the “immediate” analysis: the lack of public visibility of what shopkeepers are already doing to move towards sustainability; in other words shopkeepers do not value their own efforts:

*"I find very interesting the fact that shopkeepers do not value enough what they do in terms of sustainability, based on the idea that no one will appreciate their efforts to act more sustainably and hence the negative view of their chances to make changes in depth"*

Therefore, the policy officials suggest that one of the A21 program strategies should be to put in value, to make visible, what shopkeepers are doing to move towards sustainability.

When considering future applications of the STAVE tool, the policy officials expressed several concerns:

- First, they think about the convenience of using STAVE to design the future A21 program, but they dismissed because they observe that the Barcelona City Council (and specially the A21 policy) has already very inclusive participatory mechanisms. Then they think on STAVE more like as an exploratory tool (they even discussed several possible specific cases where applying it), but not as a decision making tool, which has a more complex political background.
- Policy officials have some doubts about the real cost of using STAVE, and how they could do it. They struggle to get an idea of what it would cost in terms of financial, staff time, practicalities, etc. (the fact that we have taken so long to give feedback to them can influence their final perception of the tool). With regards to who should apply the STAVE tool, they are thinking in hiring it to outside companies (consultants), so the idea of creating some sort of “mark” or “certificate” that guarantees that STAVE is applied with due methodological rigor is seen with sympathy.

### **STAVE 2 and 3**

Generally, the reaction of policy officials to the feedback was positive. They liked the approach of STAVE, as it allows looking with more detail at citizens’ everyday life. STAVE was perceived as good way to have a better understanding of citizens’ attitudes and

behavior. Second, it was perceived as an engagement exercise. After the feedback, the policy officials seem to be more aware about citizen's reactions, levels of knowledge, reasoning, attitudes and behaviors regarding energy issues. The head of the Energy Agency said:

- *"We do have the technology but we are very aware that if it does not 'go together' with the social dimension we will not succeed. The introduction of new technologies should incorporate a proper consideration of the social dimension... Smart meters will provide a lot of information but if we do not have the knowledge on how it is used, the whole process could result meaningless."*
- *"It provides us with very valuable information...we can see that citizens have a lot of information (on how to save energy). It confirms..."*

They were very positive about the diaries, the comparison between groups, and the thematic analysis of the oval maps. They were surprised about how rich and complex lay reasoning on energy issues can be. The discussion gravitated on various issues. Regarding the smart meter, policy makers discussed the best way to increase its effectiveness when distributing meters among the population. The evidence was used to confirm that renting it with some level of monitoring could be the best option. They also discussed the role of information campaigns: seen as too simplistic, unable to achieve all the population.

- *"I have found the diaries very interesting...especially how participants evolve with the knowledge."*
- *"Maybe some graphics, you do not know what they provide..."*
- *"Also is very interesting the responses that arise (the oval map), that you have differentiated in habits..."*

The policy officials highly valued the results of STAVE 2 and 3 but they felt more implementations should be developed to obtain representative conclusions.

- *"Engagement is considered a key tool in the introduction of new technologies (such as the smart meters); it is perceived as much more efficient than big information campaigns" (this idea was clearly reinforced by the STAVE results).*

As with the "immediate and unrefined" the **general reaction** of our policy officials was very positive. As a "trailing" exercise STAVE has performed really well providing highly useful information. In some sense STAVE ratified their intuitions but the most important, in the PO view, is the highly useful knowledge on real daily behaviours it provides:

- *"We already had intuitions on most of the insights you provided, but with just intuitions one cannot make policies... Intuitions need to be ratified or otherwise. This is where STAVE reinforces us, providing the kind of solid knowledge required when making decisions"*
- *"In order to make decisions and take actions you first need the appropriate knowledge, and that's what STAVE provides"*



- *“With the information you have given us we could already design the smart meter’s project for the city... We already know what we should do and what we should not do”*

In comparison with the results they are familiar with obtained through surveys<sup>2</sup>, STAVE provides much more meaningful insights:

- Head of the BCN Energy Agency: *“Every year we receive results from surveys. The problem is that such surveys provides... I mean they talk about values and not about real behaviors. We can see the values of different social groups, but we know little about their final behaviors. However, here (with STAVE) we have received highly useful data, as the ones you gave us in the previous meeting (“immediate and unrefined feedback”).”*
- IS: *“As she was saying... surveys... Sometime we try to introduce more precise questions but they are finally word in a highly standardized way, so results are sometimes not so clear... At the end, from such evidence we cannot take decisions.... However, your way of doing it, and specially the close interaction we have had with you (the PACHELBEL team) allowed us to tackle what we really wanted to.”*

No substantial differences were identified between the “immediate and unrefined” and the “full” feedback: the latter confirms the essence of the “immediate and unrefined” and provides more detailed information. Even though, they specially remarked the “quickness” of the “immediate and unrefined” feedback: “the results it generates just in a month are impressive”.

- *“The conclusions from the preliminary feedback and from this more detailed one are basically the same. It is a really quick tool that now is providing more detailed information... I remember that at first, when you explained us the tool I though... what would this really entail for us...?...; and now I am happily surprised with how the information has been gathered and provided to us.”*

### → **Conclusions on usefulness of STAVE components in policy making**

#### Good things

**Welcome by the policy maker (STAVE 1):** A representative from the City Council opened the first session of the group with a few words about the importance of the STAVE process for the institution. It worked very well as a legitimating strategy, so participants felt the policy maker was really interested in what they had to say. This welcome did enhance trust and commitment in the process (and its outcomes).

<sup>2</sup> Every year the Environment Department commission a survey study to address the values and altitudes of the Barcelona citizens on several environmental related issues.

**EVOC-CAPA-SIMI (completed individually, at the beginning of sessions 1, without group discussion):** This mode of implementation worked very well. The real discussion started with the simulated news article so the group discussion immediately focused on that. There was no evidence of “abstract framings” linked to the completion of the EVOC-CAPA-SIMI set. Results were highly valued by the policy makers (and so far they have only seen the results from sessions 1)

**Simulated news article (“ideal scenario”: neighbourhood with proximity-ecological-responsible consumer habits):** It proved very useful to focus on the specific and the daily.

**Oval mapping:** Very clearly captures and illustrates how the group evolves from the more general and abstract to the more specific.

**Diaries (face to face and telephone):** This kind of diaries provides excellent qualitative information (and generates even more complicity and engagement) but is highly demanding on time and human resources. A good strategy for the STAVE tool may be the combination of the face to face and telephone modes of data collection.

**Resource allocation (refining “options” with policy makers in between sessions):** Deeper engagement with policy makers; allows on-going refinement of policy questions in highly exploratory context. Highly valued results (weighing actions with empirical evidence reasoned by citizens).

#### **Self-analysis exercise (after the resource allocation exercise)**

- STAVE 1: In highly exploratory STAVE interventions it may be more difficult to apply (as there are not clear “answers” from the policy maker). Even though, we managed to identify a couple of specific issues of interest for our policy maker (in the feedback meeting we hold with them between session 2 and 3) and participants provided very useful feedback on them.
- STAVE 2 and 3: As we were able to identify three very specific questions of interest for our policy maker the self-analysis exercise proved very efficient in eliciting participants’ proposals and suggestions on the issue. Even though, time constrains did not allow really deep discussions.

#### From the full feedback

**STAVE allows highly exploratory approaches to unknown collectives** (even without clear questions or assumptions you can start the process and refine it as the process evolves). This is a strong point in STAVE.

STAVE as an **engagement and dynamic learning tool**. Strong value of the “interactive learning process” (STAVE as an “educational tool”).

**Quickness of STAVE (“immediate and unrefined feedback”):** “very strong results in a month!”

**STAVE capacity to engender “empathy”,** to generate **strong involvement** and **commitment** among participants

STAVE as a **suitable tool to improve/increase the efficiency of the introduction of new technologies in households**, such as the smart meters: Results from STAVE 2 and 3 clearly illustrate how well the STAVE engagement process supported the introduction of this specific technology. Participants in STAVE 3 (with the smart meter being installed at their places just before the STAVE process) felt part of a process where they could learn and share their experiences through a month. The smart meters become a “driving force” for a month in their lives so they got really engaged in its use and in sharing their experiences.

STAVE does provide **strong insights to support policy making** (such as the design of the project for implementing smart meters in the city of Barcelona)

STAVE entailed an iterative and close interaction that **“allowed us to really tackle what we really wanted to.”**

#### Doubts/suggestions

In **highly exploratory STAVES**: proper attention to “defining” the issue (at the start; through the process), but without limiting the required flexibility when collecting daily data.

**Presenting EVOC and SIMI results to the project and to the citizen groups:** We re-elaborated the EVOC results sent by the French partner to make them – in our view – easier to present. The SIMI output is a bit difficult to understand by the participants (but policy makers really liked it).

When there is **time constrains**: implementing “too many” components could result counterproductive.

Need to **balance the most suitable STAVE component parts** to be used according to the STAVE mode.

**Representativeness of findings (BCN EA):** Need of a few more STAVE implementations with other profiles of social groups: *“The neighbourhood we have been working with is very specific...; we should do it at the city level”*.

More on **representativeness (BCN EA)**: *“Up to what point we could say that these results are somehow representative of the neighbourhood, the social group...?”* The PACHELBEL team explained the difference between statistical representativeness and structural representativeness (qualitative studies). This might be an issue to be included in the final STAVE indications, as our policy officials somehow claimed for instructions in order to define suitable samples and how to interpret results in terms of representativity. (It should be noted that the representativeness issue emerges as a concern for the BCN EA policy officials (engineers), and not so much for the A21 (more familiar with public participation process).)

Is it the method (STAVE) or the topic (energy saving at households) the one generating such engagement and commitment among participants?

**Costs** of implementing STAVE (human resources, time, and practicalities of running the groups)?

Need to define “**official STAVE implementers**” to guarantee a proper implementation of the methods

## 5.5 Sweden

### 5.5.1 General information

**Policy maker and approach to citizen engagement:** The Swedish policy partner is the County Administrative Board of Värmland (CABV). In each of Sweden's 21 counties there is a county administrative board which is the central government's regional representative and functions as a link between the national and regional levels. The Head of the county administrative board is appointed by the Government and is designated County Governor. The county administrative board is responsible for, among other things, certain social welfare matters and regional planning, and also cooperates with the majority of public authorities at central, regional and local levels. A policy official with particular responsibility for climate and energy strategies in the county was appointed in 2010 and this official has been the focal contact for the project.

In the role of representatives for a public administration (government) body the CABV officials experience certain restrictions in engaging directly with the public. There are however close contacts with the Karlstad university and with projects initiated by the municipality of Karlstad involving citizen engagement, such as for example the so-called “100 families ” project. Efforts to engage with the public have also included public hearings on energy-related issues and information via the CABV website.

**Policy issue:** The substantive policy issues of the group discussions were all related directly to the development of policy for climate-neutral Värmland by 2030. Specifically the issues chosen were: 1) Transportation (main issue), 2) Consumption in general, 3) Electricity consumption.

**Policy assumptions:** No explicit assumptions were identified to be validated by STAVE groups.

**Policy questions:** The groups were conducted during a period where county policy makers were engaged in establishing and developing working groups to focus on long term strategies in relation to the mentioned key issues. Thus policy questions concerned the general need to know more about incentives, motivations and opportunities for influencing behaviours among citizens.

**STAVE mode:** Exploratory STAVE – the Swedish STAVE groups have not been implemented in relation to decisions on a specific issue, but rather at a broader level to

reflect public views in an area within which the county is trying to develop more long-term strategies.

**Policy feedback:** The following table offers an overview of the feedback provided on the three Swedish STAVE groups:

**Table 12: Policy feedback on STAVE groups in Sweden**

<b>Policy feedback</b>	<b>Date</b>	<b>Objectives</b>	<b>Participants</b>
Meeting 1	June 29, 2011	Informal oral feedback on session 1-3 of group 1	FH SH (PACH)
Meeting 2	Oct. 3, 2011	Meeting with CABV and Folkuniversitetet (FU) discussing a future public education project initiative concerning reduce of work related travel	FH; 2 representatives of FU SH (PACH)
Meeting 3	Oct. 4, 2011	Lunch meeting and preparation of the Stockholm meeting	FH AE, SH (PACH)
Meeting 4	Dec. 8, 2011	Immediate and unrefined feedback of findings of group 1 (to some extent 2,3)	FH AE, SH (PACH)
Meeting 5	March 19, 2012	Full feedback from groups 1-3 and discussion	FH AE, SH (PACH)

## 5.5.2 Creating and providing policy feedback

### → Methods used to create policy findings and how they have worked

#### Groups 1-3, 1st session

**1. EVOC-CAPA-SIMI tools.** The participants filled in these forms at the start of the first meeting as a “warmer up” for group discussions. The forms were easy to hand out, fill in and good for creating discussions. One later drawback aspect of the forms was that we as facilitators could not ourselves produce the analysis of the data. The same restriction, requiring certain software support, will presumably apply for future policy makers.

**2. Simulated newspaper article.** The participants read the article and this helped to raise questions and discussion about different ways of how to limit private transportations. Some participants shared examples of their experiences of similar approaches and the effect that these had had on their own commuting behaviour.

**3. Oval mapping exercise.** We discussed 1-3 of the County Administrative Board of Värmland (CABV) areas of focus and built up the oval mapping content from each meeting/group (meetings 1-3). From a rather free procedure in the first group the method was more structured for groups 2 and 3 with each participant first writing three (or more) ovals, then each in turn sticking these to the map and explaining their reasoning to the group. To write and present their own views led to active discussions among the participants. They did

not always agree, but had a good exchange as there was an open climate among the participants. The oval mapping gave opportunities to discuss a person's own view as well as the opinions of others on an issue. To keep the oval mapping "going" throughout three sessions we suggest some sort of stimulus material to activate participants, particularly if the method is used by a less experienced facilitator.

**4. Questionnaire 1.** Socio-demographical data, and background. Participants filled in a questionnaire with information on their use of transportation, electricity and food consumption. This was later to be used as a background for interpretation of findings, primarily from oval mapping and diaries.

## First intermediate phase

**1. Diaries.** The participants of all 3 STAVE groups kept a diary for 2 x 7 days (i.e. between meeting 1 and 2 and meeting 2 and 3). Format used: paper and/or digital with both standardized questions and open ended questions. Both versions of diaries have been working well (although when using the digital version we had to remind individuals several times). Both we and the participants experienced the diaries positively. We as researchers/facilitators because in writing diaries the participants produced responses close to their everyday behaviours and thoughts, in contrast to more principal and abstract general responses. The participants reacted positively (especially regarding the digital version) as they became aware of how they actually acted /thought when writing this down, some even were surprised over their own behaviour and what they found out about themselves. But, they did also find the standardized questions somewhat monotonous/boring after a while – some variation could be introduced here.

Group1 were only asked to write about their transportation use. As the discussion had included the two other areas of policy maker's interest, consumption and domestic energy use, we included these for the second intermediate phase and also from the first intermediate phase for groups 2 and 3.

**2. Oval mapping.** In preparation for the second session we (the facilitators) arranged the maps in different themes e.g. transportation (cars, buses, trains) and the positive and negative aspects of these respective transport methods, recycling (waste, the usefulness of doing it), education (children, grownups), feelings (shame, feel good), cognition (awareness), consumption (food, things) etc.

## Groups 1-3, 2nd session

In group 1 we started with feedback from the Evoc-Capa-Simi tools, followed by the diary. The participants were willing to discuss the diary more openly than we had expected, so we decided to reverse the order for the next group. For group 2 we started with a discussion on the diary with good results, so we used the same structure in group 3.

**1. Diary feedback.** We started by presenting differences and similarities between the participants (without revealing who said what). The participants were very open about what they had written and shared their thoughts. The feedback was useful to generate reflections over own behaviour and opened up the discussion to be more personal. Participants were interested in the results and could be conscious about, and surprised, over their own, and others, behaviour.

**2. EVOC-CAPA-SIMI feedback.** A brief report, showing the bar chart over the result from EVOC and CAPA results was presented. The participants were interested to know if they were "better than other countries". The results from SIMI were a little more difficult to understand, but they did find it interesting that their group responses could be illustrated in a specific pattern. Also here they asked if there were any differences compared to other countries.

**3. Questionnaire 1 feedback.** A few questions were discussed regarding specific behaviour patterns.

An overall comment on feedback: The participants find it interesting to hear the results from their own sessions. It was also good to continue and deepen the discussions and to work on the oval mapping. Feedback emerges as an important part of STAVE groups stimulus input. Preferably this should be given as rapidly as possible.

4. **Oval mapping exercise.** We recalled the oval maps from the first session and asked the participants if they agreed with our thematic organization of the map. They did so, and continued to work with the oval mapping. They were instructed to have two questions in mind: "what actions can you take (climate change adaptations)?" and "what are the reasons for doing or not doing these things?" These questions provided a basis for active and lively discussions, as well as revealing barriers for change of behaviour.

## Second intermediate phase

1. **Diary.** The diaries (see above) were kept for 7 days. All three groups wrote about transportation, consumption and energy use.

2. **Text material from a homepage.** At the county board of Värmland's homepage the participants could read about the plans and the progress that the authorities (working groups) are making regarding transportation and consumption issues in the county (they were given this material as a home work assignment).

## Groups 1-3, 3rd session

1. **Diary feedback.** As in session 2 we started by highlighting some differences and similarities. We also asked the participants if they had made any changes during the period of attending these group sessions. Almost all said that they had been positively influenced, at least made more aware about their everyday behaviour, by the other participants.

2. **Text material from CAVB homepage.** The groups seemed to appreciate examining "real-life policy", but found the material quite dull ("they (*the county policy makers*) could make this more exciting").

3. **Oval mapping exercise.** We recalled the two last sessions mapping and continued to elaborate, particularly regarding barriers and motivators for different behaviours.

4. **Policy question/self analysis exercise.** When doing the self analysis exercise (based on discussion, diaries, oval mapping) participants were focused and thought that it was good that their views on these issues were being used as a means to "give advice" to the County board. Each started by filling in a template giving suggestions and comments to these, then the suggestions were summarized on the whiteboard and discussed in the group. This was a good exercise, but to be valuable it needs to be done at the end of the citizens' group meeting, as was done here. More time could be allotted to developing discussion around this exercise.

5. **Resource allocation exercise.** This exercise has been done with groups 2 and 3. Also here the participants appreciated the exercise. We used it at the end of session three, but could have allotted more time to discuss the results. When filling in the form, participants commented on how difficult it was, being forced to choose between different significant ways to increase sustainability. The allocation exercise proved a useful way to create animated discussions – where people really need to choose, and are not able to "prefer everything".

6. **EVOC-CAPA-SIMI set.** The set were also distributed and filled in at the end of the last session, with no comments or discussion.

7. **Questionnaire 2.** This included evaluation of own behaviour and open ended questions about possibilities of action regarding transportation and consumption. This form was distributed at the end of the last meeting. It can be viewed as a summary of how the individuals evaluate their own behaviour linked to sustainable development.

8. **Evaluation questionnaire.** At the very end of the session the evaluation questionnaire was filled in.

At the close of the final session and “farewell” to the participants several commented that they would like to know more about the progress of the project, results from other countries, etc. The PACHELBEL webpage was pointed out as a good source of such information.

→ **Evidence gathered, analysis of evidence, and material captured for policy feedback**

Evidence gathered

The following evidence was gathered from the three citizen STAVE groups:

- Audio recording of the three groups sessions (fully transcribed)
- Photos of the groups, oval maps from each session and summary sheets
- Diaries (1 week between sessions 1 & 2, one week between sessions 2 & 3)
- Oval maps (sessions 1-2-3)
- EVOC-CAPA-SIMI questionnaires (sessions 1 & 3)
- Resource allocation exercise (groups 2 and 3, session 3)
- Summary sheets of self analysis exercise (based on self-analysis template; session 3)
- Socio-demographical data (session 1)
- Background (session 1) and behaviour evaluation (session 3) questionnaires
- Participation evaluation questionnaires (session 3)

Immediate and unrefined feedback

**Analysis of the evidence**

A preliminary content analysis of the qualitative data (transcripts of the group sessions, diaries, oval maps and summary sheets) has been carried out. The primary focus of this analysis has been to identify main themes and focal issues relating to participants reasoning regarding transportation/mobility, and to some extent also energy consumption and private consumption. A more detailed orthodox analysis of these data has been started.

Descriptive analyses of the quantitative data have been made regarding the resource allocation exercise, questionnaires (background, behaviour evaluation and participation evaluation) and EVOC-CAPA-SIMI summaries (as compiled by the French team).



## Material captured for policy feedback

Here were included:

- photos of participants and oval mapping
- the oval mapping, compiled in summary
- preliminary analyses of the taped discussions, with example quotes
- overview of diary findings with example quotes
- overview results from EVOC-CAPA-SIMI, as compiled by the French team
- visualized (paper) summary of resource allocation data
- summaries of findings from the self analysis exercise

The results were compiled mainly in PowerPoint form, using a format based on the model developed and tested by the Spanish team. The policy feedback material was focused towards providing an overview of main themes emerging from the citizen groups and to give preliminary indications of different findings related to use of different STAVE tools.

### Full feedback

## Analysis of the evidence

It was clear from the immediate and unrefined feedback that the Swedish policy official was particularly interested in discussing implications of the STAVE findings at a more general rather than detailed level. The further analysis has particularly focused on providing also this kind of overall picture. A more detailed content analysis of the qualitative data (transcripts of the group sessions, diaries, oval maps and summary sheets) has been carried out, also comparing the trends in the different groups. A deeper analysis of main themes and focal issues relating to participants reasoning regarding transportation/mobility, energy consumption and private consumption has been carried out.

The descriptive analyses of the quantitative data have been complemented with data from groups 2 and 3 regarding the resource allocation exercise, questionnaires (background, behaviour evaluation and participation evaluation) and EVOC-CAPA-SIMI summaries (as compiled by the French team).

## Material captured for policy feedback

The material used for the immediate and unrefined feedback was complemented to include all 3 STAVE groups. The original PowerPoint presentation was revised and additional slides were added to provide a summary overview of the key points. An analysis of the transcript from the immediate feedback was also used to direct the full feedback

session to areas of particular interest to the policy official and to respond to some questions raised previously.

### → Policy maker's reactions to STAVE feedback

At the first, second and third policy group meeting some findings were presented orally. The policy maker considered the results interesting, and the findings led to a discussion about how to use such materials in a wider context. The second meeting had a somewhat different purpose, in that this was an information meeting where the policy maker FH wanted to discuss the idea of starting up a project with the objective to reduce work-related travel in the county. People in the project working group were interested to hear more about the STAVE findings and the methods used. The fourth meeting was particularly focused on capturing comments and views from the policy maker perspective, and included preliminary results from all the material outlined above, using the PowerPoint presentation.

Overall the response to the immediate and unrefined feedback insights was positive. Comments on the feedback expressed interest, insights which gave “real food for thought”. Regarding the general overview one comment indicates that the different angles and composite picture are particularly appreciated.

Some specific comments:

- The resource allocation exercise: from the policy maker perspective viewed as positive to put citizens in the role of the decision-maker, as captured in the comment: *“Every citizen should at some time have a sleepless night worrying about municipal decisions”* (a quote from the political scientist Bo Rothstein). The idea of doing similar exercises on a larger scale (“greater stability”) was raised, commenting that politicians need to know more about citizen preparedness “*even for some uncomfortable decisions... interesting exercise...*”.
- Regarding expectations of findings some earlier doubts were mentioned that perhaps too much was expected of STAVE, *“the solution to all problems”*. As one policy maker expressed it, he does not believe in perfect solutions, but from a pragmatic viewpoint sees STAVE as a useful set of tools.
- This comment can be linked to the wish to see data from more groups and to use STAVE techniques to collect views from a larger sample of citizens. One comment also suggests that the STAVE results could be useful in dialogue between different policy maker groups.

In the **full feedback** session it was clear that the policy official had already reflected upon the preliminary findings and was primarily interested in gaining and discussing a fuller picture. The focus was on overall trends and ideas rather than detailed analyses of the

different exercises. In this sense “full feedback” is more about a higher level of comparison and abstraction, rather than more data and detail. It can be noted that the Swedish policy official has a strategic role working on long term policies, and is also very familiar with citizen engagements from his previous work as a teacher, author and speaker. In considering responses to the immediate and full feedback sessions we also note that in the Swedish case these have been conducted with only one policy official. It is worth considering how this may affect the kind of responses and discussion initiated by the feedback. It may be that this form of feedback promoted a more abstract exchange of ideas between the policy official and the PACHELBEL team.

### → **Conclusions on usefulness of STAVE components in policy making**

From the point of view of activating citizens to provide useful policy-related information the methods generally worked well, providing rich information on everyday habits and behaviours, while also identifying some discrepancies between general attitudes and actual behaviours. A couple of points for further development noted here:

- The diaries give insights into everyday behaviours, but the balance between structured parts (found by some participants to be boring after a time) and more open questions needs to be considered further.
- Tasks relating directly to giving citizen feedback to policy makers (for example the resource allocation exercise, self analysis exercise) were approached with serious commitment and interest in all the groups. Discussion of results in the groups were brief, due to lack of time, but could potentially be developed more when applied to specific policy maker issues.

Considering how STAVE can be used as a tool for policy makers the first feedback indicates positive expectations, but also awareness of limitations (not “the solution to all problems”). This can point to a need to consider how STAVE can be combined with other strategies in policymaking processes. Some ideas regarding adapting STAVE tools for different purposes also emerged in the first feedback dialogues with policy makers:

- Further analysis can be directed towards analyzing how different methods can match the particular problems facing policy makers (“sharpening the toolkit”). For example, policy makers seem to like the resource allocation exercise (perhaps because it places citizens in the difficult position that they themselves experience?). This could be useful in dialogues where the use of limited resources is a main focus.
- Faked articles can stimulate discussion on themes that are difficult to raise in other ways. A policy maker had spontaneous ideas on how this might be done, e.g. introducing comparisons over time (e.g. previous decades compared to today) which people are not so aware of.

→ Use of materials from the policy makers themselves (e.g. webpage texts) can provide useful direct feedback of how descriptions of progress are received by the public themselves.

The reflections from the Swedish policy official indicate an appreciation of the way in which different STAVE tools can uncover different aspects of citizen attitudes and behaviours, revealing also underlying complexities in human behaviours. Thus specific tools might be used to investigate particular issues. At the same time the policy official mainly focuses on the overall picture and the implications for developing more long term strategies, for example demonstrating areas where citizens may be more prepared to adapt or change behaviours. During the full feedback it also became clear that there are a number of considerations related to conducting STAVE interventions from a public administration office, a process which preferably should include involvement of a research institution or other intermediary partner.

## 5.6 UK

### 5.6.1 General information

**Policy maker and approach to citizen engagement:** In the UK, the policy officials with whom we worked were members of the team designated “Centre of Expertise on Influencing Behaviour (CEIB)”, which forms part of the UK government’s environment ministry (DEFRA). DEFRA has a long history of commissioning social research which explores citizens’ attitudes and practices concerning various issues relating to sustainability (water, waste and recycling, transport, energy use, etc.). One of the major roles of the CEIB is to develop effective interventions that can bring about persistent changes in lay behaviours that promote environmental sustainability. In seeking to achieve this objective, a long-term effort has been made to build a coherent evidence base, through commissioned research and systematic reviews of other available evidence. The CEIB has been particularly focused on identifying individual motivations and barriers to change, but also on understanding the context factors that can sustain or hinder change. In line with recent thinking within British central government, a strong influence of behavioural economics has been evident in CEIB’s work.

Therefore the UK policy officials already had some familiarity with research methods used to elicit citizen views (e.g. focus groups, surveys), and with the kinds of evidence these methods are able to produce. The policy officials also had some familiarity with a range of concepts and theories drawn from the scholarly literature on attitudes and behaviour change, together with the main associated research findings, and ideas and findings from the field of citizen engagement. In addition, the Head of the CEIB group (who had joined DEFRA from outside government during the course of project PACHELBEL), had experience of facilitating groups in engagement and training activities within the private and voluntary sectors. This background familiarity with social research, and with group-based methods, placed the UK policy officials in perhaps an unusual position in comparison with project policy officials in other partner countries. First, they appeared to

be especially well equipped to evaluate STAVE, both as a means of citizen engagement and as a method of producing findings that could support policy making. Second, they were in a position to compare the feedback produced by STAVE with a very substantial body of research findings that has already been tailored to their policy needs. We will discuss in due course how our engagement with the policy officials was influenced by these factors.

Following discussion of a number of possible policy foci, we agreed with the POs that the substantive policy issue for the UK STAVE trials would be consumers' understanding of, and shopping behaviour towards, household kitchen appliances that are known as 'white goods' (e.g. washing machines, fridge, toasters, etc.). The POs were interested in consumer reasoning, everyday behaviour and expectations concerning produce durability and reuse, product lifetimes, and the purchase of second-hand products. The POs expressed a specific interest in white goods because of a lack of existing evidence on consumer practical thinking around these appliances, and a lack of clarity as to what might be viable policy options in this area. Consistent with their overall mission, the POs at CEIB were interested in the design of practical interventions that could shape consumer behaviours in more sustainable directions.

**Policy issue:** The substantive policy issue for the UK STAVE trials was consumers' understanding of, and shopping behaviour towards, household kitchen appliances that are known as 'white goods' (e.g. washing machines, fridge, toasters, etc.). This choice was made during consultations between the UK research team and the policy partner based at the Centre of Expertise on Influencing Behaviours, DEFRA. Specifically, the UK policy partner was interested in consumer reasoning, everyday behaviour and expectations concerning produce durability and reuse, product lifetimes, and the purchase of second-hand products. The policy officials expressed a specific interest in white goods because of a lack of existing evidence on consumer practical thinking around these appliances, and a lack of clarity as to what might be viable policy options in this area. Consistent with their overall mission, the policy officials at CEIB were interested in the design of practical interventions that could shape consumer behaviours in more sustainable directions.

**Policy assumptions:** Our initial discussions with the policy officials failed to elicit clear assumptions about consumer behaviours with respect to white goods. They had recently commissioned focus group-based research on public understanding of product lifetimes and durability. This work had revealed a rather muddled picture, with no clear policy options emerging for consideration. At that stage, the policy officials welcomed the prospect of the STAVE trials as an opportunity to explore consumer understanding of these products further, and perhaps provide some ideas for socially-acceptable policies that might promote extended product use and reduce waste.

**Policy questions:** In line with the agreed policy area, we set out to investigate how lay citizens relate to white goods – at home and in the marketplace. We attempted to examine how they reasoned about the durability and reliability of these products, and how such reasoning was linked to practical decisions about replacing or repairing them. The policy official's agenda was concerned with minimizing the impact of manufactured goods on the

environment, and reducing the consumption of energy. They were particularly exercised by citizen behaviour concerning what they termed “workhorse products”, namely cookers, refrigerators, washing machines, and kettles. The policy officials were sensitive to the possible roles of price and brand as proxy labels indicating quality, and including product characteristics like longevity. They also expressed interest in consumers’ views about guarantees and warranties (in effect insurance policies to cover possible failure), and the possible role of service histories (if they could be made available) in informing views on what reasonable expectations could be made about product lifetimes.

**STAVE mode:** The STAVE mode for all three trial groups was largely exploratory, in the sense that we did not set out to test assumptions elicited from the policy officials. We say “largely”, because tacit assumptions about how we anticipated our group participants would behave were doubtless built into the design of the trial process. So one might say that there was a validity dimension to the trials, in this weaker sense. Importantly, whilst providing feedback to the policy officials following the first (1x3) STAVE trial, it emerged that they regarded the trial as, at least in part, playing a validity role. The policy officials revealed that the feedback confirmed some expectations (or hunches) they about how consumers might respond. They also thought that the feedback supported findings from previously-commissioned research. Prior to the second and third STAVE trial, the policy officials expressed an interest in seeking evidence on the potential acceptability and effectiveness of a number of fairly loosely-formulated policy options.

One might argue that the exploratory-validity distinction is more of a theoretical, or perhaps an ideal-type, concept than something which exists in practical implementation. Indeed, do policy assumptions actually exist in the practical activity of policy-making, or do they emerge as post-hoc rationalisations for disordered exploratory and sense-making processes? This raises an important question about evaluating STAVE, and whether a more realistic assessment of performance would take account of a hybrid functionality, in which in some elements of the STAVE process are exploratory, and others validity.

**Policy feedback:** The following table offers an overview of the feedback provided on the three UK STAVE trials. NB on each occasion, the DEFRA team personnel was different, with no single individual providing continuity.

**Table 13: Policy feedback on STAVE groups in the UK**

<i>Policy feedback</i>	<i>Date</i>	<i>Objectives</i>	<i>Participants</i>
Meeting 1	July 14, 2011	a) providing quick feedback to DEFRA on the first session of the first STAVE group (conducted on July 5); b) gauging DEFRA's suggestions for how the second session of the first STAVE group should unfold, following the participants' responses in the first group discussion	DEFRA team 1 JB, AM, LM (PACH)
Meeting 2	Sept. 28, 2011	a) providing feedback to DEFRA on the first STAVE iteration (3 sessions) b) assessing DEFRA's suggestions for the policy issues to be addressed in STAVE 2 and STAVE 3	DEFRA team 2 JB, THJ (PACH)
Meeting 3	Jan 23, 2012	a) providing feedback to DEFRA on the second and third STAVE trials (conducted in Nov-Dec 2011) b) assessing DEFRA's interest in using STAVE as a tool in the future c) trying to assess DEFRA's requirements and preferences for the provision of full feedback	DEFRA team 3 THJ, LM (PACH)
Correspondence	March 19-20, 2012	UK team offered briefing on comparative appropriateness and effectiveness of the PACHELBEL team STAVE trials, plus "more comprehensive" analysis of the UK data, provisionally on a date in May 2012	

### 5.6.2 Creating and providing policy feedback

#### → Methods used to create policy findings and how they have worked

#### Framing

A decision was made by the UK team at the outset not to frame the group discussions in terms of sustainability issues. It was felt that seeking to elicit indigenous patterns of practical reasoning about such issues, framed in terms of naturalistic everyday considerations was much more likely to be effective in attending to the needs of the policy officials. This is the reason why the first UK group did not use the EVOC etc devices. In response to discussions at the consortium meeting in Stockholm, when colleagues pointed to the disparity between EVOC etc. data and naturalistic discussion of everyday practices, we decided to deliberately re-frame the STAVE 2,3 discussions in terms of

sustainability at the very end of the three-meeting process in order to observe its impact on the group discourse.

## STAVE 1

As part of the general group discussion, a number of tasks were employed to generate insight into the lay reasoning around the lifetimes of kitchen appliances. These are detailed below:

### Group 1, 1st Session

1. [The stimulus newspaper article](#). We invited the participants to read the stimulus article on throwing away kitchen appliances – a fictitious newspaper article in a UK shopping magazine – and gauged their opinions about the views expressed in the article.

2. [The oval mapping exercise](#). We asked the participants to write down on the oval notes the factors that, in their opinion, are important in choosing a product, new or second-hand. We used different sheets for different appliances, both bulky (e.g. washing machine) and small (e.g. toaster) and we spent some time together grouping the main reasons and discussing differences between appliances.

### First intermediate phase

Between sessions 1 and 2 the participants were required to keep a week-long diary recording their use of white goods as well as their thoughts about their reliability.

### Group 1, 2nd Session

1. [Diary feedback and discussion on how to extend appliances' lifetime](#). We gave feedback on diaries and gauged the participants' reflection on how they had found the task. We circulated copies of one diary extract and asked the participants what sorts of things they do to make their appliances last longer.

2. [Confidence in second-hand products](#). We discussed the factors that would make people confident in buying / acquiring second-hand white goods and tried to gain insight into the perceived indices of reliability for second-hand items. We gauged the participants' views on introducing service histories for longer lived products (e.g. for washing machines as for cars) to reduce uncertainty about how product has been treated by its previous owners. We got the participants to reflect on the use of service history and quality marks, and the use of warranties – this is about both the look of the document and the level and type of service provided.

3. [Understanding lifetime information: the Bosch washing machine exercise](#). We devised two descriptions for two similar Bosch washing machines, with their lifetime expressed as 15 years vs. 2600 washes. We asked the participants to read each description and compare the two washing machines with different specifications, model A and model B.

4. [Return to the stimulus article from the 1st session](#). We asked the participants to read again and to reflect again on the issues covered in the fictitious newspaper article. We explained to the participants that we were interested in the fact that the previous discussion did not really pick up on the points that the article makes about the impact that these products can have on the environment.

### Second intermediate phase

Between sessions 2 and 3 the participants were requested to look on ebay for second-hand washing machines and kettles for sale and look at the descriptions accompanying the items. We asked them to write down the reasons they would and would not consider buying the products. The participants were also



requested to have a look at home for their white goods warranties and to bring to the next session the longest-running warranty they had at home.

## Group 1, 3rd Session

1. **Overview of diaries from week 2: discussion of warranties, and then of the pluses and minuses of buying second-hand items on ebay.** We firstly discussed which participant had brought the warranty for the longest serving white good they had at home. We also discussed the pros and cons of buying extended warranty for white goods.

2. **Resource allocation task.** We designed a set of 8 policy options and instructed the participants to allocate the colour dots to the policies they thought would be most effective. These 8 policy options were based on the discussions from sessions 1 and 2 and from conversations with the policy partner. We did this exercise for bulky items first, and for small items, second.

3. **Discussion of selected section from the Which? feature 'Built to last?'** Next we presented the participants with copies of the article 'Built to last?' from the *Which?* magazine. This article discussed whether white goods are increasingly made to be disposable rather than repairable.

The data taken as feedback to the policy partner at the end of STAVE 1 was data directly generated by the participants, such as diary entries, the resource allocation task, the oval mapping results, the results of the *ebay* search, presented with minimal commentary. We found that some tasks lent themselves better than others at generating immediate and unrefined feedback for the policy partner, e.g. the oval mapping exercise and the *ebay* search task.

As described in more detail in the deliverable D4.4, in the UK STAVE 1 we found that all the stimulus materials worked well as stimuli for group discussion and as tools for insight into (a) individual practices around the issue at stake (white goods) and (b) the shared everyday meanings around issues that one might categorise as “sustainability”, although, importantly, the participants themselves did not use this framing.

## STAVE 2 and 3

These trials were implemented “in parallel”, with the same procedures adopted for both. Following discussions with the policy officials, we used these trials to investigate the same issues, but this time with a stronger policy focus.

- Overall focus: using products for a longer period
- Policy options to be explored
  - a. Quality marks – products carry a badge that ensures quality (what sort of organisation would be a trusted provider of such badges?).
  - b. Service histories – building in a “milometer” of some kind that measures the amount of use a second hand product has received (or introducing “logbooks” like the ones that cars have) that record use by previous owners.
  - c. Lifetime information – requiring manufacturers to make public information on how long a product is likely to last (this could be provided to purchasers

on new products, or perhaps online so potential purchasers of second hand products could look up the information).

- d. Standardisation of guarantees/warrantees – there could be obligation that guarantees and warrantees are only possible in simple, easily comparable, formats (what would be the best formats?).

→ Specific STAVE 2, 3 questions

- a. Exploring policy options
- b. What information do customers need? How much?
- c. Policy options that match combinations of specific product and new or second products.
- d. Trusted sources of information?
- e. When are policy interventions are likely most useful/effective? Focus on the policy officials' interest in the significance of “moments of change” e.g. getting married, moving in together, having a baby, retiring etc.

The policy officials made an interesting methodological suggestion, namely that we use a “mock-up”, in other words a simulation exercise. This proved a helpful suggestion, and one that prompted the design of an interesting and useful group activity – one in which we invited the participants, working in pairs, to write an advertisement for a refrigerator, and then to try to “sell it” to other participants in the group.

## Groups 2-3, 1st Sessions

1. Discussion on shopping

2. Simulated news item

3. Oval mapping

## First intermediate phase

Diaries focussing on everyday shopping behaviours

## Groups 2-3, 2nd Sessions

1. Discuss diaries

2. Revisit oval map

3. Writing and discussing an advertisement

## Second intermediate phase

Diaries with focus on everyday use of white goods in the home – a good of bad buy?/reflect on replacing these products and how the decision would be made/consideration of existing guarantees & warrantees

## Groups 2-3, 3rd Sessions

1. Discuss diaries
2. Revisit oval map
3. Resource allocation exercise
4. EVOC & CAPA exercises and discussion
5. Evaluation questionnaire

We felt that all the procedures worked well. The diaries for STAVE 2,3 were minimal and incomplete, but we feel that the process of completing them (or feeling that they should be completed) was invaluable in focusing participants' attention to their day-to-day activities. A number of participants remarked that they were surprised by how alert they had become to issues concerned with white goods.

→ **Evidence gathered, analysis of evidence, and material captured for policy feedback**

### Evidence gathered

The following evidence was gathered from the first UK STAVE group:

- audio recordings from the 3 group sessions
- oval maps from session 1
- 2 x 8 diaries of the participants
- resource allocation exercise from session 3
- evaluation questionnaires after session 3
- socio-demographic data of the participants

Evidence gathered from the second and third STAVE groups:

- Audio and video recordings of three sessions for each group
- Oval map, which provided a cumulative resource throughout the 3-session process
- Two phases of diaries for most participants
- Writing an advertisement and 'selling a refrigerator' exercise
- Resource allocation exercise
- EVOC and CAPA data for the groups as a whole
- Evaluation questionnaire

## Immediate and unrefined feedback

### STAVE 1

#### Analysis of the evidence

The feedback on the first session of the first UK STAVE iteration was largely verbatim, immediate and unrefined, and did not contain any in-depth analysis of the participants' discourses. Similarly, the feedback at the end of the first STAVE iteration was not based on in-depth analysis of the data, but rather on a preliminary overview of the main points emerging from the participants' patterns of talk.

During the preliminary analysis process and the preparation of material for feedback, it became apparent that some tasks were more able than others at eliciting data from participants that could be taken back to the policy partner as "immediate and unrefined" feedback. For example, the stimulus newspaper article and the washing machine deliberation exercise elicited little in terms of data to be taken to the policy partner (they were embedded in the general discussion), while the ebay search task (second round of diaries) and the resource allocation exercise lent themselves more easily to producing material for immediate and unrefined feedback.

#### Material captured for policy feedback

The material captured for policy feedback from STAVE 1 included the data generated by the participants. The feedback to the policy partner included an overview of the tasks covered in the group processes, as well as a verbatim description of the main points emerging from the participants' discourses, e.g. reliance on brand and price when choosing white goods. The evidence presented to the policy partner consisted of:

- the participants' diary entries
- the results of the oval mapping
- the results of the resource allocation task
- the stimulus newspaper article that was used at the start of session 1
- the description of two fictitious washing machines detailing the appliances' expected lifetimes that was used in session 2
- a real Which? magazine feature on the lifetime of electrical appliances, that was used in session 3
- the results of the ebay search task and the results on the participants' search for their warranties (essentially the diary between sessions 2 and 3)

The main themes present in this feedback were as follows:

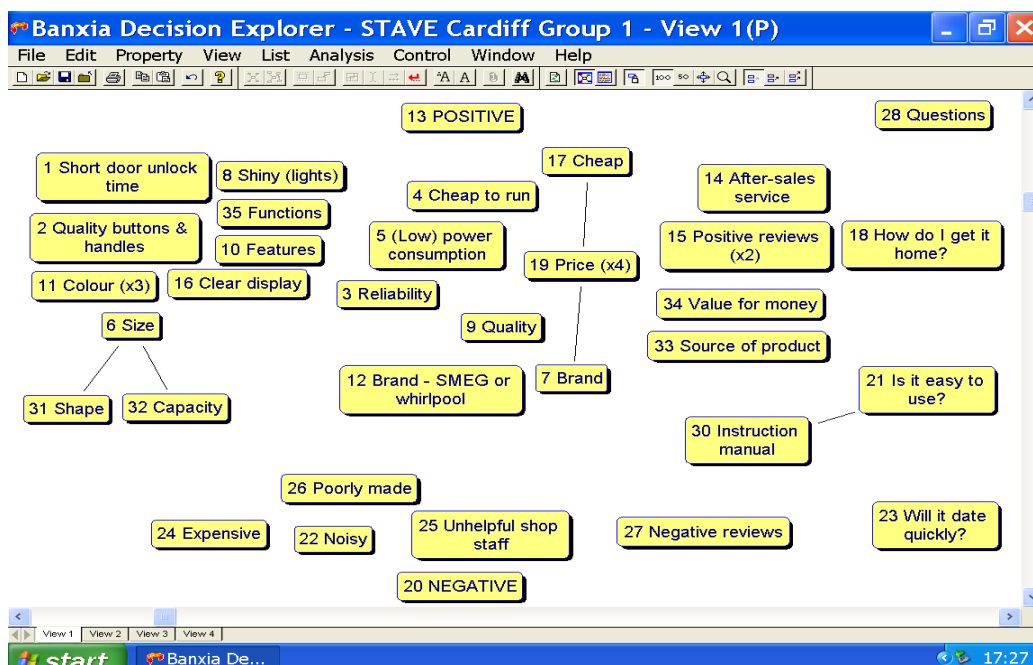
- Reasoning about white goods was not linked to sustainability issues.

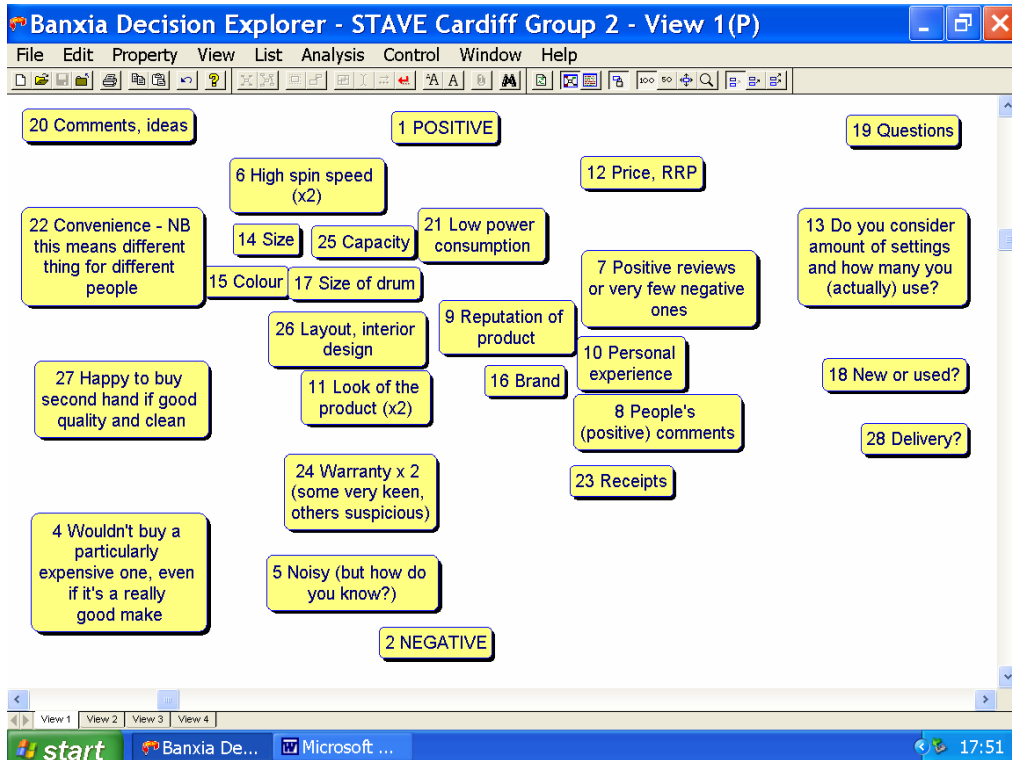
- Purchases of white good were primarily concerned with price, functionality, practicality.
- Participants would only purchase second hand if they couldn't afford new.
- Second hand purchases were more likely for the more expensive items than cheaper ones, as cheap ones are easy to replace
- There was some evidence of what previous DEFRA research had identified as a "disgust factor", as second-hand goods had come into contact with e.g. others' food.
- There was a lack of appreciation of much detail about guarantees and warranties.

## STAVE 2 and 3

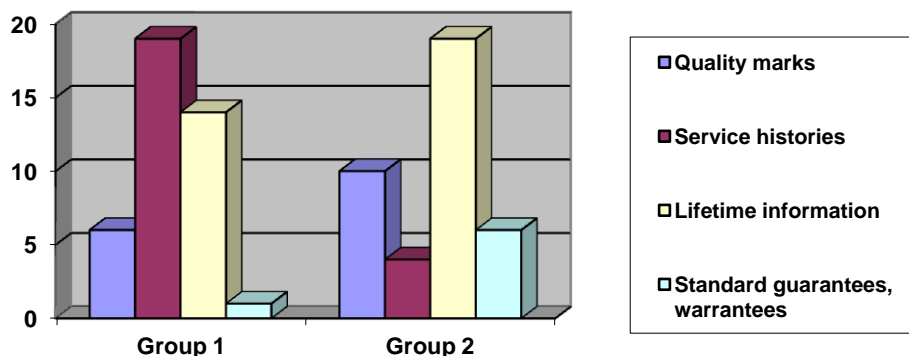
Turning now to the second and third UK trials, feedback drew largely on data produced directly by the participants, with minimal commentary. The team spent a few days working with the audio and video recordings in order to identify broad themes in the talk and reasoning practices. These themes were presented during the feedback meeting, following an initial presentation and discussion of diagrammatic feedback (cf. annex 7.5.9). That feedback material follow below.

- Oval maps

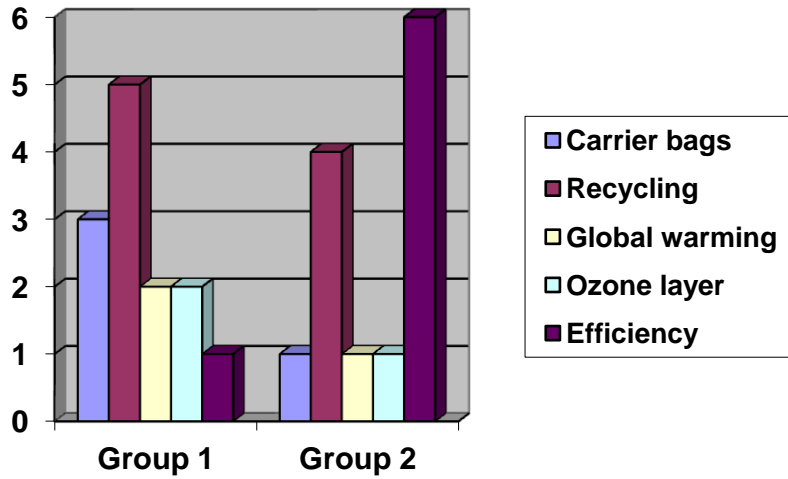




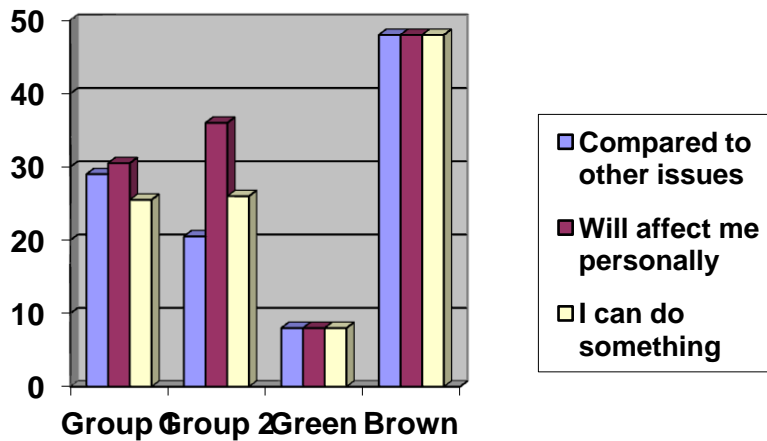
→ Resource allocation exercise – applied to the four policy options identified by the policy officias



→ EVOC data



→ CAPA data



→ Preliminary thematic analysis

- a. Sustainability issues
  - Before we put green issues on the group agenda:
    - Re sustainability: ‘The government sorts it out’
    - “All machine these days are highly efficient, products ‘much of a muchness’”
  - After we raised green issues with the participants:
    - “Would like to support, do my bit, but not a priority”
    - “Getting silly” about the environment
    - “Bacteria left because washing at too low a temperature”
    - “Things (environmental quality) are much better now..  
“(environmental) issues not so fashionable”
- b. Knowledge, important factors underlying reasoning
  - Brand very important
  - Going online, importance of reviews
  - Couples/solo individuals contrasts
    - More income for couples, so more choice
    - Positive associations with choosing/purchasing together
    - Solos don’t discuss, just get on with it
  - Gaining knowledge from smart meters – some liked, but significant resistance to self-monitoring – a freedom thing?
  - Contrasting views between groups on policy options, NB role of criminality in Group 2 reasoning.
- c. Second-hand purchases
  - Very noticeable difference between the groups in terms of disposable income, lifestyle, social context
  - Decision-making
    - Little choice given money available
    - Brand/coming from a good home/location/plausible account for selling
    - Basically sound, clean
    - Role of social networks as conduits, grapevines, Mother will keep her ear open



- d. A “throw-away” society
    - Critical remarks about those who throw away perfectly serviceable products because they want new, more fashionable, different colour etc. but no-one directly admitted doing so....
    - ...but rhetoric of recycling, ‘giving back something to the community’, role of social networks again
  - e. Guarantees and warranties
    - Significant difference between groups, sufficient wealth to replace at short notice?, hence need for insurance schemes.
    - Not very informed discussion.
    - Some resistance to insurance, possibly another dislike of planning/freedom thing.
    - General support for the idea of standardising schemes, support for regulation to require schemes that provide consumer protection.
- Feedback in response to questions posed by the policy officials
- We explored the following policy options
    - Quality marks, Service histories, Lifetime information, Standardisation of guarantees/warrantees
  - What information? How much?
    - Role of cues, associations, formal and informal knowledge, complexity-reduction mechanisms
  - Trusted sources of information?
    - Little trust, perhaps the Consumers’ Association. Pragmatic search within a constellation of information sources.
  - Policy options-product-new/second hand matches
    - Combination of service histories (tamper-proof records) and lifetime information seems likely to address the more expensive end of the white goods category.
  - When policy interventions are most useful/effective?
    - Trying to encourage top brand products to be seen to make green performance part of the brand design.
    - Acting to enhance the quality of the knowledge environment for consumers.
    - Focus on quality and value for money, a good deal for the consumer, rather than overtly about green issues.

### Full feedback

In the UK, full feedback has not yet been provided to the policy officials. A meeting with the policy officials has been provisionally scheduled for a date in May 2012. This will follow the project meeting in Stuttgart 16-18 April, allowing us to take account of comparative perspectives on STAVE across the national interventions.

#### → Policy maker's reactions to STAVE feedback

### STAVE 1

There was a feedback meeting one week after the first session of the STAVE 1 group, and another feedback meeting a month after the third session of that group. At the initial meeting with the policy official, we conveyed the main issues that emerged from the first group discussion. We also sought the policy officials' views on how best to implement subsequent meetings of the STAVE 1 group. The policy officials seemed to find the format of focus groups-generated data familiar, and the ways in which this provides access to material directly generated by the participants. As one member of the policy officials' team put it: *"I'm fascinated actually at what people say"*. The policy officials also indicated that they valued the opportunity provided by the STAVE trials to test out various ideas relating to policy options, and to probe lay understandings of issues concerning product lifetimes.

The policy officials pointed out that they were accustomed to receiving feedback from commissioned research in a rather formal format, suitable for presenting to ministers. They noted that they could not see how immediate and unrefined feedback from STAVE could play this role. Although they seemed interested in what we had to say about the STAVE 1 feedback, they seemed a little bewildered by the rawness of the material, and what to do with it. So a possible source of tension seemed to emerge between the policy officials' expectations and our attempt to produce a tool that can produce quick and very rich feedback.

### STAVE 2 and 3

The STAVE 2, 3 trials were implemented in Nov-Dec 2011. In January 2012, we paid a further visit to the policy officials to provide feedback of these latter trials. Unlike the STAVE 1 trial, we had been able to video record both STAVE 2,3 trials, and we looked forward to showing the policy officials how STAVE groups worked in practice. Unfortunately, the meeting was hampered by technical difficulties, resulting in us being unable to show the policy officials the sequences of video recording that we had selected in advance. Although we explained that part of the objective for the meeting was to explore how best to provide feedback from STAVE groups – in particular whether minimal,

participant-generated material could play a useful role – the policy officials seemed to regard the meeting as essentially one to provide a summary of findings from a research exercise. In this way, we may possibly been at cross purposes in terms of our expectations.

After reminding the policy officials about the project and STAVE, we first presented what we termed “diagrammatic feedback”. This comprised bar charts corresponding to:

- a. “Red dot”/resource allocation exercise in which participants “voted” for a number of policy initiatives identified by the policy officials. These initiatives were presented to the group participants as things that “governments in Europe” were thinking about implementing in order to enhance the information available to consumers. This exercise was implemented in the third meeting of the STAVE2,3 groups, before the EVOC-CAPA exercise.
- b. EVOC and CAPA – which were implemented half way through the third meeting of the groups.
- c. Oval maps, which had been produced during the first meetings, and then elaborated on a number of occasions through the three meetings, so providing a cumulative “picture” of the groups’ “mental map” of the issues discussed.

We wanted to understand what sense the policy officials would make of this immediate and unrefined feedback, before moving on to slightly more detailed thematic analysis that we had prepared. We did a fairly simple commentary for the diagrammatic material, describing the circumstances that generated this data, and pointing out its key features.

On the oval maps, one of the policy officials said “*it’s like last time*” (referring to preliminary findings from STAVE1). One policy official was negative about the bar charts, suggesting that adding up the individual group participant’s to produce a group score served to destroy data on individual responses to the tasks. All the policy officials seemed surprised that we had chosen to do the EVOC-CAPA late in the group process, and didn’t seem to be able to appreciate why we wished to avoid pre-framing the discussions in terms of sustainability issues (in order to focus on naturally-occurring ways of making sense of these situations).

As noted above, following the EVOC-CAPA exercises, we had invited the group participants to consider why the group oval maps didn’t mention environmental issues. Both groups responded by saying things like: “*well, of course we’d like to do something (“do our bit”) for the environment, but realistically it isn’t a practical consideration when we purchase washing machines etc*”. One person in the STAVE 3 (C2DE) group, said “*I think about it completely differently now*” and went on to talk about local food. It should be noted that there was no suggestion in her utterances that this shift in perspective would make any practical difference to her behaviour in the marketplace. Significantly, we suggest, from the point of view of understanding policy official thinking about these issues, the only occasion at this meeting when all the policy officials looked interested, and scribbled (as one) in their notebooks, was when they heard about the woman in STAVE 3 have her ‘epiphany’ moment.

We went on to present some thematic findings, based on a fairly speedy, but we feel rigorous, analysis of the audio and video recordings. As the discussion went on, it became increasingly clear that the policy officials did not find the STAVE feedback very interesting. The material was either 'like last time', or not welcomed because it tended to go against their pre-existing views of lay behaviours. It was "*not the sort of thing we can take to ministers*". Finally, we were asked "*...and how does this help us change their behaviour?*" There was no sense that the policy officials would wish to use STAVE to support future policy-making, at least until they could be presented with a finalised tool with a solid track record.

### → Conclusions on usefulness of STAVE components in policy making

- a. In the light of the UK STAVE trialling, it could be argued that a balance needs to be struck between immediate and unrefined feedback to the policy officials and in-depth analysis of the data generated by the STAVE participants. Involving the policy officials at each stage of the STAVE process seems necessary in order to ensure that the process is implemented in ways strongly responsive to policy officials needs, and in this way it is more likely to produce material that can be used as robust evidence in the policy-making process.
- b. Following the STAVE 1 trial we concluded that the resource allocation task could have been better if it had required the participants to design potential policy issues themselves. Such a group exercise might have allowed for the shared lay meanings attached to sustainability to emerge, and would have produced material that could be more easily digestible to the policy officials. It seems there is a need for a greater focus on tasks which are able to elicit shared lay reasoning and practical thinking and which, at the same, provide results that can be used as evidence in policy making. Of course, in STAVE 2,3 the resource allocation exercise was indeed linked closely to the policy officials' stated interests in certain policy options. Yet the resulting data proved of little interest.
- c. At the start of this document, we noted that the policy officials appeared to be especially well equipped to evaluate STAVE, because of their familiarity with group-based methods, and their possession of a very substantial body of research findings that has already been tailored to their policy needs. As our STAVE 2,3 feedback session proceeded, it became increasingly clear that a number of the fundamental methodological assumptions that has been built into STAVE were at variance with the way the POs currently think about the research that they commission; in particular concerning questions about the validity of focus group-generated data, and the way that such data provides access to socially-shared ways of doing and talking, rather than individually biographically-grounded decision processes. In this way, a superficial appearance of shared understanding proved to be a hurdle rather than an advantage. It might also be argued that the policy officials' ownership of such a sizeable body of

specialy-commissioned research made it especially difficult for STAVE-generated data that challenged any of the pre-existing findings to appear credible.

- d. Finally, we conclude that a far better understanding of what constitutes policy-making evidence for the policy officials in their particular circumstances should be an important factor in designing a suitable STAVE intervention that will meet policy officials needs.

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## 7. Annex

### 7.1 Reference scheme for reconvened STAVE group meetings

No.	Time	Topics	Methods
<b>Meeting 1</b>			
1.1	10	<p>Welcome, refreshments</p> <p>General introduction to the project</p> <ul style="list-style-type: none"> <li>○ Research context - <i>EU funded research project, we are doing the same in different countries. To avoid pre-framing discussion, we would not detail the project objectives</i></li> <li>○ Overview of complete group process and of today's agenda <ul style="list-style-type: none"> <li>• Meetings and diaries</li> <li>• Aims and topics of current session</li> <li>• Audio and/or video recordings</li> </ul> </li> <li>○ Introduction of participants</li> </ul>	Verbal input by facilitator
1.2	15	<p>Stimulus material 1</p> <p>3 tools: Evoc/Capa/Simi – <i>common to all partners and to be used in this order:</i></p> <ul style="list-style-type: none"> <li>○ Evoc: Exploring the more consensual and iconographic thoughts people have on an issue</li> <li>○ Capa: Weighting the importance of the issue in the participant's life and his/her perceived capacity to alter this situation <ul style="list-style-type: none"> <li>• <i>Evoc and Capa to be copied on the same sheet</i></li> </ul> </li> <li>○ Simi: Organizing the ideas about sustainable consumption in a collectively meaningful structure – <i>do not show participants the 12 Simi categories before Evoc and Capa has been completed</i></li> </ul> <p>➔ Objective: Facilitate the group's take-off, initial discussions about sustainable consumption and climate change</p>	<p>Group participants complete questionnaires</p> <p>Feedback of answers into group</p>
1.3	15	<p>Stimulus material 2</p> <p>Simulated newspaper article – <i>specific to each country</i></p> <p>➔ Objective: Deepening participants' sensitisation to issues</p>	Participants read article; feedback of comments

1.4	15	<p>Oval mapping exercise 1</p> <p>Feeding in information about chosen policy issue</p> <ul style="list-style-type: none"> <li>○ Participants' ideas and understandings on policy issue to be discussed</li> <li>○ Supposed impacts of policy issue on own life</li> </ul> <p>➔ Objective: Introducing policy issue, eliciting participants' general and everyday life based views</p>	<p>Verbal input by facilitator supported by flip chart/PowerPoint and/or handout</p>
1.5	15	<p>Discussion on questions posed by policy makers 1</p> <ul style="list-style-type: none"> <li>○ Eliciting participants' answers, queries and ideas to policy makers' questions</li> <li>○ Connecting policy makers' questions with everyday lives experiences</li> </ul> <p>➔ Objective: Introducing policy makers' questions, create everyday life based answers</p>	<p>Verbal input by facilitator supported by flip chart/PowerPoint and/or handout</p> <p>Free flow discussion</p>
1.6	20	<p>Introduction to the diary process (diary exercise)</p> <ul style="list-style-type: none"> <li>○ Overview of diary process</li> <li>○ Diary training – participants to keep a short sample diary on their consumption behaviour in the area that is designated for the first diary phase</li> </ul> <p>➔ Objective: Making participants familiar with diaries in order to prevent problems in the diary phase</p>	<p>Verbal explanations by facilitator</p> <p>Working with sample diaries and feedback into group</p>
1.7	5	<p>Outlook to next meeting</p> <p>Farewell</p>	<p>Verbal input by facilitator</p>
<p><b>First intermediate phase:</b></p> <ul style="list-style-type: none"> <li>➔ Citizens keep diaries for 7 days</li> <li>➔ Researchers analyse diary material and create input for next meeting</li> <li>➔ Researchers send Evoc, Capa and Simi questionnaires to Symlog for carrying out data analyses to be fed in into next meeting</li> </ul>			

<b>Meeting 2</b>			
2.1	10	<p>Welcome, refreshments</p> <p>Review of last meeting</p> <p>Feedback on diary process by participants</p> <ul style="list-style-type: none"> <li>○ Experiences with the diaries</li> <li>○ Role of discussions of first meeting in everyday life</li> </ul> <p>➔ Objective: Warm up, gaining impressions regarding involvement and learning of participants</p>	<p>Verbal input by facilitator</p> <p>Free flow discussion</p>
2.2	10	<p>Stimulus Material 3</p> <p>Feedback of Evoc/Capa/Simi results</p> <p>➔ Objective: Providing material that may stimulate group deliberations</p>	<p>Reporting on findings by facilitator supported by handout</p> <p>Free flow discussion</p>
2.3	30	<p>Discussion of diaries 1</p> <ul style="list-style-type: none"> <li>○ Providing results of diary analysis</li> <li>○ Contrasting diary findings with contents of and findings from stimulus materials and oval mapping</li> <li>○ Are diary results in line with participants' assessment of their consumption behaviour?</li> <li>○ What follows from the results regarding consumption and climate protection? Personal behaviour changes necessary?</li> </ul> <p>➔ Objective: Gathering information and awareness-raising regarding scope and consequences of personal consumption behaviour</p>	<p>Reporting on findings from diaries by facilitator supported by flip chart/PowerPoint and/or handout</p> <p>Free flow discussion</p>
2.4	15	<p>Oval mapping 2</p> <ul style="list-style-type: none"> <li>○ Continue discussion of first meeting (1.4)</li> <li>○ Eliciting opinions and valuations of participants</li> <li>○ Connecting policy issue with diary findings</li> <li>○ Identifying changes from oval mapping 1</li> </ul> <p>➔ Objective: Enriching and deepening discussion on policy issue</p>	<p>Recall of key points of oval mapping 1 by facilitator</p>



2.5	15	<p>Discussion on questions posed by policy makers 2</p> <ul style="list-style-type: none"> <li>○ Continue discussion of first meeting (1.5)</li> <li>○ Eliciting participants' answers, queries and ideas to policy makers' questions</li> <li>○ Connecting policy makers' questions with everyday lives experiences</li> </ul> <p>➔ Objective: Enriching and deepening discussion on policy makers' questions</p>	<p>Verbal input by facilitator supported by flip chart/PowerPoint and/or handout</p> <p>Free flow discussion</p>
2.6	10	<p>Introduction to second diary phase</p> <p>Outlook to next meeting</p> <p>Farewell</p>	<p>Verbal input by facilitator</p>
<p><b>Second intermediate phase:</b></p> <p>→ Citizens keep diaries for 7 days</p> <p>→ Researchers analyse diary material and create input for next meeting</p>			
<p><b>Meeting 3</b></p>			
3.1	10	<p>Welcome, refreshments</p> <p>Review of last meeting</p> <p>Feedback on diary process by participants</p> <ul style="list-style-type: none"> <li>○ Experiences with the diaries</li> <li>○ Role of discussions of first and second meeting in everyday life</li> </ul> <p>➔ Objective: Warm up, gaining impressions regarding involvement and learning of participants</p>	<p>Verbal input by facilitator</p> <p>Free flow discussion</p>
3.2	20	<p>Discussion of diaries 2</p> <ul style="list-style-type: none"> <li>○ Providing results of diary analysis</li> <li>○ Contrasting diary findings with results from oval mapping</li> <li>○ Are diary results in line with participant's assessment of their consumption behaviour?</li> <li>○ What follows from the results regarding consumption and climate protection? Personal behaviour changes necessary?</li> </ul> <p>➔ Objective: Gathering information and awareness-raising as to scope and consequences of personal everyday behaviour</p>	<p>Reporting on findings from diaries by facilitator supported by flip chart/PowerPoint and/or handout</p> <p>Free flow discussion</p>

3.3	15	<p>Oval mapping 3</p> <ul style="list-style-type: none"> <li>○ Continue discussion of second meeting (2.4)</li> <li>○ Eliciting opinions and valuations of participants</li> <li>○ Connecting policy issue with diary findings</li> <li>○ Identifying changes from oval mapping 2</li> </ul> <p>➔ Objective: Tapping into shared and not shared assessments of the discussed policy issue from the group's perspective</p>	<p>Recall of key points of oval mapping 2 by facilitator</p>
3.4	15	<p>Resource allocation exercise</p> <ul style="list-style-type: none"> <li>○ Participants rank importance of policy measures and instruments by economic evaluations</li> </ul> <p>➔ Objective: Synthesizing and deepening group deliberations</p>	<p>Participants carry out resource allocation</p> <p>Feedback of answers into group</p>
3.5	20	<p>Discussion on questions posed by policy makers 3 (self analysis exercise)</p> <ul style="list-style-type: none"> <li>○ Group identifies their own insights and lessons learned from discussions on policy questions</li> <li>○ What findings do participants want to feedback to policy makers?</li> </ul> <p>➔ Objective: Summarizing group discussions on policy questions, identifying participants' conclusions regarding policy feedback</p>	<p>Recall of key points of first and second discussion on policy questions by facilitator</p> <p>Gathering group's feedback by using "Self Analysis Template"</p>
3.6	10	<p>Stimulus material 4</p> <ul style="list-style-type: none"> <li>○ Second administration of Evoc/Capa/Simi (see 1.2)</li> <li>○ Questionnaire will only be filled in, no discussion</li> </ul> <p>➔ Objective: Gaining data that enables before-after-comparisons</p>	<p>Participants fill in questionnaires</p>
3.7	5	<p>Evaluation questionnaire</p> <ul style="list-style-type: none"> <li>○ Questionnaire will only be filled in, no discussion</li> </ul> <p>➔ Objective: Assessing the group discussions as participative and deliberative processes</p>	<p>Participants fill in questionnaires</p>
3.8	5	<p>Outlook on next steps in PACHELBEL</p> <p>Thanks to participants and farewell</p>	<p>Verbal input by facilitator</p>

## 7.2 Resource allocation exercise template

### Template to be adapted to STAVE group-specific issues

Participants were told to imagine they were the Prime Minister.

They got 100 M€ (a substantial part of the national budget for energy), and they have to decide how to invest them among the different energy options (for an specific – meaningful – period of time)

Their decisions will indeed shape the energy future of the country

They were given a sheet with the table you can see below, and with 4 little dots (sticky ones): one black, one blue, one green and one red, each one of different values, as follows:

●: 40 M €      ●: 30 M €      ●: 20 M €      ●: 10 M €

Then they were asked to individually distribute the dots among the options as they wanted (all dots could go to the same option or each dot to one option, etc).

Once all participants finished with their investment a discussion starts on its options.

Energy Sources	Investment for the next 10 years
Hydrogen	
Biomass	
Natural Gas	
Solar	
Wind	
Coal	
Oil	
Nuclear Fission	
Nuclear Fusion	
Hydro	
None	
Other ( <i>Please, specify</i> )...	

### 7.3 Template for capturing group self-analysis results

<b>Project Group Questions</b>	<b>Possible answers</b>	<b>Queries</b>	<b>New questions</b>	<b>Issues, connections</b>
A				
B				
C				
D				

## 7.4 Evaluation questionnaire

We would be grateful if you would help us by filling out this short questionnaire, so that we can find out what you thought about the discussion process in which you have just taken part. For each statement 1-7 below, please tick the box which most closely represents your view. Please tick only **one** box per question, and try to give a response to each statement.

1. I think that the people taking part in the group discussions were a fair cross-section of lay citizens.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. I feel that the people running the group discussions were not promoting a specific view on the issue.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. The way the group discussions were run allowed me to have my say.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. It was clear to me what I was supposed to be doing throughout the three meetings of the group.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. It was clear to me what I was supposed to be doing during the periods **between** the three group meetings.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. The meetings seemed to provide sufficient time for everyone who wanted to contribute to the group discussions to have their say.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. I found the discussion meetings interesting.

Very Strongly Agree	Strongly Agree	Moderately Agree	Neither Agree nor Disagree	Moderately Disagree	Strongly Disagree	Very Strongly Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For questions 8-10, just write in the answer in the space provided.

8. During the two periods **between** the group meetings, with roughly how many friends, family members or work colleagues did you discuss the first and second meeting of the group, and the issues raised there?

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9. Do you have any further comments about the group discussions?

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10. Do you have any further comments about the issues discussed by the group?

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Thank you

## **7.5 Material for supporting feedback to policy makers**

**7.5.1 Immediate and unrefined feedback on German STAVE 1-3**

**7.5.2 Full feedback on German STAVE 1-3 (PowerPoint)**

**7.5.3 Full feedback on German STAVE 1-3 (Handout Document)**

**7.5.4 Immediate and unrefined feedback on Spanish STAVE 1**

**7.5.5 Immediate and unrefined feedback on Spanish STAVE 2**

**7.5.6 Immediate and unrefined feedback on Spanish STAVE 3**

**7.5.7 Full feedback on Spanish STAVE 1**

**7.5.8 Full feedback on Spanish STAVE 2-3**

**7.5.9 Immediate and unrefined feedback on UK 2-3**