



# dialogues

Energy citizenship  
for a sustainable future

## D 5.3 and D 6.1

### Guidebook for designing and implementing Citizen Action Labs and Recruitment to the Citizen Action Labs

#### deliverable type

Report

#### work package

Work packages 5 and 6

#### dissemination level

Public

#### month and date of delivery

April 30, 2022

#### leaders

Climate Alliance Italy and  
University of Geneva

#### authors

Garance Clément, Maria Guerrieri,  
Marlyne Sahakian, Karl-Ludwig  
Schibel, Mallory Xinyu Zhan

programme H2020 | contract number 101022585 | duration 36 months | start May 1, 2021 | end April 30, 2024

## Contributors

<b>NAME</b>	<b>ORGANISATION</b>
Mehmet Efe Biresselioglu	IUE
Victoria Bogdanova	CSD
Candela Bravo	LOBA
Julia Epp	PIK
Benjamin Kirchler	EI-JKU
Andrea Kollmann	EI-JKU
Sarah Louis Montgomery	GenderCC
Marlyne Sahakian	UNIGE
Karl-Ludwig Schibel	CAI
Christos Zacharias	DAFNI

## Revision History

<b>VERSION</b>	<b>DATE</b>	<b>REVIEWER</b>
D 5.3 vers1	10/11/2021	
D 6.1 vers1	11/03/2022	
D 6.1 vers1-rev	14/04/2022	Mehmet Efe Biresselioglu (IUE), Victoria Bogdanova (CSD), Candela Bravo (LOBA), Julia Epp (PIK), Benjamin Kirchler (EI-JKU), Andrea Kollmann (EI-JKU), Karl-Ludwig Schibel (CAI), Christos Zacharias (DAFNI)
D 5.3 vers-rev	24/04/2022	Mehmet Efe Biresselioglu (IUE), Julia Epp (PIK), Sarah Louis Montgomery (GenderCC), Marlyne Sahakian (UNIGE)
D 5.3-6.1 final	30/04/2022	CAI and UNIGE Team

The information and views set out in this report are those of the author(s) and do not necessarily reflect the official opinion of the European Union. Neither the European Union institutions and bodies nor any person acting on their behalf.

## Index of Contents

Executive Summary	5
1 About the Labs	7
1.1 What is a Citizen Action Lab?	7
1.2 The role of Citizen Action Labs in DIALOGUES	7
1.3 Defining roles in participatory research	8
1.4 Towards co-ownership in a participatory process	8
1.5 What do the participating citizens get out of it?	10
2 Preparing for a Citizen Action Lab	10
2.1 Defining the scope	10
2.2 Conceptualizing the CAL	11
2.3 The Implementation guidelines – storyboard	11
2.4 The implementation partners	11
2.5 Preparing the setting – a checklist	12
3 Recruiting for participatory research	12
4 Sampling strategies	13
4.1 Defining Target Groups: what does ‘diversity’ mean for your CAL?	13
4.2 Sample Size: what size should your CAL be for better deliberation?	15
4.3 Sampling Methods: what methods should be used to reach (diverse) participants?	16
5 Recruitment Strategies	18
5.1 Recruiting through community outreach	18
5.1.1 Partner with community organizations	18
5.1.2 Partner with local government	19
5.1.3 Recruitment through a local event	20
5.1.4 Partner with the local media	20
5.2 Advertising the CALs	20
5.3 Incentivization Schemes	21
6 Benchmarking at the recruitment stages	23
6.1.1 Benchmarking Survey (Under development)	23
6.1.2 Ethical issues in recruitment and informing the participants prior to the intervention	23
6.1.3 The pertinent EU documents	25

7	Gender and participation	25
8	Methodologies	26
8.1.1	Future Lab	27
8.1.2	Ideathon	27
8.1.3	Focus Group	28
8.1.4	Brainstorming	29
8.1.5	Design Thinking	29
8.1.6	Six Thinking Hats	29
8.1.7	World Café	30
8.1.8	Feminist Body Mapping	30
9	Planning data collection (under development)	30
10	Analysing the Citizen Action Labs	32
10.1	What knowledge will the Citizen Action Labs produce?	32
10.2	Establishing common rules for the analysis	32
11	Communication and dissemination with LOBA support	33
	Conclusions	35
	Appendix	36
	Appendix 1: Example of Letter of intent / Local government partnership	36
	Appendix 2: Example “Call for participation”	38
	Appendix 3: Recruitment Data Collection	39
	Appendix 4. Consent to the processing of personal information	42
	Bibliography	44

## Executive Summary

The partners of DIALOGUES had a pretty clear idea at the time when we worked on the application for this project, of the Citizen Action Lab (CAL), each of us intends to do. The present Guidebook asks all involved to review the concept of their Lab in view of the pages that follow and to elaborate along the lines traced here their implementation document. It establishes a common ground as a basis for the wide variety of events that will take place in the second half of 2022. The University of Geneva and Climate Alliance Italy worked con-jointly on the document referring to two deliverables, 6.1 and 5.3, integrated into a single text.

Starting from a shared understanding of what is a Citizen Action Lab and how it relates to the well-established methodology of Living Labs we discuss the roles of us partners, the implementation partners and the participants in participatory research and the demanding task to deal with asymmetries in power in the definition of contents and method. Chapter 2 serves as a kind of checklist for the preparation of the CALs, to make sure to put all elements on track in time. Chapter 3 is an introduction to the following three chapters on recruitment, sampling, and benchmarking. The sampling strategies need to be chosen before recruitment starts defining the target groups, the size and method.

The recruitment strategies in DIALOGUES deserve special attention as the project points - in addition to citizens in general - at groups presently at the margins of the energy transition: women, underprivileged groups, and hard-to-reach groups. The difficulties to involve and include these key stakeholders in a Citizen Action Lab follow directly from the lack of inclusion and involvement in the society at-large. The Guidebook discusses therefore in detail recruitment through community outreach as the most promising way of getting into contact and gaining the trust of hard-to-reach groups.

Ideally recruitment should result in a large enough group of potential participants to be able to sample according to the strategies decided before. The data for doing so will come from a benchmarking survey, still under development, that will generate relevant socio-economic information in addition to a basic understanding of 'energy citizenship' shared by project members. The recruitment of participants requires adherence to ethical standards and a careful information on the data collected and their handling. The formal EU requirements for Horizon 2020 projects need to be substantiated under the conditions of DIALOGUES.

Gender and participation in chapter 7 deserve a special attention in the labs, be it in the design phase, be it in the implementation. If women and men, their care duties and obligations, possible feelings of insecurity or mistrust are adequately met in the timing, the choice of the venue and of the facilitators, etc., chances are good that all participants, including underprivileged and hard-to-reach groups will feel and act as equals among equals.

The methodologies and creative techniques used in the CALs will depend on their scope, the field of activity and the preferences and experiences of the organizing partner. The

Guidebook in chapter 8 give an impression of the variety of possible techniques which should be used by an experienced facilitator.

Chapter 9 and 10 deal with the collection and analysis of data. We should try to collect data at the beginning and at the end of the labs in a standardized way to permit also for a quantitative analysis. The survey is under development and in appendix 3 there is a first draft. The data to be collected during the implementation and the form in which they will be collected will have to be decided while the partners prepare their CALs.

Chapter 11 again has the character of a checklist to remind partners about the communication and dissemination activities to be carried out which sometimes in the middle of things might not get the attention they deserve.

The handbook will have served its function if it facilitates above all the preparation of the CALs. It is by its nature a work in progress that will find its continuity in an analysis of the CALs themselves.

# 1 About the Labs

## 1.1 What is a Citizen Action Lab?

In the context of DIALOGUES, a Citizen Action Lab (CAL) is a person-centered experiment that explores ways to co-create, support, and deepen energy citizenship, through the engagement of diverse actors in a bounded space and time. We define Citizen Action Labs as a form of Living Lab, which “bring together interdisciplinary experts to develop, deploy, and test – in actual living environments – new technologies and strategies for design that respond to this changing world”.<sup>1</sup>

While Living Labs are generally user-centred, our Citizen Action Labs are citizen-centred. Compared to testbeds, they don't see the involved persons as observed subjects for testing devices in a defined context but focus on value creation by exploring together emerging ideas, innovative concepts, and related artefacts in a social space of self-reflexive experimental learning. By including experts from different disciplines, implementation partners outside academia and citizens, Citizen Action Labs are characterized by an inter- and transdisciplinary approach.

The methodologies applied, as different as they may be among themselves, all have in common the active involvement of people, practitioners, and researchers, by including all relevant stakeholder and especially citizens early on in a co-creation process to explore “energy citizenship” as a concept and in the daily lives of the participants. Even though in a strict sense in a Citizen Action Lab there are no “participants”, but groups working collaboratively together, involving people, researchers, etc. to co-produce new knowledge, we will continue using the concept in the following.

Citizen Action Labs recognize the need to work collaboratively with people who may not identify with the energy transition, nor with energy citizenship. This renders all the more important questions of recruitment, in relation to diversity, but also how relationships of trust can be maintained over time from the design phase to the implementation (or follow-up) phase.

## 1.2 The role of Citizen Action Labs in DIALOGUES

Citizen Action Labs will create first-hand knowledge on how “energy” is perceived by the participants in their daily routines and how the energy realm is embedded into their lifeworld. We wish to co-produce new knowledge on how to support the energy transition through citizenship engagement, including barriers and opportunities for supporting transformative change while at the same time gaining new insights into transdisciplinary research. The CALs in DIALOGUES have the function to provide direct knowledge from a variety of real-world settings in a structured process that offers space for co-creation and spontaneity on the perception, expectations, hopes and fears citizens have in connection with energy and an on-going transformation they may have an only vague knowledge about. Different forms of knowledge are introduced to the CAL, be it from different scientific disciplines be it from lifeworld experience to produce two types of

---

<sup>1</sup> <https://web.archive.org/web/20100716025652/http://livinglabs.mit.edu>

solutions: On the one hand we will gain information about real-world issues of enabling a diverse and just energy citizenship and on the other hand we will obtain new insights into transdisciplinary research on energy citizenship.

### 1.3 Defining roles in participatory research

In participatory research, the boundaries between ‘researcher’ and ‘citizen’ are blurred (Wicks, 2009). These forms of trans-disciplinary research imply that all those working on a common question, such as how to support energy citizenship, are considered ‘participants’.

For our purposes and in this report, the ‘research team’ includes all members of the DIALOGUES consortium; the ‘partners’ are all those who engage with the research team (ranging from associations to public sector officials); and citizens are everyday people who come together with the research team and partners. All of these different actors are ‘participants’ in CALs, coming together with the common aim of supporting energy citizenship. How this aim is understood is central and can be part of a joint problem framing exercise at the onset.



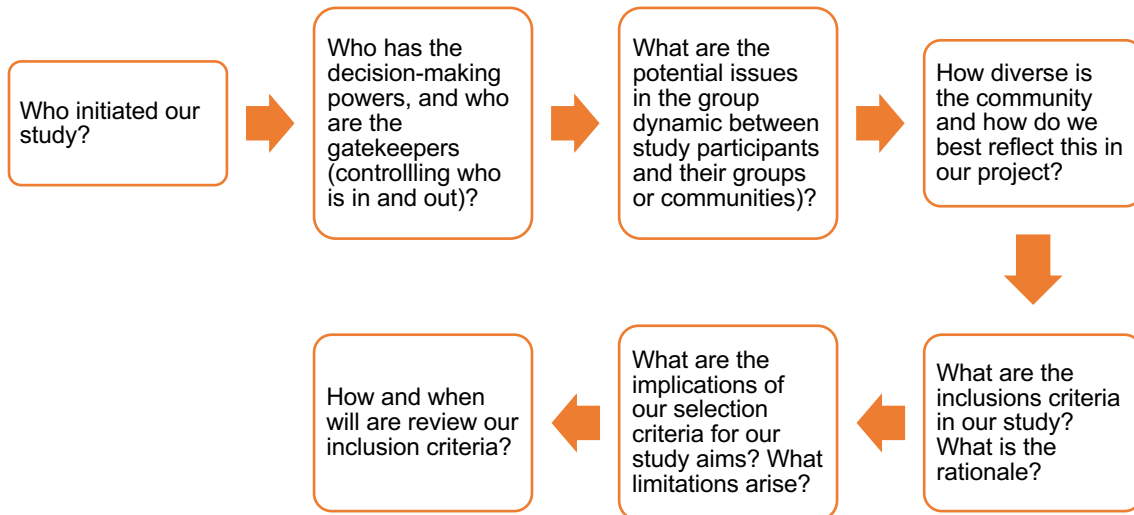
*Figure 1: Involving different stakeholders as participants*

### 1.4 Towards co-ownership in a participatory process

The following questions help uncover degrees of control, inclusion, and ownership, from the initial stages of a research project through to data collection, analysis and restitution. Roles, responsibilities and expectations around project management, design and outcomes could be discussed at the onset of a participatory process, then revisited at different stages.



### Considering dynamics of inclusion/exclusion (adapted from Schubotz 2020)



Questions of ownership: a discussion guide (adapted from Areljung et al 2021)

#### Challenging the researcher's 'ownership by default':

- What can be owned at this stage of the project?
- Who has ownership?
- Who ought to have ownership?
- Who wants/does not want ownership?
- How can ownership be transferred between participants and what would the consequences then be?
- Highlighting and negotiating risks and benefits associated with ownership:
  - What are the risks and benefits associated with ownership at this stage of the project?
  - (How) can ownership be shared to better balance the risks and benefits between participants?

#### Highlighting and negotiating rights and obligations associated with ownership:

- What are the rights and obligations associated with ownership at this stage of the project?
- How do rules, management expectations and guidelines for research ethics affect ownership at this stage of the process?

### 1.5 What do the participating citizens get out of it?

Participants of Citizen Action Labs will be invited to reflect on everyday life dynamics in light of the energy transition, from individual behaviour to engagement in their community and in the public sphere, and what this could mean in terms of improving or maintaining wellbeing. While the Citizen Action Labs encourage reflexivity, they must also be engaging, encouraging and positive. They must be structured in such a way as not to create anxiety, moralise, or shame and they must be entertaining and pleasant in their own right. Citizens engaged in such labs should come to understand their role in the energy transition, how they can support transformative change, improving their own wellbeing.

What we can promise persons to get out of participating in the Action Lab will very much depend on their socio-economic position. With vulnerable groups that have a problem paying their heating and electricity bills and fill up the tank of their car an offer might be to empower them to better manage energy consumption in their lives, for example by offering an energy check in their homes. For other participating citizens the main interest might be the empowerment for an active role in local energy policies in their town, their quarter, or their community.

The Citizen Lab should hence be a rewarding experience in and by itself but possibly also have something to offer that goes beyond creating and maintaining motivation during the experience and after.

## 2 Preparing for a Citizen Action Lab

### 2.1 Defining the scope

The CALs in DIALOGUES are quite different among each other as to the participants and to what aspects of their life worlds are at the centre of the events. The scope needs to be defined explicitly and consciously as part of the preparations of the CAL.

- a. What are the fields of activity that will be dealt with in the lab? Is the energy behaviour in the existing household at the centre of attention, their future energy behaviour? The activity of the participants in the public sphere and in what role?
- b. What is the regional and temporal scope of your lab? Energy in the household – heat and electricity. Energy and mobility. Becoming a prosumer. Exercising energy citizenship in one's own community, in the quarter, in the public realm.
- c. Where does the knowledge the action lab shall deliver fit into the DIALOGUES discourse?
- d. What are the expected results of the lab in the field in which it takes place? What real impact shall it have with the participants, their households, the quarter, the city?

## 2.2 Conceptualizing the CAL

CALs are divided into different phases and process, oriented on the ideal typical cycle of transdisciplinary research (Schäpke et al. 2017). Bergmann et al. (2010) define three phases to prepare a Living Lab which can be repeated throughout its implementation:

- a. Assembling a research team and developing a common definition of the scientific issues which are translated from a real-world problem.
- b. In a research phase the definition will be discussed with implementation partners and edited. Moreover, the involved stakeholders will start a process of co-producing solution-oriented knowledge guided by specific research methods to embrace a dynamic differentiation and integration of knowledge.
- c. Finally created knowledge will be reintegrated into a research context and the real-world by formulating evidence-based strategies and action plans. The comparison of results with other labs allows for a greater understanding of the transferability of the results.

Each CAL in the DIALOGUES Project will define its own research definition and team. In a next step a concept for their research phase will be developed in which different methods for co-producing practical knowledge will be introduced. In a final step the experiences from the Lab will be reintegrated into the research project by comparing the results with the other Labs and formulating strategies to shape energy citizenship in a political and practical context.

## 2.3 The Implementation guidelines – storyboard

Each session follows a precise and specific design that makes the participants feel directly involved in the here and now and not object of some copy and paste process. The sequence of phases depends on the composition of the CAL, the contents, and the desired results.

For each CAL the partners will draw up in collaboration with CAI an Implementation document following the template provided where they spell out in detail the process on the basis of the guidance provided with the present document.

## 2.4 The implementation partners

A central role falls to the implementation partners who need to be found and involved well ahead of the CAL. On a general level the implementation partners should be rooted in the social, political, economic field of the target group. In 5.1 we describe more in detail the possible implementation partners and their potential roles.

What is important in the preparation phase is to develop a clear idea of what the role and responsibility of the implementation partners will be for recruitment, constructing the group(s), during the CAL and after it, in order to then discuss and further develop and modify those with the implementation partners.

## 2.5 Preparing the setting – a checklist

- Ensure accessibility of venue be it in physical (no architectural barriers) be it in symbolic terms (not intimidating places that persons might hesitate to enter).
- Do meetings/activities take place at a time when women and men can attend, keeping responsibilities of care and reproductive work in mind? (see Chap. 7)
- Is the identified space large enough to accommodate a group in a circle? Does it represent a space that welcomes diverse groups of people (in terms of social status, gender, disabilities, etc).
- Do you have all the materials you need? (Free Wi-Fi, pc, blackboards, video projector, materials for role-plays, drafts for interviews, etc.)
- The roles and division of tasks between the partner and the implementation partners have been explicitly discussed and decided together by all partners at the beginning of the process?
- Have the workshop leaders/trainers/facilitators been identified? Are female facilitators involved?
- Have you decided on different ways to participate (face-to-face, online, cross-media).
- Are there possibilities to compensate/support participants like childcare, financial compensation, or other gratifications? (See 5.3)

## 3 Recruiting for participatory research

The objective of this part of the Guidebook (the Section 3, 4, 5, and 6 correspond to the DIALOGUES deliverable 6.1) is to provide concrete tools, recommendations and best practices for the recruitment of partners and citizens by the research teams into the DIALOGUES Citizen Action Labs. The CALs represent a form of participatory research, inspired by Living Lab methodologies in relation to energy and low carbon transitions (Sahakian et al 2021; Voytenko et al. 2016). In Living Labs, there is an assumption that different actors come together to co-design interventions, collaborate, experiment, and co-benefit from a common aim. As described in Arnstein's (2019) seminal work on citizen participation, there is recognition that the degree of co-ownership of citizen-oriented initiatives can vary widely, from tokenism, to researcher-led dynamics, to full community ownership. Who can participate and in what way ties directly to questions around recruitment, at the early stages of DIALOGUES CAL design, and can set the stage for the degree of participation throughout the process.

Promoting and deepening inclusive energy citizenship that accounts for diversity and empowers groups currently at the margins of the energy transition lies at the heart of the DIALOGUES project. There are several core search questions guiding the CALs: How can energy citizenship be supported across diverse groups of people? What are common

motives and barriers that keep people at a distance from the energy transition? How can dynamics of change be understood, in participatory research / through Living Lab methods? In relation to these questions, diversity and power are central themes in this report.

- The DIALOGUES project explicitly emphasizes the inclusion and involvement of the following key stakeholders, in addition to citizens in general: women, underprivileged groups, and hard-to-reach groups<sup>2</sup>. These categories can overlap, representing questions of intersectionality (e.g., the compounded inequalities experienced by women of colour, Crenshaw 1990). We use as a shorthand the notion of ‘diversity’ to capture these differences, recognizing that each CAL may interpret diversity differently.
- Recruitment is the process of engaging people as participants in DIALOGUES CALs. We recognize that at this stage of the process, partners and citizens might have less power than the research team in defining the research questions, designing the CALs, and deciding who might be considered for participation. This reveals power dynamics that we hope to be attentive to throughout the recruitment process, not least if we share a common aim of empowering energy citizens<sup>3</sup>.

In the following sections, we detail i) sampling strategies, ii) recruitment strategies and iii) benchmarking at the recruitment stage. We include key references based primarily on participatory and collaborative research methods, along with the literature on recruitment for diversity. The report also includes key recruitment materials (such as letter of intent, call for participation, recruitment data collection survey, consent form, among other tools) that could be used as templates for partners in different countries.

## 4 Sampling strategies

Before recruiting participants into the CALs, the research teams are expected to first define the target groups for their specific CAL, decide on the sample size, and select the appropriate sampling strategies. Each step will be elaborated below in the context of the CALs for DIALOGUES.

### 4.1 Defining Target Groups: what does ‘diversity’ mean for your CAL?

DIALOGUES explicitly emphasizes the inclusion and involvement of women, underprivileged and hard-to-reach groups. Each CAL may take on a specific focus, although there is now a general agreement to consider gender dynamics as a cross-

---

<sup>2</sup> Other key stakeholders identified in the proposal are: policy members, island dwellers, and local manufacturers and service providers.

<sup>3</sup> In more general terms, the act of recognizing who has the power in a participatory process is important at the start of a project, but should be re-considered throughout: see [1.3 Towards co-ownership in a participatory process](#).

cutting focus for all CALs. A common understanding of underprivileged people for this project might be those who experience lower income, lower cultural capital, and with less access to secure and clean energy, among other factors. The recruitment of underprivileged people is complicated by many of the same barriers that contribute to the absence or exclusion of them from political processes and, more specifically, climate change policies or energy transition plans. These barriers might be linguistic, cultural, motivational or utilitarian (e.g., there's nothing in it for me), financial (e.g., lack of childcare services), geographic (e.g., people in rural/remote or urban/central areas), or logistical (e.g., lack of means of transportation). Certain underprivileged groups do not wish to be contacted out of fear of confrontation with authorities (e.g., illegalized migrants), or because of the social stigma they experience in everyday life and the mistrust with which they regard the research process (e.g., Katigbak et al. 2016). Others may simply think they are not sufficiently informed on energy issues to participate and refuse to get involved out of self-censorship. The above factors explain why these underprivileged groups are often hard-to-reach for researchers. However, high-income households and the elite classes could also be hard-to-reach, for different reasons, such as lack of incentives and privacy concerns. Since high-income households disproportionately contribute to energy-driven greenhouse gas emissions, they could be considered to share greater responsibility to rapidly reduce their energy consumption and contribute to the energy transition (Nielsen et al. 2021) – and some CALs could also engage them as a target group.

Promoting inclusive energy citizenship for diverse groups of people is central in DIALOGUES. Diversity can account for various socio-demographic characteristics, such as gender, age, socio-cultural-economic status, race, ethnicity, etc., and intersections between them (Crenshaw 1990). Diversity could also take into consideration factors that significantly impact one's energy consumption, such as access to energy (e.g., energy poverty), living arrangements (e.g., house/apartment, renter/property owner, urban/suburban/rural, living space m<sup>2</sup>/person) and income level. Further, diversity can relate to varying levels of knowledge, expertise and experience with regard to the topic of energy transition.

Even when the aim is to recruit a relatively homogenous group of people (e.g., migrant women, low-income households), some degree of diversity within the group can be fruitful. There might be a tension between recruiting for diversity in a CAL and trying to ensure that underprivileged groups can meet and exchange in relatively homogenous groups. Making a group rather homogenous is commonly used to deal with the problem of a dominant voice overriding other voices, and to ensure that the participants feel comfortable and safe enough to freely exchange their ideas (Freeman 2006; Smithson 2000). It has been suggested that members of minority ethnic groups tend not to raise issues of race or ethnicity except when their minority ethnic group was in the majority (Smithson 2000). Further, keeping a group homogenous might be necessary to accommodate certain needs of underprivileged populations (e.g., in a specific language, at a specific location with certain accessibility features, facilitated by a professional with sufficient working experience with this population). The research teams and their partners could decide together whether parallel CALs could be run exclusively for certain underprivileged groups, while maintaining overall diversity of the sample (e.g., a CAL

that engages only Arabic speaking migrant women could be run in parallel to another CAL that include more diverse groups of people).

The CALs are not designed to obtain a socio-demographically representative sample of the populations of a given country/region/city<sup>4</sup>. A representative sample usually involves a larger sample size: many citizen forums that have obtained a representative sample had more than 100 participants (e.g., Dryzek 2009; Hobson and Niemeyer 2011; Willis et al 2021, and sample size will be discussed in more details in the next section). The CALs focus on qualitative impact, which could be achieved through engaging a smaller number of participants in intensive participatory processes envisioned over a longer period of time (e.g., a series of events spread across a few months rather than a single-day assembly). We believe it is through such deep engagement that qualitative insights on energy citizenship and how it could be better promoted and practiced will emerge. We acknowledge that achieving representation in sampling can be one of the main avenues toward acquiring legitimacy in participatory research; but with the CALs, we aim to achieve a more 'substantive form of legitimacy' based on high quality of deliberation (Bouricius 2013).

We may also agree, as a team, that there are reasons for excluding someone from a CAL. For example, we might have a discriminating question based on whether or not a person can engage and commit to the full duration (e.g., are you available to participate over a period of x weeks or x months?). We might also choose to exclude people who are not already convinced by the reality of climate change (if not its anthropogenic origins): as having to get on the same page with people that have very different beliefs regarding climate change could be complicated and beyond the scope of the CAL. For smaller communities, it might be difficult to exclude people from attending the CAL. We further discuss this point in relation to purposeful sampling below.

#### 4.2 Sample Size: what size should your CAL be for better deliberation?

CALs could involve very different sample sizes, depending on the objectives and nature of the activities of the CAL. For example, the City of Sydney Citizen Engagement Panel on Climate Change Adaptation conducted in 2014 included 23 participants in a two-and-a-half-day process which produced a substantive contribution to the specific adaptation planning process being undertaken by the City (Scholosberg et al. 2015). As discussed in the previous section, many citizen forums on climate change had more than 100 participants: such as the Climate Assembly in the UK, the French Citizens' Convention on Climate, the Klimarat in Austria, and Bürgerrat Klima in Germany, to name but a few (Willis et al 2021). These forums have been supported by their respective governments to engage citizens on specific policy agendas, and the participants selected were

---

<sup>4</sup> Here, we refer to descriptive representation, in which the group of citizens selected as representatives actually mimic the socio-demographic characteristics of the general public. Sampling for descriptive representation involves stratification according to certain socio-demographic variables in a given population (e.g., gender, age, education). Other forms of representation have also been argued to be beneficial, such as the representation of different viewpoints or discourses on the issue at hand, also known as discursive representation (Dryzek and Niemeyer 2008).

descriptively representative of the electorate, using probability sampling methods (such as sortition and stratified random selection).

In the project proposal, DIALOGUES partners included a range for participation in the CALs between 20 and 40 participants and underlined the importance of recognizing eventual biases. Depending on the objectives and the methodological approach of each CAL the number of participants may be bigger or smaller for better deliberation.

#### 4.3 Sampling Methods: what methods should be used to reach (diverse) participants?

As discussed in the previous section, while the CALs do not necessarily seek to obtain a representative sample, they emphasize achieving a diverse sample that engages with different groups of energy citizens. Therefore, instead of probability sampling, the CALs will consider using one or several of the following non-probability sampling methods: convenience sampling, purposeful sampling and chain-referral models such as snowball and respondent-driven sampling.

Convenience sampling recruits participants who are easily accessible to the researchers, for instance, by asking friends of friends, posting a “call for participation” at the bulletin of the local community centre, randomly asking people on a crowded street in the targeted area to join the research. This sampling method might not reach all targeted populations. Further, voluntary participation from convenience sampling could introduce self-selection bias, in which individuals who actively volunteer to be involved in studies may be different from those that do not, in ways that are not related to sampling criteria (Heckman 1990). For example, Abrams (2010) describes a study on ‘vulnerable youth’ which required individuals to respond to a flier and call the researcher to participate, resulting in recruitment of youth who were proactive and confident enough to actively call up a stranger, and not necessarily those who were more psychologically vulnerable, as the study initially targeted. Robinson (2014) suggests that in most qualitative research, self-selection bias is not possible to circumvent as voluntary participation is central to ethical good practice; therefore, researchers should be aware of this bias and consider its possible implications.

While convenience sampling is easy, readily available, and cost effective, it often leads to a highly biased sample. “Purposeful” or “purposive” sampling is a way of “identifying and selecting individuals or groups of individuals that are especially knowledgeable about or experienced with a phenomenon of interest” (Palinkas et al. 2015). This method could be used to address some of the aforementioned issues: researchers will reach out to certain pre-defined populations, for instance, those missing from the sample gathered by convenience sampling. Setting up a quota – a minimum number of cases required for each category of targeted populations (such as gender, age group, specific living arrangements) could be used to guide and monitor the purposive sampling process (Mason 2002:76).

One of the most recognized purposive strategies for accessing hard-to-reach groups is snowball sampling: the recruitment process begins with a small number of initial contacts and expands the sample by asking those initial contacts to identify to the researchers other individuals that should participate in the study (Atkinson and Flint 2001; Goodman



1961). Snowball sampling assumes that those best able to access members of hidden populations are their own peers. However, snowball sampling often results in the recruitment of a particular sample that might lack in diversity (Biernacki and Waldorf 1981; Heckathorn 2011). Inferences about individuals must rely mainly on the initial sample; and this issue becomes problematic when the initial sample is rarely random (i.e., the initial contacts are often individuals known to the researcher). Certain groups tend to be oversampled, such as people with similar social position to the initial contacts and those who are more cooperative, more active and with larger social networks in a given community.

Many authors have provided recommendations for enhancing sample diversity in snowball sampling (for example, Browne 2005; Sadler et al. 2010). An important recommendation relates to activities that ensure 'sample seed diversity' (Kirchherr and Charles 2018), meaning that the initial set of participants is sufficiently varied in terms of different intersectional identities. Many DIALOGUES partners will collaborate with local organizations who already have close contacts that could be recruited into the CALs; it may be important to not solely engage with these individuals as initial contacts for snowball sampling. This might be achieved, for example, by inviting different types of local organizations to help with recruitment or directing recruitment to different neighbourhoods that reflect diversity. Further, each of the initial participants can be advised to list potential participants who are different from each other in terms of various social positions. Another recommendation that promises increased sample diversity involves conducting multiple waves of sampling, which leads to greater chances of getting hard-to-reach and reluctant individuals to join (Kirchherr and Charles 2018).

Taking into consideration the limitations of traditional snowball sampling, respondent-driven sampling (RDS) emerges as an effective alternative for accessing hard-to-reach populations. Initially developed by Heckathorn (1997, 2002), RDS employs three main strategies. To start with, RDS uses multiple recruitment incentives: these could be material or non-material rewards for individuals' efforts for participating in the study (primary incentive) *and* for recruiting peers (secondary incentive). Second, it relies solely on peer-to-peer recruitment in which participants are not asked to identify their peers to the researcher, but to recruit them directly into the project, a distinction that allows full anonymity which has been proven crucial when dealing with hidden populations that are subjected to stigma and repression. Third, RDS limits the number of recruits permitted per participant (known as a 'coupon quota'), reducing recruitment biased high homogeneity in the sample. RDS has been a recognized method in medical and public health studies to reach vulnerable populations (Hanza et al. 2016; Heckathorn 1997; Johnston and Sabin 2010; Semann 2010; Tiffany 2006). Although it is not widely used in the field of energy and sustainability, the three strategies proposed by RDS are relevant for the recruitment of hard-to-reach populations into the CALs for this project.

The best way to maximize the impact of recruitment efforts is to use a combination of sampling strategies (Ellard-Gray et al. 2015; Shedlin et al., 2011).

## 5 Recruitment Strategies

This section explores in detail specific approaches to recruitment (community outreach, study advertisement and incentivization schemes) and introduces best practices for engaging women, underprivileged and hard-to-reach groups based on previous empirical studies. The aim is to garner interests from among a desired population, to then ascertain whether further selection is needed within a given cohort, based on our sampling strategies. Throughout this section, we recognize the importance of recruiting in communities of place and practice. By communities of place, we refer to the benefits of recruiting in localities that represent the groups we seek to involve. By seeking partnerships in those communities, and by advertising or being present at events in those communities, we embed our outreach efforts in the spatial arrangements that are familiar to the people we seek to recruit. By concentrating on communities of practice, we orient our recruitment to the activities that people are already involved in, such as sports associations, day-care centres, or faith-based organizations. The examples below illustrate how these approaches might play out.

### 5.1 Recruiting through community outreach

Recruitment can be facilitated through partnerships with community organizations and local governments, as well as through having a presence at community events or working with the local media.

#### 5.1.1 Partner with community organizations

It is important to note that community organizations can become key partners in a CAL, involved in the co-design of activities based on their extensive knowledge of the community and the topic (e.g., energy transition). Community organizations could become implementing partners, whereby a dedicated fee could be allocated to their time for a range of tasks – from assisting with recruitment in hard-to-reach communities, providing an analysis of community needs, for their expertise on a given topic, or to help access community facilities. To further enhance the diversity of the participants, initial research partners could engage with more than one community organization which targets different segments of the population.

Barriers to access hard-to-reach populations are often related to trust, which is where community organizations come in as partners in outreach and recruitment (as well as project co-design). But sometimes, community organizations themselves are hard-to-reach. One way of identifying community organizations as potential partners is through the interviews that are being carried out with energy experts as part of the DIALOGUES project, and who might be able to point to the relevant actors in the field to help with recruitment – also known as convenience sampling. Another common strategy to identify community organizations as potential partners, especially those who work with non-dominant ethnic groups, is to approach cultural insiders, defined as individuals or groups who share the same cultural background as the target population (Ganga and Scott 2006; Renert et al. 2013; Yancey et al. 2006). For certain populations, going to events hosted by faith-based organizations could be a good entry point to find cultural insiders

that could collaborate with the project - as part of recruiting in communities of place/practice.

When partnering with community organizations, one could encounter “gatekeepers”, who are individuals within organizations that have the power to grant or withhold access to people for research purposes (Broadhead and Rist 2014; Reeves 2010). Gatekeepers could withhold access to targeted populations out of various concerns – relating to level of understanding about the research, communication issues, motivation and incentivization issues, and most importantly, fear or anxiety about the potential negative impact that the research might bring to its participants, for instance, exposing illegalized migrants to authorities, reproducing stigmas and repression in research processes (Shedlin et al., 2011; Katigbak et al. 2017). DIALOGUES researchers could work with community organizations, as well as individuals that are gatekeepers and cultural insiders, from the early stages of the CALs. Establishing a relationship of trust takes significant time commitment – and even more so for hard-to-reach populations. The co-design process itself is an important driver for building trust.

#### 5.1.2 Partner with local government

Energy citizenship involves more than individual efforts: utilizing renewable energy sources, implementing new technologies, providing low-carbon services, or changing habits and routines all involve institutional and structural changes, which can require collective efforts and political action. Partnering with local governments for the CALs can imply having government officials assist with recruitment of citizens, of being part of a CAL (possibly one dedicated for local officials), or to create opportunities for citizen voices to be heard in political forums. Local governments could also be engaged at an early stage in co-designing the CALs. If government officials decide to be present or participate at the CALs, partners should address issues of power asymmetry and endeavor to make the CALs a safe and free space for the co-production of knowledge. Power asymmetry is, of course, not confined to the presence and participation of public servants. Studies have underlined the importance of having an open dialogue on power during participatory projects and to provide space to all participants to discuss the various processes through which power impacts on the creation and use of knowledge for particular objectives (Marshall and Priya 2018; Stirling and Marshall 2018). An open dialogue in the CALs could help identify wider structures of injustice in the energy transition, as well as power dynamics within the CALs – such as how the objectives of the CALs are identified, who are recognized to have the legitimacy to produce knowledge, who should be engaged, among others. The tools provided in [1.3, Defining roles in participatory research](#) could help all participants to engage with power reflexively throughout the research process.

Local government’s participation in the CALs could also be beneficial to recruitment: citizens could feel more confident that their voices will be considered by policymakers, contributing to a sense of efficacy – the extent to which participation actually has an impact. On the flip side, it could hinder participation from hard-to-reach populations, many of which have been marginalized, repressed and illegalized by the same authority. After all, prospects for citizen participation tend to be less propitious in less-advantaged neighbourhoods (Docherty et al. 2001). Some strategies to mitigate this effect will be

discussed in the next section, but each CAL team should carefully craft measures that are best suited for their local contexts - depending on how local government officials are participating in a CAL. For some CALs, it might also be fruitful to engage with key actors in the local energy sector (e.g., electric power, fossil fuel and renewable energy industries) as partners in recruitment.

We share a “Letter of Intent” template that could be used to formally invite local government’s participation in DIALOGUES. This template can also be adapted to reach out to community organizations.

➤ [Appendix 1: Example of a Letter of Intent](#)

### 5.1.3 Recruitment through a local event

Recruitment can also take place in a community, either by participating in an existing event, or hosting an event. The possibility of having a stand and handing out flyers at either a regular event (e.g., farmers market) or a specific event (e.g., earth day in a given community) could also be an opportunity to meet people in a community, and recruit participants. Hosting a dedicated event is also possible, through a local partnership. For example, a film screening and discussion, followed by a presentation about DIALOGUES. Face-to-face recruitment as such has been proven to be more effective compared to advertising among hard-to-reach populations (Abrams 2010; Harkins et al 2010; Robinson 2014). The event can be done in community spaces, such as associations, schools, gyms, as a form of community of practice/place approach to recruitment).

### 5.1.4 Partner with the local media

Another type of partner that might add value to a CAL is the media: a media partnership can be sought early on in the process, to assist with recruitment. Media partnerships can also lead to a ‘before and after’ picture of the CALs effect on participants, if certain participants agree to engage with a journalist throughout the CAL. Some participants would shy away from any media visibility, while others might be comfortable with such visibility. In the H2020 ENERGISE project (GA#727642), a media partnership was seen as a way for normalizing some of the changes that took place within households in relation to energy savings. By giving visibility to the Living Labs in a daily news program, there was a possibility to reach a broader audience - as a form of amplification (Sahakian et al 2021). Independent of any form of partnership, the media can be used as a vehicle for recruitment, as outlined below.

## 5.2 Advertising the CALs

Whether, how, where and in what way the CAL will be advertised can have a direct impact on recruitment outcomes. The advertisement should be informative, and communicated in a way that is clear, concise and easily accessible to the target sample. For a participatory project like DIALOGUES, it is also important to use language that reflects the participatory process in its advertising materials: instead of “research”, one might use “conversation” and “dialogue”; instead of “researchers” and “respondents”, one could use “participants”.

The following advertising channels have been identified by DIALOGUES partners; the choice of channel and accordingly, the message can be adapted for different targeted audiences:

- Advertising through community organizations, who can promote the CALs through their networks via various channels, including for snow-ball sampling.
- Advertising through local governments, who can share information about the CAL and recruit through their newsletters and official web pages.
- Posting a “call for participation” on social network sites (SNSs), such as LinkedIn, Twitter and Facebook (disseminating research information on different SNSs helps to reach broader populations, e.g., LinkedIn might not be able to reach people that have no formal employment, TikTok/Instagram can be used for recruiting youth).
- Posting flyers in communities that are of interest for recruitment, in visible areas such as supermarkets and other shops, or community centres.
- Publishing a “call for participation” in local newspapers targeting different readership.

Another way in reaching diverse populations is preparing multi-lingual, culturally and politically sensitive advertising materials (Renert et al 2013; Ashby et al 2020). Only using the national language(s) in recruitment notices could fail to attract participants for several reasons. If the language is not the mother tongue of the potential participants, persons to whom the “host” country’s official language is a second language - while they might be able to understand the notice if they read it carefully - might not invest the time and effort required to do so. (Renert et al. 2013) Spoken fluency does not necessarily guarantee reading fluency, which makes multi-lingual material important.

Second, the language, as in the usage of words and phrases, is not inclusive and/or subject to different interpretations. For example, the phrase “citizenship” is often interpreted as the legal status of being a citizen of a particular country; when recruiting “energy citizens”, migrants, refugees and expat communities will likely consider themselves outside of the scope of study. Note that while the DIALOGUES team uses the shorthand of CALs and Citizen Action Labs to define our efforts, not all people living in a given territory will identify with the idea of ‘citizenship’. Giving another name to the lab, one that is more appealing to the hard-to-reach groups you are seeking to involve, could be necessary. In the first phase of recruitment a more general approach to the title of the workshop may be useful. More descriptive information can be provided at a later stage. LOBA will provide support in designing the advertising materials.

➤ [Appendix 2: Example “Call for participation”](#)

### 5.3 Incentivization Schemes

This section discusses different incentivization tools to encourage participation in the CALs. Incentives can take many forms, including cash or cash-like rewards (money, vouchers, reimbursement for expenses/time); social, emotional, or tokenistic rewards

(gifts, donation to charity); and reputational incentives and social recognition (such as authorship on research, public communications) (Parkinson et al. 2019). Further, as advocated by the respondent-driven sampling method (RDS, see 4.3), research projects could introduce secondary rewards for individuals' efforts in recruiting (a limited number of) peers into studies in addition to their own participation.

Offering payment has been found to be effective for promoting the participation of non-dominant ethnic groups in research (Yancey et al. 2006; Renert et al. 2013). However, paying participants also raises a range of concerns, particularly when the participants are from low-income backgrounds (Renert et al. 2013). How to properly compensate participants for their time and efforts remains a controversial topic and can be supported by better knowledge of a community (sometimes through a local association / partner). For example, one study recognized the need to financially compensate young mothers, but also planned for interviews at home when necessary and due to child care needs (Renert et al. 2013).

The following material rewards have been discussed by DIALOGUES partners in relation to the Guidebook:

- Direct payment
- Transportation stipend
- On-site child-care service
- Food package (e.g. local organic food products)
- Materials (e.g., masks, reusable bags)
- Energy audit of the participants' apartment/house and energy-saving training; the possibility of being involved in energy saving programs
- Energy-efficient lightbulbs (previously used by research projects of the User-Centred Energy Systems Technology Collaboration Programme of the International Energy Agency, see Ashby et al. 2020)

Non-material rewards are equally important, depending on the context, and could include:

- Authorship or acknowledgement in research outputs
- Public recognition and praise of participants' efforts on media
- Donation to charity on behalf of the participants
- The opportunity to gain knowledge and to participate in the energy planning of their locality and/or future interventions (e.g., becoming members of the Local Transition Community)

## 6 Benchmarking at the recruitment stages

### 6.1.1 Benchmarking Survey (Under development)

Recruitment for the CALs is also an opportunity to engage in a benchmarking exercise for a first set of data as well as a basis for sampling. Thus, a short survey (under development) is proposed, to gauge any exclusion criteria, socio-demographics, and degrees of energy citizenship.

A qualifying question might include whether or not a person can commit to the full duration of the CAL, or whether a person is able to join an offline or online community. For example:

*“Are you interested in participating in (name of the CAL), over the period of (month) for approximately (#) hours, including a possible follow up on (month)?”*

Socio-demographic questions will serve two purposes: ensuring a diverse sample, if this is your objective; and allowing for some assessment of the CALs across the different research sites. You may also wish to engage only a limited number of participants; in which case you might communicate the following:

*“Please note that the final selection of participants will be communicated on X date, as we can welcome a maximum of X participants and wish to ensure diversity”.*

Different factors can be accounted for, such as age, gender and level of education, but also factors related to energy usage (housing type, number of motorized vehicles), or citizenship (length of residency in a given community). The list of questions that will serve to gauge ‘energy citizenship’ prior to the implementation of the CALs is currently under discussion by the consortium. We recommend a set of questions common to all research partners, and the possibility to add on questions as relevant in each city.

➤ [Appendix 3: Recruitment Data Collection](#)

### 6.1.2 Ethical issues in recruitment and informing the participants prior to the intervention

Participatory research pre-supposes a commitment to a set of values (such as the imperative of co-production and co-ownership of research) that traditional research does not necessarily require or embrace. This has distinct implications for ethical decision-making in research processes (Manzo and Britbill 2007). In this part, we highlight two main ethical issues in relation to recruitment: that of informed consent and privacy.

As per the DIALOGUES “Ethics Requirement”, deliverable 9.2, participants who volunteer to participate in one of the CALs will be provided with an informed consent form, which will contain the objectives and methods of the research and will provide potential participants with comprehensive information about DIALOGUES in their native language as well as in English. Participants will also be informed that they may give notice of their withdrawal from research activities at any time and that they can retract their consent until the data is anonymized without any disadvantages and without having to give a reason. The informed consent form will contain the objectives and methods of the research. It is pointed out that the anonymity of the participants is guaranteed when publishing research data, as well as during data collection and data storage. Informed consent procedures will follow the guidance laid out in “Horizon 2020 Programme – Guidance: How to complete your ethics self-assessment”. No groups who cannot give informed consent will be involved in the study. The information sheets and consent forms will be included in DIALOGUES’ Data Management Plan, submitted in M6 (October 2021). Further, DIALOGUES’ will not conduct any research with minors or adults who are unable to give informed consent; in addition, it will not conduct any research activities with mentally disabled people. We provide a sample consent form in the Appendix.

➤ [Appendix 4: Consent to the processing of personal information](#)

The specificity of participatory research in relation to ethical clearance of the institutional review board (IRB) is worth mentioning here. In general, IRB-type reviews will demand total anonymization and de-identification of data. This implies that, from the very beginning of the recruitment, all data needs to be managed in a way that ensures the anonymity of all participants and should remain so throughout and after the end of the project. There, identifiable data (e.g., from the recruitment benchmark survey) should be kept separate from research datum (e.g., transcripts, notes, etc.) in a safe storage space. For certain hard-to-reach populations, for example, illegalized migrants, there is a need for explicit reassurances about the confidentiality of their research data and clear statements that research participation would not influence one’s immigration status (Katigbak et al. 2017). Whether or not a CAL must go through an institutional review board will depend on the institutional requirements of each research team. It is our understanding that DIALOGUES have general clearance for conducting research from the European Commission. The data management plan of DIALOGUES can also determine if and how people choose to be anonymized; whether this is a requirement will need to be discussed.

While keeping full anonymity of all research data is an important element of research ethics, it could sometimes be in tension with the goal of participatory researches to facilitate peoples’ voices in their own community and in broader political processes – assuming that this is part of how we come to understand ‘energy citizenship’. Anonymity can “muffle the voices of participants while authorizing that of the researcher” (Manzo and Britbill 2007:36). In certain cases, some partners/citizens might want to be recognized for their contribution to the project – for example, be identified and quoted in media reports. It is for each research team to deliberate whether and how the voice of a given partner/citizen could be acknowledged while following the ethical requirements of the project as put down in “Ethics Requirement”, deliverable 9.2 and the data management plan. The CAL participants could also think of ways to amplify voices of the



marginalized groups while respecting their preferences, giving ownership to their ideas and recognizing their agency.

### 6.1.3 The pertinent EU documents

With regards to the legislation regulating Horizon 2020, Art. 19 of the Regulation establishing Horizon 2020

([https://ec.europa.eu/research/participants/data/ref/h2020/legal\\_basis/fp/h2020-eu-establact\\_en.pdf#page=11](https://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf#page=11))

requires the activities carried under Horizon 2020 to comply with ethical principles and laws. In this context, “particular attention shall be paid to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection.”

General Data Protection Regulation (GDPR) (EU) 2016/679

(<https://eur-lex.europa.eu/eli/reg/2016/679/oj>)

Charter of Fundamental Rights of the European Union

([https://www.europarl.europa.eu/charter/default\\_en.htm](https://www.europarl.europa.eu/charter/default_en.htm))

The document EU Grants: How to complete your ethics self-assessment: V2.0 – 13.07.2021

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf)

provides info on projects with activities involving work with human beings that are not part of the staff of the participants (2.1) and projects with activities involving non-EU countries (6.1).

## 7 Gender and participation

To ensure an inclusive process with diverse participants concerning gender, socio-economic status, migrant background etc., we need to be aware that people are facing various forms of discrimination (sometimes multiple). Often civic participation procedures assume that participants are aware and willing to use their democratic rights and opportunities to participate. Another underlying assumption is that everyone participating is familiar and comfortable with cultural rules and norms of the procedure. However, this is often not the case for diverse groups. Due to societal power structures some persons, typically more privileged, are more likely to become active in a process than others; and people facing discrimination are less likely to engage or face more barriers that need to be overcome beforehand. To facilitate a diverse group of people becoming interested, there are some basic questions that should be asked before and during the events.

The following key questions should be addressed as guidelines for participation:

- Is there a gender sensible sampling method in place that foresees an adequate representation of women or men in view of the thematic orientation of the CAL?
- Are women involved as speakers, experts, facilitators? This will require an extra effort in a field – energy - with a heavy predominance of men.
- At least one of the facilitators should direct his attention to possible feelings of low self-esteem and alienation and tackle dynamics of societal injustices and discrimination which might emerge within the group of participants.
- Do meetings/activities take place at a time when women and men can attend?
- Is the venue for meetings safe and convenient for women and men?
- Are responsibilities of care and reproductive work kept in mind?
- Are separate meetings for women or for marginalised groups appropriate?
- Is there someone to track speaking times of women and men during discussions, in order to eliminate an unconscious bias?
- Is plain language (e.g., avoidance of very technical terms, short sentences) used throughout the entire process? Does translation (also sign language) need to be provided and can it be provided if indicated?
- Have/will marginalized groups participate in the selection of topics and focus?
- Planning (individual/anonymous) feedback/reflexion rounds early in the process. Allow for flexibility in the process to incorporate wishes/feedback from minority groups.
- Ensure transparency of procedure and process and changes thereof at all times.
- Consider different ways to participate (online, offline, cross-media).

## 8 Methodologies

The methodological approach in CAL wants to enable reflexivity and learning as equals by all involved and build bridges from preconceptual experience to knowledge to action.

Whatever the specific methodologies chosen, the common spirit of the events should be inductive to finding out things together with humility and curiosity, producing results that none of the participants knew from the outset. The labs start from the everyday consciousness and perception of the participants, their motivations, difficulties, and desires. The positive effects they might have on the lives of the participants may not be obvious from the beginning. The labs should therefore be, particularly at the start attractive and motivating experiences in and by themselves.

Citizen Action Labs fall under the umbrella “Living Labs” which includes all forms of activities which permit active stakeholder involvement to overcome a need or challenge within a pre-defined group of people with a common interest. They are co-created in the sense that the methodology is refined by those who take part in the Living Labs. These participants can range from energy consumers (citizens) through NGOs to energy providers. Due to the way they operate they should not be viewed as or constructed as methods of experimentation. Rather the emphasis should be on how they bring real benefits to those involved.

([https://www.step-in-project.eu/wp-content/uploads/STEP-IN\\_LIST\\_D1.2\\_LL-global-methodology-and-implementation-guidelines\\_FV-Rev-19.11.2019.pdf](https://www.step-in-project.eu/wp-content/uploads/STEP-IN_LIST_D1.2_LL-global-methodology-and-implementation-guidelines_FV-Rev-19.11.2019.pdf))

The presentation of the creativity techniques that follows is meant to give some examples of the large variety of approaches that can favour and enhance “the ability to create”. The short description given here are not sufficient guidance for using the methods discussed and neither is the literature cited. Their use in a CAL should be guided by a facilitator familiar with and experienced in the method. It needs an experienced person to define the setting and inspire trust in the participants.

#### 8.1.1 Future Lab

Future Labs, developed by Robert Jungk in the early Eighties, seek to mobilise the knowledge, experience and insights of those involved because they are active in a specific field. The inspiration is deeply democratic and the participatory and interactive method can contribute to new development models as the results can be used as elements of planning and design.

The Labs are a participatory method for developing proposals for the future development of a specific field of action. Key people active in the field participate. Contributions are flash, without in-depth analysis or judgement of others. It assumes, when it works, a dynamic course of group creativity. A workshop for the future has three phases: critique, imagination and practice.

In the criticism phase, all the critical points, irritations and things that do not go well are collected. In the fantasy phase you imagine the best situation for your work and your field. "What would be the ideal situation to be able to do what I am doing?" There is no reality principle, there are no limits or framework conditions, everything is possible and allowed. In the third phase, praxis is at the centre, the reality principle is reintroduced. What are realistic perspectives to make fantasies real, what resources and possibilities exist?

([https://www.die-bonn.de/esprid/dokumente/doc-2004/apel04\\_02.pdf](https://www.die-bonn.de/esprid/dokumente/doc-2004/apel04_02.pdf) )

#### 8.1.2 Ideathon

Ideathons are intensive brainstorming events where individuals from different backgrounds, skills and interests converge to diagnose predefined problems, identify the best opportunities, and ideate the most viable solution. An ideathon may require just ideas, a solution, a roadmap, or an actionable plan. Ideathons are typically time-bound, spanning a few hours to a couple of days.

Many corporates use ideathons as an innovation platform for internal and external competitions. Internal ideathons focus on employee engagement, team building and solving a longstanding business problem. External ideathons are mostly employed during campus recruitment to establish brand connect with fresh graduates. Participants usually work in teams, present multiple ideas, and solutions, subsequently working toward the most suitable of the lot. An ideathon provides opportunities to learn, collaborate, innovate, and change.

The corporate world is striving to shift all its processes online. An increasing number of companies are exploring avenues to achieve digital transformation. Thus, ideathons and hackathons have been gaining popularity, serving as great innovation ideas platforms.

(<https://blog.mettl.com/ideathons-innovation-at-speed>)

### 8.1.3 Focus Group

A focus group is a group interview involving a small number of demographically similar people or participants who have other common traits/experiences. Their reactions to specific researcher/evaluator-posed questions are studied. Focus groups are used in market research to better understand people's reactions to products or services or participants' perceptions of shared experiences. The discussions can be guided or open. In market research, focus groups can explore a group's response to a new product or service. As a program evaluation tool, they can elicit lessons learned and recommendations for performance improvement. The idea is for the researcher to understand participants' reactions. If group members are representative of a larger population, those reactions may be expected to reflect the views of that larger population. Thus, focus groups constitute a research or evaluation method that researchers organize for the purpose of collecting qualitative data, through interactive and directed discussions.

A focus group is also a technique used by sociologists, psychologists, and researchers in communication studies, education, political science, and public health. Marketers can use the information collected from focus groups to obtain insights on a specific product, controversy, or topic. Used in qualitative research, the interviews involve a group of people who are asked about their perceptions, attitudes, opinions, beliefs, and views regarding many different topics (e.g., abortion, political candidates or issues, a shared event, needs assessment). Group members are often free to talk and interact with each other. Instead of a researcher/evaluator asking group members questions individually, focus groups use group interaction to explore and clarify the beliefs, opinions, and views of participants. The interactivity of focus groups allows researchers to obtain qualitative data from multiple participants, often making focus groups a relatively expedient, convenient, and efficacious research method. While the focus group is taking place, the facilitator either takes notes and/or records the discussion for later notetaking in order to learn from the group. Researchers/evaluators should select members of the focus group carefully in order to obtain useful information. Focus groups may also include an observer who pays attention to dynamics not expressed in words e.g., body language, people who appear to have something to add but do not speak up.

(<https://besjournals.onlinelibrary.wiley.com/doi/10.1111/2041-210X.12860>)

#### 8.1.4 Brainstorming

Brainstorming is a group creativity technique used to generate ideas to solve a clearly defined problem. It originated in 1957 when Alex F. Osborn, an advertising executive presented *Applied Imagination*. In controlled conditions and a free-thinking environment, teams approach a problem by such means as “How Might We” questions. They produce a vast array of ideas and draw links between them to find potential solutions.

Brainstorming has three fundamental steps:

- idea capture
- discussion and critique
- selection

(<https://www.interaction-design.org/literature/topics/brainstorming>)

Brainstorming is part of [design thinking](#).

#### 8.1.5 Design Thinking

Design thinking is a non-linear, iterative process that teams use to understand users, challenge assumptions, redefine problems and create innovative solutions to prototype and test. Involving five phases - Empathize, Define, Ideate, Prototype and Test- it is most useful to tackle problems that are ill-defined or unknown.

(<https://www.interaction-design.org/literature/article/what-is-design-thinking-and-why-is-it-so-popular>)

#### 8.1.6 Six Thinking Hats

The six thinking hats is a method used to amplify creative conversations, by making sure that a broad variety of viewpoints and thinking styles are represented. Using six roles (or "hats"), the framework - presented by Edward de Bono in 1985 - allows teams to more easily structure abstract thinking for productive results.

The six hats are:

- The white hat: This is the objective hat, which focuses on facts and logic
- The red hat: This is the intuitive hat, focusing on emotion and instinct
- The black hat: This is the cautious hat, used to predict negative outcomes
- The yellow hat: This is the optimistic hat, used to look for positive outcomes
- The green hat: This is the creative hat, where ideas are abundant and criticism spare
- The blue hat: This is the hat of control, used for management and organization.

In product development, the six thinking hats are used to divide up the project team into different groups (the white hat group, the red hat group, etc.). Each group talks about the product from their hat's perspective, i.e., the logical components, the emotional

components, and so on. This allows for more focused collaboration among smaller groups that can later re-join with stronger ideas and goals.

(<https://airfocus.com/glossary/what-are-the-six-thinking-hats>)

#### 8.1.7 World Café

In a World Café a number of tables are set up with four or five seats around them and the group splits up to be seated around the tables to discuss for 20 minutes a question posed beforehand in the introductory plenary session. At the end of the round the participants get up and move on to another table leaving one host for the next round. The question might remain the same or change. After two or three rounds participants share insights and results from the tables they participated in to be recorded on a flip chart or similar.

(<http://www.theworldcafe.com/key-concepts-resources/world-cafe-method>)

#### 8.1.8 Feminist Body Mapping

Feminist Body Mapping is a method focused on appealing to emotions and feelings manifested in body parts. Originally developed as *territorio cuerpo-tierra* in Latin America it generates data by posing questions to participants who are invited to draw their resonance in their body onto a paper with a drawing of the outline of their body to be filled. The method works with biographical experiences of the participants and includes their social, economic and political contexts.

([https://www.researchgate.net/publication/350576455\\_Body\\_Mapping\\_as\\_a\\_Feminist\\_Visual\\_Method\\_Exploring\\_the\\_Field\\_Through\\_the\\_Body](https://www.researchgate.net/publication/350576455_Body_Mapping_as_a_Feminist_Visual_Method_Exploring_the_Field_Through_the_Body))

## 9 Planning data collection (under development)

The collection of data is a demanding activity. It is, however, a vital part of the Citizen Action Lab, be it for the assessment of the single Labs, be it for the comparative quantitative and qualitative analysis of all the Labs, as is the scope of DIALOGUES.

- **Data collection during recruitment**

To provide elementary information on the participants and also a basis for the sampling procedure you find the draft of a questionnaire to be used during the recruitment phase [in appendix 3](#). It will need to be translated and adapted.

- **Data collection prior to and during an intervention**

Data Collection at the beginning of the CAL. The main goal at this stage is to understand the 'current state'. This means getting an overview of the current views, habits, or practices of the participating citizens. A specific focus is on the daily problems the participants face.

This might be done through a survey plus participant observation. We might consider developing a common entrance survey to be done by cell phone. This should also provide some information of the level of use of digital devices.

- **Data Collection during the intervention**

We need to agree on the audio and video taping of the sessions. Certainly not all of them. We could consider one common event to all CALs to be registered that could take the form of a partially structured and in some part free-flowing discussion on some of the research questions taken up in the specific context of each CAL. As to content it should overlap with the two surveys and provide more open-ended, qualitative material on questions like:

- how the individual positions him- or herself (or their organization) within the framework of energy citizenship in terms of everyday/operational practices, perceived barriers or motivators concerning energy citizenship (political, legal, regulatory, social, psychological, behavioural, etc.),
- the participants' viewpoint on the mechanisms towards energy citizenship (self-identity, actions, habit change, cognitive-emotive processes, etc.) or dynamics (community/social dynamics, inter and intra- social processes, trust, connection, common benefits, shared goals, or external dynamics).
- potentials of change, images of a good energy life and identity as a full-fledged energy citizen.

Essentially there are two ways in which information on these issues can be captured during the CALs. One could be to utilize the recordings and employ the coding methodology to identify themes relevant to the concepts mentioned above. Another approach is to build the data collection into the design of the CALs which is more demanding on the outset, given the wider variety of events, but this more standardized data collection would render the analysis easier.

- **Data Collection after the intervention**

At the conclusion of the CAL data should be collected on the change that might have taken place in the participants' understanding, attitude (and behaviour?) regarding energy citizenship during the intervention. The survey from the beginning will be re-presented to see what changes have happened.

- **Follow-up period**

What indicators apply to the different CALs for measuring longer - lasting impacts, the reintegration of results into practical routines? These should be used in a post-intervention or follow-up survey.

## 10 Analysing the Citizen Action Labs

### 10.1 What knowledge will the Citizen Action Labs produce?

Citizen Action Labs are qualitative research taking up real world praxis and problems. The knowledge they will produce will mainly come out of qualitative content analyses integrated by quantitative findings from the surveys and other data collected. The results will provide the material for D6.3, Report on DIALOGUES' Citizen Action Labs, but should also find their way into D5.4, Pathways to deepening energy citizenship and D8.3, Decision Support Tool.

In D.2.1, the first Version of the Research White Paper (Biresselioglu et al., 2021) the possible approaches are listed underlining that “qualitative methods remain dominant” (p. 40). The paper notes that “few studies involve national comparison” and considers these a much-needed effort, “in order to understand the local, regional and national variations of conceptions and operationalisation of energy citizenship.” (p. 41). In reformulating the research questions the paper elaborates on enlarging democratic participation directing attention to inequalities in terms of gender, class, race ethnicity, migrant status, etc.

The White Paper aims to provide a solid and integrated research framework and the design of the CALs, their implementation, the production of materials and their analysis need to develop within this framework an integrated and complementary way to add their specific insights to the other knowledge-producing activities in DIALOGUES, intellectual work of the partners, discourse and exchange, literature studies, interviews, surveys, netnography and others.

The materials that will come out of the CALs will be:

1. Data on the socio-economic status of the participants
2. Answers on a variety of questions as to everyday energy-related behaviour and perception of one's own status as energy citizen in
  - a. Surveys during recruitment, during implementation, post implementation, follow-up
  - b. Audio and video recordings
  - c. Notes and reports by the partners in their roles as participant observers.

The CALS are (intentionally) quite different among each other therefore it is all the more important to have a common approach for the type of data and the format. In storing the data DIALOGUES will adhere to the 'FAIR Guiding Principles for scientific data management and stewardship'.

### 10.2 Establishing common rules for the analysis

The analyses will need to follow explicit, common rules, aligned to the content of the data that need to be agreed upon by the partners which will need to follow clear steps:



1. What are the specific research questions we are looking for answers in each CAL? A list of consolidated research questions can be found in the White Paper (Biresseoglu et al., 2021p. 50). Which of these questions will the CAL take up?
2. Definition of the classes of materials and their characteristics. The recruitment, pre-implementation and the post-implementation surveys, that will be largely identical, is under development. These surveys need to be finalized in accordance with the ECAT questionnaire (D 2.3, D 5.1).
3. Definition of categories or variables to be applied.
4. Definition of scale points for every variable (bipolar, multiple scale points)
5. Definition of the unit of analysis.
6. Open, axial or selective coding, scaling the units of analysis according to the system of categories
7. Scaling responses and comparing frequencies, integration of qualitative and quantitative data
8. Presentation and interpretation of the results.

## 11 Communication and dissemination with LOBA support

It is important that each CAL inserts into the planning and the timeline also communication and dissemination. Under the pressure of things happening this central part of the project easily receives too little attention, so it needs to be prepared as carefully as the rest of the activities.

### **BEFORE the CAL**

- b. Develop a banner image for the CAL using DIALOGUES identity
- c. Support the CAL with any other supporting material necessary (agenda, badges, etc.)
- d. Publish the information about the CAL in DIALOGUES website
- e. Communication in social media about the CAL, namely a post for SaveTheDate, a post for Registration, a post with the CAL objectives. This obviously depends on the recruitment and sampling procedures you have in place. Presumably people will not be able to simply register for the CAL and for some CALs there might not be at all a way for people from the outside to register
- f. Press release, LOBA can support the distribution of PR both in EN or in other languages. Our partner has a database of more than 800K media outlets

worldwide. Again: only some CALs might lend themselves to be publicized beforehand.

### **DURING the CAL**

Partners can send photos/short videos and quotes from the speakers/participant of the CAL to LOBA, to be posted in DIALOGUES social media in real-time. (If participants have previously consented to publish their images)

Partners can post about the CAL in their own channels tagging @dialoguesh2020, so we can share these posts.

### **AFTER the CAL**

Partners should send LOBA mini reports about the CAL with main conclusions, collected insights, recommendations, lessons learned, etc., to be published as articles in DIALOGUES website

These results of the CAL will also be disseminated in social media.

The actions under “BEFORE THE CAL” relate to recruitment and might, as already indicated, be of interest only to some CALs while the actions under “DURING the CAL” and “AFTER the CAL” are more related to dissemination.

## Conclusions

This handbook wants to give guidance in the unfolding of the DIALOGUES project for a central element of the project – the Citizen Action Labs. The first preparations of the foreseen 9 CALs are underway and the present document inserts itself into this process. It will be up to the partners to find out how much help it will be able to offer. From the very nature of a participative effort, the Guidebook is not and cannot be a finished product exactly because it is embedded in an ongoing process that itself will deliver results which will need to be integrated in later deliverables of the project.

This applies particularly to the chapters 9 and 10, data collection and analysis. If the CALs want to add relevant knowledge on the dynamics of the emergence of energy citizenship, what favours and what hinders it, they need to produce significant and reliable data from the single CALs and across all CALs. That is a challenge in view of the diversity of the events that have as a common denominator the forms energy citizenship can take and the conditions for deepening pathways towards it, but unfold in very different social, economic, and cultural contexts. The survey for recruitment, the core of which will also be used at the conclusion of the CAL, is under development and Appendix 3, Recruitment Data Collection, of the present document will find its final form in the next weeks, also on the basis of indications of the partners while they prepare their CAL. The same holds true for the common rules for analysis which will need to be operationalised. And finally, the partners will have to agree if it is necessary to insert in all CALs one identical sequence with a precise data collection structure, or proceed with a more open approach, utilizing the recordings of key moments previously agreed upon and employing the coding methodology to identify themes relevant to the key concepts of DIALOGUES.

While DIALOGUES continues, more and more of the issues taken up in general terms in this guidebook will assume a concrete Gestalt with the goal to render energy citizenship a concrete, living and practical concept.

## Appendix

### Appendix 1: Example of Letter of intent / Local government partnership

(The context) We are pleased to invite the city/town/commune of XXX to participate in an action-research effort on energy transition. Indeed, in XXX (date), the city of XXX unveiled its new plans to fight against the effects of global warming. Through the XXX (policy instrument, e.g., a climate action plan), the city is mobilizing all actors in society to meet the challenges of climate change. The XXX (policy instrument) defines ambitious objectives: XX.

(Why the energy transition and why citizen engagement). Climate change is a global issue that must be tackled locally, where the city/town/commune has a role to play. How will we get around, provision for food, and live in 2030 or 2050 in XXX (commune/city)? What impact will this have on our well-being? By imagining a prosperous XXX (commune/city), how can we interpret the XXX (policy instrument) on a more local scale? These are the main questions we are asking ourselves in a European research project, DIALOGUES, in which XXX (country name) is a partner, focused on the need to strengthen a notion of energy citizenship. We are convinced that citizens have a role to play in X (objective of your CAL).

(What we are asking) The research group that I lead at the XXX (name of your organization) - focused on XXX (your main work and research activities) - is looking for partner municipalities/towns in the XXX area in order to propose citizens' forums on the energy transition. Indeed, XXX (local policy instrument) recommends an increase in citizen mobilization. Along with XXX (commune/city), we are also proposing to partner with XXX (commune/city).

(What we can deliver) The XXX (name of your organization) organizes and provides:

- The possibility to animate over several months a Citizen's Forum in XXX (commune/city) on the energy transition.
- A research team which, in collaboration with partners from the associative world, will organize and finance certain activities.
- A program of activities that will aim to raise awareness about climate issues and links with energy consumption, as well as debates and discussions around these themes.
- A participatory and non moralistic approach; it is not about judging lifestyles or over-responsibility of individuals, but about understanding together how social changes can be implemented.
- The final result: (tbd, what you see as the outcome, eg a citizen's recommendation for the implementation of a Climate Plan at the municipal level, with actions).

(What we ask in return) We ask the Town/Municipality, in return:

- Communications to recruit participants (eg, through newsletters, on websites, at events, etc.).
- The provision of a meeting space for our meetings.
- 1 to 2 meetings with the group of citizens, over a period of 4-6 months, to answer any questions (or other request).
- To listen and be receptive to the recommendations that come out of this citizen forum, for example by organizing a presentation of the final report.
- Communications to announce the results of the process.

Some additional information:

- Planned dates and deadlines:
  - Communication for participation: tbd, e.g., summer 2022
  - Start of activities: tbd, e.g., Fall 2022
  - End of activities: tbd, e.g., Early 2023
- Desired group size:
  - A long-term discussion with between 10 and 30 people seems ideal, with representatives from each social category based in the town/city.
  - Activities that are open to the general public can also be proposed, such as film screenings with discussions.
- Types of activities proposed:
  - Tbd, depending on what you wish to propose
  - Discussion workshops: around the issues of energy transition, XXX (add specific discussion points)
  - Interpretation of the XXX (policy instrument) at the level of the municipality: identification of priority and short- and long-term objectives.
  - We will remain open to the needs and desires of the group.

We hope that this partnership proposal is of interest to you, and I remain at your disposal for any further comments or questions.

XXX (greetings and signature)

Useful links:

DIALOGUES project page: <https://www.dialoguesproject.eu>

Personal or Organizational Page: xxx

## Appendix 2: Example “Call for participation”

(This document is text only; graphics for different advertising channels will be designed later in collaboration with the project communications team.)

### **Call for Participation: Community Action Lab**

What does a sustainable future look like for you?

How do you imagine our lives in the town of X in 2030?

And how can we, as community members, participate in the energy transition?

Join us in the very first Community Action Lab in the commune of XXX!

Co-organized by XXX (Research teams, community partners, municipality), the Community Action Lab is looking for individuals to participate in a series of workshops and events with the theme: energy transition in XXX. In June 2021, the city of XXX unveiled its new Climate Action Plan to fight against the effects of global warming. Through the plan, the city defines ambitious objectives to accelerate the energy transition and achieve carbon neutrality. But how to interpret and implement the plan at the community level remains an open question – and each of us has a role to play.

During the Community Action Lab, we will discuss and debate ...  
(Topic/activity 1), (Topic/activity 2)

Through the Community Action Lab, we aim to co-produce ...  
(Output 1), (Output 2)

At the end of the process, we plan to ...  
(How might the results be disseminated, communicated or scaled)

To devise such a plan, we need wisdom from the crowd! Anyone living in the town has a say, and by sharing our local experiences, we collectively develop the blueprint for XXX – the place where we call home.

Time and Location:  
(Add incentivization schemes here, e.g., we provide child-care services and food on site).

To participate, please:  
Email/Phone number/ Social media pages (twitter/linkedin/instagram)  
Link or QR code that leads to the recruitment form

Further Information:  
Link or QR code to the DIALOGUES webpage or social media accounts

### Appendix 3: Recruitment Data Collection

The purpose of this tool is:

1. to qualify an individual who might be participating in a CAL
2. to gain a benchmark on energy citizenship
3. to gather basic information such as socio-demographic details and living situation
4. to ascertain that they can participate in the CAL

Provide background information on the project and a data protection statement, with this suggested introduction to the survey:

*“Are you willing to answer a few questions, as a possible participant in the (name of Citizen Action Lab)? This information is important to us, in order to ensure that we are recruiting a diverse set of people. Please note that all data we collect will be kept confidential and anonymized, and personal data will be kept secure.”*

You may or may not wish to qualify participants, once they have completed this survey - so as to sample for diversity. In which case, you would communicate this.

*“Please note that the final selection of participants will be communicated on X date, as we can welcome a maximum of X participants and wish to ensure diversity”.*

#### **Questions on participation in the CALs:**

Are you interested in subscribing to the DIALOGUES mailing list and receiving information about DIALOGUES activities and events?

- Yes  
 No

Are you interested in participating in energy citizenship process, over the period of (month) for approximately (#) hours, including a possible follow up on (month)?

- Yes  
 No ➔ Stop

#### **Questions related to energy citizenship:**

*[ Note that the same questions will be used again at the end of the CAL, to gain a before and after pictures of changes in energy citizenship. To be developed based on a collaborative process (and in relation to the Assessment Tool / App – placeholder)]*

**Contact information for individuals:**

*[ To be discussed and agreed on among partners; data and privacy statements also need to be discussed.]*

Name	First Name/Last Name
Home address <i>[ exact address might not be necessary, depending on the CAL]</i>	ZIP/postal code
Number of people in your household	
Prefer to be contacted by: <input type="checkbox"/> Phone <input type="checkbox"/> Email <input type="checkbox"/> Both	Phone number:
	Email address:
Age	<input type="checkbox"/> 18-24 <input type="checkbox"/> 25-34 <input type="checkbox"/> 35-44 <input type="checkbox"/> 45-54 <input type="checkbox"/> 55-64 <input type="checkbox"/> 65-74 <input type="checkbox"/> Above 74
Gender	<input type="checkbox"/> Female <input type="checkbox"/> Male <input type="checkbox"/> Non-binary <input type="checkbox"/> Prefer not to disclose <input type="checkbox"/> Another gender <input type="checkbox"/> _____



Educational attainment	<input type="checkbox"/> Basic Education <input type="checkbox"/> Secondary Education <input type="checkbox"/> Vocational Education <input type="checkbox"/> Bachelor's Degree <input type="checkbox"/> Master's Degree and Above
Employment status	<input type="checkbox"/> Full-time employment <input type="checkbox"/> Part-time employment <input type="checkbox"/> Self-employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Other
How long have you been living in this neighborhood/commune/city? <i>[ depending on the specific CAL ]</i>	<input type="checkbox"/> Under 1 year <input type="checkbox"/> 1 to 5 years <input type="checkbox"/> 5-10 years <input type="checkbox"/> More than 10 years
Home - Type of building	<input type="checkbox"/> House (detached and semi-detached building) <input type="checkbox"/> Apartment in a residential building <input type="checkbox"/> Other type of building
Home - Tenure status	<input type="checkbox"/> Ownership <input type="checkbox"/> Co-ownership <input type="checkbox"/> Renter <input type="checkbox"/> Subtenant <input type="checkbox"/> Kinship (lives with families) <input type="checkbox"/> Other
Household income	(use indicators for lower-middle-upper revenues based on each country)

#### Appendix 4. Consent to the processing of personal information

This document certifies that you agree to participate in the Community Action Labs (CALs) with members of the research team of the DIALOGUES project – Energy Citizenship for A Sustainable Future.

The DIALOGUES project aims to actively engage individuals and communities in local processes of low-carbon energy transition through the implementation of CALs in eight countries: Bulgaria, Canada, Germany, Greece, Italy, Norway, Switzerland and Turkey. Each CAL is built to be an inclusive and open environment where participants freely exchange, co-create and test sustainable innovations in a real-world setting. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101022585. More information about the DIALOGUES project could be found on our website: <https://www.dialoguesproject.eu/>

For the CAL in X (insert city, country), the research team collaborates with X and X (insert partners, e.g. local community organizations). During the CAL, we will discuss X (insert specific topic and main activities of the CAL). Your participation is crucial ... (insert the potential impact of their participation).

*Example: For the CAL in Geneva, Switzerland, the research team at the University of Geneva collaborates with the Municipality of Cologny and the Citizens' Collective for Sustainability in Cologny. During the CALs, participants are expected to vision future scenarios, link well-being to energy transitions and produce a climate action plan at the level of the commune. Your participation in the project will provide invaluable insights which could inform and support Geneva's ambition to achieve climate neutrality by 2050.*

Your participation involves attending (#) CAL workshops over the period of (months) for approximately (#) hours, including a possible follow up on (month). Your participation is completely voluntary, and you can withdraw from the project at any time during the implementation phase of the CALs.

During the CALs, we would like to audio (or video, or both, to be decided) record the whole workshop. These recordings will help the research teams to revisit and analyze in detail the rich information gathered through CALs; the recordings can also be of use to the participants of the CAL if they wish to partake in data analysis. These recordings are for internal use only, meaning that they are only accessible to all DIALOGUES research teams and participants of the CALs (upon request).

All information obtained will be stored in secure locations, and any data that allows you to be identified will be removed from the material collected. If you wish to withdraw from the project, all data related to you can also be erased upon request. You may be quoted anonymously in future project outputs such as papers, reports, and news articles.

Further, we *may* want to take some photos or record short videos to document the implementation of the CALs. These photos and videos can be used in two ways: 1) for

internal use only, like the recordings; 2) for external communications, such as used for various project presentations, posts in social media sites, etc. In the second scenario, the wider public will be able to see photos and videos that might include you – only if you have indicated in the consent form below that you approve of this use.

You can inform us your consent and mark down your preferences in the following form. Please **ONLY** tick the option(s) with which you agree. If you have any question or concern with regard to your consent, please do not hesitate to contact us.

Consent: General Participation
<input type="checkbox"/> I agree to participate in the project mentioned above.
<input type="checkbox"/> I agree to be quoted directly in future publications if my name is not published or if a pseudonym is used.
<input type="checkbox"/> I agree to be audio (or video, or both) recorded during the CALs for internal use only.
<input type="checkbox"/> I agree to have my photo taken during the CALs for internal use only.
Consent: Communications
<input type="checkbox"/> I agree to be video recorded during the CALs for external communications.
<input type="checkbox"/> I agree to have my photo taken during the CALs for external communications.
<input type="checkbox"/> I agree to be contacted after the CALs for a follow up.

By signing this consent form, you confirm that you fully understand the information presented above and that you agree to participate in this project.

Name:

Name, Research Team:

Signature:

Signature, Research Team:

Email address:

Email Address:

Date:

Date:

### Data controller

The data controller is ... (please specify a name, surname, city of residence and the contact details of the controller)

## Bibliography

- Abrams LS (2010) Sampling 'Hard to Reach' Populations in Qualitative Research: The Case of Incarcerated Youth. *Qualitative Social Work* 9(4). SAGE Publications: 536–550. DOI: [10.1177/1473325010367821](https://doi.org/10.1177/1473325010367821).
- Areljung S, Leden L and Wiblom J (2021) Expanding the notion of 'ownership' in participatory research involving teachers and researchers. *International Journal of Research & Method in Education* 44(5): 463-473. DOI: [10.1080/1743727X.2021.1892060](https://doi.org/10.1080/1743727X.2021.1892060).
- Ashby K, Smith J, Sea R, et al. (2020) *HTR Characterisation: Hard-to-reach Energy Users Annex*. 6 October. HTR Annex by Users TCP. DOI: [10.47568/3XR102](https://doi.org/10.47568/3XR102).
- Atkinson R and Flint J (2001) Accessing Hidden and Hard-to-Reach Populations: Snowball Research Strategies. *Social Res Update* 33.
- Bergmann, Matthias & Jahn, Thomas & Knobloch, Tobias & Krohn, Wolfgang & Pohl, Christian & Schramm, Engelbert. (2010). Methoden transdisziplinärer Forschung: Ein Überblick mit Anwendungsbeispielen. [https://www.researchgate.net/publication/311746894 Methoden transdisziplinärer Forschung Ein Überblick mit Anwendungsbeispielen](https://www.researchgate.net/publication/311746894_Methoden_transdisziplinärer_Forschung_Ein_Überblick_mit_Anwendungsbeispielen)
- Biernacki P and Waldorf D (1981) Snowball Sampling: Problems and Techniques of Chain Referral Sampling. *Sociological Methods & Research* 10(2). SAGE Publications Inc: 141–163. DOI: [10.1177/004912418101000205](https://doi.org/10.1177/004912418101000205).
- Bouricius TG (2013) Democracy Through Multi-Body Sortition: Athenian Lessons for the Modern Day. *Journal of Deliberative Democracy* 9(1). 1. University of Westminster Press. DOI: [10.16997/jdd.156](https://doi.org/10.16997/jdd.156).
- Broadhead RS and Rist RC (1976) Gatekeepers and the Social Control of Social Research. *Social Problems* 23(3): 325–336. DOI: [10.2307/799778](https://doi.org/10.2307/799778).
- Browne K (2005) Snowball sampling: using social networks to research non-heterosexual women. *International Journal of Social Research Methodology* 8(1). Routledge: 47–60. DOI: [10.1080/1364557032000081663](https://doi.org/10.1080/1364557032000081663).
- Crenshaw K (1990) Mapping the Margins: Intersectionality, Identity Politics, and Violence against Women of Color. *Stanford Law Review* 43(6): 1241–1300.
- Docherty I, Goodlad R and Paddison R (2001) Civic Culture, Community and Citizen Participation in Contrasting Neighbourhoods. *Urban Studies* 38(12). SAGE Publications Ltd: 2225–2250. DOI: [10.1080/00420980120087144](https://doi.org/10.1080/00420980120087144).
- Dryzek J (2009) The Australian Citizens' Parliament: A World First. *Journal of Deliberative Democracy* 5(1). 1. University of Westminster Press. DOI: [10.16997/jdd.73](https://doi.org/10.16997/jdd.73).
- Ellard-Gray A, Jeffrey NK, Choubak M, et al. (2015) Finding the Hidden Participant: Solutions for Recruiting Hidden, Hard-to-Reach, and Vulnerable Populations.

- International Journal of Qualitative Methods* 14(5). SAGE Publications Inc: 1609406915621420. DOI: [10.1177/1609406915621420](https://doi.org/10.1177/1609406915621420).
- Freeman T (2006) 'Best practice' in focus group research: making sense of different views. *Journal of Advanced Nursing* 56(5): 491–497. DOI: [10.1111/j.1365-2648.2006.04043.x](https://doi.org/10.1111/j.1365-2648.2006.04043.x).
- Ganga D and Scott S (2006) Cultural 'Insiders' and the Issue of Positionality in Qualitative Migration Research: Moving 'Across' and Moving 'Along' Researcher-Participant Divides. *Forum Qualitative Sozialforschung / Forum: Qualitative Social Research* 7(3). 3. DOI: [10.17169/fqs-7.3.134](https://doi.org/10.17169/fqs-7.3.134).
- Goodman LA (1961) Snowball Sampling. *The Annals of Mathematical Statistics* 32(1). Institute of Mathematical Statistics: 148-170.
- Hanza MM, Goodson M, Osman A, et al. (2016) Lessons Learned from Community-Led Recruitment of Immigrants and Refugee Participants for a Randomized, Community-Based Participatory Research Study. *Journal of Immigrant and Minority Health* 18(5): 1241–1245. DOI: [10.1007/s10903-016-0394-2](https://doi.org/10.1007/s10903-016-0394-2).
- Harkins C, Shaw R, Gillies M, et al. (2010) Overcoming barriers to engaging socio-economically disadvantaged populations in CHD primary prevention: a qualitative study. *BMC Public Health* 10(1): 391. DOI: [10.1186/1471-2458-10-391](https://doi.org/10.1186/1471-2458-10-391).
- Heckman J (1990) Varieties of Selection Bias. *The American Economic Review* 80(2). American Economic Association: 313–318.
- Heckathorn DD (1997) Respondent-Driven Sampling: A New Approach to the Study of Hidden Populations\*. *Social Problems* 44(2): 174–199. DOI: [10.2307/3096941](https://doi.org/10.2307/3096941).
- Heckathorn DD (2002) Respondent-Driven Sampling II: Deriving Valid Population Estimates from Chain-Referral Samples of Hidden Populations. *Social Problems* 49(1). [Oxford University Press, Society for the Study of Social Problems]: 11–34. DOI: [10.1525/sp.2002.49.1.11](https://doi.org/10.1525/sp.2002.49.1.11).
- Heckathorn DD (2011) SNOWBALL VERSUS RESPONDENT-DRIVEN SAMPLING. *Sociological methodology* 41(1): 355–366. DOI: [10.1111/j.1467-9531.2011.01244.x](https://doi.org/10.1111/j.1467-9531.2011.01244.x).
- Hobson K and Niemeyer S (2011) Public responses to climate change: The role of deliberation in building capacity for adaptive action. *Global Environmental Change* 21(3). Symposium on Social Theory and the Environment in the New World (dis)Order: 957–971. DOI: [10.1016/j.gloenvcha.2011.05.001](https://doi.org/10.1016/j.gloenvcha.2011.05.001).
- Jokela-Pansini, Maaret. (2021). Body Mapping as a Feminist Visual Method: Exploring the Field Through the Body. 69-82. 10.1007/978-3-662-61965-0\_6.
- Johnston LG and Sabin K (2010) Sampling Hard-to-Reach Populations with Respondent Driven Sampling. *Methodological Innovations Online* 5(2). SAGE Publications: 38–48. DOI: [10.4256/mio.2010.0017](https://doi.org/10.4256/mio.2010.0017).

- Katigbak C, Foley M, Robert L, et al. (2016) Experiences and Lessons Learned in Using Community-Based Participatory Research to Recruit Asian American Immigrant Research Participants. *Journal of Nursing Scholarship* 48(2): 210–218. DOI: [10.1111/jnu.12194](https://doi.org/10.1111/jnu.12194).
- Kirchherr J and Charles K (2018) Enhancing the sample diversity of snowball samples: Recommendations from a research project on anti-dam movements in Southeast Asia. *PLoS ONE* 13(8): e0201710. DOI: [10.1371/journal.pone.0201710](https://doi.org/10.1371/journal.pone.0201710).
- Manzo LC and Brightill N (2007) Toward a participatory ethics. In: *Participatory Action Research Approaches and Methods*. Routledge.
- Marshall F, Dolley J and Priya R (2018) Transdisciplinary research as transformative space making for sustainability: enhancing propoor transformative agency in periurban contexts. *Ecology and Society* 23(3). Resilience Alliance Inc. Available at: <https://www.jstor.org/stable/26799132>.
- Mason J (2002) *Qualitative Researching*. Second edition. London: SAGE Publications.
- Palinkas LA, Horwitz SM, Green CA, et al. (2015) Purposeful sampling for qualitative data collection and analysis in mixed method implementation research. *Administration and policy in mental health* 42(5): 533–544. DOI: [10.1007/s10488-013-0528-y](https://doi.org/10.1007/s10488-013-0528-y).
- Parkinson B, Meacock R, Sutton M, et al. (2019) Designing and using incentives to support recruitment and retention in clinical trials: a scoping review and a checklist for design. *Trials* 20(1): 624. DOI: [10.1186/s13063-019-3710-z](https://doi.org/10.1186/s13063-019-3710-z).
- Renert H, Russell-Mayhew S and Arthur N (2013) Recruiting Ethnically Diverse Participants into Qualitative Health Research: Lessons Learned. *Qualitative Report* 18. Available at: <https://eric.ed.gov/?id=EJ1005491>.
- Robinson OC (2014) Sampling in Interview-Based Qualitative Research: A Theoretical and Practical Guide. *Qualitative Research in Psychology* 11(1). Routledge: 25–41. DOI: [10.1080/14780887.2013.801543](https://doi.org/10.1080/14780887.2013.801543).
- Sahakian M, Rau H, Grealis E, et al. (2021) Challenging social norms to recraft practices: A Living Lab approach to reducing household energy use in eight European countries. *Energy Research & Social Science* 72: 101881.
- Sadler GR, Lee H-C, Lim RS-H, et al. (2010) Research Article: Recruitment of hard-to-reach population subgroups via adaptations of the snowball sampling strategy. *Nursing & Health Sciences* 12(3): 369–374. DOI: [10.1111/j.1442-2018.2010.00541.x](https://doi.org/10.1111/j.1442-2018.2010.00541.x).
- Schäpke, Niko & Omann, Ines & Wittmayer, Julia & Steenbergen, Frank & Mock, Mirijam. (2017). Linking Transitions to Sustainability: A Study of the Societal Effects of Transition Management. *Sustainability*. 9. 1-36. <https://www.mdpi.com/2071-1050/9/5/737>.

- Schlosberg, D., Niemeyer, S. and Collins, L. (n.d.). Adaptation Deliberation Case Study: City of Sydney. [online] Available at: <https://sei.sydney.edu.au/wp-content/uploads/2015/10/Adaptation-Deliberation-Case-Study-City-of-Sydney.pdf>.
- Schubotz D (2020) *Participatory research: why and how to involve people in research*. SAGE Publications.
- Semaan S (2010) Time-Space Sampling and Respondent-Driven Sampling with Hard-to-Reach Populations. *Methodological Innovations Online* 5(2). SAGE Publications: 60–75. DOI: [10.4256/mio.2010.0019](https://doi.org/10.4256/mio.2010.0019).
- Shedlin MG, Decena CU, Mangadu T, et al. (2011) Research Participant Recruitment in Hispanic Communities: Lessons Learned. *Journal of Immigrant and Minority Health* 13(2): 352–360. DOI: [10.1007/s10903-009-9292-1](https://doi.org/10.1007/s10903-009-9292-1).
- Sherry R. Arnstein (2019) A Ladder of Citizen Participation, *Journal of the American Planning Association*, 85:1, 24-34, DOI: [10.1080/01944363.2018.1559388](https://doi.org/10.1080/01944363.2018.1559388).
- Smithson J (2000) Using and analysing focus groups: Limitations and possibilities. *International Journal of Social Research Methodology* 3(2): 103–119. DOI: [10.1080/136455700405172](https://doi.org/10.1080/136455700405172).
- Stirling A, Ely A and Marshall F (2018) *How Do We 'Co-Produce' Transformative Knowledge - STEPS Centre*. DOI: [10.13140/RG.2.2.25286.57920](https://doi.org/10.13140/RG.2.2.25286.57920).
- Tiffany JS (2006) Respondent-Driven Sampling in Participatory Research Contexts: Participant-Driven Recruitment. *Journal of Urban Health* 83(1): 113–124. DOI: [10.1007/s11524-006-9107-9](https://doi.org/10.1007/s11524-006-9107-9).
- Voytenko, Y. et al., (2016) Urban Living Labs for sustainability and low carbon cities in Europe: towards a research agenda, *J. Cleaner Prod.* 123, 45–54.
- Wicks, Patricia & Reason, Peter. (2009). Initiating action research. Challenges and paradoxes of opening communicative space. *Action Research - ACTION RES.* 7. 243-262. [10.1177/1476750309336715](https://doi.org/10.1177/1476750309336715).
- Wood L (2017) The Ethical Implications of Community-Based Research: A Call to Rethink Current Review Board Requirements. *International Journal of Qualitative Methods* 16(1): 1609406917748276.
- Yancey AK, Ortega AN and Kumanyika SK (2006) Effective Recruitment and Retention of Minority Research Participants. *Annual Review of Public Health* 27(1): 1–28. DOI: [10.1146/annurev.publhealth.27.021405.102113](https://doi.org/10.1146/annurev.publhealth.27.021405.102113).



# dialogues

Energy citizenship  
for a sustainable future



**LOBA<sup>®</sup>**

[www.dialoguesproject.eu](http://www.dialoguesproject.eu)

[info@dialoguesproject.eu](mailto:info@dialoguesproject.eu)

[f](#) [v](#) [t](#) [in](#) /dialoguesh2020



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101022585