



CLIMAS

CLIMAtE change citizens engagement
toolbox for dealing with Societal resilience

Deliverable 5.1 - Climate Assemblies Performance Monitoring Methodology

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Table of Contents

CLIMAS Project Overview	9
Executive summary	10
1. Introduction	11
2. Methodological approach to design the methodology	12
3. Contextualising the Climate Assemblies Performance Monitoring methodology	14
3.1 Broader environment	15
3.2 Intervention	15
3.3 Problem	16
3.3.1 Review of relevant international, national and local best practices	16
3.3.2 Synthesis of the review on problem identification	22
3.4 Decision-making	24
3.5 Evaluation	25
4. Intervention logic of Climate Assemblies Performance monitoring	26
5. Climate Assemblies performance monitoring framework	28
5.1 Monitoring process, criteria, and methods	28
5.1.1 Monitoring input	30
5.1.2 Monitoring activity criteria	32
5.1.3 Monitoring output criteria	36
5.1.4 Additional criteria and methods to consider	37
5.2 Evaluation and assessment of monitoring results	38
5.2.1 Methods for evaluation	41
6. Practical considerations of applying the methodology	44
6.1 Preparing monitoring and evaluation plan for diverse contexts	45
6.2 Analysing data and reporting findings	50
6.2.1 Effective Dissemination	51
7. Conclusion	52
References	54



Annex 1: Dimensions, categories and methods of evaluation identified	57
Annex 2: Guidance note on data collection methods	63
A1: Participant survey questionnaire	63
A2: Facilitator/expert/organizer interview questionnaire	65

List of Tables

Table 1: Identified evaluation approaches	16
Table 2: Decision-makers and users of information	24
Table 3: Input indicators	30
Table 4: Activity indicators	32
Table 5: Output indicators	36
Table 6: Criteria for outcome/impact evaluation	39
Table 7: Sample participant survey questionnaire	63
Table 8: Sample interview questionnaire	66

List of Figures

Figure 1: Steps in the methodology design process	12
Figure 2: Model of contextual elements	14
Figure 3: Intervention logical of Climate Assemblies performance monitoring	26
Figure 4: CA performance monitoring framework	28
Figure 5: CA performance monitoring process	44

CLIMAS Project Overview

Climate change is one of the most critical issues to tackle today as it is foreseen to have detrimental social, environmental, and economic impacts in the near future. The last climate change events, such as flooding in Germany and Belgium in both Continental and Atlantic regions, heat waves and lack of water in both Mediterranean and Boreal regions, show that the policymakers, experts, and stakeholders' actions are not enough, and a 360° citizens engagement is urgently needed. Therefore, we need to learn from the good experience in citizens' engagement in climate change action and build up citizens' supporting infrastructure for climate adaptation measures to help the 150 European regions and local communities to resist. Climate assemblies and Living labs are considered as sustainable and reasonable tools to stimulate deliberative democracy in climate policymaking.

The ambition of the CLIMAS project is to support a transformation to climate resilience by offering an innovative problem-oriented climate adoption Toolbox, co-designed together with stakeholders by applying a values-based approach, design thinking methods and citizen science mechanisms. All that will be carried out with a gender and diversity approach. It is expected that the use of the Toolbox will anticipate possible tensions, points of controversy and dilemmas vis-a-vis the adaptation to resilience. Therefore, the Toolbox aims at enabling empowerment and engagement strategies that produce a society "resilient by design". In addition, CLIMAS will include the empirical component for testing this Toolbox and formulating scientific based guidelines for policymakers on how to shift Climate Assemblies from technically based deliberations that belong to climate change experts to multi-stakeholder deliberations based on solving the dilemmas from a bottom-up, more societal, and value-based perspective. CLIMAS outcomes will positively influence policy development and awareness raising process and offer sustainable strategies to enhance the acceptance of citizens' led decisions by policymakers.



Executive summary

Deliverable 5.1 of the CLIMAS project delineates a data-driven methodology for monitoring the performance of Climate Assemblies, reinforcing the principles of deliberative democracy while addressing practical implementation nuances. Anchored in the OECD's Good Practice Principles, the methodology provides a framework for comprehensive evaluation, aimed at bolstering trust among all stakeholders involved in or affected by the climate deliberative process. This methodology not only aims to measure the current impact of Climate Assemblies but also to serve as a learning tool, guiding iterative enhancements to ensure strategic alignment of the assemblies' objectives with broader policy outcomes.

Structured into six key sections, the methodology systematically outlines the process from conceptualisation to practical application. The document sets the scene by introducing the methodological approach, contextualises the monitoring within the climate policy development landscape, and discusses the intervention logic. It then delves into detailing monitoring indicators and approaches, and concludes with outlining practical considerations for the application of the methodology. The inclusion of two annexes provides a literature review and guidance notes on evaluation approaches, offering a comprehensive toolkit for evaluators.

This methodological approach, as presented in the deliverable, is poised to be utilised in subsequent stages of the CLIMAS project for ongoing performance monitoring (Task 5.2) and formulating policy recommendations (Task 5.3). It underscores the importance of early integration of monitoring and evaluation into the design and assessment phases of Climate Assemblies, thus ensuring that evaluation is a continuous thread rather than an afterthought. Despite inherent challenges such as stakeholder diversity, data limitations, and funding constraints, this methodology promises to enrich climate governance with targeted, context-specific evaluations that are crucial for the accuracy and relevance of monitoring outcomes, fostering a future of informed, engaged, and empowered citizens in climate policy deliberation.



1. Introduction

According to the OECD Good Practice Principles for Deliberative Processes for Public Decisions (2021), timely and thorough evaluations build trust among policymakers, the public, and stakeholders, particularly for those not directly involved in the deliberative process. This trust is anchored in the transparency and demonstrated quality of the process and its outcomes. The OECD also highlights that evaluation serves as a tool for learning and iterative improvement. In general, when the purpose of an evaluation is clearly defined at the outset, it ensures that the focus of the evaluation is aligned with the strategic outcomes and objectives, enhancing the relevance and utility of the data collected.

Deliverable 5.1 presents a data-driven **Climate Assemblies Performance Monitoring methodology** and details the process of its design. It is prepared in the context of Work Package 5 of CLIMAS project which seeks to elaborate recommendations for policymakers i.e., analysing and evaluating data collected through implementation of the project and designing recommendations for policy makers to support climate resilient society through more democratic forms of citizen engagement. Inputs from other key CLIMAS deliverables (i.e., CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies, D2.3 - Report presenting the current situation in EU regions and local communities regarding their capacity to engage with end-users, D3.2 - Methodological guidelines and manual for setting-up and facilitating Climate Assemblies), insights of CLIMAS consortium partners and previous experience in evaluation of Climate Assemblies were key in building a robust methodological approach.

The methodology will be used during various stages of the CLIMAS project to measure (qualitatively and quantitatively) the performance and impact of Climate Assemblies. The deliverable and methodology will have practical value after the end of the project for different Climate Assemblies monitoring their performance and for policymakers in terms of long-term - citizens' engagement. The methodology will be useful for policymakers, organizers of CA's and research community. The document is structured as follows:

- **Section 2** introduces the methodological approach for designing the monitoring methodology;
- **Section 3** contextualizes the monitoring methodology and sets a common vision of Climate Assemblies and climate policy development, and where monitoring and evaluation fit in this policy setting;
- **Section 4** provides an intervention logic of monitoring and evaluation;
- **Section 5** introduces the monitoring indicators and approaches;
- **Section 6** outlines practical considerations in applying the monitoring methodology.

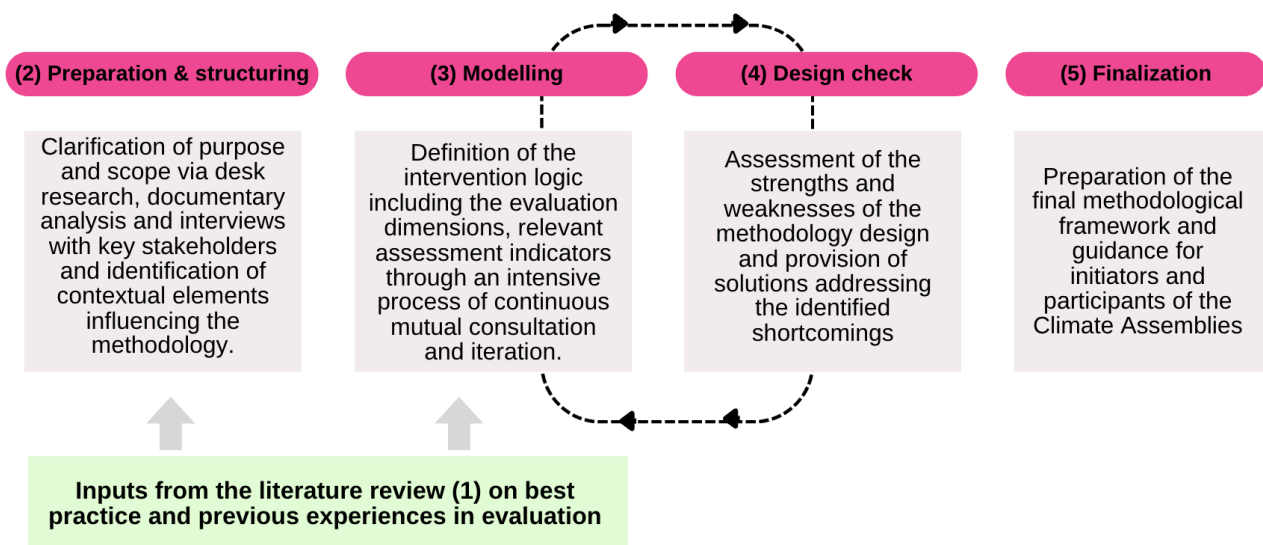
The deliverable includes two annexes: Annex 1 – provides an overview of dimensions, categories and evaluation methods identified during the literature review; Annex 2 – provides guidance notes on evaluation approaches used to collect relevant data.



2. Methodological approach to design the methodology

The design process of the *Climate Assemblies Performance Monitoring methodology* applied Iterative Design approach (Simonsen & Hertzum, 2010). This method encapsulates the multi-phase, collaborative nature of the process, emphasising the iterative development and stakeholder engagement. Each phase builds upon the outcomes of the previous one, allowing for continuous feedback and adaptation. The design process was divided into five broad phases. Figure 1 below outlines the overall approach to the design of the methodology.

Figure 1: Steps in the methodology design process



Source: developed by the study team (2023)

Stage 1: Review of relevant international and national best practices. This initial stage involved a thorough review of international and national best practices in assessing Climate Assemblies, such as the KNOCA evaluation approach, and other citizen engagement mechanisms like the Digital Co-Creation Index. By examining existing evaluation approaches, the study team identified successful strategies and potential areas for improvement. This phase was critical for establishing a solid foundation upon which the rest of the methodology will be built, ensuring that the approach is informed by proven practices and tailored to the unique challenges of evaluating Climate Assemblies.

Stage 2: Preparation and structuring. The second stage centered on defining the purpose and scope of the monitoring by defining its contextual elements. This stage involved deep analysis and discussions with key stakeholders to ensure that the framework is aligned with the specific objectives of Climate Assemblies and is sensitive to the nuances of the climate-related issues being

addressed. The preparation phase set the direction for the monitoring and ensured that all subsequent activities were strategically aligned.

Stage 3: Modelling. During the modelling phase, the focus shifted to the modelling of intervention logic followed by identification and definition of relevant assessment indicators and evaluation methods. Using the previously established purpose as the base, the team critically assessed the selected approaches, indicators, and methods. This phase was iterative and involved extensive collaboration within the study team, including workshops to ensure that the framework meets the goals of CLIMAS. It was a dynamic phase where the theoretical aspects of the framework were tested and refined.

Stage 4: Design check. The design check phase was a rigorous assessment of the evaluation design's strengths and weaknesses. The study team worked collaboratively with the consortium to fine-tune the approach. A significant event in this phase was the Vienna consortium meeting (Dec, 2023), which served as a platform for presenting the methodology and engaging in a workshop to solicit feedback and propose improvements. This phase ensured that the evaluation design is robust, comprehensive, and capable of capturing the nuances of Climate Assembly performance.

Stage 5: Finalisation. The finalisation phase was two-fold. It involved finalising the methodology by incorporating all feedback and producing a polished version of the framework. It also emphasised the effective dissemination of the analytical framework, providing practical guidance for CA stakeholders on applying the methodology. This includes detailing how the methodology can be practically applied within CLIMAS's Climate Assemblies and beyond, particularly in designing policy recommendations. The methodology is expected to serve the needs of policymakers, CA organizers, and the research community by offering a tool for ongoing monitoring of performance and facilitating long-term citizen engagement in climate policy.

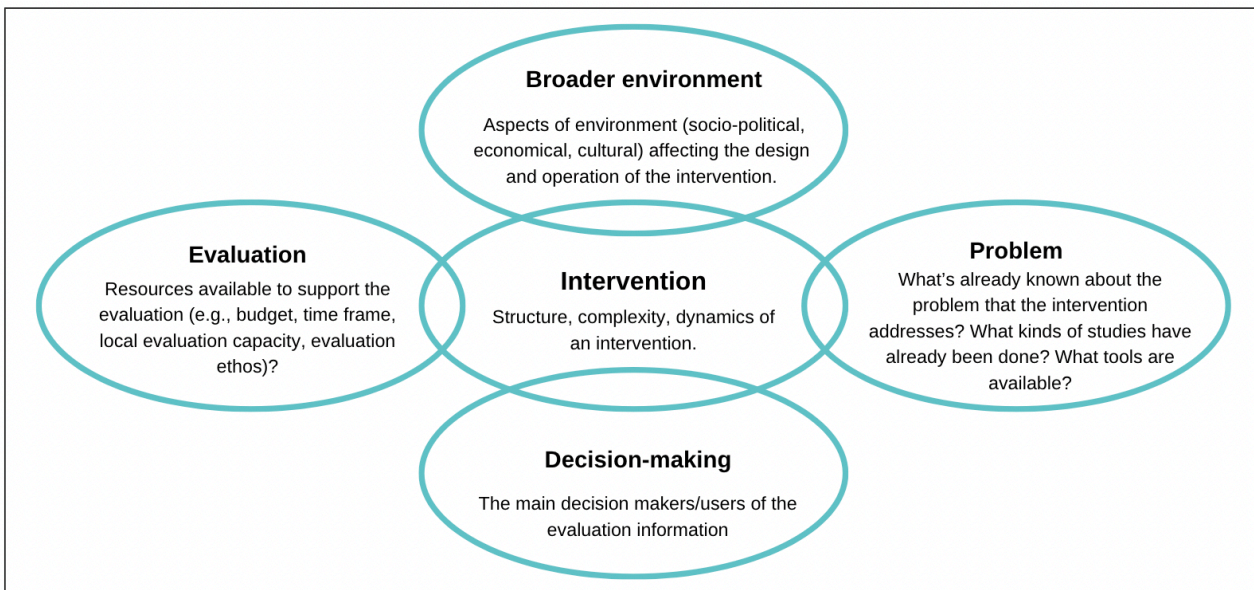
Such method aligns with contemporary approaches to evaluation which prioritize adaptability, continuous learning, and responsiveness to complex, real-world conditions—characteristics that are essential for evaluating dynamic and nuanced processes like Climate Assemblies.



3. Contextualising the Climate Assemblies Performance Monitoring methodology

A first necessary step in the provision of a general Climate Assemblies Performance monitoring methodology is to agree on a common vision of Climate Assemblies and climate policy development, and where monitoring and evaluation fit in this policy setting. In achieving the clarity of the scope and purpose guiding the evaluation, we have adapted Rog's (2012) model of contextual parameters which suggest that any intervention (in this case, a Climate Assembly) is situated within multiple contexts including: (1) context of the problem or the phenomenon being addressed, (2) context of the intervention being examined, (3) broad environment or setting in which the intervention is being studied, (4) parameters of the evaluation itself, and (5) broad decision-making context (see Figure 2). Rog's contextual parameters set the scene within which an intervention occurs and may be subsequently evaluated.

Figure 2: Model of contextual elements



Source: developed by the study team based on Rog (2012).

The author suggests that evaluations should start with understanding the context and only then decide which evaluation model, design or approach fits the context the best (i.e., method-oriented evaluation model vs. context-sensitive evaluation model). The following sections outline each of the five contextual elements influencing the evaluation based on the objectives of the CLIMAS project, engagement with CLIMAS stakeholders and wider work in deliberative democracy and established best practice guidelines (e.g., Evaluating Deliberative Democratic Designs, OECD Good Practice Principles for Deliberative Processes for Public Decisions and KNOCA' Impact evaluation framework for climate assemblies).

3.1 Broader environment

The evaluation of Climate Assemblies will take place within the nascent context of European Union-led initiatives that promote the establishment and growth of these deliberative forums. The EU's impetus behind Climate Assemblies reflects an emergent strategy to integrate citizen participation directly into climate action policies, aligning with the broader objective of fostering climate resilience across the continent. This emergent phase of Climate Assemblies, largely influenced by the EU's encouragement¹, presents a unique opportunity for evaluation. As these assemblies are in their initial stages, the evaluation can provide critical insights into their design, implementation, and early outcomes. This will be particularly valuable for understanding the dynamics of citizen engagement, the efficacy of the assemblies in influencing policy, and their role in empowering communities to take climate action. The EU's push for such assemblies underscores a commitment to deliberative democracy and recognises the need for innovative approaches to climate policy that are inclusive of diverse voices.

3.2 Intervention

In the face of the recent climate events, it has become evident that traditional actions taken by policymakers, experts, and stakeholders are insufficient. A more comprehensive approach to citizen engagement is urgently needed to build support structures for climate adaptation measures. Climate Assemblies are becoming a significant component in the broader environmental context as a means to address the challenges of climate change through enhanced citizen engagement. They serve as platforms where a group of citizens, randomly selected to represent a broad demographic spectrum, can engage in discussions, share experiences, and contribute to decision-making on climate action. Deliberative democracy, as an inclusive form of governance, is predicated on the idea that decision-making should be achieved through dialogue and discussion, leading to a collective agreement that is informed by a diverse range of perspectives.

The nature of the intervention that CAs represent is complex and multifaceted. They operate within a variety of political and institutional contexts, and as such, they have proliferated in different designs and on a multitude of topics. The characteristics of CAs reflect a desire to transcend short-term political cycles that often impede long-term climate strategies. By bringing together citizens chosen by lottery, CAs aim to create a strong social mandate focused on long-term solutions, co-design actionable plans, build public trust, and ensure social justice through an inclusive approach. In this context, the evaluation framework should be designed to not only assess the effectiveness of Climate Assemblies but also to contribute to the evolving practice of public participation in climate governance, offering recommendations that could refine and enhance the assemblies as they continue to develop.

¹ The European Climate Foundation and many governments promoted and financed the implementation of various Climate Assemblies across Europe. Both public bodies and civil society institutions have established Climate Assemblies at different levels of governance, triggered by a variety of factors and with a variety of outcomes (Reference?)

3.3 Problem

While CAs are seen as a tool for democratic innovation and a revitalizing force for climate action, questions remain about the actual impact of their recommendations on public policy (Thorman & Capstick, 2022). Hence, the evaluations serve a critical role in guiding CA development and integration into the broader framework of policy-making, particularly in the context of climate action. The primary problem addressed by such evaluations is the urgency to transition toward societies that are not only climate-neutral but also resilient. In the context of the CLIMAS project, the evaluation focuses on validating and improving the process of CAs to better integrate them into European climate policy-making. It is a tool to justify the mainstreaming of CAs across the EU by demonstrating their efficacy through empirical insights.

In this regard, the evaluation of Climate Assemblies has evolved to include a diverse range of methodologies which serve as an important background for the monitoring framework. The following sections outline the available evaluation approaches with the aim of identifying the key problems with Climate Assembly evaluations.

3.3.1 Review of relevant international, national and local best practices

The study team searched and identified relevant sources and screened for relevant information regarding the evaluation of Climate Assemblies. Systematic desk research focused on identifying, screening, mapping, and cross-analysis of: (a) conceptual approaches to measure, assess, and evaluate Climate Assemblies; and (b) functioning assessment arrangements focused on Climate Assemblies (defined by other organizations which already conducted CA’s). Four key types of sources were used for analysis: (1) academic articles, (2) all relevant publicly accessible information on the functioning assessment schemes and arrangements, (3) policy papers, reports, plans, and proposals for improvement of such existing arrangements or developing the new ones as well as (4) collaborative identification of practices by the consortium (see Annex 1 for details). The findings of this sub-task are summarized in Table 1 below.

Table 1: Identified evaluation approaches

Citizens’ Assembly for Northern Ireland (2018)	Evaluation of Climate Assembly UK (2021)
Digital Co-Creation Index Methodology (2019)	Evaluating Deliberative Democratic Designs: Theory of Change and Citizen’s Assembly Pilot in Lebanon (2021)
Evaluation of the Citizens’ Assembly on the Inquiry of Long-Term Funding of Adult Social Care (2019)	Evaluation Report of the Austrian Climate Citizens' Assembly (2022)
An Evaluation Framework for Sustainability Transition Experiments (2019)	Scotland’s Climate Assembly – process, impact and assembly member experience (2022)
Global Assembly on the Climate and Ecological Crisis (2021)	Impact Evaluation Framework for Climate Assemblies (KNOCA, 2022)

OECD Evaluation Guidelines for Representative Deliberative Processes (2021)	De Gruyter Handbook of Citizens' Assemblies (2023)
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Source: developed by study team (2023)

After the initial screening, only the sources and identified practices that provide relevant insight into assessing Climate Assemblies were retained for further analysis. The study team extracted the categories of definitions, impact mechanisms, methods of assessment, indicators, data sources, and identified overlaps. This exercise helped to point out the recurrent constructs in their operationalization which can then be used to integrate broader concepts of CA evaluation. In total, 12 approaches were identified for further analysis in construction of the framework.

3.3.1.1 Conceptual approaches and taxonomies

The conceptual approaches in this section focus on understanding and analysing concepts, theories, and ideas related to evaluation of deliberative democracy tools, more specifically Climate Assemblies. They emphasize abstract thinking, theoretical frameworks, and the exploration of underlying principles. Conceptual approaches involve theoretical discussions, hypothesis generation, and the exploration of relationships between variables or ideas.

De Gruyter Handbook of Citizens' Assemblies (Caluwaerts & Reuchamps, 2023)

The *De Gruyter Handbook of Citizens' Assemblies* showcases the state of the art around the study of CAs and opens novel perspectives informed by multidisciplinary research and renewed thinking about deliberative participatory processes. It discusses the latest theoretical, empirical, and methodological scientific developments on CAs and offers a unique resource for scholars, decision-makers, practitioners, and curious citizens to better understand the qualities, purposes, promises but also pitfalls of Citizen Assemblies. Section 18 of the Handbook looks into evaluation of citizen assemblies (**criteria, methods and tools**). The chapter builds on the OECD's criteria and on previous frameworks for evaluating Citizen Assemblies.

An evaluation framework for sustainability transition experiments (Williams & Robinson, 2020)

A three-part evaluation framework aims to assess the **process** (inputs, external context, enabling conditions, methods, supporting transition, scope, governance), **societal effects** (individual capacity, usable products, networks and relationships, institutional change, climate/energy effects), and **sustainability transition impacts** of sustainability transition experiments (STEs). The framework incorporates key insights from multiple literatures and establishes indicators for evaluating these experiments, with a particular emphasis on longer-term sustainability impacts. The authors of the framework introduce a development pathway approach that organises elements of sustainability transition impact into a coherent framework, highlighting the inter-relationships between different levels of scales in systems transition.

Digital Co-Creation Index (Skaržauskienė & Mačiulienė, 2019)



The index considers a variety of aspects in the transformation to co-creative systems: **socio-cultural contexts, multi-stakeholder perspective, diversity in needs, incentives for participation of different groups and cooperation capabilities**. The framework provides a useful approach to explore initiatives of digital co-creation as it allows us to identify potential areas of improvement and to compare case studies on common indicators. The assessment methodology is developed using a pragmatic mixed-method research design where the theoretical framework summarizes current research progress on the topic and the expert interviews allow to condense the complex and multi-dimensional realities for decision-makers seeking social innovations. The Digital Co-Creation Index strengthens the scientific evidence regarding the potential of co-creation in developing social innovations and provides a managerial framework for developing co-creative initiatives.

3.3.1.2 *Functioning assessment arrangements*

The functioning approaches focus on assessing or evaluating the actual performance, functionality, or effectiveness of a system, process, or entity related to deliberative democracy tools and more specifically Climate Assemblies. Such approaches emphasize practical implementation, real-world outcomes, and empirical observations. The approaches discussed in this section involve data collection, measurement, analysis, and the assessment of outcomes or results.

Evaluation of Climate Assembly UK (Elstub et al., 2021)



The Evaluation of Climate Assembly UK (CAUK) was based on the analysis of Evaluation of Climate Assembly UK report. The evaluation approach assesses the extent to which CAUK promoted norms of deliberative democracy and met established standards of Citizens' Assemblies. Deliberation was defined as an inclusive approach to decision-making in which participants justify what they want with reasons and listen to each other's justifications respectfully and with an open mind. In addition, the study assessed the relationship CAUK had to parliament, climate policy, the media, and the public.

Six evaluation dimensions were used: Assembly Members (AM); Witnesses and evidence; Deliberation, Facilitation and Decision-Making; Impact on Assembly members; Impact on Parliament and Policy; Impact on Public and Media. **Main evaluation methods** in order to evaluate the dimensions were: the surveys of AMs, supplemented with researchers' observation fieldnotes, a survey of the expert witnesses, interview data from MPs (Members of the Parliament?), Parliamentary staff, CAUK organisers and AMs, as well as analysis of the transcripts of small group discussions. Content analysis of the small group discussions, non-participant observations to assess the quality of deliberation in CAUK were also applied. A series of interviews with committee Chairs

and Clerks and central government civil servants with portfolios relevant to CAUK agenda were conducted. Impact on Public and Media dimension were evaluated based on the results of three population surveys completed at the start (wave 1, 24th January 2020) and end (wave 2, 20th May 2020) of CAUK and at the report launch (wave 3, 14th September 2020), as well as summaries of the publicity surrounding these milestones, supplied by Parliament.

Evaluation of the Citizens' Assembly on the Inquiry of Long-Term Funding of Adult Social Care (Elstub et al., 2019)



This report provides an evaluation of the impact on the participants and Parliament of the recent Citizens' Assembly on Social Care (CASC) (held in which country?) that was commissioned by the Health and Social Care Select Committee and the Housing, Communities and Local Government Select Committee from the House of Commons and organized by Involve in May 2018. The 47 CASC participants were **surveyed** at the end of the process to gain insight into how they perceived the experience on following **dimensions**: information they received from fellow participants and the witnesses; their opportunities to express their own views; the extent their opinions of social care funding changed during the process; and overall whether they think CAs should be used more frequently. In addition, 7 **semi-structured interviews** were conducted and analysed by the evaluation team to ascertain the views of the committee members and staff across the two committees that commissioned the CASC. Following evaluation **dimensions** were considered: benefits and limitations CASC brought to their inquiry; how CASC compared to other inputs into the inquiry; whether the inclusion of CASC led to changes in how the inquiry operated; and whether they think SCs (??) should run more CAs in the future to support their inquiries.

Citizens' Assembly for Northern Ireland (Pow & Garry, J2019)



The first Citizens' Assembly for Northern Ireland consisted of 75 citizens, selected to be broadly representative of Northern Ireland's population. It met over two weekends in Autumn 2018. The Summary of participants evaluations focused on their opinions about the **issue** (knowledge about the issue, importance of the issue, politicians' handling of the issue, attitudes to aspects of social care) and the **process** (quality of discussion, opportunities to participate, quality of facilitation, quality, nature and impact of argumentation, interest motivation, usefulness of citizen's assemblies in political decision making).

Evaluating deliberative democratic designs: Theory of Change and Citizen’s Assembly Pilot in Lebanon



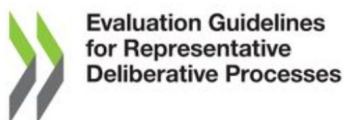
Deliberative designs are based on deliberation and consensus-making rather than traditional preference aggregation and voting. However, evaluating deliberative designs is often challenging because of the conflicts between theory and practice. Furthermore, most evaluation frameworks are case-specific and cannot be used for comparative analysis. The essay seeks to address this problem by creating a framework based on the Theory of Change and applying the framework to a citizens’ assembly pilot in Lebanon.

Scotland's Climate Assembly - process, impact and assembly member experience: research report (Andrews et al., 2022)



This report presents findings from independent research into Scotland’s Climate Assembly. This research report covers assembly process including organisation, remit and evidence; assembly member experience including participation, learning and climate attitudes; assembly member and public support for the Assembly and its recommendations; impact of the Assembly on climate change debate and policy in Scotland; outcomes for members including climate action and civic attitudes and participation. The main goal of the report is to define key factors affecting the quality of the Assembly, and the impact of the Assembly on government policy and public debate in Scotland. **Three evaluation dimensions were used:** organization of the assembly, support for the Assembly, impact on climate policy and debate. **Data sources analyzed for this report include:** (1) online member surveys, conducted prior to Assembly starting and after each Weekend meeting; (2) non-participant observation of Assembly small group discussions; (3) audio recordings of Assembly small group discussions; (3) qualitative semi-structured interviews and a qualitative survey; (4) population survey by Deltapoll with representative sample of 1917 adults in Scotland; (5) evidence presentations from the Assembly; (6) the Assembly report; (7) secondary data on climate and civic attitudes; (8) Scottish Government policy documents and (9) media coverage.

OECD Evaluation Guidelines for Representative Deliberative Processes (OECD, 2021)



The main goal of evaluations of deliberative processes, such as Climate Assemblies, is to develop best practice. The guidelines, which are not specific to Climate Assemblies, are based on three steps, broadly representing elements of evaluation that occur before, during, and after a deliberative process. The evaluation approach was focused on clear and suitable purpose, unbiased framing,

suitable design, transparency and governance, representativeness and inclusiveness, accessible, neutral, and transparent use of online tools, quality of judgement, perceived knowledge gains by members, accessibility and equality of opportunity to speak, respect and mutual comprehension, free decision-making and response, respect for members' privacy, influential recommendations. **Three evaluation dimensions were used:** Process design integrity, Deliberative experience, Pathways to impact. **Main evaluation methods** included Member survey, Public survey, Organiser or expert witness survey, Document review, Open-ended Interviews, Media coverage review, Deliberation observation, Policy analysis.

Evaluation Report of the Austrian Climate Citizens' Assembly (Buzogány et al., 2022)

Evaluation Report of the Austrian Climate Citizens' Assembly presents the results of a mixed-method design study. To evaluate the various dimensions of a CCA (Climate Citizen Assembly), the authors followed the distinction proposed by Papadopoulos and Warin (2007) in assessing the effectiveness and legitimacy of democratic processes. Openness and access are regarded to be the main indicators for "input legitimacy", the quality of democratic activity for procedural "throughput legitimacy", and effectiveness as an indicator for "output-legitimacy" (see also Scharpf, 1999; Schmidt, 2013).

The evaluation focused on the following **dimensions**: (1) process (voice and decision rules, discourse quality, debate dynamics, public authority attitude); (2) input (representativeness, selection criteria, personal and economic resources, specific goals) and (3) output (effects on policies, effects on participants, effects on accountability). **The following evaluation methods** were used to deliver the empirical findings of this report: document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review. Those evaluation methods were monitoring effects on policies, effects on participants, effects on accountability (transparency & publicness).

Impact evaluation framework for Climate Assemblies (KNOCA)



The impact evaluation framework recognizes that impact comes in different shapes and forms. The current framework distinguishes **two dimensions of impact**: (1) areas of impact (policy, social, and systemic) and (2) types of impact (instrumental, conceptual, and capacity building). It encourages researchers and evaluators to consider the full range of potential impacts of Climate Assemblies. The framework approach provides guidance on critical considerations in evaluation, including timing and methods. Instrumental impacts encompass effects on policies, practices, and behaviours within the broad impact categories of policy, social, and systemic change. Conceptual impacts encompass changes to thinking by key actors including changes to knowledge, understanding and attitudes. Key actors in policy include those involved in policy-making such as civil servants, politicians, or councillors, etc. In the social impact category key societal actors include journalists and editors, and

those working with and for relevant businesses and third-sector organisations. Capacity-building impacts capture a number of changes that improve skills, confidence and resources to enable key actors and organisations/institutions to help address the recommendations from the assembly and delivery climate action.

Global Assembly on the Climate and Ecological Crisis (GAC)

Evaluation Report examines both the strengths and shortcomings of the GAC, staring the difficulties straight in the face. As such, it performs a valuable service to the “community of practice” that will take the idea of global citizen deliberation forward. Evaluation was focused on three **dimensions** (1) tensions between a forum designed to realize the principles of deliberative democracy and the contexts in which the forum took place; (2) tensions within the Global Assembly’s ‘community of practice’ and the Assembly Members and (3) tensions between researchers who have their own academic and political views on the role of citizens’ assemblies in global governance.

The following evaluation methods were used: (1) 48 in-depth interviews with Assembly Members, Cluster Facilitators, Community Hosts, facilitators, founding partners, members of the Central Circle, and advisers from the Knowledge and Wisdom Committee; (2) Surveys administered before and after the Global Assembly; (3) Direct observation of small group deliberations and plenary sessions documented through fieldnotes; (4) Transcripts of breakout groups (sample); (5) Documentary analysis of the information packet, minutes of meetings of the Knowledge and Wisdom Committee, and briefing documents given to Community Hosts, among others and (6) Analysis of the content and delivery of expert testimonies available on YouTube.

3.3.2 Synthesis of the review on problem identification

The frameworks discussed above guide evaluators through a systematic examination of the CAs' integrity, experience, and eventual impact, ensuring that evaluations are comprehensive, and results are actionable. The analysis of current approaches used for understanding and evaluating the impact of CAs showed that they hinge on several pivotal criteria:

- **Input Dimension:** This aspect scrutinizes the assembly's foundational structure, prioritizing representativeness and a culture of equality and inclusion. It ensures the assembly's composition mirrors societal diversity through transparent participant and witness recruitment, addressing both diversity and resource accessibility. The agenda's development is critically evaluated for openness, alignment with goals, and the thorough provision of diverse evidence, upholding the integrity and independence of the assembly's initiation.
- **Process Dimension:** Evaluating the internal workings of the CA, this dimension stresses equal participatory opportunities and deliberative autonomy. The evaluative focus is on how discussions are facilitated, the quality of decision-making, and the transparent interplay of arguments and ideas. The use of innovative technologies and risk management strategies is also considered, ensuring process integrity, especially in digital settings. The overall deliberative

experience, characterized by effective discourse and independent governance structures, is a key factor in this dimension.

- **Outcomes/Impacts Dimension:** This final dimension addresses the tangible and wider impacts of the CA's activities, seeking to quantify public and political receptivity to the assembly's recommendations. It examines the implementation effectiveness, public engagement levels, media attention, and the generation of public trust. Critical to this evaluation is how the CA's recommendations influence government actions and stimulate public discourse. Pathways to impact, encompassing policy influence and social and systemic change, are explored, considering instrumental, conceptual, and capacity-building effects.

Although current evaluation approaches of Climate Assemblies have contributed significantly to understanding their structure, process, and outcomes, a critical examination reveals certain gaps that, if addressed, could enhance the effectiveness and impact of these assemblies:

- One notable gap is the **limited exploration of the long-term policy impacts of CAs**. While immediate outputs, such as recommendations and reports, are often scrutinized, there is less focus on how these recommendations are translated into tangible policy actions over time. Evaluations could benefit from a longitudinal perspective that tracks the influence of CAs on policy and societal change beyond the conclusion of the assembly sessions.
- Another area that requires further attention is the **depth of participant experience analysis**. Current evaluations tend to focus on the procedural aspects of CAs, but a more nuanced examination of how these experiences affect participants' long-term civic engagement and political efficacy is needed. This would involve assessing changes in knowledge, attitudes, and behaviours resulting from participation in CAs and how these changes contribute to sustained democratic engagement and climate action advocacy.
- Additionally, evaluations often overlook the **degree to which CAs manage to permeate and influence public discourse on climate issues**. The ability of CAs to shape public opinion, raise awareness, and generate broader societal support for climate initiatives is a crucial indicator of their success. Evaluations should incorporate methods to measure the ripple effects of CAs on media coverage, public debates, and social media discourse.
- Moreover, the **inclusivity and representativeness of CAs** sometimes lack concrete, measurable criteria in evaluation frameworks. There is a need for explicit indicators that can assess the extent to which CAs are truly inclusive of diverse demographics and viewpoints, particularly from marginalized groups. Evaluations should consider not just the composition of participants but also the quality of engagement and the degree to which diverse voices are integrated into the outcomes.
- Finally, there is a gap in understanding the **institutional and political willingness to adopt CA recommendations**. Evaluations could more systematically explore the factors that influence whether and how policymakers and institutions endorse and act upon the insights and

recommendations generated by CAs. This includes assessing the political, cultural, and institutional barriers to implementing CA recommendations.

3.4 Decision-making

According to Rog (2012), a critical step in designing an evaluation is to identify the main decision-makers and users of the evaluation information, understanding their specific needs and expectations. This understanding ensures that the evaluation serves its intended purpose and provides actionable insights for those who will utilize its findings. In the context of monitoring and evaluating Climate Assemblies, the decision-makers and users of information are diverse, including commissioners, policy officials, organizers of the assemblies, and potentially, the wider public and civil society stakeholders. While the primary focus of the evaluation is on providing actionable policy recommendations (positioning policymakers as the key group for evaluation information), it is essential to recognize that the needs and expectations of other stakeholders are also integral as outlined in Table 2 below.

Table 2: Decision-makers and users of information

Stakeholder group		Needs and expectations
Key users of information	European Commission	For the European Commission, evaluation of Climate Assemblies is vital to gauge their effectiveness in scaling up citizen engagement across the EU, aligning assembly outcomes with the European Green Deal, and ensuring efficient use of funds to influence policy-making while fostering an EU-wide participatory approach to climate action. These assessments help in refining the Climate Assemblies' framework for better integration into EU policy development.
	Commissioners of Climate Assemblies	These are typically governmental or institutional authorities that have the power to initiate CAs. They require evaluations to inform policy decisions, validate the effectiveness of CAs, and justify the allocation of resources. Their primary need from an evaluation is evidence of the effectiveness of the CAs in engaging citizens and influencing policy.
	Policy officials	They are interested in the substantive outcomes of CAs, such as the quality and feasibility of the recommendations made by citizens. Their expectation from an evaluation is to gain insights into how CAs can inform policy development and to understand the potential for wider application in policy-making processes.
Other stakeholder groups	Organizers of Climate Assemblies	These may include NGOs, academic institutions, or other entities involved in the practical aspects of setting up and running CAs. They need evaluations to refine the design and facilitation of CAs, ensure that they are meeting their objectives, and learn lessons for future assemblies. They expect the evaluation to provide a detailed analysis of what works and what doesn't in the assembly process.
	Civil society and wider public	As indirect users of evaluation information, they are interested in the transparency and impact of CAs. They expect evaluations to provide a clear account of how CAs are contributing to democratic processes and climate policy and to what extent their voices are being heard and acted upon.
	Researchers	Researchers in the field of political science, environmental policy, and participatory democracy have a keen interest in the empirical data and outcomes of Climate Assemblies. Their primary needs from an evaluation are detailed data and insights that can contribute to academic discourse and advance the understanding of deliberative processes in the context of climate policy.

Source: developed by the study team (2023)

Designing an evaluation with these decision-makers and users in mind means focusing on criteria and indicators that align with their information needs. For commissioners, it may involve measuring the alignment of CA outcomes with policy objectives. Policy officials might focus on the implementation potential of CA recommendations. For organizers, process effectiveness and participant satisfaction are likely to be key metrics. Lastly, civil society and the public will be looking for evidence of inclusivity, transparency, and impact on policy and public discourse.

3.5 Evaluation

According to Rog (2012), considering the evaluation methods in advance is a strategic measure that underpins the entire evaluation process. It delineates a clear path for how the assessment will unfold, taking into account the overarching goals, as well as the limitations imposed by budget, time, and data availability. In the landscape of evaluating Climate Assemblies, various methods have been employed to ensure a comprehensive understanding of their efficacy (see Section 3.3.1 for an overview). Previous frameworks have utilized diverse techniques, such as in-depth interviews with stakeholders, surveys conducted at different stages of the assembly, direct observation of deliberations, and analysis of documentation and media coverage. These approaches aim to capture the multifaceted nature of CAs, examining not only the procedural integrity and the deliberative experience but also the subsequent pathways to impact.

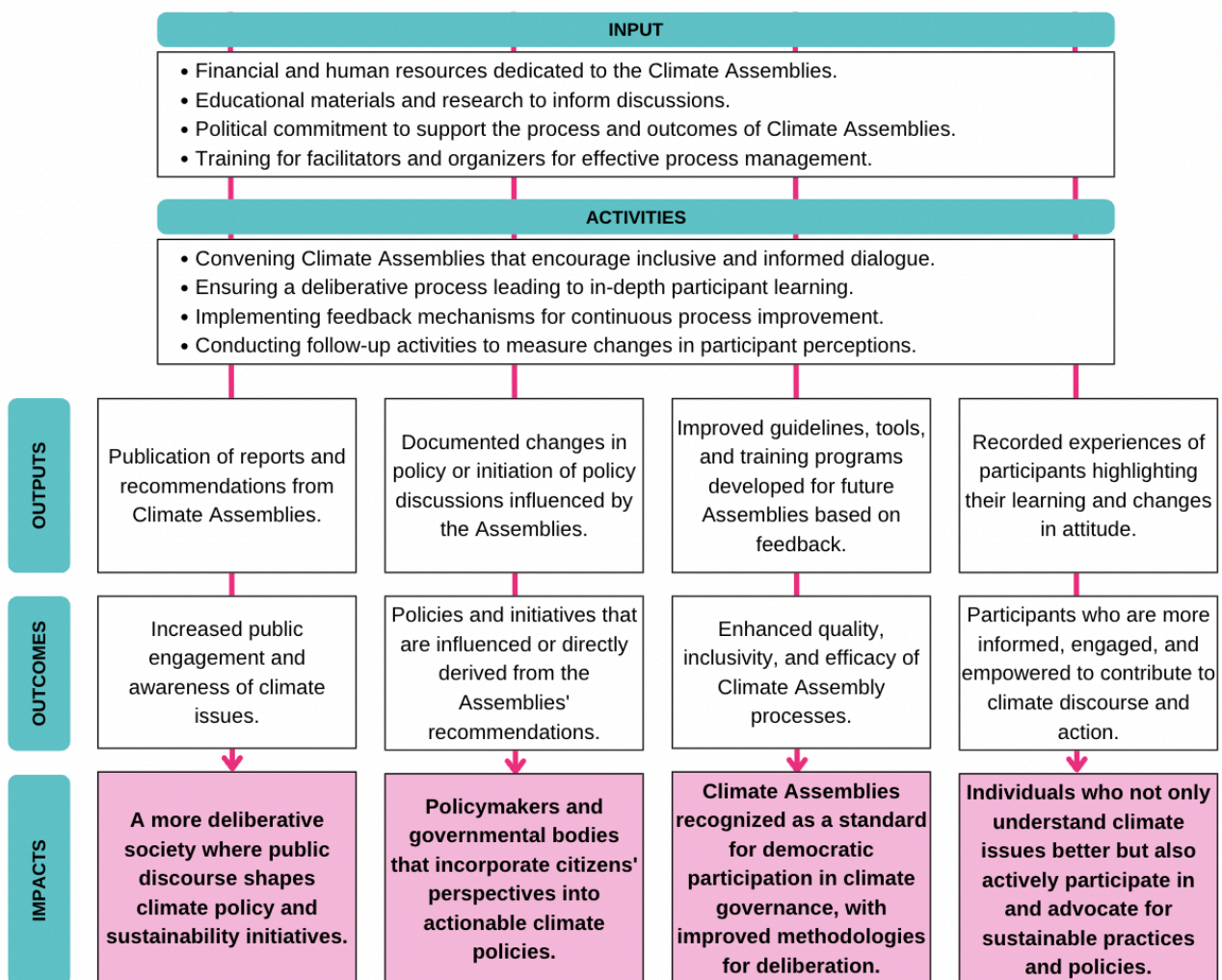
Our approach to evaluation acknowledges the constraints of budget, time, and available data, which are common challenges in this domain. Recognizing that these limitations necessitate a judicious selection of methods, we will apply a Performance Monitoring Methodology tailored to the context of CAs. This will involve **surveys** among various actors involved in the assemblies, including participants, facilitators, experts, and observers, to gauge the project's impact comprehensively. To enrich our evaluation methodology and provide a nuanced understanding of Climate Assemblies, we will incorporate desk research and interviews alongside our surveys. **Desk research/documentary review** will enable us to delve into the contextual elements that shape CAs, such as legislative frameworks, historical precedents, and cultural norms that inform climate policy and citizen engagement. By reviewing existing literature, policy documents, and case studies, we aim to ground our evaluation in a solid understanding of the broader environment in which CAs operate. Furthermore, **interviews with key stakeholders** will provide qualitative insights that surveys alone cannot capture. Through conversations with assembly organizers, participants, and policymakers, we will explore the motivations, perceptions, and experiences that underlie the quantitative data. This mixed-methods approach ensures that our evaluation not only measures the impact of CAs but also understands the stories behind the numbers, offering a comprehensive view of their effectiveness and areas for improvement. For Climate Assemblies with more resources and capabilities, we will suggest alternative data collection strategies that are tailored to their specific needs.



4. Intervention logic of Climate Assemblies Performance monitoring

After contextualization of the evaluation, the second building block clarifies the intervention logic underlying the Climate Assembly process. In general, clear logic of intervention is a requisite for effectiveness of any intervention, which also greatly facilitates and improves the effectiveness of policy monitoring and evaluation. For Climate Assemblies, in particular, drawing up an explicit intervention logic is not an easy task. This is because Climate Assemblies are still an emerging field (with a variety of implementation approaches) and the advantages associated with Climate Assemblies stem from systemic relations between policy back-up, profile of organizers, socio-political environment and other material and immaterial linkages. However, as for any intervention, an effort should be made to clarify the problems that Climate Assemblies are expected to address and to identify the measures through which they are to address these problems.

Figure 3: Intervention logic of Climate Assemblies performance monitoring



Source: developed by the study team (2023)

One way to account for the intervention logic underlying the Climate Assembly process is to resort to the distinction between diverse types of effects caused by public policy or interventions commonly used in the context of monitoring and evaluation (Organisation for Economic Co-operation and Development, 2002). Figure 3 above presents the anticipated cause and effect relationship between the inputs, activities, outputs, outcomes, and impact of the framework. The logic is that once the activities are implemented, the outputs will be achieved. The outputs then in turn, start to bring about change (outcomes) in the form of intermediate results, eventually leading to impact. In this regard, the intervention is crafted to align with the foundational principles of deliberative democracy while being attuned to the practical aspects of implementing Climate Assemblies based on the Rog's contextual parameters (discussed in Section 3):

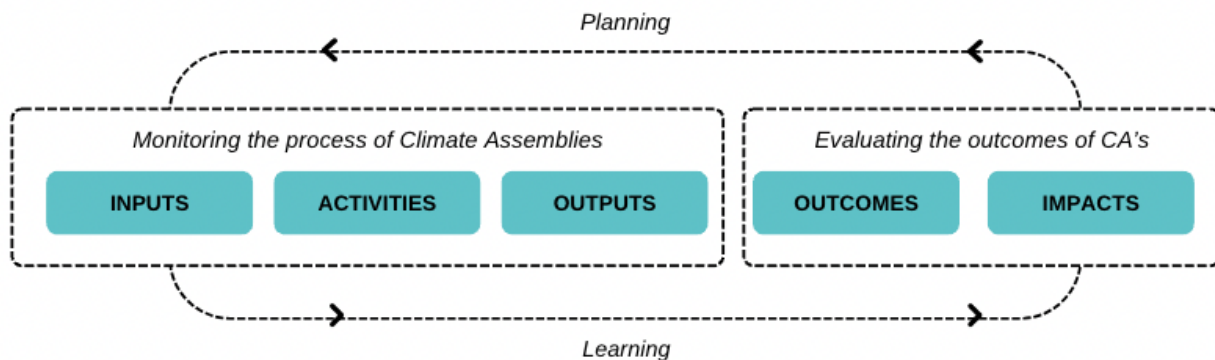
- **Impact on deliberative society:** To evaluate the contribution of Climate Assemblies towards creating a more deliberative society. This goal aims to determine the extent to which Climate Assemblies are fostering a culture of thoughtful dialogue and informed participation among the general public, promoting sustainable decision-making at all levels of society.
- **Impact on policy integration:** To assess the effectiveness with which policymakers incorporate and implement the recommendations of Climate Assemblies. This goal focuses on tracking how the insights and recommendations from Climate Assemblies are translated into actionable policy initiatives, thereby influencing the policy landscape in relation to climate action and sustainability.
- **Impact on process enhancement:** To identify and implement improvements in the deliberation processes of Climate Assemblies. This goal is centred on the continuous refinement of the assembly's methodologies to elevate the quality and democratic nature of participation. It involves evaluating and learning from each assembly to enhance future processes and organizer practices.
- **Impact on participant experience:** To understand the changes in perceptions and experiences of individual participants within Climate Assemblies. This goal revolves around the personal impact of the assemblies on participants, including changes in their understanding of climate issues, their sense of empowerment, and their willingness to engage in civic activities.

Through this structured approach, the evaluation will not only assess the efficacy of Climate Assemblies across these four dimensions but will also articulate specific, evidence-based recommendations that inform the decisions and actions of policymakers and other stakeholders who utilize this evaluation information. This ensures that the Climate Assemblies' contributions to the field of climate governance are not just noted but also optimized for future applications.

5. Climate Assemblies performance monitoring framework

Climate Assemblies Performance monitoring methodology is directly aligned with the intervention logic’s goals (Section 4), which articulates the expected long-term impacts, such as fostering a more deliberative society and influencing climate policy. The methodology consists of monitoring of the progress and evaluation of the outcomes/impacts where the monitoring components will mainly look at the inputs, activities, and intermediate outputs. The evaluation components will assess the outcomes and longer-term impacts of the Climate Assemblies.

Figure 4: CA performance monitoring framework



Source: developed by the study team (2023)

In the framework, monitoring and evaluation are not disconnected activities (as illustrated in Figure 4). Monitoring and evaluation are rather to be seen on a continuum and contribute to the same process influencing planning and learning processes of Climate Assemblies. In this regard, monitoring is dedicated to the systematic collection of relevant data and insights. This component employs a suite of methods, tools, and indicators, each chosen for its ability to capture specific aspects of Climate Assembly operations, participant experiences, and outcomes. Evaluation takes the information gathered by the monitoring efforts and subjects it to rigorous analysis. This analysis is not just descriptive but evaluative, offering insights that measure progress towards achieving the defined goals.

5.1 Monitoring process, criteria, and methods

The monitoring process is designed to systematically collect information about the Climate Assemblies' inputs, activities, and outputs. This ensures that as the assemblies are progressing, they adhere to established deliberative principles. In this regard, monitoring process provides insights into how well the foundational elements (inputs and activities) are managed and whether the immediate products or services (outputs) are being delivered as intended. In the formulation of

monitoring indicators for Climate Assemblies, our approach was informed by the analysis of diverse evaluation methods (outlined in Section 3.2 and Annex 1). We distilled these insights to select indicators that are not only the most relevant but also pragmatic recognizing that an excessive number of indicators can lead to inefficiency and can dilute the focus of the evaluation. Hence, it was essential to develop a streamlined set of indicators that are not only credible but also insightful, offering a reflection of progress.

For monitoring the input, output, and outcome indicators, a number of methods can be integrated. Our approach to monitoring methods acknowledges the constraints of budget, time, and available data, which are common challenges in this domain. In this regard, a mixed-method approach, combining both qualitative and quantitative methods is applied to capture the necessary monitoring insights. The methods respond to different objectives and use different instruments and methodologies yet are highly complementary.

- **Participant survey.** The participant survey serves as a pivotal tool for monitoring the experiential aspects of Climate assemblies. Utilizing an evaluation questionnaire, this method captures critical feedback from assembly members post-deliberation. Key areas of focus include satisfaction levels, the impact felt by participants, knowledge acquisition, and the effectiveness of the deliberative process. By ensuring confidentiality, the survey fosters an environment where participants can offer candid responses, thereby enhancing the authenticity and usefulness of the data collected. The aggregated insights provide a comprehensive view of the assembly's performance from the participants' perspective, essential for monitoring process design integrity and the overall deliberative experience. This data collection is not just a procedural formality but a critical measurement method that underpins the continual refinement and success of climate assemblies.
- **Organizer/Facilitator/Expert interview.** The facilitator or organizer interview is a critical component of Climate Assembly monitoring, designed to capture a multifaceted view of the assembly's process by collecting insights from those at the helm of its operations. This interview questionnaire targets the unique perspectives of facilitators and organizers on elements like process design, implementation, and the encountered challenges, enriching the feedback obtained from participants. Their interaction with both the assembly participants and the commissioning body equips them with a comprehensive view of the deliberative experience and the structural framework. Evaluation questions enable the extraction of pertinent information from organizers, which can serve dual purposes: as a structured survey or a framework for a collective self-evaluation and reflection. If expert witnesses participate, their responses to related questions can add depth to the understanding of the assembly's efficacy.
- **Documentary review** in the context of Climate Assemblies entails a thorough examination of written materials that detail the workings and outputs of the assembly. This method is crucial

for attaining an objective backdrop against which the subjective perceptions gathered from surveys and interviews can be measured. By analysing official reports, meeting minutes, and presentation documents, researchers can assess the assembly's representativeness, transparency, and design. Such reviews ensure the integrity of the process design and provide a factual basis for evaluating the breadth of information presented to participants. Additionally, the analysis of the decision-making process and the commissioning authority's subsequent actions offers a clear picture of the assembly's impact and effectiveness.

For each monitoring dimension, we suggest how and when to apply these methods (i.e., participant survey and facilitator/expert/organizer interviews) in further sections and provide guidance notes in Annex 2.

5.1.1 Monitoring input

Table 3: Input indicators

Criteria	Indicators	Methods
Financial and human resources	Budget rate and staff engagement levels.	Documentary review (financial reporting and staff activity logs to track resource allocation and usage). Organizer/Facilitator/Expert interview (understanding if the resources assigned to the process were sufficient).
Preparatory material provided to participants	Availability and utilization rate of materials.	Documentary review (analysis of preparatory materials' quality) Participant survey and/or interviews (assessing how well participants understand the materials and how effectively they informed discussions).
Political commitment	Level of support from political entities.	Documentary review (tracking policy engagements, statements of support, and any endorsements from political figures or bodies). Organizer/Facilitator/Expert interview (understanding the nature of political feasibility).
Facilitator preparation and training	Quality and effectiveness of facilitator training.	Organizer/Facilitator/Expert interview (evaluations of training programs; understanding what could be done better in order to prepare the facilitators for the process of CA). Participant survey and/or interviews (assessments of facilitators' performance during the assemblies).

Source: developed by the study team (2023)

Input indicators set the stage for all subsequent activities, outputs, outcomes, and impacts, offering a baseline from which the progress of the project can be measured.

Financial and human resources are the lifeblood of any project, providing the necessary fuel for activities to be carried out. A Climate Assembly's budget is a direct indicator of financial resources dedicated to organizing deliberative events. Meanwhile, staff engagement levels signify the commitment and involvement of the human capital driving the project. High engagement typically correlates with higher productivity and innovation, which are critical for the complex problem-solving required in Climate Assemblies.

The significance of **providing well-developed preparatory materials to participants** is well-documented by Agger and Lofgren (2006) and Fishkin and Luskin (2005). These materials are the backbone of participant learning, arming individuals with the knowledge required to engage in discussions that are both meaningful and substantive. It is through these resources that participants can achieve a level of 'epistemic completeness', a term used by Mucciaroni and Quirk (2006) to describe the state of being adequately informed about the issues at hand. By tracking the availability and utilization rate of educational materials, we can assess how effectively the assembly is fostering an environment conducive to informed decision-making, a key principle of deliberative democracy. Based on CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies (2023), the accessibility of the tools and materials have to be ensured to address people with diverse education, climate literacy levels and with disabilities. This has to be done in line with the universal design principles:

- Principle 1: Equitable Use* – design products and services that are useful and marketable to people in all their diversity.
- Principle 2: Flexibility in Use* – accommodate for a wide range of individual preferences and capabilities.
- Principle 3: Simple and Intuitive Use* – make products and services that are understandable, regardless of the user's experience, knowledge, language skills, or current concentration level.
- Principle 4: Perceptible Information* – communicate necessary information effectively to the user, regardless of environmental conditions or the user's sensory disabilities.
- Principle 5: Tolerance for Error* – minimize hazards and the adverse consequences of accidental or unintended actions.
- Principle 6: Low Physical Effort* – allow the product or service to be used efficiently and comfortably and with a minimum of fatigue.
- Principle 7: Size and Space for Approach and Use* – provide by design appropriate size and space, reach, manipulation, and use regardless of the user's body size, posture, or mobility.
- Principle 8: Social, spatial and economic inclusiveness* – provide equal opportunities to access digital mobility services by all social groups, regardless of their age, gender, level of income, social background, literacy, digital literacy, climate literacy, ethnicity, language or location.
- Principle 9. Security and protection of data* – protect digital information from unauthorized access, corruption, or capture along its lifecycle.

Source: CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies (CLIMAS Deliverable 3.2) (2023)

Additionally, when providing well-developed preparatory materials to participants of Climate Assemblies, it is essential to include principles that ensure the materials are accessible and inclusive. This involves mapping the participants to understand specific needs related to disabilities and ethnicity. Materials should cater to a diverse group in terms of socio-economic background, education, and ethnicity to foster inclusivity and incorporate popular and ancestral knowledge. For visually impaired users, sending materials in advance is crucial so they can familiarize themselves with the content and engage meaningfully in the discussions. These practices ensure that all participants can contribute effectively to the assembly.

Facilitator training is another crucial input indicator, directly impacting the inclusivity and equality of the deliberative process. As noted by Cohen (1989), Flyvbjerg (2001), Agger and Lofgren (2006), and Hendriks (2006), facilitators wield considerable influence over the direction and dynamics of dialogue within Climate Assemblies. Their preparation and ability to guide discussions without imposing coercive influences are paramount to the success of the assembly. Training ensures that facilitators can effectively manage the deliberative space, fostering a setting where all participants feel equally empowered to contribute. This aspect of the process is crucial for achieving equitable participation and adoption of a societal perspective that are hallmarks of a successful deliberative process.

Political commitment (political feasibility) is a nuanced but essential aspect of the Climate Assembly's potential for impact. Evaluating the political feasibility involves a deep dive into the governance structure of the CA, assessing the degree to which it is empowered by and aligned with the appropriate public decision-making authority. The political commitment to the CA, often signified by the involvement of a 'commissioner'—a public authority with decision-making clout—is crucial. Such commitment indicates not only the likelihood of the CA's recommendations being taken seriously but also the potential for substantial policy influence. However, this is not a standalone marker; even CAs initiated without a commissioner can wield significant impact if perceived as legitimate and insightful by stakeholders and the public. The number of policy engagements and the level of support from political entities are indicators of the political will to integrate the assembly's recommendations into actionable policies. This commitment is an acknowledgment of the value of the assembly's work and an assurance of the support it has within the political sphere. Tracking policy engagements and statements of support can offer insights into the likelihood of the assembly's recommendations being translated into tangible climate actions.

5.1.2 Monitoring activity criteria

Table 4: Activity indicators

Criteria	Indicator	Methods
Inclusivity and diversity of engagement (convening phase)	The proportion of participant demographics mirroring the broader population.	Documentary review (analyse participant registration data). Participant survey (conduct surveys to ensure the assembly's composition mirrors societal diversity).
Depth of participant learning (learning phase)	Change in participants' understanding of climate issues pre- and post-assembly.	Participant survey or interviews (measure the educational impact of assembly materials and discussions).
Quality of deliberation (deliberation phase)	Participant satisfaction with the quality of discussion and decision-making. Level of compliance with democratic deliberative principles.	Participant survey or interviews (capture participants' perceived quality of the deliberative process). Organizer/Facilitator/Expert interview (understanding what could be improved in the process of deliberation).
Diversity of perspectives and solutions explored (reporting phase)	Number and variety of policy options and perspectives discussed.	Participant survey (participant feedback to assess the range of ideas considered).

Facilitation effectiveness	Participant ratings of facilitator performance and neutrality.	Participant survey (evaluating facilitation quality and its impact on the deliberative experience). Organizer/Facilitator/Expert interview (understanding what could be improved in facilitation).
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Source: developed by the study team (2023)

When monitoring the activities of Climate Assemblies, we aim to capture the essence of their deliberative engagement, a core principle of their design and execution. As emphasized by Tan (2021), the strength of Climate Assemblies lies in their ability to promote respectful, inclusive, and transparent interactions among participants. The indicators developed from these principles serve as a barometer for the effectiveness of the assemblies and are critical for validating the integrity of the deliberation process. By connecting the activity criteria and indicators to the phases of convening, learning, deliberating, and reporting, we designed a structured approach that aligns the monitoring of activities with the progression of the Climate Assembly. In this regard, we trace the arc of the assembly's influence, ensuring that each step reflects a commitment to integrity in design, equity in participation, and clarity in communication.

Inclusivity and diversity of engagement (convening phase): In the initial convening phase, the diversity of the participant group is paramount. The indicator for this phase is the proportion of participant demographics mirroring the broader population, and it is monitored through the analysis of participant registration data and surveys. This focus on diversity is essential, as Elstub et al. (2022) emphasizes, to ensure that the assembly resonates with the broader societal diversity. It is a direct response to Dahl's (1970) "all-affected interests" principle, which posits that inclusivity is vital for fostering a deliberation that reflects the diversity of society. The recruitment strategies, as highlighted by Verba et al. (1995), must be designed to overcome biases and promote a broad range of views, which enriches the deliberative process by bringing a variety of perspectives and experiences into the dialogue.

Depth of participant learning (learning phase): During the learning phase, the depth of participant understanding is crucial. As Roberts et al. (2020) suggest, the legitimacy of the Climate Assemblies is contingent upon participants becoming more knowledgeable about the topics discussed. This is measured through changes in participants' understanding of climate issues before and after the assembly, typically assessed via quizzes or interviews. The materials provided must be useful, accessible, and balanced, ensuring that participants are well-prepared for informed decision-making.

Quality of deliberation (deliberation phase): The quality of the deliberative process is assessed during the deliberation phase, capturing the qualitative aspects of participants' experiences. This involves evaluating whether the environment promoted thoughtful reflection, respectful idea exchange, and collaborative problem-solving. Carson (2018) notes the importance of maintaining diversity and ensuring that power inequalities do not hinder inclusive discussions. This is further

supported by Gerber (2015), who emphasize the necessity of equal inclusion in discussions, particularly for women.

In addition to assessing the deliberative environment for thoughtful reflection and problem-solving, the facilitation of Climate Assemblies must prioritize interactive participant engagement according to the CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies (2023). Clear explanations of participatory rules and informed consent for recordings should be communicated at the beginning of each session. It is critical to establish and adhere to guidelines for respectful communication, allowing participants to introduce themselves to create a familiar and safe space. Objectives and expected outputs should be communicated clearly to maintain an effective work pace. To foster engagement, the evaluators need to share progress and learnings with the group, and ensure that the provided information is well-paced to avoid overloading or under-informing participants, which could impact their decision-making capabilities.

Diversity of perspectives and solutions explored (Reporting phase): In the reporting phase, the diversity of perspectives and solutions explored is a key indicator. This is monitored by assessing the number and variety of policy options discussed, using content analysis and participant feedback. It is essential to ensure that a wide range of ideas are considered, providing a comprehensive set of solutions that reflect the collective intelligence of the assembly.

Facilitation effectiveness: Lastly, facilitation effectiveness is a cross-cutting criterion, crucial for all phases of the assembly. It is gauged by participant ratings of facilitator performance and neutrality, with post-assembly feedback forms and follow-up interviews employed as methods. The facilitation should ensure inclusiveness, equal access to speaking opportunities, and a balance in discussion formats. It should also offer enough consideration for marginalized communities and maintain neutrality regarding the issues addressed. Based on CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies (2023), following rules of inclusive facilitation should be addressed:

1. Balance participation

- *Limit the interventions of the facilitator to leave room for participants to speak.*
- *Allow participants to have the time to express themselves.*
- *Encourage those who remain silent to give their input, even using other channels, including the written one, if necessary.*
- *Moderate interventions in a gentle way and make sure that they do not take longer than 1-2 minutes, depending on the stage. Balance participation by counting the time each participant speaks and other micro-facilitation tools such as going around the group and tapping the shoulder of the person we want to engage in a subtle way or trying to call out the name of those who have not yet been part of the conversation.*
- *Repeatedly remind participants of the principle of WAIT (Why Am I Talking).*

2. Create a Safe Environment

- *Establish guidelines for respectful communication and ensure everyone adheres to them.*
- *Create an atmosphere where participants feel comfortable sharing their thoughts and ideas without fear of judgment. An atmosphere of respect and cordiality within the group, maintaining a good balance between passion and mutual respect to be able to reach a subsequent consensus. Be aware of cultural differences and respect various cultural norms and traditions. Avoid stereotypes and assumptions related to cultural backgrounds.*
- *Consider everybody's opinions as valuable.*
- *Stay neutral and independent.*
- *Intervene calmly if disruptions occur, respectfully without singling anyone out.*
- *Reframe negative comments or attitudes by turning them into opportunities for constructive discussion.*
- *Adopt some conflict-solving technic, if it is needed*

3. Actively listen with empathy

- *Put oneself in the other person's place without judging him or her, listening actively and dynamically in order to understand and guide the person in the best possible way, towards his or her objectives.*
- *Give your full attention to the speaker. Show that you are listening through your body language.*
- *Repeat what someone has said to confirm understanding and show that their input is valued.*

4. Be mindful of language and terminology:

- *Use inclusive language, avoid jargon or language that might exclude certain participants.*
- *Be respectful by using people's preferred names and pronouns. If unsure, ask respectfully.*

5. Encourage Collaboration

- *Incorporate group activities that promote collaboration and teamwork.*
- *Pair participants up to share ideas before discussing them with the larger group.*

6. Be adaptable

- *Stay open to proposals and suggestions and be able to modulate the facilitation to create the best conditions for the deliberative process.*
- *Adapt to different learning styles: use visual aids to complement verbal information for visual learners, incorporate interactive activities for kinaesthetic learners, use verbal explanations for auditory learners.*

Source: CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies (CLIMAS Deliverable 3.2) (2023)



5.1.3 Monitoring output criteria

Table 5: Output indicators

Criteria	Indicator	Methods
Publication of reports and recommendations	Number and timeliness of reports, presentations, and recommendations produced.	Documentary review (conduct reviews to ensure that the recommendations are disseminated to relevant stakeholders in a timely manner).
Changes policy or initiation of policy discussions influenced by the Assemblies	The number of policy initiatives or legislative actions that reference assembly outputs within a certain period after publication.	Documentary review (identify mentions of assembly outputs in policy documents, legislative actions, and government debates, using text analysis software where possible).
Number of updated tools and guidelines post-assembly.	The number of tools and guidelines updated to incorporate assembly recommendations within a set period post-assembly.	Documentary review (log of existing tools and guidelines before the assembly and update it with changes made post-assembly) or interviews with facilitators (to understand what support they received and how that support can be improved).
Participant experience documentation	Levels of participant learning and attitudinal shifts.	Participant survey (document participants' learning outcomes and attitude changes) or interviews with participants to gather in-depth qualitative data on their learning and experiences.

Source: developed by the study team (2023)

In the scope of monitoring methodology, outputs are vital for gauging the efficacy of Climate Assemblies. These tangible products, often manifest as citizen recommendations, are pivotal for assessing progress and ensuring accountability. The OECD (2021) has noted the value in recommendations being authentically voiced by citizens, with minimal external alteration. This practice not only bolsters the transparency of the process but also reinforces the integrity of the democratic engagement. To capture this essence and steer policy debates, four criteria have been meticulously developed, aiming to monitor and uphold the participants' control over the assembly outcomes.

Publishing **reports and recommendations** is fundamental as it encapsulates the collective input of assembly participants, offering a structured path towards carbon net-zero transitions by reflecting citizens' priorities and perceptions. This process directly feeds into increased public engagement and awareness of climate issues, as these publications can educate a broader audience and catalyse discussions on climate action (European Climate Foundation, 2021). In addition, proactive and effective public communication by raising awareness about the deliberative process, and ensuring its transparency, can also potentially increase trust in both directions: of citizens in government and of government in citizens.

Monitoring the outcomes of Climate Assemblies related to **policy change** is essential since it measures the assemblies' real-world influence and ensures that the participants' recommendations are not only heard but acted upon. This relates to the outcome of influencing policies and initiatives

that derive from assembly recommendations, ensuring that the deliberative process has tangible impacts on governance and legislation.

The **revision of tools and guidelines** post-assembly to incorporate recommendations signifies the practical application of the assemblies' outputs. This links to enhancing the quality, inclusivity, and efficacy of Climate Assembly processes, as updated tools indicate the implementation of new practices and the continuous improvement of climate action frameworks.

Documenting **participant experience**, including learning and attitudinal shifts, is critical for evaluating the assemblies' effectiveness in engaging and educating participants. This documentation is related to the outcome of cultivating participants who are more informed, engaged, and empowered, as it reflects a transformation in knowledge and engagement levels, essential for sustained climate discourse and action.

According to CLIMAS Guidelines for Inclusive Facilitation and Inclusive Climate Assemblies (2023), to uphold the integrity of monitoring outputs in Climate Assemblies, it is essential to maintain a transparent communication channel with the participants. This involves clearly articulating the outcomes of the assembly sessions and explicitly stating how the ideas and contributions from the participants will be utilized going forward. Providing participants with materials related to the discussions acknowledges their efforts and encourages further engagement. Sending out brief summaries of the session days can be a significant tool for keeping both participants and the public informed and involved. Additionally, a process of collective reflection to identify and share lessons learned paves the way for continual improvement. Feedback on facilitation techniques is also crucial, as it helps in the continuous honing of skills to ensure the process remains participatory and effective.

5.1.4 Additional criteria and methods to consider

For Climate Assemblies with more resources and capabilities, alternative data collection methods can be applied and tailored to their specific needs. This approach allows for the deployment of more sophisticated methods that can provide deeper insights and a more comprehensive understanding of the effectiveness of Climate Assemblies.

Content Analysis of Small Group Discussions is a useful yet resource-intensive method for evaluating the deliberative quality of Climate Assemblies. It involves recording, transcribing, and coding discussions to assess adherence to deliberative principles. While offering valuable insights into the assembly's engagement with these principles, this approach demands considerable time and preparation, including securing consent for recording, meticulous transcription, and the development of a coding scheme to ensure objective analysis. The process is further complicated by the need to identify and analyse sessions that are most likely to exhibit deliberative norms, necessitating a careful selection process and considerable coding effort to capture the nuances of

conversation and facilitation techniques. Despite these challenges, when executed correctly, content analysis can enhance our understanding of the assembly's effectiveness in fostering a truly deliberative environment.

Process observation is another useful evaluative method in Climate Assemblies, allowing researchers to gain an authentic understanding of the deliberative process by witnessing the proceedings first hand. Observers can scrutinize participant interactions, equity in speaking opportunities, and the overall dynamics of discussion, which are crucial for assessing the quality of deliberation and engagement. While the presence of observers is integral for such evaluations, it is vital to maintain a balance to prevent an undue influence on the assembly's natural course of interaction and to ensure the integrity of the observations.

Case study: Austrian Climate Citizens' Assembly

In the Austrian Climate Citizens' Assembly, participant observation played a key role in understanding the dynamics of deliberation. Observers, following OECD guidelines, focused on how participants interacted, the language they used, and their overall engagement during weekend sessions. This approach was carefully planned with the CCA team and communicated to ensure ethical standards were upheld. Observations were focused on plenary sessions and selected working groups, with explicit permission for more intimate discussions. Consistent observer presence helped build trust and provided valuable insights into the assembly's effectiveness, highlighting areas of strong engagement and potential conflict.

Source: Buzogány et al., 2022

Interviews with policymakers can significantly enhance the evaluation methods of Climate Assemblies by providing a bridge between the experiential data collected from participant surveys and the structural insights from organizer/facilitator surveys. Policymakers can offer a distinct perspective on how the assembly's recommendations may translate into actual policy, addressing the feasibility and legislative impact. Their insights can validate and contextualize the findings from participant surveys and documentary reviews, shedding light on the political and practical implications of the assembly's outputs. Moreover, these interviews can illuminate the political will and pathways through which assembly recommendations are considered and acted upon, offering a comprehensive understanding of the efficacy and influence of Climate Assemblies in the policy-making realm.

5.2 Evaluation and assessment of monitoring results

Climate and citizen assemblies do not work in isolation but take place in a broader public sphere and political system (Caluwaerts & Reuchamps, 2023). According to KNOCA (Demski & Capstick, 2022), the approaches to the assessment of climate deliberation tend to concentrate on the procedural aspects (e.g., engagement level of assembly members and the quality of their discussions) and offer only a limited exploration of the impacts. In cases where impacts are



considered, they are measured against broad or non-specific criteria, such as changes in the attitudes of assembly members. Demski and Capstick (2022) suggest that for Climate Assemblies to effectively contribute to climate change solutions, it is essential to understand their influence on climate governance, public participation in climate-related issues, and the ability of civil society to drive climate action. This necessitates vigilant data collection to evaluate the impacts through which these impacts occur in the realm of climate change. Hence, in evaluating the output dimension of a Climate Assembly, it is crucial to consider the tangible outcomes, impacts on participants, and the broader societal and political repercussions i.e., both the immediate and lasting effects of the assembly's activities.

Outcome evaluation allows you to measure changes in specific outcomes, as well as to establish whether a deliberative process was effective in causing the intended changes i.e., whether outcomes had an ability to influence policy, individuals, or organizations (Rowe & Frewer 2000; Carson & Hartz-Karp, 2005). Outcome indicators measure the condition of people, systems, or institutions that are expected to be affected by interventions. Outcomes are any result higher than an output to which a given output contributes, but for which it is not solely responsible. Recognizing this, we have developed four critical criteria to capture the nuanced impact of Climate Assemblies: Increased public engagement and awareness, policies and initiatives derived from recommendations, enhanced process quality, and participant empowerment. These criteria reflect the multifaceted effects of Climate Assemblies and the importance of their recommendations in shaping policy and public discourse.

In assessing the outcomes of Climate Assemblies, it is important to recognize the complexities involved in translating recommendations into action. As identified by Caluwaerts and Reuchamps (2015), the process often spans multiple policies and requires considerable time before implementation is evident. Therefore, evaluations must consider the breadth and duration of policy change efforts that stem from assembly recommendations. In addition, when evaluating Climate Assemblies, it is crucial to acknowledge that the commissioning body's response to recommendations may not be immediate or direct. Numerous factors, such as the time needed to develop work programs or pre-existing policy inclinations, can complicate the measurement of an assembly's influence (Caluwaerts & Reuchamps, 2023). There is also the possibility that recommendations are side-lined or that credit for actions taken is attributed to prior intentions, rather than the assembly's input. These challenges must be factored into assessments to accurately gauge the assemblies' impact on policy and decision-making processes.

Table 6: Criteria for outcome/impact evaluation

Criteria	Indicator	Impact
Increased public engagement and awareness of climate issues	Increase in public discussions on climate issues post-assembly (tracking the rise in public discourse on climate issues after an assembly)	A more deliberative society where public discourse shapes climate policy and sustainability initiatives (e.g., deliberative society metrics)

<p>Policies and initiatives that are influenced or directly derived from the Assemblies' recommendations.</p>	<p>Adoption rate of recommendations.</p>	<p>Policymakers and governmental bodies that incorporate citizens' perspectives into actionable climate policies (e.g., percentage of assembly recommendations turned into actionable policies or laws).</p>
<p>Enhanced quality, inclusivity, and efficacy of Climate Assembly processes.</p>	<p>Measurable changes in organizational procedures and learning following the assembly</p>	<p>Climate Assemblies recognized as a standard for democratic participation in climate governance, with improved methodologies for deliberation (e.g., increased number of Climate Assemblies held in the region, country).</p>
<p>Participants who are more informed, engaged, and empowered to contribute to climate discourse and action.</p>	<p>Participant experiences, shifts in political efficacy, and knowledge.</p>	<p>Individuals who not only understand climate issues better but also actively participate in and advocate for sustainable practices and policies (i.e., changes in participant civic engagement and advocacy actions post-assembly).</p>

The justification for **increased public engagement and awareness** as a criterion for Climate Assemblies' effectiveness lies in the assemblies' ability to shape public debate and inform policy decision-making. Public endorsement, political uptake of recommendations, and subsequent policy implementations serve as indicators of a CA's influence on the public and political landscape. The legitimacy of parliamentary work can be enhanced through mini publics, which act as proxies for informed public judgment (Beswick & Elstub, 2019), and stimulate public discourse on policy matters (Warren et al., 2014). However, realizing these benefits requires awareness and understanding of the CAs' role beyond the immediate participants, necessitating adequate media exposure and communication resources. Public perception of CAs and their recommendations is crucial for assessing their impact (Goodin & Dryzek, 2006), and general population surveys can provide direct measurements of public endorsement, while script analysis offers an indirect approach.

The justification for focusing on the **influence of Climate Assemblies' recommendations on policies and initiatives** is anchored in the principle of democratic responsiveness. Public authorities, once presented with the recommendations, are tasked with the responsibility to act upon them, which is a cornerstone of a representative democracy. The OECD (2021) underscores the significance of citizens' investment in the deliberative process, which reflects their expectation of meaningful impact. Ensuring that these recommendations are considered by policymakers not only validates the time and effort invested by participants but also strengthens the democratic fabric by showing that citizen input is valued and has the potential to shape policy. The commitment of public authorities to engage with and respond to these recommendations is vital, as it encourages broader participation and fosters trust in the democratic process. Assessing political uptake through surveys, discourse analysis, and interviews with political actors and participants can provide a multifaceted understanding of the recommendations' influence on policymaking.

In regard to **participants who are more informed, engaged, and empowered to contribute to climate discourse and action**, previous research has consistently shown that participation in deliberative processes like Climate Assemblies enhances participants' understanding and engagement in political discourse and action. Studies have indicated that such involvement boosts participants' confidence in their political abilities (Gastil & Dillard, 1999), increases interest in politics (Fournier et al., 2011), and contributes to a deeper understanding of policy issues (Setälä et al., 2010). Furthermore, involvement in mini publics can catalyze a shift in opinions on critical subjects such as climate change, indicating that Climate Assemblies are not only educational forums but also transformative experiences that empower citizens to engage more actively and effectively in the political process.

Finally, **improving the quality, inclusivity, and efficacy of Climate Assembly processes through organizational learning** is imperative. Feedback from past assemblies can be instrumental in refining guidelines, tools, and training programs for future iterations. Such a feedback loop ensures that assemblies evolve to become more representative and effective, embodying the principles of continuous improvement. Learning from previous experiences enhances the assembly's methodology, allowing it to navigate the complexities of climate discourse more adeptly and to foster more inclusive participation, leading to more robust and actionable climate policies.

5.2.1 Methods for evaluation

The selection of methods for evaluation is strongly influenced by the resources and capabilities of the evaluation team. In this regard, we provide alternative methods which could be employed. By utilizing a wider array of tools—such as longitudinal studies, advanced statistical analyses, and more extensive stakeholder interviews—the Climate Assemblies can enhance the granularity and precision of their evaluations. This expanded toolkit will enable these assemblies to not only measure their immediate impacts but also to track and analyse long-term trends and outcomes, ensuring a robust evaluation that fully captures the breadth of their influence on climate policy and citizen engagement.

A **public survey** is a helpful tool in evaluating the outcomes and impact of Climate Assemblies. This method focuses on evaluating the impact of the Climate Assembly on the broader public. It involves surveying a representative sample of the public to gauge their awareness of the assembly, their perceptions of the process, and their opinions on the issues discussed. By collecting data from a wider population, this method helps assess the effectiveness of the assembly in engaging and influencing public opinion and generating broader awareness of climate-related matters.

Case study: Climate Assembly UK (CAUK)

To gauge public awareness and perception of the Climate Assembly UK (CAUK), population surveys were conducted at key moments during the assembly's progression. These surveys, aligned with the launch of the CAUK report and other noteworthy events, aimed to capture the peak moments of

public awareness. YouGov, utilizing quota sampling techniques, conducted these surveys with a representative sample of the UK public. This approach ensured a comprehensive understanding of public engagement with, and trust in, CAUK's processes and outputs. The survey results provided insights into the public's knowledge of CAUK, their stance on climate change, and demographic distributions.

Source: Elstub et al., 2021

Media Coverage Review: This method involves analysing media coverage of the Climate Assembly. It includes reviewing news articles, opinion pieces, social media discussions, and other forms of media coverage related to the assembly. By examining how the assembly is portrayed and discussed in the media, researchers can assess its public visibility, the framing of issues, and the extent of public engagement stimulated by the assembly. It helps gauge the assembly's impact on public discourse and its ability to shape public opinion and policy agendas.

Case study: Austrian Climate Citizens' Assembly

In evaluating the Austrian Climate Citizens' Assembly's media influence, a media coverage review was conducted. This analysis, informed by previous research indicating the significance of media as a conduit for Climate Citizens' Assembly (CCA) impacts (McGovern and Thorne 2021), assessed the presence and portrayal of CCA in the media landscape. A quantitative media analysis scrutinized the frequency and nature of CCA-related reporting in Austrian newspapers over a 16-month period, while a qualitative review focused on the content within leading newspapers, *Der Standard* and *Die Presse*. The GENIOS online press database, supplemented by press clippings from the CCA team, provided the source materials for this comprehensive media analysis.

Source: Buzogány et al., 2022

Case study: Climate Assembly UK (CAUK)

For the Climate Assembly UK, a media analysis was performed to evaluate the extent of media coverage and its potential influence on public awareness. This analysis focused on key moments of the assembly's timeline to correspond with the distribution of population surveys. A database of media mentions was compiled, assessing a sample of 20 sources from print, broadcast, and online media at each of these critical junctures. The content was examined for length, focus, sentiment, and reach, providing insights into how media coverage may have shaped public perception and engagement with the assembly's proceedings and findings.

Source: Elstub et al., 2021

Policy Analysis: Policy analysis involves examining the outcomes and recommendations of the Climate Assembly in relation to existing policy frameworks. It assesses the alignment between the assembly's proposals and existing policies, identifies areas of convergence or divergence, and evaluates the potential influence of the assembly's recommendations on policy decisions. By analysing the policy implications, this method helps gauge the real-world impact of the Climate Assembly and its potential to drive meaningful change in addressing climate challenges.

Open-ended interviews can be a crucial part of evaluating the impact and outcomes of Climate Assemblies. Through semi-structured conversations with various involved parties—such as facilitators, stakeholders, and members of the commissioning body—interviews can delve deeper into the influences and effectiveness of the assembly. They can uncover the motivations for initiating the process, the degree of influence members' recommendations has had, and the transparency and inclusiveness of the process. When combined with quantitative data, these interviews provide a nuanced understanding of the assembly's workings and its reception by both participants and policymakers.

Case study: Austrian Climate Citizens' Assembly

In the Austrian Climate Citizens' Assembly, semi-structured qualitative interviews were conducted with facilitators, scientific advisors, and stakeholders. The interviews, structured around roles and processes, communication, and impact, were integral in assessing the assembly's inner workings and effectiveness. Recorded and transcribed for analysis while upholding data protection ethics, these interviews provided in-depth insights, complementing other evaluation methods and contributing to a comprehensive understanding of the assembly's impact and areas for improvement.

Source: Buzogány et al., 2022

Finally, **triangulation** is an invaluable tool in evaluating the outcomes and impacts of Climate Assemblies, as it offers a multifaceted approach to data collection and analysis. This method is essential because it compensates for the limitations inherent in using a single data collection method or a simplistic study design. By employing multiple sources of information and diverse methodologies simultaneously to investigate the same topic, triangulation enhances the depth and breadth of the understanding gained. In the context of Climate Assemblies, triangulation can involve a combination of different approaches. For example, quantitative data obtained from surveys can be complemented with qualitative insights from interviews and case studies. This combination allows for a more comprehensive analysis: while surveys might reveal broad patterns in opinions or impacts, interviews with key informants can offer in-depth understanding and contextual nuances.

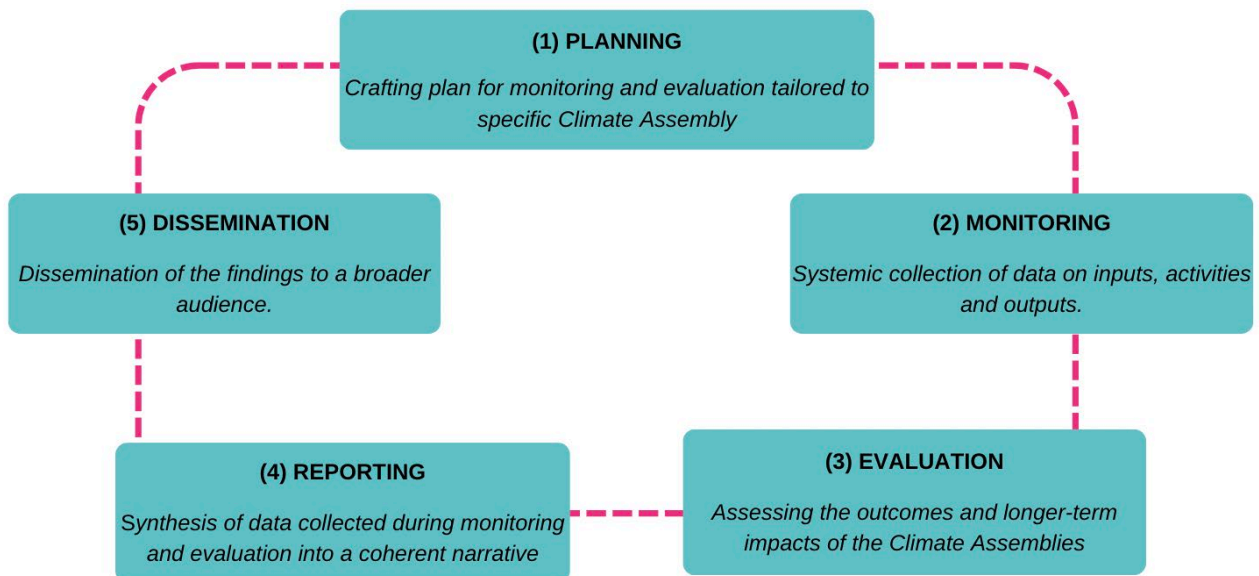
The integration of different methods also means that the strengths of one can be used to offset the weaknesses of another. Surveys, while reaching a large audience, might lack the depth of information, whereas interviews, though detailed, are limited in scale. By using both, evaluators can achieve a balance, gaining both breadth and depth in their findings. Moreover, in complex issues like climate change, which affect various groups with differing interests, it is crucial to include a wide range of perspectives. This includes stakeholders with direct interests as well as neutral parties. Such inclusivity in data collection ensures that the evaluation captures a diverse range of experiences and viewpoints, leading to more balanced and representative conclusions. The use of triangulation also aids in verifying information by cross-referencing data from various sources. This approach is particularly useful in resolving conflicting evidence and gaining a deeper understanding of complex phenomena. It can also lead to new insights that might remain hidden when relying on a single method or source.



6. Practical considerations of applying the methodology

The methodology for Climate Assemblies Performance monitoring can be systematically applied through the steps outlined in Figure 5. The steps were devised based on the principles developed by the OECD's Advisory Group on Evaluating Representative Deliberative Processes (2021). The principles of independence, clarity and transparency, validity and reliability of data, access to sufficient resources and time and constructive focus provide a robust foundation to ensure the quality and integrity of evaluations. By adhering to the principles, the evaluation of Climate Assemblies can achieve a balance between rigorous assessment and constructive feedback, thereby supporting the continuous improvement of these vital democratic processes. Hence, throughout all these steps, it is crucial to maintain a feedback loop where insights from monitoring and evaluation inform ongoing planning and adaptation of the Climate Assemblies. This dynamic approach allows for continuous improvement and ensures that the assemblies remain effective in their goal of influencing climate policy and fostering a deliberative society.

Figure 5: CA performance monitoring process



Planning: This initial phase involves crafting a comprehensive plan for monitoring and evaluation that is tailored to the context of Climate Assemblies. The plan should clearly outline the strategies for collecting data, the indicators for measurement, and the timeline for the various stages of the assembly process. It must be adaptable to the specific goals and structure of the CA, ensuring that it aligns with the intervention logic's goals, which aim for long-term impacts like fostering a deliberative society and influencing climate policy.

Monitoring: Monitoring focuses on the systematic collection of data regarding the inputs, activities, and intermediate outputs of the Climate Assemblies. It involves tracking the resources dedicated to the assemblies, the execution of activities, and the immediate results that follow these activities. This component ensures that the assembly is staying on track and that any necessary adjustments can be made in a timely manner.

Evaluation: Evaluation digs deeper into assessing the outcomes and longer-term impacts of the Climate Assemblies. It examines the effectiveness of the assembly in achieving its goals, such as policy influence and societal deliberation, and how it contributes to the broader objectives of climate action. Evaluation methods can include surveys, interviews, and impact assessments, which collectively help to understand the efficacy and significance of the Climate Assemblies.

Reporting: Reporting involves the synthesis of data collected during monitoring and evaluation into a coherent narrative. It includes presenting findings in a manner that is accessible to all stakeholders, from policymakers to the public. The report should highlight successes, challenges, and lessons learned, providing a transparent account of the assembly's performance.

Dissemination: The last step is the dissemination of the findings to a broader audience. This not only involves making the information available to the public but also actively engaging with various stakeholders, including follow-up with participants of the Climate Assemblies. Dissemination ensures that the insights gained from the assemblies are utilized to inform future climate actions and to promote public understanding and engagement with climate issues.

Further sections provide guidance on crafting the monitoring and evaluation plan, reporting approach and dissemination activities.

6.1 Preparing monitoring and evaluation plan for diverse contexts

Monitoring and evaluation (M&E) plan is a document that helps to track and assess the intervention. It is a living document that should be referred to and updated on a regular basis. It is important to develop an M&E plan before beginning any monitoring activities so that there is a clear plan for what questions about the program need to be answered. It will help CA staff decide how they are going to collect data to track indicators, how monitoring data will be analysed, and how the results of data collection will be disseminated. While the specifics of each plan will look different, they should all follow the same basic structure and include the same key elements.

Establish foundation

- Review the current methodological framework.
- Define clear program objectives and outcomes.

- Develop an intervention logic that outlines the inputs, activities, outputs, outcomes, and intended impacts customized to the Climate Assembly.

Begin by drafting an M&E plan that outlines the overarching goals and objectives of the Climate Assembly within the framework of the intervention logic's goals. In this regard, understanding the diverse contexts in which Climate Assemblies operate is essential for conducting effective monitoring and evaluation as deliberative processes are highly context-driven (Abelson & Gauvin, 2006). In this regard, contextual analysis provides a nuanced backdrop against which the deliberative mechanisms operate, influencing their design, process, and outcomes (Abelson, 2007). As no two assemblies are the same, evaluations must be tailored to the unique challenges and opportunities of each, requiring a deep understanding of the specific environmental, political, cultural, and social dynamics at play. For instance, an assembly's success in one region might be tied to particular social or political factors that are not present elsewhere; understanding these can guide the adaptation of the assembly model to different settings. For stakeholders and decision-makers utilizing evaluation information, appreciating these nuances is crucial for applying the insights appropriately and for anticipating the potential scalability of CA models across different regions. Furthermore, a context-sensitive framework allows for the identification of best practices that are transferable, as well as constraints that may need to be addressed differently in varied contexts (Fitzpatrick, 2012).

According to Carpini et al. (2004), the community context, the political context, the decision-making context, and the organizational context can have, independently or in interaction with each other, positive or negative consequences on a deliberative process. Hence, the analysis of environment involves a thorough examination of the *socio-political climate* to discern the levels of political commitment and public support for climate action. *Local and regional climate challenges* are identified to understand the specific environmental issues at stake. The *legal frameworks* that might enable or constrain public participation in climate policy deliberation are also considered, as are the economic implications of climate policies which can significantly sway the assembly's discussions and recommendations. *Cultural and social values* play a pivotal role in shaping the discourse within CAs. These must be assessed to ensure that the deliberative processes are sensitive to and reflective of the community's beliefs and practices. *Technological readiness* is another key factor, influencing the ability to conduct and extend the reach of CAs effectively.

Design independent monitoring and evaluation process

- Select evaluation criteria for each aspect of the logic model.
- Determine appropriate data collection methods and timing for each indicator.

Evaluation criteria are specific, measurable expressions of the program's outputs, outcomes, and impacts that monitoring and evaluation activities will track over time. Criteria provide the data

points that allow for the assessment of progress and the achievement of objectives. In addition, this building block involves the tools and procedures used to gather information on the performance indicators. Data collection methods could include surveys, interviews, focus groups, observations, and document reviews, and they should be selected based on their relevance and accuracy in capturing the necessary data. In this regard, the criteria, methods, and case studies outlined in Section 5 provide an invaluable base for exploration of possible and recommended options.

Organize data management and analytical strategies

- Plan for data storage, protection, and processing.
- Establish analytical methods to interpret data in relation to program objectives.

This encompasses the systems and processes for storing, processing, and analyzing collected data. Effective data management ensures that data is accurate, reliable, and secure. Data analysis then interprets the data to provide insights into the program's performance and inform decision-making. Evaluations must be based on data that is both valid (i.e., relevant to the evaluation questions) and reliable (i.e., consistent, and dependable). A mixed-methods approach that includes surveys, interviews, observations, and document reviews can provide a comprehensive view of the Climate Assembly's processes and outcomes. For example, surveys could gauge participant satisfaction, interviews could provide in-depth insights into the experiences of both participants and organizers, and observations could capture the dynamics of the deliberative sessions.

The CLIMAS consortium handles personal data with due diligence and according to its Data Management Plan guidelines. It respects the provisions set by the General Data Protection Regulation (GDPR) and takes any steps required to make the data collected/generated FAIR (Findable, Accessible, Interoperable, and Reusable). In the context of monitoring and evaluation, a few personal details are collected, such as the stakeholder group, gender, and job position. Thus, all involved partners must adopt measures to comply with the Art. 5 GDPR principles relating to the processing of personal data. The process of monitoring and evaluation must adhere to the following principles:

- **Principle 1: Lawfulness, fairness, and transparency principle.** Personal data must be processed lawfully, fairly, and transparently in relation to the data subject. After reading the consent form and privacy policy, all questionnaire respondents must provide their consent to handle their personal data. At the same time, a data subject request form must be provided to them to support any future data requests.
- **Principle 2: Purpose limitation.** Personal data must be collected for specified, explicit and legitimate purposes (i.e., to evaluate the impact of key Climate Assemblies or other related activities) and not be further processed in a manner incompatible with those purposes.

- **Principle 3: Data minimization.** The personal data must be adequate, relevant and limited to what is necessary to the purposes for which they are processed.
- **Principle 4: Accuracy.** The personal data must be accurate and, where necessary, kept up to date. To this end, checks must be implemented to correct, update, or erase incorrect or incomplete data.
- **Principle 5: Storage limitation.** Personal data must be retained to achieve our research purposes and comply with applicable laws, regulations, and contractual obligations to which we are subject.
- **Principle 6: Integrity and confidentiality.** If applicable, Climate Assemblies must apply a personal data risk assessment process to identify, analyse, and evaluate the security risks that may threaten personal data. Based on the results of this risk assessment, they must define and apply a set of both technical and organizational measures to mitigate security risks.

Develop reporting and dissemination mechanisms

- Set a reporting schedule and format tailored to different stakeholders.
- Prepare strategies for disseminating findings to ensure transparency and foster learning.

Reporting is the process of compiling and presenting data and analysis in a format that is understandable and accessible to stakeholders. Dissemination involves sharing the findings with a wider audience, including stakeholders, donors, and the public. This step ensures accountability and learning by communicating what the program is achieving, what is working well, and what areas need improvement.

Furthermore, it is vital for the evaluation team to have designated time within the deliberative programme to administer surveys, conduct interviews, and utilize additional research methodologies. A crucial aspect of this is communicating the significance of the evaluative process to participants, thus ensuring comprehensive access, and maximizing potential response rates, which are more robust during the process rather than after its conclusion. Even in the absence of an external evaluation entity, it is important to allocate time for organizers to perform their assessments and collect feedback from participants.

Post-deliberation, establishing predetermined intervals for evaluators to re-engage with participants is beneficial. These follow-up engagements are instrumental in capturing the long-term effects and broader evaluations of the process. They serve to gauge the responsiveness of the commissioning authorities to the recommendations produced by the deliberative exercises. Additionally, evaluators should maintain communication with the authorities who commissioned the process to understand their perspective on the practical application of the recommendations.

Operationalize the plan



- Assign roles and responsibilities within the team for monitoring and evaluation tasks.
- Allocate necessary resources and budget for monitoring and evaluation activities.
- Implement the plan, monitor its execution, and make iterative improvements as needed.

Identify who within the team will be responsible for each aspect of the M&E plan. Ensure clear communication of these roles and that all team members are equipped to fulfil their responsibilities. Allocate the necessary resources for the M&E activities and ensure that the budget reflects the costs of data collection, management, analysis, and reporting.

Importance of independence of evaluation

Independence is paramount to avoid biases that could compromise the evaluation's findings. For Climate Assemblies, ensuring independence might involve engaging external evaluators who have no stake in the outcomes. Their independence must be proportionate to the scale and duration of the deliberative processes, ensuring that the evaluators have no conflicts of interest and can provide an unbiased assessment. This could also mean setting up an oversight committee to oversee the evaluation's integrity.

In the realm of deliberative processes, the OECD (2021) underscores the importance of structural and functional independence of evaluations, which extends from the autonomy of the evaluation team relative to the process commissioners and organizers to the impartiality and integrity of the evaluators themselves. For large-scale endeavours, enhanced independence can be achieved through the establishment of an external oversight committee, peer review commitments, and transparent conflict of interest statements by evaluators. Even small-scale initiatives must adhere to standardized procedures and ethical considerations, such as data use, privacy, and confidentiality. A credible and unbiased evaluation is predicated on sufficient funding and operational distance, ensuring evaluators' free access to the process. Such financial support may stem from independent governmental bodies, exemplified by the Scottish Citizens' Assembly, funded by the Scottish Government Social Research and the evaluative research of the Irish Citizens' Assembly, which was managed by the Irish Research Council with governmental funding. Academic institutions often collaborate to provide evaluations that are both credible and autonomous.

The evaluation of deliberative processes, per the 2021 OECD report, remains an evolving field with fragmented practices. A common approach, used in 67% of cases, involves self-reporting by participants, complemented by organizer reflections and academic analysis. Only a minority of processes undergo independent evaluation, recommended as the gold standard. However, smaller and shorter-term deliberations often must resort to self-reporting due to time and budget constraints. Independent evaluations, particularly for longer processes, offer the most comprehensive and objective assessments. They call for evaluators with specialized training to fairly assess the deliberative process, employing diverse methods such as observation, surveys,



interviews, and an analysis of materials. This approach considers organizer and facilitator feedback for a holistic view, underscoring the importance of independent evaluators' comparative perspective and understanding of quality public deliberation. Self-reporting by participants provides valuable first-hand insights, while organizer feedback captures on-the-ground experiences, offering lessons for future endeavours. These practices together contribute to the continuous learning and refining of deliberative processes.

Ensuring appropriate resources

Evaluators need appropriate resources to conduct a thorough assessment. This means securing sufficient funding to cover the breadth of the evaluation activities, from data collection to analysis and reporting. For Climate Assemblies, this could involve budgeting for specialist data analysis software, travel for in-person observations, or expert consultants to interpret complex climate data. As recommended by the OECD in 2021, the evaluative work should be initiated at the deliberative process' design phase. Bringing evaluators on board early ensures that the foundational stages of the evaluation are set in motion well ahead of the process's commencement. It is essential for evaluators to engage in early conversations with the commissioning bodies and those responsible for implementation to pinpoint specific areas of interest and to confirm that the evaluation is tailored to meet all critical requirements. Independent yet purposeful, evaluators must craft their reports to resonate with and be of practical use to practitioners, commissioners, stakeholders, and the broader public audience.

Ensuring transparency

The evaluators' selection process, as well as the evaluation itself, should be transparent to all stakeholders. This includes providing clear criteria for the selection of evaluators and making the evaluation plan publicly available. For instance, the methodology, tools, and criteria for judgment should be openly shared with stakeholders involved in Climate Assemblies, ensuring that everyone understands how the evaluation will be conducted and on what basis decisions will be made.

6.2 Analysing data and reporting findings

Through systematic analysis and reporting, stakeholders can discern what strategies work, identify areas for improvement, and contribute to the broader knowledge base on climate action. This chapter outlines a structured approach to analysing data and reporting findings from Climate Assemblies. Reporting should be timely, systematic, and periodic. It involves presenting data analysis in an understandable and accessible format. The report must not only document outcomes but also provide a basis for decision-making and learning. Essential components of reporting include:



- **Executive Summary:** Offer a high-level overview of key findings, conclusions, and recommendations.
- **Methodology:** Describe the monitoring and evaluation methods, ensuring transparency and allowing replication.
- **Findings:** Present the data in a clear and structured manner, using visual aids where appropriate.
- **Lessons Learned:** Highlight instructive examples from the evaluation that are broadly applicable and can contribute to best practices.
- **Recommendations:** Suggest actionable steps for improvement, including ways to rectify issues and capitalize on what worked well.

The goal of monitoring and evaluation is to augment the very fabric of the Climate Assembly process. The analysis does not simply critique; it seeks to enhance. By focusing on the quality of deliberation and the tangible impact of outcomes, monitoring and evaluation transcends the act of evaluation. It becomes a catalyst for an enriched deliberative culture, one that not only informs policy but also embeds itself into the societal narrative of climate action.

6.2.1 Effective Dissemination

Effective dissemination is a cornerstone of ensuring that the insights from Climate Assemblies are not only heard but also acted upon. The dissemination plan must be crafted to engage stakeholders, influence policy, and guide the trajectory of future assemblies, all while contributing to the broader narrative of global climate action.

Central to this dissemination is the understanding that participants, those who have lent their voices and expertise to the Climate Assembly, are kept in the loop regarding the impact of their contributions. This can be a challenging endeavour as the pathways to reach every participant are varied. Therefore, it is critical to employ a multifaceted approach that leverages technology, personal networks, and community partners. Updates about the outcomes and ongoing developments should be regularly shared through multiple channels, such as an updated website, newsletters, and direct emails. By doing so, the participants can see the tangible results of their engagement, fostering a sense of ownership and continuity in the climate dialogue.

Moreover, the dissemination process should be underpinned by the '4 Cs of Trust': Competence, Caring, Consistency, and Communication. Trust is the glue that holds the process together and encourages constructive dialogue on challenging issues. To embody competence, for instance, it is imperative to provide materials and presenters that can communicate complex climate issues in an accessible manner. This demonstrates respect for the participants' time and effort, acknowledging that the information they receive and contribute to is both accurate and relevant.



7. Conclusion

In conclusion, we recognize that the path to robust and effective monitoring and evaluation of Climate Assemblies is fraught with challenges. These include the complexity of balancing diverse stakeholder requirements that may evolve over time, the hurdles of limited local data availability, fostering collective commitment among multiple stakeholders who may be wary of information use, discerning the causality and attribution in complex impact relationships stemming from CA activities, and the persistent issue of securing adequate funding for comprehensive monitoring and evaluation efforts.

Despite these challenges, the methodology presented herein provides a structured approach that recognizes the nuances and dynamics of Climate Assemblies. It acknowledges that a ‘one size fits all’ strategy is inadequate for the varied and intricate nature of climate governance. Tailoring the approach, methodology, techniques, and tools to each unique CA context is not just beneficial; it is imperative for the accuracy and relevance of the monitoring outcomes. Key to the success of this methodology is the principle of integrating monitoring and evaluation considerations into the CA design and assessment phases. By establishing a monitoring evaluation plan early on, we can ensure that evaluation is not an afterthought but a continuous thread running throughout the CA cycle.

Climate Assemblies Performance Monitoring methodology will be used in further stages of CLIMAS project to monitor the performance of Climate Assemblies and their activities (Task 5.2) and preparation of recommendations for policymakers (Task 5.3). More specifically, the Climate Assemblies Performance Monitoring methodology will serve as a cornerstone to ensure the Climate Assemblies' activities are in line with our overarching mission. Initially, we will craft a detailed monitoring and evaluation plan specifically designed for the unique requirements of the three CLIMAS Climate Assemblies, encompassing strategies for data collection, measurement indicators, and timelines. This plan will be attuned to the intrinsic goals of the assemblies, such as fostering inclusive public deliberation and shaping impactful climate policy. Monitoring will involve the systematic collection of data pertaining to the resources, activities, and immediate outputs associated with the Climate Assemblies, ensuring that each step is executed as intended and any necessary adjustments are identified and made promptly. Following this, an in-depth evaluation will measure the effectiveness of the assemblies in achieving both immediate and long-term objectives, including their influence on policy and their contribution to the broad aims of climate action. This evaluation will harness diverse methodologies, including surveys and interviews, to capture a holistic view of the assemblies' impacts.

The culmination of this process will be a comprehensive report that not only compiles findings but also presents them in an accessible manner, ensuring all stakeholders, from local citizens to policymakers, can easily comprehend and engage with the outcomes. This report will highlight the



successes, pinpoint the challenges, and extrapolate lessons to guide future Climate Assemblies. Dissemination will not merely be about making this information available; it will be an active process of engaging with the community to ensure the insights gained are effectively utilized to shape subsequent climate initiatives and to deepen public understanding and engagement with climate issues. Through this methodology, we aim to fulfil our commitment as outlined in the Grant Agreement, enhancing citizens' engagement to climate resilience in 150 EU regions and communities and initiating or discussing Climate Assemblies in at least 25% of these regions through established mechanisms. This will ensure that the strategies adapted are not only effective but also integral to the participatory climate governance landscape across Europe.



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Annex 1: Dimensions, categories and methods of evaluation identified

Dimension	Category	Methods	Source	Type of source
Input	Representativeness	Participant surveys (to compare to population at large); Discourse analysis	Caluwaerts & Reuchamps (2023)	Conceptual framework
Input	Openness of the Agenda	Document analysis (to understand the scope of the mandate given to CA); Participant surveys interviews (how they perceive the agenda)	Caluwaerts & Reuchamps (2023)	Conceptual framework
Input	Epistemic completion	Media analysis (for external point of view); Participant consultation	Caluwaerts & Reuchamps (2023)	Conceptual framework
Throughput	Quality of participation	Script analysis (gives clues on group dynamics); Non-participant observations; CAES (Citizen Assembly Evaluation Survey)	Caluwaerts & Reuchamps (2023)	Conceptual framework
Throughput	Quality of decision-making	Assessment of the relative weight of deliberation and aggregation in Cas through design scripts, surveys and analysis of final recommendations	Caluwaerts & Reuchamps (2023)	Conceptual framework
Throughput	Contextual independence of the process	(Social) media analysis; participant surveys	Caluwaerts & Reuchamps (2023)	Conceptual framework
Output	Public endorsement	General population survey; Script analysis	Caluwaerts & Reuchamps (2023)	Conceptual framework
Output	Political uptake	Survey among political actors; General population survey; Analysis of discourse generated by political actors; Interviews	Caluwaerts & Reuchamps (2023)	Conceptual framework
Output	Policy implementation	Policy documentation analysis (seeking the traces of recommendations)	Caluwaerts & Reuchamps (2023)	Conceptual framework
Issue	Knowledge about the issue	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Issue	Importance of the issue	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Issue	Politicians' handling of the issue	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Process	Quality of discussion	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Process	Opportunities to participate	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Process	Quality of facilitation	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Process	Nature and impact of argumentation	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement

Dimension	Category	Methods	Source	Type of source
Process	Interest motivation	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Process	Usefulness of Citizen's Assemblies in political decision-making	Participant survey	Pow & Garry (2019)	Functioning assessment arrangement
Selection	Equality and inclusion	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Selection	Independent	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Selection	Transparent	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Deliberation	Equality and inclusion	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Deliberation	Independent	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Deliberation	Transparent	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Deliberation	Structured deliberation	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Deliberation	Decision making	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Conclusion	Independent	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Conclusion	Transparent	Survey as the primary evaluation method	Tan (2021)	Functioning assessment arrangement
Technology	Risk related technologies	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
Technology	Expansion related technologies	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
Technology	Social value creating technologies	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
Technology	Pervasiveness of ICT	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
Technology	Appropriateness of ICT	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
People	Dynamism, openness and flexibility	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
People	Decentralization and self-organization	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual

Dimension	Category	Methods	Source	Type of source
People	Social maturity	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
People	Generated public value	Case study approach, qualitative assessment based on guidelines developed together with the index	Skaržauskienė & Mačiulienė (2019)	Conceptual
Deliberative process	Participant recruitment	Member survey and interviews, expert witness surveys, non-participant observation, content analysis of small group discussions	Elstub et al. (2021)	Functioning assessment arrangement
Deliberative process	Witness selection	Member survey and interviews, expert witness surveys, non-participant observation, content analysis of small group discussions	Elstub et al. (2021)	Functioning assessment arrangement
Deliberative process	Evidence provision	Member survey and interviews, expert witness surveys, non-participant observation, content analysis of small group discussions	Elstub et al. (2021)	Functioning assessment arrangement
Deliberative process	Facilitation	Member survey and interviews, expert witness surveys, non-participant observation, content analysis of small group discussions	Elstub et al. (2021)	Functioning assessment arrangement
Impact on participants	Evolution of members knowledge and views	Member survey and interviews, non-participant observation	Elstub et al. (2021)	Functioning assessment arrangement
Impact on participants	Levels of awareness and political engagement	Member survey and interviews, non-participant observation	Elstub et al. (2021)	Functioning assessment arrangement
Impact on parliament and policy	Influence on parliamentary committees	Interviews with committee members, staff and government civil servants; Non-participant observations; Documentary analysis	Elstub et al. (2021)	Functioning assessment arrangement
Impact on wider public	Media coverage, public awareness and trust	National survey questions; Content analysis of media coverage	Elstub et al. (2021)	Functioning assessment arrangement
Views of participants	Information received from fellow participants and witnesses	Survey	Elstub & Carrick (2019)	Functioning assessment arrangement
Views of participants	Opportunities to express their own views	Survey	Elstub & Carrick (2019)	Functioning assessment arrangement
Views of participants	Extent their opinions changed during the process	Survey	Elstub & Carrick (2019)	Functioning assessment arrangement
Views of participants	Should CA's be used more frequently	Survey	Elstub & Carrick (2019)	Functioning assessment arrangement
Views of committee members and staff	Benefits and limitations of CA	Interviews	Elstub & Carrick (2019)	Functioning assessment arrangement
Views of committee members and staff	How CASC compared to other inputs into the inquiry; whether	Interviews	Elstub & Carrick (2019)	Functioning assessment arrangement

Dimension	Category	Methods	Source	Type of source
	the inclusion of CASC led to changes in how the inquiry operated			
Views of committee members and staff	Whether they think SCs should run more CAs in the future to support their inquiries.	Interviews	Elstub & Carrick (2019)	Functioning assessment arrangement
Organization of the assembly	Governance and roles	Interviews	Andrews et al. (2022)	Functioning assessment arrangement
Organization of the assembly	Remit and framing	Interviews	Andrews et al. (2022)	Functioning assessment arrangement
Design of the assembly	Planning the assembly	Interviews, survey and observational data	Andrews et al. (2022)	Functioning assessment arrangement
Design of the assembly	Online format	Observational and interview data	Andrews et al. (2022)	Functioning assessment arrangement
Design of the assembly	Topic stream structure	Interviews, member survey	Andrews et al. (2022)	Functioning assessment arrangement
Design of the assembly	Programming the session	Observations, interviews	Andrews et al. (2022)	Functioning assessment arrangement
Design of the assembly	Facilitation	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Design of the assembly	Assembly member support	Interviews	Andrews et al. (2022)	Functioning assessment arrangement
Evidence	Selection of evidence	Interviews	Andrews et al. (2022)	Functioning assessment arrangement
Evidence	Quality, communication and presentation	Interviews, member survey	Andrews et al. (2022)	Functioning assessment arrangement
Evidence	Interaction between experts and assembly members	Interviews, member survey	Andrews et al. (2022)	Functioning assessment arrangement
Evidence	Assembly member engagement with evidence	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Evidence	Quality of deliberation	Transcript analysis	Andrews et al. (2022)	Functioning assessment arrangement
Assembly member experience	Assembly member participation	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Assembly member experience	Emotional experience	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Assembly member experience	Knowledge and learning	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement

Dimension	Category	Methods	Source	Type of source
Assembly member experience	Climate attitudes	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Assembly member experience	Outcomes for assembly members	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Support for the assembly	Support for outputs	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Support for the assembly	Support for Citizens' Assemblies	Survey, interviews, observational data	Andrews et al. (2022)	Functioning assessment arrangement
Impact on climate policy and debate	Impact on government policy	Analysis of political discourse	Andrews et al. (2022)	Functioning assessment arrangement
Impact on climate policy and debate	Impact on debate	Media coverage analysis	Andrews et al. (2022)	Functioning assessment arrangement
Process	Process design integrity	Member survey, public survey, organizer or expert witness survey, documentary review, open-ended interviews, media coverage	OECD (2021)	Functioning assessment arrangement
Process	Deliberative experience	Member survey, organizer of expert witness survey, document review, deliberation observation, open-ended interviews	OECD (2021)	Functioning assessment arrangement
Outcome	Pathways to impact	Member survey, public survey, organizer or expert witness survey, documentary review, media coverage, policy analysis	OECD (2021)	Functioning assessment arrangement
Process	Voice and decision rules	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Process	Discourse quality	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Process	Debate dynamics	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Process	Public authority attitude	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Input	Representativeness	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Input	Selection criteria	document analysis and desk research, participant observation, semi-structured qualitative	Buzogány et al. (2022)	Functioning assessment arrangement

Dimension	Category	Methods	Source	Type of source
		interviews, and media coverage review		
Input	Personal and economic resources	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Input	Specific goals	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Output	Effects on policies	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Output	Effects on participants	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Output	Effects on accountability	document analysis and desk research, participant observation, semi-structured qualitative interviews, and media coverage review	Buzogány et al. (2022)	Functioning assessment arrangement
Areas of impact	Policy	Survey questionnaires, interviews and focus groups, document analysis, media analysis	Demski & Capstick (2022)	Functioning assessment arrangement
Areas of impact	Social	Survey questionnaires, interviews and focus groups, document analysis, media analysis	Demski & Capstick (2022)	Functioning assessment arrangement
Areas of impact	Systemic	Survey questionnaires, interviews and focus groups, document analysis, media analysis	Demski & Capstick (2022)	Functioning assessment arrangement
Types of impact	Instrumental	Survey questionnaires, interviews and focus groups, document analysis, media analysis	Demski & Capstick (2022)	Functioning assessment arrangement
Types of impact	Conceptual	Survey questionnaires, interviews and focus groups, document analysis, media analysis	Demski & Capstick (2022)	Functioning assessment arrangement
Types of impact	Capacity building	Survey questionnaires, interviews and focus groups, document analysis, media analysis	Demski & Capstick (2022)	Functioning assessment arrangement

Annex 2: Guidance note on data collection methods

A1: Participant survey questionnaire

The participant survey serves as a pivotal tool for monitoring the experiential aspects of Climate Assemblies. Utilizing a standardized evaluation questionnaire, this method captures critical feedback from assembly members post-deliberation. Key areas of focus include satisfaction levels, the impact felt by participants, knowledge acquisition, and the effectiveness of the deliberative process. By ensuring confidentiality, the survey fosters an environment where participants can offer candid responses, thereby enhancing the authenticity and usefulness of the data collected. The aggregated insights provide a comprehensive view of the assembly's performance from the participants' perspective, essential for evaluating process design integrity and the overall deliberative experience. This data collection is not just a procedural formality but a critical measurement method that underpins the continual refinement and success of Climate Assemblies.

The following table provides sample questions for each dimension of monitoring framework where participant input is relevant. To ensure they are non-leading, these questions should be included in a survey without headlines. Answers to the survey should be confidential and members should have the right not to answer any questions. Survey results should be public, but analysed in aggregate, protecting individual responses.

Table 7: Sample participant survey questionnaire

<p>Introduction</p> <p>As we conclude our Climate Assembly, your participation in this survey is vital to enhancing our understanding of the process and its outcomes. The questionnaire below is designed to gather your valuable feedback and measure various aspects of your experience, including your satisfaction, the impact the assembly had on you, the knowledge you gained, and the effectiveness of our deliberative processes.</p> <p>Your responses are confidential, and you have the right to abstain from answering any question. The collective insights will be shared publicly in an aggregated form to preserve your privacy. This survey is not merely a formality; it is a critical element in our commitment to continuous improvement. Your candid participation is crucial in shaping the future of Climate Assemblies.</p> <p>Please take a moment to reflect on your experience and provide your honest feedback on the following questions.</p>
<p>Questionnaire</p>

< Inclusivity and Diversity of Engagement >

- What is your age, gender, ethnicity, and socioeconomic status?
- Did you feel that the selection process for the Climate Assembly was conducted in a manner that was unbiased and reflective of the wider community?
- In your opinion, were there any groups or communities that were underrepresented or overrepresented in the Climate Assembly? If so, which ones?

< Preparatory materials >

- Were the preparatory materials you received accessible and easy to understand?
- Did the information materials present balanced views on the issue under discussion?
- Did the information materials present diverse arguments for and against [the issue under discussion]?
- Did you look up information yourself on [the issue under discussion] before or during your participation in the CA?
- Did you have sufficient information about [the issue under discussion] to engage in a meaningful discussion with the other participants?
- How effectively did the materials inform your discussions during the sessions?
- Were you able to request and obtain additional information beyond that which was initially provided to you by the organizers?

< Quality of deliberation >

- During the discussion, did you have enough opportunities to express your views?
- Did everyone have an opportunity to speak during the process?
- Were you able to present your opinion on [the issue under discussion] in a nuanced manner within the timeframe of the CA?

< Diversity of perspectives and solutions explored >

- How effectively do you think the assembly's outcomes represent diverse viewpoints?
- Do you feel like the final recommendations reflect all the participant ideas?
- Were your own ideas about [the issue under discussion] sufficiently reflected in the final recommendations?

< Facilitation effectiveness >

- How would you rate the performance and neutrality of the facilitators during the Climate Assembly?
- To what extent did you feel that the facilitators were neutral or biased (favoring certain opinions or offering theirs)? Please answer on a scale of 0 to 10, where 0 means “completely neutral” and 10 means “very biased”.

<Participant experience>

- Overall, how satisfied are you with your experience of the Climate Assembly? What would you suggest improving the experience for future participants?
- What aspects of the assembly contributed most to your learning experience?
- Does the outcome of the Climate Assembly process (such as the quality of the recommendations) match the expectations you had about this process when you received the initial invitation? Please explain.
- Do you think the length of the process was appropriate?
- Did you receive sufficient technical support and equipment, if needed?

<Participant perceptions>

- Because of my participation in the CA, I have come to understand different viewpoints on [the issue under discussion].
- Because of my participation in the CA, my knowledge on [the issue under discussion] has improved.
- Because of my participation in the CA, I have come to understand other perspectives on [the issue under discussion].
- I learned a lot about [the issue under discussion] from my participation in the CA.

Thank you for your participation in this survey!



Examples of other participant surveys include: An evaluative tool for CAs: The Citizens' Assembly Evaluation Survey ([CAES](#)), OECD Evaluation Guidelines for Representative Deliberative Processes [Member Questionnaire](#), an evaluative tool for CAs: Evaluation Report of the Austrian Climate Citizens' Assembly ([2022](#)), Scotland's Climate Assembly - process, impact and assembly member experience: research report - [Member Survey](#).

A2: Facilitator/expert/organizer interview questionnaire

The facilitator or organizer interviews are a critical component of Climate Assembly monitoring, designed to capture a multifaceted view of the assembly's process by collecting insights from those at the helm of its operations. This interview programme targets the unique perspectives of facilitators and organizers on elements like process design, implementation, and the encountered challenges, enriching the feedback obtained from participants. Their interaction with both the assembly participants and the commissioning body equips them with a comprehensive view of the deliberative experience and the structural framework. These questions presented in the following



table are designed to delve into the facilitators' experience and gain a comprehensive understanding of their perspectives on various aspects of the Climate Assembly process.

Table 8: Sample interview questionnaire

<p>Introduction</p> <p>As we conclude our Climate Assembly, your participation in this survey is vital to enhancing our understanding of the process and its outcomes. The questionnaire below is designed to gather your valuable feedback and measure various aspects of your experience in designing and running the assembly. Your responses are confidential, and you have the right to abstain from answering any question. The collective insights will be shared publicly in an aggregated form to preserve your privacy. Please take a moment to reflect on your experience and provide your honest feedback on the following questions.</p>
<p>Questionnaire</p> <p>< <i>Introductory questions</i> ></p> <ul style="list-style-type: none"> • Could you start by describing the tasks you were responsible for during the Climate Assembly? • What were the intended goals of the Climate Assembly, and what personal expectations did you have for the process? <p>< <i>Resources</i> ></p> <ul style="list-style-type: none"> • Were the resources provided adequate to achieve the intended goals of the Climate Assembly? <p>< <i>Facilitator preparation and training</i> ></p> <ul style="list-style-type: none"> • What were the primary responsibilities of the facilitators during the Climate Assembly? • How was the training curriculum for the facilitators developed and implemented? <p>< <i>Preparatory materials</i> ></p> <ul style="list-style-type: none"> • In your view, how well did the members of the process receive and understand the preparatory materials? • < <i>Political commitment</i> > • Can you elaborate on the political backing for the Climate Assembly and how it affected the process? <p>< <i>Diversity of participation</i> ></p> <ul style="list-style-type: none"> • How did you recruit members of the process? Please describe the process. • Were there any groups that you found hard to reach? If yes, how did you address this challenge?

- What strategies were employed to ensure a diverse range of participants in the Climate Assembly?
- How did you overcome challenges in reaching any underrepresented groups?
- What barriers to inclusion did you perceive during the Assembly, and what additional support could have addressed these?

<Process of Climate Assembly>

- What are your overall impressions about the way the process went?
- Did you achieve the objectives that were set out for this process?
- Are there any tools and approaches that could be used in future Climate Assemblies to ensure a more effective process of deliberation?
- What conflicts arose, and between whom? Did you experience any external influences on the process?

<Quality of deliberation>

- What specific deliberative techniques were utilized to facilitate discussions?
- Could you list the most prominent conflicting viewpoints that emerged during the deliberations?
- Did you observe any evolution in the members' arguments as the discussions progressed?

<Additional questions>

- Did you receive any participant feedback that led to modifications in the assembly process?
- How do you compare the Climate Assembly to other participatory methods?

Thank you for your participation in this interview programme!



Examples of other participant surveys include: An evaluative tool for CAs: Evaluation Report of the Austrian Climate Citizens' Assembly ([2022](#)), Scotland's Climate Assembly - process, impact and assembly member experience: research report – [Interview](#) guidelines.

