



**Empowering Citizens to Transform  
European Public Administrations**

---

---

## **Deliverable 2.1**

### **Requirements and parameters for the selection of relevant information**

---

---

<b>Editors:</b>	Koen Migchelbrink Steven Van de Walle
<b>Responsible Partner:</b>	KU Leuven
<b>Status-Version:</b>	Version 1.0 - Final
<b>Date:</b>	30/09/2018
<b>Distribution level (CO, PU):</b>	PU

<b>Project Number:</b>	GA 726755
<b>Project Title:</b>	CITADEL

<b>Title of Deliverable:</b>	Requirements and parameters for the selection of information
<b>Due Date of Delivery to the EC:</b>	30/09/18

<b>Workpackage responsible for the Deliverable:</b>	WP2 – Understand to Transform
<b>Editors:</b>	Koen.migchelbrink@kuleuven.be Steven.vandewalle@kuleuven.be
<b>Contributors:</b>	Marisa.escalante@tecnalia.com Leire.Orue-Echevarria@tecnalia.com Inaki.etxaniz@tecnalia.com Juncal.alonso@tecnalia.com pieter.gryffroy@timelex.eu tatjana.muravska@lu.lv zzeibote1@gmail.com sergejs.stacenko@inbox.lv
<b>eReviewer:</b>	Gayane.Sedrakyan@UGent.be
<b>Approved by:</b>	All Partners
<b>Recommended/mandatory readers:</b>	Recommended to all partners

<b>Abstract:</b>	This report presents is the first deliverable of WP2. It presents the collected data on PAs' requirements for information monitoring services and assessment services to be developed in WP4. Concretely, this report presents information collected from open source data bases, the vignette experiments into public officials' willingness to engage with citizens, the study into non-adoption of digital services, and the survey research into public officials' participation attitudes conducted at the three Use Cases.
<b>Keyword List:</b>	WP2, PA's requirements, information monitoring, vignette experiments, willingness to engage, non-adoption, electronic government services, Citizen Service Centres, use cases, survey, participation attitudes, E-government, non-take-up, digital literacy,



	innovation adoption; information requirements, relevant information, D2.1, Digital Maturity Model, DIGIMAT
<b>Licensing information:</b>	This work is licensed under Creative Commons Attribution-ShareAlike 3.0 Unported (CC BY-SA 3.0) <a href="http://creativecommons.org/licenses/by-sa/3.0/">http://creativecommons.org/licenses/by-sa/3.0/</a>
<b>Disclaimer</b>	This document reflects only the author's views and neither Agency nor the Commission are responsible for any use that may be made of the information contained therein

## Document Description

### Document Revision History

Version	Date	Modifications Introduced	
		Modification Reason	Modified by
v0.1	30/01/2017	Initial Table of Contents	KUL
v0.2	09/02/2017	Comments and suggestions received by consortium partners	KUL & TECNALIA
V0.3	07/17/2018	Main update of the document	KUL
V0.4	04/09/2018	Inclusion of the eGovernment Maturity Assessment	TECNALIA
V0.5	06/09/2018	Inclusion of the updated texts of the non-use and vignettes papers	KUL
V0.6	12/09/2018	Update of the GDPR-compliance questionnaire	TECNALIA & Time.lex
V0.7	25/09/2018	Update of document after internal review	Imec, KUL, TECNALIA & Time.lex
V1.0	27/09/2018	Document ready for submission	TECNALIA

## Table of Contents

Table of Contents .....	5
List of Figures .....	7
List of Tables.....	7
Terms and abbreviations.....	9
Executive Summary .....	10
1 Public officials’ willingness to engage .....	11
1.1 Public officials’ attitudes toward citizen engagement.....	11
1.1.1 The perceived administrative openness to citizens .....	11
1.1.2 Citizens readiness to engage with administrations.....	13
1.1.3 Relative importance of citizen participation according to public managers .....	15
1.1.4 Conclusions of the country comparison.....	18
1.2 When will public officials listen? A vignette experiment on the role of input legitimacy on public officials’ willingness to use public participation.....	20
1.2.1 Introduction.....	20
1.2.2 Previously identified determinants of attitudes .....	21
1.2.3 Explaining public participation using input legitimacy.....	23
1.2.4 Method.....	24
1.2.5 Main results.....	28
1.2.6 Discussion.....	31
1.2.7 Conclusion .....	32
1.3 Surveying public officials’ attitudes about citizen engagement in the use-cases.....	34
1.3.1 Contents .....	34
1.3.2 Rule abiding attitudes .....	34
1.3.3 Democratic attitudes.....	35
1.3.4 Red tape perceptions .....	35
1.3.5 Idiosyncratic attitudes.....	36
1.3.6 Citizen competence attitudes .....	37
1.3.7 Fielding .....	37
2 User exit and non-take-up.....	38
2.1 Public Officials Ability to Take-Up New Technologies.....	38
2.1.1 Introduction.....	38
2.1.2 Digital literacy and ICT Skills.....	38
2.1.3 Country-based variance in ICT-skills.....	39
2.1.4 Idiosyncratic evidence for public officials’ take-up ability .....	42
2.1.5 Importance of digital government to civil servants .....	44
2.1.6 Conclusion .....	44

2.2	Explaining non-adoption of electronic government services by citizens. A study among non-users of public e-services in Latvia .....	46
2.2.1	Introduction.....	46
2.2.2	What do we know about determinants of non-use of electronic government services? .....	47
2.2.3	Method and data.....	48
2.2.4	Findings .....	51
2.2.5	Discussion.....	52
2.2.6	Conclusion .....	54
2.3	eGovernment Maturity Assessment .....	55
2.3.1	Introduction.....	55
2.3.2	Functional approach.....	55
2.3.3	Analysis of existing standards, studies and regulations.....	56
2.3.4	Definition of the structure .....	59
2.3.5	Definition of the content.....	60
2.3.6	Questionnaire.....	60
3	References.....	89
	Appendix I. Vignette experiment survey instrument (English) .....	97
	Appendix II. Willingness to engage descriptive results - use case: city of Antwerp .....	124
	Appendix III. Willingness to engage descriptive results - use case: VARAM.....	158
	Appendix IV. Willingness to engage descriptive results - use case: Puglia Regio .....	183
	Appendix V. Willingness to engage descriptive results - use case: Antwerp OCMW .....	208
	Appendix VI. Non-use of digital services survey instrument (English).....	236

---

## List of Figures

---

FIGURE 1. SAY IN WHAT GOVERNMENT DOES, ESS 7 <sup>TH</sup> WAVE (0 = NOT AT ALL, 10 = COMPLETELY).....	12
FIGURE 2. SAY IN WHAT GOVERNMENT DOES, ESS 8 <sup>TH</sup> WAVE (1 = NOT AT ALL, 5 = A GREAT DEAL) .....	12
FIGURE 3. EASE WITH WHICH TO TAKE PART IN POLITICS (0 = NOT AT ALL EASY, 10 = EXTREMELY EASY).....	13
FIGURE 4. CONFIDENCE IN OWN ABILITY TO TAKE PART IN POLITICS, ESS 7 <sup>TH</sup> WAVE (0 = NOT AT ALL CONFIDENT, 10 = COMPLETELY CONFIDENT) .....	14
FIGURE 5. CONFIDENCE IN OWN ABILITY TO TAKE PART IN POLITICS, ESS 8 <sup>TH</sup> WAVE (1 = NOT AT ALL CONFIDENT, 5 = COMPLETELY CONFIDENT) .....	14
FIGURE 6. HAVING EXPERTS, NOT GOVERNMENT, MAKE DECISIONS ACCORDING TO WHAT THEY THINK IS BEST FOR THE COUNTRY.....	15
FIGURE 7. PERCEIVED FIVE-YEAR CHANGE IN PERFORMANCE ON CITIZEN PARTICIPATION AND INVOLVEMENT (N=6317).....	18
FIGURE 8. VIGNETTE EXPERIMENT BASE VIGNETTES .....	26
FIGURE 9. DENSITY PLOTS WITH NORMALITY LINE FOR EACH DEPENDENT VARIABLE .....	27
FIGURE 10. VIGNETTE EXPERIMENT RESULTS .....	28
FIGURE 11. PERCENTAGE OF HOUSEHOLDS WITH INTERNET ACCESS (2016).....	40
FIGURE 12. INDIVIDUALS' INTERNET USAGE (2016).....	40
FIGURE 13. PERCENTAGE OF INDIVIDUAL'S BASIC INTERNET SKILLS AND USAGE .....	42
FIGURE 14. SELF-ASSESSMENT OF JOB-RELATED SKILLS IN %.....	43
FIGURE 15. IMPORTANCE OF DIGITAL OR E-GOVERNMENT, MEAN AND SD (N=6.537).....	44
FIGURE 16. PROCESS FOLLOWED TO CREATE THE DIGIMAT .....	56
FIGURE 17. AREAS AND DIMENSIONS FOR THE DIGITAL MATURITY ASSESSMENT MODEL.....	60

---

## List of Tables

---

TABLE 1. INDEPENDENT SAMPLE T-TESTS BETWEEN PUBLIC SECTOR AND NON-PUBLIC SECTOR EMPLOYEES (ESS, 7 <sup>TH</sup> ROUND) .....	15
TABLE 2. CITIZEN PARTICIPATION ACCORDING TO EUROPEAN TOP CIVIL SERVANTS (COCOPS) .....	16
TABLE 3. COUNTRY COMPARISONS WILLINGNESS TO ENGAGE.....	19
TABLE 4. SAMPLE AVERAGE TREATMENT EFFECTS .....	29
TABLE 5. EFFECTS OF TURNOUT AND PARTICIPANTS' REPRESENTATIVENESS .....	30
TABLE 6. SURVEY QUESTIONS: RULE ABIDANCE .....	35
TABLE 7. SURVEY QUESTIONS: DEMOCRATIC ATTITUDES.....	35
TABLE 8. SURVEY QUESTIONS: JOB-CENTRED RED TAPE PERCEPTIONS .....	36
TABLE 9. SURVEY QUESTIONS: IDIOSYNCRATIC PARTICIPATION ATTITUDES.....	36
TABLE 10. SURVEY QUESTIONS: CITIZEN COMPETENCE PERCEPTIONS .....	37
TABLE 11. PUBLIC OFFICIALS' ATTITUDES TOWARD ENGAGEMENT SURVEY FIELDING HISTORY .....	37
TABLE 12. COMPARATIVE TABLE ABILITY TO TAKE UP NEW TECHNOLOGIES.....	45
TABLE 13. RESPONDENT CHARACTERISTICS .....	50
TABLE 14. DATA PROCESSING AREA .....	62
TABLE 15. ICT TECHNOLOGIES AREA.....	63
TABLE 16. RELATIONSHIP WITH EXTERNAL AGENTS' AREA .....	65
TABLE 17. INTERACTION WITH CITIZENS AREA .....	66
TABLE 18. TRAINING TO THE PEOPLE INVOLVED AREA .....	68
TABLE 19. INTERACTION WITH CITIZENS AREA .....	69
TABLE 20. STANDARDS COMPLIANCE AREA.....	70
TABLE 21. AWARENESS AND TRAINING .....	73
TABLE 22. GDPR GOVERNANCE AND DPO .....	74

TABLE 23. RECORD AND OVERSIGHT OF PROCESSING ACTIVITIES .....	75
TABLE 24. COMMUNICATION ABOUT PROCESSING.....	77
TABLE 25. CONSENT OF PA .....	79
TABLE 26. ACCOMMODATING CITIZEN'S RIGHTS AS DATA SUBJECTS.....	81
TABLE 27. DATA BREACH MANAGEMENT .....	83
TABLE 28. DPIA AND DATA PROTECTION BY DESIGN AND DEFAULT.....	84
TABLE 29. INTERNATIONAL.....	85
TABLE 30. CONTRACTS .....	86

---

## Terms and abbreviations

---

CSC	Citizen Service Centres
ESS	European Social Survey
Eurofound	European Foundation for the Improvement of Living and Working Conditions
EVS	European Values Survey
EWCS	European Working Conditions Survey
ICT	Information and Communication Technologies
PA	Public Administration
SATE	Sample Average Treatment Effect
WP	Work Package

## Executive Summary

This report on requirements and parameters for the selection of relevant information constituted Deliverable 2.1 of Work Package 2 *Understand to Transform* in the CITADEL Project. The objective of WP2 is “*to collect information coming from citizens and other stakeholders [public officials] in order to analyse and understand which are the required transformations needed to be carried out in the policies and processes of the PAs so as to deliver services with higher added-value, more effectively, and more efficiently*” [1, p. 13]. In this report we take the first step by collecting, monitoring, and analysing information on public officials’ attitudes, and on the contexts and behaviours of citizens [1, p. 13]. As such, this report is primarily reflective of task 2.1 *Collect and monitor information from different sources* presented in the CITADEL Grant Agreement (p.13). The studies presented in this report serve as requirements and parameters for the CITADEL Assessment service [KR6] and the CITADEL Information Monitoring service [KR2] [1].

In the first part of the report, we study public officials’ willingness to engage with citizens. Public officials’ willingness to engage with citizens is understood to be a prerequisite to citizen-centric public administrations. We start out with a broad-country based overview of citizens’ voice in decision-making in the EU based on open source data (as required by task 2.1 [1]). We then present the results of the vignette experiment into public officials’ attitudes toward citizen participation (willingness to engage, perceptions quality, and anticipation of popular support). The vignette experiment is one of the main studies conducted within the CITADEL WP2 and was conducted among public officials at the city of Antwerp. Finally, we present the contents of a survey into public officials’ attitudes toward citizen engagement (voice and exit) conducted in each use case. This survey will help use case organizations tailor specific training solutions for their staff prior to developing new involvement and open data initiatives. The descriptive results of these surveys are presented in the appendix to this report.

In the second part of the report, we study citizens’ ability to take-up electronic government services. We again start out with a broad country-based overview of citizens’ digital abilities and use of Internet solutions. We use open source data, like Eurostat, Eurofound, and European Social Survey (ESS) to provide a first impression of Internet use in the EU. We then present the results of the interview study *Explaining non-adoption of electronic government services by citizens. A study among non-users of public e-services in Latvia*, using 133 in-depth interviews conducted with users of Latvian Citizen Service Centers (CSCs). This study focusses on the motives of citizens to use physical channels of public service provision when digital alternatives are available.

In the third part, we present the eGovernment Maturity assessment model. The main objective of this model is to assess the Digital Maturity of a Public Administration in order to provide improvement recommendations. It provides a gap analysis in the form of recommendations on various topics. In this document, we focus on the source questionnaire.



# 1 Public officials' willingness to engage

Central to the success of participatory processes are public officials willing to engage with citizens [2]–[7]. They are involved in all stages of the participatory process; they influence how participation takes place and what is done with the specific inputs [5], [8], [9]. In this section we examine public officials' attitudes toward citizen engagement. First, we collect information on public officials' willingness to engage with citizens by means of existing open data repositories such as the European Social Survey [10], and the European Values Study (EVS) [11]. Second, we present a vignette experiment study into the effects of input legitimacy on public officials' willingness to engage with citizens. This study provides requirements and parameters on how to open-up public administrations to citizens voice and engagement. Third, we present to content of the CITADEL-wide *willingness to engage* survey conducted among each use case of the project. The descriptive results of these surveys are included in the appendix of this report. This survey provides use-case data on the requirements and parameters for the information monitoring services that are developed in WP4.

## 1.1 Public officials' attitudes toward citizen engagement.

To which extent are public officials willing to let citizens engage in administrative decision-making and service delivery? Public officials willing to accept citizens' Voice, Exit, and initiatives in transforming public policies and processes are crucial to creating more effective, efficient and citizen-centric public administrations (PAs). In this opening paragraph we provide a country-level comparison of the experienced openness of the administrative system to citizens, and citizens readiness to engage with public administrations, based on open source repositories. The paragraph corresponds to part of WP2 requirements under task 2.1 *collect and monitor information from different sources*. As stated in the Grant Agreement, task 2.1 focusses on public officials' attitudes toward citizens ("willingness to accept citizens' Voice and Exit") and information related to the citizens. We review four indicators: the perceived say in what government does, perceived ease to take part in politics, confidence in own ability to take part in politics, and attitudes toward expert decision-making. These indicators assess respondents' self-assessed political efficacy and democratic/technocratic attitudes, both much discussed indicators in public engagement research [2], [3].

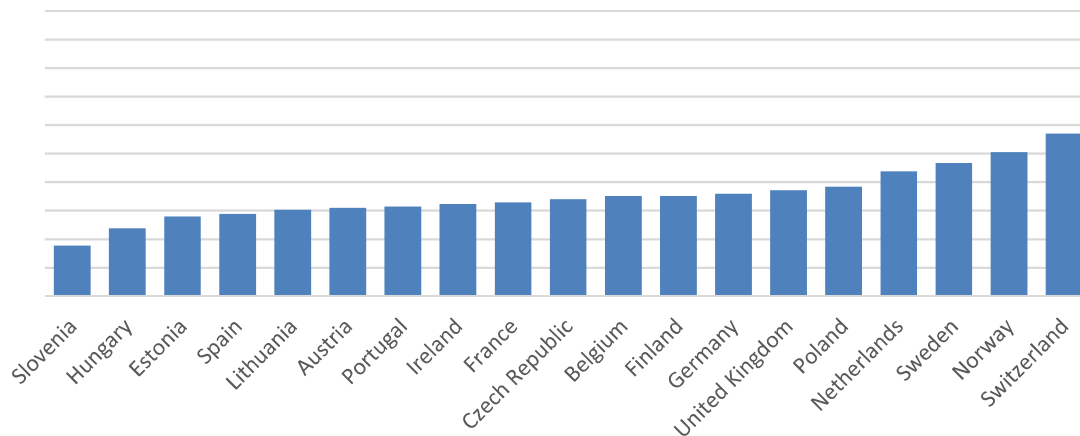
The open data repositories used in this pilot are the European Social Survey (ESS) [10], [12] and the European Values Survey (EVS) [11]. The ESS is an academically driven, biannual, cross-national survey that measures the attitudes, beliefs, and behavioral patterns of Europeans. The data used here is derived from the 2014, 7<sup>th</sup> round that includes 40.185 respondents from 24 countries, and the 2018 8<sup>th</sup> round with 44.387 respondents from 23 countries [10], [12]. The EVS is a cross-national, longitudinal survey, providing data on ideas, beliefs, preferences, attitudes, values, and opinions of citizens all over Europe. The study uses the data from the most recent, 2008, 4<sup>th</sup> wave from over 70.000 respondents from 47 countries and regions [11]. Furthermore, we present never before published data from the *Coordinating for Cohesion in the Public Sector of the Future* (COCOPS) project [13]

On a methodological note, the ESS changed its scaling for some of its variables from an 11-point continuous scale in the 7<sup>th</sup> round to a 5-point ordinal scale in the 8<sup>th</sup> round [10], [12]. In order to avoid scale-based confusion, we will present the data of both waves in separate figures.

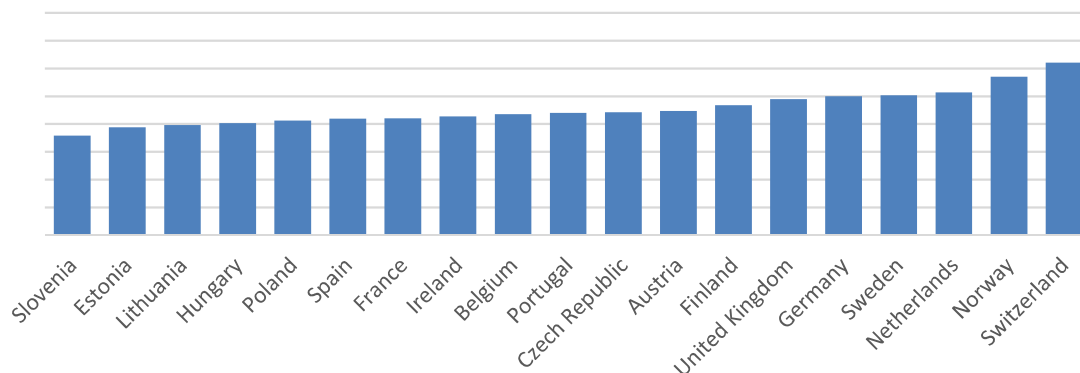
### 1.1.1 The perceived administrative openness to citizens

Countries with an open administrative system are expected to be more engaging with their citizens than countries with an administrative system that its citizens perceive to be closed off. We use two indicators to help assess the openness of the politico/administrative system in a number of countries in and around the EU.

First, the say respondents perceive to have in what their government does. If say is perceived to be low, then citizens will likely be less engaged in administrations than when say is perceived to be high. The data come from the 7<sup>th</sup> and 8<sup>th</sup> waves of the ESS, in which respondents were asked to rate: *How much would you say the political system in [country] allows people like you to have a say in what the government does?* [10], [12]. The figures below show the mean-results for the countries surveyed in both years.



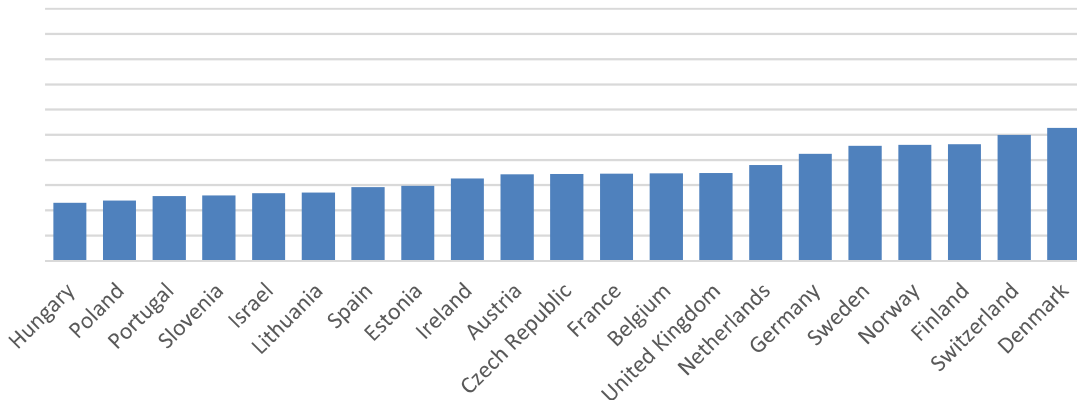
**Figure 1.** Say in what government does, ESS 7<sup>th</sup> wave (0 = not at all, 10 = completely)



**Figure 2.** Say in what government does, ESS 8<sup>th</sup> wave (1 = not at all, 5 = a great deal)

Respondents from countries at the right side of the figure are most positive about the say they have in what government does in their country, respondents from the left side of the figure are least positive about the say they have in what government does in their country. In addition to clear country-based variance across the board, we can observe a distinct grouping of countries. Respondents from Switzerland, Norway, and Sweden (7<sup>th</sup> wave) and Switzerland, Norway, and The Netherlands (8<sup>th</sup> wave) are most positive about the say they have in what government does. Respondents from Slovenia, Hungary, and Estonia (7<sup>th</sup> wave) and Slovenia, Estonia, and Lithuania (8<sup>th</sup> wave) are least positive about the say they have in what government does in their country. Some interesting differences in the country rankings between both waves can be observed. For example, respondents from Poland are comparatively less positive about the say they have in what government does in their country according to the eighth wave than according to the seventh wave. On the other hand, respondents from Austria have become considerably more positive.

Second, the perceived ease with which citizens can take part in politics. It is assumed that citizens from countries' whose respondents rate the ease with which they can participate as relatively high are easier engaged in the administrative process than citizens from countries whose respondents rate this ease lower. Data is only available for the 7<sup>th</sup> wave of the ESS. Respondents were asked to rate the following statement: *how easy do you personally find it to take part in politics?* on an 11-point scale. The figure below shows the results for each of the countries in the 7<sup>th</sup> wave of the ESS.



**Figure 3.** Ease with which to take part in politics (0 = not at all easy, 10 = extremely easy)

Again, we see substantial country-based variation in the distribution of mean-country results. Respondents from Denmark, Switzerland, and Finland are most positive about the ease with which they can take part in politics. Respondents from Hungary, Poland, and Portugal are least positive.

### 1.1.2 Citizens readiness to engage with administrations

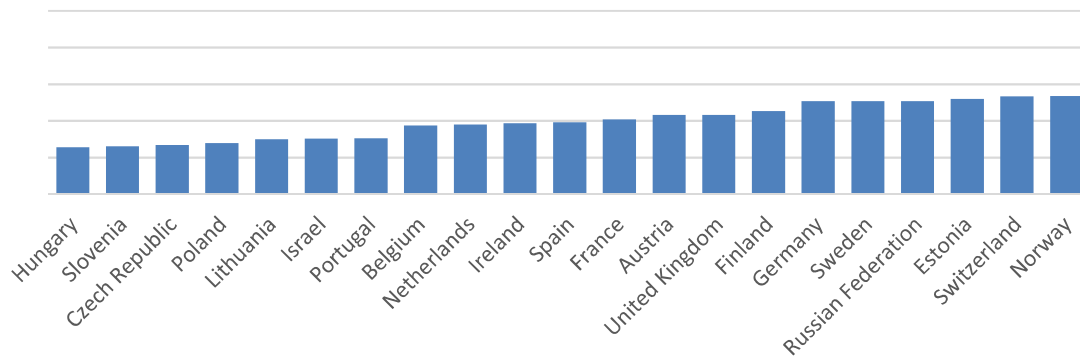
Overall, the readiness of citizens to engage with administrations is also rather low. We use two indicators to assess the readiness of citizens to engage with administrations: respondents' confidence in their ability to take part in politics and respondents' assessments of a political system based on expert decision making.

The 7<sup>th</sup> and 8<sup>th</sup> wave of the ESS both survey respondents' confidence in their ability to participate in politics (*"how confident are you in your own ability to participate in politics?"*). Respondents who do not feel confident to participate are likely not ready to engage with administrations. Figures 4 and 5 display the mean scores per country of respondents' confidence in their own ability to participate for the 7<sup>th</sup> and 8<sup>th</sup> waves of the ESS.

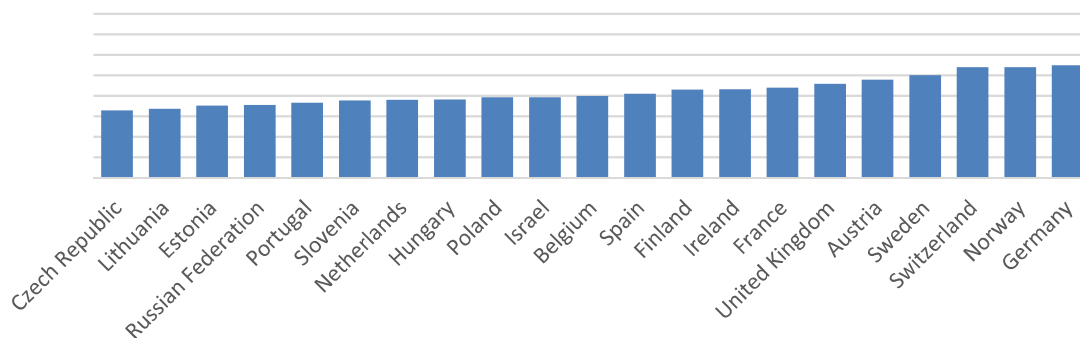
The country-based variability in the readiness scores is again substantial. For the 7<sup>th</sup> wave, respondents from countries like Norway, Switzerland, Estonia are most confident in their own ability to take part in politics. Respondents from countries like Hungary, Slovenia, and Czech Republic are least confident. Save for some small changes, a similar distribution in confidence scores can be observed for the 8<sup>th</sup> ESS wave. In this latest wave, respondents from countries like Germany, Norway, and Switzerland are most confident in their own ability to take part in politics. Respondents from countries like Czech Republic, Lithuania, and Estonia are least confident. Interestingly, respondents from Germany have become remarkably more confident in their ability to participate between the 2014 and 2016 data.

Furthermore, respondents from Denmark, Sweden and Switzerland are more hesitant about a political system based on expert decision making than respondents from Hungary, Slovenia, and Poland. The pattern of countries observed above remains relevant. Figures 4 and 5 display the

country distributions of respondents' confidence in their ability to participate and respondents' preferences for a political system based on expert decision making.

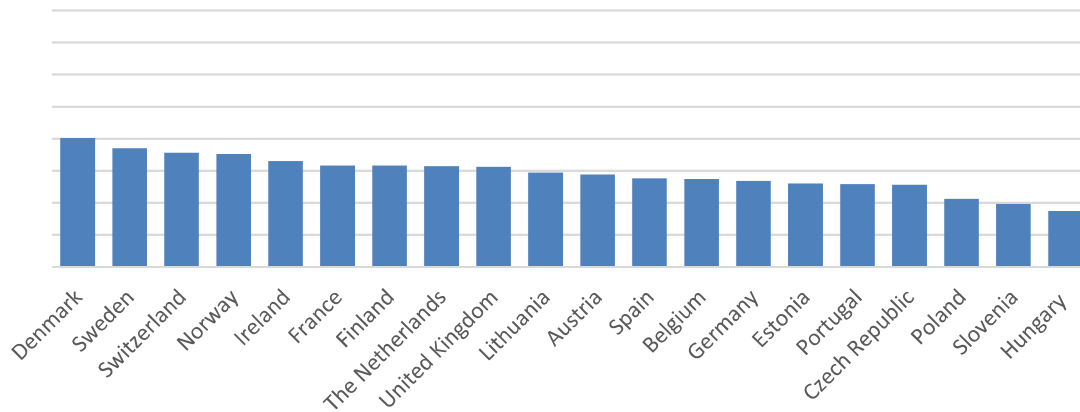


**Figure 4.** Confidence in own ability to take part in politics, ESS 7th wave (0 = not at all confident, 10 = completely confident)



**Figure 5.** Confidence in own ability to take part in politics, ESS 8th wave (1 = not at all confident, 5 = completely confident)

The second indicator of citizens' readiness to engage in administration is their attitudes toward expert decision-making. Citizens with a strong preference toward expert decision-making opposed to non-experts (e.g. citizens) making administrative decisions. Data about respondents' attitudes toward expert decision-making comes from the EVS [11]. The 2008 (4<sup>th</sup>) wave of the EVS asked respondents to rate the following statements between very good (1) and very bad (4): *"Having experts, not government, make decisions according to what they think is best for the country"* [11].



**Figure 6.** Having experts, not government, make decisions according to what they think is best for the country

Figure 6 shows that respondents from countries like Hungary, Slovenia, and Poland are most positive about political systems in which experts, not government, makes the decisions. The figure also shows that respondents from countries like Denmark, Sweden, and Switzerland are most negative about a political system in which experts, not the government makes the decisions.

Respondents working in the public sector are generally more pronounced than respondents not working in the private sector. We conducted four independent sample t-tests to test for differences (see table 1). Public sector employees assess their say on what government does and the ease with which they can take part in politics significantly higher than non-public sector employed respondents do. Furthermore, public sector employee respondents are also more positive about their own perceived ability to take part in politics and less positive about having experts, not government, make decisions according to what they think is best for the country.

**Table 1.** Independent sample t-tests between public sector and non-public sector employees (ESS, 7<sup>th</sup> round)

Query	Mean difference	t-statistic	df.	p-value
Political system allows people to have a say in what government does	-,343	-7,388	4364,262	,000
Confident in own ability to participate in politics	-,419	-8,030	4401,085	,000
Easy to take part in politics	-,431	-8,700	4298,224	,000
Political System: experts making decisions	,258	2,561	103,366	,012

### 1.1.3 Relative importance of citizen participation according to public managers

Additional cross-country evidence can be found in the COCOPS project's Top Executive Survey [13]. We first describe a number of cross-country differences, and will then attempt to explain variation at the individual and national level.

First, we look at how important the use of citizen participation methods is according to top civil servants, when looking at their own policy domain (1. 'not at all', 7 'to a large extent'). The picture emerges that top civil servants in most countries do not see the use of citizen participation methods as an important trend. This is especially the case in France and Hungary. When subsequently asked to assess whether things have deteriorated significantly (1) or improved significantly (7) when it comes to citizen participation and involvement during the last five years, a pretty flat picture emerges (figure 7). In most countries, the mean scores are around the center of the scale, indicating that on average top civil servants see very little change. Public

officials in Spain and France are more pessimistic, whereas the picture is slightly more positive in Estonia and Norway. We do see a fair deal of variation in the scores, suggesting that within countries the answers vary widely. To explore this variation, we ran two linear regression; with the importance of citizen participation methods and changes in citizen participation as dependent variables. Independent variables include individual respondents' characteristics, characteristics of the type of organization and policy sector within which they are active. Country fixed effects are added using country dummies (see table 2).

**Table 2.** Citizen Participation according to European top civil servants (COCOPS)

	Trend: citizen participation methods		5-year change in Citizen participation and involvement	
	B	Std. Error	B	Std. Error
sex (ref. is male)				
resp is female	0,140	0,053** <sup>1</sup>	0,141	0,040**
sex is missing	0,119	0,181	-0,026	0,139
age (ref. is 45 or less)				
age 46-55	-0,078	0,062	-0,076	0,047
age over 55	-0,080	0,067	-0,196	0,051***
age is missing	-0,518	0,242*	-0,095	0,209
Education (ref. is BA-level or lower)				
MA level	-0,036	0,076	0,003	0,059
PhD level	-0,135	0,101	0,067	0,078
no education indicated	0,238	0,143	0,121	0,110
hierarchical level (ref. is first)				
second	-0,121	0,067	-0,137	0,052**
third	-0,306	0,074***	-0,243	0,057***
Private sector experience (ref. is 1 year or less)				
1-5-year private sector experience	0,148	0,060*	-0,045	0,046
more than 5 years private sector experience	0,104	0,068	-0,085	0,052
private sector experience not indicated	0,250	0,093**	0,063	0,072
org. size (ref. is < 100)				
org size is between 100 and 499	0,002	0,071	-0,072	0,055

<sup>1</sup> \*p < .05.

\*\*p < .01.

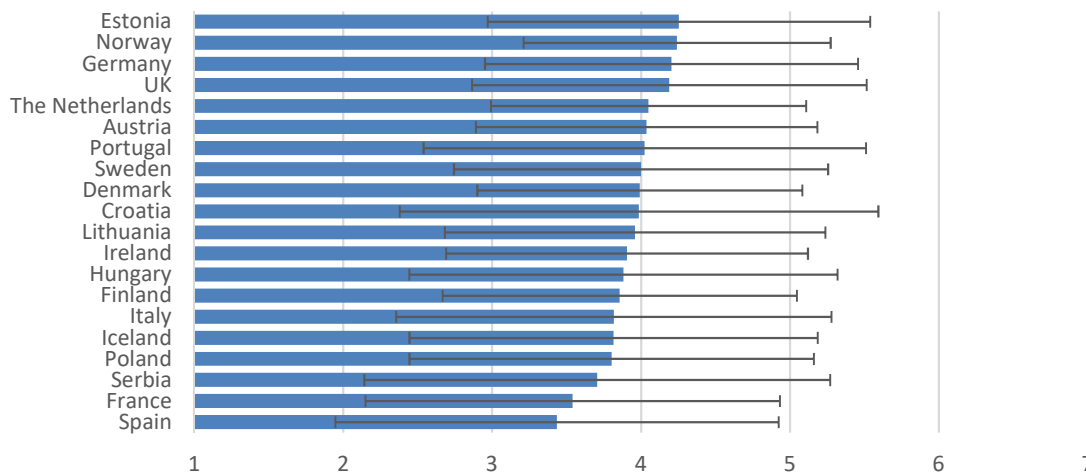
\*\*\*p < .001.

org size is between 500 and 999	0,103	0,089	-0,054	0,069
org size is 1000 or more	0,154	0,078*	-0,151	0,060*
agency	-0,181	0,055**	-0,196	0,043***
policy field				
infrastructure, environment, agriculture, transportation	0,325	0,070***	0,286	0,055***
finance and economic affairs	-0,288	0,065***	-0,040	0,050
general government, foreign affairs	0,004	0,065	-0,015	0,050
employment, health, social protection and welfare	0,261	0,068***	0,043	0,053
education, recreation, culture, religion	0,177	0,080*	-0,063	0,062
other	-0,044	0,068	0,019	0,053
justice, public order, safety, defense	-0,251	0,075**	-0,149	0,058*
country dummies (ref. is Germany)				
United Kingdom	-0,226	0,158	0,245	0,122*
France	-1,323	0,156***	-0,611	0,121***
Spain	-0,942	0,160***	-0,730	0,123***
Italy	-0,215	0,155	-0,234	0,121
Estonia	0,470	0,155**	0,071	0,121
Norway	-0,409	0,157**	0,196	0,121
The Netherlands	-0,422	0,148**	-0,069	0,115
Hungary	-1,215	0,157***	-0,273	0,121*
Portugal	0,668	0,165***	-0,134	0,128
Lithuania	-0,913	0,158***	-0,136	0,124
Austria	-0,429	0,157**	-0,096	0,121
Serbia	-0,668	0,160***	-0,431	0,123***
Ireland	-0,697	0,154***	-0,220	0,119
Sweden	-0,161	0,160	-0,016	0,124
Denmark	-0,565	0,155***	-0,119	0,120
Finland	0,222	0,155	-0,158	0,120
Iceland	-0,440	0,159**	-0,290	0,122*
Croatia	-0,455	0,163**	-0,244	0,126
Poland	-0,394	0,160*	-0,250	0,123*
(Constant)	4,364	0,167***	4,476	0,129***
N	5143		4975	
Adjusted R2	0,092		0,040	

\*p &lt; .05. \*\*p &lt; .01. \*\*\*p &lt; .001.

First, we look at the variation in whether citizen participation methods are a common trend. Female top civil servants see this as a more significant trend. Compared to managers at the top level or just below, public managers at the third hierarchical level of an organization perceive less use of citizen participation methods. In addition, there are some important differences across policy fields. Respondents working in infrastructure, environment, agriculture, and transportation, or for instance in employment, health, social protection and welfare see significantly more use of participation methods than managers working in the field of finance and economic affairs or justice, public order, safety, and defense. This is not surprising given the nature of the work that is performed in these domains. It probably also reflects historical developments in some sectors. In the area of urban planning or environmental issues, participation is already quite old, and often legally prescribed. Finally, there are important difference across countries. In Estonia and Portugal for instance, managers' report considerably more use of participation methods. We need to add though that the explanatory value of the model remains low, suggesting that variation cannot be adequately explained by looking at the factors mentioned here alone.

Secondly, we look at variation in how managers assess changes in citizen participation and involvement. Here, the model performs even worse. Still, a number of significant effects stand out. Female civil servants are more positive about the changes, whereas older civil servants are less positive. The higher one sits in the organizational hierarchy, the more positive one is about changes in citizen involvement. Managers working for an agency are less positive. Again, there are policy sector differences. Respondents in the field of infrastructure, environment, agriculture and transportation are more positive, whereas those working in justice and public order are more negative about the development. There are fewer differences across countries, compared to the question whether citizen participation is taking place. Especially in Spain and France, respondents are more negative about changes in citizen involvement.



**Figure 7.** Perceived five-year change in performance on citizen participation and involvement (N=6317)

#### 1.1.4 Conclusions of the country comparison

In summary, the openness of the administrative system and the citizen readiness to engage differ substantively per country. Furthermore, public managers do not see the use of methods of citizen participation as an important trend.

Interestingly, Northwestern European countries appear to be significantly readier to engage the public in administrative decision-making than Southeastern European countries. Especially the Scandinavian countries plus Denmark and Switzerland score high on all related variables. On the



other hand, Hungary, Slovenia, Estonia, Portugal, and Poland score consistently low on these same variables. Because these patterns of countries have similar cultural and administrative characteristics, the findings lend support to a cultural/institutionalist interpretation of readiness. In table 3, the country results have been ranked from relatively high readiness to relatively low readiness. The countries indicated in green are considered most ready to engage citizens in administrative decision making, the countries in red least ready.

**Table 3.** Country Comparisons Willingness to Engage

Country	Rank	Perceived say in what government does	Perceived ease to take part in politics	Confidence in own ability to take part in politics	Disapproval of expert decision making
Switzerland	1	5,7	4,99	5,33	1,78
Denmark	2	4,84	5,27	5,18	2,01
Norway	3	5,05	4,6	5,35	1,76
Sweden	4	4,66	4,56	5,07	1,85
Germany	5	3,59	4,24	5,07	1,34
Finland	6	3,51	4,62	4,52	1,58
The Netherlands	7	4,37	3,8	3,79	1,57
United Kingdom	8	3,71	3,48	4,32	1,56
France	9	3,29	3,45	4,08	1,58
Austria	10	3,1	3,42	4,32	1,44
Belgium	11	3,51	3,46	3,74	1,37
Ireland	12	3,22	3,26	3,87	1,65
Spain	13	2,88	2,91	3,92	1,38
Czech Republic	14	3,4	3,44	2,67	1,28
Lithuania	15	3,03	2,7	2,99	1,47
Portugal	16	3,14	2,57	3,05	1,29
Poland	17	3,84	2,38	2,77	1,06
Estonia	18	2,79	2,69	2,82	1,3
Hungary	19	2,37	2,29	2,56	0,87
Slovenia	20	1,77	2,59	2,61	0,98

## 1.2 When will public officials listen? A vignette experiment on the role of input legitimacy on public officials' willingness to use public participation.

Public officials can be reluctant to use citizens' input in decision-making, especially when turnout is low and when participants are unrepresentative of the wider population. Using the democratic legitimacy approach by Scharf [14]–[16], we conduct a survey-based vignette experiment among public officials to test the effects of turnout and participants' representativeness on public officials' attitudes toward public participation. Specifically, we test how the input legitimacy of participatory processes affects: (1) public officials' willingness to use public participation in administrative decision-making, (2) their assessment of the quality of the policy decisions, and (3) their anticipation of popular support for the policy outcomes. We find that turnout and participants representativeness have a positive and significant effect on public officials' attitudes toward public participation. Specifically, participants' representativeness strongly influences public officials' willingness to use citizens' inputs, more so than turnout does. The study shows that traditional democratic considerations remain an important aspect of public officials' decision-making process, also in non-traditional and direct forms of public participation.

### Practitioner Points

- High turnout and participants' representativeness play an important role in fostering public officials' willingness to use public participation.
- Public officials' positive assessments of public participation are better served by providing no information about turnout and participants' representativeness than with information about either low turnout or low participant representativeness.
- Traditional democratic input considerations remain important in public officials' decision-making process based on direct public participation.

### 1.2.1 Introduction

Public officials' positive attitudes toward public participation are crucial to the success of public engagement efforts [3], [5]. However, a lack of input legitimacy during participatory processes, for instance when actual participation is low, or when those who participate are not representative of the wider population, can make public officials reluctant to use citizens' input in the decision-making process. Public officials deplore what they see as the same handful of people participating on a regular basis [5], [17], and can consider public participation without sufficient input legitimacy to be an unwanted burden [18], [19]. Unless public officials assess the inputs of citizens to be sufficiently representative, they might fail to make use of those inputs completely.

Proponents of direct public participation argue that public participation is instrumental in increasing the quality and legitimacy of public administrations (e.g.: [20], [21]), that it facilitates the identification of new ideas and solutions to societal challenges [9], [22]–[24], that it serves as a client feedback mechanism for public services [25], and that it fosters community support for government programs and policies [21], [26], [27]. On the other hand, opponents argue that public participation serves at best as yet another opportunity for the participatory elite (male, well-educated, affluent citizens) to press their advantages, and at worst as a waste of administrative resources, time, and money, resulting in suboptimal and biased policy outcomes [18], [28], [29].

Central to the success of participatory processes are public officials who are willing to engage with citizens [2]–[7]. Public officials' are involved in all stages of the participatory process, they influence how participation takes place and how public inputs are put into practice [5], [8], [9].

According to Yang and Callahan [5] *“it stands to reason that favourable attitudes toward public participation may positively affect administrative decisions to include citizens in administrative processes”* (p. 250; see also: [6], [30]).

In this section, we study how public officials’ attitudes toward including public inputs in administrative decision-making are affected by the input legitimacy of the participatory process. Are public officials more willing to use citizens’ inputs in administrative decision-making when these inputs come from a participatory process that is characterized by high turnout and representative participants instead of low turnout and unrepresentative participants? Do public officials believe that participatory processes with high input legitimacy produce qualitatively better policies and decisions than processes with low input legitimacy? Do public officials anticipate the turnout and participants’ representativeness to affect the popular support for policies and decisions? We formulate the following research question:

*What is the effect of the input legitimacy of a participatory process on attitudes of public officials toward public participation in administrative decision-making?*

We address this research question using an online survey-based vignette experiment with 825 local government officials. These public officials were randomly assigned to evaluate four short descriptions (vignettes) of an administrative decision-making process involving public participation. Respondents were presented with a public participation process characterized by low turnout and unrepresentative participants, low turnout and representative participants or high turnout and unrepresentative participants, high turnout and representative participants, or no information about turnout and participants’ representativeness at all. After each vignette, respondents were asked to evaluate the vignette using questions designed to (1) assess their willingness to use public participation, (2) determine their assessment of the quality of the resulting policy decision, and (3) measure the extent to which they believed the inclusion of citizens’ input would increase the popular support for the decision.

We start by reviewing some of the existing literature on public officials’ attitudes toward public participation in public administration. In the second part, we present our theoretical framework. We use Scharpf’s [14]–[16], [31] democratic legitimacy approach to explain why the input legitimacy of a participatory processes affects public officials’ attitudes toward public participation. We also formulate three hypotheses that guide the research. In the third section, we present our methodological approach, followed by the results in section four. In the results section we pay special attention to the sampling and randomization procedure of the study. In the final two sections of the paper, we discuss the results and present our conclusions.

### **1.2.2 Previously identified determinants of attitudes**

Previous research has demonstrated that public officials’ attitudes toward public participation are a crucial element in the success of participatory decision-making efforts [3]–[5], [7], [8], [30], [32]. However, research informing on the determinants of public officials’ attitudes toward citizen involvement is limited (for example: [2], [3]). Among the most studied determinants influencing public officials’ attitudes toward public participation are the perceived costs [3], [18], [26], the perceived participatory competences of citizens [5], [6], [33], and the democratic legitimacy of participatory processes [17], [33], [34]. For this study, especially this last group of determinants is important.

Previous research has indicated that public officials assess the benefits of public participation in relation to its perceived costs [3], [26], [35]. *“The per decision costs of citizen-participation [...] is arguably more expensive than the decision making of a single administrator”* [18, p. 58]. For public officials to be willing to engage with citizens, the benefits must outweigh the costs.

Public managers’ support for public participation is partly dependent on the participation’s net instrumental value to the public manager [26]. Moynihan distinguished four types of participation costs: direct administrative costs, self-interested administrative costs, decision process costs, and decision outcome costs. He argues that managers might reduce representativeness and citizens’ influence in order to reduce administrative coordination costs and managers’ self-interest costs [26].

Similarly, Liao and Schachter (2017) argued that public managers are more likely to support public participation when they believe participation contributes to policy development at low costs. They studied how socio-historical, organizational, and individual factors affect perceptions of participatory costs and benefits. Their results showed that managers’ red tape perceptions and technocratic orientation increased the perception of participation cost, while knowledge of previous success factors increased perceived benefits. They concluded that the perceived costs and benefits of participation cannot be separated from the social context in which those attitudes were constructed [3]. In addition, participatory costs are also related to the self-interest of public officials [26]. Administrative self-interest costs arise from public officials’ potential loss of control and reduced administrative influence and autonomy over day-to-day activities. Public “officials tend to be jealous of their legal authority and are loath to share it with citizens” [19, p. 96].

Public officials’ attitudes toward public participation are also influenced by their perceptions of citizens’ participatory competences [5], [6], [19], [23], [33], [36]. In general *“many public managers do not trust that citizens have the competence to participate effectively”* [33, p. 883]. One study found that almost half of respondents perceived a lack of citizen expertise as a barrier to citizen involvement, affecting both the reported use of participation mechanisms and the reported use of public participation in strategic decision-making [5]. In addition, public managers appear more positive about the outcomes of participatory processes from citizens they perceived to be more competent [6], [33]. Research found that participants’ knowledge and inclusiveness affect the number of proposals that are adopted. Local city councilors were more inclined to adopt proposals from participants whom they perceived to have sufficient knowledge about the policy issue at hand and from processes with higher inclusivity [6].

Other studies focus on the effect of the participatory quality of participation on public officials’ attitudes toward public participation. According to these studies, public officials’ are less willing to use participatory inputs when only a few people participate or when those who participate are unrepresentative of the community they represent [28], [33], [34], [36]. Unless designers actively engage in the fair design of participatory processes, inequities will persist [37]. Research established a direct link between participants’ representativeness and public officials’ attitudes toward public participation. Yang and Callahan [17] found that 85% of the 248 county and municipal public officials they surveyed believed that *“the same handful of people participated on a regular bases”* [17, p. 203]. Two years later, the same authors concluded that *“administrators tend to dismiss the input of usual suspects and perceive their regular involvement to be troublesome”* [5, p. 257].

Comparative research in Europe showed similar results. In an interview study among German, Spanish, and Austrian public officials, three quarters of respondents rated the representativeness of participants in public participation processes as moderate or insufficient [34]. Furthermore, a quarter of respondents regarded the lack of representativeness as a serious

barrier to participation; concluding that “it is always the same (already known) people who participate in the initiatives” [34, p. 297]. Other research found that participant representativeness was directly related to participation outcomes [33]. The study, which included 1097 functional managers, concluded that: “*the more non-representative the participation is, the less likely change will occur in government decision making*” [33, p. 888].

These factors are but a few of the determinants of public officials’ attitudes identified in the literature (see also: [2], [3], [33]). Based on the discussion above, this study focusses on the effect of the democratic legitimacy of the participatory process on public officials’ participatory attitudes. No prior research has empirically tested the effect of turnout and participants’ representativeness on public officials’ attitudes toward public participation. The objective of this study is to fill this hiatus.

### 1.2.3 Explaining public participation using input legitimacy

Scharpf's [14]–[16], [31] democratic legitimacy approach provides an explanation as to why turnout and participants’ representativeness affect public officials’ attitudes toward public participation. The democratic legitimacy approach is based on the normative premise that legitimate rule-making should be based on the voices and interests of the community to which those rules apply [16].

Democratic legitimacy is a multifaceted concept. According to Scharpf, it consists of two elements: input legitimacy and output legitimacy. Input legitimacy refers to the participatory quality of the decision-making process. It posits that rule making is legitimate when rules are derived from the authentic participation and preferences of the members of a community. It denotes the extent to which citizens’ opinions and attitudes are reflected in the decision-making process. Output legitimacy states that rules are “legitimate if and because they effectively promote the common welfare of the constituency in question” [15, p. 6]. It refers to the effectiveness and problem-solving quality of the decision-making process. It denotes the measure to which policies are able to meet their predefined objectives and can be conceptualized as the quality of policies, popular support for policies, etc. [15], [16], [38]. As such, input legitimacy and output legitimacy are two sides of the same coin; whereas input legitimacy is government *by the people*, output legitimacy is government *for the people* [15].

Why does the legitimacy of a participatory process affect public officials’ attitudes toward it? The main importance of legitimacy is behavioral. Tyler [39] defined legitimacy as “the belief that authorities, institutions, and social arrangements are appropriate, proper and just” [39, p. 376], and actors like public officials are more inclined to act in accordance with what they perceive is legitimate. To Scharpf, legitimacy beliefs imply “*a socially sanctioned obligation to comply with government policies*” [16, p. 2]. Therefore, as rule-making and decision-making procedures are experienced as more legitimate, decisions and rules are more willingly accepted [39].

We argue that public officials’ favorable attitudes toward public participation are in part determined by their belief in the legitimacy of the participatory process. Higher turnout and more representative participants increase the democratic input legitimacy of the participatory process and make public officials more favorable toward participation. Therefore, higher input legitimacy could make public officials more willing to use citizens’ inputs in administrative decision-making. We formulate the following hypothesis:

*H<sub>1</sub>: The higher the input legitimacy of the participatory process, the more willing public officials are to use citizen inputs in administrative decision-making.*

In addition, the input legitimacy of a participatory process can affect public officials' perception of the output legitimacy of a participatory process as well. Bureaucracies are goal oriented institutions in which public officials are expected to assess how policy inputs affect organizational performances and outputs [26], [40], [41]. As such, public officials will evaluate the benefits of public participation in instrumental terms [26], [42].

The input legitimacy of a participatory process could affect public officials' perceptions of the extent to which engagement increases the quality of policies. For public officials, public participation can serve as a tool to identify and address new ideas and solutions to challenging problems [9], [23], [43], [44] or to learn from citizens' experiences [45], [46]. Public participation can also help to understand clients' needs and feedback [26], [30], [47], [48]. However, if such inputs are produced by a limited and unrepresentative group of participants, it is unclear whether public officials will award them much credence.

Furthermore, the input legitimacy of a participatory process can also affect public officials' anticipation of popular support for policy outcomes. Procedural fairness theory has demonstrated that citizens are more willing to accept rules and decisions they believe have been established through fair and honest procedures [39]. For example, Thibaut and Walker [49] showed that decision acceptance is linked to the fairness of the procedures by which authorities make decisions. Additionally, prior research on participatory processes found that participation fosters community support for programs and policies that organizations implement [24], [26], [27], [50] and provide citizens with a sense of policy ownership [18], [32], [51]. Based on these studies we formulate two more hypotheses:

*H<sub>2</sub>: The higher the input legitimacy of a participatory process, the higher the anticipated quality of policy outcomes.*

*H<sub>3</sub>: The higher the input legitimacy of participatory processes, the higher the anticipated popular support for policy outcomes.*

## 1.2.4 Method

### Experimental design

In this study, we use a survey-based vignette experiment. A vignette is a short textual description of a situation that represents a systematic combination of theoretically determined characteristics [52]. The systematic manipulation of these characteristics provides the experimental treatment used to assess the effects under observation [52]–[54]. Vignette experiments combine the internal validity of traditional experiments with the external validity of survey research [52], [54]–[56] and are found to be empirically robust [57]. Importantly, research found that vignette experiments are particularly well suited for testing the effects of personal attitudes, judgments, beliefs, norms, etc., on actual behavior [52], [58]–[60].

The experiment consists of two factors manipulated at two level (2\*2 full-factorial design) [61]. Unlike the classic one-factor experiments in which single-factor effects are examined, the full-factorial design enables the simultaneous estimation of effects and interactions of multiple factors and leads to more valid and realistic scenario [52], [54], [61]. Unconventionally, we also include a control vignette in which no information about the experimental factors is administered. The two factors included in the design are turnout and participants' representativeness. Turnout is operationalized as a contextualized, quantitative measure of the number of participants participating in a participatory activity. The treatment combination indicates either high turnout (higher than expected) or low turnout (lower than expected). Participants' descriptive representativeness is operationalized as the extent to which a neighborhoods' socio-economic and demographic background characteristics are reflected by

the participants participating in the participatory activity (e.g.: Pitkin [62]). The treatment combination indicates either high participants' representativeness (a representative group of local residents) or low participants representativeness (a select group of active local residents).

This design is replicated over two interchangeable and politically uncontroversial vignette scenarios (producing a total of 10 vignettes). The first scenario describes citizens participating in a decision-making process about replacing bicycle parking spaces with public seating, the second scenario described citizens participating in a decision-making process on the construction of a neighborhood playground. Respondents are confronted with a hypothetical colleague with the discretion to decide on the extent to which citizens' inputs are incorporated into a policy recommendation. Previous research has shown that asking respondents to react to a hypothetical colleague reduces the possibility of social desirability bias [60], [63]. Respondents are asked to evaluate that colleague's decision *as if it was their own decision to make*. As such, respondents make the decision using their own evaluation of the situation presented in the vignette. Respondents assess the vignettes in their own vernacular, the English translations of the vignettes are presented in figure 8.

We use the vignettes to estimate the effects of turnout and participants' representativeness on three outcome variables: public officials willingness to use citizens' inputs in administrative decision-making (*My policy recommendation would depend strongly on the input provided by the local residents*), public officials anticipation of policy quality (*By engaging the input of these local residents, the quality of the recommendation will increase considerably*), and public officials' anticipation of popular support (*By engaging the input of these local residents, the acceptance of the policy recommendation's outcome by local residents will increase considerably*). All three variables are measured on a seven-point Likert-like scale (1 = totally disagree, 7 = totally agree).

Based on a pre-study power analysis we decided to employ a within-subjects random allocation design. Participants are asked to assess four randomly selected vignettes. In order to reduce response bias and exclude observed or unobserved confounding effects, we fully randomized the allocation of vignettes. Through randomization all known and unknown confounding effects are equally distributed across all respondents, making them irrelevant to the net treatment effects [55]. To further reduce the response bias, respondents were asked to evaluate an unrelated set of survey questions after having evaluated the first two vignettes. The scenarios, manipulations, and technical implementation of the vignettes were tested twice: once among 21 public management PhD-students and once among a subset of the sample (n = 9).

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – was asked to prepare a policy recommendation about replacing a number of bicycle stands by public seating and park benches.

City residents increasingly use bicycles to get to and from work and the shops. Storing these bikes requires a lot of sparse space in the city center. At the same time, there is great need for more public seats and park benches to relax and meet friends and family. Replacing a number of bicycle stands with public seats is a solution but comes at the expense of scarce space to store bicycles. To solve this dilemma, local residents were asked to give their opinion on the desirability of replacing a number of bicycle stands with public seating and park benches.

The participation activity produced **<far fewer / many more>** reactions than expected. These reactions mainly came from **<a select group of active local residents / a representative group of local residents>**. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – is asked to prepare a policy recommendation about the construction of a neighborhood playground.

The construction of a neighborhood playground is expected to increase the quality of life in the neighborhood, and increase the attractiveness for families with young children. At the same time, it is expected that the playground will increase noise disturbance and deplete the funds for other community projects. To resolve this dilemma, local residents are invited to provide their opinion about the desirability of constructing a new playground.

The participation activity produced <far fewer / many more> reactions than expected. These reactions mainly came from <a select group of active local residents / a representative group of local residents>. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**Figure 8.** Vignette Experiment Base Vignettes

### Sampling

We focus on local public officials. Public officials and citizens interact most directly at a local level and local level policy issues are most comprehensible and adjacent to citizens (building permits, neighborhood-zoning policies, etc.). Not surprisingly, most citizen involvement experiments and participatory innovations take place at the local level [50]. Data are collected among public officials employed at the administration of the Belgian city of Antwerp. The city of Antwerp is a major urban center with a population of over 520.000 inhabitants and a professional staff of over 6900 employees in 2016 [64].

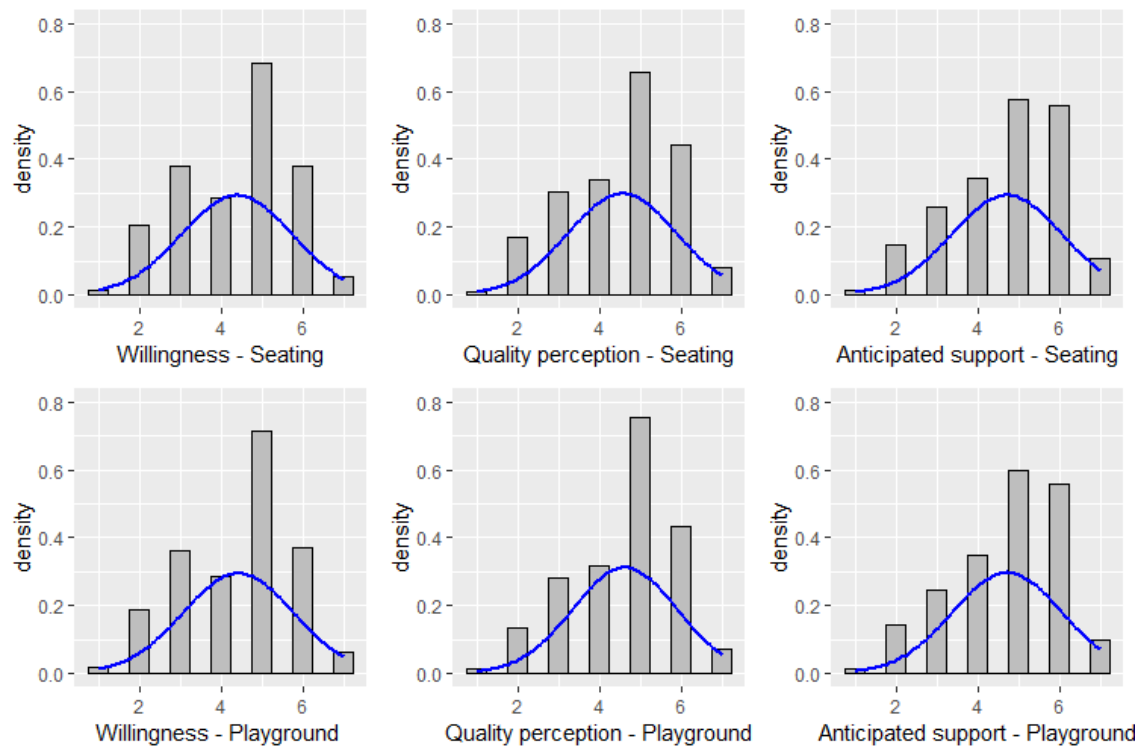
The sampling frame contains apolitical career officials with administrative grade A or B, employed by the municipal administration. These public officials have the analytical skills and theoretical knowledge required to run the administration and formulate policies. Their administrative grades are coupled to educational attainment and organizational seniority. Public officials with an academic or vocational bachelor's degree are labelled administrative grade B. Public officials with an academic master's degree or higher are labelled administrative grade A [65]. City of Antwerp officials facilitated access to the sampling frame and provided background data on the participants. The size of the sampling frame and the easy access the respondents enabled a total sampling strategy. We purposefully included all administrative grade A and B public officials employed by the city of Antwerp administration in our study. The final sampling frame contained N = 2128 individuals.

The study was conducted online. Every official in the sampling frame received a personalized invitation, informing them about the purpose and objective of the study, and with a unique link to the vignettes-survey. To increase response, we sent two reminder-emails to non-respondents, spaced one week apart. Access to the survey and vignette instrument was restricted to participants who had provided their informed consent. The survey took about fifteen minutes to complete (for the full survey, see appendix 1).

### Method of analysis

We used a two-step analytical procedure. First, we conducted an ordinary least squares regression analysis with cluster-robust standard errors and dummy-coded vignette terms to estimate the total sample average treatment effects (SATE) for each vignette. We estimated the relative SATE-scores by calculating the marginal differences between each vignette score. Crucially, under the condition of successful randomization, SATE approaches the population average treatment effects (PATE) [54], [55], [66]. Second, we estimated the individual and interaction effects of the factors turnout and participants' representativeness based on the





playground scenario vignettes (excluding the control vignette). We recoded the vignette manipulations into two separate variables, one for turnout and one for participants' representativeness. Each factors' high-level manipulation was coded 1, each low-level manipulation -1. We subsequently run a two-factor interaction model for a 2\*2 factorial design [61] to estimate both factors' primary and interaction effects. To account for possible clustering due to the within-subjects sampling strategy, we estimate confidence intervals using cluster-robust standard errors using the Fast Estimators for Design-Based Inferences package in R [67].

### Fielding and data quality checks

The vignettes were fielded between February 1<sup>st</sup> and February 21<sup>st</sup>, 2018. Of the 2128 individuals in the sample frame, 1270 responded to the invitation. A total of  $n = 890$  participants completed the vignette experiments and were included in the analysis, which amounts to a response rate of 41.8 %. Except for an age difference, the background characteristics of the 380 dropouts did not differ statistically from the final sample <sup>2</sup>. We further assessed the validity of the SATE-scores using three manipulation checks and one check for speeders. Respondents who answered more than one of the manipulation checks wrong were excluded from the analysis ( $n = 53$ ) (see appendix 1). Furthermore, respondents with a mean response time less than 25 seconds per vignette were also excluded from the analysis ( $n = 12$ ). The final number of respondents included in the analysis is  $n = 825$ . One treatment combination (high turnout\*representative participants) was administered twice in the same vignette scenario (vignette 4) and was removed from the analysis. The total number of vignette evaluations included in the study is 2983, ranging between the 319 and 350 evaluations per vignette.

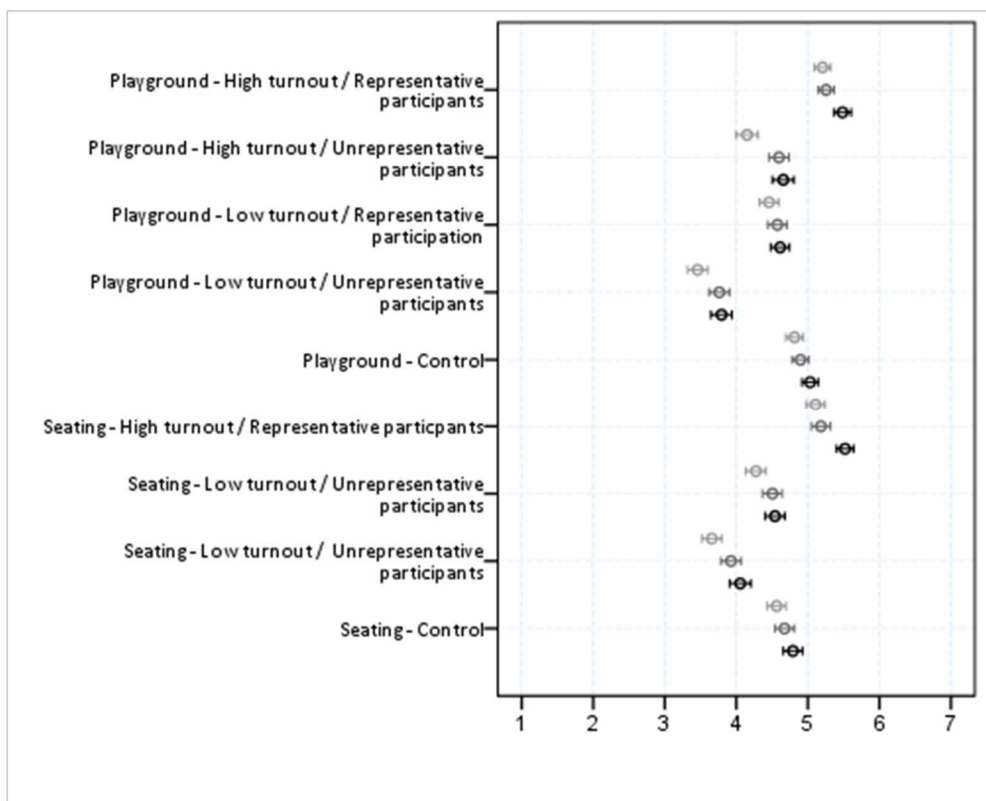
**Figure 9.** Density plots with normality line for each dependent variable

The success of randomization was assessed using four balance tests. The absence of statistically significant differences in the parameters of the overall sample compared to the individual vignettes samples indicates balance and successful randomization. Apart from a small

oversampling of women in the first control vignette, no statistically significant differences between the vignette populations and the overall population were observed<sup>3</sup>. The sample contained of 473 women and 340 men. Of them, 475 had an administrative grade A and 344 had an administrative grade B. The mean age of the respondents was 43.1 years old, higher than the 41.2 mean population age. Of the respondents, 258 attained a professional bachelor's degree, 245 attained an academic master's degree.

### 1.2.5 Main results

Does the input legitimacy of a participatory process affect public officials' willingness to use citizen inputs in decision-making, their perception of policy quality, and their anticipation of popular support for the policy outcome? Figure 10 presents the experimental outcomes, grouped per vignette. For each cluster, the score on the top represents respondents' willingness to use citizens' inputs in decision-making. The one in the middle indicates respondents' perception of participation-based policy quality; and the score at the bottom represents respondents anticipated popular support for the policy outcome. All scores are presented within their 95% confidence interval around the mean.



**Figure 10.** Vignette experiment results

### Vignette Scores

For most vignettes, the scores lie well above 4. Indicating that in most situations public officials are positive to very positive about the participation of citizens in administrative decision-making. The scores related to the vignettes with the treatment combination low turnout and unrepresentative participants fell beneath the threshold agreement score of 4. Irrespective of the vignette scenario, participants were unwilling to use the inputs of participatory processes characterized by low turnout and unrepresentative participants. Furthermore, respondents did not believe that participation with low turnout and unrepresentative participants produced high

quality policies and public support. On the other hand, the clustered scores related to the vignettes with the treatment combination high turnout and representative participants were the highest of all. Participants were most willing to use citizens' inputs under conditions of high turnout and representative participants. Furthermore, their perceptions of policy quality and anticipation of popular support were highest under these conditions as well.

Table 4 displays the experimental outcomes in more detail. Based on these outcomes we calculated the SATE scores. The sample average treatment effect of low turnout and unrepresentative participants versus high turnout and representative participants on participants' willingness to use citizens' inputs in administrative decision-making was 1.45 ( $t = -15.08$ ,  $p < .001$ ) or 20.7 percentage points for the seating scenario, and 1.75 ( $t = -19.04$ ,  $p < .001$ ) or 25 percentage points for the playground scenario. For participants' perception of participation based policy quality the treatment effect was 1.25 ( $t = -12.85$ ,  $p < .001$ ) or 17.9 percentage points for the seating scenario, and 1.5 ( $t = -16.31$ ,  $p < .001$ ) or 21.4 percentage points for the playground scenario. Finally, for participants' anticipation of popular support the treatment effects was 1.47 ( $t = -15.24$ ,  $p < .001$ ) or 20.9 percentage points for the seating scenario, and 1.69 ( $t = -17.59$ ,  $p < .001$ ) or 24.2 percentage points for the playground scenario.

**Table 4.** Sample Average Treatment Effects

Vignettes	Willingness to engage	Perception of quality	Anticipation of popular support
Seating: Control	4.56 (.05)	4.67 (.10)	4.79 (.02)
Seating: Low Turnout / Unrepresentative participants	3.66 (.14)	3.93 (.19)	4.05 (.30)
Seating: Low Turnout / Representative participants	4.27 (.00)	4.51 (.17)	4.54 (.02)
Seating: High Turnout / Representative participants	5.11 (.11)	5.18 (.10)	5.52 (.24)
Playground: Control	4.81 (.12)	4.90 (.13)	5.03 (.15)
Playground: Low turnout / Unrepresentative participants	3.46 (.14)	3.76 (.12)	3.79 (.21)
Playground: Low turnout/ Representative participants	4.46 (.01)	4.57 (.14)	4.61 (.19)
Playground: High turnout / Unrepresentative participants	4.15 (.16)	4.60 (.14)	4.66 (.16)
Playground: High turnout / Representative participants	5.20 (.24)	5.26 (.17)	5.48 (.15)

### Control vignettes

Usually full-factorial vignette experiments do not include control vignettes [61]. However, we did include two control vignettes. Interestingly, we found that respondents were more positive than about participation in which no information about the input legitimacy of participation was provided than participation processes that had either high turnout and unrepresentative participants or low turnout and representative participants. In fact, the control vignettes were the second highest rated vignettes in the study. In short, to foster public officials' positive assessments about public participation it is better to provide no information about turnout and participants' representativeness than information hinting at low turnout or representativeness.

### Turnout and participant representativeness

Our findings showed that respondents' willingness to use citizens' inputs in administrative decision-making was influenced by the direct effects of turnout and participants' representativeness. Participants' representativeness had the strongest direct effect on participants' willingness to engage with citizens. Keeping turnout constant, the change from unrepresentative participants to representative participants increased respondents' willingness to use citizens' inputs by .514 (p-value = .011). At the same time, while keeping participants' representativeness constant, the change from lower than expected turnout to higher than expected turnout increased respondents' willingness to use citizens' inputs by .36 (p-value = .006) (measurements have been made on a seven-point scale). We find no evidence for a statistically significant interaction effect between turnout and participants' representativeness on public officials' willingness to engage citizen input. Both democratic input factors combined explained 20% of variance of respondents' willingness to engage citizens in administrative decision-making (see table 5).

Turnout and participants' representativeness also affected respondents' perceptions of participation based input quality. The effect sizes of both factors are roughly the same. The positive effect of participants' representativeness on public officials' perceptions of the quality of participation based policies was .37 (p-value = .001) when controlled for the effect of participants' representativeness. The positive effect of turnout on public officials' perceptions of the quality of participation based policies was .38 (p-value = .01) when controlled for the effect of turnout. We found no statistically significant interaction effect between turnout and participants' representativeness on public officials' perceptions of participation based policy quality at the .05 level. Combined, the two terms accounted for 16% of the variance of respondents' perceptions of participation based policy quality.

We further found that both turnout and participants' representativeness had a significant and positive effect on respondents' anticipation of popular support for policy outcomes. Again, the effect sizes of both factors were roughly the same. Controlled for the effect of turnout, the increase of participants' representativeness from unrepresentative to representative resulted in a .41 higher anticipation of popular support for policy outcomes (p-value = .006). Controlled for the effect of participants' representativeness, the increase of turnout from lower than expected to higher than expected resulted in a .43 higher anticipated popular support for policy outcomes (p-value = .002). The interaction effect between turnout and participants' representativeness failed to achieve statistical significance (p-value > .05). Combined, the direct effects of participants' representativeness and turnout explained 18% of variance of respondents' anticipation of popular support.

**Table 5.** Effects of turnout and participants' representativeness

Terms	Willingness to engage		Perception of Quality		Anticipation of popular support	
	Estimate	p-value	Estimate	p-value	Estimate	p-value
<b>Intercept</b>	4.318 (.04)	<.001	4.55 (.04)	<.001	4.64 (.03)	<.001
<b>Turnout</b>	.36 (.38)	.011	.38 (.04)	.01	.43 (.03)	.006
<b>Participants' representativeness</b>	.514 (.04)	.006	.37 (.01)	.001	.41 (.02)	.002
<b>Turnout*Participants' representativeness</b>	.014 (.04)	.789	-.04 (.01)	.08	.002 (.02)	.922
<b>Adjusted-R<sup>2</sup></b>	.201		.158		.181	
<b>F-statistic</b>	1.154e+06 (<.001)		621.3 (<.001)		47180 (<.001)	

### 1.2.6 Discussion

Previous research established public officials' attitudes as one of the determining factors shaping the success of public engagement practices [3], [5], [7], [19], [32]. Importantly, research into the determinants of public officials' attitudes toward public participation are largely absent (notable exceptions e.g.: [3], [5]). This research builds on previous research by further exploring the determinants of public officials' attitudes toward public participation (in terms of willingness to use citizens' inputs), perceptions of policy quality, and the anticipation of popular support) by looking at the effects of the input legitimacy of participatory processes. It provides empirical support to research establishing a link between the input legitimacy of participatory processes and public officials attitudes toward public participation (e.g.: [5], [17], [34]).

Our research indicates that public officials' attitudes toward public participation in administrative decision-making are not pre-determined but, at least in part, contingent on the practical execution of the participatory process itself. Public officials are markedly more positive about participatory processes with high turnout and representative participants than about participatory processes with low turnout and unrepresentative participants. Not only are public officials more willing to engage input coming from participatory processes with high input legitimacy, they are also more positive about the quality of its policy outputs and anticipate those processes to foster more popular support. At the same time, public officials appear to be markedly less willing to engage with citizens, assess the quality of participation-based policies lower, and perceive the popular support for outcomes to be lower when input legitimacy is low. In practical terms, public officials are unwilling to engage with citizens when both turnout and participants' representativeness are low. In short, public officials, in part, evaluate public participation based on the input legitimacy of the participatory process.

Interestingly, the inclusion of two control vignettes revealed that public officials were more positive about public participation when no information about the input legitimacy of a participatory process was presented than when either or both turnout and participants' representativeness were low. It appears that public officials only actively assessed the input legitimacy of a participatory process when they are explicitly confronted with information about it, be it negative or positive. This suggests that public officials are generally willing to engage with citizens in administrative decision making and see the benefits thereof for administrative decision making, as is shown by the high scores on the control vignettes, but that indications of poor democratic performance in terms of turnout or representativeness reduce these positive attitudes. Even in forms of direct public engagement, traditional democratic input considerations remain important.

The importance of specific input legitimacy dimensions (turnout, participants' representativeness) on attitudes toward public participation differs depending on the attitudes under observation. Respondents' willingness to use public participation was influenced more by participants' representativeness than by turnout. At the same time, the direct effects of turnout and participants' representativeness on public officials' perception of participation-based policy quality and anticipated popular support are of roughly the same size. Clearly, the input legitimacy of a participatory process influences different attitudes differently.

This study has some limitations. The first limitation, not unknown to experimental research, relates to external validity. The study was conducted among administrative grade A and B public officials at the administration of one city only. Findings valid for this case are not automatically valid for other cases. Though there are no reasons to suggest that public officials working for the administration of the city of Antwerp have markedly different attitudes toward public participation than public officials working for comparable city administrations, replications of

this study at other municipalities (in other countries) would serve to strengthen the external validity of the observed effects.

Second, due to the limited number of available respondents we were required to use a within-subjects allocation design: asking the same respondent to evaluate four vignettes. Though this strategy allowed us to maintain statistical power, it increased the risk of carry-over, context, and sensitizing biases [68]. We controlled for possible order effects by controlling for clustering on the response order in which respondents evaluated their vignettes. Furthermore, response-interruption survey batteries and full randomization, coupled with a small number of vignettes over many respondents reduces the risks of statistically relevant biases. In conclusion, even though we found no evidence suggesting that the between-subjects allocation of vignettes caused bias, replicating this study using a between-subjects allocation design could strengthen robustness of our results. In addition, due to a measurement error in the fourth vignette, the estimation of the direct effects of turnout and participants' representativeness was based on the second scenario vignettes only.

A third limitation is the two-variable character of this study. The experimental nature of the research design allowed us to include a limited number of variables only [54], [61]. Though full randomization took care of any confounding factors, many other variables could also influence public officials' attitudes toward public participation. Of special interest for further research are questions related to public officials' expectations of participatory competences of citizens, bureaucratic structures and red tape, and the influence of 'the political domain' on public officials' attitudes toward public participation. Further research into the determinants of public officials' attitudes toward public participation is needed.

### 1.2.7 Conclusion

In conclusion, how does the input legitimacy of participatory processes affect public officials' attitudes toward public participation? First, we found that public officials are more willing to use citizens' inputs when participation is characterized by high turnout and representative participation than when it is characterized by low turnout and unrepresentative participation (corroborating  $H_1$ ). Second, we found that public officials perceive the policy outcomes of participatory processes characterized by high input legitimacy to be of higher quality than the policy outcomes of participatory processes characterized by low input legitimacy (corroborating  $H_{2a}$ ). Third, the study showed that public officials anticipate that the popular support for policies and decisions based on public participation is higher when input legitimacy is high than when input legitimacy is low (corroborating  $H_{2b}$ ).

Two additional results are particularly interesting. First, we found that public officials' attitudes toward public participation are more positive when those public officials have no information about the input legitimacy of a participatory process than when one or both dimensions of input legitimacy is (are) low. Second, we found that turnout and participants' representativeness influence different attitudes differently. Whereas participants' representativeness affects public officials' willingness to engage with citizens more than turnout does, both turnout and participants' representativeness have a comparable effect on public officials' perceptions of policy quality and anticipated popular support.

The input legitimacy of the participatory process plays an important role in shaping public officials' attitudes toward public participation. In order to stimulate positive attitudes toward public participation among public officials, and thereby facilitate genuine and meaningful public participation, it is important to pay attention to turnout and participants' representativeness in participatory processes.

## Endnotes

<sup>2</sup> To test for statistical differences between the dropouts and the final sample we conducted three Pearson's chi-squared tests of independence of gender ( $X^2=2.36$ ,  $df.2$ ,  $p=.307$ ), administrative grade ( $X^2=.159$ ,  $df.1$ ,  $p=.690$ ), and work domain ( $X^2=40.26$ ,  $df.42$ ,  $p=.547$ ). All highly insignificant. For these variables, we reject independence and conclude no statistical difference. This was not the case for the age distribution. The Wilcoxon signed-rank test testing whether the dropout and final sample age were identical was highly significant ( $V=44720$ ,  $p<.001$ ). Young people dropped-out relatively more than old people (relative to the mean age).

<sup>3</sup> The four balance-test we conducted are similar to the attrition-tests we conducted previously: 3  $X^2$  tests of independence and a Wilcoxon signed-rank test. We used the  $X^2$  tests of independence to test for significant proportional differences between the overall sample and the vignette samples regarding gender, administrative grade, and policy domains. All tests produced insignificant results ( $ps > .05$ ). We used the Wilcoxon signed-rank test to test for a difference in the age distribution. Except for a significant difference regarding the control vignette (seating;  $X^2=6.92$ ,  $p\text{-value}=.009$ ; oversampling of women), no significant differences were observed ( $p > .05$ ).

### 1.3 Surveying public officials' attitudes about citizen engagement in the use-cases

This document presents the background and meaning of the five main variables included in the CITADEL WP2 survey measuring public officials' attitudes toward citizen engagement. WP2 is tasked with collecting citizens and stakeholders' information in order to analyze and understand the transformations required of PAs in order to produce more efficient, effective, and citizen-centric services. This section puts forth and explains the information we gathered as part of this task. Furthermore, this survey is one part of the three-part strategy by which WP2 aims to address concerns voiced by the commission experts tasked with reviewing the CITADEL project for the Research Executive Agency (REA) (the year-1 project review). Under recommendation 2, the experts noted that WP2 needed to pay more attention to *"Ensuring high quality of data collection and the coding of open, comparable, quality data [1, p. 13] critical to secure integration of respondents' feedback"*. We agreed to conduct the same survey research at each use case, provides high quality comparative data on public officials' attitudes toward citizen participation and co-creation. It will help use case organizations tailor specific training solutions for their staff prior to developing new involvement and open data initiatives. The commission experts also recommended addressing "issues of data heterogeneity and comparability, as well as linguistic challenges". Within the context of the CITADEL project, each use case represents a unique dimension of the practical field of public administrations in Europe. These fundamentally different organizations make comparable research impossible. We therefore offer use case specific research outcomes, unique for each use case. Furthermore, we addressed linguistic challenges by presenting the survey instrument in the vernacular of the respondents.

#### 1.3.1 Contents

The document presents the background and meaning of the five main variables included in the CITADEL WP2 survey measuring public officials' attitudes toward citizen engagement conducted in each use case. In addition to providing the commission experts with an overview of the content of the survey, it can serve as a reference to the use cases willing to use the survey data in their internal processes. In order of appearance we discuss rule abiding attitudes, democratic attitudes, job centered red tape perceptions, a number of idiosyncratic attitudes toward citizen participation, and attitudes about citizen participation. The importance of these variables for public officials' attitudes toward citizen engagement is literature based, and they are part of the contemporary academic debate on public engagement in public administration.

#### 1.3.2 Rule abiding attitudes

Rule abiding attitudes reflect how public officials see themselves as government officials and how they see the people, they serve. Rule following attitudes are associated with the traditional bureaucratic ideal of public service in which public officials are neutral, dispassionate, and systematic. Under these conditions, public officials remain aloof to direct citizen input. They tend to take a traditional view of public administration and are disinclined to engage with citizens [3], [69].

According to Alkadry [70], the bureaucratic personality of public officials makes officials indifferent to citizens. A bureaucratic role image concentrates public officials' attention to their superiors and the adherence of rules. Alkadry therefore argues that public officials' behaviour will be direct by these two factors, not by citizens' pressures [70]. Nalbandian [71] takes an opposite stance and argues that community building has become a new professional norm for local management professionals. Zhang and Yang [30] find support for this claim and argue that citizen engagement, as well as community building, have become part of a new professional norm for local public officials [30]. Consequently, Zhang and Yang argue that professional role



images that incorporate citizen influence relate to public officials that are more willing to participate with citizens [30].

Understanding public officials rule abiding attitudes is useful because it permits a more precise investigation of public officials' behaviour. Public officials can have the traditional rule-following identity that emphasizes the traditional, Weberian view of public administration, or public officials can have discretion-using identities, which emphasize a departure from that traditional view and indicate a willingness to engage directly with citizens. We use items from two sources to measure public officials' rule-abiding attitudes. The first three items are borrowed from Oberfield's 2009 study on continuity and change during organizational socialization [69]. The last two items are borrowed from Portillo and DeHart-Davis' 2009 study on gender and organizational rule abidance [72].

**Table 6.** Survey questions: Rule abidance

<b>Please indicate to what extent you agree or disagree with these statements</b>
1. <i>I am someone who follows the rules even if I don't agree with them.</i>
2. <i>People and situations are unique and should be treated on a case-by-case basis.</i>
3. <i>Sometimes it is okay to bend the rules to help a person who deserves it.</i>
4. <i>When I think a rule is pointless, I will find a way around it.</i>
5. <i>I figure that rules are there for a purpose.</i>

### 1.3.3 Democratic attitudes

Citizen engagement is instrumental to increasing the democratic quality of administrative decision-making. Engagement is a practical application of the normative democratic ideal that all people who are subjected to rules, regulations, and procedures should have a say in the establishment of those rules, regulations, and procedures. Citizen engagement and participation is strongly related to attitudes toward democratic decision-making. If public officials harbour negative attitudes toward democracy as a democratic system, it is self-evidently the case that they will not be supportive of public engagement in administrative decision-making.

We measured respondents' democratic attitudes using items from two sources. The first four items are borrowed from Bertou and Pastorella's [73] study into citizens' perspectives on expert decision-making. The last two items are based on the 4<sup>th</sup> wave of the European Values Study [11].

**Table 7.** Survey questions: Democratic attitudes

<b>Please indicate to what extent you agree or disagree with these statements</b>
1. <i>Democracy may have problems but it is better than any other form of government.</i>
2. <i>In democracy, the economic system runs badly.</i>
3. <i>Democracies are indecisive and have too much squabbling</i>
4. <i>Democracies are bad at maintaining order</i>
5. <i>Having experts, not government, make decisions to what they think is best for the country.</i>

### 1.3.4 Red tape perceptions

Red tape perceptions may limit public officials' willingness to engage citizens in administrative decision-making. If rules do not explicitly require the involvement of citizens, public officials are likely to avoid engagement in order to avoid making mistakes [3]. Furthermore, public officials who perceive red tape are less likely to report they had successful participatory experiences

[33]. Red tape perceptions are also likely to increase public officials' perceptions of the procedural costs related to involving citizens in administrative decision-making [26]. In short, there is growing consensus showing that red tape perceptions are negatively related to public officials' willingness to engage with citizens.

Red tape is usually defined as “*rules, regulations, and procedures that remain in force and entail a compliance burden of the organization by have no efficacy for the rules' functional object*” [74, p. 283]. Early studies on red tape employ single-item instruments to measure red tape and perceived red tape (e.g. “rate the overall level of red tape in your organization”). These measures have become outdated and it is now recognized that more refined instruments are needed to study red tape [75], [76].

In this survey we employ the red tape conceptualization of Van Loon, Leisink, Kneess, and Brewer [75]. They define red tape as “rules that employees perceive as burdensome and not helpful in achieving the rules' functional objective in their respective job” [75, p. 663]. In particular, this measure consists of two dimensions. The first dimension measures rules' lack of functionality, or rules' lack at achieving their functional objective. The second dimension is rules' compliance burden, the excessive and unnecessary amount of time, energy, or other recourses needed to comply with the rules.

**Table 8.** Survey questions: Job-centred red tape perceptions

<b>The rules with which I have to comply in my core activities:</b>	
Lack of functionality	1. <i>Have a clear function for my job activities (reversed)</i>
	2. <i>Contribute to the goal of my job activities (reversed)</i>
	3. <i>Help me do my job well (reversed)</i>
Compliance burden	4. <i>Cause much pressure at work</i>
	5. <i>Take a lot of time to comply with</i>
	6. <i>Cause much delay</i>

### 1.3.5 Idiosyncratic attitudes

In addition, public officials' willingness to engage with citizens in administrative decision-making can be influenced by specific attitudes and opinions about citizen participation. Some of these attitudes are examined in other studies [17], [33]. We measure respondents' specific attitudes toward citizen participation using the Participation Outcome instrument by Yang and Pandey [33] and two items of the Responsiveness to Participatory Values instrument by Yang and Callahan [5]. In this case, the items are all single-item measurements and speak for themselves.

**Table 9.** Survey questions: idiosyncratic participation attitudes

<b>Please indicate to what extent you agree or disagree with each statement.</b>
1. <i>Citizen participation in the decision process reduces my influence as a public official</i>
2. <i>Citizen participation slows the decision-making process</i>
3. <i>Citizen participation improves the decision process by bringing in new ideas</i>
4. <i>Citizen participation makes it hard to reach consensus and closure in the decision process.</i>
5. <i>Involving citizens in administrative decision-making processes requires more effort than it is worth</i>
6. <i>In most instances, the administration would have reached the same decision without citizen input</i>
7. <i>The value of public participation is overrated</i>

### 1.3.6 Citizen competence attitudes

Public officials' willingness to engage with citizens in administrative decision-making is also dependent on their assessments of citizens' participation competences [33]. Most studies agree that citizens lack the knowledge to participate effectively (12–15). At the same time, Yang and Pandey concluded that public officials' perceptions of citizen competences were strongly and positively associated with participation outcomes [33]. It is highly unlikely that public officials will trust citizens to participate in administrative decision-making when they do not trust citizens to make a valuable contribution to the decision-making process.

We use four items to measure respondents' attitudes about the participation competence. The first two are formulated to measure general attitudes about citizen competences. The latter two are borrowed from Yang and Pandey and specify those general attitudes [33].

**Table 10.** Survey questions: citizen competence perceptions

<b>Please indicate the extent to which you agree or disagree with the following statement.</b>	
1.	<i>Most citizens who participate pursue the interest of the entire community</i>
2.	<i>Most citizens who participate have the skills needed to make a valuable contribution</i>
3.	<i>Most citizens who participate have the expertise or technical knowledge needed to make a valuable contribution</i>
4.	<i>Most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution</i>

### 1.3.7 Fielding

The survey has been fielded in each use case, as well as at one additional case (Antwerp OCMW).<sup>2</sup> The descriptive results of these surveys are included in the reports in appendices 2 to 5 of this document. Table 11 summarizes the fielding for each case.

**Table 11.** Public officials' attitudes toward engagement survey fielding history

<b>Use Case:</b>	<b>Fielding</b>	<b>Target population</b>	<b>N</b>	<b>RR</b>
<b>City of Antwerp</b>	Feb. 1 <sup>st</sup> - Feb 21 <sup>st</sup>	Administrative grade A & B	890	41.8%
<b>VARAM</b>	Feb 27 <sup>th</sup> – March 16 <sup>th</sup>	Administrative grade ≥ 4	114	49%
<b>Puglia Region</b>	June 21 <sup>st</sup> – July 13 <sup>th</sup>	Higher educated public officials	244	24.4%
<b>Antwerp OCMW</b>	Feb 19 <sup>th</sup> – March 8 <sup>th</sup>	Administrative grade A & B	233	30.6%

<sup>2</sup> The survey was also fielded at the municipality of Bari (IT). However, because of a very disappointing response rate the study was terminated unsuccessfully.

## 2 User exit and non-take-up

Despite the growing number of electronic government services, there is a substantial number of citizens who do not use these services. This means, they use non-electronic alternatives or seek assistance in contact government. In this section we focus on the motives of citizens to use physical channels of government access when digital alternatives are available. First, we look at the broad picture and discuss EU-wide trends regarding internet adoption, usage and skills among citizens using open source data (Eurostat, Eurofound, ESS). We also look at how the internet take-up of citizens compares to the internet-take up of public officials. Second, we present the interview study *Explaining non-adoption of electronic government services by citizens. A study among non-users of public e-services in Latvia*, using 133 in-depth interviews conducted with users of Latvian Citizen Service Centers (CSCs).<sup>3</sup> The study provides requirements and parameters for improving the adoption of digital government services.

### 2.1 Public Officials Ability to Take-Up New Technologies

#### 2.1.1 Introduction

Through internet applications, social media, and the digital provision of public services, public officials are in constant, real-life, contact with citizens, consumers, and co-producers. This requires public officials to develop and ascertain a wide ranging digital skill-set with various new abilities. The development of new technologies has already been considered a catalyst of public sector transformations for a long time. For example, public sector ICT developments aspire to facilitate modern techniques and methods in public management, enhance accountability, openness and transparency, and promote government-citizen interactions [77]. These developments are part of the e-government paradigm: *‘a paradigm wherein governments across economies strive to use ICTs, specifically the Internet, to deliver services to citizens and link intra-governmental functions’* [78, p. 523].

According to Shaun Goldfinch [79], insufficient staff training, skills, or inclination to handle and develop ICT, is a crucial factor in unsuccessful government instituted ICT developments. He also warns for a naïve confidence in ICT as a universal solution to all management problems. According to Zanfei & Seri [80], Goldfinch [79] described public administrators as recalcitrant, suspicious, and skeptical adopters of ICTs who are most likely to act as barriers instead of promoters of public administration transformations [79]. The ability of public administrators to take-up new technologies is essential in creating efficient, inclusive, and citizen-centric public services based on new technologies. This chapter addresses this problem by exploring the take-up ability of public administrators and explaining variance in public sector skills and ICT-development.

#### 2.1.2 Digital literacy and ICT Skills

The ability to take up new skills in ICT is *“increasingly becoming an essential life competence and the inability to access or use ICT has effectively become a barrier to social integration and personal development”* [81]. In order for European public administrations to master the ability of digital service provision and e-bureaucracies, *“investment in the skills of the public sector workforce are necessary”* [81, p. 11]. Internet applications, social media, and digital public service provisions require public administrators to take-up new technologies and abilities. However, according to the European Commission’s e-government benchmark 2016 [82], *“accurate numbers on digital skills of civil servants are not available”* [82, p. 12]

---

<sup>3</sup> This study has been accepted for publication in the journal *Information Polity* (August 6<sup>th</sup>, 2018),

In addition to a lack of open source data on the digital skills of civil servants, there is debate on many of the conceptual definitions surrounding technological transformation in the public sector. For example, digital literacy refers to the individuals' ability to take up digital and ICT skills. Paul Gilster [83] most commonly quoted in relation to digital literacy, defines it as *"the ability to understand and use information in multiple formats from a wide range of sources when it is presented via computer"* [83, p. 1]. Gilster intended the concept to be generic, allowing it to encompass, in addition to basic skills for accomplishing certain tasks, more flexible and transferable competencies, skills, and attributes needed in particular circumstances [83], [84]. At the same time, a generic conceptualization makes the concept ambiguous and multi-interpretable. Lankshear and Knobel [84] refer to this as the *"plurality of digital literacy"* and point to the *'sheer diversity of specific accounts'* [84, p. 2]. To them digital literacy is only one variant of multiple forms of literacy and itself the overarching concept of many different forms of literacy, like: ICT/Computer literacy, information literacy, internet literacy, e-competences, etc. They argue that *'digital literacy should be seen as a framework for integrating various other literacies and skill-sets, without the need to encompass them all, or to serve as one literacy to rule them all'* [84, p. 4]. We adopt Bawden's [77] definition and approach digital skills as set of competencies required for full participation in a knowledge society, including knowledge, skills, and behaviours involving the effective use of digital devices for purposes of communication, expression, collaboration and advocacy [77].

However, digital skills are not the whole story. Zanfei & Seri [80] studied the influence of ICT adoption, organizational innovation, and public administrations' skill intensity on public sector performances. They concluded that ICT development alone does not increase public sector performances. Instead, human capital and organizational change largely drive public administrations' performances. According to the authors: *"the ability to improve [the] quality of the labor force and handle organizational challenges is a distinctive factor affecting the performance of Public Administrations over and above their investments in ICT"* [80, p. 27]. We therefore explore public administrators' ability generically, assessing digital literacy in addition to internet access and general skill development. This way, we overcome the lack of readily available open source data on specific public sector skill development and digital literacy.

### 2.1.3 Country-based variance in ICT-skills

#### Internet access

Access to the internet is a *conditio sine qua non*. Without access to the internet citizens cannot communicate digitally with public administrations, nor gain experience and skills by using the internet. Figure 11 displays the percentage of households with internet access at home for the countries under observation in the year 2016 [85]. The overall internet access rate is high. For the Netherlands and Norway, the percentage of households with internet access approaches 100% (97%). In 15 out of the 19 countries under observation more than 4/5<sup>th</sup> of all households have access to the internet. The countries most lagging in access are the Czech Republic (64%), Lithuania (72%), and Portugal (74%), indicating unequal internet access across Europe.

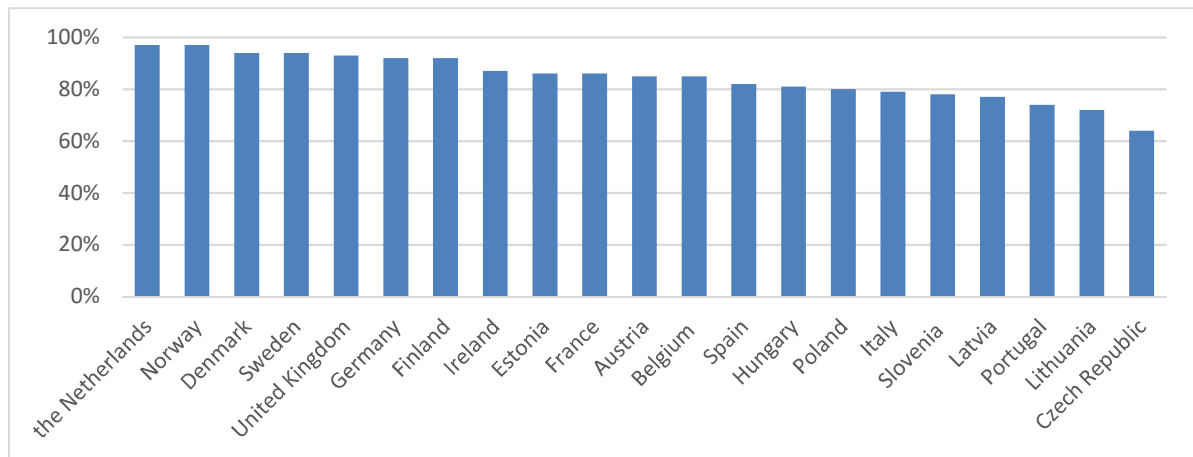


Figure 11. Percentage of households with internet access (2016)

### Internet usage

Actual internet usage serves as an indicator for the overall level of basic e-skills and digital ability. Countries with high internet access consist of experienced and skilled citizens in relation to digital technologies. Using data gathered by Eurostat, we explore internet usage through three variables: a country's percentage of individuals using the internet at least once a week [85], a country's percentage of individuals having used the internet for interaction with public authorities during the past twelve months [85], and a country's percentage of individuals using the internet for online purchases during the past twelve months [86]. As such, internet usage provides an indicator for actual internet usage in general and actual internet usage in relation to public authorities and purchases in particular.

Figure 12 shows the reported actual internet usage in the countries under observation for the year 2016. First, overall internet usage. The left-sided columns in the figure represent the percentage of individuals that uses the internet at least once a week. The countries with the highest reported internet usage are Norway (96%), Denmark (96%), and the United Kingdom (93%). Countries with the lowest reported internet usage are Italy (67%) Portugal (68%), Poland (70%). The overall country-based variance is relatively small ( $SD = .08$ ). Though there is some variance in the overall usage, the overall trend appears stable. Second, internet-based interactions with public authorities. The centre columns in the table represent the percentage of individuals who used the internet to interact with public authorities during the past twelve

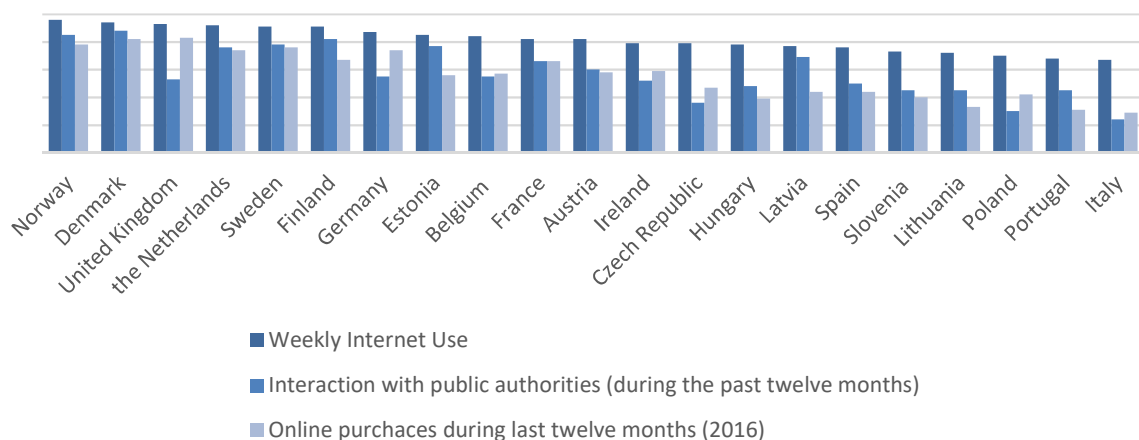


Figure 12. Individuals' internet usage (2016)

months. This variable displays more country-based variance ( $SD = .18$ ). In countries like Denmark (88%), Norway (85%), and Finland (82%), over 4/5<sup>th</sup> of the respondents reported to have

contacted government during the past twelve months. In countries like Italy (24%), Poland (30%), and the Czech Republic (36%) this fraction lies beneath 2/5<sup>th</sup> of respondents (Eurostat, 2016b). Finally, online purchase during the past twelve months, indicated by the right-side bar in figure 12. The countries with the highest percentage of individuals having purchased products and services online are the United Kingdom (83%), Denmark (82%), and Norway (78%). Countries with the lowest percentages are Italy (29%), Portugal (31%), and Lithuania (33%). In all, individuals from North-western European countries appear to be the most active online buyers.

Based on figure 12 we discern some country-patterns. In the cases of the United Kingdom, Germany, Belgium, Ireland, the Czech Republic, Poland, and Italy, the digital interaction with public authorities is lagging, especially in comparison with online purchases. This might indicate that digital government services are still underdeveloped or that citizens do not find, or trust, those services when they do exist. Their scores on online purchases indicates that those countries' citizens do use the internet frequently for other things. Furthermore, though there are considerable relative differences per country, in general lower internet usage per week also means lower digital communication with government and online purchases (Country aggregate Spearman  $\rho = .90$ ,  $p < .001$ ) (See appendix).

### Basic ICT-skills

According to the European Commission there is substantial variability in e-government performances across Europe [82]. The 2016 Digital Single Market Benchmark reported *“a string of countries from the south-West to the North-East of Europe perform[s] above the European average and are also showing stronger progress than the European average”* [82, p. 6]. This e-government performance report provides evidence on digital literacy in the form of the DESI. DESI is a compound index consisting of five interrelated dimensions; one of which being digital skills (e.g. Human Capital). This dimension consists of two sub-dimensions; basic skills and usage, and advanced skills and development. Basic skills and usage assess whether citizens are able to use the internet and possess at least a basic level of digital skill [87], [88]. Advanced skills and development takes the percentage of people in the workforce with ICT specialist skills and the share of the population with a STEM (science, technology, engineering, and mathematics) education into account [87], [88]. For the purpose of this exploration, only the former sub-dimension is used.

The countries with the highest basic skills and usage according to the DESI are Denmark (40,9%), the Netherlands (39,6%), and Finland (39,3%). The countries with the lowest are Poland (20,1%), Ireland (23,8%), and Portugal (22,1%). These percentages indicate the percentage of respondents in a country that has the basic skills in at least one of four Digital Competence domains: information, communication, content-creation or problem-solving [87], [88]. As noted above, respondents from North-western European countries appear better equipped to tackle the challenges of digital transformations than respondents from South-eastern European countries. The sequence of countries remains roughly the same as above. Figure 13 displays the distribution of countries according to citizens' basic skills and usage.

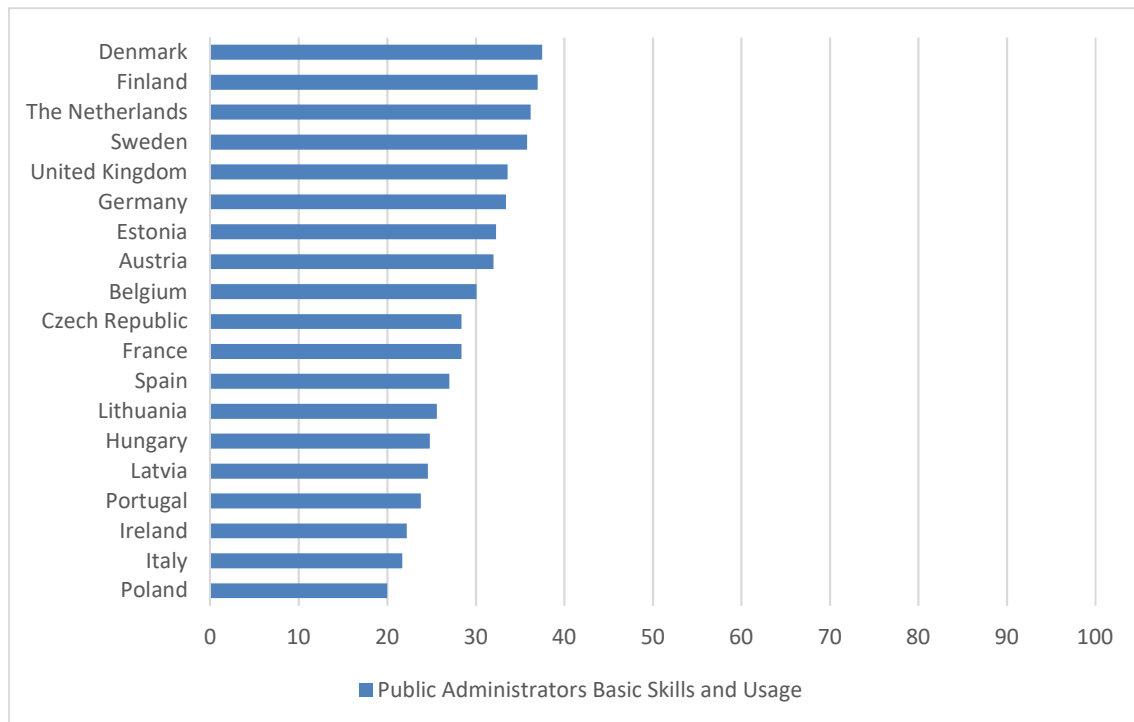


Figure 13. Percentage of individual's basic internet skills and usage

## 2.1.4 Idiosyncratic evidence for public officials' take-up ability

### Citizens versus public officials

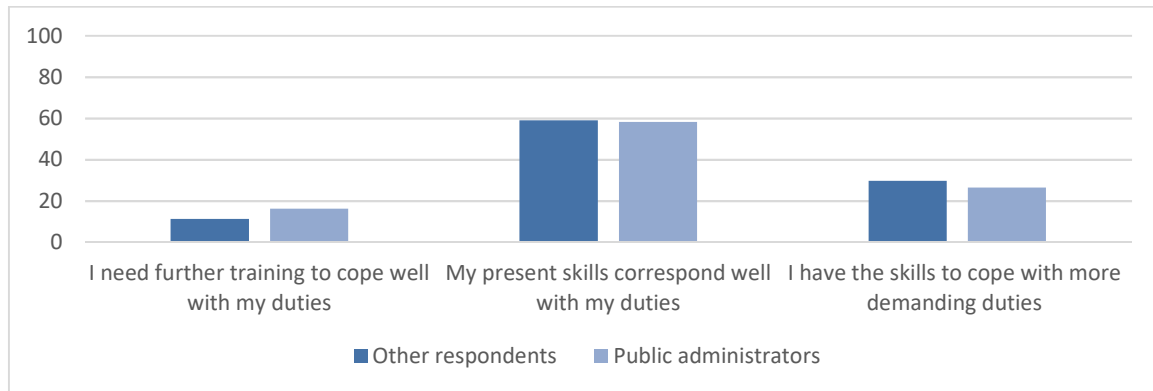
Evidence about the abilities of public officials to perform work-related tasks provides an indication of their ability to take up new technologies. One could assume that if public officials have difficulty coping with their current job responsibilities, they will not be able to take on new responsibilities. Such evidence is provided by the EWCS. The EWCS asked respondents which three statements would best describe their skills in their work: 1. *I need further training to cope well with my duties*; 2. *My present skills correspond well with my duties*; 3. *I have the skills to cope with more demanding duties* [21]. A total of 43.268 respondents provided valid answers, of whom 10.112 (23,3%) worked in the public sector and will be addressed as public officials [89].

In general, all respondents are relatively positive about their abilities to fulfil their job requirements. Most respondents reported that their current skills corresponded well with their duties (58,6%), followed by 29% of respondents who reported that they had the skills to cope with more demanding duties. Not many respondents reported they had insufficient skills to cope with their duties; only 12,4%. However, the group-based differences are significant. The respondents employed in the public sector responded significantly different on all three dimensions ( $p = <.001$ ). First, significantly more public officials than ordinary respondents ( $M=.16$  vs.  $M=.11$ ) responded that they needed further training to cope well with their duties. Second, significantly more ordinary respondents than public officials ( $M=.6$  vs.  $M=.57$ ) reported that their skills corresponded with their duties. Finally, significantly more ordinary respondents than public officials ( $M=.3$  vs.  $M=.26$ ) responded that they had the skills to cope with more demanding duties. Figure 14 displays the results of this group comparison.

As figure 14 shows, public servants and ordinary citizens assess their skills roughly similar. Though all differences are statistically significant, the overall trend is consistent; all are generally positive about their skills in relation to their job requirements. About half the number of respondents reporting that their skills corresponded to their duties reported that they had the



skills to cope with more demanding duties. This could indicate that technical transformations would be challenging for more than 70% of public administrators. At the same time, the small number of respondents reporting they needed further training to cope with their duties (less than 17%), indicates transformations would not be an impossible hurdle. That said, public administrators are in a comparative disadvantage to other respondents as other respondents have reported higher skill satisfaction [89].



**Figure 14.** Self-assessment of job-related skills in %

### Public officials' internet skills

One of the few group-based comparisons of internet skills has been conducted by Van Deursen and Van Dijk [90]. They compared the internet skills of public officials with those of ordinary citizens in the Netherlands. They employed a skill-based framework, consisting of four IT-skills dimensions.

1. Operational internet skills: basic skills for using internet technology (operating internet browsers, search engines, and internet-based forms).
2. Formal internet skills: the use of 'hypermedia' and the ability to orient and control internet information (navigating, sense of location).
3. Information internet skills: ability to locate required information.
4. Strategic internet skills: the capacity to use computer and network sources as the means for a particular goal.

The survey showed that the respondents were considerably more apt in completing formal internet skills (80%) and operational skills (74%) related assignments, than they were in completing assignments related to informational skills (50%) and strategic skills (30%). The results show that internet skills of especially older, lower tier respondents are lagging. More important to us, the study also showed that internet skills do not differ substantially between public administrators and ordinary citizens. Whereas citizens score marginally higher on operational internet skills, public administrators score marginally higher on formal internet skills, information internet skills and strategic internet skills [90].

We also consulted the Special Eurobarometer 250 on confidence in the information society [91], which allows distinguishing civil servants from other occupational categories. Unfortunately, this survey focused mainly on internet security awareness and did not contain a sufficient number of relevant variables to study digital. It was subsequently disregarded for this study.

### 2.1.5 Importance of digital government to civil servants

Additional cross-country evidence is found in data collected as part of the COCOPS project's large-scale survey among top civil servants in 20 countries, mainly to capture their views about public sector reform [13]. The survey contained a question about the importance of digital or e-government in the respondents' policy area. The figure (15) shows the scores per country. A score of one signifies 'not at all', whereas seven stands for 'to a large extent'.

The overall picture that emerges is that top civil servants in most countries see e-government as moderately important. Outliers are Hungary, Lithuania and France, where digital government is not considered to be an important trend. Also within the countries, there are differences. In large organizations, and in organizations with agency status, digital government is viewed as a more important trend. The latter tending to be in charge of routine high-volume service delivery. There are hardly any differences across policy sectors. Only respondents working in the general government, i.e. the core government administrative service, see digital government as more important.

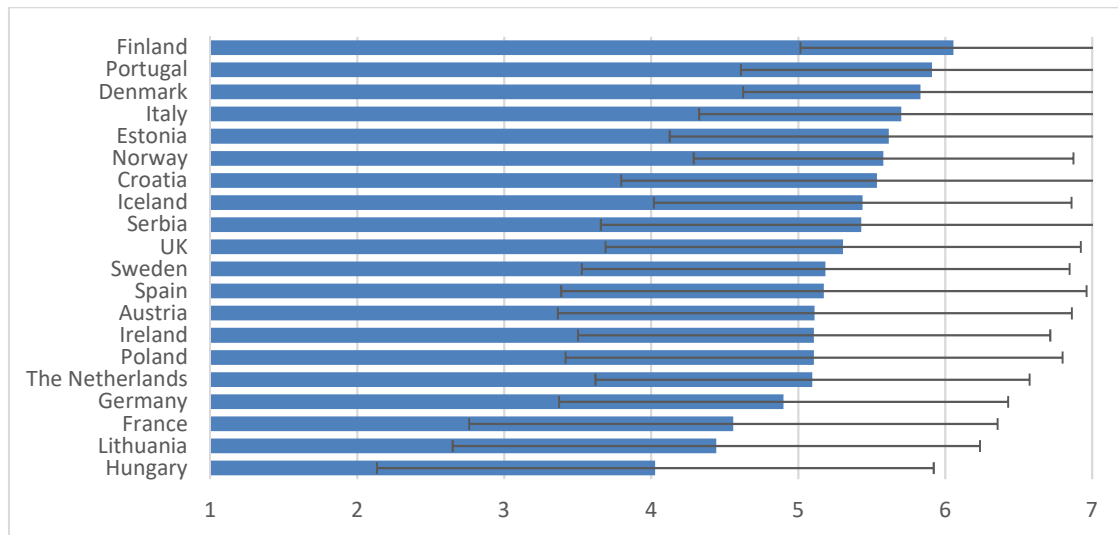


Figure 15. Importance of digital or e-government, mean and SD (N=6.537)

### 2.1.6 Conclusion

In summary, four inferences can be drawn. First, the internet access rate of households in Europe is high. Almost all countries report over 80% household access to the internet. Striking exceptions are the Czech Republic, Lithuania, and Portugal, who are lagging behind. Second, frequent internet use by citizens does not equate to digital contact between governments and citizens. The functional use of internet does not mean that citizens will use the internet to contact governments. Notable cases are the United Kingdom, Germany, and Italy. Third, the differences in basic internet skills and usage across Europe are large, there exists substantial country-based variance. Respondents from North-western European countries appear more basic digitally skilled than respondents from South-eastern European countries. This grouping of country-bases results has also been noted in the previous chapter. Fourth, there appears to be no real differences in internet skills and abilities of public administrators and ordinary citizens. Though the analysis displayed statistically significant differences between both groups based on their self-assessed abilities to fulfil their job requirements, the trend remained stable across the groups. Furthermore, Van Deursen and Van Dijk [90] also concluded that there are no real differences in internet skills between public administrators and ordinary citizens. These results provide arguments to specify generalized skill inferences to public administrators and make

specified inferences based on general results. However, new original research should result in more reliable evidence.

Table 12 displays a country comparison and total ranking of the three main variables discussed above: household internet access, individuals' online interaction with governments, and basic internet skills and usage. The scores marked green are among the top five scores in comparison to the total, the scores marked red are among the bottom five. (In cases of equal ranking, all relevant cases have been marked either green or red.) In all, Household internet access remains fairly stable after ranking, striking is the difference of 32 percentage points between the top and bottom scores. Individuals' online interaction with government is also relatively stable after ranking. Again, the difference between the top score and the lowest score are striking: Denmark and Poland are more than 60 percentage points apart. The general basic internet skills and usage are more varied but closer together. Especially the Czech Republic stands out, despite the medium basic internet skills and usage of its respondents, the country is ranked lowest. Further research could serve to clarify more clearly the various rankings of the different countries.

**Table 12.** Comparative table ability to take up new technologies

Country	Rank	Household internet Access	Online interaction with government	Basic internet skills and usage
Denmark	1	94%	88%	37,5%
The Netherlands	2	97%	76%	36,2%
Finland	3	92%	82%	37%
Sweden	3	94%	78%	35,8%
Estonia	4	86%	77%	32,3%
Germany	4	92%	55%	33,4%
United Kingdom	4	93%	53%	33,6%
Austria	5	85%	60%	32%
France	6	86%	66%	28,4%
Latvia	7	77%	69%	24,6%
Belgium	8	85%	55%	30,1%
Ireland	9	87%	52%	22,2%
Spain	10	82%	50%	27%
Hungary	11	81%	48%	24,8%
Lithuania	12	72%	45%	25,6%
Portugal	13	74%	45%	23,8%
Poland	14	80%	30%	20%
Czech Republic	15	64%	36%	28,4%
Italy	16	79%	24%	21,7%

## **2.2 Explaining non-adoption of electronic government services by citizens. A study among non-users of public e-services in Latvia**

This section analyses citizen motives for not using electronic government services. Using qualitative interviews among users of Citizens' Service Centers in Latvia, this paper analyses the motives of citizens who do not use electronic government services but rely on non-electronic equivalents or on in-person assistance. It expands the literature on e-commerce and e-government through an explicit focus on non-adoption rather than adoption. Findings show a higher than expected importance of hardware and internet availability, as well as the importance of convenience factors for non-adoption. Furthermore, the research reveals that the well-intentioned supply of non-electronic alternatives may hamper the take-up of e-government. Several recommendations for the further development of electronic government services follow.

### **2.2.1 Introduction**

Governments increasingly employ electronic services in order to improve processes and reduce costs and red tape [92]. Despite these investments, a sizeable group of citizens fail to adopt electronic government services and continue using physical equivalents [93], [94]. This non-use of electronic government services is generally explained by referring to a lack of ICT skills, concerns about privacy and security, or to the user-friendliness of e-government applications. However, such rational explanations are unsatisfactory to explain non-adoption and tend to result in policy recommendations that emphasize information provision and the technical improvement of interfaces. This section examines the underlying motives of non-users, by conducting interviews.

This study expands the current literature on the adoption of electronic services in three different ways. First, it expands the work on e-government adoption, which has mainly analysed why government organizations switch to electronic delivery (or why not), the personal characteristics of e-government users and non-users, and the reasons citizens give for using electronic services [95]–[97]. Very little of these works have looked into why people do *not* use electronic alternatives (e.g., [98], [99]). Most of the work uses quantitative surveys, often developed for applied research purposes. This means their focus is predominantly on the nuts-and-bolts of electronic services and the service experience instead of non-user attitudes.

Second, this paper contributes and expands the current work on e-commerce use and non-use. The predominant focus is on why organizations and companies adopt e-commerce, and less on why customers do so. Still, the work on e-service adoption by customers is quite well-developed [100], and has already moved to the level of theory-testing. Few of these insights have infiltrated the research on e-government adoption and non-adoption.

Third, it expands the current research by studying non-users, whereas other studies have mainly looked at 'intention to use', and less at actual use. Our study differs from such work by explicitly selecting respondents based on their actual behaviours rather than intentions – i.e. they have already decided not to use electronic alternatives.

This section proceeds as follows. First, we review some of the evidence on the use and non-use of electronic services, both public and private, to come to a summary of common motives for using or not using services. We then describe the specific case where this research is conducted and introduce the design and method of our research. This is followed by the analysis and discussion of the findings. Finally, we provide some evidence-based recommendations on how practitioners can increase the use of electronic government services among citizens.

### **2.2.2 What do we know about determinants of non-use of electronic government services?**

Many studies on the adoption and non-use of electronic government services use Davis' 1989 Technology Acceptance Model (TAM) [97]. The model provides an attitudinal explanation of individuals' intention to use new technologies and is rooted in the theories of reasoned action [102] and planned behaviour [103], [104]. TAM predicts that citizens' behavioural intention to use new technologies is dependent on their belief that using the new technology will enhance performance (perceived usefulness) and that its use will be free of effort (ease of use). Venkatesh and Davis [105] expand this model and argue that social influences (subjective norm, voluntariness, and image) and cognitive instrumental processes also directly influence user acceptance of new technologies.

The TAM framework has previously been used to study the adoption of e-commerce [106] and e-government [107]. Carter [108], for instance, found that perceived usefulness, trust in the internet, previous completion of an internet transaction, and perceived ease of use are important factors in predicting intention to use. Of these, perceived usefulness is the strongest predictor. In this circumstance, Seo and Bernsen [98] suggested that inhabitants of rural areas may perceive a higher usefulness, because their travel time to physical government locations may be higher. Findings are more mixed about the role of perceived ease of use of technology on behavioural intention to use electronic services., Carter [108] found that computer self-efficacy did not significantly predict citizen intention to use new technologies.

Computer self-efficacy, citizens' assessment of their ability to use computers in diverse situations [109], has been explored in several technology adoption studies [110], [111]. In a review of 48 empirical studies on citizen adoption of IT innovation, Jeyaraj, Rottman, and Lacity [110] found computer self-efficacy to be a promising predictor of adoption. However, empirical testing thus far failed to conclusively support the positive effect of citizens' assessments of their own ability to use computers on actual e-government use [94], [111]. In addition, the relation between the use of the internet for accessing e-government services and for other uses differs among socio-demographic groups, implying that higher internet use does not necessarily lead to higher e-government adoption [112].

Trust in government is seen as an important variable in e-government adoption research [93], [95], [113]. Some studies argue that citizens have to trust government agencies to be capable of providing digital services effectively and safely in order for them to be willing to take up digital services [93]. Alzahrani et al., [95] distinguished four dimensions of citizens' trust in e-government: technical factors (ea. system, service, and information quality), institutional factors (government agencies' reputation and past experiences), risk factors (performance risk, security and privacy) and individuals' factors (disposition to trust, internet experience, and education) as determinants for citizens' e-government adoption. However, other studies have disputed these results and argue that citizen trust in government and citizen trust in electronic government services are two different things. Teo et al., [114] found trust in government rather than trust in technology to be the most important driver of e-government adoption, whereas both Carter [108] and Carter et al., [94] find no significant relation between trust in government and intention to use electronic government services.

Carter and Bélanger [107] investigated willingness to adopt e-government and identified, amongst other factors, compatibility as an important driver of willingness. Compatibility refers to whether the proposed interaction is "congruent with the way they like to interact with others" [107]. This suggests that people who use e-commerce, e-mail with friends, etc., are also more likely to use e-government services. Also, Sung [115] found that the proliferation of smartphone usage increased the digital skills of users and recommended that adoption-policies should encourage the usage of digital tools. Therefore, it is important to study the use of

commercial e-services when one wants to obtain insight into the use of electronic government services. However, whereas e-commerce and e-mail are voluntary, the same cannot be said of e-government services. Furthermore, whereas businesses can choose their customers, governments must serve everyone.

In all, most of the work on citizen electronic services use and non-use is survey-based and quantitative (see Kunstelj et al., 2009 for a discussion [99]), generally relying on a similar set of constructs and theories (e.g., TAM, [41], [113], [116]). Most of these studies have devoted special attention to the socio-demographic characteristics of non-users and users, particularly in relation to the digital divide, but have not devoted as much attention to citizen motivations for use and non-use. In addition, the majority of studies have focused on users and easy-adopters, and less on non-users, with some exceptions [116].

### 2.2.3 Method and data

The purpose of this research is to study the motives of non-users of electronic government services, who tend to rely on a physical alternative instead. Particularly, we want to identify why Latvians make little use of electronically available services such as *latvija.lv* or the Electronic Declaration System, and why they decide to visit the State and Local Governments' Single Client Service Centers (CSC) instead of using electronically available services alternatives.

#### Case description

Data is collected in Latvian Unified State and Municipal Customer Service Centers (CSC) or *Valsts un pašvaldību vienotie klientu apkalpošanas centri* (VPVKAC), which help citizens in digital communications and electronic government services requests [92], [117]. The establishment of CSCs in centers of regional significance was started in 2015 and continues to this day. They operate in close cooperation with municipalities and provide state and municipal services for clients. Currently there are 72 municipal CSCs, where citizens and businesses can obtain municipal services, advice or apply for the services of eight state institutions (State Social Insurance Agency, State Employment Agency, State Revenue Service, Register of Enterprises, State Rural Support Service, State Land Service, Office of Citizenship and Migration Affairs and State Labor Inspectorate). State and municipal services are available both in-person and electronically at the CSC's digital platform. Many of the services provided on this platform are related and citizens facing specific life situations, e.g. child birth, must apply for several services, provided by different institutions CSC personnel help find the requested services on the National portal *latvija.lv* and help customers use them. The work of these CSCs is centrally coordinated by the national Ministry for Environmental Protection and Regional Development [118].

The National portal of Latvia (*latvija.lv*) is the largest and most convenient Internet information and services source provided by the Latvian State and municipalities. The portal provides information on the more than 2000 services and 100 electronic services offered by the State and local governments in Latvia. In order to effectively use the portal, citizens are requested to register first. Individuals can register using the following authentication tools: (a) electronic signature; (b) electronic ID or (c) via Internet banking (in case a person uses Internet banking the person does not need electronic signature or electronic ID). The following *latvija.lv*-related services are provided at the CSCs:

- Request services provided by municipalities and the 8 state institutions (State Social Insurance Agency, State Employment Agency, State Revenue Service, Register of Enterprises, State Rural Support Service, State Land Service, Office of Citizenship and Migration Affairs and State Labor Inspectorate)
- Receive consultations about e-services provided by municipalities and state institutions, as well as practical assistance working with computer, internet and eID card reader.

- Receive information and assistance on the use of computer, internet, eID card reader and consultative support about (electronic) government services [118].

Customers of CSCs are characterized by their deliberate choice not to adopt administrative e-services but opt for the in-person alternative instead. As conscious non-users, CSC-customers form the ideally suited subject pool for a study into the non-use of electronic government services.

### **Design and questions**

We opted for an explorative approach using short qualitative interviews. First, a significant amount of prior research has focused on early adopters of technologies rather than laggards. This means there is little consensus about the reasons for not using e-government services, and established questionnaires are not available. Where such material does exist, e.g. in studies on e-commerce, this material is not adapted to a public sector context. Second, we expect at least part of the respondents to be vulnerable in terms of self-efficacy and literacy, making a traditional questionnaire less suitable. Third, there is no list of potential respondents – this means for the researcher it is essential to go in person to the CSCs to contact respondents to invite them to participate in the study.

### **Selection of respondents**

Respondents were selected using a two-step quota sampling design. In the first step, a representative sample of CSCs were selected. In the second step, a stratified quota sample of respondents was selected.

First, we selected the CSCs in which to conduct the interviews. Latvia has around 2 million inhabitants, of which one third live in the capital. Municipalities have on average 8900 inhabitants. There is a total of 75 CSCs, jointly operated by state and local governments. Of these centres, 3 are operated by various central government agencies, and 72 are municipal service centres located in centres of regional significance. The centres are distributed over rural and non-rural areas and cover all five of Latvia's planning regions. We aimed at selecting a representative group of 8 municipal CSCs, both rural and non-rural, with a sufficient number of customers. We opted for municipal CSCs because they show institutional homogeneity and provide a similar range of services, unlike those located in larger cities. Furthermore, we excluded all CSCs that have been operational for less than one year. Seven out of eight CSCs were located in regions with fewer than 9000 inhabitants. The 8 CSCs selected were: Ape, Auce, Charnikava, Dagda, Roja, Salaspils, Strenči, and Viļaka (see table 13).

After having selected the CSCs, we proceeded with the stratified quota sampling in each of the eight CSCs. The stratifications are made based on age, education, income, and gender (table 13). To avoid bias, all interviews were conducted during lunch time or after working hours (but before closure of the CSC), the period when most customers go to the CSCs. In order to satisfy the quota requirements, it was necessary to visit some CSCs several times. Some additional selection criteria were used as well. We only included customers who wanted to apply for, or have rendered, government services (State revenue services, social security, etc.). Customers using non-digital services only were excluded. Secondly, only Latvian citizens or long-term residents were included. Expatriates, new immigrants, or exchange students could have reasons not to use electronic government services and are usually insufficiently versed in the Latvian or Russian vernacular.

## Interview approach

All participants were asked the same two specific questions. Respondents were invited to explain and elaborate their answers.

1. Why do you not use e-services, such as online [www.Latvija.lv](http://www.Latvija.lv), offered by the state or local government authorities?
2. Why did you decide to visit the State and Local Government's Single Client Service Center?

The two questions explore the same behaviours and motives. The reason for this repetition is to delve deeper into the respondent's motives. This approach also helps to find out whether reasons for not using the electronic alternatives to government services are similar to those offered for using non-electronic alternative. The literature reviewed earlier suggests there may be differences.

Respondents were asked to provide informed consent by signing an informed consent form. They were asked to allow for the interviews to be recorded on tape and the interviewers acted accordingly. In addition, the interviewer recorded the basic interview information, including the name of the interviewer, date, place, and interview start and end time. All interviews were conducted by two interviewers. The data was collected between March 27<sup>th</sup> and April 21<sup>st</sup> 2017.

## Descriptive analyses

A total of 141 people were interviewed. Most respondents are between 25 and 65. This may be due to younger individuals being more well versed with computers and the Internet. In addition, younger people are not required to submit declarations to the State Revenue Service or request assistance from the Social Security Insurance agency due to their studies. Lower income categories are overrepresented, probably due to the overrepresentation of CSCs in remote rural areas where income levels are relatively low. In addition, more than half of the population of Latvia receives a below average salary. According to the Central Statistical Bureau of Latvia, 57.8% of women and 49.9% of men in 2016 received a monthly salary of between EUR 70,00 to EUR 700,00 [119]. Furthermore, almost three quarters of the respondents are female. This can partly be explained by the active role women of Latvian families take in issues related to Social Security Insurance Agency services and State Revenue Service or the precarious position of single mothers.

Five of the eight chosen CSCs are located in remote areas close to Latvia's borders: Viļaka CSC, is located near the border with Russia; Ape and Strenči CSCs are located near the border with Estonia; Auce CSC is close to the border with Lithuania; and Dagda CSC is near the border with Belarus. Two of eight CSCs – Carnikava and Roja, are located near the Baltic Sea. In all cases, CSCs are located in centers of regional significance. The size of seven selected regions range from 3.444 inhabitants in Strenči to 8.884 inhabitants in Carnikava. Only one, the Salaspils region, has 23.432 inhabitants. Because most of the CSCs included in the study are located in rural areas, results relating to the income and education levels of respondents, as well as on the accessibility of computers and internet, could be biased.

**Table 13.** Respondent characteristics

	N	%
<i>Interview location</i>		
Ape	20	14,2
Auce	19	13,5



Charnikava	20	14,2
Dagda	14	9,9
Roja	20	14,2
Salaspils	20	14,2
Strenči	16	11,3
Vīļaka	12	8,5
<i>Age category</i>		
under 25	12	8,5
25-40	39	27,7
41-65	75	53,2
over 65	15	10,6
Total	141	100
<i>Education level</i>		
basic	17	12,1
secondary	67	47,5
higher	56	39,7
other	1	0,7
<i>Income category</i>		
0-838	115	81,6
over 838	24	17
not indicated	2	1,4
<i>Gender</i>		
female	104	73,8
male	37	26,2
<i>Total</i>	141	100

## 2.2.4 Findings

The 141 short interviews provided a total of 279 text fragments to be analysed. Contrary to our expectations, answers were often very short, precluding the initial decision to use qualitative data analysis software to analyse the material. Below we provide a descriptive analysis of the findings. We have also looked at whether reasons for non-use are related to socio-demographic characteristics using Chi<sup>2</sup> statistics and report relevant findings.

### *Familiarity with services under Latvija.lv*

Of the interviewees, 17 per cent indicated they had already used Latvija.lv earlier for other reasons, and only two respondents indicated they were not aware of the existence of Latvija.lv. This suggests that a lack of knowledge of electronic alternatives is not a sufficient explanation for the continued use of the CSC.

### *Skills*

Almost one in three respondents reported reasons for non-use related to skills and competence, and the perceived lack of them. The technology makes them afraid, especially to make mistakes. Many of the people reporting a lack of skills also mention not having a computer. Respondents find the system too complicated, and in some cases contrasted electronic government service adoption with the simplicity of just visiting the CSC in-person. Yet, we do not find evidence that persons labelling the system as too complicated have tried to use the website before. This means concerns about the complicatedness of the system are likely to be a perception issue rather than an experience-related issue. This is additionally suggested by 16 out of 40 higher educated

respondents mentioning skills and the complicatedness of the online system as a reason to visit the CSC. Six respondents indicated visiting the CSC in order to obtain information about using the online system. One respondent mentioned the lack of Latvian language skills.

#### *System access and technical issues*

Several respondents (N=11) mentioned a lack of internet access as a reason for coming to the CSC. Within this group, some respondents cited a lack of access to internet banking. One respondent reported not having access through the bank because of an unpaid loan issue with the bank (one of the most often used options to log in Latvija.lv is through the Internet bank). Three respondents cite a lack of identification devices to use the system, but all three also mention they were currently visiting the CSC in order to obtain a registration to use the system. In total, eleven respondents indicate visiting the CSC in order to obtain a registration to use the system. One respondent cites a lack of access because he does not live in the country permanently (even though latvija.lv can also be used from abroad). Just under one out of five respondents cited the lack of a computer or related equipment as a reason to come to the CSC. We almost exclusively find this among older respondents. Just one of the respondents under 40 mentioned a lack of hardware as a reason to visit the CSC. There also is a small education effect. Predominantly, several respondents cited the lack of a scanner or scanning service as the reason to come to the CSC. In order to obtain the services mentioned, citizens have to upload income declaration or income statements to Latvija.lv. The reason they visit the CSC is to have this document scanned.

#### *Convenience and support*

About a third of respondents included references to a lack of interest or need to use the electronic service: they did not have to use it before and cite the easy availability of alternatives. They state it is still possible to submit required documents on paper, and that the CSC alternative was available and free, so they did not have to use the online alternative. Convenience of the CSCs was cited many times. This includes the convenience of dropping by at the CSC compared to using an online service that is perceived to be complicated. At the same time going to CSC requires more time and effort than using e-services from home or from office, but it seems that respondents did not acknowledge this. Respondents also mention geographic proximity of the CSC (to home and to the place of work) as a reason for using the CSC.

A related factor is that respondents can receive in-person help at the CSCs. Staff at the CSCs are seen to be specialists and knowledgeable. Three respondents also mention they trust the CSC employees. In-person assistance is appreciated for issues which are perceived to be complex. Respondents also cite the possibility to ask additional questions and to get additional help, both about using the system and about the services sought. In some cases, expert assistance and in-person visits are cited in relation to a need to obtain a complex set of services. Such factors are mentioned by almost four out of ten respondents.

One respondent, a middle-aged woman, mentioned social reasons to use the CSC – the CSC is close to home and allows her to socialize and have a chat.

## **2.2.5 Discussion**

The analysis of non-adoption motives generally confirms the findings from the existing literature. It did highlight a number of specific findings, and drew attention to a difficult dilemma for public organizations wanting to stimulate digitization: should abundant offline alternatives be offered to guarantee broad access, or does this unduly hamper take-up of digital services? We discuss the findings in relation to the Technology Acceptance Model and earlier literature on the motives for adopting new (government) technologies.

*Hardware and internet access remain an issue*

The interviews revealed that a lack of computer or internet access remains an important reason not to use online services. This is a finding that has emerged repeatedly in research on non-use of digital series, even in highly developed countries where internet penetration rates are very high (see, e.g. van Deursen et al., 2006 [120]); This is especially the case for older individuals. Several of the centres are located in remote areas close to Latvia's borders. Broadband connections in these areas are not always available and existing connections and internet accessibility is not as good as connections in the cities. Also, people living in these areas have lower income levels and many households cannot afford computers and internet at home. According to the Eurostat, only 75% of rural households had access to internet by broadband connection in 2016 [121]. An eye-opening finding was also that several respondents mentioned the lack of scanning equipment as a reason to visit the CSC. One could argue that this is not an issue related to technology access, but rather one related to poor service design where paper-based documents remain necessary even in an e-government context.

Access to the e-services requiring authorization on [latvija.lv](http://latvija.lv) remains an issue for a lot of people who do not use and/or do not know how to use Internet banking, e-signatures and/or eID cards. Broadband availability in rural areas is relatively low.

*Supplying alternatives may hamper take-up of online service*

There are many CSCs, and more are planned to be opened in the future. The easy supply of this alternative identifies as a convenience for many people instead of using the service online. The fact that the offline alternative exists and can be used is an important reason to continue using it. Many people still consider the online alternative to be less convenient than going in person to the CSC. In the Latvian case, the high number of CSCs and easy access may be a factor in preventing people from switching to online services. The Technology Acceptance Model in this case suggests low perceived usefulness of the new technology, and an ease of use that is only marginally different from the existing widely available offline alternatives.

*Offline services have a support function for making people go online*

Several respondents visited the CSCs in order to register for access to services, or to ask questions. In-person help appears to be desired to make the transition to using online services. Offline offices may help citizens to make the step towards online service use. This is in line with earlier work that has shown that it is not the digital skills citizens possess that are essential in predicting citizens' online channel choice [122]. This finding also suggests that trust in government, a factor that is often studied in e-government adoption research, is probably not a strong explanatory factor, because citizens do visit the physical government centres to directly interact with government employees.

*In-person assistance remains essential*

Respondents appreciate the possibility to ask questions and to receive professional advice. This is not only related to complex cases, but also to more mundane issues when filling forms. Respondents are afraid of making mistakes and seek reassurance and have a perception that the online system will be too complicated. Even simple systems can be seen as complicated. The complexity of the electronic system and fear to make a mistake as well as lack of understanding of the procedure have a strong negative impact on the use of the electronic services. The website [www.latvija.lv](http://www.latvija.lv) is quite complicated to follow and there are many steps to do before one can find and access the service. This means ease of use needs improvement, in line with the suggestions from the Technology Acceptance Model.

*Public services also serve a social function*

A final factor in rural areas is the desire to discuss the procedure in person and receive help. This is also a way of socializing. People like to go to CSC to find out about news in their area. Especially older people or those who are unemployed, who have more time can meet other people with similar problems and/or interests and discuss. This aligns with sociological research discussing the role of public meeting points in rural areas [123], a function fulfilled by the CSC.

**2.2.6 Conclusion**

As local, regional, and national governments rely more and more on the electronic provision of government services, issues of non-use and non-take-up become increasingly salient. In order to expand citizen take-up of electronic government services, academics and practitioners have to endeavour to gain a better understanding of why citizens fail to use electronic government services. This study conducted 141 interviews among users of Latvian Citizen Service Centers (qualified non-users) in order to enhance this understanding.

This study has some limitations. First, the study focusses solely on Latvian CSCs and might not be reproducible in other contexts. Further research should indicate how reproducible our results are. For example, by researching similar samples of non-users in different context. Second, the study is based on a stratified quota sampling procedure. The respondents may be biased because of our sampling procedure. Further research could endeavour to use different sampling methods, both in qualitative and quantitative research, in order to find the causes of non-take-up of electronic government services.

Our specific focus on non-users revealed a higher than expected importance of hardware and internet availability, as well as convenience factors as important determinants for non-adoption. Furthermore, the study showed that the well-intentioned supply of non-electronic alternatives might hamper the take-up of e-government.

## **2.3 eGovernment Maturity Assessment**

### **2.3.1 Introduction**

The main objective of this model is to assess the Digital Maturity of a Public Administration in order to provide improvement recommendations. The scope of the maturity model was centred on the digital aspects of e-government and e-services engineering and delivery. However, the maturity model will also record other aspects, such as the willingness of civil servants to co-create with citizens, recommendations on how to address the social factors of non-use, as well as additional aspects that facilitate a customer centric service design mindset and approach in PA. This model does not aim to benchmark public administrations among each other but rather compare them with an ideal situation and provide them with a gap analysis in the form of recommendations. This is actually the main difference with respect to existing models and assessments provided by institutions such as the European Commission, UN, and so on.

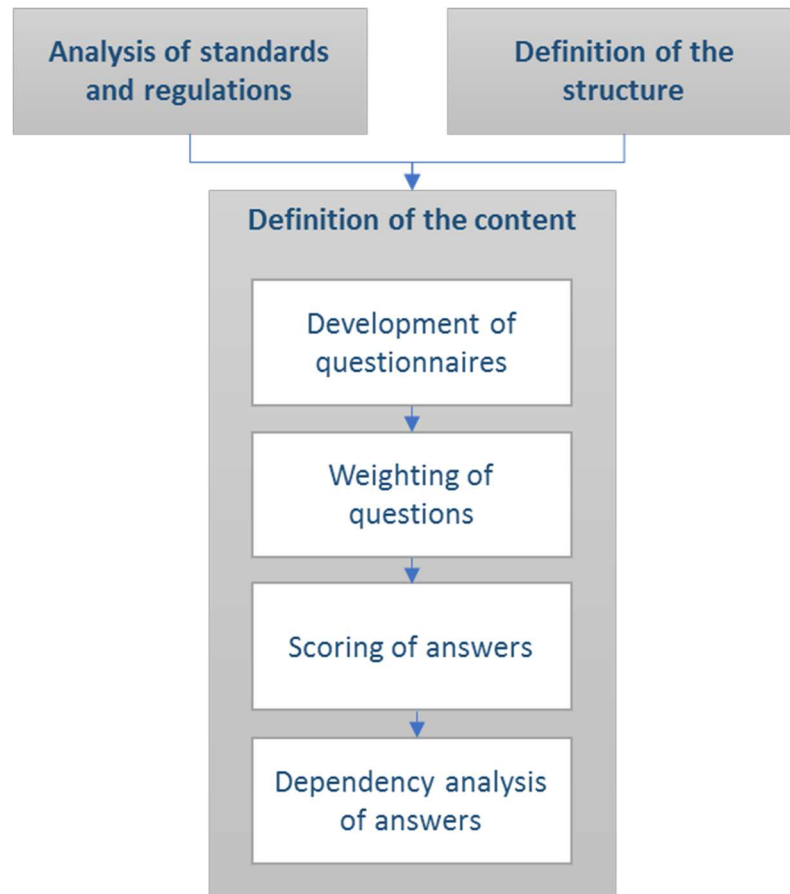
The result of the assessment will be a general level of maturity complemented with a set of improvement recommendations. Five levels have been defined in this model:

1. Level 1: Presence on the web. This means that a common place for distributing information to the public.
2. Level 2: Interaction between Citizens and PA is unidirectional. This means that the communication occurs but only from the government to the citizens.
3. Level 3: Interaction between Citizens and PA is bidirectional. This means that the PA system allows citizens to have complete transactions.
4. Level 4: Integration of services. This means that the PA acts as a “One-stop shop”, allowing the interaction with different departments.
5. Level 5: Cross-border interaction. This means that the PA allows the interaction with other administrations from other countries.

### **2.3.2 Functional approach**

In order for the Digital Maturity assessment tool be effective, we have based the approach to its construction on some basic premises, namely: (i) to be a tool for the PAs to assess their maturity level in digitalization with a comprehensive, multi-dimensional approach; (ii) to request information in a structured and clear way so that the respondents do not hesitate in giving the answers; and (iii) to base it, whenever possible, on official reports, benchmarks, best practices widely adopted in the industry, legal regulations, etc.

With this premises in mind, a process described in detail in the following sections, and shown in the next figure, has been followed.



**Figure 16.** Process followed to create the DIGIMAT

### 2.3.3 Analysis of existing standards, studies and regulations

To define the structure and questionnaire of the digital maturity model in this version, a series of papers, official documentation and regulations have been consulted. They are, among others:

OFFICIAL REPORTS OF THE EUROPEAN COMMISSION:

- **Digital Public Services, DESI report 2018:** The Digital Economy and Society Index (DESI) is a composite index that summarises relevant indicators on Europe's digital performance and tracks the progress of EU Member States in digital competitiveness. It is based in five dimensions: Connectivity, Human Capital, Use of Internet Services, Integration of Digital Technology and Digital Public Services.
- **eGovernment in the European Union, 2018:** This factsheet presents an overview of the state and progress of eGovernment in the European Union and in European countries. It gathers information society indicators, the main strategic directions, funding mechanisms and achievements as well as the main strategic objectives and principles of the EU, relevant EU initiatives, the legal framework, i.e. main legal texts impacting on the development of eGovernment, etc.
- **EU eGovernment Action Plan 2016-2020, Accelerating the digital transformation of government:** the plan aims to remove existing digital barriers to the Digital Single Market and to prevent further fragmentation arising in the context of the modernisation of public administrations. The Action Plan provides for a dynamic and flexible approach, to keep track of the fast-changing environment, will serve as a catalyst to coordinate public sector modernisation efforts and resources in the field of eGovernment

- **eGovernment Benchmark 2017, EC, *Taking stock of user-centric design and delivery of digital public services in Europe*:** The analysis cover four domains: *Starting a Business, Losing and Finding a Job, Family Life* and *Studying*, and follows the lines of four top-level benchmarks, covering important EU policy priorities: *User Centricity, Transparency, Cross Border Mobility* and *Key Enablers*.

#### REPORTS OF INTERNATIONAL ORGANIZATIONS:

- **Recommendation of the Council on Digital Government Strategies, OECD:** This document presents the Recommendation aimed at bringing governments closer to citizens and businesses. The Recommendation hence offers guidance for a shared understanding and a mind-set on how to prepare for, and get the most out of, technological change and digital opportunities in a long-term perspective to create public value and mitigate risks related to: quality of public service delivery, public sector efficiency, social inclusion and participation, public trust, and multi-level and multi-actor governance.
- **eGovernment Survey 2016, UN, *e-government in support of sustainable development*:** The Survey measures e-government effectiveness in the delivery of basic economic and social services to people in five sectors, namely education, health, labour and employment, finance and social welfare. The Survey identifies patterns in e-government development and performance, and is composed of an analytical part and of data on e-government development contained in the annexes of the publication, providing a snapshot of relative rankings of e-government development of all Member States of the United Nations.
- **Open Government Guide, T/AI:** developed by the Transparency and Accountability Initiative (T/AI). It aims to support governments and civil society organisations to advance transparency, accountability and participation particularly as part of the Open Government Partnership. It highlights practical, measurable, specific and actionable steps that governments can, and are taking to advance open government.
- **E-Government and its Measurements, UN Paper:** E-government development measurement is important to analyse the relative and absolute development of e-government world-wide. These benchmarking serve as a tool for the countries and public institutions to identify areas of opportunities and challenges in e-government or digital government and accordingly develop strategies, policies, initiatives for those areas. Several indexes are gathered in this report: UN E-government Development Index (EGDI), The Networked Readiness Index (NRI) by WEF, EU E-government Benchmark Indicators, The Digital Economy and Society Index (DESI) by EC and others.

#### EUROPEAN REGULATIONS AND LEGISLATION:

- **European Union General Data Protection Regulation (GDPR):** the aim of the GDPR is to protect all EU citizens from privacy and data breaches in today's data-driven world. Although the key principles of data privacy still hold true to the previous directive, many changes have been proposed to the regulatory policies; the key points of the GDPR are: increased Territorial Scope, new Penalties, Consent conditions strengthened, Data subject rights -as Right to access, Right to be forgotten, Data portability, Privacy by design or the introduction of the figure of Data Protection Officers as mandatory.
- **Proposal for a regulation for the free flow of non-personal data in the European Union, 2017:** the proposal aims to address the following issues: (i) Improving the mobility of non-personal data across borders in the single market, which is limited today in many Member States; (ii) Ensuring that the powers of competent authorities to request and receive access to data for regulatory control purposes, such as for inspection and audit, remain unaffected; and (iii) Making it easier for professional users of data storage or other processing services to switch service providers and to port data.

- **Towards a common European data space, Communication from the EC to the Parliament:** presents measures that will make it easier for businesses and the public sector to access and re-use data coming from different sources, sectors and disciplines in the EU. Together with the initiatives that are already in place, such as the GDPR, the proposal on the free flow of non-personal data and the initiatives on boosting connectivity and encouraging high-performance computing, these measures will create a truly common data space in the EU. The measures put forward along with this Communication include:
  - a proposal for a review of the Directive on the re-use of public sector information
  - an update of the Recommendation on access to and preservation of scientific information; and
  - guidance on sharing private sector data.

## OTHERS:

- **An Open Government Maturity Model for social media-based public engagement, G. Lee, Y. H. Kwak (2012):** proposes a five-stage maturity model of e-government which focuses on open government and the use of social media and Web 2.0 tools. The model was developed based on case studies from US Healthcare Administration agencies. The 1st stage is “initial conditions”: is a one-way static interaction with the citizen. The 2nd stage is “data transparency”: Feedback is get from the public on usefulness and data quality. The 3rd stage is “open participation”: features social media tools to increase open participation. Input from the public is welcomed and used in policy decisions. This stage includes also e-Voting and e-Petitioning. The 4th stage is “open collaboration”: features interagency collaboration by sharing data and public input. Public contests are organized and data is analysed for obtaining new insights and improving decision-making. The 5th stage is “ubiquitous engagement”: data is easily accessed by mobile devices and tablets. Data is vertically and horizontally integrated. Besides that, data analytics is used for decision making processes.
- **e-Government Best Practices learning from success, avoiding the pitfalls, Cisco IBSG (2007):** develops a three-stage maturity model of e-government. 1<sup>st</sup>, “information interaction”, that features departmental Web sites, legislative posting, public notices, online forms, webcasting and personalized e-portals. 2<sup>nd</sup>, “transaction efficiency”: it is a citizen self-service e-portal that can include electronic payments like online taxes and e-procurement. 3<sup>rd</sup>, “transformation citizen centric”: The administrative services are consolidated and shared across various government jurisdictions.
- **eGovernment maturity, Windley, P. J. (2002):** develops a four-stage maturity model of e-government. The model is defined by four stages, as follows: (1) *simple Web site*: features static pages with downloadable forms; (2) *online government*: interaction mechanisms such as emails, web forms, help and FAQs; (3) *integrated government*: end to end transactions, information shared between departments; (4) *transformed government*: services are customer centric, organized according to citizens’ needs and segmented according to population groups and life events.
- **A comprehensive framework for the assessment of eGovernment projects, J. Esteves, R. C. Joseph (2008):** proposes that understanding the value of eGovernment projects drives the assessment process. Present an ex-post (post-implementation) framework for the assessment of eGovernment projects. This paper examines a three-dimensional framework for the assessment of eGovernment initiatives. The three dimensions are eGovernment maturity level, stakeholders, and assessment levels.



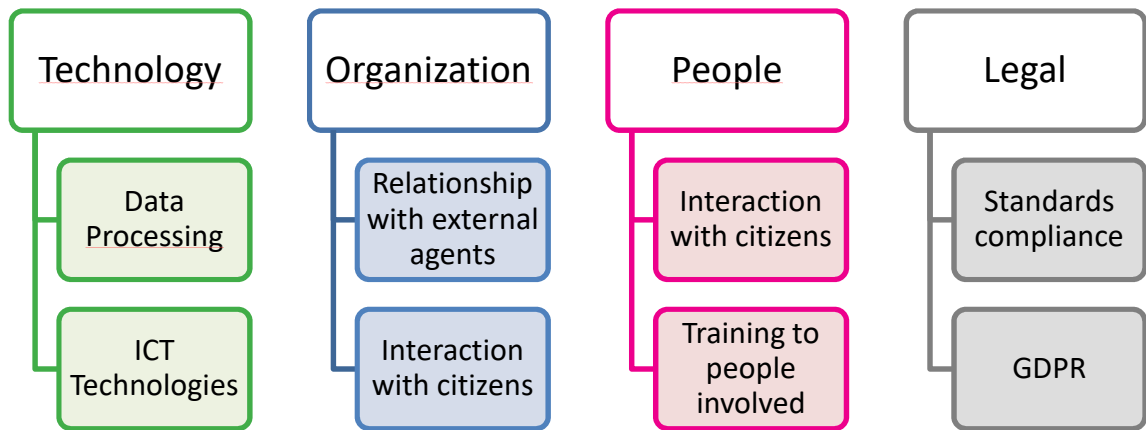
### 2.3.4 Definition of the structure

In parallel to the analysis of the relevant standards, the basic structure of the model has been defined. This model will be based on a set of questionnaires in order to be able to analyse the answers in an automatic way and to provide recommendations to improve the digital maturity of the PA.

In order to facilitate the fulfilment of the questionnaires, the questions have been organised in four different dimensions. This will facilitate that the questionnaire may be filled in by different persons.

The dimensions defined are:

- **Technology.** This dimension aims to assess how the organization is prepared for the digital stage. Here aspects related to ICT Issues are analysed. The questions in this dimension will be structured in two main areas:
  - **Data Processing:** Identify how the data are processed and which measures are taken as well as how these measures are analysed
  - **ICT Technologies.** Study if the PA is using the emerging technologies to implement and deliver its Public services.
- **Organization.** This dimension aims to assess how the processes of the public administration are prepared for the digital stage. The traditional processes to carry out transactions with the PA should be adapted to the Digital processes. The questions in this dimension will be structured in two main areas:
  - **Relationship with external agents.** Understand how the Public administrations manage the relationship with other departments/ PAs.
  - **Interaction with citizens.** Analyse how the PA facilitates to the citizens the involvement in the process of creation of public services and how the civil servants/citizens are involved in the decisions taken and so on.
- **People.** This dimension aims to assess how PAs interact with the different stakeholders. The questions in this dimension will be structured in two main areas:
  - **Interaction with citizens.** Understand how the citizens and PAs interact and which mechanisms are used by PA to facilitate this interaction.
  - **Training to the people involved.** Analyse if the PA provides proper training to all its stakeholders.
- **Legal.** This dimension aims to cover aspects related to the compliance with the GDPR. The questions in this dimension will be structured in following areas:
  - **Standards compliance.** Study if the PA is prepared to adapt their systems to be compliance with the applicable standards
  - **GDPR.** Understand the degree of fulfilment of the GDPR. The structure of this area and the way to calculate the compliance with the GDPR are different that in the other areas.



**Figure 17.** Areas and dimensions for the Digital Maturity Assessment Model

For the rating process of each dimension, each question has assigned an importance depending on the influence of this question in the maturity of the PA (column “importance” in the following tables) and each answer has assigned a weight (between parenthesis close to the answer). Based on these two factors the rate of the level is calculated for each dimension.

There are also a set of questions to determine the context of the PA. These questions about the context of the PA will be potentially used to customise the questionnaire, and to have statistical records to provide general information based on these questions.

### 2.3.5 Definition of the content

The tool is based on questionnaires. The user is asked a question and presented possible answers and, occasionally, free text to explain the answer or to provide further details. Both the questions and answers have been defined based on the analysis of the standards mentioned beforehand. All questions refer to the current situation of the PA, its workers and users, and the procedures that are followed.

As explained before, the DIGIMAT is structured in dimensions and areas. Each question has been given a certain weight. The criteria for this weight is based on the interpretation of the stress given in the standard to that particular area by analysing the keywords used (e.g. must, should, shall) and the number of clauses related to it in the text of the norm. Additionally, each answer is also given a score. This score is the result of analysing literature and standards, and interpreting the meaning of what it is to support a certain aspect compared to another in terms of digital maturity.

It is important to note that some questions present dependencies on others, and that a specific answer has an effect on the overall positioning logic. The set of questions, answers, their scores and weights, are collected in the sections that follows.

### 2.3.6 Questionnaire

The questions (Except the ones related to the context) are presented in table to facilitate the reading of the document. The tables have the following columns:

- Id
- Question
- Answers
- Type of Answer
- Interdependencies. This column indicates if a question is related with other.

- Importance

For the development of this questionnaire several sources have been consulted [124]–[127].

#### **2.3.6.1 Context**

1. Which public administration is primarily responsible for providing the public service?  
[Free text box]
2. What is the primary end user group to which the digital public service is delivered?
  - a. A specific group of businesses;
  - b. General businesses?
  - c. A specific group of citizens;
  - d. General citizens?
  - e. A specific group of public administrations.
3. What is the primary sector to which the digital public service is delivered?
  - a. Health
  - b. Education
  - c. Finance
  - d. Welfare
  - e. Labour
  - f. Environment
  - g. Other, Specify [Free text box]
4. What is the underlying administrative level of the public service (multiple answers are possible)?
  - a. Local
  - b. Regional
  - c. National
  - d. European
  - e. International
5. Which percentage of the population have access to Internet in your influence area? If you do not know you can leave this question empty
  - a. Less than 15%
  - b. Between 15%- 40%
  - c. Between 40%- 60%
  - d. Between 60% - 80%
  - e. More than 80%

### 2.3.6.2 Technology Dimension

**Table 14.** Data processing area

Area: Data Processing					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Do the citizens need to create a <b>profile</b> to use the digital public services?	a. Yes (2) b. No (0)			
2.	Which kind of <b>data</b> is <b>collected</b> in these profiles?	[1] Personal data, like: age, nationality, identification card, address... (1) [2] Data related with the internet connexion, i.e. IP address (1) [3] Data related with preferences. (1) [4] Data about the citizen's usage of digital public services (2)	Multiple answer	DP1=a. Yes	Low
3.	Do the PA take measures to ensure user <b>privacy</b> ?	a. Yes, anonymization mechanisms of the data (2) b. No (0)			High
4.	Which are the mechanisms implemented regarding privacy issues?	[1] Anonymization mechanisms of the data (2) [2] Data is protected by passwords (1) [3] Data is encrypted (3) [4] Other. Specify [Add a text box] (1)	Multiple answer	DP3=a. Yes	Medium
5.	Are there mechanisms to obtain statistical data about the <b>usage</b> of the digital public services?	a. Yes (2) b. No (0)			Medium
6.	Which mechanism uses the PA in its digital services to <b>authenticate</b> the citizens?	a. Electronic identification (e-ID card) (3) b. User and password (1) c. Other unique identifiers (e.g. a loyalty card) (2) d. None (0)			High
7.	Does the PA <b>publish</b> or <b>provide access</b> to the	a. Yes (2) b. No (0)			Low

	citizens' and e-services data on a data portal? (e.g. the "EU open data portal") Note: the data can be published in a partial way				
8.	Has the PA in place a <b>data long-term preservation</b> policy?	a. Yes, following the Regulation (EU) 910/2014 (2) b. Yes, but not following any legislation (1) c. No (0)			Medium
9.	To have "data interoperability" it is important to consider the <b>meaning of the data</b> (semantic aspects) and the precise format of the data (syntactic aspects). Please select those answers that cover the PA situation.	[1] PA has agreement of reference data, in form of taxonomies or controlled vocabularies. (4) [2] PA has agreement of using linked data technologies. (3) [3] PA has identified the meaning of the data elements and the relationship between them (2) [4] PA has defined the exact format of the information to be exchanged. (1) [5] None (0)	Multiple answer		Low
10.	Does the PA have a Chief Data Officer (CDO)?	a. Yes (2) b. No (0)			Low

Table 15. ICT Technologies area

Area: ICT Technologies					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Are the digital public services <b>accessible</b> from different types of devices (e.g. desktops, iOS, Android, ...)?	a. Yes (2) b. No (0)			Medium

2.	Which of the following sentence describes better the PA <b>infrastructure</b> for providing the digital public services?	<p>a. “On premise”. All the information and services are hosted in our own servers and resources. (1)</p> <p>b. Some of my services are hosted on Cloud. Other services and data are hosted in our own services and resources (2)</p> <p>c. All my services and data are hosted on Cloud services (3)</p>			Low
3.	Through which <b>delivery channels</b> is the public service made available to the end user	<p>[1] Traditional (e.g. in a Counter, Postal or by phone) (1)</p> <p>[2] Digital (3)</p>	Multiple answer		High
4.	In case a <b>digital channel</b> is used for the service, please specify the type.	<p>[1] Dedicated application (functionality that needs be installed on a device by the end user before it can be used. This includes apps from an online application store). (1)</p> <p>[2] Website and/or web portal (functionality that is directly accessible for the end user via an Internet URL) (0)</p>	Multiple answer	ICT3= [2]	Low
5.	Indicate, in case the two ways are in place, which is the <b>most used</b> ?	<p>a. Traditional (1)</p> <p>b. Digital (2)</p>		ICT3= [1] + [2]	Low
6.	Which <b>security</b> mechanism are in place in the PA?	<p>[1] HTTPS (1)</p> <p>[2] Digital certification for online services (2)</p> <p>[3] Other. Specify (1) [Add Text box]</p> <p>[4] None (0)</p>	Multiple answer		Medium
7.	Does the PA put attention on ensuring the <b>availability</b> of their information system to other systems?	<p>a. Yes, all or most of the information systems can be accessed from other heterogeneous information system (2)</p> <p>b. Yes, but only on some of the systems (1)</p> <p>c. Not at all (0)</p> <p>d. Do not know (0)</p>			High

8.	Are the digital public services <b>interoperable</b> with others? (i.e. they share and integrate information; e.g. traffic department exchanges fines data with treasury department)	[1] Yes, with other services of the same department (1) [2] Yes, with services of other departments (2) [3] Yes, with services of another National PA (3) [4] Yes, with services of another international PA (4) [5] No (0)	Multiple answer		High
9.	Does the PA use, for the digital public services, <b>open specifications</b> ? (CPSV-AP [128], European Interoperability Framework [129], Linked <i>Open</i> Statistical Data (LOSD))	a. Yes, whenever is possible (2) b. Yes, but not in all the cases (1) c. Never (0)			High
10.	Does the PA offer a <b>unique entry point</b> for all its relevant digital services?	a. Yes (2) b. No (0)			Low
11.	Is the “ <b>responsive web design</b> ” technology used to implement on-line services in the PA portal? (RWD dynamically changes the appearance of a website, depending on the screen size and orientation of the device being used to view)	a. Yes (2) b. No (0)			

### 2.3.6.3 Organization Dimension

**Table 16.** Relationship with external agents' area

Area: Relationship with external agents					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Does the PA provide digital services (information, links, services...) that facilitates to the user to <b>connect with other PAs</b> ?	a. Yes (2) b. No (0)			High

2.	Where are these other PAs located?	[1] Local (1) [2] Regional (1) [3] National (1) [4] International (1)	Multiple answer	RA1=a	Medium
3.	Does the PA <b>involve key stakeholders*</b> in the definition of the digital services? (* ) providers, PA levels affected, private sector	a. Yes (2) b. No (0)			Low
4.	Has the PA <b>clear roles and responsibilities</b> defined for the co-ordination and implementation of digital strategies?	a. Yes (2) b. No (0)			Medium

Table 17. Interaction with citizens area

Area: Interaction with citizens					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Does PA implement any approach to facilitate the citizens to participate in <b>decision-making</b> processes?	a. Yes (2) b. No (0)			High
2.	Which approach is followed?	[1] e-information: provision of the information on the internet (1) [2] e-consultation: organizing public consultations online (2) [3] e-decision making: involving citizens directly in decision process (3)	Multiple answer	IC1=a	Medium
3.	When selecting citizens to participate in <b>decision-making processes</b> , which of the following characteristics are considered in the selection process?	[1] Their competences* (1) [2] Willingness to participate (1) [3] Age (1) [4] Education (1) [5] Income (1)	Multiple answer		Low



		[6] Gender (1) [7] Work status (1) (*) Competences: expertise, technical knowledge, civic knowledge...			
4.	Does PA implement any approach to allow the <b>co-creation</b> of the citizens in the design of the public services?	a. Yes (2) b. No (0)			High
5.	Does the PA provide any ICT support for facilitating the <b>co-creation</b> ?	a. Yes (2) b. No (0)		IC4 = a	Medium
6.	Select from the list the used tools	[1] Panel Circle (1) [2] Social media (1) [3] Mobile contribution (1) [4] Visual collaboration maps and mind maps (1) [5] Rating and voting (1) [6] Mock-ups (1) [7] Storyboard (1) [8] Motivation Matrix (1) [9] Collage (1) [10] Others. Specify [Add a text box] (1)	Multiple answer	IC5 = a	Low
7.	Does the PA have a mechanism to <b>measure</b> the participation of the citizens in the co-creation process?	a. Yes (2) b. No (0)			Medium
8.	Are these metrics used to <b>improve</b> the co-creation?	a. Yes (2) b. No (0)		IC7 = a	Medium
9.	When selecting citizens to participate in <b>co-creation processes</b> , which of the following <b>user characteristics</b> are taken into account in the selection process?	[1] Their competences* (1) [2] Willingness to participate (1) [3] Age (1) [4] Education (1) [5] Income (1) [6] Gender (1) [7] Work status (1)	Multiple answer		Low

		(*) Competences: expertise, technical knowledge, civic knowledge...			
10.	Do the civil servants have the possibility to adapt the rules/procedures to the citizens' circumstances? (age, skills ...)	a. Never (0) b. Yes (2) c. Only under special circumstances (1)			High
11.	When defining the digital services, are the people in "digital exclusion" * taken into account? (* People that has not access to digital technologies)	a. Yes (2) b. No (0)			Medium

#### 2.3.6.4 People Dimension

**Table 18.** Training to the people involved area

Area: Training to the people involved					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Does the PA implement training programs to improve the use of digital public services?	a. Yes (2) b. No (0)			High
2.	To whom are these training program addressed?	[1] Civil servants (1) [2] Citizens (1) [3] Business organizations (1)	Multiple answer	P1= Yes	Medium
3.	What is the subject of the training?	[1] Digital skills (1) [2] People management (1) [3] Communication Skills (1) [4] Other [Add text box] (1)	Multiple answer	P2 = 1	Low
4.	What is the subject of the training?	[1] Digital skills (1) [2] Public service procedures (1) [3] Other [Add text box]	Multiple answer	P1 = 2	Low

5.	What is the subject of the training?	[1] Public service procedures (1) [2] Public procurements management (1) [3] Other [Add text box] (1)	Multiple answer	P1 (1) = 3	Low
----	--------------------------------------	---	-----------------	------------	-----

Table 19. Interaction with citizens area

Area: Interaction with citizens					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Does the PA ensure that people with <b>disabilities</b> , elderly or other disadvantaged group can access to the digital services?	a. Yes (2) b. No (0)			High
2.	Does the PA offer its digital services taking into account the <b>multilingualism</b> ?	a. Yes (2) b. No (0)			Medium
3.	The digital services offered are shown in the appropriate <b>language</b> in an automatic way based on the citizen's profile?	a. Yes (2) b. No (0)		I2=a	Low
4.	Does the PA comply with <b>e-accessibility</b> specifications? (e.g. ISO/IEC 29138: Accessibility considerations for people with disabilities)	a. Yes (2) b. No (0)			High
5.	Does the PA offer their services by multiple <b>channels</b> ? (e.g. post, phone, tv/radio?..)?	a. Yes (2) b. No (0)			Medium
6.	Which mechanisms are used by the PA to ensure that the citizens <b>find the services</b> that they need?	[1] A first list of e-services is shown based on the <b>profile</b> of the citizen (3) [2] The webpage has a <b>search</b> tool to discover the services. (2) [3] A <b>complete list</b> of services is shown to the citizens. (1)	Multiple answer		High
7.	Does the PA offer some mechanism to the user to <b>personalize</b> the list of	a. Yes (2) b. No (0)			Medium

	services or the services themselves?				
8.	Has the PA implemented mechanisms to allow the citizens to give <b>feedback</b> about their experience of using the PA's service?	a. Yes (2) b. No (0)			High
9.	Does PA offer an online <b>tracking</b> system that permits citizens to check the status of the online transactions?	a. Yes (2) b. No (0)			Medium
10.	Does the PA offer any <b>push</b> mechanism to remind the user about services or send him information?	a. Yes (2) b. No (0)			Low
11.	Which mechanism is used for these reminders?	[1] E-mail (1) [2] SMS to mobile phones (1) [3] Alerts (1) [4] Other [Add text box] (1)	Multiple answer	P10= a	Low

### 2.3.6.5 Legal Dimension

**Table 20.** Standards compliance area

Area: Standards compliance					
ID	Question	Answers	Type of answer	Interdependencies	Importance
1.	Does the PA have a <b>process</b> for selecting those <b>standards/regulations</b> that are important? (e.g. standards about accessibility, security, GDPR...)	a. Yes (2) b. No (0)			High
2.	Are the <b>new legislation</b> or regulations assessed/reviewed in relation to the digital strategy?	a. Yes (2) b. No (0)			High
3.	Does the PA provide public data to be <b>re-used</b> by the private sector? (for example, data generated by the utilities and transport sectors, research data...) Based on EC directive on reuse of PSI-Public Sector Info [130]	a. Yes (2) b. No (0)			Medium

4.	Does the PA provide real-time access to dynamic data? (for example, using application programming interfaces or APIs) [130]	a. Yes (2) b. No (0)			Medium
5.	Does the PA have an arrangement with a private company for using the public data, and charge for this? [130]	a. Yes (2) b. No (0)			Medium
6.	Are there standard charges for the re-use of public documents/data? [130]	a. Yes (2) b. No (0)			Low
7.	Are these charges published online? [130]	a. Yes (2) b. No (0)		L6=a	Low
8.	What is the timeframe for the PA to process a user request for re-use of a public document/information? [130]	a. 20 working days or less (2) b. More than 20 working days			Low
9.	Does the PA impose legal or administrative restrictions to citizens/businesses about the localisation of its data? (example: a small provider of accountancy services has to arrange data storage in the State it offers its services) [131]	a. Yes (2) b. No (0)			High
10.	Which of the following sentences about how the PA manages the <b>Non-Personal-Data</b> of the citizens/companies is true? [131]	[1] The PA makes publicly available the details of any data localisation requirement (2) [2] The PA sometimes requires from citizens or companies' data which is in other countries (2) [3] The PA had sometimes problems to access citizens/businesses data when it was located abroad (1) [4] The PA knows who is the National Contact Point regarding the free-flow-of-data Regulation (1)	Multiple answer		Medium

### 2.3.6.5.1 GDPR compliance

As mentioned above, the structure and rating of this area is different from the others, this is due that the challenge of these questions are to define easy multiple-choice questions which enable the self-assessment of a PA in legal terms under the GDPR, translating a complex situation in basic levels.

Four general levels of GDPR compliance have been defined, namely the following:

- Clear compliance issue(s) = high risk of trouble if data protection authority investigates
- Paper compliance or low compliance = risk of trouble if data protection authority investigates, but the most essential things have been taking care of, although significant gaps exist compared to best practice
- Medium compliance = low risk of trouble if data protection authority investigates, concepts have been applied both formally and in an acceptable manner in practice. Some decisions have been made to simplify things or save cost and effort rather than have the most privacy-minded solution and/or some improvements are possible
- Full compliance = near to no risk if data protection authority investigates, GDPR has been fully implemented according to best practices, i.e. all obligations of means have been satisfactorily fulfilled, while however keeping in mind the proportionality underlying the GDPR's obligations of means.

These levels are addressed per topic. There are ten topics, representing essential elements of GDPR compliance. An organization should not have "clear compliance issue(s)" in any topic, nor should it in any question in any of the topics, as this would be a clear compliance and/or liability risk.

Apart from that, organizations should strive towards full compliance, which is the ideal situation. However, this may not always be desirable for the organization, or even appropriate under the GDPR, depending on complexity of the organization and means available.

For each topic, several questions have been defined. Note that the answers may be shuffled in DIGIMAT, but for clarity purposes the following rules apply to the questions presented in this document:

- Answer A is the situation of (a) clear compliance issue(s). It gives zero points.
- Answer B is the situation of paper compliance or low compliance. It gives one point.
- Answer C is the situation of medium compliance. It gives two points.
- Answer D is the situation of full compliance. It gives three points.

Each question is weighed depending on importance to come to the overall score for the topic, which will then relate to one of the four levels being assigned to the topic as a whole, as described above.

Instances of questions where the answer results in "clear compliance issue" should always result in the final topic level of "clear compliance issue".

The rules to carry out the assessment of each topic are as follow:

- One or more times "a" then there are compliance issues. Actions are required in any case.
- 33.3% - 44.4% of the total rate is obtained then there is a situation of low compliance (assuming no "a" answer)
- 44.5% - 77.8% of the total rate is obtained then there is a situation of medium compliance (assuming no "a" answer)

- 77.9% - 100% the total rate is obtained then there is a situation of full compliance (assuming no “a” answer)

**Table 21.** Awareness and training

Area: Awareness and training			
ID	Question	Answers	Importance
1.	Does your organization have a policy on how to handle personal data within the organization (data protection policy/data handling policy)?	a. No, there is no policy b. Yes, there is a policy but it is vague and unclear and/or not easily accessible to all staff c. Yes, there is a policy; The policy is both clear and accessible d. Yes, there is a policy; The policy is clear and accessible and people are aware how and when to refer to it a.	Medium
2.	In relation to GDPR and processing of personal data, staff ...	a. Have received no training b. Have (partially) received a general (high level) training on GDPR c. Have and will at least yearly receive general GDPR training, with some highlights on specifically relevant issues (HR, direct marketing, ...) a. Have and will regularly receive role-specific GDPR training, taking into account specific challenges and updates	Medium
3.	How does PA prove GDPR awareness?	a. It cannot. b. It can show the policy and the slides of the general training c. It has a policy, training materials and information on attendance a. It has a policy, training materials, information on who attended and test results proving a certain level of knowledge acquired	Medium

How to assess this topic:

- One or more times “a” then there are compliance issues. Actions are required in any case.
- 33.3% - 44.4% of the total rate is obtained then there is a situation of low compliance (assuming no “a” answer)
- 44.5% - 77.8% of the total rate is obtained then there is a situation of medium compliance (assuming no “a” answer)
- 77.9% - 100% the total rate is obtained then there is a situation of full compliance (assuming no “a” answer)

**Table 22.** GDPR governance and DPO

Area: GDPR governance and DPO			
ID	Question	Answers	Importance
1.	As a PA, your organization is obliged by the GDPR to have the role of a data protection officer (DPO), someone that has the legal knowledge on data protection law and can provide your organization with independent expert advice. Note that a DPO may be an external service provider. Your organization currently has ...	<ul style="list-style-type: none"> <li>a. Either no person in charge or a person in charge without the title of DPO and who is not really an expert in data protection law and/or clearly lacks independence</li> <li>b. There is a DPO appointed. However, “expert” might be a bit of an overstatement. Independence is not clearly established, e.g. because the person receives instructions from his/her superior with regards to his/her other tasks or does not have a real direct reporting possibility to the highest level of management. Alternatively, if DPO services are used: a service provider is used, but no clear guarantees exist on the quality of the firm.</li> <li>c. A DPO has been appointed. The DPO has some proven skills, e.g. has taken a certified and highly recognised course for DPOs. There is no reason to suspect conflict of interest. The DPO can directly report to the highest level of management. However, the DPO often lacks time to fulfil this function and his/her other duties. Alternatively, if DPO services are used: a service provider is used, with some guarantees, such as certificates or relevant experience.</li> <li>b. A DPO has been appointed. The DPO has extensive experience in data protection law. There are measure in place to guarantee independence, including the fact that the DPO can directly report to the highest level of management and has no other functions, thus operating by him/herself. The DPO has sufficient resources available and can handle all the work relatively easily. If DPO services are used: a service provider with a proven track record is employed, which fulfils all other requirements mentioned equally well.</li> </ul>	Medium
2.	When GDPR-related questions arise, an organization should be able to handle these. Information that is GDPR-relevant should travel between the different levels of the	<ul style="list-style-type: none"> <li>a. No governance structure.</li> <li>b. A general governance structure, which is also used for GDPR purposes. The DPO is involved when deemed necessary.</li> <li>c. There is a specific governance structure for GDPR. The DPO is standardly involved and</li> </ul>	Medium



Area: GDPR governance and DPO			
	organization, so should instructions. Record-keeping responsibilities (see also topic 3) must be divided. For all these purposes, a governance structure may help create structure and control. Your organization currently has...	<p>is at the head of the structure or plays an appropriately relevant role. The structure is often used in practice, and this can be demonstrated in a piecemeal manner.</p> <p>b. There is a specific governance structure for GDPR. The DPO is standardly involved and is at the head of the structure or plays an appropriately relevant role. The governance structure is (nearly) always used in practice and this can largely be demonstrated since documentation is kept on this.</p>	
3.	How much does the staff involve the DPO on data protection related matters?	<p>a. Not at all or very little. The reason for this is that such situations are not often detected as requiring the view of the DPO. Alternatively, there is no DPO or the DPO is not involved for other reasons.</p> <p>b. On the most important and obvious issues, the DPO is involved. However, there have been instances where the DPO quite clearly should have been involved but was not contacted.</p> <p>c. The DPO is consistently involved in data protection related matters. Now and then some small issues are not put up for consultation by the DPO, but it is limited. Moreover, most of the staff is aware that they may contact the DPO for questions relating to their rights as data subjects too.</p> <p>b. The DPO is involved in virtually all data protection related matters. Moreover, the staff also contacts the DPO on data protection questions related to them as a data subject.</p>	Medium

Table 23. Record and oversight of processing activities

Area: Record and oversight of processing activities			
ID	Question	Answers	Importance
1.	<p>The GDPR obliges all organizations to keep a record of processing activities (article 30 GDPR). Such a record should at least include:</p> <ul style="list-style-type: none"> <li>• The details of the controller (your organization) and joint controllers, if applicable;</li> <li>• The purposes of the processing (not necessarily the legal grounds);</li> </ul>	<p>a. No record compliant with article 30 GDPR</p> <p>b. A record compliant with article 30 GDPR, which has been centrally created, but which has not extensively been checked with the staff carrying out the activities described therein in the day to day operations</p> <p>c. A record compliant with article 30 GDPR, which has been created either bottom-up through interviews or similar techniques to elicit information or centrally (top-down),</p>	Medium

	<ul style="list-style-type: none"> <li>• A description of data subject and categories of personal data;</li> <li>• The categories of recipients (internal and external), including the recipients outside of the EEA;</li> <li>• Where applicable, information on the transfers of personal data outside the EEA and the safeguards in place;</li> <li>• If possible, a retention period;</li> <li>• If possible, a general description of technical and organizational security measures;</li> </ul> <p>Your organization currently has...</p>	<p>but with extensive checks with the involved staff to ensure accuracy.</p> <p>c. A record compliant with article 30 GDPR, created through a combination of bottom-up information gathering, compilation by a person with legal expertise and checked afterwards with the involved staff</p>	
2.	The record of processing activities is...	<p>a. Not updated</p> <p>b. Updated, but there are no clear rules on when and on who does this</p> <p>c. Updated by the staff identified in a governance structure to be responsible for this at regular intervals, e.g. every 6 months</p> <p>c. Updated by the staff identified to be responsible for this in a governance structure at regular intervals and whenever an event occurs that mandates a review (e.g. changings data processor-service providers); Due to training other staff are able to flag such events to the responsible persons</p>	Medium
3.	Next to the minimal record obligations on the basis of article 30 GDPR, organizations should keep additional information for themselves to be able to answer authorities if there should be an investigation. E.g. the choice of legal ground must not be noted in the record (although it may), but has to be known nonetheless and communicated to the data subject. Your organization currently, next to the record, has...	<p>a. No extra information available in a central repository which is meant for internal use only (i.e. not, like a record, to provide to an authority)</p> <p>b. Some central information available, which is meant for internal use only (i.e. not, like a record, to provide to an authority). e.g. on choice of legal ground in some difficult cases, either kept separately or in the record, but without much structure or a clear approach to the use of this information</p> <p>c. A central repository with information which is meant for internal use only (i.e. not, like a record, to provide to an authority) about processing activities, legal grounds, intended retention periods, reasoning on approaches etc. This information could equally be kept in a copy of the record for internal use only. Guidelines exist on how this information should be used.</p>	Medium

		c. A central repository with information which is meant for internal use only (i.e. not, like a record, to provide to an authority) about processing activities, legal grounds, intended retention periods, reasoning on approaches etc. This information could equally be kept in a copy of the record for internal use only. Additionally, there is a clear structure and the information is complete. That means that for each processing activity, all the additional information is available. There are rules on what the information should be used for and access is role- and necessity-based.	
--	--	---	--

**Table 24.** Communication about processing

Area: Communication about processing (data processed, purpose of processing, legal ground)			
ID	Question	Answers	Importance
1.	The GDPR requires you to communicate about your processing activities, namely to provide data subjects with the information they are legally entitled to. This is often done through privacy policies/notices on websites, but can also be done through other means. The best means depends on the situation at hand, and a PA will likely need to employ different means for different processing activities. Informing about how a PA carries out general correspondence with citizens will for example be treated differently than the information that should be given when a PA decides to monitor public spaces for the purposes of carrying out smart city/smart government application or project. You currently have:	<ul style="list-style-type: none"> <li>a. No privacy policies or notices.</li> <li>b. A basic privacy policy/information notice on the website and some privacy policies/information notices for specific sensitive projects, but not for all projects or activities. Policies may not always be entirely up to date or are not always reviewed by the DPO.</li> <li>c. A privacy policy on the website as well as privacy policies/information notices for all GDPR relevant projects. The DPO has sometimes reviewed these, for the most sensitive projects.</li> <li>d. A privacy policy/notice for all processing activities that require this. The DPO has been consulted and approved them all.</li> </ul>	High
2.	What information do your privacy policies/notices contain?	<ul style="list-style-type: none"> <li>a. Some, but not all of the following in plain language: identity of controller, contact details of the DPO, purposes of the processing and legal ground invoked, if legitimate interests is the legal ground: the interests pursued, the recipients of the data (if any), any intended transfers</li> </ul>	Medium

Area: Communication about processing (data processed, purpose of processing, legal ground)			
		<p>outside the EEA and the safeguards in place there and how to consult these safeguards.</p> <p>b. All of the following in plain language: identity of controller, contact details of the DPO, purposes of the processing and legal ground invoked, if legitimate interests is the legal ground: the interests pursued, the recipients of the data (if any), any intended transfers outside the EEA and the safeguards in place there and how to consult these safeguards.</p> <p>c. All of the above in B, plus additional information in clear and plain language as required by the specific processing, such as: the period for which the data will be stored, the data subject's rights, the right to lodge a complaint, etc.</p> <p>d. All of the above in C, plus any additional information deemed necessary, all of which is provided in clear and intelligible language and in a very intuitive format for the user, ensuring that the user has truly understood (e.g. with pictures or in another way clearly illustrated).</p>	
3.	How would you rate the description of purpose of processing and legal ground invoked in your privacy communications?	<p>a. The purposes of the processing activities and/or the legal ground invoked are not described in all cases. The policies/notices are very general and therefore often do not catch the full reality.</p> <p>b. Policies/notices describe the purposes of the intended processing activities in a general catch-all manner only, or with a few specifications here and there. Nonetheless, the purpose of all processing activities is covered. The legal ground or grounds invoked for these activities is also described in a general way for the whole or a part of the policy/notice. For those activities based on legitimate interest, the interests are mentioned.</p> <p>c. The processing activities are described clearly and the specific purposes are outlined. The purposes are linked with the legal ground invoked for that specific activity.</p> <p>d. The processing activities are described clearly and the specific purposes are outlined. The purposes are linked with the legal ground invoked for that specific activity. Communications clarify and</p>	Medium

Area: Communication about processing (data processed, purpose of processing, legal ground)			
		illustrate the consequence of different legal grounds being applicable (e.g. for all processing activities based on consent, consent can be revoked, etc.).	

**Table 25.** Consent of PA

Area: Consent in the PA			
ID	Question	Answers	Importance
1.	Within the PA, consent as a legal ground is ...	<ul style="list-style-type: none"> <li>a. The only legal ground the PA relies on/a legal ground the PA never relies on, unless it wants to cover an existing activity which it doesn't have another legal ground for.</li> <li>b. Used when there is no other legal ground.</li> <li>c. Used when this seems to be the best option by the people involved in the activity, if necessary, after consultation with the DPO.</li> <li>e. Used when this has been determined with the DPO to be the most appropriate legal ground. The DPO is always involved.</li> </ul>	Medium
2.	When consent is used it is obtained...	<ul style="list-style-type: none"> <li>a. Implicitly, through a pre-ticked box, or through not receiving an opt-out from the citizens</li> <li>b. Through an explicit statement or action of the data subject and is accompanied by the legally required information. However, the information is rather general or complicated.</li> <li>c. Through an explicit statement or action of the data subject, who has been informed about the intended processing in a clear, intuitive and easy to understand manner about the specific purposes for which the data will be used. The policy or notice may also contain processing activities on other legal grounds. It takes some effort to distinguish which activities are based on consent.</li> <li>e. Through an explicit statement or action of the data subject, who has been informed about the intended processing in a clear, intuitive and easy to understand manner about the specific purposes for which the data will be used and of the right to withdraw consent at any given time. When at the same time gathering information on another legal ground, this is clearly indicated and the different consequences are easy to assess.</li> </ul>	High

Area: Consent in the PA		
3.	When consent has been obtained, can it be withdrawn?	<p>a. No, withdrawing consent is not possible, unless the data subject has a good reason and can prove this. Withdrawing consent at will would be impractical or impossible, or at the very least costly to implement.</p> <p>b. Yes. The data subject can write the relevant department or the DPO to withdraw consent. Most often the people addressed will know how to handle such requests (e.g. through guidelines within the organization) or involved the DPO if necessary. It may be impractical for the PA to implement this request, e.g. because there is no system in place to handle this, so requests are handled ad hoc, regularly to the result that a request is not (completely honoured), although the remaining processing is minimal and not visible to the data subject.</p> <p>c. Yes. The data subject can do this online in several cases or otherwise can write the relevant department or the DPO to withdraw consent. There is always a procedure or DPO involvement. Handling this request is often easy, but can sometimes be complicated to carry out in practice, which leads to some requests being impossible to fully address. Nonetheless, the remaining processing is absolutely minimal and does not affect the data subject.</p> <p>e. Yes. The data subject is always well informed about this and most often can do this easily online. Support is available. Only where legacy systems and other organizational parameters require this, a procedure is followed where the data subject can contact the DPO. This information is provided in an accessible and easy-to-understand format. If the request is sent in another way to another staff member, the DPO is involved every time. Handling the request is typically easy due to systems being aimed at facilitating this or procedures being established. Ad hoc solving is supported for those instances where a request cannot be handled in this way and always leads to either a full resolution or to a solution which is satisfactory from the point of view of the data subject.</p>

Medium

**Table 26.** Accommodating citizen's rights as data subjects

Area: Accommodating citizen's rights as data subjects			
ID	Question	Answers	Importance
1.	Which situation best describes what happens when a data subject submits a request for exercising one of their rights under the GDPR?	<ul style="list-style-type: none"> <li>a. Nothing happens. The e-mail gets ignored. There is no procedure.</li> <li>b. There is a basic procedure and a dedicated e-mail address or equivalent point of contact. Requests are dealt with ad hoc and DPO involvement, if any, is also determined ad hoc.</li> <li>c. There is an integrated procedure one the request is received at the contact point. The DPO is either in charge of formally involved in the procedure. There is some guidance on how to deal with requests, also pointing out when requests may validly be denied.</li> <li>d. There is an integrated procedure one the request is received at the contact point. The DPO is either in charge of formally involved in the procedure. There is specific guidance on how to deal with requests, also pointing out when requests may validly be denied, including templates and practical decision trees or equivalent tools. The DPO is involved in all decisions on cases warranting an ad hoc re-evaluation.</li> </ul>	High
2.	Are you able to provide all the rights given to data subjects under the GDPR?	<ul style="list-style-type: none"> <li>a. No, not at all. Nearly every request is a struggle that ends up in an answer which is unsatisfactory for person filing the request.</li> <li>b. No, most but not all. Some of the rights are in practice very hard to implement because of technical and/or organizational measures. We try to explain this to data subjects and find a suitable solution.</li> <li>c. No, most but not all. Some of the rights are in practice very hard to implement because of technical and/or organizational measures. We try to both explain this to data subjects and to provide equivalent or alternative solutions. Moreover, we are actively trying to change the elements that prevent us from fully implementing all data subject rights to the fullest extent.</li> <li>d. Yes, through implementing the necessary adaptations we genuinely believe we are capable to provide all of the possible valid requests a data subject could submit.</li> </ul>	High

Area: Accommodating citizen's rights as data subjects		
3.	How does the timeframe for dealing with a request look like? And do you charge for this?	<p>a. Depends on the case: weeks, months, ... We answer when we find a solution. Charges depend on difficulty.</p> <p>b. Unless the request is easy, we tell the data subject within the first month upon receipt of the request that we will extend our term to deal with his or her request to three months. We try to motivate this in most cases. This gives us time to consider what to do and to bundle similar requests and answer them in the same way. Costs are only charged if the request is unreasonable but we decide to go ahead with it anyway. It may very well happen that, if we have granted the request, there is follow-up beyond that term. If we deny the request, we tell the data subject they have measures of recourse.</p> <p>c. We answer within the month, telling the data subject what we have done, i.e. granted the request or denied it because it was invalid. Only when really necessary because of the complexity do we inform the data subject of an extension of the term. In any case we strive to implement the decision to grant a request within that same term. When requests are unreasonable we sometimes offer the data subject the option to agree to a small administrative cost to carry it out anyway, depending on the situation. If we do not get a positive answer, we deny the request, informing the data subject of its rights to appeal that decision and provide additional information on this.</p> <p>d. We answer within the month, but strive to answer much sooner. When we answer we tell the data subject what we have done, i.e. granted the request or denied it because it was invalid and the reasons for this. Only when really necessary because of the complexity do we inform the data subject of an extension of the term, aiming to keep it lower than the maximum of three months. In any case we strive to implement the decision to grant a request within that same term. When requests are unreasonable we nonetheless offer the data subject the option to agree to a small administrative cost to carry it out anyway, unless this would be highly disproportional</p>

Medium



Area: Accommodating citizen's rights as data subjects			
		for us. If we do not get a positive answer, we deny the request, informing the data subject of its rights to appeal that decision and provide additional information, specific links and support on this. We keep the data subject posted during the course of the assessment and implementation (if the request is granted).	

**Table 27.** Data breach management

Area: Data breach management			
ID	Question	Answers	Importance
1.	Do you have a data breach management procedure in place? What does it contain?	<ul style="list-style-type: none"> <li>a. No, there is no procedure.</li> <li>b. The DPO knows what to do, within what time. It may contain a lot of ad hoc work to gather the necessary information as there are no specific processes.</li> <li>c. Yes, there is a procedure, involving the DPO and other relevant people. The procedure contains guidance and a process to follow, including examples and practical instruments such as decision trees etc. Relevant people know about the procedure.</li> <li>d. Yes, there is a procedure, involving the DPO and other relevant people. The procedure contains guidance and a process to follow, including examples and practical instruments such as decision trees etc. A broad array of relevant people have a knowledge about the procedure, this has been tested. There is a feedback cycle after every incident.</li> </ul>	High
2.	How has the organization communicated internally about data breach management?	<ul style="list-style-type: none"> <li>a. Not at all.</li> <li>b. It has been mentioned in the general GDPR training, but without much guidance and/or not all relevant profiles have been trained.</li> <li>c. In the general GDPR training, a sizeable amount of time has been devoted to data breach management. All relevant personnel has received this training and have been given access to the data breach management procedure, which has been mentioned during the training</li> <li>d. There has been clear communication about the data breach management procedure in</li> </ul>	Medium

Area: Data breach management			
		the general GDPR training or otherwise, meaning all staff has been informed about it. This is combined with specific training for relevant profiles, who all have knowledge of the procedure and their role in it. This has been tested and can be demonstrated.	
3.	Based on your latest data breach incident, or on a test if none have occurred, how well did the procedure function?	<p>a. No procedure or didn't manage to observe the terms provided by law to notify incidents that require this (72 hours for notification to the data protection authorities, without undue delay if directly to data subject).</p> <p>b. It worked, but we had a lot of trouble in finding the information, the right people to involve or in making the decision, leading to a notification just within time, with incomplete information.</p> <p>c. It worked, but we had some trouble in finding the information, the right people to involve or in making the decision, leading to a notification just within time, although with (nearly) complete information.</p> <p>d. We managed comfortably to find the needed information, to involve the right people and to make a decision to notify, submitting this one in due time and being assured that (nearly) all relevant information had been gathered.</p>	Medium

Table 28. DPIA and data protection by design and default

Area: DPIA and data protection by design and default			
ID	Question	Answers	Importance
1.	What most accurately describes the use of data protection impact assessments (DPIA) in your organization?	<p>a. We don't exactly know how or when to do a DPIA or how it should alter our processes</p> <p>b. We have a good idea on how to carry out a DPIA and when, but in practice it is sometimes forgotten. There is no clear procedure on when to carry out a DPIA, neither is there guidance on what to do with the results of a DPIA, although we know the theory.</p> <p>c. We know how to do a DPIA and when, this is surrounded by framework guidance for the organisation, indicating when to do a DPIA and what consequences to attach based on the results.</p> <p>d. We know how to do a DPIA and when, this is surrounded by framework guidance for</p>	Medium

Area: DPIA and data protection by design and default			
		the organisation, indicating when to do a DPIA and what consequences to attach based on the results. We carry out a DPIA based on internationally recognized best practices, e.g. making use of standards and/or official guidance provided by data protection authorities and interpretative bodies.	
2.	How are the principles of data protection by design and default implemented in your organisation?	<ul style="list-style-type: none"> <li>a. Not at all or very incompletely because they are poorly understood.</li> <li>b. They are implemented in a piecemeal manner, when deemed necessary. Relevant profiles have a vague understanding of the principles.</li> <li>c. Rather well. There is guidance available on the concepts as well as on when and where to implement these principles in the process. The understanding is based on examples gathered from different sources and experience within the organization.</li> <li>d. Very well. All relevant roles know how and when to implement these principles. There is ample guidance present, with concrete procedures, tips and tricks, reporting methods etc. This is based on documented and validated experiences and best practices.</li> </ul>	Medium

Table 29. International

Area: International			
ID	Question	Answers	Importance
1.	How certain are you that you have identified all international transfers of data and are dealing with them adequately?	<ul style="list-style-type: none"> <li>a. We likely have many transfers that are unaccounted for, such as transfer through a processor or small transfers that are not in the record of processing activities. Moreover, even for the accounted transfers, there is unclarity if all have appropriate safeguards or it is even known that they have not.</li> <li>b. We have during our GDPR compliance process asked around for information on transfers, so most likely the most important ones are in the record. We have appropriate safeguards for all those identified or, if a few are missing, are working on it and expect to be in line</li> <li>c. We have made additional effort to identify transfers, also those done by</li> </ul>	High

Area: International			
		<p>processors and are certain that all these are surrounded by some form of safeguard provide for by the GDPR.</p> <p>d. We continuously try to identify transfers, also those done by processors and are reasonably certain we have identified all of them. All of these are surrounded by best practice safeguards and we feel confident they will stand any scrutiny.</p>	

Table 30. Contracts

Area: Contracts			
ID	Question	Answers	Importance
1.	Article 28 of the GDPR stipulates a list of obligatory items to be contractually regulated when engaging processors and sub-processors and attaches some general conditions as well. Having had a look at these conditions how do you assess your contractual compliance, knowing that as a PA you are most likely the (sole) controller of processing operation?	<p>a. We have many contracts with processors that are non-compliant. Sometimes there is no contract at all, just some e-mails that were exchanged. We aren't certain we have identified all processors, let alone the sub-processors they may use.</p> <p>b. We are nearly certain we have identified all processors. We have a contract with all of them, although the quality of those contracts are divergent and for many it is questionable if they really fulfil article 28 GDPR. We have little oversight or knowledge on sub-processors and several of the contracts contain no mention of the rules for sub-processors, the liability for sub-processor faults or the conditions for engaging sub-processors.</p> <p>c. We have identified all processors and have a contract with all of them. The contracts, while divergent, nearly all have an acceptable wording to fulfil the conditions of article 28 GDPR. Nearly all contracts mention that the same terms (or substantially the same terms) apply to sub-processors and that liability remains with the first processor. Nearly all contracts have rules on engaging sub-processors.</p> <p>d. We have identified all processors and have a contract with all of them. The contracts, although possibly divergent, all fully satisfy the conditions of article 28 GDPR with their wording. There are clear provisions that the same terms (or substantially the same terms) apply to sub-processors and that liability remains</p>	High

		with the first processor. All contracts have clear rules on engaging sub-processors.	
2.	Article 26 of the GDPR requires that in cases of joint control, the joint controllers have an arrangement between them to divide the responsibilities and obligations, especially in their relationship with the data subject. How do you assess your compliance?	<p>a. We have no idea how to identify a joint control situation and have no idea how to write a joint controller contract.</p> <p>b. We know the theory, but it remains exceedingly hard to identify joint controllership situations. For those we have identified, we have a contract that fulfils the basic conditions of article 26 GDPR, but nothing more.</p> <p>c. We know the theory and have some experience in identifying joint controllership situations. We know official guidance and case law on this point, although application of course remains complicated in many cases. We have a template contract that fulfils the basic conditions of article 26, but also regulates some other important GDPR-relevant obligations, such as security measures/level and communication between parties.</p> <p>d. We are fairly confident we can correctly identify joint controllership situation, knowing both the official guidance and case law on this point as well as several examples from practice. In case of doubt we have access to expert legal advice. We have a template contract that fulfils the basic conditions of article 26, but also regulates all other important GDPR-relevant obligations, such as security measures/level, communication between parties, confidentiality, anonymization techniques and mutual assistance obligations.</p>	High
3.	Staff, whether employees or civil servants, are not considered as separate entities under the GDPR and are therefore not potential controllers or processors in the data processing chain, with the potential exception of self-employed staff, which may be considered as such. For regular staff however, the GDPR nonetheless has an impact on the contractual relation between employer and staff.	<p>a. We have either none of the documents described or are missing important parts.</p> <p>b. We have a clause in our employment contract referring to the labour rules and some basic rules/guidelines on processing. We provide very general information to the staff about how we process their data when they start working with us.</p> <p>c. We have a clause in our employment contract referring to the labour rules, which contain extensive rules/guidelines on processing in clear and plain language. We provide specific information to the</p>	High

<p>The GDPR especially requires the employer to both give clear instructions on how staff should process personal information and how they should use the tools they use for processing (e-mail, computers, smartphones etc.) and at the same time the employing organisation must inform the staff about how the organisation generally treats the staff's data, as a part of the organisation's information obligations towards data subjects, in this case the data subjects being the staff. The former information is typically given in the labour rules, which are referenced in the employment contract and to which the staff agrees when signing for the job, while the latter is communicated either at the time of signing or before starting the job, either as a part of the labour rules and information or as a stand-alone document. How would you describe the situation at your organisation?</p>	<p>staff about how we process their data when signing the contract in plain and clear language.</p> <p>d. We have a clause in our employment contract referring to the labour rules, which contain comprehensive yet precise and intelligible rules/guidelines on processing, in clear language and with illustrations/examples. We provide specific information to the staff about how we process their data before signing the contract. This information is also very easy-to-understand and we explain this before going to contract signing.</p>	
--	---	--

### 3 References

- [1] CITADEL, "Grant Agreement." p. 307, 2016.
- [2] M. Ianniello, S. Lacuzzi, P. Fedele, and L. Brusati, "Obstacles and solutions on the ladder of citizen participation: a systematic review," *Public Manag. Rev.*, pp. 1–26, 2018.
- [3] Y. Liao and H. L. Schachter, "Exploring the antecedents of municipal managers' attitudes toward citizen participation," *Public Manag. Rev.*, 2017.
- [4] K. Yang, "Trust in Citizen Involvement Decisions," *Adm. Soc.*, vol. 35, no. 5, pp. 573–595, 2006.
- [5] K. Yang and K. Callahan, "Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality," *Public Adm. Rev.*, vol. 67, no. 2, pp. 249–264, 2007.
- [6] S. Hong, "Citizen Participation in Budgeting: A Trade-off between Knowledge and Inclusiveness?," *Public Adm. Rev.*, vol. 75, no. 4, pp. 572–582, 2015.
- [7] W. Hatcher, "The Effect of Public Participation in Municipal Budgeting: An Exploratory Survey of Officials in Government Finance Officers Association's Award-winning Cities," *Public Adm. Q.*, vol. 39, no. 4, pp. 645–663, 2015.
- [8] M. I. Neshkova and H. D. Guo, "Policy Target Populations and Public Participation in Agency Decision Making," *Int. Public Manag. J.*, vol. 0, no. 0, pp. 1–29, 2016.
- [9] J. M. Bryson, K. S. Quick, C. S. Slotterback, and B. C. Crosby, "Designing Public Participation Processes," *Public Adm. Rev.*, vol. 73, no. 1, pp. 23–34, 2012.
- [10] ERIC ESS, "European Social Survey Round 8." Norwegian Centre for Research Data Norway, 2016.
- [11] EVS, "European Values Study Longitudinal Data File 1981-2008." GESIS Data Archive, Cologne, 2015.
- [12] ERIC ESS, "European Social Survey Round 7." Norwegian Centre for Research Data Norway, 2014.
- [13] G. Hammerschmid, S. Van de Walle, R. Andrews, and P. Bezes, *Public Administration Reforms in Europe. The View from the Top*. Cheltenham: Edward Elger Publishing Limited, 2016.
- [14] F. W. Scharpf, *Democratietheorie zwischen Utopie und Anpassung*. Konstanz: Universitätsverlag, 1970.
- [15] F. W. Scharpf, *Governing in Europe: Effective and Democratic?* New York: Oxford University Press, 1999.
- [16] F. W. Scharpf, "Problem-solving effectiveness and democratic accountability in the EU," 2003.
- [17] K. Yang and K. Callahan, "Assessing Citizen Involvement Efforts by Local Governments," *Public Perform. Manag. Rev.*, vol. 29, no. 2, pp. 191–216, 2005.
- [18] R. A. Irvin and J. Stansbury, "Citizen Participation in Decision Making; Is it worth the

- effort," *Public Adm. Rev.*, vol. 64, no. 1, pp. 55–65, 2004.
- [19] M. G. Kweit and R. W. Kweit, *Implementing Citizen Participation in a Bureaucratic Society. A Contingency Approach*. New York: Preager Publishers, 1981.
  - [20] T. Nabatchi, "Deliberative Democracy and Citizenship: In Search of the Efficacy Effect," *J. Public Delib.*, vol. 6, no. 2, pp. 1–47, 2010.
  - [21] K. Yang, "Creating Public Value and Institutional Innovations across Boundaries: An Integrative Process of Participation, Legitimation, and Implementation," *Public Adminsitration Rev.*, vol. 76, no. 6, pp. 873–885, 2016.
  - [22] T. Nabatchi, "Putting the 'Public' Back in Public Values Research: Designing Participation to Identify and Respond to Valueese," *Public Adm. Rev.*, vol. 72, no. 5, pp. 699–708, 2012.
  - [23] J. C. Thomas, *Public Participation in Public Decisions: New Skills and Strategies for Public Managers*. San Francisco: Jossey-Bass, 1995.
  - [24] J. C. Thomas, *Citizen, Customer, Partner; Engaging the public in public management*. New York: E.M. Sharpe, 2012.
  - [25] D. A. Campbell and K. T. Lambright, "Program Performance and Multiple Constituency Theory," *Nonprofit Volunt. Sect. Q.*, vol. 45, no. 1, pp. 150–171, 2016.
  - [26] D. P. Moynihan, "Normative and Instrumental Perspectives on Public Participation: Citizens Summits in Washington D.C.," *Am. Rev. Public Adm.*, vol. 40, pp. 376–399, 2003.
  - [27] C. Ebdon and A. L. Franklin, "Citizen Participation in Budgeting Theory," *Public Adm. Rev.*, vol. 66, no. 3, pp. 437–447, 2006.
  - [28] S. Verba, K. Schlozman, H. Brady, and N. H. Nie, "Citizen Activity: Who Participates? What Do They Say?," *Br. J. Polit. Sci.*, vol. 23, no. 4, pp. 453–497, 1993.
  - [29] M. A. Neblo, K. M. Esterling, R. P. Kennedy, D. M. J. Lazer, and A. E. Sokhey, "Who want to Deliberate – And Why?," *Am. Polit. Sci. Rev.*, vol. 104, no. 3, pp. 566–583, 2010.
  - [30] Y. Zhang and K. Yang, "Citizen Participation in the Budget Process: The Effect of City Managers," *J. Public Budgeting, Accounting, Financ. Manag.*, vol. 21, no. 2, pp. 289–317, 2009.
  - [31] F. W. Scharpf, *Games real actors play. Actor-centred Institutionalism in Policy Research*. Boulder: Westview Press, 1997.
  - [32] J. V. Denhardt and R. B. Denhardt, "The New Public Service Revisited," *Public Adm. Rev.*, vol. 75, no. 5, pp. 664–672, 2015.
  - [33] K. Yang and S. K. Pandey, "Further Dissecting the Black Box of Citizen Participation: When Does Citizen Involvement Lead to Good Outcomes?," *Public Adm. Rev.*, vol. 71, no. 6, pp. 880–892, 2011.
  - [34] V. Pina and L. Torres, "The Managers View of Participation Processes with Citizen Panels," in *Evaluating e-Participation: Frameworks, Practices, Evidence*, G. Aichholzer, H. Kubicek, and L. Torres, Eds. Cham: Springer, 2016.
  - [35] F. M. Sjoberg, J. Mellon, and T. Peixoto, "The Effect of Bureaucratic Responsiveness on Citizen Participation," *Public Adminsitration Rev.*, vol. 77, no. 3, pp. 340–351, 2017.



- [36] C. S. King, K. M. Feltey, and B. O. Susel, "The Question of Participation: Toward Authentic Public Participation in Public Administration," *Public Adm. Rev.*, vol. 58, no. 4, pp. 317–326, 1998.
- [37] J. K. Clark, "Designing Public Participation: Managing Problem Settings and Social Equity," *Public Adm. Rev.*, vol. 78, no. 3, pp. 362–374, 2018.
- [38] V. A. Schmidt, "Democracy and Legitimacy in the European Union Revisited: Input, Output and 'Throughput,'" *Polit. Stud.*, vol. 61, no. 1, pp. 2–22, 2013.
- [39] T. R. Tyler, "Psychological Perspectives on Legitimacy and Legitimation," *Annu. Rev. Psychol.*, vol. 57, pp. 375–400, 2006.
- [40] A. Downs, *Inside Bureaucracy*. Boston: Little Brown, 1967.
- [41] K. J. Meier and L. J. O'Toole, "Political Control versus Bureaucratic Values: Reframing the Debate," *Public Adm. Rev.*, vol. 66, no. 2, pp. 177–192, 2006.
- [42] M. I. Neshkova and H. D. Guo, "Public Participation and Organizational Performance: Evidence from State Agencies," *J. Public Adm. Res. Theory*, vol. 22, pp. 267–288, 2011.
- [43] A. Fung, "Varieties of Participation in Complex Governance," *Public Adm. Rev.*, vol. 66, no. 1, pp. 155–181, 2006.
- [44] T. Nabatchi, "Addressing the Citizenship and Democratic Deficits; The Potential of Deliberative Democracy for Public Administration," *Am. Rev. Public Adm.*, vol. 40, no. 4, pp. 376–399, 2010.
- [45] F. Fischer, *Democracy and Expertise: Reorienting Policy Inquiry*. New York: Oxford University Press, 2009.
- [46] K. Callahan, "Citizen Participation; Models and Methods," *Int. J. Public Adm.*, vol. 30, no. 11, pp. 1179–1196, 2007.
- [47] E. Vigoda, "From Responsiveness to Collaboration: Governance Citizens, and the Next Generation of Public Administration," *Public Adm. Rev.*, vol. 62, no. 5, pp. 527–540, 2002.
- [48] H. G. Frederickson, *New Public Administration*. University: University of Alabama Press, 1980.
- [49] J. Thibaut and L. Walker, "A Theory of Procedure," *Calif. Law Rev.*, vol. 66, no. 3, p. 541, 1978.
- [50] T. Nabatchi and L. B. Amsler, "Direct Public Engagement in Local Government," *Am. Rev. Public Adm.*, vol. 44, no. 4S, pp. 635–685, 2014.
- [51] X. Wang, "Assessing Public Participation in U.S. Cities," *Public Perform. Manag. Rev.*, vol. 24, no. 4, pp. 322–336, 2001.
- [52] C. Atzmüller and P. M. Steiner, "Experimental Vignette Studies in Survey Research," *Methodology*, vol. 6, no. 3, pp. 128–138, 2010.
- [53] S. Jilke and G. G. Van Ryzin, "Survey Experiments for Public Management Research," in *Experiments in Public Management Research. Challenges and Contributions*, J. Oliver, S. R. Jilke, and G. G. Van Ryzin, Eds. Cambridge: Cambridge University Press, 2017.

- [54] K. Auspurg and T. Hinz, *Factorial Survey Experiments*. Thousand Oaks: Sage Publications, Inc., 2015.
- [55] A. S. Gerber and D. P. Green, *Field Experiments. Design, Analysis, and Interpretation*. New York: W.W. Norton & Company, Inc, 2012.
- [56] D. Mutz, *Population-based survey experiments*. Princeton: Princeton University Press, 2011.
- [57] J. Hainmueller, D. Hangertner, and T. Yamamoto, "Validating vignette and conjoint survey experiments against real world behavior," *Proc. Natl. Acad. Sci.*, vol. 112, no. 8, pp. 2395–2400, 2015.
- [58] H. Anguinis and K. J. Bradley, "Best Practice Recommendations for Designing and Implementing Experimental Vignette Methodology Studies," *Organ. Res. Methods*, vol. 17, no. 4, pp. 351–371, 2014.
- [59] J. Finch, "Research Note: The Vignette Technique in Survey Research," *Sociology*, vol. 21, no. 1, pp. 105–114, 1987.
- [60] R. Hughes and M. Huby, "The construction and interpretation of vignettes in social research," *Soc. Work Soc. Sci. Rev.*, vol. 11, no. 1, pp. 36–51, 2004.
- [61] R. W. Mee, *A Comprehensive Guide to Factorial Two-Level Experimentation*. New York: Springer Science+Business Media, 2009.
- [62] H. F. Pitkin, *The Concept of Representation*. Berkley: University of California Press, 1967.
- [63] D. Constant, S. Kiesler, and L. Sproull, "What's mine is ours, or is it? A study of attitudes about information sharing," *Inf. Syst. Res.*, vol. 5, pp. 400–421, 1994.
- [64] City of Antwerp, "Personeelsbezetting stad Antwerpen," 2016. [Online]. Available: <https://opendata.antwerpen.be/datasets/personeelsbezetting-stad-antwerpen>. [Accessed: 07-May-2018].
- [65] Flemish Government, *Flemish Personnel Statute (VPS)*. Belgium, 2006.
- [66] E. Hartman, R. Grieve, R. Ramsahai, and J. S. Skhon, "From sample average treatment effect to population average treatment effect on the treated: combining experimental with observational studies to estimate population treatment effects," *J. R. Stat. Soc. Ser. A*, vol. 178, no. 3, pp. 757–778, 2015.
- [67] G. Blair, J. Cooper, A. Coppock, M. Humphreys, L. Sonnet, and N. Fultz, "Fast Estimators for Design-Based Inference," 2018.
- [68] G. Charness, U. Gneezy, and M. A. Kuhn, "Experimental methods: Between-Subject and within subject design," *J. Econ. Behav. Organ.*, vol. 81, pp. 1–8, 2012.
- [69] Z. W. Oberfield, "Rule Following and Discretion at Government's Frontlines: Continuity and Change during Organization Socialization," *J. Public Adm. Res. Theory*, vol. 70, pp. 735–755, 2009.
- [70] M. G. Alkadry, "Deliberative Discourse Between Citizens and Administrators. If Citizens Talk Will Administrators Listen?," *Adm. Soc.*, vol. 35, no. 2, pp. 184–209, 2003.
- [71] J. Nalbandian, *Facilitating Community, Enabling Democracy. New Roles for Local*

- Government Managers,” *Public Manag. Rev.*, vol. 59, no. 3, pp. 187–187, 1999.
- [72] S. Portillo and L. DeHart-Davis, “Gender and Organizational Rule Abidance,” *Public Adm. Rev.*, vol. 69, no. 2, pp. 339–247, 2009.
- [73] E. Bertsou and G. Pastorell, “Technocratic attitudes; a citizens’ perspective of expert decision-making,” *West Eur. Polit.*, vol. 40, no. 2, pp. 430–458, 2017.
- [74] B. Bozeman, “A Theory of Government ‘Red-Tape,’” *J. Public Adm. Res. Theory*, vol. 3, no. 3, pp. 273–303, 1993.
- [75] N. M. Van Loon, P. L. M. Leisink, E. Knies, and G. A. Brewer, “Red Tape: Developing and Validating a New Job-Centered Measure,” *Public Adm. Rev.*, vol. 76, no. 4, pp. 662–673, 2016.
- [76] S. K. Pandey and P. G. Scott, “Red Tape: A review and assessment of concepts and measures,” *J. Public Adm. Res. Theory*, vol. 12, no. 4, pp. 553–580, 2002.
- [77] D. Bawden, “Origins and concepts of Digital Literacy,” in *Digital Literacies; Concepts, Policies, and Practices*, C. Lankshear and M. Knobe, Eds. New York: Lang, 2008.
- [78] A. Ayanso, D. Chatterjee, and D. I. Cho, “E-government readiness index. A methodology and analysis,” *Gov. Inf. Q.*, vol. 28, pp. 522–532, 2011.
- [79] S. Goldfinch, “Pessimism, Computer Failure, and Information Systems Development in the Public Sector,” *Public Adm. Rev.*, vol. 67, no. 5, pp. 917–929, 2007.
- [80] A. Zanfei and P. Seri, “The role of ICT, skills and organizational change in public sector performance,” *Argomenti*, vol. 3, pp. 5–30, 2016.
- [81] European Commission, “Digital Literacy European Commission working paper and recommendations from Digital Literacy High-Level Expert Group,” Luxembourg, 2008.
- [82] European Commission, “eGovernment Benchmark 2016. A turning point for eGovernment development in Europe? Final insight report volume 1,” Luxembourg.
- [83] P. Gilster, *Digital Literacy*. New York: Wiley, 1997.
- [84] C. Lankshear and M. Knobel, *Digital Literacies; Concepts, Policies, and Practices*. New York, 2008.
- [85] Eurostat, “ICT usage in households and by individuals ISCO\_i.” 2016.
- [86] Eurostat, “E-commerce statistics for individuals.” 2016.
- [87] European Commission, “Digital Economy and Society Index,” 2017.
- [88] European Commission, “The Digital Economy and Society Index 2016,” 2017.
- [89] European Foundation for the Improvement of Living and Working Conditions (Eurofound), “European Working Conditions Survey 2015.” UK Data Service, 2017.
- [90] A. J. A. M. van Deursen and J. A. G. M. van Dijk, “eVaardigheden en eAwareness van Nederlandse ambtenaren,” Enschede, 2009.
- [91] European Commission, “Special Eurobarometer 250: Safer internet.” 2015.

- [92] L. A. Da Silva, S. Magnus, M. S. Silveira, and C. Maciel, "Designing help system for e-GOV websites: A Brazilian case study," *Inf. Polity*, vol. 18, no. 3, pp. 261–274, 2013.
- [93] L. Carter and V. Weerakkody, "E-government adoption: A cultural comparison," *Inf. Syst. Front.*, vol. 10, no. 4, pp. 473–482, 2008.
- [94] L. Carter, V. I. Weerakkody, B. Phillips, and Y. K. Dwivedi, "Citizen Adoption of E-Government Services: Exploring Citizen Perceptions of Online Services in the United States and United Kingdom," *Inf. Syst. Manag.*, vol. 33, no. 2, pp. 124–140, 2016.
- [95] L. Alzahrani, W. Al-Karaghoul, and V. Weerakkody, "Analyzing the critical factors influencing trust in e-government adoption from citizens' perspective: A systematic review and a conceptual framework," *Int. Bus. Rev.*, vol. 26, no. 1, pp. 164–175, 2017.
- [96] N. Rana and Y. K. Dwivedi, "Citizen Adoption of an e-government system: Validating extended social cognitive theory (SCT)," *Gov. Inf. Q.*, vol. 32, no. 2, pp. 172–181, 2015.
- [97] R. Meier, E. R. Ben, and T. Schuppan, "ICT-enabled public sector organisational transformation: Factors constituting resistance to change," *Inf. Polity*, vol. 18, no. 4, pp. 315–329, 2013.
- [98] D. Seo and M. Bernsen, "Comparing attitudes toward e-government of non-users versus users in a rural and urban municipality," *Gov. Inf. Q.*, vol. 33, no. 2, pp. 270–282, 2016.
- [99] M. Kunstelj, T. Jukić, and M. Vintar, "How to fully exploit the results of e-government user surveys: the case of Slovenia," *Int. Rev. Adm. Sci.*, vol. 75, no. 1, pp. 117–149, 2009.
- [100] H. McKnight, V. Choudhury, and C. Kacmar, "Developing and validating trust measures for e-commerce: an integrative typology," *Inf. Syst. Res.*, vol. 13, pp. 334–359, 2002.
- [101] F. D. Davis, "Perceived Usefulness, Perceived Ease of Use, and User Acceptance of Information Technology," *MIS Q.*, vol. 13, no. 3, pp. 319–339, 1989.
- [102] I. Ajzen and M. Fishbein, *Understanding attitudes and predicting social behavior*. Englewood Cliffs: Prentice Hall, 1980.
- [103] I. Ajzen, "The Theory of Planned Behavior," *Organ. Behav. Hum. Decis. Process.*, vol. 50, pp. 179–211, 1991.
- [104] V. Venkatesh, "Creation of Factorable User Perceptions: Exploring the role of intrinsic motivation," *MIS Q.*, vol. 23, no. 2, pp. 239–260, 1999.
- [105] V. Venkatesh and F. D. Davis, "A Theoretical Extension of the Technology Acceptance Model: Four Longitudinal Field Studies," *Manage. Sci.*, vol. 46, no. 2, pp. 186–204, 2000.
- [106] D. Geffen, E. Karahanna, and D. W. Straub, "Trust and TAM in online shopping: an integrated model," *MIS Q.*, vol. 27, no. 1, pp. 51–90, 2003.
- [107] L. Carter and F. Bélanger, "The utilization of e-government services: citizen trust, innovation and acceptance factors," *Inf. Syst. J.*, vol. 15, no. 1, pp. 5–25, 2005.
- [108] L. Carter, "E-government diffusion: a comparison of adoption constructs," *Transform. Gov. People, Process. Policy*, vol. 2, no. 3, pp. 147–161, 2008.
- [109] D. R. Compeau and C. A. Higgins, "Computer Self-Efficacy: Development of a Measure and Initial Test," *MIS Q.*, vol. 33, no. 2, pp. 189–211, 1995.

- [110] A. Jeyaraj, J. W. Rottman, and M. C. Lacity, "A review of the predictors, linkages, and biases in IT innovation adoption research," *Journal of Information Technology*, 2006. .
- [111] I. K. Mensah and J. Mi, "Electronic Government Services Adoption: The Moderating Impact of Perceived Service Quality," *Int. J. Electron. Gov. Res.*, vol. 13, no. 3, pp. 38–54, 2017.
- [112] S. Taipale, "The use of e-government services and the Internet: The role of socio-demographic, economic and geographical predictors," *Telecomm. Policy*, vol. 37, no. 4, pp. 413–422, 2013.
- [113] O. K. Lean, S. Zailani, T. Ramayah, and Y. Fernando, "Factors influencing intention to use e-government services among citizens in Malaysia," *Int. J. Inf. Manage.*, vol. 29, no. 6, pp. 458–475, 2009.
- [114] T. S. Teo, S. C. Srivastava, and L. Jiang, "No Title," *J. Manag. Inf. Syst.*, vol. 25, no. 3, pp. 99–132, 2008.
- [115] W. Sung, "A study of the digital divide in the current phase of the information age: The moderating effect of smartphones," *Inf. Polity*, vol. 21, no. 3, pp. 291–306, 2016.
- [116] S. Y. Hung, C. M. Chang, and T. J. Yu, "Determinants of user acceptance of the e-Government services: The case of online tax filing and payment systems," *Gov. Inf. Q.*, vol. 23, no. 1, pp. 97–122, 2006.
- [117] J. C. Bertot, P. T. Jaeger, U. Gorham, N. G. Taylor, and R. Lincoln, "Delivering e-government services and transforming communities through innovative partnerships: Public libraries, government agencies, and community organizations," *Inf. Polity*, vol. 18, no. 2, pp. 127–138, 2013.
- [118] VARAM, "Valsts un pašvaldības vienotais klientu apkalpošanas centru tīkls," 2017. [Online]. Available: [http://www.varam.gov.lv/lat/fondi/ESper07\\_13/15120/KAC\\_pilotprojekts/?doc=17634](http://www.varam.gov.lv/lat/fondi/ESper07_13/15120/KAC_pilotprojekts/?doc=17634). [Accessed: 05-Oct-2017].
- [119] CSB, "DSG12. Darba ņēmēju skaita sadalījums pēc bruto darba ienākumiem un dzimuma," 2017, 2017. [Online]. Available: [http://data.csb.gov.lv/pxweb/lv/Sociala/Sociala\\_\\_ikgad\\_\\_dsamaksa/DS0120\\_euro.px/table/tableViewLayout2/?rxid=cdbc978c-22b0-416a-aacc-aa650d3e2ce0](http://data.csb.gov.lv/pxweb/lv/Sociala/Sociala__ikgad__dsamaksa/DS0120_euro.px/table/tableViewLayout2/?rxid=cdbc978c-22b0-416a-aacc-aa650d3e2ce0). [Accessed: 05-Oct-2017].
- [120] A. Van Deursen, J. Van Dijk, and W. Ebbers, "Why e-government usage lags behind: explaining the gap between potential and actual usage of electronic public services in the Netherlands," in *International Conference on Electronic Government*, Berlin, Heidelberg: Springer, 2006, pp. 269–280.
- [121] Eurostat, "Households with broadband access," 2016. [Online]. Available: <http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=tin00073&plugin=1>. [Accessed: 05-Oct-2017].
- [122] W. E. Ebbers, M. G. Jansen, and A. J. van Deursen, "Impact of the digital divide on e-government: Expanding from channel choice to channel usage," *Gov. Inf. Q.*, vol. 33, no. 4, pp. 685–692, 2016.
- [123] A. S. Lægran, "The petrol station and the Internet café: Rural technospaces for youth," *J.*

*Rural Stud.*, vol. 18, no. 2, pp. 157–168, 2002.

- [124] European Commission, “EU eGovernment Action Plan 2016-2020. Accelerating the digital transformation of government,” Brussels, 2016.
- [125] European Commission, “European Interoperability Framework – Implementation Strategy,” Brussels, 2017.
- [126] European Commission, “State of Play of Interoperability in Europe - Report 2016,” Brussels, 2016.
- [127] Department of Economic and Social Affairs, “UNITED NATIONS E-GOVERNMENT SURVEY 2016 - E-GOVERNMENT IN SUPPORT OF SUSTAINABLE DEVELOPMENT,” New York, 2016.
- [128] European Commission, “Core Public Service Vocabulary Application Profile (CPSV-AP),” 2018. [Online]. Available: [https://ec.europa.eu/isa2/solutions/core-public-service-vocabulary-application-profile-cpsv-ap\\_en](https://ec.europa.eu/isa2/solutions/core-public-service-vocabulary-application-profile-cpsv-ap_en). [Accessed: 20-Aug-2009].
- [129] European Commission, “European Interoperability Framework,” Brussels, 2017.
- [130] European Commission, “European legislation on the re-use of public sector information,” 2018. [Online]. Available: <https://ec.europa.eu/digital-single-market/en/european-legislation-reuse-public-sector-information>.
- [131] European Commission, “Free flow of non-personal data,” 2018. [Online]. Available: <https://ec.europa.eu/digital-single-market/en/free-flow-non-personal-data>.

## Appendix I. Vignette experiment survey instrument (English)

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018



**Empowering Citizens to Transform  
European Public Administrations**

---

### Willingness to Engage Survey and Vignettes instruments

#### WP2 (D2.1 and D2.2)

---

<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Responsible Partner:</b>	KU Leuven
<b>Status-Version:</b>	Final
<b>Date:</b>	01/02/2017
<b>Distribution level (CO, PU):</b>	CO

Project Title: CITADEL

Contract No. GA 726755  
Page 1 of 27

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

<b>Project Number:</b>	GA 726755
<b>Project Title:</b>	CITADEL

<b>Abstract:</b>	This document presents the survey and vignette experiment instrument used to conduct the “willingness to engage” survey among each use case, as well as the vignette experiments on public officials willingness to engage with citizens presented in D2.1.
<b>Keyword List:</b>	Survey; Instrument; Vignettes; Willingness to Engage; Questionnaire;
<b>Disclaimer</b>	This document reflects only the author’s views and neither Agency nor the Commission are responsible for any use that may be made of the information contained therein

<b>Versions available in the following vernaculars:</b>	English	Survey + Vignettes
	Dutch	Survey + Vignettes
	Latvian	Survey
	Italian	Survey + Vignettes
	Spanish	Survey + Vignettes

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 2 of 27



Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Invitation email**

**Dear employee of {the municipality} of [...],**

The {municipality} of [...] and the Public Governance Institute of the University of Leuven invite you to participate in this short survey.

The survey is conducted as part of the European Commission's Horizon2020 project CITADEL. The aim of this project is to study how you evaluate decision-making processes that involve citizen participation. Your participation is of great value for this project.

The survey will take about 15 minutes to fill out. **Your answers are confidential and are fully anonymized.** The data shall not be shared with other parties. If the link above does not work, we kindly ask you to copy this URL address into your web browser.

**Thank you for your participation**

Prof.Dr. S. Van de Walle (research leader)  
Koen Migchelbrink (researcher)

**First reminder email**

**Dear employee of {the municipality} of [...],**

Last week we invited you to participate in this survey. We would like to remind you of this opportunity and ask you to fill out the questionnaire

The survey is conducted as part of the European Commission's Horizon2020 project CITADEL. The aim of this project is to study how you evaluate decision-making processes that involve citizen participation. Your participation is of great value for this project.

The survey will take about 15 minutes to fill out. **Your answers are confidential and are fully anonymized.** The data shall not be shared with other parties. If the link above does not work, we kindly ask you to copy this URL address into your web browser.

**Thank you for your participation**

Prof.Dr. S. Van de Walle (research leader)  
Koen Migchelbrink (researcher)

**Dear employee of {the municipality} of [...],**

In the previous weeks we invited you to participate in this survey. We would like to remind you of this opportunity. There are only two days left for you to fill out this questionnaire.

The survey is conducted as part of the European Commission's Horizon2020 project CITADEL. The aim of this project is to study how you evaluate decision-making processes that involve citizen participation. Your participation is of great value for this project.

The survey will take about 15 minutes to fill out. **Your answers are confidential and are fully anonymized.** The data shall not be shared with other parties. If the link above does not work, we kindly ask you to copy this URL address into your web browser.

**Thank you for your participation**

Prof. Dr. S. Van de Walle (research leader)

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 3 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

Koen Migchelbrink (researcher)

**Second reminder email**

**Openings screen of the survey**

**Welcome**

In this survey, we will present a number of statements and questions about the involvement of citizens in administrative decision-making. We ask you to indicate the extent to which you agree or disagree with these statements and to provide responses to the questions. Every question in the survey is preceded by a short instruction on how to answer correctly.

We are interested in **your opinions and attitudes**. There are **no right or wrong answers**. The important thing is that you answer as truthfully as you can. If you have questions about this survey, you can contact Koen Migchelbrink (koen.migchelbrink@kuleuven.be). You can proceed to the next question by pressing the button at the bottom-right of the page.

**Thank you for your participation!**



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755  
Page 4 of 27

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Informed consent requirement**

{If answer is no, than ask to confirm. If answer is yes, continue to first survey questions}

**Do you consent to take part in this survey?**For more information press this [link](#) {linked to the informed consent form}.Yes ☐No ☐

{Insert page-break}

{Only show when answer to previous question was “no”}

{If answer is “no”, than direct respondent to the last page of the survey (*Thank you for your time*) and do not provide access to the survey instrument}**Without consent, you cannot take part in this survey.**

Are you sure you do not want to consent to taking part in this study?

I consent to take part ☐I do not consent and stop here ☐

{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 5 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Informed consent statement**

**Empowering Citizens to Transform European Public Administrations: Willingness to engage and input legitimacy**

**Name and contacts of the researchers:**

Koen Migchelbrink

[Koen.migchelbrink@kuleuven.be](mailto:Koen.migchelbrink@kuleuven.be)

Prof. Dr. Steven Van de Walle

[Steven.vandewalle@kuleuven.be](mailto:Steven.vandewalle@kuleuven.be)

**Goal and method of the study:**

In this study, we research the extent to which public officials are prepared to let citizens play a role in administrative decision-making. The instruments we use for this are a survey and vignettes. The goal of the study is to determine how public officials think about decision-making processes in which citizen input plays a role.

**Duration of the study:**

The survey will take about fifteen minutes.

- I understand what is expected of me during the study.
- I understand that I will participate in filling out a questionnaire and in assessing vignettes. I myself and others benefit from this study because it increases our knowledge of decision-making processes with citizen participation.
- I understand that my participation is voluntary and that I can stop participating at any moment I choose without any adverse effects to me.
- The results of the study can be used for scientific purposes and can be published
- My name shall not be mentioned in any case, anonymity and confidentiality of my personal data is assured in every stage of the research process.
- I am aware that the risks involved in this study are very small.
- For further questions I can contact Koen Migchelbrink ([koen.migchelbrink@kuleuven.be](mailto:koen.migchelbrink@kuleuven.be)).
- If I have concerns about the ethical aspects of this study I can contact the Institutional Ethics Board (SMEC) of the University of Leuven ([smec@kuleuven.be](mailto:smec@kuleuven.be))



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 6 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Bureaucratic Attitudes [1], [2]**

{First set of survey questions, randomize item order}

*“We start with a few statements about the administrative profession. Please indicate to what extent you agree or disagree with these statements*

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
I am someone who follows the rules even if I do not agree with them.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
People and situations are unique and should be treated on a case-by-case basis.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sometimes it is okay to bend the rules to help a person who deserves it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
When I think a rule is pointless, I will find a way around it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I figure that rules are there for a purpose.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 7 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Democratic Attitudes** [3], [4]

{Second set of survey questions, randomize item order}

We now present you with a few statements about government. Please indicate to what extent you agree or disagree with these statements

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
Democracy may have problems but it is better than any other form of government.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
In democracy, the economic system runs badly.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Democracies are indecisive and have too much squabbling	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Democracies are bad at maintaining order	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Having experts, not government, make decisions to what they think is best for the country.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Having a democratic system is best for the country.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



{Insert page-break}

Project Title: CITADEL

 Contract No. GA 726755  
 Page 8 of 27

www.citadel-h2020.eu

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

### Vignettes

{Present four randomly selected vignettes to each participant. After the evaluation of two vignettes, present the respondents with the Job-centered red tape perceptions set before they can continue to the final two vignettes}

*“We now enter the second part of this questionnaire. You are presented with four examples of administrative decision-making processes involving the input of citizens. We ask you to assess these examples using three predefined statements. **The examples can be very similar**, so read them carefully. Importantly, your assessments should be based on the information provided in the example only. We are interested in your opinion, there are no right or wrong answers. After you give your assessment, you can click to the next page on the right-bottom of the page.”*



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755  
Page 9 of 27

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)



<p><b>{Vignette 1 – Seating: control}</b></p> <p><b>Imagine the following situation:</b>  A colleague of yours – employee at the city of Antwerp – was asked to prepare a policy recommendation about replacing a number of bicycle stands by public seating and park benches.</p> <p>City residents increasingly use bicycles to get to and from work and the shops. Storing these bikes requires a lot of sparse space in the city center. At the same time, there is great need for more public seats and park benches to relax and meet friends and family. Replacing a number of bicycle stands with public seats is a solution but comes at the expense of scarce space to store bicycles. To solve this dilemma, local residents were asked to give their opinion on the desirability of replacing a number of bicycle stands with public seating and park benches.</p> <p>Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.</p>
---

***What would you do if, instead of your colleague, you had to draft the policy recommendation?***

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	0	0	0	0	0	0	0

***By engaging the input of these local residents:***

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	0	0	0	0	0	0	0
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	0	0	0	0	0	0	0

{Insert page-break}



## {Vignette 2 – Seating: low turnout and low participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – was asked to prepare a policy recommendation about replacing a number of bicycle stands by public seating and park benches.

City residents increasingly use bicycles to get to and from work and the shops. Storing these bikes requires a lot of sparse space in the city center. At the same time, there is great need for more public seats and park benches to relax and meet friends and family. Replacing a number of bicycle stands with public seats is a solution but comes at the expense of scarce space to store bicycles. To solve this dilemma, local residents were asked to give their opinion on the desirability of replacing a number of bicycle stands with public seating and park benches.

The participation activity produced <far fewer> reactions than expected. These reactions mainly came from <a select group of active local residents>. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	0	0	0	0	0	0	0

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	0	0	0	0	0	0	0
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	0	0	0	0	0	0	0

{Insert page-break}

## {Vignette 3 – Seating: low turnout and high participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – was asked to prepare a policy recommendation about replacing a number of bicycle stands by public seating and park benches.

City residents increasingly use bicycles to get to and from work and the shops. Storing these bikes requires a lot of sparse space in the city center. At the same time, there is great need for more public seats and park benches to relax and meet friends and family. Replacing a number of bicycle stands with public seats is a solution but comes at the expense of scarce space to store bicycles. To solve this dilemma, local residents were asked to give their opinion on the desirability of replacing a number of bicycle stands with public seating and park benches.

The participation activity produced <far fewer> reactions than expected. These reactions mainly came from <a representative group of local residents>. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	0	0	0	0	0	0	0

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	0	0	0	0	0	0	0
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	0	0	0	0	0	0	0



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 12 of 27

## {Vignette 4: Seating – high turnout and low participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – was asked to prepare a policy recommendation about replacing a number of bicycle stands by public seating and park benches.

City residents increasingly use bicycles to get to and from work and the shops. Storing these bikes requires a lot of sparse space in the city center. At the same time, there is great need for more public seats and park benches to relax and meet friends and family. Replacing a number of bicycle stands with public seats is a solution but comes at the expense of scarce space to store bicycles. To solve this dilemma, local residents were asked to give their opinion on the desirability of replacing a number of bicycle stands with public seating and park benches.

The participation activity produced <many more> reactions than expected. These reactions mainly came from <a select group of active local residents>. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	0	0	0	0	0	0	0

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	0	0	0	0	0	0	0
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	0	0	0	0	0	0	0



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 13 of 27

## {Vignette 5: Seating – high turnout and high participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – was asked to prepare a policy recommendation about replacing a number of bicycle stands by public seating and park benches.

City residents increasingly use bicycles to get to and from work and the shops. Storing these bikes requires a lot of sparse space in the city center. At the same time, there is great need for more public seats and park benches to relax and meet friends and family. Replacing a number of bicycle stands with public seats is a solution but comes at the expense of scarce space to store bicycles. To solve this dilemma, local residents were asked to give their opinion on the desirability of replacing a number of bicycle stands with public seating and park benches.

The participation activity produced <many more> reactions than expected. These reactions mainly came from <a representative group of local residents>. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	0	0	0	0	0	0	0

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	0	0	0	0	0	0	0
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	0	0	0	0	0	0	0



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 14 of 27

## {Vignette 6: Playground – control}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – is asked to prepare a policy recommendation about the construction of a neighborhood playground.

The construction of a neighborhood playground is expected to increase the quality of life in the neighborhood, and increase the attractiveness for families with young children. At the same time, it is expected that the playground will increase noise disturbance and deplete the funds for other community projects. To resolve this dilemma, local residents are invited to provide their opinion about the desirability of constructing a new playground.

Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	0	0	0	0	0	0	0

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	0	0	0	0	0	0	0
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	0	0	0	0	0	0	0

{Insert page-break}



## {Vignette 7: Playground – low turnout and low participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – is asked to prepare a policy recommendation about the construction of a neighborhood playground.

The construction of a neighborhood playground is expected to increase the quality of life in the neighborhood, and increase the attractiveness for families with young children. At the same time, it is expected that the playground will increase noise disturbance and deplete the funds for other community projects. To resolve this dilemma, local residents are invited to provide their opinion about the desirability of constructing a new playground.

The participation activity produced <far fewer> reactions than expected. These reactions mainly came from <a select group of active local residents>. Based on this information, your college had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	o	o	o	o	o	o	o

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	o	o	o	o	o	o	o
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	o	o	o	o	o	o	o

{Insert page-break}

## {Vignette 8: Playground – log turnout and high participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – is asked to prepare a policy recommendation about the construction of a neighborhood playground.

The construction of a neighborhood playground is expected to increase the quality of life in the neighborhood, and increase the attractiveness for families with young children. At the same time, it is expected that the playground will increase noise disturbance and deplete the funds for other community projects. To resolve this dilemma, local residents are invited to provide their opinion about the desirability of constructing a new playground.

The participation activity produced <far fewer> reactions than expected. These reactions mainly came from <a representative group of local residents>. Based on this information, your colleague had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	o	o	o	o	o	o	o

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	o	o	o	o	o	o	o
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	o	o	o	o	o	o	o

{Insert page-break}

## {Vignette 9: Playground – high turnout and low participants' representativeness}

**Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – is asked to prepare a policy recommendation about the construction of a neighborhood playground.

The construction of a neighborhood playground is expected to increase the quality of life in the neighborhood, and increase the attractiveness for families with young children. At the same time, it is expected that the playground will increase noise disturbance and deplete the funds for other community projects. To resolve this dilemma, local residents are invited to provide their opinion about the desirability of constructing a new playground.

The participation activity produced < **many more** > reactions than expected. These reactions mainly came from < **a select group of active local** >. Based on this information, your colleague had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

**What would you do if, instead of your colleague, you had to draft the policy recommendation?**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	o	o	o	o	o	o	o

**By engaging the input of these local residents:**

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	o	o	o	o	o	o	o
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	o	o	o	o	o	o	o

{Insert page-break}



**{Vignette 10: Playground – high turnout and high participants' representativeness}****Imagine the following situation:**

A colleague of yours – employee at the city of Antwerp – is asked to prepare a policy recommendation about the construction of a neighborhood playground.

The construction of a neighborhood playground is expected to increase the quality of life in the neighborhood, and increase the attractiveness for families with young children. At the same time, it is expected that the playground will increase noise disturbance and deplete the funds for other community projects. To resolve this dilemma, local residents are invited to provide their opinion about the desirability of constructing a new playground.

The participation activity produced <many more> reactions than expected. These reactions mainly came from <a representative group of local residents>. Based on this information, your colleague had to decide how important the information provided by the local residents was going to be in the final policy recommendation.

***What would you do if, instead of your colleague, you had to draft the policy recommendation?***

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
My recommendation would depend strongly on the input provided by the local residents	o	o	o	o	o	o	o

***By engaging the input of these local residents:***

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... the quality of the recommendation will increase considerably	o	o	o	o	o	o	o
... the acceptance of the policy recommendation's outcome by local residents will increase considerably	o	o	o	o	o	o	o

{Insert page-break}

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Manipulation checks**

{These three questions serve to assess whether the respondents have consciously read and registered the stimuli present in the vignettes; assess experiment quality}

*“De following statements are about the decision-making examples you just assessed. The help us assess whether our examples were clear and formulated correctly. Please indicate whether these statements are right or wrong”.*

*“In at least one of the previous decision-making cases information was provided about...:”*

	True	Not true
... the age of local residents.	<input type="radio"/>	<input type="radio"/>
... the political preferences of local residents.	<input type="radio"/>	<input type="radio"/>
... the level of education of local residents.	<input type="radio"/>	<input type="radio"/>



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 20 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Job-centered red tape perceptions [5]**

{Third set of survey questions, randomize item order}

{Present this battery after respondents have evaluated two vignettes, answers are mandatory before respondents can continue the survey}

*“All jobs come with administrative burdens. The following statements are about how you perceive and experience these burdens. Please remember that there are no right or wrong answers. Indicate to extent to which you agree with each statement.”*

*“The rules with which I have to comply in my core activities...:*

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
... have a clear function for my job activities.	0	0	0	0	0	0	0
... contribute to the goal of my job activities.	0	0	0	0	0	0	0
... help me do my job well	0	0	0	0	0	0	0
... cause much pressure at work	0	0	0	0	0	0	0
... take a lot of time to comply with	0	0	0	0	0	0	0
... cause a lot of delay	0	0	0	0	0	0	0



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755  
Page 21 of 27

www.citadel-h2020.eu

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Attitudes about public participation** [6], [7]

{Fourth set of survey questions, randomize item order}

{Present this battery after respondents have completed evaluating four randomly assigned vignettes}

*“Some argue that citizens have a role to play in administrative decision-making and public service provision. The following statements are about citizen involvement in administrative decision-making. Please indicate to what extent you agree or disagree with each.”*

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
Citizen participation in the decision process reduces my influence as a public official	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Citizen participation slows the decision-making process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Citizen participation improves the decision process by bringing in new ideas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Citizen participation makes it hard to reach consensus and closure in the decision process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involving citizens in administrative decision-making processes requires more effort than it is worth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
In most instances, the administration would have reached the same decision without citizen input	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The value of public participation is overrated	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 22 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Attitudes about public participation [6], [7]**

{Fifth set of survey questions, randomize item order}

*“What do you think about ordinary citizens’ ability to play a role in administrative decision making? Remember, there are no right or wrong answers. Please indicate the extent to which you agree or disagree with the following statement.”*

	Totally disagree	Disagree	Somewhat disagree	Not disagree / not agree	Somewhat agree	agree	Totally agree
Most citizens who participate pursue the interest of the entire community	0	0	0	0	0	0	0
Most citizens who participate have the people skills needed to make a valuable contribution	0	0	0	0	0	0	0
Most citizens who participate have the expertise or technical knowledge needed to make a valuable contribution	0	0	0	0	0	0	0
Most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution	0	0	0	0	0	0	0



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 23 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Survey Break to the last part of the instrument: background and demographics.**

**We have now entered the last part of the survey.**  
Please answer the following questions.



{Insert page-break}

**Previous Engagement experience**

	Never	Sometimes	Repeatedly	Often	Very often
How often did you as a private individual and citizen of the {municipality} of [...] take part in a public participation activity?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Very negative	Somewhat negative	Not negative / not positive	Somewhat positive	Very positive
How positive were you about those activities?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Never	Sometimes	Repeatedly	Often	Very often
How often did you as an employee of the municipality of [...] play a formal role in organizing or implementing public participation activities?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Very negative	Somewhat negative	Not negative / not positive	Somewhat positive	Very positive
How positive were you about those activities?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 24 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Public Sector Experience**

Did you work in the private sector for longer than half a year during the last five years?	
Yes	<input type="radio"/>
No	<input type="radio"/>

**Supervisory position**

Are you a supervisor? (Do you supervise/direct other employees?)	
Yes	<input type="radio"/>
No	<input type="radio"/>

How many people do you approximately supervise/direct?
[...insert number...]

**Work Domain**

In what administrative domain are you primarily active/do you work? {option to select one only}
<ul style="list-style-type: none"> <li>• Personnel management</li> <li>• City development</li> <li>• Administrative affairs</li> <li>• Finances</li> <li>• Independent services</li> <li>• City maintenance</li> <li>• Social services</li> <li>• Culture, Sports, Youth, and Education</li> <li>• Safety and emergencies</li> <li>• The economy and city marketing</li> <li>• Infrastructure</li> </ul>



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 25 of 27

Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

**Educational attainment****What is your highest attained level of education**

{Insert the latest country specific European Social Survey educational attainment scale here. Use the ESS scales because they are ISCED-compatible and make international comparisons possible}

**Age****What is the year of your birth?**

{Move the slider to the correct year [1950-1995]}

**Gender****What is your genus?**

Female	<input type="radio"/>
Male	<input type="radio"/>
Other	<input type="radio"/>



{Insert page-break}

**Questions for the researchers**

“You have reached the before last question of this survey.”

**Do you have any last remarks or questions about this survey?**

[...Insert comments here...]



{Insert page-break}

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 26 of 27



Willingness to Engage – Survey and Vignettes (English version)

01.02.2018

### End of Survey

You have reached the end of this survey.

**Thank you very much for participating!**  
 Prof. Dr. S. Van de Walle (Lead researcher)  
 Koen Migchelbrink (Researcher)

**If you want to be informed of the results of this research, please enter your e-mail address here.**

[...Insert Email-address...]



{Insert page-break}

### References

- [1] Z. W. Oberfield, "Rule Following and Discretion at Government's Frontlines: Continuity and Change during Organization Socialization," *J. Public Adm. Res. Theory*, vol. 70, pp. 735–755, 2009.
- [2] S. Portillo and L. DeHart-Davis, "Gender and Organizational Rule Abidance," *Public Adm. Rev.*, vol. 69, no. 2, pp. 339–247, 2009.
- [3] E. Bertou and G. Pastorelli, "Technocratic attitudes; a citizens' perspective of expert decision-making," *West Eur. Polit.*, vol. 40, no. 2, pp. 430–458, 2017.
- [4] EVS, "European Values Study Longitudinal Data File 1981-2008." GESIS Data Archive, Cologne, 2015.
- [5] N. M. Van Loon, P. L. M. Leisink, E. Knies, and G. A. Brewer, "Red Tape: Developing and Validating a New Job-Centered Measure," *Public Adm. Rev.*, vol. 76, no. 4, pp. 662–673, 2016.
- [6] K. Yang and S. K. Pandey, "Further Dissecting the Black Box of Citizen Participation: When Does Citizen Involvement Lead to Good Outcomes?," *Public Adm. Rev.*, vol. 71, no. 6, pp. 880–892, 2011.
- [7] K. Yang and K. Callahan, "Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality," *Public Adm. Rev.*, vol. 67, no. 2, pp. 249–264, 2007.

Project Title: CITADEL

Contract No. GA 726755  
 Page 27 of 27

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

## Appendix II. Willingness to engage descriptive results - use case: city of Antwerp

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018



**Empowering Citizens to Transform  
European Public Administrations**

---

---

**Public Officials' Willingness to Engage**

**Use Case: city of Antwerp**

---

---

<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Responsible Partner:</b>	KU Leuven
<b>Status-Version:</b>	Final
<b>Date:</b>	05/06/2018
<b>Distribution level (CO, PU):</b>	KU Leuven & City of Antwerp

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 1 of 34

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

<b>Project Number:</b>	GA 726755
<b>Project Title:</b>	CITADEL
<b>Title</b>	Public Officials' Willingness to Engage – Descriptive results of the city of Antwerp vignette experiment and survey
<b>Work package responsible for the Deliverable:</b>	WP2 – Understand to Transform
<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Abstract:</b>	This report presents the descriptive results of the WP2 <i>Public Officials Willingness to Engage</i> vignette experiments and survey conducted at the City of Antwerp at the beginning of 2018.
<b>Keyword List:</b>	WP2, Public Officials Willingness to Engage with Citizens, Descriptive results, Survey, City of Antwerp
<b>Disclaimer</b>	This document reflects only the author's views and neither Agency nor the Commission are responsible for any use that may be made of the information contained therein

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 2 of 34

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

---

---

## Document Description

---

---

### Document Revision History

Version	Date	Modifications Introduced	
		Modification Reason	Modified by
v.01	24-05-2018	First draft version	Koen Migchelbrink

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 3 of 34

---

## Table of Contents

---

Table of Contents .....	4
List of Figures .....	5
Terms and abbreviations.....	5
Executive Summary .....	6
Introduction .....	7
1 Design and Fielding of the study .....	8
2 Results vignette experiments.....	10
2.1 Data cleaning.....	10
2.2 Input legitimacy and public officials willingness to participate .....	11
2.3 Perceptions of Quality and Popular Support .....	12
3 Results survey questions .....	13
3.1 Rule-abiding attitudes .....	13
3.2 Democratic Attitudes .....	14
3.3 Job-centered red tape perceptions.....	15
3.4 Attitudes about citizen participation .....	16
3.5 Attitudes about citizens' participation competences .....	17
3.6 Previous experience with participation .....	18
3.7 Sample characteristics.....	19
3.7.1 Administrative grade.....	19
3.7.2 Age.....	19
3.7.3 Gender.....	20
3.7.4 Educational attainment.....	21
3.7.5 City administration departments .....	21
Bibliography .....	23
Appendix 1 – Base vignettes .....	25
Appendix 2 – Survey questions .....	26
Appendix 3 – Respondents' comments and questions .....	28

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

---

### List of Figures

---

FIGURE 1. PUBLIC OFFICIALS' WILLINGNESS TO ENGAGE WITH CITIZENS .....	11
FIGURE 2. PERCEPTIONS OF QUALITY AND POPULAR SUPPORT .....	12
FIGURE 3. RULE-ABIDING ATTITUDES .....	13
FIGURE 4. DEMOCRATIC ATTITUDES .....	14
FIGURE 5. JOB-CENTERED RED TAPE PERCEPTIONS .....	15
FIGURE 6. ATTITUDES ABOUT CITIZEN PARTICIPATION .....	16
FIGURE 7. ATTITUDES ABOUT CITIZENS' PARTICIPATION COMPETENCES .....	17
FIGURE 8. PREVIOUS PARTICIPATION EXPERIENCE .....	18
FIGURE 9. SATISFACTION WITH PREVIOUS PARTICIPATION EXPERIENCES.....	18
FIGURE 10. ADMINISTRATIVE GRADE.....	19
FIGURE 11. AGE DISTRIBUTION IN ABSOLUTE FREQUENCIES.....	20
FIGURE 12. GENDER PROPORTIONS IN PERCENTAGES.....	20
FIGURE 13. EDUCATIONAL ATTAINMENT .....	21
FIGURE 14. DEPARTMENTS .....	22
FIGURE 16. BASE VIGNETTE 1 (DUTCH) .....	25
FIGURE 15. BASE VIGNETTE 2 (DUTCH) .....	25

---

### Terms and abbreviations

---

WP	Work package
----	--------------

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 5 of 34

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

## Executive Summary

In this report, we present the descriptive results of the WP2 survey *Public Officials' Willingness to Engage with Citizens* conducted at the city of Antwerp. The survey was fielded between February 1<sup>st</sup> and February 21<sup>st</sup>, 2018. A total of 890 respondents participated in the vignettes experiments, a response rate of 41.8%.

The vignette experiments indicate a positive relation between the input legitimacy of a participatory process and the willingness of public officials to participate with citizens in administrative decision-making. Furthermore, they indicate a positive relation between input legitimacy and perceptions of policy quality and anticipated popular support. The survey instrument shows that respondents are, in general, rule abiding, have strong democratic attitudes and report strong job-related red-tape perceptions. Their participation attitudes are positive toward the engagement of citizens, but ambivalent about citizen competences.

The results presented in this report are strictly descriptive.

## Introduction

The purpose of this document is to present the city of Antwerp with a descriptive report of the vignette experiment and accompanying survey instrument on public officials' willingness to engage with citizens, conducted at the city of Antwerp in the beginning of 2018.

The report contains three chapters and four accompanying appendices. In the first chapter, we situate the study in the H2020 CITADEL project and report on the method and conduct of the study. In the second chapter, we present the results of the vignette experiment. We show the effect of participatory input legitimacy on public officials' willingness to engage with citizens in administrative decision-making. We also show the effect of input legitimacy on public officials' perceptions of the policy quality and anticipated popular support for participatory outcomes. The third chapter presents the outcomes on the five additional survey batteries included in the survey instrument: rule-abiding attitudes, democratic attitudes, job-centered red tape perceptions, attitudes about public participation, and attitudes about citizen competences. The chapter is also used to present the sample characteristics. The results in this report are descriptive.

The authors would like to thank Mr. Pieter Vermeyen and Ms. Brende Casteleyn from the city of Antwerp Organization and City Marketing department for their support.



## 1 Design and Fielding of the study

The survey of which this document presents the descriptive results is part of the H2020 Empowering Citizens to TrAnsform European Administrations (CITADEL) project. The aim of the survey is to measure the effect of input legitimacy of public officials' willingness to engage citizens in administrative decision-making. The study is conducted as part of Work Package 2 *Understand to transform*, as part of the responsibilities under tasks T2.1 *Collect and monitor information from different sources* and T2.3 *Analyze the relevant information to produce KPI Intelligence and recommendation*. The survey provides content to deliverables D2.1 *Requirements and parameters for selection of relevant information* and D2.2 *Initial recommendations for transforming the public sector processes and services*.

We employed a survey-based vignette experiment to measure the effects of input legitimacy (turnout and participants' representativeness) of public participation activities on public officials' willingness to use citizens' inputs in administrative decision-making. The design consisted of two experimental factors (turnout and participants' representativeness) that were systematically manipulated over two levels (high/low), providing four ( $2^2$ ) treatment combinations. We also included a control vignette in which no information about the input legitimacy was provided. Depending on the random assignment, respondents were presented with a public participation process characterized by low turnout and unrepresentative participants, low turnout and representative participants or high turnout and unrepresentative participants, high turnout and representative participants, or no information about turnout and participants' representativeness at all. Respondents were asked to evaluate the vignettes and answer three questions designed to assess their willingness to use public participation, their assessment of the quality of the resulting policy decision, and whether they believe the inclusion of citizens' input would positively affect the popular support for the decision. This process was repeated four times. After two evaluations, responses were interrupted using an unrelated survey instrument.

In addition to the vignette experiments, the survey instrument contained five additional survey batteries with four to seven items each. We used these survey batteries to measure respondents' rule-abidance (bureaucratic attitudes), democratic attitudes, job-centered red tape perceptions, attitudes about citizen participation, and attitudes on citizens' competences to participate (see appendix 2 for full list). Additionally, several individual-level background questions were asked to determine the sample characteristics.

We focused on public officials with the legal and administrative competences and responsibilities to participate in how decisions and policies are made, implemented, and whether citizens' inputs are included. This group of public officials was operationalized as all public officials with administrative grade A or B. For this study, we made use of all employees of the city of Antwerp. Cooperation with the department Organizing and City Marketing (Organiseren en stadsmarketing) of the city of Antwerp ensured access to the target population. We included the entire population in the sample frame and used a total population sampling strategy.

We used the online survey application Qualtrics ([www.qualtrics.com/uk/](http://www.qualtrics.com/uk/)) to administer the survey instrument, including the vignette experiments, online. Qualtrics is ISO27001-certified and is GDPR compatible [1]. The vignettes, questions, and survey batteries of the study were presented in the respondents in their vernacular (Dutch). The descriptive results are presented in English.

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

The sampling frame contains 2128 individuals. The vignettes were fielded between February 1<sup>st</sup> and February 21<sup>st</sup>, 2018. 1270 individuals reacted to our invitations. 66 individuals did not provide informed consent and were excluded from the analysis. A further 150 individuals did provide informed consent but did not provide any substantive answers; they too were removed from the analysis. With every new question of the survey instrument, the dropout rate increased. For every survey element, we reported the total number of respondents. The exception being the vignette experiment itself. Only those respondents that provided answers up to the manipulation checks were included in the descriptive analysis of the vignettes (n = 890). Based on the vignette experiments, the response rate for this study was 41.8%.

## **2 Results vignette experiments**

### **2.1 Data cleaning**

We conducted two tests to enhance the quality of the experimental data. First, we conducted three manipulation checks. After respondents evaluated the vignettes, we asked three simple polar questions in order to determine whether respondents registered the experimental treatment. If not, their responses are not indicative of the experimental treatment. We asked whether one or more of the vignettes contained information about participants' age, political preferences, or educational attainment. The answer to all is no. If respondents answered more than one question wrong, they were excluded from the analysis ( $n = 53$ ).

Second, we conducted a check for speeders. Speeders are satisfiers who respond to questions in such a short period of time that they could not have read the vignette and made an evaluation of it. Respondents with a mean response time of less than 25 seconds were excluded from the analysis ( $n = 12$ ). The total number of respondents in the vignette analysis was  $n = 825$ . Vignette 4 was wrongly administered and dropped from the analysis. The total number of vignettes assessed in this study was  $n = 2983$ .

## 2.2 Input legitimacy and public officials willingness to participate

We used the vignette experiment to measure the effect of input legitimacy on public officials' willingness to engage with citizens in administrative decision-making. We randomly manipulated two input legitimacy factors (turnout and participant representativeness) in the same context and asked respondents to evaluate the choice of a hypothetical college. Respondents were presented with a public participation process characterized by low turnout and unrepresentative participants, low turnout and representative participants or high turnout and unrepresentative participants, high turnout and representative participants, or no information about turnout and participants' representativeness at all. The vignettes and accompanying questions were administered in the local vernacular (Dutch) and are included in appendix 1.

We measured respondents' willingness to engage with citizens on a seven-point scale (1 totally disagree, 7 totally agree). Willingness was measured using the question: *What would you do if, instead of your colleague, you had to draft the policy recommendation? My policy recommendation would depend strongly on the input provided by the local residents.* Importantly, the same manipulations were replicated over two different cases (wordings). Therefore, the bottom four parameters show the same effect as the top five corresponding parameters.

Figure 1 shows the mean willingness to participate score for each treatment combination. For both wordings (seating and playground) the high turnout / representative participants treatment combination scores the highest willingness scores; 5.14 and 5.2 respectively. Furthermore, for both wordings, the low turnout / unrepresentative participants treatment combination scores the lowest willingness scores; 3.66 and 3.46 respectively. These results seem to suggest that input legitimacy has a positive effect on public officials willingness to engage with citizens.

Two further observations. First, the treatment combination: low turnout / representative participants scores higher than the treatment combination: high turnout / unrepresentative participants. This indicates that participant representativeness is a more important factor in the willingness of public officials to participate with citizens than turnout is. Second, in both wordings, the control vignettes score the second highest willingness to participate score. This could suggest that public officials are willing to engage, except when legitimacy is violated.

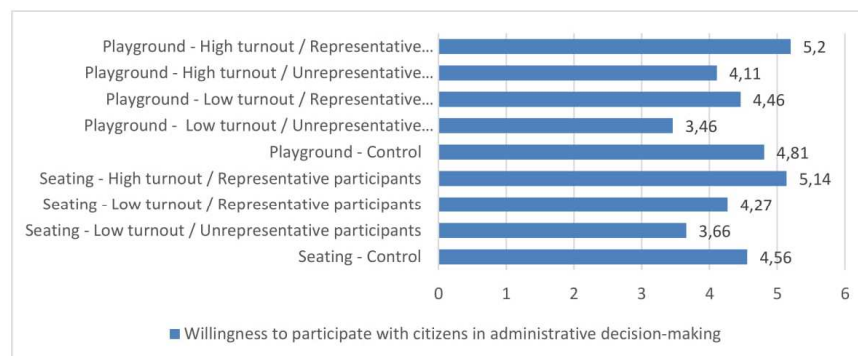


Figure 1. Public officials' willingness to engage with citizens

### 2.3 Perceptions of Quality and Popular Support

The input legitimacy of the participatory process also affects public officials' expected outcomes of that process. Two important output factors are the perceived quality of the policy outcomes and the popular support for those specific policies.

In this study, we also measured the effect of input legitimacy on respondents' perceptions of the quality of the policy outputs and the anticipated popular support for those policies. We asked respondents the following questions: *By engaging the input of these local residents, the quality of the recommendation will increase considerably* and *by engaging the input of these local residents, the acceptance of the policy recommendation's outcome by local residents will increase considerably*. Figure 2 displays respondents' perceptions of policy quality and anticipated popular support for the policies for each treatment combination on a seven-point scale (1 totally disagree, 7 totally agree). We present the results of both questions in the same figure, the dark bars represent the perceived policy quality and the light bars the anticipated popular support.

Figure 2 roughly replicates the variation of figure 1. Respondents report the highest policy quality perception and anticipated popular support for the vignettes with the treatment combination high turnout / representative participants. In addition, respondents report the lowest policy quality perception and anticipated popular support for the vignettes with the low turnout / unrepresentative participants treatment combination.

Again, the control vignettes have the second highest scores of all vignettes. With these results, it is hard to say whether turnout or representative participation is a more important determinant of respondents' perceptions of the quality and popular support participation-based policies. The difference in effects is minimal and probably not statistically significant. Observe that the variation for both measures is similar. Perceptions of policy quality and the anticipated popular support follow roughly the same distribution. This could indicate that the input legitimacy of the participatory process has the same effect on both parameters.

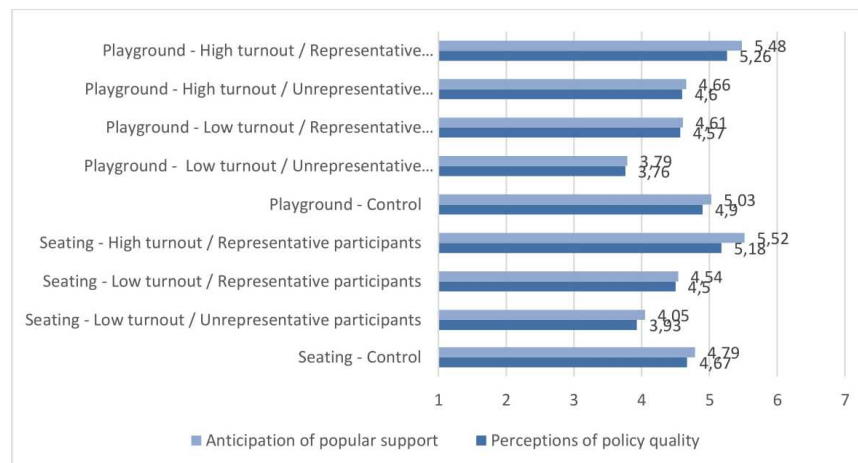


Figure 2. Perceptions of Quality and Popular Support



3   Results survey questions

3.1   Rule-abiding attitudes

We measured the bureaucratic attitudes of respondents using rule-abidance attitudes. Bureaucratic attitudes are associated with public officials’ rule-abiding identities. Rule-abiding identities are self-assessed projections of what it means to follow administrative rules and guidelines in particular administrative circumstances. In general, rule-following behavior is indicative of traditional bureaucratic attitudes, whereas discretion-using attitudes are indicate of a departure of the traditional view in favor of more responsiveness to individual citizens [2].

We use items from two sources to measure public officials rule-abiding attitudes. The first three items are borrowed from Oberfield’s 2009 study on continuity and change during organizational socialization [2]. The last two items are borrowed from Portillo and DeHart-Davis’ 2009 study on gender and organizational rule abidance [3]. Portillo and DeHart-Davis borrowed them from Baker et al [4] and Gordon [5]. Figure 5 displays respondents’ rule abiding attitudes. Figure 5 shows the mean scores for the five rule-abidance items on a scale of 1 (totally disagree) to 7 (totally agree). The second, third, and fourth item are formulated in reverse, indicating discretion-using attitudes.

Respondents report both rule-abiding and discretion-using attitudes. The first and last items indicate that respondents agree that they follow rules they do not agree with and that those rules have a purpose. At the same time, respondents report agreement that people and situations are unique and should be treated on a case-by-case basis. However, respondents are less supportive for statements indicating that it is okay to bend the rules to help a person who deserves it, or to circumvent rules they think are pointless.

Overall, these results show support for both rule-abiding and discretion-using attitudes. That said the results are more consistent with rule-abiding attitudes than with discretion-using attitudes.

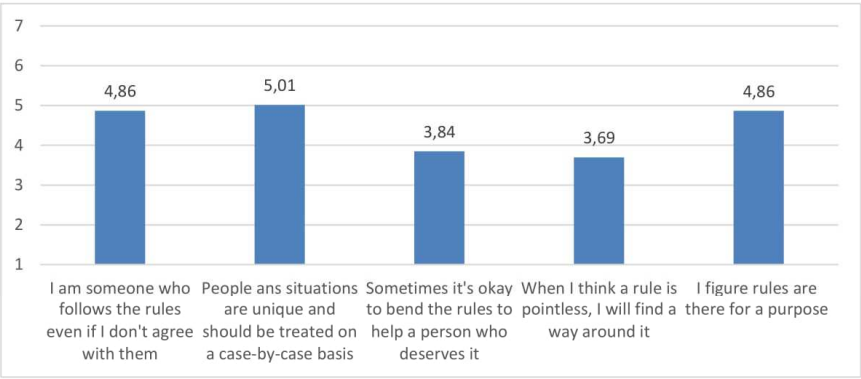


Figure 3. Rule-Abiding Attitudes

### 3.2 Democratic Attitudes

Citizen participation in administrative decision-making is seen as a mechanism to increase the democratic character of public governance and administration [6]. It responds to the democratic ideal that citizens should have a direct say in the rules and regulations that govern them. Public officials' own democracy perceptions could serve as an important explanatory variable explaining public officials' willingness to engage with citizens in administrative decision-making.

We measured respondents' democratic attitudes using items from two sources. The first four items are borrowed from Bertou and Pastorella's [7] study into citizens' perspectives on expert decision-making. The last two items are based on the 4<sup>th</sup> wave of the European Values Study [8]. Figure 2 shows the mean scores for the six democratic attitudes on a scale between 1 (totally disagree) and 7 (totally agree).

Respondents report support for the abstract conception of democracy, as is evidenced by the first and last items in figure 4. Respondents agree that *Democracy may have problems but it is better than any other form of government* and *Having a democratic system is best for the country*. Respondents report as much agreement as disagreement with the statement *having experts, not government, make decisions is best for the country*. Clear disagreement is reported for the three negatively formulated democracy-items. Respondents do not believe that a democratic system is bad for the economy, is indecisive, or bad at maintaining order.

Overall, respondents show clear support for democracy as a political system and disagree with negatively formulated democracy characteristics. In other words, respondents show clear positive attitudes toward democracy.

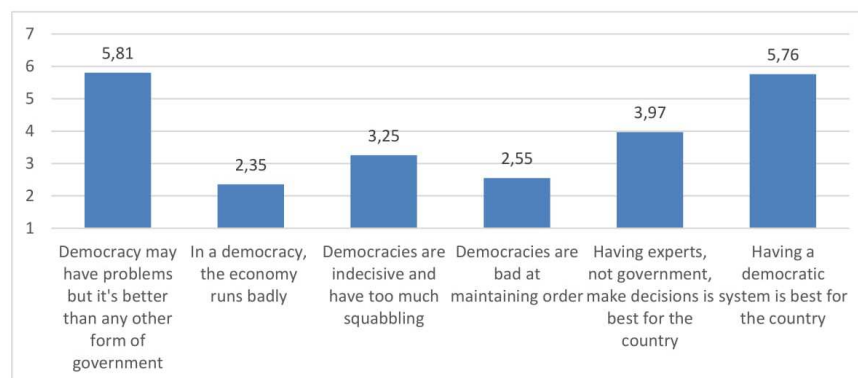


Figure 4. Democratic attitudes

3.3 Job-centered red tape perceptions

Public officials could be unwilling to engage with citizens because they perceive the inclusion of citizens as an unwanted burden [9]. Yang and Pandey argue that “Mangers who are trapped by more red tape are less tolerant of risk taking and change [...], which are necessary if effective participation outcomes are expected” (7, p. 882). Red tape is defined as: “rules, regulations, and procedures that remain in force and entail a compliance burden for the organization but have no efficacy for the rules’ functional object” (8, p. 283). This definition contains two elements of red-tape: lack of functionality and a compliance burden [10], [11]. A lack of functionality refers to the inability of the rules to meet operational requirements; they are not serving the stated objectives. A compliance burden is described as the excessive need for time, energy, or other resources necessary for complying with the rules [11]. We use the two-dimensional job-centered red tape scale developed by Van Loon, Leisink, Knies, and Brewers [11] to measure the job-related red tape perceptions of the respondents.

Figure 7 displays the respondents’ mean scores for job-centered red tape perceptions on a scale of 1 (totally disagree) to 7 (totally agree). The first three items measure perceptions of rules’ lack of functionality, the last three measure the perceived compliance burden. Importantly, the first three items are reverse formulated (indicating no lack of functionality).

The first three items display relatively high mean scores. These scores indicate that respondents believe that the rules with which they have to comply with in their core activities are relatively functional. The latter three items display agreement scores. For example, respondents are relatively supportive of the statement that the rules with which they have to comply in their core activities cause a lot of delay. These mean scores appear to indicate that the respondents assess the rules with which they have to comply as somewhat burdensome.

Overall, the job-centered red tape perceptions show that respondents perceive the rules with which they have to comply as functional but burdensome.

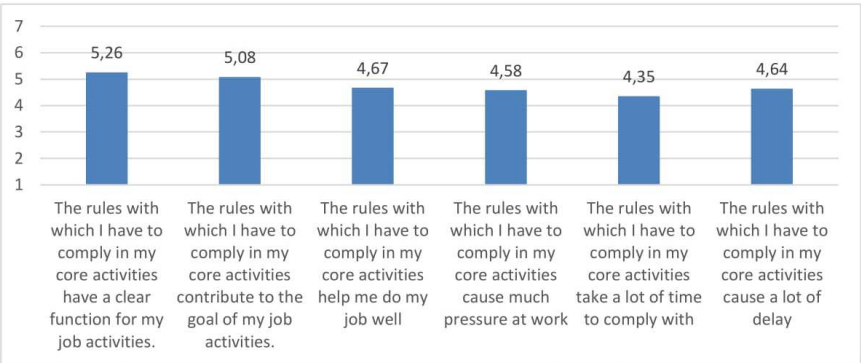


Figure 5. Job-centered red tape perceptions



### 3.4 Attitudes about citizen participation

In addition, public officials' willingness to engage with citizens in administrative decision-making can be influenced by specific attitudes and opinions about citizen participation. Some of these attitudes are examined in other studies [9], [12]. We measure respondents' specific attitudes toward citizen participation using the Participation Outcome instrument by Yang and Pandey [9] and two items of the Responsiveness to Participatory Values instrument by Yang and Callahan [13].

The mean scores are presented in figure 4. The scores range from 1 (totally disagree) to 7 (totally agree). The first four items came from Yang and Pandey's Participation Outcome instrument and the last two items come from Yang and Callahan's Responsiveness to Participatory Values instrument.

Overall, the mean scores display a lot of variation. There are only two items with which respondents agree more than they disagree: *Citizen participation improves the decision-making process by bringing in new ideas* and *citizen participation slows down the decision-making process*. All other scores display disagreement. Respondents disagree strongest with the statement: *Involving citizens in administrative decision-making requires more effort than it is worth*. Followed by: *citizen participation in the decision-making process reduces my influence as a public official*, *the value of public participation is overrated*, and *In most instances, the administration would have reached the same decisions without citizens input*.

Overall, the results appear to indicate that the respondents are positive about public participation, even though they think it slows down the decision-making process. Attitudes about public participation are positive.

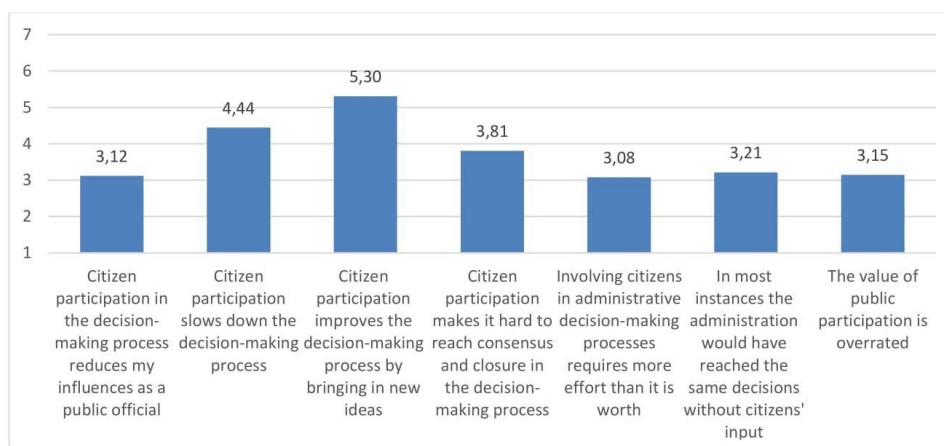


Figure 6. Attitudes about citizen participation

3.5 Attitudes about citizens’ participation competences

Public officials’ willingness to engage with citizens in administrative decision-making is also dependent on their assessments of citizens’ participation competences [9]. Most studies agree that citizens lack the knowledge to participate effectively (12–15). At the same time, Yang and Pandey concluded that public officials’ perceptions of citizen competences were strongly and positively associated with participation outcomes [9].

We use four items to measure respondents’ attitudes about the participation competence. The first two are formulated to measure general attitudes about citizen competences [9]. Figure 5 displays the mean scores of respondents’ attitudes about citizens’ participation competences.

One of four items displays more agreement than disagreement, though modestly. In general, respondents seem to agree that citizens have the skills needed to make a valuable contribution. At the same time, respondents disagree with the statement that citizens pursue the interests of the entire community. In addition, the items designed to specify the general attitudes toward citizens’ competences to participate fail to do so. Respondents display disagreement with the items specifying whether citizens have the expertise and technical knowledge, or civic knowledge on how government works to participate.

Whereas respondents agree with the statement that citizens are capable to participate, they do not believe citizens have to expertise or technical knowledge, or civic knowledge to do so.

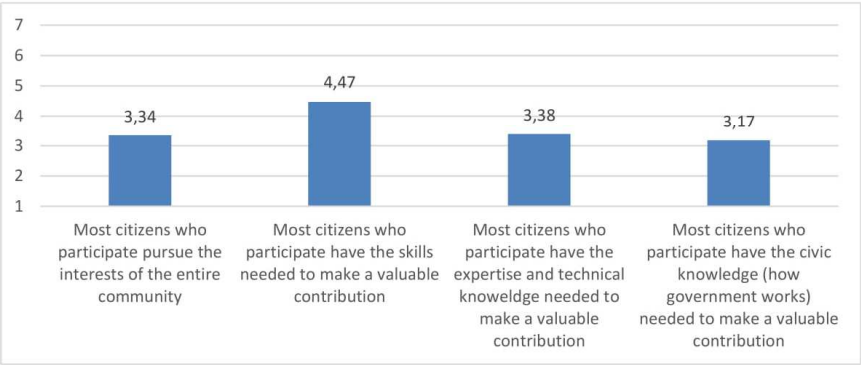


Figure 7. Attitudes about citizens' participation competences

### 3.6 Previous experience with participation

Another factor influencing public officials' willingness to use public participation in administrative decision-making is prior participatory experiences. Prior experience can increase or decrease public officials' willingness to engage with citizens. On the one hand, positive experiences are shown to have a positive effect on public officials' assessments of public participation. Public officials are accustomed to citizens having a role in decision-making and are aware of the possible beneficial effects of inclusion [14]–[16]. On the other hand, negative previous experiences can reduce public officials' willingness to engage citizens in administrative decision-making. For example when media reports negatively about participation activities [12].

We measure respondents' participation experiences on a five-point scale (1 never, 5 always) using two self-assessment questions. Public officials can have prior public participation experience either as a professional or as a private citizen. Figure 10 displays respondents' prior participation experiences. Though the overall experience with public participation appears limited, respondents have reported considerably more experience with public participation as a private individual than as a public official.

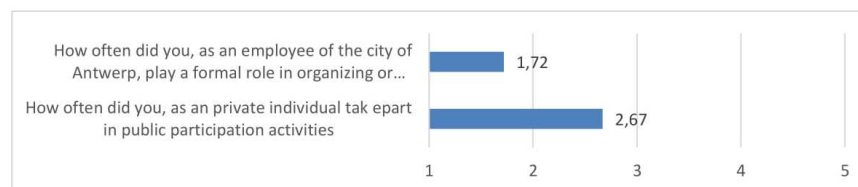


Figure 8. Previous participation experience

Additionally, we asked respondents with prior participation experience to indicate whether those experiences were positive or negative. Figure 11 displays the mean scores on a five-point scale (1 negative, 5 positive). Overall, these experiences are rated positively.

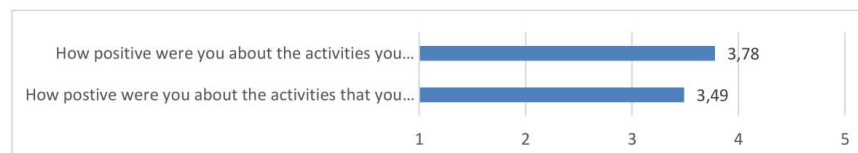


Figure 9. Satisfaction with previous participation experiences

### 3.7 Sample characteristics

The quality of research is in part dependent on the measure to which the population characteristics are replicated in the sample under observation. In the following five graphs, we look at the sample and population distributions of administrative grade, age, and gender. In addition, we look at the distribution of educational attainment for the sample.

#### 3.7.1 Administrative grade

Public officials' administrative grade is one of the selection criteria of this study. Administrative grades are dependent on educational attainment and are an indicator of individuals' position within the administrative bureaucracy. Table 10 shows the percentages of administrative grade A and B public officials in this survey and at the city of Antwerp. The sampling strategy produced a small oversampling of administrative grade A public officials and a small under sampling of administrative grade B public officials.

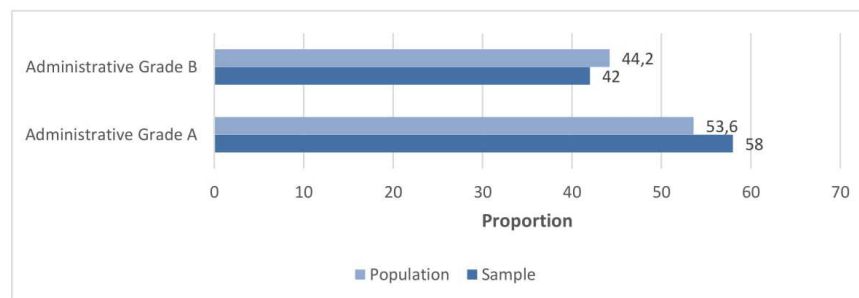


Figure 10. Administrative grade

#### 3.7.2 Age

The second characteristic is the distribution of age categories over the sample. The age of the average respondents' is 43.12 years old, modestly higher than the 41.17 years of the average city of Antwerp employee. Figure 11 shows the age distributions of the sample and of the overall population in absolute frequencies. The population age distribution displays a higher frequency around the lower half of the age distribution than the sample distribution does. This difference is indicative of a small under-sampling of the younger city of Antwerp employees.

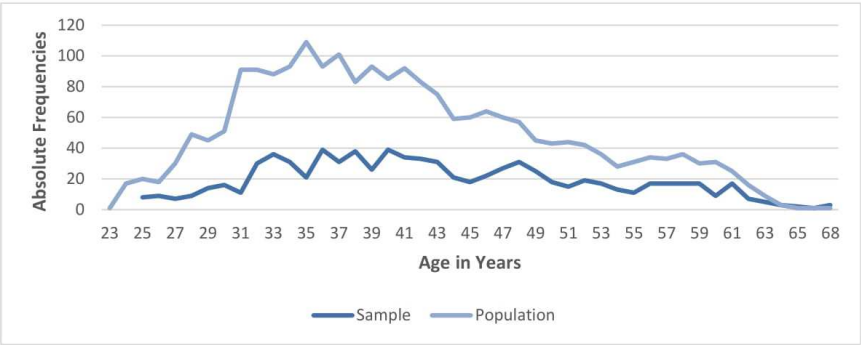


Figure 11. Age distribution in absolute frequencies

3.7.3 Gender

The third parameter is the difference in gender in the population and the sample. Figure 12 displays the gender proportions of the sample and the population. While the gender proportion of the sample is based on self-reporting, the age distribution of the population is based on the personnel files of the city of Antwerp. The sample consists of 57.3% women and 41.2% men; the population consists of 58.3% women and 41.5% men. The sampling strategy resulted in a good replication of the populations' gender distribution to the sample.

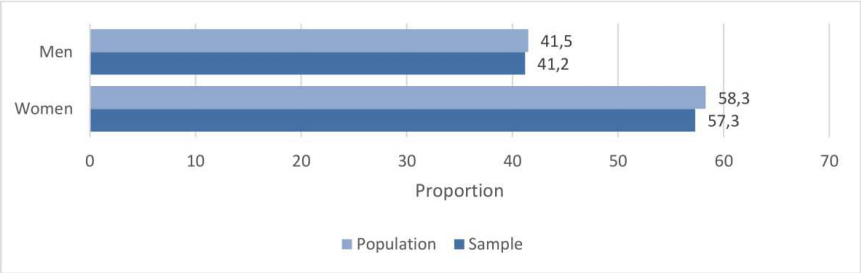


Figure 12. Gender proportions in percentages

3.7.4 Educational attainment

Information about educational attainment was available only for the sample. We do not have individual-level information about the educational attainment of the population. The educational attainment scale is borrowed from the seventh round (2014) of the European Social Survey. Figure 13 displays the absolute frequencies per education category. Most respondents have attained either an academic master’s degree (n = 245) or a professional bachelor degree (n = 258). These levels correspond with administrative grades A and B. 129 individuals attained a master-after-master or postgraduate, 10 individuals attained a doctorate, and 65 respondents attained a professional master’s diploma.

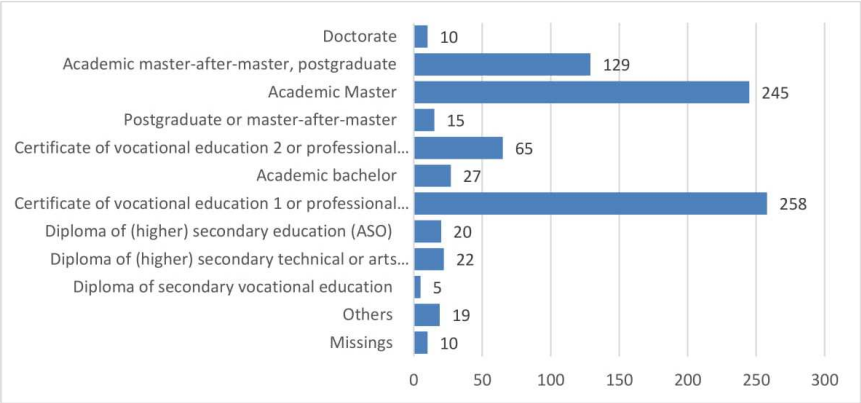


Figure 13. Educational Attainment

3.7.5 City administration departments

The final characteristic we observe is the distribution of city administration departments in percentages. We compare the sample distribution with that of the population. Most respondents are employed at the Culture, Sports, Youth, and Education department. More than one in five are employed at this department. Public officials employed at administrative departments (finances and administrative affairs) are included least. Overall, the distributions appear alike. Some differences are the oversampling of public officials from the organizing and city marketing department, and the Culture, Sports, Youth, and Education department, and the under-sampling of employees from the Independent services department, and the city maintenance department.

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

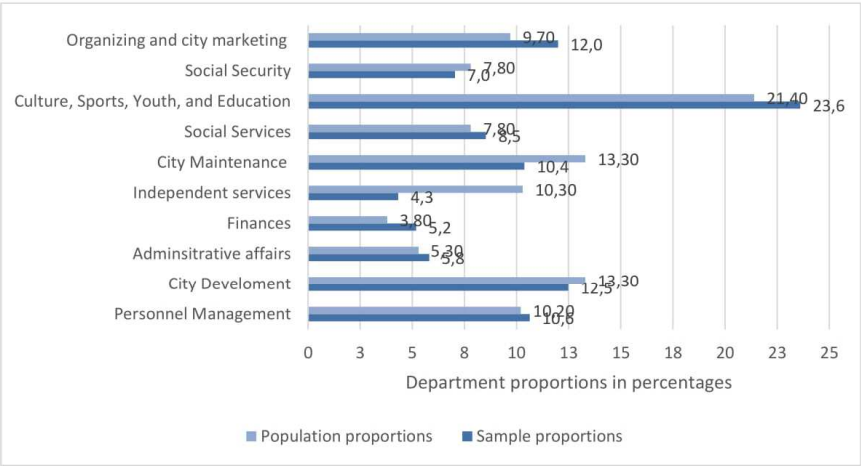


Figure 14. Departments



## Bibliography

- [1] Qualtrics, "Safe. Secure. And ready for GDPR." [Online]. Available: <https://www.qualtrics.com/uk/platform/gdpr/>. [Accessed: 14-May-2018].
- [2] Z. W. Oberfield, "Rule Following and Discretion at Government's Frontlines: Continuity and Change during Organization Socialization," *J. Public Adm. Res. Theory*, vol. 70, pp. 735–755, 2009.
- [3] S. Portillo and L. DeHart-Davis, "Gender and Organizational Rule Abidance," *Public Adm. Rev.*, vol. 69, no. 2, pp. 339–247, 2009.
- [4] S. H. Baker, A. Etzioni, R. A. Hanson, and M. Sontag, "Tolerance for Bureaucratic Structure: Theory and Measurement," *Hum. Relations*, vol. 26, no. 6, pp. 775–786, 1973.
- [5] L. V. Gordon, "Measurement of Bureaucratic Orientation," *Pers. Psychol.*, vol. 23, no. 1, pp. 1–11, 1970.
- [6] T. Nabatchi, "Addressing the Citizenship and Democratic Deficits; The Potential of Deliberative Democracy for Public Administration," *Am. Rev. Public Adm.*, vol. 40, no. 4, pp. 376–399, 2010.
- [7] E. Bertou and G. Pastorell, "Technocratic attitudes; a citizens' perspective of expert decision-making," *West Eur. Polit.*, vol. 40, no. 2, pp. 430–458, 2017.
- [8] EVS, "European Values Study Longitudinal Data File 1981-2008." GESIS Data Archive, Cologne, 2015.
- [9] K. Yang and S. K. Pandey, "Further Dissecting the Black Box of Citizen Participation: When Does Citizen Involvement Lead to Good Outcomes?," *Public Adm. Rev.*, vol. 71, no. 6, pp. 880–892, 2011.
- [10] B. Bozeman, "A Theory of Government 'Red-Tape,'" *J. Public Adm. Res. Theory*, vol. 3, no. 3, pp. 273–303, 1993.
- [11] N. M. Van Loon, P. L. M. Leisink, E. Knies, and G. A. Brewer, "Red Tape: Developing and Validating a New Job-Centered Measure," *Public Adm. Rev.*, vol. 76, no. 4, pp. 662–673, 2016.
- [12] K. Yang and K. Callahan, "Assessing Citizen Involvement Efforts by Local Governments," *Public Perform. Manag. Rev.*, vol. 29, no. 2, pp. 191–216, 2005.
- [13] K. Yang and K. Callahan, "Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality," *Public Adm. Rev.*, vol. 67, no. 2, pp. 249–264, 2007.
- [14] W. L. Huang and M. Feeney, "Citizen Participation in Local Government Decision Making: The Role of Manager Motivation," *Rev. Public Pers. Adm.*, vol. 36, no. 2, pp. 188–209, 2016.
- [15] K. H. Pendersen and L. Johannsen, "Where and How You Sit; How Civil Servants' view Citizen's Participation," *Adm. Soc.*, vol. 48, no. 1, pp. 104–129, 2016.
- [16] Y. Zhang and K. Yang, "Citizen Participation in the Budget Process: The Effect of City



WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

Managers,” *J. Public Budgeting, Accounting, Financ. Manag.*, vol. 21, no. 2, pp. 289–317, 2009.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 24 of 34

## Appendix 1 – Base vignettes

### Stelt u zich de volgende situatie voor:

Een collega van u – een medewerker bij stad Antwerpen - is gevraagd een beleidsadvies te schrijven over het vervangen van een aantal fietsenstallingen door openbare zitgelegenheden.

Stadsbewoners maken steeds meer gebruik van de fiets om van en naar het werk en de winkels te geraken. Het stallen van deze fietsen neemt veel spaarzame ruimte in de binnenstad in beslag. Gelijktijdig is er een grote behoefte aan meer openbare zitplaatsen en parkbanken ter ontspanning en om vrienden en familie te ontmoeten. Het vervangen van een aantal fietsenstallingen door openbare zitplaatsen is een oplossing, maar komt ten koste van de schaarse ruimte om fietsen te stallen. Om dit dilemma op te lossen zijn omwonenden gevraagd hun mening te geven over de wenselijkheid van het vervangen van een aantal fietsenstallingen door openbare zitplaatsen en parkbanken.

De inspraak leverde heel wat **<minder/meer>** reacties op dan was verwacht. Deze kwamen **<vooral van een selecte groep actieve omwonenden/van een representatieve groep omwonenden>**. Jouw collega weegt op basis van deze informatie af hoe belangrijk de door

Figure 16. Base vignette 2 (Dutch)

### Stelt u zich de volgende situatie voor:

Een collega van u - medewerker bij stad Antwerpen - is gevraagd een beleidsadvies te schrijven over de aanleg van een nieuwe buurtspeeltuin.

De verwachting is dat een nieuwe buurtspeeltuin de leefbaarheid van de wijk zal vergroten en de wijk aantrekkelijker zal maken voor gezinnen met jonge kinderen. Gelijktijdig wordt verwacht dat de overlast in de wijk zal toenemen. Daarnaast blijft er minder geld over voor andere projecten ter verbetering van de leefbaarheid in de wijk. Om dit dilemma op te lossen zijn omwonenden gevraagd hun mening te geven over de wenselijkheid van een nieuw aan te leggen buurtspeeltuin.

De inspraak leverde heel wat **<minder/meer>** reacties op dan was verwacht. Deze kwamen **<vooral van een selecte groep actieve omwonenden/van een representatieve groep omwonenden>**. Jouw collega weegt op basis van deze informatie af hoe belangrijk de door de omwonenden geleverde informatie wordt in het uiteindelijke beleidsadvies.

## Appendix 2 – Survey questions

### 1. Rule-abidance (1 totally disagree, 7 totally agree)

- a. I am someone who follows the rules even if I do not agree with them.
- b. People and situations are unique and should be treated on a case-by-case basis.
- c. Sometimes it is okay to bend the rules to help a person who deserves it.
- d. When I think a rule is pointless, I will find a way around it.
- e. I figure that rules are there for a purpose.

### 2. Democratic attitudes (1 totally disagree, 7 totally agree)

- a. Democracy may have problems but it is better than any other form of government.
- b. In democracy, the economic system runs badly.
- c. Democracies are indecisive and have too much squabbling.
- d. Democracies are bad at maintaining order.
- e. Having experts, not government, make decisions to what they think is best for the country.
- f. Having a democratic system is best for the country.

### 3. Job-centered red tape perceptions (1 totally disagree, 7 totally agree)

- a. The rules with which I have to comply in my core activities have a clear function for my job activities.
- b. The rules with which I have to comply in my core activities contribute to the goal of my job activities.
- c. The rules with which I have to comply in my core activities help me do my job well.
- d. The rules with which I have to comply in my core activities cause much pressure at work.
- e. The rules with which I have to comply in my core activities take a lot of time to comply with.
- f. The rules with which I have to comply in my core activities cause a lot of delay.

### 4. Attitudes about public participation (1 totally disagree, 7 totally agree)

- a. Citizen participation in the decision-making process reduces my influence as a public official.
- b. Citizen participation slows the decision-making process.
- c. Citizen participation improves the decision-making process by bringing in new ideas.
- d. Citizen participation makes it hard to reach consensus and closure in the decision-making process.
- e. In most instances, the administration would have reached the same decision without citizen input.
- f. The value of public participation is overrated.

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

**5. Attitudes about citizens' competences to participate** (1 totally disagree, 7 totally agree).

- a. Most citizens who participate pursue the interest of the entire community.
- b. Most citizens who participate have the people skills needed to make a valuable contribution.
- c. Most citizens who participate have the expertise or technical knowledge needed to make a valuable contribution.
- d. Most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution.

### Appendix 3 – Respondents' comments and questions

1. inspraak afstemmen op verschillende doelgroepen, ook kinderen en jongeren betrekken.
2. burgerinspraak is enkel nuttig als de buurtbewoners correct geïnformeerd zijn en er voldoende respons is.
3. De vraag is steeds: wat is de mening van de stille, zwijgende meerderheid die wellicht niet komt opdagen bij contactmomenten (moeten we niet meer inzetten op sociale media ipv fysiek overleg).
4. De vragen over de capaciteiten en mogelijkheden van bewoners en de vragen over de kwaliteit van inspraak zijn zeer sterk afhankelijk van de manier waarop inspraak gegeven wordt. Mits voldoende ondersteuning, begeleiding, informatie en een aanpak op maat geloof ik heel sterk in inspraak. Maar jammer genoeg heb ik in de praktijk al heel veel voorbeelden gezien van "schijninspraak" zonder dat voldaan werd aan deze voorwaarden. En bij zulke inspraakprocessen twijfel ik zeer sterk aan de resultaten van de inspraak en de waarde ervan in de besluitvorming.
5. moeilijk! een enkele stelling bevatte een dubbele vraagstelling.
6. niet gemakkelijk.
7. er zaten een aantal vragen (cases) dubbel in. De daaropvolgende vragen hadden naar mijn gevoel betrekking op meer cases, die ik dus niet gezien heb. Best even nakijken.
8. De relevantie van inspraak hangt heel erg van de groep deelnemers. Heel wat deelnemers bekijken niet wat relevant is voor de hele wijk of het totale project, maar wat relevant is voor hen persoonlijk. Daar moet bij analyse van de dat voldoende rekening mee gehouden worden. En dat is net de moeilijkheid. Algemene stelling zijn moeilijk te beoordelen, je moet de relevantie van inspraak dossier per dossier beoordelen. Niet alleen het aantal deelnemers is dan van tel, maar ook de inhoud die ze hebben aangedragen, het inhoudelijke discours enzovoort.
9. Inspraak van burgers is vaak gedragen door irrationele gevoelens of antistemmen. Niet per se tegen het project maar tegen (bestuur, systeem,...). Als bestuur-overheid dienen we mijn inziens voor het positieve project te kiezen rekening te houden met de burger, maar het irrationele filteren. Onderzoek naar het emotionele deel bij de burger wordt zelden opgenomen, omwille van niet weten hoe je dit moet onderzoeken, of het bestuur heeft hier geen aandacht voor.
10. Krijgen we achteraf de resultaten van de bevraging? Dit zou fijn zijn en bedankt.
11. ik denk dat veel samenhangt met het model van burgerinspraak. na het lezen van 'tegen verkiezingen' van Van Reybrouck, ben ik absoluut overtuigd van de meerwaarde van burgerparticipatie, maar er zijn wel een reeks randvoorwaarden. Ad hoc eenmalige inspraakmomenten voor een groep reeds overtuigde actieve burgers, zonder veel kadering van de complexiteit, zoals nu vaak het model is, daar geloof ik niet in.
12. De laatste vraagstelling van het voorlaatste onderdeel was zeer onduidelijk geformuleerd.
13. Burgerparticipatie en zelfs advies van administratie wordt in vele gevallen genegeerd door de politiek om hun eigen agenda uit te voeren of hun 'vrienden' te helpen. Politiek en de daarbij horende corruptie en vriendjespolitiek zal de neergang zijn van de westerse beschaving en idealen.
14. Deze vragenlijst is niet coherent aan de werkwijze voor inspraak, participatie en adviesraden van de stad Antwerpen en lijkt eerder een indicatie dat OS niet op de

- hoogte is van goedgekeurd beleid over inspraak, participatie en adviesraden bij CS, en niet op de hoogte van de jeugdparagraaf en hoe deze toegepast wordt.
15. Graag meer achtergrond bij het doel van deze vragenlijst en inzage in de (volledige) uitkomst zoals het elk participatieproces betaamt... Gezien de soms ethische vragen die gesteld worden en de mogelijk beperkte anonimiteit (cfr de vragen achteraan) is een duidelijkere inleiding en kadering vooraf zeer wenselijk of zelfs nodig.
16. vragen geven geen indicatie over de waarom van de gegeven antwoorden - burgerinspraak vereist van zowel burger als overheid een nieuwe houding en vaardigheden die nog onvoldoende aangeleerd, getraind en ernstig genomen worden.
17. Ik wou even terug (ik geeft intussen formeel GEEN leiding meer) maar dat lukte niet.
18. ik dacht dat een bepaalde case drie maal terugkwam, maar blijkbaar heb ik ze te diagonaal doorgelezen, aangezien er gepolst werd of leeftijd, politieke overtuiging in de cases voorkwamen.
19. Het onderzoek is zinvol, maar de vragen zijn vaak voor interpretatie vatbaar.
20. Als de vraagstelling van een burgerbevraging al 'fout' is, dan kan het resultaat ervan nooit positief zijn. Zo is de keuze tussen fietsenstallingen en zitbanken een vals dilemma in een stad waar het leeuwendeel van de publieke ruimte wordt opgeëist door de auto. Er wordt ook van uitgegaan dat spelende kinderen automatisch 'overlast' zullen opleveren. Het gaat hier dus over een tendentieuze voorstelling van de werkelijkheid.
21. moeilijk om deze vragenlijst in te vullen. Ik ben 100 % fan van burgerinspraak, maar niet zoals het nu concreet toegepast wordt.
22. waar en hoe krijgen kunnen we het resultaat, de bevindingen, het rapport te zien?
23. ik vind de geslachtsvraag niet relevant.
24. ik ben geen inwoner van stad Antwerpen, ik werk wel voor stad Antwerpen dus sommige vragen zijn niet van toepassing op mij.
25. Wat is de doelstelling van dit onderzoeksvraag ? Worden we op de hoogte gesteld van de resultaten ?oek is deze.
26. tijdindicatie of dergelijke over hoelang de bevraging duurt is wel handig.
27. ik had graag ruimte gehad om mijn antwoord toe te lichten.
28. Terugkeren op naar vorige pagina is niet mogelijk!
29. Ik ben geen burger van stad Antwerpen en heb daardoor nog nooit deelgenomen aan een inspraakactiviteit.
30. ik vrees weinig zinvolle resultaten.
31. Bepaalde begrippen (democratie) zijn enorm vaag en breed, wat het eigenlijk onmogelijk maakt om daar een waardeoordeel over te geven.
32. u stelt enkel vragen naar de situatie nu , niet naar de verbetermogelijkheden van burgerparticipatie.
33. verzuimd beleidsverantwoordelijkheden maken dat participatie vaak over deelaspecten moet gaan i.p.v. wa er echt leeft in de buurt - frustrerend voor ons en voor de deelnemers. Na een tijd komen ze niet meer omdat ze het gevoel hebben dat hun manier van kijken (holistisch) niet gewenst is.
34. Inspraakinitiatieven moeten kwaliteit nastreven: goed georganiseerd en begeleid En best representatief zijn.
35. zeer bizarre vragenlijst. Ik zal zeer veel kanttekeningen bij de conclusie plaatsen.
36. Wat meet deze vragenlijst juist? Is er een verborgen diagnostiek?
37. burgerbetrokkenheid is iets anders dan burgerinspraak; democratie is een containerbegrip.
38. Jammer dat er geen invulveld is om nuance aan te brengen in de antwoorden. Ook kwamen enkele vragen 2x voor, een vergissing of niet?

- 
39. Democratie is een containerbegrip. Gelieve dit beter te formuleren wat u hieronder verstaat.
- 
40. weinig verschil gezien in de cases.
- 
41. het toevoegen van 'sterk' maakte het moeilijk om niet vanuit weerstand tegen het directieve / eventueel onredelijke daarvan te antwoorden.
- 
42. ik ben geen inwoner van de stad. Ik vind dat mijn antwoorden verkeerd kunnen geïnterpreteerd worden omdat de case (speeltuin) te weinig info biedt.
- 
43. bij de vraag naar toegenomen tevredenheid van burgers over de besluitvorming antwoorde ik telkens 'oneens' omdat je geen zicht hebt op de impact van het participatief proces op het uiteindelijke besluit, noch op de mate waarin andere omwonenden of andere burgers tevreden zouden zijn met de eventuele impact.
- 
44. Er mist info over de buurtbevraging bij de laatste stelling van deel 2.
- 
45. de vragenlijst is niet goed samengesteld. De vragen mbt regels zijn niet duidelijk. Burgerinspraak is van grote waarde in het besluitvormingsproces, maar het is de verantwoordelijkheid van de overheid om de burgers de kans te geven om hierin een waardevolle rol te spelen ipv de waardevolle rol van de burgers (NIMBY, geen expertise, geen kennis van overheidsprocessen) in vraag te stellen.
- 
46. Ik vulde deze vragenlijst in met inspraak over de buurt van de burger in gedachte. Als ik zou bevraagd worden over inspraak over economische en algemeen sociale thema's zou ik soms iets anders invullen. Ik ben van mening dat veel burgers onvoldoende geïnformeerd zijn om hierover goede keuzes te maken.
- 
47. statutair of contractueel is een erg vooringenomen vraag.
- 
48. problematisch dat je niet kan terugkeren naar vorige blad om de gestelde vragen met elkaar te vergelijken; zijn voor mij in die zin onduidelijk qua opzet van de vraag het grootste probleem bij inspraak wordt namelijk niet aangekaart met name de foute benadering die vandaag in de regelgeving voorzien is. Als men de burger zou bevragen, dan zou men moeten afstappen van het louter vermelden van VOOR of TEGEN. Een zinvolle reactie is "ik ben tegen maar zie daar een volwaardig alternatief" Op deze wijze verplicht men de burger ook verder te kijken dan het klassieke NIMBY syndroom wat vandaag de klassieke reactie is op inspraakreacties. VB niemand wil een gsm mast maar iedereen wil wel zijn gsm kunnen gebruiken en goede ontvangst hebben. Als je mensen verplicht om met alternatieven te komen, dan is de mogelijkheid om betere ontwerpen reeel. Ten slotte verbiedt de rol van advocaten in inspraakrondes want dan vraag je om problemen.
- 
49. vragen ivm fiets/bank en buurthuis worden 2\* identiek gesteld...
- 
50. Ik ben voorstander van een besluitvorming die gebeurt door een combinatie van experts en ervaringsdeskundigen. Als ambtenaar merk ik dat de politiek niet bezig is met het werkbaar maken van de overheidsinstellingen, maar meer bezig zijn met hun ideologie en hun winst bij de verkiezingen, het blijkt ook meer een strijd tussen verschillende personen en meningen dan het oplossen van problemen in het veld en het op een rationele humane manier organiseren van een maatschappij. Economie en geld speelt een te grote rol in besluitvorming waarbij het welzijn van de mens minder en minder een rol in krijgt. Ik krijg meer en meer het gevoel dat de maatschappij gegijzeld wordt door ons politieke beslag dan dat het goed doet. Ik vind het een nare gedachte dat eender wie minister kan worden van een bepaald domein zonder enige vorm van opleiding of ervaring in dat domein en daar dan ook belangrijke dossiers moet behandelen naar goeddunken, los van hun kabinet en zogezegde experts die meestal ook een partijkaart hebben of gelieerd zijn aan de partij als broodheer.
- 
51. Krijgen we feedback over het verder verloop van dit onderzoek?
-

- 
52. Sommige woorden zijn voor interpretatie vatbaar. Zo is een advies van een ambtenaar niet noodzakelijk bepalend voor welke besluit er wordt genomen. En het nemen van een besluit, is nog iets anders dan besluitvorming of het besluitvormingsproces. Het was in de vragen weinig duidelijk wat er exact werd bedoeld.
- 
53. Het eerste voorbeeld heb ik foutief gescoord. Ik was het oneens i.p.v. eens met al de stellingen. Het advies zou ik niet teveel laten afhangen van de actieve groep omwonenden.
- 
54. Ik vond de vragen nogal sturend en insinueert een negatieve waarde over inspraak. Daarnaast wil ik meegeven dat democratie impliceert dat elke burger voldoende en volledig is geïnformeerd over het programma van de verschillende partijen. dat is geenszins het geval, waardoor ik mijn vraagtekens heb bij onze vooronderstelling dat we een democratisch besturingsstelsel hebben.
- 
55. Burgerinitiatief is goed. De ene wijk is echter de andere niet. In achtergestelde wijken wordt het lastiger om burgers in complexe dossiers te betrekken. Ik zeg niet onnodig, maar wel dus complexer.
- 
56. De staatsstructuur van België is een representatieve democratie. Deze vorm van besturen maakt burgerinspraak m.i. overbodig. De burger heeft met de verkiezingen de mogelijkheid om zijn vertegenwoordiger aan te duiden. De democratische vertegenwoordigers moeten de gelegenheid krijgen om gedurende hun termijn hun doelstellingen te realiseren zonder interferentie van burgerinitiatieven. Dit vertraagt het besluitvormingsproces. Bij het optreden van een overheid moet er steeds vanuit gegaan worden dat de overheid optreedt namens het algemeen belang. Burgerinitiatieven vertrekken zelden vanuit het algemeen belang maar vanuit een beperkt gedeeld groepsbelang. Ik ben niet overtuigd van de meerwaarde van burgerinspraak.
- 
57. De laatste vragenlijst gaat over wat ik van "de meeste burgers" denk dat ze kunnen. Wat over een aantal gaat, een veralgemening. De meeste mensen kunnen misschien nog niet dit of dat, maar in elke buurt zijn er wel mensen die dit of dat wél al kunnen...Heb hier nu eerder oneens gezet, maar voel me er niet goed bij omdat ik wel geloof in de capaciteit van de burgers.
- 
58. sommige vragen zijn zeer strikt gesteld wat mij verplichtte om een antwoord te geven waarbij is graag iets meer nuance gaf.
- 
59. er bestaan verschillende vormen van democratie: lastig om algemene uitspraken hierover te doen zonder te weten over welk model het gaat.
- 
60. ik wil graag op de hoogte gehouden worden van de resultaten van het onderzoek.
- 
61. Er werd in de laatste vragen gevraagd of ik positief/negatieve ervaringen heb met inspraak. Deze vragen zijn moeilijk te beantwoorden. De ene keer waren de resultaten positief (aanleg speelterreinen) De andere keer negatief. Het is sterk afhankelijk waarvoor de inspraak georganiseerd wordt. Bovendien blijft de beslissingsbevoegdheid, in de huidige inspraakprocedures van de stad, bij de politiekier liggen. Deze kan de inspraak gewoon naast zich neer leggen. De participatie in Antwerpen en haar districten blijft daardoor steken in een adviserende rol.
- 
62. De antwoorden zijn niet zo zwart/wit als dat ze hier geformuleerd moeten worden en vergen eigenlijk wat toelichting.
- 
63. Graag feedback achteraf over de resultaten.
- 
64. Burgerinspraak kan een bijkomende invalshoek bieden, maar is daarom niet bepalend voor de kwaliteit van een advies.
- 
65. vragen over ervaringen: er zit geen opdeling naar voor en na de bestuurswissel; participatie heeft toch een andere betekenis en invulling gekregen.
-



- 
66. Een van de laatste vragen veronderstelde dat ik burger was/ben van de stad Antwerpen. Dit ben ik niet.
- 
67. Eén ding ontbreekt nl. de gebruikte methodieken voor inspraakmomenten. In de inspraakmomenten waar ik aan deelnam werd steevast, na een informatiesessie in plenum, de groep participanten uiteen gehaald. Vraagstelling kon enkel individueel. Dit maakte dat geen gezamenlijke standpunten konden geformuleerd, men ook de kritische bemerkingen van anderen niet kon horen. Dit lijkt een doelbewuste strategie en laat echte inspraak niet toe.
- 
68. Er zijn geen vragen opgenomen over de manier waarop inspraak wordt georganiseerd. Ik ben van mening dat de kwaliteit daar mee van afhankelijk is.
- 
69. Ik vond het moeilijk om in te schatten wat het effect is van burgerinspraak is omdat ik te weinig van de materie ken.
- 
70. Ik ben grote fan van de burgerbegroting, maar zou het niet zover laten gaan dat ook de burgers zelf met de opgemaakte burgerbegroting projecten indienen. Die zijn vaak van een te laag kwaliteitsniveau. Inspraak en organisatie zijn 2 totaal verschillende domeinen.
- 
71. Weinig mogelijkheid tot nuance. Graag had ik kunnen motiveren waarom ik een bepaalde keuze gemaakt heb. Veel succes alvast.
- 
72. vraag inzake 'info over leeftijd, politieke voorkeur, etc ' was behoorlijk onduidelijk. deze zaken vond ik impliciet aan 'goede doorsnee van de omwonenden', dus hoewel dus geen expliciet info ja geantwoord.
- 
73. Graag terugkoppeling van de resultaten :-)
- 
74. benieuwd naar de laatste vraag!
- 
75. ik ben een beetje verbaasd dat ik deze lijst moet invullen, want ik evalueer geen besluitvorming inhoudelijk enkel puur op punten op komma's.
- 
76. de vragen zijn te algemeen, sturen aan op veralgemening. Ik vind dit geen goede vragen om conclusies uit te trekken.
- 
77. Worden de politieke mandatarissen / kabinettairs ook bevraagd? Hoe anders denken zij er over.
- 
78. Mijn antwoorden waren niet heel erg uitgesproken, omdat ik burgerinspraak heel erg belangrijk vind, maar wel beschou als één van de vele parameters die op een project inwerken. Het draagvlak in de buurt is essentieel, maar hangt mede af van hoeveel mensen er inspraak hebben gegeven en hoe representatief die groep is voor de bevolkingsopbouw van de wijk. Het mag niet zo zijn dat één beperkte maar mondige groep de mening van de buurt bepaalt. Daarom is de koppeling met de buurtopbouw cruciaal.
- 
79. ik heb kennis over leeftijd, achtergrond etc van bewoners als JA aangeduid, hoewel er geen specifieke gegevens over gegeven waren, maar wel het gegeven dat het voldoende uiteenlopend was op die vlakken. Wat voor mij belangrijke info is: niet specifiek elke leeftijd/herkomst/etc, wel dat een voldoende afspiegeling is. Dus de vraag of er info over werd gegeven vond ik niet eenvoudig
- 
80. Het leek of er een paar keer dezelfde vraag werd gesteld was niet duidelijk (of onderscheid niet duidelijk ).
- 
81. Ja, zeker de eerste stellingen over het volgen van de regels vond ik het jammer dat je geen vrij vak had om je keuzes te beargumenteren: de voorbeelden/stellingen waren voor mij niet duidelijk genoeg omschreven, kader/context speelt ook altijd mee, proactief mogen nadenken en aanbevelingen doen om de dienstverlening te verbeteren en de werkdruk/regeldruk te verlagen miste ik.
- 
82. Vragenlijst invullen is een zwart wit gebeuren. Beter in dialoog gaan.
-

- 
83. 3 vragen betreft leeftijd/geslacht/... ; ik heb aangeduid dat dit niet vermeld werd. Impliciet wel omdat er in bepaalde gevallen "een goede doorsnede" werd gemaakt
- 
84. Graag in het vervolg ook een "naar vorige pagina" voorzien, zodat aanpassing of controle nog mogelijk is.
- 
85. ik mis de vraag, bent u in uw carrière met burgerparticipatie in aanmerking geweest.
- 
86. de vragen zijn weinig genuanceerd, scheren burgers over dezelfde kam, volgens van regelgeving is niet gekaderd.
- 
87. Geen burger van de stad Antwerpen.
- 
88. burgerinspraak kan een duidelijke meerwaarde betekenen voor de gedragenheid en het inspelen op de lokale noden, op voorwaarde dat er een voldoende representatieve groep betrokken wordt en dit duidelijk gekaderd wordt zodat mensen gericht/voldoende geïnformeerd input kunnen geven.
- 
89. Moeilijk om genuanceerd genoeg te kunnen antwoorden.
- 
90. Als ik de cases lees, dan merk ik op dat de omwonenden van de buurt zijn betrokken in de bevraging, maar ik mis een extra case waar ook de fietsers (die misschien niet direct de buurtbewoners zijn, maar van iets verder komen) werden meegenomen in het onderzoek. En dat doet mijn antwoorden natuurlijk verschillen dan als die doelgroep wel in het onderzoek zouden zijn opgenomen.
- 
91. Ik heb vooral mijn mening als burger gegeven; Bij de herhaling van de vragen kwam mijn geheugen goed van pas: ik had onthouden wat ik bij de vorige keer had ingevuld, en kon dit bij elke verschijning van dezelfde vraag opnieuw reproduceren. Van consequentie gesproken!
- 
92. ik heb nog nooit als burger van Stad Antwerpen deelgenomen aan inspraak, maar wel als inwoner van het dorp waar ik woon.
- 
93. Heel interessant onderwerp, de huidige vorm van democratie mag niet zomaar vanzelfsprekend genomen worden.
- 
94. Spellingsfouten door automatische vertaling.
- 
95. Cases mbt burgerinspraak zijn redelijk vaak wat het moeilijk maar een gefundeerd oordeel te vormen. Bv. over de speeltuin, kent de buurt al veel jonge gezinnen? Of wil de stad meer jonge gezinnen naar een buurt lokken waar heel weinig jonge gezinnen wonen? In het laatste geval gaat de burgerinspraak minder van toepassing/waardevol zijn.
- 
96. Soms wat bedenkingen bij de nuances. Bv eerste vragen over hoeveel rekening houden met regelgeving: dit dient steeds in de context geplaatst te worden. Gaat het om wetgeving, dan volg ik deze uiteraard. Gaat het om interne richtlijnen, dan kan het zijn dat er bekeken wordt of deze bijgestuurd moeten worden als deze niet lijken te kloppen.
- 
97. best voldoende werk om dit geconcentreerd te kunnen invullen.
- 
98. Intro vragen rond democratie waren te algemeen. Deze begrippen kunnen daarna divers ingevuld worden waardoor mijn antwoorden niet representatief zijn. Cases waren vormelijk en inhoudelijk te weinig aantrekkelijk om aandachtig te lezen. Dus kon eigenlijk niet antwoorden op shiftingsvragen/checklist vragen dus daar ook naast waar/onwaar, ik weet het niet zetten. Tot slot voor iemand die rond (burger)participatie werkt had ik wel verwacht dat vragenlijst minder administratief opgesteld zou worden. Je moet mensen motiveren om hun mening te geven binnen een neutraal kader. 1. Vragenlijst was te saai, ook wat vormgeving betreft 2. Vragenlijst was inhoudelijk te dubbelzinnig. Ik heb geen vertrouwen in een juiste verwerking van de data. Kan aan mij liggen, maar is wel een aandachtspunt.
-

WP2 Willingness to Engage – City of Antwerp

Final – 05.06.2018

- 
99. Is niet echt van toepassing op onze afdeling aangezien we weinig met burgers samenwerken. We werken vooral met bedrijven en bezoekers.
- 
100. om de leefbaarheid in een grootstad te bevorderen is burgerinspraak absoluut noodzakelijk, ook al is het niet altijd simpel om dit in goede banen te leiden. Te veel inspraak kan echter tot 'Oosterweelvertragingen' zorgen, wat in het algemeen belang niet verantwoord is.
- 
101. erg nuttige bevraging, alleen de antwoorden leken soms te zwart-wit voorgesteld.
- 
102. Vond hem iets te beperkt, te weinig kans tot enige nuancering.
- 
103. inspraak is belangrijk, maar de vraagstelling en interpretatie evenzeer, op dit vlak is er nog een hele weg af te leggen.
- 
104. De kwaliteit van burgerparticipatie hangt grotendeels af van wie (welke burgers) input geven.
- 
105. ivm (technische) voorkennis burgers of kennis ivm werking overheid: dit is iets wat ze kunnen en moeten leren uit inspraakprocessen. Burgers streven het algemeen belang niet na; ze zijn het algemeen belang. vandaar is een representatieve afvaardiging van de bevolking essentieel in inspraakprocessen.
- 
106. Graag wil ik weten wat wetenschappelijk onderzoek aantoont over het belang van burgerinspraak en hoe je daar mee om gaat. Ik krijg ook signalen van OCMW klanten en maatschappelijk werkers. Op welke manier kan je dat best plaatsen of doorgeven naar het beleid, naar adviezen over mijn thema specifiek en over andere thema's in het algemeen. Ik werk op de dienst Gezondheid.
- 
107. Power to the people!
- 
108. Ik vind burgerparticipatie uiterst belangrijk. Maar even belangrijk is de wijze waarop dit gebeurt. Burgers moeten de gelegenheid krijgen zich grondig te informeren om op een gelijkwaardige positie met het bestuur in dialoog te gaan.
- 
109. te vaag niet concreet genoeg.
- 
110. wat is het doel?
- 
111. Onze afdeling (loketwerking) zat niet tussen de mogelijke domeinen waar ik uit kon kiezen.
- 
112. Inspraak van de burger is goed omdat dit eerder algemene praktische zaken (verzuchtingen) naar boven zal brengen waar de ontwerpers mogelijk niet aan denken. ( vooral bij dossiers ivm stratenaanleg e.d.).
-

## Appendix III. Willingness to engage descriptive results - use case: VARAM

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018



**Empowering Citizens to Transform  
European Public Administrations**

---

---

**Public Officials' Willingness to Engage**

**Descriptive results VARAM**

---

---

<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Responsible Partner:</b>	KU Leuven
<b>Status-Version:</b>	Final
<b>Date:</b>	05/06/2018
<b>Distribution level (CO, PU):</b>	KU Leuven & VARAM

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

<b>Project Number:</b>	GA 726755
<b>Project Title:</b>	CITADEL
<b>Title</b>	Public Officials' Willingness to Engage – Descriptive results of the VARAM survey
<b>Work package responsible for the Deliverable:</b>	WP2 – Understand to Transform
<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Abstract:</b>	This report presents the descriptive results of the WP2 <i>Public Officials Willingness to Engage</i> survey conducted at VARAM between February 27 <sup>th</sup> and May 16 <sup>th</sup> , 2018. The design, fielding, and the descriptive results are discussed.
<b>Keyword List:</b>	WP2, Public Officials Willingness to Engage, Descriptive results, Survey, VARAM
<b>Disclaimer</b>	This document reflects only the author's views and neither Agency nor the Commission are responsible for any use that may be made of the information contained therein

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 2 of 25

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

---

---

## Document Description

---

---

### Document Revision History

Version	Date	Modifications Introduced	
		Modification Reason	Modified by
v.01	24-05-2018	First draft version	Koen Migchelbrink

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 3 of 25

---

## Table of Contents

---

Table of Contents .....	4
List of Figures .....	5
Terms and abbreviations.....	5
Executive Summary .....	6
Introduction .....	7
1 Design and Fielding of the study .....	8
2 Results .....	9
2.1 Rule-abiding attitudes .....	9
2.2 Democratic Attitudes .....	10
2.3 Job-centered red tape perceptions.....	11
2.4 Attitudes about citizen participation .....	12
2.5 Attitudes about citizens' participation competences .....	13
2.6 Previous experience with participation .....	14
2.7 Sample characteristics.....	15
2.7.1 Age.....	15
2.7.2 Gender.....	15
2.7.3 Department.....	16
2.7.4 Educational attainment.....	16
Bibliography .....	18
Appendix 1 – Participated Institutions.....	20
Appendix 2 – Survey Questions.....	21
Appendix 3 – Respondents' questions and comments .....	23

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

---

## List of Figures

---

FIGURE 1. RULE-ABIDING ATTITUDES .....	9
FIGURE 2. DEMOCRATIC ATTITUDES.....	<b>ERROR! BOOKMARK NOT DEFINED.</b>
FIGURE 3. JOB-CENTERED RED TAPE PERCEPTIONS .....	11
FIGURE 4. ATTITUDES ABOUT CITIZEN PARTICIPATION .....	12
FIGURE 5. ATTITUDES ABOUT CITIZENS' PARTICIPATION COMPETENCES .....	13
FIGURE 6. PREVIOUS PARTICIPATION EXPERIENCE .....	14
FIGURE 7. SATISFACTION PREVIOUS PARTICIPATION EXPERIENCES.....	14
FIGURE 8. SAMPLE AGE DISTRIBUTION .....	15
FIGURE 9. SAMPLE GENDER PROPORTIONS .....	15
FIGURE 10. SAMPLE DISTRIBUTION OF MINISTERIAL DEPARTMENTS .....	16
FIGURE 11. EDUCATIONAL ATTAINMENT.....	17

---

## Terms and abbreviations

---

VARAM	Vides aizsardzības un reģionālās attīstības ministrija
WP	Work package



## **Executive Summary**

In this report, we present the descriptive results of the WP2 survey *Public Officials' Willingness to Engage with Citizens* conducted at VARAM. The survey was fielded between February 27<sup>th</sup> and March 16<sup>th</sup>, 2018. A total of 114 respondents from VARAM and VARAM's subordinated institutions took part in the survey (response rate = 49%).

According to the results, respondents display rule-abiding attitudes and support the abstract ideal of democracy as a government system. Job-centered red tape is not an issue among the respondents. Attitudes on specific issues of public participation vary considerably and respondents appear to believe citizens do not have the competences to make a valuable contribution to the administrative decision-making process. Finally, the overall experience with public participation is low, but those who have prior experience are positive about those experiences.

The results presented in this report are strictly descriptive.

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

## Introduction

The purpose of this document is to present the Ministry of Environmental Protection and Regional Development of the Republic of Latvia (Vides aizsardzības un reģionālās attīstības ministrija; VARAM) with a descriptive analysis of the results of the *CITADEL WP2 Public Officials' Willingness to Engage with Citizens* survey.

In the paragraphs below, we analyze the descriptive results regarding respondents' rule-abiding attitudes of the respondents, democratic attitudes, job-centered red tape perceptions, attitudes toward citizen participation, perceptions of citizens' competences to participate in administrative decision-making, and previous experiences with public participation. We start with a short note on the design and fielding of the survey.

The authors would like to thank Mr. Gatis Ozols and Ms. Inese Viktorija Grospine from the Project Management Division of VARAM for their support.

## 1 Design and Fielding of the study

The survey of which this document presents the descriptive results is part of the H2020 Empowering Citizens to TrAnsform European Administrations (CITADEL) project. The aim of the survey is to measure the effect of input legitimacy of public officials' willingness to engage citizens in administrative decision-making. The study is conducted as part of Work Package 2 *Understand to transform*, as part of the responsibilities under tasks T2.1 *Collect and monitor information from different sources* and T2.3 *Analyze the relevant information to produce KPI Intelligence and recommendation*. The survey provides content to deliverables D2.1 *Requirements and parameters for selection of relevant information* and D2.2 *Initial recommendations for transforming the public sector processes and services*.

The survey instrument contained five survey batteries with four to seven items each. The first battery is designed to measure public officials' rule-abidance (bureaucratic attitudes). The second measures public officials' democratic attitudes. The third battery measures public officials' job-centered red tape perceptions. The fourth is a hybrid instrument, measuring different attitudes toward citizen participation. The final survey battery measures public officials' attitudes on citizens' competences to participate in administrative decision-making (see appendix 2 for the full list of survey items). In addition, several individual-level background questions are asked to determine the sample characteristics.

In this study, we focus on higher-level public officials responsible for policy-making and policy-implementation. Among these public officials are the unit and department heads, as well as senior experts, both within the central VARAM administration and among its subordinate institutions. This group of public officials is operationalized as all public officials working within the VARAM administration or among its direct subordinate institutions, with the administrative grade four or higher. Close cooperation with the VARAM Project Management Division ensured access to the target population. The Project Management Division sent a letter to all departments and subordinate organizations in which they explained the reason for the study, and the need for their participation. We included the entire population in the sample frame and pursued a total population sampling strategy.

The survey was administered online, using the online survey application Qualtrics ([www.qualtrics.com/uk/](http://www.qualtrics.com/uk/)). Qualtrics is ISO 27001 certified and GDPR compatible (1). The survey was conducted in the vernacular (Latvian). The VARAM Project Management division provided the translation of the survey instrument.

The initial data frame contained 233 individuals (N = 233). The study was fielded between February 27<sup>th</sup> and March 16<sup>th</sup>. 130 individuals reacted to the invitation or one of the two reminders. Not all of them are considered respondents. Four individuals failed to provide their informed consent and were excluded from the study. A further eleven individuals did provide informed consent failed to produce any answers to the survey. They too were excluded from the survey. The total number of respondents was n = 114, a response rate of 48.93%.

## 2 Results

### 2.1 Rule-abiding attitudes

We measured the bureaucratic attitudes of respondents using rule-abidance attitudes. Bureaucratic attitudes are associated with public officials' rule-abiding identities. Rule-abiding identities are self-assessed projections of what it means to follow administrative rules and guidelines in particular administrative circumstances. In general, rule-following behavior is indicative of traditional bureaucratic attitudes, whereas discretion-using attitudes are indicative of a departure of the traditional view in favor of more responsiveness to individual citizens (2).

We use items from two sources to measure public officials rule-abiding attitudes. The first three items are borrowed from Oberfield's 2009 study on continuity and change during organizational socialization (2). The last two items are borrowed from Portillo and DeHart-Davis' 2009 study on gender and organizational rule abidance (3). Portillo and DeHart-Davis borrowed them from Baker et al (4) and Gordon (5). Figure 1 displays respondents' rule-abiding attitudes.

Figure 1 displays respondents' rule-abiding attitudes on a scale of 1 (not agree at all) to 7 (totally agree). The two outer items are indicative for rule-abidance, the central three for a discretion-based outlook. The majority of observations indicate a rule-abiding outlook among the respondents. At the same time, the respondents are positive about: *People and situations are unique and should be treated on a case-by-case basis*, indicative of a discretion-based outlook.

The results are not unambiguous; there is evidence both for a traditional bureaucratic identity and a more discretion-based identity. The rules with which respondents have to comply in their core activities appear to indicate that the respondents are in favor of client-centered services but are hesitant when it requires bending or subverting the rules.



Figure 1. Rule-Abiding Attitudes

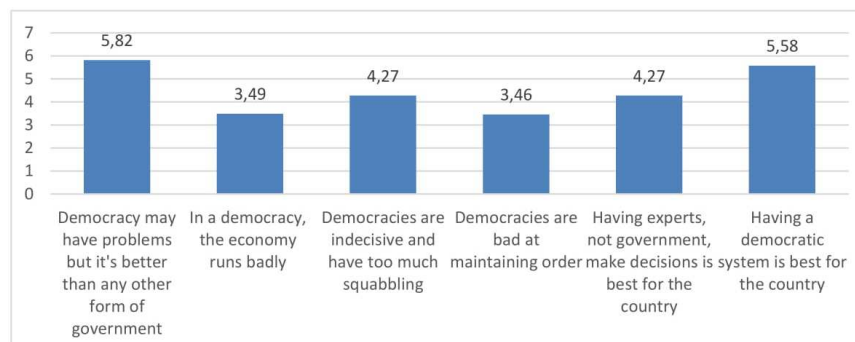
## 2.2 Democratic Attitudes

Citizen participation in administrative decision-making is seen as a mechanism to increase the democratic character of public governance and administration (6). It responds to the democratic ideal that citizens should have a direct say in the rules and regulations that govern them. Public officials' own democracy perceptions could serve as an important explanatory variable explaining public officials' willingness to engage with citizens in administrative decision-making.

We measured respondents' democratic attitudes using items from two sources. The first four items are borrowed from Bertou and Pastorella's (7) study into citizens' perspectives on expert decision-making. The last two items are based on the 6<sup>th</sup> wave of the World Values Survey (8). Figure 2 shows the mean scores for the six democratic attitudes on a scale between 1 (totally disagree) and 7 (totally agree).

The first and last items in the figure show strong support for the abstract conception of democracy. In general, respondents agree that *Democracy may have problems but it's better than any other form of government* and *Having a democratic system is best for the country*. At the same time, respondents state that *Having experts, not government make decisions is best for the country*, and marginal support for *Democracies are indecisive and have too much squabbling*. Respondents appear to disagree with the statements that *in a democracy, the economic system runs badly* and that *Democracies are bad at maintaining order*.

Overall, respondents show support for the concept of democracy as a system of government, while being critical of specific elements of a democratic system.



### 2.3 Job-centered red tape perceptions

Public officials could be unwilling to engage with citizens because they perceive the inclusion of citizens as an unwanted burden (9). Yang and Pandey argue that “Mangers who are trapped by more red tape are less tolerant of risk taking and change [...], which are necessary if effective participation outcomes are expected” (7, p. 882). Red tape is defined as: “rules, regulations, and procedures that remain in force and entail a compliance burden for the organization but have no efficacy for the rules’ functional object” (8, p. 283). This definition contains two elements of red-tape: lack of functionality and a compliance burden (10, 11). A lack of functionality refers to the inability of the rules to meet operational requirements; they are not serving the stated objectives. A compliance burden is described as the excessive need for time, energy, or other resources necessary for complying with the rules (11). We use the two-dimensional job-centered red tape scale developed by Van Loon, Leisink, Knies, and Brewers (11) to measure the job-related red tape perceptions of the respondents.

Figure 3 displays respondents’ mean scores for job-centered red tape perceptions on a scale of 1 (totally disagree) to 7 (totally agree). The first three items measure perceptions of rules’ lack of functionality. The last three measure the perceived compliance burden. Importantly, the first three items are reverse formulated (indicating no lack of functionality).

The first three items show relatively high mean scores. These scores indicate that respondents – in general – are relatively positive about the reverse coded measures of a lack of functionality of the rules with which they have to comply in their core activities. Put differently, there is little support that respondents from VARAM and VARAM’s subordinated organizations perceive the rules with which they have to comply in their core activities lack functionality. The last three items display marginally positive mean scores. These scores indicate that respondents perceive the compliance burden of the rules with which they have to comply in their core activities limited.

Overall, the job-centered red tape perceptions among the respondents from VARAM and VARAM’s subordinate institutions are limited. Overall, rules are assessed as possessing at least some degree of functionality, while the compliance burden is not seen as problematic.

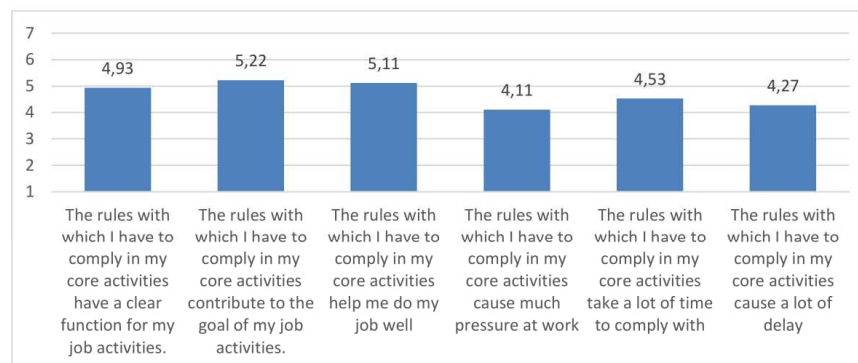


Figure 2. Job-centered red tape perceptions



2.4 Attitudes about citizen participation

In addition, public officials’ willingness to engage with citizens in administrative decision-making can be influenced by specific attitudes and opinions about citizen participation. Some of these attitudes are examined in other studies (9, 12). We measure respondents’ specific attitudes toward citizen participation using the Participation Outcome instrument by Yang and Pandey (9) and two items of the Responsiveness to Participatory Values instrument by Yang and Callahan (13).

The mean scores are presented in figure 4. The scores range from 1 (totally disagree) to 7 (totally agree). The first four items came from Yang and Pandey’s Participation Outcome instrument and the last two items come from Yang and Callahan’s Responsiveness to Participatory Values instrument.

The figure displays a lot of variation. Of the three items with a score above 4, one is supportive and two are unsupportive of public participation. Respondents agree that citizen participation improves the decision-making process by bringing in new ideas. At the same time, they agree that citizen participation slows the decision-making process and that citizen participation makes it harder to reach consensus and closure in the decision making process. On the other hand, respondents generally do not support the claims that in most instances the administration would have reached the same decision without citizen input or that the value of public participation is overrated. More strikingly, the respondents generally disagree with the statement that citizen participation in the decision-making process reduces their influence as a public official.

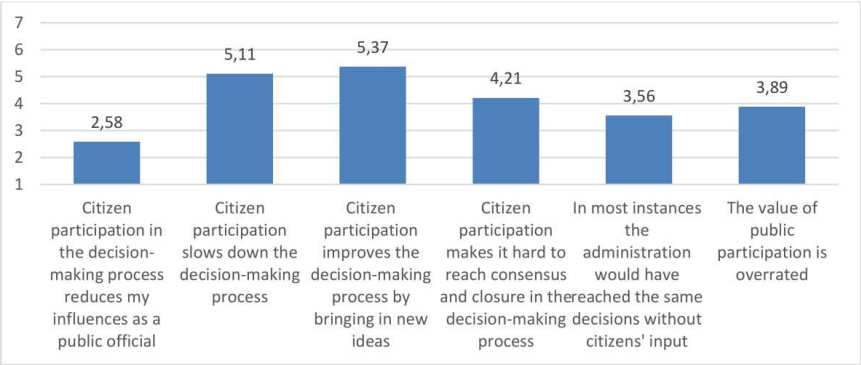


Figure 3. Attitudes about citizen participation

## 2.5 Attitudes about citizens' participation competences

Public officials' willingness to engage with citizens in administrative decision-making is also dependent on their assessments of citizens' participation competences to participate (9). Most studies agree that citizens lack the knowledge to participate effectively (12–15). At the same time, Yang and Pandey concluded that public officials' perceptions of citizen competences were strongly and positively associated with participation outcomes (9).

We use four items to measure respondents' attitudes about the participation competence. The first two are formulated to measure general attitudes about citizen competences. The latter two items are. Figure 5 displays the mean scores of respondents' attitudes about citizens' participation competences.

None of the items displays mean scores above 4. Overall, respondents disagree with the general statement that citizens have the skills needed to make a valuable contribution. Their disagreement becomes more pronounced when we inform about specific citizen competences. We informed about attitudes on citizens' expertise or technical knowledge, and civic knowledge needed to make a valuable contribution. The strongest mean disagreement is displayed when respondents are asked if most citizens who participate pursue the interests of the entire community. It appears that most respondents believe citizens participate because of their own self-interest.

Overall, the survey indicates that respondents – in general – do not believe that most citizens who participate have the competences needed to make a valuable contribution to the decision making process.

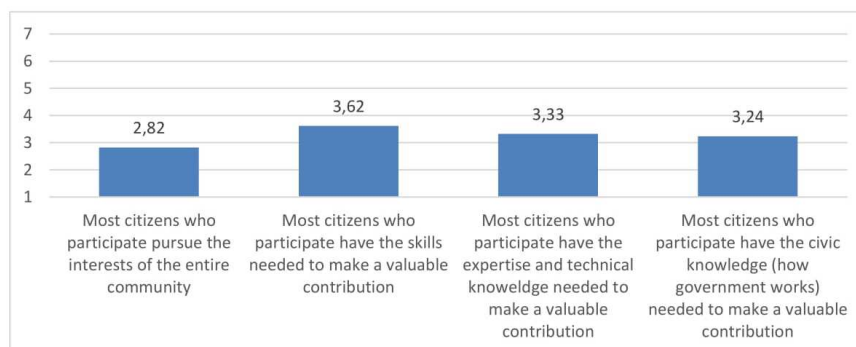


Figure 4. Attitudes about citizens' participation competences



## 2.6 Previous experience with participation

Another factor influencing public officials' willingness to use public participation in administrative decision-making is prior participatory experiences. Prior experience can increase or decrease public officials' willingness to engage with citizens. On the one hand, positive experiences are shown to have a positive effect on public officials' assessments of public participation. Public officials are accustomed to citizens having a role in decision-making and are aware of the possible beneficial effects of inclusion (14–16). On the other hand, negative previous experiences can reduce public officials' willingness to engage citizens in administrative decision-making. For example when media reports negatively about participation activities (12).

We measure respondents' participation experiences on a five-point scale (1 never, 5 always) using two self-assessment questions. Public officials can have prior public participation experience either as a professional or as a private citizen. Figure 6 displays respondents' participation experiences, both for experience as a private individual and as a public official. Respondents report low participation experience ("sometimes"). Comparatively, the figure appears to suggest that respondents are more experienced with participation in a professional than in a private context.

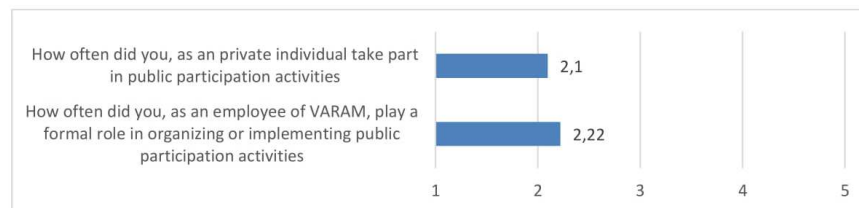


Figure 5. Previous participation experience

Additionally, we asked respondents with prior participation experience to indicate whether those experiences were positive or negative. Figure 7 displays their mean scores on a five-point scale (1 negative, 5 positive). Overall, respondents with experience with public participation reported that these experiences, both as a private individual and a public official were positive.

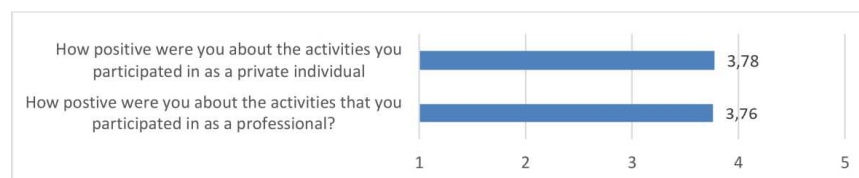


Figure 6. Satisfaction previous participation experiences

## 2.7 Sample characteristics

### 2.7.1 Age

The average age of the respondents is 40 years old. The age distribution ranges from 18 years to 68 years old. The standard deviation equals ten years, indicating a wide range of age categories. The modal age value lies just above 35 years. The slight right-sighted skewedness indicates an age distribution with a relatively young population. Figure 8 displays the age distribution (frequencies) of the participants in years.

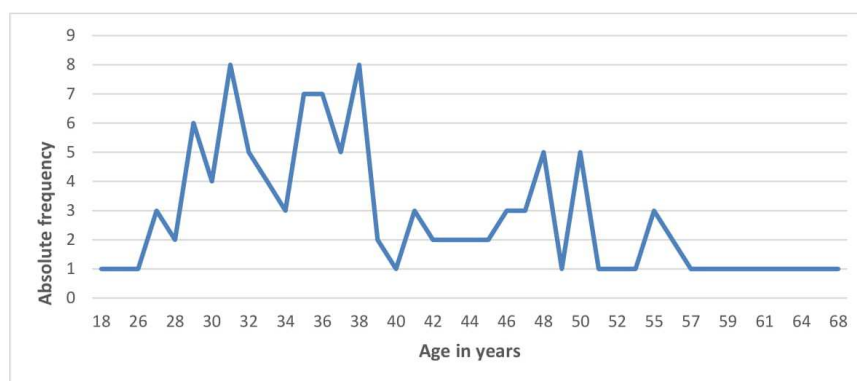


Figure 7. Sample Age distribution

### 2.7.2 Gender

The gender distribution is presented in figure 9. The percentage of women in the sample is considerably larger than the percentage of men. The sample contains 79 women (69.9%) women and 31 men (27.4%). Three individuals did not want to share their gender ("x"). Figure 9 displays the gender proportions in percentages compared to the gender distribution of the population.

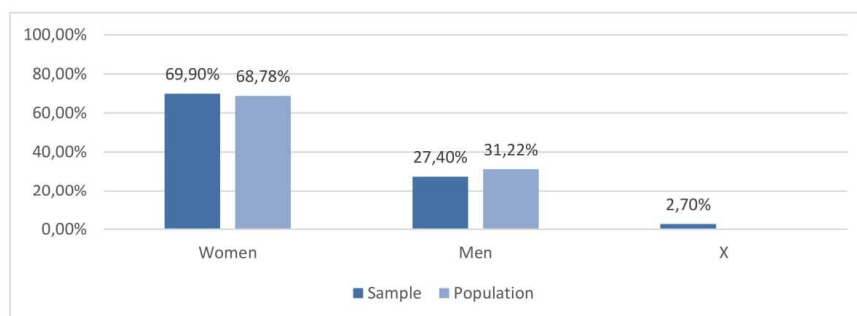


Figure 8. Sample Gender proportions

2.7.3 Department

The survey contains respondents from 15 departments. Three departments are unrepresented (Budget & Finance Department, Internal Audit department, and the Investment Supervision department). The Public Relations department is represented by one employee, while the Procurement Department, the Public Services Department, and the Ministry’s Management department, and are represented by two each. On the other hand, the Development Instruments department and the Investment Policy Department are represented by twelve respondents each, and the Department of Environmental Protection 14. Figure 10 displays the sample distribution of ministerial departments.

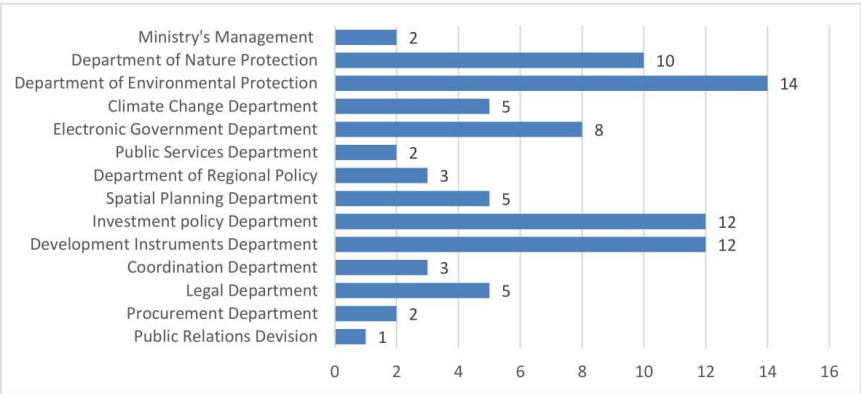


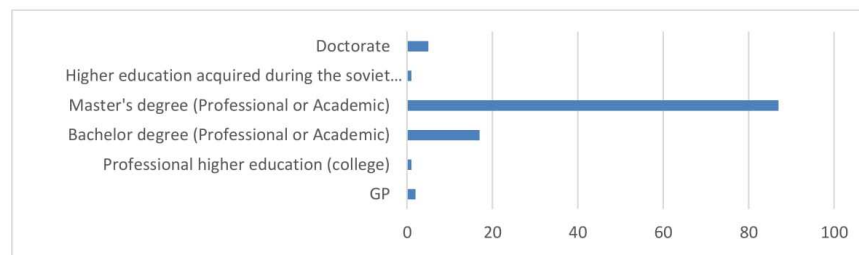
Figure 9. Sample distribution of Ministerial Departments

2.7.4 Educational attainment

The final parameter used to describe the sample characteristics is educational attainment. We used the educational attainment scale of the fourth round of the European Social Survey (2), the latest round in which Latvia was included. Figure 11 displays the distribution of educational attainment in our sample. 87 respondents have attained a professional or academic master’s degree (77%). 17 respondents attained a professional or academic bachelor degree (15%) and five respondents attained a doctorate (4.4%). 1 respondent did not state his/her educational attainment (“GP”), 1 was educated in the soviet period, 1 went to college as highest attained education, and 1 had primary education as highest attainment of education.

## WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018



**Figure 10. Educational attainment**

## Bibliography

1. QUALTRICS. Safe. Secure. And ready for GDPR. [online]. [Accessed 14 May 2018]. Available from: [https://www.qualtrics.com/uk/platform/gdpr/other matters more to us than the security of your data. For over a decade now, Qualtrics has been the most secure platform on the market – and we're staying that way. So, when the EU's new General Data Protection Regulation \(GDPR\) come into force, we've got you covered.](https://www.qualtrics.com/uk/platform/gdpr/other matters more to us than the security of your data. For over a decade now, Qualtrics has been the most secure platform on the market – and we're staying that way. So, when the EU's new General Data Protection Regulation (GDPR) come into force, we've got you covered.)
2. ESS ERIC. *European Social Survey Round 4 Data* [online]. 2008. Norwegian Centre for Research Data. Available from: [http://www.europeansocialsurvey.org/data/conditions\\_of\\_use.html](http://www.europeansocialsurvey.org/data/conditions_of_use.html)
3. OBERFIELD, Z.W. Rule Following and Discretion at Government's Frontlines: Continuity and Change during Organization Socialization. *Journal of Public Administration Research and Theory*. 2009. Vol. 70, p. 735–755.
4. PORTILLO, S. and DEHART-DAVIS, L. Gender and Organizational Rule Abidance. *Public Administration Review*. 2009. Vol. 69, no. 2, p. 339–247.
5. BAKER, S.H., ETZIONI, A., HANSON, R.A. and SONTAG, M. Tolerance for Bureaucratic Structure: Theory and Measurement. *Human Relations*. 1973. Vol. 26, no. 6, p. 775–786.
6. GORDON, L.V. Measurement of Bureaucratic Orientation. *Personnel Psychology*. 1970. Vol. 23, no. 1, p. 1–11.
7. YANG, K. and PANDEY, S.K. Further Dissecting the Black Box of Citizen Participation: When Does Citizen Involvement Lead to Good Outcomes? *Public Administration Review*. 2011. Vol. 71, no. 6, p. 880–892.
8. BOZEMAN, B. A Theory of Government "Red-Tape." *Journal of Public Administration Research and Theory*. 1993. Vol. 3, no. 3, p. 273–303.
9. VAN LOON, N.M., LEISINK, P.L.M., KNIES, E. and BREWER, G.A. Red Tape: Developing and Validating a New Job-Centered Measure. *Public Administration Review*. 2016. Vol. 76, no. 4, p. 662–673.
10. YANG, K. and CALLAHAN, K. Assessing Citizen Involvement Efforts by Local Governments. *Public Performance and Management Review*. 2005. Vol. 29, no. 2, p. 191–216.
11. YANG, K and CALLAHAN, K. Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality. *Public Administration Review*. 2007. Vol. 67, no. 2, p. 249–264.
12. KING, C.S., FELTEY, K.M. and SUSEL, B.O. The Question of Participation: Toward Authentic Public Participation in Public Administration. *Public Administration Review*. 1998. Vol. 58, no. 4, p. 317–326.
13. THOMAS, J.C. *Public Participation in Public Decisions: New Skills and Strategies for Public Managers*. San Francisco : Jossey-Bass, 1995.
14. YANG, K. Public Administrators' trust in Citizens; A Missing Link in Citizens Involvement Efforts. *Public Administration Review*. 2005. Vol. 65, no. 3, p. 273–285.

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

15. ZHANG, Y. and YANG, K. Citizen Participation in the Budget Process: The Effect of City Managers. *Journal of Public Budgeting, Accounting, and Financial Management*. 2009. Vol. 21, no. 2, p. 289–317.
16. HUANG, W.L. and FEENEY, M. Citizen Participation in Local Government Decision Making; The Role of Manager Motivation. *Review of Public Personnel Administration*. 2016. Vol. 36, no. 2, p. 188–209.
17. PENDERSEN, K.H. and JOHANNSEN, L. Where and How You Sit; How Civil Servants' view Citizen's Participation. *Administration & Society*. 2016. Vol. 48, no. 1, p. 104–129.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 19 of 25

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

## **Appendix 1 – Participated Institutions**

### **The organizations included in the survey**

- The Ministry of Environmental Protection and Regional Development of the Republic of Latvia
- State Environmental Service
- Administration of Latvian Environmental Protection Fund
- Environment State Bureau
- Nature Conservation Agency
- State Regional Development Agency
- State Enterprise Latvian Environmental Investment Fund
- The Electronic Communications Office

### **The organizations excluded from the survey**

- The Natural History Museum of Latvia
- National Botanic Garden of Latvia
- Latvian Environment, Geology and Meteorology Centre

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 20 of 25

## Appendix 2 – Survey Questions<sup>1</sup>

### 1. Rule-abidance (1 totally disagree, 7 totally agree)

- a. I am someone who follows the rules even if I don't agree with them.
- b. People and situations are unique and should be treated on a case-by-case basis.
- c. Sometimes it's okay to bend the rules to help a person who deserves it.
- d. When I think a rule is pointless, I will find a way around it.
- e. I figure that rules are there for a purpose.

### 2. Democratic attitudes (1 totally disagree, 7 totally agree)

- a. Democracy may have problems but it's better than any other form of government.
- b. In democracy, the economic system runs badly.
- c. Democracies are indecisive and have too much squabbling.
- d. Democracies are bad at maintaining order.
- e. Having experts, not government, make decisions to what they think is best for the country.
- f. Having a democratic system is best for the country.

### 3. Job-centered red tape perceptions (1 totally disagree, 7 totally agree)

- a. The rules with which I have to comply in my core activities have a clear function for my job activities.
- b. The rules with which I have to comply in my core activities contribute to the goal of my job activities.
- c. The rules with which I have to comply in my core activities help me do my job well.
- d. The rules with which I have to comply in my core activities cause much pressure at work.
- e. The rules with which I have to comply in my core activities take a lot of time to comply with.
- f. The rules with which I have to comply in my core activities cause a lot of delay.

### 4. Attitudes about public participation (1 totally disagree, 7 totally agree)

- a. Citizen participation in the decision-making process reduces my influence as a public official.
- b. Citizen participation slows the decision-making process.
- c. Citizen participation improves the decision-making process by bringing in new ideas.
- d. Citizen participation makes it hard to reach consensus and closure in the decision-making process.
- e. In most instances, the administration would have reached the same decision without citizen input.
- f. The value of public participation is overrated.

---

<sup>1</sup> The questions were presented in Latvian



**5. Attitudes about citizens' participation competences** (1 totally disagree, 7 totally agree).

- a. Most citizens who participate pursue the interest of the entire community.
- b. Most citizens who participate have the people skills needed to make a valuable contribution.
- c. Most citizens who participate have the expertise or technical knowledge needed to make a valuable contribution.
- d. Most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution.

**Appendix 3 – Respondents' questions and comments**

ID	Latvian	English <sup>2</sup>
1	Ceru, ka atbildes izmantosiet, lai arī nenorādīju departamentu, jo kopā ar pārējām atbildēm tās var identificēt mani.	I hope you will use the answers, although I did not specify the department, as they can identify me with the other replies.
9	Anketā būtu nepieciešams labāk skaidrot, kas tiek saprasts ar vārdu "noteikumi", vai tiek domāti MK noteikumi, vispārēji pieņemtie darba principi iestādē vai kas cits.	In the questionnaire it would be better to explain what is meant by the word "rules", whether the Cabinet regulations, generally accepted principles of work in the institution or anything else are considered.
16	Jomu sadaļā ir tikai VARAM departamenti	There are only departments within the VARAM section in the section
26	Pirmais jautājums par demokrātiju nebija pilnīgs, jo vajadzētu izšķirt pārstāvniecisko demokrātiju (kāda ir mums) un tiešo demokrātiju, kas nav viens un tas pats. Tāpat manas atbildes attiecībā uz noteikumu apiešanu gadījumos, kad tiem nepiekrītu, pamatojas uz praktiskajā pieredzē gūtu uzticamības kredīta pilnīgu trūkumu attiecībā uz lēmumpieņēmējiem, jo pieredze liecina, ka virkne noteikumu nav pieņemti vis pamatojoties uz kolektīvo, bet kādu grupu vai personu individuālo izdevīgumu, tamdēļ tie nevar tikt uzskatīti par taisnīgiem. Neuzskatu par morālu pienākumu pildīt "noteikumus", kuru mērķis ir apčakarēt mani vai manus tuvākos.	The first issue of democracy was not foolish, because the representative democracy (as we are) and direct democracy, which are not the same, should be distinguished. Likewise, my replies to the rules on circumvention in cases where I disagree with them are based on the complete lack of credibility in the practical experience of decision-makers, as experience has shown that a number of rules have not been adopted on the basis of the collective merits of individual groups or individuals, which is why they cannot be considered fair. I do not consider it a moral obligation to comply with the "rules" that aim to encircle me or my neighbors.
29	jautājumā pie darba vietas nav padotības iestādes	there is no subordinate institution at the workplace
31	Patīkami pārsteidza aptaujas kvalitāte.	Pleasantly surprised by the quality of the survey.
32	Daļa formulēto apgalvojumu bija sarežģīti formulēti. Kā arī daļa apgalvojumu interpretācija varētu būt dažāda.	Part of the statement was difficult to formulate. Also, some interpretations of statements could be different.
44	Atbildi sniedz VVD	The answer is provided by the VVD
50	Nevarēju norādīt savu amatu, jo tika piedāvāti tikai VARAM departamenti, bet es esmu no padotības iestādes. Jautājumā par iedzīvotāju prasmēm jautājumi bija tendenciozi, apgalvojot, ka visi, kas piedalās publiskajās aptaujās, ir augsti profesionāļi, bet bieži vien aptaujās	I could not indicate my position because only the MEPRD departments were offered, but I am from the subordinate institution. Issues concerning the skills of the population were tendentious, arguing that all those who participate in public surveys are highly skilled, but often there

<sup>2</sup> English translations were automatically generated using Google translate (translate.google.com; accessed on May 16<sup>th</sup>, 2018).

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

	piedalās tādas cilvēku grupas, kuriem patīk eksponēt savu viedokli, piketēt utml., kaut gan viņiem vispār nav izpratnes par jomu, kurā piedalās.	are groups of people who like to express their views, pick up etc., although they do not have a general understanding of the field, in which participates.
51	Diemžēl jānorāda, ka aptauja pilnībā zaudē anonimitātes momentu brīdī, kad ir jānorāda ministrijas struktūra, kurā strādāju, dzimšanas gads un dzimums. Ir vairāki darbinieki, kurus ļoti precīzi pēc šiem rādītājiem var identificēt. Daudz labāk būtu norādīt amatu grupu un vecumu "no .. līdz". Šis faktors var būtiski ietekmēt darbinieku vēlmi piedalīties aptaujā un atbildēt patiesumu.	Unfortunately, it should be noted that the survey completely loses the moment of anonymity when it is necessary to indicate the ministry structure in which I work, the year of birth and gender. There are several employees who can be identified very precisely by these indicators. It would be much better to indicate a group of positions and age "from .. to". This factor can have a significant impact on the willingness of employees to participate in the survey and the veracity of responses.
53	Nav svarīga iedzīvotāju kompetence un spēja sniegt ieguldījumu lēmumu pieņemšanā. Iedzīvotāji nekalpo lēmumu pieņēmējiem. Procesam jābūt otrādi - pārvaldei ir jāsniedz ieguldījums, lai vairākums cilvēki varētu labi dzīvot savu dzīvi. Lai viņi savu pašvaldību un valsti uztvertu kā savējo - tādu, kuru veido paši, nevis kur lēmumu pieņem kāds "augšā". Ciklvekus vajag nevis iesaistīt, bet strādāt kopā ar viņiem ikdienā. Un Latvijā ir šādi piemēri. Manā uztverē šajā aptaujā jautājumi tomēr ir veidoti izejot no birokrātiskas pozīcijas, tā it kā ierēdņi zinātu labāk, kas cilvēkiem vajadzīgs.	Citizens' competence and ability to contribute to decision making are not important. citizens do not serve decision-makers. The process must be the opposite: the administration must make an investment so that the majority of people can live their lives well. In order to perceive their own municipality and the state as theirs, one that is made up of oneself, and not where the decision is made by someone at the top. Cycles need not engage, but work with them on a daily basis. And in Latvia there are such examples. In my perception of this survey, questions, however, are based on a bureaucratic position, as if officials knew better what people needed.
56	Dažos gadījumos svarīgs ir tieši sabiedrības līdzdalības process, jo tas ir pamats personīgai attieksmei un atbildībai, kas var pozitīvi ietekmēt arī lēmumu par iesaistīšanos citās konkrētās darbībās.	In some cases, the public participation process is important, as it is the basis for personal attitude and responsibility, which can also have a positive impact on the decision to engage in other specific activities.
59	Anketa nav sastādīta korekti, piemēram par vecumu un struktūrvienību. Tāpat ne visi jautājumi attiecināmi uz atbildžu variantiem.	The questionnaire has not been formulated correctly, such as age and department. Similarly, not all questions relate to multiple answers.
61	Iespējams, būtu lietderīgi vērtēt procesus nodalot politikas nozares. Tiesiskā regulējuma sakārtotība, sabiedrības līdzdalības aspekti tajās var būtiski atšķirties.	Perhaps it would be useful to evaluate the processes by separating the policy sectors. The orderliness of the legal framework, the aspects of public participation in them can vary significantly.
66	Darba vieta - VARAM padotībā esošā iestāde	The place of work is the institution subordinate to VARAM

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

WP2 Willingness to Engage – VARAM

Version .01 – Date: 05.06.2018

<b>68</b>	Vai šī ir rafinēta shēma kā atlasīt Ministrijas vadībai lojālus darbiniekus?	Is this a refined scheme for selecting loyal employees for the management of the Ministry?
<b>71</b>	Aptaujas pēdējie jautājumi ļauj noteikt respondentu personu, kas pārkāpj solīto anonimitāti. Vairums jautājumu bija neviennozīmīgi un atbildes var interpretēt dažādi.	The last questions of the poll allow to determine the respondent's person who violates the promised anonymity. Most questions were ambiguous and answers could be interpreted differently.
<b>79</b>	jautājumi noformulēti tā, ka negribas atbildēt, piņķerīgi	questions are arranged in such a way that they do not want to answer, rebuking
<b>82</b>	Nav nekāda anonimitāte.....	There is no anonymity .....
<b>84</b>	nav iespējas izteikt personīgo viedokli, papildinot vai pamatojot veikto atzīmi	there is no way of expressing a personal opinion by supplementing or justifying the mark
<b>98</b>	aptaujas noslēguma jautājumi ir pilnībā pretēji apgalvojumam, kas tika iesūtīts e-pastā: "Atbildes ir konfidencialas un pilnīgi anonīmas." No aptaujas pēdējiem jautājumiem ar 99% varbūtību var izsecināt, kurš ministrijas darbinieks ir piedalījies aptaujā.	The closing questions of the survey are in complete contradiction to the statement posted on the e-mail: "The responses are confidential and completely anonymous." From the last questions of the survey with a probability of 99% it can be deduced which ministry employee has participated in the survey.
<b>106</b>	Lai veicas un izdodas!	Good luck and succeed!
<b>109</b>	Aptauja neskar jautājumus par to, ka ir arī iedzīvotāju līdzdalība, kas notiek organizētā veidā - organizācijas, asociācijas, kas pārstāv kādu speciālu iedzīvotāju interesi. Viedoklis un veids kā šāds darbs notiek būtu svarīgi apzināt, jo tas tieši samazina slogu visvairāk (prognozēmība, laicīgi identificēt kur var būt problēmas, utml dz.).	The survey does not deal with the fact that there is also a citizen participation that takes place in an organized manner - organizations, associations representing a special interest of the population. The point of view and way of doing this work would be to find out, because it directly reduces the burden most (prediction, timely identification of where there may be problems, etc.).
<b>114</b>	Komentārs - manā darbā bieža sadarbība notiek ar attiecīgās nozares organizācijām (biedrībām, nodibinājumiem), kurās ir vairāk nozares profesionāļi, kuri izprot un aizstāv attiecīgās nozares intereses. Tomēr no aptaujas jautājumiem secinu, ka šī aptauja ir vairāk par privātpersonu iesaisti lēmumu pieņemšanā.	Commentary - in my work, frequent co-operation takes place with relevant sectoral organizations (associations, foundations) with more industry professionals who understand and defend the interests of the industry. However, from the survey questions, I conclude that this survey is more about the involvement of individuals in decision making.

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

Page 25 of 25

## Appendix IV. Willingness to engage descriptive results - use case: Puglia Region

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018



**Empowering Citizens to Transform  
European Public Administrations**

---

---

**Public Officials' Willingness to Engage**

**Use Case: Puglia Region**

---

---

<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Responsible Partner:</b>	KU Leuven
<b>Status-Version:</b>	Final
<b>Date:</b>	20/07/2018
<b>Distribution level (CO, PU):</b>	PU

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 1 of 25

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

<b>Project Number:</b>	GA 726755
<b>Project Title:</b>	CITADEL
<b>Title</b>	Public Officials' Willingness to Engage – Descriptive results of the Puglia Region survey
<b>Work package responsible for the Deliverable:</b>	WP2 – Understand to Transform
<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Abstract:</b>	This report presents the descriptive results of the WP2 <i>Public Officials Willingness to Engage</i> survey conducted at Puglia Region in the summer of 2018.
<b>Keyword List:</b>	WP2, Public Officials Willingness to Engage with Citizens, Descriptive results, Survey, Puglia Region
<b>Disclaimer</b>	This document reflects only the author's views and neither Agency nor the Commission are responsible for any use that may be made of the information contained therein

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 2 of 25

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

---

---

## Document Description

---

---

### Document Revision History

Version	Date	Modifications Introduced	
		Modification Reason	Modified by
v.01	13-07-2018	First draft version	Koen Migchelbrink

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 3 of 25

---

## Table of Contents

---

Table of Contents .....	4
List of Figures .....	5
Terms and abbreviations.....	5
Executive Summary .....	6
Introduction .....	7
1 Design and Fielding of the study .....	8
2 Survey results .....	9
2.1 Data cleaning.....	9
2.2 Rule-abiding attitudes .....	10
2.3 Democratic Attitudes .....	11
2.4 Job-centered red tape perceptions.....	12
2.5 Attitudes about citizen participation .....	13
2.6 Attitudes about citizens' participation competences .....	14
2.7 Previous experience with participation .....	15
2.8 Sample characteristics.....	16
2.8.1 Age.....	16
2.8.2 Gender.....	16
2.8.3 Educational attainment.....	17
Bibliography .....	18
Appendix 1 – Survey questions .....	20
Appendix 2 – Respondents' comments and questions .....	22



WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

---

## List of Figures

---

FIGURE 1. RULE-ABIDING ATTITUDES.....	10
FIGURE 2. DEMOCRATIC ATTITUDES .....	11
FIGURE 3. JOB-CENTERED RED TAPE PERCEPTIONS .....	12
FIGURE 4. ATTITUDES ABOUT CITIZEN PARTICIPATION .....	13
FIGURE 5. ATTITUDES ABOUT CITIZENS' PARTICIPATION COMPETENCES .....	14
FIGURE 6. PREVIOUS PARTICIPATION EXPERIENCE .....	15
FIGURE 7. SATISFACTION WITH PREVIOUS PARTICIPATION EXPERIENCES.....	15
FIGURE 8. AGE DISTRIBUTION IN ABSOLUTE FREQUENCIES.....	16
FIGURE 9. GENDER PROPORTIONS IN PERCENTAGES.....	16
FIGURE 10. EDUCATIONAL ATTAINMENT .....	17

---

## Terms and abbreviations

---

-

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 5 of 25

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

## Executive Summary

In this report, we present the descriptive results of the WP2 survey *Public Officials' Willingness to Engage with Citizens* conducted at Puglia Region. The survey was fielded between June 21<sup>st</sup> and July 13<sup>th</sup>. The study attained an effective respondent sample of 244 individuals; a effective response rate of 24.4%

The overall results indicate that respondents show strong rule-abiding attitudes and democratic values. Their job-related red tape perceptions are low and their attitudes about public participation are positive. At the same time, respondents are not convinced that citizens have the competences needed to make a valuable contribution. Previous experiences focusses on participatory experiences as a private individual, not as a public official. Finally, the majority of the sample is male and the mean age is relatively high. Educational attainment suggest that the majority of the sample received at least a higher technical education.

The results presented in this report are strictly descriptive.

## Introduction

The purpose of this document is to present Puglia Region with a descriptive report of the survey on *public officials' willingness to engage with citizens*, conducted at Puglia Region in the beginning of 2018.

The report contains two chapters and four accompanying appendices. In the first chapter, we situate the study in the H2020 CITADEL project and report on the method and conduct of the study. In the second chapter, we present the outcomes on the five survey batteries included in the survey instrument: rule-abiding attitudes, democratic attitudes, job-centered red tape perceptions, attitudes about public participation, and attitudes about citizen competences. The chapter is also used to present the sample characteristics. The results in this report are purely descriptive.

The authors would like to thank Mr. Zizzari and Mr. Di Ciano from Puglia Region and Innova Puglia for their support and help.

## 1 Design and Fielding of the study

The survey of which this document presents the descriptive results is part of the H2020 Empowering Citizens to TrAnsform European Administrations (CITADEL) project. The aim of the survey is to measure public officials' willingness to engage citizens in administrative decision-making. The study is conducted as part of Work Package 2 *Understand to transform*, as part of the responsibilities under tasks T2.1 *Collect and monitor information from different sources* and T2.3 *Analyze the relevant information to produce KPI Intelligence and recommendation*. The survey provides content to deliverables D2.1 *Requirements and parameters for selection of relevant information* and D2.2 *Initial recommendations for transforming the public sector processes and services*.

The survey instrument contains five survey batteries with four to seven items each. The first battery is designed to measure public officials' rule-abidance (bureaucratic attitudes). The second measures public officials' democratic attitudes. The third battery measures public officials' job-centered red tape perceptions. The fourth is a hybrid instrument, measuring different attitudes toward citizen participation. The final survey battery measures public officials' attitudes on citizens' competences to participate in administrative decision-making (see appendix 1 for the full list of survey items). In addition, several individual-level background questions are asked to determine the sample characteristics.

In this study, we focus on higher-level public officials responsible for policy-making and policy-implementation. Close cooperation with officials from Puglia Region and Innova Puglia ensured access to the target population. The survey instrument was prepared by researchers from the KU Leuven and made available to Puglia Region officials. Due to privacy concerns, Puglia Region distributed the survey instrument among 1000 employees itself. KU Leuven researchers had no control over the sampling and fielding of the survey instrument.

We used the online survey application Qualtrics ([www.qualtrics.com/uk/](http://www.qualtrics.com/uk/)) to administer the survey instrument online. Qualtrics is ISO27001-certified and is GDPR compatible [1]. The vignettes, questions, and survey batteries of the study were presented in the respondents in their vernacular (Italian). The descriptive results are presented in English.

## **2 Survey results**

### **2.1 Data cleaning**

In first instance, we collected data from 344 respondents. Among these 344 respondents, three respondents were test cases (fielded before the start of the survey) and removed from the data file. Of the remaining 341 respondents, 56 respondents failed to provide an answer to the informed consent question and were removed from the data file. Of the 285 remaining respondents, 6 explicitly did not provide informed consent and were removed from the data. Finally, of the remaining 279 respondents 35 failed to provide any substantive answers (missings on all variables). They are assumed to have never taken part in the survey and were removed from the data. The final effective response is  $n = 244$ , or 24%

## 2.2 Rule-abiding attitudes

We measured the bureaucratic attitudes of respondents using rule-abidance attitudes. Bureaucratic attitudes are associated with public officials' rule-abiding identities. Rule-abiding identities are self-assessed projections of what it means to follow administrative rules and guidelines in particular administrative circumstances. In general, rule-following behavior is indicative of traditional bureaucratic attitudes, whereas discretion-using attitudes are indicative of a departure from the traditional view in favor of higher responsiveness to individual citizens [2]. We use items from two different sources to measure public officials rule-abiding attitudes. The first three items are borrowed from Oberfield's 2009 study on continuity and change during organizational socialization [2]. The last two items are borrowed from Portillo and DeHart-Davis' 2009 study on gender and organizational rule-abidance [3]. Portillo and DeHart-Davis borrowed them from Baker et al [4] and Gordon [5]. Figure 1 displays respondents' rule abiding attitudes. Figure 4 shows the mean scores for the five rule-abidance items on a scale of 1 (totally disagree) to 7 (totally agree). The second, third, and fourth item are formulated in reverse, indicating discretion-using attitudes.

In general, respondents show high rule abidance. Respondents agreed strongly with *I am someone who follows the rules even if I don't agree with them* and *I figure rules are there for a purpose*. The scores on these items indicate that respondents are rule-abiding. These findings are supported by the low scores on *When I think a rule is pointless, I will find a way around it* and *Sometimes it's okay to bend the rules to help a person who deserves it*. For both items, the mean score of respondents indicates disagreement. Only one item indicates the opposite: discretion-using attitudes. Respondents show strong agreement with the statement *people and situations are unique and should be treated on a case-by-case bases*.

Overall, respondents show strong rule-abidance attitudes. Respondents agree with the positively formulated statements and disagree with the negatively formulated statements. At the same time the respondents have strong respect for the uniqueness of each individual and situation.

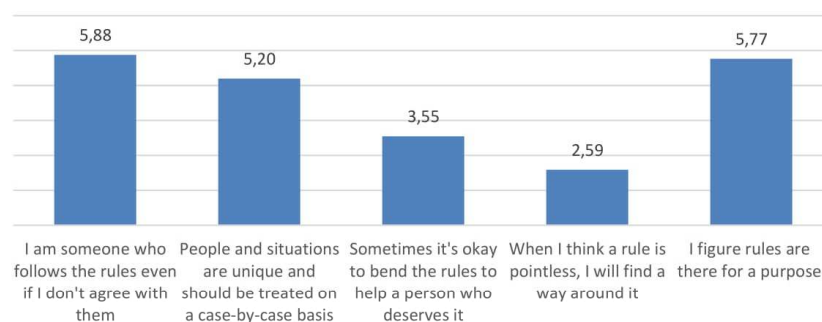


Figure 1. Rule-abiding attitudes

2.3 Democratic Attitudes

Citizen participation in administrative decision-making is instrumental to increasing the democratic character of public governance and administration [6]. It responds to the normative democratic ideal that citizens should have a direct say in the rules and regulations that govern them. Public officials’ own democracy perceptions could serve as an important explanatory variable explaining public officials’ willingness to engage with citizens in administrative decision-making. We measured respondents’ democratic attitudes using items from two sources. The first four items are borrowed from Bertsou and Pastorella’s study into citizens’ perspectives on expert decision-making [7]. The last two items are based on the 4<sup>th</sup> wave of the European Values Study [8]. Figure 2 shows the mean scores for the six democratic attitudes on a scale between 1 (totally disagree) and 7 (totally agree).

Overall, respondents show strong adherence to democratic values. The two positively worded democratic values items *Democracy may have problems, but it’s better than any other form of government* and *Having a democratic system is the best for the country* are both strongly agreed with. At the same time, the negatively worded items *In a democracy the economy runs badly*, *Democracies are indecisive and have too much squabbling*, and *Democracies are bad at maintaining order* are disagreed with. One item shows almost as much agreement as disagreement (3.91). namely: *having experts, not government make decisions is best for the country*.

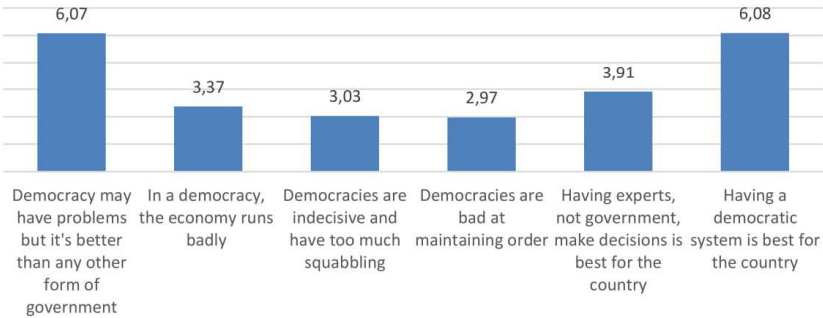


Figure 2. Democratic attitudes

## 2.4 Job-centered red tape perceptions

It is argued that public officials are unwilling to engage with citizens because they perceive the inclusion of citizens as an unwanted burden [9]. Yang and Pandey argue that “Mangers who are trapped by more red tape are less tolerant of risk taking and change [...], which are necessary if effective participation outcomes are expected” (7, p. 882). Red tape is defined as: “rules, regulations, and procedures that remain in force and entail a compliance burden for the organization but have no efficacy for the rules’ functional object” (8, p. 283). This definition contains two elements of red tape: lack of functionality and a compliance burden [10], [11]. A lack of functionality refers to the inability of the rules to meet their operational requirements; they are not serving the stated objectives. A compliance burden is described as the excessive need for time, energy, or other resources necessary for complying with the rules [11].

We use the two-dimensional job-centered red tape scale developed by Van Loon, Leisink, Knies, and Brewers [11] to measure job-related red tape perceptions of respondents. Figure 3 displays the respondents’ mean scores for job-centered red tape perceptions on a scale of 1 (totally disagree) to 7 (totally agree).

First, the functionality of the rules. The respondents experience the rules with which they have to comply in their core activities as functional. All three items indicating rule-functionality are agreed with. Second, the compliance burden of the rules. The results on the compliance burden of rules is less evident. Respondents strongly disagree with the statement that the rules with which they have to comply *cause much pressure at work*. Furthermore, the disagree in majority that those rules *cause a lot of delay*. However, they do believe that the rules with which they have to comply in their core activities *take a lot of time to comply with*.

Overall, it appears respondents do not perceive the rules with which they have to comply in their core activities are red tape. Rules are experienced functional and, except for the time it requires to comply with them, the compliance burden is not experienced to be very problematic.

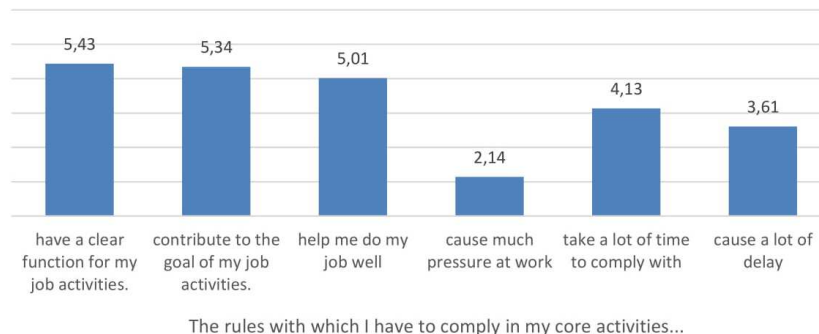


Figure 3. Job-centered red tape perceptions



## 2.5 Attitudes about citizen participation

In addition, public officials' willingness to engage with citizens in administrative decision-making can be influenced by specific attitudes and opinions about citizen participation. Some of these attitudes are examined in other studies [9], [12]. We measure respondents' specific attitudes toward citizen participation using the Participation Outcome instrument by Yang and Pandey [9] and two items of the Responsiveness to Participatory Values instrument by Yang and Callahan [13]. The mean scores are presented in figure 4. The scores range from 1 (totally disagree) to 7 (totally agree). The first four items came from Yang and Pandey's Participation Outcome instrument and the last two items come from Yang and Callahan's Responsiveness to Participatory Values instrument.

Figure 4 shows relatively constant and positive attitudes toward citizen participation. Respondents are most in agreement with the statement that *citizen participation improves the decision-making process by bringing in new ideas*. Respondents agree least with the statement that citizen participation in the decision-making process reduces their influence as public official. Furthermore, respondents appear not to agree with the statements that *citizen participation makes it hard to reach consensus and closure in the decision-making process* and *Involving citizens in the administrative decision-making process requires more effort than it is worth*. Still disagreeing, but less obviously so, are respondents with the statements: *citizen participation slows the decision-making process*, *in most instances the administration would have reached the same decision without citizens' input*, and *the value of public participation is overrated*.

In sum, respondents do not display the negative attitudes that are often attributed to the public participation in the literature. The attitudes respondents reported in our survey indicate that they do not feel threatened by the inclusion of citizens in the decision-making process, nor do they seem to assess the inclusion of citizens to be a major administrative burden. Overall attitudes toward citizen participation appear positive.

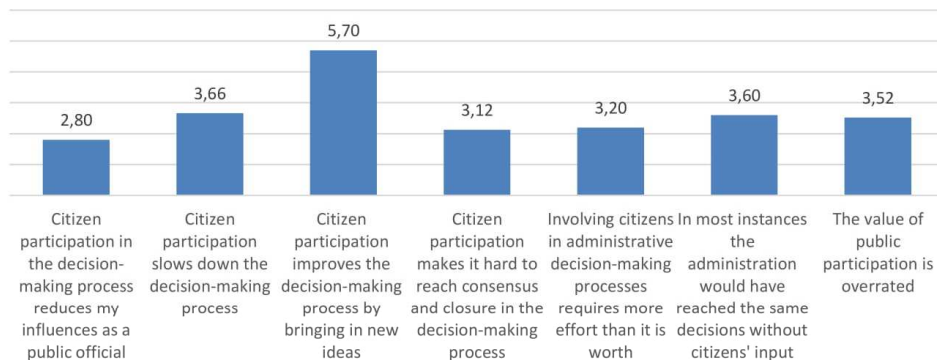


Figure 4. Attitudes about citizen participation

2.6 Attitudes about citizens’ participation competences

Public officials’ willingness to engage with citizens in administrative decision-making is also dependent on their assessments of citizens’ participation competences [9]. Most studies seem to agree that citizens lack the knowledge to participate effectively (12–15). At the same time, Yang and Pandey concluded that public officials’ perceptions of citizen competences are strongly and positively associated with participation outcomes [9]. We use four items to measure respondents’ attitudes about the participation competence. The first two are formulated to measure general attitudes about citizen competences [9]. Figure 5 displays the mean scores of respondents’ attitudes about citizens’ participation competences.

Despite the fact that the previous survey questions showed respondents’ positive attitudes toward citizen participation, respondents appear not to think that citizens have the competences needed to make a valuable contribution to the decision-making process. Respondents are slightly more in agreement than in disagreement with the statement that *most citizens who participate pursue the interests of the entire community*. At the same time, respondents disagree with the statements that: *most citizens who participate have the skills needed to make a valuable contribution*, *most citizens who participate have the expertise and technical knowledge needed to make a valuable contribution*, and *most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution*. These scores indicate that *in sum* respondents do not believe citizens have the participation competences needed for successful participation.

The items discussed so far suggest that respondents are positive about the idea of citizen participation in administrative decision-making, despite the fact that they seem to believe that citizens do not possess the knowledge needed to make a valuable contribution.

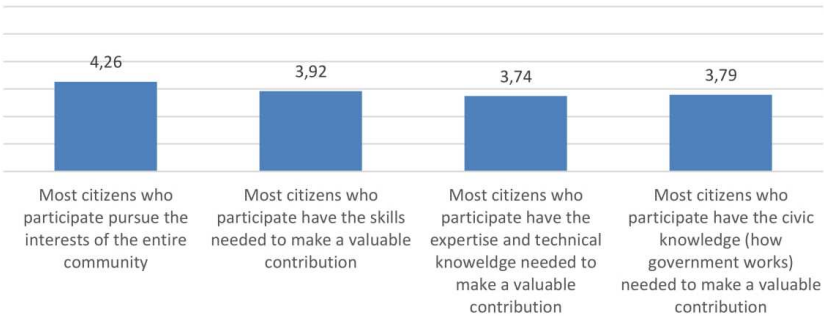


Figure 5. Attitudes about citizens’ participation competences

## 2.7 Previous experience with participation

Another factor influencing public officials' willingness to use public participation in administrative decision-making is prior participatory experiences. Prior experience can increase or decrease public officials' willingness to engage with citizens. On the one hand, positive experiences are shown to have a positive effect on public officials' assessments of public participation. Public officials are accustomed to citizens having a role in decision-making and are aware of the possible beneficial effects of inclusion [14]–[16]. On the other hand, negative previous experiences can reduce public officials' willingness to engage citizens in administrative decision-making. For example when media reports negatively about participation activities [12].

We measure respondents' participation experiences on a five-point scale (1 never, 5 always) using two self-assessment questions. Public officials can have prior public participation experience either as a professional or as a private citizen. Figure 6 displays respondents' prior participation experiences. Respondents' experiences with public participation as an official of the Puglia Region are limited (sometimes), while their experiences as a private individual are more frequent (often).

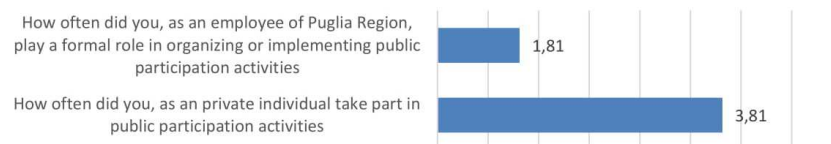


Figure 6. Previous participation experience

Additionally, we asked respondents with prior participation experience to indicate whether those experiences were positive or negative. Figure 7 displays the mean scores on a five-point scale (1 negative, 5 positive). Respondents appear to be positive about the participation activities they participated in as private individuals. The participatory activities they participated in as a public professional are rated significantly lower.

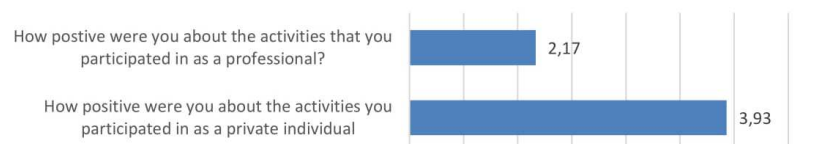


Figure 7. Satisfaction with previous participation experiences

## 2.8 Sample characteristics

In the following three graphs we examine the sample characteristics. We look at the age, gender and educational attainment of the participants.

### 2.8.1 Age

The first characteristic we examine is the age distribution of the sample in five-year cohorts. The mean sample age lies between the 53 and 57 (cohort 1961-1965). The most populous cohort contains respondents aged between the 57 and 62 years old. The sample contains relatively few younger people, with a strong cut-off point of people younger than 38 to 42 years old.

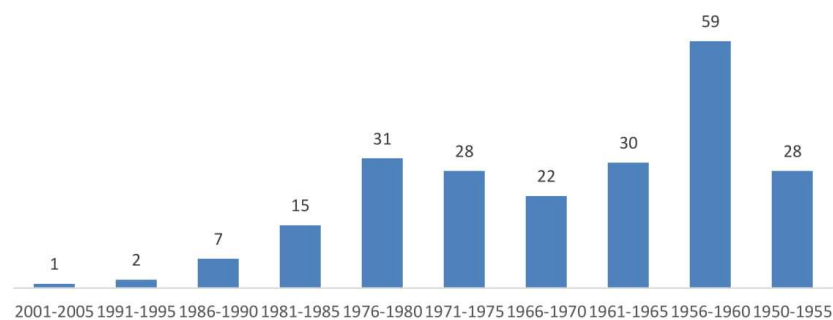


Figure 8. Age distribution in absolute frequencies

### 2.8.2 Gender

The second parameter shows the gender distribution in the sample in absolute frequencies. Overall, 93 respondents were women (41.7%), 126 were men (56.7%), and 4 declined to answer the question (1.8%). The sample is predominantly male.



Figure 9. Gender proportions in percentages

### 2.8.3 Educational attainment

Finally, we inquired after the educational attainment of the respondents included in the sample. Most respondents have attained either a higher technical or master of single cycle diploma. Only a few attain a lower grade education only. In total, 19 individuals in the sample received a Ph.D. Overall, educational attainment is high and appears to correspond to the sample selection criteria.

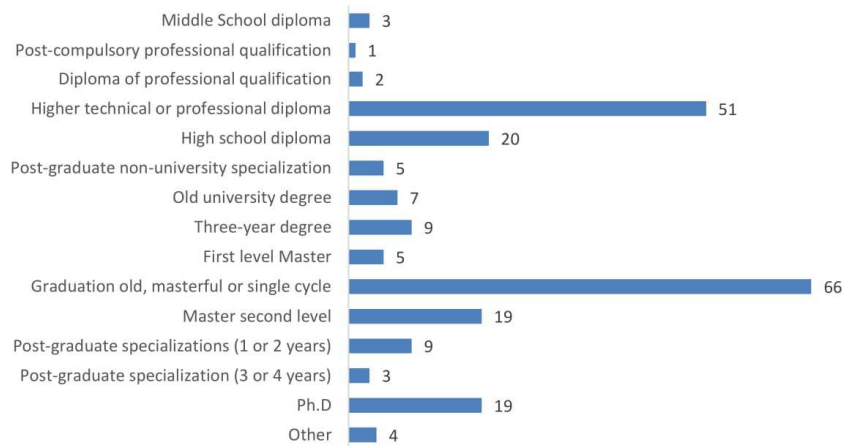


Figure 10. Educational Attainment

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

## Bibliography

- [1] Qualtrics, "Safe. Secure. And ready for GDPR." [Online]. Available: <https://www.qualtrics.com/uk/platform/gdpr/>. [Accessed: 14-May-2018].
- [2] Z. W. Oberfield, "Rule Following and Discretion at Government's Frontlines: Continuity and Change during Organization Socialization," *J. Public Adm. Res. Theory*, vol. 70, pp. 735–755, 2009.
- [3] S. Portillo and L. DeHart-Davis, "Gender and Organizational Rule Abidance," *Public Adm. Rev.*, vol. 69, no. 2, pp. 339–247, 2009.
- [4] S. H. Baker, A. Etzioni, R. A. Hanson, and M. Sontag, "Tolerance for Bureaucratic Structure: Theory and Measurement," *Hum. Relations*, vol. 26, no. 6, pp. 775–786, 1973.
- [5] L. V. Gordon, "Measurement of Bureaucratic Orientation," *Pers. Psychol.*, vol. 23, no. 1, pp. 1–11, 1970.
- [6] T. Nabatchi, "Addressing the Citizenship and Democratic Deficits; The Potential of Deliberative Democracy for Public Administration," *Am. Rev. Public Adm.*, vol. 40, no. 4, pp. 376–399, 2010.
- [7] E. Bertsou and G. Pastorell, "Technocratic attitudes; a citizens' perspective of expert decision-making," *West Eur. Polit.*, vol. 40, no. 2, pp. 430–458, 2017.
- [8] EVS, "European Values Study Longitudinal Data File 1981-2008." GESIS Data Archive, Cologne, 2015.
- [9] K. Yang and S. K. Pandey, "Further Dissecting the Black Box of Citizen Participation: When Does Citizen Involvement Lead to Good Outcomes?," *Public Adm. Rev.*, vol. 71, no. 6, pp. 880–892, 2011.
- [10] B. Bozeman, "A Theory of Government 'Red-Tape,'" *J. Public Adm. Res. Theory*, vol. 3, no. 3, pp. 273–303, 1993.
- [11] N. M. Van Loon, P. L. M. Leisink, E. Knies, and G. A. Brewer, "Red Tape: Developing and Validating a New Job-Centered Measure," *Public Adm. Rev.*, vol. 76, no. 4, pp. 662–673, 2016.
- [12] K. Yang and K. Callahan, "Assessing Citizen Involvement Efforts by Local Governments," *Public Perform. Manag. Rev.*, vol. 29, no. 2, pp. 191–216, 2005.
- [13] K. Yang and K. Callahan, "Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality," *Public Adm. Rev.*, vol. 67, no. 2, pp. 249–264, 2007.
- [14] W. L. Huang and M. Feeney, "Citizen Participation in Local Government Decision Making; The Role of Manager Motivation," *Rev. Public Pers. Adm.*, vol. 36, no. 2, pp. 188–209, 2016.
- [15] K. H. Pendersen and L. Johannsen, "Where and How You Sit; How Civil Servants' view Citizen's Participation," *Adm. Soc.*, vol. 48, no. 1, pp. 104–129, 2016.
- [16] Y. Zhang and K. Yang, "Citizen Participation in the Budget Process: The Effect of City

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

Managers," *J. Public Budgeting, Accounting, Financ. Manag.*, vol. 21, no. 2, pp. 289–317, 2009.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 19 of 25

## Appendix 1 – Survey questions

### 1. Rule-abidance (1 totally disagree, 7 totally agree)

- a. I am someone who follows the rules even if I do not agree with them.
- b. People and situations are unique and should be treated on a case-by-case basis.
- c. Sometimes it is okay to bend the rules to help a person who deserves it.
- d. When I think a rule is pointless, I will find a way around it.
- e. I figure that rules are there for a purpose.

### 2. Democratic attitudes (1 totally disagree, 7 totally agree)

- a. Democracy may have problems but it is better than any other form of government.
- b. In democracy, the economic system runs badly.
- c. Democracies are indecisive and have too much squabbling.
- d. Democracies are bad at maintaining order.
- e. Having experts, not government, make decisions to what they think is best for the country.
- f. Having a democratic system is best for the country.

### 3. Job-centered red tape perceptions (1 totally disagree, 7 totally agree)

- a. The rules with which I have to comply in my core activities have a clear function for my job activities.
- b. The rules with which I have to comply in my core activities contribute to the goal of my job activities.
- c. The rules with which I have to comply in my core activities help me do my job well.
- d. The rules with which I have to comply in my core activities cause much pressure at work.
- e. The rules with which I have to comply in my core activities take a lot of time to comply with.
- f. The rules with which I have to comply in my core activities cause a lot of delay.

### 4. Attitudes about public participation (1 totally disagree, 7 totally agree)

- a. Citizen participation in the decision-making process reduces my influence as a public official.
- b. Citizen participation slows the decision-making process.
- c. Citizen participation improves the decision-making process by bringing in new ideas.
- d. Citizen participation makes it hard to reach consensus and closure in the decision-making process.
- e. In most instances, the administration would have reached the same decision without citizen input.
- f. The value of public participation is overrated.



WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

**5. Attitudes about citizens' competences to participate** (1 totally disagree, 7 totally agree).

- a. Most citizens who participate pursue the interest of the entire community.
- b. Most citizens who participate have the people skills needed to make a valuable contribution.
- c. Most citizens who participate have the expertise or technical knowledge needed to make a valuable contribution.
- d. Most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 21 of 25

**Appendix 2 – Respondents' comments and questions<sup>1</sup>**

1.	alcune domande sono state poste in modo equivoco	some questions have been asked in an equivocal way
2.	alcune questioni - domande - hanno dei margini di ambiguità che non consentono di esprimere appieno la propria opinione	some questions - questions - have margins of ambiguity that do not allow you to express your opinion fully
3.	bisogna coinvolgere nei processi decisionali i cittadini, con una attenta verifica sui temi che vengono trattati.	Citizens must be involved in decision-making processes, with careful scrutiny of the issues being dealt with.
4.	buon lavoro	good job
5.	Coinvolgere il partenariato sociale, sia pure per ottenere indicazioni o idee che possano contribuire al miglioramento delle varie attività sociali, o comunque utili alla gestione amministrativa, è sempre una manifestazione di democrazia. Purtroppo non è mai abbastanza.	Involving social partnership, even to obtain indications or ideas that can contribute to the improvement of the various social activities, or in any case useful for administrative management, is always a manifestation of democracy. Unfortunately it's never enough.
6.	Credo che questi studi, se restano lettera morta, sono solo perdita di tempo ma se mirati a migliorare il sistema pubblico ed accelerare la burocrazia forse riusciamo a far decollare il Paese che per la lentezza burocratica, dovuta in molti casi alla inesperienza e all'ignoranza di chi dirige, non credo che il nostro paese si possa risollevare. La partecipazione pubblica deve essere tenuta in debita considerazione e non organizzarla solo per buttare fumo negli occhi e non tener conto delle necessità e/o dei contributi al problema.	I believe that these studies, if they remain a dead letter, are just a waste of time but if aimed at improving the public system and speeding up the bureaucracy, perhaps we can take off the country because of the slow bureaucracy, due in many cases to inexperience and ignorance who directs, I do not think our country can be raised. Public participation must be taken into due consideration and not organized just to throw smoke in the eye and not take into account the needs and / or contributions to the problem.
7.	essere maggiormente coinvolto	be more involved
8.	Gli ambiti di lavoro sono ristretti e non permettono un inquadramento delle mie funzioni.	The areas of work are restricted and do not allow a classification of my functions.
9.	i cittadini che vogliono partecipare ai processi decisionali lo fanno solo per mero interesse economico	citizens who want to participate in decision-making processes do so only for mere economic interest
10.	I processi decisionali partecipativi vanno gestiti molto bene: Solo in alcune fasi propedeutiche ha senso la partecipazione.	Participative decision-making processes must be managed very well: Only in some preparatory phases does participation

<sup>1</sup> Translations based on online automatic translation (<https://translate.google.com/>, accessed on 13-07-2018).

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

	Poi, devono essere degli esperti a decidere e attuare	make sense. Then, experts must decide and implement
11.	I test che sottoponete successivamente hanno un impatto decisionale o vincolante sul vostro studio/lavoro?	Do the tests that you submit subsequently have a decision-making or binding impact on your study / work?
12.	Io penso che il questionario d'indagine è comunque un mezzo per capire meglio le cose reali	I think that the survey questionnaire is still a means to better understand real things
13.	la democrazia è una forma di governo che coordina la partecipazione, ma è ancora poco compresa e applicata, potrebbe esserlo in ogni ambito, con una coscienza democratica che prenda tutto il territorio	democracy is a form of government that coordinates participation, but it is still little understood and applied, it could be in every area, with a democratic conscience that takes the whole territory
14.	La democrazia per definizione mette al centro il popolo sovrano. La P.A. non può anche per ciò chiudersi in se stessa, ma deve essere aperta al cittadino.	Democracy by definition puts the sovereign people at the center. P.A. it cannot for this reason also be closed in on itself, but must be open to the citizen.
15.	La parola "regole" mi ha messo in difficoltà; come lavoratrice del settore pubblico distinguerei tra prassi amministrative e leggi in quanto su queste ultime non si operano scelte, sulle prassi invece è possibile rivedere i procedimenti. In secondo luogo, la partecipazione dei cittadini nei processi decisionali, data l'Amministrazione centrale in cui lavoro, l'ho intesa anche come coinvolgimento di organismi di rappresentanza di secondo livello, anche se nel questionario non è precisato.	The word "rules" put me in trouble; as a worker in the public sector I would distinguish between administrative practices and laws, since no choices are made on the latter, and on the practice it is possible to review the procedures. Secondly, the participation of citizens in decision-making processes, given the central administration in which I work, I also understood it as the involvement of second-level representative bodies, even if the questionnaire is not specified.
16.	la partecipazione ai processi decisionali risulta efficace se opportunamente disciplinata con metodologie e procedure certe.	participation in decision-making processes is effective if appropriately regulated with certain methodologies and procedures.
17.	la partecipazione condivisa e consapevole dei cittadini alle decisioni che li riguardano direttamente ed indirettamente è fondamentale e non dovrebbe mai essere ignorata	the shared and conscious participation of citizens in decisions that concern them directly and indirectly is fundamental and should never be ignored
18.	la partecipazione dei cittadini alle decisioni pubbliche dovrebbe essere qualificata	citizen participation in public decisions should be qualified
19.	La partecipazione è "time consuming" per gli utenti: non tutti dispongono di tempo per partecipare, pertanto a volte si ottiene una preponderanza di "professionisti della partecipazione" che tendono a escludere i partecipanti sporadici.	Participation is "time consuming" for users: not everyone has time to participate, so sometimes you get a preponderance of "participation professionals" who tend to exclude sporadic participants.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 23 of 25

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

20.	la partecipazione pubblica è solo fittizia. Decidono solo le lobby d'accordo con il governo	public participation is only fictitious. Only the lobbies agree with the government
21.	La volontà di un dipendente funzionario di operare metodi di partecipazione attiva della cittadinanza è limitata dalle decisioni che si compiono ai vertici, spesso in direzione opposta, quindi in realtà, purtroppo non possiedono alcun valore.	The willingness of an official employee to operate methods of active participation of citizenship is limited by the decisions that are made at the top, often in the opposite direction, so in reality, unfortunately they have no value.
22.	Le dinamiche dei processi gestionali e decisionali che caratterizzano la Democrazia Italiana sono caratterizzate da una elevata confusione normativa dovuta alla quantità elevata di leggi, alla loro sovrapposizione e molto spesso a una scarsa qualità della produzione normativa che complica ad arte il sistema per favorire gli atti illeciti. Il sistema giudiziario non riesce a far rispettare le numerose e confuse leggi. La conseguenza è un sistema che sperpera risorse nei meandri della corruzione a sfavore dello sviluppo (possibilmente sostenibile) e del perseguimento del fine ultimo del benessere collettivo.	The dynamics of the management and decision-making processes that characterize the Italian Democracy are characterized by a high degree of regulatory confusion due to the high quantity of laws, their overlap and very often to a poor quality of regulatory production that complicates the system to promote illicit acts. . The judicial system fails to enforce the numerous and confusing laws. The consequence is a system that squanders resources in the maze of corruption to the detriment of development (possibly sustainable) and the pursuit of the ultimate goal of collective well-being.
23.	l'elenco degli ambiti di attività andrebbe integrato con la voce "ambiente". Ho avuto difficoltà ad inquadrare l'ambito di lavoro nelle categorie elencate	the list of areas of activity should be integrated with the entry "environment". I had difficulty framing the scope of work in the categories listed
24.	Mancano le lauree specialistiche nuovo ordinamento	New graduate degrees are missing
25.	Mancavano parecchi settori rispetto alle attività della PA, nessuno corrispondeva al mio lavoro	There were not many sectors with respect to the activities of the PA, none corresponded to my work
26.	Mi chiedo quale sia lo scopo di questo sondaggio..	I wonder what the purpose of this survey is ..
27.	Nella Pubblica Amministrazione è necessario cambiare e migliorare il clima relazionale tra i dipendenti	In the Public Administration it is necessary to change and improve the relational climate among the employees
28.	non mi riesce di mettere a disposizione la mia esperienza lavorativa	I cannot make my work experience available
29.	Per quanto riguarda la partecipazione dei cittadini, voglio precisare alcuni punti, noi viviamo in un paese con una democrazia di tipo parlamentare, non condivido una eccessiva enfasi sul coinvolgimento dei cittadini nei processi decisionali. In alcuni casi importanti, però è giusto il	As for citizen participation, I want to clarify some points, we live in a country with a parliamentary democracy, I do not share an excessive emphasis on the involvement of citizens in decision-making processes. In some important cases, however, the involvement of citizens is right, and the

Project Title: CITADEL

Contract No. GA 726755

www.citadel-h2020.eu

WP2 Willingness to Engage – Puglia Region

Final – 20.07.2018

	coinvolgimento della cittadinanza, e bisogna comunque favorire la crescita culturale della popolazione con vari strumenti.	cultural growth of the population must be encouraged through various tools.
30.	perche' i procedimenti di valutazione sul personale dirigenziale che prende decisioni, non e' mai stato attivato, per cui non si possono adottare critiche della attivita' decisionale svolta	because the assessment procedures on the decision-making managerial staff have never been activated, so that criticism of the decision-making activity cannot be adopted
31.	preferirei minor invadenza dei politici	I would prefer less politicians' intrusiveness
32.	Quando si creano questi sondaggi si hanno già due idee di risultato. quali sono?	When you create these surveys you already have two result ideas. what are they?
33.	si parla molto di partecipazione del cittadino ma non si parla di partecipazione dal basso verso l'alto e intendo le varie categorie di dipendenti soprattutto la fascia bassa e dirigenti	we talk a lot about citizen participation but we do not talk about participation from the bottom up and I mean the various categories of employees, especially the low-end and managers
34.	sicuramente il pubblico crea ostacoli nella P.A. e quindi invece di semplificare si peggiorano le condizioni	surely the public creates obstacles in the P.A. and therefore instead of simplifying the conditions worsen
35.	spero che lo studio sia utile per migliorare la struttura del servizio pubblico	I hope the study is useful for improving the structure of the public service
36.	Suggerisco uno studio approfondito del modello di sviluppo e di governo della Repubblica Popolare Cinese degli ultimi 20 anni	I suggest an in-depth study of the model of development and governance of the People's Republic of China in the last 20 years
37.	Valorizzare le tecniche di partecipazione mettendo gratis a disposizione della PA tool di gestione dei contributi pubblici ai processi decisionali e di governance	Enhance the participation techniques by making the public administration management tool available for decision-making and governance processes free of charge

## Appendix V. Willingness to engage descriptive results - use case: Antwerp OCMW

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018



**Empowering Citizens to Transform  
European Public Administrations**

---

---

**Public Officials' Willingness to Engage**

**Use Case: OCMW Antwerp**

---

---

<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Responsible Partner:</b>	KU Leuven
<b>Status-Version:</b>	Final
<b>Date:</b>	05/06/2018
<b>Distribution level (CO, PU):</b>	KU Leuven & VARAM

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

<b>Project Number:</b>	GA 726755
<b>Project Title:</b>	CITADEL
<b>Title</b>	Public Officials' Willingness to Engage – Descriptive results of the Antwerp OCMW vignette experiment and survey
<b>Work package responsible for the Deliverable:</b>	WP2 – Understand to Transform
<b>Editor(s):</b>	Koen Migchelbrink Steven Van de Walle
<b>Abstract:</b>	This report presents the descriptive results of the WP2 <i>Public Officials Willingness to Engage</i> vignette experiments and survey conducted at the Antwerp OCMW and the beginning of 2018.
<b>Keyword List:</b>	WP2, Public Officials Willingness to Engage, Descriptive results, Survey, OCMW.
<b>Disclaimer</b>	This document reflects only the author's views and neither Agency nor the Commission are responsible for any use that may be made of the information contained therein

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 2 of 28

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

---

---

## Document Description

---

---

### Document Revision History

Version	Date	Modifications Introduced	
		Modification Reason	Modified by
v.01	14-05-2018	First draft version	Koen Migchelbrink

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 3 of 28



---

## Table of Contents

---

Table of Contents .....	4
List of Figures .....	5
Terms and abbreviations.....	5
Executive Summary .....	6
Introduction .....	7
1 Design and Fielding of the study .....	8
2 Results vignette experiments.....	10
2.1 Data cleaning.....	10
2.2 Input legitimacy and public officials willingness to participate .....	11
2.3 Perceptions of Quality and Popular Support .....	12
3 Results survey questions .....	13
3.1 Rule-abiding attitudes .....	13
3.2 Democratic Attitudes .....	14
3.3 Job-centered red tape perceptions.....	15
3.4 Attitudes about citizen participation .....	16
3.5 Attitudes about citizens' participation competences .....	17
3.6 Previous experience with participation .....	18
3.7 Sample characteristics.....	19
3.7.1 Administrative grade.....	19
3.7.2 Age.....	19
3.7.3 Gender.....	20
3.7.4 Educational attainment.....	21
Bibliography .....	22
Appendix 1 – Base vignettes .....	24
Appendix 2 – Survey Questions.....	25
Appendix 3 – Respondents' comments and questions .....	27

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

---

### List of Figures

---

FIGURE 1. PUBLIC OFFICIALS' WILLINGNESS TO ENGAGE WITH CITIZENS .....	11
FIGURE 2. PERCEPTIONS OF QUALITY AND POPULAR SUPPORT .....	12
FIGURE 3. RULE-ABIDING ATTITUDES.....	13
FIGURE 4. DEMOCRATIC ATTITUDES .....	14
FIGURE 5. JOB-CENTERED RED TAPE PERCEPTIONS .....	15
FIGURE 6. ATTITUDES ABOUT CITIZEN PARTICIPATION .....	16
FIGURE 7. ATTITUDES ABOUT CITIZENS' PARTICIPATION COMPETENCES .....	17
FIGURE 8. PREVIOUS PARTICIPATION EXPERIENCE .....	18
FIGURE 9. SATISFACTION WITH PREVIOUS PARTICIPATION EXPERIENCES.....	18
FIGURE 10. ADMINISTRATIVE GRADE.....	19
FIGURE 11. AGE DISTRIBUTION IN ABSOLUTE FREQUENCIES.....	20
FIGURE 12. GENDER PROPORTIONS IN PERCENTAGES.....	20
FIGURE 13. EDUCATIONAL ATTAINMENT .....	21
FIGURE 14. BASE VIGNETTE 2 (DUTCH) .....	24
FIGURE 15. BASE VIGNETTE 1 (DUTCH) .....	24

---

### Terms and abbreviations

---

OCMW	Openbaar centrum voor maatschappelijk welzijn (Public Centre for Social Welfare)
WP	Work package

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 5 of 28

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

## Executive Summary

In this report, we present the descriptive results of the WP2 survey *Public Officials Willingness to Engage with Citizens* conducted at the city of Antwerp OCMW. The survey was fielded between February 19<sup>th</sup> and March 8<sup>th</sup>, 2018. A total of 233 respondents participated in the vignettes experiments, a response rate of 30.6%.

The vignette experiments indicate a positive relation between the input legitimacy of a participatory process and the willingness of public officials to participate with citizens in administrative decision-making. Furthermore, they indicate a positive relation between the input legitimacy of a participatory process and the perceptions of policy quality and anticipated popular support. The survey batteries show that respondents display a combination of rule-abiding and discretion-oriented attitudes, that they support the abstract ideal of democracy but are less clear about some of its specific characteristics. Furthermore, the survey instruments show that the rules with which respondents have to comply in their core activities are assessed to be functional but burdensome. Specific attitudes on participation vary considerably. Finally, respondents perceive citizens competent to participate.

The results are strictly descriptive.

## Introduction

The purpose of this document is to present the city of Antwerp with a descriptive report of the vignette experiment and accompanying survey on public officials' willingness to engage with citizens conducted at the city of Antwerp OCMW in the beginning of 2018.

The report contains three chapters and four accompanying appendices. In the first chapter, we situate the study in the H2020 CITADEL project and report on the method and conduct of the study. In the second chapter, we present the results of the vignette experiment. We show the effect of input legitimacy on public officials' willingness to engage with citizens in administrative decision-making. We also show the effect of input legitimacy on public officials' perceptions of the policy quality and anticipated popular support for participatory outcomes. The third chapter presents the outcomes of the five additional survey batteries included in the survey instrument: rule-abiding attitudes, democratic attitudes, job-centered red tape perceptions, attitudes about public participation, and attitudes about citizen competences. The chapter is also used to present the sample characteristics. The results in this report are descriptive.

The authors would like to thank Mr. Pieter Vermeyen and Ms. Brende Casteleyn from the city of Antwerp Organization and City Marketing department for their support.

## 1 Design and Fielding of the study

The survey of which this document presents the descriptive results is part of the H2020 Empowering Citizens to TrAnsform European Administrations (CITADEL) project. The aim of the survey is to measure the effect of input legitimacy of public officials' willingness to engage citizens in administrative decision-making. The study is conducted as part of Work Package 2 *Understand to transform*, as part of the responsibilities under tasks T2.1 *Collect and monitor information from different sources* and T2.3 *Analyze the relevant information to produce KPI Intelligence and recommendation*. The survey provides content to deliverables D2.1 *Requirements and parameters for selection of relevant information* and D2.2 *Initial recommendations for transforming the public sector processes and services*.

We employed a survey-based vignette experiment to measure the effects of input legitimacy (turnout and participants' representativeness) of public participation activities on public officials' willingness to use citizens' inputs in administrative decision-making. The design consisted of two experimental factors (turnout and participants' representativeness) that were systematically manipulated over two levels (high/low), providing four ( $2^k$ ) treatment combinations. We also included a control vignette in which no information about the input legitimacy was provided. Depending on the random assignment, respondents were presented with a public participation process characterized by low turnout and unrepresentative participants, low turnout and representative participants or high turnout and unrepresentative participants, high turnout and representative participants, or no information about turnout and participants' representativeness at all. Respondents were asked to evaluate the vignettes and answer three questions designed to assess their willingness to use public participation, their assessment of the quality of the resulting policy decision, and whether they believe the inclusion of citizens' input would positively affect the popular support for the decision. This process was repeated four times. After two evaluations, responses were interrupted using an unrelated survey instrument.

In addition to the vignette experiments, the survey instrument contained five additional survey batteries with four to seven items each. We used these survey batteries to measure respondents' rule-abidance (bureaucratic attitudes), democratic attitudes, job-centered red tape perceptions, attitudes about citizen participation, and attitudes on citizens' competences to participate (see appendix 2 for full list). Additionally, several individual-level background questions were asked to determine the sample characteristics.

We focused on public officials with the legal and administrative competences and responsibilities to participate in how decisions and policies are made, implemented, and whether citizens' inputs are included. This group of public officials was operationalized as all public officials with administrative grade A or B. For this study, we made use of all employees of the city of Antwerp OCMW. Close cooperation with the department Organizing and City Marketing (Organiseren en stadsmarketing) of the city of Antwerp ensured access to the target population. We included the entire population in the sample frame and used a total population sampling strategy.

We used the online survey application Qualtrics ([www.qualtrics.com/uk/](http://www.qualtrics.com/uk/)) to administer the survey instrument, including the vignette experiments, online. Qualtrics is ISO27001-certified and is GDPR compatible [1]. The vignettes, questions, and survey batteries of the study were presented in the respondents in their vernacular (Dutch). The descriptive results are presented in English.

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

The sampling frame contained 761 individuals. The vignettes were fielded between February 19<sup>th</sup> and March 8<sup>th</sup>, 2018. A total of 334 individuals reacted to our invitations. Seven individuals did not provide informed consent and were removed from the analysis. 56 individuals did provide informed consent but dropped-out before providing any answers. They were also excluded from the analysis. With every new question of the survey instrument the drop-out rate increased. For every survey element we reported the total corresponding number of respondents. The exception is the vignette experiment itself. Only those respondents that provided answers up to the manipulation checks were included in the descriptive analysis of the vignettes (n = 233). Based on the vignette experiments, the response rate for this study was 30.6%.

## **2 Results vignette experiments**

### **2.1 Data cleaning**

We conducted two tests to enhance the quality of the experimental data. First we conducted three manipulation checks. After respondents evaluated the vignettes, we asked three simple polar questions in order to determine whether respondents registered the experimental treatment. If not, their responses are not indicative of the experimental treatment. We asked whether one or more of the vignettes contained information about participants' age, political preferences, or educational attainment. The answer to all is no. If respondents answered more than one question wrong, they were excluded from the analysis ( $n = 17$ ).

Second, we conducted a check for speeders. Speeders are satisfiers who respond to questions in such a short period of time that they could not have read the vignette and made an evaluation of it. Respondents with a mean response time of less than 25 seconds were excluded from the analysis ( $n = 9$ ). The total number of respondents in the vignette analysis was  $n = 207$ . Vignette 4 was wrongly administered and is dropped from the analysis. The total number of vignettes assessed in this study was  $n = 1504$ .

## 2.2 Input legitimacy and public officials willingness to participate

We used the vignette experiment to measure the effect of input legitimacy on public officials' willingness to engage with citizens in administrative decision-making. We randomly manipulated two input legitimacy factors (turnout and participant representativeness) in the same context and asked respondents to evaluate the choice of a hypothetical college. Respondents were presented with a public participation process characterized by either low turnout and unrepresentative participants, low turnout and representative participants or high turnout and unrepresentative participants, high turnout and representative participants, or no information about turnout and participants' representativeness at all. The vignettes and accompanying questions were administered in the local vernacular (Dutch) and are included in appendix 1.

We measured respondents' willingness to engage with citizens on a seven point scale (1 totally disagree, 7 totally agree). Willingness was measured using the question: *What would you do if, instead of your colleague, you had to draft the policy recommendation? My policy recommendation would depend strongly on the input provided by the local residents.* Importantly, the same manipulations were replicated over two different cases (wordings). Therefore, the bottom four parameters show the same effect as the top five corresponding parameters.

Figure 1 shows the mean willingness to participate score as a result of the respective treatment combination. In both wordings, the high turnout / representative participants treatment combination corresponds to the highest willingness to participate score (5.18 and 5.38 respectively). Also for both wordings, the low turnout / unrepresentative participants treatment combination displays the lowest willingness scores (3.71 and 3.73 respectively). Based on this descriptive observation, we expect there to be a positive effect between the input legitimacy of participation and the willingness of the respondents to use citizen input in the policy recommendation. Two further observations are relevant here. We observe that the low turnout / representative participants treatment combination displays a higher willingness score than the high turnout / unrepresentative participants treatment combination. This indicates that representative participation could be a more important factor in public officials' willingness to engage with citizens than high turnout. Second, the control vignettes display the second highest willingness to engage scores. This could indicate that public officials are willing to participate, except in the case of a clear violation of the input legitimacy of the participatory process.

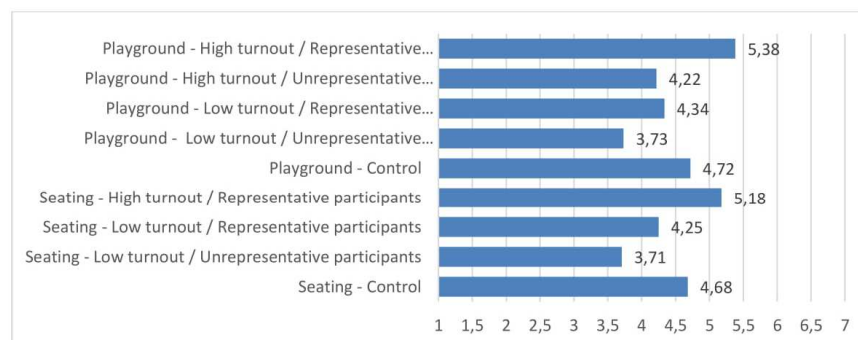


Figure 1. Public officials' willingness to engage with citizens



### 2.3 Perceptions of Quality and Popular Support

The input legitimacy of the participatory process also affect public officials' expected outcomes of that process. Two important output factors are the perceived quality of the policy outcomes and the popular support for those specific policies.

We also study, we also measured the effect of input legitimacy on respondents' perceptions of the quality of the policy outputs and the anticipated popular support for those policies. We asked respondents the following questions: *By engaging the input of these local residents, the quality of the recommendation will increase considerably* and *by engaging the input of these local residents, the acceptance of the policy recommendation's outcome by local residents will increase considerably*. Figure 2 displays respondents' perceptions of policy quality and anticipated popular support for the policies for each treatment combination on a seven point scale (1 totally disagree, 7 totally agree). We present the results of both questions in the same figure, the dark bars represent the perceived policy quality and the light bars the anticipated popular support.

We observe that the variation is roughly similar to the variation in figure 1. Respondents rated the perceived policy quality and anticipated popular support highest for the treatment combination high turnout / representative participation. Similarly, respondents rated the perceived policy quality and anticipated popular support lowest for the treatment combination low turnout / unrepresentative participation. There appear to be a positive relation between the input legitimacy of the participatory process on the one hand, and public officials' perceived policy quality and anticipated popular support on the other.

The differences between the treatment combinations high turnout / unrepresentative participation and low turnout / representative participation are very small and probably not statistically significant. The control vignettes are the vignettes with the second highest scores. This could indicate that respondents perceive all forms of public participation to produce qualitative policy outcomes and popular support, except when at least one dimension of input legitimacy is explicitly violated.

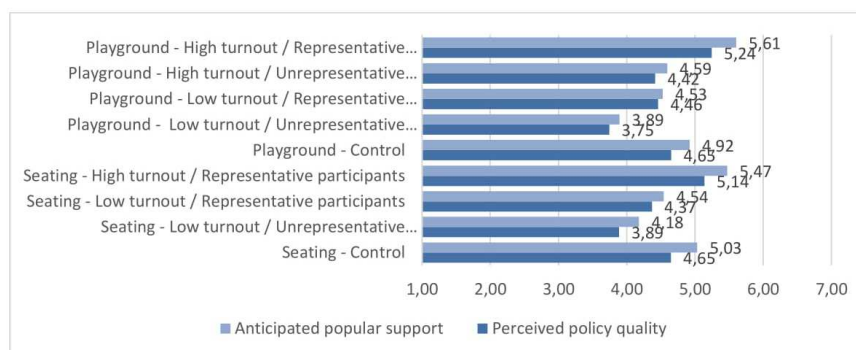


Figure 2. Perceptions of quality and popular support

### 3 Results survey questions

#### 3.1 Rule-abiding attitudes

We measured the bureaucratic attitudes of respondents using rule-abidance attitudes. Bureaucratic attitudes are associated with public officials' rule-abiding identities. Rule-abiding identities are self-assessed projections of what it means to follow administrative rules and guidelines in particular administrative circumstances. In general, rule-following behavior is indicative of traditional bureaucratic attitudes, whereas discretion-using attitudes are indicative of a departure of the traditional view in favor of more responsiveness to individual citizens [2].

We use items from two sources to measure public officials rule-abiding attitudes. The first three items are borrowed from Oberfield's 2009 study on continuity and change during organizational socialization [2]. The last two items are borrowed from Portillo and DeHart-Davis' 2009 study on gender and organizational rule abidance [3]. Portillo and DeHart-Davis borrowed them from Baker et al [4] and Gordon [5]. Figure 1 displays respondents' rule-abiding attitudes. Figure 5 shows the mean scores for the five rule-abidance items on a scale of 1 (totally disagree) to 7 (totally agree). The second, third, and fourth item are formulated in reverse, indicating discretion-using attitudes.

Overall, the items display high mean scores. The first and fifth items, both indicating rule-abidance, display consistent modest agreement. The three reverse worded items display less consistency. Whereas respondents show strong agreement with *People and situations are unique and should be treated on a case-by-case basis* and *When I think a rule is pointless, I will find a way around it*, they are less positive about *sometimes it's okay to bend the rules to help a person who deserves it*. The results are not unambiguous; there is evidence both for a traditional bureaucratic identity and a more discretion-based identity. The rules appear to indicate that respondents are in favor of client-centered services but are more hesitant when this requires bending the rules.

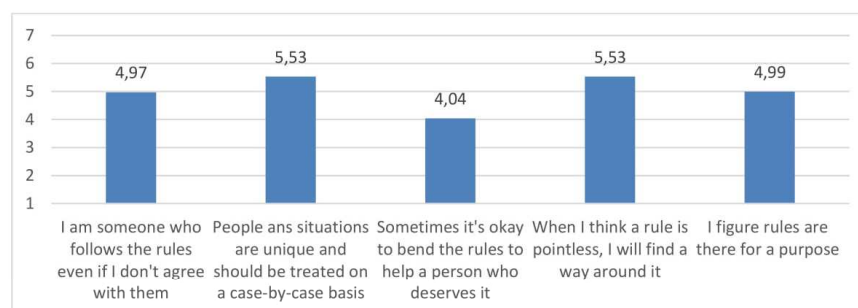


Figure 3. Rule-abiding attitudes

### 3.2 Democratic Attitudes

Citizen participation in administrative decision-making is seen as a mechanism to increase the democratic character of public governance and administration [6]. It responds to the democratic ideal that citizens should have a direct say in the rules and regulations that govern them. Public officials' own democracy perceptions could serve as an important explanatory variable explaining public officials' willingness to engage with citizens in administrative decision-making.

We measured respondents' democratic attitudes using items from two sources. The first four items are borrowed from Bertou and Pastorella's [7] study into citizens' perspectives on expert decision-making. The last two items are based on the 4<sup>th</sup> wave of the European Values Study [8]. Figure 2 shows the mean scores for the six democratic attitudes on a scale between 1 (totally disagree) and 7 (totally agree).

The first and last items show strong support for the abstract conception of democracy as a government system. Respondents agree that *Democracy may have problems but it's better than any other form of government* and *Having a democratic system is best for the country*. At the same time, respondents show support for *Having experts, not government make decisions is best for the country*, and marginal support for *Democracies are indecisive and have too much squabbling*. Respondents appear to disagree with the statements that *In a democracy, the economic system runs badly* and that *Democracies are bad at maintaining order*.

Overall, respondents show clear support for the abstract concept of democracy as a system of government while being more critical of specific elements of a democratic system.

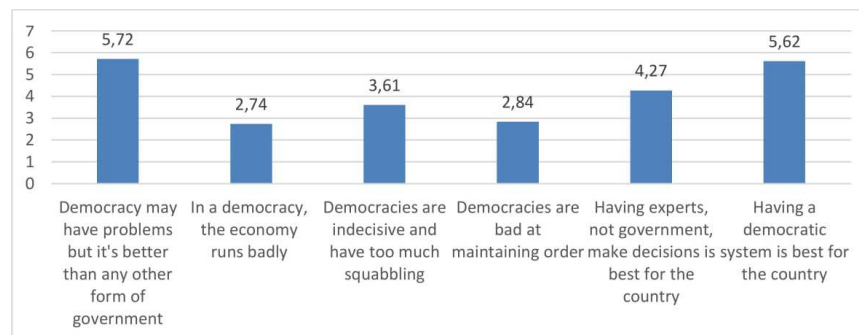


Figure 4. Democratic attitudes

3.3 Job-centered red tape perceptions

Public officials could be unwilling to engage with citizens because they perceive the inclusion of citizens as an unwanted burden [9]. Yang and Pandey argue that “Mangers who are trapped by more red tape are less tolerant of risk taking and change [...], which are necessary if effective participation outcomes are expected” (7, p. 882). Red tape is defined as: “rules, regulations, and procedures that remain in force and entail a compliance burden for the organization but have no efficacy for the rules’ functional object” (8, p. 283). This definition contains two elements of red-tape: lack of functionality and a compliance burden [10], [11]. A lack of functionality refers to the inability of the rules to meet operational requirements; they are not serving the stated objectives. A compliance burden is described as the excessive need for time, energy, or other resources necessary for complying with the rules [11]. We use the two-dimensional job-centered red tape scale developed by Van Loon, Leisink, Knies, and Brewers [11] to measure the job-related red tape perceptions of the respondents.

Figure 7 displays respondents’ mean scores for job-centered red tape perceptions on a scale of 1 (totally disagree) to 7 (totally agree). The first three items measure perceptions of rules’ lack of functionality, the last three measure the perceived compliance burden. The first three items are reverse formulated (indicating no lack of functionality).

The first three items display relatively high mean scores. These scores indicate that respondents do not perceive the rules with which they have to comply with in their core activities lack functionality. The latter three items display somewhat lower mean scores but are still positive. These scores appear to indicate that respondents assess the rules with which they have to comply with in their core activities to be burdensome.

Overall, the job-centered red tape perceptions among the respondents show to diverging trends. Rule functionality is assessed positively while rule abidance appears to be problematic.

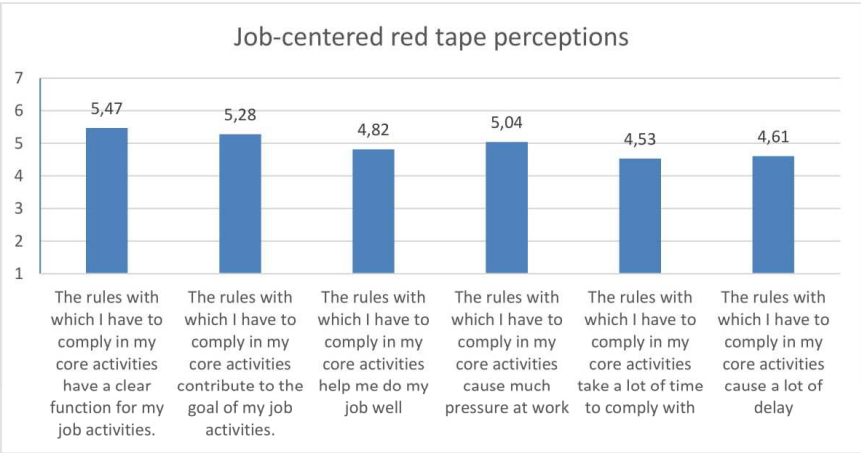


Figure 5. Job-centered red tape perceptions

### 3.4 Attitudes about citizen participation

In addition, public officials' willingness to engage with citizens in administrative decision-making can be influenced by specific attitudes and opinions about citizen participation. Some of these attitudes are examined in other studies [9], [12]. We measure respondents' specific attitudes toward citizen participation using the Participation Outcome instrument by Yang and Pandey [9] and two items of the Responsiveness to Participatory Values instrument by Yang and Callahan [13].

The mean scores are presented in figure 4. The scores range from 1 (totally disagree) to 7 (totally agree). The first four items came from Yang and Pandey's Participation Outcome instrument and the last two items come from Yang and Callahan's Responsiveness to Participatory Values instrument.

Overall, the mean scores display a lot of variation. There are two items with which respondents agree more than they disagree: *Citizen participation slows down the decision-making process* and *citizen participation improves the decision-making process by bringing in new ideas*. All other scores display disagreement scores. Respondents disagree most with the statement: *in most instances, the administration would have reached the same decisions without citizens input* and *citizen participation in the decision-making process reduces my influence as a public official*. Furthermore, respondents do not agree with the statements that the value of public participation is overrated, nor that it requires more effort than it is worth. More ambiguous are respondents about whether citizen participation makes it harder to reach consensus and closure in the decision-making process.

The overall results indicate that respondents are positive about specific aspects of public participation, even though they think public participation slows the decision-making process down.

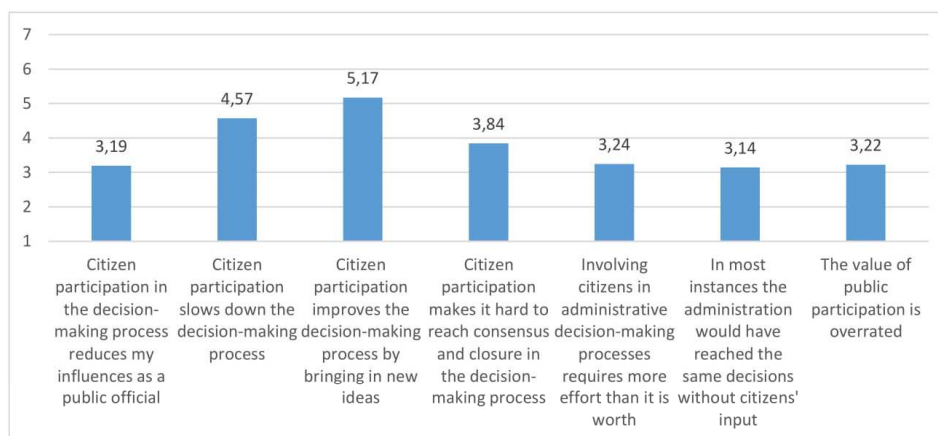


Figure 6. Attitudes about citizen participation



3.5 Attitudes about citizens’ participation competences

Public officials’ willingness to engage with citizens in administrative decision-making is also dependent on their assessments of citizens’ participation competences [9]. Most studies agree that citizens lack the knowledge to participate effectively (12–15). At the same time, Yang and Pandey concluded that public officials’ perceptions of citizen competences were strongly and positively associated with participation outcomes [9].

We use four items to measure respondents’ attitudes about the participation competence. The first two are formulated to measure general attitudes about citizen competences. The latter two are borrowed from Yang and Pandey and specify those general attitudes [9]. The latter two items are. Figure 5 displays the mean scores of respondents’ attitudes about citizens’ participation competences.

One of the four items displays more agreement than disagreement. Respondents seem to agree that citizens have the skills needed to make a valuable contribution. At the same time, respondents disagree with the statement that citizens pursue the interests of the entire community. Respondents display modest disagreement to the items specifying whether citizens have the expertise and technical knowledge, or civic knowledge on how government works to participate.

Whereas respondents agree with the statement that citizens are capable to participate, they do not believe citizens have to expertise or technical knowledge, or civic knowledge to do so.

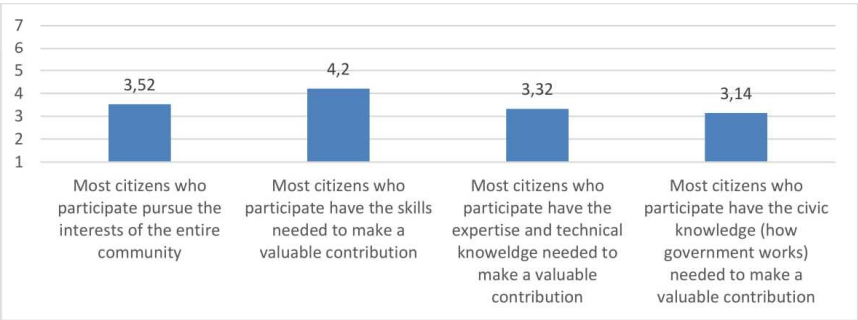


Figure 7. Attitudes about citizens' participation competences

### 3.6 Previous experience with participation

Another factor influencing public officials' willingness to use public participation in administrative decision-making is prior participatory experiences. Prior experience can increase or decrease public officials' willingness to engage with citizens. On the one hand, positive experiences are shown to have a positive effect on public officials' assessments of public participation. Public officials are accustomed to citizens having a role in decision-making and are aware of the possible beneficial effects of inclusion [14]–[16]. On the other hand, negative previous experiences can reduce public officials' willingness to engage citizens in administrative decision-making. For example when media reports negatively about participation activities [12].

We measure respondents' participation experiences on a five-point scale (1 never, 5 always) using two self-assessment questions. Public officials can have prior public participation experience as a professional or as a private citizen. Figure 10 displays respondents' prior participation experiences. Though the overall experience with public participation appears low, respondents report to have considerably more experience with public participation as a private individual than as a public official.

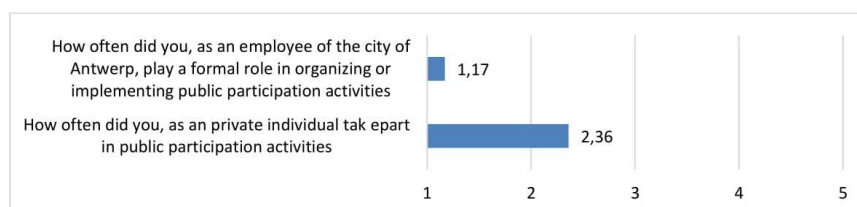


Figure 8. Previous participation experience

Additionally, we asked respondents with prior participation experience to indicate whether those experiences were positive or negative. Figure 11 displays the mean scores on a five-point scale (1 negative, 5 positive). Overall, these experiences are rated positively.

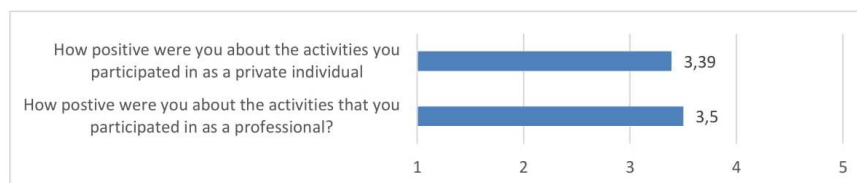


Figure 9. Satisfaction with previous participation experiences

### 3.7 Sample characteristics

The quality of research is in part dependent on the measure to which population characteristics are replicated in the sample under observation. In the following four graphs, we look at the sample and population distributions of administrative grade, age, and gender. Also, we look at the distribution of educational attainment for the sample.

#### 3.7.1 Administrative grade

The administrative grade of respondents is one of the selection criteria of this study. Administrative grades are dependent on educational attainment and are a rough indicator of individuals' place within the administrative bureaucracy. Table 10 shows the percentages of administrative grade A and B public officials at the Antwerp OCMW. First, the sampling strategy appeared to have produced a successful reflection of the population characteristics. The differences between the sample and population parameters for both grade A and grade B differ only .2 percent. Second, there are over four times as many grade B employees as grade A employees at the Antwerp OCMW.

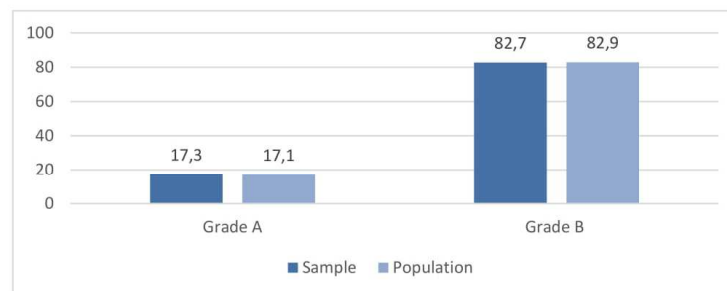


Figure 10. Administrative grade

#### 3.7.2 Age

Second, the distribution of age categories of the population and the sample. The age of the average respondents' is 41.9 years old, higher than the 39.8 years of the average OCMW Antwerp employee. Figure 11 shows the age distributions of the sample and the overall population in absolute frequencies. The age distribution shows a large overrepresentation of relatively younger employees. The sampling procedure reached all age categories of the Antwerp OCMW. But whereas relatively older employees are relatively accurately sampled, the younger half of the age distribution appears under-sampled. This under-sampling of the younger OCMW-employees could explain the differences between the average respondent's age and the age in the sample.



WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

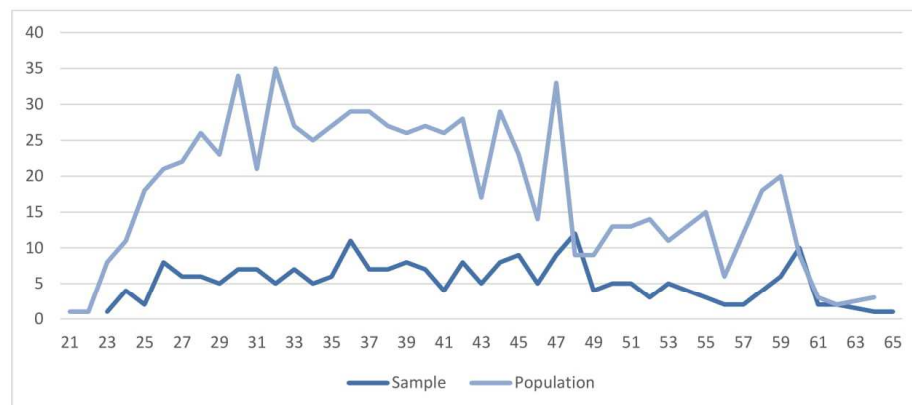


Figure 11. Age distribution in absolute frequencies

### 3.7.3 Gender

Third, the gender proportion. Figure 12 displays the gender proportions of the sample and the population. Importantly, while the gender proportion of the sample is based on self-reporting, the gender proportion of the population is based on the personnel files of the city of Antwerp. The 'x' parameter displays the number of individuals who did not disclose their gender to the researchers ( $n = 30$ ). The sample consists of 59% women and 29% men (the remainder stated 'x'), the population consists of 76% women and 24 % men. The gender differences appear less pronounced in the sample than in the population. Part of the relative differences can be explained by the rest-category 'x'. Overall, the proportional difference between women and men for both the sample and the population is roughly 1/3.

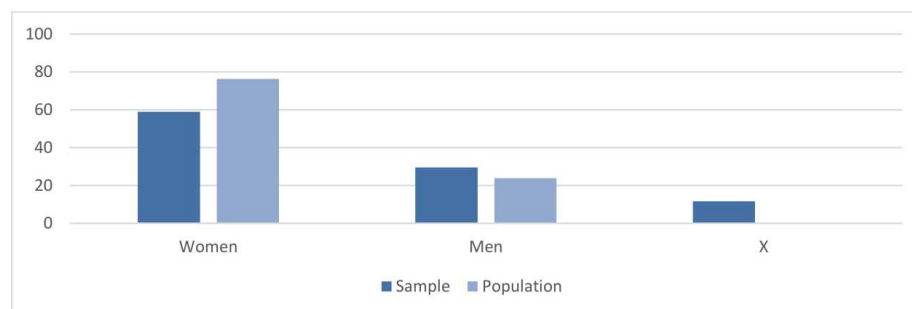


Figure 12. Gender proportions in percentages

3.7.4 Educational attainment

The final sample characteristic is educational attainment. Information about educational attainment was only attainable for the sample. We do not have individual-level information about the educational attainment of the sample population. The educational attainment instrument is borrowed from the seventh round (2014) of the European Social Survey. Figure 13 displays the absolute frequencies per education category for all respondents. 30 respondents did not provide information on their highest level of completed education or training. Most of respondents (n = 160, or 62%) completed a vocational education of the first cycle or professional bachelor. This level of educational attainment corresponds to administrative grade B. 42 respondents have completed either an academic (n = 35) or professional (n = 7) master, and three individuals completed either a doctorate or a master-after-master.

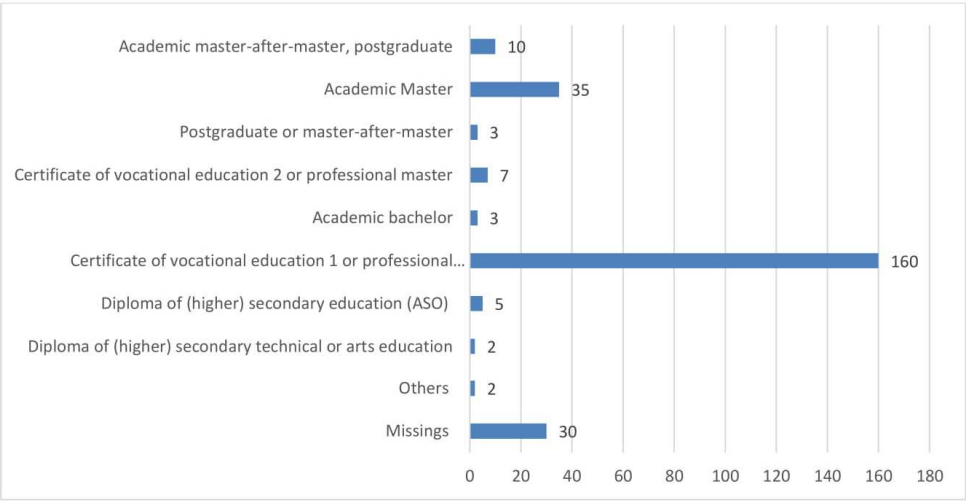


Figure 13. Educational Attainment

## Bibliography

- [1] Qualtrics, "Safe. Secure. And ready for GDPR." [Online]. Available: <https://www.qualtrics.com/uk/platform/gdpr/>. [Accessed: 14-May-2018].
- [2] Z. W. Oberfield, "Rule Following and Discretion at Government's Frontlines: Continuity and Change during Organization Socialization," *J. Public Adm. Res. Theory*, vol. 70, pp. 735–755, 2009.
- [3] S. Portillo and L. DeHart-Davis, "Gender and Organizational Rule Abidance," *Public Adm. Rev.*, vol. 69, no. 2, pp. 339–247, 2009.
- [4] S. H. Baker, A. Etzioni, R. A. Hanson, and M. Sontag, "Tolerance for Bureaucratic Structure: Theory and Measurement," *Hum. Relations*, vol. 26, no. 6, pp. 775–786, 1973.
- [5] L. V. Gordon, "Measurement of Bureaucratic Orientation," *Pers. Psychol.*, vol. 23, no. 1, pp. 1–11, 1970.
- [6] T. Nabatchi, "Addressing the Citizenship and Democratic Deficits; The Potential of Deliberative Democracy for Public Administration," *Am. Rev. Public Adm.*, vol. 40, no. 4, pp. 376–399, 2010.
- [7] E. Bertou and G. Pastorell, "Technocratic attitudes; a citizens' perspective of expert decision-making," *West Eur. Polit.*, vol. 40, no. 2, pp. 430–458, 2017.
- [8] EVS, "European Values Study Longitudinal Data File 1981-2008." GESIS Data Archive, Cologne, 2015.
- [9] K. Yang and S. K. Pandey, "Further Dissecting the Black Box of Citizen Participation: When Does Citizen Involvement Lead to Good Outcomes?," *Public Adm. Rev.*, vol. 71, no. 6, pp. 880–892, 2011.
- [10] B. Bozeman, "A Theory of Government 'Red-Tape,'" *J. Public Adm. Res. Theory*, vol. 3, no. 3, pp. 273–303, 1993.
- [11] N. M. Van Loon, P. L. M. Leisink, E. Knies, and G. A. Brewer, "Red Tape: Developing and Validating a New Job-Centered Measure," *Public Adm. Rev.*, vol. 76, no. 4, pp. 662–673, 2016.
- [12] K. Yang and K. Callahan, "Assessing Citizen Involvement Efforts by Local Governments," *Public Perform. Manag. Rev.*, vol. 29, no. 2, pp. 191–216, 2005.
- [13] K. Yang and K. Callahan, "Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality," *Public Adm. Rev.*, vol. 67, no. 2, pp. 249–264, 2007.
- [14] W. L. Huang and M. Feeney, "Citizen Participation in Local Government Decision Making; The Role of Manager Motivation," *Rev. Public Pers. Adm.*, vol. 36, no. 2, pp. 188–209, 2016.
- [15] K. H. Pendersen and L. Johannsen, "Where and How You Sit; How Civil Servants' view Citizen's Participation," *Adm. Soc.*, vol. 48, no. 1, pp. 104–129, 2016.
- [16] Y. Zhang and K. Yang, "Citizen Participation in the Budget Process: The Effect of City

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

Managers,” *J. Public Budgeting, Accounting, Financ. Manag.*, vol. 21, no. 2, pp. 289–317, 2009.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 23 of 28

## Appendix 1 – Base vignettes

### Stelt u zich de volgende situatie voor:

Een collega van u – een medewerker bij stad Antwerpen - is gevraagd een beleidsadvies te schrijven over het vervangen van een aantal fietsenstallingen door openbare zitgelegenheden.

Stadsbewoners maken steeds meer gebruik van de fiets om van en naar het werk en de winkels te geraken. Het stallen van deze fietsen neemt veel spaarzame ruimte in de binnenstad in beslag. Gelijktijdig is er een grote behoefte aan meer openbare zitplaatsen en parkbanken ter ontspanning en om vrienden en familie te ontmoeten. Het vervangen van een aantal fietsenstallingen door openbare zitplaatsen is een oplossing, maar komt ten koste van de schaarse ruimte om fietsen te stallen. Om dit dilemma op te lossen zijn omwonenden gevraagd hun mening te geven over de wenselijkheid van het vervangen van een aantal fietsenstallingen door openbare zitplaatsen en parkbanken.

De inspraak leverde heel wat <minder/meer> reacties op dan was verwacht. Deze kwamen <vooral van een selecte groep actieve omwonenden/van een representatieve groep omwonenden>. Jouw collega weegt op basis van deze informatie af hoe belangrijk de door de omwonenden geleverde informatie wordt in het uiteindelijke beleidsadvies.

Figure 15. Base vignette 1 (Dutch)

### Stelt u zich de volgende situatie voor:

Een collega van u - medewerker bij stad Antwerpen - is gevraagd een beleidsadvies te schrijven over de aanleg van een nieuwe buurtspeeltuin.

De verwachting is dat een nieuwe buurtspeeltuin de leefbaarheid van de wijk zal vergroten en de wijk aantrekkelijker zal maken voor gezinnen met jonge kinderen. Gelijktijdig wordt verwacht dat de overlast in de wijk zal toenemen. Daarnaast blijft er minder geld over voor andere projecten ter verbetering van de leefbaarheid in de wijk. Om dit dilemma op te lossen zijn omwonenden gevraagd hun mening te geven over de wenselijkheid van een nieuw aan te leggen buurtspeeltuin.

De inspraak leverde heel wat <minder/meer> reacties op dan was verwacht. Deze kwamen <vooral van een selecte groep actieve omwonenden/van een representatieve groep omwonenden>. Jouw collega weegt op basis van deze informatie af hoe belangrijk de door de omwonenden geleverde informatie wordt in het uiteindelijke beleidsadvies.

Figure 14. Base vignette 2 (Dutch)

## Appendix 2 – Survey Questions<sup>1</sup>

### 1. Rule-abidance (1 totally disagree, 7 totally agree)

- a. I am someone who follows the rules even if I don't agree with them.
- b. People and situations are unique and should be treated on a case-by-case basis.
- c. Sometimes it's okay to bend the rules to help a person who deserves it.
- d. When I think a rule is pointless, I will find a way around it.
- e. I figure that rules are there for a purpose.

### 2. Democratic attitudes (1 totally disagree, 7 totally agree)

- a. Democracy may have problems but it's better than any other form of government.
- b. In democracy, the economic system runs badly.
- c. Democracies are indecisive and have too much squabbling.
- d. Democracies are bad at maintaining order.
- e. Having experts, not government, make decisions to what they think is best for the country.
- f. Having a democratic system is best for the country.

### 3. Job-centred red tape perceptions (1 totally disagree, 7 totally agree)

- a. The rules with which I have to comply in my core activities have a clear function for my job activities.
- b. The rules with which I have to comply in my core activities contribute to the goal of my job activities.
- c. The rules with which I have to comply in my core activities help me do my job well.
- d. The rules with which I have to comply in my core activities cause much pressure at work.
- e. The rules with which I have to comply in my core activities take a lot of time to comply with.
- f. The rules with which I have to comply in my core activities cause a lot of delay.

### 4. Attitudes about public participation (1 totally disagree, 7 totally agree)

- a. Citizen participation in the decision-making process reduces my influence as a public official.
  - b. Citizen participation slows the decision-making process.
  - c. Citizen participation improves the decision-making process by bringing in new ideas.
  - d. Citizen participation makes it hard to reach consensus and closure in the decision-making process.
-

WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

- e. In most instances, the administration would have reached the same decision without citizen input.
- f. The value of public participation is overrated.

**5. Attitudes about citizens competences to participate** (1 totally disagree, 7 totally agree).

- a. Most citizens who participate pursue the interest of the entire community.
- b. Most citizens who participate have the people skills needed to make a valuable contribution.
- c. Most citizens who participate have the expertise or technical knowledge needed to make a valuable contribution.
- d. Most citizens who participate have the civic knowledge (how government works) needed to make a valuable contribution.

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 26 of 28

### Appendix 3 – Respondents' comments and questions

#	Respondents' Comments and Questions
20	persoonlijk heb ik het altijd lastig met stellingen. Zelf ben ik iemand die het vaak van situatie tot situatie bekijkt. Tevens is er ook het "not in my backyard" gevoel, wat de opinie beïnvloed: hoe zwaar is de materie, voel ik rechtstreekse voor- en nadelen, welke doelgroep, voorhistorie,... dus een uniforme lijn trekken, is te kort door de bocht
24	Het is soms moeilijk een correct antwoord te geven, omdat er heel wat onbekende factoren zijn. De stellingen laten daarenboven weinig ruimte voor nuance en net dat is in materie als deze wel bepalend.
30	Graag zou ik de tegenstrijdigheden in mijn antwoorden te zien krijgen.
36	het is steeds lastig dat bij multiple choice geen nuance mogelijk is :)
43	Veel succes met de onderzoeksresultaten !
47	super interessante vragenlijst. Benieuwd naar de resultaten...
87	Ik werk voor het OCMw Antwerpen en vraag me af af deze vragenlijst dan ook voor ons bestemd is. Wij werken met een andere insteek en doelstelling dan effectief Stadspersoneel.
96	ik ben van mening dat ook zwakkere groepen meer gemotiveerd dienen te worden om mee te doen aan burgerinspraak
108	geen eenvoudige vragen
118	het raadplegen van een groep mensen wordt gestuurd door datgene dat de politiek graag zou wensen en is in het geheel niet objectief.
127	De voorbeeldvragen over het kinderspeelplein en zitplaatsen zijn te beoordelen op zijn gehele situatie en niet alleen op basis van de informatie van vele of enkele omwonenden.
145	De stad en districten erkennen momenteel structureel adviesraden voor verschillende domeinen (cultuur, sport, jeugd, senioren). Toch wel een belangrijk inspraakforum dat hier niet aan bod komt. De werking daarvan mag zeker ook eens bekeken worden. Vooral omdat dit nu verschilt per district en per adviesraad. Met wisselende resultaten en werkingen.
148	je kan nooit een correct antwoord geven, ik heb de hele tijd het gevoel gehad dat ik mijn antwoord wou motiveren
153	vraag ivm aan passen van de regels: enkel indien men dit kan verantwoorden door andere regels.
173	opmerking: ik woon niet in Antwerpen (zelfs niet provincie Antwerpen)
181	graag feed back
213	Ik heb nog een aantal bedenken betreffende de inhoudelijke stellingvorming bv wie wordt beschouwd als expert ?
222	Ik ben niet van mening dat een representabel geheel van de bevolking deelneemt aan een inspraakmogelijkheid.
239	ik ben geen inwoner van de Stad Antwerpen. Daarom was ik nog niet betrokken bij burgersinspraak.
242	Zoals bij de meeste enquêtes ontbreekt de mogelijkheid om sommige antwoorden te duiden. Dat is begrijpelijk vanuit het standpunt van verwerking, maar maakt dat de output mogelijks niet het werkelijke gedachtegoed reflecteert. Je weet wát ze



WP2 Willingness to Engage – OCMW Antwerp

Final – 05.06.2018

---

denken, maar niet waarom. En juist dat lijkt me de essentie om er beleidsmatig iets mee te kunnen doen.

---

Project Title: CITADEL

Contract No. GA 726755

[www.citadel-h2020.eu](http://www.citadel-h2020.eu)

Page 28 of 28

## Appendix VI. Non-use of digital services survey instrument (English)

### CONSENT FORM

This survey is conducted in the framework of the project “Empowering Citizens to Transform Public Administrations (CITADEL)” implemented under the European Union’s (EU) research programme “Horizon-2020”. By participating in this survey you agree that the researcher of the University of Latvia records and uses information and comments provided by you to enhance understanding on the research issues. The main objective is to clarify:

1. **Why people in Latvia use very little or do not use at all electronically available services, for example public services latvija.lv, Electronic Declaration system (EDS) or other?**
2. **Why people decide to visit the State and Local Governments a Single Client Service Centers (VPVKAS/SLGSCSC) instead of using electronically available services?**

Your participation in this research is voluntary and if you choose not to participate it will not impose any negative consequences. Please, take into account that you can stop answering questions at any moment. You can also choose not to answer any of questions.

The research work will ensure full confidentiality related to your participation and the information provided by you. No information according to which you can be identified will be revealed.

By submitting this form you agree that you are aware of the objectives of research and this interview, and that you are more than 18 years old and agree to the conditions of interview.

If you have any questions or if you would like to receive a copy of this document, please, contact us by e-mails:  
[Zane.zeibote@lu.lv](mailto:Zane.zeibote@lu.lv) or [sergejs.stacenko@lu.lv](mailto:sergejs.stacenko@lu.lv)

I voluntarily agree to participate in the research and understand its objective. I understand that I can stop interview at any moment without any consequences.

Date:

Signature:

## QUESTIONNAIRE

### 1. ADMINISTRATIVE PART

Questionnaire number	
Interviewer name	
Date	
Place	
Interview starting time	
Interview end time	
Permission for the interview recording (yes / no)	

#### Screening questions:

- First, to find out whether a visitor would like to receive consultation/information or to apply for some services, or to receive practical advice/help. **In the questionnaires only those visitors are included, who wish to apply for certain State Revenue Service (VID/SRS) and State Social Insurance Agency (VSAA/SSIA) services.**
- Secondly, to find out whether a visitor is a Latvian citizen or a resident who is residing in Latvia for long term. Not interviewed: immigrants, expatriates or exchange students.

### 2. DEMOGRAPHIC PART

*(This part is aimed to identify the respondents according to the project's categories and define the technical ability of the respondents to receive e-services in general terms)*

**According to the defined by the project requirements, interviews with the following categories of respondents are essential:**

- A minimum of 2 persons in each age group: up to 25 years; from 25 to 40 years; from 41 to 65; and over 65 years;
- A minimum of 2 persons from each education category: compulsory basic education (9- years) or lower-level vocational education; secondary education; higher education;
- A minimum of 2 persons from each of the following categories of income: up to 838 euros per month (gross, per person); over 838 euros per month (gross, per person).

1. Age	Notes
Less than 25 years old	
25 - 40 years	
41 - 65 years	
66 years and over	

2. Level of education	Notes
Basic education or lower level professional education	
Secondary education	
Higher education	
NA	

3. Level of income per person, bruto (EUR)	Notes
0-838 <sup>1</sup>	
Over 838	
NA	

4. Gender	Notes
Female	
Male	

### 3. E- SERVICES (NOT) USE OF EXPERIENCE

*The aim<sup>2</sup> of this part is to notice:*

1. Why people do not use (use very little) electronically available services?
2. Why do people choose to come to VPVKAC/SLGSCSC instead of using the e-services self-reliantly?

**1. Why you do not use e-services, such as online [www.Latvija.lv](http://www.Latvija.lv) offered by the state or local government authorities?**

Do not use, because

**2. Why do you decide to visit the State and Local Governments a Single Client Service Centers (VPVKAS/SLGSCSC)?**

### 3. VPVKAC/SLGSCSC SUPPORT OF E-SERVICES RECEIVING

*(In this part all respondents are interviewed with an aim to find out if they are satisfied with the support provided by the VPVKAC/SLGSCSC's employees, what improvements are needed so that those who do not use e-services by themselves will start to use them and what is needed if anything to enhance support offered by the VPVKAC/SLGSCSC)*

1. Do you know how you can receive help from the employees of the VPVKAC/SLGSCSC to apply to VID/SRS or VSAA/SSIA services electronically?

Yes	to 2 question
No	to 3 question
N/A	

2. Where did you learn how you can receive help from VPVKAC/SLGSCSC employees on the use of e-services?

<sup>1</sup> Average salary in Latvia at the end of 2016.

<sup>2</sup> There are the so-called "Opened" questions in this part of the questionnaire in which an interviewer asks visitors and makes attempts to get as much information as possible.

3. Have you ever used help of the VPVKAC/ SLGSCSC employees to apply for VID or VSAA electronic services on VPVKAC/ SLGSCSC premises?

Yes	to 4 question
No	to 5 question
N/A	

4. Are you satisfied with the support provided by employees of the VPVKAC/ SLGSCSC in receiving e-services? (for those who is receiving support for making application for e-services and those who is applying themselves)

Yes, because.....
No, because.....
N/A

5. In your opinion, could you yourself use e-services next time without VPVKAC/ SLGSCSC employees help, considering your skills and knowledge and kind of devices that you have at your disposal?

Yes, because .....
No, because.....
Don't know, because .....

6. What kind of new e-services you will need in future? Could it be other services provided by VPVKAC/ SLGSCSC?

---



---

## 5. ASSISTANT OF E- SERVICES

**An e-assistant is electronic service, what an employee of the VPVKAC/ SLGSCSC applied for on behalf of the other person.**

An employee of the VPVKAC/SLGSCSC based on a valid identity document verifies a person's identity, who authorizes an employee of the the VPVKAC/SLGSCSC to apply for electronic services in its name; the employee identifies himself/herself on the public administration services online [www.latvija.lv](http://www.latvija.lv) as trustee; after filling in electronic applications receives written confirmation of the person that the electronic service application data are entered in the veracity; which VPVKAC/SLGSCSC keeps for a period of three months after the electronic service fulfillment day; records the electronic service application.

Would you agree to use the e-assistant electronic service is it would be available at the  
VPVKAC/ SLGSCSC?

Yes, because .....
No, because.....
Don't know