

**CITIES AS ARENAS OF POLITICAL INNOVATION
IN THE STRENGTHENING OF DELIBERATIVE AND
PARTICIPATORY DEMOCRACY**

INITIAL REPORT

Review of existing forms of local democratic governance

DECEMBER 2021

EUARENAS investigates the ways in which social movements coupled with local government reform initiatives, manifesting themselves in local-level experiments, create momentum for political change that include more inclusive and participatory forms of governance.



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Introduction

A crisis of the public sphere has been going on for decades. This situation has called for the use of a long list of methods and techniques whose goal is the restoration of the public sphere to its essential role as a real-virtual space mediating communication between the political and social spheres. Participation has been treated as a key method for improving the dialogue among citizens and authorities and as a remedy for the shortcomings of representative democracy and its institutions. In recent years, the use of participatory methods has started to be supplemented with deliberative methods. They are seen as more representative in expressing social opinions and needs, and as more effective in bridging the divide.

The scope of research and analysis carried out within WP3 is primarily designed for understanding and explaining processes and mechanisms conditioning innovative democratic experiments. WP3 will contribute to learning from the past – i.e., gaining insight into the existing and already applied methods, processes, and tools to support citizen participation in local democracies. This will provide a detailed knowledge on how specific groups of citizens engage with specific approaches and the impact of these approaches in their local contexts.

The role of WP3 is thus to gather expertise from diverse local settings where innovations in participatory and deliberative democracy (i.e., concrete governance practices) have taken place. The analysis is guided by the basic research questions of the EUARENAS project, which, in relation to the scope of works carried out under WP3, may be reformulated as follows:

1. How do local democratic governance innovations emerge and to what extent they are the product of learning from other local governance contexts?
2. What concrete agendas, actor constellations and strategies characterize these governance experiments?
3. What are the circumstances that trigger the decisions to implement governance innovation?
4. Which are the key drivers (economic, political and cultural) that influence or bias local outcomes of democratic governance experiments?
5. In what ways are local forms of deliberative and participatory democracy influenced by multilevel governance relationships with regional and national levels?
6. How successful can the implementation of local governance innovations be in other places and at different levels of governance?
7. To what extent do the new technologies and digital platforms support participatory/deliberative governance technics or deteriorate them?
8. What is the added value of substantive provided by participatory/deliberative means?
9. Which governance practices and institutional arrangements best facilitate citizen engagement and co-governance and democratize the local governance?

The key objective of WP3 is not only to reconstruct trajectories of governance innovation based on a comparison of contextual and structural drivers of innovation and indicators of institutional change. As important is the comprehension of learning processes that occurred in the case study cities and how these have affected the evolution of collaborative governance.

To achieve these objectives, the following Research Tasks have been/are to be performed under WP3 (Figure 1):

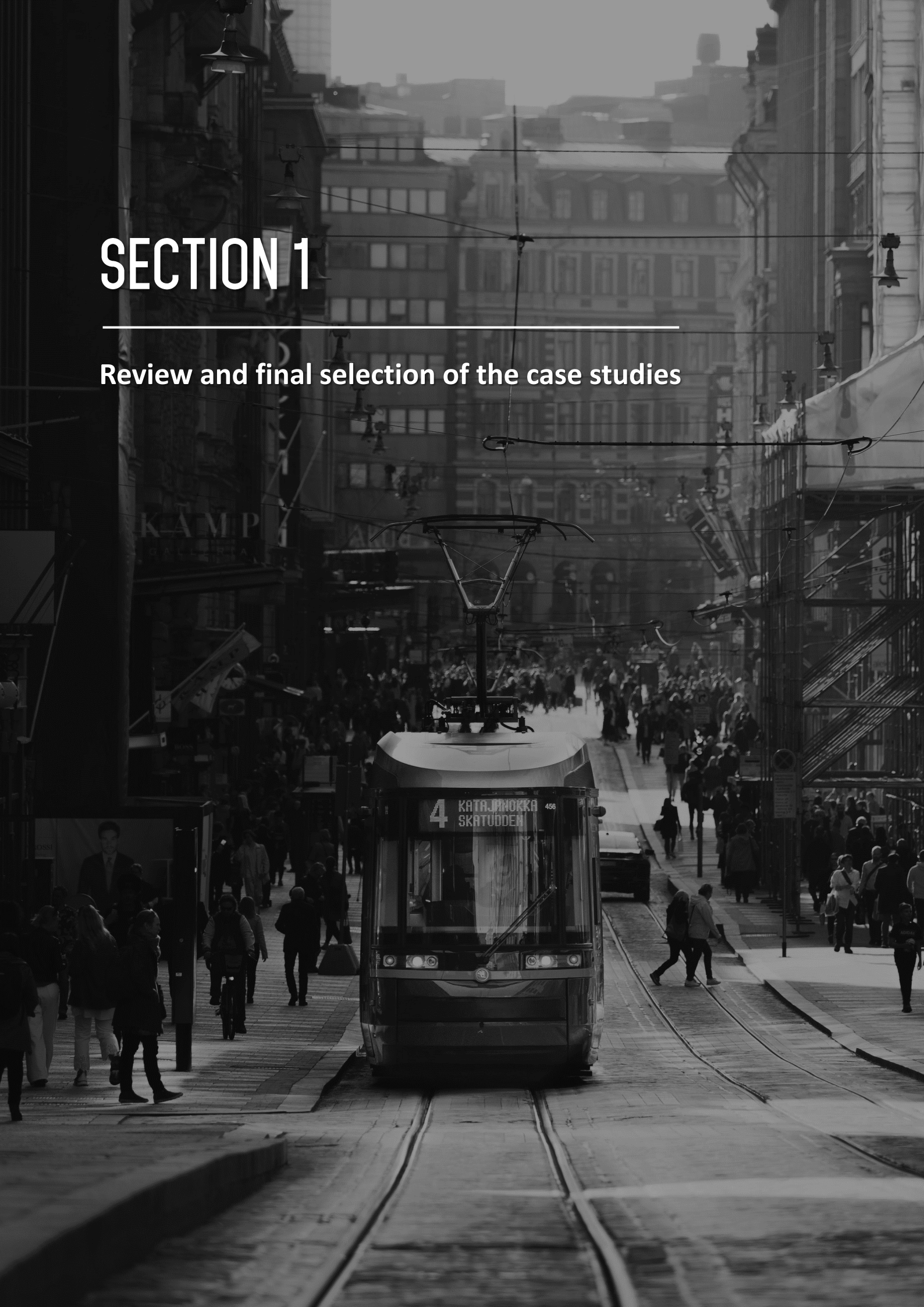
- RT 3.1 Review and final selection of the case studies (M01-M05)
- RT 3.2.1 Desk-based research of existing knowledge on the case studies (M06-M14):
 - review of secondary sources
 - media content analysis
- RT 3.2.2 Field research of the case studies (M10-M18):
 - community reporting – citizen experiences
 - focus interviews with stakeholders
- RT 3.3 Data analysis of individual case-studies (M19-M30)
- RT 3.4 Cross-case analysis of case studies (M19-M30)
- RT 3.5 Synthesis and conclusions (M31-M37)

RESEARCH TASKS	YEAR 1 (2021)										YEAR 2 (2022)										YEAR 3 (2023)										YEAR 4 (2024)																			
	01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42								
RT 3.1 Review and final selection of the case studies	█	█	█	█	█																																													
RT 3.2.1 Desk-based research of existing knowledge						█	█	█	█	█	█	█	█	█	█																																			
RT 3.2.2 Field research (interviews and surveys)											█	█	█	█	█	█	█																																	
RT 3.3 & RT 3.4 Data analysis (individual and cross-case)																					█	█	█	█	█	█	█	█	█	█																				
RT 3.5 Synthesis and conclusions																																									█	█	█	█	█	█				
DELIVERABLES	D 3.1 Initial Report										D 3.2 Midterm Report										D 3.3 Case Studies Report										D 3.4 Final WP3 Report																			

Figure 1: Timeline of the research tasks under WP3 (Source: Own elaboration).

SECTION 1

Review and final selection of the case studies



Review of the case studies selected for the project proposal

The idea of a case study is a research method that comes with many definitions. The one proposed by R.K. Yin (2018) is twofold, focusing on the scope and the features of a case study. The scope-related part of the definition states that case study is ‘an empirical method that investigates contemporary phenomenon (“the case”) in depth and within its real-world context, especially when the boundaries between phenomenon and context may not be clearly evident’ (45). As for the features of a case study, these concern ‘its own logic of design, data collection techniques, and specific approaches to data analysis’ (46). This conceptualization sums up well the extent of the research tasks to be completed within WP 3.

Since the project relies on the case-study research as one of the three empirical pillars, proper selection of the case studies is key to the whole undertaking. During several preparatory meetings held between project partners prior to submission of the project proposal, the consortium agreed on a preliminary list of 11 case studies based in different cities and countries. They were put forward with the intention to encompass a variety of methods of participation and deliberation, as well as to ensure a wide geographical representation covering different regional contexts found within the EU (Figure 2). The list included both universally applicable methods, such as civic assemblies (Galway and Copenhagen), and locally based initiatives, e.g., The Deal for Communities (Wigan) or Office for Community Participation (Budapest). Before submission of the proposal, all partners agreed that this initial list would be open to further elaboration after the project commences.

	Atlantic region	West-Central European	Northern	Mediterranean	Central European and Baltic
Dominant integration model (welfare regime)	Liberal	State-based	Society-based (social democratic)	Family-based	Mixture of models
Case studies	Wigan (UK) Galway (IE)	Paris (FR) Berlin (DE)	Helsinki (FI) Copenhagen (DK)	Barcelona (ES) Lisbon (PT)	Budapest (HU) Gdansk (PL) Vilnius (LT)
Pilot locales				Reggio Emilia (IT)	Budapest (HU) Gdansk (PL) Voru (EST)
Case study coordination	PVM	CRN	UEF	LUISS	UG
Piloting partners				LUISS, CRN, European	UG, SWPS

Figure 2: Preliminary list of case studies included in the delivered project proposal (Source: Scott 2020: 17).

The need for a revision of the case-study list was twofold. On the one hand, new partners had joined the consortium and new ideas had emerged which grew out of their own interests and specializations. On the other, some of our preliminary conceptions fell through in the course of debates which took place during the project's kick-off meeting. Before introducing any changes to the list, the project partners engaged in preparatory research by collecting basic information on the still preliminary catalogue of case studies. Suggestions for new additions to the list were also welcome at this point.

The first, monitoring step involved outlining of the reasons for implementation of the specific participatory and deliberative methods in the case-study cities and main objectives to be reached, identification of actors, key strengths and weaknesses of the processes, their positioning on Arnstein's (1969) ladder of participation, as well as their dynamics. The partners were to assess the overall successfulness of each of the case studies, as well as their relevance in relation to the aims and objectives of the EUARENAS project (for a complete questionnaire template please see Appendix 1). The results of this task confirmed the idea that there was a considerable type of varieties across the case studies. More importantly, the feedback from the partners enabled a more informed final selection of cases for the ensuing detailed investigation and interpretation.

Criteria for the final selection of the case studies

The overview of the gathered material was in fact the first step towards the comparative analysis of the case studies planned as a culmination of WP 3. At the current stage it allowed us to better assess the utility of the proposed cases for the purposes of the project. Altogether, 20 case studies were submitted by the partners, of which 8 had been included the project proposal. The other 12 arose from the new circumstances and the overall discussion during the kick-off meeting. For instance, citizens' assembly in Wrocław was put forward after a Wrocław-based expert in civic assemblies had joined the consortium.

Having thoroughly analyzed all the submitted preliminary research reports, we proceeded to compiling the final list of case studies (Figure 3), by means of applying the following four criteria for their selection:

- Assuring wide and balanced representation of case studies,
- Giving more attention to localities in new EU member states,
- Taking into consideration the assessed relevance for the project,
- Linking the case studies with the pilots.

The first three criteria come about from the principles adopted in the project proposal, whereas the last one is tailored to the arising challenge of "knitting together" the case studies (WP 3) and piloting (WP 4). Wide and balanced representation stands for covering a variety of tools/actions, cities/urban arenas, regions/welfare regimes, historical, cultural, institutional contexts for investigation by the consortium. This variety will help us grasp context-based nuances when we work towards reaching general conclusions, thus improving the transferability of results. More attention given to localities in new EU member states in practice resolves to include a considerable proportion of cities from the CE and Baltic region in the selected sample. The main reason behind this criterion lies in the relative novelty of participatory and deliberative approaches in cities with experiences of socialism and post-socialism (Ferenčuhová and Gentile 2016, Golovátna-Mora et al. 2018, Sagan 2018). We therefore expect that the horizontal learning processes will be especially intense here. In assessing the case studies' relevance for the project, we fully relied on the expertise of the research teams which indicated it on a scale from 1 (the lowest) to 5 (the highest). Lastly, linking the case studies with the pilots arose from the requirements of the knowledge

transfer between WP 3 and 4 – the lessons learnt through the detailed analysis of the case-study processes will feed into the design of the pilot interventions. It therefore resulted in adding participatory/deliberative processes from the two previously missing pilot cities – Reggio Emilia (Quartiere Bene Comune) and Voru (Social Hackathon).

Region	Participatory/ Deliberative process	City/ Town	Research team	Assessed relevance	Pilot locale?
Atlantic	The Deal for Communities	Wigan (UK)	PVM	5	
	Citizen- Jury	Galway (IRL)	UEF	4	
West Central European	Quartiersmanagement Pankstraße	Berlin (GER)	CRN	5	
Northern	District Liaison Officers	Helsinki (FI)	UEF	5	
	Citizens' Assembly	Copenhagen (DK)	UEF	4	
Mediterranean	Quartiere Bene Comune	Reggio Emilia (IT)	CRN	5	X
	Community Balance	Barcelona (ES)	LUISS	5	
CE & Baltic	Participatory Budgeting	Gdańsk (PL)	UG	5	X
	Citizens' Assembly	Wroclaw (PL)	SWPS	5	
	The Office for Community Participation	Budapest (HU)	CRN	5	X
	Social Hackathon	Voru (EST)	CRN	5	X
	Increasing social participation in cultural policy	Wroclaw (PL)	SWPS	5	

Figure 3: List of the case studies after final review (Source: Own elaboration).

The basic characteristics of the case studies selected for further analysis under WP3

The final list includes case studies from 11 cities of different geographical locations (Figure 4), sizes, economic structure, and socio-cultural backgrounds. Altogether 12 different governance innovations are analyzed, since two of them are based in the same city (Wroclaw). Below, we present their basic characteristics, featured in alphabetical order by the cities' names.

The municipality of **Barcelona** is a well-known laboratory of projects and initiatives in the field of participatory and deliberative democracy. The method selected for an in-depth investigation is the recently introduced **Community Balance**. It is a tool for accountability and continuous improvement of community project management processes or common spaces. The analyzed method promotes new forms of interaction between the public municipal institution and community citizen initiatives, based on the recognition of the right to public management and use of public resources by the people. Community Balance helps develop the local democracy through an empowering process.

In comparison with Barcelona, Hungarian municipalities are still rather behind in implementing participatory mechanisms and processes into the operation and decision making on the local level. **The Office of Community Participation** established in 2019 in Józsefváros, one of the poorest districts in **Budapest** in terms of the socio-economic status of its citizens, was the first municipality office as such in the entire country. It was established after the new opposition Mayor, András Pikó, was elected. The office was officially created in March 2020 by a decision of the Local Council. Within about two years since its inception, the office started laying the foundations of participatory mechanisms and processes, both with regards to the operation of the Municipality and with regards to including citizens into local-level decision making and city planning.

Berlin is another capital city with experience in local governance initiatives. Since 1999 the program Soziale Stadt (re-named Sozialer Zusammenhalt in 2020), which is financed by the German Federal government and the Länder (states), supports the revitalization of socio-economically disadvantaged neighborhoods. The main aim of the program is to stabilize defined neighborhoods and ensure the cohesive development of living standards in all areas of a city. The **Quartiersmanagement (QM)** consists of a team of facilitators who support inhabitants of the areas in creating decision making structures (Quartiersrat) which are elected by all inhabitants. These can decide on activities or measures to be supported with their own budget. The QM is implemented through private institutions and funded through the program. The QM is a separate entity to local governance bodies. Even so, it is in constant dialogue with the local public administration. The topics the QM is concerned with vary from neighborhood to neighborhood. These can cover topics such as local clean-up efforts, intercultural dialogue, inclusion. It can even concern itself with education and local adaptations to climate change. A QM will be appraised resolved if an area is considered by the regular scientific report as economically stabilized. A QM can be deemed a success when it makes itself obsolete.

Copenhagen is the Danish capital city and enjoys a high degree of local autonomy. It is characterized by socio-economically and ethnically diverse urban area, a major cultural hub and international destination. Participatory practices in the domains of general governance and planning are well established in the city. However, the high quality of public services and proximity of local decision makers to citizens can also reduced the perceived need to participate. **Citizen's Assembly**, one of deliberative techniques aimed at improving the local democracy, was hence introduced by the city in 2019. Sustainable (Auto-free) Development of the Mediaeval Centre of Copenhagen has been the specific project that the city decided to develop together with the inhabitants in order to ensure a high level of citizen engagement in resolving this specific problem.

Galway, with a population of 80 thousand inhabitants, is capital city of Galway county. It is perceived as an innovative tech center and as a green city. Socioeconomically it is mostly middle-class. The idea behind setting up the **Citizen Jury** was the desire to make bureaucracy less confusing and the local governance more open. Selection of the citizen jury as a method of involving citizens and increasing the level of participatory engagement in locality was connected with the already possessed know-how on the deliberative techniques and their implementation. The innovation has been applied when introducing environmental initiatives in the 1990 at the province level in Ireland. The same method had been used at the local level in the capital city Dublin.

Gdańsk is the capital city of the Pomeranian region in Poland and the 6th largest urban center in Poland. The city authorities, together with the neighboring cities of Gdynia and Sopot and around 50 adjacent administrative units, are currently applying for the legal status of a Metropolitan Area. Gdańsk is one of the urban leaders in terms of citizen participation at the local level in Poland – it was one of the first cities where participatory budgeting (2012/2013 – onwards) and civic assemblies (2016, 2017x2) were

implemented, along with establishment of two councils – Immigrant Council (2016, part of Model of Immigrant Integration) and the Gdańsk Council of Equal Treatment (2016, part of Model for Equal Treatment). **Participatory Budgeting** – a consultation procedure for the citizens to decide on expenditure a specific amount of the municipal budget – has already had a meaningful history of implementation. It may be viewed in the context of a particular trend towards its incorporation into routine administrative procedures being a part of a local government activity. In 2018, due to central regulations, participatory budgeting became an obligatory form of public consultations in the cities of the higher rank, i.e., in the cities being at least the capital of a county.

In Finland the traditional representative modes of democracy have a strong standing and therefore Finns are generally seen as relatively passive when it comes to democratic participation. However, the quality of and interest in participatory and deliberative methods has increased in Finland over recent years. The participation of residents is guaranteed in the Finnish Local Government Act, which establishes a set of legal obligations for the municipality to carry out. Nevertheless, adoption and implementation of various participatory and deliberative practices varies to a significant extent across Finnish municipalities. **Helsinki**, the fast-growing capital city, attractive for both domestic and internal migrants, can be regarded as one of the frontrunners in participatory and practices in municipal management in Finland. The participatory and deliberative dimension in the city administration and governance in Helsinki was strengthened in 2017 through the adoption of the ‘Helsinki Model of Participation and Interaction’. It institutionalizes several earlier participatory experiments and includes measures such as **District Liaison Officers** in question, participatory budgeting, participatory practices in all city administration sectors, open data, digital participation, open city premises to public use, simplification of initiatives and feedback and voluntary work.

Reggio Emilia is a provincial capital and ranks among the best performing Italian and European cities according to a number of economic parameters. Beside its thriving economy, Reggio Emilia is characterized by high indexes of social capital and a well-developed network of welfare and educational services, provided by the public and by third sector organizations. Based on the rich and lively social fabric, the Municipality has actively pursued the objective of valorizing citizenry’s activism with a view to implement the principles and practices of horizontal subsidiarity, understood as citizens’ participation to the definition and implementation of public policies. Also, at the regional level citizens’ participation in city management and urban policies formulation is constantly promoted and supported, through dedicated regional legislation, annual calls for proposals, training, guidelines etc. **Quartiere Bene Comune**, which has employed the Co-City Protocol, can serve as guidance for urban policy makers, researchers, and urban communities involved in co-governance experiences. It focuses on urban commons transitions, including patterns, processes and public policies where local communities committed to sustainable urban growth and fair resource management play a key role in partnership with other political, economic and institutional actors. A Co-City is based on collaborative and polycentric governance of a variety of urban physical, environmental, cultural, knowledge and digital resources, i.e., the commons, which are managed or co-owned through contractual or institutionalized public-community or public-private-community partnerships.

Wigan is a large town in the Greater Manchester area of Northwest England. The Metropolitan Borough of Wigan is a local government district which includes other towns in the area. Wigan was an important center of textile manufacture during the Industrial Revolution but – as with many industrial towns in the North of England – it faced decline after those industries had disappeared. The city is very much a working-class town with high levels of poverty. It is a traditionally left-wing township with a predominantly Labour council and a Labour MP. However, it is generally socially conservative. The quality of participatory and deliberative democracy at the local level is of a high standard but is constantly evolving. Since 2011, Wigan Council has

embarked on a major process of change involving moving towards asset-based working at scale, empowering communities through a 'citizen-led' approach to public health and creating a culture which permits staff to redesign how they work in response to the needs of individuals and communities. At the heart of this is an attempt to strike a new relationship between public services and local people that has become known as the 'Wigan Deal'. The **Deal for Communities** encourages participation from citizens and actively encourages local government and those who work at the council and other public services to work collaboratively with citizens. The Deal is an informal agreement between the council and everyone who lives or works in Wigan to work together to create a better borough.

Estonia is a small country with population of 1.3 million. There are 79 local government units that compose 15 counties. **Võru County** consists of five municipalities totaling 35 thousand inhabitants. Municipal authorities are members of the Development Centre of Võru County which was founded in 2017. Development Centre of Võru County promotes balanced development of the county and facilitates co-operation between organizations. The aim is a comprehensive and systematic development of Võru County's society and economy through the supporting the private, public and third sector organizations with various services. The Development Centre of Võru County does not have direct political nor legislative power, but it has strong connections with local level political decisionmakers through its council. The members of the council are mayors or heads of the councils of each local government, a representative of civil society organizations, and a representative of private sector organizations. The Development Centre is also partnered with several ministries as a representative of local governments and legal bodies through which the national government directs some of development resources to the region. For example, the National Institute for Health Development, the Ministry of Interior Affairs, Ministry of Economic Affairs do not finance municipalities on issues, like promotion of public health, civil society, entrepreneurship, separately, but through the municipalities' local associations. Similar schemes can be found in the educational sector as well (e.g. Ministry of Education's educational competitions). The overall culture of citizens participation and deliberation is mixed between state and local level.

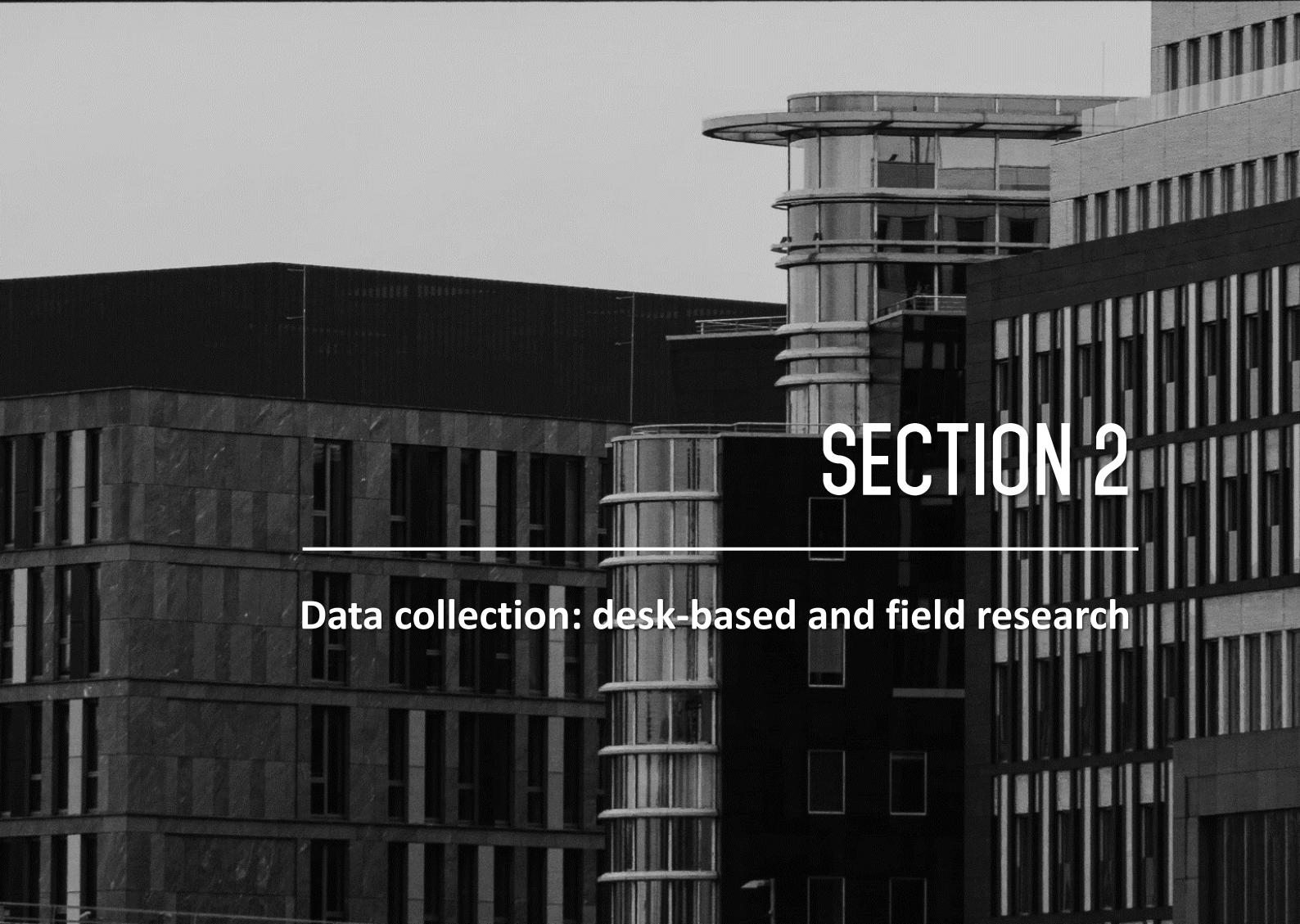
One of the main challenges of developing democracy in Võru county is poor quality of public discussion and lack of constructive dialogue and feedback from public authorities, which leads to passivism from the citizens' side. Therefore, there is an urgent need to develop the skills for responsible citizenship at the local level. One of the new methods applied for this purpose is **Social Hackathon**. The overall goal of social hackathons is to co-create the future of communities where generating value comes from partnership and networks. Such events envision and create new local contexts, thus generating greater regional value, empowering progressive thinking in rural areas and hence the image of the region. This new method was designed and piloted in Võru county. Since 2018, five social hackathons have taken place. The event has since become annual in Võru county.

Wrocław is one of the biggest cities in Poland and the capital of the Dolnośląskie region. Before World War II, the city was within the German state boundaries. After the end of war, the population was exchanged almost entirely. Wrocław is an administrative and business center, with industrial production, trade, science that attracts investors from different parts of the world (Europe, Asia, North America). It is a city with a rich cultural background. For example, it boasts the heritage of the Orange Alternative, an anti-communist, performative collective from the 1980s. In terms of the city branding, Wrocław uses the slogan 'The meeting place'. Despite the rich traditions of citizen engagement and 'dialogical' branding, the 2019 **Citizens' Assembly** was the first official experimentation with deliberative practices. The topic of the organized Citizens' Assembly was strongly oriented on the improvement of technical infrastructure and sought an answer to the question 'How to organize public transportation in the city?' This was the first use of the method in Wrocław. The authorities decided to implement it under social and political pressure because activists were inspired other cities in Poland which had likewise successfully implemented it.

Moreover, Wrocław has been well known for **increasing social participation in cultural policy**. The process, initiated in 2011 by the local government, is organized jointly by city authorities, cultural institutions, NGOs. The endeavor of increasing participation in the city's cultural policy was related to the first application of the city for the European Capital of Culture in 2011. Although the initial attempt failed, the second bid in 2016 was successful. Since then, the broad engagement of inhabitants into cultural policymaking in the city has been continued.



Figure 4: Location of the case studies selected for analysis in WP3 (Source: Own elaboration).



SECTION 2

Data collection: desk-based and field research

The design of data collection procedures

A detailed comparative analysis of the case studies requires a comprehensive set of data. To that end we have adopted a **two-step procedure of data collection, consisting of four parts** (Figure 5). It begins with **desk-based research of the existing documents** (Part I) and **media content** (Part II) related to the selected case-study participatory and deliberative processes. Once the first step is completed, it will be followed by **field research** designed to provide all relevant information missing from the existing sources of information. In this second step of data collection, two qualitative research methods will be employed. **Community Reporting** (Part III) will serve to investigate the experiences of local communities engaged in or affected by the case studies. Next, the bottom-up perspective will be complemented with a polyphonic account of different groups of urban actors gathered during **Focus Interviews** (Part IV).



Figure 5: The four components of the data-collection procedures (Source: own elaboration).

Desk-based research

This phase of the research consists of two components. Part I is typical research based on existing documents, such as academic analyses, legal acts, evaluation reports on the case-study processes, etc. Part II is devoted to media content analysis. Within both Parts, the 12 case studies were analyzed according to the same procedure and with the use of the same research methods, although the type of sources and timeframes vary between the cases.

All relevant information on the case studies that was gathered by the case-study research teams during Parts I and II was included in a single report template. Elaborated in collaboration with the WP 1 research team, it consists of 5 tables (Appendix 2). These tables are guided by 14 general issues relating to the key research questions listed in the Introduction.

Review of secondary sources (Part I)

The review of secondary sources aims to extract existing knowledge from the case studies under investigation. Our goal is to ensure an inclusive representation of perspectives of different actors on the urban arenas, as well as their different experiences, genders, ages, ethnicities, and cultural and social backgrounds. Moreover, the sources will not only provide concrete information, but also offer an insight into different types of discourse. This will add another contextual layer to the analysis of participatory and deliberative practices at the local level (Fairclough 1992, 2003, Hastings 1999). As evidenced by Jacobs (2006), discourse analysis as a methodological tool is particularly useful when applied in research on urban policies, as it has a considerable capacity to generate valuable nuanced accounts. Accordingly, the source materials submitted for review were to be selected from several of the following categories of institutional (or social domain) discourse (Witosz 2016: 22-23):

- **academic** (monographs, articles, reports, ...),
- **legal/administrative** (court decisions, acts, resolutions, formal documents, ...),
- **political** (transcriptions of public speeches, election leaflets, ...),
- **media** (press articles, TV programmes, blog entries, ...),
- **educational** (textbooks, ...),
- **other** (please specify).

All the **source materials** used for the purposes of the review were grouped and described in **Table 1** of the report template. Tables 2-5 contain all information available from the source materials. In most cases some of it was impossible to extract from secondary sources, therefore the resulting gaps will be targeted during the field research. **Table 2** aims to provide more **detailed characteristics of the processes** by means of an expanded version of the preliminary research table. This had already been completed for the purpose of selecting the final case studies (Appendix 1). **Table 3** focuses on **actors involved in the case-study processes** specifically – their identification and their roles as well as their participation (or lack of thereof, in the case of excluded groups) (Figure 6). **Table 4** looks at **the dynamics of the processes** from their beginnings until now, intending to grasp the crucial changes that happened along the way. Some specific actions and tools will be identified here as well, but we will study them in more detail during field research. Finally, **Table 5** generally relies on the researchers' **assessment of the process** following the analysis of tables 2-4.

The initial set of guidelines and content of tables 2-5 had been discussed with all partners. During one such discussion, held with the WP 4 research team, an idea was crafted to create a common project glossary. Such a glossary, currently developed by the consortium under WP 6, will be helpful in establishing the working definitions and meanings of concepts used across all work packages and among the EUARENAS researchers.

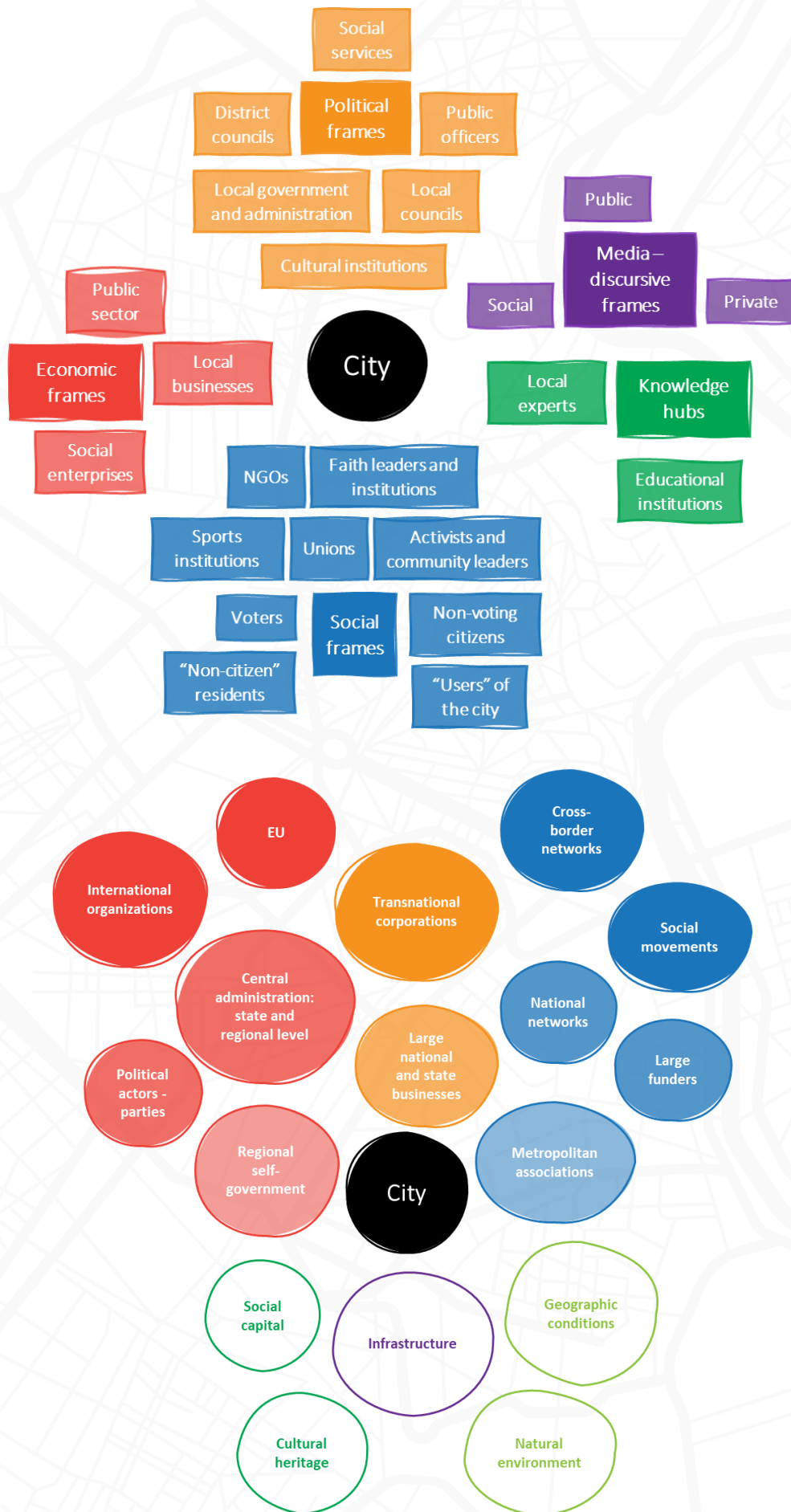


Figure 6: Potential participants in the research (Source: Own elaboration by the WP 1 research team).

Media Content Analysis (Part II)

Media Content Analysis (MCA) is a method used for an organised and systematic investigation of media pieces, either through a quantitative or qualitative approach. It was first introduced by H.D. Lasswell (1927) to study the phenomenon of propaganda in the mass media. MCA may be applied not only to analyse any published or broadcast media content, but it also enables the observation of public reactions to it. Therefore, it is useful both for analysing the ideological input of the media and its actual reception. MCA looks directly at the communication process via texts or transcripts, and hence it is an unobtrusive means of analysing interactions and providing an insight into complex models of human thought and the use of language. However, it also relies heavily upon researcher's interpretation.

In general, the research method applied in this part is very similar to the one which has been designed for WP 5 (Foresight). Courtesy of PVM, the media discourse report template has been adapted from the WP 5 methodology (Trowbridge 2021). Yet, two changes were introduced, relating to the period of analysis and selection of the content itself. First of all, the analysis was to cover the whole duration of the process and a 3-month period before the process had started (*ex-ante* perspective). If the process had already been completed, also a 3-months period after its completion had to be included into the analysis (*ex-post* perspective). This should allow us to grasp how governance innovation was promoted and how it was evaluated in various media over time. The research teams were also given more choice in selecting the sources. There was no limitation in the number of pieces of media content they could select for the analysis nor to the type of media, as far as the representativeness of different media outlets and content was ensured. There was a wide range to choose from:

- print media (newspapers, magazines, ...),
- social media (Facebook, blogs, ...),
- TV (news, journalistic programmes, ...),
- radio (news, debates, ...),
- other sources (specified by the research teams)

The key to the selection was the relevance of particular outlets and/or media pieces in the context of participatory/deliberative democracy assessed by the research teams, who we consider to be the local experts for each case. All of them are described in detail in Table 1, along with other secondary sources.

Field research

Initially, this phase of research was to rely on quite traditional methods of data collection through individual interviews with stakeholders and experts and through location-based surveys. The role of the former would have been to obtain individual accounts of actors involved in the participatory and deliberative processes and to fill in the information gaps missing from the materials analyzed in desk-based research. The latter method would have aimed at grasping the bottom-up perspective of local communities' experiences with processes under investigation.

However, after the project had started, we decided to modify our approach, so that it would better correspond to other work packages. Therefore, individual interviews have been replaced with Focus Interviews (FI) and location-based surveys gave way to Community Reporting (CR). The order in which they would be performed has changed as well—the field research will begin with CR workshops with citizens (to

be conducted until the end of February 2022). Outcomes of these workshops will inspire the FI with stakeholders relevant in each of the case studies (to be conducted until the end of May 2022). If the partners find the information gathered via CR and FI is insufficient, they may decide to conduct additional Individual Interviews (until the end of June 2022).

As already mentioned, the results of field research will be partly included in the template used in the desk-based phase. Any information missing from tables 2-5 and acquired during the CR and FI sessions will feed and update the previous version of the report. Apart from that, additional report templates were or will be circulated, to collect additional, method-specific content.

Community reporting (Part III)

Community Reporting (CR), a method developed by PVM, ‘uses digital tools to support people to tell their own stories in their own ways’ (Our approach... 2021). Due to its qualitative approach, based on the grounded theory research paradigm, CR under WP 3 will serve to collect qualitative information on the case-study processes in an unstructured way, independent from the researchers’ preconceptions. This part of the research will specifically aim to gather the experiences of only one group of urban stakeholders: the citizens involved—either directly or indirectly—in the case study processes. Depending on the case study, the category of citizens may comprise voters, non-voting citizens, non-citizen residents, and/or users of the city. Their experiences will be talked over and mutually recorded by participants grouped in pairs. Next, the key insights of the one-on-one dialogues will be curated by all participants altogether in the sense-making process. Only these outcomes will be then analyzed by the researchers to inform wider learnings on each of the case studies.

The entire methodology of Community Reporting under WP3 has been arranged in collaboration with the WP 5 research team, who also prepared the guidelines and templates (Appendix 3). It has been agreed that each case study team will deliver **at least two CR sessions** and gather **at least 12 lived experience stories** to produce **one summary report**. These minimum criteria were set to enable the research teams to tailor the number of sessions and participants to the specifics of the participatory and deliberative processes under investigation. A training to familiarize the research teams with the method was delivered to by PVM during the EUARENAS Project Workshop in Helsinki in November 2021 and an online support session will be held on 10th December 2021.

Focus interviews (Part IV)

Focus Interview (FI) is a qualitative method of research which relies on a planned and moderated group interview and discussion. The participants are sampled from the study population either via a randomized or deliberate selection. According to Denscombe (2007: 115), a focus group ‘consists of a small group of people, usually between six and nine in number, who are brought together by a trained moderator (the researcher) to explore attitudes and perceptions, feelings and ideas about a topic’. Focus groups are more than a collection of individual interviews. The element of synergy and interaction between the group members plays a significant role in generating the research data. The method enables illuminating the variation of viewpoints held in a population. It is used as a single source of data or in combination with other methods, as it provides data in a social context and is feasible in methodological triangulation or when other methods are suboptimal (Bojlén and Lunde 1995).

The key role of the focus group research is to complement the desk-based research, as it is mainly aimed at covering the issues absent from the existing documents analysis. However, it will also serve to capture interrelations and dynamics between the participants and their potentially clashing perspectives. Detailed guidelines are still being prepared by the WP 3 leaders. A draft version will be discussed among research partners during an online meeting planned in January 2022. Nevertheless, during the EUARENAS Project Workshop held in Helsinki in November 2021 some basic assumptions were agreed upon. For instance, participants in each FI will be representatives of the following groups of urban stakeholders identified in Deliverable 1.1 (Ufel et al. 2021: 23-25): political institutions, social actors, economic actors, knowledge hubs, media, citizens. Considering the wide array of case studies, the guidelines will establish “minimum requirements” to be fulfilled, concerning, for instance, the minimal numbers of interviews to be conducted and participants to be recruited. The guidelines will also cover such issues as selection of participants and facilitation of the sessions. These principles will have to be fulfilled by all case-study research teams, but it will be possible to tailor other guidelines according to each case study’s specifics and needs. The interviews will be conducted in the participants’ native languages and recorded, but their transcriptions will be delivered in English.



SECTION 3

First results and further steps

Takeaways

Since the research teams will be refining their case-study reports filled in during the desk-based phase after the completion of the field research phase, the overall results will be discussed in Deliverable 3.2 Mid-term Report due in Month 24 (December 2022). However, at this point we can offer a glimpse into the work which has been done. An overview of the data gathered so far allows for an observation that the research teams already managed to collect a lot of information. Especially the parts of the report concerning the general characteristics of the processes and actors involved have been filled in much detail. The examination of the dynamics of the processes in some cases will require further elaboration. The most challenging component of the desk-based case study reports appear to be the question of transferability of processes and governance innovations.

Before sending in the reports, some research teams signaled the difficulties they had encountered while working on them. These ranged from technological issues (concerning creation of a graph presenting the actors and their interrelations, with the use of an online tool), through conceptual (unclear or unexplained terms used in the tables) to operational (insufficient media coverage of issues under investigation). We collected all these additional comments in order to take them into account when designing the guidelines for the field research, as well as during the analysis of the case-study processes once all the necessary data will have been collected. We also asked the research teams to identify any key themes they found to be covered neither by the existing documents nor the analyzed media content. We also inquired about any actors' perspectives missing from the existing documents and/or the analyzed media content.

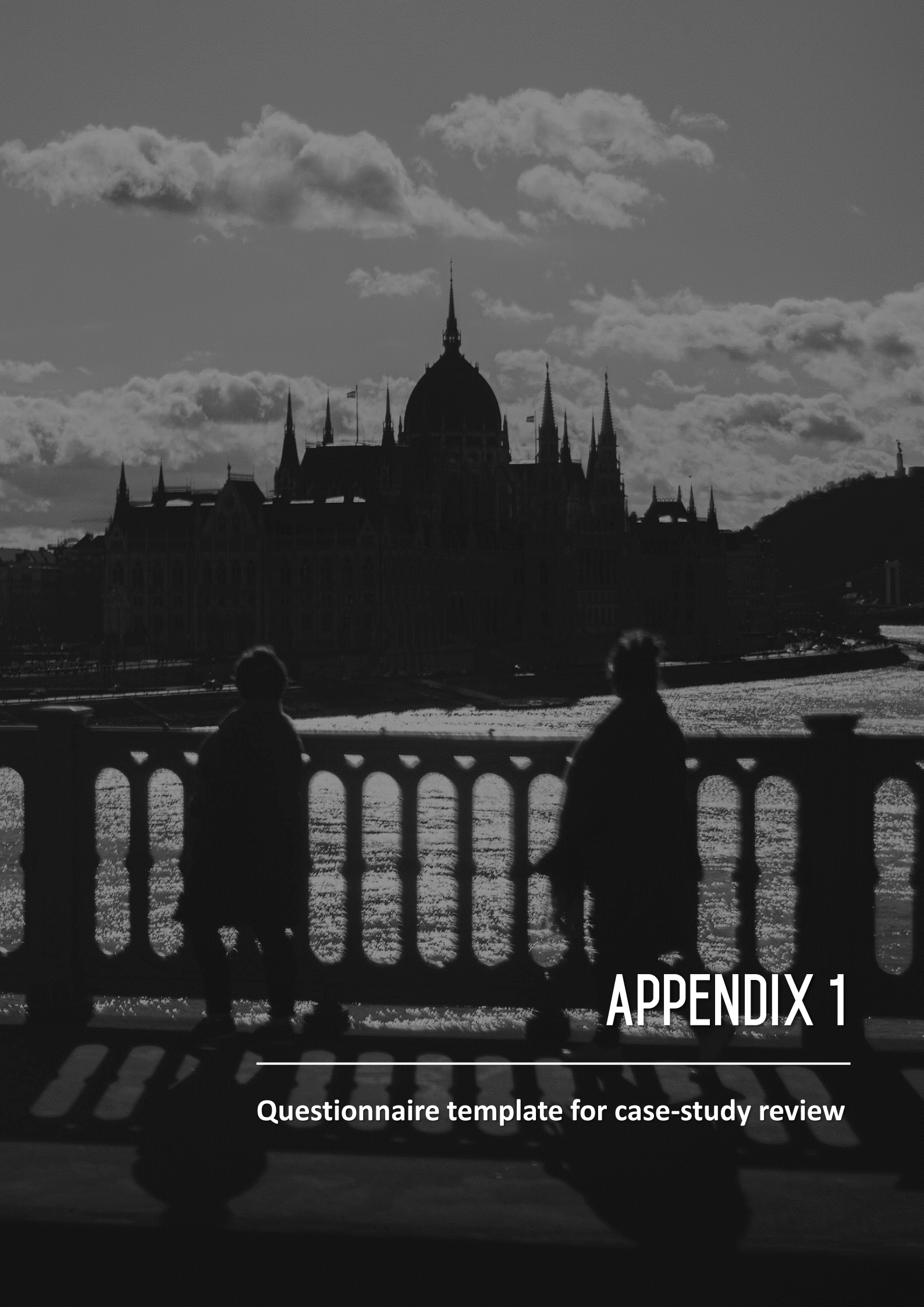
Further steps

Out of the two research tasks planned under the WP 3 in 2021, the first one is already accomplished (RT 3.1) and the second one is close to completion (RT 3.2.1). According to the research timeline (Figure 1), the further steps are scheduled as follows:

- ☒ in Months 13-18 (January-June 2022) the field research will be continued as planned with active participation of all research teams involved in WP 3; the research task will involve organisation of Community Reporting sessions and Focus Interviews, together with the ensuing reporting of research outcomes;
- ☒ after the data-gathering phase closes, the data analysis will begin in Month 19 (July 2022); the data on the case studies will be investigated individually at first (RT 3.3), followed by a cross-case analysis (RT 3.4); both tasks will be continued until the end of Month 30 (June 2023);
- ☒ the last seven months of duration of WP 3 will be devoted to preparation of a synthesis of results and writing-up the final conclusions.

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APPENDIX 1

Questionnaire template for case-study review

Basic characteristics of the case studies subjected for review (Source: Own elaboration).

<i>What?</i>	method/tool	participatory budgeting (PB)
<i>Where?</i>	name + administrative level (population)	City of Gdańsk (470,000)
<i>When?</i>	time/duration (cycle)	from November 2013- (annual cycle)
<i>Why?</i>	reasons/rationales for implementing (bottom-up or top-down initiative)	lobbying of local urban activists + the mayor's openness for urban experimentation (top-down but inspired bottom-up after a pioneer edition in the neighbouring city of Sopot in 2011 and a pilot edition organised independently by one of the Gdańsk district councils in 2012; obligatory since 2018)
<i>What for?</i>	main objectives/tasks/problems to be solved	local urban activists: increasing citizen control of budget spending at the city level; city authorities: manifestation of openness for citizen empowerment, city marketing
<i>Who?</i>	actors: organisers/ participants/observers etc.	o: City of Gdańsk p: inhabitants of Gdańsk
<i>Key strengths?</i>	e.g., empowerment of marginalised groups, etc.	relatively high turnout (32,000-51,000 participants); community-building potential; effective means of social production of urban space; launched the Right to the City debate
<i>Key weaknesses?</i>	e.g., low participation, high exclusion, etc.	overrepresentation of participants with high social capital; individualisation of project proposals (private interests > community interests); insufficient public debate prior to voting; top-down design
<i>How it changed over time?</i>	direction of evolution/ institutional change	overall: from bottom-up local activism to full control of local authorities + partial capturing by the state (legislative regulation - see "Other comments"); small changes introduced yearly following top-down evaluations of each edition (with only elements of public participation)
<i>How successful?</i>	general assessment, scale: 1 (not successful) to 5 (highly successful)	3 (the weaknesses offset the strengths)
<i>How relevant in relation to our project?</i>	general assessment, scale: 1 (not relevant) to 5 (highly relevant)	5 (conclusions drawn from the critical assessment of this case study's strengths and weaknesses may be highly informative for WP4 and WP5)
<i>Which step of the ladder?</i>	location within Arnstein's model (see page 3)	4-6 (changed over time)
<i>Other comments/ observations ?</i>	anything really which you think may be of importance...	since 2011 PB has become a popular participatory tool in Poland, practiced in many variants and forms but not reaching above the 7 th rung of Arnstein's ladder; in 2018 some legislative changes were introduced at the state level defining PB as "a special form of social communication" and making it obligatory in larger cities; a bottom-up civic assembly was organised after the 1 st PB in Gdańsk to evaluate it and provide recommendations for upcoming editions (no follow-up)



APPENDIX 2

Report template for desk-based and field research

Table 1: Description of source materials (Source: Own elaboration with elements of guidelines for media content analysis elaborated by the WP5 research team)

Part I: review of secondary sources	Source 1:	Full reference	
		Time(frame)	
		Type of discourse	please mark in bold: academic / legal / administrative / political / media / educational
		Author(s) and represented actors	
		Potential biases / limitations	whose perspectives are overrepresented? whose perspectives are missing and should be picked up on in other sources or in the field research?
	Source 2:	Full reference	
		...	
Part II: media content analysis	Media content 1: Brief description	Name/title + reference details	
		Project implementation stage	please mark in bold when the content was published or broadcast: before the project started / during the project / after the project had ended
		Location on political spectrum map (Graph 2)	<p>please indicate with an X</p>
		Summary	
		Context	
		Key quote(s)	spoken word, piece of text from article, etc.
		Key signals	size of font, tone of voice, accompanying visuals, etc.
		Textual level	identify the topics pertinent to your case study contained in the 'words' and 'signals'
		Compositional level	explain how the content (i.e., words, signals, sentences, visuals etc.) are put together to create 3 and talk about the topics identified
		Contextual level	reflect on the content and synthesise what the key insights are from the text pertinent to deliberative and participatory democracies

Table 2: Background information on the case study (Source: Own elaboration in collaboration with the WP 1 research team).

Where?	Region	please_mark in bold: Atlantic / West Central European / Northern / Mediterranean / CE & Baltic
	Country	
	City (and district/neighbourhood – if applicable)	
	Population of the city (+ district / neighbourhood – if applicable)	please indicate the year which the data apply to!
	Position of the city in the country's urban hierarchy	administrative status of the city, e.g., capital of the country/region/county
	Political level of the city's independence	formal (within the power structure of the state) informal (is the city in opposition to regional /central administration?)
	Relevant geographical background of the city (and district/neighbourhood – if applicable)	
	Relevant socio-economic background of the city (and district/neighbourhood – if applicable)	
	Relevant cultural background of the city (and district/neighbourhood – if applicable)	
	Quality of participatory and deliberative democracy at the local level	e.g., relevant legislation, availability of methods and other conditions for citizen participation, the overall level of political culture, readiness of political elites and officials to delegate decision-making to citizens, ...
What?	Method	
	Topic	main objectives/tasks/problems to be solved
	Reasons/rationales for use of this method*	
	Initially expected effects	
	Initially expected level of participation	please relate to Graph 3 (Arnstein's ladder of participation) and indicate the adequate rank
	Innovativeness of the method on the outset	how "new" is the method on the level of the country/region? was it copied from another city (or district/neighbourhood)?
When?	Time/duration (cycle)	e.g., since 2012 on an annual basis

Table 3: Characteristics of actors and actions involved (Source: Own elaboration in collaboration with the WP 1 research team).

Who?	Participants	please paste here a minimized copy of a graph created on the basis of Graph 4 (see Appendix 2) - detailed instructions and a link to an online application will be sent individually by email	
	Main actors and their impact*	on the outset during the process during the implementation	
	Actor constellations*	short explanation of interrelations between identified participants (both horizontal and vertical)	
	Level of inclusiveness throughout the process*	how inclusive is the process? which measures were taken to ensure inclusiveness? who does not participate and why?	
	By whom?	Initiators	
		Organisers	
Bottom-up vs top-down dimension		is it more bottom-up or top-down or both and to what extent which?	
Legal / institutional embedding of the procedure (regulatory frameworks)		level of regulatory dependence from the government/region/EU, e.g., are there any legal acts regulating the procedure? are any representatives of the government/region/EU involved in the procedure?	
Financial embedding of the procedure (funding sources)		level of financial dependence from the government/region/EU, is the process co-financed by the government/region/EU?	
Transfer of knowledge between actors*			
For whom?	Level of inclusiveness in terms of the effects*		
	Levels of effectiveness*	were the effects satisfying for politicians, policy-makers and experts?	
		were the effects satisfying for NGOs/activists (most active and engaged citizens)?	
	were the effects satisfying for other (“regular”) citizens?		

Table 4: The trajectory of the process (Source: Own elaboration in collaboration with the WP 1 research team).

How it began?	How was it initiated?*	
	To what extent was it a product of learning from previous local governance experiences?*	
	How was it designed?*	what was the original plan for organization of the process (which of course might have changed later)?
	Initial reception in the media*	
	Turning points and tools applied*	please identify at least one concrete action within the initial phase of the process and specific circumstances which influenced the process/pushed it in a “good” or a “bad” direction what kind of tools were used here?
How it developed?	How it kicked off?*	
	Did it run smoothly/as expected?*	why yes? / why not?
	Turning points and tools applied*	please identify at least one concrete action within the more advanced phase of the process and specific circumstances which influenced the process/pushed it in a “good” or a “bad” direction what kind of tools were used here?
	Reception in the media during the project*	
The story so far	Results so far*	
	Reception and evaluation in the media at this point *	
	Level of participation at this point*	please relate to the ladder of participation and indicate the adequate rank
	Level of innovativeness of the effects so far*	to what extent did the process bring new quality for urban policy in the case-study city?
	Implementation*	were the effects fully implemented? if not, why?
	General assessment of success/failure (1-5) according to groups of actors*	how successful on a scale 1-5, where 1 is full failure and 5 is full success according to: public opinion, initiators, organisers, participants
	Turning points and tools applied*	please identify at least one concrete action within the most recent phase of the process and specific circumstances which influenced the process/pushed it in a “good” or a “bad” direction what kind of tools were used here?
How it transformed?	Internal change*	how the process itself evolved between its beginning and end?
How it impacted the outside world?	External change*	how the process changed / was integrated into the existing local political practices?
	Relation to multilevel governance*	local / regional / central / EU

Table 5: Lessons learnt (Source: Own elaboration in collaboration with the WP 1 research team).

What went great?	Key strengths*	
	Critical success factors*	
	Decisive moment(s) for success*	
	Best practices*	
What went wrong?	Key weaknesses*	
	Critical failure factors*	
	Decisive moment(s) for failure*	
	Worst practices*	
Transferability	Key obstacles for transferability*	
	Successful coping strategies*	how were these obstacles overcome?
	Local context of responses to key challenges*	Locally specific economic, political and cultural factors which may limit transferability
What went great?	Key strengths*	
	Critical success factors*	
	Decisive moment(s) for success*	
	Best practices*	
What went wrong?	Key weaknesses*	
	Critical failure factors*	
	Decisive moment(s) for failure*	
	Worst practices*	



APPENDIX 3

Report templates for Community Reporting

Story review sheet template (Source: Own elaboration of the WP5 research team)

File name of Story	
Level of Consent See bullet point 2 on consent form	

Overview of Story

Write approximately 5 - 8 sentences that describe what the person says in their story. Try to give the overall picture of what they are describing, how they feel and ay key opinions. Write it in chronological order – i.e., the order in which people say things in their story.

--

Extract and Key Quotes

Select an extract/extracts from the story that highlights its key message(s)/point(s).

Timecode Minutes and Seconds		Description 1 - 4 sentences	
Timecode Minutes and Seconds		Description 1 - 4 sentences	

Summary report template (Source: Own elaboration of the WP5 research team)

CORE DETAILS

Case Study	<i>Insert Case Study title</i>
Citizens	<i>Insert description of citizens involved in your workshop</i>
Number of Stories	<i>Insert number of lived experience stories gathered</i>

KEY LEARNINGS

Characteristics of actors involved in the case study

Based on the stories, what did you learn about the people who were involved in the case study? Please bullet point the key insights and supporting quotes

The trajectory of the process

Based on the stories, what did you learn about the process of the case study and how it was implemented? Please bullet point they key insights and supporting quotes.

What worked well

Based on the stories, what worked well in the case study? Please bullet point the key insights and supporting quotes.