

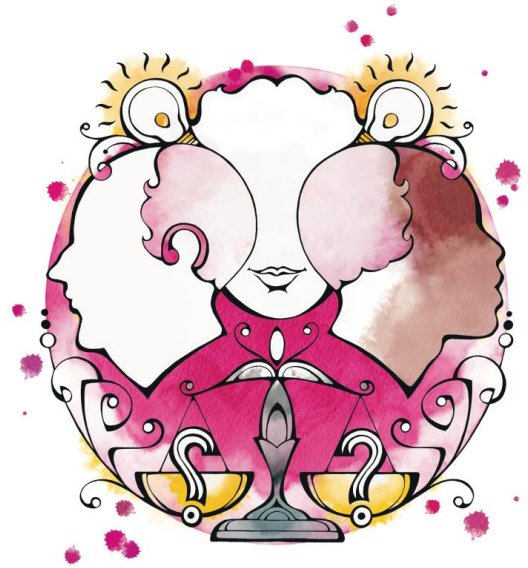
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Guide to Deliberation: Participatory Budgeting

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Introduction

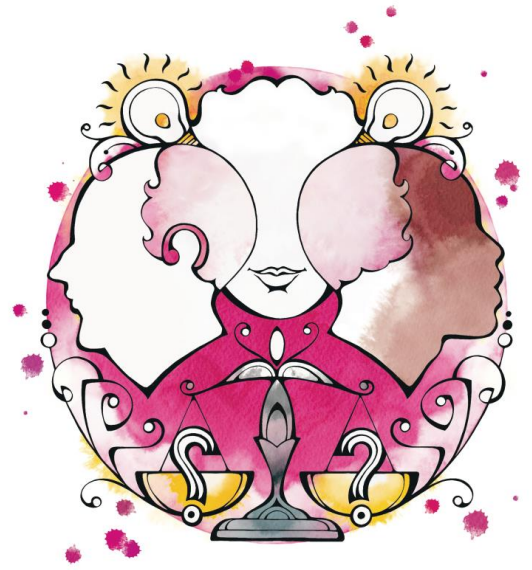
This guide draws on a range of international case studies to bring to life how a participatory budgeting process can be *deliberative*¹.

Inspired by early examples in Latin America², the first participatory budgeting (PB) processes in Europe started in the early 2000s. The effort to involve people in having a direct say in how public money is spent have become widespread.

Deliberative approaches can enable participants to go deeper in considering choices than using proposal submissions, idea generation or voting alone. They bring together a diverse group of people to learn about an issue, share and hear different perspectives, discuss options, consider trade-offs, and ultimately reach informed and considered decisions about priorities for spending. They bring additional benefits by building community knowledge, confidence and connection to decision-making.

Scottish Government and COSLA³, the voice of Local Government in Scotland, had a revised Framework Agreement set out in 2017 which aims for at least 1% of local government budgets to be subject to participatory budgeting by the end of 2021 this has now been reaffirmed and revised to offer flexibility on the deadline due to the pandemic⁴. This effort to undertake PB at scale is known as 'mainstreaming'⁵ which is not just about scale in terms of budgets but also about embedding PB across all council services. Funding allocated through PB can impact services, infrastructure, community planning and other local priorities. Other models of PB, which can work alongside mainstreaming PB, include small grants or community budgeting. Whatever the model, PB is an opportunity to bring people together to discuss priorities and to deliberate on how public funds should be allocated.

This guide is aimed at people involved in the design and delivery of participatory budgeting processes in Scotland, though its content is relevant for people working anywhere. It is intended to be multi-scale - you could be working for a local authority to mainstream PB or supporting a community group in Scotland with small grants. Whatever your context, we hope that it will provide inspiration on what's possible. Every local authority and community is different. Your area will need to create a process that works for your context. However, learning about different design options can offer inspiration and you can draw on the elements that appeal to you. Within the appendices you will find signposting to further resources, information, and case studies with more detail. To navigate this guide, it may be useful to refer to the table of contents, and glossary of terms.



¹ Involve (2018) *Deliberative Public Engagement*. Retrieved from <https://www.involve.org.uk/resources/knowledge-base/what/deliberative-public-engagement>

² Sintomer, Yves, Röcke, Anje, and Herzberg, Carsten (2016) *Participatory Budgeting in Europe*. Routledge. *Development of PB in South America*. Retrieved from <https://www.citizenlab.co/blog/civic-engagement/participatory-budgeting/the-development-of-participatory-budgeting-in-south-america/>

³ COSLA (n.d.) *COSLA*. Retrieved from <https://www.cosla.gov.uk/>

⁴ COSLA (n.d.) *Participatory budgeting*. Retrieved from <https://www.cosla.gov.uk/about-cosla/our-teams/communities/participatory-budgeting>

⁵ PB Scotland (2016) 'Mainstreaming Participatory Budgeting'. Retrieved from <https://pbscotland.scot/blog/2016/11/21/mainstreaming-participatory-budgeting>

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What is Participatory Budgeting?

*"Democratic power should be delivered from communities up, not drip down from above. Democratic innovations such as... participatory budgeting... should... become the standard by which [participation in decision making] is delivered in Scotland."*⁶

The Commission for Strengthening Local Democracy, 2014

Participatory budgeting (PB) is recognised internationally as a way for people to have a direct say in how public money is spent.

Scottish Government supports PB as an approach for **community empowerment** and as a resource to build on the wider development of **participatory democracy** in Scotland⁷.

PB should be done with communities, giving them the power to make real decisions about how money is spent.

Done well, it can meaningfully involve citizens in allocating resources, prioritising policies and proposals, and monitoring public spending. Any place can implement a participatory budget.

When we refer to 'citizen' in this handbook we mean anyone with a clear connection to that place and this includes people experiencing homelessness, asylum seekers and refugees. Some processes extend eligibility to those who work or are educated in a geographically defined area.

Outcomes depend on the purpose, planning and level of community involvement. PB should be guided by the **National Standards for Community Engagement**⁸.

The **PB Charter**⁹ sets out seven key features showing what a fair and high quality PB process should look like. It set out seven key features:

- Fair and inclusive
- Participatory
- **Deliberative**
- Empowering
- Creative and flexible
- Transparent
- Part of our democracy.

You will know PB is 'deliberative' when:

- the information people need to make informed choices is available and accessible at all points in the PB process;
- people involved report increased knowledge about the issues affecting groups and individuals in their own communities and other communities;
- methods are used which allow people to express their views and which encourage discussion; and
- ideas, priorities and the choices made about how money is spent are reached through public discussions and informed by wide-ranging views.



⁶ COSLA (2014) *The Commission Strengthening Local Democracy Report*. Retrieved from https://www.cosla.gov.uk/_data/assets/pdf_file/0016/18052/thecommissiononstrengtheninglocaldemocracyfinalreportaugust2014.pdf

⁷ Scottish Government (n.d.) *Community Empowerment, Participatory Budgeting*. Retrieved from

<https://www.gov.scot/policies/community-empowerment/participatory-budgeting/>

⁸ SCDC. (n.d.) *Scotland's National Standards for Community Engagement*. Retrieved from

<https://www.scdc.org.uk/what/national-standards>

⁹ PB Scotland (n.d.) *The PB Charter for Scotland*. Retrieved from <https://pbscotland.scot/charter>

Purpose and Benefits

Participatory Budgeting enables citizens to identify, discuss, and prioritise public spending priorities, and gives them the power to make real decisions about how money is spent.

Benefits include:

- **Community building: stronger and more resilient communities**
- **Better solutions, leading to improved outcomes**
- **Increased community power and trust in decision-making**

There are many possibilities, and this is by no means a complete list. Considering the purpose and benefits can help you design the best approach and framing for deliberations on your budget.

You should consider connection to community planning¹⁰, standards¹¹ and national frameworks¹² which can either be informed by or inform deliberation on community vision and priorities.



¹⁰ For example, community-led planning including [Community Action Plans](#) and Local Place Plans (LPPs), or [Local Outcomes Improvement Plans](#) (LOIP) and Locality Plans. The [Community Empowerment \(Scotland\) Act 2015](#) aims to raise the level of ambition for community planning, setting out a legislative requirement to improve outcomes.

¹¹ For example, Place Standards <<https://www.placestandard.scot/>> and National Standards for Community Engagement <<https://www.scdc.org.uk/what/national-standards>>

¹² For example, Scotland's National Performance Framework <<https://nationalperformance.gov.scot/national-outcomes/communities>>

Steps of a PB process

Running and delivering a traditional PB process typically includes some form of idea generation, screening and reduction of ideas and a final vote. Here are some typical steps below that you might follow to deliver a process in your community.

1. Design & inclusion & accessibility

Design includes all the decisions you will need to make in order to deliver an effective PB process. Design can include reviewing the scope of the PB and any statutory duties in relation to the fund i.e Equalities/Fairer Scotland/Housing, setting goals, theme, service, budget, scale, co-design, area, setting criteria, who is eligible to participate, type of idea generation, type of voting, length of the process, making the process more innovative or building upon what is already being done. There is a lot to think about before planning any PB process (*dedicated section on p.14*). With any design, inclusion and accessibility must be considered from the outset, in order to make sure you are not excluding people from the process (*dedicated section on p.34*).

2. Communications & recruitment

It is important to think about how you will communicate with people on what the PB process is, why it is meaningful and why they should get involved. This includes considering how you will recruit people and make it easy for people to get involved; for example, you may want to consider who will lead on the work (design, admin, reduction of ideas, supporting people, counting votes), a steering group for accountability and people in the community to propose ideas and vote on them. It may also be useful to engage political representatives into the process and their role.

3. Idea generation

This involves thinking about how people can propose ideas and proposals. This could be done online, in-person or a combination of both. There might be a specific theme, criteria or service that the ideas should meet. You could have multiple phases of idea generation.

4. Screening Proposals/reduction

This is reduction of ideas and checking the ideas or proposals to see if they meet the required criteria. Who is responsible for this part of the process, will depend on your design; for example, it could be a group of citizens instead of local authority officers.

5. Voting or consensus

It is also important to consider how decisions will be made. Final decision-making could be done through a vote or through consensus on which proposals should be implemented.

6. Implementation

This entails considering how these proposals are implemented and how the community are given feedback on why these proposals have been chosen and the progress of implementation.

In Practice: Antwerp

In **Antwerp**'s PB, the citizens decided before the ideation phase on the themes of the citizens' budget and how much money each theme will receive. This decision is made in a deliberative manner with mini-publics. The deliberation at this stage has a very different character from the deliberation on the final project proposals. It involves making decisions on the themes that different people want to invest in without knowing whether the completed projects are close to them. It entails a clear discussion of priorities: do they want to invest the available money in better cycle paths, in youth work or in more green spaces in the city? This stage uses consensus building to come to decisions.



Deliberation in Participatory Budgeting

What is deliberative PB?

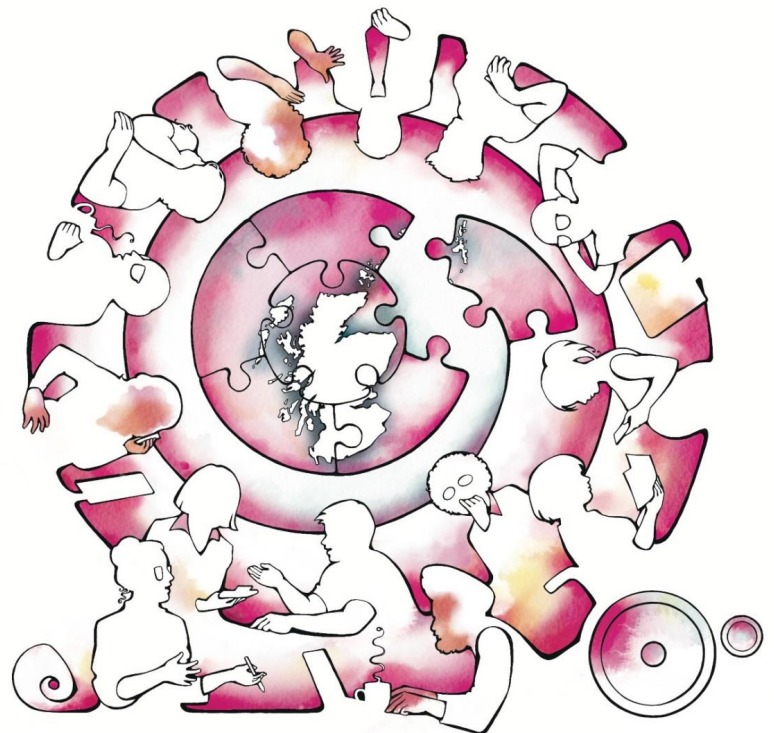
Deliberative PB brings together a diverse group of people to learn, share and hear different perspectives, discuss and consider options, and ultimately reach informed and considered decisions about priorities for spending a budget. It might be a process of building consensus, or lead to a vote.

Deliberative processes can be small or large-scale, one-off or continuous. There are benefits to investing in continuous processes as they increase skills, awareness and partnership over time.

What are the key components of a deliberative process?

There should be core elements of learning, discussion, and collective recommendation or decision making. When including deliberation into your PB process, it can be useful to decide upon and follow a set of principles to make sure you are on the right track. An example set could be¹³:

- A clear remit for the group will respond to, using a plain English question that gets to the heart of the issue to be deliberated on.
- Participants have access to the information they need to be informed about the topic. This information is balanced and from a range of different sources.
- Participants have the time and space to have in-depth conversations about the topic. This allows them to consider complex information, grapple with trade-offs and impacts and weigh up options and ideas.
- The space is inclusive, accessible and supports all to be able to participate.
- Participants are diverse and ideally broadly representative of the local population. They are selected fairly or randomly via sortition or a random, stratified selection process.
- Participants are given a high level of influence over outcomes or decisions. They are able to detail their own thinking and work towards developing their final recommendations.



¹³ Adapted from the PB Charter <<https://pbscotland.scot/charter>> and *Principles of deliberative engagement* (Mosaic Lab), <<https://www.mosaiclab.com.au/what-is-deliberative-democracy>>

What are some of the design choices?

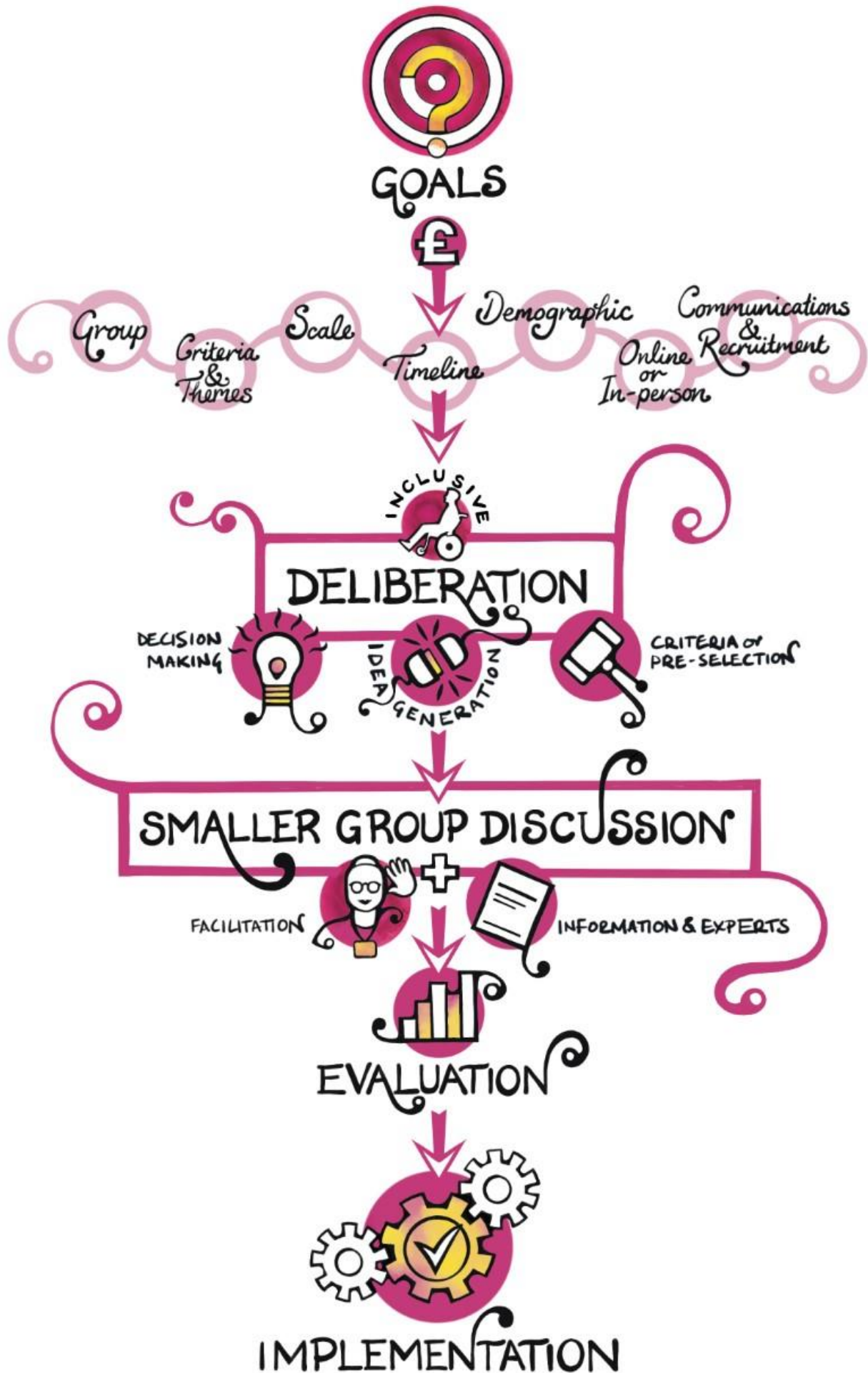
There are some design choices that you will need to consider, ideally alongside the PB charter, when designing a deliberative process¹⁴:

- Scale – deliberative processes can be small or large-scale, one-off or continuous
- Scope – what the budget process can and cannot cover (particularly from a public sector perspective as there may be statutory duties to adhere by)
- Clear topic and questions - ensure these are easy to understand
- Participants influence over the outcomes – set clear expectations
- Access to information – ensure that deliberations are informed
- Selection of participants (number and profile) – consider diversity and representativeness
- Accessibility – ensuring diverse participation by considering for example issues of cost or time
- Process governance – this can involve community stakeholders
- Space – consider if the process will be in-person, online, or a hybrid.

What is the difference between deliberative democracy and representative or participatory democracy?

Though complementary to representative and participatory democracy, deliberative approaches differ in that they purposefully support informed conversations, invite diverse perspectives, and build shared understanding. Deliberation typically involves smaller and broadly representative groups of people considering one or more issues in depth, rather than relying on polling and voting where this deliberation is not a requirement. Deliberation enables people to adopt more informed positions on the topics, with a better understanding of the trade-offs, which has benefits for decision making. Communities have the opportunity to build a rich narrative that highlights their experiences and priorities in a way that is meaningful and empowering. Secondary benefits for some participants can include increased civic literacy and engagement, reduced loneliness and isolation, and increased skills and confidence.

¹⁴ Democratic Society (2020). Innovation in Democracy Programme Handbook. Retrieved from <https://www.demsoc.org/projects/innovation-in-democracy-programme>



Benefits of Deliberative PB

Deliberation brings a number of benefits over more traditional voting methods of PB.

Social learning

Social learning means that people are learning from each other's insights and experiences, particularly people with whom you do not immediately share the 'same world' or lived experience. This increases the knowledge and appreciation of others' opinions, not just in the PB process but in wider life.

Social learning occurs when citizens learn to understand the opinions of others or to transcend their personal world in creating an opinion. A more implicit indicator of social learning concerns learning to make one's own opinion understandable. After all, learning to explain why you take a particular opinion also implies the development of an understanding that others do not necessarily share the same background, world view or experience. This implies that your opinion cannot simply be stated, you have to explain it. In other words, social learning is about learning to understand one's own opinion, the opinions of others, and learning to transcend one's own perspective.

Thibaut Renson of the University of Ghent in Belgium¹⁵ has conducted research among the participants of Antwerp's PB (a deliberative process described elsewhere in this document) to test this effect.

Renson concludes that the Antwerp PB actually produced what he defines as "*better citizens*" – in other words, citizens who learn from each other's insights and experiences by learning to argue their own opinion, learning to transcend their own environment in that argumentation and by learning to understand the reasons of others.

One of the conclusions from his research reads: "*On the basis of this research we therefore suggest that the increasing investment in deliberative democratic experiments is desirable. That in fact one and a half hours of deliberation, half of the participants become better citizens is a very favourable and stimulating empirical finding*".¹⁶

Community building

As mentioned above, community building is one of the possible goals of PB. This objective assumes that social bonds and a sense of community can be strengthened through PB. This effect will be much less if the PB process is the sum of individual choices. In a more 'individual' PB, participants will submit individual projects and vote individually for projects. The result then becomes the sum of individual votes. If a PB really wants to focus on strengthening communities, it is desirable that these citizens start thinking together about what they consider important for their municipality. Deliberation is the ideal tool for people to make those decisions together. The PB work with local authorities in Scotland so far supports PB as a way to build consensus and understanding on shared priorities and goals. PB with or without deliberation also differs from consultation and engagement. When PB is done transparently and demonstrates the level of support for ideas; this can show the community what has

¹⁵ Renson, T. (2018) *Baart Antwerpse Burgerbegroting betere burgers?* Society & Politics, 25-2. 58-66

¹⁶ Renson, T. (2018) *Baart Antwerpse Burgerbegroting betere burgers?* Society & Politics, 25-2. 58-66

been done with their input and how their decisions will affect final outcomes and consequently can support in building community and trust. For example, Scotland's Climate Citizen Assembly did this in terms of identifying the issue, outlining considerations and demonstrating the support for ideas¹⁷.

Better decisions

The same argument applies to the goal of "better decisions". One of the goals of PB can be to come to better, more supported decisions. This objective is partly achieved because the citizens best know and understand their context and environment. It can be argued, however, that decisions made by deliberation are even better decisions. It is not about an opinion of one person, but about a decision that has been discussed extensively by a group of people from different backgrounds. The possible project or decision has therefore already been viewed and discussed from various sides. Furthermore, through deliberation, people from different backgrounds can also put their creativity together in order to arrive at different solutions than those that fit within the strict frameworks of a local administration. Finally, a decision that has come about through deliberation has already been made by a group of participants with possibly very different backgrounds. This increases the chance that these decisions will also have wide support from the rest of the population. When deliberation is properly implemented in a PB, there is a good chance that this will lead to well-considered, creative and supported decisions.



¹⁷ Scotland's Climate Assembly (2021) Recommendations for action. Retrieved from <https://www.climateassembly.scot/sites/default/files/inline-files/Scotland%27s%20Climate%20Assembly%20Recommendations%20for%20Action.WebVersion%20%282%29%20%282%29.pdf>

Designing Deliberative PB



There is no single 'right' way of designing a deliberative participatory budgeting process. From how you plan to generate proposals, the degree of decision-making power citizens have, how to engage with citizens, through to how decisions may be reached (and many other factors), the process will look very different from one place to another. You may want to think about where you are already starting from: for instance, if you are a local authority, you may already have community planning activities going on, or if you are a community practitioner you may already be involved in community-led activities.

There's a lot to think about before planning any PB process. Is your PB process to be organised around a theme or service? What is the geographical area within which it is going to be run? Who will be eligible to participate?

Make sure you are clear about what budget you have available for your PB process, and the restrictions on how this can be used. Is there a required timeframe that you need to host a deliberative event and have a decision by? What is the purpose of the deliberation – to inform next steps, generate ideas and proposals, prioritise, make decisions, all of the above? Asking these questions will help you frame the overall PB process and ensure your deliberative process has a clear focus.

Whether you are a community or council, you will need to ensure you are clear about what resources you have available for delivering this project¹⁸. Who else can offer advice and support? You can think about bringing a wider perspective by mapping out opportunities for partnership work.

Exercises like stakeholder and network mapping¹⁹ can help you find organisations and people in your community to reach out to and involve.

Councils across Scotland have suggested that strategic planning and collaborating early with communities is essential. The success of mainstream PB will be through linking into and improving existing processes such as community planning rather than re-creating a whole new process which can be costly. There may already be community meetings, or opportunities to bring traditional 'decision-makers' alongside your community in one space. There might also be engagement activities hosted by other organisations, or other parts of your organisation, that you could partner with and share expertise.

Particularly for councils, getting buy-in from senior management within the local authority can mean making quicker progress with your plans for PB. Working with other organisations who have significant reach into the communities that you could work with can have benefits in building stronger relationships and trust.

¹⁸ *Planning your PB process Webinar*. Available here <https://www.youtube.com/watch?v=MTMgkbMFd9A>

¹⁹ *How to be Comms Savvy (1) Webinar*. Available here <https://youtu.be/bOvqV8hCD6I>



In Practice: Falkirk Council Hackathons²⁰

Falkirk Council ran a series of hackathons which were organised by the council as a tool for engaging with communities and discussing how they envisioned Community Choices working. Hackathons are energised workshops that focus on solving a specific problem or creating something new. The hackathons – which were delivered by an external provider – brought together council officers, third sector

organisations, Community Council representatives and other community representatives to listen and collaborate as equals in how they envision participatory budgeting being delivered across Falkirk's council area. For this, they had attendees creatively outlining their priorities on the ground, and how participatory budgeting could potentially be utilised to deliver meaningful change, with communities being enabled to lead in taking this forward. Falkirk council also set up a Participatory Budgeting Working Group in 2019/20 which explored how their mainstream PB scheme could be implemented. The Group was chaired by the Director of Corporate and Housing Services, with senior staff from communities, governance and finance attending. By ensuring this high-level buy-in, officers were able to make speedy progress in putting a paper to elected members, with clear and actionable targets.

In addition to partnership work, you might want to think about how you can bring in wider perspectives from outside your organisation. For instance, are there ways in which you can bring in those who you hope to impact with the PB process into designing the process itself? Doing so can have four results:

1. An increased range of perspectives in designing the process can lead to smarter design - identifying new challenges and creating interventions to challenge these. These challenges and interventions will be informed by the lived experience of the very individuals you are trying to reach.
2. Increasing trust in the process.
3. Developing advocates for the process who can help spread the word.
4. Increase the sense of ownership that the community has over this.

¹⁴ *Falkirk Council Hackathons*. Retrieved from <https://www.falkirk.gov.uk/employees/cotf/events/hackathon/>

Bring Stakeholders into the Design Process

It is advisable to involve communities and stakeholders at the early stages of a design process²¹. To do this, you could organise a **design event**. This can complement activities of a **steering committee** with community representation. You can build confidence, knowledge, skills and buy-in through designing the process **with** citizens and not for them. Citizens can provide input into what their priorities are and what they consider important, including how to engage less heard voices in the community through PB. Recruiting members for a steering committee can also take place at such a design event. Hosting an event like this opens up the chance and opportunity for people to be able to get involved and take part, even if this is their first time doing something in their community.



In Practice: Breda, the Netherlands – Design Event

Breda organised a major PB festival at the very beginning of the process. Various activities gave people a fun way to get to know PB. There were inspirational stories about different processes in Europe,

people could leave ideas about what they consider important in the organisation, and they could sign up to sit on a steering committee. In addition, participants could influence the final design by voting on statements with smartphones, for example: *"Is it important that citizens have the final decision?"*

²¹ Homeless Network (2019) *How to buy in to community budgeting* (provides useful information on setting up a community led steering or project group run 'by the people, for the people') Retrieved from https://homelessnetwork.scot/wp-content/uploads/2019/11/community_budgeting_toolkit_web.pdf

In Practice: Antwerp – Steering Committee

Antwerp set up a group with the role of ensuring inclusion in the PB process. It included representatives from different target groups such as people with a migration background, young people, the elderly and people in poverty. The group met every month and was closely involved in the design process, detecting possible barriers early on and adapting the design to different needs. Methodologies were also tested. Working with strong visual elements (instead of text) in the deliberation process was one point highlighted.



Steering Committees should bring together a balanced group which is representative of the community or citizens you are aiming to target the process towards, that develops guidelines in partnership with government or organisational officials to ensure the process is inclusive and meets local needs. The steering committee's role is typically to provide advice, ensure delivery of the project outputs and the achievement of project outcomes. This may include such tasks as:

- Providing input to the development of the project, including the evaluation strategy
- Providing advice on the budget
- Defining and helping to achieve the project outcomes
- Identifying the priorities in the project – where the most energy should be directed
- Identifying potential risks
- Monitoring risks, timelines and the quality of the project as it develops
- Providing advice and sometimes making decisions about changes to the project as it develops

The steering committee/group can provide support, guidance and oversight of progress. Within a local authority, the steering group does not usually work on the project themselves; this would be the PB project team, for instance within the local council, who are responsible for implementing the project. However, if you are a community, this may be the steering group themselves leading the project to make PB a reality, for instance a community led steering group may also:

- designing the PB process
- developing communications, reaching out to communities and local people
- develop the application process and criteria
- review and reduction of proposals
- develop the voting process
- evaluating the process

Deciding a topic

There are different ways to set what topic a PB process could focus on. For example:

- The council or a public authority have identified a budget that should (or could) be allocated with community involvement, for instance, on health or tackling inequalities.
- Citizens are involved in deliberation on priorities (open or thematic) and make an informed decision about the priority area of focus for the PB process. They may start with a 'blank page' or be informed by a wider and connected community consultation or participation process.
- Communities can organise a community-led deliberation on priorities, and then approach funders to support a PB process on the selected topics.
- Wider publics are involved in generating ideas and voting.

Best practice is where the community is involved at the beginning of the process in setting the priorities and coming up with solutions. This means they are far more likely to own the process, own the projects that are funded, and have a greater sense of shared responsibility.



Deciding participants

It's important to define who can take part in your PB process. You may wish to consider:

- **Geographic demarcation:** Are participants the people who live in the area and have their home address in said area? Could they also be people who work in the area? Will you also include people who live in a neighbouring place? And how is this verified? It is important to consider the consequences for the participants in each choice. If official addresses are used, is there a scheme for homeless people to participate?
- **Special target group or the general public:** Many PB processes allow all residents of a city or neighbourhood to participate in the process. Yet, there are also a lot of citizen budgets that are specially designed for a specific target group. A common target group is young people.
- **Age:** you need to decide at which age children or young people can participate. In Scotland, many communities have decided to include children as young as five years old and councils from the age of eight and up. If you want the PB to be accessible and work across age ranges and literacy levels, the process should be adaptable and supported, for instance, you may need to create different marketing, materials and enlist the support from youth workers and teachers to work with young people. You may also want to run a deliberative process for young people which feeds into a wider, intergenerational deliberative process. Sometimes participation is limited to the age at which people have official voting rights in order to maintain an equal standard with representative democracy.

Think early about how best to create conditions that make it easy for people to participate. You may want to think about creative ways in which young people and children's voices can work together with adult voices. Often processes are designed for adults only, or young people only, but thinking of ways to bring intergenerational voices and different perspectives together can help make stronger decisions, especially when the decision affects everyone. This can also encourage young people to become more vocal, confident, active members of their communities and lead to more successful PB approaches in the future²².



In Focus: Youth PB in Castlemilk, Glasgow²³

Recognising the cost of the school day²⁴, the purpose of this PB process event was to determine the most effective use of £20,000 split between two different schools in **Castlemilk** to reduce inequalities. There was no age threshold set. Amy, a P4 at Miller primary, told PB Scotland "You should be able to vote if you're 7 or 8... or under 20. [If people told me I couldn't vote] I'd just vote anyway". The school's work on reducing the cost of the school day through PB has led to all children having a school uniform, parties, discos and events being

free, children choosing books for reading for enjoyment for their classrooms and educational and summer outings.

²² Aspen Institute (2017) We should include young people in the budgeting process. Retrieved from <https://www.aspeninstitute.org/blog-posts/include-young-people-budgeting-process/>

²³PB Scotland (2018) PB in Castlemilk: Voting to lower the cost of the school day. Retrieved from <https://pbscotland.scot/blog/2018/12/10/a-right-to-a-voice-participatory-budgeting-and-childrens-rights>

²⁴ CPAG () Cost of the School Day Executive Summary. Retrieved from [https://cpag.org.uk/sites/default/files/CPAG-Scot-Cost-Of-School-Day-Summary\(Oct15\)_1.pdf](https://cpag.org.uk/sites/default/files/CPAG-Scot-Cost-Of-School-Day-Summary(Oct15)_1.pdf)



In Focus: Youth PB in Lisbon²⁵ and Glasgow City²⁶

Lisbon moved from small-scale local projects (EUR 50,000 to 150,000) to bigger scale structural projects (EUR 150,000 to 500,000) and integrated climate projects by working with young people on Green Schools PB. In another example, **Glasgow City Council** and **Glasgow Community Planning Partnership** worked across 9 communities, including with pupils from 10 schools, to design and deliver a community budgeting process within their school. Pupils decided how to spend £1000 to better all their school lives. They also worked

with Young Movers to support youth empowerment through a range of services and approaches across the North East and North West of the city including PB awareness-raising programmes and a range of PB processes across the North of the city which aim to build capacity among young people in readiness for the mainstreaming of PB.

Opportunities for deliberation in PB

There are many ways to build deliberation into your PB design. Existing formats such as a citizen jury, deliberative panel, a citizens' assembly or a series of deliberative events that are connected together could be adapted for a PB process. This can happen in-person or online. There is variation in each approach for the amount of time and resource required and the choice will ultimately depend on the objectives and the scope of your PB process. In the following pages, you will find a short overview of some tried and tested approaches to deliberation. **Below, we offer suggestions for how deliberation can be used at different stages of a PB process.**

Deliberation in one large group has a number of obvious drawbacks. For example, it is difficult to keep everyone involved and give them the space to have their say.

Characteristics of a deliberative process are:

- Time: A fixed time session, 2hr session up to one full day
- Who: a group of citizens broken into small groups of 6-10 people, as close as possible to a "representative sample" of the public at large
- Purpose: to deliberate a given issue based on provided information
- Facilitation: the group meeting is professionally organized and moderated

²⁵ Democratic Society (2020) PB & Youth Climate PB in Lisbon podcast. Available here <https://audioboom.com/posts/7690627-pb-youth-pb-in-lisbon-with-yves-cabannes>

²⁶ Glasgow Community Planning Partnership (2018) Participatory Budgeting, A Step Further (Glasgow) video. Available here https://www.youtube.com/watch?v=SyRcbrk0f_Y&feature=youtu.be

- Output: it produces a collective judgement that is fed into broader public debate and/or ongoing processes of policymaking as a "view of the public"
- Responsibilities: such events may be commissioned by public authorities, non-governmental organisations or firms.

In Focus: Antwerp and Aberdeenshire²⁷

In **Antwerp**, citizens decide in different phases on more than 1 million euros by means of deliberation with mini-publics. In the last phase, the PB festival, the decision is made about the project proposals. Each theme is discussed one by one throughout the day. The participants are given approximately one hour to deliberate on the various proposals submitted within a theme. Afterwards, they choose five proposals by consensus. All votes from all mini-publics are added together and this forms the final decision following which projects are funded.



Aberdeenshire also used mini-publics to help tackle child hunger in schools and participants were drawn from those only entitled to free school meals. Both pupils and parents said they were initially nervous about taking part but as the session developed, they felt more comfortable and relaxed, and the format allowed space for parents to speak to school staff and other professionals in a relaxed and informal way.

²⁷ PB Scotland (2020) *Aberdeenshire, Fraserburgh, mini-public*. Retrieved from <https://pbscotland.scot/blog/2020/1/6/fraserburgh-pef-cld-mini-public-community-development-practice-exemplar>

Stage: Idea generation

Deliberation is not just about the choices at the end, you can also use it in the ideation phase of PB, to create the ideas or projects through deliberation that can be chosen later. If we look back at the objectives, deliberation in this phase ties in closely with the objective of PB to come to better solutions. Projects become better projects when different people, each with their own background and perspectives, have already looked at them. They can combine their creativity and thus arrive at projects that an individual participant or an urban administration does not immediately think of.

Deliberation in the ideation phase is organized in different ways. Cities can impose the obligation by asking that each idea have different signatories. In this way a lot of freedom is given to the process but there is very little control over the deliberation. In some deliberative PB processes, "mini-publics" come together to deliberate about an idea or a group of ideas, either generated by the participants, or generated online. The outcome is not a decision but an elaborated idea or project proposal. In these sessions the groups can be moderated and there are often experts present who can immediately provide input on, for example, the feasibility of ideas.

Stage: Reviewing Proposals

When the general public is involved in a PB in a deliberative way, it often concerns decision-making or ideation. However, sometimes citizens are involved in a deliberative way in other phases of the process. This often does not concern the general public, but citizens who sit on a jury or a panel, sometimes accompanied by experts, politicians or civil servants. Here we briefly discuss two examples:

Every PB has a set of criteria that potential project proposals must meet in order to be taken into account. These can be very formal criteria such as statutory duties for public funds²⁸, but also criteria that are more open to interpretation. For example, "the co-creative character" or "the interest of all residents of a city" can be an argument that carries weight in whether or not to accept project proposals. Project proposals are often tested against these criteria in a deliberative way. For example, citizens and experts may form a jury together. They will then deliberate on the project proposals and come to a joint decision regarding whether project proposals are accepted or rejected.

In the same way, a jury can, where possible, also include citizens in order to filter project proposals, if it has been decided in advance that only a limited number of project proposals will be put to the vote of the general population. This is a good idea to prevent the "paradox of choice" – where lots of choice creates confusion, but does require a pre-selection. This pre-selection is often done in a deliberative manner, whether or not on the basis of certain scores for certain criteria.

²⁸ Scottish Government (n.d.) Scottish Public Finance Model Local Governance. Retrieved from <https://www.gov.scot/publications/scottish-public-finance-manual/local-government-finance/local-government-finance/>

Stage: Decision Making

A deliberative PB is primarily thought of as deliberation to make the final decisions. This can apply to one or more phases where decisions need to be made, depending on the design of the PB. For example, in **Antwerp**, deliberation is used in three distinct phases to decide on the themes to be chosen, the money to be distributed and ultimately the projects to be selected. Usually, deliberations take place in small groups (mini-publics) and a decision is then made within this small group. This can be based on majority votes or consensus. The results of these different small groups together form the final decision of the PB. The benefits of deliberation in the decision phase have already been extensively mentioned. People from different backgrounds will learn from each other's points of view, understand each other's needs and lived experiences and in this way really decide together what is important for their city.

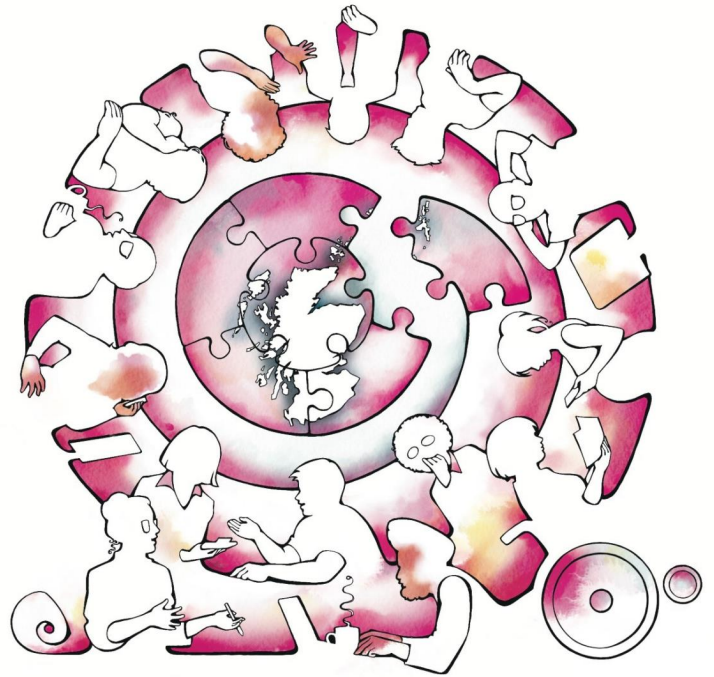
Possible points of attention for a PB that focuses heavily on deliberation is that it will be a more difficult process, both for the participants and for the organization. For many participants it is a big step to come to a deliberative meeting, much more so than voting online (though the democratic experience is also richer). They need to make time and be willing to talk to people they don't know about what is important to them in their city. In order to get sufficient diversity of voices together at the tables, it is therefore important to have trained facilitators guide participants and properly prepare participants who are less inclined to participate in these types of processes. Guiding such target groups at the event itself is also crucial.

Deliberative Methods

Mini Publics

In **mini-publics**, the main deliberation is held in small groups. The results of these deliberations are subsequently brought

together in one big group. Traditionally, a mini public consists of about 6 to 10 people. The size of this results from a trade-off that must be made between a workable conversation and enough different voices to feed the deliberation. Experience shows that 10 people around a table is the absolute maximum. Often the participants sit too far from each other to be able to understand each other or sub-conversations arise between the participants.



Deliberative Panels and Forums

A **deliberative panel or forum** is a space where one or more issues are introduced to prompt thoughtful consideration and discussion so that a consensus may be achieved around actions needed for its solution, for instance reviewing approaches or options available for its resolution. Framing of an issue is important for a panel or forum as it must be framed specifically around a topic in order for citizens to deliberate, discuss, consider and come up with different approaches. There is usually a briefing at the beginning of a forum to introduce the questions that need to be addressed and a panel of up to 4-5 experts or policy makers, where citizens can ask questions drawing on the panel's knowledge and experience. Organisers should ensure panelists reflect the diverse range of people and perspectives in their community. Panelists should have expertise related to the issue and to the specific questions comprising the agenda for deliberation. Deliberative forums enable citizens, council staff and policy makers to share their lived experiences and knowledge and to share and learn from others on the topic.

For setting up a deliberative panel or forum, here is some example criteria:

- Time: 2.5 hrs
- Who: 20-100 representative citizens, community staff, experts & policy makers, number of participants typically dependent on resources available
- Commitment: Deliberative forums require a commitment from public officials to become more transparent and move away from traditional formats

- Requires some additional time and resources to ensure materials are easily understood. Sufficient time is needed to assure that the design is appropriate for reaching the desired outcomes.

When is a deliberative panel or forum useful for PB?

A deliberative panel or forum can be useful for PB because it offers well-structured opportunities for informed and inclusive public engagement. It is a space where facilitated discussions and deliberations can happen among citizens from diverse backgrounds and between citizens and policy makers. As a result, these forums provide a means for gathering rich input about particular issues in ways that strengthen community relationships where citizens, policy makers and council staff can identify shared ideas or concerns. This can be useful for council staff to share background information, important issues i.e priority areas for action based on local needs and provide options (i.e. on themes or budgets) for citizens to consider.

In Focus: Paris

Paris set up multiple citizen deliberative forums "Conseil des Générations Futures" (Future Generation Council). It is a space for discussion and debate on economic, social and environmental issues where labor unions, public servants, associations and randomly selected residents can have their voices heard. "Conseil des Citoyens" (Citizen Council): is a deliberative space for residents living in low-income neighbourhoods ("quartier populaires") designated by the city. "Conférence de citoyens" (Citizen conferences): these are similar to citizen assemblies and "Conseil de la nuit" (Nocturne Council): is focused on security, transport, culture, and commerce during the night in Paris.



Citizens' Jury

A **Citizens' Jury** is typically form of around 12-24 randomly selected citizens, representative of the demographics of the area, who deliberate on a given issue. According to The Jefferson Center²⁹, which designed the method, a citizens' jury should take place over 4-7 days. However, most juries are held over 2 days.

Example criteria for setting up a Citizens Jury:

- Time: 2-7 days
- Who: 12-24 randomly selected citizens
- The jury first meets to better understand the process and receive a brief overview of the issue and get to know each other.
- 'Jurors' or citizens should hear from the 'expert witnesses'. These should include 'neutral' experts, stakeholders and advocates representing all sides. The jury should hear balanced, accurate and understandable information and evidence.

When is a citizens' jury useful for PB?

You could use a citizens' jury as part of your PB initiative to deliberate over public service spending. Citizens' juries are intended to result in consensus by framing a question or topic issue to discuss and deliberate on.

In Focus: Australia

Darebin, Australia formed of a citizens' jury of 44 people, who were asked to deliberate on the following question: How should we best spend \$2m to improve our community through use of infrastructure funding?



²⁹ Centre for New Democratic Processes (n.d.) Citizens Juries. Retrieved from <https://jefferson-center.org/citizens-jury/>

Conversation Café (or World Café)

What is a conversation cafe?

Conversation cafes are an informal dialogue³⁰ method which invites people to take part in discussions about topical issues in an informal setting. The aim is to have calm conversations in which there is less debating and more listening. Although typically not deliberative, conversation cafes can be a powerful method for engaging citizens in conversations that matter to them and the format is flexible to your design needs.



Example criteria for setting up a conversation cafe:

- Time: 60–90 minutes
- Who: 3–8 participants and a host per table, with as many tables as the location can hold, diverse members of the public where anyone is welcome to join
- Where: public setting like a cafe
- Open, hosted conversations where people gather to make sense of our world or a topic.

What is a world cafe?

The **world café** methodology³¹ is a simple and flexible format for hosting large group dialogue. It is a creative process for leading collaborative dialogue, sharing knowledge and creating possibilities for action in groups of all sizes, similarly to the conversation cafe format. This format can provide a space for citizens to come together, talk and build understanding about an issue or topic which builds group intelligence. Similar to conversation cafe's, a world cafe method can be a powerful method for engaging citizens in conversations that matter and the format is also flexible, the difference being world cafe's are usually larger and involve some more preparatory and design work involving setting up small group tables in a space big enough for the amount of citizens you would like to participate, organisers and facilitators of the event and setting a clear focus and context to the cafe for people to have discussions and collaborate ideas on. World cafes also often include some moving around, where a 'table host' or facilitator is selected to move from table to table carrying with them key ideas, themes and questions from their old table into their new conversations.

Example criteria for setting up a world cafe:

- Time: 1.5 hour minimum
- Who: between 12-200 participants
- Where: public setting like a town hall or big enough to set up multiple round tables for group discussions

When is a world or conversation cafe useful for PB?

³⁰ See: Public Dialogue and Deliberation, https://www.ed.ac.uk/files/imports/fileManager/eResearch_Oliver%20Escobar.pdf

³¹ See: The World cafe method, <http://www.theworldcafe.com/key-concepts-resources/world-cafe-method/>

World or conversation cafe formats can be useful in participatory budgeting for starting a wider engagement process and providing an opportunity to discuss, listen and exchange views about specific community issues. Although these cafes do not typically include deliberation, they can be a great way to start conversations with local citizens on the issues you want to address. They can also be used as a process to start producing innovative ideas by collecting the thoughts and key insights of people who sometimes have different realities, or different lived experiences from each other which is perfect for diverse communities.



In Focus: PB Youth Accelerator

PB Youth Accelerator³² used a world cafe format to collate evidence of participatory budgeting involving young people in the community and in schools in Scotland, with experience also captured from 30 delegates from Poland, Spain, England, Scotland and Northern Ireland. Democratic Society tested an online world cafe-format³³ to gather internal insights around how language is used and to come to a shared understanding.

Citizens' Assembly

Citizen assemblies³⁴ are typically for between 50-250 citizens³⁵ to deliberate on a specific issue or set of issues of local, regional or national importance. They are representative, where citizens are selected at random typically using a process such as sortition to learn about, deliberate and make recommendations on the issue at hand.

Example criteria for setting up a citizens' assembly:

- Time: at least 4 days using multiple meetings with time in between for reflection
- Who: 50-250 representative & randomly selected citizens
- There is a clear question or set of questions for the assembly to address, which has a range of possible solutions

³² PB Network (n.d.) *PB Youth Accelerator Erasmus* Retrieved from <https://pbnetwork.org.uk/pb-youth-accelerator-erasmus-pan-european-research-project/>

³³ Democratic Society (2020). *Learnings from a pseudo-world-cafe online* Retrieved from <https://www.demsoc.org/blog/learnings-from-a-pseudo-world-cafe-online>

³⁴ Citizen Assemblies (n.d.) *UK Citizen Assemblies* Retrieved from <https://citizensassembly.co.uk>

³⁵ Wills, H. (2019) *Public participation in decision-making – 'Deliberative democracy'* Retrieved from <https://www.rbkc.gov.uk/committees/>

- What can/cannot be changed is clearly outlined and decision-makers make a public commitment to consider and respond in detail to the recommendations
- Assembly members hear balanced, accurate and understandable information and evidence

When is a citizens' assembly useful for PB?

A citizens' assembly format can support participatory budgeting and decision-making where there is space for citizens to deliberate over the distribution of public resources and discuss trade-offs. In addition, citizens can discuss the general budget and the budgetary implications for their specific local or national area with representatives, experts and public officials. The benefits associated with this can include increased awareness, civic and democratic education amongst citizens, increased government transparency and an increased opportunity for participation by traditionally marginalized populations. However, for this to be a successful process, a significant amount of resources and planning must go into the design so that it is inclusive, the assembly is representative of the population you are working with and citizens are informed enough to make meaningful decisions on budgetary priorities and policies.

In Focus: Berlin Lichtenberg

Berlin Lichtenberg conducted thirteen citizen assemblies (one in each of the borough districts) as part of their participatory budgeting process, with a budget of €31 million per annum. There, citizens could discuss the general budget and the budgetary implications for their specific district with representatives and public officials. All budgetary suggestions are evaluated at the end of the meeting and each participant can cast a vote.³⁶ The top five suggestions from each district assembly and the top ten suggestions from the online discussion are then gathered into a single list (a total of up to 75 suggestions).



³⁶ Participedia (n.d.). *Online Voting* Retrieved from <https://participedia.net/method/4313>

Facilitating Deliberation

A **facilitator**³⁷ is a person who helps a group of people to work together better, understand their common objectives, and plan how to achieve these objectives during meetings or discussions. In doing so, the facilitator remains "neutral", meaning they do not take a particular position in the discussion. Facilitation is a process of enabling groups to work cooperatively and effectively together and it emphasises the involvement of all participants in a meaningful way. A facilitator's role is about helping participants to play a full part in discussions. In other words, it is about helping participants to follow the process, put forward their views and discuss the issues in an environment which is friendly and welcoming, and in which everyone is heard and treated respectfully. It is not about putting forward your own views, asking your own questions, or trying to convince others to agree with your own opinion.



Why might you need facilitators for deliberative events/discussions?

For most deliberative events, a facilitator is usually required to help groups work through issues, ensure everyone has an opportunity to participate in the discussions, keep to time and keep a focus on the purpose and objectives of the event. Facilitators need to be well-briefed in advance of a deliberative event and comfortable managing a deliberative process.

The aims of a facilitator's role are:

- To help participants make better use of the knowledge and ideas that they collectively possess. It is not about providing knowledge to participants
- To be neutral in terms of content, but not in terms of the process
- To act as a trusted third party and not skew the debate to favour any one side or group
- To have an awareness of and to mitigate power differences within a group
- To be recognised as being distinct from leadership roles, such as that of a chairperson, during events or meetings

How do I/my team make sure everyone is on the same page?

One design element that is crucial in ensuring discussions stay on track, particularly if you anticipate some difficult discussions, is setting some ground rules or collective agreed ways of working. Participants should agree on guidelines for how the deliberation will take place. They can, for instance, create their own conversation guidelines. This will support participants to manage their own behaviour and will give facilitators the license to step in should any issues arise. This helps establish conditions in which all participants feel able to participate. Participants who create their own ground rules or

³⁷ VSO (2004) *Participatory Approaches: A facilitator's guide*. Retrieved from: <https://www.participatorymethods.org/resource/participatory-approaches-facilitators-guide>

conversation guidelines will be more inclined to stick to them as well as this creates a sense of ownership. One example of this is Scotland's Citizen Assembly's Conversation guidelines³⁸.

How do I/my team facilitate and encourage effective deliberation?

There are a lot of methods which facilitators can use to encourage deliberation and ensure that discussions stay on track to reach your objectives. Below are some tips for facilitators.

<p><i>General facilitation tips</i></p> <ol style="list-style-type: none"> 1. Use the full time available / do not rush to a conclusion 2. Ask participants to reflect on and articulate their reasons why, and record the range of views / rationales that are coming through 3. Encourage participants to respond to / build on the contributions of others 4. Give space in the discussion for disagreement / do not force consensus 	<p><i>Participant(s) dominating discussion</i></p> <ol style="list-style-type: none"> 1. Establish your role/authority from the outset 2. Demonstrate they've been heard (e.g. visibly note their point) 3. Thank them for their point and direct the discussion to another participant 4. Remind them of the conversation guidelines 5. Try to build up a rapport that allows you to check them 6. Have a quiet word with them during a break
<p><i>Participant(s) not contributing to discussion</i></p> <ol style="list-style-type: none"> 1. Give participants time to think to themselves before discussing 2. Get participants to start talking in smaller groups (2s / 3s), before the whole table conversation (if needed to encourage quieter people) 3. Go round table and ask for one point each (if needed to encourage quieter people) 4. Direct a question to them / ask if they have something they'd like to contribute 5. Have a quiet word with them during a break 	<p><i>Reaching agreement / Prioritisation</i></p> <ol style="list-style-type: none"> 1. Ask participants to identify a priority each 2. Check whether there are any other options that participants feel very strongly about 3. Discuss those priorities, including what members agree and disagree on 4. Encourage participants to consider whether it is something they could live with (even if they don't necessarily love it) 5. Encourage participants to negotiate with one another 6. Play the conversation back to participants, checking possible points of consensus that may be coming through (e.g. what I'm hearing is that there might be agreement on X)

³⁸ Citizen Assembly Scotland (2020). *Scotland's Citizen Assembly Conversation Guidelines* Retrieved from <https://www.citizensassembly.scot/how-it-works/conversation-guidelines>

- | | |
|--|---|
| | 7. See if discussion converges towards a consensus. If needed, ask participants to vote on remaining options. |
|--|---|

Capturing ideas

Deliberative events will require some form of note capturing to ensure all the discussions and ideas that develop are recorded so they can be taken forward later. This could be done with the facilitator writing notes as participants speak, participants themselves writing their ideas or having an individual scribe to note-take the discussions on flip-chart paper or post-its. During an online deliberative event, note-taking could be done using online tools such as [Miro boards](#) or [Google Jamboards](#) or audio recording the discussions and transcribing.

To ensure the notes accurately reflect what has been discussed, the facilitator or note-taker should check with participants that they are happy with what is being recorded and give them opportunities and space to add to or put things in their own words.



Deliberating online

With recent events affecting the way we live, work and engage with our communities, some PB has moved online. Digital tools can be extremely effective in ensuring people can still use their voices and make decisions even when we can't meet in person. In Scotland, online deliberation processes on complex issues have successfully take place with over 100 participants, including people that have not been online before³⁹. With the right design, tools and support in place anything is possible⁴⁰.



Digital tools can play a key role in the transparency and promotion of your process, as well as being used for core activities like idea generation, voting and deliberation where in-person events are not possible.

They can also complement in person processes if your design takes a hybrid approach.

There are benefits to online PB, including overcoming barriers of place and time, and including people who would not be able to attend an in-person event for a variety of reasons. This is especially true of those with caring responsibilities, disabilities, shift workers, and people living in rural and dispersed communities. However, barriers such as access to devices, stable internet connection and associated financial costs, digital literacy or disabilities need to be taken into account to ensure online spaces are inclusive. Online participation can act as a stepping stone to future engagement too.

There are a lot of tools out there to support the move to online. In practice, you can use video conferencing tools and host discussions in breakout rooms, capturing ideas through digital whiteboards such as [Miro](#)⁴¹ and [Jamboard](#)⁴². You can share presentations and videos, and conduct live-voting through polls or tools like [Mentimeter](#)⁴³ and [SurveyMonkey](#)⁴⁴. One great example of this is Scotland's Citizen Assembly⁴⁵ where they have moved their in-person Assembly online and over 100 citizens are now participating in deliberative discussions using [Zoom](#)⁴⁶.

Some tool features that you may find useful for deliberation are:

- a. **chat** – it enables “raise hand” when you have a plenary discussion

³⁹ See: Scotland's Climate Assembly, www.climateassembly.scot

⁴⁰ The Scottish Council for Voluntary Organisations host a series of digital training initiatives that can help your team build the necessary skills to work remotely online or better support communities and people with essential digital skills and confidence in going online. See: <https://scvo.org.uk/support/digital>

⁴¹ See: Miro, <https://miro.com/app/dashboard/>

⁴² See: Google Jamboard, <https://jamboard.google.com>

⁴³ See: Mentimeter, <https://www.mentimeter.com>

⁴⁴ See: SurveyMonkey <https://www.surveymonkey.co.uk>

⁴⁵ See: Scotland Citizen Assembly, <https://www.citizensassembly.scot>

⁴⁶ See: Zoom, <https://zoom.us>

- b. **breakout session rooms** for bigger groups – may be useful to run interactive workshops, you set a timer for each session, which shows the time remaining, and the room simply disappears when the time is over
- c. **Screen sharing** for presenting, sharing videos, information or interactive boards

For more information on designing an online public deliberation check out our guide.⁴⁷



In Focus: Digital Tools and Consul

There are many tools that can help you run digital PB including Your Priorities, SurveyMonkey and Participare and more. For deliberation, tools such as Zoom and Googledocs can work⁴⁸. However, open-source tool **Consul** has been selected as the national tool to support people to mainstream PB with all 32 local authorities being offered support to implement it across Scotland. **North Ayrshire council** have been using Consul to support their initiative *Shaping North Ayrshire*⁴⁹. They have also worked with Young Scot's Localities Team

using their online voting tool to undertake one of Scotland's largest ever online PB exercises exclusively for young people.

In Practice: Antwerp, Paris, Madrid, New York, Dundee

In **Antwerp** small group discussions are used to set priorities for the budget, which groups then apply for. An online vote is used but given less weight to drive people towards offline/in-person deliberations. In **Paris**, following online and offline idea generation, people who submit similar ideas are required to work together in a co-building workshops. **Madrid** ran an online deliberation process called *Decide Madrid* alongside several face-to-face deliberative spaces to be more inclusive and cater to people's different needs. In **New York**, after online and offline idea generation, volunteers research what would have the most impact and develop these ideas further, before a final vote. There are now many examples of digital PB in Scotland too, but few that are deliberative. To demonstrate what's possible, in 2018 **Dundee Decides** allocated £1.2m through PB using a digital tool for



⁴⁷ Democratic Society; New Democracy (2020) *Designing an Online Public Deliberation* Retrieved from https://drive.google.com/file/d/1JZ1e7_EE2v3UUJUh3cX2Vxa6CsdMG0sK/view

⁴⁸ Democratic Society (2020) *Creating Online Spaces for Deliberation* Retrieved from <https://www.demsoc.org/blog/creating-online-spaces-for-deliberation-what-we-re-thinking>

⁴⁹ North Ayrshire Council (n.d.) *Shaping North Ayrshire*. Available here <https://nay.communitychoices.scot/legislation/processes>

voting, which included community outreach, and this was complemented with programmed voting events in each ward.

Inclusion and Accessibility

How do I make sure my process is inclusive, accessible and easy for people to participate?

Whether you are designing a deliberative process online or offline it is essential to consider who might be excluded by your choice of design. You can overcome this by ensuring diversity of the design team, like for instance including people with disabilities into the steering group to advise and ensure that the PB design does not create unintentional barriers to participation and thinking about ways for removing existing barriers and allowing better access to diverse groups and also under-represented groups.

Deliberative and participatory process should not in fact be assumed to be inclusive and free from power dynamics by default. An inclusive deliberative design should in fact be concerned with a series of criteria to ensure the equal opportunity of under-represented groups to be involved, to be able to access, to have equal opportunities to speak and the equal use of that opportunity. A focus only on numbers and the increase of '*descriptive representation*' – which is, the proportion for instance of women in a group – might not be enough to ensure inclusivity as other issues of voice (speech participation) as well as impact and authority (perceived influence of under-represented groups in the process) should also be considered.

On a more practical level, for instance, one will have to consider that not everyone can access digital tools, time and place of events may be inconvenient and using complex language could deter some people. It is important to note that more than 1 in 5 people in the UK have a disability⁵⁰, that's approximately 14.1 million people. Moreover, "*Only one in three disabilities is visible. If you're only designing for people who are blind or mobility impaired, you're missing out on two-thirds of the population who may have anxiety, who may have different ways of learning*"⁵¹ so ensuring accessibility needs are met and participation is barrier-free is crucial. When it comes to starting conversations, it can sometimes be a case of people not wanting to be the first person to speak. This effect can be amplified online as some people can find it harder to type into a blank space or speak with some of the barriers or fears that come with technology so confidence building and inclusive design⁵² is key.

How can you avoid needless barriers and make this experience as easy as possible to take part in? Ensure you build in accessibility and support requirements into your budget at the start of your planning. Below are some good practices for inclusive design when designing a deliberative process or event. These practices can be used online or offline with some adaptation to meet your objectives.

⁵⁰ Scope (n.d.) *Disability facts and figures* Retrieved from <https://www.scope.org.uk/media/disability-facts-figures/>

⁵¹ Calvium (2019) *Good design is inclusive design: perspectives on digital accessibility with Tom Pokinko at Open Inclusion* Retrieved from <https://calvium.com/digital-accessibility-design-tom-pokinko-open-inclusion/>

⁵² Inclusive Design Hub (n.d.) *What is inclusive design* Retrieved from <http://inclusivedesign.scot/what-is-inclusive-design/>



1. Preparation sessions & sending information well in advance.

For some vulnerable groups, it can be harder to come to an event and these groups can truly benefit from preparation sessions. Preparation sessions can be created in a safe space in their own neighbourhood buildings or homes where they can experiment with some of the deliberative methods expected at the event. In this way, when people join, they feel more empowered to participate. Sending out information well in advance means people will also have more time to process information - this is a must considering the different ways in which people learn. Up to 10% of the population may have dyslexia⁵³, 4% of them with severe cases. Dyslexia is identified as a disability as defined in the Equality Act 2010⁵⁴ which can impact understanding language, getting letters and numbers mixed up and more. Participants should be given enough time to read, prepare thoughts or generally work out how to

participate in deliberative events. When working online, send resources, questions and expectations well in advance of the online call or event.

2. Participation options.

Be mindful about the way that you structure activities in the design, for example, try not to give massive blocks of text for people to read, as people have different ways of learning and processing information. Instead, provide options for people to capture thoughts in different ways (talking to the facilitator, writing notes, writing or typing ideas in post-its etc). However, be aware that not everyone will be comfortable typing or using these methods and facilitators or note-takers should be on hand to scribe on people's behalf. Providing at least two options for participation; for instance, if working online, the option to dial in via phone, sending a video or email with thoughts. Having multiple options or sessions at different times of the day can help ensure those with caring responsibilities can also take part.



⁵³ Cache (n.d.) *Dyslexia the facts* Retrieved from <https://www.cache.org.uk/news-media/dyslexia-the-facts>

⁵⁴ Government Legislation (2010) *Equality Act 2010* Retrieved from <https://www.legislation.gov.uk/ukpga/2010/15/contents>

In Focus: Leith Chooses⁵⁵

Leith Chooses PB focused on fighting hunger and social isolation amidst the Covid pandemic. Projects that were focused primarily on 'fighting social isolation' have had a more challenging job, as many (and often the most vulnerable) people do not have access to the tech or the knowledge and skills to use online tools. Some projects are setting up phone-based systems to alleviate loneliness for isolated service users and to provide advice and support.



3. Access & support needs.

Consider people with disabilities or invisible disabilities. Does your event space have wheelchair and buggy-friendly access? Can you bring in a British Sign Language (BSL) or tactile BSL interpreter, if required? Is the space pet-friendly? Can you pay for participants' time to be at the event? Can any films you show be subtitled? Are facilitators trained to explain something if it is unclear or do you have extra support on hand for this? Are presentations designed so that everyone can understand it (plain English, minimal text, using images)? Do you need to move people about so if someone's vision is impaired they need to be closer to the front? If in a large space, do you have microphones so people can hear at the back of the room? Can you have a quiet room or reflection periods? This can support a range of different people's needs and allow for people to have a place to rest and process information. Find more information on access and support needs in footnotes⁵⁶.

⁵⁵ Leith Chooses (2020) Leith Chooses projects adapt to covid crisis Retrieved from <http://www.leithchooses.net/eithchooses-projects-adapt-to-co19-crisis>

⁵⁶ Chan, Alex (2018) Ideas for inclusive conferences and events Retrieved from <https://alexwlchan.net/2018/08/inclusive-conferences/>

4. Inclusive language.

Use plain English⁵⁷, use universal phrases, cut out jargon, use gender-neutral language, remember to be human - no question is a silly question - encourage people to ask questions - if something is misunderstood at a table, it's likely you're not the only person that doesn't understand.



5. Framing the 'right' questions.

When it comes to online PB platforms and trying to promote discussions, where are you asking people to type in their thoughts or ideas online? It is important to consider what your targeted group of people are passionate about or care about in their area. Cut out the jargon and make it relatable to your target group. One idea is to initially ask some easier, open-ended questions that people will feel more comfortable commenting or starting discussions on. Another idea to get the platform more populated is to directly ask some citizens to kick the conversations off and encourage others.

6. Conversation guidelines⁵⁸.

Ask members to create their own conversation guidelines, being mindful of everyone's differences, background and abilities. Facilitators can use these to remind group participants when they are not following them.



⁵⁷ Plain English Campaign (n.d.) *How to write in Plain English* Retrieved from <https://www.plainenglish.co.uk/files/howto.pdf>

⁵⁸ See: Citizen Assembly for Scotland Conversation guidelines and code of conduct, <https://www.citizensassembly.scot/how-it-works/conversation-guidelines>



7. Include icebreakers.

These are important to ensure people feel relaxed in their new group and everyone gets a chance to speak in the first meet to 'break the ice' and feel they are being listened to. A quick game or unique introduction, using something silly can make people feel that they are in this together and human connections are formed.

8. Include fun activities & mix it up.

Try and mix up your events by getting people to do an engagement activity i.e physically putting post-its up if they can, voting exercise or something fun in between long stretches of learning sessions and listening, this will boost attention spans and energy amongst the group.



In Focus: Antwerp

Antwerp used a board game technique to make it more fun and engaging for people. Citizens meet in small groups and agree priorities for the budget using poker chips!



9. Confidence building online & technical support.

Ensure any barriers or fears of using technology are met by offering to run technical inductions to the tools you will be using for the online event. This can be over the phone or over the video conferencing tool in a "let's-walk-through-it-together" format and sending helpful resources by email or post and how-to-videos to build confidence with citizens. Ensure the instructions are clear and there is a person of contact that people can request support from by phone and/or email.

10. Facilitators' role in inclusion.

Facilitators can support participation by reading things out and supporting people where text is involved. This can be done online or offline. You can create a set of facilitation guidelines so facilitators are clear and have a set of methods to ensure everyone has the opportunity to speak and feel included.



11. Time & space.

A lack of preparatory time that is just pure learning, skill development and getting familiar with content while not having enough time to digest information within the set timeframe can make people feel overwhelmed. Create space for people to have a break and having breakout rooms and places people can go for a breather in your deliberative event.



12. Identity protection.

One of the ongoing discussions⁵⁹ is whether or not to allow those participating to use their own name, or allow people to participate in a more anonymous fashion. Particularly in online events, where the event is getting recorded or live-streamed, participants may be turned-off from participating if they feel their identity is not safe. Offer some identity protection options such as creating a unique username, turning the camera off or changing name functions. As hosts or platform 'owners' you will know who these people are but their identities will be protected from the public eye.



For more information on inclusive design have a look at our inclusion webinar⁶⁰.

⁵⁹ UK Government (2020) *Digital identity: Call for Evidence* Retrieved from <https://www.gov.uk/government/consultations/digital-identity/outcome/digital-identity-call-for-evidence-response>

⁶⁰ Democratic Society (2019) *Inclusion webinar* Available here <https://youtu.be/bEFVU06Kn6U>

Evaluation

You need to ensure that you are building in plans for evaluation at the start of the design process. This way, you can ensure that you are capturing key data and learning to help you measure and understand success. Bear in mind that there are always improvements that can be made, and that by running a PB process multiple times, you gain the opportunity to iterate and improve, as well as building public recognition of the process. When it comes to deliberative events in PB, you might want to think about your objectives and what a successful deliberative process would look like.

In Focus: Lisbon

In **Lisbon** they held both internal and external evaluations. An internal evaluation for the responsible departments and district councils (results are available online and focus on the back office/process⁶¹) as well as an external evaluation were carried out with the objective to find out more about the demographics of participants, their motivation and to collect feedback and suggestions.



What should I consider in my evaluation?

Scotland's National Standards for Community Engagement with standards for PB could support an evaluation of your PB process which include good practice principles to improve community engagement; inclusion, support, planning, working together, methods, communication, and impact.⁶² The PB Charter for Scotland which is a co-produced resource could also be used to support evaluating⁶³.

A useful way to think about evaluation is based on a common methodology that seeks to assess three sorts of legitimacy: input legitimacy, throughput (or process) legitimacy and output legitimacy⁶⁴. In the words of the author (Courant, 2021) "*Input legitimacy refers to the quality of representation, the openness of the agenda and the level of information. Throughput legitimacy includes the quality of participation, the quality of decision making, and the contextual independence. Output legitimacy encompasses public endorsement, the weight of the results, and responsiveness and accountability.*"

Based upon the aims of your project, what are the key indicators you want to measure, and how will you do this? How will you capture any other lessons learned? Have you thought about creating a learning log to capture learning as you progress through the process? Wherever possible, think about how you can

⁶¹ See: Lisbon PB process results,

<https://liberopinion.s3.amazonaws.com/op.lisboaparticipa.pt/documento/5d790cdb63bd8000c3fd4dc/CQY4MdGQ.pdf>

⁶² See: National Standards for Community Engagement, <https://www.scdc.org.uk/what/national-standards>

⁶³ See: The PB Charter for Scotland, <https://pbscotland.scot/charter>

⁶⁴ See: <https://www.frontiersin.org/articles/10.3389/fpos.2020.591983/full>

ensure a wide range of views is captured in any evaluation you carry out, including those of any steering committee set up and those of participants.

If designing a process online or partially online, you can use new metrics for evaluation, and for tweaking your approach to improve it. You can also use feedback forms or interviews and ensure you capture not only numbers but also more rich and nuanced answers to open-ended questions as these can help you gain a deeper understanding of the impact of the process and how to improve it.

1. Knowing how many, who and when people have accessed your site.
2. Who is contributing to dialogue and when?
3. Who is voting and when i.e close to the deadline? Are they changing their vote?
4. Feedback analysis for 'ease of use' or voting events.
5. Was it meaningful to citizens?

Case Studies

We have collected international examples of participatory budgeting processes that have included a deliberative element. In this section, you can find out more about processes in [Antwerp](#), [Lisbon](#), [Berlin](#), [Madrid](#), [Paris](#) and [New York](#). You may wish to use some of these examples as inspiration in designing your own deliberative process.

Antwerp

Short Facts

Location	Antwerp
Scale (neighbourhood, district, city)	District (200.000 residents)
Budget	€1.1 million

Design

Design description	<ol style="list-style-type: none"> 1. Start meetings - consensus on themes Participants decide which themes they consider most important for the entire district. Each table of 6 participants selects 5 themes from 93 themes by consensus. The 12 most chosen themes advance to the district forum. 2. The Forum - consensus on where money should be spent Each table of 8 participants distributes €1 million by consensus. The money is divided among the 12 most popular themes from the start meetings. The final result is arrived at by averaging across all tables. 3. Ideation - submitting projects People and organizations can submit projects within the chosen themes and budgets online as well as in project labs in which people can come together to work on ideas. Projects are accepted if they answer seven given questions (incl description, core added value, pitfalls, step-by-step plan, who carries out the project). The projects are tested for feasibility (district authority) 4. PB festival - consensus on projects Residents discuss projects in small groups and choose which submitted projects are executed with the available resources of €1.1 million. Additionally, an online voting takes place.
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Criteria for submitting projects	<ul style="list-style-type: none"> • Fits within one of the 12 themes • Fits within the budget that is allocated to that theme • Fits within the competences of the district • Located in the district • Not yet included in the planning (for public domain) • Must be feasible within one year • Must benefit the residents of the district
Further information	
Objectives	<ul style="list-style-type: none"> • Citizens develop mutual understanding of each other's needs. • The district apportions its resources in a participative way. • The district uses its resources as efficiently as possible. • Creating support for the spending of (limited) resources; make people see and understand trade-offs. • Increased satisfaction with participation.
Special feature (something that is outstanding about this PB)	<ul style="list-style-type: none"> • Consensus-based; deliberation • Special programs for different target groups (youngsters, people in poverty, ethnic minorities)
Examples of projects that were funded	New cycle lanes, new facade gardens over the entire district, homework guidance projects, climate streets, collective kitchen gardens, art projects, volunteers visiting lonely elderly, theatre of children on different squares, ...
Evaluation (Achievements, Out-reach)	<ul style="list-style-type: none"> • Brought diverse people together to talk about the future of their city (active listening, deliberation, reaching consensus) • Diverse participants: monitoring with local University; when groups were missing, they were targeted (collaborating with multipliers). • After 5 years participants are as diverse as the city itself. • 1,200 to 1,500 people taking part in these offline events, out of a population of about 500,000.
Sources	
	<ul style="list-style-type: none"> • https://www.demsoc.org/2019/02/28/antwerps-consensus-based-participatory-budget/ • www.burgerbegroting.be

Lisbon

Short Facts

Location	Lisbon
Scale (neighbourhood, district, city)	Unidades de Intervenção Territorial (territory comprising several districts)
Budget	€ 2.5 million broken down as follows: - € 1 million for Cross-Sectional Projects. - € 1, 5 million, divided equally among the 5 Territorial Intervention Units (ITU) Since 2019 € 5 million

Design

Design description	<p><u>Budgetary Decision Cycle:</u></p> <p>1. Preparation</p> <ul style="list-style-type: none"> • Preparatory work for the implementation of the PB (evaluation of the previous PB, elaboration of the PB timetable) <p>2. Idea Generation (Oct-Dec)</p> <ul style="list-style-type: none"> • Proposals can be submitted online as well as offline. The proposals submitted in person are later inserted in the op.lisboaparticipa.pt Portal by the PB Team. <p>3. Technical analysis & transformation into projects (Dec - Feb)</p> <ul style="list-style-type: none"> • The proposals submitted by the citizens are technically examined by the municipal services or the district councils. If considered eligible, proposals are adapted to projects, including the estimated costs and time frame for their implementation, while maintaining the proposed intention. Projects may include several proposals, because they are similar or complementary, but a proposal can only give rise to one project. <p>4. Publication of the provisional list of projects (Feb - March)</p> <ul style="list-style-type: none"> • Results are made public and idea givers have the possibility to fill complaints if they do not agree with the adapted projects. <p>5. Publication of the Final List of Projects & Voting (March - April)</p> <ul style="list-style-type: none"> • Residents may vote online or via text message for two projects: a city-wide and a local project. The Budget and Plan will then be formally approved by the City Council and the Municipal Assembly; <p>6. Public Presentation of Winners</p>
Criteria for submitting projects	<ul style="list-style-type: none"> • Cross-Sectional Projects: max: €300.000 • Local projects (neighbourhood/district): €50.000 - €100.000 • In the interest of the city and to the common good of the citizens/goods • Fall within the competence of the municipality • be specific, well defined in its implementation and, if possible, within

- the territory, for a concrete analysis and budgeting;
- not to encourage extremism, fundamentalism, xenophobia or any form of violence;
 - be technically feasible;
- ... further [Art 17 Norms of Participation](#)

Further information

Objectives	<ul style="list-style-type: none"> • Foster dialogue between politics, municipal services, citizens, and the organised civil society in order to find the best solutions, taking into account the diversity of available resources • Contribute to a civic education, encouraging citizens to identify their personal concerns with the common good, to grasp the complexity of problems and acquire postures, practices, and skills of participation • Adjust municipal public policies to the people's needs and expectations to improve the living conditions of the city • Increase the transparency of the activities of the authorities, the level of accountability of municipal elected officials in order to strengthen the quality of local democracy. • Foster inclusiveness of participation in Lisbon, particularly youth, old and migrants. • To raise awareness for the presentation of environmental projects that focus, explore, demonstrate and value environmental sustainability, optimisation of energy resources, reduction of the use of plastic, etc. These projects are to be identified with the Green seal
Special feature (something that is outstanding about this PB)	The Lisbon PB sets aside funds for projects with positive climate change mitigation and adaptation impacts, such as cycling lanes, tree planting for street heat reduction, or water capture and storage. The impact of the 'green' participatory budget is two-fold; ensuring constant annual investments into the city's low-carbon transition, whilst also raising awareness among citizens of the benefits of climate change mitigation and adaptation projects. The public investment also aims to become a catalyst to unlock private-sector capital for such projects.
Examples of projects that were funded	Traffic crossings, Bicycle lanes; new pedestrian areas (crossings); landscape rehabilitation of open space to new playgrounds, parks or leisure space; a new art gallery space in a public park; re-designing of a square (mobility, public space); Work-skill training project for people with special needs; Community memory workshops with older residents of neighbourhood
Evaluation (Achievements, Outreach)	An internal evaluation was held between the responsible departments, the district councils. Results are available online and focus on the backoffice/process . Also an external evaluation was carried out with the objective to find out more about the demographics of participants, their motivation and to collect feedback and suggestions for next time.

Sources

- <https://www.lisboaparticipa.pt/>
- <https://www.southpole.com/news/lisbons-city-finance-lab-backed-green-participatory-budget-receive-5-million-budget>
- <https://op.lisboaparticipa.pt/o-que-e-o-op>
- <https://local.climate-kic.org/city-finance-lab/supported-initiatives/lisbon-city-council/>

Berlin Lichtenberg

Short Facts

Location	Berlin-Lichtenberg
Scale (neighbourhood district, city)	13 localities of the borough Berlin-Lichtenberg
Budget	€10.000 for each locality

Design

Design description	<p>The borough follows a very holistic:</p> <ol style="list-style-type: none"> 1. Project proposals The offices of the Kiezfonds use their experience and support the project applicants in shaping the idea. After the project proposals are finalised, the offices forward the project application and the associated cost plan to the citizens' jury and support the chairpersons in inviting the members of the citizens' jury, the project idea applicants and the advisors from the district administration. <p>Citizen juries the borough council conducts thirteen citizen juries (one in each of the borough districts). The citizens are appointed by the district mayor and decides on the allocation of funds for each district. In addition, employees of the Lichtenberg district office with specialist knowledge take part in the jury meetings in an advisory capacity, but they are not entitled to vote.</p>
Criteria for submitting projects	<p>The Kiezfonds offers financial support for the realisation of small projects. Projects that promote cohesion in the neighbourhood, strengthen neighbourhoods or beautify the living environment are eligible for funding. The citizen jury examines the proposals according to the following criteria:</p> <ul style="list-style-type: none"> - Contribution to the development of the district - Activation of the residents - Promotion and guidance for self-help - Promotion of personal responsibility - Strengthening neighbourly contacts

- Benefits for the community/neighbourhood
- Support for voluntary work

Further information

Objectives

- Community building

Examples of projects that were funded

Self-help and neighbourhood projects, improvement of playgrounds, pavement or street areas, building facades or similar; plants, garden and neighbourhood celebrations, street festivals, educational and discussion events, material for citizen information.

Sources

- https://www.buergerhaushalt-lichtenberg.de/sites/default/files/files/info/infoblatt_zum_kiezfonds_18.01.2021_0.pdf
- <https://www.buergerhaushalt-lichtenberg.de/informationen>

Madrid

Short Facts

Location	City of Madrid
Scale (neighbourhood, district, city)	Both city-wide and district-wide proposals
Budget	€ 100 million, splitting to: <ul style="list-style-type: none"> - € 70 million that will be allocated to projects located in the districts, and - € 30 million allocated to projects for the entire city of Madrid.

Design

Design description

1. **Idea generation &**
Residents of Madrid can submit proposals online or in local offices. To help streamline the process, officials contact people who have submitted similar proposals to see if they would submit a joint one. Further, districts organise events to allow residents to discuss ideas and submit projects together.
2. **Support**

	<p>Citizens can vote to support the proposals they like, both for city-wide projects and for district-level projects. At the district level, people can choose to vote to support proposals in a district that is not where they live, such as where they work, shop, or where other family members live. However, they can only choose one district to vote in.</p> <p>3. Evaluation The projects are analysed by city council officials. This is to check whether they are legal, viable, and are costed by officials to see whether they fit in the council budget. Eligible proposals proceed to the next stage.</p> <p>4. Final vote All residents of Madrid over the age of 16 can vote on the final projects. The projects are presented with their estimated costs and the overall budget. Voters can cast their vote for a single project or for multiple projects but the projects they vote for cannot exceed the overall budget.</p>
Criteria for submitting projects	<ul style="list-style-type: none"> • Costs: Costs must not exceed the estimated budget. Projects must involve current expenditure on goods and services, grants or subsidies and public investment. • Legality: Projects must be the responsibility of the city and must not violate applicable law. • Feasibility: Projects must be technically feasible. • Public interest: Projects must serve the public interest and not benefit individuals.

Further information

Objectives	Transparency and Legitimacy
Special feature (something that is outstanding about this PB)	After years of declining public trust in the city government, the city council launched the online platform Decide Madrid in 2015. The aim of the platform is to create transparency and enable more participation. The platform offers citizens many opportunities to participate in local politics.
Examples of projects that were funded	City-wide: Recycle Islands in many neighbourhoods (€1,000,000), renovation of 21 children's playgrounds in low-income neighbourhoods (€500,000), extension of a bicycle lane (€426,000), public car-sharing app to travel to work (€10,000), Districts: cycle lane (€1,578,000), Redesign of a boulevard (€935,000), Improvement of green zones (€500,000), Conversion to LED street lights in a street (€230,000), New traffic regulation at five-street intersection (€9,000), Extension of pavements in a street (€3,000).
Evaluation (Achievements, Outreach)	<ul style="list-style-type: none"> • Decide Madrid has achieved a high level of participation, with more than 400,000 people registered. • Regarding the participatory budgeting feature: From 2016 to 2017

the amount allocated to these projects rose from €60 million to €100 million and the total number of participants rose by almost 50% from 45,531 to 67,132 people. This initiative was able to reach several segments of the population, as 49.12% were women and most participants were those between the ages of 35 – 39.

Sources

- <https://oecd-opsi.org/innovations/decide-madrid/>
- <https://www.involve.org.uk/resources/case-studies/decide-madrid>
- <https://participedia.net/case/4365>

Paris

Short Facts

Location	Paris
Scale (neighbourhood, district, city)	District; since 2015 city-wide
Budget	€100 million (The budget allocated was steadily increased; in the pilot year: € 20 million; the following year: €70 million; since 2016, €100 million) Funding is asymmetrically allocated: € 30 million dedicated to lower income neighborhoods; €10 million to school projects. Since 2015, the 'official' city-wide PB is accompanied by district-level PBs

Design

Design description	<p>Multi-annual perspective: Citizens can choose either to spend PB resources on immediate actions or use them as a down payment on a collective loan for much larger, longer projects</p> <p>1. Proposal submission (Jan – Feb)</p> <ul style="list-style-type: none"> • Any Parisian can submit a project - no age or nationality requirements • Proposals are submitted online. The city provides regular workshops, groups, and one-on-one meetings throughout districts, and resources to help people develop their projects and use the online platform in order to ensure inclusion. People are encouraged to cooperate with civic organizations and individuals who are interested in similar projects or similar geographical areas. <p>2. Technical Evaluation (March - June)</p> <ul style="list-style-type: none"> • Technical evaluation (admissibility, technical feasibility and cost) by
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	<p>the city</p> <ul style="list-style-type: none"> • If projects pass this stage, they enter a phase of “co-construction and collective discussion” between their proposers and neighbourhood councils and civic associations. Any changes to the initial proposal – including improvement or merging – must be collectively agreed to. <p>3. Co-construction & grouping of projects (March - June)</p> <ul style="list-style-type: none"> • The city groups or co-constructs projects that complement each other. • Projects deemed admissible and technically feasible are studied by ad hoc commissions meetings throughout Paris. • Who sits in the ad hoc committee decides on the topic of the PB; these committees regularly include mayor; district mayor; representatives of related bodies and citizens <p>5. Promotion & Voting (Sept)</p> <ul style="list-style-type: none"> • Selected projects are announced online and individuals and organisations are encouraged to organise campaigns. • Online on the participatory budget site or by paper ballot in one of the ballot boxes spread throughout Paris. <p>6. Vote by City Council (Dec)</p> <ul style="list-style-type: none"> • The Paris Council, when adopting the City's budget for the following year, votes at the same time on the financing of the winning projects. <p>7. Project Implementation</p> <p>The City of Paris becomes in charge of the implementation; The project is now included in the investment programme, alongside all the other projects carried out by the City.</p>
Criteria for submitting projects	<ul style="list-style-type: none"> • Projects proposed by a Parisian resident • in the general interest and not manifestly unlawful, defamatory or discriminatory; • Be part of the city's responsibility <p>Running costs of the investments related to projects need to be limited and primarily should not imply generating a public job</p>
Further information	
Objectives	<ul style="list-style-type: none"> • The development of citizen participation and commitment is a major democratic challenge, guaranteeing social cohesion and "living together". In this respect, the City of Paris wishes to give Parisians an even greater influence by giving them the opportunity to make known their preferences regarding the use of part of the municipality's investment budget. • to make a fair energy transition by tackling fuel poverty and engaging and empowering everyone in the implementation of climate action.
Special feature (something that is outstanding about this PB)	<p>This was the largest scale and scope of PB ever implemented in the world which included use of digital technology.</p> <p>Between 2014 and 2020, Paris committed to mainstreaming PB through €500M, or about 5% of the City's total funds, to be decided through PB</p>

	<p>and 20% of these funds were to fund climate projects or initiatives.</p> <p>4 different processes were delivered under the overall PB process:</p> <ol style="list-style-type: none"> 1. A Paris-wide PB (€30 million) 2. Twenty PB processes carried out in all districts. They are relatively independent, despite following the same charter and are spearheaded by the arrondissement staff. 3. PB for low-income neighbourhoods 4. Youth and schools PB taking place in all public schools; at primary, college and lycées level <p>“A strength of the Paris PB is that it is very well connected to the broader and already established Participation System. Other mechanisms include: 1. Citizen’s councils [neighbourhood councils, citizen’s conferences, Paris Youth Council, Council for the Night, Council for Paris students, 2. Citizen’s map / La carte citoyenne, that opens possibilities to participate to training sessions on public engagement or to meeting councillors 3. Multiple digital tools such as Epetitiona platform to launch a petition, or I commit, that facilitate linking up Parisians with grassroots and organisations looking for volunteers. 4. Collaborative actions and projects: re-invent Paris, call for projects for instance on Urban agriculture and farming [Paris’Culteurs], and a citizen’s conference on social housing or climate change 5. Capacity Building and Training: workshops for citizens, permanent university for elderly and retired, etc. ”</p>
Examples of projects that were funded	40 vertical gardens to cover “blind facades” all through the city (€2 million); street arts by local artists and graffiti artists (€3 million); Kits for “pedagogical gardens” for 212 schools (1€ million); Urban farming and urban agriculture: shared gardens, roof gardening, orchards, educational gardens [€2.3 million]; Support and help for vulnerable people: shower and washing facilities for homeless and poor [see picture 11], left luggage facilities with lockers, etc. [€4.4 million]
Evaluation (Achievements, Outreach)	Achievements include encouragement for horizontal cooperation between institutions and people; the promotion of constructive dialogue; and the ability to bring new perspectives and fresh ideas to city management and development. Collaboration with citizens over budgetary allocation helps public workers prioritize and plan shorter projects and requires that they be more flexible and open to change. For citizens, PB is empowering and educational. (L’Atelier Parisien d’Urbanisme, APUR; independent review and advisory body established by the Paris City Council)

Sources

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New York

Short Facts

Location	New York
Scale (neighbourhood, district, city)	District (planned to extend also to city level)
Budget	at least \$1,000,000

Design

Design description

1. Idea Collection & Volunteer Recruitment

- **Online idea Map:** Anyone can submit a proposal on an online idea map. Proposers categorise their idea from a short list of headings and plot it on a map of the city. Barriers for submitting ideas are very low. Proposers have to give their name to submit an idea, or can sign in through facebook or twitter. Some basic demographic information is asked for, but is not required.
- At idea-collection events residents brainstorm ideas. In these meetings, also Budget Delegates volunteers - representative of the districts demographics and geography - are recruited.

2. Proposal Development

- Local Budget Delegates volunteers develop the proposals, investigate them, and shortlist them for the final vote. They work closely with council staff, and are encouraged to carry out research, including site visits and mapping community needs to help them. The delegates use a matrix to assess feasibility, need and equity of each proposal. *Aims:* managing down the number of proposals; establish greater understanding of local needs; building skills and confidence of volunteers;

3. Voting online & offline

- Online voting through a modified version of the D21 platform
- Offline through 'pop-up' voting at subway stations and other busy places
- Additionally, advertisement through 'Link kiosks', digital billboards, Project Expos

4. Evaluation and Planning

	Winning projects are included in the New York City's upcoming fiscal year budget. Staff and stakeholders evaluate the process and oversee the implementation of winning projects by agencies.
Criteria for submitting projects	<p>Criteria for Cycle 9 (determined each year by council member offices)</p> <ul style="list-style-type: none"> • "Capital" projects: funds to build or improve physical spaces such as park improvements or new technology for schools. "Expense" projects, such as afterschool programs or expanding bus service, are not eligible. • Projects must benefit the public • Minimum cost of \$50,000 • Lifespan of 5 years <p>Submitted by October 11, 2019.</p>

Further information

Objectives	<ul style="list-style-type: none"> • Open-up government - Allow residents a greater role in local spending decisions and inspire increased transparency in New York City government. • Expand civic engagement - Engage more people in politics and in their communities, particularly marginalized groups, including, but not limited to: young people, people of color, immigrants, low-income people, the formerly incarcerated and others • Develop community leaders - Build the skills, knowledge and capacity of community members. • Build community - Inspire people to more deeply engage in their communities and create new networks, organisations and community economic opportunity. • Make public spending more equitable - Generate spending decisions that are fairer, so resources go where they are most needed.
Special feature (something that is outstanding about this PB)	<ul style="list-style-type: none"> • online to involve a large number of people & offline to target harder to reach groups and to build citizen-led research about local needs; • Focus on transparency by making results, rule book of the process and monitoring available on https://mypb.community/ • A green focus of participatory budget is planned to focus on climate justice https://www.gothamgazette.com/opinion/9541-green-participatory-budgeting-racial-justice-climate-justice-new-york-city
Examples of projects that were funded	Improved lighting for parks, Laptops for 10 Public Schools, Create all-gender bathrooms in a school, Bathroom renovations for schools, new Trees and Guards for Sidewalks, new Water Fountains, a new playground, Waste Management for Buildings, Apartments for extremely low-income seniors

Governance & Finance

Year of establishment	2011, since 2018 citywide
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Responsible body in the city/district (which city department)

Citywide Committee for Participatory Budgeting in New York City (PBNYC) guides and supports the PBNYC process across the participating districts. Every participating council designates a staff person who forms part of the PBNYC. It provides advice and assistance, explores synergies and evaluates the process. The PBNYC revises the Rule book for the NY PB annually through input from stakeholders and staff at the NY City Council.

Whenever possible, decisions are made by consensus at meetings. Each member organization, district committee member, budget delegate, facilitator, and Council Member office has one vote. Working-groups are formed at various times throughout the process to ensure that certain critical aspects of PBNYC are carried out efficiently and effectively.

Additionally, each participating Council Member convenes a District Committee that meets regularly to provide oversight and assist with planning and implementation throughout the cycle. District committees are composed of community-based organizations, institutions, community leaders, and former Budget Delegates to manage PB locally. The make-up of the District Committee should be representative of the entire district, both geographically and demographically.

Sources

- <http://ideas.pbnyc.org/page/about>
- <http://council.nyc.gov/pb/wp-content/uploads/sites/58/2019/10/PBNYC-Cycle-9-Rulebook-2019-2020.pdf>
- <https://www.demsoc.org/2019/01/31/pb-in-nyc-how-online-offline-can-work-together/>
- <https://www.gothamgazette.com/city/9386-first-citywide-participatory-budgeting-program-scaled-back-coronavirus-new-york>

Glossary

- **Community Empowerment (Scotland) Act 2015:** the Act will help to empower community bodies through the ownership or control of land and buildings, and by strengthening their voices in decisions about public services. Communities across Scotland can now make use of this Act which aims to empower communities by strengthening their voices in decisions about public services and making it easier for them to own and manage land and buildings.
- **Democratic process:** democracy means the people have a say in who is elected to represent them but it can also mean people having a say in decisions, including through capturing their voices or through a vote.
- **Democratic innovation:** means trying out new ways of deepening the quality of democracy for example, methods making it easier for citizens to become part of decision making such as citizen assemblies, direct legislation and electronic participation.
- **Empowerment:** the process of individuals gaining power as they work towards becoming more confident
- **Inclusion:** means making sure everyone can take part. Whether that's attending an event, being enabled to speak, or having a vote.
- **Participation:** means people taking part or participating, In community terms, this is the most important part of services and decisions 'by the people, for the people'.
- **Priorities:** when a group or person cares about one thing above all others that is the top priority- it is the concern, interest or desire that comes before all others.
- **Top-down approach:** a "top-down" approach is where an executive decision maker or other top person makes the decisions of how something should be done. This approach is disseminated under their authority to lower levels in the hierarchy, who are, to a greater or lesser extent, bound by them.
- **Bottom-up approach:** bottom-up decision-making takes the opposite approach of top-down decision-making. Instead of setting goals before determining the process to reach those goals and leaving organization heads to make decisions on their own, input from multiple levels is considered in the process.
- **Small Grants:** small amounts of seed money that further the goals of community, local authority, or non-profit organizations. They can be awarded by government entities or private businesses. Unlike a loan, you don't have to repay a grant.
- **Mainstreaming PB:** PB in Scotland: & Moving Toward the Mainstream: <https://vimeo.com/263838318>
- **National Performance Framework⁶⁵:** the framework sets out 'National Outcomes' where Scotland's progress can be measured through 'National Indicators'. These outcomes describe the kind of Scotland it aims to create. The outcomes: *reflect the values and aspirations of the people of Scotland, are aligned with the United Nations Sustainable Development Goals and help to track progress in reducing inequality*

⁶⁵ Scottish Government (n.d.) *National Performance Framework* Retrieved from <https://nationalperformance.gov.scot/what-it>