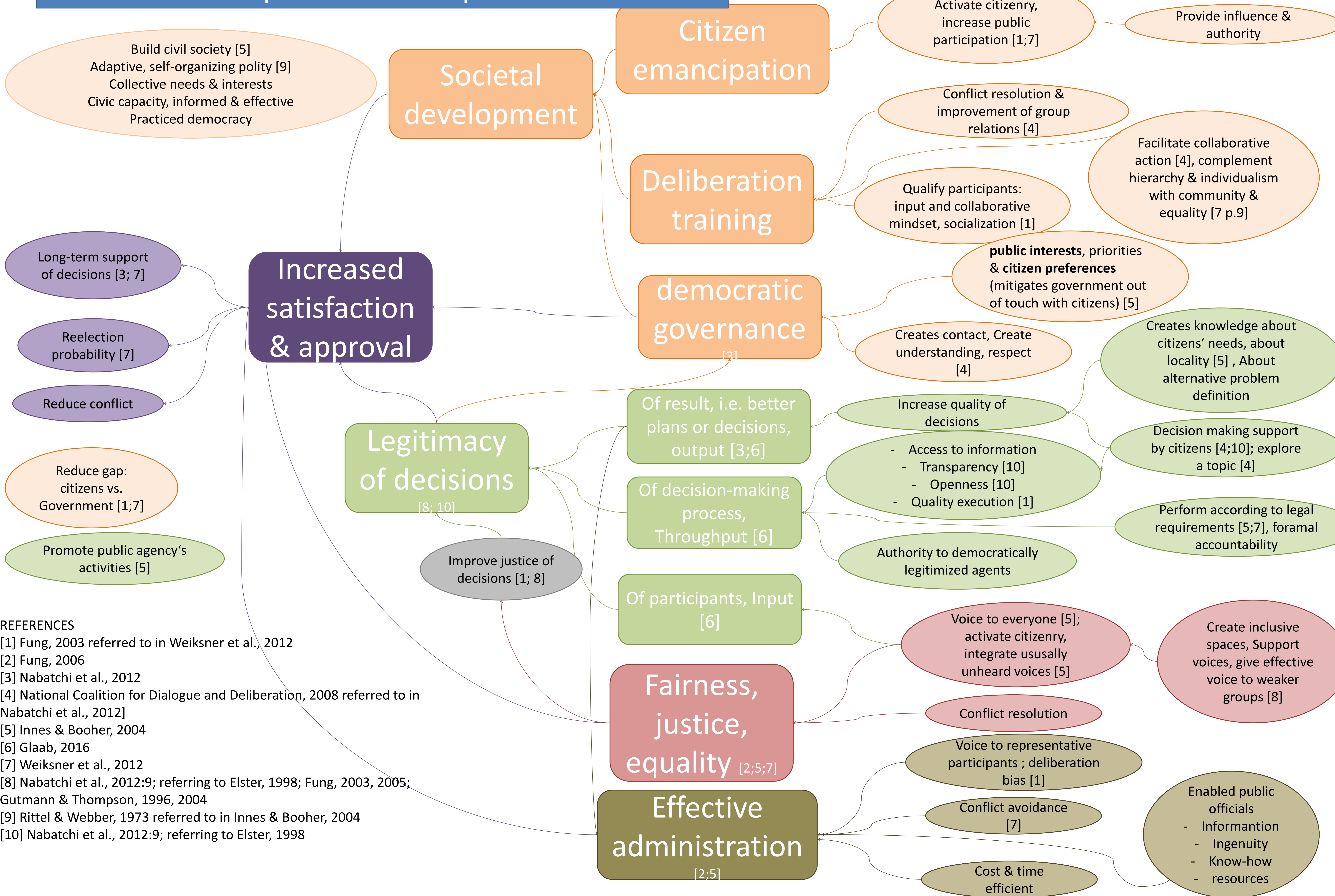


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[2] Fung, 2006
[3] Nabatchi et al., 2012
[4] National Coalition for Dialogue and Deliberation, 2008 referred to in Nabatchi et al., 2012]
[5] Innes & Booher, 2004
[6] Glaab, 2016
[7] Weiksner et al., 2012
[8] Nabatchi et al., 2012:9; referring to Elster, 1998; Fung, 2003, 2005; Gutmann & Thompson, 1996, 2004
[9] Rittel & Webber, 1973 referred to in Innes & Booher, 2004
[10] Nabatchi et al., 2012:9; referring to Elster, 1998

Purposes of Participation



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[5] Innes & Booher, 2004

[6] Glaab, 2016

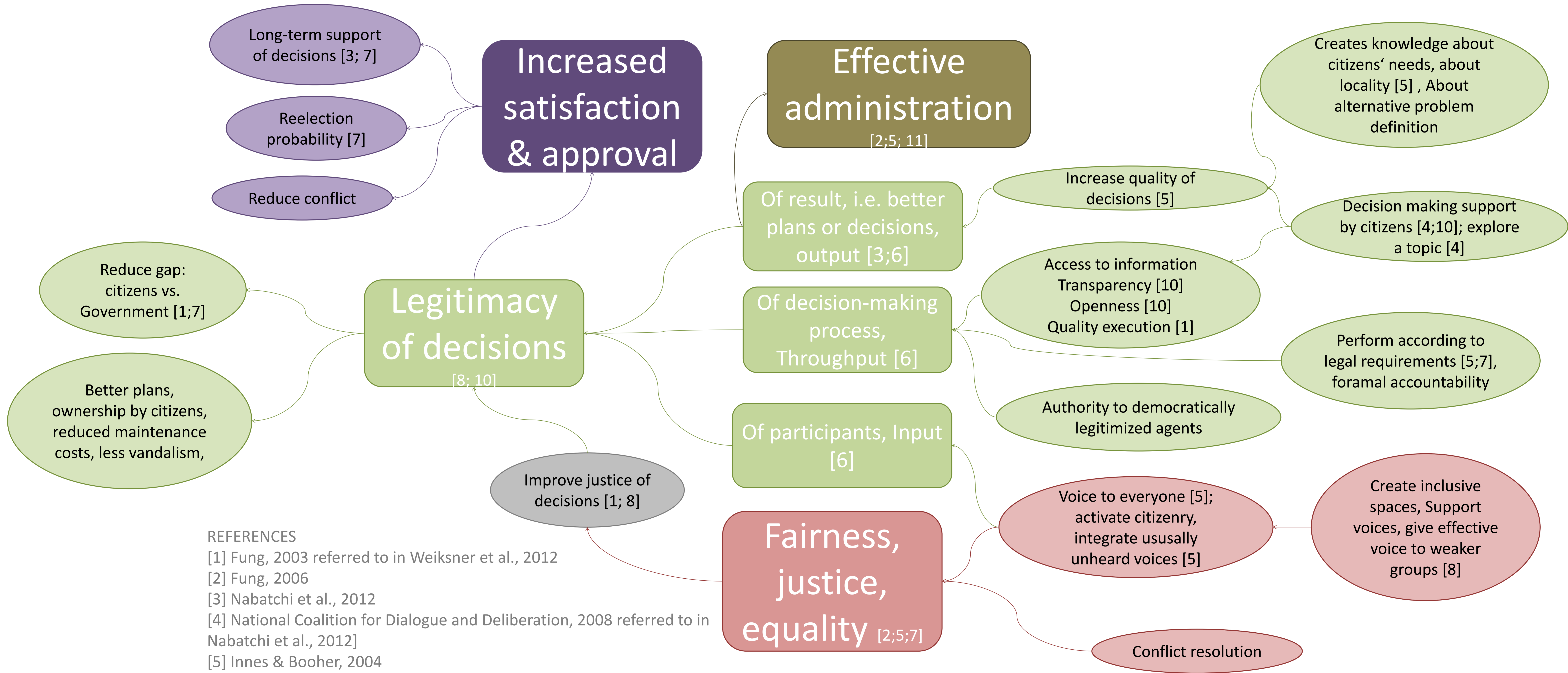
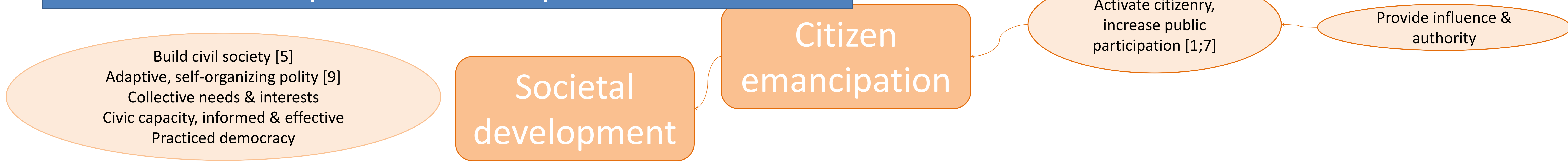
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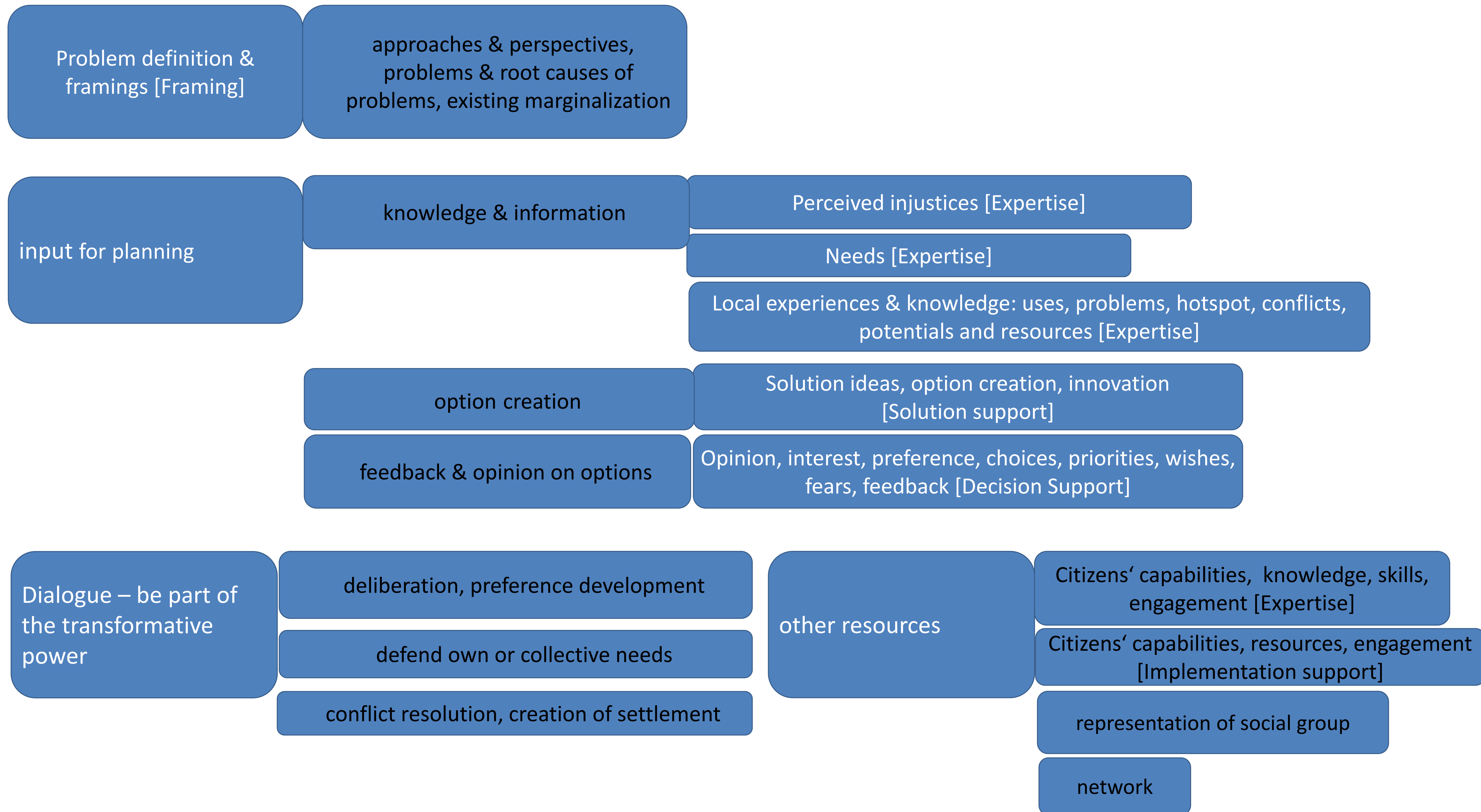
Purposes of Participation



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Kind of information for planning to be acquired



Kind of information for planning to be acquired

Dialogue – be part of the transformative power

deliberation, preference development

defend own or collective

conflict resolution, settlement

Problem definition & framings [Framing]

approaches & perspectives

problems & root causes of problems, existing marginalization

input for planning

knowledge & information (needs, local problems, ...)

Perceived injustices [Expertise]

Needs [Expertise]

Local knowledge, experiences, hotspot, conflicts, potentials and resources [Expertise]

option creation & Development

Solution ideas, option creation, innovation [Solution support]

feedback & opinion on options

Opinion, interest, preference, priorities, wishes, fears, feedback [Decision Support]

Legitimacy problems

Qualitative data research

- Open potentially non-representative sample
- Disclose, reveal, active listening
- Research question one-way communication: needs, observations, local expertise
- Research question deliberation: collective interests, solution support

Quantitative data research

- Representative (selected or random) sample for local community
- Representatives from citizen organizations
- Never as representative as elected officials
- Relevance weighted according to
 - number, loudness, emotion,
 - organizational strength of supporters
- Research questions: opinion, preferences/dislike, interpretations
- Sum TN

Communication mode

- One-way contact: statements, comments
- Collaborative, dialogue, deliberation, develop preferences

- Elite, strong interests, high degree of organization
- Status quo and continuous unreveiled injustices
- Will of public to shape & adapt urban space for their increased quality of life

	Plettenberg	Detmold	Berlin-Mitte	Stuttgart	Heidelberg	Ditzingen	Wuppertal	Bonn	Karlsruhe
1	<p>scope guideline: - addresses civil society: all residents, workers, in education, property owners in municipality; youth, seniors, associations, organizations, companies - refer to all kinds of p. as defined</p> <p>feedback to guideline: web link & contact info provided</p> <p>pilot phase of p.</p> <p>shape local p. systematically</p> <p>define p & inform on p. options * definition: voluntary assemblies & legally required hearings, elections, representative committees (council, seniors committee), Bürgerentscheid, voluntary engagement * options relating to decision-making: - always address questions & proposals @ council & admin - comments on municipal projects & plans - participate in BÜRGERFOREN - EINWOHNERANTRAG or BÜRGERBEGEHREN if your comment was not considered sufficiently in your view * options outside of direct decision-making: - become a volunteer in independent civil society projects, participate or initiate own - vote - run for representative office - apply to become member in committees (council, senior committee) * information on p. projects: explanation VORHABENLISTE</p> <p>commitment: - p. is important for council & admin. - politics & admin become more open, comprehensible, accessible - more transparent municipal decisions - important projects published timely - admin reports how p. effects of project - collaboration of citizenry, admin & politics</p> <p>clear rules shall facilitate to involve more citizens</p> <p>mutual trust grows</p> <p>fulfill legal requirement § 23 GO NRW: admin has to inform citizens about important issues in appropriate form</p>	<p>creation & improvement of structure of p. processes, more transparent participation procedures, make participation a fundamental part of local urban life</p> <p>foundation for local participation culture. reliable participation of citizens and others in relevant municipal decision-making;</p> <p>aim: encourage entire local community to participate</p> <p>all together find a framework to work out good solutions for current challenges.</p> <p>konfliktlösestrategien aufklärung</p> <p>clarify and inform citizens about their possibilities to influence decisions</p> <p>DETERMINING FACTORS GUIDELINE IMPLEMENTATION preconditions: - all actors shall be supported by a structure to fulfil their tasks (general, project-specific) RESOURCES: financial & personnel; COST ISSUE * timely & transparent p. mitigates conflict [reference to experience] & facilitates search for jointly approved results initial costs to create structure & design processes may lead to lower cost of p. beyond short-term perspective [reference to experience] * budgets of dpt. need support & resources for p. implementation (use of budget to be specified); precise numbers missing, budget & task volume estimate to be created based on (still too small) experience by p. network * resources general INTERN: cross-dpt. coordination by coordination committee (personnel), advisory committee, personnel of dpts.: MODERATORENPOOL, p. network, creation & update of VORHABENLISTE * resources project-specific INTERN: personnel for implementation of p. (p. concept, preparation, implementation, postprocessing of p. (idea to CENTRALIZE organizational/supportive tasks: location management, event info material), costs of moderation via moderation pool [#why extra fees?]) * resources general EXTERN: qualification of personnel, qualification of moderators, expenses of coordination committee (printing VORHABENLISTE, websites, ...) * resources project-specific EXTERN: rent, moderation material, catering, extern moderation service fees</p>	<p>1 purpose g - learning tool to be applied by a,c,p - g = joint project of c, a, p - increase importance & application of p., support this via g. - reliable and binding basis - clear rules for all actors on district level - g. to be applied in p. management - create culture of p., orientation for all TN - propose improvements (e.g. provide VORHABENLISTE also in an online map) - create shared quality basis - propose LOGO or LABEL to easily recognize p. that applies g. & its rules - education on responsibilities, competences, hierarchies - overview over newly introduced institutional p&M structures: VORHABENLISTE, BETEILIGUNGSKONZEPT, STECKBRIEF, OFFICE of p., CONTACT persons in dpts., p. eventM tasks, futher training, PR & reporting, outreaching p., additional resources necessary</p>		<p># Institutionalization includes guidelines, Satzung, Verwaltungsvorschrift</p> <p>1 function - reliable basis for p., facilitate effective design of existing room for action in planning/decision-making, complement formal p. - valid for municipal projects subject to both, mayor's & municipal council's authority - provide goals & design criteria for p. processes</p> <p>- initiation of a statute for all p. in municipal council's authority - create shared quality basis - initiation of administrative regulation for p. in mayor's responsibility authorized by council & define procedure - recommendation to include p. in company agreements</p> <p>bindingness of p. (ch. 9) = essential aspect to create mutual trust, especially trust by residents in municipal p. offers = to be guaranteed in multiple ways: - p. principles & rules to be applied & respected bindingly & reliably - citizen voices allowed in all project phases & taken seriously - technically justified revision shall involve/inform anteriorly involved residents - p. results shall be considered in subsequent decision process - deviation of decision from p. results shall be justified comprehensively: factions in council shall write comments to be published [Stadtblatt, homepage; no link]</p> <p>- present p. options - present laws - present authorities, hierarchies, responsibilities</p> <p>1 scope all issues object of municipal council decision, except inner admin organisation and certain other constraints - shared frame for all municipal p. projects (admin, consultation or decision processes) - abstract framework, procedural nature</p>	<p>- planning processes, decisions or projects involving multiple actors - p. of admin: municipal projects</p> <p>- provide orientation in p. - present framework for orientation of future p. - object of ongoing, continuous revision - information, clarifications - commitment statement (c, p, a) - "Wuppertaler Weg der Bürgerbeteiligung" - first version of document, linguistically more easily accessible version will follow - information on & improvement of formal p (centralized info on formal p. & more proactive announcements)</p> <p>scope - municipal projects, excluding projects out of municipal room of action - excluding illegal topics</p>	<p>- all voluntary p. in all relevant municipal projects according to § 23 (1) GO NRW: relevant = raum- & entwicklungsbedeutsam, residents' good substantially affected (socially, economically, culturally) - complement formal p. (BauGB) - in harmony with GemO NRW - in harmony with existing authorities of mayor, council, boards & district representations - presentation of VORHABENLISTE - name criteria for projects on VORHABENLISTE - binding for projects by municipality - non municipal projects fulfilling these criteria are recommended to follow g. & involve citizens - private investors for urban dev. contracts may get p. proposed by council - announce administrative procedure regulation, although construction law requires decisions by municipality according to its best judgement (§ 12 BauGB) & generation of agreement (§ 36 BauGB) - state quality criteria for municipal p. - propose statute on open government to connect g. & law of information freedom; point out positive synergies between g. & open gov. - clear, binding rules on how p. results are connected to political decisions - propose to establish independent CONSULTING center in medium-term, supported by civil infrastructure # similar to Verbraucherzentrale - QUALIFIZIERUNGSKONZEPT introduced - central budget for p. at COORDINATION center necessary parallel to mayor's p. OFFICE - in g. presented QUALITY criteris = basis for all municipal p. planning & realization - present intent to create DOKU HANDREICHUNG "standards in publication, documentation & analysis of p. events" to be developed by COORDINATION center</p> <p>quality criteria - for formal & informal p.</p>		
2a	<p>purpose p. - early detection of conflicts which eases resolution - increased p. leads to better local solutions/plans</p> <p>- purpose BÜRGERFOREN: exchange between citizenry, admin & politics; implements § 23 GO NRW</p>	<p>principles & quality criteria:</p> <p>transparency, reliability fairness, mutual appreciation, tolerance, in inviting everyone to comment on all municipal projects the representative democracy is to be strengthened & good foundation for upcoming decisions created</p> <p>result of p.: constructive dealing with different and potentially conflicting interests; collective consensus/joint decision</p> <p>neutral moderation [#definition neutral, definition skilled!] appropriate p. process design reflected choice of p. methods</p> <p>basis: good coordination of actors, cross-departmental collaboration (facilitated via STATUS-INFORMATIONSTABELLE)</p> <p>reliability, resonance of citizen input, handling of p. results: 1. scope of participants influence determined in p. concept 2. ultimate decisions by council & professional boards (all) or admin (only if co-creation & co-decision) based on scope of results defined in p. concept</p> <p>reliable, transparent & careful dealing with p. results 1. reliable, appropriate, meaningful processing of formal & informal p. input by admin - documentation of p. results (easily legible, clear) by responsible & moderator - RASTER VORLAGE DOCUMENTATION (overview & explicit description, anonymity, approval of publication of particular info) - write EINORDNUNG in den PROZESSKONTEXT for decision-makers [#who?] 2. rigorous consideration of p. results & alternative options by decision-makers 3. provide documentation for participants of p. "in appropriate form" [# the same document? extra work, loss of info, info hierarchy?] 4. excerpt of decision protocol forwarded to participants of p. after decision to learn how p. results influenced decision incl. justifications</p> <p>quality criteria of p.: link p. results & decision & justification of decision</p> <p>continuous learning & revision of guidelines & of p. practice - advisory committee evaluates functioning of guidelines (content & rules) 1/year evaluation presented to council - council can initiate evaluation of guidelines - check whether guidelines are respected in p. processes - Reflection/Evaluation meeting of all participants after p. (without citizens?) - survey for participants of p. (satisfaction, evaluation of process regarding central quality criteria) - evaluation of p. by responsables (discussing with coordination committee) - coordination committee updates advisory committee on results of evaluation, if necessary, responsible joins this update session; advisory can request interim reports from dpt. - advisory committee informs council 1+year in public session on progress in p. of projects, evaluation & reflection results (STATUS-INFO-TABELLE)</p> <p>C2 QUALITY CRITERIA</p> <p>definition of p. p. of all citizens and interested parties in decisions concerning municipal project planning strengthens and complements representative municipal democracy improves understanding of political decision</p> <p>enables participants to influence municipal decision-making, co-creation</p> <p>timely and complete information is considered basic for good p., basis for trust, to enable participants for timely involvement, keep them updated,</p>	<p>p definition - continuous exchange amongst p, a, c - search for solutions in district, create solutions that are approvable by many - technical & political deciders shall be active in exchange, shall be involved in p. prior to decision - timely - openness, room for action/manoeuvre - needs time - to gather perspectives, experiences, Sachverstand of c,p,a - deal with conflictuous topics - needs rules to be respected by all TN - to improve a project - needs a structured process to obtain collective result - needs reliability: binding character of results, reliable implementation or justification for not doing so - preparation & basis for p.: information via VORHABENLISTE - p. = necessary especially for large projects, future oriented projects, expected special meaning for citizens - here admin proposes p. - p.= sharing of competences, exchange of knowledge - process of learning others' perspectives & increase understanding - central values, basis for trust by citizens & for creation of p. culture: reliability & bindingness</p> <p>participants - all district residents - gender & age balance; culturally & socially mixed - targete groups defined in BETEILIGUNGSKONZEPT [appendix] - consulting role of city district coordinators, neighborhood manager, local associations, organiazioms & initiatives to yield their special knowledge - experts in district - experts in district support OFFICE of p. in motivating target groups</p> <p>output/result - consensus - Compromise</p> <p>forms of p.= defined in BETEILIGUNGSKONZEPT - basis for well thought through & goal-oriented process - optional consultation of p. experts in district (p. experienced associations, initiatives, institutions) - co-developed with OFFICE for p., for youth with COORD. center for youth p. - implementation of p. = tendered & (if possible) awarded to extern moderators & process supervisors to secure neutral & methodical competence of moderation - content of BETEILIGUNGSPROZESS [appendix] goal & general set-up target group, address, PR process planning, time scheduls neutral supervision & moderation applied methods documentation, analysis, accountability Evaluation</p> <p>transparency & traceability require documentation of p. results - publish interim & final results [no link] - final result is announced to BVV,</p>	<p>goals p.: - provide transparency, build trust citizen-admin-politics, create culture of participation;</p> <p>p definition: collective design of municipal projects, based on reliably regulated collaboration of Triolog (residents, councils, admin). does not replace political competition and political authority of council and Verwaltungsspitze</p> <p>a) provides timely and complete information, reliable procedures, binding rules and broad rights to initiate p.</p> <p>b) sees diversity of interest of citizenry and its need to self-determine and participate, requests co-responsibility of citizens</p> <p>c) combines experience and Sachverstand of residents, policy, admin in cooperative ways, makes this input usable for common good</p> <p>d) enrichens repr. democracy: strengthens role of citizenry & Bezirksbeiräten, p. communicates ideas of citizenry better to admin, emphasizes authority ("decision responsibility") of council</p> <p>e) creates in public & open discussion solutions accessible to all, offers discussion possibilities, increases willingness to accept decisions of council</p> <p>f) advocates responsible use on limited resources for procedures & solutions</p> <p>g) all municipal projects within municipal council authority</p> <p>h) large municipal projects, seminal future-oriented planning with assumed significant meaning for residents - a will propose p. & allocate necessary budgets</p> <p>- p. = sequence of planning, p. & decision phases - requires c to cooperate - planning & decision process has to be linked to p. elements - successful p. needs clarity on goals & task of p. - disappointments originate in misunderstandings on p. goals & tasks</p> <p>- differentiate method's profiles [appendix 3] & requirements of planning phases (early identification of interests of population: representative surveys// solution creation: working groups, consensus conferences, creative workshops, open space, citizen juries, future workshops// feedback of p. results to broader, representative public: citizen panel, fora, assemblies// solution of conflicts: mediation & round tables</p> <p>selection of methods = dependent on existing methodological expertise in admin or BOARD; external expertise is possible; selection criteria: cost-benefit-ratio & time investment</p> <p>citizen selection process - generally all interested residents can participate - planning phases might require special methods & smaller groups & resident selection methods</p>	<p>2 purposes - in cases of expected conflict - openness, there is room for action - continuous process (more than 3 meetings, everything less = merely information)</p> <p>2 definition - p = additional work for admin, time necessary to provide data/expert opinion - provide much information prior to deliberation/p. process (transparency) - p. event & results are protocolled & documented - project leader can initiate special p. in case of irresolvable conflict for respectful opinion exchange between adversaries</p>	<p>2 definition - joint design of municipal projects - p. as something natural, self-evident, its necessity undoubted - there are formal & informal p. events - p. takes place when initiated/ suggested/proposed & approved by council or board - accessible to all (info, processes, locations) [Justice] - target appropriatness in involving all groups equally & justly - p. needs binding rules & clarity on room for p. action - needs financial, personnel, expertise resources - precondition: info accessibility, open data, education on p. in schools</p>	<p>scope of p. - broad: almost all municipal projects</p> <p>2. purpose p. - strengthens & complements representative municipal democracy - citizens receive opportunity to get involved in municipal decisions to co-create their environment & engage for the common good - provide inspiration & sound basis for discussion & argumentation to deciders - collaboration to receive optimal results - consensus oriented - requires transparent procedures - requires inclusiveness for youth, impaired & disadvantaged residents - informal p. shall be expanded whenever possible - forms of formal & informal p. implementation shall get more similar in long term - p. reduces distance between residents, p & a in municipal decision processes - goal: emancipated political and social participation of all municipal residents - aims consensual results - in case of solidified conflict classic p. is not sufficient any more & additional mediation is necessary</p> <p>definition - the manifold forms of communication & exchange will enrichen all municipal p. - includes direct democracy measures (Bürgerbegehren & -entscheide) - p. is fundamental to agile democracy - Bürgerentscheid as final step of a decision process - p. = open ended - good results come from processes that allow to think in all directions/include all perspectives - basis for successful p. = mutual trust - p. shall become self-evident part of political preference & decision development - accessibility of info & processes (UN convention on the rights of persons with disabilities) - appropriate addressing of different groups - p. is dynamic, has to be adapted to changing situations & conditions - forms of p. continuously develop - p. in municipal opinion dev. & decision processes - mediation as method of p. to achieve constructive dealing with conflict & search for solutions that can be accepted by all involved - if concentrated endeavors to search mutual agreement fail, council decides & only Bürgerbegehren & -entscheid can challenge this decision. council may invite for Ratsbürgerentscheid</p> <p>2) forms of p. & forms of input 1. information provision = basis of all p. - on recent dev. & municipal plans - multi channel invitation of residents to inform themselves 2. influence/co-creation = influence in process prior to decision - ideas & perspectives - discuss & exchange with authorized decision makers - citizens explain their position 3. co-decision = preparation of alternatives & decision - negotiation of goals & their implementation - significant influence on project 4. decision = direct democracy: Bürgerbegehren, Bürgerentscheid, Ratsbürgerentscheid - Bürgerbegehren sets issue on council's agenda - if Begehren is denied, Entscheid follows - Bürgerentscheid substitutes decision of authorized actors (council) - Ratsbürgerentscheid is voting of citizens proposed by council</p> <p>dialogue based p. = good tools to complements idirect democracy = may make direct democratic decisions unnecessary</p> <p>citizen emancipation in decision-making - PB</p> <p>2 types of p. standardised = formal p. & assemblies & district conferences to specific topics - moderated by dpt. - COORDINATION center does process monitoring - results p. RÜCKKOPPLUNG with involved TN & possibly with public, too - may be transformed into complex p., if BOARD recommends & COMMITTEE approves</p>		