empatia

D3.2 Pilots implementation - final

Document type	< Report>
Deliverable Nº	<D3.2>
Work package	<WP3>
Leading partner	<Zebralog>
Author(s)	<Michelle Ruesch>
Dissemination level	<Public>
Status	<final>
Date	28 February 2018
Version	<13.0>

Project Enabling Multichannel PArticipation Through ICT Adaptations
Acronym EMPATIA
Grant nº 687920
Duration 01/01/2016 to 30/12/2017

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 687920

List of Authors and Reviewers

Authors	Partner
Michelle Ruesch	Zebralog
Lex Paulson	D21
Simone Júlio	In Loco
Stefano Stortone	UNIMI
Michelangelo Secchi	CES
Kalinca Copello	CES
Nelson Dias	In Loco
Giovanni Alegretti	CES

Reviewers	Partner
Stefano Stortone	UNIMI
Simone Júlio	In Loco
Kalinca Copello	CES
Michelle Ruesch	Zebralog
Giovanni Allegretti	CES

Copyright © EMPATIA Consortium 2016 - 2017

Versioning and contribution history

#	Description	Contributors
1	First draft table of contents (November 10)	Zebralog
2	Feedback on table of contents and pilot chapters structure (until November 17)	CES
3	Table of contents finalized, including pilot report structure and contents	Zebralog, CES
4	Introduction (November 17)	Zebralog
5	Draft reports of pilot chapters and chapter on other use of EMPATIA software (until December 4)	Zebralog In Loco D21 UNIMI
6	First draft review and feedback (December 6 WP3 call)	Zebralog
7	Further work on pilot chapters (until December 8) Preliminary conclusion	Zebralog In Loco D21 UNIMI
8	Second review and feedback (December 13 WP3 call)	Zebralog CES
9	Revision of pilot drafts	In Loco D21 UNIMI CES
10	Third review of pilot drafts	Zebralog CES
12	Formatting & integration in one document	Zebralog
13	Final review	Zebralog CES

Copyright © EMPATIA Consortium 2016 - 2017

Executive Summary

The report at hand gives a comprehensive account of the four EMPATIA pilots which were conducted under Work Package (WP) 3 in Germany, Portugal, Czech Republic, and Italy. The report is an extension of the preliminary report D3.1 which focused on the period of pilot planning in the first year of the EMPATIA project, and gives a full overview of all activities and developments related to the pilots, from January 2016 to December 2017. Besides explanations of the reasons for selection of the respective municipalities, information about the requirements gathering process, and the pilots' goals, the report also contains elaborate descriptions of the different ways in which the pilots were conducted, their underlying participation process models, their use of the EMPATIA platform and other technology, some statistics of the participation, and dissemination strategies. Each pilot chapter concludes with an evaluation of the pilot experience from the perspective of the pilot partners, both regarding the work with the platform, and regarding the overall process.

Table of Contents

1 INTRODUCTION 12
1.1 PURPOSE OF THE DELIVERABLE 12
1.2 DEVIATIONS FROM THE ORIGINAL PROPOSAL 12
1.3 STRUCTURE OF THE DELIVERABLE 13
2 MANAGEMENT STRUCTURE OF WP3 15
2.1 COLLABORATION AND COMMUNICATION IN WP3 15
2.2 FORMALIZATION OF PILOTS 16
2.3 METHODOLOGY OF PILOT PLANNING 17
2.4 INTERACTIONS WITH OTHER WORK PACKAGES 19
3 WUPPERTAL PILOT 21
3.1 REASONS FOR SELECTION 21
3.2 ABOUT THE REQUIREMENTS GATHERING AND PLANNING PROCESS 22
3.2.1 Requirements gathering and design process 22
3.2.2 Steering group guiding the process 23
3.2.3 Relation to use case scenarios defined in D1.2/1.4 23
3.2.4 Feedback workflows during development and implementation 24
3.3 GOALS OF MUNICIPAL STAKEHOLDERS 24
3.4 EMPATIA'S OBJECTIVES TO BE TESTED 25
3.5 OVERVIEW OF THE PARTICIPATION PROCESS MODEL 26
3.6 DETAILED DESCRIPTION OF ALL PHASES 28
3.6.1 Phase 1: Idea collection and first ranking 28
3.6.2 Phase 2: Common good check and municipal review 30
3.6.3 Phase 3: Voting and implementation 32
3.7 TIMETABLE 37
3.8 DEVIATIONS FROM ORIGINAL PLANNING 38
3.8.1 Deviations from original proposal and use case scenarios (D1.4) 38
3.8.2 Deviations from the planning status as described in D3.1 40
3.9 DISSEMINATION STRATEGIES 41
3.10 ROLE OF EMPATIA 44
3.11 TECHNOLOGY USED 45
3.11.1 Structure and features of the pilot platform 45
3.12 PILOT RESULTS IN NUMBERS 52
3.13 FUTURE USE OF EMPATIA PLATFORM 54

Copyright © EMPATIA Consortium 2016 - 2017

3.14 PILOT PLATFORM EVALUATION 54
3.14.1 *Reflection on collaborative platform development process* *55*
3.14.2 *Platform feedback from the perspective of project managers* *57*
3.15 PILOT PROCESS EVALUATION 59
3.15.1 *Key positive, innovative aspects* *59*
3.15.2 *Key areas of improvement* *62*
3.16 CONCLUSION: GOALS ACHIEVED? 64
3.16.1 *Level of achievement of municipal goals* *64*
3.16.2 *Level of achievement of the EMPATIA objectives* *66*

4 LISBON PILOT 68

4.1 REASONS FOR SELECTION 68
4.2 ABOUT THE REQUIREMENTS GATHERING AND PLANNING PROCESS 68
4.2.1 *Relation to use case scenarios defined in D1.2/1.4* *71*
4.2.2 *Feedback workflows during development and implementation* *71*
4.3 GOALS OF THE CITY OF LISBON 72
4.4 EMPATIA'S OBJECTIVES TO BE TESTED 72
4.5 OVERVIEW OF THE PARTICIPATION SYSTEM OF LISBON 73
4.6 DETAILED DESCRIPTION OF THE PILOT 79
4.6.1 *Before the usage of EMPATIA* *79*
4.6.2 *Changes implemented with EMPATIA* *82*
4.7 TIMETABLE 90
4.8 DEVIATIONS FROM ORIGINAL PLANNING 91
4.8.1 *Deviations from the original proposal* *91*
4.8.2 *Deviations from use case scenarios described in D1.2/1.4* *92*
4.8.3 *Deviations from the planning status as described in D3.1* *92*
4.9 DISSEMINATION STRATEGIES 92
4.10 ROLE OF EMPATIA 96
4.11 TECHNOLOGY USED 97
4.11.1 *Structure and features of the pilot platform* *97*
4.12 PILOT RESULTS IN NUMBERS 104
4.13 FUTURE USE OF THE EMPATIA PLATFORM 108
4.14 PILOT PLATFORM EVALUATION 108
4.14.1 *Reflection on collaborative platform development process* *108*
4.14.2 *Pilot platform evaluation* *109*
4.15 PILOT PROCESS EVALUATION 112
4.15.1 *Positive, innovative aspects* *113*
4.15.2 *Areas of Improvement* *113*
4.16 CONCLUSION: GOALS ACHIEVED? 114
4.16.1 *Level of achievement of municipal goals* *114*
4.16.2 *Level of achievement of EMPATIA objectives* *115*

5 ŘÍČANY PILOT 118

5.1 REASONS FOR SELECTION 118
5.2 ABOUT THE REQUIREMENTS GATHERING AND PLANNING PROCESS 120
5.2.1 *Requirements gathering and design process* *120*
5.2.2 *Relation to use case scenarios defined in D1.2/1.4* *122*
5.2.3 *Feedback workflows during development and implementation* *122*
5.3 GOALS OF MUNICIPAL STAKEHOLDERS IN ŘÍČANY 123
5.4 EMPATIA'S OBJECTIVES TO BE TESTED 125
5.5 OVERVIEW OF THE PARTICIPATION PROCESS MODEL 125
5.6 DETAILED DESCRIPTION OF ALL PHASES OF THE PILOT 126
5.6.1 *Phase 1: Public informational campaign and "call to action" (September-October 2016)* *126*
5.6.2 *Phase 2: Idea-gathering process (October - November 2016)* *129*
5.6.3 *Phase 3: Evaluation and technical review (December 2016 - April 2017)* *130*
5.6.4 *Phase 4: Campaign and citywide voting (April - May 2017)* *131*
5.6.5 *Phase 5: Implementation cycle & process evaluation (June 2017 - March 2018)* *133*
5.7 TIMETABLE 134

Copyright © EMPATIA Consortium 2016 - 2017

5.8 DEVIATIONS FROM ORIGINAL PLANNING 136
5.9 DISSEMINATION STRATEGY 138
5.10 ROLE OF EMPATIA 139
5.11 TECHNOLOGY USED 140
5.11.1 Structure and features of the EMPATIA pilot platform 141
5.11.2 Other technology used: The D21 Voting Platform 146
5.11.3 Integration between EMPATIA and D21 platform 147
5.12 PILOT RESULTS IN NUMBERS 148
5.13 FUTURE USE OF EMPATIA PLATFORM 150
5.14 PILOT PLATFORM EVALUATION 150
5.14.1 Reflection on collaborative platform development process 150
5.14.2 Platform feedback from the perspective of project managers 151
5.15 PILOT PROCESS EVALUATION 153
5.15.1 Key positive, innovative aspects 153
5.15.2 Key areas of improvement 157
5.16 CONCLUSION: GOALS ACHIEVED? 158
5.16.1 Level of achievement of municipal goals 158
5.16.2 Level of achievement of the EMPATIA objectives 159

6 MILAN PILOT 160

6.1 REASONS FOR SELECTION 160
6.2 ABOUT THE REQUIREMENTS GATHERING AND PLANNING PROCESS 161
6.2.1 Requirements gathering and design process 161
6.2.2 The "governance" model: steering group guiding the process 163
6.2.3 Relation to use case scenarios defined in D1.2/1.4 163
6.2.4 Feedback workflows during development and implementation 164
6.3 GOALS OF MUNICIPAL STAKEHOLDERS 164
6.4 EMPATIA'S OBJECTIVES TO BE TESTED 165
6.5 OVERVIEW OF THE PARTICIPATION PROCESS MODEL 166
6.6 DETAILED DESCRIPTION OF ALL PHASES 167
6.6.1 Monitoring Cycle 167
6.6.2 Deliberation Cycle 170
6.7 TIMETABLE 175
6.8 DEVIATIONS FROM ORIGINAL PLANNING 177
6.9 DISSEMINATION STRATEGIES 178
6.10 ROLE OF EMPATIA 186
6.11 TECHNOLOGY USED 187
6.12 PILOT RESULTS IN NUMBERS 188
6.13 FUTURE USE OF EMPATIA PLATFORM 190
6.14 PILOT PLATFORM EVALUATION 190
6.14.1 Reflection on collaborative platform development process 191
6.14.2 Platform feedback from the perspective of project managers 192
6.15 PILOT PROCESS EVALUATION 194
6.15.1 Key positive, innovative aspects 194
6.15.2 Key areas of improvement 196
6.16 CONCLUSION: GOALS ACHIEVED? 198
6.16.1 Level of achievement of municipal goals 198
6.16.2 Level of achievement of the EMPATIA objectives 200

7 OTHER CASES OF USE OF EMPATIA'S SOFTWARE 201

7.1 CONDEIXA (PORTUGAL) 201
7.2 CORMANO (ITALY) 202
7.3 MONZA (ITALY) 202
7.4 PAVIA (ITALY) 203
7.5 CONIL DE LA FRONTERA (SPAIN) 203
7.6 TORREDONJIMENO (SPAIN) 204
7.7 CASARES (SPAIN) 204
7.8 LAGOA – AZORES (PORTUGAL) 205

Copyright © EMPATIA Consortium 2016 - 2017

7.9 CASCAIS (PORTUGAL) 206
7.10 ANAMM (MOZAMBIQUE) 206
7.11 CANANEA (MEXICO) 207
7.12 PORTUGAL'S YOUTH PARTICIPATORY BUDGET 207

8 CONCLUSION 210

8.1 KEY ACHIEVEMENTS OF WP3 210
8.2 LESSONS LEARNED AND RECOMMENDATIONS FOR FUTURE EU PROJECTS 212

9 APPENDIX 215

9.1 WUPPERTAL: AGENDA OF DESIGN WORKSHOP (FOCUS GROUP 1) 216
9.2 WUPPERTAL: AGENDA OF EVALUATION WORKSHOP (FOCUS GROUP 2) 218
9.3 WUPPERTAL: LIST OF THE TOP 32 IDEAS THAT PASSED THE TECHNICAL REVIEW 219
9.4 LISBON: SET OF RULES FOR LISBOA IDEIA 223
9.5 LIST OF FEATURES USED FOR PILOTS 226

Copyright © EMPATIA Consortium 2016 - 2017

Table of Tables

Table 1: Steps involved in the pilot formalization 17
Table 2: Steps involved in the pilot planning 18
Table 3: Timetable Wuppertal pilot 37
Table 4: Gantt chart for Wuppertal 38
Table 5: Services by Zebralog (PM = Person Month) 44
Table 6: Summary of proposals/ideas collection tools of Lisbon Participa and differences between them 76
Table 7: Timetable Lisbon pilot 91
Table 8: Gantt chart of Lisbon 91
Table 9: Services by In Loco 96
Table 10: Timetable for Říčany pilot 135
Table 11: Gantt chart for Říčany 136
Table 12: Services by D21 140
Table 13: Říčany PB Proposals 2016-2017 156
Table 14: Timetable Milan pilot 176
Table 15: Gantt chart for Milan 177
Table 16: Details of the video campaign 182
Table 17: The face-to-face meetings 186
Table 18: Services by UNIMI (PM = Person Month) 187
Table 1: Visits and registered users on the EMPATIA pilot platforms 211

Table of Figures

Figure 1: Screenshot of a pilot progress report in the Wiki 16
Figure 2: Relation between Work Packages in the EMPATIA project 19
Figure 3: Department of participation (2016) 21
Figure 4 and 5: First focus group workshop in Wuppertal 22
Figure 6: Overview of the PB process in Wuppertal 27
Figure 7: Screenshot of online Presentation of proposals 28
Figure 8: Screenshot of 'status list' generated for each proposal 29
Figure 9: Citizen Assembly in Wuppertal 30
Figure 10, 11 and 12: Citizen Assembly in Wuppertal 31
Figure 13: Example of a result of a technical review published online 32
Figure 14 and 15 : Voting party in Wuppertal 33
Figure 16 and 17: Voting party in Wuppertal (2) 33
Figure 18: SMS verification in Wuppertal 34
Figure 19: Voting online in the Wuppertal pilot (Screenshot) 35
Figure 20: Personal online voting ballot in the Wuppertal pilot (Screenshot) 35
Figure 21: Some of the winners of the Wuppertal PB with the major (middle) and treasurer (right) 35
Figure 22: Some of the winners of the Wuppertal PB, with major (middle) and treasurer (right) 36
Figure 23: Poster used for the dissemination of the Wuppertal PB 42
Figure 24: Screenshot of a Youtube video of the Wuppertal PB 42
Figure 25: Screenshot of Wuppertal PB facebook page 43
Figure 26: Street campaign with mobile stand in Wuppertal 44
Figure 27: Main menu items on buergerbudget.wuppertal.de 46
Figure 28: Footer menu on buergerbudget.wuppertal.de 46
Figure 29: Screenshot of the homepage of buergerbudget.wuppertal.de 47
Figure 30: Screenshot of page 'worth knowing' on buergerbudget.wuppertal.de 48
Figure 31: Screenshot of first part of PB page on buergerbudget.wuppertal.de 49
Figure 32: Screenshot of second part of PB page on buergerbudget.wuppertal.de 49
Figure 33: Screenshot of registration page on buergerbudget.wuppertal.de 50
Figure 34: Screenshot of prominent Registration and Login Button 51

Copyright © EMPATIA Consortium 2016 - 2017

Figure 35: Screenshot of SMS verification on buergerbudget.wuppertal.de 51
Figure 36: Screenshot of backoffice dashboard on buergerbudget.wuppertal.de 52
Figure 37: Visits (red) and unique visitors (blue) on buergerbudget.wuppertal.de 53
Figure 38: Users by gender and education level on buergerbudget.wuppertal.de 53
Figure 39: Users by age on buergerbudget.wuppertal.de 53
Figure 40: Focus group evaluation meeting in Wuppertal 59
Figure 41: Program and materials distributed on the 10th of March of 2017 70
Figure 42 - Signing the protocol for the Lisbon pilot implementation 70
Figure 43: One of the terminals installed in order to test the different tools 70
Figure 44: Participants in the event 71
Figure 45: Schematization of all tools and areas available in Lisboa Participa 75
Figure 46: Main banner of Lisboa Participa 75
Figure 47 and 48: First drafts for Lisboa Participa 77
Figure 49 and 50: Final draft of Lisboa Participa (left) and the final image of the page (right) 78
Figure 51: The new page of Fix My Street (Lisboa) 78
Figure 52: The new page of Open Lisboa 78
Figure 53: Overview of "Fix My Street" tool before integration in Lisboa Participa 80
Figure 54: Screenshot of the page dedicated to "Lisbon in Debate" before EMPATIA 81
Figure 55: General overview of Open Lisbon before EMPATIA 82
Figure 56: Overview of Citizenship Forum page 83
Figure 57 and 58: The new design of Lisbon in Debate 84
Figure 59: Thematic Consultation # 3 (on Lisboa Participa) 84
Figure 60: Summary of participation rules for LisBOAideia 86
Figure 61: The image on the left shows the idea creation form. On the right a published idea on the website 87
Figure 62: The "Rotunda de Leão" published idea 87
Figure 63: The three winning ideas on technical evaluation 88
Figure 64: Form for user account registration 89
Figure 65: Pop up Window for users asking to complete the missing information in their profile 89
Figure 66 and 67: Two posts of Lisboa Participa in Facebook 93
Figure 68: Highlight in Lisboa Participa website regarding LisBOAideia 94
Figure 69: Highlight in Lisboa Participa regarding a Thematic Consultation 94
Figure 70: Promotional materials for Lisboa Participa 95
Figure 71 and 72: Photos from Empaville roleplay on the 23rd of November 95
Figure 73: Footer of Lisboa Participa 97
Figure 74: Secondary menu with buttons for each of the tools/areas of participation 98
Figure 75: Overview of LisBOAideia page 98
Figure 76: Screenshot of the Lisboa Participa News page 99
Figure 77 and 78: The registration form for Lisboa Participa 100
Figure 79: A user account from Lisboa Participa once the login is done 101
Figure 80: The different sections of the back office of Lisboa Participa 102
Figure 81: Pop up asking to participate in the questionnaire 103
Figure 82: Visits to Lisboa Participa throughout the year 2017 104
Figure 83: Visited pages in Lisboa Participa (views). Source - Piwik 105
Figure 84: Exit Links from Lisboa Participa 105
Figure 85: Gender of Registered Users from Lisboa Participa 106
Figure 86: Academic Skills of Registered users from Lisboa Participa 107
Figure 87: Registered Users by age group from Lisboa Participa 107
Figure 88: Different Statistics provided by EMPATIA 112
Figure 89: Different Statistics provided by EMPATIA (2) 112
Figure 90: Poster of "Prekvapte Říčany ('Surprise Říčany)", the city's first PB process 118
Figure 91: Overview of "I Manage Říčany" multichannel participation, 2015-16 119
Figure 92: Mayor Vladimir Kořen (Říčany, Czech Republic), pictured right 120
Figure 93: Gathering citizen input on PB design during event in Říčany town square, February 2016 121
Figure 94 and 95: Working session on PB with Mayor Vladimir Kořen and EMPATIA partners 122
Figure 96 and 97: PB informational materials used in public awareness-raising campaign in community centres and town hall 127
Figure 98: Article in the Říčany local newspaper publicizing the EMPATIA project and the success of the first year of PB 128

Copyright © EMPATIA Consortium 2016 - 2017

Figure 99: Banners outside Říčany town hall announcing its first-ever PB process and the support of the European Commission in making it possible 128
Figure 100: Mayor Kořen welcomes participants to Oliva neighbourhood assembly 130
Figure 101: Residents created their own campaign flyers for PB project proposals and posted them around sports fields and cultural centres during March /April 2017 132
Figure 102: A PB planning meeting of Mayor Kořen and his team, the subject of an early Fabcebook post in fall 2016 137
Figure 103: Informational videos on PB were broadcast in community centres and at Říčany town hall during summer & fall 2017 138
Figure 104: Mayor Kořen and his team go door-to-door to spread the news about the city's first PB process, September 2016 139
Figure 105: Screenshot of "Surprise Říčany" homepage 142
Figure 106: Screenshot of "Surprise Říčany" PB rules page 143
Figure 107: Participation page of "Surprise Říčany" EMPATIA platform 144
Figure 108 and 109: Screenshots of proposal submission page and sample proposal in "view proposal" format on "Surprise Říčany" EMPATIA microsite 145
Figure 110: administrator view of the ballot creation page on the D21 voting platform 146
Figure 111: voter view of ballot (example) on D21 voting platform 147
Figure 112: Visits to Říčany EMPATIA microsite over the period November 2016 – January 2017 148
Figure 113: Average frequency of visits to Říčany EMPATIA microsite over the period November 2016 – January 2017 149
Figure 114: Winning projects of "Surprise Říčany", including plus-votes and minus-votes, are announced on D21 platform, June 2017 149
Figure 115: Workshop with the administrative officers 161
Figure 116: View of the first mock-ups (Milan) 163
Figure 117: The participatory process 167
Figure 118: View of the Project Page 168
Figure 119: View of the Sub-Project Page 169
Figure 120: Views of the back office 170
Figure 121: View of the Proposal Page 172
Figure 122: View of the Ranking Page 173
Figure 123: View of the discussion area 174
Figure 124: Views of the Facebook page and the Twitter account 179
Figure 125: The promotional video of the Mayor Beppe Sala 181
Figure 126: Some pictures and videos published on the different PB channels 182
Figure 127: The PB postcard printed in May and then September 2017 183
Figure 128: The launch event of the pilot (May 30th; from the left: the presenter, the Mayor, the Councillor, the Delegate of the Mayor) 184
Figure 129: The final meeting in the City Council (Nov 25th) with all the proposers 184
Figure 130: an article about the PB on the newspaper 'La Repubblica' 186
Figure 131: Analytics of the Monitoring Cycle platform 188
Figure 132: Analytics of the Deliberation Cycle platform 189
Figure 133: Socio demographic characteristics of the participants (Milan) 190
Figure 134: View of the back office for the management of the News 193
Figure 135: View of the News page 194

Copyright © EMPATIA Consortium 2016 - 2017

Acronyms

Acronyms	Description
CMS	Content Management System
DC	Decision-Making Cycle (of PB)
D1.4	Deliverable 1.4: Models, Methodologies, Scenarios & Requirements – final*
D2.4	Deliverable 2.4: Development and integration of the platform – final*
D3.1	Deliverable 3.1: Pilots implementation – preliminary (not public)
D4.2	Deliverable 4.2: Evaluation and Pilots impact assessment*
D5.4	Deliverable 5.4: Dissemination and exploitation report – final*
EMPATIA	Enabling Multichannel PArticipation Through ICT Adaptations
IC	Implementation Cycle (of PB)
ICT	Information and Communications Technology
KPI	Key Performance Indicator
MC	Monitoring Cycle (of PB) – used as synonym of IC, Implementation Cycle
PB	Participatory Budgeting
WP1	Work Package 1: Foundations and Models for Multichannel Participatory Budgeting
WP2	Work Package 2: EMPATIA Platform Prototype
WP3	Work Package 3: Pilots
WP4	Work Package 4: Evaluation and Impact Assessment
WP5	Work Package 5: Dissemination and Exploitation
WP6	Work Package 6: Project Management

*These reports are publicly available on www.empatia-project.eu

Copyright © EMPATIA Consortium 2016 - 2017

1 Introduction

The introduction to the report of deliverable D3.2 describes briefly the purpose of this report, major differences between the original proposal and the state of the art, the objectives of the deliverable and the role of the deliverable in relation with the other tasks and working packages of EMPATIA, and finally the structure of the document.

1.1 Purpose of the deliverable

The purpose of this deliverable is to give an overview of all activities and developments that occurred under Work Package 3 during the period of January 2016 to December 2017. This concerns on the one hand the organisation of the work package and the collaboration amongst the partners, and on the other hand the work that occurred within the four pilot municipalities. WP3 is a core work package of the project because the pilots not only serve to test the EMPATIA platform and its multichannel approaches in a "real life" environment, but they also serve to make the platform publicly visible and to show the results of EMPATIA in action.

The deliverable is strongly interconnected with other activities and deliverables within the project, notably in relation to WP1 and WP2. In particular, D1.1 served to set the guidelines and thereby an early basis for all further activities within WP3. It is publicly available as D1.4 (which is an update and extension of the early D1.1). Moreover, the deliverable at hand is an important document for purposes of evaluation. On the one hand, the results of the real life platform tests are very valuable for the further development of the EMPATIA platform within WP2, on the other hand they will be beneficial for WP4 as well. Finally, the document serves to demonstrate how the EMPATIA platform was used in the different pilots.

1.2 Deviations from the original proposal

The four pilots described in this document were conducted in the city of Lisbon (Portugal), Říčany (Czech Republic), Wuppertal (Germany), and Milan (Italy). A full account of all pilot specific deviations is given in the respective pilot report chapters. The major deviations that WP3 dealt with are summarized here:

- The **Wuppertal pilot** is a deviation from the original proposal in which the city of Bonn was suggested as pilot municipality. The change in pilot municipality is due to the fact that the time schedule of PB in Bonn was changed to an earlier date (spring 2016) which made it incompatible with the time schedule of EMPATIA, as well as due to a change in political leadership and thereby commitment to the EMPATIA project. With the new pilot municipality Wuppertal, EMPATIA managed to find a partner that was committed to innovating their PB process with the help of ICT and multichannel approaches. The change from Wuppertal to Bonn also had implications on the aims of the pilot since other priorities were prevalent in Wuppertal than what was formulated in the original proposal.
- The **Lisbon pilot** used the EMPATIA platform differently than originally anticipated, namely not as a platform for Participatory Budgeting (PB) but as a participation portal, integrating different participation processes in one single platform. This deviation allowed the EMPATIA consortium to add and test another use case to the platform which now goes beyond a single PB platform but can incorporate an unlimited number of participation processes.

Copyright © EMPATIA Consortium 2016 - 2017

- The **Říčany pilot** was structured to integrate the EMPATIA platform into the city's multi-channel participation strategy, whose principal online tool prior to PB was the city website and D21 polling platform. Since several hundred citizens had already enrolled their personal data (name and email address) into the D21 platform, the decision was made not to duplicate the process of creating user profiles for citizens, but rather to make the EMPATIA ideation features "open" to all citizens, regardless of previous participation, and to continue employing D21's platform for the voting phase of PB. This deviation allowed the EMPATIA consortium to observe how users interacted with two separate but complementary online platforms, and whether the "user base" created by each led to higher participation in the other.
- The **Milan pilot** was added as an official pilot as part of the Amendment in 2017, allowing the EMPATIA consortium, notably pilot partner UNIMI, to develop and test the second cycle of the EMPATIA platform (i.e. ICT support during the implementation phase of citizen proposals), as well as the methodology depicted in the Deliverable 1.4.

1.3 Structure of the deliverable

The deliverable sets out with a description of the management structure of WP3.

- **Chapter 2 | Management structure of WP3:** In this chapter, the methodology used to manage the pilots is described. This involves a description of the formalization of pilots, the structures developed to communicate between WP3 partners, the steps involved in the design of the process for each pilot, and the interactions with the other Work Packages.

The core of the deliverable are the elaborate descriptions of the four pilots.

- **Chapter 3 | Wuppertal (Germany):** The Wuppertal pilot took place in 2017 and made extensive use of the EMPATIA platform as both a platform for participation and information. The EMPATIA platform was used to provide easily accessible information about the municipal budget and the financial situation of the municipality. A multichannel PB process was implemented around a budget dedicated for citizens. This was a new and innovative approach for German municipalities since the 'consultative' model of PB is the dominant one in Germany.
- **Chapter 4 | Lisbon (Portugal):** The Lisbon pilot took place in 2017 with the main purpose of testing the integration of different tools of participation, e-government and open data in a multi-channel approach. Due to the pilot specificity, new tools were created (LisBoaIdeia, Thematic Consultations). The EMPATIA platform became the "face" of the new Lisbon Participation portal, called "Lisboa Participa", where all the tools are integrated – pre-existing tools as well as new ones.
- **Chapter 5 | Říčany (Czech Republic):** The Říčany PB was launched in September 2016. It produced its first selection of winning projects in May 2017. The pilot represents the first-ever PB process in the city of Říčany, in a context where political will on behalf of city leaders is high but awareness of PB in the general public is low. The first phase of the pilot used the EMPATIA ideation module for the collection of project submissions, and as a central point of focus for public information. A dedicated microsite[1], was created by D21 to link EMPATIA's ideation features to the main city webpage and social media. For the second year of PB, the city

[1] i.e. an individual webpage that functions as a discrete entity with the existing Říčany web site

Copyright © EMPATIA Consortium 2016 - 2017

is in the process of integrating additional features of the EMPATIA platform, including technical review and implementation-cycle functionalities.

- **Chapter 6 | Milan (Italy):** The Milan pilot was the last one and it took place at the end of May 2017. Its main purpose was to test the Implementation Cycle and its development in the EMPATIA platform. The pilot was also requested and was important because it aimed at overcoming the shortcomings of the previous edition, predominantly offline and with few winning projects already implemented or ongoing. The EMPATIA platform and the new PB process had to restore confidence in the Municipality and the PB process through its transparency and participation throughout the methodology.

Besides these official EMPATIA pilots, EMPATIA software was also used in a number of other contexts, described in chapter 7:

- **Chapter 7 | Other cases of use of EMPATIA's software:** As a result of the strategy of dissemination of EMPATIA, the consortium received a number of proposal of cooperation from other municipalities than those originally involved in the project. In this chapter, we summarize the use of EMPATIA software in these other contexts which provided valuable test results for the further development of the platform.

Finally, the Deliverable will draw some conclusions and outline the main lessons learned from the perspective of Work Package 3.

- **Chapter 8 | Conclusion and Lessons Learned:** In this chapter, conclusions will be drawn regarding the overall work with the pilots, and some lessons learned will be outlined from the perspective of the pilot partners.

Copyright © EMPATIA Consortium 2016 - 2017

2 Management structure of WP3

In this chapter, the management structure of WP3 is described. This includes on the one hand the internal structure of collaboration and communication between partners, and on the other hand the management of single pilots, including the formalization process and the process design methodology.

2.1 Collaboration and communication in WP3

Collaboration and communication between partners in WP3 was a crucial success criterion to the EMPATIA project since the cooperation with pilot municipalities and implementation of pilots was a core task of the EMPATIA project. Between January and September 2016, WP3 was led by D21. Due to capacity restraints by D21, the WP3 lead was shifted to Zebralog at the end of September. As WP3 lead, Zebralog was the main contact for other WP leads and as such supposed to strengthen the interconnection between the other work packages and WP3. This concerned a strong connection both with WP2 regarding the communication and discussion of (technical) requirements for the EMPATIA platform, and with WP1 and WP4 regarding the evaluation of the pilots. Moreover, Zebralog coordinated calls between all WP3 partners in order to facilitate mutual learning between the partners.

Regarding the exchange between WP3 partners, regular, bi-weekly “jour fixe” calls were held between October 2016 and April 2017. These calls were held via the EMPATIA Webex conference system, and documented collaboratively in the EMPATIA Etherpad. Information about every call is documented in the EMPATIA wiki. From April 2017 the bi-weekly calls were turned into more irregular calls on demand since all partners were very busy with the implementation of their pilots, with less need for regular calls compared to the phase of requirements collection and process design.

Besides the calls, Zebralog created an elaborate wiki template for all pilots in which the WP3 partners documented and updated the progress of their pilots. The template was discussed with all WP3 partners and revised several times in cooperation notably with CES and OneSource. The aim was to make it easy to share status updates and progress of pilots within the consortium. This document was used notably in the phase of requirements gathering and process design. In the implementation phase, this document was no longer updated. In this period, status updates were shared by e-mail, in calls and during the EMPATIA General Assemblies in June and September 2017.

Copyright © EMPATIA Consortium 2016 - 2017

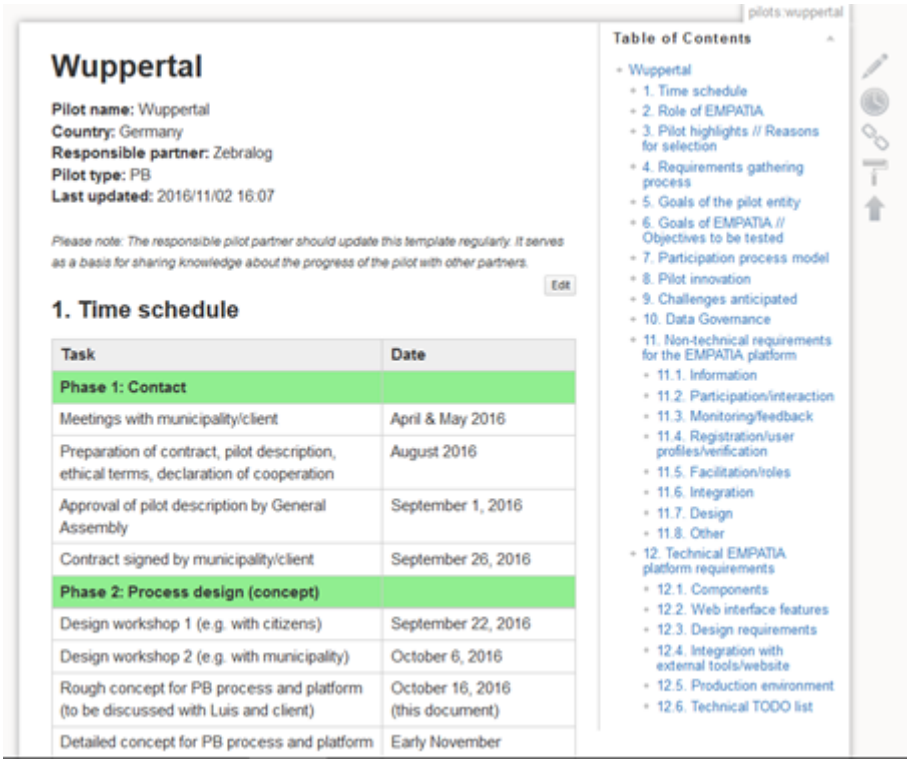


Figure 1: Screenshot of a pilot progress report in the Wiki

2.2 Formalization of pilots

In the process of pilot formalization, every pilot partner had meetings and intensive communication with the respective pilot municipality to clarify the involvement of EMPATIA and the kind of cooperation envisioned. This also involved the clarification of the role of EMPATIA partners and the pilot entity itself. First, it was important to the consortium to make clear that any participation process requires the commitment and capacity of municipal staff, and that the process needs to be integrated with the internal municipal workings. Secondly, it was important to obtain a commitment by the pilot municipality to the ethical guidelines developed by CES in cooperation with the other partners.

For the formalization of pilots, a template for official protocols and contracts was created, including the ethical guidelines that the pilot municipalities need to adhere to as part of their participation in EMPATIA.

More precisely, the following templates were developed for the formalization of pilots:

- A protocol distinguishing services by EMPATIA and services by the pilot entity
- A pilot description (which was later developed to a full pilot progress report)
- A declaration of cooperation by CES (used notably in the case of the Wuppertal pilot in which this document was used as an Appendix to the official contract between Wuppertal and Zebralog)
- Ethical guidelines to be accepted by the municipality (cfr. also Deliverable D1.3 Social, Ethics and Legal Analysis)

Copyright © EMPATIA Consortium 2016 - 2017

Before finalization of the contract, the basic pilot description had to be approved by the General Assembly. The table below shows the steps involved in the pilot formalization:

Phase 1: Formalisation (contracts)
1.1 Meetings with municipality/client
1.2 Preparation of contract/protocol, pilot description, ethical terms, declaration of cooperation
1.3 Approval of pilot description by General Assembly
1.4 Contract signed by municipality/client

Table 1: Steps involved in the pilot formalization

In September 2016, the pilot description was developed further and set the basis for the more elaborate pilot progress report to be completed and updated regularly by all pilot partners in the Wiki.

2.3 Methodology of pilot planning

After the formalization of pilots, all pilots underwent a pilot planning process in which a participation model was developed and requirements for the EMPATIA platform collected and consolidated. The process occurred on the one hand together between the pilot partner and the respective pilot municipality, on the other hand in close communication with other consortium partners, notably with CES for scientific feedback and OneSource for technical feedback.

One of the key objectives of EMPATIA was to build a platform that is highly flexible and that can be used for different participation models. Therefore, a systematic methodology of pilot planning was introduced to ensure that the process model and the EMPATIA platform meets the needs of the local specifics in each municipality. As already reflected in the development of use cases for the different pilots in WP1, the pilot planning process reconfirmed that every municipality has different prerequisites and requirements.

The methodology that was suggested by WP3 lead Zebralog to all pilot partners started with a reflection and evaluation of previous participation processes together with the municipality (and in the case of Wuppertal also with the involvement of citizens (see chapter 3.2, ‘About the requirements gathering and planning process’). Based on this reflection, requirements for the EMPATIA participation process model were developed. In this early process design phase, the focus was not on technical requirements but rather on the definition of goals and success criteria for the future participation model. This again set the basis for the development of a participation model by the WP3 pilot partner. In the case of Wuppertal and Lisbon, several different models were reflected within the consortium, suggested to the

Copyright © EMPATIA Consortium 2016 - 2017

pilot municipality and further developed based on the feedback of WP3 partners and the pilot municipality.

Once the participation concept was finalized, the concept was translated into a technical concept with the help of OneSource, identifying flows and components for the EMPATIA platform. In the phase of platform development, mock-ups were created on the basis of the technical concept. These mock-ups were further developed on the basis of the feedback of the pilot municipality. Once the mock-ups were finalized, the technical development and configuration of the EMPATIA platform could start. After an internal phase of testing, translations and bug fixing the platform was made available to the municipality for a final test and review before the official launch of the platform.

The following table shows the steps involved in the pilot planning process:

Phase 2: Pilot planning / Process design
2.1 Process design workshops (with municipality and/or citizens)
2.2 Rough concept for process model and EMPATIA platform (to be discussed with OneSource, CES and municipality)
2.3 Detailed concept for process model and EMPATIA platform (to be discussed with OneSource, CES and municipality)
2.4 Final concept for process model and EMPATIA platform
Phase 3: Platform development & testing
3.1 Technical concept
3.2 First batch mock-ups (to be discussed with municipality)
3.3 Second batch (finalized) mock-ups
3.4 Platform ready for internal testing, translations and bug-fixing
3.5 Platform ready for final testing by municipality
3.6 Launch of public EMPATIA pilot platform

Table 2: Steps involved in the pilot planning

Copyright © EMPATIA Consortium 2016 - 2017

It should be noted that the methodology outlined presents a standardized model that varied to a certain degree in the case of every pilot, depending on the individual necessities and situation. Individual descriptions of the requirements collection processes can be found in the respective pilot chapters (3.2, 4.2, 5.2, 6.2). Not all partners used the systematic approach outlined above.

2.4 Interactions with other Work Packages

WP3 is closely connected to the other Work Packages, notably WP1, WP2 and WP4 (see Figure 2). In this subchapter, an account of the interactions with these other WPs is given, also including an account of some challenges that had to be dealt with regarding the relations between WPs.

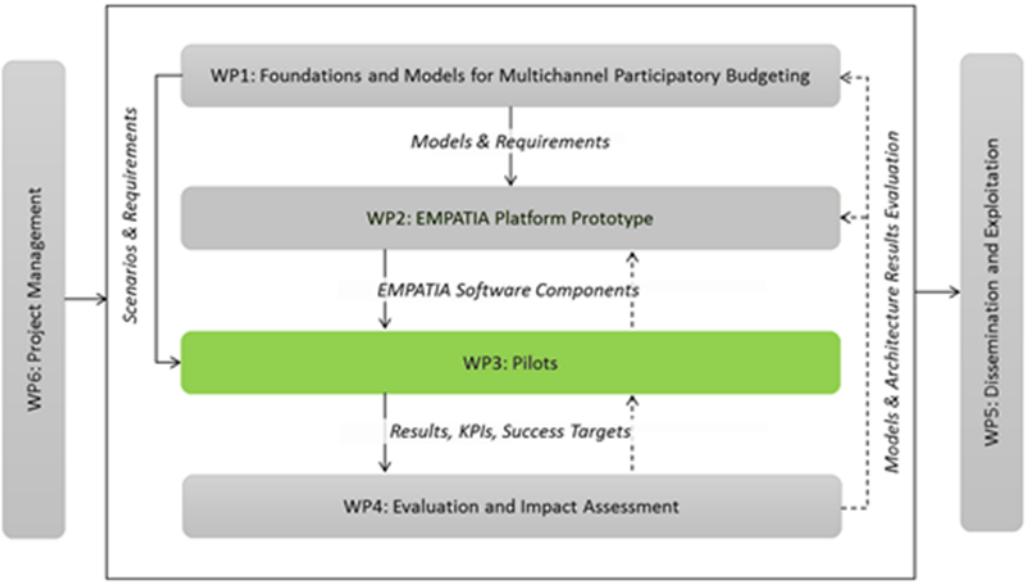


Figure 2: Relation between Work Packages in the EMPATIA project

Regarding WP1, requirements of different pilots were collected in early 2016 as part of Deliverable 1.1, outlining use cases to build the basis for the EMPATIA platform prototype. It has to be said though, that at the point of collecting these requirements, partners had not started the requirements collection process with the respective municipalities yet; thus the feedback on requirements given to WP1 by WP3 was based on hypotheses of what the municipalities may need. The actual requirements were only gathered and confirmed (or refuted) in the second half of 2016. For example, while one of the hypothesized key requirements of the Wuppertal pilot was to find solutions to prevent duplicate proposals, other requirements were prioritized higher as a result of the design process with Wuppertal municipality and citizens.

That fact that the preliminary requirements as defined by WP1 differed largely from the actual requirements of the pilots was a challenge for WP2. Most of the work of WP2 in the first year of the project had to be based on the information collected by WP1, and exact pilot requirements could only be formulated in late 2016 / early 2017, often with short period of time between the adaptations to the EMPATIA platform and the launch date requested by the municipality. In the case of Říčany, the first pilot that used the EMPATIA platform, draft requirements for the platform could only be given to WP2 at the end of September, with the launch of the platform in November. In the case of Wuppertal, the

Copyright © EMPATIA Consortium 2016 - 2017

requirements collected for the WP1 use cases were still based on the assumption that Bonn would be the pilot municipality. The process of pilot formalization in Wuppertal took until September 2016 and only then discussions on the goals and requirements of the pilot could be started. Since many stakeholders were involved in the design process (steering group with citizens, municipal staff, political representatives), the process took several months until detailed requirements could be formulated and passed on to WP2. At the same time, since pilot partners only had limited knowledge of the way the EMPATIA platform prototype worked, the process design concepts developed did not necessarily build up onto the technical requirements of the platform. In Milan as well, some feedback loops took longer than expected, leaving little time for actual internal testing and improvements.

Throughout the development and implementation process, WP3 pilot partners and WP2 partner OneSource were in close touch regarding testing results, bug fixings, usability improvements, and new feature requests. It has to be said that this process was not really standardized but different ways of communication were used (Trello board, e-mail, Skype chat, google docs). The coordination of the pilot requirements was done by the respective pilot partners with little involvement of the WP3 lead. In hindsight it would have been beneficial to systemize pilot partner feedback and testing workflows between WP2 and WP3 to a higher degree, and to make more explicit the different roles and responsibilities of the different partners.

Regarding the relation with WP4, an evaluation method with questionnaires and focus groups was designed by WP4 partners (notably University Brunel and CES) and discussed with all pilot partners. WP3 supported WP4 by translating and distributing the questionnaires, and by conducting and facilitating the focus groups. Pilot specific questions could be added by the pilot municipalities, if wanted.

Finally, WP3 was of course also related to WP5 (Dissemination and Exploitation). Important milestones, successes and events were communicated by WP3 partners via EMPATIA's facebook and twitter channels as well as on the EMPATIA website.

Copyright © EMPATIA Consortium 2016 - 2017

3 Wuppertal pilot

The German pilot is settled in the city of Wuppertal. Wuppertal is a municipality of about 360.000 inhabitants, located in the state of North Rhine Westphalia close to Düsseldorf. It is a major industrial center with the river Wupper at its heart, and lots of green space. With the support of EMPATIA, the city of Wuppertal conducted a PB process between May and October 2017. The pilot platform is accessible at www.buergerbudget.wuppertal.de.

3.1 Reasons for selection

Originally, the German pilot was planned to be held in Bonn. However, it turned out at the beginning of the EMPATIA project that this was no longer feasible due to changes in the time schedule envisaged by the municipality, and changes in the political leadership. Pilot partner Zebralog thus opened a call for a new pilot municipality via the German PB portal www.buergerhaushalt.org.

Zebralog was approached by the city of Wuppertal only a few days after the opening of the call. Their 'department for participation' was founded only a year before the start of the EMPATIA project. It is directly connected to the Mayor and consists of a team responsible for strengthening citizen participation in Wuppertal, with a high interest in developing a new model of Participatory Budgeting with the support and use of EMPATIA.

Figure 3: Department of participation (2016)

With the city of Wuppertal, EMPATIA had the opportunity to "reinvent" the classical consultative German model of PB. Wuppertal has had previous experience with several consultative PB processes. However, they saw the need to rethink this dominant model of PB in Wuppertal – just as in many other consultative PB processes throughout Germany – since only a minority of proposals by citizens that made it to the TOP list could actually be implemented, a situation which often led to dissatisfaction amongst citizens, municipal staff and political representatives. More precisely, in the consultative PB process model, there is no predefined budget but citizens can submit proposals regarding the whole municipal budget, including both suggestions for cost cutting, such as the stop of funding a particular cultural site like a theatre, and 'big ideas' like the building of a new site or the restructuring of particular municipal processes. In the case of the previous PBs in Wuppertal and many other German municipalities, the scope for change due to such proposals is usually very limited; many proposals cannot be accepted because they contradict previous city council resolutions, or certain political commitments like the promise not to cut the budget for cultural activities. The particular challenge in Wuppertal was thus to create a participation process with a clear scope of participation, including a defined financial scope.

Moreover, PB processes in Germany – and in Wuppertal as well – have in the past almost exclusively been conducted via an online platform, and there has been little integration of on-site opportunities of deliberation. By developing a new multichannel model of PB in Germany with the help of EMPATIA, Wuppertal aimed to set an example for other municipalities in Germany as well.

Copyright © EMPATIA Consortium 2016 - 2017

3.2 About the requirements gathering and planning process

The requirements gathering and planning process was conducted co-creatively and collaboratively, involving both citizens and municipal staff.

3.2.1 Requirements gathering and design process

Zebralog organised two workshops, one with citizens and municipal staff (focus group I), and one with only municipality officials (amongst them the treasurer and city manager, and the head of the department for participation). Citizens were invited via press announcements, a newsletter from previous PB, and via direct invitation of the ones known to be active in this area. In the workshop with citizens, both citizens with no previous knowledge of PB, and citizens with a large amount of knowledge, were present.

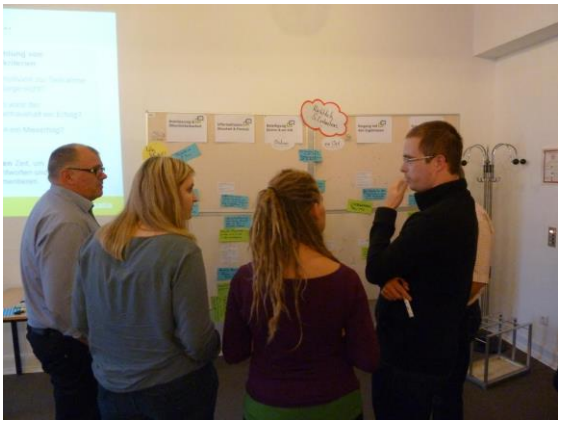


Figure 4 and 5: First focus group workshop in Wuppertal

Goals of design workshop I (focus group I, with citizens and municipal staff)

- Evaluation of previous PB
- Definition of success criteria and goals of PB
- Discussion of 'little financial scope'
- Generation of ideas for the new PB
- Discussion of possible models for PB

Goals of design workshop II (with municipal staff)

- Concretising the ideas discussed in the first workshops
- Defining goals from the perspective of the municipality
- Deciding on a concrete model of PB for Wuppertal
- Defining next steps & preliminary time schedule

The focus was rather on the PB process as a whole, not so much on the concrete platform requirements.

Copyright © EMPATIA Consortium 2016 - 2017

The results of these two workshops set the basis for the further design of the participation model for which Zebralog developed a rough concept which was discussed with the other EMPATIA partners and the municipality and refined several times due to feedback from both sides. The concept benefited a lot from the experience of the other WP3 partners regarding PB processes with a defined budget (which is something relatively new for German PB). On the other hand, the municipality formulated specific requirements (such as a limited budget and limited capacity of municipal staff) which made it necessary to adopt the originally envisioned model in some regards to the specific prerequisites. The key goal of the design process was to develop a model which suits the needs and wishes of the municipality and which at the same time enables EMPATIA to provide and test a comprehensive participation and information platform.

3.2.2 Steering group guiding the process

The citizens that attended the first design workshop (i.e. focus group I) afterwards built a so called **'steering group'** for the remainder of the process, consisting of thirteen citizens. They were invited by the municipality several times to discuss questions regarding the design of the process (including feedback on the platform and on site events). This group of citizens that was involved in the whole process from beginning to end was also invited to the evaluation workshop (focus group II) that took place in November 2017.

The steering group met five times, with the following topics:

1. Evaluation of previous PB and design of new PB (focus group I)
2. Presentation of developed process model and feedback
3. Citizen assembly / Common good check (together with Wuppertal Institute)
4. Presentation of pilot platform and feedback
5. Evaluation (focus group II)

While the feedback received from the steering group will be evaluated in detail in the framework of WP4 (evaluation), the key results will also be addressed in this report regarding the platform evaluation, challenges and lessons learned.

The agenda of the two focus group workshops with citizens (on design and evaluation) can be found in the attachment to this report (translated to English).

3.2.3 Relation to use case scenarios defined in D1.2/1.4

As part of Deliverable D1.2 and a later updated version D1.4 within Work Package 1 of the EMPATIA project, requirements for different use case scenarios were gathered in the first months of the project, based on literature on democratic innovation as well as initial feedback by pilot partners. For the case of Germany it has to be said though that due to the change from pilot municipality Bonn to Wuppertal, the German pilot partner could only hypothesize about the potential requirements of the German pilot at the time of gathering the initial requirements. As also pointed out in D1.4 (p. 74), it turned out during the requirements gathering and planning process started with the municipality and citizens in the second semester of 2016 that many of the requirements formulated based on the use case scenarios were either irrelevant to the specific local needs of the Wuppertal pilot, or at least prioritized lower compared to other requirements that were not necessarily foreseen in D1.4. One of the main reasons for this discrepancy may be the fact that the use case scenario developed for Germany (D1.4, p. 86) was based on the predominant consultative model of PB, assuming that the partner municipality (whether Bonn or Wuppertal) would want to stick to this model. With Wuppertal's decision to test the workings of a

Copyright © EMPATIA Consortium 2016 - 2017

budget based PB process, new and different requirements emerged. Hence, the requirements gathered at an early point in the project in order to start the development of the EMPATIA platform, were only partially in line with the requirements that were formulated as an outcome of the collaborative PB design process as outlined in the beginning of this chapter. The main differences between these originally formulated requirements and goals, and the final actual requirements and goals (see chapter 3.3, 'About the requirements gathering and planning process') will be discussed in the chapter on 'Deviations from original planning' (chapter 3.8).

3.2.4 Feedback workflows during development and implementation

Throughout the requirements gathering process, Zebralog was in contact with Work Package 2 / OneSource in order to discuss how specific non-technical requirements could be implemented technically, and whether the changes in requirements (as compared to the originally formulated requirements based on the use case scenarios) were actually feasible. After the process design was finalized, the concept was translated into more specific requirements for the platform and some wireframes for the main web pages by Zebralog. OneSource developed mock-ups for the Wuppertal pilot platform on the basis of all this information. The mock-ups were subsequently discussed with the municipality. It has to be noted here that the municipal staff generally trusted Zebralog and OneSource as experts in Democratic Innovation and ICTs, and that the non-technical requirements developed together would be correctly transferred to technical workflows and features; they therefore gave feedback mostly on design aspects of the mock-ups. On the basis of the mock-ups and the requirements document, OneSource configured and developed the pilot platform. A detailed time schedule including testing loops for Zebralog and the city of Wuppertal was developed. Communication between OneSource and Zebralog on tasks and test results occurred mainly via the online tool Trello in which all 'to dos' were documented and it was transparent to everyone at all times what the status of specific tasks was. In total, over 440 tickets (i.e. bug reports, feature requests and bundles of tasks like to do lists) were written on this trello board. Moreover, Skype chats and calls were used intensively for communication. All feedback from the municipality of Wuppertal and citizens was first processed and tested by Zebralog, and only then passed on to OneSource. Between April and October, Zebralog and OneSource had almost daily contact about test results and (new) platform requirements.

Please see the chapter on 'pilot platform evaluation' (chapter 3.14) for an evaluation of the way in which the planning process and the feedback workflows during development and implementation were conducted.

3.3 Goals of municipal stakeholders

A core part of the process design workshops (see chapter 3.2, 'About the requirements gathering and planning process') was to identify the goals of PB in Wuppertal. The following goals were collected as part of the design workshops held with citizens and municipal staff:

- Citizens shall be better able to **understand how a budget works** and how municipal staff and political representatives work.
- The complex topic of budget planning, the **dilemma of limited resources** and therefore the necessity to make difficult decisions shall be made transparent to the public.
- Thereby, the **legitimacy** of "harmful" decisions (e.g. cost cuts) shall be increased.

Copyright © EMPATIA Consortium 2016 - 2017

Moreover, a number of success factors – i.e. factors that are important in order to reach the identified goals of PB - were collected as part of the workshops. They served sub goals for the whole process:

- Participation by **many and diverse kind of citizens**
- **Positive interaction** between citizens and municipal staff
- **Involvement of political representatives** in the process
- **Giving feedback on proposals**, and only asking for proposals where there is a chance of implementation (e.g. no participation when there is no scope or willingness for it)
- **Efficient processes** for municipal staff who have limited capacity for interaction

In the workshops, it became apparent that the main goals of PB in Wuppertal are information provision, political education and legitimacy of budget decisions (and not so much on distributive justice and involving the disadvantaged, as it is the case in processes similar to the original Porto Alegre model).

How and whether these formulated goals and success factors have been achieved will be addressed in the conclusionary chapter (see chapter 3.16, 'Conclusion: Goals achieved?'). Please also refer to the chapter on deviations from the original planning (see chapter 3.8, 'Deviations from original planning for an account of how the final goals differ from the originally envisioned objectives of this pilot.

3.4 EMPATIA's objectives to be tested

The goals of the municipality regarding the participation model were well in line with the goals of EMPATIA. More precisely, the following objectives of EMPATIA were tested with the Wuppertal pilot:

- **Inclusion** (lowering the barriers to participation)
- **Efficiency** (optimising time spent by citizens and municipal staff)
- **Transparency** (providing information about the municipal budget and process)
- **Multichannel innovation** (connecting different channels of participation)

The objective "inclusion" relates directly to the success criteria of "participation by many and diverse kind of citizens". "Efficiency" relates to the limited capacity of municipal staff in Wuppertal, the objective of "transparency" is in line with the municipal goal of providing information about the budget, and the objective of "multichannel innovation" was the basis for the process model with positive interaction between citizens and municipal staff.

The objectives for the German pilot were formulated in more detail in Deliverable 1.4 (p. 87):

1. *Adapting the PB cycle to the EMPATIA model, adding face-to-face events and adding additional ICT tools/features like proposals versioning and SMS verification.*
2. *Adding multichannel participation through face-to-face events for proposals submissions and evaluation, and multichannel voting.*
3. *Increasing community building support and empowerment of participants to promote their proposals.*
4. *Proving better support to the municipality managing the process, aimed at increasing accountability and improving monitoring of internal processes (requires the definition of administration procedures).*
5. *Improving secure authentication of users and avoid fraud.*

Copyright © EMPATIA Consortium 2016 - 2017

6. *Increasing support for mechanism and tools to avoid 'similar proposals', and ensure more transparency within the process for citizens.*

The priorities of these objectives changed to a certain degree throughout the project due to the fact that these objectives were formulated at a time when the design process for Wuppertal had not started yet. However, all of them are still relevant for the evaluation of this pilot. Please refer to chapter 'Pilot process evaluation' (chapter 3.15) for a discussion of these goals in relation with the pilot's experiences and results.

3.5 Overview of the participation process model

With the support of EMPATIA, a comprehensive new model of Participatory Budgeting in the city of Wuppertal was developed. At the heart of the model was the EMPATIA platform, being used as a kind of show window for the financial department of the municipality, channeling all aspects of information and participation regarding the municipal budget into one platform. As such, the EMPATIA platform was used as a platform for transparency as well as participation.

The model consisted of two main pillars:

I) Information about the municipal budget

The EMPATIA platform provided an elaborate space for information about the municipal budget online. The focus was on providing easy to understand information in an attractive format, including FAQs, short videos quiz questions, and information about upcoming events. It was also possible to ask questions directly to the financial department through a questions and answers format "Ask the treasurer".

II) Participation through the citizen budget (Participatory Budgeting)

A budget of 150.000 € was dedicated for proposals by citizens. The PB process was conducted with a multichannel approach and along three main phases, with innovative, new methods tested in every step:

1. **Idea collection and first ranking (May 2017):** In the first phase, citizens could submit ideas online, via telephone, and in the streets at a mobile stand. All ideas were channelled on the EMPATIA platform www.buergerbudget.wuppertal.de where they could be commented and prioritized (by way of giving "likes"). The main innovative feature in this phase was that parallel to the participation the municipality conducted a preliminary review along the main criteria for idea submission. Those that did not pass the criteria were moved to an archive where they were still accessible but no longer open for 'liking'. The result of the phase was a list of the TOP 109 submitted project ideas (from a total of 267 ideas).

2. **Common good check and municipal review (June to August 2017):** The second phase started with a citizen assembly in which about 170 citizens performed a "common good check" on the TOP 100 project ideas. In small groups, they prioritized the ideas with the help of common good criteria developed by the Wuppertal Institute. The filtering method used for

Copyright © EMPATIA Consortium 2016 - 2017

this event was created specifically for this pilot in the framework of EMPATIA, and provoked a lot of interest by the media and also other municipalities. The result of the co-creative common good check was a list of the TOP 32 ideas with the most contribution to the common good. These 32 ideas were subsequently reviewed in detail by the municipality regarding their costs and implementation. In total, 48 ideas were reviewed because some ideas from the TOP 32 did not pass the review. The result of the second phase was a list of TOP 32 projects that passed the municipal review and moved further to the final voting.

3. **Voting (September to October 2017) and implementation (2018 to 2019):** The third phase started with a so called voting party which included a gallery of all final TOP 32 ideas. About 120 citizens attended the event and voted on site. People who could not attend the event could also vote online or in the town hall the weeks after. The main innovative feature tested in this phase was the SMS verification and the way of voting in which every participant had a limited amount of votes (i.e. five). In Germany, new means of verification of users in online voting are crucial because the verification via ID card numbers is seen very critically in Germany's political culture and is (as of today) not an accepted means. In total, more 1.627 people voted. The six winning projects were announced in October 2017, amongst them the renewal of a playground, the prohibition of cars in a particular street, the support of a project connecting young people and the elderly, new benches in a certain area, and the support of a project against racism and antisemitism. These projects will now be included in the municipal budget plan and implemented within the next two years.

The following figure gives an overview of the PB process in the Wuppertal pilot.

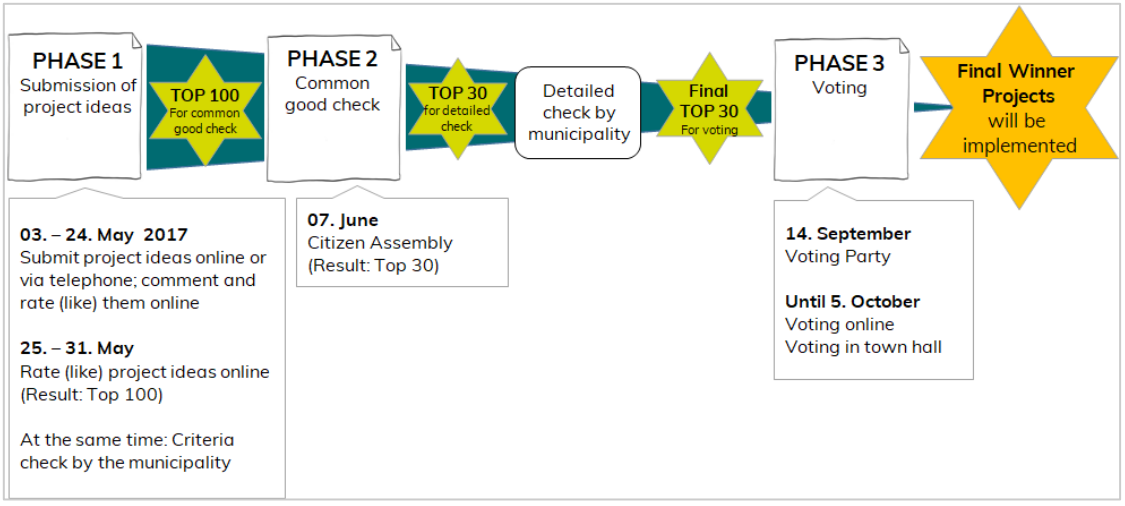


Figure 6: Overview of the PB process in Wuppertal

It should be noted here that the EMPATIA model classifies the implementation phase as a separate phase ("second cycle", see e.g. Deliverable 1.4). However, the municipality requested to communicate voting and implementation as one phase because they were afraid that four or even five phases (including the planning phase that was also skipped in the process model communicated publicly) might make the process look too complicated.

Copyright © EMPATIA Consortium 2016 - 2017

3.6 Detailed description of all phases

This chapter gives a detailed account of all phases and steps of the pilot.

3.6.1 Phase 1: Idea collection and first ranking

Idea collection

Between May 03 and May 24, 2017, citizens were invited to submit project ideas. Submission was possible online via a form on the EMPATIA Wuppertal platform, via a municipal telephone hotline, and at a local stall during a two-days street campaign. All project ideas submitted via telephone or at the local stall were submitted online by the municipal team so that there was full transparency regarding all collected ideas. In all three channels, the forms for idea submission were clearly structured, and citizens were asked to complete the following information:

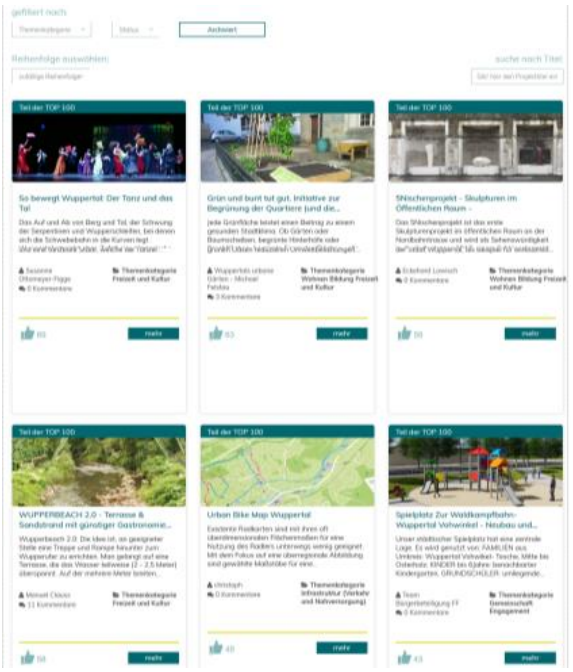


Figure 7: Screenshot of online Presentation of proposals

- Title of project idea
- Description of project idea
- Added value of the idea for Wuppertal
- Estimated time needed for implementation
- Envisioned role of the city of Wuppertal
- Envisioned own role / role of citizens in implementation
- Estimated costs
- Choose a topic category (the categories were analogue to the common good criteria developed by the Wuppertal Institute, ranging from ‘community’ to ‘infrastructure’)

Online, they could also:

- add a picture to their idea
- locate the idea on a map (google maps)

The detailed form ensured on the one hand a good quality of the proposals, on the other hand it ensured that the citizens understood the criteria for project idea submission.

Commenting

Parallel to the ideas submission period, citizens could also comment ideas online. In this way, they could add information and discuss the pros and cons of every project idea. 157 comments were submitted.

Copyright © EMPATIA Consortium 2016 - 2017

First ranking (liking)

During the ideas submission period and one week after (i.e. between May 03 and May 31), participants could also express their preferences regarding project ideas by way of giving "likes" (thumbs up) to ideas. In total, 2.300 'likes' were given.

Initial criteria check

Prior to the start of the PB, a number of criteria were defined and communicated for project ideas submitted by citizens. These were:

1. **Time:** The proposal must be able to be implemented within the next two years (period of the budget plan).
2. **Budget:** The investments for the proposal must not exceed 50.000 €.
3. **Responsibility:** The implementation must be in the scope of the city's responsibility.
4. **Common good:** The idea must contribute to the common good (i.e. it must not be dominated by private interests of single political parties or religious organisations).

Parallel to project ideas submission, the municipality did an initial criteria check on all proposals, focusing notably on the first three criteria (and leaving the evaluation of the fourth to the common good check in the citizen assembly, see Phase 2). In the back office, they could define the status of each submitted idea. Ideas classified as 'did not pass the initial criteria check' were moved to an archive where they were still visible but no longer open for 'liking'. The status of each idea was made transparent in a 'status list' for each proposal.

The aim of the initial criteria check was to exclude ideas that did not fulfil the basic criteria from the further discussion and ranking.

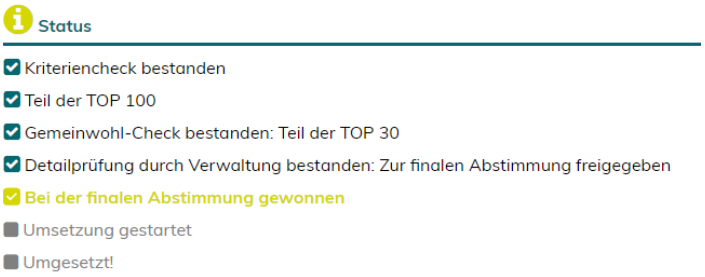


Figure 8: Screenshot of 'status list' generated for each proposal

Result of phase 1

The aim of phase 1 was to achieve a ranking of the TOP 100 project ideas that move on to further evaluation and filtering in the citizen assembly. Since 10 ideas had the exact same number of 'likes', the result of phase 1 was a list of the TOP 109 project ideas out of a total of 267 submitted project ideas.

In preparation of the common good check, the TOP 109 project ideas were exported to a printable PDF format via the back office of the EMPATIA platform.

Copyright © EMPATIA Consortium 2016 - 2017

3.6.2 Phase 2: Common good check and municipal review

Common good check at citizen assembly

On June 7, 2017, i.e. a week after the end of phase 1, a citizen assembly facilitated by pilot partner Zebralog took place in Wuppertal (in a local school). The aim of the citizen assembly was for citizens to prioritize the ideas collected online according to their contribution to the common good, and thereby perform a further filtering of project ideas to a list of TOP 30. The main reason why this filtering was not done exclusively online was that online rating may privilege ideas from associations and citizens with a large network of friends. With an on site assembly it was possible to use a method that would move the focus from personal interests to the common good. In the framework of EMPATIA, Zebralog and the municipality of Wuppertal thus developed a new facilitation method for a 'common good check' performed by citizens.

The event started with a presentation by the Wuppertal Institute / Transzent Centre for transformation research and sustainability. They presented their definition of 'the common good', including twelve dimensions of 'the good life'. Amongst these dimensions are housing and infrastructure, security, education and community, for example. These categories were also already used in the first phase as part of the form to submit project ideas. A list of criteria for measuring the common good was handed out to all citizens present at the assembly.

Figure 9: Citizen Assembly in Wuppertal

About 170 citizens attended the event. People who knew each other were asked to sit at different tables. In total, there were 20 tables with five to eight citizens each. In four rounds of 20 minutes each, each table was given a set of five ideas that were randomly compiled. Participants at each table were asked to review these ideas and discuss them from the perspective of their benefit for the common good. They were then asked to rank the ideas by giving them points from one to five. One point meant the lowest and five points the highest benefit for the common good. The random compilation of project ideas had been prepared beforehand so that it was ensured that every idea was evaluated exactly four times. During the group discussions and ranking, every group developed their own system: While some worked closely with the common good criteria from the Wuppertal Institute, others discussed rather freely. After every round, the evaluation results were collected from the 20 tables and all results were entered into an Excel sheet by employees of the municipality while the next round took place.

Thereby, the event ended with a presentation of the results of the common good check. Since three project ideas ended up with the exact same total number of points, the result was a list of the TOP 32 project ideas. These 32 ideas went on to the detailed municipal review.

The results of the common good check were published on the EMPATIA Wuppertal platform immediately after the event, including an update of the status of each proposal.

Copyright © EMPATIA Consortium 2016 - 2017

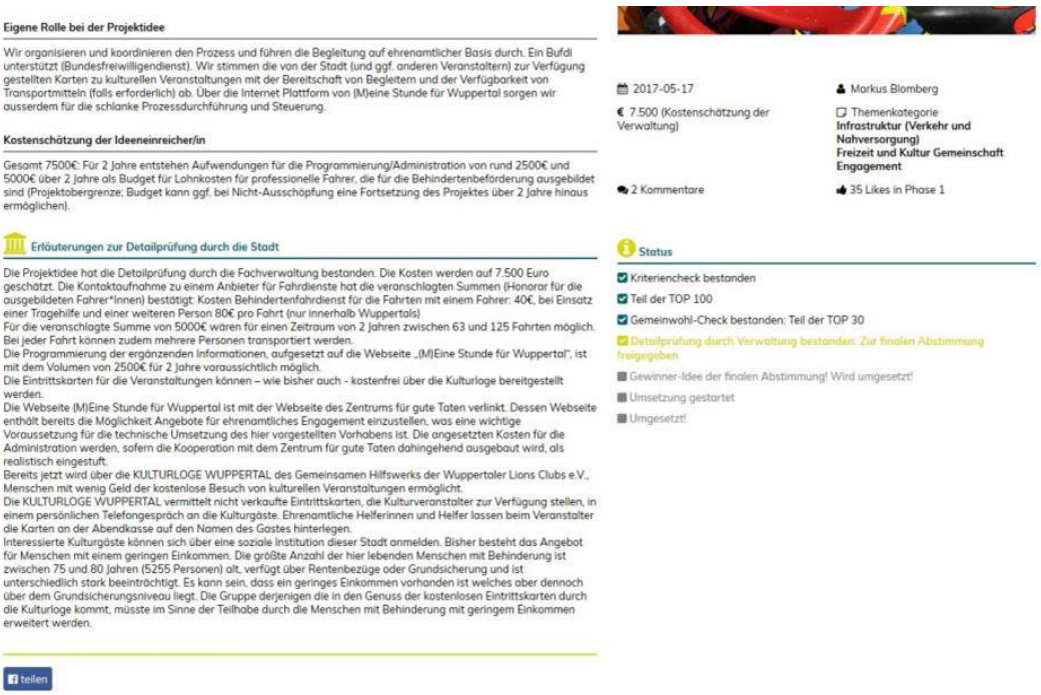
Figure 10, 11 and 12: Citizen Assembly in Wuppertal

Detailed municipal review

The municipal review phase started right after the citizen assembly on June 8, and ended on August 31. Coordinated by the Wuppertal department of participation, the TOP 32 project ideas went to different specialist technical departments within the municipality in order to review and evaluate them, focusing on an analysis of practicability and costs. For those ideas among the TOP 32 that did not pass the detailed review (mostly because a closer look at the costs revealed that their implementation would exceed the 50.000 €), ideas on ranks 33 to 48 from the common good check moved up to the municipal review. In total, 48 project ideas were reviewed in detail by the municipality. 13 ideas did not pass the review and four ideas were merged into one idea (that passed) because they were classified as very similar by the municipality. The result was a list of the TOP 32 project ideas that passed the detailed municipal review and therefore moved on to the voting phase.

The results of the detailed municipal review were published on the EMPATIA Wuppertal platform, including an update of the status of each project idea and detailed explanations regarding the review result specifically for each of the 48 proposals. A list of the TOP 32 project ideas (translated to English) is available in the Appendix.

Copyright © EMPATIA Consortium 2016 - 2017



Eigene Rolle bei der Projektidee

Wir organisieren und koordinieren den Prozess und führen die Begleitung auf ehrenamtlicher Basis durch. Ein Bufdi unterstützt (Bundesfreiwilligendienst). Wir stimmen die von der Stadt (und ggf. anderen Veranstaltern) zur Verfügung gestellten Karten zu kulturellen Veranstaltungen mit der Bereitschaft von Begleitern und der Verfügbarkeit von Transportmitteln (falls erforderlich) ab. Über die Internet Plattform von (M)eine Stunde für Wuppertal sorgen wir ausserdem für die schlanke Prozessdurchführung und Steuerung.

Kostenschätzung der Ideeneinreicher/in

Gesamt 7500€: Für 2 Jahre entstehen Aufwendungen für die Programmierung/Administration von rund 2500€ und 5000€ über 2 Jahre als Budget für Lohnkosten für professionelle Fahrer, die für die Behindertenbeförderung ausgebildet sind (Projektobergrenze; Budget kann ggf. bei Nicht-Ausschöpfung eine Fortsetzung des Projektes über 2 Jahre hinaus ermöglichen).

Erläuterungen zur Detailprüfung durch die Stadt

Die Projektidee hat die Detailprüfung durch die Fachverwaltung bestanden. Die Kosten werden auf 7.500 Euro geschätzt. Die Kontaktaufnahme zu einem Anbieter für Fahrdienste hat die veranschlagten Summen (Honorar für die ausgebildeten Fahrer*Innen) bestätigt: Kosten Behindertenfahrdienst für die Fahrten mit einem Fahrer: 40€, bei Einsatz einer Tragehilfe und einer weiteren Person 80€ pro Fahrt (nur innerhalb Wuppertals)
Für die veranschlagte Summe von 5000€ wären für einen Zeitraum von 2 Jahren zwischen 63 und 125 Fahrten möglich. Bei jeder Fahrt können zudem mehrere Personen transportiert werden.
Die Programmierung der ergänzenden Informationen, aufgesetzt auf die Webseite „(M)Eine Stunde für Wuppertal", ist mit dem Volumen von 2500€ für 2 Jahre voraussichtlich möglich.
Die Eintrittskarten für die Veranstaltungen können – wie bisher auch - kostenfrei über die Kulturloge bereitgestellt werden.
Die Webseite (M)Eine Stunde für Wuppertal ist mit der Webseite des Zentrums für gute Taten verlinkt. Dessen Webseite enthält bereits die Möglichkeit Angebote für ehrenamtliches Engagement einzustellen, was eine wichtige Voraussetzung für die technische Umsetzung des hier vorgestellten Vorhabens ist. Die angesetzten Kosten für die Administration werden, sofern die Kooperation mit dem Zentrum für gute Taten dahingehend ausgebaut wird, als realistisch eingestuft.
Bereits jetzt wird über die KULTURLOGE WUPPERTAL des Gemeinsamen Hilfswerks der Wuppertaler Lions Clubs e.V., Menschen mit wenig Geld der kostenlose Besuch von kulturellen Veranstaltungen ermöglicht.
Die KULTURLOGE WUPPERTAL vermittelt nicht verkaufte Eintrittskarten, die Kulturveranstalter zur Verfügung stellen, in einem persönlichen Telefongespräch an die Kulturgäste. Ehrenamtliche Helferinnen und Helfer lassen beim Veranstalter die Karten an der Abendkasse auf den Namen des Gastes hinterlegen.
Interessierte Kulturgäste können sich über eine soziale Institution dieser Stadt anmelden. Bisher besteht das Angebot für Menschen mit einem geringen Einkommen. Die größte Anzahl der hier lebenden Menschen mit Behinderung ist zwischen 75 und 80 Jahren (5255 Personen) alt, verfügt über Rentenbezüge oder Grundsicherung und ist unterschiedlich stark beeinträchtigt. Es kann sein, dass ein geringes Einkommen vorhanden ist welches aber dennoch über dem Grundsicherungsniveau liegt. Die Gruppe derjenigen die in den Genuss der kostenlosen Eintrittskarten durch die Kulturloge kommt, müsste im Sinne der Teilhabe durch die Menschen mit Behinderung mit geringem Einkommen erweitert werden.

teilen

2017-05-17
Markus Blomberg
€ 7.500 (Kostenschätzung der Verwaltung)
Themenkategorie
Infrastruktur (Verkehr und Nahversorgung)
Freizeit und Kultur Gemeinschaft Engagement
2 Kommentare
35 Likes in Phase 1

Status

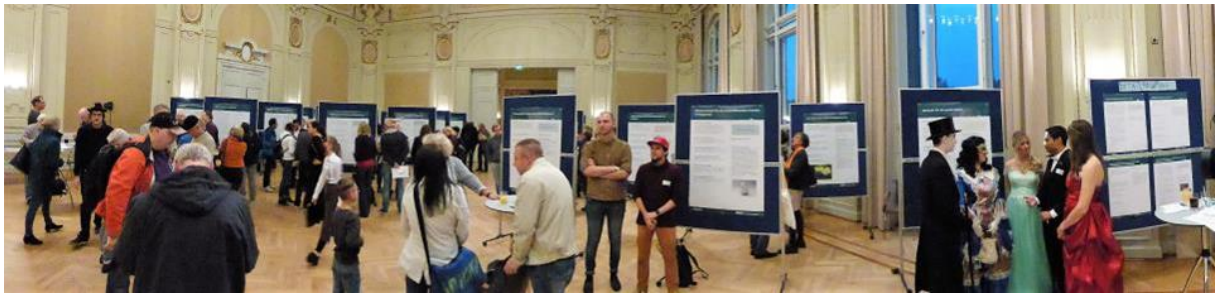
- Kriteriencheck bestanden
- Teil der TOP 100
- Gemeinwohl-Check bestanden: Teil der TOP 30
- Detailprüfung durch Verwaltung bestanden: Zur finalen Abstimmung freigegeben
- Gewinner-Idee der finalen Abstimmung! Wird umgesetzt!
- Umsetzung gestartet
- Umgesetzt!

Figure 13: Example of a result of a technical review published online

3.6.3 Phase 3: Voting and implementation

Voting party

The voting party on September 14, 2017, in the Historic Town Hall was the kick-off of phase 3. The event was opened by treasurer Dr. Johannes Slawig and Lord Mayor Andreas Mucke in an interview with Michelle Ruesch from Zebralog about the results of the municipal review, their impression of the process so far, and the next steps. Subsequently the about 120 citizens present were invited to visit the 'exhibition of ideas opened for voting'. For the gallery, each of the TOP 32 project ideas had been printed to a DIN A0 poster format. All idea submitters had been invited by e-mail to present their project ideas in this gallery at the voting party. To promote their ideas, some of them came dressed up in costumes, brought specific materials, flyers for their ideas, and the like.



Copyright © EMPATIA Consortium 2016 - 2017

Figure 14 and 15 : Voting party in Wuppertal

Moreover, there was a separate section in the room in which proposals that did not pass the municipal review were exhibited. Municipal staff were present to answer questions about the review. This was seen as important for reasons of accountability.

Next to the exhibition, a voting desk with two ballot boxes was installed and looked after by staff from the department of participation. Each attendee received vote materials that consisted of an explanation page, a sheet for personal information (name, e-mail, age, gender, postal code, education) and consent form with signature - for verification and evaluation purposes, and a sheet with the titles of the TOP 32 projects and the possibility to 'tick' a maximum of five of them (i.e. vote for them). In order to later reconnect the information on demographics with the information of the voting - something necessary for evaluation purposes - a unique identical number was given to each set of sheets. However, to allow anonymous voting, the sheets were collected in separate boxes.

Figure 16 and 17: Voting party in Wuppertal (2)

Subsequently, all paper ballots were entered in the EMPATIA Wuppertal platform by Zebralog and the municipality via the back office so that the platform combined all voting results in one channel.

Copyright © EMPATIA Consortium 2016 - 2017

Voting on site during town hall office hours

Due to large request to provide more than one possibility to vote on site, the municipality offered subsequently to the voting party the possibility to vote during their opening hours between September 14 and 22, as well as in the last days of the online voting (October 4 and 5). These ballots were later submitted online by the municipality as well, just as the ballot papers collected at the voting party.

Voting online

Online voting was possible between September 14 and October 5. Just as on site with the paper vote, the online voting was conducted as a secret vote, something that is unusual for German PB online voting (where usually the ranking of ideas can be seen at all times, not only after the end of the voting phase).

Users first had to verify their account by mobile phone (SMS), something else that has not been done before in any PB process in Germany, probably due to the fact that user verification is not as important in consultative processes. In case users did not have a mobile phone number, they were asked to contact Zebralog with their landline number for manual verification; Zebralog then called these people on their landline number and gave manual voting permissions to these users' accounts via the back office.

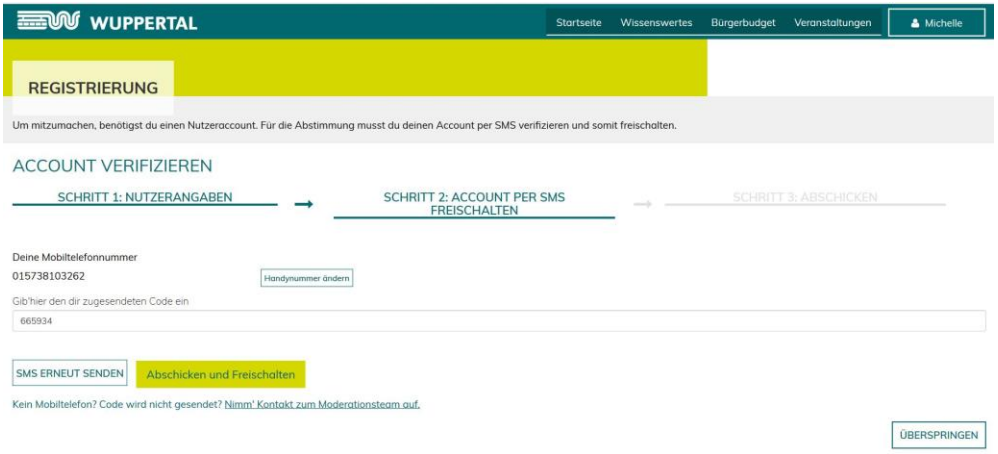


Figure 18: SMS verification in Wuppertal

As soon as users had verified their account, they were allowed to select up to five project ideas and to add them to their personal ballot. Before submitting their final ballot, they could review it and change it again, if wanted. The voting model online thus worked similar to an online shopping cart, a model well known to users. Of a total of 5.326 votes, 4.761 votes were submitted online.

Copyright © EMPATIA Consortium 2016 - 2017

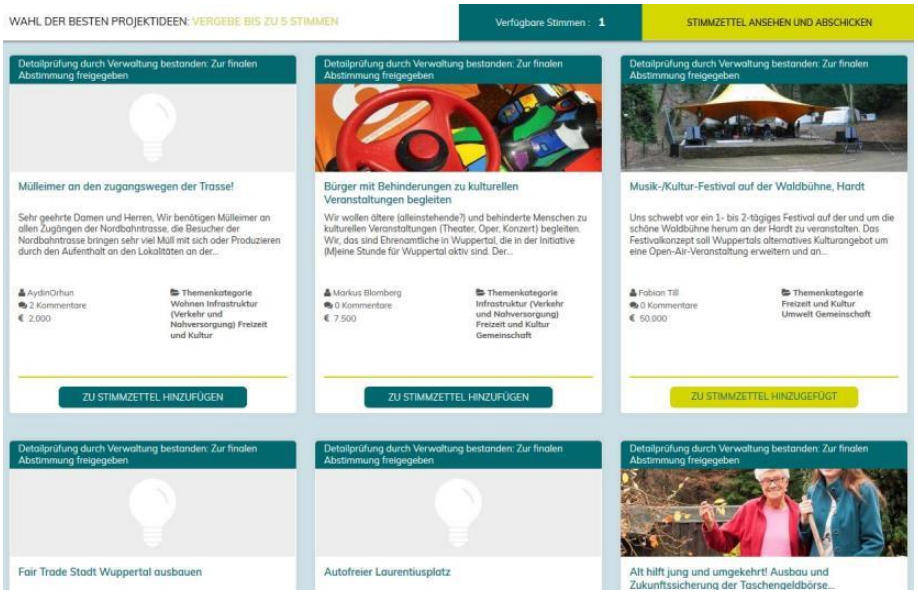


Figure 19: Voting online in the Wuppertal pilot (Screenshot)

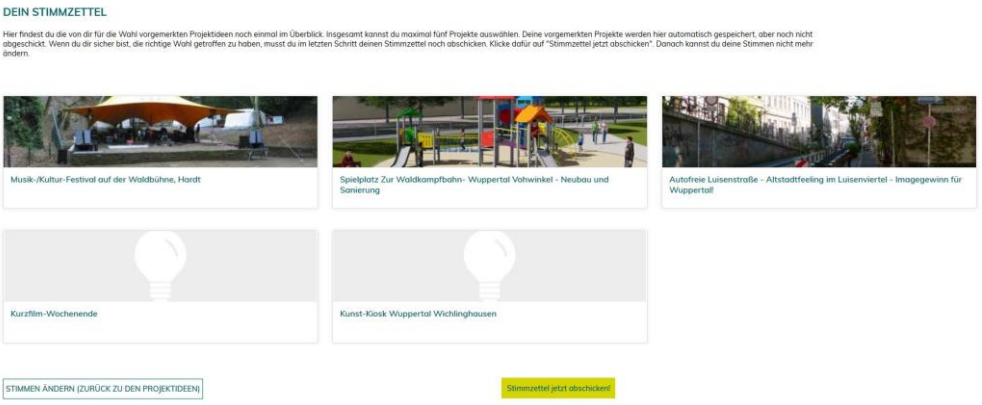


Figure 20: Personal online voting ballot in the Wuppertal pilot (Screenshot)

Publication of winning projects

The result of the voting was published on October 16. It was decided not to publish the winning projects immediately after the end of the voting (which would have been possible from the technical side) since the municipality wanted to announce the results at their weekly press conference, and invite the project submitters from the winning projects to it (with the request to keep the result a secret until October 16). Parallel to the press conference, the status of all ideas from the voting phase was updated online, and the technical phase switched to the visualisation of the voting results.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 22: Some of the winners of the Wuppertal PB, with major (middle) and treasurer (right)

1,627 people participated in the vote. The winning ideas were:

1. Building and restoring of a local playground (50.000 €, 524 votes)
2. Urban Gardening project (50.000 €, 357 votes)
3. Creation of a car free zone in a local street (17.000 €, 331 votes)
4. Benches along a train railway (10.000 €, 263 votes)
5. Financial support to a 'pocket money exchange project', connecting youth and elderly (15.300 €, 221 votes)
6. Education project against racism and antisemitism (7.200 €, 218 votes)

The idea at rank six was originally estimated by the municipality to cost 20.000 €. Since this would have exceeded the budget of 150.000 €, the costs were reevaluated and it was decided that the idea can still be implemented with 7.200 € with a more limited scope.

Implementation phase

The winning ideas will be included in the municipal budget plan for the budget period of 2018 and 2019. The implementation will start after the Council decision in 2018 and thus goes beyond the period of the EMPATIA project. An outlook on how the EMPATIA Wuppertal platform can be used also beyond the support of EMPATIA is given in the chapter on "Future use of the EMPATIA platform" (chapter 4.13).

Copyright © EMPATIA Consortium 2016 - 2017

3.7 Timetable

The timetable below gives an overview of all important dates of the pilot, including meetings and deadlines.

Task	Date
Contract	
First meetings with municipality	April & May 2016
Preparation of contract, pilot description, ethical terms	August 2016
Approval of pilot description by General Assembly	September 1, 2016
Contract signed by municipality	September 26, 2016
Process design (concept)	
Design workshop 1 (focus group 1 with citizens)	September 22, 2016
Design workshop 2 (with municipality)	October 6, 2016
Rough concept for PB process and platform	October 16, 2016
Detailed concept for PB process and platform	End of November
Final concept for PB process and platform	Early December
Ordinary resolution by financial board and city council	December 13 & 19 ,2016
Platform development & testing	
Screen designs (mock-ups)	February / March 2017
Platform ready for internal testing	Early April 2017
Translations & bug-fixing	Early April 2017
Texts ready for platform	Mid April 2017
Platform ready for testing by municipality/client	Mid April 2017
Launch of public EMPATIA pilot platform	May 01, 2017
PB process	
Start of campaign / information / mobilization	April
Ideas collection, commenting, ranking (liking)	Mai 03 - 24, 2017
Ranking only (liking)	May 25 - 31, 2017
Citizen assembly (Common good check)	June 07, 2017
Detailed municipal review (technical analysis)	June to August 2017
Voting party (Launch of voting phase)	Sept 14, 2017
Town hall voting	Sept 18 - 22, Oct 4 - 5, 2017
Voting online	Sept 14 - Oct 5, 2017
Publication of voting results (winners)	Oct 16, 2017
Evaluation	
Distribution of first round evaluation questionnaire (three mailing to users, paper distribution at citizen assembly and voting party, integration of link to survey in EMPATIA platform after submission of vote)	May to October 2017
Distribution of second round evaluation questionnaire (via e-mail to users who completed the first questionnaire)	November 2017
Evaluation meeting (focus group 2 with citizens)	November 8, 2017

Table 3: Timetable Wuppertal pilot

Details on the evaluation of the pilot can be found in the Deliverable 4.2.

Copyright © EMPATIA Consortium 2016 - 2017

The following Gantt chart visualises how intense some months were. It also shows the limited time for testing:

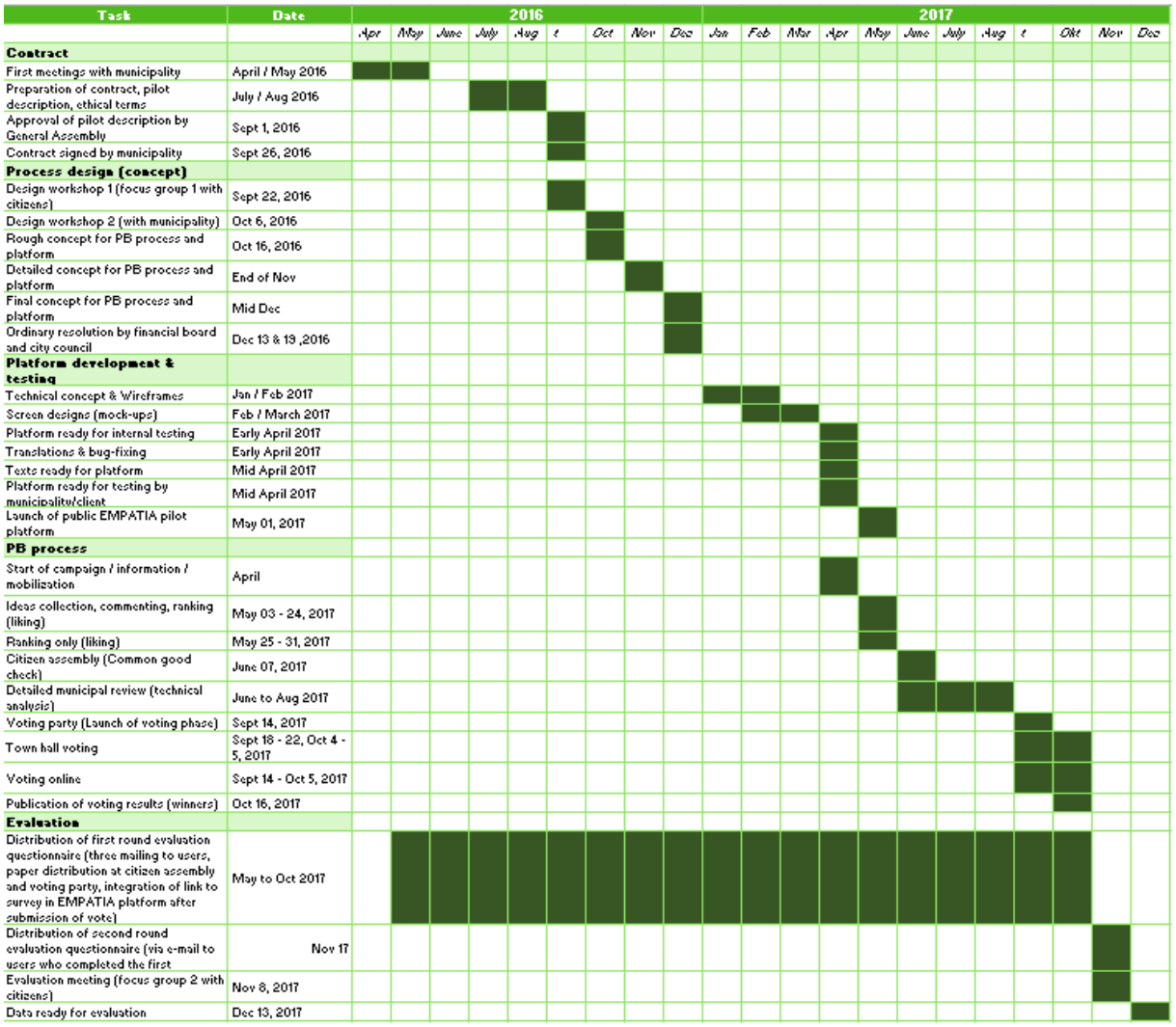


Table 4: Gantt chart for Wuppertal

3.8 Deviations from original planning

This chapter explains deviations from the original proposal and the original use case scenario and requirements as set out in Deliverable D1.4, as well as deviations from the planning which was presented in Deliverable 3.1.

3.8.1 Deviations from original proposal and use case scenarios (D1.4)

As mentioned in chapter 2.2, the change from pilot municipality Bonn to Wuppertal also had major implications on the requirements and goals set out for the pilot. As written in the original proposal to the EU, the main objective of the German pilot was supposed to "*implement the EMPATIA participatory budgeting platform as a Pilot in Bonn, exploiting the modularity of the EMPATIA PB framework and focusing on the management of multiple and duplicate proposals while ensuring sufficient feedback to citizens.*" (p. 49)

Copyright © EMPATIA Consortium 2016 - 2017

Firstly, by 'exploiting the modularity', it was meant to "*test the integration of specific parts and modules of the EMPATIA platform into the existing PB platform*" of the municipality of Bonn. This original objective had to be changed with the shift from Bonn to Wuppertal, since the municipality of Wuppertal was interested in using the whole EMPATIA platform, and did not have a preexisting PB platform.

Secondly, the 'management of multiple and duplicate proposals' concerned the challenge of many PBs to deal with large amounts of proposals. It has to be said that although the reduction of duplicates was also a requirement in the Wuppertal case, this issue was less prioritized in comparison to other requirements. The goal rather shifted to finding mechanisms, and common agreed guidelines, to reduce the number of proposals by way of filtering them through a face-to-face event with Wuppertal citizens (named: the 'common good check').

Finally, the objective of finding ways to 'ensuring sufficient feedback to citizens' was kept also for the case of Wuppertal, and was one of the highest priorities for both citizens and municipal staff (see chapter 3.3, 'Goals of municipal stakeholders').

Regarding deviations from the use case scenario and requirements formulated in D1.4 (see chapter 3.4, 'EMPATIA's objectives to be tested'), it can be said that while the use case scenario (assuming a consultative process) differed largely from the actual case, the objectives formulated at this early stage in the project were still prevalent also for the Wuppertal case, even though with some lower prioritized objectives (like the reduction of duplicate proposals):

1. ***Adapting the PB cycle to the EMPATIA model, adding face-to-face events and adding additional ICT tools/features like proposals versioning and SMS verification:*** The PB cycle was adapted to the EMPATIA model. Even though the second cycle could not be tested in the scope of the EU project, it was an integral part of the process design, and the municipality will be able to use the platform also for monitoring and status updates. Face-to-face events were added, and an SMS verification tested. Proposals versioning was ultimately not used because the phase of collaborative writing was eliminated from the process design.
2. ***Adding multichannel participation through face-to-face events for proposals submissions and evaluation, and multichannel voting:*** Two major face-to-face events were part of the project (citizen assembly and voting party). Proposal submission was offered on site through a mobile stall street campaign.
3. ***Increasing community building support and empowerment of participants to promote their proposals:*** This was allowed for notably through the voting party in which citizens were given a platform to promote their ideas, and to discuss them both with other citizens and with municipal staff.
4. ***Providing better support to the municipality managing the process, aimed at increasing accountability and improving monitoring of internal processes:*** As explained above, this was only achieved to a limited degree because due to time constraints the focus was not enough on the definition of administrative procedures, and they did not want to work with the EMPATIA platform for their internal review process.
5. ***Improving secure authentication of users and avoid fraud:*** To achieve this goal, SMS verification was tested in the Wuppertal PB.
6. ***Increasing support for mechanism and tools to avoid 'similar proposals', and ensure more transparency within the process for citizens:*** Although some basic measures to avoid similar proposals were taken (search function, filter according to topics), this objective was treated with lower priority compared to the other municipal objectives. The focus rather shifted to

Copyright © EMPATIA Consortium 2016 - 2017

developing methods to ‘filter’ from many proposals to a number that can be handled in a technical review - this was achieved with the common good check at the citizen assembly.

3.8.2 Deviations from the planning status as described in D3.1

A number of formats were originally foreseen for this pilot, and presented in Deliverable 3.1 but subsequently not followed up. These will be presented below.

Dialogue events on the municipal budget

Originally the basic concept of the whole process was planned to consist of three pillars: Information, Participation, and Dialogue. While the first two were put into practice, the third pillar was only addressed partially. Originally, it was seen to be important to provide citizens with some means to enter a dialogue with the city regarding the general municipal budget despite the minimal scope for participation due to a financially difficult situation. The municipality had thus planned to offer a number of face-to-face events in which citizens were supposed to get in direct touch with the head of the financial department and political representatives of different parties. Since the scope for actually implementing proposals regarding the general budget has shown to be very small in the past PB processes (not only in Wuppertal but also in many consultative PB processes throughout Germany), the idea was not to ask for citizen ideas online but rather discuss city priorities and citizen ideas directly face-to-face. There were also plans for an online questionnaire on priorities of city and budget planning. However, these formats were not implemented after all due to time constraints by the municipality. They are envisioned to be implemented in the next PB though.

Hackathon

It was originally planned by the municipality in cooperation with the Wuppertal Open Data Initiative OpenDatal and EMPATIA to organise a hackathon to develop new means of visualisation of the budget draft. This event was planned for August 2017. However, there were delays in the budget planning process and therefore the budget plan draft was not ready in time for a hackathon on it.

Co-creative proposal development and municipal review

Zebralog and the EMPATIA partners had originally recommended to the city of Wuppertal to supplement phase 2 with another phase of online discussion in which proposals could be further developed online. The idea was to build a tool in which questions from the facilitators and the municipality could be answered by citizens regarding project ideas, and answers could be included in the project ideas’ body. The aim would have been to increase the transparency and participation in the further development and technical review of the proposals, and also to facilitate a positive interaction between citizens and municipal staff without intensive face-to-face dialogue. However, due to scepticism by the municipality as to how many citizens would use such an offer and how time intensive this would be for the municipal staff, the city of Wuppertal preferred to have a more simple process without this second online discussion. Therefore, the municipal review phase did not have any participatory elements, except the fact that the municipality contacted ideas submitters by e-mail or phone when they had questions.

Use of kiosks and tablets at voting party

In the original concept, it was planned to use the EMPATIA voting kiosks and tablets at the voting party. However, because unlike in other pilots, the verification of users occurred via mobile phone and not via

Copyright © EMPATIA Consortium 2016 - 2017

passport number, the use of kiosks and tablets was regarded as not suitable because the process would have taken more time than with passport verification. The municipality thus decided to use paper votes on site only.

3.9 Dissemination strategies

The department of participation of the city of Wuppertal was responsible of the dissemination of mobilisation activities. EMPATIA/Zebralog provided consultancy on best practices in campaigning and public relations. Besides the conventional methods like flyers and posters, they also used the pilot for testing and implementing some more innovative ways of mobilising citizens, amongst them notably a local street campaign and an intense social media campaign.

Press and media relations

It can be said that the project received remarkably lots of and positive attention by the press and media. Press releases were sent before each important step in the process. The process was covered by local newspapers and several TV stations which were present at both face-to-face events. You can find a detailed account of all press coverage in the Deliverable D5.4.

Mailings

Participants who registered on the pilot platform received two e-mails with updates in each phase of the process. The mails were prepared by Zebralog and sent out via the back office of the EMPATIA platform. They served notably to remind those who were already involved in the process in the past of upcoming events and phases.

Posters and postcards

Based on the design of the online platform which was created by OneSource in close consultation with the municipal team and Zebralog, the municipality created postcards and posters to be distributed city-wide. They created two different sets of posters and postcards, one announcing the first phase and the citizen assembly, and the second one announcing the voting.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 23: Poster used for the dissemination of the Wuppertal PB

Youtube videos

In cooperation with the local youth media group *Younect*, a number of videos were produced and uploaded on Youtube. Amongst the video was one general promotion video of participating in the PB (also published on the homepage of the pilot platform), and several videos in which teenagers interview the treasurer, asking questions about the municipal budget. The Youtube videos were an integral part of the social media campaign since videos are shared a lot via social networks and tend to spread more than simple text.

Figure 24: Screenshot of a Youtube video of the Wuppertal PB

Copyright © EMPATIA Consortium 2016 - 2017

Facebook and Twitter

The municipality used the social networks Facebook and Twitter intensively to post information and news about the PB process. A Facebook page was set up for the project by Zebralog and then further administered and used by the municipality. They also created special event pages for the two on site events (citizen assembly and voting party). During the summer months, they promoted one project idea a day. In the face of events, they published short videos about how to get to the location, for example.

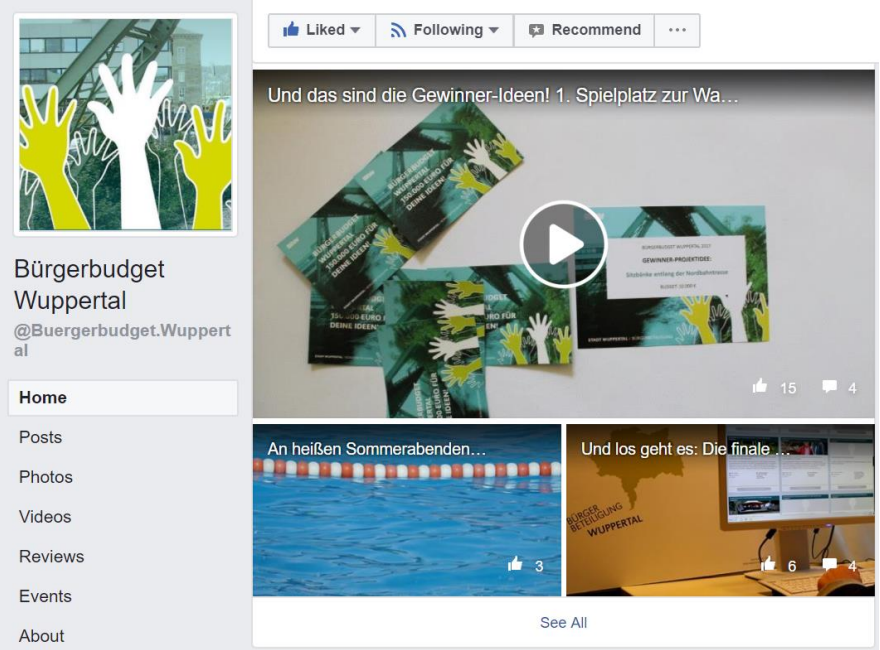


Figure 25: Screenshot of Wuppertal PB facebook page

The Facebook page is available on https://www.facebook.com/Buergerbudget.Wuppertal/

The municipal team also used twitter intensively for communication. For that, they did not open a separate twitter account but they used the account of the department of participation: @Talbeteiligung, https://twitter.com/Talbeteiligung

Work with multipliers

Another important pillar of the dissemination strategy was the work with multipliers like the Wuppertal youth council, the local youth media group Younect, and the citizen steering group that had been involved already in the design phase of the process (during the focus group workshop). The municipality worked closely with these contacts, and engaged them as multipliers for the project.

The municipality also wrote a letter to all schools, offering to present the project in school classes, or to provide more information materials. Unfortunately, the response from schools was very low so that no presentations were held in schools after all.

Street campaign

In the first two weeks of phase 1, a team from the department of participation of Wuppertal and Zebralog showed their presence locally in the Wuppertal streets. They got in touch with the people passing by, distributed postcards and collected project ideas.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 26: Street campaign with mobile stand in Wuppertal

Municipal website

Lastly, Wuppertal's involvement in EMPATIA was publicly announced in September 2016 and has since been documented on the municipal website of Wuppertal:

https://www.wuppertal.de/microsite/buergerbeteiligung/verfahren/content/Buergerhaushalt.php

3.10 Role of EMPATIA

As the German pilot partner, Zebralog supported the whole process of PB in the city of Wuppertal. In the contract with the city of Wuppertal, the services by Zebralog were defined as the following:

Services by Zebralog	PM dedicated (originally estimated)
Coordination & project management	2
Participatory process design	2
Focus group workshop	0,5
Online facilitation, online editing and translations	1,5
Facilitation of on-site formats	1
(Statistical) evaluation	0,5
Training	0,5
Consulting	2

Table 5: Services by Zebralog (PM = Person Month)

The pilot platform was developed as part of WP2 by software developer OneSource. The work with the pilot platform was more resource intensive than originally expected; therefore the numbers above just give an indication of the originally envisioned distribution, not of the actual resources spend.

Copyright © EMPATIA Consortium 2016 - 2017

Besides the responsibilities by pilot partner Zebralog, EMPATIA also engaged in an evaluation of the process, with two sets of questionnaires (before and after the vote) and two focus groups. These tasks were completed in close cooperation with partners CES and University Brunel. The results of the evaluation will be covered in Deliverable 4.2.

The responsibilities of the municipality were notably campaigning / marketing, initial criteria check and technical review, organisation of events, provision of information on municipal budget, coordination of citizen steering group, and updating of information on the pilot platform.

3.11 Technology used

The EMPATIA platform **www.buergerbudget.wuppertal.de** was used as the main channel bringing everything together, not only regarding the particular PB process but also regarding information and dialogue about the municipal budget. The platform was thus used as a showcase for the financial department, with the aim to provide easy to understand information about the municipal budget, with videos (produced by the local youth media initiative YouNect), info articles, FAQ and a quiz. The platform also provides a space for events related to the municipal budget and or the PB process.

Besides a space for information, the EMPATIA platform was intensively used for participation in all phases of the PB process. It was embedded as key element in a multichannel process. In phase 1, it was used for submission of ideas, commenting, and expression of preferences (liking). In phase 2, it was notably used for transparency and information, with up to date information on the results of the common good check and the municipal review. In phase 3, users could vote for their personal top five project ideas. For the voting, a method similar to a shopping cart was used, something as new for German PB as the SMS verification which was another key feature tested in the EMPATIA platform. As in the first phase, all results (=votes) collected on site were integrated online so that at the end of the voting the combined results of all votes (online and on site) was available immediately. The back office features were used by pilot partner Zebralog and the Wuppertal team mainly to add and edit content, update the project ideas status', receive information on statistics, send out mailings to participants, and to review and facilitate comments.

A back office manual was written by Zebralog (in German) with the support of OneSource. Since the platform was still further developed throughout the process, the manual was updated again before the voting phase.

3.11.1 Structure and features of the pilot platform

The pilot platform was developed and configured by OneSource based on the requirements formulated in the detailed concept developed collaboratively with citizens and the municipality, some basic wireframes developed by Zebralog, and the mock ups by OneSource. The following will give a more detailed account of how the EMPATIA platform was used and structured, and which EMPATIA features were used. The Wuppertal platform used most of the core features of the EMPATIA platform. However, the design and parts of the features were also customized to the specific requirements of the pilot.

The main menu structure was the following, with four main menu items ("home", "worth knowing", "participatory budget", "events") and a menu item leading to the login and registration page:

Copyright © EMPATIA Consortium 2016 - 2017

Figure 27: Main menu items on buergerbudget.wuppertal.de

The footer menu bar contains contact information, sharing buttons to facebook and twitter, reference to EU and EMPATIA, and several footer menu items: Terms of use, data privacy regulations, imprint, dialogue rules.

Figure 28: Footer menu on buergerbudget.wuppertal.de

To get a better understanding of the structure of the pilot platform, the content of the main menu items and the respective use of features will be explained in the following.

Homepage

The homepage is the entry point to the website. It shows a big banner with the slogan. Some basic explanatory text and an introduction video are part of the homepage. Moreover, the most recent two news articles as well as the next two events are presented, and a couple of quiz questions invite users to start thinking about the municipal budget.

The page was structured using the EMPATIA ***CMS module 'pages'*** which allows to define the placing of videos, texts, buttons etc. For the news and events, the respective content types of the EMPATIA platform were used and edited by Zebralog and the municipality. The quiz was implemented and customized via the ***questionnaires tool*** of the EMPATIA platform.

Copyright © EMPATIA Consortium 2016 - 2017

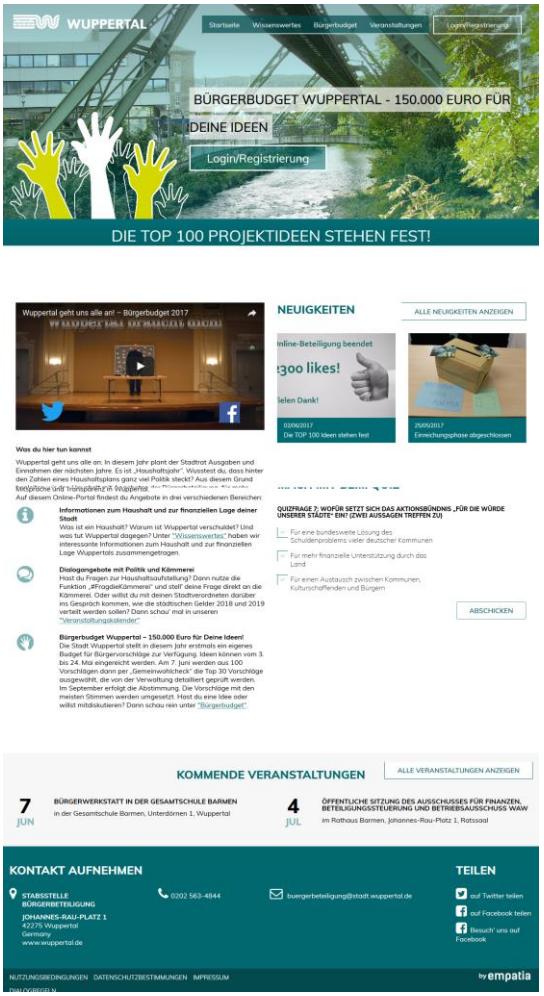


Figure 29: Screenshot of the homepage of buergerbudget.wuppertal.de

Worth knowing

The page "worth knowing" is the space for all information on the municipal budget. It contains embedded youtube videos, a number of articles, FAQs, an area to download documents, and a link to the page "ask the treasurer" on which questions could be asked and answered by the municipality (***EMPATIA features 'questions and answers'***).

Technically, the ***CMS module "pages"*** was used for this page (same as for the homepage). While the design was customized by OneSource for Wuppertal, the content editing was performed by Zebralog and the municipality. For the FAQs and info articles, specific content types '***articles***' and '***FAQ***' were used.

Copyright © EMPATIA Consortium 2016 - 2017

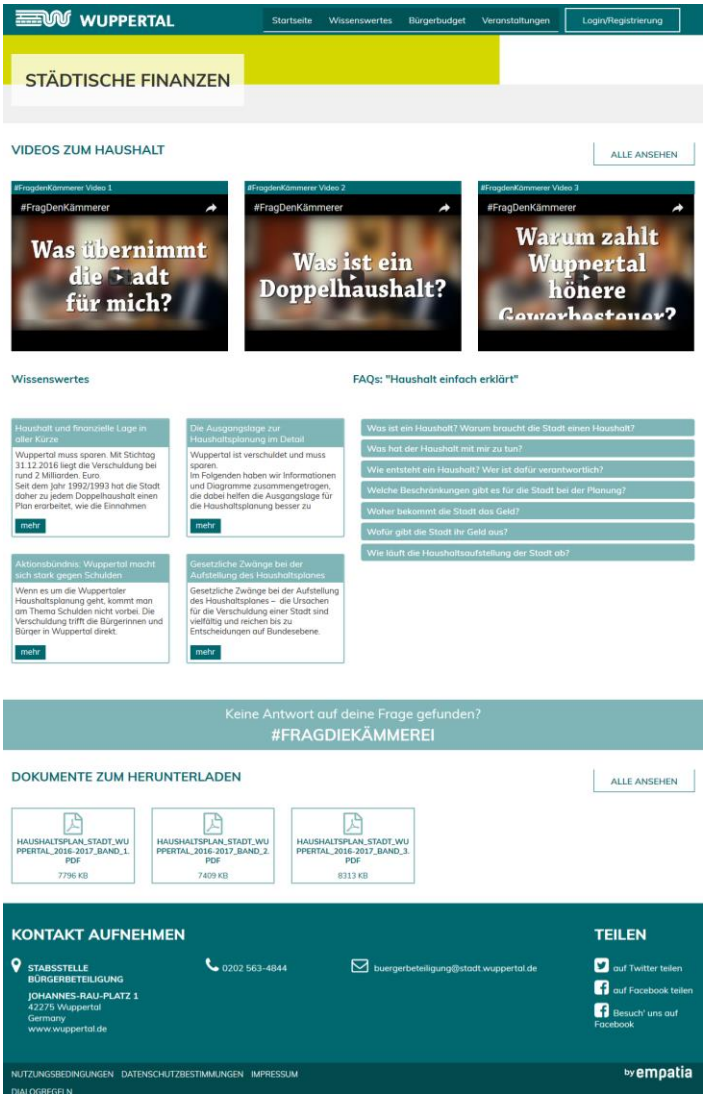


Figure 30: Screenshot of page 'worth knowing' on buergerbudget.wuppertal.de

Participatory Budgeting

The core of the website is the page under menu item "participatory budgeting". The first part shows a process visualisation of the three phases, an introductory text, some statistics and a link to the FAQ about the PB. The content on this page could be edited by Zebralog and the municipality via the ***translations tool*** of the EMPATIA platform.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 31: Screenshot of first part of PB page on buergerbudget.wuppertal.de

The text part is followed by a visualisation of the project ideas which can be filtered according to the status of project ideas and topic categories. A search button allows to search for specific ideas.

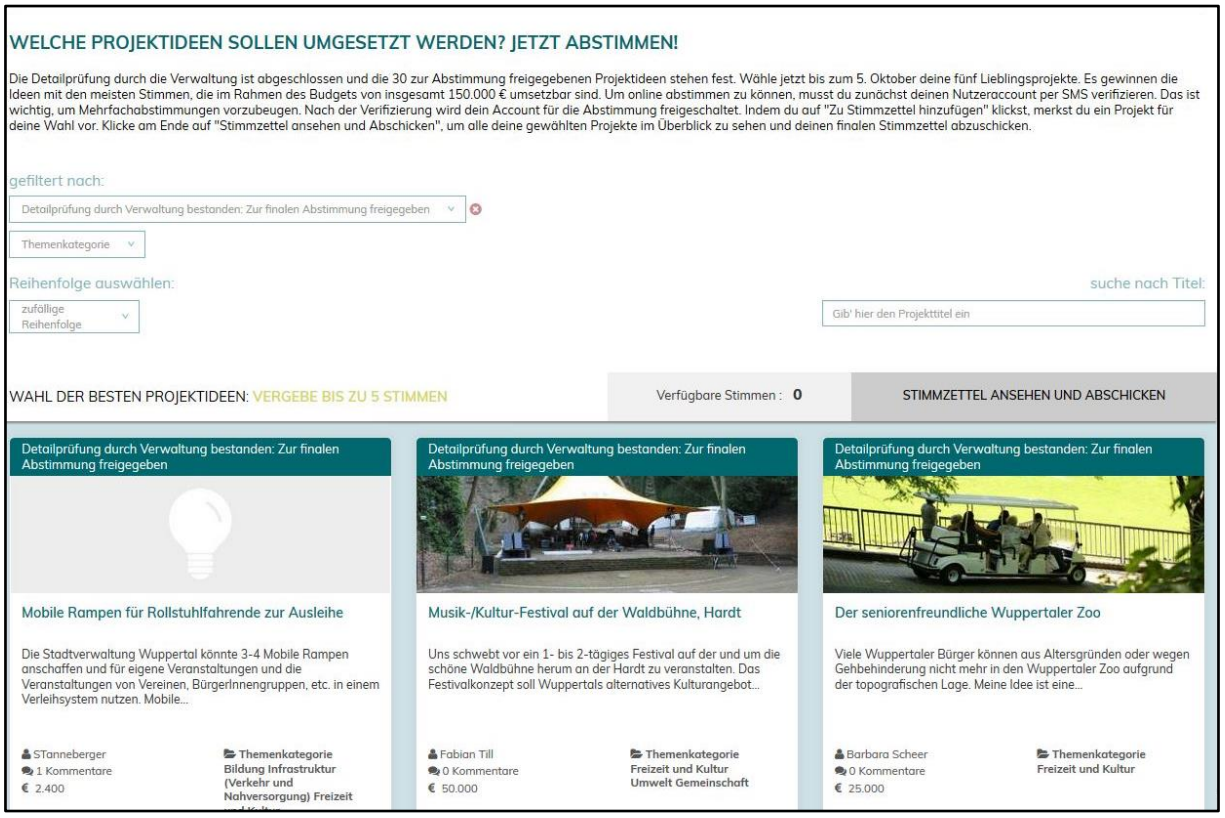


Figure 32: Screenshot of second part of PB page on buergerbudget.wuppertal.de

Copyright © EMPATIA Consortium 2016 - 2017

Technically, different phases were defined for the visualisation and functionalities of the PB. While OneSource customized the design and supported the phase switches, the project ideas parameters (categories and fields) could be set and defined by the project managers (Zebralog and the municipality) themselves.

The technical basis of this interactive part of the platform are the ***EMPATIA PAD's***, enabling the ***submission and visualisation of ideas.*** Different features within the PAD's were used in different phases of the process, notably ***comments*** and ***PDF exports*** by project managers in phase 1 (via the back office).

EMPATIA voting features were used in the first phase (***likes***) and third phase (***multi vote***). Moreover, the ***in person registration*** was used to integrate paper votes on the platform in the voting phase.

The use of the PADs and interactive features were customized specifically to the requirements of the Wuppertal pilot, notably regarding the use of only one PAD for all phases of the process. This was done in order to enable a filtering of project ideas according to status categories.

Registration / Verification

User registration was done via a form, asking for name, e-mail-address, password (and password confirmation), gender, education, age, postal code, and confirmation of terms of use and data privacy regulations. In the first and second phase, only ***e-mail verification*** was required to participate.

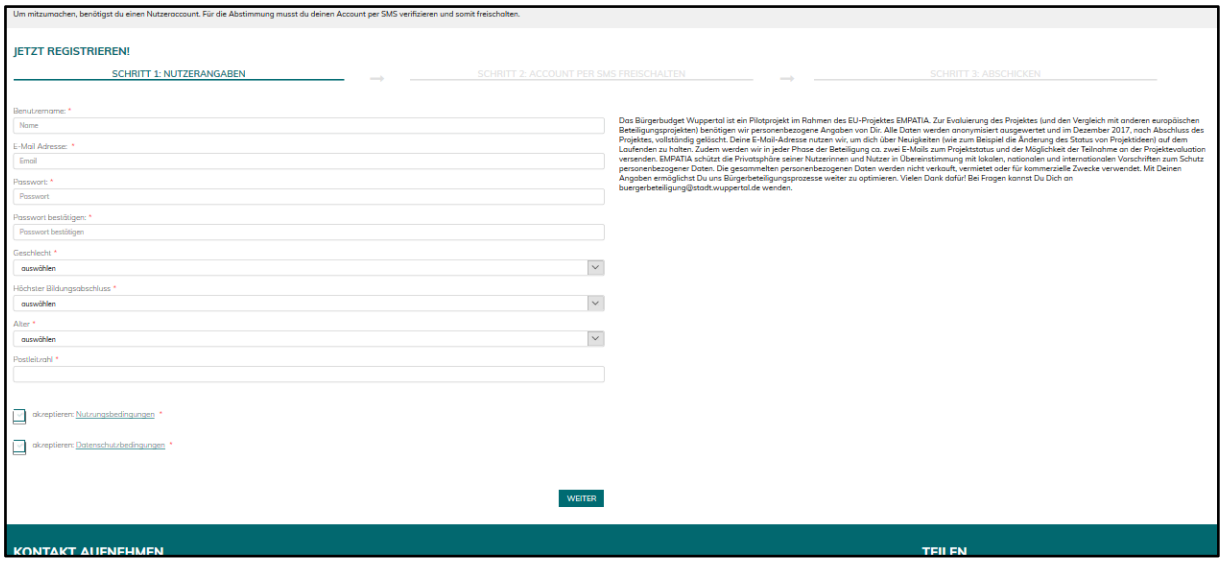


Figure 33: Screenshot of registration page on buergerbudget.wuppertal.de

Since initially some participants complained about not finding the registration form, two prominent buttons were added on the homepage, leading to registration and login form:

Copyright © EMPATIA Consortium 2016 - 2017

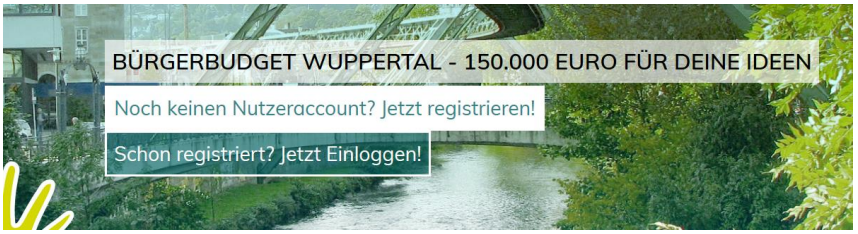


Figure 34: Screenshot of prominent Registration and Login Button

In the third phase, the registration form was extended to a step-by-step registration because ***SMS verification*** was added to the user registration. Only users that verified their account via mobile phone number were granted permission by the system to vote. However, user verification could also be done manually by project managers in the back office, enabling manual verification via landline calls.

Figure 35: Screenshot of SMS verification on buergerbudget.wuppertal.de

Technically, the registration was based on the component ***EMPATIA Auth***. User levels and permissions were configured per phase.

Back office

Different levels of user permissions and groups can be defined with the EMPATIA platform's ***users and groups management feature***. For the Wuppertal pilot, Zebralog and Wuppertal staff received 'project manager' permissions, enabling them notably to work with the ***CMS system for configuration and content editing*** and the ***translations tool***, but also to access ***vote, user and platform analytics***, to write ***e-mails*** to single users and to send mailings to all users (***newsletter, notify***). Via the back office, project managers could also ***moderate the comments*** (see flagged comments, approve or disprove comments).

The ***dynamic menu backoffice*** of the EMPATIA platform was used, enabling a customized configuration of the backoffice dashboard.

Copyright © EMPATIA Consortium 2016 - 2017

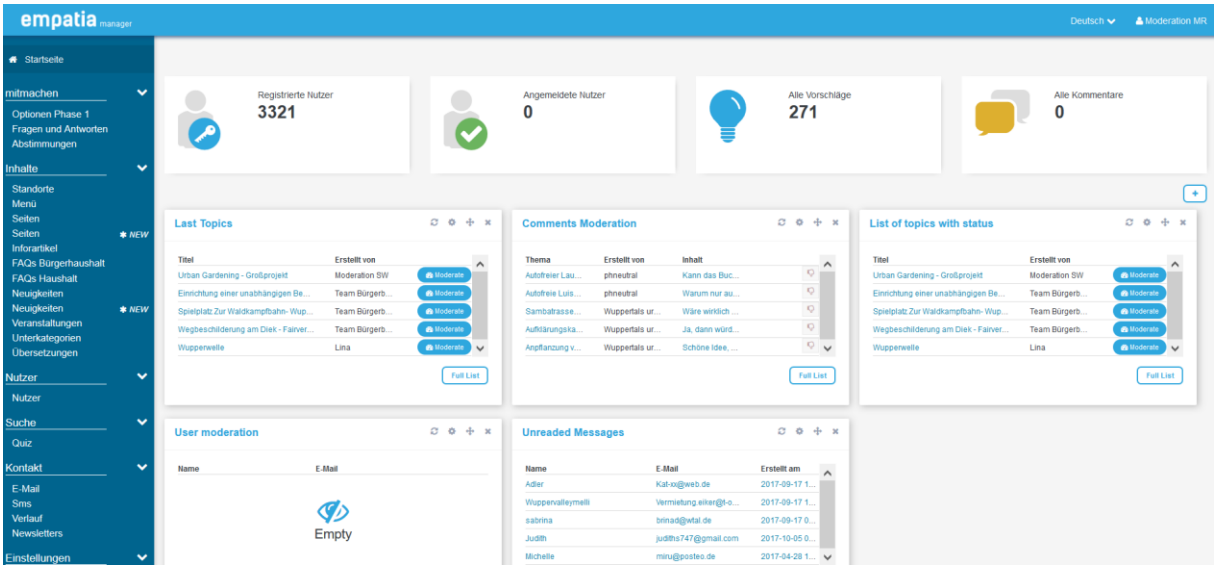


Figure 36: Screenshot of backoffice dashboard on buergerbudget.wuppertal.de

You can find an overview of all EMPATIA features used in the Appendix.

An evaluation of the platform will be presented in the chapter on 'Pilot platform evaluation' (chapter 3.14).

3.12 Pilot results in numbers

This section of the pilot report will first give an overview of the results of the pilot in numbers, and then add an interpretation of the results in view of the originally defined goals for this pilot.

The following are key statistics of the pilot:

- Between May 01 and November 15, 2017, the platform was ***visited 22.145 times*** by a total of ***18.623 unique visitors***.
- As at November 15, 2017, there were ***3.229 registered users*** on the platform.
- ***267 project ideas*** were submitted.
- ***157 comments*** were written and ***2.300 likes*** given to project ideas in phase 1.
- ***1.627 people*** participated in the final vote, submitting a total of ***5.326 votes***. 4,761 of the votes were submitted online (3,498 via PC, 932 via smart phone, and 331 via tablet). 565 votes were submitted on paper.
- About ***170 citizens attended the citizen assembly***, and about ***120 citizens attended the voting party***.
- 115.703 page views (of them 66.844 unique page views) were registered in that period.
- The average time spent on the website was ***6 minutes and 48 seconds***.

The following graph clearly shows peaks of visits during the two main phases of participation, phase 1 from May 3 - 31 and phase 3 from September 14 to October 5:

Copyright © EMPATIA Consortium 2016 - 2017

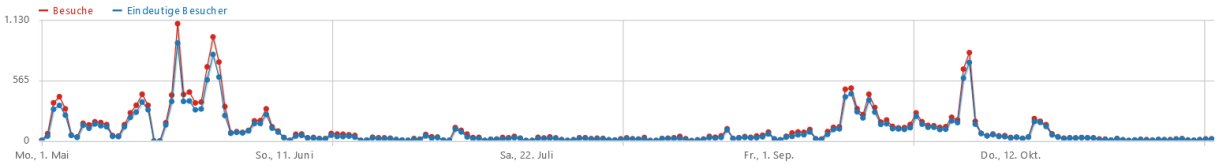


Figure 37: Visits (red) and unique visitors (blue) on buergerbudget.wuppertal.de

An analysis of user demographics shows that the proportion of male and female participants is relatively balanced (46% male, 52% female, 2% other). Regarding education, almost half of the participants have a university degree (46% "superior") and one third (32%) has a high school degree that qualifies for university (Allgemeine Hochschulreife). One fifth (19%) of participants has a lower secondary school degree (Real- oder Hauptschule).

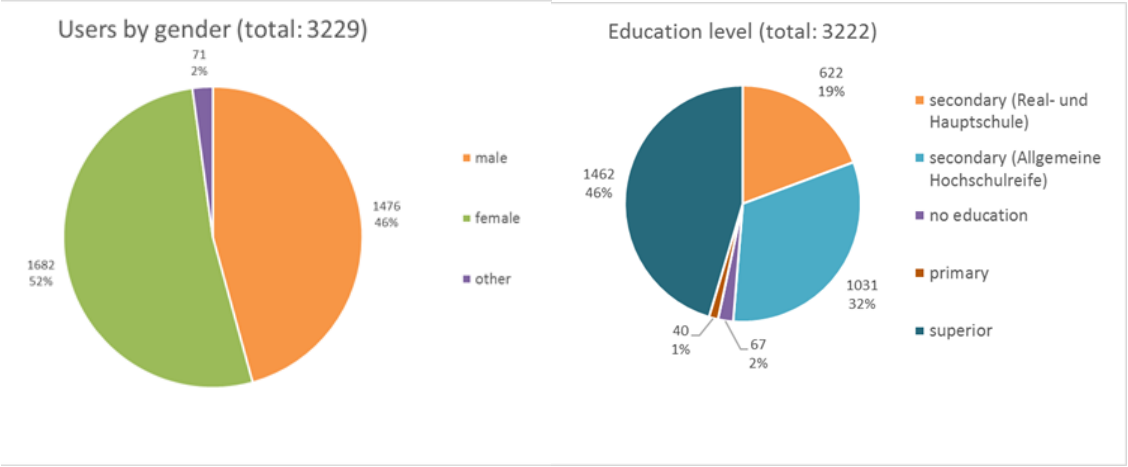


Figure 38: Users by gender and education level on buergerbudget.wuppertal.de

Regarding the users' age, 35% are 30 to 49 years old, and 30% are 50 to 64. The third largest group are the 18 to 29 year olds (with 21%). 11% are over 65 years old, and 3% are younger than 18.

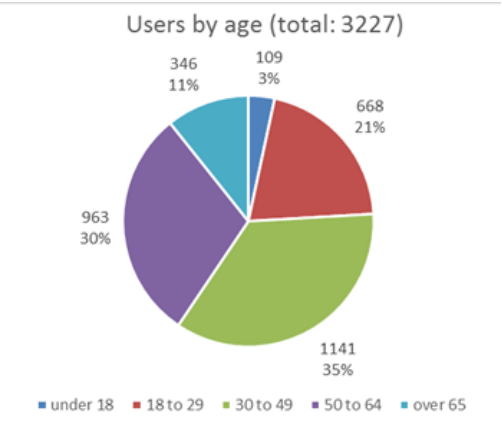


Figure 39: Users by age on buergerbudget.wuppertal.de

Copyright © EMPATIA Consortium 2016 - 2017

A detailed analysis of the user demographics will be presented in Deliverable D4.2.

3.13 Future use of EMPATIA platform

Three options for the future use of the EMPATIA platform were presented to the municipality by Zebralog and OneSource:

1) The complete transfer of the platform from OneSource to the municipality (with initial support by OneSource and Zebralog regarding the installation on municipal servers, data migration and training)
2) Continuous hosting and administration by OneSource supported by Zebralog based on a contract to be signed between the municipality, OneSource and Zebralog for services like web development, configuration, content editing, consultation.
3) Continuous hosting by OneSource until the end of 2019 for documentation purposes only (no further developments, no changes on content possible)

Since Wuppertal's treasurer Dr. Slawig announced publicly at the voting party in September that he wishes to repeat the PB again in 2019 (Wuppertal's budget period is two years), options one and two are the most interesting ones to the municipality.

At the time of writing this report, the municipality has not taken a final decision yet, but they are mostly interested in option number one. OneSource has agreed to support the municipality with installation, data migration and a platform training as part of the EMPATIA project until March 2018. A decision by the municipality is planned for January 2018.

Independent of the decision about the transferral of the platform to the municipality, all personal data of users will be deleted by way of anonymisation of user data at the end of 2017, as stated in the data privacy guidelines. The possibility to register on the platform will be disabled until the future use of the platform has been clarified. As soon as a decision has been taken, the data privacy guidelines will need to be updated. In option one, the municipality would become both data processor (currently OneSource) and data controller (currently Zebralog). Users will need to agree to these changes before registering anew on the platform.

Since all users' e-mail-addresses will be deleted by the end of 2017, a last e-mail to all users was sent out on December 8, suggesting to them to subscribe to the municipalities participation newsletter if they want to stay informed via e-mail about the Wuppertal PB. Moreover, all interested participants and notably proposal submitters were asked to subscribe to a PB mailing list administered by the municipality in order for the municipality to be able to contact these participants in the future.

While the implementation cycle in Wuppertal will only start in 2018 and therefore goes beyond the scope of the EMPATIA project, the platform has been developed in a way in which it is already prepared for the implementation cycle. Changes in the status of proposals can be communicated via the status labels 'implementation started' and 'implementation completed'. Moreover, of course, in options one and two, the municipality will be able to upload news and edit contents at all times.

3.14 Pilot platform evaluation

One of the main purposes of the pilots in the scope of EMPATIA was the testing and further development of the EMPATIA platform based on the test results. The challenges encountered and the feedback received on the platform will be presented in the following section, from the perspective of Do

Copyright © EMPATIA Consortium 2016 - 2017

you mean: the development process of a collaborative platform? platform project managers (Zebralog and the municipality of Wuppertal), and feedback that was received from users. However, it is important to first engage in a reflection of the context in which the EMPATIA pilot platform was developed, and how this may have had impact on the outcome and test results described in the second part of this chapter.

3.14.1 Reflection on collaborative platform development process

It should be said first of all that communication via Trello board (www.trello.com) and Skype group chat between Zebralog and OneSource was all in all a good way to keep track of test results, feature requests and their status. However, it is also important to understand a number of critical contextual aspects before looking more closely at an evaluation of the platform from the point of view of the platform's project managers (Zebralog and municipality).

Deviations in requirements

Firstly, as explained in the chapter on deviations (see chapter 3.8, 'Deviations from original planning'), priorities of the initially foreseen requirements as opposed to the actual final requirements changed substantially. The EMPATIA platform prototype was partially built on assumptions about necessary requirements that became irrelevant due to changes in the design of the methodology. For example, while a versioning feature of proposals was originally assumed to be a key requirement, the phase of collaborative development of proposals was eliminated from the overall process design, and therefore the versioning feature was no longer important.

IT expertise during design process

Secondly, it must also be acknowledged that IT expertise from WP2 was largely absent throughout the design process: No web developers were involved in any of the planning meetings with the municipality (due to language constraints, but also because this was not forseen to be part of WP2). Although Zebralog and OneSource were in regular touch about new developments regarding requirements, it could have been beneficial to invest more time in the transfer between non-technical and technical requirements; as a result some requirements were not made explicit enough. For example, in hindsight, too little attention was given to the requirements for the backend and the support of internal municipal processes. Moreover, the development of innovative IT features would have required a systematic methodology, such as design thinking, to be deployed through workshops with different stakeholders, including IT staff from WP2. Within the project timeframe, however, there was too little time for the collaborative development of a technical concept.

Technical concept based on mock-ups

Thirdly, closely connected to the aspect of missing IT expertise during the design process is the fact that communication about the transfer from non-technical requirements to technical ones occurred solely with the help of mock-ups. Throughout the pilot it became apparent at many points that the creation of mock-ups may not be enough to document the complex user action workflows and process phases that are required for interactive processes. From the perspective of the pilot project managers, mock-ups draw the attention too much on the design but focus too little on underlying workflows or backend requirements. This was only realized during the first platform testing, when it became clear that the mock-ups did not make explicit enough some of the underlying technical requirements. As an example, misunderstandings occurred regarding the 'follow button' feature because it was not made explicit

Copyright © EMPATIA Consortium 2016 - 2017

enough what should happen when a user clicks on the button (not only registration as follower, but also sending of an e-mail upon updates within the content of the proposal). A similar problem occurred with the requirement of a 'newsletter feature' for which it was not defined exactly what was meant with it, and while OneSource assumed this to mean a mailing feature to specific users, Zebralog had in mind a feature that allowed to send mass mailings to all users that gave their consent to being contacted via e-mail. For subsequent phases, Zebralog started to develop user stories and attempted to make more explicit some underlying requirements.

Time constraints

Fourthly, since the Wuppertal requirements could only be finalized in February, there was generally little time for Wuppertal-specific developments and internal testing. The platform was thus launched based on an early version of the EMPATIA platform adapted to Wuppertal requirements. At the time of the launch, it was - as natural for pilot platforms - not a fully developed platform but further developments and improvements were undertaken throughout the whole pilot process, both regarding the improvement of existing features but also regarding new requirements formulated by the pilot. The newly developed features and improvements were then fed back to the EMPATIA standard platform. As a consequence, however, many new features required several testing loops and bug-fixing, and did not work right away. In a political context like a participation process, this can be quite critical and a strategy of risk minimization sometimes required cutbacks on the use of new (and innovative) features which also meant that features were developed but not tested in its final state because it was seen as 'too risky'.

Working with a beta platform prototype in a political setting

It has to be said that on the whole, the process of testing and improving the basic functions of the platform (including for example filtering and search functions) was a lot more resource intensive than originally envisioned, mostly likely due to the high complexity of workflows of interactive platforms like the EMPATIA platform. Some innovative features (like the "Alliances feature" to reduce duplicates) could not be included in the project due to a lack of time. Moreover, the 'developments at the open heart' of some features sometimes had consequences on other features that suddenly did not work properly anymore although they had already been tested and worked before. A core learning of the project is therefore that a lot more time must be foreseen for internal testing periods, especially in political contexts where the proper workings of a website are crucial. In fact, it may be quite risky to use a beta platform for an actual participation process since encountering problems with it may discourage both citizens and municipality to use online platforms for participation in the future.

Limited testing of independent platform administration

Finally, the initial set-up of the platform (including installation and configuration) was done by OneSource, therefore the pilot did not test in how far the system can be set-up without the support of OneSource. Moreover, throughout the use of the platform, the intensive support of OneSource was required at all times, notably at times of 'phases switches'; therefore the administration of the platform by non-technical staff independent from a technical entity could only be tested partially. While this is normal for a beta platform prototype that is still being further developed throughout platform use, it limits the possibility to judge in how far the final EMPATIA platform can be used without the involvement of EMPATIA partners, and notably WP2 partner OneSource.

Copyright © EMPATIA Consortium 2016 - 2017

3.14.2 Platform feedback from the perspective of project managers

In the following, we will give an account of the main feedback and challenges observed by the project managers (Zebralog und the municipality of Wuppertal) throughout the period of the pilot, and how it was dealt with the feedback. The feedback given is also based on users' feedback that sent e-mails and called the municipality and Zebralog regarding the usability of the platform.

Platform speed

A critical challenge in phase 1 of the platform use was the speed of the platform; the loading of the submitted ideas initially took more than 10 seconds, and many users complained notably in the last days of the 'liking' of ideas that they could not browse through the ideas fast enough. The same problem occurred for the municipality in the backend where the loading of ideas took a long time to make changes. This was troublesome for them because they had to add the results of their initial criteria check to every idea submitted. OneSource subsequently took measures to improve the platform speed notably. By the third phase (voting phase), the speed was improved hugely. However, due to the initial low speed of the platform, the municipality adopted a strategy of 'risk minimization' and decided not to use the platform back office for their internal review process.

Registration and verification

Users initially reported problems with the registration; a key problem was that some of them did not receive the confirmation mail sent after registration. OneSource checked whether the mails were sent out, and according to the system this was the case. Measures were thus taken by introducing a button to resend the confirmation mail and by allowing project managers to verify accounts manually. Moreover, in the texts a part was introduced asking users to check their spam folders. Nevertheless, problems with the registration mails kept occurring in this pilot (while it was reported by the other pilots that they did not have this problem).

Another problem occurred with the SMS verification in the beginning of the voting phase. The external service used for the sending of the SMS (BulkSMS) had problems with one major German mobile phone network and SMS were not sent. Fortunately, a contact form had already been included in the SMS verification page for users who preferred manual verification via landline, so users who did not receive the SMS could Zebralog for manual verification, and Zebralog could quickly get in touch about the problem with BulkSMS. The problem was solved by BulkSMS after a few days.

Overall, during the focus group evaluation meeting, "a complicated process of user verification and registration" was reported as the major platform problem besides platform speed.

User notifications by e-mail

A "follow" button was implemented in order for users to receive e-mail notifications upon changes of project ideas. However, in the first phase, no e-mails were sent out to followers. This was only realized after a number of status changes of the project ideas had already occurred. OneSource took measures to implement the sending of e-mail notifications. However, the municipality decided together with Zebralog to disable the button because in the voting phase it could have been mistaken with the voting button. Therefore, the final workings of this features were not tested in this pilot.

Another problem that occurred in phase 1 was the sending of a mailing to all users. It was not possible to send out test mails first which made it impossible to test this feature. An unformatted e-mail went out

Copyright © EMPATIA Consortium 2016 - 2017

to all users, causing a number of complaints by citizens. OneSource subsequently took measures to develop a newsletter system in which test mails can be sent out first.

While this newsletter feature now allows to send mailings to all users, it is not possible for users to opt out of this newsletter. This is something that may be problematic legally in terms of data governance because users cannot agree actively to receiving newsletter mailings. It was not possible though to change this for the remainder of the pilot period.

Back office functions

Constant improvements in the back office also meant constant changes to the structure of the back office which made it difficult for the project managers Zebralog and the municipality to keep an overview of where to find specific configurations. The usability of the back office was rather low in the beginning because the structure was not clear and due to the early version of the platform there was no sitemap or elaborate manual. The usability was improved with the introduction of a dynamic dashboard where direct links to key areas could be placed (e.g. a direct link to the full list of ideas).

Another problem with the work in the back office was that many texts were based on translations. They thus could not be edited directly at the page level but only through the translations tool. This was changed in parts throughout the process, but many texts (e.g. on the PB and in the registration) still can only be edited via the translations tool.

Finally, another challenge occurred at the beginning of phase 1 when, mostly due to the short period of time between the final requirements and the launch of the platform, the platform was not really ready for the idea and comment moderation required by the Wuppertal pilot (with labelling options for the moderators). The required features were implemented towards the end of the phase.

Phases switches

Another major challenge were the technical phase switches. These switches also occurred in between the publicly communicated phases, for example in phase 1 for the last week in which only ‘liking’ was possible for users. The disabling of specific permissions was set automatic but the texts (of call for action buttons etc.) had to be edited manually. For the phases 2 and phases 3 a lot of effort was put into making the switches automatic, including also the change of the texts. Something that had to be done by OneSource was the collective re-labelling of ideas (e.g. from “passed the initial criteria check” to “part of the TOP 32”). This could potentially still be improved in the future by enabling a fast way for relabelling of project ideas (multiple selection).

Platform security and trustworthiness

It has to be said that especially in the early days of the platform, some issues occurred that reduced the perception of trustworthiness of the platform in the eyes of the project managers. Firstly, using the search function in phase 1, there suddenly appeared user proposals from other pilots. Although fixed fast by OneSource, it had implications on the level of trust in the platform by the project managers. Secondly, it was not possible for platform managers to delete user data completely. The deleting on the server had to be performed by OneSource, with no way of checking for the platform managers (i.e. Zebralog and the municipality). Thirdly, the export of user data at the end of the pilot revealed that some users did not enter any data in the mandatory fields like age and gender, but they were nevertheless able to participate. Besides problems that this may cause for the impact evaluation, it also restricts to some extent the perception of trustworthiness of the platform in the eyes of platform managers.

Copyright © EMPATIA Consortium 2016 - 2017

Overall structure and features

On a positive note, the overall structure and features of the platform were liked by many users and the municipality. Complaints by users were mostly based on platform speed (see above) and bugs that were fixed with high priority by OneSource. The way in which the project ideas were visualized (with detailed descriptions and pictures) was seen very positively. Some users reported that they had problems finding some specific information, such as information about the results of the common good check. During the focus group evaluation meeting some citizens were surprised to hear that the platform also contained information about the municipal budget - apparently it was not clear that these information could be found under the menu item “worth knowing”.

Figure 40: Focus group evaluation meeting in Wuppertal

A detailed account of feedback by municipality and users will be given in the Deliverable D4.2.

3.15 Pilot process evaluation

Besides feedback on the platform, the pilot can also be evaluated from the perspective of the process itself, including phases and methods. In this section, the core positive aspects of the pilot as well as the core areas for improvement will be presented from the perspective of project managers.

3.15.1 Key positive, innovative aspects

Clearly defined scope of participation

Since most PBs in Germany are of consultative nature, a core innovative aspect of the Wuppertal pilot was the introduction of a defined budget for citizen proposals, with a co-decisional process design that guaranteed that the final selection of ideas to be implemented will be done by the citizens themselves. This was a major issue discovered as part of the co-creational design process and the evaluation of previous PB. With a limited financial scope of the municipality, it is important to make transparent the scope of the participation. This was done by way of a concrete budget.

Copyright © EMPATIA Consortium 2016 - 2017

While 150.000 € may not seem high compared to PBs in other countries, it must be kept in mind that Wuppertal is one of the first German cities to experiment at all with the devotion of a concrete budget for citizen ideas to be decided by citizens. So far mostly small municipalities have conducted PBs with a concrete budget in Germany (for example Eberswalde, Bernau, Unterschleißheim). Most PBs with a defined budget in bigger cities actually do not leave the final decision to citizens (by way of voting), it is thus a mix between the consultative and the budget model (e.g. Zwickau, Ingolstadt). The budget in the smaller municipalities (10.000 - 100.000 inhabitants) ranges between 10.000 € and 100.000 €. The only big city that has conducted a budget-oriented PB with a final vote by citizens is the city of Cologne (1.060.000 inhabitants) which dedicated 100.000 € per city district. Other than that, however, there is as of yet little experience in Germany with budget-oriented, co-decisional PB which justifies the amount of money dedicated by Wuppertal to this innovation. It is clear that this amount should be seen as a first step, testing a new process and method, with the potential to be extended in the future. In the focus group evaluation meeting the wish to enlarge the budget was also clearly expressed. Nonetheless, as many German municipalities are currently looking for new ways to engage citizens in the municipal budget planning, the model developed for Wuppertal could be a role model for future PB in Germany.

Regarding the scope of participation, another topic discussed during the focus group evaluation meeting was the kind of proposals accepted for the PB. Some participants suggested to modify the criteria for project submission so that only ideas that are *not* part of the mandatory duties of the municipality (like the renovation of playgrounds) are allowed, but only innovative ideas that go beyond the regular municipal duties. However, opinions were divided on this, and other participants stressed that it was exactly the aim of the PB to help the municipality prioritizing their duty tasks, and that the PB would otherwise lose its connection to the municipal budget. It was decided to defer the further discussion of this question to the start of the design process of the next PB.

Initial criteria check and detailed municipal review before the voting

The initial criteria check that was done by the municipality during the submission of ideas was an important method to give a direct feedback to citizens early-on in the process. Ideas that did not pass the check were excluded from further discussion and archived (transparently online). Moreover, by performing the technical review *before* the actual vote, it was ensured that those ideas on the TOP ranks could actually also be implemented - something that often led to dissatisfaction in previous PBs when the review was only done after the voting. This is a major innovation compared to conventional consultative PB were the technical review occurs after the creation of the final voting.

Another aspect that has to be stressed as positive about the municipal review is the level of detail to which each of the 48 ideas received explanations. Each explanation was written first by the specific technical department(s) and then reviewed by the department of participation and Zebralog in order to make sure that the explanations given by the municipality can be understood by citizens.

Co-creational approach: Citizens involved in process design

Another major positive, innovative aspect of the pilot was the involvement of citizens in the design of the whole process. The ‘steering committee’ that was created after the first co-creational evaluation meeting met at several points in the process and was involved in key process decisions as well as the evaluation of the process (see chapter 3.2, ‘About the requirements gathering and planning process’).

Through the steering committee group, it was ensured that those citizens that wanted to get engaged on a processual level, could do so - after all, citizens often have valuable ideas about how to engage fellow-

Copyright © EMPATIA Consortium 2016 - 2017

citizens. The possibility for citizens to be involved in the process on a processual level was also highlighted as very positive during the focus group evaluation meeting.

Multichannel approach: Integration and diversity

Regarding multichannel approaches, the connection between face-to-face meetings and online participation in PB processes is an innovation in itself for German PB since the majority of PB in Germany are currently conducted almost exclusively online. In the process design of the Wuppertal pilot, different channels of participation were used and connected with each other. For example, all ideas collected via telephone and on site were published online. A PDF export of the TOP ideas then again insured an integration between the first phase (idea submission) and the second (common good check at citizen assembly). A participation in the filtering of ideas was possible online (via "liking") as well as on site (at the citizen assembly). The multichannel innovation played an especially important part in the voting phase in which voting face-to-face and online had to be harmonized even though it has to be said that this has only been achieved to a limited degree (see chapter 3.15.2, 'Key areas of improvement', Harmonizing on site and online voting).

Common good check by citizens

Another major innovation and positive experience was the common good check that was performed by the citizens themselves (see chapter 3.2.2, 'Steering group guiding the process'). The method was developed specifically for this pilot, and it proved as a successful way to ensure that not only ideas by citizens with a large network of friends move further in the process. It was also interesting to observe how the method facilitated a switch from a look at one's personal interests to the larger common good of the community. Furthermore, the atmosphere that was created at the event facilitated an exchange within the community. Some participants also said that they appreciated that they got to talk to fellow citizens from diverse backgrounds and it enabled them to broaden their horizons.

Voting party: Celebration, empowerment, accountability

Another major positive aspect of the pilot was the voting party. Firstly, it allowed to celebrate together what had been achieved so far. Such celebrations often comes too short in German participation processes although it is essential for the success of the project to develop positive relationships also on an emotional level (also see the four phases of the project management method Dragon Dreaming[2]). Secondly, the voting party served to empower the project submitters - notably compared to PBs that are only conducted online, without any possibility to present and promote their projects at an event. It was really interesting to see how participants distributed flyers, came dressed in costumes (promoting an idea related to a musical), with art supplies, etc. The character of the event was thus less formal than other participation events; from a subjective impression it was also more diverse than other participation events. One reason for this could be that it was not a 'dialogue event' so people that do not like small group discussions were more prone to participate with a more passive participation (browsing through the gallery of ideas like in a museum). Lastly, the event also served to provide a direct accountability regarding the results of the technical review by the municipality, with the possibility to enter into a direct dialogue with municipal staff about their decisions and explanations.

[2] http://www.dragondreaming.org/dragondreaming/what-is-it-exactly/

Copyright © EMPATIA Consortium 2016 - 2017

Dissemination Strategies: Social media and the use of informal address

Another positive aspect of the pilot with a pioneering character is the way in which the project was communicated publicly. One key decision in this regard was to address participants informally with the familiar “du”. Being on first name terms with the participants changed the character of the project. Although there was also some criticism about this decision by a few citizens, it can be said from the perspective of project managers that it made the project more vivid and less formal, and it was easier to make interesting for younger generations who may not feel addressed at all with the formal “Sie”. In line with this style of language, the dissemination strategies had a campaigning style, with stalls in the streets and an intense use of social media. Here as well, the municipality successfully tested new forms of communication, going beyond conventional municipal bureaucrat communication. For a future PB the municipality wants to further extend their dissemination with a training of interested citizens as multipliers.

3.15.2 Key areas of improvement

More time for municipal reviews

On a critical note, it has to be said that the initial criteria check parallel to the submission of project ideas was extremely time consuming for the municipal staff. The consequence was that some ideas wrongly passed the check. For example, the idea that was on rank 1 in the common good check did not pass the detailed municipal review because its cost exceeded the limit of 50.000 € by far. For a future PB, it would be recommendable to collect ideas first, then have some time for the initial check, and only then do a first ranking and the common good check. However, it also has to be acknowledged that another feedback during the focus group evaluation meeting was that the period from idea submission until the final voting was very long, requiring a long attention span for the project.

Collaborative development of ideas

A phase that was originally envisioned but then eliminated for reasons of process simplification was the collaborative further development of ideas after the common good check and before or during the municipal review (see chapter 3.8.2, ‘Deviations from the planning status as described in D3.1’). A major problem during the technical review phase turned out to be that some ideas left a lot of room for interpretation which meant that the municipal reviewers had to base their review on a lot of assumptions. The problem was partially solved by contacting the project submitters via e-mail with questions, but this procedure of communication between citizens and municipality could be better organised and potentially also supported by technology in future PBs. Despite the contacting of project submitters via e-mails, some participants were dissatisfied with the assumptions taken by the municipality. For example, four project ideas that all focused on the topic of urban gardening were merged into one idea. This was done with good intentions by the municipality, and the project initiators were also notified via e-mail, but nevertheless not all of them were happy about it. It would thus be recommendable to either organise meetings with the project submitters during the review phase, or to add a phase of online collaborative development of ideas in which the municipality can ask questions transparently via the online platform, and both idea authors and other interested citizens could contribute their answers.

Copyright © EMPATIA Consortium 2016 - 2017

Dialogue with political representatives on the municipal budget

Another originally envisioned important part of the process was to offer spaces for dialogue with political representatives about the municipal budget in general. This was seen as essential in order to ensure that the PB does not become a process separated from the 'big municipal decisions' (e.g. whether more money should be spent for schools or for streets, whether the theatre should be renovated or a new football stadium be built etc.). Unfortunately, the PB was more time consuming for the municipality than expected, and therefore the foreseen dialogue events with political representatives on different budget topics did not take place. Overall, while the municipal staff was deeply involved in the process, political representatives other than the Mayor and the Treasurer were mostly absent from the process. This was also one of the main critiques of the steering committee in the focus group evaluation meeting. For any future PB, this originally planned third pillar of the process (besides information and participation) should be improved and strengthened.

Data required for participation

The compulsory indication of one's age, gender, educational level and postal code was seen as a major barrier for participation and one of the most frequent critiques received by participants. Since this feedback was only received in the German pilot, there seem to be differences in the political cultures of different countries. In Germany, the principle of data minimisation resulting from data protection is of high value, and in the Wuppertal pilot many citizens were sceptical about the necessity of providing these data even though it was explained to them that these data are required for an evaluation of the project and to be able to draw conclusions about the diversity of participants. For any future PB it should be evaluated whether the benefit of the data for the evaluation justifies the potentially reduced number of participants. In this context it has to be noted of course, that there is no scientific proof about an actual reduced participation due to the data required. It should nevertheless be evaluated whether an alternative would be to ask for these data on a voluntary basis.

Verification of users via SMS

A method that is new in the landscape of participation in Germany was the verification of users via SMS. In other PBs verification either only occurs via e-mail, via ID card (but only at events, not for online participation), and in some small municipalities via individual token sent to each citizen by post. None of these options were suitable for the purposes of Wuppertal: Verification by e-mail address only seemed not secure enough since it is very easy to participate several times with different e-mail addresses. Verification with ID card was not seen as an option because it was perceived to be a high barrier for participation to enter one's ID number, as time intensive to check these data against the data of the local resident registration office, as difficult to ensure that people do not participate using data from other persons when entering their ID number online (identity theft), and as problematic on a level of data privacy (in a previous case in a PB in the German city of Gütersloh the data protection officer of the state of North Rhine-Westphalia even criticised the mandatory provision of one's real name for participation). Individual tokens via post were too expensive, and the retrieval of a token after presentation of one's ID card at the municipal office was seen as too much of a barrier for participation. Against this background, the pilot tested in how far the verification via mobile phone number could be an alternative to the above mentioned verification methods. It has to be said though that this method was perceived as a high barrier for participation by many citizens even though an option of manual verification (verification calls by Zebralog via landline number) was offered. Some people did not have a mobile phone number, others were hesitant to provide their number for reasons of data privacy.

Copyright © EMPATIA Consortium 2016 - 2017

Harmonizing on site and online voting

Closely connected to the experiences with the verification of voters via SMS is the challenge to harmonize online and on site voting. In the other pilots verification via ID cards was used, and therefore voting kiosks could be used at the events. The use of the kiosks is more difficult and time consuming with SMS verification, therefore voting kiosks were not used in the Wuppertal pilot. It was requested by several citizens and also during the focus group evaluation meeting to offer more options to vote on site (e.g. in different districts). In order for this to be done in a future PB, other means of voter verification need to be explored. On the one hand, it must be ensured that voters cannot just submit several voting ballots under several (fake) names. On the other hand, it must be ensured that users can only vote either online or on site (on paper). The experiment regarding the verification by mobile phone number showed that it is only suitable to a limited degree because not everyone has a mobile phone number and thus there always need to be alternative verification possibilities. For future PB's the possibilities of ID verification or individual tokens should be revaluated.

3.16 Conclusion: Goals achieved?

For a final evaluation from the perspective of the pilot partner, the process needs to be analysed in relation with the goals that were originally defined.

3.16.1 Level of achievement of municipal goals

As written in chapter 2.3, the major goals defined in the process design workshop with citizens and municipal staff were to ***enable citizens to better understand how a budget works in a context of limited resources, and to thereby increase the understanding for difficult budget cut decisions***. Although this was not measured systematically, the impression of the project managers is that these goals have been achieved to a large degree: With the limited budget of 150.000 € it was clear that not all ideas can be implemented, so citizens themselves were exposed to the difficult decision of making choices. Hence, the PB process in itself supported citizens to understand budget limitations. This was notably the case during the common good check where citizens learned first hand about the difficulties of weighing one good idea against another, something that has to be done on a daily basis in every budget planning process.

A closer reflection of the sub goals is helpful in order to understand in more detail in how far the municipal goals have been achieved through the PB process conducted with EMPATIA:

Firstly, ***many and diverse kind of citizens should participate***. Comparing participant numbers to previous PB in Wuppertal, the goal of reaching *more* citizens can be considered achieved: The PB conducted in 2013 counted 500 registered users, the PB in 2015 even only 30. In the PB process conducted with EMPATIA, more than 3,000 users registered on the platform (see chapter 3.12, 'Pilot results in numbers' for more details on statistics). Unfortunately, no data is available for the number of participants at previous face-to-face events. However, during the evaluation focus group meeting, both municipal staff and citizens were satisfied with the number of citizens during the citizen assembly and the voting party. While they acknowledged that there is still room for improvement, notably regarding the number of voters, they were generally happy about the attention the project received by the public. Regarding the number of voters, they saw the biggest barrier for more participation in the fact that people had to undergo a registration process with mobile phone verification, and were not able to just participate 'more quickly' (e.g. with a simple e-mail verification). During phase 1 (idea submission and 'liking'),

Copyright © EMPATIA Consortium 2016 - 2017

Zebralog and the municipality also received notifications from citizens saying that they stopped participating due to the slowness of the platform (as discussed in the section about 'Platform speed', p. 57). It can hence be expected that participation numbers will improve further in the future with a well-tested market-ready platform compared to a beta pilot platform that is undergoing constant improvements during the participation process.

Regarding the goal to reach *diverse* kinds of citizens, data for comparison with previous PB is unfortunately not available. It can be said though that the general impression of municipal staff as well as pilot partner Zebralog was that participants were more diverse compared to previous PBs in Wuppertal and also PBs in many other cities. This was especially apparent during the citizen assembly and the voting party where 'not only the usual engaged citizens' were present, but a diverse range of citizens of different ages and backgrounds. A detailed evaluation of demographic data and a comparison of the diversity of the different pilot samples will be conducted in Deliverable D4.2.

Secondly, the sub goal of ***positive interactions between citizens and municipal staff*** was also achieved to a large extent. For an improved mutual understanding between citizens and municipal staff, the face-to-face events were crucial. Municipal staff was present and available for direct dialogue in both events. Any frustration about a technical review or a critique of the process could hence be discussed directly with the municipal team, also enabling them to explain their decisions and put them into context. Moreover, the engaged team of the department of participation showed a lot of openness regarding critical feedback and suggestions by citizens, not least with the creation of the steering group (see chapter 3.2.2, 'Steering group guiding the process'). Through the steering group, engaged citizens could participate actively in the design of the overall process. This also fostered positive interactions. Finally, on a critical note, some criticism regarding this sub goal was expressed for the phase of the technical review in which a number of citizens felt that the municipality should have involved them more (see chapter 3.15, 'Pilot process evaluation').

Thirdly, the sub goal of ***giving feedback on citizen proposals and defining a clear scope of participation*** can also be considered achieved to a large extent due to the clearly defined criteria, the initial check and the detailed technical review before the final voting. During the evaluation focus group meeting, this was seen as very positive, even though it has to be said again on a critical note that the extensive feedback loops were extremely time intensive for the municipality. Nevertheless, only allowing proposals for vote which passed the technical review can be seen as a major successful innovation compared to the conventional German model of PB in which the review only comes after the voting.

A sub goal achieved to a much lesser extent was the ***involvement of political representatives in the process*** (see chapter 3.15.2, 'Key areas of improvement'). While interactions between citizens and municipal staff were intense, political representatives were largely absent from the process. This is partially due to the fact that the municipality did not have sufficient resources to organise more face-to-face events, but it also confirms a general problem of PB in Germany which is that political parties seem not to be as interested in such kind of participation processes as hoped. This is also a topic that was discussed, for example, during the German PB networking meeting, as a problem that many German municipalities are confronted with, and it was also an important topic for future improvements of the Wuppertal PB during the evaluation meeting. Regarding the establishment of efficient processes, clearly defined workflows and technological support need to be improved in a future PB.

Finally, the sub goal to ***establish efficient processes for municipal staff*** was also achieved only to a limited degree. As discussed in the chapter on the pilot platform evaluation (chapter 3.14), the

Copyright © EMPATIA Consortium 2016 - 2017

municipality did not use the EMPATIA platform for their internal review process since they considered it too risky after the problems experienced in phase 1 during the initial criteria check (which was very time consuming due to the slowness of the platform at that time). This meant for them that that they had to develop their own internal templates and workflows via e-mail. During the process design, the focus was almost exclusively on the frontend part of the participation platform. This is something that can definitely be improved in the future by looking closely at the internal processes within the administration, defining exact requirements for the support via ICT.

3.16.2 Level of achievement of the EMPATIA objectives

Besides the goals formulated by municipal stakeholders, the process also needs to be reflected in the light of the objectives set out by the EMPATIA consortium for this particular pilot (see chapter 3.4, 'EMPATIA's objectives to be tested').

Looking back at the objectives defined as 'EMPATIA objectives', **'inclusion'** (lowering the barriers to participation) was ensured to a large degree through the offering of different channels of participation, as well as the direct addressing of younger generations (through letters to schools, facebook, the use of the informal 'du' in communication, youtube videos, cooperation with local youth media group Younect). As stated in the chapter 'pilot results in numbers' (see chapter 3.12), 21% of the registered users were between 18 and 29 years old, and 3% were younger than 18. The relation between male and female participants was balanced. However, unfortunately, since there are no data available for previous PB regarding the participants' age, it is difficult to state that this is an improvement. A more detailed analysis and comparison of the user demographics with population numbers will be done in Deliverable D4.2 in order to inquire which groups of society were over or underrepresented, and also in order to compare data across pilots. Besides the numbers, the participants of the evaluation focus group all perceived on the one hand huge improvements compared to previous PB in Wuppertal, but at the same time still room for further improvements regarding the lowering of barriers, notably in relation to the voting phase in which the registration process was perceived as too complicated.

The objective of 'inclusion' is closely connected to the objective of **'multichannel innovation'** (connecting different channels of participation). Compared to other PB in Germany or previous PB in Wuppertal, the level of multichannel innovation can be considered high in the pilot since it connected many different channels. Different levels of participation were facilitated via different channels: Idea submission was possible online, on site at the mobile campaign stall, and via telephone service hotline, a preselection for the technical review was performed first by 'liking' online, then by way of discussion and the common good check in the citizen assembly.

Multichannel innovation was also a focus of the voting phase which allowed voting on paper at the voting party, during several days in the town hall, and for three weeks online. In most other German PB, voting occurs either only online (esp. in big cities) or only on paper (mostly smaller municipalities), so the fact that Wuppertal aimed to develop a mechanism to allow both is a real innovation. It must be said, however, that there is still room for improvement regarding the integration between these different channels of engagement: Many participants wished for more on site channels in different districts of Wuppertal; this was not possible, however, since it would have required a lot of personnel resources. Since no ID number was requested for verification, the only way to reduce the risk of manipulation of the vote on paper was the participants' signature and the personal receipt of the ballots. At the same time, the request for SMS verification may have made it more difficult to vote several times online, but

Copyright © EMPATIA Consortium 2016 - 2017

it could prevent 100% that users voted on paper and online. For reasons of inclusions, the municipality did not want to ask for compulsory mobile phone number in the paper vote, and the number could not have been verified anyways.

A closer look on multichannel innovation during the technical review phase will also surely be beneficial for the improvement of a future PB: As already mentioned above, the EMPATIA platform was not used for the internal coordination of the technical review. Since no systematic channels of engagement were foreseen in this phase, some ad hoc channels had to be created by writing e-mails to project initiators in order to ask them questions about their idea. These ad hoc channels were neither transparent nor efficient. As suggested in the chapter on 'process evaluation', a future PB would benefit from a participatory channel during the phase of the technical review in order for citizens to co-develop their ideas together with the municipality.

Another objective set by EMPATIA, namely '**transparency**', has been achieved to a large degree, with a comprehensive space for different levels of information on www.buergerbudget.wuppertal.de as well as videos. In the Wuppertal pilot, a major focus was given to the provision of easy to understand information about the budget and the financial situation of the municipality (e.g. through videos, a quiz, and FAQs). This was closely related with the municipal goal of educating citizens. A major further improvement in this area would have been the integration of an open budget on the online platform; this was originally planned but could not be implemented due to a temporal deferral of the availability of the budget plan draft. Regarding transparency of process related information, this was ensured through the EMPATIA platform as the centralized channel for all information, with news on the homepage, FAQs regarding the process, and a visualisation of all phases on the PB page. The status of each idea could also be inquired at all times through the platform. However, on the process level, there are still improvements possible notably regarding the technical review phase: The process and review results were made transparent at the end of the review phase but there was limited transparency during the review process, i.e. citizens could not see which departments are reviewing their ideas.

The fourth defined EMPATIA objective for this pilot was **'efficiency**' (optimising time spent by citizens and municipal staff). As already explained above in the section 'Level of achievement of municipal goals' (chapter 3.16.1), this objective was only fulfilled to a limited degree, notably regarding the optimization of procedures that involve municipal staff.

Overall, a major insight that became apparent during the pilot was that the core challenges of a process like a PB, embedded deeply in a political context, rather lie in the method than in the technology as such. Detailed work flows are extremely important, as well as the contents that are communicated online. In order for democratic innovations to be supported by ICT, a close cooperation between ICT experts and participation stakeholders is necessary, and innovation processes are ideally supported by methods like design thinking or some other systematic approach to product development and innovation. In the Wuppertal pilot, such a systematic approach was applied in the design workshops to the methodology and process design of the PB, but not on the level of technology. As a result, the large majority of features of the EMPATIA platform are not new when compared to other existing PB platforms. The innovative features of the Wuppertal PB rather lie in the methodology of the process, with the EMPATIA platform at its heart as the centralized channel that bundles all participation and information. During the focus group evaluation meeting, participants stressed that the model of PB that was developed collaboratively can overall be considered successful and a good skeletal structure on which can be built upon.

Copyright © EMPATIA Consortium 2016 - 2017

4 Lisbon pilot

Lisbon is the capital city of Portugal. It has a population of 547.733 inhabitants, according to the census of 2011, in an area of 100.05 KM2. When considering the metropolitan area of Lisbon, the population reaches 2.8 million people. Lisbon has been running Participatory Budgeting cycles since 2008. The EMPATIA project has collaborated with the municipality of Lisbon to implement both an integrated multichannel platform - combining Lisbon's different existing participatory processes - and an ideation process independent of the PB process. The EMPATIA pilot platform is available at www.lisboaparticipa.pt/.

4.1 Reasons for selection

At the point when Lisbon was selected as a pilot site, it was envisioned as a good case to innovate their PB process with an online platform and a multichannel approach. As will be explained in the chapter on deviations (see chapter 4.8, 'Deviations from original planning'), these objectives changed in the course of the project, focusing on integration of different online participation offers in one single platform rather than on the innovation of the PB process. Nevertheless, the original reasons for selection – focussing on the Lisbon PB process – will be outlined in the following:

Besides being the capital of Portugal, it is also the most important city in the country with experience in the development of different participation processes. When the EMPATIA project was started in 2016, Lisbon already had eight years of PB, offering a good institutional scenario. It was expected that the experimentation in a capital like Lisbon would make the EMPATIA platform very visible to other cities in Portugal and beyond.

Over the years, PB's methodology has changed, mainly regarding the ideation phase - where citizens can submit their proposals - and the voting phase. Although there have been face-to-face moments, the city has been privileging online participation mechanisms. Information and Communication Technologies provided an opportunity for participation in a territory with the characteristics described, but also generated other problems, such as: i) increased individualism as participants were not required to discuss the common good; ii) although it had the potential to reach more people it normally leaves out those that have lower academic qualifications and/or are digitally excluded; iii) made the evaluation of the process harder due to the difficulty of extracting data from participants (it is difficult to understand the profile of the participant such as education, age, sex, for example). The idea was thus to find solutions for these problems with the help of EMPATIA.

Moreover, due to the size of its technical and political structure (around 8 thousand employees), Lisbon offered a significant challenge to the design and testing of the EMPATIA platform, especially because of the need to involve very different services that are not always used to working together.

Even though the focus of the pilot shifted away from the original reasons for selection that were focused on PB, Lisbon remained a valuable pilot partner throughout the project. It enabled to test the EMPATIA platform in a large capital city, with a focus on flexibility and multichannel integration.

4.2 About the requirements gathering and planning process

The design of Lisbon's platform was conditioned by the fact that the Municipality previously bought a specific platform to manage the PB process.

Copyright © EMPATIA Consortium 2016 - 2017

In that perspective, the purpose of EMPATIA changed from providing a PB platform to fostering the creation of a participation system for Lisbon that was going to bring together, in the same virtual space, the different participation tools available, while assuring the interconnection with PB (the other platform acquired by the Municipality).

Within the tools of participation, those that already existed but that were dispersed, in different portals and managed by different services, were identified. New tools of participation were also created with the aim of strengthening the municipal policy of citizens' involvement in the management of public policies.

This work, was in a first phase of conceptual nature, in so far as the objective was to create a system of participation that responded to the different needs of citizens, allowing a link between services and policies.

Secondly, a political negotiation of the participation system was required with the elected executive, who essentially accepted the proposal presented by the team of EMPATIA.

Thirdly, the training of the technical services of Lisbon Municipality was assured by OneSource, so that they could assume the management of the platform.

Moreover, currently ongoing, a work of technical assistance to Lisbon Municipality was maintained. At the same time, new participation tools are being designed, which, starting in 2018, will increase the system created.

Citizens were not directly involved in the design of the platform, but their views were considered by the team (participation department of Lisbon, In Loco), namely on the weaknesses of the municipality's participation tools and on the evaluation of the platform. Those views, collected over the years through the PB process, were very helpful in helping the team designing the model of the participation system. For the later stage of the pilot implementation, regarding WP4 activities, the survey designed for all pilots, was incorporated in the platform allowing to collect citizen's opinions and test the questionnaire module.

In Loco and OneSource agreed at the beginning of the project to ensure the presence of both institutions in the working meetings with the municipality of Lisbon. In Loco was mainly responsible for conceptual and political assistance to the Municipality. OneSource followed all this work, supporting with its technological know-how and the way a model of participation could be implemented via the platform.

In summary, the design of the Participation System of Lisbon, from now on referred as "**Lisboa Participa**" was a long process throughout the year of 2016 and the beginning of 2017, in which several meetings were conducted between EMPATIA partnership and political and technical staff from the municipality. Specific information about this process is available in chapter 4.7.

The launch of the platform, took place on the 10th of March of 2017, based on the "World Café" methodology. During the event, the collaboration protocol between Lisbon Municipality and EMPATIA consortium was signed. After the formal proceedings, the attendants were invited to interact with the different tools through several terminals arranged for that effect. Figure 41 to Figure 44 illustrate some of the key moments of the event.

Copyright © EMPATIA Consortium 2016 - 2017

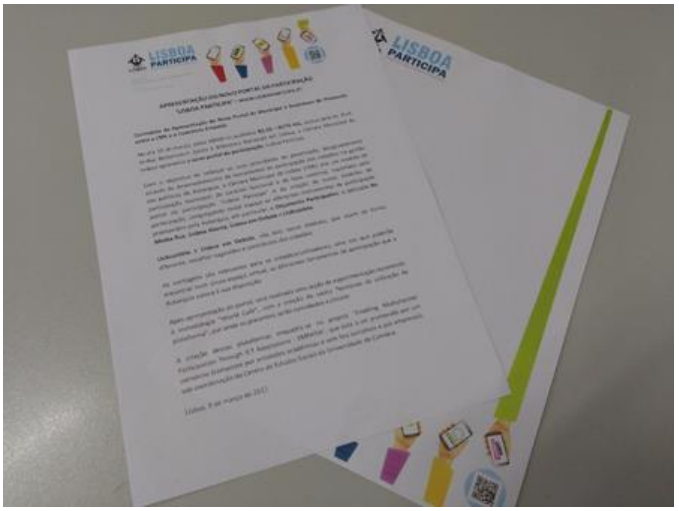


Figure 41: Program and materials distributed on the 10th of March of 2017

Figure 42 - Signing the protocol for the Lisbon pilot implementation

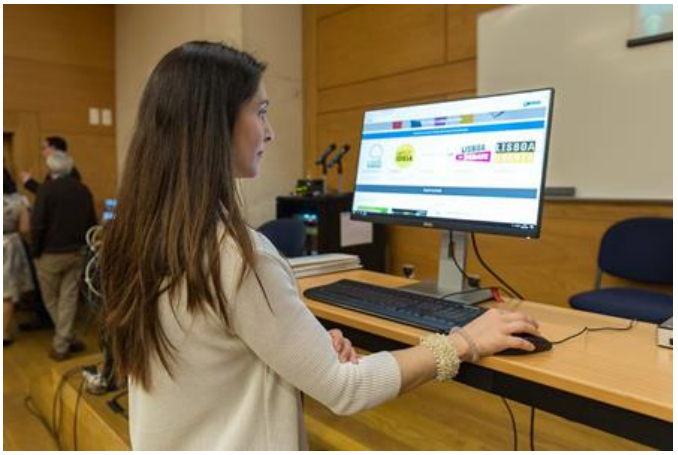


Figure 43: One of the terminals installed in order to test the different tools

Copyright © EMPATIA Consortium 2016 - 2017

Figure 44: Participants in the event

4.2.1 Relation to use case scenarios defined in D1.2/1.4

Deliverable D1.4 contains information about the use case scenarios for Lisbon pilot, created at an early stage of the project in the beginning of 2016 (see p. 93 to 96). The objective was to improve the existing PB process (composed of two cycles – decision making and implementation – in which the first cycle was broken down into different phases, as shown in Appendix B, p. 170 and 171) mainly through the improvement of technical analysis (DM4) by the municipal services. It was also intended to obtain a better integration of PB with other participation tools and initiatives.

Another important aspect identified in D1.4 was the integration of the different voting channels to avoid fraud (online, SMS and face-to-face).

However, due to deviations in the original planning (further explained in chapter 4.8) caused mostly by internal changes in the executive body of Lisbon Municipality, the use case scenario developed was no longer useful for the further planning process since the goals of the platform shifted from being a PB platform to "adopting EMPATIA as a full integrator of all the existing participatory technologies providing a unified login and also adding to this architecture a new continuous ideation platform". (D1.4, p. 63).

4.2.2 Feedback workflows during development and implementation

The requirements gathering process and planning process occurred during 2016 and the first trimester of 2017. Benefiting from the fact that both WP2 leader OneSource and In Loco were based in Portugal, all the process was accompanied by both. This fact made possible to provide direct personal feedback to Lisbon about the technical feasibility of a specific methodological requirement, as well as the information needed by OneSource from Lisbon services in order to make the implementation.

After the requirements gathering and planning process was completed, the communication with OneSource was related to managing the performance of the platform, solving issues and bugs derived of the implementation of the features reported by Lisbon Municipality and In Loco. In order to keep this process relatively easy, OneSource created a shared Google document in order to register all the issues, level of priority and status (fixed or in process). The dialogue between the entities was done through several means of communication: e-mail, telephone, in presence and occasionally by WhatsApp.

Copyright © EMPATIA Consortium 2016 - 2017

4.3 Goals of the city of Lisbon

As part of the planning process, a number of goals and requirements from the side of the city of Lisbon were identified. Below, they will be separated according to the three major areas developed and supported by EMPATIA.

1) Creating a centralized municipal participation portal

In order to support the city's strategy of coherent participation strategy, the two main goals were:

- **Organizing the municipal participation tools** in a coherent and integrated way, ensuring the collaboration of the different municipal services;
- Making available the citizen participation tools in **a single online platform**.

Underlining these two goals was the municipality's objective to create a unified municipal participation policy more integrated and comprehensive, supported by different mechanisms of interaction with citizens. In this way, the municipality aimed at strengthening the process of opening up to citizens, modernizing services, making municipal management and the definition of public policies more democratic. Moreover, increasing the transparency of the municipality's activities and the accountability of the elected body by rearranging and adding information in the several pages and platforms identified to be part of the new portal.

2) Developing a continuous participation tool for citizen ideas (LisBOAideia)

Besides the need for a participation portal, the city of Lisbon asked for the development of a continuous participation tool (later named LisBOAideia), to be designed in conjunction with the PB, with the objective of creating a participation channel for small proposals, up to 50.000 Euros, removing those proposals from the PB, where they cannot compete with larger ones. Two goals were expected to be achieved with the introduction of such a new channel for participation:

- On the side of citizens, the aim was to **create a space for small ideas** which can have a high impact on the city but are not able to compete with the big budget proposals submitted in the PB process.
- On the municipal side, the aim was to **reduce the total number of proposals received in their PB** process, thus reducing the number of proposals that municipal services have to analyse technically.

3) Offering thematic consultations

Finally, the municipality also expressed the wish to be able to conduct voluntary thematic online consultations as an addition to the ones they are obliged to conduct by law. The goal was thus to **extend consultations to other processes, policies or projects, not mandatory by law**, contributing to a greater democratization of municipal management.

4.4 EMPATIA's objectives to be tested

The Lisbon pilot was originally set to test "participation", "transparency" and "online/offline integration" with the implementation of the EMPATIA platform in the management of the PB process. It would allow to improve the technical analysis process by providing greater transparency and involving citizens in the decision of merging projects during this phase. The vote system would be improved by

Copyright © EMPATIA Consortium 2016 - 2017

integrating channels and making them more transparent and accessible to participants. It was also intended to improve the implementation cycle by increasing the transparency, creating an information system and involving citizens.

With the creation of the participation system it was possible to maintain the objectives although with different approaches. In other words, the objectives of EMPATIA to test with Lisbon pilot were:

- Participation;
- Efficiency;
- Transparency;
- Integration.

The objective "participation" allowed the creation of a municipal participation policy that could reach more citizens by providing different channels of participation in the different areas of the municipal activity.

The objective "efficiency" refers to the goal of optimizing the investment of time and resources by facilitators and technical staff, as well as citizens. It was suspected that building a participation system for Lisbon with a Single Sign On[3] feature would allow citizens to participate in an easier way and also municipal technical staff to monitor the development of the process with more effectiveness. Exploring synergies between the PB process and the newly created continuous ideation tool LisBOAideia could help reduce the number of small budget projects in the PB process, therefore reducing the workload of the municipal services in the technical analysis phase.

The EMPATIA objective of transparency stands for ensuring clear and simple information on all stages and participation tools integrated in the platform. This could be achieved by creating communication channels that would work both for participants and the team that manages the processes, as well as building a history of information.

Lastly, the objective of "integration" refers to the broader strategy to promote citizen participation, which includes other tools for interaction between society and the municipality. When the project started, Lisbon already had those other tools, although they were lacking that integration, uniformity and common identity to be perceived as a municipal participation policy more integrated and comprehensive.

4.5 Overview of the participation system of Lisbon

Based on the requirements and goals formulated by Lisbon Municipality, the decision was taken to build a comprehensive participation portal unifying all existing participation tools in one single platform, and to add two new participation tools, one for thematic consultations and one for continuous idea collection with the help of EMPATIA.

The different existing participation tools were analysed in order to decide which ones should be part of the concept for the city.

[3] Single Sign On (SSO) is a session and user authentication service that permits a user to use one set of login credentials (e.g., name and password) to access multiple applications.

Copyright © EMPATIA Consortium 2016 - 2017

Besides the development of a portal to integrate different existing participation tools, EMPATIA was used to test new tools, directly built into the platform to tackle existing gaps and expand the options that citizens could use to participate. The portal aggregates the following new and existing participation tools:

A) New Participation tools:

1. **Thematic Consultations** – A space dedicated to all consultations that are not compulsory by law, but that the Lisbon City Council considers essential to in order to collect opinions and other contributions from citizens about specific topics.

2. **LisBOAideia** – A space to submit ideas for Lisbon designed as a continuous ideation process. The submitted ideas stay in public debate and can be commented by other participants. After the voting and debate period that all ideas are entitled to, Lisbon Municipality makes a decision on the feasibility of its implementation.

B) Existing Participation tools:

3. **Public Consultations** – A space dedicated to the investment projects of the municipality of Lisbon, which are required by law to a public consultation process (DL No. 154/2013, 05 November). All municipalities in Portugal and other political bodies and organizations (central and local administrations) are required to do this process for all major investment projects.

4. "**Fix My Street"** – This tool is named in Portuguese "Na Minha Rua", it was an existing open-source citizen feedback platform, now embedded in EMPATIA.

5. "**Participatory Budgeting**" - the Participatory Budgeting (PB) is a form of citizen participation in the governance of the city of Lisbon. Through the PB, people have real power to decide on a portion of the municipal budget. Citizens may submit proposals to the city and vote the projects they want to see included in the Plan of Activities and Budget of the City of Lisbon the following year.

6. "**Open Lisbon**" – This portal is the result of the effort of Lisbon Municipality to implement its policy of open data, and therefore has been developing initiatives in this area, providing data produced by the city that can be accessed, used, modified and shared by any person or entity, without restrictions of use.

Since the official launch of the platform (10th of March of 2017) till June 2017, "Lisboa Participa" was structured in the following way:

Three participation tools[4]:

- **Participatory Budgeting**
- **LisBOAideia**
- **Fix My Street**

[4] In this context, it means that Lisbon Participation System or "Lisboa Participa" provides a page or portal dedicated to that exclusive mean of participation or channel of participation.

Copyright © EMPATIA Consortium 2016 - 2017

Two main participation areas[5]:

- **Lisbon in Debate**: Includes public consultations (required by law), thematic consultations and other useful information regarding the activity of the municipality;
- **Open Lisbon**: Open data portal of the city, where data sets produced by municipal services and by partner entities that operate in the city are available.

In May, Lisbon Municipality requested to add a new participation area to the platform named "**Citizenship Forum**". After its implementation, the platform displays a structure based on three participation tools and areas, exactly as it is shown in the images below.

Figure 45: Schematization of all tools and areas available in Lisboa Participa

Figure 46: Main banner of Lisboa Participa

[5] In this context, it means it may contain more than one participation tool or several static pages of information regarding the activity of the municipality, for that specific theme.

Copyright © EMPATIA Consortium 2016 - 2017

Differences between the ideas collection tools

The development of participation tools in Lisbon started with the implementation of PB in 2008. With the creation of LisBOAideia, citizens have three different channels to engage with, which are generally aimed at making Lisbon a better city, improving the quality of life and engaging direct communication with municipal technical staff and elected representatives. The table below synthesizes the differences and specificities of each of them.

	Proposals Submission	Debate period	Technical Analysis	Voting	Decision	Execution
Fix My Street	Continuous	n.a.	Continuous	n.a.	Continuous	Continuous
Participatory Budgeting	April to June	n.a.	June to September	October to November	n.a.	Following 24 months
LisBOAideia	Continuous	60 days	30 days	Included in the debate period	45 days	Continuous

Table 6: Summary of proposals/ideas collection tools of Lisbon Participa and differences between them

While the PB process is a deliberative process with annual allocation of a municipal budget amount, LisBOAideia, Fix My Street, and the Citizenship Forum are consultative processes to present ideas and problems of the city of Lisbon, without content previously established by the municipality. Consultations (both compulsory and thematic) are processes in which the citizens can comment on municipal policies whose contents are previously provided by the municipality. Finally, Open Lisbon is an area of information to citizens about the city, with the objective of evolving into a collaborative space, in which the citizen can be co-constructor of information about the territory.

Creation of a common identity through design

To build a participation system for Lisbon, it was crucial to create a common identity. It was not sufficient to link all participation tools and pages in one portal. It was necessary to demonstrate to citizens there was a reason why they were all aggregated under the label of “Lisboa Participa”. This was the reason why the design for the Lisbon pilot could not be the standard EMPATIA one and had to be custom made.

The first layout represents a basic concept behind the Participation System for Lisbon, providing a specific place for each tool without a detailed design. Initially Lisbon Municipality decided that the design would be done by them. However, in the meeting held in November of 2016, Lisbon Municipality requested OneSource to provide some design proposals to build the image for “Lisboa Participa”.

Copyright © EMPATIA Consortium 2016 - 2017

After the production of several drafts and the difficulty of reaching an agreement it was decided to do a face-to-face meeting aiming for a design brainstorming session. The outcome of that meeting was the final draft that led to the image that the portal has today.

Figure 47 and 48: First drafts for Lisboa Participa

Copyright © EMPATIA Consortium 2016 - 2017

Figure 49 and 50: Final draft of Lisboa Participa (left) and the final image of the page (right)

As mentioned before, also the pages for "Fix My Street" and Open Lisbon received a new design and layout. The next figures provide a screenshot of their new image.

Figure 51: The new page of Fix My Street (Lisboa)

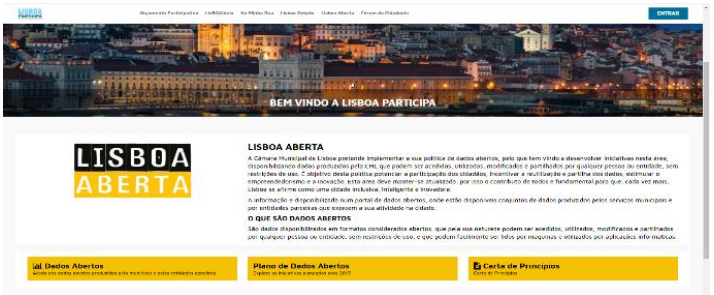


Figure 52: The new page of Open Lisboa

Copyright © EMPATIA Consortium 2016 - 2017

4.6 Detailed description of the pilot

In order to establish a bridge with deliverable 3.1, where it was written how "Lisboa Participa" would look like and would be used, this chapter highlights the main differences before and with the usage of EMPATIA.

4.6.1 Before the usage of EMPATIA

In 2016, as mentioned in chapter 4.2, several tools coexisted having to be accessed from different pages and requiring different logins. In the following paragraphs there is a detailed description of the situation before the implementation of the participation portal "Lisboa Participa" via the EMPATIA platform.

Participatory Budgeting

Lisbon's PB process completed 10 years of existence in 2017. Before EMPATIA, it was the only tool listed under the domain "Lisboa Participa - www.lisboaparticipa.pt". The purpose of the project was to use that domain as an aggregator of all participation tools and not only PB. Its portal remains the same as it was before, although it was given a different URL: https://op.lisboaparticipa.pt/home.

It is a process based on two cycles, the budget definition and implementation.

The budget definition cycle has 6 phases:

- Proposals submission, online through the platform or in presence in one of the participatory assemblies;
- Technical feasibility analysis by the municipality services;
- Provisional Results and Complaint;
- Voting, online through the platform, SMS or in presence;
- Public Presentation of Winning PB Projects;
- Analysis, evaluation and preparation of the next edition.

The implementation phase occurs during the following year.

The pot of money allocated for PB is 2.5 million of Euros.

Fix My Street

This participation tool has the purpose of enabling citizens to signal small occurrences in green spaces and public spaces, housing and municipal equipment, which require the intervention of the Lisbon City Council or the Parish Councils. It is a mechanism for participation in continuous operation, available virtually, over the phone and in person.

Occurrences related to the following areas may be reported:

- Environment and green spaces (maintenance of a garden …)
- Municipal housing and municipal equipment's maintenance (renew the demarcation of the field of a municipal pavilion,…)
- Hygiene and urban cleaning (missing an ecopoint,…)
- Public lighting (fused lamp,…)
- Mobility (turning a sidewalk accessible,…)
- Works underground or on public thoroughfare (plug a cavity in the street,…)

Copyright © EMPATIA Consortium 2016 - 2017

The image below shows how the tool (open source) looked like before the implementation of EMPATIA.

Figure 53: Overview of "Fix My Street" tool before integration in Lisboa Participa

This tool is available on the APP STORE and Google Play. The mobile application, allows users to report occurrences through a Smartphone, while previously was only available from the computer.

Lisbon in Debate

"Lisbon in Debate" is one of the main areas of participation integrated in Lisboa Participa. Before using EMPATIA, the public consultations page had to be accessed through the municipal website. Public consultations are required by law (DL No. 154/2013, 05 November) which means that all municipalities in Portugal and other political bodies and organizations (central and local administrations) are required to do this process for all major investment projects.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 54: Screenshot of the page dedicated to "Lisbon in Debate" before EMPATIA

Open Lisbon

"Open Lisbon" provides data sets about the city, produced by the Lisbon City Council and the partner organizations of the Lisbon Open program. Access to the data is free, aiming to boost its reuse and the creation of goods and services that add value to the contents made available. The contents of the page were rearranged and displayed with a different design. Before EMPATIA it was accessed through Lisbon Municipality website.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 55: General overview of Open Lisbon before EMPATIA

4.6.2 Changes implemented with EMPATIA

As mentioned above, EMPATIA has functioned as an aggregator of all the participation tools and pages in one portal: www.lisboaparticipa.pt. Besides the aggregation they were given a common identity through design, became more modern and user friendly. A tool for continuous ideas submission was created and given the name of LisBOAideia, as well as the thematic consultations, that did not exist prior EMPATIA.

Citizenship Forum

Some months after the official launch of the platform, in May, Lisbon Municipality requested to add a new area of participation to the platform named "Citizenship Forum".

The "Citizenship Forum" is a process with the purpose of achieving the approval of a "Charter for Lisbon on Rights and Responsibilities". Summarizing, it envisions to endow the city with a document that enshrines the rights of citizenship and the responsibilities of the autarchic powers, social associations, and all the people who inhabit, work, study and visit Lisbon. Such document, defining the attributes of a City with Rights and Responsibilities, can constitute itself as a guarantor of human and collective rights in the City; as a guide for action and intervention of public and local authorities, citizens and their organizations, and other public and private entities involved in the city; as well as a basis for an evaluation of its policies and programs.

The charter was approved on the IV Citizenship Forum accomplished on the 8th of July of 2017. Prior to this event, several territorial forums were organized in order to collect inputs from citizens and

Copyright © EMPATIA Consortium 2016 - 2017

institutions, including specials ones targeted to children and youth. All attendants were asked to provide answers to the following questions:

- What should be enshrined as a "right"?
- What are the responsibilities of public authorities, social and economic organizations, and individuals in guaranteeing rights?
- What must be done to guarantee the rights?

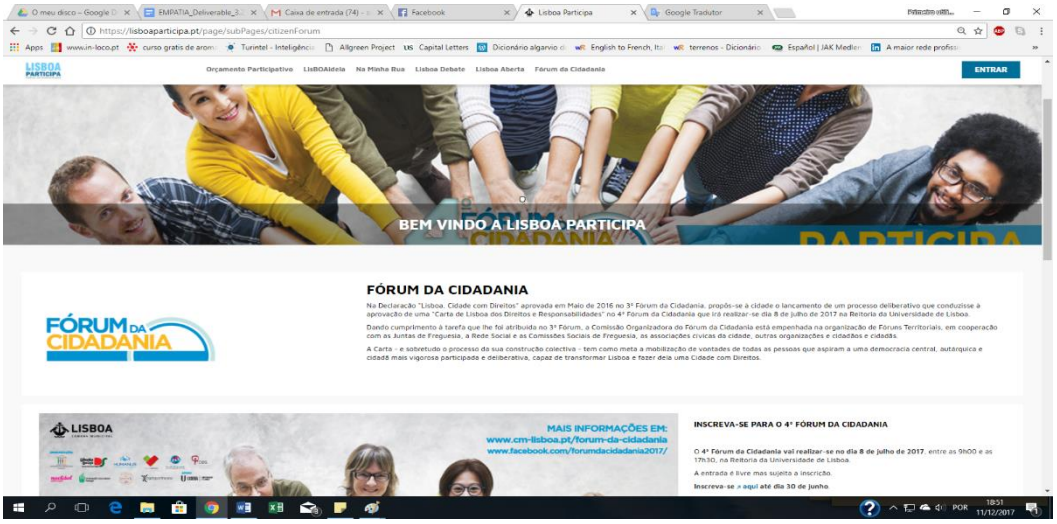


Figure 56: Overview of Citizenship Forum page

The new "Lisbon in Debate"

The thematic and public (compulsory) consultations can be found under "Lisbon in Debate". Before using EMPATIA thematic consultations did not exist.

The public consultations must follow a rigid standardized format, providing all the documentation available and the form for participation. Since the thematic ones are not compulsory, citizens are able to comment and participate directly through the platform. A search filter has been created to facilitate users to find different thematic consultations by their current status: closed or ongoing.

Since the launch of the new portal, three thematic consultations were made available in Lisboa Participa in order to collect contributions from citizens:

Thematic consultation 1: Changes to PB rules for 2017 – This consultation was online during approximately one month, until the 3rd of April of 2017. The process of participation was very simple and it required answering four questions after clicking on an "answer" button. Participants were asked to give their opinion regarding the age limit, how the budget should be divided between structuring and local projects, the existence of LisBOAideia for small projects till 50.000 € and the establishment of minimum threshold of votes for local PB projects.

Thematic consultation 2: Lisbon European Sports Capital 2021 – This thematic consultation went live on the 1st of April and remained until the 31st of May. The contributions asked were related with: i) improving the quality of sports offer; ii) supporting the practice of sports and making it accessible to everybody; iii) adapting public space. The purpose was to receive feedback to incorporate in the application for Lisbon European Sports capital 2021.

Copyright © EMPATIA Consortium 2016 - 2017

Thematic consultation 3: Nine Ideas for Praça de Espanha – Since the 14th of December until the 28th of February of 2018, citizens were invited to give their opinion about the nine possible projects for that area. "Praça de Espanha" is a historical square of great importance for the city of Lisbon.

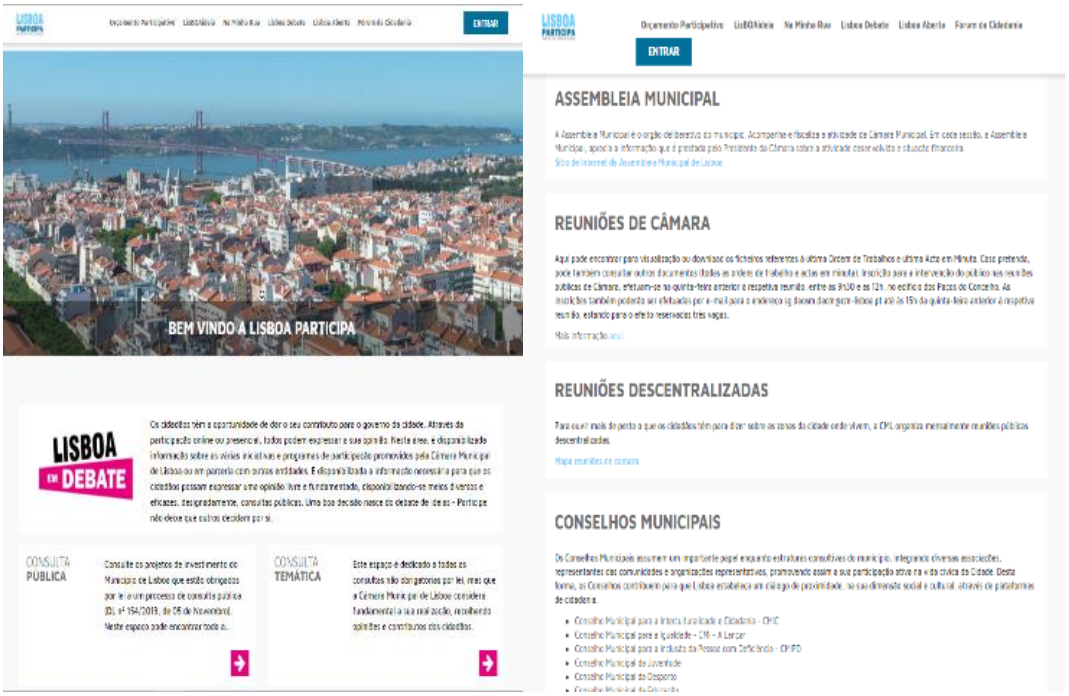


Figure 57 and 58: The new design of Lisbon in Debate

Figure 59: Thematic Consultation # 3 (on Lisboa Participa)

Under the page "Lisbon in Debate", other useful information can be found, related to:

- Municipal Assembly - elected body with deliberation functions that accompany and supervises the activity of the Municipality;

- Municipality meetings - space dedicated to the consultation of agendas and minutes of lasts meetings and also to book a public participation in a future one;
- Decentralized meetings - organized on a monthly basis with the aim to be closer to all citizens;
- Municipal Advisory Boards - consultative structures of the municipality, integrating various associations, community representatives and organizations;
- "A Square in Every Neighbourhood" Program - results of the project implemented in collaboration with the 24 parishes of the city and citizens' collaboration.
- "BIP/ZIP" Program - an instrument of municipal public policy that aims to stimulate partnerships and small local interventions to improve the "habitats" covered, by supporting projects carried out by parish councils, local associations, communities and non-governmental organizations, contributing to the reinforcement of socio-economic cohesion in the municipality.

In conclusion, the restructuring and expanding of the consultations with the help of EMPATIA had three main advantages:

1. It enabled the organization of the information that was previously dispersed, facilitating access and participation of citizens;
2. It extended the consultations to other municipal processes and policies, which are not mandatory in the law, contributing to a greater democratization of municipal management.
3. It created a history in the processes of public consultation that allows a qualitative and quantitative evaluation on the provision of the municipality and the citizens in the subjects / topics under debate.

LisBOAideia

"LisBOAideia" is one of the new participation tools created especially for the Municipality. The tool's purpose is to be an easy way for citizens to submit their ideas for the city on a continuous basis, meaning they can submit their proposals all year long as opposed to the PB process where idea submission is only possible during a short period of time (April to June).

A set of rules was created to help understand the process (see Appendix). One of those rules created sets that the cost for the implementation of the idea cannot be higher than 50.000,00 €. This rule had the objective of reducing the amount of proposals received in the PB process, especially small budget proposals.

In order to be considered for technical feasibility analysis, each idea proposed had to reach a positive balance of 100 "likes" - between positive and negative - during the following 60-day period (two months). The ideas that reached the threshold then proceeded to analysis phase by the Lisbon Municipality services. All other ideas that did not reach the threshold were excluded from the process but kept in archive.

After the completion of analysis by the municipal services staff, the ideas were routed to the respective department so that a decision about the approval/execution could be made. According to the original plan there was a 30 days period for the services to complete the technical analysis and the decision should be made in the following 45 days.

Copyright © EMPATIA Consortium 2016 - 2017

LisBOAideia was tested through the year of 2017. Rather than allocating a specific budget for citizen ideas, it was decided that ideas should be financed directly through the different departments of the municipality. The plan was that the winning ideas would be redirected to the responsible department for a political decision. However, it should be noted that so far no decisions about the funding and implementation of ideas submitted via LisBOAideia could be taken since the Alderman originally responsible for the area of participation stepped down in July, and the new Alderman was only appointed after the elections in the end of November.

Figure 60: Summary of participation rules for LisBOAideia

Fields to be completed for idea submission

Regulation and procedures behind LisBOAideia were explained above. The process to create an idea required filling a form that contained the following fields:

- Title of the idea
- Description: Most important field with a limit of 1500 characters with the aim of providing a clear portrait of what the idea was and why it was necessary.
- Thematic Area: Selected from one of the options from a drop down list (culture; education; sports; social rights; green structure, environment and energy; housing and local development; road infrastructures, mobility and transports; administrative modernization; urhan rehabilitation and public spaces; urban hygiene; safety and civil protection; tourism, economics and innovation or lifelong learning).
- Geo referencing: Provides the possibility to pinpoint a location for the idea implementation within the city range.
- Attachments: The idea can be illustrated or complemented with images and documents (JPEG, PNG, GIF, DOC or PDF files).

When all the required fields were completed, the box accepting the rules of participation was checked, the idea could be created. Only the title, description and thematic area were required fields, being all other optional.

Copyright © EMPATIA Consortium 2016 - 2017

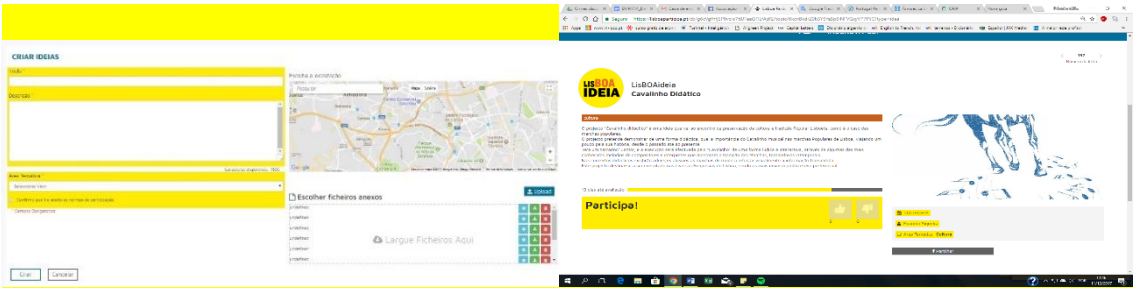


Figure 61: The image on the left shows the idea creation form. On the right a published idea on the website

Winning Ideas

During the implementation of the Lisbon pilot, four ideas have reached the necessary votes threshold - 100 "likes" (balance between positive and negative votes or "likes" and "dislikes". Those ideas have moved on to the technical analysis phase done by the services of the municipality:

1. "Rotunda do Leão" with 155 votes (174 likes and 19 dislikes): This idea has been implemented and has received the status of "closed". This project envisioned the improvement of the public space with the insertion of a statue in the roundabout.

Figure 62: The "Rotunda de Leão" published idea

2. "Estacionamento para bicicletas nos parques subterrâneos EMEL" with 103 votes (104 likes and 1 dislike): The idea aims at the creation of safe parking spaces for bicycles especially for the night period.
3. "Academia Consciente" with 106 votes (106 likes and 0 dislikes): The idea envisions the creation and promotion of a cultural and scientific-pedagogical platform promoted by volunteers of the Academic Federation of Lisbon.
4. "Turismo com Realidade Aumentada" with 106 votes (106 likes and 0 dislikes): The idea consists on the installation of augmented reality boards at city sights, which can be used through mobile apps such as the Zappar application and the camera of the mobile phone.

Copyright © EMPATIA Consortium 2016 - 2017

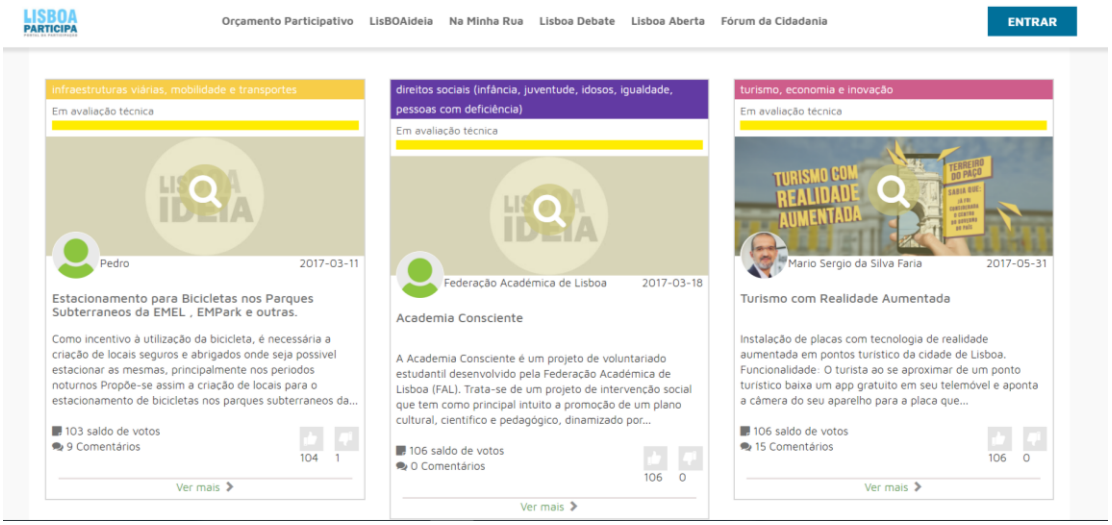


Figure 63: The three winning ideas on technical evaluation

Summarizing, the pilot allowed creating a system of participation of Lisbon Municipality, with an evolutionary character, and it is expected that other tools and areas of participation will be created from 2018 onwards.

Participation from the user perspective

From the user perspective, in order to submit, vote or comment an idea and participate in the thematic consultations, a personal account had to be created. The registration process required the following details:

- Name
- Email address
- Password
- Gender
- Academic qualifications
- Age
- Parish of residence

After filling all the details and accepting the terms of use and the privacy policy of the platform the account was created, subject to email confirmation. In the creation process, only the name, email and password were required. On the right hand side of the form, summaries of the terms of use and privacy policy are provided.

Copyright © EMPATIA Consortium 2016 - 2017

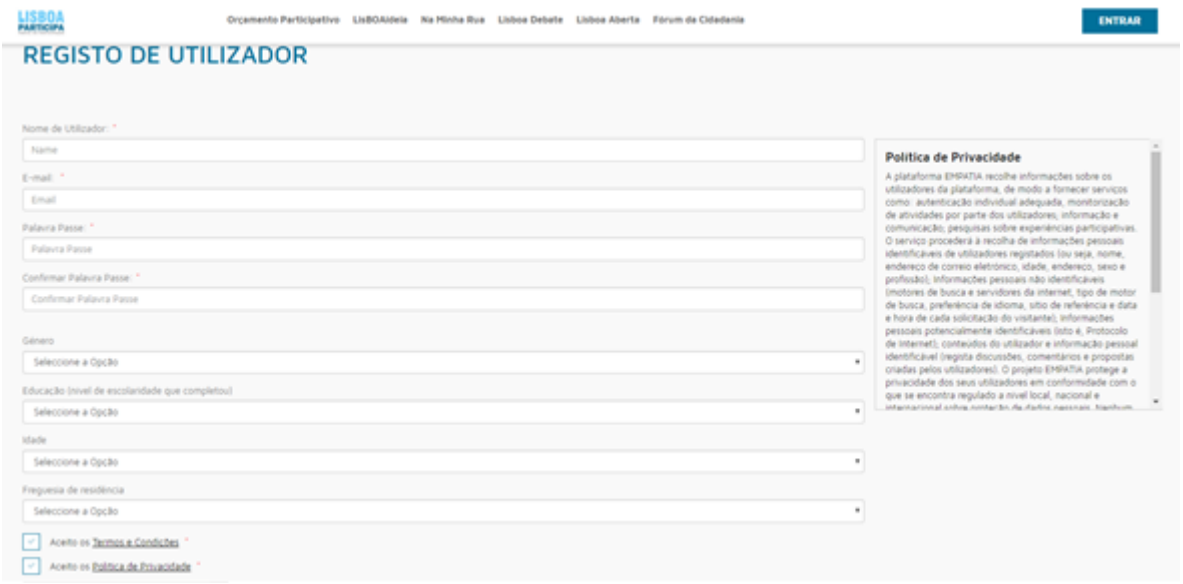


Figure 64: Form for user account registration

One of the decisions made by the consortium and Lisbon Municipality was that the user would need to complete the profile information in order to submit, vote or comment ideas or participate in a thematic consultation. In the image below is shown the pop up box informing the user that it is necessary to fill in the missing data in order to participate or perform that specific action.

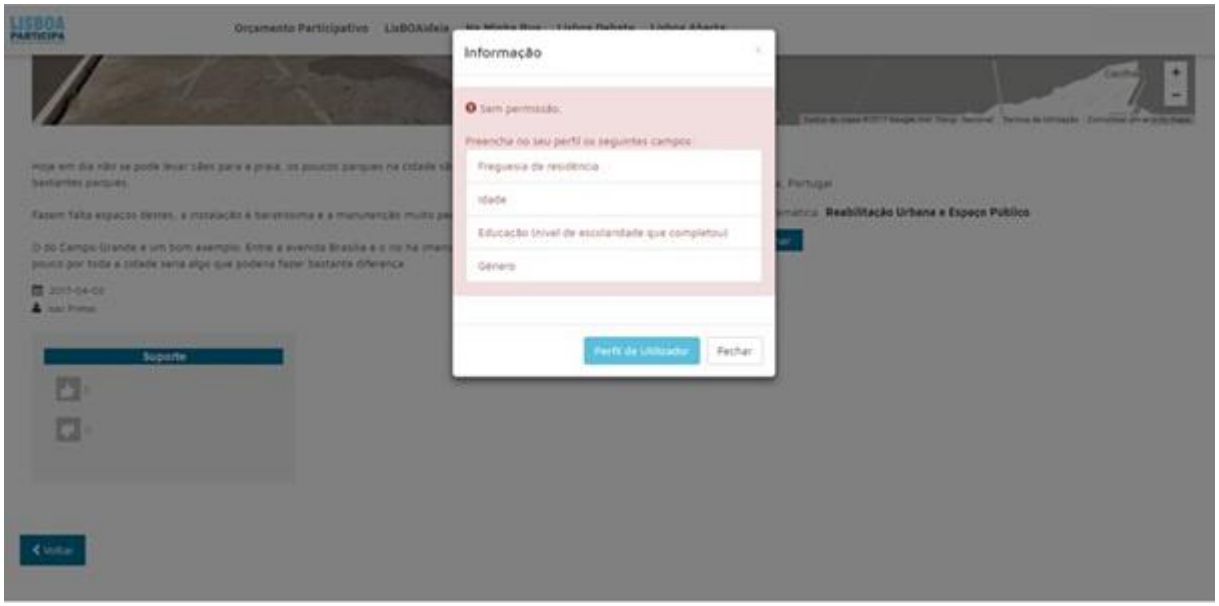


Figure 65: Pop up Window for users asking to complete the missing information in their profile

Copyright © EMPATIA Consortium 2016 - 2017

4.7 Timetable

The following table summarizes the tasks completed.

Task	Date
Contract	
Meetings with municipality/client	Jan/2016 till Dec/2017
Preparation of contract, pilot description, ethical terms	January till December 2016
Letter of intent	14th of October, 2016
Signing of the protocol	10th of March of 2017
Process design (concept)	
Rough concept for Participation System and platform	August, 2016
Detailed concept for Participation System and platform	December 2016
Final concept for Participation System and platform	February 2017
Platform development & testing	
Screen designs (mock-ups)	November 2016
Platform ready for internal testing – early version	August 2016
Platform ready for internal testing – mature version	November 2016
Platform ready for final testing by municipality/client	February 2017
Launch of public EMPATIA pilot platform	10th of March of 2017
Participation System	
Start of campaign / information / mobilization	End of January 2017
Thematic Consultation #1	March 10 till April 3, 2017
Thematic Consultation #2	April 1 till May 30, 2017
Thematic Consultation #3	December 14, 2017 till February 28, 2018
Ideas collection online	March till December 2017
Debate period	March till December 2017
Technical analysis of the ideas	May till December 2017
Decision regarding the ideas	May till December 2017

Copyright © EMPATIA Consortium 2016 - 2017

Execution of the ideas	Unknown

Table 7: Timetable Lisbon pilot

A Gantt chart is shown in order to help to have a better temporal perception of the tasks carried out with the implementation of Lisbon pilot.

Task	Date	2016												2017											
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Contract																									
Meetings with municipality/client	Jan 2016 – Dec 2017	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
Preparation of contract, pilot description, ethical terms	January till December 2016	■	■	■	■	■	■	■	■	■	■	■	■												
Letter of intent	14th of October, 2016										■														
Signing of the protocol	10th of March of 2017															■									
Process design (concept)																									
Rough concept for Participation System and platform	August, 2016	■	■	■	■	■	■	■	■																
Detailed concept for Participation System and platform	December 2016									■	■	■	■												
Final concept for Participation System and platform	February 2017													■	■	■									
Platform development & testing																									
Screen designs (mock-ups)	Nov 16											■													
Platform ready for internal testing – early version	Aug 16	■	■	■	■	■	■	■	■																
Platform ready for internal testing – mature version	Nov 16									■	■	■													
Platform ready for final testing by municipality/client	February 2017												■	■	■										
Launch of public EMPATIA pilot platform	10th of March of 2017															■									
Participation System																									
Start of campaign / information / mobilization	End of January 2017													■											
Ideas collection online	Mar till Dec 2017															■	■	■	■	■	■	■	■	■	■
Debate period	Mar till Dec 2017															■	■	■	■	■	■	■	■	■	■
Technical analysis of the ideas	May till Dec 2017																	■	■	■	■	■	■	■	■
Decision regarding the ideas	May til Dec 2017																	■	■	■	■	■	■	■	■
Execution of the ideas	Unknown																								

Table 8: Gantt chart of Lisbon

4.8 Deviations from original planning

The implementation of Lisbon pilot had to deal with several deviations from the original planning, from D1.4, and also from D3.1. They will be presented below.

4.8.1 Deviations from the original proposal

Regarding the original planning, the main deviation is the shift from the original goal of building a PB platform to building a participation platform.

This change has its roots in a deviation that occurred due to changes registered in the municipal executive at the end of 2015. The Mayor and the Alderman responsible for PB - who had made a commitment to the EMPATIA consortium - left the Lisbon executive to take over functions in the Government of Portugal. This situation created a void of political interlocutors of the Municipality with the EMPATIA project. It was necessary to negotiate with the new Mayor and the new Alderman of Participation the restructuring of the pilot and the platform for the city of Lisbon.

The new executive needed a platform to manage their PB process in early 2016. At this time it was impossible to deliver a fully functional and tested version of the EMPATIA platform. This resulted in the acquisition of a new platform for the management of the PB process by Lisbon Municipality.

Thus, the collaboration with EMPATIA shifted to focus on the creation of a participation system, as explained previously (chapters 3.2, 3.5 ad 3.6).

Copyright © EMPATIA Consortium 2016 - 2017

4.8.2 Deviations from use case scenarios described in D1.2/1.4

As mentioned in chapter 4.2, Deliverable 1.4 (D 1.4) stated the originally set out objectives and focus of the Lisbon pilot. However, these objectives had the original scenario of using EMPATIA to manage the PB process and consequently improve some of its aspects. The main purposes of the project would be regarding the improvement of the technical analysis phase (DM4) and a better integration of PB with other initiatives of the Municipality. The other intervention was regarding the voting phase (DM5) by integrating the different voting channels to avoid fraud (online, SMS and face-to-face). This was not possible due to a chain of events that culminated in shifting the usage of the platform to build a participation system for the city.

4.8.3 Deviations from the planning status as described in D3.1

The political and methodological negotiations regarding the Lisbon pilot were carried out from January till October 2016 through several meetings between In Loco, Lisbon Municipality, OneSource and CES. On the 14th of October of 2016 the consortium received the letter of intent which informally stated the interest of Lisbon to adopt and test EMPATIA and ultimately become part of the project. All this process delayed the decisions about the methodology and effective implementation of the pilot to 2017. This delay has brought in another problem for the EMPATIA project: Timing the implementation and completion of the Lisbon pilot until local elections took place in the beginning of October of 2017. Beyond the election date in itself, the pilot had to manage further constraints associated to the election period, which include no political commitment from July till November 2017, as well as the focus given by Lisbon's participation team to the PB process. This turnout of events had a strong impact on the implementation of LisBOAdeia, which despite its successful launch and promising engagement numbers in the first months, was put on hold due to PB process, the elections and consequently changes on the political decision makers of the Municipality.

4.9 Dissemination strategies

Lisbon Municipality has been using their communication channels to reach the highest number of potential users possible: website, social media, promotional materials and participation in third parties events. We describe each of these dissemination channels below.

Social Media

Lisboa Participa has its own Facebook page, independent from the official Lisbon Municipality page. Regarding participation tools, Facebook is the main social media used with 4560 likes and 4526 followers. The Municipality also has Twitter, YouTube, Vimeo and Google + accounts. Two examples of posts on Facebook can be seen in the images below. The video posted on Lisboa Participa page was produced by EMPATIA and tells the story of the Hidden Garden known as "Caracol da Penha". This project was one of the winners of the 2016 edition of Lisbon's PB with 9477 votes, being the most voted project since the process was launched. The other publication on Facebook is an example of publicity for LisBOAideia calling for participation.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 66 and 67: Two posts of Lisboa Participa in Facebook

Website

Lisboa Participa is the website aggregator for the participation tools that all citizens of Lisbon can use. Documentation, news and events regarding the different cycles and phases of PB, LisBOAideia, Fix My Street, Open Lisbon, consultations, open data and Citizenship Forum can be found here.

The image below shows the pop up box advertising LisBOAideia. This feature was requested by Lisbon Municipality and is often used to emphasize PB phase switches or other important occurrences that citizens should know of. The second highlight is a reference to the last thematic consultation implemented in December of 2017.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 68: Highlight in Lisboa Participa website regarding LisBOAideia

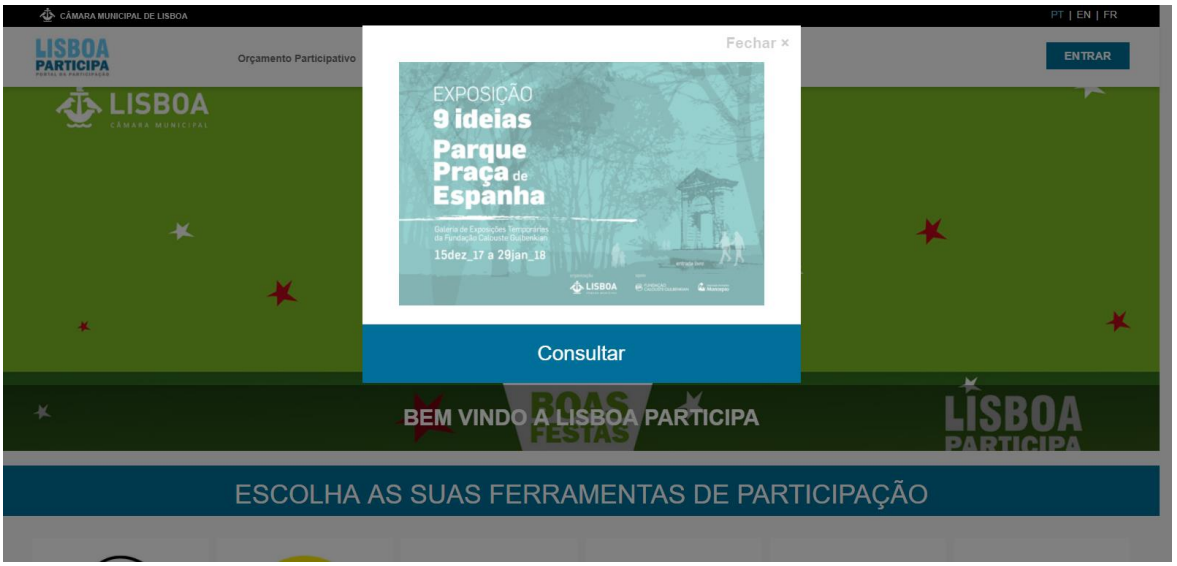


Figure 69: Highlight in Lisboa Participa regarding a Thematic Consultation

Promotional Materials

Lisbon has produced promotional materials to distribute during participatory assemblies and other public events. When Lisboa Participa portal was launched some of those materials displaying the new image were distributed to participants: Power banks, USB pen drives and smartphone or tablet pens. The image shows some examples of those promotional materials. The green notebook and pen are dedicated to the PB process.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 70: Promotional materials for Lisboa Participa

Participation in third party's events

The department responsible for operational innovation and participation (responsible for Lisboa Participa) decided to organize an Empaville[6] workshop that had the presence of staff from Lisbon Council and other municipalities, for the 6th edition of "Encontro de Quadros da Câmara Municipal de Lisboa", an event dedicated to promoting knowledge and defining intervention strategies in the various sectors of the municipality. For the effect, OneSource and In Loco were invited to be present and help with the development of the game. It took place on the 23rd of November of 2017, in Forum Lisboa.

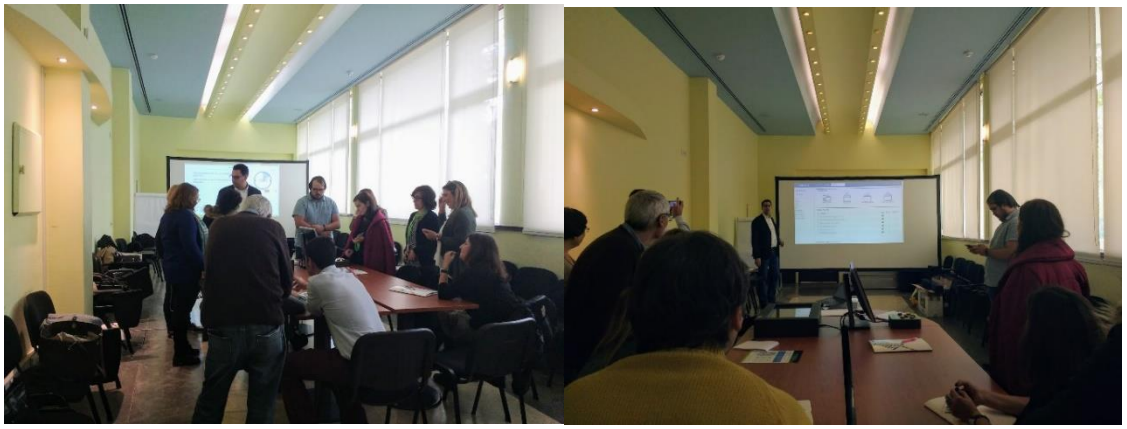


Figure 71 and 72: Photos from Empaville roleplay on the 23rd of November

The dissemination strategy followed by In Loco focused on the presentation and testing of the EMPATIA platform as a whole, including the PB module not tested in Lisbon, as well as the

[6] Empaville is a role-playing game that simulates a gamified Participatory Budgeting process in the imaginary city of Empaville, integrating in person deliberation with digital voting. A full report can be found on D1.4 (pages 161 to 169).

Copyright © EMPATIA Consortium 2016 - 2017

EMPAVILLE role-play game in training actions with the collaboration of the Portuguese Network of Participatory Municipalities. A full report can be found in D5.4.

4.10 Role of EMPATIA

The Lisbon pilot coordinator was In Loco, responsible for the development of the methodology for LisBOAideia and thematic consultations alongside with Lisbon Municipality team in charge of the participation area. The diagnosis regarding the existing participation tools and areas was done by both teams as well.

Because there were multiple participation channels, In Loco also ensured the establishment of boundaries between all participation tools, documenting the difference between them. Suggestions for the Home page texts, filters to apply to the added tools as well as creating of a history for the processes were also made by In Loco.

OneSource was responsible to adapt the technological side to the methodology. During the negotiation and development of the pilot, OneSource was present in the meetings with the Lisbon Municipality team. Before releasing new features, OneSource requested In Loco to test them and only after they would go live.

CES also participated in some of the meetings to discuss the methodological aspects as well as the definition of the strategy for the evaluation of the project – collecting demographic data from users and the deployment of pre and post-surveys.

Services by In Loco	PM dedicated (estimated)
Coordination & project management	2
Participatory process design	0,5
Online facilitation, online editing and translations	1,21
Facilitation of training events	1,21
(Statistical) evaluation	1
Training	2
Consulting	2

Table 9: Services by In Loco

Overall, the pilot was conducted in close cooperation with the municipality, and tasks were devided between In Loco, Lisbon and other EMPATIA partners (notably OneSource). For example, while the initial analysis of existing participation practices was conducted by the municipality, the decision of which would be part of the new portal was taken together (In Loco and Lisbon). In Loco provided suggestions for texts that should appear on the online platform. These in turn were revised by municipal staff who also reused existing texts. The translations into English were done by Lisbon's, and the French translation was possible due to the collaboration with an Erasmus student. The design was achieved with mutual collaboration of Lisbon's communication services and OneSource.

Copyright © EMPATIA Consortium 2016 - 2017

4.11 Technology used

Lisboa Participa is the main portal for participation of the city of Lisbon, integrating all existing participation tools of the municipality in one single platform, and adding two new tools (LisBOAideia and Thematic Consultations) with the help of EMPATIA.

The structure and main features used in this pilot are explained below.

4.11.1 Structure and features of the pilot platform

The EMPATIA platform made possible the integration of the following participation tools that had different URL's and are now listed as Lisboa Participa subpages, with the exception of PB[7]: "Fix My Street", "Open Lisbon", "Lisbon in Debate", "Citizenship Forum" and Participatory Budgeting.

The platform, through the use of technical features and a design that provides uniformity and a common identity, is structured in a user-friendly manner. In the following are explained the main menu and footer areas.

The main menu is composed of six menu items – PB, LisBOAideia, Fix My Street, Lisbon in Debate, Open Lisbon and Citizenship Forum - and at the same level the button to login and register. The black bar seen above the menu is a link to the institutional page of the Municipality of Lisbon, as well as the language selection buttons. Lisboa Participa is available in three languages: Portuguese, English and French.

Figure – Main menu of Lisboa Participa portal

The footer bar of Lisboa Participa contains the contacts of Lisbon Municipality, telephone number and email of the team that manages the platform. Links to Privacy Policy and Terms of use are also found here. Links to social media such as Facebook, Twitter, YouTube, Vimeo and Google Plus are provided in this space, as well as the link to EMPATIA project and the information about the funding of the project.

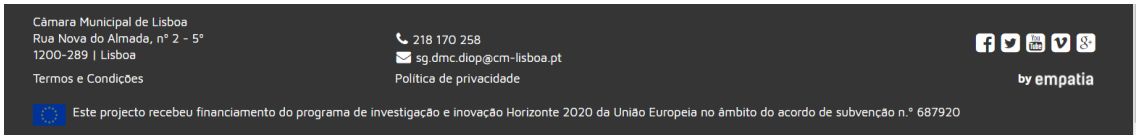


Figure 73: Footer of Lisboa Participa

Homepage

The homepage provides all the necessary information and easy access to the different tools/areas available for citizens to use.

[7] PB has its own URL: https://op.lisboaparticipa.pt/home

After the banner there is a button for each tool, with an icon and a brief definition associated. By clicking on a button, it is possible to access the necessary information about the tool/area. This can be considered as a secondary menu providing access to each of the participation tools/areas.

Figure 74: Secondary menu with buttons for each of the tools/areas of participation

For example, in the case of LisBOAideia, when the user clicks on the button, it is possible to have a description of the process, to access the rules of participation, view all the submitted ideas and filter them (most recent, most voted, thematic area, closed, approved, in technical evaluation,…).

Figure 75: Overview of LisBOAideia page

A summary of news and events is also available on the home page. The four most recent news and events are displayed. It is possible to read all news and events by clicking “view all”. On the news section each of them is associated with a colour, green is associated to PB, yellow to LisBOAideia, pink to consultations, etc., making it easier to the user to identify the participation tool.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 76: Screenshot of the Lisboa Participa News page

Features used: CMS, Content Management for static pages, Content Management – News, Home page pop up, Splash screen.

Participation Tools (LisBOAideia and Thematic Consultations)

LisBOAideia has been created especially for the Lisbon pilot. The whole process was managed through the EMPATIA platform. As explained in chapter 4.6, there are several phases that the ideas have to go through from their submission by users until a decision is made by the municipality. Several configurations were available for the processes regarding user permissions, monitoring, moderation of comments, phases switches, number of votes allowed, amongst others.

The EMPATIA platform is flexible and allows different levels of monitoring. If the municipality desires a low level of monitoring, it is possible to publish ideas or comments straight away, or on the other hand, before publishing any kind of content it has to be moderated and only then published.

Lisbon Municipality decided that all the ideas and comments submitted were subject to moderation. This was useful to avoid abusive language, the submission of false ideas (for example, comments about a certain department, complaints) that could produce noise and misrepresent the purpose of participation. OneSource has programmed the platform with on/off switches that can easily adapt to serve more or less monitoring.

The feedback was possible both ways, from the management team to the user and vice-versa. The platform was built in order to facilitate communication. A user can easily contact the management team by sending a message through the user account and the reply is also shown in the same space (automatic alert is sent to the user email). It is also possible to send an email to all the registered users. This is useful for certain phases of PB, to appeal for proposals submission or vote in the projects, or for research purposes.

Regarding the thematic consultations, the participation process is different from PB or from an ideas collection tool like LisBOAideia. In those consultations, the municipality identifies a theme and puts it to the consideration of citizens to collect contributions and feedback. For a user to participate in a consultation, a verified login and all profile data are required. All contributions are listed under the PAD for the thematic consultation and can be exported to PDF or Excel.

Copyright © EMPATIA Consortium 2016 - 2017

Features used: User profile (profile, messages, participation), Public topics list sorting options, CB topics status, CB configuration/modification dates, CB voting period management, CB user levels & permissions, Ideas, Thematic consultations, Thematic consultation specific notifications, Comments, Topics XLS and PDF export

Registration / Verification

As described in chapter 3.6, the registration only requires the user name, a verifiable email account and a password. After the completion of the first step, an email is sent to the user in order to verify the email account. This process uses basic authentication features of EMPATIA. There is also the possibility to use a Facebook account to register. In the registration form there are also links to the Terms of Service and Privacy Policy.

Figure 77 and 78: The registration form for Lisboa Participa

Lisbon Municipality has requested that the roles of data controller, processor and enforcement of the privacy policy, during the validity of the project, were under the responsibility of the consortium. The decision was that OneSource was responsible for those roles, as reflected in the privacy policy, available on the registration page. This applies only to the data generated for LisBOAideia and Thematic Consultations. All other external links that are property of Lisbon Municipality follow their privacy policy. Therefore, OneSource is responsible for keeping user's personal data safe, and cannot in any circumstance, duplicate, distribute or sell it. All data collected will be used to research and monitor the results of democratic innovations managed by the platform, personal data will be anonymized and aggregated in order to respect and protect user's privacy. As stated in the privacy policy all users can request the removal from the service and to erase their personal data.

Once the account is created the user can login and choose a tool to interact. Although, in order to submit an idea, vote or comment, the user will have to fill in all required fields in the profile. The image below displays the personal account of a user, where it is possible to update the profile, send messages through the platform to the management team and reply to questionnaires if available.

Copyright © EMPATIA Consortium 2016 - 2017

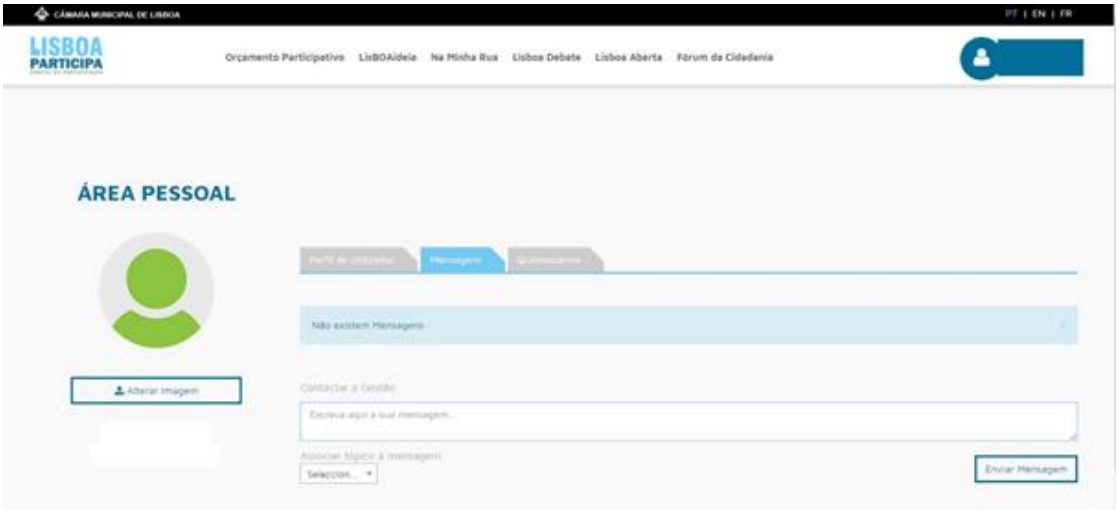


Figure 79: A user account from Lisboa Participa once the login is done

Features used: EMPATIA basic auth, OAuth2 (facebook, Google+), SSO, Login Levels, User profile (profile, messages, participation), Privacy and Terms, Users XLS and PDF export.

Integration of other tools / websites and single sign on

Lisboa Participa is a portal that integrates several participation tools/areas/projects of the Municipality. The focus of the pilot was their integration using the EMPATIA platform, which required different approaches for each process.

Integration of **Participatory Budgeting** in the Lisboa Participa platform - a process managed by another party with another technical tool acquired by the Municipality - was achieved on the one hand by providing a simple link to the PB process, and on the other by integrating the user authentication between the two platforms through the usage of REST APIs (from both platforms). This allows users to register only once and use the details for different platforms and tools ("single sign on").

The **Fix My Street** ("Na Minha Rua") process also uses another platform. It was not possible to technically integrate this tool with the EMPATIA platform. Therefore, Lisboa Participa manages only the news of this process and has a link to the external tool.

For open data, Lisbon also uses another platform (CKAN). The area **Open Lisbon** that was made available in the EMPATIA platform (Lisboa Participa) manages content and news regarding open data. This process area includes several content pages, the news management and the link to the CKAN platform.

Back office

Lisbon Municipality decided to have two different types of roles, user and manager. The user role does not have back office permissions and only allows the participation or interaction with the platform front office (submit, vote or comment an idea, participate in a thematic consultation). Back office permissions are possible with the manager role. These are crucial to easily manage all the ongoing processes as well as the flow of information given through the website. On the other hand, there is also the need to constantly feed the news and events sections, to keep the users informed and up to date regarding all the processes. For transparency purposes, all data is stored and is available for users' consultation. This is possible by managing the "contents" available on the back office. The manager role has been attributed

Copyright © EMPATIA Consortium 2016 - 2017

to OneSource, In Loco and other members of the consortium, besides Lisbon Municipality, allowing the monitoring and also helping in the management while the project is ongoing.

A number of tasks can be performed by the management team in the back office. For LisBOAideia, all ideas and comments submitted need to be moderated, the messages from the users have to be answered. If an idea reaches 100 likes (after 60 days of its submission), it has to be sent for technical analysis, and if feasible sent to the respective department for political decision. These steps require a change of status of the idea (moderated, technical analysis, …). The verification of users is done automatically, although it is also available manually, in case there is some problem with the first, as well as the creation of users or managers.

The tools directly managed within the EMPATIA platform are "LisBOAideia" and "Thematic Consultations", as well as all the links to other tools/pages, news and events related to the participation system. In the image below, the back office is divided in three main areas, each of them corresponding to different ways of interaction and management of the process.

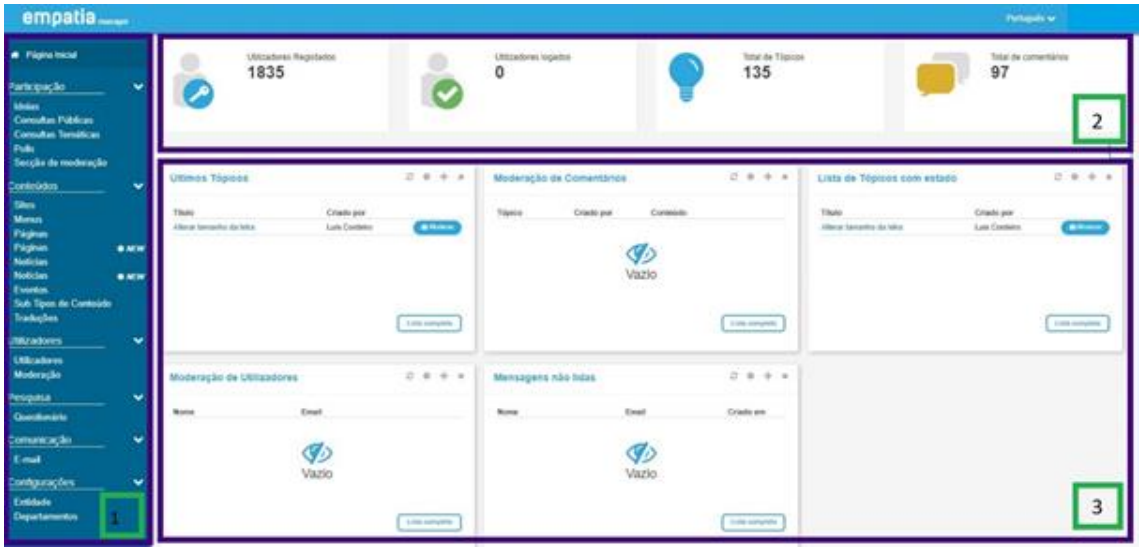


Figure 80: The different sections of the back office of Lisboa Participa

From area 1, the side bar, it is possible to access all the tools to manage the different ways of participation (internally called "PAD's"). All PAD's available in Lisboa Participa were accessible under a button named "Participação". Within this space are available the different PAD's (LisBOAideia, Public and Thematic Consultations, internal polls and moderation section). All the different pages, menus and their data contents are managed under "Conteúdos". The verification and attribution of different roles to users is available in the space "Utilizadores". Under "Pesquisa" is available the pre-survey questionnaire that was used to collect feedback from the users of Lisboa Participa. Every time a user interacted with the platform, he/she was shown a pop up box asking if he/she would like to answer it. Through "Comunicação" it is possible to send emails to the registered users and establish an internal channel of communication. Lastly, there is the "Configurações" space that relates to all the necessary technical configurations for the platform and processes.

The area marked with number 2 in the figure provides essential key information about the process, for example, the number of registered users, number of users currently logged in, how many ideas have been created under LisBOAideia and comments generated.

Copyright © EMPATIA Consortium 2016 - 2017

The area marked with number 3 provides direct links to some of the sections mentioned for area number 1. For example, the list of all comments submitted, users created, messages received and list of different topics related to a specific PAD. This permitted short-cuts to display all the ideas that were submitted, and to be able to moderate them via the backend (i.e. change a status to "moderated" which meant that it would be published on the website). Lisbon Municipality decided that all ideas and comments would be subject to moderation before being public on the platform.

Features used: Back office user level and permissions, Back office groups management and permissions, back office dynamic menus, Content Management – News.

Questionnaire

The questionnaire feature has been tested to deploy the pre-survey for Lisboa Participa registered users. Before being used for the Lisbon pilot, it was used with the National Association of Municipalities of Mozambique (see D5.4 for details). The questionnaire builder available on EMPATIA was used to create the survey that was shown to the user in three different ways:

1) Every time the user interacted with the platform (submit, vote or comment) a pop up box was shown asking to participate (the user could answer or ignore);
2) The survey was stored on the user personal account and could be answered from there;
3) An URL link to the survey was created and sent via the platform to all the registered users.

Figure 81: Pop up asking to participate in the questionnaire

Features used: Questionnaires, Home Page popup

An overview of all EMPATIA features used in Lisboa Participa, can be found in the Appendix.

Copyright © EMPATIA Consortium 2016 - 2017

4.12 Pilot results in numbers

The following gives an overview of the key statistics of the pilot:

Lisboa Participa (participation portal)

- Between the 10th of March and the 30th of November, 2017, the platform was visited 18.710 times.
- There were 1.843 registered users on the platform.
- 65.799 page views (of them 36.913 unique page views) were registered in that period.
- The average time spent on the website was 5 minutes and 34 seconds.

LisBOAideia (part of Lisboa Participa portal)

- From March 10 till December 31 of 2017, 140 ideas and 128 comments were submitted by 94 users.
- The total number of votes in the ideas submitted were 1.706 (1.578 were positive votes and 119 negative), by a total of 836 participants.

Thematic Consultations (part of Lisboa Participa portal)

- The consultation for the revision of PB rules received 16 contributions.
- The consultation regarding Lisbon European Sports Capital 2021 received 10 responses.
- A third consultation is ongoing since the 14th of December till the 28th of February of 2018, about "Praça de Espanha". This is an historical square of great importance for the city of Lisbon. Citizens are invited to give their opinion about the nine possible projects for that area. As on February 1, 485 contributions have been received.

The graphic below depicts the visits to the platform from April until the end of 2017. It clear demonstrates the impact of elections (1st of October of 2017) and the PB process (from 18th of April till the 22nd of November) in the number of visits. From July until mid October visits were very limited, they have coincided with the electoral campaign, the elections period and the technical analysis phase of Lisbon PB. It is also interesting that towards the end of the year the portal gained new energy, with the increase of the flow of visits.

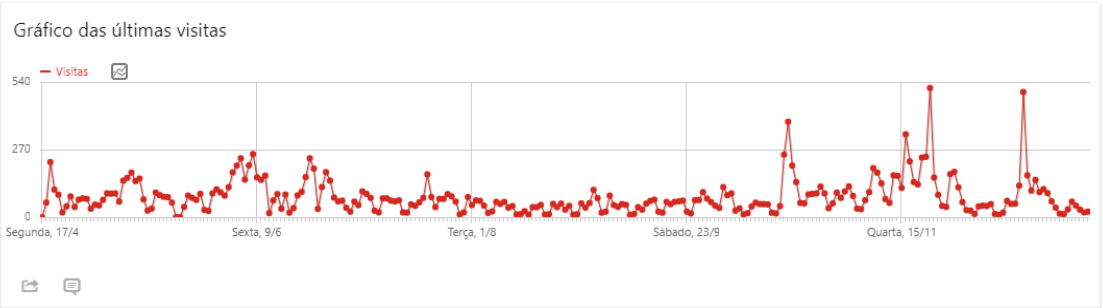


Figure 82: Visits to Lisboa Participa throughout the year 2017

Since Lisboa Participa aggregates several participation tools, it is interesting to have a perception of which are the pages that generate most views. Looking at the graphic below, based on Piwik information, in the period mentioned above, the most viewed page with approximately 41% of page views is the homepage, followed by LisBOAideia (22,9%) and the authentication page – used for the login or user registration – with 16,5%. The contents of news and agenda represent 6,5% of all the page views. In

Copyright © EMPATIA Consortium 2016 - 2017

what concerns the other tools, Fix My Street represents 2,3% of all visits, thematic consultations 1,5%, Open Lisbon 1,3%, public consultations 1,1% and the citizenship forum 0,8%.

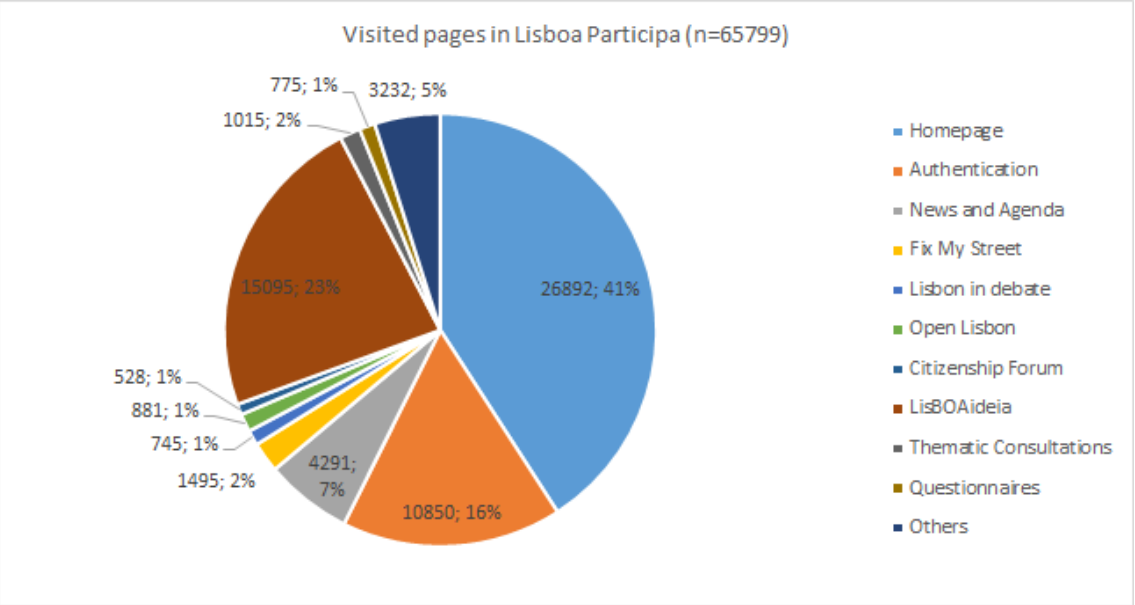


Figure 83: Visited pages in Lisboa Participa (views). Source - Piwik

The next graphic shows data related to the exit links, in other words, provides the exit URLs clicked by the visitors of Lisboa Participa (outlink is a link that takes the visitor out of the website – to other domains). According to the data from Piwik, the majority of the visitors exits the portal through the link to the PB platform (over 85 % of exit clicks). This information is no surprise because Lisbon's PB is a consolidated process with high visibility that many citizens already know and naturally use it. The next most clicked URLs are Lisbons municipal website with 4,2%, Lisboa Participa - mainly LisBOAideia and Thematic Consultations – (2,3%), Facebook (2,1%), Open data (2,0%) and Fix My street with 1,9%.

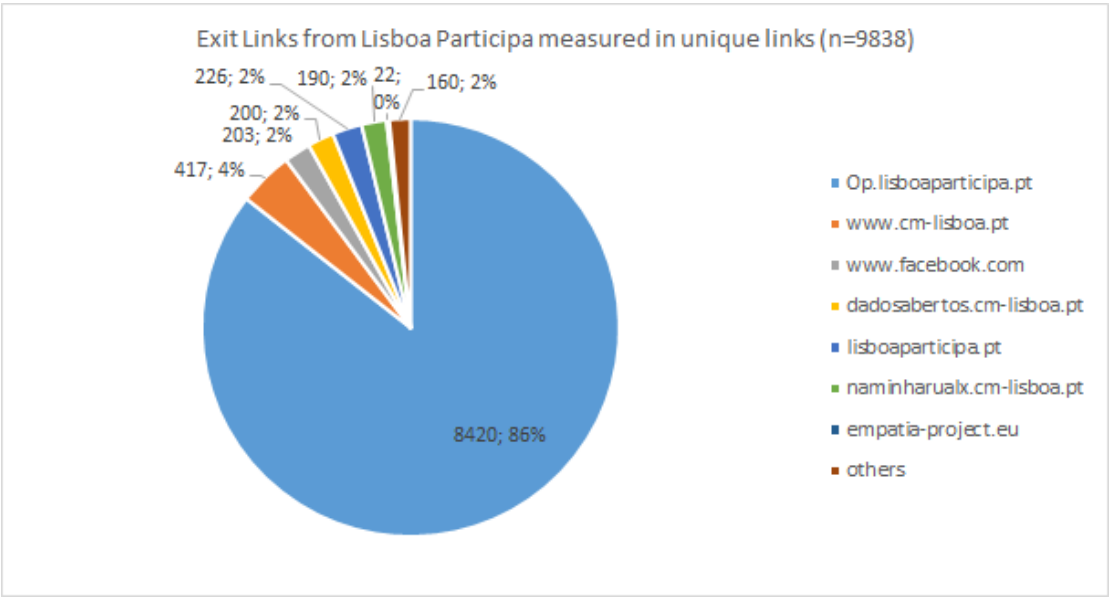


Figure 84: Exit Links from Lisboa Participa

Copyright © EMPATIA Consortium 2016 - 2017

The number of registered users in the platform is 1.843 but there is not demographic data for all of them as shown in the graphics below. This discrepancy was caused by two factors: i) the platform was initially launched without the demographic fields, moreover the requirement to have the profile complete in order to participate was implemented only on the 20th of April of 2017; ii) the Single Sign On integration with the PB platform does not require to fill demographic data on the profile8. This situation is foreseen in the deployment of the post-survey questionnaire, built with questions regarding demographics, for the respondents that do not have those fields completed.

Briefly, taking into account those users that provided demographic information, 47% were female and 51% male. Only 2% reported other gender.

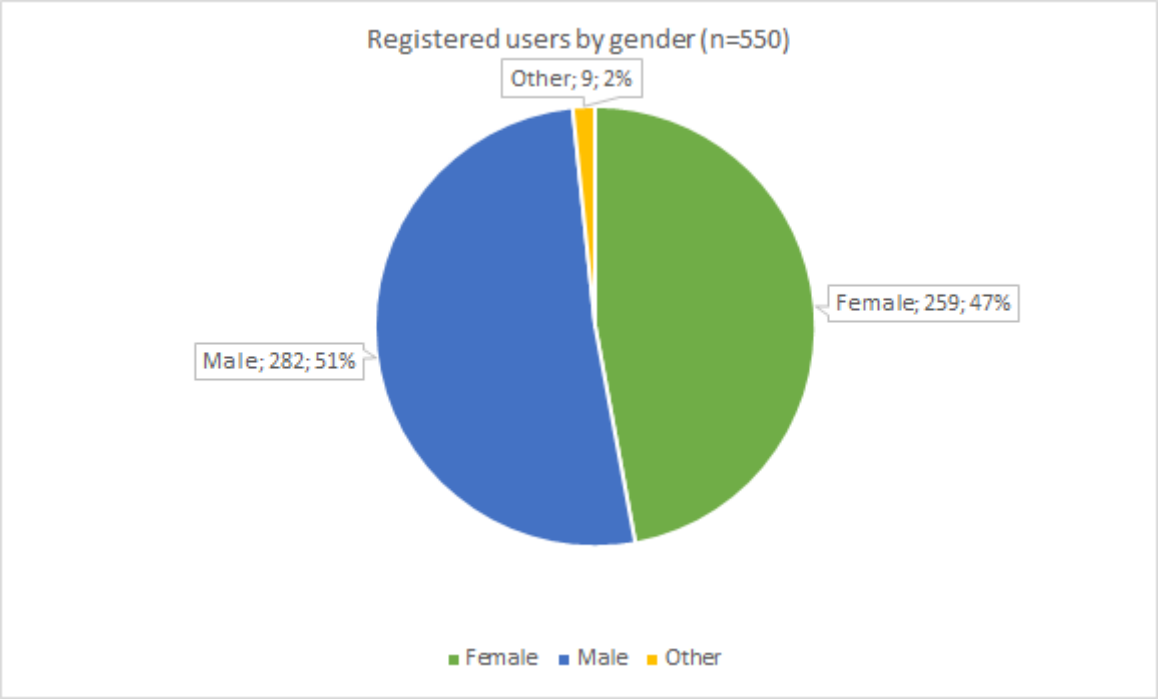


Figure 85: Gender of Registered Users from Lisboa Participa

Taking into account the academic background of the users, 95% have completed high school or have a bachelor/masters/PhD degree. In fact, 75% have completed higher education which means that information regarding Lisbon's participation portal is reaching the population with higher education skills and is not so successful in capturing those that completed basic education (first to ninth year of schooling).

[8] Due to the integration of logins, those users that register from PB platform are not required to fill demographic information.

Copyright © EMPATIA Consortium 2016 - 2017

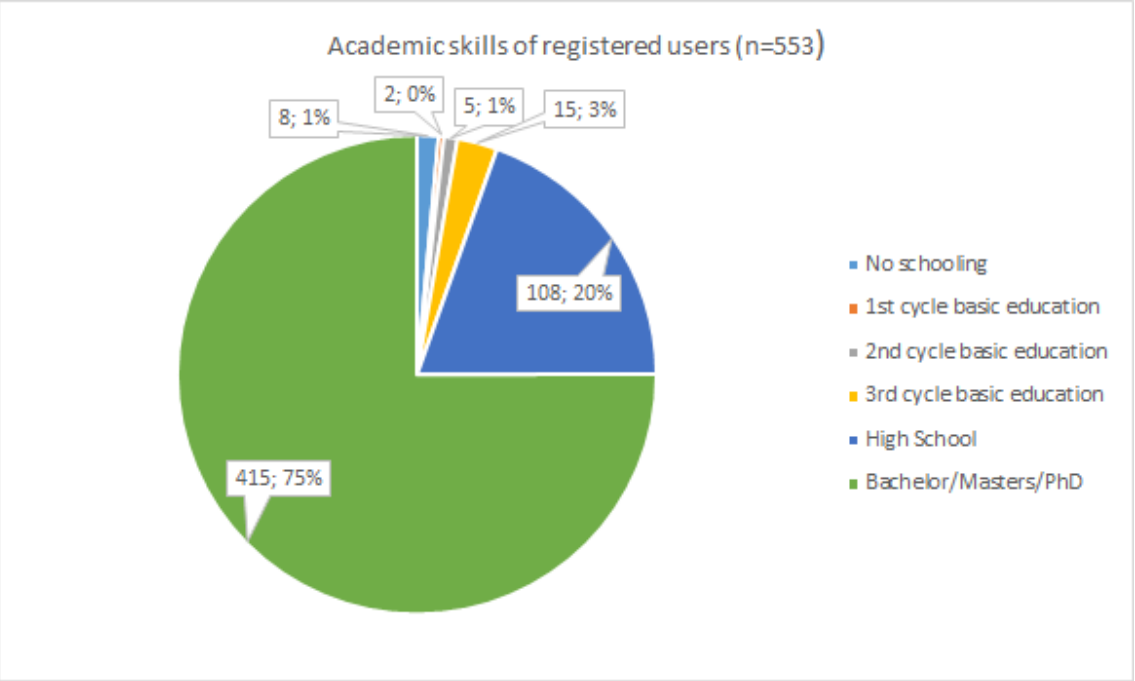


Figure 86: Academic Skills of Registered users from Lisboa Participa

Regarding the age group of registered users that filled demographic information, 47% are 30 to 49 years old, 30% are 18 to 29 and 17% are 50 to 64. Only 15% are more than 65 years old and 1% are less than 18.

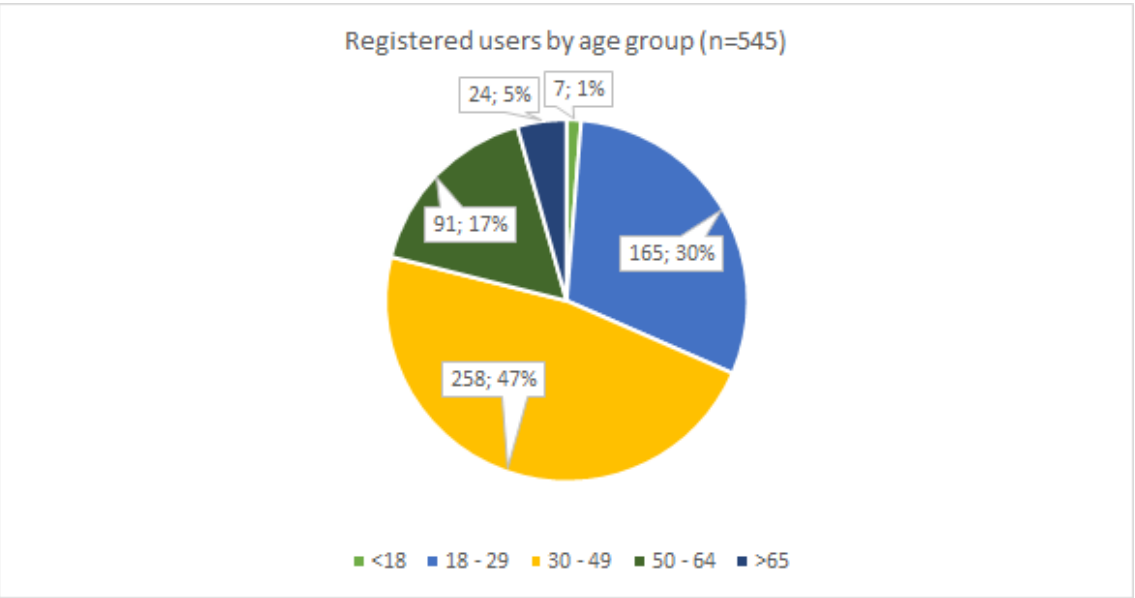


Figure 87: Registered Users by age group from Lisboa Participa

Copyright © EMPATIA Consortium 2016 - 2017

4.13 Future use of the EMPATIA platform

In the case of Lisbon, the future use of the EMPATIA platform is safeguarded on the protocol signed between the consortium and the municipality. The 5th clause of the mentioned document settles what will happen at the end of the project.

With the expiration of the protocol, the consortium is obliged to make the platform available as open and free software, the transfer of possession and ownership of the elements developed under the agreement, including copyrights and intellectual property and other related rights to all intellectual creations relating to the platform, including its documentation, writing, drawing, graphics, images, photographs, to Lisbon Municipality.

According to OneSource, the ownership transfer of the platform is a simple process that requires from the side of Lisbon Municipality having one or two servers available. Once the availability of the servers is safeguarded, OneSource does the installation of EMPATIA platform and the corresponding Lisbon database. If necessary, training will be providing during or after the end of the project. In the protocol, it is mentioned that the period for the ownership transfer should occur in the three months after the termination of the project.

In addition to the protocol issues, there is a manifestation of Lisbon Municipality's willingness and commitment to continue to use the EMPATIA platform as the basis for its participation system.

Another proof of this intention is the thematic consultation that is now available on the portal regarding "Praça de Espanha". This is a historical square of great importance for the city of Lisbon. There are nine different possible projects for that area and citizens are being asked to give their contributions about the square. This consultation will be available until the 29th of January of 2018.

"Lisboa Participa" will be further strengthened from 2018 with the creation of new tools (at the point of writing the tools were not defined yet) and areas of participation, which shows that the EMPATIA platform will continue to be used by the Municipality (BIZ/ZIP program is being negotiated). There are also internal negotiations with other services of the municipality in order to migrate other ongoing participation processes and practices to the platform.

4.14 Pilot platform evaluation

In the following, both the pilot platform development process and the pilot platform itself will be evaluated from the perspective of the pilot project managers (notably In Loco). Lisbon Municipality was also a platform manager but since the focus group in Lisbon will only be held in January, the feedback from their side will be part of the final Deliverable of WP4 and not included here.

4.14.1 Reflection on collaborative platform development process

With Lisbon, the EMPATIA platform focused on testing integration as well as the development and management of the tools LisBOAideia and Thematic Consultations. The time spent in the negotiation and development of the features and the date set for the launch of the platform left a short period of time for tests. Only with usage and intensive testing, it has been possible to improve issues and understand what works best.

Since the implementation of Lisboa Participa, 115 issues/requests have been registered on the Google shared document created by OneSource, 56 were related to LisBOAideia, 41 to Lisboa Participa as a

Copyright © EMPATIA Consortium 2016 - 2017

whole, 8 were related to thematic consultations, 2 to the open data section, and 2 to Fix My Street. These are further analysed below.

One of the most important lessons learned through the collaborative development and implementation process is that testing is very important and there is the necessity to have time to do it. Many of the issues could have been avoided if there was enough time to test the functionalities, page and information display, the back office and the information flows generated within the process. Although in a testing environment it's difficult to identity or foresee all that can happen, it is an important exercise that allows to understand and fix some problems.

Although there were many things to fix and many requests from Lisbon Municipality side, OneSource managed to make sure they were properly addressed and resolved as quickly as possible. The system implemented to report issues using a shared Google document proved to be very useful. It was set to explain in detail what was the problem and the level of priority. All occurrences had to provide the following information: which tool it was related to; brief description of task or problem; back office, front office related or both; level of priority; person that reported; date of report; expected date of resolution; date in which it was developed; date it was tested and comments. In conclusion, issues and bugs probably will occur which means that a system to deal with them must be implemented in an effective way.

While in other pilots the distance and language became a barrier for the municipalities' teams to contact OneSource, therefore making the pilot leader an intermediary of communications and issue reporting, with Lisbon this was many times unclear and difficult to implement, resulting in misunderstandings and struggle in communication. This was particularly true once the political negotiations were completed and the platform was launched. For Lisbon Municipality, it was much easier to speak directly to OneSource than to In Loco in case of technical issues. For any methodological advice, In Loco was the one contacted by Lisbon Municipality. As a consequence, most times it was OneSource that informed In Loco of issues or special technical requests raised by the municipality. This cannot be understood as negative, it just became a different approach of what was foreseen in the project design.

On a final note, it must be said that In Loco has been developing work in the field of PB mainly through consultancy to municipalities but it is not a technological developer nor it has knowledge in the field, so there are tasks such as platform installation that were not tested from In Loco's side.

4.14.2 Pilot platform evaluation

In the following, test results that were collected throughout the development and use of the pilot platform will be described.

Registration and Login

Issues with registration of users and verification of email accounts were reported. In the days that followed the launch of the Lisboa Participa portal, registration in the platform could be done with a fictitious email account. This happened because the verification system was not implemented. It was also possible to submit, vote or comment ideas without completing the profile information, a situation that derived from the request by the municipality of Lisbon to ask the minimum details possible during the registration. OneSource resolved this situation with the implementation of the email verification system. To solve the problem of data collection on the profile, the solution was to implement two levels of user profiles: basic and advanced. The basic profile did not have information filled and as a

Copyright © EMPATIA Consortium 2016 - 2017

consequence did not have access to participation functionalities. The advanced level had all the information filled, email verified and had access to all functionalities. If a user with a basic profile tried to perform an action on the platform, a pop up was automatically displayed informing of the necessity to complete the missing data.

Moreover, Lisboa Participa offers the option to do the login with a personal Facebook account. There were errors reported in this functionality (name from Facebook account was hidden) that were quickly fixed by OneSource.

Integration and single sign on

Integration and single sign on related features have not been reported as issues on the shared Google document by Lisbon Municipality. Nevertheless, it should be mentioned here since integration was a core objective of the EMPATIA platform. From the perspective of the EMPATIA partners, the original goal was to develop a platform that would fully integrate all participation tools, accessible through a unique single sign on system. Technically, this would have been feasible according to OneSource. However, the municipality of Lisbon decided to do the integration of tools in phases and not all at once because from a non-technical perspective the integration requires the communication with many different departments and decision makers, making it a time consuming task. It was therefore decided that in a first stage only PB and EMPATIA would be integrated with a single sign on. The positive aspect is that a user that registers in the PB platform now has access to all the tools managed by EMPATIA as well. On the negative side, that same user will have to create a new login (or use an existing one) to use Fix My Street.

Communication with users

The internal messaging system was also improved due to some issues reported. For example, there were cases that the messages sent via platform were not received by the users or did not send an email alert, therefore if the user did not login to the platform, he or she would not know that had received a message from the management team. Another function that was developed after usability reports was the association of a topic to a message; this was useful to identify the subject when communicating with the author of a specific idea.

Moreover, the need to set up alerts regarding an idea lifecycle was identified in order to keep the author informed. For example, when an idea reached the 60 days period, an automatic message would be sent informing the idea's author about the status (and the same for any other stage of an idea).

Slowness of the platform

Slowness of the platform was mainly reported in the early stages of the implementation and was concerned with the display of all the ideas. The page was slow, it took time to access the details of an idea or switching from one to other. This also affected the back office that took some time to load the information and topics lists. This was a problem that was identified and quickly improved by OneSource.

Display of contents

This was by far the category with most issues and bugs reported. Image and logos as well as links to the institutional page are important for a municipality. Many fixes were related to this type of occurrences: Logo missing on the registration page, missing link to the municipal website under the logo of Lisbon Municipality, wrong proportions of images, problems with the display of ideas' counters – related for example with the 60 days period, problems with the counters of the total number of ideas and comments,

Copyright © EMPATIA Consortium 2016 - 2017

creation of new filter fields, block comments for ideas that were already closed, display of translated pages. These type of occurrences could be sorted out quickly and were addressed by OneSource.

Back office organization

The back office is really important because all processes are managed from there. The first version had a type of language not so straight forward for those that use technology from a user perspective. The terms “PADs”, “topics”, “parameters” can be overwhelming when seen for the first time. It was only possible to understand the platform with usage. The second version released was much more user friendly because it uses terms that the management teams are familiar with. Nevertheless, after those initial contacts with the platform and once its usage became familiar, many improvements were requested. For example, displaying the list of ideas from the most recent to the oldest; having the possibility to change the status of an idea on the details page and not only from the list of ideas; receiving an alert when an idea or comment is submitted or a message received; remove the field summary of the idea creation form to avoid the repetition of text from the users side; creation of search fields in the back office (for example thematic area); fixing the statistics counters of the back office; once a comment is moderated should not be displayed on the initial list – others could be induced to think that it wasn’t resolved. All these issues identified resulted in improvements of the back office making the processes easier, less time consuming and more efficient.

PAD and modules flexibility

The flexibility of the EMPATIA platform configuration was much appreciated. Looking at PB and LisBOAideia both processes use the same PAD, they are just configured in a different way. While PB obeys to the decision making and implementation cycles, the ideas tool does not; they have similarities although serving different purposes or objectives. Ultimately the flexibility of EMPATIA allows the definition of these very different processes that have the same origin.

The fact that everyone that uses EMPATIA can decide which modules are suitable for their purposes is also interesting because municipalities don’t feel obliged to use the platform for all their ongoing projects, they can simply select one feature and integrate it with existing ones.

Statistical analysis and data export

The platform generates statistical analysis automatically from the data collected and enables the download in Excel or Pdf formats, very useful to perform in depth analysis. During the six regional training with the Portuguese Network of Participatory Municipalities (RAP), which included platform presentations and Empaville simulations, this feature of immediate availability of statistics caused the most surprise among the participants and was a theme that generated question and debate (see D5.4 for more information on dissemination strategy).

Copyright © EMPATIA Consortium 2016 - 2017

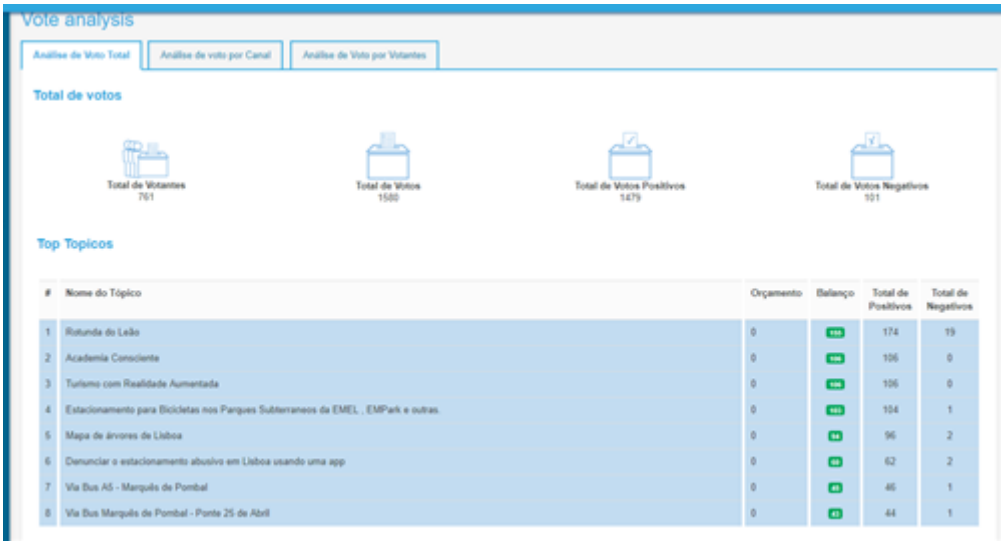


Figure 88: Different Statistics provided by EMPATIA

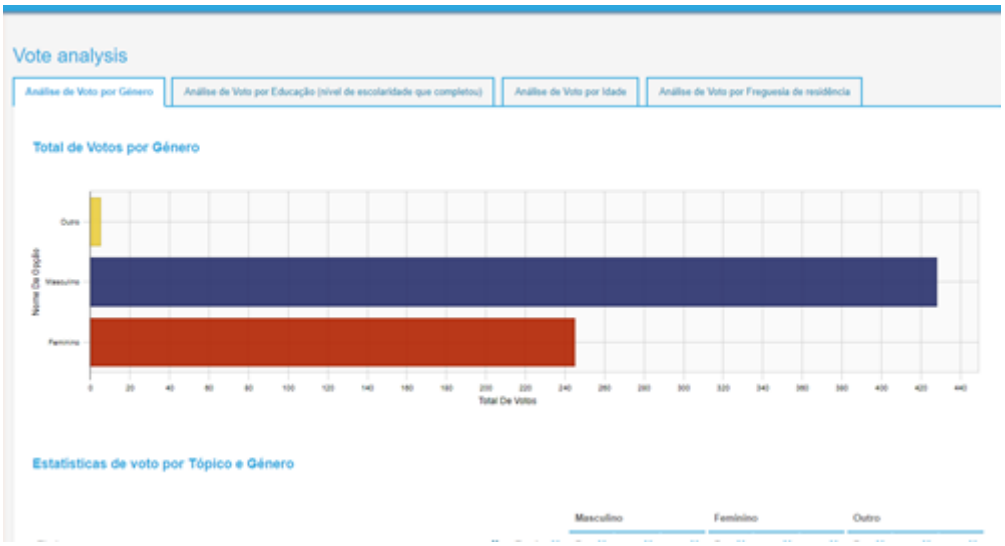


Figure 89: Different Statistics provided by EMPATIA (2)

Some municipalities that participated in RAP's regional trainings (check deliverable 5.4) became interested in using the continuous ideation and/or thematic consultations module themselves, implementing and aggregator website, using the roleplay game Empaville or trying the kiosks in participatory assemblies.

The realization of the focus group in Lisbon took place in the 23rd of January, in the same week of the last general assembly, which means that detailed analysis of Lisbon feedback will be included in D4.2.

4.15 Pilot process evaluation

Lisbon pilot provided the possibility to test integration with other platforms, some that were owned by the municipality and others that were not (PB platform for example), developed and tested other complementary participation tools, and implemented a Single Sing On.

Copyright © EMPATIA Consortium 2016 - 2017

4.15.1 Positive, innovative aspects

As mentioned before, Lisbon has a long history of participation. In fact, their PB process started in 2008. In the process several participation, e-government and open data tools were created. The result was a fragmentation of tools, portals and websites that were not linked or unified. Each of them required a different authentication process that in the end was an obstacle to citizen participation.

The solution of EMPATIA has enabled a new vision for public participation in Lisbon, with the integration of participation and the revitalization of the participation portal "Lisboa Participa". This inevitably brought significant gains for Lisbon, such as:

- Reinforcing visibility and public statement;
- Conceptual and functional integration of tools;
- Possibility to have (or to reach) a Single Sign On;
- Increasing the efficiency and effectiveness of information.

The most innovative aspects of Lisboa Participa were the integration of all the available participation tools providing them a common identity, uniformity and clarification of their purpose all in the same space. This process has enabled the implementation of the Single Sign On - even though only partially (see chapter 4.14, 'Pilot platform evaluation') - which represents something that was never tried before by the municipality.

It also expanded participation, creating new forms of involvement of citizens that previously did not exist (LisBOAideia and thematic consultations).

EMPATIA has created channels of communication within the participation tools for users and the management team. For example, a user that submits an idea through LisBOAidea can easily communicate with the management team by sending a message through the platform and vice-versa.

LisBOAideia also took advantage of certain trendy features used in social media, by offering citizens an easy way to express if they agree or not with a certain idea, with the likes and dislikes type of voting.

4.15.2 Areas of Improvement

Concerning areas of improvement in the methodological aspect of the implementation of the pilot, the following should be addressed:

First of all, there is room for improvement regarding the **methodology of LisBOAideia**, making the process more attractive and effective. As it works right now, not many citizens are using this participation offer, and the difference between the PB and the continuous ideation seems not clear enough for users. This was clearly shown by the fact that after the PB was started, participation in LisBOAideia dropped significantly. However, it has to be said in defense of LisBOAideia that PB is established and well known to citizens, so it is difficult to compete with such a process. LisBOAidea is something new and its results are still unknown. In this sense, it would be important for the Municipality to make a decision about how to proceed with the ideas under technical evaluation. From the beginning of the pilot until now, there was never a decision made regarding the winning ideas. The implementation of the winning ideas, or at least some of them, would increase confidence and provide visibility to the process.

Different phases could be created for the process, for example, ceasing to be a continuous process, and having two or three moments per year in which ideas are accepted, and then make their technical

Copyright © EMPATIA Consortium 2016 - 2017

evaluation and a decision regarding their implementation. It is also necessary to explore its integration with the PB process regarding the initial plan to decrease the number of small budget proposals from the process.

"LisBOAideia" would also have benefited from a more multi-channel approach with some face-to-face events, with a common good check by citizens or the establishment of communities or support groups around ideas. This could have been achieved by taking advantage of PB face-to-face events such has participatory assemblies.

Secondly, improvement can be made in the **open data portal**, promoting a better organization of the information, the way it is made available and also promoting the collaboration of the citizens in the feeding of data.

Thirdly, in the **thematic consultations** it is possible to go further in the process of collecting contributions, adding also tendencies of voting, something that at the moment does not happen.

Fourthly, even though not in the hands of EMPATIA, the **PB** can also be improved; there are delays in the execution of the works which undermines its credibility, resulting in a decrease in the voting in the 2017 edition.

4.16 Conclusion: Goals achieved?

For a final evaluation from the perspective of the pilot partner, the process needs to be analysed in relation with the goals that were originally defined.

4.16.1 Level of achievement of municipal goals

As written in chapter 3.3, the work done by EMPATIA in the Lisbon pilot was based on a number of municipal goals formulated as a result of the requirements gathering and planning process. It will be analysed in this section in how far these goals were achieved:

First, they aimed to **re-organise their existing participation tools** and make them available in a single portal, therefore strengthening the democratization process of opening up to citizens and **providing easier access** to participation offers. This objective has been achieved to the extent that today it is much easier to find the different channels of participation than before the implementation of EMPATIA. All the information is available in the same portal and design has provided a common identity. As explained in chapter 3.14 ('Pilot platform evaluation'), there is still room for improvement regarding the number of tools made available via Lisboa Participa, and the depth of integration (sometimes only by way of using links). The municipality strives to continue the process towards a fully integrated portal, something that would have been feasible technically but that involves communication with the different departments. With the single sign on integration of PB, a first step in the right direction was made.

Secondly, they saw the need for a **continuous ideation tool** in order to **decrease the number of small-budget ideas from the PB process**. Moreover, LisBOAidea was created to provide the citizens the possibility to participate all year round (outside the ideation phase of PB that occurs from April until June) and to explore synergies with the PB process. While a space for small budget ideas was successfully created with the help of EMPATIA, it must be said that the objective of thereby reducing the number of proposals in the PB has not been achieved. The statistics of use of this tool are not satisfying yet, but it may be too early to evaluate the tool on the basis of numbers since it is normal that is has to gain popularity first, and it has to 'compete' against the well-known PB process. Once a decision

Copyright © EMPATIA Consortium 2016 - 2017

is taken by the municipality on which of the submitted projects will be funded, and first 'positive examples' are implemented, it is expected that participation in this tool will grow.

Thirdly, the municipality asked for an area of **thematic online consultations** which would allow them to put to debate topics that do not require participation by law but that are still important to debate publicly in the eyes of the municipality. This goal has been achieved to the extent that today Lisbon Municipality has a fully functional tool that can be used to obtain the citizens views and opinions for projects that they wish to implement. It is worth saying that this consultation of the public's opinion is not required by law, and happens only because the Municipality decides to do it and wants to incorporate citizen's contributions, which ultimately can help to achieve a higher democratization of municipal management.

Overall, the platform and the participation system still have room for improvements in the short and medium term, and there is already the commitment of the Municipality to continue this work, ensuring, for example, the integration of other participation tools, which for legal and organizational reasons, could not be included during the lifetime of the project. This is the case, for example, with the municipal social housing policy, which includes various programs for the participation of residents living in excluded territories of the city (BIP/ZIP Program)[9]. Moreover, it also concerns the implementation of a single sign on system that serves all the existing participation tools in the platform. In the framework of EMPATIA, this was only possible for part of the existing participation tools.

4.16.2 Level of achievement of EMPATIA objectives

From the perspective of EMPATIA, the results achieved differ from the initial expectations. This difference is due to the differences between the moment the project application was submitted and the moment when work began. The application was negotiated with a Mayor and an Alderwoman responsible for the participation, who soon resigned their functions to be part of ~~to integrate~~ the Government of Portugal. These were replaced by a new Mayor and a new Alderman, who defined as a priority for the participatory budgeting process the acquisition of a new electronic platform. This happened in early 2016 for the implementation of that year's PB cycle, which took place in April. Since the EMPATIA platform could not be made available on that date, as it was still at an early stage of development, the City of Lisbon opted to acquire its new PB platform in the market from another platform provider. This circumstance obliged the EMPATIA Consortium to renegotiate with the Municipality the conditions of implementation of the pilot and the functions that the platform EMPATIA should carry out. After this negotiation period, it was decided to redirect the EMPATIA platform to support the design and creation of a Lisbon city participation system, capable of integrating in a single platform the tools of participation that were dispersed, creating new tools to consolidate the municipal policy of participation in a more comprehensive and permanent way.

While it is true that the results achieved differ from the initial expectations, it is equally relevant to say that they are much broader and more structuring than those initially envisaged by the team. This is because the project was not confined to a single participation tool, although quite important, namely the PB, but to different forms of citizen participation. This fact allowed the EMPATIA platform to:

- serve as an element of communication and interaction between different tools of participation;

[9] Please refer to chapter 3.6 for a description of BIP/ZIP Program.

Copyright © EMPATIA Consortium 2016 - 2017

- involve different municipal services, which traditionally communicate and cooperate little among themselves;
- facilitate interaction of citizens with the Municipality, through the different participation tools, by assembling them on a single platform;
- function as a basis for granting a system of participation of the city of Lisbon, increasing the impact of the intervention of citizens in the public policies of the Municipality;
- serve as an example for other municipalities, which today are interested in moving towards the creation of a system of participation similar to that implemented in Lisbon.

Although Lisbon Municipality is working with different platforms (EMPATIA and PB), it has been possible to establish a cooperation between the two. A clear example of this cooperation is the joint creation of a questionnaire evaluating all the tools that are part of the portal. The findings will be published in D4.2.

In order to understand in how far the objectives of EMPATIA have been achieved with this pilot, it is important to take a look at the originally set out objectives:

First of all, the objective "**participation**" referred to "the creation of a municipal participation policy that could reach more citizens by providing different channels of participation in the different areas of the municipal activity." Looking critically at the development of the project, as was mentioned at the beginning of the chapter, more expressive numbers were expected in the use of LisBOAidea and the consultations. Nevertheless, the mere existence of the new channels of participation should be acknowledged as something positive because they provide a basis which can be built upon. Lisboa Participa should also not only be evaluated by looking at the results of LisBOAideia and the consultations tools. Lisboa Participa also enabled easier access to participation processes like PB and Fix my Street. While it is impossible to proof whether Lisboa Participa has contributed to higher participation rates in the other processes, the numbers of clicks from Lisboa Participa to the PB platform are considerable (see chapter 4.12, ' Pilot results in numbers'). Regarding LisBOAidea, 140 ideas were created, 1706 votes were submitted by 836 voters and 4 ideas have reached the necessary 100 votes (balance between positive and negative). Three Thematic Consultations have been carried out. The first two were available in the very beginning and had a low level of participation, only 26 contributions. The most reasonable explanation was that the process was unknown and the level of publicity given to it was insufficient. However, the third thematic consultation is still ongoing and has already received 458 contributions (as in January 2017). The difference in the levels of participation can be attributed to the relevance given to it. Moreover, the currently ongoing consultation is promoted by a pop up every time a user accesses the portal, it is shown on Facebook and on the portal events section. These publicity actions given to this initiative are showing results. Overall, all processes on the platform combined, approximately 1320 users have participated. The platform counts a total of 2489 registered users. The numbers must be evaluated in the light of the context: The elections that took place in 2017 created a great instability in the Municipality and for many months, there was no political decision maker for the participation area. Therefore, the direct results fall behind expectations. Since the end of 2017, this situation has been overcome and the results are clear and much more expressive. If the indirect results (PB, Fix my street) are taken into account, approximately 35.000 users of the PB process can be added. This fact helps to justify that the research survey aiming at evaluating all six participation tools available in Lisboa Participa has been sent to all those users. The results of the survey will be published in the deliverable D4.2.

Copyright © EMPATIA Consortium 2016 - 2017

The objective "**efficiency**" referred to the goal of "optimizing the investment of time and resources by facilitators and technical staff, as well as citizens". With the creation of the unified portal, it can be assumed that it is easier for citizens to keep up to date about participation offers and to know what options they have. However, there is still room to improve information given to citizens that could result in an increase in efficiency for both sides. For example, participation rules could be provided with a more accessible and understandable language, providing tutorials informing how tools can be used are some possibilities to be explored. Regarding efficiency on the side of the municipality, considerable advancements have been made: With the EMPATIA platform, it is possible to manage news and events for all the participation tools available in one platform rather than having to use platforms. LisBOAidea, consultations and the Citizenship Forum are entirely managed by the EMPATIA platform. However, it has to be said as well that the assumption that the continuous ideation tool would reduce the amount of work of the technical analysis in the PB has not really hold true since the tool was not used as much as expected.

Thirdly, the objective of "**transparency**" referred to making information integrated in one platform more easily accessible. The implementation of the pilot has made possible to build an archive for all the processes. The creation of search filters has made possible for users to view all current data and also data for closed processes. For example, the thematic consultations can still be accessed, even though they are closed. This is also the case for all the ideas submitted through LisBOAidea. It is worth saying that there is still room for improvement. More data can be created (providing all contributions and voting trends for example) on the results of all consultations.

Lastly, the objective of "**integration**" referred to integration, uniformity and a common identity of existing participation tools in order to support a comprehensive participation policy by Lisbon Municipality. This objective was at least partially achieved by integrating a number of other tools (PB, Fix My Street, Open Lisbon) and connecting the with a single sign on so that users no longer need different login data for the different platforms. However, in the framework of EMPATIA, not all participation tools and services could be integrated, and full integration (with a single sign on) was only achieved with the PB platform, so there are still tools and services that need to be integrated in the future. This should be evaluated in the light that Lisboa Participa is an evolutionary process. Even though the project has come to an end, the Municipality is still planning on continuing with the integration process, adding participation tools and moving forward to the next stages on the implementation of the single sign on. Regarding the achievement of the goal of "integration" in the framework of the project, this objective has only been achieved partially. However, as written in chapter 4.14, Lisbon will keep using the platform for their strategy of building a participation system, meaning that in the short or medium term a full integration will hopefully be achieved. What is most important is that EMPATIA set the basis for integration, so from a technical point of view, integration will not be an issue.

Copyright © EMPATIA Consortium 2016 - 2017

5 Říčany pilot

The Czech pilot took place in Říčany, a small municipality of 15.000 inhabitants, located close to Prague. The Říčany pilot was the first to employ the EMPATIA platform in an active PB cycle, which corresponded with the city's first-ever PB process, launched in fall 2016 and completed with city-wide voting in May 2017. The second cycle of PB is underway. The pilot was structured to integrate the EMPATIA platform into the city's multi-channel participation strategy, whose principal online tool prior to PB was the city website and D21 polling platform, used for the "Řidim Říčany (I Manage Říčany)" initiative. This initiative is a year-round outreach program to solicit the feedback and preferences of citizens involving a range of (non-budgetary) city decisions, including priorities for improvement of city services, the theme and timing of cultural events, etc. The EMPATIA pilot platform is available at www.ricany.empatia-project.eu.

5.1 Reasons for selection

Říčany is among the very first cities to pilot PB in the Czech Republic. Though a small city with limited capacity in its municipal administration, progressive town leaders have made a significant investment of public funds to realize its first-ever PB process: 5.000.000 Czech crowns, or roughly 185.000 €.

In economic opportunity and quality of life, the town benefits from a location just a few kilometers outside of Prague. The majority of Říčany´s inhabitants work in the capital city, with public transport taking commuters comfortably into Prague within half an hour. On the other hand, living in the shadow of the capital has some drawbacks for the town's civic cohesion and fiscal management. A large number of the middle- and upper-class inhabitants, for example, use their apartments and houses in Říčany for an "overnight stay" only. Many of these erstwhile residents of Říčany both work and pursue their interests and leisure activities in Prague, where they also keep a permanent tax residence. The fiscal challenge to Říčany is significant: the town both loses the direct fiscal support of potential taxpayers and the matching contributions paid by the Czech state to municipalities on a per capita basis.

Figure 90: Poster of "Prekvapte Říčany ('Surprise Říčany)", the city's first PB process

Copyright © EMPATIA Consortium 2016 - 2017

The mayor of Říčany is Vladimír Kořen, a progressive and popular independent politician, broadly known for his time hosting a television show on scientific and social issues. His party, Klidné město ("Quiet Town") won an absolute majority of all votes in the most recent municipal elections in October 2014, winning fourteen out of twenty-one seats on the town council. Mayor Kořen, with this strong political mandate, announced as his goal the increased participation of citizens in public affairs, to deepen their involvement in community life, to motivate them to declare their permanent residence to be Říčany by including them in town decisions, and notably by letting the people select or prioritize investment projects financed by the town.

On 15th May 2015, D21 and the town of Říčany signed an accord embarking on a two-year series of civic engagement initiatives, entitled "Řídím Říčany" ("I Manage Říčany"), or "ŘŘ" for short. This campaign, jointly administered by town administrators and the D21 team, consists of a series of in-person and online dialogues with citizens through the D21 voting platform (see www.d21.me); the objective for the campaign is to steadily build a community of participants in a range of discussions on town planning and common needs.

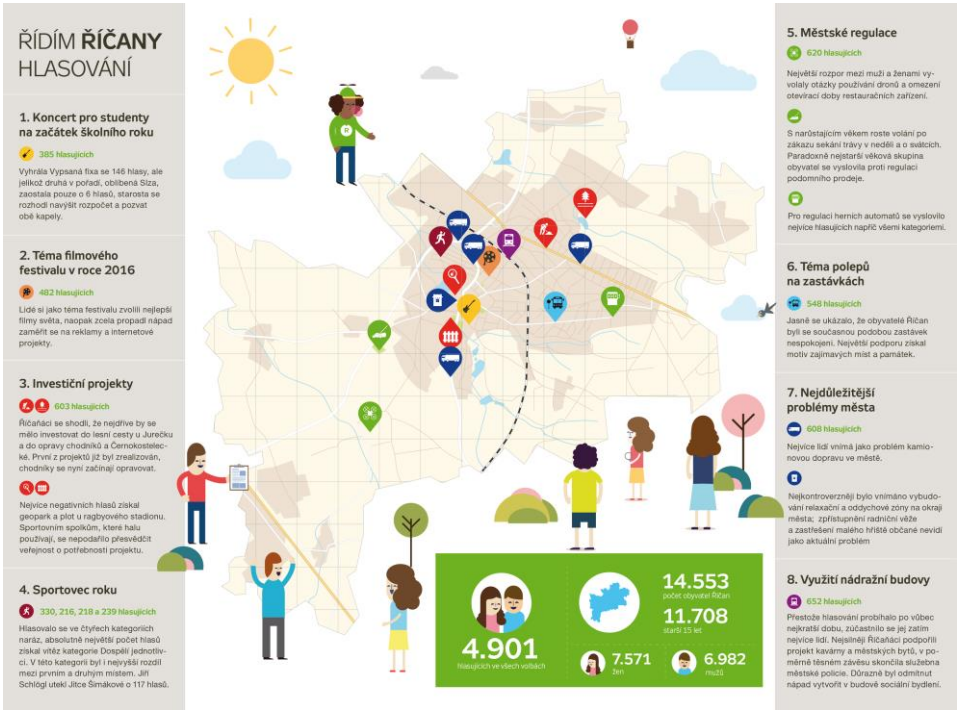


Figure 91: Overview of "I Manage Říčany" multichannel participation, 2015-16

For example, Řídím Říčany used D21's platform to successfully complete 12 citizen polls in the first 18 months of the campaign (May 2015 - November 2016). More than 1600 of the town's 15.000 citizens registered their personal email in the D21 platform, with an average of 600 participants in each poll. D21 assisted in an information and mobilization campaign making use both of traditional and state-of-the-art methods to promote the Řídím Říčany initiative. Articles have been published regularly in the monthly "Říčanský kurýr" ("Říčany Courier"), and volunteers regularly distribute information leaflets in the streets, at bus stops and at the train station.

In addition, as part of its outreach strategy, and in coordination with D21, city officials advertised the participation campaign on billboards and town lampposts; a regular stream of updates were posted on the city's Facebook page and a special microsite (dedicated campaign URL, linked to city homepage),

Copyright © EMPATIA Consortium 2016 - 2017

www.ridimŘíčany.cz, was created for information on all polls and events. Finally, regular email messages from the mayor, as well as invitations and reminders were sent by D21 platform to registered participants. These initiatives helped prepare a new atmosphere of civic dialogue that laid a foundation for the launch of the city's first-ever participatory budget in the fall of 2016, as well as a trust in digital tools offered by the town hall as a reliable and easy-to-use channel for citizen input.

5.2 About the requirements gathering and planning process

The following chapter gives an overview of how requirements for the pilot were gathered and how the planning and design process were conducted. Moreover, the communication workflows between OneSource, D21 and the municipality during the development and implementation will be described.

5.2.1 Requirements gathering and design process

Given the small size of the city and the newness of the community to PB, the principal design decisions concerning the process were made between Mayor Kořen, city administrators and D21's team in the spring and summer of 2016. Brainstorming meetings with city stakeholders were supplemented with face-to-face input gathered from citizens during other town meetings and events. Important subjects that the mayor's team would raise in these conversations with citizens included : (i) level of awareness about participatory democracy in general ; (ii) level of awareness about PB in particular ; (iii) level of interest in taking part in PB generally ; and (iv) specific areas of interest regarding the improvement of city services or investments. This citizen input, though gathered informally, served as an important reference for determining PB rules and parameters for Year 1, setting a benchmark of citizen expectations, and clarifying the time and capacity required by municipal stakeholders in managing the process.

Figure 92: Mayor Vladimir Kořen (Říčany, Czech Republic), pictured right Independent / "Klidne Mesto" ("Quiet City") party

Copyright © EMPATIA Consortium 2016 - 2017

These design choices were solidified over the course of a series of meetings between D21's team members and Mayor Kořen's team in the spring and summer of 2016. On most key decisions, the mayor actively sought the advice of D21 based on its experience in PB processes. For example, D21 had recently completed its second year as lead technical partner for New York City's PB - a decentralized PB process effectively run as a series of "council district PBs", and thus relevant to a small city like Říčany. As a result, the mayor supplied D21 with the key dates of the city budget cycle and statutory limitations on project scope (capital expenditures rather than services), and accepted D21's recommendations regarding the design of specific phases of PB, with most attention given to the idea-gathering, neighborhood assembly, and voting phases.

Figure 93: Gathering citizen input on PB design during event in Říčany town square, February 2016

The capstone moment of the planning process was **a design workshop conducted with the participation of EMPATIA partners on 13 September, 2016**. Though key decisions such as the budget envelope, projected calendar, and internal roles and responsibilities had already been informally validated prior to the workshop, the participation of EMPATIA partners from countries with deep experience in PB allowed Říčany stakeholders to discuss trade-offs and practical concerns surrounding a few final points. The subjects of discussion given greatest attention at the design workshop were the internal workflow among city staff, and key strategies in the outreach campaign -- each critical in a city launching PB for the first time. Following the design workshop, a written internal plan was completed by city administrators, integrating the feedback from EMPATIA partners and finalizing roles, responsibilities, and schedule.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 94 and 95: Working session on PB with Mayor Vladimir Kořen and EMPATIA partners

As such, **the idea-gathering module of EMPATIA** was selected as being the critical ICT enhancement to test in this first cycle, with the idea that more features and tools could be added in the 2017-18 cycle. Requiring project proponents to focus on a single, high-priority idea, as opposed to letting each citizen offer many ideas, was another rule the municipality chose in order to raise the quality of project ideas and lower the burden of technical review on city administrators.

Finally, city leaders believed that making use of the D21 platform for the voting phase of PB would be the best way to ensure continuity between PB and the ongoing "I Manage Říčany" campaign, integrating into this pilot via the microsite a locally produced ICT tool -- D21's web-based voting and polling platform -- with which citizens had already become familiar.

5.2.2 Relation to use case scenarios defined in D1.2/1.4

As part of Deliverable D1.2 and a later updated version D1.4, requirements for the Czech use case were formulated based on literature on democratic innovation as well as initial feedback by pilot partners. In the spring and summer of 2016, during meetings with Mayor Kořen and his team, D21 team members presented the main findings of these deliverables in the form of summaries (the deliverables being in English, and the language of the meetings being Czech). The most important lessons learned were a careful assignment of roles and responsibilities to city team members for the idea-gathering and technical review phases, as well as a clearer idea ahead of time what investment of human resources would be needed. For a first-time PB process, the allocation of time and team members was the major point of uncertainty, and these deliverables helped show how similar municipalities dealt with these critical issues.

5.2.3 Feedback workflows during development and implementation

Partially because of the time consumed during summer 2016 pursuing the API issue, the platform testing process was compressed into a frustratingly small period of time, from the final week of September through the public launch of the idea-gathering platform on October 24th, with the central idea-gathering features not made operational until the date of the first neighborhood assembly on November 15th. The compressed schedule produced significant anxiety and frustration on all sides, and was by general agreement the least well-managed element of a PB process that achieved good success overall. A common workplan for development and testing was agreed between OneSource, D21, and Říčany city staff during the General Assembly in Prague on September 10-12, with the goal of making all informational and idea-gathering functionalities public in concert with the official launch of PB on

Copyright © EMPATIA Consortium 2016 - 2017

October 24th. The key EMPATIA functionalities requested by the city for the submission of project ideas were the following:

- Text fields for project title, issue category, location, budget, and detailed description
- Email address requirement for all submissions; automatic compilation of all emails for city administrators to communicate in bulk with participants
- On each project page, display of proposal location on a map of the city
- Requirement of approval by the city before the proposal is shown online to the public
- Notification to the submitter when the proposal is approved
- Easy downloading and printing of all proposal information (for city administrators only)
- Possibility for the proposer to edit submitted proposals.

Communication of technical issues between OneSource and D21 was handled through a common workspace on the online project-management tool Trello. The goal was for D21 to show mock-ups of all features by the end of September for approval by city staff, after which testing of platform features would occur on a rolling basis as soon as they were ready to test. A weakness in the testing process was that it was conducted without a fixed communications plan between the city, D21, and OneSource; rather, email chains proliferated among all three parties in a haphazard manner throughout October, leading to further confusion as to which technical issues were being addressed and which had slipped through the cracks. On several occasions, the city expressed frustration that bugs and technical issues it had flagged seemed not to have been acknowledged or remedied by OneSource, though D21 accepts responsibility as well for poor organization of requests and information passing back and forth. For example, the translation of all strings of the platform into Czech was a headache-inducing process, as OneSource often failed to include the diacritic marks (the "Ř" and "č" in Říčany, for example) that Czech platform users would expect as part of a locally driven process. In the end, the deadline of October 24th was not achieved: only a landing page with basic information was ready to show the public on this date. The idea-gathering functions listed above were made public on November 15th, the date of the first neighborhood assembly, and after this only minor cosmetic changes (e.g. to the font size of certain text) were added.

5.3 Goals of municipal stakeholders in Říčany

The current municipal leadership of Říčany, being both independent and relatively new to institutional politics, has demonstrated the will necessary to experiment with multiple channels to involve citizens more deeply in decision-making at the city level.

The most important inputs from these exchanges with citizens and administrators, including feedback gathered during the first months of the "I Manage Říčany" campaign, included the following:

1. **Begin with budgeting basics.** Given the high number of residents whose lives are oriented toward Prague, do not assume that citizens are aware of the range of services provided by Říčany, the public resources invested in each, or the respective allocation of resources between local and national entities.
2. **Use diverse information channels.** At each phase of the "I Manage Říčany" campaign, a range of online and in-person channels have been used simultaneously to disseminate information and calls to action. Lessons on the timing and content of these messages should be applied to the PB process.
3. **Make idea-gathering simple and transparent.** The EMPATIA platform should be the "virtual home" of all project ideas, including ideas generated in person at assemblies. Citizens should

Copyright © EMPATIA Consortium 2016 - 2017

be able to easily make proposals and add to them, no matter their level of technological sophistication.

4. **Make voting as quick and accessible as possible.** Given the relatively low risk of hacking or fraud, require minimum number of verification steps to determine eligibility of participating voters. During the voting itself, create the maximum number of digitally assisted "mobile voting sites," taking laptops and tablets to public gathering places to make it as easy as possible to vote.

These "core goals" of Říčany PB were decided in advance of user-testing of the EMPATIA platform, as a lens through which to evaluate the different functionalities of the platform as they were made available.

Moreover, given that this PB process was the first of its kind in Říčany, a number of challenges were anticipated and openly discussed with all stakeholders in the preparation phase for PB in summer and early fall 2016:

- **Administrative capacity.** The PB coordinator hired in October 2016 by the town was a new team member with duties that extend beyond PB. Though benefiting from 18 months of public engagement via the "I Manage Říčany" campaign, neither the political nor administrative leadership of the town has experienced the steps of a PB process firsthand.
- **Low public awareness of PB.** Participatory budgeting is still a very new phenomenon in the Czech Republic, with the first-ever PB process being conducted by the 10th district of Prague earlier in 2016 (with D21 as lead technical partners). Citizens of Říčany are expected to have a low level of prior awareness of PB, how such a process bears upon their quality of life, and the various ways they can participate in it.
- **Low public awareness of town budget and services.** As discussed above, a significant part of Říčany's population work in Prague and have oriented their lives toward issues in the capital city. As such, not all citizens of Říčany were expected to be aware of the city budget and how the budget impacts their quality of life. Motivation to participate in PB was likely to be a special challenge for this population.

With these challenges in mind – and especially given low public awareness of PB in the Czech Republic in 2016 – municipal leaders decided to treat its first PB process as a kind of "beta test," launching with relative quickness at a smaller scale, achieving concrete results, then learning lessons that would allow the city to scale up both its use of EMPATIA and the number of participants for future cycles of PB. City leaders explained that given traditionally low levels of local citizen participation in Říčany and in the country as a whole, that it was wiser to design a process that delivered **a higher-quality experience to a potentially smaller number of citizens**, by giving each project proposal a proportionately greater amount of time and attention in the process.

To achieve the goals of educating more citizens "in action" about town services and projects -- and actively soliciting their ideas through the PB framework -- Mayor Kořen and his team decided that their process design should integrate online informational and idea-gathering tools with in-person deliberation via neighborhood assemblies. Rather than pushing participation from in-person to online channels, the strong emphasis chosen by city stakeholders was on **high-quality, in-person participation, amplified and complemented by the EMPATIA and D21 platforms**.

Mayor Kořen and his administrative team also identified the following operational goals for the EMPATIA pilot, for internal development:

Copyright © EMPATIA Consortium 2016 - 2017

- First, they recognized a need to **build the capacity of town administrators** to realize the promise of new participatory channels so that they can operationalize them in the future without direct external support.
- Secondly, their goal was to use the participatory budgeting process to **educate a greater share of city administrators and key civil society stakeholders about the budgeting process**, sensitizing them to common needs and the challenges facing the delivery of public services.
- Third and finally, the Mayor's team wished to **benefit from the expertise of EMPATIA consortium partners** in planning and executing high-quality participatory processes, including expertise gained from countries with many years of experience in PB (notably Portugal, Italy, and Germany).

5.4 EMPATIA's objectives to be tested

The main goals of EMPATIA to be tested in the Říčany pilot were the following:

- **Multichannel innovation** (connecting different channels of participation). This was especially important given the integration of PB into an existing participation initiative, "I Manage Říčany." It was critical that citizens not be confused about the relation between the two processes and to harness participation in the earlier process for the purposes of PB.
- **Inclusion** (lowering the barriers to participation). For this objective, the most important consideration was ensuring that older residents less comfortable with technology feel able to use and interact with all stages of the process including the online ones.
- **Efficiency** (optimising time spent by citizens and municipal staff). This was also an important objective, given the lack of experience of the city with PB and the modest size of the city administrative staff.

In addition, we hypothesized that Říčany's first PB process can serve to **reinforce trust** between citizens and local government through the exchange of information and the co-design of project proposals. Two surveys prepared by CES were distributed to PB participants to test this hypothesis.

5.5 Overview of the participation process model

After the preparatory discussions described above, the mayor's team decided to conduct its first PB process according to the following phases:

- ➢ **Phase 1 (September - October 2016) :** Informational campaign and "calls to action"
- ➢ **Phase 2 (November 2016) :** Idea-gathering (online & in-person)
- ➢ **Phase 3 (December 2016 - April 2017) :** Evaluation and technical review by town administrators
- ➢ **Phase 4 (May 2017) :** Voting process (online & in-person)
- ➢ **Phase 5 (June 2017 - March 2018) :** process evaluation & debrief ; implementation cycle for winning proposals.

The timeline established for the PB process in Říčany was the following:

September - October 2016: This period saw the launch of the public informational campaign, which included the following elements: promoting citywide PB through other participation channels ("I run

Copyright © EMPATIA Consortium 2016 - 2017

Říčany", PB in secondary schools), face-to-face campaigning, articles in Říčany Courier, development and testing of PB microsite (www.prekvapteŘíčany.cz), diffusion of information on social networks, at schools, through associations and sport clubs, at public events, and pre-registration of voters on D21's voting platform.

November 2016: This period saw the gathering of project proposals online, via the EMPATIA platform, and at four neighborhood assemblies held the 15th, 22nd, 28th, and 29th November. Additionally, with guidance from city officials via personal telephone calls to proposers, initial project ideas on EMPATIA platform were augmented with links, photographs, and additional details.

December 2016 - April 2017: This period saw the evaluation and technical analysis by town administration officials. These officials also issued PB updates by email and social media featuring individual project proposals (with equal time given to each), questions & answers online between citizens and town administrators, regular direct communication between PB coordinator and the individuals and teams behind each project proposal. In this period, town officials oversaw preparation of the final PB ballot, and continued pre-registration of voters on D21's voting platform.

May 2017: This period marked the citywide vote on PB proposals using D21 voting algorithm (+/- votes) and D21 voting app (online via cell phones or computers and using kiosk mode, tablets for public available in information centre, train station and other frequented places in the city). Public announcement of the results were disseminated by email to all inscribed members of the town email list immediately following the close of voting.

June - July 2017: Internal debrief was conducted with city PB team. The PB team oversaw feedback-gathering from residents on PB process, via question-and-answer periods appended to existing city events. The summer also marked the beginning of the implementation cycle for winning projects.

August - September 2017: In this period, the city's PB team oversaw rules adjustment and design for the second cycle of PB.

October - November 2017: In this period, ideation process for second cycle of PB was completed.

December 2017 - April 2018 (*anticipated*): The technical review process for second cycle is anticipated. Completion of project implementation from first cycle is anticipated.

May 2018 (*anticipated*): The voting process in second cycle will be conducted.

5.6 Detailed description of all phases of the pilot

The following narrative is intended to review each phase of the PB process, and highlight the elements of greatest importance to achieving the goals of PB in Říčany, as planned prior to the launch of the first cycle in October 2016. A summary of the results of each phase, including key figures and qualitative outcomes, are provided in Sections 4.14 and 4.15 below.

5.6.1 Phase 1: Public informational campaign and "call to action" (September-October 2016)

Given the relatively small population of the town, the information campaign for PB launched by Říčany's team put a strong focus on opportunities for in-person visibility and publicity, and the generation of word-of-mouth interest in participation.

Copyright © EMPATIA Consortium 2016 - 2017

Beginning in early September 2016, calls to action with general information on PB were sent via email to the 1600 enrolled citizens on the "I Manage Říčany" platform. As part of this first virtual information campaign, the city diffused information on its official website and Facebook page, and asked leaders of key town associations, including sports associations and community cultural groups, to forward to their members. In addition, the city created posters and distributed them at community events, as well as broadcasting them on video screens at community centers. Aggregating these channels, the city's team estimated that these appeals reached around 3000-5000 residents.

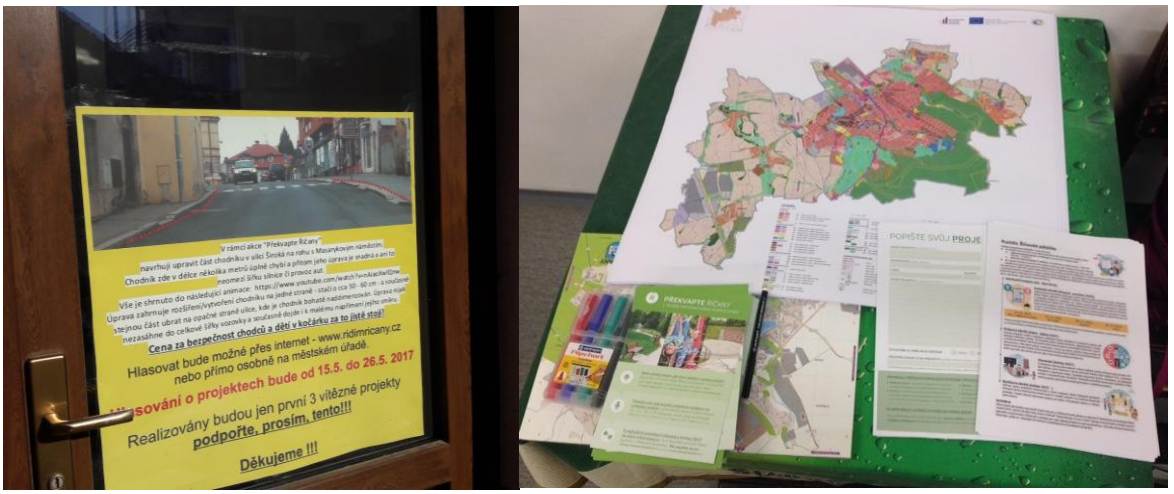


Figure 96 and 97: PB informational materials used in public awareness-raising campaign in community centres and town hall

These online appeals were augmented by "earned media," including a series of informational articles in the local paper, the Říčany Courier. The mayor's team also targeted events -- including markets and neighborhood sporting and cultural events -- to make announcements and pass out flyers explaining that the launch of the city's first PB process would be imminent and that the participation of the community would be essential in generating high-quality ideas for the program.

Copyright © EMPATIA Consortium 2016 - 2017

Říčanský kurýr

VĚSTNÍK MĚSTA A MĚSTSKÉHO ÚŘADU ŘÍČANY

Demokracie 2.1 - EMPATIA

30. 6. 2017

Jak šel čas s participativním rozpočtováním v Říčanech

D21

Ve světě se v posledních letech rozšířil trend participativního rozpočtování (participatory budgeting) neboli pěbéčko, kterým je veřejnost více vtažena do rozhodování na městech a má možnost ovlivnit, kam půjde část finančních prostředků, určených na investice. V České republice je průkopníkem pěbéčka společnost Demokracie 2.1, která spolupracuje s řadu zahraničních partnerů a zapojila se do projektu EMPATIA (Enabling Multichannel PArticipation Through ICT Adaptations), financovaného Evropskou komisí. Cílem projektu je realizace pěbéčka v několika městech EU s využitím online i offline nástrojů. Říčany se staly počínaje rokem 2016 pilotním městem a pomyslnou evropskou laboratoří participace. V té době za sebou již měly několik úspěšných hlasování Řídím Říčany, unikátní průzkum se spokojeností života ve městě, jehož se zúčastnilo více než šest set respondentů, a hlasování na základní škole Bezručova.

R ŘÍČANY

LADŮV KRAJ

Figure 98: Article in the Říčany local newspaper publicizing the EMPATIA project and the success of the first year of PB

Each of these announcements asked residents to begin creating and submitting ideas on www.prekvapteŘíčany.cz, including the overall budget for the process, as well as the rules and timeline for submissions. The dates of the four neighborhood assemblies were announced, with the proviso that all proposals to be discussed at the assemblies needed to have been submitted online or prepared on paper beforehand using the proposal template available online.

Figure 99: Banners outside Říčany town hall announcing its first-ever PB process and the support of the European Commission in making it possible

5.6.2 Phase 2: Idea-gathering process (October - November 2016)

Online proposals on EMPATIA site

The EMPATIA pilot integrated two parallel "tracks" of ideas submitted. The online "call to action" was directed first at the approximately 1600 citizens who enrolled in any of the phases of "I Manage Říčany." A series of "call to action" emails were sent in September and October explaining the PB process (linking to the EMPATIA landing page or "microsite"), outlining the rules for eligible project proposals, and inviting them to attend one of the four neighborhood assemblies in November.

In addition, a link to the EMPATIA landing page was provided in each email for proposals to be submitted in advance of the assemblies, with the inducement that "pre-submitted" online proposals would be discussed first at each assembly. During the assemblies themselves, all ideas generated during the discussions -- including modifications to existing proposals -- were to be recorded by the facilitators and entered into the EMPATIA platform directly, creating a permanent "home" for each proposal, with links that the proponents can share with neighbors and friends to build support for their ideas, and generate further discussion and feedback online.

Citizens were given three options in submitting a project idea for Říčany PB: (a) submitting their idea directly into the ideation module of EMPATIA, accessible via the microsite www.prekvapteŘíčany.cz; (b) filling in an online form available on the homepage of the city website, upon which administrators would manually transfer information into the ideation module of EMPATIA; and (c) printing out a paper template available on the EMPATIA microsite, filling in the idea by hand and bringing it to the neighborhood assembly. Proponents were asked to give a title, location, and description of their project idea, with the adding of a prospective budget, and (for those submitting online) adding supplementary photos and links. In order to encourage the highest possible level of specificity and thoughtfulness for each proposal, each individual proponent was allowed to create a single project idea.

Neighborhood assemblies

Assemblies were held in Říčany on the 15th, 22nd, 28th, and 29th of November. The assemblies were sited in popular neighborhood gathering places in each of the four principal neighborhoods of Říčany, none in the center of the city: Labut community center, Ragby sports bar, Jurecek restaurant, and Oliva restaurant. Each assembly attracted 10-12 participants and lasted between 90 minutes and two hours.

The format for each assembly was as follows: at each, the mayor was to be present and to open the assembly by welcoming the participants and expressing his appreciation of their time and willingness to put their ideas into action. A D21 team member, acting as co-facilitator, then was to briefly review the rules and timeline for the PB process. Following this, the mayor would welcome the proponents of each idea to present their proposal. This was to be done in no particular order, with the participants volunteering one by one. Following each presentation, the mayor and other participants would be invited to give their brief overall feedback on the idea. The assembly closed with the city's PB coordinator gathering contact information for each proponent and arranging one-on-one follow-up meetings to begin the technical review process, as well as inviting each proponent to add further pictures and details on their dedicated "proposal page" on the EMPATIA microsite. Food and drink were provided by the city, ending each evening with a convivial atmosphere.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 100: Mayor Kořen welcomes participants to Oliva neighbourhood assembly

Considering that none of the participants had taken part in PB before, the initial proposals were **rated very highly by the mayor's team**. On their own initiative, many proponents had even prepared slideshow presentations of their idea, which were shown on laptops and passed around to attendees.

Twelve of the projects proposed by citizens related to enhancements to city parks and green spaces; eleven related to improvements to city roads, intersections, or sidewalks; three related to artistic or cultural improvements of city spaces; and two related to bicycle access and security. One city administrator commented after an assembly, "We thought there would be at least a few rubbish ideas, but all of them were actually useful." Some assembly participants did not come to the assembly with a specific proposal, but hearing the other ideas gave them their own original idea that they developed for a subsequent assembly. In one case, two proposals for sidewalk improvements, developed independently, were voluntarily merged by agreement of the proponents.

Only two project ideas were excluded as falling outside the rules: one proposal for a children's adventure game was excluded as being a service rather than a capital improvement; one sidewalk-improvement proposal was excluded because the proponent had already submitted a separate proposal. Two proposals for sidewalk improvements were set aside as moot, given the city's upcoming plans to remediate those specific sites. One proposal for bicycle security at the train station was deemed possibly ineligible in its proposed budget structure, which envisioned only 20% of the project cost being covered by city funds. The mayor suggested that one proposal for a labyrinth in a city park be modified due to siting feasibility. All other proposals were deemed sufficiently relevant, detailed, and feasible to proceed to the city's technical review process.

5.6.3 Phase 3: Evaluation and technical review (December 2016 - April 2017)

An innovation envisioned in the Říčany pilot was to test a new methodology of measuring and tracking the quality of project proposals. In coordination with CES and the Říčany PB team, D21 tracked and scored project proposals according to the following criteria:

1) ***Innovation***. To what extent does the project proposal represent a new approach to tackling a common problem in the community? (*Scale: 1 – least innovative; 3 – most innovative*)

Copyright © EMPATIA Consortium 2016 - 2017

2) ***Specificity***. What level of detail are proponents able to provide for their idea at the time of submission? This will be measured separately for proposals submitted online and those developed via in-person discussion at neighborhood assemblies. (*Scale: 1 – least detailed; 3 – most detailed*)

3) ***Inclusivity***. To what extent does the project proposal serve individuals or communities that are traditionally marginalized or underserved via the traditional political process? (*Scale: 1 – least inclusive; 3 – most inclusive*)

4) ***Multiplicity of beneficiaries.*** To what extent does the project proposal serve multiple identifiable sub-communities (e.g. individuals of different age groups, genders, interests, and special needs)? (*Scale: 1 – fewest identifiable beneficiaries by type; 3 – most identifiable beneficiaries by type*)

5) ***Breadth of support.*** To what extent have project proponents mobilized the broader community around their idea prior to voting process? This measurement was designed to be taken after the technical evaluation phase and prior to the voting phase, measured by the number of "likes" and "shares" associated with each project proposal page. Since these features were not implemented as envisioned, this measure of project quality was not applied in the first PB cycle.

This methodology was put in place jointly by the Říčany city team and D21, with D21 acting as an independent arbiter of the different criteria, though with substantial context and input provided by town administrators as to, for example, the innovation or inclusivity of a given proposal based on historical patterns and political context.

5.6.4 Phase 4: Campaign and citywide voting (April - May 2017)

The voting process was designed to provide in-person and online channels of participation in tandem. These channels allow citizens to choose from three distinct ways to vote, letting them participate in the manner most convenient, familiar, or accessible to their needs. First, all citizens were eligible to vote for PB projects online via the D21 platform, with the only verification requirement being the confirmation of a valid email address. In the weeks leading up to the voting period (May 2017), repeated calls to action were given on the EMPATIA microsite, via email, and through social media channels. The link to the microsite – on which the timeline and rules for the voting process are listed – were public and sharable by citizens. Additionally, voters who had pre-registered via the "I Manage Říčany" campaign received individualized links to their email, allowing them to vote directly and ensuring (a) that only a voter using that email address will be able to use his or her individualized link, (b) that each link can only be used once, and (c) that administrators can determine in real time which links have or have not been used, allowing them to gauge participation and issue new calls to action if necessary.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 101: Residents created their own campaign flyers for PB project proposals and posted them around sports fields and cultural centres during March /April 2017

In addition to being able to vote remotely online, citizens had the opportunity to **vote in person through a "digital voting site" or by traditional paper ballot**. A "digital voting site" consists of a small team of town administrators or trained volunteers with laptops or tablets. As a normal protocol of D21's voting platform, only one vote may be cast per digital device. However, for digital voting sites, devices were set in "kiosk mode" by administrators, allowing an unlimited number of votes to be cast on a laptop or tablet in the presence of an administrator or trained volunteer. Digital voting sites were set up at the town information center and in town offices. In addition, town administrators launched **"mobile" digital voting sites** during the week of voting – sending teams of trained volunteers with digital devices to bus stops, grocery stores, community events, and the train station during morning and evening commutes. One of the main lessons of the "I Manage Říčany" campaign was that these mobile sites, when properly targeted, can add significantly to overall voter participation, especially from those individuals who are least informed about town initiatives or too busy to participate by other means. Finally, paper ballots were generated automatically by the D21 voting platform and made available at all voting sites to voters who feel more comfortable with this manner of voting. Town administrators then scanned the completed ballots and they will be integrated into the voting results via the D21 platform.

The main innovation tested in this voting process was **a voter verification protocol** that combines a high level of accessibility with sufficient security to maintain trust in the process in the eyes of key stakeholders and the general public. First, as stated above, the natural default for online voting was only one vote per device – this setting can be adjusted by administrators using "kiosk mode" to allow digitally assisted in-person voting. Secondly, all voters – both online and in-person – were issued a unique PIN code that remains associated with that individual voter even as their voting preference is kept anonymous. These unique links can be tracked so that administrators can see if, for example, a citizen voting in person has already been issued a unique link and, if so, whether they have already used it to vote online. If not, they are determined eligible to vote in person, the old unique link is erased, and a new one is generated. Finally, all votes cast are auditable, meaning that if needed, voters can retrospectively verify that their vote was registered and counted. These safeguards have been designed

Copyright © EMPATIA Consortium 2016 - 2017

to raise confidence in the process while not adding burdensome verification steps that would risk depressing voter participation.

Over the voting period, **over 1000 Říčany residents cast a ballot, making it the most successful participatory exercise in the city's history**. Representativity of town demographics among the participants was strong -- of the 1022 voters, 52% were female and 48% were male. In addition, the spread of participation among different age groups was significant, with 64% of voters aged 30-49, 17% between 49-64, 11% under 30, and 8% over 65. No sector of the Říčany community -- whether by neighborhood, age, or gender -- seemed to be significantly under-represented among those who cast a ballot.

Concerning the method of voting, 70% of ballots were cast online via the D21 platform, and 30% were cast in-person at one of the city's voting sites. Of the 715 online voters, 463 (or 65%) voted via an email link sent to citizens already enrolled in the "I Manage Říčany" platform; the remaining 35% of online voters participated via links to the online ballot posted on the city website, the local Říčany Courier newspaper, or the city's Facebook page.

The information campaign, renewed in April and the first two weeks of May, appeared to have had an impact, as more than half of all voters voted on the very first day of the two-week voting period. The rest of the votes were spread evenly over the remaining days of the voting phase.

Results were announced on 13th of June on the "Surprise Říčany" PB page, city website, and social media. A results party was also held at the "Anezka" pub in central Říčany, hosted by Mayor Kořen and publicized through the above-mentioned channels. The citizens proposing winning projects were applauded and toasted and given the opportunity to voice their thanks to those who supported their ideas. It was a positive and heart-warming event that made all stakeholders feel their efforts throughout the year had been well worth it.

5.6.5 Phase 5: Implementation cycle & process evaluation (June 2017 - March 2018)

The implementation of winning projects was set to begin at a special city staff meeting called by Mayor Kořen within 14 days of the announcement of winners. The goal of the meeting was to establish goals and timelines for implementation of winning projects that could then be communicated directly with the public ; the roles and responsibilities for implementation was to be overseen by the mayor, with day-to-day facilitation of workflow between city departments facilitated by the PB coordinator.

A process evaluation meeting for the first four phases of PB took place on June 14, 2017, following the celebration of winning projects selected by city residents as part of the first PB cycle. This evaluation process of EMPATIA was planned to center around five key indicators of success:

1. **Functionalities**. Did the platform function as intended from a technical standpoint?
2. **Usability**. Were users generally happy with their experience with the platform?
3. **Workflow.** Did the platform save time for the city administrators in the accomplishment of the key tasks of implementing the PB process?
4. **Communication.** Did key stakeholders -- including the platform developers, on-the-ground support from D21, and city PB team -- communicate responsively and effectively with one another?

Copyright © EMPATIA Consortium 2016 - 2017

5. **Sustainability**. What would the city prefer regarding the future use of EMPATIA in Říčany PB, if any?

The results of these exchanges on process and technical evaluation are discussed in Sections 4.13-15 below.

Following the selection of winning projects, all four of the winners were put into the process of implementation by the city beginning with a staff meeting held at the end of June 2017. The steps taken by the city to implement the winning projects are summarized as follows:

(1) **"B & R (Bike and Ride) Parking"**: the city first created an implementation committee for the project, with the participation of the citizen proposing the idea; they then issued a tender call for construction of the bicycle parking features, which did not initially produce any viable bids. The city then reached out by phone directly to construction companies previously engaged in city projects and are currently waiting to confirm a partner for the project. Based on the scope of the project, the city anticipates that the project can be realized within one month after contracts are signed.

(2) **"Industrial Park for Teenagers":** the city issued a tender for rehabilitation of the park site; park site cleaned in preparation for the rehabilitation project; implementing partner not yet confirmed.

(3) & (4) **Sidewalk improvement projects:** implementation committees for the projects have been formed; committees are discussing with transportation officials from the region and with traffic police about the precise parameters of projects to allow relevant technical documents to be validated, including the placement of lighting and pedestrian crossings.

5.7 Timetable

The following timetable was agreed with the pilot municipality:

Task	Date
Phase 1: Initial Contact	
Planning meetings begin with municipality/client	March 2015
Preparation of contract, pilot description, ethical terms, declaration of cooperation	June 2016
Approval of pilot description by General Assembly	June/July 2016
Contract signed by municipality/client	August 2016
Phase 2: Process design	
Design workshop with municipal stakeholders	13 September 2016
Draft requirements formulated with municipal stakeholders for PB process and platform	13-26 September 2016
Draft requirements shared with EMPATIA partners for feedback	26-28 September 2016
Final validation of concept for PB process and platform by all stakeholders	October 2016
Phase 3: Platform development & testing	

Copyright © EMPATIA Consortium 2016 - 2017

Technical concept	June 2016
First batch screen designs (mock-ups)	October 2016
Second batch (finalized) screen designs	October 2016
Platform ready for internal testing	October 2016
Translation into Czech / technical troubleshooting	October-November 2016
Platform ready for final testing by municipality/client	November 2016
Launch of public EMPATIA pilot platform	November 15 2016
Phase 4: Participation	
Launch of information and mobilization campaign	September 2016
Idea collection online	November 2016
PB Neighborhood assemblies	15.,22., 28., 29. November 2016
Technical analysis of proposals	December 2016-April 2017
Launch event to announce final ballot and launch voting process	April 2017
Voting process	May 2017
Results announced and launch of implementation process	May 2017
Phase 5 : Process Evaluation & Implementation Cycle	
Resolution in city council on key points of budget plan	June - July 2017
Budget plan draft ready	July 2017
Political discussions of budget plan draft	September 2017
Resolution on final budget plan by city council	September 2017

Table 10: Timetable for Říčany pilot

The following Gantt chart visualises how intense some months were. It also shows the limited time for testing:

Copyright © EMPATIA Consortium 2016 - 2017

Task	Date	2016									2017												
		Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
Contract																							
First PB-specific meetings with mayor's team	April, 2016																						
Preparation of contract, pilot description, ethical terms	June, 2016																						
Approval of pilot description by Ricany town council	July, 2016																						
Contract signed by municipality	August, 2016																						
Process design (concept)																							
Design workshops with city stakeholders and D21	May-June, 2016																						
Design workshop with city stakeholders and all EMPATIA partners	September 10-12, 2016																						
Discussions regarding possible creation of API	June-August 2016																						
Platform needs assessment and requirements gathering	September 12-28, 2016																						
Final concept for PB process and platform	September 28-29, 2016																						
Platform development & testing																							
Technical concept & Wireframes	October 2-6, 2016																						
Screen designs (mock-ups)	October 6-10, 2016																						
Platform ready for testing by municipality and D21	October 10-19, 2016																						
Translations & bug-fixing	October 19-November 14, 2016																						
Launch of informational PB landing page	October 23-24, 2016																						
Final testing of idea-gathering functionalities	October 26-November 14, 2016																						
Launch of public EMPATIA pilot platform	November 14-15, 2016																						
PB process																							
Public information & mobilization campaign (billboards, announcements, posters)	September 2016 - May 2017																						
Public launch events and launch of informational PB website	October 24-25, 2016																						
Online gathering of project proposals	November 15-30, 2016																						
Neighborhood assemblies	November, 2016																						
Technical analysis by municipality	December 2016 - February 2017																						
Finalization of PB ballot and launch of campaign phase	March, 2017																						
Voting (in-person and online)	May, 2017																						
Publication of voting results (winners)	May, 2017																						
Evaluation																							
Distribution of first round evaluation questionnaire (emailed to all project proposers registered on EMPATIA platform)	October-November 2016																						
Distribution of second round evaluation questionnaire (via e-mail to users who completed the first questionnaire)	September-October 2017																						
Evaluation meetings with city stakeholders	June-September, 2017																						
Data ready for evaluation	December, 2017																						

Table 11: Gantt chart for Říčany

5.8 Deviations from original planning

Since key decisions were made regarding pilot design and platform integration on a rolling basis over summer and fall 2016, the more notable "deviations from original planning" could just as easily be characterized as modifications or adjustments made in the course of finalizing an original plan. Nevertheless, several adjustments were made that reflect an imperfect execution of original intentions regarding the unfolding of the PB process, for a number of reasons both endogenous and exogenous to the process itself.

First, the political timetable for formal validation of the PB process within the city's budget framework was slightly delayed, from spring to summer 2016, meaning that city stakeholders were not free to begin refining their list of technical requirements for the EMPATIA platform until early September. This meant that the platform testing process was focused primarily on : (i) translation of the informational content from Portuguese or English into Czech ; (ii) shaping of the proposal submission functionality ; and (iii) training the city team on the relevant admin features to process the receipt and review of project proposals.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 102: A PB planning meeting of Mayor Kořen and his team, the subject of an early Fabcebook post in fall 2016

Two of the features envisioned in the initial scoping meetings in spring of 2016 were not included in the first year's cycle. The first of these was the creation of user profiles on the EMPATIA platform. This feature was considered potentially useful for tracking demographic patterns among the user base of citizens interacting with the platform, as well as their frequency and length of interaction. While the town opted to keep basic tracking analytics -- total number of visits, average length of visit, etc. -- it was determined by the mayor's team that obliging first-time PB participants to create user profiles would raise the time investment and thus lower the likelihood of participation for some users. Thus the project-proposal feature was made open, in the sense that no pre-registration or identity-verification step was required prior to submission of a project. The city administrators nevertheless retained the right to remove abusive or irrelevant content from the PB site.

A second deviation from the original plan, due to a lack of time available for testing, were the "campaigning" functionalities envisioned for users, by which each project would have a discussion forum, the ability to collect "likes," and links by which users could direct traffic to their proposals throughout the course of the PB process, with sharing buttons for social media, etc. This is a functionality that interested city administrators but, with the limited time for testing and some difficulties associated with implementing the "core" features already identified, this was put aside for possible integration in the second cycle of PB.

Copyright © EMPATIA Consortium 2016 - 2017

5.9 Dissemination strategy

Due to the relatively small size of the city, dissemination in this pilot to local residents made heavy use of traditional media, one-on-one telephone contacts, and word of mouth. Dissemination to wider audiences in the Czech Republic and across the EU were principally handled by D21, and made significant use of both in-person conferences and social media. The principal dissemination channels for the EMPATIA pilot in Říčany included the following:

- *Traditional media*: articles and advertisements in the "Říčany Courier" (monthly town newspaper); posters and leaflets in town offices and distributed at community events; PB advertisements and "calls to action" at bus stops and on billboards. EMPATIA microsite to be promoted as part of all these materials.

Figure 103: Informational videos on PB were broadcast in community centres and at Říčany town hall during summer & fall 2017

- *Online & social media*: informational campaign and regular updates on town Facebook page and online newsletter; peer-to-peer email campaign; promotion via D21 website, Facebook, and Twitter.
- *Conferences & events*: all results of EMPATIA pilot were communicated at conferences and events in Czech Republic and internationally, as detailed in the broader EMPATIA dissemination strategy.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 104: Mayor Kořen and his team go door-to-door to spread the news about the city's first PB process, September 2016

5.10 Role of EMPATIA

The decision to integrate EMPATIA into the city's multichannel participation strategy built upon an earlier agreement to make Říčany a "model city" for participation in the Czech Republic. Mayor Koren had first made contact with D21's Managing Director Tomas Rakos in March of 2015, following his successful independent campaign for mayor of Říčany. As part of his progressive plan for renewing local democracy, Mayor Koren expressed a desire to create **a Czech "laboratory of multichannel participation"** in partnership with D21, itself launched as an democratic reform project in 2013 and as a participatory consultancy in 2015. Thus the "I Manage Říčany" project was conceived to test and iterate different approaches to citizen inclusion over a two-year period.

Though Mayor Koren had expressed interest in PB as early as spring 2015, it was decided that a first year of participatory processes would allow the town's citizens -- of whom only a small portion had actively participated in town affairs -- to "ramp up" their involvement with lighter participatory activities such as surveys and referenda, prior to taking on the more time- and budget-intensive PB process.

Critical to this process was the interaction of Říčany city officials with other EMPATIA partners across the European Union, beginning with a trip to visit and learn from the PB team of Cascais, Portugal in January 2016. This visit, and the visit of EMPATIA partners to Říčany in September 2016 (near the end of the platform testing phase), were key confidence-building steps for the Mayor and his team. Both in terms of the cross-European expertise, and in terms of the visibility offered to his city by participating in a Commission-funded project, the international aspect of EMPATIA was a key factor in the decision to allocate resources (staff and budgetary) to PB.

While Mayor Koren gave his agreement in principle in the spring of 2015 to launch PB in the event of a positive result of the EMPATIA proposal, a number of administrative steps needed to be taken to fulfill Říčany's local statutory and logistical requirements. Helpfully, the European Commission's approval of

Copyright © EMPATIA Consortium 2016 - 2017

the EMPATIA project in fall of 2015 came about after several months of successful "I Manage Říčany" polls launched on D21's voting platform. A key selling point for the mayor's team was the active role they would be able to play in designing the PB modules of EMPATIA around their needs, beginning with the idea-gathering module which would need to be tested and launched to coincide with the commencement of PB in fall of 2016.

Other administrative steps were relatively painless and straightforward. These included the preparation of the contractual arrangement between EMPATIA and the mayor's team, and notably the data-gathering and ethics requirements, all of which were accepted by Mayor Koren without resistance. Ethical transparency being a central plank of the mayor's campaign platform, the strong EMPATIA commitment to protecting the data of participants and spreading high-quality PB tools regardless of city size or sophistication, were both additional strong points of the EMPATIA approach in the estimation of the mayor's team. Not unrelated to these ethical commitments, the city ultimately chose to allocate a sizable budget to its first PB cycle: 5,000,000 Czech crowns, or roughly 185,000 euros.

As the Czech pilot partner, D21's team gave in-person support to Říčany's town leaders and administrators throughout the whole process of PB, as envisioned within the cooperation agreement formalized in May 2015. In this capacity, D21 facilitated workshops with city staff and participated in a series of meetings with political stakeholders to define the rules and timeline for the process, to advise on how to conduct an effective information campaign, to train the town's new PB coordinator (hired by the city in October), and to facilitate the neighborhood assemblies. The pilot platform was developed as part of WP2 by software developer OneSource.

The town administration conducted the technical evaluation of proposals without external assistance. Finally, as requested by the city, D21 provided its voting platform for the voting phase and used its platform to provide the detailed analysis of the results afterwards. The EMPATIA platform was used principally in the informational and ideation phases of the PB process.

Services by D21	Estimated PM allocation
Coordination & project management	2
Participatory process design	0,5
Online facilitation, online editing and translations	1
Facilitation of on-site formats	1
Training	0,5
Consulting	1

Table 12: Services by D21

Besides the services and technical assistance offered by pilot partner D21, EMPATIA also engaged in an evaluation of the process, with two sets of questionnaires (before and after the vote). These tasks were completed in close cooperation with partners CES and University Brunel. The results of the evaluation will be covered in Deliverable D4.2.

5.11 Technology used

The EMPATIA platform www.prekvapteŘíčany.cz (now available under ricany.empatia-project.eu) was used principally during the phase of ideation (idea-gathering). It served as the major interactive channel between town administrators and citizens from the launch of PB in September 2016 until the end of the idea-gathering phase in November. The information provided by citizens on the EMPATIA platform regarding their project ideas served as the core of discussion for the neighborhood assemblies, the basis of the city's technical review, and finally -- in synthesized form -- as the content of the PB ballot presented to all Říčany citizens in May 2017.

Copyright © EMPATIA Consortium 2016 - 2017

As stated above, due to the integration of D21's platform in previous voting and polling processes within the city, its use of EMPATIA focused in the first instance on the informational, idea-gathering and technical review phases. The main requirements from the city team were that (a) information on PB rules and project scope on the platform be communicated simply and clearly; and that (b) users be able to upload supplementary materials to the platform regarding the details of their project (including photos and related documents). Simplicity of design and ease of use -- including ease of translation into Czech by city administrators -- were paramount.

A key discussion point in the requirements gathering process was whether or not to enable the EMPATIA module related to the creation of user profiles. Though the utility of user profiles was acknowledged with regard to a more in-depth understanding of the user based in the community (user profiles would include address information, some demographic information, etc.), it was decided that the most imperative value in the first year of Říčany's PB was ease of access and rapidity of uploading ideas into the EMPATIA platform. The added time required of users to create profiles prior to uploading their ideas was considered potentially too onerous for first-time participants, and thus only an email address was required of users to submit proposals, which were then reviewed by city staff prior to their publication on the "Surprise Říčany" PB site.

The following represent the key technical functionalities of the EMPATIA platform integrated into Říčany's first PB process, in response to the needs identified by the Mayor and city stakeholders throughout the process design discussions in summer and fall 2016.

5.11.1 Structure and features of the EMPATIA pilot platform

The pilot platform was developed and configured by OneSource based on the requirements gathered from citizens by city administrators in the spring and summer of 2016 (focusing on simplicity, readability, and efficiency of use), and transmitted to OneSource by D21 in a series of email communications beginning in September 2016. The following will give a more thorough account of how the EMPATIA platform was used and structured, and which EMPATIA features were used. The Říčany pilot used principally the idea-gathering features developed as part of the broader EMPATIA platform.

"Surprise Říčany" Homepage

The "Prekvapte Říčany" ("Surprise Říčany") homepage at ricany.empatia-project.eu was the main point of entry for citizens into the PB process, both for information on the unfolding of the process and the direct contribution and modification of project proposals. All email and social media "calls to action" from the city directed citizens to this link, www.prekvapteŘíčany.cz, a url in Czech with the more familiar ".cz" suffix, which redirected to the EMPATIA site.

The main visual elements of the homepage were the logo and slogan of the PB process at the upper left of the page, a central image of the town hall as seen from street level, and an explanatory text at center-right explaining the purpose of the PB process and giving a call to action to participate. Below the call to action in the explanatory text, there were two buttons: one linking to the an explanatory page on EMPATIA, outlining its purpose, legal relationship to the European Commision, and general conditions respecting user rights and responsibilities; the other outlining the ethical commitments of EMPATIA regarding the processing and protection of user data. The prominent placement of these links illustrated the city's strong intent to highlight its participation in this EU-funded project and put these commitments to legal and ethical standards front and center in the homepage design.

Copyright © EMPATIA Consortium 2016 - 2017

Participation was reinforced by a larger-text button, “Participate”, with an arrow, located at the lower right of the page. Clicking on this button took the user to a summary page listing the different ways they could participate in “Surprise Říčany” both at in-person events and via their contributions online.

Beneath the main section of the homepage with the central image and text was placed a “latest news” feature with updates from the city on the unfolding of the PB process. The “latest news” feature was divided into a left section, with small micro-articles on each event (e.g. the public launch event, the neighborhood assemblies, and the technical review), and a right section, with a summary timeline of key events.

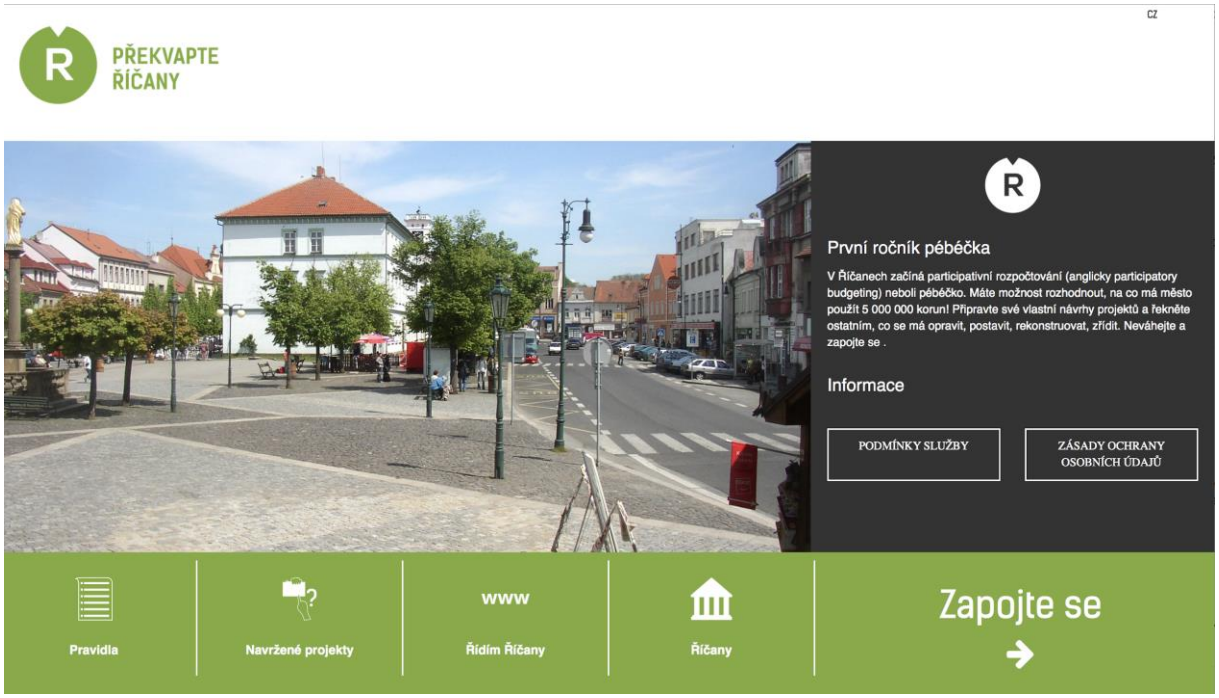


Figure 105: Screenshot of “Surprise Říčany” homepage

“PB rules” page

The link “Pravidla” at the bottom left of the homepage linked to a simple-text page outlining: the public mission of “Surprise Říčany”; the basic definitions of PB; the budget envelope allocated for winning citizen projects (in two categories, 0-500,000 Kc, and 500,000-2,000,000 Kc); the parameters for an eligible project; and the calendar and steps in the PB process. Above this main text were links to the “view proposals” page, the “I Manage Říčany” campaign homephase, and the city homepage. A screenshot of the rules page is below.

Copyright © EMPATIA Consortium 2016 - 2017

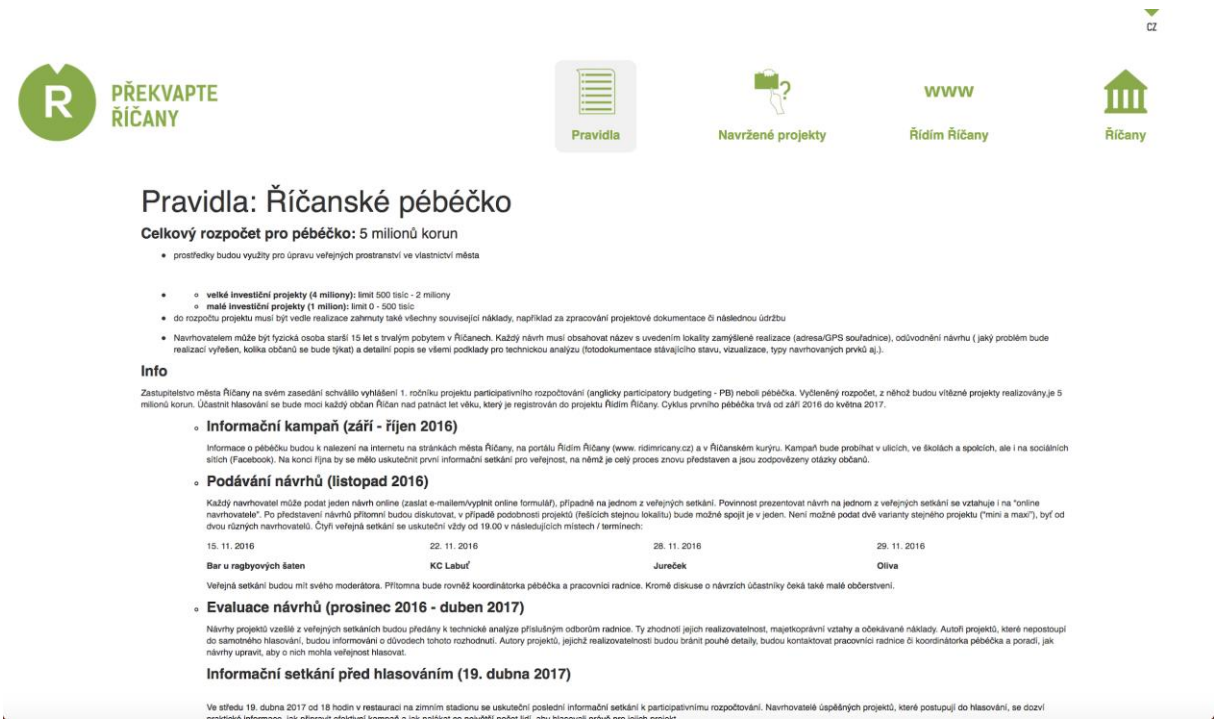


Figure 106: Screenshot of "Surprise Říčany" PB rules page

"Participate" page: PB calls to action

The "participate" page regrouped the three main calls to action from the city of Říčany to its citizens, namely: (i) contribute their project proposals, and inform themselves and comment on the proposals of other citizens; (ii) attend one of the four scheduled neighborhood assemblies; and (iii) share information on the importance of PB, and opportunities to participate, with other residents of Říčany via social media.

Visually, the page was structured in the following fashion: a summary timeline at the top of the page, giving the main events of the entire process, with a cursor indicating the present phase of the process. Underneath the timeline was a one-sentence call to action to contribute proposals, with a button marked "create proposal" just below.

Under this section was an interactive map of all submitted proposals, allowing site visitors to browse over a certain neighborhood or location in the city and see what ideas had been submitted for that area. When the cursor hovers over a given project proposal site, a pop-up window appears showing the basic information for that project (title, location, one-sentence description). Upon clicking on that pop-up window, the site visitor enters into a dedicated "project summary" page for that project proposal, with all information provided by the citizens for the proposal, including pictures, longer text descriptions, and any related spreadsheets or graphics.

Copyright © EMPATIA Consortium 2016 - 2017

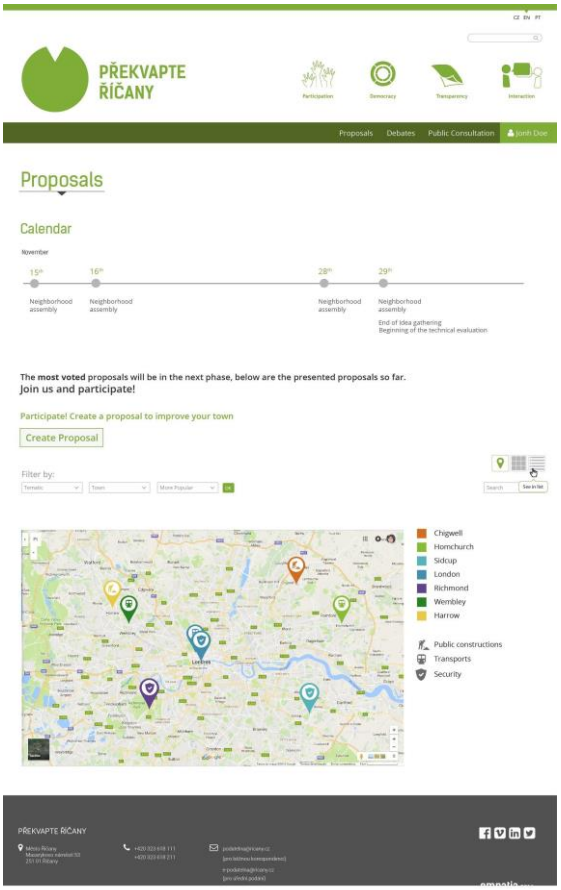


Figure 107: Participation page of "Surprise Říčany" EMPATIA platform

Project Proposals: "create proposal" page and "view proposals" pages

The "create proposal" page gathers all information from the project proposer relevant to his or her idea. At the top of the page was an introductory text explaining in brief, non-technical language the basic parameters required for a submission to be considered valid: the proposal needed to be within the city limits of Říčany; needed to concern city-managed property (e.g. a sidewalk, train station, or community center); needed to be physically and legally feasible; and needed to benefit the common quality of life in the community.

The proposer was then offered a certain number of fields that are required to be filled, including "title," "location," and "description", as well as the email and phone number of the proposer, with an explanatory text stating that contact information would only be used by the city PB team to contact the proposer in case additional information was needed on their project proposal, and not for any other purpose. The fact that these fields were required for each proposal was signified with a red asterisk, as is common on many online forms. There was no fixed character limit to any of these fields. The proposer was not required to create an individual profile or otherwise register with the platform.

Beneath these open-text boxes appears the option to upload additional files to the proposal directly from the site visitor's computer or mobile device. These additional files could be in the form of a document, pdf, spreadsheet, or image file (.jpg or .tiff). A final button, "submit proposal," was indicated on the bottom of the page. Submitting a proposal generated an automatic email from the city PB team to be

Copyright © EMPATIA Consortium 2016 - 2017

sent to the proposer at the email address provided, indicating that the proposal had been successfully received by the city, thanking them for their submission, and informing them that the city would rapidly be reviewing their proposal and, if it met the basic requirements listed in the introductory text, the proposal would be visible to the public. The email ended with a call to action asking for the proposer to share information on the PB process with their neighbors and friends in Říčany, and included the link to the EMPATIA / "Surprise Říčany" homepage, www.prekvapteŘíčany.cz.

The "view proposal" pages were accessed by clicking on the relevant project from the "participate" page as described above. These pages contained all information provided by the proposer for a given project organized in a single column on the left side of the page, beginning with the title, then a map of the relevant neighborhood with the proposal's specific location, then any attached files, including a designated section for photographs and other images. On the right, shorter column on the "view proposal" page was a short list of actions that a site visitor could take, including a button to share the project on social media, and the option to return to the "participate" page to view more projets.

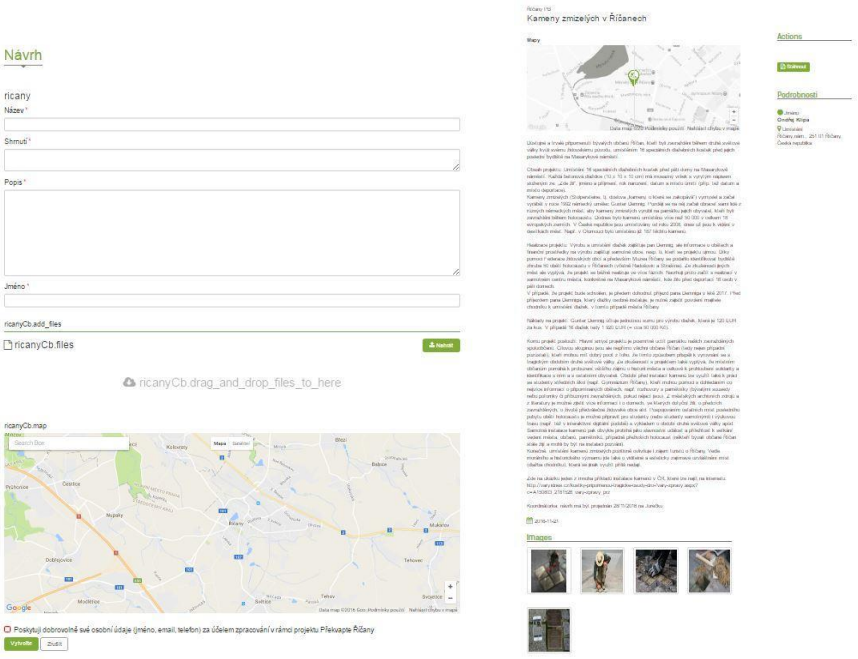


Figure 108 and 109: Screenshots of proposal submission page and sample proposal in "view proposal" format on "Surprise Říčany" EMPATIA microsite

Updates and Email Communications

Via administrator logins, the EMPATIA "Surprise Říčany" pilot platform was able to be updated simply and quickly by town administrators and the D21 team to reflect changes in schedule and structure of in-person facilitated events. Additionally, the designated PB coordinator from Říčany town hall communicated directly with the proposers via the emails gathered by the microsite to keep them informed on the status of their proposals during Phase 3 (technical evaluation). A group email function made this purpose more simple to accomplish, as well as template forms for each individual email created by the D21 team in consultation with Mayor Koren and his team. These basic communications and updating features were programmed and functioned without difficulty.

More directly, the PB coordinator also served as a personal link between citizen proposers and town administrators in subsequent phases of the process, including the voting and implementation phases, as

Copyright © EMPATIA Consortium 2016 - 2017

well as the evaluation of their participation experience during the process debrief. D21's team also made themselves available, via contact links on the "Surprise Říčany" homepage, to answer more technical questions from the public regarding EMPATIA, the rules and timeline of the PB process, and the results.

5.11.2 Other technology used: The D21 Voting Platform

The D21 platform, www.d21.me, served as the main technical solution for the voting phase of "Surprise Říčany". The platform was developed by D21's team in Prague prior to the launch of the "I Manage Říčany" campaign in 2015, integrating the requirements of the city at that time. The main requirement of the city was the ability for the city to decide in a given voting or polling process whether to have "open" voting, in which no prior registration upon the D21 platform was required, as well as "invite-only" voting in which only participants with pre-registered email addresses would be asked to participate. Even in the "open" voting setting, with no pre-registration required, a participant was given the option to provide an email address to be kept informed on future voting and participation opportunities. This expanding database of email addresses served as a primary communication channel to publicize "Surprise Říčany" on the launch of the PB process in September 2016.

As described above in Section 5.8, the idea of integrating D21 and EMPATIA's platforms through an API was explored at some length in the spring and summer of 2016, but was ultimately foregone in favor of a manual transfer of project information by city staff following the technical review. Specifically, city staff manually entered the project information of all validated proposals into the D21 platform to prepare the final PB ballot for the voting phase in May 2017.

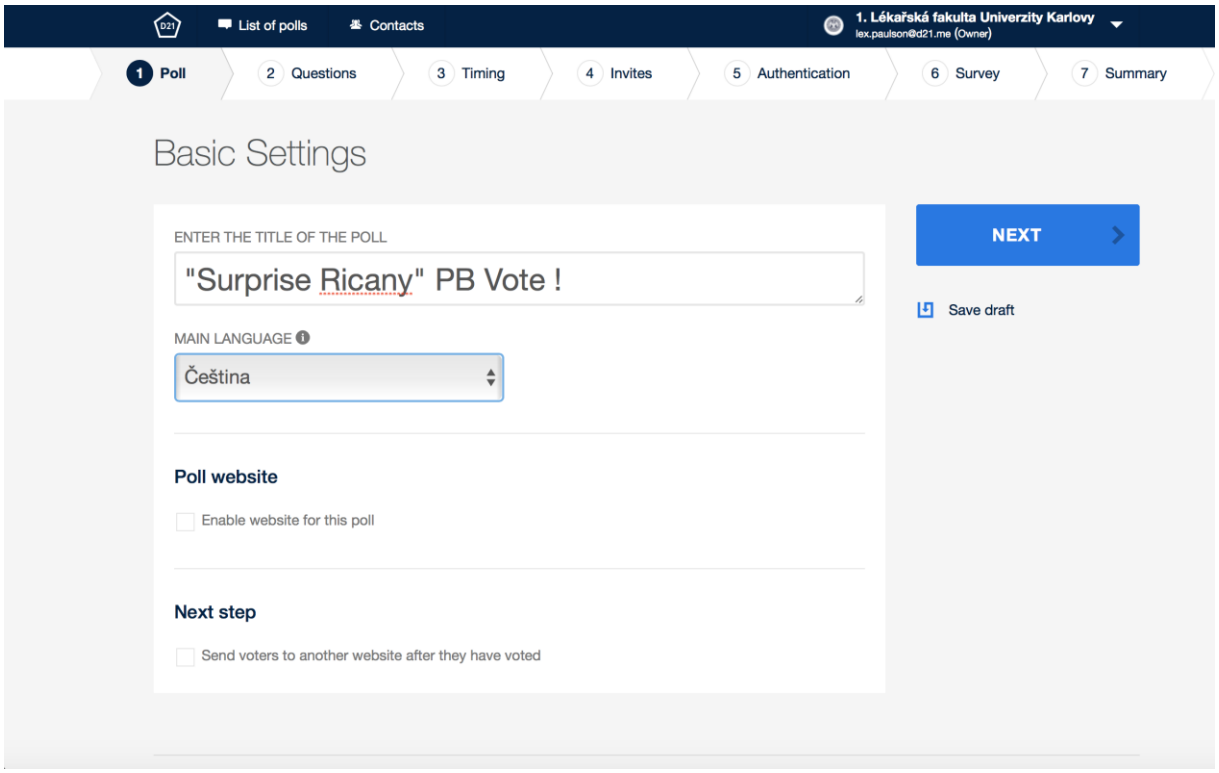


Figure 110: administrator view of the ballot creation page on the D21 voting platform

The D21 platform allowed any "live" voting process (called a "poll" in D21 terminology) to be diffused via an online link, or in paper form. Paper PB ballots with identical information as the online ballot were

Copyright © EMPATIA Consortium 2016 - 2017

printable by city administrators and made available at the town hall, libraries, and at city events. These ballots were then scanned and processed by D21-produced software, to be reviewed to correct any unclear ballots, remove any invalid ballots, and then integrate the "paper" results with the "digital" results, yielding a final vote count with an indication of the winning proposals. All technical details on these features are available in English at help.d21.me.

Figure 111: voter view of ballot (example) on D21 voting platform

5.11.3 Integration between EMPATIA and D21 platform

The possibility of an API connecting the EMPATIA and D21 platforms was actively explored between the technical teams of D21 and OneSource in the period May-September 2016. While the initial hope was that such an integration on the "back end" of the platforms could provide a model for the integration of third-party tools into EMPATIA, the respective tech teams were unable to arrive upon a development plan that would achieve this goal while both protecting the intellectual property of the partners' privately developed tools and meeting the project deadlines established for the pilot. Additionally, since the only functional integration would have been the automatic population of the D21 online ballot with proposal information from EMPATIA (which needed anyway to be reviewed manually by city staff during the technical evaluation phase), these facts and the relatively small number of project proposals anticipated made the "return on investment" for developer time less appealing than other WP2 priorities. The fall-back option pursued was a manual or "operational" integration of the two platforms, by which links to the EMPATIA platform were promoted and embedded in the main Říčany PB website for the idea-gathering phase, and links to the D21 platform were embedded in the website for the voting phase. Thus, from the user perspective, the two tools were linked together via the single PB website used for all stages of the process, reinforced by the use of logos and common language employed in both tools. Following the technical evaluation of proposals, project descriptions were entered manually by city administrators

Copyright © EMPATIA Consortium 2016 - 2017

into the D21 platform in preparation for the voting phase in April 2017. In sum, the **multichannel orientation of EMPATIA** was given special importance in meeting these challenges – only by making full use of online and in-person participation channels can these cultural and logistical challenges be fully met.

5.12 Pilot results in numbers

Říčany's first PB cycle was broadly considered to be a success, achieving all the principal goals that the mayor's team outlined at the launch of the planning process in spring 2016. The integration of the EMPATIA platform was less smooth than hoped (See Sections 4.13-15), but also largely produced the desired results from the perspective of city stakeholders.

Here were the following key statistics:

- 29 project proposals were submitted by the residents of Říčany through the EMPATIA platform and defended at four neighborhood assemblies;
- The quality of presentations at neighborhood assemblies was considered very high, with proponents showing detailed mock-ups and powerpoint slides elaborating their ideas;
- 1.691 residents registered to vote in PB process (via D21 platform);
- 1.022 total voters : 52% female / 48% male;
- 70% of ballots case online / 30% cast in-person;
- Ages of users : 11% aged 15-29 ; 64% aged 30-49 ; 17% aged 50-64 ; 8% over 65 ; good demographic match for city population, with a slight under-representation of oldest residents;
- Winning projects -- including bicycle parking at railway station, an industrial park for teenagers, and improvements to city sidewalk network -- are already in implementation phase as of November 2017;
- All political and community stakeholders agree that PB should continue in Říčany.

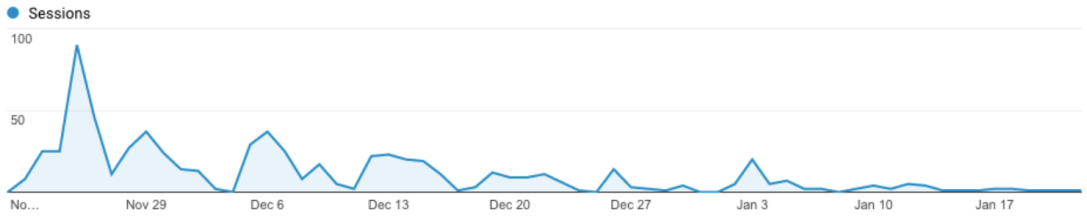


Figure 112: Visits to Říčany EMPATIA microsite over the period November 2016 – January 2017

Online idea-gathering through EMPATIA platform

Twenty-nine (29) project ideas were submitted over the month of October. Thirteen (13) of the submissions were made directly on the microsite (having been directed from the email campaign); six (6) of the submissions were made via the online form on the city homepage; and ten (10) were made on paper and brought to the assemblies. For 16 of the 19 proposals submitted online, the proponent came to a subsequent assembly – and of these, many came ready to present a slideshow to the assembly describing their idea. This demonstrated an unexpectedly high level of motivation on behalf of the proponents, from the point of view of the mayor's team.

Copyright © EMPATIA Consortium 2016 - 2017

Session Duration	Sessions	Pageviews
0-10 seconds	271	305
11-30 seconds	52	133
31-60 seconds	47	148
61-180 seconds	83	374
181-600 seconds	111	952
601-1800 seconds	71	735
1801+ seconds	50	1,507

Figure 113: Average frequency of visits to Říčany EMPATIA microsite over the period November 2016 – January 2017

Linkage of Ideation and Voting Phases

Although no automatic linkage between EMPATIA and D21 platforms was implemented for the first cycle of PB, the project information entered on the EMPATIA platform was transferred manually by the city PB team without incident. An email was sent to all voters with a link to the results page on the D21 platform showing the votes for all projects (both plus-votes and minus-votes, according to the Democracy 2.1 voting algorithm), and an indication of winning projects. A screenshot of these results was also posted on the "I Manage Říčany" campaign homepage, www.ridimricany.cz, and the main city homepage, info.ricany.cz. A description of the Democracy 2.1 voting algorithm can be found at https://www.d21.me/assets/d21.pdf.

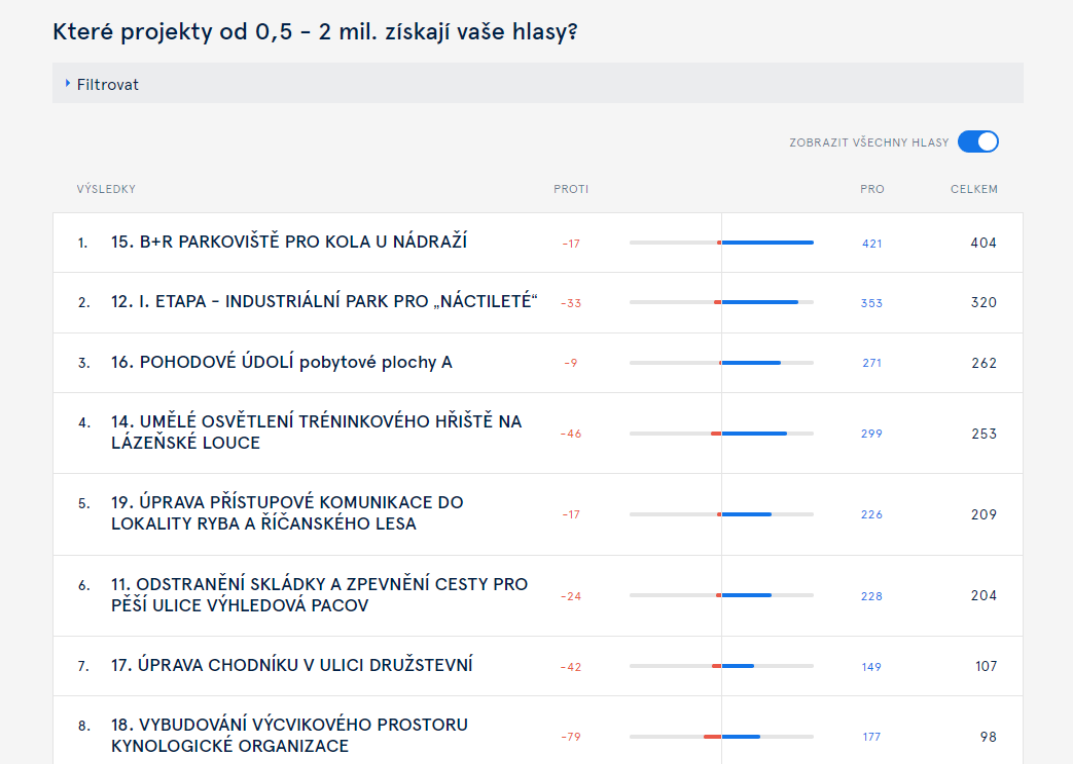


Figure 114: Winning projects of "Surprise Říčany", including plus-votes and minus-votes, are announced on D21 platform, June 2017

Copyright © EMPATIA Consortium 2016 - 2017

5.13 Future use of EMPATIA platform

At evaluation meetings in May and June 2017, city stakeholders expressed very positive views about their involvement in the EMPATIA project. In particular, they considered the chance to build a PB process with access to international expertise on multi-channel participation to have been a precious opportunity, without which the process would likely not have achieved the success it did in its first year. Participating in an international network of PB stakeholders, scholars, tool developers, and practitioners remains a high priority for Říčany, particularly as PB continues to expand in the Czech Republic.

Nevertheless, the integration of EMPATIA technical features was a point of frustration for city stakeholders. While the idea-gathering module worked largely as hoped, they were generally frustrated at their inability to control their use of the EMPATIA platform and website more directly (see Pilot platform evaluation, 5.14). City stakeholders remain open to using EMPATIA features in future PB cycles -- especially relating to technical review and the implementation cycle -- but only if they are given full autonomy to implement these features, and conduct the relevant translations, according to their own timescale.

5.14 Pilot platform evaluation

One of the main objectives of the pilots within the framework of the EMPATIA project was the experimentation and further development of the platform developed in WP2, based on the user experience and overall pilot results of WP3. The relative strengths and weaknesses of platform performance will be outlined in the following section from the perspectives, considered distinctly, of the city partner and of the implementing partner D21.

5.14.1 Reflection on collaborative platform development process

To begin with, it should be noted that the platform development and testing process was the most compressed phase in the entire process from the standpoint of planning and execution. The relative availability or unavailability of key stakeholders from the Říčany and EMPATIA teams over the summer months of 2016 posed a particular challenge, and made it so that many key mock-up and testing processes had to be treated urgently (and too often, haphazardly) in order to meet the October deadline for the launch of the online PB platform. The collaborative requirements gathering and implementation process were hence not a strong element of the Říčany pilot process.

While a limited integration of EMPATIA into the pilot was always foreseen for its first year -- with an agreement by all sides, given the stakes of launching PB for the first time in the city, that it was better to succeed with a less ambitious integration than fail with a more ambitious one -- it was disappointing to see the integration scaled back still further due to a failure to establish a more firm communications plan between OneSource, the city partners, and D21, at an earlier stage of the pilot. As described above, the spring and summer 2016 was spent largely on a WP2 discussion between D21 and OneSource as to the workability and desirability of an API between the two platforms, rather than a more pragmatic three-way discussion which would have included the city staff in a pragmatic discussion of potential user challenges and needs. On the other hand, those user challenges and needs were difficult to anticipate given the limited experience of the city with PB and the relative newness of participatory processes in Czech culture as a whole, and in Říčany in particular.

Copyright © EMPATIA Consortium 2016 - 2017

Had these three-way exchanges -- between D21, OneSource, and the city PB team -- begun in June 2016 rather than in mid-September, when the public announcements of PB were already imminent, a more rigorous process of storyboarding and user testing may have produced a more robust development of features, including the liking and commenting features on project proposals initially discussed in brainstorms between the pilot stakeholders. Unfortunately, the compressed time schedule of autumn 2016 and the lack of efficient communication channels between the three parties did not make such ambitions realisable.

Another major issue was the high dependency on WP2 partners when working with the platform. The city staff was generally frustrated at their inability to control their use of the EMPATIA platform and website more directly. A primary example was the fact that all changes to website text, on each of the several pages, had to be implemented by a three-step process in which: (i) the city PB team alerted OneSource by email to the change desired; (ii) OneSource acknowledged reception of the request, often posing follow-up questions by email to ask for additional screenshots or clarifying their understanding of the request; and then, (iii) upon the launch of a revised version of the platform, the city PB team would verify that the update accurately reflected their request, often necessitating a further exchange of emails. The fact that neither OneSource nor Říčany had native English-language speakers on their teams added to the frequency of uncertainty and misunderstanding regarding the nature of the request.

On a more positive note, the main ideation features implemented in the Říčany pilot functioned as requested, with almost no bugs reported, or major experiential difficulties encountered, by site visitors in the November 2016 idea-gathering period. This should be seen as an important success of an otherwise challenging platform development process.

Overall, the first and most important lesson from a technical perspective is that **autonomy is a critical piece of the platform implementation process**. City stakeholders need to be trained and empowered to make fixes when needed -- especially to the wording of key texts translated into the local language. Another important lesson is to **begin the requirements gathering phase earlier**, rather than waiting for final political validation. This was difficult to avoid in the case of Říčany's first PB, as the PB coordinator position could not be filled prior to political validation of the town council in summer 2016, but in future years the planning process for these technical steps should begin sooner.

5.14.2 Platform feedback from the perspective of project managers

An evaluation session with key stakeholders was held at Říčany town hall in June 2017, several weeks following the celebration of winning projects selected by city residents as part of the first PB cycle. This evaluation discussion centered around five key questions:

a) **Functionalities**: Did the platform function as intended from a technical standpoint?

b) **Usability**: Were users generally happy with their experience with the platform?

c) **Workflow**: Did the platform save time for the city administrators in the accomplishment of the key tasks of implementing the PB process?

d) **Communication**: Did key stakeholders -- including the platform developers, on-the-ground support from D21, and city PB team -- communicate responsively and effectively with one another?

e) **Sustainability**: What would the city prefer regarding the future use of EMPATIA in Říčany PB, if any?

Copyright © EMPATIA Consortium 2016 - 2017

The results will be described in the following.

Functionalities

Stakeholders agreed that the platform functioned well overall once various implementation hurdles had been overcome in the early phase. There were no project proposers who reported being unable to upload information regarding their projects, or who did not receive confirmation via the automatic email feature in the ideation phase. The city regretted not being able to implement all of the "campaigning" features they had anticipated -- including "likes" for a given project, comment forums, and social media share buttons for project pages. Nevertheless, the key functionalities of the project pages, including a clear structure of information and visual aids, worked as intended and without confusion reported on the part of users or proposers.

Usability

City stakeholders reported that users had no difficulty interacting with the informational or idea-gathering features of the EMPATIA site. The light integration of features into Říčany's first PB cycle allowed a straightforward and streamlined experience for users overall.

Workflow

In the planning phase, technical review phase, voting phase, and evaluation phase, the workflow processes unfolded largely as intended, with slight adjustments in summer 2016 based on shifts in the political calendar. The difficulty was with regard to platform testing; city stakeholders reported being frustrated at the unresponsiveness of platform developers and the city's lack of administrator access to make corrections in the text of the PB site. While the platform did save time in allowing for a centralization of all information for the 29 proposed projects, these savings were offset by the fact that the city spent more time than anticipated in the platform testing process. On the whole, this was not the most satisfactory element of the PB process for city stakeholders.

Communications

City stakeholders reported that internal communications in their team functioned quite well, with the mayor playing an active and consistent presence in seeing that key deadlines were met and that events related to PB were well executed. Communications with platform developer OneSource were a weak area, as city stakeholders reported emails going unanswered for up to two weeks at critical phases in the platform implementation process in September and October 2016.[10] These lapses created frustration on the side of the mayor's team.

Sustainability

The lack of autonomy and administrator access provided to city stakeholders, as described above, made it less likely they would opt to continue using the EMPATIA platform for future PB cycles. That said, the relatively smooth functioning of the platform once fully implemented in November left a more positive impression with the mayor's team. The city has voiced its continued interest in seeing final

[10] Note from WP3 lead: The problems in communication also point at problems due to unclear roles (e.g. who should communicate with whom), as will be discussed in the conclusion of this Deliverable.

Copyright © EMPATIA Consortium 2016 - 2017

versions of technical review and implementation cycle modules in EMPATIA, and remains open to integrating these into its PB process in future years.

Integration of tools

A final lesson is that **integrating multiple tools** within a single PB process -- as was done here, between EMPATIA's use in the idea-gathering phase and the use of D21 in the voting phase -- is absolutely feasible, as long as the division of roles and technical functions is clear. Having a single "landing page" with centralized information on the entire PB process was a critical part of the smoothness of integrating multiple tools sitting "behind" this homepage, and corresponding with various phases of PB.

5.15 Pilot process evaluation

Apart from the questions addressed above concerning the technical aspects of the pilot implementation, a separate set of questions concerned the design, implementation, and evaluation of the process itself. In this section, the main positive elements of the pilot will be presented from the perspective of the project managers, as well as certain priority areas of improvement.

5.15.1 Key positive, innovative aspects

Integration of multiple online platforms in a single PB process

A central principle and aim of the EMPATIA consortium is that multiple participation channels should not compete with or diminish the effectiveness of one another. Rather, in both the selection of tools and design of the user experience, ICT should serve as a linking and harmonizing element among parallel participation channels. In the case of the Říčany pilot, the D21 platform served two distinct and complementary functions vis-a-vis the EMPATIA platform. First, it served as a "preparatory" ICT tool, in that participants in "I Manage Říčany" were already accustomed to the look, feel, and main voting functionalities of the D21 platform prior to the city's participation in EMPATIA as a PB pilot city. Since the principal user interactions with the D21 platform in "I Manage Říčany" were single-instance polls, without a deliberative component, these rather "light" calls to action made it easier for citizens who had never interacted with government via ICT -- in the case of Říčany, a very large majority -- to have a first confidence-building experience with an ICT-assisted participatory process in polls diffused throughout 2015 and early 2016. Second, with regards to its specific role in the PB process design, the D21 platform served as the "completing" ICT tool, in that it capped a process which introduced an entirely new participatory call to action, the idea-gathering phase of PB, and an entirely new in-person participatory experience, the neighborhood assembly. This symmetry of approach, and the ample time available to manually transfer proposal data between the EMPATIA and D21 platforms in the period from the beginning of technical review in December 2016 and the launch of public voting in May 2017, made the integration of the tools a strong and innovative element in the eyes of city stakeholders and citizens alike. This observation was made repeatedly in the course of the feedback sessions listed above; the ICT aspect of the PB experience was largely considered a smooth and successful feature of the pilot.

Format and implementation of neighborhood assemblies

Two common risks of in-person assemblies in smaller communities, in the experience of pilot partner D21, is either too much control exerted by municipal stakeholders on the format of the deliberation, on the one hand, or cooptation of the discussion by local interest groups whose views regarding priorities

Copyright © EMPATIA Consortium 2016 - 2017

for city improvements are not necessarily representative of the majority. In this case, the Říčany assemblies were a strong success in the light of both of these two risks. First, as in-person host of the four assemblies, Mayor Koren struck a laudable balance between offering credibility and seriousness to the occasions -- these were not merely discussions or informal consultations, but a consequential step in a binding community decision about public investments -- while also being deferential and good-humored, listening far more than he spoke and offering many kind words of encouragement to project proposers, all of whom were interacting with their municipal government in an unfamiliar and potentially uncomfortable way. For a community and culture in which in-person citizen deliberation is still a fresh and experimental idea, the tone and format of the assemblies -- giving ample time to each participant, encouraging creative and original presentations, and offering immediate and generally positive feedback -- was considered a great success by participants and city stakeholders alike.

Measuring and evaluating quality of PB proposals

An important innovation tested in the course of this pilot was a new grading system for PB project proposals developed by the EMPATIA consortium and validated by city stakeholders. The objective of this evaluation framework is to provide PB administrators with a way to track the evolution of project quality over the course of multiple PB processes, including such important criteria as how **innovative**, **specific,** and **inclusive** a given project proposal is, as well as whether it serves multiple identifiable interest groups within the community (**multiplicity**) and whether it gathers a **breadth of support** over the course of the PB process.

The following table lists the twenty-nine PB proposals submitted online or on paper at the assemblies. Preliminary ratings were given by D21's facilitator according to the typology described above. Though the facilitator made his analysis on careful observation of each proposal presentation, drawing upon knowledge of the city gained from the mayor, his team, and conversations with many citizens, the ratings were assigned independently by D21 without input from any politically interested stakeholder in the city.

The rating for **"innovation"** was based on available information about existing city initiatives: for example, a sidewalk-improvement proposal may rate high for specificity but low on innovativeness, since this is a basic city service. The specificity rating was given based on the level of detail provided in the submission materials and in person at the assemblies.

The **"inclusiveness"** rating was decided based on whether the proposal served a uniquely identifiable community who risked being underserved by existing city services – from the point of view of the proponent and other community members, not the mayor or city administration.

The **"multiplicity"** rating was decided based on whether multiple individually identifiable populations would be served by the idea: for example, a park-renovation proposal was given a "3" on multiplicity because it included specific gym facilities for seniors and picnic facilities for families. Proposals that were accessible to all members of the community equally were given a "2" rating on both inclusiveness and multiplicity.

Though it was important for the methodological framework, it was decided not to apply the **"breadth of support"** criterion to the proposals at this phase, given that most of the proponents did not actively campaign for the support of fellow community members prior to or during the assembly process.

Copyright © EMPATIA Consortium 2016 - 2017

	Innovative	Specific	Inclusive	Multiple	Notes
1 - Clean-up of vacant lot & repaving site	**1**	**2**	**1**	**1**	
2 - Recreational dam on Rokytce river	**3**	**3**	**2**	**2**	Subject to permission from regional rivers authority
3 – Recreational dam on Ricance river					Proponent disallowed from 2nd project
4 – Outdoor gym for seniors	**2**	**2**	**2**	**2**	
5 – Sidewalk repair on Siroka St.	**1**	**3**	**2**	**2**	
6 – Turn unused meadow into park	**2**	**1**	**2**	**2**	Proposal submitted online, proponent didn't show
7 – Art gallery in train station underpass	**3**	**3**	**2**	**2**	
8 – New benches & paths in Areal park	**2**	**3**	**2**	**2**	
9 – Adventure game for children at the creek					Disallowed: a service, not a capital project
10 – New barbecue grills for city parks	**2**	**2**	**2**	**2**	
11 – Renovation of War memorial	**2**	**3**	**2**	**2**	
12 – Labyrinth (hedge maze) in city park	**3**	**2**	**2**	**2**	Mayor likes idea but needs different location
13 – Lighting for rugby stadium	**2**	**3**	**1**	**1**	
14 – Skatepark	**2**	**1**	**2**	**1**	Proposal submitted online, proponent didn't show
15 – Secure parking for bicycles at train station	**3**	**3**	**2**	**2**	May be excluded (proposal is 80% private-funded)

Copyright © EMPATIA Consortium 2016 - 2017

16 – Renovation of Pohodove park (picnic & gym space)	**1**	**2**	**2**	**3**	
17 – Sidewalk renovation (Obnoveni)	**1**	**3**	**2**	**2**	
18 – Holocaust 'name stones for the disappeared'	**3**	**3**	**3**	**2**	
19 – Sidewalk renovation (Chodnik)	**1**	**3**	**2**	**2**	
20 – Repairing steps at city intersection	**1**	**3**	**2**	**2**	Excluded as moot: city plans to redress
21 – Sidewalk renovation (Oprava Dru)	**1**	**3**	**2**	**2**	
22 – Sidewalk renovation (Oprava Byt)	**1**	**3**	**2**	**2**	
23 – Sidewalk renovation (Oprava Bez)	**1**	**3**	**2**	**2**	Excluded as moot: city plans to redress
24 – Outdoor gym for seniors	**2**	**3**	**3**	**2**	
25 – Minigolf & labyrinth in city park	**3**	**3**	**2**	**2**	
26 – New bicycle lanes	**3**	**3**	**2**	**2**	
27 – New dog park	**1**	**3**	**2**	**1**	
28 – Repair of access roads at 'Ryba' cabins	**2**	**3**	**3**	**1**	
29 – Intersection improvements (Sovava)	**1**	**3**	**2**	**2**	

Table 13: Říčany PB Proposals 2016-2017

This initial review produced the following average ratings of project quality for Říčany:

- Innovativeness: **1.87**
- Specificity: **2.61**
- Inclusiveness: **2.00**
- Multiplicity: **1.91**

These scoring results gave quantifiable data to match the impression shared by Mayor Koren with D21 following the neighborhood assembly phase, that the specificity and practicality of the ideas proposed were key strengths, but that the creativity or innovativeness of the ideas was a weak point in comparison.

Copyright © EMPATIA Consortium 2016 - 2017

The city staff expressed keen interest in tracking the progress of project quality in subsequent years of PB.

Following this initial scoring of projects in December 2016, all 29 eligible projects proceeded to technical evaluation and review by the PB coordinator and the city administration. This review process lasted until February 2017, at which time a final PB ballot was prepared and new calls to action issued to the community to inform them about the voting process and individually about the proposals submitted for their consideration. Political will on the part of the mayor's team remained strong throughout, and after a somewhat rocky start, the individual city administrators taking part in PB reported a growing confidence in the process and in their ability to manage it.

5.15.2 Key areas of improvement

Documentation of requirements

As described above, the weaknesses -- both in design and circumstance -- of the requirements gathering and collaborative development process put strain on the main PB stakeholders at a moment of great import in the campaign, the public launch phase of PB. Attention that should have been dedicated to amplifying the reach of the public information campaign was invested instead in resolving the range of last-minute technical difficulties. These difficulties could have been avoided had D21 established a more rigorous and efficient requirements gathering process with its partners.

Gathering of data on volume of users and user experience

Perhaps the single weakest element of the pilot management was D21's failure to record sufficient data at the time of the platform development, testing, and launching phase to permit a timely and comprehensive evaluation framework. Rather, several different D21 team members had to piece together data at different phases in the process to allow a comprehensive picture of the successes and weaknesses of the process to be adequately explored. One example was the gathering of data on volume, frequency, and interaction metrics of users of the EMPATIA platform as the pilot was underway; these data would have been useful to monitor in an ongoing way to provide input to the communications teams on appropriate calls to action aimed at populations who were underrepresented in the metrics to that point. This is an important learning that will inform D21's project management standards and practices going forward, as significant improvement is surely merited on this point.

Calendar planning and time management

A final, perhaps predictable point of improvement stemmed from the fact that the time allocated for the political preparation of the PB process turned out to be unrealistically short. While it was anticipated that key budget processes would have been completed early in the summer of 2016, their delay due to political externalities meant that the capacity of the city team to devote time and resources to planning the PB process and its concomitant public outreach was somewhat less than hoped. That said, the morale of city stakeholders remained quite high through some brief moments of stress, and the good-humored, experimental mindset of Mayor Koren pervaded his full team and smoothed over this occasionally haphazard element of an overall successful process. In particular, once the idea-gathering phase was completed, the pace of implementation slowed to a manageable flow of tasks, and by the voting phase no major technical hurdles remained to resolve. Nevertheless, these learnings will help build a more ample and realistic timetable for future PB cycles.

Copyright © EMPATIA Consortium 2016 - 2017

5.16 Conclusion: Goals achieved?

As regards a final evaluation from the standpoint of the pilot partner, the process should be evaluated both in relation to the goals originally set by the pilot partner in collaboration with the city partner, but also in relation to unexpected learnings that emerged from the course of this first PB process in the city of Říčany, in which many unprecedented activities brought city stakeholders and citizens to test new roles -- even, in the case of the neighborhood assemblies, reversing the traditional role of the city as "explainer" of its projects and the gathered citizens as "questioners" and "validators" of those projects.

5.16.1 Level of achievement of municipal goals

As given above in section 4.3, the internal goals of Říčany's mayor and municipal leadership were fourfold. The goals will be discussed one by one in the following.

First, the municipal leadership recognized a need to **build the capacity of town administrators** to realize the promise of new participatory channels so that they can operationalize them in the future without direct external support. It is fair to say that this goal was largely met. A new PB coordinator was hired and trained, and the mayor's core team participated directly in all PB planning and implementation activities.

Secondly, their goal was to use the participatory budgeting process to educate citizens about the **budgeting process**, especially those who have not participated politically in the town, sensitizing them to common needs and the challenges facing the delivery of public services. This goal was largely met as well. Citizens at the neighborhood assemblies reported to the mayor their positive impression of the openness of city staff to educate the public on municipal budgeting processes, and greater knowledge of these processes helped the PB participants make significant corrections and refinements to their ideas, as shown in the evolution of project proposals from the initial form in November 2016 to the final form on the ballot in May 2017. The city has expressed a desire to develop more rigorous benchmarks on the level of public awareness in city processes; these questions will be developed in the survey whose results will be forthcoming in the final EMPATIA deliverable.

Thirdly, they wished to use this first PB process to **motivate a greater number of citizens to participate in town affairs**, raising the quality of budgeting decisions and creating a stronger sense of civic cohesion. As demonstrated above, PB brought a higher number of Říčany's citizens to participate in a public decision than any in the town's history, with over one thousand casting their votes for citizen-generated project ideas. The mayor's team considers this a remarkable success.

Fourth and finally, they wished to **benefit from the expertise of EMPATIA consortium partners** in planning and executing high-quality participatory processes, including expertise gained from countries with many years of experience in PB (notably Portugal, Italy, and Germany). This goal was partially met, in the eyes of city stakeholders. The visit of the EMPATIA consortium to Říčany in September 2016 was a tremendous opportunity for the city team to learn directly from international experts in PB, pose questions, raise their doubts, and learn from best practices. These exchanges were later reported by the mayor to have been incredibly valuable to his team. Further opportunities for such exchanges should be actively explored, including the possibility of international conferences and workshops in which EMPATIA partners can participate.

A final, positive lesson was the critical importance of the mayor serving as "PB cheerleader-in-chief". Mayor Koren's deep personal involvement in the PB process created energy and momentum that was critical to the public appreciation of PB and the widespread participation in the process.

Copyright © EMPATIA Consortium 2016 - 2017

5.16.2 Level of achievement of the EMPATIA objectives

Besides the goals formulated and proposed by the city stakeholders, the process also should be evaluated by comparison to the objectives outlined by the EMPATIA consortium for this particular pilot (see chapter 5.4, "EMPATIA's objectives to be tested").

The three main goals of EMPATIA to be tested in the Říčany pilot were identified in this section as the following:

- **Multichannel innovation** (connecting different channels of participation)
- **Inclusion** (lowering the barriers to participation)
- **Efficiency** (optimising time spent by citizens and municipal staff)

A more global evaluation based on surveys for PB participants is still underway. Based on the stakeholder evaluation discussion of June 2017, however, each of these goals was largely achieved, though to different degrees.

With regard to **multichannel innovation**, the integration of PB into the "I Manage Říčany" campaign was considered a strong success. The participation in PB, 1022 voters, included 400 more city residents than in any previous participatory exercise under the multichannel campaign. Participants in earlier phases of "I Manage Říčany", having provided their email addresses to answer previous polls, were given specific calls to action to participate in PB at every phase of the PB process, and 65% of all voters casting a PB ballot online did so as a result of these calls to action. No residents reported confusion about the integration of multiple tools within this larger campaign, though several inquired as to the EMPATIA project and were pleased to hear that Říčany was part of an international consortium funded by the European Commission.

With regard to the goal of **inclusion**, the mayor's team was encouraged by the strong turnout in the voting process relative to previous participatory exercises in "I Manage Říčany". They were additionally encouraged by the demographic representativity, with a good proportion of voters from each age group and an almost 50/50 gender split. The only age group under-represented in the process was voters over 65. As such, the mayor has expressed a desire for more creative and proactive outreach to elderly voters in coming PB cycles -- including the possibility of "mobile voting sites" at retirement homes and increased door-to-door canvassing in communities with higher proportions of retirees.

With regard to the goal of **efficiency**, city stakeholders reported being quite pleased at the time saved via the integration of technical tools at various phases in the PB process. Though the EMPATIA testing and implementation process in September and October 2016 were not as smooth as had been hoped, the mayor's team reported a smooth unfolding of the process overall, with all key deadlines met for idea-gathering, technical review, voting, and the reporting of winners. This being the first PB process in Říčany, these observations did not have previous years' results to refer to, but the overall orientation of city stakeholders remains positive and lessons learned this year will be applied to make PB more efficient and inclusive in coming years.

Copyright © EMPATIA Consortium 2016 - 2017

6 Milan pilot

The Italian pilot is settled in the city of Milan, the second largest city in Italy of about one million of inhabitants, located in the North of Italy. Milan is the financial and economical capital of the country. It was also the first Italian metropolis which first implemented a city-wide Participatory Budgeting, in 2015. On May 2017 the EMPATIA project launched the "Monitoring Cycle" of Milan previous PB. EMPATIA provided the platform with tools to enable the tracking of implementation of projects, and the transparency of data. On a later stage, the openDCN platform, developed by UNIMI, was introduced to support EMPATIA project on the Milan new "Deliberation Cycle". The PB process will end in March 2018. It followed the methodology, as described in the deliverables 1.2 and 1.4, which has been implemented in many small and medium cities in Lombardy Region and beyond, and which has been recently adopted also in the Municipality of Madrid. This model was never tested in large cities in Italy. The pilot website is available at www.bilanciopartecipativomilano.it. Due to the concomitantly ending of Milan PB process and the EMPATIA project, we were unable to present a more complete analysis of the experience and of the use of the platform. Hence, all data and analysis presented here are related to data until December 2017.

6.1 Reasons for selection

Since its beginning, the EMPATIA project has attracted a lot of public interest in many countries, in particular in Italy and in the Milan area, after the first dissemination events organized in February 2016. The new administration in the city of Milan, elected in 2016, also expressed interest on the project which led the EMPATIA Consortium then to agree to include one more pilot, in order to test other features of the platform, and support the dissemination efforts of the Project. The main reason why Milan was selected as the fourth pilot of EMPATIA was the opportunity to implement and test the "Monitoring Cycle" (MC), the only one of all of EMPATIA pilots. This was an important innovation introduced by EMPATIA in the design of the participatory processes, besides the most known "Deliberation Cycle" (DC). Due to its population size and political relevance, Milan was also important to test the impact of technologies, and its outcomes in a large setting.

The new Milan administration goal was to keep implementing the Participatory Budgeting in the city, which was developed for the first time in 2015 by the previous administration. However, there were some issues regarding the previous PB process which caused substantial mistrust and scepticism among engaged citizens: first of all, few of the 16 winning projects were actually implemented or started, and many of them had (and still have) technical problems which were delaying the execution; moreover, the process was too short and insufficiently transparent, and it did not involve the 9 districts of the city, despite having a district PB focus. Finally, the previous PB process was almost entirely offline, mainly based on face-to-face meetings. The website was informative and the online participation was limited to the voting phase, using an external and non-open source e-voting platform. The new PB had not only to be restructured but count on half of the budget: the pot of money for the new PB was 4.5 millions of euro, 500.000 for each district, instead of 9 million - 1 million for each district - as the previous PB.

The new administration established a dedicated Councillor for Citizen Participation (henceforth called "Councillor") who is also in charge for the Open Data. His commitment with PB, and his proximity with the University of Milan, has therefore push forward the idea of making the city of Milan the fourth official pilot.

Copyright © EMPATIA Consortium 2016 - 2017

6.2 About the requirements gathering and planning process

This chapter describes the steps and the actions performed to develop the requirements for the EMPATIA platform (i.e. Monitoring Cycle) and the PB process of the Milan pilot. There have been two separate planning processes in the development of the Milan pilot, one for the Monitoring Cycle (MC) and another for the Deliberation Cycle (DC). In both planning processes there were some hurdles which, as we will see, have affected the use of the EMPATIA platform.

6.2.1 Requirements gathering and design process

The new administration took office in June 2016 and the first meetings with the EMPATIA team took place in October. While the administration still had to settle in and structure itself, the Consortium had to apply for an Amendment which would have allowed the Project to have a fourth official pilot, and UNIMI to change part of its Tasks from WP2 to WP3. This process took time thus slowing down the design process of the PB initiative. This delay did not affect the MC, whose requirements gathering started in September 2016 as a UNIMI Task, independent from the pilot (see Deliverable 2.3).

The MC was built following a clear and detailed participatory design methodology: interviewing stakeholders (practitioners, activists, citizens, etc.) from different cities - including Milan - to collect the requirements, designing a prototype and then testing it together with the stakeholders. The first meetings occurred in November together with the city official responsible for the implementation of PB projects and his staff. Different from the other meetings, this was organized to present a general overview of EMPATIA tools and to discuss how to practically implement these for the Milan case.

The design of the DC followed a more complex and non linear path. The design process took longer than expected, and involved mainly the EMPATIA team, the Councillor, his staff, and his administrative offices. The districts were met and consulted regularly. The Delegate of the Mayor for the Accessibility Policies (henceforth called "Delegate of the Mayor") was involved only at a later stage: her enthusiasm for the PB initiative facilitated the inclusion of an accessibility perspective within the process design.

Figure 115: Workshop with the administrative officers

The letter of intent was signed by the Municipality only on the 11th November 2016, declaring Milan's interest in using EMPATIA platform on its Participatory Budgeting. In the meanwhile, several informal consultancy sessions were organized with the municipality for the design of the PB model, in order to have it ready for implementation upon EC approval.

The new PB process was originally scheduled to start in April 2017, in order to finish in November 2017, concurrently with the end of EMPATIA and in time for the approval of the Municipal Budget Law. On the 23rd of February a first draft of the process and the list of requirements was already prepared. On the 1st of March the EMPATIA WP2 technical coordinator, ONE, was present in Milan to meet the municipal officers and UNIMI. The aim was to collect technical information in order to

Copyright © EMPATIA Consortium 2016 - 2017

integrate the EMPATIA platform with the Municipality existing tools, starting from the registration procedure and the login. However, some hindrances delayed the launch of the pilot. Despite making ample planning provisions and adaptations to attend local demands, EMPATIA team could not foresee the political complexity and the slowness of the administrative body of a large city like Milan. These and other issues, later detailed in this report (chapter 6.15)., contributed to postponement of the pilot launch to the end of May. It stands out: a) the need to formally approve the partnership and the PB process by the government; b) the need to collect, insert and publish in the EMPATIA platform all the information available about the current state of all 2015 projects; c) some glitches in the workflow of the management of the pilot which required the coordination between three actors - the Municipality, ONE and UNIMI - and intense dedication of these.

There were several meetings with the main actors of the process, along the way: the municipal officers, the districts, and civil society organizations. In detail:

1. a workshop with the municipal officers, held on January;
2. a third party event in which EMPATIA and the Municipality were invited to discuss about the participation in the city and to present the guidelines of the new PB (February, 9th);
3. a series of meetings with the districts (started on February and ended on April 2017);
4. a series of meetings with the technical officers to discuss any possible integration with the Municipal tools (authentication, civil registry, etc.);
5. a series of meetings with the responsible person of Milan's communication office, to define the visual image and the platform layout;
6. internal meeting with the Councillor and his staff, to define the rules of the game and to write the *Patto di Partecipazione* (Participation Pact);
7. a large and public event with citizens and civil society organizations, held in July, after the official launch of the process;
8. a meeting with disability advocacy organizations and the Delegate of the Mayor.

In almost all these meetings, EMPATIA presented the draft PB process and collected questions, feedback and proposals to improve it.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 116: View of the first mock-ups (Milan)

6.2.2 The "governance" model: steering group guiding the process

Since the very beginning, the EMPATIA team suggested to the Municipality to create a steering group responsible for defining and following the process and to meet regularly, in order to advance with the design process and potential delays. The suggested steering group should have included the staff of the Councillor, the technical officers, some representatives of the districts and of the communication office, the Delegate of the Mayor, and the EMPATIA team. However, this steering group was not formally created and the meetings did not follow a clear timeline. This slowed down the implementation and the requirement gathering process, thus affecting the quality of some strategic decisions (like the uncertainty about the organization of face-to-face meetings) and the understanding about the rules of the process among the municipality staff. This lack of governance was acknowledged as a problem only during the first phase of the DC, and it was solved by setting steering committee and having weekly meetings.

6.2.3 Relation to use case scenarios defined in D1.2/1.4

The Milan PB was not originally part of the EMPATIA project, and it only became a pilot in 2017. However, in the Deliverable 1.2 there were already clear indications about the possible inclusion of some experiments in the Italian context including the methodology that should have supported the following general requirements. In fact, the use case scenario depicted in this Deliverable was the result of the research conducted by UNIMI in the last four years. This research analysed several hybrid PB processes that have been developed in cities and towns surrounding the metropolis of Milan in the last 8 years which shared similar PB cycle and used the same software platform, BiPart. This research has been used to inform and propose a contextualized model for Milan pilot and to produce, in 2015, the openDCN platform. OpenDCN was also used in the Milan pilot for the DC. The use case scenario

Copyright © EMPATIA Consortium 2016 - 2017

defined in D1.2 and D1.4 did not include the MC which was an important request (and opportunity) from the Municipality during the negotiation. This Task also started only in September 2016.

6.2.4 Feedback workflows during development and implementation

The MC was entirely under the responsibility of UNIMI which managed the whole requirement gathering and the development of the software (this last one, in coordination with ONE). The requirement gathering started only in September 2016 and lasted 7 months, in order to include the most important feedback from Milan. The development of the software finally took two months, from March until April. The integration of the MC components and the configuration of the Milan pilot made by ONE was completed in May, so there was limited time to entry all the information about the winning projects from the previous PB; to fix bugs; and to add some minor changes. During this period, the coordination between UNIMI and ONE to perform these activities was critically affected by Milan's Municipality inconstant engagement, or changes of requirements. This led to a constant pushing of deadlines and the overlapping with the Wuppertal pilot, which put extra pressure over the staff from ONE. These problems were partially solved when CES supported the UNIMI team with a full-time person dedicated to this task.

On May, 30th, the platform was launched and presented to the city in a public meeting where the Mayor and the Councillor were also present. On that occasion, and in the following weeks, the platform still presented glitches that were gradually resolved.

The openDCN platform, already designed to support the Milan pilot methodology and already tested and used in several occasions, hence requiring fewer bug fixing, was used to perform the DC. Consequently, all technological design and implementation of the entire DC process of the Milan pilot has been managed by UNIMI.

6.3 Goals of municipal stakeholders

The main goal of the Municipality of Milan, made clear since the first meetings and the first workshops made between the officers and citizens, was to: to avoid the mistakes of the first PB edition (e.g. lack of transparency, limited implementation of projects and citizen monitoring). Moreover, it should have met the priorities of the new administration's political programme, such as a greater understanding of the suburbs, and to comply with the new administrative reforms that turned the districts more independent and autonomous from the central government.

As previously described, the city already had a PB process in 2015 but the experience was disappointing. It was a top down process designed without any preliminary participatory process. It was selected through a tender procedure which included few guidelines about the methodology and the goals to pursue. Moreover, it was launched in the run-up to the municipal elections (which ended up electing the actual administration), shrinking the time available to implement the process, including the technical review, the co-design of the citizens' proposals, and the summer break. As a result, due to extreme time constraints, the technical review was so superficial that many of the projects which won on the voting phase, were difficult or almost unfeasible to implement. One year after the end of the first edition, only some stages of a few winning projects - voted by almost 30.000 citizens - were implemented: only scant interventions of about 80. In addition to this, the first PB process methodology did not include online participatory tools except the online voting. Finally, despite the PB budget being split into the 9 districts, the decentralized administration bodies were by no means involved, thus generating discontent from the

Copyright © EMPATIA Consortium 2016 - 2017

local representatives. The previous administration already defined the budget for the second edition, but this was half the first year: 4.5 millions of euro for the 9 districts, instead of 9 millions. There were much less funds to actually manage the process than in the previous edition, increasing the complexity for the administration to start a new cycle.

Before the encounter with EMPATIA, the Councillor already committed himself to keep working on the PB, starting from the implementation of the citizens' projects. He organized several meetings with the decentralized administrative bodies - the districts - and the citizenry, in order to inform them about the state-of-the-art of the winning projects. Therefore, he already collected requests and information about the political and social context which was the base for the development of the new PB process. Despite this commitment, the Municipality interpretation coming from these exchanges was to avoid completely any kind of facilitated face-to-face meetings in order to distinguish this PB edition from the previous one. The new PB should have been 100% online and provided at least some public spaces to accommodate meetings self-organized by civil society.

The Milan pilot was therefore the encounter of a set of needs from the Municipality and a clear methodology already implemented in several other experiences in Italy, which was welcomed and personalized by the administration. If we were to summarize the main goals that the new PB process should have guaranteed, they would be the following:

- **Trust**. The new PB edition must regain the confidence of those who participated for the first time and not incur on the same mistakes as the last one.
- **Transparency**. It is a goal and a mean at the same time. The distrust of the people could only be faced by an adequate information about the problems and difficulties inherent in the implementation of the winning projects, a clear presentation and refinement of the rules of the game before the game starts, a constant and accessible information about the PB process.
- **Interaction**. The new PB should not be seens as an external project ran in a top down approach, but a process where citizens must feel able to collaborate and set the rules together with the Municipality, and with limited external support.
- **Inclusion**. The new PB edition had to reach the suburbs and those citizens that usually do not interact with the Municipality and take into account the needs of the disabled persons.
- **Institutional cooperation**. Being a district PB - the budget is distributed within each of the 9 districts - the new PB process should have a broader inclusion of the 9 Districts in the management and the decision-making.
- **Feasibility**. The projects to be voted and funded have to be clearly reviewed to check its feasibility.
- **Participation**. The new PB edition had to overcome the problems of the old one while ensuring at least the same level of civic engagement.

All these objectives had to be pursued with limited budget for the organizational costs.

6.4 EMPATIA's objectives to be tested

Given the characteristics of the other three pilots and the conditions of use of the EMPATIA platform, the Milan pilot was fundamental to test the software for the MC. In more general terms, considering the

Copyright © EMPATIA Consortium 2016 - 2017

objectives of the EMPATIA Project, this new pilot provided the Consortium the opportunity to test the following aspects:

- **Efficiency** (optimising time spent by citizens and municipal staff)
- **Transparency** (providing information about the implementation of the projects)
- **Replication & Adaptation** (reusing the tools in different contexts)
- **Inclusion** (lowering the barriers to participation)

The EMPATIA platform should optimize the information stream from the administration towards the citizens, improving the organization of the municipal staff in providing updates about the state of the art of the winning projects. From the citizens perspective the EMPATIA platform should, in turn, increase the transparency of the administrative procedures to implement the projects. This objective is also in line with the municipal goal as the precondition to start a new PB edition. Finally, the prototype developed in Milan should be able to be replicated in other cases and other contexts different from the Participatory Budgeting.

In more general terms, EMPATIA aimed at testing whether the use of the ICT solutions and some methodological elements in the DC could increase the participation of the excluded, that is, those who usually are not involved in the face-to-face meetings and in other initiatives proposed by the Municipality. EMPATIA also aimed at testing whether the methodology adopted in different and smaller urban contexts could be adapted in a larger scale, preserving the same results.

6.5 Overview of the participation process model

The Milan pilot consisted of both cycles of the participatory process: Deliberation and Monitoring Cycle. While the first cycle was designed to be highly participative, the second suffered a lack of interactive features.

Despite the EMPATIA platform been designed and developed to support different participatory tools, the MC in Milan was configured as a mere information 1.0 site. Citizens could monitor the progress of the projects that were selected during the Milan PB process of 2015-2016 but only the municipal staff - through the EMPATIA back office - could input and organize the information about the state of the art of the projects and determine how it would be communicate to the citizens. The site aimed at showing the administrative and field-work steps that the Municipality uses to organize its activities. Each webpage of the site was dedicated to a specific project and used several tools -- such as GANTT charts and tables with the predicted dates of each work phase -- to describe its progress.

The DC followed a consolidated process developed and tested for many years in some Italian cities (Canegrate, Rho, Cascina, Cernusco Lombardone, etc.) which became also part of the EMPATIA network (Monza, Cormano, Pavia). The same methodology is now adopted in some important metropolises such as Madrid, but it was never tested in large cities in Italy. This cycle was performed by the openDCN platform already developed within UNIMI to support this kind of PB. The DC consisted of three main phases:

1. creating and supporting proposals
2. reviewing proposals and co-designing projects
3. voting projects

Copyright © EMPATIA Consortium 2016 - 2017

All the residents and city users aged 16 or over could participate (henceforth referred simply as "citizens") all along the process. With the exception of phase 2, the PB process was performed exclusively with online tools. Despite no face-to-face meetings been originally foreseen by the Municipality, as it will be described later, they instead became the backbone of the first phase, contributing to important positive results.

An innovative element was introduced in this mechanism to improve the role of the districts within the PB process: the "bonus". The idea of the "bonus" was borrowed from the PB of the city of Monza, where the districts (consultative bodies made of local associations) ranked all the projects according to their preferences, thus increasing the vote of each project accordingly. In the Milan PB the bonus consists of an increase of 10% on top of the votes received, assigned to the finalist projects by external evaluators. The rules for the bonus were: the districts gave bonus to those projects which comply with their political priorities; the Delegate of the Mayor gave her bonus to the projects that are proved to be responsive to the needs of the disabled people. The content of the projects that are worth to get the bonus was defined before the beginning of the PB process.

Information and open data received particular attention in this pilot: the open data platform of the Municipality was linked within the openDCN platform; the database of all the tariffs were analysed by some international students from the Bocconi University in order to make them understandable by the citizens and usable to draft their proposals.

Figure 117: The participatory process

6.6 Detailed description of all phases

This chapter gives a detailed account of all phases and steps of both the MC and the DC of the pilot.

6.6.1 Monitoring Cycle

The MC is the cycle that was fully implemented with the EMPATIA platform. It consisted of an ad hoc configuration of the platform where the winning projects are described, and the phases of its implementation can be monitored by citizens. In detail, the description of each project is the same description that appeared in the voting phase of the previous PB edition and it consists of a:

- title
- short description
- details
- required budget

Copyright © EMPATIA Consortium 2016 - 2017

Information presented there also made available the number of votes that each project has collected.

In addition to these data, there are also the list of the interventions, or "sub-projects", which compose the project. It should be noted that the projects that the citizens of Milan voted for at the end of the PB 2015-2016 were grouped into initiatives, that is, smaller "**sub-projects**" with a common subject or neighbourhood, put together under a unique name. These initiatives are the most important ones because they represent the real activities and works to be monitored, since each one of them is under the responsibility of a specific officer.

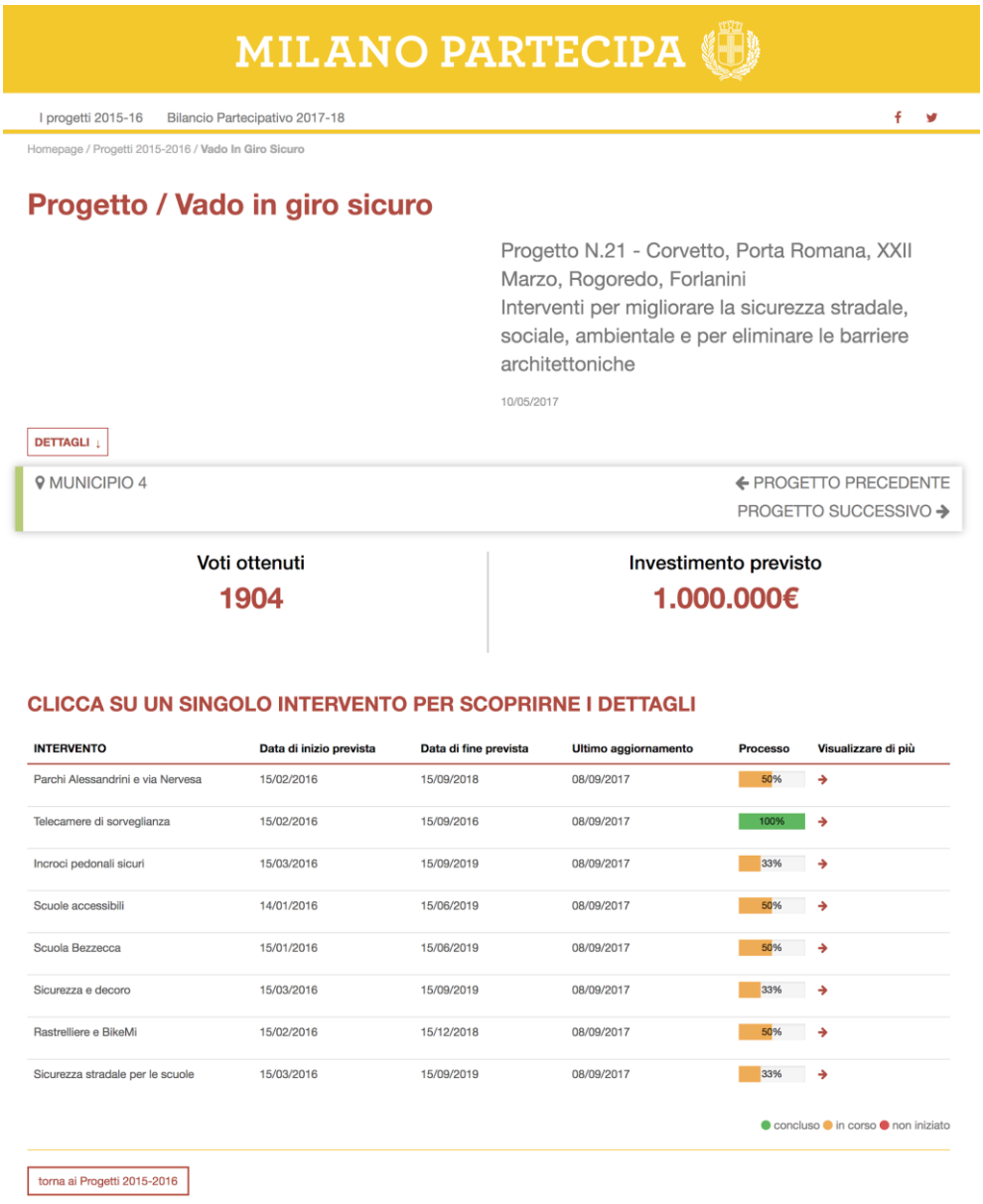


Figure 118: View of the Project Page

Each intervention has also its own page which consists of:

- title
- description

- georeferencing
- estimated cost
- news from the administration (the last one and the whole list)
- implementation planning, including the expected deadlines and the effective ends of each work phase (infographic)
- attachment (ex. expenditure documents)
- district area

The infographic was one of the key features of the tool, because it provided to the citizens the exact information of the state-of-the-art of the implementation and to what pace and extent the administration is fulfilling its plans.

Figure 119: View of the Sub-Project Page

All the contents are created in the back office by the municipal staff in order to keep the platform up to date. The technical description of this component can be found in the Deliverable 2.3.

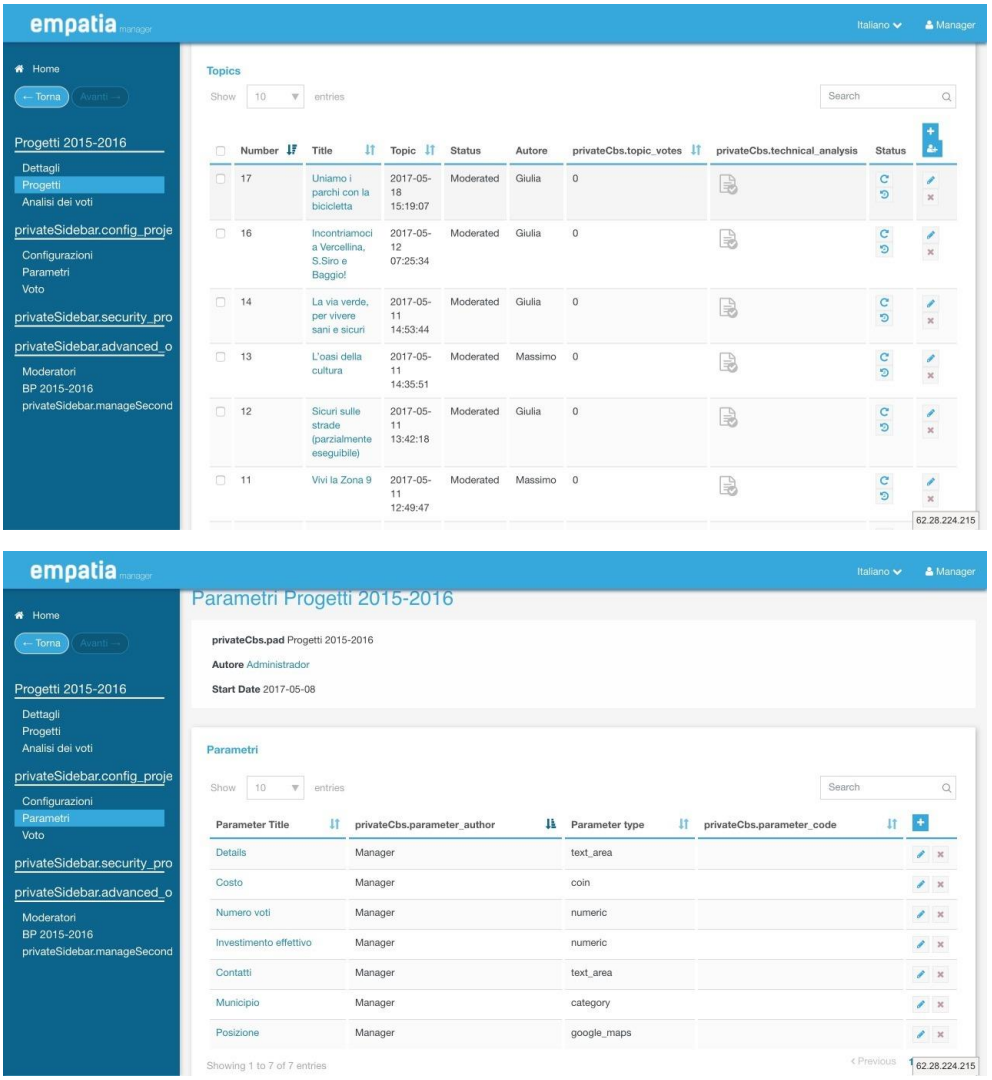


Figure 120: Views of the back office

The registration procedure was not activated in the platform, since the Municipality preferred not to use interactive tools like discussion forums, comments or likes; the citizens could only read this website and the data it contains and leave the email to receive further information. This made the website more an informative than a participation tool. Moreover, no side events were organized to support the platform, except from the launch of the pilot, at the end of May, where it was officially presented to the public.

6.6.2 Deliberation Cycle

The description of the DC of the pilot is more focused on the structure of the participatory process that is conducted online as well as offline. It includes descriptions of phases that are already have already taken place and phases that will start after the publication of this Deliverable.

Copyright © EMPATIA Consortium 2016 - 2017

Phase 1: Making and supporting proposals (Idea collection and first ranking)

For two months, from the 30th of Sept. to the 30th of November, the citizens could submit their proposal online and collect the necessary support to go to the next phase. Each citizen could give his/her endorsement by clicking the "like" button in the proposal page, a sort of first round of the PB elections. Each citizen could make only one proposal but was able to support as many proposals as they wished, independently from the district one belonged to. Supports were kept hidden until the end of the phase, in order to foster competition and reduce the disengagement.

In this first phase the proposal required not only a title and a short description, but it had to be described in very detail and could be enriched with pictures and attachments. These are the fields that had to be filled:

- Title
- Short description: the field that is visible in the preview and at the top of the page, with a limit of 600 characters, aiming at describing in few words the proposal; large description: it includes the context analysis, further details, and the benefits of the proposal for the community.
- An estimated cost of the proposal: a minimum and a maximum budget; to fill these fields, citizens could check the costs of their proposals according to the municipal guidelines available
- Thematic area: a drop down list with the most pertinent areas to be selected.
- Georeferencing: a map to pinpoint the location of the proposal.
- A symbolic image
- Attachments: images and documents can illustrate or complement the the proposals
- Attachments, including video
- Location referencing

In order to be published, the proposals were moderated by the administration that made a preliminary check about their feasibility: those with an estimated cost outside the admitted range of budget and those which are clearly beyond the Municipality remit like, for example, interventions against the law or in some areas which belong to private persons or other institutions.

The users could make comments on each proposal and start a discussion. All the proposals could be browsed from a unique page where citizens could also filter according to the thematic areas, sorting about the number of comments and the chronological terms, since the default visualization was random.

Copyright © EMPATIA Consortium 2016 - 2017

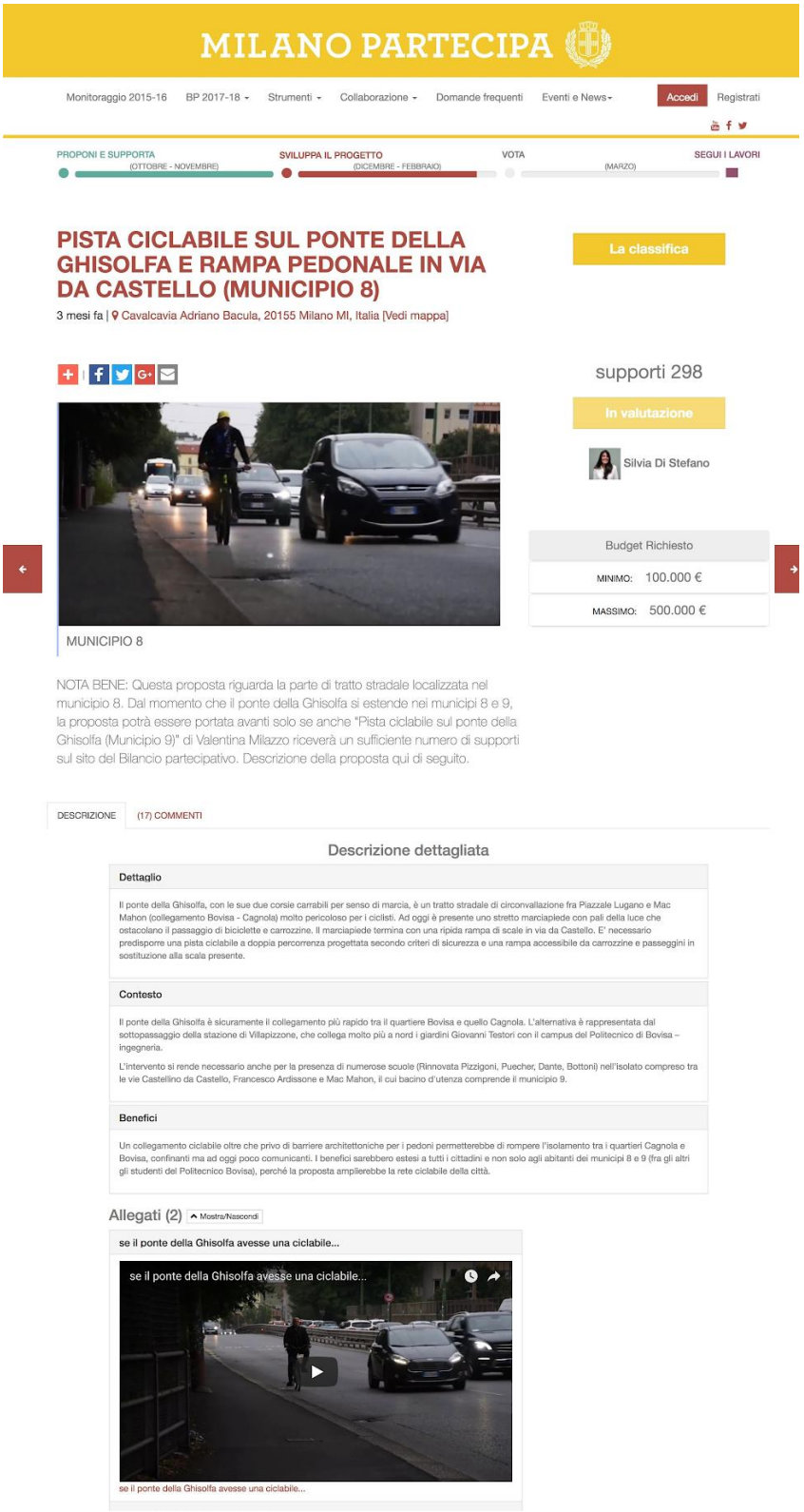


Figure 121: View of the Proposal Page

These participatory activities could only be performed online, either at home and in the assistance points distributed throughout the city (municipal libraries and other public spaces). In order to participate, the citizens had to register and to prove their residence or their "use" of the city (e.g. studying or working

Copyright © EMPATIA Consortium 2016 - 2017

in the city), by providing respectively the social security number or a formal document to be checked. While the first was checked immediately by a script, the second was always verified by the technical staff. In both cases, the users had to verify their account via SMS verification, that is typing the verification code that was sent to their mobile phone number. Proposals could also be published directly by the municipal personnel in the district libraries on behalf of those who were not able to use the platform.

The reason behind "supporting" the proposal is twofold: a) filtering and then reducing the number of proposals that go to the technical review; b) prompting the dissemination of the proposals among the citizens, thus the inclusion and mobilization of the less active persons.

This phase was originally conceived as completely online. However, due to the scarce participation in the first weeks, the EMPATIA team prepared an "emergency plan" made of several ideation meetings throughout the city. A large number of face-to-face meetings were also organized all over the city to inform citizens and to support the participants by answering to their questions and helping them to publish their proposals.

Due to the growing participation numbers, the Municipality agreed to postpone the end of the phase by ten days: people could publish their proposals until the end of November but they could still seek support for the proposals up to 10th of December.

Phase 2: Reviewing proposals and co-designing projects

The results of the first phase were shown in the platform the day before the end of the phase: all the proposals were ranked according to the number of the supports they received.

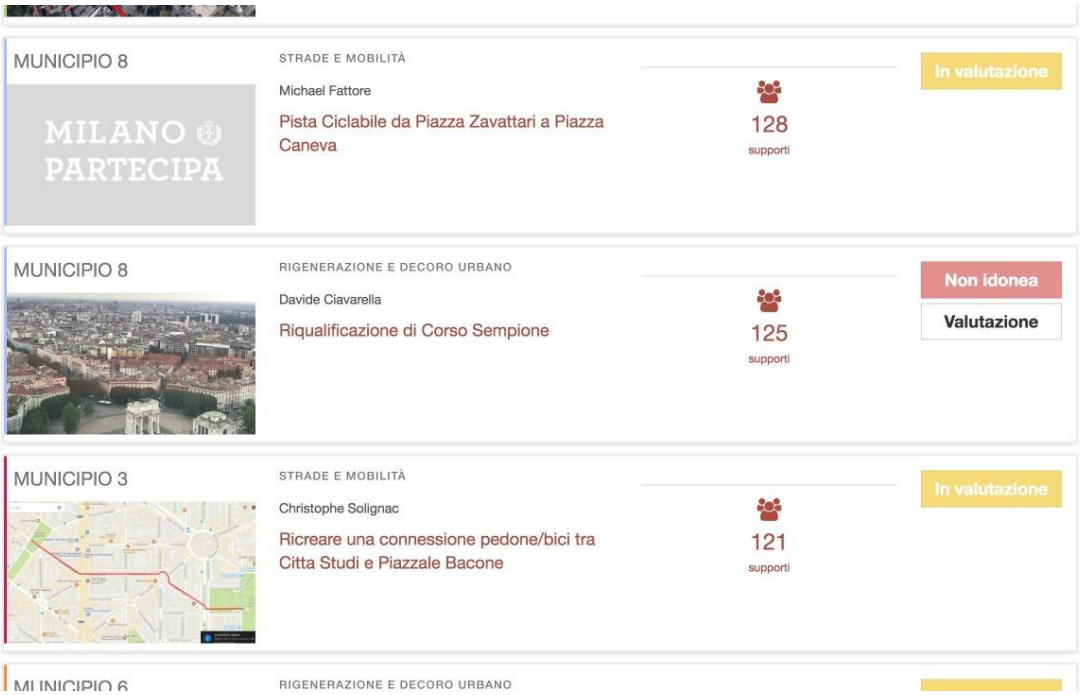


Figure 122: View of the Ranking Page

Copyright © EMPATIA Consortium 2016 - 2017

From the beginning of December until the end of February, the technical officers reviewed the top supported proposals for each district. Following the Participatory Pact, the administration took the first proposals for each district according to the total amount of their estimate cost, which sum together around one million of euro (and representing double of the budget available for each district). This rule was used to reduce the discretionality of the Municipality about the admission/rejection of the proposals. Since the proposals could cost no less than 100.000 euro and no more than 500.000 euro, the total number of proposals to be analysed, co-designed and brought to the vote could have ranged between 18 (of 500.000 euro each) to 90 (of 100.000 euro each). The number of proposals that were reviewed was 51.

During this phase the technical officers also interacted with the proponents (who became "delegates" of the community that supported the proposal) in order to increase the quality of the proposals and turn them into detailed and feasible projects with an accurate budget. All those proposal that could not be turned into a project (either because they were considered as unfeasible in the technical review and co-design processor the proponent abandoned the co-design process because s/he did not want to adapt the proposals with the necessary changes) were excluded from the process. The co-design stage gave the proponents the chance to interact with the technical officers and learn about the review analysis. The same could be said about the technical officers, who had the chance to know more about the needs of the population and to get information about the places in which the population live.

The online activity was reduced during this phase, as it is usually expected. However, citizens could still interact with each other through a discussion area in the platform; the "delegates" of the proposals under review were invited to open a thread in order to update their fellow citizens about the progress of the work.

Figure 123: View of the discussion area

Phase 3: Voting projects

All the proposals that turned into projects went to the voting phase. The platform has dedicated pages where the Municipality can upload all the final projects in one single page, like a virtual ballot paper. Citizens can only browse the projects randomly. Each citizen can vote up to 3 projects, irrespective from the location of the projects. The voting, like the proposals and the supports, is performed online, assuring a strong authentication procedure. The project with the "bonus" will raise their votes by 10%. The top voted projects for each district are funded and implemented according to the budget available.

6.7 Timetable

In this chapter we list all the meetings and all the main date of this pilot:

Task	Date
Contract	
Preliminary meeting with the municipality (Councillor and his staff)	October, 13 2016
Second meetings with the municipality (Councillor and his staff)	October, 28 2016
Letter of Intent signed by the Municipality of Milan	November, 11 2016
Preparation of contract, pilot description, ethical terms	from November to May 2017
Contract signed by municipality	December, 13 2016
Approval of pilot description by the Executive	May, 26 2017
Process design (concept)	
Meeting with the municipal staff (MC)	November, 22 2016
Meeting with the municipal staff (DC)	November, 30 2016
Meeting with the municipal staff (DC)	December, 6 2016
Meeting with the municipal staff (DC)	December, 9 2016
Meeting with the municipal staff (MC)	December, 22 2016
Organization meeting for the Workshop	January, 18 2017
Workshop with the municipal staff (DC)	January, 23 2017
Meeting with the municipal staff (DC)	January, 25 2017
Meeting with the municipal staff (MC)	February, 7 2017
Meeting with the districts (DC)	February, 10 2017
Meeting with the municipal staff - mock-ups (IC)	February, 14 2017
Meeting with the districts (DC)	February, 21 2017

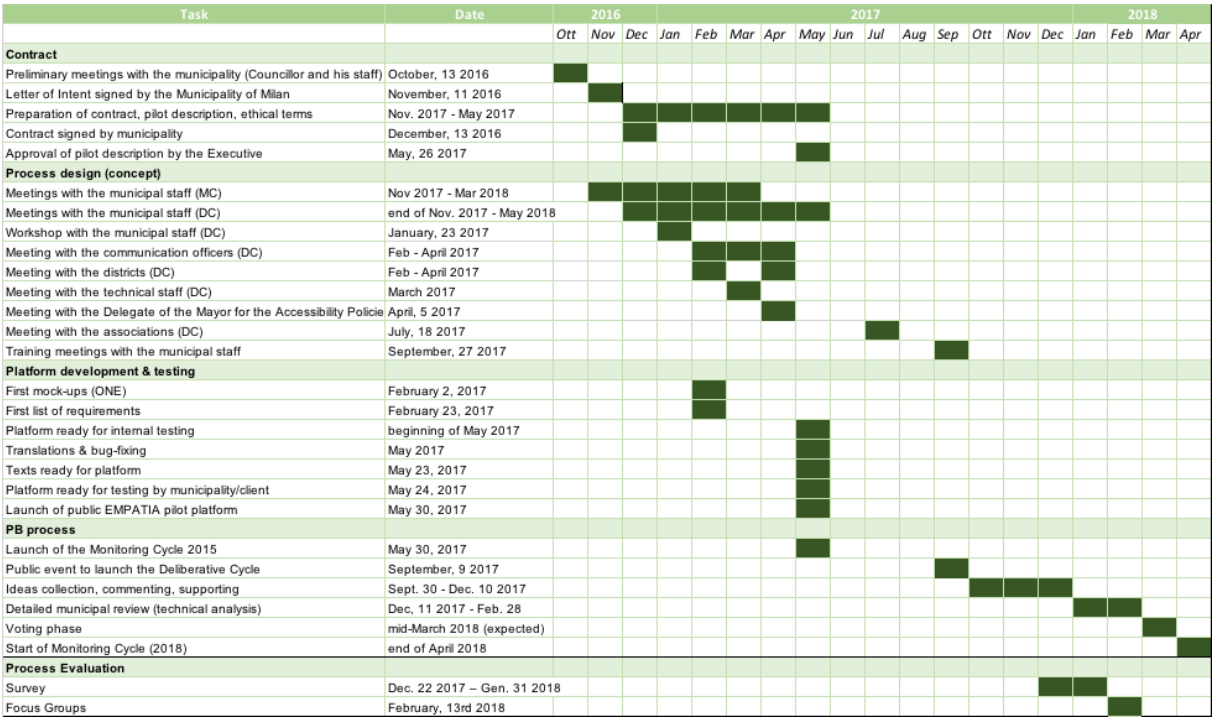
Copyright © EMPATIA Consortium 2016 - 2017

Meeting with the technical staff (DC)	March 3, 2017
Meeting with the communication officers (MC)	March 7, 2017
Meeting with the Delegate of the Mayor for the Accessibility Policies	April, 5 2017
Meeting with the communication officers (DC)	April, 20 2017
Meeting with the municipality (DC)	April, 21 2017
Meeting with the districts (DC)	April, 26 2017
Meeting with the municipal staff (DC)	May, 4 2017
Meeting with the associations (DC)	July, 18 2017
Training meeting with the municipal staff (DC)	September, 27 2017
Platform development & testing	
First mock-ups (ONE)	February 2, 2017
First list of requirements	February 23, 2017
Platform ready for internal testing	beginning of May 2017
Translations & bug-fixing	May 2017
Texts ready for platform	May 23, 2017
Platform ready for testing by municipality/client	May 24, 2017
Launch of public EMPATIA pilot platform	May 30, 2017
PB process	
Launch of the Monitoring Cycle 2015	May 30, 2017
Public event to launch the Deliberative Cycle	September, 9 2017
Ideas collection, commenting, supporting	Sept. 30 - Dec. 10 2017
Detailed municipal review (technical analysis)	Dec, 11 2017 - Feb. 28
Voting phase	mid-March 2018 (expected)
Start of Monitoring Cycle (2018)	end of April 2018
Process Evaluation	
Survey	Dec. 22 2017 – Gen. 31 2018
Focus Groups	February, 13rd 2018

Table 14: Timetable Milan pilot

Copyright © EMPATIA Consortium 2016 - 2017

The following Gantt chart visualises how intense some months were. It also shows the limited time for testing:



Task	Date	2016			2017												2018			
		Ott	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Ott	Nov	Dec	Jan	Feb	Mar	Apr
Contract																				
Preliminary meetings with the municipality (Councillor and his staff)	October, 13 2016																			
Letter of Intent signed by the Municipality of Milan	November, 11 2016																			
Preparation of contract, pilot description, ethical terms	Nov. 2017 - May 2017																			
Contract signed by municipality	December, 13 2016																			
Approval of pilot description by the Executive	May, 26 2017																			
Process design (concept)																				
Meetings with the municipal staff (MC)	Nov 2017 - Mar 2018																			
Meetings with the municipal staff (DC)	end of Nov. 2017 - May 2018																			
Workshop with the municipal staff (DC)	January, 23 2017																			
Meeting with the communication officers (DC)	Feb - April 2017																			
Meeting with the districts (DC)	Feb - April 2017																			
Meeting with the technical staff (DC)	March 2017																			
Meeting with the Delegate of the Mayor for the Accessibility Policie	April, 5 2017																			
Meeting with the associations (DC)	July, 18 2017																			
Training meetings with the municipal staff	September, 27 2017																			
Platform development & testing																				
First mock-ups (ONE)	February 2, 2017																			
First list of requirements	February 23, 2017																			
Platform ready for internal testing	beginning of May 2017																			
Translations & bug-fixing	May 2017																			
Texts ready for platform	May 23, 2017																			
Platform ready for testing by municipality/client	May 24, 2017																			
Launch of public EMPATIA pilot platform	May 30, 2017																			
PB process																				
Launch of the Monitoring Cycle 2015	May 30, 2017																			
Public event to launch the Deliberative Cycle	September, 9 2017																			
Ideas collection, commenting, supporting	Sept. 30 - Dec. 10 2017																			
Detailed municipal review (technical analysis)	Dec, 11 2017 - Feb. 28																			
Voting phase	mid-March 2018 (expected)																			
Start of Monitoring Cycle (2018)	end of April 2018																			
Process Evaluation																				
Survey	Dec. 22 2017 – Gen. 31 2018																			
Focus Groups	February, 13rd 2018																			

Table 15: Gantt chart for Milan

6.8 Deviations from original planning

In the Deliverable 3.1, the Milan pilot was only mentioned as a working process and there was no description of the PB process yet. This was not the case for the D1.4 where the use case scenario was clearly described having in mind the possible use of the EMPATIA platform for several and already active PB projects. The confirmation of the city of Milan only happened later on but there was already the intention to engage a big city in Italy as a fourth pilot. Consequentially, the first deviation - or more like an additional plan - was the development and testing of the platform for the MC in addition to the DC, while the second deviation was the use of the EMPATIA platform only for the MC and not for the DC, which used the openDCN platform, already developed within UNIMI.

The MC was a crucial part of the EMPATIA and one of the new Tasks of UNIMI in the EMPATIA project. Initially, there was the idea to involve the Municipality of Monza to test the product as part of the participatory design process. The arrival of the city of Milan changed the original plan, since the MC fitted perfectly with the objectives of the administration. Regarding the change of platform used by Milan's DC, this was due to a number of reasons. Delays caused by the planning and approval of the municipality, pushed the launch of the DC for September 2017. This mean that the DC pilot process would be completed after the end of EMPATIA's project. As a result, Milan's municipality felt uncomfortable and concerned that this could potentially leave them without further assistance. Consequentially, the Municipality opted to change to the openDCN platform, which they were already familiarized with, and was provided by local and long-standing partner: UNIMI.

Copyright © EMPATIA Consortium 2016 - 2017

6.9 Dissemination strategies

The head office of the Municipality of Milan for communication was responsible of the dissemination of the pilot as well as to set the guidelines for the corporate identity, while the Department for the Citizens Participation was responsible for organizing the face-to-face meetings and to manage the dedicated social media channels of the PB. EMPATIA supported this activity by designing the template for the platform, participating in the events and providing consultancy for the communication strategy. There were no funds allocated to the PB communication, and there was no strategy nor clear coordination between the three bodies. As previously described, this context led to the delay in the launch of the process and to a poor communication campaign which affected the participation of the citizens. A re-evaluation of this scenario drove a radical shift from October 2017 onwards.

The launch of the pilot was on May 30th, during a public event where the Mayor was present. The meeting was about the presentation of the EMPATIA platform for the MC and of the guidelines of the new DC. The MC was the first message that the administration needed to communicate to the citizens, before starting the new PB process. The campaign was quite low profile for a big city, using little investment: the pilot was promoted through the mailing list of previous PB, the newsletter of the Municipality, social networks (e.g. Facebook and Twitter) and the traditional means of communication, such as posters and flyers. The start of the new DC was also announced to beginning in September. From June to September the communication was basically interrupted with the exception of the social networks and the mailing list. During this period, there was only one large event organized in July to meet the associations and informal groups, and present and collect feedback from them on the new process and the platform.

On the second round the communication campaign started in September and it was focused on promoting the DC platform launch. However, and again, Municipality disposed of minimal investment and effort: few posters and flyers were produced, only a handful face-to-face meetings were scheduled (since the PB process and the communication campaign was deliberately planned to be online); and only using the means that the Municipality already had and could easily use. This situation did not support the PB process very much. In fact, after one month from the launch, the participation did not increase, and few persons were aware about the existence of the process. This impasse led the EMPATIA team to effectively “push” the administration to adopt a different strategy. This new strategy entailed a large number of face-to-face meetings throughout the city, some investment in communication tools (e.g. video, Ads) and consultancy support (a dedicated professional in community management). The districts were finally involved, intensively, to host and promote these events, supported by the Councillor’s and the EMPATIA team which were present in almost all the initiatives. The meetings were organized to inform, support people to register and to collect proposals. A special role was played by the decentralized offices and services such as the libraries, the so-called *Case delle Associazioni* (Houses of the Associations) and the civic center *Informagiovani* (Youth Infopoint) in supporting the pilot.

The interplay between communication tools, face-to-face meetings and the civic engagement triggered by the methodology of this PB process gave a boost to the participation that increased exponentially in the last month of the first phase.

Copyright © EMPATIA Consortium 2016 - 2017

Facebook and Twitter

Facebook[11] and Twitter[12] were one of the main channels of communication because of their good "value for money". The Facebook page of the Municipality (with around 133.000 followers) posted several messages to promote the pilot among citizens, while the Facebook page and the twitter account of the PB, opened during the first PB edition, were the communication channels that the administration used daily to interact with the public. These channels were resumed in November 2016 by the team of the Councillor, after 6 months of stand-by, to keep the citizens informed about the state of the art of the previous winning projects, since the citizens kept using this channel to complain about the delays in the implementation of the projects.

During the first phase of DC - between the 30th of September and the 15th of December - the Councillor staff was publishing 5-6 posts a week on the Facebook page. They provided news about the process, the use of the platform, promote and told about the face-to-face meetings, encouraged people to register in the platform, make proposals, give supports, and contribute with comments.

In November, one thousand euros was invested in Facebook Ads. The Facebook Ads campaign was managed by the EMPATIA team beyond its PMs, supported by an expert, hired by the Municipality. The Municipality made some video and infographics which were used as promotional material to use with the Ads. As a result of this activity:

- there were more than 150.000 visualizations
- more than 1000 people visited the website coming from the link embedded in FB posts

The Twitter account provided a day-by-day narrative of the process to the followers, with every kind of information: events, features of the process, news on the platform etc.

Figure 124: Views of the Facebook page and the Twitter account

Mailing Lists

The e-mails were another important channel between PB and citizens. The news about the PB were sent from different mailing lists: through the periodic newsletter sent by the Municipality to almost 230.000 registered people, the list of those who participated in the previous year (around 2000 contacts), and by

[11] https://www.facebook.com/bilancipartecipativomilano/
[12] https://twitter.com/bilanciopartMI

Copyright © EMPATIA Consortium 2016 - 2017

other internal offices and the decentralized bodies such as the Districts, the Libraries, the Houses of the Associations, and the Youth Center (around 1600 contacts) .

Before the start of the DC, only 172 citizens left their email in the MC platform to get the updates from the Municipality. These numbers increased during the first phase of the DC, when the registered users in the platform also increased. In fact, an intense e-mail campaign was planned and carried out by the EMPATIA team to encourage the citizens to register to the platform and to guide them throughout the process. This campaign was carefully designed to choose the content and the recipients type to reach different outputs. We invited:

- new people (from other sources) to register to the platform
- basic registered users to complete the advanced registration
- inactive advanced users to submit or support proposals
- active users to "adopt" one of the submitted proposal and publish it for their districts
- proposers to promote their proposals and the the PB by using also images and videos provided by PB staff.
- everyone to attend the several face-to-face ideation meetings organised in each district

The registered users represented the "community", the core group of active citizens to keep informed and active.

Videos and pictures

Following the dissemination strategy of EMPATIA (see Deliverable 5.3), video and pictures were considered as strategic communication tools to build an attractive "narrative". They were planned mostly for the start of the DC to explain the process and to motivate the participation. A professional photographer was present to the most important face-to-face meetings and her photos were used to describe the events in the social networks. Many videos with different contents and for different targets were also produced:

- the first was recorded during the meeting in July and published in November, picking up the event and interviewing the participants;
- the second one recorded the Mayor inviting citizens to make a proposal (Oct. 4th)
- 2 motion graphic videos explaining the process
- 58 "electoral" video clips, one for each proponent who participate to the final event of the first phase
- 2 promotional videos about proposals as a whole to encourage the vote during the last days available.
- Most of the videos were uploaded on the YouTube channel of the pilot, on a dedicated page in the website and they were promoted using Facebook Ads.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 125: The promotional video of the Mayor Beppe Sala

Copyright © EMPATIA Consortium 2016 - 2017

Figure 126: Some pictures and videos published on the different PB channels

The videos received a large number of visualization and generates social interaction:

Video	Date of publication	URL	visualizations/likes/ shares/comments
Beppe Sala	Oct 4th	https://www.facebook.com/comunemilano /videos/578435708947079/	17.253/289/197/56
Motion graphic 1	Oct 16th	https://www.facebook.com/bilancioparteci pativomilano/videos/918727764942649/	752/12/16/0
Motion graphic 2	Nov 1st	https://www.facebook.com/bilancioparteci pativomilano/videos/926108217537937/	2000/18/23/1
Motion graphic 2	Nov 8th	https://www.facebook.com/bilancioparteci pativomilano/videos/vl.133830100611381 /929982333817192/?type=1	7.593/0/14/0
Motion graphic 2	Nov 13th	https://www.facebook.com/comunemilano /videos/599042020219781/	5.100/103/28/14
Promo	Nov 15th	https://www.facebook.com/bilancioparteci pativomilano/videos/933481163467309/	22.000/102/45/6
Festival delle proposte	Nov 27th	https://www.facebook.com/comunemilano /videos/606768352780481/	8.100/70/16
Festival delle proposte	Nov 29th	https://www.facebook.com/bilancioparteci pativomilano/videos/940765266072232/	9.100/29/22/2
I volti del BP	Dec 4th	https://www.facebook.com/bilancioparteci pativomilano/videos/943253835823375/	6300/37/27/6
I volti del BP	Dec 5th	https://www.facebook.com/comunemilano /videos/611738488950134/	2.400/1/1

Table 16: Details of the video campaign

Copyright © EMPATIA Consortium 2016 - 2017

Posters and postcards

The traditional paper-based communication was used for communicating the pilot in the city. It consisted of a basic distribution approach: 700 posters were displayed around the city, 4000 flyers and 5000 postcards were printed and distributed in places linked to the Municipality: public libraries, houses of associations, subway stations and the districts. The coverage was not particularly large, since there was no dedicated service for that. In May, there were only basic information about the new DC and making reference of the website. In September, new material was printed, more focused on the active phase of the PB process.

Figure 127: The PB postcard printed in May and then September 2017

Public meetings

If the social network sites spread the news about the existence of the process, the face-to-face meetings were fundamental for the active citizens to understand the process, to express doubts and get answers, and then to potentially get the motivation to be involved.

The first public meeting coincided with the launch of the pilot, on May 30th 2017 at the Municipality "Urban Center", in the center of Milan. It was a formal and informative meeting, about the goals and the functioning of the new PB, starting from the MC site of previous the PB. The presence of the Mayor - the only one to date - together with the Councillor, the Delegate of the Mayor and some members of EMPATIA and UNIMI, was important to get the attention to present how to use the platform to find information about the implementation of PB projects.

Copyright © EMPATIA Consortium 2016 - 2017

Figure 128: The launch event of the pilot (May 30th; from the left: the presenter, the Mayor, the Councillor, the Delegate of the Mayor)

Figure 129: The final meeting in the City Council (Nov 25th) with all the proposers

The next public meeting was organized on July 2017. It involved more than 100 persons who belonged to many formal as well as informal groups in the city. As already described, it aimed at presenting the *Patto di Partecipazione* and the platform to be tested. The feedback collected was taken into account in the following developments. Before the start of the DC another meeting was organized by the Delegate of the Mayor and was addressed to the groups and citizens affected or working in the area of disability.

As previously mentioned, the new PB edition would have been almost completely online. Face-to-face meetings to collect the ideas were not included in the planning due to money restrictions and because of the conviction that the platform and others communication activities would have been enough to reach a high number of participants. Only some informative events were organized by the Councillor and the

Copyright © EMPATIA Consortium 2016 - 2017

Districts. However, the lack of information and - maybe - the lack of trust on this new process did not engage people immediately. One month after the beginning of the first phase, the number of proposals and of registered users were not as high as expected. The EMPATIA warned the Municipality about the risks that they were facing and appealed to the Municipality to invest some resources to organize several events, in coordination with the Districts. Starting from the middle of October to the end of November, 26 face-to-face public meetings were then organized in different neighbourhoods of the 9 districts of the city, as well as in many association and municipal sites (Senior Centres, Co-op that deal with disabled people, Public housing, schools, etc.). EMPATIA team members were present in almost all the events to explain the process, to deal with technical difficulties in using the platform, and especially to encourage the interaction with citizens to "produce" new proposals.

The number of participants for each meeting was not high but was often composed by "community leaders" such as presidents of local associations and active citizens which then acted to mobilize their fellow citizens. Thanks to these events we could provide broad support and we realized that the communication campaign in general was not wide enough for the PB. Especially in the case of senior people, the public events were fundamental to involve the citizenry as a whole. The table below report all the meetings with place and number of participants.

Date	Location	N° of participants (approx.)
18/07/2017	BASE open space	100
09/09/2017	Disabled advocacy groups	30
16/10/2017	District 3	15
17/10/2017	District 3	10
18/10/2017	District 3	10
19/10/2017	District 3	10
20/10/2017	District 3	10
21/10/2017	District 3	10
25/10/2017	District 7	15
27/10/2017	UNIMI	30
28/10/2017	District 3	20
30/10/2017	District 1	15
2/11/2017	"Cremona" High School	70
2/11/2017	District 4	20
3/11/2017	District 8	20
07/11/2017	District 5	30
08/11/2017	District 4	15
10/11/2017	District 2	10
11/11/2017	District 9	15
13/11/2017	Public housing District 4	15
14/11/2017	District 1	10
14/11/2017	District 6	20
16/11/2017	UNIMI	40
20/11/2017	District 9	15
21/11/2017	"Collage" Co-op for disabled people	15
21/11/2017	Municipality	30

Copyright © EMPATIA Consortium 2016 - 2017

22/11/2017	District 7	20
22/11/2017	ACLI (Christian workers association)	15
23/11/2017	"CSA Diapason" Co-op for disabled people	10
25/11/2017	Municipality (City Council)	120
28/11/2017	District 5	10
01/12/2017	Senior Centre - District 2	20
02/12/2017	District 3	20

Table 17: The face-to-face meetings

Press and media relations

Before the PB process got to the heart of the matter and the number of proposals increased, the press and TV media coverage was almost absent. Then, a couple of mentioning and pieces were published about it. Only few articles appeared in the local section of the most important national newspapers (La Repubblica and Corriere della Sera). However, many others were published in local as well as neighborhood newspapers, blogs and e-journals[13]. The attention by broadcasting media during the first phase was also quite low: the Councillor was invited two times to the regional "Radio Popolare" to talk about PB, while a neighborhood webradio talked about proposals for District 2. No TV coverage was detected.

IL BILANCIO PARTECIPATO

Strade, ciclabili e semafori sicuri
ecco i lavori proposti dai cittadini

SERVIZIO A PAGINA VI

Lavori stradali, ciclabili e semafori più sicuri per i cantieri nati dal basso

Partite nei Municipi le candidature al bilancio partecipato
Nella lista la riqualificazione di corso Sempione e viale Certosa

ORIANA LISO

LA LUNA — Intesa come il grande progetto bello quanto irrealizzabile — non la chiede nessuno. Sarà che i milanesi sono gente pratica e, se devono proporre un progetto, pensano a qualcosa che non possa essere scartata a priori: sta di fatto che nei primi venti giorni di raccolta delle proposte per il bilancio partecipativo dei Comuni, le richieste maggiori riguardano interventi sulla viabilità e sul verde. Piste ciclabili, aree giochi, attraversamenti pedonali davanti alle scuole, riqualificazione di vie congestionate dal traffico. Con qualche idea più strutturata, e già in linea — forse — con i progetti dell'amministrazione: ci-

e ipotesi di spesa, altre ridotte all'osso, perché chiedono, appunto, cose tanto semplici quanto necessarie. È il caso degli attraversamenti pedonali in corso XXII Marzo: «Tutti i giorni decine di bambini rischiano la loro incolumità nell'attraversamento della strada, all'altezza della scuola e della chiesa del Preziosissimo Sangue perché non esiste un attraversamento pedonale nelle vicinanze». Problemi simili in piazzale Siena (Zona 7), che «ha una viabilità pericolosa e caotica». La proposta? Ridurre la carreggiata senza penalizzare il traffico, ampliando le aree pedonali di perimetro. Si chiedono alberi in via Col Moschin e in via Montegani (Zona 5), un'area cani in via Cozzi Zona 9), piste ciclabili di collegamen-

Figure 130: an article about the PB on the newspaper 'La Repubblica'

6.10 Role of EMPATIA

The University of Milan was responsible for the Milan pilot, in coordination with CES and ZLOG. UNIMI supported the Municipality by providing methodological as well as technical support. UNIMI designed and developed the Monitoring Cycle within the EMPATIA platform, it also designed the DC using and adapting the software already developed within the Dept. of Informatics. Lastly, UNIMI

[13] http://www.ilgiorno.it/milano/politica/bilancio-partecipativo-1.3433064
http://www.milanotoday.it/economia/bilancio-partecipativo-2018.html
https://lenostrebuonenotizie.net/2017/11/30/progettare-la-citta-dal-basso/
http://www.z3xmi.it/pagina.phtml?_id_articolo=11470-Bilancio-partecipativo.-Le-proposte-dei-cittadini.html
https://www.comune.milano.it/wps/portal/ist/it/news/primopiano/Tutte_notizie/partecipazione_cittadinanza_opendata/bilancio_partecipativo_prima_fase
http://icitylab2017.eventifpa.it/2017/09/28/bilancio-partecipativo-del-comune-milano-al-via-la-raccolta-proposte-edizione-completamente-rinnovata/

Copyright © EMPATIA Consortium 2016 - 2017

accompanied the MC of the DC until the end of the first phase (December, 10th 2017) and during part of the second phase, by providing technical support, organizational support, and training activities (methodological and technical) with the parties involved in the implementation of the pilot (municipality, districts, NGOs, general public). Some EMPATIA team members were physically present to all the co-design meetings, the coordination meetings and the face-to-face events with the citizens. They supported the Municipality by providing social and community management (content management and moderation, etc.), direct support and helpdesk to the municipality staff, and to the citizens. The effort is defined as the following:

Services by UNIMI	PM dedicated (originally estimated)
Coordination & project management	2
Participatory process design	1
Focus group workshop	0,1
Online facilitation, online editing and translations	0,5
Facilitation of on-site formats	0,5
(Statistical) evaluation	0,2
Training	0,2
Consulting	1,5
TOTAL	6

Table 18: Services by UNIMI (PM = Person Month)

Although it was responsibility of the Municipality to organize all the face-to-face events and to manage all the communication activities (creating and distributing materials, paying Ads, sending newsletter, etc.), the EMPATIA team also supported the city on these activities. From 2018 onwards, when the WP3 ended, the Municipality took charge of all activities of the pilot. Yet, EMPATIA team has been overviewing the process and providing feedback to them.

6.11 Technology used

The EMPATIA platform has been used to support the Monitoring Cycle, available at the URL monitoraggio.bilanciopartecipativomilano.it. The platform was used to keep the winning projects of the 2015 PB process always visible and available to the public, while updating information about their implementation. Before starting the DC, the EMPATIA platform also hosted all the informational pages regarding the pilot: the infographics and the news on the participatory process, as well as the events organized by the Municipality.

The site was updated by the Councillor staff and the EMPATIA team directly from the back office. Since there was no registration, most of the features in the back office - such as email, management of users, as well as moderation tools - were not active. By configuring the permissions, the staff was allowed to work with the *CMS system for configuration and content editing* and the *PAD management*.

Copyright © EMPATIA Consortium 2016 - 2017

It could have entered new projects as well as sub-projects, thanks to the "nested" architecture of the EMPATIA components, and input updates and information to citizens in specific areas dedicated to news and relevant documents (ex. expenditure documents). It is important to emphasize, and as previously described, that the winning projects of the PB 2015-2016 did not correspond to unique public work or activities. Rather, they are the aggregation of different "sub-projects" which share a similar subject (schools, sidewalks, etc.) in the same neighbourhood. The subprojects are the real activities that the Municipality had to implement and to supervise.

Each page of the site was dedicated to a specific project which had, in turn, several monitoring tools to describe its progress, such as GANTT charts and tables with the predicted dates of each work phase. The configuration chosen by the Municipality exploited only a small part of the EMPATIA platform. In fact, the Municipality preferred not to use interactive tools like discussion forums. Citizens could only read this website and the data it contained. Among the features envisaged and developed but never activated there were:

- the button to follow the projects
- the notification system (in order to be updated about the projects),
- the posts published by the proposer in the proposal page.

Because of these restrictions, there were no need to activate the registration procedure. Therefore, citizens can only read this website and the data it contains and leave his/her email to receive information through, for instance, mailing list or newsletters.

6.12 Pilot results in numbers

This chapter provides all the results of the pilot in terms of numbers.

There is an evident imbalance between the pilot results for the MC and for the DC. Regarding the MC site, between May 30 and December 20:

- the website was **visited 3812 times** by total of 2567 unique visitors
- the average time spent on the site was **3 minutes and 39 seconds**
- **176 people** subscribed to the newsletter

The graph shows the number of visits with the greatest increase registered on July 18th, when the Municipality met local associations and informal groups. The graph of the registration to the newsletter shows this trend.

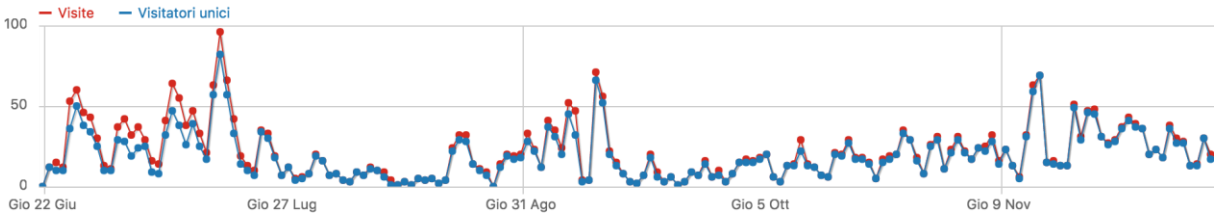


Figure 131: Analytics of the Monitoring Cycle platform

The analytics of the DC confirms the impact of the DC on the number of visits which increased gradually and remarkably when the PB process started to be shared and geared up.

Copyright © EMPATIA Consortium 2016 - 2017

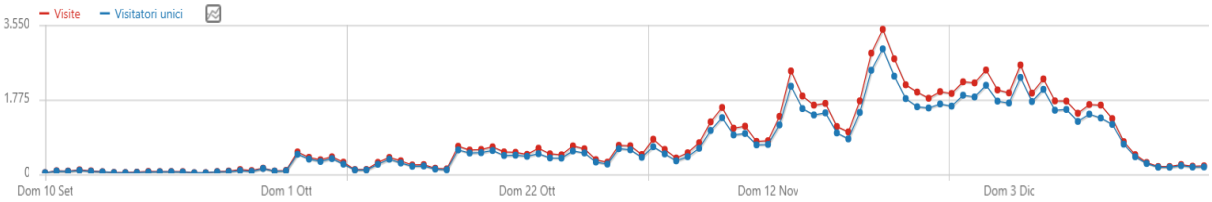


Figure 132: Analytics of the Deliberation Cycle platform

Between September 10th and December 20th:

- the website was **visited 84111 times** by a total of **71562 unique visitors**
- the average time spent on the site was **4 minutes and 57 seconds**

In terms of participation, during the first phase:

- **10992 people** did the "basic" registration, while 8043 did the "advanced" registration
- **242 proposals** were submitted, 51 went to the technical review.
- the proposals received a total number of **17758 supports** from **7532 supporters** (an average of **2,36 supported proposals per person**)
- the proposals received a total number of **1070 comments** from **797 people** (an average of **1,34 comments per person**)

The participation results of the first phase were important in terms of numbers but the socio-demographic characteristics of the participants were less positive than the desired data. In fact, differently from many other cases of online and hybrid PB in Italy, the number of women participating is surprisingly low. The age of the participants is instead average, although still skewed in favour of the adults. The education level of the participant was heavily weighted in favour of the higher education. Finally, the distribution of the participant according to their residence is balanced among the 9 districts, with a relevant number of city users. Unfortunately, due to the structure of the districts which stretch from the center to the periphery, it is hard to measure the participation of people living in the suburbs. To conclude, although the participation was relatively high, the objective of social inclusion was not achieved.

Copyright © EMPATIA Consortium 2016 - 2017

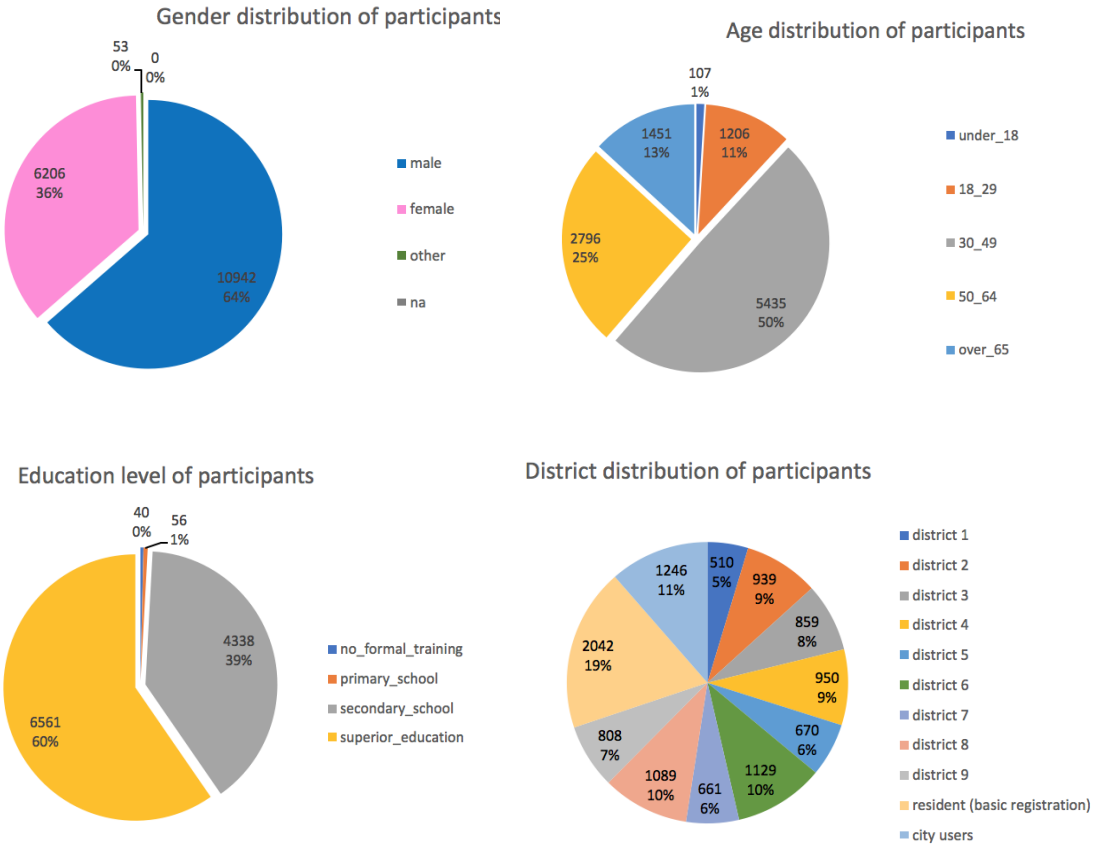


Figure 133: Socio demographic characteristics of the participants (Milan)

6.13 Future use of EMPATIA platform

Like the city of Lisbon and Říčany, the Municipality of Milan used two software platforms to perform its participatory process: the EMPATIA one for the MC and openDCN - the platform already developed within UNIMI - for the DC. The end of the EMPATIA project before the completion of the DC process also influenced the Municipality preference to use the openDCN platform, because it could have benefit of the technical support by a local organization and by the UNIMI until the end of the process. The Municipality decided also to implement a new MC on this platform.

6.14 Pilot platform evaluation

The fourth EMPATIA pilot in Milan was a great challenge. It was fundamental to test the platform for the Monitoring Cycle, thus broadening the range of the use cases. Yet, the number and the quality of the tested features were not particularly interesting to get relevant feedbacks on the platform and its potential. More than the platform in itself, the design choices of the Municipality and some critical contextual aspects impacted more on the performance and on the participatory outcomes of the pilot. Despite these issues, there are several aspects that can be highlighted, starting from the collaborative platform development process towards the delivery of the platform itself. What follows is a brief

Copyright © EMPATIA Consortium 2016 - 2017

conclusion, taking into consideration that the DC is ongoing, and results are not final for the inclusion in the present Deliverable.

6.14.1 Reflection on collaborative platform development process

In the following chapter we will report the positive and negative aspects of the process of development of the platform, before and during the pilot, and how one affected one another.

Working with a participatory platform in a political setting

The first and most important aspect that affected negatively the platform development process was the political dimension of the pilot which reduced the range of features to be tested. Milan represents a big stage. Every initiative starting from this city, quickly gains attention at the national level. Moreover, the Italian administrations are not used, or willing to, open up their internal functioning for external criticism. Therefore, there was a certain degree of caution and prudence on the part of the administration at the beginning, when the MC platform had to be designed and configured. Although all the features for a participative platform were already designed, developed, and ready to be used, the administration was afraid of the widespread disaffection against the previous PB and preferred not to run the risk of receiving criticism or negative online interactions. As a result, it turned the MC into a 1.0 website, a one-way interaction, where the administration publish the state of the art of each project, without any chance for the user to rise his/her point of view, nor question the information provided.

Time constraints

The second obstacle was partly connected to the first and regards the short time available to develop and to test the platform. This was a great issue for the other pilots, and in the Milan context it took even bigger proportions. The negotiations only started in the end of 2016 and they followed a highly bureaucratic path: the Municipal government not only had to approve the pilot but it also had to approve the rules of the games (Participation Pact) which became the guidelines for the office designated to implement it. This, of course, slowed the co-design development, since it increased its complexity. The Pact was approved on May 26th, few days before the launch of the pilot. These delays postponed the list of the necessary requirements from February to May, rendering the use of the EMPATIA platform for the DC almost impossible.

Work overload

Another crucial drawback was the work overload of the technical coordinator, ONE, in the period when Milan postponed the launch of its pilot. This problem is linked to the other ones in the list. Since the beginning the pilot was subjected to the political timeline of the Municipality, and the EMPATIA team had no formal power to push the Municipality to start complying to the internal agreement. As a result, ONE was dealing with two different pilots at the same time, which was not originally planned.

EMPATIA project ending before DC pilot completion

Lastly, all the issues and delays described above led to the postponement of Milan's DC launch. This meant the completion of the DC process would occur after the end of EMPATIA project, predicted for March 2018. Despite being reassured of continuous support, this raised concerned within Municipality, and resulted in the preference for using OpenDCN platform.

Copyright © EMPATIA Consortium 2016 - 2017

6.14.2 Platform feedback from the perspective of project managers

Working with the same application, most of the problems reported are the same of the of the other pilots, such as the low speed of the platform. In the case of the Milan MC platform, the problems were less remarkable, because of the small number of participatory features used. Moreover, due to the time constraints and to the limited availability of the municipal staff, even the back office was not much used by them, while mostly being managed by the EMPATIA team. This is why, in July 2017, one month after the platform went online and became fully operational, UNIMI conducted a usability test regarding both its front office and back office. Summarising the results of the research, the main points about this test was:

- The front office interface was overall clear and intuitive, both in the graphics and in the operating system. It was easy to find the information about projects and sub-projects and the dedicated supervision tools immediately give a good overview of the works progress. The main observation was only about the graphics of the information and the news pages which were a bit confused and misleading.
- The back office interface was very clean and schematic, but the tree (nested) structure of the PAD was considered too complex for users (i.e "Managers") that have a low-medium level of IT skills. The data entry module (that is the most important section of this site) should have been easier to use.
- Front office and back office are strongly separated, and this makes it harder to do the standard activity of information, data, and content management, so the Manager does not have a clear and immediate idea of what the result of his action is.
- The site, after more than a month since its release, is still slow in output and updating.

What follows is the report of the findings in detail.

Front office feedback

Regarding the front office, the testers expressed their satisfaction about the general site structure; about the way in which the data of the projects and subprojects is shown; and about the site's overall graphics.

Despite the high number of projects and subprojects, the schematic and simple layout of the project index was appreciated because it allowed users to immediately understand the content organization. The Google map located below the index, with the three different filtered search bars, was considered useful. It should be noted, however, that none of the testers used the map to search a subproject page. The only comment about this page was that it would be easier to distinguish the sub-projects' titles using different colours and bullet points.

The testers appreciated also the Project and the Subproject Pages because it provided with important information (e.g. project description, expenditures, and number of votes received) while using limited space, thanks to a good combination of text and graphic elements. The main comments received were about the subproject index which is placed too far at the bottom of the project page, and it is not immediately evident that the subproject titles are links to other pages. Moreover, since subprojects are the real elements to monitor, they should be emphasized more. However, once users entered the subproject pages, it is simple and clear to browse through them.

The news (from PB 2017-2018) area does not stand out enough. Even though it is included in the main menu bar, the name "Resta informato" (Keep informed) seems to be unclear. Once they had entered the page, the testers reported that the layout should be more precise, with a better distinction between news from the PB 2015-2016 and that of the PB 2017-2018.

Copyright © EMPATIA Consortium 2016 - 2017

Back office feedback

The test of the back office consisted into few activities: to create and edit text and data content that is shown in the front office. The general perception about the usability of the back office is less positive than what was reported for the front office.

With regards the updates of Projects & Sub-Projects information, the PAD tree structure is on one hand very precise and schematic, but on the other hand it was perhaps too complex for easy use. For example, in order to arrive to the data entry page from the home page, one needs to navigate through two other pages where it is quite difficult for those who are not so familiar with the site to find the right item to click. Our testers demonstrated some difficulties in doing this. Once one has entered the data entry page, the contents organization again follows a complex tree structure that makes it rather difficult to search a previously inserted item or to find the right place for a new one. The only buttons that help the user are “expand all” and “collapse all,” but when the number of items is high, these options are not very useful.

To edit or create an item, it opens a new page with a form. It is clear how to fill out this form, but the testers highlighted that it would be useful to view the form, the projects, and subprojects items list all at the same time. This would allow users to be able to reference the item’s place in the list and to make a comparison with other items.

Finally, once the created or edited item is saved, the system shows the items index collapsed, so users have to reopen the tree structure to check if their action was successful.

The tool to insert **news** and **pages** in the menu is easier to use, especially because the news and pages are not organized following the tree structure. The testers did not have any problems using the related pages. They understood easily the function of each part and they could finish the task quickly. They pointed out that the structure of these pages is well constructed. It has well-separated boxes and fields for each different element of the related new page like titles, subtitles, texts, dates and attachments. This way, the user does not risk making mistakes.

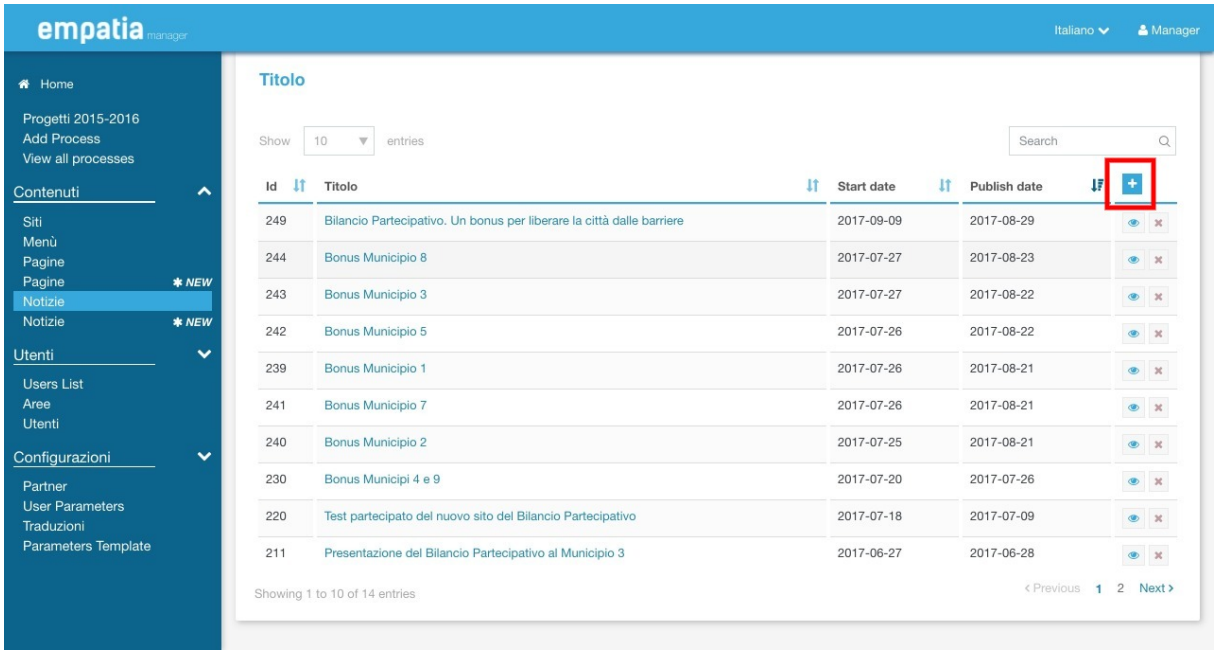
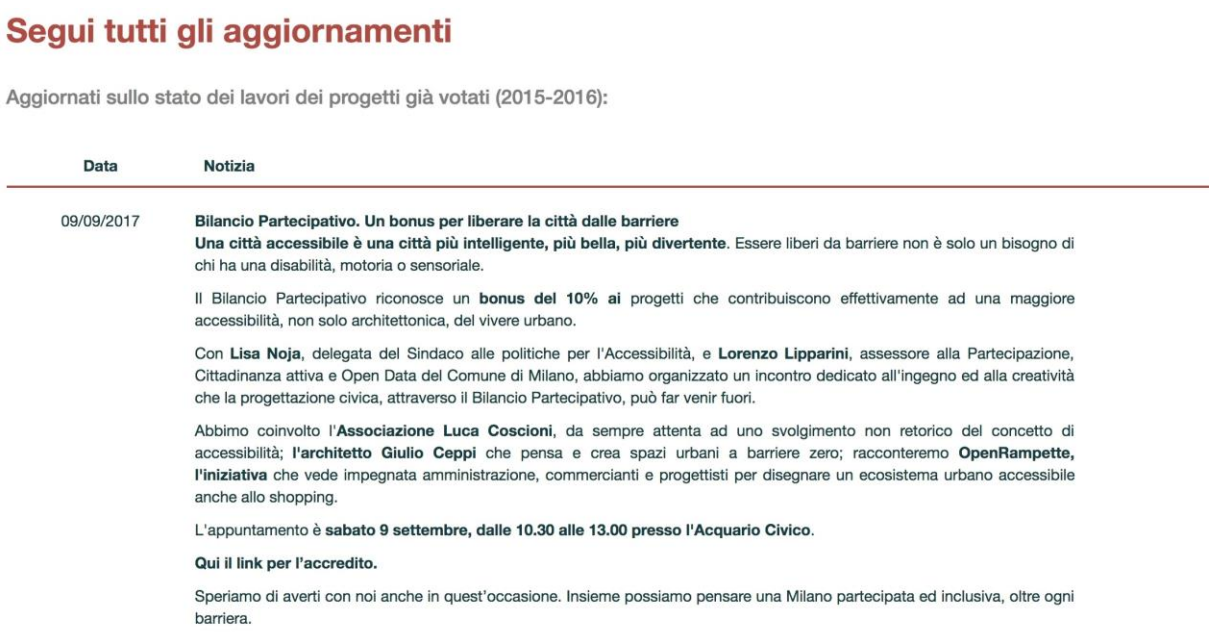


Figure 134: View of the back office for the management of the News

Copyright © EMPATIA Consortium 2016 - 2017



Segui tutti gli aggiornamenti

Aggiornati sullo stato dei lavori dei progetti già votati (2015-2016):

Data	Notizia
09/09/2017	**Bilancio Partecipativo. Un bonus per liberare la città dalle barriere** **Una città accessibile è una città più intelligente, più bella, più divertente**. Essere liberi da barriere non è solo un bisogno di chi ha una disabilità, motoria o sensoriale. Il Bilancio Partecipativo riconosce un **bonus del 10% ai** progetti che contribuiscono effettivamente ad una maggiore accessibilità, non solo architettonica, del vivere urbano. Con **Lisa Noja**, delegata del Sindaco alle politiche per l'Accessibilità, e **Lorenzo Lipparini**, assessore alla Partecipazione, Cittadinanza attiva e Open Data del Comune di Milano, abbiamo organizzato un incontro dedicato all'ingegno ed alla creatività che la progettazione civica, attraverso il Bilancio Partecipativo, può far venir fuori. Abbimo coinvolto l'**Associazione Luca Coscioni**, da sempre attenta ad uno svolgimento non retorico del concetto di accessibilità; **l'architetto Giulio Ceppi** che pensa e crea spazi urbani a barriere zero; racconteremo **OpenRampette, l'iniziativa** che vede impegnata amministrazione, commercianti e progettisti per disegnare un ecosistema urbano accessibile anche allo shopping. L'appuntamento è **sabato 9 settembre, dalle 10.30 alle 13.00 presso l'Acquario Civico**. **Qui il link per l'accredito.** Speriamo di averti con noi anche in quest'occasione. Insieme possiamo pensare una Milano partecipata ed inclusiva, oltre ogni barriera.

Figure 135: View of the News page

6.15 Pilot process evaluation

More than the platform, the process itself - and the role of the platform in an overall institutional design - provided relevant feedback for the benefit of the EMPATIA project. There are some crucial elements that decreed the pilot success, and others more negative. The positive were twofold: a) the methodology that has been used to involve the citizens overcoming the lack of investment in communication; b) the sense of "transparency" that the platform contributed to generate in the process. The negative was the lack of inclusion among citizens. In this chapter, we report the key and innovative aspects of both the MC and the DC as well as the problems to be addressed. Details on the evaluation of the pilot can be found in the Deliverable 4.2.

6.15.1 Key positive, innovative aspects

The Milan pilot brought in the Italian as well as the European landscape some innovations in the field of e-participation and the open government. To sum up, the methodological and technical support provided by EMPATIA was innovative for its capacity to combine the first with the second cycle in a difficult environment. Surely, without the EMPATIA methodological advisory and the financial support, the Municipality would have had lots of problems to perform a PB, or probably would have not done it.

Bringing the Monitoring Cycle in Participatory Budgeting initiatives

The Milan pilot was a great opportunity for the EMPATIA project not only to interact with a metropolis and to deal with a large scale participatory process. It was also a good chance to put into practice one of the innovative elements that EMPATIA was able to introduce in the narrative of the participatory processes and of Participatory Budgeting initiatives: the MC. The Milan pilot allowed EMPATIA to test

Copyright © EMPATIA Consortium 2016 - 2017

how important the MC can be for the PB processes. The monitoring of the voted project is usually the last priority for the Municipalities that want to implement a PB. Most of the cities do not even taken this step into account. The city of Milan bet on it, explicitly asking to implement the M2nd cycle before the start of the 1st cycle and as a precondition to it. Milan Municipality believed that the success of the DC depended to the activation of the IC, considering the lack of trust among the citizens.

Actually, the first data coming from the surveys showed that few people who participated in the first PB edition decided to participate again. Therefore, it seems that the MC was not able to compensate the delays in the execution of the projects. Yet, it seems to have reduced the conflicts that were channelled in the social networks. The MC was a kind of more symbolic than effective way to represent the effort of the Municipality to look and be transparent for the citizens. Setting aside the limits of the MC as a participatory process, just its presence boosted the DC which instead was extremely open and participative. We can also say that the weakness of the participatory tools was not an issue for the citizens (nor complaints were received), since they are not even used to have such a level of transparency and interaction anyway.

Transparency

Transparency was the other key-word of this pilot, also related to the MC. The Municipality inherited a very complex situation, with almost all the winning projects of the first PB still on paper. Moreover, their budget allocated for the second edition was half of the first year, thus very little money for the Milan large districts (500.000 euro for about 100.000 people each). Replicating the same PB process, as well as stopping the PB, would have been counterproductive. Therefore, the Councillor met the challenge to be transparent and to clearly explain all the problems, committing himself not repeating them again in the next year. The MC was the natural culmination of this decision. Of course, it was just an attempt, the first step of a long-term strategy, knowing that transparency had to strive with the difficulties of opening up the whole administration and making it able to interact with citizens. In fact, after the launch of the pilot, few updates were published, due to the lack of news and because there was no clear workflow coherent and in line with the monitoring procedure and the tool. All the updates were uploaded by the Councilor's staff.

The transparent approach was also kept in the DC, either embraced in the methodology, or in some deliberate choices of the municipality: first, the participatory process allowed the emergence of clear and well-defined proposals with specific persons acknowledged as responsible of them (in the first edition the projects were selected and assembled in part by the facilitators and the technical officers); second, the municipality decided to set the rules of the game and publish the Participation Pact very clearly and in advance, in order to make the process more reliable (in the first PB edition, there were no rules, just a vague explanation of the process).

Mobilizing all the internal administrative resources available

The Milan pilot turned out to be a good example of active and vibrant engagement of the administration in the participatory process: many actors from the municipality, political as well as technical, were involved. It is important to emphasize that the pilot was managed by the Municipality with little provision of a budget for the organization itself. The only resources available were the Councillor's staff and the EMPATIA team. There was no appropriate budget for communication and to organize facilitated face-to-face meetings. All the other persons and offices were involved day-by-day or as a result of the gradual penetration of the process within the administration daily life.

Copyright © EMPATIA Consortium 2016 - 2017

The most involved ones were the districts, which were involved in supporting the participation in their territories, organizing face-to-face meetings and enabling their offices to support the citizens. Then, the municipal libraries and the youth offices responded to the Councillor's invitation to provide technical support to the citizens, send communications to their mailing lists and then learn how to use the platform. The high motivation was evident when the EMPATIA team suggested the "emergency plan" in November, envisaging an intense period of meetings, which implied an intense organizational effort.

Bonus: that is, how to engage the Municipality without distorting the PB process

The other innovation of the Milan pilot was the bonus, that is the extra-votes that the districts, as well as the Delegate of the Mayor for Disability Policies, appoints to all those projects that comply with their political priorities. This idea emerged to respond to the goal of the Municipality to involve the districts in the PB process. The solution was presented to the districts at the beginning of the requirement gathering phase and was positively received. All the districts met and deliberate their priorities and will select the projects before the vote starts. We can assume that this active - but not intrusive - role in the decision making inspired the districts to play a relevant role of motivator during the whole PB process.

Bottom up involvement

The Milan pilot adopted a well tested methodology which favours and relies on the self-engagement of the citizens which activate their network to support their proposals, first, and to vote their projects afterwards. This methodology has been adopted in small and medium cities in Italy and only recently in large cities like Madrid. The scope of this methodology is to trigger mobilization and involve as many citizens as possible, since the ideation phase. It does it by using the leverage of the "supporting" action. The proposers not only need to engage and present their proposals but, in order to bring them to the next phase, they need the support of other people. This "electoral" competition, open to everyone, increase the chance to disseminate the proposals from the bottom-up, favouring those groups that are already active in their districts, without excluding the individuals to publish their proposals to the platform, available to citizens. The Milan PB did this in less than two months, with little investment in communication, and it was able to involve more than 10.000 citizens. The survey collected almost one third of the answers reporting the role of the word of mouth in the dissemination of the initiative through the population ("Some friends invited me to participate").

6.15.2 Key areas of improvement

It was clear since the very beginning that the Milan pilot would be challenging but inspiring for EMPATIA. Most of the difficulties were expected and taken into account. Listing them are useful to be prepared and to avoid them in future similar initiatives.

More civic engagement in the Implementation Cycle

Despite its "bridging" - then positive - role to launch the DC, the MC was definitely a key area of improvement from the methodological point of view. We have already described the absence of participation features in the MC site. More than representing a participatory "cycle" it was just an informative website whose functioning relied on the will and on the capacity of the administration to update the state of the art of the winning projects. The citizens had no power to compensate for any (deliberate or involuntary) lack of information from the Municipality. From this perspective, the

Copyright © EMPATIA Consortium 2016 - 2017

complexity of the city administration and the political impact of a fully participative platform prevented the Consortium to test the potentials of the tool and its role in increasing the civic involvement and transforming administrative practices. The impact on the administrative practice was very little, since the platform was not supported (neither it was the goal of the municipality) by a renewed workflow of the administration to manage the implementation of the projects.

Betting on the city of Milan has increased the visibility of EMPATIA and the number of participant data, useful for the impact assessment. However, it decreased the capacity of EMPATIA to adopt a more innovative site for the MC. Perhaps, selecting a smaller city as a pilot would have given to EMPATIA more chances to test the MC in a more participative way and to experiment in some internal administrative forms: more than metropolis, a smaller cities might have considered the participation within the EMPATIA project a unique opportunity and would have favoured the best conditions to implement the pilot, following the instructions of the EMPATIA team, in order to increase its visibility at the european level and to benefit of the top level advisory board.

The importance of the face-to-face meetings in the DC

One of the key aspect to remind is the positive role of face-to-face events to boost the (online) participation. Against the advice of the EMPATIA team, the Municipality initially decided to avoid doing in-person meetings whose goals was to involve citizens in the idea gathering. The problematic experience of the first edition - based mostly on face-to-face meetings and randomly selected sample of the citizens (the methodology of the minipublic) - led the administration to design a fully online process where all the citizenry would have the same chance to make their proposals and everything would have been transparent and public.

As we have described so far, the initial absence of these meetings, together with a poor investment in communications, made the pilot vague and mostly unknown to the population. Those who were informed about the process did not see the Municipality particularly committed on it, so they simply ignore it. As a result, the participation rate and the number of proposals was only increased when the EMPATIA team suggested (and provide direct support) to the municipality to invest energies in organizing meetings all around the city, involving also the districts. From then on, the small number of citizens who had the chance to interact with the staff and clarify all the doubts, played the role of “lead users”, who made the proposals and - as it was expected - involved their fellow citizens to support them.

More time and better-defined roles to design the pilot.

The lack of time and the rush in drafting the process (and therefore the platform) characterizes this pilot. This paired with the limited authority of the Councillors to address and coordinate all the offices necessary to the pilot. This was at the base of many deviations from the original plan and delays, as we already described in the previous chapter, which affected the design of the PB process and therefore the development of all the desired requirements. We list all the most relevant aspects. What is generally planned for a medium size city, has to be at least doubled for a metropolis like Milan.

First of all, there was little time to organize training of the administrative personnel and to follow a linear participatory process design. This would have made the involved persons more aware of the new administrative challenges that they would have encountered, as well as perhaps more motivated. As a result, the Participation Pact was drafted in a hurry and was not clearly and generally digested, resulting that some rules were misrepresented. One of these rules was the one that defined the number of the top supported proposals to go to the technical review: while the right procedure was meant to be that of

Copyright © EMPATIA Consortium 2016 - 2017

making the sum of the estimated budget given by the technical reviewer, the budget estimated by the proposer was taken into account.

This complexity increased when the administration decided to interpret this process as a formal administrative procedure and not an informal process like it usually is. It then turned the rules of the PB process (and the Participation Pact that described it) into an administrative act to be approved by the government of the city. The Participation Pact then became compulsory for the administrative body and the technical staff in charge to implement this process and not accounted to a larger steering committee. This meant that this document had to follow bureaucratic procedures and to pass for several and more than expected revisions as well as by several persons before being approved. As a result, it happened only at the end of May, the 26th, delaying the launching of the whole pilot.

Another crucial glitch was found in the effective involvement of the strategic offices for the platform, starting from the technical ones towards the communication offices, entitled to define and approve the mockup of the platform. Being not directly involved in the process, and not having the Councillor enough power over them, some technical offices were not so responsive as we hoped, so they delayed or opposed to some requests. For instance, the communication offices rejected the mock-ups ONE designed and sent on the 2nd of February only after two weeks (on the 15th of February), sending also newer and strict guidelines that had to be followed.

More inclusion

Despite the success in terms of number of persons involved, the data available at the end of the first phase highlighted an overrepresentation of adults above 30 years old and well-educated persons. This was expected, as most of the literature on e-Participatory Budgeting highlights. When there is little time and resources to focus on inclusion strategies and there is an “overuse” of the internet channels without providing equally good offline tools such as mobile polling stations, help desks, etc. The high rate of men against women (64% vs. 36%) was surprising for it is quite unusual in many Italian PB.

6.16 Conclusion: Goals achieved?

The following conclusion take into account the goals of the municipality and the EMPATIA consortium as described in chapter 6.3 and chapter 6.4.

6.16.1 Level of achievement of municipal goals

Following what has been written in chapter 6.3, the first two objectives of the Municipality were to guarantee more transparency and then restore **confidence** of the citizens who already participated in the first PB and were disappointed with the delays and all the problems relating to the implementation of the winning projects. In order to do that, the second PB started with the MC website to show transparently the state of the art of the winning projects and all the information available from the technical offices.

Despite the limits of the tool that were already depicted, the EMPATIA platform seemed to comply with these goals and to play a crucial role in reducing conflicts between citizens and the municipality. This was noticed by the Councillor’s staff in their day-to-day management of the social network sites: according to them, the number of people asking information or complaining for the delays reduced remarkably after the introduction of the EMPATIA platform. It was like if the organization of the information in a well designed and an *ad hoc* website gave to the citizens a sense of more transparency

Copyright © EMPATIA Consortium 2016 - 2017

than the individual responses of the municipality via email, facebook, twitter, and face-to-face meetings. To some extent, it confirmed the commitment that was already proved by the Councillor and the technical staff when they started organizing face-to-face meetings in the city. In the citizens' eyes, the MC platform might have represented a novelty anyway, a visible effort of the city to open the administration to the public. The absence of complaints and requests for new and more participative features might confirm that. There is, however, one interesting data that emerged from the survey submitted during and after the end of the first phase: more than the 80% of the respondents (who correspond to about one third of the participants) did not participate to the first PB 2015. This result might demonstrate a large turnover of participants between the two PB editions.

Transparency was not only pursued by implementing the MC platform, but also by adopting an adequate methodology for the DC. From this perspective, the decision of the municipality to follow the advices of the EMPATIA team and, for example, to adopt a Participation Pact, was an important step forward to this direction: the Pact was always mentioned in the platform, since the launch of the MC, and during the whole participatory process. Some citizens acknowledged it and they also considered the freedom to publish proposals as a proof of transparency and openness of the administration.

There were positive feedback from the Districts also. They were involved in the design of the participatory process since the very beginning. They appreciated it as well as welcomed the methodology and the idea of the "bonus". All the Districts defined their bonus on schedule. Moreover, at the time when the Municipality and the EMPATIA team decided to launch a series of face-to-face meetings to boost the participation, the districts reacted positively and worked on the organization of the events in their territories. Even those governed by the opposition parties. They acknowledged the PB as a positive way for them to interact with their constituency and with the municipality as well.

All these objectives contributed to strengthen the participatory process and to activate an adequate number of active citizens that worked on the proposals and, in turn, once the proposal was published, involved their fellow citizens and their local community around their projects. 256 More than 10.000 citizens enrolled in the platform, overcoming the obstacle of a demanding registration procedure, and

The other goal of the Municipality was the **inclusion** of the less active citizens, especially those who live in the suburbs. Unfortunately, we have no quantitative data to give a clear and an objective answer, but the expectation was not particularly high, given the organizational context (low budget for the organization and weak face-to-face initiatives). The data from the registration on the platform are not detailed enough to understand in which area of district s/he is living, whether it is close or distant from the city centre. However, we know that the 60% of them have a higher education, which is a quite high rate. Moreover, a large number of participants were male (60%) and adults from 30 to 64 years old (75%). These few pieces of information can suggest that the participatory process was not really inclusive and representative. The analysis of several cases of hybrid Participatory Budgeting in Italy demonstrates how important is the "offline" component of the DC to include disadvantaged people and those who still suffer the digital divide. The face-to-face component of a participatory process was missing in the Milan pilot. The helpdesk in the district libraries were few and too limited to have an impact on the participation of the excluded citizens. Moreover, with the exception of few self-organized events with disabled persons and secondary schools, the majority of the meetings were organized in the districts and involved adults and active citizens. They were quite good for spreading the initiative and motivating the active citizenry, but not to involve the less active and disadvantaged people. With respect to the inclusion of the disabled persons, we have no more data available than the two face-to-face

Copyright © EMPATIA Consortium 2016 - 2017

meetings and they will probably emerge when the Delegate of the Mayor will start analysing all the projects and their communities behind them.

To conclude this chapter, we have not enough data about the feasibility of the finalist proposals, to say if the new PB will reach this goal. However, this issue was clear to the technical officers during the process design: they all agreed to collect proposals from the bottom up, with a range between 100.000 and 500.000 euro, instead of wrapping them up into fictitious projects, as it happened in 2015.

6.16.2 Level of achievement of the EMPATIA objectives

The Milan pilot was important to test the EMPATIA platform configured for the Monitoring Cycle. None of the objectives was related to the participation and the respective analysis of the participants, since the configuration achieved in this challenging context was missing interactive features. Despite all, the pilot provided interesting feedback, mostly from the side of the administration.

First of all, the EMPATIA platform has provided with a clear and innovative way to show the progress work of the voted projects, paving the way for a reorganization of this activity that is fragmented among the many offices of the Municipality. The pilot did not have time and power to open a discussion on the internal organization of the municipality. Moreover, the majority of the monitored projects was still under technical review and the update of information was seldom and sometimes slow, depending on the availability of the technical responsible person. However, testing the platform gave to the municipalities the chance and the incentive to understand how to involve the technical offices in a more efficient way, starting from the needs of the people instead of the competences of the offices. We were not able to work on the back-office of the EMPATIA platform, although it would have been one of the most interesting aspects from this perspective. The limited time available made it impossible to analyse and develop a customized back office that would have favoured an efficient interaction between the MC and the technical offices. Second, the architecture of the EMPATIA platform proved to be very flexible to adapt to the specific characteristics of the Milan projects, made of sub-projects. The “nested PADs” made it possible to create a two-level structure of content management that gather all the sub-projects (and their features) within a project with their features. Finally, transparency was also a goal of the EMPATIA consortium. The municipality helped to make the state-of-the-art of the projects clear and transparent, providing the citizens all the information available about the project. The lack of interactive features has reduced its potentials, limiting the platform to a mere informative website. However, this was such a novelty for the Milan people that nobody complaint about it or asked for something different.

Copyright © EMPATIA Consortium 2016 - 2017

7 Other cases of use of EMPATIA's software

The consortium released two development versions of the EMPATIA platform prototype in January 2017 and October 2017, through popular channels as Github (https://github.com/EMPATIA) and Docker (https://hub.docker.com/u/empatia). The code has been released under a GNU Affero General Public License v 3.0 (AGPLv3.0). This copyleft license allows third parties to freely use, reuse and modify the code upon the condition that derivative products will be released under the same license. In addition, the AGPL requires to display Appropriate Legal Notice on any modified work that has an interactive user interface (e.g. attribution of the authorship to the EMPATIA consortium).

This licensing framework, joined with the growing popularity of the platform thanks to the massive dissemination activity delivered in WP5, allowed a number of third parties (public and private) to start the delivery of participatory processes based on EMPATIA, adopting similar solutions to those tested in the official pilots of the projects. The cases of use known are reported in this chapter.

The consortium discussed internally and approved the strategy to loosely allow the dissemination of new cases of use of the EMPATIA's code, considering that the multiplication of use cases could increase the opportunity for testing and validating the EMPATIA's code in new contexts and scenarios.

In addition, the consortium requested to all the parties involved in uses of EMPATIA's code extra pilots to collaborate to bug fixing and eventually release any other modification to the source code according the provisions of the AGPLv3.0 license. The consortium also requested to all new uses of EMPATIA's code to provide feedbacks regarding their user (and manager) experience and information on the content of the use case, in order to feed the public communication of the project.

It is important to highlight that no resources of the project have been directly committed to the delivery of these new other cases of use of EMPATIA's software and methods. Anyway, in some cases partners have been involved in dissemination activities oriented to provide technical and scientific knowledge and capacitation necessary to put third parties in condition to use EMPATIA's software.

7.1 Condeixa (Portugal)

Condeixa is a small town located very close to Coimbra, the main city from the center of Portugal. With a population around 17000 inhabitants, the town is particularly know by Conimbriga, an archaeological site with very well preserved heritage of a city from the Roman Empire. The site is one of the main touristic attractions from the Center Region in Portugal and is currently a candidate to the World Heritage from UNESCO.

Participatory budgeting started in 2012 in Condeixa and it was pioneer in the Center Region. At the time, it was dedicated to engage youth (16 to 35 years old) in the co-decision on the expenditures over a portion of the Condeixa Municipal Budget. The enthusiasm with the good levels of participation motivated the municipality to expand it to the rest of the adult population in 2015. Today the Condeixa PB is still split in these two slots, having specific budget and rules of votation for each.

EMPATIA platform integrates Condeixa PB in 2016 edition, in the voting phase, with the main goal to decentralize voting in municipal districts and rise transparency related with monitoring and advanced assessment, contributing to the production of an analytical report on the voting process. The integration of EMPATIA platform was extended to 2017 Condeixa PB edition.

Copyright © EMPATIA Consortium 2016 - 2017

The amount reserved for Condeixa PB and YPB is indexed to the municipal budget at 1,5%. The projects already approved are very diverse, ranging from sports infrastructures and recovery of monuments to the award of scholarships to university students and the creation of a coworking center in a former elementary school. The City particularly embraced these last two projects from YPB, having increased the initial funding and, in the case of the scholarships, has decided to upgrade the support to an annual award of 50 thousand euros.

In 2016, the voting phase was done with the support of EMPATIA. The City provided decentralized spots to vote in the weekends and 87% of the voters in 2016 have preferred to vote in presence, using the kiosks provided by EMPATIA on those spots. Moreover, 10% of the voters used a pc and the rest 3% used a mobile or a tablet. Another interesting fact is that all the voters choose to use only positive votes, despite the option to use one negative vote. In the 2016 edition, EMPATIA's interactive features have been used only to manage the voting phase of PB, while the PAD component have been used only directly by managers of the project. The "mini-pilot" in Condeixa produced interesting results that fed the activity of WP1 (research and definition of requirements) and WP2 (validation and integration) and have been reported in the respective deliverables published at the M12 of the project (D1.4; D2.3).

More info on: http://www.opcondeixa.pt/

7.2 Cormano (Italy)

Cormano is an Italian municipality with a population of 20.000 inhabitants in the metropolitan city of Milan. With around 140 associations, the city stands out for its citizens' engagement to matters of civic interest. Furthermore, data on the last European elections' turnout seem to confirm this fact: taking as reference 2014's elections, more than 70% of Cormano's citizens voted, as opposed to an average 66% in the North-West constituency and a national average of 59%.

Cormano first PB was developed by BiPart, an , in 2017. One of the important aspect of this process was a strong focus on training, that resulted in a number of meetings, attended by both the administration and citizens. In these meetings, citizens and managers were presented with common elements of participatory budgeting, principles and tools for facilitation, as well as mechanisms of a city budget's drafting and issues with digital literacy.

Training allowed to co-design the participatory budgeting process through group sessions in which citizens interacted with technicians and politicians, thus resulting in the sharing of the process' rules and development as well. This approach led to the design of a process actually matching the urban and cultural context in which it took place.

EMPATIA's software provided the necessary support throughout the whole participatory budgeting process. In the first phase, citizens used EMPATIA's software to share ideas with other fellow users. Through other citizens' comments and suggestions, ideas turned into concrete proposals, which often combined similar ideas, and encouraging stronger support for proposals. Finally, thanks to its user recognition mechanism, EMPATIA has been used for the final poll, significantly simplifying the vote procedure and increasing turnout. Furthermore, EMPATIA's software flexibility allowed to directly submit an assessment questionnaire, providing much needed support for the evaluation phase.

7.3 Monza (Italy)

With around 120 thousand inhabitants, the city of Monza is the third most populated municipality in the Lombardy Region, located north of Milan.

Copyright © EMPATIA Consortium 2016 - 2017

Monza had completed the second consecutive edition of Participatory Budgeting (2016/2017), while the first one took place between May 2014 and March 2015.

In this last edition, more than 180 projects have been proposed, among which 115 were past the pre-analysis phase (62, in 2015), and and 50 were finally voted to be allocated funds (40 in 2015). Despite a short voting period, 2937 citizens voted in the process, with nearly a 50% increase on online voting in comparison to the previous edition.

EMPATIA's platform has been used to support the Monza PB during the voting stage, by providing an authentication method - which included a automatic verification of the voters' residence, and SMS verification code to check their accounts. It also provided with a smart registration procedure without the need of an email address.

7.4 Pavia (Italy)

Pavia is a town located in the Lombardy region, approximately 40 km south of Milan. With its 70.000 inhabitants, Pavia has a strong historical and cultural heritage, and is also known for having one of the oldest Italian universities: Università degli Studi di Pavia. As a result, Pavia has a constant and substantial inflow of non-resident population, both students and high-skilled workers, who contribute to the local cultural, social as well as civic environment.

In November 2016, the municipality of Pavia completed its first participatory budgeting process, and in January 2017 started a second process, that will be concluded in November 2017.

Pavia's municipality approved a 3-year program for participatory budgeting. Since its first edition, Pavia PB was open for participation to all residents older than 16 years old, as well as students and staff of the University of Pavia as primary city users. For the first time, students have been invited to take an active part to a decision-making process concerning the city's resources allocation and future development. 20 projects overall made it to the voting phase.

EMPATIA platform has been used biy BiPart to support to the entire process.

Online voting was available to registered users, all authenticated through phone number and fiscal code: the system sent a verification code on the phone number provided, while making sure that the fiscal code provided matched the one in the civil registry.

Offline voting was enable with the support of authorized staff, to allow citizens with weak digital literacy to easily contribute to the process. This staff, on selected locations, supported citizens on registering, entering proposals, and showing voting polling stations.

Both in the online and offline procedures, votes have been uploaded on the platform – either directly or by authorized staff – but they have been kept separated to provide a more accurate insight on voting trends in the assessment phase.

7.5 Conil de la Frontera (Spain)

Conil de la Frontera is a town with around 22,297 inhabitants. It is located in the province of Cadiz, in the autonomous community of Andalusia, Spain. Its municipal area covers 87 km² and is bounded by the Atlantic Ocean to the west. It is one of the most picturesque towns on the Costa de la Luz, with places of high ecological and historical value. Its economy is based on fishing and seasonal tourism. During the summer its population can reach 90,000 people.

Copyright © EMPATIA Consortium 2016 - 2017

The local government has been developing participatory budgeting since 2013, and is considered a consolidated and pioneer process in the region. The PB initiative allows citizens to propose and decide how to spend part of the public budget, and is open to all residents from the age of 12. The PB is based on a collaborative self-regulating process, where every year an assembly is scheduled to review the rules of the process, to ensure it to be inclusive and that it meets local needs.

There are budget delegates whose duties are to promote, inform and enhance the participation of associations and neighbourhoods. The delegates also monitor the process outcome. Budget proposals are filed individually, sometimes encouraged by sectoral meetings summoned by local officers.

The online platform based on EMPATIA's software is currently conceived as a tool for communication and dissemination of the process, consultation of proposals and, mainly, for transparency purposes (including the important documents of the process: regulations, flyers, announcements, etc.). From 2018, the municipality plans to start using EMPATIA platform for submitting proposals, and enable online debate and voting.

7.6 Torredonjimeno (Spain)

Torredonjimeno is a town located in the province of Jaen, in the autonomous community of Andalusia, Spain. In 2016 the city had a population of 13,874 inhabitants. Torredonjimeno is located in a fertile area and its economy is mainly based on agriculture (97% of the municipal farmlands are olive plantations).

The local government has been developing participatory budgeting since 2008, being the longest running PB process in Andalusia. This initiative allows citizens to propose and decide how to spend up to 30% of the town council's budget for investment. Any person can participate in the PB process of Torredonjimeno by submitting proposals, and all residents from the age of 12 are entitled to vote.

The Torredonjimeno PB is a self-regulating process. A steering committee with community representatives (PB delegates) and local officials (the Mayor, the Councillor for Citizen Participation, a representative of each political party of the Municipal Corporation) collaborate in setting the rules of the process.

The ideation process is ran through community meetings, residents share and discuss project ideas, which may also be proposed individually. The budget delegates develop the ideas into feasible proposals and then residents vote on the budget allocation. The process include neighbourhood councils whose duties are to promote, inform and enhance the participation of associations and individuals. These councils also monitor the process outcome.

Torredonjimeno has started to experiment with the EMPATIA platform to support the development of a coherent citizen participation system. The platform "https://torredonjimenoparticipa.es", based on EMPATIA's software currently operates as a tool for information, transparency and monitoring. Besides PB platform, torredonjimenoparticipa.es also is an open channel for citizen suggestions, and for the city to launch consultations.

7.7 Casares (Spain)

Casares is a Spanish town located in the southwest of Malaga province, in the Autonomous Community of Andalusia. The town has around 5,795 inhabitants, and its municipal area is divided into three urban settlements: Casares Pueblo, El Secadero, and Casares Costa. One characteristic that stands out in this municipality is its biodiversity and its variety of natural landscapes.

Copyright © EMPATIA Consortium 2016 - 2017

Even though Casares municipality has implemented different citizen participation activities before, its first experience with participatory budget started with a pilot in 2016. This pilot led to the implementation of a full PB process in mid 2017.

The methodology implemented by the municipality of Casares takes as a reference the methodologies already being used in Portugal. This PB initiative allows citizens to propose and decide how to spend part of the public budget (350.000 euros in both 2016 and 2017), and is open to all residents from the age of 14.

Currently, the process includes activities orientated to encourage citizen involvement in all stages of the process, including holding ideation events (i.e.meetings) in which residents share and discuss ideas for projects.

Casares municipality planned the implementation of a digital platform to support its PB process from 2017. The platform could support the process by enabling communication and dissemination of the process; live consultation of proposals, transparency (including the most important documents of the process: regulations, posters, announcements, etc.), as well as providing new channels for submitting proposals and voting. A digital platform is of particular interest to the many young citizens of Casares, who study far away from their town, and would be unable to participate otherwise.

Within this context, Casares municipality is currently testing the EMPATIA platform to support its information, transparency and monitoring tool (including the most important documents of the process: regulations, posters, announcements, proposal status report, etc).

The next stage is to use the digital platform to enable citizens to develop and submit proposals, and vote. Local officials are also considering developing an English version, since there is a significant number of English-speaking residents living in Casares.

7.8 Lagoa – Azores (Portugal)

Lagoa is a municipality with about 14 thousand inhabitants, located on the island of São Miguel, in the Azores Archipelago, an ultra peripheral region with little tradition in the development of participatory processes.

Lagoa's Youth Participatory Budgeting is addressed to all young residents, workers or students in the Municipality of Lagoa, aged between 12 and 30 years inclusive. They are entitled to submit proposals and vote projects for the territory. The pot of money allocated to the process is 25.000 Euros. All residents of the municipality who are over 12 years old can vote. The Youth PB process is ongoing since 2014.

This process was used to test the EMPATIA face-to-face voting module with the young population, for its 2017 Youth PB process. Proposals were submitted and then voted in-person only. Lagoa used the second version of the in-person feature (which was later re-used in Wuppertal) that allowed the usage of public computers to perform the voting without using the manager account.

Regarding the results, there was a total of 573 voters (corresponding to the same number of votes, due to the fact that each person was entitled to one vote) in 12 in-person voting locations.

Copyright © EMPATIA Consortium 2016 - 2017

7.9 Cascais (Portugal)

Cascais is the fifth largest municipality in Portugal, with about 210 thousand inhabitants and the most developed and consolidated participatory budgeting process of the country. The first edition of the PB process was in 2011. In 2017, the voting phase ended with 75.357 voters and 27 winning projects that represented an investment of 6,1 million Euros.

By the municipality's option, the presentation of proposals by the citizens, essentially takes place through in-person participation sessions (9 in each edition of PB). The number of participants in these sessions has been increasing over the years, which required the introduction of some changes to the methodology, one of which was the allocation of two votes per participant to the proposals presented at each session. Votes are recorded on paper and at the end of each session counted publicly, in front of everyone present.

With EMPATIA, it was possible to test a new mode of voting in the participation sessions, namely through the use of Kiosks. That testing was done and validated through its Touch Kiosk and Tablet Kiosk in four Cascais PB participation sessions. Using RFID voting tags, citizens voted in the sessions using the EMPATIA Touch Kiosk. EMPATIA participated in the following events (the results only count voters that used the Kiosks):

- Alcabideche: 92 participants, 22 voters, 44 positive votes, 0 negative votes;
- S. Domingos da Rana: 35 participants, 33 voters, 66 positive votes, 0 negative votes;
- Pavilhão Desportivo dos Lombos: 135 participants, 53 voters, 106 positive votes, 0 negative votes;
- São Pedro: 230 participants, 54 voters, 108 positive votes, 4 negative votes.

In total, the EMPATIA Platform and EMPATIA kiosks were used by 162 citizens, submitting a total of 328 votes.

This pilot allowed to test the use of kiosks in real environment, in the participatory sessions of Cascais, with the following advantages:

- ensure voters anonymity;
- speed up the voting process and the respective counting of votes in the sessions;
- maintain the high level of confidence of the participants in the results of the sessions and in the PB process;
- avoid using paper for the purpose of voting (paper ballots).

7.10 ANAMM (Mozambique)

The National Association of Municipalities of Mozambique (ANAMM in Portuguese) was created in 2004. Its general purposes are to promote and defend the interests of local authorities, to foster inter-municipal cooperation and to represent local authorities in national, regional and international institutions.

During 2017, ANAMM carried out the elaboration of a National Strategy for the Promotion of Participatory Municipal Governance. ANAMM is part of the relations network of In Loco which made possible this collaboration.

Copyright © EMPATIA Consortium 2016 - 2017

In this context, In Loco developed a national diagnosis of participatory municipal governance practices, for that purpose created a questionnaire to be applied to the 54 Mozambican municipalities.

To help the development of that activity, In Loco proposed to use the EMPATIA platform questionnaire module to invite municipalities to participate in the diagnosis. This pilot was very useful to test this module and to introduce some improvements in it, namely in the functionality of the export of collected data. 32 questionnaire replies were received.

From the geographical point of view, it was the first, albeit partial, use of the EMPATIA platform in an African country. This was also a way to introduce the platform to ANAMM, so that it can use it in the future, in the implementation of the strategy to promote municipal participatory governance if it wishes so.

7.11 Cananea (Mexico)

Mexico is one of the world's leading producers of silver, gold, copper, lead and zinc. The mining activity represents more than 1% of the Gross Domestic Product and is distributed in 25 states of the country. Despite their importance in GDP and in national economic activity, communities in the extraction areas did not receive a direct benefit, which is why in 2014 the mining fund was created.

In this area, the Federal Government of Mexico, with the technical assistance of the World Bank, decided to implement a Participatory Budget pilot under this Fund, with the objective of promoting the involvement of citizens in decision-making for the allocation and use of part of the resources from the fund. This pilot was developed in the municipality of Cananea, located in the State of Sonora, in the north of the country. The municipality has a population of 31.560 inhabitants (2010 census).

At the request of the World Bank, the EMPATIA platform was tested in that pilot, although only in the public voting phase of the finalist projects. This voting took place in person, through the presentation of the voter card, and took place for about 30 days.

This pilot allowed to test the module of in-presence voting, with prior registration of the participants, as tested in the Municipality of Lagoa - Azores, in Portugal. The vote was made using various mobile devices (tablets) and a fixed computer. The total number of voters was 5.718.

The pilot allowed the presentation and testing of the EMPATIA platform in Mexico. There is the will of the Federal Government of Mexico to extend the pilot of Cananea's PB to the remaining about 200 Mexican municipalities covered by the Mining Fund. It is anticipated that this will happen in a phased manner, and here is an opportunity to disseminate the EMPATIA platform on a very significant scale.

7.12 Portugal's Youth Participatory Budget

In the framework of the measures included in the Program of the XXI Constitutional Government of the Portuguese Republic to "improve the quality of democracy", a Participatory Budget was envisaged at the level of the State Budget, which included the allocation of an annual budget for the execution of projects proposed and chosen by citizens.

As a follow-up to this commitment, the Government established the Portugal's Participatory Budget (Orçamento Participativo Portugal - OPP) and the Portugal's Youth Participatory Budget (Orçamento Participativo Jovem Portugal - OPJP), in Law no. 42/2016 of 28th of December, on the State Budget for 2017. The latter was directly dependent on the Secretary of State for Youth and Sports, who was responsible for creating the institutional conditions to support the development of the process.

Copyright © EMPATIA Consortium 2016 - 2017

In this context and following the contacts made, In Loco Association has collaborated with the Government in the design, development and evaluation of this initiative, and therefore, it was proposed to use the EMPATIA platform for the implementation of the process, which was accepted.

Portugal's Youth PB is a nationwide, unprecedented process in which citizens between the ages of 14 and 30 can propose and decide on public investment projects. The allocation granted by the Government of the Republic of Portugal to this first edition was 300 thousand Euros.

See below in more detail the main phases of this process.

Registration of users: The platform was configured to allow the registration of the participants, so that each one created their profile and could exercise the right to participate in the different phases of the process. The registration was designed to limit access to persons between the ages of 14 and 30, a rule enshrined in the Resolution of the Council of Ministers of Portugal.

Submission of proposals: This was done in two ways, namely: i) through a form created for this purpose in the platform. Youth interested in submitting their ideas could use it by submitting in writing and attaching the documents they deemed necessary (documents, photos, videos); (ii) in face-to-face participatory meetings held in all district capitals and in the autonomous regions of Madeira and the Azores, in which In Loco's team collected the proposals, with the aim of submitting them later on behalf of the respective proposers. More than 400 proposals were received.

Technical analysis: The four Ministries involved in this phase of the process have appointed one or several interlocutors to carry out this work. Each one was given access credentials to the platform and to the proposals of the respective thematic areas. The technical analysis was organized in several stages, as follows:

First, a feasibility analysis was carried out by the services, following the public criteria defined for this purpose. This work was done using a technical file created in the BackOffice of the platform. After the analysis, two groups of proposals were created, namely those approved and excluded, and this result was publicly disclosed on the page.

Second, participants could submit complaints, expressing their disagreement with the outcome of the review and requesting the re-examination of excluded proposals. Those complaints were made through an interface created on the platform. Each complaint created a dialogue between participants, analysts and PB's coordination team, facilitating interaction among all. Some initially rejected proposals were considered valid and therefore approved for the next phase of the process. There were also situations of mergers of proposals, which by their very nature were very similar. Through the same communication interface, the coordination team put the young proposers in contact, suggesting that they communicate with each other checking their willingness to merge their proposals. This happened in some situations but always by decision of the participants.

After the period of complaints and re-examination of proposals, the management team published the final list of excluded proposals and projects approved for public voting.

Voting: The voting phase was held for about 25 days and two parallel voting channels were defined, namely: (i) the platform, with participants being able to exercise their voting rights through a simple user register; ii) SMS, in which case the participants were asked to send a written mobile phone message to a number, indicating the number of the project in which they intended to vote and the citizen's card number.

Copyright © EMPATIA Consortium 2016 - 2017

These two voting channels were integrated into the back office, allowing data to be crossed checked to prevent the same participant from voting more than once. This system worked, having prevented several attempts of young people that tried to vote through the two channels.

The back office of the platform allowed the detailed monitoring of the voting, and it was possible to extract data, in real time, on the votes per channel, project and day.

This pilot was of enormous importance for the platform for having allowed to:

- test EMPATIA in a nationwide process, the first of its kind worldwide, ensuring a strong platform projection;
- test the first complete cycle of a Participatory Budget, namely the submission of proposals, technical analysis and public voting;
- the development and testing of the technical analysis module of the proposals, never before used in a Participatory Budgeting process, allowing this work to be done, with full capacity for registration and transparency, by different Ministries of the Government of Portugal;
- use a communication interface, via the platform, between the coordination and technical analysis services and the participants in the process;
- develop and test a voting interface of the finalist projects, with the ability to integrate votes in the back office, from different channels of participation, namely the platform itself and SMS.

Brief summary of statistics of this pilot:

Google Analytics

- Number of Page Views: 222129
- Number of Sessions: 49862
- Number of Users: 33006

Website

- Number of users registered in the platform: 10552
- Number of proposals received (during proposals submission phase): 424
- Number of projects in the voting phase: 167
- Number of voters: 8660

Copyright © EMPATIA Consortium 2016 - 2017

8 Conclusion

The deliverable at hand presented a comprehensive account of all activities in WP3 with detailed reports of each pilot's experiences. In this final chapter, we first summarize the main achievements of WP3, and then conclude with a critical reflection of the activities of WP3 and some recommendations for future EU projects similar to EMPATIA.

8.1 Key achievements of WP3

Looking back at the pilots, it can be concluded that each experience has contributed with a different set of outcomes, driven by the adaptations and solutions provided for each context.

Each pilot had distinctive prerequisites, and a set of local challenges and opportunities which were unique to each setting. The fact that all pilots used the EMPATIA platform in rather different ways presented the EMPATIA consortium with the chance to develop and test different modules and tools, and thereby increase the flexibility of the platform to a maximum possible.

In all four pilots, **EMPATIA acted as a facilitator of social democratic innovations**, by supporting different planning and implementation methodologies, improving transparency, and introducing ICT solutions and adaptions to achieve local participatory goals.

In Wuppertal, EMPATIA **made possible the development and implementation of an innovative multichannel, co-decisional type of PB**, breaking with the tradition of the consultative model typical for German PB. The new model was designed together with citizens; it incorporates new methods like the 'common good check', and it has led to a lot of media attention and interest by other municipalities. As such, EMPATIA helped create a new role model for co-decisional PB in Germany, contributing to the reduction of scepticism against PB with a budget (as opposed to consultative PB). EMPATIA gave the municipality the space for an in-depth reconceptualization of PB with the EMPATIA platform as a key unifying element.

In Lisbon, EMPATIA was an instrumental **partner for the municipality on their path towards the creation of a unified participation strategy**. Through EMPATIA, different participatory processes were brought together under a common portal, aiming at developing a participatory system, which could potentially enable better communication and complementarity between different participatory tools. With the centralized participation portal Lisboa Participa, a big part of the municipal strategy was put into practice, making it easier for citizens to find information about municipal participation projects, and finally also to engage in the process which mattered the most for them.

In Milan, EMPATIA **showed to the municipality the importance of implementing a monitoring cycle**, where citizens could follow the status of implementation of winning projects of PB from previous years. Thereby, EMPATIA helped re-establish new avenues to rebuild citizen trust, through the easy access and transparency of information. Beyond the monitoring cycle for which the EMPATIA platform was used, the EMPATIA project also engaged in an evaluation of the deliberation cycle (i.e. PB) for which another ICT solution was used. This provided the opportunity for research on how different technologies impact social innovation which will be further analysed in D4.2.

In Říčany, EMPATIA **helped the municipality to conduct their first ever PB process**. While they did have experience with online voting through the D21 app, they were lacking a tool for online ideation. The EMPATIA platform was thus used for collection of ideas online; since all ideas, also those submitted on paper, were made available on the platform, EMPATIA helped increase transparency in

Copyright © EMPATIA Consortium 2016 - 2017

the ideation process. Similar to the Milan pilot, in the Říčany pilot the EMPATIA technology was used supplementary to another existing technology. The use and adaptation of different ICT solutions helped increase the potential of EMPATIA of being adopted by other participatory processes. Overall, these experiences have been instrumental in broadening the scope of EMPATIA's research on social innovation.

Overall, all pilots facilitated intense discussions in the respective pilot municipalities about new paths and models of participation, and (digital) social innovation. By showing in 'real life' settings how social democratic innovations can be conducted with the help of ICTs, scepticisms against participation could be reduced. EMPATIA thus also set the grounds for even further innovation, encouraging political representatives and municipal staff to continue on their paths. All pilot sites have indicated that they want to continue their efforts in the area of participation. Wuppertal aims to conduct another co-decisional PB in 2019, most likely again with the help of the EMPATIA platform. Lisbon will continue their work with the portal Lisboa Participa and further expand their unified participation strategy. Milan will integrate the 'implementation phase' as an important element also in their future PBs, and Říčany is currently planning their second year of PB, integrating additional features of the EMPATIA platform, including technical review and implementation-cycle functionalities.

Besides this qualitative account of the pilots' achievements, it is also worthwhile to have a look at some statistics. A detailed analysis of user demographics and statistics will be provided in Deliverable 4.2, so we will look here only at the numbers of use of the EMPATIA platform, i.e. at the number of visits and the number of registered users.

	Number of visits	Number of registered users
Wuppertal pilot *(period: May 01 - Nov 15, 2017)*	22.145 visits	3.229 registered users
Lisbon pilot *(period: March 10 - Nov 30, 2017)*	18.710 visits	1.843 registered users
Říčany pilot *(period: Nov 20 - Dec 20, 2017)*	3.029 visits	51
Milan pilot Implementation Cycle *(period: May 30 - Dec 20, 2017)*	3.812 visits	[not applicable]
Please note that slight differences in numbers compared to other Deliverables may occur due to different points in time at which these data was extracted from PIWIK and the pilot platforms.		

Table 19: Visits and registered users on the EMPATIA pilot platforms

This table only refers to the use of the EMPATIA platform, and only to the four official pilots. However, for a comprehensive account of the number of citizens reached through WP3 activities, the following numbers need to be added:

- **Face-to-face events:** EMPATIA supported numerous face-to-face citizen events in the framework of the pilots: In Wuppertal, about 170 citizens attended the citizen assembly and 120 citizens attended the voting party; in Říčany, about 45 citizens attended the citizen assemblies. In Milan, 28 face-to-face meetings were supported by EMPATIA in the context of the PB, reaching about 800 people.

Copyright © EMPATIA Consortium 2016 - 2017

- **Use of other technology in the pilots:** Moreover, the numbers of use of other technology in the pilot projects should also be taken into consideration: In Říčany, 1.691 users registered for the voting phase through the D21 app. In Milan, the PB platform was visited 84.111 times, and 10.992 users registered.
- **Other cases of use of EMPATIA's software:** Finally, the other cases of use of the EMPATIA software (see chapter 7) also add to the total number of use of the EMPATIA platform. An overview table with full statistics on these other uses will be presented in Deliverable D2.4. In total, more than 40.000 users registered in the other applications of the EMPATIA platform.

From these numbers it can be concluded that the EMPATIA platform was used and tested extensively throughout the two years of the EMPATIA project, and that EMPATIA also reached citizens beyond the scope of its platform use in the pilots, namely through face-to-face events, other technology as well as other cases of use of EMPATIA's software. Even though some specific tools have fallen behind the expectations regarding the numbers of use (see for instance, LisBOAideia, chapter 4.16), the overall result is a positive one. It is important to emphasize that, in order to conduct appropriate evaluation, numbers of use of the EMPATIA platform should be compared to those of *beta* platforms, which are used in new contexts and with an 'experimental' character. It is thus likely that the numbers of participation will grow further with increasing popularity of the platforms.

8.2 Lessons learned and recommendations for future EU projects

Besides achievements regarding the implementation of the pilots themselves, the work of WP3 also produced valuable experiences regarding the internal collaboration and the way the project was structured. In this final subchapter, we present a self-reflective and critical discussion of our collaboration and activities in WP3, concluding with some important lessons learned that could be valuable for future EU projects of similar nature. Please note that these conclusions are drawn from the perspective of the WP3 pilot partners and do not necessarily represent the point of view of other WPs.

Looking back at the collaboration between partners within WP3, it must be said that a common methodology for the requirements gathering and design process in the different pilots was only developed in November 2016. Up to that point, there was a **lack of defining common procedures in the beginning of the project** as part of the coordination of WP3 due to D21's limited capacities as WP3 lead. The lead was shifted to Zebralog in October 2016, when meetings with municipal stakeholders had already taken place in most pilots, and there was only limited possibility for the pilot partners to fully adopt a common systematic methodology of requirements gathering (see chapter 2.3). The lack of WP3 coordination early in the project also resulted in some unclear responsibilities, for example regarding the question whether municipalities should communicate directly with WP2 partners, or if this is the task of the pilot partners.

Besides, **time constraints** in the pilots (most notably Říčany and Milan) also made it difficult to ensure a systematic approach to requirements gathering. The challenges related to the dependency of political timetables and decision-making were more complex than the project's most pessimistic predictions, leaving too limited time for the translation from non-technical to technical requirements and for testing in all pilots. The dependency on decisions by third parties in political processes like a PB became apparent, for example, with the shift from Bonn to Wuppertal due to constraints in the PB's timetable, and a change of the political leadership. With many stakeholders involved in the planning process, it took from September 2016 until January 2017 until a comprehensive (non-technical) concept could be

Copyright © EMPATIA Consortium 2016 - 2017

finalized, with a political council resolution in December 2016. In Lisbon, the requirements and goals changed several times throughout the planning meetings, making it difficult to start technical developments as these would have been based on uncertainties. In Říčany, the PB cycle started already in fall 2016, with a very short period for planning and process design since the contract with EMPATIA was only signed in August, and the first design workshop held in September. In Milan, municipal delays consistently altered the timetable, and at times impacted on the technological support of the EMPATIA platform. The launch of the new PB (Deliberation Cycle) was postponed from April to end of September 2017, which meant the process would be completed concomitantly with the end of EMPATIA project. This major postponement was one of the main reasons for the change of technology use for the Deliberation Cycle. Moreover, the simultaneous launch of pilot platforms in the spring of 2017 meant that most pilot partners were focused on their own pilots, with limited time for support and collaboration with one another.

Closely connected to the issue of limited time for the translation of non-technical requirements to a technical concept is the fact that there was a **discrepancy in terms of views and competencies in the area of co-design of technology** in this project. This became particularly apparent with the physical presence or absence of EMPATIA software developers in the initial local planning process of pilots. Due to geographical advantages (also with respect to language), EMPATIA software developers (from WP2) were actively involved in planning meetings with municipal stakeholders in Lisbon. In the other pilots, they were informed about the results but were not an active part of discussions about requirements or features needed. In a project that aims for ICT innovation this was a missed opportunity, since innovation would likely have benefited from a systematic, multidisciplinary approach to problem solving (like for example with the methodology 'design thinking'). At the same time, pilot partners had limited understanding of the structure and features of the platform prototype, and the translation into technical requirements. Hence, on the one hand, a platform training at this early stage made little sense, as the platform was still critically dependent on the requirements formulated by the pilot partners. On the other hand, the requirements also needed to be formulated in the light of an understanding of the basic platform structure. The communication between WP3 and WP2 also concerns the collaborative development of technical specifications for the non-technical requirements. As stated, for example, in the Wuppertal pilot report, problems occurred because requirements for certain features were not made explicit enough. The work with mock-ups for communication about technical requirements turned out to be too limited in a highly complex context. Finally, during the testing and implementation phase, competencies in co-design could have also improved the process: Since not all pilot partners were experienced in performing platform tests and writing bug reports, a training and more established workflows could have been helpful. For example, for bug reporting, every pilot partner used a different channel (some used Trello, others a google spreadsheet or e-mail). Training all partners in the use of a transparent bug-tracking tool could have helped to identify common issues across pilots.

It has to be said as well that conducting the pilots in 'real' political processes was a challenge not only regarding the time constraints but also regarding the **risks of using a beta platform in such highly political contexts.** In contexts like a PB, it can be risky to test a beta platform because the consequences of some bugs or miscommunication may be high, even if they 'merely' lie in a future hesitance to work with online systems for participation again (which may also result in lower participation by citizens in the future). It may therefore have been better to include cities as actual partners and first test the whole platform in all phases in an experimental context (not a real PB), before using it in an actual real-life PB. Certainly, more time would have been needed for internal testing. For reasons of 'risk minimization' some features that had not been fully tested beforehand, as for example the 'Alliance feature', were not

Copyright © EMPATIA Consortium 2016 - 2017

used after all in the real-life setting. More time for testing in an experimental setting would have allowed developing a comprehensive version of this feature first, and only implementing it after a proven stable version existed. It would also have prevented constant 'developments at the open heart' throughout the active PB process, with new feature requests all along the way, and new bugs found on a regular basis - something normal for a platform prototype but difficult in a real-life setting with 'real' participants.

Lastly, since all pilot partners worked with a **platform prototype that was subject of constant further developments**, there was naturally a high dependency on the support of WP2 software developers**.** Hence, the independent set-up and administration without technical support could be tested only to a limited degree in the pilots. Since municipalities usually work with fully functioning and long tested software, working with a beta platform also led to insecurities on their side since they constantly had to rely on technical partners for support.

Overall, a key lesson learned of the project is therefore that the co-design of software, notably of interactive platforms like participation platforms, is a highly complex task that requires time, careful planning and methodological competencies. Consequently, a number of recommendations for future EU projects similar to EMPATIA can be formulated:

- **A partner with methodological competencies in the co-design of technology** would be beneficial in a project on digital social innovation, taking the lead on the definition of a common methodology of requirements gathering and agile communication with technical staff, including work with user stories, and training of both technical and non-technical partners in how to design and develop ICT solutions in a collaborative manner.
- **Specific innovation workshops** with involvement of different stakeholders like citizens and municipalities but also technical staff could help arrive at innovative ICT solutions of non-technical problems, e.g. with the help of methods like 'design thinking'.
- **More time** needs to be calculated for the planning process, and notably the translation of non-technical requirements to detailed technical requirements and workflows, as well as process of testing of functionalities and usability. A period of three years would be recommendable.
- **Training to pilot partners** on the platform prototype, even at an early stage in the process, is crucial in order for them to understand the basic structure of it. Non-technical partners should also be trained in how to formulate requirements, how to do platform tests on usability and bugs and write bug reports.
- **Testing the software in an experimental context first** before using it in an actual 'real life' process could lead to stronger ICT solutions since experimentations with new and little tested features in political contexts may pose risks and creates high dependency on external factors like changing political timetables.

It remains to say that all partners involved in WP3 learned a lot throughout the project, and they will certainly use their experiences for their further work in the area of (digital) social innovation.

Copyright © EMPATIA Consortium 2016 - 2017

9 Appendix

Copyright © EMPATIA Consortium 2016 - 2017

9.1 Wuppertal: Agenda of design workshop (focus group 1)

Time	Min	Topic	Method
18.00 h	10 Min	**Introduction by Zebralog** • Presentation of EMPATIA • Goals of the workshop	Presentation by Zebralog
18.10 h	10 Min	**Introduction of participants** • Who is here? Background & previous experience with PB	Positioning in the room along a scale from 1 to 10: "experience with PB/participation processes", short interviews by facilitators
18.20 h	15 Min	**Presentation of previous PB in Wuppertal** • Intro to PB & goals of PB • Different models, different challenges of the previous three PBs • Explanation of the dilemma of limited scope for participation	Presentation by the city of Wuppertal
18.35 h	5 Min	**Intro to evaluation and success criteria by Zebralog**	Intro Zebralog
18.40 h	20 Min	**Group 1: Review and Evaluation of previous PB** • What went well, what should stay? • What could have been better? • (ideas for improvement)	„Silent" documentation on wall matrix (20 Min) along the topics: - Mobilisation / PR - Information regarding budget & process - Participation (online and on site) - Use of results - Organisational issues / other
		Group 2: Success criteria • What motivates citizens to participate? • When would PB be counted as a success? • When would it be a failure? (esp. for citizens who have no previous experience)	"Silent" documentation on wall
19.00 h	10 Min	**Break**	
19.10 h	20 Min	**Discussion of evaluation and success criteria** • Presentation and supplementation of wall results • Formulation of ideas of improvement	Facilitated discussion, completion of wall matrix
19.30 h	25 Min	**PB 2017: *What is the scope of participation*?**	Impulse slides by Zebralog („This is how it is done

Copyright © EMPATIA Consortium 2016 - 2017

		• How to deal with the dilemma of little scope of participation?	elsewhere | Part 1“) & discussion
19.55 h	30 Min	**PB 2017: *What could the process look like?*** • What could a multi-channel process look like?	Impulse slides by Zebralog („This is how it is done elsewhere | Part 2“), discussion and scribbles of 1 to 3 process structure scenarios
20.25 h	5 Min	**Next steps**	Conclusion by Zebralog

Copyright © EMPATIA Consortium 2016 - 2017

9.2 Wuppertal: Agenda of evaluation workshop (focus group 2)

Time	Min	Topic	Method
6 pm	5 min	**Welcoming by zebralog** Explanations of goals of the workshop and the "quiet discussion" afterwards	Presentation and explanations by the moderation Zebralog
6.05 pm	10 min	**Introduction of the participants** Short introduction with the leading question "Which term springs to your mind when you think of the citizen budget in Wuppertal?"	Introduction of participants with breaking-the-ice-question
6.15 pm	20 min	**"Quiet reflection" at the pin boards** • What did you like? What went well? • What did you not like? What could be improved? • Ideas and suggestions to improve the process and collection of methods, that should be reused in the next citizen budget Following these topics/priorities (analogue to the last focus group 2016) • PR/mobilization • information to the city budget and the process • participation online • participation in-person • organizational matters and further aspects	Quiet query at pin boards with multicolor moderation charts and pens, topics will already be pinned (by moderation) Implicit survey of the questions of the University of Brunel: - *What do you like best?* - *What do you like the least? Is it easy to access facts & figures?* - *What would make an ICT based platform for PB work better compared to existing?* - *Do you have any advice for us as we introduce the ICT-enabled PB?*
6.35 pm	70 min	**Discussion of the results of the "quiet reflection"** • Moderation presents, topic by topic, the pinned moderation charts, gives space for questions and discussion • New moderation charts will be added to pin boards	Moderated group discussion, documentation at pin boards by moderation
7.45 pm	15 min	**Prioritization of the results** • What was the most important? Did we forget something? What should have been discussed additional? What should be part of the next citizen budget? • Prioritization by sticky dots (every participant receives 5 dots)	Moderation by Zebralog, prioritization by sticky dots Implicit survey of the questions of the University of Brunel: - *Of all the things we discussed, what do you think is the most important?* - *Have we missed anything? Is there anything we should have discussed that we did not?*
8 pm		**Acknowledgement and next steps**	Finalization by Zebralog

Copyright © EMPATIA Consortium 2016 - 2017

9.3 Wuppertal: List of the TOP 32 ideas that passed the technical review

Title	Short description	Estimated costs	Picture
Old helps young and the other way round	About the already existing pocket money project between the elderly and the youth.	15.300 €	
Playground 'Zur Waldkampf-bahn'	Expanding and repairing of already existing gaming devices.	50.000 €	
Car-free 'Laurentiusplatz'	Ban cars from the ‚Laurentius square', expand gastronomy and realize a new place to stay and relax.	17.500 €	
Urban Bike Map Wuppertal	Creation of a new, handy and up to date map of bike trails and attractions in/around Wuppertal	15.000 €	
Mobile wheelchair-ramps for rent	The municipality should buy and lend mobile ramps to make it possible for people with wheelchairss to visit events.	2.400 €	
Deposit containers for Wuppertal's secondary schools	Supporting a campaign to donate pupils' deposit bottles for the good cause in Wuppertal.	10.000 €	
Bike garages for the 'Ölberg'	Garages for bikes to store them and to charge e-bikes.	42.000 €	
Urban Gardening – big project	Merging of four similar urban gardening projects in Wuppertal.	50.000 €	

Copyright © EMPATIA Consortium 2016 - 2017

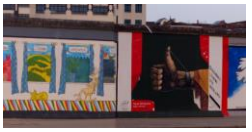
City tour from the perspective of blind people	Offering city tours by blind people to explore Wuppertal like they do.	6.506 €	
Holiday project childrens' hood Mini-Wuppertal	Expanding and repairing of already existing toys / playing devices.	50.000 €	
Wuppertal's ideas pool	An online-pool to preserve the submitted ideas in the citizen budget for the future.	1.500 €	
The elderly friendly zoo Wuppertal	Establishing a 'bus line' in Wuppertal's zoo to enable the elderly to visit the areas that are difficult to access.	25.000 €	
Expand fair trade city Wuppertal	Expanding already existing fair trade structures.	15.000 €	
Art kiosk Wuppertal ‚Wichlinghausen'	Various usable kiosks for creative events and exhibitions.	18.800 €	
Bike racks at the entries of the 'line'	Build opportunities to leave and lock bikes at the entries of the 'line' to empower more people to ride their bikes.	7.400 €	
Short movie weekend	Implement a short-movie-weekend in Wuppertal to support artists and improve Wuppertal's image.	35.000 €	
Car free Luisenstreet and historic-city feeling in the Luisenarea – better image for Wuppertal!	Ban cars from the Luisenstreet, expand gastronomy and make the street more attractive to stay and relax.	15.300 €	
Theatre summer at forest stage 'Hardt'	Revitalize the bare used forest stage with comedy, musicals, concerts or shows.	37.000 €	

Copyright © EMPATIA Consortium 2016 - 2017

Accompany citizens with disabilities to cultural events	Accompany people with disadvatages and the elderly to cultural events, supported by a platform.	15.300 €	
Playgrounds for young and old kids	Building an interactive playground with fountains.	50.000 €	
Musicals for the good cause	Supporting an initiative, that supports children and young people with dancing and singing classes.	3.500 €	MusicalDreamer

Benches along the 'Nordbahntrasse' *[not originally part of TOP32]*	Construction of benches for pedestrians along the 'Nordbahntrasse', especially for the elderly and to improve Wuppertals image.	10.000 €	
Communication kiosk mobile through Wuppertal *[not originally part of TOP32]*	Connecting people for little jobs and to help each other.	35.000 €	
Trash bins at the entries of the 'line' *[not originally part of TOP32]*	Implementing more trash bins at the entries to the Nordbahn'-line to have a cleaner city.	2.000 €	
Project against racism and antisemitism *[not originally part of TOP32]*	To make people aware of current problems with right-wing thoughts and to do education.	20.000 €	
Music and culture festival at the foreststage 'Hardt' *[not originally part of TOP32]*	Create a festival to enlarge Wuppertal's cultural scene with an open-air event and connect to other cultural programms.	50.000 €	

Copyright © EMPATIA Consortium 2016 - 2017

WupperFit – a sportive outdoor park with access to for disabled people *[not originally part of TOP32]*	An accessible and free sports park planed by a school class to enable all people to work out and live healthier.	50.000 €	
Barefootpark in 'Langerfeld' *[not originally part of TOP32]*	Create a barefootpark in an idyllic forest for the citizens and to make Wuppertal more attractive for outdoor-tourism.	25.000 €	
Education program for the old debts fund *[not originally part of TOP32]*	Creation of a fund to handle Wuppertal's high debts and inform the citizens about it.	50.000 €	
Deposit rings to collect bottles with deposit in public areas *[not originally part of TOP32]*	To support poor people collecting deposit bottles and to avoid unpleasant situations for them.	2.500 €	
Path gallery *[not originally part of TOP32]*	Building a gallery at the path and give artists and children the opportunity to paint pictures on it.	20.000 €	
Direction signs for the 'Nordbahn-trasse' *[not originally part of TOP32]*	In order to improve the orientation and giva an overview of the opportunities and entries of the ‚Nordbahntrasse'.	3.750 €	

Copyright © EMPATIA Consortium 2016 - 2017

9.4 Lisbon: Set of rules for Lisboa Ideia

Rules of participation

Introduction

LisBOAideia" is a new tool of Lisbon Municipality (LM) for citizen participation, exclusively online, of consultative character, that will undergo on an experimental basis during the year of 2017.

Recipients

All citizens, of Portuguese or foreign nationality, with 18 years old or more, as long as they are registered in the website www.lisboaparticipa.pt.

Participation

The addressees can submit ideas that are of interest to the city of Lisbon and for the common good of their citizens, to vote and to debate the published ideas, all in the website www.lisboaparticipa.pt and in accordance with the present Norms of Participation.

Conditions for submission

Each idea must have a brief description (maximum 1500 characters), with the possibility to attach images and documents, and respect the following:

a) Provide interest for the city of Lisbon and citizen's common good;
b) To be implemented in the territory of the municipality of Lisbon;
c) Be within the scope of the CML and be classified in one of the following 13 thematic areas:
    i. Culture;
    ii. Education;
    iii. Sport;
    iv. Social Rights (Children, Youth, the Elderly, Equality, Persons with Disabilities);
    v. Green Structure, Environment and Energy;
    vi. Housing and Local Development;
    vii. Road Infrastructure, Mobility and Transport;
    viii. Administrative Modernization;
    ix. Urban Rehabilitation and Public Space;
    x. Urban Hygiene; Security and Civil Protection;

Copyright © EMPATIA Consortium 2016 - 2017

xi. Tourism, Economy and Innovation;
xii. Lifelong learning;

d) Its overall cost of implementation cannot exceed € 50,000 (Fifty thousand euros);
e) Do not contain offensive language;
f) Do not aim at the destruction or replacement of something in operation or already foreseen by Lisbon Municipality;
g) Do not set up complaints, suggestions or opinions about ongoing decisions.

Previous Analysis

All the ideas presented will be previously analysed by the Department of Brand and Communication - Division of Organizational Innovation and Participation, in order to verify if they fulfil the conditions and requirements defined in this document.

Advertising and Marketing

The ideas that fulfil the conditions and the requirements defined in this document will be published in the site www.lisboaparticipa.pt.

Voting and Debate Of Ideas

1. All ideas published on the site www.lisboaparticipa.pt will be available online for debate / comments by the citizens, during a period of 60 days.
2. During the discussion / comment period, recipients may express their agreement or disagreement with the idea, as well as suggest changes or even merging with other published idea (s).
3. The ideas resulting from a merger must always be submitted to the voting and debate process referred to in the preceding paragraphs.
4. After the 60 days, the idea whose balance (between likes and dislikes) is equal to or greater than 100 votes is sent to the councilman responsible for the respective portfolio for knowledge.
5. The CML reserves the right to reject votes that raise suspicions of fraud.

Advisory Character and Non-Deliberative

1. "LisBOAideia" is merely consultative and not deliberative, and does not constitute the positive evaluation of an idea (in terms of number 4 of the title "Voting and Debate Of Ideas") any commitment or linking of implementation of the most voted ideas.
2. Notwithstanding the provisions of the previous paragraph, all ideas evaluated positively in terms of number 4 of the title "Voting and Debate Of Ideas" shall be answered on the position of the CML regarding the possible decision to implement or not to implement the idea.

Omissions

The missing cases will be solved by the Department of Brand and Communication - Division of Organizational Innovation and Participation.

Copyright © EMPATIA Consortium 2016 - 2017

Contacts

Any communications or requests for information should be directed to the Department of Brand and Communication - Division of Organizational Innovation and Participation by electronic mail to: sg.dmc.diop@cm-lisboa.pt.

Review of Participation Rules

Since "LisBOAideia" is an experimental project, the present NOMs of Participation may be reviewed at any time, whenever warranted.

Final dispositions

1. All ideas adapted to the project, as well as the documents attached to them, become the property of the Lisbon Municipality.
2. All ideas submitted presuppose acceptance by the tenderer of the rules set out in this document, as well as in any documents and / or information issued by the City of Lisbon.

Copyright © EMPATIA Consortium 2016 - 2017

9.5 List of features used for pilots

The following is a list of features used in the pilots. A full list of features used also in the other cases of use of EMPATIA's software will be available in D2.4.

		Wuppertal			Lisbon			Ricany			Milan		
Functionality/Feature	**Module**	**Used**	**Required**	**Exclusive**	**Used**	**Required**	**Exclusive**	**Used**	**Required**	**Exclusive**	**Used**	**Required**	**Exclusive**
Auth													
EMPATIA basic auth	EMPATIA	X			X			X			X		
OAuth2 (facebook, Google+)	EMPATIA				X								
SSO	EMPATIA				X	X	X						
Login Levels	EMPATIA	X			X	X							
In-person registration	EMPATIA	X											
User profile (profile, messages, participation)	WUI/EMPATIA	X	X		X	X							
Privacy and Terms (with versions)	WUI/EMPATIA	X			X								
Users XLS and PDF export	EMPATIA	X	X		X			X			X		
Registration stepper	WUI/EMPATIA	X											
Recover account with SMS code	EMPATIA												
CMS													
CMS	EMPATIA	X			X			X			X		
Content Management for static pages	EMPATIA	X			X	X					X		
Content Management - News	EMPATIA	X			X			X			X		
Home Page popup	WUI/EMPATIA				X	X							
FAQ	EMPATIA	X	X	X									
Articles	EMPATIA	X	X	X									
Q&A	EMPATIA	X	X	X									
Splash screen	WUI	X			X						X		
Participation tools													
Public topics list sorting options	WUI/EMPATIA	X			X						X		
CB topics status	WUI/EMPATIA	X			X	X		X					
CB configuration/modification dates	WUI/EMPATIA				X								
CB voting period management	EMPATIA/Notification/Voting				X	X	X						
CB user levels & permissions	EMPATIA	X			X	X							
Topics multiple owners	EMPATIA												
Create topics without registered users	EMPATIA							X	X	X			

Copyright © EMPATIA Consortium 2016 - 2017

CB's	EMPATIA	X		X		X		X		
Custom CB	EMPATIA	X		X						
Ideas	WUI			X						
Proposals	WUI					X				
Projects	WUI							X		
FixMyStreet	WUI									
Public consultations	WUI			X						
Tematic consultations	WUI			X						
Thematic consultation specific notifications	EMPATIA			X	X					
Forum	EMPATIA									
Comments	EMPATIA	X		X						
CB configuration copy	EMPATIA									
CB & posts Flags	EMPATIA	X	X							
Topics XLS and PDF export	EMPATIA	X	X	X		X		X		
Include technical analysis in export	EMPATIA									
Alliances	EMPATIA									
Topics technical review	EMPATIA				X					
Topic draft (status publish)	WUI/EMPATIA									
CB translations management	WUI/EMPATIA	X		X						
CB questionnaires management	WUI/EMPATIA/Questionnaire			X	X					
Create topic on behalf of	WUI/EMPATIA	X	X							
Positive, Neutral and Negative comments	EMPATIA									
Vote										
Likes	Voting	X		X						
Support	Voting	X								
Follow	Voting	X								
Multi Vote	Voting	X		X						
Negative Vote	Voting									
In-Person Vote	Voting	X								
2º Cycle	EMPATIA							X		
SMS vote	Voting									
Paper blind vote (ID card & vote card)	WUI/EMPATIA/Voting	X								
Anonymous vote	Voting	X		X						
Voting receipt	Voting									
Wizards										
Consultation wizard	WUI/EMPATIA			X	X					
Notifications										
E-mail management	Notification	X		X						
SMS management (receive/send)	Notification	X	X							
Platform notifications (users and managers)	WUI/EMPATIA	X		X	X					

Copyright © EMPATIA Consortium 2016 - 2017

| | | |