



Public Participation and Democratic Innovations: Assessing Democratic Institutions and Processes for Deepening and Increased Public Participation in Political Decision-Making

Authors:

Dr. Jan-Hendrik Kamlage
Head of the Research Field Culture of Participation
Institute for the Advanced Studies in the Humanities (KWI)
Germany

Prof. Dr. Patrizia Nanz
Scientific Director
Institute for Advanced Sustainability Studies (IASS)
Germany



Table of Contents

I. Introduction	3
II. Systems and formats of face-to-face participation in political decision-making.....	4
III. Principles, norms and yardsticks for assessing the quality of democratic innovations and participation procedures	6
IV. Outlook and open Question	16
Appendix: Examples of different types of participatory democracy practice.....	20

I. Introduction¹

The last three decades have witnessed a global spreading of a huge variety of democratic experiments and innovations (Smith 2009; problems: Ryfe 2005). Multiple forms of dialogue and deliberation-based participation such as forms of digital participation² nowadays complement democratic governments all over the world (Participedia 2017; Smith/Richards/Gastil 2015). There is a major transformation of democracy going on which is bringing up new and innovative channels for citizens' involvement in politics. Many of these innovations and experiments can be seen as a reaction on the current dissatisfaction, distrust and alienation of people as well as certain shortcomings of contemporary representative government (Held 2006: 84ff.) like bargaining and competition of self-interested political elites and interest groups, lobbyism, populism, clientelism and less reasoning and badly justified public policies (Crouch 2004; Cohen 2009; Council of Europe 2009).

At the same time the repertoire of political participation for individuals is continuously increasing (Theocharis/van Deth 2016), which constitutes a situation of a new complexity in public participation.³ Today, people increasingly engage in conventional and unconventional political actions (Barnes/Kaase). Conventional actions refer to classical modes of political action like voting, petitions and membership in parties, whereas unconventional actions add demonstrations, flash mobs, critical consumption, protest marches⁴ and other forms of (digital) protest, squatting, and civil disobedience.

These remarkable and dynamic changes are expressions of fundamental developments that are driven by an ongoing, underlying social and technological change (Inglehart 1977; Barnes/Kaase 1979). Social change and cultural shifts towards post-materialistic and liberal values boost the willingness of people to participate and engage in democratic processes (Welzel/Inglehart 2005). Kaase (1982), therefore, already claimed in the 1980s, based on survey data, that a "participatory revolution" is on the way. The digitalisation however penetrates more and more people's spheres of life. Subsequently, the internet and new information/communication tools foster the exchange of information, enable mobilisation and offer additional spaces for participation and protest (Emmer/Vowe 2004; Vedel 2006; Garrett 2007).

As a consequence a tremendous transformation of democratic governance and forms and processes of citizen and stakeholder participation in political decision-making is ongoing (Fung 2015). These innovations are occurring worldwide and across a wide variety of policy fields and problems (Cities of Change 2015). Moreover, ever more institutional changes in political systems, systems of deliberation and participation develop (Mansbridge et al 2012;

¹ The authors would like to thank Sebastian Sponheuer for his active assistance.

² Within democratic theory most scholars differentiate between participative and deliberative democracy. The former emphasizes the direct involvement of citizens in a variety of policy fields and problems. Participation is a catch-all term to encompass a huge variety of means of individuals and groups in participating in collective decision-making and public choices (cf. Tocqueville 1835, 1840; Rousseau 1762; Barber 1984; Cohen 2007). Deliberative democrats however emphasize strongly the process and conditions of communication among equals as part of public reasoning and common opinion and will formation (cf. Habermas 1992, Cohen 2007). In our perspective both views are important and need to be integrated. We focus on structured democratic innovations, so called mini publics, dialogue-based or deliberative processes and not individual forms of participation (Kamlage & Nanz 2017).

³ According to Kaase (2003), the concept of political participation of citizens encompasses all those actions and types of behavior in which citizens engage of their volition with the aim of influencing the political and administrative systems and decisions at various political levels.

⁴ Moreover, many forms of action cannot be classified easily because the individual motives of participation are not clear cut between non-political and political participation. Obviously, this is the case for urban gardening and critical consumerism.

Riedy/Kent 2017) complementing and influencing classical bodies of representative democracy such as parliaments, administrations and parties (Definition: European Center for Not-for-profit Law 2016, pp.3f). All these systems, approaches, and methods are designed and implemented to “democratise the democracy” (Offe 2011).

The starting point and locus of transformation is the local political level (Parkinson 2007). Cities invent, prove, and promote democratic innovations and experiments to deepen and increase public participation and are more and more integrating these procedures within their polity. In some places institutional frameworks for the administration and implementation of participatory means were developed which regulate the fundamental relation between citizenry, administration and politicians for enabling reliable and high quality deliberation and participation.

In this paper we address significant questions regarding the ongoing change in established democracies: What are the recent developments within the field of participative democratic governance? How can we reasonably categorise these forms of structured participation in democratic decision-making? Which guiding normative and practical criteria are available to shape and assess these public participation processes? Which empirical standards could be used to meaningfully assess these processes? Finally, what are the desiderata, challenges, and open questions with respect to the outlined topic?

In doing so, we focus on face-to-face and digital processes of dialogue-based political participation such as institutional systems which provide and guide these participatory processes. We limit the scope of the paper to structured processes and innovations which are related to political decision-making within a polity. Thus, we focus on governmentally fostered processes of information, consultation, and co-governance, which contribute to an increased quality of public opinion and will-formation in administration and legislative bodies such as local parliaments (cf. Geissel 2008). These processes are implemented at different stage of the policy circle: from agenda setting, decision-making to the implementation and evaluation of policies (cf. Jann/Wegrich 2007).

II. Systems and formats of face-to-face participation in political decision-making

There is an incredible diversity of different methods and formats of innovative public participation in the world (Overview see Participedia; Smith 2009; Nanz/Fritsche 2012; Alcántara et al 2014). As mentioned earlier we are looking at dialogue-based processes of citizen and stakeholder participation. These participation procedures have certain characteristics such as (digital) face-to-face communication among the participants, the support of competent facilitators, and regulated access of participants and integrated experts/stakeholders whether necessary or not. Moreover, the deliberations focus on facilitating an exchange of ideas and arguments with the aim of arriving at a consensus or at least at an accepted dissent (Kamlage/Nanz 2017). Due to the diversity of formats and methods there are only a few canonical forms of participation in democratic governance available. The institutional design of dialogue-based participation procedures is highly dependent on their purpose, culture, as well as on their resources and other surrounding conditions (Dietz/Stern 2008).

Public participation has the potential to contribute to fostering three major democratic values: legitimacy, justice and effectiveness of government decision-making (Fung 2015: 2;

Beierle 1999; for a detailed overview of empirical impacts see Delli Carpini et al. 2004).⁵ Whether these potentials can be realised or not depends strongly on the specific contexts and professional design and implementation of participation processes. When we look at the size and diversity of dialogue-based formats of participation, it can be said that they range from forms of direct face-to-face participation i.e. citizen assemblies, public hearings, wisdom councils⁶, town-hall meetings, planning cells, and deliberative polls to forms of e-participation, i.e. discussion forums, online consultation, e-petitions, online citizen juries, e-referenda and mixed forms combing both measures of face-to-face and online participation (Gastil et al 2008; OECD 2003).

The table 1: Spectrum of information and public participation procedures today



The y-axis of this graph shows the amount of participants that participatory methods and formats (from 10 people to several thousands) can include, whereas the x-axis displays the intensity of involvement (from just information, consultation to co- and self-governance) (cf. OECD 2003:32). Between these two axes there are different methods, formats, and organisational types mapped which are only a cursory selection of examples and not a comprehensive overview. In addition we included also types of self-organized participation, which are clearly dialogue-based but miss the direct link to political decision-making in a polity.

Against the backdrop of worldwide spreading of these and other methods and formats of participation, we witnessed a fundamental transformation of local democracy in some European states, furthermore also in North and parts of South America. Recent developments in Germany and Austria for instance show that new institutional arrangements are coming up mixing different forms of political representation. Thus, systems of compounded representation (Benz 2003) developed on the local political level combining instruments of direct democracy (i.e. referenda, plebiscites), representative

⁵ Legitimacy in this normative understanding focuses two basic dimensions. First, legitimacy is understood as the capacity of democratic institutions and decision-making processes to be recognized as fair and just. These procedures and institutions therefore should be shaped and designed in line with commonly accepted values and norms of justice and fairness. Second, the citizen can expect from these institutions and procedures that they generate justifiable outcomes in a reasonable quality to solve common problems. Acceptance, in contrast, encompasses individual empirical motives of people to accept and tolerate political decisions, institutions and actors. The reasons for accepting or tolerating something are multiple, ranging from corrosion and angst for sanctions to persuasion. Legitimacy, then, can be seen as one source among others to generate acceptance.

⁶ In Austria and Germany this format is called Bürgerrinnenräte.

government (administrations, elected politicians in parliaments) such as participative methods and formats (Bertelsmann Stiftung 2014).

Next to the already existing and differentiated promotion of civic engagement and institutions of representative democracy, new institutional frameworks and processes of well-structured public participation procedures are emerging which are to be integrated into municipal institutional contexts.

These recently emerging governmental frameworks consist of different elements: specific catalogues of quality criteria and guidelines, evaluation management tools, and administrative provisions such as ombudsmen/ administrative bodies in charge of the administration and implementation of participation procedures at the local level.⁷ Today, these systems of compounded representation offer a framework and guidance for implementing formats and types of face-to-face participation for citizens, administration and politicians within the triangle of representative, direct and participative democracy. Due to this task, they provide a legal and formalised basis for implementing these procedures, regulating important questions of whom is able to initialise these procedures, under which conditions and who has finally the authority to decide. Moreover, local actors developed norms and guidance for the design and quality of these processes.

In a nutshell, there is a dynamic and deep change going on in contemporary democracy grounded in developments on the local political level. Unfortunately, we do not know enough about the different elements, the institutional designs, the distribution and impacts of these systems of compounded representation in the European countries.

III. Principles, norms and yardsticks for assessing the quality of democratic innovations and participation procedures

A large body of scientific literature in social science and governmental documents which deals with abstract norms and principles for assessing and judging public deliberation and participation (for example Dahl 1985; Habermas 1992; Gutman/Thompson 1998; Rowe/Frewer 2000; European Commission 2001, Nanz/Steffek 2005; more recently Council of Europe 2009, Newton/Geissel 2012; Goldschmidt 2013; Committee of Ministers 2017).

However, the assessment of whether face-to-face participation processes are more or less participative, successful or of good quality is still complicated due to a missing common understanding of success, failure and of the quality of procedures. The term 'quality' especially refers to preconditions and potentials of public participation processes and systems whereas success and failure address the output and impact. One of the main reasons for this unsatisfying situation is the diversity of different objectives, methods, and contexts of means of public participation. This diversity does not allow an easy and coherent judgement.⁸ In the last two decades however the scientific debate turned its focus towards the application of these norms and principles to democratic practice. Thus, the theory developed beyond a purely 'theoretical statements' phase into a more pragmatic 'working theory' phase (Chambers 2003: 307). The empirical turn of deliberative democracy opened

⁷ In Germany for instance the Network Citizen Participation counts more than 50 cities which developed such guidelines (cf. Netzwerk Bürgerbeteiligung 2017).

⁸ The famous "ladder of participation" by Arnstein (Arnstein 1969) for instance argues from a normative perspective that the higher the level of involvement the more valuable it is.

up the debate for stronger empirically grounded norms and principles that are underpinned by empirical considerations in the light of feasibility and practical concerns.

The level of abstraction of the norms and the related theory determines not only the analytical scope but also the empirical application of these yardsticks (Kamlage 2012: 37ff.). Generally we can say: the more abstract and universal they are, the better it is for a comparison between larger samples of cases. On the other hand, the more abstract and universalistic the catalogue of criteria is, the more individual qualities and specific contexts of cases cannot be grasped and assessed. In contrast, the more case specific these norms are, the less comparable and applicable they are for larger samples and comparisons (Kamlage 2012).

The objective and scope of our paper is a comparison of certain types of cases i.e. processes of structured participation (face-to-face and online participation). Moreover, we also look closely at general frameworks to foster and implement these participation procedures. Therefore, we need a rather universalistic sample of "common sense"⁹ criteria for assessing the multitude of empirical examples regarding these very different categories. The sample should be minimal to keep the assessment simple, justifiable, and traceable but still open enough for variations in cases. But these master principles and norms are still too abstract to offer useful guidance for the assessment and design of single empirical innovations, public participation procedures and frameworks (Fung 2006: 66, Neblo 2007).

Therefore, a differentiation between abstract principles and norms on the one hand and empirical standards on the other hand is necessary (Thompson 2008). In contrast to abstract principles and norms, empirical standards are adapted to the specific form, purpose, context/case conditions and environment of the public participation procedures. In the next section we present a 'common sense' understanding of normative and pragmatic principles and claims for assessing public participation procedures.

1. Overview of principles and norms of dialogue-based processes

Within the literature of deliberative democratic theory there is long and vivid debate on principles and norms that should safeguard legitimacy, on the one hand, and on the proper results of democratic processes on the other. Most of these principles and norms are developed within and relate to normative theories, thus building a fixed standard of assessing democratic processes (Abromeit 2004). As expressions of normative theories, these norms and principles portray idealised preconditions and procedures of dialogue and deliberation in public debate and dialogue-based processes. These procedural norms and principles, for instance access of all potentially affected voices (inclusion), equality, trust and respect among participants—such as responsiveness to the arguments and concerns at stake—represent rather universalistic norms fitting generally all forms of public deliberation (Dahl 1985; Habermas 1992; Renn et al 1995, Gutman/Thompson 1998; Nanz/Steffek 2005; Newton/Geissel 2012; Goldschmidt 2013).

⁹ Obviously, deliberative democracy, which is the main source of theories for developing catalogues of criteria and norms, offer different theory approaches with some overarching core values. However, these theories disagree as well within significant aspects of dialog and deliberation. These aspects are formal vs. substantial equality of participants, consensual vs. aggregative decision-making in participative processes, rational vs. plural forms of communication and common good vs individual preferences (see Overview Neblo 2007; Kamlage 2012: 47).

But if we look at these different norms and values then we can analytically differentiate between preconditions for, and potentials of public deliberation and dialogue (Sanders 2012). A precondition is for instance the transparency of objectives, process and results of a dialogue-based format for both the participants and the general public. The equal access and inclusion of rule-affected people and voices would be another precondition for the successful exchange of different views and arguments within the process of reasoning. In contrast to this, the open exchange of arguments and views aiming at bringing in the “force of the better argument” (Habermas 1992) and fostering public reasoning reflects the theoretical potentials of dialogue and deliberation. The quality of deliberations in turn depends on social requirements such as mutual respect, reciprocity and trust among participants and organizers, which supports the establishment of a constructive atmosphere and open exchange of arguments (Gutman/Thompson 1996). Nevertheless, these norms have to be complemented and underpinned by practical concerns and insights if they are to be relevant for assessing concrete empirical institutions (example see Rowe/Fewer 2000).

The first task is then to select a reasonable catalogue among the universe of different proposals and to underpin these norms and criteria with more empirical and practical considerations from empirical work. The first column of table 2 and 3 represents our selection of common sense norms and principles of dialogue-based institutions. Afterwards we made a first step to relate these rather abstract norms and principles to our empirical phenomena of (digital) dialogue-based processes of participation and the obstacles and shortcomings which ought to be addressed by organisers and initiators. Therefore, we develop a first sketch of empirical standards in terms of relevant questions with regard to high quality processes and practical obstacles and shortcomings. Due to the fact that standards are highly specific and generic they need to be further adapted to the respective context of individual cases.

1.1. Yardsticks for assessing structured dialogue-based procedures

Dialogue-based democratic innovations suffer from different well known and described shortcomings and deficits, which have to be particularly addressed by organisers and designers of such processes (Overview see Parkinson 2006). The empirical standards and guidelines in table 2 express and address these obstacles and shortcomings. One major deficit is clearly a lack of publicity, which refers to the democratic ideal that collective binding decisions and public choices have to be transmitted into and discussed within the realm of the general public. Micro deliberations in dialogue-based processes have the disadvantage of the insider/outsider problem in contrast to mass deliberation within the general public. The participants inside the process are well informed and part of the deliberative process whereas outsiders usually do not know what is happening inside the participation process. Certainly, there are just a small number of people included within these processes preparing collective binding decisions for the whole demos.

A second shortcoming refers to the inclusion of all rule-affected people and voices. We all know that most participation processes are dominated by highly educated middle-class people with time and money. Unequal representation therefore is one of the major obstacles for the legitimacy and the recognition of participation procedures as fair and just. Due to this, it is very important that organizers and designers search and find proper instruments to include heterogeneous groups of participants through targeted recruitment. Ideally, the group of participants represents the demos in relevant characteristics such as gender, age, economic status, migration background and particular circumstances of life (examples are single parents, unemployed people).

Finally, a lot of dialogue-based procedures suffer from the fact that these means have been used instrumentally by politicians and administrators to get public support and acceptance for their policy decisions and drafts. In doing so, initiators tend to involve the public too late (end of pipe) and not at an early stage of the policy process (Rowe/Frewer 2000:14). As a consequence, many processes fail because of limited room for manoeuvre and late involvement of rule-affected people. Participants cannot voice their views and arguments in a way that adequately influences the results. Such abuses of power harm the general acceptance of participation and deliberation.

Table 2: Principles, norms, empirical standards and operationalisation of dialogue-based face-to-face processes

Principles/criteria	Standards of evaluation	Operationalisation of guidelines
<p>Inclusion and equal access</p> <p>All potentially rule-affected people should be included and have access to the processes of participation and relevant resources</p>	<p>To what extent are the relevant and rule-affected people and stakeholders represented in the processes?</p> <p>Which means of targeted recruitment of participants have been applied to safeguard the inclusion of all</p>	<p>How inclusive are the public participation procedures?</p> <ul style="list-style-type: none"> • people with low income • unemployed • single parents • people with disabilities • geographical distribution <p>Did the organisers use incentives to include and motivate people from different backgrounds to</p>

<p>(Knight/Johnson 1997/ Habermas 1992: 370)</p>	<p>relevant and underprivileged/marginalised voices?</p> <p>To what extent do these voices and people have equal rights and access to deliberation and were included within the process of deliberation through facilitators or other measurers?</p>	<p>participate?</p> <ul style="list-style-type: none"> • Participation as educational leave • Allowance for time and resources <p>Which procedures of recruiting were chosen:</p> <ul style="list-style-type: none"> • open door policy (which leads to unequal representation) • random selection or direct recruitment via canvassing and street work • activating channels of organised local interests (i.e. churches, associations, activist groups etc.)? <p>Do the organisers guarantee equal rights of participation for all people and voices in the process? Do they have:</p> <ul style="list-style-type: none"> • equal rights to speak and add proposals • easy language use • allowances for languages of migrants • location (easy to access and acceptable for different groups) <p>To what extent do the organisers provide instruments/methods to better include all voices in the process of deliberation?</p> <ul style="list-style-type: none"> • Active facilitation balancing the voices at the meeting • Implementing communication methods (group work, dynamic facilitation, world cafe setting etc.) • Using and supporting multiple forms of expression (rational reasoning, painting, playing, and building examples)
<p>Transparancy (internal)</p> <p>Every rule-affected people should have the equal chance to be fully informed about the objectives, processes and results of public deliberations (Habermas 1992)</p>	<p>To what extent do the participants of public participation procedures have access to relevant and professionally prepared information in the process of participation?</p> <p>To what extent do the organisers provide information at an early stage, during and after the process about significant information</p>	<ul style="list-style-type: none"> • Do the organisers present at the beginning set out objectives, a reasonable plan for the process and anticipated results • Do the organisers proactively use different and integrated channels to provide relevant information to the participants such as background documents, talks of experts/stakeholders and information required at the meetings • Do the organisers prepare a comprehensive documentation of the process • Comprehensive and easy to understand information material (homepage, flyer, handouts, documentations)

	at stake?	<ul style="list-style-type: none"> • Integration of expert and stakeholder knowledge with visual support
<p>Publicity</p> <p>The objectives, processes, and results of public participation processes should be transmitted and justified vis-a-vis the general public (Young 2001; Gutmann/Thompson 2004)</p>	<p>To what extent have the process, objectives and results been communicated towards the general public and relevant target groups?</p> <p>To what extent have appropriate measures been implemented to inform and transmit the information at stake?</p>	<ul style="list-style-type: none"> • Do the organisers have a strategy informing the general public in which they define target groups and appropriate means to achieve these objectives? • Do they make use of different measures to actively inform the general public or target groups like homepage, television, social media, newspapers, blogs, newsletter, mailing lists etc.? • Do the organisers cooperate with local media actors or develop public meetings transmitting objectives, process and results? • Do the organisers use local multipliers such as organised interests, non-governmental organisations, social movement organisation, churches, and administration to inform the public/target groups?
<p>Responsiveness and quality of communication</p> <p>(Steffek/Nanz 2007, Rowe/Frewer 2000)</p>	<p>To what extent has there been room for manoeuvre for the impact of arguments and views of participants and stakeholders?</p> <p>To what extent have the contributions of participants the chance to influence the agenda and final results of deliberations?</p> <p>What has been done with the results of participation?</p>	<ul style="list-style-type: none"> • Do the organisers present a clear mandate for the process? • Is it clear from the beginning what will happen with the results after the participation process? • Is the management and organisation of the process independent and unbiased? • Is it possible for participants to influence the agenda of the process and single meetings? • Do the organisers change the aims in the course of the process? • Do the organisers/other actors try actively to influence the agenda and discussions of the meetings? • Do the facilitators respect and promote dissenting opinions within deliberations? • Do the facilitators support the building of trust and respect among participants?
<p>Effectiveness</p> <p>Problem-solving and achieving goals</p> <p>(Goldschmidt 2013, Geissel 2008)</p>	<p>Coherent and justified design and selection of objectives, methods and context.</p> <p>To what extent has the participation procedure had an impact on the problems</p>	<ul style="list-style-type: none"> • Do the initiators/organisers have a clear objective and idea, integrating different methods and formats to achieve the objectives? • Do the participation procedures leave enough room for manoeuvre for participants to influence the policy at stake?

	and issues at stake?	<ul style="list-style-type: none"> Do the methods and formats fit to the objectives and do they have enough resources (time, money)? Do the organisers evaluate the process and its output together with the participants?
<p>Efficiency</p> <p>A reasonable relation between the limited resources and the means to achieve the objectives</p> <p>(Rowe/Frewer 2000)</p>	<p>Do the planned resources fit the respective objectives of participation?</p> <p>To what extent are the costs of the process justifiable compared with other alternative methods?</p>	<ul style="list-style-type: none"> Do the organisers provide enough time and resources? Do they have straightforward and balanced moderation? Are they flexible and is there well done planning of the process? Do they provide an overview of costs and benefits of the method?

1.2. Yardsticks for assessing online dialogue-based participation procedures

Dialogue-based democratic innovations suffer from different well known and described shortcomings and deficits. The same is true for different forms online participation. First of all, participation via the internet in dialogue-based processes suffers from a general lack of inclusion (Escher 2010). Again, well educated people with time, high income and certain resources and skills dominate these processes together with highly interested and connected people (Escher 2010, van Dijk 2004, 2006). The challenge here is that the access to these processes cannot be regulated effectively and that differences in skills to apply digital media are very hard to counterbalance. There are no effective instruments and technologies available to properly regulate access in the way that it maintains inclusion yet.

A second major obstacle refers to the question of safeguarding high quality deliberation in online forums. The exchange of arguments and views is restricted and negatively influenced by the technology. The anonymous situation in online forums limits the building of important social requirements like trust, respect, and reciprocity. Balancing instruments like nonpartisan moderations are expensive and hard to implement. As a consequence, in the deliberation conflicts and abuses occur and hamper the open flow of arguments and different views. A reduced deliberation quality together with less inclusion influences the results and impacts of online participation negatively.

Table 3: Principles, norms, empirical standards and operationalisation of dialogue-based online processes

Principles/criteria	Standards of evaluation	Operationalisation of guidelines
<p>Inclusion and equal access</p> <p>All potentially rule-affected people should be included and have access to the</p>	<p>To what extent are the relevant and rule-affected people and stakeholders represented in the processes?</p> <p>Which means of targeted</p>	<p>How inclusive are the public participation procedures?</p> <ul style="list-style-type: none"> people with low income unemployed single parents people with disabilities

<p>processes of participation and relevant resources (Knight & Johnson 1997/ Habermas 1992: 370)</p>	<p>recruitment of participants have been applied to safeguard the inclusion of all relevant and underprivileged/marginalised voices?</p> <p>To what extent do these voices and people have equal rights and access to deliberation and were included within the process of deliberation through facilitators or other measurers?</p>	<p>Did the organisers have low barriers to include and motivate people from different backgrounds to participate?</p> <ul style="list-style-type: none"> • Subscriptions and accounts • Usability of tools • Allowance for time and resources <p>Do the organisers guarantee equal rights of participation for all people and voices in the process? Do they have:</p> <ul style="list-style-type: none"> • equal rights to speak and add proposals • easy language use • allowances for languages of migrants • means against specific barriers the internet provides in terms of skills and lack of internet access <p>To what extent do the organisers provide instruments/methods to better include all voices in the process of deliberation?</p> <ul style="list-style-type: none"> • Active facilitation balancing the voices in real time • Implementing communication methods to display complex emotions (Emojies etc.) • Using and supporting multiple forms of expression (rational reasoning, gaming)
<p>Transparency (internal)</p> <p>Every rule-affected people should have the equal chance to be fully informed about the objectives, processes and results of public deliberations (Habermas 1992)</p>	<p>To what extent do the participants of online participation have access to relevant and professionally prepared information in the process of participation?</p> <p>To what extent do the organisers provide information at an early stage, during and after the process about significant information at stake?</p>	<ul style="list-style-type: none"> • Do the organisers present at the beginning set out objectives, a reasonable plan for the process and anticipated results • Do the organisers proactively use different and integrated channels to provide relevant information to the participants such as background documents, real time talks or movies of experts/stakeholders and information required at the consultation • Usable and comprehensive, easy to understand information material • Integration of expert and stakeholder in online deliberation via short movies or real time
<p>Publicity</p> <p>The objectives, processes, and results of public participation processes should be</p>	<p>To what extent have the process, objectives and results been communicated towards the general public and relevant target groups?</p>	<ul style="list-style-type: none"> • Do the organisers have a strategy informing the general public in which they define target groups and appropriate means to achieve these objectives? • Do they make use of different measures to actively inform the general public or target

<p>transmitted and justified vis-a-vis the general public (Young 2001; Gutmann/Thompson 2004:3)</p>	<p>To what extent have appropriate measures been implemented to inform and transmit the information at stake?</p>	<p>groups like homage, television, social media, newspapers, blogs, newsletter, mailing lists etc.?</p> <ul style="list-style-type: none"> • Do the organisers cooperate with local media actors or develop public meetings transmitting objectives, process and results? • Do the organisers use multipliers and networks to inform the public/target groups?
<p>Responsiveness and quality of communication (Steffek/Nanz 2007, Rowe/Frewer 2000)</p>	<p>To what extent has there been room for manoeuvre for the impact of arguments and views of participants and stakeholders?</p> <p>To what extent have the contributions of participants the chance to influence the agenda and final results of deliberations?</p> <p>What has been done with the results of participation?</p>	<ul style="list-style-type: none"> • Do the organisers present a clear mandate for the process? • Is it clear from the beginning what will happen with the results after the online participation process? • Is the management and organisation of the process independent and unbiased? • Is it possible for participants to influence the agenda of the process and events? • Do the organisers change the aims in the course of the process? • Do the organisers/other actors try actively to influence the agenda and discussions of the meetings? • Do the facilitators respect and promote dissenting opinions within deliberations? • Do the facilitators support the building of trust and respect among participants? • Do they have enough capacity to react and answer each contribution?
<p>Effectiveness Problem-solving capacity, quality of outcomes and achieving goals (Goldschmidt 2013, Geissel 2008)</p>	<p>To what extent we have a coherent and justified design and selection of objectives, methods and context.</p> <p>To what extent has the participation procedure had an impact on the problems and issues at stake?</p>	<ul style="list-style-type: none"> • Do the initiators/organizers have a clear objective and idea, integrating different methods and formats to achieve the objectives? • Do the participation procedures leave enough room for manoeuvre for participants to influence the policy at stake? • Do the methods and formats fit to the objectives and do they have enough resources (time, money)? • Do the organisers evaluate the process and its output together with the participants?
<p>Efficiency A reasonable relation between limited resources and means to achieve the</p>	<p>Do the planned resources fit the respective objectives of participation?</p>	<ul style="list-style-type: none"> • Do the organisers have straightforward and balanced moderation? • Is there well done planning of the process? • Do the organisers and administrators have enough capacity and resources to react and replay on each contribution of participants?

objectives		
------------	--	--

1.3. Yardsticks for assessing institutional systems of participation

The scientific debate about institutional systems of deliberation and participation has just started. In the social sciences we have a very first sketch of single elements and processes of these local governance systems, which is neither sufficient for a comprehensive description and systematic overview nor for other more analytical endeavors like developing comparable standards for assessment and evaluation. More specifically, we need more qualitative and quantitative studies, which provide us with basic orientations in this field of study. Then, additional case studies ('thick' description) and studies which provide us with a more general overview (cross-national distribution of cases, variations in institutional design according to different cultures and legal systems) would be essential. Subsequently, we could start to analyse the impact of these fundamental changes on the processes, outputs and impacts on democratic governments.

Obviously, our catalogue of norms and criteria could be applied to the whole systems and/or single elements of these systems as well. Due to missing empirical foundations and underpinnings, comparable standards and guidelines are not available now. In contrast to structured dialogue-based procedures the variations of institutional solutions and practices are higher. Empirically, on the local political level there are:

1. guidelines and quality criteria for implementing participative instruments and formats,
2. digital transparency tools informing the local people about future policies and whether public participation is planned or not,
3. direct democratic tools to initialise participative processes,
4. evaluation management tools assessing the quality of applied methods,
5. administrative provisions regulating and formalizing the use of participative methods,
6. administrative bodies/ombudsmen in charge of administrating and implementation participation procedures at the local level.¹⁰

Against the backdrop of these changes on the local political level, there are as well some pioneering regions which started to develop institutional solutions and practises, examples can be found among others in Austria, Germany and Italy (cf. Büro für Zukunftsfragen Voralberg, Lewanski 2013; Staatsministerin für Zivilgesellschaft und Bürgerbeteiligung Baden-Württemberg 2017).

We can conclude that we witness a fundamental transformation of local governance arrangements, which need to be better understood and critically accompanied by social scientists and other disciplines.

¹⁰ In Germany for instance the Network Citizen Participation counts more than 50 cities which developed such guidelines (cf. Netzwerk Bürgerbeteiligung 2017).

IV. Outlook and open Question

There is large body of academic literature dealing with general principles and abstract norms for public participation procedures and institutions in the world. These norms and principles allow us to assess democratic innovations, public participation procedures and even institutional systems of participation. Unfortunately, the multitude of influential factors and variances, such as different preconditions of the single cases, offer a limited scope for endeavours of standardized and comparable assessments. The state of the art in the field teaches us that the academic debate about the assessment of face-to-face, e-participation and systems of participation and deliberation is both rather unconnected and unequally developed. There are huge inequalities in the state of the art between these three research objects. Obviously, desiderata can be found with regard to empirical standards and practical concerns in the field of systems and online deliberation. In a nutshell, the state of the art offers neither coherent nor consistent and overarching standards for the assessment of the three categories at hand.

Due to the fact that there is now coherent set of standards, we propose an alternative strategy for assessing and judging democratic innovations and structured public participation procedures. In a first step a screening of the cases at hand could be done on the basis of the general norms and principles. These norms and principles would structure an open questionnaire which the organisers/initiators have to answer. In doing so, the general principles and norms serve as basic orientation and guideline for the assessment of the respective cases. In a second selection round an in depth assessment would follow. A review based on a manual with more specific questions and empirical specifications would guide the assessment of cases. Due to missing empirical foundations and underpinnings with regard to systems of participation an empirical pilot study would be necessary.

We have argued here for more cross-national research, covering recent developments in democratic governance, mapping and understanding the wide range of different processes and systems of public participation coming up, dealing with the huge differences in legal systems, contexts, and cultures. Moreover, we argue for addressing the question of how these developments and changes are influencing the performance of democratic institutions now and in the future.

References:

- Alcántara, Sophia/ Kuhn, Rainer/ Renn, Ortwin/ Bach, Nicolas/ Böhm, Birgit/ Dienel, Hans-Liudger/ Ullrich, Peter/ Schröder, Carolin/ Walk, Heike (2014). *DELIKAT – Fachdialoge Deliberative Demokratie: Analyse Partizipativer Verfahren für den Transformationsprozess (Environmental Research Plan of Bundesministeriums für Umwelt, Naturschutz, Bau und Reaktorsicherheit, Texte 31/2014)*, Dessau-Roßlau, available at: https://www.umweltbundesamt.de/sites/default/files/medien/378/publikationen/texte_31_2014_delikat-fachdialoge_deliberative_demokratie.pdf.
- Abromeit, Heidrun (2004). Die Messbarkeit von Demokratie: Zur Relevanz des Kontextes, in *Politische Vierteljahresschrift* 45 (1), pp. 73-93.
- Arnstein, Sherry R. (1969). A Ladder of Citizen Participation, in *Journal of the American Planning Association*, 35 (4), 216-224.
- Barber, Benjamin R. (1984). *Strong Democracy: Participatory Politics for a New Age*, Berkeley, CA: University of California Press.
- Barnes, Samuel/ Kaase, Max (1979). *Political Action. Mass Participation in Five Western Democracies*. Beverly Hills/London: Sage Publications.
- Beierle, Thomas C. (1999). Using Social Goals to Evaluate Public Participation in Environmental Decisions, in *Review of Policy Research* 16 (3/4), pp. 75-103.
- Benz, Arthur (2003). Compounded Representation in EU Multi-Level Governance, in Beate Kohler-Koch (ed.), *Linking EU and National Governance*, Oxford: University Press, pp. 82-110.
- Bertelsmann Stiftung (2014). *Staatsministerium Baden-Württemberg, Partizipation im Wandel. Unsere Demokratie zwischen Wählen, Mitmachen und Entscheiden*, Gütersloh: Verlag Bertelsmann Stiftung.
- Büro für Zukunftsfragen (2017), available at: <https://www.vorarlberg.at/zukunft>
- Chambers, Simone (2003). Deliberative Democracy Theory, in *Annu. Rev. Polit. Science* 6, pp. 307-326.
- Citis of Change* (2015), Poznan, available at: https://www.daugavpils.lv/files/components/main_content/files/Cooperation%20of%20cities%20in%20the%20field%20of%20development_2015.pdf.
- Cohen, Joshua (2007). Deliberative Democracy, in Shawn W. Rosenberg (ed.), *Deliberation, Participation and Democracy. Can the People Govern?* London: Palgrave Macmillan, pp. 219-236.
- Cohen, Joshua (2009). Reflections on Deliberative Democracy, in Thomas Christiano and Philip Christman (eds.), *Contemporary Debates in Political Philosophy*, Hoboken, NJ: Wiley-Blackwell, pp. 17-247.
- Committee of Ministers (2017). *Guidelines for Civil Participation in Political Decision Making*, CM(2017)83-final, available at: https://search.coe.int/cm/Pages/result_details.aspx?ObjectId=09000016807509dd

- Council of Europe (2009). *Code of good practice for civil participation in the decision-making process*, available at: <https://rm.coe.int/16802eed5c>.
- Crouch, Colin (2004). *Post-Democracy. Themes for the 21st Century*, Malden, MA: Polity.
- Dahl, Robert A. (1985). *A Preface to Economic Democracy*, Cambridge: Polity Press.
- Delli Carpini, Michael X./ Cook, Fay L./ Jacobs, Lawrence R. (2004). Public Deliberations, Discursive Participation and Citizen Engagement: A Review of the Empirical Literature, in *Annu. Rev. Polit. Sci.* 7 (1), pp. 315-344.
- Dietz, Thomas/ Stern, Paul C. (eds.) (2008). *Public Participation in Environmental Assessment and Decision Making*, Washington, DC: The National Academies Press.
- Emmer, Martin/ Vowe, Gerhard (2004). Mobilisierung durch das Internet? Ergebnisse einer empirischen Längsschnittuntersuchung zum Einfluss des Internets auf die politische Kommunikation der Bürger, in *Politische Vierteljahresschrift* 45, pp. 191-212.
- Emmer, Martin/ Wollning, Jens (2010). Online-Kommunikation und politische Öffentlichkeit, in, Wolfgang Schweiger and Klaus Beck (eds.), *Handbuch Online-Kommunikation*. Wiesbaden: VS Verlag für Sozialwissenschaften, 36-58.
- Escher, Tobias (2010). Wi(e)der die „üblichen Verdächtigen“? Politische Beteiligung via Internet, in Martin Emmer, Markus Seifert and Jens Wolling (eds.), *Politik 2.0?*, Baden-Baden: Nomos, pp. 131-151.
- European Center for Not-for-profit Law (2016). *Civil Participation in Decision Making Processes. An Overview of Standards and Practices in Council of Europe Member States*, Strasbourg.
- Fishkin, James S. (2009). *When the People Speak*. Oxford: Oxford University Press.
- Fung, Archon (2003). Survey Article: Recipes for Public Spheres: Eight Institutional Design Choices and Their Consequences, in *The Journal of Political Philosophy* 11 (3), pp. 338-367.
- Fung, Archon (2006). Varieties of Participation in Complex Governance, in *Public Administration Review*, pp. 66-75.
- Fung, Archon (2015). Putting the Public Back into Governance: The Challenges of Citizen Participation and Its Future, in *Public Admin. Rev.* 75, pp. 513-522. doi:10.1111/puar.12361.
- Garret, R. Kelly (2006). Protest in an Information Society: a review of literature on social movements and new ICTs, in *Information, Communication and Society* 9 (2), pp. 202-224.
- Gastil, John, Black, Laura, Kara Moscovitz (2008). Ideology, Attitude Change, and Deliberation in Small Face-to-Face Groups, in *Political Communication* 25 (1), pp 23-46.
- Geissel, Brigitte (2008). Wozu Demokratisierung der Demokratie? Kriterien zur Bewertung partizipativer Arrangements, in Angelika Vetter (ed.), *Lokale Bürgerbeteiligung*, Wiesbaden: Springer VS, pp. 29-49.
- Goldschmidt, Rüdiger (2013). Entwicklung eines Kriteriensystems zur Evaluation von Dialog- und Beteiligungsverfahren. *Eine konzeptionelle Ausarbeitung der Metakriterien Kompetenzentwicklung, Fairness, Legitimität, Transparenz, Effizienz und Effektivität*, Diss., Stuttgart: Stuttgart Universitätsverlag.

- Gutmann, Amy/ Thompson, Dennis (1996). *Democracy and Disagreement*, Cambridge: Harvard University Press.
- Habermas (1992). *Faktizität und Geltung. Beiträge zur Diskurstheorie des Rechts und des demokratischen Rechtsstaates*, Frankfurt a.M.: Suhrkamp.
- Held, David (2006). *Models of Democracy*, Cambridge: Polity Press.
- Inglehart, Ronald (1977). *The Silent Revolution. Changing Values and Political Styles Among Western Publics*, Princeton, NJ: Princeton University Press.
- Inglehart, Ronald/ Welzel, Christian (2005). *Modernization, Cultural Change, and Democracy: The Human Development Sequence*, Cambridge: Cambridge University Press.
- Jann, Werner/ Wegrich, Kai (2007). Theories of the Policy Cycle, in F. Fischer, G.J. Miller, M.S. Sidney (eds), *Handbook of Public Policy Analysis Theory, Politics, and Methods*, New York CRC Press, pp. 43-62
- Kaase, Max (1982). Partizipatorische Revolution – Ende der Parteien?, Joachim Raschke (ed.), *Bürger und Parteien. Ansichten und Analysen einer schwierigen Beziehung*, Opladen: Westdeutscher Verlag, pp 173-187.
- Kaase, Max (2003). Politische Beteiligung/Politische Partizipation, in U. Andersen and W. Woyke (eds.), *Handwörterbuch des politischen Systems der Bundesrepublik Deutschland*, Opladen: Leske & Budrich, pp. 495–500.
- Kamlage, Jan-Hendrik (2012). *Demokratische Potentiale zivilgesellschaftlicher Beteiligung im Partnerschaftsmodell der Europäischen Regionalpolitik*, Diss., Bremen: Universität Bremen.
- Kamlage, Jan-Hendrik/ Nanz, Patrizia (2017). Crisis and Participation in the European Union: Energy Policy as a Test Bed for a New Politics of Citizen Participation, in *Global Society* 31 (1), pp. 65-82.
- Knight, Jack/ Johnson, James (1997). What Sort of Political Equality Does Deliberative Democracy Require? In James Bohman and William Rehg (eds.), *Deliberative Democracy: Essays on Reason and Politics*, Cambridge, Ma, London: MIT Press, pp. 279-319.
- Massachusetts Massachusetts Institute of Technology: 279-320.
- Lewanski, Rodolfo (2013). Institutionalizing Deliberative Democracy: the 'Tuscany laboratory', in *Journal of Public Deliberation*, 9(1), pp.1-14
- Mansbridge, Jane/ Bohman, James/ Chambers, Simone/ Christiano, Thomas/ Fung, Archon/ Parkinson, John/ Thompson, Dennis F./ Warren, Mark E. (2012). A systemic approach to deliberative democracy, in John Parkinson and Jane Mansbridge (eds.), *Deliberative Systems*, New York: Cambridge University Press, pp. 1-26.
- Nanz, Patrizia/ Steffek, Jens (2005). Assessing the Democratic Quality of Deliberation in International Governance: Criteria and Research Strategies, in *Acta Politica* 40 (3), pp. 368-383.
- Nanz, Patrizia/ Fritsche, Miriam (2012). *Handbuch Bürgerbeteiligung. Verfahren und Akteure, Chancen und Grenzen*, Bonn: bpb.

Neblo, Michael A. (2007). Family Disputes: Diversity in Defining and Measuring Deliberation, in *Swiss Political Science Review* 13 (4), pp. 527-557.

Netzwerk Bürgerbeteiligung, *Sammlung kommunaler Leitlinien und Handlungsempfehlungen für die Bürgerbeteiligung*, available at: <https://www.netzwerk-buergerbeteiligung.de/kommunale-beteiligungspolitik-gestalten/kommunale-leitlinien-buergerbeteiligung/sammlung-kommunale-leitlinien>.

Newton, Kenneth/ Geissel, Brigitte (2012). *Evaluating Democratic Innovations*, Oxford: Routledge.

OECD (2003). *Promise and Problems of E-Democracy. Challenges of Online Citizen Engagement*, Paris, available at: <http://www.oecd.org/gov/digital-government/35176328.pdf>.

Offe, Claus (2011). Shared Social Responsibility: the Need for and Supply of Responsible Patterns of Social action, in Council of Europe (ed.), *Towards a Europe of shared social responsibilities: Challenges and Strategies*, Strasbourg: Council of Europe Publishing, pp.15-24, available at: https://iris.unipa.it/retrieve/handle/10447/83526/92161/Trends_23_EN.pdf#page=16.

Parkinson, John (2007). Localism and Deliberative Democracy, in *The Good Society* 16 (1), pp. 23-29.

Participedia, available at: www.participedia.net.

Ravazzi, Stefania/ Pomatto, Gianfranco (2014). Flexibility, Argumentation and Confrontation. How Deliberative Minipublics Can Affect Policies on Controversial Issues, in *Journal of Deliberation* 10 (2), available at: <http://www.publicdeliberation.net/cgi/viewcontent.cgi?article=1338&context=jpd>.

Renn, Ortwin/ Webler, Thomas/ Wiedemann, Peter (eds.) (1995). *Fairness and Competence in Citizen Participation. Evaluating Models for Environmental Discourse*, Dordrecht: Springer Netherlands.

Riedy, Chris/ Kent, Jenny (2017). Systemic Impacts of Mini-publics. Report prepared for new Democracy Foundation, available at: https://opus.lib.uts.edu.au/bitstream/10453/104435/1/nDF_RP_20170613_SystemicImpactsofMiniPublics.pdf.

Rousseau, Jean-Jaques (1762). *The Social Contract*.

Rowe, Gene/ Frewer, Lynn J. (2000). Public Participation Methods: A Framework for Evaluation, in *Science Technology Human Values* 25.

Ryfe, David M. (2005). Does Deliberative Democracy Work? in *Annu. Rev. Polit. Sci.* 8, pp. 49-71.

Sanders, David (2012). The Effects of Deliberative Polling in an EU-wide Experiment: Five Mechanisms in Search of an Explanation, in *British Journal of Political Science* 42, pp. 617-640. doi:10.1017/S0007123411000494.

Smith, Graham (2009). *Democratic Innovations. Designing institutions for citizen participation*, Cambridge: Cambridge University Press.

Smith, Graham/ Richards, Robert C./ Gastil, John (2015). The Potential of Participedia as a Crowdsourcing Tool for Comparative Analysis of Democratic Innovations, in *Policy & Internet* 7, pp. 243-262. doi:10.1002/poi3.93

Staatsministerin für Zivilgesellschaft und Bürgerbeteiligung Baden-Württemberg (2017), available at: <https://beteiligungsportal.baden-wuerttemberg.de/de/informieren/die-staatsraetin>.

Theocharis, Yannis/ van Deth, Jan W. (2016). The Continuous Expansion of of Citizen Participation: A New Taxonomy, in *European Political Science Review*.

Thompson, Dennis F. (2008). Deliberative Democratic Theory and Empirical Political Science, in *Annu. Rev. Polit. Sci.* 11, pp.497-520.

Tocqueville, Alexis de (1835, 1840). *On Democracy in America*.

Van Dijk, Jan A. G. M. (2006). Digital Divide Research, Achievements and Shortcomings, in *Poetics* 34 (4-5), pp. 221-235.

Vedel, Thierry (2006). The Idea of Electronic Democracy: Origins, Visions and Questions, in *Parliamentary Affairs* 59 (2), pp. 226-235.

Young, Iris M. (2001). *Inclusion and Democracy*, New York: Oxford University Press.

Appendix

I. Participation Methods

Appreciative Inquiry (AI)	
Participants	10 - 2.000 participants; varies, possible: self-selection, random selection or specific selection
Objectives/Function	Influence the public and society
Topics	Development of long-term objectives and measures
Context	organisation and/or internal questions
Duration	Normally 1 day, more is possible
Geographical distribution	Mostly USA, GB
Description	Appreciative Inquiry (AI) uses questions to build a vision for the future, focusing on past and potential future successes. The questions are designed to encourage people to tell stories from their own experience of what works. By discussing what has worked in the past and the reasons why, the participants can go on to imagine and create a vision of what would make a successful future that has a firm grounding in the reality of past successes. This process can be implemented in a number of different ways as long as the principle of retrospective appreciation and a future vision remains (Participationcompass.org).
Cases	

Charrette	
Participants	10 - 100 people; self-selection, also specific selection
Objectives/Function	Influence on public discussions, advise decision makers
Topics	Local or regional problems; planning projects; design infrastructures, parks etc.
Context	Questions on a local basis
Duration	For at least 4 days (plus 1 day each for preparation and post processing); several meetings possible
Geographical distribution	Mostly USA, also Germany
Description	A charrette is a method of deliberation, through which participants

	<p>from different subgroups of society reach a consensus position in a relatively short time. Charrettes are often used to design for example parks and buildings, or to plan communities or transportation systems. A team of design experts meets with community groups, developers, and neighbours over a period of time. A charrette consists of three phases. In the pre-charrette stage, the steering committee prepares the logistics for the following two phases, defines the focus of the project, and drafts a preliminary list of subjects which will be discussed. During the charrette workshop itself, participants discuss with each other and with other stakeholders and create priority lists and recommendations and set out a strategy to implement specific projects. The post-charrette phase creates a final document based on these outcomes, containing an overview of action points (participedia.net and epa.gov).</p>
Cases	Charrette on new housing settlement (Inverness, Scotland, 2006)
Further Information	<p>Siedlungsneubau: Charrette-Verfahren: http://www.beteiligungskompas.org/article/show/39</p>

Citizens' Assembly	
Participants	100 participants, random selection
Objectives/Function	Advise decision makers, consultation
Topics	Several political topics
Duration	<p>For 2 days</p> <p>several meetings possible</p>
Geographical distribution	Ireland, Canada
Description	<p>A Citizens' Assembly is a representative group of citizens who are selected at random from the population to learn about, deliberate upon, and make recommendations in relation to a particular issue or set of issues (citizensassembly.co.uk). The purpose is to employ a cross-section of the public to study the options available to the state on certain questions and to propose answers to these questions through rational and reasoned discussions.</p>
Cases	<p>Citizens' Assembly on Brexit 2017 (UK)</p> <p>Citizens' Assembly on how the State can make Ireland a leader in tackling climate change (Ireland, 2017)</p>
Further Information	<p>The Citizens' Assembly on Brexit: how did it work? (2017): https://www.involve.org.uk/2017/10/02/the-citizens-assembly-on-brexit-how-did-it-work/</p> <p>How the State can make Ireland a leader in tackling climate change</p>

(2017):
<https://www.citizensassembly.ie/en/Submissions/How-the-State-can-make-Ireland-a-leader-in-tackling-climate-change/>

Citizen Council

Participants	8 - 12 participants, random selection
Objectives/Function	Influence on public discussions, consultation, advise decision makers
Topics	Local problems planning projects
Context	Questions on a local basis
Duration	For 2 days new Wisdom Council after 4 months
Geographical distribution	Austria, USA
Description	Aim is to bundle the public opinion to solve e.g. social problems. The moderation does not provide a structure, instead it makes sure that everyone is treated equal during the discussion and everyone can participate. Furthermore, the moderation collects and organises the statements in four categories: problems, solutions, concerns, data/facts. All ideas are included in the problem solving process.
Cases	Wisdom Council on asylum and refugees (Vorarlberg, Austria, 2015) Wisdom Council on revising the Official Community Plan (Victoria, USA, 2010)
Further Information	Landesweiter Bürgerrat zum Asyl- und Flüchtlingsrecht: http://www.partizipation.at/br_asyl.html Landeszentrale für politische Bildung Baden-Württemberg: https://buergerbeteiligung.lpb-bw.de/buergerrat0.html Democracy pioneers: Citizen activists in Victoria BC: http://www.wisedemocracy.org/page2/page33/wc_in_victoria.html

Citizens' Panel

Participants	500 - 2.500 participants, random selection, maybe new-recruitment
Objectives/Function	Advise decision makers
Topics	Evaluation of opinions about local politics

Context	Questions on local level
Duration	3 - 4 annually, overall 3 - 4 years
Geographical distribution	Mostly GB, also Germany
Description	A Citizens' Panel is a large, demographically representative group of citizens regularly used to assess public preferences and opinions. It aims to be a representative, consultative body of local residents. Once citizens agree to participate, they will be invited to a rolling programme of research and consultation. This typically involves regular surveys and, where appropriate, further in-depth research tools, such as focus groups and workshops (from participationcompass.org).

Consensus conference/citizens conference

Participants	10 - 30 participants, random selection
Objectives/Function	Influence on public discussions, consultation, advise decision makers
Topics	Controversial topics of public interest
Context	Questions on a local up to transnational level
Duration	For 3 days, plus 2 meetings to prepare
Geographical distribution	Mostly Denmark, Europe
Description	A consensus conference can be defined as, a chaired public hearing with an audience from the public and with active participation of 10-30 people, referred to as the jury or panel, and a corresponding number of different experts. Essentially, Consensus Conferences are meetings held in order to represent the average society member's view on a particular issue. The overriding goal striving to be achieved is to connect the average day citizen in a community to the ideas and advancements in the area under contention (participedia.net).
Cases	Consensus Conference on children, youth and physical activity in schools and during leisure time (Copenhagen, Denmark, 2016) Consensus Conference on Human Biomonitoring (Boston, USA, 2006)
Further Information	The Copenhagen Consensus Conference 2016: children, youth, and physical activity in schools and during leisure time: http://bjism.bmj.com/content/early/2016/05/27/bjsports-2016-096325 A New Spin on Research Translation: The Boston Consensus Conference on Human Biomonitoring (2008): https://www.ncbi.nlm.nih.gov/pmc/articles/PMC2679590/

Deliberative Polling

Participants	300 - 500 participants, random selection (within specific criteria)
Objectives/Function	Information, influence public discussions
Topics	Diverse topics of public interest
Context	Questions on local to transnational level
Duration	2 surveys between a time span, in-between 2 - 3 days mediation of information
Geographical distribution	Global, mostly USA
Description	Deliberative Polling is a unique form of political consultation that combines techniques of public opinion research and public deliberation to construct hypothetical representations of what public opinion on a particular issue might look like if citizens were given a chance to become more informed. As a polling method, the Deliberative Poll seeks to account for the preferences and opinions of citizens both before and after they have had an opportunity to arrive at considered judgements based on information and exposure to the views of fellow citizens (participedia.net).

Future-Conference

Participants	Specific selection of participants
Objectives/Function	Influence on public and society, advise decision makers
Topics	Anticipation of future development, references for diverse subjects
Context	Internal questions, also questions on a local basis
Duration	2 - 3 days
Geographical distribution	Mostly USA, UK, also Germany
Description	A Future-Conference exists out of a wider and heterogeneous group of specific selected participants who have different (professional) backgrounds: politics, administration or civil society. Aim is to find a consensus during the time of the conference with local cornerstones which help to create an image of a preferable future in the area.
Cases	Energiewende Ruhr 2016 (Ruhr Region, Germany) Urban Future Global Conference 2016 (Graz, Austria) Futures of a Complex World 2017 (Turku, Finland)

Further Information	<p>Future of Health and Safety Conference 2016 (Salford, England)</p> <p>Rahmenprogramm zur Umsetzung der Energiewende in den Kommunen des Ruhrgebiets: energiewende-ruhr.de</p> <p>Urban Future Global Conference: https://www.urban-future.org/</p> <p>Futures of a Complex World (2016): https://futuresconference2017.wordpress.com/</p> <p>The Future of Health and Safety Conference 2016: http://www.hse.gov.uk/events/future-of-hs-conference.htm</p>
---------------------	---

Future Workshop	
Participants	5 - 200 participants, self-selection (within a natural group)
Objectives/Function	Influence the public and society, advise decision makers
Topics	Anticipate future developments and differentiation of recommendations in relation to diverse topics
Context	organisation and/or internal questions on local level
Duration	2 - 3 days
Geographical distribution	German-speaking area, especially Austria
Description	<p>A Future Workshop is a method for planning and forming a vision of the future. Workshops help define aims and identify problems. They incorporate a three phase process, sometimes preceded by presentations which outline the workshop objectives:</p> <ul style="list-style-type: none"> • Critical analysis phase involving detailed analysis of the situation/technology • Visionary phase where future visions are built upon the analysis in the first phase; these are then subject to a reality check. • Implementation phase where the visions are turned into actions <p>(participationcompass.org)</p>

Mediation	
Participants	10 - 100 participants, specific selection
Objectives/Function	Influence public discussions, consultation, advise decision makers
Topics	Controversy topics of public interest
Context	Questions from local to regional level

Duration	1 -2 days, up to several years
Geographical distribution	Mostly Germany, other European countries
Description	Mediation aims to assist people in reaching an agreement. The parties themselves have to determine the conditions of any possible settlements. Mediation is effective in defining issues and developing options when participants recognise the need to communicate the conflict. Mediation is one of the tools used by practitioners of 'Alternative Dispute Resolution' with an emphasis on communication to resolve mutually interdependent, opposing views or ideas (participationcompass.org).

National Issues Forum

Participants	10 - 20 participants, self-selection
Objectives/Function	Information
Topics	Mediate information about societal relevant questions, possibly feedback for decision makers
Context	Normally questions on a local level
Duration	1 - 2 days
Geographical distribution	USA
Description	The United States' National Issues Forum (NIF) is a nationwide network of locally created public forums oriented towards the deliberation of public and political issues. It is a non-partisan network of smaller forums created nationwide whose goal is to gather people to reason with each other, deliberate and make public decisions together. Participants gather to discuss political issues and matters of public importance. They converse, deliberate, generate solutions to issues, and work together to select the best solution to the problem (participedia.net).
Further Information	https://www.nifi.org/

Online Consultation

Participants	self-selection of participants
Objectives/Function	Exchange between government and citizens
Topics	Politics, government issues, policy development

Geographical distribution	UK, Denmark, Canada, USA, Australia
Description	Online consultations or e-consultations refer to an exchange between government and citizens using the Internet. They are one form of online deliberation. Further, online consultation consists in using the Internet to ask a group of people their opinion on one or more specific topics, allowing for trade-offs between participants. Generally, an agency consults a group of people to get their thoughts on an issue when a project or a policy is being developed or implemented, e.g. to identify or access options, or to evaluate ongoing activities. This enables governments to draft more citizen-centered policy (participedia.net).
Cases	The European Citizens Consultation 2009 Raising Standards and Improving the Quality of Road Works (Scotland, 2017)
Further Information	The European Citizens' Consultation 2009: https://www.participedia.net/en/cases/european-citizens-consultation-2009 Raising Standards and Improving the Quality of Road Works in Scotland: https://consult.scotland.gov.uk/transport-scotland/quality-of-road-works-in-scotland/

Open-Space-Conference

Participants	20 - 2.000 participants, self-selection
Objectives/Function	Influence on public and society
Topics	Collection of ideas and suggestions on diverse topics
Context	Questions on a local up to transnational basis, internal questions
Duration	1 - 5 days
Geographical distribution	Global, mostly USA, Germany
Description	Open Space events have a central theme around which participants identify issues for which they are willing to take responsibility for running a session. At the same time, these topics are distributed among available rooms and timeslots. When no more discussion topics are suggested, the participants sign up for the ones they wish to take part in. Open Space creates very fluid and dynamic conversations that are bound through a mutual enthusiasm for the topic (participationcompass.org).
Cases	Opening Space for Peace and High Performance (New York City, USA, 2017)

	Metropolitan Open Space (Berlin, Germany, 2017)
Further Information	Open Space Institute - US: http://www.osius.org/ metropolitan open space @ IGA 2017: http://www.bdla.de/aktuell/top-themen/2111-metropolitan-open-space-iga-2017

Participatory Budgeting

Participants	100 - 20.000 participants, self-selection
Objectives/Function	Advise decision makers, consultation, civil decisions
Topics	Municipal finance
Context	Questions on a local basis
Duration	For 1 day up to several days
Geographical distribution	Global, mostly South America and Europe
Description	Participatory budgeting is an umbrella term which covers a variety of mechanisms that delegate power or influence over local budgets, investment priorities and economic spending to citizens (participationcompass.org).
Cases	La Plata Multi-Channel Participatory Budgeting (Argentina, yearly since 2008); Mobile Voting Gender-sensitive Participatory Budgeting (Freiburg, Germany, 2008 and 2009)
Further Information	Ten examples of participatory budgeting from around the world (2014): http://www.budgetallocator.com/2014/09/29/ten-examples-participatory-budgeting-around-world/

Planning Cell/citizens report

Participants	100 participants, separated in groups of 25 people random selection
Objectives/Function	Advise decision makers, influence on public discussions
Topics	Local or regional problems and planning tasks

Context	Questions on a local and regional basis
Duration	For at least 4 days
Geographical distribution	Mostly Germany, also Europe
Description	Planning cells is a method for deliberation developed by Prof. Dr. Peter C. Dienel, and is designed to be a sort of "micro-parliament." In one planning cell, 25 people from various backgrounds work together to develop a set of solutions to a problem delegated to the participants by a commissioning body. These solutions are then assessed and final recommendations are presented to the commissioning body as a "Citizen's Report" (participedia.net).
Cases	Planning Cell on intelligent energy and traffic revolution (Berlin, Germany, 2015) "Youth Citizens Jury" about several political topics (Bochum, Germany, 2009)
Further Information	Liste der deutschen Planungszellen/Bürgergutachten (2015): https://citizensjury.wordpress.com/2015/09/11/liste-der-deutschen-planungszellen-buergergutachten/

Planning for Real

Participants	Unlimited, self-selection of participants
Objectives/Function	Influence on public and society, consultation
Topics	Local or regional problems, planning projects
Context	Questions on a local or regional basis
Duration	Multiple events for multiple weeks
Geographical distribution	Mostly UK, also Germany
Description	Participants make a 3D model of their local area and add suggestions of how they would like to see their community develop. They then prioritise these in groups and create an action plan for decision-makers to take away (participationcompass.org).
Cases	What makes a good place? (Birmingham, Coventry, Walsall, England) Parks masterplanning in Leighon Linslade 2011 (UK)
Further Information	Planning for Real Projects: http://www.planningforreal.org.uk/our-projects/

Scenario-Workshop/Scenario-Conference

Participants	25 - 30 participants per group, groups work parallel
Objectives/Function	Influence the public and society, advise decision makers
Topics	Anticipate future developments and differentiation of recommendations in relation to diverse topics
Context	Question from local to transnational level, organisation and/or internal questions
Duration	1 - 3 days of block events or several meetings
Geographical distribution	Mostly Europe
Description	A Scenario Workshop is a participatory method encouraging local action with a mix of scenario and workshop which aims to solve local problems and anticipate future ones. Scenarios involve narrative descriptions of potential future problems that emphasize relationships between events and decision points. In addition, scenarios direct attention to causes, areas for development and the span of exigencies that may be met in a local community issue. The goal of a Scenario Workshop is to create a dialogue among policy-makers, experts and ordinary citizens around a local and communal matter such as water resources or transportation (participedia.net).

World Café

Participants	12 - 1.200 participants, self-selection
Objectives/Function	Influence the public and society
Topics	Versatile, applicable
Context	Question from local to transnational level, organisation and/or internal questions
Duration	Several speaking rounds à 20 - 30 minutes
Geographical distribution	Mostly USA, GB, also Germany
Description	The World Cafe is a method which makes use of an informal cafe for participants to explore an issue by discussing in small table groups. Discussion is held in multiple rounds of 20 - 30 minutes. The event is concluded with a plenary. The cafe situation supports a more relaxed, creative and open conversation. Often participants are provided with pens and are encouraged to draw and record their conversations on the paper tablecloths to capture free flowing ideas as they emerge (participationcompass.org).

Cases

Further Information

<http://www.theworldcafe.com/what.htm>

II. Promotion of Participation

Tuscany Regional Participation Policy (Italy)



Description

The Tuscany Regional Participation Policy (TRPP) is a pioneer initiative in the Italian and European context. It is an important administrative tool and example for institutionalization of participation and deliberation within a region's political system. Public participation is institutionalised through regional laws (No 69/2007; 46/2013) and became a regular form of government. The law supports the development of a participative culture in Tuscany. The law strengthens the participation of the civil society and promotes participation in various thematic fields, with a multitude of methods and acting in various complexity levels.

Institution

Laws (No 69/2007; 46/2013); Tuscany's Regional Authority for the Promotion of Participation (APP): independent government body

Background

Tuscany is well known for its history of political activism and social mobilisation. A strong culture of public participation developed since the end of the 1980s promoted through groups that were critical towards political parties, and public authorities.

Tuscany is a region in central Italy with a population of about 3.5 million inhabitants. The regional capital is Florence (Firenze).

Methods/Tool

The participatory methods vary

Often used are 'Public debate': a process of information and participation on works, projects or interventions that are of particular relevance to the region's environment, territory, landscape, society, culture or economy. Debates usually take place in the preliminary stages of drafting a project and make use of a number of deliberative tools to involve the general public. Therefore tools like Testimony and meetings with experts and scientists or online consultation were used.

Further Information

Open Toscana - Partecipa Toscana (Italian):
<http://open.toscana.it/web/partecipa>

Lewanski (2013): Institutionalizing Deliberative Democracy: the 'Tuscany laboratory':
<http://www.publicdeliberation.net/cgi/viewcontent.cgi?article=1185&context=jpd>

Participedia - The Tuscany Regional Participation Policy, Italy
<https://www.participedia.net/en/cases/tuscany-regional-participation-policy-italy>

Office for Future-Related Issues (Austria)



<p>Description</p>	<p>The Office for Future-Related Issues (OFRI) is a staff unit in the Office of the Vorarlberg state government. It promotes public participation and volunteering on a regional and local level. The OFRI initiated for example over 40 Wisdom Councils/Bürgerinnenräte in the last ten years. The office was founded in 1999 and has around 10 employees.</p>
<p>Institution</p>	<p>Office for Future-Related Questions and state law (Change of the regional constitution (Landesverfassung) 2013)</p>
<p>Background</p>	<p>For over ten years Wisdom Councils were held by the Office for Future-Related Issues in the Austrian state Vorarlberg. Therefore, Vorarlberg is a European pioneer in the institutionalisation of public participation. Since the beginning of the 1990s the states promotes public participation and the transformation to sustainability by financing the office.</p> <p><i>Vorarlberg is the westernmost federal state of Austria. It has the second-smallest area after Vienna, and although it has the second-smallest population with around 380.000 people.</i></p>
<p>Methods/Tool</p>	<p>Wisdom Council/Bürgerinnenräte</p> <p>Dynamic Facilitation is a specific form of working with small groups that helps participants to engage creatively with divergent perspectives</p>
<p>Further Information</p>	<p>Office for Future-Related Issues: https://www.vorarlberg.at/english/vorarlberg-english/environment_future/officeforfuture-relatedis/officeforfuture-relatedis/officeforfuture-relatedis.htm</p> <p>Centre for Wise Democracy: http://www.wisedemocracy.org/page2/page4/wisdom_councils_in_</p>

Heidelberg (Germany)



Description

The city of Heidelberg agreed on guidelines of public participation in 2012. The guidelines are a result of a meta deliberation process of the 'Arbeitskreis Bürgerbeteiligung' in 2011. The members of this working group have been experts, politicians and lay citizens of the city. Nowadays public participation plays a crucial role in formal decision-making processes within the city.

Institution

Regional Administration Office (Koordinierungsstelle) and laws

Background

In 2010, the rebuilding of the ancient congress centre has been stopped due to a public referendum. The protest and the lack of support in infrastructure projects led to a new way of thinking and strengthened the role of public participation.

Heidelberg is a college town in Baden-Württemberg situated on the river Neckar in south-west Germany. Its population is around 150.000, with roughly a quarter of its population being students.

Methods/Tool

Several methods and tools depending on the issue (online and face-to-face deliberation)

Further Information

Bürgerbeteiligung in Heidelberg (German):
http://www.heidelberg.de/hd_Lde/HD/Rathaus/Buergerbeteiligung.html

