

The background of the slide is a dark, abstract image featuring a bokeh effect of out-of-focus lights in shades of blue, green, and orange. Overlaid on this are white and light green circuit-like lines and nodes, suggesting a digital or technological theme.

PARTICIPATORY BUDGETING AT THE CITY OF HELSINKI

MIKKO RASK

UNIVERSITY OF HELSINKI

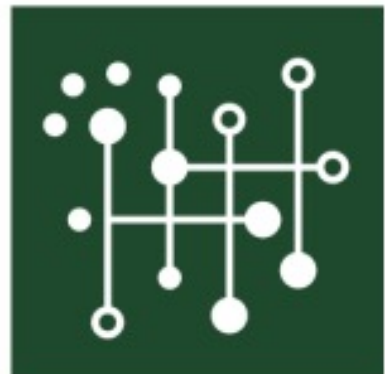
CENTRE FOR CONSUMER SOCIETY RESEARCH

HELSINKI INSTITUTE OF SUSTAINABILITY
SCIENCE

April 1, 2021, Course on participatory planning, Aalto University

Helsingin kaupungin osallistuvan budjetoinnin loppuarviointi

OmaStadi 2018 – 2020



COLDIGIT

BIBU

THE CO-CREATION RADAR

**A COMPREHENSIVE PUBLIC
PARTICIPATION EVALUATION MODEL**

Mikko Rask | Titiana Ertiö

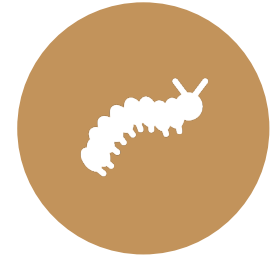
UNIVERSITY OF HELSINKI



YOU WILL LEARN ABOUT
PARTICIPATORY BUDGETING (PB)
AS A PARTICIPATORY
INNOVATION



YOU WILL LEARN ABOUT A
PARTICULAR MODEL (CO-
CREATION RADAR) FOR
EVALUATING THE IMPACTS OF
PUBLIC PARTICIPATION



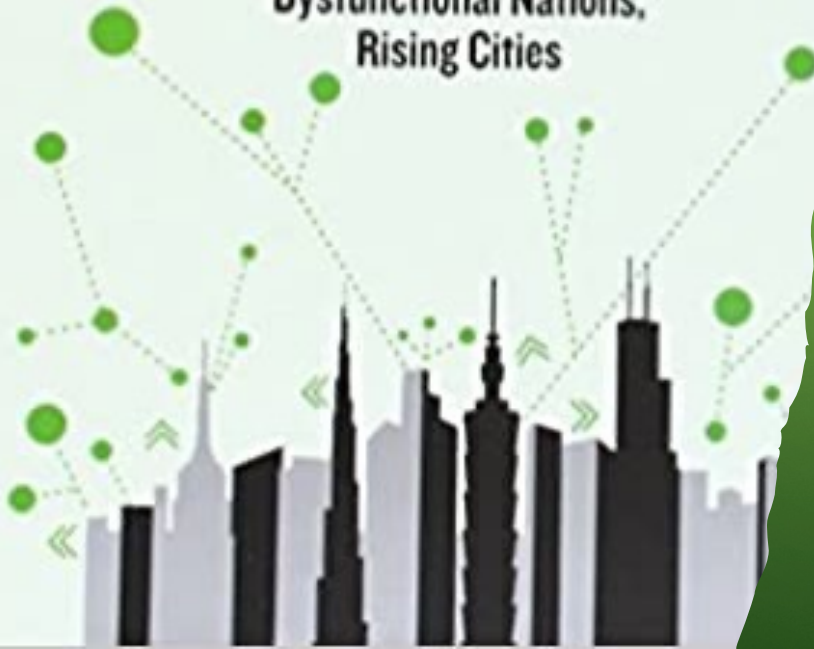
YOU WILL FAMILIARIZE WITH A
TOPICAL CASE OF PB (OMASTADI)

BENJAMIN R. BARBER

author of Jihad vs. McWorld

IF MAYORS RULED THE WORLD

Dysfunctional Nations,
Rising Cities



CITIES AS AGENTS OF CHANGE

“In the face of the most perilous challenges of our time—climate change, terrorism, poverty, and trafficking of drugs, guns, and people—the nations of the world seem paralyzed. The problems are too big, too interdependent, too divisive for the nation-state. Is the nation-state, once democracy's best hope, today democratically dysfunctional? Obsolete? The answer, says Benjamin Barber in this highly provocative and original book, is yes. Cities and the mayors who run them can do and are doing a better job.”



PARTICIPATION IN MUNICIPALITIES

- Big data (e.g., HKL)
- Open data (e.g., Helsinki region infoshare)
- e-participation (e.g., hel.fi/palaute; Helsinki-sovellus; kerrokantasi.hel.fi; www.helsinkikanava.fi; osallistu.hel.fi/)
- Resident forums and associations (e.g., kumppanuuspöydät, Vetoa ja voimaa Mellunkylään)
- Senior and disability committees
- Youth councils
- Citizen initiatives review panels (e.g., Mustasaari & Vaasa municipal merger)
- Citizen assemblies and juries (e.g., parking policy in Helsinki)
- Petitions (e.g., kuntalaisaloite.fi)
- Citizen science (e.g., www.talviseuranta.fi/)
- Crowdsourcing (e.g., Helsinki energy challenge)
- Co-creation and service design projects
- Self-organized civic activism (e.g., ravintolapäivät)*

*Rask, M., Puustinen, A. & Raisio, H. (2020). Understanding the Emerging Fourth Sector and Its Governance Implications. *Scandinavian journal of public administration*, vol 24, No 3, p. 29-51.

LEVELS OF CITIZEN PARTICIPATION IN THE MUNICIPAL CONTEXT

Rask, M. and Ertiö, T. (2019). *The Co-Creation Radar. A Comprehensive Public Participation Evaluation Model*. Publications of the BIBU project. <https://bibu.fi/policy-brief-the-co-creation-radar-a-comprehensive-public-participation-evaluation-model/>.

INFORMATION-BASED PARTICIPATION	PARTICIPATION IN PLANNING	PARTICIPATION IN DECISION-MAKING	PARTICIPATION THROUGH ACTION
<ul style="list-style-type: none"> • Information from the service provider • Interaction with and consultation of residents • Communications • Channels of communication • Digital services and participation channels • Guidance and advice • Customer feedback questionnaires • Petitions • Open data 	<ul style="list-style-type: none"> • Digital participation channels • Participatory budgeting • Resident forums and panels • Local decision-making bodies • Community and civic association nights • Partnership meetings • Strategies • Co-creation and service design • Schemes, projects, and programmes • Experts by experience 	<ul style="list-style-type: none"> • Voting in elections • Municipal formal decision-making bodies • Senior advisory committees • Disability advisory committees • Youth councils and other youth influence groups • Consultative referendum • Local decision-making bodies • Participatory budgeting • Statements • Appeals 	<ul style="list-style-type: none"> • Jointly organised events • Volunteering • Civil society organisations • Municipal/ neighbourhood activism • Community associations • Joint projects and development work • Independent citizen activism • Pop up activities

An abstract graphic on the left side of the slide, consisting of a network of thin, light green lines and small circles, resembling a circuit board or a neural network, set against a dark green background.

PARTICIPATORY BUDGETING (PB)

A close-up, shallow depth-of-field photograph of a computer keyboard. The central focus is a black key with a white 'X' symbol. To its right is a key with a white vertical line and a diagonal slash. Other keys are visible in the foreground and background but are out of focus. The lighting is soft, creating a professional and modern aesthetic.

PARTICIPATORY BUDGETING – A DEMOCRATIC INNOVATION
FOR URBAN DEVELOPMENT, WHEREBY CITIZENS PROPOSE
PROJECTS AND VOTE ON THEIR IMPLEMENTATION.

DEFINITIONAL ASPECTS

“Participatory budgeting stands out as both a civic engagement and budgeting innovation because members of the public generate and then vote on funding proposals.”

Godwin (2018)

a) Democratic innovation

“participation of non-elected citizens in the conception and/or allocation of public finances.”

Sintomer et al. (2012)

b) Direct democracy

1. Discussion of financial or budgetary processes.
2. The involvement of the city level.
3. Repetition of the process over years.
4. Involvement of specifically arranged public deliberations.
5. Some level of accountability regarding the results of the PB process.

c) Deliberative democracy

d) e-democracy



BRASILIAN LEFTIST ORIGIN

“It is apparent that PB’s origins are as a democratic innovation. PB also has been more of a political and social movement than other civic engagement efforts. The perception of PB as a leftist Brazilian political reform may offer an explanation for why diffusion to the United States took twenty years and why diffusion has been led more by political leaders, activists, and academics than local government professionals.”
(Godwin, 2018)

Godwin, M. (2018): Studying participatory budgeting: democratic innovation or budgeting tool? State Local Gov. Rev. 50, 132–144. <https://doi.org/10.1177/0160323X18784333>.



PB AS A POLICY INSTRUMENT VS. DEVICE

Ganuza, E., & Baiocchi, G. (2012). The power of ambiguity: How participatory budgeting travels the globe. *Journal of Public Deliberation*, 8(2), 8.

First, PB traveled as part of a set of comprehensive administrative reforms...

Second, ...”PB was actually recognized as a best practice at the UN Habitat Istanbul meeting of 1996. The description of the best practice at that moment, and at subsequent iterations, was a simplification: PB was defined as sequence of meetings premised on universal participation and a fair and transparent decision-making. Ideas about state reforms as necessary conditions for establishing PB all but disappeared, and the close connection between participation and administration was severed. In fact, the logic was turned on its head: Participatory Budgeting was now understood as a device that itself could help improve administration rather than device within a set of reforms to administration.

SIZE IS RELATED TO IDEOLOGY



“While participants view the process favorably, stakeholders increasingly recognize that the total amounts devoted to PB need to increase to achieve more substantive outcomes.”

“Nabatchi and Leighninger (2015, 312) note that PB is vulnerable to criticism that ‘citizens are distracted by one small slice of the public pie while public officials and special interests divvy up the rest.’ Nevertheless, they conclude that there are positive spillover effects because PB promotes cultures of accountability.”

Godwin, M. (2018): Studying participatory budgeting: democratic innovation or budgeting tool? State Local Gov. Rev. 50, 132–144. <https://doi.org/10.1177/0160323X18784333>.



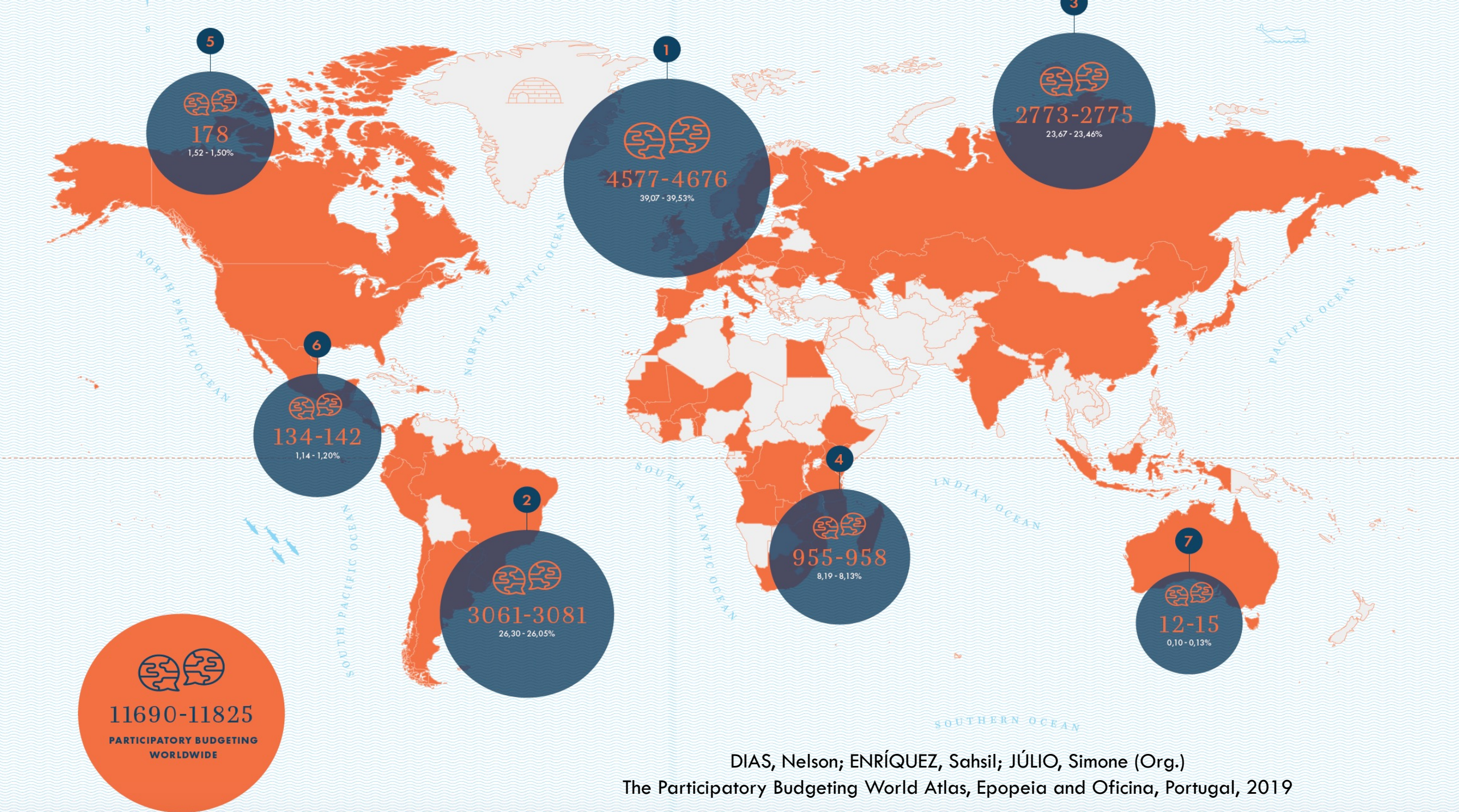
IDEOLOGICAL MALLEABILITY

In the European context, Spain is the country where PB has been most experimented (Sintomer et al., 2011). The first experience was in 2001, in the city of Cordoba, and has now expanded to more than 50 different cities all over the country. Most PB experiences have been launched by left political parties; however, most experiences since 2007 have been launched by conservative political parties. Both left and right political parties accept PB as a decision-making process. (Ganuza & Francés, 2012)

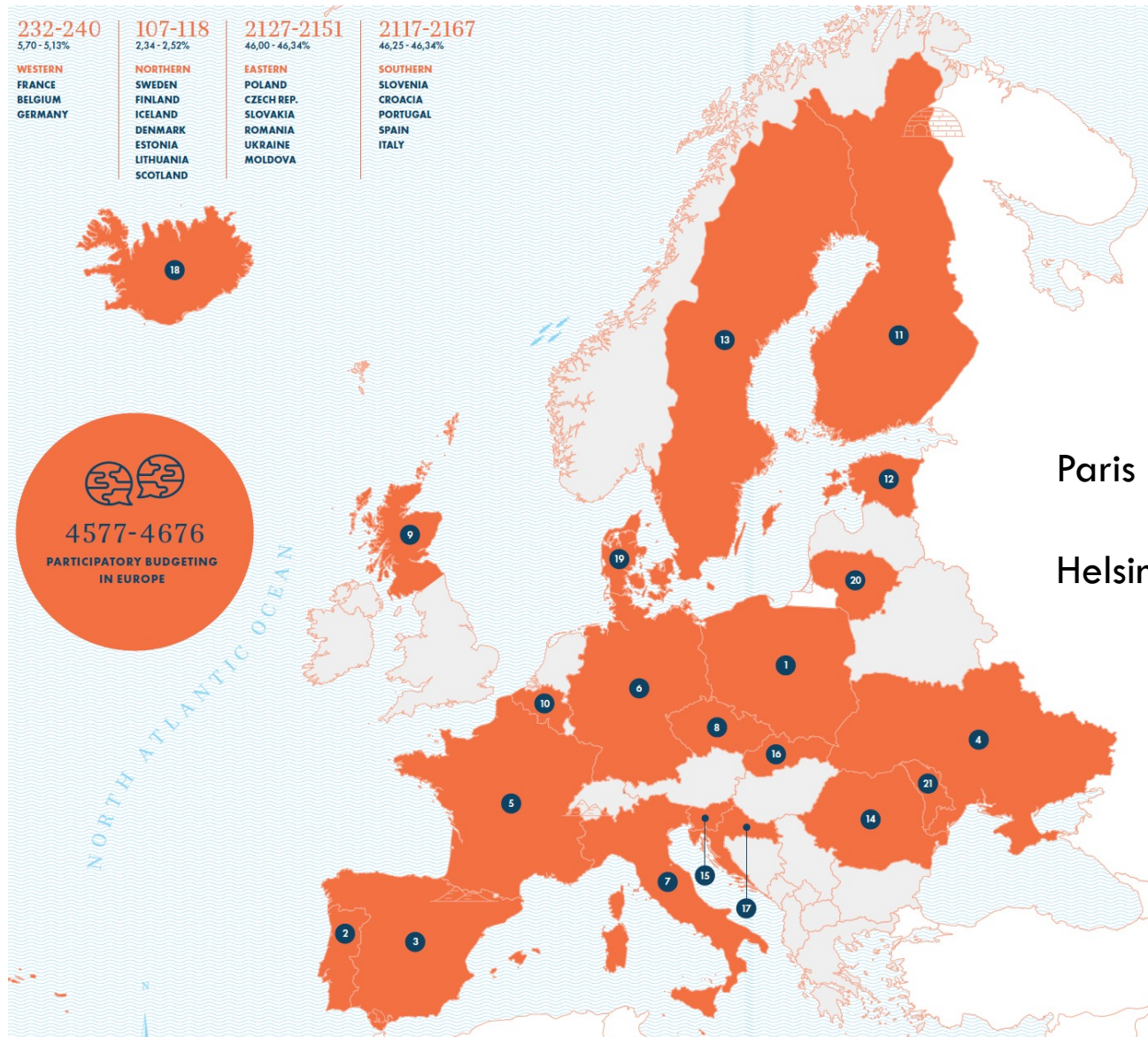
Like many other tools for good governance, PB today is prized for its value-neutrality, its ease of implementation, and its ability to attract many different kinds of institutional stakeholders. (Ganuza and Baiocchi, 2012)

Ganuza, E., & Francés, F. (2012). The deliberative turn in participation: the problem of inclusion and deliberative opportunities in participatory budgeting. *European Political Science Review*, 4(2), 283-302.

Ganuza, E., & Baiocchi, G. (2012). The power of ambiguity: How participatory budgeting travels the globe. *Journal of Public Deliberation*, 8(2), 8.



DIAS, Nelson; ENRÍQUEZ, Sahsil; JÚLIO, Simone (Org.)
The Participatory Budgeting World Atlas, Epopeia and Oficina, Portugal, 2019



Paris 100 million euros (45€ per person)

Helsinki 4,4 euros (6,78€ per person)

Contributions of Participatory Budgeting to climate change adaptation and mitigation

Current local practices around the world & lessons from the field





MIXED EVIDENCE OF THE IMPACTS

PB processes largely succeed in the goal of involving more than the usual suspects, including the addition of noncitizens and young persons. PB participant surveys generally report that strong majorities have not previously been involved in community activities, although participants are often regular voters in city elections.

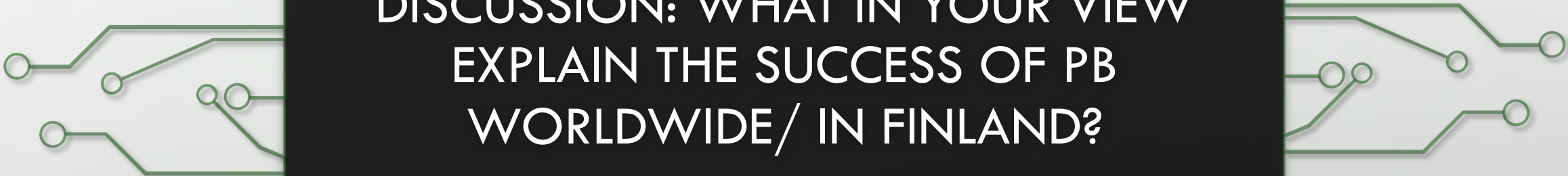
American PB processes have increased civic participation from previously uninvolved residents.

- Godwin, 2018

The conclusions tell us that the inequalities in participation are significant... We may question whether the administration can guarantee impartial political spaces that are as inclusive as possible.

- Ganuza & Francés, 2012

“Comparing PB voters to similar individuals who were not exposed to PB, we find that engaging with participatory budgeting increased individuals’ probability of voting by an average of 8.4 percentage points.”

A decorative graphic consisting of green circuit lines with small circles at the ends, extending horizontally from the left and right sides of the central text box.

DISCUSSION: WHAT IN YOUR VIEW
EXPLAIN THE SUCCESS OF PB
WORLDWIDE/ IN FINLAND?

MODELS OF PB

Budget appropriation	Saving focussed	Target groups	Object of intervention	Theme or sector	Funding model
Percentage Per mille Fixed sum	Identifying and prioritizing savings	Young people Disadvantaged Marginalized groups	City district Region Park, street, library, common space	Safety Communality Well-being Ecology	Integrated budget Separage fund Crowdfunding Hybrid funding



1

Brainstorming

2020-10-05 - 2020-10-25

2

Co-creation

January-April 2021

3

Voting

Autumn 2021

4

Implementation

2022

OMASTADI 2018-2020

PARTICIPANTS 69,668	ASSEMBLIES 1
PROPOSALS 1,273	ACCEPTED PROPOSALS 839
RESULTS 44	PLANS 351
ACCEPTED PLANS 296	
COMMENTS 3,722	MEETINGS 108
ENDORSEMENTS 4,965	

	KAUPUNKILAISET	KAUPUNGINKANSLIA	TOIMIALA
Ideat 1.10.–14.11.2018	Osallistuvat ideointitapahtumaan tai järjestävät sellaisen.	OmaStadin markkinointi ja viestintä. Asukkaiden osallisuuden tukeminen ja yhteistyö toimialojen kanssa.	Tukee alueellisissa palveluissa kaupunkilaisia osallistumaan ja viestii OmaStadista kanavissaan. Tuottaa tietoa toimialan suunnittelusta, suunnittelua ohjaavista linjauksista sekä kustannuksista.
Ehdotukset 15.11.18–30.1.2019	Tekevät ehdotuksia OmaStadi-palveluun.	Ideoiden esitarkastus ja teemoittelu kohteen tai palvelun mukaan. Vuorovaikutus ja viestintä kaupunkilaisille.	Yhteyshenkilö merkitsee Exceliin ehdotuksen arvioivan asiantuntijan ja lähettää hänelle viestin vastattavaksi tulleeesta ehdotuksesta.
Suunnitelmat 7.–30.1. 2019	Ideota yhdistellään kaupunkilaisien kanssa ehdotuksiksi, jotka viedään alustalle.	Alueellisten yhteiskehittämistilaisuuksien valmistelu ja kaupunkilaisten kutsuminen niihin.	Yhteyshenkilöt ohjaavat ehdotukset oikealle asiantuntijalle. Palvelujen henkilöstö tukee kaupunkilaisten osallistumista yhteiskehittämiseen.
(OmaStadi Raksat) 11.2.–28.2.2019	Kaupunkilaiset ja asiantuntijat täsmentävät suunnitelmia ja laativat alustavat kustannusarviot.	Järjestää alueraksat ja huolehtii viestinnästä kaupunkilaisille ja raksojen ohjaamisesta. Ehdotusten ohjaaminen toimialoille.	Toimialojen asiantuntijat osallistuvat raksoille ja tuottavat suunnittelun pohjaksi tietoa ja alustavan kustannusarvion.
Kustannusarviot 15.4.–14.6.2019		Tukee tarvittavaa vuorovaikutusta kaupunkilaisten kanssa ehdotusten ja kustannusarviointien laatimiseksi.	Huolehtii suunnitelmien kustannusarvioinnista sekä niiden perusteiden laatimisesta ja tarvittavasta vuorovaikutuksesta kaupunkilaisten kanssa.
Äänestäminen 1.–31.10.2019	Markkinoivat suunnitelmiaan ja innostavat alueen asukkaita äänestämään.	Äänestämisen markkinointi ja viestintä, kaupunkilaisten osallisuuden tukeminen ja yhteistyö toimialojen kanssa.	Äänestämisen markkinointi ja viestintä. Kaupunkilaisten tuki äänestämisessä ja osallistumisessa palveluissa.
Toteutus ja seuranta 2020→	Osallistuvat suunnitelman tarkentavaan suunnitteluun ja mahdollisesti myös toteutukseen.	Koordinoi kaupunkitasoisesti hankkeiden toteutusta ja viestintää ja tukee vuorovaikutusta kaupunkilaisten kanssa.	Huolehtii hankkeiden toteutuksesta ja seurannan ajantasaisuudesta OmaStadi-palvelussa. Hankkeiden toteutuksen eri vaiheista viestiminen.

WHAT ARE THE WANTS OF RESIDENTS?



Osallistuva budjetointi 2018-2019

Lisää siisteyttä Itä-Helsinkiin

Hankitaan lisää roska-astioita, penkkejä rantakadulle sekä kampanjoidaan siisteydestä päiväkodeissa,...

Hankkeen edistyminen

100%

Rakennettu ympäristö

Itäinen

Näytä hanke

1



Osallistuva budjetointi 2018-2019

Tekonurmikenttä arabian peruskoulun viereiselle hiekkakentälle

Rakennetaan tekonurmikenttä Arabianranta liikuntapuiston hiekkakentälle. Tekonurmikenttä palvelee Ar...

Hankkeen edistyminen

100%

Liikunta ja ulkoilu

Keskinen



Osallistuva budjetointi 2018-2019

Liikuntaa ja hyvinvointia tukevia palveluita ikäihmisille Koillis-Helsinkiin - Lähelle kotia

Edistetään ikäihmisten kokonaisvaltaista hyvinvointia tuomalla lähelle kotia mielekästä yhdessä teke...

Hankkeen edistyminen

25%

Terveys ja hyvinvointi

Koillinen

Näytä hanke

0



Osallistuva budjetointi 2018-2019

Trampoliineja yleisiin puistoihin

Oulunkylän liikuntapuistoon ja Maunulan leikkipuistoon asennetaan yhteensä kuusi maahan upotettavaa ...

Hankkeen edistyminen

50%

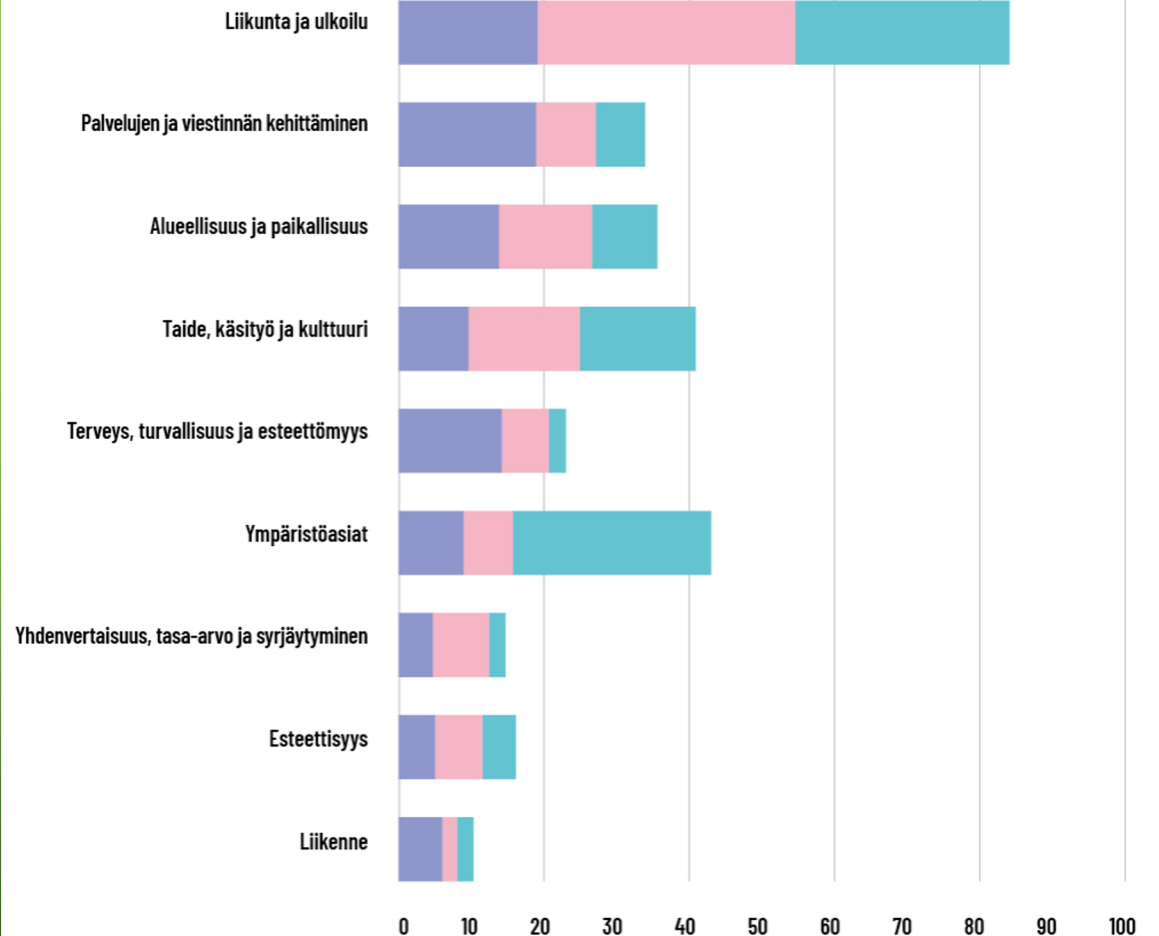
Liikunta ja ulkoilu

Pohjoinen

Ehdotusvaihe

Suunnitelmavaihe

Toteutusvaihe







WAS
OMASTADI
SUCCESSFUL?



TOP 10 CRITERIA FOR CONSIDERING PARTICIPATORY APPROACHES

- Objective: inform, consult, involve, collaborate, empower (iap2.org)
- Participants: experts, stakeholders (e.g. businesses), value advocates (e.g. NGOs), policy integrators, media, citizens)
- Project/ policy cycle: monitoring, planning (upstream), decision-making (downstream), implementation, evaluation
- Rationales: epistemic, normative (democratic), social (acceptance & usefulness)
- Orientation: innovations vs. democracy
- Methodology: formal vs. informal; quanti vs. quali; one vs. many; simple vs. complex; traditional vs. innovative
- Level: micro (e.g. local) – meso (regional) – macro (e.g., national, global) – multi-level
- Representation: political (status quo), discursive (Q-method), random, socio-political (e.g., statistical, stratified random), open (self-selection), biased (e.g., positive discrimination)
- Context: stabilized – conflicted – turbulent
- Issue: simple, complicated, complex; risky, uncertain, ambiguous

THE CO-CREATION RADAR



“big footprint in research, innovation and society”

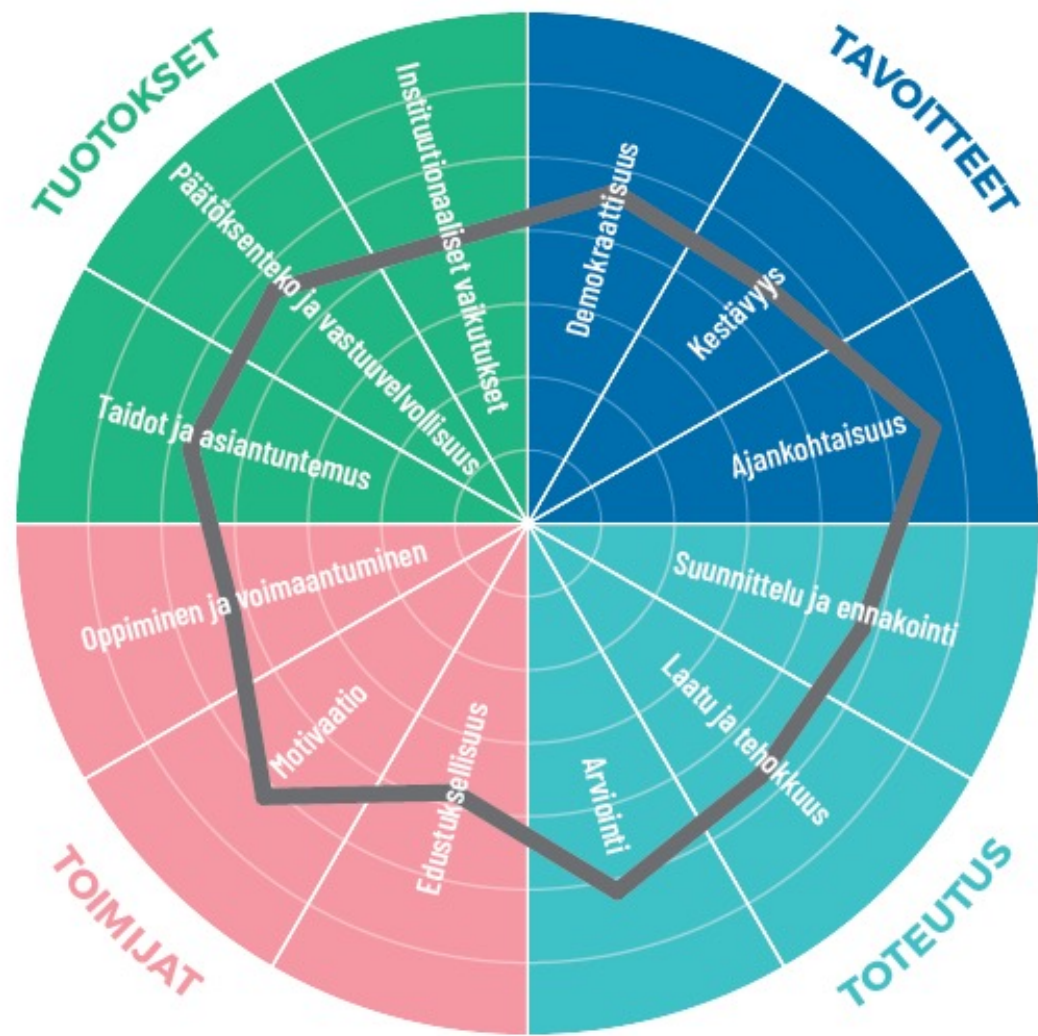
“right goals”

“right people”

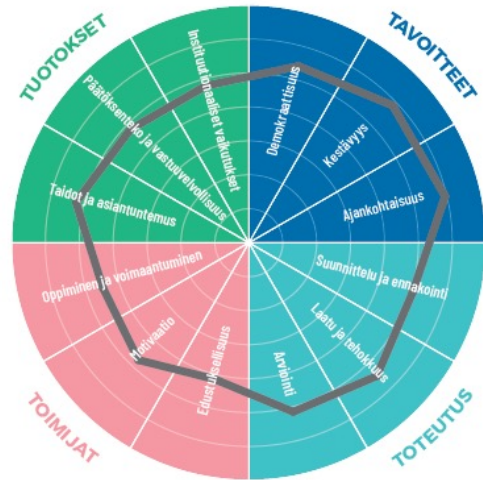
“right methods”

AREA	DESCRIPTION	INDICATOR	QUESTIONS
I Objectives	Participation projects usually aim to promote democratic values, sustainable development and other current objectives.	1 Democracy	Is the primary goal of the project to democratise decision-making? Can the participants themselves influence the implementation of the project? Is the project conducted transparently and openly? Is the operational model seen as legitimate?
		2 Sustainability	Do the objectives of the project take into account ecological, social, and economic sustainability? Is the project linked to relevant sustainable development programmes and goals?
		3 Topicality	Are the objectives of the project carefully justified and based on considered judgement? Are they timely? Have the objectives been open to modification when necessary?
II Implementation	The implementation of a project usually includes three stages: planning, execution, assessment.	4 Planning and anticipation	Have sufficient resources been allocated to the project? How have the project's questions been framed? How has the accessibility of events been taken into consideration? How have the tools and methods used in the project been selected?
		5 Quality and efficiency	How are the quality of the implementation of the project and the efficient use of resources balanced? Is the chosen management method effective? What strategies are used to communicate about the project? How are events facilitated? What are the discussions at the events and on the platform like? What kind of digital support has been arranged?
		6 Assessment	What kind of evaluation activities have been planned for the project? How will the project's indirect effects be assessed? How is data collected, analysed, and to whom is it reported? Has the project been modified following the assessment?

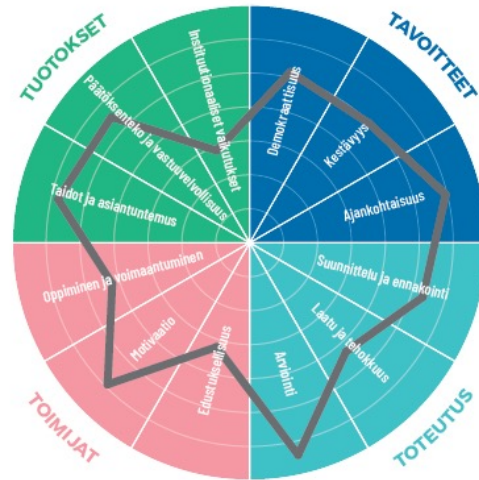
AREA	DESCRIPTION	INDICATOR	QUESTIONS
III Actors	A participation project typically aims to reach diverse groups of participants (participant eco-system) and to gather their knowledge and views, as well as support their learning and empowerment.	7 Representative-ness	How heterogeneous was the group of participants? Who took part? How was the representativeness of future generations taken into account?
		8 Motivation	How motivated were the participants? Were they satisfied with the events? Did they manage to network with other stakeholders? Did they receive compensation for their participation? Was low motivation the reason for non-participation? Were people motivated the right way?
		9 Learning and empowerment	What skills did participants learn during the participation process? Do they now have a better understanding about substantive discussions and/or the decision-making process? How did participants collaborate with other stakeholders?
IV Results	The effects of the project on the organisation itself; the impact on decision-making and the wider institutional environment	10 Skills and expertise	How have the organisation's own competences and skills developed? Have outside experts been consulted, e.g. through research cooperation? Did stakeholder groups receive training? Is the organisation supporting learning? Were there sufficient resources allocated and opportunities sought to develop in-house expertise?
		11 Decision-making and accountability	How committed is the organisation to the project? How is participant feedback linked to decision-making? How was the feedback analysed? What feedback have citizens received and how was such feedback communicated?
		12 Institutional impacts	What new collaborations with universities, museums, schools, businesses, and other stakeholders have arisen? Have any new businesses been created? Has the participation project inspired changes in the organisation's entrenched practices? Have decision-makers learned from citizens?



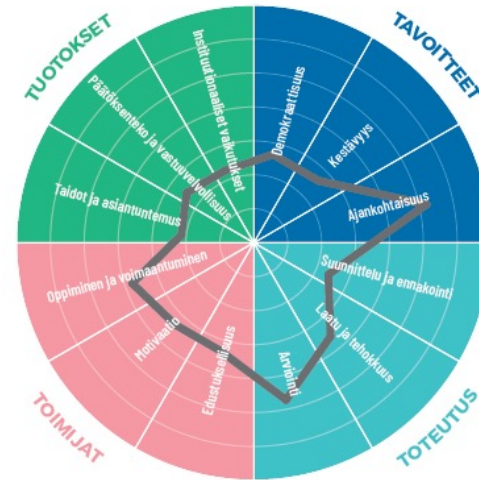
Kaupungin asiantuntijat



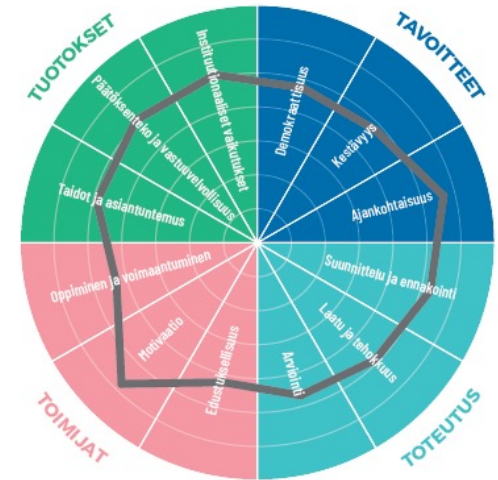
Poliittiset päättäjät



Yhdistys- ja järjestötoimijat



Omastadi-työryhmä



CAUTIOUSLY POSITIVE EVALUATION

STRENGTHS

- High voting percentage
- Abundant ideas for developing the city
- Co-creation between residents and city experts rocks
- Borough liaisons are needed
- Experimental orientation

QUESTIONS

- Cost-effectiveness
- Gamification

TO BE DEVELOPED

- Closer connection to proximity democracy
- Attention from voting to deliberation
- Clarification of the objectives
- Role of evaluation and research
- Highlighting the results and impacts
- Heightened participation by NGOs, businesses and research organisations'
- Equity challenge!



SOME SPECIAL ISSUES

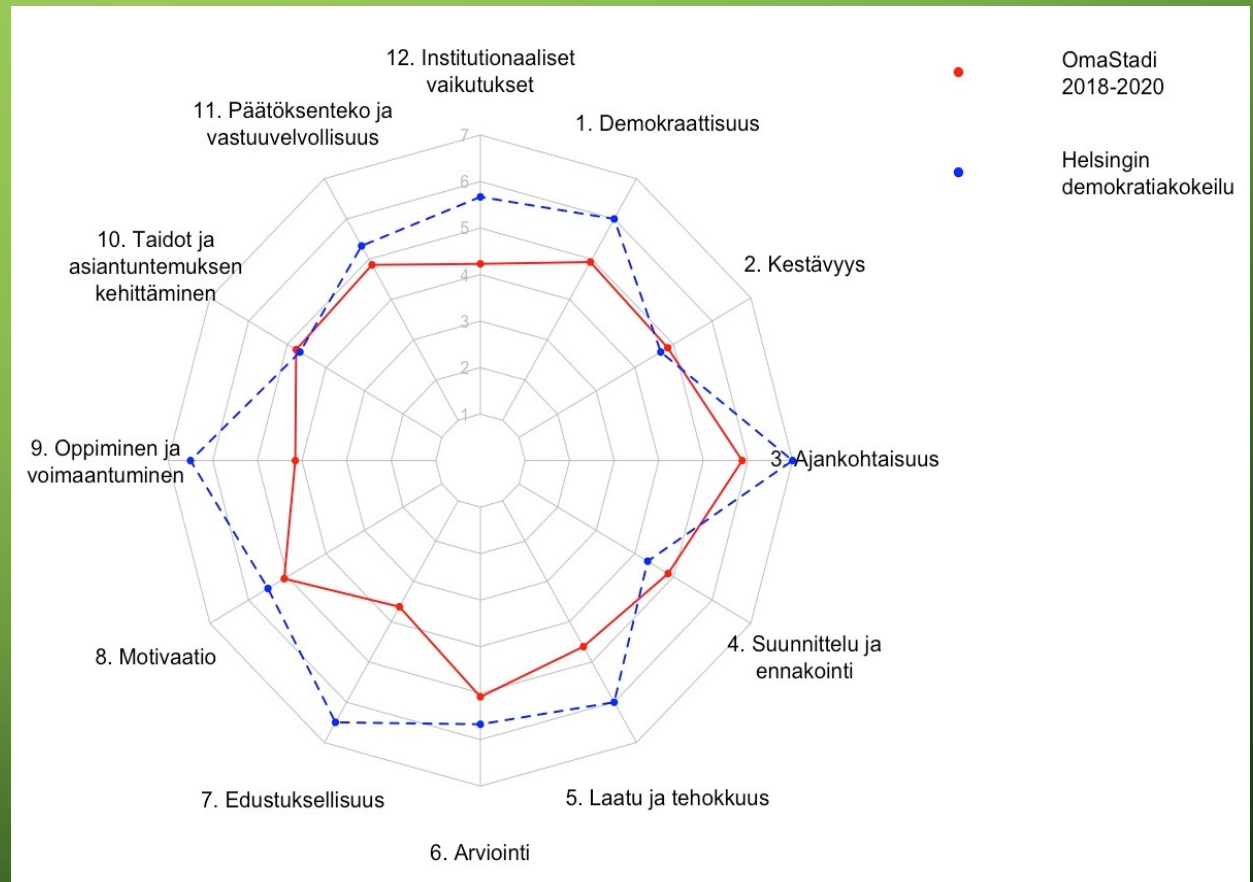


WHAT CAN BE DONE WITH THE EQUITY CHALLENGE?

Venäjänkielisen väestön äänen vahvistaminen kaupungin palveluiden kehittämisessä ja pääöksenteossa

Helsinki

Hankkeessa lisätään venäjänkielisten osallistumista osallistuvassa budjetoinnissa ja kaupunkisuunnitteluhankkeissa. Osallistuvassa budjetissa järjestetään venäjänkielisille omia, tulkattuja osallistuvan budjetoinnin ideointityöpajoja, käännetään venäjäksi osallistuvan budjetoinnin materiaali ja koulutetaan venäjänkielisiä fasilitaattoreita, jotka pystyvät myös itsenäisesti vetämään osallistuvan budjetoinnin ideointia ja yhteiskehittämistilaisuuksia. Hankkeen puitteissa tehdään yhteistyötä venäjänkielisten yhteisöjen ja järjestöjen kanssa.



DOES PB SUPPORT INNOVATIVENESS?



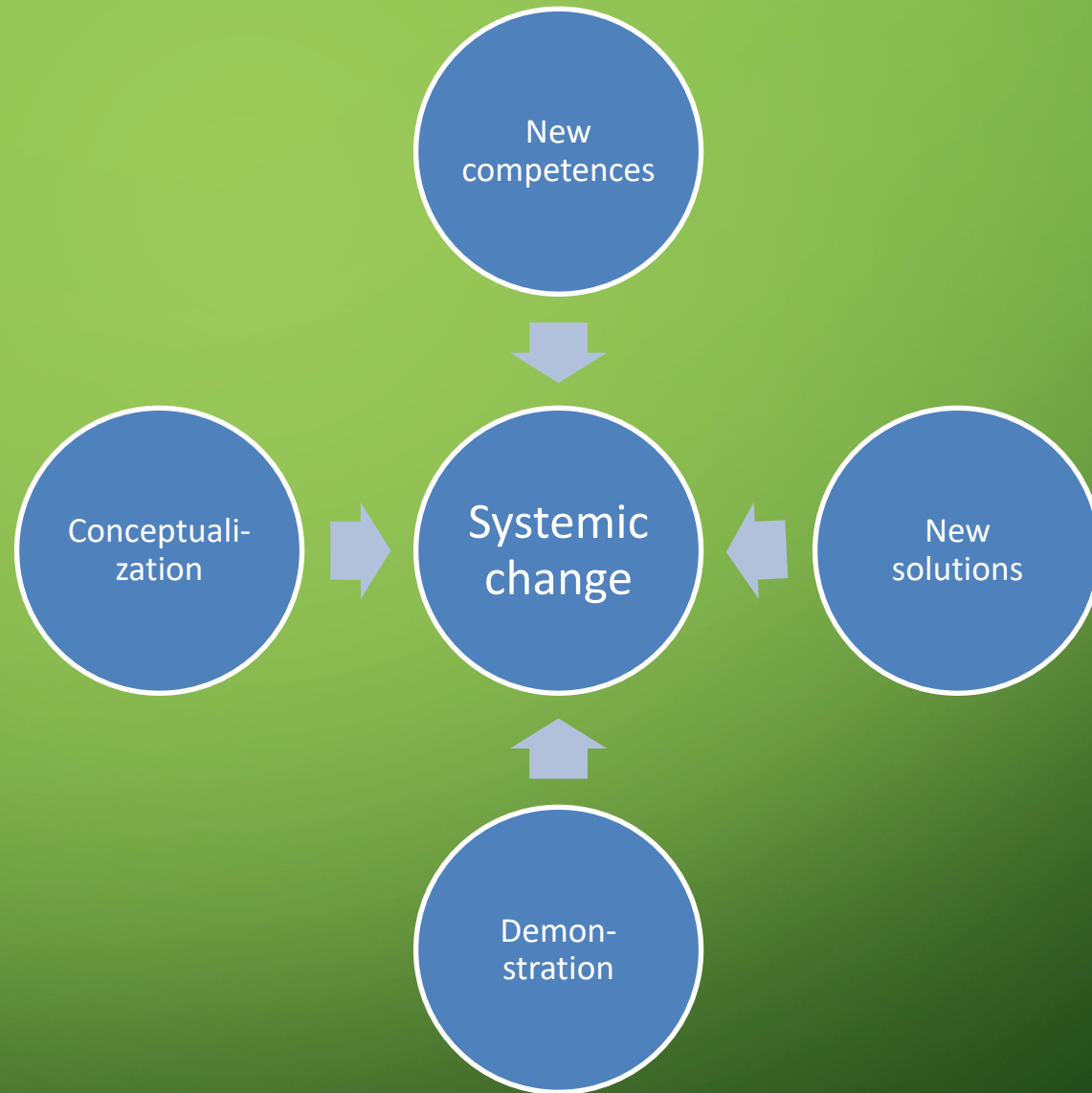
- 2-6% of the proposals in the 7+1 districts were classified as innovative (cf, Rogers, 1962).
- 4/44 (9%) of the funded were classified as innovative (e.g., “Vartiosaaren aurinkosähkölautta Reposalmeen”)
- Many of the interviewed experts and policy makers were disappointed about the banal nature of the proposals, “benches, dog poop bags and flower plantings”

HIDDEN NORMATIVE THEORIES




Rask, M., Mačiukaitė-Žvinienė, S., Tauginienė, L., Dikčius, V., Matschoss, K., Aarrevaara, T., & d'Andrea, L. (2018). *Public participation, science and society: Tools for dynamic and responsible governance of research and innovation*, Taylor & Francis, New York and London.

HIDDEN THEORIES OF SYSTEMIC CHANGE



Rask, M., Mačiukaitė-Žvinienė, S., Tauginienė, L., Dikčius, V., Matschoss, K., Aarrevaara, T., & d'Andrea, L. (2018). *Public participation, science and society: Tools for dynamic and responsible governance of research and innovation*, Taylor & Francis, New York and London.

A decorative graphic consisting of green circuit lines with small circles at the ends, extending horizontally from the left and right sides of the central text box.

**THANK YOU FOR YOUR
ATTENTION AND
INVOLVEMENT!**