Co-Designing the Future of the Participatory Budgeting Movement

The Participatory Budgeting Exchange:
Summary of Outcomes & Next Steps

Contents

Background

Over the course of 30 years of global expansion, participatory budgeting (PB) has been widely lauded as an effective process to strengthen democracy—one that can improve service delivery while increasing trust, engagement, transparency, and accountability between citizens and governments.

Yet behind this reputation is a range of real-world results. Just as PB is implemented in diverse contexts, at different levels of government, with different levels of resourcing, and for different objectives, the outcomes of PB processes also vary widely. Too many well-intentioned leaders and implementers end up with processes that suffer low participation and that fall short of intended goals. Often, these are due to common challenges and barriers; recent research has shown, for example, that nascent PB efforts often suffer from a "local expertise gap," meaning that knowledge about PB is concentrated within a relatively small network of international PB experts. There is an opportunity to overcome these shared barriers by developing and sharing new mechanisms of support for PB implementers.

The Participatory Budgeting Exchange was created to help seize this opportunity. This two-day co-design workshop, held in November 2018, brought together PB experts and implementers to discuss common challenges and propose solutions to address them. This report summarizes the workshop discussions and outputs. It is intended to inform further conversations within the global PB community. For researchers and advisors, it outlines needs and questions shared across global initiatives, which can help them prioritize their forward research and efforts. For practitioners, it provides a lens on the common challenges faced by colleagues in similar circumstances, as well as new global resources that may soon be developed (and that would benefit from their inputs). For funders and other allies, it summarizes priorities and new ideas, vetted and refined by the community of PB thinkers and doers, that would benefit from their support.

This report was prepared by Reboot, which designed and facilitated the event. The workshop was sponsored by the Hewlett Foundation. (A draft version of this report was shared with workshop participants and the global PB community for input in February 2019. This updated version reflects their feedback and comments.)
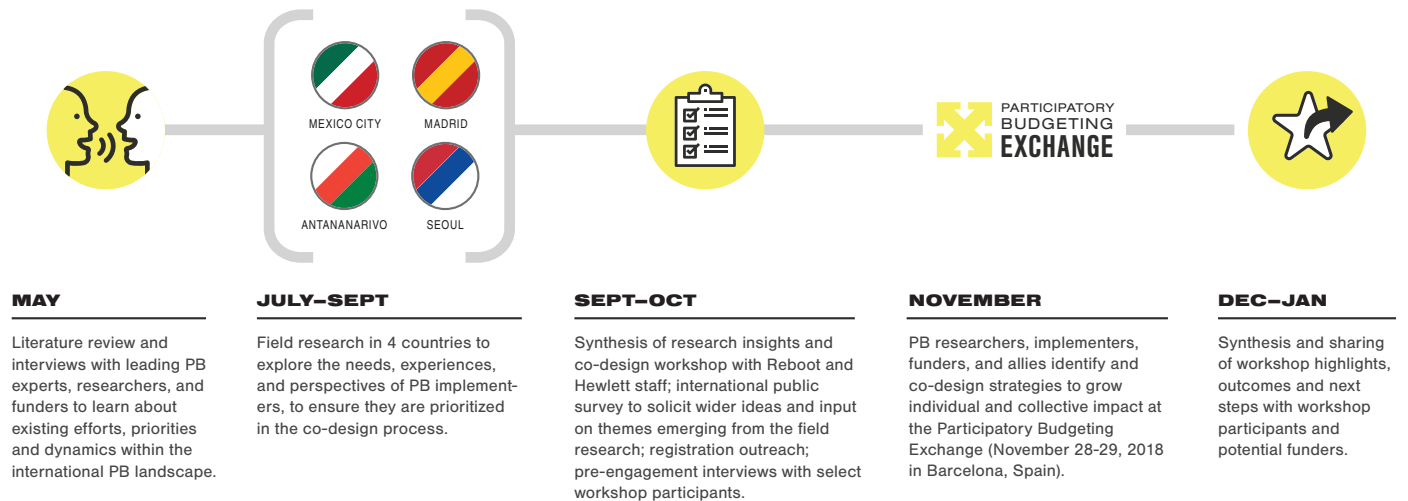
Project Context & Objectives

In early 2018, the Hewlett Foundation engaged Reboot, a social innovation firm specializing in governance and development issues, to explore the potential of new mechanisms to advance global PB research, peer learning, and coordination. This work built upon earlier research commissioned by Hewlett, which observed that existing analyses on the project questions tended to prioritize the perspectives of international experts and researchers; the views of local implementers were comparatively limited. Recognizing the critical role of implementers on the impact of PB initiatives, this project sought to prioritize implementer perspectives—both government and civil society—in problem exploration and solution design. Specifically, this project aimed to:

1. **Understand the key needs of PB implementers** in executing impactful PB initiatives, by understanding the perspectives and experiences of those delivering day-to-day PB activities across diverse contexts.

2. **Interrogate the potential impact of new global mechanisms to coordinate research, learning, and standards in PB**, by assessing the degree to which implementers across diverse contexts shared common needs.

3. (If the potential impact is high) **Facilitate co-design of new initiatives to address identified needs**, ensuring that designs were shaped by a range of PB actors: leaders and implementers of local PB initiatives, international PB researchers and advisors, funders, and allies from adjacent practitioner communities.

CO-DESIGN PROCESS

Recognizing the vast expertise that already exists within the PB landscape, the project aimed to build upon collective, hard-won wisdom and help PB implementers strengthen global PB efforts and impact. Reboot first undertook primary and secondary research (outlined below) to gain a deeper understanding of the existing PB landscape, and the needs of implementers. Findings were synthesized and used to shape the co-design workshop, informing the design of the agenda, activities, and briefing materials that were the ingredients for collaborative design work.

MAY	**JULY–SEPT**	**SEPT–OCT**	**NOVEMBER**	**DEC–JAN**
Literature review and interviews with leading PB experts, researchers, and funders to learn about existing efforts, priorities and dynamics within the international PB landscape.	Field research in 4 countries to explore the needs, experiences, and perspectives of PB implementers, to ensure they are prioritized in the co-design process.	Synthesis of research insights and co-design workshop with Reboot and Hewlett staff; international public survey to solicit wider ideas and input on themes emerging from the field research; registration outreach; pre-engagement interviews with select workshop participants.	PB researchers, implementers, funders, and allies identify and co-design strategies to grow individual and collective impact at the Participatory Budgeting Exchange (November 28-29, 2018 in Barcelona, Spain).	Synthesis and sharing of workshop highlights, outcomes and next steps with workshop participants and potential funders.

Prioritizing "unheard" voices

Significant effort has been invested across decades to develop guidance materials to support potential political champions in their decision to adopt PB, as well as to support civil society in advocating for it. Less attention has been focused on PB's operational actors: the policymakers who inherit mature PB processes that may have evolved away from their original objectives; government departments responsible for implementing PB project proposals where residents' ideas have failed to translate into feasible projects; or the public servants and resident delegates who must build up grassroots buy-in midstream. These operational actors are critical to the success of PB initiatives.

To ensure the co-design work was grounded in the experiences and needs of such implementers (who are often too busy doing the work to participate in larger coordination efforts), Reboot gathered their perspectives through field research on four implementations in Madagascar, Mexico, South Korea, and Spain. We conducted 150 individual, semi-structured interviews across these locations—with elected officials, civil servants, technical specialists working within sectoral departments, resident delegates, civic technologists, civil society representatives, donor field staff, journalists, political analysts, and residents—alongside additional focus group activities. Findings from field research were analyzed for commonalities across the contexts, then packaged into design prompts for co-design (see Annex B) to help ensure proposed solutions addressed tangible and common implementer needs.
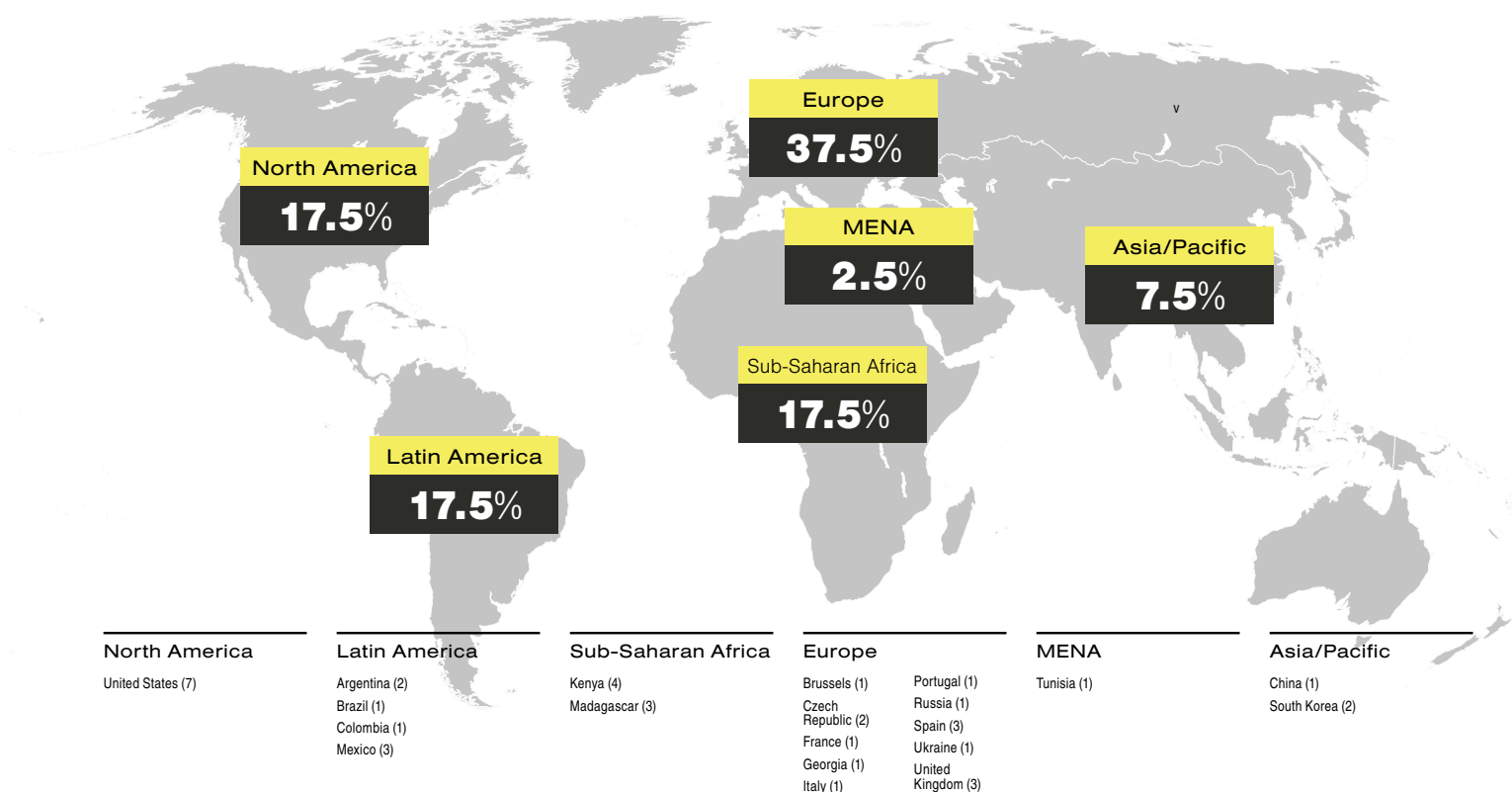
Workshop
Overview

The Participatory Budgeting Exchange was held in Barcelona, Spain, on November 28 and 29, 2018. The workshop had two primary objectives:

- **To share approaches and co-design new resources** to address common PB challenges

- **To define how these resources can be best coordinated and distributed** to support PB implementers and strengthen initiatives around the world.

The workshop agenda can be found in Annex C.

Building new initiatives to deliver global impact requires a diversity of perspectives, skills, and experience. Prioritizing government and civil society actors, participants were recruited through an open call for registration, disseminated through relevant PB research and practitioner networks. The selection of invited participants aimed for a spread across the following considerations: stakeholder type, geography, current role within a local PB initiative (including seniority and years of experience), characteristics of their PB initiative (e.g. territorial level, scale, and maturity), and gender diversity. The geographic spread of the 40 workshop participants is represented below:

Europe
37.5%

North America
17.5%

MENA
2.5%

Asia/Pacific
7.5%

Sub-Saharan Africa
17.5%

Latin America
17.5%

North America	Latin America	Sub-Saharan Africa	Europe		MENA	Asia/Pacific
United States (7)	Argentina (2)	Kenya (4)	Brussels (1)	Portugal (1)	Tunisia (1)	China (1)
	Brazil (1)	Madagascar (3)	Czech Republic (2)	Russia (1)		South Korea (2)
	Colombia (1)		France (1)	Spain (3)		
	Mexico (3)		Georgia (1)	Ukraine (1)		
			Italy (1)	United Kingdom (3)		

There were two key limitations of the participant sample, which naturally impacted the focus and scope of the workshop discussions.

First, despite efforts to prioritize implementers in workshop invitations and outreach, implementers from government and civil society organizations represented approximately 46% of participants, due to issues with securing visas, as well as implementers' limited ability (per their mandates) to participate in international gatherings. Researchers, funders, and other experts comprised the rest of the group, which led to a "researcher bias" in workshop discussions, as the granular operational challenges raised by implementers were less relatable to the entire group than the more high-level trends raised by researchers. While implementers could certainly see themselves in these trends, the researcher-proposed needs prompted the design process toward broad recommendations (e.g. knowledge sharing among peers) rather than targeted, immediate solutions needed by implementers carrying out day-to-day PB activities. As proposed initiatives move forward, it will be important to ensure that implementer needs and perspectives better drive further development, testing, and implementation.

Second, there was limited representation of PB models initiated by external donors (vs. governments) at the workshop, which present unique challenges and opportunities for PB globally, and of the donors that support these efforts. Reboot's research suggests the need for critical examination of the impact of aid-supported PB initiatives, which can often have negative unintended consequences in the environments in which they are implemented. More analysis on this point, and suggestions for forward work, are summarized in Closing Reflections.

Co-Design Outputs

DESIGNING INITIATIVES TO SUPPORT IMPLEMENTERS

Defining the problem is the most important first step for any work. Workshop participants began the co-design process by discussing a number of scenarios, based on research, representing common challenges faced by PB implementers in diverse contexts.

Key Scenarios Experienced by PB Implementers

Unclear if PB is Right

When considering whether to adopt PB, decision-makers are often unsure how to assess PB's relative value (against other participatory processes) and how it might fit into (and complement) a broader set of civic engagement initiatives.

Top-Down Mandates

PB is often introduced through top-down mandates or political promises, which can create rigid frameworks for developing PB initiatives that are responsive to local context.

Limited Relevant Guidance

PB implementers are often unsure of how to find relevant guidance when they encounter implementation challenges.

High Stakeholder Coordination Needs

PB is a multi-stakeholder process, and implementers often feel unprepared for the heavy coordination and facilitation required.

Slow or Stalled Implementation

When implementation of winning PB projects slows or stalls, it limits PB's impact and undermines the hard-won trust that has been built between governments and citizens during the process.

Limited Participation

When participation is limited to small groups of actors (e.g. powerful local business leaders, or those with strong political ties), there is risk of PB processes being co-opted for the benefit of a privileged few.

At the workshop, participants explored each of these scenarios and contributed their own experiences. They then discussed and outlined possible initiatives to support implementers facing these challenges around the world. Together, the proposed initiatives highlight promising areas of future work for actors looking to advance the global impact of PB.

Note: A more detailed version of these scenarios can be found in the Design Brief (Annex B) with the exception of the final prompt, which was surfaced by participants during Day 1 of the workshop.

KEY THEMES FOR PRIORITIZATION IN FORWARD WORK

The initiatives proposed point towards three key themes for prioritization in forward work: i) Consolidation of Research and Tools, ii) Design Guidance, and iii) Custom Learning Networks. Below, we further explore opportunities within each theme. (A categorized table of the initiatives proposed by participant working groups can be found in Annex A).

Theme 1: Consolidation of PB Research and Tools

Opportunity 1: Develop "resource libraries" that help different PB actors identify the most relevant materials for their needs and contexts

Finding necessary guidance at key decision moments is critical for implementers involved in day-to-day PB implementation and problem solving. Although significant PB resources and tools exist, implementers are often unsure of how to best locate and access the type of guidance and tools they need in real-time. Consolidation—through a central body and/or online platform—and a categorization system to help implementers more easily find relevant tools and research would help them leverage decades of learnings and resources from the international PB community. Participants suggested categories that include:

- **Categorization of resources:** The ability to view and search for resources based on preferred language, relevant geographic region, date of publication, stage of PB implementation (e.g. advocacy, design, implementation, evaluation), and type of resource (distinguishing between research and training materials).

- **Categorization of case studies:** The ability to identify PB models, case studies, and outreach tools relevant to their specific context based on geographic, political, or other contextual similarities.

- **Categorization by theme:** The ability to search for applied research or resources on specific PB themes (such as "outreach to marginalized groups", or "selecting winning projects").

Best Practices for Researchers, To Better Support Implementers

To help implementers from vastly different contexts benefit from existing resources, participants recommended that researchers:

- **Prepare clear and concise research summaries** to help implementers understand and apply learnings. (Participants suggested that short video clips could be a particularly effective way to introduce and explain PB processes or rules).

- **Provide regular updates on newly published research, progress of case study sites, and training materials** via a central and regularly updated website, a practitioner email list, or announcements at relevant international events.

- **Digitize existing materials** to expand access for implementers in different contexts.

- **Integrate visual design** to help call attention to key findings, and increase demand for and application of learnings by clarifying and distilling complex ideas into accessible visuals.

- **Translate key resources into multiple languages** to help implementers in diverse contexts to make use of them.

Opportunity 2: Create customizable sets of PB resources to help implementers execute common PB activities

PB implementers often face resource constraints when rolling out their initiatives. Creating sets of customizable resources (e.g. tools and templates with options, for instance, to replace boilerplate text) can help more implementers deliver impactful PB processes. Removing the burden of upfront investment in development of shared tools (e.g. digital platforms for managing the PB process, or well designed and customizable communication materials with messages appropriate for different types of residents) allows implementers in diverse contexts to benefit from well-designed materials for common needs, such as resident outreach.

Theme 2: Design Guidance

Opportunity 1: Develop design tools to help implementers design and adapt PB processes for their goals and contexts.

Initial design of new PB initiatives often happens in one of the following ways: an external PB expert or advisor is engaged to study the local context and propose a suitable PB model; a PB model from another context is introduced for local implementation; or a local PB team selects and adapts another PB model to fit their context. Once designed, a model is typically handed over to a team of operational actors for implementation. Often uninvolved in the initial design, these implementers struggle to understand the rationale behind different design decisions and features, and how to assess trade-offs when problem-solving midstream.

Workshop participants proposed different ways to help implementers assess a range of design options and potential outcomes, including:

- **Design toolkit:** A toolkit that packages existing research and accumulated expertise on how to design PB for different contexts and different outcomes. To increase ease-of-use for implementers, the toolkit could use a decision-tree format (or if/then statements) to guide implementers through the design process. At different stages or for different decisions, implementers are asked questions about their implementation context and their desired priority outcomes; answers to these questions would then inform which process features are recommended to them (as most suitable). This resource could include real-world examples to help users think through the likely outcomes of different design choices and avoid common pitfalls.

- **Body of vetted experts:** A global body of vetted PB experts and advisors, with links to the processes they have advised on and their respective results, that could offer in-person or remote guidance.

Theme 3: Custom Learning Networks

Opportunity: Develop custom learning networks to help PB actors access the guidance they need, when they need it.

Participants proposed custom learning networks that can help implementers share experiences and ideas with those like them—that is, those that in similar roles, are implementing in similar contexts, and at similar stages of their PB cycles. Too often, participants noted, resources cover the PB process as a whole and the timing of international events may not fit with when implementers need to problem-solve. Connecting implementers with the support they need when they need it, and from peers in relatable situations, was seen as important for success. This peer-to-peer learning was proposed as an important complement to (the more dominant) expert-to-implementer models of knowledge exchange. Engaging experts can be expensive for resource-constrained governments, and thus continuous engagement throughout an implementation can be cost-prohibitive. Additionally, experts often have limited exposure to the granular operational challenges faced by PB implementers, and so peer implementers may be better suited to problem-solve around such issues.

Custom learning networks (both on- and offline) could be established for different phases of PB implementation, and each would target and support different PB actors in the phases where they are most influential or most in need. At each phase, the nature and source of support provided would differ, for example:

- Advocacy efforts to drive PB adoption could be supported by international norm-setting bodies (e.g. multilateral initiatives, INGOs) who can provide incentives for political commitment (e.g. access to international forums, resources for implementation); by funders who could offer financial or technical support to offset resources needs; or successful PB leaders from other contexts who can speak to the benefits they have gained by launching PB. (Target: Government or civil society champions)

- Once the decision to adopt PB has been made, PB experts (e.g. researchers and consultants) could support by providing guidance on how to co-design an appropriate PB model for their contexts and priority outcomes, and connecting them to relevant expert / peer networks. (Target: PB process designers)

- During implementation, implementing peers in similar roles could share successful tactics for navigating shared operational challenges (e.g. from managing day-to-day institutional processes, to navigating constraints within government departments tasked with implementing winning PB projects, to expanding participation amongst new and hard-to-reach groups). (Target: Government implementers)

- Evaluation and learning could be supported by experts, external specialists (e.g. communication or advocacy experts), and peer implementers: PB experts could assess the impacts of PB initiatives and develop easy-to-use monitoring tools for implementers; external specialists (such as communication experts) could support documentation and sharing of key learnings within the wider PB community; peer implementers could share methods for real-time monitoring and iteration.

DESIGNING PLATFORMS FOR GLOBAL LEARNING AND COORDINATION

Building on their work designing initiatives to support PB implementers, the focus on Day 2 of the workshop shifted to defining how the proposed initiatives would be delivered, and how a global mechanism for delivery and coordination of efforts may work. Recognizing that, in its early stages, a global mechanism would need to focus on a more narrow set of priorities for piloting, participants were asked to rank the relative importance of functions that had emerged on Day 1. The group assessed each function based on its relative impact (on the challenges faced by implementers, and the global PB community at large) and on its relative feasibility (given limited resources for a global body at the outset). The results of voting are captured in the diagram below; the highest-ranked emerging priorities for both impact and feasibility were Research Coordination and Peer Learning.
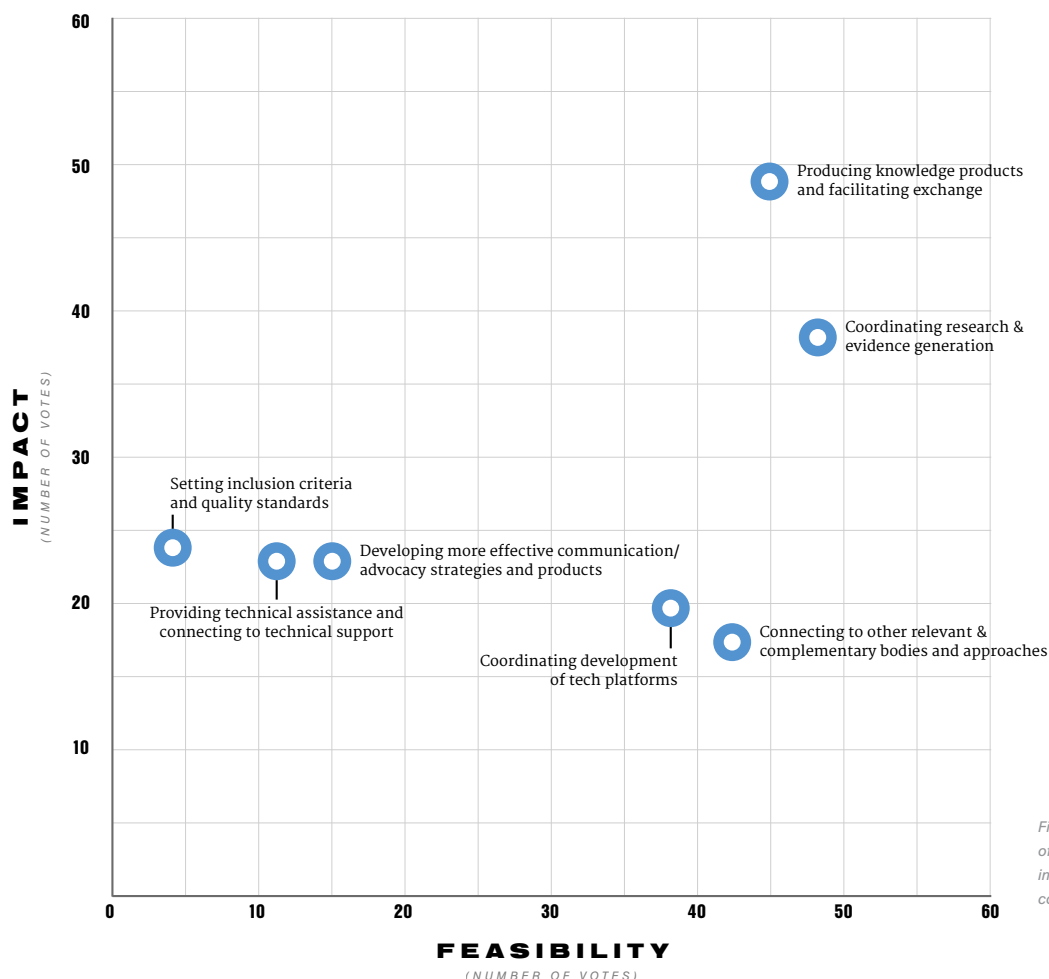
Chart data points (Feasibility vs Impact, Number of Votes):
- Producing knowledge products and facilitating exchange (~45, ~49)
- Coordinating research & evidence generation (~47, ~38)
- Setting inclusion criteria and quality standards (~4, ~24)
- Providing technical assistance and connecting to technical support (~11, ~23)
- Developing more effective communication/advocacy strategies and products (~15, ~23)
- Coordinating development of tech platforms (~38, ~19)
- Connecting to other relevant & complementary bodies and approaches (~42, ~17)

Axis labels: **IMPACT** *(NUMBER OF VOTES)* (vertical), **FEASIBILITY** *(NUMBER OF VOTES)* (horizontal)

Figure 1 (left): Results of participant voting on initial priorities for a global coordinating mechanism.

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the Participatory Budgeting Movement

Recognizing these would be the priorities for the pilot of a new global body, participants then worked in self-organized small groups to explore different ways to structure and design a global body that could, in its first instance, effectively deliver the pilot. The following section, "Considerations for Organizational Design," captures the high-level points of consensus and tension that emerged in each of the design conversations; first, it is important to detail a few key recommendations surfaced across the groups for the global body. Participants believe the global body should:

Add value through coordination, not direct service delivery.

Participants recommended that, rather than adopting a direct service-delivery model, the global body should adopt a cooperative model, with a central coordinating body identifying and engaging existing organizations to deliver pilot activities. By leveraging existing expertise, networks, and events (rather than try to build it anew), the global body could both accomplish more and would not duplicate or supplant valuable existing work.

Balance needs for flexibility and for structure.

Groups acknowledged tensions between establishing the foundational infrastructure required for the long-term with the need to build on existing momentum and "get to work". Participants emphasized the importance of remaining a "learning organization" that was flexible enough to adapt and incorporate new processes, structures, and approaches; they also cautioned against developing overly rigid administrative and operational structures, especially in this early period. Clearly communicating this bias to initial funders could help mitigate pressures to prematurely commit to one operational model.

Balance broad participation and quick progress.

Groups noted the importance of a structure that embodied the values of PB itself, and of decision-making approaches that considered the diversity of PB implementations and stakeholders. Yet participatory processes carry costs that can undermine momentum and progress, particularly for a new initiative. Not unlike a PB process, it would be worthwhile to further consider and identify which types of participation make the most sense when, by whom, and for which activities. Ultimately, with limited resources at the outset (USD 500,000 of seed funding, though this could be increased by other funders), participants agreed that the bulk of funding should be allocated to delivering on pilot activities. The co-design process undertaken at the Participatory Budgeting Exchange, and collecting global feedback on the workshop outputs, was seen as sufficiently participatory for this stage of the process.

Preserve independence in pursuing community-defined priorities.

Seed funding will likely come exclusively from philanthropic or development funders, based on the extent to which the initiatives align with their priorities. While the broad perspective and experience of funders can be helpful in informing the global body's work, participants noted it would be important to ensure funder interests did not overly influence its agenda. Proposals on how the global body may preserve its independence include:

- Establish representative structures and processes for decision-making that balance input from implementers, experts, and funders

- Introduce a membership model for governments, with sliding-scale fees to encourage ownership and active participation from governments, and where donors can subsidize the membership costs for resource-constrained governments

- Limit member votes regardless of institutional size (e.g. through a "one organization, one vote" system, even for powerful development actors such as the World Bank or GIZ), should the decision-making structures evolve to include voting for members or other stakeholder groups

CONSIDERATIONS FOR ORGANIZATIONAL DESIGN

Each of the aforementioned small groups tackled a different aspect of the proposed global coordinating body:

1. Structure & staffing	2. Business strategy	3. Research agenda	4. Learning models

1. Creating Processes for Structure and Staffing

This group explored how to best establish initial operational and governance processes for global coordination, and believed it would be best to incubate the global body within an existing organization. Doing so for initial 12- to 18-month period could help keep operating costs low, enabling savings on office space, hiring costs, and other startup expenses. To identify a suitable host organization, select workshop participants (and potentially other PB implementers) could form a panel to review proposals submitted in response to advertised terms of reference.

The group also recommended the global body "start small" to discover what works. The organization should begin operation by delivering the two prioritized initial activities (Research Coordination and Peer Learning), funded through sub-grants that it awards and manages. Narrow scoping of these early activities would be needed in order to ensure resource efficiency, and to ensure a nascent organization doesn't spread itself too thin.

Selection Criteria for Host Organization

Through a survey in December 2018, workshop participants proposed criteria for selecting an organization to host and incubate the global body, in the following prioritized order:

1. Expertise and proven leadership in the field of PB

2. Experience working with a range of global government, civil society, and private sector partners

3. Expertise and proven leadership in broader approaches to participatory democracy

4. Track record of convening thematic networks of organizations and/or practitioners

2. Developing a Business Strategy

In this group, participants wrestled with different approaches to business and fundraising strategy, and recommended pursuing a diversified funding strategy. This group emphasized the importance of a business model that incorporates different funding sources—including donor support, member contributions, and fees for services—to maintain independence and sustainability. This strategy would allow the global body to both attract new resources to sustain organizational operations and growth, and prevent the "outsized" influence of funders (that could result from over-reliance on a single donor). To achieve these goals, the group proposed a staged fundraising strategy that branched from an initial seed funding "basket" into additional revenue streams that could be introduced as the body develops and strengthens the capabilities to manage these streams:

IMMEDIATE TERM **YEAR 1**	SHORT-TERM: **YEAR 2**	MEDIUM-TERM: **YEARS 3–5**

Secure seed funding from a small group of foundation "allies."

Participants recommended securing initial, renewable support from private foundations over multi- or bilateral organizations, as the former may be more likely to provide the flexible funding needed to pursue independent objectives. (While larger institutions already heavily involved in PB activities may try to exert too great an influence on the early direction of the coordinating body).

Introducing a fund matching platform to "equalize" influence

Soliciting equal contributions from each seed funder could help preserve independence by preventing any one donor from gaining greater influence based on the scale of their contributions.

Solicit project-based funding from multilateral and bilateral donors

to expand pilot activities and focus areas (by identifying institutions with shared objectives).

Introduce membership fees

for stakeholders (e.g. municipal governments, civil society groups) who benefit from the coordinating body's resources. This would help grow organizational resources and encourage active participation of members by creating a shared sense of ownership.

Charge fees for specific products

or services (e.g. digital PB platforms or specialized consulting services) coordinated by the global body.

3. Establishing a Research Agenda

Participants in this group developed key recommendations for shaping and launching an initial research agenda:

- **Establish research priorities with PB implementers and update it based on their feedback, to ensure research can be immediately applied.** It will be important that the research agenda is defined not just by PB experts and researchers, but also by PB implementers and representatives from "allied institutions" (e.g. those that promote PB in different ways, such as the World Bank or INGOs, to ensure the research questions being pursued have high demand among those that may use it to design real-world implementations). Research could also draw on a wider range of relevant disciplines (e.g. behavioral psychology), and practices (e.g. community organizing).

- **Develop guidelines for research quality and presentation to make expert knowledge more useful for practitioners.** There is need to further bridge gaps between PB researchers and practitioners to encourage greater knowledge exchange. Group suggestions included: i) working with implementers to develop a "practitioner-friendly" framework for how research could be more clearly presented, ii) validating research quality so that implementers know which examples to rely on for guidance, iii) offering trainings for researchers to help them better communicate their learnings to different groups of PB actors, and iv) exploring new channels for sharing research (e.g. sharing short "how-to" videos with key recommendations instead of long reports).

Priorities for Research

Participants recognized the value of a global body to coordinate and disseminate PB research, and of the possibilities it would provide to support comparative research. In terms of priorities, comparative research should seek to understand:

- **Factors that help or hinder the success of PB initiatives**, including the role of various sociopolitical factors, which process features are most likely to deliver which outcomes, approaches to adoption (e.g. "top-down" mandated PB initiatives vs "bottom-up" negotiated adoption, and type of legislation introduced (for mandated processes).

- **How PB is spreading in contexts with limited existing data**, including the varied PB models (and the design rationale behind them) implemented in authoritarian contexts.

- **Where and how to integrate technology**, including the processes that can be helped by technology, how to design and deploy complementary digital and analog processes, the limitations of technology, and the relative strengths and limitations of different technology platforms.

4. Designing Different Learning Models

In this group, participants examined ways to coordinate learning for different PB stakeholders and recommended a variety of learning models to accommodate the different needs of those implementing PB. In addition to supporting the development of a resource library (noted earlier), this group proposed three different offerings to support implementers' work and learning:

1. **Learning by doing:** Supporting implementers to develop pilots where they can experiment with possible approaches, with hands-on support from experts and researchers that advise and closely monitor results, over the course of the pilot.

2. **Learning by example:** Capturing real-world examples of successful PB initiatives through case studies (delivered via narrative and multimedia storytelling), and producing guides and tools to help implementers readily apply these lessons. The global body could also facilitate the in-person learning exchanges to allow implementers to study and learn from the experiences of peers.

3. **Learning from experts:** Connecting implementers to the right type of experts, who bring expertise and experience from similar contexts, to help implementers design, monitor, and refine their PB initiatives.

Roadmap for Forward Work

There is now an opportunity to build on the existing momentum of the Participatory Budgeting Exchange to move forward initial ideas. The Hewlett Foundation has allocated an initial USD 500,000 in seed funding for 2019 to support the resources and ideas that have emerged during the workshop, and participants have committed to supporting the work through feedback and collaboration, as well as applying for support to develop these initial activities. To this end, part of the workshop was devoted to forward planning. Here, we summarize the key roles and activities the group prioritized for each stakeholder in the coming year.
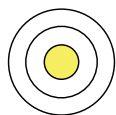
Reboot

To help carry forward ideas from the Participatory Budgeting Exchange, Reboot will:

- **Summarize the key takeaways and conversations from the Exchange** in this report (to be posted online at www.pbexchange.org).

- **Jointly organize (with the Hewlett Foundation) a funder roundtable to present workshop outcomes** to relevant program staff of the Hewlett Foundation, the Omidyar Network, the Transparency and Accountability Initiative, and the World Bank; consider hosting a presentation separately for international development agencies that are promoting aid-supported models of PB.
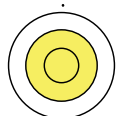
Hewlett Foundation

To support implementation of ideas emerging from the workshop, the Hewlett Foundation will:

- **Develop and share Terms of Reference** for selecting a host organization through online channels and PB networks.

- **Review submitted proposals**, discuss with applicants, and identify the candidate that best meets the outlined criteria to serve as host organization.

- **Award and oversee administration of seed funding** to host organization to set up minimal operational and governance structures and launch initial activities.
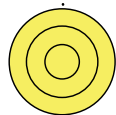
Host Organization

To establish the organizational framework needed to initiate global coordination work, the host organization will:

Establish Foundational Structure and Staffing

- **Develop processes** for governance, decision making, and grant-making (for initial activities).

- **Establish governance board** through (self or peer) nominations from Exchange participants.

- **Recruit core staff** needed to coordinate Year 1 activities (in multiple major international languages, with initial focus on English and French).

- **Develop Year 1 organizational strategy**, based upon the inputs and recommendations emerging from the Participatory Budgeting Exchange (including detailed scoping of initial activities).

- **Establish a regular communication channel** for sharing progress with participants and their relevant networks.

Establish a Stable Business Model

- **Develop Year 1 operational budget** needed to execute the organizational strategy (referenced above).

- **Identify additional private foundations willing to contribute seed funding.**

- **Develop a business plan and funding strategy** to: i) secure operational funding for Year 2, and ii) diversify funders (for Years 2 to 5), including by developing a process and timeline for introducing member contributions, and/or other approaches for revenue generation.

- **Conduct fundraising activities.**

- **Conduct market research** to identify new funding sources and opportunities to develop paid services (as a future revenue stream).

To deliver on the prioritized initial workstreams (Research Coordination and Peer Learning), the host organization will:

Research Coordination

Objectives:

- **Consolidate and categorize existing PB research and data** in a searchable and easy-to-use resource library.

- **Establish priorities** for new global PB research.

Workplan

- **Establish a Research Board** through nominations (by Exchange participants and their networks), based on the recommendations emerging from the Participatory Budgeting Exchange.

- **Develop an agenda for research coordination,** based on the priorities surfaced during the Participatory Budgeting Exchange.

- **Oversee implementation of primary research activities** (consolidating and categorizing existing PB research and data, and establishing PB research priorities), including monitoring, documenting and disseminating learnings to Exchange participants and their networks.

Peer Learning

Objectives:

- **Organize and disseminate knowledge products in ways that are accessible for implementers in diverse contexts.**

Workplan:

- **Conduct a survey to identify learning needs** of different PB actors (e.g. local PB leads, involved civil servants & technical implementers, civil society representatives, resident-delegates) that would potentially take part in learning activities.

- **Oversee implementation of primary learning activity** (to initiate a series of in-person and online learning events and forums for PB implementers), including monitoring, documenting and disseminating learnings to Exchange participants and their networks.

- **Map existing PB learning networks**, understanding their respective focus areas, learning models, and participants.

- **Develop and disseminate a calendar of relevant international events** (e.g. regional PB workshops or conferences) to help members access ongoing learning opportunities.

- **Develop guidelines for researchers** to enable implementers to better apply new insights and recommendations.

NEXT STEPS

Reboot and the Hewlett Foundation will be circulating this summary report to the participants of the Participatory Budgeting Exchange and the wider global PB community for comments and feedback. These will be accepted between January 28 - February 11, 2019. Once we have finalized a copy of this report, we will advance on the near- and medium-term activities outlined in Section IV: Roadmap for Forward Work.

The Participatory Budgeting Exchange was an immensely productive workshop, and we have been privileged to support the global PB community in this process of developing shared vision, roadmap, and set of proposals to advance the impact of PB. We are thankful to all those who attended the Participatory Budgeting Exchange, and who contributed their time and inputs prior to this, for their valuable contributions. We wish to give a special thank you to the governments of Madrid, Spain; Mexico City, Mexico; Seoul, Korea; and the World Bank in Madagascar and the Government of Madagascar for facilitating our field research. Their experiences grounded and enriched the co-design process, and for that, we are immensely grateful.

We look forward to the feedback from the global community, and to supporting forward momentum on the initiatives proposed.

Annexes

INITIATIVES TO
SUPPORT IMPLEMENTERS

Below, we have categorized the initiatives presented by the groups, developed at the Participatory Budgeting Exchange, according to their key functions, which point towards needed areas of work to better support PB implementers:

Focus Area	Rationale	Example (Group initiatives)
Global Standards	Setting inclusion criteria and quality standards for PB initiatives could enable decisionmakers to: i.) better assess the conditions and objectives for which PB is well-suited (or not), ii.) understand the types of resources required to deliver a quality PB initiative, and iii.) to set and pursue clear outcomes throughout process design.	A global coordinating body (PB & Me?), designed to help "PB curious" champions and decisionmakers assess PB's suitability for their context and goals relative to other options. Organizing its services around helping decision makers answer key questions, this body would help set and strengthen global PB standards, design context-responsive PB processes, and connect actors to existing resources and networks.
Research	Coordinating existing research and generating additional evidence of impact would allow more implementers to access and apply existing knowledge and tools to strengthen PB initiatives.	A guidance toolkit (Choose Your Own PB Adventure) that consolidates a range of resources—online tutorials, webinars, and a digital resource library—in order to help PB designers assess different design options and potential outcomes relative to their context and objectives.
Technical Support (for Design and Implementation)	Providing PB implementers with (or connecting them to) technical assistance would support implementers with problem-solving and help build local expertise.	A central organization able to deploy PB experts to help local decisionmakers and implementers design the right PB model for their contexts (multiple groups). A toolkit (Trust Box), supported by a team of external consultants, that contains a range of resources to help implementers problem-solve during specific PB activities—in this case, civil servants in sectoral departments tasked with implementing winning PB projects.
Peer Learning	Producing knowledge products and facilitating (knowledge and peer) exchange could help implementers access relevant guidance to overcome the challenges they encounter when delivering PB activities locally.	A peer network (ParticiPeer) to help PB implementers exchange tested methods and tactics to address specific challenges. Facilitated by a neutral third party, this platform would provide dedicated coaching and in-person opportunities (e.g. study visits, annual gatherings) through regional support networks.
Communication and Advocacy	Developing effective PB communication and advocacy strategies and products could help more PB implementers benefit from specialized expertise (e.g. through developing shared, customizable tools and templates).	A program to invite external support, in this case from university students (PB Erasmus), to develop customizable communication tools for PB implementers. A vehicle (designed with touchscreen features to allow people to independently interact with PB information) that circulates in different neighborhoods to raise public awareness of PB activities and opportunities for resident participation.
Technology	Developing / iterating technology platforms used in PB initiatives in collaboration with PB implementers could ensure that new PB technologies support the goals and operational processes and constraints of PB implementers (rather than having external technologists as sole decisionmakers on the boundaries and mechanisms for digital participation and deliberation).	A digital platform (Empower), to provide advocacy, communication, and monitoring tools to help PB advocates organize and demonstrate evidence of impact, and to help convince and engage PB skeptics.
Network Building	Connecting PB implementers to other participatory movements and potential "allies" would allow the international PB community to exchange relevant experiences and benefit from relevant lessons, relationships, and resources from allied movements.	A coordinating global council (PB United) dedicated to global field-building, by supporting PB advocates in outreach efforts (e.g. by providing tools and resources), connecting them with other PB champions looking to introduce PB in their contexts, and developing new benchmarks to monitor and share progress.

PARTICIPATORY
BUDGETING
EXCHANGE

PARTICIPATORY BUDGETING EXCHANGE SNAPSHOT

To build on the important, global momentum of participatory budgeting (PB) over the past few decades, we now have a critical opportunity to support implementers—the civil servants and other actors who make PB happen around the world–strengthen the impact of their PB initiatives. **This opportunity is the motivation behind Participatory Budgeting Exchange.**

Through co-design, workshop participants will develop new re-sources for these implementers, along with new mechanisms for global coordination. **This workshop is action-oriented**, and the Hewlett Foundation has allocated seed funding of USD 500,000 to support follow-on activities; among other next steps, partici-pants will be invited to help select the most high-potential ideas that are surfaced during the workshop, for follow-on collabora-tions and funding.

Participatory Budgeting Exchange is built on the principles of co-design—a method for developing solutions that are feasible and effective, thanks to the true collaboration of all crucial stakeholders, which includes the end-users of the new solutions. Five **key challenge and opportunity scenarios**, surfaced by PB implementers around the world, will serve as our initial co-design prompts:

1. **Unclear if PB is Right.** Some decision-makers may lack guidance to evaluate pros and cons of PB against other participatory processes.

2. **Top-Down Mandates.** Some PB processes initiated through legislation struggle to adapt to local political and institutional dynamics.

3. **Limited Relevant Guidance.** Implementers lack access to practical, context-specific technical guidance.

4. **High Stakeholder Coordination Needs.** Implementers often lack resourcing to facili-tate productive collaboration.

5. **Slow or stalled implementation.** Complexities of project implementation are often overlooked.

As we will have an action-packed two days, **this Design Brief will help you prepare for the conversations and activities at PB Exchange.** In addition to a description of the five scenarios that will serve as a jumping-off point for the workshop, this brief includes portraits of PB models, "the people of PB," and other tools for the design process, as well as an overview of the agenda. As you read this short document, we welcome your comments and feedback on these foundational tools.

Contact us at pb@reboot.org with feedback, questions, or ideas, or visit our website at www.pbexchange.org

BACKGROUND

PB today is expanding globally and evolving rapidly, in very distinct contexts—and with widely varied results. This expansion has been driven, in part, by significant investment to equip political and civil society leaders to champion PB. Fewer resources, however, have been explicitly focused on supporting the operational actors of PB: the civil servant who inherits a less-than-optimal process; the technical specialist who is responsible for implementing an infeasible project; the resident delegate trying to drive community participation but is hindered by rigid rules. These and other "implementers" are critical to the success of any PB initiative.

And as everyone at this workshop knows well, many of these implementers are in need of new types of support to overcome challenges, which are similar across many countries but play out differently in individual contexts. These common challenges are the core motivation for Participatory Budgeting Exchange.

WORKSHOP GOAL/OBJECTIVES

Recognizing an important opportunity to support PB implementations around the world, and to use peer exchange to strengthen the PB movement at large, the Participatory Budgeting Exchange aims to:

- **Share approaches and co-design new resources** to address common PB challenges

- **Define how these resources can be best coordinated and distributed** to support PB implementers and strengthen initiatives around the world

Follow-on activities

To ensure Participatory Budgeting Exchange remains action-oriented, the Hewlett Foundation has allocated an initial USD 500,000 in seed funding for 2019 to support resources and ideas that emerge from the workshop. As part of this ongoing work, participants will:

- **Receive summaries of key insights and ideas** from the workshop;

- Be invited to help **select the most high-potential ideas** that surfaced during the workshop, for follow-on collaborations and potential funding;

- Be able to **apply for support to develop ideas** into practical resources, with criteria for selection to be co-established by participants during the workshop

Co-Design Process

This workshop builds on months of research and co-design activities, soliciting input from experts and implementers across different PB networks, countries, and initiatives. Co-design is a method by which new solutions are defined and developed with their intended users and other crucial stakeholders, in order to ensure that resulting initiatives meet real needs and are feasible to implement. This captures the full process:

Supporting Research

In June and August 2018, research teams (comprised of Reboot staff, expert advisors on PB, and local researchers) conducted design research on district and municipal PB initiatives in four countries: Madagascar, Mexico, South Korea, and Spain. Key observations were synthesized into a range of tools—shared in this document—that we will use during the workshop as design considerations, to help keep in mind the wide-ranging contexts and actors that we are designing for.

MEXICO CITY   MADRID

ANTANANARIVO   SEOUL

PARTICIPATORY BUDGETING EXCHANGE

MAY

Interviews with leading PB experts, researchers, and funders to learn about existing efforts

JULY–SEPTEMBER

Field research in four diverse local contexts to surface the perspectives, needs, and experiences of local implementers, and ensure they are represented in the co-design process. Opportunities surfaced by this broad cross-section of perspectives serve as a launching-off point for the Participatory Budgeting Exchange.

OCTOBER

International public survey to elicit wider ideas and get input about the themes and opportunities emerging from field research.

NOVEMBER

International experts and Participatory Budgeting implementers identity and co-design strategies to grow our individual and collective impact.

DECEMBER

Sharing of workshop highlights, outcomes, and next steps with participants.

WORKSHOP AGENDA

DAY 1

Morning: Welcome Presentations, Research Insights, and Deep Dive Conversations

After registration, coffee, and networking, Reboot and the Hewlett Foundation will host a **Welcome Session**. We'll share workshop objectives and discuss what types of follow-on work has been envisioned. We will also map the community gathered to understand the experiences and expertise in the room.

Reboot will then offer an overview of **Research Insights**, sharing key findings from 4 research case studies and the global implementer survey, inviting implementers and experts to comment and add their experiences. We'll finish the morning in break-out groups for deeper discussions on **Key Opportunity Areas** surfaced through research and by the group.

Afternoon: Product in a Box Design Session

After lunch, participants will bring insights from their morning discussions back to the larger group, as the basis for a plenary discussion on our co-design challenge.

Participants will then choose a small group to work in a **Design Session**; each group will be asked to generate at least one concrete concept to address the challenges or opportunities surfaced. We'll close for the day by sharing our early designs for initial group discussion and feedback.

The day will end with a lively gathering, where everybody will get to network and chat informally over dinner and drinks.

DAY 2

Morning: Open Spaces, Product Listening Tours, and "What's Missing?"

During the morning's **Open Spaces**, participants will be able to propose, lead, or attend sessions on topics of interest that are not addressed in other parts of the workshop. After this, we will begin a Design **Listening Tour** to discuss ideas developed on Day 1, based on potential for impact, feasibility, and other considerations.

As part of this, we will consider what structures or mechanisms may be necessary or helpful to facilitate the delivery and maintenance of ideas that have surfaced. We'll close the morning by assessing our progress thus far and asking **What's Missing?** to surface support or coordination needs that haven't yet been discussed, to consider in the final sessions.

Afternoon: Global Sharing & Coordination, and Forward Planning

Based on outcomes of the morning conversations, we will begin outlining possibilities for **Global Sharing & Coordination**, designing and assessing different approaches to getting implementers more of the support they seek, and to coordinating around common interests. We'll close with a Forward Planning session to discuss concrete next steps for this work, and how different actors will be able to contribute and participate.

DESIGN
TOOLS

We've prepared tools that we will use during the workshop as design prompts to help keep in mind the wide-ranging contexts and actors that we are designing for. We ask you to review these in advance of Participatory Budgeting Exchange, and take the opportunity to reflect on similarities and differences that you see within your own PB initiatives.

Archetypes of PB Models

Below is a representation of different models of PB initiatives observed during Reboot's field research. These "archetypes" (assembled based on primary and secondary research) are not intended as comprehensive models; rather, we will use them during the workshop to ground discussions around how to support implementers operating in different contexts and implementing different models of PB.

Who's Who

The ecosystem around every PB implementation looks different, and different people may use different terms to describe actors that are playing similar roles. For this workshop, these are the terms we are using:

Authorizing & Oversight Government Bodies (aka "Local Government"): Elected and appointed political officials (district or municipal mayors, and their respective councils).

PB Team: A group of civil servants who run a PB process. They may be assigned to or have volunteered for the job. They may work on PB activities full-time, part-time, or outside work hours in addition to their primary responsibilities.

Implementing Departments or Agencies: The sectoral government offices responsible for delivering different public services.

Technical Specialist: Technical staff within those departments responsible for overseeing the execution of individual projects.

Resident PB Committee: A group of residents that are either elected or appointed to oversee different aspects of the PB process (e.g. reviewing and shortlisting proposals, or conducting community outreach).

Residents or Citizens: Used interchangeably to refer to those living within the territorial district of a PB initiative.

Antananarivo
MADAGASCAR

POLITICAL STRUCTURE:
New democracy

STATE CAPACITY:
Weak

TERRITORIAL LEVEL OF PB INITIATIVE(S)
Municipal (commune)

DECISION-MAKING (WITHIN PB INITIATIVE)
Consultative

GOVERNMENT-ALLOCATED RESOURCES (FOR PB INITIATIVE)
Varied across municipalities

A: No project or operational resources
B: Partial project resources
C: Partial project and operational resources

01 ANNUAL PLANNING & MANAGEMENT

Local government publicly announces PB participation & posts annual municipal budget

02 OUTREACH & CIVIC ENGAGEMENT

2–3 **residents** from each village are selected or appointed as Resident PB Committee members

Resident PB Committee members are trained on PB by **local government** or NGO counterpart

03 PROJECT DEVELOPMENT & REVIEW

Resident PB Committee members collect project ideas from **residents** in their village through

Public town hall meetings & discussions
Discussions with village elders
CSO proposals
Door-to-door consultations with **residents**

04 PROJECT SELECTION

Resident PB Committee members from all villages gather to discuss, shortlist & rank ideas

Resident PB Committee members present shortlisted ideas to **local government**

Local government selects 1 or more ideas for implementation & incorporates into annual budget

Resident PB Committee members update **residents** on selected project(s)

05 PROJECT IMPLEMENTATION

If municipality has sufficient funds for implementation

Implementing Departments or Agencies implement projects

If municipality has insufficient funds

Local government presents project to multiple donors & seeks support , *and/or* **Local government** ask **residents** & businesses to contribute needed resources (money, materials, & labor) for implementation

Archetypes of PB Models

Madrid
SPAIN

POLITICAL STRUCTURE:
Consolidated democracy

STATE CAPACITY:
Strong

TERRITORIAL LEVEL OF PB INITIATIVE(S)
Municipal

DECISION-MAKING (WITHIN PB INITIATIVE)
Direct-voting (on/offline)

GOVERNMENT-ALLOCATED RESOURCES (FOR PB INITIATIVE)
Project and operational resources

PB Team organizes public event to collect resident feedback on previous PB cycle

PB Team launches public communications campaign to announce new PB cycle

PB Team publishes process guidance on online PB platform **(DecideMadrid/Consul)**

ParticipaLab runs pilot experiments with residents to increase engagement

Residents submit proposals to Online PB platform, or at City Hall

Participa Lab runs pilot experiments with **Residents** to strengthen proposals

PB Team prioritizes & shares projects with **technical specialists**

Technical specialists review projects for feasibility

Residents can revise proposals based on technical specialists' feedback

Residents vote for projects Online, or using ballot boxes throughout city

Projects with the most votes are selected for implementation, until allocated PB funds are used up

PB Team announces winning projects during public event

Implementing Departments or Agencies implement winning projects

O1
ANNUAL PLANNING & MANAGEMENT

O2
OUTREACH & CIVIC ENGAGEMENT

O3
PROJECT DEVELOPMENT & REVIEW

O4
PROJECT SELECTION

O5
PROJECT IMPLEMENTATION

Mexico City
MEXICO

POLITICAL STRUCTURE:
Consolidated democracy

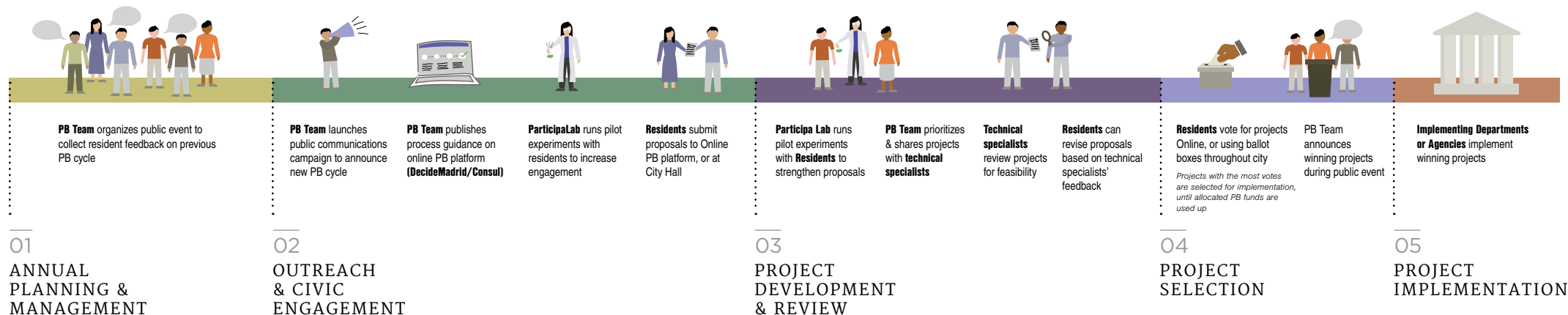STATE CAPACITY:
Medium
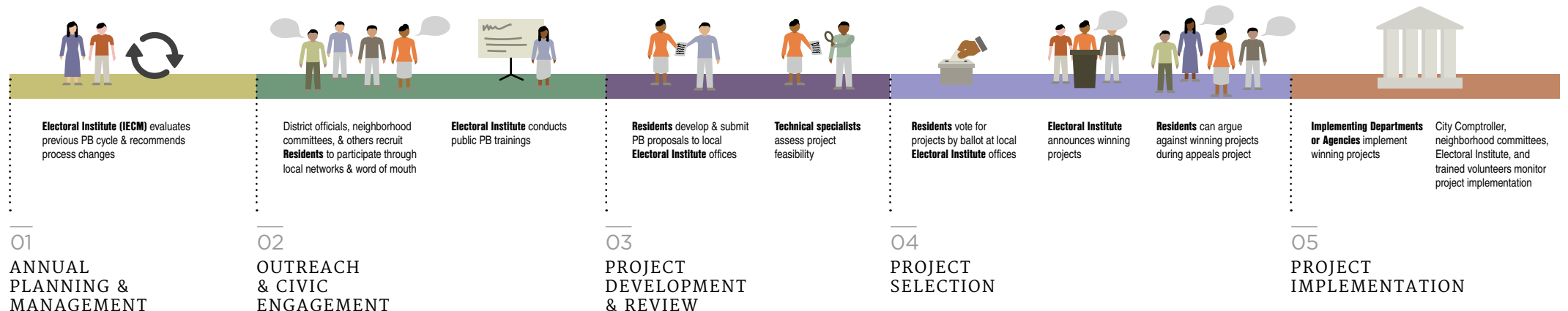
TERRITORIAL LEVEL OF PB INITIATIVE(S)
Municipal

DECISION-MAKING (WITHIN PB INITIATIVE)
Direct-voting (on/offline)

GOVERNMENT-ALLOCATED RESOURCES (FOR PB INITIATIVE)
Project resources

Electoral Institute (IECM) evaluates previous PB cycle & recommends process changes

District officials, neighborhood committees, & others recruit **Residents** to participate through local networks & word of mouth

Electoral Institute conducts public PB trainings

Residents develop & submit PB proposals to local **Electoral Institute** offices

Technical specialists assess project feasibility

Residents vote for projects by ballot at local **Electoral Institute** offices

Electoral Institute announces winning projects

Residents can argue against winning projects during appeals project

Implementing Departments or Agencies implement winning projects

City Comptroller, neighborhood committees, Electoral Institute, and trained volunteers monitor project implementation

O1
ANNUAL PLANNING & MANAGEMENT

O2
OUTREACH & CIVIC ENGAGEMENT

O3
PROJECT DEVELOPMENT & REVIEW

O4
PROJECT SELECTION

O5
PROJECT IMPLEMENTATION

Archetypes of PB Models

Seoul
SOUTH KOREA

POLITICAL STRUCTURE:
Consolidated democracy

STATE CAPACITY:
Strong

TERRITORIAL LEVEL OF PB INITIATIVE(S)
Municipal; District

DECISION-MAKING (WITHIN PB INITIATIVE)
Direct voting (on/offline) *(municipal)*
Consultative, representative decision-making *(varied across district processes)*

GOVERNMENT-ALLOCATED RESOURCES (FOR PB INITIATIVE)
Municipal:
Project and operational resources
Varied across districts:
A. Project and operational resources
B. Project resources only

PB Team reviews and revises PB ordinance

Residents apply to attend local Budget School

Some Budget School graduates are elected or assigned to **Resident PB Committee(s)**

PB cycle is publicly announced through traditional and new media, & local networks

Residents submit proposals to government PB team and PB committees Online or at district offices

Implementing Departments or Agencies assess feasibility of proposed projects

Resident PB Committee or government **PB Team** reviews & shortlists projects

Resident PB Committees present selected projects to **local government** for final approval & budget incorporation

Residents vote for projects: online, or offline (ballot boxes)

Local government incorporates winning projects into municipal/district budget

Implementing Departments or Agencies implement projects (within 1 year), according to existing department rules and processes

Resident PB Committees monitor progress and report back to residents, report back to residents, and/or problem-solve during implementation, as needed

Evaluation of PB process is conducted by PB Team or external institution

01
ANNUAL PLANNING & MANAGEMENT

02
OUTREACH & CIVIC ENGAGEMENT

03
PROJECT DEVELOPMENT & REVIEW

04
PROJECT SELECTION

05
PROJECT IMPLEMENTATION

Porto Alegre
BRAZIL

POLITICAL STRUCTURE:
New Democracy

STATE CAPACITY:
Medium to Strong

TERRITORIAL LEVEL OF PB INITIATIVE(S)
Municipal

DECISION-MAKING (WITHIN PB INITIATIVE)
Binding decision-making; Initially district-only, but then expanded to include thematic areas.

GOVERNMENT-ALLOCATED RESOURCES (FOR PB INITIATIVE)
Initially 100% of new investment spending; Decentralization generated new resources for municipal government. Level of funding decreases in post-2005 period

PB Team works with "PB Council" (elected participants) to modify rules and procedures

City is decentralized into 16 districts to facilitate local decision-making.

PB Team holds thematic meetings (transportation, environment) to expand breadth of PB's impact

PB Team recruits **citizens** through radio, posters, pamphlets and pre-existing social networks

Local government holds informational workshops to educate **citizens** on rules, budgets, and previous implementation

Local government allocates resources to each district based on population size and community need

Citizens attend larger regional meetings to gather basic fiscal and budget information

Government departments provide cost estimates of proposed projects

Citizens deliberate in public meetings.

Citizens use secret vote (ballots) to select projects.

Local government includes winning PB in annual budget; Municipal legislature must approve

Local government will implement smaller projects with internal civil servants

Local governments contracts private companies to implement larger projects

Citizens elected to "oversight committees" to accompany project during entire implementation phase

01
ANNUAL PLANNING & MANAGEMENT

02
OUTREACH & CIVIC ENGAGEMENT

03
PROJECT DEVELOPMENT & REVIEW

04
PROJECT SELECTION

05
PROJECT IMPLEMENTATION
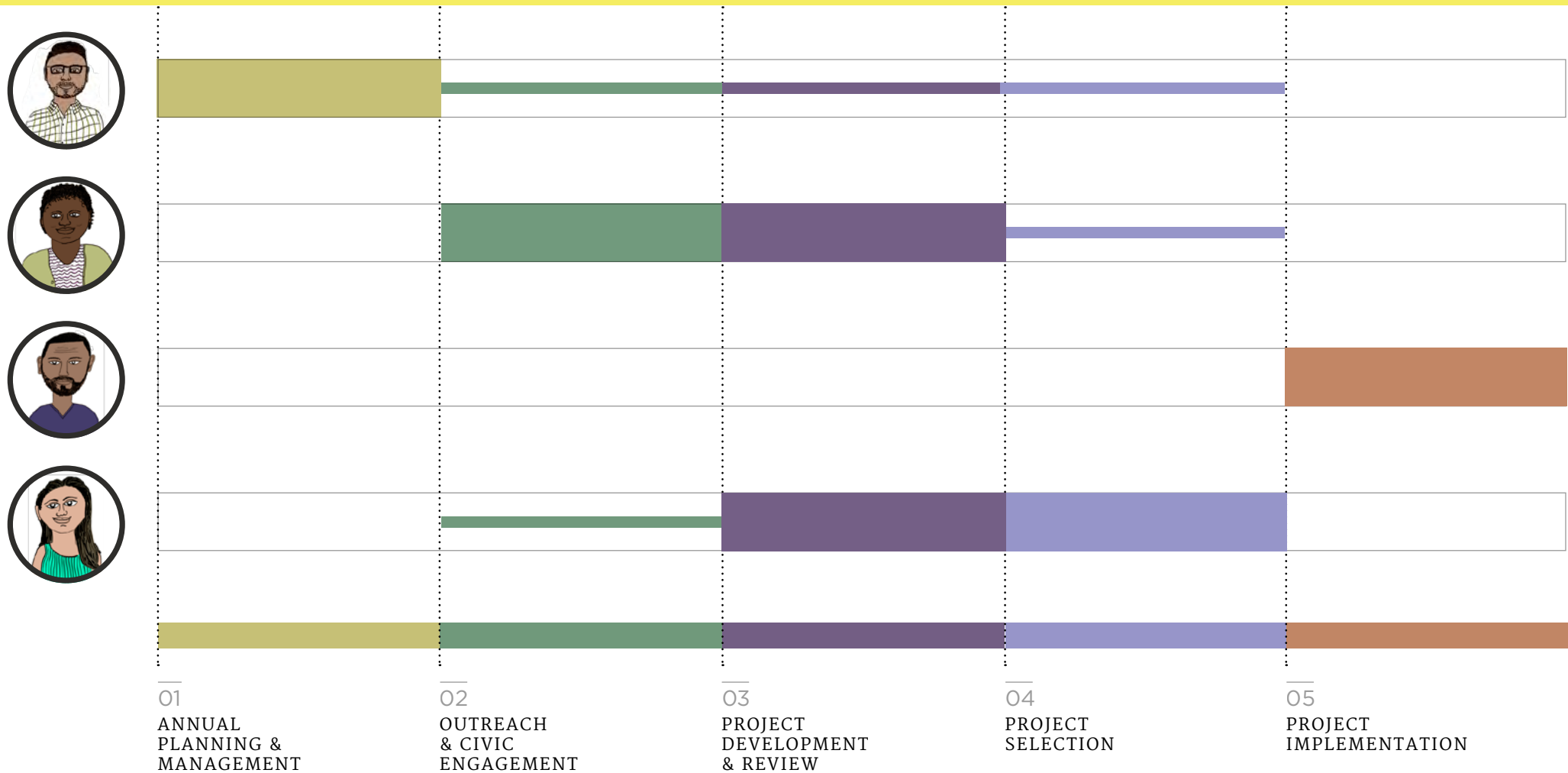
The People of PB

The following personas represent archetypes of key actors who play a critical role in PB implementation. As with the models, it is important to note that personas represent aggregate profiles and characteristics compiled across multiple respondents in multiple contexts; they do not represent any one person. They are useful tools to make sure we have common understandings of implementers' needs, challenges, and working patterns which can ground our design conversations. During the workshop, we will have a chance to discuss these personas, and to update them or to create new ones.

01
ANNUAL
PLANNING &
MANAGEMENT

02
OUTREACH
& CIVIC
ENGAGEMENT

03
PROJECT
DEVELOPMENT
& REVIEW

04
PROJECT
SELECTION

05
PROJECT
IMPLEMENTATION

Jose

AGE:
36

ROLE:
Lead for City PB Initiative

Jose came to the city's Department of Planning after 8 years of working across various city agencies; he was known for his youthful energy, interest in public sector innovation, and strong project management capabilities.

Based on this reputation, Jose was chosen by the newly-elected mayor to design and implement a new PB process, which was one of the mayor's central campaign promises. Prior to this assignment, he had never heard of PB, and rapidly began researching what his new mandate entailed and how he should implement it in the city. Jose and his team found many case studies that were useful for explaining why to do PB and the general steps of the process, but they were sparse on details of how to navigate existing municipal regulations and processes to execute different PB activities.

While excited by this high-profile career opportunity, Jose has some concerns about delivering a process that meets the different objectives and demands for all stakeholders—while fulfilling the mayor's ambitious targets for rates of citizen participation. An early roundtable he organized with different government departments was unexpectedly difficult to manage, as everyone had a different goal for the PB process. The meeting produced more conflict than consensus.

Key Motivation for PB

Mandate — Ideology

Influence on Design of PB Process

Low — High

Influence on Implementation of PB Projects

Low — High
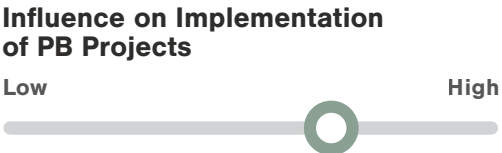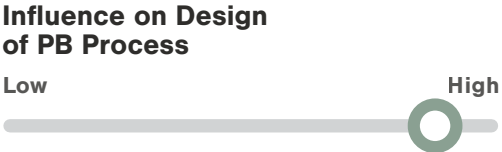
Role in process:
- Final decision-maker on PB process design, as well as changes to the design
- Leads implementation of all PB activities
- Maintains official oversight of resident PB delegates (Resident PB Committees)
- Responsible for conducting evaluation at the end of each cycle
- Key liaison to the Mayor/Municipal council for reporting on progress of PB activities

Pain points & needs:
- Designing a PB process that aligns with interests and objectives of multiple stakeholders
- Executing the PB process with limited operational resources for dedicated PB staff and activities

Rose

AGE:
48

ROLE:
Implementer of City PB Process

Rose has worked in the city's Administrative Services Bureau for 15 years, and takes pride in her encyclopedic knowledge of city rules and procedures. When the district council issued a request for bureau staff to support the district's new PB process, she quickly volunteered, even though she knew the district lacked funds to pay staff to run the process. Despite this, she saw it as an opportunity to demonstrate her value (amidst recent layoffs and budget cuts across all city agencies), while also learning new skills.

Entering her second year in this role, Rose has realized that she vastly underestimated the time and effort required. It is up to her to coordinate with local civil society groups that have volunteered to organize different PB community outreach activities, and to make sure they have the correct information they need to share with residents. She is also responsible for communicating both requests and actions of the Resident PB Committees to the district mayor and council members, as well as council decisions (e.g. on required modifications to shortlisted proposals) back to Committee members.

Rose wants to do this job well, but she often feels under attack as the only government representative attending the monthly Committee meetings, when proposals are discussed, revised, and ranked. Some Committee members insist that the district needs to allocate more money for PB projects, and don't seem to understand that this is not her decision to make. Rose is also facing new tensions at the office when distributing PB projects to implementing departments, as some colleagues resent the "extra work" required to review and implement PB projects. While she likes the idea of PB as a way for government and residents to work together, she's exhausted by the extra work it requires.

Key Motivation for PB

Mandate — Ideology

Influence on Design of PB Process

Low — High

Influence on Implementation of PB Projects

Low — High

Role in process:

Leads administration of PB activities, including:

- Arranging logistics for resident outreach activities
- Distributing shortlisted projects to implementing government departments for feasibility reviews
- Attending Resident PB Committee meetings
- Allocating projects across departments

Pain points & needs:

- Managing PB workload on top of existing responsibilities
- Navigating new tensions with implementing departments on the "extra work" caused by PB
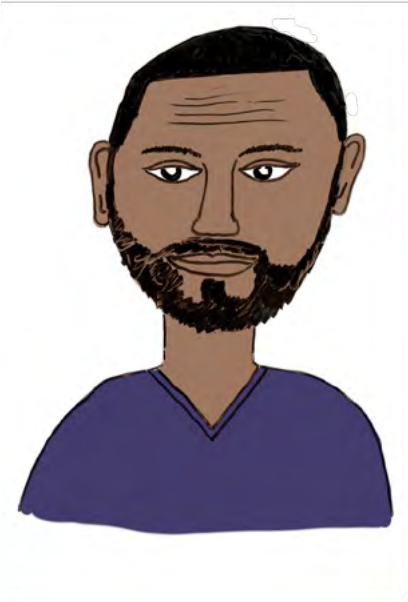
Ibrahim

AGE:
45

ROLE:
Technical Specialist in Implementing Agency

An engineer within the city's Department for Housing and Urban Development, Ibrahim takes pride in ensuring that all regulations are closely followed for the projects he works on. This, he knows, leads to safe, efficient, and cost-effective housing and infrastructure.

Ibrahim first learned of PB last year, when his team was assigned to implement one of the winning projects: to install security cameras in a public housing complex. Although the department received funding for the installation, the money allocated only accounted for the cost of basic consumer-level supplies and not for the time and cost of doing the project in line with city protocols, or for the salaries of security staff needed to regularly review and act upon the information captured by the cameras. As such, Ibrahim's team had to locate additional funds from their already-stretched annual budget. Adding to his frustration was a resident complaint that implementation was taking too long—the scale of the project required him to go through a specific procurement process that took time, and he was not motivated to think about creative alternatives, given he thought that the project was useful but relatively low-priority given everything else he was managing.

As the city gears up for another PB cycle, Ibrahim is glad the updated process now includes a Feasibility Review that he and other colleagues within the department had advocated for. He thinks that government departments can benefit from "crowdsourcing" ideas, yet firmly believes that projects are best planned by technical experts.

Key Motivation for PB

Mandate   Ideology

Influence on Design of PB Process

Low   High

Influence on Implementation of PB Projects

Low   High

Role in process:

• Reviews shortlisted projects for feasibility
• Incorporates winning projects into annual work plan
• Implements winning projects assigned to his department

Pain points & needs:

• Translating citizen-driven ideas into feasible projects
• Working on PB projects on top of existing workload
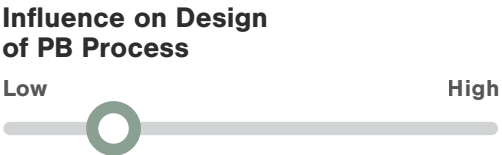• Responding to oversight (and sometimes objections) from delegate committees
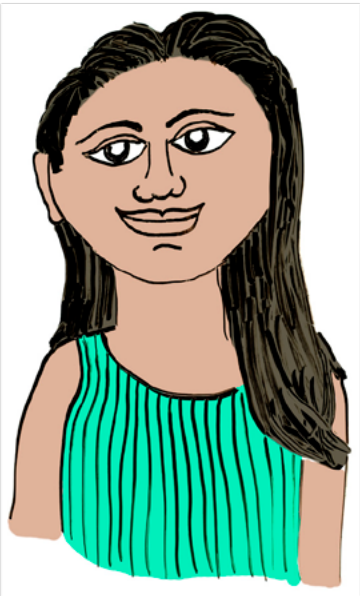
Alina

AGE:
19

ROLE:
Leader of a District Resident Committee

Alina is a first-year university student and a long-time volunteer at her neighborhood youth drop-in center. She is strongly committed to improving her community, a lower income neighborhood in the outskirts of the city. She comes from an immigrant household, just like one-third of the residents in her district. Alina has been excited about PB since it came to her district three years ago—she sees it as a real way to "get money out of the hands of corrupt government officials and into our communities".

This year, Alina was narrowly elected as Team Leader of her Resident PB Committee—unseating the incumbent, a prominent business owner. She isn't sure exactly how their PB process was designed, but remembers learning about Porto Alegre, although she suspects some changes have been made to make PB work in her district. She knows that her position comes with a lot of responsibility, and takes it very seriously. Unlike some of the other districts in her city, her Resident PB Committee has the power to select the final three projects that are opened up for public vote.

Alina has been surprised at what she sees as political maneuvering by some Committee members, trying to solicit personal favors by voting for projects that are known to have the support of prominent business persons or district officials. Alina has introduced secret ballot voting as a way to prevent this, but she still suspects some members' votes are being unfairly influenced.

Key Motivation for PB

Mandate   Ideology

Influence on Design of PB Process

Low   High

Influence on Implementation of PB Projects

Low   High
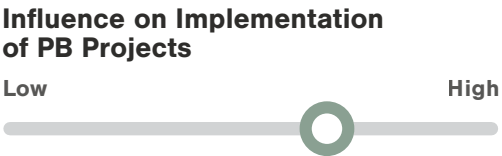
Role in process:
- Organizes outreach activities to encourage residents to participate
- Leads Resident PB Committee to review and shortlist proposals, including conducting site visits and discussions with residents to better understand their submissions
- Oversees the internal Resident PB Committee vote to select the final projects that are opened to a public vote

Pain points & needs:
- Facing pressure from influential residents and district officials to direct the Resident PB Committee to prioritize specific PB projects
- Navigating community hierarchies to ensure that all proposals are given equal consideration, not just those prefered by elder members of the Committee

CHALLENGES & OPPORTUNITIES

Drawing from research and interviews in different countries and contexts worldwide, and from a global implementer survey, we have compiled some common challenges that many PB implementers face. During the workshop, these will serve as "design prompts," or jumping-off points both for discussion and for the co-design of new resources and support mechanisms for PB implementers.

We are keen to hear your feedback on these. Please share any ideas, including additional challenges you'd like to see included, by November 20.

Scenario 1:
UNCLEAR IF PB IS RIGHT

Challenge

PB is an important part of broader discourses and experiments to advance participatory democracy, and is one approach among many being used all over the world today. Injecting a PB process into an ecosystem with existing civic participation mechanisms can create redundancy (and cause citizen confusion or participation fatigue); in other cases, decision-makers may choose PB when a different approach may be more suitable for their goals or resources.

Illustration

A county government creates a PB program as part of a broader political platform grounded in enabling civic participation in governance. The new PB process is just one of 11 different civic participation mechanisms also available to residents, including neighborhood improvement funds, town hall meetings for policy input, and local district council fora. Participation is stretched thinly between these avenues, citizens are confused as to what mechanisms to use for which needs, and participation fatigue soon sets in—fewer and fewer people participate in each forum. For PB, citizens submit few feasible and innovative proposals to the PB process, and PB voter turnout is low.

Opportunity

How might we help decision-makers take a strategic, ecosystem-level view of local participation? How might we help governments select between different civic participation or deliberative democracy approaches, and understand the pros and cons of PB against other options

Scenario 2:
TOP-DOWN MANDATES

Challenge

In its global expansion, PB is now often initiated or scaled through a legislative mandate or political promise. While well-intended, these top-down beginnings often come with parameters that hinder implementers' work on the ground, creating restrictions that are not responsive to the local context, and that limit PB success.

Illustration

Civil society organizations champion PB in their country, and a political party sees its value to increase civic participation and adds PB to its campaign platform. The party wins control in a major city and introduces PB through new legislation which requires all districts to launch their own PB processes. In practice, many districts struggle to comply with this new mandate—one wants to use theme-based committees for proposal selection, in a way similar to other programs in their district, but can't because of the law's requirements. Another consistently struggles to find the staff time and funding needed to run even the minimum number of PB activities required; without local associations to rely on to lead outreach efforts, she sees PB as a district burden rather than a means of problem-solving. While another district official sees PB as decreasing his already limited budget, and stalls on launching the process. As districts differently struggle merely to interpret and comply with the mandated guidelines, political will and outreach efforts are often limited, resulting in low public participation and few adaptations made to address the results.

Opportunity

How might we help aspiring or elected public officials develop mandates that both serve their political interests and leave space for PB implementers to design models that account for their unique contexts and communities?

Scenario 3:
LIMITED RELEVANT GUIDANCE

Challenge

The canon of PB knowledge has developed at the global level; available reference materials largely focus on arguments for adopting PB, and feature case studies illustrating models that may not be appropriate in other contexts. Further, consultants and experts often interface with high levels of leadership. As a result, implementers on the ground often lack access to relevant support, especially as they navigate challenges mid-stream.

Illustration

An implementer bases the design of PB processes largely on a model from another country, for which she found detailed case studies and reports online. Once launched, the pilot runs into a challenge when the number of proposals submitted from wealthier districts far outnumber those coming from under-resourced communities. One of the objectives of the PB process, though, was to better allocate resources to the city's most underserved communities. She now realizes that some rules are needed to allocate PB funding more equitably across districts, but isn't sure how to go about this. She ends up working hard to try to convince neighborhood associations to carry out last-minute outreach efforts, some specific civil society groups to submit proposals, and committee members to adapt a ranking system that favors critical infrastructure projects. Despite her efforts, winning projects are largely concentrated in wealthier neighborhoods; she fears participation in next year's PB cycle will be even lower, with residents viewing PB as just another way for "the rich to get what they want." (Six months later, another PB designer in a different country faces the exact same challenge, but has no way to access the first implementer's hard-earned wisdom).

Opportunity

How might we provide guidance on the different PB approaches, the challenges they can address, and how each affects outcomes, so that designers can make effective decisions?

Scenario 4:
HIGH STAKEHOLDER COORDINATION NEEDS

Challenge

PB is a inherently multi-stakeholder process, requiring ongoing and intensive collaboration. But many models do not account for the demands of facilitation and coordination, and often there are too few resources dedicated to stakeholder coordination. Often, the workload falls to a single actor, which creates a steep burden and frequently results in frustration and conflict between stakeholders.

Illustration

A civil servant in a district office is assigned the role of implementing a mandated PB process. She spends a year managing citizen committees, supporting CSOs, and coordinating with government agencies; the vast majority of her time is spent addressing concerns and mediating conflicts, including a critical government stakeholder who blocks the process–repeatedly delaying implementation of one of the winning projects with claims that it violates existing regulations. The first PB cycle completes with moderate success (evaluated through number of voters and proposals submitted) but the civil servant is burnt out and resigns.

Opportunity

How might we support implementers in planning and managing stakeholder coordination, including allocating sufficient resources for the efforts, determining when and how different actors should be involved, and mediating tensions and conflicts that arise?

Scenario 5:
SLOW OR STALLED IMPLEMENTATION

Challenge

Implementation of winning PB projects is essential to the success of any PB initiative. Residents see tangible benefits of their participation when the projects they proposed, developed, and organized around are delivered according to the agreed-upon designs and timelines. Yet the pathways for translating winning proposals into concrete projects and services are often filled with challenges. Slow or stalled implementations see both government PB teams and implementing agencies struggling to deliver on their respective commitments, which ultimately undermine the potential impact of PB.

Illustration

A PB Team has invested significant energy to design a PB process that includes a wide range of actors—civil society groups, neighborhood associations, and residents— in different activities across the cycle. They are thrilled to have a high turnout to select the final projects, and winning projects are distributed to different government departments for implementation. But when the PB Team checks in on progress a few months later, they find that not a single project has been initiated. One technical expert explains that the projects his department was assigned don't align with their existing workplan, and wonders why they weren't included in the PB process earlier or given additional capacity to help with the additional workload. Another explains that one of the winning ideas (to develop a youth-drop in centre in a high-crime neighborhood) first requires exploring many issues overlooked in proposal development (e.g. zoning laws, safety regulations, security measures for the center). In the meantime, two of the district Resident PB Committees have lodged formal complaints to the PB team, claiming they have not seen any results from the time-intensive PB process.

Opportunity

How might we help PB Teams better enable smooth implementation of winning PB projects? How might we help government agencies more effectively plan for and implement winning PB projects?

FRAMEWORK FOR PROGRAM DESIGN

Articulating the different objectives that a PB process can pursue, and which features are suited to advance which objectives, could be useful for implementers. To this end, Reboot and Dr. Brian Wampler have developed an initial outline of such a resource, which was shared at the Participatory Budgeting Exchange and which participants found helpful.

STAGE OF PB

OBJECTIVE FOR PB	**1** ADOPTION & INITIAL DESIGN	**2** ANNUAL PLANNING & MANAGEMENT	**3** OUTREACH & CIVIC ENGAGEMENT	**4** PROJECT DEVELOPMENT	**5** PROJECT SELECTION	**6** PROJECT IMPLEMENTATION	**7** LEARNING & PROCESS ITERATION
1 IMPROVE WELL-BEING OF MARGINALIZED POPULATIONS + Introduce / strengthen critical public services in under-resourced communities + Ensure revenues generated from specific communities (e.g. via extractives) benefit them	Adopt specific rules to ensure the allocation of resources to poor communities (e.g., use of Quality of Life Index to ensure poorer communities receive greater resources on a per capita basis). Focus PB funding streams on policy issues that are of particular importance to poor communities to increase likelihood that these communities will have access to PB-funded projects.	Analyze distribution of PB projects to assess if they are being allocated to poorer communities. Introduce or alter resource allocation rules if some communities are underserved.	Incorporate marginalized groups into processes to increase opportunities for their voices to be heard, which may increase resource allocation to these communities. Allocating resources to poorer communities may, in turn, increase their trust of government officials.	Ensure policy ideas relevant to poor communities are included among projects.	Ensure that project selection includes projects of greater importance to poor communities, which will then improve quality of life. Use "Bus Priority Caravans" to show participants other proposed projects to build solidarity among participants.	Establish internal rules to ensure that selected projects are implemented in poor and under-served communities. Establish internal rules to ensure that selected projects are implemented that are of specific interest to poorer communities (e.g., basic health facilities)	Hold public PB meetings to improve transparency of resource allocation (by updating communities on implementation status and progress of winning projects); this can then help to secure additional participation
2 EMPOWER CITIZENS & CIVIL SOCIETY + Empower citizens to have the knowledge / agency to impact government decision-making + Widen the groups of citizens / civic groups inputting on governance processes	Incorporate citizens into public meetings to help co-design the local PB model. This educates them on how government works, gives them agency on process decisions that matter, and increases their longer-term ownership of the initiative. Invite civil society leaders and groups to participate in early consultation and co-design activities to increase initial program visibility, ownership, and participation from broader civil society. OR Hold public meetings on to present the PB model and explain the design rationale behind the inclusion of specific rules and processes, to increase community support for new program	Alter participation rules (if necessary) to ensure that PB is successfully incorporating communities that are typically under-served or under-represented in civic decision-making (e.g. through gender, youth, and territorial quotas to increase representation of groups that are often excluded) Alter deliberation rules (if necessary) to ensure that the PB process allows a broad range of voices to be expressed (e.g. limits on talking time for presenters, small-group formats for discussion of ideas).	Hold public informational workshops to build budgetary and policy knowledge among participants to improve quality of debate and project selection Recruit participants through open calls to expand the cross-section of participants beyond "the usual suspects" who often participate Invite specific, well-known groups to participate to build legitimacy among relevant stakeholders. Hold creative outreach activities to expand cross-section of participants (e.g. organize a street festival or concert to raise awareness among young people) Select activity locations and times that make it possible for a wide range of citizens to participate, and (if necessary) consider ways to further enable their participation (e.g. transportation or stipends, on-site childcare, language interpretation, venues that are accessible for people with disabilities)	Support communities, and CSOs/NGOs to build understanding of PB process and support for specific projects that will serve the community. They then can mobilize communities to participate in the PB process, which increases chances that those proposals will be selected. Encourage CSOs to develop alliances with other CSOs to build support for each other's projects, which can help generate solidarity among organized groups.	Use secret ballots to encourage participation of groups that may not be formally organized, or whose needs are often overlooked by more powerful, better organized community actors. OR Use consensus-based decision-making (e.g. through facilitated discussion) to encourage unity among community groups. OR Use public voting (e.g. show of hands) to encourage alliances among different community groups, and to ensure a more transparent process of decision-making. Use PB activities to promote broader discussions on city-wide budgets and sources of revenue to improve public knowledge and public debate beyond PB.	Establish "citizen monitoring committees" (through self-nomination or election) to monitor implementation and progress of winning projects, and report back to communities. Introduce membership rules for participating in monitoring committees (if necessary) to ensure that vulnerable groups are include (e.g. by establishing a quota of one third women members)	Organize public workshops that build broader awareness of civic rights, duties, and responsibilities among citizens to help them more effectively engage in PB and other participatory processes. Encourage regular public deliberation and exchange as a real-world "School of Democracy," which fosters deeper understandings of democracy.
3 IMPROVE STATE CAPACITY + Strengthen the administrative capability of local government	Organize trainings to build capacity among civil servants leading PB initiatives to work more closely with citizens and CSOs and incorporate their ideas into design and implementation of PB activities Hold workshops to help civil servants and sectoral specialists (responsible for implementing winning projects), design a PB model that is compatible with existing institutional rules and processes (e.g. including project feasibility requirements in proposal submission forms), to increase the likelihood that winning PB projects can be implemented.	Alter PB rules and model (if needed) to better align with government budgeting process and timelines to help ensure that winning projects are implemented within agreed-upon timeframes Invite technical specialists from government sectoral departments ("sectoral specialists") to identify potential administrative "blockages" that could slow down implementation, and ways to address these during early planning (e.g. by notifying departments of approximate number of PB projects they can expect to receive and when, to enable more accurate annual work planning)	Promote close, ongoing consultations among participants and civil servants to build their capacity to facilitate meaningful exchanges among different stakeholder groups. Incorporate vulnerable groups into consultations to improve government knowledge of needs and help civil servants consider ways to reach and include them more effectively.	Use public meetings to increase interactions and knowledge exchange among technical experts and citizens, so that technical specialists can better understand and respond to design rationale of winning projects.	Ensure that project selection includes projects of greater importance to poor communities, which will then improve quality of life. Use "Bus Priority Caravans" to show participants other proposed projects to build solidarity among participants.	Designate operational resources to to help move winning projects to implementation phase (e.g. assigning a civil engineer to work on a winning project, or ensuring that resources are made available to pay contractors on time).	Encourage direct involvement of civil servants in different PB activities to enable them to learn from community groups and participants, and better link citizens' demands to public resources.
4 IMPROVE GOVERNMENT RESPONSIVENESS & ACCOUNTABILITY + Increase the extent to which government accounts for citizen needs in decision-making + Increase the extent to which public programs and services are delivered responsibly and in accordance with citizen needs	Use consultative decision-making to design the PB model (e.g. through co-design and prioritization activities, or deliberation among a set of proposed features) to build trust in the process among citizens. Publish the amount of funding available for winning PB projects at the beginning of each PB cycle, to create greater transparency and help citizens set reasonable expectations.	Launch an annual re-design process (that includes CSOs, citizens, issues-experts, technical specialists, and civil servant) to adapt the design of the PB process based on learnings during the previous PB cycle. Publish a calendar communicating the timeline and locations of key PB activities in advance (and communicate any changes that arise mid-stream)	Invite participants from a wide range of community groups in order to participate in PB activities to expand the range of issues that are presented and discussed in public PB forums. Facilitate government-citizen dialogue during public meetings to demonstrate and build collaborative relationships.	Facilitate meetings in ways that allow different voices and perspectives to be clearly expressed, rather than allowing powerful or elite groups to dominate public discussions. Facilitate knowledge exchange among CSOs and governments officials to ensure that proposals are feasible and well-informed (e.g. CSOs are able to alter their proposal and resubmit after being informed that the level of requested resources is too high).	Invite technical specialists or civil servants leading PB activities to work closely with participants to carefully analyze potential projects, in order to build their understanding of what communities want. (Over time, this can improve the quality of projects selected, as government staff become more adept at providing useful information to participants.)	Regularly communicate progress on implementation of winning projects through a range of on- and offline channels (e.g. public events, newspapers, relevant websites) Establish transparency and oversight mechanisms (e.g. citizen monitoring committees, and media coverage or digital tracking of implementation progress) to allow citizens to better monitor government officials and public spending (e.g., oversight committees must approve final project implementation so that companies can get paid).	Organize a public event to collect feedback, ideas and reflections from citizens on the PB process and opportunities to make it more responsive to citizens needs.