



Pilot projects getting started

Year I Status Report

WP 4 – Scenario and back-casting exercises by three communities: pilot projects

Deliverable 4.2 – Year 1 report (public)

THEME FP7 – ENV. 2010.4.2.3-1: Foresight to enhance behavioural and societal changes enabling the transition towards sustainable paths in Europe.

Grant Agreement number: 265191



ACKNOWLEDGEMENT

The research leading to these results has received funding from the European Union FP7 ENV.2010.4.2.3-1 grant agreement n° 265191.

AUTHORS

Julia Wittmayer

Frank van Steenberg

Lisa Bohunovsky

Stefanie Baasch

Jaco Quist

Derk Loorbach

Carolien Hoogland

InContext project coordination and editing provided by Ecologic Institute.

Manuscript completed in October, 2011.

DISCLAIMER

Neither the European Commission nor any person acting on behalf of the Commission is responsible for the use which might be made of the following information. The views expressed in this publication are the sole responsibility of the author and do not necessarily reflect the views of the European Commission.

Reproduction and translation for non-commercial purposes are authorized, provided the source is acknowledged and the publisher is given prior notice and sent a copy.

Table of Contents

LIST OF ABBREVIATIONS.....	1
1 Introduction.....	2
1.1 Goal and structure of the deliverable.....	2
2 Looking back: the past year	3
3 The interview guide	4
4 State of affairs today: The pilot areas	7
4.1 Pilot area Austria	9
4.2 Pilot area Germany	12
4.2.1 Process description.....	12
4.2.2 System analysis	15
4.2.3 Actor analysis.....	17
4.2.4 Monitoring framework.....	18
4.3 Pilot area The Netherlands.....	19
4.3.1 Process description.....	19
4.3.2 System Analysis.....	21
4.3.3 Actor Analysis	25
4.3.4 Monitoring framework.....	26
5 Pilot comparison & Looking forward	30
5.1 Pilot comparison.....	30
5.2 Looking forward.....	31
6 References	34

List of Tables

Table 1. Overview of contact moments within WP4	3
Table2. To recall: the first two phases of the community arena	7
Table 3. Efforts and current situation in Austrian pilot	9
Table 4. Stocks and their characteristics for Carnisse	23
Table 5. Monitoring & Evaluation framework for Carnisse	28
Table 6. Further planning WP4.....	33

List of Figures

Figure 1. The preliminary main themes for Carnisse (as of September 15, 2011).....	25
--	----

LIST OF ABBREVIATIONS

BMBF	Federal Ministry of Education and Research
Drift	Dutch Research Institute for Transitions
PARG	Participation, Acceptance and Regional Governance
REC	Renewable energy community
SERI	Sustainable Europe Research Institute
UFZ	Helmholtz Center for Environmental Research
WP	Work Package

I Introduction

InContext aims to identify conditions enabling a societal transition towards sustainability through examining the interplay between inner and outer context factors in building the context for individual behaviour.

In order to shed light on this interplay, the Work Package 4 (WP4) partners of the InContext-project work with communities in participatory processes in Austria, Germany and the Netherlands. The aim is to support the transition to sustainable behaviour aspects in local communities through the deployment of the contextualised 'Community Arena' methodology, outlined in deliverable 4.1. Through a process of envisioning, backcasting, experimenting, self-reflection and learning, inner and outer context factors that build the context for behaviour will be explored.

This document is the second deliverable of WP4. The first deliverable described the Methodological Guidelines for implementing the community arena approach in the pilot areas. This second deliverable reports on the progress within WP4 focusing on the work done in the three pilot areas since the beginning of the project in October 2010 until mid September 2011.

I.1 Goal and structure of the deliverable

In section 2, we provide a short review of the events of the last 12 months from a WP4 point of view. This is followed by an addition to the Methodological Guidelines (deliverable 4.1), a general interview guide that the WP4-partners agreed upon (see section 3).

In section 4, we describe how the first parts of the Methodological Guidelines have been implemented in the three pilot areas. It is a progress report outlining the activities performed along the community arena phases, including their adaptation to the local context. As such it is meant to give an overview and to summarize some first results from the pilot project areas.

The deliverable is concluded in section 5 by a short case comparison and an outlook of the further planning.

2 Looking back: the past year

This section gives a short overview of the contact moments (besides regular mail-contact) of the WP4-team in table 1.

Besides the two project meetings in October 2010 and February 2011, the WP4-partners were in regular contact during the writing up of the Methodological Guidelines (deliverable 4.1), as well as afterwards when working on a further refinement of some of the aspects (such as the interview guide presented in section 3).

Through the architecture of the InContext project, the development of the Methodological Guidelines took place in parallel with the development of the Common Approach in WP2. This led to an intensive co-operation during the review phase of the Methodological Guidelines in April/May with WP2-partners and also during the review phase of the Common Approach in June/September.

Table 1. Overview of contact moments within WP4

Date	Contact moments
10/2010	Kick-off InContext, Berlin
26/01/2011	Conference call with WP4 partners.
02/2011	Partner meeting InContext, Rotterdam
16/02/2011	Conference call with WP4 partners <i>Input for writing Methodological Guidelines deliverable 4.2</i>
21/03/2011	Conference call with WP4 partners <i>Creation of inventory of methods, update from each pilot area</i>
20/04/2011	Conference call with WP4 and WP2 partners <i>Harmonization of feedback regarding deliverable 4.1 and of WP2/WP4</i>
16/05/2011	Conference call with WP4 partners <i>Preliminary agreement regarding interview guide and structure deliverable 4.2</i>
21/03/2011	Conference call with WP4 partners <i>Creation of inventory of methods, update from each pilot area</i>
20/04/2011	Conference call with WP4 and WP2 partners <i>Harmonization of feedback regarding deliverable 4.1 and of WP2/WP4</i>
16/05/2011	Conference call with WP4 partners <i>Preliminary agreement regarding interview guide and structure deliverable 4.2</i>
22/05/2011	Submission of deliverable 4.1 to Commission
07/07/2011	Conference call with WP4 partners <i>Final agreements regarding interview guide and structure deliverable 4.2</i>
29/09/2011	Conference call with WP4 and WP2 partners <i>Harmonization of feedback regarding deliverable 2.1 and of WP2/WP4</i>
05/10/2011	Conference call with WP4 partners <i>Discussion of internal review process and conclusions deliverable 4.2</i>

3 The interview guide

As announced in the Methodological Guidelines (deliverable 4.1), the following deliverables are more detailed concerning methods or localized adaptations of the common methodology. The interview guide presented here is one of the refinements that the pilot partners agreed upon since completing the Methodological Guidelines.

The aim is to enhance and warrant synergy and comparability between pilot project areas. The guide is part of the monitoring & evaluation framework as well as of the actor analysis outlined in the Methodological Guidelines. It should be used by trained interviewers only.

As part of the community arena process there will be three points of contacts with the participants, besides the arena meetings:

1. The first is an interview, which is also used as actor selection interview;
2. The second will be a group discussion at the 'felt' middle of the process;
3. On the basis of the outcomes of this group discussion, the third will be either another interview round or another group discussion.

We also discussed the use of questionnaires as a complementary method to the interviews and the group discussions to address e.g. behavioural change and 'Quality of Life' more quantitatively. In order to do so, some cognitive pre-tests to analyze the understandability of the questions and concepts would need to be done first.

Themes

During the three contact moments outlined above, the partners will address the following themes in all pilot areas:

- Pilot area today (i.e. feel about city, give description of city)
- Pilot area in the future (i.e. feel about city, give wish for the future of the city)
- Own contribution/role/engagement today (incl. why questions)
- Own contribution/role/engagement in the future

The interview can be in the form of a structured conversation or the set of interview questions proposed by Drift in combination with laddering questions (see Box 1 and deliverable 4.1 for more information) can be used. It might also be interesting to take some of the implications outlined by WP2 into account (see Box 2). We will also note some basic information of the interviewees and arena participants, such as age, gender, profession.

Participant selection

We will select interviewees and arena participants with regard to their willingness to participate, to talk about inner context aspects, reliability and span the width/variety of representation. As this is a transition management process, the actor criteria as outlined in the Methodological Guidelines should be taken into account.

Data recording & analysis

The interviews will be some 30-45 minutes and will either be taped (once taped they can be transcribed when needed and possible) or minutes will be taken. The same holds for the group discussions. The data will be analyzed using qualitative content analysis.

Box 1. Proposal for a set of interview questions

1. What is your relationship with the neighbourhood/town?
2. What do you like about it? Why?
3. What do you dislike about it? Why?
4. Which changes have you noticed in the past years? (*around 5 – 15 years, prompting: changes in the economic, social and environmental domains or the main topics surfacing from the system analysis*)
5. In which ways would you (a) expect, (b) like and (c) love the city to develop in the coming years? (*further questioning on niche, regime and landscape developments*) Why?
6. Which problems do you see for the city? (*further questioning on what he/she worries about*) Why?
7. What are the core values of the city? (*further questioning on specific strengths in the economic, social and environmental domains or the main topics surfacing from the system analysis*)
8. Which organisations/institutions/people are important in shaping the way the neighbourhood/town will develop, according to you?
9. In your opinion, which person has, or which persons have good ideas for the future of the city? Why?
10. What is your sense of urgency? What is for you an important challenge for the future of the city? Why?
11. What is your message to the arena?

Sustainability

The pilot project partners agreed on not asking for the term ‘sustainability’ and how it is understood by the interviewee. Rather we trace what we understand as sustainability thinking by analyzing our interview/questionnaire/group discussion/output data for:

1. Environmental thinking
2. Social thinking (I vs. we centred thinking, including own and other people’s needs);
3. Time horizon (short and long term);
4. Interregional thinking.

Next to behavioural attitudes we also take self-reported behaviour/behavioural change into account to cater for some of the influence that ‘social acceptability’ of attitudes has on the attitudes of the participants.

Box 2. Input WP2 to the interview guide (20.05.2011)

Variables to be monitored in WP 4

The issues to be monitored should take up the main elements of the core thesis and central research question (the sub questions have not yet been finalised). In addition to thesis and research questions, we as well looked into the upcoming common approach to name central themes.

They can be divided in 4 different fields:

1. Behaviour (Outer Individual Context)
2. Inner Individual Context
3. Inner Collective Context
4. Outer Collective Context

Some of those (clearly field 1) can and should be related as well to ideas of sustainability.

1. The most important issue is of course to measure whether the individual behaviour changed. As mentioned, it will not be able to measure this objectively, but rather by self-evaluation. It is important to be able to link this behavioural change to current indicators of sustainability (i.e. less resource use, fewer CO2 emissions, non-environmental ones?).
2. With regard to the inner individual context, it is important to:
 - a. track changes in participant's awareness of own needs and other people's needs, (Core thesis 1a) Here, we would recommend relating the needs mentioned by the individuals to the list of Max-Neef, this list being used by current sustainability research (Costanza et al. 2007, Guillen-Royo 2010);
 - b. as well as of the capabilities (i.e. the available set of sustainable strategies and the freedom to select from them) to meet needs (Core thesis 1b);
 - c. include changes in motivation, well-being (core thesis 1c);

Additionally, according to the model used in the Common Approach, we would appreciate gaining information on

- d. Values;
 - e. Sustainability knowledge (1st order learning) and change of frames, values, worldviews (2nd Order learning), in order to monitor social learning.
3. In the inner collective context, it is important to
 - a. track the change of the shared understanding of sustainability issues, and of drivers and barriers (Core thesis 2a).

It would as well be ideal to monitor changes in the

- b. culture of the group
 - c. and its social capital: trust, identification with place of residence, relations to neighbours, and support in neighbourhood or among the participants.
4. System analysis will contribute data on the socio-economic, infrastructural and political context of each pilot project. The Central research question 2 b implies that it is possible to evaluate changes with regard to the increase/decrease of sustainability – usual indicators should be used (i.e. less resource use, fewer CO2 emissions, non-environmental ones?).

The following are some considerations on how to monitor sustainability differently than by outcome indicators such as less resource use or fewer CO2 emissions:

- Evaluation of results against sustainability goals, such as ability to meet needs sustainably or take other people's needs into account when selecting a behavioural strategy, should form a central result of the empirical work.

There are different ways of how monitoring of sustainability awareness would be possible in

document and interview analysis: mentioning of the word, of the interrelatedness of different dimensions (environmental, economic, social), of other people’s needs (particularly timely and spatially distant people).

4 State of affairs today: The pilot areas

In this section each pilot project partner reports on the progress in its respective pilot area. They do so by (roughly) following the structure of the first two phases of the community arena process (see table 2).

Table 2. To recall: the first two phases of the community arena

0. Pre-preparation	A. Case orientation	A. Initial case description for each pilot
	B. Transition team formation	B. Transition team
1. Preparation & Exploration	A. Process design	A. Community Arena process plan
	B. System analysis	B. Insightful view on major issues/tensions to focus on
	C. Actor analysis (long-list and shortlist of relevant actors) incl. interviews	C. Actor identification and categorisation + insight inner context
	D. Set up Monitoring framework	D. Monitoring framework

The structure of the pilot area reports are based on the output of the first two phases (phase 0 and 1) of the community arena (see table 2). The first output of the pre-preparation phase, the initial case description for each pilot has already been included in the Appendix of deliverable 4.1. Ideally, by now, transition teams have been formed and local processes designed, including the generation of new insights by the system analysis, identification of relevant actors and a monitoring framework. Since the process within the three pilot areas went with different speeds, the following elements will be addressed as far as they have been undergone in the respective pilot area by mid September 2011:

Process description:

The pilot partners address the starting phase within their pilot areas incl. the barriers they were confronted with and the opportunities they could take advantage of. In addition the process plan (output A of the preparation & exploration phase) for each of the communities will be presented.

System analysis:

This refers to both the process of doing the system analysis (i.e. what were the steps performed by the partners) and the actual outcome of the system analysis (output B of the preparation & exploration phase).

Actor analysis:

The pilot partners outline the process of doing the actor analysis (incl. selection criteria) as well as the actual outcome, the identification of actors (output C of the preparation & exploration phase).

Monitoring framework:

Here the pilot partners outline the design of their contextualised monitoring & evaluation framework.

Some points might be addressed more in detail by one or the other pilot partners, as each is in a different stage of the process. While Austria is still searching for a community that is prepared to participate, Germany and the Netherlands are both in the middle of their actor selection and system analysis preparation. A comparison will be made in greater detail in section 5. In the following, each of the pilot areas outlines the local process.

4.1 Pilot area Austria

Lisa Bohunovsky

Unfortunately, the Sustainable Europe Research Institute (SERI) could not get a final commitment of an Austrian community to collaborate in the InContext project so far. Despite the fact that SERI held a letter of interest from Gmunden even before the start of the project, the situation changed in the first months of 2011. The main reason for the difficulties might be the fact that SERI insists on a co-financing from the community, as a guarantee for implementation projects.

In the following sections, we describe our efforts, the current situation and its implications, and try to conclude on the difficulties that we faced over the last months.

What we have done until now

Even before the start of the project we had very good contacts to the municipality of Gmunden, which resulted mainly from previous project collaboration. Therefore the selection of Gmunden as a pilot project area was obvious, and the municipality showed great interest in the InContext project, which was also expressed in a letter of interest. The good cooperation so far became increasingly difficult in 2011, and serious internal problems in the community (e.g. a serious incident in spring 2011 which occupied the town for weeks) complicated the communication.

The InContext project was on the agenda of the community council several times, but was never dealt with. Finally, the community council declined on the 27th of June.

Due to this development, SERI was forced to look for other pilot project areas and relied mainly on personal direct or indirect contacts. First attempts were already made when the situation in Gmunden got worse, after the rejection of the project proposal in June efforts were further intensified.

The following, table 3, summarizes the efforts made in this regard and gives an overview of the current situation:

Table 3. Efforts and current situation in Austrian pilot

Municipality	Date of first contact	Status quo
Completed:		
Mürzzuschlag	22.03.2011	telephone discussion; interest, but no budget for 2011;
Schwechat	24.03.2011	Project description sent to mayor; telephone discussion; declined
Wolkersdorf	29.03.2011	Project description sent to mayor; personal meeting on May 12, 2011 to discuss the project proposal as the mayor expressed great interest; finally declined as too many overlaps with ongoing projects in the community;
Ilz	14.04.2011	Project description sent to head of local citizens' initiative; no interest of municipality

Lienz	22.04.2011	Meeting with head of city marketing to discuss project idea; great interest but currently no financial and personal resources to carry out the project
Wolfsberg	19.07.2011	Project description sent to mayor; multiparty discussion led to verbal confirmation of participation in August; denial after unexpected resistance by opposition party;
Gleisdorf	22.04.2011	Project description sent to and discussed with head of initiative for the development of rural areas in Styria (Landentwicklung Steiermark); suggested to contact municipality of Gleisdorf; no interest in project idea
Currently still under discussion:		
Krems	30.03.2011	Project description sent to mayor in April; interest, but no personal capacities until fall 2011; contact again in September 2011; currently pending;
Finkenstein	07.07.2011	Project description sent to community representative; personal meeting on July 5; parish council approved project; postponed in community council due to missing information; project presentation for parish council planned for Sept. 23;
Wolfurt	06.09.2011	State of Vorarlberg is interested in the project and guaranteed co-funding, if municipality of Wolfurt takes over the rest of the funding; currently in discussion with deputy mayor of Wolfurt; feedback expected for Sept. 23

Due to recent developments we think that collaboration with the following municipalities is still feasible and we are working very hard to achieve a commitment for collaboration as soon as possible:

- Municipality of Finkenstein
- Municipality of Krems
- Municipality of Wolfurt

What does this mean for the implementation of the pilot project?

Despite the numerous problems in finding a pilot project area, we are still optimistic that SERI will be able to accomplish the pilot project in time. Assuming we reach a definite agreement of a community in 2011, we believe it is realistic that the process can be completed in June 2013, as agreed in the adjusted version of the timeline (adjusted in September 2011, see section 5.2).

Conclusion: the main problems

During the efforts of the past months to find a community for the pilot project, we encountered the following two problems several times:

1. THE PROBLEM OF CO-FINANCING

In our bid to the communities we asked them to support the project "InContext" through co-financing, i.e. the provision of a budget to implement the measures developed in the process. The aim is to get a co-financing of 30,000 € for this process, which is for the benefit of the

future development of the community. Nevertheless, the amount is communicated as a basis for discussion, as it can be adapted to the financial possibilities of each community.

This guarantee in advance poses a major problem and led us even to consider dropping this requirement. However, since we know from experience that the start of a participatory project with uncertain financing of the achieved results is a very difficult and risky business; this is not really a viable alternative.

There would be a high probability that the participants leave the process disappointed, when their developed visions and implementing measures eventually cannot be realized for financial reasons. Under these conditions the process would be complicated, because the motivation of the citizens to participate would drop and the project would lose credibility. Such an outcome of a participatory process can also permanently destroy the readiness for civic engagement in a community. Therefore we do not want to deviate from the promise of the co-financing and still include it in our present efforts.

2. THE PROBLEM OF THE ACCEPTANCE OF AN OPEN PROCESS

The envisaged process for the pilot project is an open process without defined results which can be ascertained in the beginning. Thus, it needs a lot of trust from all sides (participants, researchers, decision makers, community representatives) to believe in positive and beneficial outcomes. It is difficult to get this trust from all people involved in the decision – a fact that unfortunately hinders a univocal decision on accepting the project.

In those communities where it came to a vote in the community council, the project was usually supported by some fractions / people – whereas others remained sceptical about it. Since some parties have always been anxious about the outcomes of such a process, we also had to deal with the demand to define possible results in order that the parties can ensure that the project complies with the party interests. From our point of view, however, it is precisely the openness of the participation process that is one of the core elements of the method and it is exceedingly important to us for ethical reasons.

4.2 Pilot area Germany

Stefanie Baasch

4.2.1 Process description

The German InContext pilot could widely benefit from already existing network structures in the Region of Northern Hesse, especially through the Federal Ministry of Education and Research (BMBF) project KLIMZUG-Nordhessen. Its sub-project PARG (Participation, Acceptance & Regional Governance) which is located at the department of social science, working group environmental governance at the University of Kassel, has build a regional network with a variety of local actors. The head of this department at the University of Kassel, Prof. Christoph Görg is also head of the department of environmental politics at the Helmholtz Center for Environmental Research (UFZ) at which the German InContext WP 3 and WP 4 studies are conducted. Both regional studies are conducted by a researcher with regional expertise and who had already been interconnected with regional actors before InContext started.

These existing structures facilitated the start of the WP 4 pilot in the city of Wolfhagen in many ways. It alleviated access to information about potential participants and local actors who could be interested in supporting the InContext project. The support of the local partners (detailed description see “transition team”) can be seen as an important factor for the willingness to participate in the actor interviews. Referring to local initiatives, projects or authorities increased the trustworthiness of the InContext project for the addressees. The existing network structures worked out as “door openers” for the research process. On the other hand, the existing networks influenced the InContext project process by demanding coordination and information exchange. The mayor of Wolfhagen supported InContext by his letter of intent and by information exchange.

Additional funding

Rooms for arena meetings have been promised by the city of Wolfhagen and Energie 2000 e.V.

Meetings

Several meetings and telephone conferences with our local project partner Energie 2000 e.V. and KLIMZUG-Nordhessen were conducted for the preparation of the German pilot and for coordination demands with the upcoming project Wolfhagen 100% Renewable Energy Community (REC).

Additionally, InContext was presented to the mayor of Wolfhagen (meeting between the responsible person for the German pilot study, the executive director of Energie 2000 e.V. and the mayor). During this meeting, information about potential participants for the arena meetings was exchanged.

Regional conferences and meetings, especially with KLIMZUG project partners were also used for an exchange of information and for presenting the InContext project.

Transition team

The proposed transition team approach (as defined in the Methodological Guidelines) could not be translated into practice in the German pilot study. The envisaged transition team members were Energy 2000 e.V. and the manager of the upcoming ENERGENIAL office. The non-profit agency Energy 2000 e.V. does not have sufficient resources to guarantee the active work as a transition team member. The ENERGENIAL office is meant to be part of the upcoming project Wolfhagen 100% REC which is currently delayed and therefore, this office has not been established yet.

The active cooperation of external members for the transition team, like it is defined in the Methodological Guidelines, could not be gained, referring to a lack of (human) resources. This lack of resources seems to be the main barrier for participating in the transition team. Therefore, it could be advisable for future projects (at least in similar arenas) to include funding for transition team members. Most non-profit as well as public organisations are currently facing a too tight calculation of person months to participate in additional projects.

Though the guidelines for transition team members could not be fulfilled, there are several projects and organisations that are actively supporting the German pilot in Wolfhagen. This support takes place in many ways, especially by offering information and information exchange, coordination of the local activities and addressees of local actors. These close cooperation partners are described hereafter.

Energie 2000 e.V.

The agency Energie 2000 e.V. is a non-profit association. The agency is an important supporter of the InContext project by offering information and supporting contacts to local actors.

Energie 2000 works as an advisor for communities and community facilities, associations, private citizens and companies concerning energy saving and the use of renewable energy devices. The consultation is product independent and not guided by selling interests. Rather it aims for ecological and economic practical solutions for the individual case. Additionally, Energie 2000 offers trainings for operators and users of energy devices, prepares technical and economical calculations, implements public relation activities for renewable energy and energy savings etc. From 2000 to 2003 Energie 2000 supported and supervised the local Agenda 21 process in the administrative district of Kassel. Energie 2000 e.V. works together with other regional and trans-regional advice centres to offer citizen-friendly and demand-oriented information.

KLIMZUG – Nordhessen

“KLIMZUG - Managing climate change in the regions for the future” is funded by the Federal Ministry of Education and Research in Germany (BMBF). KLIMZUG aims at developing innovative strategies for adaptation to climate change and related weather extremes in regions. The anticipated changes in climate shall be integrated in processes of regional planning and development.

KLIMZUG adopts network development in regions, with implementation as a main instrument. Regional cooperation networks are intended to pool the scientific, planning, technical and entrepreneurial strengths of the stakeholders involved in a region and to actively establish structures for a new, state-of-the-art approach to managing climate

change. The networks are meant to exist and to evolve on a long term basis and thus to strengthen the competitive advantages for future climate conditions.

The funding activity particularly stresses the regional aspect since global problems such as climate change must be tackled by measures at regional and local level. The future competitiveness of regions, also in a changing climate, must be ensured. Also, KLIMZUG is meant to advance the development and use of new technologies, procedures and strategies for adapting to climate change in the regions. The successful implementation of measures for climate change adaptation on a regional level is highly dependent on the commitment of local citizens. For that reason, KLIMZUG also emphasizes educational and capacity building aspects.

KLIMZUG – Nordhessen is one of the regional KLIMZUG project clusters. Following a trans-disciplinary approach, KLIMZUG-Nordhessen develops, implements and tests structures, institutions, products and services for enhancing the adaptation capability. A close cooperation between science, economic sector, civil groups and political decision-makers should enable knowledge transfer and successful implementation. The KLIMZUG-Nordhessen network contains 18 research and nine practice projects which are organised in four overlapping working areas. An intensive exchange of information between researchers and regional partners that are responsible for the implementation of adaptation measures leads to dynamic interaction of science and practice. The sub-project PARG (Participation, Acceptance and Regional Governance) analyzes social aspects of the implementation of climate change adaptation strategies and measures in the region of Northern Hesse. It focuses on conflict potentials, communication aspects, perceptions and acceptance, as well as justice in the field of climate change adaptation. Through its empirical design, PARG has established an extensive network with regional partners from public administration, local economy, civil society, non-profit organisations etc.

Wolfhagen 100% REC – Development of a sustainable energy supply for the city of Wolfhagen (Wolfhagen 100% EE – Entwicklung einer nachhaltigen Energieversorgung für die Stadt Wolfhagen)

This project, Wolfhagen 100% REC, is funded by the Federal Ministry of Education and Research in Germany (BMBF). Cities and communities have to contribute to the fulfilling of climate protection aims and they also have to take responsibility for the implementation of a sustainable energy production. The funding of an innovative project should help communities by implementing innovative strategies and services. Therefore, applicable measures and concepts will be developed in order to push the development of future oriented energy supply.

Five communities, Delitzsch, Essen, Magdeburg, Stuttgart and Wolfhagen have been awarded as energy efficiency communities in Germany. Their innovative concepts on energy efficiency will be supported and funded by the BMBF. The Wolfhagen 100% REC project aims not only for the implementation of energy efficiency measures in the community, but also for a wide public acceptance of a more sustainable energy use and production, as well as a general consensus about the reduction of emissions for fulfilling climate protection aims. One crucial aspect of the public relation measures is the implementation of an energy information centre in the inner city of Wolfhagen. In this office, information and support should be offered to the local citizens.

The manager of the ENERGENIAL office was planned to be involved in the Wolfhagen InContext pilot as a member of the transition team. The Wolfhagen 100% REC project was

scheduled to start in late summer 2011, but the project start is delayed and has not started yet. Therefore, the energy information centre has not been opened yet and the position of the centre manager is still vacant. To avoid delays in the InContext pilot project, the Wolfhagen pilot could not wait for the opening of the energy centre. The ENERGENIAL manager will be involved in the German pilot of the InContext project at a later stage.

The Wolfhagen pilot study was planned to focus on energy consumption and sustainable inner city development. Synergy effects should be reached with the upcoming project Wolfhagen 100% REC, which also included the aim of reducing energy consumption in private households, mainly through information campaigns.

4.2.2 System analysis

Wolfhagen is a middle order centre, 30 km west from the high order centre Kassel. It is connected to transport by a federal motorway (A 44) and by regional train lines. The city area of Wolfhagen is subdivided into a core city with a historical city centre and eleven rural districts. About 13,840 inhabitants are living in the city, about 7,620 of them in the core city. For the future, the decline in population is predicted to reach about 6% in 2020.

A large percentage of the employed persons travel to work – mainly to Kassel or to Baunatal (VW factory). In the city of Wolfhagen the economy is diverse: retail trade, crafts, car dealers, fragmented trade, traditional and medium-sized industry, and with tendency to rise: innovative small enterprises especially in the energy sector, like energy technology, wood gasification, thermal powers station and energy saving window glass. Studies about prospective economy sectors in Wolfhagen designate the sectors tourism, education and renewable energies as most promising. Wolfhagen is well equipped with public facilities (kindergartens, schools, trade schools, hospital, a retirement home and senior citizen centre, rural district office, police station).

Wolfhagen can be seen as a frontrunner community regarding renewable energy production. Taking this as a starting point, the question raised is if this has led to any effects on the consumption of energy, e.g. is the energy consumption behaviour more sustainable than in other regions? Another issue which has turned out to be one current challenge for the community is the inner-city development. The historic town centre suffers from rising vacancy rates, which is an unsustainable city development. The reasons for the vacancy could be traced back to conflicting monumental protection and energy-saving measures. Another reason might lay upon space requirements of local citizens, who often prefer to build bigger houses in the surrounding areas.

Currently the content of the WP 4 arena workshops is not specified because the study aims to meet the needs of the local participants. Therefore, the issue of the workshops will be defined after the analysis of the interviews with the potential participants. Probably the study will have a focus on energy issues and / or inner city development, which seem to be closely linked issues and also are likely to meet local interests. E.g. the study may focus on how to develop the historic town centre in a more sustainable way with special regard to energy-saving measures. The following questions could be addressed: How can people be motivated to live in the historical centre? Which inner and outer context factors are relevant for this decision? What does the sustainable historical city centre look like and how does it feel to live/work/go there? Are individual energy consumption behaviours and perceptions about sustainable (energy efficiency) city development linked?

In the German case study in WP 3, the historical process of Wolfhagen aiming to become a 100% renewable energy community is currently analysed. Therefore, there are strong synergy effects between WP 4 and WP 3 for the German case. The current results, based on a document analysis, are described below.

Wolfhagen is one of the German frontrunner communities in the field of renewable energy. The city of Wolfhagen aims to cover its entire communal energy need (households, commercial and industrial business) from 2015 exclusively with locally generated renewable power. Beside the positive effects on the communal climate footprint, positive effects on the local economy and an increase in local value should be realized. The measures and project for fulfilling this aim should be put into practice with public involvement.

The reasons found for aiming to become a 100% REC are varied: from global climate change and the need for climate protection to an increase of local value by communal energy production and energy power supply, to benefits on an individual level, like sustainable investment funds for the planned citizen owned wind park (which should deliver two-thirds of the local energy requirements in the future). In general, there have been no indications for any kind of public resistance against the general aim. But the analyses of documents, newspaper articles and interviews reveal two kinds of conflict. First, the conflict between the city and the energy supplier E.ON about the remunicipalisation of the local power grid which ended in 2006 and second, the ongoing conflict about the building of power plants in a forest near Wolfhagen (Rödenser Berg).

In 2005 the power grid's licensing agreement between Wolfhagen and the energy company Eon expired. Usually, such contracts are entered for about twenty years and after this period they will be renewed as a matter of routine. But in the case of Wolfhagen, the city decided to hand over the right of use to the municipality services. It was the first time in Germany that a community denied to continue the power grid contract with E.ON and after years of quarrel about the value of the wirings, Wolfhagen succeeded in taking over their local power grids by an out-of-court-settlement with E.ON. Locally owned power grids are one essential aspect for local self-sufficient renewable energy politics because it enables or at least facilitates the feeding of the produced power into the grid. The next big step towards the 100% REC aim took place in 2008 when the municipality services started to deliver exclusively 100% renewable energy to their customers. Currently, the energy requirements are covered by hydro power which is bought in Austria.

From 2015 the total energy requirements should be covered by locally produced energy from wind power, biomass and photovoltaic. The majority of energy should be produced by a citizens-owned wind park. The location of the planned wind park has led to severe conflicts in Wolfhagen. The majority of political actors support the project, but a local protest group opposes against the location with nature conservation arguments. This conflict is still unsolved though a lot of efforts have been made, e.g. by a mediation process. Though this argument is quite complex, it has little influence on the process as a whole because it is restricted to a location conflict. The opponents do not neglect the principle aim of becoming a 100% REC community.

In October 2010, the Federal Ministry of Education and Research awarded Wolfhagen as one of the top five German towns in energy efficiency (Energy Efficient City). Currently a scientific - practitioners project concerning the city's sustainable energy supply founded by the Federal Ministry of Education and Research is being developed. Project Members are the City of Wolfhagen, Stadtwerke Wolfhagen GmbH, Fraunhofer-Institute for Building

Physics, deENet e.V. and ENERGIE 2000 e.V. The main aims of this project are: energy saving, energetic redevelopment, smart metering and consumer information, potential assessment e-mobility. Beside renewable energy production, the reduction of energy requirements has been discerned as an important aspect for reaching the 100% REC aim.

Focus of the process

Currently, the German pilot is planned to address a more sustainable inner city development and a more sustainable use of energy. During the interviews, which will be conducted during the next weeks, the participants will be asked about their particular interests about local sustainability issues. A successful pilot study could only be conducted if it meets the local needs and interests (see actor analysis for one of the reasons). Therefore, the focus of the pilot cannot be strictly defined before the interviews have been conducted.

4.2.3 Actor analysis

In several meetings with Energie 2000 e.V., the mayor of Wolfhagen, the Energie 2000 e.V. agency and other network partners, mainly from the KLIMZUG-Nordhessen project, potential participants for the arena process were identified. The selected participants have been invited to interviews. Currently five participants agreed on being interviewed during the next weeks. One selected participant denied participating in the InContext project because of a lack of personal time resources. During the interviews the participants will be asked if they know additional potential participants who could be interested in taking part in the pilot.

Most of the selected actors are members of non-profit associations on different tasks, like associations for protection of the environment, social services, etc. In small communities and rural areas, non-profit organisations as well as engaged citizens are often lacking additional resources for engaging in new and additional projects. Partly different than in metropolitan areas, engaged citizens in small communities are mainly active in institutionalized structures, like charitable organizations. Very often this engagement is quite time consuming and leaves hardly any resources for new or other social non-profit activities especially if they are not in the focus of the own engagement. Not surprisingly, most of the potential participants work or are voluntary engaged in such kind of local organisations or initiatives.

If the participants can be seen as frontrunners could not be answered yet. Currently, participants are selected who are engaged in social, environmental and economic developments within the local context. The actor interviews will reveal more detailed information about the actors' engagements and the reasons for their activities.

For the actor analysis the following methods mentioned in the WP4 guidelines have been used for an input: Suggestions from the transition team members and their immediate surroundings, the system analysis. Additionally, the interviewees have been asked if they knew other potential participants for the WP 4 study. Snowball e-mails, newspaper cutting methods and inventory of concrete activities have not been used. Snowball e-mails were seen as less effective as telephone or face-to-face meetings, which have been used instead. Newspaper cutting methods would have been very time consuming. Also there is no local newspaper focussing on Wolfhagen but only two regional newspapers (HNA – Hessische/Niedersächsische Allgemeine Zeitung and Frankfurter Rundschau). The results of the WP 3 document analysis of the case study in Wolfhagen were also used for WP 4, which is seen to be more effective than analysing newspapers.

The idea to approach actors as individuals and not as representatives was not suitable in practice. People in small communities who can be identified as engaged citizens and who might be willing to participate in InContext are mainly members of non-governmental organisations, other civil societal organisations or they are members of parties. These people are used to appear as representatives, though they could hold their individual views. Separating the individual from the representative's view could hardly work out in practice because they generally will be closely interconnected. Also the participants in small communities often will already know each other, and therefore, a certain amount of social control could not be excluded in the process.

4.2.4 Monitoring framework

The monitoring and evaluation framework will be conducted in a participative process with the participants of the arena process. In the workshops appropriate criteria will be developed with the participants and target agreements will be defined.

It is planned to record and transcript the arena meetings for conducting a qualitative content analysis, but this depends upon participant's agreement. If a record and transcription is undesired, summary minutes will be taken instead.

4.3 Pilot area The Netherlands

Frank van Steenbergen, Julia Wittmayer

4.3.1 Process description

Starting phase

The EU funding for InContext is matched with funding from the city of Rotterdam. The latter was accorded to a consortium of four partners called Veerkracht (translation: Resilience), with the Dutch Research Institute for Transitions (Drift) being one of them.

The process of negotiating and lobbying between the consortium and the city of Rotterdam took almost four years. With the municipality of Rotterdam drastically cutting costs, there was a rather long period of uncertainty about whether this funding would be accorded or not. Only in August 2011 was an agreement reached. Thereupon initial political support for the community arena process is provided, with the intent to do so for the complete four years of the Veerkracht-project. Against the background of budget cuts and failures of previous participatory processes in Carnisse, the framing of the community arena proved difficult. The open nature of the proposed arena outcome (with regard to outcome) as well as the different methodology led to a certain amount of scepticism by local policy makers (What is new or different? What will the process deliver in concrete results?). Other barriers in the process of getting the Veerkracht project approved were the bureaucratic accountability relations (e.g. conflicting interests) and the high fluctuation amongst policymakers.

Veerkracht

Together with Rotterdam Vakmanstad, Creatief Beheer and Bureau Frontlijn, Drift initiated a coalition called Veerkracht Carnisse. All organisations can be seen as niches in the existing policy-regime of Rotterdam. Because of the collaboration with these more action oriented partners, the biggest tension encountered in the previous community arena in Rotterdam (also see case description of the neighbourhood arena in the appendix of the Methodological Guidelines), i.e. the call for concrete actions and experiments instead of deliberative processes, is intercepted. Below is a short description of the other partners.

- Rotterdam Vakmanstad (Skillcity) focuses on working with primary school children in deprived neighbourhoods. These children learn certain skills (i.e. verbal, handcrafts, psychical, intellectual, etc.) through lessons in judo, cooking, gardening and philosophy.
- Creatief Beheer (Creative Maintenance) tries to revitalize neglected public spaces together with the local population. The aim is to stimulate self-maintenance of public spaces, such as squares, parks or others by encouraging and facilitating local inhabitants. They develop 'citynature', parks and gardens and steadily build more green urban neighbourhoods.
- Bureau Frontlijn (Frontline) is a project organization of the municipality of Rotterdam that searches for solutions for families with multiple problems in deprived city neighbourhoods and districts. They work via a so called 'frontline approach' where experiences of individuals are central for their integral approach. They have a strong focus on care, youth and education.

Process design

In the following we fill in the different elements of the process design proposed in the Methodological Guidelines.

Determine goals of the arena process:

When looking at sustainability in terms of social, ecological and economic sustainability, the emphasis in this deprived neighbourhood is on the social aspect of this triangle. Nevertheless we aim to bring in economic and especially ecologic aspects as well. The system analysis as outlined below (see section 4.3.2) gives preliminary insights into the major issues and tensions based on desk research. These insights will still be complemented with insights gained through interviews with people active in Carnisse (ongoing in September 2011) and those of the arena participants (during first meeting in October 2011). Preliminarily we see the main themes for Carnisse as outlined in figure 1.

The collaboration with the Veerkracht partners allows the partners to bring in their insights, based on their expertise in topics such as 'health and food', 'green in the neighbourhood' and 'youth'.

Determine amount of meetings:

Experience of other researchers and policy actors (based on several interviews) shows that inhabitants of Carnisse show a fatigue from public participation processes that do not have immediate practical outcomes or are not concerned with practical interventions. We therefore aim to keep the deliberative part of the arena process as short as possible without compromising the learning and awareness outcomes. The plan is to stick to five meetings as outlined in the Methodological Guidelines, each taking some 2-3 hours. Those inhabitants who have the time and the mindset to support the further development and elaboration of the vision and the transition paths are invited to do so in in-between meetings of smaller groups.

Relate the arena process to relevant ongoing (policy) processes and planned activities:

We plan to collaborate closely with Creatief Beheer, Bureau Frontlijn and Rotterdam Vakmanstad in the Veerkracht-coalition. Also the local government and other public officials are of great importance for their cooperation, experience, networks and knowledge within Carnisse. There are several policy programs aimed at the southern part of Rotterdam and Carnisse in particular that with which we will try to connect. Through the system analysis and interviews we already came across planned and past activities in Carnisse. Also, by connecting to people in the neighbourhood we will become aware of other activities and aim to bring them into the arena process so as to be able to relate different activities to each other. This way we try to strengthen existing local efforts as much as possible.

Select methods that will be used during meetings:

For the first arena meeting we plan to start with the 'Quotations as introduction-method' outlined in the guidelines (Wittmayer et al. 2011: 43). The more detailed script for the first arena workshop will be written at the end of September/beginning of October 2011. The selection of methods for the arena meetings 2-5 will take place after the first arena so as to accommodate the group dynamics.

Set up specific monitoring and evaluation framework:

See section 4.3.4.

Determine modes and level of documentation:

For each of the interviews, the researchers write an interview protocol. This protocol is not verbatim (besides some quotations) but clusters the statements according to their content. Given the consent of the interviewees we will tape these interviews. Also, the arena sessions will be taped, in addition one researcher will take minutes during the session which will be typed out in an arena session protocol. Data such as number of attendees, the scripts, number of attendees and observation notes will also be collected. Furthermore, correspondence with participants (such as e-mails, invitations, informal feedback, etc.) will be collected.

For those interested, we plan to post a short version of the interviews on the website of Veerkracht (www.veerkrachtcarnisse.nl) (depending on the consent of the interviewees). There we also aim to put short minutes of our arena meetings. This website will be linked to other active websites and media in the neighbourhood such as the website of the neighbourhood community organisation¹, or one of a consortium of parties aimed at improving life in Carnisse (<http://www.pakjekansincarnisse.nl/>), or one by an active inhabitant who is named after one of the places in Carnisse (www.amelandseplein.nl).

Set up a division of tasks within the transition team:

The transition team is made up of several members, with researchers of Drift in the lead, supported by a researcher from the TUDelft and the Veerkracht partners.

The transition team is open to public officials of the municipality, but currently no suitable member has been selected.

4.3.2 System Analysis

System analysis process

Based on the Methodological Guidelines, the Carnisse transition team performed a customized version of the system analysis. As the analysis was done in Dutch, the most important points are translated here to be shared with the other pilot partners and a broader public.

For the system analysis, the transition team followed the steps outlined below.

1. *Creative search for relevant topics for Carnisse (May 2011)*

A brainstorm session with the transition team resulted in the identification of possibly relevant topics for Carnisse. After collection the topics were clustered as follows: a) culture, nationality and religion; b) social and physical mobility, c) experiencing Carnisse, d) population (especially the high number of young people), e) physical

¹ BOC Carnisse, <http://www.jpschouten.net/pages/carnisse.html>

surroundings, f) policy environment, g) positioning Carnisse in broader Rotterdam, h) urban economy, i) health, j) green in the neighbourhood and k) participation.

2. Testing and verification of relevant topics through research and analysis (May 2011)

Members of the transition team worked on data collection and analysis split up into the following parts:

- Collection and analysis of policy documents from different policy levels (neighbourhood, municipality, national government);
- Press analysis of the neighbourhood over the last 10 years;
- Historical analysis of the neighbourhood over the past century;
- Geographical analysis of the neighbourhood incl. an overview of services and neighbourhood initiatives.
- These tasks were performed with a focus on verification of the above mentioned relevant topics: Are these indeed deemed relevant by the differing sources? Are there additional topics that were not yet mentioned? In addition, relevant actors for interviews as well as possible arena candidates were identified.

3. Walk through the neighbourhood and definition of main stocks (May 2011)

A walk through the neighbourhood provided additional data and gave a hands on experience of how the neighbourhood 'feels'. Based on the analysis mentioned above, a SCENE analysis was performed identifying the primary stocks (the main qualitative, quantitative, functional or spatial properties of a system) and their characteristics (see Table 4).

4. Elaboration of stocks and characteristics (June 2011)

The stocks and their characteristics were further elaborated on by looking up statistical data and digging further in media, internet as well as policy documents.

5. Formulating main themes and identifying interview partners (July 2011)

The main themes (see Figure 1) were defined on the basis of the elaborated stocks and their characteristics in a session of the transition team in July 2011. This is a preliminary definition based on desk research and it will be further validated by interviews and the first arenas. The first interviews were scheduled.

6. Performing interviews (August/September 2011)

The first interviews are performed and additional interviews are arranged from which the first arena candidates are chosen. The members of the transition team and of the broader Veerkracht coalition are frequently in Carnisse building a network and finding out about possible participants.

7. Enriching and sharpening the system analysis (October 2011)

The system analysis is enriched with the data gained through interviews on an ongoing basis. The expectation is that the main themes presented here and based on desk research (see Figure 1) will undergo a major shift after all the interviews have been analysed.

Table 4. Stocks and their characteristics for Carnisse

Stocks	Characteristics
Social-cultural domain	
<i>Mobility</i>	Social mobility Migration, as in moving houses Immigration
<i>Culture</i>	Nationalities Religion Cultural activities
<i>Experiencing the neighbourhood</i>	Criminality Nuisance Safety Social cohesion Experience of the neighbourhood
<i>Public health</i>	Public health Food and eating patterns
<i>Education</i>	School facilities (numbers and kinds of schools) Level of education School drop-outs/absenteeism
<i>Population and Youth</i>	Demographics Number of youth
<i>Participation and identity</i>	Identification with the neighbourhood Participation Neighbourhood initiatives
Economic domain	
<i>Economic activity</i>	Employment Unemployment Income Shops & Companies
<i>Housing</i>	Ownership Types of houses Gentrification
Ecologic domain	
<i>Green spaces</i>	Public green Playing facilities
<i>Water</i>	Canals
<i>Environmental pollution</i>	Waste Air pollution

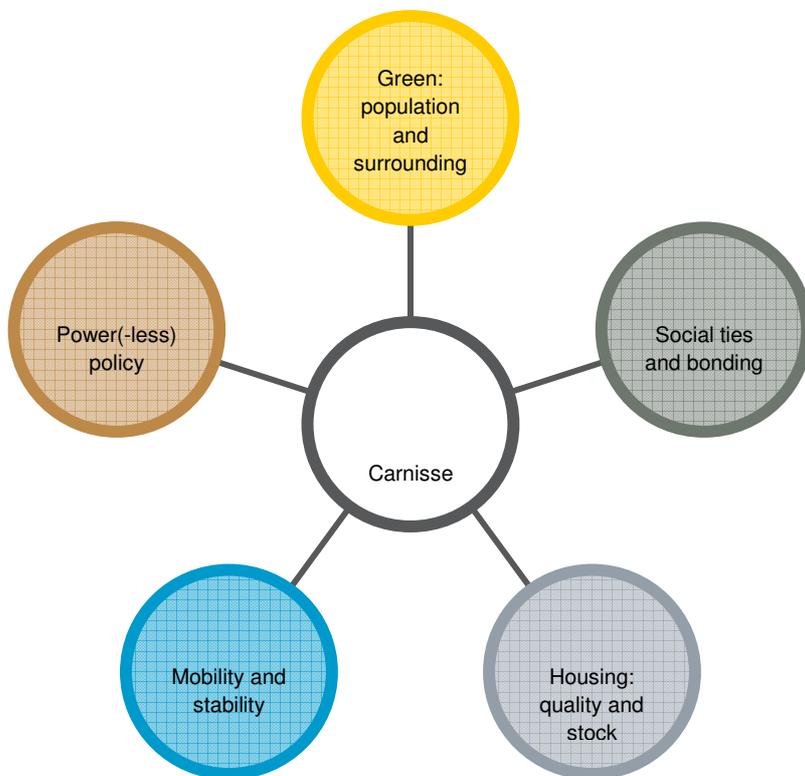
System analysis content

The system analysis is divided in two parts.

In a first part we describe the macro-level influences on Carnisse as a system. Firstly, this includes embedding the neighbourhood into the history of the area that is now the area covered by the partial municipality of Charlois of which Carnisse is one part. Secondly it entails embedding Carnisse in the current national and local policy environment. Thirdly it describes the quarters of Carnisse in their own right.

In a second part we describe the twelve stocks of the SCENE analysis of Carnisse and their characteristics (see table 4) in greater detail. From there we formulated the five main themes for Carnisse (see figure 1) based on our interpretation and subject to change as the community arena process unfolds. This SCENE also includes emerging niches on the micro level, such as promising neighbourhood initiatives and frontrunner activities.

Figure 1: The preliminary main themes for Carnisse (as of September 15, 2011)



The five main themes for Carnisse (as of September 15, 2011)

Green: population and surrounding

Green stands for the high percentage of the young population and the little amount of nature/green in the neighbourhood. Carnisse has a high share of young people, some 45% of the population is younger than 30 and the neighbourhood both suffers and profits from this aspect. Also, there is not so much physical green in the neighbourhood, besides one park and an educational garden. Both of these aspects show potential for development: an

attractive future perspective for the youthful population (and future generations) in an attractive green and blue (including the water) environment.

Social ties and bonding

The system analysis showed that inhabitants of Carnisse have little bonding with the area. It is one of the neighbourhoods where immigrants to the Netherlands and to Rotterdam start their residential careers. This constant flow of people does not support bonding between people (also referred to as social cohesion) nor their rooting in a place. Inhabitants see Carnisse as a transit station towards a better living environment (or in some cases: back towards their homeland).

Housing: quality and stock

The quality of the housing stock in Carnisse is poor, which is related to the high degree of private ownership by large investors. The neglected exterior gives the neighbourhood a desolate look and the living circumstances of especially immigrants from Eastern Europe causes social problems. Investments in improvement of houses seem scarce which might be related to the low socio-economic status.

Housing quality and stock is directly related to social (the experience of living in a house and a neat neighbourhood), economic (the cost of living incl. energy costs) and ecological (energy consumption) sustainability.

Mobility and stability

Carnisse shows relatively high degrees of migration – inwards by young, low-educated and outwards by the relatively better-off (usually starting families). There seems to be no balance between mobility and stability in Carnisse. The constant inward and outward flow of the population is referred to as one of the main problems of Carnisse especially by policy makers. Mobility also refers to social mobility, where the possibilities for moving up the social hierarchy are scarce in Carnisse.

Power(-less) policy

Although local policy tries to get a grip on all these factors with a wide range of instruments and measures they are not able to substantially improve the physical, ecologic, economic and social features of the neighbourhood. Policy seems to be captured in bureaucratic protocols, conflicting interests, accountability relations, etc.

From the sources checked so far, environmental themes (energy, water, air, pollution, etc.) do not play a role. This will require further research by the transition team and within the community arena itself.

4.3.3 Actor Analysis

The actor analysis started in August with the listing of potential candidates for the arena as well as of people that could give us insightful input for the system analysis. We came across names via desk research (searches in press articles, internet, policy documents, etc.), via our Veerkracht partners, and via our network in other neighbourhoods nearby. The list of potential interviewees still grows every day, also because we ask for possible interesting persons in the first interviews (applied 'snowball sampling' method). After a first draft of the

list of candidates we started carrying out interviews for system analysis verification/validation and for getting to know and select potential arena candidates. For these interviews we used the interview protocol as described in section 3. The period of intense interviews will run until mid October. We plan to do approximately 25 interviews in this period. Besides these formal interviews we also have informal talks on the streets of Carnisse.

Through the interviews done so far, the picture of Carnisse that emerged through the desk research is changing as the interviewees perceive different problems and opportunities within Carnisse than policy makers or journalists. A rich picture of Carnisse is emerging that will serve as the input for the first arena session.

For our selection of potential arena candidates our focus is on frontrunners within Carnisse. These frontrunners are individuals who are passionate about their neighbourhood, who are active in the neighbourhood, those with new ideas and creative actions. This group of frontrunners consists of a diverse set of people (inhabitants, artists, local entrepreneurs, public officials, etc.). In the final selection we aim to stay close to the selection criteria that we described in the Methodological Guidelines and our findings from other past community arena projects.

4.3.4 Monitoring framework

For Carnisse we will make use of the following monitoring & evaluation framework (see table 5). It is designed to fit the local circumstances, incl. the ongoing policy processes and the embedding of the 'Veerkracht' project while taking account of common elements.

The main methods for accessing data are:

- Participant observation during meetings.
- Informal contacts with participants between meetings.
- Three contact moments (beginning, middle and end of the process) with arena participants following the interview guide. These being either qualitative interviews or group discussions.
- Evaluation meeting one year after the core arena process.
- Monitoring sessions within the transition team at specified moments in time: after each arena meeting and after the completion of each phase, where researchers reflect on the outcomes of the meetings and the phases incl. lessons learned. Through these meetings the team will be able to adjust the process as necessary.
- Gathering of all documents produced in relation to the community arena process from the transition team, the participants as well as external actors.

Table 5: Monitoring & Evaluation framework for Carnisse

	What do we want to find out?	Possible indicators	Possible methods for data gathering and analysis
Methodology (community arena)	1. Usefulness of the community arena methodology with regard to the intended outcomes	<ul style="list-style-type: none"> • Extent to which goals of arena meetings (as outlined in the Methodological Guidelines, section 3.3.) are achieved • Extent to which goals of phases (as outlined in Methodological Guidelines, section 3.2.) are achieved 	<ul style="list-style-type: none"> • Qualitative interviews and group discussions with arena participants during three reflexive contact moments (with interview guide outlined above), analysis by qualitative content analysis • Monitoring session within the transition team after every arena meeting discussing the achievement of objectives with regards to substantive, process (group) and individual aspects • Monitoring session within the transition team after the completion of every phase discussing the outputs as well as the lessons learned from the last phase • Gathering and analyzing artefacts such as preliminary versions of the transition agenda, invitation letters etc.
	2. Usefulness of facilitation methods (incl. those addressing the inner context) with regard to the intended outcomes as specified in	<ul style="list-style-type: none"> • Response to facilitation methods in arena meetings • Level of contribution of facilitation methods to goals of meetings 	<ul style="list-style-type: none"> • Participant observation of group and individual responses • Gather and analyze workshop scripts & minutes incl. reflections of

Individual (arena participant)	the Methodological Guidelines and the workshop script		transition team on the arena meetings (during monitoring session)
	3. Outcome of the participation in terms of inner individual context	<ul style="list-style-type: none"> • Awareness about needs: <ul style="list-style-type: none"> a) own needs; b) other people's needs; c) future needs • Awareness about how strategies relate to needs • Perceived capability to influence one's own local environment 	<ul style="list-style-type: none"> • Collecting feedback of workshop participants at the end of each meeting (via short questionnaire or verbal) • Qualitative interviews and group sessions during three reflexive contact moments (with interview guide specified above) which will be analyzed with qualitative content analysis
	4. Output of the individuals in terms of outer context & behaviour	<ul style="list-style-type: none"> • Participatory drafting of progress markers, i.e. monitoring indicators (see Methodological Guidelines, section 3.4) with indicator categories being: Artefacts/Objects, Activities, Discourse 	<ul style="list-style-type: none"> • Participant observation during meetings and experiments • Qualitative interviews and group sessions during three reflexive contact moments (with interview guide specified above) which will be analyzed with qualitative content analysis • One-on-one (informal) contact in between meetings • Individual exercises during meetings • Diaries/logbooks

<p>Transition initiative (community arena)</p>	<p>5. Outcome of the community arena in terms of inner group context</p>	<ul style="list-style-type: none"> • Collective interpretation of sustainability/well being in Carnisse • Increased collective awareness of change topics • Increased awareness of (collective) needs and strategies 	<ul style="list-style-type: none"> • Participant observation during meetings and experiments • Qualitative interviews • Questionnaire at end of process to all participants • Narrative analysis
	<p>6. Output of the community arena in terms of outer context & behaviour</p>	<ul style="list-style-type: none"> • Participatory drafting of progress markers, i.e. monitoring indicators (see Methodological Guidelines, section 3.4) with Indicator categories being: Artefacts/Objects, Activities, Discourse 	<ul style="list-style-type: none"> • Participant observation during meetings and experiments • Qualitative interviews and group sessions during three reflexive contact moments (with interview guide specified above) which will be analyzed with qualitative content analysis • Group exercises during arena
<p>Transition field (neighbourhood, town)</p>	<p>7. Relevant changes in physical and non-physical elements of structure (institutions, rules and regulations), culture (narrative, language, perspectives) & practices (routines, behaviour) of the transition field</p>	<ul style="list-style-type: none"> • References to output of community arena (in press articles, policy documents, etc.) • Interest in the process and # of external actors that got involved • Adoption of narrative & activities by external actors • Level of contribution and commitment from outside to arena process and experiments • Continuity of activities & experiments 	<ul style="list-style-type: none"> • Follow (local) press articles and policy documents (qualitative content analysis) • Follow narrative of policy makers and other 'externals' (qualitative content analysis) • Follow contribution and commitment from outside to arena process (institutional analysis) • Evaluation meeting

5 Pilot comparison & Looking forward

In this section we compare the progress and outcome of the pilot areas as well as give an indication of the further planning of WP4.

5.1 Pilot comparison

The initial idea was to conclude this deliverable with a comparison of the first two phases of the community arena in all three pilot areas.

Due to the time consuming process of getting approval and local commitment for the community arena process in all three pilots, with the Austrian pilot still struggling to get started, little comparison is possible at this point in time. Another delay is due to the holiday and vacation period from June – August 2011; inhabitants were not available for interviews.

Instead of trying to compare the data available up to now – we decided on the following. Firstly, we postpone a substantial comparison of the three pilots to the following deliverable. However, in the following we share our thoughts about some of the elements we consider to be important for this comparison. In doing so, we maintain the structure of the pilot descriptions and relate to process description, system analysis, actor analysis and monitoring framework.

Process description

The description of the starting phase and the process plan allows us to compare the barriers and opportunities that the pilot partners were dealing with when starting off the project. What comes to the fore from the three descriptions are (1) issues of commitment within the local governance actor as well as (2) continuity of personal within that same structure. Without commitment nor continuity, the chance of starting off the community arena process are small. Other critical elements in the starting phase are (3) the openness of the process and (4) the element of co-funding. A crucial aspect of the community arena is the open setting of the process. Because of this open setting no defined results can be ascertained in the beginning. Thus, it needs trust from all sides and involved parties (participants, researchers, decision makers, community representatives, arena participants) to believe in positive and beneficial outcomes. This open nature does not seem to fit well current policy schemes in either Austria or the Netherlands. Through connecting to large policy programs, the German pilot could use their agenda as door opener for interviews.

System analysis

When comparing the process and outcomes of the system analysis we should be in a position to draw lessons for (1) improving/enriching the system analysis method, (2) gaining insights into the major issues and tensions in each of the pilot areas as well as the differences/similarities, and (3) gaining insights into the relation of these issues to sustainability thinking as defined in the interview guide. What can also be addressed are (4) differences in cultural context and in settings, i.e. an urban neighborhood vs. a small town and (5) the topics identified as important through interviews and desk research.

Actor analysis

Comparing the process and outcomes of the actor analysis should allow us to (1) draw lessons for improving/enriching the actor analysis method and (2) to gain insights into the selection criteria as well as the differences/similarities thereof. A comparison should shed light on issues of (3) selective participation and (4) the translation of the frontrunner concept into the local context.

Monitoring and evaluation framework

The three monitoring & evaluation frameworks should allow for a certain overlap so as to be able to (1) draw a comparison between the pilot areas in the last phases of the project, as well as to be able to (2) report the results in terms of process, content and method. It also provides us with the means to (3) further theory and methodological development. The discussion of the monitoring framework is on the agenda for the project meeting in November 2011.

5.2 Looking forward

In retrospect the time positioning of WP4 within the project was a little flawed. Due to the similar development of the Methodological Guidelines (WP4) and the Common Approach (WP2), a good synergy between the WPs was hard to achieve. This makes it important to consciously safeguard the linkages between the WPs. Learning from the (practical) findings in the WP3 case studies and theoretical insights from WP2 is a central aspect for the further development of the community arena methodology. This investment in connecting and collaborating will also be on the agenda for the project meeting in November 2011.

A second point that needs attention is the safeguarding of the WP4 time schedule, where we should avoid any further delays. There is no need to panic and all pilots are still on schedule or have enough time to catch up. However, we should be careful to guarantee an effective process. In order to accommodate the different speeds of the pilot areas, the timeline for WP4 has been split up (see table 6).

The further planning within this WP, split up by the three pilot areas, looks as follows in table 6.

Table 6: Further planning WP4

	Austria	Germany	Netherlands
D 4.1 Draft for review and layout Methodological Guidelines	Month 6 - April 2011	Month 6 - April 2011	Month 6 - April 2011
D4.1 Guidelines for implementation of pilot projects	Month 7 – May 2011	Month 7 – May 2011	Month 7 – May 2011
D 4.2 Year 1 report	Month 12 – Oct 2011	Month 12 – Oct 2011	Month 12 – Oct 2011
MS12 Preliminary list of issues to be covered and participants set up for each pilot area	Month 12/15 – Oct 11/Jan 12	Month 12 – Oct 2011	Month 12 – Oct 2011
Arena meeting 1 getting to know, identify local issues, ind. needs	Month 12/15 – Oct 11/Jan 12	Month 12/13 – Oct/Nov 2011	Month 12/13 – Oct/Nov 2011
MS13 Final selection of issues to be covered in each pilot area based on first workshop and discussion among pilot leaders	Month 12/15 – Oct 11/Jan 12	Month 13 – Nov 2011	Month 13 – Nov 2011
Arena meeting 2 scenario development	Month 12/15 – Oct 11/Jan 12	Month 12/15 – Oct 11/Jan 12	Month 12/15 – Oct 11/Jan 12
Arena meeting 3 backcasting	Month 13/16 – Nov11/Feb12	Month 13/16 – Nov11/Feb12	Month 13/16 – Nov11/Feb12
Arena meeting 4 Developing transition agenda	Month 15/19 – Jan/May 12	Month 15/19 – Jan/May 12	Month 15/19 – Jan/May 12
MS14 Transition agenda completed in each pilot area	Month 19 – May 2012	Month 19 – May 2012	Month 19 – May 2012
D4.3 Year 2 Pilot specific reports	Month 24 – October 2012	Month 24 – October 2012	Month 24 – October 2012
MS15 Implementation of agenda completed in each pilot area	Month 28 – Feb 2013	Month 28 – Feb 2013	Month 28 – Feb 2013
D4.4 Year 3 Pilot specific reports	Month 29 – March 13	Month 29 – March 13	Month 29 – March 13
Arena meeting 5: Evaluation	Month 29 – March 2013	Month 29 – March 2013	Month 29 – March 2013
D4.5 Year 3 Pilot specific synthesis report	Month 32 – June 2013	Month 32 – June 2013	Month 32 – June 2013

6 References

Wittmayer, J., van Steenbergen, F., Quist, J., Loorbach, D. & C. Hoogland (2011a) The Community Arena: A co-creation tool for sustainable behaviour by local communities. Methodological Guidelines. Deliverable WP4. (http://www.incontext-fp7.eu/sites/default/files/Methodological%20guidelines_final.pdf)

Wittmayer, J., van Steenbergen, F., Quist, J., Loorbach, D. & C. Hoogland (2011b) The Community Arena: A co-creation tool for sustainable behaviour by local communities. Methodological Guidelines. Annex. Deliverable WP4. (http://www.incontext-fp7.eu/sites/default/files/Methodological%20guidelines_Appendix_final.pdf)