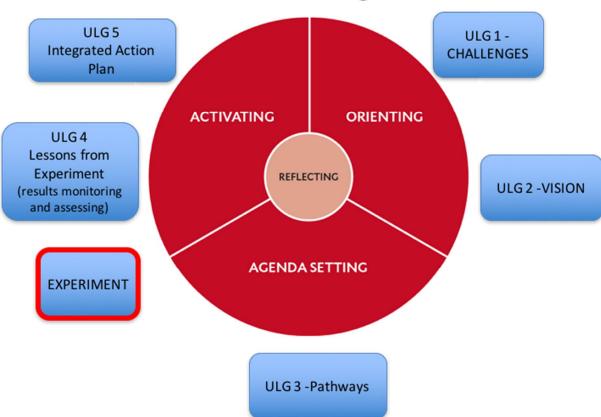# TRANSITION MANAGEMENT FOR CITIES WORKING ON URBAN RESILIENCE

B. Toolbox

B. Transition management for cities

In Resilient Europe project we applied transition management methodology in the urban living labs. We have combined the good practice of URBACT on urban local groups (ULG) with the transition management process. In this report we include all the tools that we used in the different phases of transition management for urban resilience with Resilient Europe. The results of the application of transition management in urban living labs are shown in the Integrated Action Plans of the Resilient Cities partners.

Transition Management

B.1 Orienting Phase

Identifying challenges or opportunities

For this step in the process, different approaches and tool are applicable building from operations' research, policy analysis and system dynamics theories.

In Resilient Europe the framework of urban resilience provided useful in acquiring a system's view in the elements that make a city resilient: urban ecosystems and infrastructures, communities and individuals and public institutions. The framework allowed for every city to choose an element of urban resilience as an entry point in understanding the diverse interdependencies between social, ecological, economic and institutional resilience elements.

Box 1. URBACT tools for identifying, deepening shared understanding of a problem for the cities to search for.

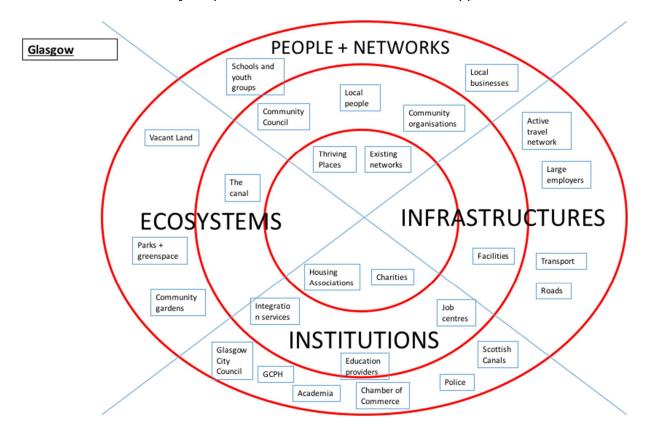| |
| --- |
| Ranking |
| Data visualization |
| Influence matrix |
| Maturity of relations: relation life cycle (Start> development > maturity > decline > comsolidation) |
| SWOT analysis |
| Problem tree |
| Mindmapping |
| Field analysis (simplified network analysis) |

Actor Mapping

In Resilient Europe we developed an actor map tool that is an adaptation of the actor diagram developed by the URBACT community earlier. For the purpose of our project we had two different sets of selection criteria depicted in the actor-mapping tool. The transition criteria concern the roles of actors they are envisioned to take in the process of the urban living lab. These include:
- Change agents, those that have resources such as knowledge, influence in networks and capacity to take transformative action for urban resilience;
- Supporters of change, those that may not have resources or influence directly but can indirectly support change by mobilizing and activating their networks and peers to align with and support the actions for fostering urban resilience, and
- Connectors, those actors that can only benefit from building urban resilience on the long term and can influence positively the actions for urban resilience by spreading the word, allowing new networks to be incorporated in the actions. These actors are not immediately 'visible' to the urban living lab team but may become relevant in the agenda-setting phase.

Next to these selection criteria, we had identified resilience criteria, to identify actors who work on the different dimensions of urban resilience. Specifically:
- Actors working on social resilience, include those who work to build social/individual capacity to cope with stress and shocks;
- Actors who work on the resilience of urban ecosystems include those who plan, protect, regenerate or even create urban green spaces such as green NGOs, community initiatives on greening, urban farming initiatives and movements and urban planners;

- Actors who work on the resilience of urban infrastructures include those who can co-design infrastructures including planners/engineers to withstand social and ecological stresses and shocks stimultaneously,
- Actors who work on institutional resilience, include those who work on establishing, maintaining and sustaining partnerships between citizens and civil society and city administration beyond processes of consultation and social support.

Glasgow

PEOPLE + NETWORKS

ECOSYSTEMS

INFRASTRUCTURES

INSTITUTIONS

Schools and youth groups

Local businesses

Local people

Community Council

Community organisations

Active travel network

Vacant Land

Thriving Places

Existing networks

Large employers

The canal

Parks + greenspace

Facilities

Transport

Housing Associations

Charities

Roads

Community gardens

Integration services

Job centres

Glasgow City Council

GCPH

Education providers

Scottish Canals
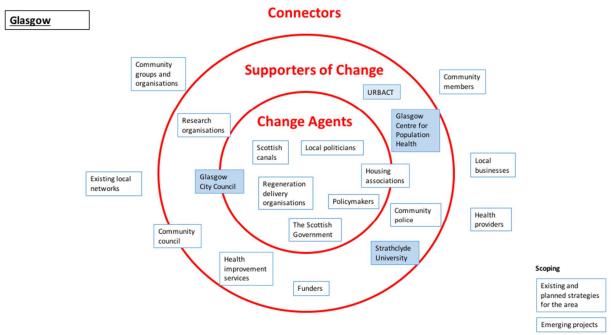
Academia

Chamber of Commerce

Police

Figure B.1.: Actor mapping performed by Glasgow city for identifying the agents to engage for the urban living lab on urban resilience in Possil Park, Glasgow.

In the Resilient Europe actor mapping, we combined these two sets of criteria and the cities mapped the actors that were envisioned with a transformative role and work on the different dimensions of urban resilience. The mapping of actors revealed three aspects:

First, the first application of the actor-mapping tool helped the cities to realize that they have networks in place covering only some dimensions of urban resilience. That led to expressing the need that colleagues from other departments need to be approached so as to find actors working on other aspects of urban resilience. This implies that for a topic such as urban resilience cross-departmental collaboration is important from early phases of the process of urban experimentation.

Second, the actor mapping using the transition criteria showed that resources and institutional status are not the only criteria to taken into consideration about who can work collaboratively for urban resilience. The actor mapping initiated discussions in every city team about identifying the change makers of the neighborhoods and the supporters in these areas, that led to a shift of thinking about who can be important for collaborative work for urban resilience. Identifying the connectors raised discussions about how to engage with these actors strategically so as to benefit from them and their networks in implementing the agenda and action plan.

During the actor mapping, we also provided a practice-based list of characteristics of the 'usual suspects' that are to be avoided so as to put energy in engaging with change agents/makers of the urban neighbourhoods. During the workshop in Katowice about actor mapping, we identified that usual suspects are the following:

- a 'buddy' in all previous processes, meaning a person that you always invite in processes and projects and starts to have a mindset about these processes that can result in unconstructive or philosophical discussions;
- a 'professional' participant, meaning a person who participates in any type of process repeating the same message or standpoint, showing no ability to connect to the objective of the process nor to learn from the participation;
- an attention seeker or simply, the 'louder kid on the block', a person who is unable to engage in a dialogue, comes to open participation processes to distruct them by not-engaging statements or accusations to the city,
- the 'nice' but not a change maker person, a person that is always nice to include and invite in participatory processes but unable or un-capable to bring the results of the process further if needed.

Third, the actor mapping showed also a time-dimension. The connectors are those actors to be possibly engaged in the process later on, whether the change agents are those critical actors that need to be engaged from the very start even from scoping the urban living lab process in the city. The actor mapping therefore allowed the city teams to plan the actor engagement as a continuous process, that is continuous and iterative rather than static and an one-off process of the urban living lab. Next to this, the actor mapping also served as a tool for the actor engagement and communication strategy of the cities.

Box B.2. URBACT Good practices for working with stakeholders as also worked with at URBACT Summer University 2016.

Working with stakeholders
- Be clear about what you are seeking
- Find out what makes key stakeholders tick
- Understand your impact on others
- Look for common ground
- A fluid system of communication is crucial at all stages
- Ensure a wide set of views and opinions can be expressed
- Environment needs to be inclusive
- Ensure a wide set of views and opinions can be expressed
- Environment needs to be inclusive
- Ensure that everyone gets a voice in the most appropriate way
- Presentations, workshops and focus groups as well as newsletters can be used to encourage discussions and agreement at different stages
- Listening – finding suitable mechanisms for the community and other voices to be expressed and heard

During the actor mapping, we further provided a practice-based list of methods on how to find 'unusual suspects'. These methods have been practiced by city officers in other projects producing very good results in engaging with stakeholders.

- Door-to-door (porta-porta): Approaching citizens in their households, to start a (short) discussion and to invite them to broader participation processes;
- Welcoming table: setting up a table in a neighbourhood, and wait for people to get curious and approach you with their own questions;
- Go where the people are: get informed about the forthcoming events that communities organize and get involved as a city to engage with the communities where their needs are at the front of the discussion;
- Via the linchpins of the community (e.g. teacher, sports coach, priest, local artist).

Envisioning

There are different methods and tools to generate visions, also known as scenario methods, foresight methods or recently proposed as futuring methods. In Resilient Europe method we used the imaginary inquiry approach according to which a vision is co-created with many stakeholders narratively, as an integrated storyline from a multi-actor dialogue facilitated openly engaging the imagination of the participants. Given that the urban living lab of every city had a place-based focus, the visions had to and encapsulated locally specific desires and aspirations, positive statements about the desirable future – describes activities and situations, showed a direction of desirable change but not specific solutions and was holistic in terms of including all dimensions of urban resilience but not necessarily comprehensive, allowing for iterative adaptations.

EXAMPLE: ANTWERP WITH THE IMAGE of the vision

For this skill to be put at work, there are different envisioning techniques and methods that can be employed at operational level, when an envisioning workshop is to be designed or prepared. During the Resilient Europe preparation phase of the envisioning, we discussed two of these methods: perspectives workshop and enriching futures workshop. These two methods are indicative and not at all restrictive in how they can be applied in local contexts. It is this very way that the cities in Resilient Europe applied them, using them as indicative and adding steps and elements to them that they were fit for their contexts and local discussions.

A perspectives workshop process

(Step 1) Ask to write their perspective for the future without providing direction- it can be about people, places, ecosystems, infrastructures
   • *What you would like to see in this ULL in the future?*
(Step 2) Ask each person to describe their perspectives to the group.
(Step 3) Cluster perspectives according to specified aspirations: e.g. justice, livability, accessibility, health
(Step 4) For each cluster (e.g. accessible parks in the area) have a description in a form of storyline on the future conditions and situations.
   • *How does an accessible park in this area look like?*

> - *Who is in this accessible park?*
> - *How is this area used?*
>
> (Step 5) Discuss how the different cluster storylines connect, how the different vision 'images' reinforce each other.
> - *How does this vision image of accessible park in our neighbourhood relate to sustainable local economy?*

Enriching futures workshop process

> (Step 1) Identify directions of the vision that are important / fundamental
> e.g. lakefront is a vital part of our city's social and ecological life
> e.g. "Money is not considered to be the ultimate measure of value and success."
> (Step 2) For every 'future direction' that you have identified, work in small groups to enrich it by asking on the motives (why?) and expectations (how it will be?)
> *Why is it important for our neighbourhood to ......?*
> *How our neighbourhood will be as a......?*
> (Step 3) Collect all inputs for motives and expectations and revise the 'direction' statement of the vision. The outcome of this step is a set of guiding principles and short storylines that support them.
> e.g. Our lakefront is a vibrant place to meet and play, to learn about nature and a hub of sustainable local businesses. è Guiding principle

Future Walks workshop process

> (Step 1) Print pictures of the area. And/or the map of the area.
> (Step 2) Ask participants to imagine the area in the future and describe the changes made, including physical changes and also activities, practices, use.
> - *When walking in the area, what do you see? What is different from today and how?*
> (Step 3) Draw scetches in the pictures and/or the map with the different envisioned features (e.g. draw a canal/lake). Use pens of different colour, or use sticky notes.
> (Step 4) Ask participants to explain how they feel when walking in this future area and to describe clearly the experience (e.g. I feel safe when walking in this area, I feel curious, I feel proud). Write down the expressions and put them on the pictures creating a frame.
> - *What do you feel when walking in this area as you have imagined it?*
> (Step 5) Summarise the vision images created by connecting what are the new features/facilities/developments in the area, what are the new practices and uses and how people feel when living, walking, working in the area.

Setting up participatory sessions

For every time a participatory session is prepared, there are some essential steps to be taken. First it is important to prepare a set of material for facilitation team:

- Script of the meeting: objective of every session, facilitation questions of every session, note-taker of every session, type of session (plenary discussion versus small group work) and material needed (e.g. poster/presentation/pictures/movie etc)
- List of participants: study who is in the room, be aware of people who have been involved in processes that are of relevance to your workshop.

Second, it is important to take care of the logistics of the workshop.
- Pre-workshop: Confirm of participation prior to the workshop: email or phone call to confirm, send final agenda and logistics (location, how to arrive/reach the venue)
- During workshop: After welcoming the people, make sure you provide the following logistical information:
  – When the meeting ends (time)
  – Where is the toilet in the building
  – How to get out in case of emergency (escape route)
  – Other important info (e.g. do not exit from left side since you need special security to enter again)
- Post- workshop: Send a short thank you email with consolidate notes from workshop and invitation for next meeting mentioning the objective of next meeting.

Third, be careful how the media even social media take up communications about the participatory sessions and about their results. It is important to share only information that is not content sensitive and ask permission for using quotas from participants, even though this is to be used sparingly.

Facilitating group discussions

Facilitating difficult discussions during envisioning entails dealing with unconvinced or even passive aggressive participants that put forward first their disbeliefs and negativity, influencing the tone of the discussions. As a facilitator you need to have some tips on how to turn a negative discussion to a constructive one. For example, think that in an envisioning session, participants bring lots of pictures from showcases of other cities and discussion turns 'poisonous' on all the mistakes and 'bads' of our city. Here our proposed process on how to facilitate a discussion to turn it constructive:
a. Allow this to happen. Listen carefully the comments. Even in comments that are too biased or negative, there is a truth in them to be discovered. It may be a persistent system loop, a trauma from a previous situation or impact that was not anticipated or ameliorated in time, that can be a constructive lesson when unpacked carefully.
b. Ask: what is that you like in this 'solution' from the other city?
c. Ask: which part of this solution/ approach can we take up and think for our city/neigbourhood/area?
d. Ask: how can we get inspired by this but make our own solution/approach here?

Moving the discussion forward
Situation: One or two very dominant participants monopolise the discussion. The rest of the group initially seem to listen but as time goes by they start to be passive and check their mobiles.

    a. Lean backwards on the table looking the person who dominates the discussion and make eye contact.
    b. Say: "It is very valuable the input and I have noted it down, I would like to hear what the rest of the group thinks about {the changes we want to see in the area}"
    c. Look at one of the participants who has remained silent, and give some time to respond. Then pass to the person next, making sure all people have a chance to speak.
    d. Make a summary of inputs and open the discussion to the entire group again.

Situation: There is a long and uncomfortable silence after a question.
    a. Smile
    b. Start with a small-talk comment to ease the atmosphere.
    c. Move by repeating/rephrasing what the question for discussion is. Ask the person who looks more 'on' in the table what he/she thinks.
    d. If again is silence, ask what people understand by the question. Be prepared to explain the motivation of the question, rephrase the question and give an example

Energise the group
    • Situation: It is the last session of the workshop, people may be tired, you may be tired.
    a. Try to make a standing session. Maybe ask people to write their idea on a post-it and then when putting it on the wall/board/flip-chart to summarise it. In this way you create movement and interest in what everybody says
    b. Try to pair people or make smaller groups within the group: people feel more activated when speaking with 1-2 people than with a bigger group
    c. Use images to energise the discussion – for this you need to be prepared in advance with a set of pictures to put in place and ask the questions or give them as 'material' to change/think/modify

Smart use of visual material
Visuals: photos, maps, sketches, architectural designs, newspaper first-pages
    1. Use them to inspire: 'imagine', 'what if'
    2. Use them to provoke discussions on the issues that matter: 'why this situation'
    3. Use them to focus discussions: 'if you look at this point, what…"
    4. Use them as information inputs from the city – especially maps
Use them to improve participation in groups that cannot express easily with words – maybe people can show/point/draw their idea on a picture or a map of the area

Be careful with visuals:

1. Visuals can drive discussion to 'why we do not have this here' – negativity and discouragement- be prepared to turn the negative discussion to 'what we need to change for having a solution/concept like this in our location fitting our needs'
2. Abstract visuals can be confusing
3. Maps can be very powerful tools AND sometimes can block creativity in finding solutions – timing of introducing a map is important

Mobilising silent people
Slow thinkers or introverts want to listen what other people think first. It is important to try to understand the question under discussion
- Lean forwards and put your elbows and arms on the table towards 1-2 people of the group
- "Thinking of the question, what comes to my mind is …." Make a generic statement, do not impose opinion. – "what do you think about …?" "What is the first thought in mind?"
- Stay calm – slow thinkers respond to calm and get blocked when there is 'nervousness'

B.2 Agenda Setting

Formulating transition pathways

URBACT Tools for Idea Generation presented in URBACT Summer University 2016.

- OPERA
- De Bono Hats
- Quiet Reflection
- Negative Brainstorming
- Exploring Walks
- Lego
- Stop-Start-Continue
- Backcasting
- Brainstorming
- Six thinking hats
- Implementation Labs
- Future backcasting
- Forecasting
- Hackathon, Kackdays
- Idea factory and boxes

OPERA method from URBACT tool box

The first step is the identification of the lead question – the issue or challenge to which the group seeks the solution.

Own suggestions: the participants spend time individually to think about the lead question and put down their thoughts or proposal, writing it down;

Pair suggestions: the participants form pairs and they discuss their proposals. After discussing their proposals, each pair comes with a commonly agreed proposal, a joint proposal or a new one resulting from the discussion. Each pair puts their proposal on a board.

Explanation: Each pair briefly explains to the rest o the group their proposal. At this step, only the proposals are presented with no comments from the group.

Ranking: Following the explanations and presentations of the proposal from all the pairs in the group, each pair is required to assess the proposals by selecting the more important ones based on agreed criteria.

Arranging: The facilitator of the group discussion arranges the suggestions on the work board according to topics, linking and merging similar proposals. This is done together with the participants, following their instructions.

The proposals that rank higher are those to be further discussed and operationalized by the whole group as core parts of the integrated action plan.

Solutions Market to stimulate systems' thinking for action and pathways

In order to stimulate systems thinking for action and for solutions, we organized a solutions' market in Resilient Europe project meeting. We asked the cities to bring solutions and approaches from past recent projects that can contribute to urban resilience with the aim to stimulate discussions and thinking on future experiments and solutions. To enable the exchange of knowledge, we developed a template for the targeted description of the systemic solutions. The template included the following fields to fill in:

- Name of the solution and a picture (at least) of the solution
- A short description of the solution
- Identification of the stresses or shock that the solution addresses
- Description of the biggest barrier for the implementation of the solution
- Identification of the actors involved e.g. which organisations, experts, citizens, NGOs…)
- Explanation from experience and knowledge of the solution about the inspirational aspects of it for urban resilience

Formulation of pathways

After a brainstorming, brainwriting or other starting point approach for generating ideas on actions, it is important to screen and synthesize the actions into pathways. In Resilient Europe we proposed a stepwise approach for these.

Step 1: Screen inputs (post-its) from stakeholders
- Is it an action? YES, keep it > NO, exclude it
- Is it contributing to urban resilience as   defined in your ULL? YES, keep it > NO, exclude it

- Is it specific? OR can it be revised to be   specific?   e.g   plant trees in the neighborhood

What to do with EXCLUDED inputs:
- Make a list of excluded inputs to include as an APPENDIX in the workshop report. You need to explain why these inputs are excluded from making the pathways. Be transparent on choices and criteria for excluding inputs.

Step 2: Cluster actions that contribute to same vision element (e.g. people resilience > social inclusion)
      - Cluster A, B >> Social Inclusion
      - Cluster C, D >> Infrastructure/Nature-based solutions
      - Cluster E >> Accessibility

Step 3: Identify time-horizons for your actions
e.g. 5-year time horizons 2018-2022, 2022-2026, 2026-2030
      - Align with time-horizons of on-going programs e.g. climate adaptation program, city-wide resilience strategy
      - Need at least two time-horizon periods to show continuity

Step 4: For every cluster of actions, identify which actions are short-term, medium-term, long-term
      - Information from stakeholders > time-sequence (if we do 'x', then 'y' can follow)
      - Information from on-going actions in other policy programs

Step 5: Identify WHO can support/implement every action in the pathway
      - Input/information from your stakeholders
      - Expert input

Step 6: Identify which short-term actions from a (or many pathways) can be (part of) your experiment

Experiment

What to avoid for a transition experiment to be successful
- Political color: It belongs to the community NOT to the political party in power in your city
- Social media vs Local media: Seek a balance, criticism is good, a storyline of the lessons learnt and how it connects to bigger picture needs to be heard as well
- Usual suspects: Not to be captured by 'institutes' that will kill its potential
- Consider it a 'one time show': Need to evaluate, learn and show it connects with programs/strategies/action plan

- Forget that it is a shared idea and shared win: As a multi-actor action, it is a multi-actor success/achievement. No one winner!

Formulate a transition experiment as a specific local project
This approach is based on the expertise of the URBACT expert Chris Roorda who also worked and collaborated with Resilient Europe.

First try to formulate the project idea meaning to come up with a good title, a goal and identify the vision behind it. It is also important to identify the approach to experiment, who to involve in the experiment and what the first step would be. Try to make 'big' ideas feasible on the short term by implementing them on smaller scale with limited duration. Then develop it further, try to find one or two people who take the lead and a team to facilitate its development. As municipality, you can take a role in facilitating, without taking ownership. It is important and take time to develop, do not rush the process nor be impatient for learning.

The following aspects are relevant to discuss & enhance transition qualities of the experiment:
- Radical; Fundamentally different from dominant practices? (in its context)
- Iconic; Communicative, symbolic value? Clear vision?
- Mobilising Does it invite to participate or replicate?
- Catalysing Influencing context? Challenging/destabilising status-quo?
- Direct result How much result does it deliver in terms of CO2 emissions reduction / #people who learned to ride a bike / etc)
- Timely Taking advantage of other developments, finding synergy with other niches?

B.3 Reflecting and Monitoring

Results Framework
For evaluating the lessons learnt from the experiments, in Resilient Europe cities applied the results framework as introduced by URBACT during the Summer University in 2016. The
The results framework stimulates focus on results, meaning the outcomes and the impact of actions in the integrated action plan. Specifically, it proposes a differentiation between the impact and outcome indicators, in the following:

Result indicator:
- A measure that captures the change in the situation addressed by the specific objective
- Characteristics of result indicators:
  – reflect change at "population level"
  – responsive to your intervention and representative of objective
  – baseline: the situation before the intervention
  – data availability – statistics, surveys
  – target value (change in #, % or qualitative)

Output indicator:

- A measure to capture what the resources of a programme are spent on – 'what the money buys'
- Characteristics of output indicators:
  - directly linked to activities/actions funded by programme
  - describe the 'products' of the actions
  - no baseline (or: baseline = 0)
  - target value = cumulative # of all interventions