



The Community Arena:

A co-creation tool for sustainable behaviour by local communities

Methodological guidelines APPENDIX

WP 4 – Scenario and back-casting exercises by three communities: pilot projects
Deliverable 4.1 – Guidelines for the implementation of pilot projects

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

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Table of Contents

Annex A. The preparation phase of the community arena	1
A.1 System analysis in transition management processes	2
A.2 Actor analysis in transition management processes	19
Annex B. Case Studies	33
B.1. Case Study: The Neighbourhood Arena in Oud Charlois	33
B.2. Case Study: The Transition Arena in Long Term Care	37
Annex C: The Pilot Project Areas	53
C.1. InContext Pre-Preparation Phase WP4	53
C.2 Pilot Project Area Gmunden	57
C.3. Pilot Project Area Rotterdam Carnisse	67
C.4. Pilot Project Area Wolfhagen	76

List of Tables, Figures & Boxes

Appendix A 1

Figure 1: (left) The SCENE model – (right).The layers of the SCENE model	6
Figure 2: The SCENE model extended with physical and institutional domains	8
Figure 3: Capital developments in the SCENE model.....	9
Table 1: Exemplary fact sheet for the SCENE model	10
Box 1: Suggested interview format.....	14
Box 2: Ex. questionnaire for guiding the system analysis of a neighbourhood/town/city/region.....	15

Appendix A2

Box 1: Frontrunners.....	23
Table 1: Competence profile of a frontrunner	24
Figure 1: Power – Domain – Mapping.....	25
Table 2: Types of power	26
Figure 2: Multi level power in transition	26
Figure 3: Actor force field analysis.....	27
Box 2: Interview questions used for the regional transition arena in Texel (2008).....	29
Box 3: Interview questions used for the Neighbourhood Arena Oud Charlois (2009).....	30
Box 4: Interview questions used for the Transition arena in long term care (end 2007)	31
Box 5: Interview questions used for the Transition arena in Gent (Climate Neutral) (2011)	32

Appendix B1

Table 1: Phases of the Neighbourhood Arena	35
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Appendix B2

Figures 1-4: Composition of the arena as visualized by the transition team	41
Figure 5: Interview protocol.....	42
Table 1: Overview of the arena meetings 2008-2010.....	43
Figure 6: Cover of the vision book “Mensenzorg”	45

Table 2: Overview of the action arena meetings 2009-2010	46
Figure 7: Meeting design	49

Appendix C2

Figure 1: Position of Gmunden in Austria	59
Figure 2: City limits of Gmunden	59
Figure 3: Gmundner Keramik	61
Figure 4: Public Transport in Gmunden.....	62
Figure 5: Train station of Gmunden	62

Appendix C3

Figure 1: Rotterdam, Charlois and Carnisse.....	70
Figure 2: Satisfaction with own district.....	71

Appendix C4

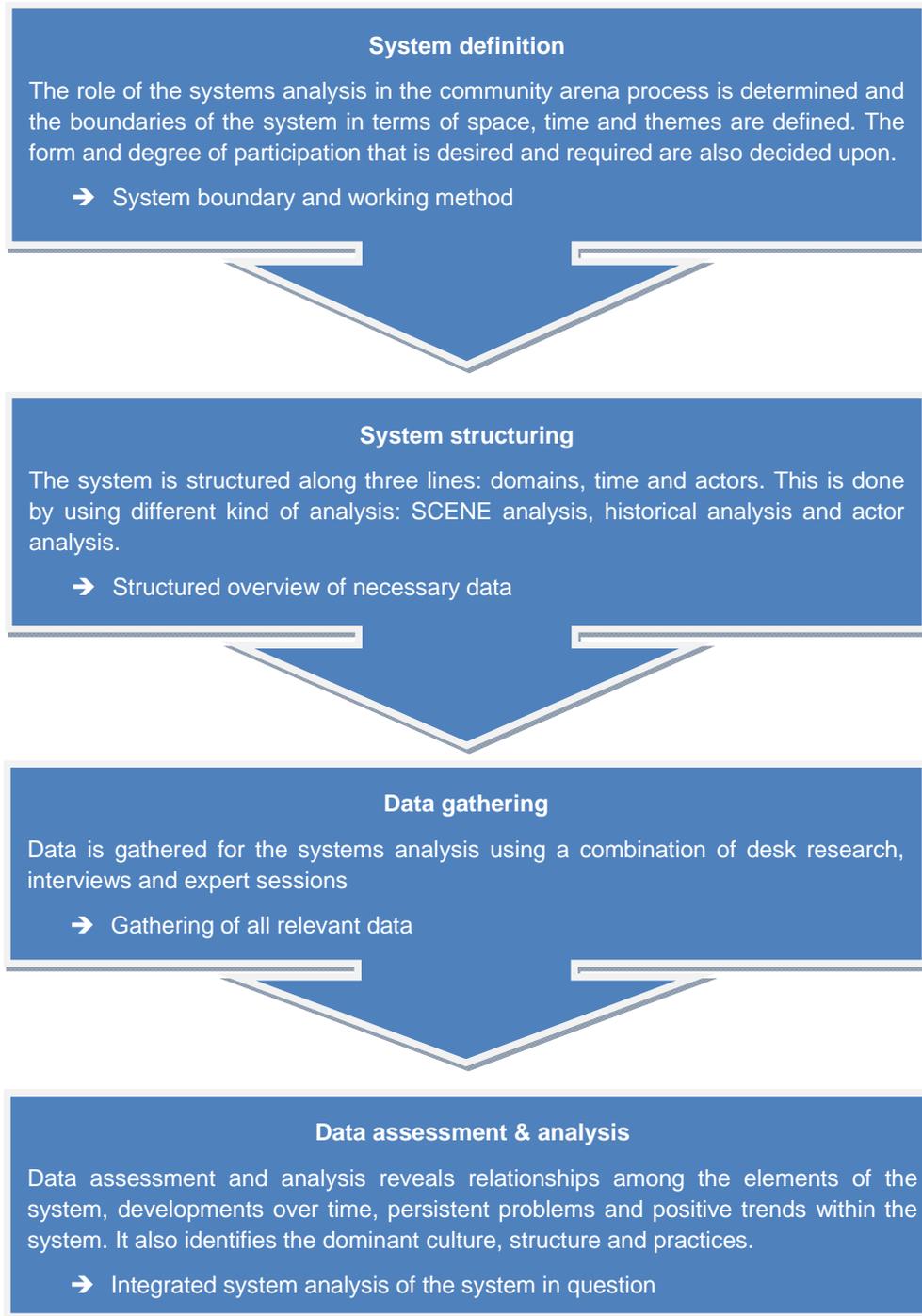
Figure 1: Location of Wolfhagen	79
Figure 2: Historical city centre Wolfhagen	80

Annex A. The preparation phase of the community arena

Both the system analysis and the actor analysis outlined below are meant to fuel the transition teams within the pilot project areas with ideas on how to approach these two types of analysis. They are thus not meant to be prescriptive.

The outlines of both system and actor analysis are also more generic in nature and can be further fine-tuned when applied in the contexts of the different pilot project areas.

A.I System analysis in transition management processes



What is a system analysis and why is it done?

A system analysis is a method to attain an overview and integrated perspective of the system under study, the neighbourhood or town in this case. For the system analysis existing studies and data are integrated and complemented with desk research and input from scientific experts and individuals.

The goal of the system analysis is twofold. Firstly, all relevant data are gathered and the geographical unit is described as an integrated system. The outcome is a tangible product: a document that contains information and a provocative analysis of the system stimulating readers to think of the geographical unit as an integrated and interconnected system and serving as an input for the transition arena. A second goal is process oriented. During the research for the system analysis, experts and other actors are interviewed and the results can be discussed in an expert session. Therefore, the system analysis also serves as a tool to engage people, to integrate different perspectives and to stimulate discussion. The outcome of the system analysis is dependent on the system definition, the degree of participation, the amount of data and the depth of the analysis.

Besides playing an important role in the preparation and exploration phase, the system analysis is also useful later on in the transition management process, in the following ways:

- To gain an overview of the system in question: what are the main properties of the system, what are the persistent problems, what are dominant developments and discourses, who are dominant/innovative actors?
- To analyse the system from a historical perspective: how did we end up here and how do things relate (or not)?
- To work with an equal information base and shared concepts for the remainder of the transition management process.
- To stimulate holistic thinking: enable actors to cross the boundary of their work and/or personal expertise and understand the interconnectedness of the system.
- To serve as a challenging and provocative analysis to start the transition arena.

The methodology for the system analysis is outlined in four steps. The first step is to define the system and the working method. In a second step the system is structured using the SCENE model, historical analysis and actor analysis. This is followed by data gathering (step 3). In the final step (step 4), the data are assessed and analysed. The persistent problems and the transition challenge can be named.

Step 1: System definition and working method

1. System definition

The first step is to define the focus of your transition process and the boundaries of the system that will be studied. Is it a consumption domain (e.g. food, energy), a societal sector (e.g. mobility, housing) or is it a geographical unit (e.g. neighbourhood, town, city, region)? Is there a certain focus within the geographical region or will that focus be determined in a transition arena process? What do you consider to be inside and outside your system?

Before you start:

Define the goal of the system analysis, the boundaries of your system in terms of space (the physical boundaries), in time (how far do you look back, how far ahead) and themes (the focus of your study and your understanding of relevant in- and outputs).

2. Working method

The planning of the working method depends on the purpose and role of the system analysis in the process. The main purpose might for example be to give a start to the discussion in the first arena session. But it can also be to provide an extensive report on the state and the dynamics of the system, integrating specific knowledge from different disciplines.

Choices have to be made on the depth of the analysis, the gathering of data (integrating existing studies or analyzing statistics and policy documents), the diversity of perspectives (determining the amount of interviews) and the degree of participation (e.g. by sessions discussing intermediate results with stakeholders or experts). The planning of the working method should also be adjusted according to the available time, effort and knowledge of the researchers and participants.

For the systems analysis, there are several options to complement pure desk research, such as actor interviews, interactive expert sessions or a combination of these. Minimizing the systems analysis to a desk research has the advantage of saving time and money. However, performing the analysis in a joint searching and learning process in a participative manner will make the actors feel connected to the result of the systems analysis and allows for the integration of different perspectives and validation of the desk research. To decide upon the most appropriate form and degree of participation, several factors have to be taken into account:

- a) The purpose of the system analysis.
- b) The level of integration that the system analysis aims to attain.
- c) The complexity of the system and interests at hand.
- d) Time constraints.
- e) Budget constraints.

Step 2: System Structuring

The system can be structured using three different tools:

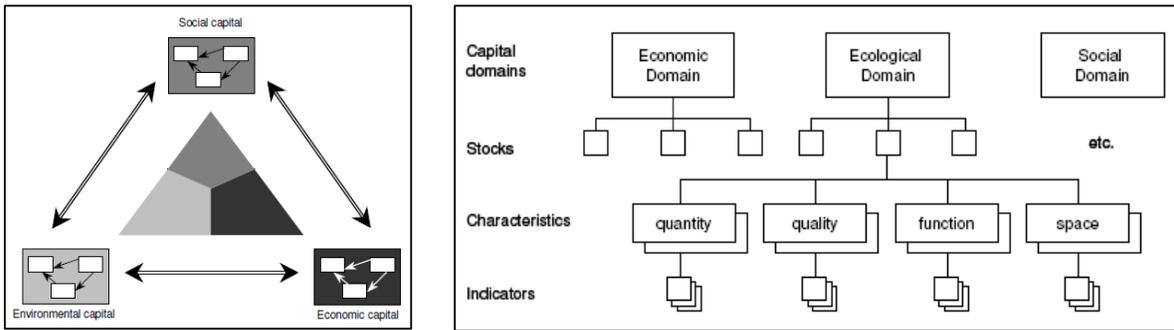
- The SCENE model,
- Historical analysis and
- Actor analysis.

The SCENE model is used as a framework to gather data, which can be placed in historical perspective using two kinds of historical analyses. These are complemented by an actor analysis, investigating the relevant actors in the field. There is no subsequent order in the use of the tools. For example, actors are interviewed to gather information for the SCENE model, but during this interview the interviewer also assesses whether this person is a relevant actor and suitable candidate for participation in the community arena or the coalitions in the experimenting stage.

I. SCENE model

SCENE is a model based on the sustainability triangle, consisting of three capital domains: SoCial, ENvironmental and Economic (see figure 1 left). The SCENE model can serve as a framework for integrated and structured thinking about complex issues, for monitoring sustainable development, for the evaluation of complex sustainability-related issues, for strategy planning, for quantitative modelling and as a tool for communication (Grosskurth & Rotmans, 2005).

Figure 1: (left) The SCENE model (Rotmans, 1998) (right). The layers of the SCENE model



Source: Grosskurth, 2008

SCENE extends the traditional sustainability triangle, that solely portrays the interconnectedness between the three domains, with capital stocks that represent properties of the system and flows that define the relationships between them. It complements purely quantitative tools and models with qualitative elements in a structured manner to stimulate joined-up thinking (Grosskurth, 2008). The model is based on the (qualitative and/or quantitative) description of stocks and flows. Stocks are composed of different characteristics: quantity, quality, function and spatial components, which are described by indicators (see figure 1 right). Information for the SCENE model can be gathered through desk research, interviews with experts and other actors, and/or expert sessions, depending on the level of participation in the process.

The basic steps of the SCENE model are as follows¹:

A. Identify stocks within the sustainability domains

Each capital domain contains a number of stocks, the main properties of a system. These can be quite generic terms, such as ‘quality of life’ (social capital domain), ‘environmental quality’ (environmental capital domain), or ‘economic vitality’ (economic capital domain). The social capital also includes institutional and cultural aspects. The generality of the stocks decreases the tendency to favour stocks in the selection for which quantitative data are readily available. The main criterion for the inclusion of a specific stock must be its relevance for the issue under research.

B. Describe characteristics of stocks

After selection of the relevant stocks, define the characteristics for each of these. A stock can be described with (several) quantitative, qualitative, functional and spatial characteristics.

¹ For the purposes of InContext we can identify the stocks (step A) and then give a qualitative/quantitative description of the stocks and their interdependence and interrelations (no need for a rigid description according to step C and D, but we wanted to give you the full tool).

C. Assign indicators

Each characteristic can be evaluated with (quasi-) quantitative or qualitative indicators (like kWh/year, €/inhabitant or 'low/medium/high').

D. Define flows

Flows can be defined within sustainability domains (intra-flows) and between sustainability domains (inter-flow)

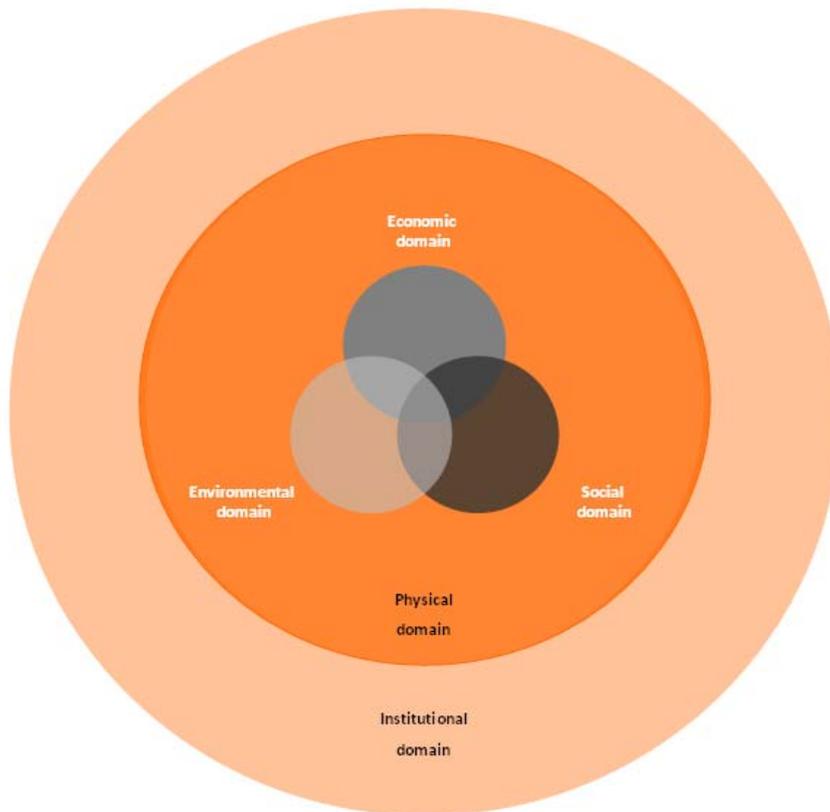
In the context of neighbourhoods/town/cities/regions, the physical and institutional environments play a very important role. More than in sectoral or regional transition processes, in urban systems the physical infrastructure and space determine the possibilities for development: there is a higher density of people and structures and more competition for land, all of which happens according to the rules of spatial and urban planners (Knox and Marston, 2004; Rotmans, 2011). The institutional environment also plays a big role in cities: it brings together the decision making of public and private institutions and organizations (Knox and Marston, 2004) and shows a strong prevalence of power structures, interests of actors and institutions (Rotmans, 2011).

The SCENE model has been adapted to reflect the important role of the physical and institutional environment in urban transition management processes. The stocks in the social, environmental and economic domains are placed within wider circles representing the physical and institutional environment (Figure 2), which form preconditions in terms of opportunities and threats. The physical domain deals with existing infrastructure, land use and other spatial components. The institutional domain explores the involved government institutions, political structure and civil society and their responsibilities, power and legislative mandate.

Important!

After having structured the system in this way, it is easier to collect relevant data. We have outlined an exemplary questionnaire that could guide your data gathering in box 2 and an exemplary fact sheet of the SCENE model in table 1. Both are meant to support you in attaining an integrated perspective of the respective neighbourhood/town/city/region (it is a guideline not a blue-print!). It is important that you include whatever you think is most relevant in the context of your geographical unit. The stocks mentioned in the questionnaire can be adapted, complemented or even replaced accordingly. The final analysis should count a total of around 15 stocks.

Figure 2: The SCENE model extended with physical and institutional domains



2. Historical analysis

The present situation is in many ways the result of what has happened in the past. Therefore, the present situation is analysed from the past by doing a historical analysis. Here we present two types of historical analysis, one that can be done quickly and looks back far in time, and a second that is done more thoroughly and which deals with the past few decades.

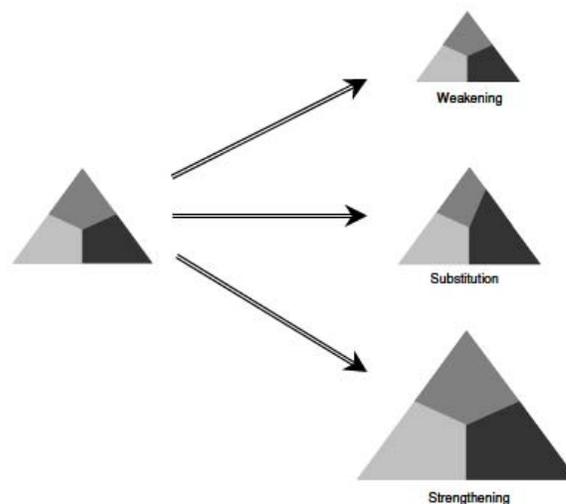
- A historical analysis looking back hundreds of years in time, acquainting the researcher with the history of the city with the goal of identifying major developments and trends in the past that have shaped the city.
- A historical analysis focusing more on recent times spans a shorter period of time, about 50 years back in time, but goes deeper into the matter. The goal is to have a closer look at the development of the important stocks in the city over time and to identify current trends.

The goal of the historical analysis is to provide insight in how the current situation came about, to provide clues and historical parallels for the envisioning process, to identify the 'core values' of the city and to make it easier to look into the future. A discursive approach can be used, to see how the history of the geographical unit of study is framed by different actors (e.g. "the city has always been ...") and what the implications of this is for the vision to

be developed in the community arena. The goal of the long-term historical analysis is to provide insights into how the current situation came about, to provide clues and historical parallels for the envisioning process, to identify the core values of the neighbourhood/town/city/region and to provide a base from which it is easier to look into the future. The long-term historical analysis can be visualized using time-lines, with pictures and graphs indicating important events and changing patterns along the line.

The short-term historical analysis spans a shorter period of time, about 50 years back in time. Its goal is to have a closer look at the development of the important stocks in the geographical unit over time, to show the dynamics and to identify current trends.

Figure 3: Capital developments in the SCENE model



Source: Grosskurth, 2008

The surface of the SCENE model triangle can for example be used to communicate changes in the ratio between and/or the size of the domains over time. The surface of each domain in the SCENE model triangle can be a visual indicator for the strength of that capital domain. The overall surface area of the triangle indicates whether weakening (loss of capital), substitution (replacement of capital by another capital type) or strengthening (increase in capital) has taken place over time (figure 3). The development of the stocks over time can be visualised in a graph, using solid lines that are positioned relative to each other, making use of the quantitative and qualitative data from the SCENE model. Later on in the process (in the transition arena), the time-lines can be extended into the future, indicating the envisioned pathways of the stocks.

3. Actor analysis

The actor analysis is discussed in the following section of appendix A (A.2).

Table 1: Exemplary fact sheet for the SCENE model

Stock	Characteristic	Indicator(s)	Value	Flow(s)
Environmental domain				
Energy & climate	Energy production or consumption	MJ/yr % energy types energy producers energy consumers		
	Renewable energy	% energy types GJ/capita/yr energy consumers		
	Energy intensity	GJ/euro/yr		
	Energy saving	Comparison to reduction goal Policies and labels		
	CO ₂ or GHG emissions	tonne/capita/yr tonne/industrial sector/yr		
	Ecological footprint			
	Resource use & waste	Resource use		
Water use		l/capita/yr		
Household waste		kg/capita/yr % types of waste % recycled		
Industrial waste		kg/yr % types of waste % recycled		
Waste water treatment				
Environmental quality	Air quality	% of different pollutants		
	Water quality			
	Soil quality			
Social domain				
Human resources	Population characteristics	Population pyramid (sex/age ratios)		
	Typology of lifestyles	e.g. students/yuppies/dinky/families/seniors		
	School attendance	Mean years of schooling % population that attended school/university		
Livability	Health	Life expectancy in years, compared to country/EU Dominant diseases		
	Quality public space			
	Quality public services			
	Safety			
	Social cohesion			
Culture	Number and type of cultural institutions and events			

	Liveliness in the neighbourhood/town/city/region			
Economic domain				
Economic vitality	Gross income per capita compared to country mean	euro/capita/yr		
	Unemployment level	% of inhabitants		
	Income level	% of inhabitants / income scale		
(Green) investments	Type and amount of green investments	% types euro green investments / euro investments		
	R&D expenditures	R&D expenditure / gross income		
Business / industry	The business and industry types	% of businesses/industry per sector		
	CSR policies			
Physical domain				
Land use	Population density	inhabitants/km ²		
	Type of land use	% of land use types km ² of land use types smart/double land use		
	Housing	Types of houses Social groups State of the housing stock (insulation, glazing, etc.) Rent/ownership ratio		
	Use of roofs for energy production, green, water buffering	% of total roof area potential roof use		
	Public green spaces	m ² /capita		
	Areas exceeding livability in terms of heat (urban heat island effect)	% of area days/yr delineation of areas		
Mobility & infrastructure	Types of transportation	% use different types of private/public transportation		
	Mobility infrastructure	Length in m/km ² of cycling paths, roads, tram lanes, train tracks		
	Car ownership	% of inhabitants cars/household		
Water	Flooding prone areas	% of area delineation of areas		
	Drought prone areas	% of area delineation of areas		
Institutional domain				
Policy	Participation departments	Involved departments / total departments		
	Cooperation departments			
	Responsibility different governments (municipality, province, national government)	Assessment responsibilities different governments for different environmental / energy domains		

Politics	Policies and vision concerning energy and climate	Assessment content Integration policies E & C in other policy		
	Voter participation	% voters / total population		
	Political parties focusing on energy and climate issues			
	Short-term or long-term politics/policies			
Civil society	Importance NGOs	# NGOs # NGOs that inhabitants support		
	Level of citizen participation	e.g. participation ladder [inform / consult / advise / co-produce / decide / full responsibility]		

Step 3: Data gathering

To gather the data for the system analysis, a combination of the following methods can be employed.

1. Desk research

Collect data and statistics of the geographical unit (demographic data, income distribution, historical data, spatial data, environmental data) and review and assess existing strategies, visions and white papers that have been formulated on the themes of the system analysis. Data and statistics collection and the reviewing of existing policy and other documents are important for the system analysis since they will bring to the foreground which information is available and how this information has been interpreted and used by e.g. policy makers. Also look for other more unconventional sources such as blogs by residents, websites of resident organisations, position papers of other actors, etc.

2. Interviews

Investigate the existing problems, barriers and opportunities present in the neighbourhood/town/city/region through interviewing actors. Besides providing input for the system analysis, these interviews are at the same time part of the actor analysis, e.g. to identify relevant actors for the transition arena. The number of interviews depends on the areas of interest and the size of the neighbourhood/town/city/region, although for the actor analysis around 20 interviews should be done. The goal of the interviews is to complement the findings of the desk research with the perceptions of different actors and create enthusiasm amongst actors for the (theme of the) transition process. Examples of interview questions are given in box 4 and in the description of the actor analysis. Interviews should be conducted in person and take a minimum of 45 minutes. During the interviews the interviewer should let go as much as possible of his/her own viewpoint and should aim to fully understand the world-view of the interviewee. It can be useful to conduct (at least) the first interviews with two interviewers so as to be able to reflect mutually on the outcomes. For more factual information or to capture the opinions of a large amount of interviewees, (e-mail) questionnaires can be used.

3. Expert sessions

By bringing experts from the field together, who often have different world-views and opinions, a rich picture of the system can be drawn. Expert sessions can be used to get a broader picture of what the existing problems, barriers and opportunities are, to explore the relationships between the system properties or to come to a common problem definition. The expert session(s) should last for around 2 to 4 hours. Depending on the objective (e.g. high quality discussion, or validation by a big group), the number of participants is chosen. It is crucial to design the session carefully (objectives, type of moderation, selection of participants). Experts can also be interviewed preceding the expert sessions, to gather specific data for the system analysis.

Do not forget when collecting data:

For the description of the stocks both quantitative and qualitative data are relevant. Also think about spatial spreading, changes over time (historical analysis) and external influences (macro-trends). During the process of collecting data, it could become apparent that other stocks or flows are relevant as well. These can always be added to the fact sheet (Table 1).

Box 1. Suggested interview format

Interview protocol:

- Take time to get to know each other, to explain the goal of the interview, to show interest, to give the interviewee the idea that his/her ideas will be taken seriously.
- Don't take no for an answer, keep on questioning when someone answers in a vague or unsatisfactory manner until you reach and understand the core of his/her reasoning.
- The interview is not only about content, but also about getting to know the person and understanding his/her personality (level of inspiration / authoritative / detail of the answers / enthusiasm / power of coercion)
- Tell the interviewee what will happen with the results of the interview and how the process continues.

Interview questions:

- According to you, what are the most important changes in the neighbourhood/town/city/region in the past decades? What has stayed the same?
- What do you think will be the main challenges for the neighbourhood/town/city/region in the coming decades?
- What do you find the biggest strengths of the neighbourhood/town/city/region?
- The neighbourhood/town/city/region has the ambition to become xxx (e.g. climate neutral) in 2050. Do you find this important? Why (not)?
- In your opinion, what has to change to turn this ambition into reality?
- Which organisations/institutions/people are important in reaching this ambition according to you?
- Which developments from outside the system influence reaching this ambition in your opinion?
- What is for you the most inspiring development in the area of sustainable development in the city?
- Who is the most original / progressive person or organisation you know?
- What is your message to the transition arena?

Box 2. Exemplary questionnaire for guiding the system analysis of a neighbourhood/town/city/region

Socio-cultural domain

- Population:
 - Who is living in the neighbourhood/town/city/region in terms of age, gender, nationality, educational level, occupation, religion?
 - How long do people live in the neighbourhood/town/city/region?
- Lifestyles and practices:
 - What are the dominant lifestyles?
 - What are relevant perspectives?
 - What are relevant dominant practices?
- Facilities: Are there...
 - Schools and kindergartens?
 - Cultural institutions such as theatres, cinemas, museums etc.?
 - Sport facilities and playgrounds?
 - Healthcare facilities: number of doctors, hospitals, elderly homes (distance)
 - Municipal facilities, police, fire department etc.
- Experiences:
 - How do people experience the quality of life, security etc. in their neighbourhood/town/city/region?
- Political activity:
 - To what extent do people participate in elections and what do they vote?

Economical domain

- Employment
 - Are there employment opportunities within the neighbourhood/town/city/region?
 - How many people are unemployed or receive social benefits?
 - What is the income level?
- Businesses
 - Shopping facilities: Where do people buy? Are there local shops, supermarkets, bakeries etc.
 - Where do people get their services from (plumber, etc)?
 - Is there industry?
 - What are the dominant economic actors?
- Physical infrastructure
 - How is the provision of streets, metro/tram/bus services, cycle paths etc.? How do people go from A to B?
 - Housing: How is housing organised? Rented or owned?

Environmental domain

- Land usage:
 - How is the proportion between space used for housing, green space, space used for physical infrastructure etc?
 - Is there green in the neighbourhood/town/city/region?
 - Is there agricultural or gardening activity in the neighbourhood/town/city/region?
- Environmental quality:
 - How do waste cycles look like?
 - How are environmental problems perceived?
 - How are water and air quality as well as noise levels?

Actors and initiatives

- Are there people busy with changing the neighbourhood/town/city/region? Who are they and what do they do?
- Are there innovative enterprises/entrepreneurs?
- Are there already initiatives towards making the neighbourhood/town/city/region more sustainable? Who is involved and what do they do?
- Who is influential in the communities of the neighbourhood/town/city/region?
- Are there already activities funded by the municipality or regional/national government?

Step 4: Data assessment & analysis

The gathered data and the insights from the interviews and expert session result in an overview of the main properties of the system and their interrelations. It is now time to analyse the data and draw conclusions. For representation of the data, a fact sheet can be used (e.g. Table 1), but a narrative abstract is also useful to give insight in the system.

The end products of the systems analysis are a provocative document (text, presentation, poster or a combination of these) which (can) form the starting point of further discussions in the transition arena, and a common information base that provides the participants with a shared set of knowledge and concepts.

The concluding document that will be used as a basis for discussions in the transition arena gives an insight in the current state of the system, persistent problems, the sense of urgency and the challenges ahead. It should include:

- Analysis of the current state of the system.
- Description of the core values of the neighbourhood/town/city/region.
- Selection of provocative quotes or propositions, based on interviewees' perspectives on the city.
- Analysis of the relationships and flows between stocks of the SCENE model.
- Analysis of the current situation from a historical perspective, showing developments over time.
- Analysis of the dominant culture, structure and practices (regime), as well as emerging alternatives (niches) and major landscape pressures.
- Analysis of the main strengths, weaknesses, opportunities and threats in the city for the current situation and/or future situation.

There are several possibilities for analysing the data gathered. In addition to the already mentioned possibilities, such as the historical analysis some more are outlined below. The list is by no means exhaustive. The different analytical methods mentioned here can be used complementary, as they all serve different goals. The level of detail of the method can be adjusted according to the available time, effort and knowledge of the researcher and participants.

The following are possible data assessment and analysis steps:

I. Denoting relationships

In this step we go back to the SCENE model and a simplified version of Step D, denoting relationships between the different stocks and between different sustainability domains.

The clear structure of the triangular model makes it possible to represent the complexity of sustainability in a way that does justice to the needs of communication and analysis alike. For communication purposes one can choose an appropriate level of detail to provide insights into the developments and context of sustainability-related issues.

2. Applying the multi level lens

Developments and trends are placed in a transition perspective, which means distinguishing trends on micro-, meso- and macro-level (multi-level model) and in different phases over time (multi-phase model).

The multi-level model can be applied to identify the major barriers and possibilities for the city on three levels: macro, meso and micro.

Macro-level influences are landscape developments that influence the system, such as demographics, macro-economics and national policies.

Meso-level influences relate to the dominant culture, structure and practices of the system. Culture refers to the dominant perspective on the system, structure to the institutional setting and practices to routines, habits and rules (Rotmans 2008). To identify the meso-influences, these types of questions can be answered:

What are the dominant culture, structure and practices expressed in the policies for the neighbourhood/town/city/region in question?

What are the dominant culture, structure and practices in how we live together in the neighbourhood/town/city/region in question?

What are the dominant culture, structure and practices expressed in how the neighbourhood/town/city/region in question is set up?

What are the dominant culture, structure and practices expressed in the way we use energy in the neighbourhood/town/city/region in question?

Micro-level influences are found in emerging alternatives or niche-developments. These are small scale developments from within or outside the city that provide an alternative for the regime. These niche-developments can be a group of people that started urban gardening, or a group of inhabitants that joined forces and financial means in a cooperative to be able to invest in solar panels. The emergence and dissolution of dominant structures, cultures and practices as well as macro-level pressures and (small-scale) alternatives can also be viewed over time, to understand the historical developments and dynamics between the different levels.

The multi-phase model identifies different stages of a transition in a S-curve that includes a pre-development, take-off, acceleration and stabilisation phase (Figure 9). Developments and trends along the time-line created in the historical analysis are viewed through a multi-phase perspective to find out whether a (historical or on-going) transition can be identified and if so, in which phase of the transition process it is located. Or alternatively, whether a transition has failed and the system experienced a backlash, lock-in or even system breakdown (Loorbach 2007).

These two models can be helpful in identifying and highlighting the persistent problems in the system beyond the obvious symptoms of unsustainability and the positive developments in the city. A guiding question towards this end is: Is there a systemic problem associated with the dominant structure of the city itself?

3. SWOT analysis

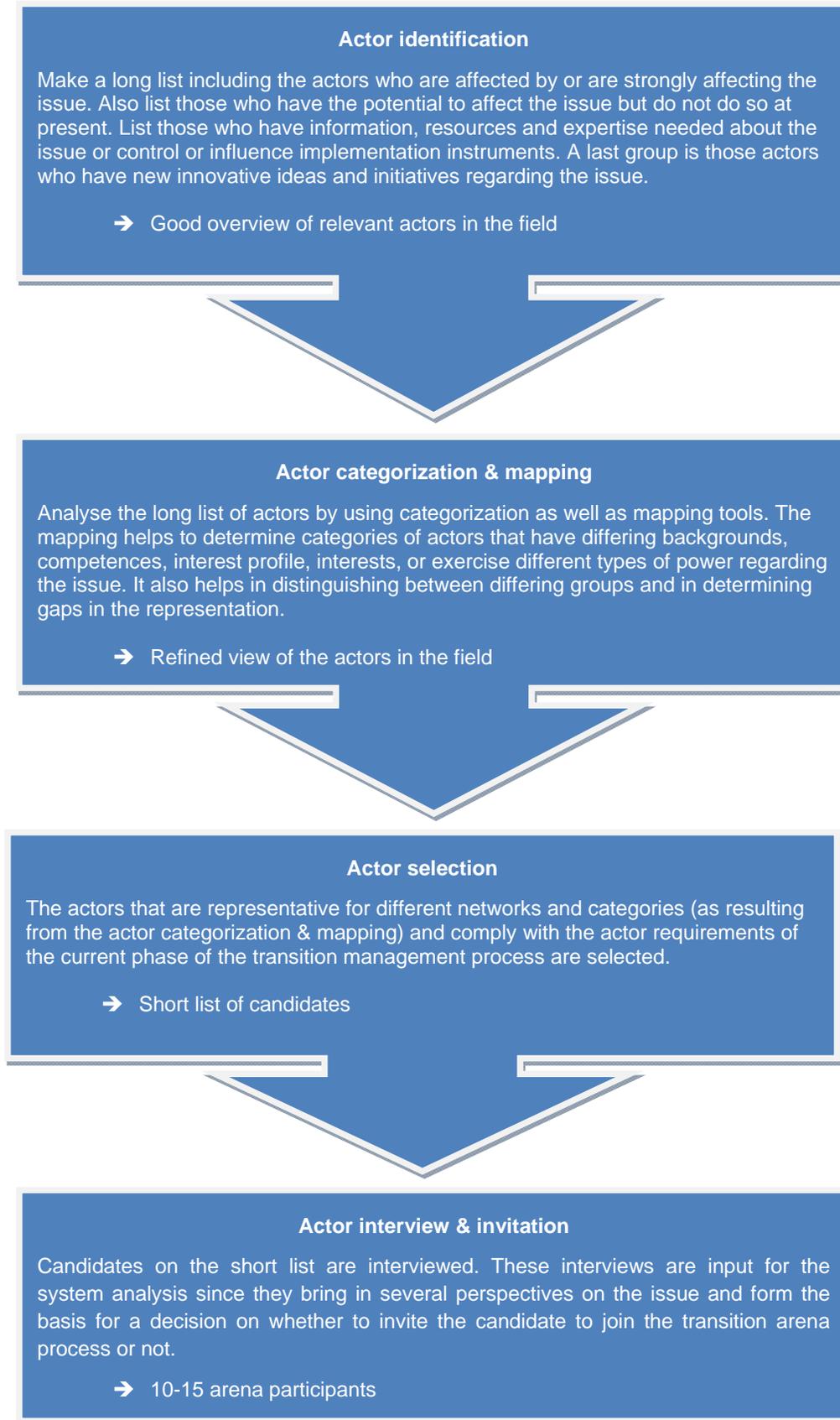
A SWOT-analysis can be used to structure the insights in terms of the Strengths, Weaknesses, Opportunities and Threats within a system. Strengths and weaknesses are internal factors, and opportunities and threats are external. Internal factors are those that the central actor can influence, in this case the municipality. The external factors are beyond control of the central actor, but do influence the system. The SWOT analysis can be useful for prioritizing actions and experiments and to reveal which problems the municipality can address and for which problems they have to lobby at other institutional levels. A SWOT analysis can be done for the current situation, but also for the future situation of the city (indicating the expected strengths, weaknesses, opportunities and threats), or both.

Based on the SCENE model and the SWOT analysis you can also define the persistent problem in your pilot area beyond the obvious symptoms of unsustainability (e.g. is there a systemic problem associated with one the dominant structures of the neighbourhood itself?). Highlight and list the main weaknesses and threats associated with the persistent problem.

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A.2 Actor analysis in transition management processes



What is an actor analysis and why is it done?

The actor analysis gives an overview of the relevant actors (e.g. individuals, groups, organisations) in the field². These are defined along the adapted UN/Habitat (2001) definition for stakeholders as those

- Whose interests are affected by the issue or those whose activities strongly affect the issue
- Who have the potential to affect the issue but do not do so at present ('unexpected actors')
- Who possess information, resources and expertise needed for strategy formulation and implementation
- Who control relevant implementation instruments
- With new innovative ideas and initiatives regarding the issue.

A good actor analysis is crucial for transition management processes as the participants to a large degree determine the success of the transition effort. The outputs of the different steps of the actor analysis can be used at several stages of this transition management process, e.g. to select interviewees for the system analysis, to select participants for the transition arena, and to identify partners to form coalitions in the agenda-formulation stage.

We distinguish between four steps in the process which are not necessarily performed one by one but can partly overlap. The first step is the actor identification which produces a long-list of relevant actors. This long list is the starting point for the second step, the actor categorization & mapping. The categorization & mapping is done using categories such as background, competences, interest profile, interests, types of power and gives a refined view of the actors in the field. The third step is the actor selection outlining criteria and identifying appropriate actors for each of the phases of the transition management process. This leaves one with a short list.

When preparing the selection of participants for the transition arena (as one of the phases of the transition management process), a last step consists in interviewing the potential candidates, and possibly inviting them to join the arena. A total of about 10-15 'frontrunners' will be joining the transition arena. They are filtered out throughout the analysis and selection process.

Step 1: How to identify actors (actor identification)

Become aware of the kind of actors and individuals you are looking for and include them into a long list. Make the long list based on general categories such as organizational background or domain (see step 2 for an outline) with further sub-categories such as gender, age, and cultural background.

Also identify those:

- Whose interests are affected by the issue or those whose activities strongly affect the issue,

² The "field" itself is defined (substance and geography) and analysed in the system analysis.

- Who have the potential to affect the issue but do not do so at present ('unexpected actors'),
- Who possess information, resources and expertise needed for strategy formulation and implementation,
- Who control relevant implementation instruments,
- With new innovative ideas and initiatives regarding the issue.

The long list is generated using several input strategies:

- Suggestions from the transition team members and their immediate surroundings.
- The system analysis.
- Connecting existing activities to actors: make an inventory of concrete activities (e.g. Related to sustainable behaviour in the community).
- Newspaper cutting methods: analysing newspaper articles is another way to find relevant actors and their viewpoints.
- Snowball method: ask those that you interviewed (step 4) to indicate other actors to be included in the list based on their interest and relation to the process and challenge.
- Snowball e-mail: write an e-mail to actors you already identified asking for names of inspiring other actors they know.

You should now have a long list of relevant actors in the field.

Step 2: How to categorize & map actors (actor categorization & mapping)

In a second step the actors and individuals named on the long-list are analysed by mapping them out using different categories. Actors are categorized according to differences in backgrounds, competences, interest profiles, interests, relevance, or types of power regarding the issue. It also helps in distinguishing between groups, determining gaps in the presence of groups and thus in gaining a refined view of the actors in the field.

Actor mapping is an analytical as well as a creative process. Be inventive as a transition team in how you map actors while always focusing on the issue that is addressed within the transition management process. Before we outline simple mapping examples for a transition management process, we will first sketch the basic categories specific to actors in transition management processes: the frontrunners.

Background categories

- Organizational backgrounds: knowledge institution, government, civil society, business and intermediaries (e.g. consultants, network managers).
- Domains: social domain (healthcare, well-being, social work, ...), cultural domain (art, writing, ...), economic domain (finance, management,), industrial domain (energy, production, ...), service domain (catering, tourism, cleaning services, ...), environmental and ecological domain (nature, water, air, ...) also public vs. private domain.

Competence categories

The competence profile of a frontrunner is schematically outlined in figure 1. The relevance of the competences depends on the phase of the transition management process. In the strategic phase (problem structuring and envisioning) actors with other competences are required than in the tactical (backcasting, agenda building & target setting) or operational phase (experimenting & implementing), see also the differentiation between strategic and tactical in table 1.

Frontrunners¹

Distinct to the transition management process is the category of actors referred to as 'frontrunner'. Other designations would be change agent, engaged citizen, unorthodox thinker or 'out of the box thinker'. The two most important characteristics of a frontrunner are that he/she is intrinsically connected to the issue - has 'sparkling eyes' when talking about it - and thinks beyond own expertise, worldview or interests.

Frontrunners can be categorized according to their background, their competences and their interest profile. To be a frontrunner an individual actor does not have to fit in all *background* and *competence* categories but the participants of the transition management process as a group should be a good mix of these categories. A frontrunner always fits into the interest profile categories.

*Box 1: Frontrunners***Table 1: Competence profile of a frontrunner**

	Process competences	Substance competences
Strategic	Networking skills	Systems thinking
	Communication skills	Creativity and imagination
	Decisiveness	Problem structuring skills
	Determination	General knowledge
	Leadership	Large network
	Vision	Abstract thinking
Tactical	Negotiation skills	Strategic thinking
	Communication and consensus building	Analytic ability
	Thinking in terms of co-creation	Specific knowledge
	Open to new combinations	Innovative ideas
	Coalition building skills	

Interest profile categories

A frontrunner always fits into the interest profile categories, notwithstanding the stage of the transition management process.

- Creative and open for innovations OR coming up with innovative ideas (not sticking to one specific solution).
- Willing and able to look beyond the limits of his/her discipline or background, expertise, worldview or interest.
- Intrinsically connected to the issue.
- Committed and prepared to invest time and energy. This commitment in practice follows from a variety of things: the interest in the future of their neighbourhood/town/city/region, from meeting other interesting people, from learning about other worldviews (especially the systemic way of perceiving the world), from feeling responsible for the success.

Mapping

A lot has been written about mapping actors, e.g. in literature on stakeholder analysis, social network analysis or force field analysis. In the following we outline three methods we think are most beneficial for a transition management process. These can be combined in various ways or complemented by other methods, important is that the methods you use fit your local context and transition challenge.

Social network analysis

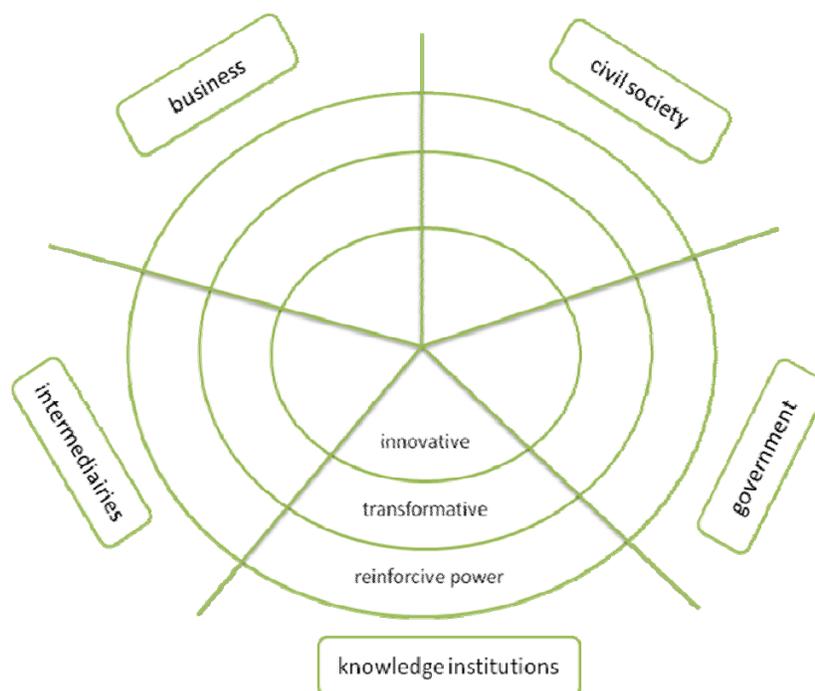
Mapping actors can for example be done using social network analysis in its simplest form. A social network is made up of individuals or actors who are connected by specific types of interdependencies such as friendship, common interest, financial exchange, common beliefs, knowledge, ethnicity, gender, societal domains, etc. The mapping and categorization of

these interdependencies gives a good overview of what kind of actors is included on the long list as well as the (kind of) relation between them (by using a matrix).

Power-Domain-Mapping

Another mapping example more attuned to the transition management process is the Power-Domain-Mapping, which is partly based on the work of Avelino (forthcoming). This mapping (figure 1) helps to map actors according to two criteria: (1) the organizational background and (2) the kind of power they are exercising.

Figure 1: Power – Domain – Mapping

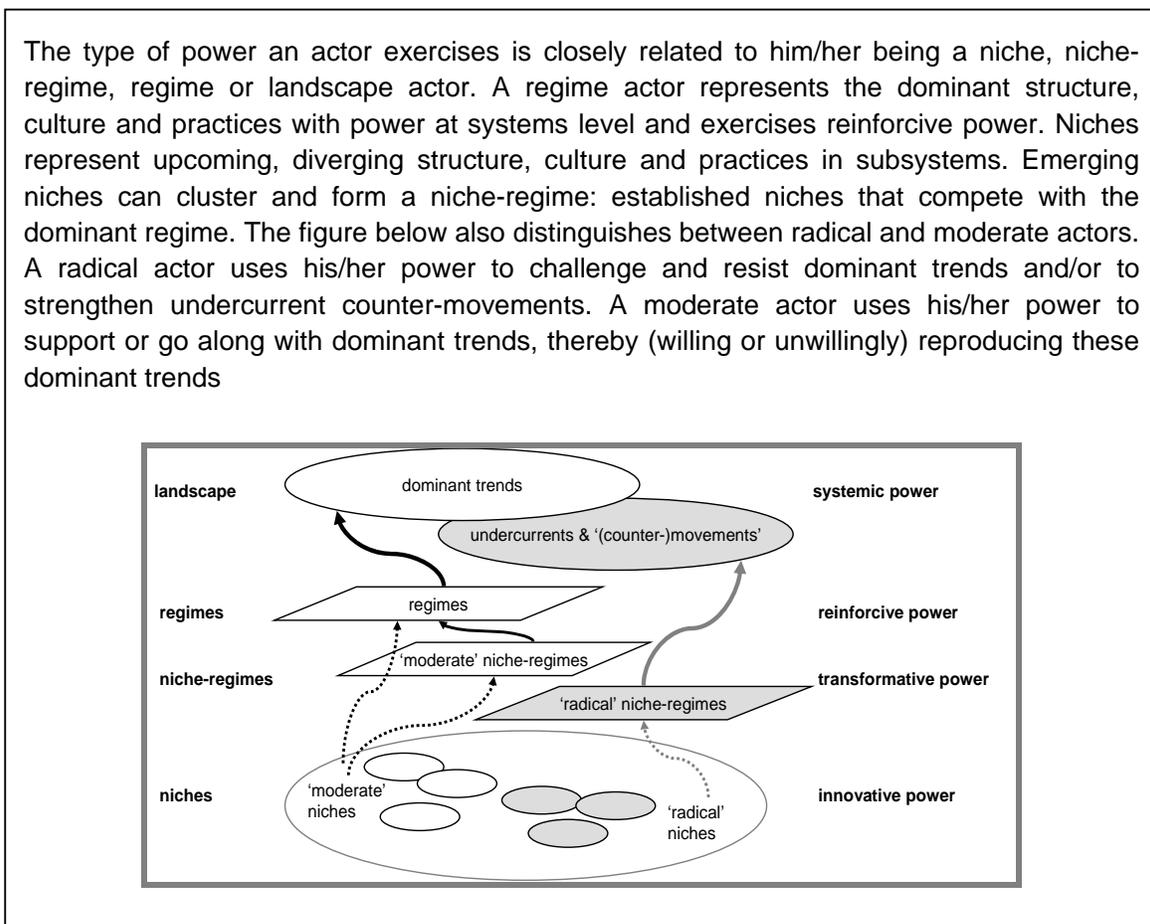


An actor can be represented as a dot, varying the size of the dot to indicate his/her impact. If an actor exercises more types of power at the same time, or has several backgrounds, multiple dots can be connected with a line (other modes of representation, such as letters etc. work also). Table 2 outlines a definition for each of the types of power that an actor can exercise.

Table 2: Types of power

Type of Power	Definition
<i>Innovative</i>	... capacity of actors to invent and create new resources
<i>Reinforcive</i>	... capacity of actors to reinforce and reproduce <i>existing</i> institutions and structures
<i>Transformative</i>	... capacity of actors to invent and develop <i>new</i> structures and institutions
<i>Systemic</i>	... <i>collective</i> capacity of actors to shape (reproduce or challenge) macro-trends

Figure 2: Multi level power in transition (Avelino, forthcoming)

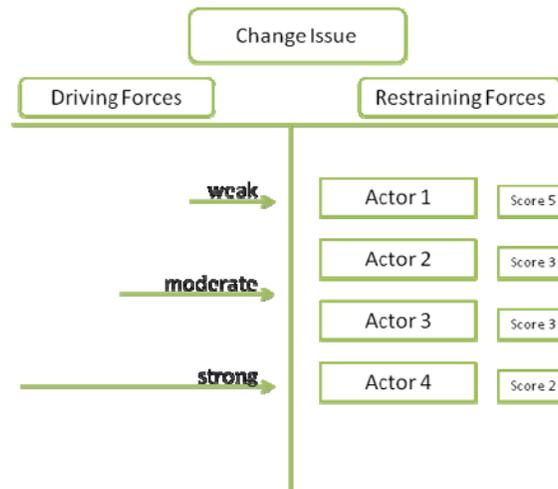


Actor force field analysis

This mapping method gives insights into forces of actors that can oppose or support the desired change. It can be used mainly at the stage of agenda building and coalition forming, to improve the probability of success by either reducing the strength of the forces opposing the change or by increasing the forces pushing for change.

For this analysis one first describes the goal of the transition management process. Then one lists actors supporting this process (driving forces; as e.g. a well-minded actor with big spending power) in the left column and actors opposing this process (restraining forces; as e.g. an opposing actor with a big network) in the right column. Then you can choose to either label the force of each actor as weak, moderate or strong (see left side of figure 3) or you assign a score for each force from 1 (weak) to 5 (strong) (see right side of figure 3).

Figure 3: Actor force field analysis



Step 3: How to select an actor (actor selection)

In this phase the transition team chooses the actors and individuals that are the kind of actors they need for the stage that the transition management process is in, i.e. transition arena, coalition building. Creating a well balanced diversity within the selection is a key objective in this step.

The mapping has led to a categorization and mapping of the actors. Through mapping the transition team has a clearer picture of the actors, their networks, the domains they are part of, the kind of power they exercise, whether they are a driving or restraining force for the desired development, etc. Use the mapping outcomes to ensure that you choose actors that represent different networks and are part of various categorizations.

When selecting actors it is important to have the group as a whole in mind. The group should include actors:

- From different backgrounds [power-domain-mapping].
- With different competences (strategic or tactical, depending on the process phase).
- That are frontrunners with the full interest profile criteria outlined above.
- That go beyond ‘the usual suspects’ and are part of different networks [social network analysis].
- With driving force and restraining force (for transition arena) or rather low restraining force (for the coalition building) [actor force field analysis].
- With innovative, transformative and some reinforcing power [power-domain-mapping].
- With different age, gender and cultural background.

It is thus not only the individual alone that is important but the constellation, the mixing of the actors within the group.

Be aware that the transition arena is meant to be a societal network of innovation rather than an administrative platform or alike. This asks for a critical selection of frontrunners by the complete transition team.

A certain representation of actors with reinforcing power can be necessary with an eye on legitimacy, financing and follow up/embedding results, also when they do not fully fit into the frontrunner profile. Here it is wise to e.g. not involve a politician or director directly but his/her strategic advisor.

Important to keep in mind is that actors ultimately participate as individuals and not as delegates of their institutions or based on their organizational background (although these categories are used for mapping). In this context, representative actors are those related and relevant to the problem and not delegates of a group, organization or association.

After having gone through the selection, a short list of potential candidates remains.

Step 4: How to interview & invite for participation in the transition arena³ (actor interview & identification)

To prepare the final selection for the arena, interviews should be conducted with the candidates for the short list. These interviews are at the same time supplying input for the system analysis as well as serving as another selection round for the arena. They are also meant to get to know and create enthusiasm with potential candidates: the questions should trigger them and give them the feeling that the arena will make the difference because it is different from other forms of deliberative policy instruments and gives a platform to their sense of urgency.

Interviews, especially in the beginning, should be taken by two members of the transition team following a semi-structured interview protocol (for examples see boxes 2-5). Questions could be about the problem perception and the future of the neighbourhood/town/city/region. In addition to the quality of the content, close attention should be paid to the personality and enthusiasm of the person. This provides hints regarding the interviewee's competences and interest profile. Also the interviewee is asked to indicate other people that could be put on the long list for participation in the transition management process.

Is the person suitable to be engaged in the arena? If so, individuals are invited to join the arena. This happens, either already during the interview (when it is clear that the person is a good match for the arena) or as a follow up to the interview. In the end, the arena should consist of 10-15 individuals. If the person is not suited for the arena process or if there are already sufficient candidates with similar profile, keep the remaining individuals on the short list to be included at a later stage.

Box 2: Interview questions used for the regional transition arena in Texel (2008)

What is beautiful about Texel?
What do you think is ugly?
What is your connection with Texel?
What did you see changing the last 25 years?
What remained/stayed the same?
How do you think that Texel will look like in 25 years?
What is your feeling of urgency?
Who are the frontrunners?
What are the projects that will form/determine the future?
How do you hope that Texel will look like in 25 years?
What is your message to the arena?

³ This step is written with a focus on the transition arena (for other stages of the transition management process it has to be adjusted slightly).

Box 3: Interview questions used for the Neighbourhood Arena Oud Charlois (2009)

Topics and exemplary questions for inhabitants, institutional actors and policy makers:

- Problem analysis and vision
 - Which problems keep returning and which ones do you think are most important?
 - What could be done to address these and who should do this?
 - What do you think could be your contribution?
 - What works fine and should be kept that way?
 - What do you think is important for the future of the neighbourhood?
- Network
 - To whom are you talking about the problems in the neighbourhood?
 - Who has the biggest influence on the neighbourhood according to you?
 - Did you ever meet these people personally?
 - Did you ever visit a participatory event [use official name]? If so, which one?

Topics and exemplary questions for inhabitants

- Background
 - Personal information
 - How long are you already living here?
 - Are other members of your family living here as well?
 - How long will you stay here?
- Involvement
 - Do you see other people of your neighbourhood regularly? If so, who and how?
 - Do you once in a while chat with your neighbours?
 - How often do you make use of the shops in the neighbourhood?
 - Do you undertake activities together with other people from the neighbourhood?

Exemplary questions for institutional actors

- Are you living close by?
- How long do you have your seat here?
- How many people use your services?
- What is the percentage of clients coming from Oud-Charlois or from outside the neighbourhood?

Exemplary questions for policy makers

- How much and which of your tasks relate to Oud-Charlois?
- Do you co-operate with inhabitants, institutional actors and entrepreneurs from Oud-Charlois?
- Which impact did the territorial approach have on your activities?

Box 4: Interview questions used for the Transition arena in long term care (end 2007)

1. Could you tell us about your personal history in care, especially the moments that were formative for your view of the care?
2. What are the underlying causes of the problems in the care sector?
 - 2b How pressing are the problems in the care sector? Are we heading towards a crisis? Does the current system cause massive suffering? Or should we all work on and make big steps towards better care?
 - 2c In our theory we often use the concept 'regime', meaning that a certain culture, structure and practice dominates in a sector which hinders transformative change. (1) Do you think this is a meaningful concept for the (long term) care sector and (2) what is the regime in the (long term) care sector according to you?
3. What are the fundamental directions for solving these problems according to you?
 - 3b Where should change originate, from within, from outside or bottom up? *Can the (long term) care change itself? Is there a need for outside intervention of renewal? Or will small innovations make the care sector change? [ask for patterns]*
 - 3c Which actors (organisations / individuals) do you consider to be currently most able and willing to take the first steps? And which parties should they think about pulling along?
4. We are busy with a transition programme in long term care. Do you have suggestions for what are the do's and don'ts for advancing such a transition in the care sector?
 - 4b At some distance of the transition programme, we would like to set up a 'care arena'. Do you have suggestions for the practices and structure of such an arena?
 - [4c. If immediately evident that the person is a good fit for the arena: invite]
 - 4d. Do you have suggestions for others/names?
5. Do you have – apart from the care arena – suggestions for people or books/reports that can teach us more over the possibilities for a transition in the long term care sector?
6. Which topics would you want to be covered in an arena?

Box 5: Interview questions used for the Transition arena in Gent (Climate Neutral) (2011)

Interview protocol:

- Prepare the interview. If necessary, adapt the questions to the situation or specific background of the interviewee.
- Take time to get acquainted with the interviewee and to explain the goal of the interview.
- Show interest in the person and his/her ideas.
- Try to get to core of the interviewees reasoning. Ask further questions if the rationale behind an answer is not clear to you yet.
- Also assess the skills of the interviewee during the interview (e.g. the level of associativity / inspiration / authoritativeness / detail of the answers / enthusiasm / power of coercion).
- Try to keep the flow in the interview. The questions are more a checklist to see which topics should be addressed, rather than a rigid question format.
- Discuss the confidentiality of the interview and publicity of the information discussed during the interview.
- Discuss what will happen with the results of the interview and how the process continues.

Interview questions:

1. What is your relationship with the city?
2. Which changes have you noticed in the past years? *(around 5 – 15 years, further questioning with regards to personal opinion, and changes in the economic, social and environmental domains)*
3. What are the strengths of the city? *(further questioning on specific strengths in the economic, social and environmental domains)*
4. Which problems do you see for the city? *(further questioning on what he/she worries about)*
5. In which ways do you expect the city will develop in the coming years? *(further questioning on niche, regime and landscape developments)*
6. In which way do you hope the city will develop? *(further questioning on niche, regime and landscape developments)*
7. Which organisations/institutions/people are important in shaping the way the city will develop, according to you?
8. Are you familiar with the climate target of the city? What do you think of this target?
9. According to you, what is necessary for the city to develop sustainably? *(further questioning on climate target)*
10. In your opinion, which person has, or which persons have good ideas for the future of the city?
11. What is your sense of urgency? What is for you an important challenge for the future of the city?
12. What is your message to the arena? *(record the answer to this last question with the flip-camera)*

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Annex B. Case Studies

B.1. Case Study: The Neighbourhood Arena in Oud Charlois

Frank van Steenberg

In 2009 transition researchers started a Neighbourhood Arena to experiment with a transition arena in a Dutch community. It is the first attempt to apply a transition arena to a local and relatively small-scale setting of a neighbourhood. The first Neighbourhood Arena is located in the Rotterdam district Oud-Charlois. This district, which has well over 13.000 inhabitants, is known as one of the deprived areas in the city of Rotterdam, which are characterized by poor infrastructure and persistent social-economic problems. The municipality sees the district as 'socially vulnerable', especially on the following features: level of education, health, income, housing, and competence of language (Spierings & Meuwisse, 2009).

The efforts of several municipal departments to improve the situation have been met with little success. The departments are crippled by bureaucratic issues and unclear accountability relations. While they struggle to find suitable strategies to deal with these areas, its citizens have grown weary of 'top-down participatory' approaches, and above all, of seeing their own initiatives being frustrated by the same bureaucracy that plagues the municipal departments. Subsequently, there is a growing discontent by citizens in the capabilities of the government to deal with the problems of deprived neighbourhoods.

Transition to a Welcoming Neighbourhood

The Neighbourhood Arena responds to these persistent problems and brings together an unorthodox group of people in an unusual setting. It invokes different stakeholders within the neighbourhood to exchange views, insights and perspectives on a personal level and a mutual ground. These stakeholders include inhabitants and local entrepreneurs who live or work in the neighbourhood, and policy makers, social organizations and professionals that are active in the area. Though subtly different in architecture, the Neighbourhood Arena focuses on a radical social transition on a local scale to breach the existing culture, structure, and practices (referred to as the regime). The main goal is to allow for people to self-reflect, increase self-awareness and identify concrete ways through which their behavior can become more sustainable. The main sub-goals area: a) to re-establish trust of citizens in policy makers (and vice versa), b) to re-establish trust in citizens' own capacities to shape their environment, c) to create new and diverse collaborations and social cohesion between neighbourhood-actors, and d) to collectively create a new vision on the future of the neighbourhood. From our point of view, managing such goals and such an experiment as a whole requires a governance approach that is both reflexive and radical, i.e. transition management. This approach and our findings in Oud-Charlois are clarified in the following sections.

In November 2009 the transition team⁴ assembled a group of ‘frontrunners’ in the local community of Rotterdam Oud-Charlois. This group was the outcome of an extensive first preparation phase of data collection and preliminary interviews (March 2009 – October 2009). The group of frontrunners (approximately 30 persons) was distilled from this local community based on their innovative and action-oriented activities which were aimed at improving the neighborhood. Although the group consisted of people from different backgrounds (municipality, local entrepreneurs, active citizens, artists, housing corporations, etc.) they were invited on an equal, individualistic and unrepresentative basis. In a period of one year 8 broad meetings and 20 section meetings were held. The broad meetings were part of the strategic phase of the arena (problem structuring, envisioning, and shared guiding principles), the 20 section meetings were part of both the tactical and operational phases (e.g. setting up transition experiments). The following table shows the different phases of the Neighbourhood Arena.

Table I: Phases of the Neighbourhood Arena

Transition phases	Key activities	Key output	Number of meetings
I. Expert preparation	<ul style="list-style-type: none"> • Process design • Transition team formation • Reframing challenge • System analysis • Actor identification 	<ul style="list-style-type: none"> • Integrated system analysis • Long-list and shortlist of relevant actors 	– –
II. Envisioning & Backcasting (strategic)	<ul style="list-style-type: none"> • Transition Arena formation • Participatory city assessment • Participatory vision process • Selection of key priorities 	<ul style="list-style-type: none"> • Joint vision ‘welcoming neighbourhood’ • Guiding local sustainability principles • ‘Frontrunner’ network • Problem structuring (shared problem definition) 	<ul style="list-style-type: none"> • 4 broad meetings in November 2009 - February 2010 and one subgroup meeting in May 2010.

⁴ Ideally, a transition arena is facilitated by a team in which certain parties are represented, e.g. the initiating organization, experts in the field under study, transition management experts and process facilitators (Loorbach, 2007). This team is responsible for both process and structure of the transition arena.

<p>III. Agenda Building & Target Setting</p>	<ul style="list-style-type: none"> • Translating the perspective into specific actions • Agenda formulation • Broadening the network • Influencing regular policy • Coalition forming • Lobbying 	<ul style="list-style-type: none"> • More insight in and ongoing discussions about conditions for desired transition paths and experiments about next steps, new experiments, paths. • Action plan / transition agenda • Change agents network: arenas of arenas. 	<ul style="list-style-type: none"> • 4 broad arena-meetings in March - October 2010. • 2 broad meetings in March and May with local policy makers and civil organizations and other representatives of the municipality. So called policy-ring.
<p>IV. Experimenting & Implementing</p>	<ul style="list-style-type: none"> • Start up transition experiments • Implement pilots 	<ul style="list-style-type: none"> • Formation of 4 subgroups/ experiments • building bridges between organizations and people from various cultures and networks in the neighbourhood • physical redevelopment of a small terrain/square • 'Welcoming Neighbourhood' and ideas physical redevelopment • 'Welcoming Neighbourhood'-committee • Link youth networks 	<ul style="list-style-type: none"> • 20 subgroup meetings in February – November 2010.
<p>V. Monitoring & Evaluation</p>	<ul style="list-style-type: none"> • Learning • Evaluation • Reflection on vision and strategy • Adaptation of strategy 	<ul style="list-style-type: none"> • Lessons for local governance • Urban transition monitoring framework 	<ul style="list-style-type: none"> • Current phase

After the first phase of envisioning and problem structuring the transition team decided to form several subgroups, each of which would work on a specific task that was chosen by the participants themselves. Depending on the preferences of the participants, groups were given the choice to work on deliberative tasks such as the formulation of problems and a vision, or on concrete activities in the neighbourhood. Initially three subgroups were formed. The first subgroup was allowed to work on the physical redevelopment of a small square in the neighbourhood. Their task was to develop and implement a new approach to designing the redevelopment plan. The group employed creative approaches to collect inspiring ideas from residents living in the direct vicinity of the area. The same residents were invited to attend a workshop where the collected ideas were discussed and handed over to planners of the municipality. The planners will use the ideas as a basis for their design of the area which will again be discussed with the residents in a second workshop. The second subgroup was given the task to build bridges between the people and organizations from various cultures, networks, and isolated groups in the neighbourhood. Among other things this subgroup assisted the first subgroup in contacting residents and inviting them to the workshop, thereby contributing to a high turnout. The third subgroup was formed as an initiative of one of the

frontrunners who works as a project developer. The project developer, some of his colleagues, and some residents of the neighbourhood explored the neighbourhood and formulated several ideas for its physical redevelopment.

Although none of the groups chose to engage in deliberative activities, they all shared a vision of a 'welcoming neighbourhood' where people would feel at home; the vision they had discussed in the first phase of the process.

Reflexive participatory process

Several of the participants were interviewed about the choice to move from a phase of deliberation into a phase of concrete action. Most of the participants stated that they still preferred concrete action over abstract visions. Nonetheless, the vision of a welcoming neighbourhood appeared as a central theme in their stories about the concrete actions taken. It is still unclear to the transition team how to strike a good balance between envisioning and taking concrete action.

Contributions to Transition Management and Local Sustainable Development

The timing and direction of the reflexive adaptations can be disputed. Till this date it is still unclear whether the right adaptations were made. Some members of transition team used transition theory as their main point of reference for making adaptations, while other members of the team based their opinion mainly on the signals coming from the group of participants. The transition team had several discussions on how close to stay to transition theory.

The neighbourhood arena has the same dilemmas encountered in other transition arenas in transition management literature, but these dilemmas differ in composition. For example, the legitimacy of the arena (in both governance and actor strategy aspects) has been the biggest dilemma in the neighbourhood arena, in contrast to the experiences with other transition arenas where elitist and small groups of frontrunners accepted their more 'natural' role. Another dilemma that differs is the call for concrete action. It appears that concrete action on a local scale is crucial for the preservation of enthusiasm, energy and commitment. However, this does not imply that envisioning and problem structuring is less important in local scale arenas. The embraced vision of a 'welcoming neighbourhood' (implicit or explicit) proves that concrete action and abstract thinking are both valuable and crucial, i.e. they are more intertwined in local scale arenas. Another dilemma that differs from other experiences with transition arenas is the degree of involvement with the process. When dealing with a group that consists mostly of volunteers and professionals and public officials that participate on an optional basis, the commitment and importance of an arena-process is lower than in other transition arenas, e.g. sectoral arenas. Another implication is the composition of the transition team on a local scale. Because the arena-process is more action-oriented, actors in the transition team need more authorization and decisiveness within the current policy-regime. Also, there is a greater need for more operational and project-oriented actors within the transition team, that can supervise certain actions and transition experiments that derive from the local arena.

We need to take note of these different implications and dilemmas when dealing with local scale transition arenas, such as the community arena. Implementing a co-creation tool for

sustainable behaviour by local communities, is no simple and/or one-track endeavor. The community arena will be an updated and improved version of the neighbourhood arena and will be narrowly intertwined with the concepts of backcasting-theory. The match between the transition arena-concept and backcasting-experiences could prove even more valuable as a method. The construction of a combined methodology for the pilot projects is necessary if we want to understand how context interrelates with individual and collective strategies or practices. This way we can make the first steps if we want to close the gap between sustainability awareness and behaviour.

B.2. Case Study: The Transition Arena in Long Term Care

Julia Wittmayer

Problem description and transition arena objective

Beginning 2008, the Ministry of Health, Welfare and Sport of the Netherlands agreed on subsidizing a transition arena in the healthcare sector until the end of 2010 and gave the transition team complete freedom regarding the process and the results.

Already since September 2007, the Transition programme in long-term care (TPLZ) was up and running with a first tranche of 10 experiments, another tranche of 16 experiments would start in 2008. While the TPLZ was set up as a co-operation of Ernst&Young, DRIFT and CC Zorgadviseurs, the transition arena was led by a transition team from DRIFT. There was close co-operation between the two teams in form of a personal union: one of the TPLZ managers was also managing the transition arena process. The TPLZ was financed from the so-called AWBZ-covenant between the Ministry of Health, Welfare and Sport and the main care sector organisations.

The issues the healthcare sector, especially the long-term care sector, was facing were framed as follows during the first presentation to the arena participants: Our current healthcare system

- Hardly facilitates prevention,
- Is above all supply-led and hardly demand-led,
- Is technocratic and bureaucratic,
- Hardly permits exchange between healthcare and other societal domains (such as labour management, food sector, social work),
- Departs from standardisation (and is opposed to variation and diversity).

The objective of the arena was to develop a vision and agenda as well as a supporting network for the long-term system changes in the long-term care sector. This involved common reflection on and reaching a shared problem perception and vision as well as putting the insights gained on the political agenda, advising and mobilizing third parties. The transition arena was seen as a pioneer, aimed at creating circumstances under which innovations could deepen, broaden and scale up within healthcare organisations. The arena

also was meant to help develop sustainable long-term system solutions with radically new structures, cultures and practices⁵.

The scope of the arena was confined to long-term care due to several reasons. Initially, the arena was planned to be part of and financed by the TPLZ, which was focusing on the long term care sector. For regulatory-administrative reasons this did not happen as expected and the arena was financed independently from the TPLZ by the Ministry. Also, an initial healthcare system analysis framed the cure as regime and the care as a niche-regime. According to transition theory structural changes are more easily brought about in a niche regime, another reason to focus on long-term care.

The transition arena in long term care 2008-2010

The process of the transition arena can be divided into three main phases. The first phase is a preparation and exploration phase where a transition team is formed to guide the process and where the system and its actors are analysed. The second phase is the most intensive phase, when the participants come together to structure the problem, envision the future and apply backcasting methods to cast the way from the envisioned future to the now. During the third phase the vision is translated into an agenda and both are diffused and communicated to a broader network. These efforts eventually lead to a movement. Along these phases we will outline our work in the long term care sector⁶.

Phase of preparation & exploration

A transition team was formed, consisting of four members, a coordinator who also facilitated the meetings, one secretary who also prepared and worked out the analysis, and two transition experts, one for the system analysis and the transition management model and another for the policy and social processes.

The system analysis for the care sector was done internally at DRIFT, starting off with typologies of care and complementary medicine⁷. Some 16 interviews, done as part of the actor selection also gave input to the system analysis.

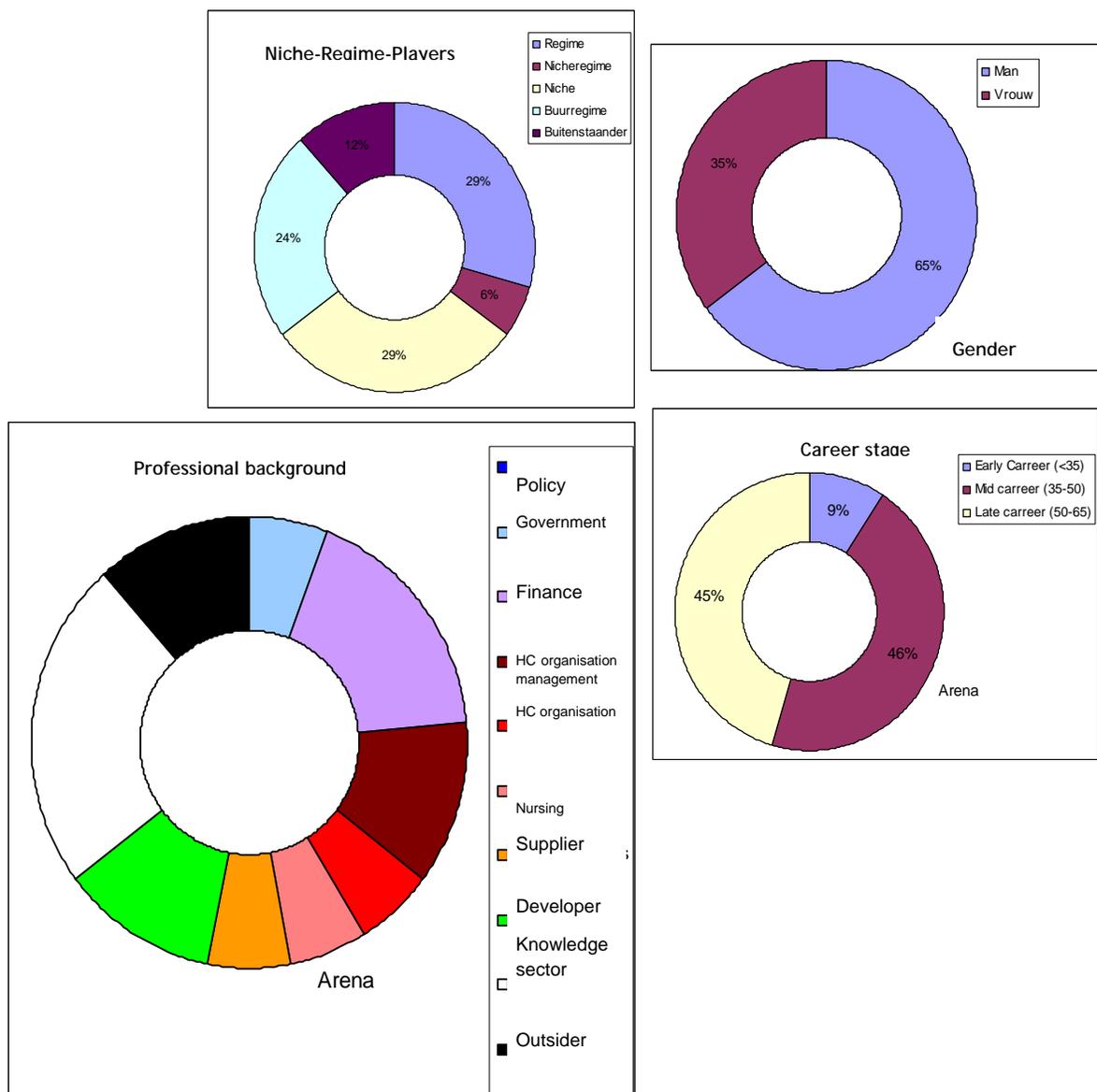
Regarding actor analysis and selection, the transition team first drew up a long list of about 50-100 names. This list was based on the immediate network of the transition team, newspaper articles mentioning interesting developments and their representatives as well as suggestions by third parties. On the basis of this long list and a list of selection criteria (some of which are visualized in figures 1-4), a group of people was asked for an interview out of which 16 people agreed. The interviews were performed by 2 members of the transition team in a semi-structured way according to a pre-set interview protocol (see Figure 5). All interviewees were invited to become members of the arena and 13 followed this invitation.

⁵ This paragraph draws on a first presentation of the transition team to the arena participants on March 13, 2008.

⁶ Please see table 1 for an overview of the transition arena process within the long term care sector.

⁷ This analysis has not been published. The evolving versions of the system analysis resulted at a later stage in a historical description of the transitions in the long term care sector (see De Haan 2010 – Part III, Van Raak 2010, De Haan & Van Raak 2011 forthcoming).

Figures I-4: Composition of the arena as visualized by the transition team



Source: DRIFT 2008

Figure 5: Interview protocol

1. Could you tell us about your personal history in care, especially the moments that were formative for your view of the care?
2. What are the underlying causes of the problems in the care sector?
 - 2b How pressing are the problems in the care sector? Are we heading towards a crisis? Does the current system cause massive suffering? Or should we all work on and make big steps towards better care?
 - 2c In our theory we often use the concept 'regime', meaning that a certain culture, structure and practice dominates in a sector which hinders transformative change. (1) Do you think this is a meaningful concept for the (long term) care sector and (2) what is the regime in the (long term) care sector according to you?
3. What are the fundamental directions for solving these problems according to you?
 - 3b Where should change originate, from within, from outside or bottom up? *Can the (long term) care change itself? Is there a need for outside intervention or renewal? Or will small innovations make the care sector change? [ask for patterns]*
 - 3c Which actors (organisations / individuals) do you consider to be currently most able and willing to take the first steps? And which parties should they think about pulling along?
4. We are busy with a transition programme in long term care. Do you have suggestions for what are the do's and don'ts for advancing such a transition in the care sector?
 - 4b At some distance of the transition programme, we would like to set up a 'care arena'. Do you have suggestions for the practices and structure of such an arena?
 - [4c. If immediately evident that the person is a good fit for the arena: invite]
 - 4d. Do you have suggestions for others/names?
5. Do you have – apart from the care arena – suggestions for people or books/reports that can teach us more about the possibilities for a transition in the long term care sector?
6. Which topics would you want to be covered in an arena?

Phase of problem structuring, envisioning & backcasting

Problem structuring

During the first meeting of the transition arena, the arena participants were presented with the wicked problems in the long-term care sector identified by the system analysis. These were as follows⁸:

Our current healthcare system:

- Hardly facilitates prevention,
- Is above all supply-driven and hardly demand-driven,
- Is technocratic and bureaucratic,
- Departs from standardisation (and stands opposite to variation and diversity),
- Hardly permits exchange between healthcare and other societal domains (such as labour management, food sector, social work).

A lively debate on these problems arose. New issues were added and priorities changed. The main underlying problems of the healthcare sector were typified as follows during the second meeting⁹:

- Wrong quality focus (limited understanding of quality),
- Fragmentation,
- The existence of only one right way accompanied by a lack of diversity in supply,
- People in fear caught up in rules with the consequence of next to no entrepreneurship in healthcare and finally an introverted sector.

This list, in combination with some questions was taken as the basis for further discussion in the arena. Eventually this process led to the writing up of the problem analysis as part of the vision.

⁸ First presentation of the transition team to the arena participants on March 13, 2008.

⁹ Second presentation of the transition team to the arena participants on July 1st, 2008.

Table 1: Overview of the arena meetings 2008-2010

	Agenda of the meeting	Actions of the transition team until the following meeting
First meeting March, 13, 2008	Introduction to theoretical background of transition management and the functioning of a transition arena. Introduction of the role, goal, activities, functions and practices of the arena.	<ul style="list-style-type: none"> • Prepare summary of the problems and solutions as perceived by the transition experiments as discussion input • Work on problem definition
Second meeting July 1, 2008	Presentation of the problems and solutions as perceived by the transition experiments of the TPLZ Introduction to the concept of a ' vision ' First ideas about visionary images	<ul style="list-style-type: none"> • Work on problem definition – prepare concept • Work on visionary images
Third meeting October 23, 2008	Introduction to the vision and agenda Review of problem description and direction of transition Dialogue on visionary images	<ul style="list-style-type: none"> • Prepare a synopsis of the transition agenda (incl. visionary images and pathways) • Write concept chapters of the vision
Fourth meeting December 16, 2008	Presentation and discussion of a transition experiment (Buurtzorg Nederland) Sketch of visionary images and pathways	<ul style="list-style-type: none"> • Work out visionary images and pathways • Prepare complete vision
Fifth meeting March 5, 2009	Discussion of visionary images and pathways , the complete vision and the follow up of the arena	<ul style="list-style-type: none"> • Finalize the transition agenda • Organize printing of the vision and public presentation moment
April 23, 2009	First presentation of the vision Mensenzorg to the project leaders of the transition experiments by three participants	<ul style="list-style-type: none"> •
May 13, 2009	Public presentation of the vision Mensenzorg	<ul style="list-style-type: none"> •
Sixth meeting November 9, 2009	Review of what has happened since the presentation of the vision Introduction of success factors for a movement	<ul style="list-style-type: none"> • Prepare and conduct action arenas • Prepare first input for broader transition agenda
Seventh meeting June 30, 2010	Presentation of results of action arenas Presentation of first input for broader transition agenda Discussion about movement	<ul style="list-style-type: none"> • Prepare broader transition agenda
Eighth meeting October 7, 2010	Review of work 2008-2010 Dialogue about follow up activities Presentation of broader transition agenda as concluding activity Discussion about movement	<ul style="list-style-type: none"> • Finalize the broader transition agenda • Write up lessons learned for the 'movement'

Envisioning and backcasting

The envisioning process started at the second meeting with some input from the transition experiments of the Transition programme in long term care (TPLZ), input from the transition team (portfolio analysis of the TPLZ) and some discussion of first ideas within the arena. In

sessions of 15 minutes, the participants were asked to think out of the box in groups of two about visionary images. During the third meeting, the transition team had summarized and bundled the ideas for visionary images (10 in total) as a basis for a further dialogue which again was prompted with questions aimed at making the visionary images more tangible. The questions aimed at deepening the visionary images by asking for the corresponding new practices, structure and culture. For the fourth meeting, the transition team delivered a synopsis of the transition agenda with a first attempt to describe visionary images and the vision as well as possible pathways thereto.

The resulting vision of a sustainable long-term care by the arena is based on three sustainability criteria:

1. Care is human-oriented
2. Care is economically viable
3. Care is embedded in society

These criteria were translated in six visionary images: self help, collective help, passionate professionals, social care organizations, caring society and sustainable system.

Once the vision – named Mensenzorg (People Care¹⁰) - had been spelled out, it was published in two forms: a more extensive book version and a somewhat smaller brochure. The two documents were presented in May 2009 to a broad public of around 130 representatives of the healthcare sector, including the transition experiments of the TPLZ.



Figure 6: Cover of the vision book "Mensenzorg"

Phase of agenda building and broadening for action

After the presentation of the vision document, the last three meetings were focusing on possibilities to broaden the agenda and the network. Some of the participants implicitly thought their task to be done and within the transition team there was a short discussion on whether new people should join. The decision was to not include new people within the arena but to focus on so called action arenas instead.

Action arenas

All visionary images together form the vision outline. For each visionary image several transition pathways were sketched on how that specific image was to be realized. Developed during the transition arena sessions they were thought to be the least developed part of the vision document. The further development of pathways remained a crucial point after the initial public presentation of the vision in May 2009 and was one of the objectives of the so-called action arenas.

¹⁰ The term 'Mensenzorg' is a Dutch wordplay, read as one word it stands for people care, read as three words (mens en zorg) it stands for people and care.

Another aim of the action arenas included the broadening of the network of the transition agenda for the long term care. The action arenas were set up in a similar fashion as the transition arena itself, although they were concentrating the whole process within one afternoon focusing on one of the visionary images and taking 'Mensenzorg' as basis. The first action arena on 'self help' was organized in November 2009 and the remaining three on 'collective help', 'passionate professionals' and 'caring society – living&care' in the first half of 2010. Each of these action arenas was organized with partners active in long term care, e.g. a patient interest organisation, a charitable foundation, a consultancy on living & caring and a progressive network of/for professionals. Each of the arenas was followed by at least one publication (mainly in popular professional journals) from a participant in co-operation with a transition team member spreading the message within again another network¹¹.

Table 2: Overview of the action arena meetings 2009-2010

Visionary image	Date held	Partner/Host
Self help	November 2009	LOC Zorg & Zeggenschap (Patient interest organisation)
Collective help	March 2010	Stichting RCOAK (charitable foundation)
Passionate professionals	June 2010	Stichting Beroepseer (Network furthering professional pride)
Caring society – Living & Caring	March 2010	Atrivé (Consultancy for housing corporations)

Dissemination

The transition agenda was spread widely within the field. The first edition (spring 2009) had a print run of 800 copies, the second edition (summer 2009) of 2000 copies and the third edition (spring 2010) of 3000 copies.

The arena participants themselves were also spreading the message within their own networks. Members of the transition team published an article on the healthcare transition in a popular professional journal¹² and presented the healthcare transition work at professional conferences and meetings¹³. One of the transition team members was also contributing to

¹¹ These publications are as follows: Kooij & Wittmayer (2010), Van Vucht & Wittmayer (2010), Wittmayer & Both (2010a, 2010b), Wittmayer, de Vries & Both (forthcoming 2011), Wittmayer & Krakkers (2010).

¹² Van Raak, Neuteboom & Rotmans (2008).

¹³ e.g. presentation by Jord Neuteboom during the 'Thuiszorgdag' 2009 in Rotterdam and other presentations at meetings by patient organizations, by care providers and other innovation programmes.

vision development within a care sector organizations (ActiZ) based on the transition agenda of the transition arena. The interactive website (www.zorgtransitie.nl) was used to spread the vision and to engage people in discussions.

Transition agenda

During the last half of 2010 the transition team organized a joint conference of the TPLZ and the arena with workshop sessions on each of the target images in order to come up with more concrete short-term actions. The outcome of this conference as well as the outcome of the four action arenas and other relevant documents was used as input to write up a more concrete and detailed action agenda. There were two rounds of discussion on this with the transition arena participants. The action agenda was finally approved by the transition arena as a living working document; it was disseminated to several stakeholders e.g. the transition experiment leaders and it was used as the basis for an inspiration paper on the concluding national conference of the Transition programme TPLZ in February 2011. It was also indicated that for specific purposes it needed further elaboration or concentration on specific topics.

Transition network

The emerging transition movement in long term care does not have a formal structure or institutional core. It started of three years ago with a small network of 13 people participating in the transition arena and another 22 people involved in 11 transition experiments in the TPLZ. When the vision first was presented, 130 people from in- and outside the sector followed the invitation and joined.

Not only did we as the transition team seek to combine the two networks through frequent interaction of ideas, we also experimented with action arenas as an activity to broaden the network. This was done successfully: in addition to the 47 actual participants we also collaborated with four institutional partners in the fields. The underlying idea of organising the action arenas in a joint effort with partners in the field was that these partners would be the catalysts for further movement.

Through the work of the transition arena the emerging movement has now a leading narrative – Mensenzorg. This narrative is spread in a variety of ways: the publication in book form, the website (www.zorgtransitie.nl), diverse publications stemming from the action arenas, public appearances of the transition team as well as by the arena members who actively work with it in their professional environments.

Project and Process Management aspects

Time Aspects: Time-management and time-line

The transition arena met a total of eight times from beginning of 2008 until the end of 2010. From the beginning until the presentation of the transition agenda, a complete process had been laid out and explained to the arena participants. Initially, four central plenary meetings were to be held in 2008 with some in-between sessions on problem, images, pathways and the transition agenda. Soon an additional meeting was added in 2009.

The meetings themselves were designed to follow a rigid scheme (see figure 5): generating ideas, analyzing closer and working out, converging, reflecting and selecting. During each of

the meetings the topic of the previous meeting (e.g. problem analysis, visionary images, pathways, agenda) was synthesized. Once the arena had spent time on discussing e.g. the perceived problems of the sector, the transition team would summarize this discussion and write it down. This would then again be input for discussion during the following meeting. Through this iterative process the problem description evolved and was fixed in writing for the agenda at the same time.

Role and tasks of the transition team

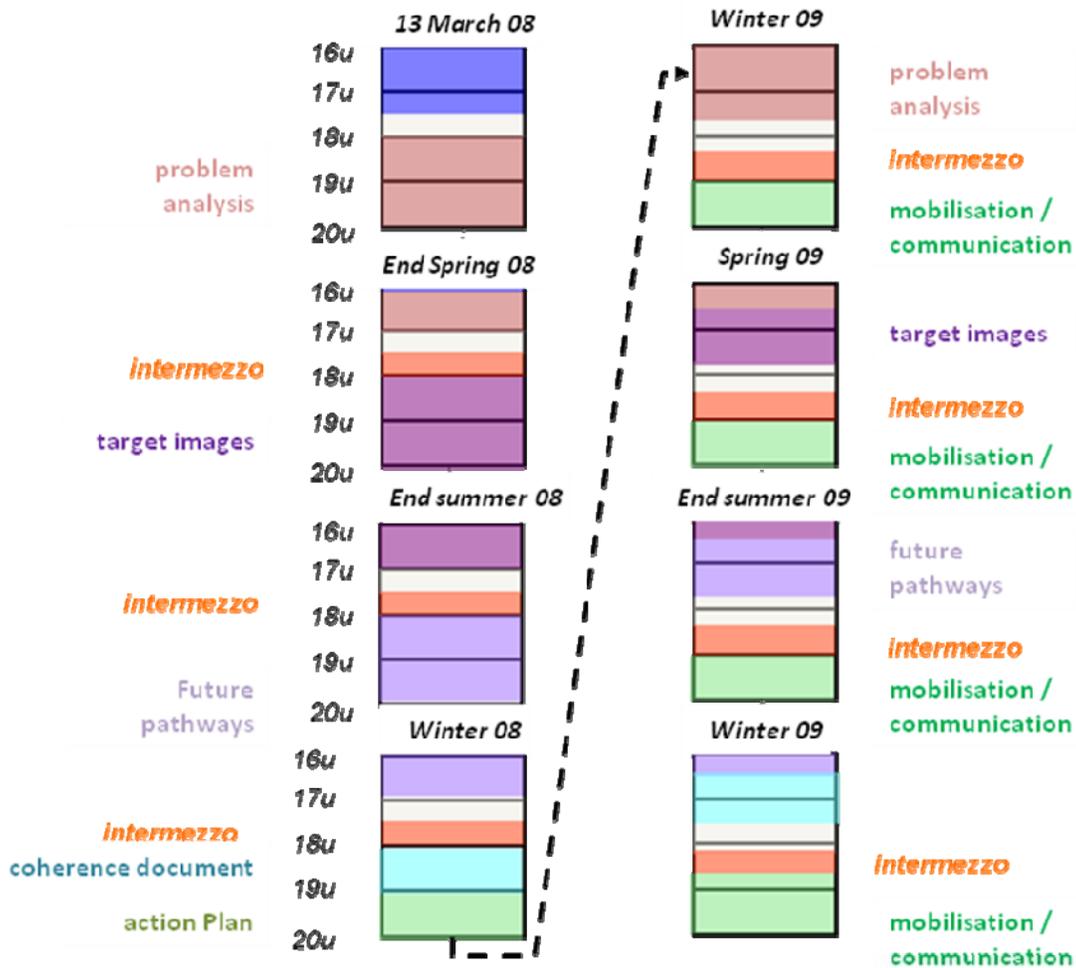
The transition team consisted of four persons at any point in time. On a short handout outlining the biographies of the arena participants and the transition team, the roles were outlined as follows:

- Transition team member 1 is the coordinator of the Transition Arena in long term care and will facilitate the meetings.
- Transition team member 2 assumes the role of secretary and will prepare and work out the analysis. He will also study processes in the arena from a scientific viewpoint.
- Transition team member 3 assumes the role of transition expert, especially on the topic of system analysis and the transition management model.
- Transition team member 4 assumes the role of transition expert, especially on the topic of policy and social processes.

Members 3 and 4 were actively taking part in the transition arena and the transition team. The position of the second member was occupied from January 2008 until August 2009 by one person with a main focus on the setting up of the transition agenda and from August 2009 until December 2010 by another mainly focusing on the action arena process.

Skills of transition team members include amongst others the following: networking, analysing, writing (in different styles so as to be able to find one that accommodates all the arena participants), facilitating and moderating sessions, and creating a safe environment for people to speak openly.

Figure 7: Meeting design



Source: Presentation of the transition team during the first meeting of the transition arena, translated.

Management aspects

A lot of time was invested in maintaining contacts with the members of the transition arena: having dinners, follow up calls after sessions, mailing.

Also the sending out of the invitations for the arena participants needed extra care. In the beginning, the invitation with accompanying documents, e.g. newsletters from the TPLZ, most recent versions of the transition agenda, were sent out by mail, while at a later stage the participants were invited by mail. With time, a core group had developed and before setting out a date, this core group was consulted for whether when they were available. Because all the participants have busy careers – the meetings had to be announced at least 2-3 months ahead to guarantee a higher turnout.

The meetings were scheduled late in the day, mainly between 16:00 to 20:00 including a light supper so as not to consume too much of the participant’s working time.

Usually every session was recorded. While the first sessions were also typed out in verbatim, for the later sessions only parts were typed. Also, the minutes of the meetings were done in a

very concise manner. Matters of content were dealt with in the discussion version of the vision/agenda document.

Reflection

Success Factors

The main success factor in the context of these transition efforts in the healthcare sector was the differing approach taken, it was termed the ‘human’ or ‘soft’ approach (e.g. in comparison with the energy transition). This involved an approach searching for compromise, ‘comforting’ the arena participants versus a more confrontative approach in other arena settings. At least two reasons for opting for this approach can be named: the attitude of transition team member 1 (facilitator role) is more geared towards contentment and the healthcare sector is more personal in that it touches people deeper and in more profound ways than other sectors (e.g. mobility, energy).

Throughout the process profound personal relationships between transition team member number 1 (facilitator role) and the arena participants were build. This is thought to be one of the reasons that none of the members bailed out at an early stage and also that the problem description could dive extremely deep into the philosophical, ethical and structural problems underlying the current care system.

Other success factors were as follows:

The public presentation in May 2009, which was organised in the old harbour area of Rotterdam, next to one of the transition experiments was a success, in organizational terms in and in terms of the public present.

Time management with regard to the sessions of the arena, especially the three months interval between the sessions was appropriate.

The 13 participants invited to join at the beginning stayed throughout the complete process of the formulation of the transition agenda. The meetings were attended by about 2/3 of them with different composition each time. It was only after the public presentation of the transition agenda that two of the participants withdrew (unofficially) from further communication and meetings.

Context: adaptations to the method and to the methodology

As outlined above, the approach was geared towards the health-care context: being more about compromise than about confrontation. There were several other adaptations made.

Other adaptations include:

- The transition management cycle was not started with an arena process but with experiments (see also Van den Bosch 2010 for more details on this aspect). This led to a regular exchange of ideas between the two networks. Through the invitation mailing, the transition arena participants received information about the TPLZ, e.g. newsletters or conference minutes, whereas the TPLZ project managers were briefed during their project meetings about the work of the transition arena. One of the project

leaders was also invited to join the transition arena for one meeting to support the search for visionary images.

- The arena started off as an empowerment arena (aimed at empowering niches within the regime to grow and become viable alternatives) and the focus changed throughout the process more towards a search for a safe landing of the process and of the results – an adaptation-like pattern. (see Van Raak forthcoming).
- There was no broadening of the initial transition arena network (no new people invited to join the arena after the public presentation of the transition agenda) instead we focused on action arenas.

The process following the public presentation of the transition agenda was a searching and learning process for the transition team itself. The always present and accompanying question was: How can we create a movement (especially one from bottom-up)? To answer this question, the transition team experimented by installing action arenas for the majority of the target images. The topic was further explored in a working paper on a transition movement in long term care by drawing lessons from the transition and action arena work, reviewing social movement theories as well as looking at other practices in the long term care sector (Wittmayer & Neuteboom 2011).

Presumably due to the fact that there were no payments involved, neither for the participation nor for any follow up ideas – the strategic behaviour of actors remained at a minimum.

Lessons learned

Connection to mainstream policy

Mainstream policy acknowledged the work of the transition arena in some ways. There was (informal) interaction with policy actors in the form of meetings with representatives of care sector organisations and the Ministry of Health, Welfare and Sport. Two of the care sector organisations were incorporating the underlying ideas and parts of the target images into their own vision documents. Other players, such as a major healthcare insurance company¹⁴ incorporated the target images of the transition agenda within their sourcing criteria.

Creation of action

One of the pitfalls was the creation of action. The main success of the action arenas was not to generate immediate action but to broaden the network. The healthcare sector is not a sector of quick action but of caution, where the actors always keep an eye on the government. While bringing together the frontrunners, the transition arena succeeded more in planting a new discourse and a way of seeing and framing reality than in bringing forward immediate action. One of the lessons learned is that action needs to be prompted in different ways in a sector like this. A possibility would be to prompt arena participants more assertively into (immediate) action.

¹⁴ One of the arena participants was at that time working at this insurance company.

Financing structure

The transition arena work was financed by the Ministry of Health, Welfare and Sport, which showed surprisingly little interest in the work of the transition arena. The advantage was that the transition team had maximum freedom in the way the arena was implemented. The disadvantage was that the arena, as was aimed for at a later stage, was not anchored in and did not continue having impact at the main regime player, the Ministry.

As the financial support was also granted independently of the TPLZ, the transition team were also formally independent of the programme leaders of the TPLZ.

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Annex C: The Pilot Project Areas

C.1. InContext Pre-Preparation Phase WP4

Questions for the WP4-Pilot projects: input for a common methodological approach¹⁵

In order to gain insight into each other's pilot project areas, we have drawn up the following questions. Answers to the questions will provide valuable input for our 'guidelines for common methodological approach' (deliverable 4.1). We will discuss a draft version of these guidelines during our workshop in February. It is important that you include whatever you think is most relevant in the context of your area. Answers can be formulated in a general and brief manner so as to give us an idea about your aims, goals, and current involvements in these areas.

It is important to distinguish the question in this document and the questions we outlined in chapter 5 of our Discussion Paper that was circulated during the Kick-off meeting in October. The questions below are not part of the arena-preparation phase, as described in chapter 5 'Preparing Transition Analyses of Communities' of the Discussion Paper. However, there is some overlap, so you will be able to use some of the answers for the system analysis in the preparation phase. For now, you can focus on the main data and most relevant/signature data for your area. See the questions below as a pre-preparation phase, where we focus on an orientation and exploration of the different pilot project areas. We will also answer the questions for our pilot area: the Rotterdam district of Carnisse before the 7th of January.

¹⁵ This questionnaire was sent to all pilot project partners in December 2010 by WP4 lead DRIFT.

Short-term timeline WP4: pilot projects

T.M.-phase	Timeline	Key activities	Key output
Pre-preparation	December 2010 - January 2011	<ul style="list-style-type: none"> • Drift works on common methodological approach and sends a draft two weeks before the workshop • All pilot partners orientate and explore their own area and each others areas 	<p>Draft version 'guidelines for common methodological approach'</p> <p>Short outline of every pilot project area is circulated</p>
Workshop	February 2011	<ul style="list-style-type: none"> • Discuss draft version common approach 	Guidelines for common methodological approach' (deliverable 4.1)
Preparation Arena-process	February - May 2011	<ul style="list-style-type: none"> • Process design • Transition team formation • Reframing challenge • System analysis • Actor identification 	<ul style="list-style-type: none"> • System analysis • Long-list and shortlist of relevant actors
First meeting Transition arena	May 2011	<ul style="list-style-type: none"> • Problem definition • -Etc. 	Restructuring the problem, shared perceptions, etc.

The preparation phase officially starts in February and ends in May when the first arena-meetings will take place. During that phase the above mentioned key activities (such as process design, transition team formation, system analysis, actor analysis, etc.) will take place for which we will provide more input (i.e. the methodological guidelines) during the workshop in February. However, we are aware of the fact that SERI is already actively involved in Gmunden and needs to keep up momentum there. This means there will be some differences on when the pilots perform one or more key activities.

The SERI-team have answered most of the questions below and was actually working on the Chapter 5 questions of the preparation phase. We would like to ask the SERI-team if you think some questions are not yet answered in your 1) feedback discussion paper, 2) questions for methodology paper, and 3) Gmunden-pilot project description for regional partners. Other complementary data that could give us more insight into the pilot project areas is also welcome.

Please send the answers to these questions to Frank van Steenberg (Drift) before the 7th of January. This way we can incorporate your input in the draft version of the 'guidelines for common methodological approach' to be circulated mid-January.

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1) Give a brief description for your pilot area

This first part centres on raw data of the pilot area. Only include the data you think is relevant for the other partners to know. This could be data on:

- Demographic features (size of the area, location, features, population, etc.).
- Who is living in the area (in terms of age, gender, nationality, educational level, occupation, religion, etc.).
- Economic features (employment, income levels, business, etc.).
- Physical infrastructure (housing, mobility, etc.).
- Ecological features (quality of air, agricultural, etc.).
- Facilities (shops, schools, healthcare, etc.).
- Maybe some possible insights in consumption patterns.
- Current problems or features that you encountered or are generally stated in policy documents.
- Interesting local initiatives and local government efforts worth mentioning regarding the InContext project.

And other noteworthy specifics of the area you find are relevant.

2) Describe your current and/or recent involvement in de pilot area

During our Kick-off meeting in October we spoke about our current experiences in the pilot areas. Most of us, had worked in the areas before. Therefore, we would like for you to describe briefly:

- 2.1 What kind of current and/or recent projects/activities in the area are you involved in?
- 2.2 What kind of contacts and networks you already established in the area?

3) State your aims and goals for the pilot project

- 3.1 Why did you choose this area for a pilot project?
- 3.2 What would you like to achieve in your pilot area?

4) How do you envision the set-up of your pilot project?

- 4.1 Do you want to focus on a specific domain? For example, a focus on (food, energy, etc.) consumption of individuals? Or do you prefer an open setting?
- 4.2 Do you plan to focus on specific individuals or broad area based groups or communities?
- 4.3 Do you plan to collaborate with other external professional partners/organizations in your pilot project?

C.2 Pilot Project Area Gmunden

Sigrid Grünberger, Maria Pircher, Lisa Bohunovsky, Ines Omann (SERI)

I) Give a brief description for your pilot area

DEMOGRAPHIC FEATURES

Introduction

Gmunden is a town in upper Austria with about 13.100 inhabitants (Jan. 2010). It is situated at the northern end of the lake Traunsee and has a well-known ceramic manufactory. The town centre lies near the bridge over the River Traun. The district of Gmunden covers an area of about 64 km². The district commission is also seated in Gmunden. The town of Gmunden is located at the northern part of the community (see **Error! Reference source not found.**), the rest of the community consists of forests and mountains.

Figure 1: Position of Gmunden in Austria

Source: <http://de.wikipedia.org/wiki/Gmunden>

Figure 2: City limits of Gmunden

Gmunden is a touristic area as it is scenically located in the Salzkammergut ('Estate of the Salt Chamber'), a resort area in Austria which stretches from the city of Salzburg to the Dachstein mountain range. As can be seen in the figure above, the built-up area is rather small compared to the amount of green and forest area. There is a great number of sights and points of interest in and around Gmunden, such as the town hall, the Traun Fall north of Gmunden, a castle called Schloss Ort and the ceramic factory 'Gmundner Keramik'.

Moreover, Gmunden offers a broad variety of sport clubs (such as sailing, skiing, diving, etc.) and cultural clubs (such as the choir 'Gmundner Kammerchor', the 'Künstlergilde Gmunden', a film club or the choral society and the traditional costume society, the so called 'Trachtenverein').

Population (Statistik Austria, 2006)

There are 13.123 people living in the municipality of Gmunden (2010), about 47% male and 53% female. In the last 30 years, birth rates were slightly negative. However, there was a slight population growth, which can be attributed to immigration.

In 2006, about 89% of the population of Gmunden was Austrian, about 11% were non-Austrians. The non-Austrians mainly immigrated from the EU, from former Yugoslavia and Turkey. About 14% of Gmunden's inhabitants are younger than 15 years, 65% are between

15 and 64 years old and 20% are 65 years old or older. The main religion in Gmunden is Roman Catholic (about 70%).

ECONOMIC FEATURES

Occupation (Statistik Austria, 2006)

About 47% of Gmunden's population are employed (others are pupils, students, retirees or working at home), about 11% are self-employed, and 2% are unemployed. Most of the employed people work in production, service or trade. In the district of Gmunden women's average salary is € 1.226.-, men's average salary is € 2.148.- (Arbeiterkammer 2009).

Commuter statistics (Statistik Austria, 2001) show that there are about 2.700 out-commuters and about 6.500 in-commuters.

Political activity

The local council has 37 members and consists of the following parties (election 2009):

- Austrian People's Party (ÖVP): 19 mandates (48%).
- Social Democratic Party of Austria (SPÖ): 8 mandates (22%).
- Austrian Freedom Party (FPÖ): 5 mandates (14%).
- The Green Party (Die Grünen): 4 mandates (12%).
- Gmundner Stadtliste (Liste Löcker): 1 mandate (3%).

The mayor of Gmunden is Heinz Köppl from the Austrian People's Party. The city council of Gmunden consists of the mayor and 8 other members (5 Austrian People's Party, 2 Social Democratic Party of Austria, 1 Austrian Freedom party, 1 The Green Party).

Education (Statistik Austria, 2006)

There are several schools and kindergartens in Gmunden, as it is the educational centre of the region. There are about 2.700 students in Gmunden. Approximately 57% of the students are in-commuters, as they live in other municipalities, districts or federal state. 43% of the students live in Gmunden.

For most of Gmundens' inhabitants apprentice training (30%) and compulsory school (32%) are the highest completed qualifications. The rest finished vocational schools (19%), universities (9%), grammar schools (6%), and others (3%).

Employment opportunities, businesses and shopping facilities

Figure 3:
Gmundner Keramik



There are several employment opportunities in and within the neighbourhood of Gmunden. The most important businesses in Gmunden are 'Stern & Hafferl Verkehrsgesellschaft m.b.H' (a transportation company), the 'Gmundner Zementwerke' (cement works), 'Energie-AG Oberösterreich' (energy production), 'Gmundner-Keramik' (Austrian ceramic manufacturer, see **Error! Reference source not found.**), 'GEG Elektrobau' (electric construction), 'LAUFEN Austria' (bathroom ceramics), and the dairy of Gmunden. 'Asamer' is also a very large company with a subsidiary in Gmunden. Asamer works in fields of stone and gravel processing, cement,

concrete, recycling, tourism, properties and innovation.

The gradual settlement of shops of the big trade chains led to an extinction of little shops in the city centre. The construction of the Salzkammergut shopping centre in 1975 and its further expansion led to more business closures. The city management tries to revitalize the ambience of the inner city with events, renovations, etc.

ECOLOGICAL FEATURES

So far we haven't found any data on ecological features of Gmunden, such as air quality, etc. We will collect more information on ecological features in the preparation phase when we conduct interviews.

PHYSICAL INFRASTRUCTURE

Mobility and public transport

In general, mobility can be considered as a hot topic in Gmunden. Currently, there are many ongoing debates related to discussions about enlarging the street system or extending the existing tramway line. As mobility is a key issue in Gmunden, we have already planned to host a so called 'Bürgerrat' (council of citizens) in order to concentrate on this crucial theme and to develop approaches which provide satisfying solutions for Gmunden's traffic challenge.

The main form of mobility is individual cars, public transport is mainly used by school children and some elderly people – the typical pattern for rural areas in Austria. We did not find any concrete data on the situation so far, thus we will try to cover this issue within the interviews in the preparation phase as well.

Gmunden has three city bus lines as well as one tramway. From Gmunden there are several bus lines to other cities of the region, for example to Bad Ischl, Vöcklabruck, Schwanenstadt, Kirchdorf, Grünau im Almtal, or Altmünster. The Gmunden railway station is on the line between Stainach-Irdning and Attnang Puchheim and there is an hourly connection to the trains of Austria's "Westbahn" line. There is also a local line (Traunseebahn) to Vorchdorf.

Gmunden also operated some nightbuses. But as they were not utilized frequently enough they were ceased again.

Figure 4: Public Transport in Gmunden



Figure 5: Train station of Gmunden



Housing (Statistik Austria, 2006)

There are about 3.000 buildings in Gmunden – 84% are residential buildings, the rest are non residential buildings. About 70% of the 7.600 dwellings are used as main residences, 30% are secondary residences.

Most of the residential buildings are one or two family houses (63%). 14% are buildings with three to ten flats, 4% with eleven or more flats.

69% of all buildings are heated by a house central heating system, others by long distance heating (4,5%) or they do not have a central heating system (single ovens, 26,3%). The main energy carriers in centrally heated buildings are gas (36%) and fuel oil (26%). Only 5% of the buildings are heated with renewable energy carriers like wood, wood chips, solar or geothermal (Statistik Austria, 2001).

If related to dwellings, the main energy carriers are gas (51%), fuel oil (23%), or long distance heating (12%). Wood and other biogen biogenic fuels account for 6 %, other alternative heating is hardly used (0.4%).

Most flats have 60 to 90 m² (38%), 90 to 110 m² (16%) or 45 to 60 m² (13%) effective living area.

Climate Alliance (Klimabündnis)

With the participation in the climate alliance in May 2006 Gmunden is committed to implement local programs for global climate protection. With external consulting the status quo of Gmundens energy consumption has been analysed. On this basis potential savings have been declared and measures have been developed. The most important topics are energy and awareness- raising. Very essential goals for the climate alliance are funding of alternative energy production as e.g. solar collectors and thermal heat pumps. In the field of mobility the focus has been on the expansion of public transport by introducing a city bus line, on traffic calming, the renaturation in the inner city and on providing new bicycle stands.

OTHER SPECIFICS OF GMUNDEN

There are/were a few interesting social projects and initiatives going on in Gmunden:

- *Project 'Netzwerk Schule – Jugendwohlfahrt'* ('network school – youth welfare'); September 2002 - September 2005: This project aimed to enhance the collaboration of youth welfare with the environment of children and teenagers. Thus, problematic developments of children and youth should be identified and clarified in advance. The results were somehow ambivalent: there was some convergence and collaboration

between schools and youth welfare. However, there are insufficient human resources at the youth welfare to effectively carry out their work with kids and families. Also, schools often lack awareness and sometimes are not very cooperative regarding collaborations with institutions such as the youth welfare.

- *Project 'mensana'*; May 2006 - May 2007: This project was designed as a prevention and education project for elder people. The project's focus was on enhancing mental health of elder people. It aimed at raising awareness of elder people in order to strive for an active and self-determined life in old age.
- *Project 'MiA'* ('Migrantinnen im Arbeitsleben'); 2008- Dezember 2009: The MiA-project aimed to support female migrants in the Austrian working environment. On three levels MIA worked to improve the process of integration: individual level, business level and society level. On the Individual level the personal situation in the working environment has been improved for example through an upgrade of the German language, better childcare and mobility possibilities and a personal education plan given by a coach. On the business and society level information events and dialogs for awareness- raising took place and helped to integrate the female migrants.

Moreover, there are some ongoing initiatives and activities in order to support Gmunden's urban development:

- *'Verein zur Förderung der Infrastruktur der Stadtgemeinde Gmunden'*: An association which cares about the support of Gmunden's infrastructure.
- *'Verein zur regionalen Entwicklung – Traunsteinregion'*; 2007 – 2013: Gmunden is one of 13 members of this LEADER-association. Since 2007 the "Traunsteinregion" carries out projects and workshops in various fields, such as energy, tourism, culture, or agriculture and forestry.
- *Agenda 21*; start October 2008: Agenda 21 is a worldwide network which supports the transition towards sustainable development. Agenda 21 processes assist regions, communities, organisations, citizens and the economy to cooperate and to focus on sustainable development. In the region of Gmunden and Vöcklabruck the 'Lokale Agenda 21' process started in 2008. The city of Gmunden itself has not carried out any actions yet. However, it is planned for 2011 to get Lokale Agenda 21 actions started in Gmunden. Then, we should also try to link InContext activities to LA21 activities in order to create fruitful synergies.

2) Describe your current and/or recent involvement in de pilot area

2.1 What kind of current and/or recent projects/activities in the area are you involved in?

From April 2009 to September 2010 SERI carried out the project 'LebensKlima' (Climate change in correlation with quality of life and lifestyles). The project aimed to initiate activities in order to reduce human's impact on climate change and to raise awareness for those issues. In this project, SERI closely collaborated with public authorities (schools, city council).

The LebensKlima project was investigating the relationship between lifestyles and climate change in the context of two regional case studies. Gmunden was one of the case studies, and served as an example for a small urban region. Graz (Styria) served as the second case study region. At first, data on the socio-economic structure of the case study regions and on the effects of climate change on those regions were collected. Then, an activating survey was carried out. 67 pupils (between 15 and 16 years old) of four schools of Gmunden conducted interviews with residents of Gmunden (mainly with their friends and families) and asked them about their lifestyles and about their perceptions of climate change issues. Based on the results of the survey, certain types of lifestyles were clustered. Accordingly, two focus groups were set up. At the first focus group the results of the survey were presented. Participants then discussed about their perceptions of climate change and about their very personal understanding of 'quality of life' and how this relates to climate change. The second focus group was designed as an experimental game ('Planspiel') where participants slipped into various roles which derived from the clustered types of lifestyles of the activating survey. This experimental game aimed to collectively develop measures which could contribute to more resource friendly attitudes related to mobility, housing, nutrition and consumption.

Within the course of the LebensKlima project we found it rather hard to motivate people for taking part in real participatory exercises. Moreover we got the impression, that the quality of life in Gmunden is rather high and that environmental challenges are not really seen. Also, in our view the openness to change is rather low.

Besides, we experienced some difficulties in collaborating with the municipality of Gmunden. Our major contact persons are mainly members of the Green Party, which is suboptimal as our work in Gmunden always has sort of a 'green touch'. Unfortunately, members of other parties don't feel responsible for supporting our work - it seems that they lack awareness for the topics we are working on. Another difficulty is related to the organizational execution of projects. We learned that communal politics often have a somehow vague concept of time when it comes to decision-making. There are often delays of resolutions which complicate and decelerate smooth project handling.

Following the LebensKlima project, a few more activities will be carried out in Gmunden from January to April 2011 in order to continue the ideas of the LebensKlima project. Thus, events such as a flashmob or carrotmob will be initiated and organized by young people or an intergenerational cooking event will take place in Gmunden at the beginning of 2011.

Moreover, a transfer workshop in Gmunden is planned within the BENE project (www.bene-projekt.at). This project aims to investigate supportive factors for active citizen engagement in energy issues and to assess the potential of active citizen engagement in energy issues in order to contribute to the promotion of more energy-aware lifestyles. A full-day transfer workshop will take place in the city of Gmunden (end of 2011) where the initiatives 'Ökoregion Kaindorf' and 'green electricity platform / PV cooperatives' will be presented and possible adaptations to local circumstances will be discussed.

2.2 What kind of contacts and networks you already established in the area?

Within the course of the LebensKlima project a carrier group ('Trägergruppe') was established in order to support the project with 'local knowledge', to spread the ideas, and to promote the project in the Gmunden region. This group consisted of representatives of regional and local authorities (regional management, municipality), local stakeholders and people who are somehow involved or interested in local activities and community development. Along with the events which will be carried out from January to April 2011 this

carrier group will be re-organized and extended. However, there were some shortcomings related to the carrier group as it was rather hard to motivate people to get involved in the carrier group and to spread the ideas in the region of Gmunden.

3) State your aims and goals for the pilot project

3.1 Why did you choose this area for a pilot project?

The reason for choosing the city of Gmunden was twofold:

1. SERI already has a long relation to the Salzkammergut (a very well known region in Upper Austria and Salzburg), where Gmunden lies. We have started about 5 years ago with first projects around “happiness and sustainability”, for instance by organising ‘Glücksstammtische’, ‘Glücksschiffahrt’ and others. The area is quite active concerning sustainable development, quality of life and research. Gmunden itself aims to become a university town as well as a sustainable one. This eases our work a lot, as the basic ideas around sustainable development and quality of life are anchored in the politics and in part of the civil society.
2. In 2009 and 2010 SERI has undertaken a project called ‘LebensKlima’ which analysed the linkages between lifestyles, climate change and quality of life in Gmunden and after a series of participatory events concluded with a list of possible measures that are appropriate to reduce the resource use and increase the quality of life through changes in lifestyles (see also above). The final report can be downloaded from www.lebensklima.at.

3.2 What would you like to achieve in your pilot area?

We see the following aims as important:

- Activate a higher percentage of the civil society for the topics of sustainability and quality of life, also those that have not been motivated so far.
- Carry out actions and steps that start a transition in Gmunden.
- Get the commitment of the politics to go further the way towards sustainability.
- See some changes in the area of mobility, energy and/or food.
- Collaborate well with other initiatives such as the LA 21.

4) How do you envision the set-up of your pilot project?

4.1 Do you want to focus on a specific domain? For example, a focus on (food, energy, etc.) consumption of individuals? Or do you prefer an open setting?

We have already discussed several issues with the city representatives and within the LebensKlima Project. Energy use for housing definitely is a topic in Gmunden, as most people live in single family houses. Nevertheless, the possibilities for behavioural changes are limited: an insulation of the building or a new heating system demands for quite some financial investment, behavioural changes without financial investments are too limited to form the focus of the project.

Mobility is another interesting focus, which definitely is interesting, as most people own a private car. Individual mobility is the main form of mobility in Austrian rural regions and small towns, a transition towards sustainability has not been achieved so far. Similarly to the European/global scale energy for mobility is the sector with the highest growth rate.

Food consumption has also been discussed – in connection with cook events, shopping guides, etc.

Depending on how narrow the focus for InContext has to be and on the interests of the transition arena, we would focus on one of these topics or follow a broader approach where all of them are tackled.

4.2 Do you plan to focus on specific individuals or broad area based groups or communities?

In principal, we plan to focus on individuals, in order to address the individual behaviour of different population groups. We realized during our work in LebensKlima there is little sense in trying to address the most energy and resource use intense group of the population. Therefore, we would rather aim to address those people who share some ideas / interests with a transition towards sustainability.

So far, representatives of regional and local authorities took part in many of our activities. We would like to enlarge and broaden the participants and try to reach non-institutionalized multipliers.

We will try to closely collaborate with efforts in the LA21 process, city representatives and maybe also representatives from other NGOs/organisations.

4.3 Do you plan to collaborate with other external professional partners/ organizations in your pilot project?

We plan to collaborate with a regional planning bureau that already worked with us in the LebensKlima Project: Raum Region Mensch, Michael Fleischmann. A subcontract is foreseen for them to support us with the facilitation and preparation of the arena meetings.

References:

Agenda 21: <http://www.agenda21-ooe.at>

Commuter statistics: <http://www.statistik.at/blickgem/vz6/g40705.pdf>
<http://www.statistik.at/blickgem/pz6/g40705.pdf>

Education: <http://www.statistik.at/blickgem/pz6/g40705.pdf>

Gmundner Keramik: <http://www.porzellantreff.de/Gmundner-Keramik-Gruengeflammt-Familien-Set-p56180.html>

Housing: <http://www.statistik.at/blickgem/pz7/g40705.pdf>

Housing and heating: <http://www.statistik.at/blickgem/gwz1/g40705.pdf>

Klimabündnis: <http://www.klimabuendnis.at/start.asp?ID=110730&b=575&b2=&am=>

Occupation: <http://www.statistik.at/blickgem/pz4/g40705.pdf> and
http://www.arbeiterkammer.com/bilder/d99/einkommensverteilung_vbruck_2009.pdf

Population: <http://www.statistik.at/blickgem/pz2/g40705.pdf>

Project "mensana": http://www.plejaden.net/mensana_gmunden/html/mensana.shtml

Project „MiA“: <http://www.freiesradio.at/veranstaltung/mia-projekt-f%C3%BCr-migrantinnen-im-fib-gmunden-11>

Project "Netzwerk Schule – Jugendwohlfahrt": http://www.land-oberoesterreich.gv.at/cps/rde/xchg/SID-68FFB514-246D654F/ooe/hs.xsl/38910_DEU_HTML.htm# and http://www.land-oberoesterreich.gv.at/cps/rde/xbcr/SID-45AF4076-887BB29F/ooe/BHGM_Abschlussbericht_Projekt_Netzwerk_Schule_Jugendwohlfahrt.pdf

Verein zur Förderung der Infrastruktur der Stadtgemeinde Gmunden:
<http://www.gmunden.at/system/web/zusatzseite.aspx?menuonr=218378984&detailonr=218019667>

Verein zur regionalen Entwicklung – Traunsteinregion: <http://www.traunsteinregion.at/menue-fusszeile/vereinsstatuten/>

C.3. Pilot Project Area Rotterdam Carnisse

Julia Wittmayer & Frank van Steenberg (Drift)

I) Give a brief description for your pilot area

Rotterdam is the second city of the Netherlands, counting almost 600,000 inhabitants, 127 nationalities, and until recently was the world's largest port. It is a heavily industrialized area. The city is divided by the river Maas (and the old harbour area) into a South and North part. Neighbourhoods on the south bank were historically and still are the place where immigrants move into the city. Instead of an aging population, Rotterdam has a very young population who generally has a low education and high unemployment.

The pilot project area is one of the districts of Rotterdam called Carnisse. Carnisse is named after a former village in one of the polders. Carnisse became a city district with the extension of the city and the harbour on the left bank of the Maas around 1900. Houses were built until roundabout 1950. Carnisse (as part of Rotterdam Oud-Zuid) is listed in 2007 as one of the 40 districts that the national government in the Netherlands labelled 'districts of extra interest' ('aandachtswijken'). These districts are all seen as districts with problems in multiple domains (social, physical and economical).

DEMOGRAPHIC FEATURES

When reading the following be aware that the data refers to Carnisse and/or the district of Charlois as a whole. This is due to the fact, that not all the data is available at district level.

Location:

The Municipality of Rotterdam is made up of 15 partial municipalities ('deelgemeente'). Charlois, located on the South bank of the Maas, is one of the partial municipalities subdivided into 8 districts. Carnisse lies at the heart of Charlois surrounded by the following other districts: Oud-Charlois, Tarwewijk, Zuidplein and Zuiderpark. Carnisse itself can be subdivided into 6 sub-districts or neighbourhoods (see Figure 1).

Population:

In 2010, Carnisse had 10.533 inhabitants of which 5490 male and 5043 female. Charlois counted a total of 63.606 with a population density of 5.430 inhabitants per square kilometre (2.822 in the Municipality of Rotterdam).

Figure I: Rotterdam, Charlois and Carnisse

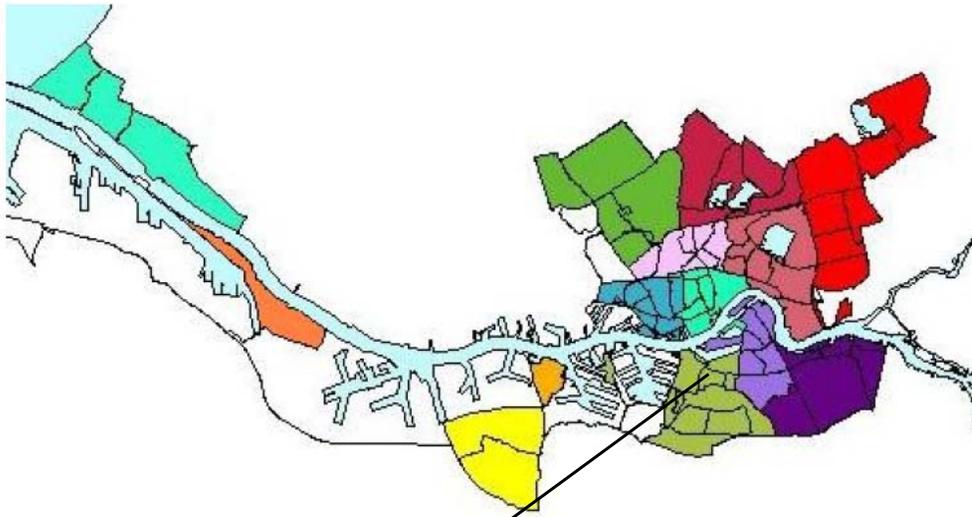


Figure 1a: Rotterdam and its partial municipalities (Source: COR Rotterdam)

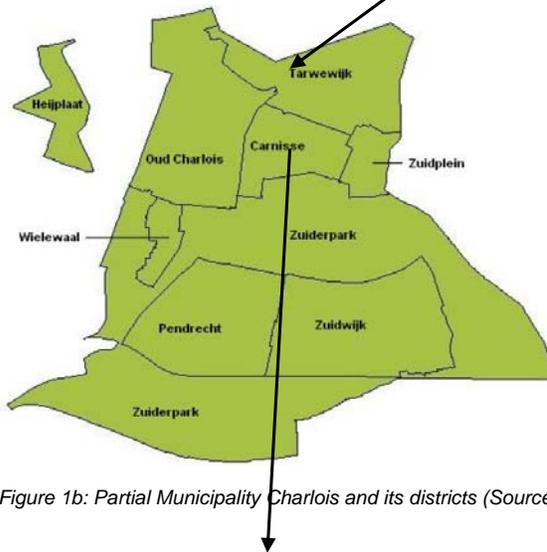


Figure 1b: Partial Municipality Charlois and its districts (Source: COR Rotterdam)

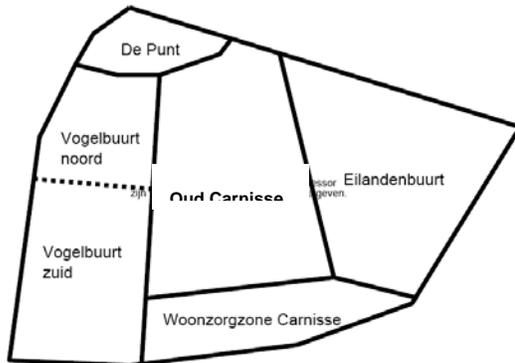


Figure 1c: District Carnisse and its sub-districts (Source: Gebiedsvisie Carnisse 2020)

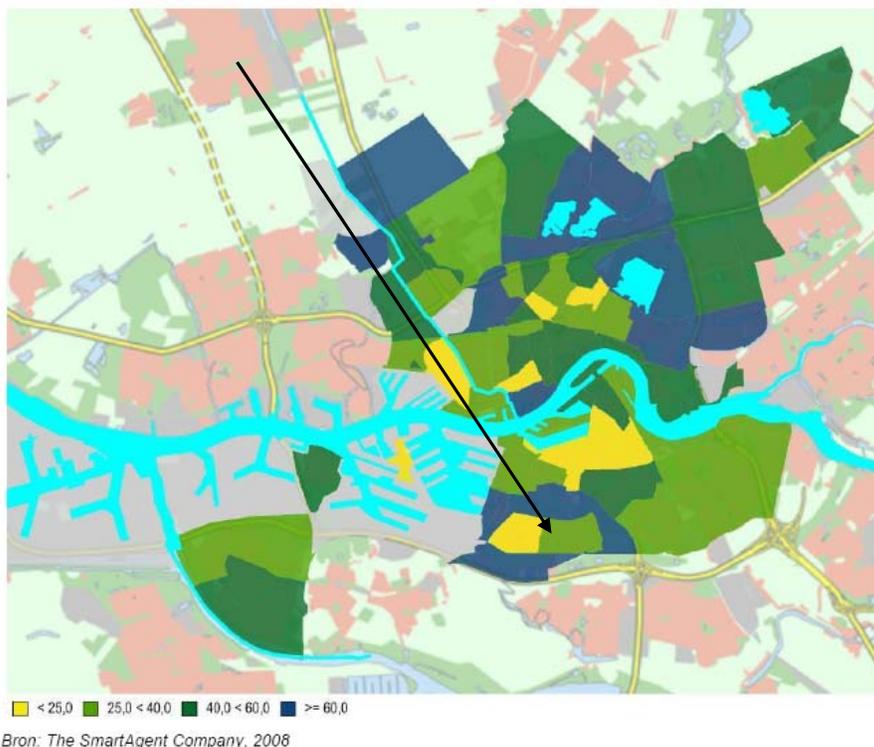
In Charlois, the death rate is continuously decreasing while the birth rate is increasing in the period from 1995-2009. The population of Charlois is relatively young compared to the nation wide picture: half of the inhabitants are younger than 35 years (46% in whole Rotterdam). This shows in the household composition: 51% single households, 28% households with children and 21% households without children. Carnisse shows the same trend. In 2010, 15,2% of the population is between 0-14 years (was 12,4% in 1995). 75,7% is between 15-64 years (was 69,9% in 1995) and 9% (down from 17,9% in 1995) is 65 or older.

Carnisse is, in terms of nationality, a very varied district. In 2010, 41% (from 20% in 1995) of the population are 'non-Western immigrants', 15% (from 9% in 1995) are 'Western immigrants' and a remaining 44% (down from 71% in 1995) are 'Dutch natives'.

Carnisse is one of the starting points for people's residential career in Rotterdam. A five-year trend from 1995 onwards shows increasing numbers of people from outside the city moving to Carnisse and decreasing numbers of people moving from another Rotterdam district to Carnisse.

The satisfaction of the population of Carnisse with their own district dropped from 74% in 2005 to 52% in 2009 (see Figure 2).

Figure 2: Satisfaction with own district



ECONOMIC FEATURES

In 2009, Charlois had about 942 (local) shops and in 2010, a total of 1803 companies: 27% in the reparation and trade of consumer articles (down from 40% in 1995), 17% in the trade and renting out of movable and immovable property (up from 10% in 1995), 11% in healthcare/social work and 11% in the building industry (only biggest sectors mentioned).

The average spending income in Carnisse was 11.900 Euro in 2006 (the most recent data), which is higher than the average of Charlois, which was 11.100 Euro. 53% of the population of Carnisse has an MBO-education (middelbaar beroepsonderwijs: intermediate vocational training) or higher. Also, unemployment in Carnisse (8%) is lower than in Charlois (10%). Charlois has a labour population of 15.803 in 2009 out of which 22% worked in healthcare and social work, 18% in the reparation and trade of consumer articles, 13% worked in the trade and renting out of movable and immovable property and another 12% in education (only biggest groups mentioned). On the scale of social economic status, Carnisse scores a 'very low'.

Physical infrastructure

There is a total of 5927 homes in Carnisse in 2010, of these 53% (down from 66% in 1995) are rented apartments and some 13% are owned by the municipality/housing corporation. Half of the buildings were build before 1945, another 43% dates from the period after World War 2 (1945-1959). Only 2% of the houses date from the period 1960 to 1989 and the remaining 6% from after 1990. The latter number is the lowest in comparison with the surrounding districts.

The WOZ-value is a national norm to calculate the value of homes. In Carnisse the WOZ-value of private housing increased by 481% from 1995 to 2010 (457% for rented apartments), which is a development comparable to the neighbouring districts.

ECOLOGICAL FEATURES

There is virtually no green in the district. In order to reach the nearest park (Zuidpark) a 'woonservicezone' has to be crossed.

INTERESTING LOCAL INITIATIVES

Pact op Zuid (Agreement in South):

The 'Pact op Zuid' is a cooperation of the Municipality of Rotterdam, the three partial municipalities Charlois, Feijenoord and IJsselmonde and four housing corporations: Vestia, Woonbron, Com Wonen en Woonstad Rotterdam. Via a programme office they invest 1 billion Euro in 10 years in the social, economic and physical qualities of Rotterdam Zuid, starting 2005.

40-wijkaanpak (40 district approach):

As part of Rotterdam Oud Zuid, Carnisse is part of the '40 district approach' of the Ministry VROM/WWI, since 2007. Whereas the predecessor, the 56 district approach (of which Oud Zuid was also part) aimed at fast physical restructuring of the districts, the current '40 district approach' has broader aims regarding five points: living, working, learning, integrating and security.

As part of this approach, district action programs have been formulated with the main topics regarding Carnisse being working on the child friendliness of the district, supporting private

house owners in renovating their houses and the adoption of the district by one housing corporation (Com.Wonen).

Stadsvisie Rotterdam 2030 (City vision Rotterdam 2030)

Oud Zuid (and therewith Carnisse) is labelled a VIP-area. Investing in these areas has priority for the city of Rotterdam.

Integrale Wijkvisie Carnisse 2020 (Integral District vision Carnisse)

The initiative for this vision came from the partial municipality Charlois, the Municipality of Rotterdam and two housing corporations: Woonstad Rotterdam and ComWonen. The vision was set up during several workshops in corporation with organisations active in Carnisse in 2008.

Aim is to have one vision that gives direction to all the organizations and municipal services working within Carnisse. It builds on an earlier vision, renders justice to the changed focus of the municipal policy towards working with a greater area focus, integrates the national policy of the 40 district approach and is part of the VIP Oud Zuid profile of the city vision Rotterdam 2030.

This vision is the basis for a multi-annual implementation plan: Integraal Wijkactieprogramma (iWAP) which was drawn up 2009/2010.

2) Describe your current and/or recent involvement in de pilot area

2.1 What kind of current and/or recent projects/activities in the area are you involved in?

Neighbourhood arena in Oud-Charlois

The southern part of Rotterdam is one of the focus areas of Drift, but no actual work has been done in Carnisse.

Drift is involved in a neighbouring district of Carnisse, Oud-Charlois. In this district Drift initiated the Neighbourhood Arena, where inhabitants, local entrepreneurs and organisations reached a common perspective for their neighbourhood and initiated a first round of experiments (see <http://wijkarenaoudcharlois.wordpress.com/> and <http://welkomewijk.nl/>).

Pact op Zuid

Drift is also actively involved in certain activities of the 'Pact op Zuid'-program (see also above). Amongst these activities is an evaluation project of the first four years of the cooperation (2005-2009) where Drift redesigned the socio-economic program.

2.2 What kind of contacts and networks you already established in the area?

Veerkracht Carnisse

Together with three other socially engaged organisations, Rotterdam Vakmanstad (Henk Oosterling), Creatief Beheer (Rini Biemans) and Bureau Frontlijn (Derk Tetteroo & Barend

Rombout), Drift initiated a coalition called Veerkracht Carnisse (Resilient Carnisse). All organisations can be seen as niches in the existing policy-regime of Rotterdam.

- Rotterdam Vakmanstad (Skillcity) works on the physical integrity in primary schools through lessons in judo, cooking, gardening and philosophy. It is based on learning skills and the empowerment of a creative class (the programme is influenced by works of Richard Sennett, Richard Florida and Robert Putnam). The inventor of this approach, Dr. Henk Oosterling, also teaches dialectic philosophy, French philosophy of differences and philosophy of art at the Erasmus University Rotterdam (Faculty of Philosophy). He plays an active role in the city of Rotterdam as a strategic advisor of the Pact op Zuid-program.
- Creatief Beheer (Creative Maintenance) works on and in the public (green) space with the local population. The aim is to regain self-maintenance of public squares, parks, and other public spaces by initiating and facilitating projects with the local inhabitants. With several partners they develop ‘citynature’, parks and gardens for and with inhabitants. Their aim is to develop new practices for self-maintenance and interaction and steadily build more green urban neighbourhoods.
- Bureau Frontlijn (Frontline) is a project organization of the municipality of Rotterdam that searches for solutions for problems in deprived city neighbourhoods and districts. They work via a so called ‘frontlineapproach’ where experiences of individuals are central for their integrative acts. They actually step behind the front doors into people’s homes and support them in learning the skills necessary to solve their problems such as poverty, learning issues, and criminality.

The shared target group of the combined actions is the youth (and their direct families) in Carnisse. The community arena Carnisse, as developed in InContext, will be part of Drifts working tasks within this Veerkracht-coalition. Because of the collaboration with more action oriented partners, the biggest tension we encountered in the neighbourhood arena Oud-Charlois (also see case description of the neighbourhood arena in the appendix of the Methodological Guidelines), i.e. the call for actions and experiments instead of deliberative processes, is intercepted.

Local government

Through our involvement in the neighbourhood arena in Oud-Charlois, we have a good connection with the local government of the municipality. Both districts are part of local municipality of Charlois. We also have contacts with e.g. local entrepreneurs, creative artists, housing cooperation’s from Oud-Charlois that are also active in Carnisse. Therefore we already have good insights in what happens in this district.

3) State your aims and goals for the pilot project

3.1 Why did you choose this area for a pilot project?

There are several reasons for Carnisse as our pilot project area. The main reasons are:

- Carnisse is widely seen as a deprived area with the matching characteristics (socio-economic problems, housing, relatively low level of content among its inhabitants, and high level of tensions, etc.).
- Our established contacts and network in this district partially overlap with the ones in Oud-Charlois.
- It was a joint decision within the Veerkracht coalition. Mostly because it is seen as deprived area, because of the relatively youthful population, and because of the very little green (there is virtually no substantial green in Carnisse)

3.2 What would you like to achieve in your pilot area?

We would like to achieve:

- Create a lasting narrative and platform for communication (transition arena) which connects different parties and actors. The driving force for this platform is a network of frontrunners which connects and scales up certain innovative activities and helps to create a critical mass of people aiming at self-organization.
- Make Carnisse more sustainable (social and ecological domains). Contribute to a sustainability transition of Carnisse.
- Experiment with collaboration of policy niches (in the Veerkracht-coalition).
- Improve the transition management–approach by integrating it with insights from backcasting and (socio-) psychology.
- Learn more on inner contexts and individual behaviour. What is sustainable behaviour in Carnisse (what do people mean by it and how do people experience this) and what are the drivers and barriers for the actual sustainable behaviour?

4) How do you envision the set-up of your pilot project?

4.1 Do you want to focus on a specific domain? For example, a focus on (food, energy, etc.) consumption of individuals? Or do you prefer an open setting?

We would prefer an open setting in which the participants of the arena will choose the domains on which they would like to work. Of course, this open setting will be guided to certain specific domains, because of the Veerkracht-coalition (green, care, youth, etc.) and the InContext-project setup (consumption).

4.2 Do you plan to focus on specific individuals or broad area based groups or communities?

Our focus will be on frontrunners within Carnisse, individuals who are passionate about their neighbourhood, who are active in the neighbourhood, those with new ideas and creative actions. This group of frontrunners will consist of a diverse set of people (inhabitants, artists, local entrepreneurs, public officials, etc.) who will participate on an individual level (and not based on their representation of a certain group or organization). For more details on whom we consider as frontrunners we refer to the methodological guidelines of WP4.

4.3 Do you plan to collaborate with other external professional partners/ organizations in your pilot project?

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 (some key players will take part in the transition team).

REFERENCES:

Centrum voor Onderzoek en Statistiek Rotterdam (www.cos.rotterdam.nl)

KEI Kenniscentrum stedelijke vernieuwing (<http://www.kei-centrum.nl>)

Rotterdam Vakmanstad, Creatief Beheer, Bureau Frontlijn & Drift (2010) *Carnisse Centraal. De toekomst van Rotterdam ofwel de groeikroniek van een Rotterdamse wijk.*

Gebiedsvisie Carnisse 2020. KansKaart Carnisse.

Integraal Wijkactieprogramma Carnisse. *Carnisse Kanskaart.* Waar capaciteiten worden benut.

C.4. Pilot Project Area Wolfhagen

Stefanie Baasch (UFZ)

1) Give a brief description for your pilot area

The German pilot project should take part in the city of Wolfhagen in Northern Hesse. The city is situated in the rural district of Kassel and its surrounding is dominated by agriculture and forestry.

Energy production and research plays a very important role in the city of Wolfhagen which aims to be a 100% renewable energy 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). Since 2008, the public utility company delivers 100% renewable energy which currently is bought from hydro power plants in Austria. In the future, the energy should be produced by a citizens-owned wind park.

DEMOGRAPHIC FEATURES

Location:

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 and eleven rural districts.

Population:

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.

Economy:

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 technique, wood gasification, thermal power 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 a senior citizen center, rural district office, police station).

Figure 1: Location of Wolfhagen



2) Describe your current and/or recent involvement in the pilot area

2.1 What kind of current and/or recent projects/activities in the area are you involved in?

‘KLIMZUG Nordhessen’ – This is a project on regional climate adaptation in North Hesse

‘Wolfhagen 100% EE’ an upcoming project for the development of a sustainable energy supply for the city of Wolfhagen

2.2 What kind of contacts and networks you already established in the area?

We are working in close cooperation with the local energy consulting ‘Energie 2000’, the local government (see letter of support from the mayor of Wolfhagen), the Kassel district administration, the regional council of Northern Hesse, the regional management Northern Hesse (energy cluster) and the municipal energy supplier.

Figure 2: Historical city centre Wolfhagen



3) State your aims and goals for the pilot project

3.1 Why did you choose this area for a pilot project?

The main reasons for choosing Wolfhagen as our project area were:

- Local stakeholders showed interest in the topic.
- Wolfhagen is a frontrunner community in the field of renewable energy in Germany.
- Synergy effects with other projects possible.

3.2 What would you like to achieve in your pilot area?

We would like to achieve:

- Connecting the issue of energy production with personal energy use
- Detecting if sustainable energy use may be used as an anchor for other sustainable behaviors
- Developing strategies to overcome barriers of sustainable behavior with participative methods

4) How do you envision the set-up of your pilot project?

4.1 Do you want to focus on a specific domain? For example, a focus on (food, energy, etc.) consumption of individuals? Or do you prefer an open setting?

In general, we would prefer an open setting in which the participants of the arena will choose the domains on which they would like to work. But we plan to start with the topic energy use as an opener for the workshops because the public in Wolfhagen is already sensitized to energy issues.

4.2 Do you plan to focus on specific individuals or broad area based groups or communities?

Not defined yet. We will discuss this point with our local partners soon.

4.3 Do you plan to collaborate with other external professional partners/ organizations in your pilot project?

We will collaborate closely with local energy consulting 'Energie 2000', the local government, the Kassel district administration, the regional council of Northern Hesse, the regional management of Northern Hesse (energy cluster), the municipal energy supplier and with the research projects KLIMZUG-North Hesse and Wolfhagen 100%.

Also the local government and other public officials are of great importance for their cooperation, experience, networks and knowledge (some of these stakeholders should be part of the transition team).

Further collaborations with external professionals are planned, but not defined yet.