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**«PARTICIPATORY BUDGET AS A TOOL FOR CITIZENS ENGAGEMENT  
AND PARTICIPATION: CASE OF KYIV CITY»**

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**Декларація  
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Я Калінчук Олександр Дмитрович, студент магістерської програми за спеціальністю «Публічне управління та адміністрування» НаУКМА, адреса електронної пошти o.kalinchuk@ukma.edu.ua, підтверджую таке:

- написана мною кваліфікаційна робота на тему «БЮДЖЕТ УЧАСТІ ЯК ІНСТРУМЕНТ ГРОМАДСЬКОГО ЗАЛУЧЕННЯ ТА УЧАСТІ: НА ПРИКЛАДІ МІСТА КИЇВ» відповідає вимогам академічної доброчесності та не містить порушень, передбачених п. 3.1. Положення про академічну доброчесність здобувачів освіти у НаУКМА, зі змістом якого я ознайомлений/ознайомена;
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## INTRODUCTION

*The topic relevance.* Since 2014 Ukrainian citizens have defended their right to political and social consciousness, focusing on European integration. The change of government has also proven that there was a strong distrust of public and local government institutions in Ukrainian civil society.

In order to restore trust in government authorities, it was decided to introduce a mechanism of bringing the authorities closer to the citizens for their better understanding and awareness of the problems. As a response, a decentralization reform has been introduced that focuses on increasing the competencies and budgets of local governments to understand better residents' needs, civil society, and other key actors.

Kyiv, the capital city of Ukraine, having a special legal administrative status, has been indirectly affected by the decentralization processes. Nevertheless, since 2014, local authorities have taken steps to create conditions for the citizens' engagement and active participation in the local governance process.

Participatory budgeting as a mechanism of direct public participation and involvement in democratic decision-making on the distribution of public funds is a well-known practice of good governance in many cities worldwide. In the hands of public city governors, it has the properties of a tool, as its usage can influence the levels of citizens' involvement in the local governance.

In Kyiv, as in other Ukraine cities, the participatory budgeting tool has been used for a relatively short period and is still gaining momentum.

The topic of citizens participation and engagement in the policy development was researched by numerous scholars both foreign and national, such as W. Fox and I. H. Mayer, M. A. Zimmerman, H.S. Baum, P. Schmitter and T. Karl, J. Rappaport, J. M. Schafritz, T. Andriichuk, J. Ekman and E. Amnå, E. Mamontova, O. Serhienko and O. Vatamaniuk, V. Tertychka and others.

To research the topic of participatory budgeting and the budgeting process many scholars joined the process, such as by J. Fazlagić, O. Baluieva, L. Ilchenko-Syuyva and I. Rozputenko, J. Fazlagić, Voznkyak, Pelekhatyy, O'Hagan, MacRae, H. O'Connor, Teedon, O. Baluieva, Williams, Denny, Bristow, S. Yehorycheva and others.

Because the data on citizen involvement levels are fragmented, and the levels of citizen involvement in its process have not been studied it makes us to conduct a separate study to systematize the data and study the levels of citizen participation in Kyiv by using participatory budgeting. Therefore, a Master's thesis topic is relevant in our time.

The *object* of this thesis is the process of participation and engagement of citizens in the local governance.

The *specified object* of this work is the participatory budget as a tool for participation and engagement of citizens.

The *aim* of this thesis is: to examine the concept of citizens participation and engagement, to study the mechanism of participatory budgeting, to analyze the current application of the participatory budget instrument in Kyiv, to investigate citizens involvement and activity through the participatory budget instrument in Kyiv, to identify problem areas suggest ways to solve them.

To achieve the *aim* the following tasks were identified, and performed in this work:

- investigate the theoretical foundations of citizens participation and engagement concepts;
- establish the correlation of using participatory budgeting in determining the priorities of democratization;
- investigate the mechanism of involving citizens in the participatory budgeting on the example of Kyiv;

- carry out an analysis of the citizens' use of participatory budgeting and their engagement in Kyiv in the period 2016-2020;
- analyze the activity of participatory budgeting citizens and initiatives in Kyiv in the period 2016-2020;
- group the most prominent participatory budgeting participants in Kyiv;
- identify problems in the mechanism of citizens engagement and participation in the Kyiv participatory budget;
- provide recommendations for improving the implementation of the participatory budget mechanism in Kyiv.

To complete the tasks the following research methods were used:

- the method of selection of information - to deviate the literature and the other sources related to citizens participation and engagement, participatory budgeting;
- case study method - to determine the features of the implementation of the participatory budget instrument in Ukraine on the example of the city of Kyiv;
- qualitative methods of observations - to examine the interactions and participation of citizens during the usage of participatory budgeting;
- grounded theory - to study public involvement in the participatory budget for 2016-2020 period;
- legal analysis of the regulations – to examine the legal regulation of the participatory budgeting in Kyiv;
- statistical analysis of the qualitative data - calculation of city budget expenditures and the share of the participatory budget;
- the method of generalization, analysis and determination of patterns of information - to establish conclusions that have practical and theoretical significance for their implementation into the framework of citizens participation and engagement policy;
- classification method - for grouping the most prominent participants in the participatory budget.

The work consists of front pages (English and Ukrainian translation), table of content, introduction, 3 chapters with subchapters, conclusions to chapters, summary conclusions, the list of references (include 69 titles), and annex. The total number of pages is 82.



## **CHAPTER 1. GENERAL THEORETICAL AND METHODOLOGICAL BACKGROUND OF PARTICIPATORY BUDGETING**

### **1.1. Theoretical fundamentals of citizen participation and engagement concept**

Participation is a process and an essential aspect of democratic relationships. The term is usually used in a phrase, which describes who are the main actors of the process, for example, "citizen participation," "government participation," "employee participation," "public participation," and others. For this research, citizen participation will be used as the primary term since it clarifies the main active actors, which are being involved in the participatory processes - particularly citizens as members of cities or states.

The definition of citizens participation varies as scholars try to describe the meaning of citizen participation. For example, W. Fox and I.H. Meyer defined citizens participation as the involvement of citizens in a wide range of administrative policy-making activities, including the determination of levels of service, budget priorities, and the acceptability of physical construction projects. It is needed to orient government programs toward community needs, build public support, and encourage a sense of cohesiveness within society. [3]

Zimmerman and Julian Rappaport stated that the broad definition of citizen participation should be defined as involvement in any organized activity in which the individual participates without pay to achieve a common goal, where narrow definition includes only the activities that have a role in decision making. [5]

European Urban Knowledge Network provides another meaning stating that public participation can be described as a deliberative process that interested or affected citizens, civil society organizations, and government actors involved in policy-making before a political decision is taken. [6]

H.S. Baum states that citizen participation directly refers to citizens' involvement in public decision-making and that the phrase is used to denote remedial efforts to involve inactive citizens or clients in government activity. [7] For P. Schmitter and T. Karl, participation stands as a defining element for different types of democracies. They defined it as a legal possibility to be active and have an equal voice in politics, even if citizens do not want to. [8]

Jay M. Schafritz proposed looking at citizen's participation as a means of empowering individuals or groups with bargaining power to represent their interests and thus plan and implement their programs with a view towards social, economic, and political power and control. He also mentions that some government programs have to enable legislation requiring that citizens affected by the program be involved in its administrative decision. Presumably, the greater level of citizen participation in a program, the more responsive the program will be to the community's needs, and the more responsive the community will be to the needs of the program. [9]

In all the provided definitions, the authors point out the similar theme of participation as a process or an abstract concept essential for democracy, rather than a single outlined event. Within the participatory process, then public or interested and affected citizens or other actors are being involved in policy-making to achieve common goals. The important aspect for it to work is that any individual can be involved if one has an interest or interests are being affected by the decision.

The ideas of social participation allowed scholars to talk about existence of a new form of democracy, namely participatory democracy. T. Andriichuk mentions that the development of participatory democracy goes hand-in-hand with political practice and that political discourse is followed by "emotional" coloring of the democratic idea, its use as a symbol of struggle for civil rights or as a means of "bringing" authorities to citizens. [10]

However, the definition of participation and its term is being mixed with other similar terms such as engagement and involvement. The debates over the citizen's

political involvement in the established democratic countries began with the publication "*Bowling Alone: The Collapse and Revival of American Community*" by Robert D. Putnam, in which the author named all citizens' actions related to the political world, such as voting in elections, giving money to charity, or even reading newspapers, as "*civic engagement*". For him, such examples of civic engagement directly correlated with the functioning of the market economy and democracy, where "social capital" was a vital element of all societies. [11, p. 284]

In this debate, some theorists disagreed, stating that not every citizen's involvement should be labeled as civic engagement. R.P. Adler and J. Goggin were sure that, for example, working in local communities should be seen as a duty for all citizens and civic engagement as a term describes the ways an active citizens participate in the everyday community life with the aim of improving the other's conditions or to help define the community's future. [12]

Citizen's participation was also perceived as electoral or political participation related primarily to voting on election to select political parties or leaders as one of the most direct ways for citizens to influence politics and select their governmental elites. However, to oppose political participation as a concept does not include the citizen's interactions within the society between each other in the period before the election processes.

E. Amnå and J. Ekman proposed different political participation forms: civil participation as latent political participation and manifest political participation. Civil participation is further divided from citizens involvement (attention) in politics and civic engagement (action). Attention or citizen's involvement thus involves the attentiveness and interests' in the political world as an individual form and a sense of belonging to the political groups as a collective form. Civic engagement is then defined solely as the actions on realizing the political interests in the individual form and voluntary works with the aim of improving conditions of the local community as a collective form. In the presented concept, civil participation is seen as more of societal

nature since it relates to politics' interests and how to execute them in real life. [11, p.292]

E. Mamontova, on the other hand, mentions that citizen participation, as the active involvement of citizens in communities daily affairs on influencing the decision-making of public governments, should be distinguished from political participation, with the help of which active citizens can influence the political system generally and the government's actions. [13]

D. P. Moynhain addressed the level of influence of the citizens have in a process of budgeting allocation. He suggested there exist three levels of citizen participation. Under the full participation citizens are fully involved in the governing process as they have an equal voice in the outcome of the chosen policy decisions. The partial participation is a mere consultation with a public with a limited impact on the decisions. The third level is the pseudo participation, and it involves a symbolic effort to adapt the involvement of citizens in a decision-making process. By the result of his findings, he proposed a typology of citizen participation on the level of its representativeness. [14]

Another concept similar to citizen participation is the concept of citizen engagement. On the official website of Participatory Methods, it is defined as a form of interaction between citizens and governments, taking place in government policy implementation and public service delivery. As a result, it can lead to more effective receiving of public services state responsiveness. [15] In the New York Times, engagement of civic society is defined as “*working to make a difference in the civic life of our communities and developing the combination of knowledge, skills, values, and motivation to make the difference...promoting the quality of life in a community, through both political and non-political processes.*” [16]

Citizen Lab points out the main differences between citizen participation and participation. Both concepts aim to increase the collaboration between citizens and

governments with an improvement of public services and policy programs. However, the distinct differences are:

1. Citizen engagement is a top-down initiative initiated by the government, while citizen participation is a bottom-up initiative initiated by the citizens.
2. Citizen engagement has more of formal nature since cities create tools for them to involve in policy decision-making, where citizen participation happens informally without governments.

The main challenges in citizens' engagement are defining the citizen's needs, convincing them to engage, and offering them all the necessary information to make a reasonable decision. Participation's challenges are mostly concentrated on mobilizing enough citizens' support. [17]

In another meaning, citizen engagement is defined by the conducted study of “European experience of citizens’ participation in cross-border governance”. By them citizen engagement has the following meanings:

- citizen’s participation to elections as the main tool for representative democracy,
- legal possibility of citizens to affect or change the legislations (via referendums);
- active citizens engagement with volunteer associations or organization to improve the life in a community.

The terms of citizens’ engagement for them is used with the same meaning as participation. Within the study, it is mentioned that both top-down and bottom-up approaches are neither opposed nor mutually exclusive. The engagement processes are in circular motion, where citizens can initiate their political wills either through representative mechanisms (e.g. voting) or directly participating. (**Annex Figure 1**) [18]

Kim Andersen, while researching the political media use, differentiates the political engagement and political participation. For him, political engagement entails individual motivations, abilities, and attitudes that reflect citizens' involvement with politics. He suggests looking at the political engagement within three dimensions – political interest (citizen's level of curiosity towards the politics), political knowledge (pieces of knowledge on the political systems and current political affairs), and political efficacy (citizen's perception to understand the politics as well as participate in it, and the feeling of the citizen's impact to change the course of politics). Political participation, on the other hand, is referred to the desires and activities of citizens to affect the government actions directly by making the public policies and indirectly by influencing the people who make policies. [19]

O. Serhienko and O. Vatamaniyk do not separate the terms "citizen participation" and "citizen involvement," stating that participation is a system of action, methods, and instruments of citizens involvement in defining and solving the local community problems. The process of citizen participation can be divided depending on the level of public influence on decision-making: delegation, joint implementation, joint decision-making, consultations, and public authorities' informing citizens about their decisions. [20]

Similarly, the paper on the citizens engagement in public service deliveries provided by the UNDP Global Center for Public Service Excellence use terms “*engagement*”, “*participation*” and “*engagement*” interchangeably as not to describe the differences of impact that these various forms of engagement produce. The citizens engagement is initiated by the citizens in the public sector with public officials (or non-elected public self-employee) and political leaders to resolve specific community issues. Apart from that, it can be exercised in different forms and types namely:

- individual and collective action forms;
- through different mechanism, such as public consultations, social audits, community scorecards and others;

- emerged organically by the social movement or induced by the state officials;
- depending on the socio-political context and stakeholders' objectives it can be constructive, confrontational or disruptive;
- spontaneous, formal and informal;
- can be held with the help of professional mediators or without them;
- local, regional and national levels of governance. [21]

In the research area, M. Tarpey points out that the terms '*involvement*', '*engagement*,' and '*participation*' are often linked, but can also have a different meaning. Involvement consists of the member being actively involved in the research process, for example, undertaking the interviews with research participants. Participation is referred to people taking part in a research study, and an example can be completing the questionnaire or participation in a focus group. Engagement is an activity to provide people with knowledge and information on the research, such as media usage or open science festivals with debates and discussion. [22]

R. Rich, M. Edelstein, W.K. Hallman, and A.H. Wandersmann link the citizen's participation with empowerment, stating that it makes communities initiate efforts in improving the quality of life in the community, respond to the threads and provide opportunities for citizens. Scholars stated that it has two forms: grass-roots participation, which describes the activity of organizations and social movements by citizens; and government-mandated (or formal) participation that centers the idea of creating opportunities for citizens to be involved in policy decision-making. [23]

T. Lando suggests that in order for citizens participation to be effective, it has to have three main aspects:

1 – the public has to be a dominant force in policy-making, its decisions should be taken based primarily on the social values and beliefs, rather than merely informing the public of problems, policy alternatives and asking for opinion;

2 – having the ability to affect government decision-making makes public more proactive in participation;

3 – government should focus on participation, meaning establishing the legal framework and organizational process rather than concentrating on the solutions, which come from it. [24]

A. Michels and L. de Graaf, by case-studying two Dutch cities, concluded that citizens' initial role in the policy-making process is to provide the information to the local government, which then makes an according decision. Still, it has a positive effect on democracy by engaging citizens in public matters and feeling more responsible for the taken decisions, promoting inclusion by encouraging people to listen to other opinions and thus promoting mutual understanding and contributing to greater legitimacy of decisions. However, participation can also have a downside aspects. First of all, it cannot reach all certain groups within the community, which could lower public trust in the government, and secondly, citizens' expectations are not always satisfied by the public governments, leading citizens to give up participation. [25]

V. Tertychka points out that citizens involvement in the strategic management poses strong positive effects of increasing the legitimacy of government, build the process of their interaction with citizens on the principles of dialogue and partnership and consequently make the citizens realize that they are being part of the real decision-making process. The following elements are required for the constructive engagement in the strategic management: citizens' awareness of their rights, opportunities and forms of participation; citizens initiative and willingness for changes; citizen's awareness of the forms and methods of activity; the existence of past cooperative experience both within public associations and with government agencies; public confidence in the effectiveness of its impact on strategic management; readiness for dialogue between representatives of the authorities and the public; expert-advisory support of cooperation between the government and the public. [26]



## **1.2. Use of participatory budgeting usage for citizens involvement while determining the priorities of democratization**

The concept of participatory budget is defined variously by scholars. However, initially participatory budgets can be seen as a form of citizen's participation, in which citizens take part in decision-making process of allocating the local budget.

Participatory budget is the important instrument in the local governance procedures, as it helps identify the democratization priorities, particularly in field of local budget allocation. H. Riabtsev defines democratization as the process of gradual establishment of the democracy's principles, and development of a democratic system. The political system in this process is changed, as the political right of citizens and institutionalization of pluralism are being recognized and consolidated. [27]

J. Fazlagić define the participatory budget as a separate part of the self-government budget, which serves to better use the innovative potential of residents and involve them in the development of self-government. However, he also points out that in many ways it can be seen as a process of local residents to co-decide the separate part of the total budget of the local government. [28]

Voznkyak and Pelekhatyy look at participatory budget from fiscal policy perspective and define it as a financial plan for common management, which is realized by citizens and local governments. It also enables the local community residents to recommend the local governments on the cost structure to take into consideration the specific problems of the area of sphere to adopt its solutions in the local budgets. [29]

O'Hagan, MacRae, Hill O'Connor and Teedon point out on various definition of the concept of participatory budget proposed by scholars. Some notable mentions are: part of the democratic renewal concept and/or 'mean of redistributing wealth'; enhancement of government, citizens' empowerment and the power of the democracy to improve the poor's wellbeing, disruptive intervention or technology designed for participation of citizens in the decision making process of budget allocation and in the monitoring of public spending. [30]

O. Baluieva pinpoints to look on participative budget as not on the money allocation from the municipal budget, but rather a platform for communication between residents and the local governments and among themselves, “...*which will allow to talk more about the development of their street, neighborhood, city, community, find common ground, take responsibility for the quality of their lives.*» [31]

The idea to extend the democracy in allocating local budget money by the citizens derived in Brazil during the mid-1980's. Many governments, social societies and parties have tried to establish the ideas and principles of democratic practices, as during that period the corruption levels and social exclusion still existed after the fall of Brazilian military dictatorship of 1964-1984. The first practice of participatory budget began in 1989 in the city of Porto-Alegre, which by that time had over one million inhabitants. During that time the campaign of the dominant Worker's Party in the city council followed the idea of democratic participation and the “inversion of spending priorities”. The new form of budget allocation was based around the concept of providing the poorer citizens and neighbourhoods a voice in allocating the budget, as a rather conservative form of middle and upper class neighbourhoods. With the years the number of Porto-Alegre residents participating in the experimental form of budget allocation grew rapidly and the process took over another municipalities of Brazil.

Porto Alegre's participatory budget was based on the detailed parameters:

- territorial format (neighborhoods and districts) and thematic format (meetings dealing with youth, culture, etc. in accordance with the main topics of the municipal administration);
- holding public meetings with the participation of the mayor, preceded by a phase of intensive preparatory autonomous micro-meetings and discussions at the district level in order to determine the priorities, needs and expectations of the population;
- the structure consists of three levels: the level of the neighborhood (mostly informal), district and city level;

- clear rules of formation, which are developed and modified within the process of civic participation in budgeting;

- fair allocation of resources with a focus on the least well-off neighborhoods, taking into account the formal criteria according to which these resources should be allocated;

- focus on budgetary investment;

- advisory model. [32]

Since then, participatory budget become more popular as governments and communities worldwide started to implement it in other countries of South and North America, Europe, Asia, Africa and Australia. [33] As the practice shows, there are no strict criteria of the cities' location, its size or level of urbanization for participatory budget can be implemented. Usually the participatory budgets are organized on the municipal levels, however there are also practices of it being implemented on the sub-national (province, region, department, state, etc.) and supra-municipal level. [p.22, 34]

The participatory budget can be used to satisfy the various needs and goals. Williams, Denny, Bristow stress for which objectives the participatory budget as an instrument can be used. It can seek to meet the goals of:

- changing the relationships of governments and citizens;
- engaging the disempowered and distrusted citizens;
- boosting the 'buy-in' for budgetary decisions;
- improving the quality and effectiveness of the budget allocation in a specific area or community. [35]

The participatory budget in the public governance is implemented within the budgeting process. The mechanism is part of it, as it is pre-established by the government authorities that manage the budget process, the formation, distribution, use, control and analysis of budgetary resources. The implementation of the

participatory budget is carried out at the expense of local or state budgets, in funds allocated for the implementation of programs and activities provided for in the relevant budget. [36]

S. Yehorycheva points out the why participatory budgeting is unique and has some specifics compared to traditional budgeting and other forms of participatory democracies:

- The discussion of financial/budgetary processes exists directly with the public. As such, other forms of participation may also concern financial issues (in particular, participation in urban planning), but the participatory budgeting deals with limited resources and has a central question of a specification to allocate the budget funds.
- The level of the city or district with the elected body and its certain powers regarding management and resources is involved. Thus, only participatory processes that coincide in scale with the activities of elected bodies of representative democracy are considered.
- The process is repeated over many years. An example of participation as a unique event - one meeting, one referendum on financial issues - cannot be considered participatory budgeting.
- Participatory budgeting is based on a specific form of public discussion. From this point of view, inviting citizens to discuss budgeting issues in local councils and parliaments or conducting a survey on budgeting issues when citizens are left without mutual contacts is not considered as participatory budgeting.
- Accountability is required for the budgeting result to reflect public will. Usually, it happens through annual meetings or publications, where the organizers provide information on the implementation of the proposed projects. [37]

The procedure of participatory budgeting varies from country to country since governments can have a different legal or organizational background, as well as policy-decision mechanism.

The models of participatory budget can take on various forms, in some of which citizens do not own the power of decision-making ability and are rather consulting the governments. Polko identified 6 models of participatory budget in European cities:

1) Porto Alegre type – individual citizens are proposing the concrete investments and projects to implement from municipal budget based on the provided detailed suggestions and clarification of important matters. Local government are then obliged to implement projects selected by the citizens.

2) Participation of organized interests – the social representatives, such as associations or NGOs, following the broad political guidelines and vote for the municipal budget money allocation based on the good-quality deliberation. The decision then is taken by local governments in an informal discussion.

3) Community funds at local and city level - The committee of delegates from citizen representatives decide upon the rules of the community fund with no involvement of the business stakeholders. The fund is formed independently from the municipal budget and the participants implement the projects themselves.

4) The public/private negotiating table – the model shares the same principles of the community funds model, however, with inclusion of the private sponsors funds.

5) Proximity participation – individual citizens or randomly selected participants discuss the proposals for the neighborhoods or city budget level. The discussions are summarized by and the final decision of the budget allocation are taken by the local government, rather than the citizens themselves.

6) Consultation on public finances – individual citizens propose the ideas of budget deficit allocation with no direct mentioning of the social problem in the forms of questionnaires or public meetings. The final decision is taken by the local government. [38]

Most scholars point out on the positive contribution of the participatory budget for the governance democratization. Y. Cabannes and Lipietz worked out the typology of the participatory budget based on its contribution to the democratic governance. They state that participatory budget can be used as a tool of:

- a) Managerial/technocratic nature – to improve and optimize the mobility of public resources and service delivery for the governments;
- b) Good governance – as the process implies the communication between citizens and governments, it is thus improves the links and social ties, basing the decision making process on the social needs and strengthening the vertical and horizontal governance.
- c) Political – since the process is initiated by the citizens in a bottom-up model, it is thus establishing the new polity – participatory democracy, which makes citizens turn to in case the failure of traditional representative democracy. [39]

Furthermore, they point out the major effects of deepening the decentralization process (the budgetary decision-making process is brought closer to the people), state's development towards the good governance principles (the participation is broadened, the response of the public funds use is more effective and transparent), reverting the citizens priorities to the previously established ones (e.g. citizens, who don't own the budgetary power now can make decisions on budget (political context); the neighborhoods, which were omitted in terms of investments, are now being in the center of the upcoming investments (territorial context)).

Sintomer while studying the models of participatory budget in Europe singled out the positive effects of participatory budget in governance. The European cities, who successfully implemented the participatory budget, as a result received the enhancement of public services and their deliveries, improved communication and collaboration between local governments and strengthened the demand for improved transparency. Apart from that there were seen the improvements of the political culture, as well as competences of the participants. [40]

It is important to point out that participatory budget is seen as a part of the e-democracy, as nowadays, most forms of participatory budget are exercised exclusively online or in a hybrid form (in present discussion procedure with the help of online voting platform).

However, it does not generally mean, that online form is far more accessible to each civic society groups compared to paper forms. The study conducted by S. Lim and Y. Oh to compare the online and offline forms of participatory budget in South Korea, showed that offline participation channels were considered more effective than online. The reason for that was the high levels of deliberativeness, as participants were more likely to reason with each other's directly in engagement, as well as higher representativeness in inclusion of the more diverse groups representing their issues to discussions. [41]

### **1.3. Implementation mechanism of citizens' participation in budgeting: case of Kyiv city**

The first practices of implementing a participatory budget in Ukraine began in 2015 with the three cities: Chernihiv, Cherkasy, and Poltava. As of 2018, the participatory budget operated in more than 85 cities, including all regional centers except Kherson. [42] Among other cities, Kyiv has the highest number of residents and the amount of participatory budget.

In Kyiv participatory budget is being implemented since 2016. In September 2016, the Kyiv City State Administration started preparing a pilot implementation of the participation budget. It had approved to allocate 50 million UAH for the pilot implementation (up to UAH 1 million for one project). After that, the three public workshops, which were organized together by the representatives of Kyiv Smart City, the Center for Innovations Development, and the Kyiv City State Administration. On the 22 of December 2016, the Regulation on the participatory budget of the city of Kyiv (hereinafter – Regulation) was approved by the decision of the Kyiv City Council No. 787/791. [43] The first voting process by the name of Participatory Budget-2017 took place on the 27 of December 2016.

The realization of the participatory budget in Kyiv was also accomplished in correspondence with the Concept of e-democracy development in Ukraine approved by the decision of The Cabinet of Ministers of Ukraine No. 797-p of the 8 of November, 2017. [44] The aim of the Concept, among other goals, is to achieve the political, organizational, technological, and ideological conditions for the development of e-democracy by “strengthening the level of people’s involvement, citizens’ in the processes of managing the affairs of the state and society”. The Concept also provides the legal definition of the participatory budget. Accordingly, it is a mechanism of interaction of local governments with the public and aims to involve citizens in the budget process through direct democracy. The Concept also mentions the importance



of increasing the level of e-democracy tools use at the local level through the widespread use of the participatory budgeting instrument.

Therefore, the big emphasis on the participatory budget in Kyiv is placed on it as an e-democracy tool. It operates on the online platform "Hromadskyi Project". [45] The technological NGO SocialBoost developed the platform in 2016 to help Ukrainian cities automate participatory budgeting processes with USAID backup. The official website of the electronic system is [www.gb.kyivcity.gov.ua](http://www.gb.kyivcity.gov.ua). [46] The electronic system was created and developed based on the open-source policy ("open source"). For its technical and operational execution, the Department of Information and Communication technologies is being responsible. The system offers its users a 'friendly' interface with a lightweight design, easy navigation, and various filters by project category, status, tags, budget, and districts. On the other hand, local government can choose their domain name, web solution with no need to own hosting, e-mail newsletter management, distribution of the budget, set preferable settings, including stages timing, ID instruments, project categories, voting restriction, and other options.

Additionally, to make the process transparent and accessible to the public the platform provides a detailed analysis tool to study the participatory budget. Here the local governments can track the IP addresses and the action taken by the administrators. If the platform fails to respond, there is an option to submit the votes in paper form into the system. The platform also provides the aggregated statistics and data about the proposed and submitted projects, their budget amount, and some details concerning the participants (particularly, sex and age) for the citizens and all other users.

To take part in the participatory budget, the citizens must firstly create an account. To accomplish it, they have to authorize through the Kyiv ID. It can be done in one of the following ways: digital signature, PrivatBankID, NBUBankID, Mobile ID – Kyivstar, Mobile ID – Vodafone.

One aspect, which SocialBoost emphasizes on the "Hromadskyi Project" platform is its engagement mechanics for the citizens and project authors. After

creating their account, citizens have an option to personalize their profile by tying it with the social media account, particularly Facebook. After that, project authors can share their project on their own Facebook account. Besides, to make the attraction votes accessible during their project promo campaign, the brand book and info materials are provided.

The online system also provides the function for the participants to create a team. It can be done in order to prepare and submit a project, involve other citizens, partners, develop cooperation with other actors, promote their projects, and monitor their implementation. Teams must have their own names, which reflect the theme of the submitted projects. Apart from that, team participants have the ability to involve partners in supporting their projects. Those can be individual and legal entities, and teams must provide a latter guarantee from the partners, where the forms and scope of support are indicated. There are limitations to who can be part of the teams, mainly the Participatory Budget Commission representatives, local governments responsible for the participatory budget implementation, persons deemed dishonest, and/or have a potential conflict of interests.

The body responsible for preparation and organization of the participatory budgeting at all its stages in Kyiv is the City Working Groups. It is established by the Kyiv City State Administration and district administrations in the quantitative composition necessary to ensure the implementation of the tasks assigned to these working groups. The body is also responsible for the approval of information that is placed in the electronic system and / or sent to users of the electronic system; exercising control over the information content of the electronic system and officially informing its users; exercising control over the responsible structural units at the stages of examination of projects and implementation of winning projects by analyzing reports; coordination of planning and conducting an information and educational campaign.

A big part of supporting the participatory budgeting is entitled to the Participatory Budget Commission. The body consists of 21 members chosen each year

among the winning project authors by competition with random number generator usage. By applying through the international internet resource random.org, the first chosen 21 names are then become a member of the Participatory Budget Commission. According to the Regulation, the body is responsible for organizing the project's public discussion, examining the disputable situations, deciding on accepting the project on voting, approve the voting results, publicly control over the Regulation implementation, and providing the recommendation to the mayor. The body

In order to avoid a potential conflict of interest, members of the Teams whose projects are implemented or submitted for participation in the GB in the respective year may not be included in the CBA and / or RWG.

Since the beginning of the participatory budget, there were five participatory budget campaigns carried out. According to article 4 of the Regulation, the implementation of the participatory budget is conducted with the following stages:

- 1) approval of Parameters, which set out the basic organization specifications of participatory budgeting (calendar plan, topic of the project implementation, prioritized project categories, the maximum duration of the project, the minimal and maximal cost of the project, the limitation of number of votes and other specifications);
- 2) formation of the Participatory Budget Commission;
- 3) formation of personnel of city and district working groups on participatory budgeting;
- 4) approval by the Head manager of the budget funds of the person (persons) responsible for work in the electronic system;
- 5) conducting an informational and educational campaign;
- 6) formation of teams and search of partners, preparation of projects;
- 7) submission, publication of projects, collection of votes of support;

8) public discussion, examination, revision of previous projects, the appeal of expert opinions, formation of the list of projects for voting;

9) voting for projects, determining the winning projects, and processing projects that did not become winners;

10) planning the implementation of PB projects;

11) implementation, reporting, and evaluation of the results.

The Regulation also sets out the legal boundaries, which participants are bound to follow. As such, participants must refrain from doing the following actions:

1) provide citizens who have voted for participatory projects with an undue advantage for doing or not doing anything related to the direct exercise of their right to vote;

2) demand from citizens who voted for projects a piece of information on which project they have voted for, in particular, not to demand pictures of the contents of the screen of a computer monitor or other electronic device;

3) publicly discredit participatory budget participants;

4) allow actual conflicts of interest;

5) indulge public conflicts within the Team;

6) violate the provisions of the Regulations and Ukrainian legislation;

7) provide unreliable information.

The Regulation also puts legal barriers on who can participate. As a general rule, all residents, whether citizens or not, can submit their projects. The right to vote for the project has all residents higher than 16 years old and are in a total legal capacity.

In the first 5 campaigns Kyiv citizens had five votes to give to their desired projects with no limitation concerning its category. In 2021 the voting system was changed, as citizens received 10 number of votes overall with the limitation of one vote per project category.

With the aim of not allowing the influence of the political parties, Regulation put additional limitations on them. As such, political parties, parliamentary factions and groups of the Kyiv City Council, deputies of the Kyiv City Council, the Verkhovna Rada deputies, and assistants-consultants of deputies should not use the participatory budget for their political purposes and political advertising. Despite this, they can participate by supporting the teams or personally being members of the teams. As such, they are obliged to inform the Participatory Budget Commission about their desire to act as a member of the Teams or a Team leader, or to support a specific project (s), types and amounts of support that they intend to provide (provide) to the Teams (expert-consulting, organizational, informational, financial, etc.); criteria for the Teams and/or projects to which they are willing to assist).

In case the participants break the legal regulations, the Participatory Budget Commission has the right to apply one of the following sanctions with the provided argumentation:

- 1) issue a warning to the participants of the participatory budget and/or recommend taking appropriate measures;
- 2) to exclude the project from the participatory budget at any of the stages;
- 3) to add a member, the Team, its leader, individual participants, partners, and the object on which the project is implemented, in the list of dishonest.

To prevent the participant from disobeying the legal terms of the participatory budget, the integrity rating was implemented. It is calculated digitally with the points, which participants can receive by following the provided guidelines. The participants' required actions and the number of points they are able to receive for the Teams, and the project rating are provided in **Annex Table 1**.

The Teams, which received the highest rating of integrity by the end of the calendar year, are being encouraged by the Kyiv Mayor with incentive awards to symbolize their contribution to the development of the local democracy.

In case the participant is deemed dishonest and added to the according list, all the points are annulled, and the right to participate in the participatory budget is deprived within one year from the date of inclusion. Such participants, however, have a right to file an appeal, which has to be reviewed by the Participatory Budget Commission and the City Working Group on participatory budget.

One measure to promote the participatory budget that worth mentioning is the Kyiv Participatory Budgeting School. It is a voluntary project with a set of lectures on participatory budgeting organized by the Team leaders. The main goal is to educate citizens on the successful participatory budget project realization through its different stages and achieve basic project management skills.

## **Chapter 1 conclusions**

Based on the theoretical and methodological research on the participatory budget we can conclude the following.

1. The terms “citizen participation” and “citizens engagement” are defined differently by the scholar, which indicates the versatile concept and the lack of unified approach to its interpretation. Often the terms of engagement and participation are used by scholar with the synonymic meaning.

2. The citizens participation can be explained as a process of involving individuals into a policy-development directly by creating the policy or indirectly by influencing the policy administrators. It is also defined as a bottom-up model, in which the initiation comes from the grass-root level in formulating the community needs, problems and propose solutions before the political decision is taken. The participation is linked with citizens empowerment in their right to governance.

3. Citizens engagement as a concept similarly to citizens participation explains the process of citizens involvement into a policy-development. It can be also seen as a top-down model with the government-mandated nature of creating the instruments for the citizens to be involved in the policy decision-making process before taking the political decision.

4. Participatory budgeting is defined differently by the scholars, and can be explained as a citizen participatory and engagement mechanism to allocate the budgetary money; a fiscal plan which citizens present with the specific problematic area to the government; a platform of communication between residents and local governments to discuss the issues in the area.

5. Since the first practical implementation of participatory budgeting in the city of Porto-Alegre in 1989, as a democratic form of local budget allocation for the poorer residential class, its meaning was broadened, and various models have appeared. Similarly, depending on its initial role of citizens, participatory budgeting is used as a

mechanism of full citizens involvement in the budgetary allocation decision-making process, or a rather consultive instrument, where citizens express their ideas and concerns for the local government to take the final decision in budget allocation.

6. The use of participatory budgeting in the governance contributes in determining the democratization priorities, since it improves the budgetary allocation process, introduces new ways of communication between citizens and governments, and empowers citizens to act in participatory democracy.

7. The Kyiv model is similar to the Porto-Alegre type, since citizens propose their ideas investment project of municipal budget allocation, which local government then implements. It operates as an e-democracy instruments exclusively, as citizens use the online platform to receive the information on participatory budget, unite with each other in Teams, submit the proposed projects, discuss them with other users through social media account, vote and analyze the campaign results.

8. The Participatory Budget Commission is a body consisted of participatory budget authors, that acts as a facilitator and moderator of the process, as it follows the rules compliance and the activity of participants. The City Working Group is executive body responsible for organization of participatory budgeting mechanism.

9. Influence of political parties is limited; however, by the legal regulations they can participate.

10. Within the participatory budgeting mechanism in Kyiv the integrity rating is used to determine the ethical behavior of the participants.



## **CHAPTER 2. ANALYSIS OF THE IMPLEMENTATION OF THE KYIV PARTICIPATORY BUDGET DURING 2016-2020**

### **2.1. Analysis of the citizens' activity in participatory budgeting and engagement of citizens**

Before conducting the analysis on the citizens' activity and engagement level, the hypothesis on the participatory budget implementation and civil society activity within the participatory budget should be formulated. We hypothesize that:

- Increasing participatory budget activates the citizens' participation and engagement;
- Citizens unite in communities to participate in the participatory budget;
- The citizen's activity within the participatory budget is low;
- Citizens use the participatory budget primarily to promote educational projects;
- The citizens using the participatory budget can be grouped based on their community interests.

To test the assumed hypothesis, the conducted analysis on the citizen's participation and engagement in the participatory budget of Kyiv will be focused on the two aspects. The first is the general quantitative analysis of the participatory budget campaigns in Kyiv. In these regards, we will be delving into the local municipal government's participatory budget allocation throughout the 2016-2020 years and how citizen engagement in the participatory budget process for the project authors and its voters changed.

The second part will focus on the citizens and the initiatives more specifically. The object to examine here will be to determine the Kyiv participatory budgeting's visible leading active participants.

At first, we shall take a look at the budget funding of the Kyiv participatory budget. The data on allocated participatory budget fund can be found in **Annex Table 2**. As mentioned in the previous section, the first voting and the project submission were in 2016; however, its realization by the local responsible local government departments followed the following year.

The budget funding increased annually throughout the years. In the first participatory budget campaign, the Kyiv City Council approved to allocate 50 million UAH, out of which the maximum for a single participant's project budget was expected to be up to 1 million UAH.

In the following 2017 and 2018 year, the Kyiv City Council decided to triple the participatory budget amount up to 150 million UAH. In the subsequent 2019 and 2020 years, the total sum of the won projects was additionally increased. From 2016 till 2021, there was a significant increase by four times totally in the budget allocated for the participatory budget. [47]

Additionally, to categorize the projects, there was a decision to divide all the submitted projects by small and big based on their budget size. In the upcoming years, it is expected that the amount will be considerably increased. In December 2020, the Kyiv City Council approved the Participatory Budget parameters in terms of funding for the next two years. Therefore, the costs of implementing the ideas of Kyiv in 2022 and 2023 will amount to 200 million and 220 million UAH, respectively. [48]

One of the reasons for allocating more amounts for the implementation of participatory budget projects is its dependence on the total expenditure of the city budget. Using the online portal Open Budget we can analyze how the Kyiv municipal budget and its expenditures changed since the launch of participatory budget in 2016. [49] In 2017, budget expenditures amounted to 38 billion, and the share of allocations for the implementation of participatory budget projects was 0.13%. In the following 2018 year, the city budget was replenished by UAH 10 billion more (UAH 49 billion

in total), which led to an increase in the possibility of financing more participatory budget projects. The allocated share also increased almost twice, up to 0.30%. The share remained at the same level in the upcoming years, fluctuating between 0.26-0.29%.

The analyzed data provide the information that the Kyiv municipality's total expenditures directly affect the amount of budget that local governments can allocate for the implementation of projects submitted by the city residents. Simultaneously, the share of funds pledged to the participatory budget from the general municipal budget did not exceed 0,5 %.

One of the reasons for the gradual budget increase can be attributed to the initial raising initiatives. The funding for civic initiatives within the participatory budget is constantly growing, as Kyiv residents submit more projects every year. In the first year, about 500 ideas were registered, and almost 1,700 were submitted to PB-2021.

The number of Kyiv citizens who participated in the participatory budget also changed every year. The analyzed data on how many citizens were engaged to the participatory budgeting can be found in **Annex Table 3**.

In 2016, the number of authors who submitted at least one project was 378 people. With the increase in the budget in 2017, 534 authors were registered, which indicates an increase in the interest among residents to submit their ideas through the participatory budget.

In 2018, however, the number of authors decreased to 486 people, which tells us about the reduction citizens' interest this year. One of the reasons for the decline in interest may be a certain distrust of the participatory budget due to the small number of implemented projects during this period. Thus, out of 141 projects of the winners in 2017, at the time of project submission in 2018, only 37 projects were implemented.

Nevertheless, in 2019 and 2020, the number of project authors has almost doubled to 805 and 846 people, which indicates a return of interest in the topic of participation in municipal city allocation.

The number of citizens who voted for the projects also changed. Thus, in 2016, 50,000 residents voted for their desired participation budget projects, which was only 1.7% of the total registered Kyiv city population.

With the increase in allocated funds for the participatory budget in 2017, almost three times more locals voted than in the previous year. This may tell us about the increased interest in the new instrument of public participation. Starting in 2018, the number of residents who voted for the projects has increased by about 1.5 percent each year. In 2020, 207,000 Kyiv residents voted, which is 7 percent of the total population.

These data tell us that, in general, there is a positive trend among Kyiv residents to vote for projects every year. The reason to explain it is that residents have become more acquainted of the of the participatory budget, as the local governments have implemented more projects submitted by the residents. Since its establishment in 2018, Kyiv Participatory Budgeting School has also positively impacted the dissemination of knowledge about the participatory budget among Kyiv citizens. The authors of the projects themselves appeal to residents to vote for their submitted ideas during the voting campaign, thus spreading knowledge about the participatory budget. In other words, in the period from 2016-2020, the urban civic population became more active and involved in the decision-making process with the participatory budget.

Additionally, Kyiv has the largest total number of votes for participatory budget projects among other cities in Ukraine, which enforces the statement of rising citizens engagement in the capital city. [51]

Simultaneously, less than 10% of the Kyiv population took part in the voting for the projects. It may tell us about the still uncommon knowledge about the participatory

budget instrument and inevitable dominance of political passivity among the entire Kyiv population.

Another reason for low turnout can be seen in the technical problems that occurred during the voting. These include, in particular, the inability to access the user's account due to the low performance of the site. For example, during the user registration process, there were occurrences when the system did not accept addresses with fractional numbers or new passport numbers. Another problem was that users could not enter their account via BankID or Digital Key and vote for the desired projects. In 2020, for this reason, the Department of Information and Communication Technologies allowed extending voting by 24 hours more. [52]

The system developers and support service tried to meet all the challenges and allow citizens to choose other voting methods. For example, projects could be voted on a smartphone through the Kyiv Smart City application. It was also possible to vote for GB projects in Privatbank terminals and e-democracy chatbots created by PrivatBank. The VoteForCityBot bot was also created for the Viber and Telegram social networks to improve the voting process for participation budget projects and promote this process. Nevertheless, such failures in the electronic system could push residents to vote for projects and negatively affect citizen involvement.

Additionally, for the residents to get aware of the participatory budget in Kyiv the communication campaign followed. The Department of Social Communications of Kyiv City State Administration was responsible for conducting a communication and information campaign for 2016-2020 years period. In 2018 Department issued the Informational strategy for the upcoming Participatory budget-2019. [53]

The provided document outlined the objectives of the information company, its stages, proposed measures to attract the attention of various target audiences and advertising campaign. In particular, the following goals were set: 230 thousand citizens

would vote, 1 million would learn about the participatory budget, 4.1 projects would be selected per Kyiv resident.

The information campaign was scheduled to begin two weeks prior to the start of the voting phase, in particular through the following communication methods:

- publications in local mass media, broadcasts, round tables, press conferences;
- outdoor and 3D advertisements: advertising at public transport stops, boards, metro lights, on 3D displays of shopping malls;
- advertising on social networks: targeted advertising for Kyiv residents on Facebook and publication of videos on the YouTube channel;
- district festivals: in each district of Kyiv on different days in the most visited places and squares of the districts were set locations for voting, interactive information about projects, workshops with performances by creative teams with day and evening programs;
- organized flash mobs: on the day of the beginning of voting near the Kyiv City Council the flag of the participatory budget was raised, and also there was a race of authors and teams of projects on the central street of Kyiv;
- festival: the thematic festival was held on the weekend on the central Khreshchatyk street in front of the Kyiv City Council and included the main stage with performances of authors and artists, interactive locations about projects, master classes performances by creative teams, photo exhibition of realized projects;
- organized car run: up to 30 cars creatively designed in the symbols of the participatory budget had to travel a certain route around the city.

The information campaign had an insignificant impact on the level of local residents involvement, as in 2018 only 0.77% more people voted for the desired projects than in 2017. At the same time, it can be seen that the general trend in the number of votes at a similar rate increased every year until 2020.

However, it can also be observed that after the information campaign in 2019, the number of project authors increased. In other words, the information company attracted more attention from potential project authors than from the local voters who cast their ballots to whom the information company was targeted in the first place.

Nevertheless, we can see a tendency that through 2016-2020 period with the increase of the allocated funds for implementing the participatory budget, the involvement of citizens who submitted their projects and participated in the voting also increased. The Informational campaign, which followed slightly increased the awareness of the local residents, as more citizens were involved in proposing their projects, rather than voting for them.

D. Khutkyi and K. Avramenko came to a similar conclusion by examining citizens' involvement through the instrument of the participatory budget in Kyiv. [54] In particular, scholars noted that the overall institutional civic capacity has increased, new project teams have emerged, and the participatory budget has attracted socially responsible businesses. According to the Participatory Budget Commission's former member, the participatory budget process acts as a citizen school, as the projects become more innovative every year and representatives of different communities start to trust the tool more. Simultaneously, the participatory budget has become a social elevator, as about 20 authors of the participatory budget have become civil servants in local governments and the executive branch of the city of Kyiv.

## 2.2. Analysis of citizens participation: local initiatives and participants

This subsection will analyze information on who are prominent visible members of the participatory budget. Based on the gender and age of project authors and the most votable projects categories, it will be possible to find out which group of citizens is most noticeable when submitting and voting for projects to the participatory budget.

To determine who are the most active users of the participatory budget, it is necessary to separately examine the topics of projects for which projects were submitted and voted. This can be due to the hypothesis that the project topic's support can be directly related to the social groups to which citizens belong. The data on the most submitted project categories can be examined in **Annex Table 4**.

**Submitted projects.** Based on the Table, the topics of projects submitted by residents did not notably change during the 2016-2020 years. In the first campaign, most projects were submitted on sports, education, culture and tourism. Since 2017, however, the subject matter has changed, as education and civil society have become the leaders by the numbers of submitted projects. In the category of culture and tourism, significantly fewer projects were submitted compared to other categories.

It is important to note that the content of projects and their belonging to the category is written and chosen by the authors themselves. This led to the fact that a large number of projects for the described purpose were mistakenly added to another category. For example, projects related to children's education in schools sometimes fell into the category of civic society. In particular, in 2018, the largest share in the category of civic society was the projects from the EVORANK school project competition. Its authors submitted proposals to create a similar participatory budget in the schools in Kyiv. As they were concerned each school in the city of Kyiv, about 300 projects were proposed by two authors. Due to this, the category of civic society in 2018 was the leader in the number of submitted projects.



In 2019, the largest category for which Kyiv residents submitted projects was education. EVORANK projects also became the second most popular category, but most of this initiative's projects were rejected for voting by the Participatory Budget Commission. Also, people began to submit much more projects in the category of utilities. In this category, the vast majority of projects related to the improvement of residential areas, repairs in communal houses, and the arrangement of playgrounds.

In the following 2020, the Participatory Budget Commission decided to combine education and civic society categories together. This year, most projects were submitted in this category during the participatory budget campaign, as they accounted for half of the total submitted projects. In second and third place were projected in the category of youth and sports, and utilities, respectively.

**Voted projects.** The data on the project categories for which citizens voted the most can be found in **Annex Table 5**. As it can be observed, from 2016 to 2020, the projects, which gained the most extensive number of votes, were in the category of education and civil society. The vast majority of these projects concern the repairs of indoors and adjacent areas of schools and kindergartens. These include projects related to the renovation of the assembly hall, gyms, or dining rooms in schools, the purchase of various equipment for children's education, etc. Projects related to the installation of children's and sports grounds on schools and kindergartens' territory are also common. This may mean, in particular, that Kyiv residents are most concerned about the condition of the institutions where their children study and spend most of their time.

This category also includes student organization representatives' projects on the creation or re-equipment of spaces in higher education institutions, curricula, and public events to promote science and other similar initiatives. Sometimes there are also projects for music or art children's schools, but their share is comparatively small.

There is a reasonably uneven distribution among the categories of projects for which residents voted. Thus, since 2016, Kyiv residents have given the most votes for projects in the education category, and since 2019, more than half of the total number

of the votes for the participatory budget was also contributed to this category. It can be assumed that in this category, the most active are the parents of children who study in educational institutions. At the same time, they own the most numerous resource for mobilizing votes to implement projects in the future.

The second most popular category in terms of the number of votes cast is sports. This project category mainly includes projects related to the overhaul or installation of sports and children's playgrounds. Other project ideas are purchasing sports equipment for sports sections in schools, sports festivals, and competitions, primarily for children. Again, in the sports category, most of the projects were related to educational institutions, namely schools. Accordingly, the most interested category for implementing these projects is parents of children and possibly educational institutions' employees.

The third category in terms of the number of votes changed between health care in 2016, culture and tourism in 2017-2019, and utilities in 2020. However, compared to the education and sports category, a relatively small number of people voted for the projects, as they accounted for about 10% of all votes cast. This may tell us that the Kyiv residents also voted for other categories of projects, the implementation of which was essential for them to in a given year.

Thus, other categories of projects for which local citizens of Kyiv voted include environment, social protection, information technology, roads and transport, environment. The projects were primarily point-based, as they were tied to specific areas and specific topics. Some authors of these projects were often tied to the citizens' communities like citizens initiatives, NGOs, associations, etc. Also, certain projects were submitted on the residents' own initiative without being tied to a specific community.

**Project authors.** The data on distribution of Team leaders by gender can be found in **Annex Table 6**. As analyzed in the previous subsection, the number of project authors or team leaders has grown every year since 2016 till 2020. Regarding the

division of men and women, it can be identified that during the first participatory budget campaign in 2016, more projects were submitted by men than women. However, starting in 2017, projects began to be submitted more or less equally to both males and females. In 2020, the most registered team leaders were women.

The data may still not give a full transparent distribution, as, from 2019, up to 8% of people did not indicate their gender during their account registration.

The data on distribution of Team leaders by age can be found in **Annex Table 7**. As for the age group, most authors of the participatory budget belong to the middle age group - from 26 to 65 years. There is a tendency for the older age group to submit fewer projects since 2016, and therefore their involvement in the participatory budget has decreased significantly. On the other hand, during this period, the participatory budget attracted many more young people under 25.

Thus, considering the analyzed indicators by categories of project submission and voting, gender, and age of project authors, we can conclude that the topics of projects and the distribution of votes for them can identify the most prominent groups of participatory budget users. In general, the division into groups can be done as follows:

- Parents;
- Deputies;
- Students;
- Local activists;
- Neighborhood residents.

The first and the largest category of users of the participatory budget are parents whose children attend schools. It can be assumed that the conditions in which children are studying and where they spend the most time are essential to their parents. That is why this group of users actively promotes projects with relevant topics every year and quite quickly gets enough votes needed to implement the project. Simultaneously, the

administration of educational institutions themselves often agrees and helps in every possible way to obtain funding for the repair of schools and improve the surrounding area. Also known are collecting votes methods for projects by distributing them through collaborative groups on social networks and chats (the most common term is "Viber groups"). There is a positive trend in the fact that parents are most actively involved in the submission of projects and ideas, as well their desire to implement them, as they thus spread the idea of the participatory budget, involve even more people in the process, and thus exercise their right to express their local will.

On the other hand, it can be argued that the implementation of projects with significant repairs of schools distorts the idea of the primary purpose of the participatory budget instrument. In this case, the participatory budget is used to "cover" those expenditure items from the general city budget, which local authorities must finance directly. These include, in particular, programs for significant repairs of schools, kindergartens, and their territories. In other words, the city authorities are shifting their responsibilities with the choice of school repairments to citizens. [55]

In addition, for the history of the participatory budget implementation in Kyiv, there were detected practices of submitting projects from deputies from the Kyiv City Council. In particular, in 2020, the NGO "Rukh Chesno" conducted an investigation, which revealed that the Kyiv City Council deputies were directly involved in the submission of participatory budget projects for their political PR, which is a direct violation of the principle of equality. [56] Thus, it was found that deputies, in order to hide their influence and circumvent the limit of 5 projects per author, submitted their projects on behalf of their assistants or with the help of the involved third parties. One of the deputies advertised his activities in social media posts and set up tents on the street to collect votes for participatory budget projects, emphasizing his direct involvement as the deputy in these initiatives. Another Kyiv City Council member used other third parties' people to inform the resident about the collection of votes for projects, while wearing vests with the deputy's name. The involvement of the authors

of EVORANK projects in the assistants of the city deputy was also revealed. In turn, the Participatory Budget Commission withdrew 128 deputies' projects on the revealed violation grounds.

In general, it is already widespread practice for deputies, their assistants, or teams to submit projects to the participatory budget for the repair of sports grounds or educational institutions. In turn, this allows them to attract a more vast and most active audience - parents - and thus promote themselves as caring local government members.

Besides, deputies often attribute the implementation of specific public projects as their achievements. They earn political bonuses on active public relations of participatory budget projects. Furthermore, after implementing this or that improvement, they remind that these changes were made on the deputy's initiative.

Examples of project submission from student communities and organizations are also known. These projects' ideas are most often specific point changes for universities, such as creating production studios, scientific and youth festivals, the purchase of equipment for classrooms and campuses, and other similar ideas. Depending on the student community's level of interest and their awareness of the ideas in the implementation of their projects, they either gain a sufficient number of votes or not. However, the group also faces the problem of not implementing the desired projects, as universities and other higher education institutions are not subordinated to local governments but are state-owned.

Another group is the local activists, which includes citizens, which represent the public or local organizations, and initiatives. They use the participatory budget as an opportunity to fund and implement their ideas for change in established visions and activities. For example, projects related to changes in public spaces, streets, transport, and cultural activities are submitted on behalf of NGOs or initiatives. The group is heavily relies on networking, cooperation with each other and the residents. The

success of reaching the needed number of votes is depends on how much they manage to promote the citizens about the importance of their projects.

As the participatory budget attracts more and more people every year, ordinary residents with a specific community tie to their place of residents or neighborhoods also submit projects individually or on behalf of the teams. Often such projects involve either local changes in their places of residence or in public spaces they are usually spending time, such as parks or yards. The number of projects from ordinary residents is relatively small compared to others, and they usually collect a small number of votes from the locals. However, even if the project is submitted individually, it often finds support from the local residents online or in public and as such people become united around the proposals.

All social groups of authors most actively interact with each other during the project voting stage. Their goal is to popularize projects and get the maximum number of votes. K. Semonova, one of the authors of the projects and a civic activist in Kyiv identified the following well-known methods of votes campaigning: posting on social networks and publications in mass media, distribution of letters into mailboxes, organization of public promo events, communication through social networks into personal messages, organization of voting stations, direct contact with citizens, using administrative resources, exchanging votes. [57]

The most active interaction between authors and team members exists through social networks. In January 2017, members of the Participatory Budget Commission created an open group on Facebook called «Громадський бюджет Києва: СПІЛЬНО». [58] The participatory budget participants there are able to discuss their projects, ask questions, express their opinions, update information about the work of the participatory budget. The group is being moderated by the ex-members of Participatory Budget Commission. As of May 2021, the group has 12,514 members.

## Chapter 2 conclusions

Having conducted the analysis of the citizens' activity and engagement levels in the use of participatory budgeting in Kyiv for 2016-2020 years, we can conclude the following.

1. The use of participatory budgeting tool in Kyiv attracts more citizens yearly since 2016.
2. With the increased expenditures for the participatory budget, the more Citizen involvement of the participatory budget in Kyiv from 2016 to 2020 increased due to increased expenditures for the implementation of participatory budget.
3. The informational campaign of 2018 conducted by the Department of Social Communications of Kyiv City State Administration resulted in an increase of the project authors, instead of voting citizens.
4. The general level of citizen engagement from the entire population of Kyiv is relatively small, due to the problems in the implementation mechanism or overall political passivity of the citizens.
5. Citizens submit and vote more for the projects from Educational and Sport categories, and less for categories of Culture and tourism, and Utilities. In other categories, such as health care, social inclusion, roads and transport, ecology, information technology, fewer people submit their ideas.
6. The most active project authors are equally male and female aged 26 to 65 years. The youngest age group (16-25 years old) have begun actively submitting their projects, while the elder group (65+ years old) – less.
7. In accordance with the project's topics and the interests of the communities authors represent, it is possible to divide them into the following groups:
  - Parents;
  - Deputies;
  - Students;
  - Local activists;

- Neighborhood residents.

8. Each group has a different resource, uses different methods to promote its project, but they all are mostly interested in getting as many votes as possible. This leads to higher uneven competition and consequently confrontation between groups of authors, in particular regarding parents and deputies groups, as they have opportunity to use administrative resources and therefore receive the required number of project votes faster and easier.



## **CHAPTER 3. WAYS TO IMPROVE THE SYSTEM OF CITIZENS PARTICIPATION AND ENGAGEMENT IN THE KYIV PARTICIPATORY BUDGETING**

### **3.1. Identification of challenges in citizens participation and engagement mechanisms in the Kyiv participatory budgeting**

After having conducted data analysis on the participation and involvement of citizens in the participatory budget of Kyiv, we can conclude that the level of involvement does increase yearly, as it attracts more civil society representatives. At the same time, during the stages of project formation, submission, voting and implementation, participants and authors of projects encounter problems related to the model of participation and the model of involvement.

As such one problem in the process of implementing the mechanism of the participatory budget in Kyiv, which affects the quality and number of citizen involvement, is the lack of access to the price of goods and services provided by the municipality. This problem is faced by the authors of the projects when forming the calculation of the project budget. Thus, in many cases, information on budget expenditures allocated from the local budget for the implementation of local projects, such as the cost of equipment, its required quantity, the price of its installation, is mostly inaccessible to citizens and its search requires additional efforts. This creates significant difficulties for project authors, as many authors are provided with no exact sources to take information to calculate their project budget. In addition, it also affects the quality of the projects submitted and conducted by the examination.

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At the stage of project formation, it is also possible to single out the problem of determining the territory owners where its realization is planned. Thus, the procedure for obtaining information about the property owners is complicated, and project authors often also do not know from which sources to obtain information about who owns the territory. This is an important aspect for the reasons that participatory budget projects can be implemented on the municipal land. The difficulty lies in the fact that the authors of the projects have an additional task with defining and choosing the land area that is municipal and does not belong to private or state property.

In general, the available information about the landowners is accessible through the State Land Cadastre or the information-analytical system "Майно" (eng. Property) [59]. There are additional technical complications with the system itself, as it may often work with technical failures, the true information is not displayed, or it is absent. At the same time, ordinary residents are not sufficiently aware and informed about the existence of such systems and ways to determine the property owners. This, in turn, also causes difficulties in the formation of project, as citizens may mistakenly indicate the inappropriate land. In particular, a group of neighborhood project authors, representatives of civic initiatives and student groups face this problem. In addition to the fact that they are obliged to determine the landowners, and often at the stage of examination, the projects receive negative conclusions, because the territory of their implementation does not belong to the communal property. For example, projects initiated by student communities for the development of buildings and higher education institutions are impossible to implement because many of them are state-owned.

In addition, difficulties also arise when the project of participatory budget participants requires additional infrastructural efforts on the part of the city authorities in its implementation. In such cases, the governmental body gives a negative expertise conclusion based on the impossibility of implementing such projects within 12 months, violation of State Construction Standards or other standards.

One of the most significant problem with the existence of the participatory budget in Kyiv, which also has an impact on the level of citizens engagement, is ideologically incorrect usage of participatory budget by the citizens and municipality.

Initially, the participatory budget mechanism is used to democratize the system of local governance and implement the principle of transparency in relations between residents and authorities, allowing city residents to democratically allocate the local budget.

In practice, the tool is often used for additional finance projects for the implementation of which funds are directed from the local budget through targeted programs. This can be seen most from the content of projects submitted by locals in the category of education. A large number of them aim to implement the basic technical and communal needs in educational institutions which should be funded directly from the municipal budget. For example, many projects propose repairment of the school rooms, such as gyms, dining rooms, wardrobes, classrooms. The practice of purchasing and installing plastic windows, insulation of facades, purchasing furniture and technical equipment is also widespread.

It should also be noted here that a big percentage of the Kyiv city municipal budget is used to finance the education sector particularly. For example, in 2020, 21.7 billion UAH were invested in the development of the education sector, which was almost a third part of the city (37%). **[60]**

With the provided information it can be assumed that the education sector does not receive sufficient funding despite a significant share of expenditures from the Kyiv

city municipal budget. This may explain the reason for the emergence of a large number of projects related to technical and communal repairs in educational institutions. The participatory budget is then used to cover the financing of such works as repairs and maintenance of the school's interiors, as they are underfunded according to the program classification of expenditures from the city budget.

Another assumption is that the field of education for local residents is a priority in the city development and they are interested in increasing the level of educational infrastructure and updating it in accordance with the requirements of the time. The budget then becomes a real reflection of which areas are a priority for local residents in city policy.

However, in the second section, it was analyzed that it is educational projects that receive the biggest amounts of votes and support from local residents due to the available resource potential and the rapid dissemination of information in this regard. On the part of other project authors, this causes some confrontation, as it becomes much more difficult for them to compete for votes campaigning.

Confrontation also exists among the project authors towards the existence and promotion of the projects from the deputy groups. As it was determined, some deputies of the Kyiv City Council interfere in the participatory budget and submit projects for political advertising of their candidacy, which is a violation of the Regulations and the main principles of the citizens participation in participatory budget.

Another problem that affects the level of citizens involvement is the relatively small share of the local budget, which affects the implementation of the participatory budget. The analysis determined that in 2016-2020 the share of the local budget was around 0.3%. Although the corresponding amount of money is the largest of all cities in Ukraine, it is still small and relatively disproportionate to the number of projects offered by residents and implemented in various fields. It can also be assumed that increasing the share of the participatory budget will affect the number of people involved in the use of the tool.

In general, the level of citizens involvement in Kyiv is also influenced by the processes related to informing local residents about the participatory budget. It can be argued that the more residents are aware of the participatory budget, the more they are involved in its process. In addition, it is important to show the results of the actual implementation of projects for which residents voted. The information is disseminated by two actors: Department of Social Communications and the project authors themselves. Thus, the Department communicates and publicly disseminates information to Kyiv residents about the participatory budget at the stage of submitting and voting for projects through official web resources, social networks, mass-media and physical advertising in public places and transport. Project authors are involved in informing by organizing lectures for interested residents, in particular through the School of Participatory Budget, by publishing posts about projects on social networks to support voting for them. In addition, information is also disseminated through friends, relatives, acquaintances, who personally ask them to support the project with votes.

From the analysis of data on the authors of the projects, it can also be determined that the elder group of people, namely aged 65 and older, during the analyzed period began to be less involved in submitting their proposals. It can be assumed that the level of involvement was influenced by the fact that other age groups became more actively involved in the process. This is confirmed by the fact that in 2016, fewer people participated in the participatory budget, and therefore the percentage of the older age group was higher. The level of involvement could also be affected by ignorance of the terms of the participatory budget, problems with authorization in the system, the complicated process of navigating the website, lack of interest in participation. However, to identify the reasons more clearly, additional research on the motivation in participating in the participatory budget process among the elder age group is required.

The level of involvement may also be affected by the fact that participatory budget in Kyiv functions exclusively as an instrument of e-democracy. As such, there

are cases when the electronic platform of the participatory budget crashed during the stage of project voting. This also affected the quality of voting, as fewer residents could cast their votes for the desired projects.

Given that the participatory budget system functions exclusively online, the level of citizen involvement is also affected by the compliance of the website with web accessibility. The webpage may operate with some difficulty in its accessibility for its users. Additionally, the webpage does not provide a version for the visually impaired. To examine it the accessibility tool WAVE was used on the main web-page [61]. In particular, he showed that the site has the following errors in web accessibility:

- 9 errors in the web code - these include, in particular, images without alternative text leading to an empty link, the presence of web labels without the appropriate text,
- 79 web contrast errors - very low contrast between text and background colors.
- 18 warnings - these include, in particular, that the text in the page title may seem like a title, but it is not, the text font is too small; the presence of links pointing to the same URL. See more **Annex Figure 2**.

### **3.2. Recommendations to improve the implementation mechanism of the Kyiv participatory budgeting**

In the previous section we identified problems that affect the level of involvement of Kyiv residents in the use of the participatory budget, and accordingly, ways to address them should be proposed. The recommendations, in turn, should thus improve and optimize the mechanism of the participatory budget in Kyiv and thus increase the level of involvement and participation in the participatory budget.

At the stage of forming ideas, descriptions of projects, it is mandatory for participants to form a project budget. Many authors find that they do not have sources to find information about prices for goods and works related to the implementation of projects. The relevant administrator of such information in Kyiv is the Department of Finance of the Kyiv City State Administration, as it is responsible for coordination of the activities of participants in the budget process on budget execution, performance of other functions related to the management of local budget funds.

Accordingly, in order to optimize the project budgeting process, one solution is to open access to information on the prices of public and communal goods and services provided by the communal enterprises. Thus, in other cities of Ukraine, which have implemented participatory budget, special information directories have been created for potential authors, for example, in the city of Lviv. The participatory budget in Lviv was introduced in 2016 and it also operates on the “Hromadskyi project” online platform. On the website of the Lviv participatory budget there is a price list of typical works for potential authors. It indicates the name of standard services, works and goods according to the project category, unit of measurement and the estimated cost in UAH. [62]

In order to optimize the mechanism of the participatory budget in Kyiv, it is also important to solve other difficulties encountered by the authors during the project

formation process, namely defining the landowners. We propose a solution to inform the participants about the territories that belong to the municipal property of the city, and where the projects can be implemented accordingly. They can be presented in the form of a list or an interactive map, such as that presented in the State Land Cadastre or analytical and information system "Майно".

Another problem identified in the subsection 3.1. is the overflow of educational projects coming from author groups of parents, which causes a significant competition for the other author groups. It was determined that this group mainly uses the participatory budget instrument to obtain funding for technical and communal repairs in educational institutions, although such funding should be provided directly from local budget expenditures and the implementation of budget programs.

In the Kyiv participatory budget 2022, changes have already been introduced to respond to this problem. Thus, participants no longer have 5, but 10 votes to support their desired projects. At the same time, they can vote only for a single project from the relevant category. Thus, to determine the effectiveness of such changes, it is necessary to conduct further research and identify it in a future analysis after the completion of the Kyiv participatory budget 2022 campaign.

To solve problem of educational projects overflow, we suggest investigating the experience of other cities. For example, the relevant school participatory budgets have already been created in other cities of Ukraine: Poltava, Zaporizhia, Ternopil, Kremenchuk, Vinnytsia. In Vinnytsia, in particular, the school participatory budget was introduced in 2019. The process consists of two stages and in it engaged the pupils of 5-10<sup>th</sup> grades from secondary schools in the city. In the first stage, students develop projects, submit them, and then vote for them within schools. In the second stage, the projects that received the most votes are evaluated by the coordinating council, which accordingly determines the projects of the winners. In 2019 17 large projects (up to UAH 100,000) and 4 small projects (up to UAH 50,000) passed to the finals of the first



competition. The participatory budget in 2019 was UAH 1 million, and in 2020 it was UAH 2 million. [63]

It should be taken into consideration that the separation of the school category of projects will be able to reduce the level of uneven competition among participants in the participatory budget in Kyiv, as other groups of authors will no longer compete with more votes. Accordingly, such separation could increase the level of public involvement in the participatory budget by making it easier for authors to gain votes.

On the other hand, allocating school projects to a separate category can also lead to an overall reduction in the number of participatory budget participants. Thus, the category of educational projects, which from 2016 to 2020 received large numbers of votes, and in 2020 it was given almost half of all votes from all project categories. Accordingly, a group of parents campaigned most actively for the promotion of these projects. In the case of creating a separate school budget, parents may lose interest in the citywide participatory budget, as the improvement of infrastructure in schools will already be carried out in another category. However, in order to confirm or refute this thesis, a separate study should be conducted to determine the behavior of a group of parents when voting and for which projects they voted.

Another way to solve the problem of overflow of projects in Kyiv in a separate project category can be an even distribution of the budget between the categories. That is, the idea is that the budget set by the city to implement the participatory budget is distributed in equal shares between the categories of projects. This method can increase competition between authors and the overall initiative, as the least popular categories will have fewer votes to succeed, and the process of collecting votes will be easier for authors. The success and effectiveness of this method would also heavily rely on the quality and expertise of projects. After all, authors may mistakenly indicate projects in other categories, when in fact they have nothing to do with them at all.

For better implementation of the proposed option, there is also a need for legislative consolidation of the participatory budget process. Kyiv's participatory

budget is part of Ukraine's budget system, which is based on the principle of unity of the budget system. That is why it is also important to enshrine the principles of participatory budgeting as a separate legal mechanism at the local level. O.V. Denis points out that such a legislative implementation in the budgetary relations will potentially open the possibility of resolving legal conflicts concerning the ideology of participatory budgeting and creating legal tools for public control over the implementation of the budget of participations and related projects. [64]

To increase people's interest in the participatory budget of Kyiv, the element of the game and integrity rating more widely can be also used. Scholars discuss how the level of citizens involvement can be affected by elements of the game, or gamifying. Gamify can be defined as a process that increases the motivation and interest of game participants by offering a reward by competing with other participants. Such practices include the use of badges, leaderboards, levels, and so on. Participatory budget as a policy-making tool in this case allows to introducing an element of the game because of the existing main factor of the game - competition among authors. [65]

Cascais, Portugal, is one example of a city where gamify practices have been introduced to increase the involvement of local citizens. Local authorities have developed initiatives to involve citizens to strengthen the relationship between the municipality and citizens by facilitating their participation in decision-making. Accordingly, the digital platform City Points Cascais was created. City residents register on this platform and for each action taken as part of the participation, they receive a reward in the form of points. These points can then be used by residents for municipal services on public transport or social events. The platform also includes a rating system that encourages citizens to compete and compare themselves with other residents. Residents also receive points for participating in the participatory budget. [66] Since the launch of the system, more locals have been attracted each year as residents have given more votes to support the projects. And although there has been despair and skepticism among residents since the beginning of the participatory budget,

attitudes toward the initiative have changed as projects that have been supported by locals have begun to be implemented each year.

As the practice of the city of Cascais shows, the introduction of this process in the participatory budget of Kyiv can have effects on the interest and motivation of residents to the process of public interest. Kyiv, in turn, will then be able to demonstrate the implementation of innovative modern practices for citizens participation and engagement. It should be assumed that the level of involvement will be most affected not only by the technical form, the platform used, the communication, but also the actual implementation of projects. Involvement will work effectively when local residents see the results of their projects, which will be implemented in reality. Accordingly, the e-democracy platform and communication by local governments will serve as support factors for the effective involvement of residents.

An additional and no less important factor for the successful involvement of citizens is information support about the participatory budget. The study analyzed the information support and communication campaign carried out by the Department of Social Communications. In Kyiv, it took place both online and offline. Offline information support and messages took place through outdoor advertisements in public places, public transport, boards, shopping malls. There were also live district mini-festivals and one big festival on the main street of Kyiv with various flash mobs and actions in support of voting for participatory budget projects. In the online space, information took place on official web portals and social networks, mainly Facebook and YouTube. The content of such notices is mainly to call for the submission of projects and to inform the public about the deadlines for their submission. The content of the messages was mainly aimed at increasing the number of votes from residents, and less at wanting to submit their own proposals to potential authors.

To increase the involvement of residents in the participatory budget process in the implementation of the communication strategy, residents can focus not on procedural aspects of the participatory budget, such as project submission deadlines,

but on revealing its main essence as a tool for ideas that can improve the city. Additional information support can be informing the public about the results that have been achieved at the expense of the participatory budget, in particular through the presentation of major achievements, the number of total votes, submitted and implemented projects.

An example of a successful information campaign that focused on such goals is the city of Paris. In 2015, an appropriate communication strategy was developed, which was based on working with residents both online and live.

In the online environment, the most important role was played by the accessible participatory budget platform, which was focused not only on publishing and voting for projects, but also on encouraging people to discuss projects. Immediately after the author submitted the proposal, it became open for public discussion for three weeks, during which time the author had the opportunity to amend the proposal. As an effect, it encouraged people to discuss and unite around common interests. After the closure of the platform, it received more than 5,000 offers, 18,000 new accounts, 16,000 comments and 500,000 visitors. Additionally, the campaign was conducted on social networks. Twitter, in particular, was used to distribute available infographics on the nature and process of the participatory budget. Politicians were also involved in the process, encouraging people to submit proposals and discuss them.

The offline communication campaign took place through weekly meetings of residents with city officials, who helped citizens formulate their proposals and draw up a budget. In addition, the ability to submit and vote for projects offline was also introduced. As an effect, these measures most actively contributed to recovery with senior citizens. [67]

To recommend the improvement of the mechanism of involvement of local residents in the process of participatory budget in Kyiv from the proposed example in the city of Paris, we can determine that communication and information programs on the participatory budget are important for public involvement. Effectively developed

communication should focus on the full disclosure of the essence of the participatory budget and encourage residents not only to submit projects, but also to join the discussion by expressing their opinions concerning the proposals.

To increase the awareness of residents, there should also be offline communication with local residents. An example of this is not only the School of Participatory Budget, where potential authors are told about the essence of the participatory budget in the form of lectures, but also public workshops, where participants could work together to develop ideas and proposals for the participatory budget. The experience of Paris shows that this could significantly involve older age groups in the submission of projects. In addition, the quality of the ideas themselves and the expertise of the participants in the project submission process also increased. At the same time, we should not forget about the difficulty of implementing offline measures due to quarantine restrictions caused by the spread of the CoVID-19 pandemic.

The initiatives of the residents themselves, who independently disseminate information about the participatory budget, also have a positive effect on the dissemination of information. It is told mostly by the authors themselves and members of the participatory budget teams, who tell other residents about the tool. The most active stage of dissemination of information takes place at the voting stage. During this period, the authors use various methods to ask people to vote for their projects.

An important factor in involving citizens in the participatory budget process is the percentage directed to its implementation from the municipal budget. Section 2.1 analyzed the participatory budget and found that increasing its share led to increased citizen involvement in the process. However, an insignificant share of Kyiv's budget was allocated to the participatory budget, namely 0.3%.

In most Brazilian cities, the total participatory budget is 2 to 10 percent of the city's executable budget. The most experimental are the cities of Mundu Nova and Porto Alegre, from which the general practices of the participatory budget in all other

cities of the world began. In these cities, all 100 percent of the municipal budget can be considered participatory, because before sending the draft budget for approval to the municipal council, they are studied by the Council on participatory budget. The relevant body consists of elected delegates, and locals can be openly involved in discussing the budget at meetings. [p. 40-41, 34]

In European cities, the city government usually allocates a smaller share from municipal budgets to the implementation of the participatory budget process, in particular from less than 1 percent. In Paris, one of the largest shares of European cities is allocated for the implementation of the participatory budget - 5 percent. [68]

These examples show that in other cities a larger part of the amount is allocated from the city budget for the implementation of the participatory budget than in Kyiv at 0.3 percent. This may indicate that the city government, elected by the citizens, distributes budget funds with greater involvement in the process of the city residents themselves, and thus exercises their democratic right to participate in public processes.

We can assume two versions of why in Kyiv a smaller share is allocated for the implementation of the participatory budget. The first version is that there is insufficient funding in the Kyiv city budget to increase expenditures for the participatory budget, and an increase in the distribution of citywide expenditures would lead to cuts in other sectors financed from the city budget. In this case, the solution to the problem should be approached comprehensively and make decisions that would be aimed at filling the city budget, and with it would be possible to increase the participatory budget.

The second version is that there is a political distrust on the part of local political authorities in the distribution of budget funds, as there are isolated cases when the meetings of the Participatory Budget Commission were disrupted by political forces. Accordingly, to address this issue, a separate study should be conducted on the attitude of political forces to the participatory budget process in Kyiv.

Another element in the technical mechanism of citizen involvement is the online platform of the participatory budget. In fact, it becomes one of the main place for communication and discussion of project proposals, submission for them, voting and analysis. With this in mind, the online platform must comply with Web Content Accessibility Guidelines (WCAG) standards. [69] Correcting the existing errors mentioned in subsection 3.1, as well as technical failures of the non-functioning system, could greatly facilitate the use of the tool for a wide range of users, including those with disabilities. To identify clearer changes in the technical stability and web accessibility of the Participatory Budget platform, a separate study and analysis of web design with web code should be conducted.

### **Chapter 3 conclusions**

Based on the research conducted in the chapter we can conclude the following.

1. The analysis of the 2016-2020 participatory budget campaign gives indications to interpret that mechanism of the participatory budget in Kyiv functions with the issues, which authors and other participants face. They can affect the level of involvement by complicating the project submission process and forcing more effort and time on the part of participants to form them. In particular, the lack of open defined price indicators for the formation of the budget component of the project, the lack of reference to resources to determine the landowners, the usage of bureaucratic obstacles by the local government to deny the complex infrastructural proposals.
2. Some groups of project authors, particularly parents and deputies, use their administrative resources to promote their projects faster and easily, which creates the unfair conditions for other groups.
3. The relatively small share allocated to the implementation of participatory budget from the municipal budget of Kyiv also has an impact on the level of involvement.
4. The functioning of the participatory budget in Kyiv exclusively through the online platform may complicate the process for local residents by the fact that the participatory budget platform in some cases works with technical interruptions, the authorization process is complicated, partially web-accessible and offers no real alternatives.
5. Detaching educational projects into a separate school budget will reduce social tensions between participatory budget participants and facilitate competition for authors in other categories.
6. The even proportional distribution of funds for all project categories can reduce the overload of the most active categories, the level of competition and interest citizens to submit ideas from other categories.



7. The integrity rating can be used as a gamify practices to attract attention and involve citizens in the participatory budget mechanism.

8. Developing the new information campaign on participatory budgeting by the Department of Social Communications, which would focus more on revealing the essence of the participatory budget by showing the realized projects, and the target audience would be potential authors of projects, which in turn would disseminate their own proposals to other residents.

9. Implementing offline activities that would be aimed at generating proposals and ideas for the future participatory budget projects can engage more citizens of the elder age.

10. Conduct the legal and financial analysis of improving local budget filling in Kyiv. With the increase of funding from the municipal budget up to 1% for the participatory budget, can highly engage citizens to its use.

11. The implementation of changes on the online platform of the participatory budget is aimed at technical stability and web accessibility, but this requires a separate specialized additional analysis. Additionally, for the convenience of project authors and increase their quality, it is necessary to develop a price guide and a guide to finding balance holders.

## CONCLUSIONS

The master's thesis provides a theoretical consolidation and substantiates practical recommendations for solving a range of problems related to the use of participatory budgeting in the city of Kyiv as tool of citizens participation and engagement. Based on the research we can conclude the following:

1. The terms “citizens participation” and “citizens engagement” are defined differently by scholars, which indicates the versatile concept and the lack of unified approach to its interpretation.

The citizens participation can be defined as a bottom-up model of citizens involvement in the governance, in which the initiation comes from the grass-root level in formulating the community needs, problems and propose solutions before the political decision is taken. Whereas, the citizens engagement is a top-down model with the government-mandated nature of creating the instruments for the citizens to be involved in the governance process before taking the political decision.

2. The use of participatory budgeting in the governance contributes in determining the democratization priorities, since it improves the budgetary allocation process, introduces new ways of communication between citizens and governments, and empowers citizens to act in participatory democracy.

3. In the legal field the Kyiv participatory budgeting is regulated primarily by local governments acts. It operates as an e-democracy instruments exclusively, as citizens use the online platform to receive the information on participatory budget, unite with each other in Teams, submit the proposed projects, discuss them with other users through social media account, vote and analyze the campaign results. Within the mechanism the Participatory Budget Commission facilitates and moderates the process, while The City Working Group coordinates and organizes participatory budgeting mechanism. To determine the ethical behavior of the participants of participatory budgeting the integrity rating is used.

4. The analysis of the citizens' use of participatory budgeting in Kyiv demonstrates the success of citizens engagement as it attracts more citizens yearly.

Citizen involvement of the participatory budget in Kyiv from 2016 to 2020 increased due to increased expenditures for the implementation of participatory budget. The informational campaign of 2018 conducted by the Department of communication technologies of Kyiv City State Administration resulted in an increase of the project authors, instead of voting citizens. The general level of citizen engagement from the entire population of Kyiv is relatively small, due to the problems in the implementation mechanism or overall political passivity of the citizens.

5. The analysis of citizens' and initiatives activity of participatory budgeting in Kyiv indicates that Citizens submit and vote more for the projects from Educational and Sport categories, and less for categories of Culture and tourism, and Utilities. In other categories, such as health care, social inclusion, roads and transport, ecology, information technology, fewer people submit their ideas.

6. The most active project authors are equally male and female aged 26 to 65 years. The youngest age group (16-25 years old) have begun actively submitting their projects, while the elder group (65+ years old) – less.

7. The most prominent participatory budgeting participants based on the project's topics and the interests of the communities they represent in Kyiv can be grouped in the following groups:

- a. Parents;
- b. Deputies;
- c. Students;
- d. Local activists;
- e. Neighborhood residents.

8. Each group has a different resource, uses different methods to promote its project, but they all are mostly interested in getting as many votes as possible. This

leads to higher uneven competition and consequently confrontation between groups of authors, in particular regarding parents and deputies groups, as they have opportunity to use administrative resources and therefore receive the required number of project votes faster and easier.

9. The mechanism of participatory budgeting in Kyiv operates with the problems, which result in lower level of citizens engagement and participation, as it complicates the project submission process and forces to use more effort and time for the participants to form them. In particular, the lack of open defined price indicators for the formation of the budget component of the project, the lack of reference to resources to determine the landowners, the usage of bureaucratic obstacles by the local government to deny the complex infrastructural proposals.

Some groups of project authors, particularly parents and deputies, use their administrative resources to promote their projects faster and easily, which creates the unfair conditions for other groups. The relatively small share allocated to the implementation of participatory budget from the municipal budget of Kyiv also has an impact on the level of involvement. The functioning of the participatory budget in Kyiv exclusively through the online platform may complicate the process for local residents by the fact that the participatory budget platform in some cases works with technical interruptions, the authorization process is complicated, partially web-accessible and offers no real alternatives.

10. To improve the implementation of the participatory budgeting mechanism in Kyiv we recommend the following:

- Entrust the Department of Finances of Kyiv City State Administration to open access to information on the prices of public and communal goods and services provided by the communal enterprises. Based on that develop the price guides for the project budget formation.
- Entrust the City Working Group to do the following actions;

- develop the mechanism project on detaching Educational project category into a separate participatory school budgeting, as it will reduce social tensions between participants and facilitate competition for authors in other categories;
  - propose a decision on the even proportional distribution of funds for all project categories, since it can also reduce the overload of the most active categories, the level of competition and increase the citizens interest submitting projects from other categories;
  - introduce a mechanism for simple and accessible landowners identification for the project authors;
  - establish the gamify technologies into the participatory budgeting mechanism using the existing integrity rating.
- Entrust the Department of Social Communications of Kyiv City State Administration to develop the new information campaign on participatory budgeting, which would focus more on revealing the democratic essence of participatory budgeting by presenting the realized projects; would target the audience of potential authors specifically, which in turn would disseminate their own proposals to other residents. Offline activities should be aimed at generating proposals and ideas for the future participatory budget projects, which can also result in higher engagement of elder citizens.
  - Conduct the legal and financial analysis of improving local budget filling in Kyiv. The increase of funding from the municipal budget up to 1% for the participatory budget, can highly engage citizens to its use.
  - Conduct the separate and specialized analysis on technical optimization and web accessibility of the online platform “Hromadskyi budget”.

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## ANNEX

Figure 1. Circular process of citizens' engagement model. Source: [p.8, Error! Reference source not found.]

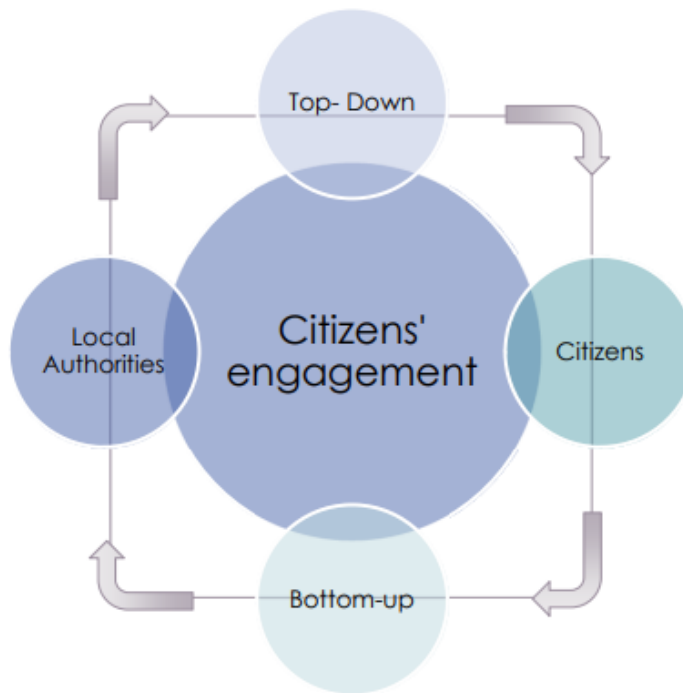


Table 1. Typology of Citizen Participation adopted by D. Moynihan (2003). Source: [14]

| Level         | Broad                                                                             | Narrow                                                                                             |
|---------------|-----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
| Full          |                                                                                   |                                                                                                    |
| Decisions     | Public officials make decisions, but citizens have strong influence               | Public officials and selected interest groups make decisions.                                      |
| Participation | Large, diverse groups of citizens engage in meaningful discourse with government. | Interest groups exert significant influence; most citizens lack with opportunities to participate. |
| Partial       |                                                                                   |                                                                                                    |
| Decisions     | Public officials make decisions; citizens have limited influence.                 | Government elite make decisions; Interest groups have limited influence                            |
| Participation | Large, diverse groups of citizens engage in limited discourse with government.    | Interest groups exert influence; most citizens lack opportunities to participate.                  |
| Pseudo        |                                                                                   |                                                                                                    |
| Decisions     | Public officials make decisions.                                                  | Public officials make decisions in nontransparent manner.                                          |

|               |                                                                           |                                                                                   |
|---------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------|
| Participation | Participation is symbolic but involves large, diverse groups of citizens. | Participation is symbolic, involves only a small number of citizens. of citizens. |
|---------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------|



*Table 2. The integrality rating for participants of Kyiv participatory budget.*  
*Source:[43]*

| Participants                   | Actions taken by the participants                                     | Number of points to receive |
|--------------------------------|-----------------------------------------------------------------------|-----------------------------|
| Team and Team members          | Creation of the Team and submitting at least one project              | 1                           |
|                                | Successful completion of each of the participatory budget stages      | 1                           |
|                                | Full realization of the projects                                      | 5                           |
| Team Leaders (project authors) | Taking part in the competition to the Participatory Budget Commission | 5                           |
|                                | Becoming a member of the Participatory Budget Commission              | 5                           |

*Table 3. The allocated funding for the participatory budget compared to the annual municipal budget expenditure for 2016-2020 years. Source: [2]*

|                                                                                                              | The year of Participatory budget implementation |                |                |                |                |
|--------------------------------------------------------------------------------------------------------------|-------------------------------------------------|----------------|----------------|----------------|----------------|
|                                                                                                              | 2017                                            | 2018           | 2019           | 2020           | 2021           |
| The amount of funds to implement the projects, UAH                                                           | 49,996,027                                      | 149,171,200    | 149,824,056    | 161,220,533    | 169,974,593    |
| The amount of annual budget expenditure, thousand UAH                                                        | 38 239 587 700                                  | 49 113 498 700 | 57 432 550 700 | 58 761 585 300 | 57 795 647 371 |
| The share allocated for participation budget project implementation from the municipal budget expenditure, % | 0,13                                            | 0,30           | 0,26           | 0,27           | 0,29           |
| The number of submitted projects                                                                             | 497                                             | 809            | 1137           | 2119           | 1692           |

|                                    |    |     |     |     |     |
|------------------------------------|----|-----|-----|-----|-----|
| The number of the winning projects | 62 | 141 | 341 | 554 | 351 |
|------------------------------------|----|-----|-----|-----|-----|

*Table 4. The number of citizens who took part in the project voting on the participatory budget for 2016-2020 years. Souse: [2]*

|                                      | The year of PB-voting |           |           |           |           |
|--------------------------------------|-----------------------|-----------|-----------|-----------|-----------|
|                                      | 2016                  | 2017      | 2018      | 2019      | 2020      |
| The number of Team Leaders           | 378                   | 534       | 486       | 805       | 846       |
| Number of citizens voted             | 50 812                | 131 455   | 154 603   | 191 713   | 207 104   |
| Population on the month of PB voting | 2 884 454             | 2 888 834 | 2 901 364 | 2 917 783 | 2 923 463 |
| Percentage of voting citizens        | 1,76%                 | 4,55%     | 5,32%     | 6,5%      | 7,05%     |

*Table 5. Categories of participatory budget projects in which the authors of the projects submitted the most for 2016-2020 years. Source: [2]*

|                                                                   | The Year of PB-campaign                                 |                                                        |                                                   |                                                       |                                                                           |
|-------------------------------------------------------------------|---------------------------------------------------------|--------------------------------------------------------|---------------------------------------------------|-------------------------------------------------------|---------------------------------------------------------------------------|
|                                                                   | 2016                                                    | 2017                                                   | 2018                                              | 2019                                                  | 2020                                                                      |
| Top 3 most submitted projects according to the project categories | Sport (18%), Education (15%), Culture and Tourism (13%) | Education (30%), Sport (20%), Culture and Tourism (7%) | Civic Society (29%), Education (26%), Sport (12%) | Education (35%), Civic Society (16%), Utilities (10%) | Education and Civic Society (50%), Youth and Sport (15%), Utilities (12%) |

*Table 6. Categories of participatory budget projects for which citizens voted the most for 2016-2020 years. Source: [2]*

|                                                               | The Year of PB-campaign                    |                                                        |                                                        |                                                        |                                                                          |
|---------------------------------------------------------------|--------------------------------------------|--------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------------------|
|                                                               | 2016                                       | 2017                                                   | 2018                                                   | 2019                                                   | 2020                                                                     |
| Top 3 most voted projects according to the project categories | Education (25%), Sport (20%), Health (13%) | Education (46%), Sport (21%), Culture and Tourism (7%) | Education (40%), Sport (16%), Culture and Tourism (8%) | Education (53%), Sport (12%), Culture and Tourism (9%) | Education and Civic Society (58%), Youth and Sport (16%), Utilities (6%) |

*Table 7. Distribution of Team leaders by gender for 2016-2020 years. Source: [2]*

|                            | The Year of PB-campaign |           |           |           |           |
|----------------------------|-------------------------|-----------|-----------|-----------|-----------|
|                            | 2016                    | 2017      | 2018      | 2019      | 2020      |
| The number of Team Leaders | 378                     | 534       | 486       | 805       | 846       |
| Male                       | 217 (57%)               | 252 (47%) | 231 (48%) | 340 (42%) | 319 (38%) |
| Female                     | 158 (42%)               | 270 (51%) | 246 (51%) | 406 (50%) | 468 (55%) |
| Unknown                    | 3 (1%)                  | 12 (2%)   | 9 (1%)    | 59 (8%)   | 59 (7%)   |

*Table 8. Distribution of Team leaders by age for 2016-2020 years. Source: [2]*

|                 | The Year of PB-campaign |           |           |           |           |
|-----------------|-------------------------|-----------|-----------|-----------|-----------|
|                 | 2016                    | 2017      | 2018      | 2019      | 2020      |
| Aged till 16-25 | 12 (3%)                 | 41 (8%)   | 38 (8%)   | 72 (9%)   | 92 (11%)  |
| Aged 26-35      | 101 (27%)               | 142 (27%) | 139 (29%) | 228 (28%) | 240 (28%) |
| Aged 36-45      | 103 (27%)               | 174 (33%) | 170 (35%) | 260 (32%) | 286 (34%) |
| Aged 46-65      | 131 (35%)               | 159 (30%) | 127 (26%) | 223 (28%) | 214 (25%) |
| Aged 65+        | 30 (8%)                 | 18 (3%)   | 12 (2%)   | 22 (3%)   | 14 (2%)   |

Figure 2. Screenshot of the WAVE Report of the Kyiv participatory budget webpage (taken on 11.05.2021). Source: [61]

