

# Research Report #2

Version 2.0 [09/12/2019]

**The Municipalities in Transition framework was experimented with in 6 pilots in Brazil, Hungary, Italy, Portugal and Spain. What happened? What are the prospects? Learnings from evaluation.**



**Municipalities  
in Transition**

# Municipalities in Transition

Deep collaboration between community-based initiatives and local governments

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*“We planted the seed of (revolutionary) change and we need to water it”  
(MiT participant)*

## Abstract

“The innovative framework for local transformative collaborations is based on systems thinking and has a relational vision, being embedded in theories of adaptive governance and arenas of development. It allows to map and measure collective transformative action and it is expected to bring institutional and cultural change by providing a ‘learning arena’. Its simplicity makes it usable in all sorts of contexts, enabling conditions for systemic change arising from this new shared meaning of transformation and a rationale for taking collective decisions. The development of local coalitions supported by mutual principles is expected to lead to a new culture of collaboration” (Macedo, 2019).

This was part of the abstract of the first Research Report on the Municipalities in Transition project. We then tried to share how we came out with the framework and what was the potential change it could bring. We also tried to see where it fitted in the existing theories of transformation and we theorized around local collaborative transformations. Could the framework make its “proof of living” in the real world and fulfil the aspiration of helping local governments and civil society to create change together? We now try to answer this question.

From March 2018 to April 2019 six communities, with very different contexts, dared to experiment with the framework. After training, they set a governance model, used the framework to prepare a baseline collecting 189 existing local transformative initiatives, planned and implemented 14 impactful actions. Evaluation was performed *ex-ante*, through and *ex-post* the experiments. In the final meeting we used Narratives of Change and Critical Turning Points to harvest learnings about doing transformative change in this “journey on a bumpy road” (Ruijsink et al., 2017).

Even in a short time, quite dramatic changes occurred. This was the product of the reflexive experimentation, the new social relations, the empowerment process, the changing tensions, the translocal connectivity, the discourse formation, the new (or reinforced) institutional homes and the strategic actions (adapted to each context). New ways of doing, organising, framing and/or knowing, as expressed in the theory of Transformative Social Innovation (Haxeltine et al., 2016). Will these changes endure and produce long lasting results? Will the process show the ability to ‘travel’ across different logics, avoid path dependencies, connect to the (fast) evolving socio-material context and fully integrate diversity? These and other (still) open questions are discussed.

# Content

A.	Introduction and Background .....	1
	Municipalities in Transition .....	1
	Research questions .....	2
	Experimenting and evaluating .....	3
	The report .....	4
B.	Methodology .....	4
	The governance experiments .....	4
	Research methods .....	6
C.	Results .....	6
	The pilots .....	6
	The experiments .....	10
	Facilitators training .....	10
	Governance model .....	18
	Baseline .....	20
	Planning cycle .....	27
	Action .....	29
	Evaluation .....	32
	Final meeting .....	35
	Community of Practice .....	46
	Outreach .....	48
D.	Discussion .....	49
	Narratives of change .....	49
	Critical Turning Points .....	51
	First impressions .....	51
	Systems thinking .....	51
	Getting closer .....	51
	The overview effect .....	52
	Bringing in .....	52
	Doing stuff... holistically .....	53
	Reflection and learning .....	53
	Sociocracy .....	53
	Political neutrality .....	53

Credibility .....	53
Roles and leadership .....	54
(Dis)empowerment .....	54
Measuring.....	55
Transformation.....	56
Walls coming down .....	57
Way forward.....	58
Scaling deep .....	58
Scaling out .....	59
Scaling up .....	60
E. Limitations and open questions .....	61
Not enough time .....	61
Universal usability? .....	61
Everyone on board? .....	62
Scale?.....	63
Continuity? .....	63
F. Conclusion .....	63
What happened?.....	63
Games unfold .....	63
Transformation taking place .....	65
Prospects? .....	66
Redesign .....	66
Future research .....	67
References.....	69
Acknowledgments.....	72

## Index of tables and figures

Table 1 – MiT’s pilots: its processes and activities.....	5
Table 2 – Pilots, local organizations involved in MiT and contextual differences. ....	8
Table 3 – Countries’ performances in terms of Sustainable Development Goals. ....	9
Table 4 – Participants in the facilitators training. ....	11
Table 5 – Governance in the pilots.....	19
Table 6 – Baseline (initiatives, methods, insights and other observations).....	21
Table 7 – Baseline results.....	22
Table 8 – Frequency of records (range of impact) per actor and per pilot (%).....	24

Table 9 – Leverage intensity.....	26
Table 10 – Planning cycle. ....	29
Table 11 – Implementation of actions. ....	31
Table 12 – Participants in the Pilots’ meeting.....	35
Figure 1 – The transformation grid included in the Municipalities in Transition framework. ....	2
Figure 2 – Structure of governance experiment. ....	5
Figure 3 – Pilots’ location (source: ©OpenStreetMap contributors).....	9
Figure 4 – Trainings scheme, with daily goals, topics, methods and activities develop. ....	15
Figure 5 – MiT process. ....	16
Figure 6 – Flow of the MiT international training. ....	17
Figure 7 – Baseline results.....	23
Figure 8 – Range of impact per actor (6 pilots).....	24
Figure 9 – Relation between baseline results for municipalities ‘sphere’ (A-D actors) and non-administration actors (E-G). ....	25
Figure 10 – ‘Leverage cells’ versus cells with more records registered in all pilots.....	25
Figure 11 – Baseline results.....	26
Figure 12 – Baseline results.....	27
Figure 13 – Comparison of baseline and new actions,.....	34
Figure 14 – The flow of the international MiT pilots meeting. ....	36
Figure 15 – Meetings scheme, with daily goals, topics, methods and activities develop. ....	40
Figure 16 – Evaluation cycle - Critical Turning Points and Narratives of Change - and methods used to explore it. ....	41
Figure 17 – Harvest from PechaKucha presentations.....	43
Figure 18 – MiT causal loop diagram (coming from group work).....	43
Figure 19 – World café on Pilots experience (harvest). ....	44
Figure 20 – Story of MiT in our communities, in 10 years (visioning exercise).....	45
Figure 21 – Open space technology – the ‘marketplace’ with emergent topics. ....	45
Figure 22 – ‘Six thinking hats’.....	46
Figure 23 – CoP meeting in Portuguese.....	47
Figure 24 – Top-down or Bottom-up?.....	49
Figure 25 – A dreamed MiT.....	50
Figure 26 – Compass for collaborative transformation. ....	56
Figure 27 – Scaling social innovation (in Moore, Riddell, & Vocisano, 2015). ....	58
Figure 28 – Self-reflecting (pilot in Telheiras). ....	62
Figure 29 – The elements of the ‘transformative game’, included in the Municipalities in Transition framework.....	64

## A. Introduction and Background

In this introduction we present the Municipalities in Transition project, the associated research work and its focus, and an overview of experimentation and evaluation processes.

### Municipalities in Transition

The Transition Movement started the ‘Municipalities in Transition’ (MiT) action-research project in 2017. The objective is to create a clear framework for how community-based initiatives (CBIs) and local governments (LGs) can create sustainable change together.

In the first research report (Macedo, 2019), which we will mention as Report #1 from now on, we presented the process of development of the MiT framework. The principles and design of this governance instrument were based on a multi-method approach including literature review, an explorative analysis of 71 surveyed cases of local or regional collaborations happening in 16 countries in America and Europe and transdisciplinary co-design sessions.

The MiT framework (MiTF) was under development until February 2018 with the main goal of creating a system that could facilitate and catalyze local collaborative transformations, leading to synergies. The beta version included:

- The transformation grid, where transformative initiatives can be mapped, planned and evaluated (Figure 1);
- An online structure for a database of tools that can be used to promote transformation;
- A guide for experiments comprising a governance proposal for a joint work between LGs and CBIs and an implementation methodology, including the cycles of diagnosis (baseline), planning, acting and evaluation;
- Tutors for supporting pilots’ experiments;
- An intended Community of Practice.

The MiTF was tested in six pilots (five countries, namely Brazil, Hungary, Italy, Portugal and Spain), between March 2018 and April 2019. This report intends to present the results from these experiments.

Governance experiments have received increasing attention, but are still rare (Kivimaa, Hildén, Huitema, Jordan, & Newig, 2017). “Empirically little is known neither on how governance experimentation actually unfolds nor about its effectiveness” (Bos & Brown, 2012). In this research we try to contribute to fill these gaps.

		Actors Categories						
Actions Categories	A Municipality Political	B Municipality Organization	C Controlled Entities	D Suppliers	E Organizations	F Businesses	G Public	H Networks
1 Vision	++				+	+		
2 Organization		+						
3 Planning	+	++			+	+	+	
4 Technical aspects								
5 Relations								
6 Cultural change					+	+	++	
7 Networking								

**Figure 1 – The transformation grid included in the Municipalities in Transition framework. Some cells are considered to be ‘leverage points’ with higher transformative capacity and are marked with + and ++.**

### Research questions

According to what was mentioned in the first paragraph and stated in the Report #1, the central research question is: “what would be an effective framework and set of tools to improve collaborations between local governments and community-based initiatives that meets the needs for transformation towards sustainability?”

In Report #1 we were more interested in looking at the dynamics of transformation (governance) and how the MiTF could play a role in the process. In this report we focus on how different actors can influence and be influenced by the process of using the MiTF. In other words, we are not only interested in how (and if) the MiTF works, but on how to work with it.

In particular, and for the sake of development of the MiTF, we are interested in studying the institutional designs that can amplify (or block) concrete results in terms of joint transformative efforts.

In order to learn with the pilots’ experiments, we need to try to understand the context, people and their social dynamics. Namely, we should be able to answer the following empirical research questions:

1. How economic, political, social, cultural, environmental and organizational factors influenced results? (understanding context);
2. How participants made sense of their experience? (understanding people);
3. How the various actors involved interacted with each other? (understanding social dynamics, and in particular collaborative features and changes in power and agency).

## Experimenting and evaluating

Experimenting has a central role in the field of transformation research, and is intended to “promote system innovation through social learning under conditions of uncertainty and ambiguity” (Sengers, Wieczorek, & Raven, 2016). In these processes, different agents engage with a new and ‘alternative’ practice or approach that is expected to lead to some kind of positive (system) change. Transformation can be expressed in terms of changing procedures, goals, norms, values or actors involved in decision-making, and it is facilitated by the social learning process (Bos & Brown, 2012).

We should also mention that experimentation, besides bringing the possibility of facing the challenges of climate change and sustainable development, are subjected to critiques and could possibly be considered a way to perpetuate the *status quo* by delaying urgent changes (Hildén, Jordan, & Huitema, 2017; Sengers et al., 2016).

The MiT pilots can be considered as governance experiments, since they are focused on how actors interact and jointly promote (or not) change. Governance experimentation usually captures relatively low attention in transformation research, something that started to change in past years (Bos & Brown, 2012; Kivimaa et al., 2017). This focus on governance is characteristic to research related to sustainability and climate issues (Hildén et al., 2017).

Evaluation is a key step in experimentation and a necessary one considering the learning process. Nevertheless it is still lacking development and faces several challenges (Luederitz et al., 2017). Evaluation should be based on a predefined goal and baseline assessment (*idem*).

As previously stated, the MiT project is a research endeavour to find practical knowledge on how to promote successful transformative collaborations between local organizations. The dimensions that should be considered in a multidimensional assessment of collaborations between local governments and community-led initiatives, in terms of transformation towards sustainability, were previously researched and synthesized in a ‘Compass for Collaborative Transformation’, to be presented later. These dimensions include cocreation, mutual support, coproduction and open innovation.

Collaborations happening in 71 communities were previously studied (Report #1), which included the pilots that participated in the experiments that we are now focusing on. This allowed a starting point to be set for the research. Furthermore, and in accordance to this study, several preconditions were set for the framework to be cocreated and tested and should be considered in the evaluation.

Previously and prior to testing (Report #1), we argued that the MiTF has the potential to bring institutional and cultural change by providing a ‘learning arena’. The transformation grid stores and structures the collective learning about the transformation efforts happening in the community, increasing the resilience of the overall system by nurturing renewal and facilitating reorganization.

The MiTF is expected to represent an innovative way to collectively govern transformative change and act as a systemic instrument for local reflexive governance. Therefore, the proliferation of experiments making use of the MiTF is envisioned to primarily lead to a change in the socio-institutional system.

In accordance to Woodhill (2010), institutional innovation is an emergent property of the interaction between the different actors in the system. The MiTF is expected to provide the



capacities considered crucial, namely “navigating complexity, learning collaboratively, engaging politically and being self-reflective” (*idem*). To evaluate the potential of the MiTF to create a systemic change, we can, therefore, look at how these capacities were enhanced (or otherwise), during the experimentation.

As stated in the previous section, we are not only interested in evaluating to which extent the MiTF enabled the intended results, but also on understanding how this was undertaken. Namely we want to understand which interventions or design features might have played a role as barriers or enabling factors.

Evaluation frameworks can be based on the collection of ‘stories’ related to events that participants consider the most significant or critical in their path towards intended and shared directions (e.g. Davies & Dart, 2003; Sharp & Salter, 2017). This process of inquiry is expected to happen in a participatory and transparent way, generating dialogue that can reveal ways to improve experiments. This approach can be labelled as reflexive or dynamic evaluation and focus on how the participants can realize transformation together (Ruijsink et al., 2017).

## The report

In the next section (Methodology), we will present the MiT project’s overall process of experimentation, including the evaluative component. In the following sections, we will first describe the experiments in detail (Results) and then evaluate impacts and outcomes (Discussion). The evaluation performed is organized in four phases (Ruijsink et al., 2017):

- Narratives of change (clarifying the MiT theory of change and how it was translated);
- Critical Turning Points (looking at the decisive moments in the pilots’ journey);
- Reflection and learning (analyzing the main changes produced and enabling factors);
- Way forward (discussing strategies on improving the process).

Finally, we discuss limitations and open questions and present conclusions.

The report is written from a “critical friend” perspective (Costa & Kallick, 1993).

## B. Methodology

In Report #1 we presented the overall MiT methodology, concerning five steps: (1) preliminary formulation of a partnership model; (2) collating and assessing existing experiences; (3) co-designing an agreed framework; (4) testing and refining in pilot areas; (5) reaching out to experts, decision-makers and practitioners. In this second report we present the results from steps 4 and 5.

### The governance experiments

The MiT project’s experimentation phase was established and steered by the ‘core circle’, using a participatory action-research approach (see Report #1 for more information). The process was designed to catalyse the formation of place-based action groups as vehicles for social learning and experimentation.

Chosen pilots were instigated to bring together LGs and CBIs to jointly address the transformation challenge by experimenting the MiTF as an instrument for reflexive governance.

The experiments, which ran from March 2018 to April 2019, consisted of a learning agenda supported through an intricate project structure (Figure 2) and a set of activities (Table 1). The organization of the experimentation was designed to stimulate interaction and collaboration between local actors, thus enabling the MIT project’s underlying agenda.



**Figure 2 – Structure of governance experiment.**

Processes and activities	Description	Participants
<b>Facilitators training</b>	An in-person training to learn about the MiTF	Representatives from all pilots (LGs and CBIs)
<b>Governance model</b>	Agreeing in each pilot on the process of steering the experiments	Local action groups on each pilot, supported by a member of the core circle ('tutor')
<b>Baseline</b>	Collecting data on local transformative actions already happening	Local action groups with the participation of the community
<b>Planning cycle</b>	Setting a basic initial systemic plan for the community	Local action groups
<b>Action</b>	Implementation of planned actions	Pilots' communities
<b>Evaluation</b>	Assessing impacts	Local action groups
<b>Final meeting</b>	An in-person gathering to debate on learnings	Representatives from all pilots
<b>Community of Practice</b>	Creating a space for sharing experiences	Practitioners on local transformative collaborations

**Table 1 – MIT’s pilots: its processes and activities.**

## Research methods

The methods used in the research process were transdisciplinary and participative in nature, in a coproductive collaboration between participants and the researcher (Nevens, Frantzeskaki, Gorissen, & Loorbach, 2013). The researcher had an active participation in the 'core circle' meetings, workshops (facilitators training and final meeting) and community of practice. He performed virtual and *in-loco* observation of pilots' activities and multiple interactions with participants.

Data was collected in the researcher's diary, meeting notes, tutor's diaries and pilots' reports, besides several outputs from workshops (posters, canvas, post-its...) and videos (e.g. presentations). Also, participant semi-structured interviews and questionnaires were conducted by the researcher. Data was examined using a qualitative content analysis, in an inductive approach to take note of patterns, singularities and connections. Further understanding and insight of context was supported by analysis of policy, organisation and media documentation, as well as existing scientific literature.

Overall evaluation of the experiments was designed with a focus on utilization of the MiTF, namely constant attention on the "intended use by intended users" (Ramírez & Brodhead, 2013). Learning, according to Patton (as cited in Davies & Dart, 2003), was targeted at "rendering judgments, facilitating improvements and/or generating knowledge".

Following Luederitz et al (2017), evaluation (by the researcher) was performed *ex-ante* (prior to experimentation, to inform the design, using interviews and questionnaires), during the piloting (formative evaluation, mainly through active observation) and *ex-post* (to appraise the contribution of experiments to the process of transformation, mostly based in the cocreative sessions, reporting and a 'final' survey). We mostly try to 'give voice' to the participants, so extensive quotations are used, structured with the inductive approach mentioned above.

Transformative social innovation was used as an analytical framework, including Critical Turning Points and Narratives of Change (Ruijsink et al., 2017).

The participation of researcher in multiple scientific meetings, in the context of research institutions (University of Lisbon and Erasmus University Rotterdam) and international conferences, allowed to collect extraordinary contributions and acted as a 'control' feature (preventing inflated bias).

## C. Results

We will start by presenting the process of selecting the pilots and their main characteristics.

### The pilots

Previous research on Transition Initiatives (Feola & Nunes, 2013) show that local context can deeply influence outcomes so at least three pilots were planned to be involved in the experimentation, in different countries and with diverse settings, to be able to determine possible cross-cutting issues.

Pilots were selected from the 71 case studies of local transformations collected in the earlier phases of this research (see Report #1), in order to make the most of information already gathered related to the cases and connections established. In the initial analyses, cases were

considered suitable to be a pilot if corresponding to the criteria of mature collaborative initiatives with a willingness to improve and good prospects of continuity<sup>1</sup>. Initiatives that were too narrowly focused on specific interventions were avoided.

During the preselection process, the following criteria was also used:

- Strong relationship between the LG and a CBI (not necessarily connected to the transition movement);
- Diversity of contextual factors (geographical location, cultural aspects, population size, urban/rural);
- Commitment, readiness and capacity for action (including previous experience in using frameworks);
- No linguistic barriers to communication;
- A personal relation of trust involving one of the members in the core circle, in order to pragmatically increase the probability of getting results in such a short-term period (criteria to be met by 1 or 2 of the pilots).

Cases preselected and interested in becoming pilots were interviewed to discuss mutual expectations, readiness, planned activities and capacities required. They were also provided with full documentation on the experimentation process.

Design of pilots' selection criteria and preselection happened at the end of 2017. Interviews and final selection happened in the beginning of 2018. Final decision was taken by the 'core circle'.

It was decided to have 4 fully supported pilots, in Italy (two municipalities), Portugal and Spain and 2 partially supported pilots<sup>2</sup> (in Brazil and Hungary). See Table 2 and Figure 3.

Pilots' community	Local facilitators	Context
Kispest (Hungary), is a district of the capital city of Budapest, with around 60 000 inhabitants.	An active member of a local transition initiative ( <a href="#">Transition Wekerle</a> ) was elected as councillor of the <a href="#">local district</a> , which created the opportunity for a collaboration.	Kispest is considered a dynamically developing center of the southern region of Budapest and includes Wekerle, a pleasant neighborhood with many green areas.
La Garrotxa (Spain), 'comarca' comprising 21 municipalities, with around 56 000 inhabitants, part of the 'provincia' of Girona (Catalunya region).	<a href="#">ADRINOC</a> (rural development organization) and several thematic regional consortiums participated in the initiative. <a href="#">Resilience.Earth</a> is a cooperative dedicated to community resilience, ecological regeneration, and social solidarity economy, having connections to Spanish Transition Hub.	La Garrotxa is situated close to the Pyrenees, with a significant Volcanic Zone Natural Park. More than half of the population live in the capital city of Olot. It is considered a historical and contemporary reference in terms of social and ecological movements.

<sup>1</sup> The frameworks and tools to be tested are not directed to beginners but front-runners.

<sup>2</sup> The 71 cases were located in six geographical regions (Northern, Central and South America; Northern, Western and Southern Europe). The inclusion of partially supported pilots was meant mainly to preserve contextual diversity.

Pilots' community	Local facilitators	Context
Santorso (Italy), 'comune' with around 5 700 inhabitants in the 'provincia' of Vicenza (Veneto region).	The Municipality of <a href="#">Santorso</a> is active in terms of sustainable energy (Santorso, 2013). The local <a href="#">Transition Initiative</a> has been developing smaller actions and potential for collaboration was identified.	Santorso is at the base of the Summano mountain (Vicentine Alps), overlooking a strongly industrialized valley.
Telheiras (Portugal), neighbourhood mostly in the 'freguesia' of Lumiar, with around 28 000 inhabitants, in the capital city of Lisbon.	The Centro de Convergência de Telheiras is a citizen-led initiative managing the <a href="#">Parceria Local</a> , a partnership involving the local administration (Lumiar and Lisbon Municipality) and around 30 organizations. It evolved from one of the first Transition Initiatives in Portugal (Matos, 2011).	Lisbon is the capital city of Portugal. Telheiras is located in the outskirts and it is mainly a residential area. It is characterized by relative good planification of public spaces, young population and wellbeing (Guimarães & Matos, 2010).
Valsamoggia (Italy), 'comune' with around 31 000 inhabitants in the Metropolitan City of Bologna (Emilia Romagna region).	<a href="#">Valsamoggia</a> is a new Municipality created through the merging of five in 2014, facing the trade-off between efficiency and democracy (Tavares, 2018). Monteveglio, one of the merged municipalities, was the birthplace of <a href="#">Transition in Italy</a> (Biddau, Armenti, & Cottone, 2016), now operating at Oggi, la Casa dell'innovazione.	Valsamoggia is settled in the river basin of Samoggia, mixing rural mountainous areas with industrialised planes. The region is one of the wealthiest in Italy and Europe.
Vila Mariana (Brazil), with around 345 000 inhabitants, one of the 32 subdivisions of the city of São Paulo ('subprefeitura').	<a href="#">Ecobairro</a> is a holistic citizen-led initiative operating in several locations in Brazil (Freitas & Santos, 2013). Locally it has connections with the Transition Movement and institutional collaboration with the 'subprefeitura' through <a href="#">CADES</a> (Regional Council for the Sustainable Development).	The 'subprefeitura' includes 3 'distritos', namely Moema, Saúde and Vila Mariana. Vila Mariana is a wealthy 'distrito,' mostly residential, close to the center of one of the biggest metropolises in the world.

**Table 2 – Pilots, local organizations involved in MiT and contextual differences.**



Figure 3 – Pilots’ location (source: ©OpenStreetMap contributors).

Most of the cases are located in the Mediterranean region and Brazil is the only country not belonging to the European Union and the Organisation for Economic Co-operation and Development (OECD). All countries still face sustainability challenges, with indexes related to Sustainability Development Goals (SDG) varying from 70.6 to 77.8 (Sachs, Schmidt-Traub, Kroll, Lafortune, & Fuller, 2019). Apparently, some of the worst performances relate to ‘Zero Hunger’, ‘Industry, Innovation, and Infrastructure’, ‘Responsible Consumption and Production’ and ‘Climate Action’ (Table 3).

Country	Global Index Score	Rank	Goal Dashboard																
			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Brazil	70.6	57	🟡	🟡	🔴	🟡	🟡	🟡	🟢	🔴	🟡	🔴	🟡	🟡	🟡	🟡	🔴	🟡	
Hungary	76.9	25	🟡	🟡	🟡	🔴	🟡	🟡	🟡	🟡	🔴	🟡	🟡	🔴	🟡	🟢	🟡	🟡	
Italy	75.8	30	🟡	🟡	🟢	🟡	🟡	🟡	🟡	🟡	🔴	🟡	🟡	🔴	🔴	🔴	🟡	🟡	
Portugal	76.4	26	🟡	🔴	🟡	🟡	🟡	🟡	🟢	🟡	🟡	🟡	🟡	🔴	🔴	🔴	🟡	🟡	
Spain	77.8	21	🟡	🔴	🟡	🟡	🟡	🟡	🟡	🟡	🔴	🟡	🟡	🟡	🔴	🟡	🟡	🟡	

Table 3 – Countries’ performances in terms of Sustainable Development Goals.

**2019 Global Index Score (0-100), 2019 Global Index Rank and Dashboard (green-SDG achievement; yellow-challenges remain; orange-significant challenges remain; red-major challenges remain; grey-data not available) - SDG: 1. No Poverty; 2. Zero Hunger; 3. Good Health and Well-being; 4. Quality Education; 5. Gender Equality; 6. Clean Water and Sanitation; 7. Affordable and Clean Energy; 8. Decent Work and Economic Growth; 9. Industry, Innovation, and Infrastructure; 10. Reducing Inequality; 11. Sustainable Cities and Communities; 12. Responsible Consumption and Production; 13. Climate Action; 14. Life Below Water; 15. Life On Land; 16. Peace, Justice, and Strong Institutions; 17. Partnerships for the Goals (Sachs et al., 2019).**

All pilots correspond to relatively privileged communities, in terms of social, economic and environmental factors. There is a vast rural region (La Garrotxa, with the lowest population density), three cases inserted in compacted central city areas (Kispest, Telheiras and notably Vila Mariana), a small town (Santorso, with the lowest population) and a new municipality inserted in the suburbs of a metropolitan region (Valsamoggia).

In all the cases there is an active CBI with some connection to the Transition Movement and already engaging in collaboration with the LG (not to an extent considered desirable). In the case of Telheiras and Vila Mariana, there was already an institutional setting for collaborations between the LG and CBI.

A formal commitment was requested from pilots, conforming to several conditions:

- Create a diverse and dynamic ‘activation circle’ with members of both civil society and the local public administration, engaging in a basic shared governance to make decisions together about the pilot in a horizontal and transparent way;
- Fulfil the planned activities, including to attend the training event;
- Collaborate with the tutor, facilitate visits and participate in project meetings;
- Actively participate in the research process, reporting activities and in the Community of Practice.

Pilots were provided with:

- Financial support of 45 000 euros (15 000 for partially supported pilots; funds for Italian pilots were divided by the 2 municipalities) for pilot-related activities;
- Access to all documentation and support from tutor, core circle and researcher (less intense in the case of partially supported pilots);
- Possibility of participating in training events.

We will now present and discuss the results obtained in each moment of the experimentation.

## The experiments

### Facilitators training

The experiment starting point was an in-person meeting that happened between 13 and 16 March 2018, in Santorso (one of the pilots). Representatives from all the pilots were invited and answered the call, both from the LGs and CBIs (Table 4).

<b>Name</b>	<b>MiT role</b>	<b>Organization</b>
Alessia Zanandrea	Pilot: Santorso	Santorso Municipality
Ana Huertas	Core circle, coordinator	MIT
Cristiano Bottone	Core circle	MIT
Elisa Sperotto	Pilot: Santorso	Santorso Municipality
Federica Govoni	Pilot: Valsamoggia	Valsamoggia Municipality
Genís Serra i Martín	Pilot: La Garrotxa	Resilience.Earth
Giulio Pesenti Campagnoni	Pilot: Santorso	Santorso in Transizione
Henrique Melo	Pilot: Telheiras	Lumiar parish
Jordi Terrades Burniol	Pilot: La Garrotxa	ADRINOC
Juan del Río	Core circle	MIT
Lara Freitas	Pilot: Vila Mariana	Ecobairro
Luís Pereira	Pilot: Telheiras	Centro de Convergência de Telheiras
Magda Beretta	Pilot: Vila Mariana	CADES
Manuel Leite	Pilot: Telheiras	Santa Casa
Nicola Hillary	Support circle	Transition Network
Oscar Gussinyer	Pilot: La Garrotxa	Resilience.Earth
Pedro Macedo	Researcher	University of Lisbon
Peter Fülöp	Pilot: Kispest	Kispest Municipality
Samu Márton Balogh	Pilot: Kispest	Atalakulo wekerle
Tommaso Brazzini	Core circle	MIT
Valerio Betti	Pilot: Valsamoggia	Oggi, la Casa dell'innovazione

**Table 4 – Participants in the facilitators training.**

Main goals set were to train on the use of the MiTF and to codesign a basic local plan for the use of MiTF in each pilot<sup>3</sup>. The meeting was facilitated by the ‘core circle’ and researcher, resorting on a great variety of codesign methods and tools (Figure 4). Other activities included ice-breaking and team building techniques.

Contact with community was promoted through visits and meetings. Participants also stayed in locals’ houses.

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<sup>3</sup> A complete guide on how to use the MiTF was distributed to all the participants before joining the training (version Beta 1.0, February 2018, with updated versions in April and May 2018).



# Day 1 - Creating a common ground



## Welcoming and introduction

- Sharings, project presentation, logistics, group agreements, sociometry



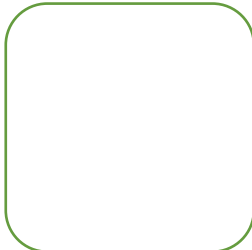
## Socioecological context and root causes

- Presentations and group dynamics (group discussions and theater game)



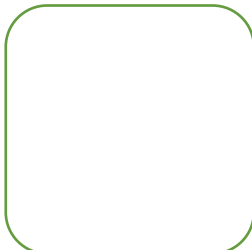
## Pilots' presentation

- Pechakucha presentations (sharing stories, 20 slides 20 seconds each) and group discussion



## The collaboration for transition

- Marshmallow Challenge and group discussion



## Inner transition

- Open Sentences (Joanna Macy)

# Day 2 - Diving in the MiT methodology



## Systems thinking and systemic activism

- Systems thinking game (patterns), presentation (Re.imagining Activism) and group work (systemic design)



## MiT Framework

- Presentation (background, functions, elements...) and group exercises on 'playing' with the grid



## Tools

- Presentation of the MiT database of tools and on 'pattern language'



## Troubleshooting

- Brainstorming and Q&A session

# Day 3- Codesigning the pilot plans



## Pilot planning work

- Explanation of experimentation plan and discussion



## Codesign I: dreaming/visioning

- Meditation and prototyping exercise



## Codesign II: plan

- Group work (in pilots' teams and with tutors' support) using canvas and timeline



## Codesign III: feedback

- peer-to-peer support, integrating feedback, preparation of presentations



## Research

- Presentation and group discussion on monitoring and evaluation

# Day 4- Looking to the future



## Pilot plans

- Presentation by pilots' teams, with feedback and discussion



## Community of Practice

- Presentation and world café, key questions on learning together



## Next steps

- Group discussion



## Evaluation

- Individual exercise

Figure 4 – Trainings scheme, with daily goals, topics, methods and activities develop.

Results achieved by participants include:

- Creation of interpersonal relationships and positive group bonding;
- Overview on the MiT's process (Figure 5);
- Shared view of the socioecological context (planetary boundaries, root causes, systemic crises...) and transition principles;
- Learning about collaboration challenges and successes in all pilots;
- Experiencing and practice on facilitation techniques and collaborative exercises;
- Personal development;
- Integration of a systems thinking approach and practice on tools for systemic change;
- Understanding of the MiTF background, structure and functions;
- Practice on using the grid, including the evaluation cycles;
- Codesign of the pilots' plans, through a process of divergence and convergence;
- Sharing of research related topics: the big picture, the goals, the roles, the needs and the outputs;
- Discussion of how we can support, learn and practice together (Community of Practice);
- Meeting's evaluation and creation of a collective story of the workshop (Figure 6).

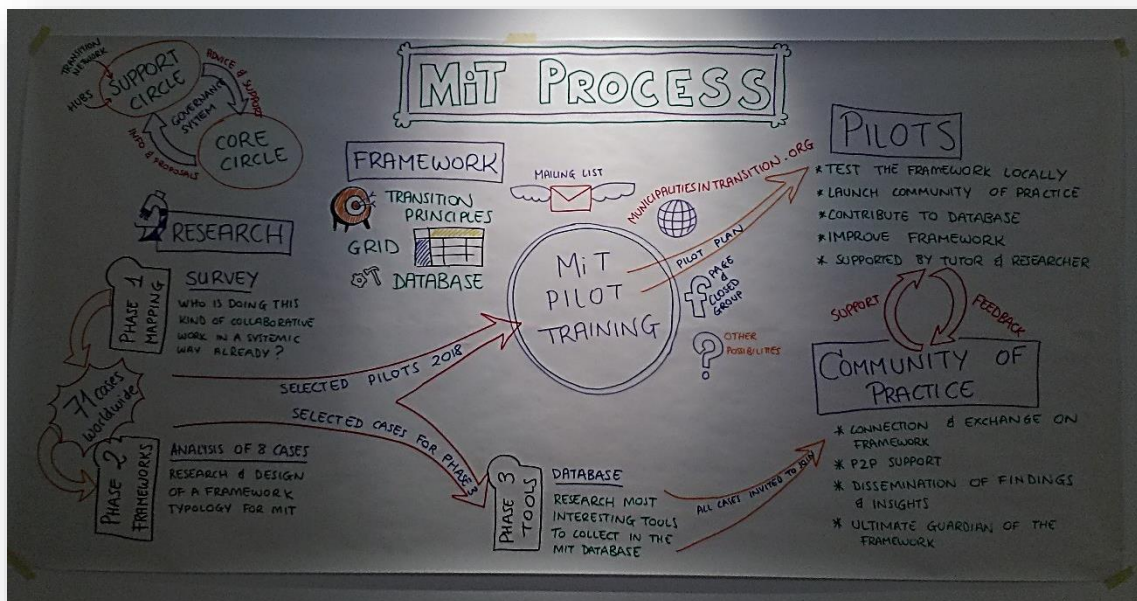


Figure 5 – MiT process.



Figure 6 – Flow of the MiT international training.

## Governance model

The MiTF is intended to be useful for processes driven by civil society organizations, local governments or both acting together, the last being the ideal circumstance. Different starting conditions will imply differentiated needs and strategies – in this experimentation phase of the MiT Project we selected pilots where we could have (at least) both LGs and CBIs together from the start.

We decided not to force a fixed governance model, because of contextual diversity, time restrictions and in the interest of testing different approaches.

Some of the possibilities suggested were creating a steering group with members of the different actors, agreeing on a process for decision-taking, or to hire and put in place a project team supported by consultants. If conditions were available, a sociocracy approach was recommended, in order to promote innovation and increase the potential for cultural change.

The governance models set into place in the pilots are presented in Table 5, including observations on the dynamics established. For every pilot, a tutor from the core circle was assigned.

Pilot	Governance model	Observations
<b>Kispest</b>	An action group was created, with transitioners (from the Wekerle initiative and the national hub) and representatives of the city council (usually the Mayor's communication director and his chief of staff, environmental committee, councilor previous working at the transition initiative). Consensus was used.	Action group met regularly. Several power issues had to be faced, also differences relating working habits and mutual expectations. Difficulties to fulfill some of the tasks. Previous conflicts, related to contested political options, were somehow overcome. Synergies, some already existent, were reinforced. There is the fear of creating dependencies (from the transitioners' side).
<b>La Garrotxa</b>	Action group included representatives from regional administration (ADRINOC) and Resilience.Earth (CBI). Decisions were taken through deliberation and largely through consensus. A 'ring team' was created involving regional thematic consortiums (Social Services; Economy and Innovation; Environment and Public Health), general secretary and other members (youth and education, communication...) and called to participate in critical decisions (e.g. deciding on pilot actions).	The 'ring team' had a strategic role and set the stage for improving systemic thinking and action at administrative level (mostly influenced by CBI). Initial expected meetings doubled, also to include trainings. High level of cooperation and power equilibrium between administration and civil society is recognized. Some divergence was faced relating financial issues and leading roles (at moments). ADRINOC acted as bridging organization, connecting the CBI with higher levels of administration.

Pilot	Governance model	Observations
<b>Santorso</b>	An action group was created with representatives from the Municipality and the transition initiative and several citizens (educator, young students, businessman). The Mayor participated in some meetings and sociocracy was adopted.	During the piloting, the action group lost their initial 'energy' and meetings became scarce. Process was then held by the representative from the transition initiative, with the support from other stakeholders and volunteers (in action implementation), with a sociocratic approach.
<b>Telheiras</b>	A local inclusive partnership was already established, and a working group had been recently created for sustainability action ('grupo pegada'). This group acted as an extended action group, with members from the Municipality and several Civil Society Organizations. Informal consensus was adopted.	The 'grupo pegada' adopted the MiTF to structure and initiate its action. Core work was assumed by the two civil society organizations (Santa Casa and Centro de Convergência), with support from the Municipality. Some divergence was faced relating financial issues, due to the existent of double roles, and it was overcome by mediation efforts.
<b>Valsamoggia</b>	An action group was set including a political representative of the municipal council, three people from local associations, an independent citizen, a public employee, a member of the local cultural foundation and the tutor. Sociocracy was adopted.	Sociocracy was considered crucial to lead with social diversity in the group and an effective tool for governance. The tutor, as member of the core circle and the community (also active member of transition in Italy) acted as facilitator as well (imbedded in the action group).
<b>Vila Mariana</b>	An action group was created with representatives from Ecobairro, CADES, Municipality, Community garden and Transition Hub. CADES acted as a steering group. A partners group was created with CADES from other municipalities, Biological Institute, Agenda 2030 Forum and others. Sociocracy was adopted.	A training on sociocracy was organized. It is believed that the process also impacted the governance at the Municipality level.

**Table 5 – Governance in the pilots.**

By analysing the results, we can conclude that all pilots were able to put an effective governance model in place, even if in two cases initial expectations were not met and demanded for changes. In all the cases the CBIs had a leading role, compared to LGs. All cases reported that the governance experiment contributed to improve relationships and conditions for local transformative collaborations (this will be discussed later).

In most of the cases (5), governance was open to participation beyond the action group. National Transition Hubs were involved in most, if not all, the cases. Additionally, sociocracy was used in half the cases.

Some conflicts occurred but were effectively handled. They mostly can be related to some lack of clarity at the governance model, attributed to the short period to put it in motion.



## Baseline

In this phase the proposed challenge was to map local transformative initiatives (actions, plans, processes...) already happening in the community, in a participative process as synchronous as possible<sup>4</sup>. Some examples were shared: “trainings on sustainable waste management, low emissions mobility plans, local food productions schemes, information campaigns on energy efficiency, climate change adaptation trainings, circular and sharing economy activities, etc.”.

It was explained that “the scope of the baseline is not to provide a precise scientific measurement methodology but a way to more clearly see ‘the big picture’ of the community”.

A specific guide on how to prepare the baseline and an on-line training session were provided to the pilots. A ‘grid calculator’ was shared to support the calculation efforts.

To support the collection of data, a form was prepared, including the following fields:

- Action title;
- Short description;
- Contact person;
- Grid position (to map all the actors and actions involved in the initiative);
- Evaluation cycles<sup>5</sup> (to see how much the initiatives are educated, caring, tangible and inclusive).

The baseline exercise provides both a quantitative and qualitative assessment of transformative governance in place (see Report #1 for the discussion of this topic), namely:

- Baseline Quantitative score, corresponding to the number of filled cells for each initiative (‘range of impact’) and for the overall community efforts (‘grid score’);
- Baseline Qualitative score, corresponding to the result of the evaluation cycles (‘evaluation score’).

The normative goal is therefore that “a community strongly committed to change toward sustainability should produce a grid with every cell seeing many bold actions going on”. Also, each initiative should have a maximum number of filled cells, which could be interpreted as an indication of “a more systemic action, probably a greater efficiency, more possibilities of subsequent extension, etc.”.

Yet another normative dimension was introduced in the calculation of the grid score, by attributing differentiated ‘values’ to some cells that could be considered as ‘leverage points’, producing “bigger, longer lasting results” (see Figure 1 - a factor of 3 was applied to cells marked with ‘+’ and 5 with ‘++’, while ‘normal’ cells counted 1).

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<sup>4</sup> At least involving one representative from the LG and other from the CBI.

<sup>5</sup> This correspond to using a scale 0-2 to answer two set of questions, namely 1 (HHH) Head step - Is it based on the best available data? (Would you classify the data as very solid and true? Would you classify the data as good but with some doubts? Would you classify the data as quite uncertain?); Heart step - Is it considering and taking care of emotional/relational consequences on everyone involved? (Is this producing fear or conflict? Is this highlighting positivity, happiness, joy... ? Is there “space” and “time” to take care for emotions? Are participants feeling empowered?); Hands step - Does it produce practical effects? (Can this produce change? Can the change last? Can the change foster further change?); and 2 (WWW) - Are all the key actors involved? (Who is there? Who is missing? Who should be there?)

Pilot	Baseline	Observations
<b>Kispest</b>	20 initiatives were collected through interviews to different actors performed by transitioners and at times municipal officials. Examples: integration of people with mental disability; environmental education programs; local market development; community gardens.	Collection through online questionnaire and handouts did not work. Interviews allowed reinforcement of mutual knowledge and to identify duplication of efforts but were demanding in terms of resources. Data needed consolidation.
<b>La Garrotxa</b>	35 regional initiatives were collected through 37 deep interviews with local actors and 4 deep research meetings with local experts. Examples: shared educational resources; urban centre observatory; commercial campaigns; participatory plan for the old neighbourhood; trails network; socio-economic regional observatory.	Actions were categorized in social, ecologic, educational, economic or transversal, and thematic analyses were conducted. Besides the current state, the potential for each initiative was also mapped.
<b>Santorso</b>	37 initiatives were identified by the action group in several meetings. Example: association that helps new mothers before and after pregnancies with courses and meetings with experts and other mothers.	Reported insights include few connections and synergy between different initiatives and a contrast between the perceived and the actual richer 'environment' (many initiatives happening).
<b>Telheiras</b>	25 initiatives were collected through an online questionnaire, filtered and analysed by the action group (responsible to fill the action forms). Baseline was validated by the extended action group. Examples: introduction of reusable cups for events; exhibition on pollution caused by plastics.	Survey allowed also to identify potential initiatives. There were some initial difficulties in filling the action forms (namely evaluation) and in obtaining information from the municipality. Mapping included the identification of the initiatives' starting point and cells with negative impacts. An extensive list of doubts and suggestions on the methodology was produced and shared.
<b>Valsamoggia</b>	29 initiatives were identified and analysed by a small team, a few coming from an open survey. The action group also participated in some of the evaluation. Examples: environmental education program; high energy efficient codesigned school.	Shared insights: the exercise allowed to identify possible connections between initiatives; awareness of citizens about initiatives was low and disappointing; vision of the political personnel and the administration staff was misaligned. Initiatives conducted by businesses were excluded.
<b>Vila Mariana</b>	43 initiatives were mapped based on the knowledge of the action group and through an online form. Some local initiatives were contacted for extra detail. Examples: Open University on Environment and Culture of Peace; organic fair; community garden; ecovillage institute; sidewalk planting.	Initially the baseline was done for the initiatives related to a specific project (sidewalk planting). Baseline was considered crucial to create a shared vision and convergence of efforts. Intensive efforts are being promoted to update and share the global baseline with local actors and politicians, in order to raise awareness and create interactions between initiatives.

**Table 6 – Baseline (initiatives, methods, insights and other observations).**

In the pilots' baseline exercises, a total of 189 local transformative initiatives were mapped and evaluated (average 32 per pilot). Examples of initiatives provided in Table 6 correspond to the ones with higher baseline qualitative scores.

The grid and evaluation scores for the total of the initiatives are shown in Table 7, and also the average range of impact of each initiative (on average, each initiative was mapped in 9 cells, out of 56).

Note that the scores are not (easily) comparable between pilots, due to contextual discrepancy and since they are influenced by the methods, resources and knowledge involved in each case<sup>6</sup>. For instance, the greatest value of the average range of impact in Valsamoggia, might be linked to the skills, knowledge and effort involved in the assessment (the tutor, also active member in the community, participated directly in the exercise). On the contrary, it could in fact reflect a relatively higher effort to be inclusive in transformative efforts or just a greater number and diversity of actors existent in Valsamoggia (possibly related to the recent mix of 5 municipalities).

Nevertheless, it can be argued that these scores represent a proxy for the transformative efforts happening in each community.

<b>Pilot</b>	<b>Total grid score</b>	<b>Total evaluation score</b>	<b>Average range of impact<sup>7</sup> (%)</b>
<b>Kispest</b>	311	123	15.1
<b>La Garrotxa</b>	703	192	20.4
<b>Santorso</b>	501	198	12.0
<b>Telheiras</b>	333	148	11.2
<b>Valsamoggia</b>	894	163	27.6
<b>Vila Mariana</b>	595	196	12.7

**Table 7 – Baseline results.**

Grid patterns exhibit great variability between pilots (Figure 7).

In most of the cases, the cell with the most records was cultural change involving the public, probably due to the largest number of initiatives involving general awareness raising. More involved actors (independently of the kind of action) vary between pilots, and were organizations, businesses or public (Table 8 and Figure 8). More frequent actions are vision, organization or cultural change.

<sup>6</sup> Methods used vary and include interviews, surveys and brainstorming sessions in action groups, as well as different criteria for the selection of initiatives. Some pilots also decided to contract specific people for the task (which can be associated with higher scores).

<sup>7</sup> Corresponds to the number of cells 'occupied' in the grid (records), in average, by each initiative (in this case, shown in percentage); note that it does not differentiate 'leverage cells', as in the calculation of the grid score.

**Kispest**

	A	B	C	D	E	F	G	H
1	20	10	5	5	20	5	⇒40	5
2	⇒30	⇒25	⇒25	15	⇒35	15	10	5
3	15	20	15	15	15	10	10	0
4	5	⇒25	⇒30	20	10	5	⇒30	0
5	15	5	⇒25	10	15	15	⇒40	5
6	5	10	20	0	⇒30	15	👉65	5
7	0	15	10	10	15	10	10	0

**Telheiras**

	A	B	C	D	E	F	G	H
1	16	0	0	0	12	4	20	0
2	4	20	8	0	20	8	⇒24	8
3	⇒32	16	0	0	12	4	0	8
4	16	12	4	0	16	0	16	8
5	8	12	4	4	⇒24	4	⇒36	8
6	16	8	0	0	👉52	8	👉72	0
7	4	8	4	4	⇒28	12	0	⇒24

**Garrotxa**

	A	B	C	D	E	F	G	H
1	⇒37	⇒20	👉57	6	👉57	14	⇒31	9
2	11	⇒31	👉43	3	⇒31	17	⇒20	11
3	⇒23	⇒29	👉49	0	⇒37	11	9	11
4	6	⇒26	⇒31	3	9	11	6	6
5	11	⇒20	⇒29	6	👉51	⇒29	👉46	9
6	14	11	14	0	⇒34	11	⇒37	9
7	9	17	⇒29	3	👉43	⇒20	14	9

**Valsamoggia**

	A	B	C	D	E	F	G	H
1	👉66	3	10	3	⇒55	⇒48	👉69	⇒34
2	14	⇒34	10	10	17	24	17	7
3	⇒38	⇒38	24	14	⇒52	⇒45	24	3
4	⇒34	⇒38	24	10	⇒41	⇒31	21	28
5	28	7	7	3	⇒31	⇒34	⇒41	28
6	⇒52	7	21	14	⇒45	⇒48	👉86	👉62
7	⇒31	0	3	7	24	28	⇒31	17

**Santorso**

	A	B	C	D	E	F	G	H
1	11	5	3	3	19	11	⇒38	8
2	0	0	0	0	3	0	0	3
3	0	14	0	5	3	0	16	5
4	0	14	0	19	14	⇒32	⇒32	19
5	5	8	3	3	30	11	⇒32	19
6	19	16	3	5	30	30	👉92	24
7	11	11	3	3	11	3	8	19

**Vila Mariana**

	A	B	C	D	E	F	G	H
1	7	0	0	2	⇒26	19	⇒30	5
2	7	9	0	0	19	👉51	2	2
3	5	14	2	0	14	⇒35	0	2
4	5	16	5	9	⇒26	👉56	5	0
5	7	9	0	0	⇒33	⇒28	⇒35	19
6	5	5	0	2	21	⇒30	👉67	9
7	5	9	0	0	⇒23	7	16	12

**Figure 7 – Baseline results**

(% records; filled colour correspond to gradient between 0 – white and 100 – black; up green arrows correspond to values above 67% of highest record for each pilot; horizontal yellow arrows correspond to values between 33 and 66%).

Pilot	Mun. Pol.	Mun. Org.	Controlled Ent.	Suppliers	Organizations	Businesses	Public	Networks
Kispest	13	16	19	11	20	11	29	3
La Garrotxa	16	22	36	3	38	16	23	9
Santorso	7	10	2	5	15	12	31	14
Telheiras	14	11	3	1	23	6	24	8
Valsamoggia	37	18	14	9	38	37	41	26
Vila Mariana	6	9	1	2	23	32	22	7
<b>Total</b>	<b>14</b>	<b>14</b>	<b>12</b>	<b>5</b>	<b>26</b>	<b>20</b>	<b>28</b>	<b>11</b>

Table 8 – Frequency of records (range of impact) per actor and per pilot (%).

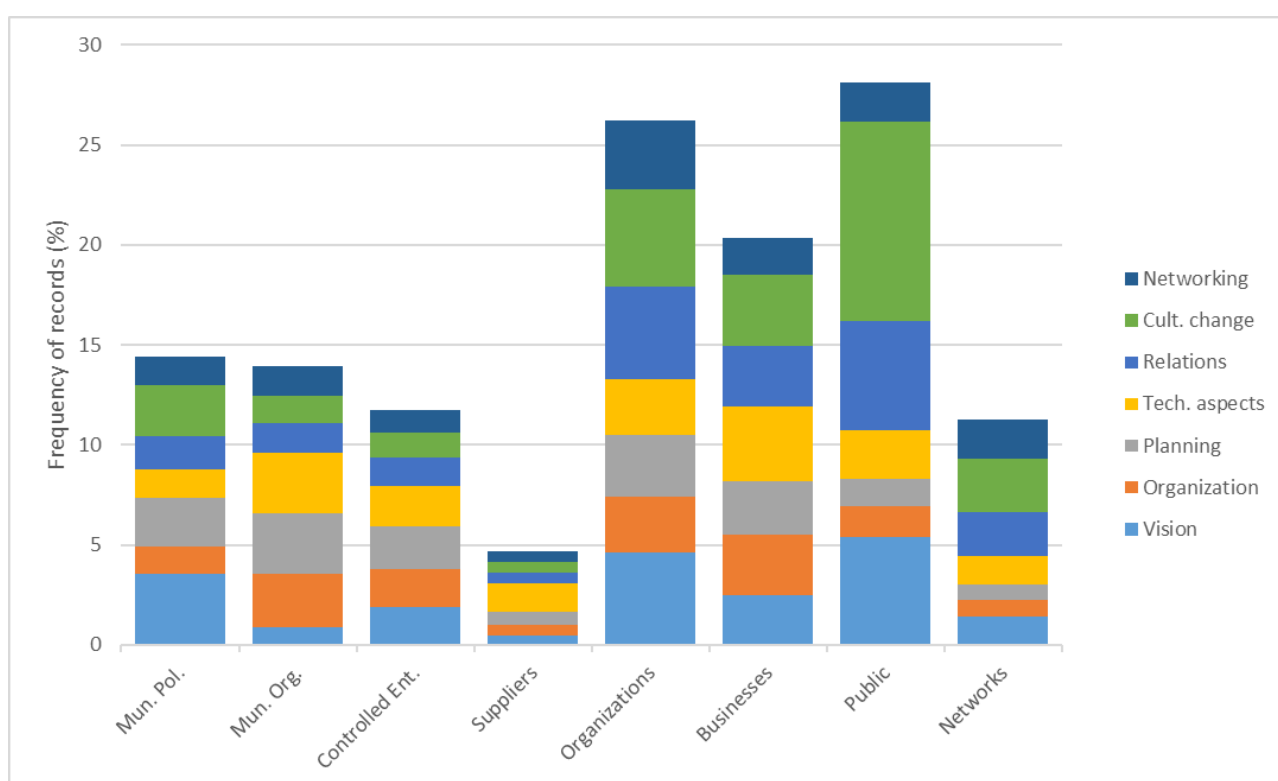
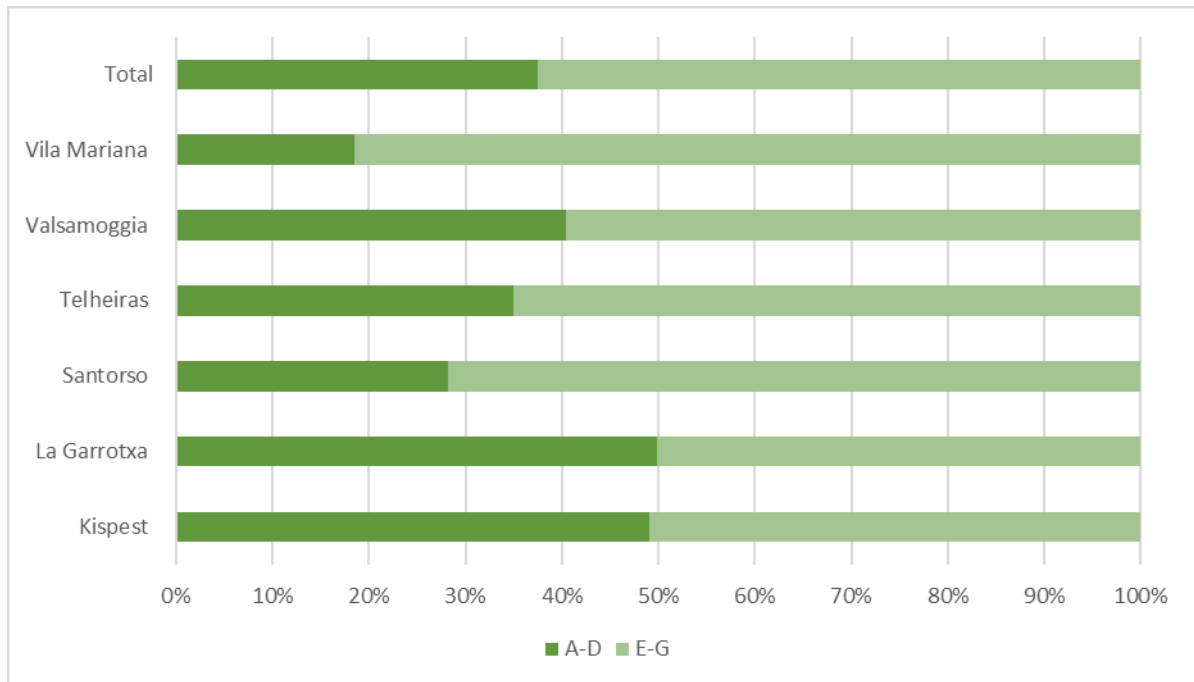


Figure 8 – Range of impact per actor/action (6 pilots).

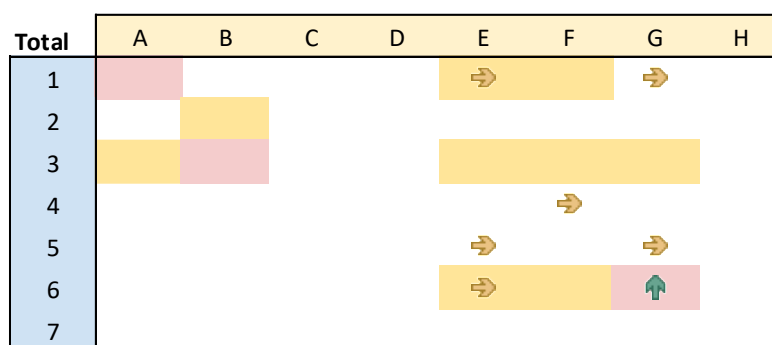
The pattern for actors' involvement in initiatives (Figure 8) is quite similar to the one obtained from the analyses of the 71 cases mapped (Report #1). Again, controlled entities and suppliers are not usually participating, which can demonstrate that initiatives like green procurement or life-cycle assessments are rare. Often these controlled entities manage critical sectors relating sustainability, like water, waste or energy.

The comparison between baseline results for municipalities' actors and their sphere of direct influence (grid columns A-D) and other organizations (columns E-G) reveal different patterns between pilots (Figure 9). Only in Kispest and La Garrotxa is there a balance<sup>8</sup>.



**Figure 9 – Relation between baseline results for municipalities 'sphere' (A-D actors) and non-administration actors (E-G).**

Cells with the highest numbers of records does not correspond, in general, with the proposed 'leverage cells' (Figure 10). We can calculate an indicator of 'leverage intensity' by dividing the total grid score by the overall number of records (results will be between 1 and 5) (Table 9).



**Figure 10 – 'Leverage cells' versus cells with more records registered in all pilots (up green arrow correspond to values above 67% of highest record while horizontal yellow arrows correspond to values between 33 and 66%).**

<sup>8</sup> Again, we can detect an influence of the methods used for the baseline, not preventing the data usefulness.

Pilot	Grid score/ total records
Kispest	1.84
La Garrotxa	1.76
Santorso	2.01
Telheiras	2.12
Valsamoggia	2.00
Vila Mariana	1.94
<b>Total</b>	<b>1.93</b>

Table 9 – Leverage intensity.

Apparently, no direct relation exists between the quantitative and the qualitative scores, as we can infer from Figure 11 and Figure 12 (correlations are weak).

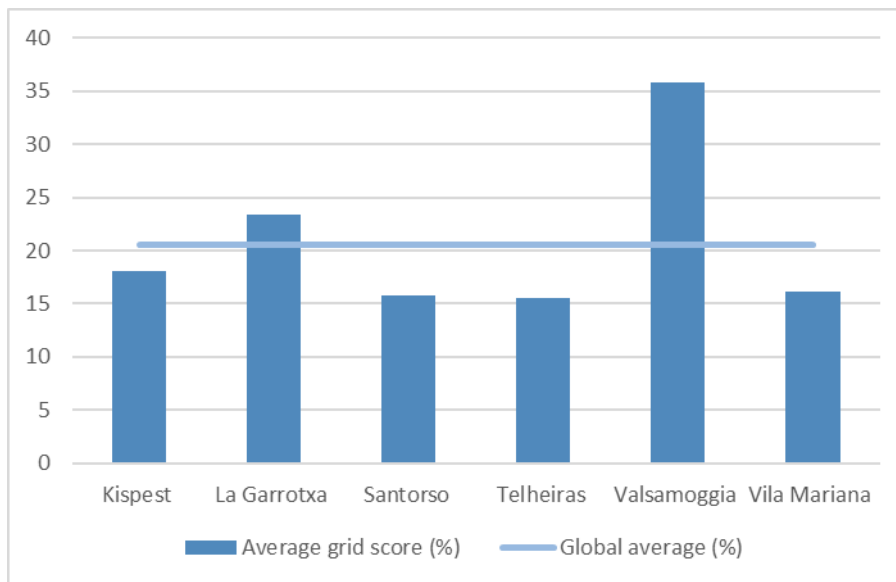
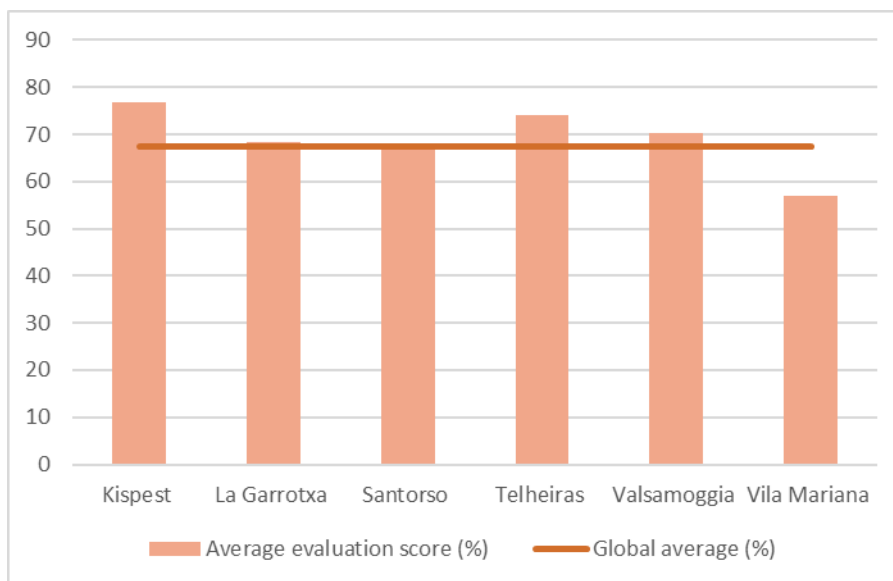


Figure 11 – Baseline results  
(average grid score for the initiatives in each pilot, in % of maximum value).



**Figure 12 – Baseline results**  
(average evaluation score for the initiatives in each pilot, in % of maximum value).

Several innovations were introduced in the baseline process (as presented in Table 6), something that was incentivized. In La Garrotxa the potential impact for the initiatives was also marked. In Telheiras the cell where the initiative was believed to have started was flagged, and cells registering negative impacts as well. In La Garrotxa the grid needed to be adapted for the regional scale<sup>9</sup>. Sometimes somewhat different interpretations were used for categories. In Santorso the connections between initiatives was also mapped.

In Telheiras, one of the initiatives mapped was actually the implementation of the local Municipalities in Transition project (Figure 28).

### Planning cycle

This stage of the experimentation involved setting a basic initial systemic plan for the community. The baseline “helps to spot energy, resources, weak points of the community systems and actions” and should be the starting point.

Pilots were asked to design two actions, namely:

1. Identify an initiative having already high scores, in order to be used as an impulse for the action (would it be possible to increase the initiatives’ impact even more, for instance by connecting new actors or integrating new categories of activities, or by creating interconnections to other initiatives?);
2. Create a new initiative that might ‘fill in the blanks’ in the grid or contribute to increase the evaluation scores.

In the future, this stage will be supported by the database of tools<sup>10</sup>.

<sup>9</sup> In this case, the first columns were assigned to the regional administration, while local administration was considered under controlled entities.

<sup>10</sup> During this experimentation we did not have the necessary resources for a full database development, therefore we developed a working mock-up of the database to provide pilots with a chance to understand the tool ([beta version](#)).



Planning activities and observations are summarized in Table 10.

Pilot	Planning activities	Observations
<b>Kispest</b>	<p>Actions were selected by the action group (consensus), looking at already existent dynamics and concerns.</p> <p>To scale initiatives happening only in the Wekerle district was proposed as a priority, namely by the Municipality (to reduce inequalities), and led to the action on reusable plastic cups to be used in events in Kispest. A working group on local food followed motivation from the transitioners and previous efforts. A third and new action related to the creation of a community space at the Wekerle Market (opportunity).</p>	<p>Participants reported not having the necessary resources to explore new territories for action.</p> <p>The baseline was not finished before the planning process.</p>
<b>La Garrotxa</b>	<p>After analyzing the baseline, 3 priorities were set: shifting the political vision towards resilience; empowering civil society to lead regional initiatives; bridging the three regional consortiums so that they can become a “hive of transformation”.</p> <p>Decision was taken by ‘ring team’ (consensus) on strengthening the Observatory of La Garrotxa, and, as new actions, to promote a conference and trainings in resilience (for politicians, technicians and civil society).</p>	<p>The difference between potential and actual impact (grid score) was a criterion used.</p> <p>Trainings on request (complementary action).</p>
<b>Santorso</b>	<p>After analyzing the baseline, 2 actions were spotted. One already being implemented and having a lot of energy and potential to involve more people (promotion of renewable energy) and one that needed to start and be aligned and strengthened (European project on local democracy).</p> <p>Decision by the action group, on consensus.</p>	<p>At this stage relations between transitioner and Municipality were getting stronger, and transitioner was even working at Municipalities’ premises. One of the strategic goals was to revitalize the Mayors Adapt plan.</p>
<b>Telheiras</b>	<p>Actors with low grid scores (municipality, business, controlled entities...) were considered to demand investment of resources (namely time) not available, so were discarded. Likewise actions not already involved in the local partnership.</p> <p>Decision taken by extended action group (with new member from schools) to create a new ‘horizontal’ action to support transformation (“Resource Centre”) and to reinforce initiative related to “Horticulture in Educational Context”). New action passed a voting process.</p>	<p>Initial decision was taken to jointly reinforce a group of existent actions that were considered ‘representative’ of global efforts. A codesign session was organized. Some conflicts happened because global perspective was lost when discussing particular needs of people participating in the process. Decision for “Resource Centre” was ‘way out’.</p>

Pilot	Planning activities	Observations
<b>Valsamoggia</b>	The baseline revealed that a lot of initiatives were happening, with a deficit on visibility. Decision was taken to create Valsa TV (online short videos on interesting cases) to overcome this. A new bold action was decided to integrate the coming local elections, namely, to jointly define a 'Local Elections Candidates Profile'.	Sociocracy (S3) was extensively used in the actions planning. The 'Local Elections Candidates Profile' was seen as a 'leap in the dark', surely provocative and needed, but quite "risky". Both actions are somehow a tentative to weaken the actual polarized social scenario.
<b>Vila Mariana</b>	Decision was taken by CADES and other actors. Criteria for existent action to be reinforced included replicability, wide range of action and contribute to climate protection.	Both actions (Sidewalk planting and Sustainability working group) had been decided as priorities prior to the start of the experiment. Nevertheless, they fitted the project's goals and the baseline meanwhile produced.

**Table 10 – Planning cycle.**

This stage (planning), in general, was perceived as easier than the previous one (baseline). In most of the cases (4) the baseline analyses brought the insights needed to identify strategic initiatives that could be reinforced or created in order to boost transformation. In the other 2 cases, actions were decided before finishing the baseline, but in a similar process. Interesting methods were used, like codesign sessions and comparison between actual and potential impacts.

A pattern could be identified in the chosen actions: one that could be considered "low hanging fruit" (to reach results in a short-term period) and other one that could be more strategic and having longer-term impacts.

The kind of actions selected can be related to contextual factors, including available skills and concerns in the action group. For example, the two actions in Italy related to political issues might reflect the intense debate going on in that country.

### Action

This phase corresponded to the implementation of planned actions in pilots' communities. Mains activities developed and observations are presented in Table 11.

Pilot	Actions	Observations
Kispest	<p>Kispest Reusable cups - 1000 reusable plastic cups in 2 sizes with local design were made available for local events and used at least 4 times.</p> <p>Community space at Wekerle Market – ready to open.</p> <p>Local Food strategy – a working group and plan were established, and a conference was organized on the possible greening and localization of public catering services of the municipality.</p>	<p>Still working on how to best involve and motivate catering service companies serving on municipality events.</p> <p>Creating the community space has brought the need for the transition movement to become formal, in order to be able to sign a contract with the Municipality (this was seen as an opportunity).</p> <p>Local food strategy did not enter the political agenda (yet) but significant steps were done<sup>11</sup>.</p>
La Garrotxa	<p><a href="#">Observatory of La Garrotxa</a> - reformulating indicators through intense strategic, technical and research meetings; trainings; long-term strategy.</p> <p>Conference on Bioregional Transition towards Resilience - reaching a total of 281 different individuals.</p> <p>Capacity Building Trainings – main training on Transition &amp; Resilience to public workers from various regional departments (40 participants).</p>	<p>Reformulation of indicators focused on leverage points, bringing in systemic analyses and connecting to Sustainability Development Goals. The ‘new’ observatory was presented publicly on June 2019.</p> <p>This was a process with ‘high-level’ influence, involving in-depth work with the regional departments of, and Directors of, social, environmental and economy affairs in La Garrotxa (see governance model).</p> <p>At the request of the administration, conference was divided in 3 moments dedicated to specific publics (general civil society, professionals, politicians).</p>
Santorso	<p>RECOV (REthinking COLlaborative Values for public services) – organized a workshop on local democracy, named “The future of democracy” (30 participants). Shared results in project’s international meeting.</p> <p><a href="#">Salta la Corrente</a> – organized ‘world café’ sessions and other activities like energy ambassadors, to support the transition to renewable energy providers. More than 30 families joined, local businesses and the Municipality. Created a system for permanent support for future interested people.</p>	<p>In the workshop, they explored the pattern of the ‘tragedy of the commons’ and how democracy is not going to help in times of danger, and also sociocratic tools. Participants’ reaction was synthesized like: “now we understand the need of MiT!”</p> <p>A celebration with all the people involved in the Salta la Corrente was organized, and also produced a video with support from Valsamoggia pilot.</p>

<sup>11</sup> The MiT process has prompted the Municipality and Transition Initiative in Kispest, to become more ambitious together than they initially planned, including now engaging in long-term planning around the growing and provision of local food. They are negotiating towards the municipality taking the catering contract for schools and care homes in-house, to switch it to local, sustainable food in 10 schools and care homes, totalling 4,000 meals per day. It will promote and strengthen local, low-impact farming practices and reactivate the economy in the Kispest district by developing new small-scale local processing facilities. The Municipality and the Transition initiative will work together to fundraise for this project, while liaising with other local initiatives related to organic, local food, and providing a good example to other urban municipalities.

Pilot	Actions	Observations
Telheiras	<p>Horticulture in Educational Context – teachers and other school staff from 5 schools (from kindergarten to 9th grade) participated in a training and the implementation of a vegetable garden and the creation (and training) of a ‘vegetable garden group’ also with students and parents, and had weekly support for a year.</p> <p><a href="#">Shared Resource Centre</a> – it has a communication component (sharing online information about sustainability initiatives) and material (sharing resources for citizens and organizations, like reusable materials for events, sewing machines, smart electricity meters, multimedia projector, bike repair station, etc.).</p>	<p>Previous version of the horticulture initiative was just promoting single trainings to teachers outside school. Besides improvements refereed, also other topics were included (circularity, healthy eating and food waste) and organizations involved (seniors from Community Center, made a vegetable ‘nursery’ to provide the schools with new plants).</p> <p>Shared Resource Centre already opened for organizations and will be open for public later in 2019.</p>
Valsamoggia	<p><a href="#">Valsa TV</a> – This was a YouTube and Facebook channel featuring good examples of sustainability initiatives; 14 short videos, with 1230 visualizations and 29 subscribers (as of 1<sup>st</sup> July 2019).</p> <p>Local Elections Candidates Profile – this profile was prepared and made public before the elections by the action group; S3 was used and the document had external revision to increase diversity and reduce controversy; candidates to local elections were asked to comment on the profile, participate in an interview on Valsa TV and offered training.</p>	<p>Valsa TV exhibited a video on one of the Santorso’s actions. The one with the most ‘views’ was about the meeting with local candidates.</p> <p>Political parties refused to be officially part of the ‘Local Elections Candidates Profile’ action.</p> <p>Example included in the profile: to have a basic understanding of the study of the Planetary Boundaries, overview and long-term vision for the territory, solid administrative experience.</p>
Vila Mariana	<p>Sidewalk planting – The MiTF was used to evaluate the 2 initial phases of the project and codesign the 3<sup>rd</sup> that included community planting and policy advice. Possibility to grow to city level.</p> <p>Sustainability Working Group – mapped 43 local initiatives committed to sustainability in the territory, involving meetings, visits and trainings.</p>	<p>An ‘extra’ institutional action was promoted to assure continuity of the process initiated with MiT, namely institutional meetings to share the MiT main results.</p> <p>A public meeting was organized to present the mapping and promote partnerships (June 2019).</p>

**Table 11 – Implementation of actions.**

Most of the actions (8/14) were equally divided between some kind of awareness-raising and capacity-building goals (workshops, trainings and an online TV) or ‘hands on’ (planting and caring, renewable energy, reusable cups). Some had notable ‘physical manifestations’ (two centres for community development) while others were more intangible (2 working groups and one observatory). A new audacious and creative action appeared, namely, to develop a profile for candidates for local elections (could possibly be included in the first category).

In most of the cases (5/6) the action groups were directly involved in developing the actions, and in several pilots new people and organizations were directly involved in specific teams (Santorso, Telheiras, Valsamoggia...). Support circles (like the 'ring team' in La Garrotxa) also participated.

Besides the planned actions, many other smaller activities were developed and supported, responding to emergent opportunities.

### Evaluation

The MiTF has a built-in evaluation system, provided by the grid and the evaluation cycles. To evaluate the experiments, pilots were asked to review the baseline and compare the final and starting points, overall and specifically for the chosen actions.

Complementing this, pilots were challenged to evaluate specific impacts in terms of technological, social or institutional change and community resilience (e.g. climate adaptation, equity, cross-community links...), using appropriate indicators. Tools for this are expected to be included in the database. A Monitoring Guide was prepared and delivered to pilots.

Pilots were asked to pay attention to aspects like new actors involved, their experience in using the framework, the quality of the relations between the actors or the effectiveness of the model of governance in place.

Pilot	Evaluation activities	Observations
<b>Kispest</b>	The grid and evaluation cycles were used to evaluate the initial, potential/planned and final status of adopted actions. Grid score improved 11 points (41% of potential). Evaluation score declined 4 points (new difficulties arose from bigger scale and implementation).	Results were analyzed in detail, including needed corrective actions. A permanent system for evaluating the 'heart' was used in the action group's meetings.
<b>La Garrotxa</b>	Regular activities included meetings and interviews, and surveys to participants. Indicators assessed: degree of learning amongst and between public administration workers, civil society members and core team researchers; number of indirect beneficiaries reached through media presence and pilot actions; number of mentions in public media; additional unplanned outputs. Grid score improved 38 points (19% potential for observatory). Evaluation scored improved 5 points.	The actual results of the selected pilot actions far exceeded pilot's expectations. At a personal level, most of the participant members have expressed a sense of hope and empowerment through their participation in the pilot.
<b>Santorso</b>	Only measurement for success was to see if the actions managed to achieve their goals (accomplished), and if people involved maintained their enthusiasm and commitment (accomplished in case of technicians and Mayor, not so much other politicians).	Tried to keep an action-learning attitude from the beginning. Realized that "nobody wants to really put their mind on it to understand how the thing really works; nobody really wants to do the dirty job".

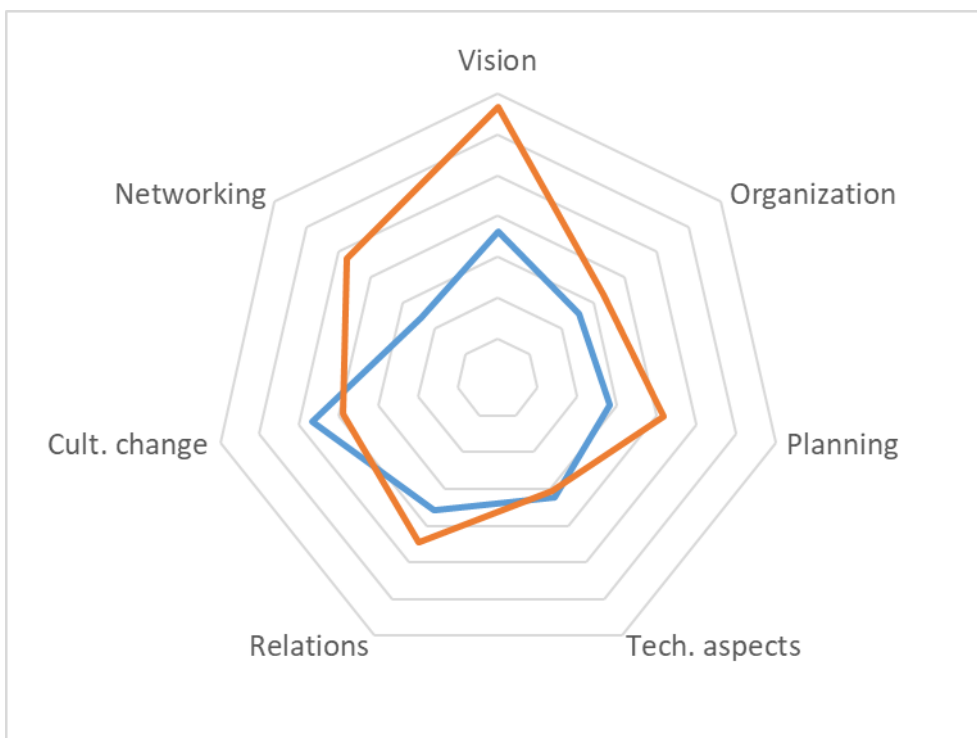
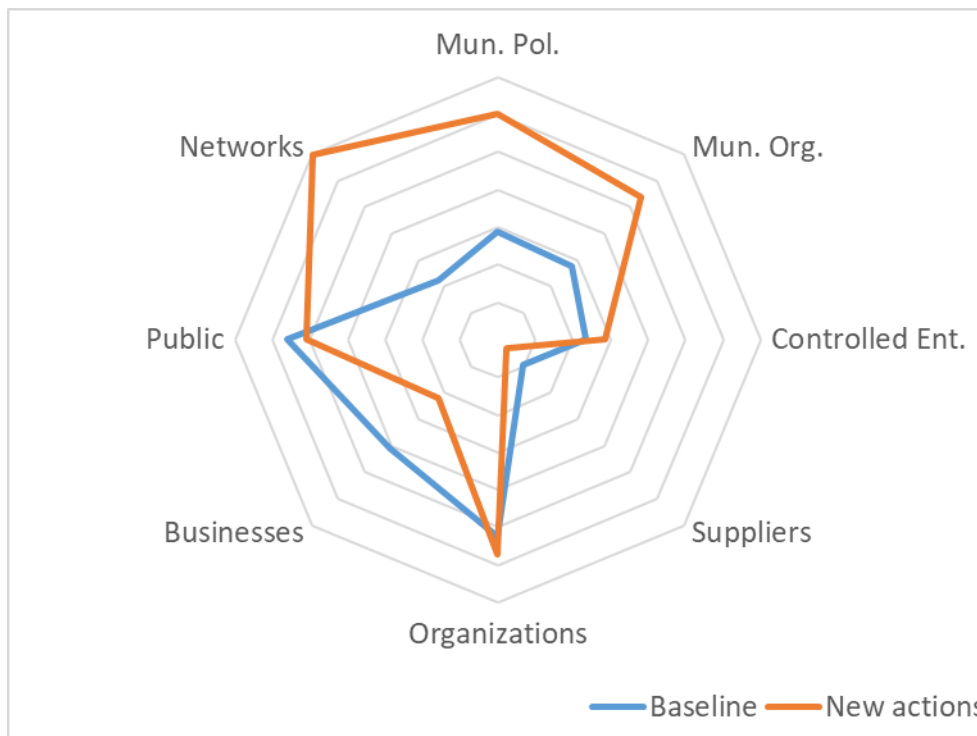
Pilot	Evaluation activities	Observations
<b>Telheiras</b>	For the first half of the pilot (until planning) a detailed external evaluation was prepared. Organized a final meeting of the action group to do the evaluation based on the questions suggested by the MIT core team. Grid score improved 66 points (3x increase for horticulture). Evaluation scored improved 8 points.	Did not define particular indicators for the actions due to time constraints. In general, it was considered that all proposed activities were implemented with the involvement of the planned actors.
<b>Valsamoggia</b>	Evaluation was focused on the evolution of relationships and social dynamics. The grid and evaluation cycles were also used to evaluate actions: grid score improved 65 points (81% of potential; 131% Valsa TV e 42% Profile).	Due the type of actions and timing, “measurable indicators” were not integrated. Main insight was that actors are now aware of possibilities (namely on governance of transition processes), eager to change and to enter dialogue.
<b>Vila Mariana</b>	Several indicators were monitored, including number of people and organizations involved and media impact. Around 300 people participated at the community planting. Grid score for the planting improved 13 points (48% increase).	Although considering all indicators useful and important, pilot emphasized the importance and significance of the involvement of the municipality in the process.

Telheiras was by far the pilot with a greater relative increase in the total grid score (20%).

Pilots used diverse methods for monitoring and evaluation, due to adaptation to different resources and sorts of actions implemented, and also lack of clear instructions.

The built-in evaluation scheme provided valued information and means to collect it. New cells that were ‘occupied’ by activities implemented (not all were mapped) had a diverse range of actions and actors (Figure 13). Most frequent included actions to promote vision, followed by relational actions and networking. Actors that were little involved were suppliers, businesses and controlled entities (other were approximately equally involved).

In sum, new activities helped to ‘correct’ the relatively lower participation of municipalities but kept ‘discriminating’ suppliers. They increased vision, organization and planning. Additionally, networks and networking were favored. Leverage intensity was lower than in the baseline.



**Figure 13 – Comparison of baseline and new actions, relatively to actors & actions involved.**

## Final meeting

The MiT project's 'final' gathering was organized between 21 and 24 February 2019, in Telheiras. Main goals were to share learnings and experiences (also for evaluation purposes), to celebrate joint achievements and to set next steps.

Like in the initial training, representatives from LGs and CBIs from each pilot were asked to attend (Table 12). The meeting was designed to enable co-production of knowledge, being facilitated by the 'core circle' and researcher. The flow, methods and tools used, some quite exploratory, are presented in Figure 14 and Figure 15 (excluding the ice-breaking and team building techniques).

Name	MiT role	Organization
Ana Huertas	Core circle, coordinator	MiT
Cristiano Bottone	Core circle	MiT
Erika Zárate	Pilot: La Garrotxa	Resilience.Earth
Federica Govoni	Pilot: Valsamoggia	Valsamoggia Municipality
Filipa Pimentel	Support circle	Transition Network
Giulio Pesenti Campagnoni	Pilot: Santorso	Santorso in Transizione
Henrique Melo	Pilot: Telheiras	Lumiar parish
István Ferenczi	Pilot: Kispest	Kispest Municipality/ Atalakulo wek.
Jordi Terrades Burniol	Pilot: La Garrotxa	ADRINOC
Juan del Río	Core circle	MiT
Lara Freitas	Pilot: Vila Mariana	Ecobairro
Luís Pereira	Pilot: Telheiras	Centro de Convergência de Telheiras
Magda Beretta	Pilot: Vila Mariana	CADES
Manuel Leite	Pilot: Telheiras	Santa Casa
Michael Thomas	Support circle	Transition Network
Nicola Hillary	Support circle	Transition Network
Pedro Macedo	Researcher	University of Lisbon
Peter Fülöp	Pilot: Kispest	Kispest Municipality
Tommaso Brazzini	Core circle	MiT
Tracey Wheatley	Pilot: Kispest	Atalakulo wekerle

**Table 12 – Participants in the Pilots' meeting.**

Connection to the community was favoured by field visits, an open event (where a simplified version of the framework was used), a dinner and celebration with the community.



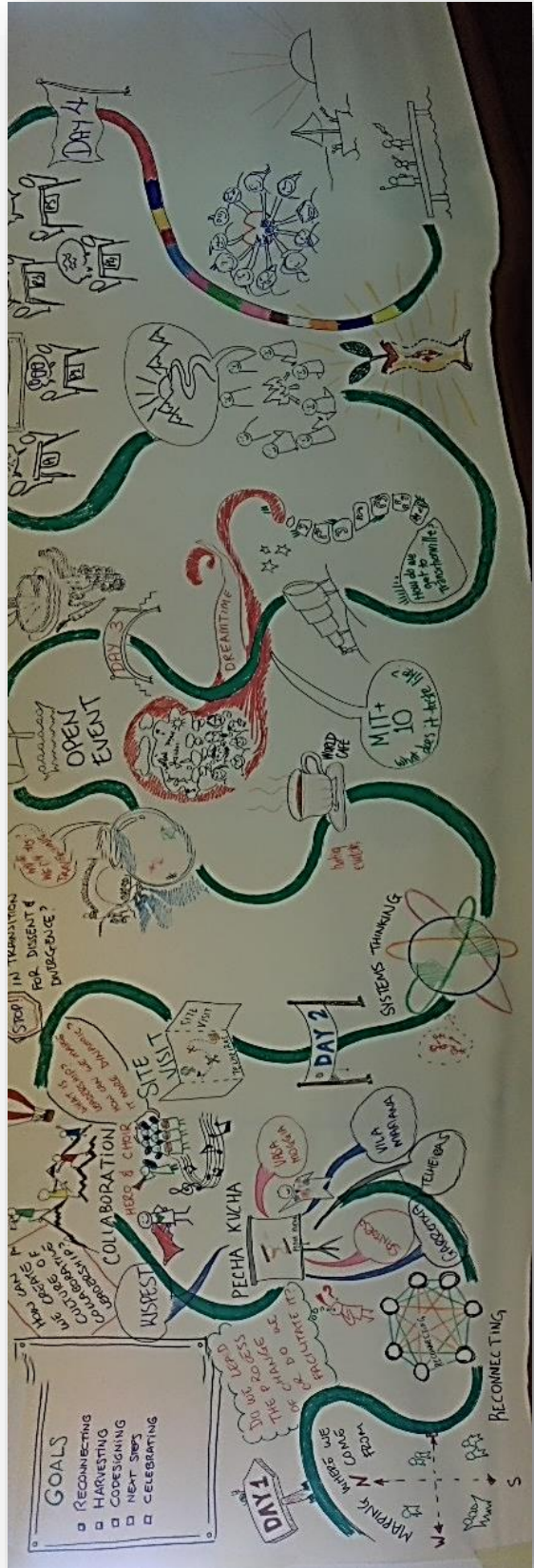


Figure 14 – The flow of the international MIT pilots meeting.

# Day 1- Reconnecting



## Welcoming and introduction

- Sharings, logistics, planned flow, 'angel cards', group agreements



## Collaborating in the risk of extinction

- Sociometry exercises, discussing roles and personal visions on eminent collapse



## Presentations (pilots and core circle)

- Pechakucha 20x20 format, collecting, clustering and debating insights



## Working with emergent collaboration

- Heroic to collective leadership (murmuration exercise and debate)

# Day 2- Collective feedback



## Systems thinking

- Exercises (patterns, 'bomb and shield'), presentation and debate



## The MiT system I

- Group work: identify MiT elements and their relations (causal loop diagram)



## The MiT system II

- Presentation, 'world café' with canvas to collect structured feedback



## The MiT system III

- 'Fishbowl conversation': what were we trying to transform? what brought us closer to that?

# Day 3- Codesigning



## The MIT Story

- Guided meditation; creating the story of MIT in our communities, in 10 years (group work)



## The future of MIT I

- 'Open space' and '6 hats' combined: MIT sustainability; trainings and conferences; bridges and convergence; deepening a pilot



## The future of MIT II

- Second round of discussions: scaling up; funding opportunities; skills of tutors; top-down and bottom-up, sexy?



## Sharing circle

- Including 'free' time for emergent issues

# Day 4- Codesigning



## Next Steps

- Discussion in groups and sharing, about short and long-term planning and offers to the process



## MiT Clinic

- Emergent space for convergence



## Evaluation

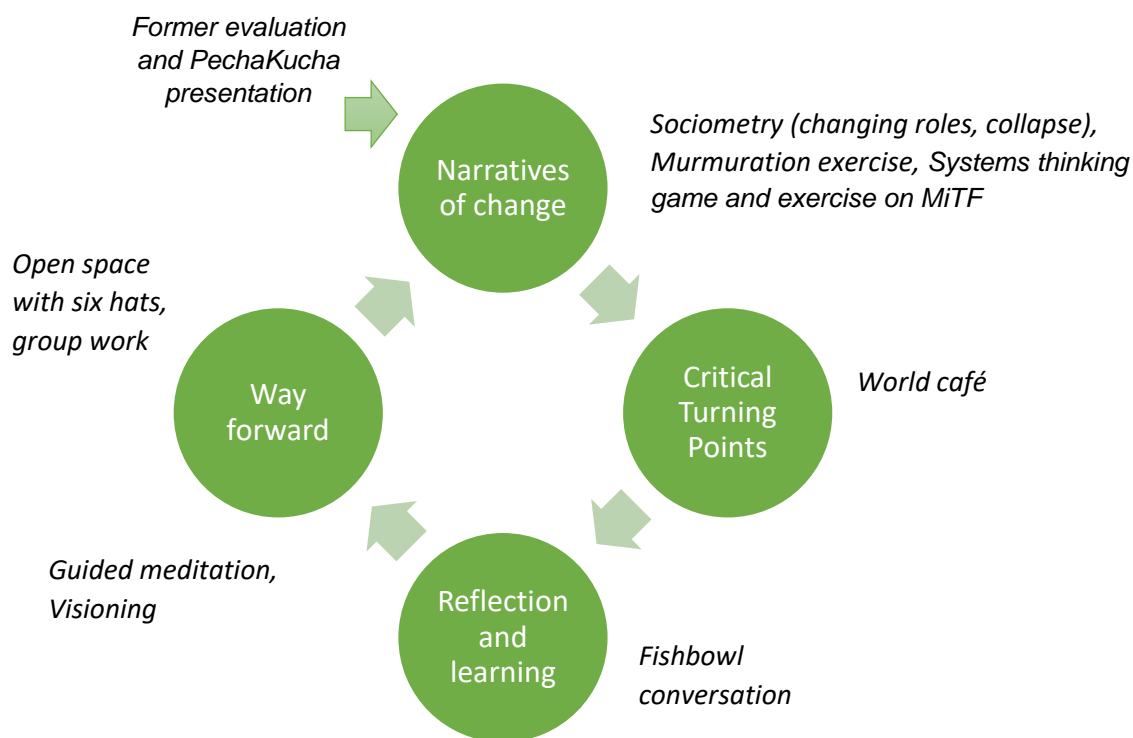
- What worked? what could have been done better? Ideas for next time?



## Final closing circle

Figure 15 – Meetings scheme, with daily goals, topics, methods and activities develop.

The workshop integrated the structure of the social innovation evaluation tool, Critical Turning Points and Narratives of Change (Ruijsink et al., 2017). The evaluation cycle is represented in Figure 16, mentioning the dynamic methods that were used to achieve each phase.



**Figure 16 – Evaluation cycle - Critical Turning Points and Narratives of Change - and methods used to explore it in the final workshop.**

Before coming to the meeting, pilots were asked to jointly reflect on several research questions:

1. Use the grid to evaluate the actions. Compare what was planned with what was actually achieved, also relating to the data obtained through the baseline. What are your results?
2. Have you used any indicators to measure your progress? Which were the most useful and why? What results did you get? Could you outline what the evolution was like?
3. Has collaboration improved in your municipality thanks to MiT? How can you tell? What were the Critical Turning Points/emergent dynamics that you saw?
4. What was it like to work with leverage cells (3 or 5 points)? Where did the most action happen? What were the most useful leverage points?
5. How can we improve the MiT Framework? Please feel free to suggest improvements and developments for the grid, leverage cells, cell cycles, database, Community of Practice, Tutoring, Core Team, Research...
6. How can we make the grid visible and usable for concurrent users in the community?
7. What was hardest to do (difficulties/barriers)?
8. What was most satisfying/useful?
9. What governance model did you use for the MiT pilot? How did it work? Please evaluate how the governance affected the dynamics of the work and the basis for collaboration. How did it affect the power relationships? Would you do anything differently?

10. How do you imagine the continuation of the pilot work? Do you have a strategy for activities, collaborations, funding, etc.? What support can you foresee you could need?

Pilots presentations used the PechaKucha model (Klein Dytham Architecture, 2003) to share the results of this first cycle of evaluation, preceding the meeting. Pilots tried to answer the questions: “where did it all start? what was going on there already? what actions were undertaken? who wasn’t there (but should have been)? main challenges faced? main successes achieved? main learnings during the process? what did MiT allow pilots to do that would not otherwise have happened? future developments for the project (plans or what pilots would like to see happen)”.

Participants’ insights were collected and clustered around the topics of successes, challenges, learnings and surprises (Figure 17). The group discussion focused on: “what would we change if going back? the role of the grid versus the dynamics and ‘Aha! moments’”. Results will be presented in next chapter (Discussion).

The MiT’s Narrative of Change was recalled through several exercises and debates. MiT system was then explored in depth, including all elements that make up the system and their interrelationships, including exercises like drawing causal loop diagrams (Figure 18).

World café (Brown, 2010) was then used to discuss in depth the main critical aspects – support team; pilots experience; instruments; learning and sharing (Figure 19).

A fishbowl conversation was used to promote an open discussion on the transformation process, reflecting on the discussed Narratives of Change and Critical Turning Points: “what were we trying to transform with MiT? what brought us closer to that?”

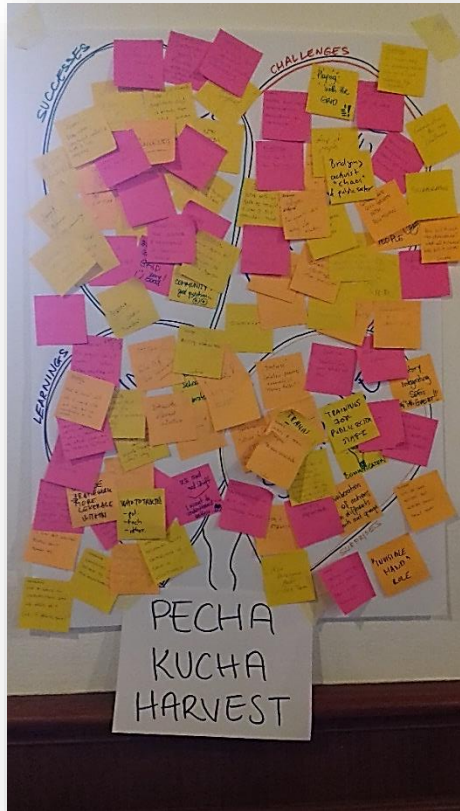


Figure 17 – Harvest from PechaKucha presentations.

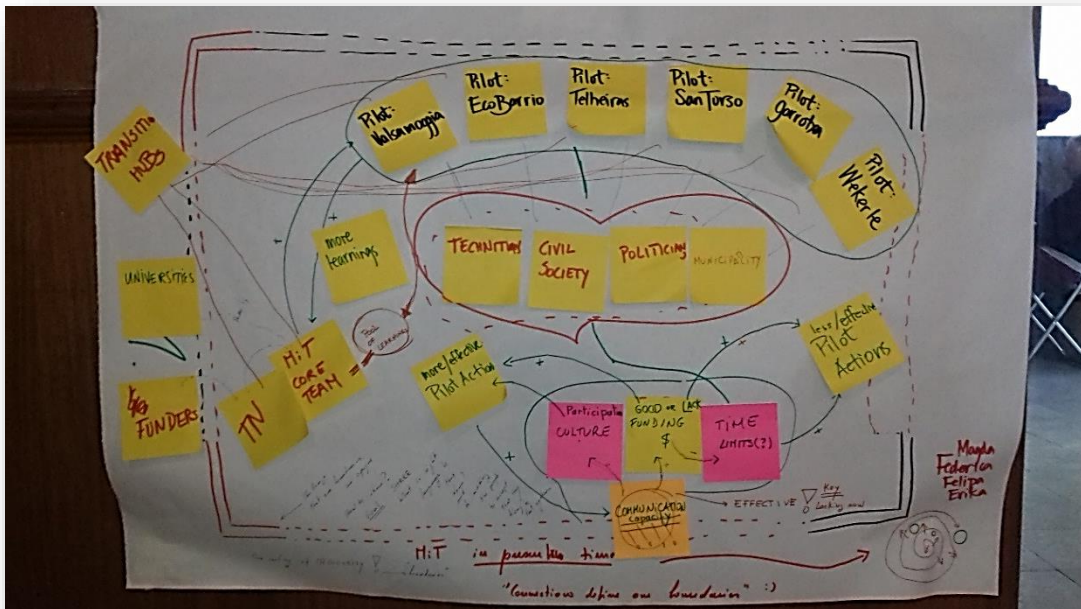


Figure 18 – MIT causal loop diagram (coming from group work).



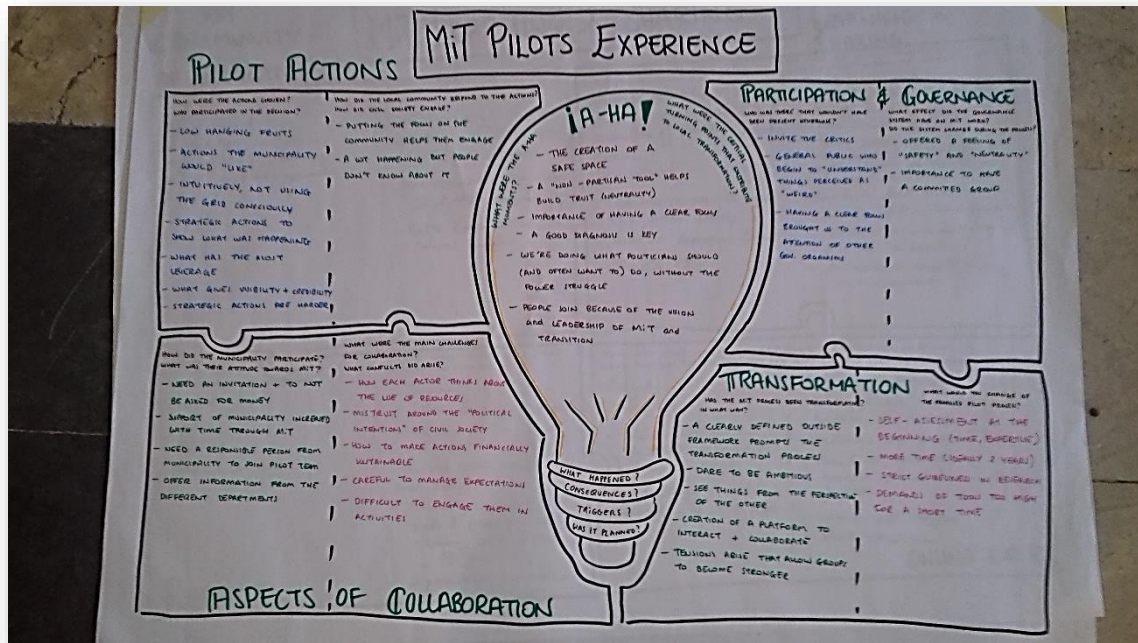


Figure 19 – World café on Pilots experience (harvest).

A second part of the meeting was focused on codesigning the future of the MiT ('way forward'). It started with a visioning exercise, supported by a guided meditation, on the story of MiT in our communities, in 10 years. The group tried to answer questions like: "what were we hoping to achieve? what changed? what made it possible? what were the moments to celebrate? what is the next big change being prepared?" Dreams were discussed in pairs and groups, and posters were prepared (Figure 20).

Then an 'open space' session (Owen, 2008) was prepared (Figure 21), using 'six hats' (De Bono, 2005) in order to help to structure conversations around concrete ways on how to move forward (Figure 22). Critical topics discussed were mainly related to the interrelations between LGs and CBIs and the role of MiT, and included how to deepen MiT within a municipality, bridges and converge, top-down versus bottom-up. Also, more 'pragmatic' topics were discussed, including funding opportunities, MiT sustainability and scaling up. Operational issues like trainings and conferences and skills of tutors were additionally debated.

Before closing, the group explored next steps and long-term planning for each pilot, 'core circle' and Transition Network ('way forward'). It was also given time for emergent issues and evaluation.

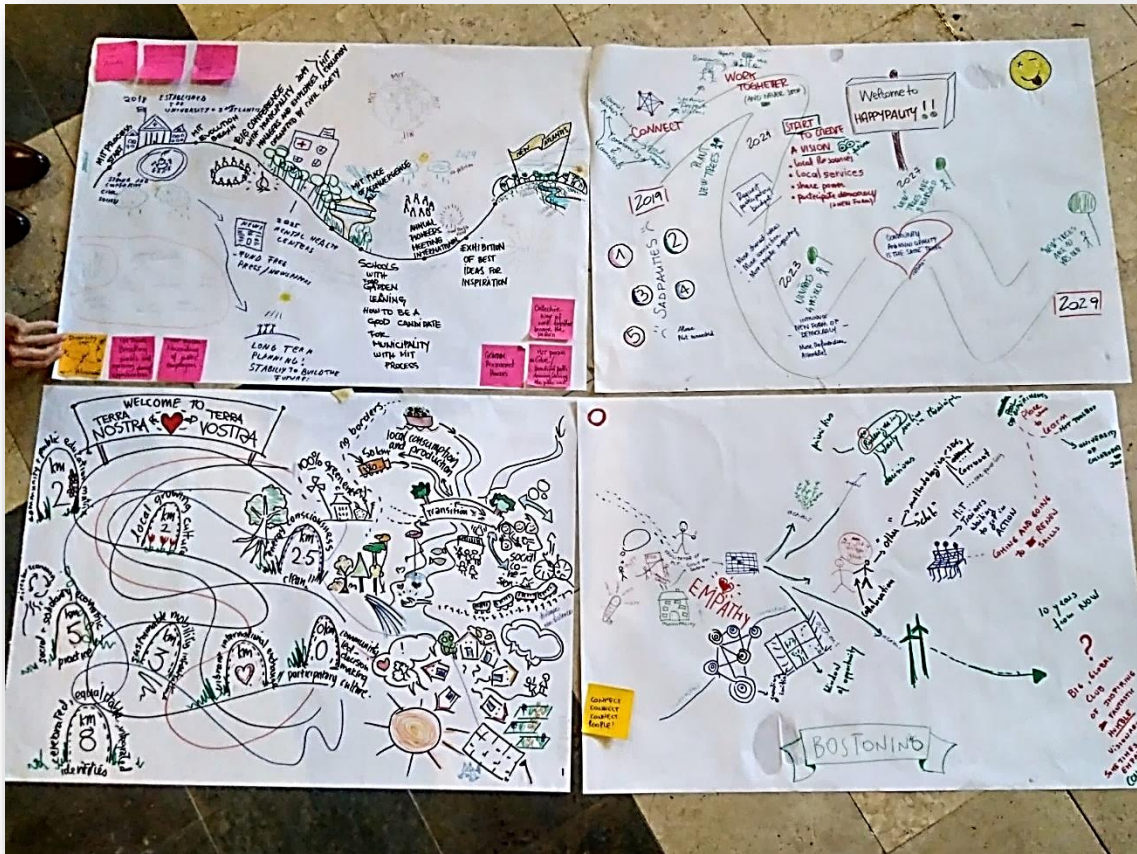


Figure 20 – Story of MIT in our communities, in 10 years (visioning exercise).

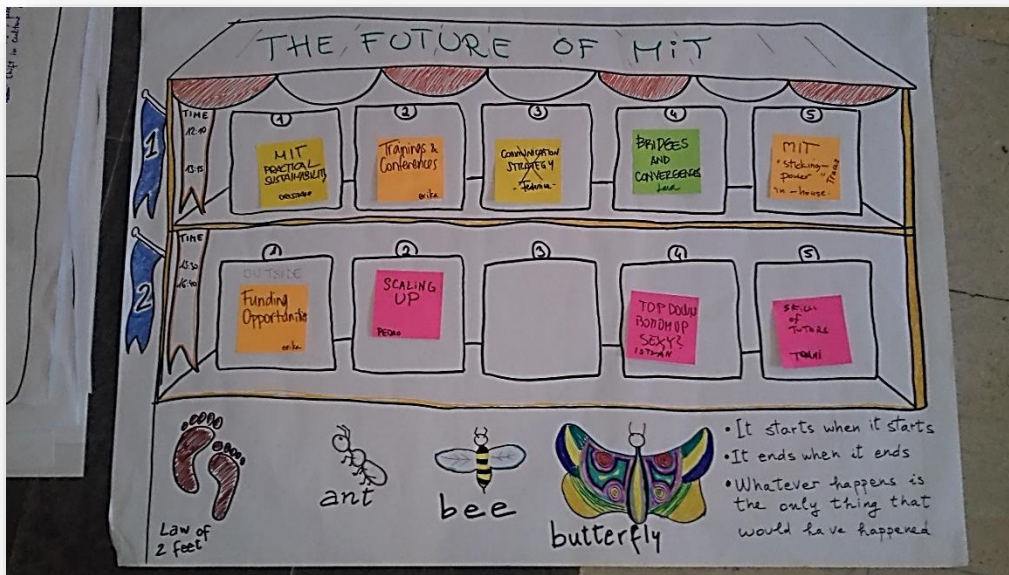


Figure 21 – Open space technology – the ‘marketplace’ with emergent topics.

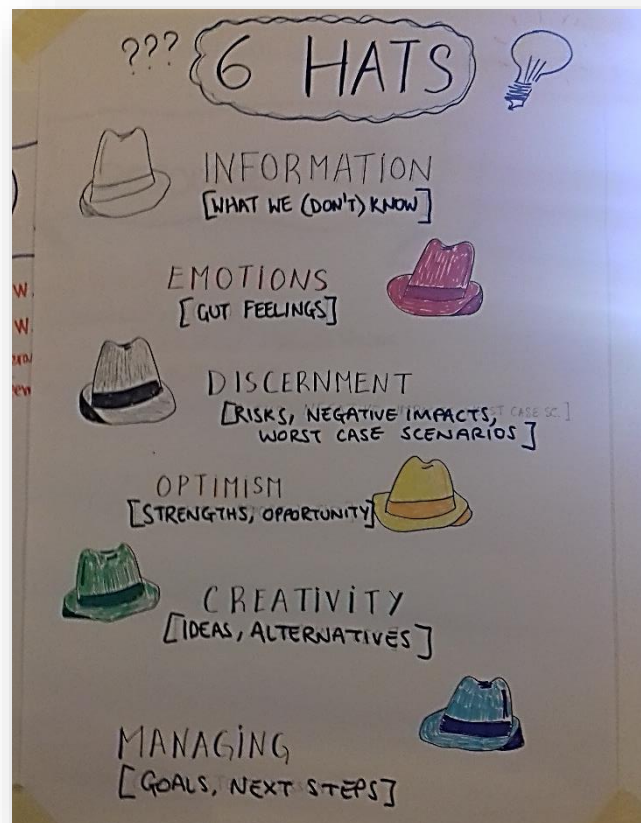


Figure 22 – ‘Six thinking hats’.

### Community of Practice

The MiT project’s Community of Practice (CoP) was primarily an instrument for facilitating the sharing of experiences in using the MiTF (challenges, insights...) between the pilots themselves and with the project’s core circle. Main components were an ‘open diary’, and online and in person meetings. A WhatsApp group was created after the final meeting.

Besides the pilots’ CoP, a wider network was facilitated for “people around the world working on, or with an interest in, collaboration between civil society and local government to promote systemic change for sustainability, social justice and a better world”. Main target group was initially the 71 cases mapped in the beginning of the project.

To give a boost to the wider CoP, an initial online meeting was promoted in different languages (English, Portuguese - Figure 23 - and Spanish) - and a series of 8 cocreated webinars ([Hot Topics Discussions](#)) were organized. Topics included:

1. Working systemically, identifying leverage points and different theories of change;
2. How to resource the work of collaboration between communities and municipalities: the need for funding for processes;
3. Training facilitators and valuing the skills of facilitators;
4. Strategies to bring communities and municipalities together;

5. Inclusive community engagement;
6. The Pilots of the Municipalities in Transition project – What’s been happening?
7. Helping communities understand how to work with elected politicians;
8. Practical sources of inspiration, tools and resources.

The wider CoP also participated in a closed Facebook group (177 members, on 3<sup>rd</sup> July 2019) but did not have access to details on the MiTF.



**Figure 23 – CoP meeting in Portuguese.**

It is expected that “the community of practice for the MiT project is a collective learning process and an evolving self-regulated community, that aims to improve and continue in the future”. Moreover, it is expected that it might contribute to cross the boundaries of the experiments and foster cultural change (Report #1).

A detailed discussion of this argument will not be included here, but some observations can be shared:

- Pilots practitioners did have opportunities to share their experiences and disseminate information, something that was valued in general and considered insufficient by some of them;
- The ‘open diary’ was mostly treated as a reporting exercise and considered ‘hard to read’ (long and mainly text-based); it provided systematic and comparable information between pilots;
- Online social networks had a relatively low use;
- The final meeting was considered essential to harvest learnings and coproduce new knowledge (possibly lacking a codesign feature);
- Peer-to-peer support among the participants was quite rare but highly valued;
- Webinars were an ambitious aim, with participation of co-presenters with high level of expertise and relevant topics; attendance was varied but in general low, specially from pilots;

- The fact that the MiTF and the experimentation process was not shared in detail with the wider CoP somehow reduced its potential and inevitably made participation fleeting and unanchored (Wenger, 2010);
- Self-governance was partially achieved by the creation of a circle of co-guardians (with members from core circle, pilots and TN);
- No significant synergies were (yet) identified outside the scope of the experimentation.

In sum, the networking activities promoted until now were useful and essential for the social learning process (e.g. shared understanding of what matters, identity, boundary crossing, commitment) and have the potential to help a ‘true’ CoP to emerge in the future (Wenger, 2010). The expected growing number of practitioners and connections will bring new challenges and also possibilities, namely for creating a needed “system of influence” (Wheatley & Frieze, 2006).

Finally, we could argue that almost all of the pilots intentionally supported the emergence of significant local CoP. Two of them, La Garrotxa and Vila Mariana, were remarkable (and particularly successful) in their efforts.

### Outreach

Besides the activities already mentioned and many others (not cited for the sake of brevity), the joint meeting organized in Brussels deserves a spotlight. The pretext was the celebration of the second European Day of Sustainable Communities, an event started by [ECOLISE](#), the European network for community-led initiatives on climate change and sustainability.

On September 20<sup>th</sup> 2018, the MiT was the main focus of a conference co-hosted by ECOLISE and the European Economic and Social Committee, in collaboration with Transition Network and the Committee of the Regions. The adopted theme was “Civil Society and municipalities: building sustainability through collaboration”. The MiT core circle and representatives of the pilots, alongside with other like organizations, used the opportunity to share their insights with a variety of stakeholders.

Also, several presentations of MiT in scientific meetings were promoted, namely GEOINNO 2018 - fourth Conference of Geography of Innovation - special session on Geography of Sustainability Transitions (Barcelona, Spain, January 1<sup>st</sup>-February 2<sup>nd</sup>, 2018), Leverage Points 2019 - International Conference on Sustainability Research and Transformation (Lüneburg, Germany, February 6-8<sup>th</sup>, 2019) and ECCA 2019 - 4<sup>th</sup> European Climate Change Adaptation Conference (Lisbon, Portugal, 28-31<sup>st</sup> May, 2019).

In ICCA 2019 - International Conference on Climate Action (Heidelberg, Germany, May 21-23<sup>rd</sup>, 2019), the MiT was included in a short list of exemplary “initiatives for collaborative climate action”.

The MiT process was shared through online tools (web site and social networks) and covered by traditional media (TV and newspapers).

## D. Discussion

In this section we want to analyze the impacts and outcomes that experiments had in terms of transformative collaborations at local level, and to understand the contexts where they occurred. We are interested in studying how effective the MiTF was in terms of the proposed social impact<sup>12</sup>.

We try to embrace the complexity of the process by rejecting a linear model of evaluation and identification of clear cause-effect links. Nevertheless, and for the sake of MiTF improvement, we try to detect the critical design features that contributed (or not) to the assumed goal and possible ways to make the initiative reach more.

### Narratives of change

Narratives of change can be defined as “sets of ideas, concepts, metaphors, discourses or story-lines about change and innovation” (Julia M. Wittmayer et al., 2015). They have a critical and instrumental role in any social transformation process and unravelling them allows us to understand the efforts put in place to change the current state of affairs (J.M. Wittmayer et al., 2019).

We were interested in recognizing how (and if) participants expressed the MiT Narrative of Change (NoC). How they used it to (re)tell their experiences and explore new possibilities.

As stated by participants in one of the open space discussions, “MiT is cooperation between bottom & top”. This was accompanied by the image in Figure 24, expressing that it is in the intersection (joint work) of LGs and CBIs that “magic happens”.

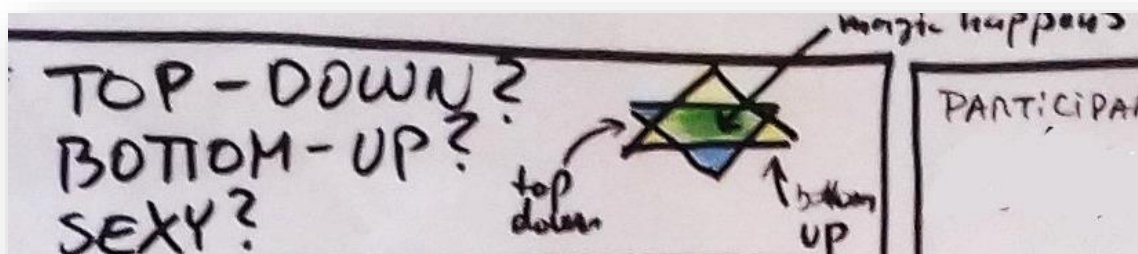


Figure 24 – Top-down or Bottom-up?

Limitations of each ‘level’ of action are recognized: “staying only bottom-up means no scaling up” and “playing by the rules only means no changing the rules, which means no system change”. MiT is about “finding the power we have together” and collaboration is seen at the core of the process and “as a basis for a new narrative”.

In one of the pilots, “the main objective was to create a ‘precedent’ and an inspiring example for individuals and politicians, to show how many potential opportunities lie between civil

<sup>12</sup> “to create a clear framework for how community-based initiatives (CBIs) and local governments (LGs) can create sustainable change together”

society and municipalities. And, also, that the necessary tools already exist and can be easily put in place.”

Talking about bridges was even considered counterproductive because it was assuming that LGs and CBIs were standing in opposite grounds. The future in a dreamed community named Happypality involves that Municipality and Community are no longer separate things (Figure 25). “Two bubbles suddenly merging”.



Figure 25 – A dreamed MIT.

MiT provided “a safe space, for deeper conversations” and a feeling of getting out of the “zoo cage” or “working with the other side of the moon”. Building the necessary trust was considered demanding, asking participants to accept their own vulnerabilities and lose their fear of crossing boundaries.

These quotes indicate that participants embraced the Mit NoC, emphasizing the idea of “creating change together”.

In next section we will explore some of the critical moments in this journey and the learnings they provide.

## Critical Turning Points

Critical turning points (CTP) are “events, encounters and actions, which are decisive for achieving transformation” (Ruijsink et al., 2017). They can be planned or ‘spontaneous’. In this report we are interested in understanding which were the decisive moments in the pilots’ journey and what enabled them. We do not focus so much in concrete events for specific pilots, but rather put effort in identifying cross-pilot enabling factors.

### First impressions

Pilots were provided with a relatively significant amount of money for their work, particularly in the case of the fully supported pilots. This was considered as a ‘door opener’ in some cases, also increasing the “responsibility”.

Since the MiT mapping was done through the network of the Transition Movement, initial contacts were with CBIs. In their approach to the Municipality, having an already funded (also structured and credible) process was considered critical – “usually we were asking or fighting something... now we were offering help”. Presenting an “invitation to work together”. Or like other pilot expressed: “we went to Mayor to say: you are busy, we can help... therefore quite different from the usual asking”.

However, funds were also the main cause for some conflicts (e.g. La Garrotxa and Telheiras), as already mentioned. Something that possibly could be avoided by some preliminary negotiation and separation of roles.

### Systems thinking

Systems thinking is considered critical to deal with the complexity of modern world (Arnold & Wade, 2015), especially if you are trying to change it. Recognizing interconnections and understanding dynamic behaviors, like emergence, are essential capacities. In La Garrotxa an intensive training on systems thinking was promoted and results were visible (“there was eager uptake of concepts”).

One of the regional administration directors stated that the experience “has profoundly changed the way I see and act not only at work, but in my personal life”, mainly referring to the systemic approach. Systems thinking was included in the pilots’ initial training and reinforced in the final meeting.

Training in ‘local democracy’ (Santorso) exhibited a similar effect: “now we understand the need of MiT!”

In some cases, it was considered that the ‘overflow’ was not enough: “the importance of thinking systemically and see the overall picture, it was personally changing... but it was not growing [outside the action group]!”.

### Getting closer

Working together generated synergies – all respondents to the final survey agree that “by using the MiT framework, local governments and civil society created an enhanced combined effect that promoted sustainability”.

The MiT project “brought the members more closely together also in personal terms; since people met more often, information about other activities was exchanged a lot faster than when people just met in meetings (...) there was more information being exchanged, which led to new ideas and projects being created” (Telheiras).



And in Santorso - “relationships with people of the municipality organisation are becoming stronger and stronger”, which in turn make “everything very productive, fast and concrete”. The transitioner even worked in the Municipality building for some time, acting as an internal consultant – “so he can have direct access to short and long term projects that are already in place. From there it’s much easier to dream, design and implement actions in concert with municipality employees and in a very fluid way.”

And another statement: “Municipalities have little resources (human & financial) to support participatory actions with civil society. MiT framework helped to close these gaps and to keep open a constant flow of feedback and information between these two levels.”

### The overview effect

“A good diagnosis is key” (from the world café on pilot experience). Setting the baseline was, in general, a CTP for the pilots. In Vila Mariana it was stated that when using the grid “we felt at the same page”, with a shared vision on the territory. When a new political leader arrived in a late stage of the process, the grid acted as a ‘magnet’ with immediate results: “I want this tool for me!”<sup>13</sup>. Sharing the tool was a door for new possibilities in the collaboration between the CBI and the LG, but also with other actors.

Valsamoggia reported that “the simple work done on the creation of the baseline list of actions produced the awareness of many new possibilities of connections between available actions”. It was considered that “the vision of the political personnel and the administration staff was misaligned”. In Santorso “they didn’t know that many of those actions were in place” and a few connections and synergies existed between different initiatives. “The grid provided public managers a macro view of the actions and the role of each actor in the process”.

Even in the case of Kispest, where it was considered “challenging”, “muddy” and a “straitjacket” to use the grid<sup>14</sup> and the baseline was only partially finished, there was a sense that they had “not explored the potential” and it was “useful to bring global and not too focused discussions”. Also, the method to collect information about initiatives (interviews) was considered a highlight, allowing the possibility to “get to know each other” and “get in touch with other actors”<sup>15</sup>. Similar experience was reported in La Garrotxa, for instance.

### Bringing in

The grid is a tool for inclusion: “the first perception we got from the baseline was to understand more clearly some things that were already emerging, especially about the actors who should have been involved and were not yet present in the action.”

Also, conflicts can become opportunities: in Telheiras the action group was demanding a greater involvement from the Municipality. The answer was positive, and in all the following meetings the Municipality was present, and a new member was involved, working on education. In turn, this allowed a greater involvement of the project with school activities.

But still, “there’s some risk now that some people want to involve everybody in everything they do, without taking in consideration roles and other groups identity.”

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<sup>13</sup> In Kispest it was reported that “politicians were captured by the visibility of the connections, they never saw this in previous works”.

<sup>14</sup> they considered themselves as “survivors of the grid”

<sup>15</sup> “a pretext for improving connections”

### Doing stuff... holistically

“We need to push everything and not only one action” – this was a shared ‘Aha! moment’.  
“When putting all the projects together, the group got aware that many things were happening... felt empowered for now putting effort together into was already there, reinforcing” (another pilot).

To develop actions that could support the overall ‘change system’ was a major priority assumed by the pilots. This was accomplished by working groups, resource centers, observatories, trainings or broadcasts. This was a result from the previous points (systems thinking and mainly overview effect).

Also, “sustainability was prioritized with a shared and more integrated approach to the solutions”.

### Reflection and learning

In this section we ask if we were ‘walking the talk’ (Ruijsink et al., 2017). Were the MiT project’s results in line with the kind of change we are trying to achieve? What can we learn from these experiences? What were the key lessons? What worked, what did not work and why? What can we learn from the previous analyses of CTP? What were the actors or resources fundamental in (not) achieving results and why?

### Sociocracy

Sociocracy - namely S3 (Bockelbrink, Priest, & David, 2018) - was used in 3 pilots, namely Santorso, Valsamoggia and Vila Mariana, where trainings were organized. Novelty played a role – “the core team easily accepted to use sociocracy as a governance model, not because they knew it, but because they were curious” (Santorso).

In Valsamoggia it was believed that “the choice to use S3 as governance methodology combined with the HHH approach seems quite effective in fostering collaboration and providing an effective governance system”. We can argue that it improved the groups’ identity and cohesion, by providing clarity on purposes, roles and decision-making processes.

### Political neutrality

It was considered (world café on pilots’ experience) that “neutrality” was a critical issue. To be a “non-partisan tool helps to build trust”. Nevertheless, the connection to the Municipality also brought an implicit relation to the party in power, something that could have reduced the potential impact of some actions (like the Valsamoggia’s political profile). This is also considered a risk in the process of deepening the pilot inside the municipality.

Efforts to involve politicians in the opposition were made in some pilots, with some good (Valsamoggia) and disappointing results (Santorso). A “mistrust around the ‘political intentions’ of civil society” was reported.

Another statement mentioned that “in a community that is constantly eroding thanks to political polarisation, MiT probably helped to regain trust and hope among people and groups, directing their energy toward concrete actions and projects.”

### Credibility

Being an international project, funded by a recognized Foundation, helped to support MiT’s credit (as already mentioned). This was vital to “increase the visibility and credibility” of local involved actors. In its turn, it was a way to “facilitating access to municipal managers”. In Vila

Mariana, for example, involving the Mayor” was essential to find the route to bring the MiT into the municipal structure”.

Having a researcher working on the project also increased the perception of professionalism (bringing status). In general, MiT brought “seriousness [to CBI initiatives]” and “was transformed into official brand.”

### Roles and leadership

Perceived roles changed. The sociometric group mapping was quite elucidating. When asking to stand in a line, with LGs and CBIs in the opposite sides, quite a few people chose the middle. Some choices were obvious (e.g. researcher) but there were a few members from CBIs now assuming a ‘bridging’ position. MiT helped to “see things from the perspective of the other” – “we thought we were the good guys”.

Some organizations also played a critical role in the process as ‘bridging organizations’. There were exemplary cases in La Garrotxa (ADRINOC), Telheiras (Santa Casa) or Vila Mariana (CADES). In Santorso, the ‘intermediary’ role was assumed by the Transition initiative and in Valsamoggia the tutor clearly had that position. In Kispest, the transitioner and now elected member of the Council represented this interface. “We are good at managing multiple hats”.

Leading or facilitating? This was also mapped. LGs were mainly assuming a facilitation role or a middle position - “need to help citizens in their change efforts”. CBIs divided between the middle and a leading role - “Leading by facilitating” was a used expression (CBI) and “collective leadership” was recognized as something already happening. “Changing rules, changes leaders”.

### (Dis)empowerment

It was stated that “traditional power dynamics, in which public administration has more voice than civil society, shifted noticeably during governance processes”. Also, in La Garrotxa, it was considered that “public administration demonstrated an openness to sharing decision-making with Resilience.Earth, and as such, the latter participated actively.”

In Kispest, some participants shared the fear of co-optation (CBI). In some occasions, outside the MiT process, contestation and conflict related to specific policies happened. It was considered that, in reality, it was not an obstacle for collaboration. Nevertheless, it was stated (CBI) that “now they feel more empathy for many people in administration (...) is that good?! Because we fight for disruption and now is harder”.

In other words, “as ‘civil outrage’ is also a key motivator for getting things done, it [MiT] has the danger of pulling powerful civil actors into a ‘dependency’ relationship, which, while manageable, is only defensible if there are really measurable positive outcomes from the more powerful players side”. “Gentle disruption” and nonviolent communication were advocated. One of the actions in Kispest involved a sensitive topic: public catering. Results were “surprisingly successful” so far. Also, a new attitude from the Municipality was registered, sharing new resources with the CBI. These kind of paradoxes are expected (Avelino et al., 2019).

In Kispest there was additionally the need to the CBI to become formal and legalized to proceed with actions. This could be considered a sort of ‘coercive isomorphism’ (Penha-Lopes & Henfrey, 2019).

The fear of CBI losing wide-angle thinking was expressed – “co-option is not only physical but mental, aspirational”. CBI “losing sexiness and becoming boringly institutional” was seen as a risk.

In Santorso, mistrust was considered a barrier for greater results. Bad reputation of politicians amongst some activists prevented them from wanting to participate, due to questions around “power structures, roles and rank”. Conclusion was that “supporting mutual comprehension and understanding of how these power structures work is one of the key leverage points to create a future sustainable local governance”.

Globally, the MiTF was seen as a good way to balance power and avoid unproductive polarization: “we’re doing what politicians should (and often want to) do, without the power struggle”.

### Measuring

In Report #1 we questioned “the feasibility of collectively gathering ‘all’ the transformation happening in the community, not being overwhelmed by the objective or lost in considerations and ‘infinite’ discussions around what to include (not to mention, how to evaluate). Do our communities have the necessary resources and skills (transformation concepts, systems thinking...) for this challenge?”

The Valsamoggia group used the following keywords to describe the process of “playing with the grid”: “intense, useful, revealing, strangely effective, not nice... nice scores, pride, unbalance, needs”.

We could say that most of the pilots reported having some kind of difficulties<sup>16</sup> in using the grid (besides “not nice”, also words like boredom and satiety were used). But in the end, they all managed quite well to do the baseline and all saw great value in the exercise (“helped to focus, going beyond brainstorming”).

Again, Valsamoggia was keen in summarizing the grid concept: “measure badly and get a good analysis”. The idea is not to collect everything, but enough to allow the mentioned ‘overview effect’.

Should we improve the grid? Needs mentioned included: to clarify categories (where do schools stand?), create new ones (e.g. separating the non-local actors from networks), to create new evaluative cycles (e.g. to consider deep adaptation), to refine the impact measurement (refining the scale, including negative impacts; introducing comments; georeferencing...), to assess the potential and evolution in time (making results visible)...

We should however consider that measuring better could lead to a worse analysis. Or in other words, forcing a greater precision might compromise accuracy or usability.<sup>17</sup>

Bringing more clarity on what is being measured, might improve the user experience. Should we keep using neutral terms like ‘grid’, ‘quantitative’ and ‘qualitative’ score? Or prefer to name the indicators (e.g. impact, inclusiveness...)? Should we aggregate scores and create a ‘transformation index’?

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<sup>16</sup> Collecting the information was sometimes seen as quite demanding (e.g. Kispest), specially from the Municipality (e.g. Telheiras). “There is a learning curve”.

<sup>17</sup> One solution is to have different versions according to the knowledge and skills of users.

Also new algorithms could be introduced to make necessary changes more visible (e.g. actors to prioritize) and support planning. In general, software development is considered essential.

A question still remains: how to make the grid visible and usable for many concurrent users in the community?

### Transformation

What kind of changes did the MiT achieve in the experimentation process? MiT is a journey to look for local collaborative transformations. In this research we started by developing a heuristic to assess these processes, taking stock of different evaluative dimensions (Report #1).

In the Compass for collaborative transformation (Figure 26) we have the cocreative dimension ('making it together'). It was stated by participants that MiT allowed them to "create a common glue or purpose / interest that creates convergence of vision / viewpoints / efforts in the territory". MiT was described as the "creation of a platform to interact + collaborate". This was accomplished at 'high-level' in La Garrotxa, connecting regional directors with practitioners.

We already mentioned critical factors present, like the shared understanding, the complementary roles, joint monitoring and evaluation, long-term commitments (in some of the pilots), the effective joint decisions and implementation, the suitable level of bureaucracy and formality or inclusiveness – the "bigger transformation was moving closer to the community".

Transparency and accountability were also promoted, especially with the involvement of a great number of partners with complete access to information (nevertheless it might be a topic to be reinforced).

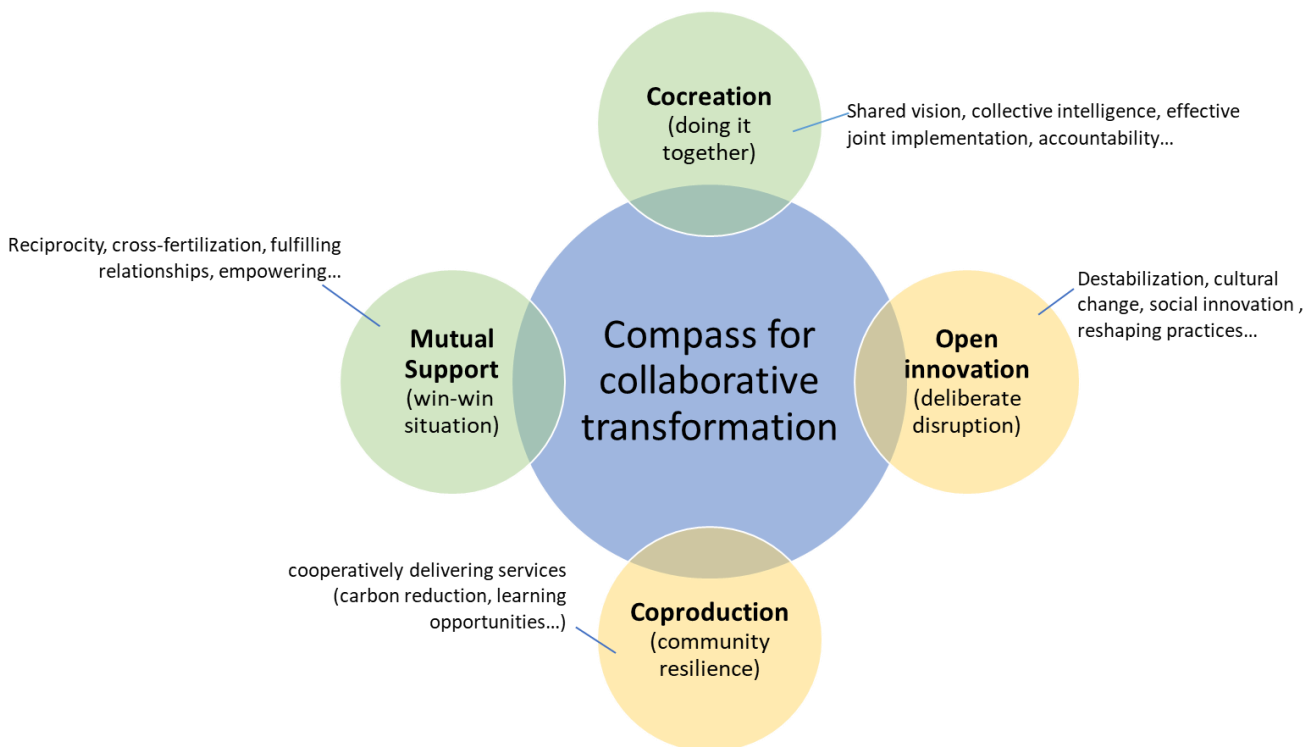


Figure 26 – Compass for collaborative transformation.

The dimension of 'mutual support' corresponds to reciprocal and fulfilling relationships ('win-win'). Previously (*Getting closer*) we showed that setting a governance system and working together, led to strengthening relations and several synergies.

Several situations of resource sharing were identified. Spaces were provided to CBI (e.g. community centre in Kispest) and CBI shared knowledge through trainings (e.g. La Garrotxa). CBI participated in and supported projects developed by the LG (e.g. Life project in Santorso or Urbact proposal in Kispest).

Conflicts were handled and mutual trust and commitment was deeply appreciated. Some fear of co-optation still persists. "MiT brought mainly hope", was something that was shared, and created the space to "dare to be ambitious".

The dimension of coproduction relates to cooperatively delivering goods and services aiming at caring for people and the planet. The joint actions provided information on best practices (e.g. Valsa TV), learning opportunities (e.g. La Garrotxa), climate mitigation (e.g. Santorso) and adaptation (e.g. Vila Mariana), circularity (e.g. Kispest) or sharing opportunities (e.g. Telheiras).

Finally, also 'open innovation' is believed to have occurred. Cultural change was considered to be a valuable outcome, for instance in Telheiras, recognizing shifts into more collaborative culture in the Municipality. In Valsamoggia "the most meaningful indicator is now the number of suggestions of "And if we do this...?" that you get from every actor in every discussion you do about the present and the future. That's a strong signal that they are aware of the need of a change and that they don't know how to change but are ready to dialogue about that."

A social innovation feature was also evident in actions like the profile for candidates for local elections or the 'new' observatory in La Garrotxa. New practices were put forward, for instance in terms of energy production (Santorso) or urbanization of public space (Vila Mariana). Institutional change and social learning are probably the most significant outcomes.

### Walls coming down

In sum, did this work bring substantial changes? The group mapping revealed that all participants agree considerably. We might be considered too optimistic and biased. And surely there are quite a few open questions (e.g. continuity) and limitations in this process (these will be discussed latter).

Additionally, we should recall that pilots were chosen (also) because of the already existent collaboration between LG and CBI. That is why the Kispest pilot is so interesting for the evaluation – here the initial degree of collaboration was quite incipient ("there is a lack of common purpose and a lack of a predictable framework for consistent work") or even 'negative', due to the state of open conflict in some topics and mutual mistrust. It is hard to describe what have been accomplished, so we trust in the words of others ("I saw a love affair [at the meeting] in Santorso") and their own ("the wall was coming down<sup>18</sup>").

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<sup>18</sup> And we "could almost hear it", as it was then commented.

## Way forward

How can our journey of change inform and sharpen MIT's Narrative of Change? In this section we try to define strategies on improving the process of coproduction (Ruijsink et al., 2017), namely on how to scale up, out and deep (Figure 27). This was intensively discussed, namely in the 'open space' discussions.

Perceived barriers were rules, culture (narratives<sup>19</sup>) and political environment (polarization).

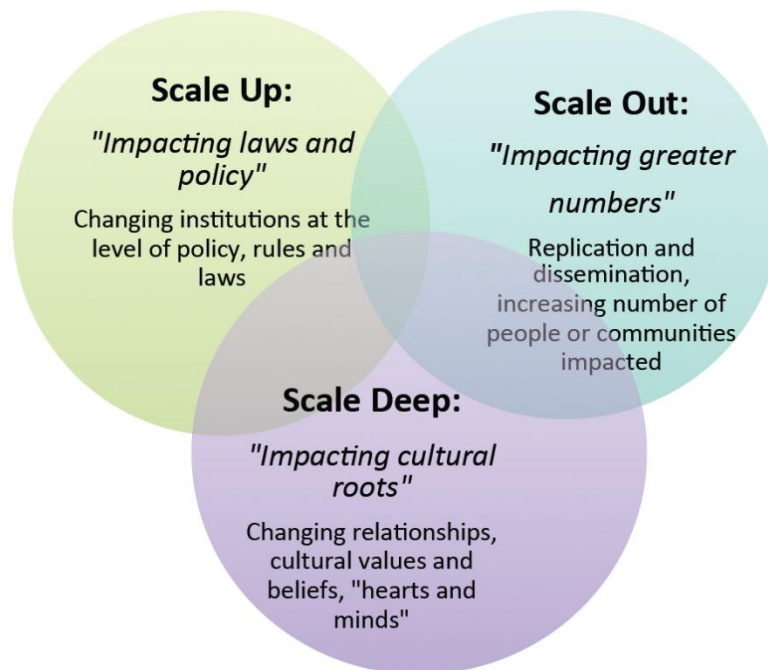


Figure 27 – Scaling social innovation (in Moore, Riddell, & Vocisano, 2015).

## Scaling deep

An 'open space' discussion was organized to debate "how do we deepen the MIT within a municipality for a greater impact? Key factors identified included to "create supportive relationships", promote "appreciation" and get "outside feedback<sup>20</sup>". There is the need to "repackage and identify clear possible benefits from 'stream-lining' MIT". One of the risks is that the "project is now seen as finished".

The governance model for continuing MIT processes is still an open question. How to "institutionalize MIT" and "find funding for process (not project)"?

In Vila Mariana the priority for continuity was to capitalize on the results of the baseline by "connecting the various initiatives and promoting more interactions" – "the idea is for everyone to know who is working in the territory, knowing and recognizing the value of individual efforts, to find ways to strengthen them". This is to be accomplished by meetings

<sup>19</sup> "Teasing with the silos thinking" was considered an opportunity.

<sup>20</sup> "Needed more feedback from research as a sort of reflection (Action Learning)".

and trainings (neighbourhood associations, public authorities...). It already started and there is good possibilities to replicate to other districts in São Paulo.

In Santorso, a proposal was developed to create a kind of “sustainable centre” integrating MiT, the Energy Agency and an ongoing Life project. A shared co-working space was tried. In Valsamoggia, the barrier identified (thinking about the future of MiT with the Mayor) was the potential overlap with other municipality’s obligations (e.g. reporting). The possibility to have an office taking care of something like MiT was discarded within current conditions. In Kispest there is hope that the new community center dedicated to local food issues might play a critical role in the pilot’s continuity (also assuring some needed funds).

In La Garrotxa, the intention is to move from MiT to a regional strategy on territorial resilience. Efforts are being done to explore new funding opportunities. As like in Vila Mariana<sup>21</sup>, a great effort was done to create a wide network of people and organizations with the same ‘hearts and minds’. Creating the necessary ‘critical mass’ looks as the best path to secure continuity.

Finally, in Telheiras there was already a structured local partnership in place, and there is the expectation that it will keep using the MiTF, namely as a monitoring and planning tool. A strategy for local elections was also advocated for all pilots in order to deepen the initiative.

Hopefully, besides these local Communities of Practice, a wider CoP will persist and grow deeper. This is the “place to share values and narratives of change”. The CoP is expected to preserve the MiT ‘DNA’.

“Exploring how municipalities & citizens can work better together” (MiT, 2018). Should we ‘update’ this NoC to include the new stories that grew in pilots about systemic change and renovating democracy<sup>22</sup>?

One thing is consensual: we need to improve the process of sharing stories between pilots, with more visuals (e.g. short videos, animations, diagrams), “better communication and social media”. It should be understandable even from outside. “Communication is the big challenge” and we should prepare publishable contents that materialize our NoC. We need to “explain the full story of MiT”, otherwise “it might be understood only partially”.

Culture can be a powerful tool for this goal (scaling deep) and it is believed that a “shift in culture is happening”. There is “pressure from artists” and “people are listening”. “Culture bringing participatory places” is part of the dreams created in the final meeting.

“People join because of the vision and leadership of MiT and Transition”.

### Scaling out

The strategy to scale out was also discussed strongly in core circle’s meetings and at the final event. There is the will to update the MiTF, test it in new communities (‘pioneers’), make it ‘creative commons’ and establish an ‘academia’ to train tutors and facilitators.

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<sup>21</sup> Also Santorso.

<sup>22</sup> In the workshop promoted in Santorso, they explored the pattern of the ‘tragedy of the commons’ and how [traditional] democracy is not going to help in times of danger. Feedback was: now we understand the need of MiT!”. “Democracy is being transformed” was part of one of the visions for the MiT future.



The role of tutors is considered essential, namely to “guide the pilot through the process” and also to “avoid the pilot ‘getting back’ to the system”. Tutors’ “experience really influences” and they have “different roles, mentor, contact person”. They should offer the greatest “proximity” possible and to “facilitate separately with the administration and civil society, supporting each side to engage with the process” (“tutors’ neutrality is critical”). Tutors need to be “prepared for systemic thinking”, have “training in governance models” and “practice in actual pilots”.

Facilitators, besides trainings and the support of tutors, should also be able to rely in “online support quickly ready to recall basics”. We “need to build a self-assessment tool for practitioners, and self-training tutorials”.

And we need a system to “audit to check if conditions are there”. The existence of bridging organizations could (should) be one of the criteria. Also, we “need a responsible person from municipality to join the pilot team”.

Besides replicating the MiT project’s experience, one possibility is to also to “disseminate principles, with adaptation to new contexts via co-generation of knowledge” (Moore et al., 2015). This can be done in partnership with other frameworks, sustainability projects and networks (e.g. Climate-KIC, Energy cities, One Planet Living). Still, there is the risks of “losing our values because we look for the minimum common denominator”.

### Scaling up

How to impact laws and policy? The MiTF might become part of a local declaration of climate emergency, for instance (something being already prepared in one of the pilots). The former name of the MiTF (“funzione energia”) was in fact a reflection of efforts to make it a legal function in Italian Municipalities (Rossi, Pinca, Cavalletti, Bartolomei, & Bottone, 2014).

What kind of policies do we need to create a ‘fertile ground’ for MiT initiatives (and similar)? A way to explore, that came from discussions, was “connecting people from the ground talking from the open heart and technicals to ‘translate’ these needs to policy recommendations”. Also, a “good strategy on lobbying/creating a pressure group with good communication skills”.

There is a potential role for cocreation and advocacy laying on the European Union and organizations like DRIFT, Covenant of Mayors, ECOLISE and national municipalities organizations (e.g. Italian ANCI). The connection with climate issues can be strategic.

More broadly, how can we integrate MiT in a ‘glocal governance’ model (Loorbach & Lijnis Huffenreuter, 2013) that could merge global and local systemic change?

In any case, we should not be “losing the overall perspective (...) so much is already happening”. “Plenty of people waiting to do something good”. Maybe we are “already mainstream” and should question “our frustration for not creating bigger impact”. There is the conviction that “there is already a culture in place”.

*“We celebrate that public administration is much warmer to the idea of listening to and co-leading with civil society on future endeavours. This is very positive news and a significant potential leverage point - A door has opened!! Now, it is time to enter the age of grassroots-governmental collaborative regenerative development.” (MiT participant)*

## E. Limitations and open questions

### Not enough time

One of the major limitations in the experimentation process was the short available period for testing. Pilots were initially expected to go through the entire process of setting governance, doing the baseline, planning, implementing and evaluating actions (moreover actively participating in the learning process, including trainings and the CoP) from March to December 2018. Experimentation was extended until April 2019, but nevertheless time was considered quite short. Partnerships are expected to need around 48 months to reach significant changes (Leach, Pelkey, & Sabatier, 2002).

Probably having funds available to use was a necessary condition to have results in such a short time frame. Being in a 'rush' probably also influenced heavily the planning phase – "low hanging fruits" was assumingly one of the criteria to choose actions. Moving to identified strategic cells (e.g. involving businesses in Telheiras) was postponed due to time constrains.

Clearly, also a longitudinal analysis is needed, to research on medium and long-term developments.

### Universal usability?

Before codesigning the MiTF, a set of preconditions was prepared, namely:

1. Easily adaptable to a wide variety of very different contexts;
2. Simple enough to be relatively easy to learn and to use in real life;
3. Low level of preconditions for implementation (low resources, low technology).
4. Suitable for use in a context of shared/diffused governance;
5. Implementable both in a top-down and a bottom-up approaches;
6. Powerful enough to cope with high levels of complexity and uncertainty.
7. Capable of improving the quality of the cooperation between the involved actors;
8. Effective in transformation;
9. Designed to be iteratively evolved by the users;
10. Closely linked to the 'Transition principles' (use best information available, take care of relationships, look for tangible results).

It was then theorized (Report #1) that MiTF could match these preconditions. Did it prove in real life?

We consider that precondition (1) is somehow still to be tested. Besides contextual differences already mentioned between pilots, they all corresponded to relatively privileged neighbourhoods, municipalities or regions. In fact, it could be argued that the project even contributed to raise inequalities relatively to surrounding communities.

This concern was clear in the Kispest pilot, brought by the Municipality. In fact, in the beginning, it was the Wekerle pilot (a neighbourhood in Kispest), and the pilot's 'border' was enlarged in order to reduce inequalities between communities.

Our personal impression is that the MiTF would be usable and impactful also in deprived areas, including economically poorer communities in the 'global south'. In fact, we guess that we would have much to learn from such testing/communities.

Also precondition (5) might need further testing. In fact, in all pilots, the process was started and mainly driven by CBIs. Local governments did participate and were mostly deep involved, but would it be implementable in a top-down approach?

Also testing the MiTF without funds involved would be advisable.

It is considered that all other preconditions were met, as previously discussed. Some in quite a remarkable way (namely 4, 6, 7 and 8).

### Everyone on board?

If we 'pass' the MiT project through the grid, what would be the results (Figure 28)? Namely in the evaluation cycle that asks: are all the key actors involved? (Who is there? Who is missing? Who should be there?). We could argue that involving controlled entities, business or citizens directly (namely in action groups) should be a possibility to explore.

In fact, in La Garrotxa, controlled entities (e.g. regional thematic consortiums created by regional and local municipalities) participated deeply in the process with good results. Citizens in Valsamoggia likewise, for example.

The image shows two copies of the 'Baseline Actions Form 1.0'. The left copy is for Action ID: 9, titled 'Municípios em Transição'. The right copy is for Action ID: 10, titled 'Parque Hortícola'. Both forms include a 'Short description' and a 'Contact person' field.

The central part of the form is a grid for 'Grid position (select all the appropriate)'. The grid has 'Ações Categorias' (1-7) on the y-axis and 'Actors Categories' (A-H) on the x-axis. The grid is filled with 'x' marks indicating involvement.

Ações Categorias	A	B	C	D	E	F	G	H
1 Vision	x				x			
2 Operational	x				x			
3 Planning	x				x			
4 Technical aspects	x				x			
5 Budget	x(0)	x			x		x	
6 Cultural change	x				x			
7 Monitoring	x				x			x

Below the grid is a 'Cell Cycles Evaluation' section with two cycles (CC1 and CC2) and a 'CCs Total Score' of 7.

Figure 28 – Self-reflecting (pilot in Telheiras).

### Scale?

What would be the best territorial scale to use the MiTF? In this experimentation process it was tested from the size of a neighborhood (in Telheiras) to a region (in La Garrotxa, involving 21 municipalities). In communities of 5 700 inhabitants or more than 345 000. This reveals the 'flexibility' of the tool and no conclusions was (so far) taken relating the best scale. A necessary precondition is however, we could argue, to use it in a community with a clear identity.

### Continuity?

As previously argued (*Scaling deep*), continuity of MiTF in pilots is still an open question. What is the desirable connection between the MiTF and formal governance structures? This and other questions remain unanswered.

Also, the most appropriate (sustainable) model to make the MiTF grow in terms of numbers still need to be further researched, including communication strategies. In Valsamoggia it was asked: "what are the ways to enter into deep dialogue with the 'man on the street'?"

## F. Conclusion

The Municipalities in Transition (MiT) project was launched in 2017 to catalyse innovative collaboration between civil society and municipalities for systemic sustainable change. A framework was developed using explorative analysis of exemplary cases and transdisciplinary co-design sessions (Macedo, 2019). The framework was tested in six pilots and, in this report, we present key findings and implications.

### What happened?

#### Games unfold

Using a metaphor, the framework developed is comparable to a cooperative game (Figure 29): a grid is used with columns corresponding to different local actors and rows to categories of actions (e.g. using new technologies or fostering relations). The first step in this 'board game' is to set out the main transformative initiatives already happening in the community, providing a 'big picture'. Initiatives are also valued according to their degree of transformative capacity (are they educated, caring, tangible and inclusive?). The game unfolds by using joint efforts to occupy new 'squares', some of which are considered to be leverage points (therefore providing extra 'points'). From each 'house', players can get access to 'cards' presenting a diversity of tools and guidelines on how to use them (database using pattern language). The rules of the game also include how to team up: the governance model, facilitation and community of practice are expected to reinforce the social learning process and lead to a new culture of collaboration.

# The game

Transformation Grid	Actions	Actors							
		Municipality Political	Municipality Organization	Controlled Entities	Suppliers	Organizations	Businesses	Public	Network
+ Governance model	Vision	▲				●	●		
	Organization		●						
+ Evaluation cycles	Planning	●	▲			●	●	●	
	Technical aspects								
+ Tools database	Relations								
+ Community of Practice	Cultural Change					●	●	▲	
	Network								

**Figure 29 – The elements of the ‘transformative game’, included in the Municipalities in Transition framework.**

Some cells in the transformation grid are considered to be ‘leverage points’ with higher activation potential and are marked with circles and triangles – for example, it is assumed that when organizations develop a new vision, change their culture and plan accordingly we can observe a significant evolution in the community.

In this first round, the ‘transformative game’ was played simultaneously in six communities, namely Kispest (Hungary), La Garrotxa (Spain), Santorso (Italy), Telheiras (Portugal), Valsamoggia (Italy) and Vila Mariana (Brazil). In the beginning of 2018, teams’ facilitators were mobilized, with players from local governments and community-based initiatives.

Games were organized under the *auspices* of mayors, Transition Network, KR Foundation, University of Lisbon and DRIFT, providing status and high-level organizational support. Grant funding, training and tutoring was provided.

First facilitators’ task was to form teams to play transformation. Quite different ‘constellations’ emerged. In Kispest, the team opted for the minimum size, mostly based in facilitators from the Municipality and the Transition movement. In Santorso and Valsamoggia, quite diverse and punctuated teams were formed, including individuals and several organizations. In La Garrotxa, a strong backup team was based in the regional administration. Finally, Telheiras and Vila Mariana opted for complex structures with several layers and a multitude of organizations involved, increasing the potential of already existing partnerships. No lack of cheerleaders, thus.

Teams were then asked to collect as much transformative actions they could find going on in the community. Several tactics were set, some more passive (lying mainly in online

questionnaires) and active ones (doing systematic interviews with stakeholders). Apparently, diverse teams opted for using mainly their own accumulated knowledge, while more complex teams also used extensive information from other agents. An average of 32 transformative initiatives in each pilot were mapped and evaluated. The 'playing field' becomes clearer.

Scenarios of transformation have great diversity and are hard to compare. Not surprisingly, higher grid and evaluation scores come with greater efforts put in the collection. They might also be associated with communities with larger 'critical mass' and more diverse contexts (urban and rural). The 'house' with the most 'piled up' initiatives is the one involving the public and cultural change (probably due to a large number of awareness raising activities). Less 'populated' houses are related to suppliers and controlled entities, also organization and planning actions. Networks and networking are also relatively disfavored.

Patterns also seem to be influenced by the collection method (namely personal experience of people involved) but nevertheless provide useful insights relating spots where 'energy' is concentrated and others that are lacking transformative efforts. Conformation to 'leverage cells' is weak.

Teams then had to choose actions to jointly implement. Several motivational drivers were in place. Pragmatism (due to short available time frame and limited resources) led to actions that could easily guarantee results in short term. 'Windows of opportunity' were explored. Other actions more strategic and ambitious were also chosen to have a deeper impact. All actions were a reflex of contexts.

Most of the 14 actions had awareness and capacitation goals (workshops, trainings and an online TV) or tried to create 'concrete' changes (related to nature protection, energy and circularity). Two centres for community support and two working groups were also put in place. Audacious recreation of a sustainability observatory and definition of a profile for candidates to local elections were also achieved.

Impact was evaluated. Overall, actions supported the shift from a change system mainly focusing in civil society and private sector to one where municipalities are also involved in an equivalent way. Actions also brought more vision, organization and planning activities and helped to balance networks and networking.

So, in the end, everyone wins. Well, not quite. Suppliers almost did not play, staying as 'substitute players'. Businesses and Controlled entities were also 'under-used'.

### Transformation taking place

Social innovation can be conceptualized as "changes in social relations, involving new ways of doing, organising, framing and/or knowing" (Haxeltine et al., 2016). Every time these processes "challenge, alter and/or replace established (and/or dominant) institutions in the social-material context" we can refer to "transformative social innovation" (*idem*).

For understanding changes induced by the Municipalities in Transition Framework (MiTF), in the pilots context, we used the concepts of Narratives of Change and Critical Turning Points (Ruijsink et al., 2017). These changes can be distinguished against the underlying concepts of 'institutional logics' and 'strategic actions fields', related to the process of 'institutional patterning' (Haxeltine et al., 2016).

Accordingly, transformations corresponded to:

- New ways of framing and knowing about transformative initiatives happening in the community, by diffusing systems thinking, altering values (based in the transition principles) and providing an ‘overview effect’; this allowed a new holistic approach that changed the logics structuring the transformative efforts performed by both local governments and community-led initiatives;
- New ways of organising and doing transformation, within the sociocratic frame and with a coproduction approach, forming a ‘web’ of socio-material relations (‘action field’); this field is visible in how the (larger) action groups were able to cooperate and develop new transforming actions and processes, forming local and wider communities of practice.

This new way of organizing and doing transformation emerged by dramatically changing ‘first impressions’, supporting partners to ‘get closer’ and ‘bring in’ excluded actors, as discussed. New processes were further analysed using the ‘Compass for collaborative transformation’, holding the dimensions of cocreation, mutual support, coproduction and open innovation.

In sum, as proposed (Haxeltine et al., 2017), transformative social innovation was the product of the reflexive experimentation, the new social relations, the empowerment process, the changing tensions, the translocal connectivity, the discourse formation, the new (or reinforced) institutional homes and the strategic actions (adapted to each context).

The future of the MiTF, in every pilot and as a global initiative, will be the result of the capacity to respond to the remaining propositions (*idem*). Namely, the ability to ‘travel’ across different logics (e.g. the ‘market’, in its fight for sustainability, and in deepening processes inside municipalities and other organizations), avoid path dependencies, connect to the (fast) evolving socio-material context (e.g. exploring synergies with other frameworks) and integrate even more diversity of people (e.g. ‘the man of the street’).

## Prospects?

### Redesign

Previously, we expressed our hope and intention that piloting would bring clarity about the institutional designs that can amplify (or block) concrete results, transforming local collaborations in effective partnerships that go beyond rhetoric and enhance local deliberation (Forsyth, 2010).

The reflection and learning process developed allowed to identify several critical points that should be considered in the process of redesigning the MiTF. We will now briefly summarize recommendations, relating pilots’ governance and dynamics:

- Carefully pre-assess if conditions are there;
- Integrate sociocracy and reinforce systems thinking;
- Clarify since the beginning roles and issues related to available funds;
- Favour the participation of ‘bridging organizations’;
- Create a sound and diverse steering circle (supporting the action group), also including political opponents, controlled entities and suppliers, educational organizations, upper institutional levels...
- Motivate community trainings;
- Provide ‘neutral’ and helpful tutoring;

- Reinforce feedback and clarity from research action;
- Facilitate the capturing and sharing of critical turning points;
- Guarantee the necessary resources for collecting initiatives for the baseline, with a systematic and ‘neutral’ process;
- Find ways to connect between the MiTF and formal governance structures;
- Work for continuity since the beginning and keep a long-term perspective (process, not project);
- Support the development of the local and wider community of practice;
- Celebrate!

Relating the grid:

- Bring more clarity on what is being measured;
- Revise categories;
- Do not override with assessments, but...
- Provide new (and optional) ways to measure impacts more deeply and dynamically;
- Reinforce the evaluative function (assessing initiatives’ starting point, potential and intermediate situation);
- Explore the possibility to introduce flagging of inter-initiatives connections (allowing systemic mapping);
- Promote (local) debate on ‘leverage cells’ and allow them to be movable;
- Facilitate usability through software;
- Integrate automatic routines to support planning, including new indicators;
- Create operative and impactful visualization tools;
- Offer a database of tools, with cocreative features.

### Future research

Future research is expected to focus on testing the updated framework in new communities, exploring new configurations (including the use of the MiTF as a tool embedded in a sister framework or top-down approach). Also, the longitudinal assessment of current pilots’ experience will probably deliver important insights relating the institutional arrangements that can favour continuity.

Questioning and researching on ‘leverage cells’ would also be recommended.

Possibilities to further accelerate the integration of global and local systemic action, and to create nurturing environments for MiT and related processes (including needed policies and funds), could be the decisive step to promote a wider transformation process. This is expected to be the main topic of the following Report #3.

There is the need to revisit the MiT project’s Narrative of Change and to look for creative ways to communicate it, possibly also integrating the climate crisis. According to Hetherington and Reid (cited in EEA, 2018), and from an evolutionary perspective, “the combination of crisis, communication and collaboration is a powerful generator of emergent social novelty”. Something that we need in these turbulent times.



*“The feeling is that last year we put the basis for a very exciting evolution of what Transition has been and done in the past ten years. There are a myriad of ideas and opportunities spreading out from this new local network and, in one way or another, we will find a way to support and sustain their growth” (MIT’s pilot)*

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## Acknowledgments

The author of this report wishes to thank all the collaboration of the core team of the MiT project, Ana Huertas, Cristiano Bottone, Juan del Río and Tommaso Brazzini, all experienced Transitioners and skilled practitioners. The support from Transition Network, particularly, Filipa Pimentel, Michael Thomas, Nicola Hillary and Sarah McAdam, was equally valuable. In the report I use the personal pronoun 'we' because, despite being the only accountable for the scientific research, the MiT is a collective effort and learning process. To be concise I will not mention the dozens of people involved, namely in the pilots, but surely all the possible merits of this work should be attributed to them, the ones that dared to fully welcome this experiment in their lives and communities. I also wish to thank my supervisors, Gil Penha-Lopes from the University of Lisbon, Portugal (Climate Change research group) and Julia Wittmayer from Erasmus University Rotterdam, The Netherlands (The Dutch Research Institute For Transitions), for their indispensable support and wisdom. All my research colleagues, professors and support team in CCIAM, DRIFT and the PhD Program in Climate Change and Sustainable Development Policies also made this a much more enjoyable and inspiring path. For my dearest family, a big thanks in the form of an apology for everything they had to put up with. Last but not least, I should also mention the funders that made this research possible, namely KR Foundation (supporting MiT) and the Fundação para a Ciência e a Tecnologia, the Portuguese public agency that supports science, technology and innovation (scholarship PD/BD/128170/2016).