





HUPMOBILE



A6.3 Improving Stakeholder Processes

HUPMOBILE – Holistic Urban and Peri-urban Mobility Riga Energy Agency, 2021

Imprint

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Project note

The EU co-funded project HUPMOBILE – Holistic Urban and Peri-urban Mobility (2019–2021) brings together municipalities, universities and other expert organisations in their efforts to develop a holistic approach to the planning, implementation, optimisation and management of integrated, sustainable mobility solutions in the Baltic Sea port cities.

The carried out activities enable major urban mobility stakeholders such as city authorities, as well as infrastructure providers and transport providers to assess and integrate innovative mobility options into their mobility management plans and policies. The developed HUPMOBILE framework allows the planning and implementation of well-functioning interfaces and links in urban- and peri-urban transport considering the different transportation flow in the local context.

Within HUPMOBILE, partner cities plan, test and implement innovative sustainable urban mobility for both people and goods (i.e. freight, cargo logistics and delivery), which are easily adaptable for follower cities. These include greener urban logistics and combinations of goods- and passenger traffic, intelligent traffic systems-based services, tools for stakeholder participation, and new tools for transportation mobility management and Mobility-as-a-Service (MaaS).

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1. Introduction

This document presents the results and achievements of HUPMOBILE project group of activity (GoA) **6.3 Improving Stakeholder Processes**. The aim of this GoA is to guide partner cities through stakeholders' involvement processes and assist the cities in their work with stakeholders within the core activities of the HUPMOBILE project and beyond. Best practices of each partner city are shared, assessed and peer-reviewed with the aim to improve stakeholder processes in each partner city.

The HUPMOBILE project focuses on port cities around the Baltic Sea, and it aims to develop a holistic and integrated approach to sustainable urban mobility management, which means taking simultaneous consideration of every stakeholder that may affect or be affected by the measures planned or already implemented. Moreover, the mobility management can only be considered a success when its key stakeholders acknowledge it. Towards that goal, stakeholders should be engaged as early as possible in the process to ensure that their values, needs and interests are addressed in the project execution process.

Main output: Stakeholders Engagement Plan for each HUPMOBILE partner city serves as a roadmap for stakeholder's involvement activities. Contemporary stakeholder engagement tools and techniques are identified, assessed, and adapted and the best practices and guidelines are provided online to ease their active uptake and local adoption.

1.1. Transformation of goals in face of change

The survey of project partners revealed that all partner cities have one or even several documents that concern and govern their respective stakeholder engagement processes. The stakeholder engagement plans are of different scope, available in local language and their overarching task is to outline legal baseline requirements for stakeholder involvement – not to support meaningful and open-ended stakeholder engagement. However, due to Covid-19 outbreak, partner cities were unable to proceed with traditional development of individual Stakeholder Engagement Plans led by this GoA as it requires substantial face-to-face activities.

Arguably, even greater transformation was introduced by SARS-CoV-2 (Covid-19) outbreak and subsequent whole-scale restrictions of in-person interaction and extensive international travel bans. The original project proposal envisioned co-production of stakeholder engagement plan for each partner city and much of this process was intended as a face-to-face process using both in-person workshops and many in-person tools to engage stakeholders. As a result, none of this was possible as stakeholder informed, and driven planning processes were halted worldwide.

However, the aforementioned conditions proved to be more than a restricting factor – they catalysed a transformation in supporting activity 6.3 to become more than originally intended and resulted in a proposal for *Participatory.Tools* - a simple web-based stakeholder engagement toolkit to improve & enrich the stakeholder engagement process with five easy steps.

To counteract the reliance on in-person interaction the emphasis was put on a meaningful adaption of digital tools to the stakeholder engagement processes. In addition, an effort was made to combine theoretical examples of the toolkit with other project results that provide better understanding of use cases – specifically the participatory planning guidebook coming from WP3 (GoA 3.1 and 3.2). As a result, we found a way to assist project partners in choosing between traditional and online methods when it comes to participatory planning and stakeholder engagement for sustainable mobility solutions in Baltic Sea port cities.

Participatory. Tools aid practitioners through every step of the **Extended Stakeholders' Engagement Cycle** giving in-depth knowledge on each activity. It offers a balanced selection of thirty-two digital and analogue stakeholder engagement and public participation methods to allow simplified adaptation of a chosen approach to both in-person and long-distance engagement. To have a good variety of methods represented in the database, the **selection process leans heavily on the fourfold model** by Staffans *et al* (2020 a,b).

To facilitate the improvement & enrichment of partner city stakeholder engagement processes, **uptake workshops** were organised to guide partners through steps proposed by *Participatory.Tools* toolkit.

As a result, the GoA 6.3 was refocused towards the appliance of digital tools for public involvement in response to Covid-19 challenges worldwide. Combing the results of GoA 6.3 and GoA 3.1 into the same practical online tool resulted in a better project outcome that provides support for the cities' work in improving stakeholder involvement, in addition to guidance on how and when to apply a variety of methods in practice. These results are applicable to cities in the entire BSR and even beyond.

2. Participatory. Tools - HUPMOBILE's webbased stakeholder engagement toolkit

When developing sustainable mobility solutions and supporting sustainable urban lifestyles, it is essential to truly understand the perspectives of various kinds of urban dwellers. There is also an obvious need to integrate the perspectives of people to planning solutions to promote sustainable mobility patterns and to develop more influential participation. In addition to well established multitude of stakeholders' engagement tools and methods a whole new field of digital and often online tools have showed-up.

Participatory. Tools is a simple web-based stakeholder engagement toolkit to improve & enrich your Stakeholder Engagement Process with 5 easy steps. The toolkit is developed as part of HUPMOBILE project's activity 6.3 Improving Stakeholder Processes (lead by City of Riga and Riga Energy Agency) and activity 3.1 Everyday Mobility in BSR port cities (lead by Aalto University).

The toolkit is available online: http://Participatory.Tools



Figure 1: https://Participatory.Tools landing page explains participation process in five simple steps

The web platform provides a simple five step **Extended Stakeholders' Engagement Cycle** that allows anyone to produce a well-considered and informed Stakeholder engagement plan, would it be a HUPMOBILE partner city, a follower city, or any practitioner. The knowledge base provides further in-depth explanation for each step in the process explaining most commonly used terminology and concepts.

Participatory. Tools database offers a selection of thirty-two stakeholder engagement and public participation methods – sixteen from each analogue and digital domain. The selection

merges the benefits of both worlds that allows easily adapt a chosen approach to both in-person and long-distance engagement. To have a good variety of methods represented in in database, the selection process leans heavily on fourfold model by Staffans *et al* (2020 a,b). In addition, we make use of other well-established frameworks to characterize various methods of the toolbox (e.g. ladders of participation, types of methods, planning process phases etc.)



Figure 2: The sorting mechanism that helps you in search for the best suited method for the occasion

The choice of participation method depends on the following criteria:

- 1. Number of participants: How many people do you want to involve? Do you want to discuss the prospective project in a small group or the general public?
- 2. Geographical & thematic scope: The number and profile prospective stakeholders depend on the scale of the planning document.
- 3. The planning phase: Planning can be conceptualised a process, which unfolds in certain stages. Each stage has its own goals, methods, and results.
- 4. The level of stakeholder engagement: Classification of participation exercises according to the share of public authority in planning decisions
- 5. Spectrum of Public participation: Classification of participation exercises according to the share of public authority in planning decisions
- 6. The mode of communication: Take a pick between traditional face-to-face methods or modern online tools
- 7. Type of methods: Choose between Expressive, Diagnostic, Organisational, and Political tools
- 8. Skills and resources required: What skills and resources are required of the participants and you
- 9. Knowledge needs and the mode of working: Do you want to diverge or converge your knowledge? Furthermore, do you want to encourage participation or collaboration

3. Methodologic framework behind the Participatory. Tools

3.1. Extended Stakeholders' Engagement Cycle

Stakeholder engagement is a series of communication processes, which involve preliminary research, communication design, implementation, and evaluation. Stakeholders' engagement is highly dependent on the (1) planning culture, (2) scale and scope of the planning document, (3) stakeholders' number and profile, (4) anticipated level of stakeholders' empowerment, (5) planning phases, in which participation occurs, (6) availability of participatory methods and tools (Horelli, 2002). This means that stakeholder engagement processes should be tailored for each case when the planning document is under discussion.

HUPMOBILE's web based http://Participatory.Tools Tool-KIT is built on the idea of Extended stakeholders' engagement cycle – a five-step framework that guides you through a genuine process assisting with design, implementation, and evaluation of Public participation plan (PPP). The cycle is created to guide HUPMOBILE partner cities and everyone else as they re-evaluate and supplement their existing Stakeholder's Engagement Plans as part of the HUPMOBILE WP6 activities. The five steps are meticulously described online (https://participatory.tools/before-you-start/extended-engagement-cycle/) and are as follows:

Identify and analyse the relevant stakeholders

- Identify the relevant stakeholders, groups, and relevant opinion leaders
- Establish contacts with the stakeholders
- Inform the stakeholders about the benefits (and drawbacks) of participation
- Identify stakeholder roles, power capacities, needs and interests

Identify participation goals

We strongly advise to discuss participation goals and preferred participation formats with the prospective stakeholders, e.g. in a focus group, as there may be dramatic differences between planners' and stakeholders' goals. Common participation goals are (1) inform the stakeholders, (2) collect data from the stakeholders, (3) resolve a conflict, and (4) develop social capital, among others.

Choose a suitable participation method(s)

Browse through the Toolbox of analogue and digital methods and choose the suitable civic engagement methods depending on:

- the geographical scale (and thematic scope) of the planning document
- the rough number of stakeholders and their planning related skills
- the mode of engagement (online / face-to-face)
- the resources available
- planning phase
- level of civic engagement
- knowledge needs and the mode of work.

Engage the stakeholders / Data collection and analysis

- Make a Public participation plan (PPP)
- Conduct civic engagement activities according to the Public participation plan (PPP)
- If civic engagement activities were targeted at data collection, analyse the collected data

Evaluate participation process and outcomes

Reflect on the civic engagement process and outcomes:

- Did you reach the goals, set in PPP? If not, what are the reasons you didn't?
- Were the stakeholders satisfied with the process and its outcomes?
- Brainstorm, how to modify your public participation strategy in the future!

3.2. The fourfold model for structuring the methods included in *Participatory.Tools* Tool-KIT

HUPMOBILE project's methodological Tool-KIT (*https://Participatory.Tools*) for public participation combines the benefits that both digital and traditional methods can provide. We have chosen thirty-two methods – sixteen from each analogue and digital domain.

To have a good variety of methods represented in *https://Participatory.Tools* database you can use in different phases of the planning process we decided to lean heavily on the fourfold model by Staffans *et al* (2020 a,b). In addition, we make use of other well-established frameworks to characterize various methods of the toolbox (e.g. ladders of participation, types of methods, planning process phases etc.)

The fourfold model by Staffans *et al* (2020 a,b) positions the various communicative actions by differentiating them in two dimensions: (a) the knowledge needs; and (b) the mode of working, which define four different types of communicative actions. In the figure, the dimensions related to knowledge needs to distinguish the different goals of communication when diverging or converging planning knowledge and ideas. Divergence and convergence acknowledge both

Rydin's (2007) idea of opening up planning to multiple voices and closing down when testing the knowledge claims and *Champlin and Pelzer (2018)* notions on divergence and convergence when generating ideas. The dimensions related to the mode of working are differentiated by the methods and tools used and the number of participants who can be reached. This distinction is needed because the possibilities for communication with the broad public are fundamentally different from the communication in a small group. In the fourfold, participation refers to working and communicating with the broad public and collaboration refers to working in small, selected groups.

The fourfold explains and differentiates varying communicative actions according to the knowledge needs and working modes:

I Broad public produce diverse information or ideas for planning. The goal is to get as many individuals as possible to give their knowledge input to the process. The output comprises a large variety of data, information, knowledge, and ideas as a foundation for further phases.

Il Knowledge is converged (structured, organized) with the broad public. The goal is to recognise what kind of support different ideas or knowledge claims get from people. The output includes valued knowledge claims or selected ideas (one or more) for further elaboration.

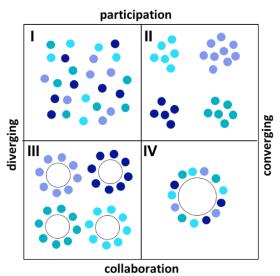


Figure 3: The knowledge needs and the modes of action define the sustainable solutions and experimentations of this research.

III Working together to make an input to the process. The goal is to get knowledge and ideas from diverse groups to be elaborated further in the process. The output contains a variety of different approaches and ideas as a foundation for further phases.

IV Knowledge is converged in a smaller group. The goal is to integrate and further develop planning knowledge and ideas in a collaborative manner. The output is a shared understanding of the direction and contents of the related planning process.

4. Guiding cities through the process of improving and supplementing stakeholder engagement plans

4.1. Initiation through uptake workshops

While HUPMOBILE project is all about creation a holistic approach to the planning, implementation, optimisation, and management of integrated, sustainable mobility solutions in Baltic Sea port cities, a holistic stakeholder engagement remains a crucial part of the success of the project. Five step procedure described in Participatory. Tools toolkit serves as a back-bone for improving & enriching Stakeholder Engagement Process among HUPMOBILE project partner cities. However, any interested party can replicate the same process to analyse their existing stakeholder engagement practices and strategies to enhance them just by following the steps and process presented online.

Due to the pandemic, the project partners followed the same process in two online workshops. The meetings were well documented, and all video recordings of the demonstrations and presentation slides are available online at https://Participatory.Tools.

4.1.1. Initial uptake workshop

Initial uptake workshop focused on guiding partner cities through stakeholders' involvement processes. The cities were assisted in re-evaluating their national and municipal participatory contexts identifying and analysing what tools and methods are traditionally used and where improvements can be made in their day-to-day work with stakeholders within the HUPMOBILE project and beyond.

In addition to well-established multitude of stakeholders' engagement tools and methods, a whole new field of digital and often online tools have showed-up. New, digital methods help to achieve these objectives and therefore we have created the HUPMOBILE project methodological Tool-KIT (https://Participatory.Tools) for public participation that combines the benefits that digital and traditional methods can provide.

In order to extend and supplement partner city individual stakeholders' engagement processes for the workshop participants, they were asked to follow the series of steps such as:

- Analyse each country's national planning framework and its pre-required stakeholder involvement baseline
- 2) Identify each organization's best practices for stakeholder involvement that improves on and goes beyond the national legal minimum

- 3) Plot both practices in the fourfold model by Staffans et al (2020a,b) according to the knowledge needs; and the mode of working to get an overview of our covered spectrum
- 4) Ascertain the blank spots in their respective stakeholder involvement methodology
- 5) Discuss and share experiences across the partner cities on applying unique practices
- 6) Supplement means of participatory tools and methods using HUPMOBILE's Tool-Kit (https://Participatory.Tools).

The Workshop aimed for providing a better understanding of the full spectrum of the stake-holder engagement tools you can use to broaden and supplement your organisation's stake-holders' involvement process. A similar process was later asked of the partner cities as an individual task to be completed until the next workshop.

Four inspiring presentations and case studies were presented to kickstart the discussions on analysing and supplementing the partner city stakeholder strategies.

1) Improving stakeholders' processes

The workshop began with the introduction of Participatory Tool-KIT by Viktorija Prilenska. The Tool-KIT proposes five easy steps for improving stakeholders' processes and creating Public Participation Plan (PPP). The Tool-KIT is targeted at the employees of local government, and specifically, the employees of urban planning departments, who are responsible for drawing detailed and master plans, as well as urban development strategies.

2) Mapping everyday life in Espoo. Building usable place-based knowledge for planning

Johanna Palomäki shared Espoo experience of collecting citizens' contributions through Public Participation GIS (PPGIS). PPGIS is a map-based questionnaire, which sources experiential information from citizens about certain places. The experiential information typically includes common routes through the city, places of interest, or spatial qualities of a place. Based on the collected information an artist created collages with the visions of future Espoo.

3) AvaLinn co-creation applications

Anna Semjonova told about Ava Linn and AvaLinn AR for better planning decisions in Tallinn. Ava Linn and Ava Linn AR are smartphone applications for informing citizens about forthcoming urban plans and for sourcing citizens' opinions about these plans and other relevant ideas. Ava Linn AR (AR stands for Augmented Reality) was tested in the pilot project entitled Pollinator Highway, and enabled users to scan markers on the walls of buildings located in the area.

The latter triggered location-specific 3D visualisations, which were superimposed on the image of outdoor space on the smartphone screen.

4) Cultural planning as a method for urban social innovation - UrbCulturalPlanning. Minecraft gaming activity

Jānis Ušča showed how to engage youth in co-creating the digital model of Riga in Minecraft for Education. Minecraft proved to be a powerful tool for exploring the cultural heritage and strengthening the sense of identity and belonging among school pupils. The key value of the Minecraft activity was in the mix between the real and the imagined realms, where pupils enhanced their knowledge of the physical world through playing in the digital environment.

4.1.2. Follow-up uptake workshop

The second uptake workshop focused on in-depth discussions on the participatory strategies of each partner city. The cities of Riga, Tallinn, Turku, and Hamburg were asked to complete a detailed home assignment that follows the same process practised in the initial workshop. The cities worked internally evaluating the existing national planning frameworks, elaborating on the methods for stakeholder engagement and discussing some planning cases, where the public was actively involved. Additionally, the representatives of the local government reflected upon the strengths and weaknesses of current participatory strategies and discussed how *Participatory. Tools* could help them in enhancing existing practices.

4.2. Supplemented stakeholders' engagement in Hamburg-Altona, Germany

A suitable extension of the methods used in the above example would be geographic scales. An interactive map of the centre of Altona could be made available to interested parties via an online platform. People could enter their suggestions, wishes and criticism into this map. As an example, the PPGIS could be used to reach a broad population and to present the process to all segments of the population, with the possibility for them to participate and be actively involved. In combination of the above-mentioned methods, a possible course of a participation process, related to the above-mentioned example of the installation of a micro-hub. At the beginning, the broad population can be informed about the project via social media, radio, and posters. To get the affected population more involved, personalized letters are sent to all residents in the relevant residential district with the option of an online survey, as explained above. To reach the next level of citizen participation, the interactive map described above can be used at this point to work more closely with the residents. From this map, the different expert opinions can then be extracted, from which the most important information could be incorpo-

rated into the implementation of the project. With the direct letter to the residents, the interactive map, and the background information dissemination via public platforms, it is attempted to reach as many people as possible in depth and to increase the willingness and desire to participate.

In participation processes for the future, it is important to see the people on the ground and to accept them as experts for the respective situations. These people must be treated as equals and the methodology chosen must be adapted to the respective situation.

4.2.1. National participatory planning context

Germany's public participation was derived from its representative democracy. Both mandatory (formal) and voluntary (informal) public participation in broad aspects were developed during the last three decades (Levytska & Zapototska, 2017; Selle, 2010).

Within the institutional framework, requirements for public participation are clearly stated. For example, in 2012, the "Law for Broadening the Public Participation and for the Standardization of the Procedures for Determining Sectorial Plans" was introduced in the German legislature that requires public participation prior to the formal opening of the procedure for planning and approval of sectoral plans (Bothe, 2018). Moreover, in 2013, the Association of German Engineers developed standards governing communication and public participation in planning and building infrastructure projects. These standards indicate several mandatory procedures in the regional planning and approval processes including scoping the previous and present participation (both formal and informal) of the public and their interaction, conducting official investigation to show just cause for projects, establishing online searching platform for plans information to the public, requesting and enabling public participation periodically with the planning processes (ibid.). However, federal level laws and local regulations have different levels of detail. The Spatial Planning Federal Law only determines the bases of requirements and leaves the responsibility of determining whether public participation is demanded in regional planning processes to the lower-level authorities - the State's legislator. Six out of sixteen states in the country have set public participation as an obligation on the local administration, while the other States decentralised the decision-making rights again to the lower level project administration on a case-by-case basis (ibid.).

In terms of informal participation, various participatory methods have been applied in both government-led and self-organised activities. In 2008, Berlin citizens stop the original Berlin Tempelhof Airport development plan by collecting 200 000 signatures and holding a referendum (Levytska & Zapototska, 2017). In another city, Leipzig, government works with citizens

in the project "Leipzig weiter denken". Various methods e.g., competitions, surveys, exhibitions, participatory budgeting, digital planning workshops, online discussion, etc., were used in the project (City of Leipzig, 2021). However, despite the good examples of government-led and self-organised activities, the material conditions (financial and personnel) of the non-governmental organisations are deteriorating. As a result, many of the members of these organisations felt that their work has no or extremely small influence on decision-making (see Bothe, 2018). Therefore, financial support, for at least a portion of the cost, to the citizens' organisations is considered necessary (Bothe, 2018; Independent Institute for Environmental concerns 2013; 69th Meeting of German Lawyers 2012, p. 52).

4.2.2. Notable stakeholders' engagement practices on city level

We look at the local level in Hamburg – Altona. Regardless of this, the choice of methodology also depends on the character of the project at hand. Many methods used are those of providing information, e.g., about changes, the possibility of dialogue, co-creation with active citizen participation and active discussions. There must be citizen participation in all major projects, e.g., redesign of squares, streets, and mobility services.

A survey on mobility and parcel order behaviour is used here as an example. The reason for this was the installation of a micro depot for last-mile logistics in the centre of Altona, as part of the HUPMOBILE project. For this, citizens and other stakeholders from logistics were involved in the design to increase the practicality of the facility.

Overall, the volume of parcels in the area is very high and has been further increased by the Covid pandemic. In addition, the requirements for a micro depot are changing due to additional demands such as storing refrigerated food or medications, fresh produce, or large orders. Depending on this, the design of the micro- hub must be made.

The largest group that is addressed through participation processes is that of the citizens, followed by the group of the economy/logistics, in this case, entrepreneurs.

Different methods were used. To address all residents of the district, information letters about the project were sent to all residents between the ages of 16 and 100 via the registration office. In addition to the most important information, these letters contained a QR-code / Link to an online survey about purchasing and mobility behaviour. Furthermore, local media and newsletters were used to reach the people. Apart from that, so-called round tables were organised for the entrepreneurs/logistic start-ups.

According to Staffans' Fourfold model, an attempt was made to address the general public in order to get as many opinions and a broad opinion as possible. Additionally, a round table

gave room for discussions and exchanges on specific planning processes on the micro hub itself with entrepreneurs.

In summary, it can be said that the chosen methodologies always depend on the target group, the topic, and the goal of the survey. It is especially important to respond to the groups of people whose opinions are at stake, so the methodology must always be made dependent on the environment. However, the limiting factors in most cases are the available money, time, and personnel.

4.3. Supplemented stakeholders' engagement in Tallinn, Estonia

With the help of HUPMOBILE *Participatory.Tools*, we have set ambitious plan to boost Stakeholders Engagement Process in the final hearing and feedback round of Tallinn Region Sustainable Urban Mobility Plan 2035 (SUMP) in spring 2022. Our intention is to map relevant stakeholder groups while using HUPMOBILE *Participatory.Tools* to analyse and find the best method for reaching those target groups. In the use of the described framework and based on the model by Staffans et al. (2020a,b), this will help us to design the participatory process together with combined various types of methods in different phases of the planning process. Also, there is a great value from HUPMOBILE *Participatory.Tools* for the City of Tallinn, when we are starting to design big and important mobility-related infrastructure (Tallinn Main Street, new tram lines, new bicycle network etc).

The first and most important is to start planning stakeholder engagement from the beginning of the new design. This means finding a suitable methodology that can be adapted to the current process. Still, there is no one good solution for all, thus engagement should be uniquely tailored to specific action and can be changed during the process.

Based on my experience it's crucial to first involve related associations, stakeholders, and community experts, to start building a knowledge-based decision-making process. For the public authority, this is the core network to work with, as they can be the most valuable link between citizens and the public sector.

With the engagement of citizens, City should invest a great effort of resources to raise awareness and a sense of ownership. This means if these questions and topics matter to the average citizen, then they are more proactive to work together with the city and to understand the need for planning new approaches. The most effective way is to involve reluctant citizens from the beginning into the process, teach them and change together.

4.3.1. National participatory planning context

Participatory planning was introduced into Estonia in the mid-1990s. Before that, under the control of the totalitarian Soviet system, Estonia's urban planning followed the socialist path that adopted the theories of modernism and rationalism. The lands, planning, and developments were governed by the state agencies, and public participation was avoided (Mart & Nele, 2016; Treija & Bratuškins, 2019; Ruoppila, 2007). In 1995, Estonia had its first Planning and Building Act, which later was separated into two acts: Building Act and Planning Act. The Planning Act was revised in 2009 emphasising the importance of public participation (Perjo & Fredricsson, 2017).

Municipalities in Estonia manage their own spatial planning, including both comprehensive plans and detailed plans. Before these plans are submitted to the municipal council for ratification, they must undergo public display and then a public hearing (Prilenska, 2020). The city of Tallinn has practised public displays that allow personal communication between citizens and the representatives of the Tallinn planning department since 1993 (ibid.). As of today, the complete comprehensive plan of the city of Tallinn, together with general plans and thematic plans of different districts, is published online on the webpage of city. In addition, details of planning procedures and public proposals are also published on the webpage (Tallinn, 2021). During the one-month public display, any citizen can submit an opinion or a proposal about the plan, while in a public hearing, their opinions and proposals will be presented, evaluated, accepted, or rejected. The final decision on acceptance or rejection is taken by the municipal council. Municipal planning department is also responsible for curating public participation procedures (Prilenska, 2020).

With the development of e-governance in Estonia, participatory planning in the country is transiting into an e-participation style. More and more digital participatory planning methods are utilized, e.g., TOM/TID+ (TOM, as the Estonian acronym of "Today I decide", is a forum that enables citizens to the proposal, discuss and vote on legislative proposals. TID+, acronym of "Tomorrow I Decide+", is an open-source software developed based on the experience from TOM for public proposal collection.), OSALE (an e-participation platform allowing government agencies to publish policy plans, legislation, and provisions for public consultation in order to improve transparency and citizen participation in decision-making, osale.ee), etc.

4.3.2. Notable stakeholders' engagement practices on city level

Tallinn Development Plan, 2021+

The draft development plan was part of the creation of a new Tallinn Development Strategy, which goes hand in hand with the citizens of the city. The draft was intended as a discussion

paper to gather the views of city dwellers during the year for the final development document. From October 1 to November 16, 2018, idea gathering was open on the strategy web to everybody who wishes to have a say in setting the goals. In addition, the Facebook group "Tallinn Development Plan 2021+" has been created, where you can also write your ideas. Besides, four topic-specific workshops took place, i.e. 2018, where the focus was also on city development goals, including determining higher ambitions. Children and youngsters can express their thoughts through different creativity contests during 2019. In 2019, discussions became area-or target group specific in seven workshops. Public consultation on the strategy web during which feedback was given to the working version of the development plan took place in spring 2019. During the whole time of preparing the development plan, a number of round tables took place in the city organisation as well as with partner organisations.

By including interest groups and the wider public, City wish to raise awareness about the direction our city is moving in and to discuss and explain what our priorities and ambitions are. Through a wider inclusion, the city wanted to increase the transparency of the decisions related to the strategic planning of Tallinn and thus, also the trustworthiness of the local authority. A participation plan (in Estonian) was prepared to carry out the public inclusion.

Tallinn 2035 Development Strategy

The new development strategy is based on the change of mindset and will be a valuable base for decisions that influence the city's short- and long-term developments and has been created in cooperation with 5000 of Tallinn's citizens. The city's new development strategy focuses on six goals, which cover the topics of urban space, community, green revolution, world city, proximity to home, as well as a healthy and mobile lifestyle.

Citizens, who participated in all the four stages of the strategy's inclusion process, have shared their own and their organizations' ideas, evaluated the intermediate options of the development strategy, participated in workshops, answered questionnaires and also evaluated the different variants of our vision. This was the first time when Tallinn concentrated a very thorough involvement process in the development of a long-term strategic plan.

Tallinn participatory budget

A participatory budget means that all residents of Tallinn can submit favourable ideas to their community that could be established with the city's money. It is important to note that the money from the participatory budget can only be used for facilities that are meant for public use and free to access. An expert committee will evaluate the feasibility of the ideas submitted and the best ones will be introduced, discussed, and put up for a public vote. In accordance with the conditions of the participatory budget, each city district has the option to carry out one

project a year, which the residents of the city districts have submitted, and which has gained the most votes. Everyone who is interested can participate in the thematic discussions organised during the process of the participatory budget.

The participatory budget:

- creates a great platform for the emergence of ideas that promote communities.
- raises citizen awareness of how local governments are managed.
- provides local governments with direct feedback about citizens' wishes and needs.
- increases active citizenship and gives local governments ideas on how to include their residents more.
- makes the residents think and act together, increasing coherency and a sense of community; and
- helps achieve the city's strategic development goals.

Skoone Bastion area

With Skoone Bastion area the idea is to strengthen the city's coordinating role, including via outreach to citizens and NGOs. The process of planning the Pilot Site began with a series of meetings in small groups with different stakeholders in order to map their ideas. This provided a base for drafting the structural plan. Efforts have been made to develop new digital tools for the public to learn about ongoing planning work, and to enable them to comment on the suggestions from the city. The AvaLinn app was developed and tested during Baltic Urban Lab project. There have also been attempts to make the Pilot Site more accessible to citizens during the planning process.

In Skoone Bastion area, three types of engagement activities were used – activities that aim to activate the pilot site while planning is ongoing; activities that influence the pilot site; and activities that influence tools for participation.

The following activities were implemented in Skoone Bastion during Baltic Urban Lab project:

- Testing the usefulness of the Tallinn Planning Register, May 2016
- Idea gathering via online GIS map, July–August 2016
- Workshop on terms of reference for AvaLinn, September 2016
- 3-day workshop with students and other stakeholders, September 2016
- Presentation of the draft version of the plan for the pilot site, February 2017
- AvaLinn app in use, January 2018–September 2018
- Attempt to set up temporary community gardening, May-September 2017

- Old tramline corridor transformed to Light traffic road "Tram Cultural Mile", November 2017
- Workshop on Põhja puiestee traffic solution, June 2018.

The first was an open format, in which users could express preferences. The second involved professional stakeholders who had a more deliberate process for developing the tool. The remaining four activities were about gathering input into and developing the plan for the Skoone Bastion area. The local project group dedicated several days to a collaborative (and almost deliberative) process involving Tallinn University and the Estonian Academy of Arts. This involved students elaborating upon visions and later presenting the work, which fed into a parallel process of drafting the plan for the site. With the exception of the temporary gardening, all activities were about the participants acting as advisers to the formal decision-makers. The use of the AvaLinn app could teach participants about the planning site without requiring them to express opinions about it. Since the app operates in an "uncontrolled" space, it becomes a part of the public sphere, where discussions are ongoing, and messages might reach the local project group (thereby having a communicative influence on the decision-makers). Most of the activities have been open to any interested participants.

4.4. Supplemented stakeholders' engagement in Turku, Finland

4.4.1. National participatory planning context

Since the 1980s, public participation has been legally acknowledged in various parliamentary Acts in Finland. The incremental steps of laws revise led to the Land use and planning Act which improved the process of informing local people of decisions on land use planning (1990) and then highlighted the two-way communication and collaboration between residents and officials (1999). Since 2000 the existing Land use and building Act has been amended several times while in 2013 the Act was completely overhauled. This Act emphasises the role of participation, collaboration and transparency in planning practices throughout the process (MRL 132/1999, 1999). It aims to ensure the involvement and interaction of all relevant participants in the preparation of plans guaranteeing also the quality of the planning outcome (ibid., also see Kahila-Tani, 2015). For example, in section 63, it requires drawing up a Participation and Assessment Scheme when a plan is being drawn up. The scheme should cover participation and interaction procedures and assessment of the plan's impact. However, by merely requiring publicizing planning proposal and Participation and Assessment Scheme, this Act, together with the Land Use and Building Decree, ensures a minimal "informing" level of public engagement in the land use planning process.

The existing planning systems in the Anglo-American, central European and Nordic societal contexts share some similarities but differ significantly e.g., in the way in which public participation possibilities have been strengthened. In Finland, the local government is responsible for most basic services like social and health services, as well as the educational, cultural, environmental, and technical infrastructure (including planning) services (Bäcklund & Mäntysalo, 2010). This Nordic welfare state model however also creates challenges for the implementation of participatory planning because of the strong municipal self-government which is presumed to exist for its citizens and their well-being (e.g. Haveri, 2006). This weakens the need for a strong civil society to emerge while the lay people are often simply used to the way representative democracy has traditionally functioned (see Kahila-Tani, 2015).

Despite the limitation of laws and the planning system stated above, many municipalities in Finland have progressive and advanced public participation practices. Public participation has been enhanced through Internet-based participation channels (Bäcklund & Mäntysalo, 2010). Planning processes are more transparent due to the online planning forums and online planning information system. Information distribution has been systematized (ibid.). E-services not only provide direct channels for participation, also provide services like daycare reservations to facilitate participation for busy households. Many cities, large and small, have their public participation strategy. For example, the city of Lahti has developed a continuously ongoing participatory master plan process (Mäntysalo et al., 2019) based on a dataset that contains more than 200 layers of data including geospatial data provided by citizens. Lahti's practice has far exceeded the requirements of Land Use and Building Acts and has proved that public participation can support a more efficient and more sustainable planning process.

4.4.2. Re-evaluation of baseline stakeholders' engagement practices

As defined by the national framework, the practices the law prescribes are limited. Direct participation practices have been developed since 1990 but the law doesn't define how those should be used. In order to really take the opinions of the citizens into consideration, the involvement should start from the very beginning of the planning phase and should include more engaging levels of involvement than just informing. When the stakeholders feel that their opinions are not taken into consideration, their mistrust towards city officials can rise. Therefore, would be also important to measure and evaluate participation to help municipalities to develop their operations. This would make sure that participation would have an effect on the municipality's activities and the lives of its residents.

According to the Local Government Act, local councils must ensure that the participation possibilities are diverse and effective, but the municipality is free to decide how this obligation is

put into practice. However, the Local Government Act states that Youth Councils, Older people's councils, and disability councils must be set up to recure the opportunity for those groups to participate and influence. The role of these councils is to act as experience experts of the group they present; to promote inclusion, equality, and accessibility. These councils also provide information on the current and future needs and concerns of their target group. They for example make initiatives, give statements, organize seminars and follow decision-making.

Regardless of the role of the citizen in the preparation and decision-making, the places of participation, the timing and the use of the information gathered should be considered at the very beginning of the preparation process. Without systematic participation planning, there is a risk that the impact of participation will be weak or non-existent. This, in turn, can lead to frustration among residents.

Involving stakeholders is often perceived as challenging and time-consuming. In many cases, planning of the stakeholder process starts with thinking about what method should be used. More important than the method itself, however, would be to first define what the goal of stakeholder participation is. The aim should be really to hear them and use them as a highly valuable resource in the whole process, not just make them feel like they have been heard. Participation shouldn't be considered a necessary evil. It should target to engage with them at all levels (inform, consult, involve, collaborate, and empower) and let them share their thoughts which should have an impact on the results as well. Within city organizations, focusing on changing attitudes towards stakeholder participation and training the city officials would be beneficial in improving stakeholder processes. There is certainly demand for this tool developed in the HUPMOBILE project as well.

So far methods used for participation are mainly targeting larger groups of people and focusing on informing and consulting the stakeholders, surveys probably being the most used method. Informing and consulting big stakeholder groups are also important and depending on the subject could be enough. On the other hand, in participatory budgeting and in projects carried out by the citizens themselves, the delegation of decision-making power is a key part of the whole process and therefore involving, collaborating, and empowering the stakeholders should be also taken into consideration. Different engagement levels are not exclusive, but rather accumulate.

4.4.3. Notable stakeholders' engagement practices on city level

The City of Turku's operating model for participation was updated in 2020. The update was considered necessary, as new tools and practices had been developed to enhance participation. The new operating model for participation defines and describes how participation

is implemented in the city of Turku. In the model, the word participation is defined as the active involvement of the residents, the promotion of the well-being of the residents, co-development of the city services and clear communication. The model serves as a guide and promise of participation. It also makes visible to city officials and decision-makers how to promote participation and make it part of their work.

In the model, tools for participation are e.g., regional forums (physical and online), customer juries, association cooperation, influential groups, good everyday environment walks, subsidies and grants, voice your opinion service for online participation, participatory budgeting, feedback service and the possibility to follow the decision making live. The City of Turku also has three additional influential groups, Parliament of Children, Council of Immigrants and Council of Gender Equality, in addition to the ones required by law. All six groups have a massive number of voluntary organizations in the background. The councils have an important role in bringing the city strategy into practice and they should be involved in every phase of the project. The City of Turku's operations commitments all includes the principle of participation:

- 1) Citizen and customer orientation
- 2) Responsibility and tolerance
- 3) Reformation and co-operation

Also, the City of Turku is paying attention to measuring and evaluating participation. At the city level the indicators used are:

- indicators describing the well-being and activity (regional segregation, perceived quality of life and differences in well-being of residents)
- 2) turnout in elections
- 3) the impact of resident/customer feedback
- 4) a voting percentage of participatory budgeting and number of proposals

An open participation specialist monitors the progress towards the targets on an annual basis. Participation is reported within strategic programs.

A case example: Linnanniemi pop-up exhibition was held in the centre of Turku in late autumn 2020 to showcase the ten successful competition entries of the international idea competition, the tentative traffic and mobility master plan for Turku port area prepared within HUP-MOBILE project as well as the museum centre's contemporary documentation project. In addition to the exhibition, a variety of side events were organized to give residents an opportunity to get more acquainted with the unique area of Linnanniemi.

The pop-up exhibition required a lot of resources from the city but received mainly positive feedback. Many visitors were happy to have the opportunity to see the competition entries physically instead of just online. People were encouraged to comment on the entries both in the pop-up exhibition and online through Voice your opinion service. People clearly preferred leaving their comments on sticky notes in the exhibition instead of commenting online. Gathering notes alongside the competition entries for anyone to read turned out to be a great way to encourage dialogue between visitors. There was also an opportunity in the exhibition to give feedback and discuss the competition proposals with the exhibition staff, which was a strong message that there was also a need for the physical exhibition and customer service. Some visitors did not want to write down their opinions, but they still wanted to be heard. By physically meeting the visitors in the exhibition space, it was also possible to advise them to get acquainted with the idea competition entries via Voice your opinion service.

Guided walking tours around Linnanniemi offered possibilities for people to get more familiar with the Linnanniemi area. Participants did not only get acquainted with the history and the current state of the area but also learned about what kind of plans there are for the future. In the Linnanniemi neighbourhood hunt, by searching for QR-coded checkpoints and answering questions related to Linnanniemi, participants took part in a raffle of different prizes. Guided walking tours and the neighbourhood hunt enabled participants to explore the area on site, either with a professional guide or on their own. Both activities were well received, and especially through neighbourhood hunt, participants shared a lot of their thoughts, memories and expectations regarding the Linnanniemi area. These insights were valuable material for contemporary documentation and planning of the area.

Webinars, where experts and city officials discussed Linnanniemi from various perspectives were arranged not only to inform but also to create dialogue and exchange of ideas between the citizens and city officials. Even though only a handful of people attended, the conversations during the webinars were insightful.

4.4.4. Potential methodological additions to Turku stakeholders' engagement

With a mixed-methods-approach, the aim was to attract different groups of people to get involved. However, the methods focused mainly on lower engagement levels. More collaborative and empowering methods such as concept mapping and Living Lab could have been useful to complete participatory planning and get more in-depth views from the stakeholders.

Case example: in the joint port area mobility and masterplan process Häme University of Applied Sciences conducted an interview about passengers' travel modes in both passenger terminals and also a vision workshop was organized for the most relevant stakeholders:

- Societies (Turkuseura, Meidän Turku ry, Turun polkupyöräilijät ry)
- Companies (Turun yrittäjät, Viking Line Abp, Tallink Silja Oy Ab)
- Regional authorities (ELY Centre, FTIA)
- Municipal organisations (The Museum Centre of Turku, Valonia, Southwest Finland Emergency Services)

A virtual walk through (1st and 3rd quadrant, involve) or geo-discussions (3rd and 4th quadrant, involve/collaborate) could have been used when preparing the joint port area mobility and master plan. These methods could have helped bringing up interesting observations and could have been done before or after the vision workshop in which different stakeholder groups took part in.

Another possible way to involve stakeholders in the planning process could have been concept mapping (4th quadrant, collaborate) for example in expert teams. This method could have been especially useful in collective problem-solving.

The City of Turku has many of the more traditional tools already implemented but it would be interesting to see how new, innovative ways to participate such as video games or instawalks (3rd quadrant, involve/collaborate) would work and attract younger residents. The City of Turku particularly wants to take care of the participation of young people, because they do not yet have the opportunity to influence by voting.

4.5. Supplemented stakeholders' engagement in Riga, Latvia

4.5.1. National participatory planning context

Latvia embraced participatory planning in the 1990s after its independence from the Soviet Union. In 1994, Latvia's first regulations (Regulation No.194 Territorial Planning Regulations) specifically addressing national, regional, municipal, and local level spatial planning was adopted. Before the launch of the Development Planning System Law in 2009, the legislation concerning spatial planning was revised with a regular frequency. This law was merged into the Spatial Development Planning Law in 2001 (small amendments in 2014), which sets out requirements for public participation in spatial planning. Nowadays, planning and participation procedures are determined in Latvia by "Spatial development planning law" (2002, revised in 2011) (Prilenska, 2020).

Despite the frequent changes in legislation, only a few changes in the requirements for public engagement in urban planning was made (Akmentina, 2020). Compared to Estonia, which is

also a post-socialist country that learnt from the other European countries for its early legislation, Latvia has relatively less detailed planning laws. These laws are complemented by the regulations issued by the Cabinet of Ministers (Regulations No.711 in 2012, revised and reissued as Reg. No.628 in 2015). The less-detailed level of the laws is believed for aiming at flexible strategies responding to the diversity of local conditions (Prilenska et al., 2020), as in the transition from socialism to liberalism since 1991, Latvia Government delegated the responsibility of urban planning to municipalities (Akmentiņa, 2020). Therefore, these national-level laws only set the minimum requirements for public engagement. These minimum requirements mostly include the public display of planning documents and public hearings. As online platforms were introduced in 2004, planning information dissemination and availability are also included in the public engagement requirements (ibid.)

Government-led public participation has been developed since the 1990s. In addition to the required public display and public hearing, other approaches such as public discussions, seminars, online forum-like websites, questionnaires, etc., were adopted. Utilizations of these approaches helped the public participation in planning processes to reach the "inform" and "consult" level of engagement. Throughout Latvia's 30-year development of public participation, active citizens and non-governmental organisations (NGOs) also rose. Civic organisations such as Environmental Protection Club (VAK; Vides aizsardzības klubs), Coalition for Protection of Nature and Culture Heritage (KDKMA; Koalīcija dabas un kultūras mantojuma aizsardzībai) initiated petitions and litigations against specific projects or approval of laws. During the more recent years, more place-based (neighbourhood) organisations appeared, that turned bottom-up participation activities from opposition towards collaboration. These neighbourhood organisations tend to focus on several types of activities, e.g., preservation of cultural heritage, environmental protection, and participation in urban planning (Treija & Bratuškins, 2017) and play an important role in motivating citizens and strengthening local identity (ibid.). Governmental authorities, e.g., the city of Riga, have launched funding programmes and participatory budgeting programmes to support these bottom-up, place-based activities (Korolova & Treija, 2019).

4.5.2. Evaluation of baseline stakeholders' engagement practices and potential improvement strategies

Riga municipality has always been at the forefront of the national planning scene by gradually diversifying the methods and approaches of participatory planning to keep up with the growing citizen activism and modern planning tendencies.

As described in the previous chapter the national planning legislation defines a minimum baseline for the public involvement in the planning process allowing municipalities to choose the level and methods of public engagement as long as the minimum requirements of public participation are met. There are no guidelines defining a higher quality of public involvement nor is there a strict requirement to incorporate public views into the planning documents even if such opinions are collected.

Ever since the reinstitution of Latvia's independence in 1991, Riga municipal planning practices and the chosen participatory approaches have gradually increased in complexity (see Figure 4: The spectrum of covered participatory planning approaches in main planning documents of Riga) despite the absence of national legal requirements.

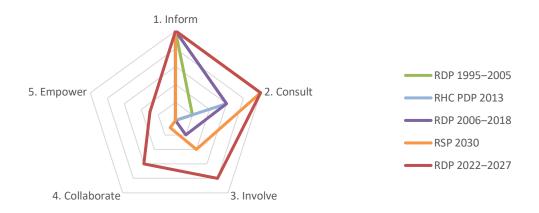


Figure 4: The spectrum of covered participatory planning approaches in main planning documents of Riga¹

The graph shows the increased complexity of participatory methods used in main planning documents of Riga city since 1995 according to Spectrum of Public Participation developed by The International Association for Public Participation. The spectrum classifies public participation methods into categories depending on the share of public authority in planning decisions, starting from being informed about planning decisions ("inform") and culminating in taking planning decisions ("empowerment"). The results show a gradual learning curve for both city planners and the wider society as perceptions of meaningful participation among all actors grow. Significant milestones of increasing complexity for used participation methods can be noticed with the development of Riga Development plan (RDP 2006-2018), Riga Strategic programme (RSP 2030), and Riga Development plan (RDP 2022-2027).

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¹ The graph is authors illustration that builds on groundwork set by Akmentiņa,L.(2020).Participatory Planning in Post-socialist Cities: A Case Study of Riga. Architecture and Urban Planning,16(1) 17-25.

Although Riga city planning documents demonstrate a decent coverage of used participation methods that span most of the sectors of Staffans "Fourfold classification of communicative actions" used in the HUPMOBILE's Participatory. Tools, Riga city might benefit from even further strengthening the "post-project-evaluation" phase and further empowerment of citizens.

The weak point of many civic engagement processes, including the most advanced attempts of Riga city, are the integration of the data, collected from participants into the actual plans and activities. Many ideas and much of the data collected for a specific purpose are much too narrowly analysed and often discarded on the grounds of being outside of the scope of a current planning document at hand. The ideas, even when deemed worthy, are lost in the administrative process, and do not reach the proper "folder". More systemic empowerment of stakeholders allows better citizen control and supervision which also shares the responsibility and duty of guiding the best ideas to their realisation.

Although it is very little in form of national stakeholder involvement guidelines, some of the best practices from Riga municipality have filtered up to national best practice suggestions for municipalities, such as participatory budgeting and complex stakeholder involvement practices in developing main planning documents.

4.5.3. Notable stakeholders' engagement practices on city level

Participatory budgeting in Riga²

Riga City Council launched a participatory budgeting program as an innovative stakeholder involvement pilot back in 2019 and it has since become a crucial tool within Riga stakeholder involvement toolkit. The aim of the initiative is to foster neighbourhood regeneration and the creation of identity while supporting local inhabitant participation in the development of the area. The submitted projects should meet some basic criteria, such as: 1) the project should be envisioned on the municipal property; and 2) it should be linked to infrastructure development in the neighbourhood and should have long-term and social value.

The annual project call is open to any neighbourhood association, NGO, or local activist group. Submitted projects that qualify the criteria are presented for two-stage evaluation - online public voting and evaluation by the municipal committee that includes a variety of social partners.

² More on Riga participatory budgeting and the results of the programme can be found onlin https://balso.riga.lv/par-iniciativu

The prizes of the winning proposals (the number of supported ideas varies) go to the respective municipal neighbourhood chapter for the implementation of the idea in form of budget subsidy.

Participatory budgeting in 2021 hosted 34 eligible proposals. Eleven top ideas split the total budget of 500 000 euro with the help of ~20 000 inhabitant votes.



Figure 5: Spatial distribution of Riga participatory budgeting proposals in 2021

Public participation process for Riga Spatial Plan 2030

The Riga spatial plan 2030 (RSP 2030) is a long-term development planning document of the Riga municipality, which sets out requirements for the utilisation and building of the territory, including functional zoning, public infrastructure, land use and building regulations, as well as other conditions.

The planning document was initiated back in 2012 with the first nationally required public consultation rounds opening in mid-2018 with follow up consultations at mid-2019 and mid-2021. However, immense the public participation process was carried out outside of the national legal baseline.

The early preparation stage of the public participation process (2012 -2016) opened with 58 studies and more than 40 early-stage meetings with inhabitants covering such topics as the organisation of stakeholder engagement process itself, thematic scope of the document, and early strategizing by stakeholders etc. The process utilised different methods to involve all neighbourhoods, all interest, ethnicity, and age groups resulting in approx. 700 initial statements. The methods used ranged from local meetings, community brainstorms, children painting & literary contests, neighbourhood walks etc. The team proceeded to discuss the setup with international stakeholders and expert groups across 10 countries and 28 cities. Resulting

material was further discussed in different forms to converge the knowledge and form the base content of RSP 2030.

The document was further developed in 3 draft stages maintaining the same broad spectrum of civic engagement whilst making use of methods and partners that allow for deeper specialisation and convergence. As a result, the public participation process for RSP 2030 is the most inclusive and ambitious participatory planning endeavour of Riga City Planning Department to the date increasing complexity of participatory methods used (according to Spectrum of Public Participation developed by IAP2).

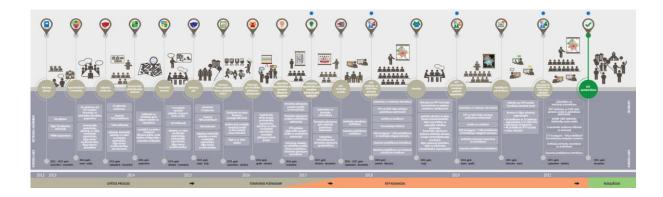


Figure 6: Public participation process for Riga Spatial Plan 2030

Participatory practices for sustainable water transport in Riga

As part of the HUPMOBILE's mini-interventions towards a holistic approach to the planning of integrated, sustainable mobility solutions in port cities of the Baltic sea region, the Riga Energy Agency conducted two studies to evaluate the feasibility of sustainable green passenger ferry service on Daugava river crossing the city.

While the studies were focused on the specific legal and economic aspects of the issue, the wide stakeholder engagement sparked a broad discussion on the general topic of passenger water transportation in Riga and the wider metropolitan area as a feasible means of green transportation.

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6. Annexes