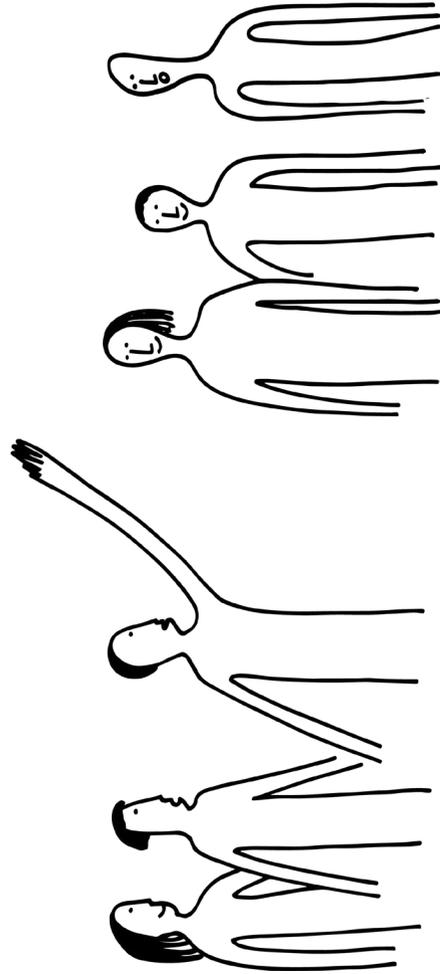


Ro3kvit Urban Coalition for Ukraine &  
Ukraine Rebuilding Action Group

American Planning Association  
International Division



# The Public Participation Handbook of Urban Planning for Ukraine

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# PREFACE

Ro3kvit is a coalition of over 80 professionals from Ukraine and beyond who united their efforts to develop knowledge and methodologies for rebuilding Ukraine's urban and rural environment and infrastructure. Through design and research, we address urgent needs raised by stakeholders now and connect this to future strategies. Fuelled by studies on other (postwar) countries, we are developing new, future oriented urban design methods, co-creative organisation and sustainable development.

The Ukraine Rebuilding Action Group (URAG) is established by the American Planning Association International Division. As a volunteer-based organization, the URAG's task is to develop and facilitate projects and programs to assist Ukrainian rebuilding through networking, capacity building, knowledge sharing, and collaboration.

The Ro3kvit and the URAG of the American Planning Association International Division have developed "The Public Participation Handbook of Urban Planning for Ukraine" (Handbook) in response to the need for community involvement in the rebuilding effort for Ukrainian post-war recovery. The release and distribution of this Handbook were made possible with the support of 3MIN Foundation.

The Handbook aims to furnish practical insights into public involvement in urban planning for planners, administrators, and public officials who are engaged in urban planning and development in Ukraine. It serves as a comprehensive guide for the formulation of regulations and procedures concerning urban planning. Moreover, it can be utilized to create public participation frameworks tailored to specific projects.

This publication can also prove to be a valuable resource for trainers and educators who wish to incorporate urban planning education into their courses.

The content of this document is presented in an advisory capacity. The majority of the general public engagement information draws from practices within the United States.

The authors aim to provide relevant recommendations for the Ukrainian context, with appropriate cultural and historical adaptations. It is assumed that community involvement possesses universal characteristics regardless of geographical location. It is recommended that the guidelines be tailored to fit the unique circumstances of a given community.

The handbook is a living document. The project team is committed to reaching out to planners and scholars periodically for comments and providing clarifications, corrections, and supplemental information as necessary.

The project team welcomes criticism and suggestions to improve the Handbook. Anyone who is interested in joining the team in future efforts is welcome to contact us.



# 1. Introduction

## 1.1 What is Planning

In the context of urban development, “planning” is to improve long-term community welfare by identifying ways to create more convenient, equitable, healthful, efficient, and attractive places for present and future generations (APA Colorado). The goal is to maximize the health, safety, and economic well-being of all people living in our communities (APA).

Planning is inherently interdisciplinary. It may involve preliminary engineering, architecture, landscape architecture, environmental science, geology, economics, finance, sociology, statistics, public health, public administration, negotiation, and other subjects relating to urban development.

Because of its impact on the built environment, urban planning is often viewed as spatial planning. Sustainable Development Goals and New Urban Agenda refer to spatial planning as a multi-stakeholder decision-making process where participation is a key to reach sustainable development (UN Habitat, 2023).

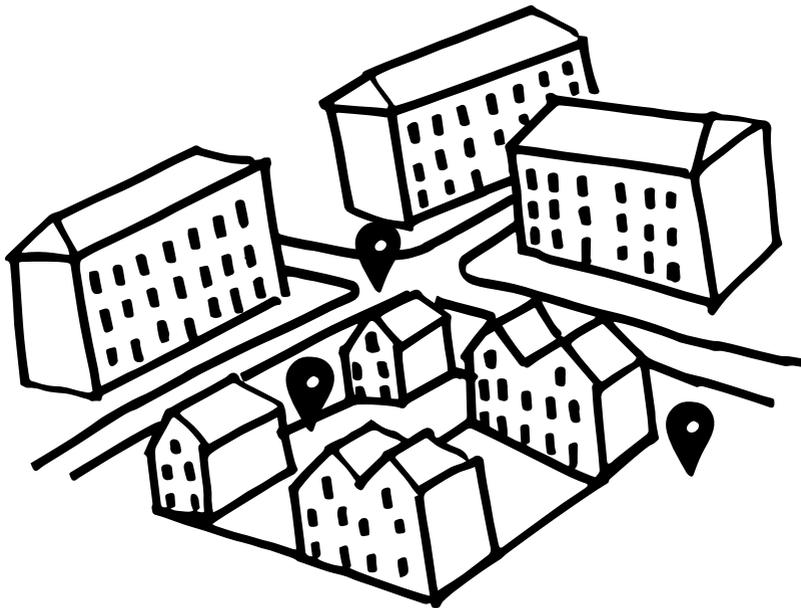
Urban planners work with the community to take a broad view of the long-term value of a community, regarding health, mobility, economy, equity, inclusion, sense of place, sustainability, safety, resiliency and general livability. In practice, planners often serve their communities as facilitators, consensus builders, and process brokers. They bring perspectives rooted in holistic planning, multi-disciplinary collaboration, sustainability, equity, urbanism, and data-based decision making (City of Rochester).

There are several types of urban planners, each specializing in different areas of urban planning. The most common types are: land use planning, transportation planning, environmental planning, housing, economic development, historic preservation, public facilities/ social infrastructure planning and urban design although it is worth noting that some planners do a little bit of everything.

## 1.2 What is Public Participation

Public participation in urban planning is a process of engaging with local residents, interest groups, business owners, and other stakeholders to share information and gather their input on various aspects of urban planning. In other words, public participation can be any process that directly engages the public in decision-making and gives full consideration to public input in shaping potential outcomes and managing resources (US EPA).

The goal is to ensure that planning decisions reflect the needs and aspirations of local communities, and that the planning process is transparent, accountable, and inclusive. It can take many forms, including community meetings, public hearings, workshops, surveys, focus groups, and online engagement tools.



## 2. Importance of Public Participation

Public participation is an essential component of urban planning because it ensures that the needs and interests of local communities are taken into account in the decision-making process. Cities' transformations can sustain only if they involve priority groups of "underrepresented and underserved population in participatory civic process, enabling them to contribute to their own development" (UN-Habitat, 2020).

### 2.1 Human Rights

Everyone has the right to take part in the government of his country, directly or through freely chosen representatives. Everyone has the right of equal access to public service in his country (UN Human Rights). Planning decisions impact people's lives. Those who are affected by those decisions have a right to be involved in the decision-making process. It is an essential part of democratic governance. The call for open and multi-stakeholder governance models builds on the enabling role of participatory decision-making in the advancement of human rights. (Office of the High Commissioner for Human Rights, 2018)

Sustainable Development Goals (SDG) (UN General Assembly, 2015) and New Urban Agenda (UN-Habitat, 2016 b) emphasize the importance of public participation, including SDG Goal 16, SDG Target 16.7, SDG Target 11.3, and New Urban Agenda paragraph 26, 41, and 48.

### 2.2 Social Cohesion

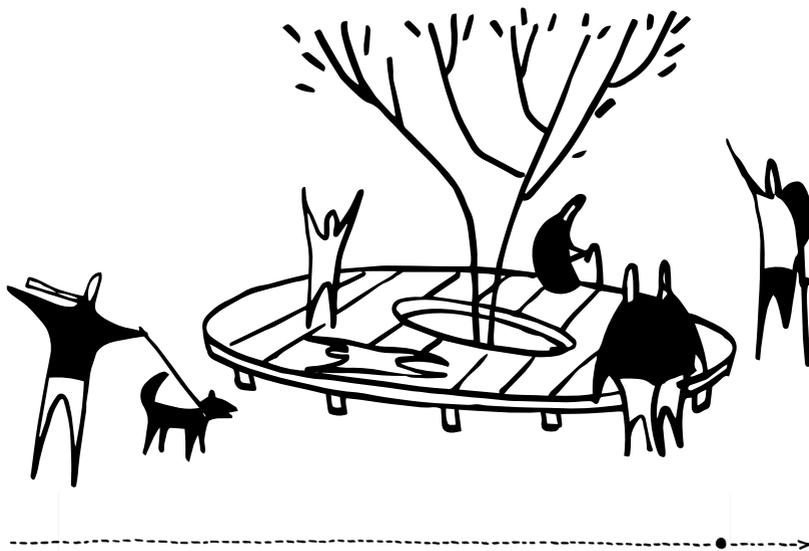
**Community empowerment.** Public participation gives community members a voice in shaping their communities. It improves communities' general capacity for civic engagement. The process, in turn, strengthens social networks and enhances community cohesion. All this makes a community stronger and more resilient.

**Building Trust.** Public participation can help to build trust between institutions and community members, leading to more productive and sustainable partnerships in the long term.

**Social Justice.** Public participation can help to ensure that planning decisions are equitable and inclusive, and that the needs of marginalized and underrepresented groups are taken into account. This can help to advance social justice and to reduce social exclusion and polarization.

**Sense of Belonging.** Belonging is a sense of acceptance, inclusion, and identity for an individual as a part of a group. Having a sense of belonging contributes to the health, resilience, and long-term prosperity of a community. Participation is the mechanism to make planning as a nexus to connect community members under a shared vision, and hence, to enhance a sense of belonging.

**Fostering behavioral changes.** Some communities have suffered collective trauma or have been marked by historical events that left them with a legacy of prejudice, division, and conflict. Public participation must recognize that there will be special circumstances that have marked the way communities are today and the way they perceive their future. That is why while planning for public participation there must be a multidisciplinary ap-



proach that builds empathy to the fears and perceptions of all groups in the community. Best practices show that sometimes different groups cannot be put together to discuss an issue and expect that they will reach agreements from the start. Occasionally the planning process has to take special steps to create a sense of community first, earn trust from leaders of distinct (sometimes antagonistic) groups, before the process can lead the community to positive and constructive behavior so meaningful input can be obtained.

### 2.3 Project Success

**Better Decisions.** Public participation provides valuable insights and local knowledge that can help planners to make informed and effective decisions. It also helps to identify potential conflicts and challenges early on in the planning process, which can lead to better outcomes. Through collective deliberation on the planning decisions, an inclusive participatory process fosters acceptance of the planning outcome, including priorities and implementation. In addition, through increasing transparency and accountability, public participation helps to ensure that decisions are made in the best interest of the community and are accountable to the public.

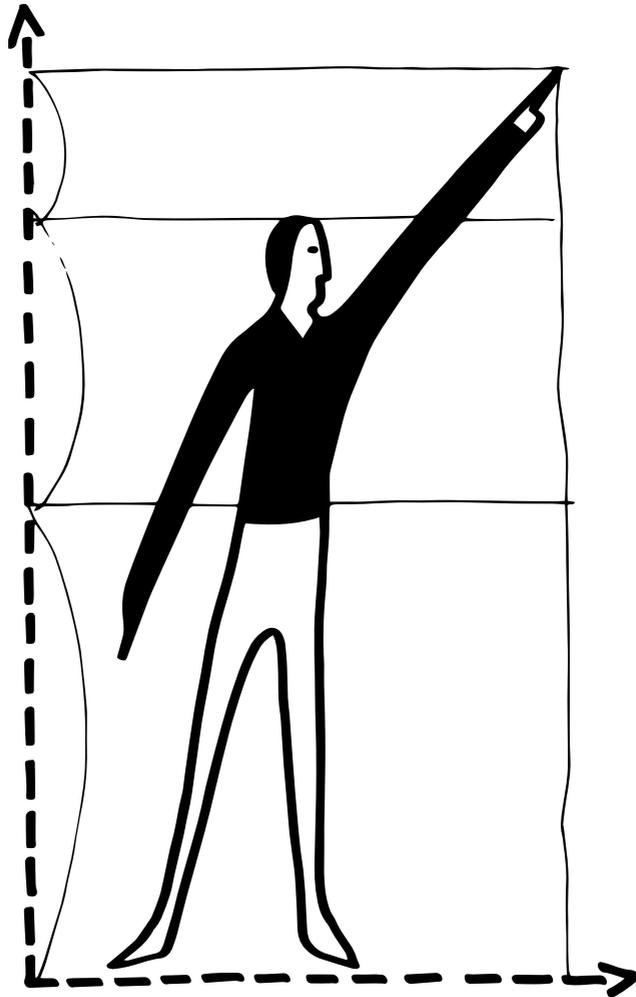
**Better Justification.** In many cases, public participation is a legal requirement that must be fulfilled before any planning decision can be made, especially when decisions will have a significant impact on the public. Public participation ensures that legal requirements are met and recommendations are justified. The recommendations from a participatory process are also more likely to be justified and defensible.

**Better Implementation.** Public participation helps to identify potential issues and opportunities that might not have been considered otherwise. This can help to avoid delays, conflicts, and costly mistakes that can arise when community concerns are not adequately addressed. Moreover, public participation can help to build a sense of ownership over the plan being developed, making it more likely that projects will be implemented successfully.

### 2.4 Profession Commitment

Architects work on buildings. Engineers work on structures. Planners work with communities, tackling complicated issues which have significant social impact. Urban planners should have a commitment to ensuring an inclusive participation process in their work. Like architects and engineers who need to know their clients, planners need to know the community. Planners cannot succeed without working closely with the people living in the community. On the other hand, while planning is a profession involving strict training, planners have limits in their knowledge and perspectives. Planners need the input from the community.





## 3. Good Practice

### 3.1 Elements of Good Practice

**Early.** Engaging the public at the beginning of or even before the project starts. It helps 1) build trust and foster collaboration - people are more likely to feel included and invested in the outcome and more likely to support the final plan and 2) Input can then be used to inform the following planning process.

Early engagement can also help avoid conflicts that might arise later on in the process. Planners and community participants should identify their concerns and disagreements, clear expectations at the beginning of the process before they become major obstacles to the planning process.

**Continuous.** Keeping participants informed throughout the process and returning to communities with feedback on a regular basis, especially to show what has been done with their input.

This continuing dialogue fosters mutual trust and understanding. When community members feel heard and respected and their feedback is valued, they are more likely to support and participate in the implementation of those decisions. It is undesirable when a planner emerges to ask input from the community and then disappears, without feedback and updates. This can erode trust as community members may feel ignored or undervalued.

**Transparent.** Communicating the following things in the planning process as clear and complete as possible: 1) the purpose of engaging the community; 2) the scope of the issues and its relevance to the community; 3) the interest of all interested parties; 4) the process of planning, decision making, and implementation; and 5) the reasoning and responsible entities behind decisions.

Transparency fosters trust and promotes accountability. This helps to prevent corruption, nepotism, or other unethical practices from influencing urban planning decisions. It is also important that planners also communicate their level of responsibility in the decision-making process, and not over promise to the community how much they can accomplish or the level of their influence in the final product.

**Inclusive.** Different people have different needs and experiences. Those differences should be embraced in the planning process. It means to include people from different backgrounds, income levels, education levels, ages, races, ethnicities, level of abilities, and genders. It also means making extra effort to include communities that have historically been excluded from the planning process, such as immigrants, indigenous populations, low-income people and children.

Inclusiveness is especially important when it comes to refugee communities, who often face unique challenges in accessing services and participating in decision-making processes. Including refugee communities in urban planning can help to build trust between the community and local government, which can help to facilitate integration and reduce tensions. It can also ensure that the specific needs of refugees, such as access to affordable housing, healthcare, and education, are taken into account.

Equally important, inclusiveness requires accessibility. It focuses on both including participants from various backgrounds and on removing financial, social, communicational, and cultural barriers. (UN-Habitat 2023) This means providing financial, social, and

cultural assistance/resources to groups that were intentionally or unintentionally excluded from the decision-making process for their effective participation.

**Effective.** Effectiveness is significantly concerned with how stakeholders' bargain in the policy arena. (UN-Habitat 2023) This means 1) participants are adequately informed with the issue at stake and 2) participants have the power to make impacts on decisions. Effectiveness operates on the dimension of power dynamics between stakeholders, which ensures the right of people to self-determination by participating, contributing, and enjoying development process and gains. (United Nations General Assembly, 1986)

To ensure effectiveness, the process should provide participants with information that is relevant, accessible, and complete, taking into account issues of language and cultural barriers, socio-economic conditions, and others. The process should also empower participants, so they have a real impact on the decision-making.

**Relevant.** Relevance relates to the extent to which the planning process objectives and design respond to beneficiaries' needs and priorities, as well as alignment with national, global and partner/institutional policies and priorities. Understanding disadvantaged groups' dynamics and reflecting on the commitment of "inclusion" are crucial in understanding relevance. If circumstances change, the participation process should look at whether interventions remain relevant. (Organisation for Economic Co-operation and Development (OECD), 2021)

**Coherent.** The extent to which Planning (particularly policies) support or undermine other intervention, and vice versa. Includes

internal coherence and external coherence: Internal coherence addresses the synergies and interlinkages between the new plans or interventions and other activities carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonization and coordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort. (Organisation for Economic Co-operation and Development (OECD), 2021)

### 3.2 Enabling Measures

**A Strong Legal Basis.** Laws cannot guarantee successful implementation, but a strong regulation framework helps ensure legality of public participation in urban development and planning. According to the UN-Habitat Planning Law Assessment Framework (UN-Habitat 2018), high-quality urban laws have those features: 1) Coherence and consistency. Minimizing ambiguity in interpretation and application; 2) Reflecting local context, including needs, challenges, and advantages; 3) Clarity of the processes as well as the roles of institutions; 4) Flexibility and simplicity. Over-rigid and complicated rules discourage implementation.

**Leadership Support.** When leaders support public participation, they demonstrate their commitment and encourage community involvement. Support from higher levels of administration can 1) provide legitimacy of, and set the tone for, the inclusive process;

2) mobilize resources such as funding, staff, and time; and 3) build trust and confidence in the planning process.

**Planning Capacity.** This refers to the ability of planners to effectively engage with the public, including knowledge, skills, resources, and infrastructures. This also means the officials and planners have the will to extend participation beyond the minimum specified by the legislation and to build consensus with compromise. This also involves long-term support from professional associations and agencies through knowledge sharing and research.

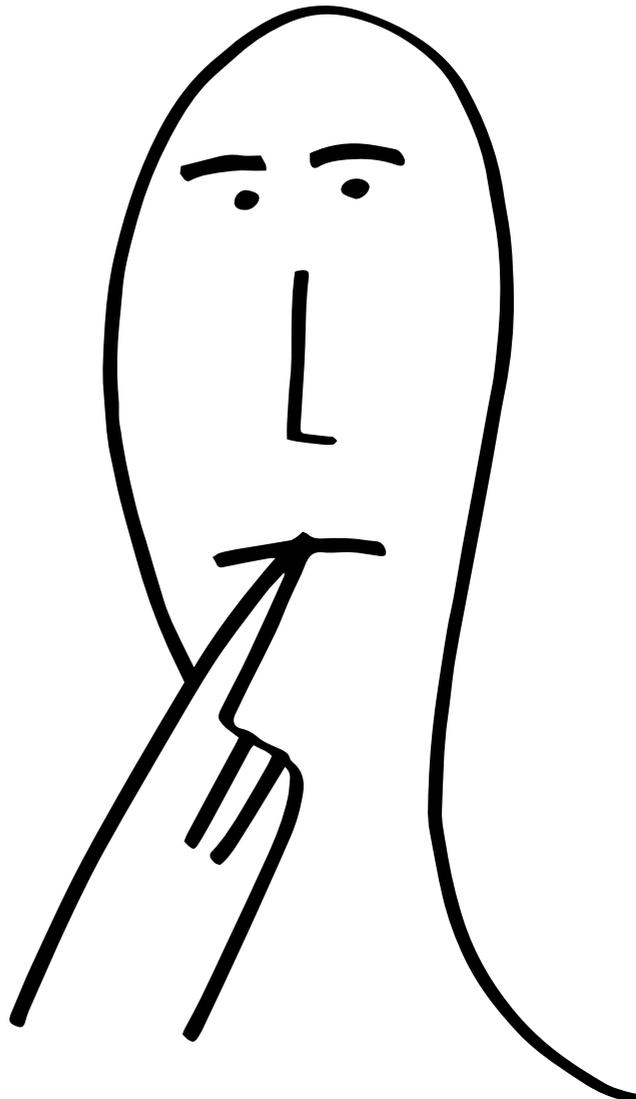
**Financial Resource.** Adequate financial resources provide the necessary funding to support the engagement of the public in the planning process. Specifically, they fund outreach and engagement, staffing, technology, translation/interpretation, accessibility features for participants with disabilities, and transportation/accommodation. Paid participation can be beneficial in the urban planning process, because it potentially increases the number of participants, especially marginalized community members and recognizes the value of the participant's contribution. Paid participation should be used with caution and be transparent who is being paid and for what (compensation can be in the form of non-monetary incentives).

**Robust Civil Groups.** Strong community organizations, especially those representing disadvantaged populations, are important in the planning process. The condition is especially true when those organizations have appropriate knowledge, life experiences, and organizational capacity to effectively participate in and influence the planning process. The groups can represent diverse perspectives, advocate with accountability, offer

expertise and knowledge in specific areas, and collaborate with the institutes and other organizations to synergize the effort.

**Healthy Relationship.** This means a productive relationship between institutions/government and local community-based groups, and community representatives who might not be official members of any particular group but have stakes in the process. When civil groups feel that the government is open and transparent, they are more likely to get involved in the process and respect the planning decisions and to pool resources and expertise to achieve common goals.

**Empowerment.** This refers to a mechanism in which public input has an impact on important decisions, such as prioritization and budgeting, and participants have the resource and power to bargain important decisions. In other words, people have a say in the decisions that affect their lives. Empowerment enhances a sense of ownership, improves social justice/equity, and contributes to sustainable development.



## 4. Challenges to Overcome

Often, public involvement confronts intentional and unintentional consequences resulting from actions taken by planners and people with power. Those issues are an inherent part of the process and they do not mean failure or fault. On the contrary, they are opportunities for reflection and improvement. Potential countermeasures are discussed in the following segment.

The discussion of this topic is based on practicing experience of the authors, the consultation with planners in the United States, as well as information from the Planning Sustainable Cities, Global Report on Human Settlements (UN-Habitat, 2009) and American Planning Association International Division's Planifique-mos Project (APA ID, 2022).

### 4.1 Major Challenges

**Power Imbalance.** There are differences among socioeconomic groups, based on values, income, gender, ethnicity, education, disabilities, and social connections. Those differences may generate power imbalances in decision-making: some groups are more influential than others. Well-organized stakeholders may exert influence more effectively and have other channels to advance their interests.

**Planning as a tokenistic device.** The planning process could be used for the sole purpose of legitimizing decisions. This describes a process where the public is given nominal opportunities to participate, but their inputs are selectively used or disregarded by those in power. Agencies can control who is to be consulted or invited. They can also give people a say in inconsequential decisions. The power to make decisions typically lies

with locally elected politicians and can be manipulated by them.

**Outcomes are unpredictable.** Outcomes from public participation may surprise planners and officials. They may throw the planning project into chaos and frustration ensues. The unpredictability imposes risks in the eyes of developers and certain stakeholders, even those with good intent. Even well-conducted public participation does not guarantee optimal outcomes for specific goals, such as equity and sustainability.

**Public opposition to achieving high-level goals.** When a planning outcome has a direct and short-term impact, people are more likely to participate. While it helps identify stakeholders' needs and priorities, it can impose challenges to achieving higher-level goals which may have adverse effects on a few (e.g. neighbours objecting to needed infrastructure).

**Lack of interest in long-term planning.** Long-range planning at the metropolitan level may appear remote and irrelevant to citizens, and less likely to draw participants. Those planning could be disproportionately influenced by business and interest groups, rather than individual citizens. The low participation rate has been an issue for many agencies.

**False expectations.** Unlike zoning ordinances or budgeting / spending documents, plans often offer only guidance. Participants may be unaware of this fact and become disappointed at how the plan is being or not being implemented.

**The cost of public participation.** Participation takes time and resources. It may slow down decision-making and add to the cost of development.

## 4.2 Countermeasures

Facing the frustrations of public participation, it is important to recognize that “in a strong democracy, people –citizens – govern themselves to the greatest extent possible rather than delegate their power and responsibility to representatives acting in their names.” (Herman Daly, 2000). This part describes strategies that could mitigate the impact of the consequences discussed above. At the core, problems with public involvement can inhibit the democratic process. Furthermore, these problems often underscore the challenges of engaging the public in a democracy. Improving public participation improves democracy.

**Provide Multiple channels for the public to become involved.** Different stakeholders may have different preferences in communication; some may feel more comfortable writing formal comments, some may prefer using social media, and others may want to express their opinion through an open conversation in public meetings. Other factors to consider include preferences for different formats, languages, meeting locations, and/or meeting times.

**Ensure a mechanism to take into account minority, disadvantaged, and underrepresented groups.** This entails deliberate efforts to include those groups in the process and help them identify and advance their interest. This requires proactive approaches taken by planners to reach out, assist, and sometimes voice on behalf of those groups. Planners should ask who is missing from the process, who is speaking, whose voice is unheard, and who is silent but should not be ignored.

### **Empower the public with knowledge.**

The knowledge is not only about the substance of a specific project, it is also about the process itself, including how the public’s voice will be considered and documented, how decisions will be made, and how plans can be amended or challenged.

**Clearly document the process.** Documenting public participation and its outcome helps to ensure a transparent and accountable planning process. It is understandable that the scope of public participation may be limited due to the constraints of budget and staff capacity. If a planning process is tokenistic, at least it should be documented. Even a tokenistic process has its value. When adequately documented, it provides insight into the issues for future improvement as well as how the decision is made.

**Deliberately identify who benefits and who is harmed** (APA Memo by Kyle Ezell, EdD, FAICP). This means evaluating the impact of decisions on people. How will they be affected financially, physically, culturally, and psychologically? Planners should make special efforts to reach out to the population that may be negatively impacted, and develop strategies to avoid, mitigate, and compensate for the harm. If the harm is inevitable, the rationales should be unambiguously documented.

**Safeguard vulnerable goals.** Planners should keep eye on the goals that may get lost when special interest groups have disproportionate voices and influence. Equity, sustainability, and public health are often among the factors that need special attention. Planners’ recommendations are a balance of short-term interest with long-term interest and between local interest and overall interest.

### **Convey that even small projects matter.**

Neighborhood-level projects may be more attractive to local residents. A positive experience can build up trust between local residents and the government. Through such participation, residents can also learn more about planning and urban issues. They can become potential participants in larger projects at the city or regional level.

### **Acknowledge the limitations of planning.**

The nature of a project should be clearly communicated to the public, including its function, authority, budgeting, prioritization method, and implementation. When applicable, its relation to other regulations and plans should be clarified. So, even if huge progress is not achieved, the community is still moving forward or is set up for larger advances in the future.

## 5. Process Outline

In general, there are two levels of participation.

1. Neighborhood level. It often takes place in a specific neighborhood or community, focusing on local issues that have a direct and immediate impact on the residents who live in that community.
2. Metropolitan level. It is often a regional planning activity that addresses a wider range of issues in the long term. On both levels, community input is sought on:
  - Setting visions, goals, and objectives.
  - Identifying needs and opportunities for improvement.
  - Identifying potential solutions to solve a problem.
  - Identifying proposals on projects or activities.
  - Setting policies, budgets, and prioritization.

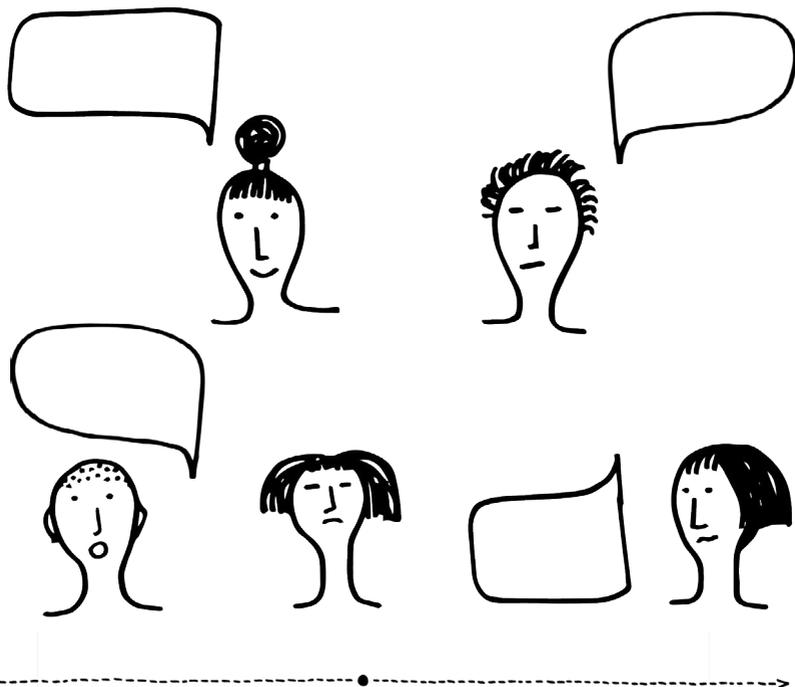
Public involvement should be part of every step in the planning process. At each step, stakeholders needs and preferences, and priorities. In general, planning steps include:

1. Community Assessment / Existing Condition Analysis.
2. Setting visions, goals and objectives based on existing conditions and stakeholder preference.
3. Developing strategies and alternatives to shaping the built environment in the direction to achieve the goals.

4. Evaluating and selecting strategies, projects, and alternatives.
5. Developing implementation plans, which include prioritization and budgeting.

There are a few notes about the planning process.

- In general, planning agencies are not required to take into account all the suggestions or objections in the final plan decision, but they are expected to document them and give a reasonable response to each issue that arises. The final decisions, in traditional planning practice, are typically made by elected officials or political executives.
- When consensus is impossible, decisions are expected to balance conflicting interests. Planners can have a significant influence on those making final decisions by drafting recommendations and policies.
- There are often formal procedures for the public to appeal against planning or development decisions or request amendments to adopted plans.



## 6. Stakeholders

Stakeholders include all impacted individuals and groups. Depending on the circumstances, they may include neighborhood associations, interest groups, business associations, government agencies, social service entities, educational institutions, elected politicians, small business owners, and individual residents.

Identifying stakeholders means identifying their interests, needs, limitations, and capacities. It should be emphasized that assessment of stakeholders' influence and interests is potentially useful for the governance sustainability of the planning process. (Mathur and others, 2007).

The following table is useful in identifying stakeholders based on their influence and stake in the project. (UN-Habitat 2001)

The UN-Habitat's Enabling Meaningful Public Participation in Spatial Planning Processes has a whole chapter dedicated to the topic of stakeholders in spatial planning policies. The information from that chapter is summarized as the following:

|            | Low Influence  | High Influence   |
|------------|--|--|
| Low Stake  | Least priority stakeholder group                           | Useful for decision and opinion formulation, brokering |
| High Stake | Important stakeholder group perhaps in need of empowerment | Most critical stakeholder group                        |

### Public Institutions

Agency: National, regional, and local governments.

Role: Lay down the enabling conditions for participatory process in urban planning; mediate between different interests; and facilitate the identification of common and shared strategies for future actions.

### Private Sector

Agency: Land developers, landowners, investors, and every private actor looking to benefit from urban development.

Role: Due to their economic assets and capacity, the private sector plays a central role in directing urban development.

Relying on private sectors in urban development could result in power asymmetries, which undermine the planning process in three ways: exclusion, capture, and clientelism. (World Bank Group, 2017)

Exclusion - systematically sideline some individuals or groups from policy decisions that affect their interests.

Capture - enable influential groups to make urban development serve their narrow interests.

Clientelism - short-term benefits are exchanged in return for political support. It can be reflected in political donation that is acquired in exchange for better infrastructure and facilities in wealthy areas.

### **Civil Society Organizations**

Agency: Civil society organizations is any non-profit, voluntary citizens' group, such as community-based organizations, environmental groups, women's rights groups, faith-based organizations, labor unions, co-operatives, and professional associations.

Role: link public authorities and the public, monitor local needs and priorities, raise awareness, mobilize public opinions, and voice the concerns of the public. (UN-Habitat, 2015).

### **Knowledge Institutions**

Agency: Universities. Research centers, and think tanks.

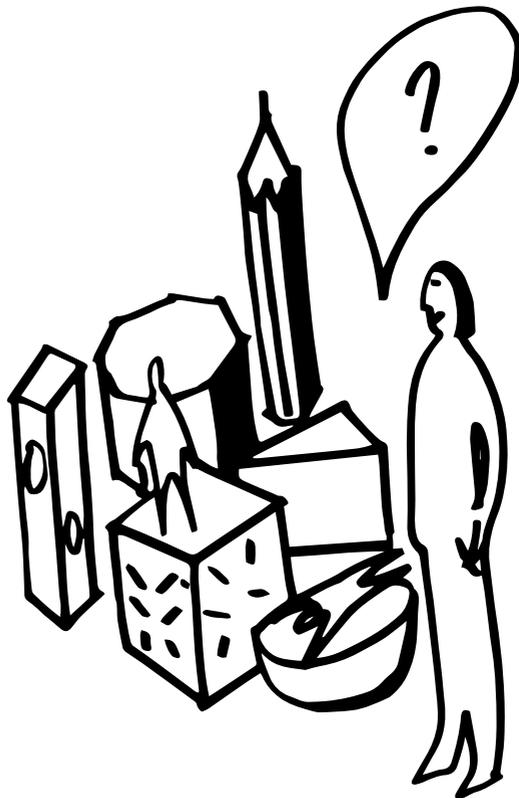
Role: Provide the highly skilled labor and technological innovations; leverage knowledge for capacity-building, applied research, policy advice, knowledge management and dissemination. (UN-Habitat, 2011)

### **Public or Grassroots movement**

Agency: All members of the public who have a stake in planning issues.

Role: Bring local knowledge to the process. It is likely that this group represents those who have a high stake in the issue and has insufficient resources for effective participation. Special attention should be paid to this group, to ensure that the process is accessible at any phase for children, young people, women, older persons, people with disabilities, the poor, the landless, migrants, internationally displaced people and indigenous people.





## 7. Toolkit

### 7.1 Information Dissemination Tools

**News Releases.** News releases are typically one to three pages in length and make an announcement about an upcoming event or issues being discussed. It sometimes shows up in a newspaper and/or is distributed through emails.

**Paid Advertisements.** Paid advertisement is a way to make an announcement or present information to the public in newspapers, on radio, social media, and on television. Advertising is often a legal action required by law, especially in high-circulation newspapers.

**Mass Mailing.** Mass mailing is a way to reach the general public. The material is mailed directly to residents' homes. An alternative is a newspaper insert or mass emailing, in which information is shared through email. There are often companies providing the service and have mailing lists to target certain audiences by zip codes. Government agencies may also hold this information from previous projects or initiatives.

#### **Media Interviews + Media Updates.**

Media interview is a way to get the information out to the public by participating in media interviews on TV, newspaper, radio, podcast, and/or other news outlets. It provides opportunities for the public to be informed about the relevance of the project to their community, as well as involving potential stakeholders in the planning process.

**Pop-up Exhibitions.** Pop-up exhibition is a tool to spread the word and generate interest and visibility for a specific project. They function as mobile hubs to draw stakeholders who would otherwise not attend formal public meetings. It could take place during established events, such as school

events, festivals, farmer's markets, and neighborhood meetings.

**Briefings.** Briefings are to inform people of progress being made or an action about to be taken. It can take place as a visit, a phone call, or a group meeting. The purpose is to keep stakeholders informed. Sometimes, briefings can also collect feedback from stakeholders.

**Symposia.** A symposium is an event that brings together experts, stakeholders, and community members to discuss and exchange ideas on a particular issue or topic related to urban planning. The purpose is to inform participants without asking attendees to take a position on the topics under discussion. It often involves presentations, panel discussions, and a question-and-answer period.

#### **Presentations to Community Groups.**

The purpose is to communicate with a specific group of stakeholders. It can take place in neighborhood meetings, business association meetings, homeowners' association meetings, faith-based group meetings, and special interest group meetings, such as women rights, environmental, social justice.

**Newsletter.** Newsletter is to inform the public about the status of projects and agencies. It is a regular publication to update the public on projects, emerging issues, plan implementation, and other urban development related matters in the area. Newsletters can be distributed physically (hard copy) and digitally. It is advised that both forms of newsletters be used to reach out to a wider range of population.

## 7.2 Consultation Tools

**Public meetings/Hearing.** The purpose is to solicit public opinions on various topics on the meeting agenda. During a public hearing, members of the public are invited to speak and share their opinions on the proposed project or plan. It often consists of the public meeting comment sessions, presentations, and opportunities to submit written comments.

**Advisory committees.** The purpose is to provide formal and continuing input on planning issues. Advisory committees are often volunteer based. They meet to discuss a variety of planning issues and make recommendations. An advisory committee can be ongoing or created for a specific project.

**Stakeholder/Steering committee.** The purpose is to provide guidance/leadership on the development of a specific project. The committee often serves as a core decision-making body for a project. Committee members are expected to include representatives from all interest groups and/or those with project-specific expertise. The committee often meets at important milestones of a project, such as setting goals and objectives and reviewing preliminary recommendations.

**Stakeholder interviews.** The purpose is to gain input from key stakeholders. One-on-one conversations with people who have a vested interest in a project and/or have project expertise.

**Focus group meetings.** The purpose is to gain input from key interest groups. It often consists of 5-10 persons representing a certain part of the population. The focus is on getting feedback and/or recommendation on particular topics and proposals.

**Open House.** Open house in urban planning is an in-person meeting that provides opportunities for the community to understand and comment on the purposes, issues, strategies, design, and implementation of a project. It is typically held in a public space, such as a community center, library, or school and is less formal - allowing for more informal interactions between members of the public and planning authority representatives (such as public sector planners, planning consultants, administrative staff, and government officials). During an open house, members of the public can view project plans, maps, and other visual materials related to the proposed project.

**Polls and Surveys.** Polls and surveys are commonly used tools to gather feedback and/or preference from members of the public. Polls are typically brief and straightforward questions that are designed to elicit quick responses from participants. They may be used to gauge public opinion on a particular issue or to obtain a general sense of the community's priorities. Surveys are more in-depth and detailed than polls and may include a wider range of questions about specific issues. Polls and surveys are often conducted online or in-person.

## 7.3 Collaboration Tools

**Working group.** The purpose is to gain formal input and recommendations on a specific area of interest. Working groups are established to allow stakeholders and the public to get involved with the agency in specific areas of interest, such as transportation corridor improvement, regional economic development, and public safety. Working groups often provide guidance in the development of projects, programs, and policies.

**Design workshop/charrette.** The purpose is to identify opportunities, challenges, and solutions for a project. It is an intensive planning session where citizens, planners, engineers, and others collaborate on a vision for development, providing a forum for ideas and offering the advantage of giving immediate feedback to the designers.

**Field Trip / Community Walk.** It is a workshop to visit the site and experience the environment in the groups. It is useful in developing and testing new ideas and building consensus on existing conditions. It can also help create a sense of community by recovering and re-sensitizing the community environment.

**Retreat.** A retreat is a gathering of a group of stakeholders who serve on a committee or board. It is usually held outside of the normal work environment, where they can focus on strategic problem-solving. It provides an opportunity for them as a group to step back from day-to-day activities and focus on the issues for a concentrated period of time.

**Task Force.** A task force is a group of individuals who are brought together to work on a specific issue or project related to urban planning. They are typically composed of experts in various fields, including urban planning, architecture, engineering, environmental science, and community engagement. Task forces usually complete a single major task and then disband.

## 7.4 Empowerment Tools

**Community Organizing.** This involves organizing local residents as a group to identify their collective needs and interests, and work together to advocate for change in their community. This can take forms in community meetings, special interest groups, petitions, organizing rallies, protests, and other forms of public engagement.

**Participatory Budgeting.** This is a process in which community members are involved in the allocation of public funds, allowing them to have a direct say in how resources are used in their community. In general, the process typically involves 1) collecting ideas and brainstorming; 2) developing proposals; 3) voting (online or in-person); and 4) implementation. (World Bank, 2018)

**Community Land Trust.** These are community-based organizations that acquire and manage land, with the goal of providing affordable housing, community gardens, and other community amenities. Some key features of Community Land Trust are perpetual affordability, community control, flexibility to reflect changing needs and priorities, and partnership with local government, non-profits, and private developers.

**Community Development Corporation.** A Community Development Corporation is a non-profit organization to promote community development in low-income neighborhoods. They are typically founded and led by community members they serve, and focus on housing, small business development, job training, and neighborhood revitalization. The corporation is similar to community land trust with a wider scope of purview.

## 7.5 Visualization Tools

**3D modeling.** 3D modeling creates digital models of urban environments such as buildings, streets, and public spaces, using specialized software, such as SketchUp Blender, Autodesk 3D Max, Revit. These models can be used for 1) visualizing proposed development to help stakeholders better understand the potential impacts of these changes and make more informed decisions; and 2) collaborating among various stakeholders to develop and test new ideas.

**Virtual Reality.** Virtual reality (VR) tools can provide a powerful and immersive way for users to experience virtual environments. These tools typically use advanced computer graphics, sensors, and tracking systems to create an immersive and interactive experience that can be viewed through a VR headset or other display device. Popular devices include Oculus Rift, HTC Vive, or PlayStation VR.

**Augmented Reality.** Augmented reality (AR) enables urban planners to simulate and visualize how built environment features such as bridges, buildings, or public spaces, will impact a certain neighborhood. These AR tools can result in highly involving public participation strategies and opportunities for communities to shape and visualize their own ideas in place.

**Animation.** Animation can trigger public interest as well as demonstrate the impact of the proposed development. Popular animation softwares (they are also 3D modeling software at the same time) include Lumion, 3ds Max, Unreal Engine, and SketchUp with plugins. SketchUp can also be used for creating animations with the help of various plugins, such as Lumion LiveSync and Enscape.

**Interactive Maps.** Interactive maps not only present project information with geographic reference, it can also collect public input effectively, especially identifying locations of interest in the study area. Some of the companies providing interactive mapping services are Google Map, Maptionnaire, MetroQuest, Tableau, QGIS and ArcGIS.

## 7.6 Digital Tools

**Photos/videos Documentation.** The process of capturing and recording visual data to document the existing conditions of a site or area, as well as the progress and changes that occur throughout the planning and development process.

**Website.** Well-designed website can be an effective tool to engage the public. The website should be easy to navigate and understand. It should also be optimized for mobile devices, as many people use their smartphones to access the internet. It should provide clear and concise information about the planning process.

**Online Forum.** Online forum is a virtual platform that allows members of the public, stakeholders, and planning professionals to engage in discussions and share information related to urban planning issues. Online forums provide an opportunity for individuals who may not be able to attend in-person events to participate in the planning process. Online forums can take various forms, including discussion boards, social media groups, and web-based platforms specifically designed for urban planning.

**Virtual Open House.** It is similar to a traditional open house, but is hosted online. Virtual open

houses typically provide project information, including maps, renderings, and text descriptions, as well as opportunities for the public to ask questions, provide feedback, and participate in surveys. They may also include videos, interactive features, and other multimedia elements to provide a more engaging experience for participants.

**Social Media.** The purpose is to informally engage the public, especially those who are active on social media. Regularly sharing planning-related content via social media such as Facebook, Twitter, YouTube, and the agency website. Materials such as flyers, fact sheets, posters, and explanatory videos are shared on social media and email lists.

## 7.7 Analysis & Prioritization Tool

**Mapping / GIS Analysis.** Geographic Information System (GIS) provides useful tools to evaluate communication conditions. Its scope includes community assets, opportunities, problems, demographic composition, infrastructure deficiency, equity analysis (evaluation of investment, benefits access, and the distribution of negative impacts), demand analysis, and connectivity analysis.

**Weighted Multi Criteria Ranking.** Weighted multi criteria ranking is usually used to evaluate the relevance of different projects to identified objectives and to prioritize the projects. It assigns numeric values to each criterion and to the perceived linkage between the project and the criteria. The ranking is based on the compiled value by multiplying the two values for each project. Criteria usually include stated objectives, public preference, cost-effectiveness, and feasibility.

**Scenario Planning.** Scenario planning is to plan for the future by exploring multiple possibilities of what might happen and by identifying how the community can be responsive, resilient, and effective, as the future becomes reality. It includes assessing existing conditions, forecasts, and the impact of influential factors, as well as evaluating a preferred scenario or multiple scenarios.

**Budgeting Allocation Exercises.** Similarly to participatory budgeting, Budgeting Allocation allows the public to understand the amount of investment that a project will take and prioritize how much should be invested in each sub-project. It is an effective way to educate communities about trade-offs involved in projects, comparison of costs of different project alterations, and prioritization of alternatives based on the available budget.

**SWOT Diagram.** SWOT stands for Strengths, Weaknesses, Opportunities, and Threats. SWOT Diagram assesses a community's current situation and provides a basic guide for strategic planning. The SWOT process often considers population composition, natural environment, local industry and business activities, community organizations, open/green space, public service, public infrastructures, cultural heritage, and other community assets.

## 7.8 Toolkit Reference Sheet

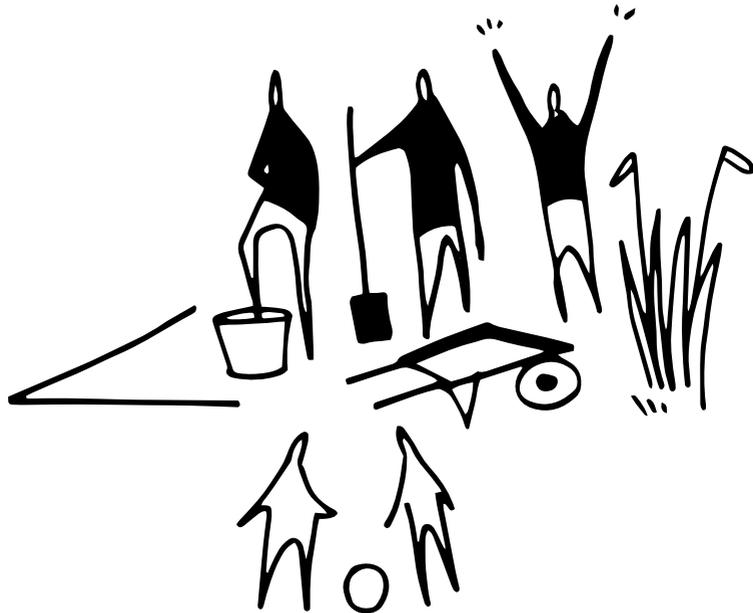
This section presents a reference sheet of participation tools discussed earlier. The reference sheet is particularly geared towards individuals without a lot of planning experience. The following are 12 features for reference. The reference can be used as a general guidance in selecting and applying engagement tools. It may be necessary to adjust or modify to suit a particular situation.

1. Suitable for regular or continuous use.
2. Suitable for developing a particular project or plan.
3. Collect data, including physical data and public/expert opinions.
4. Present data, findings, or proposals.
5. Identify alternatives, strategies, or solutions.
6. Compare or evaluate alternatives and strategies.
7. Usually, a middle to large size in-person event or be used during such an event.
8. Usually combined with maps, printouts, and other materials and tools.
9. Can be used before, during, or after an event of various sizes.
10. Particularly require social skills, including relation-building, communication, negotiation, public speaking, active listening, and conflict resolutions.
11. Particularly require technical skills, including softwares and technology tools.
12. Particularly require extensive social resources especially human capital - knowledge, skills, and abilities possessed by individuals.



| TOOLS                            | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
|----------------------------------|---|---|---|---|---|---|---|---|---|----|----|----|
| <b>INFORMATION DISSEMINATION</b> |   |   |   |   |   |   |   |   |   |    |    |    |
| News Releases                    | x | x |   |   |   |   |   |   | x |    |    |    |
| Paid Advertisements              | x | x |   |   |   |   |   |   | x |    |    |    |
| Mass Mailing                     |   | x | x |   |   |   |   |   | x |    |    |    |
| Media Interviews + Updates       | x | x |   | x |   |   |   | x | x | x  |    |    |
| Pop-up Exhibitions               | x | x | x | x | x | x | x | x | x | x  |    |    |
| Briefings                        | x | x | x | x |   |   |   | x | x | x  |    |    |
| Symposia                         |   | x | x | x | x | x | x | x |   | x  |    | x  |
| Presentations to Interest Groups | x | x | x | x | x | x | x | x | x | x  |    |    |
| Newsletter                       | x | x |   | x |   |   |   |   | x |    |    |    |
| <b>CONSULTATION TOOLS</b>        |   |   |   |   |   |   |   |   |   |    |    |    |
| Public meetings/Hearing          | x | x | x | x | x | x | x | x |   | x  |    |    |
| Advisory committees              | x | x | x | x | x | x |   | x |   | x  |    | x  |
| Stakeholder/Steering committee   |   | x | x | x | x | x |   | x |   | x  |    | x  |
| Stakeholder interviews           |   | x | x | x | x | x | x | x | x | x  |    |    |
| Focus group meetings             |   | x | x | x | x | x |   | x |   | x  |    |    |
| Open House                       |   | x | x | x | x | x | x | x |   | x  |    |    |
| Polls and Surveys                | x | x | x | x |   | x | x | x | x |    |    |    |
| <b>COLLABORATION TOOLS</b>       |   |   |   |   |   |   |   |   |   |    |    |    |
| Working group                    | x |   | x | x | x | x |   | x |   | x  |    | x  |
| Design workshop/charrette        |   | x | x | x | x | x | x | x | x | x  | x  |    |
| Field Trip / Community Walk      | x | x | x |   | x | x | x | x | x | x  |    |    |
| Retreat                          | x | x |   |   | x | x |   | x |   | x  |    | x  |
| Task Force                       | x | x | x | x | x | x |   | x |   | x  |    | x  |
| <b>EMPOWERMENT TOOLS</b>         |   |   |   |   |   |   |   |   |   |    |    |    |
| Community Organizing             | x |   | x | x | x | x |   |   |   | x  |    | x  |
| Participatory Budgeting          | x | x | x | x |   | x | x | x | x | x  | x  |    |
| Community Land Trust             | x |   | x | x | x | x |   |   |   | x  |    | x  |
| Community Development Corp       | x |   | x | x | x | x |   |   |   | x  |    | x  |

|  |   |   |   |   |   |   |   |   |   |   |   |   |
|--|---|---|---|---|---|---|---|---|---|---|---|---|
| <b>VISUALIZATION TOOLS</b>                 |   |   |   |   |   |   |   |   |   |   |   |   |
| 3D modeling                                |   | x |   | x | x | x | x | x | x | x |   | x |
| Virtual Reality                            |   | x | x | x | x | x | x | x | x | x |   | x |
| Augmented Reality                          |   | x |   | x | x | x | x | x | x | x |   | x |
| Animation                                  |   | x |   | x |   | x | x | x | x | x |   | x |
| Interactive Maps                           | x | x | x | x | x | x | x | x | x | x |   | x |
| <b>DIGITAL TOOLS</b>                       |   |   |   |   |   |   |   |   |   |   |   |   |
| Photos/videos Documentation                | x | x | x | x | x |   |   | x | x | x |   |   |
| Website                                    | x | x | x | x |   |   |   |   | x |   |   |   |
| Online Forum                               | x | x | x | x | x | x |   |   | x |   | x | x |
| Virtual Open House                         |   | x | x | x | x | x | x | x | x |   | x | x |
| Social Media                               | x | x | x | x | x | x |   |   | x |   | x |   |
| <b>ANALYSIS &amp; PRIORITIZATION TOOLS</b> |   |   |   |   |   |   |   |   |   |   |   |   |
| Mapping / GIS Analysis                     | x | x | x | x | x | x | x | x | x | x |   | x |
| Weighted Multi Criteria Ranking            |   | x |   | x |   | x | x | x | x | x |   | x |
| Scenario Planning                          |   | x | x | x | x | x | x | x | x | x | x | x |
| Budgeting Allocation Exercises             |   | x | x | x |   | x | x | x | x | x |   |   |
| SWOT Diagram                               | x | x | x |   | x | x | x | x | x | x |   | x |



## 8. Engagement Strategies

This section presents effective strategies in public involvement practice. Those strategies were originally identified in the Planifiquemos, an APA International Division project to develop community involvement resources to engage Latinx communities in the United States and Latin American countries. The content was modified to fit the context of this document.

### 8.1 Attract More People

In the U.S. the public participation rate in urban planning is low. Among those attending public meetings, it is often the dedicated citizen advocates who show up. It is challenging to expand the participation base. The following is a summary of strategies to address this issue.

#### People are more likely to participate when:

- They have a good understanding of why the topics and questions at stake are relevant to them and their community. The planners' responsibility is to state why the topic is impactful for them, their families, their community, and/or their values.
- They know that their voices will matter, and it will be clearly reflected in the final outcome.
- The leadership opportunities truly share power with residents.
- They trust the jurisdiction, the officials, the planners, or the planning process.
- There are various options and channels simultaneously available to submit feedback throughout the entire planning process.

- There are incentives and proper compensation for the community's time and expertise in the form of a stipend, gift card, material goods, services, or shared resources that are commensurate with the community's effort and participation.
- Meetings are hosted at various times of the day and on different days throughout the week.
- Meetings are hosted at accessible locations, taking into consideration mobility issues, language access, and other factors.
- They can access the meeting location via different modes of transportation or via zoom.
- It is a welcoming environment (e.g. music and food are available for attendees; meetings are child-friendly providing necessary child-care services; people with disabilities are aware of accommodations available to their needs at the meeting; people feel safe at the proposed meeting location).

#### Planners are more likely to engage more community members when:

- They build a relationship with community leaders, activists, and organizers - seeking help from them. Identify the community leaders, build and earn their trust, and ask for their permission, collaboration, and suggestions to engage community members.
- They collaborate with neighborhood-based organizations in outreach. They show empathy and understanding for the reasons why some people may never trust planners or the government.

- They try to meet people where they are, such as grocery stores, laundromat, park, church, community center, school, and street. Many of the places are accessible by people with disabilities.
- They use various channels to reach out, including calls, text messages, social media, traditional media, yard signs, flyers, radio, and mailers.
- They share knowledge and resources. Provide opportunities for community members to learn about urban planning, including its principles, strategy, and process.

## 8.2 Build Trust

Trust has to be earned and granted. Planners doing the following have a greater chance to succeed in establishing and maintaining healthy relations with the community.

- Planners should introduce themselves well. Provide background on what you are doing and why you are doing it. Explain why it is important for everyone to be part of the process. Introduce the core functions and principles of planning, when appropriate.
- Take time to talk to people and to get to know people in the neighborhood: their experience, their values, their priorities, their hardships, their joy, their hopes, and their vision.
- Stay present with the community. Do follow-ups and follow through. Always circle back with the information and provide updates. Continuously share impor-

tant information and resources even if they do not relate to the planning project. As much as seeking help from the community during the planning process, planners should also be helpful and of service to them.

- Involve the community early in the process or even before the process begins.
- Acknowledge past planning mistakes, no matter who did them. Also, acknowledge the limitations of planning, including its potential ineffectiveness, especially in the short run.
- Recognize the hard work, cultures, and accomplishments in the community (if there are local positive role models, mention them; also mention positive programs or actions taken by the community or their contributions to the local economy, any historic events, etc.). Building and recognizing community pride is key to earning trust.
- Find allies in the community who can introduce the planners to their groups. Be clear about the purpose of any request. Use phrases like “I need your input because...”.
- Learn from the communities and share planning knowledge with the communities.
- Be transparent during the whole process, explaining in details the milestones of the project, potential delays, constraints, and failures.
- Do not give up on the communities being helped and do not take their mistrust personally. Instead, try to understand the root of their emotions.

## 8.3 Things to Avoid

Intentionally or unintentionally, planners make mistakes in reaching out to communities. Most of the time, the consequence is not immediately known. Examples include:

- Coming to a process with predetermined agendas, even if they are considered “best practices somewhere else” or prescribed terms and solutions. Planners assume that they know better than local residents.
- Relying solely on secondary data to understand a community and failing to see a community from its diverse residents’ perspective. Community perceptions of what is needed are not taken into account. Secondary data includes census data on income, housing, poverty level, education, etc.
- Not recognizing the discriminatory policies and practices that have been harmful to the community. Oftentimes these decisions and practices continue to perpetuate the harm happening in communities.
- Giving up on innovation in public engagement - simply checking the box in the planning process without improving upon past experience, repeating the same while expecting better results.
- Not following through or not going back to the community. Reach out only when something is needed from the neighborhood (extracting knowledge practices, performative activities) and not report back on plan implementation.
- Doing excessive activities during public meetings - not letting people express themselves without instructions.

- Not being clear about roles and responsibilities. Several times, planning processes includes several agencies and planners. This can be confusing, and communities may not know who is responsible for what, or who to contact regarding the project.



## 9. Theory Notes

### 9.1 Citizen Participation Ladder

In 1971, Arnstein published “A Ladder of Citizen’s Participation” in the Journal of the American Institute of Planners. While limited by its historic context, the theory has been considered as a classic in constructing a framework for assessing the level of citizen participation in various decision-making processes. The following is a summary of the article.

Citizen participation is for citizen power - redistributing power and enabling ordinary citizens to be deliberately included in the process of shaping the future. Arnstein noted that “participation without redistribution of power is an empty and frustrating process for the powerless. It allows the power holders to claim that all sides were considered but makes it possible for only some of those sides to benefit...there is a critical difference between going through the empty ritual of participation and having the real power needed to affect the outcome of the process.”

The major roadblocks to genuine public participation include racism, paternalism, resistance to power redistribution, differences in political/socioeconomic status, and inadequate knowledge and organizational capacity.

The following are 8 rungs/levels of participation. As noted by Arnstein, there might be 150 rungs with less sharp and “pure” distinctions among them.

(1) Manipulation and (2) Therapy. Under the guise of public participation, the real objective is not to “educate” the participants and engineer their support.

(3) Informing. The officials inform citizens of their rights, responsibilities, and options

in a usually one-way flow of information, with no feedback channel and no power for negotiation. Participants have little influence on the decisions. The most frequent methods include pamphlets, posts, and advertisements.

(4) Consultation. Inviting citizens’ opinions, but usually with no assurance that citizen concerns will be taken into account. The most frequent methods include attitude surveys, neighborhood meetings, and public hearings.

(5) Placation. Citizens have some degree of influence by having someone picked by the officers on the decision-making body. Those selected persons may be easily outpowered by the traditional power elites with the majority of votes.

(6) Partnership. Power is redistributed through negotiation between citizens and powerholders. The planning is not subject to unilateral decisions. The partnership works best when there is an organization in the community with salaried and accountable leaders and staff. On this level, citizens have some genuine influence over the outcome of the plan.

(7) Delegated Power. Negotiations between citizens and public officials result in citizens achieving dominant decision-making authority over a particular plan or program. It can also be entailed in a form that grants citizen groups veto power.

(8) Citizen Control. The distribution of power ensures that participants can govern the planning process and outcome. An outsider may change the course of policy direction. An adequately funded neighborhood corporation is considered ideal to play such a role.

## 9.2 Participation Typology

Pretty's Participation Typology is a framework used to categorize different types of participation in natural resource management. The typology was developed by Jules Pretty in his 1995 book "Regenerating Agriculture."

The typology was based on earlier work within the International Institute for Environment and Development and by Andrea Cornwall at the Institute of Development Studies which, in turn, draws on Arnstein's Ladder of Participation (1971).

Six levels of Pretty's Participation Typology are: 1. Non-participation; 2. Tokenism; 3 Consultation; 4. Placation; 5. Partnership; 6. Self-mobilization. The theory also identified the following type of relationship between local residents and "outsiders" - international planning agencies or consultants.

- Compliance: tasks are assigned to the community with incentives: outsiders decide the agenda and direct process.
- Consultation: local opinions are sought. Outsiders analyze and decide the course of action.
- Cooperation: local people work with outsiders to determine priorities; outsiders are responsible to direct the process.
- Co-learning: local people and outsiders share knowledge, create new understanding and work together to form action plans (outsiders facilitate).
- Collective action: local people set their own agenda and mobilize to carry out in the absence of outside initiators

## 9.3 The Uses and Abuses of Participation

Sarah White's published "The Uses and Abuses of Participation" in the journal Planning Theory and Practice in 1996. The article provides a critical analysis of the concept of participation and its role in planning and policy making processes.

The article pointed out that participation can serve many different interests: the interest of the government, of developers, of NGOs, and of communities, It is important to clearly distinguish the interests. Regarding interest, there are a few cautions:

1. Participation is not always in the interest of the disadvantaged. It depends on how the process is carried out. Participation can serve the goal of solidifying and entrenching power.
2. Sharing the process through participation does not always mean sharing power. Incorporation, rather than exclusion, can be a means of control.
3. There are two general dimensions of participation: who participates and the level of participation. However, focusing on these two dimensions is not enough - simply being in the room does not mean having a real way. Even if it does, there is no guarantee that people will speak for the interest of the group that he/she represents. Besides assessing the process, we should assess the content.
4. People who do not express their opinions/ interests do not mean they do not have them. It could reflect their low expectation of any change due to a general sense of powerlessness or earlier disappointments - they have no confidence that they can be achieved.

There are four types of participation.

They can be viewed from the perspective of the "top-down" - those who design and implement development and from the perspective of the "bottom-up" - the participants.

- Nominal participation. The interest of the top-down is legitimation, and the interest of the participants is to keep their names on the documents. The process is mainly a display.
- Instrumental participation. The interest of the top-down is to efficiently utilize the local power to benefit the project in terms of gaining community support and committing people to implementation. People believe that their interests will not be represented unless they are involved. For them, the planning process is a cost - they need to spend time which could otherwise be spent on paid employment, household work, or leisure.
- Representative participation. The interest of the top-down is to ensure the sustainability of the project and its implementation. Participants leverage the process to impose their influence on the project.
- Transformative participation. The process itself is empowerment. Empowerment is both the means and the end. Empowerment must involve actions from below. Supportive outsiders can facilitate it, but they cannot bring it about.

## 9.4 Machizukuri in Japan

Machizukuri (Sato, 2020) is a Japanese term that translates to "town building" or "community building." It refers to a bottom-up approach to urban planning and community development, in which local residents take an active role in shaping the future of their neighborhoods.

Machi (まち) means a town, including intangible aspects of the human and cultural environment. It takes social context into account, like tradition, education, industrial structure, agriculture, and other cultural elements. Zukuri (づくり) means cultivating things with full effort, heart, and soul in a lengthy process. It does not mean creating new things but enhancing them without losing their original essence.

Machizukuri is a series of persistent community-based activities to improve the life quality of a town. It creates a unified vision for a region and identifies steps to implement it. Besides improving the built environment, it also attempts to solve various problems, such as welfare, education, the regional economy, and environmental problems. One of its goals is to allow all the residents, including tenants, to continue living in the community.

Machizukuri has three dimensions: 1) design the project (physical environment) 2) design the implementation steps and rules, and 3) design the ways to help the participating residents express themselves.

In general, Machizukuri consists of four steps:

Step 1: Residents walk around and observe their community, and they talk with each other to improve mutual understanding.

Step 2: Develop a shared vision. Residents discuss what is possible, what changes are desirable, and what kind of town can be developed through the process. This step often includes round-table discussions where participants share ideas and discover problems and possibilities. Tools used in the discussion include:

- Writing down findings on cards, pasting them on a table and/or a wall, and finding the connection among ideas.
- Marking community assets, problems, opportunities, and other thoughts on maps (digital and/or physical).
- Using exchangeable parts on a physical/digital model of the area to simulate the future image of the town. The simulation includes both the physical environment and lifestyles such as business and the activities of local people.
- Using “chance cards” representing potential events, such as fires and large housing/infrastructure development, to interact with established models.

Step 3: Experts assess the ideas developed by residents. They examine the models, create alternative proposals, and exchange their points of view with residents.

Step 4: Identify and define the actions, including the role of the agency and groups responsible for implementation.



## 10. Accessibility

### 10.1 Language

Language is a critical component in public outreach for urban planning. The handbook advocates the following two principles regarding language accessibility in the planning process in Ukraine.

- All material used in the planning process must be available in Ukrainian, the official language of Ukraine. The planning process shall ensure that the role of the Ukrainian language as the common language of Ukraine is preserved and enhanced.
- Language could be a barrier preventing people from fully participating in the planning process. To overcome the barrier, planning agencies should offer language access assistance to community members with limited Ukrainian proficiency.

Language access assistance falls into two categories: 1) translation of written documents and 2) interpreting services. Ways to efficiently provide language access include:

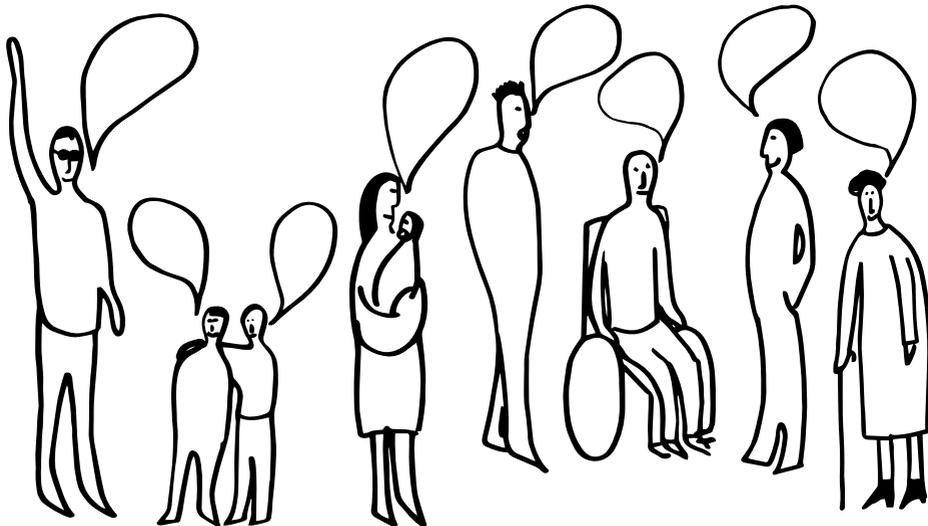
- Take advantage of technological advances, such as web-based/mobile translation applications and telephonic and video conferencing interpretation services.
- Share language assistance materials and services with other agencies and groups or centralize interpreter and translator services.
- Hire and/or train bilingual staff to act as interpreters and translators.
- Use qualified community volunteers.

Not all documents are equally important to be translated. To decide the priority document that is necessarily critical for ensuring meaningful access. The following are three elements to consider when deciding on document translation priority.

- Whether the document creates legally enforceable rights or responsibilities.
- Whether the document itself is a core benefit provided by the planning process, such as project scopes and investment priorities.
- Whether the document improves participants' understanding of the impact of the project on their lives and communities.

Other tips for providing language access include:

- Be aware of existing language access services and resources.
- Appoint a coordinator to monitor and improve the planning process regarding the needs of community members with limited Ukrainian proficiency.
- Establishing feedback processes through which the public can report the absence of language access.
- Advertise the language access service. People can use a service only when they are aware of its existence.



## 10.2 Public Event

To ensure that public participation events are accessible to a wide range of individuals and profile groups in advance (women preferences, children and youth preferences etc.) It is important to choose a location that has a range of accessibility features. Here are some key features to consider: 1) Logistics and locations; 2) Place, time and day of meetings are convenient for targeted groups; and 3) The various types of venues.

**Physical Accessibility.** The location/structure should be accessible to individuals with mobility impairments, such as wheelchair users and people with limited mobility. Accessibility features include ramps or lifts, level floors, and accessible restrooms. Physical accessibility can also mean accessibility of participation materials (Braille or alternative text description for the blind, transcription and/or closed captioning for deaf and neurodivergent participants).

**Transportation Accessibility.** The locations are accessible by different modes of transportation, including public transit, bicycle, and walking. Ideally, the location is close to where people live and work and require minimal time for transportation.

**Cultural Accessibility.** The location should be culturally accessible to individuals from diverse cultural backgrounds, including individuals from different ethnic, racial, and religious groups. The location should be secure. More importantly, it should make people feel safe, relaxed, and respected, especially for the disadvantaged population, such as the minority, internally displaced people, and the immigrants.

**Flexible Scheduling.** The data and time of the events accommodates all groups.

If needed, the same events should be held at different times. Offer flexible scheduling options, such as online participation or extended submission deadlines, to accommodate individuals with diverse time management needs.

## 10.3 Neurodiversity

Neurological differences, such as attention deficit hyperactivity disorder (ADHD), PTSD, autism, dyslexia, color blindness, dementia, and other conditions, are part of brain variation and should be accommodated rather than pathologized. Neurodiversity accessibility refers to creating environments, processes, and products that accommodate those neurological differences. This also means that the location/process is accessible to individuals with mental health or emotional needs, including individuals who experience anxiety, depression, or sensory overload. This includes ensuring that the location is comfortable, calming, and welcoming, and that information is presented in an easy-to-understand format.

**Sensory-Friendly Environment.** Sensory-friendly environment means appropriate lighting, color schemes, acoustics, and other senses. Excessive lighting and sound may be overwhelming to individuals with sensory sensitivities. Specifically, it means:

- Avoiding harsh fluorescent or strobing lighting.
- Providing a quiet space in a constantly noisy environment.
- Minimize sudden/ unexpected squeaking

noises and give advance warning and verbal reminders of loud noises.

- Avoiding light flicker.
- Avoid bright colors.
- Ensure the facility is fragrance-free and free of any strong smells.

**Accessible Communication.** Use plain language. Content should be written as clearly and simply as possible. Providing supplemental content or a version at lower reading level when the text requires more advanced reading ability.

Present information in multiple formats, such as maps, graphics, tables, and diagrams to accommodate people with diverse learning styles. The text in print should use a large font size and have a high contrast ratio with its background color. Other accessibility features include providing written feedback in digital and hard copy, providing closed captions for all videos, and having images that supplement text.

## 10.4 Website

Websites play an important part in communication in the urban planning process. Modern technologies enable websites to perform multiple tasks using dynamic functions such as online forum, cloud sourcing, mapping, stakeholder management, survey, social media integration, and online database filtering.

In the web development world, web accessibility means that people with disabilities can use the website. It is important because:

- It is part of an inclusive planning process and helps people with disabilities.
- It overlaps with other best practices such as mobile Web design, usability, and search engine optimization (SEO).
- It is required by laws in some cases.

This handbook recommends the following two sources for website accessibility information:

- W3C Comprehensive Web Accessibility Resources  
[www.w3.org/WAI/resources](http://www.w3.org/WAI/resources)
- 18fAccessibility Guide  
<https://accessibility.18f.gov/>

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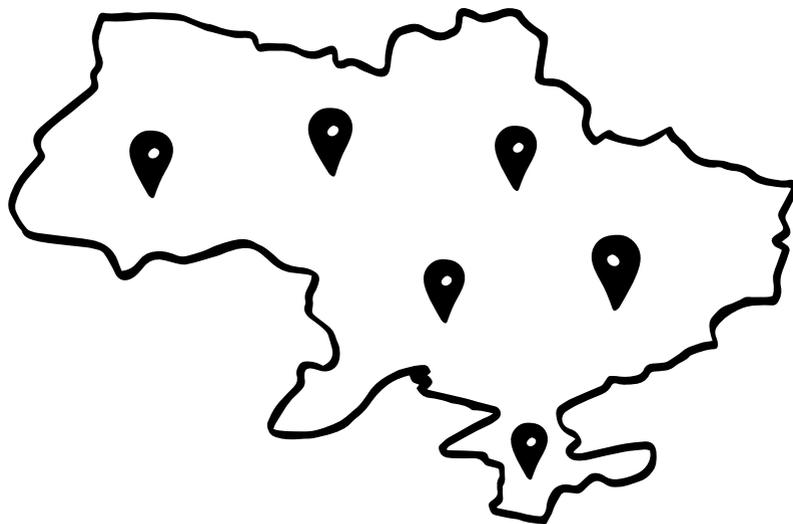
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## 12. Law and Regulation

There are several main documents, which define legislative framework for use of land and spatial planning in Ukraine:

- [The Constitution of Ukraine](#) is the Fundamental Law of Ukraine, which sets basic rights and freedoms, the people's property rights; declares that property right for the land shall be guaranteed, that everyone shall have the right to housing and an environment that is safe for life and health. The Constitution of Ukraine also defines the administrative and territorial structures of Ukraine, sets the principles of local self-government and rights of territorial communities.
- [The law On Local Self-Government](#) in Ukraine defines the system and guarantees of local self-government, the principles of organization and activity, legal status and responsibility of local self-government bodies and officials.
- [The Land Code](#) of Ukraine declares land as a national wealth; guarantees the ownership of land, regulates public relations concerning the possession, use, and disposal of land; defines that the lands for residential and public buildings shall be used under the general plan of the settlement, other urban planning documentation, and the land management plan in compliance with the construction standards. It also sets the rules for land management, online land auctions, and keeping the state land cadaster.
- The law [On Land Management](#) details the principles of land management, as a set of socio-economic and environmental measures aimed at regulating land relations and rational organization of the territory. It also defines the types of land management documentation on national, regional, and local levels and regulates the content and adaptation procedure for land management documentation. The law also establishes that certain types of urban planning documentation are at the same time land management documentation: complex plans for spatial development of the territorial community, general schemes of localities, and detailed territory plans.
- The law on [the Principles of State Regional Policy](#) defines the basic legal, economic, social, environmental, humanitarian and organizational principles of the state regional policy as an integral part of Ukraine's domestic policy and establishes the specifics of restoring regions and territories affected by armed aggression against Ukraine.
- The law [On Regulation of City Planning Activity](#) establishes the legal and organizational principles of city planning activity and is aimed at ensuring sustainable development of territories with due consideration of state, community and private interests. It defines types, contents, and adaptation procedures of spatial planning documentation on national, regional, and local levels.
- The Law [On the fundamentals of urban development](#) establishes the law defines the legal, economic, social and organizational principles of urban development in Ukraine
- The Law [On architectural activity](#) defines the legal and organizational principles of architectural activity and is aimed at creating a favorable living environment, achieving aesthetic expressiveness,

economic feasibility and reliability of buildings, structures and their complexes.

- The law [On the improvement of settlements](#) defines the legal, economic, environmental, social and organizational principles of settlement improvement.
- The law [On Strategic Environmental Assessment](#) governs relations in the field of impact assessment for the environment, as well as for public health. Among other, it applies to state planning documents relating to city planning or land management. It prescribes holding a public discussion and consultations and considering their results as part of strategic environmental assessment and specifies rules for that procedure.
- The law [On State Land Cadastre](#) sets the rules for keeping the State Land Cadaster, the unified state geographic information system about lands located within the state border of Ukraine, their purpose, use restrictions, characteristics of lands, their evaluation, owners and users etc.

Also, there are laws and regulations concerning some particular issues of land use and spatial planning:

- [The Water Code of Ukraine](#) imposes different restrictions on land use and building near water bodies in the form of water protection zones.
- [The Forest Code of Ukraine](#) imposes different restrictions on land use and building in the forest areas for purpose of protection and conservation of forests.

- [The Tax Code of Ukraine](#) defines rules for land and real estate taxation and sets minimal property tax rates. Exact rates for property taxes are set by local councils.
- The law [On the Protection of Cultural Heritage](#) regulates relations in the field of cultural heritage protection for the purpose of its preservation, use of cultural heritage objects in public life, protection of the traditional environment in the interests of current and future generations. It also sets restrictions on the use of areas of historical, cultural and archaeological significance.
- [The law On Comprehensive Reconstruction of Old Residential Neighborhoods](#) (Micro districts) defines a legal procedure for comprehensive reconstruction of old residential neighborhoods, including rules for creation and approval of reconstruction projects.

[List of regulatory legal acts in the field of urban development](#)

**12.1 Levels of spatial documentation in Ukraine**

There are three levels of spatial planning documentation in Ukraine:

- National
- Regional
- Local

The lower level should not contradict the higher level and take it into account.

There are also planning documents that not considered spatial planning documentation but can influence overall strategy of spatial development:

- Restoration programs for region or territorial community.
- Cross-field visionary plans for territorial community, such as integrated development concepts or strategies.
- Field-specific programs, such as environmental protection or sustainable mobility plans.

**National level of spatial planning documentation:**

- National spatial plan (the General scheme of the territory of Ukraine) – the whole country scale (was developed by State-owned institute “DIPROMISTO” in 2000. Forecast period – 2001-2010, 2011-2020. Still in use, because a newer version hasn’t been developed yet).
- Sub-national spatial plans (scheme for planning certain parts of the territory of Ukraine) - Several regions, the coasts of the Black Sea and the Sea of Azov, the mountainous areas of the Carpathians and the areas contaminated by radioactive contamination as a result of the Chernobyl catastrophe, and other areas with a high technological load or risk of emergency.

**Regional level of spatial planning documentation:**

- Scheme for planning territory of The Autonomous Republic of Crimea - The Autonomous Republic of Crimea (currently illegally annexed by Russia).

- Schemes for planning territory of the regions - The territory of one of the 24 regions (oblast).
- Schemes for planning territory of the districts - Subregional division – 136 regional districts (rayon).

**Local level of spatial planning documentation:**

- A concept of integrated spatial development of the territorial community is a cross-field strategic plan that defines long-term spatial, social and economic priorities for development of the local community. It is a base for development of spatial planning documentation on the local level, such as complex plan for spatial development, general scheme of locality, zoning or detailed territory plan.
- A complex plan for spatial development of the territorial community is, at the same time, land management documentation and spatial planning documentation. It is developed on the basis of a concept of integrated spatial development. The complex plan specifies the spatial organization and functional purpose of a territory. It covers main principles and goals of development in different fields, including public services, infrastructure, transportation, public spaces, civil defense, cultural heritage and environment protection. The complex plan also includes general schemes of all localities of the territorial community and contains a timeline for territory development. By April 2023, none of territorial communities in Ukraine have a complex plan for spatial development approved.

- A general scheme of locality is, at the same time, land management documentation and spatial planning documentation and intended for substantiating the long-term planning and development strategy of the appropriate locality. It covers only the territory of the locality and specifies its functional purpose. The general scheme defines the balance between housing, public and industrial zones, road network and green areas.

- Historical architectural reference plan is a science-based development documentation that is part of a general scheme of locality. It defines boundaries and protection modes for areas of historical heritage.

- Territory zoning plans: A zoning plan of the locality shall be developed as part of the complex plan for spatial development or the general scheme of this locality. It defines the building parameters for different functional zones.

- Detailed territory plans: A detailed territory plan of locality or within a locality shall specify the provisions of the general scheme of the locality and define the planning organization and development of part of the territory. For localities with a population below 50 000 citizens, general schemes may be combined with detailed plans for the entire territory of such localities.

### Restoration programs

In 2022, as a result of the unprovoked Russian war against Ukraine, programs of comprehensive restoration of the region and the territory of the territorial community (or its part) were introduced in the legal framework. These

programs are not considered city planning documentation. They define the main spatial, urban planning, and socio-economic priorities of the recovery policy. Restoration programs also include measures to ensure the recovery of the territory of the region or territorial community (its part) that suffered as a result of armed aggression against Ukraine.

### 12.2 Legislative framework for public participation in urban planning

The main document, which establishes the legal and organizational principles for public participation in urban planning in Ukraine, is the law [“On Regulation of City Planning Activity”](#) implemented in 2011 and updated regularly in recent years.

It requires that the draft of local-level city planning documentation (general schemes for localities, territory zoning plans and detailed territory plans) shall be subject to public discussion. The approval at the local level of city planning documents shall be prohibited without a public discussion.

According to this law, local authorities shall ensure:

1. The promulgation of decisions taken on the development of city planning documentation at the local level, with expected legal, economic and environmental consequences, including those for public health.
2. The promulgation of draft city planning documentation at the local level, the explanatory note, the “Environmental Protection” section or the report on strategic environmental assessment on their official web-

sites, as well as free access to such information by the public.

3. Registration, review and taking into account public proposals for draft city planning documentation at the local level.
4. Public hearings on drafts of city planning documentation at the local level.
5. Agreement of disputable matters between the public and customers of city planning documentation at the local level through a conciliation commission.
6. The promulgation of the results of public proposals review concerning draft city planning documentation at the local level.

The law “On Regulation of City Planning Activity” also specifies the main requirements and timeline for the public hearings process, as well as mechanisms for dealing with disputable issues arising in the course of public discussion.

### Legal procedure for holding public hearings

The procedure for holding public hearings on drafts of city planning documentation at the local level is determined by the Government of Ukraine ([decree of Cabinet of Ministers of Ukraine No. 555 of 25.05.2011](#)).

The procedure for holding public discussion in the process of development of a Program of comprehensive restoration of the region and a Program of comprehensive restoration of the territory of the territorial community is defined by [the decree of Cabinet of Ministers of Ukraine No. 1159 of 14.10.2022](#).

### 12.3 Planning documentation as public or classified information

In Ukraine, until 2012, spatial documentation of city-level and higher levels was classified and not accessible to the public.

Only local authorities and planning agencies with special security clearance and trained personnel were allowed to access classified spatial information.

In 2011, the Parliament of Ukraine passed the law [“On Access to Public Information”](#). Since then, local government is required to insure the general accessibility of the local planning documentation by making it available upon the request for information and by publishing it on the website of the local government, including in the form of open data, on a single state web portal of open data, in local periodical print media, in a public accessible place on the premises of a local government.

If local planning documentation contains classified information, that information should be contained in a separate volume, but all other parts of planning documents should remain public.

In February 2022, after the full-scale invasion of the Russian Federation of Ukraine, public access to city-planning documents were restricted again due to national security reasons.

## 13. Status of Community Participation

The Council of Europe defines 4 levels of civil participation, which reflect different levels of citizen involvement in public life:

1. Information – The public takes part in the decision-making process through its awareness about the public authorities' activity. In other words, the public authority only informs the citizens about its plans and actions. This is the lowest level of participation.
2. Consultation – The civil participation is ensured by holding consultations with interest groups or their representatives.
3. Dialogue – The participation is a two-way communication with a regular exchange of information, when both parties can initiate a discussion, provide proposals, and have their proposals taken into account.
4. Partnership – The participation through performing certain tasks, co-financing, joint ownership, and shared responsibility. This is the highest level of participation.

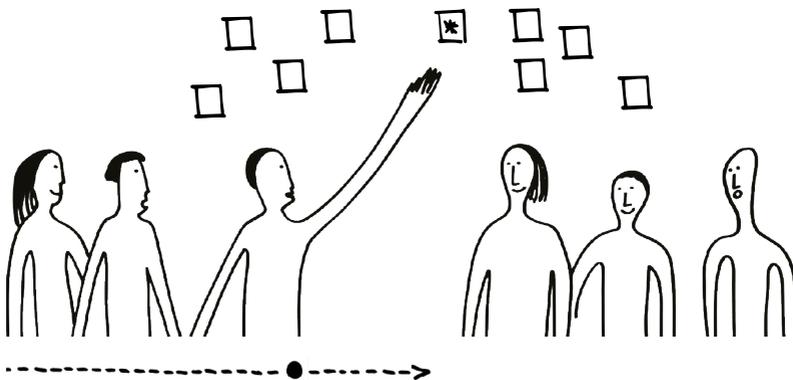
Now, public participation in urban planning in Ukraine do not exceed level 1 or 2. In fact, the public authorities only inform the citizens about their plans and actions. The participation process could be used for the sole purpose of legitimizing decisions. The public has nominal opportunity to take part (in the form of consultations) but its input can be used selectively or just ignored.

Executive bodies can control who should be consulted with or invited to dialogue during the development of urban planning documentation, and who can be ignored.

It is true not for all projects and not for all cases, but most of the time the wide diversity of channels to interact with the public is not provided. Very often there's a lack of publicly available information about a start or an essence of a certain project, but also about the development process itself, including the algorithm of taking into account and documenting the public opinion, the decision-making process, and the means to change or appeal decisions that have been made.

The general rules for development, organization of public hearings, and approval of city planning documentation on a regional and local level, as defined by the Ukraine's law "On Regulation of City Planning Activity", are:

- Information that development of urban planning documentation has started shall be published on the official website of the public authority.
- Stakeholders shall be involved in the development process by taking part in a workgroup: it is mostly representatives of village, settlement, city councils, government bodies, government and municipal enterprises and organizations, as well as other interest groups.
- The project and the deadline for giving feedback shall be made public.
- After that, a workgroup consisting of civic representatives may accept or decline public comments and proposals.
- The final project shall be published on the official website of the public authority.



That kind of interaction mostly provokes two types of reaction: neglect or protest. Both make dialogue much more difficult and require extreme creativity and tolerance, as well as new approaches to public involvement and participation.

One of the main problems of community involvement is low awareness among residents both in the main spheres of the neighborhood and locality life, as well as in the distribution of tasks and responsibilities among different departments and employees.

There is also a high level of ignorance regarding the work of public organizations. Thus, there is a lack of understanding of decision-making processes, its stages and the possibility of involvement and influence.

Very often, the community receives information about a project in one of the final stages, when the ability to influence its outcome is very limited. This creates distrust in the decision-making process and frequent conflicts between public activists and government officials.

The central government has and performs a monitoring role, but the transparency level for that process is not sufficient. On the local level, there are inconsistencies between territory zoning plans and detailed territory plans of micro-district or quarter. And, as financial stakes are high, the lobbying would most likely take place out of public and press reach. So there is significant risk that not all interests would be taken into account in the decision-making process and that open discussion would not happen.

Before 2011, due to the imperfections of the procedure, it was not uncommon for public hearings to end in a fight or falsification of the results in favor of the developer.



## 14. Urban Planning History

*Interview with Fedir Gontsa, PhD in Urban Planning, Kyiv National University of Construction and Architecture*

- Why do contemporary Ukrainian planners need to know the history of Ukrainian planning knowledge and practice?

Ukrainian and international planners should be aware of the continuity of Ukrainian planning tradition and culture. Planning models developed over millennia are the best when adapted to the landscape, the mentality and the culture of the population. One or another regional planning, ecological, climatic, and economic factors formed their own models of architecture and planning for each region in Ukraine. Lack of knowledge about local planning history, and cultural awareness might lead to failed projects, and waste of time resources on the reinvention of a wheel.

- What is the contribution of Ukrainian planning practice to the International planning knowledge and culture?

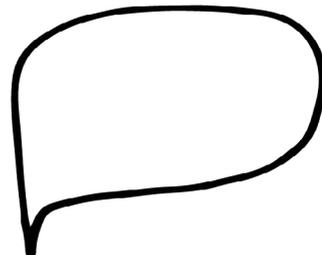
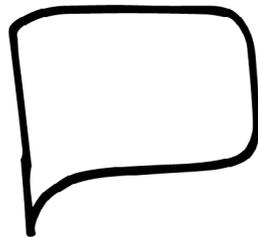
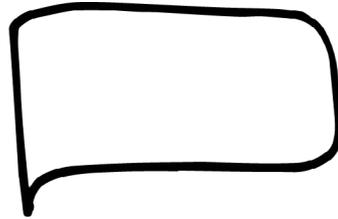
Centuries of Ukrainian planning experience is somewhat blurred in the general planning experience of the Russian Empire and the USSR, because Ukraine has survived the colonial past. In the historical context, the first proto-cities of Europe, the Cucuteni-Trypillia culture, also known as the Trypillia culture, located on the territory of contemporary Ukraine. Ukrainian city-planning models originated in the settlements of Medieval Ukraine, now it is customary to say that Medieval Ukraine includes Kyivan Rus and The Grand Duchy of Lithuania. Other examples include regional specifics of garden and

park art of the New Age, and contemporary cities such as Slavutych, which was built after Chernobyl disaster of 1986 for relocation of nuclear plant personnel, and Energodar, both are the youngest cities of Ukraine that were created from scratch during Soviet times for the industrial purposes.

Despite the lack of a large number of printed works and theoretical models in Ukraine, there is a great deal of experience in the development of territories and the development of agglomerations of Donbas, the integration of Crimea. This experience includes resettlement of people with the devastating and traumatic experiences from the territory on which the cascade of Dnipro and Dniester reservoirs were created, the creation of the Exclusion Zone due to Chernobyl disaster and rethinking of planning of historical cities.

- How can Ukrainian and International planners use this information in their practice?

First of all, it is important to come into the local planning with a great deal of cultural humility. It is important to treat the territory of Ukraine with respect, as this land has a thousand-year experience of settlements, cities were formed among the first in Europe, and each region of Ukraine has its own approach to planning and design of the territories. Secondly, Ukrainians, similar to the rest of the world, experienced a wave of urbanization in the 50s and 60s, when cities grew almost uncontrollably, so some territories have other planning problems, which are worth considering while planning. Thirdly, due to the long-term delay of some of the socio-economic problems of Eastern Ukraine, there is a need to rethink those industrially oriented regions that were formed not so long ago, in the 19th century and mostly have



rudimentary Soviet planning problems which are characterized by centralized top-down approach in design.

Current questions that are discussed now by Ukrainian and International planners are existential. What to do with completely destroyed cities and villages? How realistic is it to rebuild them? How many years will it take to clear the mines and what to do with all of this in terms of people's emotions, attachment to the place, traumatic experience that cannot be measured or grasped now when the war is still in an active phase.

There are tens of kilometers of dead land, and the most dangerous mined and contaminated fields. How will we approach this in our planning? One of the solutions might be to preserve the planning system of historic cities, and to form new models or to combine both approaches.

One can stay in Lviv, relatively far from the active military actions, and think what Bakhmut, Mariupol, Trostyanets or Vugledar should look like, without understanding how that city was planned, or arranged, how people experienced that city, how they oriented themselves in the space, and how they named places and used toponyms. A very simple story can be, for example, how people in Kryvyi Rih, locally, think in street blocks. One can spot a newspaper advertisement "I am selling a garage in the 12th block". This will be clear to everyone in Kryvyi Rih. In Cherkasy, for instance, people think of the road as 3 blocks straight, 4 to the right, when they talk about the meeting at the corner, while in other cities such models or mental maps will not work. There is no 12th quarter in Lviv, there are monoblocks, such as Sikhiv or Ryasne.

Therefore, when rebuilding destroyed cities, it is worth listening to the local people, so that at least if not the architectural integrity, but the mental one, is preserved. People will need to understand and embrace that this is their familiar environment, their "new" homeland.



## 15. References

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List of regulatory legal acts in the field of urban development <https://www.minregion.gov.ua/napryamki-diyalnosti/building/derzhavniy-arhitekturno-budivelniy-kontrol-ta-naglyad/normativno-pravove-regulyuvannya/perelik-normativno-pravovih-aktiv-u-sferi-mistogbuduvannya/>

The Constitution of Ukraine: <https://zakon.rada.gov.ua/laws/show/en/254%D0%BA%96-%D0%B2%D1%80#Text>

On Local Self-Government in Ukraine: <https://zakon.rada.gov.ua/laws/show/280/97-%D0%B2%D1%80>

The Land Code of Ukraine: <https://zakon.rada.gov.ua/laws/show/en/2768-14#Text>

On Land Management: <https://zakon.rada.gov.ua/rada/show/858-15#Text>

On the Principles of State Regional Policy <https://zakon.rada.gov.ua/laws/show/156-19#Text>

On Regulation of City Planning Activity: <https://zakon.rada.gov.ua/laws/show/en/3038-17#Text>

On the fundamentals of urban development <https://zakon.rada.gov.ua/laws/show/2780-12#Text>

On architectural activity <https://zakon.rada.gov.ua/laws/show/687-14#Text>

On the improvement of settlements <https://zakon.rada.gov.ua/laws/show/2807-15#Text>

On Strategic Environmental Assessment: <https://zakon.rada.gov.ua/laws/show/en/2354-19#Text>

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The Forest Code of Ukraine: <https://zakon.rada.gov.ua/laws/show/en/3852-12#Text>

The Tax Code of Ukraine: <https://zakon.rada.gov.ua/laws/show/2755-17#n6750>

On the Protection of Cultural Heritage: <https://zakon.rada.gov.ua/laws/show/1805-14#Text>

On Comprehensive Reconstruction of Old Residential Neighborhoods: <https://zakon.rada.gov.ua/laws/show/525-16#Text>

On Regulation of City Planning Activity: <https://zakon.rada.gov.ua/laws/show/en/3038-17#Text>

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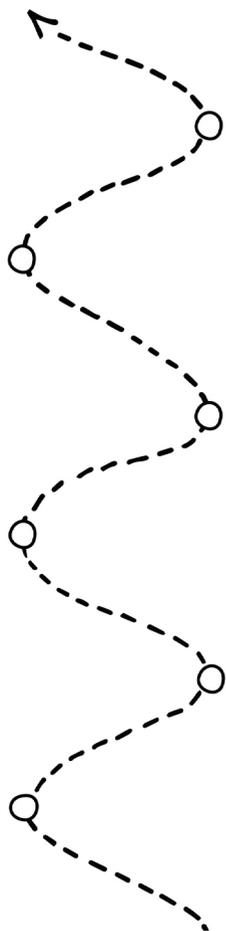
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# Ishinomaki, Japan

Location: A port city of 147,000 population  
Small Town

Time Frame: 2011 - 2021

Features: Nature disaster recovery, Community initiatives, Public/Private housing, Business revival, City/place branding, Culture events

Source: Yosuke Mano and Akihiro Noda, Post-disaster reconstruction of central Ishinomaki through the formation of local initiatives.

## Background

Ishinomaki is a port city with a population of 147, 000 (2015) that suffered significant damage in the Great East Japan Earthquake in 2011. Many buildings were damaged and about 10,000 moved out of this area after the earthquake.

Government lead the effort in large-scale reconstruction, such as seawalls and roads; other recovery efforts were largely in the hands of the local communities. While the long-term government-funded construction is underway, local communities sought means of recovery in the short term so people can start living and working.

Conceptually, there were three elements in the recovery: 1) maintaining the traditional fisheries and commerce industry, 2) restoring the city to its pre-disaster state, and 3) the initiative and changes made by people who came and stayed after the earthquake.

## The First Year

There was an unprecedented inflow of human resources - volunteers came to town to work on cleaning up. Working with local residents, they organically developed informal field

offices along the main street. Public areas were developed to provide places for people to meet, talk, exchange opinions, and fund solutions to local problems.

The project team "ISHINOMAKI 2.0" was created. Members consisted of young volunteers from bigger cities. They published a free paper "Voice" and Ishinomaki Walkabout Map, showing reopened shops, reconstruction status, and outdoor activities,

The business owners - shopkeepers - were getting organized. A cluster of restaurants emerged, and so the concept of "Ishinomaki: a gourmet town" took hold. New types of business appeared, including DIY household furniture, IT education, App development, and real estate.

## After two to Five Years

The volunteering calmed down. People who remained in the town were those who decided to stay, live, and work. The new residents and original residents started to create new places that had not existed before. About 20 community public places were formed for all kinds of cultural activities.

New businesses continued to emerge while original shopkeepers restarted their businesses on temporary premises. A joint venture company was financed by landowners, business associations, and community development groups. The value of the land started to increase through integrating and hosting the functions/ activities that were beginning to take place. Many buildings were converted to accommodate new uses.

A housing project was of particular interest. COMICHI is a composite building of 450 square meters. It provided housing



# Taomi Ecovillage, Taiwan

units for previous residents, a share house for young people, and rental premises for traders. It was a program catering to the needs of commerce and housing for the young, particularly for those who came as volunteers.

## After Five to Ten Years

Public and private housing for victims, commercial activities, and tourism were complete. Public places in the central urban area became hubs for local cultures across a wide area. Those places enable people to have different cultural experiences, like art, religion, and music. They are also the go-to places for visitors.

Among other things, the Reborn Art Festival is held every two years. Ishinomaki School was established to provide vocational education and to connect the local education entities. A consortium was established to support start-ups, housing, internships, worker dispatch programs, and practical workshops.

## Lessons Learned

- Accommodating people's daily needs is as important as, if not more important than, major infrastructure reconstruction.
- More important than a fixed plan are flexible and effective practices and programs that, on a daily basis, respond to the dynamic needs of recovery over time.
- Program design (what things people will do in a place) is as important as physical design (what kind of space to build).

**Location:** A small village in the Puli area in the central mountain region of Taiwan.  
**Population** 77k.

**Time Frame:** From 1999 to present

**Features:** Community empowerment, ecological conservation, agriculture tourism, capacity building.

**Source:** Community empowerment recovery after the Chichi Earthquake: the case of Taomi Ecovillage, Puli

## Background

Taomi is a small village in the Puli area in the central mountain region of Taiwan. The village was seriously damaged during the 1999 Chichi Earthquake, the biggest natural disaster in Taiwan since WWII. The earthquake impacted 20 cities and townships in the Puli region, particularly the traditional agriculture and forestry industries. The Puli region has been losing its young population and facing an aging population since then.

## Recovery as an Ecovillage

Since 1994, Taiwan had been promoting community empowerment, mostly in urban areas, and for improving public spaces in cities. In 1999, Taiwan introduced the policy of Community Comprehensive Empowerment. Community engagement in Taomi is a breakthrough to introduce community empowerment to rural communities.

## New Direction

The national New Homeland Foundation helped the community by establishing a community reconstruction committee to develop the vision for post-disaster recovery. Develop-

ment themes emerged, including environment, life, education, and industrial space. The community conducted surveys on ecological resources which identified abundant and diverse ecological resources in the region.

The plan was developed to transform from a traditional agricultural village to an educational base focusing on organic agriculture, ecological conservation, and tourism.

Besides introducing external resources to the area, the government provided intensive training programs for disaster victims to enhance the capabilities required for moving toward agricultural tourism including the operation of homestays and restaurants.

Under the government's work relief program, residents were employed to grow native and endemic plants, take ecological courses, and training for new types of jobs, such as cookery and hotel operations.

## Growth and Improvement

The operation of the ecotourism industry has been improved and become autonomous. Operation guidance was developed regarding room reservation, food, drink, travel, interpretation, and cultural handicraft sales. Funds were designated to improve accessibility to the disadvantaged population.

As the reputation of Ecovillage has been established, the community built an ecological learning network, introduced ecological ethics and methods, and extended cross-field cooperation.

# Onagawa, Japan

## Transform Leadership & Overcome Differences

As the New Homeland Foundation handed the role of leadership back to the community, differences emerged regarding future operation and development. There was competition and antagonism between different communities in the region. The central task of this stage was consensus building, breaking through long-term negative internal relations caused by mistrust. Third parties were involved to play an intermediary role. The organization structure was reconstructed.

## Lessons Learned

- Reconstruction is complicated in that it often exceeds the existing capability of the community. External resources are crucial, such as those from high-level governments, universities, civil groups, enterprises, and NGOs.
- Be persistent in communication, even if carried out through a mediator, to build consensus among community internal groups, and to advance community empowerment in recovery.
- Be sensitive to the local context in terms of human and natural resources.
- Provide training to local residents to prepare them for emerging economic activities. The livelihood of local residents is the central topic in recovery.

Location: A port city with a central urban area and a remote peninsula. Population 6k.

Time Frame: From 2011 to 2014

Features: industrial revitalization, grassroots organization, economic reconstruction.

Source: Takashi Tsuji, The Disaster/Reconstruction Process: a Case Study of Onagawa Town

## Background

Onagawa, Japan, is a port city with a population of 6,319 (2020), including a central urban area and a remote peninsula. The primary industry of Onagawa is manufacturing (fishery product processing industry), agriculture, forestry, and fishery. The nuclear power plant which is located in the Onagawa region provides continuing tax revenue to the city.

Before the disaster, industry groups had considerable political influence in Onagawa. In particular, those representing the fishery processing industry and commerce repeatedly engaged in cooperation and confrontation over the direction of regional development.

## Recovery Context

In 2011, Onagawa was hit by the Tōhoku earthquake and tsunami. Over 85% of houses were damaged and more than 65% were completely destroyed.

Immediately after the disaster, temporary housing complexes were built outside the city due to topographical constraints. Those temporary housings consisted of complex-type, prefabricated, emergency temporary homes. Some residents lived in temporary housing for as long as 5 years before moving into permanent residence.

Reconstruction was featured by land readjustment projects over an area of over 200 hectares, including construction for disaster prevention and public housing. The reconstruction plan includes creating a compact urban area as a hub for administrative, medical, and commercial uses. The city center is divided into three sectors: housing, commerce, and industry.

## Community Involvement

On May 1, 2011, the town's administration launched the Reconstruction Promotion Headquarters to oversee reconstruction-related efforts. Meanwhile, the Committee on Reconstruction Planning was created, which consisted of academic experts, municipal staff, representatives from business groups, and the Women's association.

In later 2011, Onagawa established the Reconstruction Liaison Council, an association of industry groups. The council developed a reconstruction plan based on input from business owners and workers. The plan primarily focused on economic reconstruction.

Onagawa Town Development Promotion Council was founded to facilitate the planning and coordination of various organizations in town. Their role also included reviewing public comments and developing reconstruction policies. The council consisted of 11 members: 5 office employees and representatives from the Purchasers Association, the Commerce and Industry Association, the Tourism Association, the Fish Market Purchasers Cooperative Association, the District Leaders Association, and the Women's Association.

In 2012, the town office established the Town Development Working Group. The group had about 60 people who were diverse in gender,

# Soledar, Ukraine

generation, and organizations they represented. The group was in charge of providing information to and gathering opinions from the residents regarding reconstruction projects. Group members were required to be registered and were selected at the recommendation of the Promotion Council through a public recruitment process.

The Reconstruction Town Development Design Conference was launched in 2013 as a consultative body to collect the opinions of residents. At the conference, a review committee was established under the group for housing development. Committee members consisted of the mayor, academic experts, representatives from each section of the town, and representatives from construction businesses.

The consultative reconstruction organization was rearranged in 2014 to include the Residents Council on Public Facility. The organizations included members designated by city officials and liaisons from related municipal offices. Events included lecture meetings, town walks, and workshops.

## Lessons Learned

- Industrial revitalization is a centerpiece of reconstruction, and involving trade groups in the process is essential.
- Community engagement takes time to evolve into an idea form to fit its context. It is not led by a flat organization but embedded in a system of multiple organizations that are complementary to each other in the reconstruction process.
- Reconstruction should repair damaged social relations, as well as the physical infrastructure.

Location: Small town in the Donetsk oblast, close to Bakhmut, of approximately 10 000 inhabitants. Soledar is famous for its salt mines.

Time Frame: 2021

Features: The case features a vision of public space in Soledar with focus on two parks, including public engagement from active local communities.

Source: Fulco Treffers

## Background

Soledar was a small town in eastern Ukraine. In December 2021, the moment of this project, Soledar was 30 km away from the conflict zone with pro-Russian separatists. The cultural platform Izolyatsia decided to start a small cultural hub in this town. Being forced to move out of Donetsk city itself, the Izolyatsya organization always maintained strong bonds with the eastern part of the country, even after they moved their home base to Kyiv after the 2014 invasion. Izolyatsia knew the risks of being subjected to Russian propaganda, of having no-cultural or artistic influences, of missing any kind of citizen involvement in local challenges or changes, so they engaged professionals from the Netherlands Fulco Treffers and Marjo van Schaik to work with the local community to create a vision for public space.

## Process

Treffers and van Schaik worked in the town for a month, as a residency. During this month, there were three meetings with the local community, one official meeting with the mayor and the head architect of the city, and several meetings with other professionals of the community such as the head of the library, the theater, etc.

The sequence of the meetings with the community was prearranged and simple. The first meeting was about gathering information, questions and as many ideas as possible. Men, women and a group of boys (15-19) were present. It was also important to bond with the community, to communicate on a different level. Treffers and van Schaik joined a small rehearsal in a music studio that was financially supported by USAID. This helped to understand how public activities and public space were experienced. But it was also intended to try to close the gap between professionals and locals, in order for the residents to feel free to communicate openly.

The second meeting was about presenting our initial ideas and asking for feedback. Also, this meeting was about inviting groups that were not present at the first meeting, in this case the girls. During this meeting the local community was asked if the project team had the right understanding of what was at stake. And the group was asked to actively join work on the presentation and the installation the project team had designed.

The third phase involved two final presentations: one for the local community and one for the municipality and regional media. At the latter, the community again showed up and even started to debate with the head architect trying to convince her. Even a national broadcasting company came and filmed a story for nationwide coverage.

# Veľký Šariš, Slovakia

## Tools

Some principles that Treffers and van Schaik used in their work:

- Connect closely to the local citizens. They have the understanding and the interest. When there is trust and communication you will learn and hear more.
- Make an outline of clear simple steps. Show the steps from the beginning. And follow that path.
- Communicate visually, as much as possible. Visit the place and ask people to point out what they like and what not. And ask why, collect the arguments.
- Meetings should be short, workshops can be longer.
- Involve the community not only by talking and walking but also by inviting to co-work on the final results.
- Always ask for feedback. For the final result, ask to express visually negative and positive comments, fully transparent.
- Follow up after the process: explain what will be done with the design and the feedback.
- When you want to outsource some of the work, try to find a professional inside the community. In this case: a video of the process and result was made, including music: done by active local citizens.

## Content

The result of the participatory design process was a vision for public space in Soledar. The town is known for its salt mines, the main source of income. The salt mines are white and mesmerizing. Since a few years, tourist tours were organized daily into some of the mine shafts. This became more and more popular, but after visiting the mines there was nowhere nice to go. Aboveground, you didn't feel the same beauty and miracles. The future vision for one of the parks was to connect the main spots for visitors to the main park by using symbols from the mines and building a view tower in the main park. The view to the region was beautiful, including the view to the shafts that shaped the landscape.

The second – bigger – park was designed to keep local youth in town, with nature-sport related functions that could be developed step by step, even partly made by the active community itself.

Local citizens actively expressed their needs and ideas and took part in sessions. They were happily surprised by the results and felt that they had been heard and connected to the results. When asking what part of the vision they liked most, the most heard answer was: all of it, we need to realize all of it. That was also an important aspect: they understood this vision was not too expensive or farfetched. It was a realistic vision that could become true.

Right when Izolyatsia was starting to think how to begin with realization, the Russian tanks entered Ukraine.

Location: A small Slovakian suburb town of 7,000 population.

Time Frame: 2022

Features: extension the existing road network and its impact on landscape; greener and more sustainable landscape planning; strategic interdisciplinary document; concept of sustainable urban development; city vision for 2025-2040; public involvement.

Sources:

Studio webpage <https://spolka.cc/sk/muses-plus-velky-saris>  
Project MÚSES+ documents, available on: [https://www.velkysaris.sk/index.php?id\\_menu=174527](https://www.velkysaris.sk/index.php?id_menu=174527)

## Background

The town of Veľký Šariš in eastern Slovakia has long been struggling with the problem of heavy car traffic, which requires the expansion of the existing road network. In the immediate vicinity of the town, the construction of the R4: northern bypass of the regional capital - Prešov - is underway. This solution to the traffic situation is to relieve the road network in the town's immediate vicinity of the onslaught of cars. However, it also brings unintended negative consequences for the surrounding countryside and the city itself, which are already threatened by unsustainable land management, a growing population, environmental degradation, and further loss of biodiversity.

## Process

The city management decided to face the challenge by creating the MÚSES+ project, which aimed to provide a document that offers a comprehensive assessment of the current state of the city and its envi-

ronment, as well as recommendations for improvement. An extensive team of external experts from various disciplines worked on the project. Five smaller teams were formed, dealing with urban planning, landscape, land surveys, tourism and participation. The Participation and Public Communication team supervised the participatory activities of all teams, during all three phases of the project: analysis (landscape, urbanism, tourism), synthesis, and the final draft of the city's vision for 2025-2040.

The participation project strategy was developed as follows: the team created a methodology that outlined the internal participation of the interdisciplinary project team. This team communicated the project with the city and its representatives, who were also involved in the whole process. Other project participants were the stakeholders and the general public. The public was involved in the project from April to November 2022. The project team interacted directly with approximately 300 people, although the project activities were followed by an estimated more than 2,000 locals. The project information campaign consisted of dissemination of information through local newspapers, social networks, as well as on the city's mobile app, website, official bulletin boards and public address system. The involvement of the general public was carried out through an online mental map and a survey. In-person collection of inputs was also conducted at cultural events during the spring of 2022. For this purpose, a mobile exhibition object "Bike-rickshaw" was created with which the team gave updates on the project's sub-results. In-depth interviews and a series of group workshops helped the team to identify the burning issues and mark them on the city's cadastral map.

# Poznan, Poland

## Outcomes

The result of the project is a strategy document on the environment, considering greener and more sustainable planning strategies for urban planning, tourism, and above all the town's structure. Its result has a direct impact on the municipality's zoning plan, which will have to be amended. Thanks to the project, there has been an increase in trust between the municipality and the local inhabitants, who have networked with each other during the project and established new collaborations. In the same way, the town has raised awareness about town planning and increased the motivation of citizens to get involved in the running of the town.

The limited duration of the project was problematic. This time shortage did not allow the team to effectively obtain the results of the participation or to stick exactly to the pre-defined structure, as it evolved gradually and with varying participation of the target groups. Other limitations were similar to those of participatory processes typical in Slovakia and abroad.

Location: One of Poland's oldest and largest cities with a population of 553,000.

Time Frame: From 2006 to present

Features: revitalisation of neglected city center area; residents in full partnership with city planners; social concept of development.

Source: Katarzyna Starzyk, Laboratory For Social Research and Innovation "Stocznia": Description of an Interesting Example of Participation Revitalisation Activities in the "Śródka" Area In Poznań

## Background

Śródka, a historical area at Poznan's city center, was for a long time a severely neglected area with major socio-economic problems. The progressive degradation began in the late 1960s and early 1970s, when the newly built expressway towards Warsaw cut through the area, clearly separating it from the rest of the city center and significantly reducing pedestrian traffic in that direction. Moreover, for years there has been no crossing over the river Cybina to connect Śródka to the rest of the city. Such a bridge existed, but because of decisions taken in the 1970s, it was finally demolished and never rebuilt. The physical and functional separation of Śródka from the city center accelerated the process of degradation which resulted in an isolated and dead district.

## Process

In 2005, the Project Coordination Office in Poznan's Revitalization Department launched the Municipal Revitalisation Programme for Poznan. One of the key assumptions from the very beginning was to involve the city's inhabitants and other entities in the entire process

and to take their needs and opinions into account. A pilot area - Śródka, was designated, to be the focus of further activities. The pilot project goal was to create an area development plan prepared by residents in full partnership with city planners.

The first step of the pilot project was a socio-demographic study by a consulting firm with participation of the local community on the status quo of the selected area. The firm decided to conduct the survey using the local stakeholders. It has two big advantages for the project: people were more open to let their neighbors in and talk to them, and the local community was part of project activities from the very beginning. A very helpful unit in the whole process was the Neighbourhood Council, which brought together the most active residents of the area. The next step of the Revitalization Department, together with the Neighbourhood Council, was to create a social concept of development of Śródka. It was a set of guidelines for the future work of designers and planners. Once the concept was drawn up, there were two stages of consultation with the public. Some of the residents' demands have been considered and implemented in the local plan. The most important implemented project based on public consultation was the reconstruction of the bridge Cybioski which connected the area with the rest of the city center.

As this model of cooperation between residents and the city has proven to be highly functional, the city has since collaborated with citizens on several other successful projects.

## Outcomes

Several barriers were noted during the project, mainly of a legal-legislative nature.

Since the municipality owns only a small number of buildings in the area, the scope of possible activities was significantly limited.

Also, the lack of nationwide legal regulations on urban revitalization compelled the organizers to turn the project to cultural activities.

While these did not result in major changes to the Revitalization Program, they did contribute to promoting citizen integration in urban planning.

# We welcome feedback: criticism and suggestions to improve the Handbook

To share your feedback follow the link to the questionnaire below or scan the QR code on the right side



<https://forms.gle/vC2wC3YgydaBJRSx9>

