Summary of the involvement strategy analysis

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TuneOurBlock

Transforming urban quarters to human scale environments: applying superblock concepts for different urban structures

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Executive Summary

This report provides an analysis of the strategies for stakeholder engagement in a Superblock planning process. The recommended engagement strategies for stakeholders are listed in Deliverable 4.2. In this Deliverable, we focus on a detailed stakeholder analysis and explain what their needs are and how they need to be addressed. A focus is hereby on the different strategies needed to address different citizen concerns and suggestions. Therefore, we introduce a typology of citizens to clarify the development of appropriate participation strategies. In addition to this stakeholder group, we discuss how to engage administrative and political decision makers, businesses, media, public service providers, researchers, and other interest groups.

To categorize the stakeholder group of citizens, we use a typology which characterizes people by their way of picking information on their mobility. This *pro:motion typology* distinguishes six groups of citizens: 1) Spontaneous – On the Go, 2) Highly Informed Sustainability, 3) Efficiency-oriented Information Pickers, 4) Interested Conservatives, 5) Low Demand, and 6) Digital Illiterates.

The willingness to adapt the own mobility behavior and to consider alternatives to the private car in everyday mobility is assumed to be strongly correlated with the openness to an urban transformation process towards traffic-calmed planning concepts, such as that of the Superblock. The group of *Digital Illiterates*, *Low Demand*, and *Interested Conservatives* group are predominant in the rural areas but are nonetheless important to deal with since they might be strong opponents to the Superblock concept due to their high affinity to private cars and limited openness for changes in their mobility behavior. They would need to be addressed either in person or with analog information material. The *Spontaneous – On the Go* and *Efficiency-Oriented Information Pickers* types, which are dominant in urban areas, can be reached well via digital media. Both types respond more to rational, economic arguments, while the *Highly Informed Sustainability* type is more interested in ecological motives and backgrounds. A detailed description and examples of involvement methods which are suitable for each pro:motion type will be given in Deliverable 4.2.

The most important actors besides citizens are administrative and political decision-makers. Administrations can promote or delay the realization of Superblocks and are thus decisive for the seamless implementation of a transformation process. Citizens usually cannot influence administrations directly, but only through political leaders. Therefore, political decision makers are one of the most important groups that can enable the realization of Superblocks.

Other relevant stakeholders in the deployment of Superblocks are business owners which can be distinguish in associations and local business owners. Strategies addressing their concerns need therefore be either on a conceptual level or require a targeted solution for their business.

Another identified stakeholder is media. They can act on their own initiative and report objectively about the Superblock issue but also comment in a positive or negative way. In doing so, they can make the public discussion present, but their soft power can complicate or facilitate the process depending on their point of view.

Public service providers are optional stakeholders that can be included in a Superblock transformation process. Their main interest is the smooth running of public utilities, such as waste disposal or ensuring access for the fire department which is why the integration of potential concerns from their side is crucial.

Researchers and experts can be optionally involved in the process. Their approach and methods provide a neutral view of an implementation concept, which can be helpful in the debate over the implementation of a Superblock.

Other interest groups form communities of interest that operate either at the national level (e.g., auto or bicycle advocacy groups) or at the very local level (e.g., NIMBYism). Since their opinions in favor or against a project are often very extreme, participation is often somewhat cumbersome but still worthwhile as experiences have shown.

In the third section of this Deliverable, we discuss the level of participation of engagement strategies which is crucial in determining effective methods for the process. There are different concepts for levels of participation from which one is the renown but meanwhile outdated Arnstein's ladder of participation. Other concepts based on this distinguish between informing, consulting, involving, collaborating, and empowering or information, consultation, participation and social learning. Those concepts are helpful to describe different intensities of engagement strategies.

In a final remark, we summarize current options for using online, hybrid or virtual engagement strategies. Especially the Corona pandemic has led to the acceleration of various opportunities to design digital engagement processes.

1 Introduction

Given the need to drive the sustainability transformation in cities, which is expressed in urban development plans and concepts such as the Superblock, it is of utmost importance to identify the most appropriate measures to provide guidance for planners and decision makers in achieving the sustainability goals and to obtain the highest possible return of investment. However, if we look at possible measures to transform cities, it is now clear that pure physical measures and technical solutions that focus on the availability and quality of infrastructure cannot achieve the objectives of environmental and climate protection on their own. In addition to specific interventions imposing changes in the physical and economic environment, soft measures such as education, social marketing or information campaigns are promising to change behavior and increase the acceptance of physical transformations to a certain extent[1] [2]. Since these soft measures are not equally effective for everyone, it is necessary to develop **tailor-made measures and strategies** aimed at groups with specific motivations (e.g., financial, environmental, self-fulfillment aspects) and/or groups with special needs (see Del. 3.2) for increasing the impact[3].

Whether a transformation process such as the one associated with the implementation of a Superblock is promising depends on various factors. The application of a **target group-oriented approach** is one of them. The effectiveness of interventions aimed not only at radically re-organizing urban space but also at changing mobility at a human scale, e.g., by promoting active mobility instead of car-use and thereby reduce individual motorized traffic, can be significantly increased by addressing and involving user groups in a targeted manner. After all, it is not least the behavior of users that has a significant impact on climate change, and thus makes a real difference. Changing people's mobility behavior is therefore key "[…] when it comes to tackling societal challenges such as quality of life issues and increasing sustainability in general."[4]

Since, in addition to the multidimensionality of urban crises ("climate crisis", "crisis of care", see Deliverable 2.1) a plurality of voices can be observed[5], a multitude of different perspectives, interests and concerns of stakeholders involved in Superblock transformation processes must be considered. This was already reflected in the strategic goals of the first Superblock[6], which on the one hand addressed the improvement of public space and greening as well as the shift towards sustainable mobility, and on the other hand – which is of particular importance here – also emphasized the promotion of **public participation and co-responsibility**. What happens when there is a lack of information provision and citizen participation has already been shown in Deliverable 2.1. In this context, reference was made to the Superblock model implemented in the Poblenou neighborhood in Barcelona, which was originally considered "ideal", but faced strong rejection from the civil society sphere due to unexpected interventions that suddenly changed daily routines and led to a sense of

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[1] Forsyth, A., Krizek, K., 2010. Promoting walking and bicycling: assessing the evidence to assist planners. Built Environ. 36, 429–446. https://doi.org/10.2148/benv.36.4.429.

[2] Bird, E.L., Baker, G., Mutrie, N., Ogilvie, D., Sahlqvist, S., Powell, J., 2013. Behavior change techniques used to promote walking and cycling: a systematic review. Health Psychol. 32 (8), 829–838. https://doi.org/10.1037/a0032078

[3] Ogilvie, D., Foster, C.E., Rothnie, H., Cavill, N., Hamilton, V., Fitzsimons, C.F., Mutrie, N., 2007. Interventions to promote walking: systematic review. Br. Med. J. 334 (7605), 1204.

[4] Markvika et al. (2016). Using Milieu-Based Communication Strategies For Changing Mobility Behavior Towards Low Energy Modes. BEHAVE. 4th European Conference on Behavior and Energy Efficiency. Coimbra, 8-9 September 2016.

[5] Iturralde Farrus, B. (2021, September). Feminist urbanism for cities that recognise a plurality of voices: a collective assessment of the Sant Antoni Superblock (Master's dissertation). https://www.4cities.eu/wp-content/uploads/2021/10/MSCthesis_4CITIES_ITURRALDE_BELEN.pdf

[6] Zografos, C., Klause, K. A., Connolly, J. J., & Anguelovski, I. (2020). The everyday politics of urban transformational adaptation: Struggles for authority and the Barcelona Superblock project. Cities, 99. https://doi.org/10.1016/j.cities.2020.102613

deprivation (especially among residents living outside the block)[7]. The learning from this example was that intense consultation with neighbors is necessary. This planning philosophy was hence considered in the further development of the concept, the *Superilla Barcelona* Strategy, which envisions an **intensive process of cooperation** between planners and members of the community. This involvement is needed not only to better adjust the concept to the functional and economic context of the respective city and neighborhood, but above all to take environmental psychological aspects into account. Finally, the changes made during the implementation of a Superblock need to be adapted to the pace of adaptation of the different user groups. This understanding supports the argument that "hard" measures as the sole action can encounter misunderstanding and resistance among the citizens affected and therefore need to be combined with "soft" measures "[…] to make the underlying argument easier to understand for the target group"[8].

As the TuneOurBlock project acknowledges the diversity of needs and expectations, especially those of local communities, it puts special emphasis on the **spectrum of strategies** that can be qualified to address affected parties, arouse their interest (e.g., by communicating Superblock impacts) and consequently involve them in the co-creation of the shared living environment. For this purpose, it is crucial to develop **tailored interventions** by finding the right way to motivate individual stakeholders to join the conversation or even actively support the idea by participating in its realization. These tailored interventions should not only be context-sensitive, but also socially just. Moreover, such an approach allows to assess the effectiveness of measures in terms of possible behavior change of specific groups beforehand, thus **saving time and money** and **improves the acceptance of interventions**.

Participation in the planning process has two main purposes: On the one hand, the needs, wishes and preferences of stakeholders need to be deeply understood. On the other hand, stakeholders need to be informed about the possible consequences of the intended interventions in the best way possible. We therefore prefer the term *engagement* rather than *participation* since communication is necessary in both directions. Therefore, the implementation of participation processes is a twofold task: on the one hand, educating stakeholders about the need and circumstances of urban space transformation, and on the other hand, incorporating their real needs, ideas and proposals underlying the expressed ideas and desires - the tacit knowledge of citizens[9]. In the literature on stakeholder engagement, awareness raising is sometimes extended to persuasion and encouragement strategies[8], which will also be covered in the scope of this Deliverable.

In the engagement process, we decide on the player (also initiator) of the engagement and the addressee (the stakeholder). The way in which the stakeholders are involved shapes the tactics, which consist of one or multiple methods. Strategies, in turn, are a set of actions to achieve a specific goal which is in our case the implementation of a Superblock. Strategies are related to the players and stakeholders and may differ in their tactics.

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[7] Zografos, C., Klause, K. A., Connolly, J. J., & Anguelovski, I. (2020). The everyday politics of urban transformational adaptation: Struggles for authority and the Barcelona Superblock project. Cities, 99. https://doi.org/10.1016/j.cities.2020.102613

[8] Markvica, K., Millonig, A., Haufe, N., Leodolter, M. (2020): Promoting active mobility behavior by addressing information target groups: The case of Austria. Journal of Transport Geography, 83 (2020), S. 1 – 13.

[9] Meyer, M. W., & Norman, D. (2020). Changing design education for the 21st century. She Ji: The Journal of Design, Economics, and Innovation, 6(1), 13-49.

Who?	Whom?	How?	Why?
Player	Stakeholder	Tactics	Strategy

Chapter 2   Chapter 3   Chapter 4   Deliverable 4.2
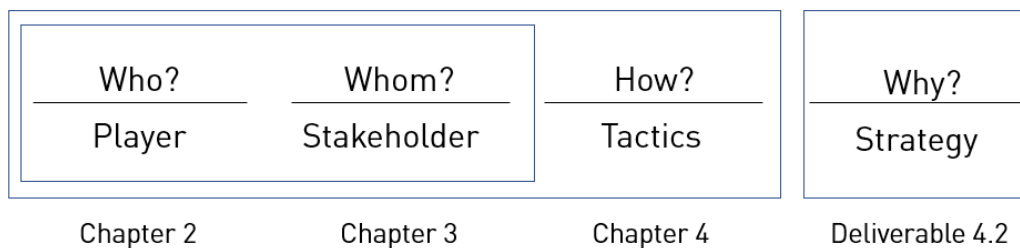
This Deliverable is structured as followed: Chapter 2 provides a short overview over the players, chapter 3 focusses on the different stakeholder groups which can be included in the engagement process. We study in particular citizens by applying the milieu-based communication strategies for the different mobility and information types as elaborated in the pro:motion project. A few points about how and why these stakeholders should be involved is therefore already mentioned in this chapter. In chapter 4, different concepts to describe the level of participation is introduced, and a short overview over digital participation strategies is given. We also present parts of the results of the Delphi expert survey and by citizens from an ULL workshop. Chapter 5 concludes and summarizes the most important learnings.

2 Initiators of engagement processes

In theory, every stakeholder listed in the following chapter as a stakeholder can also be in the position of a player and therefore initiator of an engagement process. However, there are some stakeholder groups that typically do not act as an initiator of a transformation process. These are for instance public service providers, administrative decision makers, and researchers. The most typical ones initiating a process are either political decision makers (top-down) or citizens (bottom-up). Political decision makers can also act through other entities such as administration. Other actors such as media or local business owners can position themselves for or against a project but are not often the initiators. In case they act as initiators, it would still be considered a bottom-up process since they do not have the power to decide on the transformation.

2.1 Top-down engagement

A top-down engagement process is a type of decision-making process in which the initiators, typically the government, are solely responsible for making decisions regarding urban transformation. The players in this process do not require the input of other stakeholders, as they are already in charge of the power to make decisions.

However, despite being the sole decision-makers, initiators of a top-down engagement process can benefit from engaging with other stakeholders to gain support and facilitate the implementation of the transformation. This is where the top-down engagement process comes in, as it involves seeking input and feedback from citizens and other stakeholders.

In this process, the initiators decide on the level of engagement to be employed (see chapter 4), which may range from minimal engagement to more collaborative efforts. They also decide which stakeholders to involve and the tactics to use in the engagement process. These tactics may include public consultations, community meetings, surveys, and other forms of engagement.

2.2 Bottom-up engagement

Bottom-up engagement processes are characterized by being initiated by people who are not in charge of decision-making for a transformation process. These stakeholders are typically organized in local groups and strive to gain support for their ideas and involve other stakeholders.

In a bottom-up engagement process, stakeholders are not in control of the decision-making process, but they seek to influence it through their ideas and proposals. Their suggestions may challenge the status quo, and stakeholders may face resistance from other people and institutions who are satisfied with the current situation.

Given these challenges, stakeholders involved in a bottom-up engagement process must be proactive in seeking feedback on their ideas and proposals from the beginning. This feedback allows them to refine their proposals and communicate them more effectively to other stakeholders. Successful communication is crucial in a bottom-up engagement process, as the initiators need to persuade others to support their proposals despite facing opposition.

In bottom-up engagement processes, the players may use a variety of tactics to engage with other stakeholders and generate support for their proposals. These tactics may include public meetings, community organizing, and grassroots activism. By involving a diverse

range of stakeholders, these processes can build momentum and generate broad-based support for change.

Overall, bottom-up engagement processes are an alternative to top-down decision-making, in which stakeholders outside of the decision-making process seek to influence the process through their proposals and ideas. These processes are characterized by their focus on generating support for change, and their success often depends on effective communication and engagement with a broad range of stakeholders.

3 Communication and involvement strategies

In this chapter, we describe and analyze different communication and involvement strategies along selected stakeholder groups. In the focus are citizens, local business owners, administrative and political decision-makers, media, public service providers, the research community and other facilitators, and other interest groups.

In order to find out how the different stakeholders can be motivated to engage in the Superblock transformation process and subsequently select and use appropriate target group-specific communication and involvement strategies, a generally efficient approach is applied: it is considered useful to first find out who the beneficiaries and supporters (proponents), the disadvantaged and opponents of the process, and the still undecided and skeptical people are. To understand the motivations behind their opinions and attitudes, it is advisable to profile them by shedding light on their habits and values, as well as on their mobility, information, and communication needs. Reaching out to them can finally be done through targeted communication strategies which include decisions about the engagement method, the medium through which is communicated, and the information and arguments (e.g. related to health, environment, costs, image or experience) provided. Depending on the underlying intention (e.g., maximum acceptance of the project, conflict avoidance, reaching vulnerable groups or groups willing to change their behavior and thus contribute to climate, etc.), the most appropriate involvement strategy can be chosen.

The presentation of communication and involvement strategies in this Deliverable follows the idea of this approach. The main benefit of first identifying group-specific and mobility-related information needs is that the different interests and concerns can be better taken into account by extracting appropriate arguments for promoting the Superblock concept or active mobility for the respective target groups.

3.1 Citizens

Citizens are the most important and highly diverse group of stakeholders to be involved. Potentially, this group covers the entire spectrum of supporters and opponents of a Superblock. In order to address the citizens group appropriately, it is important to gain an understanding of their views and arguments. A classification of this stakeholder group in regards of their mobility behavior has been done by multiple approaches in the literature. González et al. (2020)[10] characterized users for their readiness for Mobility as a Service (MaaS) by conducting an exploratory factor analysis and successive latent class cluster analysis. They identified the groups of MaaS-FLEXI-ready individuals, mobility neutrals, technological car-lovers, multimodal public transport supporters and anti new-mobility

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[10] Alonso-González, M. J., Hoogendoorn-Lanser, S., van Oort, N., Cats, O., & Hoogendoorn, S. (2020). Drivers and barriers in adopting Mobility as a Service (MaaS)–A latent class cluster analysis of attitudes. Transportation Research Part A: Policy and Practice, 132, 378-401.

individuals with the former group forming the majority (32% of the population) and the latter the smallest group (6% of the population). Steg (2005)[11] analyzed different motives for using a car and categorized instrumental, symbolic, and affective car users. Though these categorizations of citizens in terms of their mobility behavior might be a possible way to define different communication strategies for the Superblock concept and urban transformation, but they are just partly considering the entire attitude of people towards changes in public space. A better solution to address the issue is to use the milieu-based typology suggested by Markvica et al. (2020)[12]. It results from a social science approach to identify homogenous groups that require specific mobility-relevant information or are particularly responsive to certain arguments.

3.1.1 Milieu-based approach

In the Superblock model, by definition[13], **citizens** are prioritized and therefore the ultimate beneficiaries of the repurposing of public space. Since they are also the ones most affected by a transformation, we take them as the starting point for our analysis of communication and involvement strategies. After all, the Superblock model intends to encourage residents to emancipate themselves from pedestrians to active citizens[14] and to make use of their right to the city through the appropriation of public space. However, to promote active mobility and the active reappropriation of public space by residents, it is not enough to improve the habitability and greening of the streets alone, as was already made clear in the introduction, but a **targeted outreach** to the affected groups of residents is required. In this respect, the milieu-based approach of the *pro:motion* study is particularly useful.

In the *pro:motion* research project, the everyday realities and values of social groups, their attitudes and willingness to use active mobility, as well as their decision-making bases and sources of information were meticulously differentiated in order to derive **motivation and communication strategies on the basis of existing social milieus**. The resulting typology of six "information types" provides information on the attitudes, habits, and behavioral patterns of comprehensively defined homogenous target groups as well as on the possibilities of reaching these groups argumentatively and communicatively.

The target group specific concepts derived from this refer to convincing arguments (for switching to sustainable means of transport), information needs, or preferred communication channels. Therefore, the mobility information clusters "[...] can be regarded as a basis for developing **encouragement strategies** to foster active mobility and to allocate resources properly"[15]. They are divided into the following types: 1) Spontaneous – On the Go, 2) Highly Informed Sustainability, 3) Efficiency-oriented Information Pickers, 4) Interested Conservatives, 5) Low Demand, and 6) Digital Illiterates.

Figure 1 shows the information groups in relation to the Sinus milieus distributed according to the Austrian population. Using a milieu-oriented approach based on the Sinus milieus, which give deep insights into the fundamental values and everyday attitudes (towards family,

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[11] Steg, L. (2005). Car use: lust and must. Instrumental, symbolic and affective motives for car use. Transportation Research Part A: Policy and Practice, 39(2-3), 147-162.

[12] Markvica, K., Millonig, A., Haufe, N., Leodolter, M. (2020): Promoting active mobility behavior by addressing information target groups: The case of Austria. Journal of Transport Geography, 83 (2020),1-13.

[13] Ajuntament de Barcelona. (2016, May). Annex 1. The implementation of the Superblocks Programme in Barcelona: Filling our streets with life.
http://www.sustainablecities.eu/fileadmin/templates/esc/lib/transformative_actions//_utility/tools/push_resource_file.php?uid=dd9 bf772

[14] Commission for Ecology, Urban Planning and Mobility. (2016, May). Let's fill streets with life. Establishing Superblocks in Barcelona. Ajuntament de Barcelona.
https://ajuntament.barcelona.cat/ecologiaurbana/sites/default/files/en_gb_MESURA%20GOVERN%20SUPERILLES.pdf

[15] Markvica, K., Millonig, A., Haufe, N., Leodolter, M. (2020): Promoting active mobility behavior by addressing information target groups: The case of Austria. Journal of Transport Geography, 83 (2020),1-13. (p.11)

leisure, work, money and consumption) of each milieu group, allows to explain and understand individual mobility behavior in more depth. Linking mobility patterns with group-specific values and attitudes finally provides starting points for interventions to identify motivational strategies and influence behavior.

In the following chapters, the *pro:motion* types are described in more detail, focusing on the demographic and mobility-related information available for each group, followed by the groups' values, needs and motivations necessary to address them with appropriate arguments and the right communication channels.
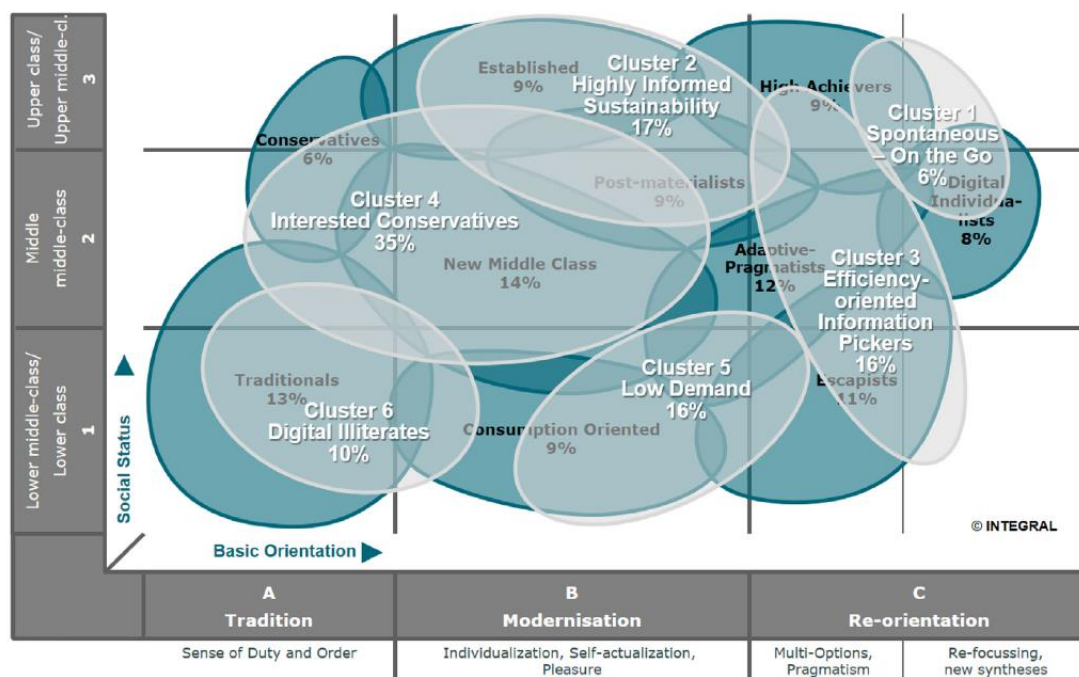
Figure 1: information clusters and their relation to Sinus-Milieus in Austria[16].

3.1.2 *Analysis of communication and involvement strategies based on information target groups*

Since the specification of social target groups seems to be highly relevant for the successful implementation of Superblock measures, the following overview serves to characterize groups with homogeneous mobility behavior patterns and special information needs, starting with their demographic key data. As they can be targeted and involved with regard to (future) development processes, the analysis of each cluster follows according to 1) context of interest (including type-specific mobility behavior patterns and willingness to switch to another mobility mode), 2) values, 3) constraints, and 4) insights for the development of involvement strategies (Table 2) which can be further developed to persuasion strategies.

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[16] Markvica, K., Millonig, A., Haufe, N., Leodolter, M. (2020): Promoting active mobility behavior by addressing information target groups: The case of Austria. Journal of Transport Geography, 83 (2020),1-13. (p.7)

Table 1: Composition of the information target groups / demographic key data (regional reference: Austria)

	Spontaneous - On the Go (6%)	Highly Informed Sustainability (17%)	Efficiency-oriented Information Pickers (16%)	Interested Conservatives (35%)	Low Demand (16%)	Digital Illiterates (10%)
Gender						
male	52%	50%	**60%**	48%	49%	**28%**
female	48%	50%	**40%**	52%	51%	**72%**
Age						
14-29 years	32%	**40%**	30%	**18%**	19%	**5%**
30-44 years	37%	27%	29%	21%	**36%**	**13%**
45-59 years	25%	20%	31%	26%	28%	26%
60 years and older	**6%**	**13%**	**11%**	**35%**	18%	**56%**
Size of the residential area						
< 5000	23%	46%	34%	45%	43%	44%
< 20,000	14%	16%	20%	22%	17%	26%
< 50,000	2%	4%	6%	10%	**13%**	5%
>50,000	17%	12%	11%	9%	6%	8%
Vienna	**43%**	22%	**30%**	**14%**	20%	16%

Table 2: Information target groups according to their context of interest, values and constraints resulting in findings for the development of persuasion strategies

		Spontaneous - On the Go	Highly Informed Sustainability	Efficiency-oriented Information Pickers	Interested Conservatives	Low Demand	Digital Illiterates
Context of interest	**Mobility style**	Mobile, flexible, not trapped in routines	All modes used (especially active modes)	Different options, mobile, stable on routine trips	Stable behavior, but open minded	Habitual behavior	Fixed patterns
	Attitudes towards driving, public transport, cycling, walking	Driving: Positive, flexible, no insistence on ownership Public transport: Positive, reasonable, but not individual Cycling: Positive, but not trendy Walking: Positive, efficient and fast on short distances	Driving: Positive, but tries to avoid driving, no claim to ownership but should be available Public transport: Positive, but concerns (aggressive atmosphere) Cycling: Drawn to it, fun factor Walking: Positive, to avoid crowded public transport	Driving: Car enthusiasts, strongly use car-sharing Public transport: Critical, perceived as inefficient Cycling: Critical, lack of fun Walking: Positive, preferred over cycling	Driving: Positive, only given up if to tedious Public transport: Usage only for pragmatic causes (commuting) Cycling: Positive, modern and calming Walking: Critical, too time consuming	Driving: Cars are like second skin, often two cars Public transport: Used only for commuting and short distances Cycling: Leisure activity Walking: Leisure activity	Driving: Object of desire, costs often too high Public transport: Very bad image, captive Riders Cycling: Rather positive, lack of fun Walking: Critical, too slow but more fun than cycling
	Interest in sharing concepts	Yes	Yes	Limited	Limited	Rather not	No
	Mode choice: dominant transport mode (used more than once a week)	Car: 68% PT: **44%** Cycling: 14% Walking: 65%	Car: 65% PT: **47%** Cycling: **27%** Walking: **70%**	Car: 68% PT: 38% Cycling: 16% Walking: 53%	Car: 70% PT: 23% Cycling: 24% Walking: 59%	Car: **75%** PT: 17% Cycling: 19% Walking: 41%	Car: 52% PT: 18% Cycling: 20% Walking: 60%
	Potential for behavior change:	From car to walking: 5%	From car to walking: **10%**	From car to walking: 7%	From car to walking: 7%	From car to walking: 6%	From car to walking: 2%

	Willingness to change towards other modes	From car to cycling: 7% From PT to walking/cycling: **14%** **Overall willingness** to switch to cycling or walking (regardless of whether they previously travelled by car or public transport). Overall willingness: **20%**	From car to cycling: **15%** From PT to walking/cycling: **16%** Overall willingness: **31%**	From car to cycling: 6% From PT to walking/cycling: 8% Overall willingness: 16%	From car to cycling:12% From PT to walking/cycling: 6% Overall willingness: 18%	From car to cycling: 8% From PT to walking/cycling: 4% Overall willingness: 13%	From car to cycling: 4% From PT to walking/cycling: 2% Overall willingness: 7%
Values and constraints	**Motivation and Values**	*Efficiency, flexibility, experience* Like to be flexible, no particular importance of sustainability and environmental protection	*Responsibility, sustainability, awareness* Very ecology-minded, interest in environmental and healthcare aspects, general willingness to use low energy modes	*Efficiency, rationality, planning* Car-lovers, driven by efficiency, lack of interest in environmental protection and sustainability	*Pragmatic, reliability, novelty* Interested in environmental issues, attach great importance to social aspects	*Costs, planning, stability* Caught up in routines, little interest in eco-friendly practices	*Security, costs, stability* Overwhelmed by digitalisation and innovation, no special interest in environmental aspects
	Constraints (What prevents them to change their mobility behavior?)	strong reliance on internet and smartphones, no long-term goals, short attention span, little time for questioning	time and money resources, economic rationality, but takes its time, bad conscience, external factors	hardly any constraints, fixated on efficiency, also impatient in receiving information, decide what is best for them, egoistic goals (persuasion necessary, especially change of external factors)	Most likely changes behavior only if disadvantages become noticeable (e.g., increasing costs)	time and money resource, requires planning security	time and money resource
Findings for the development of involvement and persuasion	**Information requirements**	On-trip, mobile information, apps	Pre-trip, multiple information sources	Frequent new trips, high demand, new media	Pre-trip information, online or print, hardly apps	Little demand for information, mainly routine trips	No demand for information, reduced mobility
	Willingness to change	High	High	Middle	Middle	Close to zero	Close to zero
	Average number of	5.9	6.1	4.5	3.0	2.5	0.7

strategies / Information demand	information sources						
	Type of information sources	mainly digital	digital and analogue	digital and analogue, but preference for digital media	Less digital, more analogue	digital and analogue	analogue only
	Arguments	Fun, creativity, flexibility, individuality	Rationality, sustainability, costs, health, time efficiency	Efficiency, health, costs	Role models, social responsibility	Costs, health	Costs
	Appropriate Apps	Creative, gamified	Useful information, environment	No particular	Hardly using apps	No use of apps	No use of apps
	Appropriate campaigns	Funny, playful	Environmental responsibility	No particular	Responsibility, fitness	No particular	Classic campaigns
	Specific information interest	Car-sharing, alternative transport modes, pooling, park and ride systems	Car- and bike-sharing, alternative transport modes, cycle infrastructure, pooling	Cycling infrastructure (taking a bicycle in) public transport	Cycling infrastructure, (supra-regional) public transport	Park and ride systems	Non

3.1.2.1 Spontaneous – On the Go

This information cluster has a 6% share of the Austrian population and is characterized by a high basic orientation and a high social status. It can be found among the Sinus-Milieus of the 'High Achievers' and 'Digital Individualists' and partially the 'Adaptive-Pragmatists'. We are dealing with a quite young and urban group here (43% live in Vienna) which is very mobile, flexible, and little determined by routines.

Context of interest: Compared to cycling, which is seen as positive but not particularly trendy, driving is highly valued because of its flexibility. Therefore, a high proportion of car drivers can be found in this group. Despite their preference for an individual means of transport (which does not necessarily mean owning a car), members of this group are open towards new mobility concepts (e.g., sharing concepts) and mobility-related innovations. The potential for behavioral change, i.e., the willingness to switch to cycling or walking, is generally quite high in this group.

Values and constraints: In a world of values characterized by flexibility, efficiency and experience, this group does not attach particular importance to sustainability and environmental protection. The members of this group are not completely closed to the topic of "sustainability", but are rather interested in new developments and innovations, which is reflected in a high openness towards mobility topics as well as an above-average use of the internet and smartphones. However, their often-blind trust in digital media as an orientation tool can also become an obstacle when used excessively.

3.1.2.2 Highly Informed Sustainability

This information type, which has a 17% share of the Austrian population has a moderate basic orientation and a middle to high social status. It resembles mainly the Sinus-Milieus of the 'Established', 'Post-Materialists' and partially the 'High Achievers' and 'New Middle Class'. This type represents a rather young (40% up to 29 years) and very ecologically minded group of people with a high demand for information.

Context of interest: It is particularly worth noting that people of this group use all modes of mobility, but especially active mobility. This is expressed in the fact that they are particularly attracted to walking and cycling and try to avoid driving. Nevertheless, the claim is made that a car should be available (no claim to ownership, sharing concepts favored), as over 60% of this cluster uses it more than once a week. The willingness to switch from car to bicycle and from public transport to bicycle and walking in particular is highest compared to all other groups, resulting in an overall willingness to use low energy modes of 31%.

Values and constraints: In this group, which is oriented along the values of responsibility, sustainability and awareness, environmental and health-related aspects are of great concern. There is also a fundamental interest in new things, i.e., new developments and innovations in the field of mobility, about which people of this group want to be informed comprehensively, everywhere and at all times. A basic desire to organize daily routines in a sustainable and environmentally friendly way can be observed, whereby time and money resources as well as possible savings are decisive for the specific use of different modes of transport, which can become a constraining factor.

3.1.2.3 Efficiency-oriented Information Pickers

The efficiency-oriented Information Pickers make up 16% of the Austrian population, have a varying social status and high basic orientation. They can be found among the 'High Achievers', 'Post-materialists', 'Adaptive-Pragmatists', 'Escapists' and the 'Digital Individualists' milieu. This very mobile and car loving type is rather stable on routine trips and extremely organised in the uptake of information.

Context of interest: Characterized by car enthusiasts, who also increasingly use car sharing services (basic interest is still limited), this group is rather critical of public transport. While cycling is seen critical and associated with a lack of fun, walking has a more positive image. The overall willingness to switch to active mobility is middle and apart from occasional non-routine trips where comprehensive information is needed, the mobility behavior stays stable.

Values and constraints: People in this group are usually car lovers who are driven by efficiency and have no interest in environmental protection and sustainability. Factors such as image and coolness often determine their choice of transport, while the cost factor is not particularly relevant. Compared to other types, the Efficiency-oriented Information Pickers rarely feel guilty about choosing a less environmentally friendly means of transport. With their rational nature and comprehensive planning aspirations, they hardly allow themselves to be constrained.

3.1.2.4 Interested Conservatives

The Interested Conservatives have a 35% share of the Austrian Population and are characterized by an average social status and a low to medium basic orientation. They resemble the Sinus-Milieus 'New Middle Class' and to a limited level the 'Post-materialists', the 'Established', the 'Adaptive- Pragmatists', the 'Conservatives', the 'Consumption Oriented' and the 'Traditionals'. Due to their stable but open-minded behavior, their need for information is mediocre.

Context of interest: People in this group, in which older people are clearly overrepresented, have stable mobility routines and plan non-routine trips in advance. They strongly focus on the car which is used by 70% more than once a week. Public transport is only used for pragmatic reasons, e.g., for commuting. This type is clearly underrepresented in large cities - especially in Vienna - and overrepresented in towns with a maximum of 20,000 inhabitants. The interest in sharing concept is limited and the general willingness to switch to cycling or walking lies in a modest range at 18%.

Values and constraints: What is striking about this type is that not only a certain pragmatism, but also an open-minded nature is evident. In addition to its interest in environmental aspects, it attaches great importance to social aspects, but is rather reserved towards new technologies/devices, which is why not many digital information sources are used. Despite this certain skepticism, people of this type are nevertheless interested in technical developments and innovations, especially if they make it easier for them to travel. However, they only switch to an alternative form of mobility when their expenses increase (e.g., due to rising fuel prices). Particularly in peripheral locations, they are dependent on being able to travel further distances at low cost.

3.1.2.5 Low Demand

This information cluster accounts for 16% of the Austrian population, has a low social status and an average basic orientation. It matches the 'Consumption Oriented', 'Adaptive-Pragmatists', 'New Middle Class' and 'Escapists' Sinus-Milieus. People who belong to this cluster are characterized by habitual behavior and a resulting low need for information.

<u>Context of interest:</u> People who belong to the group "Low Demand" have relatively stable mobility behavior patterns and are caught up in daily routines. They show a rather old-fashioned approach to mobility and are therefore more likely to turn down eco-friendly and new mobility offers and services. As they are dependent on their own car, which is seen as a second skin, their willingness to switch to cycling or walking, mostly perceived as leisure activities, is weak. Sharing concepts are also rather not considered.

<u>Values and constraints:</u> This type shows little interest in environmentally friendly practices, environmental protection and sustainability, or the topic of mobility in general. Therefore, there is a subjectively perceived and objectively low demand for mobility-related information. As much emphasis is placed on costs, planning and stability, time and money resources can be seen as an obstacle to changing one's behavior.

3.1.2.6 Digital Illiterates

Digital Illiterates make up 10% of the Austrian population with a low social status and basic orientation. They are represented by the 'Traditionals' milieu as well as the 'New Middle Class' and the 'Consumption Oriented'. This type, which is generally older, more feminine and more rural, is mostly overwhelmed by digital media.

<u>Context of interest:</u> These people are not very mobile, and their mobility behavior is characterized by fixed patterns and routines. While public transport has a very bad image, the car is considered an object of desire. Nevertheless, the mileage is below the Austrian average and the digital illiterates are often rather passengers than drivers. Cycling is criticized for its lack of fun, while walking, despite its criticized speed, is seen as having somewhat more of a fun factor. The willingness to switch to other modes of transport is the lowest at 7% compared to all other groups.

<u>Values and constraints:</u> The Digital Illiterates are overwhelmed by digitization and innovation and show no particular interest in environmental aspects. Stability and security are among their core values. They are significantly less mobile than other population groups (for health or economic reasons), combined with a below-average interest in the topic of mobility, a willingness to change that is close to zero and thus also a lower need for information. Non-routine trips are often done without gathering (pre-trip) information at all.

3.2 Administrative decision makers

Local and city administrations are important stakeholders and necessarily part of the process of implementing Superblocks. While political decision-makers may decide on Superblocks, administrations are tasked with implementing them. In this way, implementation of Superblocks is necessarily an officially legitimized task. Administrative actors have significant leverage to speed up or slow down implementation processes, using formal and informal

leeway. They are therefore an important stakeholder and can in some cases also be the actor driving the whole process and conducting the involvement and participation processes.

Their interest in general is the functioning of their municipality and neighborhood. In a top-down implementation process they are also one of the main drivers, responsible for planning the communication, participation, and implementation processes.

In the case of a bottom-up process, administrative actors need to be convinced of the need for Superblocks or similar measures by proposals from civil society. As administrative actors in most cases require an official order (from the executive or legislative) to act, citizens and civil society must formally address political actors to achieve an order that enables administrative action. Here, their first involvement will most often be a response to demands made by citizens or organized civil society.

Generally, administrative decision makers are interested mainly in (road) safety and (road) upkeeping in their living quarters. Further, they have an interest in promoting the well-being of their residents and a strong local economy within budgetary restrictions. The main factors limiting administrative actors' pursuit of Superblock implementation are 1) willingness to implement changes vs. maintain a status-quo, and 2) limited human and financial resources. Furthermore, administrations are often bound by a network of legal regulations, especially in the field of traffic and mobility measures. These legal and financial constraints often lead to path dependencies in administrations, which can result in slow progress on implementation. Furthermore, administrations are confronted with the demands not only of proponents of Superblocks, but also those residents who are against such proposals.

The administrative decision makers involved in the process of implementing a Superblock are commonly not a single entity but different departments on different administrative levels have to be included in the process. The different departments may have conflicting interest (e.g., maximizing greenery vs maximizing street safety) and may not be used to work together. For initiators of a Superblock, this can be an unexpected challenge as they do have orchestrate the different interests and concerns of the departments to find a solution that satisfies all.

3.3 Political decision makers

The backbone of a climate-neutral transportation system and city is a viable and sustainable infrastructure for the eco-modes of transport. The decision on how public money is spent for different infrastructures is made by political decision makers, such as members of the city or district council. Since also Superblocks require eventually a political decision, this stakeholder is involved in the process in any case.

Political decision makers rarely have unrestricted autonomy of decision in spatial and transportation planning. The limiting factors vary from city to city. In most cities, there are very different responsibilities for different planning areas. Within cities, responsibilities for land use and transportation planning are usually divided among several departments. However, even where political decision makers have direct control, there may be strong influence from e.g., local authorities or regional bodies. The main task of the relevant political decision makers is to set the basic goals and strategy for transport and spatial planning. Politicians have to decide on the detailed targets needed to achieve a Superblock and to enable its implementation (measures). The budget needs to be made available and the commissioning of the administration needs to be carried out. In addition, public discussions (on the objectives and implementation) are to be held with the citizens, the media, and the stakeholders.

Political decision makers can only act within their sphere of influence which varies from city to city. Some decisions on road infrastructure therefore needs to be approved by different political levels. This is especially challenging if the parties in charge are not the same. The different level of influences may also lead to situations in which no progress is made since each player is blaming the other one for not progressing.

The political decision making is a complex task and involve extensive negotiation and consensus building between actors from municipality players to local business and local interest groups. The decisions process itself touches economic interests, normative goals and different scientific topics.

Transport policy implementations are usually formulated for the long term. Problem perceptions, on the other hand, change at shorter intervals, so that the solutions formulated rarely fit the original problems. Changes in the balance of power are even more short-term.[17] Not least, intra-party power struggles can significantly change the chances of implementing Superblocks in the short term.

3.4 Local business owners

Local business owners can be significant actors in promoting or preventing decisions on Superblocks. Business associations can exert influence in overarching Superblock policy at a higher level, using political and media expertise and networks to promote or prevent policy and public opinion in favor of or opposing Superblock measures. This potential, when used, can have significant influence on involvement processes at all levels. As political and administrative decision makers are acutely aware of the importance of a strong local economy, they pay special attention to business associations. Furthermore, business associations often have significant resources as well as existing communication channels that can be used in the context of involvement strategies for Superblock implementation.

Individual business owners tend to exert influence at a more hyperlocal level, often limited to a single Superblock project. Their interests are directly linked with accessibility of their businesses, as well as attractiveness of their business environment for attracting potential customers. They have qualified expertise on how a Superblock project might affect their business activities. However, their assessment of the mobility demands of their customers may not be accurate.[18]

It is therefore recommended that business associations are considered in the overarching involvement strategies, while individual local business owners are involved more in the concrete design phase.

The ability of a location or neighborhood to attract business, to ensure accessibility requires a high degree of differentiation. Accessibility, for example, will have different dimensions for ensuring logistic chains and for ensuring attractiveness for customers. In urban settings, an increasing number of customers access businesses by foot, bicycle, and public transit than the car. **Individual business owners are often unaware** of this and will position themselves accordingly. Superblock measures have significant **potential for increasing revenues** of

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[17] cf. Bandelow, N & Kundolf, S. Verkehrspolitische Entscheidungen in. Schedes, O. (Hrsg). (2018). Verkehrspolitik - Eine interdisziplinäre Einführung. Berlin.

[18] von Schneidemesser, D., & Betzien, J. (2021). Local Business Perception vs. Mobility Behavior of Shoppers: A Survey from Berlin. Transport Findings.

local businesses, but this differs depending on the type of business and their willingness or ability to adapt to the new situation.[19]

3.5 Media

The role of Media – both traditional and Social Media – cannot be underestimated. As Superblock projects are in many cities still innovative lighthouse projects the public attention is considerable. Moreover, many issues involved – mobility transformation, climate change adaptation, public space usage, etc. – provide "good stories" to be written about. Various Media types can have a general role in Superblock transformation projects by setting the stage in terms of introducing the Superblock concept and spreading the general idea.

Nowadays, obviously, various media types exist: A very rough distinction can be made into Media in its forms as "traditional" media published as newspapers, TV or radio and Social Media where the platform becomes the publishing tool for a multitude of individually published forms of content.

Before and during an implementation project – specifically in first-time implementations – media coverage can be an important factor influencing the process, at least in a way that the public debate in traditional media and social media can draw resources in a project, especially if wrongful communications should arise. A specific strategy for communications and handling of media relations can be helpful to manage expectations in the wider public and locally in the project area. As a complex urban transformation process Superblocks need to be carefully communicated to avoid wrongful communications on behalf of traditional media outlets and in Social Media platforms.

Social Media has a "soft power" by influencing how people report about Superblock projects. They position the project in a certain context and comment on the concept, quite often in a foreshortened manner. Social Media also has a direct or indirect influence on urban transformation processes by giving more/less space to critics or promoters. It can also create its own echo chambers, for or against a project, as well as being aligned to a specific aspect of the project. Certain decision makers may observe Social Media as a sort of trend barometer. Consequently, unique postings as well as campaigns alike can be directly or indirectly influence the political agenda.

The interrelationship between Media and political decision makers is important as well. Complex urban transformation processes are often tied to political decision makers that are associated with a project in the public perception and "carry through" a project (with positive and negative perceptions alike). The ownership and identification of politicians with a Superblock project can vary in its intensity. A coordination between (political) communication and the planning process will help to avoid wrongful communications, manage public expectations, and help keep the timeframe of projects.

It is important to note that reports in media can develop their own dynamics. For example, the recent Superblock implementation project in Vienna (ULL Favoriten) has been widely reported in various media outlets and has being discussed in Social Media platforms. A weekly local media outlet even created a public "yes/no" vote (open to everybody on the internet) which was then quoted in an article reported by the Viennese local outlet of the Austrian national broadcaster ORF: The survey – filled out anonymously by a non-

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[19] von Schneidemesser, D., & Betzien, J. (2021): Study in Berlin showed that automobile drivers were responsible for lowest proportion of revenue (8.7%) compared to pedestrians (71%), transit users (16.5%) and cyclists (13.5%).

representative group of people on the internet – showed a small majority of respondents in favor of the project[20]. This was then quoted by a citizen in an interview and used as direct quote in the article as "a survey hosted by an online platform only showed a minor majority for the project"[21].

3.6 Public service provider

A specific form of actor involved in Superblock projects are public service providers. Depending on the service they provide the change entailed by a Superblock project may be an opportunity or a challenge for their daily operations. Therefore, it is vital to bring those actors in the project at an early stage and understand their perspectives, motives, and possible role in the project.

Some examples for public service providers with very diverging roles in projects are:

- *Public transport providers* who are a vital partner when it comes to providing the public transport "backbone" for a Superblock project. Any changes to established services may pose a threat to the delivery of such services which can be a barrier for innovation.
- *Public utility providers* who are responsible for the subterranean piping infrastructure.
- *Waste Management* having a large stake in some of the traffic regulations measures and are often addressed by citizens because of lack of services (or improvement possibilities).
- *Police, fire brigade and emergency (health) services* who need to reach their destinations in time and who may be (initially) reserved to any changes imposed that imply a reduced accessibility for motorized vehicles.
- *Schools and education institutions*. The role of children's traffic safety can be a strong driver for traffic calming measures and reach a higher acceptance among residents.

Typically, the planning or urban development department of a city will initiate and conduct participatory processes to involve citizens, businesses, and other types of stakeholders in urban transformation processes. During such processes, residents often voice concerns that are not primarily related to an urban transformation process but rather fall into the sphere of responsibility of a public utility provider. One good example for this is the topic of waste which surfaces during participation projects. New alliances between urban planning departments and public utility providers can be a vital strategy to A) jointly approach complex urban transformation processes, B) build competence networks while working on a potential lighthouse project with the aim of future knowledge and competence transfer.

3.7 Research and expert community

The research and expert community are an optional stakeholder that can be involved in the process of developing a Superblock. The role of researchers is to take a rather neutral stance, although they may also favor certain transportation and planning concepts based on their knowledge and experience and thus advocate for them. Researchers from different disciplines such as sociology, urban planning, geography, ethnography, and anthropology can provide visioning and ideas to concept proponents and assist in a fact-based discourse

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[20] See: https://www.meinbezirk.at/favoriten/c-lokales/das-ist-der-fahrplan-fuer-die-umsetzung-des-supergraetzels_a5365705

[21] See: https://wien.orf.at/stories/3162166/

between the various positions. Experts do not necessarily need to work in academia and are rather interested in sharing their knowledge and experience. They can either take a neutral position, or a strong position in favour of a concept and reinforce it with arguments.

Researcher involvement can be initiated by researchers themselves or by proponents or opponents of the Superblock concept. The researchers' interest in supporting a process lies in their research topic itself: researchers need case studies to conduct field experiments to prove or disprove hypotheses and test new methods and planning concepts. If support is desired by stakeholders in the process, it may be motivated by the need for an objective position and evaluation of a specific example. Even if researcher mostly do not take the role of mediator themselves, their point of view can be very beneficial to find good compromises for a planning solution.

Since researchers and experts are only optional actors, funding must be provided for them. Researchers are usually funded by public money in the form of research projects (at the federal or European level) or commissioned research studies funded by local authorities while experts may need to be paid for talks and evaluations.

3.8 Other interest groups

Besides the above-mentioned stakeholder groups, other interest groups can play an important part in a process of Superblock formation. Their motivations and interests are very diverse and sometimes opposing to each other. As implementation of the Superblock heavily restricts the automobile traffic and hence affect mobility choices, it can be foreseen that interest groups opposing to or supporting such measures will intervene – ranging from cycling associations, car-owner associations, organizations of disabled persons etc. Besides them, there are also other interest groups and non-governmental organizations (NGOs) which can find interest in the Superblock formation. These can be specialized in a specific field (e.g., quality of urban life, or health, noise, and air pollution), or they emerge as local or civic initiatives. Although the activities of such interest groups can be very locally oriented, their influence and support base can sometimes exceed the area of neighborhood or the city.

Their reaction to the attempt of the Superblock formation can be very different. At the opposition side, we can expect car-owner associations (like ÖAMTC or ARBÖ in Viennese context) to oppose the measure as it happened in Paris, where automobile associations marked plans for closure of the city center for motorists as elitist and discriminatory[22]. One strategy is to ignore their opinion, but it is not the most advisable decision according to experts. Očkerl et al. (2017) and Fakin et al. (2019) propose to "disarm the opponent" in the way that supporters of the Superblock do not only inform them in advance about our intentions, but also invite them to the sessions, and make sure their voice is heard and taken into account as much as possible[23] [24]. Any decision made should be clearly justified and explained why certain interests and proposals cannot be realized.

In the same way, there are also associations and organizations that are expected to endorse the Superblock concept and see it as the opportunity to lobby for their interests. Examples

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[22] "A Bobo's pipe dream": Can the centre of Paris really be made car-free? (2018, November 16). The Local France. Retrieved November 22, 2021, from https://www.thelocal.fr/20181116/is-paris-really-going-to-ban-cars-in-the-city-centre/

[23] Očkerl, P., Cerar, A., Simoneti, M., Peterlin, M. (2017): Priročnik za boljše in lažje sodelovanje z javnostjo pri urejanju prostora. Internet: https://ipop.si/wp/wp-content/uploads/2019/02/iPop_Z_WEB.pdf

[24] Fakin Bajec, J., Polajnar Horvat, K., Kolenc, P., Pogačar, M., Smrekar, A., Tiran, J. (2019): Green Is Good. Planning Urban Green Spaces With People, Not For People. Internet: https://doi.org/10.3986/9789610501909

are NGOs advocating for environmentally friendly practices (e.g., cycling, walking or public transport lobby groups), disability organizations or more broadly based urban social movements[25]. They should also be included in the planning process from the beginning. The knowledge and experience of both, the opponent and proponent interest groups can broaden experts' and planners' understanding of local space and thus contribute to the more contextual and socially acceptable result.

Sometimes also residents (e.g., on neighborhood level) organize themselves in a formalized interest group. This usually happens if they have enough political and social capital, which enable them to successfully realize their goals and interests. The motivation of these initiatives for their emergence can be very diverse, usually (but not always) aimed at resisting changes in their residential areas and thus maintaining the current situation. In Ljubljana, for example, many of them emerged to resist urban developments in their respective neighborhoods. Their intentions resemble a NIMBY ("not in my backyard") and/or CAVE ("citizens against virtually everything") syndrome. Their reactions can be partially explained with the absence of the participatory process or their exclusion from the planning process. Regardless of that, they were forced to find alternative ways to express their opinions and needs[26].

4   Level and form of involvement strategies

When identifying appropriate involvement strategies for stakeholder groups, the question of the right level of participation automatically arises. The level chosen and the intention behind it determine which methods will be effective during a process. Therefore, in the following, the current state of research on different types and levels of involvement is briefly discussed and conclusions are drawn for the desired planning and participation process of Superblocks.

As past experiences with Superblock implementations have shown, the lack of (appropriate) participation as well as the lack of attention to unequal power structures can have fatal consequences (see Del. 2.1). If non-hegemonic and vulnerable groups are underrepresented in the process, their (special) needs (see special needs groups in Del. 3.2) will not be sufficiently taken into account in the long run of the transformation project, which may then threaten their (possibly even unintentional) exclusion from public space. Especially in context of what was originally considered the 'ideal' Superblock model implemented in Barcelona's Poblenou neighborhood, we have learned that it is crucial that stakeholders and the general public support the idea of the Superblock concept and actively contribute to the steps necessary for its implementation. This insight was itself derived from an intensive collaboration process between planners and community members, which ultimately inspired the development of the Superilla Barcelona strategy.

Anyway, promoting citizen participation in planning and shared responsibility, was one of the four strategic objectives of Barcelona's first Superblock program (alongside the use of public space, urban greening, and sustainable mobility).[27] And compared to other concepts for traffic calming and redesigning public space, it is considered a rather radical perspective that includes **citizens' empowerment** in its rationale. Citizen empowerment is often presented as one of the highest levels of participation in many models. But let's briefly look at the concept of participation before we go further into individual models and typologies. In the context of

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[25] Castells, M. (1983). The city and the grassroots: a cross-cultural theory of urban social movements (No. 7). Univ of California Press.

[26] Cerar, A. (2015). Vključevanje prebivalcev v urejanje prostora na lokalni ravni : primer regeneracije izbranih ljubljanskih stanovanjskih sosesk. PhD Thesis, University of Ljubljana.

[27] Zografos, C., Klause, K. A., Connolly, J. J., & Anguelovski, I. (2020). The everyday politics of urban transformational adaptation: Struggles for authority and the Barcelona Superblock project. Cities, 99. https://doi.org/10.1016/j.cities.2020.102613

participation, Sellnow[28], following Robert Jungk, speaks of turning those affected into those involved. This means giving people who are affected by political or planning measures the opportunity to participate at an early stage of transformation. However, participation also has its limits. This starts with questions of legitimacy and extends to the different resources or competences of the respective stakeholders. These differences should be reconciled during the process (Senatsverwaltung für Stadtentwicklung Berlin, 2011)[29]. This requires the right framework or level of engagement and target group-specific, appealing methods.

4.1 Models and typologies for public participation

Types of participation can be categorized according to different criteria. Schoßböck et. al.[30] show classification possibilities according to types of emergences and legal basis. In terms of their **type of emergence**, participation processes can be divided into top-down and bottom-up processes. While bottom-up processes are initiated and organized by citizens, top-down processes are initiated "from above", by politics or public administration. Often there are mixed forms - for example, when the state authorizes citizens to organize and carry out bottom-up processes, or when citizens demand top-down participation processes from the administrative or political authorities. From a **legal perspective**, participation processes can be divided into formal and informal procedures. Formal procedures are mandatory, such as regional planning procedures or environmental impact assessments. The law regulates who may participate in the procedure, how the results are treated and how the procedure is conducted. Informal procedures are based on a voluntary approach and carried out without a legal basis. The form and procedure of the participation and the treatment of results are freely regulated.

Several authors, such as Rowe and Frewer (2000; 2005)[31], categorize participation processes according to the **form/mode of communication or the type of information flow**. The spectrum ranges from approaches of one-way communication to active gathering and consideration of knowledge and opinions (consultation), to mutual exchange and the joint formulation and development of goals (participation). One-way communication is when information is passed on from planners and decision-makers to the public and stakeholders, but the latter have no influence on decisions. Consultation means actively seeking information or opinions from the public. Rowe and Frewer also refer to consultation as a one-way form of knowledge exchange - although in the opposite direction. Participation involves a two-way exchange, a dialogue that serves to jointly shape a project.

The classification according to forms of communication can be found in many other models. Above all, practice guidelines[32] [33] distinguish between information as a one-way communication, consultation as a two-way communication and cooperation as dialogue-like communication and collaboration. Planning and participation processes in the context of spatial planning are often classified according to intensity levels of participation. The oldest and most frequently cited model comes from Sherry Arnstein[34]. In her "Ladder of Citizen Participation", she distinguishes participation processes according to 8 levels of participation,

[28] Sellnow, R. (2013): Partizipation - wie geht denn das. In Claussen, W.; Geffers. S. G.; Meyer, L.; Spielmann W. (2013) Die Kunst der Partizipation. JBZ Arbeitspapiere Nr. 28

[29] Senatsverwaltung für Stadtwicklung Berlin (Hg.) (2011): Handbuch zur Partizi-pation. Kulturbuch-Verlag GmbH, Berlin

[30] Schoßböck, J., Rinnerbauer, B., & Parycek, P. (2018). Digitale Bürgerbeteiligung und Elektronische Demokratie. In M. Leitner (Ed.), Digitale Bürgerbeteiligung (Vol. 10, pp. 11–40). Springer. https://doi.org/10.1007/978-3-658-21621-4_2

[31] Rowe, G., & Frewer, L. J. (2005). A Typology of Public Engagement Mechanisms. Science, Technology, & Human Values., 30(2), 251–290. A Typology of Public Engagement Mechanisms - Gene Rowe, Lynn J. Frewer, 2005 (sagepub.com)

[32] Arbter, K. (2012). Praxisbuch Partizipation (Werkstattbericht No. 127). Wien. MA 18 – Amt für Stadtentwicklung und Stadtplanung. Wienbibliothek - Digitale Publikationen / Praxisbuch Partizipation

[33] OECD. (2001). Citizens as Partners - OECD Handbook on information, consultation and public participation in policy-making.

[34] Arnstein, S. (1969). A Ladder Of Citizen Participation. Journal of the American Institute of Planners, 35(4), 216–224. https://doi.org/10.1080/01944366908977225

ranging from non-participation (manipulation), in which citizens are merely convinced of an idea, to information (informing) and citizen control, in which citizens have decision-making power. Arnstein argues that participation does not work without redistribution of power.

Figure 2: Arnstein's ladder of citizen engagement (Arnstein, 1969)

| 8	Citizen Control	Degrees of Citizen Power
7	Delegated Power	
6	Partnership	
5	Placation	Degrees of Tokenism
4	Consultation	
3	Informing	
2	Therapy	Non-Participation
1	Manipulation	
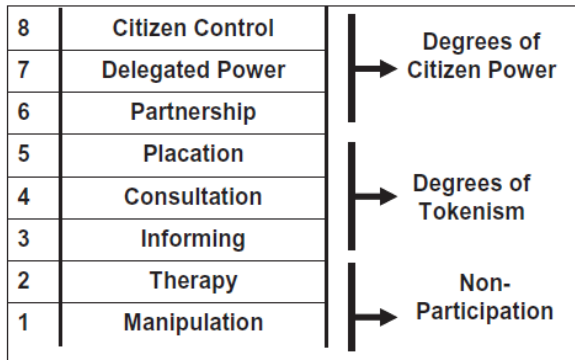
Arnstein's model is often used as a basis for classifying or evaluating participatory processes, although the model has been criticized for its linear and hierarchical structure. [35]

Collins and Ison[36], for example, who highlight social learning as a new policy paradigm for climate change adaptation, leave Arnstein's ladder and move to a new epistemology and practice in their egg-shaped model (see Figure 3) at the boundary between participation and social learning. Outside the dotted area, it becomes interesting for transformation processes, such as those that can be triggered by Superblocks, because this leaves the area of "known" problems about which there is general agreement on the proposed solutions. The outermost circle represents more chaotic situations, such as adaptation to climate change as it relates to Superblock transformation.

Figure 3: A conceptual framework of social learning in which information, consultation and participation may be necessary, but not sufficient, to improve complex situations (Collins & Ison, 2009)
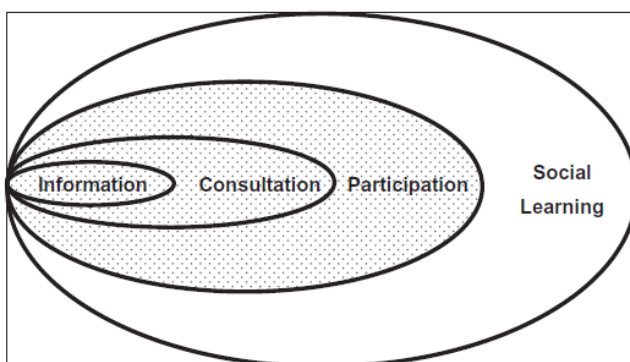
Another model that describes levels of intensity of participation for municipal level planning and development is Davidson's Participation Wheel[37], which distinguishes four categories in

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[35] Turken, A. O., & Eyuboglu, E. E. (2021). E-participatory Approaches in Urban Design. Journal of Contemporary Urban Affairs, 5(2), 169–182. https://doi.org/10.25034/ijcua.2021.v5n2-2

[36] Collins, K., & Ison, R. (2009). Jumping off Arnstein's ladder: social learning as a new policy paradigm for climate change adaptation. Environmental Policy and Governance, 19(6), 358–373. https://doi.org/10.1002/eet.523

[37] Davidson, S. (1998). Spinning the wheel of empowerment. Planning (1262).

three gradations each: Information, Consultation, Participation and Empowerment. Davidson also assigns methods and tools to each level. He describes "information" as the communication of information from decision-makers to the public. This ranges from the legally binding transmission of necessary information (e.g., through announcements) to the transmission of high-quality information demanded by the public or stakeholders (e.g., leaflets). He understands participation as the gradual involvement of the public and their ideas and wishes in the planning and decision-making process (e.g., planning for real, design games etc.), while empowerment is the complete transfer of decision-making power to the public.

In 2001, the OECD developed a stage model for urban planning: "Forms of Participation in an Urban Strategic Planning Process". It distinguishes seven stages (information, consultation, consensus building, decision-making, risk-sharing, partnership, and self-management) and thus combines the categorizations of information flow and empowerment[38].

An internationally widespread and recognized stage model comes from the "International Association for Public Participation" (IAP2)[39]. It distinguishes between information, consultation, participation, cooperation, and empowerment. The model emphasizes that participation levels depend on set goals, available resources, promises to the public, and methods of participation.

Figure 4: Spectrum of participation, IAP2 (2007)

INCREASING IMPACT ON THE DECISION

	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PUBLIC PARTICIPATION GOAL	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.
PROMISE TO THE PUBLIC	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

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[38] OECD. (2001). Citizens as Partners - OECD Handbook on information, consultation and public participation in policy-making.
[39] IAP2 – International Association for Public Participation (2007). Spectrum of Public Participation. www.iap2.org; 11x17_p2_pillars_brochure_20.pdf (ymaws.com)

Many other participation models have been developed in research and planning practice. A good overview of these can be found in the publications of Babelon[40], Heinrich Böll Stiftung Brandenburg[41] and Turken & Eyuboglu[42].

With the emergence of digital participation methods and tools, participation models have been adapted or reformulated to reflect the latest digital developments. For example, authors such as Carver[43], Kingston[44], Hudson-Smith et al.[45], Bernoff and Li[46] and Krabina[47] have adapted Arnstein's ladder model and formulated stage-like participation models for online participation. Macintosh[48] follows the categories of the OECD model. The higher the level, the greater the decision-making power of the participants and the more dialogue-like the digitally supported exchange of information and knowledge.

4.2 Digital tools and methods in planning and participation processes

The development of digital information and communication technologies (ICT) has changed ways of communicating, creating new digital (public) spaces and virtual, interactive environments that now characterize our everyday lives[49]. Communication between the public sector and the population has also changed with digitalization, leading to concepts such as e-democracy, e-governance, and e-participation[50][51]. Digital GIS technologies, which have been developed and used for data preparation, visualization, and analysis since the 1980/90s, can address complex urban planning issues and have become an integral part of planning and participation processes[52][53]. With the development of Web 2.0. the stakeholders

[40] Babelon, I. (2021). Digital participatory platforms in urban planning [Dissertation]. Northumbria University, Newcastle.

[41] Heinrich Böll Stiftung Brandenburg. (2011). Bürgerbeteiligung im kommunalen Klimaschutz: Antworten europäischer Städte und Gemeinden.

[42] Turken, A. O., & Eyuboglu, E. E. (2021). E-participatory Approaches in Urban Design. Journal of Contemporary Urban Affairs, 5(2), 169–182. https://doi.org/10.25034/ijcua.2021.v5n2-2

[43] Carver, S. (2001). The Future of Participatory Approaches Using Geographic Information: developing a research agenda for the 21 st Century. Journal of the Urban and Regional Information Systems Association, 15(1), 61–71.

[44] Kingston, R. (2002, July 10). The role of e-government and public participation in the planning process. In AESOP (Chair), XVI AESOP Congress, Velos, Greece.

[45] Hudson-Smith, A., Evans, S., Batty, M., & Batty, S. (2002). Online participation: the Woodberry Down experiment: Working paper (No. 60). London, United Kingdom.

[46] Bernoff, J., & Li, C. (2010). Social Technographics Revisited – Mapping Online Participation. Forrester Research.

[47] Krabina, B. (2016). The E-Participation Ladder – Advancing from Unawareness to Impact Participation.
In P. Parycek & N. Edelmann (Eds.), CeDEM16: CeDEM16 Proceedings of the International Conference for E-Democracy and Open Government 2016 (pp. 75–81). Danube University Krems, Austria.

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[49] Turken, A. O., & Eyuboglu, E. E. (2021). E-participatory Approaches in Urban Design. Journal of Contemporary Urban Affairs, 5(2), 169–182. https://doi.org/10.25034/ijcua.2021.v5n2-2

[50] Kingston, R. (2002, July 10). The role of e-government and public participation in the planning process.
In AESOP (Chair), XVI AESOP Congress, Velos, Greece.

[51] Schoßböck, J., Rinnerbauer, B., & Parycek, P. (2018). Digitale Bürgerbeteiligung und Elektronische Demokratie. In M. Leitner (Ed.), Digitale Bürgerbeteiligung (Vol. 10, pp. 11–40). Springer. https://doi.org/10.1007/978-3-658-21621-4_2

[52] Schinagl, M. (2022). Digitale Stadtplanung: Alltag und Räume technisierten Planens (1. Auflage). Re-Figuration von Räumen: Vol. 6. transcript.

[53] van Maarseveen, M., Martínez-Martín, J. A., & Flacke, J. (Eds.). (2019). Gis in sustainable urban planning and management. CRC Press. https://search.ebscohost.com/login.aspx?direct=true&scope=site&db=nlebk&db=nlabk&AN=1975649

are increasingly involved in a participatory way in the creation of digital content, e.g. in web-based online GIS and PPGIS systems[54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69].

In recent years, and increasingly due to the contact restrictions in the wake of the Corona pandemic, digital participation processes have gained in importance. Digital methods and tools of participation have been (further) developed and now complement traditional processes and analogue methods[70]. Numerous publications in scientific journals[71 72 73 74 75]

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[54] Babelon, I. (2021). Digital participatory platforms in urban planning [Dissertation]. Northumbria University, Newcastle.

[55] Bakowska-Waldmann, E., Brudka, C., & Jankowski, P. (2018). Legal and organizational framework for the use of geoweb methods for public participation in spatial planning in Poland: experiences, opinions and challenges. Quaestiones Geographicae, 37(3), 163–175.

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[64] Kahila-Tani, M. (2019). Does mapping improve public participation? Exploring the pros and cons of using public participation GIS in urban planning practices. Landscape and Urban Planning(186), 45–55.

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[66] Steen Møller, M., & Stahl Olafsson, A. (2018). The Use of E-Tools to Engage Citizens in Urban Green Infrastructure Governance: Where Do We Stand and Where Are We Going? Sustainability, 10(10), 3513. https://doi.org/10.3390/su10103513

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but also handbooks[76] [77] [78] [79] describe the development and application of digital methods and tools in participatory urban planning and development.

4.3 Assessment of strategies by Delphi experts

As part of the second Delphi round, we asked experts (n=30) not only for feedback for the definition of a Superblock but also for an assessment of participation methods, level of participation, and visualization methods. A subset of these questions were also asked to participants of a workshop at ULL Wien Lichtental (non-representative, n=20). An extensive report of the Delphi results is included to this Deliverable as an Appendix and from the ULL Wien Lichtental in Deliverable 5.4.

Most experts perceive 'collaboration' (48%) as a sufficient level for citizen engagement in a Superblock transformation process. The second most mentioned level is 'empowering' (30%). A similar result is obtained by the results of the workshop. Almost 47% favor collaboration, whereas involvement and empowering are mentioned by 26% and 22% as preferred level of engagement, respectively (see Figure below).

The Delphi experts consider the following aspects important when **selecting an engagement strategy** in a **bottom-up scenario**:

- Outreach - how as many people can be addressed and involved
- Inclusiveness - potential to integrate different groups, perspectives, and life worlds into the
- planning process
- Accessibility - how low-threshold the method is
- Interactivity, mutual exchange, and communication - possibility to communicate, learn about and understand expected benefits
- Extent to which people can experience urban transformation in real space and time and immerse themselves in alternative futures
- Creative potential to stimulate imagination and trigger behavior change
- Likelihood to achieve project ownership by residents
- Achieved results: feedback collected; agreements reached etc.

In a **top-down scenario**, the following criteria for **selecting an engagement strategy** are considered important:

- Outreach - how as many people can be addressed and involved
- Time requirement
- Feasibility, strongly related to costs
- Reduction of complexity - making content (and what is gained rather than loosed) easy to understand
- Seriousness and genuine interest with which the respective city authority is at work
- Possibility and way of a mix of methods/ physical and digital formats
- Awareness that digital (social) media can be misused

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[76] Hertling, J., Markiewicz, V., John, P., & Rochholl, D. (2020). Partizipation & Pandemie. Berlin.

[77] Rosenbichler, U., Grünwald, A., Kallinger, M., Edelmann, N., Albrecht, V., & Eibl, G. (2020). Grünbuch: Partizipation im digitalen Zeitalter. Bundesministerium für Kunst, Kultur, öffentlicher Dienst und Sport (BMKÖS).

[78] Schoßböck, J., Rinnerbauer, B., & Parycek, P. (2018). Digitale Bürgerbeteiligung und Elektronische Demokratie. In M. Leitner (Ed.), Digitale Bürgerbeteiligung (Vol. 10, pp. 11–40). Springer. https://doi.org/10.1007/978-3-658-21621-4_2

[79] Silva, C. N. (Ed.). (2010). Handbook of research on e-planning: Icts for urban development and monitoring. IGI Global (701 E. Chocolate Avenue Hershey Pennsylvania 17033 USA). http://services.igi-global.com/resolvedoi/resolve.aspx?doi=10.4018/978-1-61520-929-3 https://doi.org/10.4018/978-1-61520-929-3

- Phase of the planning process
- Extent to which people can experience urban transformation in real space and time and immerse themselves in alternative futures
- Likelihood to achieve project ownership by residents
- Achieved results: feedback collected, agreements reached etc.

5 Conclusion

Since strategies to initiate sustainable behavioral change must start with effective communication and dissemination of (mobility-)relevant information, the *pro:motion* typology addressing group specific information needs is a promising starting point to reflect different ways of involving citizens in Superblock transformation processes. It provides a basis for target group-specific interventions taking into account essential mobility-related attitudes and behavior patterns and therefore can be used to address certain groups, e.g., groups which are most likely to change their behavior towards climate-neutral mobility if the right arguments and incentives are given.

The analysis of citizen involvement strategies according to *pro:motion* types provides insights into the civic opinion-forming processes leading to a certain image of specific modes of transport, as well as into group-specific information retrieval. It thus shows how (sustainable) mobility options can be communicated within social groups and how promotion / encouragement strategies for changing mobility behavior can be developed on the basis of attitude-related motives.

The willingness to adapt the own mobility behavior and to consider alternatives to the private car in everyday mobility is assumed to be strongly correlated with the openness to an urban transformation process towards traffic-calmed planning concepts, such as that of the Superblock. The idea of the Superblock is currently considered in the context of the urban area, which is why mobility information types that are mainly prevalent in rural areas do not have to be prioritized for the first instance. This concerns the *Digital Illiterates*, *Low Demand*, and *Interested Conservatives* group, whose involvement strategy should be through direct conversations and print media. Nonetheless, it is important to deal with their perspective since they might be strong opponents to the Superblock concept. The *Spontaneous – On the Go* and *Efficiency-Oriented Information Pickers* types, which are dominant in urban areas, can be reached well via digital media. Both types respond more to rational, economic arguments, while the *Highly Informed Sustainability* type is more interested in ecological motives and backgrounds. A detailed description and recommendation of involvement methods which are suitable for each pro:motion type will be given in Deliverable 4.2.

The most important actors besides citizens are administrative and political decision-makers. Administrations can promote or delay the realization of Superblocks and are thus decisive for the seamless implementation of a transformation process. Citizens usually cannot influence administrations directly, but only through political leaders. Therefore, political decision makers are one of the most important groups that can enable the realization of Superblocks. They can be convinced to support a Superblock project if they sense a general acceptance for the idea in the population and especially in the affected neighborhood. From the perspective of a bottom-up movement, making this support credible is therefore a top priority.

Business owners can be involved in two ways. Associations (such as the Chamber of Commerce) can be consulted for the general design of Superblocks, while local business owners should also be involved in the actual implementation of a project. Their concerns about possible loss of sales and difficulty in accessing their business can best be addressed by proposing targeted solutions for their business.

Media stakeholders can act on their own initiative and report objectively about the Superblock issue but also comment in a positive or negative way. In doing so, they can make the public discussion present, but their soft power can complicate or facilitate the process depending on their point of view.

Public service providers are optional stakeholders that can be included in a Superblock transformation process. Their involvement is advisable to think through potential implementation difficulties, such as access to fire lanes and trash rooms, up front to minimize risks that could derail a Superblock project from the start.

The research team can also optionally be involved in the process. The experts' role is not directly that of a facilitator, but they bring a fresh perspective to implementation by looking at the concept in the big picture. Their approach and methods provide a neutral view of an implementation concept, which can be helpful in the debate over the implementation of a Superblock.

Other interest groups form communities of interest that operate either at the national level (e.g., auto or bicycle advocacy groups) or at the very local level (e.g., NIMBYism). Since their opinions in favor or against a project are often very extreme, participation is often somewhat cumbersome. Nevertheless, the experiences from the projects show that the conversation and discourse with them is often worthwhile, even if there is no consensus of opinion in the end.

The introduced concepts for distinguishing the level of participation help to clarify the intention of the engagement strategy. It is legitimate to restrict the level of participation since initiators of an engagement process often do not have the power to deliberately decide about it. The level of engagement needs to be clearly communicated to stakeholders to prevent a disillusion.

Annex A: Second TuneOurBlock Expert Survey: Report on involvement strategies and participation methods

TuneOurBlock

Second TuneOurBlock Expert Survey: Report on involvement strategies and participation methods

Authors: Flora Fessler (AIT), Johannes Müller (AIT)

Date: October 2022

Executive Summary

This report presents the detailed results of the second expert survey conducted as part of the TuneOurBlock project. With involvement strategies and participation methods at the heart of the survey, the main objective is to gain insights into citizen engagement and communication strategies in the context of urban transformation processes as driven by Superblock developments.

While the first main part of the survey focuses on the experts' knowledge and experience in the field of involvement strategies, including target group-specific approaches, different levels of participation and the usefulness of specific methods in two different scenarios, the second part asks about the potential of visual representations as communication tools. It also explores the relevance of Superblock-specific indicators used in the collaborative assessment of planning options.

The results show that almost two thirds of the respondents not only have knowledge and experience with involving stakeholders (especially citizens) in the planning and implementation process of Superblocks in theory or practice, but also with target group-specific approaches to reach different target groups. These groups are preferably identified and addressed along mobility-specific characteristics, age and gender, but also less obvious aspects such as ethnicity or caring responsibilities are mentioned. While the main benefits of a target group specific approach are seen in its characteristics as an inclusive and needs-based approach that emphasises a multivocal process of mutual understanding and creative exchange of local knowledge, the high investment of time, energy and money required is highlighted as the main drawback.

The experts are very much in agreement that as many groups as possible should be included in the co-creation of Superblocks. Half of them vote for the participation level of "collaboration" to be achieved in the implementation process and about a third for "empowerment". Here, the role of planning experts and local authorities in strategic decision-making is seen as a crucial factor.

The evaluation of the usefulness of exemplary communication and participation methods for initiatives (bottom-up scenario) and city administrations (top-down scenario) to raise awareness and encourage residents to participate showed a very good evaluation of tactical urbanism methods as well as walking tours. These are also associated with less risk of bias that specific groups are overlooked or not involved. While in the first scenario, there is a preference for interactive on-site methods, in scenario 2 the use of digital visualisations and interactive digital planning tools are considered slightly more useful. However,

many experts stress that it must always be a mix of methods combining both physical and digital formats. Aspects that were taken into account when evaluating the usefulness of a method included, for example, the creative potential or the possibility to develop project ownership, in addition to the achieved outreach, low-threshold access, interactivity and inclusivity.

The final evaluation of the various visual representations of Superblock projects showed high approval for augmented reality tools used in real space, followed by 2D plans, renderings, and virtual reality visualizations. The number of trees and the percentage of greening can be mentioned as indicators that are considered most relevant by the experts in their communication with citizens when evaluating planning options for the transformation of a neighborhood. Nevertheless, in their opinion, the personal perspectives, for example of drivers who insist on their parking spaces, should also be reflected and possible alternatives should be pointed out. Besides, additional indicators such as spaces for playing, meeting or resting were proposed in order to *"reflect the richness of the Superblock potential."*

1 About the survey

After the initial expert survey on Superblocks was conducted in spring 2022, the TuneOurBlock project consortium decided to launch a second in-depth round with a special focus on involvement strategies and participation methods. For this purpose, the expert panel consisting of recognised academics and practitioners in the field of sustainable urban development and mobility was extended by further selected experts from the field of stakeholder involvement and participatory urban development. Finally, in addition to the 90 experts already contacted in the first round, 23 more were invited to participate in the second round of the survey.

1.1 Objectives

The anonymously conducted 15-minute survey had two objectives. On the one hand, the experts were invited to contribute their knowledge and experience to support the consortium in verifying and completing the definition of a Superblock based on the expert' opinion in the first round of the survey, and on the other hand, to gain insights into citizen engagement and communication strategies in the context of urban transformation processes as driven by Superblock developments. The estimated expertise of the participants will thus help to confirm or challenge assumptions made by the project team and will feed into the identification of involvement strategies for various stakeholder groups.

1.2 Methodology and preparation of the questionnaire

The basic framework of the survey was designed in parallel to the task of analysing involvement and communication strategies for stakeholders by the partners ZRC SAZU/Research Centre of the Slovenian Academy of Sciences and Arts and AIT Austrian Institute of Technology, which was followed by several revision loops and the detailed formulation of the questionnaire. The final draft was sent back to the Delphi Core Group via the online survey platform 1KA (as in the first survey) and the feedback was collected via comments. The revised survey was then sent out between June and July 2022 (including a reminder) and closed on 19. August 2022.

Among the 111 experts who we were able to contact, 42 participated in the survey, from whom 22 already took part in the first round. 36 provided a full response and 6 of them answered only to certain questions. The response rate for this topic-specific survey was therefore 37.8 %.
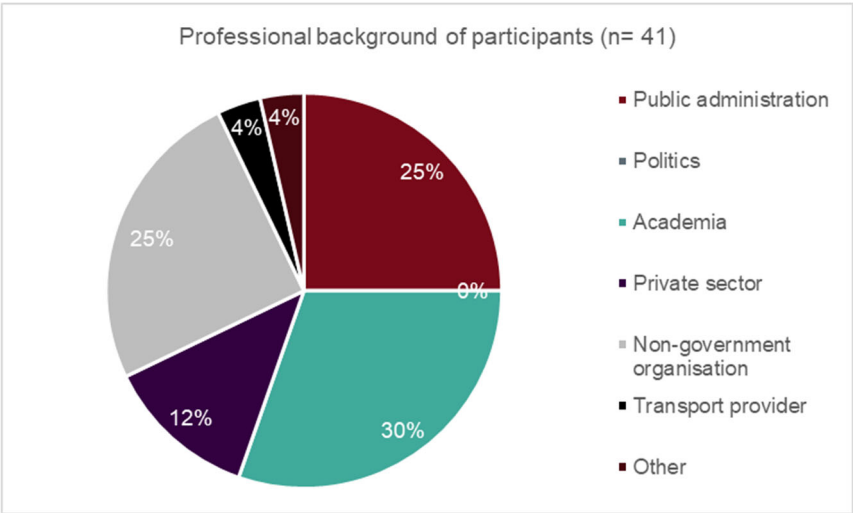
1.3 Structure of the survey

At the beginning of the questionnaire, as in the first survey, some informative data (on gender, professional background, years of experience, country of residence and familiarity with actually implemented Superblock projects) was asked before focusing on the participants' opinions regarding the preliminary Superblock definition (see separate report). The following two main parts of the survey consisted of closed and open questions on knowledge or experience with involvement strategies in the planning and implementation process of Superblocks or similar urban interventions as well as on target group specific approaches and on opinions in relation to the level of participation required for the implementation of Superblocks. The latter part was supplemented by an evaluation of the applicability of participation methods in two different scenarios. The survey concluded with a final part on the estimation of the usefulness of visual representations as communication tools and the evaluation of the relevance of indicators for the collaborative assessment of planning options.

2 Results

2.1 Structure of participants

In terms of **gender**, the sample was relatively balanced with 19 female and 23 male participants. Looking at their **professional background**, it can be said that most of them come from the academic sector (17

mentions), closely followed by public administration (14 mentions) and non-governmental organisations (14 mentions). The remaining participants come from the private sector (7 mentions) and the transport sector (2 mentions) as well as other backgrounds (2 mentions: multilateral organisation and think tank), none from politics.

Gender of participants (n= 42)

- Female - Male

Professional background of participants (n= 41)

- Public administration
- Politics
- Academia
- Private sector
- Non-government organisation
- Transport provider
- Other
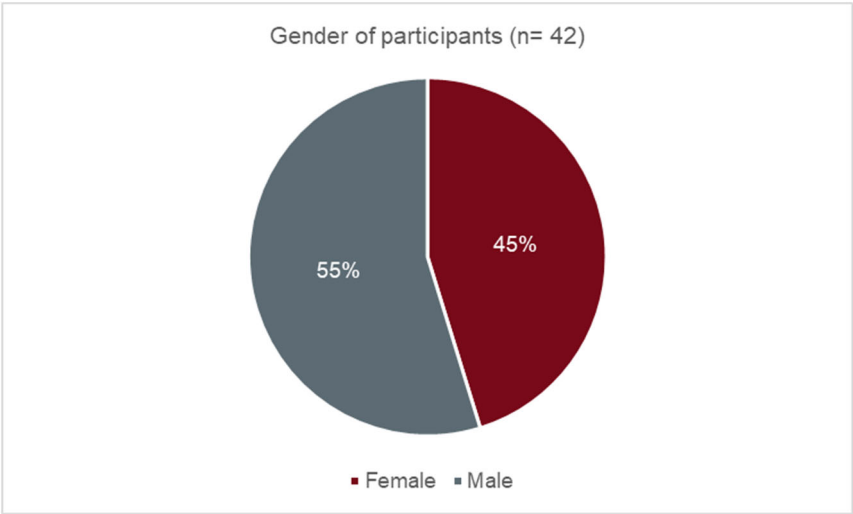
37 experts have at least five **years of professional experience**, 16 of them between 15 and 30 years. Most of the European experts, the majority of whom are from Austria, followed by Spain, Slovenia and Germany, confirmed that they are quite **familiar with actually implemented Superblock projects**. Among the participants, Superblock implementations are known mainly through professional discourse (among colleagues, at conferences, etc.) (31 mentions, 82% of all 38 participants who answered that question), but also through popular media (newspaper or blog articles, etc.) (23 mentions). Also, around 50% of the respondents know them from reading peer-reviewed literature dealing with this concept. 45% have already visited actually-implemented Superblock projects in Barcelona or other Spanish cities or have used Superblocks as a reference for their professional work. 10 experts confirm that they have already worked on Superblock projects (in Barcelona, other Spanish cities or adaptations in other countries) and somewhat less that they have done academic work on it. In addition, some other touch points are mentioned, e.g. higher education, in which it is taught as an example of best practice of sustainable urban development and mobility transition.

2.2 Validation of Superblock concept

This part of the survey results validating the definition of the Superblock concept, including the final development of the definition, is available in a separate document provided by Jernej Tiran. and Joshua Grigsby. For further insight, please consult the attached **Report on Superblocks Concept Definition**.
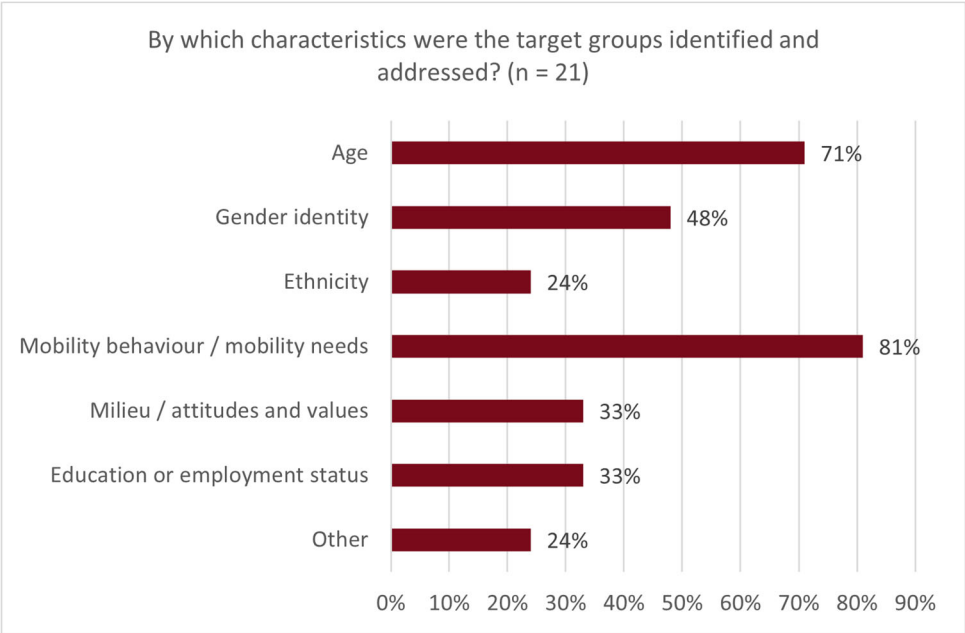
2.3 Involvement strategies

In this section, participants are asked about citizens' involvement strategies and methods. Almost 60% of the experts (n = 36) have confirmed that, in theory and practice, they have **knowledge or experience with the involvement of stakeholders (especially citizens) in the planning and implementation process of Superblocks or similar urban interventions**. While 25% of the respondents have knowledge or experience mainly from a theoretical point of view, only 14% confirm a practical point of view. 3% show no knowledge or experience in this field.
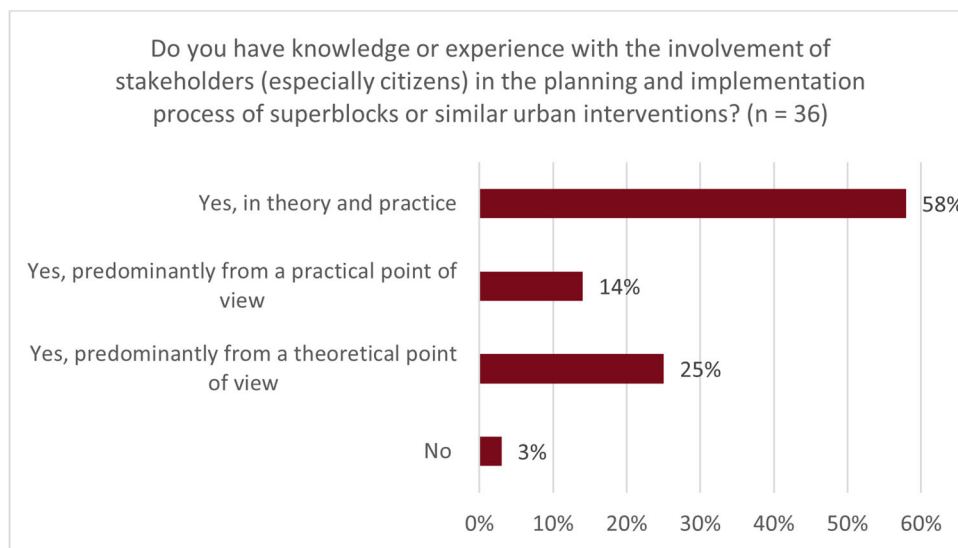
About 60% of the experts questioned (n = 36) have **knowledge or experience with target group specific approaches to reach different target groups** (e.g. young people, drivers, etc.), while the rest are not familiar with the use of tailored communication and participation strategies and methods.
The multiple choice question on **which characteristics were used to identify and address the target groups** shows a preference for mobility behaviour and mobility needs (17 mentions), followed by age (15 mentions) and gender (10 mentions). Seven experts each mention Milieu/ attitudes and values and education or employment status as decisive characteristics for identifying and addressing the target groups, and five highlighted ethnicity as a decisive characteristic. Under "other" characteristics, possible care obligations and care dependencies/ handicaps were mentioned, as well as a thematic focus (keyword problem ownership) or a spatial focus (on residents of a certain district), which was applied when it came to determining the target groups more precisely. These statements are of course highly contextual and dependent on the research questions addressed as well as methodologies used. For example, one expert focused on all age groups and different gender identities when randomly addressing people walking past certain public places or living in a specific urban housing estate.

Do you have knowledge or experience with target group specific approaches (the use of tailored communication and participation strategies and methods) to reach different target groups (e.g. young people, car drivers etc.)? (n = 36)

- Yes
- No

42%

58%

By which characteristics were the target groups identified and addressed? (n = 21)

Characteristic	Percentage
Age	71%
Gender identity	48%
Ethnicity	24%
Mobility behaviour / mobility needs	81%
Milieu / attitudes and values	33%
Education or employment status	33%
Other	24%

In response to the open question about the **main benefits or drawbacks of a target group-specific involvement process**, relatively varied feedback is given, but with a noticeable majority of answers emphasising the advantages rather than the disadvantages. Often, however, both sides of the coin were highlighted at the same time.

Focusing first on the **advantages** mentioned, it is particularly striking that for several respondents a target group-specific involvement process represents a needs-based approach that allows experts to better understand what (conflicting) needs, ideas and attitudes, but also concerns are present in order to respond to those effectively.

If *"meaningful engagement"* is done correctly, as one respondent states, including different perspectives and voices in the process can ensure mutual appreciation and support for the project and thus help to increase acceptance: *"Integrating different communities helps the project and the changes to be better accepted."* Making the target groups feel listened to and valued is mentioned as a key element of such a multivocal process. It can serve as a window of opportunity to exchange information and experience in both directions – between experts (explain objectives, give arguments etc.) and target groups, but also between particular groups, who are sensitised to each other's needs. In addition, it is also seen as an

opportunity to reach consensus on certain planning goals. Here, some experts agree that if appropriate occasions and a safe framework for this kind of exchange at eye level can be created, including considerations on the target group-specific use of language (sophistication/ simplification) and communication tools (media), then creativity as well as *"flexibility of ideas"*, as one expert puts it, can flourish. A nice side effect is that this can be used to signal that the process is about *"real communication and not a ticking box game"*. This will eventually lead to better articulation and consideration of needs of different user groups and therefore to more specific solutions as well as to an overall increase in quality, experts argue.

While in such a negotiation process with different target groups not only mutual understanding but also the willingness to compromise can be promoted, processes focussing on a single interest group (stakeholders such as citizen initiatives, cycling activists etc.) may allow to pick up very specific (local) knowledge about a neighborhood as well as to *"work on another level of detail in regard to specific topics"* compared to *"groups of mixed levels of expertise and interest"*, as pointed out by a respondent.

For most experts there is no doubt that with the help of target group-specific involvement processes urban planning as a very abstract topic can be broken down to a local level and made understandable and comprehensible to several groups of citizens. But what is valued even more in addition to the mere reduction of the complexity is that they make different life worlds and thus local knowledge (about area-specific challenges and solutions) accessible.

According to several respondents, another very important advantage of target group-specific processes is that they promote an inclusive approach to planning by ensuring that different population groups or people who are often excluded from public space and discourse, e.g. policy discussions, participate as equally as possible. For example, such processes can be used to *"[...] reach out to groups who are less likely to participate in the typical events of a participatory process (e.g. elderly people who are less mobile, children and teenagers)"*, as one expert points out. Thus, this leads to the conclusion that *"Being able to involve those you would not normally get involved is one major benefit."* Put differently by another expert, the focus of target group-specific processes should be on heterogeneous (mobility) needs to *"result in a better balanced plan that suits more people, while still keeping the focus on the main purposes."*
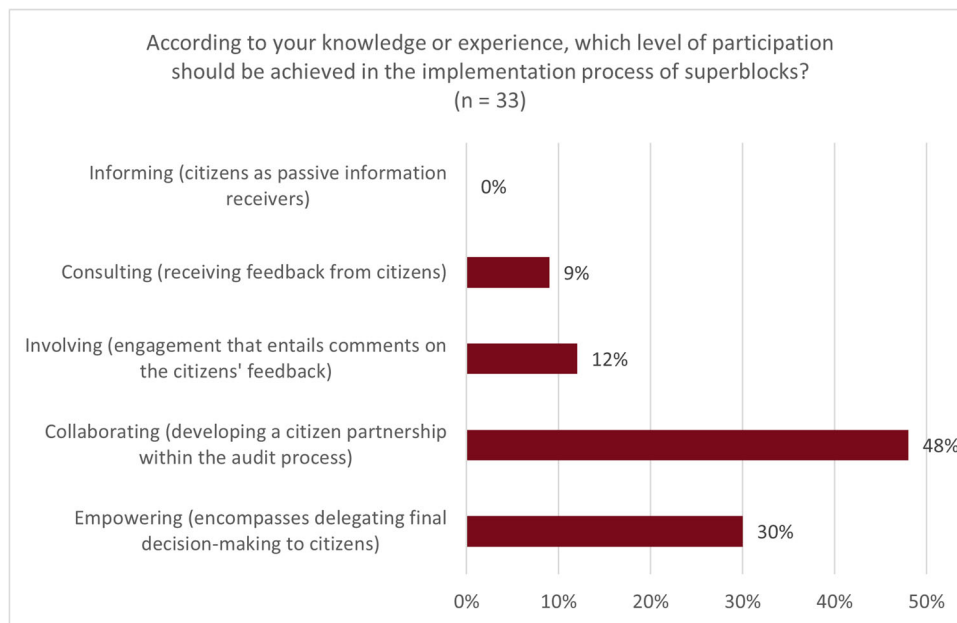
While target group-specific involvement strategies allow *"to tailor a message and arguments to specific groups"*, to effectively distribute information according to communication needs (i.e. informing car drivers that restrictions are coming into force), and therefore have the potential to produce more meaningful feedback, they on the downside are associated by some experts with significant workload. First of all, the argument is brought forth, that *"the selection of groups needs to be made very carefully, otherwise discontent may arise from the choice: e.g. why did we talk to cycling activists, but not to the automobile lobby, etc."* This is not necessarily seen as a clear disadvantage, but as a challenge to *"look for more depth, nuance and creativity in measures and solutions"*. Nevertheless, one of the major **drawbacks** mentioned in relation to designing target group-specific involvement, especially when combined with creative processes, e.g. artistic and playful interventions or tactical urbanism, is the high investment of time, energy and budget. However, as one comment stressed, time is an important resource that must be spent to properly understand local needs and prevent wrong conclusions. This leads to the conclusion: *"both a benefit and a drawback is the increase of time/energy spend on consultation, engagement and information gathering."* It is argued, that on the one side it allows for the involvement of multiple stakeholders, but, on the other side, it could also mean less time for actual implementation, in terms of achieving ambitious targets by a certain date, which is crucial for local authorities. Last but not least, it is mentioned that processes that focus only on one target group may be more in-depth, but are less open to other perspectives and give little room for negotiation and cross-fertilisation. Thus, they remain stuck in a silo thinking and risk not being able to take a holistic view, one expert fears.

The various **statements on involvement strategies for engaging citizens in the co-creation of Superblocks** made in the last question of this section achieve a medium to high level of agreement (average scores between 2.5 and 4.6 on a 5-point Likert scale). The statement with the highest level of agreement concerned the inclusion of as many groups as possible (also vulnerable groups) (4.6), while it is considered less important to design involvement strategies in a target group-specific way in order to reach particular population groups (3.7). High levels of agreement are also achieved by the statements highlighting the aim of convincing citizens to redistribute public space towards a higher share of active modes of mobility (4.4) as well as raising awareness of the share of public space reserved for cars (4.3). Also, the statement that citizen involvement strategies in the co-creation of Superblocks should tailor the use of communication and participation methods to the information needs of different citizens reaches high consensus (4.1). While there is general agreement that these strategies should serve to avoid conflict between the groups affected by the transformation process (3.7) and to a similar extent aim to achieve the highest possible acceptance of the project (3.6), the statements on the primary focus on groups with the highest potential for behavioural change (2.9) and on orientation towards the wishes and desires of citizens (2.8) receive less agreement, and the statement on the cost-saving factor receives the least agreement.

Involvement strategies for engaging citizens in the co-creation of superblocks should ... (n = 33)
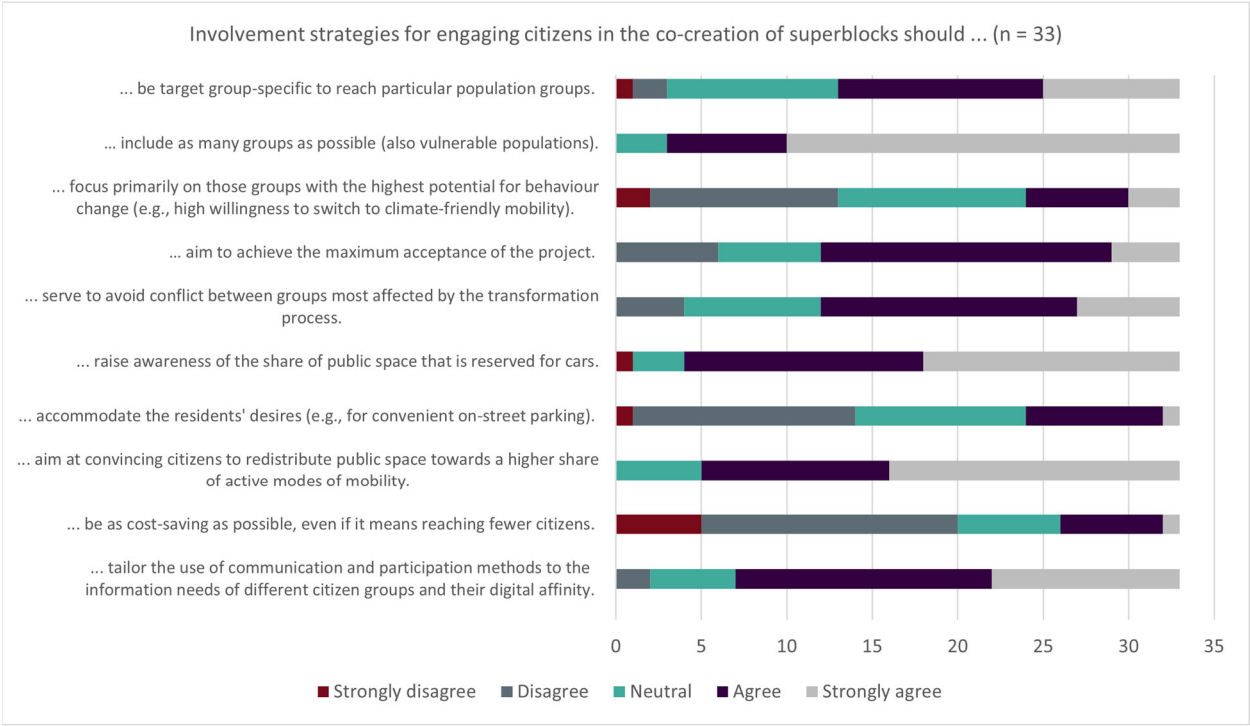
2.4 Participation methods

According to the knowledge and experience of almost half of the experts interviewed (16), "collaboration" is the **level of participation that should be achieved in the implementation processes of Superblocks.** For 30% (10), the level of "empowerment" is considered desirable. The level of "involvement", which includes comments to citizens feedback, and the pure "consultation" of citizens are rated lower at 12% (4) and 9% (3) respectively. None of the experts sees passive information reception as sufficient for the participation of citizens.
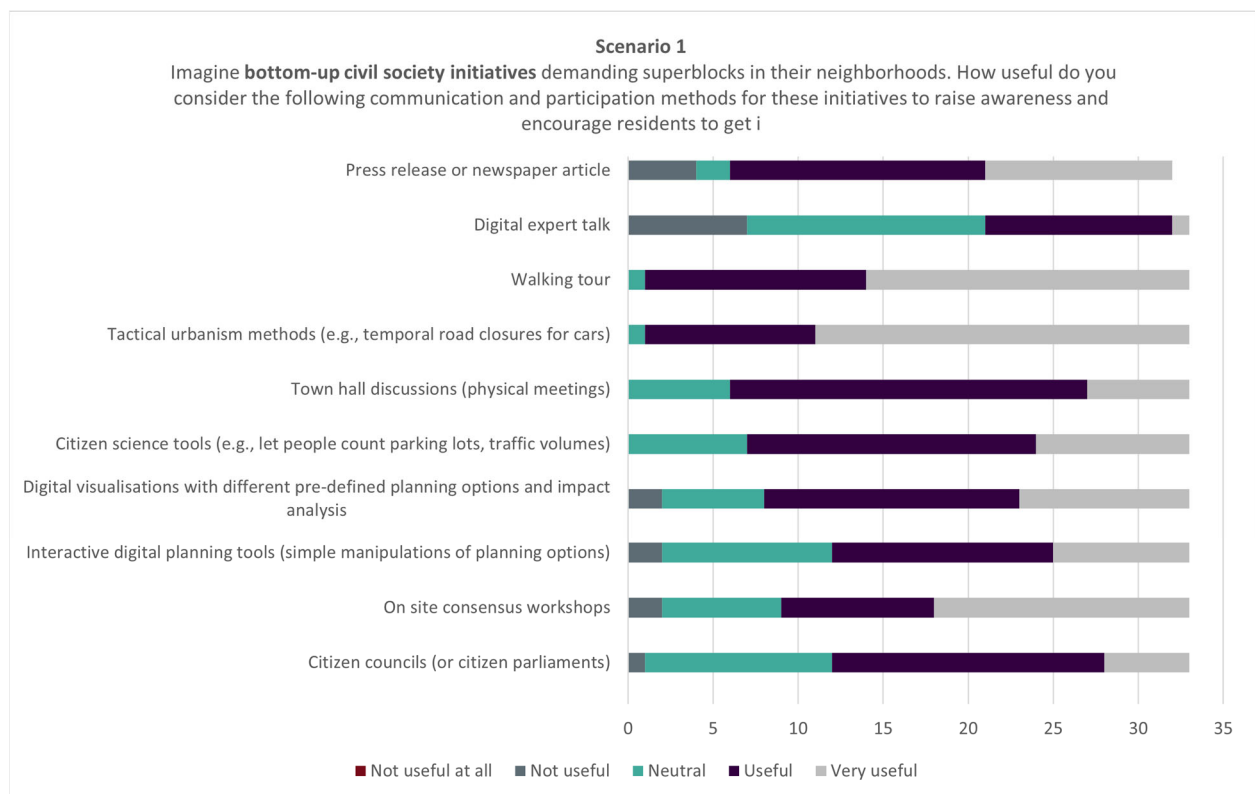
According to your knowledge or experience, which level of participation should be achieved in the implementation process of superblocks?
(n = 33)

Level	Value
Informing (citizens as passive information receivers)	0%
Consulting (receiving feedback from citizens)	9%
Involving (engagement that entails comments on the citizens' feedback)	12%
Collaborating (developing a citizen partnership within the audit process)	48%
Empowering (encompasses delegating final decision-making to citizens)	30%

The experts also commented on various reasons for their decision. The stages of **"informing"** and **"consulting"** are regarded as outdated concepts and often mean *"alibi-participation for political or municipal representatives"*. Many experts agree that **"involving"** is the minimum level to be reached "*to actually achieve behavioural change*". For them, involving citizens as much as possible in a decision-making process also means informing them in a transparent way and increasing the sense of project ownership before stakeholders work together on long-term, shared visions and agree on next steps to achieve goals. The move towards **"collaborating"** is particularly valued as it is seen as having the potential to strengthen *"the sense of ownership and responsibility"*, which can subsequently be *"fruitful when it comes to questions of repair and maintenance", as one expert points out*. Moreover, the proponents of collaboration explain their choice by arguing that by *"the rise of social media, echo chambers and misinformation even on small schemes can be rife and people can easily be influenced"* which makes them *"believe wrong information"*. However, it is critically noted that *"too deep"* or *"full"* participation, while certainly desirable, may not only lead to *"utopian or unrealistic demands"*, but may also stop or slow down the process, which is why it is suggested to limit the time of participation. The same applies to **"empowering"**, i.e. the delegation of decision-making power to citizens within a participatory process, as this requires lengthy and costly procedures designed to fully educate citizens, which is not feasible in most cases. It is considered important by many respondents that final technical and environmental decisions are not discussed in detail with the public and thus remain a matter of experts, especially as with their knowledge of technical requirements and environmental standards they are responsible for the successful implementation of transformation processes. The requirement of complex design and implementation of longer-term objectives in line with specific national, regional and local policies as well as skilful management of negative voices and naysayers through community pushback, are identified as important reasons for "collaboration" rather than "empowerment" as the level of participation to aim for. Even though the concern of many experts consulted is to proactively involve citizens and collaborate in order to incorporate their heterogeneous needs, wishes and abilities (also those of the traditionally marginalised) and thus initiate a mutual learning process, it is seen as crucial that the professional and elected officials, e.g. *"local authority, as democratically legitimate representative of the public interest"* takes the final (strategic) decision. Those experts who preferred "empowering" as participation level argue that in some (less technical or strategic) areas of the project, for example in the negotiation of street layout and design (apart from e.g. safety aspects), citizens should have the final say and thus

maximum participation can be achieved. Finally, this level *"guarantees the highest level of (project) ownership"* and thus bears the largest chance to *"win the hearts and minds, achieve acceptance"* among citizens.

In the following main part of this section of the survey, the experts were asked to imagine **two scenarios (Scenario 1: bottom-up, Scenario 2: top-down)** and accordingly assess the usefulness of exemplary communication and participation methods to raise awareness and encourage residents to get involved.

In the **first scenario**, where bottom-up civil society initiatives call for Superblocks in their neighbourhoods, the use of <u>tactical urbanism methods</u> and <u>walking tours</u> is seen as particularly useful for these initiatives to raise awareness and involvement among residents (average scores reaching from 4.5 to 4.6). It is precisely these two methods that were also rated very highly in the second scenario, with an average score of 4.5.

From the **perspective of civil society initiatives**, on site consensus workshops, citizen science tools, the use of digital visualisations showing different planning options, as well as more classical formats such as the use of analogue media (newspaper articles etc.) and town hall discussions are also seen as useful communication and participation methods (average scores between 4 and 4.1). While digital expert talks are rated as rather neutral (3.2), interactive digital planning tools (3.8) and citizens' councils or parliaments (3.8) are considered slightly more useful. In this first scenario, there is thus a slight preference for analogue on-site methods as opposed to digitalised forms of communication and participation.

Scenario 1
Imagine **bottom-up civil society initiatives** demanding superblocks in their neighborhoods. How useful do you consider the following communication and participation methods for these initiatives to raise awareness and encourage residents to get i
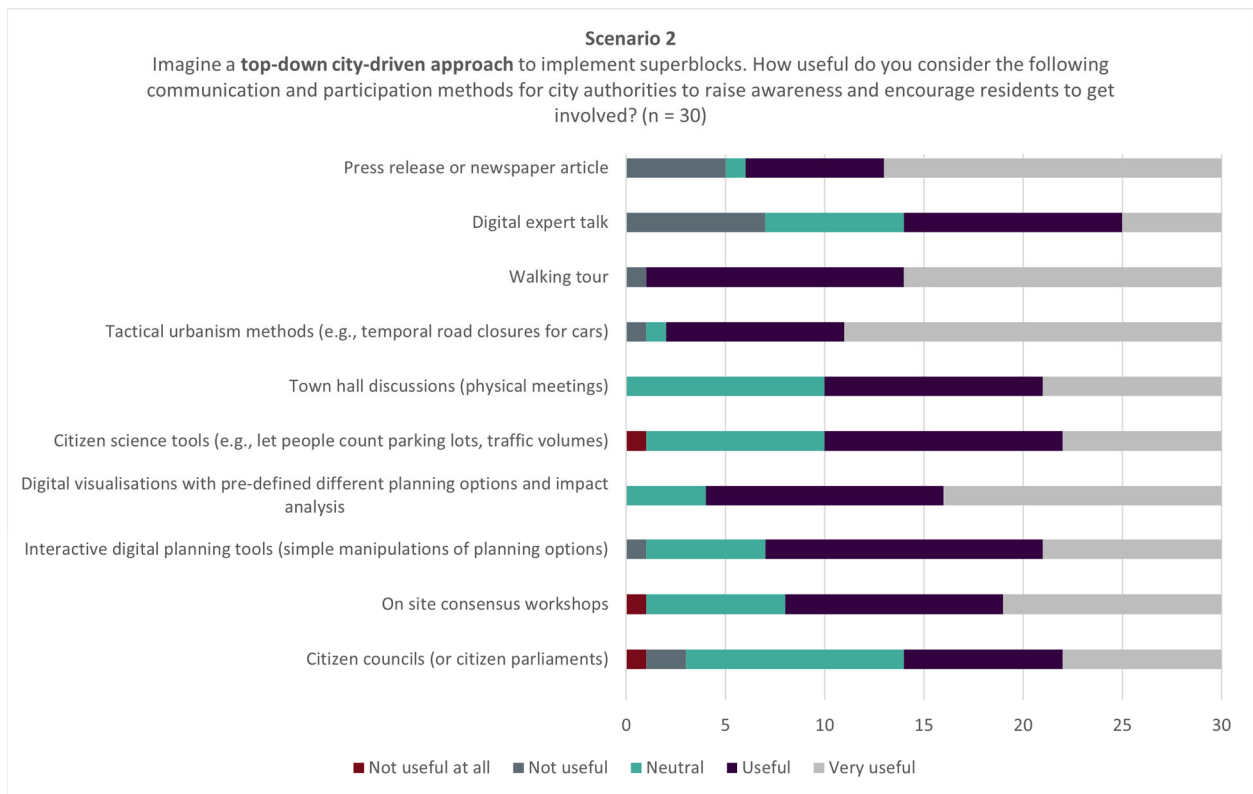
The experts see the amount of people reached (depending on low-threshold accessibility) and the time requirement as important reasons for the choice of the participation method. The interaction with people especially through face-to-face meetings is considered crucial in creating a *"feeling of trust and understanding".* Besides, when assessing the usefulness of the methods, emphasis was placed on the discursive aspect: (tangible) communicative formats of co-creative knowledge exchange are preferred to (virtual) expert frontal lectures, not least because of the detailed feedback to be expected. The former

enable communication beyond technical language and political jargon and convey the importance of the project for the everyday life of the residents. Finally, it is found that all methods should contribute in the best possible way to reducing scepticism and fears, stimulating the imagination and increasing acceptance. Case study visits, as additionally suggested, are considered a very suitable method for this, especially because they allow to convey a "sense of place" and the practical meaning of an urban transformation process.

Briefly summarised, the following aspects were considered when assessing the usefulness of a method in the context of a bottom-up scenario:

- Outreach - how as many people can be addressed and involved
- Inclusiveness - potential to integrate different groups, perspectives and life worlds into the planning process
- Accessibility - how low-threshold the method is
- Interactivity, mutual exchange and communication - possibility to communicate, learn about and understand expected benefits
- Extent to which people can experience urban transformation in real space and time and immerse themselves in alternative futures
- Creative potential to stimulate imagination and trigger behaviour change
- Likelihood to achieve project ownership by residents
- Achieved results: feedback collected, agreements reached etc.

From the **perspective of a top-down city-driven approach to implement Superblocks** the use of digital visualisations with pre-defined planning options and impact analysis (4.3) as well as interactive digital planning tools that allow simple manipulations of planning options (4), but also media coverage (press release or newspaper article) (4.2) are assessed by the experts as slightly more useful than in scenario 1. On site consensus workshops and town hall discussions receive a similar level of approval (4), citizen science tools (3.9) discreetly less, but are still interpreted as rather useful and citizens' councils (3.7) are rated somewhere between useful and neutral by most experts. Digital expert talks (3.2) are again in last place and on average are rated as rather neutral in their usefulness for city authorities to raise awareness and encourage residents to get involved in Superblock implementation processes.

Scenario 2
Imagine a **top-down city-driven approach** to implement superblocks. How useful do you consider the following communication and participation methods for city authorities to raise awareness and encourage residents to get involved? (n = 30)

Several experts mention that participation processes initiated from top-down, and thus also methods used, are similar to those initiated from bottom-up. Either way, there should be a hands-on involvement of the people affected that contributes to the understanding of alternative options and physical experience of change.

Nevertheless, some in this second scenario assume a different level of participation to aim for: One expert argues that it is more about *"informing people and taking them [...] on the journey of how a proposal/decision is reached"*. In general, the distribution of information about the "what, how and why" of a project is based on a certain idea of efficiency: to reach as many people as possible in as short a time as possible.

The evaluation of the usefulness of interactive formats is made dependent on whether the respective local authority is also believed to have sincere interest in new ideas by the general population. Only then can the method be considered valuable and meaningful, according to an expert. Another respondent mentions that the physical presence of a representative to answer questions is important in the top-down approach.

Briefly summarised, the following aspects were considered when assessing the usefulness of a method in the context of a top-down scenario:

- Outreach - how as many people can be addressed and involved
- Time requirement
- Feasibility, strongly related to costs
- Reduction of complexity - making content (and what is gained rather than loosed) easy to understand
- Seriousness and genuine interest with which the respective city authority is at work
- Possibility and way of a mix of methods/ physical and digital formats
- Awareness that digital (social) media can be misused
- Phase of the planning process

- Extent to which people can experience urban transformation in real space and time and immerse themselves in alternative futures
- Likelihood to achieve project ownership by residents
- Achieved results: feedback collected, agreements reached etc.

Finally, the experts were asked to assess the **risk of bias that specific groups are overlooked or not involved when using a certain method**. This risk was assessed highest for the digital expert talks (4.1), followed by media coverage (3.7) and physical town hall meetings (3.7), as well as on site consensus workshops (3.3) and digital planning tools (3.3). A moderate risk is seen for the use of digital visualisations of different planning options (3.2), citizen councils (3.1) and citizen science tools for awareness raising (3.1). Walking tours (3) and especially tactical urbanism methods (2.4) are on average associated with less risk of bias, which most likely explains their good score in Scenario 1 and 2.

How high would you rate the risk of bias that specific groups are overlooked or not involved when using a certain method? (n = 31)
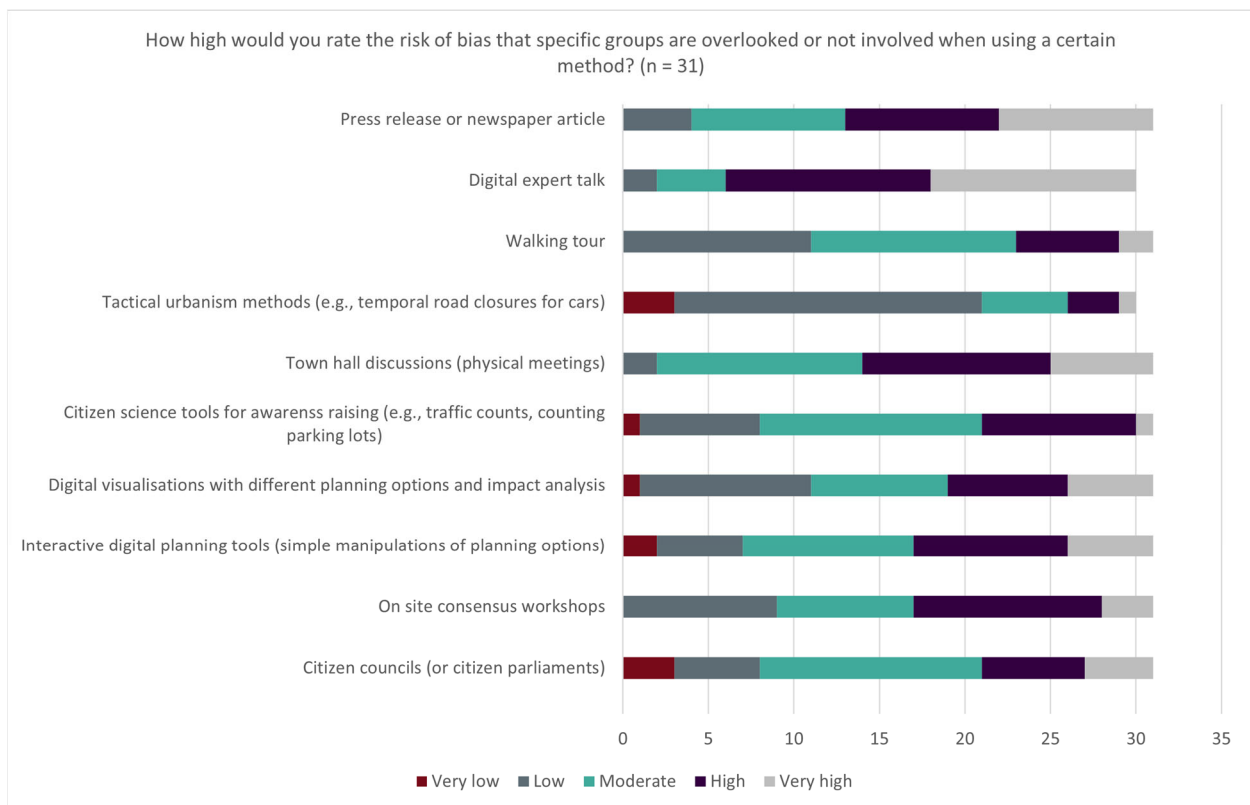
The experts' comments on their assumptions suggest that the lowest risk of bias is seen in applying a *"double strategy"* by combining both physical and digital methods, such as social media presence, citizen assemblies and tactical urbanism methods. The latter is seen as the best suitable tool among the physical participation methods, because it allows to *"experience (and if needed be critical of) change"* as well as to *"reach all kinds of people, those who are in favour and those who are against, those who are involved and those who are not"*. On the one hand, face-to-face interaction and on-site activities, which allow for spontaneous participation, are considered to have a lower risk of bias due to their low-threshold nature. Online activities, on the other hand, are seen critically, as their use requires a certain technical know-how and equipment. One expert concludes: *"In general, a diverse offer with several elements is a good approach in order to reach as many different groups as possible."*

Another factor mentioned that influences the risk of bias of people being overlooked is the unconsidered time resource of some groups of people, because people who have to fulfil *"professional or family obligations"* are usually less present at participation events. More importance should therefore be attached to the time and place of the event as well as to multilingualism, as one expert suggests. For

example, a series of multi-local and multi-temporal pop-up events are proposed to achieve *"a healthy mix of people from different groups."*

2.5 Visualisation and communication

As a final part of the survey, the participants are asked about their **assessment of indicators of the transformation of public space when communicating with citizens** as well as visualisation methods during the involvement.

The indicators presented, whose relevance is to be assessed are quantitative indicators that can be integrated into a digital participation tool when presenting different planning solutions to non-experts. Such a tool is currently being developed at AIT, which is why the results of the Delphi survey are directly relevant for research.

The indicators that are easy to understand and calculate, such as the number of trees planned and green space, are rated as the most relevant (scores of 4.4 and 4.3 on a 5-point Likert scale). Access to parks and number of parking spaces (4.1), as well as negative impacts from cars (4.2.) and estimated travel times for different modes of transportation (4) are considered important in the communication with citizens when assessing planning options for the transformation of a neighborhood. Less relevant for the experts are indicators such as solar radiation (3.7) and wind comfort (3.2), which are not transportation indicators but affect the micro-climate. Surprisingly, the estimated cost of a transformation (3.6) and the estimated number of passengers on the street (3.1) are also not considered particularly relevant.

In your opinion, how relevant are the following indicators in the communication with citizens when assessing planning options for the transformation of a neighborhood?
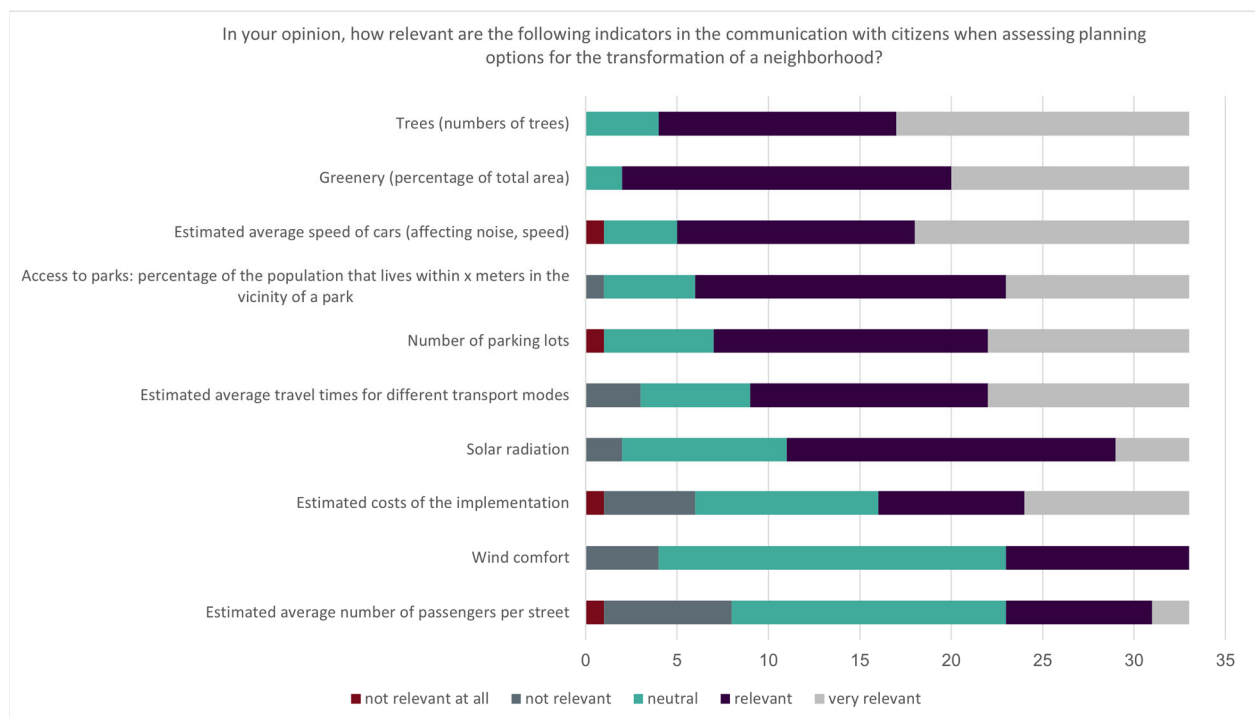
The experts emphasise that the indicators (and their effects) need to be presented from the personal perspective and that parallels to (best practice) examples are a convincing way to present the impact of a Superblock transformation. Some of the respondents highlighted that the indicators do not include other important topics to discuss such as health of residents, emergency access and accessibility for disables people but also more complex topics like gentrification and affordability. These are concerns that need to be considered alongside the mobility, environmental and economic impacts associated with the

indicators. Moreover, it is also crucial to some to include use-specific indicators such as spaces for playing, meeting or resting in order to *"reflect the richness of the Superblock potential."*

Visual representations are an important means to communicate a Superblock project (and its planning alternatives) to citizens. Therefore, experts are asked to assess the **usefulness of five different visualisation options**. By far the highest support is found for augmented reality (AR) tools (e.g. with smartphones or tablets) that work in reality (4.2). AR methods with city models are on the contrary assessed the least useful from all five methods though this method reaches the highest score (3.6) of neutral assessment. 2D plans (3.9) are ranked the second most useful method right before renderings (3.8) and virtual reality (VR) visualisations (3.8).

Renderings (photorealistic or virtual model) from user's perspective
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2D plans of the project and variations
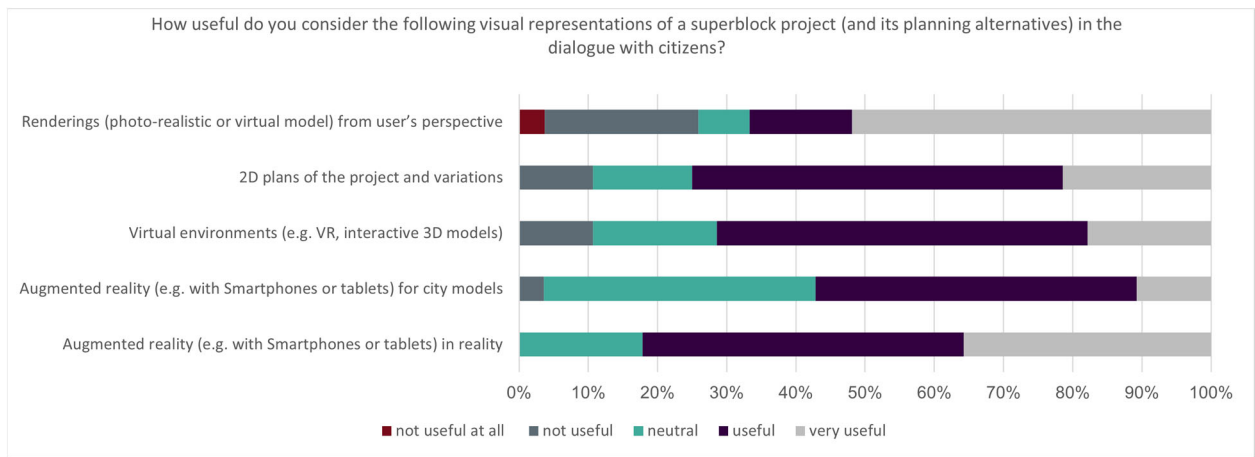© Studio Laut

Virtual environments (e.g. VR, inter-active 3D models)
© AIT

Renderings (photorealistic Augmen-ted reality (e.g. with Smartphones or tablets) for city models
© AIT

Augmented reality (e.g. with Smart-phones or tablets) in reality
© CIL

How useful do you consider the following visual representations of a superblock project (and its planning alternatives) in the dialogue with citizens?

Legend: not useful at all · not useful · neutral · useful · very useful

One of the experts comments that "*Renders are useful but also dangerous, [because] they can represent many different things, and people tend to be too hanged up on details and not on the overall concept*". Another person states that *"maps are sometimes difficult to read for lay people"* and therefore require simplification. It is also noted that the commitment and time of people nees to be considered and that complex VR environments are not necessarily "*punchy, quick and time-effective*".