Mobilise Your City

Topic guide

Participatory processes in urban mobility planning

For more information:

MobiliseYourCity Partnership Secretariat, Brussels

https://mobiliseyourcity.net/

email: contact@mobiliseyourcity.net

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Authors: Blanche Varlet, Caroline Cakir, Jean-Pierre Lannes, Espelia

Contributors: Nicolás Cruz González, MobiliseYourCity Secretariat; Suzanne Spooners, Agence Française de Développement (EUROCLIMA+) and Patricia Calderón, Fundación Despacio (EUROCLIMA+)

Reviewers: Anne Chaussavoine, Agence Française de Développement

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Introduction

The MobiliseYourCity Partnership

Since 2016, the MobiliseYourCity Partnership has become the leading global Partnership in increasing investment for sustainable transport solutions. Our Implementing Organisations, like the Agence Française de Développement (AFD) and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), are working with cities and countries all over the world to develop scalable solutions to improve mobility in complex environments.

Today, the Partnership has more than 65 partner cities with over 110 million people in 30 countries. Thanks to the contributions of the European Union, the Agence Française de Développement (AFD), the French Ministry of Ecological Transition (MTE), the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU), and the French Facility for Global Environment (FFEM), our contributing partners have mobilised 40 million euros in grants to support 43 cities and 12 country members with technical assistance and project preparation.

Participatory processes and co-construction in mobility planning

Co-construction is the driving force behind the Sustainable Urban Mobility Plans (SUMPs). Indeed, urban mobility planning does not solely rely on resolving technical issues. Still, it requires active mobilisation of stakeholders, users, and citizens to guarantee a tailored set of measures and effective implementation as part of a sustainable urban mobility instrument. Defining the future of urban mobility cannot result from a top-down approach, as no project or policy will be successful if the stakeholders are not engaged in its conception. Participation lies at the heart of the MobiliseYourCity methodology and should be deployed throughout the urban mobility planning process, starting with the organisation of MobiliseDays.

General approach

This topic guide aims to support practitioners (local authorities, mobility experts, consultants, international development officials) in conducting participatory processes for SUMPs preparation. A literary review and the analysis of five specific case studies (the SUMPs in Yaoundé, Antofagasta, Santo Domingo, Kisumu, and Zhytomyr) allowed the production of this topic guide. It provides insights on how to involve participants (stakeholders and citizens) and suggests resources and tools as key elements to consider when conducting a participatory process. Accordingly, the ambition of this document is not to provide ready-to-use solutions that could be replicated in every context. **This topic note aims to propose a methodology of reflection and a set of questions to ask oneself to build a coherent, realistic, and locally based participation strategy**. The document is built around three different sections:

- A section answering the question of **why developing a participatory approach?** focusing on the objectives of participatory approaches in SUMPs formulation.
- A section focusing on **who to involve in the SUMP elaboration process**, defining what stakeholders and the broader public engagement might entail.
- The last section focuses on **how to develop participation processes**, detailing tools, and instruments to mobilise at various steps of the elaboration of a SUMP.

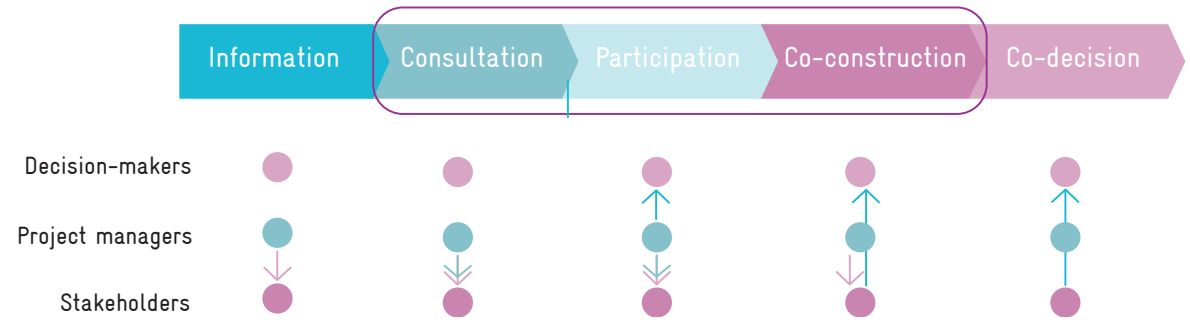
Why develop a participatory approach?

A Sustainable Urban Mobility Plan (SUMP) aims to set objectives and priorities for the sustainable development of a mobility system in a city, satisfying the needs of people and businesses for a better quality of life[1]. In elaborating such a plan, decisions of strategic importance are made for cities and their inhabitants. Therefore, the process should be developed transparently and involve those who directly and indirectly interact with the mobility system. Participation in urban mobility planning responds to four key objectives:

Figure 1. Objectives of participation in urban mobility planning

Opening the debate on urban mobility implies **numerous ways of communication and citizen engagement**: from top-down information transmission to the empowerment of citizens through a shared governance process. The classification below describes distinct levels of engagement and interactions between decision-makers, project managers, and stakeholders. For this topic guide, the notion of a participatory process will include **consultation, participation, and co-construction**. Simple information does not constitute a complete participatory process since there is little or no feedback expected from stakeholders. As for co-decision, it covers specific and relatively rare governance arrangements that erase the limits between partners and decision-makers. Co-decision then constitutes another field of action.

Figure 2. Different engagement levels in participatory processes and interactions among stakeholders



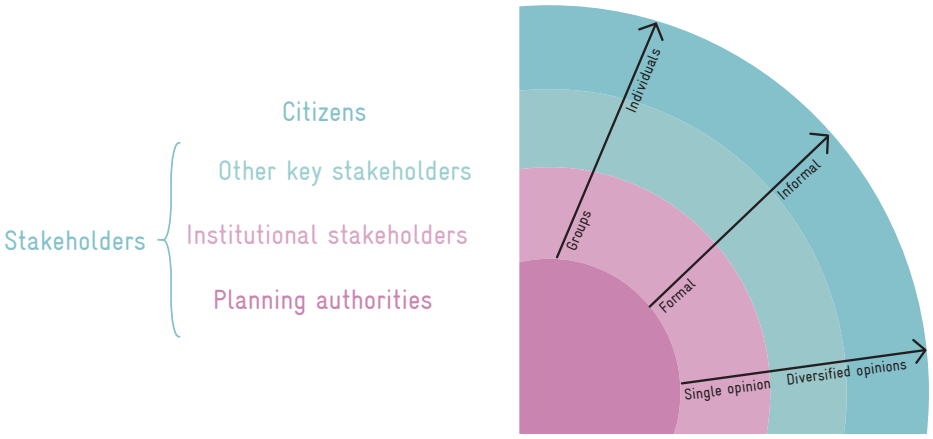
The arrows on the illustration above represent the information flow.

[1] Rupprecht Consult (editor), Guidelines for Developing and Implementing a Sustainable Urban Mobility Plan, Second Edition, 2019.

Who to involve in sustainable urban mobility planning processes?

In addition to the planning authorities, three main groups of stakeholders are usually targeted as part of the urban mobility planning process. Usually, stakeholders entail an extensive group, including planning authorities, institutional stakeholders, and other organised structures with an objective or cause, such as civil society groups, business organisations, transport operators, and research institutions. For this topic guide, this broader concept is divided into four main sub-groups, as displayed in the illustration below[2]:

Figure 3. Main stakeholder groups and citizens targeted in urban mobility planning processes



- **Planning authorities**: this group includes decision-makers leading the SUMP preparation. In many cases it includes the national transport authority (Ministry, Department or Secretariat, among others) and the local mobility authority, depending on the territorial scope.
- **Institutional stakeholders**: this group includes other institutions who must be mobilised in the preparation of the SUMP, mostly public entities or organisations working on urban mobility or nexus sectors, such as energy, land use, finance, among others.
- **Other key stakeholders** are individuals, groups or organisations that are affected by the proposed SUMP, or who can directly impact a project and its implementation in either a positive or negative way, and that do not necessarily hold activities related to urban mobility.
- **Citizens**: unlike stakeholders who might represent positions of organised groups and some collective interests, citizens refer to all people living or developing an activity within the geographical boundaries to which the SUMP is or will be circumscribed. The concept gathers individuals that are not affiliated with any specific group mentioned before. The term is used interchangeably with ***people***, ***residents***, and the ***general public***.

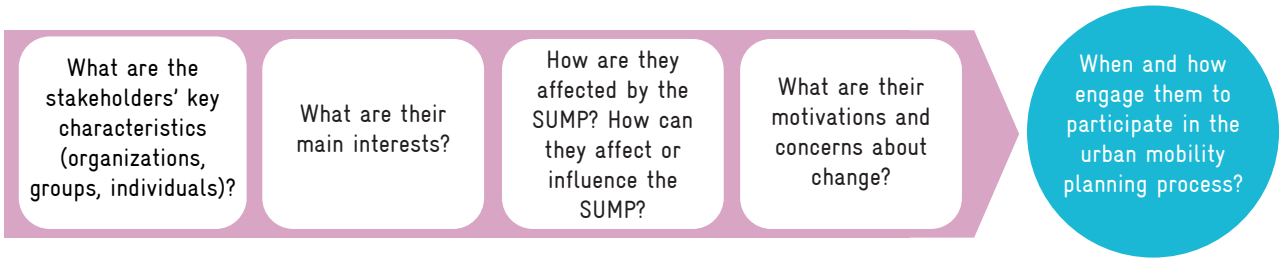
[2] Based on Rupprecht consult, 2016

The aforementioned groups can bring valuable expertise for planning authorities to elaborate adapted and effective strategies in the framework of sustainable urban mobility planning processes, namely:

- **Technical expertise**: this expertise can be drawn from stakeholders specialising in specific sectors related to urban mobility. They include transport organisations, technical directors, bicycle associations, and academics, among others. These stakeholders can bring valuable technical inputs related to their professional experience.
- **User expertise**: some stakeholders can contribute to elaborating a plan, sharing feedback and inputs from the user perspective. This expertise is precious to boost the qualitative dimension of the SUMP, directly addressing practical challenges in the city. This expertise can be found among specific groups of citizens (people with disabilities, women, citizens with low income, workers), user associations, and neighbourhood organisations, among others.

The groups of involved stakeholders differ according to the specific context. Thus, developing a participatory strategy for sustainable urban mobility planning requires as a first step to complete a **comprehensive stakeholder mapping**, answering the following questions:

Figure 4. Key elements for stakeholder mapping



Important tip or remark

Do not limit the debate to the stakeholders with whom you have a long-running experience of cooperation!

The success of a participatory process depends on the rigorous selection of stakeholders that could be affected or could influence the SUMP. Local authorities should favour the diversity of profiles and interests to foster the debate. In this perspective, discussions should be opened to new stakeholders who might express innovative ideas and opinions.

Tools and methodologies

Map stakeholders with already available tools!

The GIZ and its programme Changing Transport – Facilitating climate actions in mobility – have prepared a **Stakeholders Mapping tool** to help practitioners identify and visualise relevant stakeholders and their relationships, facilitating discussions, roles, and responsibilities.

Engaging the broader public

Public engagement usually refers to the involvement of citizens in the planning and decision-making processes. The broader public consists of citizens that are not part of an organised group (stakeholders), but individuals. In a participatory process, citizens contribute to sharing broad feedback, ideas, and orientations as input for the SUMP elaboration process (user expertise). At the same time, stakeholders might provide more specific and/or professional inputs regarding urban mobility and linked sectors (technical expertise).

This distinction is important to have in mind when it comes to **defining participatory strategies and tools**: these will be inherently different whether they target stakeholders (to enrich the diagnosis and discuss viable solutions and scenarios) or citizens (to foster a broader appropriation to the project).

The key point is that all individuals expressing interest in the SUMP process must have the **opportunity to share their ideas and concerns** with the project managers and thus influence decision-making. Various strategies and tools can be mobilised in this regard (website, urban fairs, exhibitions, public hearings, etc.) Any strategy adopted to involve the broad public must mobilize a heterogeneous group of citizens that manage to reflect the broad population diversity by individually providing their perspectives.

Case study – Antofagasta (Chile)

The SUMP development process in **Antofagasta (Chile)** included a participatory process that was split into two groups of participants:

- **Technical board**: this group was mainly composed of representatives from different public institutions as well as private organisations (housing ministry, energy and environment sectors, universities, among others). The technical board provided content feedback to the SUMP. In practice, its role was to review the deliverables submitted by the consultants.
- **Social board**: this board was composed of representatives from civil society, NGOs, etc. The stakeholders had been mapped before, depending on their level of involvement in urban mobility issues in the city. However, the board remained an open participatory space that anybody could join afterwards. During its meetings, this board focused on strategic and political decisions regarding the SUMP preparation.

The SUMP team remained open to selecting the people with a seat on the Social Board. One of the main challenges was to avoid the systematic selection of representatives from the private sector who were already used to working with public authorities. Instead, the planning authorities mapped stakeholders and citizens potentially affected by the SUMP and tried solutions to increase diversity among the consulted participants.

How to develop participatory processes for SUMPs elaboration?

To ensure a comprehensive participatory process, five steps are proposed. These steps include early identification of the context, development of a participation strategy, its calendar, challenges, and the resources needed for its implementation. Each step is explained as follows:

1. Understanding the context

Urban mobility planning requires the **development of context-based participation strategies**. Hence, the **extent of participation tradition** in the city is a crucial factor to consider. While preparing a participation strategy, it is important to evaluate local practices in terms of public participation. Previous participation processes and activities in the field of urban mobility should be assessed as well as levels of awareness on related topics, public engagement skills, and the available knowledge on facilitation within the planning authority.

Case studies – Antofagasta (Chile) and Kisumu (Kenya)

In Antofagasta, the SUMP elaboration process occurred in a particular context: **on the one hand, the aftermath of political and social upheaval in Chile, and on the other, activities had to be led in the middle of the COVID-19 pandemic**. Neither mandatory law nor legal framework in Chile pushes local governments to conduct participatory processes in urban project development. To palliate the limited knowledge and experience of the local authorities regarding participatory approaches, the SUMP team relied on benchmarking, considering examples, case studies, and guidelines from elsewhere. From these tools, local authorities managed **to design their participatory process**, so that it would fully match their needs in the framework of the socio-political and sanitary context.

Kenya imposes participatory activities as a **constitutional obligation for any urban project**. In consequence, the county of Kisumu, as the authority in charge of the SUMP elaboration, was under the obligation to put in place participation activities, with the support of the City of Kisumu. Due to both this legal obligation and a relatively strong participatory culture in the city, activities were implemented throughout the SUMP development process.

2. Proposing a participation strategy

The implementing professionals[3] should set a participation strategy centered on the process. If adapted and comprehensive, this strategy could lead the implementing professionals to reach a **shared understanding of the participatory process** and easy coordination. This strategy could also support implementing professionals to anticipate potential challenges and adapt the means and resources that need to be dedicated to participatory activities accordingly. However, it is crucial to maintain a certain degree of flexibility: the strategy must be dynamic, as the setting and involved stakeholders might evolve. The main points to consider in the participation strategy are:

[3] Members of the planning authority, consultants and experts in charge of the elaboration of the SUMP, the donor entity (if any).

Figure 5. Important elements to consider in the SUMP participation strategy design

Important elements to consider in the SUMP participation strategy design
Overall framework and objectives of the participation activities
Key steps of the SUMP development cycle for which participatory activities will be necessary
Level of engagement expected from the different stakeholders and citizens at each phase
Stakeholder mapping
The tentative calendar for the participation strategy implementation, mentioning milestones and key events
Risk management and quality check processes
Necessary means and resources to conduct the participation process
Roles and responsibilities of implementing professionals
Procedures to document the feedback and comments from the different stakeholders and citizens participating, and to integrate their inputs into the SUMP decision-making process
Evaluation modalities of the participation process's success

Important tip or remark

Develop participation activities as a continuous process!

The participatory process for the SUMP elaboration must be continuous. Every participatory activity is designed, planned, and conducted as part of a larger process and with a defined objective. The participatory process must be introduced to participants at the beginning to shed some light on their expected contributions and how their inputs will be valued. It is essential for stakeholders and citizens to feel they are part of an established participatory dynamic with regular involvement.

3. Defining a calendar

The SUMP participation strategy should include a calendar to **schedule the participation activities precisely**. This tool facilitates the work of the implementing professionals in ensuring that sufficient time is allocated for their planning, preparation, and implementation. The calendar allows anticipating potential conflicts with other important events that might affect the participatory activities, such as election campaigns.

4. Planning a mobilisation strategy

In the framework of the participation strategy, it is also essential to define a **mobilisation plan** to encourage citizens and stakeholders to engage in the different participatory activities. This mobilisation plan could be two-fold:

- On the one hand, activities could be **adapted to the actual mobility patterns of the citizens**, so they can express ideas and provide feedback on issues that are a direct concern to them or on which they have a clear opinion. Citizens and stakeholders that are part of the same focus group need to be on a similar level of awareness to encourage their participation, as they feel in condition to bring up meaningful inputs to nourish the debate.
- On the other hand, planning authorities should conceptualise **outreach strategies**. It might be useful to consider communication strategies to share information on the SUMP development and chances for stakeholders to get involved (social networks, press conference, radio, posters, flyers etc.)

Case study – Yaoundé (Cameroon)

The relative failure of mobilising the general public: in the Cameroonian context, considering civil society individuals as a participant group was not a suitable method as they did not engage in the process. Only a few people from neighbourhood associations followed the debates, and their participation was limited. The opening for registration as observers also failed. The Yaoundé Urban Community rightly pointed out that people present in a participation group do not have the same degree of awareness and knowledge on the subjects to discuss; the least informed people find it exceedingly difficult to make any contribution.

5. Securing necessary means and resources

Ensuring resources is a challenge to bear in mind when conceiving and implementing participation strategies:

- **Time**: participatory activities require implementing professionals to organise regular meetings, prepare forms, templates, and facilitation tools, reach out to stakeholders, analyse the participation results and outcomes, manage communication activities with the public and media, among others. The necessary time to conduct adapted and useful participatory processes is often under-estimated.
- **Material resources**: participatory activities demand appropriate locations for their organisation, the necessity to rely on external agencies for some specific tasks (communication, interpretation etc.), organisation of a large-scale or city-wide event, and others. Some processes also make use of online tools (website, social media, e-surveys).
- **Specific skills**: building a trustful atmosphere during workshops, managing conflicts, and encouraging citizens to express their ideas require specific skills in the field of facilitation and participation. Internal capacities in this regard must be assessed before mobilising specific external profiles to support the process (e.g., facilitators and participation or communication experts).

Case study – Zhytomyr (Ukraine)

The SUMP of Zhytomyr was developed by the Zhytomyr City Council in cooperation with the GIZ. **Dedicated means and resources for participatory activities, as well as their allocation, were anticipated by the working team**. While the consultant was responsible for framing the participation strategy, the GIZ and the local authorities assisted in the roll-out of the process. It was important in the Zhytomyr context that the consultant felt responsible for the content of the participatory process, the implementation of activities and the consolidation of the results. However, GIZ supported the consultant throughout the process, regarding the use of the GIZ office in Zhytomyr, stakeholder mobilisation, provision of key staff for facilitation, and financial support. Local authorities financed the events targeting the broad public (Maisternya Mista), with GIZ bringing adding some further financial support. The team organising the participatory events had a defined structure: it was important to rely on a team that can mobilise facilitation expertise and who can deal with potential conflicts – that are unavoidable considering the diversity of the involved stakeholders.

The participation process step by step

As mentioned before, the participation process must be envisaged as a **continuous process** – building on consistent methods, tools, and groups of stakeholders. However, it is useful to outline below how this continuous process can be structured at the various stages of the SUMP development process: while the tools and involved stakeholders should be constant throughout the process, the goals to be achieved and the methods to be used may significantly differ at each stage.

Figure 6. Phases of a Sustainable Urban Mobility Plan elaboration process

The following paragraphs and tables attempt to provide concrete ideas on **how to structure the participatory process, what to look for, and what budgets to consider**. These proposals then need to be adapted to the specificities of the local context and local habits in terms of participatory processes. It should also be adapted depending on the conclusions of the mapped stakeholders, and consequently to the targeted audience.

In the different tables, objectives, actions, and tools are classified between those targeting **institutional and other key stakeholders**, and those targeting the **citizens**. The sections below are focusing on participatory processes, and not on decision-making ones, which only involve key institutional stakeholders.

Phase 1 – Preparation and analysis - MobiliseDays

In the MobiliseYourCity **methodology, the MobiliseDays are proposed as the starting point for the SUMP development process**. Their purpose is to early mobilise various stakeholders of the mobility system and to inform the objectives of the process. In some cases, the MobiliseDays are only organised for institutional decision-makers: state bodies and local authorities. In other cases, if the planning authorities aim to achieve a wider impact, **non-decision-making mobility stakeholders could be involved** (groups of small-scale transporters, formal transporters, major employers or employers' organisations, academics, residents' associations, associations for the protection of the built or natural heritage, parent's associations, people with disabilities, etc.)

Depending on the scope and the available resources, the SUMP team could either focus on inviting only institutional and other key stakeholders or including citizens.

Figure 7. Objectives of the Mobilise Days

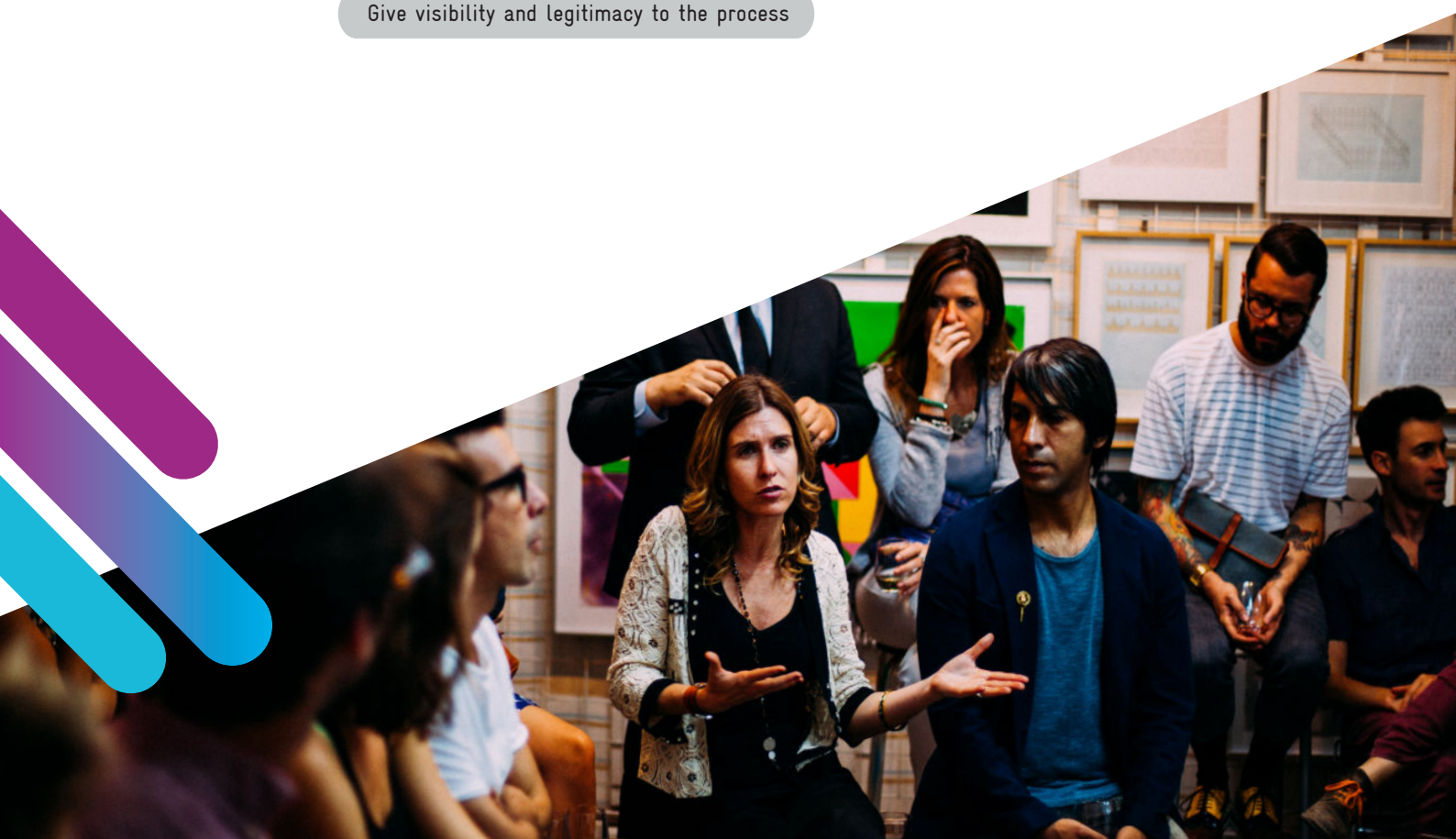


Table 1. Key elements for the participation strategy - MobiliseDays

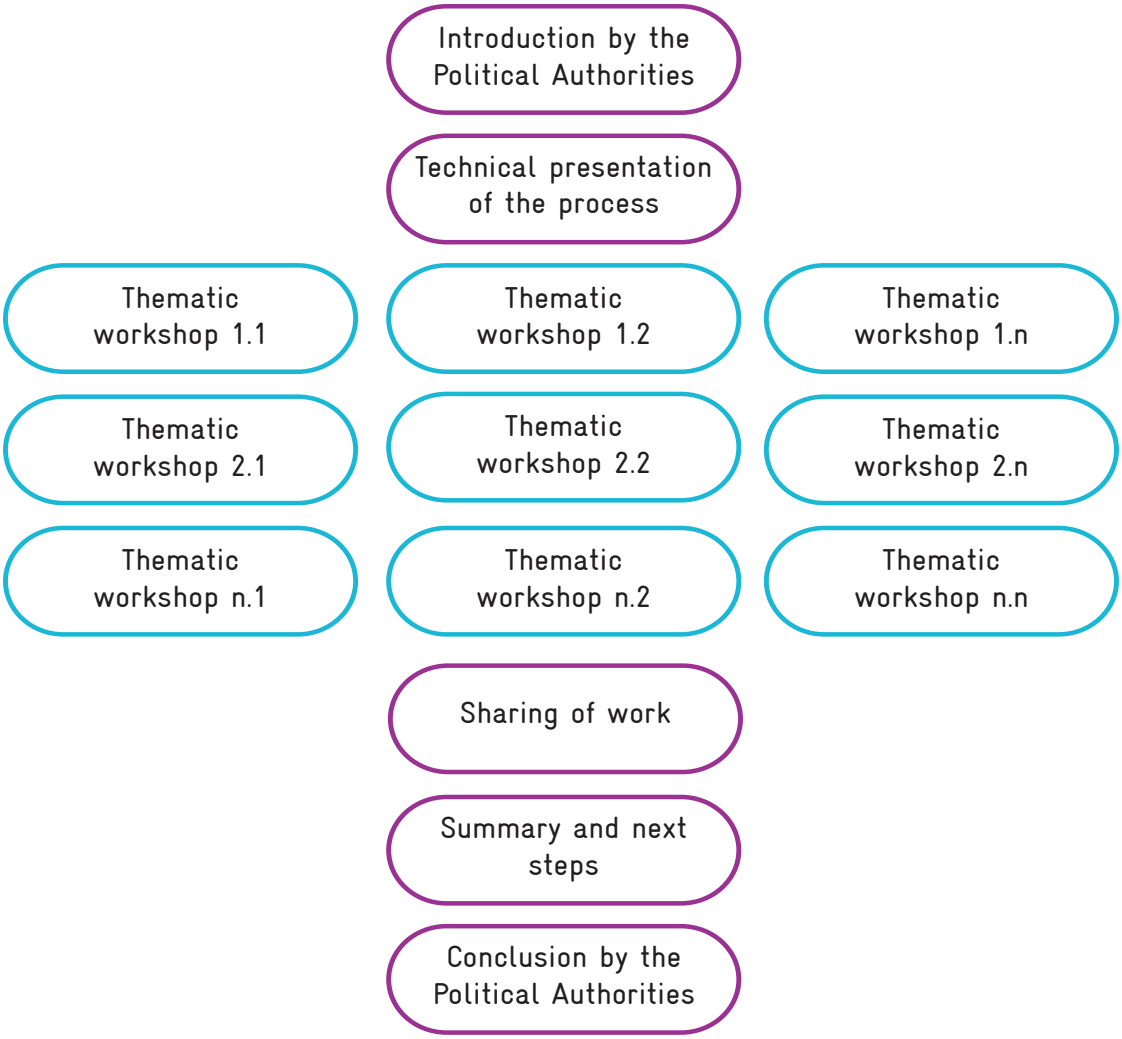
	Institutional and other key stakeholders	Citizens
Objectives	Raising awareness, mobilising stakeholders, appropriation of mobility issues Validation of the participation strategy	Validation of the participation strategy
Appropriate actions, tools	Mobilisation and awareness-raising event First participatory actions Workshop	Formalisation mechanisms for the public (focus groups, consultation committees, surveys, etc.) Press conference Public meeting
Logistics	Guestlist, press relations, room reservation, catering reservation	Adapted rooms Press relations
Precautions to be taken	Not any preidentified stakeholder should be forgotten. It is better to be too broad than too restrictive Each workshop should not exceed 20 participants It is preferable, when possible, that participants pre-register for workshops to balance the number of participants	At this early stage, this is not a fully participatory activity yet, but rather information sharing and awareness-raising about a forthcoming participatory process However, a public meeting can be considered at this stage to kick off the process
Budget (to be divided between local authorities and consultant)	5 to 10 days of preparation Rental of a room (plenary session + workshops) Catering costs	Rental of a room for public meetings, if relevant

Organisation of MobiliseDays

There is a risk that MobiliseDays focus on top-down communications and capacity-building without participatory activities. MobiliseDays should on the contrary be the first step of the participatory process, at the very least, by providing **time for discussion with the audience during the official event**. This simple solution can be easily implemented, especially if the number of participants is limited. It is also possible to use digital tools for animation at this stage, in the form of mini-votes, idea boards, etc. to further allow for real participation during the event.

It is also recommended to organise **thematic workshops** as part of the MobiliseDays. These workshops aim to take stock of how the institutional stakeholders initially perceive mobility challenges, prioritise them and propose directions for action before any technical input from the consultant.

Figure 8. Suggested agenda for the MobiliseDays



In parallel to this initial institutional approach, the MobiliseDays could be an opportunity to **formalise the principles of participation with citizens**, by:

- Validating the principles of involving citizens in the process,
- Proposing the main stages and tools for public participation,
- Suggesting the composition of the participation committee(s), focus groups, working groups, etc. intended to involve stakeholders and citizens.

A **press release or even a press conference** could be organised to disseminate information about the launch of the process. This is not considered as part of the participatory process itself, but the announcement of its future course.

Phase 1 – Preparation and analysis - Analise mobility situation

The **participatory process is one of the three pillars of diagnostic formulation**, the other two being the analysis of existing data and sources and data collection. Each of these three pillars only makes sense with the other two. Thus, the perception of the situation as revealed through the participatory process must be balanced with field observations and technical data to achieve an accurate interpretation. Learnings from the participatory process, however, make it possible to prioritise mobility issues according to the stakeholder perspectives on the situation, and even to reveal subjects that could escape from observations in the field.

Table 2. Key elements for the participation strategy - Analyse mobility situation

	Institutional and other key stakeholders	Citizens
Objectives	Considering the perception of the current situation by institutional stakeholders for comparison with findings from the data collection	Considering the perception of the current situation by institutional stakeholders for comparison with findings from the data collection
Appropriate actions, tools	Workshops Forum Call for written contributions	Consultation committee Conducting focus groups Opinion surveys Forum
Logistics	**Workshop**: invitation of guests, room reservation, catering reservation **Focus groups:** room reservation, refreshments **Online forum**: opening of a dedicated online platform. Communication to the targeted public (mailing)	**Consultation committee and focus groups**: room reservation, refreshments **Opinion surveys** to be included in the household travel survey **Online forum:** opening of a dedicated online platform. Press releases to call for contributions
Precautions to be taken	In the case of workshops, the event can be less formal than the MobiliseDays, with more time given to small groups sessions than to plenary sessions Be careful not to repeat the MobiliseDays If an online forum is opened, a moderator should be appointed to monitor the proper conduct of contributions and to remove off-topic or conflicting contributions	The representativeness of the people present in the focus groups must be verified In the case of opinion surveys, the questions should be few, simple and related to the daily experience of the respondents. The sample should be representative (at least 500 interviews) If an online forum is opened, a moderator should be appointed to monitor the proper conduct of contributions and to remove off-topic or conflicting contributions
Budget (to be divided between local authorities and consultant's budget)	2 to 3 days of preparation per type of action Rental of an appropriate room (plenary and workshops) and catering costs	2 to 3 days of preparation/ implementation per type of action Opinion surveys: no significant cost if included in a household survey. Specific survey costs for about 500 interviews: about 10 interviewer days and training Possible equipment of digital tablets

Involving institutional and other key stakeholders

It is recommended to **hold thematic workshops halfway through the diagnostic process**, once the consultant has collected and analysed the available existing data and the data collection process has begun, but before any conclusions are drawn. However, the participation activities at this stage should not be a duplication of the MobiliseDays: the themes, organisation, introductory speeches and even the participants should be different. If the MobiliseDays took place shortly before the diagnosis launch, it is recommended to refrain from organising such an event and favour face-to-face interviews.

To focus these workshops on feedback from the field and practitioners, it is advisable to hold them without media coverage, by inviting technicians rather than politicians and avoiding the presence of high-level personalities.

Organising focus groups

Focus groups should be carried out to collect the views of specific groups. Focus groups are often organised with representatives of **paratransit operators** (there is a need to ensure fair representation among those who are part of a cooperative or union and the self-employed). The same method can be used to understand the specific needs and issues of **specific groups of the population** (women, economic actors, traders and craftsmen, people with disabilities, etc.)

The focus groups' methodology consists in creating a sample of a target group, which should not exceed twelve participants. At this level of sampling, it is not possible to aim for statistical representativeness, however, one should aim to cover a wide range of diverse profiles. Participants can be designated by the local counterpart, when they are socio-economic agents, or selected voluntarily through various methods (including on the street). A focus group session usually lasts two hours. It is based on the presence of two speakers: a neutral facilitator responsible for animation, rephrasing, suggesting discussion topics, etc., and a silent observer who takes notes. The session can be recorded.

Important tip or remark

Opinion surveys

The best way to obtain a representative view of the way mobility issues are experienced is an **opinion survey**, based on household surveys. It may be argued that an opinion survey is not part of the participatory process; however, this method does allow the collection of perceptions, opinions and priorities that could not otherwise be gathered, or whose representativeness could be questioned.

In cases where no household surveys are organised, one could conduct a survey based on about 500 people-sample, stratified according to socio-economic and geographical characteristics. The questions should be simple, related to the daily life of the inhabitants, and closed-question oriented. The results of these surveys should feed the diagnosis and be presented in the next stages of the participation process.

Setting up a consultation committee

Halfway between institutional and other key stakeholders and citizens, the creation of a consultation committee is an essential element of the participatory process. This committee, made up of around thirty people (its size could vary from twenty to fifty participants depending on its composition, recruitment method and mode of operation), aims to:

- **Verify the conclusions from the diagnosis** prepared by the consultant ensuring representation from both stakeholders and citizens (top-down).
- **Collect ideas, vision, and priorities** to be communicated to the decision-makers (bottom-up).

The composition of this committee will vary depending on the context, the participation habits and the involvement level of citizens.

In the process of setting up a consultative committee, the **following pitfalls should be avoided**:

- Inviting people that claim to be representatives of social groups from which they have received no mandate, and whose representativeness can be questioned.
- Bringing participants who do not have sufficient knowledge of the environment in which they live to be able to speak out.
- Trying to be too exhaustive in the representation of different social groups.
- Getting people with highly varied levels of education and knowledge about mobility to work together.

In concrete terms, the modalities of operation and the rhythm of work of the consultation committee are to be adapted to each situation, but some basic principles can be proposed.

Figure 9. Some principles to operate a consultation committee

Basic principles for the operation modalities of the consultation committee
The committee meets at least once at every SUMP phase
The secretariat of the committee (in charge of managing the invitations, composing the group, distributing the minutes, etc.) must be clearly defined: either the responsibility of the planning authorities or the consultant, in which case its budget should be ensured
Its composition is fixed during the entire process as far as possible. Substitute councillors and waiting lists can be put in place in case of the resignation of a member
Its work is conceived as a continuous process, with each meeting starting where the previous one left off. At each meeting the consultant proposes a summary of the work done since the last meeting, the conclusions reached, and the decisions taken by the Steering Committee
A session can alternate between plenary sessions and sub-group work, making extensive use of participatory animation tools
Minutes and key conclusions of each session are circulated to all participants

Case study – Yaoundé (Cameroon)

The main feature of the participatory process deployed as part of Yaoundé SUMP development was the set-up of a permanent working group of 30 to 40 people, which met every three months and was responsible for providing inputs as the SUMP work progressed, both for the formulation of the diagnosis and the measure selection. This group had five components: the **institutions** (representatives of the various municipalities in the conurbation, the ministries involved, and the urban community); the **formal operators** (Stecy, a formal transport company) and informal organisations and paratransit representatives; **economic leaders** (employers' organisations, large employers such as hospitals, universities or industrial centres, shopping centres, etc.); the **academy** (universities, research centres); and **civil society**, represented by residents' associations.

The work carried out within this framework helped to improve the formulation of the diagnosis, but also **prioritise SUMP measures**, and raise participants' awareness of specific subjects, such as travel times and pollution levels.

Tools and methodologies

Online Forum

For all categories of stakeholders, the creation of an **online forum** (Facebook page, WhatsApp or similar, or dedicated pages on the local counterparty's website) can be considered to collect inputs from the broader public. These platforms should be publicly promoted. Communication tools and methods will vary depending on who the priority targets are (public institutions, other key stakeholders, citizens, etc.). The online forum can be presented during thematic workshops, technical or steering committees, or e-mails. If the online forum is opened to the broader public, a press release or even a press conference is necessary (and should be repeated) to ensure that the information is sufficiently disseminated.

Phase 2 – Strategy development

The definition of the vision, objectives, and scenario building is a critical phase during the SUMP elaboration process, as major future actions are decided. It is therefore a moment during which the participatory process is crucial. The **strategy should indeed be based on pooling ideas collected from a variety of stakeholders**.

Table 3. Key elements for the participation strategy - Strategy development

	Institutional and other key stakeholders	Citizens
Objectives	Decision support on the definition of the long-term vision of the mobility system and objectives of the SUMP	Contribute to the prioritisation of topics to be tackled by the SUMP
Appropriate actions, tools	Seminar with workshops Online forum Call for written contributions	Consultation committee meeting Online forum Possibly an **opinion survey**
Logistics	**Seminar with workshops**: invitation of guests, room reservation, catering reservation **Online forum**: forum administration, synthesis of contributions	**Consultation committee**: room reservation, refreshments **Online forum**: forum administration, external communication to ensure continuity of the flow
Precautions to be taken	This **seminar with workshops** can benefit from increased visibility. Beware to set boundaries and consensus for the definition of a common vision and shared objectives, and not to favour expressions of sectoral demands	If a **consultation committee** has been set up, it should have a session before the seminar with workshops to provide input **Opinion survey**: with caution, it can be used if it is necessary to decide between two major strategic choices
Budget (to be divided between local authorities and consultant's budget)	4 to 5 days of preparation Rental of an appropriate room (plenary and workshops) and catering costs	1-2 days of preparation and conduction of the consultation committee meeting Survey costs for about 500 interviews: about 10 interviewer days and training Equipment of digital tablets

Participation of institutional and other key stakeholders

It is recommended to organise the participatory process of this phase around a **high visibility event,** bringing together all the institutional stakeholders and following an organisation similar to that of the MobiliseDays. The workshops can be thematic, but also by typology of stakeholders, or in parallel, the choice can be made according to the local context and the will of the stakeholders to participate.

The participatory process should be carefully managed at this step. Indeed, the participatory activities, if poorly managed, pose two types of risks to the entire process:

- **Anticipating the next phase** (measure planning) by focusing on specific, sectoral projects. This can jeopardise the coherence of the overall project.
- **Being disconnected from the economic and technical realities**, as far as the issues and topics discussed at this stage of the SUMP process will be poorly defined and uneasy to assess.

Participation of citizens

In support of a high-visibility event, an **opinion survey** can be considered to assess the public opinion on several key choices driving the public debate. However, this tool should be handled with care, as it is difficult to obtain reliable opinions on measures and actions that are not yet concretely defined. This type of survey can be easily perceived as communication activities rather than participation.

Beforehand, the **consultation committee** set up for the diagnosis should meet so that its work can feed into the seminar. Its role will not be to participate in the definition of a vision, which is a political process that is undoubtedly too abstract but to help prioritise the direction of actions and objectives. This consultation committee can also operate on a workshop scheme if the number of participants requires it.

If the **online forum and the calls for contributions** have been set up, they should continue to function, or even be reactivated through appropriate communication canals.

Case study – Kisumu (Kenya)

In Kisumu, the vision and objectives of the SUMP were defined through a series of participatory activities. Stakeholders' workshops were conducted at four separate times in the form of **interactive sessions**, meaning that they included site visits to the streets of the city. This allowed participants to better observe user behaviour and enhance the thinking process.

At the same time, the city organised **public communications** through the elaboration of five webinars open to interested citizens that could submit suggestions or comments on the objectives of the SUMP.

Phase 3 – Measure planning

The participatory process to be carried out in this phase aims to:

- **Discuss the measures envisaged with different stakeholders**, enrich, or adapt them, identify possible new and priority actions, ensure their feasibility, and potentially highlight challenges and risks that might not be anticipated by the consultant.
- **Promote the feasibility of the actions** by defining them with the implementing stakeholders and involving them in the early development of the selected measures.

Table 4. Key elements for the participation strategy – Measure planning

	Institutional and other key stakeholders	Citizens
Objectives	Refinement of the envisaged measures Endorsement of stakeholders to the action plan and strengthening its feasibility	Refinement of the envisaged measures Citizen support for the proposed measures
Appropriate actions, tools	Workshop Online forum Focus groups Call for written contributions	Consultation committee session(s) Online forum Public meetings
Logistics	**Workshop:** invitation of guests, room reservation, catering reservation **Focus groups:** room reservation, refreshments **Online forum**: administration of online platform, synthesis of contributions	**Consultation committee and public meetings**: room reservation, refreshments **Online forum**: administration of online platform, synthesis of contributions, press relations to ensure continuity of the contributions
Precautions to be taken	This seminar with workshops may take a more discreet form, similar to the diagnostic workshops This workshop should be convened at the right time: the consultant should be able to present detailed proposals with flexibility for modification and adjustment The workshop is **not a validation body**: make sure to be able to choose among the participatory actions that can be carried out per the available resources	It may be useful to reconvene a few focus groups for the targeted public focusing on certain measures (e.g., paratransit) If a consultation committee has been set up, it should meet before the stakeholders' workshop to provide input Beware not to give the impression of presenting definitively validated actions
Budget (to be divided between local authorities and consultant's budget)	4 to 5 days of preparation Rental of an appropriate room (plenary and workshops) and catering costs	1-2 days of preparation/implementation of a Consultation committee Specific survey costs for about 500 interviews: about 10 interviewer days and training Equipment of digital tablets

Participation of stakeholders

Compared to phase 2, this phase is more technical and concrete. In consequence, it runs the risk of presenting the measures envisaged in an easy, visual form, and might arouse reactions of mistrust or rejection from participants hidden up to this stage.

Important tip or remark

Pay attention to the preparation of the workshop to avoid risks:

If the workshop is held too early, and if the action programme is not sufficiently defined yet, these sessions will partly repeat what was said during the previous phases, and it will not be possible to present the actions envisaged at a sufficiently formal level.

If the workshop is held too late and gives the impression that the action plan is defined, stakeholders might feel that they are being consulted for the sake of it, which could lead to more criticism and even conflict.

These workshops should be **presented as a technical stage** intending to help in the formulation of measures, but on a sufficiently solid and elaborate basis to mitigate the risk of dispersion and frustration. In this sense, an indicative list of the envisaged measures should be endorsed or advised by the steering committee at the same time as the formalisation of the chosen vision and the chosen scenario.

The **format** can be similar to the workshops conducted during the diagnosis, but less formal, including technicians and without media coverage. The sub-groups will preferably be structured by theme. The focus should be on (i) identifying risks, (ii) adapting the planned actions to the context and (iii) associated costs.

It may be necessary, or even essential, to set up a few **focus groups** at the beginning of this phase to fine-tune the reception that could be given to specific proposals with sensitive socio-professional groups. A good example is paratransit measures, but other areas such as school transport might be concerned. In some cases, these focus groups could become negotiation forums, in which measures are jointly conceptualised before presenting them to the broader group of stakeholders. Particular attention should be paid to the participants' representativity.

Case study – Santo Domingo

In Santo Domingo, INTRANT – a government agency responsible for managing mobility on behalf of the State – organised focus groups to work on specific topics as part of the SUMP development process: public space with neighbourhood councils; school transport with families and schools. These focus groups took place on two occasions, during the diagnosis phase and the action plan development. These were groups of about ten people, sometimes a few more. INTRANT invited the participants based on neighbourhood committees. For each session, a facilitator would introduce the topic and then segment the conversation into different ideas – from the most general to the most concrete. Each sequence consisted of a short presentation, followed by a discussion and then a feedback session. Some classic facilitation methods were used: flipchart, post-it notes, few mini votes. Indeed, sophisticated methods did not add much, and it was important to keep things simple.

The subjects submitted for participation remained very concrete and targeted. Participants were not intended to give inputs to the development of the SUMP but to shed light on concrete subjects. In the end, the SUMP did not lead to concrete actions in the field of school transport, which does not exist in Santo Domingo yet. The focus groups demonstrated that this topic was not economically relevant and that it did not respond to expectations from families. On the other hand, the very concerted work on the development of the districts led to concrete achievements (pedestrianisation, etc.)

Participation of citizens

It is not recommended to ask the **consultation committee** to meet too early in this phase. Indeed, given the concrete nature of the issues discussed; discussions with relevant stakeholders should be done beforehand. The aim here is to limit the social and political risks of the identified measures. However, this committee must be convened during this phase to gather necessary opinions for the finalisation of the measure planning. The sub-group approach will be preferably thematic.

Public meetings can be organised at several points along the process. Although, the action plan should not be disclosed until it is at an advanced stage of development to avoid early counterproposals. This late resort to public meetings will be easier to justify if a consultation committee has been set up and if actions such as surveys and online forums have been previously carried out. On the other hand, if no action aimed at involving citizens has been done until this point, it may be relatively risky to disclose a technical action plan publicly. This may cause some early frustration among the public, especially if some measures imply restrictions (such as car-free areas).

It is still necessary to anticipate a specific timeframe between the public meetings and the finalisation of the action plan, which should be dedicated to the **integration of relevant suggestions from citizens into the SUMP**. By not anticipating this period, planning authorities may be criticised for asking to comment on a document that is in reality completed.

Public meetings should be accompanied by communication documents (exhibition panels, booklets, press articles) to facilitate understanding and appropriation of the SUMP's technical content. In some cases, comment books can also be available to the public at the meetings, but also in other places (such as town halls) for a certain period.

Throughout the development of the action plan, **online platforms** should continue to function and even be encouraged, especially at the beginning of this phase.

Case study – Zhytomyr (Ukraine)

In Zhytomyr, the development of the Integrated Urban Development Concept 2030 (which encompassed the SUMP) was done through wide **public involvement to reinforce the adhesion of the population and stakeholders to the project**. Participatory activities were organised around three types of instances: a steering committee; focus groups; and a mobility forum. The **mobility forum** aimed at maximising the participation of Zhytomyr residents, civil society, and professional associations. The main format was city-wide events (such as Maisternya mista Zhytomyr – consisting of an urban fair gathering 2,000 to 3,000 participants). The objective was to ensure every resident in Zhytomyr could contribute to the SUMP development. The mobility forum acted as a platform for people to react and to disseminate key information on the SUMP to citizens.

The structure of the participation process in Zhytomyr allowed involving all relevant stakeholders as well as citizens, in schemes adapted to their expertise and competencies. Indeed, focus groups allowed to gather technical and specific feedback and expertise while city-wide events gathered feedback on user experience and collected broader orientations from the public. According to the GIZ, the public recognition of the SUMP was higher after leading these large events, which reinforced the positive image of the project. It also allowed the implementing teams to raise awareness of citizens on sustainable mobility, and inversely provided innovative ideas to enrich the plan.

Phase 4 – Implementation and monitoring

Once the SUMP is approved, the implementation and monitoring phase of the plan begins. This process is carried out by local authorities, in some cases, with the support of international donors.

It is strongly recommended that **the SUMP approval is not presented as the end of a process** but as the beginning of a cycle. The bodies set up for both the steering of the project (technical committee and steering committee) and the participatory process should continue in an appropriate format to support the implementation and evaluation of different SUMP actions.

For institutional and other key stakeholders, the **workshop format** is no longer adapted. In this new phase, the implementation of specific actions and measures should only involve the most relevant partners. It is also a good opportunity to set up specific partnership committees to monitor certain aspects of the plan. Here again, the setting up of a regular dialogue or a negotiation body between paratransit stakeholders and the public authorities is a good example.

On the other hand, as far as citizens are concerned, it is better to keep the consultation committee in operation, although it would meet less frequently. It would allow to regularly confront the various aspects of the SUMP projects with the expectations and aspirations of the civil society members.

Specific communication activities are recommended to report on the results of the periodic implementation evaluations of the SUMP: public meetings, press kit, exhibitions. It will be up to the consultant to recommend activities to pursue the participatory process that is most appropriate to the context, as part of the measures planned in the SUMP.

How to value the results of a participation process?

The design and conduction of a comprehensive participatory process adapted to the context and the different audiences is a fundamental component of a SUMP preparation. However, it will only be useful if its results and contributions are clearly identifiable in the adopted SUMP and its measures. Once the SUMP has been drawn up, it is therefore important that the participatory process is:

- **Evaluated**: it is up to the project manager, in coordination with the donor and the planning authorities to **(i) summarise all the contributions** of the participation process (in terms of contents), list the proposals and elements of scenarios that can be attributed to the work of the stakeholders and the citizens; and **(ii) make a critical assessment of the participatory methods used**, and deduce recommendations for continuing the process during the implementation phase.
- **Enhanced**: in the final document, a reader that participated in the participation process must be able to easily find their contributions. It is not only a question of reporting on the participatory steps that have been taken but also identifying as clearly as possible how the participatory process has modified or influenced the results, based on the assessment indicated in the previous paragraph. The terms of reference of SUMPs could include a specific and compulsory chapter in the SUMP document responding to this suggestion.
- **Communicated:** in principle, the completion of a SUMP leads to communication activities (through the press or public meetings, for example) to share the results of the work with the general public and to encourage support. It is important to highlight the outcomes of the participatory process in the results obtained. The support and adhesion of stakeholders and citizens that have not directly participated in the elaboration of the SUMP will be stronger if it is not presented as the result of a technocratic approach but as the product of a concerted discussion.
- **Extended** as far as possible by the implementation of consultation committees, online forums, websites, and other means of exchange, making it possible to expand the dynamic and transform it into a permanent process.

Case study – Zhytomyr (Ukraine)

At the time of the SUMP development process in Zhytomyr, participation was quite new in Ukraine, where people tended to feel their opinion was neglected in urban development projects. Hence, it was important that participants felt that their opinion mattered. In this spirit, some key sections of the final SUMP were dedicated to the description of the participation strategy and led activities, highlighting the added value of such activities for the SUMP elaboration. The detailed list of participants is also provided as an annexe to the final document.

Participation tools

The following table, designed by Rupprecht Consult, proposes some **participation tools that can be adapted to the elaboration of sustainable urban mobility plans**. This table separates communication tools and participatory tools that can be used during the whole SUMP elaboration process, as well as involvement tools that can be used at specific phases of the SUMP development. This table is however **purely indicative, non-exhaustive** and shall only serve as a basis for inspiration for planning authorities. In some contexts, it might be useful to use continuous tools for some specific activities, at specific the time of the elaboration process, and some innovative ideas – which do not appear in this table – might be more relevant in other contexts.

Figure 10. Participation tools that can be adapted to the development of sustainable urban mobility plans

Source: Rupprecht Consult, 2016

Establishing the base conditions and developing scenarios	Development of visions, objectives and targets	Plan elaboration	Presentation of draft SUMP
Communication tools for the entire SUMP process			
• Information material • Information booths in public space • SUMP information centre	• Newsletter, mailings • Social media • Information events	• Press conferences • Broadcasting (radio, TV) • Information telephone hotlines	
Involvement tools for continuous participation activities			
• Stakeholder round table • Citizen jury, citizen advisory committee	• Workshop series with citizens and/ or stakeholders • Focus group series	• Web-based forum • Citizen polls (e.g. on scenarios, vision, measures)	
Further involvement tools for selected SUMP development phase			
• Questionnaire surveys • Interview techniques • Key person interviews • Delphi survey • Technical working party • Open space event • Crowd-sourcing, e.g. mapping exercises	• Key person interviews • Delphi survey • Future search event • Technical working party • Visioning event • Open space event	• Topical events • Debate evenings • Peer review • Interactive measure selection formats (e.g. contest, voting, online measure generator)	• Meetings with specific target groups • Debate evenings • Public hearings • SUMP discussion forum • SUMP exhibition • Voting exercises

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Tools and methodologies

Wide ideas of engagement and participation tools are further available in the literature. The **toolbox** prepared by the International Association for Public Participation (IAP2) can be a first useful resource, as it details techniques adapted to various engagement levels, with their potential benefits and implementation challenges.

Participedia can also be a useful resource: it consists of a global crowdsourcing platform, focusing on public participation and democratic innovations, designed for researchers, educators, practitioners, or policymakers. The platform allows accessing case studies and data about participation initiatives around the world, in various contexts.

Important tip or remark

Participation processes during crisis times

Participation processes might need risk assessment and management to adapt their strategy to exceptional, unforeseen circumstances. The participation strategy for SUMP development needs to be adaptative and flexible. As an example, this box reflects on the experience of participation processes in four cities in Latin America during the restrictions associated with the crisis management of COVID-19.

- **COVID-19 impact in the roll-out of SUMP participatory processes**

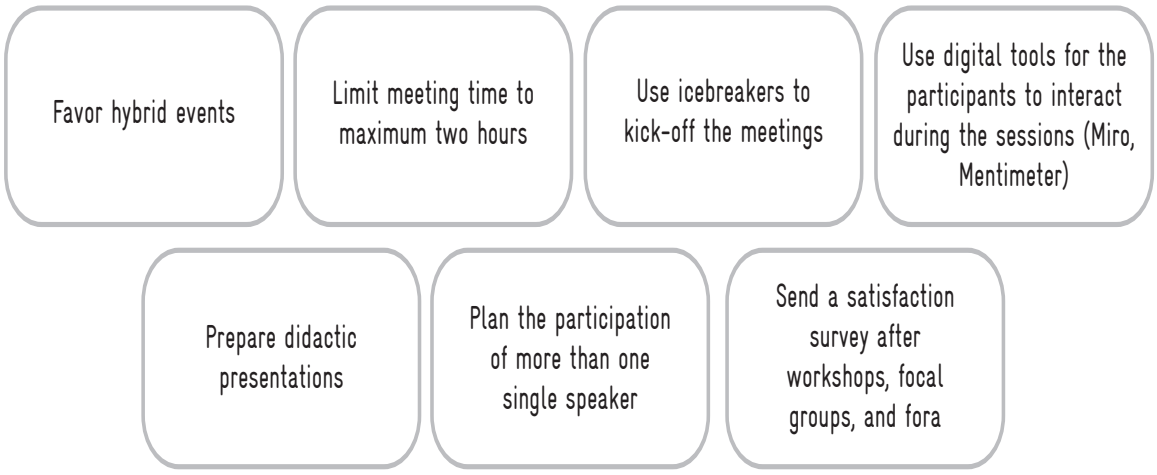
The COVID-19 crisis had an impact on SUMP participatory processes in Arequipa, Peru; Baixada Santista, Brazil; Cordoba, Argentina and Habana, Cuba. This impact was related to the reduction of local authorities' staff and capacities while restrictions were in place. Similarly, COVID-19 related restrictions led to the impossibility of holding in-person events, and therefore any stakeholder gathering was forbidden.

As a response to these new rules, virtual tools were used to adapt the participatory methodologies that had been proposed for the SUMP preparation. Due to online schemes, more participants were able to follow sessions that took place on videoconference platforms (e.g., Zoom or Teams) and simultaneously streamed on other open channels (e.g., Facebook live).

Despite the availability of such online tools, it was evident that internet penetration and digital literacy are uneven leading to a lack of participation of people that have restricted access to the internet and digital tools. Moreover, while the number of participants in virtual sessions increases, the diversity of ideas is reduced, and fewer people speak up compared to in-person events.

- **Recommendations to ensure citizens participation for SUMP elaboration during crisis times**

Considering the challenges and opportunities mentioned, some recommendations are proposed based on the experience of the four cities that suddenly had to adapt their participation strategies in the framework of the SUMP preparation:



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- Sustainable Urban Mobility Plan Podgorica, Capital City Podgorica/GIZ, GIZ (2020)

List of interviews

City	Organisation	Name	Position	Date
Yaoundé	AFD	François Carcel	Project Manager	13/05/21
	DVDH	Etienne Lhomet	Consultant	20/05/21
	Communauté Urbaine de Yaoundé	Arnauld Ndzana	Technical advisor	08/06/21
Antofagasta	GIZ	Pablo Juica	Urban expert	10/05/21
	Rupprecht	Katy Huaylla	Consultant	19/05/21
	Urbanismo social	Matias Carrion and Jonathan Cea	Participatory process consultant	09/06/21
Santo Domingo	AFD	François Carcel	Project Manager	13/05/21
	Systra	Marie Cleuet	Consultant	25/05/21
	INTRANT	Alexandra Cedeno	Sustainable Mobility Director	20/07/21
Kisumu	ITDP	Peninah Ndegwa	Country Manager - Kenya	19/05/21
Zhytomyr	GIZ	Maria Baida	Regional coordinator	30/06/21
	Dornier and Rupprecht	Marcin Wolek	Consultant	14/05/21

Case studies

Yaoundé, Cameroon

The Yaoundé SUMP was carried out between 2017 and 2019, with the final report dating from September 2019. It was developed under the aegis and financing of AFD on behalf of the Yaoundé Urban Community. It is part of the very first generation of MobiliseYourCity-approved SUMPs, and as such reflects the approach in force at the time.

It was carried out by a group of consultants composed of Transitec, Transamo and Des Villes et des Hommes (DVDH), the latter being responsible for leading the participation process.

The elaboration of the SUMP made it possible, on one hand, to objectify a situation of which most of the stakeholders were unaware, particularly in terms of pollution, and, on the other hand, to initiate governance processes leading to the implementation of reforms (particularly of small-scale transport) and urban and transport projects (BRT project, Yaoundé Cœur de Ville).

Participatory activities

Cameroon is not a country where participation procedures are common. The concept of public meetings, for example, does not exist. However, DVDH had already worked in Yaoundé on other subjects and had the opportunity to initiate participation processes like those implemented for the SUMP.

- **The Working Group:** This participation process was implemented and monitored throughout the SUMP elaboration. Its main feature was the establishment of a permanent working group of 30 to 40 people who met every three months. The working group was responsible for providing input as the work progressed, both for the formulation of the diagnosis and the proposals. This group had five components: the **institutions** (representatives of the various municipalities in the conurbation, the ministries involved, and of course the Urban Community); the **operators** (formal (Stecy, a formal transport company that represents less than 5% of the trips) and informal (representatives of paratransit transport)); **economic leaders** (employers' organisations, large employers such as hospitals, universities or industrial centres, shopping centres, etc.); the **academic world** (universities, research centres); **civil society**, represented by residents' associations.

The work carried out within this framework helped to improve the diagnosis, but also prioritise actions and raise participants' awareness on specific subjects: travel times and pollution levels, for example. These meetings did not use very elaborate facilitation methods. They consisted of informal discussions, based on an introductory presentation. This group work continues to operate, well after the adoption of the SUMP, notably in the framework of the Yaoundé City Centre operation, the BRT project, or discuss pollution monitoring. This group does not have a fixed periodicity but meets every time there is sufficient material for discussion.

- **Meeting with paratransit transporters**: In parallel, several specific thematic meetings were held with representatives of paratransit transporters. Their purpose was to establish a dialogue, hitherto almost non-existent, between the authorities and the representatives of this sector, so that each party could hear the difficulties and concerns and expectations of the other. This process continues nowadays, when necessary, for example, to define the functional programme of the bus station. However, the Yaoundé Urban Community insists on the difficulty posed by the question of representativeness in this type of meetings. If the associations or unions represent a part of the paratransit operators, another part does not participate, and their voice is not relayed.

- **The household survey:** The household travel survey included a qualitative component that asked respondents their opinions about certain priorities. For the interviewees, this form of questioning can be assimilated into public participation, since it allows opinions, perceptions, and diagnostic elements to be fed back from a representative sample of the population.

- **Exhibition and registers**: An exhibition on the main proposals of the SUMP accompanied by a book of observations was prepared. Yet, the participation rate was extremely low. According to the interlocutors, this form of participation is not adapted to a country such as Cameroon.

Lessons learnt

The participation process of this SUMP was unique as it was highly focused on certain topics or certain audiences and did not claim to be a generalised support process. It was also of limited quantitative scope (only two meetings per subject).

In practice, the results of this participation process are mixed. The positive aspects are important. In a country that is not very well prepared for this type of approach, the process put in place enabled the integration of stakeholders that do not usually meet, or that remain in a position of contradiction and demand to meet and talk to each other. This is particularly valid between transporters and the authorities, or between municipalities and the State. The fact that some of these dialogue habits continued beyond the development of the SUMP bears witness to the extent of this progress.

Three lessons must be drawn from this mechanism:

- The **relative failure of mobilising the general public**: in the Cameroonian context, considering civil society individuals as a participant group was clearly not the right method as they did not engage in the process. Only a few people from neighbourhood associations followed the debates, and their participation was extremely limited. The opening for registration as observers also failed. The Yaoundé Urban Community rightly pointed out that people present in a participation group do not have the same degree of awareness and knowledge on the subjects to discuss, the least informed people find it exceedingly difficult to make any contribution.

- **The question of representativeness**: although participatory processes do not seek to gather a statistically representative sample of a given group, the project owner or project manager must ensure that the floor is not monopolised by only one part of the group concerned. This was particularly important for small-scale transporters, where some unions play key roles or use methods that go beyond simply representing their members. But it was also a complex issue when it comes to involving citizens.

- On another note, the consultant insisted on the need for the **teams to have a budget and sufficient time to carry out this participation mission correctly.** The consultant also insisted on the crucial role of the donor, who has greater means than the consultant to encourage the practice of participation with the local authorities.

Antofagasta, Chile

The elaboration process of the Antofagasta SUMP started at the beginning of 2019 and was carried out by the Regional Government of Antofagasta. It was supported by the GIZ, through the EUROCLIMA+ programme. Antofagasta is in the north of Chile and is home to around 350 thousand inhabitants. It lies on the coastal edge and, like most of Chile's topography, is a long, thin region (30km long and 2km wide). It is also a mining capital, which impacts pollution rates. In Antofagasta, the SUMP elaboration process occurred in a particular context: **on the one hand, the aftermath of political and social upheaval in Chile and on the other, activities had to be led in the middle of the COVID-19 pandemic.**

Participatory activities

Neither mandatory law nor legal framework in Chile pushes local governments to conduct participatory processes as part of urban project development. However, the current political and social context in Chile pushed local authorities to enhance participatory approaches as part of the Antofagasta SUMP elaboration. To palliate the limited knowledge and experience of the local authorities regarding participatory approaches, the SUMP team relied on benchmarking, considering examples, case studies, and guidelines from elsewhere. From these tools, local authorities had the opportunity **to design their own participatory process,** so that it fully matches their needs in the framework of the socio-political and sanitary context. The participatory process was split into two groups of stakeholders and activities:

- **Technical board**: this group was composed of representatives from different public institutions as well as private organisations (housing ministry, energy, and environment sectors, universities, among others). The technical board provided content feedback to the SUMP. In practice, its role was to review the deliverables submitted by the consultants.
- **Social board**: this board was composed of representatives from civil society, NGOs, etc. The stakeholders had been mapped before, depending on their level of involvement in urban mobility issues in the city. However, the board remained an open participatory space that anybody could join afterwards. During its meetings, this board focused on strategic and political decisions regarding the SUMP preparation.

Conclusions from the Social Board directly influenced technical decisions. The first meetings were very general and focused on the SUMP elaboration process and the concepts of urban mobility. This first step guaranteed some engagement by the members and allowed them to gain more familiarity with the different concepts. Meetings were then organised more specifically on the diagnostic, and some sessions focused on the co-construction of the SUMP vision and objectives. The Social Board then had a meeting on the selection and prioritisation of actions and measures that were further defined by the Technical Board and the consultants. It is expected that the Social Board will be involved in the evaluation of the SUMP, as the group is supposed to continue working together regularly for 30 years. As for the larger public, two types of activities were organised:

- **Online participation (open participatory process)**: to make sure to reach people beyond the sole Social Board, the team organised online participation activities. Through a web page, they uploaded news regarding the SUMP and the results of the study. They also opened a specific e-mail, various social media accounts and conducted different online surveys.
- **Large events were organised** (no-car day, MobiliseDays, Mobility Fair): these activities attracted attention, especially in the media, and allowed the planning team to gather feedback in the street, from people who were not actively involved in the process. Other similar activities were planned in the process, but the pandemic forced the online format. This online format allowed to gather feedback from interested stakeholders, but not from the larger public.

Lessons learnt

Antofagasta used quite innovative approaches for the participatory process, as the SUMP was developed in the middle of the COVID-19 crisis. The lessons learnt include:

- **Questioning who should lead participatory activities**: trust of citizens towards political authorities was limited when the project started. This context led the planning authorities to hire an independent and neutral consultant to conduct participatory activities with the Social Board. It was also important for the authorities not to mix technical experts and user experts, to make sure that every voice could be heard.
- **Opening the debate and showing stakeholders that their voices are heard:** the SUMP team remained incredibly open to selecting the people with a seat on the Social Board. One of the main challenges was to avoid the systematic selection of representatives from the private sector who were already used to working with public authorities. Instead, the planning authorities mapped stakeholders and citizens potentially affected by the SUMP and tried solutions to increase diversity among the consulted participants.
- **The necessity to anticipate the mobilisation of various stakeholders**: the planning team was aware of its difficulties in reaching out to certain stakeholders. Notably, it struggled to mobilise organisations of the private sector – which were used to collaborate directly with local authorities but not through a long-time process. It was also challenging to reach citizens from the poorest neighbourhoods. Participatory teams had to be inventive to counterbalance these difficulties and produced ideas including the planning of itinerary public meetings of the Social Board, to mobilise representatives from poorer neighbourhoods. However, this could not be completed because of the pandemic situation.
- **Designing the participation strategy as a continuous process:** the structure of the Social Board remained the same during the whole SUMP elaboration process, allowing participants to see how their inputs and feedback were used. When forming the Social Board, the idea was to set up a group of people who could continue to work together once the SUMP elaboration process ended.

Santo Domingo, Dominican Republic

Starting in 2017, the Santo Domingo SUMP is the first one formalised under the MobliseYourCity label. It followed the creation of INTRANT, a government agency responsible for managing mobility on behalf of the State. SYSTRA was entrusted with the development of the SUMP.

Santo Domingo, the capital of the Dominican Republic, has a population of around 3.7 million and is by far the country's largest centre regarding both population and economic activity. The city is experiencing rapid economic growth along with a growing rate of individual motorisation, in a context characterised by under-investment in infrastructure and inadequate public transport, leaving a large share to paratransit.

Participatory activities

Throughout the project, several meetings were organised, both to collect opinions, involve stakeholders in the analysis, share the progress of the project and make decisions:

- **A Steering Committee** to share the progress of the SUMP with a large group, submit the conclusions for political debate and approve actions.
- **Bilateral meetings** to present and take time for technical and political discussions with municipalities and ministries.
- **Focus groups** to work on topics chosen by INTRANT (public space with neighbourhood councils; school transport with schools and parents).
- **Face-to-face interviews and working groups** to deepen the knowledge of a sector and its processes (logistics) or a geographical area (municipalities).

This presentation is a mixture of mission leadership activities (Steering Committee, interviews with resource persons) and actual participation activities. The latter is based on two branches:

- On the one hand, focus groups with the inhabitants on two themes selected by the INTRANT: school transport (with a sample of teachers who are also parents) and work on urban micro-development with the ***juntas de vecinos***, a kind of neighbourhood committee.
- Secondly, participation workshops with all the municipalities of the agglomeration, as well as representatives of the ministries concerned. There were no public meetings.

It should be noted that the paratransit transporters were not consulted or involved in the preparation of the SUMP, including the measures affecting them.

At the same time, INTRANT developed a comprehensive communication strategy: press relations, mobility week, etc., but these were for information purposes rather than for participation.

- **Focus groups with residents**

These focus groups took place on two occasions, during the diagnosis phase and the development of the action plan. These were groups of about ten people, sometimes a little more. The participants were invited by INTRANT based on the neighbourhood committees. The facilitator presented the topic, and then the session was segmented around different ideas, from the most general to the most concrete. Each sequence consisted of a short presentation, followed by a discussion and then a feedback session. Some classic facilitation methods were used: flipchart, post-it notes, a few mini votes. For the consultant, the more sophisticated methods did not add much, it was important to keep it simple and fun. The subjects submitted for participation remained very concrete and targeted; they were not intended to participate in the development of the SUMP but to shed light on concrete subjects. In the end, the SUMP did not lead to concrete actions in the field of school transport (which does not exist in Santo Domingo yet). the focus groups demonstrated that there was no economic coherence for this project and no expectations from parents. On the other hand, the very concerted work on the development of the districts led to concrete achievements (pedestrianisation, etc.)

- **Consultation workshops with the municipalities**

The main purpose of these workshops was to involve the various municipalities in the conurbation, which are usually not involved in the planning process and have little opportunity to meet and talk to each other or the State. Two workshops were organised when the scenarios were drawn up:

- The first one focused on possible futures, priorities, and evaluation criteria; it made the participants reflect on concepts such as the links between development projects, urban forms, and mobility needs. A vote was held on the evaluation criteria.

- A second one aimed at presenting elaborated scenarios and getting feedback. It was more concrete: participants were given maps on which they could draw, for example, service principles, institutional scenarios, etc. Three scenarios were drawn up, including the reference scenario (run of the mill).

The participants were informed of the agenda in advance. The workshops brought together 15 to 20 people, sometimes working in sub-groups. The facilitation principles were very classical: a PowerPoint presentation as a support, with very graphic slides that were modified live.

- **Website**

INTRANT and the consultancy firm set up a dedicated website informing the public about the progress of the project, through which it was possible to send contributions, but hardly any contributions were received.

Lessons learnt

The participation process of this SUMP is unique in that it is highly focused on certain topics or audiences and does not claim to be a generalised support process. It is also of limited quantitative importance (only two meetings per subject).

The two main components of this process appear to be quite different and poorly correlated. The approaches directed toward civil society were intended to be very pragmatic and oriented towards concrete subjects. The results are also very pragmatic: awareness of the impossibility of implementing school transport or decisions to carry out local improvements. It seems that in the case of the ***juntas de vecinos***, the process has continued beyond the development of the SUMP.

On the other hand, the consultation with the municipalities allowed for real and effective collaborative work focused on the development of scenarios, which made it possible to bring together entities that were not used to working together.

This example, therefore, illustrates the implementation of a modest, but pragmatic and coherent approach in a country where the practice of public participation was underdeveloped.

Zhytomyr, Ukraine

The SUMP of Zhytomyr was developed on the initiative of the GIZ, in cooperation with the Zhytomyr City Council. It was completed in February 2019. It consists of a **sectorial declination of the Integrated Urban Development Concept of Zhytomyr 2030 (IUDC),** a strategic document defining spatial and socio-economic directions of the urban development in the city. One of the strategic objectives of the IUDC consisted in achieving "sustainable mobility in a compact city." The development of IUDC was done through wide **public involvement, to reinforce the adhesion of the population and stakeholders to the project**. Municipalities in Ukraine were not used to participatory processes before the development of IUDC, and engaging officials in the process has been a challenge for the planning teams. IUDC and the development process of the SUMP might have changed practices as participatory processes for other urban projects have been led after the finalisation of the SUMP.

Participatory activities

A triple organisation structure was established in Zhytomyr to ensure the appropriate involvement of experts, stakeholders, public authorities, and the broader public:

- **A Steering Committee**: this committee was the key implementation group and included decision-makers, representatives of the IUDC project office, and international consultants working on the SUMP. The role of the Steering Committee was to monitor the SUMP development process and to make a strategic decision.
- **Focus groups**: these groups gathered key stakeholders, who could bring their specific professional or user expertise to the planning team. It gathered representatives of different city departments, local mobility experts, police, academics, private sector, representatives industry, transport companies, and specific public associations. The structure of the group was flexible and depended on the needs for developing a particular section of the plan. The objective was not to have the same stakeholders attending all the sessions, unlike what happened in Antofagasta. Focus groups developed a framework for the SUMP and were consulted for the definition of the vision and the definition of the objectives. The focus groups were the main working format for the SUMP elaboration.
- **Mobility forum:** this last group was the widest one, and aimed at maximising the participation of Zhytomyr residents, civil society, and professional associations. The main format was city-wide events (such as Maisternya mista Zhytomyr – consisting of an urban fair gathering 2,000 to 3,000 participants). The objective was to ensure every resident in Zhytomyr may contribute to the development of the SUMP. The mobility forum acted as a platform for people to react and to disseminate key information on the SUMP to the larger public.

Lessons learnt

Zhytomyr's case brings up interesting lessons-learnt for other SUMP elaboration processes. These focus on the strategy that guided the structuration of the participatory process and the analysis of the added value of the different stakeholders that should be involved. There are also interesting points to take on the organisation, means and resources necessary to conduct an ambitious – yet realistic – participation strategy, not solely focusing on institutional and professional stakeholders. The key lessons-learnt are summarised as follows:

- **The added value of engagement with the broader public not limited to top-down communication activities:** the structure of the participation process in Zhytomyr, combining 3 layers of participation and stakeholders (decision-makers, stakeholders, broader public), allowed involving all relevant stakeholders as well as the citizens in schemes adapted to their expertise and competences. Indeed, focus groups allowed to gather technical/specific feedback and expertise while city-wide events allowed to gather feedback on user experience and broader orientations from the public. According to the GIZ, the public recognition of the SUMP was higher after leading these large events, which reinforced the positive image of the project. It also allowed the implementing teams to raise awareness of the citizens on sustainable mobility, and inversely gave innovative ideas to the planning teams to enrich the SUMP.
- **The organisation of the participation activities, means and resources** to be dedicated to participatory activities, as well as their allocation, have been somehow anticipated by the planning teams. While the consultant was responsible for framing the participation strategy (who to consult? when? on what?), they were assisted by the GIZ and the local authorities for the roll-out of the process. It was important in the Zhytomyr context that the consultant felt content-wise responsible for the participatory process planning, the implementation of activities and the consolidation of the results. However, the consultant was assisted by the GIZ during the entire process: use of the GIZ office in Zhytomyr, mobilisation of the stakeholders, provision of key staff for facilitation of the different sessions, financial support for the different activities. Events dedicated to the broad public (Maisternya Mista) were financed by the city administration, with the GIZ bringing some financial support to cover some costs. The structure of the organising team for participatory events should also be anticipated: it is important to rely on a team that can mobilise facilitation expertise and who can deal with potential conflicts – that are unavoidable considering the diversity of the involved stakeholders.
- **Highlighting the added value of participatory activities in urban mobility planning:** inhabitants must feel like their opinion is needed and is appreciated. Participation was quite new in Ukraine where people tended to feel neglected in urban development projects: it is therefore important that participants feel that their opinion matters. In this spirit, some key sections of the final Zhytomyr SUMP are dedicated to the description of the participation strategy and activities led, highlighting the added value of these activities for the elaboration of the SUMP. The detailed list of participants is also provided as an annexe to the final document.

Kisumu, Kenya

In 2016, the local government of Kisumu started to look for adequate partners to develop and implement a realistic, participatory, and achievable SUMP. In this regard, the Institute for Transportation and Development Policy (ITDP) and the United Nations Human Settlements Programme (UN-Habitat), with the support from the Ford Foundation led technical assistance and advisory cooperation to develop the Kisumu Sustainable Mobility Plan (KSMP).

The KSMP is a "ten-year plan providing a roadmap for improving mobility needs of the residents and businesses in Kisumu and its environs." The plan was developed concerning existing policies and regulations and was built on a participatory process principle. The main objective was to develop an integrated high-quality cost-effective, and user-friendly public transport system with a focus on pedestrian and cycling networks.

Participatory activities

The particularity of Kisumu's case is the fact that Kenya imposes participatory activities as a constitutional obligation for any project. The County (as official owners of the project) were under the obligation to put in place participation activities, with the help of Kisumu City. Because of this obligation and a strong participatory culture in the city, activities were implemented at every stage of the plan development process (the KSMP was only completed in February 2021, so evaluation was not conducted).

The participation activities were primarily conducted by the City of Kisumu, ITDP was only present to guide and assist in the process. The participatory processes in the case of KSMP were conducted during a five-year period. Different mechanisms were used, including various stakeholder workshops to get feedback on propositions made by the city, submission of propositions to citizens through the organisation of public commons through five webinars, creation of a website open for 60 days to collect more suggestions, engagement activities (car-free events, cycle training, annual road safety week), and the adoption of the KSMP was through an advertised public event.

The interesting aspect of participation activities during the KSMP development is that they were conducted differently, according to the needs and targeted audience. For instance, there were four workshops with various stakeholders that were conducted in **interactive sessions**, meaning that they included site visits to the streets. This allowed the participants to better observe user behaviour and enhance the thinking process. At the same time, the city organised public commons with the elaboration of five webinars, opened to interested citizens that wanted to submit suggestions or comments on the different axis of development of KSMP.

Moreover, communication activities (effective messaging about sustainable transport, marketing campaigns through various canals) were coupled with **engagement activities to foster public participation.** These activities, planned over ten years, include monthly car-free events (coupled with fitness and art activities, bicycle maintenance clinics), cycle training (specifically targeting the youth and women), annual road safety weeks or incentives for public officials to use bicycles.

One of the particularities of KSMP participation activities was the will to include every level of government (national, County, local) and nodal agencies (Transport Agency of Kisumu, National Transport Authority, etc.) The city also worked with Sacco (matatu organisation), bikers, taxis, consulting firms, civil society

groups, parastatal organisations, educational institutions. These identified groups, that were essential to include, allowed the mobilisation of key stakeholders.

The public, on the other hand, was also included from the beginning of the process. Instead of seeing the general public as a homogenous group, the City and ITDP included them as **a diverse group of stakeholders.** The groups were formed based on one's occupation, daily activities, transport use patterns, etc.

Lessons learnt

Several lessons can be learnt from the development of KSMP, which could be replicated and adapted to another context:

- **The elaboration of the participatory process:** the elaboration of the participatory process illustrates several interesting points. First, the constitutional obligation made participation a subject from the beginning of the project. Second, knowledge gathering about previous experiences in the development of the SUMP was crucial. The city was presented with case-studies from other cities and a study tour in Kigali. Finally, before the participation process, Kisumu officials identified all key stakeholders, often through intermediaries such as informal community leaders.
- **Capacity building of the local counterpart:** building capacities of local authorities to carry out and assure continuity of such a project was a crucial point. In this specific case, there was a lack of knowledge and previous experience with sustainable transport. Directed toward City and County staff but also towards nodal agencies, the capacity building activities included training on distinct aspects of urban mobility planning, such as urban design or public transport management.
- **Building trust:** the city officials had the objective of building trust within the community to gain support for the project. The development of participation activities and the inclusion of a large and diverse number of citizens was a tool used by the city officials. Moreover, there was a specific will to be extremely transparent with the entire process.

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