

1 Article

2 **Developing Knowledge based Citizen Participation**  
3 **Platform to Support Smart City Decision Making:**  
4 **The Smarticipate Case Study**5 **Zaheer Khan\*<sup>1</sup>, Jens Dambruch<sup>2</sup>, Jan Peters-Anders<sup>3</sup>, Andreas Sackl<sup>4</sup>, Anton Strasser<sup>4</sup>,**  
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8 [Anton.Strasser.fl@ait.ac.at](mailto:Anton.Strasser.fl@ait.ac.at), [peter.froehlich@ait.ac.at](mailto:peter.froehlich@ait.ac.at), [simon@wetransform.to](mailto:simon@wetransform.to), [Kamran.Soomro@uwe.ac.uk](mailto:Kamran.Soomro@uwe.ac.uk)9  
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1718 **Abstract:** Citizen participation for social innovation and co-creating urban regeneration **proposals**  
19 can be greatly facilitated with innovative IT systems. **Such systems** can use Open Government  
20 Data, visualise urban proposals in 3D models and provide **automated** feedback on the feasibility of  
21 the proposals. Using such a system as a communication platform between citizens and city  
22 administrations provide an integrated top-down and bottom-up urban planning and decision  
23 making **approach to smart cities**. However, generating **automated** feedback on citizens initiated  
24 proposals requires modelling domain specific knowledge i.e. vocabulary and rules, which can be  
25 applied on spatial and temporal 3D models. This paper presents the European Commission funded  
26 H2020 Smarticipate platform that aims to achieve the above challenge by applying it on three smart  
27 cities: Hamburg, Rome and RBKC-London. Whilst the proposed system architecture indicates  
28 various innovative features, a proof of concept of automated feedback feature for Hamburg use  
29 case 'planting trees' is demonstrated. Early results and lessons learned yield that it is feasible to  
30 provide **automated feedback on citizen initiated proposals on** specific topics. **However**, it is not  
31 straightforward to generalise this feature to cover more complex concepts **and conditions** which  
32 require **specifying comprehensive** domain languages, rules **and appropriate tools to process them**.  
33 **This paper also highlights the strengths of the smarticipate platform, discusses** challenges to realise  
34 **its** different features **and suggests** potential solutions. **Keywords:** citizen participation,  
35 knowledge generation, automated feedback, planning proposals, domain vocabulary and rule  
36 languages  
3738 **1. Introduction**39 Citizen participation in urban decision making is not new (Arnstein, S. 1969). Emergence of  
40 Information and Communication Technologies (ICT) has transformed traditional top-down  
41 approaches (e.g. public meetings or consultations) by providing new **web based IT** tools that enable  
42 citizens to **take part in a participatory city planning process** (Khan Z et al 2014a; Dambruch and  
43 Krämer 2014). However, many current participatory tools are mainly providing commenting or

44 voting mechanisms on the possible options of a planning proposal provided by city administrations.  
45 On the one hand, such tools greatly improve the capability of a city administration to communicate  
46 top-down plans with citizens and seek their opinion to legitimize planning decisions. On the other  
47 hand, such tools hardly support bottom-up planning or decision-making to promote co-creation and  
48 open innovation in city planning that can generate data-driven evidence-based policy making  
49 (Semanjski I et al 2016).

50

51 This suggests the need for participatory planning tools, which can support both top-down and  
52 bottom-up approaches, for example, allowing citizens to create new innovative ideas or proposals  
53 and facilitate dialogue between citizens and their city administration. Further, such tools should be  
54 able to make use of Open Government Data (OGD) (2017) and provide contextual (Khan Z et al  
55 2014b) information that may be associated with a specific location or geo-coordinates. As a result,  
56 real-time data analytics can be performed to generate new knowledge (e.g., feasibility feedback) on  
57 citizen initiated proposals for a specific topic. This increases awareness about those proposals  
58 amongst other citizens and allows them to contribute to the proposals before submitting as a formal  
59 planning application. Existing participatory approaches often lack such a feedback feature. In  
60 addition, achieving this objective is not straightforward due to the following reasons:

61 i) need for domain knowledge which can derive rules to process proposals and generate  
62 feedback,

63 ii) enable citizens to interact with the system to create new proposals and get automated system  
64 generated feedback,

65 iii) fine-granularity of spatial-temporal data, format compatibility and accessibility of OGD to  
66 create and process proposals,

67 iv) visualisation of proposals in 3D landscape view,

68 v) ability to run tools from multiple platforms i.e. web, tablets and smartphones, and

69 vi) need for an extensible system architecture and design to add and develop new features.

70

71 The Horizon-2020 smarticipate project (2016-2019) responds to the above research challenges by  
72 developing a smarticipate service platform for three European Cities: i) Hamburg (Germany), Rome  
73 (Italy) and Royal Borough of Kensington and Chelsea – London (UK). Using smarticipate service  
74 platform, different stakeholders including citizens can interact with the system to initiate new  
75 proposals using 3D city models and get automated feedback on any proposed changes. The platform  
76 provides a carefully selected list of features, which are derived from the case study city  
77 requirements. These features enhance the ability of citizens to co-create, collaborate and participate  
78 in city decision making. However, these features require extensive research to provide accurate and  
79 contextual information that can enhance the effectiveness and efficiency of citizen participation in  
80 participatory planning processes. In this paper, we present smarticipate development process,  
81 proposed platform architecture and a selected use case to highlight challenges in processing citizens'  
82 proposals and generating automated feedback.

83

84 The remainder of this paper is as follows: Section 2 covers related work followed by a brief  
85 introduction to the smarticipate project objectives in section 3. This section also covers smarticipate  
86 system architecture and its features, followed by a selected use case that is used to develop a proof of  
87 concept to demonstrate automated feedback feature in section 4. In section 5, discussion and lessons  
88 learned about technical feasibility and challenges are presented. Finally, conclusions and future  
89 research directions are presented in section 6.

90

## 91 2. Related Work

92 Our previous work on participatory governance (Soomro et al, 2017) (Khan Z et al, 2014)  
93 provides scientific review of citizen participation theories and practices in selected smart  
94 cities. Berntzen & Johannessen (2016) highlighted that citizen's role in the participatory process and

95 the competence, local knowledge and awareness of issues can produce better plans and services. In  
96 addition, their capabilities as data sensors can facilitate building liveable environments and smart  
97 cities. However, with existing known urban challenges has arisen the agenda of open governance  
98 and co-production of urban solutions (European Commission, 2013a). The new changing landscape  
99 of ICT enabled integrated and bottom-up participatory urban governance is driving expectations of  
100 a more effective policy implementation supported by the new legitimacy of the stakeholder coalition  
101 and the political capital of the community (Misuraca G et al. 2010). The interplay of social and  
102 technological innovation is transforming governance of cities, as communities expect more active  
103 engagement in the planning of their communities and the visioning of the future of their city. The  
104 traditional expert master planning is transforming towards bottom-up community and  
105 neighbourhood planning to help small communities solve big societal challenges (Insigt project,  
106 2013) (Bunt L and Harris M, 2010). The dynamic of social and technological innovation is defining a  
107 new smart city governance addressing the complex challenges of urban planning and governance  
108 and simultaneously transforming the city governance model in fundamental ways (European  
109 Commission, 2013b). However, only inclusive and active participation from different user groups  
110 can creatively identify and co-create urban proposals to transform local neighbourhoods.

111  
112 In the above context, the smarticipate project is going beyond top-down citizen participation  
113 and encourages pure bottom-up participatory initiatives, which can be considered as a stepping  
114 stone towards higher levels in Arnstein's participation ladder (i.e. partnerships, delegated power  
115 and citizen control) (Arnstein, 1969). Smarticipate also fits nicely to Participatory Method Ladder  
116 proposed by Berman (Berman, 2015) where he emphasises on the approaches and method to  
117 incorporate residents' perspective and needs into planning and ascend the level of citizen  
118 participation in planning processes. Among others, Beebejaun (2016) highlights one key challenge  
119 about the limited evidence demonstrating public opinion influencing the decision-making  
120 processes. In smarticipate, the openness of citizens' opinions and alternative proposal ratings  
121 provide transparent and evidence-based approach to reflect citizens needs to influence planning  
122 decisions.

123  
124 Smarticipate reuses results from the urbanAPI<sup>1</sup> project, where 3D virtual planning tools were  
125 developed and tested with domain experts. Dambruch and Krämer (2014) report about how such  
126 tools could be used in public participation processes. Smarticipate takes on board these findings and  
127 goes beyond visualisation of planning proposals by including interactive feedback mechanisms in  
128 2D and 3D visual models. Similarly, Ruppert et al. (2015) provide an overview of visual decision  
129 making support for policy making by demonstrating one of the urbanAPI project (2011-2014) case  
130 studies on eParticipation in urban planning. They conclude that visual technologies are useful for  
131 communication and support a dialogue from experts to citizens. These conclusions provide the basis  
132 to use 2D and 3D visualisation of proposals in the smarticipate platform so that a dialogue from  
133 citizens to experts can be initiated. Krämer et al (2014) suggested to use Domain Specific Language  
134 (DSL) to define rules which can be used to define constraints and domain knowledge to be applied  
135 in a policy cycle. This provides the basis to use DSL to design and develop the automated feedback  
136 feature.

137  
138 In addition to above, there are several participatory projects in urban planning which mostly  
139 focus on a specific topic or features to support planning process (Future of Planning, 2016). In  
140 smarticipate context, the most relevant initiatives around the world are:

141 **CiviQ<sup>2</sup>** - it provides visual services that visualise the flow of all stakeholder's opinions, from  
142 submissions, consultation and deliberation process;

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<sup>1</sup> <http://www.urbanapi.eu>, last accessed: 27.02.2017

<sup>2</sup> <http://www.civiq.eu/>, last accessed: 27.02.2017

143 COLAB<sup>3</sup> - is a citizen to government engagement platform for issue reporting and public  
144 services evaluation as well as participation in decision making process;

145 COMMONPLACE<sup>4</sup> - is an online consultation platform for local participation through  
146 dialogues for making more compelling proposals with real-time feedback and analysis presented  
147 through live dashboard;

148 Sticky World<sup>5</sup> - allows people to upload and share different types of contents including  
149 multimedia contents e.g. videos, images, pdf, audios to exchange ideas visually with others so that  
150 they can add comments, while backend systems also generate participative statistics;

151 City Swipe<sup>6</sup> - provides an intuitive citizen engagement platform to learn about citizens'  
152 preferences and concerns about the city's urban core through quick questions, which is then used in  
153 long-term city plan;

154 Land Sight<sup>7</sup> - a set of tools that can provide information about a selected site/land, use of the  
155 site and can perform preliminary viability assessment indicating what kind of development is likely  
156 to receive planning permission;

157 Flux Metro<sup>8</sup> - allows users to interact with a sample area of Austin, Texas in 3D environment to  
158 visualise site's information e.g. context and constraints, heights and shadows. It can be used to get  
159 information about building plots and parcels by combining data from different sources which is  
160 becoming a challenge to understand development potential, predict profitability outcomes in given  
161 scenarios;

162 City Life Management<sup>9</sup> - is an online engagement platform that can help to calculate short and  
163 long term impact of a planning intervention. For example, a user can place a building object in a 3D  
164 model of a site and the platform can generate results such as energy demands, impact on traffic  
165 flows, air pollution, etc.;

166 UrbanPlanAR<sup>10</sup> - attempts to use mobile augmented reality to capture real-time-in-field  
167 visualisation of a proposed development at a site using 3D data to visualise development potential;

168 Piazza platform<sup>11</sup> – provides a digital platform to facilitate dialogue between citizens and city  
169 administration to test new urban infrastructure or services before entering the planning or  
170 implementation phase.

171  
172 All the above initiatives cover different aspects of participatory governance. However, most of them  
173 are either concentrating on visualisation or communication or planning and expected impact. To the  
174 best of our knowledge, no one existing solution fully supports both top-down as well as bottom-up  
175 citizen engagement and provide features like 2D/3D visualisation, change in proposal and getting  
176 automated feedback, dialogue exchange, citizen communication, preference selection, alternative

<sup>3</sup> <http://www.colab.re/>, last accessed: 27.02.2017

<sup>4</sup> <http://www.commonplace.is/>, last accessed: 27.02.2017

<sup>5</sup> <http://info.stickyworld.com/>, last accessed: 27.02.2017

<sup>6</sup> <http://www.dtsmcityswipe.com/>, last accessed: 27.02.2017

<sup>7</sup> <http://www.landinsight.io/>, last accessed: 27.02.2017

<sup>8</sup> <https://metro.flux.io/metro/>, last accessed: 27.02.2017

<sup>9</sup>

<http://www.siemens.com/innovation/en/home/pictures-of-the-future/infrastructure-and-finance/livable-and-sustainable-cities-virtual-urban-planning.html>,

last accessed: 27.02.2017

<sup>10</sup> <http://urbanplanar.com/>, last accessed: 27.02.2017

<sup>11</sup> <http://www.piazza.eu/>, last accessed: 12.04.2017

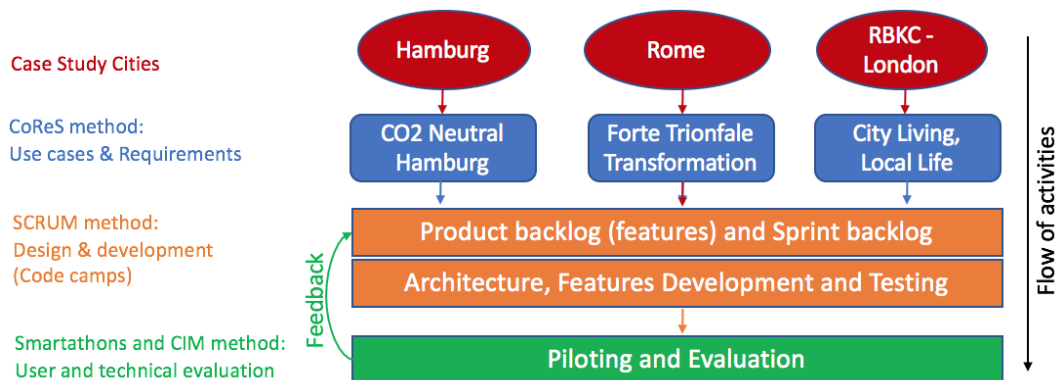
177 proposals to support evidence-based urban plans. This makes smarticipate unique and takes beyond  
 178 the state of the art.  
 179

### 180 3. The Smarticipate Platform

181 The smarticipate project (2016-19) aims to develop an online participatory platform that is accessible  
 182 through PC/web, tablets and smartphones. The objective of the project is to enable citizens and city  
 183 administration to establish a dialogue on new planning proposals or services. The objectives here  
 184 are to: i) make effective use of OGD, ii) get citizens opinion on the proposed planning initiatives by  
 185 city administration – promoting top-down participatory planning, and iii) to enable citizens to  
 186 co-create and share new innovative proposals with community and hence promoting bottom-up  
 187 planning and open innovation (Cohen Boyd et al 2016). Citizens can create their proposals. Others  
 188 can interact with those proposals and the automated feedback feature of the platform provides  
 189 impact assessment e.g. feasibility details about a proposal when certain urban infrastructural  
 190 parameters are changed. For example, feedback can be “whether a proposal is compliant to local  
 191 planning regulations?” or “what is the budget or cost associated with the proposal?”, etc.  
 192

#### 193 3.1 smarticipate methodology

194 Figure 1 depicts the overall smarticipate system development methodology.  
 195



196  
 197

198 **Figure 1:** Smarticipate development methodology

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 200

201 Like a typical system development process, smarticipate starts with identification of use cases  
 202 and requirements from case study cities: Hamburg, Rome and RBKC – London. The CoReS method  
 203 (Khan Z et al 2013a) was applied and number of requirements were gathered, analysed and  
 204 validated. For requirements gathering, three requirements gathering workshops were organised  
 205 with case study cities. Selected use cases and requirements were defined. Each requirement  
 206 statement consists of description, rationale, owner, acceptance criteria, validation status and level of  
 207 importance. All requirements are managed through online collaborative project management  
 208 system, Redmine (Redmine 2016). This enabled city stakeholders to refine, update and validate these  
 209 requirements. There were total 6 use cases and 72 requirements.  
 210

211 Then SCRUM methodology (Schwaber 1995) is used for designing and development of specific  
 212 required features. As a result, a product backlog and sprint backlogs were created. The objective was  
 213 that these features are tested and validated by end users from case study cities so that smarticipate  
 214 platform can be deployed and evaluated in real environment. Total 117 features were derived from  
 215 the requirements and inserted in the Redmine requirements management system. As an example,

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please see Figure 2 and Figure 3, which depict one example of a requirement and its associated feature.

**Requirement #21** Edit Log time Watch Copy Delete

Use Case #20: Co-creation between a developer and the community « Previous | 6 of 69 | Next »

**System should allow users to create 3D models of proposed development plans**

Added by Kamran Soomro 11 months ago. Updated about 1 month ago.

<b>Status:</b>	Validated	<b>% Done:</b>	<div style="width: 0%;"></div> 0%
<b>Priority:</b>	High		
<b>Owner:</b>	Hamburg, Hamburg Smartathon, RBKC, Rome	<b>Assumption:</b>	The 3D models are BIM-compliant
<b>Source:</b>		<b>Validated:</b>	Hamburg, Rome
<b>Type:</b>	Functional	<b>Means of Validation:</b>	
<b>Rationale:</b>	Facilitate the communication of development proposals between different stakeholders.	<b>Acceptance Criteria:</b>	Users can place various objects in a 3D model and receive feedback

**Sprint:**

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**Description** Quote

The system should allow the users to develop 3D models of proposed developments plans by placing objects within existing 3D models. The 3D models should include basement developments.

For Hamburg the system should provide the option to add different types of trees. See Use Case #39.

For Rome the platform should support urban gardens.

Figure 2: Smarticipate requirements management

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**Feature #111** Edit Log time Watch Copy Delete

Use Case #20: Co-creation between a developer and the community

Requirement #21: System should allow users to create 3D models of proposed development plans

**As a user (contributor) I should be able to get automated feedback when I place a tree in the proposal so that I can analyse its impact.**

Added by Kamran Soomro 4 months ago. Updated about 1 month ago.

<b>Status:</b>	Validated	<b>Start date:</b>	
<b>Priority:</b>	High	<b>Due date:</b>	03/31/2017
<b>Assignee:</b>	-	<b>% Done:</b>	<div style="width: 0%;"></div> 0%
<b>Target version:</b>	-		
<b>Owner:</b>		<b>Story points:</b>	
<b>Category:</b>	Automated feedback	<b>Blocked:</b>	
<b>Sprint:</b>	Product backlog	<b>Position:</b>	38

**Description** Quote

Due by C1 / first review meeting.

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**Subtasks** Add

<b>Test Case #228:</b> A user who is a contributor can add a tree (from a list of tree catalogue) to the proposal and get immediate feedback about it.	Pending	Kamran Soomro	<div style="width: 0%;"></div>
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**Related issues** Add

Related to smarticipate - <b>Feature #110:</b> As a user (contributor) I should be able to add a tree to the proposal to visualise it in the neighbourhood.	Validated	03/31/2017	<span>🔗</span>
Related to smarticipate - <b>Feature #155:</b> As a proposal administrator once I have received feedback on my tree options I should be able to make an application for planting a tree and get estimated time when will the tree be planted.	Under review	05/31/2017	<span>🔗</span>
Related to smarticipate - <b>Feature #168:</b> As a contibutor, when an edit in the proposal is performed then the automated feedback should include social and economic impact so that pros and cons of the proposal can be ascertained.	Under review	05/31/2017	<span>🔗</span>

Figure 3: An example of Feature derived from a requirement

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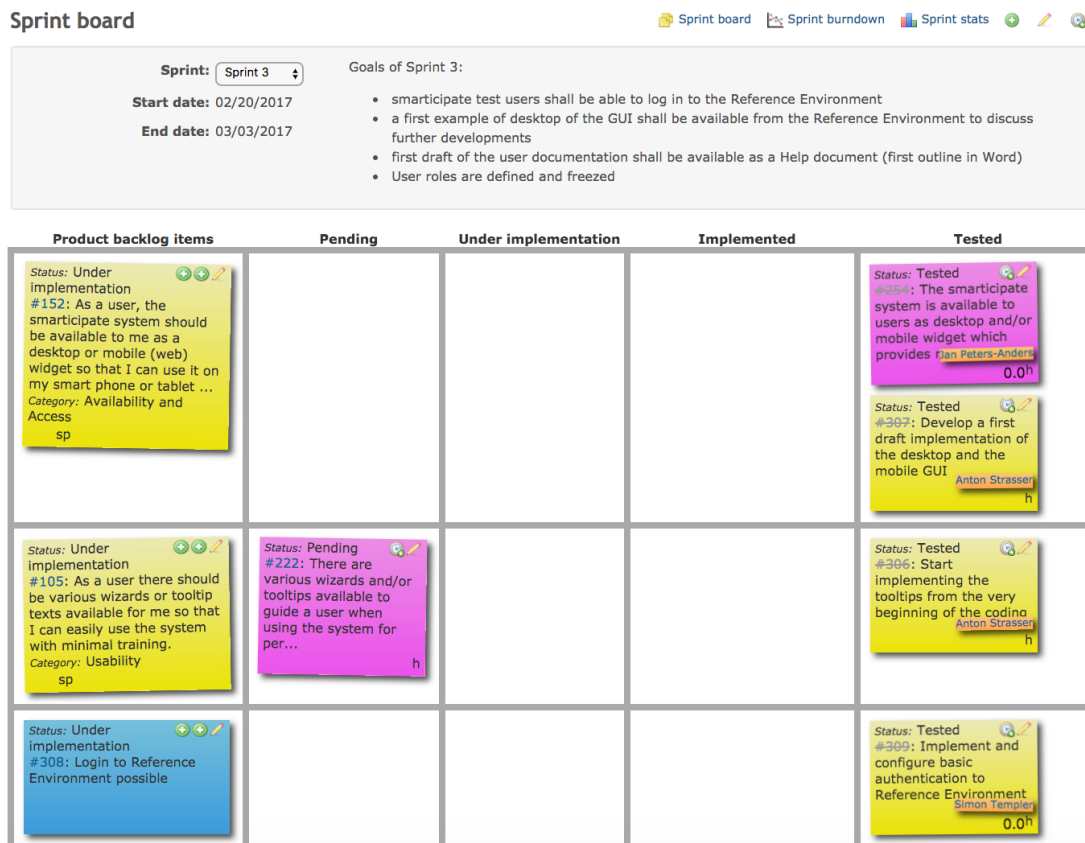
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As SCRUM methodology is applied for the development of smarticipate platform, product backlog and sprint backlogs are also managed in the Redmine requirements management system. Figure 4 and Figure 5 depict product backlog with high priority features and sprint boards. Hence, all requirements, features, development tasks and test cases are managed in one content management system that provides forward and backward traceability and an up-to-date status of feature development.



Figure 4: Product backlog – (total 117 features)

232  
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235

236 **Figure 5: Sprint board – SCRUM sprint planning** (colouring scheme shows different categories  
237 of items e.g. yellow colours are features, blue colours are technical tasks, purple colour are test cases)  
238

239  
240 For piloting, Smartathons (a term derived from hackathons) were organised to gather citizens'  
241 requirements in co-designing smarticipate platform. These Smartathons generated new  
242 requirements which were also added in the Redmine requirements management system. For  
243 evaluation, Criteria Indicators and Metrics (CIM) approach (Khan Z et al 2012; Khan Z et al 2013b) is  
244 applied. Using CIM approach test cases are defined for each requirement. These test cases are also  
245 added in the Redmine system and are used by developers to test the features, as depicted in the  
246 Figure 5. In addition, both online and In-system evaluation techniques are planned for user based  
247 evaluation exercises to acquire feedback and improve smarticipate features.  
248

### 249 3.2. A selected use case: CO2 Neutral Hamburg – Tree planting

250 To demonstrate smarticipate platform usefulness, one of the use cases from Hamburg is  
251 selected. This selected use case: i) shows relevance of the smarticipate project for citizen  
252 participation and informed choices when creating proposals, and, ii) develops a proof of concept to  
253 demonstrate selected smarticipate platform features.  
254

255 Based on Hamburg Transparency Act, Hamburg's open data portal provides a huge amount of  
256 OGD. However, it is not straightforward for a non-IT person to make effective use of this data.  
257 Hamburg would like citizens to make effective use of OGD for their informed decision making. In  
258 this respect, CO2 Neutral Hamburg use case aims to enable their citizens to make informed choices  
259 about tree plantation in their neighbourhoods. This means that a citizen should be able to select a  
260 location for tree plantation through smarticipate platform. This tree may belong to some specific  
261 species. At the moment, without manual expert intervention, it is not possible to get useful  
262 information on the feasibility of tree plantation at the selected location and share it with other  
263 citizens. Through smarticipate, a citizen not only will be able to select a location for tree plantation  
264 but also would be able to get analytical feedback. This feedback may include: i) whether or not it is  
265 feasible to plant a tree at the selected location?, ii) if it is not possible then why is it not possible? and,  
266 suggest an alternative location that is more feasible, iii) what is the budget and cost of tree  
267 plantation?, iv) what is the expected environmental impact i.e. CO2 reduction, etc. Based on this  
268 information, that citizen can share her proposal with the community to get suggestions and assess  
269 any social impact. This will help that citizen to decide whether to go ahead for tree planting  
270 application with city administration or share with other stakeholders for fund raising (i.e. crowd  
271 funding). Hence, the smarticipate platform will enable citizens to make use of OGD, visualise tree  
272 plantation, get feedback on tree plantation, communicate with city administration and other citizens  
273 for their opinions.  
274

### 275 3.3. smarticipate system architecture

276 Smarticipate platform is designed as a responsive web application (i.e. responsive web design)  
277 so that it can be available on different devices and screen sizes and accessible to anyone who is  
278 interested in participating in planning proposals. Figure 6 depicts the overall smarticipate system  
279 architecture.



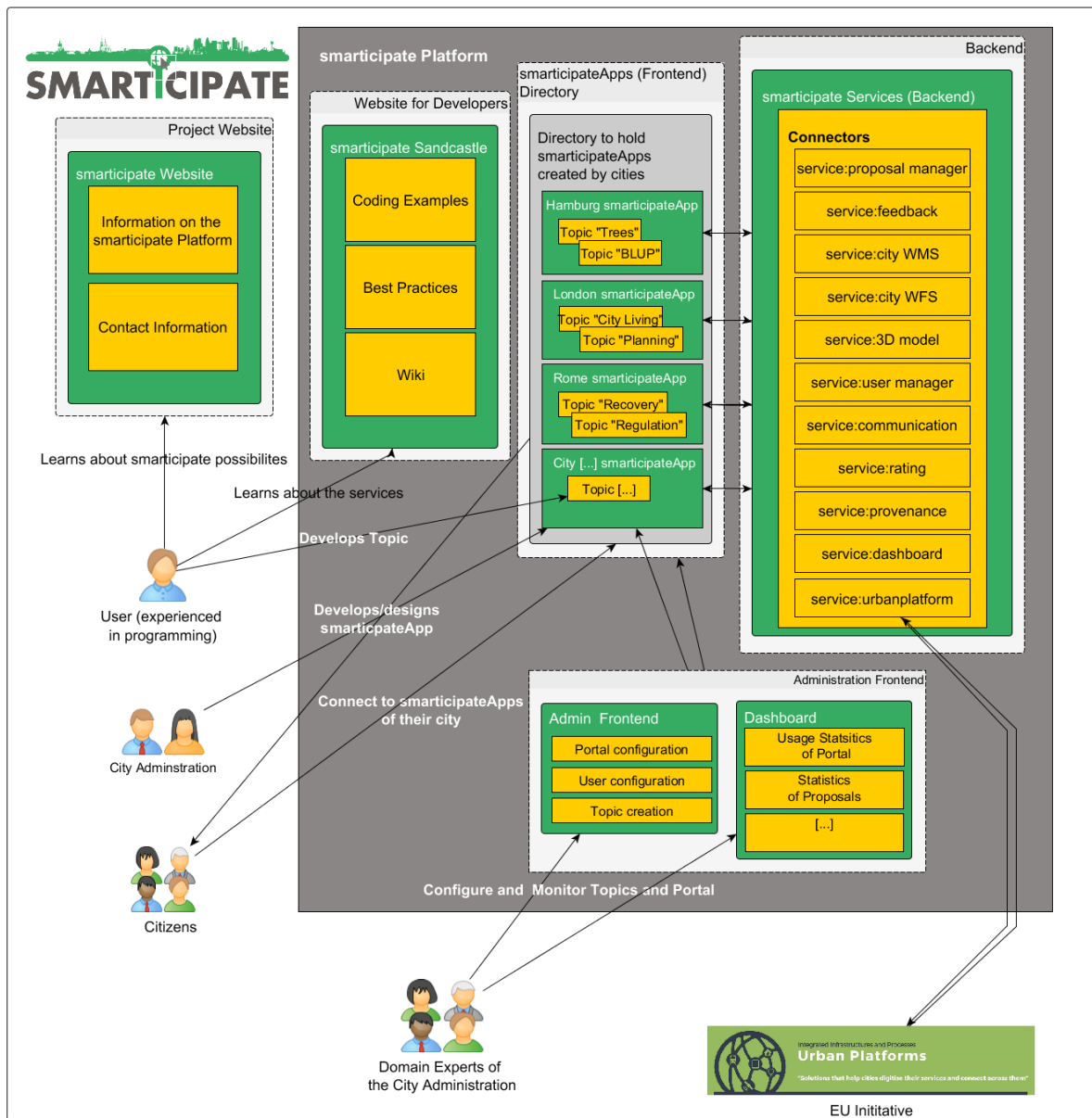


Figure 6: smarticipate system architecture

The overall idea here is to have the smarticipate website<sup>12</sup> (on the left-hand side) serving as an entry point to the platform. During the lifetime of smarticipate, the project is running its own Docker server for continuous testing (explained in later section), co-designing features and features demonstration purposes.

The features of the smarticipate platform are (cp. Figure 6, grey box):

- The **Website for developers**: It serves as an information hub for users able to code or write software programs. Here they find coding examples and best practices which enable them to code a Topic for the smarticipateApp of a city e.g. Building refurbishments, brown field regeneration, etc.

<sup>12</sup> URL: <http://www.smarticipate.eu/>, last accessed: 27.02.2017

- 292 • **smarticipateApp(s)**: This is the directory which holds the smarticipateApp of one city (e.g.  
293 dedicated server) or more cities (e.g. deployment through centralised server on cloud). The apps  
294 themselves contain different Topics.
- 295 • **Topic(s)**: Topics hold the content of a participation process being tackled by the city (e.g.  
296 the tree planting topic of Hamburg, see below Figure 7). The smarticipateApp comprises of one or  
297 more Topics. **These topics can be build using OGC or data from other sources which are not**  
298 **available in public domain.**
- 299 • **Backend - smarticipate Services**: This is the backend of the platform which connects to the  
300 different data sources needed for the participation Topic (e.g. OGD) as well as connections to social  
301 media and configuration services for the actual smarticipate Platform instance. **These services**  
302 **provide functionality for different required features. Currently, the following services are included.**  
303 **However, additional services can be developed and linked due to micro-services approach**  
304 **(discussed later).**
- 305 ○ **Proposal manager service**: This service is facilitating the different proposals  
306 suggested in a specific Topic of the platform. It is also managing the different comments  
307 and edits made by the different users of the platform.
  - 308 ○ **Feedback service**: This is one of the core services of the smarticipate platform. It is  
309 providing direct feedback for each Topic (from pre-configured data layers and rules). The  
310 feedback is requested via clicking on a location or object within the map and the user is  
311 then provided with information if a proposal is feasible at this location and if not, why this  
312 is the case. In this way, the city planning procedures become more transparent for the  
313 citizens.
  - 314 ○ **3D Model service**: This service is providing 3D data for visualisation purposes (if the  
315 city has such data available). **WFS service**: This service is providing an WFS interface to  
316 the platform's Geoserver. If a certain data set is not available as Open Data, citizens can  
317 create their own service to be used in their Topics.
  - 318 ○ **WMS service**: Like the WFS service, this service is providing an WMS interface to the  
319 platform's Geoserver which enables the creation of own (visual) map layers for the new  
320 Topics. This service is useful when required map data is not available via Open Data  
321 portals. **User manager service**: This service is providing the interface to the user and user  
322 rights management system of the platform. This means that different roles and  
323 permissions can be set up by platform administrator.
  - 324 ○ **Communication or notification service**: This service manages the communication  
325 between the users of the platform and sends notifications about new Topics and  
326 proposals.
  - 327 ○ **Rating service**: This service is managing the ratings/voting of the different proposals  
328 done by the users of the platform.
  - 329 ○ **Provenance service**: This service is used to keep a track record of all proposals and  
330 their edits, enabling a later analysis of the process, which can then lead to a change in the  
331 future proceedings of the city planning.
  - 332 ○ **Dashboard service**: This service is providing the interface to the data that is needed to  
333 generate various statistics. It provides statistical information such as latest logins of users,  
334 number of proposals for each Topic, number of edits, number of votes in favour for a  
335 proposal etc.
  - 336 ○ **Urban platform service**: This service will enable a connection the Urban Platform  
337 initiative's server. This will be –ideally– a generic service which will allow to connect to  
338 similar platforms in the future.
- 339
- 340 • **Administration Frontend**: This is the frontend to configure and monitor the different  
341 Topics and their users involved.

342 • **System Dashboard:** This is the visual interface which provides all statistics about topics  
 343 and associated proposals e.g. trend analysis, rating of each proposal, number of users participated  
 344 for a topic, etc.

346 Figure 6 also depicts different roles (avatars), which interact with different platform services.  
 347 These roles are:

- 348 • **User (experienced in programming):** a person with experience in programming who can  
 349 create Topics using the smarticipate API.
- 350 • **City Administration:** represents the users within the city administration who configure  
 351 and monitor the smarticipate platform.
- 352 • **Citizens:** refers to the users who use the smarticipate platform to give their opinion to the  
 353 smarticipate Topics and Proposals.
- 354 • **Domain Experts:** These can be urban planners, builders, infrastructure developers, local  
 355 businesses who are able to share their expert knowledge.
- 356 • **External EU Initiatives:** Other projects and initiatives like Urban Platforms.

358 The project’s scenarios are represented via their logic in the frontend and the backend of the  
 359 smarticipate platform. The backend of the smarticipate platform has been designed to be as generic  
 360 (i.e. reproducible) as possible. This will allow other cities/citizens to make use of smarticipate  
 361 interfaces to create their topics of interest. The following Figure 7 depicts the flow of activities of the  
 362 Hamburg selected use case. This shows that how different services work together to deliver tree  
 363 plantation use case. Figure 7 is structured as follows:

- 364 • the second column depicts the “User”
- 365 • the third column (“smarticipate app”) depicts the workflow of the front-end app to be  
 366 developed,
- 367 • the columns named “service: [...]” depict the backend services to be consumed by the  
 368 smarticipate app.

369

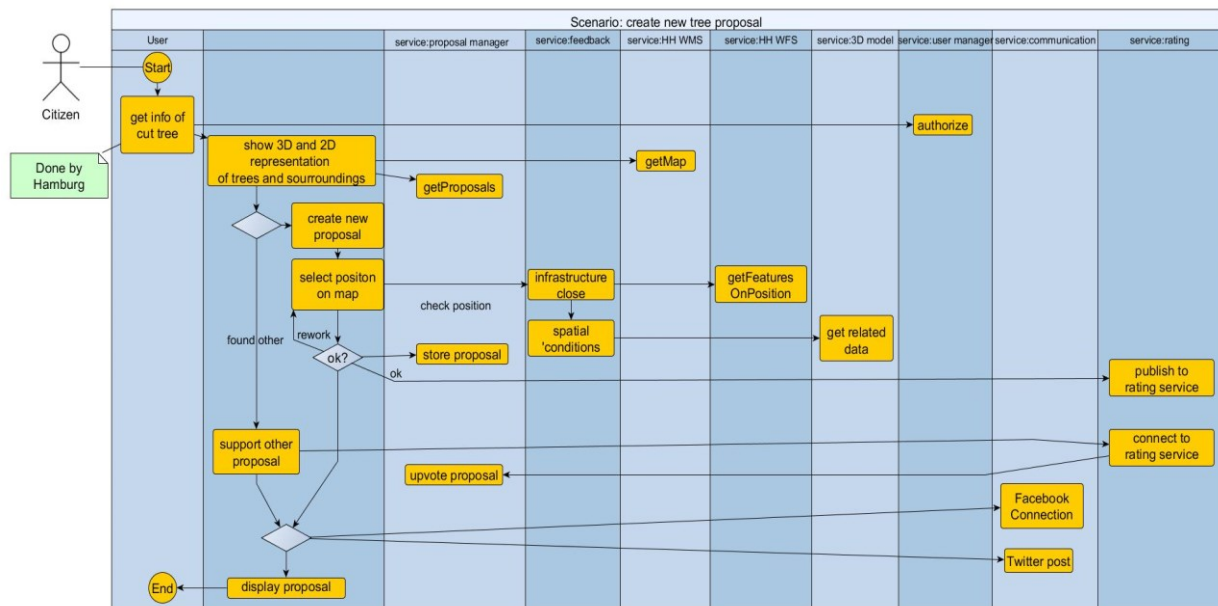


Figure 7: Example of an Activity Diagram: Hamburg: CO2 Neutral - Tree Planning Scenario

370

371

372

### 3.4 Implementation and Deployment Setup

This section presents the selected technologies and deployment setup details.

374

375

#### 3.4.1 The smarticipateApp

376

377 The smarticipateApp is using an HTML5/Javascript-based approach to create a  
378 platform-independent, responsive, and reusable user interface, which enables to deliver high  
379 usability and accessibility to satisfy end users. As a main scenario smarticipate sees the usage of  
380 smartphones for creating and discussing citizens proposals.

381  
382 With HTML5, it is possible to employ the Progressive Web App (PWA)<sup>13</sup> development model,  
383 which be the successor of so called hybrid apps. The Web application itself is designed as a  
384 single-page-application (SPA)<sup>14</sup>, build upon the React JavaScript library<sup>15</sup>, which follows a modern  
385 component based approach enabling a high degree of modularization of the codebase and  
386 reusability of existing components. There exist a rich set of components, such as UI-toolkits,  
387 state-management, routing, etc. that can be used to tailor the application to the specific needs of the  
388 project. With React-Native<sup>16</sup>, it is planned to create native mobile apps using React, which can  
389 perform better than progressive or hybrid apps.

390

### 391 3.4.2 Microservices approach

392 Namiot and Sneps-Sneppe (2014) describe a micro-service architecture as an approach to  
393 develop an application as a set of small independent services. Each of the services is running in its  
394 own independent environment and the services can communicate via some lightweight mechanism  
395 such as HTTP or HTTPS. An example of micro service approach is Netflix<sup>17</sup>. In smarticipate context,  
396 it is obvious that change and adaption to users' needs is the key to success. Apart from this, also the  
397 technical integration in an existing IT-infrastructure is a common goal to avoid replicating  
398 functionality and data, which means that an open architectural approach is needed. This suits to the  
399 smarticipate platform where integration of smarticipate services with current IT systems of a city  
400 administration is required. For instance, an urban regeneration proposal created by a citizen can be  
401 directly submitted, with all citizen participatory and feedback evidence, to planning department  
402 through city planning application portal. To meet such needs, smarticipate platform is based on  
403 Micro-Service Oriented Software Architecture. This approach provides strong isolation and loosely  
404 coupled services with single goal so that any changes in requirements can be manageable. For  
405 example, the user management service mentioned in Figure 6 only deals with managing users, not  
406 billing users, not communicating to users and so forth. Micro-service approach also provides  
407 flexibility in using the most appropriate tools to implement a service. For example, when web based  
408 formats and protocols are used i.e. the technology providing the service can be selected as best  
409 suited for the case (as demonstrated in feedback service proof of concept). This means services using  
410 different technologies can be combined easily. Micro services are well suited for smarticipate's agile  
411 development approach since small services can be developed completely in one sprint<sup>18</sup> and the  
412 common codebase is kept small.

413

414 However, the above architectural approach is not without challenges. For instance, the  
415 complexity of orchestration and process management is now located at the network level in a  
416 distributed, loosely coupled system. This means that smarticipate must expect:

- 417 ● Fault tolerance e.g., network errors or outages may occur at any time
- 418 ● Latency and limited bandwidth for network access i.e. data access is not cheap

---

<sup>13</sup> <https://developers.google.com/web/progressive-web-apps/> , and [https://en.wikipedia.org/wiki/Progressive\\_web\\_app](https://en.wikipedia.org/wiki/Progressive_web_app) ,  
last accessed: 27.02.2017

<sup>14</sup> [https://en.wikipedia.org/wiki/Single-page\\_application](https://en.wikipedia.org/wiki/Single-page_application) , last accessed: 27.02.2017

<sup>15</sup> <https://facebook.github.io/react/>, last accessed: 27.02.2017

<sup>16</sup> <https://facebook.github.io/react-native/> , last accessed: 27.02.2017

<sup>17</sup> <https://www.netflix.com/>, last accessed: 23.02.2017

<sup>18</sup> [https://en.wikipedia.org/wiki/Scrum\\_\(software\\_development\)#Sprint\\_Backlog](https://en.wikipedia.org/wiki/Scrum_(software_development)#Sprint_Backlog), last accessed: 23.02.2017

- 419 • Network security must be ensured
- 420 • Changes in network topology can have impacts, networks can be inhomogeneous
- 421 • Administration of a “zoo of machines and services” is expensive
- 422 • Testing requires more effort and additional technology for distributed systems

423

### 424 3.4.3 Docker as Container Platform

425 Many of the issues are covered by using a lightweight **virtualisation** technology for the  
426 deployment of smarticipate services. In this respect, Docker-Containers<sup>19</sup> are selected to provide the  
427 runtime environment for most of smarticipate platform services. Docker provides a minimalistic,  
428 flexible, easy to setup and manage Linux environment for a service that works independently and  
429 isolated in a container. With these containers, it is also possible to exchange services at run time or  
430 have sophisticated **Cloud Computing** technology which utilises available resources more effectively.  
431 The network complexity with mapping network paths **and addresses** to services can be virtualised  
432 **or can be provided** via docker-compose scripts. These scripts describe which services cooperate **and**  
433 **which services are needed** to be deployed for runtime environments. In the simplest case, all services  
434 can run at a single developer machine. The same setup can also be **deployed and run** in a production  
435 environment on **a reliable and** redundant hardware in cloud environments without worrying about  
436 needed libraries. This gives the system ultimate flexibility to involve citizens as **testers or developers**.  
437 If their needs change in the future, the users of the system can migrate to cloud service providers or  
438 set up their own cloud.

## 439 4. Automated Feedback Feature: An Example Service of the Smarticipate platform

440 **Now we take one example service to demonstrate proof of concept. The automated feedback**  
441 **service is selected due to its highly unique capabilities and high demand by the end users. This proof**  
442 **of concept will show that feedback service uses various technologies for the implementation of**  
443 **certain capabilities and using micro-service approach can be connected with the smarticipate**  
444 **platform. In the following sections, we'll cover conceptual design, associated concepts like DSL,**  
445 **experimental setup and proof of concept of the automated feedback service.**

### 446 4.1 Conceptual basis and feature design

447 The traditional way of participation is often not transparent for citizens and tends to be delayed  
448 in terms of evaluation of proposals by responsible officials. **To get any feedback on citizen proposals,**  
449 **domain experts need** to be involved and workload for such experts is often high. On the other hand,  
450 data alone published as OGD or open **data is often** hard to interpret for lay-people and they need at  
451 least some guidance **and help** from experts to understand it. The basic idea of automated feedback is  
452 **that system can process citizens' proposals and generate feedback using open or private data.**  
453 Dambruch and Krämer (2014) suggested an interactive 3D scenario creator where people can  
454 comment on proposals and upload their own designs in 3D using standard web technology.  
455 However, in the evaluation of 3D scenario creator, a need for giving hints on the feasibility of the  
456 designs proposed was evident (Soomro K et al 2017). Later, Malewski, Dambruch and Krämer (2015)  
457 presented a concept of a combination of 3D **visualisation** and interaction components with an  
458 ontology-driven rule editor based on domain-specific languages. The 3D visualisation, on the one  
459 hand, enables stakeholders to present and discuss urban plans. On the other hand, the rule editor  
460 particularly targets expert users who need to perform spatial analyses on urban data or want to  
461 configure the 3D scene according to custom rules. They use rules not only to compute results but  
462 also to create visual representations of the results, for example objects **with specific metadata**  
463 **attributes can be automatically coloured differently. An example of such a rule would be**  
464 **highlighting all buildings taller than a specific height so that they can be easily identified visually.**

---

<sup>19</sup> <http://www.docker.com/>, last accessed: 23.09.2016

465 They conclude that a DSL rule editor in combination with a **visualisation** component offers a new  
466 way for GIS **data** experts to communicate their analysis process and results to non-experts. This idea  
467 has been taken up by smarticipate automated feedback service to compute and generate **automated**  
468 feedback on people's planning proposals. The conceptual design of feedback feature is based on  
469 modelling the domain knowledge and **technical rules**.

470 **However, the feedback service should not be seen as a decision maker, rather it is a support tool**  
471 **to assess a particular proposal (e.g. infrastructure or public service) before initiating the formal**  
472 **planning application. The feedback feature relies on the data available and user defined**  
473 **representation of policy or planning rules. There can be many cases where data is not sufficient or**  
474 **domain-specific or policy rules are not easily transferrable to scripts and hence manual intervention**  
475 **is needed.**

476 **The rules can be of two categories. First the actual rules defined by city administration or**  
477 **domain experts based on planning regulations or general legislation. The second category is the**  
478 **technical machine-readable rules defined in specific languages or scripts. In an ideal case, all actual**  
479 **rules could be modelled or mapped to technical rules and functions, which will result in**  
480 **deterministic behaviour of the feedback feature. The experience shows that even using DSL this is**  
481 **not very likely due to the way the rules have been developed over long periods and hence a**  
482 **pragmatic approach is needed. From a practical point of view, cities can benefit from the feedback**  
483 **service as it could handle rather simple to medium-complex tedious routine requests for experts,**  
484 **while experts can concentrate on complex and ambiguous cases.**

#### 485 **4.1.1 Modelling Domain Knowledge**

486 Modelling domain knowledge via Domain-Specific Languages has several advantages. There  
487 exist methodologies (Nicola et al. 2009) for modelling, which have been successfully implemented  
488 and tested (Krämer 2014). Using **Krämer's approach (2014)**, the domain semantics are also covered  
489 within the language and no specific data format is required, e.g. data is annotated on access via the  
490 language elements. This means that no special data annotation format such as Resource Description  
491 Framework (RDF) is needed. **In addition, data is** given in standard geospatial formats and existing  
492 services available in cities can be used.

493 Based on the above **analysis**, the smarticipate automated feedback service utilizes DSLs due to  
494 the following **reasons**:

- 495 • Data availability – usable annotated data or even RDF is not available in the participating  
496 cities;
- 497 • Annotating data and/or redundant data storage is not feasible for cities;
- 498 • Expert users are typically not familiar with complex IT-concepts **and would need support**  
499 **in representing domain specific concepts; and,**
- 500 • Definition of dynamic aspects, actions and visualisation is also important besides  
501 reasoning.

502 Deriving knowledge-based results from **raw** data should be **easy** for users with **high IT** skillsets.  
503 This means that there should be means for representing expert knowledge on different abstraction  
504 levels.

505 **Several feedback workshops have been conducted in the smarticipate case study cities to derive**  
506 **and model the domain knowledge and define rules for automated reasoning. Domain experts e.g.**  
507

508 urban planners, GIS experts, social housing experts etc. participated in these workshops. Using  
 509 Krämer (2014) approach and textual noun-verb analysis approach, the rules were derived based on  
 510 the following steps:

- 511 1. Requirements gathering and analysis,
- 512 2. Definition and analysis of Use Cases and User Stories
- 513 3. Domain analysis
- 514 4. Definition of a terminology and a Domain Model
- 515 5. Mapping of terminology to software artefacts and actions
- 516 6. Building of sample DSL scripts and transforming it into a formal grammar
- 517 7. Review, test and reiterate if needed.

518 The result of this process is a formal grammar which describes the Domain-Specific Language.  
 519 Scripts created based on this grammar are executed in a generic service environment, combining  
 520 data from various sources to compute a result and an explanation which rules have been fulfilled or  
 521 violated. This provides the possibility to convey a clear explanation why a proposal is possible or  
 522 not. Below we present a small example of DSL for the tree plantation use case.

523 The analysis is performed using Noun-Verb analysis technique. A thorough analysis of the use  
 524 case and related documents provided a list of nouns, verbs and properties which are used to define  
 525 basic concepts and possible actions. An excerpt of the results is given in Table 1 and Table 2 below.

526 Table 1: Nouns representing concepts

Proposal	Cost	Goal	Power Lines
Infrastructure	Water	Gas	Communication
Private Land	Land use	Planned Actions	Tree
Species	Neighbourhood	Building	Street Lighting
Traffic Signs	Flooding area	Condition of soil	Shadow and Light
Sidewalk	Street Access	Bus Lane	Position

527

528 Table 2: Words representing actions

Agree/disagree	Calculate costs	Link	Exclude / include
Measure distance	Determine species	Define species	Growth simulation
Flooding simulation	Intersection	Shadow masking	

529

530

#### 531 4.1.2 Conceptual Modelling for Rules - An Example

532 An example rule from the above selected use case in plain text is:

533 *"Distance to Street Lights: Trees grow and possibly will mask street lights nearby. A minimum distance*  
 534 *should be kept from such positions. Positions of street lights need to be given."*

535

536 Analysis reveals the concepts such as: *Street Light, Tree, Position* and possible actions such as  
 537 *distance calculation, tree growth simulation, shadow masking* are potential candidates for domain  
 538 knowledge. The basic idea is to declare a term that can be computed using above terminology and  
 539 when the evaluation of an event is positive, trigger some action which leads to rule templates like  
 540 this:

541 
$$\text{When } \langle \text{Term} \rangle \text{ then } \langle \text{Action} \rangle \text{ else } \langle \text{Action} \rangle$$

542

543 thus, the example can be phrased like this:

544

545 
$$\text{WHEN } X \text{ of Tree AND NOT EXISTS } Y \text{ of Lamp and distance}(X,Y) \text{ greater than or equals } 8m \text{ THEN}$$
  
 546 
$$\text{RETURN failure description}$$

547

548 Using the above approach a repository of domain rules can be defined. These rules work with  
 549 the concepts defined in DSL and are applied on the citizens created proposals for reasoning. As a

550 result, any violation of these rules will notify citizens why a proposal is not feasible. This reasoning  
 551 can also identify what alternatives can be used for the proposal.

552 The challenge here is to find an appropriate level of abstraction for the domain specific  
 553 language. On the one hand, it must be expressive enough to cater the needs of the domain. On the  
 554 other hand, it needs to be understandable and easy to use i.e. any technical details should be hidden  
 555 if possible. As the language is specific for the domain, it should not be too general. However, there  
 556 may be a lot of commonalities for different topics such as distance measuring, which can be  
 557 generalised and therefore it may be possible to develop families of domain specific languages suited  
 558 for a specific topic. This means that languages may be similar in structure and semantics and only  
 559 differ in concrete tokens or words for the same operation or concept. As a result, the assumption is  
 560 that the reusability of basic language elements will be considerably high. Generally, a declarative  
 561 approach is very useful as it defines what should be the outcome and not how to compute it step by  
 562 step.

563 Also, another important aspect is the quality of data available in cities. Planning and  
 564 infrastructure data may not be very accurate, e.g. for underground infrastructure such as pipes and  
 565 power lines, there may be just a corridor given within the infrastructure is located, and quite often  
 566 there is no depth data given. This vagueness needs to be considered and made transparent in  
 567 computed results as this will make results credible for end users. For instance, knowing exact details  
 568 of utility infrastructure i.e. geo-coordinates of underground pipelines, etc. can be beneficial for 'tree  
 569 planting' use case as it can help to compute feedback about why a tree cannot be planted at a  
 570 selected location i.e. the proposed tree location is not suitable because it may damage the  
 571 underground water pipes, fiber optic cable, etc. Therefore, Hamburg open data portal is analysed to  
 572 assess the availability of such data. Also, this can help pointing out which data is useful for what  
 573 purpose and should be collected in future. The same is true for any assumptions made in proposal  
 574 creation, especially when statements about cost of a proposal are involved. Typically, there are rules  
 575 of thumb and literature about calculating costs of buildings per square meter. However, applying  
 576 these cost measuring approaches in different context need to be properly tested. An interesting  
 577 option could also be to build a database of past planning applications where costs were calculated.  
 578 This could be analysed and provide estimated costs inputs for similar proposals created in the  
 579 smarticipate platform. At the moment, this is subject for future research.

580  
 581 The analysis was carried out for all examples elaborated in the feedback workshop and a  
 582 domain model was generated on that basis (cf. Table 1 and Table 2). The purpose of the domain  
 583 model is to show which concepts (and their relationships) are included and can be handled by the  
 584 feedback feature service. This means that the feedback service will rely on the richness of this  
 585 domain model i.e. more concepts (and their relationships) will allow to handle more  
 586 objects/concepts as part of feedback calculation. Below we present a rule script example using DSL:

587  
 588

#### Sample Code Listing 1: A Technical Rule Script using DSL

```

Data {
  User input point(wgs84) POSITION
  Map {
    Source.position = project(EPSG:25832, dest.position)
  }
  Datasource wfs TREE http://x.y.z
  Map {
    Source.name = dest.treename
    ...
  }
}

Rules {
  When exists TREE(x) and distance(x, position) less than 8m

```



```
        Then result.add("Tree too close to existing tree")
    }

    Result {
        ...
    }
```

589

590

591

A rule script (as shown in Code Listing 1) can contain several sections as detailed below:

592

- The **Data** section defines what is the input for the script, how to obtain it (e.g. via OGC WebFeatureService – WFS) and what is expected from the caller (user input e.g. geo-coordinates of a click on a map) as input.
- The **Map** section is optional and can be used for mapping the data to the terminology used inside the scripts or carry out geospatial re-projection on geo data.
- The **Rules** section contains the technical rules that contribute to the results of the service.

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An implicit construct named result can be used for simple results as text to return to the caller. If this is not appropriate an optional **Result** section can be used to return complex results. For example, a Map statement can serve a similar purpose as the Map statement in the Data section to map into another spatial reference system or visualise the results in an 2D or 3D format (e.g. GLTF, X3D, GML, etc).

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#### 4.1.3 Conceptual Design of the Feedback Service

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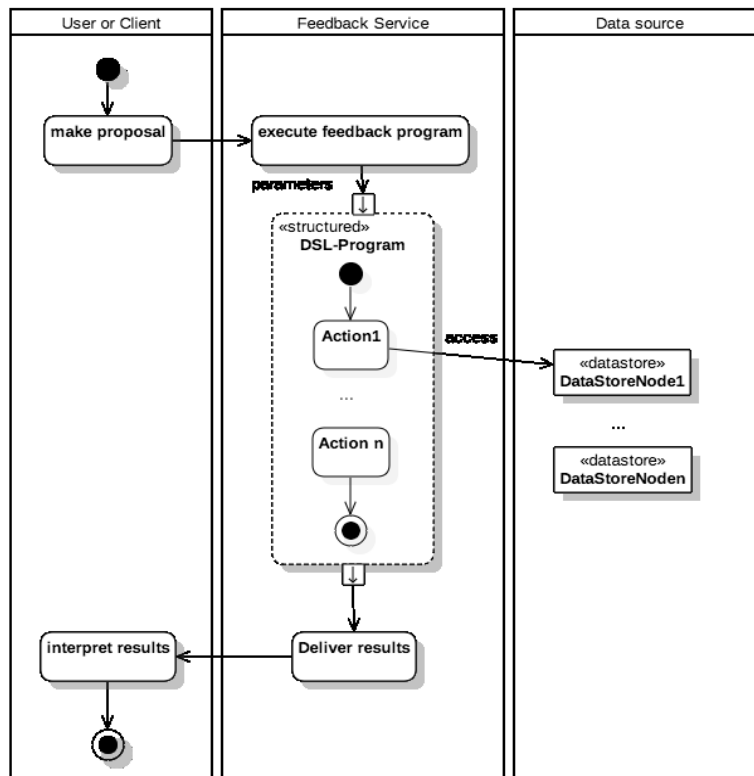
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614

A dedicated service is developed that provides a framework which is responsible for managing data and network access and dispatch of DSL-programmes to generate **automated** feedback. **Figure 8** shows how this generic service framework operates on an activity level. A user or client triggers a standard web request via HTTP on the feedback service. The **specific** DSL programmes are triggered by a simple mapping of the request. Parameters provided are transformed as needed and supplied to the **DSL** programme. Then the DSL programme is executed and results will again be transferred to the client.



**Figure 8:** Generic operation of Feedback Service framework

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The feedback service is implemented as a micro-service embedded in the smarticipate platform environment. Figure 9 shows a detailed architecture of the feedback service. The feedback calculation process will be triggered by the web application on software clients run by users on desktop or smartphones. The application loads data as required from a web server, such as 3D assets like houses or terrain data. This data is then combined with aerial imagery from a Web Map Service (WMS) service run by the city. When users interact with the app, for example to place new objects in the 3D scene, the feedback service is triggered by the application to perform reasoning and compute feedback for the new object placed. The feedback service then runs a DSL program that may for example gather data from a Web Feature Service (WFS) service of the city and returns results as text or 3D geometry.

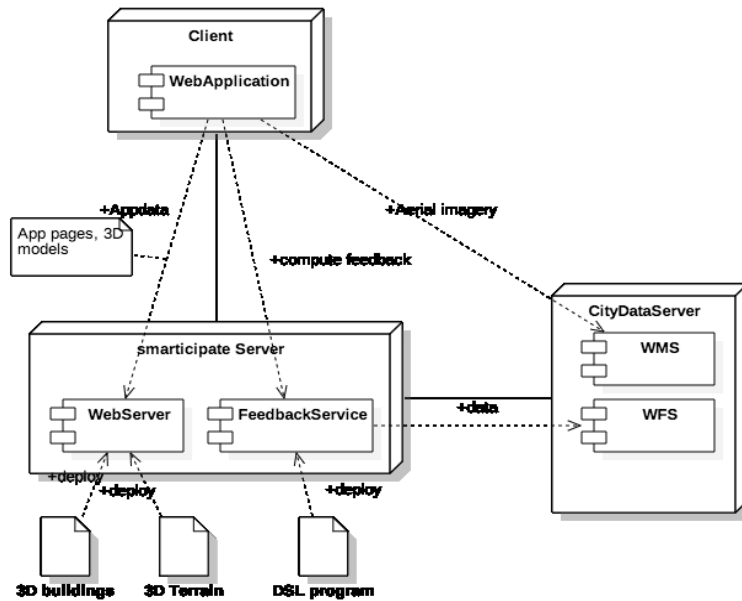


Figure 9: Detailed Feedback service design and dependent environment

#### 4.2 Experimental Setup and Proof of Concept of the Feedback Service

As proof of concept we concentrate on a simple example of 3D visualisation and feedback service for the above selected use case. It was developed early to demonstrate this feature at various feedback workshop with the objective to: i) determine if people could understand the concept, ii) derive domain knowledge, and iii) find useful examples for a more detailed implementation. So, the proof of concept reveals the extent to which it is possible to implement user needs in feedback feature/service. This provides useful insights for a developing a fully functional system. However, full implementation and evaluation of the feedback service is beyond the scope of this paper.

##### Data for CO2 Neutral Hamburg - Tree Plantation use case context

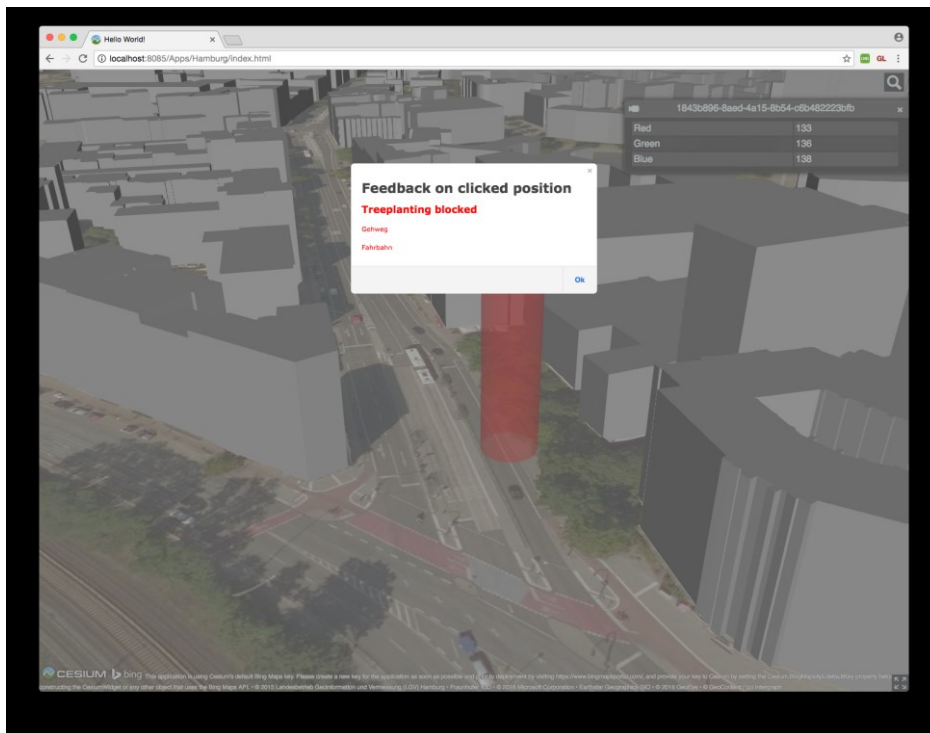
The city of Hamburg provides open data<sup>20</sup>, which we used to develop an interactive 3D application. This data included: i) The city model of buildings in CityGML, ii) Terrain data as results of airborne laser scans as point clouds, and iii) aerial imagery directly provided by a WMS server of the city open data portal. The data was processed and transformed to a web enabled format with tools partially developed for this project. The client is a web application running in a web browser, which uses special formats such as GLTF for 3D assets or quantised-mesh as terrain data. Also, sophisticated data streaming techniques are used to ensure a good user experience. For proof of concept, currently only a block-oriented building model at Level of Detail 1 (LOD1) was available. However, this 3D layer can be replaced with more detailed model including detailed roofs and façade elements i.e. LOD2, if available.

The Web Browser is the client run-time environment, which loads the application and data to display from several services. The Building Service streams the Hamburg 3D model to the cesiumjs<sup>21</sup> based web client. The Terrain Service streams terrain data to the client and the client maps aerial imagery from the Hamburg WMS service to the terrain. When a user clicks on a position in the 3D map to check if planting a tree is possible, the position on the map is sent to the Feedback Service to check if there are obstacles (or constraints as defined in DSL) nearby. The data in this case is loaded

<sup>20</sup> <http://transparenz.hamburg.de/open-data/>, last accessed 28.02.2017

<sup>21</sup> <https://cesiumjs.org>, last accessed: 27.02.2017

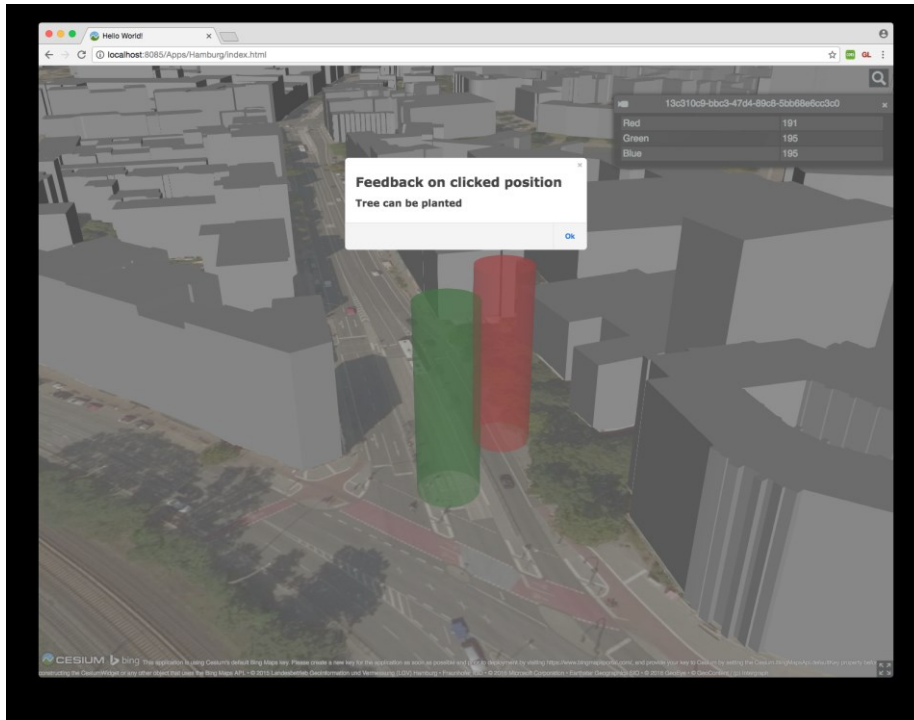
660 from a Geoserver<sup>22</sup> serving Hamburg street cadastre data. The results of the check are provided to  
 661 the client with an explanation why planting a tree is not advisable. The result is for now  
 662 displayed by a simple dialogue and a red coloured surrogate on the clicked position as shown in  
 663 **Figure 10**.  
 664



665 **Figure 10:** Negative Feedback on a selected position

666  
 667  
 668  
 669 In this proof of concept, we defined that objects like roads, pedestrian ways, crossings and  
 670 bicycle lanes are unsuitable locations, but we deliberately excluded bus lanes for demonstration.  
 671 While **Figure 10** shows negative result (i.e. tree plantation is not possible due to freeway (Fahrbahn -  
 672 German/local language) or pedestrian way (Gehweg - German/local language)), **Figure 11** shows a  
 673 positive result when clicking on a bus lane with a green surrogate object on the clicked position.  
 674 **Please note that the above example represents a very simple scenario. However, a full version of the**  
 675 **feedback service intends to cover more detailed feedback including suggestions of alternative places**  
 676 **for tree plantation, cost and budget information, etc. Also, this feedback does not mean that a final**  
 677 **planning decision has been made. Rather this feedback is an early suggestion which can help citizens**  
 678 **to get awareness that why their proposals are not feasible and what alternatives are available to**  
 679 **make the proposal feasible. This also means that once citizens are aware that what are the limitations**  
 680 **in their proposals they can rectify them and then prepare and submit a formal planning application**  
 681 **to their local city administration. This formal application can also include all the participatory**  
 682 **evidence collected through smarticipate platform that will enable city administration to take final**  
 683 **decision.**

<sup>22</sup> <http://geoserver.org>, last accessed: 27.02.2017



684  
685 **Figure 11:** Positive Feedback on a selected position  
686

## 687 5. Discussion and Lessons Learned

688 The smarticipate platform has ambitious list of features as depicted in Figure 6. This indicates  
689 significance of the smarticipate platform in bridging the gap between top-down and bottom-up  
690 citizen participatory practices and promote open governance. These features respond to detailed list  
691 of requirements defined by smarticipate case study city administrations and their citizens. For  
692 citizens, there will be list of topics, proposals, and various features including adding new data,  
693 changing existing proposals, or generating alternative proposals, tracking progress of a proposal,  
694 sharing their ideas with other user groups, etc. (see Figure 6). Not all these features are  
695 straightforward to design and implement and their realisation requires careful research and analysis  
696 of the problem domain. For instance, the proof of concept of the automated feedback feature is  
697 elaborated with the objective to highlight its benefits and complexity involved in developing such a  
698 feature for various domain topics. This is mainly because generating alternative proposals with  
699 knowledge based feedback using visual 3D spatial models requires rich open datasets, domain  
700 knowledge, rules and high performance computing infrastructure to process queries of many users.  
701 In the following section, we critically assess the strengths and benefits of the smarticipate platform.  
702 In addition, we elaborate challenges based on the experience of designing the smarticipate platform  
703 and developing the proof of concept of automated feedback feature.

704  
705 The above sections demonstrate that getting interactive and automated feedback using visual  
706 3D spatial proposals enhances the ability of participants in gaining required information  
707 immediately to enable them making informed decisions. We consider that at later stage this  
708 automated feedback can be 'knowledge-based feedback' due to its capability to process data by  
709 applying domain rules and then generate information for the end users. These rules and generated  
710 information can be preserved for additional analytics e.g. identifying similar proposals or topics and  
711 sharing the results to appropriate stakeholders will improve the efficiency of the system. The 3D  
712 modelling enhances the ability of the end users to visualise the proposals and have better  
713 understanding of what is being proposed. During feedback workshops, users appreciated the use of  
714 3D spatial models as it helps to provide spatial context to a proposal. It also enhances the overall  
715 understanding of the impact of the proposal in the urban neighbourhood. The automated feedback

716 feature analyses the feasibility of the proposal by comparing it against pre-defined rules and  
717 suggests reasoning. This helps citizens to make informed choices for a specific proposal without  
718 needing the expert help. This however mandates that sufficient domain specific languages with  
719 domain vocabulary and knowledge needs to be provided to handle a specific topic and its associated  
720 proposals.

721  
722 Sharing these proposals with other user groups raises awareness among the residents and  
723 enables others to provide their inputs to shape or transform the proposal as appropriate. The sharing  
724 of topics and proposals with selected user groups provide the opportunity to initiate consultation  
725 with residents who are directly affected by the proposal or to gain suggestions from wider  
726 community. Such an approach complements traditional consultation meetings where community  
727 representativeness and higher participation rate has always been an issue. This means making these  
728 proposals accessible through web or smartphones provide flexibility to citizens to **give their opinion**  
729 **about a planning proposal**. This promotes a bottom-up open governance that enables citizens to  
730 co-create, co-design and participate in planning **processes**.

731  
732 From technical perspective, the use of DSL enables domain experts to define domain  
733 vocabulary and rules in a high order descriptive language that provides higher level abstraction.  
734 This approach helps in capturing domain specific information only and hides irrelevant details. This  
735 enables users to leverage sophisticated technologies in a transparent way, for example rule based  
736 systems or geographical information systems or 3D applications. **At the moment, DSL can be**  
737 **defined by an IT expert or domain expert but not citizens. As future work, other approaches will be**  
738 **investigated to enable citizens to effectively use DSL.**

739  
740 The micro-services based architecture allows to extend the smarticipate platform with new  
741 features in a more convenient way, as integration of 3rd party services do not require changes in  
742 already deployed software. This approach is also used to integrate smarticipate platform with  
743 current legacy IT systems of cities. For example, a highly-ranked proposal should be submittable  
744 with all participatory evidence to a City's planning application system.

745  
746 The use of HTML5 for Progressive Web App development model and Single-Page-Application  
747 design using various libraries e.g. leaflet, React, etc. facilitate developing interactive, responsive,  
748 reliable and attractive smarticipate applications. **This means these applications** can be rendered on  
749 different screen sizes i.e. smartphones, tablets or PC. Further, docker-container based approach  
750 promotes high modularization of code base and reusability of existing components and deployment  
751 of smarticipate applications in different settings. **The aim is to produce training videos so that all**  
752 **users should be able to learn and use the system. This will be part of the future work and these**  
753 **videos will be available when front-end and back-end services are fully ready for production.**

754  
755 *Based on the above experience, below we discuss some expected challenges as future research directions:*  
756 Co-creating urban design proposals and performing automated analysis for knowledge  
757 generation as feedback is not straightforward. The above proof of concept demonstrates tree  
758 plantation use case with well-defined rules and domain vocabulary. However, it is observed in the  
759 other use cases of smarticipate project e.g., fully-open domain-independent proposals **for building**  
760 **retrofitting**, there are certain limitations and challenges which may affect the full-scale  
761 implementation of required capabilities in the automated feedback feature. This is mainly due to the  
762 following factors:

763  
764 *Validation of domain knowledge as vocabulary and rules:* automated feedback can be generated by  
765 using domain specific vocabulary and applying application rules but these rules require domain  
766 knowledge. This domain knowledge can be acquired from domain experts, policy documents or

767 scientific publications. However, correctness and completeness of such vocabulary and rules require  
768 validation by domain experts, which is difficult to achieve due to their limited availability.

769

770 *Tools for DSL engineering:* defining a suitable DSL and finding associated tools is also necessary.  
771 These tools should handle the complexity of defining rules and vocabulary, which can be used by  
772 the smarticipate platform to perform reasoning, analytics and feedback generation.

773

774 *Availability and accuracy of spatio-temporal data elements and deriving tacit knowledge:* open  
775 government data portals are gradually increasing variety of data sets and are also making more  
776 recent data (in some cases real-time data e.g. available parking places in public car parks) available  
777 for use by citizens or other business organisations. However, not all data is geo-tagged (with  
778 accuracy of centimetres) and many data sets are not updated regularly. This makes it challenging to  
779 correlate different data sets for specific geo-coordinates and verify the accuracy and suitability to  
780 generate approximate feedback output. Also, without semantic representation or Linked Open Data  
781 (2012), it can be challenging to accurately use such data for generating analytics and  
782 knowledge-based feedback. For example, data may represent streets as exact geometry or polyline  
783 and exact positions of traffic-lights (down to cm) may not be available or exact coordinates for the  
784 centre of road crossing may not be available. Impact of absence of such rich details may result in  
785 generating erroneous or approximate automated feedback. For such datasets, uncertainty must be  
786 considered by putting buffers around such elements and needs to be made transparent in the results,  
787 e.g. a fuzzy factor could be introduced. This suggest the need of pre-processing datasets by using a  
788 toolkit to integrate and transform data into a useable format with high level of details.

789

790 *Visualisation of 3D models on different platforms and screen sizes:* the capability to visualise urban  
791 proposals using 3D models greatly improves the ability of citizens to understand the context of the  
792 proposal. The impact on the planning and the results leading to an assessment should be more  
793 visual. This means that also the influences should be made visual, for example, by colouring them  
794 and not only showing a surrogate like a coloured cylinder as shown in Figure 10 & Figure 11. With  
795 4G and 5G mobile networks and smartphones and tablets penetration in consumer market, it is  
796 essential that the smarticipate platform has responsive design and can be used on smartphones,  
797 tablets or PCs. This requires careful User-Experience (UX) design principles for the User Interface to  
798 accommodate complex 3D models and alternative scenarios building on different screen sizes.  
799 Smarticipate platform already handles this by designing wireframes and performing controlled  
800 usability studies.

801

802 *High performance computing for immediate knowledge generation and feedback:* End users expect  
803 knowledge based feedback on their proposals immediately e.g. within few seconds. This would  
804 require high performance computing (or GPU) to process multiple data variables, rules and 3D  
805 visualisation to generate knowledge based analytics as feedback.

806

807 *The use case based approach adopted by the smarticipate project is useful to first test the challenge*  
808 *and limits of such a system on a selected domain (e.g. trees, or buildings) with pre-defined rules.*  
809 *This will provide useful insights about strengths and limitations for applying such a system on other*  
810 *domains. Also, whilst there are pre-defined technical rules used by the platform, the provision for*  
811 *domain experts to write new rules in high-order DSL based on policy of the city is also part of the*  
812 *architectural design so that existing rules can be updated and new rules can be defined. Also,*  
813 *domain specific rules are defined at different levels: i) fully-automated where all required data is*  
814 *available and rules are fully specified to generate automated feedback without expert advice; ii)*  
815 *semi-automated where partial data or rules exist and some expert advice is needed to generate*  
816 *feedback; iii) manual where most data is either missing or is not in the required format and no proper*  
817 *rules are defined will be dependent on the expert advice for feedback generation.*

818

819 In general, the feedback service must be very clear regarding the quality of the results provided.  
820 It's not very likely that in any possible case all details are given in a way that the feedback is  
821 deterministic and error-free and this must be conveyed to observers. Missing aspects or missing data  
822 can lead to questionable results and to counter this the system need to give anytime an explanation  
823 which data was used and which rules have led to the result. For example, in the tree plantation use  
824 case, there may be circumstances beyond control, which hinder the planting of a new tree, which  
825 were not known due to a bad data situation, e.g. unknown utility pipes or hazardous ground below  
826 the area. It must be clear that a service works on models which make assumptions and those must be  
827 transparent when interpreting the results.  
828

## 829 6. Conclusions and Future Work

830 The smarticipate platform has potential to transform city governance by facilitating both  
831 top-down and bottom-up decision making. It provides a citizen participation and communication  
832 platform to create new proposals using open data for a given topic by using smartphones, tablets or  
833 PC. The platform architecture is based on micro-services based approach that allows to develop  
834 individual features as web services with less dependency on each other. Further, docker-component  
835 based approach allows to deploy the platform in different settings. This also helps in reusing and  
836 extending existing features based on the evolving requirements of cities. It uses Domain Specific  
837 Languages and associated domain rules to analyse a user defined proposal and generates  
838 knowledge about positives and negatives of the proposal as feedback that enables citizens to make  
839 informed choices. Further, it allows to share these proposals with other selected user groups  
840 including citizens and public administrations with the objective to exchange ideas in transforming  
841 their local neighbourhoods.  
842

843 The proof of concept for the automated feedback feature of the selected Hamburg use case  
844 demonstrates visual interaction with the platform. This allows to create proposals in 3D models that  
845 provides detailed context and enhances understanding by other user groups to comment or generate  
846 alternative proposals. Though this demonstrates a very basic scenario but it shows that such an  
847 approach is effective and can be extended to handle complex scenarios such as building  
848 refurbishment, brownfield regeneration, etc. However, critical analysis in previous section  
849 highlights number of challenges, which are mainly associated to the quality of open data,  
850 availability of 3D data or urban furniture, domain knowledge in DSL, domain rules, etc. Our future  
851 work is to investigate the feasibility of the feedback feature on other topics such as Rome use case of  
852 building refurbishments.  
853

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858

## 859 Authors Contribution

860 ZK initiated and provided conceptual basis for the article after collecting smarticipate project  
861 requirements and then writing abstract, introduction, related work, smarticipate methodology,  
862 discussion and conclusions. JD contributed to Domain-specific Languages, gathered additional  
863 requirements and examples in workshops for this topic, provided the technical proof-of-concept and  
864 solution design. ZK and KS were responsible for requirements management in the Redmine  
865 requirements system. All contributed to section 3 about the system concept and technologies. JPA  
866 and AS wrote about the system architecture, AS and ST provided inputs about the technology used  
867 to implement the platform. All provided inputs to discussion, conclusions and further work.  
868

## 869 Conflict of Interests



870 Authors declare that they do not have any conflict of interest.

871

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1018

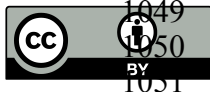
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