



RIGA TECHNICAL
UNIVERSITY

Baiba Pļaviņa

METHODOLOGICAL SOLUTIONS FOR THE IMPLEMENTATION OF MULTI-APARTMENT BUILDINGS MANAGEMENT AND ADMINISTRATION PROCESSES IN THE CONTEXT OF HOUSING POLICY

Summary of the Doctoral Thesis



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RIGA TECHNICAL UNIVERSITY
Faculty of Engineering Economics and Management
Institute of Building Entrepreneurship and Real Estate Economics

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To be granted the scientific degree of Doctor of Science (Ph. D.), the present Doctoral Thesis has been submitted for the defence at the open meeting of RTU Promotion Council on December 18, 2020 at 12:00 online in *Microsoft Teams*.

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DECLARATION OF ACADEMIC INTEGRITY

I hereby declare that the Doctoral Thesis submitted for the review to Riga Technical University for the promotion to the scientific degree of Doctor of Science is my own. I confirm that this Doctoral Thesis had not been submitted to any other university for the promotion to a scientific degree.

Baiba Pļaviņa (signature)

Date:

The Doctoral Thesis has been written in Latvian. It consists of an Introduction; 3 chapters; Conclusions; 48 figures; 26 tables; 23 appendices; the total number of pages is 190. The Bibliography contains 280 titles.

TABLE OF CONTENTS

LIST OF ABBREVIATIONS AND NAMING CONVENTIONS.....	5
INTRODUCTION.....	6
1. THE STUDY OF PLANNING THEORETICAL ASPECTS OF MULTI-APARTMENT RESIDENTIAL HOUSE MANAGEMENT AND ADMINISTRATION.....	16
2. ANALYTICAL EVALUATION OF PROBLEMS RELATED TO THE MULTI-APARTMENT RESIDENTIAL BUILDING MANAGEMENT AND ADMINISTRATION.....	22
3. METHODOLOGY OF IMPLEMENTATION OF THE HOUSING POLICY AND MULTI-APARTMENT RESIDENTIAL HOUSE MANAGEMENT AND ADMINISTRATION PROCESS.....	27
CONCLUSIONS AND PROPOSALS.....	35
LIST OF LITERATURE AND SOURCES USED.....	39

LIST OF ABBREVIATIONS AND NAMING CONVENTIONS

ALTUM – Latvia’s Development Finance Institution “ALTUM”
BIS – Building Information System
CSB (*CSP*) – Central Statistical Bureau
MAB (*DDzM*) – Multi-Apartment Building
AOA (*DzĪB*) – Apartment Owners’ Association
AOCS (*DzĪKS*) – Apartment Owners’ Cooperative Society
MoE (*EM*) – Ministry of Economics
EU (*ES*) – European Union
HDLP (*MAKP*) – Housing Development Lending Policy
HDLP (*MAKP*) stage I – Housing Development Lending Programme, stage I
HDLP (*MAKP*) stage II – Housing Development Lending Programme, stage II
CoM (*MK*) – Cabinet of Ministers
NDP2020 – National Development Plan 2014–2020
Latvija 2030 – Latvia's Sustainable Development Strategy 2030
LAoBMA (*LNPA*) – Latvian Association of Buildings Managers and Administrators
Managers Guild – Foundation of Latvia’s Buildings Managers’ Guild
ICC (*PKC*) – Interdepartmental Coordination Centre
USSR (*PSRS*) – Union of Soviet Socialist Republics
MoEPRD (*VARAM*) – Ministry of Environmental Protection and Regional Development
SJSC (*VAS*) – State Joint Stock Company

INTRODUCTION

Topicality of the theme

The issues of the management and administration process of multi-apartment residential houses (MAB) give rise to a complex problem that affects the interests of the residents and owners of MAB, as well as interests of individual regions and the state as a whole.

The housing policy is a topical political planning document that must be developed at both – the state and local government level, thus supporting the solution of the MAB management and administration problems.

Considering that in 2017 Latvia ranked 1st in Europe¹ in terms of the number of people living in apartments (according to Eurostat data, i.e., 66.1 % of the Latvian population²), the need for housing management activities is essential to maintain the housing stock as much as possible constant, which is directly related to the urgency of solving the problems of MAB management and administration. Sustainable planning of MAB management and administration process is considered to be a significant topicality at both – the state and local government level, therefore it is important to develop methodological solutions for the implementation of the management and administration process for multi-apartment residential buildings in the context of the housing policy.

In accordance with the Latvian Sustainable Development Strategy, by 2030 the priority “Innovative governance and participation of the society” (“*Inovātīva pārvaldība un sabiedrības līdzdalība*”³) is aimed at raising the quality of public administration as well as strengthening the links with social partners, various social groups, and individuals. These areas have a direct impact on the development of various capitals, e.g., nature, economy, and other capitals. Innovative solutions for social participation and governance facilitate decision-making of good quality, activate local communities and municipalities, and promote mass creativity and social inclusion. The essence of this priority is to create a public administration that is capable to react efficiently and quickly to changes, as well as to direct them by creating a range of services that are important to the society and needed in the future with the participation of the majority of Latvia’s society. One of the tasks of innovative governance and participation of the society includes the development of public participation policy, political education and social inclusion, which can have a significant impact on addressing the issues of both – housing policy and the process of MAB management and administration at different planning and responsibility levels.

¹ *Distribution of population by dwelling type, 2017* (2017) [online]. Eurostat [accessed on March 10, 2019]. Available at: https://ec.europa.eu/eurostat/statistics-explained/index.php?title=Housing_statistics/lv#M.C4.81jok.C4.BCa_veids

² *Ibid.*

³ *Latvia’s Sustainable Development Strategy by 2030*. (2010). Ministry of Environmental Protection and Regional Development [last viewed on October 15, 2016]. Available at: http://www.pkc.gov.lv/sites/default/files/inline-files/LIAS_2030_parlaks_lv_0.pdf

The objective of the Doctoral Thesis

The objective of the Doctoral Thesis is to develop a methodological solution for the implementation of information exchange system processes of housing policy and MAB management and administration activities with the scope to improve economic and strategic planning processes of the state and municipal companies, as well as building management companies.

Tasks set to achieve the objective of the Doctoral Thesis

1. Based on the responsibility of parties involved in the identification support and monitoring functions of the parties involved in the MAB management and administration process, to evaluate the definitions of the MAB terminology.
2. To identify the composition of MAB management and administration in the structure of the state housing policy, which is based on the evaluation of strategic and tactical planning documents.
3. To identify causal relationships between the challenges of modern MAB management and administration in the context of historical evaluation of the transformation of MAB ownership form.
4. To identify the degree of urgency of solutions to the problem factors affecting the sector within the competence of the responsible institutions and the housing policy making system.
5. To develop methodological solutions for the implementation of management and administration processes for multi-apartment residential houses in the context of the housing policy with regard to the improvement of state and municipal companies and management companies' economic activities and strategic planning processes approved in focus groups of the sector.

The study object of the Doctoral Thesis is the Latvia's housing policy and the MAB management and administration system.

The subject of the study is the solutions for the implementation of MAB management and administration process at different regional or administrative-territorial planning levels and levels of responsibilities.

Methods used in the Doctoral Thesis

To achieve the objective of the Doctoral Thesis, qualitative and quantitative research methods have been used in the study development process: systematic analysis and synthesis of scientific literature; method of induction and deduction; method of historical cognition; qualitative content analysis; comparison; data matching and grouping; surveys; interviews; graphical analysis; static data processing with SPSS software; method of expertise, etc. The design of the study is based on the triangulation of data results and is described within the framework of each section.

Theoretical and methodological basis of the study

The theoretical and methodological basis of the Doctoral Thesis is built on the theoretical and practical findings by Latvia's and foreign scientists and specialists in the sector, scientific publications and research related to the solutions to housing policy challenges and strategic planning of multi-apartment house management. The author of the Doctoral Thesis would like to note the contribution by Latvia's authors of scientific and practical research and publications, for example, A. Aizsilnieks, A. Auziņš, Ģ. Beikmanis, A. Bormane, I. Geipele, S. Geipele, M. Kučinskis, V. Praude, J. Vanags, and others.

Informative base of the study

The informative base of the Doctoral Thesis consists of scientific publications and monographs, as well as other scientific literature related to the problem under the study. The basic data of the study were obtained by analysing the statistical publications of Latvia and international organizations, informative materials of the State Land Service, data of the National Real Estate Cadastre Information System, etc. The regulatory framework of the European Union and the state of Latvia, as well as the planning and policy development documents were used to reflect the justification of legal and institutional regulation of the Doctoral Thesis.

Research period and restrictions

1. For the analytical assessment purposes Latvia's legislative and normative enactments, statistics, newspapers, reports on the housing policy in the European Union member states, interviews with officials and deputies responsible for the implementation of the housing policy in Latvia's coastal municipalities and determining the implementation of public administration, as well as Internet resources have been used. Research work has been hampered by the limited scope and shortage of scientific literature and studies.
2. The evolution of the apartment property rights has been studied since the 1920s until the present day based on the availability of data and historical evidence of the housing policy. The study focuses mainly on the Riga planning region, which reflects all the problems related to the housing policy and is practically the only region with available statistical data.
3. Due to the limited amount, the dynamics of newly built residential areas is not assessed separately, the increase in the total living space per permanent resident (m^2) may be explained by the decrease in the number of population.
5. Based on the division of new administrative territories planned in 2021 in Latvia, the author evaluates the existing territorial division planning documents and the ones developed at the time of development of the study of the Doctoral Thesis.

Hypothesis of the study

A good quality exchange of information in the housing policy and in provision of the MAB management and administration processes at different levels of planning and responsibilities depends on the impact of interdependence of the MAB management and administration process indicators.

Theses to be defended in the Doctoral Thesis

1. Ensuring a sustainable management process of the MAB management and administration is related to the capability of the responsible institutions to respond to the impact of social, economic, ecological, and environmental, as well as political factors and to create a quality information flow.
2. Representation of interests of the MAB apartment owners in the hierarchical structure of regional level planning is not considered to be an important institution for the sector control supervision and organization with regard to solving the impact of the housing policy and the indicators of MAB management issues.
3. By identifying the problematic indicators in the methodological solutions of information flow and the intensity of their impact on MAB to ensure a high-quality management and administration process, it is possible to obtain the fastest quality information flow exchange between participants of the process and to make decisions of appropriate level.

Scientific novelty of the study

1. **Factors** influencing the provision of a quality process for the management and administration of MAB **have been identified** and their classification has been developed.
2. **A set of dimensions of indicators** influencing the housing policy and the MAB management and administration strategy **has been developed and** current problems and areas that affect the interaction of the housing policy and the MAB management and administration strategy within different administrative units and hierarchical levels of political planning have been identified.
3. **A methodological solution** for mutual exchange of information on the housing policy and the MAB management and administration process **has been developed, which consists of the following models at different planning levels:**
 - 3.1. Model of interaction between the information flow of the housing policy and the MAB management and administration process **at the municipal level;**
 - 3.2. Model of interaction between the information flow of the housing policy and the MAB management and administration process **at the state level;**
 - 3.3. **Model of interaction of the circular flow of information** between the housing policy and the MAB management and administration process.
 - 3.4. **Logical model** of information flow for **development of planning documents** with regard to the MAB management and administration process according to **hierarchical levels.**

Approbation of the research results and practical application

The study results related to the Doctoral Thesis are reflected and published in 17 scientific publications, including 6 articles in **internationally recognized scientific journals**.

1. Pļaviņa, B., Actiņa, G. Implementation of Energy Efficiency Management System in Multi-Storey Residential Houses in Littoral Regions of Latvia. *Baltic Journal of Real Estate Economics and Construction Management*, 2020, Vol. 8, No. 1, pages 1–11, ISSN 2255-9604. e-ISSN 2255-9671. Available at: doi:10.2478/bjreecm-2020-000.
2. Pļaviņa, B., Geipele, I. Chances for the Development of Multiapartment Dwelling Houses' Policy in Latvia. In: *Proceedings of the International Scientific Conference "Economic Science for Rural Development"*, Latvia, Jelgava, April 25–26, 2013. Jelgava: Latvia University of Agriculture, 2013, pages 43–47. ISBN 9789934830488. ISSN 1691-3078.
3. Geipele, I., Geipele, S., Pļaviņa, B., Stāmure, I. Pricing Peculiarities of Apartment House Management in Latvia. In: *Business and Management 2012: 7th International Scientific Conference: Selected Papers, Lithuania, Vilnius, May 10–11, 2012*. Vilnius: Vilnius Gediminas Technical University, 2012, pages 1075–1082, ISBN 978-9955-28-311-9. ISSN 2029-4441. e-ISSN 2029-929X. Available at: doi:10.3846/bm.2012.137.
4. Pļaviņa, B., Geipele, S. Dzīvojamās mājas pārvaldīšanas pakalpojuma cenas veidošanas problēmas un risinājumi uzņēmējdarbībā Latvijā (Problems and solutions in pricing of the residential buildings management service in the entrepreneurship in Latvia). In: *RTU BUNĪI scientific publications "Būvuzņēmējdarbība un nekustamā īpašuma attīstība" (Building Entrepreneurship and Real Estate Development)*. Vol. 2. Riga: 2012, pages 43–50.
5. Pļaviņa, B., Geipele, S. Dzīvojamās mājas pārvaldīšanas cenas veidošanas veidi Latvijā (Types of pricing method for management of a residential building in Latvia). In: *52. RTU International Scientific Conference: Konferences ziņojumu tēžu krājums (Book of the Abstracts of the Reports)*, Latvia, Riga, October 7, 2011. Riga: RTU Press, 2011, page 77. ISBN 978-9934-10-202-8.
6. Geipele, I., Geipele, S., Pļaviņa, B., Stāmure, I. Pricing Principles of Apartment House Management in Latvia. In: *Selected International Proceedings of Economics Development and Research: E-business, Management and Economics (IPEDR)*. Vol. 25, United Arab Emirates, Dubai, December 28–30, 2011. Singapore: IACSIT Press, 2011, pages 271–276. ISBN 978-981-07-1016-3. ISSN 2010-4626.

The following **peer-reviewed conference abstracts** were published:

7. Pļaviņa, B., Actiņa, G., Geipele, I., Geipele, S. Pricing Policy of the management and administration of Residential Houses in Latvia. In: *"Scientific Problems of Engineering Economics of Construction and Real Estate Management, Regions and Territories Development (ICEREE'2019)" organized within 60th International Scientific Conference of Riga Technical University: Book of Abstracts*, Latvia, Riga, September 27–28, 2019 Latvia: RTU Press, 2019, pages 33–34. ISBN 978-9934-22-369-3.

8. Pļaviņa, B., Actiņa, G., Geipele, I., Geipele, S. Financial Assessment of the Sustainability of Management and Administration Companies for Residential Houses. In: “Scientific Problems of Engineering Economics of Construction and Real Estate Management, Regions and Territories Development (ICEREE’2019)” organized within 60th International Scientific Conference of Riga Technical University: Book of Abstracts, Latvia, Riga, September 27–28, 2019. Riga: RTU Press, 2019, pages 32–33. ISBN 978-9934-22-369-3.
9. Actiņa, G., Pļaviņa, B., Geipele, I. Planning of Energy Efficient Solutions and Implementation Problems in Multi-Residential Buildings in Latvia. In: “Scientific Problems of Engineering Economics of Construction and Real Estate Management, Regions and Territories Development (ICEREE’2019)” organized within 60th International Scientific Conference of Riga Technical University: Book of Abstracts, Latvia, Riga, September 27–28, 2019. Riga: RTU Press, 2019, pages 7–8. ISBN 978-9934-22-369-3.
10. Actiņa, G., Pļaviņa, B., Geipele, I. Historical Trends in Latvia’s Housing Policy and Planning to Identify Factors Affecting Sustainable Development. In: “Scientific Problems of Engineering Economics of Construction and Real Estate Management, Regions and Territories Development (ICEREE’2019)” organized within 60th International Scientific Conference of Riga Technical University: Book of Abstracts, Latvia, Riga, September 27–28, 2019. Riga: RTU Press, 2019, pages 6–7. ISBN 978-9934-22-369-3.
11. Actiņa, G., Pļaviņa, B., Geipele, I. Assessment of Energy Efficient Processes in Public and Residential Buildings in Littoral Regions of the Baltic Sea: Case Study of Latvia. In: Riga Technical University 58th International Scientific Conference “Scientific Conference on Economics and Entrepreneurship” (SCEE’2017): Proceedings, Latvia, Riga, October 13–14, 2017. Riga: Riga Technical University, 2017, pages 10–11. ISBN 978-9934-22-000-5. ISSN 2256-0866.
12. Pļaviņa, B., Geipele, I. Nekustamā īpašuma pārvaldības politikas attīstības tendences Latvijā (Trends of development in the real estate management policy in Latvia). In: 55th Riga Technical University Conference SCEE’2014 “Scientific Conference on Economics and Entrepreneurship”: Proceedings, Latvia, Riga, October 14–17, 2014. Riga: Riga Technical University, 2014, pages 1–2. e-ISBN 978-9934-8275-2-5.
13. Pļaviņa, B., Geipele, I. Sustainable Development of the Housing Policy in Latvia. In: Abstracts of the Riga Technical University 54th International Scientific Conference. Section: Real Estate Economics and Construction Entrepreneurship, Latvia, Riga, September 26–29, 2013. Riga: Institute of the Civil Engineering and Real Estate Economics, 2013, pages 26. e-ISBN 9789934104671.
14. Bloks, V., Pļaviņa, B., Geipele, I., Geipele, S., Stāmure, I. Reequipment of Heating Systems in Apartment Buildings Technical Economical Solutions. In: Riga Technical University 53rd International Scientific Conference: Dedicated to the 150th Anniversary and the 1st Congress of World Engineers and Riga Polytechnical

- Institute / RTU Alumni: Digest, Latvia, Riga, October 11–12, 2012. Riga: Riga Technical University, 2012, pages 743. ISBN 978-9934-10-360-5.
15. Geipele, I., Geipele, S., Pļaviņa, B., Stāmure, I. Pricing Peculiarities of Apartment House Management in Latvia. In: The 7th International Scientific Conference “Business and Management 2012”: Selected Papers, Lithuania, Vilnius, May 10–11, 2012. Vilnius: Technika, 2012, pages 1075–1082, ISBN 978-609-457-116-9. ISSN 2029-4441. e-ISSN 2029-929X. Available at: doi:10.3846/bm.2012.137.
 16. Pļaviņa, B., Geipele, S. Dzīvojamās mājas pārvaldīšanas pakalpojuma cenas veidošanas problēmas un risinājumi uzņēmējdarbībā Latvijā (Problems and solutions in pricing of the residential buildings management service in the entrepreneurship in Latvia). In: Proceedings of the 52nd International Scientific Conference of Riga Technical University: RTU FEEM Scientific Conference on Economics and Entrepreneurship (SCEE’2011), Riga, Latvia, October 7, 2011. Riga: RTU FEEM, 2012, CD. ISBN 978-9934-10-294-3.
 17. Pļaviņa, B., Geipele, S. Dzīvojamās mājas pārvaldīšanas pakalpojuma cenas veidošanas veidi Latvijā (Types of pricing method for management of a residential building in Latvia). In: Economics and Management: 3rd United Global Congress of Latvian Women Scientists (Apvienotais Pasaules latviešu zinātnieku 3. Kongress) and 4th Congress (Letonikas 4. kongress): Book of Report Summaries (referātu kopsavilkumu krājums), Latvia, Riga, October 24–27, 2011. Riga: SIA Biznesa kompetences centrs, 2011, pages 80–81. ISBN 978-9934-8143-1-0.

Presentation of research results in conferences and seminars

The author of the Doctoral Thesis has participated in 10 international scientific and scientific-practical conferences and various scientific seminars, presenting the research results in 12 reports.

1. 60th International Scientific Conference of Riga Technical University, September 27–28, 2019, Riga, Latvia. Theme of the Report: “*Pricing Policy of the Management and Administration of Residential Houses in Latvia*”.
2. 60th International Scientific Conference of Riga Technical University, September 27–28, 2019, Riga, Latvia. Theme of the Report: “*Historical Trends in Latvia’s Housing Policy and Planning to Identify Factors Affecting Sustainable Development*”.
3. Riga Technical University 58th International Scientific Conference “Scientific Conference on Economics and Entrepreneurship”, October 13–14, 2017, Riga, Latvia. Theme of the Report: “*Assessment of Energy Efficient Processes in Public and Residential Buildings in Littoral Regions of the Baltic Sea: Case Study of Latvia*”.
4. 56th International Scientific Conference of Riga Technical University, October 14–16, 2015, Riga, Latvia. Theme of the Report: “*The level of competence in real estate manager education – theory and practice*”.
5. 55th Riga Technical University Conference SCEE’2014 “Scientific Conference on Economics and Entrepreneurship”, October 14–17, 2014, Riga, Latvia. Theme of the

- Report: “*Nekustamā īpašuma pārvaldības politikas attīstības tendences*” (Trends of development in the real estate management policy in Latvia).
6. Riga Technical University 54th International Scientific Conference. Section: Real Estate Economics and Construction Entrepreneurship, September 26–29, 2013, Riga, Latvia. Theme of the Report: “*Sustainable Development of the Housing Policy in Latvia*”.
 7. Proceedings of the International Scientific Conference “Economic Science for Rural Development”, April 25–26, 2013, Jelgava, Latvia. Theme of the Report: “*Chances for the Development of Multiapartment Dwelling Houses’ Policy in Latvia*”.
 8. MoE of Latvia Republic, LAoBMA (LNPA), International Seminar by Latvia’s Buildings Managers’ Guild, October 19, 2012, Riga, Latvia. Theme of the Report: “*Neustamo īpašumu pārvaldnieka profesijas atbilstība Nace profesijas izglītības kvalifikācijai*” (Compliance of the real estate manager’s profession to the educational qualification of Nace classification of professions).
 9. Riga Technical University 53rd International Scientific Conference: Dedicated to the 150th Anniversary and the 1st Congress of World Engineers and Riga Polytechnical Institute / RTU Alumni, October 11–12 2012, Riga, Latvia. Theme of the Report: “*Reequipment of Heating Systems in Apartment Buildings Technical Economical Solutions*”.
 10. 3rd United Global Congress of Latvian Women Scientists (Apvienotais Pasaules latviešu zinātnieku 3. Kongress) and 4th Congress (Letonikas 4. kongress) Latvia, Riga, October 24–27, 2011. Theme of the Report: “*Dzīvojamās mājas pārvaldīšanas pakalpojuma cenas veidošanas veidi Latvijā*” (Types of pricing method for management of a residential building in Latvia).
 11. Project of Ministry of Economics “Live Warmer”, Seminar “Attracting money for management and finances for the renovation of multi-apartment buildings” (Ekonomikas ministrijas projekta “Dzīvo siltāk” seminārs “Apsaimniekošanas naudas un finanšu piesaiste daudzdzīvokļu māju renovācijai”), October 19, 2011, Riga, Latvia. Theme of the Report: “*Pārvaldīšanas cenas veidošanas principi un to ietekmējoši faktori*” (Management pricing principles and factors influencing it).
 12. The 52nd International Scientific Conference of Riga Technical University: RTU FEEM Scientific Conference on Economics and Entrepreneurship (SCEE’2011), October 7, 2011, Riga, Latvia. Theme of the Report: “*Dzīvojamās mājas pārvaldīšanas pakalpojuma cenas veidošanas problēmas un risinājumi uzņēmējdarbībā Latvijā*”. (Problems and solutions in pricing of the residential buildings management service in the entrepreneurship in Latvia).

Structure and Scope of the Doctoral Thesis

The Doctoral Thesis is an independent scientific study developed and written in Latvian. The total volume of the work, excluding appendices, is 194 pages.

The Doctoral Thesis consists of introduction, three parts, conclusions and proposals, a list of literature and sources used, as well as 23 appendices. The work includes 48 figures, 26

tables, and 1 formula that explains and illustrates the content of the study. During the development of the Doctoral Thesis, 281 different sources of information were used, which are included in the list of literature and sources used in the Doctoral Thesis.

Content of the Doctoral Thesis

ABSTRACT

LIST OF ABBREVIATIONS AND NAMING CONVENTIONS

INTRODUCTION

1. RESEARCH OF THEORETICAL ASPECTS OF MULTI-APARTMENT RESIDENTIAL BUILDING MANAGEMENT AND ADMINISTRATION PLANNING

1.1. Analysis of definitions related to the management of multi-apartment residential buildings

1.2. Analysis of theoretical issues of management and administration

1.3. Analysis of theoretical issues of management and administration

1.4. Identification of the policy planning issues

2. ANALYTICAL EVALUATION OF PROBLEMS RELATED TO THE MULTI-APARTMENT RESIDENTIAL BUILDING MANAGEMENT AND ADMINISTRATION

2.1. Axis of the historical development chronology of challenges

2.2. Institutions involved in the ensuring process

2.2.1. Responsibility of organizations involved in quality assurance

2.2.2. Institutions involved in the ensuring process

3. RESEARCH OF THEORETICAL ASPECTS OF MULTI-APARTMENT RESIDENTIAL BUILDING MANAGEMENT AND ADMINISTRATION PLANNING

3.1. Methodology and characteristics of respondents

3.2. Interrelations between the housing policy and indicators of impact of the management and administration processes of multi-apartment residential buildings

3.2.1. Analysis of indicator evaluation results

3.2.2. Reliability evaluation of results

3.3. Options of the improvement of mutual information flow of the housing policy and multi-apartment residential management

CONCLUSIONS AND PROPOSALS

LIST OF LITERATURE AND SOURCES USED

ANNEXES

Part I of the Doctoral Thesis consists of four chapters. Theoretical aspects of planning the MAB management and administration process are analysed in this part. In the first part, the author includes the analysis of definition of MAB, theoretical issues of management and administration, the range of management and administration services and theory of planning and policy development.

Part II of the Doctoral Thesis consists of two chapters and two sub-chapters within which analytical evaluation of problems of the MAB management and administration process is

presented. The author reflects on the historical development of the housing policy and the structure of the form of housing ownership, describes the organisations involved in ensuring the MAB management and administration process, their functions and tasks, as well as the responsibility of organisations involved in ensuring the quality of MAB management and administration.

Part III of the Doctoral Thesis consists of three chapters and two sub-chapters. This part presents the results of the study of interrelation between the housing policy and the MAB management and administration process impact indicators and proposes a methodological solution for the improvement of mutual information flow of the housing policy and MAB management and administration.

Based on the **conclusions** obtained as a result of the research, **proposals** have been developed to promote the development of housing policy and MAB management and administration process, to solve existing problems, emphasizing the importance of state and municipal housing policy and MAB management and administration and the need to improve the system.

The tasks of the Doctoral Thesis have been fulfilled and its objective achieved.

The author's logical model of interaction of information flow between the housing policy and MAB management and administration process as a methodological solution for implementation of the management and administration processes is an essential precondition for the improvement of housing policy and MAB management and administration interaction, as well as identification of decisions and solutions regarding the MAB management and administration, which may ensure sustainable development of the sector.

The conclusions and proposals obtained as a result of the study contribute to the scientifically applied and practical solution of issues regarding planning in the field of the housing policy and MAB management and administration. For the following studies the author proposes to develop a system of criteria for improving the coordination between the state housing policy and municipal MAB management and administration strategies.

1. THE STUDY OF PLANNING THEORETICAL ASPECTS OF MULTI-APARTMENT RESIDENTIAL HOUSE MANAGEMENT AND ADMINISTRATION

The issues and problems in the management and administration of multi-apartment residential buildings (MABs) affect both – the residents and owners of MABs, as well as interests of individual regions and the state as a whole. The MAB management and administration strategy is directly related to the state housing policy. Until now, the planning documents of the housing policy developed in Latvia have been developed in a non-specific manner, and the issues of the MAB management and administration have been addressed in a general manner.

The study of the Doctoral Thesis is aimed at substantiating the need for the housing policy planning at different levels of the planning hierarchy.

In this part, the author studies the rise of the MAB management and administration problems and their connection with the importance of the development of political planning documents of decision-making process in the sphere of MAB management and administration. Figure 1.1 shows the design of the study, which reflects the framework of the problem under the study.

Process of political planning of MAB management and administration

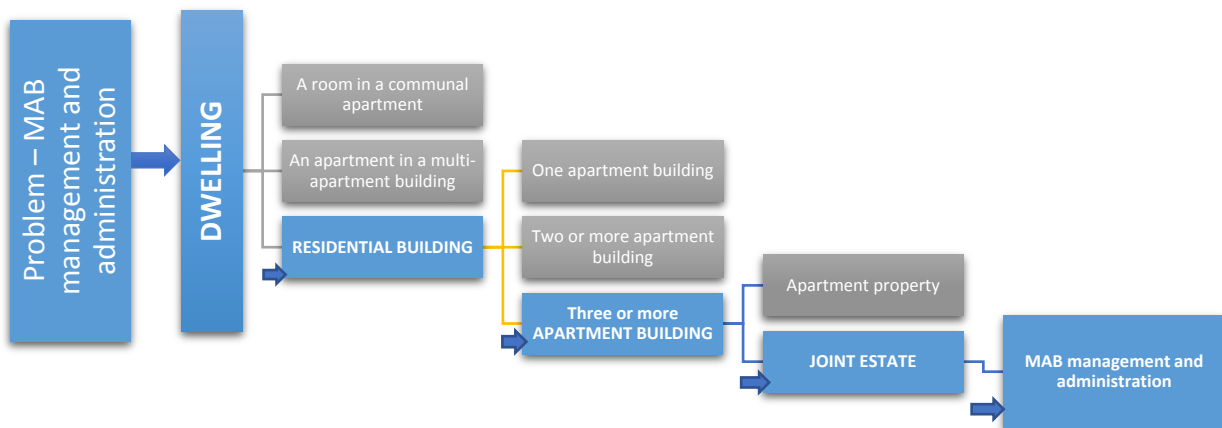


Fig. 1.1. The study design of theoretical aspects of the planning of MAB management and administration (created by the author).

For the purposes of the study the analysis of scientific literature, historical statistical data, and normative documents is used.

In order to contribute to a common understanding of the concepts, the author analyses the definitions that are related and formulates the scope of MABs. The analysis of terminology is necessary in order to further identify the indicators necessary for the study presented in Part 3 of the Doctoral Thesis.

As a result of the analysis of the summarized definitions, the author provides an explanation of the concept “dwelling” and “apartment property” that identifies the framework of the problem that is in the focus of the Doctoral Thesis.

- A dwelling is a property, a residential area intended for permanent residence, which is a building or apartment property with a definite address intended to be resided by people.
- Apartment property is a property with a definite address, which consists of a separate apartment in a residential building and a legally inseparable part of the common property and is intended to be resided by people with families.

Addressing the issues of MAB management and administration, i.e., the development of plans and strategies at the national level should be done according to the scope of the problem, which can be identified by specifying the size of the total housing stock. The Doctoral Thesis is aimed at solving the problems of MAB management and administration, taking into account the interests of various parties, both – at the level of the apartment owner, the manager, and the state and local governments.

The specifics of the housing policy and MAB management and administration in Latvia are influenced by the structure of house owners, i.e., MABs may have several owners. Situations where one MAB can have, for example, 90 owners seriously complicate the management and administration of buildings, which, in the author's opinion, should be addressed at the level of the national housing policy.

Problems in urban and rural areas for MAB may be similar, but the way of solving them may be different, because in cities there is a competition between the MAB service providers where MAB owners can choose the most suitable management and administration service provider, but in rural areas the situation is that there is no offer of this type of services because there are no specialists available and the awareness as to the MAB management and administration may differ.⁴

The information on housing stock in statistical regions and cities of the Republic in the period from 1990 to 2009 summarised in Table 1.1 shows the tendency that the average housing stock per capita in Latvia increases from 19.9 m² to 27.2 m², which shows the increase by 37 %, while the housing stock has increased by 15.5 %. This means that people choose to live in larger and more spacious homes.

Unsatisfactory maintenance of the housing stock may cause problems for both local government and state institutions when providing housing in the direct or indirect sense to the residents, if a situation arises when living conditions in the building do not comply with state regulations.⁵

The housing stock consists mainly of MABs built during the Soviet years. To reflect their construction intensity, Table 1.2 summarises the housing stock indicators for the period up to 1988.

⁴ Valers, I., Kalnozols, A. (March 14, 2017). Vēsturiskā un politikā daudzdzīvokļu dzīvojamu māju pārvaldīšanas un apsaimniekošanas Engures novadā. (Historical and political multi-apartment buildings management and administration in the Engure region.) (Interviewed by B. Plaviņa)

⁵ Real estate maintenance. Owner's manual/A group of authors – Riga: LNPA (LAoBMA), 2004. – p.140.

Table 1.1

Housing Stock in Statistical Regions and Cities of the Republic, 1990–2009.⁶
(Created by the author)

Year	Total, the total area in thousands of m ²					Average per capita, m ²				
	1990	1995	2000	2005	2009	1990	1995	2000	2005	2009
Latvia	52 922	52 723	53 450	56 959	61 116	19.9	21.3	22.6	24.8	27.2
Riga region	16 342	16 244	16 231	17 042	18 240	18.1	20.0	21.4	23.4	25.7
Pierīga (region around Riga)	7301	7427	7735	9387	11 221	19.3	20.6	21.5	25.4	29.0
Vidzeme region	6111	5981	6048	6260	6489	22.5	22.8	23.8	25.8	27.8
Kurzeme region	7880	7955	7972	8293	8568	21.6	23.8	25.0	26.9	28.6
Zemgale region	6482	6387	6614	7044	7406	20.3	21.2	22.6	24.6	26.4
Latgale region	8806	8729	8850	8933	9193	20.9	21.8	23.2	24.8	27.1

Table 1.2

Structure of Housing Stock by its Construction Period (Number of Buildings)⁷
(Created by the Author)

Years	Till 1918	1918–1940	1941–1950	1951–1960	1961–1970	1971–1980	1981–1988
Total	6935	7913	1448	4049	7821	10 253	8574
City	4757	2809	698	2794	6066	7765	5903
Countryside	2178	5104	750	1255	1755	2487	2671

The useful life cycle of the communications and structures of these buildings has already expired. Therefore, special attention must be paid to their renovation and reconstruction, so that the indicators of the housing stock do not decrease rapidly.

According to Eurostat data, in 2017, 66.4 % of the Latvian population lived in MABs⁸, thus the maintaining of the housing stock is a vital direction of research, which is directly related to the urgency of solving the MAB management and administration problems.

According to the Central Statistical Bureau, in 1980 the total volume of the housing stock was 43.1 million m², in 1999 it increased to 52.9 million m², including both the stock of the Russian Army and owner-occupied one-apartment and multi-apartment buildings^{9, 10}, but in 2017 it reached 75.3 million m².

⁶ *Dzīvojamais fonds statistiskajos reģionos, republikas pilsētās un rajonos gada beigās, 1990.–2009. g. (Housing stock in statistical regions, cities and districts of the republic at the end of the year, 1990-2009)* (2017) [online]. Central Statistical Bureau [last viewed on July 26, 2017]. Available at: http://data1.csb.gov.lv/pxweb/lv/arhivs/arhivs__a_nek_ip__ikgad/A_MAG070.px/table/tableViewLayout1/?rxid=2aadc131-f3ae-44c1-a74d-694e0f09eb48

⁷ Results of the 1989 census in Latvia. Statistical Bulletin, Part II. – Riga, 1991 – p. 104.

⁸ *Distribution of population by dwelling type, 2017* (2017) [online]. Eurostat [consulted on 10 March 10, 2019]. Available: https://ec.europa.eu/eurostat/statistics-explained/index.php?title=Housing_statistics/lv#M.C4.8Ijok.C4.BCa_veids

⁹ *The concept of the state policy in solving housing issues. Project* (1995) [online]. Latvijas Vēstnesis (Official Gazette). March 23, 1995, No. 45 (328) [last viewed April 20, Available at: <https://www.vestnesis.lv/ta/id/26962>

¹⁰ Latvijas statistikas gadagrāmata (1999) III cet., Centrālās statistikas pārvalde, 105. lpp. (Statistical Yearbook of Latvia (1999) IIIrd. quarter, Central Statistical Bureau, p. 105.)

The community of apartment owners is practically the only legally and lawfully responsible person eligible to make the decision on maintenance of the real part of the apartment property and is authorised to implement this set of measures based on the decision made by the majority of the respective apartment owners.¹¹ In the selection process, apartment owners are given the opportunity to choose and agree on the quality of services to be provided and the related costs. The author's work experience shows that there are still situations when apartment owners are not aware of their degree of responsibility for the management and administration of the areas jointly owned in the respective MAB.

The normative documents of the Republic of Latvia determine the rights and obligations of apartment owners in relation to maintenance of MABs in good technical condition. When carrying out maintenance and management of a residential building that belongs to one owner, the responsibilities of the owner are clearly defined and there are no conflicts in matters regarding the usefulness and availability of financing.¹² The difficulties of the situation arise when different interests and financial options collide, which are regularly observed among the MAB apartment owners. There are situations when apartment owners apply their responsibility only to the living space they own, but not to the common area or building as a whole. Such an attitude of apartment owners is often observed when the general technical condition of the building is close to the state of emergency, but quality repairs have already been carried out in some living quarters. There is also a situation when the owners of these dwellings do not want to participate in a joint financing of maintenance and renovation of common areas of the building.^{13, 14}

Within the framework of the chapter, the author of the Doctoral Thesis analyses the structural composition of the range of management and administration services and debtors with the aim to identify financial problems that affect the provision of the MAB management and administration services. The term “debtors” is used in the batch work to identify the recipients of management and administration services, their structure, solvency, and critical, financially insecure households.

Data from the Central Statistical Bureau show the existence of socio-economic disparities – high income inequality that exists between regions (Table 1.3).

According to the statistics summarised in Table 1.3, there are significant differences in the quality of life in different counties and regions.

¹¹ Magone, I. (2010). *Namu apsaimniekošana – pakalpojumu un rūpju bizness. (Buildings management – business of services and care)*. [online]. Latvijas Vēstnesis (Official Gazette) [last viewed on June 29, 2015]. Available at: <http://www.lvportals.lv/viedokli.php?id=204848>

¹² Kalns, J. (2012) [online]. *Grūst vai negrūst tāds ir jautājums (II) (“Is collapsing or not – that is the question”)*. Latvijas Vēstnesis (Official Gazette). [last viewed on April 12, 2015]. Available at: <http://www.lvportals.lv/likumi-prakse.php?id=248496>

¹³ Real estate maintenance. Owner's manual/A group of authors – Riga: LNPA (LAoBMA), 2004. – 140 p.

¹⁴ Von Hauff, M., Musielack, H. (2013). *Das große Verwaltungshandbuch*. 5. Auflage. – Haufe Gruppe, Freiburg-München., - p. 64.

Table 1.3

Gini Coefficient in the Regions of Latvia¹⁵ (%) (Created by the Author)

Years	2004	2005	2008	2010	2015	2016	2017
Riga	35.1	37.7	35.9	34.9	33.6	32.2	34.1
Pierīga (region around Riga)	32.2	31.7	37.1	34.3	34.5	34.8	35.9
Vidzeme	32.9	36.9	35.9	33.4	32.4	31.6	31.8
Kurzeme	35.0	37.5	36.9	32.3	31.5	32.7	31.8
Zemgale	31.6	33.6	33.3	33.6	31.5	33.2	32.7
Latgale	35.8	35.4	35.4	33.4	31.5	32.3	36.4

The quality of MAB management and administration is also influenced by the integrity of apartment owners in making payments, which depends on the interaction of several interrelated factors.¹⁶

Depending on the overall level of prosperity in the region there are trends and differences in the indebtedness of apartment owners.¹⁷ The amount and existence of indebtedness is also influenced by the implementation of the housing policy adopted in the administrative region.

The issues of MAB management and administration in Latvia may be considered as topical, which is justified by the fact that a large part of the housing stock is formed by MABs. Taking into account that maintaining and increasing the volume of the housing stock is one of the priorities of the state housing policy, the author evaluates the development of political planning documents that are developed at different hierarchical levels in Latvia and their linkage with problems existing with regard to the MAB management and administration planning.¹⁸

The historical development of the housing policy shows the rationale for the current interaction between the state, local government, and owners of buildings, the theoretical aspects of the policy, the role of the political strategy and housing policy in the national development planning. Within the framework of the chapter, the author evaluates the factors influencing the interaction of the state, regional, and municipal housing policy.

The interconnection of different levels of planning documents is ensured by a high-quality information flow. Information flows in the hierarchy of the housing policy planning documents and the level of regional and municipal planning include the development of planning documents for **operational policies and structural units** of the housing policy and the MAB management and administration process.

¹⁵ *Džini koeficients Latvijas reģionos* (2018) [online]. Central Statistical Bureau. [Last viewed on January 12, 2018]. Pieejams: https://data1.csb.gov.lv/pxweb/lv/sociala/sociala__nabadz_nevienl_monetara_nab/NIG160.px

¹⁶ Beikmanis, Ģ., Geipele, I., Geipele, S., Stāmure, I. (2013). Owner's Role in Creating Energy-Efficient and Viable Property in Latvia. In: Abstracts of the Riga Technical University 54th International Scientific Conference. Section: Real Estate Economics and Construction Entrepreneurship, Latvia, Riga, September 26–29, 2013. Riga: Institute of the Civil Engineering and Real Estate Economics, 2013, page 10.

¹⁷ Pļaviņa, B., Geipele, S. (2012). Dzīvojamās mājas pārvaldīšanas pakalpojuma cenas veidošanas problēmas un risinājumi uzņēmējdarbībā Latvijā. (Problems and solutions in pricing of the residential buildings management service in the entrepreneurship in Latvia). In: RTU BUNĪI scientific publications "Būvuzņēmējdarbība un nekustamā īpašuma attīstība" (Building Entrepreneurship and Real Estate Development). Vol. 2. Riga: RTU. pages 43–50.

¹⁸ *Distribution of population by dwelling type, 2017* (2017) [online]. Eurostat [accessed on March 10, 2019]. Pieejams: https://ec.europa.eu/eurostat/statistics-explained/index.php?title=Housing_statistics/lv#M.C4.81jok.C4.BCa_veids

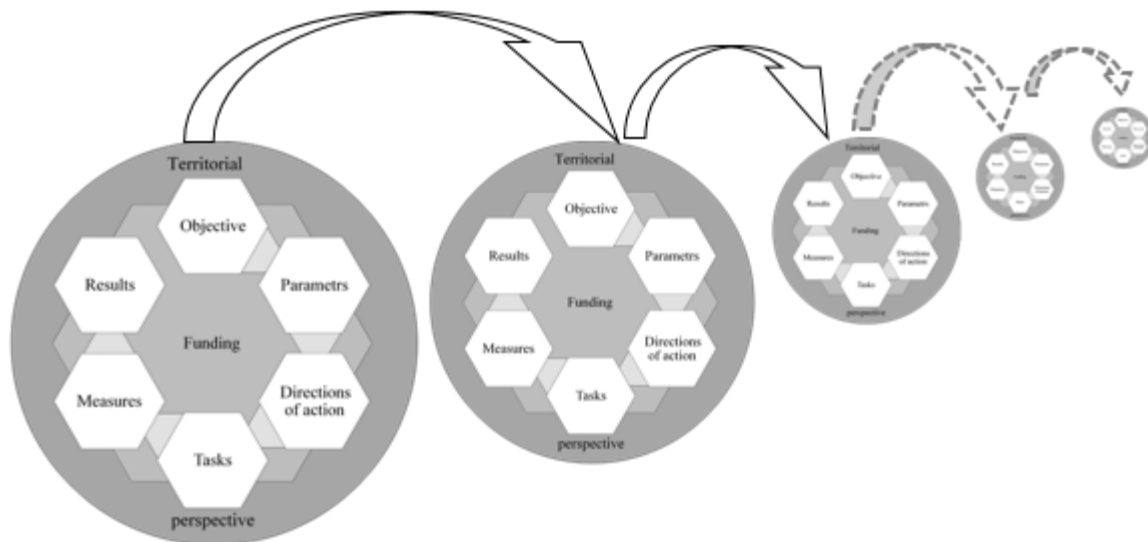


Fig. 1.2. Cyclical continuity in the development of planning documents¹⁹
(created by the author).

The development of the housing policy planning document envisages the definition of goals, performance parameters, directions of action, and secondary tasks, thus defining also the institutions responsible for the performance of the tasks. Taking into account that the management and administration of MABs is one of the priority directions of housing policy, it is necessary to define tasks performance of which demand development of appropriate measures and setting of criteria for evaluation of the achieved results. This will help to compare the result achieved with the planned goal. When developing a planning document of the MAB management and administration process, it is necessary to take into account the territorial perspective and the necessary financing – indicative costs, by separating the allocated financial resources and additional financing that is needed.²⁰ In Fig. 1.2, the author shows the process of development of documents in the housing policy and MAB management and administration planning.

After getting acquainted with the documents and plans developed by individual municipalities, the author concludes that local governments have different approaches to their housing policy issues and rarely any of them has a housing policy planning document and support instruments to promote solutions for the MAB management and administration issues and ensure the maintaining of the housing stock, as envisaged in Latvia's sustainable development strategy.

¹⁹ Osvalde, R., Ozoliņa, I., Vītola, A., Sīmane, M. (2016) [online]. Politikas veidošanas rokasgrāmata. (Manual of policy-making). Pārresoru koordinācijas centrs (Interdepartmental Coordination Centre). [Last viewed on May 2, 2017]. Available at: http://www.pkc.gov.lv/sites/default/files/inline-files/pkc_rokasgramata_090316_web.pdf

²⁰ Law on Development Planning System. (2009) [online]. Law of the Republic of Latvia, adopted in Riga on May 8, 2008, Latvijas Vēstnesis (Official Gazette), website Likumi.lv [last viewed on January 10, 2015]. Available at: <https://likumi.lv/ta/id/175748-attistibas-planosanas-sistemas-likums>

2. ANALYTICAL EVALUATION OF PROBLEMS RELATED TO THE MULTI-APARTMENT RESIDENTIAL BUILDING MANAGEMENT AND ADMINISTRATION

MABs where the community of apartment owners cannot agree on the provision of management and administration processes pose a risk of deterioration of physical condition of the dwelling.

In Fig. 2.1, the author provides a visual study description of Part 2 of the Doctoral Thesis.

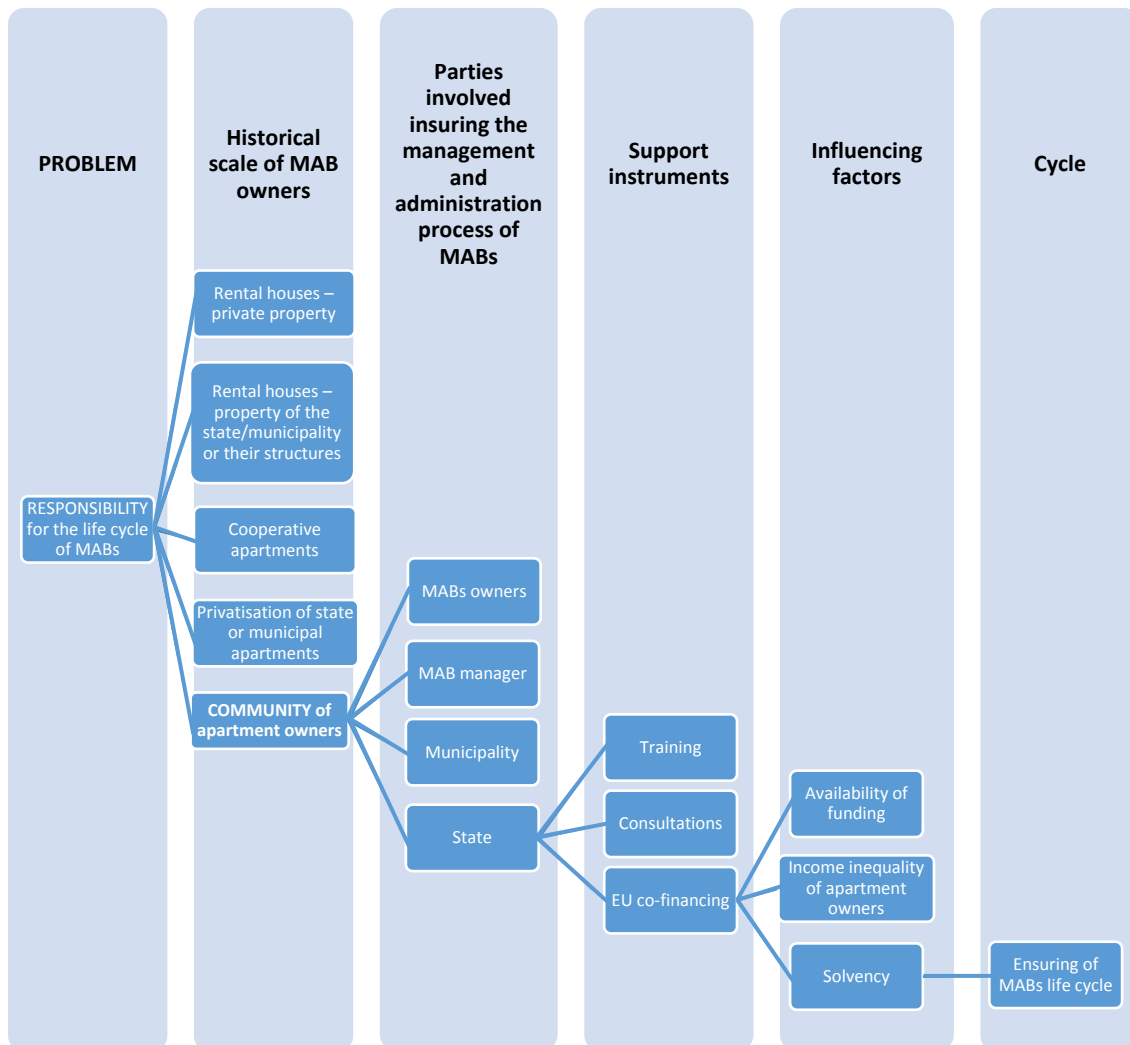


Fig. 2.1. Design of analytical evaluation of the MAB management and administration problems (created by the author).

In Part 2 of the Doctoral Thesis, the author has presented the theoretical and normative factors that influence the solution of challenges with regard to MAB management and administration. In this part, the study focus concerns the analytical analysis of the reasons for the formation of the current situation and the support measures for solutions.

The current problems in MAB management and administration are the result of a series of historical events and decisions that were made before.

Based on the information gathered for the reasons of this part, the author has created a scale of historical development of MAB property structure (Fig. 2.4).

				Community of apartment owners
			Cooperative apartments	
		Rental houses – property of the state/municipality or their structures		
			Privatisation of state or municipal apartments	
Rental houses – private property			Rental houses – private property	
... –1920	1920–1940	1940–1995	1995–2010	2010– ...

Fig. 2.2. Changes in the ownership structure of multi-apartment residential buildings in the period from 1920 to nowadays (created by the author).

Figure 2.2 presents information on the development of the housing policy and availability of living space, that allows the author to conclude that there is a change in the ownership structure with regard to the proportion in property forms of MABs.

By analysing the development of the historical housing policy, the author concludes that as times change, MAB residents have mostly been in the status of MAB tenants – in a situation where one only has to think about his/her own apartment, because the owner of the building, i.e., the state, municipality, or the owner of the rental house takes care of the common property part of the building. With the development of the market economy, the legislation adopted in the initial period of Latvia's restoration of independence (1991–1995) to establish market relations in the field of housing was a significant milestone in the development of multi-apartment residential property ownership and future housing policy, as the dweller who continuously has been a tenant needs to change attitude and thinking.

In Fig. 2.3, the author shows the axis for acceptance of most important documents characterising the development of the housing policy in Latvia, which visually depicts the chronology of the housing policy processes dating back from 1920, when the solution of housing challenges took on such dimensions that they required state involvement, until 2010.

The analysis of the chronology of the historical development in the forms of apartment ownership emphasises the need to evaluate the changes in the role of the state and local governments with regard to setting and development of the housing policy. If until the 1990s the functions of the management and administration of MABs were performed by the state and municipalities, then by taking over MABs in their ownership the communities could not do without state and municipal support in management and administration of the property.

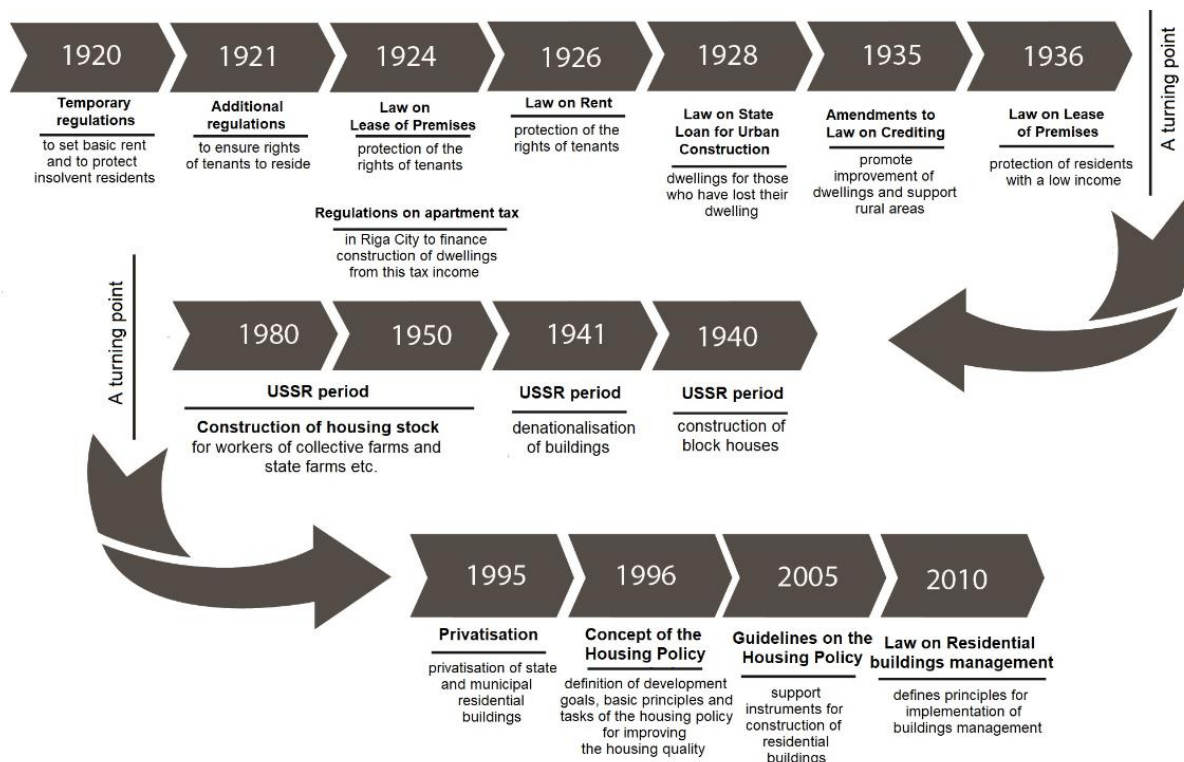


Fig. 2.3. Axis of historical chronology of development of the housing policy, 1920–2010 (created by the author).

Already in the 1920s and 1930s, a clear opinion was developed – a good, accessible apartment is needed for all families living in Latvia and both the state and the whole society are responsible for this.²¹ Taking into account that before that there was no need to establish a financial regulation mechanism for solving the housing policy issues, and the issues on construction lending in Latvia began to be solved at the same time when the Latvian Mortgage Bank (Latvijas Hipotēku un Zemes banka) was established, i.e., in 1924.²² At the beginning of the 20th century, the credit facilities facilitated the construction of dwellings.^{23, 24}

The management and administration of MABs is closely related to maintaining the amount of the housing stock that, in turn, is one of several important aspects of the housing policy. The institution to which similar responsibilities were imposed after regaining the national independence was “Mājokļu aģentūra” (S/A “Housing Agency”). In accordance with Section 8, paragraph one of the Public Agencies Law, it was decided to establish a state agency “Mājokļu aģentūra” (S/A “Housing Agency”) (hereinafter – the Agency) on October 1, 2002. The Agency is a state institution under the supervision of the Ministry of

²¹ Kučinskis J. Mājokļu politika un tās instrumenti (Housing policy and its instruments) – Latvijas Hipotēku un Zemes banka, 2006. – p. 253.

²² *Ibid.*

²³ Boruks, A. (2003). *Zemnieks, zeme un zemkopība Latvijā no senākiem laikiem līdz mūsdienām*. 2nd reviewed and supplemented edition. Jelgava: Latvijas Lauksaimniecības universitāte, 717 p. ISBN 9984596680

²⁴ Auziņš, A. (2016). *Zemes izmantošanas novērtēšana un pārvaldība: zinātniskā monogrāfija*. Rīga: RTU Press p. 270 ISBN9789934107801. DOI: <http://dx.doi.org/10.7250/9789934107801>

Environmental Protection and Regional Development, which was established to implement a single state policy in the field of housing. The Agency has the following key functions²⁵:

- to manage state support programs in the field of housing;
- to methodically direct the housing management process;
- to ensure monitoring of housing;
- to carry out other duties laid down in legislation.

The Housing Agency was liquidated on 31 December 2009. Since then, the Ministry of Economics has taken over the relevant functions, however, an equivalent institution with equivalent functions has not been established and maintained.

The author, based on Annex 1, in Fig. 2.4 shows the redistribution of functions and tasks of the S/A “Housing Agency” to other responsible institutions.

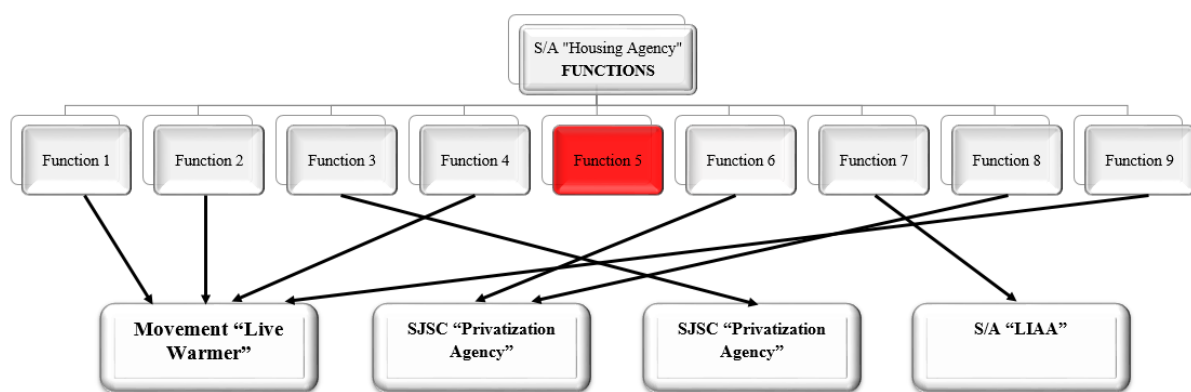


Fig. 2.4. Redistribution of functions and tasks of S/A “Housing Agency” to other responsible institutions²⁶ (created by the author).

As shown in Fig. 2.4 the data and summary of the functions of S/A “Housing Agency” (Appendix 1), the function of S/A “Housing Agency” “*methodically manage the activities of municipalities in the field of housing*” is not delegated (taken over), which indicates that systematic and planned cooperation in the housing policy with municipalities is not maintained and carried out. Most of the functions of S/A “Housing Agency” were taken over by the Ministry of Economics and its subordinate institutions, SJSC “Privatization Agency” became responsible for the privatisation process as of July 1, 2009 and the responsibility for increasing energy efficiency in residential buildings was taken over by SJSC “LIAA” as of July 1, 2010, while from 2016, it was taken over by the state development financial institution

²⁵ Par valsts aģentūru “Mājokļu aģentūra” (On State Agency “Housing Agency”). (2002) [online]. Order of the Cabinet of Ministers of the Republic of Latvia No. 531, Riga, September 25, 2002, Latvijas Vēstnesis (Official Gazette), website Likumi.lv [last viewed on March 21, 2018]. Available at: <https://likumi.lv/doc.php?id=66849>

²⁶ Par Būvniecības, enerģētikas un mājokļu valsts aģentūras likvidāciju (On the liquidation of the State Agency for Construction, Energy and Housing). (2009) [online]. Regulations of the Cabinet of Ministers of the Republic of Latvia No. 535, adopted in Riga on May 29, 2009, Latvijas Vēstnesis (Official Gazette), website Likumi.lv [last viewed on November 28, 2018]. Available at: <https://m.likumi.lv/ta/id/192847-par-buvniecibas-energetikas-un-majoklu-valsts-agenturas-likvidaciju>

“ALTUM”²⁷, which provides financing in state-defined supported areas where financing of credit institutions is not available in sufficient amount, by using such financial instruments as loans, guarantees, investments, venture capital funds, etc.

The tasks of the strategic planning documents developed within the framework of ensuring the municipal MAB management and administration measures and the measures to be taken for their implementation shall be such as to facilitate the decision-making of MAB apartment owners and tenants to promote further functionality of the building. Depending on the capacity of the municipal budget and the degree of interest in the development of the very municipality, the role of the municipality and the possibilities to develop a high-quality MAB renewal strategy in the municipality should be evaluated.

²⁷ *Par ALTUM aizdevumu (On loans by ALTUM)*. (2018) [online]. Altum.lv [last viewed on March 21, 2018]. Available at: <https://www.altum.lv/lv/pakalpojumi/energoefektivitate/programmas-atbalsts-altum-aizdevums/par-aizdevumu/>

3. METHODOLOGY OF IMPLEMENTATION OF THE HOUSING POLICY AND MULTI-APARTMENT RESIDENTIAL HOUSE MANAGEMENT AND ADMINISTRATION PROCESS

In the course of the research it is important to find out the opinion of specialists in the MAB sector on indicators and dimensions that affect the MAB management and administration process in order to develop appropriate methodological solutions for multi-apartment residential buildings in the context of the housing policy with the purpose to improve economic activities of the state and municipal companies, as well as management companies and the strategic planning process.

The solution of the MAB management and administration challenges is influenced by a number of factors the identification of which was performed in Parts 1 and 2 of the Doctoral Thesis. In order to better assess the management of the MAB management and administration and to understand the effective application of the housing policy instruments that affect the management of the MAB management and administration issues, the author has created a questionnaire of specialists of the sector summarising the identified factors in 31 indicator sets and 4 dimensional groups:

- social dimension – social responsibility, education, science, ecosystem monitoring, etc.;
- economic dimension – tax policy, pricing policy, inflation, crediting system, availability of financing, etc.;
- ecological and environmental dimension – energy efficiency, environmental protection and ecology, etc.;
- political and legal dimension – EU legislation, state policy and regional strategy, administrative administration and regulatory framework, etc.

The indicators influencing the housing policy and MAB management and administration processes serve as basis for the selection of questions collected in the survey and interview questionnaire for real estate management and administration specialists and municipal officials (deputies).

The goal of the survey performed by the author of the Doctoral Thesis is to find out the opinion of leading employees and industry specialists of the MAB management and administration companies on the following issues.

- Impact of sustainable development dimensions on the development strategy of MAB management and administration.
- Levels of planning hierarchy at which the problem needs to be addressed;
- Response intensity:
 - in the short term – operational plan, planning period less than 3 years (topical/urgent);
 - in the medium term – tactical plan, planning period from 3 to 10 years (topical, but not urgent);

- in the long term – strategic plan, planning period is 10 and more years (continuous, long-term).
- Nature of impact:
 - MAB owners;
 - MAB managers.

According to the sets of indicators the questionnaire includes 31 questions with an option to add a comment. The structure of the questionnaire is schematically shown in Fig. 3.1.

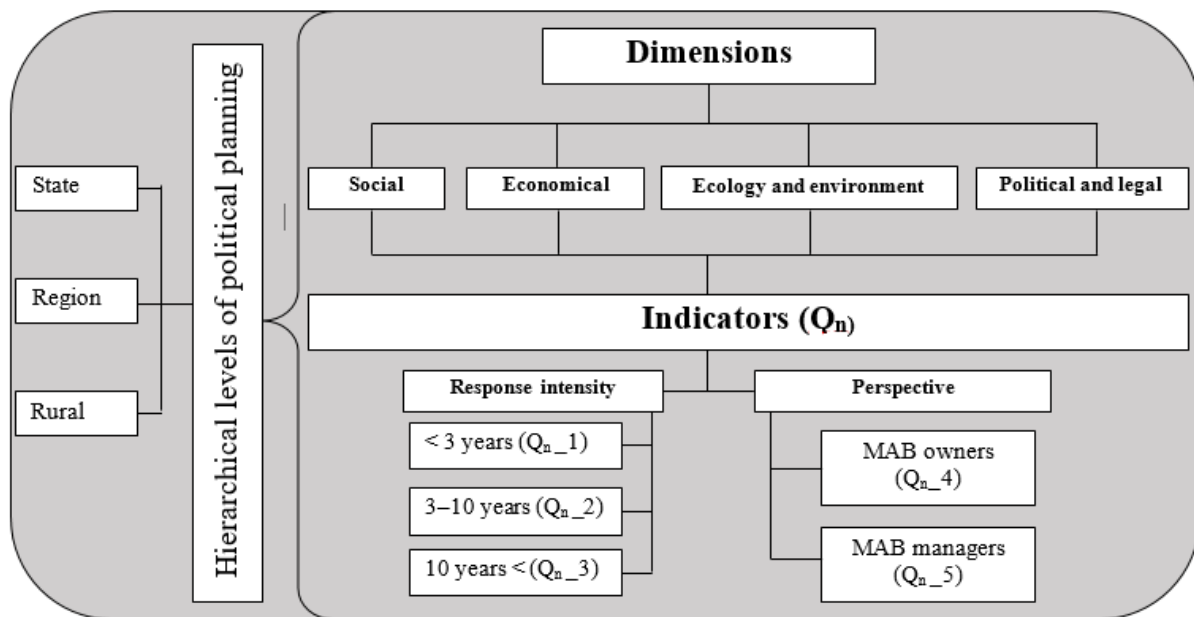


Fig. 3.1. The structure of the questionnaire (created by the author).

The first block of questions (Q1–Q10) includes questions summarising indicators of the social dimension.

The analysis of the intensity of indicators helps to come to conclusions, make forecasts and prepare strategic management decisions, observe trends and adjust them in the appropriate planning hierarchy from the appropriate angle – owner, manager.

The questionnaire consists of four blocks of questions. Each block includes several questions that form a source of information for the performance of the study:

- the first block of questions includes questions (Q1 to Q10) related to social responsibility, education, science, ecosystem monitoring, etc.;
- the second block of questions (Q11 to Q21) is dedicated to the tax policy, pricing policy, inflation, the credit system, access to finances, etc.;
- the third block of questions (Q22 to Q25) consists of ecological and environmental issues – energy efficiency, environmental protection, ecology, etc.;
- the fourth block of questions (Q26 to Q31) reveals the topicality of political and legal issues – EU legislation, state policy and regional strategy, administrative governance, regulatory framework, etc.

Surveys and interviews were conducted addressing experts of the sector and responsible officials involved in policy strategy development, as well as asking for the opinion of business representatives, researchers and representatives of related sectors on the impact of challenges treated in the Doctoral Thesis on the development of the sector and the degree of urgency for their solution.

The characteristics of the respondent groups is shown in Table 3.1.

Table 1.3

Number and Characteristics of the Survey Respondents (Calculated and Created by the Author)

Comments	Data obtained within the framework of the study performed		
	Representatives of associations		
	Specialists of the sector	Researchers	Other
Territory	Republic of Latvia	Republic of Latvia	Republic of Latvia
Time of questionnaire survey	04.2017.–07.2017.	04.2017.–07.2017.	04.2017.–07.2017.
Survey unit	Business Representative	Researchers of the sector	Representative of a related sector
Number of respondents	150	10	10
Competence of respondents	By sector	By sector	By related sector
Number of the completed questionnaires	95	6	3
Response rate, %	63	60	30

Taking into account that the opinion of the survey respondents shows that the housing policy and the development of the MAB management and administration planning documents at the regional level should not be considered as important, the author proposes to create an appropriate information structure between the state and municipalities, involving regional planning institutions only to the extent to ensure interrelation of the housing policy and MAB management and administration strategies with planning documents of other sectors (Fig. 3.2).

In Fig. 3.2, the author shows the trajectory of information flow promoting sustainable development of the housing policy and MAB management and administration process, including all the levels of hierarchy of planning documents. Graphical representation of the logical model of information flow of the housing policy and MAB management process shows the mutual unity of state, regional, and municipal planning systems and indicates the need for a single information flow for development of planning documents, regulatory enactments, and strategic action plans.

The policy developed at all levels and the chosen strategic directions should contribute to the overall economic development and competitiveness by creating a linkage of mutual feedback between the housing policy developed at the national level and implementation of strategic decisions on MAB management and administration in the municipality.

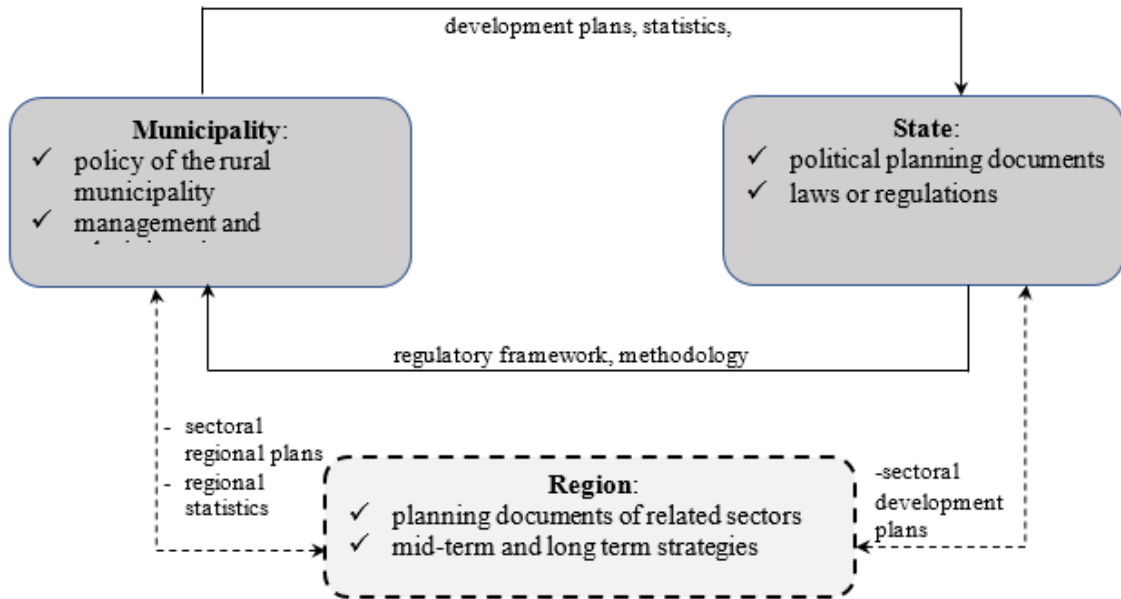


Fig. 3.2. Logical model of information flow for development of planning documents with regard to MAB management and administration process according to hierarchical levels (created by the author).

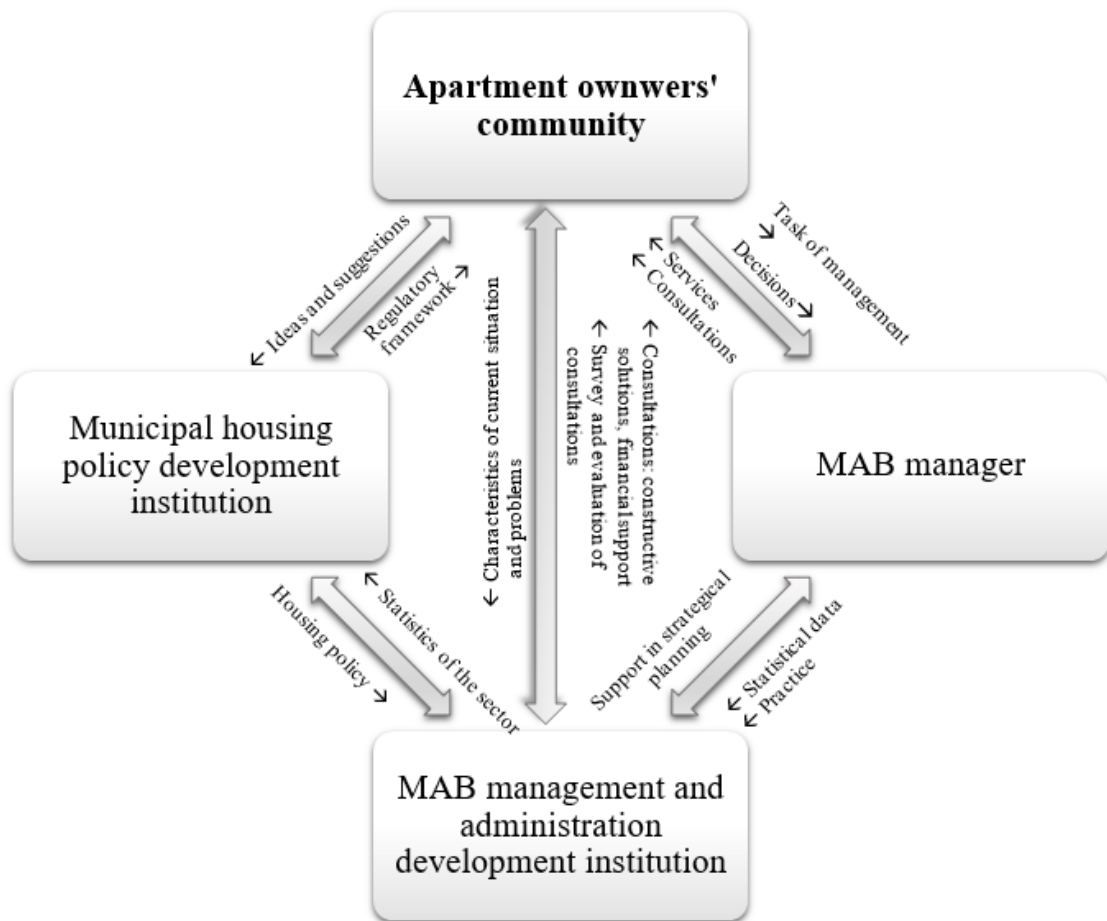


Fig. 3.3. Model of interaction between the information flow of the housing policy and MAB management and administration process at the municipal level (created by the author).

The study carried out within the framework of the Doctoral Thesis confirmed that the impact of the housing policy on the sustainable development of MAB management and administration is related to the ability of the responsible institutions to respond to the impact of social, economic, ecological, environmental, and political factors.

Coordinating the governance of interaction between the housing policy and the MAB management and administration at the appropriate planning level requires an informative database on MABs – their number, location, legal nature, physical condition and maintenance, and development needs. In order to ensure that the plans correspond to the real needs of apartment owners, the author proposes to create a new level of municipal units – a development and control institution for MAB management and administration, which would act as intermediary between the municipality in its development of the housing policy, MAB managers providing management and administration services, and the community of apartment owners. Besides, the functions of the development and control institutions of MAB management and administration should also provide consultations for apartment owners on the topical issues regarding financial support and constructive solutions, as well as inspection of buildings and preparation of recommendations. In Fig. 3.3, the author presents the ideal flow of information at the municipal level emphasising its circular nature. One of the possibilities for creating and implementing the housing policy is to provide consultations to both the MAB apartment owners and tenants with the aim of developing a responsible attitude towards their property and to the management and administration companies on support in work with clients and solving common infrastructure and strategy issues, etc.

The development of the field of MAB management and administration can be influenced by regularly organised events within the municipality – informative seminars, consultations, and recommendations for apartment owners on the following issues:

- legal and lawful changes in matters of property maintenance;
- options of financial support for renovation of buildings;
- the latest technological advances in increasing the energy efficiency of buildings.

The use of **the information flow interaction model** of the housing policy and MAB management and administration process will allow to assess the existing situation in the sphere of MABs, the legal form and management methods in rural municipalities and to find the best solution for their management and administration and to determine directions and goals of the housing policy. As a result of a targeted activity, integrating the coordinated logical model of circular interactive information flow between the housing policy and MAB management and administration may save both the municipal and MABs' residents financial resources and achieve conscious rational use of energy, solve social issues and minimise delays in regular monthly payments.

For the sustainable development of the sector, by integrating at the state and municipal level the logical model of the circular information flow interaction between the housing policy and MAB management and administration process, in the process of elaboration of planning documents it is feasible to promote the following:

- improvement of the physical condition and level of comfort of a residential building;
- efficient use of energy resources;

- raising the level of legal responsibility and competence of apartment owners and tenants;
- increase in the competitiveness of the administrative unit.

In Fig. 3.4, the author presents the logical model of interaction of information flow between the housing policy and MAB management and administration process at the state level, which has a circular trajectory. The main task of the state level organisations is to ensure the development of political planning documents based on the information collected by municipalities and local governments. If local governments perform their functions correctly, then the development of the state level documents is also correct and is based on feasibility study data corresponding to the real situation.



Fig. 3.4. Model of interaction between the information flow of the housing policy and MAB management and administration process at the state level (created by the author).

So far, the function of a MAB economic development institution has been successfully performed by the Ministry of Economics, which should remain unchanged in the future. Both the author's experience and the results of the survey show that more attention should be paid to cooperation between the state and municipal institutions. Therefore, the author proposes to improve the existing information hierarchy structure of information flow and to introduce a logical model of the circular information flow interaction between the housing policy and MAB management (Fig. 3.5), which provides transparent communication between the state

and municipal institutions and among the administrative units of state and municipalities. The introduction of such a system can facilitate the collection of the necessary data of the sector as well as facilitate the possibility of comparing interdisciplinary disciplines.

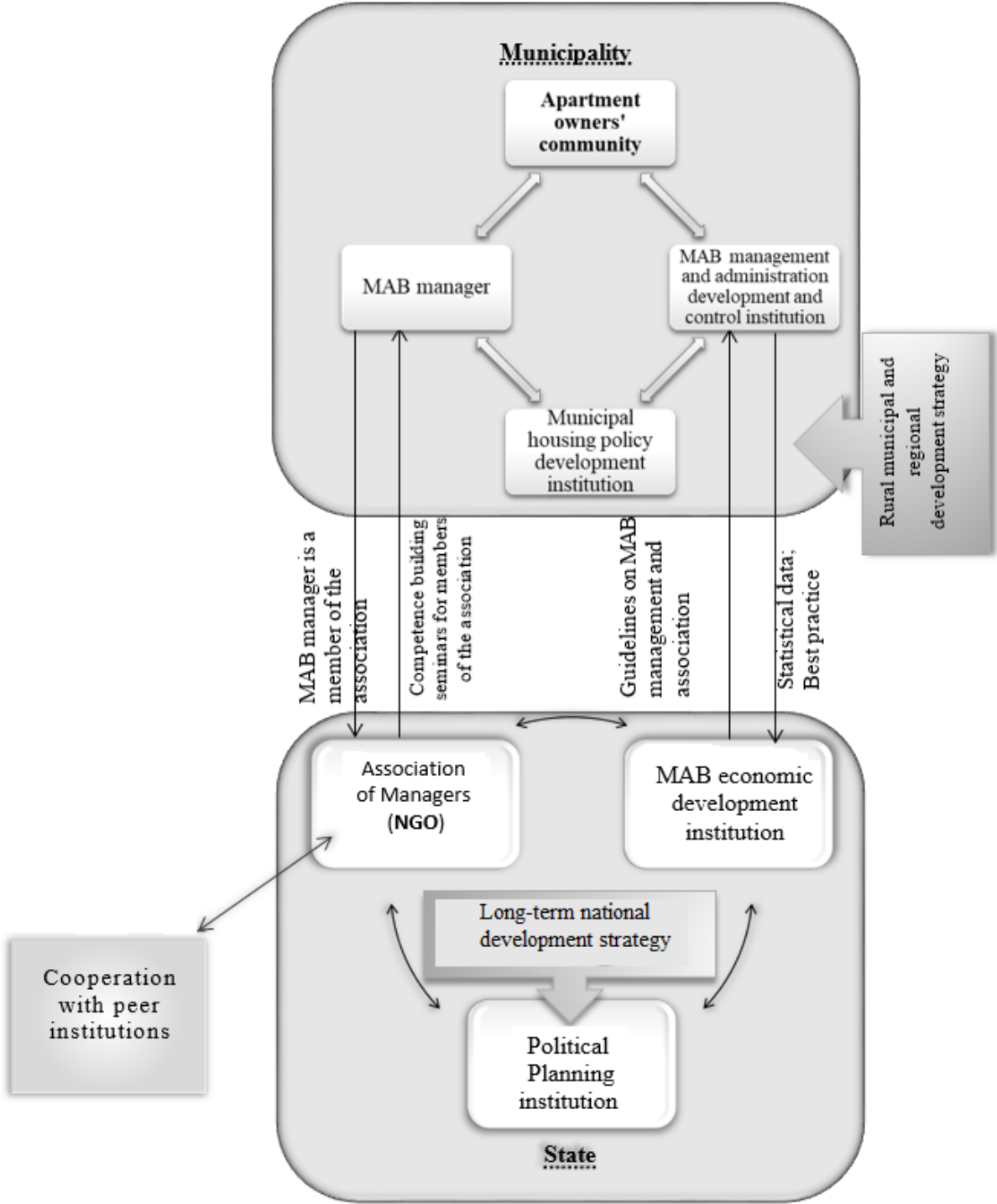


Fig. 3.5. The logical model of interaction of the circular flow of information between the housing policy and MAB management and administration process (created by the author).

Methodological solution for the implementation of information exchange system processes of the housing policy and MAB management and administration activities – **Logical model of interaction of information flow between the housing policy and MAB management and administration process at the municipal level, Logical model of interaction of information flow between the housing policy and MAB management and administration process at the state level, and Logical model of interaction of the circular flow of information between the housing policy and MAB management and administration process** – for the improvement of economic activities and strategic planning processes of the state, municipal, and management companies enables to develop coordinated and planned strategic decisions with regard to MAB management and administration, thus promoting the maintaining and renewal of the housing stock. The novelties developed by the author may have a positive impact on the improvement of heat supply systems and energy consumption indicators in municipalities ensuring prompt decision-making for the development of energy efficient buildings as envisaged in the Protocol to Energy Charter²⁸ and “The Law on Energy Charter Protocol on Energy Efficiency and Related Environmental Protection Aspects”²⁹. Reconstruction or renovation of buildings and energy efficiency projects created within the municipal administrative territory can promote the interest of the population all over the county and promote its economic activity and competitiveness.

When preparing planning documents with regard to the management and administration process of MABs and making strategic decisions, it is also necessary to assess the impact of the adopted decisions in other sectors of economy, the overall economic growth of the country, increase of the competitiveness of regions and municipalities and the economic development.

The above mentioned justifies the need to continue the studies of the interaction between the housing policy and MAB management and administration and the study on the development of the housing policy and MAB management and administration strategy proposed by the author of the Doctoral Thesis, as well as the implementation of logical circular information flow model of the housing policy and MAB management and administration process.

²⁸ *Enerģētikas Hartas protokols par energoefektivitāti un ar to saistītajiem vides aizsardzības aspektiem (Protocol on Energy Efficiency and Related Environmental Aspects of Energy Charter)* (1998) [online]. International document, adopted in Lisbon on December 17, 1994, Latvijas Vēstnesis (Official Gazette), website Likumi.lv [last viewed on May 20, 2019]. Available at: <https://likumi.lv/ta/lv/starptautiskie-ligumi/id/1323>

²⁹ *Par Enerģētikas hartas protokolu par energoefektivitāti un ar to saistītajiem vides aizsardzības aspektiem (On Protocol on Energy Efficiency and Related Environmental Aspects of Energy Charter)* (1998) [online]. International document, adopted in Lisbon on December 17, 1994, Latvijas Vēstnesis (Official Gazette), website Likumi.lv [viewed on May 20, 2019]. Available: <https://likumi.lv/ta/id/50295-par-energetikas-hartas-protokolu-par-energoefektivitati-un-ar-to-saistitajiem-vides-aizsardzibas-aspektiem>

CONCLUSIONS AND PROPOSALS

The study of the intensity of MAB management and administration processes' impact indicators for the purposes of development of the housing policy and MAB management and administration process planning documents at different planning and responsibility levels confirms the hypothesis put forward in the Doctoral Thesis – **a good quality exchange of information in the housing policy and in provision of the MAB management and administration processes at different levels of planning and responsibilities depends on the impact of interdependence of the MAB management and administration process indicators.**

The theoretical guidelines and analytical findings developed in the Doctoral Thesis, as well as the evaluation of interrelations between the indicators of the housing policy and the impact of MAB management and administration processes substantiate the study results developed and summarized by the author in the following conclusions:

1. Apartment owners do not have a common understanding of the need of ownership responsibilities to carry out sets of activities in the management and administration of areas in the jointly owned MAB and to provide financial resources, which may lead to impulsive decisions on management and administration processes that are not based on economic or rational benefits for the total MAB.
2. The publicly accessible registers of the Ministry of Economics and its subordinate institutions do not contain information on the persons registered in the register of managers of the listed MABs, with concluded agreements with professional managers or have not concluded such agreements, which does not implement and obey the provisions of the law.
3. The BIS system with regard to the available register of housing managers is opaque and incomplete, which hinders the long-term development of the housing policy and the strategy of MAB management and administration.
4. The unified development of planning documents, the promotion of the solution of issues with regard to the MAB management and administration in municipalities is of a topical nature, which so far has not been defined in the planning documents specified by the Ministry of the Environment, which may significantly impede the solution of the issues of MAB management and administration in rural municipalities and a good quality maintenance of the housing stock.
5. The changes in the political situation of 1940 can be considered as the turning point in the development of Latvia's housing policy and challenges of MAB management and administration, as this was the time when the nationalisation of large buildings started.
6. In 1995, after Latvia had regained its national independence, it was experiencing a transition from the planned economy to the market economy. Its legislation was being adopted to restore market relations in the housing sector, while at the same time preserving for the tenants of residential spaces part of the rights and social guarantees established during the soviet period as well as granting the right to municipalities to decide on the amount of rental fees in their territory, which created an incomplete and

low-quality development of the decision-making process in the sphere of management and administration of MABs even to the present day.

7. During 1990s, the functions of MAB management and administration were performed by the state and local governments, then with the takeover of MABs the housing community had to think about the management and administration of the property, but this was not possible without a support from the state and local government. The analysis of chronology of the historical development of the forms of apartment ownership and the schedule of changes in the structure of the MAB property rights substantiate the need to evaluate the role of the state and local governments with regard to setting and development of the housing policy.
8. Evaluation of the impact of indicators from the point of view of the interests of MAB apartment owners substantiates the division of the most relevant indicators in each group of dimensions. The most relevant indicators of the social dimension at the national level are as follow: health, employment rate, and wages; the most relevant indicator of the economic dimension at the national and regional level is inflation; the most relevant indicator of the ecological and environmental dimension is infrastructure development at all levels; and the most relevant indicator of the political and legal dimension at national and regional level is the legal responsibility of apartment owners, meanwhile at the rural municipal level it is the level of knowledge of apartment owners about the normative base for residential buildings.
9. The organisational structures of Latvia's planning regions do not envisage the existence of development units for solutions in the sphere of the housing policy and MAB management and administration, thus the regional development plans do not provide for planned and systematic housing policy support instruments to promote the MAB management and administration and maintenance of the housing stock, as required in Latvia's national sustainable development strategy.
10. At the national level, special attention should be paid to strengthening the legal responsibility of apartment owners by finding a solution to situations where apartment owners do not want to get involved in the process of managing their property. The failure to address this issue may affect the organisational process of the total MAB management.
11. The interaction model of information flow between the housing policy and MAB management and administration with regard to the municipal level, the logical interaction model of information flow between the housing policy and MAB management and administration with regard to the state level and the logical interaction model of the information circular flow between the housing policy and MAB management and administration planning ensure opportunity to perform a coordinated and planned development of strategic management decisions, thus promoting the maintaining and restoration of the amount of the housing stock.
12. During the performance of the study, the author found different types of impact by different indicators depending on the development of sectoral planning documents and their hierarchical level, which confirms the need for solutions of circular information

flow between the housing policy and MAB management and process that enable development of coordinated and planned strategic decisions with regard to MAB management and administration which, in their turn, would promote maintaining and renewal of the housing stock in Latvia.

13. The methodological solution of mutual exchange of information on the housing policy and MAB management and administration process proposed in the Doctoral Thesis has been approved in focus groups, interviews and seminars of experts in the sector, which allows to make a conclusion that the developed models of the mutual information exchange system between the housing policy and MAB management and administration process may ensure transparent communication between the state and local government institutions and among the state and municipal administrative units.

Based on the conclusions obtained during the performance of the study, the author of the Doctoral Thesis puts forward the following **proposals** for the studies on the development of interaction system of the housing policy and MAB management and administration strategy, as well as for practical solutions:

1. **The Ministry of Economics**, in cooperation with municipal construction boards, should keep records on and monitor MAB, reflecting not only the management status of these houses, but also provide general information on the current technical condition of buildings, their energy consumption and other information at the state, regional and county level for the purposes of decision-making with regard to creating equal living conditions for all residents, regardless of their place of residence.
2. **The Ministry of Economics** should continue social information campaigns at the state and local government level on the issues of ownership, responsibility, and obligations in relation to MABs in order to raise the awareness of owners “from tenant to owner” by changing the attitude towards their property.
3. **Municipalities** should develop a unified set of the MAB management and administration policy measures for the provision of management and administration services in accordance with the requirements specified in the regulatory framework in order to reduce the number of buildings that do not have a legal home manager at all.
4. **The Ministry of the Environment** should be obliged to define a task for each municipality to develop a housing policy planning document in the respective local government because in the current situation not all municipalities include housing policy issues in their sustainable strategy development document.
5. Based on the Law “On Privatization of State and Municipal Residential Houses” **the Ministry of Economics** is obliged to order the local governments to meet the provisions specified by the law within 2 years and to transfer the ownership of MABs to the respective apartment owners so that the purpose of the law is fulfilled and all MABs could be managed throughout the country according to uniform legal provisions and regulations of the Cabinet of Ministers.
6. It is recommended for local governments to establish a new structural unit – an institution for MAB management and administration development and control, which

ensures the implementation of **information flow interaction model of the housing policy and MAB management and administration process** at the municipal level.

7. To proceed with regular organisational events in the field of MAB management and administration at the level of municipalities – informative seminars, consultations, and recommendations for apartment owners on legal and lawful changes in property maintenance issues, the options of financial support for renovation of buildings, and the latest technological achievements in the sphere of increasing the energy efficiency of buildings.
8. In order to improve understanding and knowledge of MAB co-owners about the management and administration processes, **the Ministry of Economics** in cooperation with the responsible institutions should review and simplify the set of normative documents that are binding for the MAB management and administration process using **the logical model of information flow for development of planning documents with regard to the MAB management and administration process according hierarchical levels**.
9. **The Ministry of Economics** should improve the existing information flow hierarchy structure of planning and introduce **an improved methodological solution for the mutual information exchange system between the housing policy and MAB management and administration**, which is based on three models developed: **Logical model of interaction of information flow between the housing policy and MAB management and administration process at the municipal level, Logical model of interaction of information flow between the housing policy and MAB management and administration process at the state level, and Logical model of interaction of the circular flow of information between the housing policy and MAB management and administration process** that ensure transparent communication both between the state and municipal institutions and among the state and municipal administrative units.

In the Doctoral Thesis, the study proves the need to continue the study on the development strategy for the housing policy and MAB management and administration strategy and the implementation of **logical circular information flow model of the housing policy and MAB management and administration process**.

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Taking over the division of functions of S/A “Housing Agency”³⁰ (created by the author)





Numbering of functions	S/A “Housing Agency” from 1 October 2002 to 31 December 2009	Ministry of Economics functions taken over on July 1, 2009	SJSC “Privatization Agency” functions taken over on July 1, 2009	S/A “LIAA” functions taken over on July 1, 2010	Movement “Live Warmer” ³¹ started on February 25, 2010	Comments by the author
1.	To manage state support programs for housings, including a program of lowering the price of credit resources and expanding the range of borrowers, as well as to coordinate projects to be implemented in accordance with the programs	To manage and implement state support programs in the field of construction, energy and housing, as well as measures to increase the energy efficiency of buildings and structures				<i>the measures are organized and managed through systematic review and improvement of programs</i>

³⁰ Par Būvniecības, enerģētikas un mājokļu valsts aģentūras likvidāciju (On the liquidation of the State Agency for Construction, Energy and Housing). (2009) [online]. Regulations of the Cabinet of Ministers of the Republic of Latvia No. 535, adopted in Riga on May 29, 2009, Latvijas Vēstnesis (Official Gazette), website Likumi.lv [last viewed on November 28, 2018]. Available at: <https://m.likumi.lv/ta/id/192847-par-buvniecibas-energetikas-un-majoklu-valsts-agenturas-likvidaciju>

³¹ Sadarbības memorands (Memorandum on Cooperation). (2020) [online]. Ministry of Economics of the Republic of Latvia [last viewed on February 6, 2020]. Available at: https://em.gov.lv/lv/es_fondi/dzivo_siltak/sadarbibas_memorands_par/

<p>2.</p>	<p><i>To provide opinions on the compliance of projects with the objectives and tasks of state support programs, as well as opinions on the receipt of loans and guarantees for insulation and renovation of residential houses</i></p>	<p>To manage and implement national and inter national cooperation projects, introduce other support instruments, as well as participate in international research projects and research programs in the field of construction, energy and housing</p>				
<p>3.</p>	<p><i>To attract financial resources for the implementation of projects</i></p>			<p>To take over the functions of the co-operating institution in the following activities of European Activity 3.4.4.1 “Measures for Improving the Heat Resistance of Apartment Houses”; activities under Programme “Infrastructure and Services” of the Union funds</p>		

Continuation of Annex 1

<p>4.</p>	<p><i>To methodically manage the housing management process, to analyse energy consumption in apartment buildings, and to methodically manage the increase of energy efficiency in the housing sector</i></p> 	<p>To methodically direct the process of building and structure management</p>			<p><i>improvement of normative documents is performed, but the register of the MABs managers is still incomplete, it only ensures their chronological registration, but other data on MABs, condition of buildings, existence of management agreements, etc., are not listed</i></p>
<p>5.</p>	<p><i>To methodically manage activities of municipalities in the field of housing</i></p> 				<p><i>a function – work with municipalities, – is not taken over and delegated to any other institution</i></p>
<p>6.</p>	<p><i>To provide monitoring of housing</i></p> 	<p>Provision of monitoring of housing</p>			<p><i>until December 31, 2009, monitoring of housing for MABs was performed by S/A “Housing Agency”, after which more data are no longer collected</i></p>
<p>7.</p>	<p><i>To organize training of dwelling owners and managers on the issues on housing</i></p> 			<p>to ensure the availability of information on the options of renovation, reconstruction and increase of energy efficiency of buildings (residential, public and industrial), including on the MAB management issues</p>	<p><i>movement “Live warmer” professionally performs its function – information is available on the website of the Ministry of Economics and there active work takes place during seminars and conferences</i></p>

Continuation of Annex 1

8.	To organise the transfer of the state housing stock to municipalities		Transfer of non-privatised state residential buildings or parts thereof to municipalities			this function, which concerns the transfer of state MABs and apartments to municipalities, has been implemented
9.	To complete the privatization of state residential houses in accordance with the Law "On Privatization of State and Local Government Residential Houses"		Completion of privatisation of state residential houses in accordance with the Law "On Privatization of State and Municipal Residential Houses"			implementation of the norms of the Law "On Privatization of State and Municipal Residential Houses" has been completed by the state, but the transfer of MABs to MAB owners, according to the experience by the author, has not been fully implemented yet, but it cannot be ascertained as the data from SJSC "Privatization Agency" are not available