SUSTAINABLE URBAN MOBILITY PLAN TRAINING WORKSHOP

MODULE 2: Preparation, Organisation and Structure of SUMPs
SUMP Development - Organisation

Key Issues

• Key issues to consider:
  • Skills and experience required to develop successful SUMP
  • Nature and frequency of communication
  • Political process
  • Transparency of decision-making
  • Planning ahead:
    o Data collection
    o Public engagement and feedback
  • Regular reference to and review of SUMP objectives
SUMP Development - Preparation

Key Issues & Tasks

• Establish a technical team to prepare SUMP:
  • Maybe a consultancy team, in-house experts where these may be available, or by a combination of both.
  • Need day-to-day activities in the preparation of the SUMP and will report to the Steering Group.
  • Any consultant should be brought on board early in process

• Identify a project manager:
  • Handle communication between the Contracting Authority and the Technical Team:
    • Requires familiarity with transport and SUMPs to be able to engage with Technical Team.
SUMP Development - Preparation

**Key Issues & Tasks**

- Define and establish a SUMP Steering Group to support and guide the Technical Team:
  - Representatives Municipality, the Planning Authority, and major transport operators.
- Establish a list of stakeholders to be consulted during Plan preparation:
  - Variety of groups
  - Residents/business groups
  - NGO’s
  - Transport user groups.
SUMP Development - Preparation

Consultants – Terms of Reference

- Background of the study, and the origins of the need for the Sustainable Urban Mobility Plan
- National/regional/local guidance and standards to support the work
- All existing information/studies that are available and will be provided
- Required duties of the Technical Team
- Duties to be undertaken by the Steering Group and the client Project Manager
- Data collection and expenses to support project
- Ownership of model, data etc. (Intellectual Property Rights (IPR))
- Public consultation requirements managed by the Technical Team
- Reporting schedules and approval procedures for deliverables
- Outline timescale, showing start and end dates for the contract
- Clear tender Instructions
SUMP Development - Preparation

Consultants – Terms of Reference

• Generally common to assign a single study area for a Technical Team

• Smaller study areas - multiple towns can be included within a single contract:
  • Can be effective for towns with close links/relationships
  • Improves consistency and efficiencies of scale.
  • Need to consider availability of resources to deliver.
**SUMP Development**

**Structural Issues**

- **Integration and co-operation:**
  - Commitment to sustainability – balancing economic development, social equity and environmental quality
  - Consultation and co-operation between different agencies to ensure consistency and complementary policies across the sectors – transport, land use and spatial planning, social services, health, education and enforcement/police
  - Exchange with relevant authorities at other levels of government – district, Municipality, agglomeration, region etc.
  - Co-ordination of activities between neighbouring urban areas
  - Reflects correct spatial scale and coverage
Most effective policy frameworks include the following:

- Local planning regulations aligned with national/regional policies aimed at harmonising mobility and land use planning and promoting sustainable modes of transport.

- Design and operational norms/guidelines that underpin cost-efficient maintenance, transport reliability and safe standards of infrastructure:
  - Planning guidelines can help delivery of sustainable modes.

- Transparent decision-making processes contribute towards achieving efficiency and prioritisation of transport interventions.
SUMP Development

Importance of Participation

- Policy processes and participatory planning:
  - Institutional structure for SUMP development
  - Political commitment for participation
  - Thorough planning and preparation of stakeholder and public involvement
  - Development of a communication and participation strategy/plan
  - Local partnerships and co-operation with private sector
  - Openness to take-up solutions from agencies not directly involved in transport
SUMP Development

Institutional Issues

- Institutional roles and leadership:
  - Clear management and leadership structures for policy development and implementation
  - Strategic thinking and planning – making planning process more efficient and effective
- Clearly defined roles for co-operation across departments and for interaction at various scales of government
- Ensuring accountability during project implementation:
  - Accountability across departments & partners
  - Re-evaluation of UMP policy at regular intervals
Involving geographic, political, administrative and Interdepartmental co-operation

Pragmatic co-operation with key ‘actors’ to ensure the take-up of SUMP ideas, principles and policies

Important for wider buy-in and participation in decision-making:
  - Limited institutional co-operation = less chance of achieving UMP objectives

Includes both vertical and horizontal co-operation:
  - Internal: Between Municipality disciplines (planning, transport, health, education)
  - Spatial: At urban/agglomeration or regional level
SUMP Development

Institutional Issues

- Demonstration of interactions between changes in urban structures (density, functions, socio-economic patterns) and mobility
- Linkages considered between different transport modes rather than addressing them in isolation
- Planning of mobility and transport seen as a *shared policy focus* meeting needs of society – economic, social, environmental – not as an end in itself!
- Definition of how sustainable urban mobility planning and other policies at the local, regional, national and European level can be integrated:
  - Also *plans of transport companies*, and *plans of neighbouring municipalities* important to consider
SUMP Development

**Skills, capacities and knowledge**

- Specific capacities, skills and knowledge
- Project management has to ensure that the partnership has all of them at hand
- Different functional abilities:
  - The capacity to gain political support
  - The competence over transport networks and services
  - Technical excellence in SUMP development
  - Capacity to gain public support or to understand public needs
SUMP Institutional Arrangements

**Skills, capacities and knowledge**

- **Political support**
  - Political bodies (elected representatives - Mayor and councillors; political parties)
  - Vision, Leadership, Power, Resources

- **Transport network competence**
  - Transport network owners and operators (public and private)
  - Technical feasibility

- **Expertise, skills, data**
  - ‘Experts’ in departments of local authorities, universities, NGOs, companies.
  - Technically sound plan

- **Stakeholder support**
  - Government bodies providing access to stakeholders and citizens.
  - Values, Sense of urgency
SUMP Best Practice

**Bremen Sustainable Urban Mobility Plan**

- Co-operation is a key part of both the planning and implementation process.
- Joint working approach:
  - Neighbouring municipalities
  - Exchanges with Groningen (Netherlands) and Oldenburg (Germany) on traffic strategies at the trans-national level.
- Process is monitored by an advisory board - also covers monitoring and UMP evaluation:
  - Members of the local parliament
  - Eternal stakeholders (motorists’ and cyclists’ associations, chamber of commerce, environmental NGOs)
SUMP Institutional Issues

Dresden SUMP

SUMP 2025+ Institutional framework:

- Co-operation with a wide range of partners.
- Local stakeholders sat at Dresden Round Table - an ad-hoc discussion body created for the SUMP process.
- All Round Table participants brought capacities, skills and knowledge.
- Emphasis on establishing strong partnership.
Best Practice

Dresden Sustainable Urban Mobility Plan

Steering committee led by mayor Jörn Marx
Representatives of city council groups, heads of department, City of Dresden officials, councilors, project managers, round table facilitators

Round table
Led by mayor Jörn Marx with facilitator Runder Tisch
- Transport providers (3 seats)
- Transport associations (3 seats)
- Business associations (3 seats)
- City administration SUMP project group (3 seats)
- Other social interests (6 seats)
- City council groups (6 seats)
- Spokesperson for scientific advisory board – in advisory capacity

Scientific advisory board
Representatives of transport and transport-related studies, Dresden University of Technology and other German research institutions

Region/neighbors

City administration project group
SUMP Institutional Issues

Ghent SUMP

- Municipality identified partners related to different topics and modes of transport.
  - Focus on cross-sectoral and cross-modal integration of SUMPs.
- Identified economy, environment, health, education & social inclusion as key themes:
  - Employers’ organisations, businesses and representatives of the transport business (economy);
  - Local environmental association Gents Milieufront (environment);
  - Representatives of health practitioners, firefighters and the local police (health and safety)
  - Four local schools and representatives of minorities and districts of Ghent (education and social inclusion).
- Integration of all modes of transport – different transport providers & interests
SUMP Best Practice
York Local Transport Plan

Steering Group to oversee development – cross sector

Officer Group – Technical aspects

Wider Reference Group – throughout LTP development

Marketing & Communication Campaign

Different media used to get public feedback

TalkAbout Citizens Panel
SUMP Institutional Issues:  
**SUMP Governance**

- Governance arrangements directly affect authority’s ability to achieve the main SUMP characteristics.
- Important to consider:
  - Institutional, legal or financial barriers in the management and communication process.
- New SUMP governance arrangements to consider:
  - Establishing process for *joint-working*:
    - Other departments, neighbouring public authorities, other policy sectors and public transport operators.
    - A commitment to undertake specific citizen participation initiatives.
- Important issues relating to potential success of SUMP:
  - Needs *horizontal* and *vertical integration* and a *participatory approach* at different levels.
SUSTAINABLE URBAN MOBILITY PLAN
TRAINING WORKSHOP

Stages in preparing a Sustainable Urban Mobility Plan
Sustainable Urban Mobility Plans: 

**SUMP ‘Cycle’ of Activity**

- **Potential for Successful SUMP**
- **SUMP Development Process**
- **Analyse mobility status & develop scenarios**
- **Establish priorities & SMART targets**
- **Identify & establish packages of ‘interventions’**
- **Agree on responsibilities, roles and budgets**
- **Integrate monitoring & evaluation into SUMP process**
- **Good management & communication**
- **Adopt SUMP**
- **Review lessons & experience**

**SUSTAINABLE URBAN MOBILITY PLANNING**

JASPERS EU Sustainable Urban Mobility Plan (SUMP) Training
Sustainable Urban Mobility Planning:  
*Preparation Stage*

- Overall framework for planning process and plan implementation
- Define the development process and scope of plan
- Analyse the mobility situation and develop scenarios

**Milestone:** Analysis of problems & opportunities concluded

JASPERS EU Sustainable Urban Mobility Plan (SUMP) Training
Sustainable Urban Mobility Plans:

**SUMP Vision, Goals & Objectives**

- Develop a common urban mobility vision
- Specify UMP objectives, priorities and measurable targets
- Identify and select measures & effective UMP ‘packages’

**Milestone:**
Measures identified
Sustainable Urban Mobility Plans: *Elaboration of the Plan*

- **Public & stakeholder acceptance and adopt Plan**
- **Agree on clear responsibilities & allocate funding**
- **Build monitoring & assessment into the plan**

**Milestone:**
UMP document adopted

JASPERS EU Sustainable Urban Mobility Plan (SUMP) Training
Sustainable Urban Mobility Plans: Plan Implementation

Ensure proper Management and communication

Learn the lessons, check progress and feed results back into process

Milestone: Final impact assessment concluded
SUMP Process - SEA:

What is SEA (Strategic Environmental Assessment)?

An environmental assessment process applied to plans or programmes to inform the decision-making process

More environmentally sustainable urban mobility plan
SUMP Process - SEA: 

Legislative Context

- EU Directive 2001/42/EC (SEA Directive) - assessment of the effects of certain plans and programme on environment

- Slovenia - Environmental Protection Act

- Requires an environmental assessment to be carried out for plans and programmes that are likely to have significant environmental effects

- Applies to plans & programmes that are:
  - prepared for transport (such as SUMP) and other sectors, and which set the framework for future development consent of projects (listed in Annex I and II of the EIA Directive); or
  - in view of the likely effects on European designated sites will require a Habitats Regulations Assessment (under Article 6 or 7 of the Habitats Directive).
Aims of SEA:

- To improve strategic actions by making them clearer
- To involve the public and other stakeholders in decision making
- To focus on key environmental constraints
- To educate decision makers about the impacts of their potential decisions on the environment
- To help identify the best option for a Plan and Programme to minimise negative impacts, optimise positive ones and compensate for loss
SUMP Process - SEA:

Key Stages of SEA

- Overview of the SEA process/stages:
  - Screening
  - Scoping
  - Environmental Report
  - Consultation
  - Adoption
  - Monitoring
## SUMP Process - SEA: Relationship with SUMP Process

<table>
<thead>
<tr>
<th>SUMP Process</th>
<th>SEA Process</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Preparation:</strong></td>
<td><strong>Scoping:</strong></td>
</tr>
<tr>
<td>• Overview framework for planning process and plan implementation</td>
<td>• Plans and programmes review</td>
</tr>
<tr>
<td>• Define development process and scope of plan</td>
<td>• Baseline information gathering</td>
</tr>
<tr>
<td>• Analyse the mobility situation and develop scenarios</td>
<td>• Identification of key issues and opportunities</td>
</tr>
<tr>
<td><strong>SUMP Vision, Goals and Objectives:</strong></td>
<td><strong>Develop SEA Framework</strong></td>
</tr>
<tr>
<td>• Develop a common urban mobility vision</td>
<td>• Consult on Scoping</td>
</tr>
<tr>
<td>• Specify UMP objectives, priorities and measurable targets</td>
<td><strong>Environmental Report:</strong></td>
</tr>
<tr>
<td>• Identify and select measures and effective UMP ‘packages’</td>
<td>• Assessment of SUMP objectives, measures and alternatives</td>
</tr>
</tbody>
</table>
**SUMP Process - SEA:**

*Relationship with SUMP Process*

<table>
<thead>
<tr>
<th>SUMP Process</th>
<th>SEA Process</th>
</tr>
</thead>
</table>
| **Elaboration of the Plan:**  
• Agree clear responsibilities and allocate funding  
• Build monitoring and assessment into plan  
• Public and stakeholder acceptance and adopt plan | **SEA Process**  
• Develop mitigation and monitoring proposals  
• Produce draft Environmental Report |
| **Consultation:**  
• Public and stakeholder consultation  
• Review responses and update report | **Adoption:**  
• Post-adoption statement |
| **Plan Implementation:**  
• Ensure proper management of communication  
• Learn the lessons, check progress and feed results back into process | **Monitoring:**  
• Monitoring implementation of plan |
SUMP Process - SEA:
Screening & Scoping

Screening:
• If you are unsure whether the plan/programme will have significant environment effects, use the criteria in Annex II of the SEA Directive.
• Produce a letter or short summary report to submit to the environmental Consultation Bodies for a screening determination

Scoping:
• Scoping sets the context, baseline and assessment methodology for the SEA.
Scoping tasks include:

- Plans and programmes review
- Baseline information of the SUMP area (visuals such as maps help the reader) – make sure evolution of the baseline without the plan is included
- Identification of key issues and opportunities
- Development of an SEA Framework: not specifically stated in the SEA Directive. A recognised way of assessing the effects of the plan. Include scoping out of topics that aren’t relevant but provide justification. SEA Framework can be objective or receptor based.
Scoping & Environmental Reports Tasks

• **Scoping Report** sent for consultation to the Consultation Bodies:
  – Helps inform the SEA and ensure Consultation Bodies have had input into the development of the SEA process (this is valuable and can avoid issues in the future).

• **Environmental Report:**
  – Assessment of likely significant effects of the plan and its alternatives using the SEA Framework
  – Make sure reasonable alternatives are considered (this has been an issue for plan rejection in the UK)
  – SUMP alternatives - strategy alternatives e.g. main plan focus on car, or public transport. Alternative measures to meet SUMP objective
SUMP Process - SEA: Environmental Report Tasks

- Assessment should feed into the decision-making criteria for choosing the preferred Plan.
- Mitigation is an important part of the assessment process. Best practice should also consider opportunities for enhancement.
- Above tasks are presented in an Environmental Report. Annex I of the SEA Directive sets out information to be included in the ER.
Consultation:

• The ER issued for consultation with the Consultation Bodies and the public
• No timescale given in Directive ‘early and effective opportunity’...
• *Tip* – develop a consultation log to record responses and how they have been addressed
Adoption:
• An effective SEA process should influence the development of the plan.
• Post-adoption statement:
  – how environmental considerations integrated into plan;
  – how assessment and consultation taken into account;
  – reasons for choosing preferred plan;
  – monitoring proposals.

Monitoring:
• You do not have to monitor everything!
• Link monitoring to areas in assessment where significant negative effects or uncertainties were identified
• Investigate any existing monitoring arrangements that could be used
West Midlands Strategic Transport Plan

- Regional transport plan to guide future transport development
- SEA assessed the STP policies and key priorities (schemes)
- Assessment workshop with the Consultation Bodies was held so that they could input into the assessment process. This was very valuable and saved time later in the process during consultation as their concerns had already been addressed.
Medway Local Transport Plan

- Small plan area, SEA proportionate to plan
- Use of existing data from Council
- Use of scoping and manageable number of objectives
- Workshop to assess effects
- Early involvement of stakeholder
- Monitoring links to indicators in the LTP
SUSTAINABLE URBAN MOBILITY PLAN
TRAINING WORKSHOP

Stakeholder Engagement
SUMP Stakeholder Engagement: Why is this important?

- **Basic principle** of sustainable urban mobility planning
- Long-term focus of SUMPs requires a high degree of **public support and acceptance**
- Build **trust**, resolve problems & **reach common goals**
- Integration of public opinion supports **evidence-based decision-making**
- Public involvement **increases transparency** and informs decision-making
- Participation is **knowledge development**
- **Ownership** and **responsibility**
SUMP Stakeholder Engagement: Who is Involved?

Stakeholders frequently interested in mobility planning:

• **Government/municipalities**: politicians, higher-level authorities, neighbouring cities, traffic police, emergency services, project managers, professional staff

• **Businesses/operators**: business associations, major employers, retailers, utility services

• **Communities/neighbourhoods**: local community organisations and interest groups, cycle/walking groups, citizens, landowners

• **Others**: research institutes and universities, experts from other cities, tourists
Politically led with experts
More active involvement of citizens
SUMP Stakeholder Engagement: Benefits of stakeholder involvement

For citizens and stakeholders:

✓ Can **articulate** ideas, concerns & viewpoints throughout process
✓ **Take ownership** of ideas, measures and projects
✓ Contribute towards **creative and innovative solutions** (elaboration of concepts/ideas tailored to local situations)
✓ Become **part of democratic process**
SUMP Stakeholder Engagement: Benefits of more stakeholder involvement

For city municipalities:

✓ Have an opportunity to explain/justify urban mobility measures & strategies
✓ Gain acceptance of plans, decisions & approach
✓ Can "feel the temperature" of reaction
✓ Strengthen cooperation between actors & agencies
✓ Persuade citizens to test measures
SUMP Stakeholder Engagement: Benefits of stakeholder involvement

For everyone:

✓ **Better awareness** of urban mobility challenges (and complexity of solutions)
✓ Higher **efficiency and effectiveness** of policy choices
✓ **Greater transparency** of decision making
✓ **Reducing ‘gap’** between general public & politicians narrows
✓ **Increased legitimacy** of measures, projects, strategy
✓ **Can encourage better use** of new systems/services
SUMP Stakeholder Engagement: Common Challenges

- Political support & participation capacity:
  - Poor political support & financial resources
  - Perceived as a new and “unnecessary“ task
- Stakeholder diversity & raising awareness:
  - Imbalance of stakeholders & poor consideration of different types
- Selecting & applying the right mix of involvement formats:
  - Inappropriate levels & limited tools of involvement
- Managing participation process:
  - Underestimating effort needed & a lack of skills to deliver
SUMP Stakeholder Engagement: Common Challenges

• Legitimacy & accountability:
  ✗ *frustrating if decisions* have already been *made* or questions remain unanswered
  ✗ Potentially disappointing for citizens *if limited to a passive role*

• Conflict and confusion:
  ✗ Dangerous if it becomes a *battleground for opposed stakeholders*
  ✗ Risky if dominated by very *articulate individual stakeholders*
  ✗ *Complicated if views* expressed remain *unstructured* or wrong questions are being asked
SUMP Stakeholder Engagement: Contents of an Engagement Strategy

Logical set of steps

- Develop *scope, rationale & objectives* for participation process
- Introduction to *SUMP process* & level of involvement
- *Analysis of stakeholders*, interests & *potential conflicts*
- Involvement tools for each SUMP phase
- Plans for implementing the participation + *schedule & milestones*
- *Risk management* and quality controls
- Consider *financial & human resource* requirements
- *Roles and responsibilities* for management of participation process
- Procedures for integrating *feedback into decision* making process
- *Indicators* and procedures for *evaluating* the effectiveness of participation
SUMP Stakeholder Engagement: Different levels of involvement

**Inform**
- Timely information sharing at all stages of SUMP

**Consult**
- Listening & acknowledging concerns & feedback on how input influences decision

**Empower**
- Promise to implement citizens’ views in line with democratic principles

**Involve**
- Working together throughout SUMP stages. People informed how input influences decisions

**Collaborate**
- Direct contribution to innovative ideas & solutions. Commitment from authority to take on board ideas in final Plan
JASPERS EU Sustainable Urban Mobility Plan (SUMP)

SUMP Stakeholder Engagement: *Involvement Tools*

**Public information material:**
- Posters, notices and signs
- Letter, brochure
- Fact sheet, newsletter
- Promotion films/presentations
- Use of 3D models

**Telephone and Broadcasting:**
- Telephone techniques
- Local radio and television shows

**Internet:**
- Web based forums / public participation platform
- Social media – Twitter/Facebook

**Surveying individuals**
- Questionnaire surveys
- Stakeholder interviews

**Information events:**
- Exhibition
- Information centre, Info Point
- Information session and briefings
- Lectures, discussions
- Site visits

**Engaging stakeholder groups:**
- Community visits and study tours
- Focus groups
- Workshop engagement
- Technical working parties / groups

**Engaging large groups:**
- Sounding board groups
- Stakeholder conferences
- Transport visioning events
- ‘Open space’ events
SUMP Stakeholder Engagement: 
*Involvement Tools - Criteria*

- **Target group**: is the tool suitable for stakeholders?
- **SUMP process**: appropriate for all SUMP development stages?
- **Participation objective**: comply with engagement strategy?
- **Effectiveness**: does it match the outputs & outcomes required?
- **Length**: time required to be used effectively (1 day, 1 week?)
- **Number of participants**: how many can be involved?
- **Selection of participants**: who will participate?
- **Resources**: how much financial & staff resources needed?
Stakeholder SUMP Engagement

Dresden SUMP

- Dresden online engagement focus
- Interactive online platform:
  - Access to SUMP-related information
  - Undertake a modal split survey
  - Comment on draft plan (Dresden debate)
- Online engagement survey
  - 4,500 website visitors and 43,000 clicks.
- Online mapping tool – mobility issues
- Interactive scenario generator
- Evaluation process included
Stakeholder SUMP Engagement: Bremen SUMP

- Use of round table meetings among key stakeholders
- Establishment of SUMP information centres – getting views on future modal split
- Bremen SUMP on tour – interactive engagement activities with the public
Stakeholder SUMP Engagement: Zagreb SUMP

- City strengthened participatory planning practices at local level
- Stakeholder workshops on mobility-related goals, priorities and measures City Development Strategy for SUMP
- Culture of planning based on regular communication, mutual consultation and joint decision-making
- Strong emphasis on media and engagement with public (Tram Wednesdays’)

JASPERS EU Sustainable Urban Mobility Plan (SUMP) Training
Stakeholder SUMP Engagement: Ghent SUMP

- Use of different engagement formats:
  - public debate evenings on key mobility issues among stakeholders
  - extensive consultation round with stakeholders
  - parallel one-month public inquiry process
- Process included visualisation of SUMP priorities
Stakeholder SUMP Engagement: **Budapest SUMP**

- Focused on a mix of engagement methods to gather SUMP opinions
- Variety of stakeholder approaches:
  - Dedicated SUMP website
  - Online questionnaire to assess importance of SUMP objectives
  - Opportunities to submit comments in writing
  - Series of stakeholder forums
  - Invitation of foreign partners and expert to review draft SUMP
- Supported by *new branding (BMT)*
Stakeholder SUMP Engagement: West Yorkshire Combined Authorities

- ‘CityConnect’ Initiative:
  - Technical Stakeholder Board and supporting group
  - Local knowledge, technical, specialist input and project ownership
- Social media to support engagement process
  - Promote project and inform public
  - Promote forthcoming activities / events
  - ‘Live’ communication tool – needs resources
- ‘Street audit work’ - hard to reach communities (Asian Partnership)
SUMP Stakeholder Engagement: Key Recommendations

To establish participatory mobility planning:

- Clearly identify stages in the SUMP cycle for participation & confirm engagement tools to be used
- Identify engagement skills and internal/external capacity required
- Develop a participation strategy to ensure people understand SUMP process & objectives
- Reflect wide range of stakeholders & demographic diversity of those impacted by SUMP:
  - Include ‘hard to reach’ groups to ensure an inclusive approach
For info or further questions on this workshop and the activities of the JASPERS Networking Platform, please contact:

JASPERS Networking and Competence Centre

jaspersnetwork@eib.org

www.jaspersnetwork.org