



Governance Tools.

Explanatory note for users.



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Disclaimer

The views expressed in this publication are the sole responsibility of the SUMP-PLUS project consortium and do not necessarily reflect the views of the European Commission.

Abstract

This explanatory note was developed as part of WP3 contributions to the development of SUMP PLUS tools (WP1) and knowledge dissemination (WP6). These tools draw on the work achieved in WP3 (T3.1-T3.3) together with city partners. They seek to help cities assess their governance arrangements to achieve transformative change. This explanatory note provides guidance to users.

List of Beneficiaries

No	Name	Short name	Country
1	STAD ANTWERPEN	ANT	Belgium
2	MUNICIPALITY OF ALBA IULIA	ALBA IULIA	Romania
3	KLAIPEDOS MIESTO SAVIVALDYBES ADMINISTRACIJA	KLAIPEDA	Lithuania
4	COMUNE DI LUCCA	COMUNE DI LUCCA	Italy
5	DIMOS PLATANIAS	PLATANIAS CRETE	Greece
6	TRANSPORT FOR GREATER MANCHESTER	TR G MANCHESTER	United Kingdom
7	FONDATION NATIONALE DES SCIENCES POLITIQUE	SCIENCES PO	France
8	POLYTECHNEIO KRITIS	TECH UNIV CRETE	Greece
9	UNIVERSITY COLLEGE LONDON	UCL	United Kingdom
10	EUROPEAN INTEGRATED PROJECT	EIP	Romania
11	FORSCHUNGSGESELLSCHAFT MOBILITÄT – Austrian Mobility Research FGM-AMOR gGmbH	FGM-AMOR	Austria
12	MEMEX SRL	MEMEX	Italy
13	SPACE SYNTAX LIMITED	SPACE SYNTAX	United Kingdom
14	VECTOS LIMITED	VECTOS	Germany
15	ICLEI EUROPEAN SECRETARIAT GMBH	ICLEI EURO	Germany
16	UNION INTERNATIONALE DES TRANSPORTS PUBLICS	UITP	Belgium

1. Context

Governance and policy capacities are widely recognised as necessary conditions for policy success. Although many cities manage to adopt a SUMP with external support (e.g., consultancy work or national / regional authorities), it is not uncommon for them to face major challenges at the implementation stage. This is particularly the case with small- and medium-sized cities which find themselves at an earlier stage of their transition pathway and which have long remained off the radar of policy frameworks and programmes. Being able to compete for financial resources at the regional, national or European levels of government or to raise interest from the private sector to explore a new technology or experiment with new solutions constitutes a major challenge. The ways through which such resources may be obtained depends on forms of governance, both formal and informal.

The assignment consists of three tools:

- A qualitative assessment of **the triggers and the drivers** that motivate cities to shift to sustainable urban mobility planning.
- A questionnaire that helps cities to **assess their governance arrangements and policy capacities** in regard to their transition pathway.
- A grading exercise to cities assess **the distribution of capacities** across the policy process.

These tools provide an opportunity for cities to self-examine existing structures and resources and what is lacking to achieve transformative change and deliver on their sustainable mobility goals. **As a result, cities will be better equipped to develop strategies to overcome such barriers and know where to focus their efforts.**

These tools were developed as part of WP3 contributions to the development of SUMP PLUS tools (D1.8) and knowledge dissemination (WP6). They draw on the work achieved in WP3 (T3.1-T3.4) together with city partners.

2. Understanding the assignment

The questionnaire helps cities successively identify their baseline triggers and drivers, assess their level of governance autonomy, and understand the distribution of governance and policy capacities to support the development and the implementation of sustainable mobility transitions.

2.1. Main objectives

- ⇒ To examine how (the lack of) structured governance arrangements and policy capacities maybe a barrier to sustainable transition
- ⇒ To help understand the disconnect between policy goals and policy achievements
- ⇒ To identify context driven triggers and drivers of change to support efforts at decarbonizing
- ⇒ To assess what policy resources are available at what stage of the process, i.e. agenda setting, decision making, implementation and evaluation.

2.2. How to proceed ?

The self assessment draws on this explanatory note and the online questionnaire.

Respondents are advised to fill in the questionnaire with the help of their colleagues to provide the most accurate answers possible and to encourage discussions.

Results provide an up-to-date and qualitative assessment of current governance and policy capacities, as well as some insights as to what resource seeking strategies are needed in order to strengthen the sustainable transition agenda and deliver on its goals.

2.3. Why is it useful ?

It offers an opportunity for respondents:

- to check whether the result matches their expectations,
- to share these findings to spark a conversation within and outside the municipality
- to examine what their city could improve in *all of the areas* mentioned in the survey to better deliver on their sustainable transition.

They may also compare their scores with those from other cities and their own progress over time by re-taking the survey questions.

2.4. Access to the questionnaire on Typeform

Here is the link !

<https://yeln9kvnmdn.typeform.com/to/mvzXK581?typeform-source=www.google.com>

3. Instructions for use

PLEASE FOLLOW THE QUESTIONNAIRE IN TYPEFORM TOGETHER WITH THE INSTRUCTIONS BELOW!

Please respond to the questions diligently to reflect the reality of your city as closely as possible. Please take the help of colleagues, if you are unsure of the answers to the questions. Please avoid including any sensitive data, i.e., personal identifiable information, based on GDPR <https://gdpr-info.eu/recitals/no-51/>

3.1. Tool 1: Triggers and Drivers for transition pathways

The first tool “Triggers and Drivers for transition pathways” helps to identify the triggers and drivers that aid the transition pathways of cities. There are context specific factors that push

cities to act, to identify priorities - motivating the shift towards sustainable urban mobility planning and policy change. This is achieved by examining different triggers and drivers, both external and internal. **Tool 1 has 2 Questions.**

To complete the assignment, please proceed to the questionnaire provided.

3.2. Tool 2: Self Assessment of Levels of governance autonomy

This assignment is a tool for self assessment by cities to examine their governance and policy capacities to develop an understanding of their current situation. To complete the assignment, please proceed to the questionnaire provided. **Tool 2 has 4 SECTIONS.** The answers to this questionnaire will be weighted that will then allow the respondents to assess for the next tool.

SECTION 1: Setting the Institutional Agenda: Governance and Policy Capacities in Transport

This section is a series of questions to assess your city's governance and policy capacities in transport and mobility in order to understand the strength of overall institutional agenda setting capacity.

MAX POINTS FOR SECTION 1 = 17 points

1a. Does your city have full authority over mobility planning at the local level? **2pt max , 1pt intermediate**

- Yes, municipal authorities have FULL authority over mobility planning. **(2pts)**
- No, municipal authorities SHARE authority over mobility planning (e.g., with regional / metropolitan authorities) **(1pt)**
- No, municipal authorities have NO authority over mobility planning, it is fully developed at another level of governance (metropolitan, regional national)? **(0pt)**
- If other, please explain **(0pt)**

1b. Does your city / city region have a SUMP ? **3 pt max. , 2pt or 1pt intermediate**

- Yes **(2pts)**
- No **(0pt)**
- No, in process **(1pt)**
- Yes, being updated **(3 pt)**
-

Respond ONLY IF answered NO in previous question: does your city/ city region have a similar integrated mobility planning concept? **(1 Pt for YES)**

1c. What other mobility planning documents are being developed in your city / city region? **4pt max (based on number of options chosen, each option is 1pt)**

Based on your response, please specify the name, date, authority in charge of the development of these documents and, if relevant, planned year of revision. **(0pt)**

1d. Is there a mobility component in other policy strategies, i.e. in sector strategies other than transport. **3pt max (based on number of options chosen, each option is 1pt)**

1e. Is there a strategic urban/ regional development plan in your city/ city region? **upto 2pt max (1 pt each for first two options, i.e city / city region options)**

Choose all relevant answers.

Based on your answer, please specify the name of the plan/document, date, name and role of the authority in charge of its development and, if relevant, planned year of revision. (0pt)

1f. Does your city/ city region have a climate plan? **1pt for YES**

If yes, please specify the name of the plan/document, date, name and role of the authority in charge of its development and, if relevant, planned year of revision. (0pt)

1g. What is the relationship between these planning documents ? **upto 2pt max**

- Co-developed, i.e. developed simultaneously (2 pts)
- Coordinated, i.e. re-align policies from different sectors (1pt)
- They are developed separately. (0pt)

You have finished this section. Please calculate and input your total points for SECTION 1 before proceeding. Your total points = ??

SECTION 2: Policy Formulation: Developing Mobility Planning Documents

This section includes a series of questions to assess the authority, knowledge, organisation, and finances available at the city level for policy formulation in transport and mobility. (Need a definition of policy formulation? Check note above!)

MAX POINTS FOR SECTION 2 = 11 points

2a. What other departments, except those directly involved in urban mobility, are involved in transport and mobility planning (include SUMP if applicable in your case)? **upto 4pts (1 pt for each option)**

- If other, please specify. (0pt)

2b. At the city level, is mobility and transport (include SUMP if applicable in your case) under the authority of one or several deputy mayors or the Mayor him/herself ? **1pt dedicated to each option except the last option.**

- If other, please specify (0pt)

2c. At the political level, is mobility and transport (include SUMP if applicable in your case) under the any political authority commission or standing committee?- **1pt for YES**

- If other, please specify. (0pt)

2d. What type of expertise does your city / city region relies on in order to develop their SUMP/ above mentioned mobility planning documents? **Up to 2pt max. (1pt each for first two options only)**

- If answered "in-house", then please describe your in-house expertise. (0pt)
- If answered "sub-contracted to public authorities", then please describe: by whom (national/ regional authorities) has the work been subcontracted, and to who? (0pt)

- If answered "sub-contracted to non public authorities", then please describe by whom (national/ regional authorities) has the work been subcontracted, and to whom (international organizations, consultants, universities, etc.)? (0pt)

2e. In your opinion, what were the three main barriers the city / city region faced while developing the SUMP and/or other mobility planning documents? 0pts

2f. What are the three main sources of funding for SUMP/ transport and mobility PLANNING in your city? 3pt max (1pt for each option except for "other" option.)

- If answered "other", please explain. What other financial resources would you have for developing transport and mobility planning? (0pt)

You have finished this section. Please calculate and input your total points for SECTION 2 before proceeding. Your total points = ??

SECTION 3: Policy implementation: resources (authority, knowledge, organization and finances) to implement mobility plans and documents.

This section is to understand the capacity of your city at the implementation stage. (Need a definition of policy implementation? Check note above!)

MAX POINTS FOR SECTION 4 = 19 points

3a. What other departments, except those directly involved in urban mobility, are involved in the implementation of transport and mobility planning documents? Please include the SUMP if applicable. 4pts max. (1pt for each option except "other" option.)

If other, please explain. Also, please explain how other departments are involved. (0 pt)

3b. What other departments, except those directly involved in urban mobility, are involved in the enforcement of transport and mobility planning documents ? Please include the SUMP if applicable. 3pts max. (1pt for each option except "other" option)

If other, please explain. Also, please explain how other departments are involved. (0 pt)

3c. At the political level, is the implementation of transport and mobility (and the SUMP process, if applicable) under the authority of a different politician than the one in charge of mobility planning (refer to question 2b)? 1pt for "NO" option.

3d. What type of expertise does your city / city region relies on in order to implement their SUMP/ above mentioned mobility planning documents? upto 2pt (1pt each for first two options only)

- If answered "in-house", then please describe your in-house expertise. (0 pt)
- If answered "sub-contracted to public authorities", then please describe: by whom (national/ regional authorities) has the work been subcontracted, and to which organization/ authority? (0 pt)

- If answered "sub-contracted to non-public authorities", then please describe by whom (national/regional authorities) has the work been subcontracted, and to whom (international organizations, consultants, universities, etc.)? (0 pt)

3e. In your opinion, what were the three main barriers the city / city region faced while implementing the SUMP and/or other mobility planning document? It is mandatory to select 3 options from all choices. 0pt

- If other, please specify (0pt)

3f. What are the three main funding sources for implementing transport and mobility planning documents / SUMP (if applicable) in your city ? 3pt max (1pt for each option except "other" option)

3g. What other funding solutions has your city used to implement mobility solutions ? 6pt max. 1 pt per option.

3h. How have you leveraged these resources to fund and finance mobility solutions ? Please explain. 0pt

You have finished this section. Please calculate and input your total points for SECTION 3 before proceeding. Your total points = ??

SECTION 4: Policy evaluation: resources and capacities (knowledge, authority, organization and finances) at evaluation stage.

This section is to understand your city's capacity to evaluate the development process of SUMP/ integrated mobility plans and their implementation.

MAX POINTS FOR SECTION 5 = 8 points

4a. Does your city / city region evaluate its SUMP/ integrated transport and mobility process ? 1pt for YES.

- If answered yes, please explain which departments are involved, what is the scope of the evaluation (e.g., process or impact) and how often ? (0 pt)

4b. At the political level, is the evaluation of the SUMP/ integrated transport and mobility process under the authority of one or several deputy mayors or the Mayor him/herself ? 1pt for YES.

4c. At the political level, is the evaluation of SUMP/ integrated transport and mobility discussed by a political authority (commission/standing committee)? 1pt for YES.

- If answered "a political authority at another level of government", please explain which level. (0 pt)

4d. What type of expertise does your city / city region relies on in order to evaluate their SUMP/ above mentioned mobility planning documents? **upto 2pt max. 1 pt each for the first two options only.**

- If answered "in-house", then please describe your in-house expertise . (0 pt)
- If answered "sub-contracted to public authorities", then please describe: by whom (national/ regional authorities) has the work been subcontracted, and to which organization/authority? (0 pt)
- If answered "sub-contracted to non-public authorities", then please describe by whom (national/ regional authorities) has the work been subcontracted, and to whom (international organizations, consultants, etc.)? (0 pt)

4e. In your opinion, what were the three main barriers the city / city region faced while evaluating the SUMP and/or other mobility planning document? **0pt**

- *If other, please specify (0pt)*

4f. What are the three main funding sources for the evaluation of the transport and mobility policies/ SUMP? **3pt max (1pt for each option except "Other" option)**

- *If other, please specify (0pt)*

You have finished this section. Please calculate and input your total points for SECTION 4 before proceeding. Your total points = ??

CONGRATULATIONS!! You have completed the questionnaire. Please proceed to the next tool, i.e. TOOL 3, which is MANDATORY to complete.

Please make sure you have accurately calculated and saved the total points for each section of Tool 2 before you proceed- this is absolutely necessary to complete Tool 3!! Keep your scores at hand!

Please download/print a copy of the Google questionnaire to save your answers and scores.

3.3. Tool 3: Policy capacity scenario

Based on the questionnaire (Tool 2) and the points scored for your responses in **each SECTION**, Tool 3 below has been developed as an assessment of a city's progress on a transition pathway to sustainable mobility. It helps understand the distribution of policy resources and capacities across the policy process.

Three policy capacity scenarios are identified:

- 1) HIGH: reflects high levels of policy resource ownership and high capacity to mobilize them throughout the policy process;
- 2) MEDIUM: reflects that levels of policy resource ownership and capacities to mobilize them are unevenly spread across the policy process;
- 3) LOW: reflects that levels of policy resource ownership are limited, as are the capacities to mobilize them across the policy process.

Input your scores for each section in the table below and in the questionnaire (based on the scores gained in *each section* of Tool 2) to understand whether your city's capacity for each section is HIGH, MEDIUM or LOW.

CITY NAME	Agenda-Setting (Tool 2- Section 1)	Policy formulation (Tool 2- Section 2)	Implementation (Tool 2- Section 3)	Evaluation (Tool 2- Section 4)
City 1	score	score	score	score

Legend

Scores by section and their interpretation:

- **Agenda Setting (Tool 2- Section 1): Max 17 points**

High = 13-17 points

Medium = 8-12 points

Low = 7 points and below

- **Policy formulation(Tool 2 - Section 2): Max 11 points**

High = 8-11 points

Medium = 4-7 points

Low = 3 points and below

- **Policy Implementation (Tool 2 -Section 3): Max 19 points**

High = 15-19 points

Medium = 10-14 points

Low = 9 points and below

- **Policy Evaluation(Tool 2- Section 4): Max 8 points**

High = 6-8 points

Medium = 3-5 points

Low = 2 points and below

NB: The points are available within the questionnaire on Typeform once the questions have been answered. Possibly cities/ respondents can compare their

policy capacities to other respondents/ cities or compare their own progress over time by re-taking the survey questions.

4. Where to take it from there?

Upon completing the questionnaire, it is recommended for cities to reflect on the following questions:

- Does the final outcome match your expectation?
- How could your city improve in *all of the policy areas* mentioned in the survey, i.e. your city's governance arrangements and policy capacities, in terms of both the type of policy resources available and at what stage of the policy process ?

Congratulations ! In case you would like to ask for feedback on how to improve governance arrangements and policy capacities, you may send an email to charlotte.halpern@sciencespo.fr