



## Lesson 2: A look into the requirements related to the governing of long-term policy processes



# Governmental capacity building:






- Is achieved **over time** and through a cumulative process
  - by drawing on **existing policy resources**
  - AND by developing capacities **to mobilise additional ones** (across levels & sectors and beyond the public sector)
  - To set priorities, develop a vast array of policy interventions, and strengthen the role of city governments in the governing of long-term transitions.
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- In other words, **size, location and de jure alone** are not sufficient to account for the capacity of some cities in Europe to govern long-term transition planning.

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**Size and geography  
matter, yes but ...**

# 1. Degrees of local autonomy

- Several city typologies have been developed to account for sustainable mobility planning capacities.
- In the context of CIVITAS SUMP PLUS:
  - Three types of cities were identified in this context, to reflect expected levels of autonomy in relation to mobility planning
  - The local autonomy component refers to the EC commissioned Local Autonomy Index (Landner et al., 2015) which gives all European countries a score from 0-37, depending on the degree of local government autonomy across a number of policy areas and fiscal powers.
- How to account for the discrepancy between the scores achieved on this Local Autonomy Index and a city's long-term planning capacity ?

F	S	C	L	P
Function(s) of the city	Spatial Context	CREATE stages	Local Autonomy	Planning Capacity
				
Main economic sectors and user groups that define the city.	Location of the city in relation to Functional Urban Area and interdependence of movement patterns	Political and public acceptability for different kinds of policies according to the CREATE H2020 project categorisation.	Local autonomy is a highly valued feature of good governance. It is the ability of local governments to have an independent impact on the well-being of their citizens.	Capacity for integrated sustainable transport planning, as indicated by adoption of SUMP or other strategic mobility vision and action plan.
Administrative	Free-standing urban core	Car-based	High: score of 26-30 on Local Autonomy Index	High - Fully integrated planning - the administration has now experience with SUMP and it has been through at least one development and implementation process
Agricultural	Polycentric	Sustainable mobility-based	Medium: score of 21-25 on Local Autonomy Index	
Commercial	Commuting zone	Place-based	Low: score of 12-20 on Local Autonomy Index	Medium - Some integration of measures - The administration is not familiar yet with SUMP but wishes to learn or beginner, getting familiar with SUMP
Industrial	Metropolitan area			
Port				
Touristic				Low - No strategic planning - The administration is not familiar with mobility planning.

## SUMP PLUS city typology

© Dragutescu, A et al., (2020) City Typology, for context-sensitive framework and tools development. (Deliverable D1.3, H2020 CIVITAS SUMP-PLUS project D1.3, p.63).

<https://discovery.ucl.ac.uk/id/eprint/10120412/>

## Why is there a need for a more qualitative and dynamic assessment?

- A more qualitative and dynamic perspective is needed, **at least for three reasons:**
  - State-local relationships are not set once and for all, cities are operating in an evolving multi-level governance setting.
  - Transport & mobility is changing too, with new entrants, services and technologies, ... This creates new opportunities for city governments to develop alternative alliances and challenge national and regional rule-making authorities.
  - Following the adoption of the EU Green deal (2019) and the adoption of post-pandemic recovery & resilience plans (2021), a growing attention is set on carbon targets across policy areas, incl. transport & mobility.
- A city government's capacity at governing its long-term transition planning may not ONLY depend on *de jure* powers BUT ALSO on *de facto* capabilities, that is **the ability to add on to or overcome the lack of** such powers and resources by reaching out – vertically – other levels of government and – horizontally – to the private sector, civil society and the wider public.

## 2. Policy resources for long-term transition planning.

- City governments, as any other public authorities, commonly rely on a « **basket of four basic policy resources** », which they have in hand and “can be spent in different ways ».



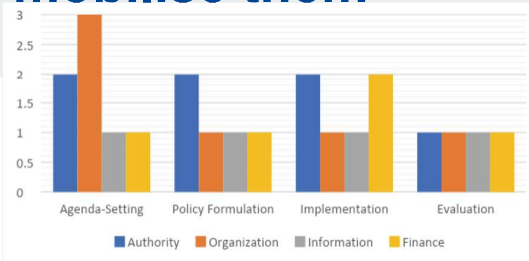
### A « Basket of four basic policy resources »

Adapted from the « NATO » model (Hood, 1983, 5-6; Howlett 2014)

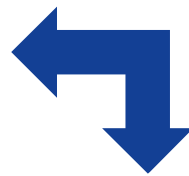
Subtopic 1b, Governance LT planning

- In a context of above-mentioned changes, city governments may enjoy enhanced degrees of local autonomy as a result of their ability to compete and cooperate to leverage additional **policy resources across levels and beyond the public sector**.
- What skills are required in this context ?**
  - Experienced cities increasingly rely on analytical and managerial skills to enhance their policy resources. *Why is that relevant? This is instrumental to manage implementation.*
  - Intermediate and beginner cities are more dependent on individuals, and more generally, political skills. *Why is that relevant? Once these individual are gone, these policy capacities need to be developed again.*

### 3. Policy capacities: policy resources & the skills to mobilise them



@ SUMP PLUS Project,  
Halpern & Sarti 2020.



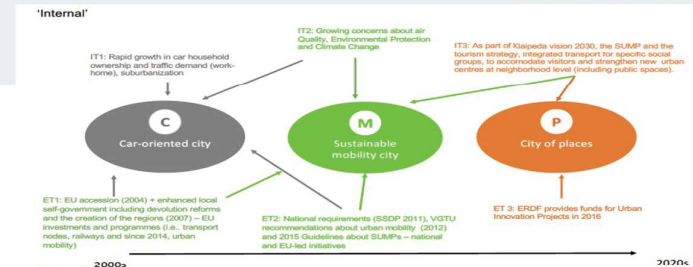
An assessment of policy resources is done for each city to identify scope for leveraging opportunities.

Amount of resources	Agenda-Setting	Policy formulation	Policy Implementation	Policy Evaluation
City 1	▲▲	▲	▲	▲
City 2	▲▲▲	▲▲▲	▲▲	▲▲▲
City 3	▲▲	▲▲	▲▲	▲▲
City 4	▲▲▲	▲	▲▲	▲
City 5	▲▲▲	▲▲▲	▲▲	▲▲▲
City 6	▲▲	▲	▲	▲

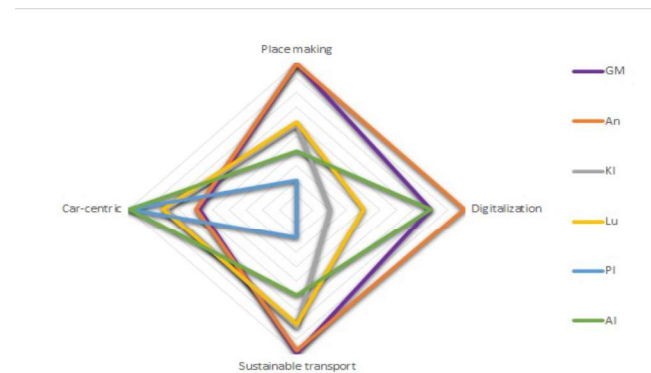
- **Experienced cities** have developed a set of strategic and operational tools throughout the policy process which enables them to develop context specific transition pathways.
- **Intermediate and beginner cities** have some capacities to shape the agenda and to a lesser extent, the setting of policy priorities, but they remain dependant from other levels of government & non public actors.

## 4. What do cities do as part of their sustainable urban mobility agenda?

- **Multilayered, uneven** – The more experience a city has with sustainable mobility planning, the higher it will score on policy diversity and strength.
- **Different starting dates** – as far as policy developments are concerned, regional location matters less than national/regional policy frameworks and size.
- **Multi-level, cross-sectoral, partnerships** and since early 2010s, shift away from the sustainable city model towards low & zero carbon



Example of a timeline of past developments (2000-2020)



A context specific combination of policy types



## Size and geography matter, but above all, significant differences in governing capacities (Findings from H2020 MORE & H2020 CIVITAS SUMP PLUS):



### Experienced cities:

- Rely on analytical and managerial skills to enhance organizational capacities,
- Develop a set of strategic & operational tools throughout the policy process, incl. cross-sectoral policy linkages and partnerships.
- Score high on policy diversity & autonomy.

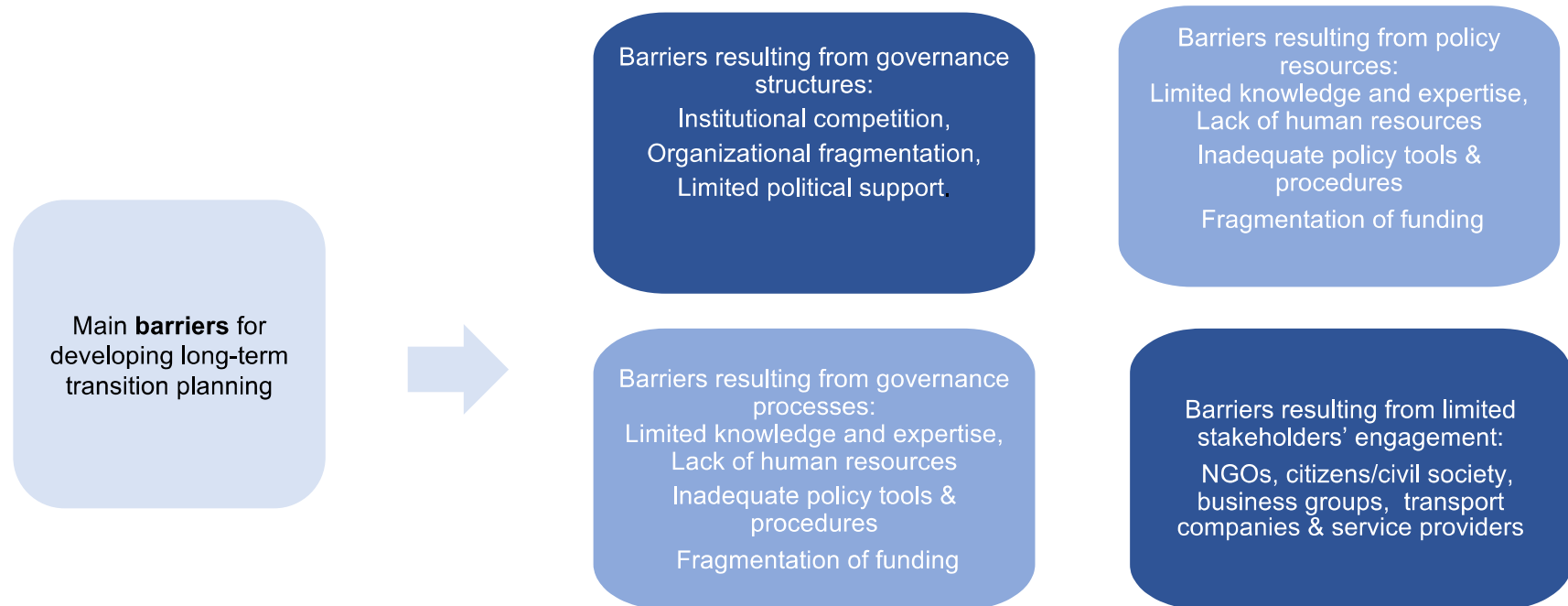


### Intermediate and beginner cities:

- 1) More dependent on individuals & political skills,
- 2) Micro-managing the process, incl. ad hoc venues and informal linkages,
- 3) Score medium / low on policy diversity & autonomy.



## But at the same time, some barriers that prevent the governance of long-term transition planning:



# 2

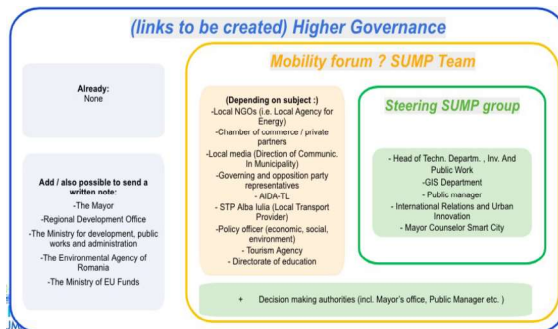
**What do city governments  
do to enhance their  
governance capacities at  
long-term transition  
planning?**

## Strategies introduced by city governments that have built capacity over time:

1. **Build ownership and leadership** by appointing a leading team / person within the city administration & among politicians
2. **Adopt a revisable strategy** to adjust objectives and the policy mix to new constraints without jeopardising long term planning goals.
3. **Enhance pressure** by shifting away from a mode based towards an integrated approach.
4. **Scale up** towards the metropolitan / urban functional area
5. **Speed up** by exploring new carbon reduction reservoirs (partnerships with wider range of stakeholders)

# Strategy 1: Build ownership & leadership at city level

**Scenario 1:** There is no responsible person / team for sustainable mobility planning: the development of a SUMP provides a timely opportunity to do so.



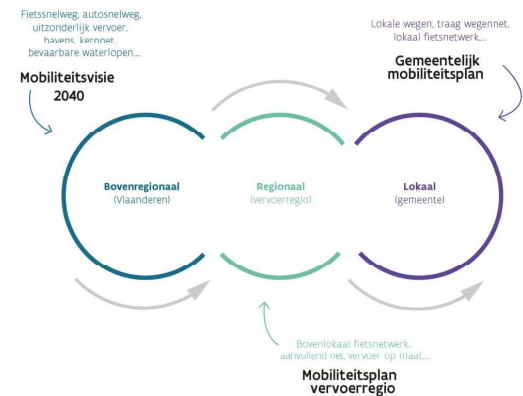
SUMP core group convenes a first meeting : define objectives, agenda and guests

Presentation of goals, timeline, introducing people to one another, asking about everyone's priorities in relation to mobility issues, etc.

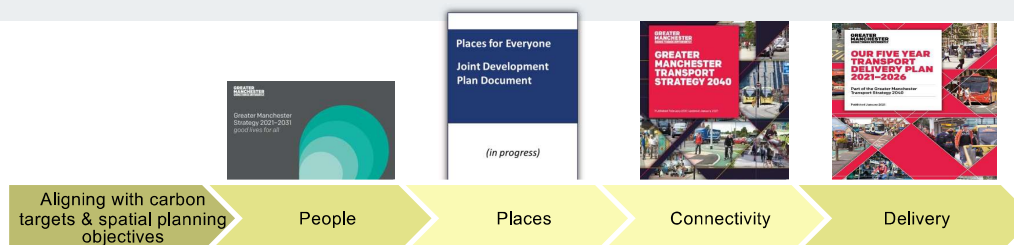
Propose regular meetings, chaired by alderman, with agenda reflecting objectives and timeline of the project to discuss specific themes (tourism, education, etc.), measures etc. and providing all an opportunity to contribute (formal presentation and informal discussion).

**Scenario 2:** There is a newly created Sustainable mobility planning unit or department that needs to take leadership, working transversally across the city administration.

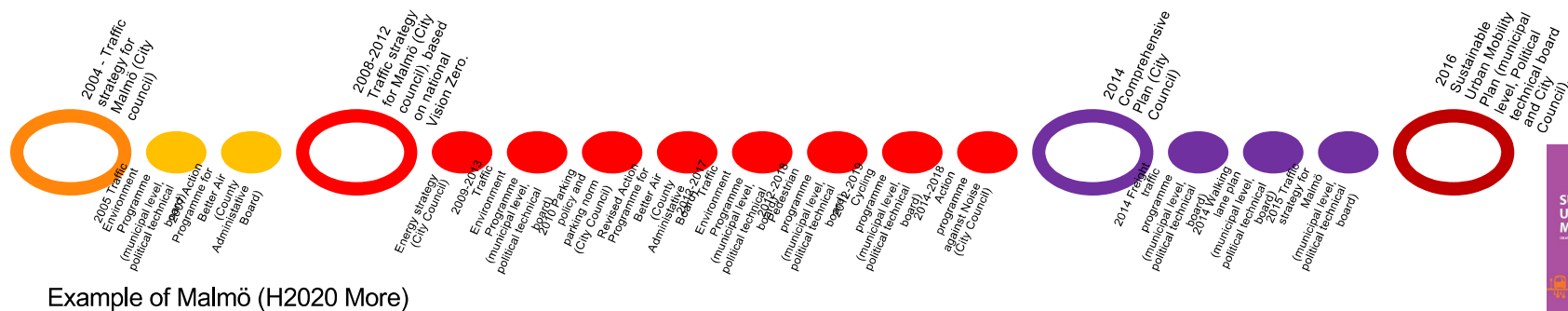
**Scenario 3:** There is already a strong Sustainable mobility planning department at city level, but the challenge now lies with the development of a region-wide transport authority, working together with adjacent municipalities and regional authorities to align long-term goals.



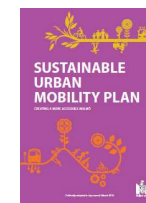
## Strategy 2: Adopt a revisable strategy to adjust objectives and the policy mix to new constraints without jeopardising long term planning goals.



The example of Greater Manchester (H2020 CIVITAS SUMP PLUS)

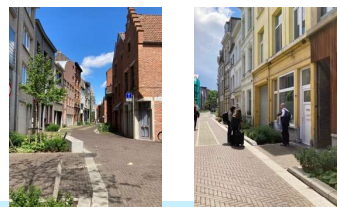
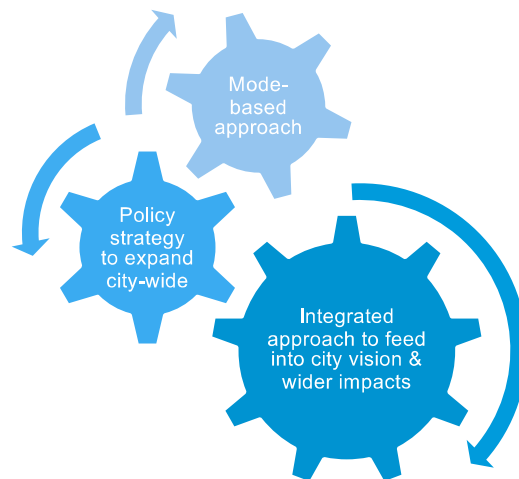


Example of Malmö (H2020 More)

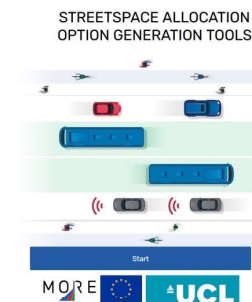


## Strategy 3: Enhance pressure by shifting away from a mode-based towards an integrated approach

- While acknowledging the specific, short-term requirements & constraints of different modes and their respective policy communities, **an integrated approach** is needed to:
  1. Avoid the emergence of new silos and being trapped into micro-managing conflicts between different user groups
  2. Explore the scope for city-wide replication or scaling-up through business models, engaging local communities, goals-setting and indicators to measure progress.
  3. Align with long-term visions and take into account wider policy considerations.



The climate streets programme, in Antwerp, to make the street space as climate resilient as possible – in this case « blue » and « green ».



H2020 MORE city partners selected a segment of their road network facing the greatest challenges now & in the future to adopt a streets as ecosystems approach & explore a detailed redesign work.

## 4. Scale up towards the metropolitan / urban functional area

- Transport and mobility constitutes **a major driver for joint transition planning at metropolitan level**. This creates new opportunities for city governments to address common problems: *ex. (un)planned urban sprawl, transport emissions and negative spill-overs.*
- Different cooperation strategies can be developed by city governments. **This can be achieved informally, through soft coordination.**
- In order for their initiative to be formally recognized **as a case of intermunicipal coordination or a fully-fledged regional transport authority**, they need the approval from national / regional authorities, i.e. through a change in legislation. *Ex. from CIVITAS SUMP PLUS: Transport for Greater Manchester, Lucca's Plain and Alba Iulia's AIDA-TL.*
- Such initiatives may also be imposed on city governments, as a result of **top-down reforms initiated by national / regional authorities** to ensure that the scaling up from sustainable mobility planning in core city centres towards adjacent municipalities. *Ex. from CIVITAS SUMP PLUS: Antwerp's Vervoerregio and Klaipeda city's urban functional area.*
- As part of CIVITAS SUMP PLUS, we examined what governance barriers were most commonly identified in the literature & what solutions had been developed (*see Table next slide*).

### Did you know ?

As far as cities in Europe are concerned, there is a great diversity of metropolitan transport governance and **no one best way !** (OECD, 2015; UCLG 2017)

When revising their SUMPs, a growing number of city governments have sought **to include their functional urban areas** – consisting of a city and their commuting zone – as a relevant scale for joint sustainable mobility planning.

Some national & regional authorities in Europe consider it **a sine qua non requirement to access funding for sustainable urban mobility** under their recovery and resilience plans.



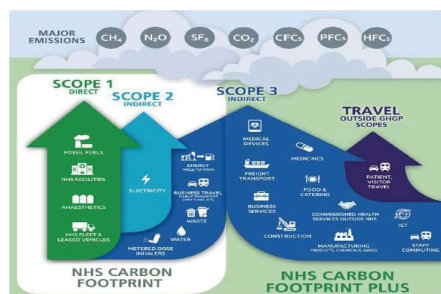
## Governance barriers and solutions to develop joint long-term transition planning goals:

Most commonly found barriers	Leveraging opportunities to develop the following solutions:
<p>Political &amp; institutional:</p> <ul style="list-style-type: none"> <li>- Limited coordination,</li> <li>- Intractability of metropolitan policy problems,</li> <li>- Acceptability and legitimacy of the metropolitan project.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish a relation between higher levels and local/metro authorities – <a href="#">Ex. Stuttgart &amp; Frankfurt</a></li> <li>• Involve relevant public authorities and stakeholders in the negotiations – <a href="#">Ex. Rotterdam &amp; The Hague</a></li> <li>• Gaining the buy-in from the general public – <a href="#">Ex. Lyon</a></li> </ul>
<p>Organizational:</p> <ul style="list-style-type: none"> <li>- Inability to embrace integrated planning</li> </ul>	<ul style="list-style-type: none"> <li>• Joint metropolitan planning of roads and public transport at the metropolitan level</li> <li>• Integrated planning of land use and public transport at the metropolitan level</li> <li>• <a href="#">Ex. Copenhagen &amp; its region</a></li> </ul>
<p>Financial</p> <ul style="list-style-type: none"> <li>- Lack of funding to implement metropolitan transport schemes</li> <li>- No powers &amp; tools to redistribute resources across governments</li> </ul>	<ul style="list-style-type: none"> <li>• Metropolitan taxation for enhancing delivery capacity of the transport regions.</li> <li>• <a href="#">Ex. Independent taxation right of regional authorities in Sweden, which allows them to provide metropolitan transport in rural areas</a></li> <li>• Finding additional sources (public and private) for financing metropolitan projects</li> </ul>

Source: Halpern, Sarti, Avsar, 2022, SUMP PLUS Technical note

## 5. Scale up by exploring new carbon reduction reservoirs

- To align long-term mobility transition objectives with carbon neutral targets requires:
  - Data and tools to assess carbon emissions, develop carbon budgets and revise long-term goals accordingly.
  - New governance arrangements under the city's climate plan.
- Explore additional carbon reduction reservoirs by aligning policy priorities with trip generating sectors. **Ex. health, education and tourism**

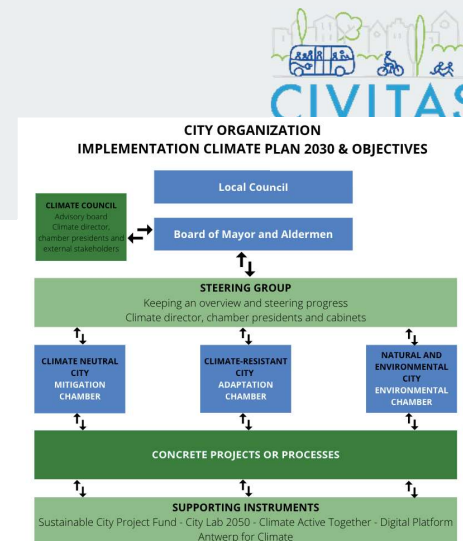


© NHS Green plan, 2021

Example from **Greater Manchester (CIVITAS SUMP PLUS)**:

- At strategic level: align long-term mobility policy goals with carbon targets and the NHS' Green plan to decarbonize the health sector.
- At operational level: develop a joint action plan to produce new data – to understand and monitor mobility demand (patients, staff, etc.) – and set up a joint, cross-sectoral venue to support a place-based approach to decarbonizing the health sector.

Subtopic 1b, Governance LT planning

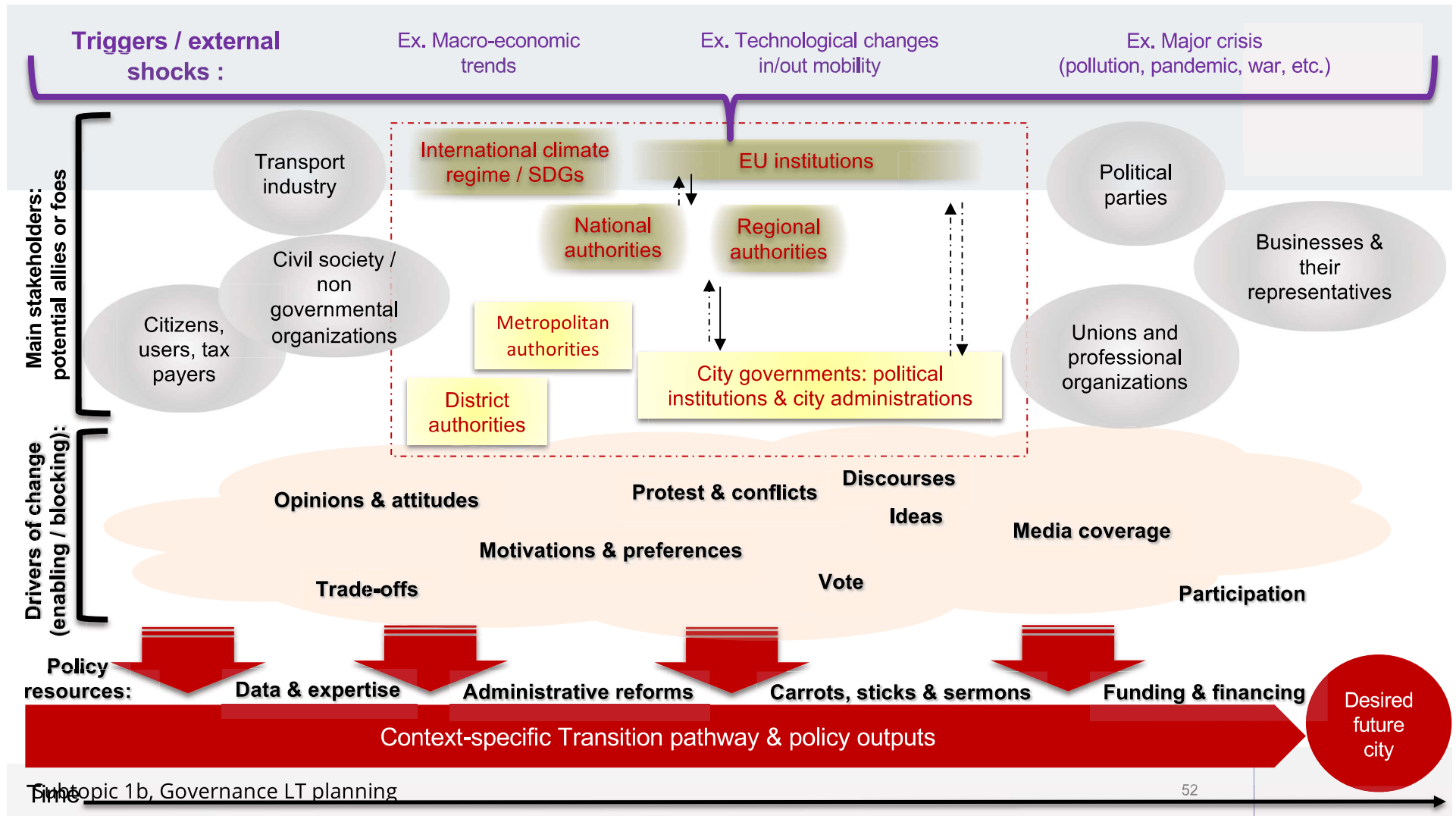


Revised mobility goals under the Climate Plan in **Antwerp (CIVITAS SUMP PLUS)**

Go to **Subactivity 1a** on cross-sectoral linkages !

**3**

**To conclude Lesson 2:  
governance as a process  
!**



**Before moving to the next  
lesson, complete  
assignment 2**