GUIDELINES FOR POLICY-MAKERS

Policy Integration, Policy Processes and Participation in Sustainable Urban Mobility Planning

October 2014
Table of Contents

1. Introduction .......................................................................................................................... 2
2. SHAPE-IT: Shaping sustainable transport patterns in European cities ................................. 2
3. The concept of Sustainable Urban Mobility Plans ................................................................. 3
4. The SHAPE-IT case studies .................................................................................................... 5
5. Policy integration and processes in SUMP development .......................................................... 7
   5.1 Policy integration ................................................................................................................ 7
   5.2 Policy processes ................................................................................................................ 9
6. The SHAPE-IT recommendations .......................................................................................... 12
   6.1 Recommendations 1-5: Examples .................................................................................... 17
   6.2 Recommendations 5-10: Examples .................................................................................. 24
7. Conclusion ............................................................................................................................... 26
References ................................................................................................................................... 28

Authors: Rupprecht Consult (Miriam Lindenau, Kristin Tovaas, Frank Wefering)

Contributors: Wuppertal Institute (Oliver Lah, Kain Glensor), Swedish National Road and Transport Research Institute (Kerstin Robertson, Lennart Folkeson), Energy Research Centre of the Netherlands (Hein de Wilde, Christine van Zuijlen), Cracow University of Technology (Andrzej Szarata, Aleksandra Faron)

Cover photo: Harry Schiffer, www.eltis.org

Funded under the ERA-Net Stepping Stones initiative
1. Introduction

Why are sustainable transport policies successful in one place but not in another? The answer to this question is complex, but it holds the keys to effective decision-making for policy development and implementation. These SHAPE-IT policy guidelines explain how local authorities can use Sustainable Urban Mobility Plans (SUMP) as a planning concept for policy integration and participatory processes, with the end goal of developing effective policies which shape mobility patterns towards sustainability.

The social, environmental and economic challenges which motivate local authorities’ sustainable transport policies are most effectively addressed by taking an inclusive and collaborative planning approach. This means moving away from top-down decision making and towards synergistic policymaking which considers transport’s interconnection with other aspects of urban life. There is a wealth of knowledge, insights and expertise available across public and private sector actors which are highly valuable for the development of sustainable transport policies. The challenge is to find the right approach for your city to include the relevant departments and stakeholders in each stage of the policy’s development. Analysis of SHAPE-IT’s eight case studies reveals the power of such inclusive and holistic approaches to effectively address the social, environmental and economic issues that are inseparably connected to sustainable transport.

Ten recommendations are put forth to help guide the way for local authorities to ensure a well-informed, thorough and inclusive process for policy development and implementation. While these recommendations do not necessarily guarantee a successful policy outcome, they have been demonstrated to be instrumental to the success of many exemplary sustainable transport policies.

2. SHAPE-IT: Shaping sustainable transport patterns in European cities

The SHAPE-IT project (2013-14) is designed to contribute to a better understanding of the key success factors for sustainable transport policies to effectively influence travel behaviour in European cities. With transferability in mind, it aims to answer the question “why are sustainable transport policies successful in one place but not in others?” The SHAPE-IT analysis focuses on local authorities’ approaches to their policy making process, specifically in which ways and to what extent there is collaboration between:

- Decision makers and transport planners across various scales
- Decision makers, transport planners and stakeholders
- The policy itself and other related policies and frameworks at various scales

A thorough analysis is performed on selected sustainable transport policies implemented in Munich (Germany), Krakow (Poland), Utrecht (the Netherlands), Stockholm and Lund (Sweden). The analysis is split into two essential components of sustainable urban mobility planning: the influence of policy processes, and the role of policy integration. The policy integration analysis explores the extent to which each case’s respective policy was integrated and interacted with the city’s institutional conditions, and how this contributed to the policy’s effectiveness. The policy
process analysis explores what factors influence the successful development and implementation of effective sustainable transport. Of the many potential influential factors, one has been singled out for particular attention: public participation and its effect upon the acceptance and implementation of policies.

Covering all four funding partner countries of the Stepping Stones programme, SHAPE-IT encourages a constructive dialogue between the five project partners and the five project cities, as well as knowledge exchange between the cities. Insights from these exchanges have informed these guidelines which are further enriched by best-practice examples of other European cities so that cities throughout Europe can learn from their experiences as well.

3. The concept of Sustainable Urban Mobility Plans
A Sustainable Urban Mobility Plan is a strategic plan designed to satisfy the mobility needs of people and businesses in cities and their surroundings for a better quality of life (Rupprecht Consult, 2014). It builds on existing planning practices and takes due consideration of integration, participation, and evaluation principles. It is therefore a holistic plan which can be used to address environmental, social and economic challenges which are interlinked with urban mobility.

As set out in the Guidelines on Developing and Implementing a SUMP, the key characteristics of a Sustainable Urban Mobility Plan are:

- Long-term vision and clear implementation plan
- Participatory approach
- Balanced and integrated development of all transport modes
- Horizontal and vertical integration
- Assessment of current and future performance
- Regular monitoring, review and reporting
- Consideration of external costs for all transport modes

The SUMP approach not only considers the development of plans and strategies but it also looks at the planning processes behind them. Such sustainable urban mobility planning processes can be part of the plan development and the implementation of transport policies and measure packages.

SUMP is a planning concept strongly promoted by the European Commission in several policy documents. The Action Plan on Urban Mobility\(^1\) (2009) proposes to accelerate the take-up of

---

\(^1\) Action Plan on urban mobility [COM(2009) 490]
Sustainable Urban Mobility Plan and the Transport White Paper\(^2\) (2011) supports the development of Sustainable Urban Mobility Plans as an instrument to promote clean transport modes and strategic planning. In December 2013, the European Commission released the Urban Mobility Package\(^3\) to reinforce its support for urban transport. This EC Communication, titled “Together towards Competitive and Resource Efficient Urban Mobility”, prominently mentions the concept of Sustainable Urban Mobility Plans and encourages the take-up of SUMPs in European cities. The Urban Mobility Package was launched in conjunction with the “Guidelines on Developing and Implementing a Sustainable Urban Mobility Plan” (Rupprecht Consult, 2014) and is complemented by a five-page annex dedicated to the concept of Sustainable Urban Mobility Plans.

---

\(^2\) White Paper: Roadmap to a Single European Transport Area – Towards a competitive and resource efficient transport system [COM/2011/0144 final]

4. The SHAPE-IT case studies

**Munich**

**Transport Development Plan**

The development of Munich’s TDP was led by the municipal Department of Urban Planning and Building Regulation, which invited various government bodies from Munich and the surrounding municipalities. Passed in 2006, it is a focused, binding plan which sets goals for a modal shift away from private motorized vehicles and towards more cycling.

Focus area: policy integration; SHAPE-IT partner: Wuppertal Institute

**Cycling marketing approach**

‘Cycling Capital Munich’ (Radlhauptstadt München) is a cycling promotion campaign financed by Munich City Council that aims to create visibility, attention and awareness for cycling, improve residents’ identification with cycling and enable public involvement and participation. Established in 2010, it has been extended until 2015 due to its success.

Focus area: policy processes; SHAPE-IT partner: Wuppertal Institute

**The Netherlands**

**Integration of LEV laws with EU laws**

The Dutch government has implemented several subsidies and taxes as “pull” and “push” measures respectively, which encourage a shift towards low emission vehicles (LEVs). Two subsidies were implemented in 2010, one designed to stimulate the roll-out of hybrid and battery electric vehicles, and another for the purchase of EVs. Taxes are levied on vehicles based on their emissions, and many LEVs are eligible for tax waivers.

Focus area: policy integration; SHAPE-IT partner: Energy research centre of the Netherlands

**The “Utrecht Electric” e-mobility scheme**

Utrecht Electric aims to foster electric mobility for making motorised transport as clean as possible by establishing a large-scale charging network, electrifying the municipal fleet and expanding e-mobility through cooperation with businesses and citizens.

Focus area: policy processes; SHAPE-IT partner: Energy research center of the Netherlands
Lund’s SUMP “LundaMaTs”

Lund Municipality implemented its transport plan, LundaMaTs in 1996. The plan was developed in consultation with a broad spectrum of public and private stakeholders at the municipal and regional levels, with support from a political steering group and an expert group. In 2007, the city rolled out LundaMaTs II, with a widened focus on sustainable development of the transport system, which goes beyond the environment to also address economic and social concerns.

Focus area: policy integration; SHAPE-IT partner: Swedish National Road and Transport Research Institute

Stockholm’s Congestion Tax

Following a seven month trial period of congestion charging and a referendum on its long-term implementation, the City of Stockholm finally introduced congestion charging as permanent transport policy in 2007 to reduce traffic congestion in the central city area.

Focus area: policy processes; SHAPE-IT partner: Swedish National Road and Transport Research Institute

Krakow

Telebus

In 2005, under the CiViTAS/CARAVEL project, the City of Krakow decided to implement a demand-responsive transport (DRT) bus service. Telebus connects three previously underserved districts, providing them with a bus service that is adaptable to their particular journey, with fixed stop points and flexible routes. After technology and knowledge transfer from Genoa to Krakow, Telebus began operation in July 2007 and continues to run today.

Focus area: policy integration; SHAPE-IT partner: Cracow University of Technology

Mobility Forum

Krakow’s Mobility Forum is a series of public meetings designed for better communication between the city administration, stakeholders and citizens. It was initiated in 2006; since then, the Forum meets at least twice a year and serves as an instrument to discuss local transport issues and potential solutions.

Focus area: policy process; SHAPE-IT partner: Cracow University of Technology
5. Policy integration and processes in SUMP development

The starting point for a local authority to create a SUMP is to decide "We want to improve mobility and quality of life for our citizens!" Throughout the proceeding four phases of developing and implementing the SUMP, ensuring policy integration and creating policy processes for stakeholder participation are crucial elements for ensuring the SUMP’s success (Rupprecht Consult, 2014). While most phases in the SUMP policy cycle require decision makers to double up on actions which foster both policy integration and participatory processes, several activities focus exclusively on either one or the other approach so that the SUMP can progress in its development.

Policy processes feature prominently in phase 1, 'Preparing well', particularly in step 2, 'Define the development process and scope of plan'. In this initial phase of SUMP development, most of the groundwork is laid out for the policy processes which will be carried out throughout the three remaining phases.

Policy integration features prominently also in phase 1 and phase 2, 'Rational and transparent goal setting'. From phase 1, heavy focus on integration occurs in activity 2.2, 'Strive for policy coordination and an integrated planning approach'. Phase 2 involves developing a common vision, setting targets which are specific, measurable, achievable, realistic and time-bound and identifying the most effective measures. This phase highlights the importance of departments and sectors working together to make concrete and mutually beneficial decisions about the policy's design so that its later implementation is successful.

Public participation has a democratic rationale by giving citizens and stakeholders the opportunity to be involved in a planning process that is likely to affect them; it has an instrumental rationale by enhancing the decision-making process and its outcomes through the involvement of citizens and stakeholders and it is a social learning process for both those who carry out the participation process and those who participate in it. Policy integration also has an instrumental rationale by bringing together a broader range of decision makers to establish synergies between policies and packages of measures across related sectors and neighbouring territories, and between multiple levels of government. Policy processes and integration both involve active group communication, knowledge sharing, joint work and ultimately shared decision making and accountability for the policy.

5.1 Policy integration

Policies which aim to solve mobility challenges and create a more integrated, sustainable transport system require a holistic approach of multi-sectoral (horizontal), multi-level (vertical) and cross-territorial cooperation. There are three main aspects of policy integration:

- **Vertical integration** involves aligning local policies with supportive or complementary policies and priorities held at the regional, country and EU levels.
- **Horizontal integration** occurs at the local level, where departments across multiple sectors (e.g. building and land use, urban planning, transport, environment, energy, etc.) combine their expertise by working together to develop a policy.
• **Territorial integration** can be seen as a further form of horizontal cooperation in which the local authority ensures that a policy is in accordance with policies of neighbouring urban and peri-urban areas, and involves these authorities in the development of a wider regional policy as appropriate.

Policy integration encourages local authorities and the primary responsible department(s) to look beyond their own boundaries and responsibilities and to strive for synergistic policies which support and enhance the effects of related policies and frameworks. In combination with policy processes for stakeholder participation, this creates a greater sense of ownership in the SUMP as all relevant stakeholders work towards their common vision of improved mobility and quality of life for all citizens. Further benefits for SUMP development include:

- promoting synergies and win-win solutions between sectors;
- reducing duplication in the policy-making process, thus saving time and money;
- promoting consistency between policies in different sectors and at different levels of decision making;
- improving achievement of goals and objectives;
- giving more focus to the achievement of a government's overall goals, thus supporting its overall steering role;
- helping to promote innovation in policy development and implementation;
- encouraging greater understanding of the effects of policies on other sectors;
- helping overcome financial constraints.

(United Nations Economic Commission for Europe, 2008)

**Vertical integration in the Netherlands**

By integrating its LEV policies with EU-level laws, the Netherlands case highlights the structural opportunities for synergies between EU-level laws and country-level laws. A combination of regulations and subsidies at the EU-level influenced the subsidies and taxes developed at the country level, which in turn has had a direct impact on the take-up of electro-mobility in Dutch cities. For example, the EU’s Air Quality Directive obliges local authorities to reduce their transport emissions, while its Life+ subsidy granted the Netherlands a total budget of 8.5 million Euros for environmental policies. The result in the Netherlands was the development of a package of financial incentives for electro-mobility. These included subsidies and tax exemptions for LEVs and taxes for higher emission vehicles. The Netherlands case shows that the country level can play a significant role in stimulating the take-up of sustainable transport measures at the local level.

**Horizontal integration in Lund**

Lund consulted with a variety of departments and sectors when creating its successful LundaMaTs plan, and later the LundaMaTs II plan. The city recognized the need for a holistic approach and actively facilitated cooperation within the municipality: in addition to carrying out a thorough participatory process with public and private stakeholders in the municipality and surrounding region, several cross-sectoral working groups were formed. Lund applied its participatory approach to policymaking inter-
nally, with representatives from the departments of Urban Planning, Transport Planning and Environmental Administration as well as the Mobility Office coming together to shape LundaMaTs.

**Territorial integration in Krakow**

Krakow’s Telebus is a prime example of a local authority thinking as a wider urban area. The city identified the need for several of its semi-independent suburban districts to be incorporated into the main public transport system, thereby providing residents with increased regional mobility. The Telebus replaced conventional public transport in these lower density areas. This tailor-made solution benefitted the suburban districts and helped the wider local authority and its public transport authority to optimise the allocation of resources in the area.

<table>
<thead>
<tr>
<th>Typical stakeholders groups involved in transport policies/ planning</th>
</tr>
</thead>
<tbody>
<tr>
<td>• <strong>Government/ authorities</strong>: e.g. politicians, higher-level authorities, neighbouring cities, traffic police, emergency services, project managers, professional staff</td>
</tr>
<tr>
<td>• <strong>Businesses/ operators</strong>: e.g. business associations, major employers, retailers, utility services</td>
</tr>
<tr>
<td>• <strong>Communities/ neighbourhoods</strong>: e.g. local community organisations and interest groups, cycle/ walking groups, citizens, landowners</td>
</tr>
<tr>
<td>• <strong>Others</strong>: e.g. research institutes and universities, experts from other cities</td>
</tr>
</tbody>
</table>

*See also Guidemaps, 2004; Rupprecht Consult, 2014*

### 5.2 Policy processes

Involving communities in planning is a fundamental duty of local authorities to improve decision-making and is also a requirement stipulated by EU directives and international conventions. Participation reflects the overall integration of citizens and groups in planning processes and policy decision-making and consequently their share of power. Transport planning frequently affects a great variety of different economic, public and social interest groups either positively or negatively, which often results in complex relationships between the city administration and the groups having a stake in the decisions made. Public involvement usually refers to processes created by the local authority which engage citizens in planning and decision-making so that the resulting policy effectively addresses their needs.

For both parties collaborative planning is still a new approach requiring a learning curve on both sides. However, various projects (e.g. CiViTAS ELAN) and also the SHAPE-IT case studies have shown that participation processes carried out for SUMP development and for measure option generation lead to plans and measure packages of higher quality. Participation processes empower the end-users of the transport system – the public – to steer the SUMP’s development, particularly in terms of its social sustainability. Together, local authorities and stakeholders from the community can generate new ideas and produce valuable insights into the challenges, opportunities and potential visions for policy-
making. In most cases, participation contributes to greater legitimacy and greater acceptance of mobility plans and transport measures as well as to better political credibility. As previously mentioned, it aims to create a sense of ownership among stakeholders and citizens, which becomes a crucial element when measure implementation starts.

In general (see e.g. Krause, 2013), participation aims at

- making decision making processes more transparent,
- raising mutual understanding between citizens and the administration,
- creating new partnerships between local actors and the local authority
- considering (new) ideas, concerns and everyday knowledge of the community,
- improving the knowledge basis and
- having a positive influence on planning processes as it increases acceptability.

### Participation techniques

#### Information giving and gathering

- Print materials (e.g. letters, posters, leaflets, brochures, fact sheets, newsletters)
- Briefings, presentations
- Study tours, field trips
- Information centres, exhibits
- Public meetings, town meetings
- Websites, online tools
- Surveys
- Focus groups
- Workshops (e.g. stakeholder conference, transport visioning event, Planning for Real method, Open Space events)

#### Interactive engagement

- Interviews
- Charettes
- Roundtables
- Citizen juries
- Technical working parties
- Advisory groups, study circles, task forces

*See also Rupprecht Consult, 2014*

---

**Public participation in the ‘Cycling Capital Munich’ campaign**

The ‘Radlhauptstadt’ campaign aims to market cycling to the public; clear targets and goals were set from the beginning on. Aside from the central goal to motivate Munich’s residents to more frequent bicycle use and to establish a cycling culture in the city, the campaign aims to enable public involvement and participation by, for example, organising public events which serve as fora for informal exchanges between stakeholders and members of the public. In addition, it contributes to meeting the city’s goal to increase cycling rates from 14% (2008) to 20% by 2015. Munich’s cycling campaign might not be a classic example for public participation; however, it illustrates that setting concrete goals and targets helps in going along the right path during policy implementation.

**Participation structure in Krakow’s Mobility Forum**

The Mobility Forum in Krakow is an inspiring approach to discuss a city’s hot topics on a regular basis. The regularity of the forum and its straightforward structure (introduction to the topic, presentation of
legal and planning issues, discussion with participants) help citizens and stakeholders to get used to collaborative planning approaches and might initiate a change of mind sets in the long-term. It also creates opportunities for up-scaling the forum format: the organisers have started to link the forum to seminars, workshops and conferences that take place in schools and university.

**Stockholm’s congestion charging scheme**

The congestion charging trial in Stockholm enabled citizens and also politicians to experience the effect of this large-scale measure which was very controversial in the public. The Stockholm trial showed citizens the policies’ positive effects on congestion levels, air and noise emissions as well as quality of life that manifested themselves even greater than predicted. However, the success of the trial period was hard work for all actors involved. The Stockholm City Council decided to conduct the trial without all circumstances having been settled, which was a risky decision which turned out to be the right one in their case. Among other factors, what made the trial work successfully was the commitment of individual key persons, professionalism shown by civil servants, generous funding, major extensions of public transport services (to provide alternatives to private car use) as well as time and political pressure.
6. The SHAPE-IT recommendations

<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Take your policy to the next level</strong></td>
<td>1.1 Investigate the related framework conditions held at higher levels (EU, national and regional) and analyse how your policy can help reach these goals.</td>
</tr>
</tbody>
</table>

*How does your policy or plan fit into higher-level frameworks and priorities of the EU, national, regional or local authority levels?*

No policy should be thought of in isolation. The success of a policy depends greatly on the broader context within which it is situated. Come to the table prepared by thinking critically about how to align your policy with broader aims and priorities at all levels of government, thereby creating synergies and avoiding conflicting policies.

A thorough review of regional, national and EU level policy frameworks related to your policy’s focus area should reveal opportunities for mutually beneficial action. The local level policy helps to meet the goals and objectives held at higher levels while also gaining political credibility and weight due to its affiliation with broader priorities. This often results in increased public support for the policy’s development and implementation.

At the local level, comprehensive plans, e.g. those relating to mobility, sustainable development or urban planning, provide a window of opportunity for local authorities to integrate the new policy idea into its broader, long-term vision for the city. Integrating a complementary transport policy can help encourage a more holistic vision for the city’s urban planning agenda. It also encourages the various related departments to work together to create a cohesive package of policies which balance and reinforce each other.

1.2 Identify the funding available from higher authority levels for local authorities which contribute to meeting their goals.

1.3 Analyse where the policy fits into themes at the local level, like a broader comprehensive plan, or a SUMP. When such a plan exists, tailor the policy according to its framework conditions.

1.4 Consult with the departments responsible for creating the local level comprehensive plan to see how the new policy could support it.

1.5 Regularly conduct a strategic outlook for the policy which ensures that it is embedded into future plans and frameworks which will be created. And if it’s a higher level policy, ensure that future policies are embedded into your framework.
<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2 Build bridges, not walls</strong></td>
<td><strong>2.1</strong> Conduct an analysis of mobility patterns in terms of feeder areas, destinations and heavily trafficked transport routes, with differentiation between modes used.</td>
</tr>
<tr>
<td>Where are the geographic boundaries of your policy and who are the neighbouring authorities which should be involved?</td>
<td><strong>2.2</strong> Agree on the appropriate spatial coverage of the policy based on the mobility pattern analysis and input from stakeholders.</td>
</tr>
<tr>
<td>Mobility does not stop at administrative boundaries; travel for work, errands and leisure often cross territories. Mobility patterns require a critical analysis, which may likely reveal that the policy or plan should be developed in partnership with neighbouring authorities so that it covers the entire agglomeration.</td>
<td><strong>2.3</strong> Analyse the obstacles and opportunities for cross-territory transport policies, particularly in cases where more than one transport authority serves the area.</td>
</tr>
<tr>
<td>Early in the planning stage, a thorough analysis should be conducted on the potential impacts of the policy on neighbouring authorities, as well as the potential benefits to the public if the policy were to be scaled up to a more regional level. These factors help to identify the most suitable scope and scale of the policy. Ultimately, it results in policies which seamlessly address mobility challenges along citizens’ entire multimodal journey from point A to point B.</td>
<td><strong>2.4</strong> Identify all relevant actors and stakeholders from neighbouring authorities and establish regular communication about cross-territorial transport issues.</td>
</tr>
<tr>
<td>In order to fully realise the benefits of a SUMP, cooperating authorities must build links and collaborative working relationships between relevant departments. Together with direct participation from citizens and stakeholders, the authorities should agree on a common sustainable mobility vision for the region and proceed with developing measure options for their policy packages.</td>
<td><strong>2.5</strong> Create a cross-territorial planning team and agree on the division of responsibilities for the policy’s development.</td>
</tr>
</tbody>
</table>
3 Break out of the box

Which departments’ work either has an impact on the policy or is impacted by the policy? How can other departments contribute their expertise for the policy’s development?

Some transport problems may not always originate from a transport-related issue. Likewise, some transport solutions may have unforeseen consequences that extend beyond the transport department’s primary focal areas. This highlights the need for local authorities to engage in a holistic approach which can better inform the policy’s development.

Cities can benefit from a more proactive approach which involves a wider spectrum of departments during the transport policy’s development. The first – and often the biggest – step is for specialists and political leaders at the local authority level to be open to receiving input and knowledge from departments outside of the transport and urban planning departments.

For some local authorities, this openness may already be part of the institutional structures and practices. If it is not yet an integral part of departments’ day-to-day work, however, it will require a conscious effort to get to that point. Working routines within and between departments may need to change in order to ensure opportunities for regular collaboration. The result is a sustainable transport policy or plan which more effectively addresses the environmental, social and economic challenges it set out to resolve, while minimising the likelihood of additional externalities emerging.

<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 Break out of the box</td>
<td>3.1 Identify the other departments within the local authority which are affected by or could affect the policy’s development and implementation.</td>
</tr>
<tr>
<td></td>
<td>3.2 Analyse the existing connections and working relationships between related departments and identify any missing connections.</td>
</tr>
<tr>
<td></td>
<td>3.3 Group related departments into working groups with a clearly defined mandate related to the policy and assign a role to each member of the group(s).</td>
</tr>
<tr>
<td></td>
<td>3.4 Create mechanisms for accountability, e.g. obligating departments to consult with other departments when a proposed policy may overlap with or have impacts on existing policies.</td>
</tr>
</tbody>
</table>
### Recommendations

<table>
<thead>
<tr>
<th></th>
<th>Find the sweet spot between policy measures</th>
</tr>
</thead>
</table>
| 4 | *How can the SUMP shape mobility patterns towards sustainability through measures which promote a balance between modes?*

The linkages between modes should always be considered when developing a policy – not just in the short and medium term, but also in relation to the city’s long-term vision. This requires mobility and transport planning to be viewed as a shared policy domain in order to most effectively serve the different needs of society: economic, social and environmental (Rupprecht Consult, 2014).

After conducting an analysis of the city’s transport challenges, local authorities should start developing the policy by generating a broad range of measure options and analysing their impact so that the transport measure(s) with the best cost/benefit ratio can be found. This process includes looking at all other modes of transport and creating appropriate packages of measures, as no one policy measure is sufficient on its own.

Demand management measures such as congestion charging and parking pricing – often referred to as “push” measures – tend to be more successful and receive a more positive reaction from the public when combined with incentivising measures, or measures which “pull” people towards more sustainable modes. Push and pull measures which mutually reinforce each other tend to have a multiplier effect: both measures reduce the barriers for implementing the other through the creation of co-benefits, thereby helping local authorities to meet their broader transport goals more efficiently.

<table>
<thead>
<tr>
<th></th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>Generate a broad range of measure options and develop scenarios to analyse their impact on mobility patterns as well as related economic, social and environmental concerns.</td>
</tr>
<tr>
<td>4.2</td>
<td>Communicate scenarios to stakeholders and request their feedback for further development of the measures.</td>
</tr>
<tr>
<td>4.3</td>
<td>Develop complementary and mutually reinforcing packages of measures which together contribute to achieving the mobility vision, objectives and targets.</td>
</tr>
<tr>
<td>4.4</td>
<td>When “push” measures are on the table (e.g. congestion charge), pair them with “pull” measures (e.g. increased access to and incentives for public transport use) which complement and reinforce each other.</td>
</tr>
<tr>
<td>4.5</td>
<td>Re-evaluate the policy at regular intervals through internal and external (participatory) reviews to ensure that the measures are on track for realising the vision.</td>
</tr>
<tr>
<td>Recommendations</td>
<td>Actions</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>5 Divide the task and multiply the success</td>
<td>5.1 Identify a lead organisation with the authority to lead and the capacity to make decisions that has political and citizen support. Make one department responsible but explicitly task them with consulting with the full range of stakeholders.</td>
</tr>
<tr>
<td>What organisations are involved in policy development and implementation?</td>
<td>5.2 Create a planning team with members from different backgrounds to coordinate the policy process and, if required, establish multiple working groups.</td>
</tr>
<tr>
<td>Who is the leading department? Can you use existing management structures, or do you need to create new ways of institutional cooperation?</td>
<td>5.3 Draft an overall work plan for the planning process, indicating all necessary milestones and ensuring political approval. Ideally, agree on management procedures and tasks also with stakeholders involved in planning tasks.</td>
</tr>
<tr>
<td>The success of a policy’s integration and implementation depends greatly on the establishment of clearly defined, complementary roles early in the process. Leadership within a multi-stakeholder planning process is essential and it is important for those involved to know who does what and when. Defining clear roles for cooperation and interaction reduces the number of barriers encountered, prevents the development of conflicting policies and makes optimum use of the available resources.</td>
<td>5.4 Clarify and formalise the roles of institutional actors, their competence areas and resource contributions. Set up common cooperation structures for the planning and implementation process.</td>
</tr>
<tr>
<td>Cooperation is required at geographic, political, administrative and interdepartmental levels. Due to its complexity, it is helpful to structure and formalise cooperation by e.g. making legal arrangements or formal contracts of responsibility, by mapping competence areas and working with organisational charts/organograms, by defining functional relations, or by defining rules and procedures for institutional engagement. Avoid inflexible structures as project management and cooperation structures need to be responsive to changing circumstances.</td>
<td>5.5 Assess risks and plan for relevant contingencies. Devise a strategy for risk and quality management.</td>
</tr>
<tr>
<td>Remember that collaborative approaches to policy development require certain skills and capacities which, if not already part of the local authority’s institutional structures and practices, must be actively developed and maintained through capacity training workshops. The goal ideally should be to build capacities for inter-sectoral cooperation into daily workflows even outside of periodic group meetings.</td>
<td>5.6 If needed, provide institutional capacity building workshops for collaborative policy development to improve cooperation and management skills within the administration.</td>
</tr>
</tbody>
</table>
6.1 Recommendations 1-5: Examples

1 Take your policy to the next level

The Netherlands’ integration of LEV laws with EU laws In an effort to stimulate the take-up of electro-mobility at the local level, the Netherlands aligned its country-level policies with EU-level laws and incentives. The EU’s Air Quality Directive obliges local authorities to reduce their transport emissions, while its Life+ subsidy granted the Netherlands a total budget of 8.5 million Euros for environmental policies. The result in the Netherlands was the development of a package of incentives which includes subsidies and tax exemptions for LEVs and taxes for higher emission vehicles.

2 Build bridges, not walls

Joint Local Transport Plans in West Yorkshire

Local Transport Plans (LTPs), which are required by law in England, are quite flexible for taking into account commuter flows and other travel patterns because they do not need to follow administrative boundaries. West Yorkshire’s Integrated Transport Authority and West Yorkshire Passenger Transport Executive produced their LTP together with five other West Yorkshire District Councils. The highway, land use and economy departments from all five districts advise the Councils on the LTP and work together to reflect the regional geographical and economic priorities.

3 Break out of the box

Munich’s Transport Development Plan

When developing its TDP, Munich’s Department of Urban Planning and Building Regulation consulted with any departments affecting or affected by transport development in order to gain further insights into the plan’s situation within the broader city context. Munich fostered policy integration by creating a process which obliged the main responsible department to analyse how the policy impacts and is impacted by other departments, and to invite them into the policy’s development process to contribute their views and knowledge of related policies.
4 Find the sweet spot between policy measures

**Lille’s Plan de déplacements**

Lille’s PDU is a comprehensive document comprised of six axes which together promote a balance between sustainable modes. In addition to investing in public transport, the agglomeration of Lille will redistribute road space in favour of sustainable modes, particularly in terms of walking and cycling. Lille will also develop micro-PDUs for certain neighbourhoods. Further, specific measures are in place to ensure that the environment and the health and safety of citizens are protected. *urbains (PDU)*

Photo: [https://www.flickr.com/photos/8086087@N08/12991441393](https://www.flickr.com/photos/8086087@N08/12991441393)

5 Divide the task and multiply the success

**Lund’s comprehensive transport plan, LundaMaTs**

For the development of LundaMaTs, Lund created a primary responsible working group (Lund’s Municipal Assembly, Technical Services Committee and Building Committee) which was supported by a political steering group (Transport Committee and Planning Council) and an expert group (representatives from urban planning, transport planning, and environmental administration). The clearly configured roles for interdepartmental cooperation contributed to LundaMaTs’ success.

Photo: [https://www.flickr.com/photos/sigfridlundberg/7458981256](https://www.flickr.com/photos/sigfridlundberg/7458981256)
<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>6 Lay the groundwork for participation</strong></td>
<td><strong>6.1</strong> Prepare a communication and participation strategy that defines when and how stakeholders will be involved, the involvement tools to be used, as well as timing, budget and documentation requirements. Agree formally on the document within the administration and, if possible, with your primary stakeholders.</td>
</tr>
<tr>
<td>Where are opportunities to involve citizens and stakeholders in the policy planning process and how will the participation process be managed?</td>
<td><strong>6.2</strong> Define leadership, responsibilities and dialogue structures for the administrative process of organising and carrying out the participation process.</td>
</tr>
<tr>
<td>Preparing well is one of the keys to success. Participation requires meticulous planning as well as a common understanding of the scope of participatory activities and the strategic approach behind them. The organising departments need to agree on the design of their participation scheme and its aims, objectives and overarching principles. Developing a dedicated participation strategy helps to formalise the participation approach and ensures citizen and stakeholder involvement throughout all relevant planning and implementation phases.</td>
<td><strong>6.3</strong> Establish a participation team that will work with stakeholders and the public and identify appropriate team members.</td>
</tr>
<tr>
<td>Collaborative planning is closely connected to administrative processes and a local authority’s public management procedures. Dialogue structures and process organisation for participation need to be set up, and leadership and the allocation of responsibilities need to be agreed on. It is the practical, logistical questions that are often marginalised but which are highly important for the management of the process and should not be neglected.</td>
<td><strong>6.4</strong> Review skills and participation competences within the administration. Assess whether capacity building, in-house training or external support are needed.</td>
</tr>
<tr>
<td>Improving sustainable urban mobility planning through participation requires creating a transparent planning culture that is based on direct and honest communication and political credibility. High-level commitment, e.g. by Mayors, Councillors, or Head of Departments, demonstrates citizens and stakeholders that their views, knowledge and concerns will be taken into account. Make sure to gain sufficient support from local decision-makers to carry out a participation scheme and to integrate results into the technical planning process.</td>
<td><strong>6.5</strong> Build-up political commitment and engagement for participation and find key politicians or persons in authority to assume leadership for your policy’s participation process.</td>
</tr>
<tr>
<td><strong>6.6</strong> Gain and keep credibility. Create a transparent planning culture and strengthen the vitality of civil society.</td>
<td><strong>6.7</strong></td>
</tr>
</tbody>
</table>
### Scout out your stakeholders

**What groups, organisations and people are likely to have an interest in your policy or plan and might be affected by it? Who are the key stakeholders you need to approach?**

Transport policies are often the subject of controversial discussion within the urban community and impact a wide range of actors. Opening up a highly specialised and complex subject area like transport planning requires a thorough identification of stakeholders. You might have a long history of cooperation with some actors (e.g. public transport providers) but also need to be forward thinking and consider potential new stakeholders that might have an interest today or may have an interest in future.

Once stakeholders are identified, you should analyse actor constellations and sort them according to their interests and attitudes towards the policy to get a clear picture of conflicts and potential coalitions. Building alliances with environmental and sustainable mobility organisations, powerful private sector actors or political parties helps you to raise awareness and to gain stronger acceptance for the planned policy. It is beneficial to also actively approach those (potentially) against the measure in an early phase of planning. Offering them opportunities to express their opinions and concerns is a key aspect when trying to jointly find a solution that is acceptable for all actors involved. It might also make it possible to turn around opinions and win them as supporters.

Further, it is always worth examining whether a key local figure might be a policy’s ambassador (e.g. a politician, a city administration’s public official, or a devoted stakeholder) that raises awareness for sustainable mobility and can speed up the process of planning and implementing your policy.

<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>7 Scout out your stakeholders</strong></td>
<td>7.1 Brainstorm a list of relevant stakeholders. Think about all groups, organisations and people that are likely to affect your policy or be affected by it.</td>
</tr>
<tr>
<td><strong>What groups, organisations and people are likely to have an interest in your policy or plan and might be affected by it? Who are the key stakeholders you need to approach?</strong></td>
<td>7.2 Map out your stakeholders in a grid showing their interest, support, power, or attitude. Analyse actor constellations and identify synergies and conflicts.</td>
</tr>
<tr>
<td>Transport policies are often the subject of controversial discussion within the urban community and impact a wide range of actors. Opening up a highly specialised and complex subject area like transport planning requires a thorough identification of stakeholders. You might have a long history of cooperation with some actors (e.g. public transport providers) but also need to be forward thinking and consider potential new stakeholders that might have an interest today or may have an interest in future.</td>
<td>7.3 Prioritise your stakeholders according to their impact on the policy and the impact the policy will have on them. Balance your stakeholders and do not only pay attention to those with the loudest voice but also rather silent actors.</td>
</tr>
<tr>
<td>Once stakeholders are identified, you should analyse actor constellations and sort them according to their interests and attitudes towards the policy to get a clear picture of conflicts and potential coalitions. Building alliances with environmental and sustainable mobility organisations, powerful private sector actors or political parties helps you to raise awareness and to gain stronger acceptance for the planned policy. It is beneficial to also actively approach those (potentially) against the measure in an early phase of planning. Offering them opportunities to express their opinions and concerns is a key aspect when trying to jointly find a solution that is acceptable for all actors involved. It might also make it possible to turn around opinions and win them as supporters.</td>
<td>7.4 Find out about the stakeholders’ views. Choose an appropriate involvement technique to consult them about your policy.</td>
</tr>
<tr>
<td>Further, it is always worth examining whether a key local figure might be a policy’s ambassador (e.g. a politician, a city administration’s public official, or a devoted stakeholder) that raises awareness for sustainable mobility and can speed up the process of planning and implementing your policy.</td>
<td>7.5 Build alliances and engage early with policy supporters. Find key proponents to raise awareness for your policy and to drive the planning and implementation process.</td>
</tr>
<tr>
<td></td>
<td>7.6 Re-assess stakeholder constellations on a regular basis to track changes in attitudes, e.g. when the policy becomes more concrete, and to react to changing circumstances.</td>
</tr>
</tbody>
</table>
### Recommendations

<table>
<thead>
<tr>
<th><strong>8 Add stakeholders’ views into the mix</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>How will your stakeholders and the public contribute to the policy development and implementation process? How intense will their involvement be and how will you incorporate their input?</strong></td>
</tr>
</tbody>
</table>

Citizen and stakeholder involvement needs to form an integral part of the decision-making process. It is crucial to clearly agree on how the results of a participation process will be taken into account in the ongoing technical planning process and how you will come to joint, accepted decisions.

There is a great variety of involvement tools and techniques ranging from tools for information giving and gathering (e.g. letters, posters, leaflets and brochures, newsletters, telephone techniques, web-based tools, surveys) to interactive engagement (e.g. exhibitions, information centres, public meetings, focus groups, transport visioning workshops, citizen advisory committees, citizen juries, stakeholder conferences, planning for real events). Giving citizens and stakeholders as much decision-making power as possible is generally favourable. Have the courage to involve in decision-taking. However, consider carefully at what level decisions can be taken by a mix of actors and/or citizens (e.g. strategic decisions) and when decisions should be made by planners and experts (e.g. on technical issues).

Don’t give up when your participation activities do not turn out as successful as you hoped. It is a social learning process for both the leading authority responsible for participation and the participation’s target groups. Establishing participation routines can help those involved to familiarise themselves with participatory planning. Apply participation instruments repeatedly and hold recurrent events and procedures. Routines and clear structures allow for continuous evaluation of the participation procedures thus improving the process and fine-tuning the involvement actions. Process evaluation also offers the opportunity to expand the scope of participatory planning step-by-step.

---

### Actions

| **8.1** Determine the purpose of your participation process as well as the level and intensity of involvement (e.g. inform, consult, involve, collaborate, or empower⁴). |
| **8.2** Select participation methods and techniques that are most appropriate for your policy, meet your participation objectives and match the needs and interests of the interested stakeholders. |
| **8.3** Use several varying activities and tools to reach different groups and people. |
| **8.4** Agree beforehand how participation results will be taken into account in the subsequent technical planning process. Think about mechanisms for recording and analysing input. |
| **8.5** Carry out participatory on a regular basis and establish participation routines. Apply involvement techniques repeatedly and fine-tune these step-by-step. |
| **8.6** Assign roles and responsibilities for policy implementation to stakeholders already in the participation process to prepare them for their cooperation and support role. |
| **8.7** Work with key stakeholders on a permanent basis and establish thematic working groups that meet regularly. |
| **8.8** Evaluate the overall effectiveness and outcomes of the participation process. Share the lessons learned to build capacity in your local authority and beyond. |

---

⁴ Spectrum of public involvement developed by the International Association for Public Participation [www.iap2.org.au](http://www.iap2.org.au)
<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>9 Take stock of your potential private sector partners</strong></td>
<td>9.1 Identify transport policies and schemes with potential for private sector involvement. Examine whether existing policies can be scaled up with private sector support.</td>
</tr>
<tr>
<td>Where are opportunities to mobilise private sector partners in order to jointly tackle local environmental, economic and social mobility challenges?</td>
<td>9.2 Approach private sector actors early in the planning process to increase chances for commitment and joint implementation.</td>
</tr>
<tr>
<td>You’re not alone. Sustainable mobility is shared responsibility, especially in times of austerity. Mobilise private sector players, convince them of the benefits of sustainable mobility (and its co-benefits!) and build partnerships. There are various opportunities to involve local businesses and industry actors in sustainable transport policies such as mobility management for companies, awareness raising and campaigning, consumer behaviour, and actual measure implementation (e.g. in freight transport, electric mobility). The private sector can also help bridging resource gaps in investment and shifting investments from carbon-intensive transport toward sustainable mobility.</td>
<td>9.3 Listen to the companies’ needs and take these into account in policy design. Establish partnerships and see yourself as a supportive public sector facilitator.</td>
</tr>
<tr>
<td>Approach private sector actors and convince them to engage in policy roll-out. It contributes to community empowerment and stimulating local commitment, but is also an instrument to draw on the private sector’s expertise and experience in the policy’s topic. Cooperation will also generate various benefits for the businesses involved.</td>
<td>9.4 If possible, provide financial incentives for businesses and their employees to switch to sustainable transport and low-emission vehicles.</td>
</tr>
<tr>
<td>Recommendations</td>
<td>Actions</td>
</tr>
<tr>
<td>-----------------</td>
<td>---------</td>
</tr>
<tr>
<td><strong>10 Shout it from the rooftops</strong></td>
<td><strong>10.1</strong> Define the target audiences at which your policy is aimed at. Decide on the overall marketing approach (e.g. mass marketing, concentrated marketing or niche-marketing) to achieve your marketing objectives. Build a brand around your policy.</td>
</tr>
<tr>
<td><em>How will communication and marketing activities complement the policy planning and implementation process?</em></td>
<td><strong>10.2</strong> Create thought-provoking marketing messages that focus on solutions and outcomes. Make them stand-out in nowadays information overload.</td>
</tr>
<tr>
<td>You have designed a first-rate sustainable urban mobility policy and all key actors are ready to kick-off implementation. But have you also considered developing a communication and marketing strategy to spread the news? The sustainable urban transport world, often public sector based, can actually take lessons from private sector’s marketing efforts. Research has shown that changing travel behaviour towards more environment-friendly transport modes does not happen automatically but must be initiated, as a first step, by awareness raising (and making people understand transport(-related) problems) and information campaigning.</td>
<td><strong>10.3</strong> Select a mix of communication channels and promotional tools to maximise outreach.</td>
</tr>
<tr>
<td>The way how mobility measures are branded and marketed and how key messages and results are communicated to different audiences has a significant influence on the level of public acceptance. The key is to market a policy’s positive impacts on individuals, a city and wider society. Make marketing and communication an integral part of policy planning and implementation. Inform the public pro-actively about the planning process, its progress and outcomes, and highlight milestones and important steps of measure implementation. Establish good relations with the media to win them as policy supporters and ensure continuous media coverage.</td>
<td><strong>10.4</strong> Work closely with the media to gain their support and to increase the visibility of your policy. Look also beyond local media and approach regional, national and, if possible, European media to disseminate your activities and results more widely.</td>
</tr>
<tr>
<td><strong>10.5</strong> Take the plunge and start social media marketing. Assess also the potential for web-based communication and participation tools (e.g. interactive online mapping, voting, discussion fora).</td>
<td><strong>10.6</strong></td>
</tr>
</tbody>
</table>
6.2 Recommendations 5-10: Examples

6 Lay the groundwork for participation

**Aberdeen’s Communication Plan for SUMP development**

The City of Aberdeen developed a comprehensive Communication Plan for SUMP development. The plan “indicates the appropriate stages at which stakeholders could be consulted, frequency, method and format of communication with stakeholders and citizens” (Do the Right Mix/ City of Aberdeen, 2012). They also created a Project Management Team responsible for providing guidance and deciding on options for inclusion in the SUMP. Aberdeen won the 2012 SUMP Award for its well-planned participation process (for more information, see Do the Right Mix/ City of Aberdeen, 2012).

7 Scout out your stakeholders

**Dresden’s SUMP Round Table**

The City of Dresden initiated a stakeholder round table for its “Sustainable Urban Mobility Plan 2025+”. After a thorough identification of stakeholders, several committees were established, e.g. the Steering Committee led by the mayor and including heads of department, City of Dresden officials, councillors, project managers and round table facilitators. At the round table a large number of actors are involved such as transport providers and associations, business associations, city council groups and others. A scientific advisory board forms another important advising actor. Also regions and neighbouring communities as well as citizens were involved. The round table is moderated by an experienced external moderator, which has been essential for successful discussions. All committees, groups and boards are in a continuous dialogue process (CH4LLENGE, 2014).

8 Add stakeholders’ views into the mix

**Referendum on environmental charging scheme (Stockholm, Milan)**

After a seven-month full-scale trial period, Stockholm residents voted on the long-term implementation of the congestion charge, thus giving decision-making power to the citizens. It won with a narrow margin of 51% - a result that can be questioned; however, the congestion charging scheme achieved an even stronger congestion reduction impact than initially expected and is now experienced positively. The City of Milan also conducted a referendum on congestion charging which revealed that almost 80% of the city’s inhabitants were in favour of the scheme, with concerns about air pollution being a major driver.
9 Take stock of your potential private sector partners

*The Utrecht Electric Programme*

The Utrecht Electric Programme aims to foster electric mobility for making motorised transport as clean as possible. Aside from charging infrastructure development and the electrification of the municipal fleet, one of the main ambitions is to expand electric transport through cooperation with businesses and citizens. Local partnerships are created at the U15 company platform where various companies work together to solve (e-)mobility problems in and around Utrecht. Businesses are encouraged through financial incentives to become key players in the roll-out of electric transport and the reduction of their car fleets’ CO₂ emissions. Further, the local government and the Ministry of Economic Affairs and the Ministry of Infrastructure and Environment have signed the ‘Green Deal Utrecht Energy’ which supports companies in implementing sustainable mobility and energy measures to reduce their CO₂ footprint.

10 Shout it from the rooftops

*Munich’s cycling campaign ‘Cycling Capital Munich’*

Munich’s cycling campaign can be considered a marketing measure in itself including brand development (development of slogans, logo, branded material) and various campaign activities (e.g. events allowing exclusive use of road infrastructure for bicycles, city statute demanding and facilitating construction of bicycle parking facilities). The media was not always a straightforward communication partner with some criticising high public spending for this soft measure and ridiculing the ‘safety joker’, a small part of the campaign. However, the Mayor of Munich and his second deputy Mayor supported the campaign to the hilt, were able to engage with the media and achieved positive reporting in the end.
7. Conclusion
In the past decades, local authorities have been implementing policies and measures that encourage a shift towards more sustainable transport modes in response to growing concerns about air pollutants, greenhouse gas emissions, traffic congestion, accessibility and public health. Some of these have been met with great success while others encountered challenges. Without doubt, transport policy development and implementation are complex processes. Their success often depends on a great variety of local factors that all interrelate. Policy integration and interaction can have significant effects on the effectiveness of policies, although quantifying these remains difficult, while collaborative planning can have a positive influence on a policy’s acceptance and implementation.

Successful policy integration requires actors across departments and sectors to work together to create synergies between policies horizontally (across departments within the local authority), vertically (at the regional, country and EU-levels) and territorially (between neighbouring authorities). Ultimately, well-integrated sustainable urban mobility policies are the result of departments’ joint contribution to reaching sustainability goals. However, one single policy cannot make it alone; local authorities should think in terms of related policies and policy packages to reach broader sustainability goals.

Local authorities also need to react to the call for participation that has emerged over the past decade(s) so that citizens and stakeholders, actually being the target groups of urban mobility, are heard and that their views and opinions are taken into account. At the same time, participatory planning processes can educate citizens and stakeholders on how to contribute their knowledge and experiences to mobility planning and how to successfully contribute to democratic decision-making in general. Local authorities can develop more effective and (cost) efficient mobility plans and projects by involving citizens and stakeholders from the initial to the final planning stages and by identifying controversial issues before a decision is made. Participation can prevent opposition and the failure of a plan by bringing the local stakeholders together and reaching agreement on how to progress. Thus delays and costs can be reduced in both the planning and implementation phases. Last but not least, participation frequently contributes to a sense of ownership of decisions and measures, and creates a greater sense of responsibility among politicians, planners and citizens and stakeholders.

Policy integration and participatory processes are integral parts of the new concept of Sustainable Urban Mobility Plans which “places particular emphasis on the involvement of citizens and stakeholders, the coordination of policies between sectors [...], between authority levels and between neighbouring authorities” (Rupprecht Consult, 2014). The main characteristics of the SUMP concept (e.g. long-term vision, clear implementation plan, balanced and integrated development of all transport modes, regular monitoring, review and reporting) and its specifications for policy integration and participation can be applied to both the actual development of comprehensive, strategic mobility plans and also to the development of single measures and measure packages. In order to take steps towards changing their local environments and transport systems towards sustainable mobility, local authorities also need to look inward to redevelop their approach towards institutional collaboration and planning processes. The SHAPE-IT case study analyses and recommendations mirror the importance of the transitional change required in local authorities to move away from traditional transport planning towards sustainable urban mobility planning, which contributes to creating mobility policies that are more sustainable and transport planning that is better integrated and more effective.
Policy integration - success factors

**Bringing the policy into line with broader priorities:**
1. Alignment of the local policy with regional, national and EU-level frameworks and goals
2. Integration of the policy into a broader local-level plan

**Supportive environment at the local level:**
3. Openness to the take-up of solutions that originate from departments not directly involved with transport

**Striking a balance in the policy measure(s):**
4. Policies that encourage complementary transport modes
5. Creating complementary push and pull measures

**Facilitating integration through cooperation:**
6. Clearly defined roles for cooperation across departments and for interaction at various scales of government
7. Capacity building for collaborative policy development
8. Thinking, planning and acting as a wider urban area

**Ensuring accountability during implementation and follow-through:**
9. Policy implementation plan which ensures continued accountability across departments
10. Re-evaluation of the policy at regular intervals

Policy processes/ participatory planning - success factors

**Building political commitment for participation**
1. Political commitment and engagement in participatory processes

**Thorough planning and preparation of stakeholder and citizen involvement**
2. Development of a communication and participation strategy
3. Clear institutional roles and leadership for participation
4. Participation routines and clear structures for active involvement

**Achieving a sound basis for participatory planning**
5. Thorough identification of stakeholders and analysis of their constellations
6. Early engagement with local supporters and potential veto players
7. Appropriate integration with decision-making

**Strategic thinking and planning – making planning processes more efficient and effective**
8. Clear management and leadership structures for policy development and implementation

**Realising sustainable mobility through support and cooperation**
9. Capitalising on support from key proponents
10. Local partnerships and cooperation with private sector actors

**Demonstrating benefits and generating momentum for sustainable mobility**
11. Test period for measures – a real-life “look and feel” for citizens and stakeholders
12. Communicating the message – branding, marketing and working with the media

*The SHAPE-IT Success Factors*

There is no one-size-fits-all solution for policy integration and participation. Policy mixes and policy design need to be tailored to the local context conditions, transport problems and urban mobility objectives. Based on the case study analyses, however, SHAPE-IT was able to identify several transferable success factors (see above) for making policies, their integration into frameworks as well planning pro-
cesses and participatory elements more effective. Giving close consideration to these in the early stages of policy planning can contribute considerably to a sustainable mobility’s success.

If you want to know more about the SUMP Policy Integration and SUMP Process and Participation case studies, or about the SHAPE-IT local case examples, visit www.shape-it-project.eu or www.transport-era.net!

References


