



# Institutional cooperation

Working jointly with institutional partners in the context of Sustainable Urban Mobility Plans





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# Planning for sustainable urban mobility in Europe



Dear reader,

The European Commission is committed to help national, regional and local authorities develop sustainable, people-focused urban mobility and have European actors take the global lead in this field.

Planning sustainable and effective transport systems for Europe is fundamental to reducing our impact on climate, and contributing to the emission reduction goals adopted in the 2015 Paris Agreement. More strategic and integrated planning approaches are required to transform the existing energy- and carbon-intensive transport systems into sustainable mobility networks and help reaching climate-neutrality before the end of the century. Providing effective, inclusive and climate-friendly urban transport infrastructure is crucial for achieving functioning, competitive cities in Europe and ensuring their resilience in the long-term.

Over the past several years, the European Commission has established a sound policy basis for the development of Sustainable Urban Mobility Plans with the Transport White Paper, Action Plan on Urban Mobility, and most recently, the Urban Mobility Package. We are aware of the demanding nature of sustainable urban mobility planning and planning authorities' need for further, practical support in integrating their long-term thinking into strategic transport planning frameworks.

Therefore, it is my great pleasure to present four freshly developed publications, which provide comprehensive guidance on four of the core pillars of sustainable urban mobility planning: actively engaging people and stakeholders in the SUMP development and implementation process; encouraging cooperation among institutional actors and addressing transport's interconnection with other aspects of urban life; selecting the most effective packages of measures from a wide range of sustainable mobility policies available; and finally, strengthening plan delivery through comprehensive monitoring and evaluation of SUMP measures and processes.

Cities across Europe are subject to a variety of contextual differences and therefore facing unique local challenges – what unites them is the overall aim to take sound and sustainable policy decisions that create vibrant urban landscapes, promote economic growth, foster social and cultural exchange, and offer residents the highest possible quality of life. Urban mobility is one of the cornerstones to achieve these aims. It will require joint efforts over the next years to pave the way for better and more integrated mobility planning in Europe. At all levels we will need to act together to steadily improve our transport systems, mitigate adverse impacts of transport and advance the environmental, social, and economic vitality of urban areas across Europe.

It is great to see you, as reader of these manuals, being part of our team and I am convinced that, together, we can deliver!

**Violeta Bulc**

European Commissioner for Mobility and Transport  
March 2016



# 1 Introduction

## 1.1 About the manual

There is a strong interest from planners and decision-makers in applying the SUMP concept and initiating a paradigm shift towards sustainable urban mobility development.

A set of four manuals has been designed to support mobility practitioners in improving local transport planning processes and conducting quality SUMP preparation. They are targeted at transport planners who need to develop a SUMP and are looking for methods and approaches most appropriate in their given context.

Focussing on the planning process, the four manuals are dedicated to providing practical advice underpinned by city examples on: cooperating with institutional stakeholders; engaging the public in the SUMP development process; selecting measures and measure packages; and carrying out monitoring and evaluation tasks.

The manuals focus on the most relevant and challenging elements of each task. There is not only one 'correct' method, but a variety of approaches due to the different contextual conditions in which planning processes are taking place. In this sense this manual is not prescriptive but presents a wide range of solutions for the development of a Sustainable Urban Mobility Plan under different local and national planning frameworks.

As there are various approaches to improving sustainable urban mobility planning, the challenge addressed in this manual should always be considered in the context of the other three challenges detailed in the other supporting manuals.

The first part of the manual gives information on the understanding of the challenge in the context of sustainable urban mobility planning, its relevance in the SUMP development process and the barriers planning authorities face when involving institutional

stakeholders in transport planning. The second and core part of the manual presents recommendations, methods and approaches as well as local case study examples of how best to tackle identified local "hot topics". The final section directs the reader to more interesting material for further reference.

We are convinced that a high-quality SUMP process increases the probability of high-quality transport planning solutions. This manual should contribute to more effective and efficient integrated planning processes, creating the basis for the transition to a more sustainable transport system in European cities.

## 1.2 Planning for sustainable urban mobility

A Sustainable Urban Mobility Plan (SUMP) is a strategic planning instrument for local authorities, fostering the balanced development and integration of all transport modes while encouraging a shift towards more sustainable modes. A Sustainable Urban Mobility Plan aims to solve urban transport problems and contribute to reaching local and higher-level objectives for environmental, social and economic development.

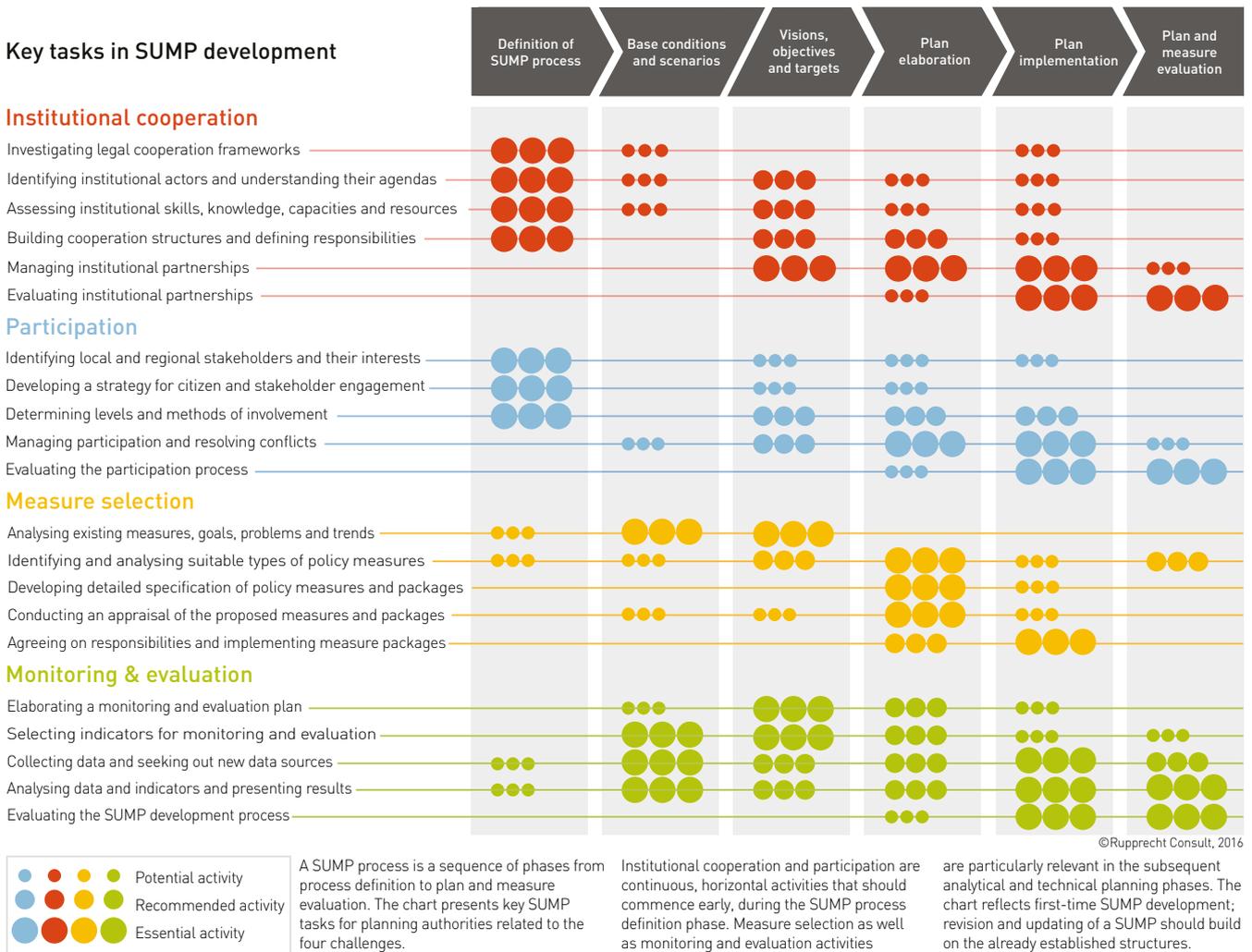
Developing a Sustainable Urban Mobility Plan is a complex, integrated planning process requiring intensive cooperation, knowledge exchange and consultation between planners, politicians, institutions, local as well as regional actors and citizens. At all levels of government, activities have been deployed to support the concept, but several challenges currently inhibit the Europe-wide uptake of sustainable urban mobility planning. Making budgets available and addressing infrastructure issues are especially difficult in times of economic austerity. As a result, cities often face multidimensional challenges in delivering sustainable urban mobility planning. At the same time, there is no one-size-fits-all solution to increasing the number of SUMPs prepared, due to the great variety of local planning contextual conditions in Europe.



The development of a Sustainable Urban Mobility Plan is a multi-faceted planning process that involves various steps and activities, as for example presented in the SUMP cycle (see Rupprecht Consult 2014, p. 15). The graph below illustrates that all planning activities of such a process are associated with cooperation, participation, measure selection as well as monitoring and evaluation. Some of these activities relate to specific

phases of the plan development process, while others might be carried out once and then run continuously throughout the process, such as the identification of local and regional actors. Overall, practitioners need to be aware of the four challenges in order to conduct an effective and efficient SUMP process with the aim of achieving a high-quality SUMP.

**Figure 1: Key tasks in the SUMP development process**  
**Source: Rupprecht Consult, 2016**





## 1.3 Institutional cooperation – the challenge in a nutshell

The lack of clear integration between sectors and disciplines can be a significant barrier to decision-making and, by extension, to Sustainable Urban Mobility Plan development. With a wide variety of institutions, it will be ever more imperative for planners and decision-makers to balance these diverse challenges and needs, and translate these elements into effective policy decisions. That is why institutional cooperation - as a process - is absolutely necessary and needs to be carried out carefully.

Institutional cooperation in the context of SUMP can be understood as the pragmatic cooperation with actors and the take up of ideas, and policies that help to deliver a SUMP that is accepted and effective in practical and financial terms. Without institutional cooperation on SUMP objectives and the means of achieving them, a SUMP will be partial and deliver fewer benefits.

Institutional cooperation comprises collaboration and joint working within and across organisations in order to develop and implement a SUMP. Such cooperation requires the sharing of objectives, knowledge, resources, powers or consent between several actors. However, the number and the type of stakeholders involved in SUMP processes vary widely in Europe according to national and legal frameworks and the local situation. Nevertheless, the preparation and the implementation of a SUMP is always the results of a collaborative working process.

## 1.4 Key recommendations for institutional cooperation

The manual intends to give practitioners the advice they need to carry out institutional cooperation successfully. Below you will find the key recommendations which are described in the manual in more detail:

1. The planning authority has to understand the national (or regional) legal environment in terms of institutional cooperation that applies to its SUMP and to carefully respect the legal requirements (3.1.1).
2. Ensure that sustainability and mobility are on the city's agenda, and commit to overall sustainable mobility principles (3.1.2).
3. A responsible person or team within an authority has to be identified, which acts as the project management for the process (3.1.3).
4. The project management has to conduct a review of available resources, to understand what skills and finances the city authority has, and which will have to be outsourced. The project management has to ensure all the relevant skills, capacities and knowledge are involved in the partnership (3.1.4 and 3.2.2).
5. The project management has to identify the functional and geographical scope in which the institutional cooperation process takes place (3.2.1) and thus understand which partners should be involved.
6. The project management has to contact (3.3.1) and to involve partners and to (3.3.2) understand their agendas and objectives.
7. The planning authority has to define the roles of partners (3.4.1) in order to agree on rules and a partnership structure and an allocation of resources (3.4.2).
8. Finally, the project management has to make sure that tasks and responsibilities are correctly shared among the partners (3.4.3).



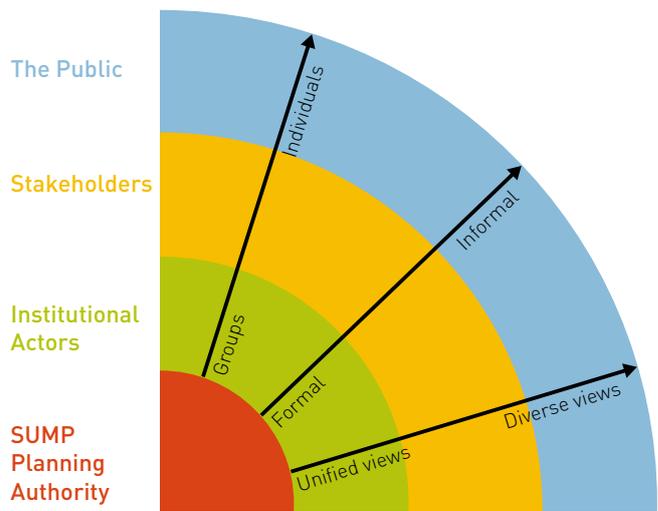
# 2 State of the Art

## 2.1 Institutional cooperation in sustainable urban mobility planning

The issue of institutional cooperation is part of the bigger issue on how to ensure public acceptance for the SUMP. A public authority takes the lead role in SUMP preparation, but should engage other institutional actors in plan preparation through participation and integration (e.g. other departments within the local authority, municipal agencies, political bodies, neighbouring communities, higher level authorities). The CH4ALLENGE Manual on Participation provides further information about how to reach out to stakeholders and the public.

The preparation and the implementation of a Sustainable Urban Mobility Plan (SUMP) require both to involve several partners and to coordinate several geographical scales and fields of expertise related to transport. In this context, institutional cooperation, understood as the cooperation process within and across organisations, can be regarded as a cross-cutting process (similarly to Participation) which has to be implemented throughout the entire SUMP cycle and can therefore be considered as a horizontal task. The institutional cooperation process starts at the preparation phase during which relevant stakeholders should be identified and invited to engage in the SUMP process. Involved stakeholders are then asked to contribute in a constructive way to the setting of goals and the preparation of the SUMP. Overall, the input of institutional partners is essential to delivering a SUMP that has wide reaching benefits; aligned and co-beneficial objectives plus unilateral support for delivering the SUMP interventions and policies.

Figure 2: Participant groups in SUMP development  
Source: Rupprecht Consult, 2016



### Box 1: What is an institution in the SUMP context?

**Definition** – An institution is an organisation founded for a religious, educational, professional or social purpose.

**Relevance to SUMP** – The SUMP Guidelines make several recommendations in relation to institutions, particularly in the context of **horizontal integration** and **stakeholder engagement**. For instance, reference is made to research institutions and training institutions as typical stakeholder groups for the SUMP process (Activity 1.6).



Given the variety of SUMPs across Europe, the wide diversity of local institutional environments, and the different national and/or regional legal frameworks, there is no pre-defined list of organisations to involve in the preparation of a SUMP. The selection of stakeholders is therefore a process which has to be carried out within the specific local context so it can take into account both the existing institutional environment and the specific needs at the local scale.

Since a SUMP is a much wider document than a “traditional” transport plan or traffic plan, it includes measures which are related to several other fields of expertise including e.g. environment, energy, education, economy and health. Therefore, one of the first things to determine is the sectoral elements to be considered in the sustainable urban mobility planning approach. According to the selected orientation of the plan (e.g. focus on energy and environment, education and health or alternatively, focus on a wide variety of themes), the composition of the “partnership” may vary substantially.

## Box 2: What are stakeholders in the SUMP context?

**Definition** – Stakeholders are described in the SUMP Guidelines (2014) as those organisations, communities and citizens that will ultimately be affected – positively or negatively – by new transport measures.

**Relevance to SUMP** – Primary stakeholders should be identified during SUMP Activity 1.6, as described in the Guidelines. A list of typical stakeholders is provided on page 29 of the Guidelines.

Furthermore, in certain European Union member states, the development process has specific legal requirements. In these countries, the involvement of a particular type of partner may be obligatory. In these cases, a part of the selection process is made easier and there may be relevant existing institutional frameworks

in place. However, local authorities should always seek to go beyond formal and legal requirements, involving other stakeholders in order to integrate and benefit from additional skills, perspective and knowledge.

The diversity of actors present at the local and national levels in the different fields of expertise significantly determines the selection of partners. For instance, the organisational division of the administration as well as the links and relationships between the local authority and the neighbouring authorities may influence the type of involvement i.e. other departments, neighbouring municipalities, larger authorities (provinces, regions, etc.) or thematic agencies. Likewise, the number of external private or public organisations (including transport companies, associations, representations, businesses, chambers of commerce, etc.) and their level of interest/influence could determine the selection of partners.

During the stakeholder selection process there will have to be consideration of the realistic number of institutions to involve in the SUMP cooperation. A larger number of institutions may bring a variety of specialisms and interests, but may also bring greater scrutiny, disagreement and challenge. There is no ideal number of institutions to involve, but it should always enable and maintain efficient implementation of the SUMP.

In general, different forms of cooperation - which are not mutually exclusive - could be differentiated as follows:

- **Vertical cooperation:** organisations which are directed by, or accountable to another organisation have a vertical cooperation which is mainly ruled by hierarchical links. In the SUMP context, it can be the case between e.g. a local authority and the local public transport authority. Local authorities also need to cooperate with higher level authorities such as the province, the region and national and/or European administrations.
- **Horizontal cooperation:** organisations which are independent and autonomous in relation to one another have a horizontal cooperation (cooperation as equals) without hierarchical links. In the SUMP context, this type of cooperation is common and happens between e.g. the local authority and the private operators.



- **Spatial cooperation:** organisations representing different geographical areas and levels have an interest in spatial cooperation. In the SUMP context, this is of particular importance as SUMPs focus on functional areas (areas that reflect the actual mobility situation and not the administrative boundaries). Therefore, spatial cooperation is needed between the lead local authority and the neighbouring authorities as well as all other relevant stakeholders included in the functional area.
- **Inter-sectoral cooperation:** organisations and people with different backgrounds, knowledge and fields of expertise have inter-sectoral cooperation. In the SUMP context, this is also relevant because sustainable urban mobility planning focusses on cross-sectoral integration and thus requires cooperation between different sectors. That may be the case, for instance between different sectoral departments of the local authority.

It should nevertheless be noted that within the SUMP development process all forms of cooperation might be applied. For each context, the specific cooperation models, procedures and structure for how the local authorities and stakeholders work together need to be defined.

## 2.2 Why is institutional cooperation important?

Achieving effective and efficient institutional cooperation in the SUMP preparation and implementation process is of particular importance because pragmatic cooperation with actors helps to deliver a SUMP that is accepted and effective in practical and financial terms. Without institutional cooperation, no European local authority would be able to produce a SUMP in accordance with the European Commission's requirements. The final document would otherwise lack integration and public support. By way of example, the non-integration of transport and land use planning could limit the efficiency of the traffic plans and also negatively impact upon the land use plan set up in parallel, e.g. in increasing the road traffic where it was not planned before.

Good institutional cooperation helps to deliver tangible and positive benefits, including the following:

- The first major benefit of institutional cooperation is to add value, knowledge and resourcing to the SUMP implementation. The project will be supported by additional skills and insights to assist the project management. Moreover, through institutional cooperation, partners create synergies which ultimately influence positively the effectiveness and the efficiency of the SUMP.
- Improving the acceptability of the SUMP by the general public and the stakeholders is another positive impact of institutional cooperation. Involved stakeholders are more likely to support a plan to which they have contributed. Furthermore, the involvement of representative organisations may also secure the support of the segments of the population they represent and whose interests they have defended.
- A third major outcome of institutional cooperation is the potential attraction of additional external funding, through the alignment of the SUMP goals to the objectives of funding bodies, in specific areas. By way of example, environmental national agencies may be willing to fund measures included in the SUMP if, through institutional cooperation, a strong focus is put on e.g. CO2 emissions reduction or energy consumption reduction.
- Finally, institutional cooperation in the SUMP context provides a greater control over several local transport networks and infrastructure, including public transport networks and parking. This is of particular importance as the implementation of a SUMP requires the use of and implementation of targeted transport interventions in order to achieve the SUMP goals. Through taking part in the SUMP process, the owners and/or managers of the transport networks and infrastructure provide to the partnership a necessary influence over their networks and infrastructure. It is expected that the involved stakeholders cooperate and implement decisions taken in the framework of the SUMP or influence their investment decisions through clearer understanding of the SUMP objectives.

## 2.3 Institutional cooperation in Europe

Institutional cooperation is a crucial element of the SUMP process in all European countries and cities



where barriers and benefits related to cooperation are generally very similar. However, because of the nuances of an individual country's legal framework, institutional cooperation (and SUMP in general) is implemented through different processes and within different legal contexts across Europe.

In some countries (or regions), local authorities have to comply with very strict guidelines which form a clear and prescriptive framework. In Flanders (Belgium), for instance, a regional decree frames the preparation and implementation of SUMP. In the case of institutional cooperation, Flemish local authorities must install a local guidance commission and a regional mobility commission and also cooperate with predefined consultative bodies (the province, the Flemish government) according to the type of authority (Cré and Mourey, 2015). In the United-Kingdom, the Transport Act 2000 obliges Local Transport Authorities to consult different types of stakeholders (bus operators, rail operators, District Councils and/or County Councils in their area), however local authorities are free to consult with any other people they consider appropriate (Cré and Mourey, 2015).

Conversely, in other countries (or regions), local authorities do not have legal obligations or frameworks directly related to SUMP. This is the case in several central European countries such as the Czech Republic where there is no national guidance or legislation on SUMP (Endurance project website) or in Hungary where SUMP are not yet legally defined (Endurance project website).

As an intermediary situation, some countries (or regions) have set national guidelines which provide advice to municipalities but which are not legally binding. In Germany for instance, SUMP are not legally defined (Cré and Mourey, 2015). However, several recommendations for informal transport development plans have been published and give non-binding advice on institutional cooperation.

Thus, the types of partner which must (or should) legally be involved in the preparation and the implementation of a SUMP can vary among European countries (or regions). A strict national legal framework eases the partner selection process as it imposes the involvement of certain types of public stakeholders in the SUMP

process. In the case of a less strict national (or regional) legal framework or in the absence of such a legal framework, the lead local authority can decide on the selection of partners and stakeholders to involve in the SUMP process.

In addition to the legal frameworks, the different European cultures and characteristics in terms of cooperation may also influence the institutional cooperation differently across Europe. It has been identified that the "cooperative" culture is less developed and rooted in some European countries than in others. In these countries, the enthusiasm for cooperation is low and therefore the institutional cooperation process is challenging. By way of example, stakeholders can be reticent to share data and information with partners. This obviously prevents the full beneficial outcome of a successful institutional cooperation process.

## 2.4 Common challenges in institutional cooperation

Within the general Institutional Cooperation theme, several aspects and components have been identified as particularly challenging in cooperation processes, especially for sustainable urban mobility planning. The following key themes which are major barriers to institutional cooperation have been gathered in four different topics.

### Identifying the right partners

- **Uncertainty about which partners** – Because of the special nature of SUMP, different types of stakeholders must be involved in the institutional cooperation process, including organisations and stakeholders which, are not usually involved in classic transport management activities. Consequently, the composition of a SUMP partnership appears as a challenging issue.
- **Lack of expertise** - There is a need to establish and take account of relevant experiential knowledge and appropriate competencies and capabilities within the cooperating organisations. Care must be taken to guard against attempts to shoehorn people into roles for which they are not qualified. The potential impact on the SUMP process of ambiguity, partial knowledge and differing technical approaches in different sectors should not be underestimated.



### Involving the relevant partners

- **Complexity of SUMP structure** – Because of the specific diversity of topics and stakeholders involved within the SUMP process, the complexities and difficulties of coordination with other fields of urban policy are particularly high. The authority may be uncertain about how to bring in other sectors, and raise interest in the SUMP. In addition, because SUMP requires input from several fields of expertise, there are also concerns on how to increase the awareness of SUMP and to convince non-transport stakeholders to take part in the SUMP process.
- **Conflicting objectives** - Actors may bring differing, potentially conflicting objectives. It can be expected that different organisations, or even different parts of the same organisation will have different priorities. This is especially true for “competing” local authorities (which compete for attracting economic activity or for avoiding traffic congestion at the expense of the other) and for organisations representing different segments of the society (e.g. environmental and industrial organisations; or motorists’ and cyclists’ federations).
- **Incompatible timing** – The SUMP is not the only plan prepared and implemented by local authorities. Consequently, there may be different timescales for complementary plans e.g. the timing over which land use planning takes place may not be the same as that over which transport planning takes place. This can therefore create problems of uncertainty and requires some adjustments.

### Agreeing on responsibilities

- **Leadership** - Lack of appropriate leadership can be a barrier to resolving conflicts and establishing cooperation. Conversely, strong leadership and a strong reliance on the leader may cause uncertainty over the direction, appropriateness and efficiency of the plans that the leader will choose to support. In the context of SUMP it means that the leader may choose to support measures in accordance with his/her personal interests and those of his/her organisation rather than the most efficient ones.

- **Alignment of responsibilities and clarity of roles** - Actors can have differing remits in developing and implementing the SUMP and constituencies to whom they are accountable, wherein problems of uncertainty, blame shifting and gaps in responsibility can arise between actors.
- **Alignment of resources** - The financial, human and other resources (e.g. land) that are vital in the implementation of a SUMP may be scarce and are unlikely to rest with only one actor. The pooling of resources requires input from different actors, including persuasive skills on the benefits to the actors appointed and their representatives as well as agreement on the allocation of the resources.
- **Lack of transparency** - Reluctance to share data or information due to claims of commercial confidentiality or organisational culture, or requirements to protect personal data can all act to complicate cooperative planning - placing requirements on formal or legal agreements to protect data, or consideration of the conditions under which it is collected. Problems can also be created by a reluctance to share information and data due to concerns about admitting mistakes.

### Complying with the legal environments

- **Legal environment** – There is in Europe a variety of national (or regional) legislations on SUMP and/or institutional cooperation. In addition to these national (or regional) legislations, a European legal framework also exists. This diversity in regulations has been identified as a confusing and challenging issue in the context of SUMP. Before undertaking implementation of an SUMP, legal advice should always be sought on the institutional cooperation obligations and the processes that are required to be undertaken.

These issues and the related topics will be further developed in the “From Theory to Practice” section through four chapters reflecting the four main topics mentioned above.



# 3 From theory to practice

The following part of the manual has been prepared as a practical source of information for those organisations and SUMP managers tackling the major barriers to effective and efficient institutional cooperation. The text answers the four most challenging issues about institutional cooperation identified within the CH4LLENGE project.

- How to comply with the legal requirements?
- How to identify the right institutional partners to work on the SUMP?
- How to effectively involve the relevant partners in collaboration on the SUMP?
- How to share the roles and responsibilities among partners?

Through detailed explanations and selected case examples from the different CH4LLENGE cities, this chapter intends to help practitioners in answering the following questions:

The table below (Table 1) presents the areas of activity necessary to implement a successful institutional cooperation process.

**Table 1: Tasks for achieving effective cooperation among institutional partners**

Objective	Tasks			
<b>Preparing well</b>	Understanding the national (or regional) legal environment and respecting the legal requirements	Committing to overall sustainable mobility principles	Assigning the project management and his/her roles	Review of available resources (skills and finances)
<b>Identifying the relevant partners</b>	Defining the functional and geographical scope	Identifying the relevant skills, capacities and knowledge		
<b>Involving relevant institutional stakeholders</b>	Contacting and actively involving the partners	Convincing institutional stakeholders to get actively involved in the SUMP process?	Understanding the partners' agendas and objectives	
<b>Agreement on roles and responsibilities</b>	Defining the roles of partners and the structure and rules of the partnership	Allocating resources, tasks, and responsibilities		



## 3.1 Preparing well for institutional cooperation

Preparing well for the planning process has been identified as a key aspect of SUMP preparation by those cities that have experience in preparing a SUMP. Not everyone in your city or organisation knows what a SUMP is, or is committed to it. Often the staff who know more about policy and planning are committed, but those actually responsible for implementing solutions will just want to carry on doing things the way they always have.

There are many aspects to preparing well for SUMPs, and these are identified and explained in the SUMP Guidelines (Rupprecht Consult, 2014), specifically in the first quarter of the planning cycle. In the context of Institutional Cooperation, it is worth focusing on three elements: the commitment to overall sustainable mobility principles, the appointment of the project management, and the review of available resources.

### 3.1.1 Understanding the national (or regional) legal environment and respecting the legal requirements

Even though a SUMP is focused on mobility at the urban agglomeration level it also has to be embedded in a wider regional, national and European planning framework on urban mobility. All relevant documents should be analysed in advance to exploit opportunities (e.g. SUMP project funding possibilities) and avoid conflicts with higher level authorities at a later point.

The preparation of an inventory of legal regulations and guidance, such as regulations at the national level on, for example, road pricing, how parking is operated or road safety targets, helps to address this issue. These regulations are more likely to affect the use of specific measures in the SUMP, rather than the format of the SUMP itself. For example, it may be possible to mention as a long term aspiration in the SUMP a measure – such as road pricing – that is currently impossible for the city to implement because there is no national law that permits it. In other cases, national or international laws may make measures necessary in the SUMP that would not otherwise be locally politically possible. For example, the EU Air Quality Directive may drive the

implementation of a Low Emission Zone which places considerable restrictions on motor vehicle access to parts of the city. It is also important to consider whether the laws that govern other statutory (or legally required) plans (such as land use plans) place any constraints on the development of SUMPs that in most countries are non statutory.

A barrier experienced by cities in most EU countries is the lack of a national framework for SUMP. However, this can be addressed in a positive way; it does, for example, allow more flexibility in setting objectives, targets and a timescale for the SUMP. If there is no national framework, key local motivations for the SUMP have to be sought.

Beyond the remit of EU requirements on cooperation, some countries (or regions) impose – in the context of SUMP development – specific additional legal requirements regarding institutional cooperation. Alternatively, other countries have specific rules which are part of a wider planning act (related to e.g. spatial planning, land-use planning). However, in a large number of countries, local authorities do not have legal obligations related to SUMPs or institutional cooperation.

Nevertheless, due to this wide variety of situations at the national (or regional) level, legal requirements need to be carefully checked. For instance, national legislature may require that cooperation and dialogue is undertaken with neighbouring authorities or that key stakeholders are consulted during the development of plans and policies. By way of example, in the UK where a legal framework exists for SUMPs, there is a legal ‘Duty to Cooperate’.

Also internal rules at city level will determine the approach taken. Clear procedures based on administrative rules define who has to be assigned to lead the SUMP process and who has the power to decide. In most cases, a dialogue between the local authority’s elected council and the administration will be the initial process, started following a written mandate to proceed.



Some SUMPs have applied the framework provided by the EU Directive 2001/42/EC known as the Strategic Environmental Assessment (SEA) Directive. An SEA is to be undertaken to assess “the effects of certain plans and programmes on the environment”.

The example of West Yorkshire (in a spotlight) illustrates the role of specialist consultants and the different stages which were necessary to comply with the SEA requirements to assess the environmental effects of the plan.



### LOCAL SPOTLIGHT

#### West Yorkshire: Cooperation within the SEA Process

In the UK there are a number of national legislative requirements which need to be adhered to in the appraisal of a SUMP implementation. The SEA is incorporated as part of a broader Integrated Sustainability Appraisal (ISA) which will also fulfil the legal requirements for Habitats Regulation Assessment (HRA), Equalities Impact Assessment (EqIA) and Health Impact Assessment (HIA) and encompass economic and social effects. West Yorkshire Combined Authority – WYCA - (England, United-Kingdom) appointed specialist external consultants to undertake an Integrated Sustainability Appraisal for the emerging SUMP. The following key stages of institutional cooperation have taken place:

##### 1. Key Sustainability Issues paper circulated among consultees

The scope of the ISA and potential sustainability issues were tested with a range of key stakeholders including the statutory consultees Natural England (environment), Historic England (historical and archaeological) and Highways England (strategic highway network in England). This was facilitated through existing databases of contacts in relevant organisations.

This helped to identify WYCA's SUMP development process to a number of stakeholders, signposting the opportunities for input, and providing a mechanism for raising local issues which should be raised during the SUMP process.

##### 2. STP Workshop with political board

Political leaders are presented with the potential impacts of pursuing a particular set of objectives or policies compared with alternative options. These include potential mitigation options that will reduce negative impacts.

##### 3. STP Consultation with public and stakeholders

Public and key stakeholders were consulted on the findings of the ISA process, including potential impacts and mitigation actions to be adopted within the SUMP to increase benefits. A key challenge is to ensure technical appraisal data and information can be interpreted by a wider audience to understand potential impact in everyday language.



### 3.1.2 Committing to overall sustainable mobility principles

The “Sustainable” in SUMP means that the city’s transport system should have clear environmental and social benefits, and not focus exclusively on making traffic flow more freely.

Before starting with the SUMP process, there should be an understanding as to how far these principles are already part of existing policies and the current political agenda. When they make the formal decision to proceed with the SUMP process, the city’s decision makers should broadly agree that these sustainability principles should be core to the SUMP. It will help if colleagues working in transport and land use planning also understand and see the benefits of SUMP so that technical staff at the City share a common view when they talk about the SUMP with their politicians.

This activity is therefore closely linked to the activity “creating ownership” of the SUMP across the City organisation, so that all colleagues feel that the SUMP is something that they want and have a responsibility to implement. It is really about selling the SUMP idea to colleagues in other departments, to politicians, and then to those outside the city.

An example of such an overall commitment to sustainability principles by decision makers, might be the political adoption of a “road user hierarchy”, putting pedestrians, cyclists and public transport at the top, and private cars at the bottom in terms of how the city will prioritise access to road space. Another example is the idea that streets are not only for moving through, but that they are also places where people meet, socialise and spend money.

The following actions can help to solve the issues raised above:

- Different awareness raising seminars for different audiences. For politicians, a very short seminar or meeting presenting the basic idea of a SUMP, the types of measures implemented, and the impacts of successful SUMPs on local economies and quality of life are sufficient. For technical staff, a half day seminar can convey similar messages plus provide more detail on the actual content of a SUMP and how it should complement existing legally required plans. If an expert from a different city or country is able to contribute to such seminars, this can often help to get messages across, particularly if they are from a place that is perceived to be similar in context to the city’s own.
- Review of existing transport and land use plans to assess how far sustainability is currently taken into account. This task can be carried out at its most basic by using a simple checklist and reviewing existing plans. In some cases there may be no existing transport plan, but land use plans can nonetheless be reviewed. Alternatively, a small number of key city staff can be interviewed to get information about the content of these documents.
- Meeting key politicians and practitioners at an early stage to discuss their views on sustainability in the SUMP. A small number of politicians and practitioners can be interviewed to get an overview of how far sustainability is reflected in their thinking about their work.

### 3.1.3 Assigning the project management and its roles

A ‘project’ is ‘a temporary organisation that is created for the purpose of delivering one or more business products according to an agreed Business Case’ (Prince 2, 2009). When considering the SUMP as a project, the role of the project management becomes important, and in this respect, the appointment of the project management (a project manager and/or project managing unit) is crucial.



There are many formations in which the management of the SUMP as a project can take shape, but in the best practices, there is a clear mandate for a specific administrative unit within the local authority to conduct the SUMP process. Within this unit, a person or team will be assigned to take the SUMP process further.

In practice, the actual activities with regards to project management can be delegated to a consultant. In this case, it is recommended that the city services or administration still keeps the overall coordination and foresees sufficient resources and skills to accomplish quality management.

As SUMP preparation may involve a variety of institutions that will actively contribute, mailing lists will be substantial and meetings will be crowded. The process requires sufficiently strong leadership and the ability to articulate a clear process and rationale to a range of internal/external stakeholders to ensure production of a high quality and mutually accepted plan. Effective project management should minimise confusion and reduce potential for duplication of work.

### Box 3: The project management

The project management is the team or person from the planning authority who is in charge of managing the entire SUMP process. The name reflects the fact that the SUMP establishment and the institutional cooperation process should be managed like a project. In practice, a SUMP planning process does not differ substantially from other projects or planning processes managed by public authorities. In particular, the Institutional Cooperation strand of activities relies on well-known project management models and local authorities are invited to capitalise on existing project management experience to bring the SUMP planning process to a positive result.

### Responsibilities of the project management

The broad responsibility of project management is to ensure efficient implementation of a SUMP. This will include the planning of tasks, delegation where required and a monitoring process to ensure implementation within the constraints stipulated by the executive.

The project management has a responsibility to deliver the SUMP product within the constraints set – mainly finance, time, remit - and to navigate through difficulties of legal frameworks, data and evidence gathering, institutional cooperation and an approval process that has ensured accountability and adequate opportunity for public and stakeholder consultation.

In order to ensure clarity of roles and responsibilities during the SUMP preparation process, some general principles need to be established by the project management including processes for reporting to executive powers. The project management is also responsible for managing outputs, risks, timescales and status of the SUMP preparation.

The project managing unit or the consultant in charge will coordinate, structure, organise, conduct internal networking, and prepare decisions that are to be taken (such as who sits at the table).

It is important to understand that the project management will not solely decide on strategic decisions. Decision making in public administrations is a complex process following principles of hierarchy and also here, internal cooperation. Crucial decisions are to be taken in teams and in close dialogue with higher administration levels.

Finally, it is worth stating that the role of the project management can vary since public service cultures and procedures are unique for every country, city and even department. How the role and position of the project management within the institution is defined (e.g. how much 'decision power' the project management has, which department the person belongs to, by whom the person is supervised) depends very much on the internal set-up and the level of influence an administration wants to give to the project management.



### Skills of the project management

There is a lot of literature about the abilities, skills and competences a project manager should have. In general, skills such as effective communication with internal and external partners need to be balanced with management control and flexibility to add value to the SUMP output.

The project management is required to interact with a range of stakeholders involved in the process, both internal and external. This could involve negotiation with partners regarding involvement or enthusing colleagues to be involved in the process. The project management will have to exert control over implementation of the plan.

Using the Dresden 'Round Table' spotlight, the project management will be required to stimulate input and participation from public, mediate between opposing specialist views, coordinate the meetings and control the outputs and outcomes achieved.

The project management's role also includes planning and budgeting appropriately and ensuring deliverability. The project management also needs to have a good understanding of any relevant legal and statutory requirements.

### Tools for Project Management

A series of tools used by the project management can clearly articulate to a range of audiences the remit, process, outputs, interdependencies and risks to delivering an SUMP. The key documents include:

- A 'business case' sets out the rationale for developing an SUMP, including expected outputs from the project, outcomes and benefits.
- An 'implementation plan' states how the SUMP is to be delivered, including the contributors, by when and with what inputs are required to deliver the product.
- Output Reports – detailing progress made and outputs achieved within a set period, plus the tasks and outputs to follow in the next period
- Tracker report – a traffic light colour system to detail progress made, with 'red' identifying risks to implementation – e.g. data is unavailable.

The spotlight on West Yorkshire highlights several aspects of the role of project management including the responsibilities and the appropriate tools that the project management can use to record and inform stakeholders.

### 3.1.4 Review of available resources (skills and finances)

Sufficient resources, namely staff, skills and finances, are essential for successfully carrying out the SUMP preparation process and for implementing measures. Most public authorities preparing a SUMP for the first time will have to outsource experts. However, it is also important to build up expertise within the organisation and establish long term cooperation between relevant organisations. This activity is essential for the constitution of the team that will be involved in the actual planning process. It is advisable to prepare a Skill Management Plan to recognise and cover skill gaps (e.g. through training, cooperation, subcontracting).

The following actions can help to solve the issues raised above:

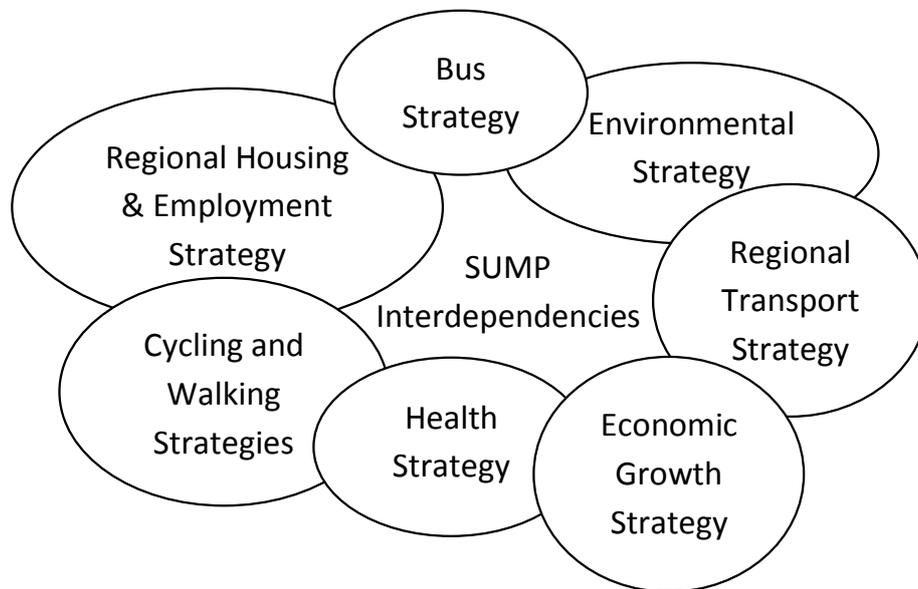
- Define probable budget and ensure political approval, including the ways in which SUMP development and the implementation of SUMP measures will be financed. The EU Guidelines on SUMP (2014) cite experience of French cities of 100,000 people or more which spend 200,000-400,000€ on the preparation of their SUMP. The costliest elements in SUMP preparation are data gathering and transport modelling, so it is important to be clear about how much data and what level of complexity of modelling is required for your SUMP before seeking political approval for the resources to prepare and write your Plan. A key barrier often faced by cities developing SUMPs is a lack of resources to do so, and then to develop and implement the Plan.
- Define availability of skills required and management of those that are currently unavailable. Assuming that project management skills are sufficiently covered by the project managing unit, skills left to assess for availability are, amongst others, strategic thinking, knowledge of a wide range of possible measures that can be implemented within a SUMP and the ability to collect, analyse and present key data about transport in the city in relation to strategic objectives.



**LOCAL SPOTLIGHT**  
**West Yorkshire: Role of the Project Management**

West Yorkshire Combined Authority (England, United-Kingdom) is developing a Single Transport Plan which will update existing transport priorities and programmes for investment across West Yorkshire for the next 20 years. The Single Transport Plan has a range of interdependencies with internal external partners and aligned strategies including the following:

**Figure 3: Interdependencies between the SUMP and other strategies**  
**Source: WYCA**



Due to the high level of inter-dependencies stated above, the role of the project management is complex and involves constant dialogue with a number of participants. The project management’s role is as follows:

- Articulate and consider shared objectives with institutions
- Gain support/buy in to shared objectives e.g. through organisation of workshops with key stakeholders
- Authority / ability to delegate tasks to relevant personnel
- Ability to deliver regular updates to senior officers and political leaders
- Ensure evidence data is collated in an efficient manner and by the correct source

Appropriate tools that the project management uses to record and inform stakeholders of progress include highlight reports – detailing activities that have been undertaken and are due to be undertaken, plus updated project plans showing progress against key milestones.



## 3.2 Identifying the relevant partners: who sits at the table?

At the beginning of the SUMP process, during the preparation phase, important questions should be considered: Who sits at the table? Who do we invite to meetings? At this stage the different organisations which will be part of the SUMP partnership have to be identified. In order to prepare this task correctly, the geographical remit as well as the thematic focus areas in which the institutional cooperation process takes place must be clearly defined. This selection is of strategic importance. In practice, the project management will prepare a proposal that needs to be confirmed by his administrative and political hierarchy.

### 3.2.1 Defining the functional and geographical scope

#### The legal framework

The legal frameworks – either national or regional – regarding who to involve in SUMP implementation differ substantially within Europe. It is recommended to access available information in this regard, such as the SUMP framework monitoring on Eltis. In countries or regions where such a legal framework exists, the project management has to identify the stakeholders who are either named or described in the law. The spotlight on West Yorkshire describes how to comply with the legal requirements and adapt the cooperation process to the local situation.

#### Cooperation in the functional urban space

One of the key principles of SUMP is to cover the functional urban area, and not stay confined within the legal city limits. This means that SUMPs cover areas which reflect the actual mobility situation – the needs and issues of a given location (e.g. area where commuting trips take place) and do not correspond to the administrative boundaries of the planning authority. Therefore, cooperation with public authorities located within the functional area is required and the project management has to identify partners among them. In order to select the potential partners, the project

management should identify the authorities which will be impacted by the implementation of the SUMP and which can contribute to the preparation and implementation of a spatially well-integrated SUMP. This cooperation can take place with smaller entities such as districts or neighbourhoods. Cooperation with neighbouring local authorities is highly recommended to avoid conflicting parallel planning and in order to adapt the plan to the actual mobility situation in the functional area. Additionally, cooperation with larger authorities such as metropolises, provinces or regions allow the planning authorities to have an overview of the impact of the SUMP at a larger scale and to adapt the SUMP to evolutions taking place at a higher level. The spotlight on Budapest illustrates this aspect of institutional cooperation.

Special attention should be given to poly-centric regions – areas characterised by several centres – where services and goods, and therefore transport needs, are scattered in different towns. Planning mobility in these areas is complex, as several municipalities, sometimes even from different countries, and many stakeholders are involved. Specific methodologies exist to overcome barriers and to build a constructive dialogue in these contexts.

#### Cross-sectoral cooperation

Another important principle of SUMPs is the integration of transport and other related-fields such as economy, environment, energy, urban planning, health, etc. Therefore, identifying the relevant partners also implies selecting the areas of expertise needed for preparing and implementing the SUMP. Consequently, the project management needs to have a clear idea of the level of priority at which these different topics will be included in the SUMP and to identify representative organisations in these fields.

#### Inter-modal cooperation

SUMPs foresee the cooperation between all different types and modes of transport. Therefore, another aspect to consider for identifying potential partners is the involvement of those structures that have legal competence over transport networks in the planning territory. The spotlight on Ghent illustrates both the cross-sectoral and cross-modal cooperation.



## LOCAL SPOTLIGHT

### Budapest: Institutional cooperation in a functional area

In Budapest, the functional area extends beyond the administrative boundaries of the city and corresponds in many aspects to the metropolitan area. In addition, since Budapest is located at the intersection of international, national and regional transport networks, its functional area actually extends beyond the metropolitan area. Therefore, the City of Budapest and the Centre for Budapest Transport (BKK – in charge of the preparation and implementation of the SUMP in Budapest) identified partners corresponding to the functional urban space.

Activities such as the organisation of passenger transport for daily commuters, the elaboration of an integrated traffic model and the development of an access regulation system for freight transport require cooperation at the metropolitan regional level. Consequently, the planning authorities identified all the neighbouring cities within the Budapest agglomeration to be crucial partners.

Additionally, in order to implement an integrated system of transport networks which will strengthen the economic potential of the international area located around Budapest, the planning authorities chose to cooperate with regional, national and international partners such as the region, the MAV (Hungarian State Railways) and the Budapest Liszt Ferenc International Airport.

After these partners were identified, the City of Budapest and the Centre for Budapest Transport held “consultations with district, metropolitan area and county level local governments in the course of the review of the system plan as a preparatory step towards the Balázs Mór Plan [name of Budapest’s SUMP]. The City of Budapest built close cooperation with the planners engaged in the parallel strategic planning processes relating to Budapest and its region in order to come up with complex solutions for complex regional and urban development challenges.” (BKK, 2014)



Transport in Budapest  
Photo: BKK Centre for Budapest Transport



## LOCAL SPOTLIGHT

### Ghent: Identification of partners across sectors and modes of transport

The municipality of Ghent (Belgium) went further than the minimal legal requirements set by the Flemish Region and identified partners related to different topics and modes of transport. This illustrates the cross-sectoral and cross-modal integration of SUMP.

According to the regional law, the municipality of Ghent installed a local guidance commission (GBC) and a regional mobility commission (RMC). Beyond these minimal legal requirements, Ghent identified (voluntarily) several other organisations from the public and private sector that brought in several fields of expertise.

To carry out the selection process, the municipality identified economy, environment, health, education and social inclusion as key themes of the SUMP. Consequently, the city identified the following organisations: two employers' organisations, several businesses and representatives of the transport business (economy); the local environmental association Gents Milieufrent (environment); representatives of health practitioners, firefighters and the local police (health and safety); as well as four local schools and representatives of minorities and districts of Ghent (education and social inclusion).

Likewise, the integration of all modes of transport allowed the city of Ghent to make a selection of organisations related to different modes of transport. Among the identified organisations were: De Lijn which is the regional public transport company, the port authority, representatives of transport business, Fietzersbond which is the Flemish cyclists' organisation and an NGO supporting car-sharing.

After the selection process, the municipality set up meetings with representatives of the selected organisations to discuss the first draft of the SUMP.



Meeting in Ghent  
Photo: City of Ghent



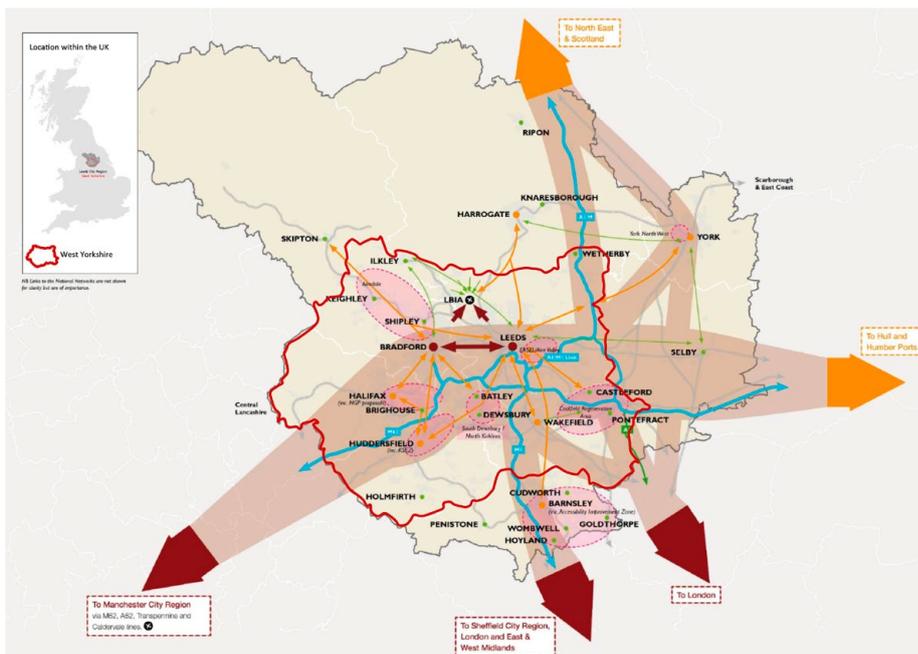
**LOCAL SPOTLIGHT**  
**West Yorkshire: Beyond legal requirements**

In the UK a SUMP (the 'Local Transport Plan' or LTP) is required by legislation in the form of the Transport Act 2000, and guidance on the process of developing a LTP and its focus and content is provided by the UK government Department for Transport. Within West Yorkshire, the West Yorkshire Combined Authority (WYCA), as the Local Transport Authority, has the sole, statutory duty to develop and maintain the Local Transport Plan. WYCA however works in a LTP partnership with the five West Yorkshire District Councils of Bradford, Calderdale, Kirklees, Leeds and Wakefield to develop and deliver the detail of the LTP, and WYCA and its partners have introduced robust governance arrangements for institutional cooperation.

This should function at a political, senior management and technical officer level in respect of transport strategy, funding and implementation, and increasingly in respect of economic development, health and environmental issues. The strategic transport role continues to be led at the West Yorkshire level but it is shaped and facilitated by the input of the District Councils. The legislative framework means that the geography of the SUMP is restricted to five West Yorkshire authorities and its 2.2million people, but the functional, commuter area is a wider geography of 2.9million.

A key political theme of work to develop a new SUMP is the need to collaborate beyond current governance arrangements to be actively involved with neighbouring authorities and the transport industry at a city-regional, pan-northern and national level to influence transport decisions.

**Figure 4: Functional area in West-Yorkshire**  
**Source: Leeds City Region Enterprise Partnership – Transport Strategy (2009)**





### 3.2.2 Identifying the relevant skills, capacities and knowledge of institutional partners

The preparation and implementation of a SUMP require specific capacities, skills and knowledge. Through the institutional cooperation process, the project management has to ensure that the partnership has all of them at hand.

To assist the project management in the selection process (of both organisations and people), the Kingdon model (Kingdon, 1984) - used as a matrix, is a recommended tool to check that all necessary skills and knowledge are present within the partnership (Khayesi and Amekudzi, 2011). Using this matrix at

an early stage in the selection process allows the project management to verify the composition of the partnership and possibly to identify new organisations or people in order to bring missing capacities, skills or knowledge in the partnership. The toolkit on public involvement presents a variety of methods to practically engage with partners.

Adapted to the SUMP context, the analytical concept developed on the basis of Kingdon’s insights flags that only those projects are successful when partners are involved in the preparation and the implementation of the SUMP which cover four functional abilities:

- The capacity to gain political support
- The competence over transport networks and services
- Technical excellence in SUMP development
- The capacity to gain public support or to understand the urgencies and needs of the public

**Table 2: The Kingdon Model applied to SUMP: functionalities and corresponding relevance, stakeholders and assets**

Functionality	Relevance	Which stakeholders?	Key assets
<b>Political support</b>	Who can assure political support, within the transport sector, and beyond?	Political bodies (elected representatives, incl. Mayor and councillors; political parties)	Vision Leadership Power Resources
<b>Transport network competence</b>	Who can assure resources to allow for SUMP implementation?	Transport network owners and operators (public and private)	Technical feasibility
<b>Expertise, skills, data</b>	Who manages the respective transport networks?	‘Experts’ in departments of local authorities, universities, NGOs, companies.	Technically sound plan
<b>Stakeholder support</b>	Who has the relevant skills and expertise to deliver a technically sound plan, including representatives from other sectors?	Government bodies providing access to stakeholders and citizens.	Values Sense of urgency



### Political support

The project management needs to ensure that within the partnership, the relevant partners are present to show and create political support for the SUMP. These partners must be able to deploy power to establish, plan, implement and fund the SUMP. These people are mainly to be found in political bodies and can be the mayor or transport councillors of the local authority or authorities concerned, presidents of a metropolitan region, or other elected people. In this respect, it is obvious that the political majority representatives ensure a more significant support than opposition representatives (at least on the short term). However, the involvement of all political parties – majority and opposition – ensures a wider cross-party support to ensure implementation and continuity in the long-run, across local legislative periods. In addition to this, the involvement of politicians from the different local authorities within the SUMP partnership (other than the leading organisation) also ensures the continuity and the success of the SUMP on the long-term.

Partners often involved in European SUMP include:

- Mayor of the planning cities and city councillors (both majority and opposition)
- Mayors and representatives of neighbouring cities
- Heads of metropolitan areas, provinces, counties, regions
- Representatives of district town halls
- Political parties

### Competence over transport networks and services

As the SUMP will impact on the transport networks and services, the project management needs to make sure that the partnership embodies the full transport system, and that the relevant partners that actually have competence and control over transport networks and services are present. The involvement of these partners can ensure better implementation of measures which impact the different transport networks. This function is obviously provided by the public and private transport

companies as well as the owners of the infrastructure (roads, bicycle and pedestrian infrastructures, rail, parking, etc.). One should note that owners and/or managers of all types of transport networks should be involved, and not only those of the major public transport mode (e.g. the municipal public transport operator).

Partners often involved in European SUMP include:

- Public transport companies (municipal buses, trams and metros and regional buses and trains)
- Owners of transport infrastructure (parking, interchange stations, etc.)
- National railway companies
- Port authorities (when applicable)
- Airport (when applicable)

### Technical excellence in SUMP development

Since the preparation and implementation of a SUMP is a long and complex process, it requires technical excellence in SUMP development, namely expertise, skills, the availability of specific data and information, not only about the transport sector, but also in adjacent sectors such as spatial planning, economic development, environment and energy. This function is provided by different technical “experts” who may come from the different departments of the public administration or from specialised agencies, universities and external organisations (companies, NGOs, etc.).

This area specifically relates back to the skills assessment explained in item 3.1.4, and comprises of a choice for or against outsourcing of specific technical planning tasks.

Partners often involved in European SUMP include:

- Other city departments (spatial planning, economic development, environment, health, tourism, leisure etc.)
- Researchers
- Universities
- Qualified companies



### Stakeholder support

Finally, in order for the SUMP project management to ensure knowledge about (and even influence over) the problems that are determining public opinion, there is a need for access to those public actors that can build public support. In some cases, the project management will be directly implementing stakeholder involvement strategies such as explained in the Manual on public involvement, but often, the public involvement strategies will build upon the cooperation with public bodies that know or understand what citizens and stakeholders define as problems and as potential solutions.

Within city services this can be:

- the police force,
- the communication department,
- the city's ombudsman/mediator etc.,
- the educational department, by means of frequent contacts with schools, which are important traffic generators,
- colleagues in charge of managing advisory councils in other policy areas (spatial planning, economic development, municipal youth council etc.).

Given the diversity of institutional environments, the selection of partners can vary substantially across cities. The spotlight which describes the situation in Dresden where all relevant capacities, skills and knowledge were incorporated into the institutional cooperation process gives a concrete example of how a local authority can gather all required assets.



Public transport in Budapest  
Photo: BKK Centre for Budapest Transport



**LOCAL SPOTLIGHT**

**Dresden: Taking competences, capacities, skills and knowledge into account to create a strong partnership**

In the framework of the Sustainable Urban Mobility Plan 2025plus, the City of Dresden (Germany) cooperated with a wide range of partners. At the core of the institutional cooperation process, the local stakeholders sat at the Dresden Round Table - an ad-hoc discussion body created for the SUMP process. All Round Table participants brought capacities, skills and knowledge to the partnership.

**Political support:**

The Mayor himself chaired the Round Table and six City councillors sat at this discussion body. Both coalition and opposition parties have been invited to join the process in order to secure long-term political support for the SUMP 2025plus. The municipality insists nevertheless on the fact that results of discussions on Round Tables cannot replace the final decision of the elected body.

**Transport network competence:**

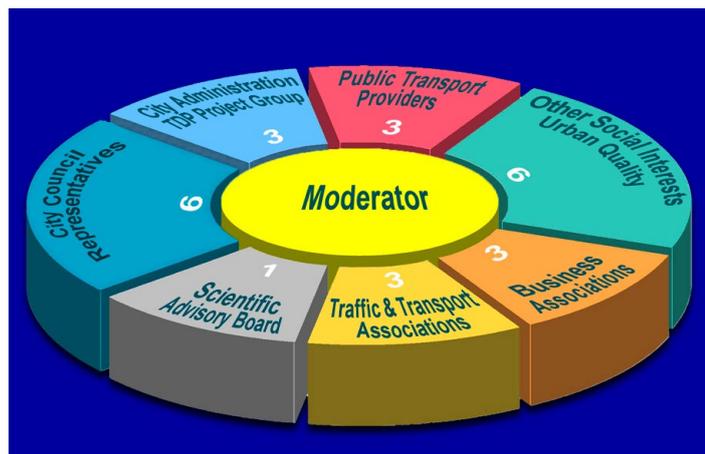
The municipality reserved three seats for the “Public Transport Providers” category which includes the Dresden Public Transport company, the Upper Elbe regional Public Transport company, and the national railway company. They all provide transport services and manage their respective networks.

**Expertise, skills & data:**

The Round Table includes two sets of relevant partners: the representatives of the city administration (Urban Development department – transport planning - three seats) and a representative of the Scientific Advisory Board (one seat – Faculty of Transportation Sciences). Other partners such as the police were able to bring specific skills on particular issues.

**Public support:**

Different organisations were gathered in the “Traffic and Transport Associations” category. This includes the motorists’ and cyclists’ federations as well as the Association of Saxon transport industry. Stakeholder support also came from the organisations within the “Business Associations” category which gathers different types of business representatives such as the chamber of commerce or the chamber of engineers. Representatives of the students and the seniors were present too.



**Figure 5: Visual representation of the Round Table in Dresden**

Source: City of Dresden



### **Box 4: Working with institutions or... with people?**

This manual describes the way public bodies cooperate. But these organisations consist of individuals. The people involved in the SUMP process can determine - as much as the organisations to which they belong - which capacities, skills and knowledge are brought in the partnership as people have their own assets.

The human factor plays an important role in the SUMP process. However, the project management has a limited control over the selection of people within organisations. Nevertheless, the project management may try to influence the selection of people. In this case, a research on the profiles of the people to invite is required - e.g. past working record, a CV of the person, oral recommendation by others, etc. Then, the project management has to identify the actual capacities, skills and knowledge of the people (and not those which are expected), cooperate with the selected people, and intervene when it becomes obvious that there are gaps in skills and expertise.

It is clear that the solution is not to skip certain tasks because people don't know how to do it; the project management should ensure that alternative options are assessed regarding how these tasks can then be conducted (in-house training, capacity building, by external people who have the required expertise).

The selected person is very important since this is the person (perhaps more than the organisation) who owns the different capacities, skills and knowledge. Therefore, two representatives of a single organisation may bring two substantially different contributions to the preparation and implementation of a SUMP.

By way of example, the mayor or an elected person in charge of transport in a municipality will bring a political support to the whole process, as well as visibility, credibility and additional funding, while a civil servant in the transport department (of the same entity) will have a radically different impact on the project in helping with the technical implementation and in bringing some technical knowledge. Furthermore, two civil servants from two different departments of a same authority can bring expertise and knowledge on different topics.

With all these capacities, skills and knowledge being potentially useful, in some cases, several people with different profiles, all coming from a single organisation may be needed. This can be particularly the case for local authorities which can be represented by different profiles and different types of people.

Finally, the status of the selected person can obviously also have an impact on the partnership management. The personalities and status of the stakeholders may influence the manageability of the partnership as a whole.

Ideally, the SUMP process should coincide with a skills development plan that helps the individuals involved in the SUMP, to master new challenges and enables them to become better professionals.



## 3.3 Involving the relevant stakeholders

### 3.3.1 How to contact institutional partners?

After identifying the potentially relevant institutional stakeholders, they should be contacted in order to be later formally or informally engaged in the SUMP process. This phase can require discussion combined with an appreciation of practicalities for delivering a SUMP.

In a first phase, the project management should contact the people previously identified. Depending on their status, different strategies can be used to reach out to them. In most cases this will be an informal process, where a mailing list is compiled and the team is organically defined. Sometimes formal invitations are required, especially when reaching out to high-level management. It is recommended to have bilateral contacts with those that are really necessary for the planning process, to clarify their role, mandate and position in the SUMP process. The potential partners can be divided into the following categories:

- **Inside the organisation:** The involvement of members of staff from other departments or services should be encouraged as they can bring added-value through new insights and skills. Also in this case it is important to clarify their contribution with their hierarchy. Contact with this target group is generally easy and the targeted colleagues will usually be instructed to join the partnership. This is illustrated by the spotlight on Timisoara.
- **Legally required organisations:** The national or regional law may impose the involvement of given organisations (often public authorities). In this case, the project management can send a formal letter to the organisation in which the legal requirement is mentioned.
- **Network of the organisation:** Public authorities in the same region are often gathered in formal or informal structures, cooperation groups or networks, both at the political and technical level. Involving these organisations can be made easier through the existing structures and networks.

- **Already-known organisations:** The project management may already know and have good contacts with some of the targeted partners. Likewise, colleagues can also help to contact some of the targeted partners. Convincing people with whom the project management has already worked should be seriously considered as potential partners are more likely to join people they already know and have already worked with previously.
- **Organisations involved in other partnerships:** The project management or colleagues in the planning authority might be involved in or might know partnerships involved in other plans and strategies. Potential partners can be found in these partnerships and some of them might be contacted through these channels. In addition, this will create synergies between the SUMP and the other plans. The spotlights on Brno and Krakow give concrete examples on how to make use of pre-existing partnerships.

Generally-speaking and for all categories, it is important for the project management to pay attention to the hierarchy level of the targeted partners. In the case of an elected representative (e.g. a Mayor, President of a larger or neighbouring local authority) or the director of a large organisation, an official personal invitation on behalf of the mayor (or president of the organisation) may have a stronger impact. It should be noted that reaching out via the appropriate higher level person increases the chances of a positive response. Likewise, the project management might contact peers in other departments to look for cooperation with them or to obtain relevant information.

It is important to design a very clear process and agenda so that institutional stakeholders know what is expected from them and how much effort and capacity is required from their side. A main argument for their participation is that their interest could not be considered in the planning process without them.



## LOCAL SPOTLIGHT

### Krakow: The use of existing networks

In Krakow, the project management team undertook an extensive review of existing planning documents and processes in the city. In so doing, the municipality identified numerous stakeholders, within and outside the city administration who were already engaged in different planning activities and who already had some level of dialogue with the municipality.

These meant mainly: experts from Krakow's University of Technology (formerly involved in different transport planning processes, EU projects and evaluation of existing policies), different city departments (such as responsible for overall city development and spatial planning), NGO's (especially those involved in air quality issues and cycling/walking), representatives of surrounding neighbourhoods and other types of stakeholders (such as district councils, chamber of commerce, etc.).

These partners, involved to some extent in transport planning processes, are especially helpful in the process of identifying problems and possible solutions - and will be engaged again in the full SUMP process. The previous contacts with the municipality made the involvement of these targeted organisations easier.



The institutional cooperation process in Krakow includes cycling and walking NGOs  
Photo: Harry Schiffer – Eltis



## LOCAL SPOTLIGHT

### Dresden: Synergies and competition

The development of the SUMP in Dresden presented a good example of how competition and pre-existing relationships can convince different partners to join the local SUMP preparation and implementation process. The competitive factor has been particularly effective in the political field. The municipality managed to involve all political parties of the city council, giving them one seat each at the Round Table – six in total. The participation of some political groups made the participation of the remaining groups very likely. This cross-party involvement creates sustained and long-term political support for the Sustainable Urban Mobility Plan 2025plus. Likewise, because of the competition between the German Automobile Club (ADAC) and the German Cyclists' Federation (ADFC), both organisations were willing to join the partnership. This gives a 'balanced' view to the project, given the arguments of both federations.

In direct contrast to this, all business associations came together, rather as partners than as competitors, considering their similar environments, themes and objectives. In addition to the three seats given to the Chamber of industry and commerce, to the Chamber of Engineers and to the Straßenverkehrsgenossenschaft (service provider for transport and logistics industry), eight other business associations were invited to the Round Table as "second-row" partners. Among them were representatives of other businesses, at local and regional levels.



Round Table meeting in Dresden  
Photo: City of Dresden



### LOCAL SPOTLIGHT

#### Timisoara: The use of in-house skills

In Timisoara, one of the main objectives of the SUMP is the re-thinking of the traffic plan. The first working group set up for this specific task did not include civil servants of other departments. In this context, some key elements and knowledge were missing for the implementation of a successful traffic plan.

To tackle this specific problem, the management team directly selected colleagues working in other departments (environment, energy, urban planning, local police and public transport operator). This selection procedure had the advantage of being fast and allowed the project management team to enlarge the skills and fields of expertise within the partnership.



Presentation of new plans during a meeting of stakeholders in Timisoara  
Photo: Architecture Annual Conference 2015



### LOCAL SPOTLIGHT

#### Brno: the use of existing networks

One of the most important milestones in the process of SUMP development was the formulation of a vision. It was decided to involve important stakeholders, specialists and politicians in a so-called experts workshop: "Brno Mobility – 2050 Vision".

The contact and the involvement of the experts was made easier thanks to the cooperation of Brno Smart City Initiative (Brno City Municipality) which offered to use its existing network of experts from universities, research institutions, etc. This is a successful example of using an existing network of stakeholders.



"Brno Mobility – 2050 Vision" workshop in Brno  
Photo: Marie Schmerková – City of Brno



### 3.3.2 How to understand institutional stakeholders' agendas in the SUMP context?

Given the particular nature of SUMPs, it is very likely that the objectives of the SUMP (see CH4ALLENGE Measure Selection Manual) and those of most of the participating stakeholders overlap or influence each other, either in the area of transport or in other related areas (including spatial planning, environment, energy, health, etc.). In this context, understanding the partners' agendas should be the next step after the selection of and contact with stakeholders. This step is of particular importance as it gives the project management crucial knowledge for involving partners in future activities. It is also during this phase that timing issues, which are related to all partners' agendas should be addressed.

It is also important that this issue follows the previous steps, and that institutional stakeholders are not excluded due to their difference in vision. This needs to be encapsulated in the planning process from the start, or otherwise will bring reoccurring issues to the SUMP.

The objectives of organisations are sometimes obvious such as the goals of representatives of certain population groups (e.g. motorists' or cyclists' federations generally defend the interests of respectively the car users or the cyclists and ask for more dedicated infrastructure and less-constricting policies). In addition, as illustrated in a spotlight about the situation in Krakow, the involvement of stakeholders in other parallel strategies can give indication about the intentions of certain partners. However, goals of other entities are sometimes less clear and more complex (e.g. municipalities may want to favour industry and to limit pollution and noise at the same time).

In order to understand partners' agendas and priorities, the project management should involve all partners in collaborative exchanges through which partners should indicate what their own major goals are and why they are joining the SUMP process. This can be done either during dedicated sessions with all partners or informally and bilaterally. Partners can also be asked to produce short statements to express their views on certain topics.

Then, the project management should combine these objectives to constitute a vision for the SUMP that is approved by the main stakeholders (more information is available in the CH4ALLENGE Measure Selection Manual). The identification of converging objectives will be helpful to create synergies and make the most extensive use of the partners. The spotlight on West Yorkshire shows the benefits of aligning SUMP with the local Strategic Economic Plan. An early identification of conflicting goals will help to limit the negative impact over plans, to identify and solve potential conflicts and to ease the management process.

Conflicting objectives are particular issues the project management should be careful about. It is crucial that these conflicting interests become transparent. It is part of the project management skills to be able to moderate such processes where conflicts are implicit. Communication with organisations that have conflicting goals is necessary as it presents a mechanism to find compromises and solutions (see CH4ALLENGE Participation Manual). In case of conflicts between the goals of the SUMP and those of another plan or strategy, communication is also very important although changing the objectives of the plans might not be easy. Involvement of the deciding bodies (including politicians) might help to align the objectives of different plans.



### Box 5: Aligning the timescales

One particular issue identified by the theoretical research is the conflicting timescales in a partnership. All organisations have their own timescales which are not necessarily flexible. This can create serious problems of management. That is why the project management should, from the beginning of the institutional cooperation process, ask all the partners to give an overview of their planning and to indicate potentially challenging periods such as election periods, budget planning periods etc. The project management can then identify bottlenecks and challenging periods at the SUMP level and should produce, in cooperation with the partners, a provisional timing of the SUMP process so that partners can plan long enough periods of time for specific activities and can all actively contribute to the SUMP. This is particularly true for imperative deadlines (imposed by the law). As the institutional cooperation process depends on several individual schedules (which may change over time), it is important for the project management to plan some relatively 'quiet' working periods in order to make the general planning more flexible and to avoid severe delays.



#### LOCAL SPOTLIGHT

##### Krakow: Align the local SUMP and other plans and initiatives

In the city of Krakow (Poland), the municipality, in the framework of the SUMP preparation process, delivered a review of the existing policies and plans to identify useful tools and a methodology relevant to the process of drafting the SUMP. In aligning the SUMP with pre-existing policies and plans, the municipality intends to understand the aims of partners involved in other processes and give them an incentive to join the SUMP preparation and implementation process.

By way of example, the municipality took into account the Transport Policy for the City of Krakow (2007) in the SUMP preparation process. The objectives of sustainability and protection of the environment (present in the Transport Policy) were adopted as part of the SUMP in order to create a synergy and enable partners working on this policy to develop both policies as efficiently as possible.

Likewise, the municipality analysed the objectives of Urban planning of the City of Krakow (SUiKZPMK), such as the importance of living conditions, sustainable development, adaptation to spatial and institutional contexts or the integration of different transport subsystems, including water and air. This undoubtedly gave the SUMP management team a better understanding of the objectives of the planning department of the municipality and of the environment in which partners are working.

Understanding the objectives of stakeholders not involved in parallel plans was also part of the management team's tasks. For instance, on the occasion of a municipal referendum, the municipality identified organisations which campaigned in favour of more cycling paths in Krakow (the cyclists' organisation "Kraków Miastem Rowerów") and the stakeholders which campaigned for the creation of a metro in the city (mainly academic organisations).



## LOCAL SPOTLIGHT

### Budapest: Effective involvement of stakeholders in the SUMP process

In Budapest, the involvement of partners was not a particular issue at the very beginning of the local SUMP (Balasz Mor Plan, BMT) preparation process as numerous stakeholders accepted to join the process as partners. However, near the beginning of the BMT development, institutional cooperation became more complicated because of a lack of involvement and cooperation among the partners who had agreed to participate. In practice, some partners remained inactive because of other activities. This eventually impacted negatively on the possibilities for common goal setting.

In order to overcome this cooperation barrier, the Centre for Budapest Transport (BKK) and other organisations took a decision which stated that funds can be granted only for those organisations which closely cooperate while elaborating their integrated development plans. In linking the financial aspect to the active participation of the partners, BKK managed to secure both an effective participation of the partners to the SUMP preparation process and a fair distribution of money across partners. It also secured an efficient cooperation across the partnership, in particular for goal-setting.



**Budapest SUMP: Balázs Mór Plan**  
Source: BKK Centre for Budapest Transport

## Box 6: Identification of objectives through parallel plans and strategies

The identification of partners' objectives is made easier when some of the partners are engaged in the preparation of other local plans, strategies or schemes. In this context, the role of the partners is to inform the project management about the local initiatives and plans which can be influenced or impacted by the SUMP. By way of examples, economic growth strategies, local air-quality plans, Sustainable Energy Action Plans (SEAPs), traffic management schemes, companies' internal transport strategies, etc. can be substantially affected by the implementation of a new SUMP. The project management should collect the information and get a better idea of the motivations of participating organisations.



## 3.4 Agreement on responsibilities

As stated already in chapter 3.1.3, the preparation of a SUMP should be considered as an individual project. This can ensure robust governance and reporting mechanisms are in place to enable efficient implementation. Project Management 'best practise' methods such as 'PRINCE 2' provides templates and recommendations for governance structures and the documents required to deliver a project. If these methods are part of the everyday practice in the local authority concerned, they can be applied to the SUMP.

The organisational structure provides a clear orientation for implementation, with the involvement and management of stakeholders including institutions. The guidance can also indicate how and when different institutions get involved.

### 3.4.1 How to agree on the relevant rules, structure and hierarchy?

Institutional cooperation in delivering SUMPs, policies and strategies requires a mutual understanding of expectations, outputs and objectives which should be agreed at the beginning of the plan development.

If the SUMP preparation process is considered as a bespoke project and uses project management mechanisms, some of the rules and structures may be easy to translate from best practise guidance. West Yorkshire Combined Authority has embedded two methodologies ('Prince 2' and 'Managing Successful Programmes') into all project implementation. These are examples of 'best-practise' industry standard guidance and templates on how to deliver and govern projects and programmes.

#### Rules

A set of rules must be decided by the partners involved in terms of project scope, governance and process. The rules will also set out the outputs, timescale, institutional support and resources required. Recommended

mechanisms for clearly articulating these are within a Memorandum of Understanding and/or a formal contract. It is not necessary that all partners go into such a formal agreement but only the key interested/concerned parties

As a broad overview – a MoU or a contract will clearly state the scope of work, outputs expected, delivery timescale, milestones and interdependencies with other work streams. These should be agreed and formalised by all relevant executive stakeholders to avoid ambiguity.

Reporting templates can also help to state expectations from institutions providing input into a SUMP, however this has to be balanced against the potential for originality and insight from potential contributors.

#### Structure & Hierarchy

If SUMP development is considered as a definitive project, with associated project management structures, this should include executive and management levels, which may include horizontal cooperation in various executive and management roles.

There may be an existing and appropriate 'Executive Board' or other conduit set in place to deliver the project; if not, a new board may need establishing. For any governance structure or executive board established, this is usually supported by Terms of Reference document detailing representation, remit and status of that executive group.

Due to the potential social and environmental impact of a SUMP, consultation and engagement processes should be agreed from the outset to ensure the SUMP process is accountable to the public, with appropriate mechanisms for engaging and reporting to public and key stakeholder audiences (see CH4ALLENGE Participation Manual). This should be linked to the Strategic Environmental Assessment (SEA) consultation process.

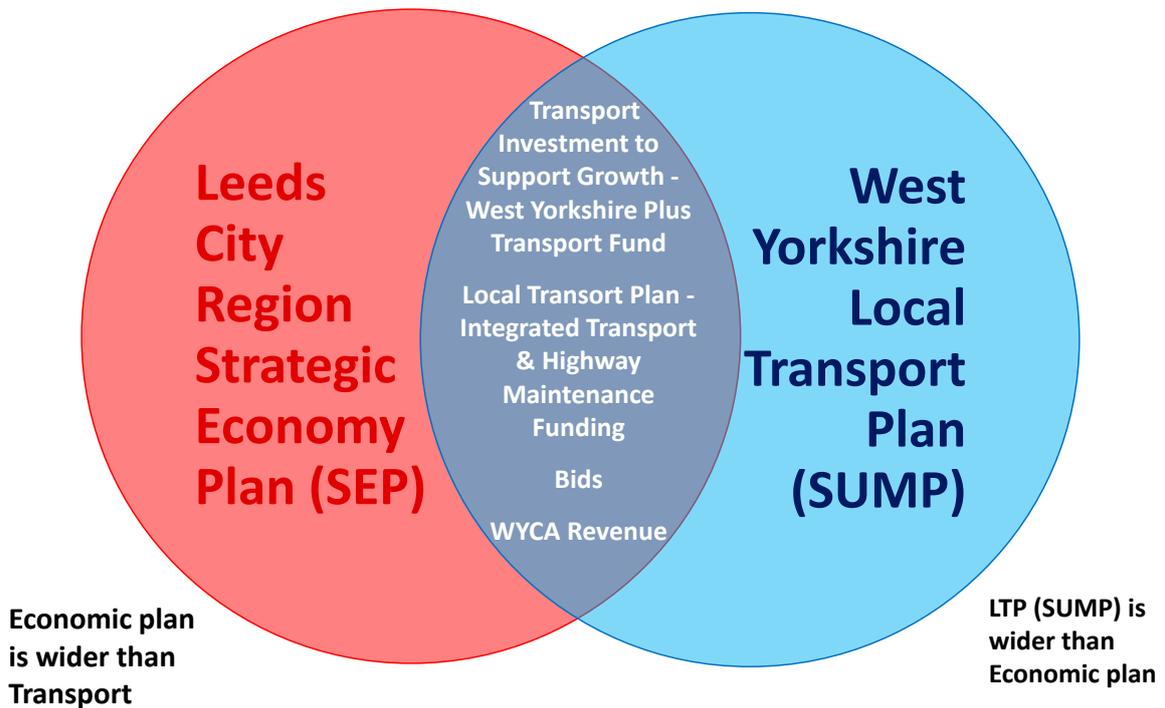


**LOCAL SPOTLIGHT**

**West Yorkshire: SUMP and Strategic Economic Plan alignment**

The West Yorkshire SUMP (or Local Transport Plan) is strongly aligned with the Strategic Economic Plan (SEP) for the Leeds City Region, which is the larger functional economic and travel to work area. The Strategic Economic Plan has been adopted by all the Leeds City Region’s authorities as the key, shared economic vision and strategy. The SEP is intended to transform the economy by unlocking the potential of the City Region and developing an economic powerhouse that will create jobs and prosperity. Developing and delivering improved transport networks is central to the Economic Plan, as ensuring that people, places and jobs are better connected is integral to economic growth. The West Yorkshire SUMP is seen as a key means of delivering the connectivity and sustainable transport choices essential to deliver the economic objectives and to ensuring that environmental, social equity and quality of life benefits are realised for the region’s population.

**Figure 6: SUMP and Strategic Economic Plan alignment**  
Source: WYCA





The governance structure is crucial for ensuring appropriate channels are used to communicate progress of the SUMP and raise issues and challenges at appropriate levels. Public institutions may have existing tiers of governance included elected representatives and senior officers, with a number of executive tiers that approve and decide on policy including SUMP.

Best practise guidance on project management can show example governance structures for project implementation. This is clearly illustrated by the spotlight on West Yorkshire. The approvals process should ensure a hierarchy of appropriate approval, reporting and accountability which flows from technical detailed matters at officer level to strategic, political issues at executive levels.

### **Box 7: What is governance in the SUMP context?**

There are two distinct uses of the term governance: (1) One is the way decisions are made, and policies formulated and implemented within a state government and therefore the spotlight is on norms, institutions and procedures which regulate the actions of state, non-state and private-sector actors. (2) The second definition applies outside of formal government. This identifies non-governmental, non-commercial arrangements, which supplement institutions and support social self-organisation. According to Fürst (2015), governance has implicitly the task to solve concrete problems and not to make profit. In the SUMP context, the first definition would apply to local planning authorities, given their formal responsibilities and functions. The second is relevant to non-governmental organisations and interest groups, which are stakeholders in the SUMP process.

The governance arrangements in place at a public authority directly affect the ability of the authority to achieve the main SUMP characteristics. A review by the public authority of the governance arrangements should involve the identification of institutional, legal or financial barriers and barriers in the management and communication process. Implementing governance arrangements may involve establishing formalised and agreed procedures for joint-working with other departments, neighbouring public authorities, organisations in other policy sectors and public transport operators. They may also include, for example, a commitment to undertake specific citizen participation initiatives. Such arrangements can help to determine an authority's potential to successfully prepare a SUMP, with special regard to whether horizontal and vertical integration and a participatory approach will be achieved.



**LOCAL SPOTLIGHT**  
**West Yorkshire: Project Governance**

West Yorkshire Combined Authority has been using the industry standard Prince 2 Project Management tool for project governance. This ‘off-the shelf’ product presents an example of ‘best practise’ project management and governance that is being used to deliver our WYCA SUMP refresh. The key elements to governance are as follows:

**SUMP Project Governance**

**Executive** – The executive will approve the SUMP, therefore will be asked to make decisions which influence the SUMP content. They will need to be kept informed on a semi-regular basis as the document progresses.

**Project Board** – The project board ensures implementation of the SUMP is made within the established time constraints. They will also make decisions about inputs, alignments with external stakeholders and strategies.

The project board will include the following representation to ensure the product is robust:

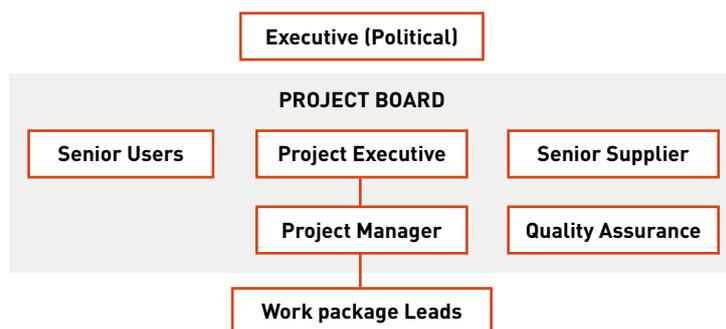
- Senior Users – Ensuring the SUMP product is usable and acceptable to a range of stakeholders
- Project Executive - Delivering executive decisions and ensuring implementation.
- Senior Supplier – Ensuring relevant inputs are delivered on time. This could involve liaison with institutional partners.
- Quality Assurance – Ensuring the SUMP product delivered is of a sufficiently high standard

**Project Management** – Managing implementation of the product, and adhering to constraints stated by project board.

**Work Package Leads** – Responsible for delivering elements of work – e.g. data input. This could include a number of institutional partnership organisations.

The organogram shows an example structure and the articulation of hierarchy level for the decision-making process in the case of the SUMP implementation in West Yorkshire.

**Figure 7: Organogram of the project governance**  
 Source: WYCA





### 3.4.2 How to share and allocate resources?

The resources required to deliver a SUMP may not be located within a single institution and there may be significant constraints. This will result in a need to share tasks and information, possibly among a range of partner institutions.

The UK DISTILLATE project (Design and Implementation Support Tools for Integrated Local Land use, Transport and the Environment), identifies constraints to local authorities delivering projects, including resourcing and funding requirements with a series of strategies and recommended processes included in the DISTILLATE Toolkit.

Creating project milestones for resource sharing are also key to implementation. It is likely that cooperative organisations will have additional work pressures and it could be easy for resourcing to be inadequately appointed, delaying data availability. Creating milestones and interim deadlines is also useful as it will be able to flag up any issues or short fallings with the data.

#### Data

The development of the SUMP may potentially involve significant economic, geo-social, travel, public health and environment data. This range of data is seldom held in a single location and requires the sharing of resources across a number of internal and external organisations. The project management task is to make sure all partners will be willing to share their own data with the other partners and that adequate resourcing is in place to deal with the requests.

Data confidentiality can sometimes be a source of friction or unwillingness to cooperate. The issue of confidentiality should be respected and handled carefully to avoid cooperation problems, with a clear statement of why the data is required; showing the benefits to be generated by the use of the data and explanation of how the data will be used and held by the SUMP authority. Then, partners can agree together on the way they want to collect and share the data (platform, process, etc.) so all partners can rely on a single common set of information.

#### Finance

Given the different national legal rules and the internal procedures within all organisations, a common methodology of resource funding SUMP preparation cannot be applied. However, financial allocation is a very sensitive issue and this should be managed very carefully and in a very transparent way in order to avoid conflicts and ensure an efficient cooperation throughout the whole SUMP process. Therefore, producing a non-ambiguous budget is very important.

Furthermore, allocating money to partners or tasks within the SUMP partnership has several beneficial aspects. First, it is a smart way to involve partners efficiently since they have a tangible reward for their cooperation. This also allows the project management to make partners aware of any limited financial realities of the SUMP process.

### 3.4.3 How to allocate the tasks and responsibilities?

Institutional cooperation is highly relevant to SUMP preparation, as it may be appropriate to use the internal or external support of a partner to develop specific elements. This is often appropriate where a lack of internal knowledge or appropriate skills would reduce quality of the output, or take a longer duration if attempted internally. The input of a specialist can add value to the SUMP through new approaches or perspectives on key issues. Areas of specialism within a Plan where advice could be sought include for example, freight, mode specific travel improvements and air quality improvements. Partners' input can also be used for supporting data or evidence gathering.

Allocation of tasks should be dependent upon the following factors: the resourcing in terms of personnel available and funding, and the skills or knowledge required. The project management should consider which teams are sufficiently resourced to undertake the outputs required.

The project management can use project management tools which help determine and identify appropriate personnel for each task and the level of involvement from



selected partners during the implementation process. The 'RASCI model' provides a type of management selection tool and identifies five groups of stakeholders for each task.

**R – Responsible:** the partner is in charge of completing a task

**A – Accountable:** the partner endorses the results of the task

**S – Supporting:** the partner delivers input that can help the responsible to achieve the task completion

**C – Consulted:** the partner needs to be asked for feedback, and feedback needs to be taken into account

**I – Informed:** the partner needs to be kept up to date with the progress of the plan development.

Beyond the allocation of tasks, the exact scope of specialist input should be detailed in a specification or brief which clearly articulates outputs, relevant data, timescales, background information and cost. Specifications and briefs are critical to ensuring outputs are delivered within a timeframe required and to avoid ambiguity.

Finally, regular update meetings should be scheduled to track progress of inputs from all partners involved in the implementation of the tasks.



Public transport in Budapest  
Photo: BKK Centre for Budapest Transport



## 4 Expand your horizon

We hope you found this manual a helpful resource to learn more about institutional cooperation in sustainable urban mobility planning. If you want to expand your horizon even further we recommend having a look at the following material that complements this manual and is available on the CH4LLENGE website:

- **Quick facts brochure:** a concise summary of reasons for institutional cooperation and approaches to establish effective partnerships for sustainable urban mobility planning
- **Online learning course:** an interactive online course on how to collaborate and work jointly within and across organisations in order to develop and implement a SUMP
- **CH4LLENGE National Profiles:** an analysis of political, legal, social and technological differences in institutional cooperation in Belgium, Croatia, Czech Republic, France, Germany, Hungary, Poland, Romania and the UK

If you are interested in even further material on institutional cooperation in SUMP development and implementation, it might be worth having a look at the following practice-based resources:

- **DISTILLATE** research programme ([www.distillate.ac.uk](http://www.distillate.ac.uk)) Forrester, J. (2008), The DISTILLATE Guide to Cross-Sectoral and Intra-organisational Partnership Working for Sustainable Transport Decision Making
- **GUIDEMAPS Project** Kelly, J. et al. (2014), Successful transport decision-making A project management and stakeholder engagement handbook Volume 1: Concepts and Tools

- **SUMP Guidelines** Rupprecht Consult (2014), Guidelines. Developing and Implementing a Sustainable Urban Mobility Plan.
- **EPTA Project** ([www.eptaproject.eu](http://www.eptaproject.eu)) EPTA project (2014), Position Paper & Guidelines
- **KonSULT project** ([www.konsult.leeds.ac.uk/dmg](http://www.konsult.leeds.ac.uk/dmg)) KonSULT project (2014), Decision Makers' Guidebook

Furthermore, CH4LLENGE has developed a great number of helpful resources on sustainable urban mobility planning that aim to assist mobility planners to initiate SUMP development and further optimise their mobility planning processes.

- **SUMP Self-Assessment:** a free, online tool that enables planning authorities to assess the compliance of their mobility plan with the European Commission's SUMP concept
- **SUMP Glossary:** a brief definition of more than 120 specialist words, terms and abbreviations relating to the subject of sustainable urban mobility planning
- **CH4LLENGE Curriculum:** an outline of key elements to be taught when organising training related to SUMP and the four challenges
- **Online course "SUMP Basics":** a comprehensive e-learning course for practitioners on the SUMP concept and the procedural elements of the SUMP cycle
- **Wikipedia article:** Join the Wikipedia community and contribute to the SUMP article that CH4LLENGE has published!

For more information join us on [www.sump-challenges.eu](http://www.sump-challenges.eu)



# 5 References

## The other three CH4LLENGE manuals

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## 6 Key terminology

Term	Definition
<b>Collaboration</b>	Collaborative planning is a central concept of the SUMP process, which promotes communication and collaboration among organisations through both vertical integration and horizontal integration
<b>Integration (integrated planning)</b>	Integrated planning refers to collaboration and joint working within and across organisations to develop and implement a plan. Such cooperation may involve the alignment of objectives and policies and the sharing of knowledge, data, resources, finance and powers between several organisations.
<b>Interdisciplinary</b>	Interdisciplinary refers to a planning process, programme or project that relates to more than one branch of knowledge or sector (e.g. transport, health, environment, policy, engineering, psychology).
<b>Key stakeholder</b>	Key stakeholders are individuals or organisations having political, regulatory, functional or financial powers as well as relevant competencies.
<b>Leadership</b>	Leadership refers to the act of leading a group of people/organisations, or the ability to do this. Reference is sometimes made to different styles of leadership, which could be e.g. either more democratic or authoritative.
<b>Neighbouring authority</b>	A neighbouring authority refers to another borough, city, district or county authority located within the functioning area of the central city that is leading SUMP preparation and implementation.
<b>Organogram / organisational chart</b>	An organogram is a graphic representation of the structure of one or more organisations showing the relationships of the departments and staff positions.
<b>Partnership</b>	Partnership refers to any agreed cooperation structure between two or more parties in order to work together and eventually deliver a SUMP. In the manual, 'partnership' does not refer to a particular type of cooperation structure.
<b>Planning (local) authority</b>	A public authority, such as a city, county or metropolitan council/municipality, having the powers and responsibility to develop a SUMP. It manages the preparation, implementation and evaluation of the mobility plan.



Term	Definition
<b>Project management</b>	The project management is the team or person from the planning authority in charge of managing the entire SUMP process. The name reflects the fact that the institutional cooperation process should be managed like a project.
<b>RASCI Matrix</b>	The RASCI matrix is a project management tool which helps to clarify the roles and responsibilities of different organisations and people in complex structures. RASCI is an acronym derived from the five key criteria most typically used: Responsible, Accountable, Supporting, Consulted and Informed.
<b>Resource</b>	This refers to the money, materials, staff and other assets that can be drawn on by a person or organisation to undertake a task.
<b>SUMP process</b>	The SUMP process refers to the whole SUMP cycle and includes the analysis of baseline conditions; the definition of SUMP process; the development of visions, objectives, scenarios and targets; as well as the preparation and implementation of the plan.



## About CH4LLENGE

The EU co-funded project “CH4LLENGE- Addressing the four Key Challenges of Sustainable Urban Mobility Planning” (2013-2016) addressed significant barriers for the development of SUMP in Europe. The project focussed on four common challenges which pose significant barriers in sustainable urban mobility planning.

 <b>Participation</b>	Actively involving local stakeholders and citizens in mobility planning processes
 <b>Cooperation</b>	Improving geographic, political, administrative and interdepartmental cooperation
 <b>Measure selection</b>	Identifying the most appropriate package of measures to meet a city’s policy objectives
 <b>Monitoring and evaluation</b>	Assessing the impact of measures and evaluating the mobility planning process

Nine European partner cities were involved in CH4LLENGE and 30 cities outside of the consortium, all committed to improving their mobility planning and representing a diversity of cultures and contexts engaged in sustainable urban mobility planning. The CH4LLENGE cities were supported by a group of organisations with extensive experience of working on mobility planning and SUMPs.

For each challenge, the project cities analysed their local mobility situation, developed new strategies on how to tackle their urban mobility problems and tested solutions in pilot projects to overcome their barriers in participation, cooperation, measure selection and monitoring and evaluation.

Cities with extensive experience in integrated transport planning as well as cities aiming to initiate their first SUMP process should all benefit from the results of CH4LLENGE.

## The CH4LLENGE Kits

Four CH4LLENGE Kits have been developed building on the results from CH4LLENGE training activities with local and national planning authorities, experience from further national and European SUMP initiatives, and from the CH4LLENGE pilot schemes conducted in the participating partner cities. Each kit addresses one challenge and consists of a comprehensive manual, a brochure and an interactive-learning course. Manuals and brochures are available in English, Czech, Croatian, Dutch, French, German, Hungarian, Polish and Romanian.

