

SHAPE-IT Case Study

SUMP Participatory Approach

10 October 2014

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

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

1 Introduction

A Sustainable Urban Mobility Plan is a strategic plan designed to satisfy the mobility needs of people and businesses in cities and their surroundings for a better quality of life (Rupprecht Consult, 2014). It builds on existing planning practices and takes due consideration of integration, participation, and evaluation principles.

The key characteristics of a Sustainable Urban Mobility Plan are:

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

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

SUMP is a planning concept strongly promoted by the European Commission in several policy documents. The Action Plan on Urban Mobility¹ (2009) proposes to accelerate the take-up of Sustainable Urban Mobility Plan and the Transport White Paper² (2011) supports the development of Sustainable Urban Mobility Plans as an instrument to promote clean transport modes and strategic planning. In December 2013, the European Commission released the Urban Mobility Package³ to reinforce its support for urban transport. This EC Communication, titled “Together towards Competitive and Resource Efficient Urban Mobility”, prominently mentions the concept of Sustainable Urban Mobility Plans and encourages the take-up of SUMP in European cities. The Urban Mobility Package was launched in conjunction with the “Guidelines on Developing and Implementing a Sustainable Urban Mobility Plan” (Rupprecht Consult, 2014) and is complemented by a five-page annex dedicated to the concept of Sustainable Urban Mobility Plans.

¹ Action Plan on urban mobility [COM(2009) 490]

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

³ Communication From The Commission To The European Parliament, The Council, The European Economic And Social Committee And The Committee Of The Regions Together Towards Competitive And Resource-Efficient Urban Mobility [SWD(2013) 524-529 final]

SHAPE-IT focuses on two essential components of sustainable urban mobility planning: policy integration and policy processes with special emphasis on participation. This case study looks at factors that influence the successful development and implementation of effective sustainable transport and what effect public participation can have on the acceptance and implementation of policies. There is now momentum building for a new approach to strategic sustainable transport planning across Europe that incorporates public participation as an integral element. Transport planning and transport relevant measures are often the subject of controversial discussions within the urban community. The SUMP concept emphasises that the public should be involved from the very beginning of the transport planning process and not only when the plans are largely completed and only minor amendments can be carried out. This makes it necessary for public authorities to open-up a highly specialized and complex subject area for debate and prepare for participation as part of the planning process.

About SHAPE-IT

The SHAPE-IT project (2013-14) is designed to contribute to a better understanding of the key success factors for sustainable transport policies to effectively influence travel behaviour in European cities. With transferability in mind, it aims to answer the question *“why are sustainable transport policies successful in one place but not in others?”*

Covering all four funding partner countries of the Stepping Stones programme, SHAPE-IT encourages a constructive dialogue between the five project partners and the five project cities, as well as knowledge exchange between the cities. The project partners are Wuppertal Institute (project coordinator), Rupprecht Consult, the Swedish National Road and Transport Research Institute, the Energy Research Centre of the Netherlands and the Cracow University of Technology.

A thorough analysis is performed on selected sustainable transport policies implemented in Munich (Germany), Krakow (Poland), Utrecht (the Netherlands), Stockholm and Lund (Sweden). The analysis is split into two focal areas: the influence of policy processes, and the role of policy integration.

The policy process analysis explores what factors influence the successful development and implementation of effective sustainable transport. Of the many potential influential factors, one has been singled out for particular attention: **public participation** and its effect upon the acceptance and implementation of policies.

2 Public participation in sustainable urban mobility planning

Involving communities in planning is a fundamental duty of local authorities to improve decision-making and is also a requirement stipulated by EU directives and international conventions. Public participation has a democratic rationale by giving citizens and stakeholders the opportunity to be involved in a planning process that is likely to affect them; it has an instrumental rationale by enhancing the decision-making process and its outcomes through the involvement of citizens and stakeholders and it is a social learning process for both those who carry out the participation process and those who participate in it.

Stakeholder and public involvement

Participation reflects the overall integration of citizens and groups in planning processes and policy decision-making and consequently their share of power. A term commonly referred to in participation research is “stakeholder” which may be an individual, group or organisation affected by a proposed plan or project, or who can affect a project and its implementation. Transport planning frequently affects a great variety of different economic, public and social interest groups either positively or negatively, which often results in complex relationships between the city administration and the groups having a stake in the decisions made.

Public involvement, in contrast, usually refers to engaging citizens in planning and decision-making. While stakeholders usually represent positions of organised groups and have a collective interest, citizens are individual members of the public and unaffiliated participants in the involvement process (Kahane et al., 2013).

Aims and benefits of participation

There are various aims and targets of public participation and the engagement of stakeholders that largely depend on the scope of participation, the level of intensity and on how results from participation schemes are processed. In general (see e.g. Krause, 2013), participation aims at

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

Various projects and also the SHAPE-IT case studies have shown that participation processes carried out for SUMP development and for measure option generation lead to plans and measure packages of higher quality. In most cases, participation contributes to greater legitimacy and greater acceptance of mobility plans and transport measures as well as to better political credibility. Last but not least, it aims to create a sense of ownership among stakeholders and citizens, which becomes a crucial element when measure implementation starts.

Levels and intensity of involvement

Arnstein (1969) defined citizen participation as the redistribution of power and developed an eight-rung ladder gradually symbolising participation levels starting with nonparticipation, referred to as manipulation and therapy, to citizen control at the top rung. The ladder illustrates the gradations of citizen participation. In general, the intensity of participation can range from dissemination of information to interaction, dialogue, co-decision and real decision-making (CH4ALLENGE, 2014a).

Participation in transport and mobility planning is less studied than participation in other areas of public policy and planning. Yet the last 20 years have seen a gradual increase in the practice and study of participation in

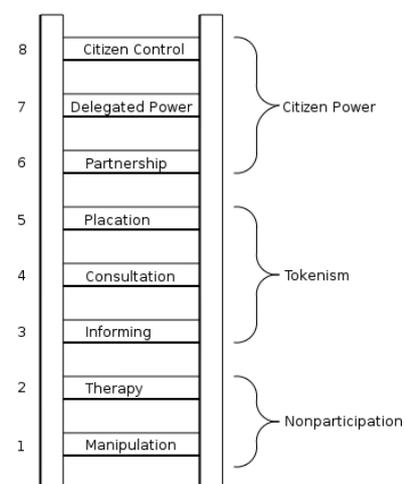


Fig. 1: A Ladder of Citizen Participation (Arnstein, 1969)

mobility planning. In mobility and transport, as in other areas, there is apparent tension surrounding public and stakeholders' engagement in planning processes which frequently involve very technical questions. This emphasises the value of presenting technical information in an understandable manner. Equally important is the consideration how transport and mobility planning can be challenged by, social, political, ethical and cultural questions which the public are well placed to debate (Bickerstaff and Walker, 2005; Mullen, 2012).

28 countries in Europe – 28 different participation cultures

Stakeholder involvement and citizen participation practices in transport planning vary across European countries and between cities. Several countries have formal, mandatory consultation procedures for mid- and large scale transport projects as well as for the development of transport plans and SUMPs (e.g. for Local Transport Plans (LTPs) in the UK and for Plan de déplacements urbains (PDU) in France). Also, a number of European countries have extensive experience in innovative participation instruments in complex planning processes (e.g. the Netherlands, Belgium and Germany). However, there are also a number of countries in Europe that have no procedures or only very limited formal procedures for involving citizens and stakeholders. Here, transport planning still focuses on traffic and infrastructure rather than on planning for and with people. Some of the Eastern European countries belong to this group but also countries from other parts of Europe have yet to adopt sustainable urban mobility planning that take citizens and stakeholders as the focus (Rupprecht Consult/ Edinburgh Napier University, 2012; CHALLENGE, 2014a).

Instruments for involvement

There is a great variety of involvement tools and techniques ranging from tools for information giving and gathering (e.g. letters, posters, leaflets and brochures, newsletters, telephone techniques, web-based tools, surveys) to interactive engagement (e.g. exhibitions, information centres, public meetings, focus groups, transport visioning workshops, citizen juries, stakeholder conferences, planning for real events). The question of the most appropriate involvement tools in mobility in planning is not easy to answer. Careful preparation of the consultation process does not guarantee high participation rates and successful results; however, it clearly influences the level of participation, satisfaction among citizens and stakeholders and the effectiveness of the process.

Common barriers in participation

Research has shown that citizens' interest in participating in SUMP development tend to be rather low. Interest in specific mobility measures, in contrast, is much higher – especially when citizens realise that they are directly affected by a proposed measure. This phenomenon is known as the “dilemma of participation” (Team Ewen 2010, Krause 2014, p. 36). It reflects that the interest of citizens is low in early planning phases when processes are still open and flexible. As soon as planning processes and proposals become more concrete and at the same time more inflexible, citizens' interest increases as they now feel directly affected.

Local authorities also face other barriers when preparing and implementing a participation process. Hurdles to successful participation include, for example, the lack of political will and support for carrying out a participation process, limited financial and personnel capacities, a lack of skills and knowledge about process organisation and an imbalance of stakeholders (CHALLENGE, 2014).

In response to these barriers, SHAPE-IT aims to identify the success factors for organising and carrying out a participation process with stakeholders, citizens or a mix of both. The criteria outlined

in the following chapter aim to assist cities in implementing participation in a way that it is efficient, informative and satisfactory for all parties involved.

Barriers and drivers in a policy process

There are various barriers and drivers influencing the process and progress of policy preparation and implementation. Based on the CIVITAS METEOR (2006) methodology, influencing factors for policy processes have been further developed in SHAPE-IT in order to identify the key factors of success as outlined in the next chapter.

Category	Subcategory	Interpretation as a Barrier	Interpretation as a Driver
Politics and strategy	Opposition / Commitment	Lack of political will based on political and/or strategic motives; Lack of sustainable development agenda or vision	Commitment of key actors based on political and/or strategic motives; sustainable development agenda /vision
	Conflict / Coalition	Conflict between key political actors due to diverging material interests and expectation of redistributive losses	Coalition between key political actors due to shared/ complementary material interests and expectation of redistributive benefits
	Veto players / policy brokers	Key individuals opposing the policy and preventing successful implementation	“Local champion(s)” motivating actors and catalysing the process
	Problem pressure	-	Severity of problems to be solved (e.g. congestion, air pollution)
Involvement of actors and citizens	Stakeholder involvement	Failed or insufficient partnership arrangements and limited involvement of key actors	Constructive partnership arrangements and open involvement of stakeholders
	Citizen engagement	Insufficient or poorly performed consultations with and involvement of citizens; no/limited acceptance of the measure	Broad consultations with and involvement of citizens; overall acceptance of the measure
	Information	Insufficient information of key stakeholders and citizens; lack of awareness raising activities	Information of key stakeholders and citizens; awareness raising activities
	Resources	Lack of personnel and financial resources to carry out a proper involvement process	Sufficient resources reserved for involvement tools and the organisation of a participation process
	Participation culture	Low interest and awareness of citizens ('consultation fatigue'); lack of participation tradition in a country	Citizens and stakeholders are used to take actively part in planning processes; long experience in participatory planning
Institutional structures	Administrative structures and practices	Hampering administrative structures, procedures and routines	Facilitating administrative structures, procedures and routines
	Interdepartmental cooperation	Interdepartmental and interpersonal conflicts; lack of cooperation routines; lack of communication between departments	Facilitating cooperation procedures and routines; regular inter-departmental exchange and communication
	Vertical cooperation	Failed cooperation between administration and higher level authorities/ other political bodies	Constructive cooperation; measure/policy is in line with higher-level strategies and policies
	Spatial cooperation	Conflicting interests and policies between local authority and neighbouring communities; lack of cooperation and communication	Joint regional planning approach increasing the effectiveness of measures
Situational factors	Specific events and local conditions	Specific events or local conditions influence the policy negatively and close windows of opportunity.	Specific events or local conditions contribute to successful policy implementation opening windows of opportunity.

SHAPE-IT's policy process case studies

Munich's cycling marketing approach

SHAPE-IT partner: Wuppertal Institute

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

The "Utrecht Electric" e-mobility scheme

SHAPE-IT partner: Energy research center of the Netherlands

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

Stockholm's Congestion Tax

Partner: Swedish National Road and Transport Research Institute

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

Krakow's Mobility Forum

Partner: Cracow University of Technology

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

3 The SHAPE-IT criteria for a successful policy process

A successful process of citizen and stakeholder involvement, no matter whether it is part of the development of a Sustainable Urban Mobility Plan, the planning of a single transport measure, or the preparation of an entire measure package, is a result of various factors and preparatory tasks. Almost certainly, a local authority will never be able to *guarantee* a successful participation process; however, the careful planning and implementation of a participation process can increase the chances to achieve a high-quality consultation process significantly. Twelve key success factors for successful policy processes were identified in SHAPE-IT. These are based on the analysis of the project's four case studies (see box above). They are enriched by best-practice examples of other European cities and aim to both summarise the cities' lessons learned and to help transport planners in organising a thorough participation process.

Just as with sustainable urban mobility planning, citizen and stakeholder involvement also needs to follow a strategic approach in order to fulfil the purpose of the local participation process and to reach the goals set. A participation process in mobility planning is typically organised by the city administration's transport, planning or urban development department. In some cases, the organisation of a participatory process is also the task of the department for public relation or communication. Regardless of the allocation of responsibility, the most important principle for participation is its **transparency**. This includes the transparency of preparatory works carried out by

the city administration, transparency about who will be involved in the participation process, what its aim and scope is and how views will be considered in the planning process. Public officials need to be aware and believe in the importance and benefits of participation in order to create **credibility** and maintain it throughout the participation process. **Direct and honest communication** is one of the keys to a transparent planning culture and at the same time it is a driver for stakeholders and citizens to contribute to the planning process. If the value of stakeholder and citizen involvement is underestimated within the city administration, this can result in a chain reaction: civil servants not taking participation as serious as claimed leading to a loss of credibility and a de-motivation of citizens and stakeholders to contribute to the planning process, resulting in low participation numbers and a lack of representativeness of views.

Topic area	Success factor
Building political commitment for participation	1. Political commitment and engagement in participatory processes
Thorough planning and preparation of stakeholder and citizen involvement	2. Development of a communication and participation strategy 3. Clear institutional roles and leadership for participation 4. Participation routines and clear structures for active involvement
Achieving a sound basis for participatory planning	5. Thorough identification of stakeholders and analysis of their constellations 6. Early engagement with local supporters and potential veto players 7. Appropriate integration with decision-making
Strategic thinking and planning – making planning processes more efficient and effective	8. Clear management and leadership structures for policy development and implementation
Realising sustainable mobility through support and cooperation	9. Capitalising on support from key proponents 10. Local partnerships and cooperation with private sector actors
Demonstrating benefits and generating momentum for sustainable mobility	11. Test period for measures – a real-life “look and feel” for citizens and stakeholders 12. Communicating the message – branding, marketing and working with the media

1) Political commitment and engagement in participatory processes

Political support for carrying out an in-depth participation processes is one of the crucial factors that influence the outcome of a participation process. Politicians and political committees such as local councils need to commit to taking the results of a participation process into account in the on-going and future transport planning processes. Therefore, it is most important for a city administration to gain sufficient support from local decision-makers to carry out a participation scheme and to integrate results into subsequent technical planning. In many cases, this is easier said than done: some political actors might not regard participation as an opportunity to obtain valuable knowledge and constructive input from citizens and stakeholders; others might fear the open confrontation which could result in a change of plans. Participants of an involvement process hesitate to contribute their opinions and knowledge if they feel that their views are not taken into account. Therefore, the city administration should act as a connecting link by supporting all parties involved to build trust.

Examples

Krakow's Mobility Forum

The Mobility Forum is the Krakow's first official platform to take a step forward to a participatory approach in transport planning. Organised in cooperation with the Polish Association of Engineers & Technicians of Transportation, the Mobility Forum is led by the Mayor of Krakow. This demonstrates the high-level political commitment in Krakow to carry out proper and long-term public participation in transport planning and to take the discussion results in the political and administrative decision-making process into account. Further, the Mobility Forum is attended by local Councillors mirroring its significance as a participation tool even more. At the same time, it is an innovative way to convince the inhabitants and the administrative units (with the participation of the city politicians) that the cooperation among them can intensify the sustainable transport development in their city.

Soundboard Group Meetings in Gent

For the re-development of the main station area in Gent, the City Council established a series of 'soundboard group' meetings held four to six times a year during the project development and construction phase. It served as an information exchange body and aimed to engage residents and stakeholders of the train station area. The soundboard group approach was strongly supported by the Mayor of Gent who attended the meetings just like several of the city's Aldermen. This proved their interest in local opinions and concerns and directly informed the politicians about the local perception of the project's activities (CIVITAS ELAN, 2012).

Risks if not considered: If the lack of political will for carrying out a participation process is missing, this can result in a low priority given to participation also within the administration. Significant efforts and resources are required to gain political support; low level of participation as citizens and stakeholders do not feel to be taken seriously

2) Development of a communication and participation strategy

The identification of the current status of participation within an administration is a crucial first step to clarify the position of both high level officials and civil servants on participation and to assess the relevance they give to it. Reflection on the understanding of the concept, a comparison of what involvement actions have been taken in the past and what the scope of future activities should be, set the foundation for the definition of targets for future participation. Experience has shown that

the development of a participation strategy is an important preparatory step for involvement. It should define rules, procedures and responsibilities within the administration as well as the overarching principles of participation. The CIVITAS ELAN project cities (Ljubljana, Gent, Zagreb, Brno, Porto), for example, observed that “the implementation of citizen engagement was more effective when objectives, participation rules and principles were clearly presented to the participants at the very beginning” (CIVITAS ELAN, 2012). A participation strategy should address all phases of a measure from problem definition to its implementation and define opportunities and the level of involvement for each stage. It should cover the following elements (see also Rupprecht Consult, 2014):

- Aims and objectives
- Identification of stakeholders and the public to be involved (see also Success Factor 5)
- Resources, capacities and budget
- Engagement timeline
- Media marketing strategies and key messages
- Identification of appropriate participation instruments and involvement techniques
- Agreement on the integration with decision-making (see also Success Factor 7)
- Documentation and evaluation of the participation process

Special emphasis should be given to communication and working with the media as measure promotion/ marketing can have a significant influence on a policy’s acceptance (see also Success Factor 12).

Examples

Aberdeen’s Communication Plan for SUMP development

The City of Aberdeen developed a comprehensive Communication Plan for SUMP development in order to seek stakeholders’ and citizens’ views and opinions and to inform them about opportunities for involvement during the various stages of the plan development process. The Communication Plan “indicates the appropriate stages at which stakeholders could be consulted, frequency, method and format of communication with stakeholders and citizens” (Do the Right Mix/ City of Aberdeen, 2012). This included also creating a Project Management Team responsible for providing guidance and deciding on options for inclusion in the SUMP. Aberdeen won the 2012 SUMP Award for its well-planned participation process (for further information, see Do the Right Mix/ City of Aberdeen, 2012).

Munich’s cycling campaign ‘Cycling Capital Munich’

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

Risks if not considered: If purpose, aims and intensity of participation are unclear, unrealistic expectations towards the participation process might be raised by citizens and stakeholders; a non-strategic approach usually goes along with a loss in credibility and transparency, with the risk that objectives are not achieved and with a lack of constructive input and discussions.

3) Clear institutional roles and leadership for participation

The involvement of citizens and stakeholders is closely connected to administrative processes and a local authority's public management procedure. When the overall strategy and timeline have been agreed upon, dialogue structures and the process organisation within the administration need to be set up. It is necessary to define who is in constant dialogue and how, whether this dialogue happens on a constant or project-base and who takes the lead.

The latter aspect links to the general question of responsibilities. Participation can be arranged on a decentralised basis, with responsibilities spread over different departments. Alternatively, participation may be led by a special unit, preferably with direct contact to the mayor, which has the sole responsibility for process organisation and institutional cooperation. It is the practical questions that are often marginalised but which are highly important for the management of the process such as: who should be invited to consultation events? Who decides how often these take place? How are they documented and by whom? A review of resources (personnel, time, financial) and skills is another fundamental step (CHALLENGE, 2014a).

A fixed budget that is dedicated to participation clearly helps in setting up the involvement procedures. However, in many European cities there is no budget reserved exclusively for citizen and stakeholder participation (specifically in transport planning). Therefore, it needs to be carefully assessed whether the activities planned and the budget available match, and whether further funding is required. A review of skills and participation competences within the administration is another essential element in process organisation. The identification of expert knowledge but also knowledge gaps among municipal staff members leads to the question of whether capacity building, in-house training or external support is required.

Examples

Krakow's Mobility Forum

The Mobility Forum is under the lead of the Mayor of Krakow and is organised in cooperation with the Polish Association of Transport Engineers (SITK). The association is a non-government body providing an experience exchange platform for transport experts. In addition, it advises the city administration. Since the association's experts are well aware of the State-of-the-art in transport planning, the city administration, such as the Department for City Development, often draws on their expert knowledge and advice. They work together in a task-oriented approach with the Mobility Forum being one of their major cooperation areas.

Participatory SUMP development in Bremen

The City of Bremen re-launched its Transport Master Plan with a strong participation approach. A project advisory board was established consisting of the Senator for Building and Transport, who took leadership for the board, the Economics Department, Council parties and relevant stakeholders. The project advisory board met every 4 to 6 weeks, discussed results from the participation process and was responsible for e.g. quality control of the entire SUMP development process, made sure that stakeholders' and citizens' interests were taken into account and assessed intermediate results (Just & Abramowski, 2012). In addition, an external consultant was contracted for supporting the entire transport plan's re-launch which also included stakeholder and citizen participation.

Risks if not considered: Administrative processes, roles and relationships are unclear; inefficient use of the limited resources available; delays in carrying out the participation; loss of quality of participation process

4) Participation routines and clear structures for active involvement

If carried out on a regular basis, which is recommended, the involvement of citizens and stakeholders enhances the social learning process for both the leading authority responsible for participation and the participation's target group. Routines help those involved to familiarise themselves with participatory planning. Routines can be understood as a participation instrument that is repeatedly applied (e.g. establishing a round table of stakeholders and city administration staff members that meets on a regular basis and has clear decision-making structures), recurrent events (e.g. regular, interactive face-to-face meetings), or procedures (e.g. the systematic involvement of citizens that always follows a similar structure).

Routines and clear structures allow for continuous evaluation of the participation procedures thus improving the process and fine-tuning the involvement actions. Process evaluation also offers the opportunity to expand the scope of participatory planning step-by-step.

Examples

Krakow's Mobility Forum

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

Participation scheme 'Dresden Debate'

'Dresden Debate' is an open and public dialogue tool between politicians, technical planners and the populace. Dresden has already conducted four debates on selected urban development issues, one of these being Dresden's SUMP 2025plus. A 'Dresden Debate' usually foresees a four week dialogue period that includes meetings, workshops, a large-scale online dialogue and the set-up of an infobox. The dialogue phase is followed by an extensive consultation analysis. As the 'Dresden Debate' is a regularly applied participation instrument, it contributes to establishing a long-term communication culture and helps citizens and stakeholders to accustom to participative processes (City of Dresden, 2014).

The 'SUMP Tuesdays' in Lille

For the development of its SUMP (Plan de Déplacement Urbain, PDU), the City of Lille organised mobility fora and regular open debate sessions called "mardi du PDU" – the SUMP Tuesdays. Citizens and stakeholders were invited to discuss the different themes and parts of the Sustainable Urban Mobility Plan with the political representatives and technical planners (Rupprecht Consult, 2014).

Risks if not considered: The outcome of the participation process might be less representative and of lower quality if participation procedures are carried out only once; if collaborative planning is still a new approach in a local authority, participants might not have enough time to familiarise with it

5) Thorough identification of stakeholders and analysis of their constellations

The identification of stakeholders gives first insights into local interests, from groups that support the given measure or plan to be developed and groups that are ambivalent, through to groups that oppose the measure or plan. The purpose of an involvement process needs to link to the stakeholder groups identified and their interests. If there is the risk that certain groups or citizens may feel left out or do not show any interest in the transport project, this needs to be carefully considered in the selection of involvement tools. Stakeholders frequently interested in being involved in mobility planning are the following (GUIDEMAPS, 2004):

- Government/ authorities: e.g. politicians, higher-level authorities, neighbouring cities, traffic police, emergency services, project managers, professional staff
- Businesses/ operators: e.g. business associations, major employers, retailers, utility services
- Communities/ neighbourhoods: e.g. local community organisations and interest groups, cycle/ walking groups, citizens, landowners
- Others: e.g. research institutes and universities, experts from other cities

Stakeholder mapping can also be complemented by an analysis of stakeholder constellations which is based on different criteria or attributes such as interest, power, or coalitions. “The objective of a systematic analysis of actor constellations is to get a clear picture of conflicts of interests or potential coalitions and to be able to better determine clusters of stakeholders who may exhibit different capacities and interests in the issue in question” (Rupprecht Consult, 2014). An influence-interest matrix can help for the identification and grouping of stakeholders.

Examples

Krakow's Mobility Forum

For each Mobility Forum, local actors that might have a stake in the subject of discussion are identified by the Mobility Forum organisers beforehand and receive an invitation to the Forum event. Stakeholders that have participated in the Mobility Forum so far range from public transport companies, associations of public transport passengers, cycling associations and cyclists to retail associations, environmental organisations, and many more. Due to the great variety of transport issues discussed at the Mobility Fora, the event organisers make sure to carefully identify stakeholders again and again based on the topic of discussion.

Dresden's SUMP Round Table

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

Risks if not considered: Imbalance of stakeholders with weak stakeholders being overlooked; unexpected interventions and conflicts with opposing stakeholders jeopardising the policy; untapped

opportunities to create alliances for a sustainable transport measure (see also success factor 4 “Early engagement with policy supporters and potential veto players”)

6) Early engagement with local supporters and potential veto players

A thorough analysis of how local actors position themselves towards a new transport policy allows local authorities to take the next step – engaging with those who support the measure and also with those who oppose it. Building alliances with, for example, environmental and sustainable mobility organisations, powerful private sector actors or political parties is a crucial factor that helps the implementing authority to raise awareness and to gain stronger acceptance for the planned policy. A wider target audience can be reached by working in partnership, using supporters’ communication channels and networks. It also opens up new opportunities to involve local actors in actual measure implementation and to create synergies.

It is beneficial to also actively approach those actors and organisations (potentially) against the measure in an early phase of planning. Offering them opportunities to express their opinions and concerns is a key aspect when trying to jointly find a solution that is acceptable for all actors involved. Working closely with opponents and those who are ambivalent to supporting might also make it possible to turn around opinions and win them as supporters.

Example

Munich’s cycling campaign

For the implementation of the city’s cycling marketing campaign, key policy supporters were brought on board in a very early stage. The largest Munich-based environmental organisation and its commercial agency were made contracted partners which opened up additional communication channels, access to the organisations’ networks and enhanced acceptability of the policy. Also political actors from various parties promoted the campaign actively and the second deputy mayor took patronage for it. While the national cyclist’s federation ADFC followed the campaign only half-heartedly at first, calling rather for infrastructure investments, the media and the campaign organisers were able to turn around opinions and won the ADFC as a policy marketing supporter. The campaign also actively approached other local organisations for cooperation such as the police.

There was only little opposition to the policy. Interestingly, the campaign worked closely with the local car manufacturer BMW that would generally be considered a veto player (or at least not supporting a cycling campaign) involving them, among others, as a jury member for selecting the campaign’s tenderer. This did not only give stakeholders decision-making power on the campaign contract but also encouraged early engagement and cooperation.

Risks if not considered: Similar to the risks of the success factor above – it might be a missed opportunity to collaborate and establish a work relationship with other organisations and actors committed to sustainable mobility in order to push the given transport policy; veto players might unexpectedly oppose the policy at an advanced stage of planning when the planning process is no longer flexible (see “dilemma of participation” in Chapter 2)

7) Appropriate integration with decision-making

If citizen or stakeholder participation is carried out, this needs to form an integral part of the decision-making process. The engagement strategy should set out transparently the purpose of the

participation process and the links between involvement techniques and key decisions (see success factor 2 “Development of a communication and engagement strategy”). A clear agreement on how results of a participation process will be taken into account in the on-going technical planning process and how to come to a joint, accepted decision is crucial. Giving citizens and stakeholders as much decision-making power as possible is generally favourable; however, it needs to be carefully considered at what level decisions can be taken by a mix of actors and/ or citizens (e.g. strategic decisions) and when decisions should be made by planners and experts (e.g. on technical issues). Tools for engaging local actors and citizens in decision-making include, for example, citizen juries, voting, referendums, expert round tables, or events (e.g. visioning workshops, open space events, focus groups) of which the outcomes are taken into account in the planning process.

Examples

Referendum on environmental charging scheme (Stockholm, Milan)

After a seven-month full-scale trial period, Stockholm residents were allowed to vote on the long-term implementation of the congestion charging scheme thus giving decision-making power to the citizens. It won with a narrow margin of 51% - a result that can be questioned; however, the congestion charging scheme achieved an even stronger congestion reduction impact than initially expected and is now experienced positively.

Also the City of Milan conducted a referendum on congestion charging which revealed that almost 80% of the city’s inhabitants were in favour of upgrading and enlarging the existing charging scheme; major drivers were air pollution concerns. In Edinburgh and Manchester, in contrast, referenda on charging schemes failed. A lack of clarity on congestion charging objectives was identified as one of the key reasons for the failed referendum in Manchester (Swanson, 2009).

Voting on mobility strategies and scenarios (Aachen, Bristol)

As part of the development of Aachen’s SUMP, the city administration initiated a mobility vision development process together with local institutions and stakeholders. In a citizens’ workshop and online consultation, citizens could then vote how much they agree with the visions and add comments on both the 2050 visions and on Aachen’s overall mobility future. After the voting and collection of opinions and ideas, the results were analysed and presented to the city’s expert commissions and taken into account in further SUMP development (Rupprecht Consult, 2013).

The City of Bristol takes a similar approach. The “Future Bristol” project invited citizens to vote online on two low-emission scenarios for 2050 that were developed in a three-stage consultation process with stakeholders, coordinated by the city and a local university. The affectionately illustrated scenarios introduced citizens to various emission reducing measures and even allowed voting and commenting on the policies themselves (Szmigielski, 2014).

Bottom-up mobility visioning in Gent

The most recent governance approach in the participation-experienced city of Gent is transition management. It aims to develop fresh approaches to changes in urban mobility, public space and people’s awareness and attitudes. Gent’s Transition Arena, a group of about 25 creative people from various backgrounds including young entrepreneurs, citizens, architects and transport professionals, brainstormed for one year and devised ten icon projects showing how Gent could look like in 2050. The first icon projects have already been tested. Ideas from the Transition Arena might appear futuristic at first but are growing bottom-up providing a sense of direction for mobility in the long-term.

Risks if not considered: Ineffective participation process and inefficient use of resources if unclear how results from a participation process are considered in the on-going planning process; citizens and stakeholders feel that their views and concerns are ignored; chances for joint agreements and acceptance of the measure decrease significantly

8) Clear management and leadership structures for policy development and implementation

Beyond participation, institutional roles and leadership also need to be clear for all other policy development stages: problem definition, option generation, assessment, decision-taking, implementation as well as monitoring and evaluation. However, in practice, roles and relations within an administration as well as responsibilities and input required from other departments and municipal institutions are often unclear. Cooperation is required at geographic, political, administrative and interdepartmental levels. Due to its complexity, it is helpful to structure and formalise cooperation on the local level by e.g. making legal arrangements or formal contracts of responsibility, by mapping competence areas and working with organisational charts/organograms, by defining functional relations (e.g. with a responsibility assignment matrix), or by defining rules and procedures for institutional engagement (CH4ALLENGE, 2014b). At the same time, inflexible structures should be avoided as project management and cooperation structures need to be responsive to changing circumstances. Leadership within a multi-stakeholder planning process is essential – the leading organisation/ the core team, the role of the policy leader and the leadership style as well as the allocation of responsibilities need to be carefully defined.

For further information on clearly defined roles across departments and interaction at various scales of government, please have a look at SHAPE-IT's policy integration case study.

Examples

Munich's cycling campaign 'Cycling Capital Munich'

In Munich, planning responsibilities for cycle transport are split between five departments as there is no department concerned with transport exclusively. A decision of principle was passed in 2009 making cycling promotion an integral part of the city's overall cycling strategy and establishing seven working groups in which the five departments cooperate on cycling and the cycling campaign. The working groups created a solid basis for the campaign and solved funding and responsibility conflicts so that inter-departmental cooperation was achieved in the end. All five departments embrace the campaign and its positive image now.

Stockholm's congestion charging scheme

The Stockholm congestion charging policy development process was characterised by a highly complex constellation of local, regional and governmental actors with varying levels of activeness that even changed during the process. Unclear responsibilities and a lack of central leadership called for clear management structures. Planners had to work within unclear frameworks and decisions were delayed. Substantial progress was made only after the Swedish Road Administration assumed leadership (after years of planning) and management structures became clearer. One of the key lessons learned in Stockholm is the necessity to define leadership and management structures for policy development and implementation from the beginning.

Risks if not considered: Delays in day-to-day management and delays in overall policy development; objectives are not met; risk that policy fails if no one takes the leadership or responsibilities are blurred

9) Capitalising on support from key proponents

Personal commitment of a 'local champion' can contribute considerably to the success of a policy. A leading individual might be a politician, a city administration's public official, a committed project manager, or a devoted institutional or organisational stakeholder who can raise awareness for sustainable mobility and can speed up i.e. drive the process of planning and implementing a policy. Key characteristics of such a person include the ability to create alliances, to have a significant influence on the planning process, to be able to negotiate and to be capable of mobilising resources (see Rupprecht Consult, 2014). The role of a local champion can be manifold ranging from active promotion and consciousness raising, to activation of local actors and citizens or to leading the policy's planning process. One could conclude that "you either have it or you don't" – nevertheless it is always worth examining during the stakeholder analysis whether a local key person might be a policy's ambassador.

Examples

Munich's cycling campaign 'Cycling Capital Munich'

The cycle campaign idea originates from the city administration's Head of Traffic and Transport Management, who was also the Green's transport policy spokesman and paved the way for adopting the campaign in the Green Party's 2008 election campaign manifesto. He championed the idea and was instrumental in policy implementation.

Krakow's Mobility Forum

The Mayor of Krakow is leading the Mobility Forum which gives the policy high relevance on the political agenda as well as public visibility. Being a person in authority, he has good relations to a large number of actors and networks that he can mobilise for the discussion fora and is at the same time the link between the city administration, the Council and citizens/stakeholders.

Mayors standing up for sustainable mobility (London, New York)

Mayors are in the vanguard of policy innovation and can have significant influence on shaping sustainable mobility in their city. If Mayors stand up for sustainable mobility like in London (Boris Johnson) or New York (Michael R. Bloomberg), this can give a real boost to sustainable mobility policies (e.g. the 127 measures of New York's 'PlaNYC' plan for a greener, more sustainable city released by Bloomberg) and open up new funding opportunities (e.g. London's €2.16m Future Streets Incubator Fund launched by Johnson).

Risks if not considered: A key individual supporting a policy is beneficial to have; it is not an indispensable requirement though. It should be noted that an assessment whether the person is able to fulfil its supportive role is crucial and that there is also the risk of one individual, whether intended or not, influencing the process negatively.

10) Local partnerships and cooperation with private sector actors

The success of a sustainable mobility policy is usually not only the result of an active city administration but also of the dynamic engagement with the target group. A plethora of transport policies including e.g. sustainable mobility promotion, mobility management and low-emission freight measures are heavily based on the acceptance and involvement of local businesses and industry actors. Approaching the private sector target group proactively has turned out valuable in achieving a policy's objectives in various cases – such as in Utrecht. It contributes to community empowerment and stimulating local commitment, but is also an instrument to draw on the private sector's expertise and experience in the policy's topic. Further, it can increase attention for the policy and gain stronger positive publicity. The local authority can act as the facilitator thus promoting cooperation and support with industry. There are also various benefits for the businesses involved: partnership projects can strengthen their voice in policy development and implementation, and transport planning overall, and can build new relationships in the short- and long-term. They might even seek out for further partnerships if they feel that the local authority is supportive in their role as a public sector facilitator.

Examples

The Utrecht Electric Programme

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

Freight Quality Partnerships (UK)

Freight Quality Partnerships (FQP) are an instrument frequently applied in the UK cities to bring industry, local and regional governments together to realise sustainable, economic and efficient freight transport. FQPs provide mechanisms to work together in, for example, regional strategic partnerships, in 'umbrella' FQPs for Local Transport Plan areas, in local distribution, or in company/location specific sites (DfT, 2003). Working in Freight Quality Partnerships can have large environmental (e.g. reduced low carbon emissions, better air quality, lower noise emissions), economic (e.g. reduced costs for businesses through cooperation models) and societal (e.g. better access to goods and services) benefits.

Risks if not considered: Missing the opportunity for cooperation with local businesses, retailers and industry actors may hamper the successful policy implementation and the dynamic take-up of innovative measures at the local level

11) Test period for measures – a real-life “look and feel” for citizens and stakeholders

In contrast to “quick win” measures which help to generate a positive response among citizens and other stakeholders in the short-term, the full positive impacts and effects of controversial measures often become visible only after a longer time-span. In the first instance, public resistance might be high as citizens and stakeholder might regard such a policy rather as imposing a restriction/ limitation on their private and working lives as well as their transport-related activities instead of considering the overall benefits they will profit from in the long-term (better quality of life, improved air quality, better transportation etc.). Using a trial as a tool for convincing the target group (‘seeing is believing’) and testing the measure is a very interesting and obviously valuable approach. Testing a controversial measure over a certain period to demonstrate its positive effects on a city’s environment and for its inhabitants, gives citizens and stakeholder the opportunity to take part in a real-life “look and feel” of the policy and might illustrate (unexpected) benefits.

A policy trial needs careful preparation and consideration of its values and costs. It should not be taken lightly as it requires substantial efforts and resources. It should also be ensured that there are good chances for positive effects to emerge during the test period (e.g. by selecting the correct test site). The planning of a measure with wide consequences will cause considerable public debate which must be given adequate time. In addition, it is important to agree prior to the trial how to proceed after the testing period. This includes clarifications about the analysis of results and the subsequent decision-taking whether to implement the policy in the long-term.

Example

Stockholm’s congestion charging scheme

The congestion charging trial in Stockholm enabled citizens and also politicians to experience the effect of this large-scale measure which was very controversial in the public. Despite the policy’s various positive effects on urban mobility (reduction of traffic volumes, increased efficiency of the transport system, increased public transport use, environmental benefits, etc.), congestion charges are often subject to doubt and have a strong impact on people’s everyday life. The Stockholm trial showed citizens the policies’ positive effects on congestion levels, air and noise emissions as well as quality of life that manifested themselves even greater than predicted. However, the success of the trial period was hard work for all actors involved. The Stockholm City Council decided to drive through the trial without all circumstances having been settled, which turned out to be the right, but also an uncertain decision. Among other things, it was the commitment of individual key persons, professionalism shown by civil servants, generous funding, major extensions of public transport services (to provide alternatives to private car use) as well as time and political pressure that made the trial work successfully.

Proposals for policies such a congestion charging might be better received if a city’s inhabitants were given practical experience and proof of the positive impact before introducing the scheme on a permanent basis, just like in Stockholm. Schuitema argues that the Stockholm findings indicate that “[...] the public are far more likely to embrace this change if they have first-hand experience of it in advance. [...] This logic could be applied to the circumstances in Edinburgh in 2005 and Manchester in 2008, where there was no trial period before congestion charging was put up for vote in public referendums. Over 70% of people in both cities voted against its introduction” (University of Aberdeen, 2010).

Risks to be considered: Inefficient use of budget and personnel resources if trial is not planned carefully; test period for a controversial measure might backfire and not result in policy acceptance

12) Communicating the message – branding, marketing and working with the media

Marketing communications for products in the private sector world have proved to have immense effects on demand and sales. The sustainable urban transport world, often public sector based, can take lessons from company's marketing efforts. Marketing and communication should be integral part of sustainable transport policy development and implementation. The way how mobility measures are branded and marketed and how key messages and results are communicated to different audiences has a significant influence on the level of public acceptance. This also includes establishing good relations with the media. Achieving changes in travel behaviour towards more sustainable transport modes is not only connected to infrastructural measures but requires also user education and information (either as part of hard measures, or as separate soft measures). The key is to market a policy's positive impacts on individuals, a city and wider society.

Examples

Stockholm's congestion charging scheme

The wording of the pricing mechanism was highly influential on public acceptance. Stockholm decided to rename it from 'congestion charge' having a rather negative connotation to the more positive term 'environmental charge' which greatly enhanced public acceptance of the measure. Further, it was decided that income generated from the congestion charging scheme would be channelled back into local and regional public transport system investments. Communicating this as a direct benefit for the Stockholm region residents significantly helped raising acceptance for the measure.

Munich's cycling campaign 'Cycling Capital Munich'

Munich's cycling campaign can be considered a marketing measure in itself including brand development (development of slogans, logo, branded material) and various campaign activities (e.g. events allowing exclusive use of road infrastructure for bicycles, city statute demanding and facilitating construction of bicycle parking facilities). The media was not always a straightforward communication partner with some criticising high public spending for this soft measure and ridiculing the 'safety joker', a small part of the campaign. However, the Mayor of Munich and his second deputy Mayor supported the campaign to the hilt, were able to engage with the media and achieved positive reporting in the end.

Copenhagen Green Accounts

The City of Copenhagen has developed 13 goals that support the city's vision to become the Eco-metropolis of the world in 2015. The city administration communicates regularly on the progress by publishing 'Green Accounts' implementation reports. The Green Accounts booklet is "for everyone interested in the City's environmental initiatives, including citizens, enterprises and local politicians, as well as other decision makers in Copenhagen and other cities" (City of Copenhagen, 2014). It reports in a comprehensive but easy to understand assessment format whether the goals are likely to be achieved, how far the city administration has come already and what efforts are required to meet the expectations that were set. In the Green Accounts, successes are documented and implementation gaps as well as needs for further action are communicated with honesty and openness.

Risks if not considered: Low visibility of the policy and its successes that might result in slow local policy take-up and lower positive impact on urban mobility than expected; risk that media picks up on other aspects of the policy than its achievement

4 Reflections on participation in sustainable urban mobility planning

The emerging trend in cities to move from top-down planning approaches to collaborative planning is debated in both academic research and planning practice. Due to the plethora of large-scale participation processes cities are carrying out nowadays, some experts already speak of the phenomenon of “particitainment” (e.g. Selle, 2013). However, the general difficulties in conducting effective participation in transport planning and the failure of involvement methods in the past mean that the new paradigm of participation is also put into question. This touches, on the one hand, principle questions of participatory planning such as:

- Questions of democracy: does participation actually fulfil democratic requirements since it often involves only small sections of the public or stakeholders (Booth and Richardson, 2001)? Is it a representative decision-making process, if only those that are directly affected and those who regularly visit consultations actively participate in a participation process?
- Questions of acceptance: Does participation actually ensure acceptance? Carrying out a complex and costly participation process neither guarantees the acceptance of a Sustainable Urban Mobility Plan nor the acceptance of a specific transport policy or measure
- Questions of quality: some researchers argue that the quality of decisions does not inevitably increase when consulting the public and in some cases even decreases, inter alia because of a wide range of less significant interests and a lack of expertise (Dietz and Stern, 2008).

On the other hand, there are still practical questions that local authorities face when carrying out participation processes:

- How to progress after having involved stakeholders and the public in workshop series, online consultations and transport visioning events? How to integrate the results into the decision-making process?
- How to take the results into account in the on-going technical transport planning process?
- And how to come to a joint, accepted decision if claims and proposals from the public are unrealistic, unfeasible and – one of the major concerns – financially not viable?

There are, admittedly, a number of questions that have not yet been solved completely in participatory planning. However, moving back to non-participation is no option either. Local authorities need to react to the call for participation that has emerged over the past decade(s) so that citizens and stakeholders, actually being the target groups of urban mobility, are heard and that their views and opinions are taken into account. At the same time, participatory planning processes can educate citizens and stakeholders on how to contribute their knowledge and experiences to mobility planning and how to successfully contribute to democratic decision-making in general. For both parties collaborative planning is still a new approach requiring a learning curve on both sides.

Local authorities can develop more effective and (cost) efficient mobility plans and projects by involving citizens and stakeholders from the initial to the final planning stages and by identifying controversial issues before a decision is made. Participation can prevent opposition and the failure of a plan by bringing the local stakeholders together and reaching agreement on how to progress. Thus delays and costs can be reduced in both the planning and implementation phases. Last but not least,

participation frequently contributes to a sense of ownership of decisions and measures, and creates a greater sense of responsibility among politicians, planners and citizens and stakeholders.

5 Recommendations

The success of a policy process depends on a wide range of influencing factors ranging from politics, commitment of key actors, local conflicts and coalitions to the participatory approach applied, administrative structures and cooperation procedures. Of the many potential influential factors, SHAPE-IT gives recommendations on public participation and its effect upon the acceptance and implementation of policies and also on the administrative organisation of a policy planning process.

Building political commitment for participation

- When the idea of a participatory planning process for the development of a policy is on the table, engage early with politicians and convince them to become part of the involvement process. This gives them the chance to learn more about the policy and sufficient time to establish their own view and position on the planned policy. At the same time, it gives planners opportunities to convince politicians of the transport policy's benefits and increase chances for political support and successful policy adoption
- Find key politicians or persons in authority to assume leadership for your policy's participation process, thus demonstrating a high-level commitment to citizens and stakeholders that their views, knowledge and concerns will be taken into account

Thorough planning and preparation of stakeholder and citizen involvement

- Agree the overall strategic approach at the outset and prepare an engagement strategy that defines when and how stakeholders will be involved, the involvement tools to be used, as well as timing, budget and documentation requirements
- Agree formally on the strategy document to develop a common understanding within the administration on how the involvement process will be carried out; if possible, agree on the document together with primary stakeholders
- Define leadership, responsibilities and dialogue structures for the administrative process of organising and carrying out the participation process
- Review skills and participation competences within the administration and assess whether capacity building, in-house training or external expert support are needed
- If there is no budget reserved exclusively for citizen and stakeholder involvement in transport planning, check whether there are local, regional, national or EU funding opportunities to support your participation initiative
- Develop participation routines to enhance the social learning process, to familiarise participants with participatory planning and to fine-tune the involvement tools applied

Achieving a sound basis for participatory planning

- Identify all relevant stakeholders (primary stakeholders, key actors, intermediaries) as well as their objectives, power, capacities and planning resources
- Analyse stakeholder constellations and identify possible synergies or conflicts between stakeholders

- Engage early with policy supporters and work in partnership – but do not forget to also approach potential veto players, offer them the opportunity to express their concerns and find a solution that is acceptable for all actors concerned, thus avoiding that veto players block the policy at a later planning stage
- Ensure appropriate integration of participation results and have the courage to involve citizens and stakeholders in decision-taking. There are various participation tools out there that allow citizens and stakeholders to jointly decide on strategic and, if appropriate, technical policy questions (see e.g. GUIDEMAPS, 2004; Rupprecht Consult, 2014)
- When appropriate, assign responsibilities and roles for policy implementation to stakeholders already in the participation process to prepare stakeholders for their cooperation and support role in actual measure implementation
- Gain and keep credibility. Do not disregard the importance of transparency and accountability

Strategic thinking and planning – making planning processes more efficient and effective

- Identify a lead organisation with the authority to lead and the capacity to make decisions that has political and citizen support. Make one department responsible but explicitly task them with consulting with the full range of stakeholders
- Clarify and formalise the roles of institutional actors, their competence areas and resource contributions
- Draft an overall work plan for the planning process, indicating all necessary milestones and ensuring political approval. Maintain a certain flexibility to amend the work plan as the work progresses. Ideally, agree on management procedures and tasks also with stakeholders involved in planning tasks

Realising sustainable mobility through support and cooperation

- Find key proponents to raise awareness for your policy and to drive the planning and implementation process. The personal commitment of a local champion can contribute significantly to the success of a policy.
- Identify high-level politicians ready to come out in support if need be
- You're not alone: cooperate with your policy's target groups as it is not only the public administration's responsibility to implement sustainable mobility policies. Approach private sector target groups and convince them to engage in policy roll-out

Demonstrating benefits and generating momentum for sustainable mobility

- If appropriate, test your policy for a certain period and assess the impacts, benefits and problems that occur. A trial can overcome opposition and convince the target group of the policy's positive impacts. It provides a real-life 'look and feel' opportunity for citizens and stakeholders
- Brand your policy, create effective messages and develop attractive information material for local dissemination. Make marketing and communication an integral part of policy planning and implementation
- Work closely with the media to gain their support and to increase the visibility of your policy

- When a policy is being adopted or successfully implemented, this is a major step towards achieving sustainable mobility in your city – it's worth celebrating this with citizens, stakeholders, politicians and the media to maintain momentum and create ownership

6 References

Arnstein, S. R. (1969): A Ladder of Citizen Participation, in: AIP Journal, pp. 216-224.

Bickerstaff K., Walker G. (2005): Shared Visions, Unholy Alliances: Power, Governance and Deliberative Processes, in: Local Transport Planning Urban Studies, Vol. 42 (12), pp. 2123-2144.

Do the Right Mix, 2012: 2012 SUMP Award: Finalist factsheet Aberdeen, at <http://dotherightmix.eu/award/winners>

CH4LLENGE (2014a): Citizen and stakeholder involvement: a precondition for sustainable urban mobility. Conference paper by Miriam Lindenau and Susanne Böhler-Baedeker, Rupprecht Consult. Not yet published.

CH4LLENGE (2014b): How to start the SUMP preparation process. Checklist for key SUMP roadmap activities focusing on Institutional cooperation. Not yet published.

City of Dresden/ CH4LLENGE, 2013: Minutes of first training workshop on stakeholder involvement and public participation in Gent, Belgium, at http://www.sump-challenges.eu/sites/www.sump-challenges.eu/files/page_files/ch4llenge_1st_ws_gent_minutes_final_external-use.pdf

City of Dresden, 2014: About the Dresden Debate, at <http://dresdner-debatte.de/ueber-die-dresdner-debatte>

CIVITAS ELAN (2012): Citizen Engagement in the field of mobility, at: <http://www.rupprecht-consult.eu/whats-new/news-detail/news/new-civitas-elan-document-citizen-engagement-in-the-field-of-mobility.html>

CIVITAS METEOR (2006): CIVITAS Cross Site Evaluation, at: www.rupprecht-consult.eu/uploads/tx_rupprecht/METEOR_Final_Cross_Site_Evaluation_Report.pdf

Department for Transport (DfT), 2003: A guide on how to set up and run Freight Quality Partnerships. Good Practice Guide 335. London/ Oxon.

GUIDEMAPS (2004): Successful transport decision-making - A project management and stakeholder engagement handbook, at http://www.eltis.org/docs/studies/Guidemaps_Volume_1_colour.pdf

Just & Abramowski, 2012: Wie wird der VEP Bremen 2025 entstehen? Kolloquium „Integrierte Verkehrsentwicklungsplanung heute“ Technische Universität Dresden am 15.10.2012, at www.dresden.de/media/pdf/.../VEP_Praes_04_VEP_Bremen_2025.pdf

Kahane, D., Loptson, K., Herriman, J., Hardy, M. (2013): Stakeholder and Citizen Roles in Public Deliberation, in: Journal of Public Deliberation, Vol. 9 (2), Article 2

Krause, J. (2014): Partizipation und Beteiligung bei kommunalen Verkehrsprojekten, in: Gies, J., Hertel, M.: Beteiligungsprozesse – unterschätztes Potenzial in der Verkehrsplanung. Dokumentation der Fachtagung „kommunal mobil“ am 26./27. September 2013 in Dessau-Roßlau, pp. 33-48. Deutsches Institut für Urbanistik gGmbH. Berlin, Germany

Mullen, C. (2012): Mobility (transport), in Encyclopedia of Applied Ethics, Second Edition, Vol. 3 ed R Chadwick, San Diego, Academic Press, pp.137–144

Rupprecht Consult/ Edinburgh Napier University, 2012: The state-of-the-art of Sustainable Urban Mobility Plans in Europe, at <http://www.rupprecht-consult.eu/nc/projects/projects-details/project/sump.html>

Rupprecht Consult, 2013: Municipal Electric Mobility Strategies - outlines, scopes, elaboration processes and integration into strategic frameworks. Expert study on the state-of-the-art for the ELMOS project, at <http://www.elmos-project.eu/outputs/project-level.html#c122>

Rupprecht Consult, 2014: Guidelines on Developing and Implementing a Sustainable Urban Mobility Plan, at <http://www.rupprecht-consult.eu/nc/projects/projects-details/project/sump.html>

Szmigielski, R. 2014: Engaging citizens in Bristol on visions of a low-carbon future (UK), at http://www.eltis.org/index.php?id=13&lang1=en&study_id=4061

Selle, K (2013): „Participation“, oder: Beteiligen wir uns zu Tode? Wenn alle das Beste wollen und Bürgerbeteiligung dennoch zum Problem wird, in: Selle: Über Bürgerbeteiligung hinaus. Stadtentwicklung als Gemeinschaftsaufgabe? Analysen und Konzepte, pp. 275-308. Verlag Dorothea Rohn. Detmold, Germany

Swanson, J. (2009) Gaining public support for congestion charging: lessons from Europe for US metropolitan areas. German Marshall Fund Comparative Domestic Policy Program Policy Brief

Team Ewen 2010: Prozess- und Konfliktmanagement, at <http://team-ewen.de/>

University of Aberdeen, 2010: Congestion charging more likely to be accepted if public experience trial period, at <http://www.abdn.ac.uk/news/3843/>