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CH4LLenge
Addressing Key Challenges of Sustainable Urban Mobility Planning

D6.7 National country profile reports
Analysis of the framework conditions in the participating countries and/or regions

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1 Introduction

CH4LLENGE country profiles have been designed to explore in details the framework conditions under which cities in different European countries (or regions) have to address the four main challenges identified by CH4LLENGE, namely the participation of stakeholders, the institutional cooperation, the selection of SUMP measures and the monitoring and evaluation process. National profiles intend to be key documents to get a better understanding of the political, social, technological, legal and funding differences in each of the participating countries (or regions).

Considering the European wide variety of national frameworks with regards to SUMPs and their importance in the development and the implementation processes, national frameworks are of crucial importance for cities. The legal framework (or the lack of legal framework) and also the practices of other cities of the same country (or region) can have a major impact on the development of a municipal SUMP. Too narrow frames as well as too wide frames can be seen as barriers for the development of SUMPs as it can either prevent the development of innovative measures or let cities without clear guidance. A good knowledge of the national framework is therefore essential for the development of a SUMP. Through this documents, cities (or regions) will be able to acquire the necessary knowledge related to their own national framework.

Each country profile has been elaborated by a partner city, all profiles following the same structure. For each country (or region), the four main challenges identified by CH4LLENGE namely (1) the participation of stakeholders, (2) the institutional cooperation, (3) the selection of SUMP measures and (4) the monitoring and evaluation process are addressed successively. For all four challenges, the related national (or regional) legal obligations are presented. Then some local practices and experiences in relations with the four challenges are described. Finally, both the barriers and the drivers corresponding to the four challenges are presented and discussed.

Country profiles have been elaborated during the second and third semesters of 2014 by the cities of Dresden (Germany), Ghent (Belgium), Brno (Czech Republic), Krakow (Poland), Timisoara (Romania) and Zagreb (Croatia - May 2015) as well as the West Yorkshire Integrated Transport Authority and Executive (United-Kingdom) and the Centre for Budapest Transport (Hungary) which are all partner cities in the framework of the CH4LLENGE project. Information contained in the national profiles describes the actual national (or regional) framework at the time of the writing. Consequently, the absence of information or a small amount of information reflect the actual situation of the national framework in a particular field.

1.1 About CH4LLENGE

A Sustainable Urban Mobility Plan (SUMP) is a strategic document designed to contribute to meeting the European climate and energy targets. It builds on existing planning practices and takes account of integration, participation and evaluation principles. Cities frequently face major barriers while creating their own Sustainable Urban Mobility Plans. In CH4LLENGE, nine European cities and eight supporting organisations have teamed up to tackle the four most pressing challenges in sustainable urban mobility planning: participation, cooperation, measure selection and monitoring and evaluation.
2 Country profile - Belgium

Author: City of Gent – POLIS (July 2014)

2.1 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMPs in particular?

The new ‘Gemeentedecreet’ in Flanders [Decree on the functioning of municipalities]1 requires municipalities to engage citizens in all kinds of planning activities. The approach can vary amongst the different cities. The minimum requirement is to involve the GBC (local support commission).

In the case of the city of Gent: The city is using the GBC (local support commission with major stakeholders on mobility). The regular members are: City of Gent, Flemish Government, De Lijn (public transport operator in the province of East-Flanders).

The City Council can decide to open all or some debates of the GBC to the inhabitants or certain target groups.

What are national experiences and practices that set the framework for public involvement in general and for SUMPs in particular?

In the case of Gent: in 2013, Gent organised a ‘think along’ class on one specific theme: the future parking plan. There were 2 evenings of round tables on specific cases.2 Each table had a moderator and a rapporteur. Also a drawing artist made impressions of the forwarded solutions. The minutes of the round tables were published on the website of the mobility company.

- [Participatie op Vlaams niveau, 2012-06-21](http://binnenland.vlaanderen.be/decreet/gemeentedecreet)
- [Informatie voor kinderen: Lees hulp parkeerplaatsen in voetplekken, 2008-12-09](http://www.mobiliteitgent.be/nieuwe-mobiliteit/nieuws/denk-mee-over-het-nieuwe-parkeerplan-voor-gent)

Experiences and practises are to be found on the website of Mobility in Flanders.3

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What are barriers in your country with regards to public involvement for SUMPs?
No specific barriers: the SUMP already exist – it is always a question of updating – for specific matters, there is the possibility to invite the public to think along for future solutions.

On the general website of Mobility in Flanders4, all general barriers are listed.

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<th>CONTRA</th>
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<tbody>
<tr>
<td>Brede eigenaarschap van de beslissing.</td>
<td>Burgers zijn niet in alles geïnteresseerd (ver-vanrijn-bedrijf).</td>
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<tr>
<td>Participatie leidt tot meer democratie.</td>
<td>Participatie leidt tot een uitholling van het representatieve stelsel en rommels in aanstelling van het politieke ornaat.</td>
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<tr>
<td>Participatie leidt tot beter geformuleerde beleidsdiscussies. Dat verhoogt de effectiviteit en de slagen kans.</td>
<td>Burgers hebben niet de nodige kennis, vaardigheden of civic skills om deel te nemen aan het beleid.</td>
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<tr>
<td>Participatie leidt tot een efficiënt inzet van middelen en verhoogt dus de efficiëntie.</td>
<td>Participatie is verouderd in koetshoeid tijd.</td>
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<tr>
<td>Participatie verhoogt de kans dat de doelgroepen die bereikt moeten worden, ook daadwerkelijk bereikt worden.</td>
<td>Wat met de participatiedoelen?</td>
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<tr>
<td>Participatieprocessen kunnen de kloof tussen burger en politiek verkleinen.</td>
<td>Dit kloof kan nog groter worden als blijkt dat de adviezen niet gevolgd worden.</td>
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<tr>
<td>Participatie verhoogt de transparantie van het beleidsproces.</td>
<td>Mogelijke miscommunicatie over impact van de consultatieonde.</td>
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<td>Participatie stimuleert het gezamenlijke denken en het wederzijdse debat (educatieve waarde).</td>
<td>Transparante veronderstelling onvoorwaardelijke toegang tot documenten, vergaderingen… (cf. openbaarheid van bestuur).</td>
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<td>Participatie kan gelijktijdig creëren door het creëren van alle betrokken.</td>
<td>Toegankelijkheid: niet alleen fysiek maar ook qua taalgebruik, kennisniveau,…</td>
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What are drivers in your country with regards to public involvement for SUMPs?
Participation leads to more democracy. More people can contribute to the liveability and organisation of their city. Participation will lead to a broader base and to ownership.

Participation leads to better formulated policy choices and a good use of resources, more effective measures and increasing rate of success.

Participation is striving to reach all target groups.

Participation decreases the gap between politics and citizens.

Participation leads to higher transparency of the policy process, which can avoid problems and complaints.

2.2 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. are there legally defined models for institutional cooperation?

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The legal obligation refers to:

The installation of a local guidance commission (GBC), a regional mobility commission (RMC). In some cases, cooperation is needed with other consultative bodies (the province, Flemish government ...).

From the website Mobiel Vlaanderen:

“Met het Decreet van 20 maart 2009 betreffende het mobiliteitsbeleid, gewijzigd bij decreet van 10 februari 2012 heeft de Vlaamse Regering het mobiliteitsplan bekrachtigd als een beleidsinstrument om een geïntegreerd en duurzaam mobiliteitsbeleid te voeren.

Om het duurzame mobiliteitsbeleid op lokaal te operationaliseren wordt in elke gemeente een Gemeentelijke Begeleidingscommissie (GBC) opgericht, die de ontwikkeling van de plannen en de projecten voorbereidt en de uitvoering ervan begeleidt. De gemeenten worden begeleid door ambtenaren van de provinciale cellen van de afdeling Beleid Mobiliteit en Verkeersveiligheid (BMV) van het Departement Mobiliteit en Openbare Werken, die hiermee voltijds bezig zijn.

Daarnaast wordt er in elke provincie een Regionale Mobiliteitscommissie (RMC) opgericht. De RMC is verantwoordelijk voor de uitvoering van de kwaliteitscontrole op het ontwerp, de evaluatie en de herziening van de gemeentelijke mobiliteitsplannen en op projecten. De RMC doet daarvoor een beroep op kwaliteitsadviseurs.

In een aantal gevallen werken de overlegorganen van het lokaal mobiliteitsbeleid nauw samen met andere overlegorganen voor mobiliteit. Het betreft de Provinciale Commissie voor Verkeersveiligheid (PCV) en de Adviesgroep voor Verkeersveiligheid op Vlaamse Gewestwegen (AVVG) die georganiseerd worden door het Agentschap Wegen en Verkeer en het Forum Openbaar Vervoer dat georganiseerd wordt door De Lijn.”

"With the Decree of 20 March 2009 on the mobility policy, as amended by Decree of 10 February 2012, the Flemish Government ratified the mobility plan as an instrument for local authorities to conduct an integrated and sustainable mobility policy.

To implement sustainable mobility policies locally in each municipality, a Municipal Supervisory Committee (GBC – Gemeentelijke Begeleidingscommissie) was established, which prepares development plans and projects and supervises their implementation. The municipalities are accompanied by officials from the provincial cells Mobility and Traffic Safety Administration (BMV) division of the Department of Mobility and Public Works, who are working on this full time.

In addition, in each province a Regional Transportation Commission (RMC) was established. The RMC is responsible for the implementation of quality control on the design, evaluation and revision of the municipal mobility plans and projects. The RMC involves experts to achieve this.

5 Website of Mobility in Flanders, webpage on the decree, http://www.mobielvlaanderen.be/overheden/overlegorganen.php
In some cases, these boards work closely with other bodies for mobility. It concerns the Provincial Commission for Road Safety (PCV) and the Consultative Group on Road Safety on Flemish roads (AVVG) organized by the Agency for Roads & Traffic and Public Transport Forums organized by the public transport authority."

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?
Although there is a widespread culture of inter-municipal cooperation, the mobility covenant policy is based on tri-lateral agreements between the region, the PT operator and the city, not on a partnership between municipalities.

What are barriers in your country with regards to institutional cooperation for SUMPs?
There is no structural cooperation between in Belgium between different stakeholders involved in mobility. There are a lot of institutions involved: The Federal government, the Flemish government (with its own mobility plan – managing the main roads and highways) – organized per province, the cities that have mostly different departments (mobility, parking, urban planning, roadworks, events...). Next to that there are: bus & tram company, national train company, interest groups, lobby groups, environmental organizations. Hey all have their own plans, budgets, agendas, targets, goals, etc. There is no holistic approach and no overall (overarching) organization.

What are drivers in your country with regards to institutional cooperation for SUMPs?
Thanks to the GBC, the planning aspect is more integrated and there is a follow up of the agreements.

2.3 The measures selection challenge

What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?
Own funding and planning: circulation, bicycle paths, zone 30, parking... are matters that are decided within the city council, on their own roads.

With regards to cycling: there is a fund which gathers the financial budgets from different stakeholders (local, Province, Flemish,...)

With regards to bus&trams stop infrastructure: it is partly subsidised by the public transport company De Lijn.

With regards to School environment: partly subsidies by the Flemish Government.

What are barriers in your country with regards to measure selection for SUMPs?

1. Financial barriers
2. No holistic approach
3. Lack of political will
4. In Flanders, there is no such concept as a ‘city region’, which means that the mobility plan stops at the city borders. Cities can decide to broaden the region described in the SUMP on own initiative or involve adjacent municipalities.
What are drivers in your country with regards to measure selection for SUMPs?
None reported.

2.4 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMPs in particular?
1. Yearly progress report to GBC, to evaluate the agreements made between all partners
2. Quick Scan = evaluation. The cycle of the mobility plan is normally 6 years, (this is the duration of a legislation), when new policy makers come to power, the mobility plan goes through a quick scan.

The result of that scan can be threefold:
1. There is need for a completely new plan;
2. Keeping the existing plan, but adding new themes or in depth elaboration of existing themes;
3. Confirming the existing plan and only making small adjustments of it.

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMPs in particular?
None reported.

What are barriers in your country with regards to monitoring and evaluation of SUMPs?
1. No subsidy is foreseen
2. No reporting to the Flemish government
3. No thorough traditions on monitoring and evaluation
4. Information and data is spread amongst a lot of governmental institutions

What are drivers in your country with regards to monitoring and evaluation of SUMPs?
None reported.

Further information about the SUMP framework in Belgium can be found on the dedicated page\(^7\) of the ENDURANCE project.

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\(^7\) [http://www.epomm.eu/endurance/index.php?id=2809&country=be](http://www.epomm.eu/endurance/index.php?id=2809&country=be)
3 National profile: Croatia
Author: City of Zagreb – POLIS (May 2015)

3.1 General SUMP framework
SUMPs in Croatia are not legally defined, there are no national guidelines for their preparation and they are not connected to national funding sources. Political support to SUMPs exist.

Cities of Dubrovnik (pop. 42,615), Umag (pop. 12,901) and Novigrad (pop. 4,345) prepare Sustainable Urban Mobility Plans through the Adria.MOVE IT! project8 (2007-2013). The City of Koprivnica (pop. 30,854) develops a SUMP within the CIVITAS Dyn@mo project9 (2012-2016) and the city of Zagreb (790,017) plan to take a new innovative, participative and successful step in sustainable urban mobility planning through the CH4LLENCE project10 (2013-2016).

The Department of Urban Transport within the Faculty of Transport and Traffic Sciences has carried out two scientific research projects (Funded by the University of Zagreb): the Development of Sustainable Urban Mobility Plans (2013-2014) and the Analysis of the Role of Public Transport in the Sustainable Urban Mobility (2014).

3.2 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMPs in particular?
There is no legal obligation for developing SUMPs, thus neither for Public involvement in SUMP process.

However, public debates are mandatory for:

- the adoption of spatial plans
- strategic environmental assessment
- the implementation of urban and architectural competitions

The situation in Zagreb:

The City of Zagreb has no SUMP as a separate document, but its principles are contained in certain areas of the development strategy of the City of Zagreb. Citizens are informed of what a SUMP document is and what its benefits are, so they can be more involved in the process towards SUMP.

What are national experiences and practices that set the framework for public involvement in general and for SUMPs in particular?
So far only 4 SUMP’s have been implemented, this number is too low for an assessment of public involvement.

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9 [http://civitas.eu/content/development-and-adoption-sustainable-urban-mobility-plan](http://civitas.eu/content/development-and-adoption-sustainable-urban-mobility-plan)
10 Website of the CH4LLENCE project, [http://www.sump-challenges.eu/content/city-zagreb](http://www.sump-challenges.eu/content/city-zagreb)
The situation in Zagreb:

By way of example, in Zagreb, the city has a long tradition in urban planning and has years of experience in conducting public debates. Any reasoned objections of citizens are respected and taken into account, so it could be said that this system works well and for a relatively long time.

However, the experience of public involvement in SUMP is weak because the SUMP still needs to be developed and introduced to the public. Citizens are nonetheless aware of their options and obligations arising from The Aarhus Convention and NGO’s are encouraging their active participation.

What are barriers in your country with regards to public involvement for SUMPs?
The first barrier is the lack of regulatory framework. The lack of awareness and knowledge of citizens on the need for documents such as SUMPs reduces the overall interest of the citizens in the subject. Unfortunately, because of the economic crisis, the issues related to SUMP are not considered as a priority for many citizens.

Interest in SUMPs still exists, to some extent, in particular in certain elements of the SUMP, because of the lobby work of several citizens. However, for the time being, citizens do not have enough information to see the big picture and the overall benefit of the SUMP document.

What are drivers in your country with regards to public involvement for SUMPs?
The existence of NGOs working very actively, and the interest of cities administrations in working on the improvement of the current situation are the main drivers.

3.3 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. are there legally defined models for institutional cooperation?
Institutional cooperation in general is defined in some laws (Spatial planning, Environmental protection) but it is not defined for SUMPs. However, institutional cooperation is mandatory for drafting certain documents.

The results of public consultations conducted in 2014 by Faculty of Transport and Traffic Sciences (FTTS) on the theme of "Sustainable Urban Mobility Plans" in Croatia indicate a lack of coordination on the topic of sustainable urban mobility between local, county and national levels.

The situation in Zagreb:

Institutional cooperation is also defined in ZagrebPlan - Development Strategy of the City of Zagreb.¹¹

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?
Cooperation works satisfactorily, although there is still much space for improvements in line with the need for modernization and new European initiatives. Yet, there is no system which would ensure communication between all relevant institutions.

What are barriers in your country with regards to institutional cooperation for SUMP s? 
The inertia of a large administrative system slows down the process and is one of the barriers. 

As regards to the ongoing adaptation to new European systems, Croatian local authorities have 

Despite the initial lack of specific skills and knowledge, the system works well but slowly. 

What are drivers in your country with regards to institutional cooperation for SUMP s? 
The interest of institutions in drafting and adopting SUMP s strongly encourages and facilitates 

3.4 The measures selection challenge 

What are the legal obligations with regards to transport functions to be provided by cities? 

The Ministry of Maritime Affairs, Transport and Infrastructure proposes a strategy for all types of 

The situation in Zagreb 

In the Zagreb Plan - Development Strategy of the City of Zagreb, the municipality indicated where 

- C4. IMPROVING URBAN QUALITY AND CITY FUNCTIONS 
- C4. P3. IMPROVING INFRASTRUCTURE AND TRANSPORT SYSTEMS 
- C4.P3-M1 Development of air transport 
- C4.P3-M2 Integration and improvements to the quality of street and road networks 
- C4.P3-M3 Improving public passenger traffic 
- C4.P3-M4 Improving static traffic 
- C4.P3-M5 Development of a system for managing and supervising traffic (ITS) 
- C4.P3-M6 Improving bicycle traffic 
- C4.P3-M7 Improving municipality services equipment in the city area 
- C4.P4. IMPROVING REGIONAL TRANSPORT CONNECTIONS 
- C4.P4-M1 Modernisation of suburban railway transport 
- C4.P4-M2 Development of integrated public transport 

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What are national experiences and practices that set the framework for measures selection for SUMPs in particular?
Experience is modest but a lot of work has been done in order to achieve improvements.

The comparison of the responses of public consultations in Croatia and in the EU on the theme of sustainable urban mobility plans, leads to the conclusion that both in Croatia and in the EU, the first three priorities are the same: walking and cycling; public transport and; integrated transport systems.

What are barriers in your country with regards to measures selection for SUMPs?
The lack of funding due to the economic crisis as well as a low level of local economic activity are the main barriers.

Measures could be easily implemented if the participation and the institutional cooperation existed at a higher level. Participation and institutional cooperation do exist but are not enough efficient.

What are drivers in your country with regards to measure selection for SUMPs?
The development of National transport strategy documents has been finished at the end of 2014. This document are expected to be the basis of a comprehensive, intermodal, developed and socially responsible transport system.

The situation in Zagreb:
The Traffic MasterPlan for the City of Zagreb is under development and is expected to be a basis for the development of SUMP in the area of measures selection at the local level.

3.5 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMPs in particular?
Generally-speaking, in Croatia there is no monitoring and evaluation of specific measures from individual cities traffic studies. Only a small number of Croatian cities have a traffic study (and even less have quality traffic models). Eventually, when traffic studies reach a certain level of development (ie. after 10 years), assessments are conducted to identify the most and least successfully implemented measures and themes.

Monitoring and evaluation are a mandatory part of the reporting process as defined in the ZagrebPlan - City of Zagreb Development Strategy (Strategic Development Directions for the Period Ending in 2013, extended to 2015).

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMPs in particular?
The urban transport field has been monitored for long time. However, the problem is that analyses have sometimes been done on samples or with methods which are not statistically representative or which were different, as they were planned to be used for different purposes. Results are therefore not always comparable or objective and thus difficult to evaluate. In general, monitoring results are numerous, but they mainly serve to provide general information and are not used to illustrate consistent measurement system.
Regarding SUMP s, Croatia is at the beginning of the monitoring and evaluation process. Croatia is adopting new European initiatives and systems, consequently serious results are to be expected.

**What are barriers in your country with regards to monitoring and evaluation of SUMP s?**
There is an obvious lack of experience in this area, but improvements are to be introduced. However, it has to be accepted that it takes time to make adjustments needed to move to latest trends of work from the previous modes and traditions. Following the reduced economic activity, the lack of funding also certainly slows down the process.

**What are drivers in your country with regards to monitoring and evaluation of SUMP s?**
National transport strategy documents introduced by the end of 2014 are expected to be the driver at the national level regarding monitoring and evaluation.

*The situation in Zagreb:*

The main driver at the local level is the existence of the strategic document ZagrebPlan which establishes monitoring and reporting as an obligation in the implementation of any activities defined by the plan.
4 Country profile: Czech Republic

Author: City of Brno – POLIS (July 2014)

4.1 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMP in particular?
The legal obligation regarding the citizens’ involvement is connected with the Land-use (Master) plans. According to the Building Act, the different stages of the preparation of the Land use plans (both for municipalities and regions) have to go through the procedure of public hearing.

There is no such obligation for the process of SUMP yet.

What are national experiences and practices that set the framework for public involvement in general and for SUMP in particular?
Since the process of the preparation of SUMP in the Czech Republic is only at the beginning there are no national experiences or guidelines how to work with the public in this case.

However public participation in the process of the preparation of the land - use plans for cities and regions is set by law. Also the format of the involvement and the its timing is framed by law.

The experiences from other European countries/cities or national projects (not always related to transport issues) can be used.

What are barriers in your country with regards to public involvement for SUMP?
Generally there is no big tradition in public involvement, not only from the side of the authorities but also from the side of the public. The appropriate methods are tested, e.g. public discussions, guided tour at the places with the planned constructions, leaflet and information campaigns or special dedicated websites.

Public involvement which is referred in the land-use planning process set also the format of the public involvement – exact time when the documentation is open to public, the deadlines for the comments of public or institutions and also the format how these comments are answered.

What are drivers in your country with regards to public involvement for SUMP?
The situation is changing - the authorities are more aware of the fact that public involvement is necessary for the successful implementation of the measures/plans and their acceptance. And public becomes itself more organized and experienced, so the public authority has an institutionalized partner to deal with (local NGOs).

Also participation in European projects and successful examples from other countries can be considered as a driver.

14 Idem
4.2 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. Are there legally defined models for institutional cooperation?

The legal obligation for institutional cooperation is connected with the Land-use (Master) plans, with the issuing of the Building permissions. According to the Building Act, the different institutions have to demonstrate if the proposal for the measure or plan is in accordance with other documentations, intentions or planned interventions in their field of scope. The list of the institutions which have to be addressed is set by Law (e.g. Ministry of transport, Ministry of Environment, Ministry of Defense, The Regional Authority, Regional Public Health Authority, Neighboring Municipalities, The Czech Bureau of Mines, Czech State Energy Inspection, etc.)

There is no such obligation for the process of SUMP yet, especially in active forms of cooperation.

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?

Since the process of the preparation of SUMP is only at the beginning there are no national experiences or guidelines which institutions should be involved.

But the examples and experiences from land-use (transport) planning can be used.

What are barriers in your country with regards to institutional cooperation for SUMPs?

Institutions in the Czech Republic and their field of scope are very fragmented – have a narrow expertise in their topic only. They are not well developed and practiced forms of active cooperation.

What are drivers in your country with regards to institutional cooperation for SUMPs?

The existence of the process of SUMP preparation can be considered as a driver itself.

4.3 The measures selection challenge

What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?

The legal obligation regarding transport functions are in accordance with Regulation (EEC) No 1191/69 of the Council of 26 June 1969\(^\text{15}\) on action by Member States concerning the obligations inherent in the concept of a public service in transport by rail, road and inland waterway. Every municipality has its one internal procedure for the implementation of the measures. Final decision of the implementation (and thus the financial support from the city budget) is up to City Council and City Assembly and therefore a political one. Obligations are more related to e.g. building permissions, concluded contracts, etc.

What are national experiences and practices that set the framework for measures selection for SUMP in particular?
Since the process of the preparation of SUMP is only at the beginning there are no national experiences how to set the framework for the measure selection.

What are barriers in your country with regards to measures selection for SUMP?
The lack of financial funds and political willingness.

What are drivers in your country with regards to measures selection for SUMP?
The support from EU projects and the fact that SUMP is seen as a supporting document for EU co-financed projects.

4.4 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMP in particular?
In the field of the environment there are limits set by the law which are monitored (air pollution, noise, etc.), the level of the transport and quality of the transport is set by the Technical Standards. The other indicators such as modal share are not obligatory but they are set by the individual city policies.

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMP in particular?
Since the process of the preparation of SUMP is only at the beginning there are no national experiences how to set the framework for monitoring and evaluation.

Monitoring and Evaluation in e.g. case of Transport Plans is not strictly required.

What are barriers in your country with regards to monitoring and evaluation of SUMP?
There are no main barriers, because we are at the beginning of the process of SUMP preparation. Maybe we can consider the lack of experiences with the evaluation as a barrier.

What are drivers in your country with regards to monitoring and evaluation of SUMP?
The need for comparable results and achievements.

Further information about the SUMP framework in Czech Republic can be found on the dedicated page\textsuperscript{16} of the ENDURANCE project.

\textsuperscript{16} http://www.epomm.eu/endurance/index.php?id=2809&country=cz
5 Country profile - Germany
Author: City of Dresden – POLIS (July 2014)

5.1 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMPs in particular?

Legal obligations with regards to public involvement in general are part of the national Town and Country Planning Law “Baugesetzbuch”\(^1\) (BauGB). The table below gives an overview.

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Instrumente und Bürgerbeteiligung nach Städtebaurecht des Bundes/BauGB (Stand: 30.11.2006)

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Geplante Baugesetzbuchnovelle:
Entwurf eines Gesetzes zur Einführung von Planungsvorhaben für die Immenentwicklung der Städte*

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For SUMPs there are no legal obligations.
In Germany there are national recommendations for Transport Planning\textsuperscript{18,19} made by the research association for streets and transport and communications (FGSV), a charitable technical scientific organization.

**What are national experiences and practices that set the framework for public involvement in general and for SUMPs in particular?**

National experiences are many and different. Public involvement is recommended and can be organised at several stages of the planning process. A lot of experiences are made in German cities which have public involvement at the beginning of the planning process (e. g. Bremen, Leipzig) or in the final phase of the planning process (e. g. Dresden).

**What are barriers in your country with regards to public involvement for SUMPs?**

There are financial and management barriers: staff resources and budget are needed on the first place, followed by know-how, guidance and tools, as well as political will.

**What are drivers in your country with regards to public involvement for SUMPs?**

\textsuperscript{18} FGSV - Forschungsgesellschaft für Straßen und Verkehrswesen (2012b): Hinweise zur Beteiligung und Kooperation in der Verkehrsplanung. FGSV 161, Köln.

\textsuperscript{19} FGSV - Forschungsgesellschaft für Straßen und Verkehrswesen (2013): Hinweise zur Verkehrsentwicklungsplanung. FGSV 162, Köln.
The main driver is the civil society, the democratic acting of people, the interest of citizen to shape their cities. And the cities themselves are also drivers, the staff as well as the politicians. Experience shows that the main drivers are the municipal planners, the staff.

5.2 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMP’s in particular? E.g. Are there legally defined models for institutional cooperation?

There are no legally defined models for institutional cooperation. However national recommendations exist.\(^{20}\)\(^{21}\)

These are recommendations for informal transport development plans /SUMP’s. These plans are the basis for land use plans, which are mandatory.

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMP’s in particular?

National experiences are various and different in cities. There is no detailed information/overview available.

What are barriers in your country with regards to institutional cooperation for SUMP’s?

Detailed information is not available.

What are drivers in your country with regards to institutional cooperation for SUMP’s?

Detailed information is not available.

5.3 The measures selection challenge

What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?

The legal obligations with regards to urban transport system to be provided by cities are regulated in the national Town and Country Planning Law “Baugesetzbuch” (BauGB § 1 Abs. 1 und Abs. 6 Nr. 9).

The cities have to realise Transport Development Planning with the objective to address the mobility demands of the economy and the mobility needs of the population. Therefore, they have to develop transport infrastructure, to reduce congestions and to establish functional transport structures.

Transport Development Planning is an informal planning without obligatory requirements to develop a Transport Development Plan/SUMP. There are national recommendations.\(^{22}\)\(^{23}\)\(^{24}\)

\(^{21}\)FGSV - Forschungsgesellschaft für Straßen und Verkehrswesen (2013): Hinweise zur Verkehrsentwicklungsplanung. FGSV 162, Köln.
Many cities in Germany however do have a Transport Development Plan (nearly 90%), (inquiry in Germany, cities > 120,000 inhabitants).

Ahrens: Integrationsansätze des VEP-Ansatzes - die neuen FGSV-Hinweise zur Verkehrsentwicklungsplanung

What are national experiences and practices that set the framework for measures selection for SUMPs in particular?
Detailed information is not available.

What are barriers in your country with regards to measures selection for SUMPs?
Detailed information is not available.

What are drivers in your country with regards to measures selection for SUMPs?
Detailed information is not available.

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5.4 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMPs in particular?

There are no legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMPs in particular. National recommendations are available.\textsuperscript{25} \textsuperscript{26} \textsuperscript{27}

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMPs in particular?

Detailed information is not available.

What are barriers in your country with regards to monitoring and evaluation of SUMPs?

Detailed information is not available.

What are drivers in your country with regards to monitoring and evaluation of SUMPs?

Detailed information is not available.

Further information about the SUMP framework in Germany can be found on the dedicated page\textsuperscript{28} of the ENDURANCE project.

\textsuperscript{25} FGSV - Forschungsgesellschaft für Straßen und Verkehrswesen (2013): Hinweise zur Verkehrsentwicklungsplanung. FGSV 162, Köln.
\textsuperscript{26} FGSV - Forschungsgesellschaft für Straßen und Verkehrswesen (2007): Hinweise zur Anwendung von Qualitätsmanagement in kommunalen Verkehrsplanungsprozessen. FGSV 149, Köln.
\textsuperscript{27} FGSV - Forschungsgesellschaft für Straßen und Verkehrswesen (2012c): Hinweise zur Evaluation von verkehrsbezogenen Maßnahmen. FGSV 157, Köln.
\textsuperscript{28} http://www.epomm.eu/endurance/index.php?id=2809&country=de
6 Country profile - Hungary

Author: POLIS – BKK Centre for Budapest Transport (July 2014)

On 30 June 2014, the General Assembly of the Municipality of Budapest approved the working document for public discussion of the new mobility plan of the city entitled “The Balázs Mór Plan” (BMT). The BMT is the transport development strategy of the Hungarian capital based on former strategic planning documents revised according to sustainable urban mobility planning (SUMP) principles for the period 2014-2030. The Plan represents a new level of quality through its strategy and clarity and is in strong accordance with related local, national and EU-level plans.

6.1 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMPs in particular?

The implementation of SUMP is not yet legally defined in Hungary. National policies do not comprise any content in connection with the introduction of SUMP. Public involvement is not legally binding in any national document, except that there are some public hearings in the Capital.

What are national experiences and practices that set the framework for public involvement in general and for SUMPs in particular?

The Development Plan of the Transport System of Budapest (DPTSB) has already been revised. This work also helped BKK with the creation of adopted SUMP methodology to local circumstances, including the public involvement. During this revision process the general public was not directly involved, but the public will be involved in a discussion about the Balázs Mór Plan and this can be used as a good example for such processes.

What are barriers in your country with regards to public involvement for SUMPs?

As the Balázs Mór Plan does not contain any concrete projects, it might be difficult for the general public to understand and form an opinion on a strategic level.

What are drivers in your country with regards to public involvement for SUMPs?

Incorporating public opinion can strengthen the Balázs Mór Plan (BMT) and might gather more public support for future development projects.

6.2 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. Are there legally defined models for institutional cooperation?

The implementation of SUMP is not yet legally defined in Hungary. National policies do not comprise any content in connection with the introduction of SUMP. The institutional cooperation is not legally defined in any national document regarding transport strategies. There are no legally defined models.

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for institutional cooperation in Hungary. BKK has several strategic partnership agreements with different NGOs.

**What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?**

The Development Plan of the Transport System of Budapest (DPTSB) has already been revised. During this revision process an institutional cooperation practice has been developed. BKK will build upon this practice to create the one related to BMT.

The first step will be to inform the stakeholders about the working document for public discussion of the new mobility plan and BKK will organize some workshops involving mixed audience. In these workshops the stakeholders can share their views. In addition, BKK will collect comments and suggestions in writing.

**What are barriers in your country with regards to institutional cooperation for SUMPs?**

The institutional cooperation process requires proper planning and resources. These resources sometimes are not available to the public institutions.

**What are drivers in your country with regards to institutional cooperation for SUMPs?**

In general the main driver for cooperation processes regarding the strategic planning processes can be obligations, gain political and institutional support, and efficiency.

Incorporating the opinion of the other public entities and NGOs can strengthen the Balázs Mór Plan (BMT).

### 6.3 The measures selection challenge

**What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?**

The Act No. CLXXXIX of 2011 on local governments in Hungary\(^3\) describes the rights and tasks of the local governments. Among these tasks some are related to transportation. This transport related tasks are shared among the municipality of Budapest and the 23 districts. Most of these tasks and responsibilities Municipality of Budapest delegated to BKK through a public service contract.

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What are national experiences and practices that set the framework for measures selection for SUMPs in particular?

There is a CBA (Cost-Benefit Analysis) guideline for transport infrastructure projects funded from EU funds. The National Transport Strategy has been developed in 2014 (the approval is underway). Besides this, there is no framework for measure selection process.

The BMT contains general measures. The detailed project development and evaluation is still ahead of BKK. A common framework for project evaluation will be developed during 2014 – 2015.

What are barriers in your country with regards to measures selection for SUMPs?

The measure selection process has to be flexible enough to reflect other objectives than the costs and benefits, but it needs to be scientific and transparent in the same time. During the measure selection process the influence of decision makers can be a factor as well.

What are drivers in your country with regards to measures selection for SUMPs?
A common measure selection framework might be able to provide more transparency and efficiency.

### 6.4 The monitoring and evaluation challenge

**What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMP in particular?**

There are no legal obligations related to monitoring and evaluation tasks about transportation. There are some regulations related to monitoring of environmental impacts.

**What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMP in particular?**

There is no experience with monitoring and evaluation of strategic documents. The transport development projects usually have indicators and those are monitored, mostly from financial point of view.

**What are barriers in your country with regards to monitoring and evaluation of SUMP?**

The main barrier is the lack of financial, technical and human resources.

**What are drivers in your country with regards to monitoring and evaluation of SUMP?**

The main driver can be the valuable information and the more efficient planning and execution process of projects.

Further information about the SUMP framework in Hungary can be found on the dedicated page of the endurance project.

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7 Country profile - Poland
Author: City of Krakow – POLIS (July 2014)

7.1 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMP in particular?

Polish law does not refer to the public participation directly. There are some statements provided in the constitution, like for example “A citizen has a right to be informed about the actions of the government or persons having public duties”\(^{32}\), or “Everyone has a right to get information about the state of the natural environment and its protection”.\(^{33}\) There are some public participation obligations in the acts concerning mainly environmental protection and spatial development of the city/region. Public Transport Act\(^ {34}\) approved by the Parliament in 2010 requires that the draft of the Plan of Sustainable Development of Public Transport (called Transport Plans) has to be available to citizens which have 21 days for formulating opinion and proposals.

At the local level, for example in Krakow, there are several acts of local law – approved by the City Council, which demand the public participation process from the Mayor for bigger investment projects. Therefore when the SUMP is ready it shall undergo the full consultation process, basing that it will include “big-scale” plans for the future.

What are national experiences and practices that set the framework for public involvement in general and for SUMP in particular?

Public involvement is still under development in Poland, as it is so called „young democracy” country. There are more and more obligations, acts of local law and bodies/tools being developed and implemented. There are different practices, but in general 3 ways of public involvement – i.e. „limited” – which means mainly information processes (via Internet, interactive media, press releases, direct mailing, etc.), “limited consultation” – as in case of Transport Plans described above, and „full consultation” processes (including meetings with citizens, promotion, campaigns, PR, etc.)

What are barriers in your country with regards to public involvement for SUMP?

Main barriers, according to the fact, that public involvement is not fully developed yet, concerns lack of knowledge and preparation on the administration side and lack of preparation and full engagement of citizens (e.g. lack of consciousness of impacts of projects, actions, and investments as well as forms of involvement in decision making process). There are some analysis available which mention also problems with identification of “leaders” among local society, problems to keep good relations with interest groups, lack of systematic approach towards public participation, weak information transfer, low level of local media, etc. There are also barriers related to such problems: citizens are most active only in the protest situation, there is lack of places to organize open meetings, atomization of the local society is progressing.


What are drivers in your country with regards to public involvement for SUMPs?

Ongoing development of tools, approaches and progressing belief that public involvement is something very important and useful. Also more and more involvement of well organized, committed NGO’s, which started to work together with the cities, instead to fight as an opposition (mainly cycling and public transport activists). There are good examples of ‘mobility fora’ being developed and other tools used, like workshops and meetings/joint actions in open public space. Citizens are quite active in use of Internet and social media to comment, share opinions on city development plans and investments/programmes.

7.2 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. Are there legally defined models for institutional cooperation?

There are legal obligations concerning cooperation of different levels of local government, i.e. regional/local and concerning districts of the city. There are obligations concerning adoptions of certain policy documents for the city, i.e. its city council who approves the transport policy and spatial policy. Concerning the models for institutional cooperation they are rather structured in different ways in different cities.

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?

There are some examples of interdisciplinary task teams, which are created for the purpose of development of transport policy, spatial development policy and SUMPs. There are also more and more good practices concerning involving external institutions, i.e. NGO’s – for example to work together with the city administration on bicycle policy and infrastructure. Often the involvement of different institutions is quite broad – for example Police, City Guards, national roads administration and experts associations are formally involved in joint work on the development of transport policies, etc. It is also common practice to involve (but on different levels of involvement) surrounding cities and municipalities.

What are barriers in your country with regards to institutional cooperation for SUMPs?

Main barriers are related to the problems of operational side of the efficient cooperation, i.e. lack of expertise and lack of well-developed models of cooperation (i.e. external facilitation of the process). There are still some problems with cooperation between public and private sector and internal cooperation (i.e. within leading municipality administration.).

What are drivers in your country with regards to institutional cooperation for SUMPs?

There are more and more examples of good structuring and formalising institutional cooperation while developing strategy documents for the cities. Usually there are clearly defined rules of engagement and procedures existing. There is wide understanding that strategy plans have to be developed with broad cooperation processes, both vertically and horizontally (i.e. between neighbouring municipalities).
7.3 The measures selection challenge

What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?

Legally, the only obligation for the cities is to provide public transport. This has to be co-financed by the city itself, but often is done (for smaller municipalities) on the regional level, with help of Marshall Office. On practical side, cities are also responsible for the maintenance of majority of vehicle roads, cycle paths, sidewalks, etc.

What are national experiences and practices that set the framework for measures selection for SUMPsin particular?

Measure selection for different stages and elements of local transport systems are usually developed mainly basing on the planning documents of higher level (i.e. national transport policy) and taking into account locally different factors like socio-economic status, impact on the natural environment, different needs of people with reduced mobility, reliability and financial side of the measure or package of measures. There is strong influence of policies and regulations on the national level – e.g. no possibility to introduce congestion charging so far in Poland, or maximum level of parking fees on public roads.

What are barriers in your country with regards to measures selection for SUMPsin particular?

Main barriers could be described as existing tendency to focus on infrastructural measures, and underestimation of the necessity and effectiveness of “soft” measures, like mobility management or regulations. There is also lack of awareness of the wider range of policy measures among stakeholders. Measures are sometimes decided in a subjective way, influenced by local politicians, instead of using formalized approach for generation of different policy options.

What are drivers in your country with regards to measures selection for SUMPsin particular?

There is a good framework and cooperation with experts and universities concerning development of local policies and selection of measures. It is important that also city administration has more and more knowledge on the EU-level and more possibilities to learn from others, through workshops and site visits for example. There is growing use of different, innovative measures (like demand responsive transport, public rental bike schemes). There is strong cooperation within experts from different cities concerning implementation of some innovative (on the national level) measures and solutions (i.e. contra-flow lanes for cycling, traffic calming, kiss&ride, etc.).

7.4 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMPsin particular?

There are no legal obligations to monitor and evaluate progress in implementing hard and soft measures such as in case of SUMP. However, the situation has changed after funding of projects by the EU started. The fact, that the EU institutions control and monitor the use of fund in each project, among other through evaluating product indicators and strategic results, has been noticed as
a good practice. It has already had a significant impact on planning and management of projects and actions from other sources. Examples are given in point 7.3.

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMPs in particular?

There are examples of practices concerning regular monitoring and benchmarking of different transport modes, i.e. surveys among citizens and data collection concerning use of public transport, traffic counting and modelling, etc. There are also examples of monitoring and evaluation included in the transport strategy documents or being separate documents. There are indicators of products and results proposed for many areas of local transport (i.e. parking, cycling, road system, walking, public transport, traffic safety etc.).

What are barriers in your country with regards to monitoring and evaluation of SUMPs?

There are still not many comprehensive approaches and methods used. For example there is lack of “transport observatories” being developed and launched. There are enough resources available for data collection and gathering, but in many cases problem of data analysis exists (i.e. problem of how to best “read” and use transport data).

What are drivers in your country with regards to monitoring and evaluation of SUMPs?

There are modern tools and technologies available, therefore more and more data is easier to be gained. There are more good examples of properly developed strategic approaches towards monitoring and evaluation.

Further information about the SUMP framework in Poland can be found on the dedicated page\textsuperscript{35} of the ENDURANCE project.

\textsuperscript{35} http://www.epomm.eu/endurance/index.php?id=2809&country=pl
8 Country profiles - Romania
Author: POLIS – TIMISOARA (March 2014)

8.1 The public involvement challenge

What are the legal obligations with regards to public involvement in general and for SUMPsin particular?
Public involvement, as a general concept, is legislated as a set of rules that public authorities and institutions are recommended/obliged to fulfil in order to inform and involve public in the public decision-making process. There are several laws that describe the instruments, which can be organising public debates, to informing via Internet sites about projects of laws, asking for and receiving recommendations from the citizens, informing the citizens about any new public or private construction, and so on.

Unfortunately, even if these laws establish quite clear the steps, the terms and the periods the public institutions have to take in these public involvement processes, there are no clear sanctions set if the laws are breached. Thus, if a public institution fails in involving the public in a decision-making process, the only option for the citizens is to bring to court that institution. As a result, only the court can withdraw a decision. Since trials are time and money consuming there are very few cases when people would go to court.

Regarding public involvement for SUMPsin Romania, there are no such regulations in Romania.

What are national experiences and practices that set the framework for public involvement in general and for SUMPsin particular?
The public involvement can vary from television debates on a nation level for the topics that influence a large number of people (such as modification of national legislation, new taxes s.o.), local referendum or more simple procedures such as informing public by posting announces on the web page or publish an announcement in a local newspaper.

What are barriers in your country with regards to public involvement for SUMPsin Romania?
The barriers come both from legislation and from public and institutional behaviour.

In what regards the former, even if the public is involved, public institutions are not forced by law to take into consideration the public recommendations. So, it is difficult for the citizens to get involved if they do not see any result of their involvement.

As to the latter, there is a lack of involvement culture that is visible both at citizens’ and institutions’ level.

What are drivers in your country with regards to public involvement for SUMPsin Romania?
No answer given.
8.2 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. Are there legally defined models for institutional cooperation?
There is no legislation regarding institutional cooperation, neither in general nor for SUMP in particular.

Still, the institutional cooperation functions based on mutual agreements among institutions, or among institutions and NGOs.

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?
No answer given.

What are barriers in your country with regards to institutional cooperation for SUMPs?
One barrier can be the different layers of decision of the institutions involved: some are local institutions, others are regional and yet others are national. Sometimes the local priorities are not the same as the national priorities.

What are drivers in your country with regards to institutional cooperation for SUMPs?
No answer given.

8.3 The measures selection challenge

What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?
The legal obligations regarding transport functions to be provided by cities are set by Law no.92/2007. The law establishes the legal framework for the establishment, authorization, organization, operation, management, financing and control of the operation of public transport services in communes, towns, municipalities, counties and areas of community development associations.

The local authorities are in charge with providing, establishing, authorizing, operating, management, financing and controlling the public transport services at the local level. In Timisoara, the City Hall finances the Local Transport Operator, this being a service subordinated to the Local Council. Timisoara City Hall also provides the development strategies of the local public transport.

What are barriers in your country with regards to measures selection for SUMPs?
The lack of a national policy for urban and territorial development to support and develop the concept of SUMPs.

What are drivers in your country with regards to measure selection for SUMPs?
No answer given.

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8.4 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMP in particular?
There is no legislation regarding monitoring and evaluation of urban issues in general. Not even local regulations.

The first monitoring processes have been introduced recently by the European-funded projects. Yet this is quite new and not very clearly stipulated.

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMP in particular?
No answer given.

What are barriers in your country with regards to monitoring and evaluation of SUMP?
The lack of legislation, the “must-to” and the lack of the public and political culture in this respect.

What are drivers in your country with regards to monitoring and evaluation of SUMP?
No answer given.

Further information about the SUMP framework in Romania can be found on the dedicated page\textsuperscript{37} of the ENDURANCE project.

\textsuperscript{37} http://www.epomm.eu/endurance/index.php?id=2809&country=ro
9 Country profiles: UK (England)
Author: WYCA – POLIS (September 2014)

9.1 General SUMP framework

This response applies to the SUMP framework in place in England. (Different arrangements apply to Scotland, Wales and Northern Ireland as transport is a devolved matter).

Local Transport Plans are the method for formally setting out an area’s proposals, priorities and aspirations for the local transport system. This planning mechanism was introduced by the Transport Act 2000\(^\text{38}\), which set the statutory requirement for Local Transport Authorities to produce a Local Transport Plan (LTP) every 5 years and to keep it under review.

There are different local government structures and related responsibilities within the UK. In relation to the development and implementation of LTPs, the term Local Transport Authority (LTA) may apply to:

- a County Council in England,
- a Unitary Council of a non-metropolitan district in England - in an area for which there is no county council,
- a Passenger Transport Authority for a passenger transport area in England ( - which subsequently became Integrated Transport Authorities via the Local Transport Act 2008)

Differences in the organisation of LTAs have implications in their powers to make decisions affecting areas different from those that are purely transport-related.

The LTP process was intended to provide a more rigorous regime for local transport planning. It introduced a longer term and more strategic approach to local transport planning and delivery than had previously been the case with the preceding process (of the 1 year duration Transport Policies and Plans framework). The LTP process is managed by the UK government Department for Transport (DfT), through its Government offices within the Regions, and it covers both urban and rural areas.

The Transport Act 2000 was amended by the Local Transport Act 2008.\(^\text{39}\) The statutory requirement to produce and review LTPs was retained; however, further flexibility was given to LTAs, particularly in terms of governance and development of LTPs, to enable each LTA the preparation of a LTP meeting its area’s specific needs.

In December 2009 the DfT issued new guidance for LTPs.\(^\text{40}\) Longer timeframes (beyond the previously prescriptive 5 years) for the replacement of plans were permitted, to be determined by the LTA.

There have been three rounds of LTPs to date:


• The first LTPs (LTP1) were submitted to the DfT for assessment in July 2000 and covered the five year period between April 2001 and March 2006.
• The second LTPs (LTP2) were finalised in March 2006 and covered the five year period between April 2006 and March 2011.
• The third LTPs (LTP3) took effect from April 2011.

Government financial support for capital investment in local transport is allocated through the LTP process. The LTP capital funding received by each local authority is divided into three blocks:

• **Maintenance Block** – Maintenance allocations for structural local road maintenance, based on a formula, which takes into account the authority’s number of assets and their maintenance requirements.

• **Integrated Transport Block** – to fund all non-maintenance, transport schemes costing less than £5 million, based on a formulaic approach.

• **Major Scheme allocations** – for significant local authority road schemes and public transport capital projects costing over £5 million.

In the six metropolitan districts outside Greater London the duty to formulate LTPs was in the past shared between the Metropolitan District Councils and the Passenger Transport Authority.

Local Transport Act 2008 introduced a change - Passenger transport authorities (PTAs) were renamed as Integrated Transport Authorities (ITAs) and given sole responsibility over the development and management of the LTP. The creation of the ITA was intended to strengthen governance arrangements to facilitate transport planning and delivery.

The Local Democracy, Economic Development and Construction Act sought to further strengthen transport governance - allowing local authorities from 2009 to establish sub-regional Combined Authorities to take on the role and functions of the ITA as well as wider economic development and regeneration functions from the constituent local authorities. Combined Authorities established through this legislation became the Local Transport Authority for that area with responsibility of the LTP.

### 9.2 The public involvement challenge

**What are the legal obligations with regards to public involvement in general and for SUMP**s in particular?

The Plan is subject to public consultation, though not to formal 'examination in public'. The Transport Act 2000 as amended places a duty on LTAs, when formulating transport policies and plans, to consult:

- Bus operators
- Rail operators
- Public Transport User groups
- In the case of ITAs: District Councils in their area
- In the case of County Council: District Council
Any other people they consider appropriate e.g. environmental organisations, disability groups

The Local Government and Public Involvement in Health Act 2007\(^1\) requires Local Authorities and Passenger Transport Authorities to involve citizens in local decision making and service provision.

What are national experiences and practices that set the framework for public involvement in general and for SUMPs in particular?

Central government guidance (DfT, 2009) for the current round of LTPs (LTP3) recommended that in developing and implementing their LTP:

- Opportunities for public consultation should be considered at various stages;
- Authorities should consider both established and innovative ways of obtaining public views;
- Authorities should consult on both Strategies and Implementation Plans.

LTPs have generally been developed through extensive public consultation, using a variety of methods including formal written consultation, representative workshops and forums, market research and questionnaires.

What are barriers in your country with regards to public involvement for SUMPs?

The main barriers identified are information barriers and the availability of resources to conduct or participate in a consultation process, in particular:

- Lack of understanding of the process by the general public – including timeframes, key players and what involved groups can expect from their participation. This is particularly evident at a strategy level, when it is difficult for the general public to identify how the outcomes will affect them;
- Stakeholders’ lack of trust in the consultation process, or the feeling that their participation will not affect the decision making;
- Different literacy levels and languages of the targeted groups, which makes the information available less accessible to them;
- Lack of a standardised methodology for consultation strategies;
- Lack of resources to extend the consultation exercises in time or to apply a variety of methods aimed at engaging a range of stakeholders;
- Lack of understanding of which are the consultees’ drivers to participate in consultation;
- Stakeholders’ lack of resources: although the LTA may be considering a wide range of stakeholders in the consultation process, a lack of resources to research and prepare an appropriate response may not allow some groups to participate.

What are drivers in your country with regards to public involvement for SUMPs?

- Public mandate for strategies – obtaining support for, and approval of, proposed strategies at the outset;

• Public acceptability of strategies – if the public feels that the projected outcomes have a direct impact in their lives, they are more likely to engage in consultation;
• New communication technologies – enabling innovative approaches to allow LTA to approach a wide range of stakeholders while providing good value for money.

9.3 The institutional cooperation challenge

What are the legal obligations with regards to institutional cooperation in general and for SUMPs in particular? E.g. Are there legally defined models for institutional cooperation?
The Transport Act 2000 as amended places a duty on Local Transport Authorities, when formulating transport policies and plans, to consult:

• Bus operators
• Rail operators
• In the case of ITAs: District Councils and County Councils in their area
• In the case of County Council: District Council
• Any other people they consider appropriate e.g. environmental organisations, disability groups

What are national experiences and practices that set the framework for institutional cooperation in general and for SUMPs in particular?
Central government guidance (DfT, 2009) for the current round of LTPs (LTP3) emphasised the role of partnership working with external institutions in planning and delivery e.g. neighbouring authorities and other public and private sector organisations – for more strategic outcomes and to produce efficiencies and economies of scale.

A strength of the LTP process in the UK is that it encourages cooperation and partnership between organisations and authorities otherwise operating with little integration.

What are barriers in your country with regards to institutional cooperation for SUMPs?

• Different local government structures, with a split of responsibilities between different geographies and authorities in relation to transport, spatial planning, economic development and health etc;
• Different levels in which local government is organised, which can result in a lack of integration;
• Conflicts, historically, between different professional bodies in relation to the priorities to be addressed (~ somewhat diminished in recent years);

What are drivers in your country with regards to institutional cooperation for SUMPs?

• Political mandate for strategies – obtaining support for, and approval of strategies at the outset;
• Strategic influence – from clearly understood policy linkages and shared objectives between respective organisations and sectors;
Enhanced partnership working – desire for enhanced engagement towards achieving a range of social, environmental and economic objectives

Champions in different organisations and at all levels to provide leadership

9.4 The measures selection challenge

What are the legal obligations with regards to transport functions to be provided by cities? What kind of measures are funded/supported by higher level authorities?

There are no specific UK legal obligations for Measure Selection in SUMP.

The DfT 2009 guidance recommended that in specifying challenges the LTPs should identify problems and priorities on the basis of clear evidence and data e.g.:

- Demographic and socio-economic trends
- Environmental issues
- Economic circumstances
- Existing transport infrastructure capacity
- Travel patterns and trip rates
- Connectivity of existing networks
- Stakeholders’ views

The evidence and data was recommended to feed into option generation.

What are national experiences and practices that set the framework for measures selection for SUMPs in particular?

Central government guidance (DfT, 2009) for the current round of LTPs (LTP3) provides recommendations for ‘Option Generation’ and the ‘Appraisal and Selecting of Transport Options’.

The LTP3 guidance identified:

- Need for the best evidence base;
- The DISTILLATE project as a source for scheme options that might be considered;
- Need to consider appropriate and proportionate methods of appraisal and selecting measures;
- Need to consider not only the results of option appraisal but also assessment of affordability, deliverability and risk.

What are barriers in your country with regards to measures selection for SUMPs?

- Lack of historical data collection to create an evidence base that allows comparison between policy packages and options;
- Lack of integration between authorities in terms of housing, environmental health or economic development - which does not allow identification of common challenges;
• Time and resource constraints to deliver the strategies;
• Lack of staff and resources to implement predictive models, and lack of data to run such models;
• Difficulty for the indicators to reflect all the variables on which the LTPs are intended to have an impact.

What are drivers in your country with regards to measures selection for SUMPs?

• “Fit for purpose” metrics – the appraisal and prioritisation of options can be simplified if there is an early agreement on the metrics and indicators to use;
• Political acceptability – those measures aligned with the central government objectives and policies are more likely to receive the necessary support;
• Maximised outcomes and benefits – selecting the options which are likely to produce synergies will ensure a cost-effective use of the resources available;
• Increased pressure on available funding – appraisal and prioritisation processes have come under increasing scrutiny as a result.

9.5 The monitoring and evaluation challenge

What are the legal obligations with regards to monitoring and evaluation of urban issues in general and for SUMPs in particular?

There are no specific UK legal obligations for monitoring and evaluation the SUMP.

Central government, through the DfT, initially specified the approach to monitoring and evaluating LTPs that it wished local authorities to use, including the prescription of national Mandatory Indicators which required Targets to be set by the LTA. The approach was linked to formal assessment requiring the submission of annual formal monitoring reports to the DfT.

The 2009 guidance for the current round of LTPs (LTP3) stated that the DfT would no longer formally assess LTPs, impose mandatory targets or require formal monitoring reports. The intention was that LTAs become accountable to their communities rather than to the DfT for ensuring effective delivery.

The DfT guidance also proposed the setting up of robust programme and performance management systems to help improve the effective delivery of the LTP, to track and record progress and where necessary to decide on corrective action - to know whether similar measures should be pursued in future and to judge where best to direct funding.

On monitoring performance and setting targets the DfT recommends that authorities consider what performance indicators are most appropriate for monitoring the LTP and what targets might be set to incentivise and secure delivery. A strong LTP is identified as including ambitious target setting, clear trajectories, and close monitoring of delivery.

What are national experiences and practices that set the framework for monitoring and evaluation of urban transport in general and for SUMPs in particular?

Monitoring and evaluation has been used in the LTP process mainly to facilitate:
• Communication with stakeholders – to demonstrate progress towards LTP goals and objectives;
• Performance Management – to inform management decisions towards achievement of targets;
• Evaluation – input of observed data to the appraisal process for the identification of future interventions;
• Benchmarking – comparing performance with other local authorities/areas;

A criticism of monitoring and evaluation experiences up to now is that it has been generally used as background information rather than being fully integrated into the decision-making process.

**What are barriers in your country with regards to monitoring and evaluation of SUMPs?**

• Cost of monitoring – in an environment of reduced resources for delivery;
• Institutional barriers – data is collected and managed by different organisations and for different purposes with issues concerning commercial sensitivity (e.g. data from private bus operators);
• Difficulty in measuring/quantifying outcomes and capturing year-on-year improvements;
• Difficulty in the selection of indicators easy to understand by politicians and the general public;
• Lack of consistency between transport and other indicators e.g. land use, sustainability etc;
• Difficulty in identifying the extent to which individual interventions contribute to the outcomes – key LTP outcomes are achieved through integrated strategies with several measures contributing towards the improvement of any one outcome;
• Changes in transport outcomes occur over time – some outcomes require monitoring and evaluation over the long term, and some data has a lengthy time lag from collection to reporting;
• Suitability of the indicators to reflect the objectives – e.g. measuring contribution to economic growth.

**What are drivers in your country with regards to monitoring and evaluation of SUMPs?**

• Financial settlements linked to performance against targets – it is possible that in the future the funding received by the LTA for the implementation on the LTPs will depend on their performance against the objectives set;
• Control of delivery – monitoring and evaluation of LTP outcomes should support the management of the delivery and the need for corrective action to be taken where necessary;
• Increased pressure on available funding – appraisal and prioritisation processes have come under increasing scrutiny as a result, and should be informed by effective monitoring and evaluation.

Further information about the SUMP framework in the United-Kingdom can be found on the dedicated page[^42] of the ENDURANCE project.

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