The SUMP PLUS Self-Assessment Scheme and Guidelines

City Mobility Transition Self-Assessment

Deliverable D2.2

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Abstract

SUMP PLUS has developed a self-assessment scheme, entitled the City Mobility Transition Self-Assessment. This aims to provide an engaging and interactive means for urban mobility planning practitioners to understand key SUMP PLUS concepts, and to gauge the extent to which a particular city or city-region is already applying the concepts, approaches and tools developed in the project. Further supporting this learning objective, the Self-Assessment Scheme seeks to generate curiosity in a topic and direct participants to relevant and more detailed guidance, learning and case study materials available on the SUMP PLUS CityConsult platform.

List of beneficiaries

No	Name	Short name	Country
1	STAD ANTWERPEN	ANT	Belgium
2	MUNICIPALITY OF ALBA IULIA	ALBA IULIA	Romania
3	KLAIPEDOS MIESTO SAVIVALDYBES ADMINISTRACIJA	KLAIPEDA	Lithuania
4	COMUNE DI LUCCA	COMUNE DI LUCCA	Italy
5	DIMOS PLATANIAS	PLATANIAS CRETE	Greece
6	TRANSPORT FOR GREATER MANCHESTER	TR G MANCHESTER	United Kingdom
7	FONDATION NATIONALE DES SCIENCES POLITIQUE	Science Po	France
8	POLYTECHNEIO KRITIS	TECH UNIV CRETE	Greece
9	UNIVERSITY COLLEGE LONDON	UCL	United Kingdom
10	EUROPEAN INTEGRATED PROJECT	EIP	Romania
12	MEMEX SRL	MEMEX	Italy
13	SPACE SYNTAX LIMITED	SPACE SYNTAX	United Kingdom
14	VECTOS GmbH	VECTOS	Germany
15	ICLEI EUROPEAN SECRETARIAT GMBH	ICLEI EURO	Germany
16	UNION INTERNATIONALE DES TRANSPORTS PUBLICS	UITP	Belgium

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1. Introduction to the SUMP PLUS Self-Assessment Scheme

1.1 Purpose and objectives

The SUMP PLUS project seeks to build on the European Commission's existing wealth of sustainable urban mobility planning knowledge and guidelines, by further exploring and developing particular aspects of theory and practice. Four principal concepts, and related research and guidance outputs from the project, to be communicated widely are:

- **Defining Transition Pathways** – The approach to constructing a transition pathway, being developed in SUMP PLUS, puts EU carbon zero targets at the centre of a longer-term, vision-led approach to SUMP planning. This relies upon 'backcasting' rather than 'forecasting' methods.

- **Developing Implementation Strategies** – The SUMP planning approach, established as an EC urban mobility policy instrument, underpins many mobility project investment decisions. Nevertheless, in many cases there remains a gap between planning and implementation that SUMP PLUS seeks to proactively address.

- **Forging cross-sectoral Links** – Planning for net zero carbon targets necessitates a comprehensive approach to integrated service and mobility planning with major trip-generating sectors, such as education and health. SUMP PLUS applies a robust access and mobility framework that addresses the potential to: avoid/substitute or localise trips; to shift trips to sustainable modes; and to improve vehicle efficiency or switch fuels to alternative sources.

- **Creating Mobility Partnerships** – Achieving the mobility transition relies upon a multitude of public, private and community sector organisations and businesses working in partnership. These include public and shared mobility providers, logistics companies, as well as property developers and employers that have a major influence on how we travel.

These four concepts do not fully cover the diverse range of activities within SUMP PLUS, which have also involved: the development of simplified analytical and modelling tools for small cities (WP1); examination of the implications of governance arrangements on the ability to deliver sustainable mobility (WP3) and the founding of stakeholder and community engagement forums within the City Laboratories (WP4). Nevertheless, these four concepts provide a clear frame for communicating key aspects of the project to actors across Europe and globally. As will be shown, questions relating to governance (WP3) and stakeholder and citizen engagement (WP4) have also been woven into the scheme.

In summary, therefore, the SUMP PLUS Self-Assessment Scheme provides a means to communicate and explain, in an interactive way, the principal concepts and approaches developed by the project. The objectives for developing the scheme can therefore be summarised as:

- To aid city authority mobility planners (and other urban mobility practitioners) to understand the main concepts and guidelines developed by SUMP PLUS.

- To enable these same target groups to gauge the extent to which they are already applying different aspects of SUMP PLUS methodologies.

- To guide self-assessment participants towards case studies of how the concepts and approaches have been applied and tested in the SUMP PLUS City Laboratories, and other relevant examples of existing good practice.

- To understand the current framework characteristics applying to their city, as well as the current mood and motivation, to define and implement a transition pathway.

There is an existing 'SUMP Self-Assessment' scheme available on Eltis.org, which is designed to correspond closely to with the Guidelines for Developing and Implementing a SUMP (Rupprecht Consult 2019). In order avoid confusion between these schemes which have differing content and purposes, the SUMP PLUS scheme has been entitled: **City Mobility Transition Self-Assessment**.

1.2 Characteristics and structure of the City Mobility Transition Self-Assessment

In order to address the objectives of the scheme, a questionnaire is required that is educational and reflective for a participant to complete, rather than setting a competitive tone – i.e. the questionnaire does not need to lead to an overall score or ranking. It is nevertheless understood that graphical and informative outputs from the questionnaire will make the 'interactive' approach to communicating about SUMP PLUS more engaging. The self-assessment scheme uses a variety of question types (yes/no, dropdown choices and scaling), in order to retain interest and best suit the subject matter addressed.

The structure of the self-assessment scheme has been designed to contain two main parts, which are further sub-divided into segments. These two parts of the self-assessment scheme serve different purposes as summarised below:

Part A – Framework conditions for the city mobility transition

This section of the self-assessment scheme does not specifically address the four main SUMP PLUS concepts outlined above, but enables the participant to assess the framework conditions that apply to their city. The three segments are:

- **City typology** – Self-assessment schemes are based upon the City Typology developed by ICLEI and UCL, reported in D1.1 'City typology, for context-sensitive framework and tools development' (2019). This information provides the potential for the participant to be guided towards the most relevant guidance, case studies and tools (SUMP PLUS or external to the project).

- **Governance context** – Based on the analytical frameworks and city portraits developed by SCPO in WP3, questions seek to give an impression of the political, institutional and financial autonomy that a lead SUMP/city authority currently experiences, which in turn influence their ability to implement a Transition Pathway and degree of dependence on other authorities at regional and national levels.

- **Mood and motivation** – This segment of the questionnaire allows a respondent to gauge the current political mood and consensus amongst citizens to pursue a net zero carbon transition, as well as the relative political capital attached to related themes

such as air quality, congestion, safety and accessibility for all, which can provide the motivation and lever for change.

Part B - Understanding and applying SUMP PLUS concepts and approaches

The four segments within this part of the self-assessment are designed to explain the SUMP PLUS concept and approaches (as introduced above), and to enable a respondent from a city authority to understand: the extent to which these are already being applied (or not); which approaches would be of greatest interest; and where additional information can be found on the CityConsult platform (developed by WPs 6 & 7) or other external resources. This part of the scheme is therefore divided into segments that cover:

- **Defining Transition Pathways**
- **Developing Implementation Strategies**
- **Forging cross-sectoral Links**
- **Creating Mobility Partnerships**

The overall structure of the Self-Assessment scheme parts and segments is presented in the figure below.

Figure 1 - City Mobility Transition Self-Assessment

PART A: Framework Conditions | PART B: SUMP PLUS Concepts
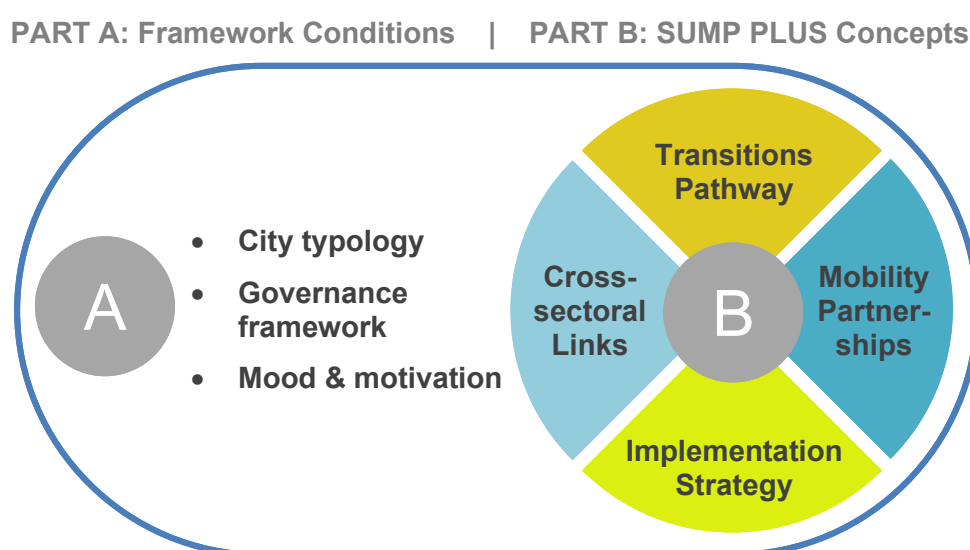
Overall, the City Mobility Transition Self-Assessment contains 30 questions, which are sub-divided amongst the parts and segments of the questionnaire as shown in the table below. Additionally, and to support a potential research function of the scheme, there is potential to add questions about the role of the participant – i.e. is the participant a student, city authority mobility planner, elected politician, consultant, or interested stakeholder etc. Monitoring entries to the self-assessment scheme (which would be anonymous) could provide insights to the state of advancement of mobility planning practices across Europe, and in this case, it is important to distinguish in broad categories the level of understanding of a participant in relation to SUMP development, as well as their knowledge of a particular city.

Table 1 - Summary of Self-Assessment Scheme Parts, Segments and Topics/Questions

Scheme Part	Segment	Topic & question	No. Qs
Part A: Framework conditions for the city mobility transition (11 questions)	Segment A1 – City typology	Population and region of Europe Q. Population Q. European Region	5
		Key mobility indicators Q. Population density Q. GDP/capita Q. Car modal share - current Q. Car modal share - trend	
	Segment A2 – Governance framework	Elements of government capabilities and local autonomy Q. Scaling of government capabilities Q. Role as mobility planner and provider	3
		Capacities through the policy and implementation phases Q. Scale of government capabilities through the phases	
	Segment A3 – Mood and motivation	Mood in your city/city-region Q. Mood and stage of mobility transition	2
		Motivation to change Q. Scaling of mobility issues	
Part B: Understanding and applying SUMP PLUS concepts and approaches (20 questions)	Segment B1 – Defining Transition Pathways	A Vision to 2050	7
		Formulating the Vision	
		Issues addressed by the Vision	
		Identifying a high-level policy mix	
		Stress-testing the Vision	
		Identifying institutional enablers	
		A defined Transition Pathway	
	Segment B2 – Forging cross-sectoral Links	Links with healthcare	4
		Engagement with the healthcare sector	
		Links with education	
		Engagement with the education sector	
	Segment B3 – Creating mobility partnerships	Mobility service providers	5
		Urban logistics partnerships and framework Q. Logistics framework components Q. Optimising vehicles loads (forms of consolidation)	
		Working with major businesses/employers	
		Working with property developers	
	Segment B4 – Developing Implementation Strategies	Specifying core measure packages	4
		Engaging stakeholders and citizens during measure implementation	
		Developing a timeline, including quick wins & experimentation	
		Preparing a Financial Strategy and exploring funding options	

Self-assessment of city, or city-region (Functional Urban Area - FUA)

One important consideration while preparing the scheme has been to determine whether the participant should answer questions in relation to a city, or the city-region (Functional Urban Area of a city). Three approaches have been considered in relation to this:

- Firstly, the participant chooses whether they answer questions on the basis of the city or city-region, understanding that districts surrounding an urban administrative area may have different policy priorities. This has been selected as the preferred option for the self-assessment scheme.

- Secondly, relevant questions require an answer in relation to both the city and the city-region. It is considered that this would make the questionnaire too complex and time-consuming to complete.

- Thirdly, there is an argument that the self-assessment should cover the city-region in all cases, as planning for the FUA as a whole is essential for achieving sustainable mobility. It was concluded that many cities commencing SUMP preparation are not yet at this level and completing the questionnaire is more difficult. The importance of planning for the city-region is nevertheless to be highlighted within the self-assessment scheme text.

1.3 Approach to publication of the Self-Assessment Scheme

SUMP PLUS Deliverable 7.4 'CityConsult Agency Roadmap' (ICLEI 2020) sets out the project's approach to developing an online knowledge and planning database, providing guidance and support aimed at city authorities. The CityConsult e-learning platform has been developed using *Moodle* and it is planned that the self-assessment scheme will be added to the homepage, helping to ensure that it is highly accessible and visible.

In order to provide a professional and engaging interface for the self-assessment scheme, consideration will be given to publication using either *Moodle* or *Typeface. Moodle* provides for a range of Questionnaire, Lesson and Quiz modules, and these will be appraised in order to agree the best functionality in terms of question presentation, display of results and provision of links to additional relevant learning materials. At this stage it is considered that the *Moodle Questionnaire* module could be most appropriate on the basis that this allows for a wide range of question types, and rather than having the aim to (only) test or assess a participant, it does also enable the gathering of data.[1] *Typeform* is a more specialised package for creating customised online surveys and questionnaires, offering additional functions and versatility that could assist in ensuring the high interactivity sought.

In the circumstances that the City Mobility Transition Self-Assessment scheme is considered to have research value, in terms of collating the entries by participants, then it will be important to ensure compliance with the project's ethical principles and procedures – i.e. providing for informed consent of participants.

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[1] Moodle Questionnaire Module – see https://docs.moodle.org/311/en/Questionnaire_module

1.4   Change to self-assessment scheme purpose

It was originally envisaged that the SUMP PLUS Self-Assessment would be developed in order to appraise the strengths, weaknesses and gaps experienced by the cities involved in the SUMP PLUS project, and to provide a measure of their progress during and by the end of the project. A draft self-assessment scheme was prepared based on the 8Ms concept developed by the CREATE project[2], which stresses different policy elements and capacity that need to be in place to deliver sustainable mobility: Mood, Motivation, Mass, Momentum, Mechanisms, Measures, Methods and Money. As the SUMP PLUS concepts were developed further in WP1, and the City Laboratories were defined in WP2, it became apparent that the terminology of the Self-Assessment Scheme and content of the questions could be better aligned with the prominent concepts and outputs of the project: Transitions Pathways, Implementation Strategies, Cross-sectoral Links, and Partnerships. In this regard, it was agreed that the Self-Assessment could best serve the important function of communicating the main concepts and learnings from the project in an interactive way. Elements of the CREATE 8Ms are still covered by the scheme, most visibly in the Mood and Motivation segment in Part A.

1.5   Structure of the report

Following this introduction to the self-assessment scheme purpose, content and format, in the remainder of this report we set out:

- the introduction to the scheme from the perspective of the participant'; and

- the self-assessment questionnaires, by scheme part, segment and topic – in this section we also indicate the SUMP PLUS case studies and learning material to which a participant can be directed on the learning platform.

The self-assessment text provided in the following sections provides the basis for the scheme to be published online, with the potential for refinements as the WP6 Topic Guides and other outputs of the project are produced and finalised. Please note that the modules of the e-learning platforms are not yet confirmed.

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[2] See 'The CREATE Guidelines: Congestion reduction in Europe, advancing transport efficiency' (2018)

Welcome to the City Mobility Transition Self-Assessment

In this section we set out the introductory text that would encourage practitioners to participate in the Self-Assessment Scheme.

Working with six diverse cities, CIVITAS SUMP PLUS is developing knowledge and practice in relation to four key areas of SUMP development and implementation.

If you would like to understand what we mean by Transitions Pathways, and Links to Urban Systems, as well how you can enhance your SUMP implementation planning and foster mobility partnerships, then participate in the City Mobility Transition Self-Assessment.

You will quickly gain insights to:

- How defining a Transitions Pathway and adopting backcasting methods can ensure your SUMP aligns with EU zero carbon targets.

- How applying an accessibility and mobility framework can identify new measure opportunities and forge stronger Links with the education and healthcare sectors.

- Approaches and tools to support implementation and financial planning that enhances measure impacts.

- A wider look at how forms of partnership with mobility and logistics companies, as well as major employers and property developers, will help to achieve sustainable mobility goals.

By participating in the self-assessment, you will also gain a fresh perspective of the governance arrangements and political mood and motivation that shapes the mobility policy of your city or city-region.

The City Mobility Transition Self-Assessment will also guide you to the other case studies, guidance and learning material available on CityConsult.

Part A: Framework conditions for the city mobility transition

Note to participant: The questions within the City Mobility Transitions Self-Assessment can be answered for a city OR a city-region (reflecting the Functional Urban Area). Often there are different priorities and policies at these different scales, which you will be aware of when answering the questions.

Segment A1 – City typology

Introduction to the segment:	Resources/links
Each city is unique, but will share some common characteristics with a subset of 'similar' cities across Europe. By completing this short city typology segment of the questionnaire you will help us to understand which cities are participating, and enable us to signpost SUMP PLUS project outputs and guidance of greatest relevance to your city/city-region.	*Reports:* D1.1 City Typology, for context-specific frameworks and tools development

Topic: Population and region of Europe	**Question format:**
Explanation: Population serves as a helpful proxy for the scale of mobility demands, as well as the types of solutions that might be appropriate (and affordable!) Different regions of Europe tend to have varying attitudes towards public transport and cycling, and can be at different stages with respect to the onset of mass motorisation and attitudes linked to car ownership. **Question: What is the approximate population size of your city OR city-region (Functional Urban Area)? Please select from the options provided:** • <25,000 • 25,000 – 50,000 • 50,000 – 100,000	Drop-down boxes showing population ranges and regions of Europe.

• 100,000 – 250,000 • 250,000 – 500,000 • 500,000 – 1 million • >1 million **Question: In which region of Europe is your city/city-region located? Please select from the options provided:** • Central and Eastern Europe • Southern Europe • Western and Northern Europe		
Topic: Key mobility indicators **Explanation:** Four further indicators help to provide an overall impression of a city's accessibility and mobility status and challenges: Firstly, denser cities afford their citizens better local access to jobs, goods and services on foot and by bicycle, and are more likely to support high frequency public transport services; secondly, GDP per capita represents the level of municipal resources available to provide for the complex and basic needs of its citizens; and thirdly, car modal share, and whether this is increasing or declining, provides a good indication of a city's situation on the path to promoting sustainable urban mobility. **Question: What is the approximate number of inhabitants per km^2 your city's/city-region's municipal land area?** **Question: What is the GDP/Capita (inhabitant) for your city/city-region?** **Question: What is the current car modal share for your city/city-region, as a percentage of resident trips by car?**	**Question format:** Input boxes with appropriate unit of measurement. Drop-down box for car modal share trend.	

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And is the current car modal share for your city increasing, decreasing or stable?		

Segment A2 – Governance framework

Introduction to the segment:

Looking at evolving relationships between European, national, regional and local levels of government enables us to understand a city's (or city-region's) ability to set its own priorities, and to develop its own context specific policies and investment packages. Work undertaken to prepare governance portraits of the diverse SUMP PLUS cities revealed that this situation is constantly changing and that city authorities have used opportunities of state 're-scaling' and restructuring in order to further their own sustainable urban mobility goals.

Completing this segment of the questionnaire provides a perspective on: firstly, the autonomy your city or city-region enjoys in order to plan and implement sustainable mobility; and secondly, as a result of this, a view of the alliances and structural changes that may be required in the future to deliver a long-term mobility transition.

Resources/links (preliminary list)

City Consult:

- CityConsult webinar: Governance Settings

- Extracts from D3.3 'Role of governance capacity in transition pathways'

- E-course Learning modules – e.g.

  - Understand complex governance; assess scope for transformative change

  - Setting context-specific policy priorities

  - Build for the future through governance reforms

City Laboratories

- Selected SUMP PLUS case studies relating to governance.

Topic: Elements of government capabilities and local autonomy

Explanation: Institutional autonomy and capacity comprises of several elements: e.g. political, legislative, financial etc. In relation to urban mobility, these may occur with different strengths amongst the tiers of government. Completing the matrix below, will help to build a picture of the situation for your city or city-region authority.

Question: On a scale of 0-3 (where 0 is no capability and 3 is very high capability) how would you rate each tier of government in terms of its influence and powers, for each of the elements listed below?

Question format: Matrix question enabling ranking of the capabilities of different tiers of government, followed by two yes/no questions.

Government capability	European	National	Regional	Metropolitan/ county	City/district			Other reports:

Politics and policy –What are levels of influence in relation to urban mobility policy for your city?					
Legislative/regulatory – Which levels of government have the greater regulatory powers in relation to urban mobility in your city?					
Transport providers – Which levels of government own and operate (or have greatest control over) key urban mobility services in your city e.g. rail, tram, bus?					
Financial – Which levels of government have greater control on the funding for urban mobility in your city?					
Planning – who can prepare and approve a SUMP for your city?					

Other reports:

D3.1/D3.2 Governmental capacity building: current state and strategies

External resources:

- EC Self-rule Index for Local Authorities (Release 1.0 – Nov 2015)

Capacity – Which levels of government have the largest resources of staff and expertise to plan and deliver urban mobility for your city?					

Question: Which of the levels of government undertake the following listed below? Please indicate Yes or No

Government capability	European	National	Regional	Metropolitan/ county	City/district
Transport providers – Which levels of government own and operate (or have regulatory/procurement control over) key urban mobility services in your city e.g. rail, tram, bus?					
Planning – who can prepare and approve a SUMP for your city?					

Topic: Capacities through policy, planning and implementation phases

Explanation: Alongside the institutional capabilities summarised above, it is valuable to also appraise capacities through the different phases or urban mobility planning and implementation. Are staff capacities and knowledge well aligned with responsibilities and where is there scope for cooperation?

Question: On a scale of 0-3 (where 0 is no capacity/activity and 3 is very high capacity/activity levels) how would you rate the different tiers of government, in relation to your city/city-region?

Question format:
Matrix question enabling ranking of the capabilities of different tiers of government.

Government capability	National	Regional	Metropolitan/ county	City/district
Data and knowledge – which levels of government collect and analyse mobility data?				
Agenda-setting and policy – which levels of government undertake research and convert data and opinion into policy?				
Implementation – which level of government have the resources and skills to project manage implementation?				
Evaluation – which level of government has the resources and skills to monitor and evaluate the SUMP?				

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Topic: Degree of cooperation amongst levels of government **Question: On a scale of 1 to 5 (where 5 is very high cooperation), how would you rank the extent of cooperation and sharing of capacities amongst authorities at the scale of the city-region Functional Urban Area (FUA)?**	**Question format:** Slider question format showing scale of 1 to 5	**Resources/links (preliminary):** *See above*

Segment 1.3 – Mood and motivation

Introduction to the segment: The CREATE project investigated the political drivers for implementation of sustainable mobility policies, acknowledging the importance of 'mood' and 'motivation' at a city-region level. A mood for change arises from legitimate concerns. For example in Berlin, the *Homes before Roads* campaign established in the early 1970s was typical of grassroots protests that led the administration to abandon its policy of building urban motorways that were severing communities. Motivation refers to the energy that cities can foster to make that change happen, by tackling key concerns head-on. *In this segment we explore how would you describe the current mood in your city , and how you would rank the key issues/concerns that will drive change? These questions are asked in relation to both the city and the city-region, on the basis that policy priorities can differ.*	**Resources/links (preliminary)** *External:* The CREATE Guidelines: Congestion reduction in Europe, Advancing Transport Efficiency (May, 2018)

Topic: Mood in your city-region	Question format:	Resources/links (preliminary)
Question: Which of the five options best describes the current 'mood' and stage of mobility transition in your city/city-region?	Multiple-choice, single answer question using radio buttons/ tick boxes (presented in two columns for city and city-region).	
a) **Car is king** - the city-region is planning further highway and parking construction projects with minimal consideration for sustainable mobility and liveable city policies.		
b) **Turning point** – the city-region is starting to introduce sustainable mobility and liveable city measures, but these remain ad hoc (e.g. isolated sections of cycle path). Investment in highways continue and there are no/very limited measures to discourage private car use.		
c) **Middle path** – the city-region is pursuing balanced investment in highways, sustainable mobility networks and liveable city measures.		
d) **Sustainability frontrunner** – the city-region is pursuing a decarbonisation and liveable city strategy and can be considered a 'frontrunner' <u>in one or more</u> policy areas such as localising facilities, providing for and promoting a shift to public, shared and active transport modes, and enabling a switch to alternatives fuels. Highways investment only occurs where this has clear and overriding benefits for placemaking and sustainable mobility.		
e) **Lighthouse** – the city-region is strongly pursuing a focused decarbonisation and liveable city strategy, with a <u>comprehensive package</u> covering localisation of facilities, providing for and promoting a shift to public, shared and active transport modes, and enabling a switch to alternative fuels. Highways investment only occurs where this has clear and overriding benefits for placemaking and sustainable mobility.		

Topic: Motivation to change **Question: On a scale of 1 to 5 (where 5 is of the highest importance), how would you rate the following issues in terms of the strength of political consensus for action across in your city/ city-region?** • Greenhouse gas emissions • Localised air pollution • Traffic congestion • Safety for vulnerable road users • Accessibility for all (i.e. equity in terms of access and mobility) **Notes:** The following notes may assist you in scaling these issues - • 1- Interest groups champion this issue, but there is limited wider awareness and this remains a low priority (latent trigger for change) • 2 – Interest groups AND one or more politicians champion the issues, but there is limited wider awareness and this remains a low priority (latent trigger for change) • 3 – Interest groups and a significant portion of politicians support actions on this issue, but wider awareness raising is required to drive change (active trigger for change) • 4 – Interest groups, significant portions of politicians and citizens (as demonstrated in polls/engagement acivities) support action. • 5 – Issue has become a high political priority enjoying strong consensus amongst interest groups, politicians and citizens, as evidenced by polls, engagement activities, local election results, etc.	**Question format:** Slider question format showing scale of 1 to 5 for each issue of concern.	Comparative view of 'motivations for change' across the SUMP PLUS cities *Case study:* City of Antwerp Climate Plan and investment package

Part B: Understanding and applying SUMP PLUS concepts and approaches

The followings sections set out the text and questions as they would be viewed by a person completing the self-assessment

Segment B1 – Defining Transition Pathways

|	Resources/links (preliminary):
Introduction to the segment: 30-year planning to realise a cities vision of the future in support of carbon elimination and SUMPs The SUMP PLUS Transition Pathway provides the policy, funding and governance requirements for cities to be able to reach ambitious long-term targets (up to 2050) that align with their city vision. It is recognised that a whole system approach is needed that includes overarching and shared goals between sectors to reduce travel demand / carbon impacts, in order to deliver on the city vision. The Transition Pathway extends existing SUMP horizons from forecasting up to 10 years ahead to a longer-term vision of the future spanning a 30-year time horizon. Using a backcasting rather than forecasting approach, the pathway maps out a new type of long-term, strategic mobility and accessibility planning process. This includes new policy measures identified for implementation at appropriate times over this 30 year period, and with necessary governance reforms required to be in place to enable their implementation. The Transition Pathway should be developed at the scale of the Functional Urban Area (FUA – the term city-region is used throughout this questionnaire). The following questions will elicit the extent to which municipalities already undertake long term strategic planning which is consistent with the SUMP PLUS Transition Pathway process.	*City Consult:* Topic Guide: Transition Pathways (D6.1) Webinar: Transitions Pathways and their relationship to SUMP Policy papers (D6.3)

Figure 2 - Conceptual framework for the development of Transitions Pathways
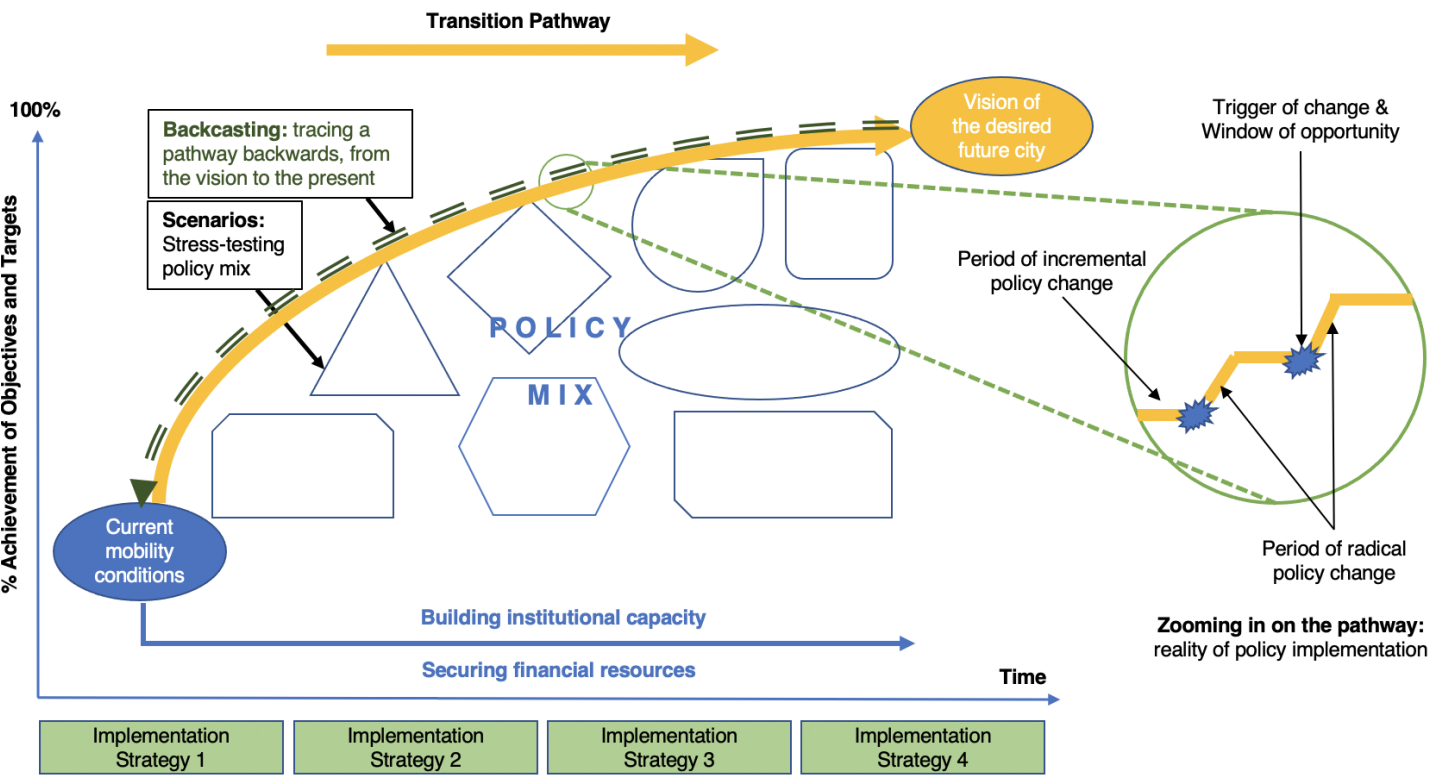
Source: SUMP PLUS D1.2 – Smeds, E. & Jones, P. (2020) 'Developing Transition Pathways towards Sustainable Mobility in European cities: Conceptual framework and practical guidance.'

Topic: A Vision to 2050	City Level Question format:	City Region Level
Question: Which of the following statements best describes the situation of (i) your city and (ii) the city region (Functional Urban Area), in terms of a vision?	Multiple-choice, single answer question using radio buttons/tick boxes.	

• We have a long-term vision (up to 2050) integrating visions from multiple sectors (e.g., mobility, energy, spatial, climate and innovation strategies, health, education, tourism, city masterplans). • We have a long-term vision (up to 2050) based largely around mobility related issues/concerns, but it is limited in its cross sectoral influence. • We have a cross-sectoral future vision, but it only looks forward 10 to 15 years. • We have a mobility focussed future vision, but it only looks forward 10 to 15 years and it lacks genuine cross-sectoral influence. • We do not have a future vision.		
Topic: Formulating the Vision **Questions: Which of the following statements apply to your city vision, if you have one?** • The vision for the future city-region was created through a consultative exercise involving many stakeholders. • The vision for the future city-region takes account of national and supra national policy and targets, as well as external trends. • The vision for the future city-region retains local relevance and reflects local desires. • Clearly defined targets have been established for all the aims/objectives within your city vision?	**Question format:** Multiple-choice (radio buttons/check boxes) – more than one answer can be selected	
Topic: Issues addressed by the Vision **Question: On a scale of 1 to 5 (where 5 is of the highest importance), how important are the following issues at (i) city and (ii) city region levels?**	**Question format:**	

- Reducing greenhouse gas emissions - Localised air pollution - Traffic congestion - Safety for vulnerable road users - Accessibility for all (i.e. equity in terms of access and mobility) **Notes:** The following notes may assist you in scaling these issues - - 1 - not identified as an issue in the vision - 2 - of minor importance - 3 - important as one component of a wider key aim - 4 - a very important consideration in the vision - 5 - of key importance to the vision	Slider question format showing scale of 1 to 5 for each issue of concern	
Topic: Identifying a 'high level policy mix' to achieve the Vision **Explanation:** A **'high-level policy mix'** refers to a comprehensive and complementary set of policies defined at a general level, rather than defined in terms of specific measures (as per the SUMP). The high-level policy mix usually incorporates three main policy areas: 1) Avoid the need to travel by substituting physical travel with digital access to services/home delivery / avoid the need to travel long distances through localisation; 2) Shift mode to active, public and shared forms of transport; 3) Improve / Switch fuels. Forecasting approaches to planning are replaced with backcasting. **Forecasting** involves estimating increased mobility associated with economic and population growth and then providing for it - regardless of whether this aligns with the vision. On the other hand, **backcasting** treats city vision targets as absolute limits that must be	**Question format:** Multiple-choice, single answer question using radio buttons/tick boxes.	

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achieved and then selects the mix of policies that will be most likely to achieve these targets. **Question: Have you attempted to identify the policy mix that is required to achieve the agreed outcomes?** • No • Yes, this is based on forecasting future demands and designing policy that provides for this • Yes, this is based on setting future city targets and using back-casting to understand what policy is needed to attain these.		
Topic: Stress-testing the Vision **Explanation:** Stress testing is about ensuring the policy mix chosen is robust /resilient in the face of different possible futures related to exogenous factors. For example, assessing the ability for the package to achieve the vision and targets under a future with higher or lower than expected population change, or higher or lower economic growth, or higher/lower fuel prices, or faster/slower technological change. **Question: Have you stress tested your policy mix against possible alternative future scenarios?**	**Question format:** Yes/No answer	
Topic: Identifying institutional enablers **Explanation:** As identified in Part A, different tiers of government have different roles, capabilities and powers. It may be necessary to make alliances and structural changes in the future to deliver a long-term mobility transition. **Question: Have you identified the institutional enablers required to deliver the selected policy mix?** • NO and we have no plan to do so, at this point in time	**Question format:** Multiple-choice, single answer question using radio buttons/tick boxes.	Antwerp Climate Plan governance arrangements as an example?

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• No, but we would like to start this process • Not yet, but we have already begun the process of identifying necessary governance reform / have established high-level groups tasked with identifying and delivering necessary governance reform • Not fully, but we have identified the reforms necessary and have made some relevant changes/are establishing the mechanisms required to deliver this. • YES we have fully established the governance reform needed and have established the mechanisms for delivering this		
Topic: A defined Transition Pathway **Question:** Do you have a well-developed Transition Pathway identifying both the policy mix and governance reforms needed up to 2050 to deliver the city-vision, and including a timeline describing intermediate policy milestones and interdependencies between milestones and enabling actions? • NO and we have no plan to do so, at this point in time. • No, but we would like to start this process. • No, but we have already begun the process. • Not yet, but we are well on the way. • YES we have fully developed a long-term (30 year) Transition Pathway.	**Question format:** Multiple-choice, single answer question using radio buttons/tick boxes.	

Segment B2 – Forging cross-sectoral links

Introduction to the segment:	Resources/links (preliminary):
The need to travel, and the most convenient way to travel, is often dictated by decisions made by organisations in other sectors – e.g. education, health and retail. As a result, in many cases the overall volume of travel (number and length of trips) is largely outside the control of the transport sector.	*City Consult*
With a focus on integrated healthcare and transportation planning, the SUMP PLUS City Laboratory led by Transport for Greater Manchester (TfGM) applies an ***accessibility and mobility framework*** to explore opportunities for GHG emissions savings and improvements in service provision. This moves partners beyond the more conventional topics for cooperation between these sectors, such as reducing air pollution and encouraging active and healthy travel, in order to take a comprehensive look at:	Practitioner Briefing: Cross sector management of mobility demand (LINKS) through aligned incentives and coordination mechanisms
• The potential to **avoid** travel or substitute longer trips through providing a service online, at someone's home, or by *localising* service provision within a neighbourhood. • Identification of measures to encourage a **shift** to walking and cycling, shared and public transportation. • Support to **improve** vehicle efficiency and a switch to alternative fuels (i.e. electric and hydrogen mobility).	Webinar: Links to other policy areas Knowledge Transfer Workshop CL2: Integrating decarbonisation strategies across health and transport
This framework is applied having regard to the mobility of staff, patients and visitors, as well as the freight/logistics implications of decisions – e.g. when considering the location of a new healthcare facility.	
Let's undertake a quick appraisal for your city, to understand which elements of the accessibility and mobility framework are being applied, and where future opportunities lie!	

Topic: Links with healthcare:	Question format:	Resources/Links (preliminary):
Question: Within the matrix below, mark those boxes where your city/city-region has a relevant initiative with "Y", and mark those others that you consider would have the highest beneficial impact with "H".	Matrix question with "Y" and "H" options for each of the cells.	Matrix, completed with case studies from SUMP PLUS and other sources

Accessibility & mobility framework		Patients & visitors	Staff	Logistics		*City Laboratory case studies*
AVOID & substitute trips	Online/internet services					Healthcare - Transport for Greater Manchester
	In-home service provision					
	Home deliveries					
	Health-related visits to homes					
	Localisation of health facilities					
SHIFT to sustainable modes	Improved routes and facilities for walking & cycling.					
	Improved public transport					
	Shared mobility					
	Intermodality & MaaS					
IMPROVE vehicle efficiency & switch fuels	Low/no emissions zones					
	Alternative-fuelling of vehicles					
	Grid integration / Vehicle 2 Grid					

Notes for participants: *You may not see all parts of the matrix as immediately relevant, or appropriate and that is fine. For example, there may be a preference for 'face to face' interaction, rather than moving services online. The purpose of the matrix is to provide a structure for dialogue also with stakeholders in the relevant sector. Within the resources we provide case studies for different parts of the matrix.*

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	Question format:	Resources/Links (preliminary):
Topic: Engagement with the healthcare sector **Question: Has an ongoing stakeholder forum that enables sharing of information and integrated planning by the <u>healthcare</u> and transport sectors been formed?** **Note:** The forum may be multi-sectoral – i.e. not only involving healthcare and transport.	Yes/No question	*City Consult* Webinar: Participation and engagement Fact Sheets (D4.3): City Mobility Integrators E-course learning block

Topic: Links with education

Question: Within the matrix below, mark those boxes where your city/city-region has a relevant initiative with "Y", and mark those others that you consider would have the highest beneficial impact with "H"

	Question format:	Resources/Links (preliminary):
(see matrix below)	Matrix question with "Y" and "H" options for each of the cells.	*City Laboratory case studies* Education – City of Klaipeda

Accessibility & mobility framework		**Pupils & students**	**Staff**	**Logistics**
AVOID & substitute trips	Online/internet services			
	In-home service provision			
	Home deliveries			
	Health-related visits to homes			
	Localisation of health facilities			
SHIFT to sustainable modes	Improved routes and facilities for walking & cycling.			
	Improved public transport			
	Shared mobility			
	Intermodality & MaaS			

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IMPROVE vehicle efficiency & switch fuels				
	Low/no emissions zones			
	Alternative-fuelling of vehicles			
	Grid integration / Vehicle 2 Grid			

Note: You may not see all parts of the matrix as immediately relevant, or appropriate and that is fine. For example, there may be a preference for 'face to face' interaction, rather than moving services online. The purpose of the matrix is to provide a structure for dialogue also with stakeholders in the relevant sector. Within the resources we provide case studies for different parts of the matrix.

Topic: Engagement with the education sector **Question: Has an ongoing stakeholder forum that enables sharing of information and integrated planning by the <u>education</u> and transport sectors been formed?** **Note:** The forum may be multi-sectoral – i.e. not only involving healthcare and transport.	**Question format:** Yes/No question	**Resources/Links (preliminary):** *City Consult* Webinar: Participation and engagement Fact Sheets (D4.3): City Mobility Integrators E-course learning block 3

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Segment B3 – Creating mobility partnerships

Introductory to the segment:	Resources/links (preliminary):
Delivering an accessibility and mobility transition will, without doubt, involve working in alliance with a range of private sector actors. In summary, SUMP PLUS has identified the following main categories of partners: ● **Mobility service providers** ● **Logistics companies** ● **Major employers and businesses** ● **Property developers** ***In this segment of the questionnaire we explore the extent to which your city-region is forming a proactive dialogue with these partners and applying the mechanisms it has it its disposal to achieve sustainable mobility outcomes?***	*City Consult* Content to be confirmed *Reports:* D1.3 Conceptual and analytical frameworks for new business models

Topic: Mobility service providers	Question format:	Resources/links (preliminary):
Explanation: Mobility service providers range from publicly-owned public transport operators, through to shared car, bike and scooter companies. Cities like Antwerp have taken a proactive approach to fostering a thriving 'marketplace', which enables mobility providers to pilot and upscale their services, while also using the mechanisms at the city authority's disposal to maximise sustainability benefits and minimise negative impacts.	Multiple-answer with tick boxes/radio buttons	*City Laboratory case studies* ● Antwerp Marketplace for Mobility ● Antwerp licensing regime for shared micro-mobility ● Smart Ways to Antwerp journey planner

Figure 3 - The capabilities that the public and private sector bring to mobility partnerships
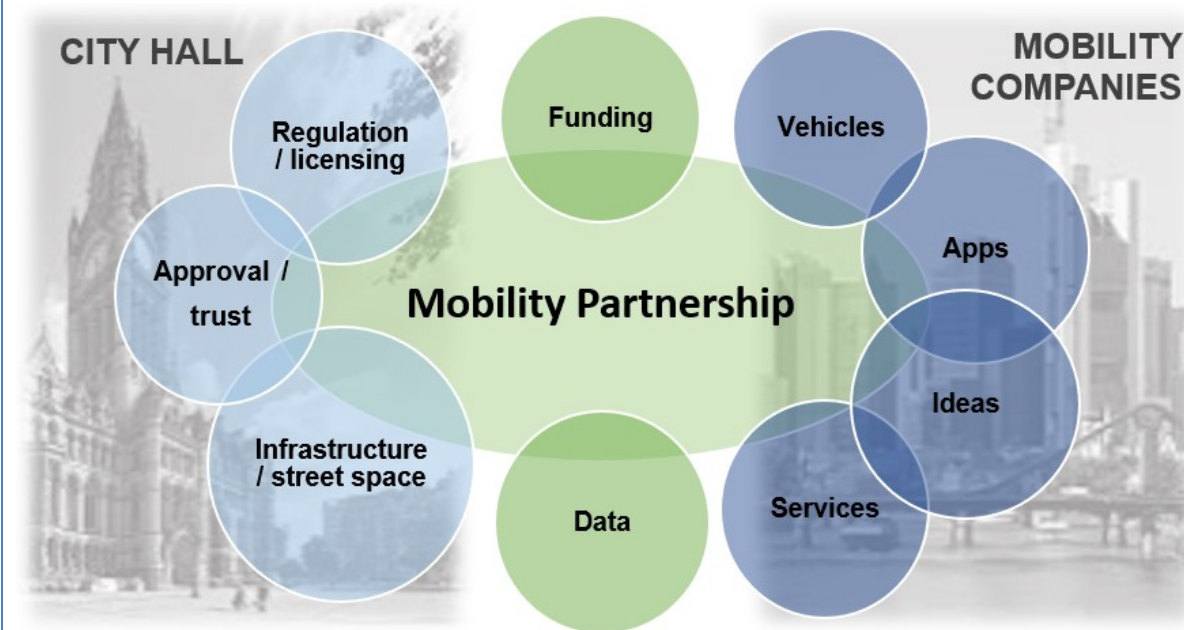
Source: SUMP PLUS D1.3 (2021) 'A conceptual and analytical framework for new business models'

Question: Which of the following steps have been taken by your city/city-region to create proactive partnerships? Please select all that apply:

- **Mobility forum -** Establishment of a mobility forum enabling frequent dialogue amongst mobility providers and key stakeholders

- **Financial subsidy** - Provision of subsidy funding support for collective and shared mobility providers (e.g. demand-responsive transport/ride-poolin, bike-sharing, e-scooter sharing)

- **Regulation/licensing** - Creation of regulation/licensing to control, for example, numbers of shared mobility bikes/scooters and locations where they can be left.

Approval and trust - Promotion of shared mobility services as an integral part of a sustainable mobility network (e.g. promotion on city website or journey planner) **Infrastructure and street space** – Provision of parking/storage and interchange space, together with fast and safe routes for sustainable modes **Data sharing –** Creation of a data sharing platform enabling development of intermodal journey modals, integrated ticketing and MaaS **Fostering a 'marketplace'** – Openly encouraging mobility providers to launch in the city-region through calls for mobility innovation and offer of public sector support.		
Topic: Urban logistics partnerships and framework **Explanation:** In contrast to sustainable mobility provision, logistics is primarily a private-sector activity that does not typically involve public sector subsidy (at least at the level of urban logistics). SUMP PLUS has sketched out a framework showing the principal means for fostering dialogue, setting in place appropriate controls, and for generating the 'win-win' situation of efficient logistics operations for both private operators and the city as a whole.	**Question format:** Multiple-answer with tick boxes/radio buttons	**Resources/links (preliminary):** *City Laboratory case studies* - Lucca logistics partnership and call - Antwerp Marketplace for logistics solutions

Figure 4 - A framework for urban logistics partnerships and measures

Source: SUMP PLUS D1.3 (2021) 'A conceptual and analytical framework for new business models'

Question: Which of these framework components are currently in place in your city/city-region to promote sustainable urban logistics?

- **Freight partnership -** A freight partnership/forum involving public and private sector stakeholders has been established to discuss problems and solutions.

- **Fostering a 'marketplace'** – Openly encouraging logistics providers to pilot sustainable solutions through calls for innovation.
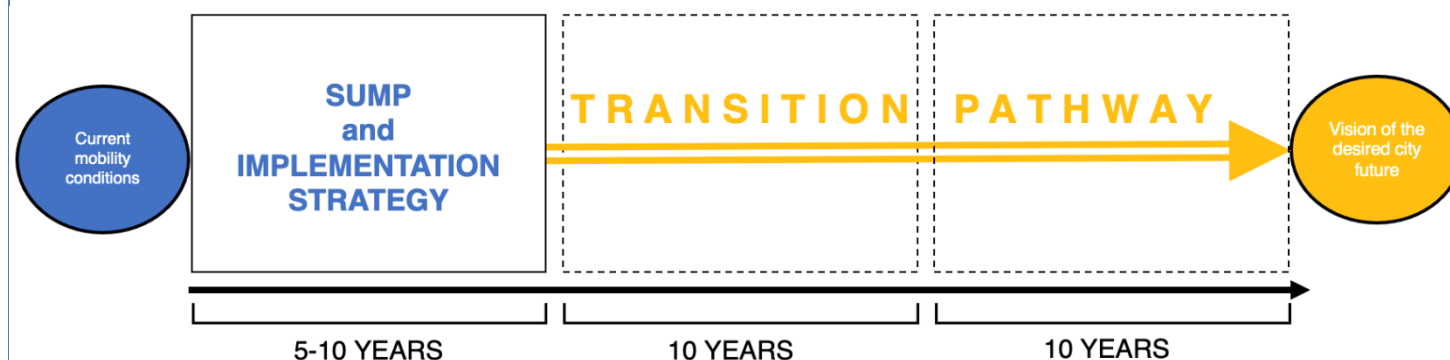
- **Virtual city walls -** The city has established digital systems to enable it to monitor and where necessary, control the number and type of logistics vehicles entering the central part of the city (and/or other sensitive districts).

- **Guide & inform -** Preferred freight routes have been designated (avoiding sensitive areas) and journey planning information provided in a clear format.

- **Controls & regulations** in relation to acceptable loading/unloading practices and timings are clear communicated and enforced.

- **Deployment of clean (alternative fuel) vehicles and cargo bikes** is promoted through Low Emission Zones (LEZs) and provision of suitable charging infrastructure.

Explanation: Optimising vehicle loads is core to the business model of logistics companies, and of major benefit for cities. Nevertheless, achieving optimal vehicles loads is notoriously difficult. Freight consolidation holds the key and SUMP PLUS distinguishes between three main forms of consolidation.

Question: Which of the following approaches are currently in place in your city/city-region to promote optimal vehicle loads?

- Consolidation at source, through promotion/provision of urban consolidation centres.

- Consolidation at destination for e-commerce, through provision of parcel lockers and other shared/collective pick-up points.

- Consolidation of loads in time, resulting in fewer deliveries to a location, but with more items per delivery.

Topic: Working with major businesses/employers **Explanation:** Employers can have significant influence over commuting patterns and preferred transport modes, and have a vested interest in enabling stress-free, healthy and comfortable travel for their staff.	**Question format:** Multiple-answer with tick boxes/radio buttons	**Resources/links (preliminary):** *City Consult* Financial Framework Tool and Action & Budget Tracker

Question: Has your city/city-region sought to implement the following measures working with businesses and major employers? • **Flex-working** – enabling staff to work from home more, to avoid trips, or enable more flexible work times that enable more sustainable mobility choices and reduce peak-hour congestion. • **Travel planning –** engaging businesses in travel planning and monitoring that encourage staff to use sustainable modes, coupled with incentives such as tax-free cycle purchase and discounted public transport fares. • **Direct service provision** – measures to enable provision of public transport to the sites of major employers where these are not located on trunk routes. • **MaaS in place of company car schemes** – removal of company car schemes in favour of sustainable travel packages.		*City Laboratory case studies* • Antwerp Flexscan • Antwerp Business2Business Marketplace for Mobility *External resources* • Examples illustrating each of the measure options in the question
Topic: Working with property developers **Explanation:** Through their investment decisions, property developers have a strong influence on urban design and the way that we move. Partnerships and regulatory mechanisms can help to ensure that travel by sustainable modes is supported and encouraged: **Question: Which of the following approaches are applied in your city/city-region to enable funding and provision of infrastructure and services for sustainable mobility?** • **Developer provision on sites -** Clear policies and guidelines are in place for provision of infrastructure for walking and cycling, shared mobility and public transport on development sites • **Developer provision at/in buildings -** Clear policies and guidelines are in place for provision of cycle parking and storage, as well as shower and changing facilities, in new buildings and renovation projects.	**Question format:** Multiple-answer with tick boxes/radio buttons	**Resources/links (preliminary):** *City Consult* Financial Framework Tool and Action & Budget Tracker *External sources* • Examples illustrating each of the measure options in the question

- **Developer contributions towards sustainable mobility** – Regulatory mechanisms are in place enabling developers to contribute financially (as a result of land value capture) to sustainable mobility infrastructure and services.

- **Land-use policies encouraging mixed-use development and provision of community services** – A strong policy is in place to ensure mixed-use developments, where 'everyday' and community services are localised and easily accessible by walking or cycling (services include for example: grocery store, healthcare facilities, nurseries and primary schools, recreation facilities).

Segment B4 – Developing Implementation Strategies

Introduction to the segment:	Resources/links (preliminary):
The approval of a SUMP is a major achievement, but in fact the work is only just beginning. Steps 8 – 9 of the SUMP 2.0 Guidelines (Rupprecht Consult 2019) set out the need to: agree actions and responsibilities; undertake financial planning; and manage SUMP implementation. The SUMP PLUS approach seeks to expand on this advice, addressing the need for a detailed Implementation Strategy covering when, where and how measures will be delivered. Implementation Strategies are expected to cover a period of around 10 years and have the following practical benefits: - Refined core measure components and sequencing over time and clustering spatially, to maximise sustainable mobility impacts and cost-efficiency. - Integration of supporting SUMP measures in the planning of major public transportation schemes, such as those funded through EU Structural Funds, to increase take-up and effectiveness. - Overcoming of institutional and financial barriers, for example through the leveraging of 'windows of opportunity'.	*City Consult* Knowledge Transfer Workshop - Creating a SUMP Implementation Strategy towards a liveable city (Klaipeda) Knowledge Transfer Workshop – Using SUMPs to enhance smart city impact and implementation (Alba Iulia) E-course learning block:

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Figure 5 - Time horizons for SUMPs and Transitions Pathways

Source: SUMP PLUS D1.2 – Smeds, E. & Jones, P. (2020) 'Developing Transition Pathways towards Sustainable Mobility in European cities: Conceptual framework and practical guidance.'

In this segment of the questionnaire, we highlight key aspects of the SUMP PLUS Implementation Strategy approach and explore which of these your city-region currently carries out.

- Setting up an implementation strategy
- Turning policies into core measures
- Detailed planning and practical issues
- Monitoring implementation progress

Financial Framework Tool and Action and Budget Tracker

Reports:

D1.2 Summary – Recommended process: how to develop an Implementation Strategy

|	Question format:	Resources/links (preliminary):
Topic: Specifying core measure packages **Explanation:** A core measure package comprises a set of core measure components and a series of related supporting measures. **A *core measure*** can be defined as a major urban mobility policy intervention, such as: an Urban Vehicle Access Restriction (UVAR), a public transport route involving prioritisation, or a segregated cycle superhighway. In such cases there is significant scope to identify ***supporting measures*** that would support and enhance the effectiveness of the core measure. Examples include enforcement measures to prevent cars	Yes/sometimes/no question format	*City Laboratory case studies* - Klaipeda - Alba Iulia

from using a dedicated bus lane, providing pedestrian crossings at bus stops, and ensuring provision of suitable cycle parking and storage along the corridor of a cycle path.

Question: Does your city/city-region adopt a "core measure package" approach to SUMP implementation?

With a recent or upcoming 'core project' of your city-region in mind, did (or does) your approach involve the following steps:

- Systematic identification of 'supporting measures' within close proximity to (along the corridor) a 'core measure', which would boost the effectiveness of that measure?

- Appraisal and prioritisation of 'supporting measures' with respect to: functional importance and role enhancing core measure effectiveness and cost of implementation?

Topic: Engaging stakeholders and citizens during measure implementation **Explanation:** Involving citizens and stakeholders is a key principle of the SUMP Guidelines (Ruppecht Consult 2019). As measures are not always precisely defined in a SUMP, continuing the engagement process into detailed design and implementation is important, as businesses and citizen groups can be impacted in different ways by construction and operational phases. Design amendments and mitigating actions can be identified to help reduce any problems and improve awareness of and the success of the measure. **Question: Does your city/city-region undertake measure-specific stakeholder and citizen engagement activities, to support and inform measure implementation?**	**Question format:** Yes/sometimes/no question format	**Resources/links (preliminary):** *City Consult* Webinar: Participation and engagement Fact Sheets (D4.3): City Mobility Integrators E-course learning block
Topic: Developing a timeline, including quick wins & experimentation	**Question format:** Likert scale question	**Resources/links (preliminary):** *City Laboratory case studies*

Explanation: A 10 year implementation period and Strategy can be divided into three main phases: (i) Quick wins & experimentation; (ii) Build & upscale; and (iii) Consolidate and leverage. **Question: For the following statements, how would you rate your city's/city-region's approach to implementation phasing, where 1 is 'strongly disagree' and 5 is 'strongly agree':** • The city/city-region undertakes a lot of pilot activities and small-scale implementation of sustainable mobility measures, in order to raise awareness and acceptability of such approaches. • The city-region has a clear timeline for implementation of measures over a ten- year period. • The city-region takes a flexible approach, using the SUMP as a framework of measures that can be implemented when funding is available.		• Klaipeda • Alba Iulia • Antwerp *External sources*: based on experience during COV19 pandemic.
Topic: Preparing a Financial Strategy and exploring funding options **Explanation:** The SUMP Guidelines (Rupprecht Consult 2019) advise that 'a thorough financing plan is needed to ensure that the previously identified measures and actions are economically sound and financially viable.' Undertaking this task is challenging and city authorities can feel constrained by existing funding streams/budgets and a lack of resources can restrict the ability to pursue new options. SUMP PLUS has developed integrated Financial Framework and Tracker tools to assist authorities in the process of developing a financial strategy and explore potential sources.	**Question format:** Yes/no question	**Resources/links (preliminary):** Financial Framework Tool and Action and Budget Tracker

Figure 6 - The three steps of the SUMP PLUS integrated Financial Framework and Tracker Tool
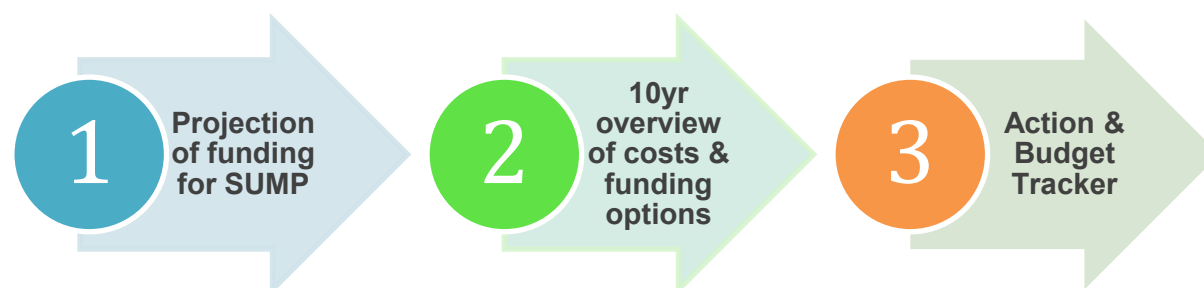
Source: SUMP PLUS D1.5 (2021) 'Action and Budget Tracker'

To help understand whether the tools would assist your city-region, please consider the following question.

Question: Which of the following statements apply in relation to the SUMP implementation planning of your city/city-region?

- SUMP Implementation Strategy development is informed by a realistic projection of the available mobility funding, for example based on budget information from the last 5-10 years?

- The city-region has a strong understanding of the likely (estimated) costs of implementing the measures in the SUMP?

- The city-region SUMP Implementation Strategy and phasing of measures is informed by a clear financial plan?