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Cleaner and better transport in cities

SUMP-PLUS



D5.2 Final Evaluation Plan

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Disclaimer

The views expressed in this publication are the sole responsibility of the SUMP-PLUS project consortium and do not necessarily reflect the views of the European Commission.

Abstract

SUMP-PLUS (Sustainable Urban Mobility Planning: Pathways and Links to Urban Systems) is designed to address urban mobility related challenges and to exploit new opportunities, by developing a strong, rigorous evidence base through a co-created City Laboratories approach building on the strengths of the existing SUMP and SULPs. SUMP-PLUS aims to develop new research concepts and approaches (dealing with strategies for SUMP implementation, transition pathway, cross-sectorial links between the mobility and other city sector/system generating/affecting mobility demand, development of innovative business models and use of external funds, enhance of cooperation at governance level, capacity building, stakeholders' engagement supporting the co-created processes) and to introduce them in the real city practice.

The role of CLs in SUMP-PLUS project is to give “practical ground” for the development of innovative concepts, tools and methodologies taking place in WP1 “Conceptual Framework and Analytical tools”, WP3 “Governance and Capacity Building” and WP4 “Engaging of citizens and businesses”.

The focus of WP5 “Living Labs validation” in SUMP-PLUS is the evaluation of the CLs. WP5 starts from the definition of a consistent Evaluation Framework for the development of evaluation activity: this Deliverable represents the final version of the plan.

The SUMP-PLUS evaluation approach is based on the qualitative assessment of the “intangible impacts” produced by CL activities on mobility policies improvement and approaches adopted by the cities at strategy and implementation level. The process evaluation can capture the story behind CLs (lessons learnt, practices working well and practices that could have been worked better, facilitating/enabling factors, etc.) as well as the mutual relationships (and impacts) among the processes and actions in CLs.

Along the development and consolidation of CL Plan (CLP), it has been realized that: 1) CL activities largely deal with a continuous co-created process of analysis and refinement of planning strategies and working/cooperation procedures at operational level rather than usual “pilot actions”, 2) demonstrated solutions linked with piloting of new services are operated only in Antwerp but again they have not the features of a consistent pilot action as implemented in a demonstration project, 3) the CL activities in Platánias, Alba Iulia and Klaipėda which are indicated in the CL description included in the DoA as “implementation of some elements of the pathway” did not consist of piloting of demonstrated solution but they refer to the implementation of “co-created” process, 4) where the term “impacts” is used for the SUMP-PLUS evaluation it is related to “intangible” impacts, 5) most of the CL activities which are implemented in SUMP-PLUS will give actual impacts beyond the project itself, when the defined changes at strategic/operational level will fully run and give results rather in the short-period (during/at the end of the project itself).

This Deliverable specifies the process evaluation method (which has been deeply extended compared to the approach defined in CIVITAS SATELLITE) in terms of objectives, adopted approaches, guidelines for data collection, elements to be assessed and scheduled timing. Individual Evaluation Plan is specified for each CL and annexed to the Deliverable.

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
11	MEMEX SRL	MEMEX	Italy
12	SPACE SYNTAX LIMITED	SPACE SYNTAX	United Kingdom
13	VECTOS Gmbh	VECTOS	Germany
14	ICLEI EUROPEAN SECRETARIAT GMBH	ICLEI EURO	Germany
15	UNION INTERNATIONALE DES TRANSPORTS PUBLICS	UITP	Belgium

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List of abbreviations

ABBREVIATIONS	EXTENSIVE REFERENCE
CL	co-created City Laboratories. The City Laboratories deliver co-created processes and actions, demonstrating SUMP implementation strategies, as well as integrated policy and solution planning, fostering new partnerships and ‘business models’ and piloting new ‘solutions’ through the engagement of relevant stakeholders (within/outside the mobility sector)
CLP	Co-created Laboratory Plan (D2.1, WP2). This document outlines the activities to be implemented during the project by each city and sets clearly the objectives, timeline of actions and organizational responsibilities. It also identifies issues and activities where specific assistance from project expert partners (WP1,2,3,4) would be beneficial.
EC	Evaluation Coordinator. MemEx as WP5 Leader.
EP	SUMP-PLUS Evaluation Plan. It describes the evaluation framework consisting of the evaluation objectives, methodology, approaches and activities, timing
EU	European Union
Key Output	CL output to which process evaluation is applied. It can be produced by one or more CL measures and contributed by other CL outputs
LEM	Local Evaluation Manager. Responsible of evaluation activities at CL level
Measure	A measure is a mobility related action implemented by a city (or other stakeholders) e.g.: a new process (at planning/policy or operative level), a new procedure (i.e. organisation of work, interrelations among the stakeholders) and others similar. It is used referencing to CIVITAS SATELLITE terminology and sometime replaced by the term “CL activity”
OB.1-OB.9	Labelling for City Laboratories’ measures which have been defined based on SUMP-PLUS policy and operational objectives: OB1. Implementation Strategy/Transition Pathway, OB2. SUMP development, OB3. Cross-sectorial Links, OB4. Governance, OB5. Capacity Building, OB6. Engagement, OB7. Partnerships&Business Models, OB8. Analytical Tools, OB9. Solutions

ABBREVIATIONS	EXTENSIVE REFERENCE
OUTPUT	Result of one CL measure
SUMP	Sustainable Urban Mobility Plan
SULP	Sustainable Urban Logistics Plan
WP	WorkPackage. Self-consistent and homogenous part of a project consisting in activities (task) and outcomes (such as the deliverables)

1 Executive Summary

This Deliverable is the SUMP-PLUS Final Evaluation Plan.

The main objectives of this Deliverable are to provide:

- the SUMP-PLUS cities with a consistent evaluation methodology for assessing to what extent the ambitions and “intangible” impacts of the CLs have been achieved and why
- the project (WP1, WP3 and WP4) with the inputs to validate the research concepts related to the co-created processes applied to the SUMP implementation strategies and transition pathway
- the project (WP6 and WP7) with the inputs (impact assessment, good practices, lessons learnt, etc.) required to foster knowledge transfer towards external entities (replication in Follower Cities, guidelines)
- the CIVITAS Community with an enhancement of process evaluation approach/method, on the basis of the SATELLITE Evaluation Framework, well fitted to the scope of SUMP-PLUS (strategies and actions for the implementation of SUMP and supporting elements) and the purpose of assessing co-creation processes.

Section 2 gives an introduction to the document in terms of SUMP-PLUS and CLs presentation, the specific role of WP5 “City Labs validation” and the contribution of the Evaluation Plan to the project’s workplan.

Section 3 specifies the definition of the SUMP-PLUS Evaluation Framework in terms of the adopted approach and methodology principles. The SUMP-PLUS CL measures¹ cover a wide range of activities: they mainly deal with the co-creation of new process/procedures facilitating the SUMP implementation such as: definition of SUMP implementation strategy (in terms of priority, spatial and time allocation), identification of long-term vision for a city transition pathway covering mobility strategies over a time period which is longer to the one covered by the SUMP, development of relationships between mobility and other sectors setting needs for the mobility (i.e. education, health, tourism, retail, etc.), mobility studies, stakeholders’ engagement and consultation, strengthening of multi-sector governance and capacity building, partnerships and cooperation schemes, innovative business models. The principles of the Evaluation Methodology are to assess all the CL measures with process evaluation (suitable to properly catch the added value of the SUMP-PLUS measures in facilitating SUMP implementation/development).

Section 4.1 specifies the process evaluation in terms of scope, monitoring process and data collection procedures and timing. Section 4.2 justifies why an impact evaluation will not be applied in SUMP-PLUS.

¹ In the SUMP-PLUS Evaluation Framework the term “measure” is used for the CLs actions according to the terminology adopted in CIVITAS. However, it must be highlighted that the CL actions are generally quite different from the usual “piloting actions” experienced in R&D projects as, in SUMP-PLUS, they are not, in general, dealing with implementation and operation of new services/systems (tested in the city environment) but with co-creation of new process/procedures for defining SUMP implementation strategies and/or introducing facilitating/supporting conditions for SUMP implementation/development

On the basis of the consolidation of D2.1 – Co-created Laboratory Plan, CL measures and outputs have been identified together with the interrelations among them (i.e. one or more CL measures contributing to the same CL output, an output not representing a “stand-alone” result of the CL but contributing to another one). On the basis of these interrelations, the key outputs are identified for each CL: process evaluation is applied to the CL key outputs. This preparatory work setting the ground for the process evaluation is reflected in the Individual Evaluation Plans annexed to this Deliverable.

2 Introduction

The section sets the framework for the development of WP5 “City Labs validation” providing:

- An overview of the SUMP-PLUS project, the CL role within the project and the SUMP-PLUS cities
- An insight to WP5 role and this Deliverable in the SUMP-PLUS project
- A description of the objectives and the contents of this document

2.1 SUMP-PLUS project

The project *Sustainable Urban Mobility Planning: Pathways and Links to Urban Systems* (SUMP-PLUS) is a Horizon 2020 three-year project, designed to address urban mobility related challenges and to exploit new opportunities, by developing a strong, rigorous evidence base through a co-created City Laboratories approach building on the strengths of the existing SUMPs and SULPs. Through this general approach, all the SUMP-PLUS objectives are finalized to speed up the evolution of cities along the simplified urban transport development stages already depicted by CREATE project (<http://www.create-mobility.eu/>).

SUMP-PLUS has four primary policy objectives:



Implementation Strategy / Transition Pathways | To develop a set of context-specific mobility transformation pathways, and supporting methodologies and analytical tools, for different typology of cities, including support for smaller cities with limited resources that develops a mobility vision and simplified Implementation Strategy/Transition Pathway (the definition of these concepts is provided in section 3.2)



Links | To demonstrate how cities can develop stronger links with other urban system components that generate the demands for mobility (education, health, retail, land use planning, tourism, etc.) identifying a wide range of potential governance-related barriers and developing new incentive for cross-sector co-operation



Solutions | To identify new solutions that will increase efficiency and sustainability, in both the freight and passenger sectors. In SUMP-PLUS the term “solutions” is not dealing with demonstration of mobility service and/or supporting system as usually referred in R&D projects.



Partnerships | To identify and demonstrate new forms of appropriate public/private collaboration responsive to different mobility objectives and supporting business models

Table 1: SUMP-PLUS primary policy objectives

In order to achieve these primary policy objectives, SUMP-PLUS defines a set of operational objectives:

- To develop enhanced governance arrangements, along with advanced analytics and data capture systems
- To support capacity-building for innovation, taking into account also the use of smart data, analytics and data capture systems
- To engage with citizens, policy makers, business, and civil society to agree on city visions, tailored solutions and delivery pathways.

2.2 Co-created city Laboratories in SUMP-PLUS project

SUMP-PLUS demonstrates its approach in six European cities (co-created City Laboratories, CLs), well differentiated in terms of size or capacity, geography, governance and approach to decision making, or mobility policies implemented, namely Klaipėda (LT), Greater Manchester (UK), Alba Iulia (RO), Plataniias (GR), Antwerp (BE), Lucca (IT).

The City Laboratories represent the core contribution of SUMP-PLUS to advancing the development and implementation of the SUMP concept, taking into account new planning/implementation strategies, enhanced coordination/engagement of internal/external city stakeholders with formal/unformal roles in mobility to achieve alignment of policies and improved citizens' consultation, partnerships and business models, and future urban mobility challenges and opportunities. CLs will deliver co-created actions/interventions (measures), to demonstrate and test delivery models to meet the project policy and operational objectives. The actions (measures) taking place in CLs have been classified on the basis of the project objectives.

The role of CLs in the SUMP-PLUS project is to give “practical ground” for the development of innovative concepts, tools and methodologies proposed in WP1 “Conceptual Framework and Analytical tools”, WP3 “Governance and Capacity Building” and WP4 “Engaging of citizens and businesses”. In more detail, CLs aim:

- To contribute to the development of these concepts, tools and methodologies providing data-evidence, real cases of applications, supporting information on city mobility history, on-going processes and future perspective
- To contribute to the adaptation of these concepts, tools and methodologies taking into account the different context and needs of SUMP-PLUS cities
- To allow the demonstration of these concepts, tools and methodologies through real-life applications and testing
- To provide feedback for the consolidation of SUMP-PLUS findings and the validation of the defined concepts, tools and methodologies

Table 2 identifies the six SUMP-PLUS CLs and, for each of them, it details the CL measures, according to the draft available version of the CLPs released by WP2 at the date of the completion of this deliverable.

CL	Structured overview of the CL measures
<p>CL1 – Klaipeda</p> <p>Creating a SUMP implementation strategy towards a liveable city</p>	<ul style="list-style-type: none"> • Develop a SUMP Implementation Strategy focusing on specific packages of measures (centred on strengthening public transport along the main urban axis), their temporal sequencing and spatial clustering • To strengthen cooperation between Klaipeda municipality and surrounding municipalities, particularly in relation to public transport services, active modes and suburban car use • Plan and commence a citizen and stakeholder engagement programme and a linked participatory exercise on commuting to school behaviour, particularly from the peri-urban area. • To exploit the potential for cross-sector planning between mobility and educational sector in supporting the participatory exercise on commuting to school behaviour • To support the identification of funding/financing sources for the core measures and the development of additional instruments or partnerships for financial contributions from the private sector
<p>CL2 – Greater Manchester</p> <p>Delivering an Integrated Health and Transport Decarbonisation Plan</p>	<ul style="list-style-type: none"> • Understanding of the current degree of transport and health sector integration for Greater Manchester • Integration of Cross-Sector Links into Greater Manchester's Transition Pathway and alignment of decarbonisation strategies across health and transport sectors • Ensuring coordination amongst health and transport departments in the Greater Manchester Combined Authority (GMCA) • Delivery of task group meetings and workshops creating the formal framework for joint health and transport planning processes (City Integrator) and supporting the alignment of strategies and the development of the short-term Action Plan through the engagement of stakeholder (Mobility Forum) and citizens (Citizens Engagement Platform) • Development of short-term Action Plan for Health and Transport decarbonisation and harmonisation of decision-making processes
<p>CL3 – Alba Iulia</p> <p>Using SUMP to enhance smart city impact and implementation</p>	<ul style="list-style-type: none"> • Implementation Strategy including Smart City Solutions validation Creating links / partnerships to the education and the tourism sector • Enhance in-house capabilities to analyse GIS-based data sets • Engagement activities for stakeholders supporting the Implementation Strategy, cross-sectorial planning and partnerships • Supporting activities to the Implementation Strategy in terms of both governance processes and partnerships development. This will include the delivery of a local SUMP Management Group, • Supporting activities to enhance coordinated planning between the mobility and the education / the tourism sectors

CL	Structured overview of the CL measures
<p>CL4 – Platanias</p> <p>Co-creating a SUMP for a small island city with seasonal tourism</p>	<ul style="list-style-type: none"> • Formulation of a mobility and tourism baseline • To co-create the SUMP vision/objectives testing the SUMP-UP methodology for small cities • Developing cross-sectoral links with the tourism industry • Improving coordination and understanding amongst different governance structures • To undertake a programme for stakeholder and citizen engagement supporting SUMP co-creation activities • Undertaking a traffic and tourism on-filed measurements to support measures design and future SUMP adaptation • To initiate behaviour change activities to try-out new forms of mobility • Undertaking mobility solutions selection during the SUMP development • To investigate an Implementation Plan for SUMP implementation over 10-15 years
<p>CL5 – Antwerp</p> <p>Providing seamless intermodality and non-transport solutions for the functional city</p> <p>CL6b – Antwerp</p> <p>Piloting of advanced logistics system, to increase efficiency among business sectors and reduce congestion</p>	<ul style="list-style-type: none"> • Facilitate the cooperation among neighbouring administrative areas without official competence on mobility • Co-creation activities involving stakeholders and citizens in order to understand the issues, target groups and potential mobility solutions • Development of future scenarios, plans and regulations for the central district and functional logistics area • Explore potential of non-transport solutions in the context of new working practices • Co-participative design of solutions, cross-sector planning and implementation of pedestrian streets (Living Streets) • Undertake a dedicated call within the Antwerp ‘Marketplace for Mobility’, challenging the private and community sectors to devise new mobility solutions in partnership with the city authority and public transport operators • Carry out design appraisals and enhancement of multi-modal nodes and associated public open space to inform priority lists of interventions to provide more efficient interchange options • Evaluate the effects of imposing agreed policy KPIs for service providers to improve social inclusiveness • Demonstrating of e-trucks and e-cargo bikes services including consolidation and optimisation activities

CL	Structured overview of the CL measures
CL6a – Lucca Strengthening sustainable logistics' role in SUMP in and beyond city centres	<ul style="list-style-type: none"> • Revision of governance structure as framework conditions to integrate SUMP-SULP at city level and city SUMP-SULP with the SUMP at Shire level • Enhanced coordination with strategic business sector (retail) and partners (logistics) to expand sustainable solutions to the Plain of Lucca • Improve process management at planning and implementation stages to enhance innovative forms of partnerships for sustainable city centre logistics • Undertake citizen and stakeholder engagement to involve citizens in planning integration activities and innovative solutions for the city centre • Planning and definition of datasets and ITS support services that can be shared among mobility and logistics processes • Management of an “innovation call” as dialogue between the Municipality and the logistics operators for further sustainability additions • Study for the upscaling of logistics services to new geographical areas outside the city centre

Table 2: Mapping CL measures into SUMP-PLUS project objectives

Looking at the CL measures planned/under definition in SUMP-PLUS CLs, it is useful to clarify that we are talking about two kinds of different measures typology:

- Measures demonstrating services and mobility solutions in the cities (OB.9, only in Antwerp)
- Measures dealing with the introduction of conceptual approaches/tools/methods developed in WP1-4 (for SUMP Implementation Strategy, Cross-sectorial Links, Development of Business Models, Governance, Cross-sectoral Cooperation, Capacity Building and Stakeholder Engagement) in the real city environment (co-created City Laboratories, CLs) through their adaptation/tuning to city context and objectives. The adaptation and introduction of the approaches/tools/methods in the CLs involve a co-creation process, being cross-related with the improvement of current planning policies/processes for mobility and mobility generating city sectors (i.e. education, tourism, health, etc.), the improved coordination of responsibilities and cooperation/working procedures of various city department/stakeholders (internal/external to mobility sector). Most of the measures included in the CLs belong to the second type of measures and they consist of an on-going process of co-design, introduction, evaluation, adjustment and future extension which run along with SUMP-PLUS project and beyond.

2.3 Outlook to SUMP-PLUS city context

The key features outlining the SUMP-PLUS cities context are detailed in Table 3.

	Alba Iulia	Antwerp	Klaipeda	Lucca	Greater Manchester	Platanias
Population	75.000	525.000 (1,2 Million in the wider area). Plus 40.000 students and 1 Million tourists/year	150.000. Plus 120.000 tourists (+73% since 2008)	90.000 + 8000 in the historic centre. High tourist flow	2.8 Million. Plus 1,1 Million visitors overseas (3 rd in UK)	21.000, accommodates plus 270.000 tourists yearly, (more than 500.000 visitors or passing by), use the mobility infrastructures on a seasonal base
Size	104 km ²	204 km ²	100 km ²	185 km ²	1.280 km ²	495 km ²
City scale	Small urban area	Large urban area	Medium urban area	Small urban area	City-region area	Very small sized island urban area, high visited tourism destination
Relevant city features and structure	Historical centre surrounded by walls. Train station, connections with highways (situated on A10, which is a connection between A1 and A3)	Part of T-NET network. Second largest port. Major train station. Dense tram network. Vast cycling network	Port. North-South local connections, West/East to outside	Historical centre surrounded by walls and ring avenues. Centre of a well-known paper district in EU.	Hub of UK northern transport connections. Transit corridors including heavy/light rail and BHLS.	The city network consists of a section of the Northern Crete Motorway Axis, national roads and municipal ones and it involves different governance levels. Private owned PT operation.
Car ownership	350 cars/1000 inhab.	558/1000 inhab.	560/1000 inhab.	657/1000 inhab.	519/1000 inhab	586/1000 inhab
Car trip share	55%	40%	35%	40%	60%	Estimated 80%.
Policy impacting on mobility	Sustainable Integrated Development Strategy (for 2014-2023) approved in 2017 "Alba Iulia towards a city for people" developed in 2016	2020 Masterplan aims at shifting 50% movements towards more sustainable modes of transport	Economical City Strategy Plan, Port Masterplan and City Masterplan under development	PAES – Sustainable Energy Action Plan (2013) and PAC – Municipal Environment Plan (2015) to decrease the levels of pollution, noise emissions and energy consumptions	Links between SUMP and Greater Manchester Spatial Framework. Growth concentrated close to the polycentric key town centres, regional centre and international Airport.	Strategic Operational Plan (2015-2019), Sustainable Energy Action Plan (2014), Cultural and Sustainable Development Master Plan (2016) and Tourism Development Plan (2018). Platanias is member of the Covenant of Mayors (2013)
Status of SUMP/SULP	SUMP approved in 2017 SULP approved in 2014	Available at city level. Integrated regional SUMP/SULP being drafted by 2019/2020	SUMP adopted	City level: SUMP adopted in 2018. SULP in 2016. Province level: SUMP (uncoordinated) under development	Metropolitan SUMP updated: 2017, to 2040. Regional SULP recently adopted.	NO SUMP/SULP

Table 3: Key features of SUMP-PLUS cities

2.4 WP5 role in SUMP-PLUS

The focus of WP5 “Living Labs validation” is the evaluation of the measures implemented in the SUMP-PLUS CLs. WP5 aims:

- To define a consistent Evaluation Framework for the development of evaluation activities, ensuring consistency of evaluation approaches across the SUMP PLUS CLPs
- To provide methodological and operational guidelines and assistance to the SUMP-PLUS cities to carry out the evaluation process
- To verify the level of achievement of objectives for each measure of the CL
- To generate the evaluation findings:
 - Assessing the role and the impact provided by CL measures for the development/enhancement of urban mobility policies:
 - implementation of SUMP where existing (Klaipeda, Manchester, Alba Iulia, Antwerp, Lucca) in terms of supporting “facilitating/accelerating” actions
 - development of the SUMP (Platanias)
 - Generating feedback and evidence-based results for the validation of the conceptual frameworks, developed in WP1, and the governance and engagement processes, developed in WP3 and WP4, respectively
 - Generating lessons learnt and evidence-based knowledge for the guidance and transferability of activities of the project and, more widely, for the CIVITAS network and research community.

Since SUMP-PLUS implements measures in a real, complex, functioning environment, the evaluation needs a qualitative interpretation of the impact of SUMP-PLUS CL activities on the evolution of urban mobility policies in the site context. This approach is required in order to make the evaluation work feasible, tangible, efficient, and useful for recommendations and informed decision making.

2.5 WP5 activities

WP5 “Living Labs validation” consists of the following tasks:

- Definition of the **Evaluation Plan** in terms of methodology, activity approach (data collection, monitoring, etc.), responsibilities and timeplan. The Plan sets the overall framework for evaluation specifying the methods used and the requirements
- **Process Evaluation**: The process evaluation methodology will achieve an in-depth understanding of the entire city laboratory process (from planning to demonstration/operation). The purpose is to capture and analyse the whole story about the co-creation development process of CL measures in order to understand the motivations, potential barriers and drivers, key actors and context conditions that explain the factual results, the mutual relationship between the CL measures and how they contribute to facilitate the SUMP implementation/development
- Provision of **appropriate guidance** and **expert support** to the LEMs
- **Data collection** by the cities, on-going reporting from LEMs to WP5 Leader, exchange and feedbacks
- Consolidation of **Evaluation Findings**: Results and achievements from the evaluation of city laboratories will be critically reviewed, synthesized in the form of key findings and reported in D5.3 – Results of the city laboratories evaluation

In order to develop the Evaluation Plan, the following activities have been carried out:

- Clustering of the CL measures on the basis of project objectives and identification of the primary and secondary ones (roughly corresponding to the policy and operational objectives of the project)
- Clear understanding of the measures (objectives, outputs/outcomes, timing) by monitoring the CLP development in Task 2.1.3 and collecting the key results of this activity
- Identification of the interrelations among the measures in each CL, in particular which outputs are the key ones in each CL and which activities/outputs play a supporting/contributor role
- Identification of the CL key outputs to be evaluated through process evaluation
- Definition of the timing of evaluation activities according to the timeplan of the measures in the CLs
- Specification of the process evaluation approach.

The activities flow is shown in Figure 1 and summarized in [Table 4](#).

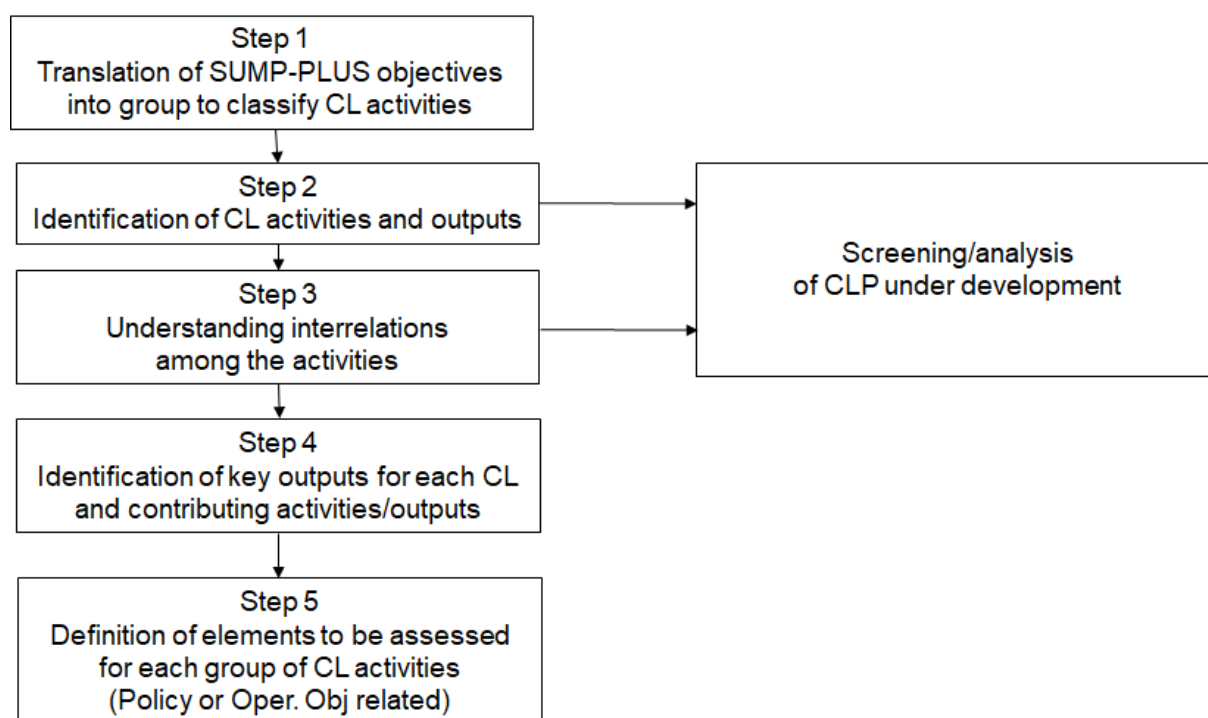


Figure 1: Working steps for setting the SUMP-PLUS Evaluation Plan

Activities	Responsibilities	Timing
Definition of basic principles of Evaluation Methodologies	Project Evaluation Leader	September 2019 SUMP-PLUS kick-off meeting
Draft of first version of Evaluation Methodology	Project Evaluation Leader	March 2020

Activities	Responsibilities	Timing
Developing structure of D5.1 and first exchange with SUMP-PLUS cities for presenting methodology approaches and receiving feedbacks on CL outputs	Project Evaluation Leader SUMP-PLUS cities	April – June 2020
Screening/analysis of CLP under development in order to identify CL activities and outputs	Project Evaluation Leader CLP produced by WP2 Leader Input to CLP provided by WP3 and WP4 Leaders	February 2020 - February 2021
Refinement of Evaluation Methodologies, details of evaluation specifications and elaboration of draft for Individual Evaluation Plan	Project Evaluation Leader	April-September 2020
Presentation of enhanced Evaluation Plan	Project Evaluation Leader	September 2020 3 rd Project Meeting
Elaboration of D5.1 and circulation with cities and WP Leaders	Project Evaluation Leader	October 2020
Comments on D5.1 received	WP1,2,3,4 Leaders SUMP-PLUS cities	October – November 2020
D5.1 submitted	Project Evaluation Leader	November 2020
Presentation of procedure for data collection and reporting and responsibilities	Project Evaluation Leader	On-line meeting 26 November 2020
New round of discussion on D5.1 and evaluation specifications	WP1,2,3,4 Leaders	
Second round of comments provided	WP1,3,4	December 2020

Activities	Responsibilities	Timing
Refinement of evaluation specification Elaboration of D5.2 based on D5.1 Updating of Individual Evaluation Plan according to modifications/updates on CLP	Project Evaluation Leader	December 2020 February 2021

Table 4: Summary of activities done the definition of Evaluation Plan

2.6 Objectives and contents of the document

The SUMP-PLUS Evaluation Plan (EP) sets the framework for the development of WP5 activities including the data collection methods, the guidance/assistance provided by MemEx to the SUMP-PLUS cities, the elaboration of the evaluation findings and their final reporting. In order to define the evaluation framework, WP5 has continuously monitored the progress status of CLP development, capturing the basic information needed for the evaluation (i.e. measures' objectives and description, interrelations among the different measures and outputs, CL timeplan) and collecting the other required information (i.e. supporting information, which was not included in the CLP), separately through bilateral contacts and close cooperation with the cities. The key elements of the EP are specified in sections 3 and 4. The Evaluation Framework has been then instantiated to SUMP-PLUS CL producing the Individual Evaluation Plan (Annex 1-6).

The SUMP-PLUS objectives and the type of measures taking place at CL level (as demonstration of the conceptual innovative approaches, methodologies and tools which are developed in WP1, WP3 and in WP4 and introduced in the CL) require, in any case, an adaptation of the CIVITAS SATELLITE Framework in terms of goals and the main foci and, in particular, the enhancement of process evaluation method: this perspective is detailed in the following section 3 and the results provided in section 4.

3 Approach to evaluation

This section specifies the “customized” perspective and goals of the SUMP-PLUS project as it approached the evaluation task, how this can relate with the CIVITAS SATELLITE Framework, which are the main challenges identified in the design of the SUMP-PLUS Evaluation and how the EP has been defined to tackle them and the overall structure of SUMP-PLUS Evaluation Framework.

3.1 Goals of the SUMP-PLUS Evaluation

The goals of the SUMP-PLUS Evaluation are:

- To assess the co-creation development process of the CL measures²
- To measure the impacts produced by CL measures in relation to qualitative observations
- To assess the impacts provided by CL measures for:
 - the implementation of SUMP, if already defined (Klaipeda, Manchester, Alba Iulia, Antwerp, Lucca) and supporting “facilitating/accelerating” actions
 - the development of the SUMP (Platanias), if not already defined
 - the future development/enhancement of urban mobility policies (also beyond the project itself)
- To generate feedback and evidence-based results for the validation of conceptual frameworks developed in WP1
- To generate lessons learnt and evidence-based knowledge for the guidance and transferability of activities of the project and, more widely, for the CIVITAS network and research community.

Table 5 maps the abovementioned goals in relation to the target audience.

EVALUATION GOALS	TARGET AUDIENCE
To assess the impacts provided by CL measures for the development/enhancement of urban mobility policies and SUMP implementation/development and for the definition/facilitation of the next actions to be done (beyond the project itself)	SUMP-PLUS cities SUMP-PLUS project partners
To generate feedbacks and evidence-based results for the validation of conceptual framework developed in WP1 To generate lessons learnt and evidence-based knowledge for the guidance and transferability activities of the project	SUMP-PLUS project partners
To generate lessons learnt and evidence-based knowledge for other cities and initiatives	CIVITAS Community Follower Cities

Table 5: Target audience for SUMP-PLUS Evaluation

3.2 Setting the focus for SUMP-PLUS Evaluation

As anticipated in section 2.4, SUMP-PLUS objectives focus on accelerating the cities’ evolution along the urban transport development process, in particular facilitating the definition or implementation of the SUMP (and mobility policies, in more general).

The project objectives are reflected in the CL measures where the SUMP-PLUS conceptual innovative approaches, methodologies and tools will be introduced and demonstrated. These innovative methodologies and tools are designed and developed in:

- WP1 for supporting SUMP implementation strategy, cross-sectorial links between mobility and other urban components generating mobility demand, development of innovative business models and testing innovative tools for smart data analytics
- WP3 supporting policy development and capacity building activity
- WP4 supporting stakeholder, citizens and businesses engagement

SUMP-PLUS CL measures can relate to the following areas:

² For the specification of the features of CL measures, please see section 2.2

- Review of governance arrangements
- Engagement activities
- Co-creation events/meetings
- Development of action plans/roadmaps/studies
- Definition of cooperation schemes/approaches within the mobility sector and beyond
- Definition of business models and external funding for mobility initiatives
- Identification of new solutions

At CL level, the following classification of activities can be identified, based on the project objectives and general concepts:

- **OB1. Implementation Strategy:** developing a set of context-specific mobility transformation pathway, and supporting methodologies and analytical tools for different typologies of cities. The pathways are usually differentiated based on the time perspective:
 - Transition pathway focusing on long-term vision - 20-30 years (no cities in SUMP-PLUS will address transition pathway, see Deliverable D2.1 – City Laboratories Plan)
 - Implementation strategies covering medium-term planning (next -10 years period) and specifically defined in accordance with SUMP (this is the focus of all the CLs)
- **OB2. SUMP development:** testing in Platania the applicability of the SUMP2.0 guidelines to a small city with limited resources (data availability, expertise, etc.)
- **OB3. Cross-sectorial Links:** developing stronger links with other urban system components that generate the demands for mobility (education, health, retail, tourism, land use planning, etc.) identifying a wide range of potential governance-related barriers and developing new incentives for cross-sector co-operation
- **OB4. Governance:** analysing governance arrangements and reforming processes aiming to identify gaps at governance level to overcome them, working across levels of government and across transport organizations
- **OB5. Capacity-building:** improving city capacity for the policy development, for the management of innovation in the mobility sector (systems, services and schemes), for scaling up pilots and experience building on previous demonstration results, for using smart tools for data analytics to support the definition of the city baseline scenario
- **OB6. Engagement:** initiatives for the engagement of stakeholders, citizens and businesses, management of co-creation events for the design of new mobility, new cooperation schemes and new business models
- **OB7. Partnerships&Business Models:** strengthening cooperation between mobility and external stakeholders and defining innovative mobility business model engaging also external actors
- **OB8. Analytical Tools:** adoption of simplified analytical tools to support the demand analysis, and the identification and testing of spatial policies
- **OB9. Solutions:** it must not be seen from the perspective of piloted service/system. In SUMP-PLUS the concept of “solutions” is wider and more closely linked to the implementation of co-creation processes and their results (new cooperation

approaches, new working procedures, results of feasibility study, etc.). For example, in Lucca the study for the upscaling of innovative logistics services to city surroundings and small cities is a solution. Demonstrated solutions are operated only in Antwerp.

Taking into account the key objectives of SUMP-PLUS project and the differentiation between policy and operational ones (section 2.1), not all the previously identified OBs are equally relevant. Indeed, the key objective of SUMP-PLUS is to facilitate and speed up the implementation (or development) of SUMP (overcoming the “implementation-gap”) and the overall evolution of supporting mobility policies: under this perspective, OB1 (Implementation Strategy / Transition Pathway) and OB3 (Cross-sectorial Links) are the most relevant activities, being directly linked to this primary project objective.

All the other OBs play a supporting role in the development of OB1-3, each of them focusing on a specific aspect: OB4 (Governance, which is the most relevant one in this second level), OB5 (Capacity Building), OB6 (Engagement), OB7 (Partnership&Business Models) and OB8 (Analytical Tools).

OB1-3 and OB9 implement the SUMP-PLUS policy objectives, OB4-7 the operational ones while OB8 supports OB1 and OB2 from the operational side.

The relationship between policy and operational OBs is shown in Figure 2.

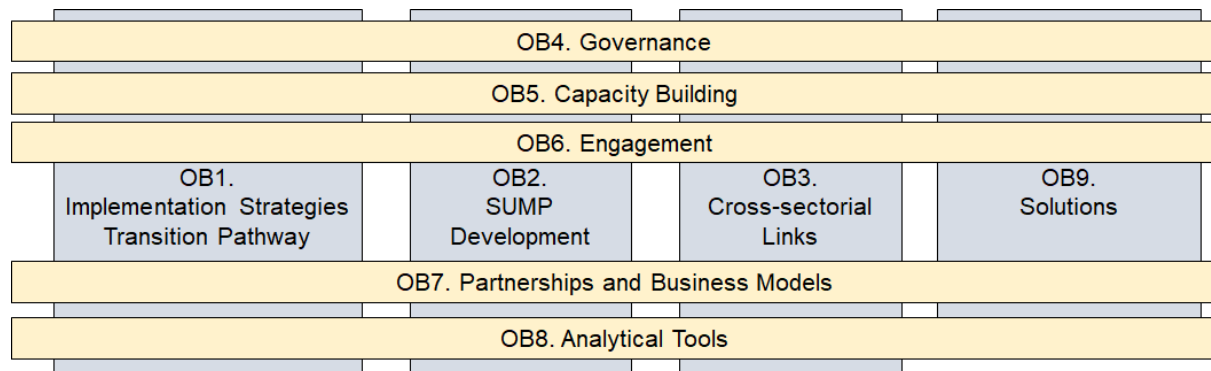


Figure 2: Relation between policy and operational OBs in SUMP-PLUS

This classification of the CL activities must not be considered as “silos”. CL activities are more intertwined and, for example, OB6 (Engagement) is not limited to support the Implementation Strategy or Cross-sectorial Links. OB6 has an important component of capacity building and support for partnerships (engaging businesses); some solutions developed in Antwerp CL (Living Streets) are directly supported by engagement instruments (OB6 co-created the solution to be demonstrated).

All these categories do not deal with the implementation of mobility measures in terms of services, infrastructure, etc. but with the management of a process whose ambitions are defined largely at qualitative level (i.e. removing barriers for stakeholders’ cooperation, identifying gaps in governance and policy approaches, enabling the faster implementation of SUMP measure, etc.). For this reason, the SUMP-PLUS evaluation approach is based on the qualitative assessment of the “intangible impacts” produced by CL activities on mobility policies improvement and adopted approaches at strategy and implementation level. The current stage of the city development in mobility must be positioned setting the baseline in order to set the future ambitions. Key elements to be considered in the city evolution process are:

- the city environment not only restricted to mobility but extended to cross-related sectors (actors and the cooperation among them, responsibilities, conflicts, overlapping, gaps, etc.)

-
- how the mobility ecosystem's links with other ongoing urban processes (i.e. health, education, retail, tourism, etc.)
 - the drivers and facilitating elements in the development and implementation of mobility policies
 - the barriers to be tackled and how they can be overcome from the different aspects
 - lesson learnt, good practices, failures.

Table 6 maps the CL measures into the project objectives in order to group them into clusters.

Cluster analysis will support:

- the cross-evaluation of CL measures among those belonging to the same cluster (linked to the same project objectives OB1-8)
- the customization of process evaluation methods (see section 4.1) in order to make it more responsive to the assessment of the co-creation processes linked to OB1-8 respectively.

City Laboratories	SUMP-PLUS OBJECTIVES								
	OB1 SUMP Implementation Strategy	OB2 SUMP development	OB3 Cross- sectorial Links	OB4 Governance	OB5 Capacity Building	OB6 Engagement	OB7 Partnerships& Business Models	OB8 Analytical Tools	OB9 Demonstrated solutions
Klaipeda – CL1	To develop a SUMP Implementation Strategy focusing on specific packages of measures (centred on strengthening public transport along the main urban axis), their temporal sequencing and spatial clustering			To strengthen cooperation between Klaipeda municipality and surrounding municipalities, particularly in relation to public transport services, active modes and car use in suburban areas		To plan and commence a citizen and stakeholder engagement programme supporting Implementation Strategy, cross-sectorial partnerships and participatory exercise Participatory exercise on commuting to school behaviour, particularly from the peri-urban area	To support the identification of funding/financing sources and the development of additional instruments or partnerships for financial contributions from the private sector To exploit the potential for cross-sector planning between mobility and educational sector in supporting the participatory exercise on commuting to school behaviour		
Manchester- CL2	Developing a Transition Pathway and Short-term Action Plan for Health and Transport decarbonisation		Health/Transport cross-links evidence Goal alignment and integration of new policies Health/Transport into the Transition Pathway	Improve cross-sectoral working arrangements with the purpose of facilitating preparation of the Health and Transport Decarbonisation Action Plan	Identification of institutional capacity-building needed to implement Links policies	To involve stakeholders with decision-making power from both sectors, being instrumental in defining the Health and Transport Decarbonisation Action Plan and duly informing the citizens	Identification of financial resources to implement Links policies		
Alba Iulia – CL3	Definition of an Implementation Strategy including Smart City Solutions validation				Capacity Building for Sustainable Urban Mobility Planning	Engagement activities for stakeholders supporting the Cross-Sectorial Links and citizens supporting the city vision building and the Implementation Strategy	Enhancing cross-sectorial planning with the tourism and education sector	Enhance in-house capabilities to analyse GIS-based data sets	
Platanias – CL4	To investigate an Implementation Plan for SUMP implementation over 10-15 years	To co-create the SUMP vision/objectives testing the SUMP-UP methodology for small cities Undertaking traffic and tourism on-field measurements to support measures design and future SUMP adaptation	Developing cross-sectoral links with the tourism industry	Better coordination and understanding amongst different governance structures		To undertake a programme for stakeholder and citizen engagement supporting SUMP co-creation activities To initiate behaviour change activities to try-out new forms of mobility	Undertaking mobility solutions selection during the SUMP development	Formulation of a mobility and tourism baseline	

City Laboratories	SUMP-PLUS OBJECTIVES								
	OB1 SUMP Implementation Strategy	OB2 SUMP development	OB3 Cross- sectorial Links	OB4 Governance	OB5 Capacity Building	OB6 Engagement	OB7 Partnerships & Business Models	OB8 Analytical Tools	OB9 Demonstrated solutions
Antwerp – CL5 and CL6b				To facilitate the cooperation among neighbouring administrative areas without official competence on mobility		<p>Co-creation activities involving stakeholders and citizens in order to understand the issues, target groups and potential mobility solutions</p> <p>Engagement of travel planning for employers to explore potential of non-transport solutions in the context of new working practices</p> <p>Co-participative design of pedestrian streets (Living Streets)</p> <p>Co-creation of new ideas and future scenarios with logistics stakeholders in order to rationalise logistics flows in the city centre</p>	<p>Enhanced coordination with strategic business sector (retail) and partners (logistics)</p> <p>Identification of innovative business models involving public, private sector and community to devise new mobility solutions</p>		<p>Development of future scenarios, plans and regulations for the central district and functional logistics area</p> <p>To undertake a dedicated call within the Antwerp 'Marketplace for Mobility', challenging the private and community sectors to devise new mobility solutions in partnership with the city authority and public transport operators</p> <p>To test the effects of imposing agreed policy KPIs for service providers to improve social inclusiveness</p> <p>Piloting of e-trucks and e-cargo bikes services including consolidation and optimisation activities</p>

City Laboratories	SUMP-PLUS OBJECTIVES								
	OB1 SUMP Implementation Strategy	OB2 SUMP development	OB3 Cross- sectorial Links	OB4 Governance	OB5 Capacity Building	OB6 Engagement	OB7 Partnerships& Business Models	OB8 Analytical Tools	OB9 Demonstrated solutions
Lucca – CL6a				Revision of governance structure as framework conditions to integrate SUMP and SULP at city level and city SUMP-SULP with the SUMP at Shire level		Undertake citizen and stakeholder engagement about planning integration activities and innovative solutions for the city centre	<p>Enhanced coordination with strategic business sector (retail) and partners (logistics) to expand sustainable solutions to the Plain of Lucca</p> <p>Improve process management at planning and implementation stages to enhance innovative forms of partnerships for sustainable city centre logistics</p> <p>Management of an “innovation call” as dialogue between the Municipality and the logistics operators for further sustainability additions</p> <p>Study for the upscaling of logistics services to new geographical areas outside the city centre</p>		

Table 6: Clustering of CLs measures based on SUMP-PLUs objectives

3.3 Levels of SUMP-PLUS Evaluation

The SUMP-PLUS Evaluation is structured at three different levels:

- CL key output level. This approach takes into consideration the CL measures that have clear outputs or are self-sustained (not contributing to other measures). In the same way, this approach allows the selection of specific CL measures, for which the individual impact assessment could be feasible and exclude those having cross-relation impacts with other measures. This approach is achieved by identifying the interrelations between the CL measures/outputs and, based on this, which are the key output for each CL
- CL level. This level of the Evaluation focuses on the CL level trying to look at the whole picture and assess how/to what extent the measures in a city were able to enforce each other, contributing to the improved planning and operational capability to implement the SUMP and to evolve the policies towards a more sustainable mobility and liveable city environment
- Cross-CLs cluster level: clusters will be formed according to project objectives OB1-9 as detailed in Table 6. This level of the Evaluation will aim to compare similar measures across the CLs grouped in the same cluster. Despite the measures included in the same cluster could be quite different (i.e. objectives of the Implementation Strategy in Klaipeda and Alba Iulia), a comparison among them could be done looking at the “co-participative” process and how it is managed/applied rather on comparing the actual results.

Figure 3 provides a graphical representation of the three levels of evaluation described above:

- Boxes with the same colour are related to measures included in the same CL
- Evaluation at key output level is applied to boxes surrounded by grey dotted line
- Evaluation at CL level is applied to boxes surrounded by black dotted line
- Evaluation at cluster level is applied to boxes surrounded by blue dotted line

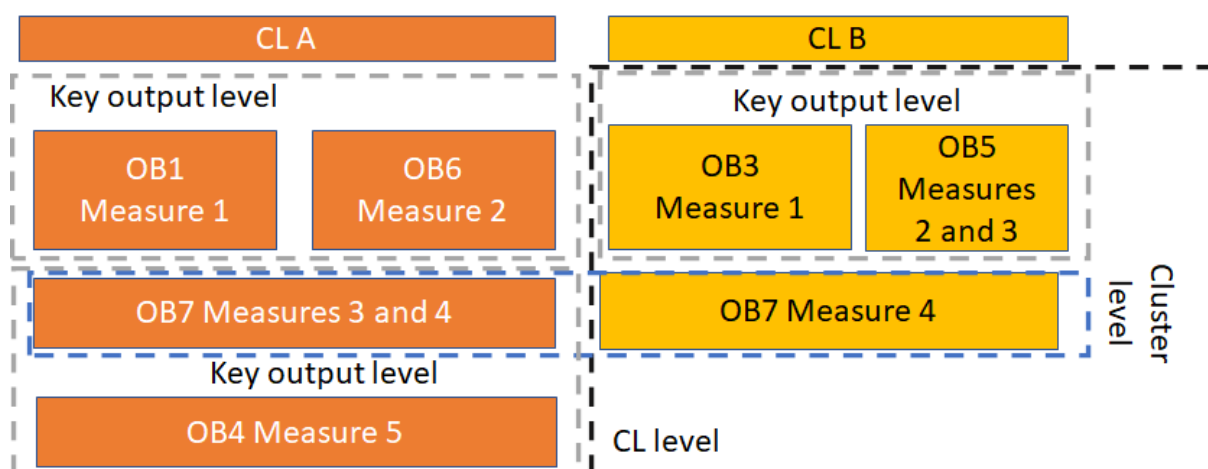


Figure 3: Example of the different evaluation levels

3.4 Role and responsibilities for the CL validation

The role and responsibilities of the SUMP-PLUS partners involved in WP5 is specified in Table 7.

Partner	Role
MemEx	The <i>SUMP-PLUS Evaluation Coordinator (EC)</i> defines the Evaluation Methodology, coordinates and supports the SUMP-PLUS cities in performing the evaluation. He is the coordinator and the supervisor of the end result of all the evaluations at CL and project level. The EC will also draw conclusions specifically related to the focus of the project.
VECTOS	As WP2 Leader, it will provide inputs for the Evaluation Plan and will also accompany CL implementation in all cities. As Task 1.4 Leader, Vectos is supporting specifically the SUMP-PLUS cities in developing new business models and financial cooperation activities which are linked to OB5
UCL	As WP1 Leader, UCL is supporting the SUMP-PLUS cities in developing cross-sectorial links (linked with OB2, Manchester), transition pathways and implementation strategies (linked with OB6, Alba Iulia, Klaipeda and Platánias)
SCPO	As WP3 Leader, Sciences Po is supporting the SUMP-PLUS cities in developing cross-sector governance enhancement (linked with OB1) and capacity building (linked with OB3)
EIP	As WP4 Leader, it was not included as participant in WP5 due to unintentional error done in the proposal. This inconsistency will be solved as project deviation to be declared in the first periodic report
TUC	TUC assists the EC in developing the methodology and monitoring its implementation. It will also coordinate the local evaluation activities and assist the Municipality of Platánias in the development and monitoring of the local evaluation plan
SPACE	It assists the EC with feedback for evaluation from introducing analytical tools supporting a simplified SUMP (implementation) approach in Platánias and a spatial planning in Alba Iulia

Partner	Role
SUMP-PLUS Cities	<ul style="list-style-type: none"> • Appointment of a Local Evaluation Manager • Adaptation of check-list to their needs • Data collection and survey • Contribution to findings • Feedback/comments

Table 7: Role and responsibilities of SUMP-PLUS partners in WP5

4 Evaluation methodology

4.1 Process evaluation (Qualitative)

During the CL development, it is essential to understand:

- how the process operates compared to the planning (CLP)
- if some problem is identified and any modification is required, which enabling/facilitating factors have been identified (in particular this could come from the development of CL activities themselves or could be external)
- to what extent the objectives have been achieved (totally or partially)
- which will be the “intangible” impacts produced (not only at the end of the project but, in particular, beyond the end of the project as the CL activities have ambitions positioned in a time horizon from 5 to 10 years or more for the Transition Pathways).

In order to assess such an on-going process, it is necessary to monitor its development along the time from the finalization of the design phase (CLP) to the actual running of CL measures.

In SUMP-PLUS the process evaluation is drawn up taking into account that in many cases the measures to be implemented are not services/systems or infrastructure directly realised “on the ground” but they mainly deal with co-creation activities (implementation strategy or transition pathway, stakeholders engagement, innovative business models and identification/maximization of external financial resources, etc.) and on-going processes at strategic and operational level (governance analysis, policy evolution and coordination across different city departments, capacity building, coordination of responsibilities and enhanced working procedures across city departments, etc.). They are continuous process during the project itself and beyond.

4.1.1 The stages of process evaluation

Process evaluation can be linked to the different stages of a measure from the design/planning and principles into the operational stage.

In the case of SUMP-PLUS project, taking into account the CL objectives and planned measures, the traditional differentiation between design, implementation and operation of the

measure itself is somehow blurring and it needs to be reformed (or merged) in most of the cases. For example, with regard to the OB6. Engagement measures, the following stages can be defined:

- the design stage: identifying the need for a campaign – what is the problem to be addressed? -, identifying the target groups, defining the actions, etc.
- the implementation stage: carrying out the behavioural change activities.

In other cases, such as the CL measures, which are more closely implemented as a co-creation on-going process (i.e. the ones related to OB1 Implementation strategies/Transition Pathway, OB3 Cross-sectorial Links, OB4 Governance), the design and implementation stages are even more strictly cross-related as they are embedded in the co-creation process itself. In any case, also for this typology of CL measures, we can identify a preliminary phase when the needs and the objectives defined during the proposal preparation (Description of Action annexed to the Grant Agreement) are consolidated/verified according to any modification occurred after the project approval and first stage (i.e. new city needs, impact of COVID-19 on the planning/operation of mobility services, the change of the politicians in Alba Iulia). This activity has taken place in the first year of the project in WP2, leading to the definition of the CLPs, where the planned CL activities (measures) are specified in terms of outcomes, actions and timing as the base for the development of co-creation activities themselves.

In general, the following stages can be identified:

- **The design stage**, including the identification of problems, requirements and desired outcomes, the formulation of different options, the selection of the one more responsive to city needs and its detailed design/planning in terms of activities (CL measure), actors involved, responsibilities and timing. The design of the measure allows its actual development (implementation and operation)
- **The implementation**, which can be differentiated into two different stages, depending on the typology of CL measure considered:
 - For CL measures dealing with the co-creation process: it refers to the actual development of the measure including iterations of the co-creation process itself
 - For CL measures dealing with the delivery of mobility solutions/services (mostly included in Antwerp CL): it refers to the phase of preparation (i.e. management of the open call on the marketplace), announcement, etc.
- **The operation stage**, which can be differentiated as follows:
 - For CL measures dealing with the co-creation process: it consists of the measure development (overlapping with implementation stage)
 - For CL measures dealing with the delivery of mobility solutions/services (mostly included in Antwerp CL): it refers to the proper running operation of the mobility solution/service at the end of the implementation phase (“public” launch of the measure).

4.1.2 Methodology

It is important to highlight that a process evaluation is not merely a monitoring activity, let alone a judgemental audit that mischievously “sniffs around”, eagerly searching for any evidence of

things gone wrong. It is a much more constructive activity with the “ultimate aim ... to get insight in the ‘stories’ and to learn from them”³ so that oneself can constructively reflect upon things that could be improved and, obviously, that other cities do not have to reinvent the wheel and can reduce the trial-and-error components in the development of similar measures.

This is important, because the nature of a co-creation process implies that not all the “conditions” are completely established when the process started and changes are likely to occur. Actually it is part of the process itself to re-adjust based on intermediate results and how it is going. There is a multitude of challenges/barriers that CL measures can experience: lack of political support, public opposition, not effective engagement of stakeholders (internal/external to mobility sector), barriers for the improvement of cross-sectorial/cross-departmental cooperation, gaps in the allocation of responsibilities among the involved stakeholders and so on. For any city trying to implement a similar process, it will be very interesting to know what has been done successfully, which risk can occur and how they have been mitigated, which benefits can be expected.

The Process Evaluation aims to open the black box of the measure to be assessed and look inside to understand the cogs, chains and gears that are at work.

Whereas the CIVITAS SATELLITE Framework focuses on identifying and understanding drivers and barriers behind the implementation of mainly tangible measures, this approach is not completely appropriate to be applied in the SUMP-PLUS project where the “intangible” impacts of the CL measures, as well as the assessment of their implementation process, is closely related to the former development of mobility policies, their evolution, the links with supporting actions (i.e. governance cooperation, stakeholder engagement) and with the SUMP implementation/development.

Based on these motivations, a revised methodology for process evaluation is considered in SUMP-PLUS where a differentiated set of elements (including drivers and barriers) is evaluated along with the implementation of the CL measures.

A checklist to support the LEM to carry out the process evaluation is provided in the following. The checklist has been defined to achieve two objectives:

- To track how the CL activities are going compared to CLP. This objective requires to collect information about with the CL development periodically. This objective is addressed by PART I - General Check-List, which can be generally applied to all the CL key outputs
- To understand which impacts the implementation of CL measures have/will have on SUMP implementation/development and the evolution of the mobility policies/strategies. The assessment of the impacts can be likely done when all the CL activities contributing to the key output are completed (or when the key output is almost finalized at earliest time). The timing is then defined by the CL activities timing (CLP). This objective is addressed by PART II - Measure-related Check-List) which is customized for each cluster.

The process evaluation is scheduled according to the milestones for data collection indicated in section 4.1.5.

³ Dziekan et al., 2013, 80

The SUMP-PLUS Evaluation Coordinator has produced:

- instructions on how to use the check list (provided in section 0)
- guidelines for the LEMs on how to collect the relevant information to do the assessment (provided in section 4.1.5)
- a structured tool (.xls template) to support the on-going reporting process from LEMs to the project Evaluation Coordinator, to be instantiated for each CL. At the submission date of this Deliverable, while the CLPs are under finalization, it has been agreed to instantiate the template for Manchester CL which is the most advanced one in terms of activities progress and test the usability of the tool. Once the project Evaluation Coordinator (EC) has received first comments and refined the tool, the reporting procedure will be extended to all the CLs.

PART I - General check-list for process evaluation

During the co-creation process or the implementation of CL activities, the elements which can be assessed for the process evaluation of the CL measures are the following ones:

Compliance with the planning

- Did any events affect the planned adoption of the co-creation process (or the implementation of the CL measure) up to now? Were these events foreseen in the planning phase or were they unexpected?
- Are (Have there been) any modifications required after the first planning of CL measure (CLP)? If so, which one, which has been/was the impact and how has it been mitigated?
- Which risks do you envisage in the finalization of co-creation process (or implementation of the CL measure)? At which level do they prevent to reach the objectives?
- What is your feeling at this stage of the co-creation process/implementation that the CL measure will contribute to improve the base/contextual conditions (procedures already in place, institutional cooperation, planning/operational capability)
- Are there any internal/external factors or initiatives active alongside the CL measure which affect or influence it?
- What was easier/more demanding than planned? What expected obstacles were serious problems? Which ones did not turn out problematic? Please use these values for the assessment: Very Low, Low, Moderate, High, Extremely High
- Are there any positive/negative impacts or side-effects on problems that were not previously identified?

Barriers / Drivers

- What were / are the main obstacles? Were they anticipated or not?
- Which drivers/supporters facilitate the process? (expected and unexpected). How and to what degree? What support was crucial? What support would have been better?

For barriers/drivers, please refer to SATELLITE categories and use the same values for assessment as indicated above: Very Low, Low, Moderate, High, Extremely High

Recommendations

- What have been the main lessons learnt?
- What should have been done differently and why? What should not have been done at all?
- Which are the main transferable elements for other (similar) cities?
- What should someone else with similar aims pay attention to and why?
- What are the expected impacts of the CL measure in the next future (5 years beyond the project)?

PART II - Specific measure-related check-list for process evaluation

According to the different type of CL activities (OB) contributing to the key output, customized elements can be assessed. The customization for type of CL measure is provided in the following

OB1. Implementation strategies

PART A⁴ – Implementation Planning

- Step 1⁴: Have core measure packages (core and supporting measures) been clearly defined and agreed? How easy was it to derive the core measure packages directly from the SUMP; how much modification was deemed appropriate? To what extent was the consideration of synergies between measures new in the city?
- Step 2⁴: Have temporal sequences (order of implementation) been considered for core measure packages? How did this differ from the existing decision-making process for deciding on measure sequencing, in the city?
- Step 3⁴: Has a comprehensive programme timeline for implementation, across all core measure packages, been developed? What was the timeframe for the timeline? Were any 'quick win' measures identified? Is there a clear prioritisation among core measure packages?
- Step 4⁴: Has a clear spatial overview of the core measure packages been produced, showing co-location/clustering of where measures will be implemented? How did this process differ from existing city approaches to integrated spatial and transport planning?
- Implementation Plan: How does the Implementation Plan differ from similar (SUMP) Action Plans produced by city in the past?

⁴ For reference, please see Deliverable D1.2, Figure 6.2

PART B: Implementation Management

- Is there a clear organisational structure/programme management (e.g. organogram) and division of responsibilities for the practical delivery of the Implementation Plan?
- How resilient is the Implementation Strategy to changes in political administrations, based on the perceptions of municipal staff?

PRODUCT & IMPACT: Implementation Strategy and its impact on local planning

- What is the formal status of the Implementation Strategy document? How will the document be used within the municipality, going forward?
- How will the overall SUMP implementation benefit from the Implementation Strategy?
- What has been the political and stakeholder reception to the Implementation Strategy?
- Has/Will the Implementation Strategy development process influence(d) strategic plans, e.g. next generation SUMP or other plans?

OB2. SUMP development

- How was your experience in applying the SUMP2.0 guidelines/topic guide for small cities? Were they suitable? What works better and what should be improved/integrated? Is it fit to the needs of cities with poor resources and low data availability? Does it address to the specific challenges/circumstances of your city?
- Which steps/activities did you need to customize more to your context/requirements? Why?
- Which step was more demanding and why?
- What SUMP development process would you recommend for similar small cities?
- How smoothly did the SUMP development process feed into the implementation strategy?

OB3. Cross-sectorial Links

- How easy was it to establish cross-sector links and agree on a shared outcome vision?
- Has a clear cooperation scheme been established between the mobility and other city sectors generating demand for mobility? Is it informal or implemented as formal agreement? Are actions/milestone, responsibilities and procedures well specified? Have qualitative or quantitative indicators been defined to monitor the level of cooperation in the future? Which are these indicators?
- Which steps in the integration of policy development, in order to reduce the need for travel, have been achieved?
- Which outcomes have been achieved?
- Has this process led to the initiation of cross-sector relations with other city sectors?
- How/to what extent will the SUMP implementation benefit from the consolidation of cross-sectorial links achieved in SUMP-PLUS through CL measures?

OB4. Governance

- How did the SUMP-PLUS activity contribute to improve (to be selected according to type of WP3 activity): the organizational cooperation within the municipality / institutional cooperation with adjacent municipalities / institutional cooperation with other levels of government / organizational cooperation between transport organizations / coordination with private/civil society? For example: better understanding of needs, alignment of policy priorities, joint planning/implementing joint measures
- Did the activity help confirm / clarify the goals to be achieved through improved governance (to be selected according to the type of WP3 activity in the CL):
 - To align political priorities or policy priorities
 - To develop joint policy measures
 - To strengthen process management capacity
 - To reach out to a more diverse set of stakeholders
 - To add new dimensions to sustainable transport goals (e.g., just transition, smart city, carbon neutral, etc.)?
- Has a clear cooperation agreement been established with / other municipality departments / adjacent municipalities / transport organizations / private/civil society to implement CL measures? Is it formal or informal? Were actions/milestone, responsibilities and procedure well specified? Have qualitative or quantitative indicators been defined to monitor the level of cooperation in the future? Which are these indicators?
- How/to what extent the SUMP implementation will benefit from the improved governance cooperation achieved in SUMP-PLUS through CL measures? For example: setting of a local SUMP management group, clarification of common goals, alignment of priorities, regular meetings to enhance coordination within the municipality, etc.

OB5. Capacity-building

- How did this SUMP PLUS activity contribute to improve the city's resources (identify new financing resources, develop organizational resources, develop new tools to enhance performance, overcome knowledge gaps and improve policy analytics) to support SUMP implementation strategy / development (to be selected the appropriate one for each CL)?
- How did this SUMP PLUS activity contribute to improve the city's capacity to mobilise these resources effectively (for cross-sector OB3, across levels OB4 & across the public sector OB4 & OB6) to support SUMP implementation strategy / development (to be selected the appropriate one for each CL)
- How did this SUMP PLUS activity contribute to improve the city's capacity throughout the process (agenda-setting, decision, implementation, evaluation?), for example: goals setting, liaise with political actors, develop / mobilize operational tools, etc.)

- Did the activity confirm any pre-existing gap in competences/skills (policy analytics, managerial, political) or did it help develop new ways to address these needs?
- Has a clear course for action been identified to ensure that the approach developed as part of the SUMP-PLUS can be reproduced in future discussions? For example: new working group, procedure, memorandum of agreement, recruitment, knowledge infrastructure, etc.
- How/to what extent the SUMP development (OB2) / implementation (OB1) strategy will benefit from an increased capacity?

OB6. Engagement

- How is the level of existing awareness / knowledge / acceptance of the addressed problem among policy makers, stakeholders, the wider public? How much is it advanced from the early beginning of CL activity?
- Which was the acceptance from stakeholders, the political sphere and the general public of the new engagement strategies adopted in SUMP-PLUS CL?
- Which stakeholder group did influence more the CL activities? Which one did show greater interest? Which one was opponent? Which were the motivating or demotivating factors?
- Did all the invited stakeholders participate in the process so far? Which other stakeholders should have been involved and why? Is there someone who should not have been involved? Is there a clear differentiation of the role of the stakeholders for the implementation of the CL measure?
- Has it been clearly established how to maintain closer engagement procedures in the future?
- How/to what extent will the SUMP implementation benefit from the stakeholder engagement activity undertaken in the SUMP-PLUS CL?
- Based on SUMP-PLUS CL experience, what would you have had changed in stakeholder engagement at the time of the SUMP development? Which are the main weaknesses you identify? What would you have done differently? More on the side of the stakeholder involved or on the side of the engagement procedure adopted?

OB7. Partnerships and business model

- Through what forums and mechanisms are mobility and logistics partnerships formed and maintained?
- What is the process for managing the partnership and what degree of commitment is there to the partnership? For example, contractual agreement, memorandum of understanding, regulations, or other.
- Which typologies of partners and sectors are involved in the partnerships? E.g., is it a public-public or public-private partnership? Are community-sector organisations involved in partnerships?

- To what extent does the partnership / solution contribute to achieving the city's sustainable mobility objectives?
- Which advanced steps in the operative conditions (mobility solutions, modalities to access public services, partnership with private sector) have been reached?
- How strong is the level of support of the measures' funding bodies?
- Which resources, knowledge or services do the different partners contribute to the partnership? Which aspects are covered by the city, which aspects are covered by the external partner(s)?
- What influence does the city have on the solution / service that is implemented in the framework of the partnership?
- Are the services offered in the framework of the partnership affordable for vulnerable groups?
- Have partnerships introduced new forms of business model to the city? According to the evaluation of Solutions, are these new business models considered successful?
- Are the main sources of financing (private and/or public) duly identified? Are responsibilities and cost sharing among the involved stakeholder clearly identified?
- How have SUMP-PLUS CL activities contributed to the identification of external funds to be used along the SUMP implementation? To what extent has the Financial Framework Tool and Action & Budget Tracker supported identification of funding opportunities and prioritisation of measures?
- How will the SUMP implementation benefit from the identified external funding? Does the partnership contribute to reducing the need for public funding? Is the solution profit-making, cost covering, or reducing the need for subsidies?
- Has the selection of mobility measures been funded based on the prioritization of the Implementation Strategy? If not, what are the barriers to achieving coherence between project bidding and the SUMP/Implementation Strategy?
- Have the Project Managers/municipal teams managing EU co-funded projects been more effectively involved with SUMP development previously? Which are the results of this enhanced involvement?

OB8. Analytical Tools

- How/to what extent have the analytical tools developed by Space Syntax enriched the collation of evidence and an understanding of the baseline situation?
- How/to what extent have they helped in defining problems, priorities, desired outcomes, processes and solutions?
- How have they been used in the local SUMP development and decision-making processes? How might this be enhanced in future? How/in what ways can these analytical tools support SUMP implementation in the future?
- To what extent are they now used as a planning support tool by the local authority? How might this be enhanced in future?
- Did the use of these tools assist in applications for funding?

- To what extent have they increased the skills base in the city team?
- What alternative approaches/solutions could have been adopted to carry out the SUMP-PLUS CL activities instead of using the analytical tools developed by Space Syntax? Can you provide an assessment of the benefits of using these tools?
- In what ways could these analytical tools be applied beyond SUMP development and implementation?

OB9. Solutions

- Which facilitating elements/supporting mechanism have been identified to extend pilot actions at a larger scale in the future?
- How has SUMP-PLUS experience improved the city's capability to design/plan, manage and evaluate pilot actions supporting SUMP implementation?
- How will the results of solutions demonstrated in SUMP-PLUS project benefit the SUMP-implementation in your city?

4.1.3 How to use the check-list: instructions to the Local Evaluation Managers

In this section some instructions are provided to the LEMs on how to use the previous check list in practice:

- PART I of the check-list consists of common questions to be applied to all the CL key outputs/measures. It should be used at each reporting milestone (see section 4.1.5) to identify any diversion from the CLP. This part of the check-list aims to assess how the CL activities are going
- PART II of the checklist must be applied to the evaluation of the CL key outputs identified in the Local Evaluation Plans (see Annex 1-6), not to each CL measure. Through this approach, the CL measures contributing or linked to the key CL outputs will be considered all together, allowing:
 - To take into account the mutual close interdependence among the CL measures, regardless of the cluster they belong to
 - To look at the process as a whole, avoiding to split it into its different components: this will benefit particularly when one or more measures in the CL mainly act as supporting action for another measure
 - To aggregate (with some others) the CL measures which have not a specific outcome

PART II aims to assess the impacts produced by the CL activities in the short-period and to estimate the future potential ones (in the long period). PART II must be used only after the CL key output has been produced even some preliminary assessment could be anticipated along with the development of contributing CL activities and achievement of intermediate results and contributing outputs

- The association of the applicable measure-related elements to be assessed with the CL key outputs (based on the interrelations between the CL measures defined in the CLP) is done in the Local Evaluation Plans and reflected in the info collection tool

- The whole checklist (PART I and II) should be considered by the LEM as a proposed guidance. It is not mandatory to answer to all the questions and it could happen that some of the questions could not be applicable for a certain CL measure: in this case the LEM can skip the question and/or replace/add with a more suitable one.
- For some elements, an adaptation to the specific background/context of the CL should be required.

4.1.4 The role of the Individual Evaluation Plans

Individual Evaluation Plans (Annexes 1-6 to this Deliverable) apply the methodology described in section 4.1.2 to the real context of SUMP-PLUS CLs. For each CL, the Individual Evaluation Plans provides:

- The overview of framework CL activities, associating each of them to the defined cluster (OB.1-9, see section 3.2 for the descriptions)
- The detailed CL activities with related objectives, outputs and interrelations among them. Interrelations highlight which CL activities contribute/support some others and/or which CL activities have not a specific output mainly contributing the output related to another activity. The definition of the interrelations among the CL activities is required to identify of the key CL outputs
- The key CL outputs, identifying of the CL activities/outputs contributing/supporting their generation/delivery. Based on the interrelations defined at the previous step, the key CL outputs are defined as the CL output which are mostly contributed by the other activities/outputs and/or which represent a valuable “self-consistent” result of the CL. This definition does not exclude that a key CL output is contributing to another CL output, but this can occur only in case of another key CL output. In this case, the key CL output (which contribute to another one) must be seen as a sort of intermediate “results” of the CL, relevant enough to represent a first level outcome and setting the base to go ahead. Intermediate key outputs are, for example, the Preliminary Health and Transport Policy Mix which aims to align policies between mobility and health sector in Manchester. The Preliminary Health and Transport Policy Mix belongs to Cross-sectorial Links cluster (OB.3): it is generated by the corresponding OB.3 activity in Manchester CL but it also largely contributed by activities belonging to OB5 – Capacity Building, OB6 – Stakeholders/Citizens Engagement and OB7- Partnerships&Business Models. The Preliminary Health and Transport Policy Mix sets the ground for the specification of Health and Transport decarbonisation Action Plan (belonging to OB1. Implementation Strategy/Transition Pathway), being the second the roadmap for the achievements of policy targets defined in the first. Another example of intermediate key output is represented, in Platania, by the definition of SUMP vision and objectives (OB.2 related) which is contributed by OB.3-5-6-8 related activities: the definition of the SUMP vision is then used to investigate the SUMP implementation Plan through the identification/prioritization of measure selected for the achievement of SUMP vision/objectives
- The evaluation method applied to each CL key output.

The main objectives of the Individual Evaluation Plan are:

- To identify the key CL outputs to be assessed in the process evaluation

- To identify which are the CL activities contributing to the generation/delivery of each key CL output
- To link each CL activity (contributing to the key CL output) to the OB-related cluster
- Based on the following steps, to allow the selection (based on the cluster the CL activities contributing to the key CL output) from the check-list – PART II, specified in section 4.1.2, of the elements to be assessed in the evaluation for each CL output.

All the previous steps are used for the customization of data collection tool to be used in the process evaluation monitoring and information gathering. The tools will be instantiated based on the key CL outputs to be evaluated and will be structured based on the elements to be evaluated for each key CL output (selection of the PART II which is relevant).

4.1.5 Data collection and timing

A range of activities can be done to gather the information needed to assess the status of the CL implementation and the “impacts produced”, i.e.:

- Info/data collected by the Local Evaluation Manager during the design, implementation and operation of the measure/CL activity
- Stakeholder engagement events (WP4)
- Stakeholder survey/interviews
- Citizens consultation events (WP4)
- Citizens survey
- Focus group meeting
- Sharing knowledge events
- Meetings/interviews between local CL team and SUMP-PLUS expert partners

During the CL, it is essential to monitor all relevant events and reflect regularly and critically to understand what has happened and why. To make it possible to look back to the implementation/operation process and to discuss how and why things have happened, it is helpful to have a log of all relevant events in the implementation/operation process. Especially for more complex measures this will result in a better understanding, instead of relying only on the memory of the involved actors.

The possible techniques to be used for collecting the information by the Local Evaluation Manager could be identified from among the following ones, i.e.:

- A record of communications (e.g. emails, telephone records, notes from face-to-face meetings) that have contributed to or inhibited the implementation/operation of the measure
- A logbook of all relevant events in the implementation/operation process with comments on how they supported the process
- A follow-up of relevant milestones set in the design phase.
- The recording of other information dealing with measure coordination and management.

It is envisaged that most of activities above could be also part or combined with/integrated to relevant activities of the CL actions/measures to avoid repetition of contacts with stakeholders. A good coordination of the CL implementation and evaluation activities is required.

The process evaluation can be carried out at specific times during the measure implementation/operation. There are two options:

- This timing can be linked to the stages (after design, implementation/operation, ...) an/or once the planned output has been achieved
- This timing can be fixed and pre-agreed along the lifetime of the project.

Based on the different scheduling of the CL measures, the second option is selected even the scheduling can be slightly adjusted city by city to align with the CL timeline.

The following milestones for data collection for process evaluation are identified:

- March - April 2021, following the delivery of CLP (D2.1) and including the planning phase of the measures and early implementation/stage of co-creation process (for some of the measures)
- October 2021, corresponding to an intermediate stage of CL implementation/co-creation process
- March 2022, corresponding to the final stage of CL implementation/co-creation process (for most of the measures) assuming a short delay in the delivery of D5.3 Results of City Laboratories Evaluation
- June 2022, for some of the CL measures which are planned to run longer than the D5.3 deadline, a new data collection will be done to update the D5.3 (for those measures)

A structured tool (.xls template) has been defined by the project Evaluation Coordinator to support the on-going reporting process from LEMs. The tool will be structured in the same way for all the CLS but it will be also customized based on the Individual Evaluation Plan. At the submission date of this Deliverable, while the CLP is under finalization, the data collection tool to be used in the process evaluation has been circulated among the WP Leaders to agree on the common structure. Once the common structure will be agreed, the tool will be tailored to each CL and share with LEM for a final validation. In order to test the usability of the tool, it has been agreed to initiate the info/data collection process with TfGM with regard to Manchester CL which is the most advanced one in terms of activities progress and test the usability of the tool. Once feedback has been received and the tool refined, the reporting procedure will be extended to all the CLs.

4.1.6 Next steps

Table 8 details the action plan defined for next activities in WP5 including data collection and reporting.

Activities	Responsibilities	Timing
Training of cities about evaluation activities, their responsibilities and timing	MemEx	February – March 2021

Activities	Responsibilities	Timing
Definition of supporting tool (.xls) for data collection	MemEx	February – March 2021
Feedbacks on supporting tool (.xls) for data collection	WP Leaders	February 2021
Finalization of supporting tool (.xls) for data collection and customizations to each CL	MemEx	Mid March 2021
Supporting tool (.xls) for data collection tested in Manchester CL	TfGM supported by MemEx	Second half March 2021
Validation of customized supporting tool (.xls) for data collection	Cities	Second half March 2021
Refinement based on Manchester trial. Data collection starting in the other CLs	CL leader partners supported by MemEx	April 2021
Internal data collection	CL leader partners	On-going
Methodological and operational assistance	MemEx	On-going
Data collection/CL development monitoring activities	MemEx in conjunction with Vectos as WP2 Leader	On-going Bi-monthly telco
Reporting from CLs to project Evaluation Coordinator	CL leader partners supported by MemEx	April 2021 October 2021 March 2022 June 2022
Consolidation of evaluation findings	MemEx	June 2021 December 2021 April 2022 July 2022

Activities	Responsibilities	Timing
Request of details from project Evaluation Coordinator, covering gaps, etc. Comments from CLs Refinement of evaluation findings	MemEx CL leader partners	July – August 2021 January-February 2022 (to fed D5.3) May 2022 August 2022 (to produce D5.3 updated version)
Share of info with WP Leaders Input to WP6 and WP7	MemEx WP Leaders	On-going

Table 8: Next steps in WP5

4.1.7 What the SUMP-PLUS cities should do

The CL leader partner should do the activities detailed in Table 9.

Macro-activities	Actions to be done	Description	Timing
Coordination of local evaluation activities and data collection	Appoint a Local Evaluation Manager (LEM)	LEM is the coordinator of local evaluation activities LEM acts as interface between the local CL partners and project Evaluation Coordinator for WP5	Done

Macro-activities	Actions to be done	Description	Timing
	Set an internal (CL) procedure to track relevant info for CL assessment	<p>Under the responsibility of LEM</p> <ul style="list-style-type: none"> • Store documents such as stakeholder survey/interview, minute of co-creation events, etc. for extracting info to be reported • Track all the relevant “events” in a “log-file” along the CL development <ul style="list-style-type: none"> ○ Diversions from CLP ○ Problems/barriers occurred ○ What is going well ○ What could be improved and how ○ What works very well and can be suggested to other cities 	On-going during CL development
Reporting of info collected through the data collection tool	Contribution for tool validation	Feedbacks/question on the customized version provided by the project Evaluation Coordinator	March 2021
	Data provision to project Evaluation Coordinator	Fill in the template following the instructions	April 2021 October 2021 March 2022 June 2022
	Support request if needed	Ask questions/support to project Evaluation Coordinator	On-going

Macro-activities	Actions to be done	Description	Timing
Consolidation of findings	Refinement of contribution provided	<p>Answers to questions from project Evaluation Coordinator</p> <p>Provision of comments on the first draft of consolidated findings from the project Evaluation Coordinator</p>	<p>July – August 2021</p> <p>January-February 2022 (to fed D5.3)</p> <p>May 2022</p> <p>August 2022 (to produce D5.3 updated version)</p>

Table 9: Detail of activities in charge of the SUMP-PLUS cities

The explanation of these activities and the guidance support to deep dive into them will be part of the training activities planned in February-March 2021. A key event of this activity is the organization of a specific webinar held during the 4th (on-line) meeting (virtual). Support activity provided by the project Evaluation Coordinator will go on with bilateral telcos, exchanges with cities and specific follow-ups.

4.1.8 Rescheduling of Deliverable D5.3 Results of City Laboratories Evaluation

Based on the action list defined in Table 8, the Deliverable D5.3 Results of City Laboratories Evaluation is rescheduled from M31 (March 2022) to M33 (May 2022). This postponement is caused by the delay accumulated in the first year of the project for the specification of CLPs and the actual start of CL activities in most of the CLs (in particular Alba Iulia and Klaipeda).

To take into account the scheduled timing of CLs (some activities are running longer than this deadline), an updated version of D5.3 will be produced to include final assessment result of these activities.

The scheduling of Deliverable D5.3 will be revised in case the consortium will decide to ask for a project extension; in this case the timing will be revised according to the new project scheduling.

4.2 Impact evaluation (Quantitative)

Along with the development and consolidation of CL Plan (CLP), it has been realized that:

- CL activities largely deal with a continuous co-created process of analysis and refinement of planning strategies and working/cooperation procedures at an operational level rather than the usual “pilot actions”
- demonstrated solutions linked with piloting of new services are operated only in Antwerp but here SUMP-PLUS contributed to the preparation phase of demonstration (needs

analysis through surveys, focus groups and co-participative approaches) rather to the actual implementation/operations

- the CL activities in Platania, Alba Iulia and Klaipeda which are indicated in the CL description included in the DoA as “implementation of some elements of the pathway” did not consist of piloting of demonstrated solution but they refer to the implementation of “co-created” process
- where the term “impacts” is used for the SUMP-PLUS evaluation it is related to “intangible” impacts
- most of the CL activities which are implemented in SUMP-PLUS will lead to more tangible impacts beyond the project itself, when the defined changes at strategic/operational level will fully run and give results rather than in the short-period (during/at the end of the project itself).

All these considerations led to focusing the SUMP-PLUS evaluation on process evaluation and a qualitative approach as the most suitable ones to assess the results/impacts of CL measures.

5 Conclusions

Based on the type of measures (actions) included in the SUMP-PLUS co-created City Laboratories (CLs) (which are fully specified in D2.1, Co-created Laboratory Plans) and the approaches and concepts developed in the research activities carried out by WP1-4 in the early stages of the project, to be demonstrated at CL level, it has been found that these demonstrations are quite different from the “piloting” of service/system which is under the scope of CIVITAS Satellite Evaluation Framework.

Process evaluation has been identified as the most effective methodology:

- To assess the interactions among different concurrent supporting actions and to capture the “added value” provided by SUMP-PLUS CLs measures, understanding to which extend and why measures achieve with the expected outcomes
- To evaluate the role and “intangible” impacts provided by the CL measures along with the development of city mobility policies and actions, accelerating/facilitating the implementation (or development) of SUMP
- To deal with the wide range of different measures planned in CLs which do not envisage “actual operation of service/system”, in most of the cases

For this reason, the SUMP-PLUS Evaluation Framework has extended the process evaluation approach suggested by the Satellite Evaluation Framework (from which it has been inspired in principles).

CL activities (which have been linked and grouped using the SUMP-PLUS policy and operational objectives) and outputs have been extracted from the analysis of CLPs. Based on the description of activities provided in the CLPs, the interrelations among the CL activities and outputs have been identified in order to select the CL key outputs to be assessed through process evaluation and which are the CL activities/intermediate outputs contributing to the key ones (according to the supporting role of operational objectives to policy ones). The elements to be assessed in the process evaluation includes 1) deviations from CLPs, identification of drivers/barriers, good practices and lesson learnt and 2) “intangible” impacts of the CL measures in fostering improved city capability to implement the SUMP and to manage

supporting mechanism at planning and operational stage. For both, a guided check-list has been defined: in case of 1) this can be applied to all the CL measures at the same reporting milestone, in case of 2) this has been customized to each cluster (group) of activities reflecting the key points to be assessed for each SUMP-PLUS policy and operational objective. This preparatory work for CLs assessment is reflected by the Individual Evaluation Plans for each CL annexed to this Deliverable.

The process evaluation will be applied 1) to the CL key outputs, 2) to the whole CL level 3) across the CLs, when possible (section 3.2, Table 2).

Preliminary guidance to the cities about data collection procedures and reporting from the CL to the project Evaluation Coordinator is included in this Deliverable. Appropriate training activity is taking place in February and March 2021 through web-seminars and bilateral contacts. Action plans including the activities to be undertaken by the cities have been issued.

Internal procedures for reporting relevant info related to process evaluation from CL and the project Evaluation Coordinator have been defined with related milestones and timing for 1) consolidation of assessment results from the project Evaluation Coordinator to the CL, 2) sharing of partial results in the consortium (to feed into WP6 and WP7).

The submission date of D5.3 is postponed by two months (from M31 – March 2022 to M33 – May 2022) with the possibility to update the deliverable after the submission, in case relevant results from the assessment of activities running after this deadline need to be added. This planning can be revised in case the consortium will ask for a project extension.

A data collection tool has been defined and modified based on the first comments received from WP Leaders and cities. After the development of the final version of the tool, a customized version will be produced for each CL. The customized version for Manchester CL has been developed in order to test the reporting procedure between the CL and the project Evaluation Coordinator with TfGM. This activity will give good feedbacks to be taken into account in the cooperation with the other CLs (LEMs)/monitoring of the evaluation process.

Annex 1 – Klaipeda Evaluation Plan

CL1 – Creating a SUMP implementation strategy towards a liveable city Klaipeda (Lithuania)

CL Leader Partner: KCM

Local Evaluation Manager: Lina Zemaityte

Framework of CL measures

OB1 Implementation Strategy
To develop a SUMP Implementation Strategy focusing on specific packages of measures (centred on strengthening public transport along the main urban axis), their temporal sequencing and spatial clustering
OB4 Governance
To strengthen cooperation between Klaipeda municipality and surrounding municipalities, particularly in relation to public transport services, active modes and car use in suburban areas
OB6. Stakeholders Engagement
Plan and commence a citizen and stakeholder engagement programme supporting Implementation Strategy, Cross-Sectorial Links and participatory exercise Participatory exercise on commuting to school behaviour, particularly from the peri-urban area
OB7 Partnership&Business Models
To support the identification of funding/financing sources and the development of additional instruments or partnerships for financial contributions from the private sector To exploit the potential for cross-sector planning between mobility and educational sector in supporting the participatory exercise on commuting to school behaviour

Measures Cluster	CL1 Measures	CL1 Measure's Objective	Output	Relation within CL Measures and Outputs
OB1. Implementation Strategy	Definition of SUMP Implementation Strategy	To specify the implementation process for a core package and supporting measures (centred around the key SUMP objectives), prioritize them, define a programme timeline and the spatial (area) for their introduction	CL1.OUT1 List of core measure packages with prioritization, timeline and areas of implementation	Supported by OB4 and OB6
OB4. Governance	To strengthen cooperation between Klaipeda municipality and surrounding municipalities	To overcome institutional and organizational barriers, To enhance policy capacities within the municipality to develop sustainable transport policies and mobilize resources	CL1.OUT2 Mapping of governance arrangements CL1.OUT3 Project-outline for bicycle-connections linking the city with neighbouring municipalities	Supporting OB1
OB6. Stakeholders Engagement	OB6.1.A1.10 Mobility Forum	To engage stakeholders in the process of SUMP Implementation Strategy Development	No specific output	Supporting OB1

Measures Cluster	CL1 Measures	CL1 Measure's Objective	Output	Relation within CL Measures and Outputs
	OB6.1.A3 City Integrator	To support the cross-sectorial links planning and participatory exercise	No specific output	Supporting OB7.1.A3
	OB6.1.A1.10 Citizens Engagement Platform	To support the development of SUMP Implementation Strategy in particular connected to the implementation of the public transport	No specific output	Supporting OB1
	OB6.1.A3 Participatory exercise on commuting to school behaviour	To encourage active modes for commuting to school	CL1.OUT6 Operation of the participatory exercise	Contributing to OB7.1.A3

Measures Cluster	CL1 Measures	CL1 Measure's Objective	Output	Relation within CL Measures and Outputs
OB7 Partnership&Business Models	OB7.1.A1.6 Identification of funding/financing sources and development of additional instruments or partnerships for financial contributions from the private sector	<p>To identify the economic and environmental factors affecting the funding 'landscape'</p> <p>To assess the level of subsidy for sustainable mobility</p> <p>To understand the potential of access restrictions and charging to stimulate behavioral change and generate funding</p> <p>To explore cross-subsidy possibility between mobility solutions</p>	CL1.OUT4 Klaipeda Action and Budget Tracker	Supporting OB1
	OB7.1.A3 Cross-sector planning between mobility and educational sector	To exploit the potential for cross-sector planning between mobility and educational sector in supporting the participatory exercise on commuting to school behaviour	CL1.OUT5 List of potential alternative solutions to car use on the way to school	Supported by OB6

Identification of CL key outputs for evaluation

CL1 key Outputs	Contributing CL1 Measures	Contributing CL1 Outputs
<p>CL1.OUT1</p> <p>List of core measure packages with prioritization, timeline and areas of implementation</p>	<p>OB1</p> <p>Definition of SUMP Implementation Strategy</p> <p>OB4</p> <p>To strengthen cooperation between Klaipeda municipality and surrounding municipalities</p> <p>OB6.1.A1.10</p> <p>Mobility Forum and Citizens Engagement Platform</p> <p>OB7.1.A1.6</p> <p>Identification of funding/financing sources and the development of additional instruments or partnerships</p>	<p>CL1.OUT2</p> <p>Mapping of governance arrangements</p> <p>CL1.OUT3</p> <p>Project-outline for bicycle-connections linking the city with neighbouring municipalities</p> <p>CL1.OUT4</p> <p>Klaipeda Action and Budget Tracker</p>
<p>CL1.OUT5</p> <p>List of potential alternative solutions to car use on the way to school</p>	<p>OB7.1.A3</p> <p>Cross-sector planning between mobility and educational sector</p> <p>OB6.1.A3</p> <p>City Integrator</p> <p>Participatory exercise on commuting to school behaviour</p>	<p>CL1.OUT6</p> <p>Operation of the participatory exercise</p>

Evaluation methods for CL measures

CL1 key Outputs	Evaluation Methods
CL1.OUT1 SUMP Implementation Strategy	Process [X]
CL1.OUT5 List of potential alternative solutions to car use on the way to school	Process [X]

Annex 2 – Manchester Evaluation Plan

CL2 – Delivering an Integrated Health and Transport Decarbonisation Plan Manchester (UK)

CL Leader Partner: TfGM – Transport for Greater Manchester

Local Evaluation Manager: Stuart Blackadder

Framework of CL measures

OB1 Implementation Strategy
Developing a Transition Pathway and Short-term Action Plan
OB3 Cross-sectorial Links
Health/Transport cross-sectorial links evidence
Goal alignment and integration of new policies Health/Transport into the Transition Pathway
OB4 Governance
Improve cross-sectorial working arrangements with the purpose of facilitating preparation of the Health and Transport Decarbonisation Action Plan
OB5. Capacity Building
Identification of institutional capacity-building needed to implement Links policies
OB6. Stakeholders Engagement
Creating the formal framework for joint health and transport planning processes involving stakeholders and citizens
OB7 Partnership&Business Models
Identification of financial resources needed to implement Links policies

Measures Cluster	CL2 Measures	CL2 Measure's Objective	Output	Relation within CL Measures and Outputs
OB1 Implementation Strategy	OB1 Developing a Transition Pathway and Short-term Action Plan	Tackle barriers to the effective delivery of the Health and Transport Strategy	CL2.OUT1 Health and Transport decarbonisation Action Plan	Action Plan for implementation of CL2.OUT4
OB3. Cross-sectorial Links	OB3.2.A1 Health/Transport cross-links evidence	Understanding the current degree of transport and health sector integration for Greater Manchester	CL2.OUT2 Evidence base Report CL2.OUT3 Exchange workshop with the City of Antwerp on integrated planning for decarbonisation	Preparatory for OB3.2.A2
	OB3.2.A2 Goal alignment and integration of new policies between Health/Transport	Formulating a healthcare and transport policy package, applying and developing an accessibility and mobility framework	CL2.OUT4 Preliminary Health and Transport Policy Mix	Building on OB3.2.A1 Input to OB1
OB4 Governance	OB4 Improve cross-sectoral working arrangements with the purpose of facilitating preparation of the Health and Transport Decarbonisation Action Plan	To support TfGM efforts to scale up discussion with the health sector	CL2.OUT5 Technical Note – Potential for future cooperation between health and transport authorities at policy and organisational levels	Supporting OB1

Measures Cluster	CL2 Measures	CL2 Measure's Objective	Output	Relation within CL Measures and Outputs
			CL2.OUT6 Organise a knowledge-sharing webinar/workshop with Antwerp on health-mobility linkages from a governance perspective	
OB5 Capacity Building	OB5 Capacity-building in relation to key institutional barriers	Identification of “enabling actions” for cross-sectorial links enhancement	CL2.OUT7 Report on Capacity-Building to Realise Joint Decarbonisation	Contributing to OB3.2.A2
OB6 Engagement	OB6.2.WP4 Implementation of Local Mobility Forum	The Mobility Forum is instrumental in defining the implementation pathway	No specific output	Supporting OB1 and OB3.2.A2 through co-creation processes
	OB6.2.WP4 Implementation of City Integrator	To establish a relevant focus for cross-sector planning	No specific output	
	OB6.2.WP4 Implementation of Citizens Engagement Platform	To inform and engage citizens during the course of action plan development and plan the implementation	No specific output	
OB7 Partnerships&Business Models	OB7 Review of existing funding availability and mechanisms for cross-sectorial policies	To define “enabling actions” for cross-sectorial links enhancement	No specific output	Combined with OB5 Contributing to OB3.2.A2 Results included in CL2.OUT2

Identification of CL key outputs for evaluation

CL2 key Outputs	Contributing CL2 Measures	Contributing CL2 Outputs
<p>CL2.OUT1 Preliminary Health and Transport Policy Mix</p>	<p>OB3.2.A1 Health/Transport cross-links evidence</p> <p>OB3.2.A2 Goal alignment and integration of new policies between Health/Transport</p> <p>OB6.2.WP4 Engagement activities</p> <p>OB5 Capacity-building in relation to key institutional barriers</p> <p>OB7 Review of existing funding availability and mechanisms for cross-sectoral policies</p>	<p>CL2.OUT2 Evidence base Report</p> <p>CL2.OUT3 Exchange workshop with the City of Antwerp on integrated planning for decarbonisation</p> <p>CL2.OUT7 Report on Capacity-Building to Realise Joint Decarbonisation</p>
<p>CL2.OUT4 Health and Transport decarbonisation Action Plan</p>	<p>OB1 Developing a Transition Pathway and Short-term Action Plan</p> <p>OB4 Transversal activities</p> <p>OB6. 2.WP4 Engagement activities</p>	<p>CL2.OUT1 Preliminary Health and Transport Policy Mix</p> <p>CL2.OUT5 Technical Note – Potential for future cooperation between health and transport authorities at policy and organisational levels</p> <p>CL2.OUT6 Knowledge-sharing webinar/workshop with Antwerp on health-mobility linkages</p>

Evaluation methods for CL measures

CL key Outputs	Evaluation Methods	
CL2.OUT1 Preliminary Health and Transport Policy Mix	Process	[X]
CL2.OUT4 Health and Transport decarbonisation Action Plan	Process	[X]

Annex 3 – Alba Iulia Evaluation Plan

CL3 – Using SUMP to enhance smart city impact and implementation

Alba Iulia (Romania)

CL Leader Partner: Alba

Local Evaluation Manager: Ovidiu Boc

Framework of CL measures

OB1 Implementation Strategy
Definition of an Implementation Strategy including Smart City Solutions validation
OB5. Capacity Building
Capacity Building for Sustainable Urban Mobility Planning
OB6. Stakeholders Engagement
Engagement activities for stakeholders and citizens supporting the Cross-Sectorial partnerships and the Implementation Strategy
OB7 Partnership&Business Models
Enhancing cross-sectorial planning with the tourism and education sector
OB8. Analytical Tools
Enhance in-house capabilities to analyse GIS-based data sets

Measures Cluster	CL3 Measures	CL3 Measure's Objective	Output	Relation within CL Measures and Outputs
OB1 Implementation Strategy	OB1 Definition of an Implementation Strategy including Smart City Solutions validation	To modify the existing SUMP Action Plan in order to speed up smart city implementation	CL3.OUT1 Catalogue of Smart City Solutions	
			CL3.OUT2 Selection of 3 core measure packages, prioritization and areas for implementation	Contributed by OB6.3.A2.5 and OB5
OB5 Capacity Building	OB5 Capacity Building for Sustainable Urban Mobility Planning	To support the efforts to strengthen the municipality's steering capacity and support the implementation of the SUMP	CL3.OUT3 Setting of inter-departmental working group	Supporting OB1 Contributed by OB9
OB6 Stakeholders Engagement	OB6.3.A2.5 Mobility Forum and Citizen Engagement Platform	To support the Implementation Strategy and the Cross-Sectorial partnerships	No specific output	Support to OB1
	OB6.3.A3 City Integrator		No specific output	Support to OB7

Measures Cluster	CL3 Measures	CL3 Measure's Objective	Output	Relation within CL Measures and Outputs
OB7 Partnership&Business Models	OB7 Enhancing cross-sectorial planning with the tourism and the education sector	To demonstrate the benefits of adopting a cross-sectoral planning approach, using the tourism and education sector as case study, and to develop partnerships and linkages with institutional stakeholders, key services and policy sectors	CL3.OUT4 Catalogue of possible solutions	Contributed by OB6.3.A3
OB9. Analytical Tools	OB9. Enhance in-house capabilities to analyse GIS-based data sets	To identify current urban structures, accessibilities and movement patterns, identify weaknesses and plan future space-based interventions	CL3.OUT5 Set of GIS-maps illustrating urban structures, accessibilities and movement patterns	Supporting OB5

Identification of CL key outputs for evaluation

CL3 key Outputs	Contributing CL3 Measures	Contributing CL3 Outputs
CL3.OUT2 Selection of measure packages, prioritization and areas for implementation	OB5 Capacity Building for Sustainable Urban Mobility Planning OB9 Enhance in-house capabilities to analyse GIS-based data sets OB6.3.A2.5 Mobility Forum Citizens Engagement OB7.3.A3 Develop formal partnerships and linkages with institutional stakeholders	CL3.OUT1 Catalogue of Smart City Solutions CL3.OUT3 Setting of inter-departmental working group CL3.OUT5 Set of GIS-maps illustrating urban structures, accessibilities and movement patterns
CL3.OUT4 Catalogue of possible solutions to enhanced cross-sectorial planning with tourism and education sector	OB6.3.A3 City Integrator	

Evaluation methods for CL measures

CL3 key Outputs	Evaluation Methods
CL3.OUT2 Selection of measure packages, prioritization and areas for implementation	Process [X]
CL3.OUT4 Catalogue of possible solutions to enhanced cross-sectorial planning with tourism and education sector	Process [X]

Annex 4 – Platanias Evaluation Plan

CL4 – Co-creating a SUMP for a small island city with seasonal tourism

Platanias (Greece)

CL Leader Partner: MP – Municipality of Platanias

Local Evaluation Manager: Stavroula Tournaki (TUC)

Framework of CL measures

OB1 Implementation Strategy
Investigating implementation plan for selected measures
OB2. SUMP development
Co-creation of a SUMP vision for developing Platanias SUMP
Monitoring of mobility indicators and Smart Data
OB3 Cross-sectorial Links
Developing cross-sectorial links between tourism and mobility
OB4. Governance
Better coordination and understanding amongst different governance structures
OB6. Engagement
Stakeholders and citizens Engagement Programme
Launch an awareness and behavioural change campaign
OB7. Partnerships&Business Models
Undertake mobility solutions selection during the SUMP development
OB8. Analytical Tools
Formulation of a mobility and tourism baseline

Measures Cluster	CL4 Measures	CL4 Measure's Objective	Output	Relation within CL4 Measures and Outputs
OB1. Implementation Strategy	Investigating implementation plan for selected measures	To assess new mobility scenarios, defining integrated packages of measures and agreeing on priority To identify short-term, 'quick win' measures to be implemented at first stage	CL4.OUT1 Action plan for SUMP implementation over the next 10-15 years	Action Plan for implementation of CL4.OUT2
OB2. SUMP development	OB2.4.A2 Co-creation of a SUMP vision for developing Platánias SUMP	To test the applicability of SUMP-UP guidance for small and medium-sized cities	CL4.OUT2 Development of a Platánias SUMP vision and strategic objectives, including measures priorities, targets and impact indicators	
	OB2.4.A5 Monitoring of mobility indicators and Smart Data	To carry out on-field measurements to support measures design and future SUMP adaptation	CL4.OUT3 Cross analysis of mobility and tourism data	Contributing to OB2.4.A2
OB3. Cross-sectorial Links	Developing cross-sectorial links between tourism and mobility	To foster sustainable development through cross-sectorial planning between the mobility and the tourism-sector	CL4.OUT4 Working note on the mobility needs of tourism sector and co-design of solutions	Contributing to OB2.4.A2

Measures Cluster	CL4 Measures	CL4 Measure's Objective	Output	Relation within CL4 Measures and Outputs
OB4. Governance	Better coordination and understanding amongst different governance structures	To overcome institutional and organizational barriers on efficient multi-level governance approaches	No specific output	Contributing to OB1
OB6. Engagement	OB6.4.A8.3 Implementation of Local Mobility Forums with local stakeholders	To support different stages of SUMP development (vision, selection of measures and identification of priorities, validation)	No specific output	Contributing to CL4.OUT2 and CL4.OUT1
	OB6.4.A8.4 Implementation of City Integrator bringing together public and private stakeholders from mobility and tourism sectors	To integrate mobility and tourism policies	No specific output	Supporting analysis of cross-sectorial links in OB3
	OB6.4.A8.5 Citizens Engagement activities	To engage citizens in open air labs enabling vision co-creation and feedback on strategic priorities and potential measures To operate field survey targeted for tourists visiting Platánias	No specific output	Contributing to CL4.OUT2
	OB6.4.A6 Launch an awareness and behavioural change campaign	To familiarise the citizens of Platánias (in particular students) and tourists with the principles of sustainable mobility	No specific output	Supporting CL4.OUT2

Measures Cluster	CL4 Measures	CL4 Measure's Objective	Output	Relation within CL4 Measures and Outputs
OB7. Partnerships&Business Models	Undertake mobility solutions selection during the SUMP development	To support SUMP measures' prioritization integrating financial planning and examining new business model	CL4.OUT5 Deployment of the SUMP-PLUS Action and Budget Tracker (D1.5) in Platania	Supporting CL4.OUT1
OB8. Analytical Tools	OB8.4.A1 Formulation of a mobility and tourism baseline	To identify current urban structures, accessibilities, and movement patterns, identify weaknesses and plan future space-based interventions through the introduction of analytical tools developed by Space Syntax	CL4.OUT6 Mobility baseline including toolkit for smaller cities	Supporting to OB2.4.A2 Contributing to CL4.OUT2

Identification of CL key outputs for evaluation

CL4 key Outputs	Contributing CL4 Measures	Contributing CL4 Outputs
<p>CL4.OUT1</p> <p>Action plan for SUMP implementation over the next 10-15 years</p>	<p>OB2.4.A2 Co-creation of a SUMP vision for developing Platánias SUMP</p> <p>OB6.4.A8.3 Implementation of Local Mobility Forums with local stakeholders</p> <p>OB4 Better coordination and understanding amongst different governance structures</p> <p>OB7 Undertake mobility solutions selection during the SUMP development</p>	<p>CL4.OUT2</p> <p>Development of a Platánias SUMP vision and strategic objectives, including measures priorities, targets and impact indicators</p> <p>CL4.OUT5</p> <p>Deployment of the SUMP-PLUS Action and Budget Tracker (D1.5) in Platánias</p>

CL4 key Outputs	Contributing CL4 Measures	Contributing CL4 Outputs
<p>CL4.OUT2</p> <p>Development of a Platania SUMP vision and strategic objectives, including measures priorities, targets and impact indicators</p>	<p>OB2.4.A5 Monitoring of mobility indicators and Smart Data</p> <p>OB3 Developing cross-sectoral links between tourism and mobility</p> <p>OB6.4.A8.3 Implementation of Local Mobility Forums with local stakeholders</p> <p>OB6.4.A8.4 Implementation of City Integrator bringing together public and private stakeholders from mobility and tourism sectors</p> <p>OB6.4.A8.5 Citizens Engagement activities</p> <p>OB6.4.A6 Launch an awareness and behavioural change campaign</p> <p>OB8.4.A1 Formulation of a mobility and tourism baseline</p>	<p>CL4.OUT3 Cross analysis of mobility and tourism data</p> <p>CL4.OUT6 Mobility baseline including toolkit for smaller cities</p>

Evaluation methods for CL measures

CL4 key Outputs	Evaluation Methods
<p>CL4.OUT1</p> <p>Action plan for SUMP implementation over the next 10-15 years</p>	<p>Process [X]</p>
<p>CL4.OUT2</p> <p>Development of a Platania SUMP vision and strategic objectives, including measures priorities, targets and impact indicators</p>	<p>Process [X]</p>

Annex 5 – Antwerp Evaluation Plan

CL5 Seamless intermodality and non-transport solutions for the functional city
CL6b Strengthening sustainable logistics' role in SUMP's in and beyond city centres
Antwerp

CL Leader Partner: Municipality of Antwerp

Local Evaluation Manager: Annelies Heijns (temporary)

Framework of CL measures

OB4. Governance
Enhancing intermunicipal relationships within the region
OB6. Engagement
Organize a series of co-creation activities within the CL districts
OB7. Partnerships&Business Models
Undertake dedicated Marketplace for Mobility call
Enhanced coordination with strategic business sector (retail) and partners (logistics)
OB9. Solutions
Development of future scenarios, plans and regulations for the central district and functional logistics area
Pilots of e-trucks and e-cargo bike services
Re-design of key streets, open spaces and multi-modal nodes and destinations
Inclusive MaaS solutions
Explore potential of non-transport solutions
Accelerating delivery of Living Street solutions

Measures Cluster	CL5-6b Measures	CL5-6b Measure's Objective	Output	Relation within CL5-6b Measures and Outputs
OB4. Governance	Enhancing intermunicipal relationships within the region	Support efforts to design a joint implementation strategy for the initiatives planned as part of Route Plan 2030 at metropolitan level	<p>CL5.OUT1 Note on enhancing intermunicipal relationships in European metropolitan areas</p> <p>CL5.OUT2 Knowledge sharing webinar with some of the identified good practices</p>	<p>CL5.OUT2 contributes to CL5.OUT1</p> <p>CL5.OUT2 linked with OB6 for CL5</p>
OB6. Engagement	Local Mobility Forum – undertaken as plenary meeting to coordinate beyond administrative borders (CL5) and to harmonise the strategic actions at the level of the Transport Region (CL6b)	To understand the needs and co-create potential solutions	No specific output	<p>Linked with OB4</p> <p>Supporting CL6b.OUT5 (CL6b)</p>

Measures Cluster	CL5-6b Measures	CL5-6b Measure's Objective	Output	Relation within CL5-6b Measures and Outputs
	<p>City Mobility Integrator – undertaken as Antwerp Placemaking working group to engage all the different stakeholders (Mobility, Urban Design and Public Space, City Maintenance, Marketing, Tourism and retail) (CL5)</p> <p>Dedicated to coordinating decision making and implementation of more efficient, safer, and more sustainable logistics solutions (CL6b)</p>		No specific output	Preliminary analysis for CL5.OUT10 (CL5) and CL5.OUT5 (CL6b)
	<p>Citizen's Engagement undertaken as consultations, online surveys (to understand mobility needs and user experience of multi-modal hubs and to feed co-creation activities for OB7-9.CL5.A1 (Call 2), OB9.CL5.A2 and OB9.CL5.A4 (survey on Deurne district) solutions), co-creation exercises (CL5)</p> <p>Existing long-term engagement platform, will be used for discussing city logistics policies with retail stakeholders (CL6b)</p>		No specific output	Preliminary analysis for CL5.OUT10 and CL5.OUT12 and users' definition for CL5.OUT8 (CL5) Supporting CL5.OUT5 (CL6b)

Measures Cluster	CL5-6b Measures	CL5-6b Measure's Objective	Output	Relation within CL5-6b Measures and Outputs
OB7. Partnerships & Business Models	OB7-9.CL5.A1 Undertake dedicated Marketplace for Mobility call	To challenge the private and community sectors to devise new mobility and logistics solutions and supporting business models	Business models proposed by projects piloted in OB9	Supporting activities to OB7-9.CL5.A1
	OB7.5.A6 Enhanced coordination with strategic business sector (retail) and partners (logistics)	To support efforts to link together the SUMP and the Sulp as part of Routeplan 2030	CL6b.OUT3 Identification (as section of Deliverable D3.3) of how SUMP & Sulp are being integrated, from a governance point of view, with a specific focus on retail and logistics outside the port area CL6b.OUT4 Knowledge sharing webinar with external cities	CL6b.OUT4 contributes to CL6b.OUT3 Contributing to CL6b.OUT5

Measures Cluster	CL5-6b Measures	CL5-6b Measure's Objective	Output	Relation within CL5-6b Measures and Outputs
OB9. Solutions	OB9.6b.A2 Development of future scenarios, plans and regulations for the central district and functional logistics area	<p>To define scenarios for Antwerp's central district and functional logistics areas</p> <p>To define safe traffic routes for Heavy Goods Vehicles (HGVs)</p> <p>To assess future expansion of the access restrictions for Heavy Goods Vehicles (HGVs) piloted in the central part of Antwerp</p>	<p>CL6b.OUT5 Scenarios' development</p> <p>CL6b.OUT6 Antwerp Transport Region Freight Route Network-Plan</p>	CL6b.OUT6 contributes to CL6b.OUT5
	OB7-9.CL5.A1 Undertake dedicated Marketplace for Mobility call	To challenge the private and community sectors to devise new mobility and logistics solutions and supporting business models	Publication of calls	General process to deliver mobility and logistics solutions in OB7
	OB7-9.CL5.A1 (Call1) B2B smart solutions for work-related travel	With this call for projects, the city of Antwerp went out in search of projects for employers, aimed at smart solutions for work-related travel (commuting, service travel)	CL5.OUT7 7 projects selected	Implementation case of OB7.5A1 for passengers mobility
	OB7-9.CL5.A1 (Call 2) Possible additional call	Responding to needs / challenges identified through the Citizens' Engagement Platform	CL5.OUT8	

Measures Cluster	CL5-6b Measures	CL5-6b Measure's Objective	Output	Relation within CL5-6b Measures and Outputs
	OB7-9.CL6b.A3 (Call 3) Pilots of e-trucks and e-cargo bike services	To carry out pilots e-trucks and e-cargo bike services, including consolidation and optimisation activities	CL6b.OUT9 6 projects selected	Implementation case of OB7.5A1 for logistics
	OB9.CL5.A2 Re-design of key streets, open spaces and multi-modal nodes and destinations	To enhance multi-modal hubs, referred to as Slimme Schakels (Smart Links)	CL5.OUT10 Specifications of the pilot action	Contributed by OB6 City Integrator
	OB9.CL5.A3 Inclusive MaaS solutions	To test the effects of imposing agreed policy KPIs for service providers to enhance use among vulnerable groups and push e-mobility	CL5.OUT11 Specifications of the pilot action	
	OB9.CL5.A4 Explore potential of non-transport solutions	Piloting of flexworking in cooperation with co-working spaces – Bar D'Office and Fridaycowork	CL5.OUT12	
	OB9.CL5.A5 Accelerating delivery of Living Street solutions	To convert about 50 streets currently open to car traffic to car-free pedestrian areas in the next 2 years, using 'light' and fast solutions such as painting	No specific output	Linked with OB9.CL5.A2

Identification of CL key outputs for evaluation

CL5-6a key Outputs	Contributing CL5-6a Measures	Contributing CL5-6a Outputs
CL5.OUT1 Note on enhancing intermunicipal relationships in European metropolitan areas	OB4. Enhancing intermunicipal relationships within the region OB6. Mobility Forum (CL5)	CL5.OUT2 Knowledge sharing webinar with some of the identified good practices
CL6b.OUT5 Scenarios' development	OB7.5.A6 Enhanced coordination with strategic business sector (retail) and partners (logistics) OB6. Mobility Forums, City Integrator and Citizens Engagement Platform (CL6b)	CL6b.OUT3 Identification (as section of Deliverable D3.3) of how SUMP & Sulp are being integrated, from a governance point of view, with a specific focus on retail and logistics outside the port area CL6b.OUT4 Knowledge sharing webinar with external cities CL6b.OUT6 Antwerp Transport Region Freight Route Network-Plan
CL5.OUT7-8, CL6b.OUT9 Process for managing the preparation and launch of calls through the marketplace. Assessment of related business models	OB7-9 Undertake dedicated Marketplace for Mobility call	
CL5.OUT10 Re-design of key streets, open spaces and multi-modal nodes and destinations	OB6 Engagement (City Integrator - CL5) OB9.CL4.A5 Accelerating delivery of Living Street solutions	
CL5.OUT11 Inclusive MaaS solutions	OB9.CL5.A3 Inclusive MaaS solutions	
CL5.OUT12 Explore potential of non-transport solutions	OB9.5.A4 Explore potential of non-transport solutions	

Evaluation methods for CL measures

CL5-6a key Activities	Evaluation Methods
CL5.OUT1 Note on enhancing intermunicipal relationships in European metropolitan areas	Process [X]
CL6b.OUT5 Scenarios' development	Process [X]
CL5.OUT7-8, CL6b.OUT9 Process for managing the preparation and launch of calls through the marketplace. Assessment of related business models	Process [X]
CL5.OUT10 Re-design of key streets, open spaces and multi-modal nodes and destinations	Process [X]
CL5.OUT11 Inclusive MaaS solutions	Process [X]
CL5.OUT12 Explore potential of non-transport solutions	Process [X]

Annex 6 – Lucca Evaluation Plan

CL6a – Lucca

Strengthening sustainable logistics' role in SUMP's in and beyond city centres

CL Leader Partner: Municipality of Lucca

Local Evaluation Manager: Pamela Salvatore

Framework of CL measures

OB4. Governance
Revision of governance structure as framework conditions to integrate SUMP-SULP at city level and city SUMP-SULP with the SUMP at Shire level
OB6. Engagement
Undertake citizen and stakeholder engagement about planning integration activities and innovative solutions for the city centre
OB7. Partnerships&Business Models
Enhanced coordination with strategic business sector (retail) and partners (logistics) to expand sustainable solutions to the Plain of Lucca
Improve process management at planning and implementation stages to enhance innovative forms of partnerships for sustainable city centre logistics
Business models outlined in the “innovation call” as dialogue between the Municipality and the logistics operators for further sustainability additions
OB9. Solutions
Feasibility Analysis of Smart Data Tool Exploitation'
Management of an “innovation call”
Study for the upscaling of logistics services to new geographical areas outside the city centre

Measures Cluster	CL6a Measures	CL6a Measure's Objective	Output	Relation within CL6a Measures and Outputs
OB4. Governance	Revision of governance structure as framework conditions to integrate SUMP and SULP at city level and city SUMP-SULP with the SUMP at Shire level	Identify the requirements in terms of governance coordination for SUMP/SULP integration	CL56a.OUT1 Technical Report and Recommendations for a coordinated integration of SUMP-SULP at city level and city SUMP-SULP with the SUMP at Shire level	Contributed by results of OB6 and OB9.6a.A4 Contributed by CL6a.OUT4 which will produce an annex to CL6a.OUT1
OB6. Engagement	Mobility Forum+Logistics Roundtable	To sustain coordination of SUMP/SULP at city level, to improve coordination amongst municipalities and wider consultation amongst of logistics operators and accelerate decision making on freight logistics and ecological travel modes in the city centre To create the context for systematic citizen involvement in the co-creation of mobility solutions	No specific output	Contributed by OB4 Results from the implementation of stakeholder engagement activities is included in CL6a.OUT1
	City Integrator		No specific output	
	Citizens Platform (survey+public meeting)		No specific output	

Measures Cluster	CL6a Measures	CL6a Measure's Objective	Output	Relation within CL6a Measures and Outputs
OB7. Partnerships & Business Models	OB7.6a.A1.2 Enhanced coordination with strategic business sector (retail) and partners (logistics) to expand sustainable solutions to the Valley of Lucca	To overcome institutional and organizational barriers supporting the geographical extension of new logistics solutions	Contribution to CL6a.OUT2 Logistics Roundtable	Supporting OB6 in particular linking with Mobility Forum
	OB7.6a.A1.3 Improve process management at planning and implementation stages to enhance innovative forms of partnerships for sustainable city centre logistics	Supporting preparation of implementation strategy, including coverage of legal / governance aspects	No specific output	Supporting OB6 in particular linking with City Integrator
	OB7-9.6a.A4 "Innovation call" for new solutions and business models, involving the private sector and social enterprises	To involve operators to identify innovative solutions for a more sustainable city logistics	Business models outlined in the "Innovation call"	CL6a.OUT2 Publication of "Innovation call"
OB9.Solutions	OB9.6a.A5 Upscaling of logistics services to new geographical areas outside the city centre	To identify solutions for a more sustainable logistics and transport processes in the plain.	CL6a.OUT3 Feasibility Study on upscaling of sustainable logistics approach	

Measures Cluster	CL6a Measures	CL6a Measure's Objective	Output	Relation within CL6a Measures and Outputs
	OB9.6b.A3 Feasibility Analysis of Smart Data Tool Exploitation	To analyse the possibility to extend and exploit the available systems (Aspire platform) and technologies (access control) to monitor other processes (e.g. vehicle movements by residents) inside the RTZ, in addition to the current logistics management	CL6a.OUT4 Feasibility Analysis of Smart Data Tool Exploitation	Annex to CL6a.OUT1

Identification of CL key outputs for evaluation

CL6a key Outputs	Contributing CL6a Measures	Contributing CL6a Outputs
<p>CL6a.OUT1 Technical Report and Recommendations for a coordinated integration of SUMP-SULP at city level and city SUMP-SULP with the SUMP at Shire level</p>	<p>OB4. Revision of governance structure</p> <p>OB6. Engagement</p> <p>OB7.6a.A1.2 Enhanced coordination with strategic business sector (retail) and partners (logistics)</p> <p>OB7.6a.A1.3 Improve process management at planning and implementation stages</p> <p>OB9.6a.A3 Feasibility Analysis of Smart Data Tool Exploitation</p> <p>OB7-9.6a.A4 “Innovation call” for new solutions and business models</p> <p>OB9.6a.A5 Upscaling of logistics services to new geographical areas</p>	<p>CL6a.OUT2 Publication of “Innovation Call”</p> <p>CL6a.OUT3 Feasibility Study on upscaling of sustainable logistics approach’</p> <p>CL6a.OUT4 Feasibility Analysis of Smart Data Tool Exploitation’</p>

Evaluation methods for CL measures

CL6a key Outputs	Evaluation Methods
CL6a.OUT1 Technical Report and Recommendations for a coordinated integration of SUMP-SULP at city level and city SUMP-SULP with the SUMP at Shire level	Process [X]