



ADDRESSING KEY CHALLENGES OF SUSTAINABLE URBAN MOBILITY PLANNING

The SUMP Self-Assessment Tool: assess your plan's compliance with the EU's SUMP Guidelines

Third European Conference on SUMP, 22 March 2016

D. Planning Techniques

D3 'The role of assessment tools in SUMP preparation and evaluation'

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The SUMP Self-Assessment

- **European SUMP policies** – what is the context and why is there a need for quality control in SUMP development?
- **Demonstrating SUMP compliance** - how to apply the SUMP Self-Assessment tool?
- **Measuring progress** – why is the Self-Assessment of interest at European and Member State levels?
- **SUMP capacity building** – how is the Self-Assessment integrated into a wider SUMP learning environment?



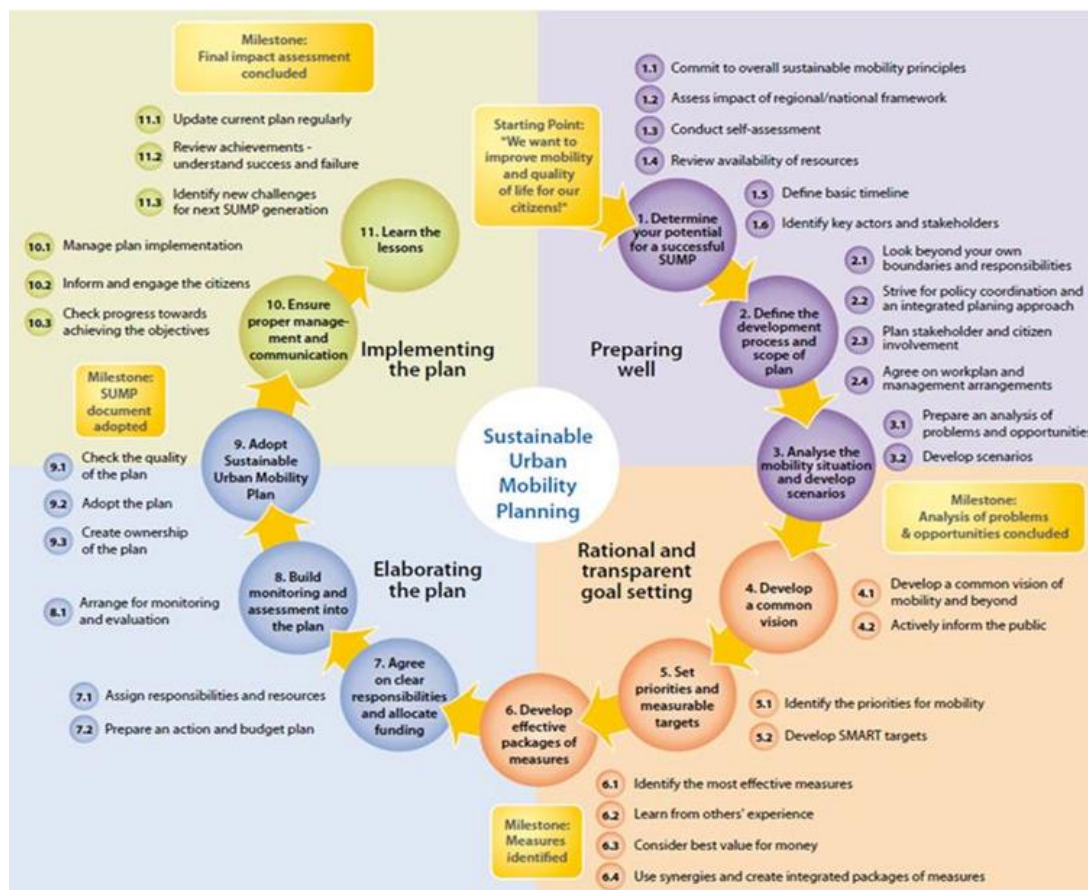
What is the policy context of Sustainable Urban Mobility Plans (SUMP)?

- European Commission's recommendation to develop SUMPs: **Urban Mobility Package, COM(2013) 913, Annex 1**
- **SUMP Guidelines, Jan 2014**
- <http://www.eltis.org/mobility-plans>
- **SUMP-Projects** (e.g. CHALLENGE)
- **SUMP Coordination Platform and Annual SUMP Conference**



Key characteristics of a SUMP

Urban Mobility Package, Annex 1:



- Long-term **vision** and clear implementation plan
- **Assessment** of current and future performance
- Balanced and integrated development of **all modes**
- Horizontal and vertical **integration**
- **Participatory** approach
- **Monitoring**, review, reporting
- **Quality** assurance

Why do we need a SUMP Assessment?

- European Commission's **Urban Mobility Package** (2013, Annex 1):
*"Local Planning Authorities should have **mechanisms to ensure the quality and validate compliance** of the Sustainable Urban Mobility Plan with the requirements of the Sustainable Urban Mobility Plan concept"*
- Various **Operational Programmes** in the EU's Structural and Investment Funds require local authorities to develop Sustainable Urban Mobility Plans
- On which basis is compliance of a mobility plan with EU Guidelines judged? What are the **criteria and mechanisms** of approval?

Cities, their stakeholders as well as Member States and European institutions require a **clear set of criteria** to decide whether a given plan does indeed meet the criteria of an "SUMP", as set out by the European Commission.

How to ensure SUMP compliance with European guidelines?



- Local authorities and other stakeholders need a tool to assess the compliance of a SUMP with European requirements, based on the **EC's SUMP concept** and **Guidelines** as presented in the **Urban Mobility Package**

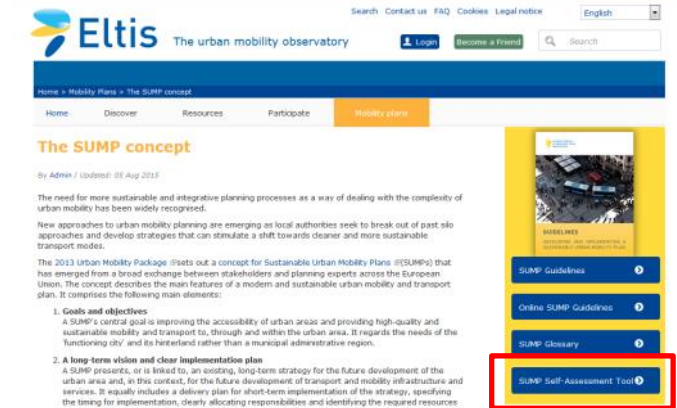
Urban Mobility Package: COM(2013) 913 final,
Annex 1: A Concept for Sustainable Urban Mobility Plans

How we developed the Self-Assessment Tool

- SUMP Group at Rupprecht developed an **assessment concept** (first applied for quality certification of Vienna's SUMP, recently for Constanta and Brasov)
- Cooperation with **DG MOVE** and **EASME** on **Self-Assessment** concept and promotion via CHALLENGE
- Test phase to **ensure quality**
 - 19 completed SUMP Self-Assessments
 - detailed quality assessments by 12 experts (cities, academia, consultants; ten countries; mainly from CHALLENGE, CiViTAS)
 - few issues raised, mostly wording, terminology
 - text revisions, glossary and links to ELTIS added before publication
- **Now:** 164 users have visited/ taken the assessment of which more than 60 came from planning authorities in Europe and beyond.

The SUMP Self-Assessment Scheme

- A tool to assess the compliance of a SUMP with EU requirements, based on the **EC's SUMP concept and Guidelines** as presented in the Urban Mobility Package

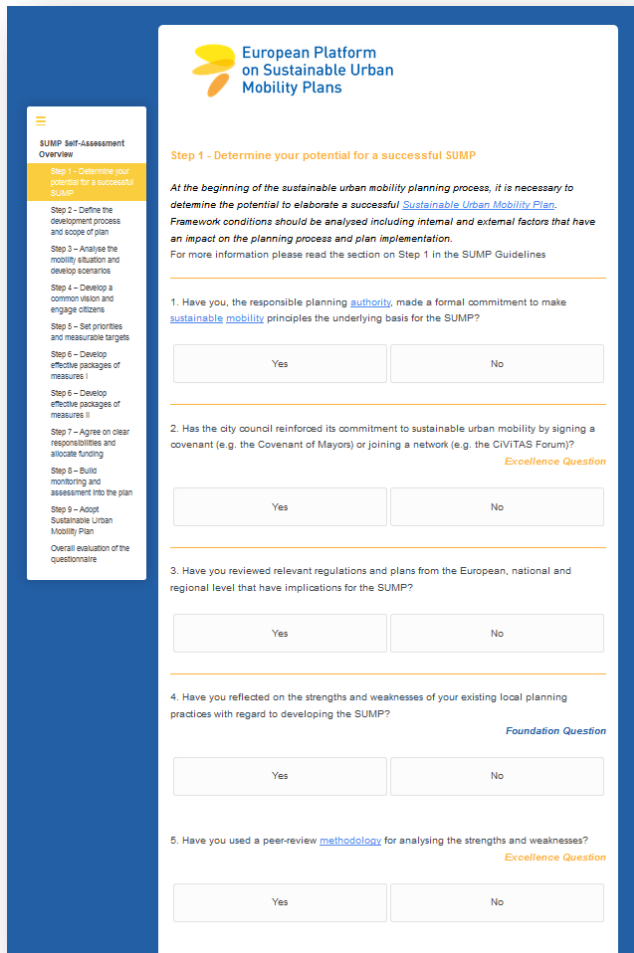


- An **online self-assessment** that planners can take at their own pace
- A **free to use** tool for planning authorities: Creative Commons license, "attribution, non-commercial, no derivatives"
- A **clear and transparent** concept that is publically available



The SUMP Self-Assessment Scheme

- An assessment of the SUMP preparation **process** and of the **plan's content** (only checking whether essential policy areas are covered, not their content)
- A simple concept of **100 questions** balanced across the SUMP characteristics
- A system that allows **anonymous assessment** as well as **comparison** with peer cities; all city data fully confidential!



The screenshot shows the 'European Platform on Sustainable Urban Mobility Plans' SUMP Self-Assessment Overview page. It features a sidebar with a table of contents for steps 1 through 9. The main content area is titled 'Step 1 - Determine your potential for a successful SUMP'. Below the title, there is an introductory paragraph: 'At the beginning of the sustainable urban mobility planning process, it is necessary to determine the potential to elaborate a successful Sustainable Urban Mobility Plan. Framework conditions should be analyzed including internal and external factors that have an impact on the planning process and plan implementation. For more information please read the section on Step 1 in the SUMP Guidelines'. The questionnaire consists of five numbered questions, each with 'Yes' and 'No' response buttons. Question 1 asks about formal commitment to sustainable mobility principles. Question 2 asks about city council reinforcement of commitment. Question 3 asks about reviewing regulations. Question 4 asks about reflecting on strengths and weaknesses of existing local planning practices. Question 5 asks about using peer-review methodology. Questions 1, 2, and 5 are marked as 'Excellence Question', while question 4 is marked as 'Foundation Question'. The overall evaluation of the questionnaire is mentioned at the bottom of the sidebar.

Structure of the questionnaire

100 questions are structured along

- the **nine steps** required by the SUMP Guidelines for the completion of a SUMP



SUMP Characteristics

- Each question is labelled with a "**SUMP characteristic**":
 - defined to **characterise** "SUMP" (Urban Mobility Package)
 - used to identify **strengths** and **weaknesses**



- Long-term **vision** and clear **implementation** plan
- **Participatory** approach
- Balanced consideration of all **transport modes**
- Sectoral, vertical and spatial **integration**
- **Assessment** of current and future performance & cost-benefit analysis
- **Monitoring**, plan revision and reporting

Scoring of SUMP Self-Assessment

- Questionnaire comprises a total of **100 yes-no questions**
- Each question represents **one point** (i.e. max. score: 100 points)



15 Excellence Questions

identifying **front-runners**

- **Excellence Questions:** criteria particularly advanced cities might meet, awarding plans and processes of exceptionally high quality

13 Foundation Questions

setting a **minimum level** of SUMP compliance

- **Foundation Questions:** basic compliance requirements, minimum SUMP criteria

Score ranges and SUMP classification

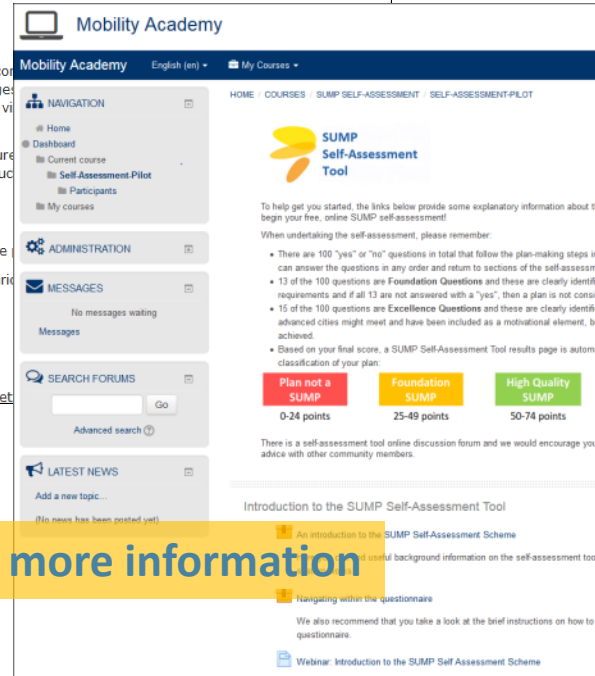
- The final score translates into a SUMP classification

Plan not a SUMP	Foundation SUMP	High Quality SUMP	Excellent SUMP
Plan not a SUMP 0-24 points	The planning process does not sufficiently comply with the SUMP concept and the resulting plan should not be considered a Sustainable Urban Mobility Plan.		
Foundation SUMP 25-49 points	A planning process based on the SUMP principles has been followed and the resulting plan meets the criteria of a Sustainable Urban Mobility Plan.		
High Quality SUMP 50-74 points	A planning process in strong compliance with the SUMP principles has been followed and the resulting plan is a Sustainable Urban Mobility Plan of high quality.		
Excellent SUMP 75-100 points	A planning process with a very good compliance with the SUMP principles has been followed and the resulting plan is a Sustainable Urban Mobility Plan of excellent quality.		

How to get started with SUMP Self-Assessment?

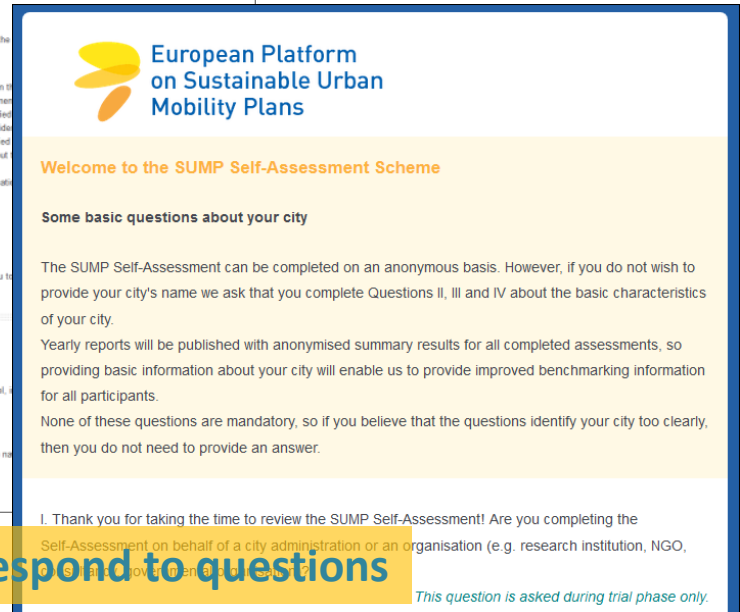


www.eltis.org/mobility-plans/theSUMPprocess



www.mobility-academy.eu/SUMP

2. Get more information



The screenshot shows the European Platform on Sustainable Urban Mobility Plans website. The main content area is titled "European Platform on Sustainable Urban Mobility Plans" and includes a sub-header "Welcome to the SUMP Self-Assessment Scheme". The main content area has a sidebar with "NAVIGATION", "ADMINISTRATION", "MESSAGES", "SEARCH FORUMS", and "LATEST NEWS". The main content area has a header "European Platform on Sustainable Urban Mobility Plans" and a sub-header "Welcome to the SUMP Self-Assessment Scheme".

3. Respond to questions

- 1. Start at Eltis
- Step 4: Develop a common vision
- Step 5: Set priorities and set measurable targets
- Step 6: Develop effective packages of measures
- Step 7: Agree on clear responsibilities and allocate budget

How to get started with SUMP Self-Assessment?



22 Sep 2015

SUMP Self-Assessment Scheme City ABC

Overall score: 78 out of 100.



Congratulations, based on the answer you have provided, your city is an **Excellent Sustainable Urban Mobility Plan**.

A planning process in full compliance with the SUMP concept has been undertaken and the resulting plan is of excellent quality.

Foundation and Excellence Questions

You have answered Yes to 13 out of 13 Foundation Questions. These questions test the basic requirements a city must meet with the SUMP concept.

You have answered Yes to 10 out of 15 Excellence Questions. These questions highlight planning activities that can motivate and award processes and plans of excellence.

SUMP Cycle Steps

The table below provides a breakdown of your score in relation to the main characteristics of a SUMP.

Step	Your Score	Max. Score
1 - Determine your potential for a successful SUMP		
2 - Define the development process and scope of the plan		
3 - Analyse the mobility situation and develop scenarios		
4 - Develop a common vision and engage citizens		
5 - Set priorities and measurable targets		
6 - Develop effective packages of measures	28	28
7 - Assign clear responsibilities and allocate funding	0	6
8 - Build monitoring and assessment into the plan	0	11
9 - Adopt Sustainable Urban Mobility Plan	2	7
Total	78	100

SUMP Characteristics

The table below provides a breakdown of your score in relation to the main characteristics of a SUMP.

SUMP Characteristic	Your Score	Max. Score
Long-term vision and clear implementation plan	11	17
Participatory approach	14	16
Balanced consideration of all transport modes	17	17
Sectoral, vertical and spatial integration	14	16
Assessment of current and future performance & cost-benefit analysis	17	18
Monitoring, plan revision and reporting	5	16
Total	78	100

4. Receive detailed feedback

5. Improve your process, compare with other cities



Practical use of the SUMP Self-Assessment

- As an **ex-post assessment**: after SUMP process has been finalised and the plan is approved
- But can be used for additional purposes:
 - During **plan preparation** to check the likely compliance or to guide the development process
 - For the **evaluation** of an earlier mobility plan
 - For national, European stakeholders to track **implementation status** of the SUMP concept
- **Guidance** for authorities planning to develop a SUMP ("SUMP minimum requirements")

Measuring progress – why is the Self-Assessment of interest at European and Member State levels?



- Long-term aim is to help **ensure quality** of SUMP processes and plans and maintain the **integrity** of the SUMP concept.
- Use as a **quality verification tool** for Member States and Operational Programmes (ESIF, EBRD) [following cooperation agreement]
- **SUMP status monitoring tool** of aggregated assessment results (planned)
 - Anonymised benchmarking information
 - In-depth analyses of assessment results across Europe's regions, against SUMP characteristics, SUMP development steps etc.
 - Examples: [snapshot from test phase, only for illustration]
 - Average score during test phase of "73", but 9 cities failing on "foundation questions"
 - "Assessment of performance and cost-benefit analysis" is weakest area



SUMP Self-Assessment: Part of a learning environment



Step 6 - Develop effective packages of measures I

The development of effective packages of measures is at the core of sustainable urban mobility planning. Only well-selected measures will contribute to the achievement of the agreed vision, objectives and targets. The selection of measures should build on discussions with key stakeholders, consider experience from other places with similar policies, ensure value for money and exploit as much as possible synergies between measures. Essentially, at this stage, measures are identified in response to the questions: what, how, where and when?

For more information please read the section on [Step 6](#) in the SUMP Guidelines

49. Does the [SUMP](#) make clear how the selected [measures](#) will contribute to the achievement of the agreed [vision](#), [objectives](#) and [targets](#)?

Foundation Question

Yes	No
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50. Have you discussed [measure](#) identification and selection with a group of [key stakeholders](#)?

Yes	No
-----	----

51. Have you informed [stakeholders](#) and [citizens](#) about the process of [measure](#) identification and selection and invited them to provide feedback?

Yes	No
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52. Have you enabled [stakeholders](#) and [citizens](#) to get actively [involved](#) in discussing the identified [measures](#)?

Excellence Question

Online SUMP Guidelines

SUMP Glossary

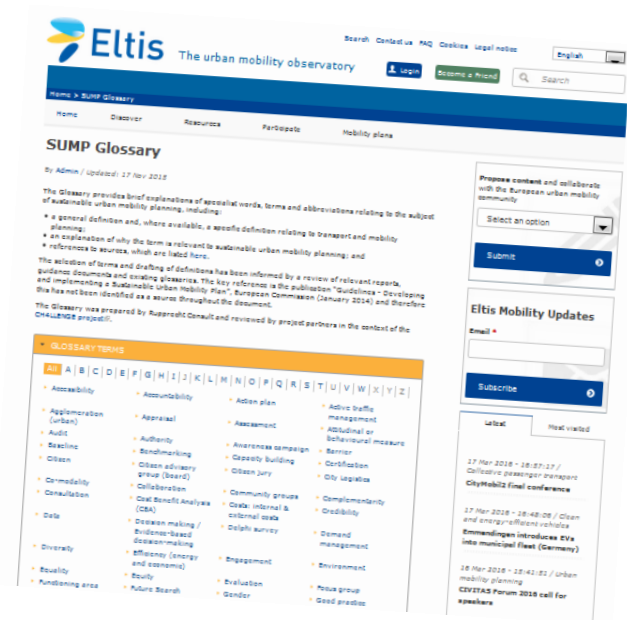
Online courses

- SUMP Self-Assessment Overview
- ✓ Step 1 - Determine your potential for a successful SUMP
- ✓ Step 2 - Define the development process and scope of plan
- ✓ Step 3 - Analyse the mobility situation and develop scenarios
- ✓ Step 4 - Develop a common vision and engage citizens
- ✓ Step 5 - Set priorities and measurable targets
- ✓ Step 6 - Develop effective packages of measures I
- Step 6 - Develop effective packages of measures II
- Step 7 - Agree on clear responsibilities and allocate funding
- Step 8 - Build monitoring and assessment into the plan
- ✓ Step 9 - Adopt Sustainable Urban Mobility Plan



SUMP Glossary

- Provides a brief explanation of specialist terms relating to sustainable urban mobility planning and the four key challenges
- More than 120 SUMP terms!
- Available at Eltis Urban Mobility Observatory
- Integrated into online version of the SUMP Guidelines and Self-Assessment Scheme



See you at the CH4ALLENGE stand!



Der Senator für Umwelt,
Bau und Verkehr



Freie
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3rd European Conference on Sustainable Urban Mobility Plans

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