

Participation

Actively engaging citizens and stakeholders in the development of Sustainable Urban Mobility Plans



Funded by the Intelligent Energy Europe
Programme of the European Union



This publication has been developed within the European project **CH4LLENGE “Addressing Key Challenges of Sustainable Urban Mobility Planning”**, co-funded by the European Commission and coordinated by Rupprecht Consult.

The CH4LLENGE Consortium consisted of the following partners: Rupprecht Consult (DE), Institute for Transport Studies, University of Leeds (UK), Politehnica University of Timisoara (RO), Urban Planning Institute of the Republic of Slovenia (SI), The Association for Urban Transition (RO), Promotion of Operational Links with Integrated Services, Polis (BE), Union of the Baltic Cities, Sustainable Cities Commission (FI), FGM-AMOR (AT), City of Amiens (FR), City of Dresden (DE), City of Ghent (BE), West Yorkshire Combined Authority (UK), City of Brno (CZ), BKK Centre for Budapest Transport (HU), City of Krakow (PL), City of Timisoara (RO), City of Zagreb (HR).

For more information

European Platform on Sustainable Urban Mobility Plans

www.eltis.org/mobility-plans

E-mail: enquiries@mobilityplans.eu

European Commission

Directorate-General for Mobility and Transport

Unit C.1 - Clean transport & sustainable urban mobility

Rue Jean-André de Mot 28

B-1049 Brussels

The sole responsibility for the content of this publication lies with the authors. It does not necessarily reflect the opinion of the European Union. Neither the EASME nor the European Commission is responsible for any use that may be made of the information contained therein.

Contract: CH4LLENGE – Addressing Key Challenges of Sustainable Urban Mobility Planning,
Grant Agreement No IEE/12/696/SI2.644740
Title: CH4LLENGE Participation Manual: Actively engaging citizens and stakeholders in the development
of Sustainable Urban Mobility Plans
Version: March 2016
Authors: Miriam Lindenau and Susanne Böhler-Baedeker, Rupprecht Consult
Contributors: Ana-Maria Baston, Siegfried Rupprecht, Tim Durant and Kristin Tovaas, Rupprecht Consult;
Kerstin Burggraf, City of Dresden; Anthony May, Institute for Transport Studies, University of Leeds
Layout: Laura Sarlin, Union of the Baltic Cities Sustainable Cities Commission
Cover picture: Miriam Lindenau, Rupprecht Consult (interactive mapping with citizens in the City of Dresden)

This publication is subject to the copyright of the CH4LLENGE Consortium and its authors and contributors Rupprecht Consult Forschung & Beratung GmbH, Institute for Transport Studies, University of Leeds and the City of Dresden.



Contents

Planning for sustainable urban mobility in Europe	4
1 Introduction	5
1.1 About the manual	5
1.2 Planning for sustainable urban mobility	5
1.3 Participation – the challenge in a nutshell	7
1.4 Key recommendations for participatory mobility planning	7
2 State of the Art	9
2.1 Conducting a participation process in sustainable urban mobility planning	9
2.2 Why is participation important?	10
2.3 Participation in Europe	11
2.4 Common challenges in participation	12
3 From theory to practice	14
3.1 Groundwork for participation	14
3.1.1 How to integrate participation into the SUMP development process	14
3.1.2 How to prepare for participation	18
3.1.3 How to develop an engagement strategy	19
3.2 Connections for participation	20
3.2.1 How to identify participants for a participation process	20
3.2.2 How to select tools for involvement	23
3.2.3 How to raise awareness for the SUMP participation process	32
3.3 Participation processes	36
3.3.1 How to manage the participation process	36
3.3.2 How to manage conflicts	40
3.3.3 How to engage “hard-to-reach” groups	42
3.4 Evaluation of participation	44
3.4.1 How to establish quality and control procedures	44
3.4.2 How to evaluate the participation process	45
4 Expand your horizon	47
5 References	48
6 Key terminology	50



Planning for sustainable urban mobility in Europe



Dear reader,

The European Commission is committed to help national, regional and local authorities develop sustainable, people-focused urban mobility and have European actors take the global lead in this field.

Planning sustainable and effective transport systems for Europe is fundamental to reducing our impact on climate, and contributing to the emission reduction goals adopted in the 2015 Paris Agreement. More strategic and integrated planning approaches are required to transform the existing energy- and carbon-intensive transport systems into sustainable mobility networks and help reaching climate-neutrality before the end of the century. Providing effective, inclusive and climate-friendly urban transport infrastructure is crucial for achieving functioning, competitive cities in Europe and ensuring their resilience in the long-term.

Over the past several years, the European Commission has established a sound policy basis for the development of Sustainable Urban Mobility Plans with the Transport White Paper, Action Plan on Urban Mobility, and most recently, the Urban Mobility Package. We are aware of the demanding nature of sustainable urban mobility planning and planning authorities' need for further, practical support in integrating their long-term thinking into strategic transport planning frameworks.

Therefore, it is my great pleasure to present four freshly developed publications, which provide comprehensive guidance on four of the core pillars of sustainable urban mobility planning: actively engaging people and stakeholders in the SUMP development and implementation process; encouraging cooperation among institutional actors and addressing transport's interconnection with other aspects of urban life; selecting the most effective packages of measures from a wide range of sustainable mobility policies available; and finally, strengthening plan delivery through comprehensive monitoring and evaluation of SUMP measures and processes.

Cities across Europe are subject to a variety of contextual differences and therefore facing unique local challenges – what unites them is the overall aim to take sound and sustainable policy decisions that create vibrant urban landscapes, promote economic growth, foster social and cultural exchange, and offer residents the highest possible quality of life. Urban mobility is one of the cornerstones to achieve these aims. It will require joint efforts over the next years to pave the way for better and more integrated mobility planning in Europe. At all levels we will need to act together to steadily improve our transport systems, mitigate adverse impacts of transport and advance the environmental, social, and economic vitality of urban areas across Europe.

It is great to see you, as reader of these manuals, being part of our team and I am convinced that, together, we can deliver!

Violeta Bulc

European Commissioner for Mobility and Transport
March 2016



1 Introduction

1.1 About the manual

There is a strong interest from planners and decision-makers in applying the SUMP concept and initiating a paradigm shift towards sustainable urban mobility development.

A set of four manuals has been designed to support mobility practitioners in improving local transport planning processes and conducting quality SUMP preparation. They are targeted at transport planners who need to develop a SUMP and are looking for methods and approaches most appropriate in their given context.

Focussing on the planning process, the four manuals are dedicated to providing practical advice underpinned by city examples on: cooperating with institutional stakeholders; engaging the public in the SUMP development process; selecting measures and measure packages; and carrying out monitoring and evaluation tasks.

The manuals focus on the most relevant and challenging elements of each task. There is not only one 'correct' method, but a variety of approaches due to the different contextual conditions in which planning processes are taking place. In this sense this manual is not prescriptive but presents a wide range of solutions for the development of a Sustainable Urban Mobility Plan under different local and national planning frameworks.

As there are various approaches to improving sustainable urban mobility planning, the challenge addressed in this manual should always be considered in the context of the other three challenges detailed in the other supporting manuals.

The first part of the manual gives information on the understanding of the challenge in the context of sustainable urban mobility planning, its relevance in the SUMP development process and the barriers planning authorities face when engaging citizens and

stakeholders in transport planning. The second and core part of the manual presents recommendations, methods and approaches as well as local case study examples of how best to tackle identified local "hot topics". The final section directs the reader to more interesting material for further reference.

We are convinced that a high-quality SUMP process increases the probability of high-quality transport planning solutions. This manual should contribute to more effective and efficient integrated planning processes, creating the basis for the transition to a more sustainable transport system in European cities.

1.2 Planning for sustainable urban mobility

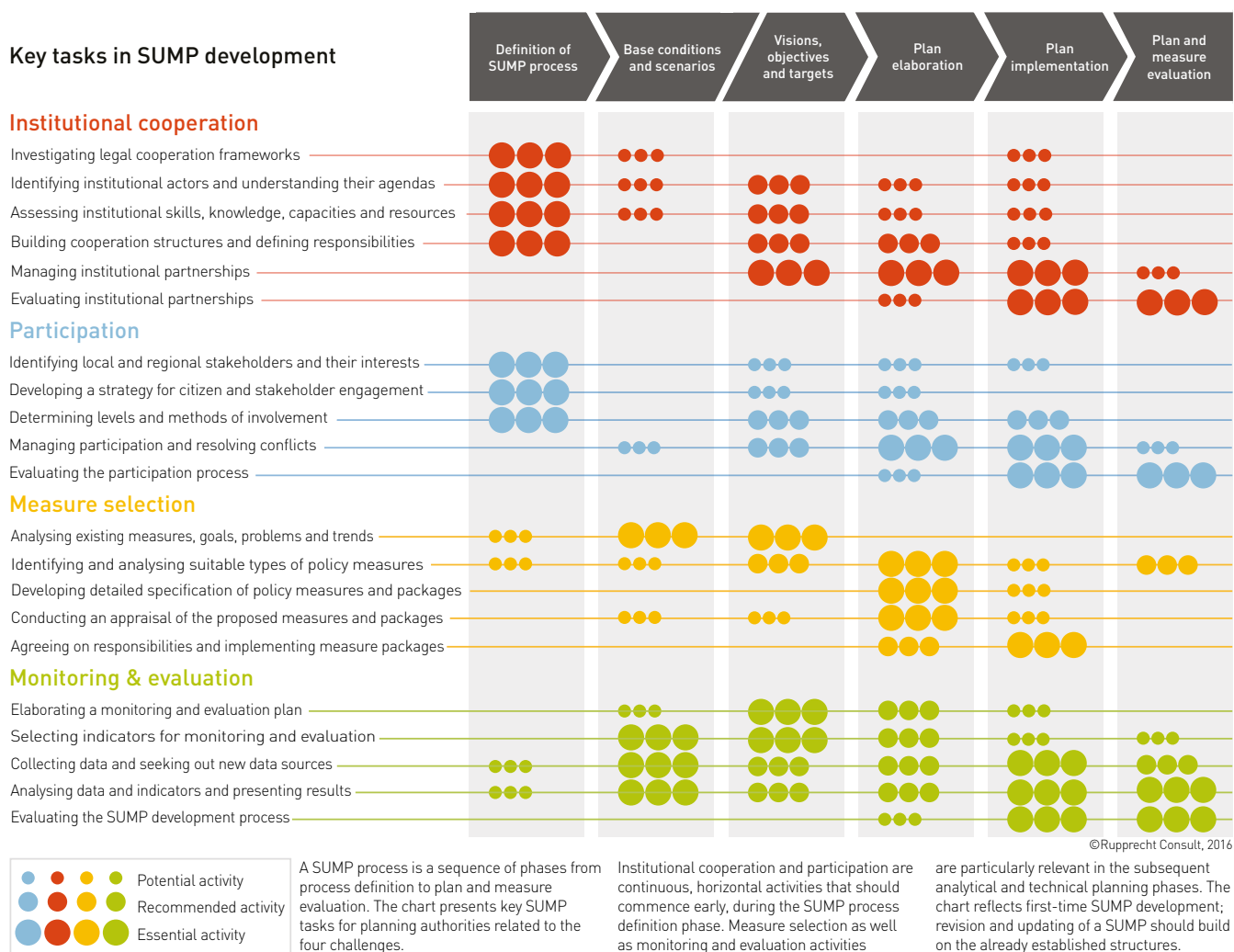
A Sustainable Urban Mobility Plan (SUMP) is a strategic planning instrument for local authorities, fostering the balanced development and integration of all transport modes while encouraging a shift towards more sustainable modes. A Sustainable Urban Mobility Plan aims to solve urban transport problems and contribute to reaching local and higher-level objectives for environmental, social and economic development.

Developing a Sustainable Urban Mobility Plan is a complex, integrated planning process requiring intensive cooperation, knowledge exchange and consultation between planners, politicians, institutions, local as well as regional actors and citizens. At all levels of government, activities have been deployed to support the concept, but several challenges currently inhibit the Europe-wide uptake of sustainable urban mobility planning. Making budgets available and addressing infrastructure issues are especially difficult in times of economic austerity. As a result, cities often face multidimensional challenges in delivering sustainable urban mobility planning. At the same time, there is no one-size-fits-all solution to increasing the number of SUMPs prepared, due to the great variety of local planning contextual conditions in Europe.

The development of a Sustainable Urban Mobility Plan is a multi-faceted planning process that involves various steps and activities, as for example presented in the SUMP cycle (see Rupprecht Consult 2014, p. 15). Figure 1 illustrates that all planning activities of such a process are associated with cooperation, participation, measure selection as well as monitoring and evaluation. Some of these activities relate to specific phases of the plan

development process, while others might be carried out once and then run continuously throughout the process, such as the identification of local and regional actors. Overall, practitioners need to be aware of the four challenges in order to conduct an effective and efficient SUMP process with the aim of achieving a high-quality SUMP.

Figure 1: Key tasks in the SUMP development process
Source: Rupprecht Consult, 2016





1.3 Participation – the challenge in a nutshell

A SUMP sets out a programme with goals and priorities for the long-term development of a city's transport system. A plan-making process in which decisions of such strategic importance for a city and its inhabitants are taken needs to be rational, transparent and deliberate. It should not be driven by selected individuals, but by those who are at the heart of this transport system: the civil society. A transition towards sustainable mobility requires active support from the public and stakeholders if successful, viable strategies are to be found.

Planning authorities need to reject a 'decide – announce – defend' approach and open up urban mobility development for debate. A dialogue-based participation process is crucial for the joint analysis of local mobility problems, development of common objectives and targets, identification of mobility strategies and selection of measures that are widely accepted and supported. While there are clear benefits from participation, there are also challenges to running an effective participation process in SUMP development and implementation. Some planning authorities lack understanding to conduct legitimate participation which reflects basic democratic principles and takes lay and expert knowledge seriously. Furthermore, planning authorities often face limitations in financial and personnel resources required for SUMP development, let alone for participation. Various skills and substantial know-how are needed to plan and carry out participation activities. These need to be coordinated with other SUMP-related activities, and inputs from citizens and stakeholders need to be fed back into technical planning and political decision making. A wide range of involvement techniques is available from which a planning authority needs to find a suitable combination. Further, it needs to guide and facilitate the discursive planning process, react adequately to conflicts that may arise and ensure constant monitoring and quality control.

While Chapter 2 outlines the current understanding of benefits and challenges of participation in SUMP development, Chapter 3 suggests practical approaches to conducting effective, meaningful participation in sustainable urban mobility planning.

1.4 Key recommendations for participatory mobility planning

The practical approaches in Chapter 3 can be encapsulated in key recommendations for planning authorities in conducting successful participation. These are listed below with a reference to the sections in which each is addressed.

- Identify clearly the stages in the SUMP cycle for which participation will be pursued, and the participation methods suitable to each. The participation concept should be appropriate to the local context, planning experience, resources and capacities (3.1.1, 3.2.2)
- Identify engagement skills and know-how available within the authority and decide whether internal capacity building or hiring external support for participation is required (3.1.2, 3.1.3)
- Develop a participation strategy to create a common understanding of the participation process and its objectives among the actors involved, facilitate coordination and anticipate challenges early (3.1.2, 3.1.3)
- Reflect the range of stakeholders and demographic diversity who are affected by and/ or affect the development and implementation of the mobility plan, and who should thus be involved in the participation strategy. This also includes groups that tend to be difficult to engage with when developing a SUMP (3.2.1, 3.3.3)



SUMP Information Centre in Dresden (with survey on future modal split)
Photo: City of Dresden

- Review in-person and online involvement tools available for participation and select the most appropriate method(s) for each stage in the SUMP cycle and each group of participants (3.2.2, 3.2.3)
- Be clear and open about the SUMP development process and transparent about how decisions will be taken. Dialogues should be open and respectful while accepting that it will not necessarily be possible to pursue every suggestion made (3.2.2, 3.3.1, 3.3.2)
- Choose an appropriate approach to record, review and incorporate inputs from citizens and stakeholders (3.3.1, 3.4.1)
- Be conflict-sensitive throughout the planning process. Conflict prevention actions should be taken to reduce the risk for dispute and lower tensions (3.3.2)
- Conduct monitoring and quality control of engagement activities to track progress towards reaching the participation objectives and to take corrective actions as needed (3.4.1)
- Critically review the effectiveness of the participation strategy in order to enhance participation in future SUMPs (3.4.2)



2 State of the Art

Involving stakeholders and the public is one of the fundamental requirements of sustainable urban mobility planning. The public has local knowledge and can provide expertise and opinions which contribute to the development of effective plans and measures. Furthermore, involvement encourages citizens and stakeholders to take ownership of sustainable mobility ideas, transport policies and projects.

Overall, participation has an important function in democratically organised societies. If carried out properly, it has the potential to increase the quality of the SUMP, as it ensures that different interests and requirements of society are heard and addressed in the decision making processes.

The goal for a participatory process is to ensure an efficient process in which all participants are heard, understood and relevant considerations are taken into account, leading to a plan document that is consistent with the outcome of the consultation process.



French Student Poster. In English, I participate; you participate; he participates; we participate; you participate . . . They profit.

French student poster
Source: Arnstein, 1969

2.1 Conducting a participation process in sustainable urban mobility planning

Participation should involve citizens and stakeholder groups in planning processes and policy decision making. A “stakeholder” may be a group or organisation affected by a proposed plan or project, or who can affect a project and its implementation (Rupprecht Consult, 2014). Public involvement usually refers to engaging the citizens in planning and decision making. While stakeholders usually represent positions of organised groups and have a collective interest, citizens are individual members of the public and unaffiliated participants in the involvement process (Kahane et al, 2013). However, distinctions between stakeholders and citizens are blurred since citizens can also be considered a large stakeholder group; citizens can belong to various sub-groups of stakeholders; and a stakeholder representative is also a citizen.

The planning authority needs to define the level to which citizens and stakeholders will deliberate in SUMP decision making. Several classifications have been developed over the past decades that grade different levels of involvement (such as the Ladder of Citizen Participation by Sherry R. Arnstein). A widely used classification is ‘inform, consult, involve, collaborate, empower’ (IAP2, 2007):

Inform: Citizens and stakeholders are provided with timely information about the outcomes of all stages of SUMP development. However, just informing the public does not constitute participation!

Consult: The planning authority informs citizens and stakeholders about the SUMP process, listens to and acknowledges concerns and provides feedback on how public input influenced the decision. The inputs received in a consultation process are not necessarily directly reflected in final decision making.



Involve: The planning authority, citizens and stakeholders work together continuously throughout the SUMP stages. Issues and concerns are directly reflected, and participants are informed about how their input specifically influenced the decision.

Collaborate: The planning authority invites stakeholders to directly contribute their advice and innovative ideas for concrete solutions. It also requires a commitment from the planning authority to incorporate these inputs into the final decisions to the maximum extent possible.

Empower: The planning authority promises that it will implement what stakeholders or citizens decide. It should be noted though that if citizens and stakeholders have not been genuinely involved, this level of involvement may be at odds with democratic principles.



Living Streets project in Ghent
Photo: Dries Gysels

2.2 Why is participation important?

The engagement of stakeholders and citizens can improve the planning process by (see e.g. Krause, 2014; CEEA, 2008; Booth and Richardson, 2001):

- understanding the current problems as perceived by citizens and the objectives which they would wish the SUMP to address
- considering (new) ideas and concerns, improving the knowledge base and increasing the range of options
- creating a positive foundation for working with interested parties to build trust, resolve problems, make informed decisions and reach common goals
- revealing potentially unforeseen barriers or possible conflicts early in the process, thereby reducing costs during plan preparation and implementation
- increasing the public authority's transparency and accountability to the public throughout the planning process
- increasing the overall quality and credibility of decision making.

Whether those benefits can be achieved depends on how the participation process is actually conducted. If stakeholders and the public are engaged properly, participation has the potential to increase the quality of the plan. It also increases the probability of finding agreements and compromises which all participants find acceptable. Participation does not automatically lead to agreement among stakeholders; it is quite the opposite – disagreements need to be accommodated in the decision making process. What seems to be an additional effort could actually reduce delays and costs in both the planning and implementation phases and reduce the risks of the plan failing or facing strong opposition afterwards (see e.g. GUIDEMAPS, 2004). Last but not least, participation can create a greater sense of responsibility and buy-in among the involved politicians, planners, citizens and stakeholders (NCDD, 2009). A sense of ownership can evolve even if no final agreement for everybody has been achieved.



Public debate evening on SUMP in Brno
Photo: City of Brno

Another crucial topic in participation is the representation of different interests; as in many cases only certain powerful groups or the “familiar faces” are actually involved in the process. Participation means the inclusion of different types of participants throughout the planning process and also addressing specific requirements of each group involved. This especially concerns groups with less ability to articulate their concerns and groups with particular needs (e.g. people with disabilities, children and the elderly).

2.3 Participation in Europe

Stakeholder involvement and citizen participation practices in transport planning do vary across European countries and between cities. Several countries have formal, mandatory consultation procedures for medium and large scale transport projects, as well as for the development of transport plans and SUMPs (see e.g. CHALLENGE, 2015; Eltis, 2015). Local Transport Plans (LTPs), for example, which English local authorities are legally obliged to develop, require participation but have no prescribed procedure for the participation process. In France, there is a clear legal framework

for the development of urban mobility plans (Plan de Déplacement Urbains, PDU), and also for the involvement of institutional stakeholders; but it is not very demanding in terms of citizen involvement (CEREMA, 2015). In contrast to that, in Flanders, Belgium, the involvement of citizens in all local planning activities is set by law. A range of Belgian cities have gone beyond the required consultation procedures and developed new participation approaches and routines.

A number of countries in Europe have only limited experience in collaborative planning approaches and no or very limited procedures for involving citizens and stakeholders. The transport planning objectives in these countries usually relate to traffic flow capacity and speed, while accessibility, quality of life and social involvement were added only very recently to the cities’ transport agendas. The planning itself is still undertaken primarily by transport and technical experts while citizens and stakeholders are only informed about the planned developments, plans and projects, rather than being involved in the planning processes.

Box 1: The paradox of participation

The “paradox of participation” reflects that the interest of citizens is low in early planning phases when processes are still open and flexible (see e.g. Lindenau & Böhler-Baedeker, 2015). As soon as planning processes and proposals become more concrete and at the same time more inflexible, citizens’ interest increases as they now feel directly affected. Accordingly, one of the challenges for cities is to select different participation approaches and tools for different planning phases in order to raise interest and encourage early, active participation.



2.4 Common challenges in participation

As participation is still a novel task for many cities, it needs to be integrated into the overall management of planning processes, requiring a clear allocation of resources in terms of budget and staff time as well as a communication strategy. CH4LLENGE has observed different barriers that local authorities face when conducting an involvement process.

Gaining political support and building participation capacity

- **Lack of political support:** Politicians and political committees such as the mayor and the local council need to commit to an in-depth participation process and to taking the results into account in on-going and future decision making.
- **Insufficient capacities:** Cities often face limitations in institutional resources and difficulties in securing the staff required for participation. Resources needed for the internal administrative management process of participation, the set-up of dialogue structures and process organisation are often underestimated.
- **Inadequate financial resources:** A fixed budget that is dedicated to participation clearly helps in setting up the involvement procedures. However, in many European cities there is no budget reserved exclusively for citizen and stakeholder participation (specifically in transport planning). Where there is a budget, it is often one of the first to be cut when savings are necessary.
- **Involvement without strategy:** Experience has shown that the development of a participation strategy with a clear focus on the process and not the outcome is an important preparatory step. A certain degree of flexibility should be kept though, as the situation may change during the process. Without such a strategy, the purpose, aims and intensity of participation could remain unclear and unrealistic.

Achieving stakeholder diversity and raising awareness

- **Inconsiderate identification of stakeholders:** The success of a participation process depends heavily on the thorough identification of stakeholders which represent

the full spectrum of people and groups which could be influenced by or have an influence on the SUMP. Planning authorities might have a long history of cooperation with some actors but also need to be forward thinking and consider potential new stakeholders. If stakeholders are being overlooked or insufficiently addressed, planners might face unexpected interventions and conflicts with stakeholders jeopardising the process, or miss opportunities for cooperation.

- **Imbalance of stakeholders:** Some stakeholders tend to be hard-to-reach and might have been underrepresented in previous participatory processes. In order to ensure these groups' participation, specific involvement methods need to be applied. The challenge in the selection of groups and people is to find the right balance of representation of different interests and requirements.

Selecting and applying the right mix of involvement formats

- **Inappropriate levels and tools of involvement:** There is an array of participation techniques. It is helpful for the management process to identify the level and type of involvement for each stakeholder group, including the public, in advance. Selecting different participation approaches and tools for different planning phases will help to activate interest in participating in the earlier stages of SUMP development. Inappropriate approaches will mean the participation is ineffective and risk eroding public confidence.
- **Uncertainty about integration of results:** If participants cannot see evidence that their involvement is impacting the SUMP process, they will get the impression that relevant decisions have already been made and their views are not responded to. The planning authority needs to be clear and open on how and when suggestions from citizens and stakeholders will be integrated into the decision making process. It also needs to be transparent when decisions need to be taken by experts (e.g. on technical issues).



Public debate evening on SUMP in Ghent
Photo: City of Ghent

Managing the participation process

- **Underestimated administrative efforts:** It is the practical questions that are often marginalised but which are important for the management of participation processes. These include, for instance, questions of leadership across the departments involved, organisation of meetings, documentation of results, analysis of inputs, and communication with the public and the media. The efforts to manage a participation process and the time required for discussion as well as for the collection and analysis of inputs are often underestimated.
- **Lack of skills:** Creating an open and respectful atmosphere, encouraging people to get involved and share their views, resolving conflicts and ensuring a fair participation process require strong engagement skills. The planning authority has to determine whether staff members are well trained for participation and in which areas and phases they possibly need external support (e.g. by participation facilitators, communication experts).
- **Conflicts and interventions:** Participation can generate resistance from local authorities, as well as from stakeholders and citizens themselves. A planning authority cannot expect the public to accept the outcome; it is not even feasible to expect public agreement on the process. The challenge is to find a way of accommodating disagreement. Assuring the overall quality of the participatory process therefore requires both moderation of the discussion and mediation of potential conflicts.

For both sides, the planning authorities and the participants, participatory planning is still a new approach requiring a learning curve on both sides – a process that needs time and practice. The review and evaluation of participation processes and the ambition to test new approaches help to improve subsequent engagement work.



3 From theory to practice

The following chapter aims to provide planners with practice-based guidance, hints, tips and tricks for participatory SUMP development. It covers the preparatory steps required for designing a SUMP participation scheme, illustrates how to run a participation process with all its positives and challenges, and explains how to understand whether citizens and stakeholders have been effectively involved. Recommendations given in this chapter need to be adapted to the local context, i.e. a planning authority's local mobility situation, planning culture as well as experience in participation.

3.1 Groundwork for participation

A participation process requires careful preparation by the planning authority responsible for SUMP elaboration. This includes the development of a clear concept for how citizens and stakeholders will be involved in the different phases of the planning process and how participation activities will be coordinated with other SUMP-related activities and technical planning.

3.1.1 How to integrate participation into the SUMP development process

Participation should involve citizens and stakeholders throughout the planning process from the analysis of mobility problems to commenting on the final draft (and eventually its implementation) so that their valuable insights, opinions and proposals can be integrated into administrative and political decision making. The purpose of participation may vary between planning phases (e.g. collecting information, discussing viewpoints, taking joint decisions), and so may the target audience of activities and involvement techniques used.

Figure 2 illustrates opportunities for the involvement of citizens and stakeholders in different stages of the

SUMP process. Participation analyses conducted in CH4LLENGE show that there are different ways and levels for planning authorities to involve their citizens and stakeholders in SUMP development. For example, some cities separate citizens and stakeholders in terms of timing or format, while others decide to blend these two. The approach taken often depends on the local objectives for SUMP participation, but also on the available financial and personnel resources, skills and know-how. Each SUMP participation approach has benefits and disadvantages, which a planning authority needs to carefully weigh up. Possible models could be:

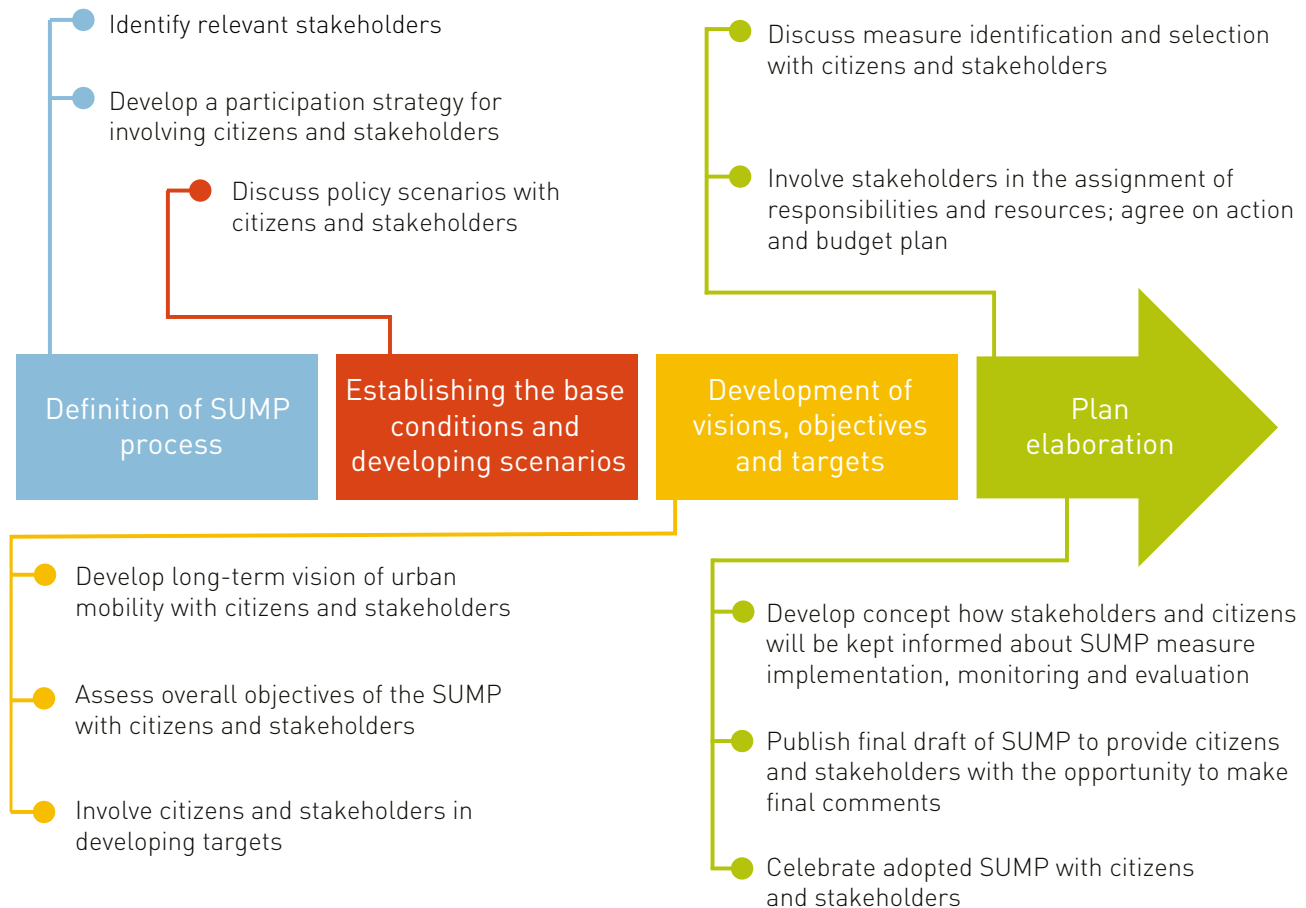
Blended participation of stakeholders and citizens:

Participation activities carried out during SUMP development target both citizens and stakeholders at equal levels (e.g. in terms of input, feedback or level of engagement). This encourages dialogue between experts and citizens and facilitates exchange. It can increase awareness of sustainable urban mobility planning among the public and sensitise experts for the views and values of citizens. A blended approach may be difficult to apply as a constant concept from plan preparation to adoption. It can also cause power differentials between stakeholders and citizens and comes with the risk that stakeholders dominate the participation process (see also Kahane, 2013).

Separate, concurrent participation of stakeholders and citizens:

Citizens and stakeholders are continuously involved in all phases of SUMP development, but their participatory processes are kept separate. This gives the planning authority the opportunity to thoroughly address different levels of expertise, knowledge and interests during participation. It also allows for tailoring participation formats to the needs and demands of citizens and targeting certain groups, e.g. vulnerable or marginalised groups, which are prone to being missed in a blended approach. However, this approach requires careful harmonisation of activities; results need to be woven together into a common process.

Figure 2: Opportunities to involve citizens and stakeholders in the SUMP development process
Source: Rupprecht Consult, 2016



© Rupprecht Consult, 2016

Separate, phased participation of stakeholders and citizens: For example, a representative group of stakeholders is involved from the beginning of the SUMP process, while citizens are approached at later stages. Such an approach may be implemented because a planning authority has limited financial, personnel and/or time resources to engage with citizens throughout the multi-year planning process. It can bring a couple of benefits: a more focused and professional development process that draws on diverse sources of specialist

knowledge; and the establishment of strong cooperation structures with key stakeholders. However, there may only be a very limited connection between citizens and stakeholders due to their separate involvement. Furthermore, the approach brings legitimacy issues as even the most careful selection of stakeholders will not be a full representation of the public. Finally, citizens might have limited opportunities to reframe the SUMP since a large number of decisions have already been made.



SUMP Round Table meeting in Dresden
Photo: City of Dresden

Box 2: When to involve citizens and stakeholders in the SUMP process?

There is no standardised procedure for when and how participation should take place in the SUMP process. However, there are various opportunities to engage with stakeholders, citizens, or both (see Figure 2). As the starting point for participation in the SUMP process is flexible to a certain degree, each planning authority needs to find its own approach and define the stages as well as intensity for involvement that is appropriate to its local context (e.g. capacities provided for participation, overall participation strategy).

Ideally, citizens and stakeholders should be actively involved in the development of the core elements of the SUMP (e.g. policy scenarios, vision, objectives and measure packages). Such an early involvement requires that the planning authority has a clear picture of how participants should contribute to SUMP development, and is capable to facilitate an early, discursive process. Alternatively, a planning authority should at least discuss the core SUMP elements with a representative group of key stakeholders and give other stakeholders and the public the opportunity to provide feedback. In practice, there are also examples of participation (see e.g. Figure 3) where both citizens and stakeholders are invited to participate the first time when a final draft of the mobility plan has been published and to provide comments on it. However, such a late engagement may bear the risk that certain elements of the plan are already fixed and possibilities for modification may be limited.



LOCAL SPOTLIGHT

Practices in integrating participation into the SUMP process

The cities of Budapest, Ghent, Dresden and Bremen have developed individual approaches to integrate participation into the SUMP process – depending on their local context, planning experience, resources and capacities. Blended formats were applied (e.g. Budapest, Ghent) as well as separate but concurrent participation of stakeholders and citizens (e.g. Bremen, Ghent) and phased participation (Dresden). Eventually, each SUMP was politically adopted and moved on to delivering its programme.

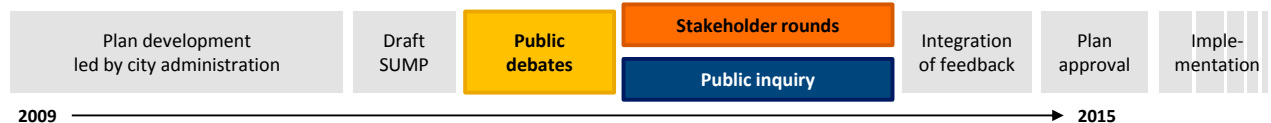
Figure 3: Practices in integrating participation into the SUMP development process

Source: Rupprecht Consult, 2016

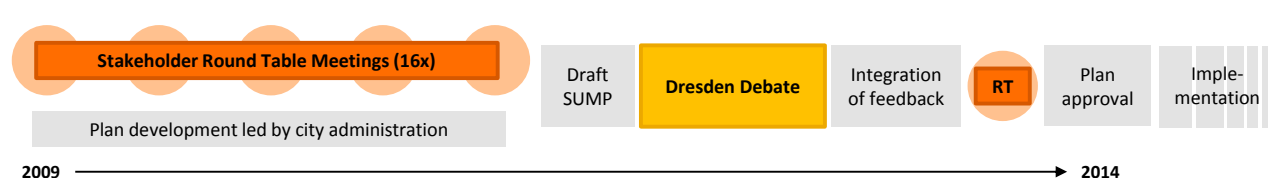
Budapest “Balázs Mór Plan”



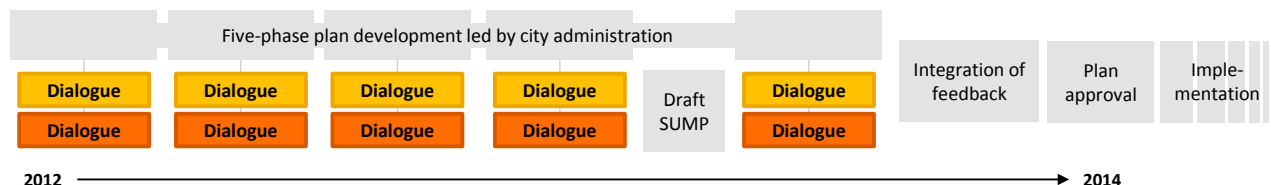
Ghent “Mobiliteitsplan”



Dresden “Verkehrsentwicklungsplan 2025plus”



Bremen “Verkehrsentwicklungsplan 2025”



Note: This chart does not reflect the duration of individual planning phases.

Involvement of ■ Citizens ■ Stakeholders ■ Citizens and stakeholders

© Rupprecht Consult, 2016



3.1.2 How to prepare for participation

Conducting a thorough self-assessment of local participation practices is important before developing a mobility plan in collaboration with citizens and stakeholders. Such an assessment can help understand a planning authority's current strengths and weaknesses in participatory transport planning and reveal where improvement of administrative processes, capacities and know-how is required.

The following set of questions helps assess where a planning authority stands in collaborative mobility planning and what preparatory steps are necessary to conduct meaningful participation:

Review past participation processes, activities and evaluations in transport planning

- Have participatory formats been included in the development of previous mobility or other plans? How is participation being conducted for small/medium/large scale transport projects?
- What were the aims of past participation practice? Were the aims suitable for that participation? Have aims and actual outcomes of participation processes been analysed?
- Who has been consulted on transport strategies and projects? Have there been conflicting views on certain transport issues?

Discuss requirements for participation in SUMP development

- What does the administration think of participation? Is it perceived as beneficial and inspiring? Or rather time consuming and exhausting? If the latter, what could be done to raise motivation for participation among municipal employees?
- Is the current level of ambition for participation appropriate compared to current standards? Or could the SUMP be taken as an opportunity to re-organise structures and test new, more interactive approaches to transport planning?



'SUMP on Tour' in Bremen
Source: City of Bremen



'SUMP on Tour' in Bremen
Source: City of Bremen



3.1.3 How to develop an engagement strategy

The engagement strategy is a document which should be compiled by those in the public authority who will be primarily responsible for the participation process. If thoughtfully designed, an engagement strategy can create a common understanding of the participation process among the (managing) actors involved; it can facilitate coordination of the process and anticipate potential challenges already in early SUMP development phases. Depending on the level of experience with participation, it might be helpful to call in an external expert with participation skills to jointly define a well thought-out framework for engagement.

National and local participation standards should be taken into account when tailoring one's own participation strategy for the SUMP process. These can be consultation and participation requirements defined in the national legal framework or local guidance documents such as a community participation policy. Guidelines (e.g. the SUMP Guidelines) and experiences from national and European projects can also serve as useful points of reference and help cities to develop their own participation strategy.

The engagement strategy can be seen as an evolving, dynamic document. Box 3 provides an overview of elements that should be covered in an engagement strategy. Some of these sections can (and should) be monitored and further refined as the participation process develops.

Before starting the actual participation process, the resources needed and the resources available should be clarified. This includes a review and assessment of personnel, time and financial resources. A fixed budget that is dedicated to participation clearly helps in setting up the involvement procedures. However, in many European cities there is no budget reserved exclusively for citizen and stakeholder participation (in transport planning). In addition, planning processes can take several years while municipal budget plans may be defined for shorter periods. If this is the case, planning

authorities need to find mechanisms to secure financing for their participation scheme. A careful assessment is needed of whether the activities planned and the budget available match, or whether further funding is required.

Box 3: Elements of a SUMP engagement strategy

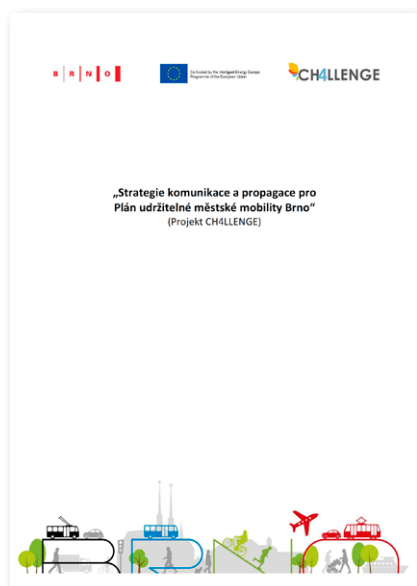
- Scope, rationale and objectives for participation process
- Introduction to SUMP development process and when and how participation components are incorporated
- Potentially interested parties to involve
- Analysis of actor constellations, interests and conflicts
- Involvement tools for each objective and phase
- Detailed plans for implementing the participation, including schedule and milestones
- Risk management and quality controlling
- Definition of rules for participation
- Financial and human resource requirements
- Roles and responsibilities for management of participation process
- Procedures for documentation
- Procedures for integrating feedback into decision making process
- Indicators and procedures for evaluating the effectiveness of participation efforts



LOCAL SPOTLIGHT

Brno: Developing a SUMP engagement strategy

The City of Brno developed a SUMP engagement strategy in cooperation with a consultancy specialised in communication and participation. The strategy sets out the overall aims of participation, target groups, communication channels and involvement techniques, specifies the schedule as well as the financial framework and defines cooperation requirements between the city administration and contracted consultancy. Expert support helped the city administration to conduct a professional and meaningful participation process. The engagement strategy was updated while the SUMP process was progressing in order to fine-tune its activities.



Brno's SUMP participation strategy
Source: City of Brno/ MEDIA AGE

3.2 Connections for participation

Participation in SUMP development goes beyond the traditional approach of public meetings and one-way communication. The active and direct involvement of citizens and stakeholders needs to be ensured during the entire SUMP cycle – but who should actually be involved in a SUMP participation process? And what is the best combination of techniques to engage with them?

3.2.1 How to identify participants for a participation process

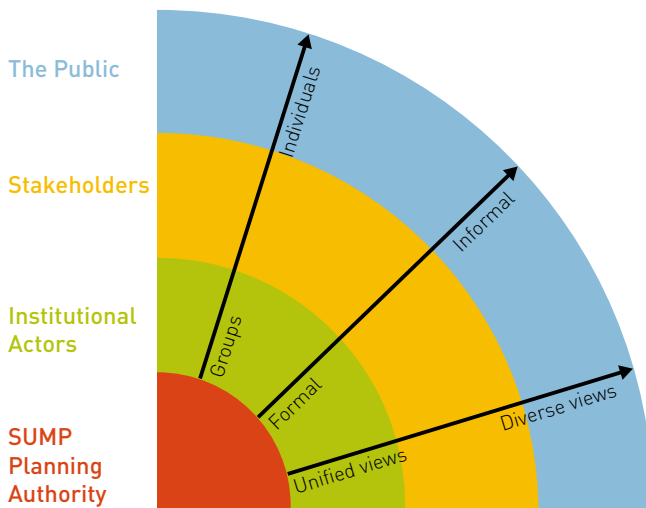
When designing a participation programme, it is helpful to cluster the often diverse mix of people and actors into broader categories. The three big groups that need to be involved in any SUMP participation process are institutional actors, stakeholders and the public (see Figure 4). The groups differ with regard to the level of organisation, professionalism and diversity.

A public authority takes the lead role in SUMP preparation, but should engage other **institutional actors** in plan preparation through participation and integration (e.g. other departments within the local authority, municipal agencies, political bodies, neighbouring communities, higher level authorities). The CH4ALLENGE Manual on Institutional Cooperation provides further information about institutional actors, their roles and functionalities as well as how to build institutional partnerships.

When identifying relevant **stakeholders** in transport planning, a number of obvious actors cross one's mind immediately – such as cycling organisations, environmental NGOs or mobility service providers. However, transport impacts and is impacted by a wide range of cross-cutting issues. The indirect effects a SUMP can have are sometimes harder to see, which is why the planning authority should think beyond the obvious (e.g. housing associations, unions, retailers). Stakeholders from various backgrounds may be interested in shaping mobility in their city, including environmental, health, educational, commercial sector or social actors.



Figure 4: Participant groups in SUMP development
Source: Rupprecht Consult, 2016



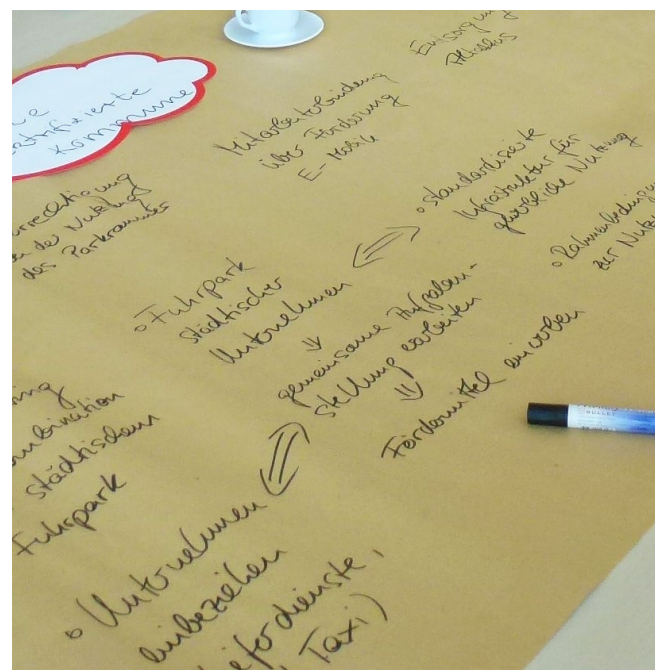
Stakeholders relevant for sustainable urban mobility planning are typically very heterogeneous: some are highly organised and well-funded; others are informal, ad-hoc groups and may not have unified opinions. Some have commercial interests, others a purely ideological motivation. Therefore, the diversity of interested parties, the efforts required for reaching different groups and the interdisciplinary nature of transport need to be taken into account when involving stakeholders.

Some stakeholder groups might be mandated to be involved through regulatory requirements. A careful check of the law is important to ensure that the SUMP development process fully complies with legal consultation obligations. In the United Kingdom, for example, local transport authorities are required to consult bus and rail operators, public transport user groups and district councils when formulating transport policies and plans (as established in Transport Act 2000).

Some actors such as politicians or public transport providers cannot be clearly allocated to a category – in one city they might be seen as institutional actors, in another they better fit the stakeholder category. Therefore, the list of participating organisations is different for each city and SUMP.

The public is the third group to be involved in the process of preparing a SUMP. It is important to look at the geographic area in which the SUMP is to be implemented. What potential impacts could the SUMP have on members of the public? Who might be affected in the SUMP's area of influence? When defining how to reach out to people it may be helpful to break down "the public" into different target groups to ensure inclusion and demographic as well as socio-economic diversity, e.g. parents and children, elderly people, mobility-impaired people, people on low income (see also Chapter 3.3.3). This should also include a spatial analysis of how these groups move within the SUMP area and how this may be affected by SUMP policies.

Just as all members of the public interested in SUMP should have the opportunity to get involved in the participation process, also all stakeholders should be part of it. In practice however, a planning authority might be required to prioritise stakeholders with regard to their level of involvement. This might be the case if a high number of stakeholders show interest in SUMP and only limited capacities and resources are available; or if an involvement format foresees working with a core group and a wider circle separately.



Stakeholder workshop (World Café)
Photo: Miriam Lindenau



LOCAL SPOTLIGHT

Dresden: Defining first and second-row stakeholders for SUMP development

The City of Dresden established a Round Table with all relevant institutional actors and stakeholders from the outset of the planning process for their “SUMP 2025plus”. As a large number of actors showed interest in cooperating on SUMP, they decided to split the Round Table into two groups: key ‘first row’ stakeholders had the right to vote on decisions, while ‘second row’ stakeholders participated in Round Table meetings only and received all relevant information. This allowed more than 40 stakeholders to be effectively involved in all phases of the planning process. Furthermore, the ground was successfully prepared for long-term cooperation on SUMP delivery.

Figure 5: Round Table participants for Dresden’s SUMP 2025plus

Source: City of Dresden/proUrban, 2012

‘First-row’ stakeholders

STADTVERWALTUNG Geschäftsbereich Stadtentwicklung Herr Jan Marx (Geschäftsbereichsleiter) Postfach 12 00 20 01001 Dresden Tel. 0351-488 42 41 marx@ddn.dresden.de Geschäftsbereich Stadtentwicklung Stadtplanungsbüro Herr Stefan Schugart Postfach 12 00 20 01001 Dresden Tel. 0351-488 3230 sschugart@ddn.dresden.de	WIRTSCHAFTSVERBÄNDE Industrie- und Handelskammer Dresden (IHK) Frau Ulrike Strohbach (Referatsleiterin) Langer Viehweg 4 01235 Dresden Tel. 0351-2502-140 strohbach.ulrike@ihk-dresden.de Straßenverkehrs-Genossenschaft Sachsen und Thüringen eG (SVGT) Herr Thomas Diegel Palaisplatz 4 01007 Dresden Tel. 0351-81 43 235 thedi@svgt-dresden.de ingenieurkammer Sachsen Körperschaft des Öffentlichen Rechts Herr Dipl.-Ing. Heimo Gille Ammerstraße 10 01007 Dresden Tel. 0351-430 33-60 info@ingp-dresden.de	VERKEHRVERBÄNDE Landesverband des Sächsischen Verkehrsverbundes (LsV) e.V. Frau Waltraud Drewe Palaisplatz 4 01007 Dresden Tel. 0351-8143 270 info@lsv-ev.de Allgemeiner Deutscher Automobil-Club e.V. (ADAC) Herr Dipl.-Ing. Markus Löffler Stresemmer Straße 37 01307 Dresden Tel. 0351-448 33 80 markus.loeffler@adac.de Allgemeiner Deutscher Fahrrad-Club e.V. (adfc) Herr Olaf Matthias Umweltzentrum Schützengasse 16 01007 Dresden Tel. 0351-494 33 21 olaf.matthies@adfc-dresden.de	VERKEHRS TRÄGER Dresdner Verkehrsbetriebe AG (DVB AG) Herr Jan Hees Center für Verkehrsmanagement/Marketing Postfach 10 09 55 01075 Dresden Tel. 0351-451 1360 hees@dvb.dg.de Verkehrsverbund Oberelbe GmbH (VVO) Herr Burkhard Ehlen (Geschäftsführer) Leipziger Straße 120 01127 Dresden Tel. 0351-552 55 31 burkhard.ehlen@vvo-online.de Deutsche Bahn AG Herr Arndt Stoppel Konzernbevollmächtigter für den Freistaat Sachsen Bismarckstraße 3 a 04103 Leipzig Tel. 0341-958 33 00	WEITERE GESELLSCHAFTLICHE INTERESSEN Polizeidirektion Dresden Herr Joachim Kaube Postfach 12 01 02 01002 Dresden Tel. 0351-4 83 0 joachim.kaube@polizei.sachsen.de Aktionsbündnis Dresdner Schüler- u. Sozialist:in:innen GRÜNE LIGA Frau Monika Rottsch Schützengasse 16 - 18 01007 Dresden Tel. 0351-454 33 53 monika@gruene-liga.de Seniorenbeirat der Landeshauptstadt Dresden Herr Dipl.-Ing. Klaus Kummer Postfach 12 00 20 01001 Dresden Tel. 0351-801 53 80 klaus.kummer@grm.d
STADTRATSFRAKTIONEN CDU-Fraktion Geschäftsstelle Neues Rathaus Dr. Kuz-Ring 16 01007 Dresden Telefon: 0351-488 26 71 info@cdn.dresden.de Fraktion DIE LINKE Geschäftsstelle Neues Rathaus Dr. Kuz-Ring 16 01007 Dresden Tel. 0351-488 26 22 fraktion@linke.dresden.de Fraktion BÜNDNIS 90/DIE GRÜNEN Geschäftsstelle Neues Rathaus Dr. Kuz-Ring 16 01007 Dresden Telefon: 0351-488 26 90 gruene-fraktion@ddn.dresden.de SPD-Fraktion Geschäftsstelle Neues Rathaus Dr. Kuz-Ring 16 01007 Dresden Tel. 0351-488 26 88 info@spd-fraktion-dresden.de FDP-Fraktion Geschäftsstelle Neues Rathaus Dr. Kuz-Ring 16 01007 Dresden Tel. 0351-488 26 82 fku-fraktion@ddn.dresden.de Bürgerbündnis / Freie Bürger Fraktion Dresden Geschäftsstelle Neues Rathaus Dr. Kuz-Ring 16 01007 Dresden Tel. 0351-488 26 93 buergerfraktion@ddn.dresden.de	Handwerkskammer Dresden Herr Dr. Andreas Hübner Am Lagerplatz 8 01009 Dresden Tel. 0351-46 40 400 andreas.huebner@hwk-dresden.de Güterverkehrszentrum Entwicklungsgesellschaft Dresden mbH (GVZ) Herr Dr. Kai-Inez Hinz (Geschäftsführer) Palaisplatz 4 01007 Dresden Tel. 0351-814 31 40 info@gvz-dresden.de Dresden Marketing GmbH Frau Dr. Bettina Bunge (Geschäftsführerin) Theaterstraße 6 01007 Dresden Tel. 0351-50173-0 bettina.bunge@marketing.dresden.de Landesverband des Sächsischen Groß- und Außenhandels Dienstleistungen e.V. (SGA) Herr Roger Stephan (Präsident) Altmarkt 15 01237 Dresden Tel. 0351-252 75 33 SGA@sga.de Handelsverband Sachsen e.V. (HVS) Geschäftsstelle Dresden Frau Jutta Müller Königsplatz 3 01007 Dresden Tel. 0351-8 67 06-13 hvs-dresden@handel.sachsen.de Bundesverband mittelständische Wirtschaft (BVMW) Unternehmensverband Deutschlands e.V. Herr Dr. Peter Nietzband Mathildenstraße 26 01009 Dresden Tel. 03 51-441 65 57 peter.nietzband@bvmw.de VDI Landesverband Sachsen Herr Manfred Bergmann Am Waldschlochen 4 01009 Dresden Tel. 0351-65 67 448 bv-dresden@vdi.de Verein der Straßenbau- u. Verkehrsingenieure VSVI Sachsen e.V. Bezirksverein Dresden Herr Prof. Dr.-Ing. Christian Lippold Ammerstraße 35 01007 Dresden Tel. 0351-499 07 00 christian.lippold@tu-dresden.de	ZWEITE REIHE VERKEHRSVERBÄNDE Verkehrswacht Dresden e.V. Herr Peter Samuel (Geschäftsführer) Lingenerallee 3 01009 Dresden Tel. 0351-485 98 10 verkehrswacht@ddn.dresden.de Landesverband Sächsischer Omnibus- und Touristikunternehmen e.V. (LSOT e.V.) Herr Jörg Pitzold Marie-Wilch-Strasse 1 01237 Dresden Tel. 0351-270 48 info@lsot.de Dresdner Taxigenossenschaft eG Herr Hans-Peter Kunath Bismarckstraße 122 01277 Dresden Tel. 0351-211 21-0 info@taxi-dresden.de	ZWEITE REIHE VERKEHRS TRÄGER Flughafen Dresden GmbH Herr Manfred Kunath (Technischer Leiter) Postfach 60 01 64 01101 Dresden Tel. 0351-881 21 00 manfred.kunath@dresden-airport.de Sächsische Binnenhafen Oberelbe GmbH (BBO) Herr Gunto Mohrner Magdeburger Str. 58 01007 Dresden Tel. 0351-498 22 20 info@binnenhafen-sachsen.de Regionalverkehr Dresden GmbH (RVD) Herr Axel Ludwig Ammerstraße 25 01007 Dresden Tel. 0351-492 13 46 leitung@rvd.de	WEITERE GESELLSCHAFTLICHE INTERESSEN Radtschüleramt der Landeshauptstadt Dresden Herr Erik Pleisch Postfach 12 00 20 01001 Dresden Tel. 0351-4 83 30 60 erik.pleisch@ahoo.de Entwicklungsforum Dresden Herr Dr. Oliver J. Jürgens Schützengasse 16 01007 Dresden Tel. 0351-4 94 33 40 olaf.juergens@gruene-liga.de Verkehrsbüro Deutschland, Ortsgruppe Dresden VVO Umweltzentrum Herr Karsten Imbrock Schützengasse 16 - 18 01007 Dresden Tel. 0351-421 05 28 karsten.imbrock@web.de Deutscher Verkehrswissenschaftsvereins e.V. Herr Gunter Theile c/o TU Dresden, Institut für Verkehrslenkung 01002 Dresden Tel. 0351-46 33 67 66 gunter.theile@tu-dresden.de Landesarbeitsgemeinschaft Selbsthilfe Sachsen e.V. (LAG SH) Herr Christian Steinmann Mühlengasse 16 - 18 01007 Dresden Tel. 0351-47 93 50 18 steinmann@selbsthilfenetzwerk-sachsen.de Bund für Umwelt & Naturschutz Deutschland Kreisgruppe Dresden Herr Gottfried Mann Windmühlstraße 18 01009 Dresden Tel. 0351-3 38 10 03 gottfried.mann@bund.net Fraunhofer Institut für Verkehrs- und Infrastruktursysteme Herr Dr. Matthias Klingner (Institutsdirektor) Zentrumstraße 36 01009 Dresden Tel. 0351-46 40-401 matthias.klingner@ivf.fraunhofer.de GRÜNE LIGA DRESDEN/Oberes Elbtal e.V. Schützengasse 16 - 18 01007 Dresden Tel. 0351-4 84 33 53 sozialist@ddn.dresden.de SRL Vereinigung für Stadt-, Regional- und Landesplanung c/o Stadtlabor Herr Tim Tröger Hirschensstraße 3 04105 Leipzig kontakt@stadtlabor.de

‘Second-row’ stakeholders

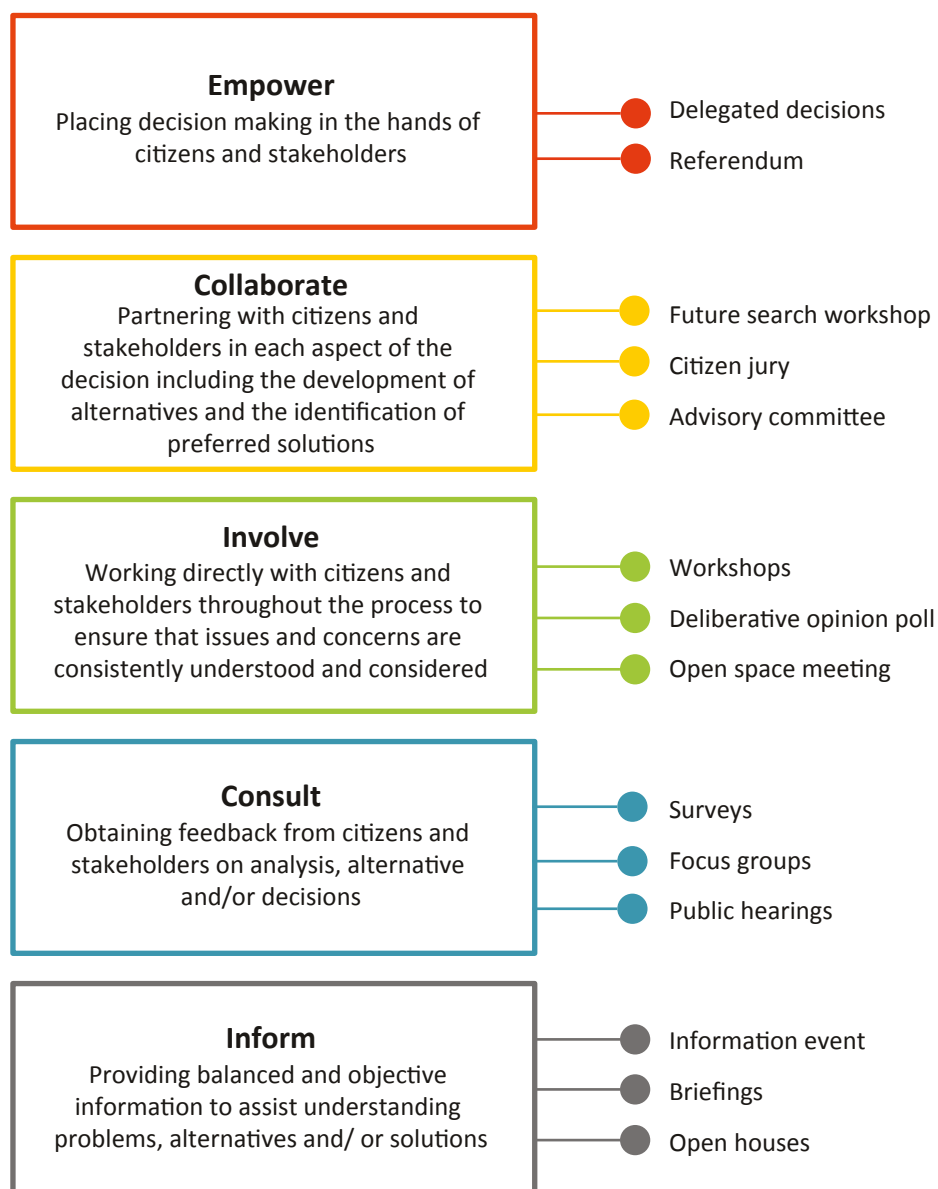
3.2.2 How to select tools for involvement

There is an array of involvement tools for each level of stakeholder involvement as presented in Chapter 2. A great number of resources provide helpful overviews about engagement formats and give tips for implementation (see Box 4). Typically, a planning

authority does not decide to adopt only one level of involvement but combines techniques from different levels and arranges them appropriately to the planning process. In order to ensure interactive, meaningful participation, it should strive also for the higher levels of involvement.

Figure 6: Levels of involvement and exemplary tools, adapted from IAP2

Source: International Association for Public Participation (IAP2), adapted by Rupprecht Consult





It is important to use a variety of involvement tools in order to provide all interested parties and people with opportunities to engage. A successful SUMP participation process usually combines different types of small- and large-scale, offline and online, targeted and open formats. The selection of tools may also depend on previous participation practices (e.g. effective methods that have worked well in the past are adapted), interested parties' preferences, or legal consultation requirements. When selecting involvement tools, the planning team should also analyse the needs of their target groups such as timing and availability, location of events, accessibility of venues, linguistic and cultural differences, translation requirements, or access to computers (see also Chapter 3.3.3).

When selecting involvement tools, the following criteria should be considered:

- Target group: is the tool suitable for the involvement of citizens or stakeholders, or both?
- SUMP process: is the tool appropriate for all SUMP development stages, or selected phases?
- Participation objective: does the tool comply with the participation objectives set out in the engagement strategy?
- Effectiveness: does the tool match the outputs and outcomes required?
- Length: how much time does the tool require to be used effectively (e.g. one day, several days, weeks, months, years)?
- Suitable number of participants: how many participants can the tool involve effectively (e.g. up to 25, 50, 100, 500 and more participants)?
- Selection of participants: who will participate in this tool (e.g. self-selected participants – anyone who wants to join, random selection, or targeted selection such as stakeholder representatives)?
- Resources: how much financial and personnel resources does the tool require (e.g. for preparation, implementation and follow-up, logistics, equipment, techniques)?

Box 4: Resources to discover involvement tools

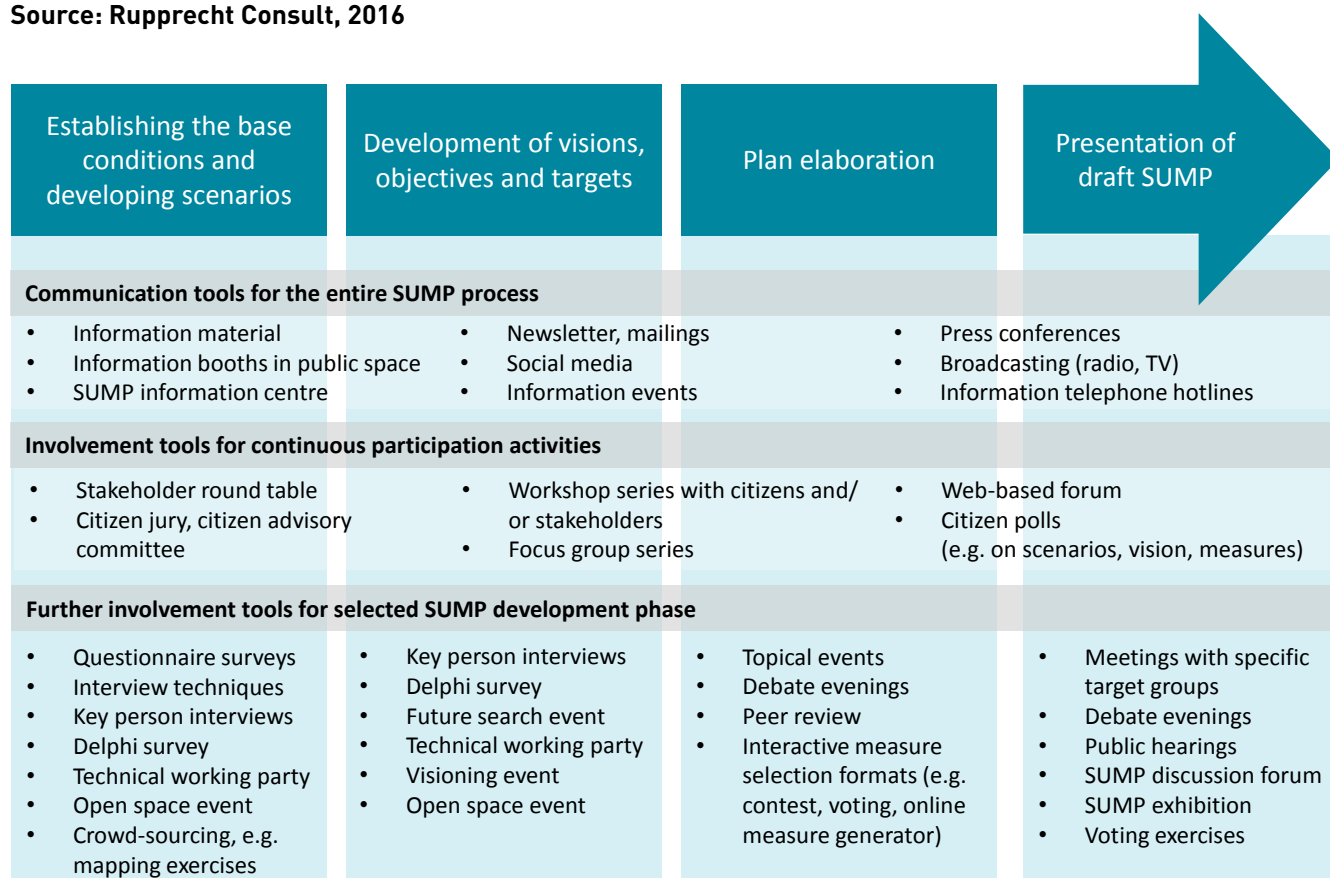
There are many great resources out there that present effective formats for engagement. Among many, it is worth checking out the following:

- International Association for Participation, IAP2's Public Participation Toolbox – available at <http://www.iap2.org>
- GUIDEMAPS Handbook on successful transport decision-making, Volume 2, engagement fact sheets – available at <http://goo.gl/Z6Ow1J>
- Participedia, online platform on engagement techniques – available at www.participedia.net
- Eltis tool database on citizen and stakeholder involvement – available at <http://www.eltis.org>

Figure 7 presents examples of communication and involvement tools suitable for SUMP development based on a qualitative assessment by the authors. It distinguishes between communication tools that can be used during the entire process of elaborating the SUMP; tools that are suitable to actively involve citizens and stakeholders continuously throughout the SUMP process; and tools that are particularly suitable for selected planning phases. The list of tools presented

in the figure is not prescriptive (and not exhaustive). For example, a planning authority may choose to use 'continuous' tools as one-time activities and phase-specific tools over longer time periods. The figure should be considered as an inspirational framework, which could serve as a template for a planning authority to set out the selection of communication and involvement tools most appropriate to the local context.

Figure 7: Involvement tools suitable for SUMP development
Source: Rupprecht Consult, 2016



© Rupprecht Consult, 2016



Box 5: What is co-creation?

The idea of 'co-creation' originates from the business sector for identifying new forms of customer engagement and has then been transferred to planning. Co-creation formats aim to share power between citizens, stakeholders and the planning authority. The techniques used are citizen-centred and usually involve them from the first hour of planning as well as during implementation. "Co-creative approaches help people form and promote their own decisions, create new stakeholder maps, build capacities for self-government, and develop open-ended civic processes" (Leading Cities, 2013). Citizens and stakeholders become active, creative players of the planning process, while the planning authority is taking a facilitating role. Co-creation tends to be more suitable for delivering the SUMP than for developing it, i.e. implementing SUMP measures together with citizens and stakeholder.

The City of Ghent, for example, has been successfully testing co-creation approaches over the past years. This includes the establishment of a Transition Arena: a group of people from various backgrounds brainstorming for icon projects how mobility in Ghent could look in 2050. One of their ideas, the Living Streets, has already been tested. It is a temporary experiment that enables citizens to transform their streets into interactive, car-free streets 'of their dreams'. All activities are organised by the residents and in cooperation with a local network called "[Lab Van Troje](#)" consisting of volunteers and neighbourhood companies. The city administration assists in practical matters, where required. The Living Streets has strengthened the relationship between residents and the city administration and fostered joint problem solving; residents have realised that they are allowed to co-create their neighbourhoods and shape the city, while it has generated new dynamics and reflection practices for the city administration. For further information watch the video '[Leefstraat 1.0 te Gent](#)'!



Living Streets project in Ghent
Photo: Dries Gysels



LOCAL SPOTLIGHT

Amiens: Involving a representative group of inhabitants in citizen workshops

Amiens applied a citizen workshop technique when renewing their SUMP in order to gain in-depth opinions from citizens. A random sample of inhabitants, representing different places of residence, ages, socio-economic profiles and mobility behaviours, was invited to participate. Several interactive citizen workshops were held. The final output was a formulated collective opinion on concrete mobility actions to help build the SUMP action plan.

Amiens learnt that the citizen workshop technique has limits e.g. in terms of representation of all social classes and reaching consensus. However, overall it has led to sustainable, future-focused thinking among participants and provided valuable contributions to the SUMP. Measures proposed by the group of citizens were labelled as such in the plan.



'Citizen opinion' label in Amiens PDU
Source: Agence Avril



LOCAL SPOTLIGHT

Ghent: Using multiple formats to reach citizens and stakeholders

When developing the city's second SUMP, Ghent applied three engagement formats: public debate evenings where citizens discussed the draft SUMP, guided by a facilitator; followed by an extensive consultation round with stakeholders, which included individual meetings with e.g. NGO's, traffic companies, unions, real estate agents and minority groups; and a parallel one-month public inquiry process that allowed every citizen and organisation to send comments, questions or complaints concerning the SUMP. This was the most extensive participation process Ghent had carried out so far in mobility planning. Using multiple engagement formats allowed the SUMP team to reach people from various background and ages, and strengthened public support for the mobility plan and its measures.



Public debate evening in Ghent
Source: City of Ghent



LOCAL SPOTLIGHT

Budapest: Applying a mixed method approach for participation

Budapest's planning team selected a mix of engagement methods to gather opinions on the draft SUMP from a great variety of stakeholders and citizens. This included:

- a dedicated SUMP website (presenting the SUMP and related information)
- an online questionnaire to survey the importance of SUMP objectives
- opportunities to submit comments in writing (online, via email and letters)
- a series of stakeholder forums
- invitation of foreign partners and expert to review the draft SUMP



Stakeholder meeting in Budapest
Photo: BKK Centre for Budapest Transport

The engagement methods used during the SUMP process marked a turning point in Budapest's planning practices towards wide and meaningful participation. They are planned to be extended in future participation processes.



LOCAL SPOTLIGHT

West Yorkshire Combined Authority (WYCA): Setting up a Technical Stakeholder Board

For developing and delivering its cycling and walking scheme 'CityConnect' WYCA set up a Technical Stakeholder Board and supporting group of interested professionals and lay-people. The Board held regular meetings where participants had the ability to provide local knowledge, technical specialist input and enable a sense of project ownership to help shape the outcomes and public perception of the project. The advisory group chair – an independent person, but with his time salaried by CityConnect – sat on the overall Programme Board. CityConnect was an opportunity to test new techniques and consider their incorporation into mainstream SUMP practice.



CityConnect team and stakeholders
Photo: WYCA



LOCAL SPOTLIGHT

Brno: Developing a mobility vision together with experts

In order to develop a forward-thinking mobility vision, Brno first asked five scientists to be “the visionary” and prepare five different visions with a time horizon until 2050. The five visions were then presented and discussed at a full-day expert workshop organised by the Smart City Committee, which was attended by more than 50 experts from various backgrounds. The adapted visions were presented to the Mayor and Council members present at the workshop as well as in other higher level meetings. In addition, the Brno SUMP working groups, consisting of citizens who wanted to contribute to SUMP development, were consulted on the visions. Based on the feedback gained, the City Council selected and approved the final mobility vision, which then served as the basis for further SUMP development.



Visioning workshop in Brno
Photo: Marie Schmerková



LOCAL SPOTLIGHT

Zagreb: Workshop series with stakeholders on mobility in Zagreb

Zagreb aims to strengthen integrated and participatory planning practices at the local level, and to pave the way for eventually developing a SUMP. Therefore, stakeholders were invited to workshops to discuss how mobility-related goals, priorities and measures set out in the Zagreb Development Strategy could be taken up and further developed as part of a wider SUMP development process. The workshops aimed to determine joint interests in mobility and sensitise participants for a culture of planning that is based on regular communication, mutual consultation and joint decision-making.



Stakeholder workshop in Zagreb
Source: City Office for Strategic Planning and Development



Online engagement

Online engagement tools have matured over the past years. For example, interactive SUMP websites that keep participants up-to-date with planning progress and enable online dialogue have become very popular. Nevertheless, many planning authorities still need to gain practical knowledge and experience on when and how to use online engagement methods effectively.

Online engagement usually targets the broader public. Roles of participants are as manifold as the techniques available – citizens may be fact finders, direct contributors, critical reviewers or creative heads. There are various methods available such as:

- Interactive discussion forum
- Online commenting of texts (e.g. draft SUMP)
- Crowd-mapping (e.g. mobility analysis)
- Voting (e.g. on priorities, scenarios, measure packages)
- Contests (e.g. to develop the best mobility solutions, including voting on proposals)

Digital involvement formats are usually open to everyone. They tend to run over longer periods, e.g. several weeks or months. Therefore, it is crucial to clearly communicate timeframes for the public to provide their input. When setting up an online forum,

moderation procedures need to be defined. Pre-moderation involves approving comments before they are published to avoid e.g. defamatory content, while post-moderation allows immediate publishing of comments, which are subsequently checked.

Online engagement is a great tool to reach those who tend not to participate in classic involvement formats. However, there is also a risk of overrepresentation. Teenagers, young people and well-educated middle-class citizens are typical groups that deliberate in online formats, while elderly people, people with lower education and literacy levels as well as migrants are often underrepresented (Nanz & Fritsche, 2012). Therefore, it is most important to offer both online and offline participation to ensure everyone has the opportunity to get involved. The planning authority should define a strategy for how online and in-person formats will complement each other.

If a planning authority does not have much experience with online engagement, lacks skills or resources (online engagement can be time-consuming!), it may be helpful to hire a service provider that is specialised in developing online consultation strategies and managing implementation.



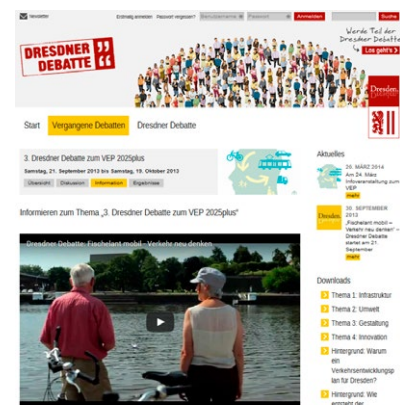
LOCAL SPOTLIGHT

Examples for online engagement in sustainable urban mobility planning

Dresden: Online 'Dresden Debate' on draft SUMP

Dresden used its well established four-week 'Dresden Debate' tool to involve citizens in SUMP elaboration. Complementary to various in-person participation activities, citizens were invited to participate in an interactive online platform, to e.g. study SUMP-related information, take a modal split survey and comment on the draft SUMP in a thematically structured discussion forum. The website had 4,500 visitors and nearly 43,000 clicks.

Watch Dresden's video on the Dresden Debate "Fischelant mobil – re-thinking mobility"!

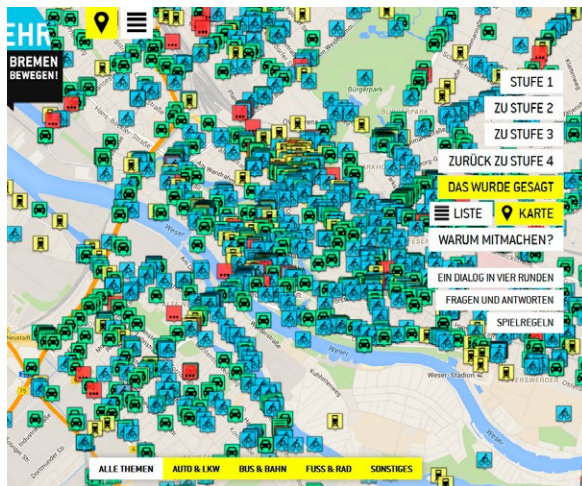


Dresden Debate – online platform
Source: City of Dresden

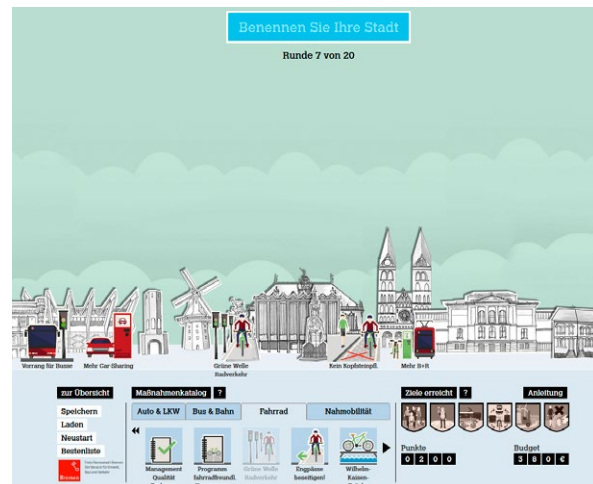


Bremen: Online mapping and scenario generator

Bremen asked its citizens to join a collective mapping exercise on the SUMP online platform in order to assess the local mobility situation. Furthermore, citizens had the ability to propose their own mobility scenario for Bremen with a special 'scenario generator' web application.



Online mapping tool
Source: City of Bremen



Web application for interactive scenario building
Source: City of Bremen

Bristol: Mobility strategy and scenario voting

The Future Bristol project invited citizens to vote on two low-emission scenarios and their underlying strategies for 2050 developed in a three-stage consultation process with stakeholders.



Future Bristol website
Source: Future Bristol/Andy Council



3.2.3 How to raise awareness for the SUMP participation process

Communications for a participatory process is important to keep the public up to date on the SUMP development, to gain informal feedback, and to raise awareness about opportunities to participate in the SUMP development process. As communication is closely related to public relations it might be helpful to cooperate with the department for public and media relations/ public affairs. There are several communication channels available:

- **Print formats** (e.g. flyers, brochures, posters, postcards, mailings, reports): created by the planning authority, as well as press releases and feature articles which are sent to the various media outlets in an effort to have the media report on their story.
- **In-person/'live' formats** (e.g. information booths, information telephone hotlines, press conferences): these formats invite the public to engage in two-way communication. The input received from the public can be used to inform the SUMP development and implementation process.
- **New media (social media):** on-demand, real-time, and interactive content which can be accessed on the internet. Examples of commonly used formats include websites, newsletters, emails, social media platforms (e.g. Twitter, Facebook, LinkedIn, YouTube, Tumblr, Instagram, Pinterest), blogs and wikis. New media formats provide opportunities for visitors to "like" posts, comment and add their own content to directly engage in the dialogue.

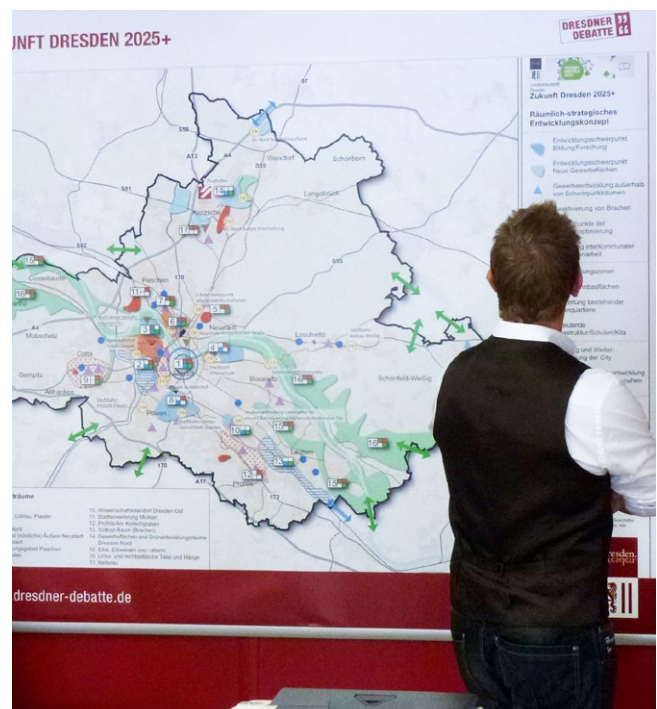
The planning authority should communicate clearly and in plain language, avoiding the use of technical jargon. This demonstrates its willingness to collaborate with citizens, which in turn helps to reduce the public's reluctance to participate now and in the future.

Social media and sustainable urban mobility planning

To further increase the distribution and effects of key messages, it is recommended to use not only conventional channels, but also new media outlets. Social media should be used early in the SUMP process

so that the key messages have time to reach target audiences. Building a following on social media takes some additional effort at the beginning, but maintaining this following also requires regular maintenance throughout the entire SUMP process. If the SUMP team chooses to invest resources into creating a social media presence, it has to ensure that it continuously uses these accounts to engage with the public throughout the SUMP development and implementation processes. Some ideas of opportunities during the SUMP process for creating social media content are:

- Multimedia posts from participation processes (e.g. photos, videos, interviews, quotes from participants)
- Announce when milestones have been reached, e.g. when the vision has been developed, priorities for mobility, targets and measures have been set
- Once the plan has been adopted, celebrate this accomplishment via social media and invite your followers to any planned in-person celebrations



Presenting SUMP information to the public in Dresden
Photo: Miriam Lindenau



Box 6: Tips for using social media in SUMP communications

Designate a person who will be responsible for managing the social media accounts regularly. Tasks include screening and posting content on behalf of the local authority, monitoring and responding to the public's comments, and developing new ideas for content.

Put into place time-efficient procedures for approving messages which will be broadcasted on the local authority's social media pages. Guidelines for the designated content-creators on approved topics and phrasing (as well as those which are to be avoided) may expedite this process.

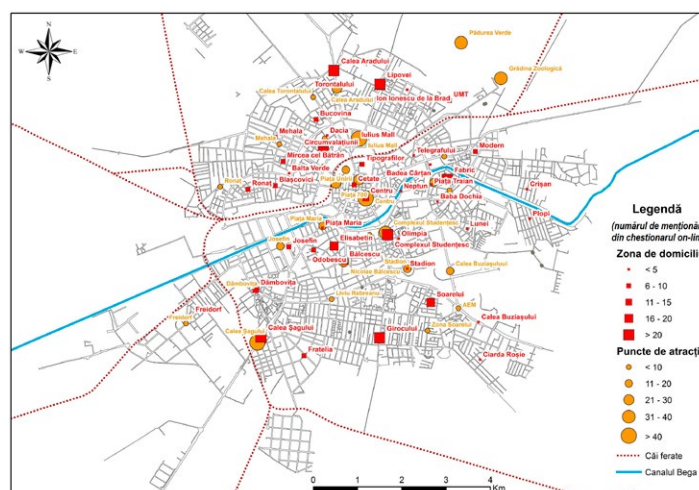
Take into consideration capacities for managing and creating content for social media accounts. Proper management of a local authority's social media account may require a daily time investment of several hours. Likewise, creating content and getting it approved for public release via social media may be time-intensive. If the local authority lacks capacity internally, consider outsourcing these areas of responsibility to, e.g., a communications company.



LOCAL SPOTLIGHT

Timisoara: Knowledge sharing and creation through social media

As part of SUMP preparation activities, Timisoara conducted an analysis of the local mobility situation. It turned out that the planning team lacked information about cycling. As the city's cycling community has been highly active on social media networks, a Facebook questionnaire was developed to find out more about cyclists' needs and ideas. The survey got more than 1,000 responses; it enabled creating a comprehensive register of cycling problems in the city as well as a set of proposals for developing new cycling lanes. The information was then fed back into the SUMP development process.



Origin-destination map of bike trips in Timisoara, based on survey results
Source: Ove Arup & Partners International Ltd




LOCAL SPOTLIGHT

West Yorkshire Combined Authority (WYCA): Use of social media in SUMP delivery

For WYCA's cycling and walking infrastructure project 'CityConnect', social media has been used to:

- promote the project and inform public about progress
- promote forthcoming activities, events and opportunities to get involved
- act as a conduit for wider discussions about cycling and its role in society
- respond immediately to public criticism with further detail about the scheme benefits
- enable project 'champions' to promote the project to wider audiences

WYCA has learnt that social media requires adequate resourcing to react and respond to comments instantly as social media is a 'live' communication tool.

 CityConnect @CityConnect1 · 13. Okt. 2015
CityConnect stakeholders getting a tour of #York including new project, Scarborough Bridge



CityConnect on Twitter
Source: CityConnect

 CityConnect hat retweeted
Pete Zanzottara @PeteZanzottara · 24. Dez. 2015
Here's how segregation elevates an old advisory cycle lane to something more useful... @CityConnect1



CityConnect on Twitter
Source: CityConnect



Box 7: Brand your plan!

The first bite is with the eye – giving the SUMP character and creating professionally looking SUMP material is crucial nowadays. Developing a corporate identity for the SUMP can communicate its philosophy, create consistent visibility and help citizens and stakeholders to recognise and remember it. Branding the SUMP may include giving it a catchy title. For example, Budapest named their SUMP – the Balázs Mór Plan – after a famous Hungarian transport engineer who launched the first tram service in Budapest in 1887. Branding may also include developing a visual identity, SUMP theme and colour scheme and designing a dedicated SUMP logo (see examples below).



Budapest's SUMP "Balázs Mór Plan"

Source: BKK Centre for Budapest Transport, 2014



Brno's SUMP logo

Source: City of Brno/ MEDIA AGE, 2015



Visualisation of Ghent's SUMP priorities

Source: City of Ghent, 2014



3.3 Participation processes

Once all preparatory work for involving citizens and stakeholders is completed and the overall participation framework is set, it is time to actually carry out the participation activities. Participation may be led by the department responsible for SUMP development, or may be managed by a special participation unit, which is supported by municipal employees with subject matter expertise, e.g. from the mobility department.

3.3.1 How to manage the participation process

Reach out to citizens and stakeholders: The planning authority should spread the news widely that a new mobility plan will be developed and citizens (and stakeholders) have the opportunity to get involved. In order to ensure that the message reaches as many people as possible, a combination of tools should be used for inviting citizens to engage with SUMP development. This may include conventional formats such as print advertising in newspapers, website announcements, newsletters, or household letters. Also newer formats should be used such as social media, short videos to promote participation, a SUMP drop-in centre or a dedicated mobility plan website. Further information on communicating with a wider audience is presented in Chapter 3.2.3.

Reaching out to institutional actors and stakeholders is usually more targeted, especially when aiming to involve them in specific stakeholder-only formats. The following information may be included when initiating contact:

- the reasons and aims for producing a SUMP/ revising an existing mobility plan
- the anticipated timeframe for developing the SUMP
- information on why the stakeholder (group) is concerned
- the objectives of the SUMP participation process
- participation opportunities for the stakeholder and overview of activities
- questions if and how the stakeholder is interested in contributing to SUMP development
- questions on the stakeholder's expectations and how they see their role.

Even if substantial efforts were taken to invite potentially interested parties, it may happen that some stakeholders are not very responsive or do not react at all. That does not mean that the SUMP engagement team should stop trying. Silence can have various reasons, e.g. capacity problems or need for a longer response time. Where there is no response, a thorough, repeated follow up using different communication channels is important since every stakeholder should be given the opportunity to participate. All activities related to reaching out to citizens and stakeholders should be well-documented.

Manage participation activities: When involving citizens and stakeholders in SUMP development, it is important to ensure that staff members have the skills and expertise to actually run a participation process. If certain skills and expertise do not exist within the planning authority, training and capacity building should take place. A planning authority may also consider hiring external support to cover skill gaps. Box 8 presents a set of skills required for managing a SUMP participation process.

In addition, it is important to coordinate participation activities internally. 'Activity plans' for the involvement tools used can make planning easier; these should detail techniques, materials required, logistics, roles, responsibilities and documentation requirements (see CEEA, 2008). Thorough monitoring of participation activities is crucial to verify that the chosen formats are effective, and to optimise the participation scheme. Chapter 3.4 provides further information on quality control and evaluation of SUMP participation processes.



Collaborative planning of the Living Streets project in Ghent
Photo: Dries Gysels



Box 8: Skills required for managing a SUMP participation process

- Understanding of participation principles
- Expertise in involvement techniques
- Meeting and event management skills
- Communication skills, writing and presentation skills
- Facilitation skills, moderation skills
- Active listening skills
- Conflict resolution and negotiation skills
- Analytical skills, synthesising results skills
- Quality management and evaluation skills
- Willingness to be innovative, to consider new ideas
- Understanding of group dynamics
- Interpersonal skills, cross-cultural awareness, cultural sensitivity

Review and incorporate comments: Written and verbal inputs from citizens and stakeholders need to be carefully documented, analysed and incorporated if relevant for the SUMP. Depending on the participation approach taken, this may be done repeatedly for each SUMP phase and/or it may be one big effort when asking citizens and stakeholders for feedback on the draft SUMP. The review of comments is usually done manually. Therefore, the time required for assessment should not be underestimated. Especially new practices in online engagement require planning authorities to manage a high volume of responses to public involvement exercises: 1000+ comments is not an unusual number! All reasonable comments should be discussed by the planning team to ensure fair and thoughtful consideration.

A systematic approach is crucial for effective and efficient review of comments. The analysis procedure depends on the participation formats chosen, but should already be defined in the preparation phase to make sure that sufficient resources are available. Once comments have been collected, it may be helpful to cluster these, e.g. thematically, in relation to the area affected, or by level of perspective such as neighbourhood, district, or wider

city level. It might also be necessary to group similar ideas and proposals within the clusters, check how these comply with the SUMP's objectives and prioritise with regard to relation and relevance to the SUMP.

It is important to give feedback on whether and how comments from citizens and stakeholders have been integrated and why certain comments have not been taken up. How feedback is provided depends on the participation formats chosen. It may be individual written responses, decision logs or a summary report on the incorporation of input. In order to ensure transparency, all feedback should be made publicly available.

Furthermore, the planning authority should indicate to political bodies which proposals from the public are promising and would further enhance the SUMP. The integration of new ideas may even need political approval. Therefore, it is important to carefully prepare all relevant information for politicians and explain the rationale for pursuing new paths.

Box 9: Documenting inputs in participatory SUMP development

Complete, accurate and concise documentation brings transparency to the SUMP process and is also a preventive measure in case of claims later in the process.

When holding SUMP participation meetings, minutes of the main inputs and outcomes as well as who contributed to them should be taken. Participants should have the opportunity to validate their inputs. All minutes should then be made publicly available. When receiving comments in writing, these need to be recorded and incorporated into a comprehensive database for analysis.

The planning authority should also document the overall participation process, e.g. information provided on opportunities for involvement, activities carried out, attendants and response rates, how input was analysed and incorporated into the SUMP, or not.



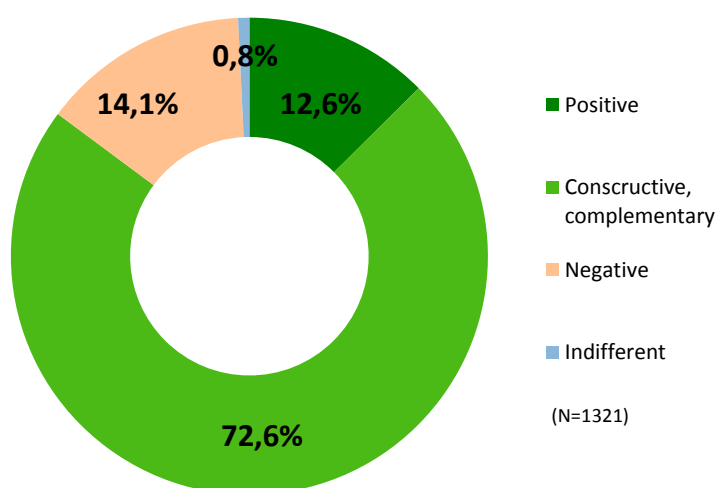
LOCAL SPOTLIGHT

Budapest: Recording and analysing the input received – systematically and transparently

During a four-month consultation period, Budapest's SUMP team received more than 1,300 comments. All submissions were recorded in a comprehensive feedback database, which included information about the commenter, content of the comment and the expert judgement. The analysis required thorough review procedures as suggestions were often complex and touched several aspects of the mobility plan. The evaluation of feedback required substantial staff and time resources. Once all comments had been evaluated, the expert group formulated recommendations for the amendment of the SUMP, e.g. the update of 22 measures and introduction of three new measures. The amended transport development strategy was approved by the General Assembly of Budapest in June 2015.

Figure 8: Analysis of comments on Balázs Mór Plan

Source: BKK Centre for Budapest Transport, 2015





LOCAL SPOTLIGHT

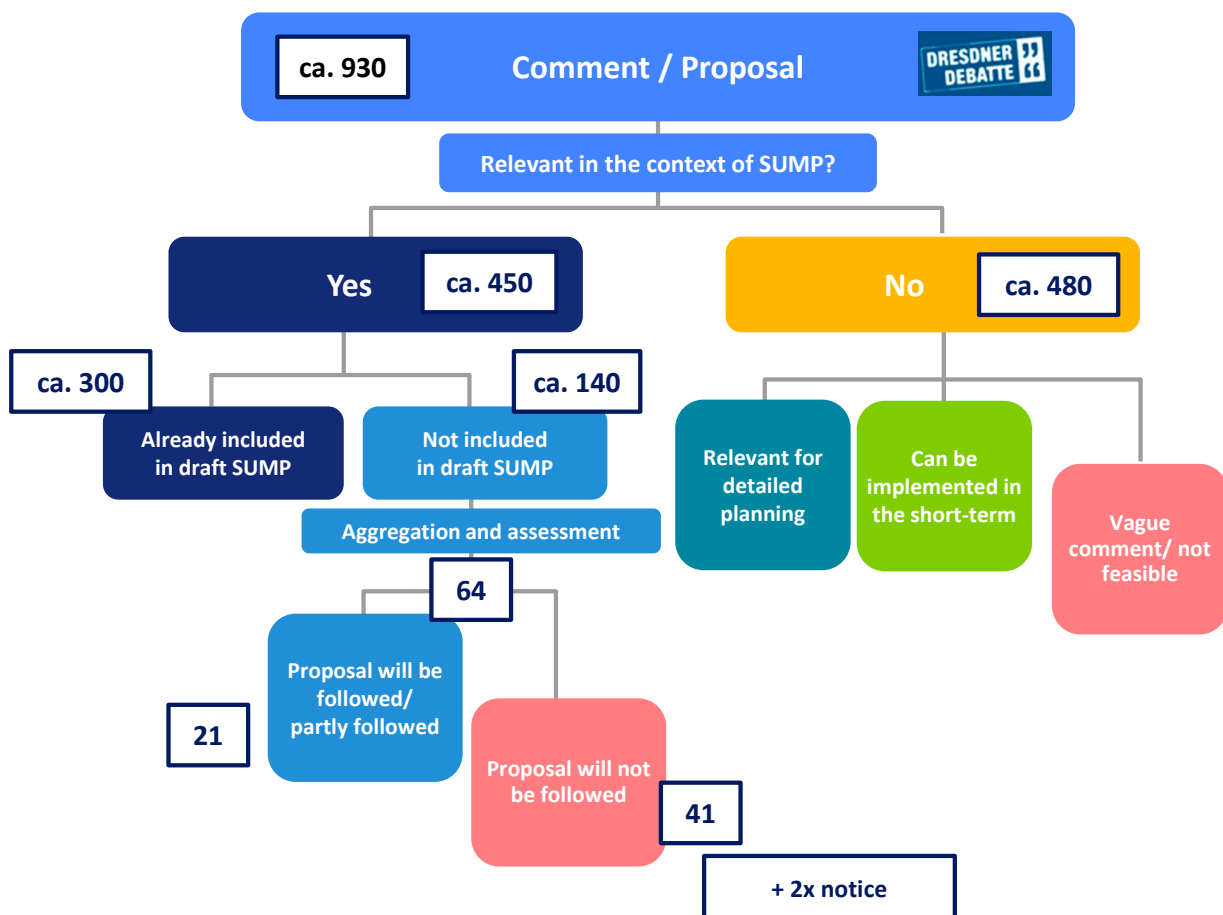
Dresden: Analysing the input received from citizens in Dresden Debate

As part of the Dresden Debate scheme, the municipality received a total of 930 comments, which were then reviewed and analysed by the SUMP team. Key assessment criteria covered the relevance to SUMP and whether the proposal was already foreseen in the SUMP (see Figure 9). All proposals as well as all assessments were made public on the Dresden Debate online platform and were given to politicians.

The municipality generated 21 aggregated new SUMP measures proposed by citizens. The municipal experts suggested that the City Council integrates these new measures into the SUMP; the politicians followed this by formal adoption.

Figure 9: Dresden's assessment framework for SUMP comments raised by citizens

Source: City of Dresden, 2014





3.3.2 How to manage conflicts

The SUMP participation team is required to be conflict-sensitive throughout the planning process. As conflicts can delay the planning process, lead to stagnation, prevent plan adoption and increase cost, conflict prevention should be an integral component of the overall participation strategy. This should include a risk assessment, controlling procedures as well as the identification of potential contingency actions.

Discussion between parties and people involved is natural and expected in a plan development process. The difficult part is to effectively guide and facilitate the discursive process and prevent conflict from escalating. The following conflict prevention tips can reduce the risk for dispute and lower tensions:

Lay your cards on the table: Be honest about the status of the planning process and the work conducted so far. Make clear which decisions have already been taken in previous planning phases and are no longer negotiable, and which are still open for discussion.

Be transparent about how decisions will be taken: Explain carefully and repeatedly how much decision making power stakeholders and citizens have during the SUMP process to avoid confusion about their inputs. Document all agreements and make documentation publicly available.

Do not avoid stakeholders or citizens because they are difficult: People with strong, adverse views may cause discomfort in the participation process. However, nothing is gained by excluding them. On the contrary, they can bring in valuable new perspectives.

Engage a neutral facilitator: A facilitator can help a group to collaborate in a constructive atmosphere and take joint decisions. The person should be skilled in working with groups and evoking active participation. The facilitator should not have decision making authority. Tasks include: structure and moderate meetings, initiate discussion, listen actively, ask questions, paraphrase, summarise. The person should be enthusiastic, empathic and confident, fair and consistent, and be able to keep the big picture in mind while discussing the details.

Set ground rules for participation: Developing guidelines for discussion helps to ensure open, respectful dialogues and that everyone's input is equally valued. Common rules are most effective if developed together with the participants. Examples: speak from your own experience, don't generalise; support everyone's right to be heard; off-target discussions are limited to five minutes; no phone calls during discussion sessions. The facilitator needs to ensure compliance with the rules.

Do not put any conflict to the side, not even small ones: All clashes of interests should be discussed and properly followed up; ignoring concerns is not constructive. One can never be sure whether a small conflict will grow into a bigger one at a later stage of the SUMP process. Solving conflicts has priority over working through the participation schedule!

Box 10: Tips for selecting a good facilitator

A facilitator should have some familiarity with planning processes, but does not necessarily need to have subject matter expertise. Traits of a facilitator should include:

- Credibility
- Objectivity and self-control
- Patience and tact
- Adaptability and perseverance
- Emotional intelligence and empathy
- Active listening skills
- Dialogue and negotiation skills
- Questioning, clarifying and summarising skills



If serious disagreements are emerging the planning authority needs to take action – pause, reflect, plan and respond is the key approach to mitigating conflicts. Conflicts in SUMP processes do not follow a common pattern or are particularly likely during certain phases. The potential for conflict depends very much on the local situation, engagement strategy taken, stakeholders involved in the process, and whether there are common rules for participation. Irrespective of the nature of the conflict, it is crucial to conduct a thorough conflict analysis to gain a deeper understanding of the dynamics of the conflict and select the most appropriate resolution method. It should be kept in mind that disputes often evoke emotions such as fear and anger, which can cause intense reactions. It is important to acknowledge concerns properly but also to defuse emotional build-ups early (see Adler et al, 1998). Emotions can also be part of negotiating tactics, which the planning authority needs to handle even more diplomatically.

A 'round table' is a common participation tool in SUMP development. However, it can also be applied as a special involvement format for resolving conflicts, moderated by an impartial third party. It is helpful to convene a round table in situations when concentrated dialogue between parties with diverging opinions is required. Mediation, a face-to-face process in which participants communicate and negotiate a settlement with the assistance of a mediator, is a method to respond to more serious disputes. However, mediators, intermediaries and other third parties cannot resolve conflict. They can only facilitate the process and encourage participants to resolve the conflict themselves. Therefore, mediation requires participants' willingness to enter into dialogue and eventually reach consensus. The planning authority should be aware of the significant financial and personnel resources required to conduct a multi-phase mediation process.



SUMP discussion
Photo: Ana Drăguțescu



3.3.3 How to engage “hard-to-reach” groups

A hard-to-reach group is a group within society that is typically under-represented in the planning process or has limited capacity for involvement. However, the term should be used with caution as the reason these groups may be hard to reach can be because involvement formats intended for them have been poorly designed. It is also important to note that in some local contexts these groups may actually be well integrated into society and not difficult to access.

Box 11: Potential hard-to-reach groups in SUMP development

Groups difficult to engage with when developing a SUMP may include:

- Children and young people
- Elderly people, especially isolated older people
- Single parents
- Minority ethnic communities
- Language minorities
- Disabled people
- People with specific health issues
- People with low literacy levels
- Faith communities
- People on low incomes

There is no straightforward list of methods that suit specific hard-to-reach groups as these are in fact a set of very diverse sub-groups and individuals. It can be helpful to think the other way around and identify barriers, which might prevent certain groups from participating (see Reid Howie Associates, 2002): written formats may exclude people who are not familiar or comfortable with formulating their views in writing; who are non-native speakers; people with visual impairments; people with literacy problems and learning disabilities. In contrast, in-person methods may be difficult for people who are not familiar with interactive meetings; who lack confidence to express their views; who have experienced exclusion and are uncomfortable outside their usual environment. Online methods are not suitable for people with little or no experience with computers and the internet.

It may be helpful to carry out special equality awareness trainings to train municipal staff to think inclusively when carrying out SUMP participation. Some tips to consider include:

- **Identify barriers** that have prevented groups from participating in the first place and tailor communication and activities to each specific audience based on their needs (e.g. use interpreters, adapt facilities for disabled people, provide care, adapt timing and location of events).
- **Provide sufficient background information** as you should not assume your audience knows the subject well.
- **Ensure accessible information** that is easy to understand and available in different formats. Use plain language in communication and avoid idioms, slang and colloquialisms; integrate pictures, symbols and graphics to aid understanding of the issue.
- **Ask for the support of local organisations** to spread the message of SUMP participation, e.g. community centres, libraries, nurseries, local doctors' offices.
- **Make sure that events are accessible** to all potential participants, check e.g. access to the venue, parking, signage, lighting, accessibility of the venue itself.
- **Provide financial or other support** to those who lack resources to participate.



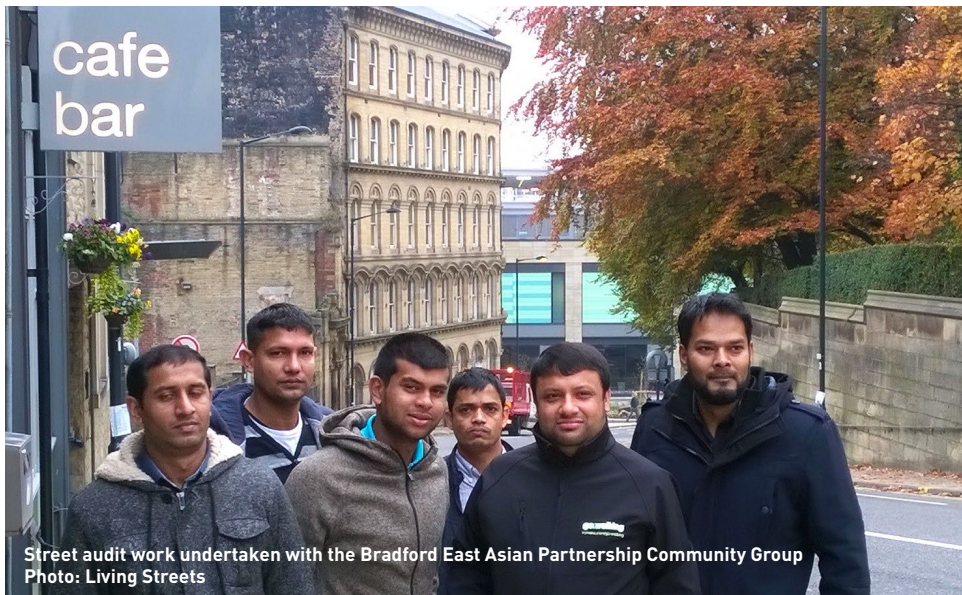
LOCAL SPOTLIGHT

West Yorkshire Combined Authority (WYCA): Participation with 'hard to reach' communities

For drafting a new SUMP for West Yorkshire, WYCA worked with the local Youth Association NGO to gain views from youths on their travel difficulties and aspirations for the future. WYCA learnt that partner organisations can often successfully engage with and deliver participation activities with hard to reach groups. The Youth Association developed interactive participation techniques on the following topics:

- Travel Behaviour – small group discussion of difficulties in undertaking daily activities e.g. getting to school/college/town
- Ambitions for travel – exercises and games leading to agreement/disagreement with statements about their potential travel in the future
- The Role of Technology – games to understand how technology could improve travel in the future

During delivery of WYCA's cycling and walking project 'CityConnect', WYCA contracted a NGO to deliver community participation activities. The NGO enlisted the help of community organisations representing hard to reach groups i.e. elderly and ethnic minorities, to undertake street audits with residents to understand what improvements could be made to encourage walking in the neighbourhoods. Using local groups with good community relationships enabled effective participation activities, especially in time constrained circumstances.



Street audit work undertaken with the Bradford East Asian Partnership Community Group
Photo: Living Streets



3.4 Evaluation of participation

Assuring overall quality of the SUMP participation process and assessing its effectiveness is important for all parties involved. Evaluation is crucial to understand whether the engagement process has succeeded, and what impact it had on SUMP development as well as on a wider a scale. Evaluation results should also be taken up when delivering the SUMP and when preparing the next generation SUMP. However, evaluation is still a relatively new practice in participation.

3.4.1 How to establish quality and control procedures

Monitoring of engagement activities helps to track progress towards reaching the participation objectives and to seize the opportunity to take corrective actions as needed. Objectives accompanied by indicators and targets (e.g. satisfaction rate, number of participants and feedbacks) should be defined for the different participation activities, ideally when developing the SUMP engagement strategy.

A number of quality control procedures are available; internal mechanisms include for example (see also CEAA, 2008):

- **Debriefs:** bring the SUMP engagement team together after each participation activity to reflect upon the recent experience and identify opportunities for improvement
- **Review meetings:** schedule regular meetings to assess the effectiveness and outcomes of the overall participation scheme
- **Peer assessment:** ask practitioners who are not involved in the SUMP participation process to give professional feedback on specific events, activities or strategies
- **Quality control committee:** establish a committee of external members that oversees the SUMP process, including participation activities, and assures quality (see Local Spotlight)

Citizens and stakeholders should also be given the opportunity to provide feedback. For example, designate a contact person whom participants can approach

with questions and feedback, provide suggestion boxes at events and online, conduct event and process satisfaction surveys, or/and ask for informal feedback from stakeholders on a regular basis – it might be helpful to involve the neutral facilitator in this.



LOCAL SPOTLIGHT

Examples of quality control committees

Dresden established a **Scientific Advisory Board** for elaborating the SUMP, consisting of five transportation professors and three urban and regional planners to advise the municipality and its partners (e.g. on methods, objectives, scenarios, ex-ante appraisal, draft SUMP). The Scientific Advisory Board also acted as a neutral body when evaluating conflicts and took on an integrative, facilitating role in the discussion of these.

Bremen set up a **Project Advisory Board** responsible for quality control of the entire SUMP development process as well as making sure that all views were adequately considered in plan elaboration. Council members, the senator and key mobility stakeholders sat on the board.

Thessaloniki established a **Mobility Forum**, consisting of the public transport authority's board members, transport professionals, academic and key mobility stakeholders, when developing its SUMP. The Forum met at regular intervals to review and evaluate the SUMP process and content.



3.4.2 How to evaluate the participation process

Once the entire participation process is completed, it is time for a final self-critical reflection – the evaluation. This can also be conducted as part of an overall process evaluation, or separately (for further information on process evaluation see CH4ALLENGE Manual on Monitoring & Evaluation).

The evaluation can be conducted by the team running the SUMP engagement process or by an independent evaluator. Moreover, it should be complemented by participatory evaluation exercises that involve citizens and stakeholders (see e.g. Local Spotlight on Dresden's stakeholder evaluation survey). There are also tools available that assist planning authorities to assess their SUMP process, e.g. the SUMP Self-Assessment. The tool helps to understand strengths and weaknesses of the SUMP process and has a set of questions dedicated to participation (for further information see CH4ALLENGE Manual on Monitoring and Evaluation). A planning authority should keep in mind that evaluation requires personnel, financial and time capacities, which should be considered already in the participation strategy.

The following (non-exhaustive) list of questions may help to judge the effectiveness of a SUMP participation process (see OECD, 2005):

Involvement

- Was the level of involvement of citizens and stakeholders appropriate?
- Were the methods selected appropriate to the objectives?
- Were participation activities well and timely organised and managed?
- Were communications and materials appropriate, sufficient and effective?

Representativeness and results

- Did all people and parties interested in SUMP development have the opportunity to get involved?
- Was the right balance achieved between involving representative stakeholders and citizens?
- Did results of participation activities reflect the range of views available?

Resources and skills

- Was sufficient budget available to meet the need of participation activities?
- Were sufficient personnel resources available to effectively run participation activities?
- Did the SUMP engagement team have an appropriate level of skills and understanding for running the participation activities?

Outcomes

- Did participation have a positive effect on the SUMP development process?
- Did participation create greater public support for the SUMP?
- Did the participation process improve the quality of the SUMP?
- Has the participation process led to organisational changes within the local authority/mobility department (e.g. new participation practices)?

If only limited resources and capacities are available for evaluating participation, a planning authority should at least conduct an internal review session at the end of the process to reflect on the overall lessons learned; the most successful and unsuccessful aspects; and the most significant changes the process had on the planning authority, citizens and stakeholders and of course the SUMP itself. Such an approach might produce less evidence-based results, though, and could be limited in terms of diversity of viewpoints.



4 Expand your horizon

We hope you found this manual a helpful resource to learn more about participation in sustainable urban mobility planning. If you want to expand your horizon even further we recommend having a look at the following material that complements this manual and is available on the CH4LLENGE website:

- **Quick facts brochure:** a concise summary of reasons for participation and approaches to involve citizens and stakeholders in sustainable urban mobility planning
- **Online learning course:** an interactive online course on how to provide stakeholders and the public with opportunities to engage in the SUMP process
- **CH4LLENGE National Profiles:** an analysis of political, legal, social and technological differences in participation in Belgium, Croatia, Czech Republic, France, Germany, Hungary, Poland, Romania, and the UK

If you are interested in further material on participation in SUMP development and implementation, it might be worth having a look at the following practice-based resources:

- The **CIVITAS ELAN Toolkits** illustrate how to organise successful consultations with stakeholders and conduct effective communications and marketing in mobility planning
- The **GUIDEMAPS Handbook** gives comprehensive information on consultation and public participation, and paints a colourful picture of transport decision making
- The website of the **Internal Association for Public Participation** <http://www.iap2.org> and its open access Journal of Public Deliberation

Furthermore, CH4LLENGE has developed a great number of helpful resources on sustainable urban mobility planning that aim to assist mobility planners to initiate SUMP development and further optimise their mobility planning processes.

- **SUMP Self-Assessment:** a free, online tool that enables planning authorities to assess the compliance of their mobility plan with the European Commission's SUMP concept
- **SUMP Glossary:** a brief definition of more than 120 specialist words, terms and abbreviations relating to the subject of sustainable urban mobility planning
- **CH4LLENGE Curriculum:** an outline of key elements to be taught when organising training related to SUMP and the four challenges
- **Online course "SUMP Basics":** a comprehensive e-learning course for practitioners on the SUMP concept and the procedural elements of the SUMP cycle
- **Wikipedia article:** Join the Wikipedia community and contribute to the SUMP article that CH4LLENGE has published!

For more information join us on

www.sump-challenges.eu



5 References

The other three CH4LLENGE manuals

Gühnemann, A. (2016) SUMP Manual on Monitoring and Evaluation: Assessing the impact of measures and evaluating mobility planning processes. Available from:

www.eltis.org and www.sump-challenges.eu/kits

May, A.D. (2016) SUMP Manual on Measure Selection: Selecting the most effective packages of measures for Sustainable Urban Mobility Plans. Available from:

www.eltis.org and www.sump-challenges.eu/kits

Promotion of Operational Links with Integrated Services, POLIS & West Yorkshire Combined Authority, WYCA (2016): SUMP Manual on Institutional Cooperation: Working jointly with institutional partners in the context of Sustainable Urban Mobility Plans. Available from:

www.eltis.org and www.sump-challenges.eu/kits

References cited in the text

Adler, R. S., Rosen, B. & Silverstein, E. (1998) Emotions in Negotiation: How to Manage Fear and Anger. *Negotiation Journal*, 14:2, pp. 161-179.

Arnstein, S. R. (1969) A Ladder of Participation. *Journal of the American Institute of Planners*, Vol. 35, No. 4, July 1969, pp. 216-224.

Booth, C. & Richardson, T. (2001) Placing the Public in Integrated Transport Planning. *Transport Policy*, 8, pp. 141-149.

Canadian Environmental Assessment Agency, CEEA (2008) Public Participation Guide. Available from:

<http://www.ceaa.gc.ca/default.asp?lang=En&n=46425CAF-1>.

CEREMA (2015) Involving citizens in the SUMP process. Challenges and recent trends in French PDUs.

Available from: <http://www.certu-catalogue.fr/mobility-and-transport-local-practices-sheet-n-3-involving-citizens-in-the-sump-process.html>

CH4LLENGE (2015) National country profiles. Available from: <http://www.sump-challenges.eu/content/outputs>

Eltis (2015) Member state profiles. Available from:

<http://www.eltis.org/de/mobility-plans/member-state-profiles>

GUIDEMAPS (2004) Successful transport decision-making - A project management and stakeholder engagement handbook. Available from: http://www.transport-research.info/web/projects/project_details.cfm?id=5625

International Association for Public Participation (2007) IAP2 Spectrum of Public Participation.

Available from: <http://www.iap2.org>



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

Available at: <http://www.publicdeliberation.net/jpd/vol9/iss2/art2>

Krause, J. (2014) Partizipation und Beteiligung bei kommunalen Verkehrsprojekten. In: Gies, J. and Hertel, M. (2014) Beteiligungsprozesse – unterschätztes Potenzial in der Verkehrsplanung. Berlin, Germany: Deutsches Institut für Urbanistik GmbH, pp. 33-48.

Leading Cities (2013) Co-creating cities. Defining co-creation as a means of citizen engagement. Available from: <https://leadingcities2014.files.wordpress.com/2014/02/co-creation-formatted-draft-6.pdf>

Lindenau & Böhler-Baedeker (2014) Citizen and Stakeholder Involvement: A Precondition for Sustainable Urban Mobility. Transportation Research Procedia, Volume 4, 2014, pp. 347–360.

National Coalition for Dialogue and Deliberation, NCDD (2009) Core principles for public engagement. Available from: <http://ncdd.org/rc/item/3643>

Nanz, P. & M. Fritzsche (2012) Handbuch Bürgerbeteiligung. Verfahren und Akteure, Chancen und Grenzen. Bonn, Germany: Bundeszentrale für politische Bildung.

Reid Howie Associates (2002) Good practice guidance. Consultation with equality groups. Prepared for the Scottish Executive, Central Research Unit and Equality Unit. Available from: <http://www.gov.scot/resource/doc/46729/0025644.pdf>

Rupprecht Consult (2014) Guidelines. Developing and Implementing a Sustainable Urban Mobility Plan. Available from: <http://www.eltis.org/guidelines/sump-guidelines>







6 Key terminology

Term	Definition
Citizen	Citizens are individual members of the public and unaffiliated participants in the participation process. This includes citizens of the town or city for which the SUMP is being prepared as well as the citizens of neighbouring authorities that live within the 'functioning area'.
Co-creation	Co-creation formats aim to share power between citizens, stakeholders and the planning authority. Citizens and stakeholders become active, creative players of the planning process, while the planning authority is taking a facilitating role.
Community group	A group of people living in the same place, such as the people within a city district; or a group of people with a particular characteristic in common, such as a religious community or a special interest group (e.g. the local cycling community).
Consultation	Consultation is the act or process of formally requesting input and discussing a subject with a person or organisation.
Facilitator	A person who plans, guides and manages a participation event and supports participants to discuss, interact and make decisions. The facilitator remains neutral and does not take sides.
Hard-to-reach group	A group within society that is typically under-represented in the planning process or has limited capacity for involvement. These groups may include ethnic or language minorities, disabled people, young people, the elderly, people with low literacy levels, those who are uninterested in civic affairs and people who simply do not think their participation will make a difference.
Involvement tool	The technique used to implement a participation process. These include in-person formats (e.g. focus group, future search workshop, citizen jury) as well as online tools (e.g. discussion forum, crowd-mapping, online voting). A planning authority should offer both online and in-person participation to ensure everyone has the opportunity to get involved.
Mediation	Mediation refers to the process of discussing a dispute in order to resolve it. In some cases, a neutral person may be employed as a mediator who helps disputing parties work out a mutually acceptable solution.
Participation	Also sometimes referred to as involvement or engagement, participation refers to the involvement of citizens and stakeholders in the process of preparing a SUMP. Adopting a transparent and participatory approach to plan-making is a main characteristic of the SUMP approach.
Stakeholder	A stakeholder may be a group or organisation affected by a proposed plan or project, or who can affect a project and its implementation. Stakeholders usually represent positions of organised groups and have a collective interest. Typical stakeholders in mobility planning are transport operators, traffic police and the emergency services, local businesses, retailers, utility providers, mobility and environmental NGOs.
Transparency	Transparency is a characteristic of governments, companies, organisations and individuals that are open in the clear disclosure of information rules, plans, processes and actions. The planning authority responsible for SUMP development should ensure a transparent planning culture that is, as a minimum, based on regular communication and consultation.



About CH4LLENGE

The EU co-funded project “CH4LLENGE- Addressing the four Key Challenges of Sustainable Urban Mobility Planning” (2013-2016) addressed significant barriers for the development of SUMPs in Europe. The project focussed on four common challenges which pose significant barriers in sustainable urban mobility planning.

 Participation	Actively involving local stakeholders and citizens in mobility planning processes
 Cooperation	Improving geographic, political, administrative and interdepartmental cooperation
 Measure selection	Identifying the most appropriate package of measures to meet a city's policy objectives
 Monitoring and evaluation	Assessing the impact of measures and evaluating the mobility planning process

Nine European partner cities were involved in CH4LLENGE and 30 cities outside of the consortium, all committed to improving their mobility planning and representing a diversity of cultures and contexts engaged in sustainable urban mobility planning. The CH4LLENGE cities were supported by a group of organisations with extensive experience of working on mobility planning and SUMP.

For each challenge, the project cities analysed their local mobility situation, developed new strategies on how to tackle their urban mobility problems and tested solutions in pilot projects to overcome their barriers in participation, cooperation, measure selection and monitoring and evaluation.

Cities with extensive experience in integrated transport planning as well as cities aiming to initiate their first SUMP process should all benefit from the results of CH4LLENGE.

The CH4LLENGE Kits

Four CH4LLENGE Kits have been developed building on the results from CH4LLENGE training activities with local and national planning authorities, experience from further national and European SUMP initiatives, and from the CH4LLENGE pilot schemes conducted in the participating partner cities. Each kit addresses one challenge and consists of a comprehensive manual, a brochure and an interactive-learning course. Manuals and brochures are available in English, Czech, Croatian, Dutch, French, German, Hungarian, Polish and Romanian.

