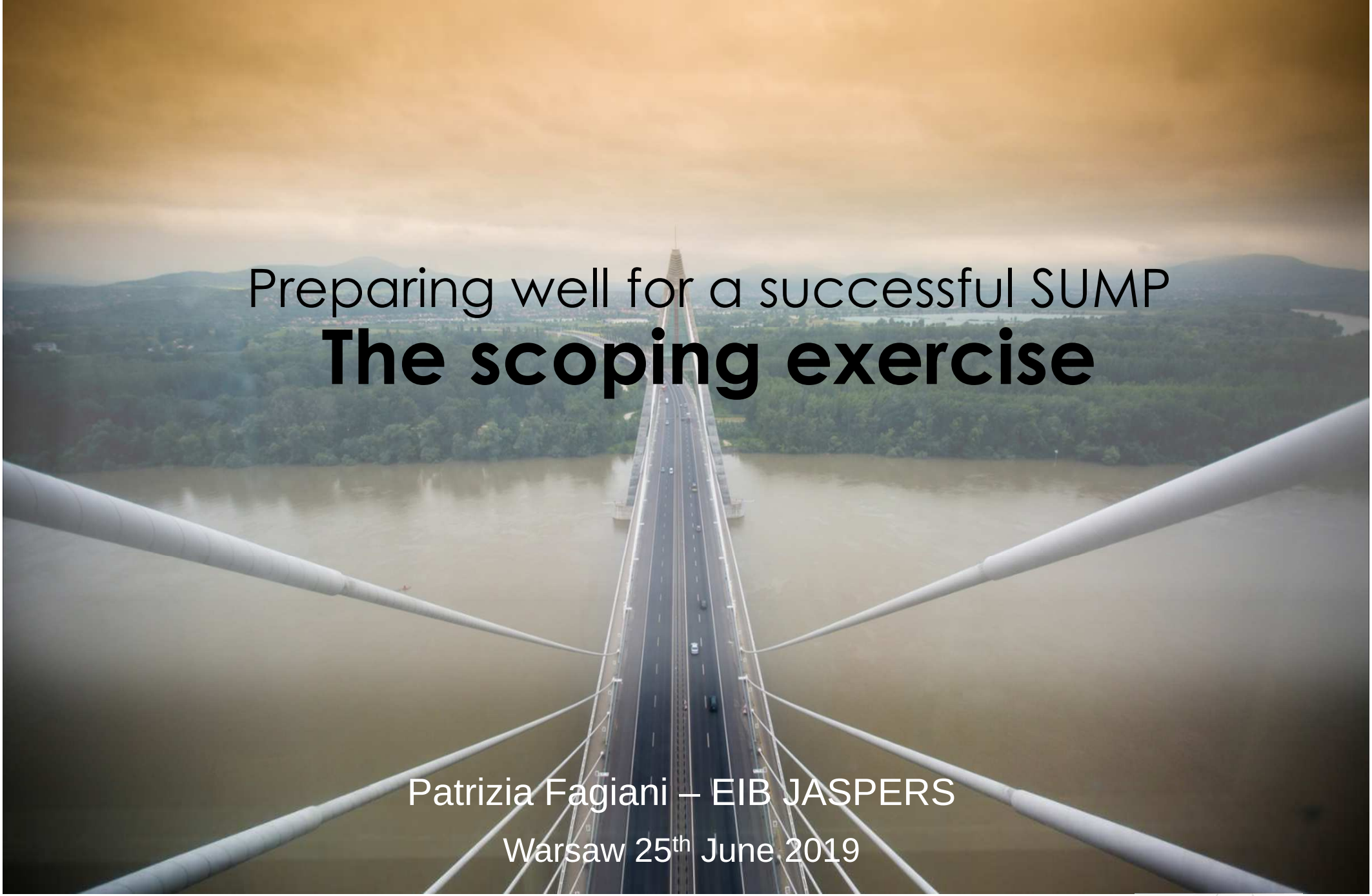

Preparing well for a successful SUMP

The scoping exercise

Patrizia Fagiani – EIB JASPERS

Warsaw 25th June 2019

European Investment Bank The EU bank

Jaspers Joint Assistance to Support Projects in European Regions

European Commission

Today…

1. JASPERS and SUMP
2. The strategy cycle and why planning
3. Scoping: who, what, when and how
4. Stakeholders and citizens participation
5. Diagnosis: approach, tools, data
6. SEA and planning
7. Geographical scope

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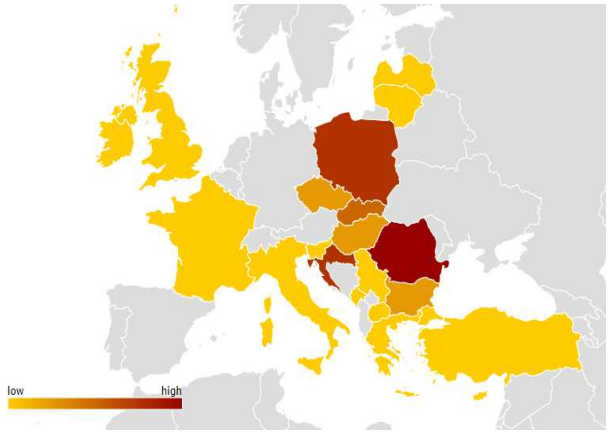
About JASPERS

Comprehensive support to planning and projects

- **Partnership between EC and EIB**
- **100+ sectoral experts employed by EIB**
- **Independent technical support**
- **Towards effective, EU fundable projects**
- **Guidance, review and appraisal**
- **Hands-on approach from regional offices**
- **DG REGIO (2006+), DG MOVE (2015+), IPA**



Strategy/ plans/ pipelines

Project concepts / feasibility studies

Support for EU funding applications

Final appraisal of project

Post-submission support

Expert Guidance + Knowledge Sharing + Capacity Building

JASPERS SUMP Activities Outside Poland

Support to functional areas
Functional areas of Prague (CZ), Zagreb, Rijeka (HR), Budapest (HU), functional region Western Hungary and Burgenland (HU/AUT), Bucharest/Ilfov and other growth centers (RO), Bratislava, Kosice (SK)

Clusters of SUMPs
BG, RO, CZ, CY

Horizontal Actions
National guidance in CY, CZ, HR, RO, SK, trainings in several EU Member States

JASPERS SUMP Activities Outside Poland

CY – Nicosia
Pre-study of Public Transport, SUMP ToR and Support during Implementation

MK – Skopje
Technical and Territorial Scoping, Terms of Reference, Capacity Building, Backstopping, Quick Wins, Project Financing

Railway Node Studies
Budapest, Bratislava, Brno, Zagreb

JASPERS SUMP Activities In Poland

Direct support to selected cities/functional areas

- Rawicz, Silesia Central Region, Tri-city region, Bialystok, Konin
- Advisory support throughout the process from scoping to completion

Support to MIiR/MI/CUPT on SUMP programme development + implementation

- Support for regular discussion, dissemination events open to all interested cities
- Additional technical advice as required

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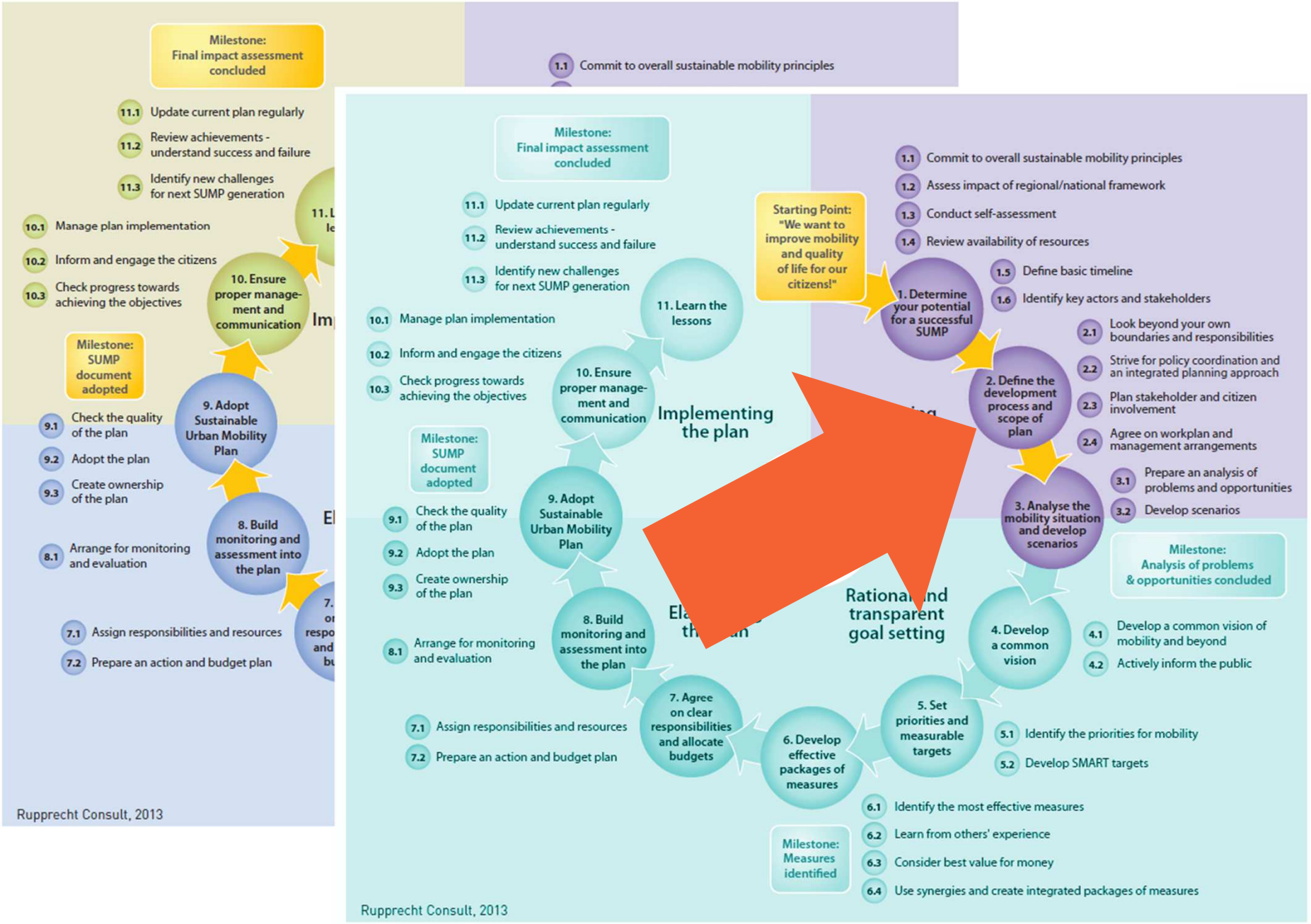
The strategy cycle



… and some more in detail…

In order to reach meaningful results, planning must be based on a thorough understanding of the wider context and the issues to be tackled. Main steps to follow when elaborating a sound strategy are:

1. Strategy concept and scoping;
2. Identification and confirmation (through investigation and analysis) of issues within the transport system (e.g. SWOT);
3. Formulation of plan objectives and vision;
4. Formulation, evaluation and selection of plan scenarios (operational alternatives) and their constituent measures;
5. Environmental assessment and public / stakeholder participation (throughout the full process).

Why do we need upstream strategies?

A project in a complex planning and operational environment cannot be assessed in isolation. Many questions can be better answered at the strategic level. Sound strategies will result in measures and projects that increase:

- **Sustainability**: planning helps ensure economically, financially, environmentally and socially sustainable transport systems;
- **Harmonisation**: resulting in projects that are suitable and beneficial to the wider system development (socio-economic, environmental);
- **Integration / interoperability**: ensuring integration among different elements of the transport system. Assessment needs to be based on a thorough understanding of interaction between projects that are operationally linked. Organizational and operational aspects need to be attentively considered;
- **Resilience and adaptation**: ensuring the ability to adapt to a dynamic and ever-changing environment (e.g. technological disruption).

Good planning ensures
consistent, **holistic**, **well informed** and **structured** decision making,
which reflects real needs.

Climate change at Planning

- **Climate Change Mitigation** in transport mainly happens/starts at the Planning level - not with the single Project
  - Decisions/choices made at planning level have direct implications on energy consumption and CO2 emissions
  - Use of CO2 emissions as Key Performance Indicator (KPI)
  - Carbon footprint calculation methodologies can be extended at the level of network/plan

- **Climate Change Adaptation** considerations to ensure **resilience** of the transport systems and plans
  - Initial vulnerability screening of potential climate hazards and potential risk assessment
  - Considerations of climate adaptation when planning solutions

Main principles behind planning

- Transport is a derived demand, a result of our social and economic activities. Planning must be based on understanding of economic and social developments;
- Suitable geographical and sectoral coverage (multimodal, across administrative boundaries), as required;
- Long-term process, requiring suitable stakeholder / public engagement and significant time and resources;

Planning vs. Implementation plan (short/long term) vs. Financial programming

- Strategy goals should not be dictated solely by funding considerations.
- Programming needs should not dictate the scope of a strategy.

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Scoping: who, what, when and how (1)

- Integration with the strategic environment:
  - higher/lower territorial rank transport strategies (vertical integration)
  - relevant complementary strategies (*smart integrated planning – horizontal integration*)
- Geographical scope
- Relevant time horizon for the plan
- Institutional setup (infrastructure-organization-operations), identifying the relevant stakeholders and planning participation
- Scope and approach to diagnosis (this shapes information/data needed too!)
- Communication plan: what and when?
- Climate change aspects
- Environmental aspects (Strategic Environmental Assessment)

Scoping: who, what, when and how (2)

Based on the above:

- Learning from the past (if a plan exists already);
- Defining needs regarding data, analyses, key stages and levels of assessment, tools, processes and procedures, etc.
- Considering and critically assessing all existing information/data and strategies;
- Defining a working plan: timeline, milestones, working group (for complex functional areas e.g. core group + others involved as need be?);
- Planning of the resources needed;
- Identification of which tasks need to be outsourced and how (procurement) – basis for effective ToR.

Focus today on:

- Stakeholders and citizens participation
- Approach to problem analysis and how this shapes scoping
- SEA and planning
- Geographical scope

Other aspects will be treated in detail during the following SUMP workshops…

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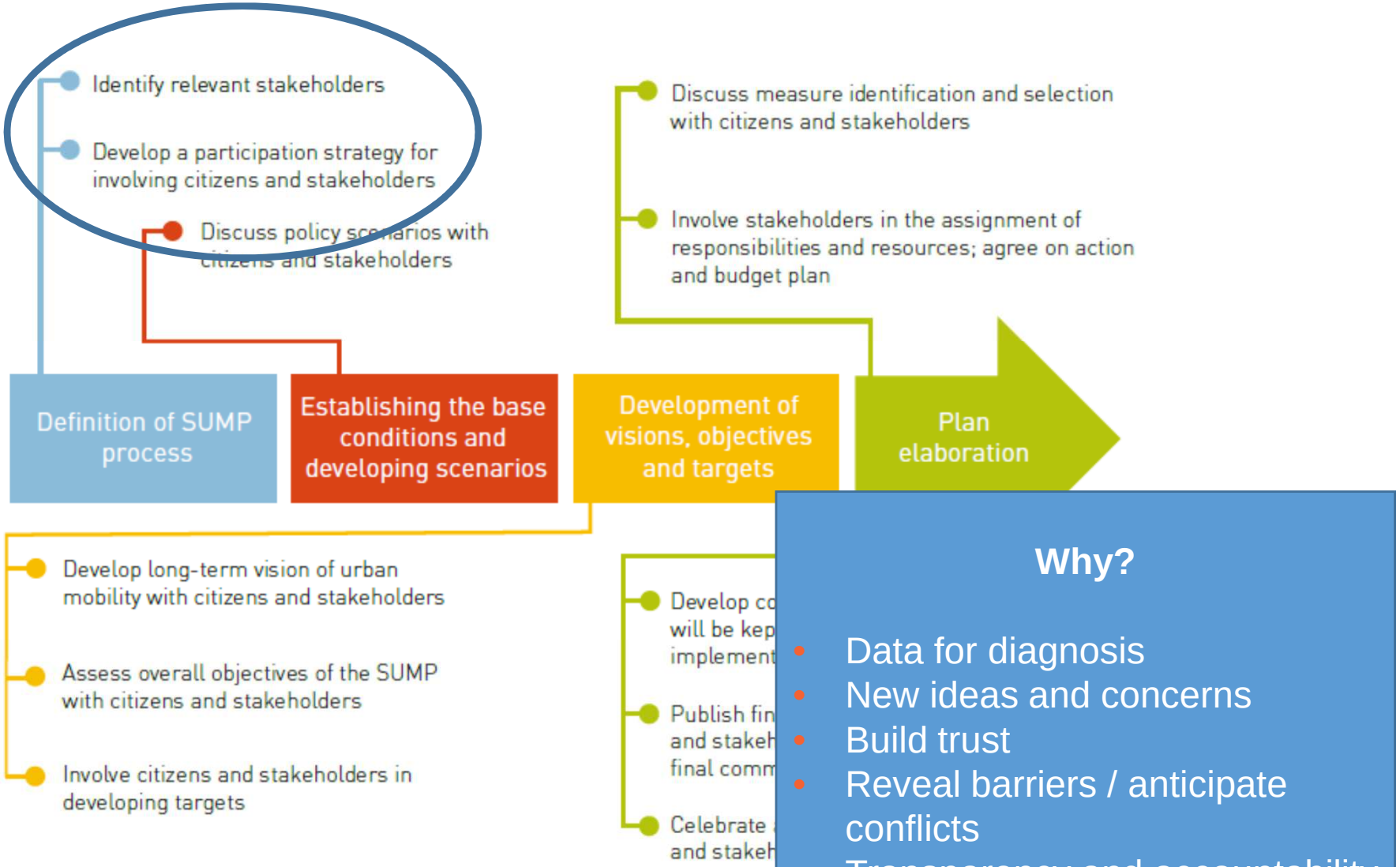
Stakeholders and citizens participation



Stakeholders and citizens participation

- Identifying the relevant stakeholders with respect to:
  - geographical scope
  - layers of the plan (infrastructure, operations, organization)

- Develop a strategy:
  - *Participation/involvement*: experts, operators, institutions, users have a direct knowledge of the system which must feed the problem analysis (e.g. surveys, workshops, meetings, etc.).
  - *Communication*: keeping stakeholders informed about the process and outcomes.

- Who has a stake?
  - Final users (citizens)
  - Territorial units (e.g. gminas) and relevant sectors (e.g. spatial planning, education, health, IT, tourism, wastewater, waste treatment, energy, others)
  - Other relevant stakeholders (e.g. transport and other sectors' operators)

Participation/Involvement

- Important role of stakeholders' consultation (experts and public) in identifying potential issues → **direct knowledge of the system**!
- Potential issues indicated are an input to the diagnosis and should be subject to analytical verification.
- Final users, associations, transport operators (passengers and freight) at the local, regional and if relevant also national level.
- Coordination with other planning levels e.g. spatial planning) and other sectors (e.g. education, health, IT, tourism, wastewater, waste treatment, energy, etc.) → smart integrated planning can dramatically influence mobility needs!
- Timing: need to scope for such involvement early in the process.
- Identify most suitable tools depending on the category: e.g. online or direct surveys, workshops, meetings, etc.

Scoping the communication plan

- Determine the audience
  - Identify the groups of audience (users of PT, non-users, institutions…)
  - Define their level of familiarity with the issues
- Create key messages (during the SUMP process)
- Select the tools and channels
  - Decide which tools will be more effective with which group
  - Consider communication (= 1 way) and interaction tools
- Plan the steps and the communication actions for each step
- Monitor, evaluate and adapt the communication plan

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Diagnosis (1)

Methodological approach

Information/ data needed

Tools to perform analysis

Approach to **problems analysis** shapes the **scoping** of the plan!

Diagnosis (2) - Approach

- Understand demand patterns dictating the predominant **transport functionalities**:
  - International/national/interregional freight transport
  - Local/regional/metropolitan passenger transport
  - Local/regional/metropolitan freight transport
  - Seasonal transport, leisure, including tourism.

- Identifying multi-modal, operational, organisational measures able to effectively solve the issues (something not easily reached by a diagnosis carried out by separate modes of the transport system).

- Consider how do strategic transport needs and corresponding capacities are safeguarded and how the strategic and local transport systems effectively integrated, for both passengers and freight.

- Consider Sector/System Sustainability/Efficiency/Effectiveness

Multi-modality

Strategic vs. local

Long term efficiency and sustainability

Diagnosis (3) – Layers of analysis

- Typical layers of analysis in a regional or local/urban context:

  i. **Demographic/land-use and economic development** plans/patterns (related to transport generation), other drivers of transport behaviour.
  ii. Assessment of current and future **traffic demand volumes** and **transport functionality** (mainly by purpose/type, mode and O-D structure) by area/corridor for passengers and freight.
  iii. **Organisation/Operations** of the transport sector overall and per mode (institutional setup, principles of integration, financing, O&M requirements, PT service offer, passenger and freight traffic/demand management including ITS, parking, urban freight organisation etc.).
  iv. **Accessibility** per mode (time/cost/service coverage based).
  v. Quantity and quality of **infrastructure** per mode (including RAMS - Reliability, Availability, Maintainability, Safety - and ERA TSI compliance where relevant).
  vi. Quantity and quality of **rolling stock** per category per mode (including RAMS).
  vii. **Transport capacity**, **Bottlenecks** and **Level of Service** (quantity and quality – availability and needs).

Slajd 26

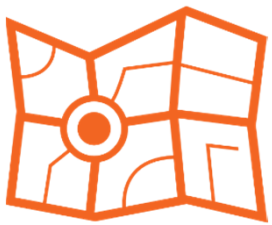
RP14 Theser are layers of analysis rather
RILEY Paul; 2019-06-21

Diagnosis (4) – Layers of analysis

RP15

- Typical layers of analysis of impacts in a regional or local/urban context:

viii. **Safety and security** of the transport system.
ix. **Equal access** for passengers, especially for people with reduced mobility and for social inclusion reasons.
x. **Emissions**, **noise/vibrations**, **energy** sources/efficiency.
xi. Mitigation of impacts on the **environment** (in generally and more specifically on areas protected under EU environmental legislation, e.g. Natura 2000 sites, areas protected under water, air or noise law).
xii. **Climate change** mitigation/adaptation, disaster vulnerability/resilience.

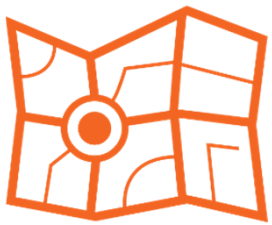


Slajd 27

RP15 These are layers of analysis which require data
RILEY Paul; 2019-06-21

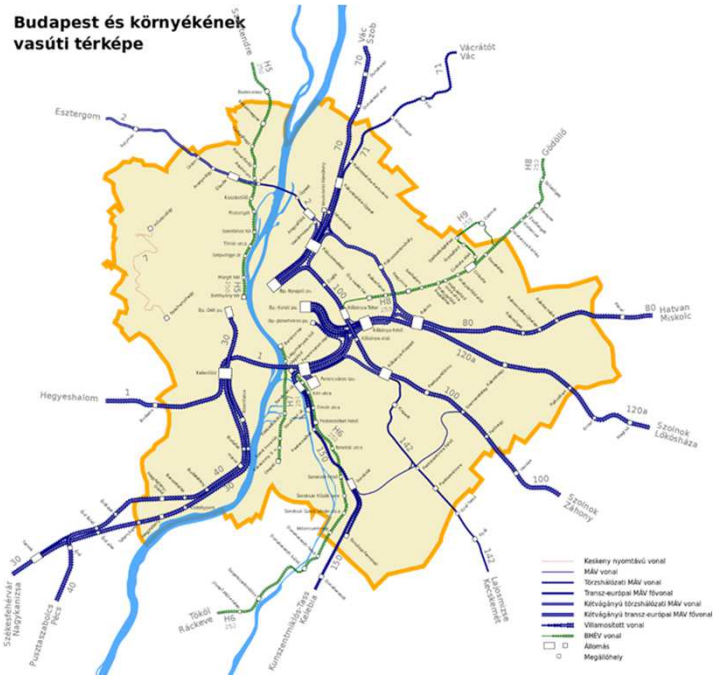
Diagnosis (5) -Tools

- Collecting demand pattern data is essential for all plans but the need for more complex transport models grows with the size of the functional area and the complexity of the transport system.
- For any town above 50,000 in size, a multi-modal network model will start to be useful for planning and above 100,000 it usually starts to become essential.
- If there is a need to assess future land-use change (either based on demographics trends of land-use strategy), then any model will need trip generation and trip distribution steps based on underlying demographic data and travel behaviour surveys.
- Building a complex model including surveys from nothing will generally take at least a year.
- Stakeholder consultation (experts and public) - then undergoing analytical verification.



Diagnosis (6) – specific studies

- In some cases ad hoc studies might be needed to analyse specific circumstances and identify proper solutions.
- E.g. analyse conflicting needs between strategic and local use of infrastructure: **node studies**
- Specific data needs and process requires involvement of stakeholders (operators of strategic nodes – e.g. railways, ports, airports – and local authorities).
- Recommended to identify the need of ad-hoc studies early in the process to properly include them in the scope of the plan and plan adequate time and resources.
- The outcomes must inform the strategy.



Example from the study for the Budapest Railway Node

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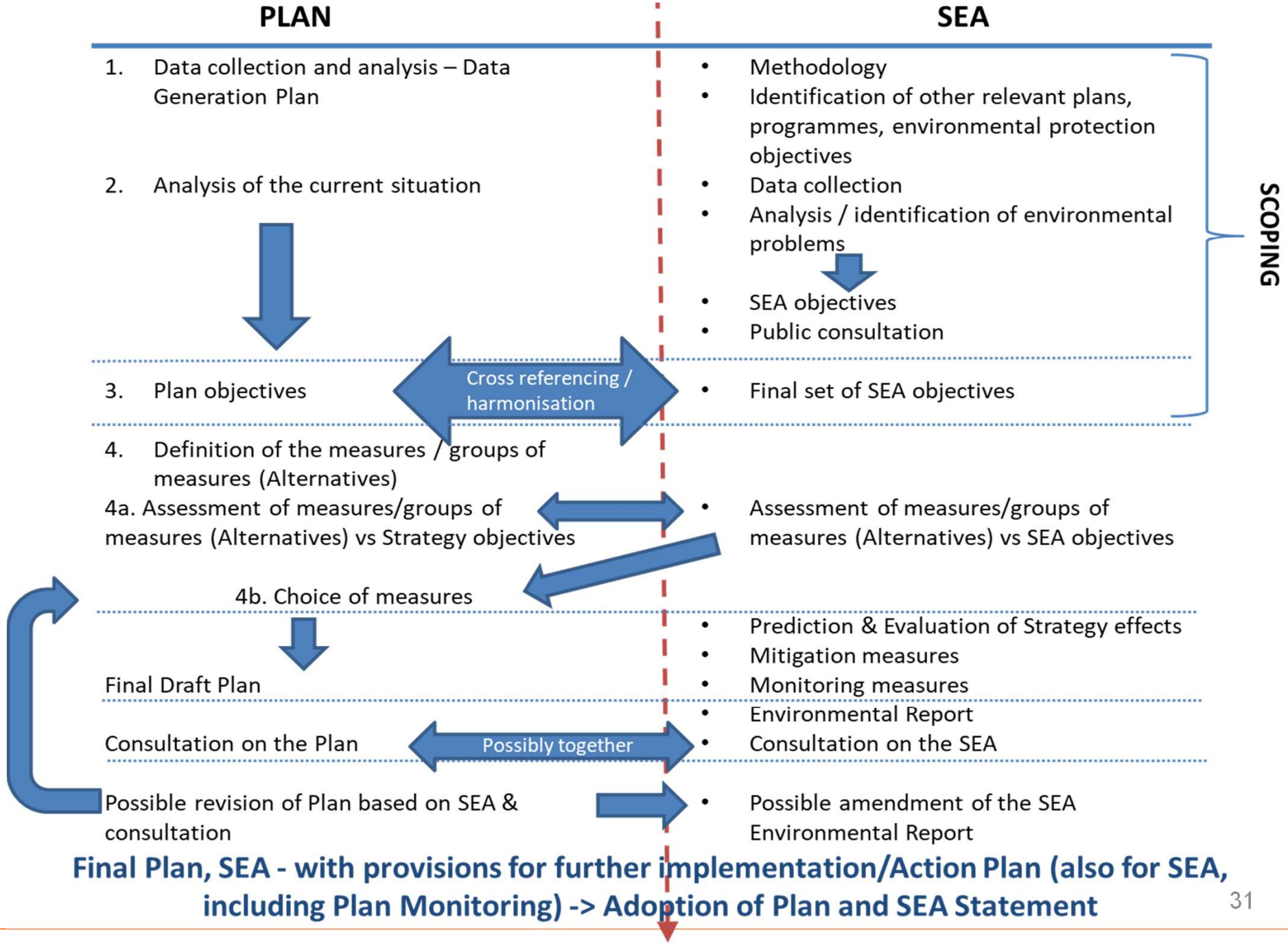
SEA and Planning



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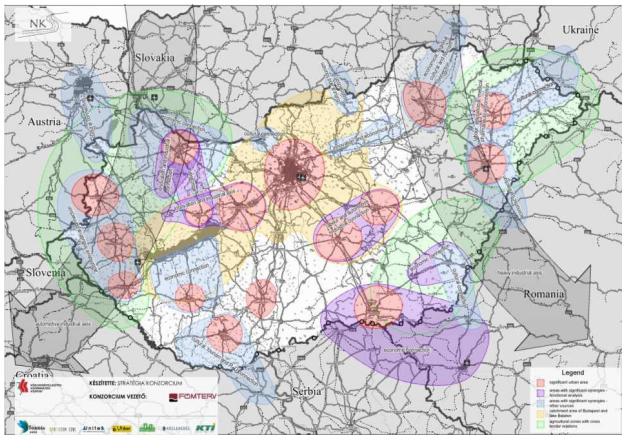
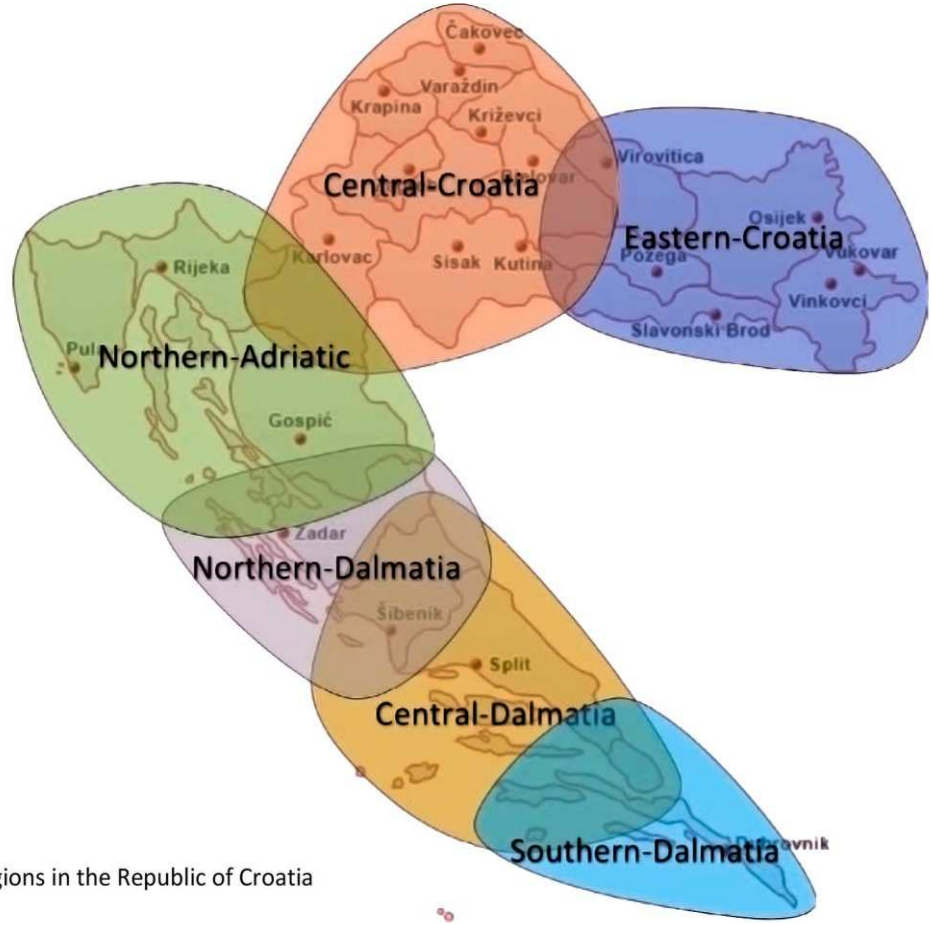
Geographical scope (1)

Administrative boundaries and proper geographical scope for a transport strategy: why is this important?

- Proper analysis = proper knowledge of the transport system, its drivers and its evolution in time.
- Proper identification, ownership and implementation of solutions (measures).



Hungary National Transport Strategy 2013



Functional regions in the Republic of Croatia

Geographical scope (2)

- When/why administrative boundaries and proper geographical scope might not coincide? Some examples:
  - The traffic analysis shows strong transport functionality overlaps between different administrative entities – e.g. cities/larger towns and/or more complex sets of connected municipalities with a high functional interaction.
  - Smaller towns (approx. below 50,000 in size) where transport behavior is dominated by out-of-town movements: ideally, plans developed at a more aggregated level (e.g. metropolitan area, functional agglomeration of cities, regions/functional regions, as appropriate).

- Should be set based on the analysis of traffic flows as a homogeneous area defined by a high level of mobility interactions – e.g. based on traffic model analysis, a 80% of commuting trips or O/D take place within the area.

- Geographical scope of the functional area can be estimated at the scoping based on local expert knowledge if no demand data is available, but might be refined after more detailed assessment of demand patterns at the start of the plan after collection and assessment of demand data.

Geographical scope (3)

- For practical reasons strategies are often procured and managed (or required) within administrative boundaries (regions or towns) with inter-border co-operations as required.

- Possible involvement of towns outside of administrative borders:
  - Active involvement: e.g. institutionalization of the functional region, official partnership agreements, etc.
  - Passive involvement: the traffic study takes into account demand from/to interested regions/towns.

- In the strategy preparation process, reference stakeholders and working group/steering group should be updated to mirror the extended geographical scope.

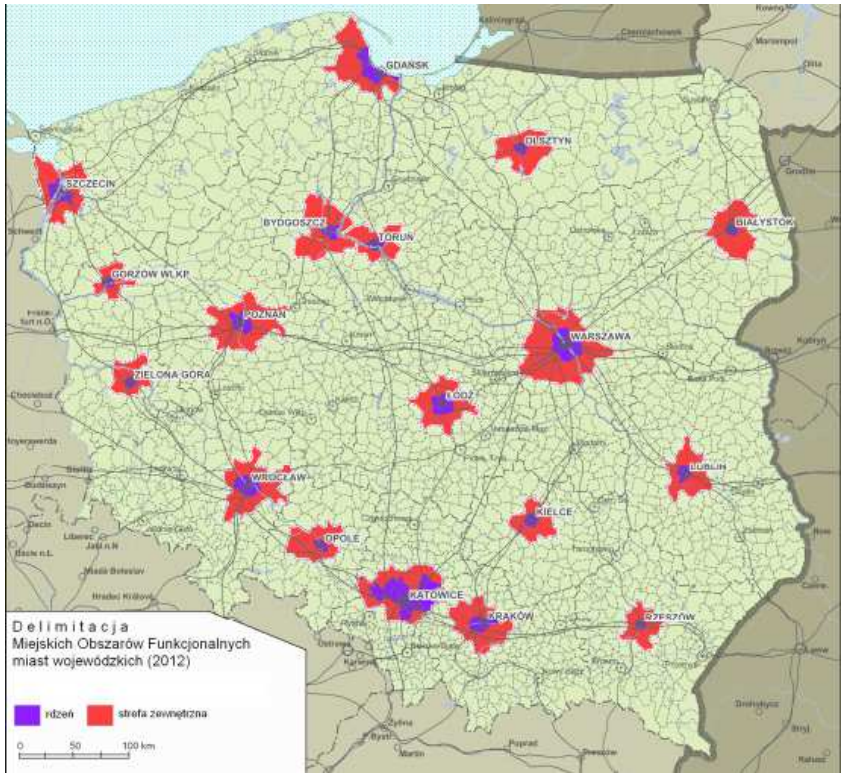
- Agreements set up at this stage might represent the basis for the further integration of all the transport (or part of) systems and services (e.g. common transport authority).

- Ensure full consistency and coordination with any other upper/lower rank or related plans and national/local spatial plans.

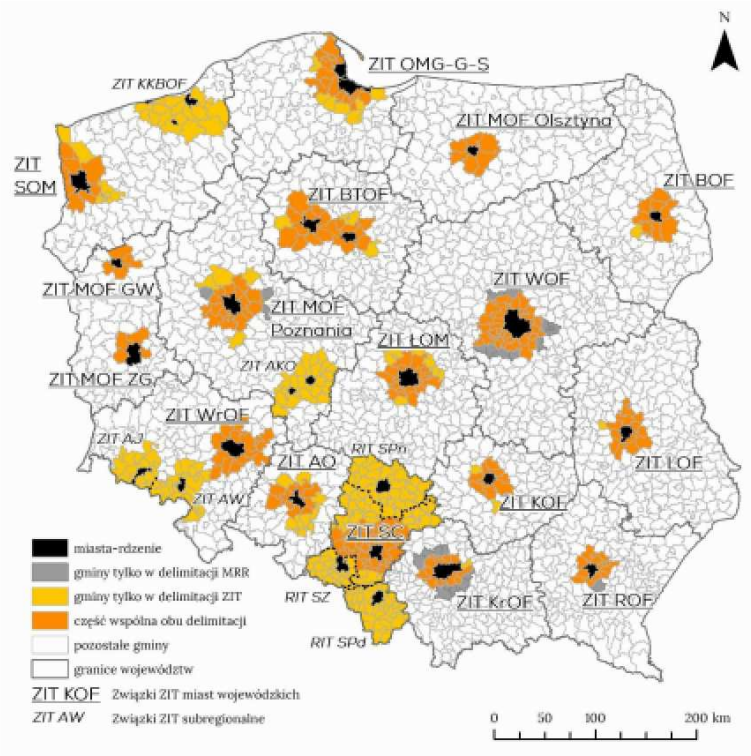
Geographical scope (4) – FA in Poland

- Concept of functional areas in Polish legislation and practice
- National spatial plan 2030 (*Koncepcja Przestrzennego Zagospodarowania Kraju 2030*) – voivodeship capitals, sub-regional, local centres.
- Criteria for the delimitation of urban functional areas of voivodeship centres (*Delimitacja miejskich obszarów funkcjonalnych ośrodków wojewódzkich, 2013*)
- Criteria:
  - Functional indicators (commuters, residents);
  - Socio-economic indicators (employment, economic entities);
  - Morphologic indicators (population density, residential).
- Wide use of the concept for implementation of ITI strategies

Geographical scope (5) – FA in Poland



Delimitacja miejskich obszarów funkcjonalnych ośrodków wojewódzkich, 2013



Ewaluacja Systemu Realizacji instrumentu ZIT, 2018

Geographical scope (5) – FA for SUMP

- Integrating more widely the transport dimension in the definition of the Functional Areas to the purpose of transport strategy definition.
- E.g. recommended to compare already defined Functional Areas with recent transport O/D data: are there relevant areas left outside (i.e. towns O/D of a significant portion of commuter trips)? Should the geographical area for the transport strategy be expanded/reduced?
- If relevant, considering opportunity/feasibility of active/passive involvement of relevant neighbouring towns.
- For newly defined functional areas, consider adding detailed analysis of transport flows to the delimitation criteria.

More information:

http://jaspers.eib.org/