



ADDRESSING KEY CHALLENGES OF SUSTAINABLE URBAN MOBILITY PLANNING

---

# Is your mobility plan a Sustainable Urban Mobility Plan?

The SUMP Self-Assessment tool to determine your  
compliance with the EC Guidelines

**POLIS Conference, 20 Nov 2015**

**Siegfried Rupprecht, Rupprecht Consult – Forschung & Beratung GmbH**



Co-funded by the Intelligent Energy Europe  
Programme of the European Union

# Why do we need a SUMP Assessment?

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

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

# How to ensure SUMP compliance with European guidelines?



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

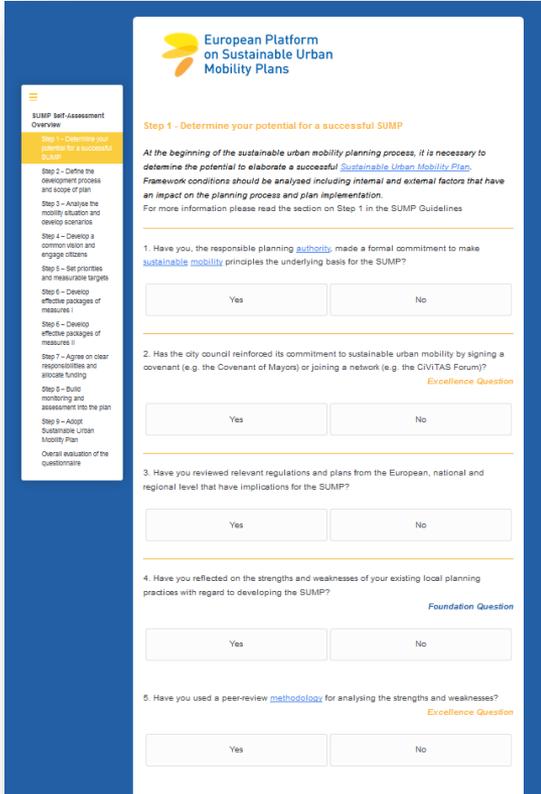
Urban Mobility Package: COM(2013) 913 final,  
Annex 1: A Concept for Sustainable Urban Mobility Plans

# How we developed the Self-Assessment Tool

- SUMP Group at Rupprecht developed an **assessment concept** (first applied for quality certification of Vienna's SUMP, recently for Constanta and Brasov)
- Cooperation with **DG MOVE** and **EASME** on **Self-Assessment** concept and promotion via CHALLENGE
- Test phase to **ensure quality**
  - 19 complete SUMP Self-Assessments
  - detailed quality assessments by 12 experts (cities, academia, consultants; ten countries; mainly from CHALLENGE, CiViTAS)
  - few issues raised, mostly wording, terminology
  - text revisions, glossary and links to ELTIS added before publication

# The SUMP Self-Assessment Scheme

- A tool to assess the compliance of a SUMP with EU requirements, based on the **EC's SUMP concept and Guidelines** as presented in the Urban Mobility Package
- An **online self-assessment** that planners can take at their own pace.
- A **free to use** tool for planning authorities
  - Creative Commons license
  - "attribution, non-commercial, no derivatives"
- A **clear and transparent** concept that is publically available.
- An assessment of the SUMP preparation **process** and of the **plan's content** (only checking whether essential policy areas are covered, not their content)



The screenshot shows the 'SUMP Self-Assessment Overview' page. It features a sidebar with a table of contents listing steps from 'Determine your potential' to 'Adopt Sustainable Urban Mobility Plan'. The main content area is titled 'Step 1 - Determine your potential for a successful SUMP'. It includes an introductory paragraph about the importance of determining potential at the start of the planning process. Below this, there are five assessment questions, each with 'Yes' and 'No' response buttons. The questions are: 1. Formal commitment by the responsible planning authority; 2. City council reinforcement of commitment; 3. Review of relevant regulations and plans; 4. Reflection on existing local planning practices; 5. Use of a peer-review methodology. The interface also identifies 'Foundation Question' and 'Excellence Question' categories.

# The SUMP Self-Assessment Scheme

The screenshot displays the 'Eltis' website interface for the SUMP Self-Assessment Scheme. It features a navigation menu with 'Home', 'Courses', 'Resources', 'Feedbacks', and 'Mobile view'. The main content area is titled 'Activity 1.5: Define basic timeline' and includes sections for 'Setup Guidelines', 'Introduction', 'Rationale', 'Aims', and 'Tasks'. Below this, there are several overlapping document thumbnails, including 'Participation in the context of sustainable urban mobility planning' and 'Participation in Sustainable Urban Mobility Planning'. The interface also shows a 'Menu' on the left and a 'Next' button at the bottom right.

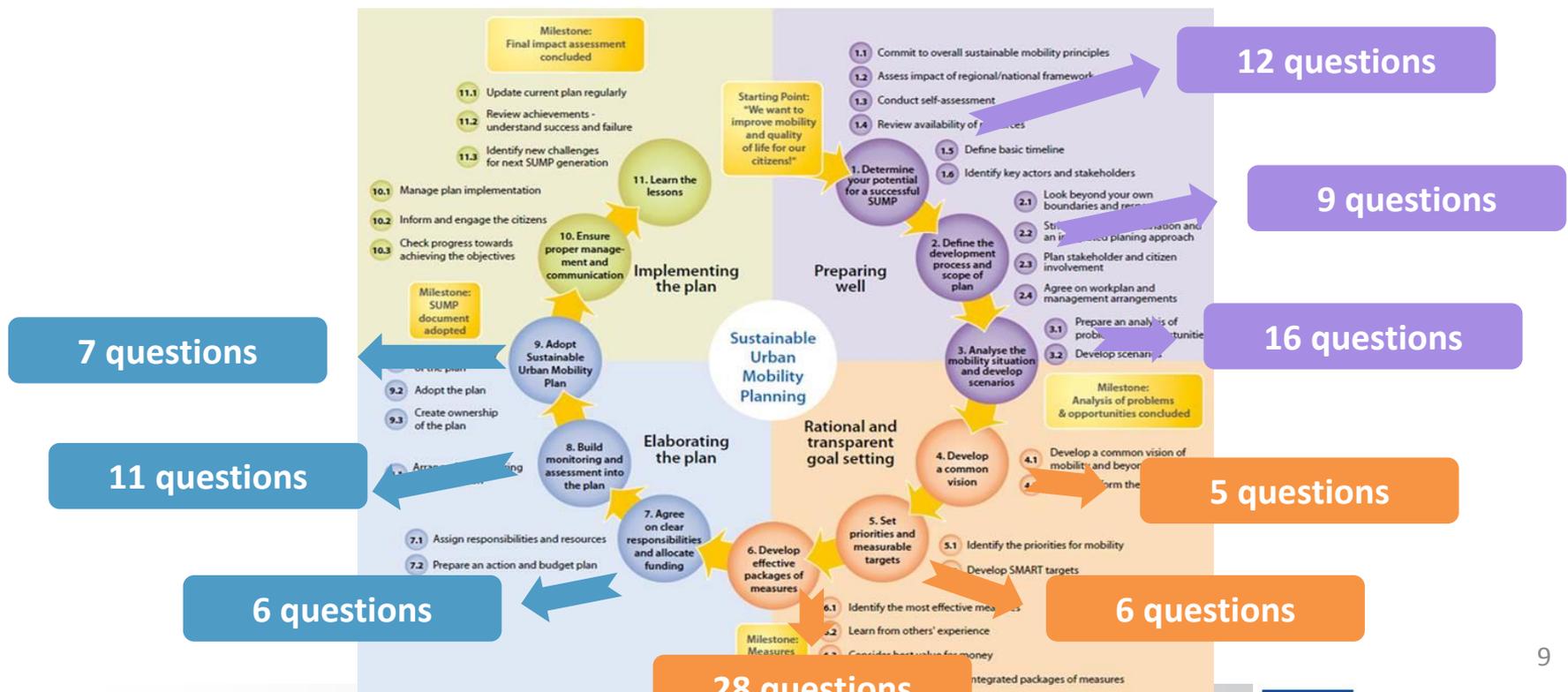
- A simple concept of **100 questions** balanced across the SUMP characteristics
- A system that allows **anonymous** assessment as well as **comparison** with peer cities; all city data fully confidential!
- An online tool that is part of a **learning environment**, including an online version of the SUMP Guidelines, training courses and a SUMP glossary



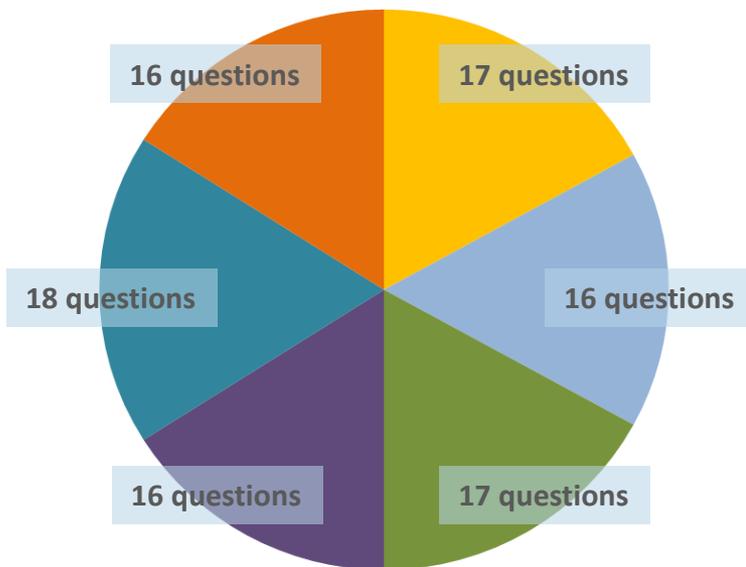
# Structure of the questionnaire

100 questions are structured along

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



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



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

# Scoring of SUMP Self-Assessment

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

## 15 Excellence Questions

identifying **front-runners**

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

## 13 Foundation Questions

setting a **minimum level** of SUMP compliance

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

# Score ranges and SUMP classification

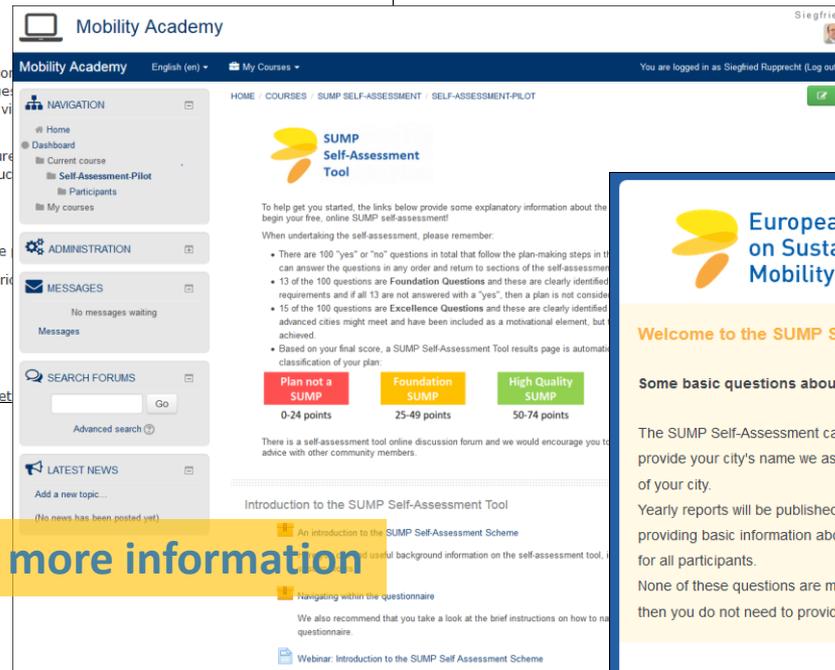
- The final score translates into a SUMP classification

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

# How to get started with SUMP Self-Assessment?



[www.eltis.org/mobility-plans/theSUMPprocess](http://www.eltis.org/mobility-plans/theSUMPprocess)



2. Get more information



### Welcome to the SUMP Self-Assessment Scheme

**Some basic questions about your city**

The SUMP Self-Assessment can be completed on an anonymous basis. However, if you do not wish to provide your city's name we ask that you complete Questions II, III and IV about the basic characteristics of your city.

Yearly reports will be published with anonymised summary results for all completed assessments, so providing basic information about your city will enable us to provide improved benchmarking information for all participants.

None of these questions are mandatory, so if you believe that the questions identify your city too clearly, then you do not need to provide an answer.

I. Thank you for taking the time to review the SUMP Self-Assessment! Are you completing the Self-Assessment on behalf of a city administration or an organisation (e.g. research institution, NGO, business or government department)?

*This question is asked during trial phase only.*

3. Respond to questions

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

# How to get started with SUMP Self-Assessment?



European Platform  
on Sustainable Urban  
Mobility Plans

22 Sep 2015

## SUMP Self-Assessment Scheme

City ABC

Overall score: 78 out of 100.



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

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

### Foundation and Excellence Questions

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

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

### SUMP Cycle Steps

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

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

### SUMP Characteristics

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

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

4. Receive detailed feedback

5. Improve your process, compare with other cities



# SUMP Self-Assessment: Part of a learning environment



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

## Step 6 - Develop effective packages of measures I

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

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

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

Foundation Question

Yes	No
-----	----

50. Have you discussed [measure](#) identification and selection with a group of [key stakeholders](#)?

Yes	No
-----	----

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

Yes	No
-----	----

52. Have you enabled [stakeholders](#) and [citizens](#) to get actively [involved](#) in discussing the identified [measures](#)?

Excellence Question

online handbook

glossary of terms

(online) courses – soon!



# Practical use of the SUMP Self-Assessment

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

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

# SUMP Self-Assessment Summary

1. Tool to **assess compliance** with the EU SUMP guidance.
2. Primary use as **self-assessment** after plan completion. Additionally to assess previous plans or before/ during **plan preparation**.
3. **Transparent concept** with 100 easy to understand yes-no questions, following SUMP cycle.
4. Provides **feedback on strengths and weaknesses** (for steps and SUMP characteristics), clear **overall score**.
5. Focus on **planning process**, only completeness check of content.
6. **Publicly available** tool for any type of city, usable at own pace.
7. Available for **free** (for non-commercial use).
8. Part of **learning environment** with online guidelines, a glossary, courses.
9. Strategic use as a **progress monitoring** and **quality verification** tool.
10. **Quality tool** developed by the authors of the SUMP Guidelines in cooperation with DG MOVE and EASME.

---

## The official launch of the SUMP Self-Assessment Tool at the 2015 POLIS Conference!



# Thank you for your attention!



## SUMP Self-Assessment

Rupprecht Consult – Forschung & Beratung GmbH

Ana Maria Baston, Susanne Böhler-Baedeker,  
Tim Durant, Miriam Lindenau, Siegfried Rupprecht

**Feedback and questions welcome:**

**[sump@rupprecht-consult.eu](mailto:sump@rupprecht-consult.eu)**



Rupprecht Consult has developed the SUMP Self-Assessment which is disseminated in the framework of the EU co-funded project CH4ALLENGE. The Self-Assessment Scheme is made available free of charge for non-commercial use and is subject to a Creative Commons licence ("attribution, non-commercial, no derivatives").



Co-funded by the Intelligent Energy Europe  
Programme of the European Union