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PLUME

PLanning and Urban Mobility in Europe

**Synthesis Report:
Strategy Development**

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0 MAIN PROJECTS CONSIDERED

The main LUTR cluster projects considered in the production of this Synthesis Report have been:

- PROSPECTS, in particular the Decision Makers Guidebook (May et al, 2003)
- TRANSPLUS, in particular Deliverables D4, D5.1 and D5.2

Also, material from ARTISTS, PROPOLIS and ECOCITY has been included.

1 OVERVIEW OF KEY FINDINGS FOR POLITICIANS

Complex decision-making responsibilities

Traditionally, transport and land use decisions have been made by elected politicians, advised by expert professionals. However, life is now much more complicated. On the one hand, there is an increasing demand for public participation, in particular concerning social groups who have traditionally been excluded from the policy formulation process. On the other hand, very few cities are “islands”, so policies are influenced by neighbouring towns and cities. This influence may also be determined by regional policies, national government and, increasingly, European policy. Furthermore, fewer policy decisions can now be taken solely by government, even if influenced by public participation. The private sector and semi-private agencies are increasingly responsible for public transport, road construction and land use decisions.

Approaches to decision-making

When considering the process of strategy development, it is useful to think in terms of three main approaches to decision-making. *Vision-led* approaches usually involve an individual politician having a clear view of the future form of city they want, and the policy instruments needed to achieve that vision. *Plan-led* approaches involve specifying objectives and problems, adopting an ordered procedure identifying possible solutions to those problems and, by using mathematical techniques, selecting those which perform best. *Consensus-led* approaches involve discussions between stakeholders and different social groups to try to reach agreement on each of the stages in formulating strategy.

Plan-led approach: an ideal process

Underpinning a plan-led approach, we can define an “ideal strategy development process”. This process includes the stages of: definition of objectives, performance indicators and targets; the identification of barriers to implementation and how to overcome them; the formation of packages of measures; and the use of appraisal and modelling methods to predict the extent to which any package of measures meets the defined policy objectives.

Consensus-led approach: public participation

All strategy development should take place within an ongoing context of public participation, which can be classified according to the following levels (ranging from the less active to the more active): information provision; consultation; deciding together; acting together; and supporting independent stakeholder groups. A distinction can be made between *formal* statutory consultation methods and *informal* participation methods. A large number of the latter have been implemented in various European cities and, in general, a successful public participation strategy will combine a wide range of such methods. An example of a successful public participation exercise in practice concerns the development of the 1997 Groningen Local Traffic Plan, which used the following informal participation methods: political theatre to role play city decision-making; suggestion boxes circulated around public buildings; random telephone interviews; provision of information about the process through local media; round table discussions to identify important themes; small group workshops to develop alternative strategies; and open forum discussions between the public and the city authorities to discuss and vote upon these alternative strategies.

2 THEORETICAL BACKGROUND

This section provides material on theoretical aspects of strategy development according to the following structure:

1. Approaches to decision-making;
2. Public participation;
3. A description of an “Ideal Process”;
4. How to define objectives, performance indicators and targets;
5. Barriers to implementation and how to overcome them;
6. Forming packages of instruments

All these issues are dealt with explicitly in the PROSPECTS Decision Makers’ Guidebook (DMG) (May et al, 2003) which will be cited a number of times throughout the report. Other issues considered in the DMG concern: policy instruments, appraisal and modelling. These are dealt with in separate PLUME Synthesis Reports.

2.1 Approaches to Decision Making

In the PROSPECTS DMG three broad approaches to decision-making were identified: vision-led; plan-led; and consensus-led.

Vision-led approaches usually involve an individual (typically the mayor or committee leader) having a clear view of the future form of city they want, and the policy instruments needed to achieve that vision. The focus then is on implementing them as effectively as possible.

Plan-led approaches involve: specifying objectives and problems (with problems being defined as failures of current or predicted future conditions to meet the objectives); adopting an ordered procedure identifying possible solutions to those problems; and selecting those which perform best. This procedure will typically involve the use of formal appraisal methods (such as Cost Benefit Analysis or Multi Criteria Analysis), which receive input from computer models which predict the future impacts of alternative policies.

Consensus-led approaches involve discussions between the stakeholders to try to reach agreement on each of the stages in formulating strategy. Ideally agreement is needed on the objectives to be pursued and their relative importance; the problems to be tackled and their seriousness; the policy instruments to be considered and their appropriateness; the selection of policy instruments which best meet the objective; and the way in which they should be combined into an overall strategy, and implemented. In practice much consensus-building focuses on the choice of policy instruments, but it can be considerably enhanced by considering objectives and problems as well.

There are some obvious pitfalls to each approach. A vision-led approach is critically dependent on the individual with the vision. If he or she leaves office, it may prove very difficult to avoid completely abandoning the strategy. A plan-led approach can become unduly dependent on professional planners, who may lose sight of the needs of ordinary citizens, in particular those not associated with powerful groups and who thus cannot make

their voices heard. A consensus-led approach may, unless agreement can be reached in a reasonable length of time, lead to unacceptable delay and inaction.

Frequently, research projects explicitly or implicitly put more emphasis upon one type of decision-making approach as opposed to others. In the context of the LUTR Cluster (particularly with respect to those projects that have been completed), PROSPECTS and TRANSPLUS reflect such differences. Whilst both projects take account of, on the one hand, plan-led approaches and, on the other hand, public participation, their “centres of gravity” lie in very different places. PROSPECTS is mainly concerned with formal techniques concerning appraisal, modelling and the mathematical optimisation of policy. On the other hand, TRANSPLUS provides a large amount of information about theories of public participation and methods on how to achieve it, and puts emphasis on those methods which can help achieve a consensus that is “fair” (as opposed to a “consensus” that is forced upon the weaker members of society by the stronger members).

It is in the spirit of this synthesis report that it should be possible to combine the technical advantages inherent in plan-led strategy development with genuine participatory democracy. Thus the former provides tools to facilitate the latter, as opposed to being a weapon to undermine it. Whilst it is clearly challenging to achieve this aim in real-life decision-making, an important step should be to try to achieve it on a research level. Thus there is a conscious balance throughout this synthesis report between plan-led methods (mainly from PROSPECTS) and public participation methods (mainly from TRANSPLUS).

2.2 Public Participation – Theoretical Background

An overall justification for putting emphasis upon public participation is given by TRANSPLUS (2003c):

The domain of governance is at present characterized by a struggle between technocorporate tendencies and pluralistic democratic tendencies. The first seek to keep control over the management of a territory, using tools of technical analyses and management, following standardized rulebooks or recipes of conventional collaboration between government, major business organizations and trade unions (see Healey, 1997; Albrechts, 1999). The pluralist democratic tendencies on the other hand, seek to acknowledge a wide range of stakeholders. They are developing in the current ‘crisis’ of representative democracy and seek to transform the state in ways that will serve all of its citizens, and especially the least powerful. Through involvement of citizens (and especially weak groups) in socially and politically relevant actions, empowerment could be realized for these citizens (see Friedmann 1998). The purpose is to promote structural change in order to improve the individual and collective potential to take actively part in plan making and decision-making that impacts on their living environment. The goals of these pluralistic democratic tendencies have inspired this report.

The PROSPECTS DMG defines the following five levels of public participation:

- **Information provision:** a one way process to keep those with an interest in the strategy informed.
- **Consultation:** where the views of stakeholders and the general public are sought at particular stages of the study and the results are input back into the study process.
- **Deciding together:** where the stakeholders become decision-makers

- **Acting together:** where the stakeholders also become involved in the implementation of the strategy.
- **Supporting independent stakeholder groups:** where the city enables community interest groups to develop their own strategies.

In general, a distinction can be drawn between *formal requirements for consultation* (which are legally binding) and *informal methods for encouraging participation* (which are typically not legally binding). Box 1 shows a number of informal methods, selected from a longer list provided by TRANSPLUS (2003b), for facilitating more active public participation.

Box 1: Informal active participation, as discussed by TRANSPLUS

A high number of possibilities of informal active participation in planning processes can be identified, such as.

- Creation of residents' groups and networks invited to participate in planning processes / projects whenever relevant for their area;
- Workshops or forums which try to develop visions for the "city of tomorrow" or which revolve around a concrete project of urban planning;
- Planning cells: random selection of citizens who are encouraged to solve tasks in the field of planning and development through team-work. Planning cells are supported by experts, who give advice, but without influencing the ideas of the citizens.
- Active involvement of target groups with special needs in planning processes, for instance the involvement of inhabitants, children and youth in the design of open spaces, involvement of cyclists in planning cycle-paths and cycle-networks;
- Youth-oriented techniques include Childrens' Parliaments, which promote youth education and learning of how the decision making process concretely works;
- "Planning for Real" techniques whereby members of the public are actively involved in (re)designing their local land uses, sometimes in the form of a three-dimensional model.
- Active involvement of citizens, employees etc. in campaigns and actions which promote environmentally friendly behaviour: for instance the campaign "cycle to work" or the "one week without car usage";
- Action days to promote cycling, public transport and less car usage by several campaigns for instance involvement of schools, citizen's organisations. Examples are the Bike to Work Day and Car Free Day in several European cities.

TRANSPLUS (2003c) emphasises that the following issues should be taken into account considering different types of consultation / participation.

- It would be a mistake to view the processes listed above as if they were part of a relationship between a monolithic single public authority and a homogenous public. In reality, with respect to a particular location, there will be a number of differing public bodies (with differing geographical and technical responsibilities) with responsibility for land use and transport planning. On the other hand, the public that needs to be consulted will comprise a range of different social groups with different needs, ideologies and levels of confidence in putting over their views, and there will be varying types of power relationships existing between such groups which influence any participatory activities.
- A distinction needs to be made between "direct" forms of participation, which involve individuals directly, and "mediated" forms of participation in which a well-established organisation represents the views of a particular social group. Whilst the second option might be easier to organise in practice (especially for a large locality) there is a potential problem in that the organisation might well have aims of its own that are not reflective of the people that it is representing.

- Many experiences have shown that some members of the public are more interested in participating in discussion around local short-term schemes rather than in defining long-term strategies. Whilst the former type of participation should be encouraged, methods need to be developed to encourage both types of participation to take place in synchronisation.

2.3 Ideal Process – Theoretical Background

Whilst (as seen above) the PROSPECTS DMG defines issues concerning public participation, the core of the document addresses a plan-led “ideal process” which includes the steps shown in Figure 2.1 These can be defined in more detail as follows:

- a clear definition of objectives is the starting point;
- they are used to define problems, now and in the future;
- an alternative is to start with identifying problems, while checking that all objectives have been covered;
- possible instruments are suggested as ways of overcoming the problems which have been identified;
- barriers to implementation will arise for certain policy instruments;
- strategies are developed as combinations of instruments, packaged to reduce the impact of the barriers;
- the impacts of the individual instruments or the overall strategies are then predicted using a model;
- the results for these options are then compared using an appraisal method based on the objectives;
- this process may well identify ways in which the instruments or strategies can be improved;
- it is possible at this stage to use optimisation techniques to help identify better strategies;
- the preferred instrument or strategy is then implemented, and its performance assessed against the objectives; these results may help improve future predictions;
- on a regular basis, a monitoring programme assesses changes in problems, based on the objectives

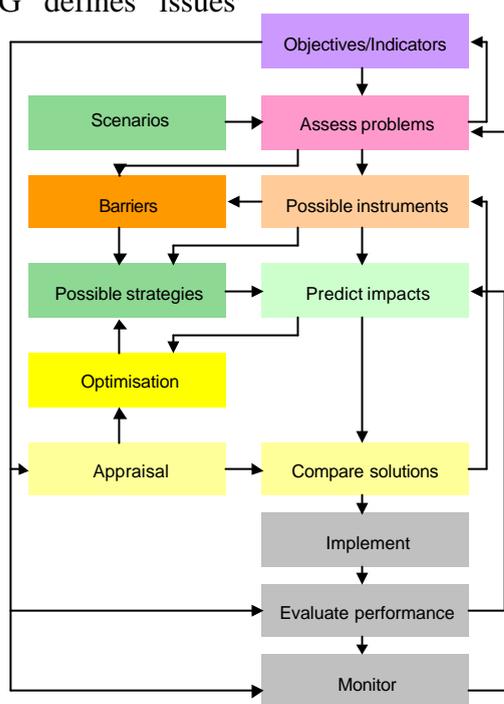


Figure 2.1: An idealised strategy development process (from PROSPECTS DMG)

2.4 Objectives, Indicators and Targets – Theoretical Background

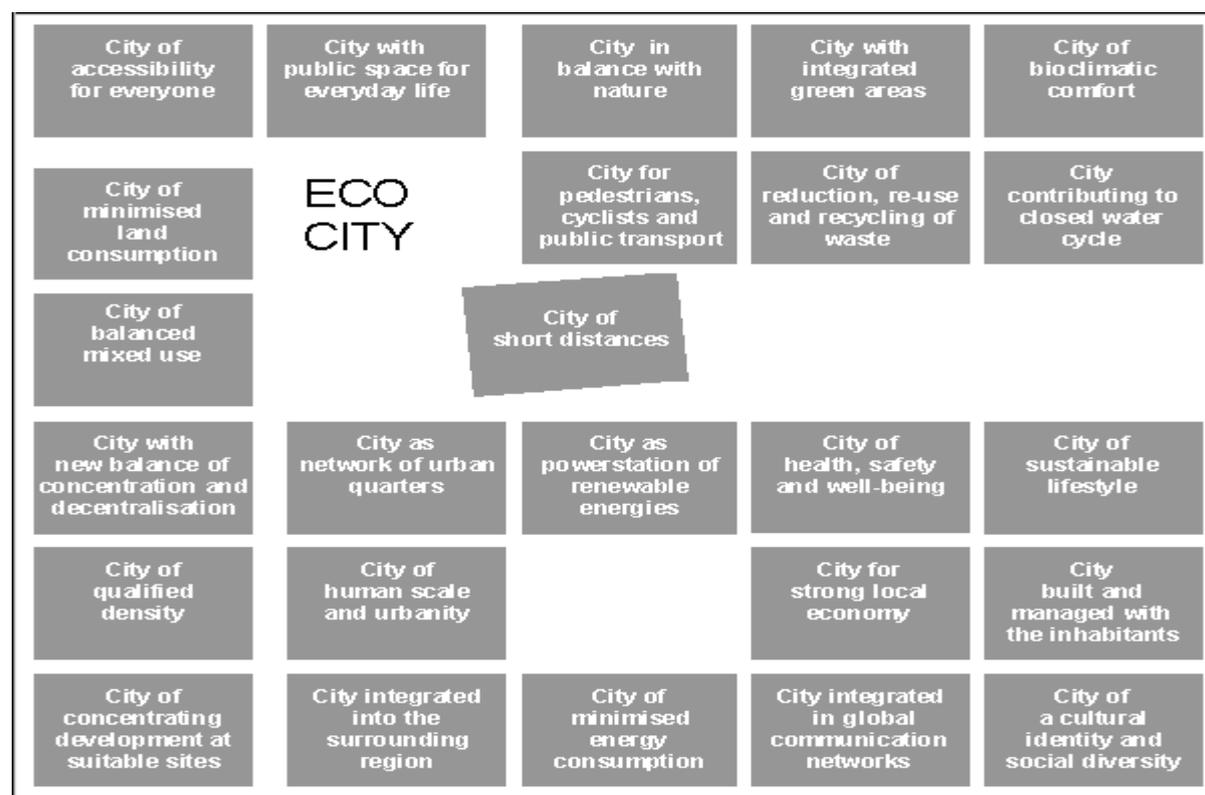
2.4.1 Objectives

In developing a land use and transport strategy, it is essential to be clear what the strategy is designed to achieve. The PROSPECTS DMG identifies the following functions for objectives:

- they help to identify the problems to be overcome, both now and in the future;
- they provide guidance on the types of solution that might be appropriate and the locations in which they are needed;
- they act as constraints, in clarifying what should be avoided in pursuing any particular solution;
- they provide the basis for appraisal of alternative solutions, and for monitoring progress in implementation

Figure 2.2 shows a graphical display of objectives for an “Ecocity” taken from the ECOCITY Project Summary (2002).

Figure 2.2: Principal Features of an ECOCITY



2.4.2 Indicators

As described above, objectives are abstract concepts, and it is therefore difficult to measure performance against them. Indicators are ways of quantifying objectives. For example, accident numbers could measure a safety objective; locations exceeding a pollution threshold could measure an environmental objective. This type of indicator is often called an *outcome indicator*, since it measures part of the outcome of a strategy. It is also possible to define *input indicators*, which measure what has been done (e.g. length of bus lanes implemented) and *process indicators*, which describe how the transport system is responding (e.g. number of bus users). While these may be useful in understanding what has happened, they are less useful in assessing performance, since they say nothing about impact on the key objectives. Table 1 provides a list of urban sustainability indicators that has been suggested by PROPOLIS (2000).

An important issue for indicators concerns their spatial dimension. This issue has been addressed by ARTISTS (Plowright, 2002), which asks the following questions: “when we speak of ‘Arterial Streets Towards Sustainability’, to what spatial scale of sustainability are we referring? Are we referring to the street itself being more sustainable or it contributing to a more sustainable city or nation?” In answering these questions it notes: *‘The scale issue is reflected within the LUTR cluster. PROPOLIS for example is considering city level strategies for moving towards sustainability, and indicators by which to assess progress. Many of the policy approaches considered by PROPOLIS are intended to influence travel demand and hence impacts arising from vehicle use along the city arteries...ARTISTS is looking at sustainability ‘from the other end of the telescope’...For example, it is not useful to attempt to quantify emissions of CO₂ from a length of case study street. Such components of sustainability become more meaningful as we approach the city scale.’*

Table 2.1: Sustainability Indicators – PROPOLIS project

COMPONENT	THEME	INDICATOR
Environmental		
	Air pollution	greenhouse gases from transport and land use acidifying gases from transport and land use Organic compounds from transport
	Consumption of natural resources	consumption of mineral oil products, land use and transport land coverage; consumption of construction materials
	Environmental quality	indicator addressing microclimate; potential for biodiversity quality of open space
Social		
	Health	exposure to particulate matter from transport in the living environment exposure to nitrogen dioxide from transport in the living environment exposure to traffic noise; traffic deaths; traffic injuries
	Equity	justice of distribution of economic benefits justice to exposure to particulates justice of exposure to nitrogen dioxides justice of exposure to noise segregation
	Opportunities	total time spent in traffic; level of service of PT and slow modes vitality of city centre; vitality of surrounding region accessibility to city centre; accessibility to services accessibility to open space employment effects
Economic Indicators		
	Total net benefit from transport	transport user benefits; transport operator benefits resource costs ; external costs; investment costs
	Total net benefit from land use	user benefits; operator benefits; resource costs external costs; investment costs
	Regional economy and competitiveness	

2.4.3 Setting Targets

Objectives and indicators generally indicate the desired general direction of change; for example: to reduce the environmental nuisance caused by traffic. They may also be couched in more specific terms which include the notion of a target, for example:

- To reduce traffic noise to below 68dB(A) in residential streets; or
- To reduce nitrogen dioxide levels to below 60mg/m³

There are advantages in this kind of more specific target, which can be defined as an *outcome target*. It is clear when any one objective has been achieved and the degree of achievement can be measured by the extent to which conditions differ from the target. It is also possible to specify *input* and *process targets* in terms of input and process indicators; for example a target for the number of bus lanes or for the number of bus users. These can also help in measuring progress, but are a less direct indication of performance against objectives.

But there exists a risk if targets are only set for some objectives since this may result in less emphasis on the other objectives. Conversely, setting performance targets for all objectives can give a misleading indication of their relative importance. In the document "A Travel Plan Resource Pack for Employers" (DfT 2000b), the UK government Department for Transport (DfT) proposed that targets should be SMART (Specific, Measurable, Achievable, Realistic and Time-bound).

2.5 Barriers and How to Overcome Them – Theoretical Background

The PROSPECTS DMG identifies four main categories of barrier:

- **Legal and institutional barriers:** These include lack of legal powers to implement a particular instrument, and legal responsibilities which are split between agencies, limiting the ability of the city authority to implement the affected instrument
- **Financial barriers:** These include budget restrictions limiting the overall expenditure on the strategy, financial restrictions on specific instruments, and limitations on the flexibility with which revenues can be used to finance the full range of instruments.
- **Political and cultural barriers:** These involve lack of political or public acceptance of an instrument, restrictions imposed by particular interest groups, and cultural attributes, such as attitudes to enforcement, which influence the effectiveness of instruments.
- **Practical and technological barriers:** While cities typically view legal, financial and political barriers as the most serious with respect to implementing land use and transport policy instruments, there may also be practical limitations. For land use and infrastructure these may well include land acquisition. For management and pricing, enforcement and administration are key issues. For infrastructure, management and information systems, engineering design and availability of technology may limit progress.

TRANSPLUS D4 (2000a) describes how the above barriers might arise in *conflicting* or *complex* barrier situations. Furthermore, it identifies two main types of solution for

overcoming barriers: *institutional* and *instrumental*. Particular examples of these types of solution are listed in Box 2.

Box 2. Types of Solution for overcoming barriers (TRANSPLUS)

Primarily institutional

1. Co-operation; 2 Co-ordinating body; 3. Public-Private Partnerships (PPP)
 4. Aggregation; 5 Separation; 6. Rationalisation

Primarily instrumental

7. Realignment; 8. Technical legislation; 9. General legislation;
 10. Financial restructuring; 11. Readjustment of policy packages

Institutional and/or instrumental

12. Concerted initiative; 13. Covenants and agreements; 14. Compromise

Combined institutional, instrumental and territorial

15. Creation of a Metropolitan/ Regional Authority

2.6 Combinations of Policy Instruments – Theoretical Background

The PROSPECTS DMG considered the synergy created by instrument packages and identified the four following combinations of instruments:

- Instruments which reinforce the benefits of one another
- Instruments which overcome financial barriers
- Instruments which overcome political barriers
- Instruments which compensate users

A matrix illustrating these categories of synergy between the main categories of transport instruments is provided in Table 2.2. This table provides an initial source to help think about outline instrument packages, which will need to be turned into more concrete designs at a later stage. For example the matrix shows that infrastructure instruments have the potential to combine with land use instruments to reinforce the benefits and also compensate losers.

Table 2.2: Synergy between Transport Instrument Groups

These instruments	Contribute to these instruments in the ways shown					
	Land use	Infrastructure	Management	Information	Attitudes	Pricing
Land use		∇				∇
Infrastructure	∇ θ		◇			◇
Management	∇ θ	∇ ◇ θ			∇	∇ ◇ θ
Information	∇	∇ ◇	∇ ◇ θ		∇	∇ ◇ θ
Attitudes	∇ ◇	∇ ◇	∇ ◇			◇
Pricing	∇ θ	∇ O θ	∇ O θ	O ◇	∇	
Key:	∇ Benefits reinforced			O Financial barriers reduced		
	◇ Political barriers reduced			θ Compensation for losers		

3 EMPIRICAL EVIDENCE & CASE STUDIES

Following the theoretical perspectives given in Section 2, this section gives examples of how some of the approaches discussed in Section 2 have been applied in practice.

3.1 Decision-Making Processes - In Reality

In PROSPECTS D1 (May et al, 2001) over 50 Cities in Europe were asked which approach they were using, in terms of: vision-led; consensus-led or plan-led. A summary of their responses is shown in Figure 3.1. It can be seen that most of the cities adopt a mixed approach, particularly either a plan/consensus mix or a vision/plan mix. Of these cities, 19 were “large”, defined as those with a population greater than 250,000. Of these large cities, 14 had an approach which was a mix of plan-led and consensus-led, whilst there was more variation in the type of approach amongst medi



3.2 Public Participation – In Practice

Table 3 provides an overview (from TRANSPLUS, 2003b) of the current statutory frameworks for consultation in different EU countries, focusing in the periods before and after the design and announcement of plans and proposals. References to public hearings are included whenever they formally exist.

Table 4 shows examples to illustrate how informal participation is being promoted in the 23 TRANSPLUS case study cities (TRANSPLUS, 2003b). Further work by the project (TRANSPLUS, 2003c) made more in-depth studies of the following:

- The Groningen Local Traffic Plan (1997)
- The Bristol Local Transport Plan (2000)
- The Merseyside Local Transport Plan (2000)
- The development of specific communication channels by the Merseyside Passenger Transport Executive (ca. 1995 – present)
- The ROM-project for the Ghent Canal Zone (ca. 1993 – present)
- Neighbourhood contracts in two of the municipalities of the Brussels Capital Region (1994 – present)
- Participatory planning approaches in the ‘laboratori di quartiere’ in Rome (ca. 1993 – ca. 1998)

Of these, the Brussels and Rome case studies were concerned with “integrated and/or mobility planning on neighbourhood or district scale level”, whilst the case studies for Bristol, Merseyside and Groningen were concerned with “integrated and/or mobility planning on city or sub-regional scale level”. The case study for Ghent was concerned with both levels. Overall, it was found that “the most comprehensive participation process on the city level”

was found in the Groningen case study, which was “a fine example of a process to include citizens and stakeholders in policy development”, and this case study is discussed further below.

The planning process for the 1997 Groningen Local Traffic Plan lasted from 10/95 until 02/97 when the traffic report was approved. The process involved three clearly distinct phases, each phase ending in a clear decision-making moment: problem analysis; discussion of alternative scenarios; and plan development. These “informal” phases led up to the formal statutory public enquiry. An independent bureau, Instituut voor Publiek en Politiek (IPP), was engaged for the managing the overall process. Box 3 gives an overview of the relatively wide range of communication and discussion instruments that were used in each of the three phases. As the process developed, there was a gradual decrease in the influence of the private participants, together with an increasing influence of the authorities, meaning that the broad public was strongly involved in the problem identification and generation of possible solutions, but the authorities took the final decision with ‘strong but non-binding advice’ from the public.

Table 3.1: Formal Requirements for Consultation in EU Countries

Country	Before proposals	After publication of authority's proposals	Use of public hearings and enquires
Austria	The public must be informed of intentions to prepare plans and possibility of consultation.	Plan is made available for public inspection and all citizens have a right to make statements on the plan.	-
Belgium	Some plans are subject to pre-draft consultation with public.	Consultation with public on all draft plans for 30 days - citizens have a right to file objections.	-
Denmark	The public are informed of the major issues and are encouraged to submit ideas and proposals. This pre consultation stage must last a minimum of 8 weeks.	Consultation for 8 weeks with the public which have the opportunity to object. Further consultation is undertaken if the plan is modified significantly.	-
Finland	Consultation on the first draft for three weeks with right to object	Further consultation and right to object when plan goes to council for approval.	Hearings after consultation on first draft and second hearing after decision on plan by municipal board
France	-	Consultation for one month on draft after the approval by public bodies and communes. Public have opportunity to object.	Detailed plans are usually subject to public enquiries
Germany	The public are informed and may contribute to setting aims for the plan.	Consultation for 1 month when objections can be made. If the draft of urban land use plan is changed after display, it has to be displayed again and the period can be reduced to 2 weeks.	Public hearings are held for major projects such as motorways
Italy	-	Consultation for 30 days when public can object.	-
Netherlands	The public may be informed but this is not mandatory.	Consultation for 4 weeks on draft plan and opportunity to object.	Objectors may request a hearing to explain their objection in person to the municipality
Portugal	-	Consultation for at least 30 days on draft plan and opportunity to object.	No enquiries held
Spain	The public is involved but this is not mandatory. Initial consultation for 30 days on first draft plan "calling for suggestions" for changes.	Consultation for one month and opportunity to object. A second period of consultation is held if major changes are made.	-
Sweden	Wide public consultation on initial proposals is the norm	Consultation for 3 or 12 weeks depending on the type of the plan.	-
UK	The public may be informed and consulted prior to proposals coming forward. There is a mandatory publicity and consultation stage usually based on the first draft proposals.	Consultation for 6 weeks on the plan and opportunity to object. A further period of 6 weeks for objections if major changes are made after the enquiry.	Enquiry is held unless all objectors agree that it is not necessary.

Source: EU compendium of spatial planning, with updates from TRANSPLUS partners

In general, the TRANSPLUS research identified important equity questions concerning public participation in that “not all citizens are equally prepared and skilled to take part in this ‘active involvement’ where decisions are prepared in discussion (and not even in the ‘consultation’ forms of involvement)”. This led to the project developing a ‘basic framework or process’, aimed at:

- (1) Communicating with the groups of citizens that are little organized (thus little ‘represented’) and not skilled or experienced in individualised ways of influencing policy processes;
- (2) Preparing these groups for involvement in policy-making processes, preparing their involvement in community forums or target group forums.”

The analysis makes the following conclusion concerning further research:

“The question how to structurally set up the preparatory forums and how to integrate these in planning processes, especially on the higher geographical scale levels, should be subject to more research. There is little evidence of continued support for local communities’ and weaker target groups’ organization and empowerment and incorporation in planning processes, although some interesting elements have come out of the case study analyses.”

Table 4 - Processes and methods adopted in TRANSPLUS case study cities

	Aalborg	Amsterdam	Barcelona	Bilbao	Brescia	Bristol	Brussels	Bucharest	Cologne	Croydon	Dresden	Évora	Gent	Groningen	Helsinki	Lisbon	Merseyside	Munster	Nantes	Orléans	Rome	Tubingen	Vienna
Information campaigns	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Documents / Publications	X	X	X		X	X	X	X		X		X	X	X	X	X	X	X			X	X	X
Internet tools		X	X		X		X			X		X		X	X							X	X
Discussion / Consultation	X	X	X		X	X	X	X		X		X	X	X		X	X	X	X	X	X	X	X
Public inquiries		X				X	X			X			X	X		X	X		X			X	X
Surveys				X	X	X		X		X			X	X	X						X		
Exhibitions							X			X	X		X					X				X	X
Excursions / visits			X							X	X								X			X	
Workshops / forums/ debates	X	X	X				X			X	X		X		X		X		X		X	X	
Targeted actions / involvement of specific groups		X				X	X						X		X		X				X	X	
Panels	X					X					X			X									
Visions		X											X	X	X		X					X	X
Round Table														X									
Mediators													X					X					
Partnerships									X				X				X						

Box 3: Local Traffic plan developed for Groningen (NL) in the period 1995-1997.

Introduction phase:

- **political theatre**: 45 citizens were invited to act as 'advisors' for the city in a debate with city politicians and several interest groups; three concrete projects for immediate implementation, proposed by the interest groups and discussed in this political theatre, were accepted and implemented afterwards.

Phase 1: problem identification

- a **suggestion box** circulated from one public building to another, in which people deposited in writing their ideas, complaints and demands for the traffic situation in their city.
- 660 **telephonic interviews** among a random sample of citizens, conducted by 'professionals': people with responsibility within traffic planning (politicians, officers and representatives of relevant interest groups)
- **traffic survey** and an accompanying invitation to participate in future meetings, in two door-to-door papers: 6000 surveys were returned, 1900 expressions of interest to participate
- **newspaper** to inform people about the traffic planning process
- 300 of the interested citizens responded to the invitation to participate in '**round tables**' in which groups (tables) of 16 persons held discussions to select themes
- From the information gathered in the surveys and round tables, 8 different stakeholder groups were distinguished (commuters, scholars, business traffic generators, etc). **Workshops** for 12 groups (the 8 stakeholder groups and 4 groups for distinct parts of the city) were organised, discussing 6 different themes. Three series of workshops on these themes took place, focussing first on problems, second on causes, thirdly on possible strategies.
- The participants were offered more information on the subject through a **book** on traffic in Groningen, published specifically for this cause.
- Formulation of the criteria for the future selection of solutions ('denkrichtingen') and the integration of the results from the first phase were compiled in an intermediate document.
- Parallel to the planning process, a **communication channel for individual complaints** ('klachtenbank') on traffic items was installed.

Phase 2: Strategy formulation

- **Workshops in smaller groups**; 80 participants divided over 4 groups. The participants in these workshops were representatives from political parties, interest groups and one representative from each working group from the previous phase. Each group discussed one of four scenarios developed by project leaders based upon the previous phase.
- The results were brought back to the Groningen population through different channels: two **presentations in the Groningen grand theatre**, where a representative of each group and the project coordinating team presented the results of the discussion. The visitors at these 'presentations' (200 people) were invited to vote for one of the proposed scenarios. The results were also **published in an advert in the door-to-door papers**, with an invitation to the citizens to react individually on the scenarios. The project team organised **presentations for organised interest groups**. These interest groups and the political parties were invited to react on the scenarios and even to propose alternative plans, leading to 15 alternative plans.

Phase 3: Policy choice and formal decision-making

- The third phase concentrated on **work within the project team, the city governors, and expert bureaux**. Starting from the common aspects that came from the four discussions on the scenarios and consequent solutions, drafts for discussion on the level of political representatives were prepared by the project team, expert bureaux etc.
- One of these **drafts was again taken to the people**, through different means; a new **presentation in the Grand Theatre**, a possibility to send **reactions individually** and a **survey** among the 1900 citizens that expressed their will to participate in the former stages.
- Simultaneously and thus preceding the formal participation procedure, the political parties and the interest groups were invited to react on the draft.
- The remaining points of discussion coming from the survey and the input from the parties and interest groups were debated in two public **forum-discussions**, with participation of the city councillors, alderman and interest groups.

This phase was followed by the usual and formal decision-making process, involving the formal public inquiry, which provoked less interest than would have been expected without the open planning process.

3.3 Setting Targets – In Practice

A comprehensive set of targets has been proposed by the UK DfT ((DfT 2000a)), as shown in Box 4. It can be seen that these targets incorporate a mixture of outcome, process and input targets, as defined above in 2.4. In fact, apart from the air pollution and accident targets, the main set of targets in Box 4 is all process targets. Furthermore, some of these targets include a specification of the instruments required to meet the targets. As discussed in PROSPECTS DMG, such practice is unhelpful when setting targets since it constrains the policy-maker to choosing a particular set of instruments for achieving the target whilst an alternative set might be more effective.

An obvious question, with respect to the type of targets listed in Box 3, is “what happens if the targets are not met?” For example, if rail use in Great Britain only increases from 2000 levels by 40% by 2010, is the conclusion that there has been a failure, and, if so, who is to blame? It might be argued, on the other hand, that “a 40% increase is not bad, that in fact everyone concerned should be congratulated and that it is a sign of whingeing negativity to complain about it”. Whilst this sympathetic response might be very pragmatic, it rather defeats the object of having a specific target of a 50% increase, rather than a more flexible and less quantitative “large increase”. It would be useful to research these issues further, in particular looking at case studies involving targets in transport and land use planning for which the target period has expired.

Box 4: DfT. (2000). "Transport 2010 - The 10 year Plan."

The Plan will deliver or contribute to the achievement of the following targets in the DETR's Public Service Agreement:

- to reduce road congestion on the inter-urban network and in large urban areas in England below current levels by 2010 by promoting integrated transport solutions and investing in public transport and the road network
- to increase rail use in Great Britain (measured in passenger kilometres) from 2000 levels by 50% by 2010, with investment in infrastructure and capacity, while at the same time securing improvements in punctuality and reliability
- to increase bus use in England (measured by the number of passenger journeys) from 2000 levels by 10% by 2010, while at the same time securing improvements in punctuality and reliability
- to double light rail use in England (measured by the number of passenger journeys) by 2010 from 2000 levels
- to cut journey times on London Underground services by increasing capacity and reducing delays. Specific targets will be agreed with the Mayor after the Public Private Partnership has been established
- to improve air quality by meeting our National Air Quality Strategy targets for carbon monoxide, lead, nitrogen dioxide, particles, sulphur dioxide, benzene and 1-3 butadiene
- to reduce greenhouse gas emissions by 12.5% from 1990 levels, and move towards a 20% reduction in carbon dioxide emissions by 2010
- to reduce the number of people killed or seriously injured in Great Britain in road accidents by 40% by 2010 and the number of children killed or seriously injured by 50%, compared with the average for 1994-98.

3.4 How to Overcome Barriers – In Practice

Table 4.1 shows examples of where the solutions listed in Box 2 (Section 2.5) were successfully adopted in the TRANSPLUS case study cities for overcoming barriers (TRANSPLUS, 2003a) as well as showing the situations when barriers were not resolved. It can be seen that there is a scatter of types of solution: solutions to territorial conflicts may be institutional or instrumental; institutional barriers may have instrumental solutions, and vice versa. However, TRANSPLUS gives the following warning about making an over simplistic interpretation of these results:

“While this table gives an integrated indication of what types of barriers were related to what types of solutions in the particular cases studied, it should not be treated as a generalisable checklist mapping ‘solutions’ to ‘problems’..... Rather, this Deliverable has tried to demonstrate some generalisations across cases in terms of understanding both barriers and solutions in terms of a framework of relationships between actors, instruments and areas (or more specifically, institutions, policies and territories)..... This is particularly the case where some barriers can be resolved into contingent barriers. Where institutions, umbrella organisations, territories are set up with the express purpose of management, government, and collective responsibility in general, they inherently should be changeable to meet needs of overcoming barriers. For example, a city may face what appears to be a ‘financial’ problem, requiring a financial solution; but on closer inspection this may turn out to be not a problem of resources, but of legal ability to raise or spend resources.”

4 TECHNICAL SUMMARY

Approaches to decision-making

Three main approaches to decision-making can be defined. *Vision-led* approaches usually involve an individual politician having a clear view of the future form of city they want, and the policy instruments needed to achieve that vision. *Plan-led* approaches involve specifying objectives and problems, adopting an ordered procedure identifying possible solutions to those problems, and selecting those which perform best. This procedure will typically involve the use of formal appraisal methods (such as Cost Benefit Analysis or Multi Criteria Analysis), which receive input from computer models which predict the future impacts of alternative policies. *Consensus-led* approaches involve discussions between stakeholders and different social groups to try to reach agreement on each of the stages in formulating strategy.

It is in the spirit of this synthesis report that it should be possible to combine plan-led strategy development with genuine participatory democracy. Thus the former provides tools to facilitate the latter, as opposed to being a weapon to undermine it. Whilst it is clearly challenging to achieve this aim in real-life decision-making, an important step should be to try to achieve it on a research level. This observation leads directly to a suggestion for further research, which would analyse, on a theoretical level, the combination of both types of decision-making, as well as using case studies to understand the practical issues involved.

Table 4.1: Solutions to barriers demonstrated in the TRANSPLUS case study cities

		Conflict situations			Complex situations			Organisational barriers resolved or forestalled
		Institutional	Inter-professional (inter-sectoral)	Inter-territorial	Institutional	Instrumental	Territorial	
0. Barrier not resolved or resolution nor documented.		Dresden, Groningen, Lisbon, Nantes, Orleans, Rome, Vienna	Vienna	Barcelona Brussels Munich	Brussels Croydon Rome	Merseyside Rome	Orleans	Bilbao
Primarily institutional	1. Co-operation	Tübingen	Vienna	Amsterdam Dresden	Aalborg Groningen			
	2. Co-ordinating body			Vienna	Merseyside		Bristol	
	4. Aggregation	Nantes						Bristol Croydon
	5. Separation		Amsterdam					
	6. Rationalisation				Nantes			
	Primarily instrumental	7. Realignment	Tübingen	Tübingen			Amsterdam	
8. Technical legislation						Cologne		
9. General legislation			Lisbon					
11. Readjustment of policy packages				Nantes		Tübingen		
Institutional or instrumental	12. Concerted initiative	Cologne		Brussels			Brussels	Ghent Lisbon
	14. Compromise	Tübingen		Helsinki				

Public participation

Five levels of public participation can be identified (ranging from the less active to the more active):

- **Information provision:** a one way process to keep those with an interest in the strategy informed.
- **Consultation:** where the views of stakeholders and the general public are sought at particular stages of the study and the results are input back into the study process.
- **Deciding together:** where the stakeholders become decision-makers
- **Acting together:** where the stakeholders also become involved in the implementation of the strategy.
- **Supporting independent stakeholder groups:** where the city enables community interest groups to develop their own strategies.

The following points can be made with regard to this list:

- It would be a mistake to view these methods as if they were part of a relationship between a monolithic single public authority and a homogenous public. In reality, with respect to a particular location, there will be a number of differing public bodies (with differing geographical and technical responsibilities) with responsibility for land use and transport planning. On the other hand, the public that needs to be consulted will comprise a range of different social groups with different needs, ideologies and levels of confidence in putting over their views, and there will be varying types of power relationship existing between such groups which influence any participatory activities.
- A distinction needs to be made between “direct” forms of participation, which involve individuals directly, and “mediated” forms of participation in which a well-established organisation represents the views of a particular social group.
- Many experiences have shown that some members of the public are more interested in participating in discussion around local short-term schemes rather than in defining long-term strategies. Whilst the former type of participation should be encouraged, methods need to be developed to encourage both types of participation to take place in synchronisation.

In general, a distinction can be drawn between *formal requirements for consultation* (which are legally binding) and *informal methods for encouraging participation* (which are typically not legally binding). Research shows that there are a large number of informal methods by which participation can be encouraged, and that a successful public participation strategy is likely to include using a wide-range of such methods in combination. An example of a successful public participation exercise in practice concerns the development of the 1997 Groningen Local Traffic Plan, which used the following informal participation methods: political theatre to role play city decision-making; suggestion boxes circulated around public buildings; random telephone interviews; provision of information about the process through local media; round table discussions to identify important themes; small group workshops to develop alternative strategies; and open forum discussions between the public and the city authorities to discuss and vote upon these alternative strategies.

However, experience shows that, in practice, the “weaker” groups in society are typically less well-represented in public participation exercises. It follows that further research is needed to develop mechanisms by which they might be encouraged to participate more fully.

An “ideal process”

Associated with the plan-led approach to decision-making, an “ideal process” for strategy development can be defined, which includes the steps shown in Figure 4.1. At the start of the process, *objectives, targets* and *performance indicators* need to be formulated, along with a definition of the problems that are associated with the failure to meet these objectives and targets. Individual potential policy instruments then need to be identified which, when combined into *packages of policy instruments*, are likely to meet these objectives. The process of forming packages needs to consider mutual synergies between individual instruments, as well as taking into account the various types of barrier (as described below) that need to be overcome. Prediction and evaluation of the likely impacts of any potential package of instruments can be made using **modelling** and **appraisal** techniques. In response to such results, formal **optimisation** processes can be used to improve the instrument packages.

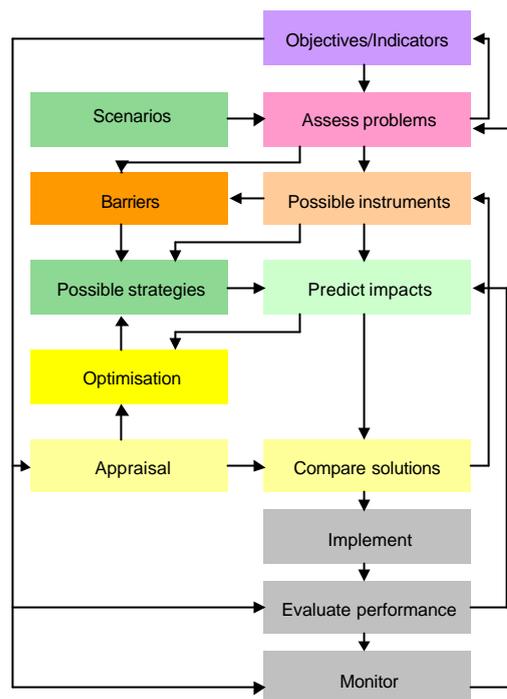


Figure 4.1: Overview of an “ideal process”

Barriers to implementation and how to overcome them

Four general types of barrier to implementation can be defined: Legal and institutional; Financial; Political and cultural; Practical and technological. All these barriers might arise in *conflicting or complex barrier situations*. Two main types of solution for overcoming barriers can be identified: *institutional* and *instrumental*. City case studies show that there is a scatter of types of solution for overcoming barriers. Solutions to territorial conflicts may be institutional or instrumental; institutional barriers may have instrumental solutions, and vice versa.

Forming packages of instruments

Synergies between the main categories of land use and transport instruments are shown in Table 4.2. Such a table provides an initial source to help think about outline instrument packages, to be turned into more concrete designs at a later stage.

Table 4.2: Synergy between transport instrument groups

	Contribute to these instruments in the ways shown					
These instruments	Land use	Infrastructure	Management	Information	Attitudes	Pricing
Land use		∇				∇
Infrastructure	∇ θ		◇			◇
Management	∇ θ	∇ ◇ θ			∇	∇ ◇ θ
Information	∇	∇ ◇	∇ ◇ θ		∇	∇ ◇ θ
Attitudes	∇ ◇	∇ ◇	∇ ◇			◇
Pricing	∇ θ	∇ ○ θ	∇ ○ θ	○ ◇	∇	
Key:	∇ Benefits reinforced ◇ Political barriers reduced			○ Financial barriers reduced θ Compensation for losers		

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