



WP2

Definition of the SIMPLA international intervention model

D2.1

Report on Preparation actions for the International Intervention Model

Expected date

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Six individual country reports in the national languages and 1 general report in English for the entire partnership summing up in full detail organizational features and issues, approaches and outcomes of the following subsequent steps: - Setting up of the network of 6 SIMPLA National Focal Points (NFPs) - Selection and appointment of 6 expert panels connected to the NFPs' network - Elaboration of a transnational 'vade mecum' to support participation, negotiation, conflict resolution - Organization of 9 focus group sessions in the 9 pilot territories - Organization of 9 workshops in the 9 pilot territories - Definition of a final strategic document, the 'SIMPLA manifesto'	
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Table of acronyms

EC	European Commission
NFG	National Focus Group
QP	Quality Plan
FG	Focus Group
PA	Public Authority
TP	Technical Partner

Introduction

WP2 contributes to the SIMPLA objectives by establishing the common ground, networks and methods necessary to undergo the following Work Packages. In this sense, the major goal of WP2 is to define the SIMPLA international intervention model. As stated in the project agreement, the international intervention model relies on the setting up of National Focal Points (NFPs) for the project in every one of the 6 countries. Assisted by external experts, the NFPs, which involve technical partners and partner public authorities, led the elaboration of a 'vademecum' to support negotiation, mediation, participation and conflict resolution, functional to the development of SIMPLA integrated multi-sector plans.

In each of the 9 pilot territories, focus group sessions and workshops were organized. Focus group sessions were mainly addressed to institutional actors to analyse and debate on existing multilevel governance strategies, policies and planning tools and operational, financial and organisational measures for energy, transport, mobility and land-use planning at community and city level.

On the other hand, workshops gathered a wider range of users and stakeholders to discuss strengths, weaknesses and improvement potentials of existing strategies, policies and tools. Stemming from this twofold consultation process, the NFPs contributed to the drawing of the "SIMPLA manifesto", a strategic document that defines the concept of integrated multi-sector plan, the main operating principles guiding the process and the support methodology implemented by the partnership.

The current document corresponds to the Deliverable *D2.1 report on preparation actions for the international intervention model*, which has been prepared after the activities of the Work Package and the 6 individual country reports elaborated by the respective technical partners. This report sums up in full detail the organizational features and issues, approaches and outcomes of the following subsequent steps:

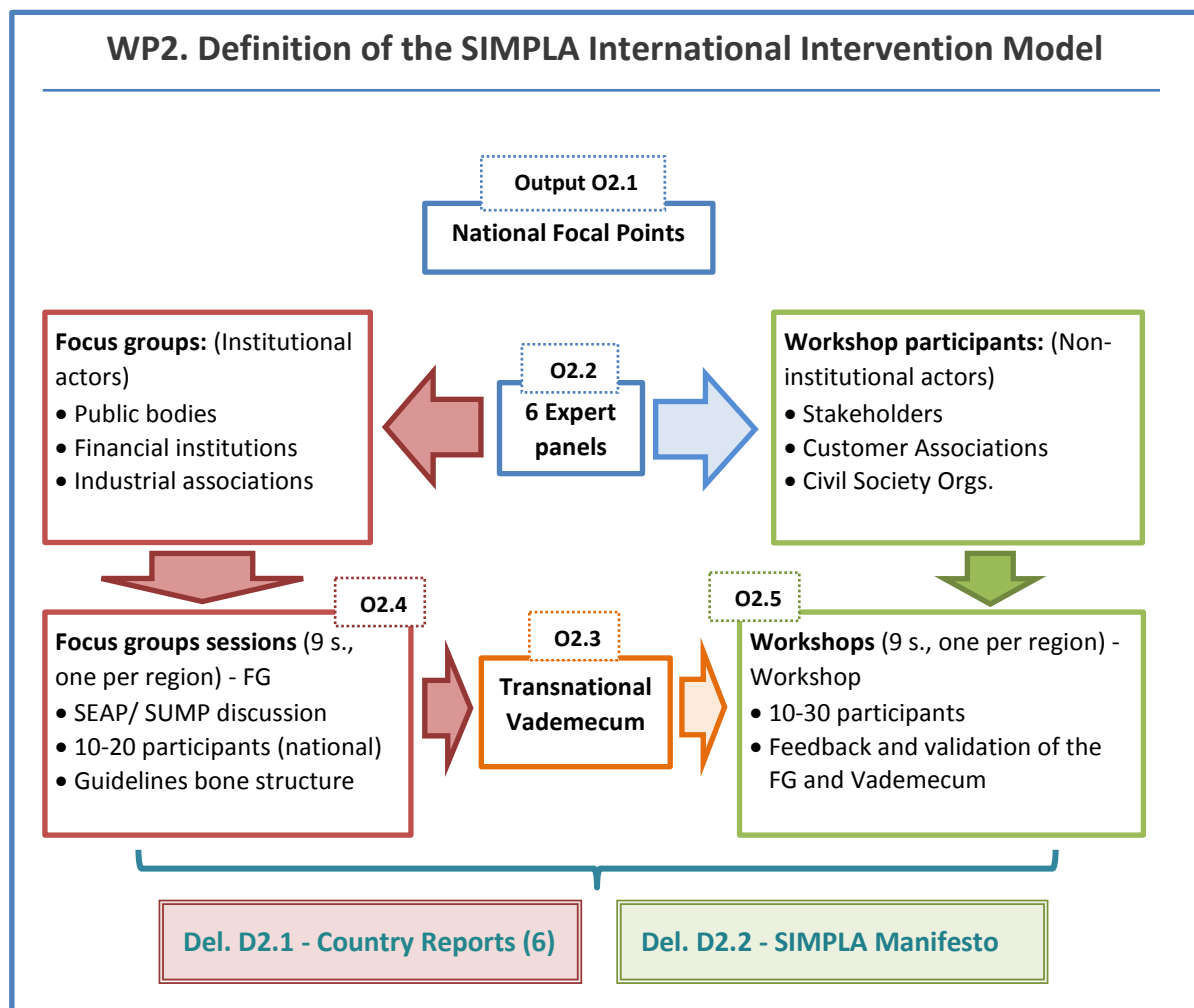
- Setting up of the network of 6 SIMPLA national focal points (NFPs)
- Selection and appointment of 6 expert panels connected to the NFPs' network
- Elaboration of a transnational 'vademecum' to support participation, negotiation, conflict resolution
- Organization of 9 focus group sessions in the 9 pilot territories
- Organization of 9 workshops in the 9 pilot territories
- Definition of a final strategic document, the 'SIMPLA manifesto'.

The report first focuses on defining the scope of the activities, the experts who participated and the standards agreed so as to proceed next with the presentation of the context, participatory process and main conclusions achieved.

Definition of scope, experts and standards

Work Package 2 main output is the SIMPLA manifesto which is aligned with the ultimate objective of the project of fostering the integration of SEAPs and SUMP or similar plans at municipal level. Establishing a common framework and criteria to determine the National Focal Points and selecting the institutional and non-institutional stakeholders so as to organize and manage the focus group sessions and workshops at a national level, are therefore crucial steps.

The following figure presents the WP flow, clarifying the main actors, events, outputs and deliverables involved in WP2, to be developed in each region.



SIMPLA's partnership benefits from the complementary, synergetic cooperation of technical partners (TPs) and public authorities (PAs) in 6 countries, different in many terms (size, political and legislative organization, territory, culture, tendency to promote horizontal and vertical integration in multilevel governance and to incorporate economic, social and environmental sustainability in the development of

policies and plans). The idea behind the creation of the network of NFPs is precisely to foster cooperation at a national/local level between TPs and PAs and to promote collaboration, exchange and sharing internationally within the NFPs' network, in an attempt to maximise international added value.

The joint development of intervention models and elaboration of solutions is meant to reduce the gap between those countries and areas where integrated sustainable energy policies and plans are more widely developed (frontrunners) and of others (followers) where more significant efforts need to be put in to trigger virtuous mechanisms and secure relevant impacts, fostering increased multi-level, multi-sector governance. At the same time, having a variety of operating contexts makes approaches and outputs more flexible and overarching, allowing for further dissemination and exploitation in a growing number of prospective contexts, probably with the necessary further adaptations, yet facilitated by the methodology, devised to be comprehensive and inclusive.

Setting up of the network of 6 SIMPLA National Focal Points (NFPs)

The **National Focal Points (NFPs)** are the core teams responsible for the implementation of the SIMPLA project in each country. They are made up of the relevant technical partner, the partner local authorities and other organizations (depending on the individual country's partnership).

The list of the NFP in each country is included below:

National Focal Points (NFPs)

Country	Technical partners	Public authority partners
Italy	AREA Science Park	Regione FVG Regione Toscana
Austria	STENUM	Kärnten
Spain	CIRCE	DPZ DPH
Bulgaria	DLAEM	UBBSLA
Croatia	REA KVARNER	PGKC ISTRIA
Romania	ALEA	ALBA

Since the project has a twofold focus, namely on energy on one side and transport and mobility on the other, it is essential to involve experts with multidisciplinary/multisector competences and specific expertise. For instance, representatives focused on environment, energy, transport, public transport, logistics, infrastructure departments, to mention but a few, may be involved (denominations may vary depending on individual national and regional contexts).

Selection and appointment of 6 expert panels connected to the NFPs' network

The partnership has the major competitive advantage to blend in technical expertise with institutional capacity of public authorities. SIMPLA's goals, however, requires such a set of complementary multidisciplinary skills and practical knowledge that is very likely to lead to resorting to external expertise. This is why in every country partners were asked to work together on appointing a panel of experts (both internal and external to the partners), providing the necessary multi-sector know-how to help design the guidelines' bone-structure to be used to guide local consultations, help implement focus group sessions and workshops, draw the most significant conclusions and orientations to feed back to the WP leader and the rest of the partnership for the writing of the SIMPLA manifesto and to be used in WP 3 for the guidelines and the observatory.

Expert panels work closely with NFPs, and are jointly responsible at an international level for:

- Support in the development of guidelines' bone structure from WP3.
- Support in the organization of Focus group sessions and Workshops.
- Merging conclusions from Focus groups sessions/Workshops into the '*SIMPLA manifesto*'.
- Writing parts of the guidelines as agreed in the frame of the partnership.

External experts were selected through a transparent procedure, evaluating their qualifications, specific expertise and previous involvement in relevant initiatives. External experts, being subcontractors, were selected by means of a competitive procedure including the request of at least three tenders. Among selection criteria, partners were recommended to ask experts to include proved experience on working with local authorities to provide assistance in energy and/or mobility related matters, and specifically, on development of strategic energy and/or mobility plans (SEAPs and/or SUMP or equivalent plans with similar scope and purpose).

National Focal Points and Experts per country

ROMANIA:

The Romanian National Focal Point (NFP) was outlined during SIMPLA kick-off meeting (Rijeka, Croatia, 17-18 February 2016) and it was officially set up in a meeting on the 5th of May 2016 which was held in Alba Iulia. The Romanian NFP is made up of representatives of ALEA and Alba County Council as project partners but also The Regional Development Agency Centre who is responsible for the management of EU programmes in the centre region.

- ALEA: *Florin Andronescu & Tiberiu Toma*
- Alba County Council: *Lenica Bucur, Nicoleta Prejban & Marilena Moga*
- The Regional Development Agency Centre: *Adriana Mureşan*

The Romanian experts involved are Mr. Florin Andronescu, Mr. Laurentiu Mihet from ALEA with wide expertise in the SEAP domain and Mr. Ovidiu Romoşan from the consultancy company Impact Consulting SRL with extensive expertise related to SUMP.

AUSTRIA:

The Austrian National Focal Point was launched by the technical partner (STENUM) and the public authority in the pilot region Carinthia (Land Kärnten). The National Focal Point works actively on the involvement of interested regions and municipalities. Especially the public authority will coordinate the actions to support and promote the coordination between the Austrian specific programmes and the mobility plans on the level of federal states in Austria.

A panel of experts in the field of sustainable mobility planning and experienced experts in the field of sustainable energy action planning in municipalities was established with the goal to get support and feedback to the design of the guidelines.

BULGARIA:

The National Focal Point in Bulgaria has been established as part of the SIMPLA network as a response to the need to contribute to fostering the active integration in multilevel governance and mutual cooperation and interchange at the partner territorial level. NFP has been constituted by relevant public authorities at local, regional and national level as key actors and policy makers with specific attitude to the matter of intersectoral integration of energy and transport.

Representatives of key actors have been invited to take part in NFP to trigger tools and mechanisms for the effective planning, development and implementation more notably the Agency for Sustainable Energy Development within the Ministry of Energy; Regional Energy Focal Points within the Ministry of Energy; Regional Government Administrations in Dobrich, Varna and Burgas; UBBSLA Member – Municipalities, Black Sea Basin Directorate, Regional Inspectorate of Environment and Water within the Ministry of Environment, Executive Agency of SMEs within the Ministry of Economy, Regional Associations of municipalities, National Association of municipalities in Bulgaria, universities, the Ministry of Transport.

Setting the expert panel has proved to be a powerful tool to support the participatory process by providing know-how, sharing expertise and fostering the participatory approach of guidelines development to enhance the capacity and skills of municipal experts and specialists and foster the interregional cooperation to exchange and communicate activities and actions. Experts with specific competence and proven expertise were involved to trigger innovative ideas and provide the specific knowledge within the organized NFG session and workshop and meetings with public administrators.

CROATIA:

In March 2016, following the kick-off meeting conclusions and first direct contact of all the Croatian SIMPLA partners, the initial activities of setting up the National Focal Point commenced. The technical partner, Regional Energy Agency Kvarner (REAK), already had a very close collaboration with the Administrative Department for Regional Development, Infrastructure and Project Management of the Primorje Gorski Kotar County (PGKC) given that the County is the official founder of the Agency. Thus, the SIMPLA teams of REAK and PGKC have the experience of working together on the number of projects. On the other hand, the SIMPLA team of Istria Region (IR) joined for the first time, but it had been noted that the administrative

procedures and protocols of all partners are quite coherent, so there was no need for setting up any new working protocols that would regulate the operation of NFP.

That being said, it was agreed that the NFP would have a light structure, and it would use the usual working principles of partners involved. The first task of NFP was the selection and appointment of expert panels that would be active in the design of the guidelines' bone-structure, help implement focus group sessions and workshops, as well as draw the most significant conclusions and orientations to feed the SIMPLA manifesto and to be used in WP 3 for the guidelines and the observatory.

REAK, being the author of almost all existing SEAPs in the Primorje Gorski Kotar Region, as well as the author of all energy plans of the County, already has a high quality team of collaborators, as well as signed cooperation agreements with the University and all national energy agencies. Thus, it has a vast internal expertise and access to a pool of experts without any bearing costs. Having that in mind, for every activity a list of potential collaborators was prepared, who could give the most relevant and beneficial contribution. This approach proved to be successful, since all the tasks were implemented in due manner. Also, some new experts joined the team following the invitations for the workshops open to all interested parties.

SPAIN:

The NFP was defined during the SIMPLA kick-off meeting, in February 17-18 2016, in Rijeka, Croatia. Afterwards, additional members have been added to the team so its final composition is as follows:

- CIRCE Research Centre: *Miguel Marco Fondevila & Lola Mainar Toledo*
- Diputación de Huelva: *Manuel B. Acevedo Pérez & Oscar Manga Gómez*
- Diputación de Zaragoza: *Luis Alfonso Castellano & Luis Mariano Reula*

The Spanish Expert panel includes the members of the NFP as well as other researchers and energy/mobility experts from CIRCE research centre and the University of Zaragoza.

ITALY:

The Italian National Focal Point (NFP) was set up during SIMPLA kick-off meeting (Rijeka, Croatia, 17-18 February 2016) and includes the following staff:

- AREA Science Park: *Fabio Tomasi, Luca Mercatelli, Fabio Morea, Sara Baronio & Stefano Alessandrini*
- Autonomous Region Friuli Venezia Giulia – Environment and Energy Directorate – Energy unit: *Sebastiano Cacciaguerra, Paola Zuodar & Alessia Porcellini*
- Region Tuscany – Mobility, Infrastructures and Local Public Transport Directorate: *Riccardo Buffoni & Emiliano Carnieri*

The Italian Expert Panel involved some staff of the NFP (particularly, Mr. Morea, Mr. Alessandrini and Mr. Mercatelli) and Mr. Tito Berti Nulli from the consultancy company Sintagma S.r.l. specialized, among others, in SUMPs' drafting.

Elaboration of a transnational vademecum to support participation, negotiation, conflict resolution

Negotiation, mediation, participation and conflict resolution are essential to produce planning tools and implement measures and actions at a local level that are recognised as beneficial for the community and responding to a requirement of ownership to make their implementation more effective and widely accepted.

A 'vademecum' functional to the development of SIMPLA integrated multi-sector plans was therefore produced by partners, valorising regional/national/ international best practices already discussed during focus group sessions to benefit from contributions from decision makers, key administrations and stakeholders/actors. The vademecum becomes part of the SIMPLA methodology and guidelines.

The social recognition is decisive to reach the sense of ownership which leads to an effective and widely accepted implementation of measures. The SIMPLA project aims at supporting local authorities in integrating Sustainable Energy Action Plans (SEAPs) and Sustainable Urban Mobility Plans through a common vision, within the framework of a regional perspective.

This ambitious goal implies not only a close relation with local authorities but also a wide participatory focus which opens the project to all stakeholders at territorial level. The vademecum was therefore designed to support the development of SIMPLA integrated multi-sector plans, valorising regional/national/international best practices. The vademecum is a source of information for all SIMPLA stakeholders, to consult when any issue regarding participation, negotiation and conflict resolution comes up during SEAP and SUMP integration.

The vademecum structure was divided into two main sections, addressing the beneficiary of the measures taken, namely the local authorities, and the external entities which includes public actors, stakeholders and general public. Every section presents the key steps and activities leading to efficient and fruitful relationships and higher potential for success.

The vademecum final document, including feedback and contributions from partners, , contributed to the definition of SIMPLA guidelines for the harmonization of SEAPs and SUMPs, as well as a useful tool to be used during the Workshops in every country. In this respect, the vademecum served as a core document which provided the basic rules to apply and the general ground to observe prior to the specific circumstances of every country context regarding energy and mobility.

A graphical idea of the vademecum (the complete document is attached to this report as an annex), is presented below:



National context regarding SEAPs and SUMP

One of the major contributions of the SIMPLA project derives from its geographical scope which includes very diverse countries with different scenarios in terms of energy use and urban mobility. This diversity is linked to a wide range of factors such as the political history and trend, the geographical and demographic characteristics, the citizens' awareness and sensitiveness towards sustainability matters, etc. A brief summary of every participating country is presented below, so as to better understand the context in which the SIMPLA project is developed:

ROMANIA:

In Romania, in the elaboration of the SEAPs the challenges represent evaluating the impact of transport (data collection) and creating an inventory of energy consumption on tertiary buildings. For the local authorities who elaborated the SEAP and started the implementation phase, the main difficulty is represented by the lack of financing for SEAP actions. The SUMP is a relatively new concept in Romania, therefore only few municipalities have SUMP elaborated, out of which most of them are Growth Poles who benefitted from the support of the EBRD financing. In the cases where municipalities elaborated (or started elaborating) the SUMP, their existing SEAP was taken into account as connected plan among others.

As transport is generally regarded as a sector with high CO2 emissions, SUMP are meant to concentrate on measures to reduce conventional transportation systems introducing other sustainable solutions and adopting a wide range of hard and soft measures. One of the emerging solutions is the taking up of electric mobility measures which would significantly reduce CO2 emissions in the city.

AUSTRIA:

In Austria, municipalities of all sizes have been participating since about 25 years in national programmes for energy efficiency and renewable energy. The Austrian programs are very well established. Participation is supported and partly publicly funded. Therefore the - later established - European initiatives like the Covenant of Mayors (SEAP) have not been widely adopted in Austria. Only one municipality with SEAP has between 50,000 and 350,000 inhabitants. SUMP are not available on the level of individual municipalities with the exception of the capital Vienna.

BULGARIA:

About two thirds of the municipalities in the Black Sea region are of small-scale having population between 10,000 and 15,000 inhabitants yet the three big cities remain Dobrich, Varna and Burgas (over 100,000 inhabitants). The governance level in the small and big sized municipalities quite differs having the resources and efforts allocated in the big cities and thus the small ones becoming isolated to some extent. This refers also to the local planning in energy and transport as some municipalities do not dispose the relevant instruments and capacities because of the impact of factors like migration, financing, rapid urbanization of the big cities comparing to the rest.

Most of the municipal administrations in the region have developed and are currently implementing SEAPs where some single measures regarding sustainable transport are included therein. Only three LAs have already developed SUMP or have integrated measures for transport management in their SEAPs. Costs for preparation of SEAPs and SUMP are relatively high especially when they come from own sources. The municipalities which have already developed SEAPs and SUMP have consequently established a strong departmental coordination within their municipal administrations thus entrusting the achievement of foreseen measures and results.

CROATIA:

Croatia has a very active Covenant of Mayors (CoM) membership base. A number of cities have put quite some energy and time into preparing good SEAPs and are now struggling not to lose momentum needed for implementation to succeed. Certainly, financing is a key issue and potential threat where it cannot be secured. Thus, the SEAP methodology and procedures are quite known and even the municipalities that have not yet initiated the preparation of a SEAP are well aware of the Covenant of Mayors initiative. On the other hand side, SUMP as a strategic document has not yet been that recognized nor accepted. SUMP in Croatia are not legally defined, there are no national guidelines for their preparation and they are not connected to national funding sources. Although objectives of sustainability and political support for SUMP exist, public participation and technical possibilities for the preparation of SUMP are limited.

SPAIN:

Spain is definitely one of the countries with higher number of SEAPs and SUMP implemented per number of inhabitants. This trend, which started more than a decade ago, is actually not a proper picture of the country commitment to sustainability. The frequent instability brought by changes in political parties, affecting the legal framework, the budgets and the impulse towards sustainability initiatives, has led to some extent of heterogeneity and dispersion among municipalities in what concerns SEAPs and SUMP development and follow-up. What some years ago was understood as a comprehensive strategy (such as Agenda 21) which could be the core idea to sustain Energy Efficiency and RES, as well as Sustainable

Mobility, has currently turned into a scattered and atomized trend characterized most of the times by a lack of political leadership, consolidated strategy and a general consensus on the model of city pursued.

The sense of community and participation among the Spanish citizens is not particularly relevant, in part due to historical factors, but also as a response to the lack of credibility and feedback received in many occasions. Some municipalities, however, have really struggled to involve the community, reaching outstanding results. Transparency and proper planning are essential factors to reach society confidence, as much as awareness and environmental education are elements which should still be boosted in the country.

The climate and geographical conditions of the country make both, SEAPs and SUMP's very feasible and attractive, not only in economic terms but also at environmental and social level.

ITALY:

The Covenant of Mayors Initiative has been extremely successful in Italy: more than 39% of Italian municipalities have signed the Covenant¹, representing almost 50%² of the Covenant signatories overall.

However, some weaknesses do exist. If 94,5% of Italian signatories have undoubtedly developed a SEAP, 23,2% only of the municipalities that have developed a SEAP have also monitored their plans' results³. This may suggest that Italian SEAPs are, in most cases, scarcely implemented. Within this context, SIMPLA offers an opportunity to invert such a trend, providing new momentum and suggesting solutions to overcome bottlenecks.

The twelve Italian large-sized municipalities (>250.000 inhabitants) are the best performing ones: they have all signed the Covenant, they have all developed a SEAP and 50% of them have monitored their plans' results⁴.

When focussing on municipalities counting between 50.000 e 350.000 inhabitants (namely, SIMPLA's target) 111 municipalities signed the Covenant (83,4%)⁵, 107 municipalities developed a SEAP (96,4% of the

¹ Italy counts 7.983 municipalities (source: National Institute for Statistics), <http://www.istat.it/it/archivio/6789>, URL visited on 10/01/2017. The Italian signatories of the Covenant of Mayors are 3.188 (source: Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=&date_of_adhesion=&status=, URL visited on 10/01/2017).

² The Covenant counts 6.402 signatories overall (source: Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=&population=&date_of_adhesion=&status=, URL visited on 10/01/2017).

³ Italian municipalities have developed 3.014 Action Plans (source: Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/actions/sustainable-energy-action-plans_en.html?city=Search+for+an+Action+Plan...&country_seap=it&commitments=&date_of_approval=&accepted=, URL visited on 10/01/2017). 701 municipalities have monitored their results (source: Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=&date_of_adhesion=&status=, URL visited on 10/01/2017).

⁴ 12 Italian municipalities count more than 250.000 inhabitants (source: National Institute for Statistics), <http://www.istat.it/it/archivio/6789>, URL visited on 10/01/2017. Data related to the participation of these municipalities in the Covenant of Mayors Initiative are taken from the Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=250000-500000&date_of_adhesion=&status= (excluding the Municipality of Pompei – which counts 25.440 inhabitants according to the National Institute for Statistics – The Province of Chieti and the Province of L'Aquila) and http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=500000-100000000000&date_of_adhesion=&status=, both URL visited on 10/01/2017.

⁵ Italian municipalities counting between 50.000 and 350.000 inhabitants are 133 (source: National Institute for Statistics), <http://www.istat.it/it/archivio/6789>, URL visited on 10/01/2017. Data related to the participation of these municipalities in the Covenant of Mayors Initiative are taken from the Covenant of Mayors for Climate & Energy website,

signatories)⁶ and 31 municipalities have monitored their plans' results⁷: this may suggest that only 27,9% of SEAPs are actually implemented.

To secure the future of the Covenant of Mayors' initiative – whose target year is 2020 – in October 2015 the European Commission launched the new integrated Covenant of Mayors for Climate & Energy, adding to new 2030 CO₂ reduction goals the commitment to adopt a joint approach to tackle mitigation and adaptation to climate change. The signatories of the new Covenant commit to develop a SECAP (Sustainable Energy and Climate Action Plan). In Italy, 88 municipalities have signed the new Covenant⁸ and 6 of them have developed a SECAP⁹. Moreover, 46 more municipalities have added to their SEAPs climate change adaptation objectives¹⁰.

As regards SUMP, they are considerably less spread than SEAPs for two reasons:

- SUMP are newer than SEAPs (SUMP guidelines were issued in 2013, SEAPs guidelines in 2010);
- SUMP are useful tools for medium to large-sized municipalities (>100.000 inhabitants), whereas SEAPs can be successfully developed for small to medium-sized municipalities too. In Italy, municipalities counting more than 100.000 inhabitants are 46 (0,6%)¹¹. SUMP can obviously be developed for aggregations of (small) municipalities (the so-called "functional areas"), however in such a case the process may well be more complex due to the involvement of separate local authorities.

Taking all of this into account, according to the latest available data (November 2016)¹² 54 Italian municipalities have, or are in the process of developing, a SUMP. More precisely, one municipality only has a SUMP approved by the City Council and therefore entered into force, 9 municipalities have a SUMP pending the approval by the City Council and 44 municipalities are drafting their SUMP.

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=50000-250000&date_of_adhesion=&status=1

and

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=250000-500000&date_of_adhesion=&status=1, URL visited on 10/01/2017).

⁶ Source: Covenant of Mayors for Climate & Energy website,

website,

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=50000-250000&date_of_adhesion=&status=2

and

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=250000-500000&date_of_adhesion=&status=2, URL visited on 10/01/2017.

⁷ Source: Covenant of Mayors for Climate & Energy website,

website,

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=50000-250000&date_of_adhesion=&status=3

and

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=250000-500000&date_of_adhesion=&status=3, URL visited on 10/01/2017.

⁸ Source: Covenant of Mayors for Climate & Energy website,

website,

http://www.covenantofmayors.eu/about/signatories_en.html?q=Search+for+a+Signatory...&country_search=it&population=&date_of_adhesion=&status=&commitments=3, URL visited on 10/01/2017.

⁹ Source: Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/actions/sustainable-energy-action-plans_en.html?city=Search+for+an+Action+Plan...&country_seap=it&commitments=4&date_of_approval=&accepted=0, URL visited on 10/01/2017.

¹⁰ Source: Covenant of Mayors for Climate & Energy website, http://www.covenantofmayors.eu/actions/sustainable-energy-action-plans_en.html?city=Search+for+an+Action+Plan...&country_seap=it&commitments=3&date_of_approval=&accepted=0, URL visited on 10/01/2017.

¹¹ Source: National Institute for Statistics, <http://www.istat.it/it/archivio/6789>, URL visited on 10/01/2017.

¹² Source: SUMP Observatory website, <http://www.osservatoriopums.it/osservatorio/pums>, URL visited on 10/01/2017.

Participatory Process

Introduction, process & objectives

In parallel with the setting of the NFP network, the events to be organized within wp2, as previously mentioned, should include two types of sessions, after the profile of the attendants:

- **Focus group sessions:** Organized and coordinated in each pilot territory, their main goal is to discuss existing multilevel governance strategies, policies and planning tools and operational, financial and organizational measures for energy, transport, mobility and land-use planning at community and city level in relation to the innovative concept of SIMPLA integrated multi-sector plans. In particular, the process focuses on the analysis of the guidelines' bone structure in relation to the above. The targeted participants were public authorities that are not project partners (e.g. Municipalities); public bodies and agencies for energy, health, public transport, welfare, development, education and research; financial institutions; associations of industrialists and business associations; etc.; with knowledge in regulation, barriers, financing instruments, etc. Priority was given to national level rather than regional level when possible, since the project focus is not limited to the territories involved as project partners but rather extends beyond their boundaries adopting a nation-wide scope. Regional actors were nevertheless invited to enrich the debate with their contributions and provide further inputs to the discussion.

The base for discussion is a draft bone structure of the guidelines, to be provided to all partners for the organization of the focus group sessions. The goal of focus group sessions is to enhance, enrich and validate the guidelines' bone structure through feedback and contributions collected during these sessions. The feedback will then be shared within the partnership and will serve as guidance to revise the guidelines' bone structure and prepare for workshops.

- **Workshops:** organized and coordinated in each pilot territory, they complete the process started with focus group sessions. Users and stakeholders are called to discuss and compare strengths, weaknesses and areas for improvement of what has been analysed during focus group sessions. The targeted participants were stakeholders and non-institutional actors at territorial level and with the profile of users that more easily perceive fail in systems and often can suggest solutions that technical officers and decision makers may oversee.

Examples of workshop participants are citizens' associations, and associations and networks supporting sustainability policies in mobility, energy production and management, industrial processes. The base for discussion during the workshops was the draft bone structure of the guidelines revised with contributions and feedback received during focus group sessions in all involved territories, to be provided to all partners for the organization of the workshops.

The number of focus groups sessions and workshops organized in each country was meant to be one per pilot region. The actual number of events held is the following:

Country	Focus groups sessions	Workshops
Italy	2	2
Austria	1	1
Spain	1	3
Bulgaria	1	1
Croatia	2	1
Romania	1	1

The outcomes of Focus groups and Workshops have been reported in detail through the 6 Country reports for Deliverable D2.1 (annex). Moreover, templates for focus group/workshop programme, attendance sheet, reports on conclusions from focus groups and workshops, common PPT presentation of the project and of the bone structure opening focus group sessions have been uploaded to the project intranet.

Focus group session/s development and outcomes

The focus group sessions help in all countries were successful in formal terms (regarding number of attendants, coordination and so on), as well as in outcomes achieved. In all 6 countries, the focus group sessions provided valuable insights and inputs which were essential to define the SIMPLA Guidelines document, as well as the transnational vademecum.

In all regions, the Focus groups were conducted as expected with the only exception of Spain, where the two regions opted to organise a single shared event in the country capital (Madrid) so as to maximize the number of institutions attending the event, as well as to limit the impact of the national elections process which was going on at the same time, preventing many institutions representatives to travel within the country to attend 'non-essential' meetings. The number of attendants participating in the focus group sessions per country is shown below:

Country	FG attendants	
Italy	<i>Friuli Venezia Giulia region:</i> 28 participants, out of which 18 guests and 10 partners' staff	<i>Tuscany region:</i> 34 participants, out of which 24 guests and 10 partners' staff
Austria	9 participants, out of which 5 guests and 4 partners' staff	
Spain	16 participants, out of which 12 guests and 4 partners' staff	
Bulgaria	20 participants, out of which 15 guests and 5 partners' staff	
Croatia	<i>Istria region:</i> 15 participants, out of which 8 guests and 7 partners' staff	<i>Primorje-Gorski Kotar region:</i> 17 participants, out of which 10 guests and 7 partners' staff
Romania	19 participants, out of which 14 guests and 5 partners' staff	

Next, a brief summary of the Focus group development and outcomes per country is presented:

ROMANIA:

The focus group session was held in Alba Iulia on 22nd June 2016. The event was attended by the representatives of: the municipalities of Alba Iulia, Baia Mare, Cluj Napoca, Galați, Sibiu and Târgu Mureș, Alba County Council, Regional Development Agency Centru, Regional Development Agency North West, The Romanian Energy Regulatory Authority (ANRE), Intelligent Transport Systems Romania, AV Transport Planning Company, Impact Consulting and ALEA.

The meeting was set up having 2 main discussion points, namely, the first part was dedicated to the analysis of the initial national context regarding sustainable energy and mobility planning whereas in the second part the participants analysed the bone structure of the SIMPLA guidelines for the harmonization of SEAPs and SUMP as drafted by the SIMPLA project partners. The main conclusions were:

- For the harmonisation of the SEAP with the SUMP, it is important that in the elaboration of SEAP/SUMP it is taken into account the development objectives set in the strategy of the territorial administrative unit, in the sectorial strategies and any other planning documents.
- Political commitment should be the starting point of the harmonisation process. It assures the proper allocation of resources and it motivates all departments in the municipality. There should be one coordinator which ideally has decisional power within the municipality, with vision regarding the integration of the strategies and consequent in the reaching of the objectives; this person would be in charge with the allocation of responsibilities within the working groups which ideally would include staff that had been part in the elaboration of the existing documents.
- Every aspect of the harmonisation process should be done having in mind the principle of joint involvement through a good communication strategy. Stakeholders' involvement actions should be better elaborated, assuring quality stakeholder input, not only mere participation in some events.
- Creating an integrated platform for urban mobility and energy data at city level would be very beneficial. There should be a correlation of urban and peri-urban level objectives.
- Monitoring procedures must be correlated for both plans. Economic indicators that integrate the results of both SUMP and SEAP need to be introduced and monitored. Correlation of the updating procedures of the two plans would be beneficial.

AUSTRIA:

The focus group session was held on 28/06/2016 in Graz. In the first part of the session the participants were asked to describe their view of "ideal" final result integrating SEAP and SUMP using the Walt Disney Method taking the role of "The Dreamer". The result was documented on flip charts. In the 2nd part of the workshop flip charts were prepared with a set of relevant questions. The participants were invited to a brainstorming session and small group discussions to write down their views on the given topics.

The main outcomes of the focus group session were:

- The participants mentioned the need of a common database at the national level, the use and exchange of standardized and proven evaluation tools and that there is a strong need to use coordinated funding models for the implementation of measures.



- Regarding the different departments of a city (units or departments of energy, mobility and environment) there is a strong need for common goals, common internal and external communication and awareness-raising measures, joint involvement of stakeholders (e.g. Spatial planning, regional development, NGOs, business, tourism regions, cities, energy service, politics, science, districts, media), joint funding models, common incentives, joint report for SEAP and SUMP and a joint monitoring (continuous monitoring of the implementation process).
- Regarding the harmonisation process of SEAP and SUMP it is essential to create a coordinated combined top down and bottom up process to ensure a solid database, create an integrated and unified document for SEAP and SUMP under a "management pact" of the relevant units. For the implementation of a harmonisation process it is essential to create quantifiable targets along the timeline from 2020 to 2050, to create a roadmap with objectives and to provide support for funding opportunities for the implementation of measures.
- Energy efficiency and energy conservation should be seen as a complete package. It is desirable that the individual departments learn from each other, and that the learning from the best is ensured. The process should be designed in a participatory way and be supported by experts.
- The time resources dedicated to the project should be manageable even for small communities.

BULGARIA:

The FG session was organized on 30th of June 2016 in Varna, Bulgaria within the UBBSA General Assembly meeting where delegates of the member municipalities were represented. 17 representatives from the municipalities from the Bulgarian Black Sea region of Bulgaria: Avren, Dalgopol, Kavarna, Dobrich, Devnya, Byala, Beloslav, Aksakovo attended the group session. Energy experts, planners, administrators from the regional government and representatives of engineering companies were also part of the meeting. The concept of SIMPLA was presented in line with the opportunities for integration of measures and actions part of SEAP and SUMP development by the LA.

Accordingly, the operating SEAPs of Aksakovo, Beloslav, Nesebar, Avren and Kavarna were presented and the process for their initial development was highlighted as well. Particular issues related with the current energy legislation with indicators for energy efficiency, transport and mobility in municipalities were discussed following presentation of the state of the art at the local and regional level regarding the integrated multisectoral planning. The major outcomes derived from the meeting refer to several basic factors that contribute to the proper local planning and operation. It was emphasized that a personal commitment of the city manager or mayor should be performed with a clear strategic vision for the municipal development, definition of short and medium term targets with concrete measures and actions as part of the development process.

A strong team of experts including planners, architects, should be selected and established for the needs of the local planning and for the active implementation of activities. The collaboration mechanisms shall be communicated in twofold directions where the horizontal collaboration is explored at interdepartmental level together with multilevel consolidated activities (vertical collaboration) in the municipalities which is ensured by the representative expert team.

Last but not least, the available financing instruments and tools for actions should be used in the best possible and efficient way and the external funding should be attracted through the national and international initiatives.

CROATIA:

Two focus group sessions were held, one in each region:

- On the 9th of June 2016, in fužine, at the city hall premises, dr. Franje račkog 19, 51322 fužine (primorje gorski kotar region)¹³
- On the 15th of July, in pula, at the premises of polytechnic pula - college of applied sciences, flanatička 29, 52199 pula (Istria region)

The agendas' of both sessions were the same, covering the same topics, but the conclusions from the first session served as a valuable input to better tune the second session, and focus on some sub-topics that were not covered during the first session. There was a total of 32 participants (17 +15) coming from the energy agencies, National Fund for Environmental Protection, University of Zagreb, SME incubator PINS, RES association CROBIOM, RES SME Mariterm, Polytechnic Pula - College of applied sciences, Region of Istria Institute for Physical Planning, Istrian Health Care Centres, and other institutions that have interest in energy and mobility planning, energy monitoring, urban development and similar topics.

Detailed description of the outcomes can be summarized as follows:

- The adoption of SEAP has great success in Croatia since more than 60 municipalities and cities have developed their plans, with more than 2 million of citizens included. On the other hand, more work is needed on the informing and popularization of SUMP in the country
- Some challenges are foreseen with the cities developing SUMP since there is almost no previous experience with SUMP in Croatian municipalities. On the other hand, since no previous experience exists, the ones can be developed to fit the harmonization objectives.
- It is clear why the city range of min 50.000 and max 300.000 inhabitants has been proposed by SIMPLA, nevertheless it will be a challenge since there is only 1 city of that population size in each of the involved regions, and aggregations may be quite challenging, primarily due to politics and sometimes different political options governing the neighbouring municipalities. Also, the local elections are to be held in May 2017 which may interfere the cities' engagement
- The low collaboration between different city/municipality departments has been emphasized as one of the crucial issues to look into, since energy and mobility planning are usually made by different teams that do not collaborate much and thus the results are often not very harmonized
- What always appears as an obstacle in the realization of energy measures is financing. Apart from the "classic" sources of funding, the new way of financing can be through energy cooperatives, ethical banks or crowdfunding
- A lot of local and much targeted energy and mobility issues were discussed in both sessions, outlining the needs and problems of both regions that should be addressed by smart future planning and, even more, realization. Thus, it has been concluded that the harmonization process

¹³ In order to reach bigger visibility, the first focus group workshop was held as part of the Rijeka Sustainable Energy Week 2016 programme.

developed within this project should be very practical and down-to-earth, enabling the municipalities to plan feasible and doable energy measures rather than going into big promises that have low probability of realization

SPAIN:

As previously mentioned, the timing to host the Focus group sessions in Spain was very inconvenient due to the unforeseen delay on the process for national elections. Due to this process, most of the institutions representatives contacted during the previous weeks, answered they were not allowed or have the possibility to travel to the Focus group session whether in Zaragoza or Huelva. An unexpected chance came from the national environmental congress organization (CONAMA), which had an already scheduled meeting in Madrid, hosting many relevant institutions in the field of mobility and energy use. A consecutive event was therefore organized, keeping those institutions already attending the CONAMA meeting, and including some other.

The event was held in the 'Biblioteca Iván de Vargas' (c/ San Justo, 5 Madrid), on June 30th 2016. The participants represented the Diputación Provincial de Huelva, the CIVINet network, the Agencia de la Energía de Andalucía, the CONAMA, the Gobierno de Andalucía (responsible for Covenant of Mayors), the University of Zaragoza, the Consorcio Regional de Transportes (de Zaragoza y Madrid), the Dirección General de Tráfico, and the renowned Municipalities of Rivas-Vaciamadrid and Alcorcón.

During the session, a wide range of barriers and opportunities were discussed, reaching the following conclusions:

- SEAPs and SUMPAs have been approved and developed through very different processes, making it difficult to reach harmonization scenarios. However, most municipalities will benefit from this process since it would generate a common time framework, communication standards, management tools, and homogeneous indicators.
- Main problems, inefficiencies and barriers detected over the years:
 - Lack of political commitment and consensus to design an integrated strategy for SEAPs and SUMPAs as key elements.
 - Each plan responds to different initiatives at political level and, therefore, their respective objectives are not really compatible.
 - The data and information resulting from the plan are not centralized and accessible to all involved parts, making it very difficult to coordinate actions among different departments.
 - Experts and researchers participating in the plans are also different, working separately.
 - The citizenship level of involvement and participation is rather low, tending to decrease due to the loss of credibility and added value of previous SEAPs and SUMPAs.
 - The lack of financial resources, both for personnel and training, together with the shift in budget priorities caused by the financial crisis, hinders the implementation of plans.
- The strengths, opportunities and most urgent needs are the following ones:
 - Institutions should adopt a higher degree of commitment, actively participating in the process and coordinating all parties involved.
 - Multidisciplinary solid teams shall be formed, whether among the different departments of a municipality, or bringing together different municipalities if they are too small. The leadership of

a third independent organization, with proved expertise, could be a good solution to reach consensus and efficacy.

- More detailed plans for follow-up, evaluation and development of standards is a must, together with more and better designed communication actions, so as to reach and involve the citizens.

ITALY:

Two focus group sessions were held in Italy:

The focus group session in Friuli Venezia Giulia took place in Trieste on the 23rd of June 2016. Besides AREA Science Park and the Autonomous Region Friuli Venezia Giulia (project partners), representatives of the following organisations attended the event: Italian Ministry of the Environment, Province of Gorizia, municipalities of Trieste, Gorizia, Udine and Pordenone, National Association of Italian Municipalities – Friuli Venezia Giulia branch, ARPA FVG (Regional Agency for the Protection of the Environment of Friuli Venezia Giulia), APE (Energy Agency of Friuli Venezia Giulia), Euromobility, Enel Distribuzione (multinational corporation producing and distributing energy), AcegasApsAmga SpA (multi-utility dealing, among others, with energy distribution and management).

The focus group session in Tuscany took place in Florence on 26 July 2016. Besides AREA Science Park and Region Tuscany (project partners), representatives of the following organisations attended the event: Municipalities of Arezzo, Grosseto, Livorno, Lucca, Massa, Piombino, Pisa, Prato, Rosignano Marittimo and Siena, National Association of Italian Municipalities – Tuscany branch, Euromobility, University of Pisa, University of Florence, ENEA (National Agency for New Technologies, Energy and Sustainable Economic Development).

During both meetings, participants shared views on the bone structure of the SIMPLA guidelines for the harmonisation of SEAPs and SUMP as developed by the SIMPLA Consortium. The main conclusions are summarised here below.

- The harmonisation of SEAPs and SUMP cannot disregard land use planning. More specifically, efficiency is related not only to the means of transport but also to the overall urban planning: where services (e.g. schools, hospitals, etc.) are widespread within the city, citizens face reduced transport needs. For this reason, a good land use plan is the prerequisite for good SEAPs and SUMP: the aim should be to develop polycentric cities, with high quality of life in the outskirts too.
- Harmonisation should focus on the following aspects: the plans' timeframes, participatory processes and indicators. One of the main issues to this regards is data collection and management. First of all, it is necessary to collect data following scientific methods (planning is sometimes based on partly unreliable surveys or obsolete data). Second, it is necessary to create a joint database gathering data on energy, environment, climate and mobility.
- Harmonisation is necessarily linked to a strong political commitment and entails a partial reshaping of the structure and operational procedures of the local authority: in fact, cooperation between different departments of the municipality is needed. This can be reached in several ways, for instance by assigning specific objectives (linked to economic bonuses) to the heads of the concerned departments or by a formal act of the city council creating an inter-departmental



working group forcing the heads of department to cooperate. In any case, it is always advisable to appoint a coordinator of the harmonization process.

- Electric mobility is one of the main joining links between SEAPs and SUMPs.

Workshop session/s development and outcomes

The Focus group sessions provided valuable insights to the transnational vademecum, as well as to the SIMPLA guidelines to be produced in WP3. However, the outcomes obtained during the FG were also very useful to design and conduct the Workshop sessions, since they established the main areas of concern, as well as the opportunities to explore. Along the 9 workshops conducted within the 6 countries, the attendants were asked to discuss about the previous outcomes as well as their own contributions, which permitted to obtain relevant and comprehensive conclusions.

In all regions, the workshop sessions were held as expected, except for Croatia, where it was agreed that a single event with stakeholders from both regions would be more convenient and successful in terms of attendants and outputs, and in Spain, where one of the regions (Zaragoza), considered it was convenient to hold two sessions instead of one, so as to gather more attendants and visions.

The number of attendants per session in all 6 countries, as well as a brief summary of their development and outcomes, is presented below:

Country	Workshop attendants	
Italy	<i>Friuli Venezia Giulia region:</i> 22 participants	<i>Tuscany region:</i> 16 participants
Austria	52 participants	
Spain	<i>Zaragoza region:</i> 26 + 15 = 41 participants	<i>Huelva region:</i> 17 participants
Bulgaria	22 participants	
Croatia	31 participants	
Romania	21 participants	

ROMANIA:

There was one workshop held in Romania namely in Alba Iulia on 15th November 2016. The event was attended by the representatives of: The Agency for Environmental Protection Alba Branch, Metropolitan Club, ATTA Consulting, Raiffeisen Bank, The Romanian Commercial Bank, The University "1 Decembrie 1918" of Alba Iulia, The National Institute for Research and Development in Electrical Engineering – ICPE Bucharest, The Romanian Union for Public Transportation - URTP, Public Transport Company from Cluj Napoca, Public Transport Company OTL from Oradea, The Institute for Public Politics Bucharest, Tractebel, The Society for Public Transportation from Alba Iulia - STP Alba Iulia, Impact Consulting, Alba County Council, Regional Development Agency Centre, ALEA.

The meeting was set up having 2 main discussion points namely the first part was dedicated to the analysis of the initial national context regarding energy and sustainable mobility planning whereas in the second part the participants analysed the bone structure of the SIMPLA guidelines for the harmonization of SEAPs and SUMP as drafted by the SIMPLA project partners. The main conclusions are as follows:

- The two plans are clearly interconnected and they must be approached together. As transport domain is responsible for 30% of urban pollution having a continuous upward trend the SEAP targets in 2020 and 2030 will mean hard to achieve.
- The harmonization process should be present at the planning level as well as the implementation phase of the 2 plans.
- The harmonization of the county and local transport would lead to the achievement of indicators both in the SUMP and SEAP.
- The harmonization of the SEAP and SUMP communication plan is extremely important. The involvement in an integrated manner has a larger effect and leads to more consistent public involvement. Public awareness strategies are of utmost importance as in Romania there is a general inertia of the population regarding these 2 domains. Tools such as forums, questionnaires, surveys could lead to good results in their active involvement in the implementation of various actions/measures.
- Special emphasis should be put on the prioritization of actions. At the moment, there is a great dispersion of priorities. Moreover, there is no prioritization in the medium and long term. The harmonization process of the plans must take this aspect into account and then the resources to be committed by priority and this will lead to more visible and consistent effects. The political factor, commitment-makers have an important role in this regard.
- Electric transport is the area that should be developed the most. Encouraging electric transport within public transport should be highlighted as it represents the backbone of sustainable mobility; electric transport meets all EU targets (energy efficiency, environmental protection, renewable energy use) thus electric mobility is the strongest bond between the two plans. Moreover, the integration of electric transport should be approached together with green electricity production. Public acceptance strategies related to electric transport should also be conducted.
- The flexibility of mobility, interconnections and infrastructure are all prerequisites that must come from transport companies and must be integrated into sustainable development plans.

AUSTRIA:

The workshop was held on 05/12/2016 in Klagenfurt. In two presentations, the project team introduced the participants to the SIMPLA harmonization process and to the SIMPLA guidelines. After the presentations the participants discussed the predefined questions. The main outcome was:

The federal states have mobility concepts. However, at present they rarely reflect in mobility plans on the municipal or regional level. Systematic plans on regional level, vertically integrated with the concept on the state level, and horizontally integrated with the neighbouring regions would be a big progress. This would support aligning the goals on both levels, make the implementation more efficient and focus measures according to the central needs, instead of on the likes and dislikes of individual proponents.

The e5 scheme is based on checklists covering different areas (strategic development and land use; municipal buildings; infrastructure; mobility; internal organization; awareness). It would be beneficial for a resource efficient and goal orientated implementation to further highlight the interactions between these areas and to show the synergies clearer.

The data basis needs improvement in almost every municipality. There needs to be a focus on recurrent data collection, covering all areas. Ideally this should be anchored in the requirements for climate and energy model regions and the grant, as a requirement before the planning process. Support is needed for a shift from “manual” data collection from a variety of individual sources to a simple, reliable mechanism of data collection and reconciliation.

The improvement of the data basis is crucial for effective monitoring, evaluation of the planning and implementation processes. Currently KEM regions or e5 municipalities in general are not able to demonstrate their progress in CO₂-reduction in numbers.

BULGARIA:

The workshop was organized on 26th of October in Varna, Bulgaria with the participation of representing experts and specialists of local planning and programming, urban development, procurement and implementation of actions at the municipal level. Experts from the energy agencies active in the region together with energy, environment and transport related organizations, energy and service providers, cycling organizations and municipalities from the region were invited to take part in discussions and drafting basic highlights of the efficient local and regional planning.

The major assumptions for the integrated local planning in energy and transport were discussed based on the local particularities and locations. It was evidenced that the small scale municipalities having similar characteristics should develop integrated and consolidated plans having regional dimension while the big cities like Varna and Dobrich should focus on particular activities in energy and transport as crucial factors for the proper urban spatial development of the city.

The tourism is an assigning branch and therefore the impacts on transport and mobility and energy efficiency occur at significant extent here. A major part of the transport problems that municipalities face come from migration of the tourist flow, the seasonality of the flow, the types and reasons for travelling, etc. and accordingly the local particularities are influenced by these factors. Possible solutions are to be related with more comprehensive research of indicators in the transport related to energy efficiency and definition of integrated and diversified measures for urban infrastructure management, facilities serving both energy and transport needs within sectoral domains.

A substantial element is the air pollution monitoring with analysis of basic indicators which serves both energy and transport and should be integrated in the SEAP and SUMP processes.

CROATIA:

As it was stated in the AF, participation to these workshops was supposed to be reserved mostly for stakeholders and non-institutional actors, and the priority should be given to national level rather than regional level. Istria and Primorje-Gorski Kotar are two neighbouring regions, with their administrative centres being at a distance of only 1 hour by car. Due to this territorial proximity, key stakeholders initially defined for both workshops were quite overlapping and with their tight schedules, it was hard to get their

confirmations to attend two almost identical workshops (one in Istria, one in Primorje-Gorski Kotar) in the more or less same time period. In that respect, and after informing the lead partner and EASME, the two planned workshops were merged into a single workshop, organized jointly by both regions, with the technical support of REA Kvarner.

The Workshop was held on the 30th of November 2016 at Primorje-Gorski Kotar Headquarters, Rijeka, Adamićeva 10. Approximately 90 invitations were sent to targeted stakeholders from Primorje-Gorski Kotar and Istria Region, but also on the national level – when it comes to experts and professionals that are not present regionally, e.g. researchers from the Faculty of Transport and Traffic Sciences which is situated in Zagreb and is the only traffic faculty in the country. A total of 31 participants attended the workshop - coming from the City of Rijeka, University of Rijeka Faculty of Maritime Studies – Transport department, University of Zagreb Faculty of Transport and Traffic Sciences, Association Cezar - association for the promotion of energy efficiency representing municipalities of Primorje Gorski Kotar Region, City of Rijeka traffic company Rijeka Promet Ltd., PGKC region Institute for Physical Planning, as well as a number of partner representatives, IR and especially PKGC. Reason for this lies in the conclusions from focus group sessions where it was noted that one of the major obstacles for integrated and harmonized energy & mobility planning lies in a fact that the inter-departmental cooperation at very low level, both on the local (municipalities) and regional (counties) level. Thus, this workshop was used as an opportunity to make the switch and tackle future cooperation in the project.

The agenda of the event was structured in a way to provide much time for discussion and participants' interaction. In the opening part, a short presentation of the project was made, followed by a presentation of the Guidelines for the harmonization of SEAPs and SUMP. There was also a time slot for participants' introduction, when they were asked to present their responsibilities within their home institutions as well as to detect their possible role in the SIMPLA integrated planning processes. The discussion was moderated by the director of the Regional Energy Agency Kvarner, with active participation of participants.

Detailed description of the outcomes is given in the workshop report, but can be summarized as follows:

- The Ministry of the Sea, Transport and Infrastructure has started developing national SUMP guidelines which may be somewhat different from the available EU guidelines; the SUMP of the city of Koprivnica (the 1st one in Croatia) has not been officially accepted by the Ministry, even though it was prepared in accordance with the EU guidelines, thus is important to wait and see what the national guidelines will proscribe, and align it with SIMPLA.
- There is a problem with too many documents and plans available at the national level, which are not harmonized and are based on different laws and regulations. Plans should be adjusted both vertically and horizontally; meaning that a higher level of compliance should be present from the national down to the local level, and also that different local plans should be harmonized.
- Data collection in Croatian municipalities is generally considered to be on a low level; bigger cities have some smart solutions while smaller ones often do not have resources to invest in it.
- There was a mixed attitude of WS participants towards a question whether SEAPs and SUMP should be separate or merged; however experts from the faculty of transport and traffic sciences support the SIMPLA approach, stating that those 2 documents should remain separate even though they are about 30% the same in contents.

SPAIN:

Three workshops were held in Spain, two in Zaragoza on November 10th and 24th 2016, and one in Huelva on December 12th 2016.

The 19/10 working session, at the DPZ, brought together a number of mayors from the province of Zaragoza along with representatives from the Environment Agency, Consumer Organizations, Transport Consortium, Greenpeace, Zaragoza Vivienda, FAMCP, DPZ, Ebrópolis, and CIRCE Foundation. The participants worked in 4 groups to analyze the main threats, strengths, weaknesses and opportunities in relation to the implementation of integrated SUMP and SEAPs in municipalities. A division of 4 working areas was made according to: political area, management area, financial area, social area.

A series of barriers, threats, supports and opportunities for the integration of SEAPs and SUMP were obtained from the four working groups, and through two dynamics:

Weaknesses	Threats
<i>• Lack of connection between administrations (political area)</i>	<i>• Lack of adequate legislation to facilitate the citizen contribution (political)</i>
<i>• Initiatives linked to legislatures (policy area)</i>	<i>• Uncertain political future (political)</i>
<i>• Lack of technical support to small municipalities (political / executive and management)</i>	<i>• Lack of global awareness - credibility (social environment)</i>
<i>• Insufficient individual commitment (social field)</i>	<i>• Political uncertainty in stable budgets - (political)</i>
<i>• Administrative slowness / administrative opacity (executive and management)</i>	<i>• Lack of infrastructures - (political / executive and management)</i>

Strengths	Opportunities
<i>• Good educational programs (political area)</i>	<i>• Awareness raising and education (policy area)</i>
<i>• Strong civil society (social area)</i>	<i>• European funds / projects (economic and financial)</i>
<i>• Experience in European projects (management & financial area)</i>	<i>• Technology and innovation (executive and management)</i>
<i>• Improving dissemination standards & transparency (executive and management)</i>	<i>• Municipal clusters - (political / executive and management area)</i>
	<i>• International commitments - (political / social)</i>

The 24/11 working session, at the DPZ, was designed after the information obtained in the previous FG and workshop sessions, as well as the experience from experts. It was designed as an open and dynamic work session.

The workshop was attended by specialists from different fields of activity, from public administrations to companies, civil society organizations, universities or financial institutions, and its objective was focused on determining which solutions, actions and mechanisms should be proposed to those municipalities interested in implementing SUMP and SEAPs in an integrated way, as well as those who have a plan to implement one of them. Participants were divided into four heterogeneous groups, adopting one of the approaches presented, so that each group assumed a specific area as the main one, but also understood the impact that other areas could have for the proposed actions.

The results showed the relevance given to issues related to the work and management model, over a priori more necessary aspects such as financing, for example. Coordination between administrations, as well as between public and private entities, the exemplary potential of the administration or the best use of resources already available, are presented as the best rated actions. Secondly, the initiatives associated with a greater degree of transparency and participation in the actions carried out, prioritizing the phases of analysis, design and incorporation of all the interest groups stand out.

The working session in the region of Huelva, on December 16th, 2016, was held in the Common Cross-Border Development Agency of the Infrastructure, Environment and Planning Area. The session included: environmental associations, consumers, cyclists and neighbors, trade unions, opinion groups and sustainability promoters, consortia and transport companies, taxi cooperatives, schools of architects and engineers, pensioners' club and numerous municipalities immersed in a SEAP and / or SUMP. The session consisted in creating a round table discussion of all the participants to discuss a series of issues related to the context of energy planning and mobility from the different perspectives of the social actors and decision makers present. The main conclusions can be summarized in:

Weaknesses	Threats
<ul style="list-style-type: none"> • <i>Lack of political commitment to follow up on approved plans and poor resource allocation</i> 	<ul style="list-style-type: none"> • <i>Lack of implementation, monitoring, evaluation of results and their updating. Currently working groups established to work in planning do not have sufficient human resources.</i>
<ul style="list-style-type: none"> • <i>Disclosure (for lack of knowledge) interdepartmental and / or between working groups within the same administration.</i> 	<ul style="list-style-type: none"> • <i>Great dependence on the political wing or instability of the governing government.</i>
<ul style="list-style-type: none"> • <i>Obsolete vehicle fleet. Progressive adaptation of the fleet to zero-emission vehicles would be desirable.</i> 	<ul style="list-style-type: none"> • <i>Loss of credibility and trust of society, companies and institutions.</i>
<ul style="list-style-type: none"> • <i>Ignorance of representatives of consortiums, associations and unions of the existence of mobility or energy plans, since they have never been informed about these issues.</i> 	<ul style="list-style-type: none"> • <i>Lack perspective and knowledge of mobility issues at the provincial level and small nuclei.</i>

Strengths	Opportunities
<ul style="list-style-type: none"> <i>The municipalities of Huelva have addressed the implementation and monitoring of SEAPs in a grouped form due to the size of their municipalities, so integration of mobility planning should be considered with the same approach to share a monitoring and evaluation of common indicators.</i> 	<ul style="list-style-type: none"> <i>Need for coordination with peri-urban areas, outskirts and surrounding municipalities to manage the flow of traffic during peak hours, and to decongest access to the city from the residential centers. There is an added difficulty in coordinating more than one administration or municipalities, SUMPs should not be limited to a specific urban nucleus or actions.</i> <i>Need to approach innovative initiatives or replicability of successful experiences in other centers (parking bags, promotion and advantages for using public transport and alternative transportation systems, as well as favoring the use of electric vehicles).</i>

ITALY:

Two workshops were held in Italy, in the pilot regions of Friuli Venezia Giulia and Tuscany respectively:

The workshop in Friuli Venezia Giulia took place in Trieste on 15 November 2016. Besides AREA Science Park and the Autonomous Region Friuli Venezia Giulia (project partners), representatives of the following organisations attended the event: University of Trieste, Trieste Public Health Authority, Association of Architects of the Province of Pordenone, Association of Surveyors of the Province of Udine, National Association of Building Contractors – Friuli Venezia Giulia branch, Insiel S.p.A. (in-house ICT company of the Region Friuli Venezia Giulia), Trieste Trasporti S.p.A. (Public Transport Operator), SAF Autoservizi FVG S.p.A. (Public Transport Operator), Kallipolis (NGO active in the field of urban planning), Legambiente Friuli Venezia Giulia (Environmental NGO), ATER Udine (Agency for Public Housing of the Province of Udine).

The workshop in Tuscany took place in Florence on 17 November 2016. Besides AREA Science Park and Region Tuscany (project partners), representatives of the following organisations attended the event: Federconsumatori Toscana (Consumers' Association), University of Pisa, Legambiente (Environmental NGO), Legambiente Toscana (Environmental NGO – Tuscany branch), Regional Federation of the Associations of Engineers of Tuscany – Association of Engineers of the Province of Florence, FIAB (Cyclists' Association), Associazione Progetto Bici (NGO active in the field of cycling), Simurg Ricerche (research consultancy).

During the two meetings, discussions focused both on methodological issues – namely, the objectives municipalities should pursue when harmonising SEAPs and SUMPs and the management of participatory processes – and mobility-related issues – namely, future public transport models and soft mobility promotion. The main conclusions are summarised here below.

Objectives municipalities should pursue when harmonising SEAPs and SUMPs

- Embedding energy efficiency and sustainability principles in land use plans.
- Simplifying public procurement procedures: it often happens that the time lapse between the decision to adopt a given measure and its implementation is so long that the technology to be applied turns out to be outdated at the moment it is adopted.



- Promoting a paradigm shift from individualism, consumerism and waste-centred lifestyles to a wider solidarity. This implies both a technical and cultural shift. For this reason, regulations prescribing new behaviours should be combined with awareness-raising actions. To this regards, involving kids and teenagers in environmental initiatives is crucial, since they can reach their parents and thus raise adults' awareness too. To this end, it is necessary to closely work with schools.

Effective participatory processes

- Participatory processes should focus on a well-defined topic and on a restricted area. Targeted interventions are more effective, since citizens perceive them as closer to their daily lives.
- Stakeholders should be involved from the very beginning of the plans' drafting. Moreover, participatory processes should not end with the adoption of the plans, but rather extend to their implementation and monitoring phases.
- Stakeholders' opinions should be taken into account. To this end, it is useful to provide for "quick wins", namely easily reachable results: these keep the participation's momentum and give proof that it served its purposes.
- Participatory processes should be managed by third parties, even though public authorities should always oversee the entire process of the plans' drafting.
- Methods and techniques should be tailored to the different target groups: social media can be exploited to reach young citizens, while traditional meetings should involve the elderly.

Public transport outlook (10 years' timeframe)

- The demand for "on-demand" public transport (PT) will increase. Consequently, PT operators will need to have available different means of transport to adjust to the number of users.
- Electric mobility, and particularly car-sharing, will compete with public transport: the first ones being more flexible, they are more suited to nowadays lifestyles that feature both working and leisure activities scattered over wide areas.
- Integrated payment systems for all available mobility services should be put in place.

Measures to promote soft mobility (i.e. walking and cycling)

- Granting subsidies for purchasing electric bicycles or favouring the home-to-work travel use.
- Guaranteeing safe cycling through dedicated lanes or 30 km/h zones.
- Equipping bike parking facilities with cameras to avoid bike thefts.
- Promoting a cultural shift so that cycling is considered not only as a leisure activity but also as a valid means of transport.
- Making the use of cars inconvenient, e.g., through higher car taxation.

Conclusions

The whole process undergone through the WP2 activities was designed to feed the various documents which will provide the basis for municipalities to develop harmonized plans for SEAPs and SUMP. In this regard, the main contributions coming from Focus group and Workshop sessions have been addressed to the transnational vademecum, the SIMPLA Manifesto (Deliverable 2.2), and the SIMPLA guidelines (Deliverable 3.3).

Nevertheless, in order to wrap up the results and outcomes obtained through the participatory process throughout the 9 regions, a summary of the main conclusions achieved in every country is presented next:

ROMANIA:

The main conclusions obtained in Romania through the participatory process are summarised as follows:

- The elaboration of the SUMP and the SEAP in Romanian municipalities must start from the general urban plan (particularly important for the development of a community), which should provide useful information.
- There are numerous challenges when it comes to strategic thinking and elaboration of planning documents: lack of motivated and experienced staff of local authorities as well as a gap in the organisational structure in the municipalities where, even though it is mandatory, there is no energy department with an appointed energy manager, who could take up the role of the integrator of sustainable development related plans and actions; moreover, the lack of relevant statistical data makes it difficult to set impact indicators in any planning document because the localities in Romania do not collect data on mobility of people and goods. Thus, it is required the collection of data through other ways, often more time consuming and expensive, such as through questionnaires, interviews, traffic studies, etc. The solution would be the creation of database centres constantly updated, requiring human and material resources and a specific institutional commitment to sustain this long-term process.
- It is not advisable to resort to the creation of new workgroups. The harmonization should be done by existing structures for the two plans which should be led by a coordinator who needs to have decisional power i.e. someone with higher authority.
- Involvement of stakeholders through forums or public debates is a good solution to receive feedback, but one should keep an eye on the quality of the stakeholders' feedback.
- Under the financing section the introduction of Norwegian funds would be advisable together with the updating of other available financing schemes. It is of great importance the identification of innovative financing schemes to be combined with the available ones.
- Impact indicators for the two plans should be integrated. One of the possibilities would be linked to public policies for carbon footprint. The indicators should be based on a common denominator such as of economic nature (the efficiency of expenditures using public funds)

AUSTRIA:

The Austrian specific programs are providing trainings on relevant topics (e.g. energy controlling, sustainable buildings, marketing, indicators and benchmarking, etc.) for their participants. The SIMPLA training course in general will focus on the harmonisation process of SEAPs and SUMP, but in Austria there are no SEAPs and SUMP at present which can be harmonised. Therefore the content of the training course as well as the SIMPLA guidelines need to be adapted taking into consideration the Austrian peculiarities.

The SIMPLA guidelines could contribute to the development of KEMs by demonstrating clearly the need for strategic land use planning, which is seen as a major deficit in Austrian administration. They could further contribute to horizontal networking in between regions and between different administrative levels. This would mean to create the “administrative pact” between departments which was already highlighted during the focus group meeting as a major priority. The guidelines could also create a major benefit by systematically initializing energy accounting on the level of municipalities and by showing approaches, methods and tools for effective municipal energy accounting.

The guidelines should include best practice examples showing, what has worked and what has not worked, the transfer of effective solutions regarding data acquisition, planning, measures, financing to avoid reinventing the wheel in each interested municipality and to generate a steeper learning curve. Furthermore, effective project management tools should be included in the guidelines. These project management tools should support the development of standardized processes for planning from developing a concept to actual implementation of measures. This could help in remedying the sometimes immediate selection of measures because of personal priorities of proponents, which later on prove ineffective, are not accepted by the addressed population or simply stand in insulation.

Regarding the harmonisation process, the guidelines should provide a planning tool that uses the following elements: Situation, Objective, Strategy, Tactic, Action and Control. The guidelines should demonstrate how the monitoring and evaluation process needs to be planned and how goals and strategies are adapted accordingly, because it is essential for the achievement of continuous improvement that the evaluation of the environmental performance will be done on an annual basis. In this evaluation process the progress of the energy action program will be checked, activities will be adjusted if necessary and expanded to include new, additional projects.

As a recommended tool for a holistic view and documentation of the energy and climate aspects, goals, strategies, etc., the ISO 50001 approach was suggested to be included into the guidelines. The various established programs in Austria matching the ideas of a SEAP which meet the requirements of the Covenant of Mayors should also be considered in the guidelines.

BULGARIA:

As a rule, the municipalities are those responsible for the proper management regarding planning, target setting and implementation of actions and activities and the personal understanding and apprehension of the city manager or the mayor is a key factor for success. Undoubtedly, the proper management is a prerequisite for a strong expert team working within inter-municipal departments which actively contributes to the planning process. Multidisciplinary skills of experienced persons should be considered for the effective management of planning and programming as well.

The public authorities are the main force that can contribute to reduce the energy consumption and negative environmental impacts and enhance the energy efficiency, renewable sources and efficient transport management through the local planning instruments and tools. Therefore the harmonization principles which lie in the SEAPs and SUMP's concept can be a powerful instrument for a better outreach of sustainable energy efficient and environmental friendly results.

The proper and coherent harmonization of SEAP and SUMP at municipal level is important for the better definition of targets, actions and activities where more people are involved in one and the same topic. It will lead to a better interdepartmental municipal cooperation as well as better distribution of resources, staff efforts and responsibilities. The public consultation process is not to be underestimated where the local stakeholders, local communities and citizens shall be actively involved from the beginning and to be regularly informed about any issues and results, outcomes and achievements. They should act in close cooperation with the key actors and together with the decision makers shall define strategies, targets and actions for the effective energy and transport management.

As for the multigovernance attitude towards harmonization process of SEAPs and SUMP's, the unexperienced and less developed municipalities shall consult those who have already developed such plans and achieve results to a certain extent. This will strongly contribute to a better cooperation at regional level and result in development of active planning documents with real results and outcomes.

A solid system for data collection, processing, analysis and monitoring should be established and integrated for the planning needs and implementation of foreseen activities. The participatory process should be encouraged through the following set of tools: (i) organization of meetings and discussions between experts, key actors, and decision and policy makers with active involvement of stakeholders; (ii) use of the established communication channels, e.g. peer contacts, electronic tools, media press to inform and report progress of activities to the target groups; (iii) appointment of group leaders to serve as mediators between the authority and the community. The available funding opportunities should be also used.

The SEAP and SUMP harmonization shall lead to additional multiplied and collective impacts on energy management and environment which would be achieved by the enhanced capacities and competences of the local authorities triggered by the present project.

CROATIA:

The participants summarized the results of these national consultations in a few most important points:

- Greet the idea of SEAP and SUMP harmonization, or generally using the harmonization principles in all types of planning, at all levels
- Detect politics as both the biggest potential driver and obstacle to SIMPLA project implementation; the upcoming local elections in spring 2017 are detected as a risk that could delay the project activities; on the other hand, with the switch on power, support to SEAP & SIMPLA planning could also increase, if the new administration takes a more green approach
- Interdepartmental collaboration is considered to be a big issue that the project needs to address; energy and mobility planning is usually done separately, and there is not much collaboration between experts from different municipality departments. Thus, good stakeholder management will be of utmost importance

- There is a need to promote SUMP more heavily since only a few of Croatian municipalities (and none in the involved regions) have adapted it. Also, national legislation is to be monitored, since the first national guidelines on SUMP development are said to be under development, which is why none of the Croatian SUMP has been officially recognized by the relevant national bodies
- The bone structure of the guidelines represents a good starting point and working material, and a number of turn-key packages and best practice examples will be highly useful. However, it is considered that the biggest power lies in the so-called “snowball effect” – once the first set of municipalities benefit from the SIMPLA project activities, others will be more willing to join, and take similar initiatives

SPAIN:

The conclusions obtained from the events held in Spain can be structured and summarized as follows, so that they can contribute to the guidelines for the integration of SEAPs and SUMP:

- The benefits obtained from the integration of both plans are highlighted due to the similarities and synergies among plans, such as the common framework, the common design of the communication process, the management of the two plans, a similar set of indicators to evaluate the performance, synergies in terms of savings, human resource efficiency and access to better sources of funding.
- Need for higher commitment by public administrations to promote the integration of plans
- The need for coordination between administrations, as well as between public and private entities, showing an exemplary role from the administration
- It is necessary to design, approve and develop a plan for the monitoring, evaluation and visibility of the process, so that a continuous evaluation procedure can be established, avoiding problems derived, such as deviations, misunderstandings and excessive expenses
- Need for a greater degree of participation in the actions carried out, prioritizing the phases of analysis, design and incorporation of all stakeholders.
- Need to develop more effective and extensive communication standards, both internally and externally, ensuring that adequate information reaches its objective
- It is necessary to ensure leadership from the immediately above institutions, transport consortia, sector agencies, etc., when the concerned municipalities are too small or cannot carry the process on their own.
- Need to approach innovative initiatives or replicability of successful experiences in other centres (parking bags, promotion and advantages for using public transport and alternative transportation systems, as well as favoring the use of electric vehicles).

ITALY:

The main contributions of the focus group sessions and workshops held in Italy to the SIMPLA guidelines for the harmonization of SEAPs and SUMP are the following:

- The harmonisation of SEAPs and SUMP cannot disregard land use planning. Energy efficiency and sustainability principles need to be embedded in land use plans. Good SEAPs and good SUMP rest upon good land use plans.



- Harmonisation should focus on the following aspects: the plans' timeframes, participatory processes and indicators. It is necessary to create a joint database gathering data on energy, environment, climate and mobility.
- Harmonisation is necessarily linked to a strong political commitment and entails a partial reshaping of the structure and operational procedures of the local authority: in fact, cooperation between different departments of the municipality is needed.
- Effective participatory processes rest upon the following features:
 - Focussing on a well-defined topic and on a restricted area;
 - Involving stakeholders from the very beginning of the plans' drafting up to their implementation and monitoring;
 - Taking into account stakeholders' opinions thus giving proof that their participation served its purposes;
 - Being managed by unbiased third parties.

Annexes

- TRANSNATIONAL VADEMECUM
- 6 COUNTRY REPORTS ON PREPARATION ACTIONS FOR THE INTERNATIONAL INTERVENTION MODEL IN NATIONAL LANGUAGE.