



Integrated and Sustainable Transport in Efficient Network - ISTEN

D.T2.2.1 – ISTEN Common methodology for Local action plans	
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Document information

Abstract

Guidelines and common methodology to be followed by partners in developing their Local Action Plans

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List of abbreviations and definitions

AP: Action Plans; **LAP:** Local Action Plan; **FO:** framework objective; **CAP:** CANVAS Action Plan;
KPI: Key Performance Indicator;

1. Introduction

The work package WPT2 aims to transfer the Isten approach into actions applied at local and Adrion regional level, on the basis of the context analysis and on the transnational exchange of knowledge carried out in WPT1.

According to the Application Form, in the Activity T2.2 each ISTEN Project Partner **defines an Action Plan** identifying the main interventions, local measures, and conditions for making the port and hinterland an efficient and integrated HUB. The Action Plan will also contribute to feed the Strategic Action Plan for Adrion Region (Activity T2.3).

The Action Plan of each site describe how will improve connections among the different Adrion ports which are candidates to become an important Gateway to address the bottlenecks identified both at local and transnational level. Each national node of the gateway shall serve as freight consolidation points, guarantee intermodal facilities and workflows and provide a wide range of logistic services respect with the interactions with the neighbouring actors.

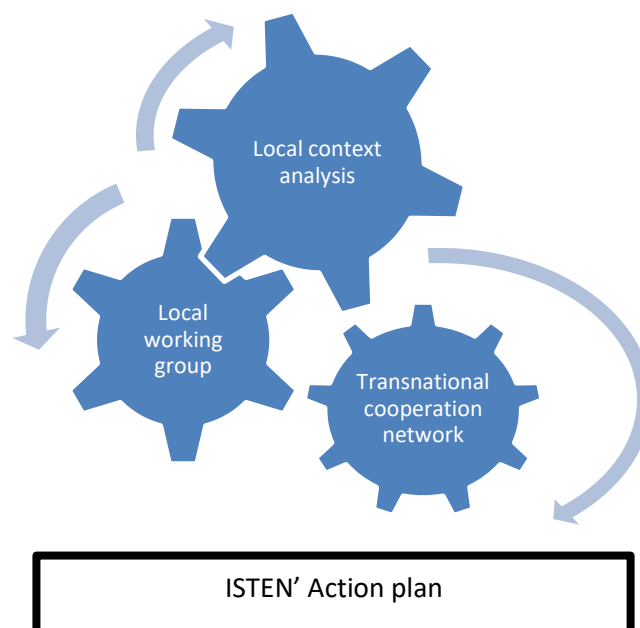
To reach this objective in each Action plan is necessary taking into account actions, investment and regulation, based on the technical condition identified in local context analysis turning a port into an integrated hub.

This paper, In Chapter 1 presents a brief description of the Activity T2.2 of WPT2, in chapter 2 the methodology for writing the Action Plan is described, as main output of the Activity T2.2. In Chapter 3, the follow-up steps for implementing the methodology are defined, including partner responsibilities and deadlines for finalising this report. Finally, in Annex I, a templete for action plan report is provided.

1.1.A BRIEF DESCRIPTION OF THE ACTIVITY T2.2

ISTEN aims to qualify ADRION PORTS as a strategic nodes and hubs for the ADRION Region by setting up strategies, transnational cooperation network and a joint action plan to improve hinterland intermodal connections, pushing in particular rail freight flow and last mile connection to TEN-T corridor. A direct and strong involvement of target groups at partner's level is the key element of WPT2, based on setting up Local Working Groups (A.T2.1). Each LWG is coordinated by the ISTEN project partner, which is in charge of the development of ISTEN action plans and will represent the site in the Transnational Cooperation Network (WPT1). Action plans are strategic documents identifying steps and measure to be adopted to foster the creation of an integrated network from a number of co-existing hubs following ISTEN's vision.

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1.2. Responsibilities from partner

Activity A.T2.2 is led by the Institute for Transport and Logistics, which is also the Work Package Leader T2. In Table 1 there are all the responsibilities of each partner, the report description and the date of availability of the reports.

ID	Title	Description	Resp.	Due date
D.T2.2.1	ISTEN Common Methodology for Local Action Plans	Guidelines and common methodology to be followed by partners in developing their Local Action Plans	ITL	May-18
D.T2.2.2	Local Action Plan for Emilia-Romagna Region	Local Action Plan for Emilia-Romagna Region	ITL	Jan-19
D.T2.2.3	Local Action Plan for Calabria Region	Local Action Plan for Calabria Region	UNIMED	Sep-19
D.T2.2.4	Local Action Plan for Koper area	Local Action Plan for Koper area	Luka Koper	Sep-19
D.T2.2.5	Local Action Plan for Trieste area	Local Action Plan for Trieste area	TPA	Sep-19
D.T2.2.6	Local Action Plan for Thessaloniki area	Local Action Plan for Thessaloniki area	ThPA	Sep-19
D.T2.2.7	Local Action Plan for Durres Region	Local Action Plan for Durres Region	RCD	Sep-19
D.T2.2.8	Local Action Plan for Bar area	Local Action Plan for Bar area	Bar PA	Sep-19
D.T2.2.9	Local Action Plan for Serbia	Local Action Plan for Serbia	CCIS	Sep-19
D.T2.2.10	Local Action Plan for Sibenik region	Local Action Plan for Sibenik region	Sibenik PA	Sep-19
D.T2.2.11	ISTEN Local Action Plans Portfolio	Portfolio collecting the 7 Local Action Plans developed by ISTEN Project Partners and consolidating results.	ITL	Oct-19

Table 1 - Responsibilities of partners from the ISTEN Application Form

2. Common methodology

2.1. ACTION PLANS - an approach to their formulation

Each Region must develop a local Action Plan which is based on the activities carried out in previous work package. The objective of the action plan is to define clear steps for the implementation of the integrated hub, and to foster the integration of port with its hinterland.

Action Plans (**AP**) are planning documents containing a detailed description of a set of individual actions targeted at a general common aim, the “framework objective” (**FO**). Each action can have one or more specific objectives that must be coherent with the FO and should contribute to achieve a specific goal. Moreover, each single action can involve different players and stakeholders and may have different characteristics. So, an AP requires a coordinated implementation of a series of concurrent actions.

The actions contained in an AP should have some general characteristics that should drive their formulation:

- To be effective in relation to the specific objective and the “framework objective”: this means that only actions contributing to the overall objectives should be included in the AP and that their effectiveness in terms of expected results must be evaluated.
- To be exhaustive respect to the stated objectives.
- Each action should be an independent “working unit”, capable to be implemented and to go on by itself, achieving its results. This is important in order to avoid difficulties on single action which may jeopardize the implementation of the overall AP.
- The actions should be at the same time integrated and complementary so that each one can sustain the others and the final result can benefit from the combined effect of the different actions.

AP must be subject to an evaluation, to understand the effectiveness of the implemented actions and to define their impact on the current situation. To make it possible, each action in the AP has to be analyzed and described in a proper manner, according to a set of principle.

In the following chapters, it is provided a template for the creation of an Action Plan. On the one hand it can be considered as the structure of the action description, and in the other hand as a guideline for the analysis and the definition of the action itself. Following these guidelines will help:

- To not neglect any important point to be considered for the implementation of the action
- To provide a reference plan for the action implementation
- To make possible the evaluation of the action from its different perspectives

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- To point out all the players and to involve all the stakeholders in the action implementation just from its first phases

In ISTEN, in order to harmonize the methodology and to allow also a transnational view of all the action plans in each region, it was adopted a standard model in order to describe the activities. Each activity is described in this report as guideline for the project partners.

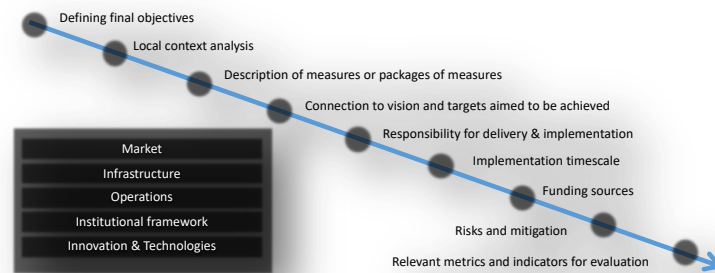


Figure 1 - Steps for a successful implementation of the action plan

Some steps were identified (see Figure 1) in order to have a successful action plan in each region.

Moreover, in order to keep the coherence of the action plans with the previous and following activities, action plans are linked to the categories identified in the Common methodology for local context analysis (D.T1.1.1). In particular, the Action Plan will consider the categories already analysed for the identification of the local bottlenecks at regional level, which are essentially the following five:

- Market
- Infrastructure
- Operations
- Institutional framework
- Innovation and Technologies

For each of these categories, partners are asked to provide a description of the actions they are able to plan today, in order to have an integrated hub tomorrow. The link with the D.T1.1.1 is very important because the action plan is fundamental to remove the bottleneck identified.

2.1.1. The approach

The Canvas approach is the easier way to find actions and activities in several Countries.

Each site is requested to provide actions for each bottleneck identified. Each category may include different bottlenecks, for this reason there could be several action plans for each

Action plan site 1				
Market	Infrastructure	Operations	Institutional framework	Innovation & Technologies
Action 1	Action 1	Action 1	Action 1	Action 1
Action 2	Action 2	Action 2	Action 2	Action 2
Action n	Action n	Action n	Action n	Action n
Action plan site 2				
Market	Infrastructure	Operations	Institutional framework	Innovation & Technologies
Action 1	Action 1	Action 1	Action 1	Action 1
Action 2	Action 2	Action 2	Action 2	Action 2
Action n	Action n	Action n	Action n	Action n

Figure 2 - Structure of the action plans, considering also the identified five categories

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category (see Figure 2).

All Regions or sites, will be able to have a detailed table with one or several action plans for each category (which are linked to the bottleneck identified in the Local context analysis (D.T1.1.2-10)).

2.1.2. The CANVAS model

An action plan, to consider all the options and also to have different approaches, should be co-created with the local stakeholders, which may have a different point of view on the same topic. This is quite important as the action plan, as mentioned in the introduction, is a planning document which will involve different players working with the same objective.

In order to ease the interaction with the stakeholders during the Local working groups in each region (D.T2.2.2-10 in ISTEN), this methodology propose to use the CANVAS approach to define the action plans (Figure 3). Of course there are some slots of the

Stakeholders involved	Key Actions	Aims	Problems faced	Timescale implementation
<i>Which are the main stakeholders identified and engaged you consider important to reach your objective</i>	<i>Main steps to solve the problem and to reach your objectives</i>	<i>The value proposition of your action. In this section you may list the main objectives and why you are considering this action so important</i>	<i>List here the main problems you encountered during the definition of this action plan</i>	<i>Steps and actions linked to a timeframe important to estimate when the action will be implemented.</i>
<i>Funding sources</i> Source of funding: EU grants /subsidies National and regional government subsidies Revenue funding from public sector activities Private sector operators, developers, industry Other sources such bank loans & private investment		<i>Risk analysis</i> Understanding why actions fail to deliver? Doesn't achieve required outcome Resource & delivery issues Changing partner /stakeholder perspectives Technology shift Identifying suitable mitigation measures to address this Risk management processes built into action plan		

original CANVAS model which are not included in this methodology, but considering the similarity between a business model and an action plan, it is possible to re-adapt this approach to our objectives. In particular there are some benefit from the use of a CANVAS action plan (CAP):

- **Syntesis:** the action plan must be a planning document which provide guidance on overcoming problems identified (bottlenecks). But very often it happens that planning are not followed as some other problems may occur. In the action plan only mayor steps and information must be included. A detailed document can be created only when activities starts.
- **Co-Creation:** Involvement and engagement of stakeholders are very difficult activities. In D.T2.1.1, ITL provided a Methodology for the set-up of the local clusters, which includes guidance on the involvement and engagement of local stakeholders, and provide also some suggestions on how to manage the local meetings. One of the objectives of the local meetings is also the contribution to the definition of the stakeholders to the LAPs. The CAP is a tool which allows to support the discussion and cooperation during a meeting with stakeholders (e.g.: it is possible to print an A0 poster and use post-it for filling in the tables with the local stakeholders during the local cluster activities).
- **Multi-Stakeholder:** It is possible to have different point of view and include into the same table different statements. The approach is flexible enough to consider all the contributions. It is the role of the moderator (usually the project partner) to harmonise the contents of the CAP.

Report developed by the Institute for Transport and Logistics - IITL

Figure 4 - Several CANVAS Action Plans (CAPs) facing different bottlenecks

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As mentioned before, it is possible to have several action plans in order to overcome the bottlenecks identified in the Local Context Analysis in each region. This is important as one single action plan which consider all the bottlenecks in all the categories, would probably be not enough. It is more concrete the option to have a single action plan, specific for the single and specific bottleneck. It is up to the project partner to consider which bottlenecks need an action plan.

3. The CANVAS Action Plan (CAP)

This chapter will try to explain what to include in each of the boxes of the CAP. There are seven boxes, each of them is related to a specific issue related to the common bottleneck (see also Figure 5):

1. Stakeholders involved
2. Key actions
3. Aims
4. Problem Faced
5. Timescale implementation
6. Risk analysis
7. Funding resources

Stakeholders involved	Key Actions	Aims	Problems faced	Timescale implementation
Which are the main stakeholders identified and engaged you consider important to reach your objective 1	Main steps to solve the problem and to reach your objectives 2	The value proposition of your action. In this section you may list the main objectives and why you are considering this action so important 3	List here the main problems you encountered during the definition of this action plan 4	Steps and actions linked to a timeframe Important to estimate when the action will be implemented. 5
Funding sources Source of funding: EU grants /subsidies National and regional government subsidies Revenue funding from public sector activities Private sector operators, developers, industry Other sources such bank loans & private investment 7		Risk analysis Understanding why actions fail to deliver? Doesn't achieve required outcome Resource & delivery issues Changing partner /stakeholder perspectives Technology shift Identifying suitable mitigation measures to address this Risk management processes built into action plan 6		

Figure 5 - CAP boxes

This numbering is not related to the steps. There may be some boxes to be defined earlier (for example Aims should be defined as first).

SUGGESTION: fill in all the boxes with titles and then generate also a document with more detailed information. this is very helpful in case the text is not visible in this format. In this way it is possible to make a synthesis in the boxes and an extensive report in a document.

3.1.Introduction

Even if not included as a box, it is recommended to start with an introduction to the action plan, which simply include the explanation of the contents of the action. Several information should be included as a summary in order to give an overview of the CAP.

3.2. Stakeholders involved

Which are the main stakeholders identified and engaged you consider important to reach your objective

Not all stakeholders can answer to all the issues. For this reason it is important to identify the relevant stakeholders here in order to answer to the main aims of this action plan. In this box it could be relevant to include the Organization and the contact. Linked to the Aims.

Specify if the stakeholder is a Public Authority or it is coming from the private sector. Skills and knowledge should be coherent with the CAP aims.

In case of multiple partners, it is necessary also to clarify inputs requested and dependencies.

3.3. Key actions

Main steps to solve the problem and to reach your objectives

How to implement this action plan, it is a box in which the steps are listed in a sequence which starts from the beginning and finish with the overcoming of the bottleneck identified and specific for the relevant category.

3.4. Aims

The value proposition of your action. In this section you may list the main objectives and why you are considering this action so important

Usually it should be coherent with the bottleneck identified for the relevant category. It should be identified immediately in order to have an objective to follow.

3.5. In order to explain better the objective to the Introduction

Even if not included as a box, it is recommended to start with an introduction to the action plan, which simply include the explanation of the contents of the action. Several information should be included as a summary in order to give an overview of the CAP.

Stakeholders involved, it may be needed to have a deep document which contains an extract of the local context analysis, including the bottleneck identified. This document should be sent in advance to the stakeholders in order to have clear what is the objective of the meeting and which contribution is expected.

This is the specific objectives of the action. Its relation with the “framework objective” of the project should be outlined. Objectives can be both qualitative and quantitative. Attention should be paid to include, if possible, among the objectives, some quantitative issue which could be verified.

Objectives are closely related to the expected impacts, which exploit the detail of what are the specific effects of the action. For this reason a good statement on expected results is very important in order to ease the monitoring of the actions. If some objective can be quantified, it's very important to specify numeric values for them.

3.6. Problems Faced during the implementation of the CAP

List here the main problems you encountered during the definition of this action plan

The existence of some specific precondition needed for the implementation of the action should be pointed out to evaluate feasibility. Moreover, drivers which could help the implementation process and the barriers which could threaten should be analyzed. For the latter, measures to overcome these barriers should be identified. Linked to the Local Context Analysis.

3.7. Timescale implementation

Steps and actions linked to a timeframe. Important to estimate when the action will be implemented.

This box is very clear. It is needed to put into a timeframe all the Key actions already identified. This is different from the box "Key actions" as it is related to the approximation of start and end date of the action. It will be very important not only for the coordination of the implementation, but also for the monitoring process during an eventual implementation (see chapter 4 sotto).

Be realistic considering that there are some phases which are time consuming. In particular the development phase, which include the feasibility and the implementation.

It is possible also to mention when a specific stakeholder or category of stakeholder will be involved.

So there are several dependencies with other boxes as this will try to transform actions and activities in a timeplan.

SUGGESTION: consider to define a detailed time plan in excel as annex to this action plan. In the box insert only some statements and the reference to short/medium/long term

The implementation process should include tasks to be carried out for the implementation of the action itself, but also all the "accompanying activities", necessary to facilitate the implementation of the CAP.

3.8. Risk analysis

Understanding why actions fail to deliver? Doesn't achieve required outcome. Resource & delivery issues. Changing partner / stakeholder perspectives. Technology shift. Identifying suitable mitigation measures to address this. Risk management processes built into action plan

In this box it is requested to list all the possible negative issues which may affect the action plan implementation. It is not only related to risks, but also to disruptive trends like as new technologies which may change the perception or the way to manage entire supply chains.

3.9. Funding resources

Source of funding: EU grants / subsidies; National and regional government subsidies; Revenue funding from public sector activities; Private sector operators, developers, industry; Other sources such bank loans & private investment

To make the CAP concrete, it should be linked to a specific available budget. There are several sources from which it is possible to apply, some of them are:

- European grants or Subsidies (e.g.: Connecting Europe Facility, European Projects, etc.);
- National and Regional Government Subsidies, e.g.: Regional Operative Programme Funds;
- Revenue funding from public sector activities;
- Private sector operators, developers, industry;
- Other sources such bank loans & private investment;

It could be useful also to add an estimation of the needed budget.

Financial resources should keep into consideration the Professional skills, instrumental resources, infrastructures, and other kind on required resources should be included in the analysis as well. Their availability or potential acquisition should be considered.

4. Implementation

4.1. The importance of KPIs

In order to monitor and evaluate the Action Plan, it is necessary to have some Key Performance indicators (KPI). During the implementation phase it is the only way to evaluate the action plan and to find countermeasures if things are not going as planned.

It is strongly suggested to define few and easy-to-find (and to calculate) self-assessment indicators which starts from the definition of the baseline. This task is not included in the boxes, but it is very important in case of implementation.

Each CAP should also define a responsible for monitoring the activities according to the KPI defined at the beginning of the activities, and which takes into consideration the baseline (time 0). Considering this issue, the responsible of the monitoring is also responsible for the data collection of all the information useful to define the KPIs.

Before to start the implementation, it is also requested to define the frequency of the reviews to be carried out.

4.2. Evaluation & monitoring

Well, if you are at this stage it means you successfully completed all the steps of the action plan. Or you may be convinced of this... Evaluation is a fundamental step in order to validate the completeness of the activities carried out. It is linked to the KPI and will go on in parallel with the implementation in order to evaluate the impacts of the action. For this reason, don't wait the end of the implementation to start the evaluation of the impacts, but think

also to the post action in order to include already in the implementation process, all the elements which will facilitate the evaluation and monitoring process.

5. Conclusions

5.1. What is expected from Partners

Each partner is expected to follow this methodology in order to define its own Action Plan. It is possible to use the CAP during local stakeholder cluster meetings by printing the CAP and using post it of different colors (e.g.: each stakeholder category has a different color).

In this case, Partners must be considered as moderator of the local stakeholder cluster meetings.

At the end of the day, it is possible to fill in one or more action plans in the format of the CANVAS Action Plan. But partners are also requested to include an introduction and an explanation of the contents of each box.

Report must include:

- 1) One or more CANVAS Action plan - CAP, related to the respective bottleneck identified in the Local Context Analysis
- 2) For each CAP
 - a) An introduction and a link to the respective category and bottleneck
 - b) Detailed explanation of each box
 - c) Draft Key Performance Indicators useful for the monitoring and evaluation of the activities
- 3) Conclusions from the partner which include
 - a) Estimation of a possible and realistic timeframe of the CAPs in terms of short/medium/long
 - b) Cooperation evaluation with the local stakeholders and added value of the co-creation of the CAP

5.2. Relation with other activities

Results from this activity will feed the activity A2.3 “Strategic Action Plan for the ADRION Region”, which will consolidate all the contributions coming from the Local Action Plans and from the activities related to the Transnational cooperation network (TCN).

Moreover, this activity will contribute also to the exchange of experiences between ISTEN partners, as it will promote the exchange of information for improving virtual/physical integration and cohesion in the ADRION area.