



# OPERATIONAL MODEL FOR LOW CARBON TRANSPORT PLANS FOR CRUISE DESTINATION CITIES

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## 1. Introduction

### 1.1 Objective

WP3's first technical output is the outline of a tailored operational model to be used in the capacity building process to support cruise destination cities in developing their Low Carbon Transport Plans. From this standpoint, a sound design of the operational model is crucial to grant the efficient planning of the LCTP and later the implementation of its measures. The main goal of the deliverable is, therefore, to serve as a guide and reference to the partners in the process of developing the LCTPs in their territories.

### 1.2 Deliverable description

The operational model is a description of the methodology, techniques, tools and approaches to develop and assess an LCTP, entailing a detailed description of the subsequent stages and a protocol for participatory processes.

The deliverable contents are built on know-how, feedback and expertise provided by partners and associated partners throughout the seven territories participating in the project. To that end, a series of workshops, local research and validation process through territorial consultations have been foreseen.

The deliverable has been structured so as to present a logical flow which starts by describing the most relevant aspects and matters to consider when developing an LCTP, continues with the sequence of steps to follow in the methodology, and ends with a series of tools, techniques and references which can be of use along the process.

## 2. How to develop and assess an LCTP

### 2.1 Approach, main principles and areas of work

The biggest challenge linked to the development of a sound LCTP comes from the fact that it involves many different elements, stakeholders and activities, thus having a significant impact in the city in various ways and degrees. The LCTP must be designed in such a way it integrates in a synergic manner all relevant cruise-related flows, needs and conditions of the city, so as to serve as a tool for sustainable development and citizens' wellbeing.

Understanding which the main topics to address are, and the best approach to do so, is of paramount importance, since it will define and influence the whole process.

#### 2.1.1 Main areas of work

When referring to areas of work, we are considering more or less wide topics which could be treated separately and imply specific conditions. Without discounting the existence of other topics in particular cases, the most relevant areas of work to consider are the following:



Every one of these main topics involves specific elements, limits, needs, etc., which must be considered and assessed before drafting the LCTP. The transport infrastructures, the economic activity, the energy use behaviour, the sensitiveness of citizens towards sustainability, the business model of cruise and tourism operators, or the existence of previous related plans such as SUMPs or SEAPs, are, among many others, some of these elements.

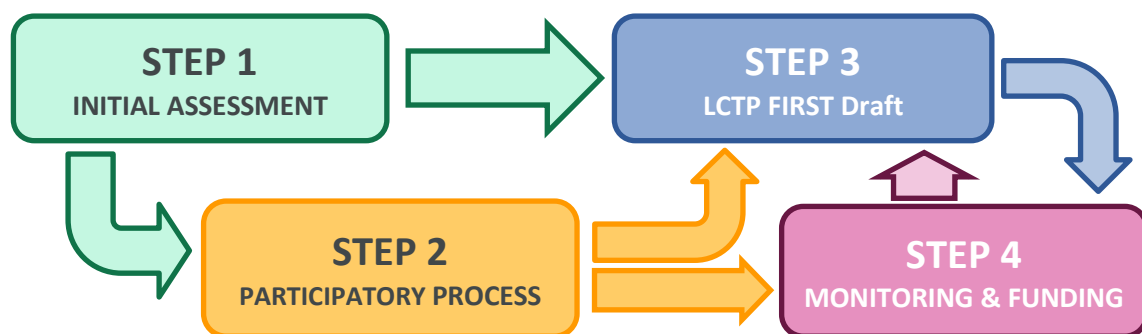
### 2.1.2 Principles to guide action

The large and heterogeneous number of elements to consider, together with the strong implications which the LCTP may have on the city and its inhabitants, could lead to conflicting visions and decisions, linked to different short term goals and interests. In order to avoid unsolvable discrepancies, and to establish a criterion to balance the different options which may come through, the following main principles shall be applied and used as guidance to assess the preferred option in any case:

1. **Sustainability:** The ultimate goal of the LCTP and other related plans such as SUMPs, SEAPs, etc., is the promotion and adoption of sustainability as a model for development in Europe. Therefore, it is a key principle which may prevail when conflicting options arise.
2. **Holistic approach:** The mere fact that many elements and stakeholders are affected by the LCTP, requires a holistic approach looking to integrate all visions and expectations, so as to design a useful, resilient and comprehensive plan.
3. **Participatory focus:** No ambitious and relevant project for the city may be successful if it is not fully accepted, interiorized and fostered by most of its stakeholders. A participatory focus is therefore required from the very beginning, so as to involve all relevant stakeholders and make them 'owners' of the outcomes.
4. **Long term vision:** The LCTP is meant to be a tool which will guide and facilitate the city sustainable development in years to come. A long term vision, foreseeing different scenarios and making room for further developments is essential to achieve a truly useful LCTP. In this sense, looking for political commitment, as inclusive and extensive as possible, is a parallel activity which should be considered and wisely conducted along the whole process. Proposing the establishment of a local mobility roundtable which includes representatives of the main political parties, has proved to be a very useful and efficient initiative.

### 2.1.3 Workflow structure

The general Operational model described as guidance for the whole partnership, shifts into an Operational Plan when actually referring to a specific territory and conditions. The basic structure of the Operational Plan responds to a logical sequence as shown in the following scheme:



## 3. Methodology

### 3.1 Step 0: Work plan and team

Before actually starting with the definition of the Operational Plan's activities, it is highly recommended to set up a team of people responsible for the project, and schedule one or more meetings so as to define the work plan, milestones, people involved and duties, deadlines, etc.

This preliminary step may result of great help in avoiding misunderstandings, overlapping and frustration, while it also helps to establish common ground about the project rationale, goals and available resources.

### 3.2 Step 1: Initial assessment

#### 3.2.1 Context analysis

A thoughtful assessment of the context in which the LCTP will act is totally essential since it will determine the baseline as well as the relevance of the measures and objectives proposed. A list with different topics and elements which will help to characterize the context of the studied cruise city is shown:

<b>1</b>	<b>EU, national, regional and local framework of reference.</b>
<b>2</b>	<b>Current cruise-related flows features, trends, etc., in the city/port.</b>
<b>3</b>	<b>Mid to long term development trends estimation and weight.</b>
<b>4</b>	<b>Catalogue of current policies/ public &amp; private related initiatives.</b>
<b>5</b>	<b>Weighted list of negative impacts linked to the cruise-related flows.</b>
<b>6</b>	<b>Existing network, services and infrastructures in the city/ port.</b>

Once the collection of data and information is considered as sufficiently representative of the context, a comprehensive image can be obtained through a SWOT matrix, which may be followed by a CAME<sup>1</sup> analysis in further steps.

	<b>THREATS</b>	<b>OPPORTUNITIES</b>
<b>WEAKNESSES</b>	<b>Adaptive strategy</b>	<b>Corrective strategy</b>
<b>STRENGTHS</b>	<b>Maintaining strategy</b>	<b>Exploring strategy</b>

#### 3.2.2 Stakeholders' involvement:

In the frame of the set of information which needs to be collected throughout the initial assessment phase, the identification and analysis of stakeholders plays a very relevant role. Besides being essential to grant a

<sup>1</sup> CAME refers to the matrix for SWOT possible strategies (Correct, Adapt, Maintain and Explore).



successful participatory process, the action of identifying the stakeholders may be very useful to access unknown sources of data.

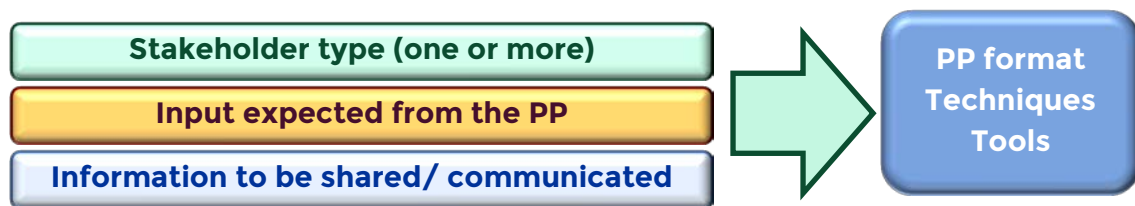
<b>1</b>	<b>Stakeholders' identification by individuals, groups and entities.</b>
<b>2</b>	<b>Identification of stakeholders' expectations and relevance.</b>
<b>3</b>	<b>Information and data sources linked to stakeholders.</b>
<b>4</b>	<b>Stakeholders' relevance matrix (power vs. interest).</b>

When both, the collection of data and stakeholders identification are complete, the initial assessment phase is over, and the participatory phase may begin.

### 3.3 Step 2: Participatory process

#### 3.3.1 Participatory process design

A correct identification of the stakeholders and their expectations is as important as a correct design of the participatory process (PP). A number of different techniques, tools and formats can be used for the purpose. However, the appropriateness of the format and techniques adopted will be determined by the type of stakeholder, the input we need from it, and the information we want to share.



#### 3.3.2 Participatory Process development

As in any other activity involving interaction with people, especially if many, the participatory processes are subject to some degree of uncertainty regarding the way they will work and their expected level of success. Counting on a good design, as described previously, is a good start since it brings in a template with the structure to follow, the main points to tackle and the expected outcomes.

**EXPERTISE:** Conducting a participatory process is a demanding task which should be assumed, if possible, by someone with experience and good resources. Any participatory event will be a source of information and a way to communicate to others, but it is also a time to show how efficient and prepared the team is, thus, the value and seriousness of the LCTP itself. Moreover, the comparative analysis of issues from different point of views leads to a deeper understanding resulting in solutions each individual participant would have not identified independently. Any participatory process must be seen as professional, relevant and innovative.

**FEEDBACK:** The last but not least important action of a participatory process is giving timely feedback to the stakeholders who have participated. The involvement and level of interest that the stakeholders will have during the LCTP development phase will depend on how informed they are, and how respected and valued by the team they feel. A close and fruitful relationship between the team and the stakeholders

requires appropriate and quick feedback about the outcomes of the participatory processes, as well as about the progress in project implementation.

### 3.4 Step 3: Draft of the operational model

The information and participation phases required as constituents for the LCTP have already been completed, so the drafting step which will bring about the Operational model gets started. A sequence of steps should be followed, so as to produce a logical, solid and valuable Plan:

#### 3.4.1 Definition of current scenario

This first step is a summary of the information collected through the previous phases, so as to present the present context, including the main issues, opportunities and resources. The key factor is to present a clear, schematic and synthetic image as a baseline scenario, since it must permit the use of indicators to assess the evolution of the scenario variables through time.

#### 3.4.2 Definition of vision and objectives

Now it is time to define the main goals of the LCTP, after the vision of city that the team and stakeholders share. This main vision derives from the previous work, as well as from the four guiding principles described in point 2.1.2. It is essential that both, vision and main objectives are shared and participated by all, or most of all, in order to reach good expectations of duration and success for the LCTP. Therefore, all relevant stakeholders should be part of this step, and the outcomes should be simple, clear and easily understandable.

#### 3.4.3 Definition of actions and indicators (modular)

As with most project development processes, after the vision and main goals, the more specific goals shall be determined, together with the corresponding measures and actions, the time span, the expected results and the indicators/source of data stated to their assessment.

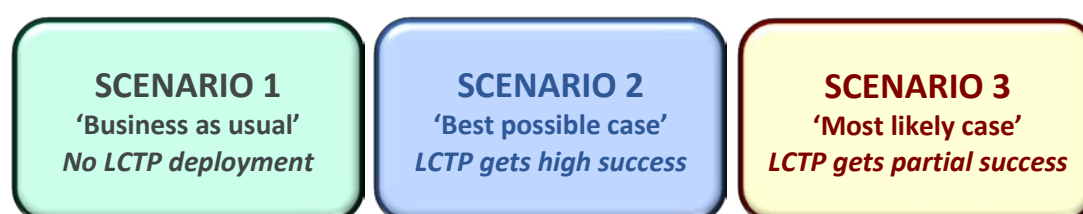


This process can be adapted to the specific circumstances and needs of the context, but it is advisable to keep it as close to a matrix as possible, so as to ease the further procedure to measure and assess.

It is also convenient to define actions and measures from a modular approach, meaning to say with the possibility of being independent from one another. The different measures will most likely be strongly related, but if the way in which they are designed permits their deployment separately, the risk of blocking the whole LCTP after a failed measure decreases substantially.

### 3.4.4 Development of future scenarios

The complexity of the context together with the many factors intervening, imply the likely possibility of deviations and relevant changes in the context. It is therefore advisable to foresee different future scenarios, so as to assess the outcomes of the LCTP in every case, and favor the chances to adapt it or adjust it to new conditions arising. At least three potential scenarios should be drafted for a medium/ long term future (5 to 10 years' time):

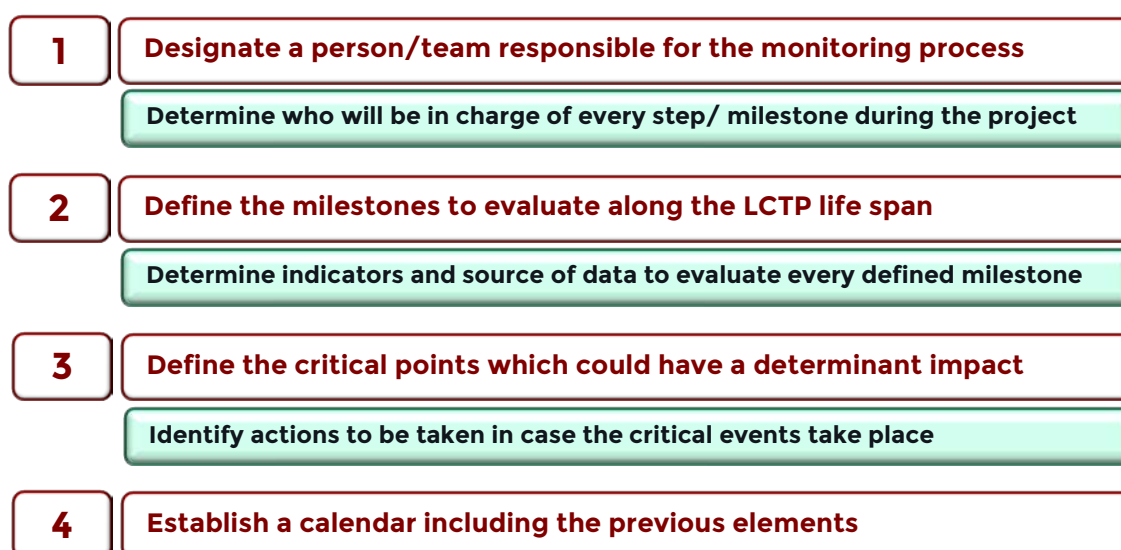


## 3.5 Step 4: Monitoring, assessment and sources for funding

The design of the LCTP is not really finished until the strategy and planning for monitoring and funding is defined and settled. In this sense, step 4 is related to step 3 in a double way, since it requires the LCTP to be already drafted, but it also feeds it back, leading to eventual changes.

### 3.5.1 Definition of the process for monitoring

The potential success of the LCTP largely depends on keeping constant track of its development and evolution, so as to assess if adjustments or new actions have to be adopted. Defining an effective monitoring process implies the establishment of the following elements:





Finally, the monitoring process, together with its calendar and milestones, should be agreed and shared by all relevant stakeholders, who, in return, should be informed in due time about the monitoring results along the project.

### 3.5.2 Assessment and evaluation of LCTP development

Once the process for monitoring has been designed and agreed, the actual action of collecting and evaluating the indicators results and feedback, will permit to assess the current situation at all stages of implementation.

It is advisable to define a heterogeneous group of experts to periodically evaluate the state of art of the LCTP, and deliver their recommendations. In this respect, the efficacy of the evaluation process will be higher it responds to a previously established calendar for reports, as well as to extraordinary circumstances led by unexpected events.

### 3.5.3 Funding

In many cases, the major obstacle faced by projects such as SUMP or SEAPs, is linked to insufficient access to funds and lack of resources to accomplish the agreed measures. As with the monitoring process, the funding shall be planned and tracked through a predefined strategy which has been developed by all relevant stakeholders, with the most holistic approach, looking for synergies and opportunities wherever they may be.

The main elements to consider within the funding plan are:

- 1 **Identification of potential sources for funding.**
- 2 **Determine the actions to be taken to secure funding.**
- 3 **Design the person/entity in charged for the actions agreed.**

## 4. Tools and Techniques

There is a large number of tools and techniques which could be used to facilitate and optimize the outcomes of the Operational plan activities process. Many of them are already accessible through internet, since they were designed and publicly offered by European Union institutions and funded projects.

The following list refers some examples of useful references classified after the area in which they relate to the LCTP Operational plan:



### URBAN MOBILITY

- [Guide for the Urban Transport Professional – CIVITAS](#)
- [European platform on mobility management – European Commission](#)
- [Study to support an impact assessment of the urban mobility package – ECORYS](#)

**CLIMATE CHANGE/ ENERGY EFFICIENCY**

- [Planning for Adaptation to Climate Change - European Commission](#)
- [Guide To Community Energy Strategic Planning – US Dpt. Energy](#)

**STAKEHOLDERS' INVOLVEMENT**

- [Involving Stakeholders: Toolkit on Organising Successful Consultations - CIVITAS](#)
- [Green Solar Cities: Stakeholders Analysis – OTB & European Commission](#)

**PARTICIPATORY TECHNIQUES**

- [e-Participation Best Practice Manual - European Commission](#)
- [Co-deciding with Citizens: Towards Digital Democracy at EU Level – ECAS](#)

**PROJECT DEVELOPMENT**

- [World Bank Logframe Handbook – African Development Bank](#)
- [Introduction to the Logical Framework Approach – Global Environmental Facility](#)