



EcoMobility SHIFT - Assessment and Audit Scheme

# **Manual for Auditors and Advisors**

## Contact

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# Introduction

This manual describes the complete EcoMobility SHIFT assessment and audit procedure from A to Z and refers to a number of documents in the appendices for further guidance. In the manual, you will find all the information a city needs to successfully assess its EcoMobility performance and to have the assessment verified by a SHIFT auditor.

## Who should read this document?

First of all, the EcoMobility SHIFT project leaders in the cities. These are the people who are going to lead the SHIFT assessment process in their city and who will follow up the possible subsequent audit process. They need to know the whole SHIFT-procedure before the start and should follow it in the way explained in this manual. He or she will explain it to other stakeholders in the city involved in the self-assessment and audit process and will share some of the documents in the appendices with them at appropriate times.

The second target group of this manual are the EcoMobility SHIFT auditors and advisors. These people are external experts contracted by the city either to assist the city as an advisor during the self-assessment process or to verify the city's self-assessment report as SHIFT auditor. This document explains in detail their role as advisor and as auditor in the EcoMobility SHIFT assessment and audit scheme.

And, last but not least, a third target group of this manual can be any person from any organisation who wants to learn more about the SHIFT-procedure.

## The manual consist of three parts:

- Part I of this manual gives you a short introduction to the whole SHIFT scheme and its procedures;
- Part II focuses on the EcoMobility self assessment process. This part is mandatory reading for the SHIFT project leader of the city and for the SHIFT advisor who assists a city during the self-assessment phase;
- Part III focuses on the SHIFT-audit procedure. This is recommended reading for the city's SHIFT project leader and is mandatory reading for EcoMobility SHIFT advisors and auditors.

Throughout the manual, we will refer to a number of documents (explanatory documents, reporting templates, forms, etc.) in the appendices to help you in your work as SHIFT project leader, SHIFT advisor and/or SHIFT auditor. The appendices are as follows:

**Appendix 1:** EcoMobility indicator descriptions

**Appendix 2:** EcoMobility report template for the assessment

**Appendix 3:** EcoMobility audit report template

**Appendix 4:** Assessment workbook

**Appendix 5:** City profile factor descriptions



**Appendix 6:** EcoMobility audit request form

**Appendix 7:** Powerpoint presentation on the SHIFT scheme

For any information about SHIFT-auditor requirements, auditor trainings and SHIFT events, please refer to [www.ecomobility-shift.org](http://www.ecomobility-shift.org) for more details and any updates.

We hope you enjoy reading the manual and wish you good luck with adopting the SHIFT scheme in your city!





Part 1  
EcoMobility SHIFT  
Scheme in a nutshell

## What is EcoMobility?

EcoMobility refers to the ability of any individual to travel, access opportunities and reach destinations in an environmentally-friendly, safe and healthy way.

Ecomobile cities continually develop, improve and encourage the use of alternatives to the private car. They have an attractive and safe environment and a high quality of life, enabling users, both citizens and visitors, to meet their mobility needs without jeopardising sustainability at the local or wider levels.

Cities developing EcoMobility will:

- Reduce the need for the use of private car;
- Ensure that all travel facilities are accessible and affordable for everyone;
- Encourage and promote the use of walking, cycling, public transport and inter-modality;
- Provide travel choices (both motorised and non-motorised) to citizens;
- Support the use of environmentally-friendly and low-emission vehicles;
- Continually encourage and achieve reduction in the local need for transport; and
- Continually improve and develop performance in planning and delivering ecomobile travel.



EcoMobility is travel through safe and sustainable modes in an integrated fashion. The emphasis is placed on creating cities and transport systems that cater the needs of the people.  
Source: Breithaupt/GIZ Photo DVD, 2009

## What is EcoMobility SHIFT Scheme?

The EcoMobility SHIFT Assessment and Audit scheme or the SHIFT scheme is a total quality management scheme that allows cities to assess their current transport performance, establish a path of continuous improvement, and audit (verify) performance and award a Label for the achievement.

The SHIFT-scheme is made up of three stages: i. a process for assessing performance ii. an audit procedure for verifying performance and iii. a label for the achievement.

The *assessment process* allows cities to measure performance and identify specific strengths and weaknesses in the fields of passenger transport and mobility by assessing a set of indicators. A city can independently conduct an assessment or hire an external advisor for support.

The *audit procedure* allows cities to verify internal performance and receive external recognition through a *Label of EcoMobility*.

The process for cities is briefly illustrated in the figure below.

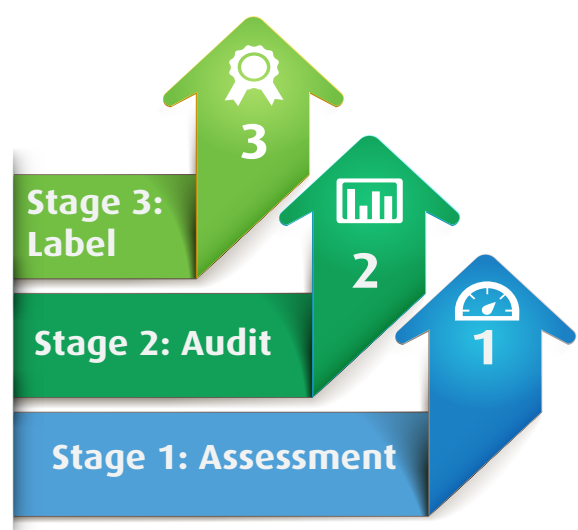


Figure 1: The whole SHIFT scheme can be summarised in the above 3 stages. The Assessment, the Audit and the EcoMobility Label

## The EcoMobility SHIFT Indicators

At the heart of the process are a set of 20 predefined indicators. These indicators allow cities to measure and assess EcoMobility performance at the local level, and to connect such measurements with specific

improvements.

The 20 indicators as described in the figure, are classified into three categories:

- Enablers,
- Transport systems and services, and
- Results and impacts.

Five assessment levels are provided for each indicator, for each level, a description of attributes that a city would have to be classified at that level is given.

SHIFT also provides an interactive Assessment workbook to score and visualise EcoMobility performance (see appendix 4).

In appendix 1 to this manual, each indicator is described in terms of quantitative and/or qualitative measurements.

Examples of best practice are provided along with suggestions for how to measure the indicator in the future.

The assessment that the cities undergo using these indicators is the first stage of the EcoMobility SHIFT Scheme.

The Audit and the EcoMobility Label are the second and third stages respectively.



Figure 2: EcoMobility SHIFT indicators used in the assessment and audit stages



## The SHIFT Assessment Process

The assessment process is about measuring and evaluating a city’s mobility policies and measures, and proposing ways to improve its EcoMobility.

The assessment process for cities is briefly illustrated in the five steps indicated below. Each of these steps is explained in more detail in part II of the manual. The stage I of the SHIFT scheme is dependent on the 20 indicators mentioned in the previous section. The Audit & Label procedure i.e. Stages II and III are optional.

Every city taking part in the process will perform an ‘EcoMobility assessment’. This assessment process is expected to be repeated on a regular basis (approx. every three years) to take account of changing circumstances in the city. Once the five steps are completed, and fully documented, the actual implementation of the improvement actions can begin (step 6 in the chart below). Though, implementation in itself is not a part of the SHIFT scheme, it is suggested that cities implement their plans before doing a re-assessment. .

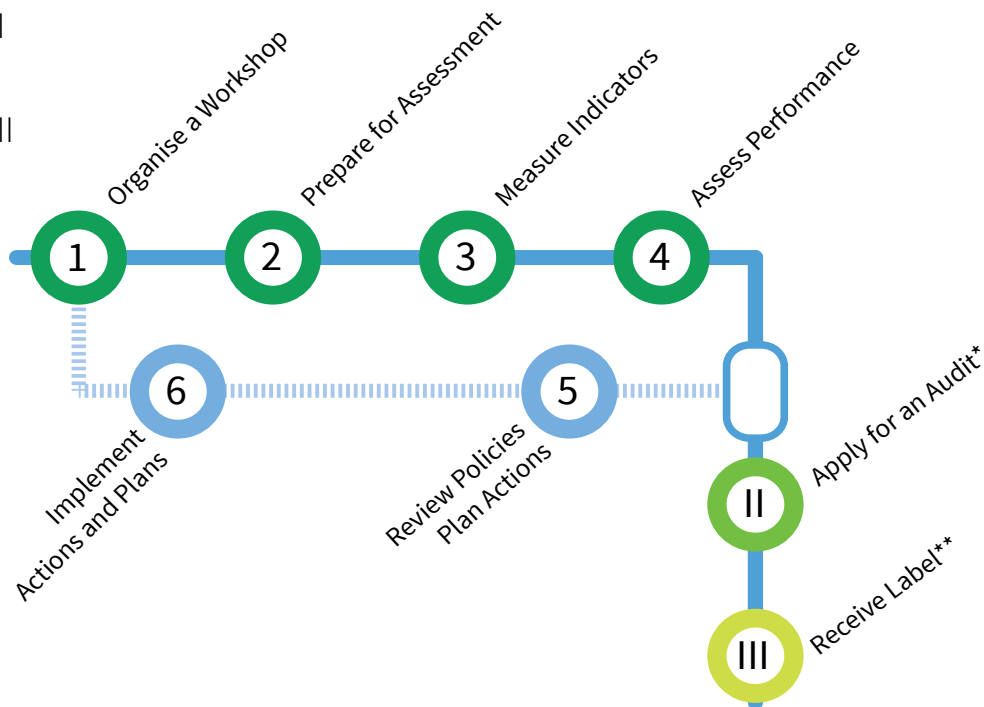
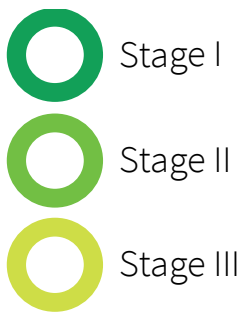


Figure 3: The complete EcoMobility SHIFT process diagram. The Assessment Stage, the Audit Stage (II) and the Label Stage (III)

## SHIFT Audit Procedure

Depending on the EcoMobility status and ambitions, and following the assessment process, a city can go on to perform an external audit by a licensed auditor (marked in the yellow box after step 4 in the chart above). This audit can take place after one or several assessments, and is likely to take place when the city’s performance has improved to a point that benchmarking and public recognition with an EcoMobility label is worthwhile.

Only a licensed auditor can perform the audit to verify the city’s performance against the indicator

framework.

During the audit phase, the scores obtained from the indicators are adjusted by taking a number of city profile factors into account. This is done to ensure that cities will be assessed on a relatively level playing field. This means, for example, that cities with natural structural barriers to EcoMobility are not unfairly penalised, and those with fewer barriers will not be unfairly advantaged.

Depending on the score obtained from the indicators, a city can be awarded a Gold, Silver or Bronze Label for EcoMobility.



## Benefits for a city using the SHIFT Scheme

The SHIFT-scheme provides local authorities with an effective tool to measure, assess and improve urban mobility. SHIFT has been designed mainly to help improve EcoMobility in small and medium-sized cities with approximately 50,000 - 500,000 inhabitants, irrespective of the current transport performance.

The assessment stage of SHIFT enables local authorities to understand how best to develop an effective path towards EcoMobility. The benefits for a city undergoing SHIFT are:

- Become more efficient and more effective with improved priorities;
- Identify areas for further improvement and thus strengthen the transport plans;
- Analyse and score the performance and the situation in the city;
- Get a feedback for the efforts put in by the city leaders in improving the transport in the city;
- Become a source of inspiration for other cities.

Taking part in an external audit of EcoMobility will further help the city to:

- Demonstrate to its citizens that the city cares for their mobility needs;
- Demonstrate to other cities in the region that the audited city is engaged with its citizens and the environment;
- Give recognition to city leaders of the work done to improve quality for citizens;
- Develop resource allocation and provide access to funding (both internally and externally);
- Access and contribute to knowledge and good practice examples; and
- Join a community of internationally-recognised cities through the EcoMobility Label.

Cities are welcome to engage with SHIFT in the way that suits them best, for example: for internal measurement and quality management, for comparison or to receive a Label of EcoMobility.

The scheme is constructed in a way that a city can decide to use it either mainly internally or to call in external tailored advice.

## Terms of use of the SHIFT Scheme for a the city

A city interested in embarking on EcoMobility SHIFT is requested to establish contact with the EcoMobility SHIFT secretariat, currently, hosted by ICLEI Local Governments for Sustainability (World Secretariat). The city is then registered as a user. Subsequently, the city can download the manual and carry out the self-assessment. The city can approach the EcoMobility SHIFT auditors to perform an advisory role during the assessment stage.

An audit request can be submitted to this secretariat to start the audit procedure.

The Secretariat will moderate the EcoMobility SHIFT network and website, organises the training of auditors and ensures a high standard in all aspects of the scheme.

Cities with a certified measurement of their EcoMobility status (after audit) become part of the EcoMobility SHIFT network of cities and auditors.



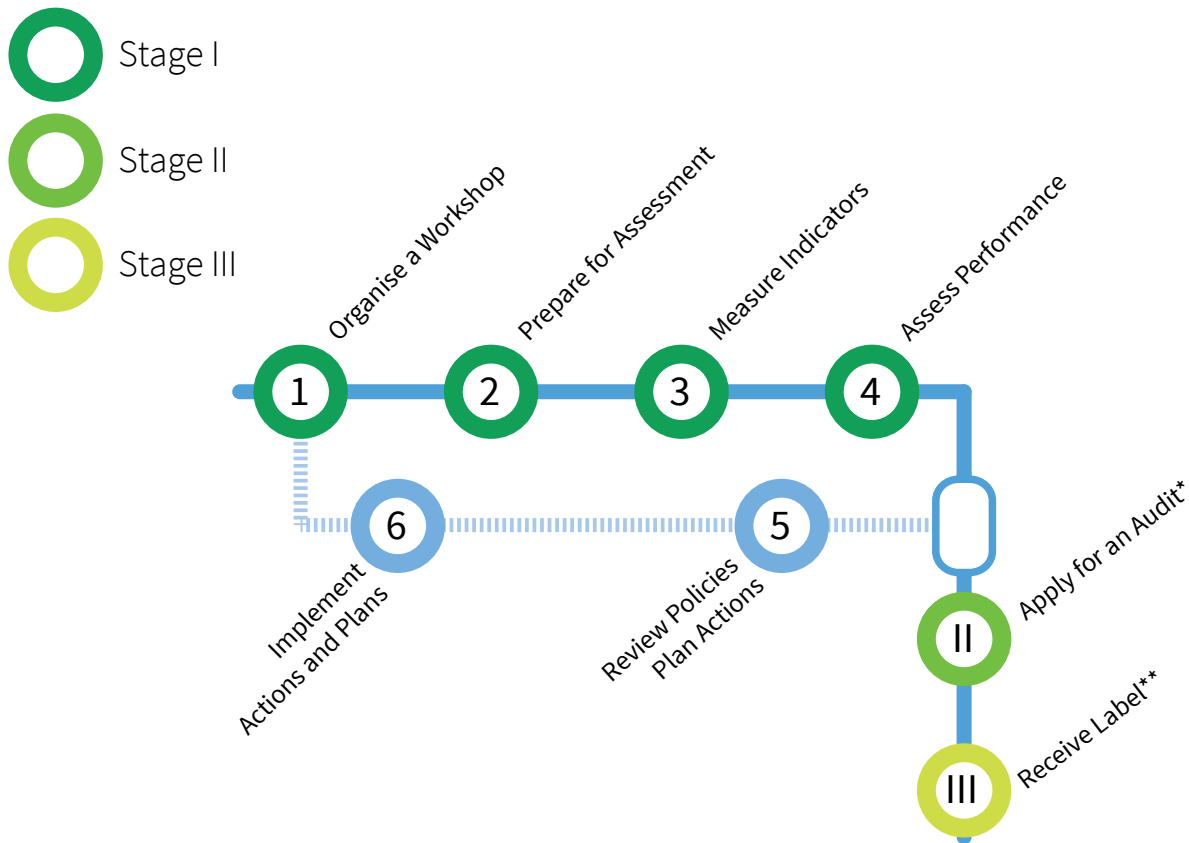
# Part 2

## A Step-by-Step Guide for the Assessment

This step-by-step guide describes in detail the SHIFT self-assessment process. Following the procedures explained in here should allow a city to carry out the self-assessment of its EcoMobility performance on its own. We recommend therefore that the SHIFT-project leader of the city reads this guide and follows all instructions carefully as these provide the basis for the subsequent successful SHIFT audit.

A city can also decide to call in external expertise from a SHIFT advisor who has followed the SHIFT auditor course and is more experienced in working with the scheme. The SHIFT advisor can assist the city in the EcoMobility assessment process in different ways. He/she can assist the city with the whole assessment, with any specific parts of it, make a quality check at the end of the process or assist the city with the registration for an audit. The city will develop a contract with the SHIFT-advisor and decide what assistance they require.

## The SHIFT Process



*\*Cities that have completed an audit and are not satisfied with their audit score will need to proceed to step 5 and redo the assessment*

*\*\* Cities that have received the label can hold the label for 3 years, upon completion of which they will need to redo the whole SHIFT process to know the change in their label*

The image above describes the five central steps each city takes in assessing its EcoMobility performance.

The primary goal of an audit is to receive formal recognition of a city's current state of EcoMobility and to compare with other cities.

Once the five steps are completed and fully documented, the actual implementation of the improvement actions can begin. Implementation (step 6), in itself, is not a part of the EcoMobility SHIFT

Assessment and Audit scheme.

It is estimated that the EcoMobility assessment process (Steps 1-5) takes at least 3 months after the start of the procedure, and it should not exceed 6 months in order to avoid previous steps or evaluations becoming out-of-date. The duration of the process depends on the local/regional circumstances.

Each step is explained in more detail in the following sections.

## STEP 1: Organise a EcoMobility Working Group

### What is the purpose of an EcoMobility working group?

An internal working group is formed to compile evidence, to discuss the city's performance against the EcoMobility indicators and to agree the way forward in terms of content, timing and responsibilities.

### What does an EcoMobility working group look like?

As the EcoMobility assessment covers a wider scope than just the staff directly responsible for transport in the city, it is important that the group's composition reflects the departments within the city that are responsible for the functions covered by the 20 EcoMobility indicators.

For smaller cities, it is recommended that the working group should be comprised of three to seven people. For larger cities, there should not be more than ten to fifteen people in the working group.

The precise composition of the group is not prescribed – it should instead be decided by the city – but, some of the functions that may be represented include the people responsible for land use planning, for planning and delivering infrastructure and services across the various transport modes (e.g. those who plan the bike network, but also those who implement and maintain it), and also those private organisations that deliver services such as, in some cities, the public transport operator.

It is important that senior managers take part in working group activities in order to properly assess the indicators that measure 'Enablers' of EcoMobility. It is also important to include those responsible for transport finance, for collecting data on the city (e.g. traffic counts, socio-economic information) and for the mobility measures that the city delivers.

It is not necessary to bring politicians into the working group as the working group sessions might be too

technical and too time consuming. However it is recommended that the politicians are kept informed about the progress and output of the working group meetings in each step. It might also be useful to invite politicians to the strategy meeting (see step 5).

### Should external stakeholders be members of the working group?

It is beneficial to include external stakeholders, such as, user associations, in the working group activities. This could result in a more balanced and a more credible assessment of a city. Also involving key external mobility providers throughout the whole assessment process might help to build widely accepted improvement actions. Involving an external transport expert in the process can provide overall credibility to the resulting assessment of the EcoMobility performance.

The following questions can help you decide whether to include external stakeholders:

- Is the attendance of the external stakeholder useful for the assessment of the overall EcoMobility performance of the city or just for some indicators?
- Is the city familiar with self-assessment exercises and do city departments usually discuss mobility matters?
- Does the city intend to request an audit after the assessment? If yes, a working group with a sufficient number of appropriate members is very important.

### What are the roles and tasks of working group members?

The main working group activities consist of measuring and assessing the transport performance of the city, discussing strengths and weaknesses and defining ways for further improvement (see further steps).

At the set-up phase of the working group, three more specific roles are to be taken up, either by the same person or by more than one person. These are the

roles of SHIFT project leader, SHIFT contact person and a person in charge of overall data compilation.

The SHIFT project leader drives the process. Ideally, he or she is the internal quality coordinator or official with a more 'objective' view of the city's mobility policy. They have the following important tasks to carry out throughout the whole assessment process:

- Initiation of working group activities;
- Internal communication between the working group members;
- External communication with policy makers, external stakeholders and with external advisors (if appropriate);
- Coordination of activities of the working group members;
- Facilitation of working group meetings;
- Documentation of working group activities.

The SHIFT contact person acts as the main contact person between the city and the SHIFT organisation. Knowledge of English is required for this role.

Person in charge of data compilation: it might be useful to appoint one person within the EcoMobility working group who coordinates – in close cooperation with the SHIFT project leader – the collection and summary of all the indicator measurements in order to assess the city's EcoMobility performance. Ideally, this task should be taken up by a person with a good overall expert knowledge of the city's transport system such as an official of the transport department.

## Getting started

1. Seek support from a group of officials within the city's transport (or other EcoMobility related) departments and/or the senior management of the transport department itself.
2. Find out about the overall political interest for the assessment of the EcoMobility performance of the city. The short introduction to the SHIFT scheme (part I of the manual) and the powerpoint presentation found in Appendix 7 can be used for this purpose.
3. Appoint a SHIFT project leader in order to assemble a sufficient amount of people needed for the working group. These should be found among all city departments and other stakeholders who are key for the assessment.

## Notes

It might be useful to organise one or several contact meetings within the city in order to explain the EcoMobility assessment and audit scheme.

It is firstly worth having a look at existing working group structures within the city and consider expanding on these. An existing working group dealing with the monitoring of the city's SUMP or similar transport policy strategy paper might be the ideal EcoMobility working group.

The EcoMobility working group can be temporal, i.e. formed every three or five years exclusively for the assessment and audit procedure. It can also meet on a continuous basis, e.g. every six months, for evaluating and monitoring progress on actions.



Please document at least the following from step 1:

- The members of the working group
- Who takes on the different roles

As the work progresses, it is best to document the working group meetings. The EcoMobility report template provides headlines and further guidance.



## FINAL CHECK

When a city has finished this step:

- ☑ A SHIFT project leader, contact person and person in charge of data compilation are appointed;
- ☑ A SHIFT working group is installed and individual members have got a basic understanding of the whole EcoMobility assessment process and of their own role in this;
- ☑ There is a basic commitment of senior management and from the political level in the city.

## STEP 2: Prepare for Assessment

In step 2, the activities within the EcoMobility working group are established. Through one or several meetings, the working group members become familiar with the 20 EcoMobility indicators and the process of how to measure and assess these. For each indicator, the group discusses the current state of affairs or performance and agrees on a score.

### **Familiarise working group members with SHIFT scheme and EcoMobility indicators**

It is important to have a common understanding of the EcoMobility SHIFT assessment and audit scheme, and to share the details of the complete set of EcoMobility indicators with the working group members. It might be a good idea to use the powerpoint presentation of the EcoMobility SHIFT Assessment and Audit scheme covering the whole SHIFT-assessment procedure.

### **Discuss the option to carry out an audit after completion of the assessment**

It is also important to reach common understanding about the possible benefits for the city in adopting the SHIFT scheme. Consider which of the following is a key driver for the city:

- Mainly assessment of the current EcoMobility status, see how it can further improve and get inspiration from SHIFT? (Assessment);

- Mainly seek external recognition and compare with other cities? (Audit);
- Aspire to an EcoMobility label? (Audit and Label).

After having completed the assessment, the city can request an EcoMobility audit and subsequently, certification. In the case of outstanding performance, it can be rewarded a label. Please see the section “Prepare for and Request an Audit” after step 4 for further information.

### **Agree on a plan of action to compile all the data on the indicators**

An overview of the full set of 20 indicators will shed light on the requested information that needs to be compiled in order to assess the EcoMobility performance of the city.

Decisions are needed on the work involved to be able to discuss and score indicators. Who will prepare for which indicator, and would it require external advice and re-sources? The person in charge of the data manages this. And, finally, don't forget to agree on timing. We strongly recommend planning ahead for the next two meetings dealing with the indicator assessment. The first assessment meeting could be planned one month later and the second assessment meeting one to two weeks after this.

### **Agree on decision taking procedures**

Additionally, the working group members should agree on how differences will be resolved if there is disagreement when the indicators are evaluated. This could include such options as requiring full consensus via negotiation, calculating an average score, or coming to a majority decision. Whichever approach is used, ultimately one set of scores should result and the scores need to be properly justified.





Cities new to the EcoMobility SHIFT assessment and audit scheme can organise a one-day “Introduction to EcoMobility SHIFT” course through a licensed EcoMobility SHIFT auditor. The course aims to familiarise a newly-organised working group with the processes, assessment framework, goals and overall benefits of using the assessment and audit scheme to measure a city’s level of EcoMobility.

## Plan for external advice

If required, the working group can ask for external help. Advisors can be either consultants, private transport providers or user group representatives. In general, an advisor does not need to have gone through any training requiring the use of the SHIFT scheme. In some cases, it might be helpful to subcontract a licensed EcoMobility SHIFT auditor as advisor in the assessment process, especially if the city aspires to an audit.

Different types of advice might be needed:

- An advisor might be needed from the beginning to the end of one cycle of the assessment. The advisor could help the city in setting up the working group, moderating working group meetings, being in charge of the assessment, helping to gather information on the indicators and advising as to which level the city should score etc. If the city’s EcoMobility score is such that it wishes to carry out an audit, an advisor can also help the city with preparing the audit request to the SHIFT organisation
- Subgroups can be set up involving external advisors to prepare for the assessment of particular indicators. In this case, these subgroups have a specific task and the working group members involved in these subgroups report back to the EcoMobility working group. In one of the test pilots, for example, the local cyclist association and the association of people with reduced mobility were involved in a particular subgroup to assess their indicators of interest.

## What resources are required?

The choice of carrying out an assessment only or a combination of assessment and audit will have an impact on the overall cost for the city in terms of time, effort and money. A detailed plan of action for data compilation will give an overview of the cost of data compilation (time + money).

For the EcoMobility assessment (steps 1-5) the costs for the city are:

- The time spent by the EcoMobility working group members to prepare and attend the EcoMobility working group meetings and provide feedback on reports. In the test pilots, having 4 working group meetings was most common. A realistic indication of time needed from each individual working group member is 15 to 20 hours.
- The time spent by the SHIFT project leader, assisted by the person in charge of the data compilation, to coordinate, prepare and document all meetings and to compile all necessary data. A realistic estimate of their time for running the first round of SHIFT-self-assessment – based on the pilot testing – is between 100 and 130 hours. This depends mainly on the overall data availability in the city and the familiarity of the city administration of cooperating between different city services. The next rounds of self-(re)assessment could most probably be done in half this time.
  - The city can decide to take up these tasks internally or to subcontract an external advisor for all or part of these tasks. In the latter case, the cost replaces (part) of the time needed for the SHIFT-project leader.
  - The evaluation of the SHIFT-assessments in the pilot tests revealed that the input of the external SHIFT-advisor either in the role of project leader or as provider of input in the process for specific tasks was very useful. Most of the cities, however, thought

they would be able to run the next SHIFT-assessment round completely internally.

For an EcoMobility audit, the costs for the city are:

- The fee of the licensed EcoMobility auditor who will spend on average about 40 hours in order to verify the city's assessment report.
- On average 20 hours of time spent by the project leader and some of the EcoMobility working group members or other city contact people in order to prepare for and participate in the audit e.g. at site visits, at meetings with individual working group members, for extra data provision.

### **Which geographical area to choose for the Ecomobility assessment?**

In general, the object of the EcoMobility assessment might be the city's administrative area or a city region. If a city's main objective is to benchmark with other cities, however, we recommend restricting the assessment to the city's administrative area (although bear in mind that administrative areas may not necessarily coincide with the areas most relevant for urban transport considerations). If self-assessment is the city's main objective, it might choose to assess EcoMobility in the city region if that is considered more relevant although this might be difficult because of issues with data availability and the split of functions across administrative boundaries. From the pilot tests, the experience is that data availability was the main motivation for choosing the geographical area for the first round of assessment. However some noted that they would consider another geographical area in the future rounds.

The SHIFT scheme has been designed mainly for small to medium-sized cities. The current scheme draws on the experiences in six cities of 40,000 to 200,000 inhabitants. Smaller towns, larger city agglomerations and higher level bodies will certainly benefit from an assessment but are less likely to be able obtain a label, since several indicators are less applicable or not applicable at all.

In one of its first meetings, the working group should discuss and agree on which geographical area is the most suitable for the assessment of the EcoMobility performance. The final decision may influence the composition of the working group.



Please document at least the following from step 2:

- Agreed geographical area of assessment (including justification)
- The agreed plan of action to measure the indicators
- The areas on which advice is needed from external experts

The report template (Appendix 2) provides headlines and further guidance.

### **Final Check**

When a city is finished with this step:

- The working group is familiar with the SHIFT scheme;
- The city's ambitions with the EcoMobility assessment are clear;
- Working group members know what indicators they are responsible for (measurement);
- A realistic estimation of required resources (time and money) can be made. An appointment for the next meeting(s) is fixed;
- External advice (if appropriate) can be subcontracted.

## STEP 3: Measuring EcoMobility Indicators

After planning the structure of the assessment, delegating tasks to working group members and familiarising the group with the EcoMobility SHIFT Assessment process as a whole, it's time to collect and prepare the indicator evidence for assessment.

### Summary of indicators

The EcoMobility SHIFT assessment and audit scheme is based on 20 pre-defined indicators, which are grouped into three main categories: “enablers”, ‘transport systems and services’, and “result and impacts”.

**Enablers** refer to what a city or town does and how it does it. The 6 enabler indicators (E 1 to E 6) are given in the following table:

Enablers	
E.1	Understanding User Needs
E.2	Public Participation in Decision Making
E.3	Vision, Strategy and Leadership
E.4	Personnel and Resources
E.5	Finance for EcoMobility
E.6	Monitoring, Evaluation and Review

**Transport system and services** refer to what is actually delivered ‘on the ground’ i.e. the achievement of the transport department in partnership with others. Overall, 10 indicators (TSS 1- TSS 10) are used to measure the EcoMobility performance of a city’s transport system and services.

Transport System and Services	
TSS.1	Planning for New City Areas
TSS.2	Low Speed and Car Free Areas
TSS.3	Information Provision and Systems
TSS.4	Mobility Management Services
TSS.5	Parking Measures
TSS.6	Walking Conditions
TSS.7	Cycling Conditions

Transport System and Services	
TSS.8	Public Transport Coverage and Speed
TSS.9	Usability of Public Transport
TSS.10	Low Emission Vehicles (LEVs)

**Results and impacts** refer to the achievements of the transport system and services that have been put in place. Overall, 4 indicators (RI 1 – RI 4) measure the EcoMobility results and impacts.

Results and Impacts	
RI.1	Modal Split
RI.2	Safety
RI.3	Greenhouse Gases (GHG)
RI.4	Air Quality

### How to collect evidence on the indicators?

The actual process of evidence collection varies from indicator to indicator. Some indicators might already be clearly defined in a given city (such as RI.2: Safety conditions), whereas others will need to be investigated and assessed for the first time (such as E 3: Vision, strategy and leadership).

When beginning to consider the evidence necessary for any given indicator, it is recommended to refer to the Indicator Descriptions document (Appendix 1), which provides a summary of “Suggested evidence” for each indicator.

Suggested evidence should, when available, always be collected. Cities are generally expected to provide all available evidence to support an indicator; otherwise, the final score will not be an accurate measurement of current EcoMobility performance. Over-all, we differentiate three types of evidence: hard facts (F), policy/strategy documents (D) and expert judgement (J).

To facilitate transfer of documents to the external auditor, cities are encouraged to organise the

The degree to which the city investigates the current and future needs of all city users (citizens and visitors i.e. not just the people who live in the city, but also those who travel to it) and collects relevant baseline data on the EcoMobility status (environment, liveability, safety, etc.) of the city. Degree to which the city has knowledge of the needs of pedestrians, cyclists and public transport users and of those who currently do not travel in an ecomobile way (i.e. solo car drivers).

### Purpose

In order to make the city more ecomobile, the city administration needs to know how its people travel at the moment (see also Indicator RI.3 Modal split) and what their transport and related user needs are both now and, as far as reasonably possible, in the near and medium-term future. This indicator addresses that need.

### Terminology

It is important to distinguish between the following two terms:

**User needs** refers to what the users of the transport system require from it, for example:

- Where do they need to travel, and how often?
- What services and activities do they need to access?
- What level of quality do they expect in their journey and what goes to make up their perception of quality?
- In the future, how might these needs change?

**Systematic** means that information on user needs is gathered in a purposeful, regular and methodical way.

### Suggested Evidence

- Data collection methods: How? standard (e.g. surveys, focus groups), innovative (e.g. citizens panels, dialogue cafés, visiting user group sites like schools, community centres, shopping malls); Systematic?; How long?; Current & future needs collected?;
- Collection of user complaints & suggestions: Systematic? How is it done? (e.g. via online tool, call centre etc.); How is feedback used to improve services?

Figure 3: Suggested Evidence - Each indicator description will contain a section highlighting what kind of evidence can be produced to justify a score for the respective indicator.

evidence digitally rather than in print, and ensure easy access to details. We recommend the following:

- for quantitative indicators, provide a brief note next to the figure (Max. 1 page) on how calculations were done, what data sources were used and, if relevant, refer to the person or service who was in charge of measuring that particular indicator for more information.
- for more qualitative indicators, highlight the specific sections and pages in the planning and policy documents or reports where you find the evidence for the indicator you are looking for i.e. do not just refer to entire documents of over 100 pages.
- For indicators made up of more than one sub-criterion, look for evidence on each of these.
- In order to manage evidence collection, create an EcoMobility SHIFT folder on the city’s Intranet with the same sub-folders as the three indicator categories: Enablers, Transport System & Services, Results & Impacts. Consider using the prefix E1\_ to E6\_, TSS1\_ to TSS10\_ and RI1\_ to RI4\_ in file names of all evidence

		needs	citizens needs	need
<b>Data Collection</b>	Ad-hoc	From national data (not local)	<ul style="list-style-type: none"> <li>▪ Not systematic</li> <li>▪ Survey method only</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sy</li> <li>▪ Mi</li> <li>▪ Cu</li> <li>on</li> </ul>
<b>Length</b>	Never	Never	1 year or less	1 - 4
<b>Complaint and suggestion Collection</b>	Never	Never	No collection of complaints and suggestions	Colle and ! not c are u

### External influence on score

If any part of the public transport system is run by organisation be difficulty in gathering data on user needs. If this is the case,

### Grounds for reducing total maximum possible score

For this indicator there are no grounds for reducing the total m

### Measuring this indicator in the future

Survey a representative sample of travellers within the city (e.g. com/survey-sample-size.php) including people living in the city and travelling to it; ask questions found under terminology user

Also, consider what ecomobile modes might be available in fut

### Links to other indicators

This indicator is related to E2 (Public participation in decision n fundamentally different in that E1 is concerned with identifying more to how users needs are taken into account in the decisio

materials.



If your city is having difficulty in collecting certain types of information (especially when preparing for an audit), it might be useful to hire an expert advisor to help with evidence collection.

### How much evidence is needed?

In general, assessments have no minimum evidence requirements, although a summary of sufficient types of evidence (hard facts, policy/strategy documents and/or expert judgement) for each indicator can be found in the EcoMobility Report. It is important to note – especially for beginner cities – that understanding how to collect data is an important part in achieving EcoMobility.

However, if cities are interested in requesting an audit, it is crucial they meet the sufficient evidence type standards. See the section “Prepare For and Request an Audit” in this guide for more information.

When preparing for an audit, it is essential that the working group be aware of the minimum/sufficient

types of evidence required for each indicator. The person in charge of the data compilation will keep a close check on the minimum data requirements for each indicator.

### **How recent does the evidence need to be?**

You should use the latest available evidence, and this should be no more than 5 years old. In some cases, it may be appropriate to take a combined value over a few years (for example, funding for non-motorised transport might vary in amount from year to year, due to the budget focus). Ensure that your method is properly documented in the EcoMobility report.

### **How to prepare evidence for assessment in the working group?**

When the necessary data for assessment is collected and stored in an EcoMobility folder on the city administration's Intranet, the SHIFT project leader and the person in charge of data compilation take an overview of all available evidence and prepare a detailed agenda for the upcoming assessment meeting(s).

## **FINAL CHECK**

When a city is finished with this step:

- All working group members should have collected evidence on the indicators for which they are responsible and the quality of the evidence is checked by the person in charge of the data compilation;
- The SHIFT project leader and person in charge of data compilation should have received all evidence data and information and summarised/structured evidence in-to a presentable format (meeting agenda, with time-line);
- The working group should be ready for the assessment meeting(s);
- SHIFT project leader should be aware of the overall indicator evidence.

## **STEP 4: Assess EcoMobility Performance**

### **What does assessment of a city's EcoMobility performance entail?**

Assessment of a city's EcoMobility performance entails presenting a summary of the evidence indicator-by-indicator in the working group, discussing the evidence and agreeing on a score (Level 1-5), and identifying possible short- and long-term goals of improvement based on scoring.

There should only be one score from the working group for each indicator based on hard data or expert opinion. As mentioned in step 2, if differences of opinion arise, the working group members should agree beforehand how differences will be resolved. This could include such options as requiring full consensus via negotiation, calculating an average score or coming to a majority decision. Whichever approach is used, ultimately only one set of scores should result and the scores need to be properly justified.

### **How to score individual indicators on a level 1 to 5**

All indicators are to be assessed on a scale from level 1 to level 5. Level 5 indicates the highest level of EcoMobility and level 1 the lowest.

The assessment workbook also contains information about the maximum number of points for each indicator relative to the overall maximum points per category. All indicators do not have the same importance (measured by the maximum number of points that the indicator contributes to).

To further assist the assessment, the Indicator descriptions (Appendix 1) provide a lot of useful information.

In each indicator description (see screen shot below), you will find:

- The definition of the indicator
- The purpose of the indicator, i.e. the relevance of this indicator with regard to a city's overall EcoMobility performance



- Terminology, i.e. a further explanation of all terms used in the indicator definition
- Suggested evidence, i.e. the evidence a city should be able to provide in order to verify a particular score.
- The scoring, i.e. the weight of this indicator in the overall scoring of the city's EcoMobility performance. "Out of 10 points" in the example of E1 means that a score 5 (highest score) on this indicator counts for the full 10 points out of a total of 350 points for all indicators.
- The grounds for reducing the total maximum possible score (We come back to this in the section Prepare for and request an audit after step 4).
- Links to further information and best practice

## E1: Understanding User Needs

### Definition

The degree to which the city investigates the current and future needs of all city users (citizens and visitors i.e. not just the people who live in the city, but also those who travel to it) and collects relevant baseline data on the EcoMobility status (environment, liveability, safety, etc.) of the city. Degree to which the city has knowledge of the needs of pedestrians, cyclists and public transport users and of those who currently do not travel in an ecomobile way (i.e. solo car drivers).

### Purpose

In order to make the city more ecomobile, the city administration needs to know how its people travel at the moment (see also Indicator RI.3 Modal split) and what their transport and related user needs are both now and, as far as reasonably possible, in the near and medium-term future. This indicator addresses that need.

### Terminology

It is important to distinguish between the following two terms:

**User needs** refers to what the users of the transport system require from it, for example:

- Where do they need to travel, and how often?
- What services and activities do they need to access?
- What level of quality do they expect in their journey and what goes to make up their perception of quality?
- In the future, how might these needs change?

**Systematic** means that information on user needs is gathered in a purposeful, regular and methodical way.

### Suggested Evidence

- Data collection methods: How? standard (e.g. surveys, focus groups), innovative (e.g. citizens panels, dialogue cafés, visiting user group sites like schools, community centres, shopping malls); Systematic?; How long?; Current & future needs collected?;
- Collection of user complaints & suggestions: Systematic? How is it done? (e.g. via online tool, call centre etc.); How is feedback used to improve services?

### Scoring

Out of 10 possible points. A city might score relatively high on one, or some of the sub-criterion, but lower on others, and for the actual level to be determined, all scores for all sub-criterion need to be totalled together and then averaged.

Level	1	2	3	4	5
<b>Summary</b>	Limited; ad-hoc	Use of external data for user needs	Occasional, survey collection of citizens needs	Understanding of citizens current needs	Clear view of citizens current & future needs
<b>Data collection</b>	Ad-hoc	From national data (not local)	<ul style="list-style-type: none"> <li>■ Not systematic</li> <li>■ Survey method only</li> </ul>	<ul style="list-style-type: none"> <li>■ Systematic</li> <li>■ Methods: standard</li> <li>■ Current needs only</li> </ul>	<ul style="list-style-type: none"> <li>■ Systematic</li> <li>■ Methods: innovative</li> <li>■ Current &amp; future needs</li> </ul>
<b>Length</b>	Never	Never	1 year or less	1 - 4.9 years	5 years and over
<b>Complaint and suggestion collection</b>	Never	Never	No collection of complaints and suggestions	Collects complaints and suggestions but not clear how these are used	<ul style="list-style-type: none"> <li>■ Systematic</li> <li>■ For ALL mobility services</li> <li>■ Proven use to improve services</li> </ul>

### External influence on score

If any part of the public transport system is run by organisations other than the city, there might be difficulty in gathering data on user needs. If this is the case, note this in the relevant report(s).

### Grounds for reducing total maximum possible score

For this indicator there are no grounds for reducing the total maximum possible score.

### Measuring this indicator in the future

Survey a representative sample of travellers within the city (e.g. <http://www.measuringusability.com/survey-sample-size.php>) including people living in the city, but also those living elsewhere and travelling to it; ask questions found under terminology user needs.

Also, consider what ecomobile modes might be available in future for these users.

### Links to other indicators

This indicator is related to E2 (Public participation in decision making), although the two are fundamentally different in that E1 is concerned with identifying user needs, and E2 relates more to how users needs are taken into account in the decision making process (e.g. whether projects planned/measures that are introduced are based on user requirements, participation and consent).

### Further information

[http://www.mobilityplans.eu/docs/SUMP\\_guidelines\\_web0.pdf](http://www.mobilityplans.eu/docs/SUMP_guidelines_web0.pdf), Section 3.1 p 51

Figure 4: A snippet of the Indicator Description - E1: Understanding User Needs

## How to score indicators that consist of two or more subcriteria?

Most of the 20 EcoMobility indicators are further detailed into two or more different sub-criteria. These sub-criteria and their respective levels 1 to 5 are described in the tables in the indicator description file. We provide the example of the indicator “E2 – Public participation” in the table.

The first line in the table gives the scoring levels from 1 to 5. The second ‘Summary’ line describes the overall scoring on this indicator. This summary score is obtained through averaging the scores on all five individual sub-criteria expressed in the lines below. For indicator E2, there are 5 sub-criteria.

Level	1	2	3	4	5
Summary	No public participation	Information not participation	Very limited opportunity for public to contribute	Broad consultation on plans; feedback used	Broad consultation on all aspects of transport; feedback used
Citizen involvement in planning	None	Information only	Can give feedback on information	Can help to develop plans and give feedback	As left; also for projects
Use of feedback from citizens	None	None	None	Clear that input used to modify plans	As left; also for projects
Who is involved in participation	None	Public	Public	As left; attempts made to reach out to people	Very wide range of people – old, young, ethnic minority, business etc.
Involvement Methods	None	Basic information given on paper, email	Basic information given on paper, email	Wider range of media than paper and email	Innovative methods to reach difficult target groups
Frequency of Involvement	None	None	When plans are made	When plans are developed and made	Continuous through all stages of project development and implementation

Summary Score

5 Sub-criteria

So in our example, the city scores relatively high on “involvement methods’ (score 4) and excellent on “frequency of involvement” (score 5) but scores low on citizen involvement on citizen involvement in planning” (score 2), to moderate on “Use of feedback from citizens” and on “who is involved in participation” (both score 3). The summary score is 3 (the average is 3,4).



## **Identify possible Short and Long-Term Goals of Improvement based on individual indicator scorings**

While assessing each indicator within the working group, it is important for the SHIFT project leader to facilitate the discussion about strengths and weaknesses. Guiding questions are:

- Why is an indicator strong?
- Is it possible to strengthen it further by small means?
- Why is an indicator weak?
- Is it possible to strengthen it by small means?
- What effort is needed in order to reach a higher level in the scoring of an indicator? Can it be done in a short time period? Or does it require long term actions?
- Are there any concrete suggestions among the working group members of ways to improve?

All information gathered through these discussions can help the SHIFT project leader to prepare for the next step “Review policies and plan action” (step 5 – see further).

For indicators consisting of two or more sub-criteria, it is useful to discuss in depth the assessment on the level of the different sub-criteria as these provide interesting information for possible improvement actions for the future. Don't forget to make comprehensive notes about strengths and weaknesses on the level of sub-criteria (if any) after each working group meeting and circulate the notes among the working group members for feed-back. We also recommend using the sub-criteria scores to justify the indicator score in the EcoMobility report.

## **What if the scoring of an indicator is not possible?**

There is no minimum number of indicators that has to be assessed. The working group can decide to skip some of the 20 indicators from the assessment for whatever reasons. However it should take into account the following points:

- The overall EcoMobility performance of the city is based on the calculation of all 20 indicators. This means that the more indicators that can be assessed, the easier it is to achieve a good score. A non assessed indicator gets a zero-score.
- A city that wants to prepare for an audit, should measure all enabler indicators. If all 6 enabler indicators are not assessed, the EcoMobility audit cannot take place.

If the working group is unable to agree on the appropriate assessment level due to, for example, lack of data, no assessment for this indicator should be made. For quantitative indicators, if no quantitative data is available to measure them, a qualitative judgment cannot be used instead. For qualitative indicators, the working group may decide that only limited evidence is required to back up the scores.

## **How to calculate overall results based on the indicator scores**

The SHIFT project leader should enter the agreed indicator assessments within the working group into the Assessment workbook. When this is done, results and illustrations are automatically generated.

EcoMobility scores are automatically calculated:

- On the overall level (to give a total score for the EcoMobility Index);
- For the three categories; and
- For the indicators within each category.

The **EcoMobility index** gives the assessment of the city's overall EcoMobility performance. The category scores indicate how well the city is doing in the enablers, transport system & services and results & impacts.

**Example:**

The EcoMobility index for the city: **42 %**.

For the different categories the city achieves:

- **Enablers:** 57 % of the maximum score
- **Transport system and services:** 43 %
- **Results and Impacts:** 26 %

In terms of points, the city has achieved the most points within the Transport system and services category since this category includes twice as many points as the other two ones.

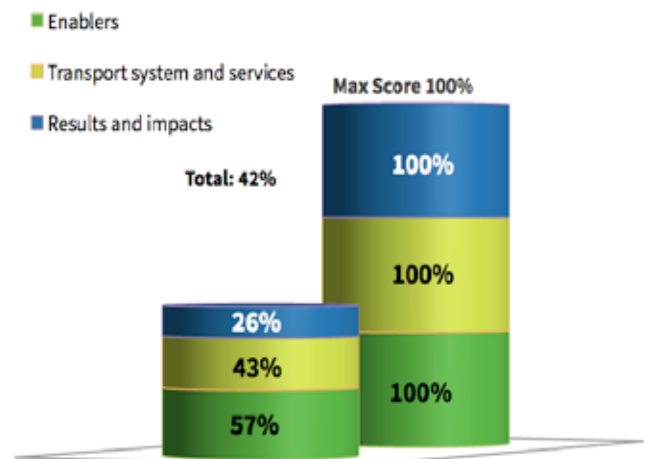
The scoring for the different criteria per category is presented through a cobweb diagram. This is illustrated below for the category “Enablers” with its six criteria.

In the example, the strengths of the city clearly lies within the criteria Personnel and Resources, which has achieved 91% of the score. The weaknesses of the city's ecomobility performance is within the criteria Finance for EcoMobility and Monitoring, Evaluation and Review.

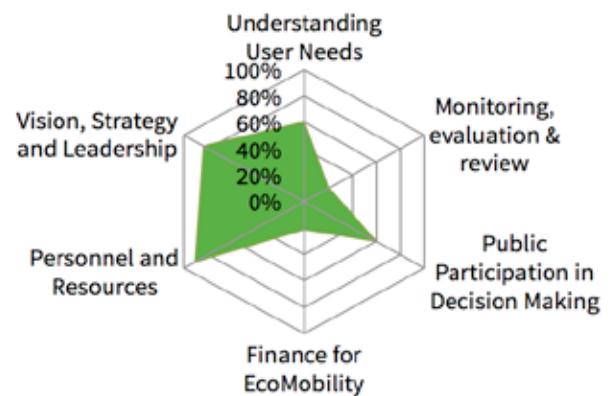
The scores on the individual indicators per category are presented in a bar diagram. See the illustration below for the Enablers category.

In the example, one can see that on the indicator level, the indicator Personnel and Resources is clearly a strength. Another strength is the indicator Vision, Strategy and Leadership. On the other hand the weaknesses of the city are the indicators Finance for EcoMobility, and Monitoring, Evaluation and Review which counteract the strength of Personnel and Resources or Vision.

**The EcoMobility index and block scores**



**Enablers**



**Enablers**



Figure 5: An example on how the data will be displayed once the Assessment workbook is filled by the auditor

## Make a first draft of the EcoMobility report

To finalise the assessment, the SHIFT project leader should prepare a summary of the working group activities and results in a first draft of the EcoMobility report.

To facilitate this work there is an EcoMobility Report template. This template provides headlines and further guidance. This includes the main areas to document such as:

- Who has participated in the working group?  
How were the roles distributed?
- The process, meetings and decision-taking process
- The assessment of the indicators with a short justification and reference to main evidence in appendix
- EcoMobility scores and illustration of the results
- Identified strengths and weaknesses, including their possible causes
- The recommendation of actions
- Benefits and lessons learned
- Conclusions

The overview of scores is a good basis for a reflection. High scores on individual indicators probably point at strengths, low scores may point at weaknesses. Also, analysing the achieved overall scores for each of the three main categories may yield additional insights.



If a city has decided to carry out an external audit, the sections on recommendation of actions, benefits and lessons learned and conclusions can be filled in later after the audit.

The first draft of the EcoMobility report should be

circulated among the working group members for final feed-back. Any remaining gaps in evidence should be filled up, any ambiguities in the analysis clarified.

## FINAL CHECK

When a city is finished with this step:

- All indicators will have been scored, unless otherwise noted,
- The SHIFT project leader should have completed the Assessment workbook and a draft of EcoMobility Report,
- If preparing for an audit, the scores and evidence should match up the minimum requirements for an audit
- The working group as a whole should have a clear understanding of the city's current EcoMobility performance.

## STEP 5: Review and Plan Improvement Actions

Based on the compilation of the results of the EcoMobility assessment and on a first analysis of strengths and weaknesses, the SHIFT project leader needs to prepare and organise a strategy meeting where the policy is reviewed and improvement actions are planned. After the strategy meeting, the documentation of the assessment process can be finalised.

If the city is going to request an audit, it can be advantageous to analyse strengths and weaknesses and develop the recommendation of actions that are to be carried out after the audit.

In the audit, neither strengths and weaknesses nor the recommendation of actions are reviewed. By awaiting the result from the audit, your analysis will be based on quality checked indicator assessments.

The external recognition from the audit can also be the cue to involve local politicians in the debate, if this was not yet the case earlier in the assessment process.

### Prepare for strategy meeting

The SHIFT project leader needs to consider the following tasks for preparing the strategy meeting:

- Review the existing policies and strategies within the city and make a list of current improvement actions planned within the city that are relevant to EcoMobility;
- Make a list of specific suggestions collected from the assessment meeting (for future action/improvement);
- Look for inspiring good examples of measures that match short-term and long-term targets identified during assessment;
- Share the EcoMobility draft assessment report with working group members.



Cities with a certified measurement of EcoMobility after audit, join the network of ecomobile cities and their network activities; these cities also get access to a database of ecomobile cities to benchmark their own indicator scores with other comparable or best practice cities. This might be a good opportunity to look for inspiring examples of measures. Check with the SHIFT auditor and SHIFT organisation for more information.

### Organise the strategy meeting with the EcoMobility working group

The aim of this strategy meeting is to:

- Discuss the feasible paths for the city based on the assessment results (e.g. how to reach a label? Long term infrastructure or more soft-mobility improvements?);
- Organise an action plan based on short-, medium- and long-term proposals and plans, highlight already planned actions that are important to EcoMobility or add strategic actions to an existing plan from the EcoMobility point of view;
- Set initial timelines, budgets and responsibilities to policy proposals.

It might be useful to involve politicians, user groups and/or other stakeholders in this strategy meeting depending on the interest and commitment shown by them in the earlier steps of the assessment process.

For cities with a certified measurement of EcoMobility, it is meaningful at this stage to exchange experience with other cities in the EcoMobility network.

## How to prioritise actions

The working group should discuss how to prioritise actions in their city. The indicators can provide a guide as to how the city should best employ their efforts to improve their EcoMobility. Do not forget to look into the detail of the sub-criteria in several indicators. This should be taken within the context of the goals and sustainable mobility policies of the city. Weakly performing indicators or indicators that are not performing so well, but require relatively few efforts to improve, can provide a good starting point in prioritising actions.

## Finalise the documentation of the EcoMobility assessment process

To be able to communicate the results to politicians, the public and other stakeholders, and also to remember both the process and the results, it is necessary to document the work. This is also a very helpful document when repeating the assessment. In step 5, the first draft of the EcoMobility report is complemented with:

- An update showing the verified indicator scores in case there has been an external audit;
- The section “Recommendation of actions”, overall information, tips for the next assessment, conclusions and other information that is found to be of importance.

The SHIFT project leader sends a draft of the final report to the members of the working group and asks for comments, corrections and amendments. Thereafter, the SHIFT project leader finalises the report.

## FINAL CHECK

When a city is finished with this step:

- The results of the EcoMobility assessment can be communicated to the political level. Depending on the interest and commitment, an appropriate communication is needed;
- Dissemination of the assessment results to stakeholders and the wider public can be established;
- The implementation of the planned improvement actions can be established.

## Prepare for and Request an Audit

After the city has completed the assessment (step 4), it may want to request an EcoMobility audit. The primary goal of an audit is to receive formal recognition of a city's current state of EcoMobility and for it to be able to benchmark itself against other cities. When the EcoMobility index is sufficiently high, cities will receive an appropriate EcoMobility Label.

In general, not all 20 indicators need to be measured and assessed during the assessment process in order to request an audit. It is, however, obligatory that all 6 Enabler indicators have been measured and assessed in the working group.

Moreover, in order to obtain a label, the city has to reach at least 60 % of the maximum EcoMobility score (including the city profile factors).

### Use of city profile factors

The audit makes use of city profile factors to ensure cities will be assessed on a relatively level playing field. This means that cities having natural structural barriers to implementing EcoMobility are not unfairly penalised, and cities with few barriers are not unfairly advantaged. To include the city profile factors, the city should provide information regarding seven factors including wealth and car ownership. Depending on the city profile factor values, adjustments in the calculation of the EcoMobility score are made.

City Profile Factors	
CPF1	City Management and Finance
CPF2	Administrative Area Assessed
CPF3	Factors Influencing Propensity of Active Travel
CPF4	Wealth
CPF5	Car Ownership
CPF6	Influence of a city in the region
CPF7	Size of City Population

Examples of reasons for adjusting the EcoMobility index include: very strict national spatial planning laws will have a positive effect on results and impacts, a national subsidy programme for a SUMP will have positive effects on the enablers of a city, some

geographical/climatic characteristics reduce the overall choices for a city to act towards EcoMobility or a number of decisions in the past make it difficult for a city to move further in the direction of EcoMobility. Further issues include: limited funds available for EcoMobility, continuing growth in car ownership coupled with political pressure for investment to facilitate car use, the autonomy of the city in terms of fund raising and how far it is constrained by national law and other higher levels of government can also be very important in determining how easy it is for cities to work towards EcoMobility.

A detailed description of the city profile factors and how to measure them can be found in the profile factors document.

### How does the recalculation with city profile factors work?

Each indicator is scored on a maximum number of points ranging from 10 to 40 points out of a total of 350 points. The exact number of points for each indicator is found under the heading "Scoring" in the indicator descriptions (Appendix1). The introduction of the city profile factors might change these maximum number of points of indicators in a positive or a negative way. The result is that for a city with a relatively greater number of barriers, the indicator scores are recalculated on a lower number of maximum points (total points < 350) but for a city with relatively fewer barriers, this is the other way around and the city's indicator scores are recalculated on a higher number of maximum points (total points >350). Which city profile factors have an influence on each indicator and in which direction this influence works, is explained under the header "Grounds for reducing total maximum possible score" in the Indicator description sheets.

### How to request an EcoMobility audit

To carry out an audit, the city can contact a SHIFT-auditor directly from the list of licensed auditors available on [www.ecomobility-shift.org](http://www.ecomobility-shift.org) or can contact the SHIFT secretariat for help with finding a SHIFT auditor. For the auditor to be able to carry out the audit, the city needs to provide the following

documents:

- EcoMobility audit request, including information on the city profile factors (see further), that is not older than 6 months
- The EcoMobility report, not older than 6 months (the recommended actions do not need to be included)

Documents that are either incomplete, do not provide enough information or are too out of date will be returned to the city. At this point, cities might consider either contacting an external advisor for support in preparing for an audit or conducting a re-assessment.

### What does the audit procedure look like?

The main goal of the audit is to check the accuracy of a city's assessment report through meetings, interviews, site-visits and collection of other information on-site. Additionally, auditors will incorporate the city profile factors into the city's final EcoMobility index.

A single audit might take anywhere from three days to a week, starting from the first contact of the auditor with the city and ending with the EcoMobility audit report being sent to the SHIFT organisation. This report contains the advice for certification and EcoMobility label.

Below is a basic description of how an audit might be structured.

#### Possible Time Plan for an Audit

**Day 1** Auditor reviews city EcoMobility report and evidence and EcoMobility audit request in order to determine how to structure audit (interviews, site visits, review of data/information, etc.).

**Day 2** Auditor reviews city EcoMobility report and evidence and EcoMobility audit request in order to determine how to structure audit (interviews, site visits, review of data/information, etc.).

**Day 3** Auditor conducts audit in order to check, confirm and verify information within the EcoMobility report and in the EcoMobility Audit request

**Day 4** Auditor adjusts score of a city's original EcoMobility report based on his/her findings and drafts final audit report.

**Day 5** Auditor meets with the SHIFT project leader and one or more other working group members to discuss final scoring and assessment, collects comments and feedback from city on scoring and audit process, advises the city on labelling procedures (if applicable) and finalises report to send to the SHIFT organisation.

### What are the tangible benefits of an audit for the city

The auditor, after verifying the scoring, the evidence and having applied the city profile factors, will recommend the city for a label if the final EcoMobility score is 60% or more. The report with the recommendation is sent to the EcoMobility SHIFT Labelling Commission. This commission awards the label.

Labels are received according to the following final score:

- Bronze (minimum overall score of 60%)
- Silver (minimum overall score of 70% AND modal split indicator of at least level 4)
- Gold (minimum overall score of 80% AND modal split indicator of at least level 4)

Every city that has an external audit completed and submitted to the SHIFT organisation will receive an EcoMobility SHIFT certificate, regardless of the score achieved.



A city with a certified measurement of EcoMobility becomes a member of the EcoMobility SHIFT network of cities and auditors. It will be invited to all network activities and will be informed about all SHIFT activities and any updates of the SHIFT scheme. As a member of the network, the city will be able to benchmark its own EcoMobility performance overall and per individual indicator with other SHIFT network members. The matching with other network cities for the purpose of benchmarking and exchange of experience will be coordinated by the SHIFT auditor and the SHIFT-organisation in order to respect the overall confidentiality of the audit outcomes.

### **Who can do an EcoMobility SHIFT audit?**

Only licensed SHIFT auditors can perform an EcoMobility SHIFT-audit. To receive this licence, an auditor must attend and successfully complete a two-day EcoMobility Auditor training course, where he or she will be prepared to conduct an audit of a city's EcoMobility performance independently. An auditor licence is linked to a person and not to the organisation that the person works for.

More information on the auditor requirements, as well as a list of all licensed auditors, can be found on <http://www.ecomobility-shift.org>. The auditor is external to the city to be audited. He or she works on behalf of, in name of, the SHIFT organisation. The SHIFT organisation appoints the auditor whilst the city contracts the auditor.



An EcoMobility SHIFT auditor can also assist a city during the EcoMobility assessment. In this case however, the same individual cannot do the audit in your city. Under no circumstances should an auditor audit an assessment to which he/she has contributed.

In order to receive an EcoMobility audit certificate after audit and an EcoMobility label in case of outstanding performance, the audit must be done by a licensed auditor

### **Is a city required to publicly share their external audit?**

No. Although SHIFT promotes sharing and exchange of external reports (in order to better develop and understand standards for EcoMobility and to benchmark cities) cities are able to request that their audit report is kept confidential for both the public and within the SHIFT network.

Further discussion on the privacy of a city's audit report can be done with a licensed auditor during an audit, who will relay the same to the SHIFT organisation.

Privacy matters related to other documents in the SHIFT scheme (i.e. assessment report, recommended actions, city profile factors) lie within the city.

SHIFT encourages cities to disseminate, share and publish results related to EcoMobility assessments and actions to improve their status. Such action is especially important when raising public stakeholders and civil society awareness and acceptance of local EcoMobility growth measures.

# Part 3

## A Step-by-Step Guide for the Audit in a City

This part III describes in more details the audit procedure a SHIFT-auditor needs to follow in order to conduct an external audit of a city's EcoMobility assessment.

A SHIFT auditor will carry out the verification of the assessment of the EcoMo-bility status (presented in the EcoMobility report) including the city profile factors and will report the results both to the city and to the SHIFT organisation. The city will contract the auditor.

SHIFT auditors will make use of the following documents during an audit:

- The assessment workbook (an excel workbook) (see appendix 4)
- The indicator descriptions (see appendix 1)
- The Audit report (a template, see appendix 3)

The SHIFT auditor receives from the city:

- City's Audit request form with the City's Profile factors form (see appendix 6)
- City's Ecomobility report (written in the template you find in appendix 2)

## STEP1: Prepare the Audit

### Check completeness of the city's documents

For the auditor to be able to carry out the audit, the first task is to ensure that:

- All required documents are submitted: the EcoMobility audit request with the City profile factors and the EcoMobility report;
- The EcoMobility report and the City profile factors are no more than 6 months old;
- There are no inaccuracies in the working process of the assessment (working group constitution etc.) and this accords with the information written in the EcoMobility report;
- All the necessary information is included in the documents (e.g. main evidence for indicator levels) meaning that:
  - All enabler indicators need to be assessed and documented (EcoMobility report)
  - All city profile indicators need to be completed for the city in order to re-calculate the EcoMobility scores

If one or more of these conditions are not satisfied, please return the documents to the city for review.



The section “recommended actions” of the City’s EcoMobility report is not subject to the audit.

### What if the city has provided incomplete information?

If a city is not ready for an audit (e.g. has only measured half the indicators or has not measured all enabler indicators), then advise cities to either: (1) if insufficient information is minor and could have simply been overlooked or is easily available, then suggest the city (re-)sends the information, (2) if the city is not ready, suggest re-assessment and audit at a later date (possibly after another assessment) or (3) suggest the city seek out (or receive from you) external advice.



Please note that all auditors who provide external advice to a city cannot at a later date conduct an audit.

### Prepare for the audit visit

If the documents are complete, contact the city to:

- Agree on an overall time schedule for the audit (e.g. when and how long the audit will be);
- Make sure to arrange an opening and closing meeting with the city. At the very least, the SHIFT project leader and the person in charge of data compilation should be present at this meeting.

Prepare yourself for the audit visit by reviewing the content of the city’s EcoMobility report. Also check the extra evidence delivered by the city in the list of resources. Develop the first draft of the Audit Report by inserting evidence from the City’s EcoMobility Report in the Audit Report.

Scan the city profile factors presented by the city in the Audit request form. Descriptions of the factors are presented in the document.

### Consider the use of a task-list to assure transparency of the audit process

A task list similar to the one below can be helpful as it streamlines the process organising both what you need to do and what you need the city to do for you. It also makes the audit activities transparent to the SHIFT organisation who make the final decision on the certification.

## Task-list for City Officials/Working Group

[Use the table below to formulate a rough “check-list” of tasks you will ask the city to complete or take part in during the audit. Make sure to share this with the city and to agree on the tasks during the **Opening Meeting**.]

Task Summary	Purpose	Expected time needed	Personnel Involved	Expected Outcomes/ results

It includes making a summary of all auditing tasks by identifying what to check (indicators, processes) and how to check (interviews, site visits and observations, documents). In preparing the task list, make sure to include what information the city needs to provide you with (e.g. figures, documents, etc.) and any interviews/ on-site observations you plan to hold. It’s important to identify the purpose (why do you need to check this? What evidence/which indicator are you verifying?) and the expected time needed. When the task is complete, write a short remark on the outcome – this will prove useful for any needed verification at the end of the audit.

Outcomes should either increase or decrease the indicator score, change the overall maximum score (e.g. inclusion of city profile factors) or render the evidence not-valid, bringing the indicator score to 0. Lowering a score will impair a city’s rating, so it is suggested that you inform the city before beginning the audit if they might not have the proper evidence.

## STEP2: Hold the Opening Meeting

Meet with the city to communicate your objectives and intentions for the audit.

Make sure you discuss the overall structure of the audit and establish basic understanding of the city’s role (rights and duties) in the audit (e.g. what is the overall purpose, what is the content of the audit report, what happens with the audit report, privacy rules, etc.).

Present the auditor task list and communicate agreement between both the city and the auditor in the process of the audit.

This is also a good time to plan any exchange of required information, site visits, interviews, etc.

### Who should attend?

SHIFT suggests that at least the project leader and the person(s) in charge of data compilation should attend the opening meeting. It might be interesting to invite a senior officer or political leader related to transport and mobility (who has an interest in the audit) and (if applicable) the external advisor to the opening meeting. If one person plays more than one of these roles, this is fine.

## STEP 3: Conduct the Audit

After you have familiarised yourself with the documents and have agreed with the city on the process of the audit, you are ready to begin.

The aim of the visit is to understand more fully the state of the city, while at the same time verifying and clarifying the data given in the city's EcoMobility report (this does not mean measurement or re-measurement of indicators – this is not the auditor's job).

The following tasks might help to confirm/verify evidence from the assessment:

### On-site visit of facilities to gain an overview of the city's transport system and services

This includes, for example, checking ease of use and accessibility of the public transport system; the comfort, safety and accessibility of the cycling network and facilities and the pedestrian network; the parking system and policies; and the city judgements on e.g. propensity for active travel.

To prepare, ask about maps and timetable information, ticketing, location of cycle facilities, a car parking plan, speed zones and road hierarchy and new developments based on urban-planning policies and standards.

Consider assistance during a site observation – combine observation with an interview (e.g. with a user group representative, city official or private service/transport provider).

Some extra tips for the site visit are as follows:

- Go and visit the city by different transport means s.a. train, bus, bicycle. While doing so, visit different areas and get yourself an idea of the easiness to find your way with that mode and assess the comfort while using that mode; don't forget to check mode specific elements (parking facilities, accessibility for people with reduced mobility, information, ..)

- Visit and observe different types of areas: a residential area, a school environment, an employment area, the inner city and the main transfer points of the city's public transport system. For each of the different areas, get a feeling of the overall amount of traffic, the traffic speed and overall safety and comfort for cyclists and pedestrians.
- Plan your site visit during peak hour time in the morning or in the evening.
- Check specific good practice examples mentioned by the city
- After the site visit, communicate with the city the places where you went for the site visit to get an idea of the representativeness of the places

### Review various documents and data

What to review? Verify any information in the evidence to make sure it's up to date and accurately cited. Also cross check the quality of facts and figures against other region-al/national standards for data collection/availability (is the city providing the auditor with the highest quality of evidence possible?).

Remember that it is important during the audit (and a basic requirement for auditors) to be familiar with the local, regional, national and European transport context as well as the overall functioning of local (as well as regional and national) authorities, policies and legislation within the country.

### Desk (web) research

Find out how easy it is to plan your route to and in the city with sustainable modes. Check how easy it is to find information about the different mobility management services from the city's website and check how complete (modes and elements) this information is.

Interview city officials or other non-city stakeholders of relevance

Suggested people to interview are: members of

the EcoMobility working group, other city officials, representatives of user associations (external), providers of mobility services (e.g. private bus/ bike-sharing company) and possibly regional and or national transport authorities.

What should you check for? Make sure to double check any “expert judgement” given in the EcoMobility report evidence, the quality of assessment procedure (were indicator measurements truly agreed upon in consensus meetings with a diverse working group?) and get a second validation on documents and hard facts (e.g. directly ask the project/research head about the modal split collecting process).

It might be helpful to set up a checklist of questions to ask beforehand.

## **STEP 4: Recalculate EcoMobility Score**

Do a final review of the city’s EcoMobility report and the city profile factors by following the instructions in the Audit Report.

Then, re-calculate the scores by following the instructions in the Assessment workbook for Auditors. Final calculations will include all indicators, including the City Profile factors.

## **STEP 5: Discuss the outcome with the City**

After re-scoring the city and completing the Audit Report, meet with the city (the Closing Meeting) to discuss the final score and outcome of the audit. The audience of the closing meeting is the same one as the audience from the opening meeting.

After presenting your (as auditor) results, the city is able to give their own comments and/or explanations on weaker results (to include in the Audit Report), if the city wishes to do so. The auditor might change his overall advice based on this discussion.

If city representatives do not agree on the information

in the Audit Report, make note of their remarks and discuss why you (as auditor) came to this conclusion. Cities are always able to conduct another audit in the future.

If there are still inaccuracies and disagreements, the SHIFT organisation will make the final decision on scoring. Finalise the audit report and submit to the SHIFT organisation for a final check.

## **STEP 6: Labelling Process**

If a city receives a score of over 60%, you (as auditor) are able to recommend that the Audit Report be forwarded to the SHIFT Labelling Board.

In the conclusion of the Audit Report, make sure to state your support for the city in receiving a label.

Labels are received according to the following final score:

- Bronze (minimum overall score of 60 %)
- Silver (minimum overall score of 70 % AND modal split indicator of at least level 4)
- Gold (minimum overall score of 80 % AND modal split indicator of at least level 4)

After a final check of the Audit Report by the SHIFT organisation, all audits receive a “Certified Measurement of EcoMobility”.






# EcoMobility shift

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