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HIGH-LEVEL MEETING ON TRANSPORT, ENVIRONMENT AND HEALTH

THE PEP Steering Committee

(Third session, 11 and 12 April 2005,
agenda item 4.A (e))

**INSTITUTIONAL ARRANGEMENTS AND MECHANISMS FOR
INTEGRATED POLICY AND DECISION MAKING**

Introductory note by the UNECE and WHO/Europe secretariats

1. The present document has been prepared by a consultant to the UNECE and WHO/Europe secretariats in cooperation with the secretariats, for consideration by THE PEP Steering Committee at its third session.
2. It describes a project, which aims to identify and to provide guidance on supportive conditions for the integration of transport, environment and health issues with a particular focus on the urban policies. Special emphasis is given to the UNECE and WHO/Europe member countries in the Eastern Europe, Caucasus and Central Asia (EECCA) as well as in South-Eastern Europe.
3. The document contains a description of the general objectives, the proposed implementation phases, their expected outputs and the proposed budget of the project.

4. At its second session, the Steering Committee had considered a proposal prepared by the secretariat¹ as a follow-up to the workshop on “Sustainable and Healthy Urban Transport and Planning” (Nicosia, 16-18 November 2003) where the need for such specific guidance for promoting policy integration between the sectors was expressed². In THE PEP Work Plan, adopted by the second High-level Meeting, the “Development of institutional mechanisms for integration of the environment and health concerns into transport policies” figured as one of the priorities for further action³.

5. The Committee acknowledged the importance of well-adapted institutions and adequate organizational support for cross-sectoral integration. It also admitted the existing insufficiencies in this field in the countries of the UNECE and WHO/Europe region, concerning particularly those with economies in transition. The Committee endorsed the proposal to collect and to disseminate experiences, good practises and lessons learned of the member countries in terms of institutional arrangements that support integration. It highlighted the importance of referring to the existing work on cross-sectoral integration that has been carried out at the international level, notably by the EU, OECD and the ECMT, as well as at the national level, focusing mainly on transport and environment sectors.

6. No funds were made available, however, to allow for the consultancy support required for a systematic collection of information, involving development and management of a questionnaire and interviews, nor for the analysis of the information collected, involving identification of good practises and common lessons and examination of the transferability of these lessons.

7. In addition to requesting for extra-budgetary funding from the UNECE and WHO/Europe member states⁴ for the financing of the project, the secretariats have tried to identify alternative sources of funding to ensure the implementation of the project. The application for a grant from the Future Urban Transport Programme of the Volvo Research and Educational Foundation was not successful.

8. The secretariats have since then been able to identify only partial funding for the project, less than USD 10,000 out of the total budget of US\$ 36,000. These funds would not be sufficient to cover a full analysis of the common lessons learned or for a full examination of the transferability of the lessons. The initial funding will thus provide a way of starting the project and supporting a detailed study of the situation in two countries. These two countries would essentially be pilot studies that will help to test the methodology

¹ Document ECE/AC.21/2004/11 - EUR/04/5045236/11

² Report on the workshop on sustainable and healthy urban transport and planning, ECE/AC.21/2004/4
EUR/04/5045236/4

³ Document ECE/AC.21/2002/9 - EUR/02/5040828/9, Activity I.4

⁴ Including through a letter sent to the potential donors on 26 May 2004

and demonstrate the potential benefits of a broader study involving more case studies. With reference to the description of the implementation phases and budget described below (paras. 22 and 23) the initial funds could cover the majority of the labour costs involved in the implementation of phases 1 and 2, and a small part of the labour costs in phases 3– 6. They would not allow for the consultant to carry out all the complementary interviews in the countries (interviews in only 2 countries will be possible), nor will it enable the organization of workshops or training events.

9. At its meeting in December 2004, the Bureau of the Steering Committee discussed the implementation of the project, pending the reply from the Volvo foundation. It expressed its interest and approval for the project and was keen to be involved in its implementation.

10. The Bureau also provided the following guidance:

(a) The dissemination of the project results should specifically target policy makers, who would be the main beneficiaries of the project outcomes.

(b) Due account should be given to the vertical dimension of the integration (i.e. between central and local levels of government) in addition to the horizontal one (between the sectors) and to sharing of responsibilities and flow of resources between the relevant actors. Furthermore, the Bureau felt that the project should be of practical orientation and focus on the functioning or disfunctioning of the given administrative mechanisms in terms of the level of integration of the policies and decisions that are actually being produced. The ways of ensuring public participation in the drafting of policies and legislation should also be a central part of the analysis.

(c) The work already carried out at the international level, in particular by the EU, ECMT and OECD should be used to complement the information obtained via questionnaires and interviews and in order to avoid overlaps. The role of existing legal instruments, e.g. on Strategic Environmental Assessment in fostering stronger integration of environmental and health considerations into transport policies should also be examined as well as possibilities for enforcing the implementation of the relevant regulations.

(d) A task force could be set up for the implementation of the project.

(e) The results of the project should be highlighted and disseminated at the third^{3rd} High Level Meeting.

10. The Committee is invited to provide its views on the project as described below and consider ways of facilitating its implementation in-kind as well as financially. The Committee may also wish to consider ways to link the implementation of the project with the analysis of the challenges in integration in the EECCA

and South-East European Countries that was proposed by the Bureau to complement the EECCA overview prepared as a background document for the Moscow workshop⁵.

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⁵ See document ECE/AC.21/2005/8 - EUR/05/5046203/8

Investigation of supportive institutional conditions for the integration of transport, environment and health issues into urban policies

Prepared by consultant to THE PEP secretariat
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Summary

11. The integration of transport, environment and health issues into policy is crucial for sustainable development. This is a challenging task to put into practice because of factors such as conflicting interests and priorities between policy-makers in different sectors. This project proposal focuses on the key institutional arrangements and mechanisms for the effective integration of these issues into policy and decision-making at the urban level - an area of research where little work has been done to date.

12. The project will involve the examination of current practice across a selection of countries in the European Union (EU25), as well as some in Eastern Europe, Caucasus and Central Asia (EECCA) and others in South Eastern Europe (SEE).

13. Having prepared a synthesis of current practice, the project will examine innovative urban case studies in more detail, identify common lessons from the case studies and examine the transferability of these lessons, both in terms of transferability to other cities within the same country and, more widely, to cities in other countries. The project will involve a mixture of desk-based research, interviews and a workshop.

Background

14. There are increasing calls for a more integrated, cross-sectoral approach to policy-making, predominantly as a result of the increasingly widespread view that the integration of transport, environment and health policies is crucial for sustainable development⁶. The Johannesburg Plan of Implementation of the World Summit on Sustainable Development, for example, urges governments to "promote an integrated approach" to policy-making at the national, regional and local levels for transport services and systems to promote sustainable development, including policies and planning for land use, infrastructure, public transport systems and goods delivery networks, with a view to providing safe, affordable and efficient transportation, increasing energy efficiency, reducing pollution, congestion and adverse health effects" (UN, 2002: para 21). This clearly emphasises the need for a more integrated, cross-sectoral approach to policy-

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⁶ e.g. Barton and Tsourou, 2000; RCEP, 1994; UN, 2002

making, and the need for transport, environment and health issues be more effectively incorporated in policy-making processes. Despite consensus about the importance of policy integration, however, little research has been carried out concerning the integration of transport, environment and health policies, especially in the specific area of institutional arrangements and conditions. There are unquestionably numerous pieces of research that have focused on the relationship between transport, environment and health (or two of these three issues) but few that have focused on institutional aspects concerning inter-sectoral policy-making. Thus, there is little information either in the professional or academic realm about how the integration of transport, environment and health policies can be achieved in practice.

Vision

15. The project will produce professionally oriented materials as well as to some extent also academic materials to help identify and promote effective institutional conditions for integrating transport, environment and health issues into urban policies.

16. Policy oriented (professional) materials: The project will produce a synthesis report primarily designed for policy makers working in government with responsibility for transport, environment and/or health issues.

17. Academic materials: A conference paper and an article for a refereed academic journal will be written. The project will also provide the basis for graduate/postgraduate teaching materials.

18. All outputs of the project will be disseminated as widely as possible with the help of the joint UNECE/WHO -Europe Transport, Health and Environment Pan-European Programme (THE PEP).

Objectives

19. The project aims to contribute to understanding about policy-making processes that integrate transport, environment and health issues more effectively, specifically at the urban level. The main objectives are:

- to establish and synthesise current practice across a wide number of case studies concerning institutional arrangements that help to promote the integration of transport, environment and health issues into urban policies (including arrangements/conditions not primarily designed with policy integration in mind)

- to identify key institutional arrangements and conditions that assist the integration of transport, environment and health issues into urban policies
- to identify factors of both success and failure in promoting these institutional arrangements and conditions
- to examine the transferability of these institutional arrangements and conditions for other cities within the same country and, more widely, for other cities in other countries.

Project description

20. The central aim of the project is to identify the key institutional conditions that support the integration of transport, environment and health issues into urban policies. Some of these conditions are specifically aimed at promoting policy integration whilst others are primarily designed for other reasons. The term institutional conditions refers to a variety of organizational aspects including:

- (a) mechanisms to promote interaction and dialogue between the transport, environment and health sectors (e.g. inter-ministerial working groups, movement of staff between sectors, secondments)
- (b) arrangements for sharing responsibilities, accountability and budgets between sectors (e.g. joint budgets, joint teams)
- (c) the availability of education and training to develop cross-disciplinary skills (both before and after professional qualification)
- (d) mechanisms for public participation and the involvement of NGOs, interest groups and other stakeholders in the decision-making process
- (e) the use of integrated assessment tools (e.g. environmental impact assessment, strategic environmental assessment and health impact assessment)
- (f) monitoring mechanisms for inter-sectoral integration (e.g. indicators).

21. The project will involve the examination of current practice across a wide selection of countries in the Europe Union (EU25), as well as in Eastern Europe, Caucasus and Central Asia (Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Republic of Moldova, Russian Federation, Tajikistan, Turkmenistan, Ukraine and Uzbekistan) and South Eastern Europe (Albania, Bulgaria, Bosnia and Herzegovina, Croatia, FYR Macedonia, Romania, Serbia and Montenegro). It should be noted that

although the focus of the project is policy integration in urban areas, the national and regional influences on local urban policy will also be examined (e.g. national or regional policy guidelines, assessment tools and funding arrangements), since these are important determinants of policy integration at the urban level.

22. The timing of this project is opportune in the sense that institutional structures are experiencing reform in many countries, especially in the new EU member States for example. In view of these shifts in governance, it seems important and timely to contribute to understanding about how to promote institutional capacities at the urban level to deal with cross-sectoral integration under these new conditions. It also seems equally important to look at the implications for countries outside the EU25 so that lessons can be drawn and good practice can be spread as widely as possible.

23. The project will use a mixture of research techniques including questionnaire analysis, interviews and workshops. There will be six distinct phases in the project:

Implementation phases

PHASE 1 (months 1-3). The project will begin with the definition of the various types of institutional arrangements and mechanisms that will be examined in each of the case studies. This phase will be carried out in consultation with UNECE and WHO/Europe involved in the joint UNECE/WHO-Europe Transport, Health and Environment Pan-European Programme (THE PEP). Having identified the type of information that will be collected from the case studies, an online questionnaire will be developed which will be hosted on THE PEP website (<http://www.thepep.org>).

PHASE 2 (months 4-5). All members of the Steering Committee of THE PEP will be invited to submit information about national and urban case studies in their own countries and will also be asked to encourage officials in urban authorities in their own countries to submit additional case study information via the online questionnaire. City networks (e.g. ICLEI, European Sustainable Towns and Cities Campaign, WHO Healthy Cities Network, Eurocities) will also be requested to submit case study information. Submission of questionnaires by email and post will also be possible.

PHASE 3 (months 5-9). After submission of the questionnaires, the information from all submissions will be collected and synthesised. An interim report will be produced containing a summary of the state of the art across all countries where information has been gathered. From this information, a decision will be made about which case studies demonstrate innovation and merit further investigation via interviews. Interviews with key officials from the transport, environment and health sectors will be carried out in approximately 5 urban case studies (each in different countries) in order to supplement the information submitted in phase 2.

PHASE 4 (months 10-14). Using the information from the questionnaires and the interviews, common lessons will be identified and the transferability of these lessons will be examined, both in terms of

transferability to other cities within the same country and, more widely, to cities in other countries. A workshop will be held involving officials representatives of local and central governments and city networks involved in the transport, environment and/or health sectors in order to explore the issues of common lessons and transferability in detail. The workshop will be organized back-to-back with a Steering Committee meeting of THE PEP in order to reduce travel costs and increase participation.

PHASE 5 (months 15-18). A final report will be produced with two main parts. The first part will contain an overview of the state of the art of current institutional practice concerning the integration of transport, environment and health issues into urban policies in the case study areas. The second part will contain an analysis of the common lessons that can be learned from current institutional practice in the case study areas, and an examination of the transferability of these lessons. Opportunities and constraints for the introduction of innovative institutional practice concerning the integration of transport, environment and health issues into urban policies will also be explored. The final report will be primarily written for professionals working in government with responsibility for transport, environment and/or health issues.

PHASE 6 (months 1-18). The project findings will be disseminated during the course of the project and thereafter. The main audience targeted would be professional audience (policy makers), the project would target in addition an academic audience (see also the 'Vision' section above). At least one conference paper and an article for a refereed academic journal will be written. The project will also provide the basis for some teaching materials. The final report will be primarily written for professionals working in government. The UNECE and WHO-Europe (via THE PEP) will also provide some assistance in the dissemination of the outputs of the project via THE PEP website. Training courses for professionals may also be developed as a follow-up activity to this project in cooperation with THE PEP.

Proposed project budget

24. The project budget has three main components:
- (a) Research and management costs
 - (b) Travel and subsistence for carrying out interviews with officers (in 5 countries)
 - (c) Hosting of the workshop with officials from the case study areas (including support for travel and accommodation costs for some of the participants).

Estimated costs for the implementation phases (in US\$)

LABOUR PHASE 1 = 4 000 (Questionnaire development)

LABOUR PHASE 2 = 3 000 (Questionnaire management)

LABOUR PHASE 3 = 10 000 (Interviews in 5 countries)

LABOUR PHASE 4 = 3 000 (Questionnaire analysis and synthesis)

LABOUR PHASE 5 = 6 000 (Final report)

LABOUR PHASE 6 = 7 000 (Dissemination and training)

TRAVEL COSTS = 5 000 (Interviews plus one or two meetings in Geneva)

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TOTAL COSTS = 36000

Length of project: 18 months.

Educational aspects

25. A number of key educational benefits of the project can be identified:

- (a) at least one conference paper and an article for a refereed academic journal will be written
- (b) the project will also provide the basis for graduate and postgraduate teaching materials⁷ within the university
- (c) the final report will be primarily designed for a professional audience working in government with responsibility for transport, environment and/or health issues
- (d) training courses for professionals may also be developed as a follow-up activity to this project in cooperation with THE PEP.

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