

European Commission
Directorate-General for
Transport and Energy

Ex-post evaluation of all completed actions funded under the Sustainable Mobility Programme during the period 1997-2004

Final Report

April 2006



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Directorate-General for Transport and Energy

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completed actions funded
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Executive summary

Introduction

The present report presents the results of **an ex-post evaluation of all completed actions funded under the “Sustainable Mobility Programme”¹ during the period 1997- 2004.**

For the purpose of the present ex-post evaluation, the individual actions funded under this budget allocation are referred to as the 'Sustainable Mobility Programme'.

The evaluation was carried out by COWI A/S from October 2005 - April 2006 under the existing Service Framework Contract with DG TREN covering Ex Post and Mid Term Evaluations (Ref. TREN/A1/17-2003 Lot 2).

Readers should note that the report presents the views of the Consultant, which remain under his responsibility and do not necessarily coincide with those of the Commission.

The policy context

In 1997, the Amsterdam Treaty made sustainable development a core objective for the EU. Consequently, in 1998, the Commission published the document 'The Common Transport Policy – Sustainable Mobility: perspectives for the future' examining the implications and possible ways of action in each transport mode for achieving that objective. Then, in 2001, the European Commission published the White Paper entitled 'European Transport Policy for 2010: Time to Decide' (henceforth 'The White Paper')².

In line with the conclusions of the European Council at Gothenburg (June 2001), which called for a sustainable transport policy within the context of a broader strategy for sustainable development, the White Paper places the shifting of balance between modes of transport at the heart of the sustainable development strategy.

The EU budget allocations

Over the period 1997-2004, the Budgetary Authority, i.e. European Parliament and Council, approved a total budget allocation of 35.6 MEUR for allowing the Commission (the Directorate-General for Energy and Transport, DG TREN) to implement a wide range of sustainable mobility policy measures. For the pur-

¹ Sustainable Mobility Policy budget line B7-704 (Since 2004: 06 02 04).

² COM (2001)0370

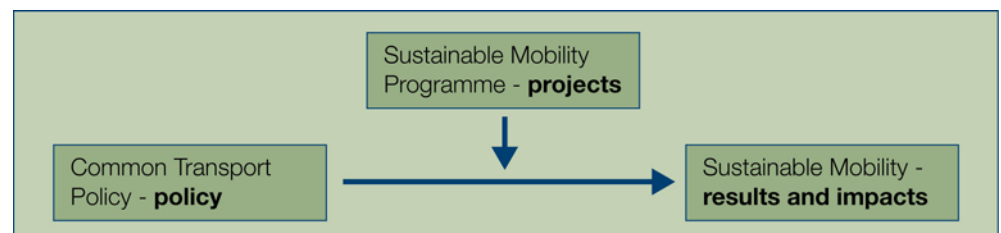
pose of the present ex-post evaluation, the individual actions funded under this budget allocation are referred to as the 'Sustainable Mobility Programme'.

According to the mandate of the Budgetary Authority, that allocation was intended 'to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community's common transport policy, including its extension to third countries, technical assistance, specific training measures and promotion of the common transport policy, including the establishment and implementation of the guidelines for the trans-European transport network referred to in the Treaty'. Moreover, the budgetary authority also provided for expenditure under this item 'on studies, meetings of experts, information and publications directly linked to the achievement of the objective of the programme or measures coming under this article, plus any other expenditure on technical and administrative assistance'.

The projects' contribution to sustainable mobility

The main objective of the evaluation is to evaluate how well the funded projects have contributed towards the achievement of the overall objective of the Sustainable Mobility Programme cf. the illustration below.

Figure 1 Overview of evaluation logic



The aim of the evaluation is not to screen the individual projects in depth but to make a judgement on to what degree the projects, *collectively*, have supported the process of moving towards sustainable mobility. As such this evaluation complements the earlier case-based evaluation of the programme, which focused on individual projects (*Ex-post evaluation of specific interventions funded under the Sustainable Mobility Policy, 2004*).

Methodology

Definition of sustainable mobility

In order to reach clear conclusions across the entire project portfolio, a yardstick by which to judge whether the projects have contributed to sustainable mobility is required. The methodological choice for conducting the evaluation has been to use the action programme of the 2001 White Paper (adopted in September 2001) as the benchmark. The reason is that the White Paper offers the most up-to-date objectives for sustainable mobility in the context of the EU Common Transport Policy. The setback is that the assessment of the contribution of some actions decided in the 1997-2001 period may be penalised in respect of the policy priorities at that time.

However, it was judged that the ex-post evaluation should focus on the progress reached in terms of the more recent policy priorities. Therefore, sustainable mobility is, for this evaluation and in strict accordance with the White Paper, defined as follows:

- Sustainable mobility is an attempt to reconcile economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport (global objective).
- The intermediate working objective is to generate a shift in the balance between modes of transport in favour of railways, inland waterways, short sea shipping and intermodal operations (intermediate working objective).
- The development towards sustainable mobility takes place at the operational level via policy initiatives which correspond to the 12 policy areas of the White Paper (operational objective) listed in the text box below.

The operational objectives of sustainable mobility, cf. the White Paper

1. To improve quality in the road transport sector.
2. To revitalise the railways.
3. To strike a balance between growth in air transport and the environment.
4. To promote short sea shipping and inland waterway transport.
5. To turn intermodality into reality.
6. To continue the building of the trans-European transport.
7. To improve road safety.
8. To adopt a policy on effective charging for transport.
9. To put research and technology at the service of clean and efficient transport.
10. To recognise the rights and obligations of users.
11. To develop high quality urban transport.
12. To manage the effects of globalisation.

The evaluation used four different data sources, namely a) review and clustering of the entire project portfolio, b) a questionnaire covering all grants, c) qualitative project reviews of 27 selected projects, and d) other relevant sources such as the recent mid-term review of the White Paper implementation.

Scope of the programme

293 ended projects

Under the Sustainable Mobility Programme a total of 293 ended projects were funded during the period 1997-2004, with a total budget allocation of 35.6 MEUR. The table below shows a breakdown according to mode of transport.

Table 1 Breakdown according to mode of transport

Mode	No. of projects	In % of total	Amount (million Euro)	In % of total
Air	74	25%	10.3	29%
Rail	22	7%	5.0	14%
Road	34	12%	0.4	1%
Maritime	70	24%	5.5	16%
Port	5	2%	3.0	8%
Inland Waterway	6	2%	1.3	4%
Comb. of modes ³	82	28%	10.1	28%
<i>Total</i>	<i>293</i>	<i>100%</i>	<i>35.6</i>	<i>100%</i>

A significant majority of the project portfolio consists of projects within the air and maritime modes as well as combination of modes. Many of the air projects relate to smaller investigations related to liberalisation and competition issues.

Financing of the Sustainable Mobility Programme

The Sustainable Mobility Programme⁴ was financed from 1995 to 2003 through a specific budget line from the general Commission Budget (B2-704). This budget line was one of the six lines of the European Union budget dedicated to transport⁵. Since 2004, the Sustainable Mobility Programme has been funded from Chapter 06 02 04 of the EU Budget (sub-chapter of Inland, Air and Maritime transport under Title 06 Transport and Energy). These budget lines allow funding on the gathering, collecting and processing of all kinds of information necessary to the elaboration and development of the Community's common transport policy, including its extension to third countries, technical assistance, specific training measures and promotion of the common transport policy.

The programme represents 1% of total DG TREN appropriations

The budgetary means allocated and spent by the Sustainability budget line are quite modest compared to the total budgetary appropriation available to DG TREN (formally DG Transport). The table below compares the total yearly appropriations of DG TREN with the recourses of the Sustainable Mobility Budget line from 2000 to 2006.

³ Combination of modes refers to project involving two or more of the above modes of transport (road, rail, ports etc.).

⁴ See also 2.4.2. for details

⁵ The other budget lines were: B2-700: European Aviation Safety Agency; B2-701: European Maritime Safety Agency; B2-702: Transport Safety; B2-706: Action programme to promote the combined transport of goods; and B2-707: Marco Polo programme.

Table 2 Sustainable Mobility Programme compared to DG TREN budget

Years	Total DG TREN appropriation	Sustainable Mobility Programme	In % of total
2006	1459 MEUR	9.25 MEUR	0.6%
2005	1413.5 MEUR	11.6 MEUR	0.8%
2004	1346.5 MEUR	8.6 MEUR	0.6%
2003	807.4 MEUR	9 MEUR	1.1%
2002	754.2 MEUR	10 MEUR	1.3%
2001	728.9 MEUR	8 MEUR	1.1%

The table shows that the sustainable mobility budget represents about merely about 1% of total DG TREN appropriations over the last financial period.

Evaluations results

Overall conclusions

Funding for important initiatives

There are four overall conclusions. Firstly, during the period 1997-2004 the Sustainable Mobility Programme provided funding of numerous important projects, covering:

- Production of new information necessary for the planning and initiation of legislative processes.
- Raising the awareness of particular issues, technologies and modes of transport.
- Development of statistics and monitoring systems to be used for the benefit of modes of transport which, according to the White Paper, should be given particular priority, such as various forms of waterway transportation.

Significant contribution given by the projects

Secondly, the relation between the 293 projects and the 12 White Paper policy areas were analysed, assuming that if a given project supports one or more of the policy areas it supports EU's policy on sustainable mobility. It was found that a clear majority (more than 65%) of the projects either provide a significant or a very significant contribution to sustainable mobility⁶, cf. the table below, and the evaluation thus confirms the overall effectiveness of the programme.

⁶ According to the scoring system developed in the context of the evaluation for the review of projects, a project provides a 'very significant' contribution to sustainable mobility if the project clearly can be argued to support the global, the intermediate and the operational definitions of sustainable mobility, and it does not contradict with other elements of the sustainable mobility policy.

Assessment of effectiveness of project portfolio

Level of contribution	Number of projects	In % of total
Very significant contribution to sustainable mobility	141	48.1%
Significant contribution to sustainable mobility	54	18.5%
Some contribution to sustainable mobility	54	18.5%
Less contribution to sustainable mobility	43	14.8%
<i>Total</i>	<i>293</i>	<i>100%</i>

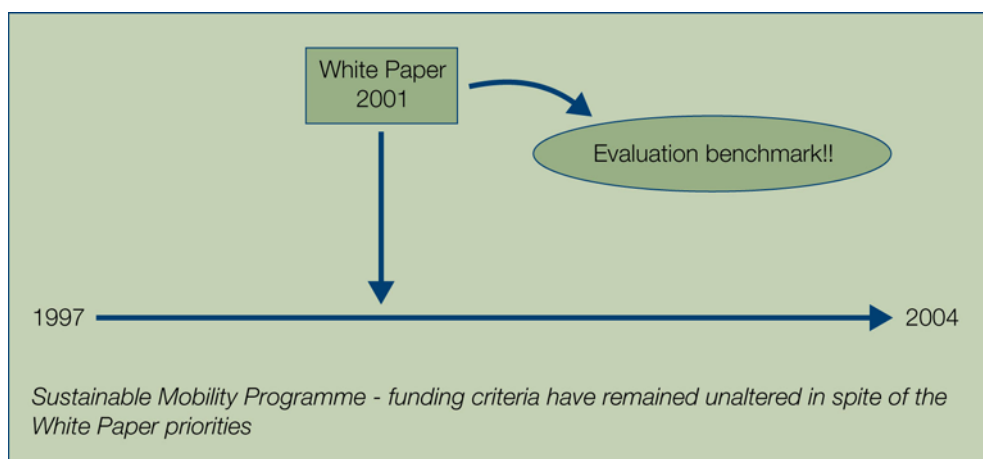
A budget line more than a 'programme'

Thirdly, although for the purpose of this evaluation it has been called Sustainable Mobility *Programme*, the programmatic aspect is missing. The programme has not had - and has not been intended to have - a clear strategic perspective with strict criteria for funding. Instead, as the name of the budget line (“Sustainable Mobility policy”) it has broader funding criteria than a programme. The budget line has made it possible to finance studies, grants and services of general importance for planning of new legislation and on-going policy-making and monitoring.

Funding criteria not adjusted in the light of White Paper

Fourthly, the funding criteria of the budget line has largely remained unaltered during the period 1997 - 2004 and they have *not* fully been defined or reviewed to specifically match the measures announced in the 2001 White Paper against which this evaluation is conducted, cf. the figure below. It illustrates the two different sets of criteria: criteria derived strictly from the White Paper and funding criteria of the budget lines called “Sustainable Mobility Policy”.

Figure 2 Evaluation benchmark and the Sustainable Mobility Programme



The funding criteria are thus broader than the EU policy on sustainable mobility as outlined in the White Paper would suggest. It means, as documented in this evaluation, that projects can be funded correctly by the programme/the budget line but nevertheless scoring low when evaluated against the definition of sustainable mobility used for this evaluation.

Specific conclusions

Conclusions on effectiveness

The analysis on effectiveness showed the following:

- 1 The Sustainable Mobility Programme has overall contributed to a satisfactory degree to sustainable mobility as a clear majority of the projects either provide a significant or a very significant contribution to sustainable mobility as defined by the White Paper.⁷
- 2 It reduces the overall effectiveness of the programme in the context of sustainable mobility that a group of primarily 'old' pre-2001 projects targeted the creation of the single air transport market. These projects were financed although they only vaguely relate to and support sustainable mobility.
- 3 The awareness of the Sustainable Mobility Programme is very limited; in fact many project holders and task managers were unaware that the funding source of 'their' projects was termed the Sustainable Mobility Programme.
- 4 The White Paper suggests actions grouped into 12 policy areas. Approximately half of all the 293 projects relates to only two policy areas: promotion of short sea shipping and the balancing of the growth in air transport with environmental protection.

Conclusions on efficiency

It is, for obvious reasons somewhat speculative to assess if there is a satisfactory ratio between input (the total programme allocation of MEUR 35.6) and output (the impact of the 293 projects on policy progress). The conclusions on efficiency are therefore tentative and they are kept in a cautious tone.

- 5 The sustainable mobility projects have at least achieved a reasonable level of efficiency. The programme might in fact have been very efficient but we lack documentation to support a stronger judgement. The conclusion that the programme has been reasonably efficient is supported by several factors, namely feedback from beneficiaries, our project reviews and our assessment of the projects' contribution to the policy developments in recent years.
- 6 The potential for more precise and cost-effective future efficiency assessment depends on the improvement of internal DG TREN reporting practices and the systematic in-house assessment of the quality of funded projects. The projects are presently only sparsely evaluated in the internal DG TREN PMS database. In its current set-up and level of user-friendliness the database appears inadequate as an instrument for a significant improvement in reporting.

⁷ This conclusion was also presented in the previous section as one of the overall conclusions but is repeated here for consistency in the answering of the evaluation questions.

Conclusions on utility

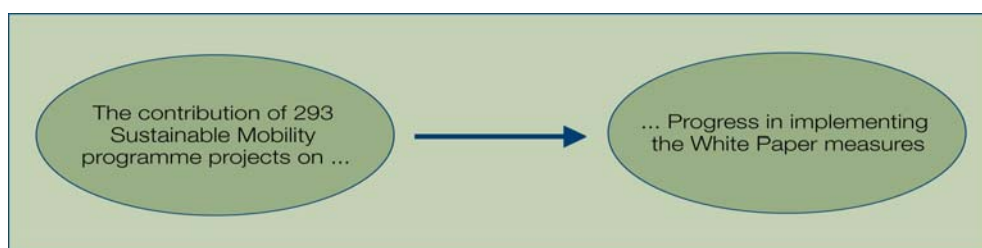
The evaluation came to one significant conclusion on utility, namely:

- 7 The utility of the Sustainable Mobility Programme is high in terms of the projects' ability to address issues which have been identified by the White Paper as essential for sustainable mobility. A significant majority of all funded projects can be argued to support one or more of the 12 policy areas of the White Paper.

Conclusions on impact

The impact of the programme has been illustrated and documented on the basis of feedback from authorities and the review of selected projects. The primary impact assessment is derived from an analysis of to what extent the projects funded by the Sustainable Mobility Programme have contributed to the general development within EU transport policy. This is made possible by the recent *'Assessment of the contribution of the TEN and other transport policy measures to the mid-term evaluation of the White Paper on the European Transport Policy for 2010'* (DG TREN, European Commission, October 2005), cf. the below figure.

Contribution of the programme to general policy development



There is one specific conclusion on impact:

- 8 The impact of the Sustainable Mobility Programme on progress in the Common Transport Policy has been most clearly in the following policy areas:

- 8.1 Revitalising the railways
- 8.2 Promotion of short sea shipping.

The least contribution has been given to the following areas: Intermodality; TEN-T, Road safety, Research and technology, and Rights and obligations of users.⁸

Conclusions on sustainability

On top of documenting that the projects have contributed to several cases of policy development, to the production of statistics, to promote various modes of transport over others, etc., we have assessed whether the positive effects will last. The conclusions are:

⁸ The number of projects financed on these areas was low.

- 9 The results and effects of the projects funded by the Sustainable Mobility Programme did not, as a general rule, disappear on termination of the projects, and sustainability is therefore high in this respect. Overall, we assess that the overall sustainability of the Sustainable Mobility Programme is satisfactory.
- 10 Many projects show a very high level of sustainability. This is clearest documented by a number of projects that have provided direct input to the legislative processes. The many projects on statistics also show a high level of sustainability.

Recommendations

In the light of the evaluations' findings, the following recommendations have been suggested for consideration in the future use of the Sustainable Mobility Programme. The recommendations are grouped according to their generality.

Strategy level recommendations

Recommendations at this level concern the overall set-up and *raison d'être* of the Sustainable Mobility Programme.

- A strategic decision should be made as to whether the Sustainable Mobility Programme should be given a new name which reflects its nature/role as a general funding source *or* the funding criteria should be updated to strictly reflect the White Paper priorities.
- As the White Paper increasingly (cf. e.g. the mid-term review) is recognised as representing the EU Common Transport policy priorities, it is recommended to update the funding criteria.
- It is recommended splitting the Sustainable Mobility Programme budget line into two budget lines:
 - a general budget line funding studies, grants and services in respect of the White Paper, in particular aimed at the preparation of new legislation, and
 - a specific budget line aimed at funding projects with a long-term and strategic perspective on the achievements of sustainable mobility. It should be a mandatory requirement that all projects funded by the specific budget line give an explicit account, in applications and in the final reports, on how the allocations have contributed towards achieving sustainable mobility.
- Realising that the evaluation has indicated that there is a general uncertainty on what constitutes 'sustainable mobility', consideration should be given to the need to clarify the meaning of the concept in an EU context.
- The awareness of the Sustainable Mobility Programme was found to be low among project holders and task managers. Raising awareness of the

programme (representing the many aspects of the 2001 White Paper) to stakeholders and the public in general, would be a way to promote the EU transport policy (assuming that the name and funding criteria are updated cf. point above).

Management level recommendations

Recommendations at this level concern the daily management of the Sustainable Mobility Programme.

- A collection of best management practices applied by the task managers in their work on coordinating and following the projects should be compiled with the aim of disseminating information to all involved EU civil servants.
- Applicants for subsidies and contractors should consistently adhere to high standards for conducting studies such as clear description of objectives and expected outputs, executive summary, methodology, reflection of the strength of conclusions, etc.
- Assessment on the quality of studies/projects should be systematically introduced in the database and should be made available to the public.
- The internal DG TREN information system on the quality of funded projects should be improved as the existing reporting in the PMS-database is done in an inconsistent manner, resulting in fragmented report monitoring. The PMS-database is inadequate and should be significantly improved or replaced with an up-dated and user-friendly database.

1 Introduction

1.1 Foreword

The present report has been prepared by COWI A/S under the existing COWI Service Framework Contract with DG TREN covering Ex Post and Mid Term Evaluations (Ref. TREN/A1/17-2003 Lot 2) and in response to the Terms of Reference for the **Ex Post Evaluation of all completed actions funded under the Sustainable Mobility Programme⁹ during the period 1997-2004.**

For the purpose of the present ex-post evaluation, the individual actions funded under this budget allocation are referred to as the 'Sustainable Mobility Programme'.

The report presents the findings of the ex post evaluation, including methodology, policy background, overview of the project portfolio and the judgements on all the evaluation questions.

Readers should note that the report presents the views of the Consultant, which remain under his responsibility and do not necessarily coincide with those of the Commission.

1.2 Aim of the evaluation

Transport policy history

Through the 1990's, the European Union moved progressively closer towards a Common Transport Policy with the overall aspiration of sustainable mobility.

In 1997, the Amsterdam Treaty made sustainable development a core objective for the EU. Consequently, in 1998, the Commission published the document 'The Common Transport Policy – Sustainable Mobility: perspectives for the future' examining the implications and possible ways of action in each transport mode for achieving that objective. Then, in 2001, the European Commission published the White Paper entitled 'European Transport Policy for 2010: Time to Decide' (henceforth 'The White Paper')¹⁰. In line with the conclusions of the European Council at Gothenburg (June 2001), which called for a sustainable

⁹ Sustainable Mobility Policy budget line B7-704 (Since 2004: 06 02 04).

¹⁰ COM (2001)0370

transport policy within the context of a broader strategy for sustainable development, the White Paper places the shifting of balance between modes of transport at the heart of the sustainable development strategy.

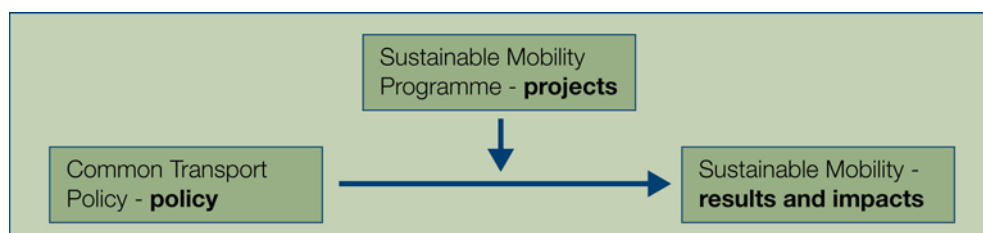
In support of the successive transformation towards a sustainable transport system, the Directorate-General for Energy and Transport (DG TREN) has, since 1997, managed a Sustainable Mobility Programme offering financial assistance to projects that contribute to the overall objective of the sustainable mobility policy. This programme is the object of the evaluation.

Over the period 1997-2004, the Budgetary Authority, i.e. European Parliament and Council, thus approved a total budget allocation of 35.6 MEUR for allowing the Commission (the Directorate-General for Energy and Transport, DG TREN) to implement a wide range of sustainable mobility policy measures.

The projects' contribution to sustainable mobility

The main objective is to evaluate how well the 293 completed projects financed from this budget line, have contributed towards the achievement of the overall objective of the Sustainable Mobility Programme cf. the illustration below.

Figure 3 Overview of evaluation logic



Evaluation themes

More specifically, the evaluation addresses six evaluation themes, one of which is an overall evaluation question. The overall evaluation question concerns *effectiveness in addressing policy goals*: To what extent do the projects funded under the Sustainable Mobility Programme contribute towards the achievement of sustainable mobility? This question concerns the relationship between the goals of the sustainable mobility policy and the funded projects. The aim of the evaluation is thus not to screen the individual projects in depth but to make an judgement on to what degree the projects, *collectively*, have supported the process of moving towards sustainable mobility.

The other five evaluation questions concern utility, sustainability, efficiency, impacts, and future recommendations. The evaluation questions are described in more detail in section 2.3.

Text box 1 Important note for the reader

This ex-post evaluation refers to expenditure covering the 1997-2004. The initial objectives of the Sustainable Mobility Programme were based on the 1992 White Paper: The future development of the CTP: a global approach to the construction of a Community framework for sustainable mobility. Although project expenditure started under the previous White Paper, a significant number of the projects 1997-2001 were aimed towards preparing the new policy approach of the 2001 White Paper. As detailed below, and for the sake of consistency in our evaluation approach, all projects will be evaluated using indicators for sustainable mobility derived from the 2001 White Paper measures.

Structure of the report

The remainder of this report provides the results of the evaluation. Chapter 2 presents the policy background for sustainable mobility and the methodology used in the evaluation. Chapter 3 provides a structured overview of the projects based on the various clustering dimensions, such as type of activity, mode of transport, and type of sector. Chapters 4 - 8 cover the evaluation theme of effectiveness, efficiency, utility, sustainability and impact, respectively. In each Chapter, the results of the evaluation are presented, followed by a discussion of factors that affects the results presented. The conclusions and recommendations are given in Chapter 9 and Chapter 10.

2 Evaluating the Sustainable Mobility Programme

Purpose of chapter

In this chapter the concept of *sustainable mobility* is presented and the evaluation methodology developed accordingly. We initially outline the context of the Sustainable Mobility Programme by introducing the policy background of sustainable mobility. In doing so, we lay the foundation for the subsequent development of the evaluation benchmark to be used. The chapter also covers other methodological issues such as data sources and the evaluation process. Findings and information from this chapter form part of the basis for the subsequent evaluation.

2.1 EU and sustainable mobility

2.1.1 Sustainability

Our Common Future

The concept of sustainable development first appeared in the first World Conservation Strategy published by the World Conservation Union (IUCN) in 1980. However, it only entered the vocabulary of policy planners and decision-makers following the publication of *Our Common Future*, the report issued by the World Commission on Environment and Development in 1987 in which sustainability was described as "development that meet the needs of the present without compromising the ability of future generations to meet their own needs". The report departed from the earlier conflict between development and conservation when arguing that the concept of sustainable development provides a framework for the integration of environmental policies and development strategies thus breaking the perception that environmental protection can only be achieved at the expense of economic development.

The 1992 Earth Summit in Rio ensured that Sustainable Development became a goal for Governments around the world on signing the Agenda for the 21st century. The Summit reflected the growing spirit of cooperation that had sprung up in tackling environmental issues and the increasing focus on the sustainability discourse on "participation".

A new understanding of sustainability

By the late 1990s, three noticeable shifts could be observed in the definition of sustainable development. The first was the increased focus on social issues; a tendency that was also reflected in the EU approach to sustainability (see below). The other important change was the demand for the simultaneous

achievement of economic, social and environmental objectives. A win-win approach was increasingly advocated in which all three dimensions are comprehensively integrated and trade-offs are avoided to the extent possible. Also, this tendency is clearly reflected in the EU approach to sustainability. The third change was the increased focus on procedural aspects: requests as to how policies shall be prepared and decided upon. Typical procedural requirements are making trade-offs transparent, presenting alternative solution, encouragement of public participation and the use of impact assessment tools.

In sum, the history of the sustainable development concept can be condensed into the following points:

- There is no single authoritative definition.
- Despite the lack of a universally agreed definition, there are some clear trends in the way the concept has evolved over the years. Initially, sustainability referred primarily to the ecological and environmental dimension. Over the years, the economic and social dimensions have become an integrated part of the sustainability argument. Furthermore, there has been a shift towards the inclusion of processes and procedural aspects.
- In terms of substance, sustainable development now includes the three dimensions, and the relations between them are recognised as important:
 - Win-win solutions are advocated to the extent possible
 - It is also recognised that the three dimensions may conflict internally
 - There are seldom clear criteria that can guide the trade-off process between the three competing concerns
 - Although one still finds references to the issue of inter-generational fairness the issue is at present seldom elaborated on in depth.

2.1.2 EU and sustainability

The Maastricht and Amsterdam Treaties

The EU made its official commitment to sustainable development in 1992 as part of the Maastricht Treaty. The Treaty stated that environmental principles were to be applied to policy areas, and adopted "*sustainable and non-inflationary growth respecting the environment*" as a key component of the EU; hence thereby creating the first basis for sustainable mobility. The Amsterdam Treaty, 1997, made sustainable development a core objective for the EU by promoting:

“economic and social progress and a high level of employment ... to achieve balanced and sustainable development, in particular through ... the strengthening of economic and social cohesion” (Article 2).

Article 6 of the Amsterdam Treaty states that:

“Environmental protection requirements must be integrated into the definition and implementation of community policies and activities referred to in article 3 in particular with a view to promoting sustainable development.”

It also advocates requirements on how to protect the environment that must be incorporated into definitions and implementation of EU policies. Yet, there has been a noticeable shift in the implicit interpretation of sustainability because social and economic considerations have become more prominent. Sustainability was no longer seen as primarily an environmental concept.

Cardiff Process,
1998

In order to implement the above-mentioned Article 6 of the EC Treaty, the Cardiff European Council meeting in 1998 decided to intensify the integration of the environment and sustainable development into the policy sectors of transport, energy, agriculture, industry, internal market, development, fisheries and general affairs. Transport, energy and agriculture were chosen as the most relevant policy areas with which to start this process. It considered integration of environmental concerns into Commission decision-making as a key instrument of sustainability in Europe. Hence, the Cardiff Process provided the direct basis and momentum for a much more focused effort on the notion of sustainable mobility.

Lisbon Process, 2000

The Lisbon European Council meeting in 2000 continued the process set forth in Cardiff. The working title of the Lisbon Process is "Employment, Economic Reforms and Social Cohesion: Towards a Europe Based on Information and Knowledge". At the Lisbon meeting, the EU embarked on its strategy to make Europe:

".. the most competitive and dynamic knowledge-based economy in the world capable of sustainable economic growth with more and better jobs and greater social cohesion" (European Council, 2000).

Following the Lisbon meeting, clear strategies were developed for economic and social policy development and social inclusion, but the environmental strategy was to come later.

Gothenburg Council,
2001

At the European Council meeting in Gothenburg 2001 the EU was ready, at the highest level of political commitment, to present an elaborated understanding on sustainability. It was here that Europe's Sustainability Strategy was agreed upon, based upon proposals made in the Commission Communication "A Sustainable Europe for a Better World" (2001). It became the third area of policy coordination by adding an environmental dimension to the Lisbon Process on Economic reform. It was decided that:

"the economic, social and environmental effects of all policies should be examined in a co-ordinated way and taken into account in decision-making" (European Council, 2001).

The definition of sustainable development within the EU's Sustainability Strategy had strong social criteria, with a vision of 'society that is more prosperous and more just, and which promises a cleaner, safer, healthier environment - a society which delivers a better quality of life'. The reference to

the environment stated aims of 'a healthier environment' and 'respecting the environment'.

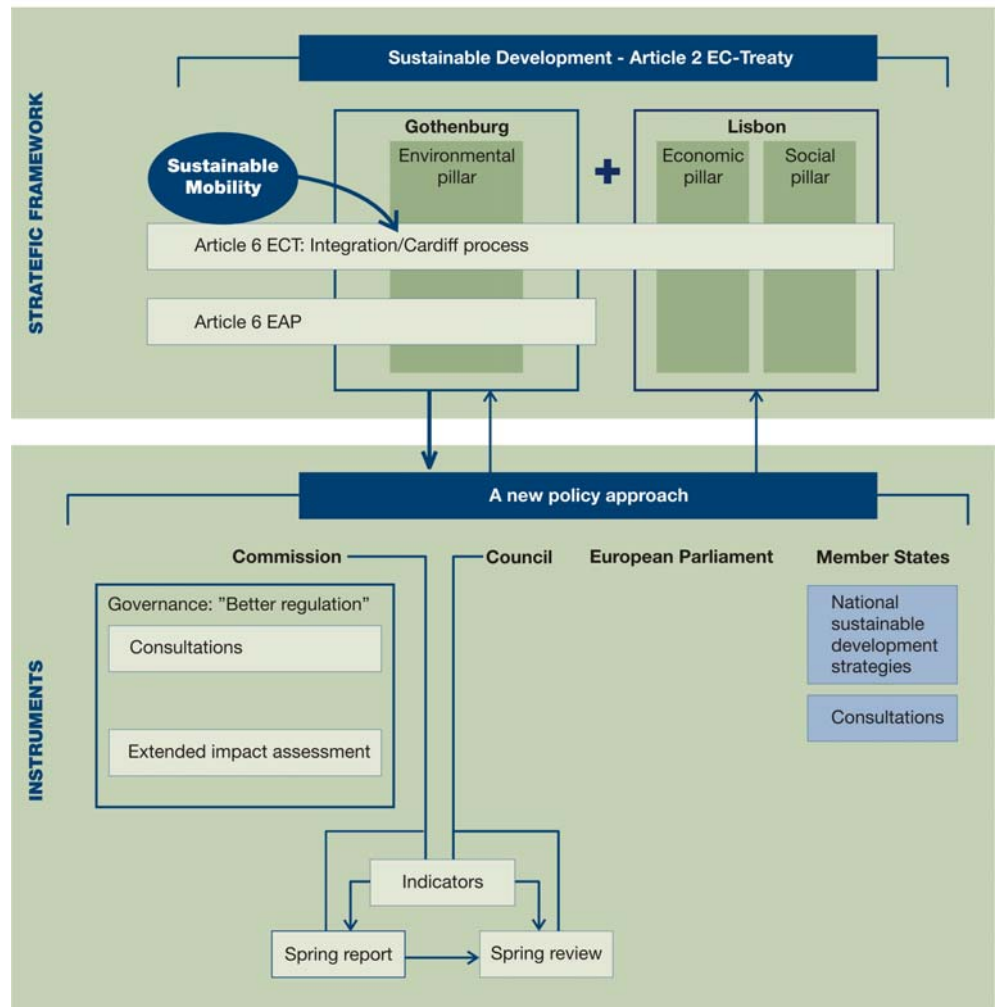
Communications on Impact Assessment

In 2002, the Commission launched a Communication on Impact Assessment as an answer to the request from the Gothenburg Council to examine the social, environmental, and economic effects of all policies. It explained how a new integrated method of impact assessment would be implemented in the Commission. The new impact assessment method would be used to integrate all sectoral analyses including, for instance, the environment, employment and trade to increase transparency, communication and information on the Commission's proposals. The Impact Assessment methodology was refined in 2005 by a Communication on Extended Impact Assessment (COM(2005) 229 final).

The figure below provides an overview of EU and sustainability. It shows that the momentum behind sustainable mobility is, in particular, generated via the Cardiff Process, 1998.

Figure 4 EU and sustainability - and sustainable mobility

The European set-up of sustainable development



2.1.3 Sustainable mobility¹¹

Towards a Common Transport Policy

Transport was identified in the Treaty of Rome (1957) as one of the areas requiring development of a common policy. But substantial progress was first made between 1986 and 1992 towards the establishment of a single market in each of the main transport modes, laying the foundation of a Common Transport Policy. Under the Maastricht Treaty (1992), the Commission gained new powers regarding transport safety and transport infrastructure. Moreover, the Treaty contained three articles providing for the development and financing of trans-European networks.

In late 1992, soon after the adoption of the Amsterdam Treaty, the Commission published a White Paper entitled 'The Future Development of the Common Transport Policy: A global approach to the construction of a community framework for sustainable mobility'. In 1995, the Commission adopted 'The Common Transport Policy Action Programme' for the period between 1995 and 2000.

In 1997, the Amsterdam Treaty made sustainable development a core objective for the EU. Consequently, in 1998, the Commission published the document 'The Common Transport Policy – Sustainable Mobility: perspectives for the future' examining the implications and possible ways of action in each transport mode for achieving that objective.

In 1998, the Commission published the document 'The Common Transport Policy - Sustainable Mobility: Perspectives for the Future'. It noted the progress and concluded that the Common Transport Policy is a developing dynamic instrument even where the interests of different groups can pull in different directions.

2001: The launch of the White Paper

Then in 2001, the Commission published the White Paper 'European Transport Policy for 2010: Time to Decide'. It is the most recent, most comprehensive and therefore the most important policy document to consider when developing a benchmark for this evaluation.

In the White Paper, it is said that the global objective of the Common Transport Policy is to break the link between transport growth and economic growth, i.e. to reconcile economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport.

¹¹ The description in this section borrows significantly from the 'Ex-post evaluation of specific interventions funded under the Sustainable Mobility Policy', DG TREN, 2004, in particular Annex B of the report.

Text box 2 The global objective of sustainable mobility, cf. the White Paper

To reconcile economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport.

A core element in the new approach to the Common Transport Policy, as confirmed by the Gothenburg Council (2001), is to generate a shift in the balance between modes of transport. This shift should be accomplished by various means, including an infrastructure investment policy in favour of railways, inland waterways, short sea shipping and intermodal operations. Following the Gothenburg European Council's conclusions, the White Paper places the shifting of balance between modes of transport as the intermediate working objective of sustainable mobility.

Text box 3 The intermediate working objectives of sustainable mobility, cf. the White Paper

To generate a shift in the balance between modes of transport in favour of railways, inland waterways, short sea shipping and intermodal operations.

At the operational level, the White Paper contains 60 policy measures relating to 12 different policy areas plus additional horizontal measures, resulting in a total of 76 measures. When implemented, these measures will contribute significantly to the achievement of sustainable mobility however, it must also be recognised that the White Paper is only the first step towards sustainable mobility.

The procedural element is clearly signalled in the White Paper as it is said (p. 23) that 'sustainable transport system needs to be defined in operational terms in order to give the policymakers useful information to go on'.

Text box 4 The operational objectives of sustainable mobility, cf. the White Paper

The operational objectives of sustainable mobility consists in the pursue of 12 policy areas:

1. To improve quality in the road transport sector.
2. To revitalise the railways.
3. To strike a balance between growth in air transport and the environment.
4. To promote short sea shipping and inland waterway transport.
5. To turn intermodality into reality.
6. To continue the building of the trans-European transport.
7. To improve road safety.
8. To adopt a policy on effective charging for transport.
9. To put research and technology at the service of clean and efficient transport.
10. To recognise the rights and obligations of users.
11. To develop high quality urban transport.
12. To manage the effects of globalisation.

2.2 Measuring sustainable mobility

A benchmark derived from the White Paper

In order to reach clear conclusions on the effectiveness of the Sustainability Mobility Programme across approximately 293 projects, a clear yardstick by which to judge whether the projects have contributed to sustainable mobility is required. The methodological choice for conducting the evaluation has been to use the action programme of the 2001 White Paper (adopted in September 2001) as the benchmark. The reason is that the White Paper offers the most up-to-date objectives for sustainable mobility in the context of the EU Common Transport Policy. The setback is that the assessment of the contribution of some actions decided in the 1997-2001 period may be penalised in respect of the policy priorities at that time. However, it was judged that the ex-post evaluation should focus on the progress reached in terms of the more recent policy priorities.

Three level definition

Sustainable mobility is, for this evaluation and in strict accordance with the White Paper, defined as follows:

Sustainable mobility is an attempt to reconcile economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport (global objective).

The intermediate working objective is to generate a shift in the balance between modes of transport in favour of railways, inland waterways, short sea shipping and intermodal operations (intermediate working objective).

The development towards sustainable mobility takes place at the operational level via policy initiatives which correspond to the 12 policy areas of the White Paper (operational objective).

Indicators based on the White Paper

The indicators used for this evaluation are based on the action programme of the White Paper. The White Paper's Annex 1 contains 60 broad measures and 16 other measures have been recommended in the context of the White Paper¹². These 'measures', as they are termed in the context of the White Paper, are used as indicators for this evaluation. An overview of the indicators is presented in Appendix 1.

2.3 Evaluation themes

The following six evaluation themes are addressed, as defined in the EU Evaluation Manual:

- *Effectiveness* addresses whether or not the objectives set are achieved. It is a measure of the extent to which a project or a programme has attained its

¹² Cf. Draft Final Report *Identification of Indicators to assess the Implementation of the White Paper on European Transport Policy* (September 2004), European Commission, Directorate General Energy and Transport.

objectives. In this evaluation we are particularly interested in evaluating whether the objective of sustainable mobility has been achieved ('programme effectiveness') and our second interest is in analysing whether the individual projects have achieved their specific purposes ('project effectiveness'). See Chapter 0 for description of measurement of effectiveness in this evaluation.

- *Efficiency* is a measure of how economically inputs (funds, expertise, time, etc.) are converted to outputs. See Chapter 5 for description of measurement of efficiency in this evaluation.
- *Utility* is a measure of the extent to which effects corresponds with the needs, problems and issues to be addressed. In this evaluation utility is first and foremost measured against the programme needs of sustainable mobility, i.e. if the projects address needs and problems identified within the context of the White Paper. See Chapter 6 for description of measurement of effectiveness in this evaluation.
- *Sustainability* is a measure of the extent to which positive effects are likely to last after the projects were terminated. See Chapter 8 for description of measurement of effectiveness in this evaluation.
- *Impact* is a measure of the effects of the projects beyond the planned specific goals. Impacts can be positive or negative and foreseen and unforeseen. See Chapter 7 for description of measurement of effectiveness in this evaluation.

The final evaluation theme is *recommendation*; i.e. the forwarding of proposals for changes and prosperities etc. in the light of the evaluation results.

2.4 Sustainable Mobility Programme

The Sustainable Mobility Programme is managed by DG TREN and offers financial assistance to projects that contribute to the overall objective of the sustainable mobility policy. From 1997 to 2004, 293 projects have been financed and completed under the programme, forming the scope of this evaluation.

2.4.1 Guidelines

The guidelines for the funding of sustainable mobility projects over the period 1997-2004 are defined in the following three documents:

For the period 1997-2000

For the period 1997-2000, the priority areas for funding are defined in the CTP action Programme 1995-2000: an action programme towards sustainable mobility in Europe (COM/95/302/ final). This rolling action programme was built upon the debate generated by the 1992 White Paper on 'The Future Development of the Common Transport Policy' that suggested a global approach to ensure both the effective functioning of the Community's transport systems and

the protection of the environment establishing the framework for the concept of sustainable mobility.

This action programme consisted of both policies and initiatives in the three fundamental areas of the CTP articulated towards concrete actions to:

- Improve the *quality of the European Transport systems* through initiatives aiming at:
 - system development : integration, interconnection and interoperability of environmental friendly and energy saving modes of transport, new technologies and applications, better traffic management, attractive public transport, protecting transport users
 - increased consideration of environmental impacts in future transport policy and infrastructure planning and externalities
 - improving safety and accessibility to all transport users
- Improve the *functioning of the single market* in order to promote efficiency, choice and a user-friendly provision of transport services while safeguarding social standards. This covers legislative initiatives and issuing of guidelines on e.g. liberalisation and condition of access to transport sectors, enforcement of regulations, guidelines on state aid to transport sector, convergence of charging regimes, lifting of bottlenecks, working and living conditions of transport workers.
- Broaden the *external dimension* by improving transport links with third countries and fostering the access of EU operators to other transport markets

For the period 2000-2004

The above action plan was revisited in 1998 when the Commission published 'The Common Transport Policy - Sustainable Mobility: Perspectives for the Future' based on the achievements on the actions realised in 1995-1998. This communication reconfirmed the importance of the 3 main objectives of the 1995 Action Programme and reformulated its objectives and priority action area for the period 1998-2000 and set the frame for the period 2000-2004.

The main themes considered for EU actions are:

- Improvement of *efficiency and competitiveness* relating to:
 - market access and functioning with priority to rail and port sector
 - integration of transport systems;: revision of TEN-T guidelines, promotion of PPP, GNSS, Interoperability of rail systems
 - fair and efficient pricing in transport
 - economic and social cohesion (improve and harmonise working conditions)
 - enforcement on community legislation in transport (state aid)

- *Improve quality*: as in the 1995 action plan, it relates to targeted action needed to respond to the needs of citizens and ensure that transport systems are safe, environmentally and consumer friendly and quality driven.
- *Improve external effectiveness*: enlargement negotiations with candidate countries on transport acquis, negotiations with China, USA, and India on maritime and aviation issues mainly.

For the period 2001-ongoing

The latest main document is the 2001 White Paper that has been described at large here-above.

2.4.2 Budget lines

Budget line for the period 1997-2003

The Sustainable Mobility Programme was financed from 1997 to 2003 through a specific budget line from the general Commission Budget (B2-704). This budget line was one of the six lines of the European Union budget dedicated to transport in 2003.¹³ The budgetary means allocated to the implementation and development of the CTP (B2-704) are presented below.

Table 3 Budgetary means, budget line B2-704 (million Euro)

1997	1998	1999	2000	2001	2002	2003
4.9	7.7	7.7	5.6	8	10	9

Source: DG Budget

The exact title of the budget line B7-704 (and since 2004: 06 02 04) is 'Sustainable Mobility Policy'.¹⁴

Budget line since 2004

Since 2004, and following the change in the budget structure introducing the ABB (Activity Based Budgeting) system, this "Sustainable Mobility" budget line B2-704 changed code to 06 02 04 and is a sub-chapter of Inland, Air and Maritime transport under Title 06 Transport and Energy. Furthermore the budget line has been split into two:

- 06 02 04 01 Internal market and optimisation of transport systems¹⁵;
- 06 02 04 02 Passenger rights

¹³ The other budget lines were: B2-700: European Aviation Safety Agency; B2-701: European Maritime Safety Agency; B2-702: Transport Safety; B2-706: Action programme to promote the combined transport of goods; and B2-707: Marco Polo programme.

¹⁴ In this evaluation it was decided to use the word *Programme* in order to cope with the titling on the framework contract used to undertake the present evaluation.

¹⁵ The internal market is a specific objective of this budget line even if it is not for the White Paper

Table 4 *Budgetary means, budget Chapter 06 02 04 (million Euro)*

2004	2005	2006
8.6	11.6	9.3

Source: 2006 Commission General Budget

The programme represents 1% of total DG TREN appropriations

The budgetary means allocated and spent under the Sustainable Mobility budget line are quite modest compared to the total budgetary appropriation available to DG TREN (formally DG Transport). The table below compares the total yearly appropriations of DG TREN with the resources of the Sustainable Mobility Budget line from 2000 to 2006. It should be noted that the figures for 2000 till 2003 aggregate the appropriations of B2-7 Transport, B4-1 & 2 Energy and B5-7 TEN.

Table 5 *Sustainable Mobility Programme compared to DG TREN budget*

Years	Total DG TREN appropriation	Sustainable Mobility Programme	In % of total
2006	1459 MEUR	9.25 MEUR	0.6%
2005	1413.5 MEUR	11.6 MEUR	0.8%
2004	1346.5 MEUR	8.6 MEUR	0.6%
2003	807.4 MEUR	9 MEUR	1.1%
2002	754.2 MEUR	10 MEUR	1.3%
2001	728.9 MEUR	8 MEUR	1.1%

The table shows that the sustainable mobility budget represents about merely about 1% of total DG TREN appropriations over the last financial period.

The eligibility criteria for budget line B2-704

The budget of the European Union contains several sets of comments specific to each budget line. They are meant to provide guidance and explanatory indicators on the use of the funds available under the specific budget lines.

The budget line is intended to cover expenditure on the gathering, collecting and processing of all kinds of information necessary to the elaboration and development of the Community's common transport policy, including its extension to third countries, technical assistance, specific training measures and promotion of the common transport policy, including the establishment and implementation of the guidelines for the trans-European transport network referred to in the Treaty.

The eligible measures to be funded are listed in the text box below.

Text box 5 Eligible criteria - budget line B2-704

Specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market, including extension thereof beyond the Community, with particular attention being paid to the removal of cross-border bottlenecks in areas in which natural barriers hamper the free movement of goods and persons,

Preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods

Expenditure on training, assistance and support for the national administrations in the new Member States after accession in order to allow transposition and application of the Community rules,

Observation of the market for the carriage of goods and passengers in all modes, including improved collection of statistics by Member States,

Preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes,

Alignment and integration of the master plans for each mode of transport,

Design and development of a 'citizens' network, bringing together the services provided by different modes of transport, in particular public transport,

Development of a fair and efficient pricing policy for transport, including road-user taxes,

Increasing use of data transmission in connection with transport infrastructure, particularly in relation to management of air and rail traffic, shipping and road traffic,

Development and promotion of intermodal transport and logistics,

Promotion of Community approaches in international forums,

Analysis of environmental and socioeconomic impact of transport networks envisaged,

Promotion of transport systems and legislation for people with reduced mobility,

Analyses needed to identify and develop projects of common interest for the trans-European transport network,

Promotion of sustainable mobility in the Community and of effective cooperation between the different transport modes,

Consistency between the Community's trans-European networks and the networks of the European Free Trade Association countries, the candidate countries and the member countries of the pan-European partnership for the transport networks,

Awareness-raising activities to promote the global approach advocated by the Community and publicise the trans-European networks in the Community and in Europe,

Standardisation mandates issued to European standardisation bodies or bodies in all sectors of transport and development of technical specifications for railway interoperability.

Analysis of the economic viability of intelligent transport systems (ITS) applications and intermodal applications to evaluate the impact on the environment and on safety, including the demands of logistics centres,

Development of the Single European sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport.

The eligibility criteria for budget line 06 02 04

The budget line is sub categorised into headings covering:

Item 06 02 04 01 — *Internal market and optimisation of transport systems* which cover expenditure incurred by the Commission for collecting and proc-

essing all kinds of information needed for the analysis, definition, promotion, monitoring, evaluation and implementation of the Community's common transport policy, including its extension to third countries, technical assistance, specific training and promotion of the common transport policy, including the establishment and implementation of the guidelines for the trans-European transport network referred to in the Treaty.

The eligible measures to be funded are the same as for B2-704.

Item 06 02 04 02 — *Passenger rights* intended to cover expenditure incurred by the Commission for collecting and processing information of all kinds needed for the analysis, definition, promotion, monitoring, evaluation and implementation of the Community's common transport policy, in order to reinforce passengers' rights and give passengers greater protection. The eligible measures to be funded are listed in the text box below.

Text box 6 Eligible criteria - budget line 06 02 04

Preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers,

Observation of the market for the carriage of goods and passengers in all modes, including improved collection of statistics by Member States,

Preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes,

Alignment and integration of the master-plans for each mode of transport,

Design and development of a 'citizens' network,, bringing together the services provided by different modes of transport, in particular public transport,

Development of a fair and efficient pricing policy for transport, including road-user taxes,

Collection and publication of information on the quality of transport services,

Action to support representation of passengers' interests,

Promotion of transport systems and legislation for people with reduced mobility,

Analyses needed to identify and develop projects of common interest for the trans-European transport network

Discussion of eligibility criteria against evaluation benchmark

The above-mentioned eligibility main criteria for funding action under the sustainable mobility programmes have largely been the same during the period 1997-2004. However, these eligible items have *not* been defined or reviewed to specifically match the measures announced in the 2001 White Paper against which this evaluation is conducted, unless for allocations of grants where - as noted above - consistency with White Paper objectives are required as from 2003 calls.

One could argue that this could lead to an inconsistency in the evaluation approach developed above as the ex-post evaluation of the programme relies on a benchmark that is not consistent with the funding criteria according to which the projects were funded. However, the White Paper measures have been elabo-

rated on taking into account the results and achievements of the previous action plans and some of the measures clearly related to or refined by previously defined measures. So while there might be some difference in the definition and the scope of the 2001 White Paper measures and eligibility criteria for funding, there is convergence and coherence in some of the main concepts and objectives pursued.

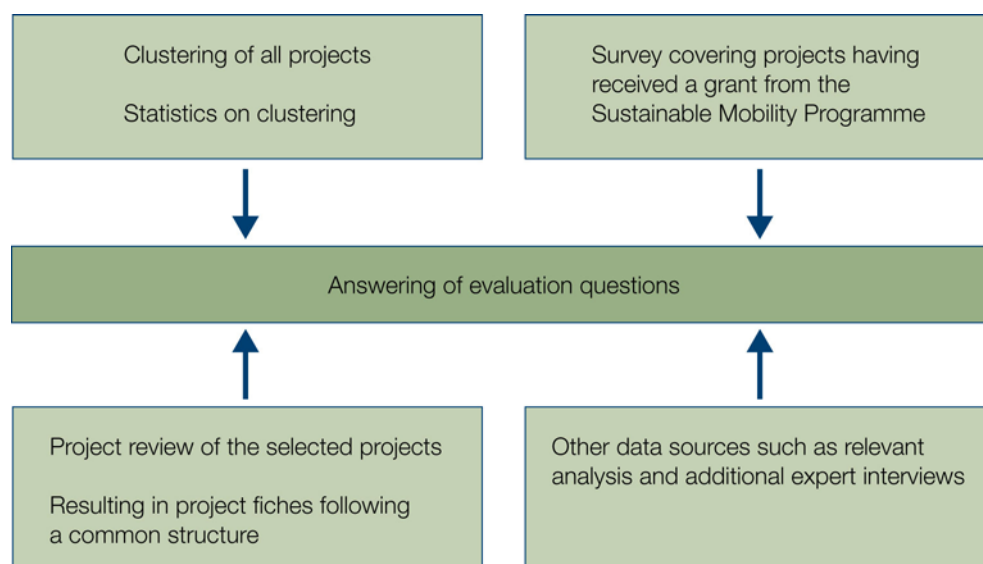
In addition, although the ex-post evaluation collects evidences from individual project review, it is not evaluating projects in details but providing a judgement whether the whole set of projects are assisting the process towards sustainable mobility.

In summing up, it is important to recognise that projects may have been launched in full accordance with the above listed eligibility criteria, but nevertheless in this evaluation the projects may not be given a high score on effectiveness, because the evaluation benchmark used is derived strictly from the 2001 White Paper. Throughout the report, any discrepancy between eligible criteria and the evaluation benchmark will be emphasized.

2.5 Data sources

Providing answers to the evaluation questions rely on four principal data sources, as illustrated in the figure below.

Figure 5 Sources of information contributing to the analysis



Complementary data sources

The four data sources are complementary in that they all address the projects but in different ways (qualitative - quantitative). It is also interesting to note to what extent the results from different data sources actually 'point in the same direction' (data triangulation). It is obvious that results are more reliable if different data sources reach the same conclusions.

An issue of generalisation

Conclusions and recommendations have been drawn up keeping in mind the composition of the entire project portfolio, thus conducting the generalisation in a reflective manner. Specifically, the following should be noted:

- 27 projects were selected for project review. They represent approximately 10% of the projects supported under the Sustainable Mobility programme. The projects were carefully selected based on criteria (See Section 2.5.3 below) that ensure their generality.
- 111 projects funded via grants were included into the survey. They represent more than 33% of the 293 projects financed. A significant amount of these projects were classified as preparatory actions (75%) referring to collection of statistics in the maritime and road sectors.
- 293 projects (the entire project portfolio) were analysed in the clustering exercise classifying each project according to nature, sector, mode and activity, being both the basis for the above selection of projects for further review and to validate the outcome of the survey and the reviews.

2.5.1 Clustering and statistics

An important overview of the projects

A basic source of information is the project portfolio itself, i.e. information on timing, size, types, sectors, etc. The project portfolio is constructed along different dimensions ('clusters') thereby providing a first basic overview of the projects. It is obvious that the clustering process, and the corresponding statistical analysis, to a limited degree, provides input to the answering of the evaluation questions but it nonetheless gives an important overview of the projects.

2.5.2 Survey

Covering receivers of a grant

A questionnaire (attached as Appendix 5) was submitted mid December 2005 to approximately 111 authorities and organisations which received a grant under the Sustainable Mobility Programme during the period 1997-2004. The questionnaire consists of 20 questions, mainly closed questions with 3-5 answer categories, but there are also some open questions.

We received 80 responses (response rate above 70%) resulting in 49 completed questionnaires. Overall the response rate is higher than expected as project owners' incentives to participate is low, as some grants were disbursed almost 10 years ago and as the contact details of grant holders were limited.

The respondents who did not complete the questionnaires indicated various reasons, such as: the responsible person was not available due change of job, retirement, lost contact, death, and change of address. In some other cases, the organisations contacted could not recall that they had benefited from an EU grant or that they had participated to any action linked to sustainable mobility, thus questioning the accuracy of the contractual information provided from the

PMS-database. In a few cases, the respondent remembered bitterly that the action was stalled and that they had to return the grant to the Commission.

2.5.3 Project reviews

Criteria for selecting projects

The process of selecting projects for further review was based on the clustering¹⁶ of assignments in order to identify a portfolio of projects being representative of the Sustainable Mobility programme. More specifically the selection of the projects was done on the basis of three criteria:

The projects were selected to represent the main type of sectors, to reflect the relative number of different projects, and furthermore, the projects were selected so as to contain a variety of projects in terms of budget size and timing. For an overview of the project, we refer to the table below.

Table 6 Breakdown of projects according to sector and type of service

Type of sector	No. of projects	Type of Service
Intermodality	2	1 grant and 1 study
Infrastructure, Interoperability & pricing	5	2 grants, 3 studies
Single transport market	15	2 grants, 3 services, 10 studies
Public transport	2	1 grant, 1 study
Preparatory actions	2	1 grant, 1 study
Galileo	1	1 service

Despite a large number of projects classified as "preparatory actions", only a few projects were selected for project review, due to their similar nature being instrumental and having indirect impact in their contribution to Sustainable Mobility. Projects classified as "preparatory actions" covers collection of data/statistics, conferences, training and promotional activities.

Only one assignment within the category Galileo was selected for project review, reflecting both the relatively few assignments classified under this heading and again the indirect impact of these activities in relation to Sustainable Mobility.

The selected list of projects represents an EC contribution of 6.9 Million Euro (total project value of 8.9 Million Euro due to co-financing of grants) or approximately 19% of the total programme expenditure during the period 1997-2004.

The projects were reviewed in three steps, cf. description below.

¹⁶ . For more information on clustering of projects please refer to Chapter 3.

Step 1 - initial review

The initial review was performed on the basis of the project TOR, calls for proposals, contracts and the work packages (above all the final reports) and reported in separate project fiches. They provide an overview of the project content, outputs and formalities and they also present information and assessments relating to the six evaluation questions. The project team was guided by a pre-defined scoring system (Appendix 4). For further information about the initial review please see the text box below.

Text box 7 Methodology for undertaking initial project reviews

To assess 'effectiveness'

1. Assess how the project in question supports the global and intermediate working objectives of the sustainability mobility policy?
2. Identify which of the 12 policy areas and corresponding indicators a given project supports.
3. Assess whether a project's objective contradicts with certain policy areas.
4. Based on the above, the reviewer will assess to what extent the project, all in all, supports sustainable mobility as defined for this evaluation, using the following scores: 'Very significant degree', 'Significant degree', 'Some degree', 'Lesser degree'.

To assess efficiency, utility, sustainability and impact

- Assessment based on scoring system

Step 2 - interviews with task managers

Interviews were subsequently conducted with the EU Commission Task Managers to ensure a correct understanding of the projects and to compile additional information, if necessary, for the formulation of a final assessment. Task Managers possess first-hand knowledge of the projects selected for assessment, due to their involvement in monitoring project activities and their knowledge on the use made of project outputs. They are therefore owners of information important to the evaluation. Interviews were carried out either face to face or by phone and only after having prepared and submitted the initial review to the task manager in question.

These interviews included topics such as validation of the background and genesis of the project, history of the project, its management, obstacles and solutions adopted, effectiveness in relation to the project objectives and programme objectives, impact of the project under the relevant areas, etc.

Step 3 - final review

On the basis of the document review and interview with task manager a final review was concluded.

2.6 Conclusions

- 1 Sustainable mobility has become the overall aspiration of the Common Transport Policy of the European Union following the 1998 Cardiff European Council decision to integrate transport planning and development with sustainable development. This has also been demonstrated by the 2001 White Paper 'European transport policy for 2010: Time to decide'.
- 2 There is no unambiguous definition of sustainable mobility within EU transport policy. It is a concept which, *in its broadest sense*, captures activities and regulations aimed at reconciling economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport.
- 3 For the purpose of this evaluation, *sustainable mobility is defined at three levels: Global, intermediate and operational level*. The definitions are taken from the above-mentioned White Paper.
- 4 The evaluation shall show how well the projects have contributed to the achievement of the overall objective of the sustainable mobility programme. The aim of the evaluation is thus not to screen all individual projects in depth but to *make a judgement on to what degree the approximately 293 projects collectively have supported the process of moving towards sustainable mobility* as described in the White Paper. More specifically, the evaluation addresses six evaluation questions with particular weight given to 'effectiveness'.
- 5 The Sustainable Mobility Programme has been financed via two different budget lines with relatively similar eligibility criteria regarding funding. However, these eligibility criteria have *not* systematically been defined or reviewed to specifically match the measures announced in the 2001 White Paper against which this evaluation has been conducted. As a consequence, there may be projects that have been launched in full accordance with the eligible criteria but in this evaluation will not be given a high score on effectiveness because we are using an evaluation benchmark is derived from the 2001 White Paper.
- 6 The evaluation will utilise four different data sources, namely a) review and clustering of the project portfolio, b) a survey covering all grants, c) qualitative project review of 27 selected projects, and d) other relevant sources such as other studies on the White Paper.

3 An overview of the project portfolio

Purpose of chapter

The purpose of this chapter is to provide a basic overview of the 293 completed¹⁷ projects which were supported between 1997 and 2004 under the Sustainable Mobility Programme. The projects are clustered according to:

- **Type of activity:** the intervention is either a Grant (co-financing), Service (purchase of data, translation, legal or audit services requested by DG TREN) or Study (mainly consultancies)
- **Mode of transport:** sea, air, road, rail, inland waterway, ports and combination of modes (including GNSS or reviews related to the Transport sector as a whole)
- **Type of sector:** Intermodal, infrastructure, interoperability and pricing, single transport market, public transport, preparatory actions and Galileo.

It should be noted that the clustering process also was used in the evaluation process to select a sample of projects for a particular review process (cf. section 2.5.3) and to the selection of projects for which a questionnaire survey is conducted (cf. section 2.5.2.)

3.1 Type of activity

Grant, study, service

The Commission implements many of its Community policies, either through public tender or by allocating grants. Each programme regulation defines the requirements for using these 2 main instruments. Public tenders have to comply with EU Regulations on public procurements and selection and award procedures to be followed vary with the nature of action to be procured (supply, service or works) and the size (financial thresholds apply).

EU grants are defined as direct financial contributions coming from EU Budget and allocated to a beneficiary in order to fund an action which aims at promoting the realisation of an objective defined in the framework of an EU policy. The grant beneficiaries are mainly private or public organisations and, in some

¹⁷ A total 361 rather heterogeneous projects had been funded during this period of which 68 are still ongoing and therefore left out of the ex post evaluation.

exceptions, individuals chosen for their capacity to implement the projects concerned. Grants are a form of complementary financing. The EU does not finance projects up to 100%¹⁸. The grants should enable a given operation to break even financially and cannot lead to a profit for their beneficiaries.

For the purpose of the analysis, in addition to the grants, two different types of public tenders are classified: study contracts and what is named "services" purchased by Commission. This is either a supply (purchase of promotion material) or a service contract (financial audit of a project) according to the Procurement directives. The table provides a breakdown according to activity.

Table 7 Breakdown according to activity

Activity	No. of projects	In % of total	Amount (million Euro)	In % of total
Grant	111	38%	11.9	34%
Service	82	28%	4.7	28%
Study	100	34%	19.0	53%
<i>Total</i>	<i>293</i>	<i>100%</i>	<i>35.6</i>	<i>100%</i>

3.2 Mode of transport

The table below provides a breakdown of the projects according to mode of transport, i.e. sea, air, road, rail, inland waterway, ports and combination of modes (including GNSS or reviews related to the Transport sector as a whole).

Table 8 Breakdown according to mode of transport

Mode	No. of projects	In % of total	Amount (million Euro)	In % of total
Air	74	25%	10.3	29%
Rail	21	7%	5.3	15%
Road	34	12%	3.0	8%
Maritime	70	24%	5	14%
Port	5	2%	0.4	1%
Inland Waterway	6	2%	1.3	4%
Comb. of modes ¹⁹	83	28%	10.2	29%
<i>Total</i>	<i>293</i>	<i>100%</i>	<i>35.6</i>	<i>100%</i>

¹⁸ Only projects taking place outside the European Union have the possibility to be financed in full.

¹⁹ Combination of modes refers to projects involving two or more of the modes of transport (road, rail, ports etc.).

The table shows that projects within the categories air, maritime and combined transport make up a significant majority of the project portfolio. It should be noted that many of the air projects relates to smaller investigations related to liberalisation and competition issues.

3.3 Type of sector

Definition of sectors	In order to ensure a consistent clustering, the sectors have been defined based on information available from DG TREN's website, in particular, the chapters on Sustainable Mobility - and publications publicly available. The following sectors were defined for the clustering exercise.
Intermodality	This cluster includes all activities relating to the interaction between different modes of transport such as, measures improving interfaces between modes, ensuring more balanced distribution of traffic modes, measures ensuring that a passenger or a consignment can use safely at each stage of the journey the form/mode of transport which is the most efficient and best suited to his purpose.
Infrastructure, interoperability & pricing	This cluster includes activities and measures related to infrastructure improvements, interconnections of transport networks and interoperability of national networks as well as better access and use to such networks including activities aiming at fair pricing and charges for use of transport infrastructure.
Single Transport Market	This cluster includes initiatives aiming to create a single transport market by easing the practical exercise of freedom of establishment and freedom to provide services throughout the Community for transport operators; ensuring or creating social safeguards; strengthening of the internal market through harmonisation, aiming to achieve a level playing field in the transport sector by harmonising national rules and standards in areas such as air traffic control, the weights and dimensions of heavy goods vehicles, train signalling systems, as well as social, environmental and safety matters; reinforcing the external dimension of the single market including initiatives in land transport, aviation, and maritime affecting the Community interest and the development of environmental and safety challenges at international level.
Public Transport	This cluster includes projects related to public transport.
Preparatory action	This cluster includes projects that are considered to be preparatory action in achieving sustainable mobility objective. This cluster includes services related to statistics and databases, promotional activities and services related to conferences and meetings.
Galileo	This cluster includes initiatives related to the preparation and development phases on the programmes and participating to Sustainable Mobility as a whole at EU level.

The table below provides a breakdown of the projects according to sector.

Table 9 Breakdown according to sector

Sector	No. of projects	In % of total	Amount (million Euro)	In % of total
Intermodality	13	4%	3.0	8%
Infrastructure, interoperability and pricing	28	10%	8.2	23%
Single Transport market	108	37%	14.1	40%
Public transport	9	3%	1.5	4%
Preparatory action	129	44%	7.4	21%
Galileo	6	2%	1.5	4%
<i>Total</i>	<i>293</i>	<i>100%</i>	<i>35.6</i>	<i>100%</i>

Observations

The following should be noted:

The majority of the projects are Single Transport Market and preparatory actions. The 129 preparatory actions can be sub-categorised as follows:

- 35 projects relate to conferences or public events
- 7 to fellowships or trainings
- 25 to promotional events or products and
- 62 to purchase or production of transport statistics or data

The Single Transport Market cluster, containing 108 projects, was, itself, divided into sub-clusters that were defined taking into account the description of measures funded by the Sustainable Mobility programme as listed in Chapter 06 02 04 of the Commission General Budget:

- 20 projects are related specifically to "single market issues": specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market, including extension thereof beyond the Community, with particular attention being paid to the removal of cross-border bottlenecks in areas in which natural barriers hamper the free movement of goods and persons,
- 7 project are related to "legislation": preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers,
- 39 projects are related to "measures ensuring fair competition": preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes,
- 20 projects relate to analysis of the environmental and socioeconomic impact of the transport networks envisaged,
- 12 projects relate to the "external dimension" of Transport policy: consistency between the Community's trans-European networks and the networks of the European Free Trade Association countries, the candidate countries

and the member countries of the pan-European partnership for the transport networks and,

- 10 projects are related to "Single European Sky or ATC": development of the Single European Sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport.

3.4 Additional information on grants

A total 111 activities were funded as EU grants under the Sustainable Mobility programme. The EC Contribution for grants amounted to 11.88 Million Euro or equal to 1/3 of the overall Sustainable Mobility budget. As grants are being awarded to co-funding projects, the overall recognised projects value of the 111 activities were 46.05 Million Euro. The EC contributed to approximately 25% of the overall project value.

During the three year period 1997-1999, 70 grants were awarded to national authorities, related to road statistics (Council Directive 1172/98) and maritime statistics (Council Directive 95/64/EC).

Grants by mode of transport

By mode of transport, maritime and road received the largest number of grants, cf. below table.

Table 10 Grants awarded by sector in number and EC Contribution (Euro)

Grants by Mode	No.	%	Amount	%
Air	7	6%	358,692	3%
Maritime	50	45%	4,074,507	34%
Port	1	1%	52,416	0%
Inland Waterway	2	2%	95,000	1%
Road	21	19%	1,512,590	13%
Rail	4	4%	1,818,200	15%
Combination of modes	26	23%	3,966,843	33%
<i>Total</i>	<i>111</i>	<i>100%</i>	<i>11,877,248</i>	<i>100%</i>

Grants by sector

The table below shows the grants by sector. A major part of the awarded grants have been categorised as 'Preparatory action' reflecting the nature of the activity as sort of preparatory action. Of the 83 preparatory action activities:

- 22 projects were related to conferences,
- 6 projects to training and scholarship,
- 38 projects were given to support statistics (mainly developed by Member States in the area of maritime and road),
- 17 projects were related to promotion of which a major part is Short Sea Shipping activities.

Table 11: Grants awarded by sector in number and EC Contribution (Euro)

Sector	No.	%	EC Contribution €	%
Intermodality	5	5%	1,304,628	11%
Infrastructure, interoperability & pricing	8	7%	3,440,126	29%
Single Transport Market	11	10%	1,117,428	9%
Public Transport	2	2%	530,922	4%
Preparatory action	83	75%	4,238,001	36%
Galileo	2	2%	1,246,143	10%
<i>Total</i>	<i>111</i>	<i>100%</i>	<i>11,877,248</i>	<i>100%</i>

The 8 activities categorised as "infrastructure, interoperability and pricing" received approximately 30% of the budget awarded to grants. However, this is due to two major projects in the field of rail systems and interoperability.

3.5 Financing

The sustainable mobility programme has allocated, in total, approximately 35.6 MEUR to the projects. A breakdown of the financing is shown in the following table with the overall distribution of projects and amounts on a yearly basis.

Table 12 Overall EC Contribution and number of projects by year

Year	No. Projects	EC Contribution - €
1997	6	1,256,472
1998	72	7,751,597
1999	79	7,424,367
2000	39	4,551,911
2001	36	6,495,506
2002	37	6,537,566
2003	15	1,179,735
2004	9	427,275
<i>Total</i>	<i>293</i>	<i>35,624,429</i>

The largest number of projects with EC Contribution was funded during the year's 1998 and 1999, followed by the years 2000 to 2002.

The table shows that the majority of the projects in fact commenced before the launch of the White Paper.

Several projects from 2003 and 2004 are not yet finalised and therefore not part of this evaluation.

3.6 Conclusions

- 1 The Sustainable Mobility Programme has funded a total of 293 ended projects during the period 1997-2004 with a total allocation of 35.6 MEUR.
- 2 The projects have been clustered on the basis of type of activity, mode of transport, and sector, cf. the matrix below.

	Grant							Service							Study							
Mode of transport/sector	Air	Rail	Road	Inland Waterway	Sea	Port	Comb. of modes	Air	Rail	Road	Inland Waterway	Sea	Port	Comb. of modes	Air	Rail	Road	Inland Waterway	Sea	Port	Comb. of modes	
Intermodality																						
Infrastructure, interoperability & pricing																						
Single transport market																						
Public transport																						
Preparatory action																						
Galileo																						

- 3 By mode of transport, projects within the categories air, maritime and combined transport make up a significant majority of the project portfolio.
- 4 By sectors, the majority of the projects are Single Transport Market and preparatory actions.

4 Effectiveness

Purpose of chapter

The purpose of this chapter is to assess effectiveness of the funded projects. Effectiveness is conventionally defined as the extent to which objectives set are achieved, and it is in this context therefore defined as the extent to which the projects have supported the objectives of the White Paper.²⁰

4.1 Results in relation to programme effectiveness

The results are generated on the basis of three data sources: Survey covering grants, project reviews and analysis of the entire project portfolio.

4.1.1 Survey results

Was 'sustainable mobility' mentioned?

As noted, a questionnaire was submitted to the authorities and organisations which received a grant under the Sustainable Mobility programme during the period 1997-2004. The project owners were asked if 'their' projects were framed with reference to sustainable mobility in order to obtain an indication of how relevant and salient the concept was perceived to be for the project formulation. The results are reported in the Table 13.

Table 13 Question: 'Was your project defined with explicit reference to sustainable mobility?'

	No. of replies	In % of total
Yes	15	31%
No	24	49%
don't know	10	20%
<i>Total</i>	49	100%

²⁰ The applied definition of effectiveness has some similarity with the evaluation theme of 'relevance' (defined as: The extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed). However, it was argued that the 293 funded projects - being funded by a sustainable mobility budget line - should be seen as activities aimed at achieving sustainable mobility, and that this evaluation should assess to what degree the projects supported this objective. Hence, it is more precise to use the term effectiveness than relevance.

It appears that less than one-third of the projects were defined with reference to sustainable mobility while apparently two-thirds of the projects did not explicitly relate to sustainable mobility. In the questionnaire, some respondents stated explicitly that their projects were only loosely related to sustainable mobility, if related at all. This observation is in accordance with what we discovered when we reviewed selected projects (see Section 4.1.2).

Those receiving grants were also asked what it meant that the project was funded by the sustainable mobility programme, cf. the table below.

Table 14 Question: 'Please reflect on the importance of the sustainable mobility programme being the funding source?'

	No. of replies	In % of total
It did not have specific consequences for our project	6	12%
It was not clear to me that the project was funded by the sustainable mobility programme	28	57%
It meant that the project was oriented towards sustainable development	13	27%
Other consequences	0	0%
Don't know	2	4%
<i>Total</i>	49	100%

The projects owners appear to have a low level of awareness of the sustainable mobility programme. It also appears that a majority of the receivers of grants were not aware that they received funding from the Sustainable Mobility Programme.

Will the projects tackle sustainable mobility issues?

The project owners were asked to assess whether the projects, according to the perception of the respondents, correspond well with the problems that sustainable mobility is trying to tackle.

Table 15 Question: 'Did the project correspond well with the problems in the transport sector that the concept of sustainable mobility is trying to tackle?'

	No of replies	In % of total
Yes	14	29%
Partly	19	39%
No	1	2%
Don't know	15	31%
<i>Total</i>	49	100%

The answers show that the projects are perceived to correspond reasonable well but not very well with the concept of sustainable mobility. Furthermore, the respondents seem uncertain in answering this question (many 'partly' and 'don't know' answers). In the light of other results, this could indicate a more fundamental uncertainty on what is meant at all by the concept of sustainable mobility. As the sustainable mobility concept was not flagged in relation to the allocation of grants, it should not come as a surprise that the respondents probably were not familiar with the concept. Examples of some of the supplementary comments given by the respondents are presented in the text box below.

Text box 8 Examples of statements on the concept of sustainable mobility

Examples of statements on 'sustainable mobility'

The respondents were asked to provide supplementary comments in addition to filling-in the questionnaire, and the troubles in interpreting the concept of sustainable mobility was mentioned by some of the respondents, cf. the examples given below.

- 'The project was very loosely related to sustainable mobility issues but I'm really not sure what is meant by sustainable mobility.'
- 'As we are unfamiliar with the concept of sustainability developed by the EU; it is difficult to express any views on whether the project supported sustainable mobility.'
- 'A good and generally accepted definition of sustainable transport has not yet been formulated.'

4.1.2 Project review results

The project review part of the evaluation provided an opportunity to analyse, in some detail, individual projects while still allowing a relatively high number of projects to be reviewed thereby allowing generalisation from the project sample to the total population of projects.

Scoring of projects

The projects were scored on the basis of a predefined scoring system. For instance, for a project to contribute 'very significantly' to sustainable mobility it should fulfil the following criteria:

- The project can clearly be argued to support the global, the intermediate and the operational definitions of sustainable mobility.
- It does not contradict other elements of the sustainable mobility policy.

On the other end of the continuum we have projects that, to a lesser degree, contribute to sustainable mobility. Such projects can be argued to support some, but not all, of the objectives, e.g. they may support the global and the operational definitions of sustainable mobility but not the intermediate working objective. The overall results are presented in the table below.

Table 16 Overall project review results - effectiveness

	No of projects	In % of total
Very significant contribution to sustainable mobility	13	48.1%
Significant contribution to sustainable mobility	5	18.5%
Some contribution to sustainable mobility	5	18.5%
Less contribution to sustainable mobility	4	14.8%
<i>Total</i>	<i>27</i>	<i>100%</i>

The table shows;

- that app. 65 percent of the projects gave a significant or a very significant contribution to the realisation of sustainable mobility,
- that app. 15 percent of the projects gave a less significant contribution to the realisation of sustainable mobility.

The results in comparison with the earlier evaluation

In 2004, DG TREN carried out an *Ex-post evaluation of specific interventions funded under the Sustainable Mobility Policy* covering 10 projects. On the effectiveness in addressing the policy goals, the earlier evaluation found that 8 out of the 10 projects were effective. The overall level of effectiveness for the entire project portfolio is therefore found to be in the same magnitude.

The high-scoring projects

Other observations

In addition to the interpretation of the overall figures, many other observations can be made. We found for instance that there is a sizable difference between the projects regarding their contribution to sustainable mobility: many projects provide a significant contribution and can clearly be argued to support the White Paper understanding of sustainable mobility while a smaller group of projects is questionable.

Concerning the high-scoring projects, the following can be noted:

- Few of them are framed with reference to the concept of sustainable mobility or the White Paper as such but they clearly target and support key elements of the policy outlined by the White Paper.
- The nature of the projects varies. For instance, some projects are promotional and awareness raising by nature and a group of high-scoring projects concern the production of knowledge to be used for legislative initiatives. Some examples are given in the text box below.

Text box 9 Examples of high-scoring projects

Safety Regulations and Standards for European Railways was a study undertaken in 2000 with the aim to providing an overview on existing safety regulations for railway operations among the Member States in order to develop a common safety approach within the EU. The project supports the objectives of sustainable mobility by contributing to the process of better safety regulation as part of a broader railway revitalising strategy, thereby showing railway transport as a safe and environmental friendly alternative to road transport. Overall, it is concluded that the project, to a *significant* degree, supports sustainable mobility. The study has had some impact regarding input to draft legislation and parts of the recommendations are reflected in legal acts which have been adopted since then, i.e. Directive 2004/49 on safety on the Community's railways.

The Accessibility of Urban Transport to People with Reduced Mobility is a study from 2003 providing an overview of the situation in the European Union with regard to accessibility for persons with reduced mobility to urban transport. The importance of improved accessibility is explicitly stated in the White Paper, hence is an element in the social dimension in sustainable mobility. The contribution of the study is assessed to be *significant*.

Study of the current situation in the inland waterway sector and future prospects in the enlarged Union - The project relates to the future prospect of the Inland Waterway Sector, relating closely to the overall objectives of the 2001 White Paper. The inland waterway is an alternative mean of transport (cargo) both more energy efficient and more secure than the alternatives road and rail transport. Furthermore inland waterway transport has significant unused capacity and in areas of already congested networks. The study deals with issues related to the Inland Waterway Sector and the environment (addressing the Inland Waterway as a more energy efficient source of transport), social (analysing the employment situation, social legislation and certification of boat masters) and economics (vitality of sector, competitive issues and security).

The low-scoring projects

Regarding the low-scoring projects, the following should be noted:

- They do not contribute to the realisation of a clearly stated objective in the White Paper but concern issues which are not raised by the White Paper; hence show little familiarity with traditional sustainability issues.
- A majority of the low-scoring projects are air transportation projects and many of them concern the market liberalisation processes within the European air transport sector. Air transport is not excluded from the sustainable mobility agenda as the White Paper contains a policy area '*Controlling the growth in air transport*'. It contains 10 specific measures but none of these concerns the creation of a single air transport market.
- It should be noted that a parallel observation is in fact made in the context of the recent mid-term review on the implementation of the White Paper measures ('*Assessment of the contribution of the TEN and other transport policy measures to the mid-term evaluation of the White Paper on the European Transport Policy for 2010*', DG TREN, European Commission, October 2005). According to the review most of the air transport measures implemented in fact contravene the intermediate working objective of shifting the balance between modes of transport as most of the measures implemented have either aimed at reducing costs for airlines or make air travel more attractive for passengers (via compensations rules and an increase in safety measures).

On the apparent inconsistency between the White Paper objectives and some of the air transport projects, we need to emphasise again, that the White Paper was prepared at a time when the general consensus was that the single transport market for air transport was almost realised while some of the projects were launched and carried out *before* the White Paper. Hence some of the projects financed by the Sustainable Mobility Programme address single transport market issues for the air transport sector and they should, by definition, be given a low score regarding effectiveness. This was also accepted by the task managers interviewed. One of these said, for instance, that '*...it is clear that the relevance of the project is limited against the White Paper but against the broader understanding of the common transport policy objectives from the 1990's the project was ok*'. In the text box below examples of low-scoring projects are shown.

Text box 10 Examples of low-scoring projects

Restructuring Programme Olympic Airways was a study undertaken in 1999 with the aim to verify whether Olympic Airways had fully implemented the measures provided by a restructuring programme. The study does not relate to the global objective of sustainable mobility; it does not contribute in generating a balance between modes in favour of railway and waterways and it does not support any of the 12 policy areas of the White Paper. The contribution of the study is therefore assessed to be *less significant*.

Ground Handling Services at EU Airports was a study carried out in 2002. The project objective was to undertake a factual review on the impact of Council Directive 96/67/EC on the liberalisation of the ground handling market at Community airports, particularly concerning the number of handlers at the airport. There are no explicit references to sustainable mobility and the project was not framed according to the sustainable mobility concept. The White Paper does not describe ground handling services as a problem to be addressed; in fact the White Paper does not address ground handling at airports at all. The project will not generate a shift in the existing balance between modes of transport, as described by the White Paper. The contribution of the study to sustainable mobility is assessed to be *less significant*.

Creation of a sustainable European research network on intermodal transport and logistics - Interact. DG TREN took the initiative to gather some key academic experts in intermodal transport in order to institutionalise and independent intermodal research network - Interact. The project was developed prior to the 2001 White Paper and was mentioned in EC communications on Intermodality. The Interact project was not framed with reference to sustainable mobility and did not directly deal with or relate to the objectives of sustainable mobility. However, a well functioning Interact network could indirectly have contributed to improvements in the intermodal sector within the EU by providing statistics, research and good practice as background information to decision makers. However the network/project never materialised and was stopped before finalisation. The project received a low score on all 5 evaluation themes.

What policy areas are supported by the projects?

4.1.3 Analysis of the entire project portfolio

With increased knowledge of the projects and recognising the value of a categorisation of all projects on the basis of the definition of sustainable mobility adopted for this evaluation, it was decided to group all projects into the policy areas of the White Paper. The categorisation was undertaken in the following way. It was firstly assumed that all projects *should* be categorised as belonging to one of the 12 policies areas although, as already indicated, not all projects fit equally well with the operational definition of sustainability. All projects were

then screened to determine which of the policy areas they primarily supported. The screening was aided by information already generated as part of the project review (covering 27 projects) and the results from the survey (covering app. 50 projects). Moreover, in some cases it was relatively easy to extrapolate from single projects, e.g. from a project on maritime statistics to all maritime statistics projects.

The categorisation provides valuable information on general tendencies regarding allocation priorities but it should be stressed that the categorisation can never be fully correct. The results are presented in the table below.

Table 17 Results of the sustainability clustering

	Policy area	No of projects	In % of total	Amount - Euro	In % of total
1	To improve quality in road transport sector	16	5%	988.992	3%
2	To revitalise the railways	22	8%	5.860.231	16%
3	To strike a balance between growth in air transport and the environment	75	26%	10.280.450	29%
4	To promote short sea shipping and inland waterway	86	29%	6.789.655	19%
5	To turn intermodality into reality	44	15%	5.037.866	14%
6	To continue the building of the trans-European transport	5	2%	837.964	2%
7	To improve road safety	9	3%	1.060.931	3%
8	To adopt a policy on charging for transport	13	4%	1.210.200	3%
9	Research and technology at the service of clean and efficient transport ²¹	0	0%	0	0%
10	To recognise rights and obligations of users	3	1%	551.109	2%
11	To develop high quality urban transport	12	4%	1.385.315	4%
12	To manage the effects of globalisation	8	3%	1.621.718	5%
	<i>Total</i>	293	100%	35.624.429	100%

Some observations

The table shows a number of features of which the following should, in particular, be noted:

- Overall, the projects are unevenly spread among the policy areas. Many projects support a few policy areas.

²¹ Please note that there are projects within the project portfolio which do concern clean and efficient transport but they have all been categorised as primarily supporting other policy areas.

- Approximately half of the projects relate only to two policy areas: promotion of short sea shipping and the balancing the growth in air transport with environmental protection.
- Few of the projects placed in the air transportation category are in fact about mitigating environmental problems caused by air transport. Instead they primarily concern Single Market Issues, thereby reflecting priorities from the late 1990's on liberalisation in the air transport sector.
- In the light of the priority given by the White Paper to the issues of revitalising railways, intermodality, high-quality urban transport, and managing the transportation effects of globalisation it is probably surprising how few projects support these policy issues.

4.2 Aspects affecting effectiveness

The evaluation activities have highlighted three aspects which have affected the effectiveness of the project portfolio.

Before or after the White Paper

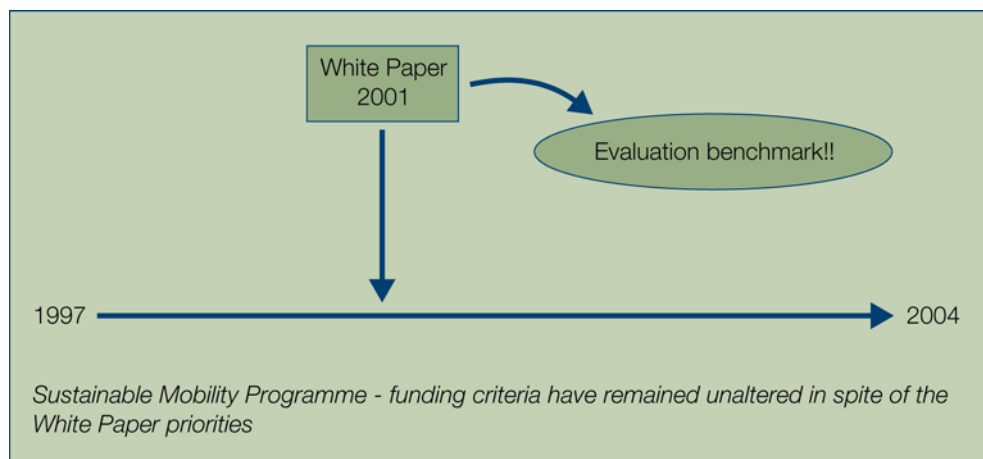
The first aspect is a straight-forward, but also essential, methodological note: the White Paper was launched in 2001, setting in its own words, 'new objectives for the EU transport policy' while approximately half of the projects were initiated before 2001. For this evaluation, we have used a sustainable mobility definition derived from the White Paper; hence we are using benchmarks which are stricter than if we had evaluated the projects on the basis of the funding criteria of the particular budget line which is termed 'Sustainable Mobility Programme'. This means that the effectiveness of the project portfolio would have been judged even more positively than if the funding criteria of the particular budget line was used as evaluation benchmark.

The second aspect, following on from the above, is that the main criteria for funding action under the sustainable mobility programmes have been the same during the period 1997-2004. The funding criteria have *not* been defined or reviewed to specifically match the measures announced in the 2001 White Paper against which this evaluation is carried out. Consequently, it means that projects may have been launched in full accordance with the above listed eligible criteria, but nevertheless in relation to this evaluation are given a low effectiveness rating.

When talking to the technical officers, it was clear that some felt uncomfortable about financing projects which were marginal to sustainable mobility via a budget line carrying the name *Sustainable Mobility Programme*. We were met with comments such as 'It was the only available means of funding', 'We had to use one of the budget lines and this was probably the best one' and a person even wrote to the project team that 'the only alternative was "security" which clearly would have been out of scope for this project'. A task manger also stated in an interview that 'It is clear that the relevance of the project is limited against the White Paper but in the broader understanding of sustainable mobility we followed in the late 1990's, the project was okay'.

The figure below illustrates the two different sets of criteria: criteria derived strictly from the White Paper and funding criteria of the particular budget line called Sustainable Mobility Programme.

Figure 6 Evaluation benchmark and the Sustainable Mobility Programme



General uncertainty on content of 'sustainable mobility'

A third aspect concerns general uncertainty on the concept of sustainable mobility. What is it? There is no authoritative definition of sustainable mobility, and one cannot find a short and concise definition of sustainable mobility even in the White Paper. The lack of clarity on the concept obviously makes it more difficult to identify what a budget line called 'Sustainable Mobility Programme' should accomplish/relate to.

4.3 Conclusions

This chapter has analysed how effective the 293 projects have been with regard to the realisation of the sustainable mobility policy as presented in the White Paper. The conclusions are the following:

- 1 Based on the evidences collected, approximately 65% of the projects have contributed either very significantly or significantly to sustainable mobility; approximately 20% contributed with some degree while in the range of 15% of the projects only contributed to a limited degree towards achieving sustainable mobility.
- 2 The Sustainable Mobility Programme can, overall, therefore be said to have contributed to a significant degree towards sustainable mobility as defined by the White Paper.
- 3 The overall effectiveness of the programme, with regard to the context of sustainable mobility, is somewhat reduced in that a group of projects have been financed although they only vaguely relate to and support sustainable mobility. The project review also showed that it would be difficult to motivate some of the projects on the basis of the concept of sustainable mobility as presented in the White Paper. Those projects are funded on the basis

of the broad funding criteria for the particular budget line; criteria which - as stressed in the previous chapter - have not been adjusted in the light of changes to the Common Transport Policy which were announced in conjunction with the launching of the White Paper in 2001.

- 4 Projects that only vaguely support sustainable mobility are primarily 'old' pre-2001 projects targeted the creation of the single air transport market. It has been noted that a parallel observation is made in the context of the recent mid-term review of the implementation of the White Paper measures.
- 5 The awareness of the Sustainable Mobility Programme is very limited. This is clearly shown by the survey results and the project reviews.
- 6 Approximately half of all the projects relate to only two policy areas: promotion of short sea shipping and the balancing of the growth in air transport with environmental protection. However, few of the projects placed in the air transportation category are in fact about mitigating environmental problems caused by air transport.

5 Efficiency

Purpose of chapter

This chapter presents the evaluation results in relation to efficiency: the extent to which desired effects are achieved at reasonable cost. Or rather, it provides the first part of the efficiency assessment as it only draws a preliminary conclusion on the basis of comments provided by the EU task managers and information given by project owners. However, for this evaluation - with its focus on the entire project portfolio rather than individual projects - efficiency is more adequately addressed by analysing whether or not there is a positive relation between the total programme allocation of MEUR 35.6 and the impact of the projects. This analysis is presented in chapter 7; hence the full efficiency assessment is given in the chapter on Impact.

It should be noted that, for the above reason, in-depth studies on the efficiency of selected projects were not carried out but the efficiency judgement constituted an important element of the earlier *Ex-post evaluation of specific interventions funded under the Sustainable Mobility Policy* (2004) covering 10 of the Sustainable Mobility Programme projects. The results of this evaluation is briefly summarised in the text box below.

Table 18 The efficiency assessment of the 2004 case-based evaluation of the Sustainable Mobility Programme

Regarding the use of resources, no evidence of over-allocation of resources was identified. Professional fees, on average, emerged as slightly higher than the fees that have been observed in other DGs of the European Commission. This appears when working on DG TREN projects.

In terms of outputs and outcomes, the efficiency of the projects under scrutiny should be appreciated in light of their general high levels of effectiveness and impact. In these terms, the remarks developed regarding the high costs of some projects in terms of fees do not negatively influence their overall cost efficiency.

Source: *Ex-post evaluation of specific interventions funded under the Sustainable Mobility Policy*, 2004, for DG TREN.

5.1 Results

5.1.1 Survey results

Relation between input and output

A first input to the efficiency assessment comes from the survey that covers the 111 projects co-financed over the years by the programme via a grant. As part of the survey, the project owners were asked to self-assess the efficiency of the projects which obviously can lead to biased answers as the project owners in most cases were actively involved with the implementation. However, it was found that as the projects were only co-financed by the Commission it did make sense to pose direct questions on efficiency.

Table 19 Question: 'Did the project in your opinion achieve the desired effect at a reasonable cost?'

	No of replies	In % of total
Yes	41	84%
No	2	4%
don't know	6	12%
<i>Total</i>	<i>49</i>	<i>100%</i>

The table shows that a vast majority of the project owners consider the efficiency of the projects to be reasonable or good. Only around 4 % of the project representatives consider that the projects did not achieve the desired effect at a reasonable cost. The project owners were also asked to evaluate the benefit 'their' organisation gained by being involved with the project, cf. the table below.

Table 20 Question: 'How would you, in general, assess the benefit gained by the project by your organisation/authority?'

	No of replies	In % of total
Significant benefits	26	53%
Some benefits	20	41%
Few benefits	3	6%
<i>Total</i>	<i>49</i>	<i>100%</i>

The table shows that, overall, the involved authorities are satisfied with their participation in the project. They find that they have either gained 'significant' or 'some' benefits from the project, while 3 respondent find that they only have gained 'few' benefits. In the text box below, some examples of statements given by the respondents are shown.

Text box 11 Examples of comments given in the questionnaires on efficiency

The respondents were asked to provide supplementary comments in addition to filling-in the questionnaire. Most additional comments related to grants given to projects with the aim of assisting in the production of road and maritime statistics. Several times it was mentioned that these projects would have, in principle, been implemented regardless of receiving a grant as they were essential for preparing for the implementation of particular directives but that the grant made it possible to translate the regulation into action within a specified timeframe.

5.1.2 Project review results

Evaluation of projects The projects selected for review were evaluated using a guideline description for various levels of efficiency: high-medium-low. For a project to have a high level of efficiency, it must be proven that the planned project outputs were delivered within budget and within a certain timeframe, and that the efficiency of the project should be perceived as high by the Task Manager. The results are shown in the table below.

Table 21 Overall project review results - efficiency

	No of projects	In % of total
High level	15	46%
Medium level	6	22%
Low level	2	7%
Cannot be categorised	4	15%
<i>Total</i>	<i>27</i>	<i>100%</i>

Observations

The outcome of the project review indicates that app. half of the projects were carried out with a high level of efficiency indicating that the budget, timing and deliverables were in accordance with or above expectations of the task managers and in the context of the terms of reference.

Six projects received a medium evaluation on efficiency and two projects were evaluated to have had a low level of efficiency. One of the two projects receiving a low score was terminated prior to finalisation, and part of the grant was reimbursed.

Four projects could not be assessed on efficiency as it was not possible to validate the result with the Task Manager and supporting documents (PMS database and project file) did not provide strong enough indications.

No significant result was observed with regard type of project (grant, study or service) or sector.

Overall the assessed projects received a high/medium score which is maybe not surprisingly as the main data source, was the validation by the respective task managers. The PMS database did not provide enough information on the projects in order to perform an autonomous review on efficiency.

5.2 Aspects affecting efficiency

During the course of the evaluation, we have noted two aspects which have affected the efficiency of the project portfolio.

Lack of consistent internal evaluation

The first aspect does not concern the level of efficiency *per se* but affects whether or not it is at all possible to make a judgement on efficiency. We refer to the fact that the projects are only sparsely evaluated in the internal DG TREN PMS database implying that it is not possible to use the PMS data as a basis for an efficiency assessment. Many of the task managers include only extremely general and condensed evaluations in the data base of the projects in question. The lack of systematic PMS data means that the efficiency assessment can only be indicative unless a selection of projects is evaluated in detail (as in the 2004 evaluation). The potential for more precise and cost-effective future efficiency assessment depends thus on the improvement of internal DG TREN reporting practices and the systematic in-house assessment of the quality of funded projects.

No evidence of over-spending

Lacking the possibility to use individual assessments of projects as a basis for assessing the efficiency of the programme, the efficiency of the project portfolio should be appreciated in the light of the relatively high level of effectiveness, cf. the previous chapter. From our knowledge of the projects, in particular the projects reviewed, we have not detected evidence of over-allocation of resources.

However a side issue was pointed out by a Task manager about the transaction cost for the Commission in general associated to preparing, evaluating and contracting studies through open calls for tender for procurement below 1 Million Euro.

5.3 Conclusions

This chapter has analysed the efficiency of the Sustainable Mobility Programme. It has been noted that the efficiency assessment of the programme is notoriously difficult due to the lack of systematic self-evaluation of funded projects, and the assessment given in this chapter is therefore preliminary.

- 1 It is the overall conclusion that the sustainable mobility projects have, as a minimum, been reasonably efficient in terms of achieving results such as policy preparation, awareness raising, provision of statistics, etc. The programme might have been very efficient but we lack documentation to support a stronger judgement. However, the conclusion that the programme has been reasonable efficient is supported by several factors, namely:

- 1.1 A vast majority of the project owners consider the efficiency of the projects to be reasonable or good and find that the project has yielded results for the co-financing authority/organisation that are significant.
 - 1.2 Our review of selected projects, during which we, in particular, took notice of the efficiency assessments provided by the responsible task managers, came to the same conclusion; although with the correction that 5-10 % of the projects have had a low level of efficiency.
 - 1.3 Also the discussion on the relation between the total allocation and the impacts achieved (to follow in the chapter on Impact) indicates that the projects funded by the Sustainable Mobility Programme have made a real impact on some of the 12 policy areas of the White Paper.
- 2 The potential for more precise and cost-effective future efficiency assessments depend on the improvement of internal DG TREN reporting practices and the systematic in-house assessment of the quality of funded projects.

6 Utility

Purpose of chapter

This chapter presents the evaluation results on utility. Utility is defined in evaluation terminology as a measure of the extent to which effects corresponds with the problems to be addressed. Consequently it means that there must be a firm description and understanding of the needs, problems and issues that a given activity/programme/regulation addresses before one can judge the utility. In this context, utility becomes a measure of the extent to which the 293 projects have addressed needs and problems that were identified by the White Paper. Hence, a high level of utility of a given project requires that the project addressed an issue that clearly was thematized by the White Paper.

6.1 Results

6.1.1 Survey results

What difference did EU funding mean?

A first hint of utility is given by checking how important it was for the projects to receive funding; hence we asked 111 beneficiaries that received a grant from the Sustainable Mobility Programme what the consequences were of receiving the grant, cf. the table below.

Table 22 *Question: 'How would you describe the overall consequences of receiving the grant?'*

	No of replies	In % of total
The project would not have been implemented at all without the grant	28	57%
The project would have been implemented even without the grant but with a reduced scope and fewer activities	15	31%
The project would have been implemented with same scope even without EU-funding	4	8%
The grant made it necessary to frame the project with a clearer reference to sustainable mobility	2	4%
Other	0	0%
<i>Total</i>	49	<i>not relevant</i>

It appears that a clear majority find that the grant was either a precondition for the project or added significantly to the project. This indicates high level of utility in the instrumental sense that the projects were dependent on co-financing.

The table thus shows that a clear majority of the projects would either 'not have been implemented' (57 %) or 'implemented with a reduced scope' (31%) if it was not for the grant received. It should be noted that 4 project representatives (8 %) find that their project would have been implemented at the same level even without EU funding.

6.1.2 Project review results

Needs identified in the White Paper

As mentioned in the introduction of this chapter, utility is assessed against the description within the White Paper on needs and problems. When reviewing the project sample, the project team therefore carefully compared the content and purpose of the projects with the descriptions in the White Paper of challenges and needs. The results of the review of the 27 projects are presented in the table below.

Table 23 Overall project review results - utility

	No of projects	In % of total
High level	15	55%
Medium level	8	30%
Low level	4	15%
<i>Total</i>	<i>27</i>	<i>100%</i>

Observations

The specific observations are the following:

- Overall, we found a high level of correlation between the results on utility and effectiveness. This is not surprising since a project that addresses a problem identified by the White Paper (high level of utility), hopefully, can also be argued to clearly support the sustainable mobility definitions (high level of effectiveness).
- Approximately 55 percent of the projects show a high level of utility, while app. 15% of the projects shows a low level of utility. These projects are primarily air transport projects. For a discussion on the reasons hereof, we refer to the next section on aspects affecting utility.

6.2 Aspects affecting utility

Low utility for the 'early' air transport projects

We find reason to note the following on aspects affecting utility. Firstly, the White Paper was prepared at a time when it was considered that the single transport market for air transport was almost realised. It means that the White Paper does not describe activities relating to market-opening as part of the 'new'

sustainable mobility agenda. It further implies that projects funded by the Sustainable Mobility Programme supporting the market-opening for air transport are consequently given a low score on utility. The project portfolio includes 74 air transport projects and 59 of these (80% of all air transport projects) concern the establishment of the single transport market, and many of them are given a low score on utility for the reason above. It is also important to note that the utility of the projects have been positively evaluated against the single market creation. Thus, in conclusion, a group of air transport projects show a low level of utility measured against the specific definition of utility applied for this evaluation, but the projects may have a reasonable/good level of utility if measured against the broader transport policy agenda before the White Paper.

Also, it must be said that the character for the funded air transport projects changed over time. Up till 2001 a majority of the air transport projects concerned the liberalisation process and the restructuring of national airlines while in later years the air transport projects increasingly concerned broader issues in line with the air transport policy area of the White Paper such as the creation of the Single European Sky, noise management, air service agreements with third countries, and airport capacity expansion.

6.3 Conclusions

This chapter has analysed the utility of the Sustainable Mobility Programme funded projects.

- 1 The utility of the Sustainable Mobility Programme is high in terms of the projects' ability to address issues that have been identified by the White Paper as essential for sustainable mobility. For most of the projects funded it can be relatively easily argued that they support one or more of the 12 policy areas of the White Paper.
- 2 A group of 'early' (before 2001) air transport projects focus on issues of liberalisation and airline restructuring and the utility of these projects are low measured against the White Paper. Air transport projects funded after 2001 increasingly concern broader issues in line with measures described within the context of the air transport policy area of the White Paper.

7 Impact

Purpose of chapter

The purpose of this chapter is to analyse the impact of the Sustainable Mobility Programme. Impact is defined as positive and negative changes produced by a program, directly or indirectly. It is a challenge to provide a clear-cut impact assessment when dealing with projects that produce information, awareness and policy preparation. Most would intuitively accept that such projects provide essential input to the ongoing administrative and political machinery but what is exactly the *impact* of such projects? Nevertheless, by drawing on different sources of information we can establish a relative clear overview of their impact. In particular, we discuss the impact of the programme by relating the project results with progress in the implementation of the policies set forth by the White Paper. We are able to do so as a mid-term review of the White Paper implementation has recently been published.

It should also be noted that the impact theme must be considered in observance with the fact that the Sustainable Mobility Programme is a relatively small programme; hence unrealistic expectations as to impacts at macro-level should be avoided.

7.1 Assessment based on survey

The first contribution to our impact assessment comes from the survey targeted to the 111 grant holders of which 49 completed the survey. One of the questionnaire questions concerned whether or not the project has had a lasting impact, cf. the table below.

Table 24 *Question: 'Has the project, according to your knowledge, had any lasting impact?'*

	No of replies	In % of total
yes	41	84%
no	5	10%
don't know	3	6%
<i>Total</i>	49	100%

The table shows that a clear majority of the projects have had a lasting impact according to the authorities and organisations consulted. The answers can be biased as there may be a tendency to be overoptimistic on the impact of 'own' projects; hence the contribution from this data sources should be balanced by comparison with other sources of information.

Examples of impacts The respondents were asked to give examples of impacts produced by the projects, cf. the text box below.

Text box 12 Examples of comments given on efficiency in the questionnaires

Networking and contacts:

The project 'National Cycling Policy Benchmarking Program' (2001) shared knowledge on national cycling policies in participating countries. The project made the countries more knowledgeable on the relevance of cycling policies and the national officials involved had, for the first time, the chance to meet and discuss their work with others in the same field from different countries.

Awareness raising and promotion:

- Bristol City, EUROPrice 2 project concerns road pricing. Although none of the cities involved in the project have yet introduced urban road pricing schemes, the project helped develop the concept.
- Project by International Maritime Organisation (IMO) on emissions from ships. The outcome of the Study was used to develop an IMO policy and strategy for the limitation or reduction of greenhouse gas emissions from ships.
- Increased awareness of the potentials of short sea shipping as a cost-efficient, reliable and environmental friendly mode of transport was established via the co-financing of a number of short-sea shipping promotion centres in various countries. A total of 16 short sea promotion projects were co-financed by the Sustainable Mobility Programme.

Cooperation between authorities and stakeholders

- An example of such impact is the EURIFT project, European Reference Centre for Intermodal Freight Transport. It improved the availability of up-to-date on-line information on intermodal freight transport in Europe, Better information of the European intermodal freight transport community and supported the building of relationship with the key players of the intermodal freight transport industry.

7.2 Assessment based on project reviews

In reviewing the project, the project team asked whether the projects have resulted in positive and documented impacts beyond the planned goals. The results of the review of the 27 projects are presented in the table below.

Table 25 Overall project review results - impact

	No of projects	In % of total
High level	9	33%
Medium level	11	41%
Low level	4	15%
Cannot be categorised	3	11%
<i>Total</i>	<i>27</i>	<i>100%</i>

Observations

The table shows;

- that 1/3 of the projects gave a very significant contribution to the realisation of sustainable mobility, implying that significant positive impacts beyond the planned goals exist and can clearly be observed and documented, while 41% have had a medium level of impact (positive impacts beyond the planned goals are said to exist but cannot be clearly documented),
- that 15 percent of the projects have had a low impact, meaning that no or few positive impacts beyond the planned outputs can be claimed, observed or documented.

Throughout this report, comments have been given on the generality of the results from single data sources. We have e.g. noted that the 27 projects have been selected so as to make the best representation of the entire project portfolio, and we therefore found it plausible that the above results correctly indicate the level of impact of the entire project portfolio.

7.3 Assessment based on general policy development

A different approach to impact assessment

In the above section impacts were assessed on the basis of assessments at project level. A different and complementary approach is to assess the total impact of the entire project portfolio on policy development. This section discusses thus the impacts of the 293 projects by relating the projects to developments within the wider EU transport policy.

7.3.1 The Mid-term assessment of White Paper progress

An assessment of the 2001 White Paper has recently been completed in the form of the ASSESS project; *'Assessment of the contribution of the TEN and other transport policy measures to the mid-term evaluation of the White Paper on the European Transport Policy for 2010'* (DG TREN, European Commis-

sion, October 2005). The mid-term assessment concerns the implementation of the measures it advocates, and is to check whether the targets and objectives are being attained or whether adjustments are needed. For each of the 12 policy areas an assessment is given. This means that it is possible to discuss the importance of the Sustainable Mobility Projects in relation to these achievements.

The overall findings

For an overview of the overall findings of the assessment please see the text box below.

Text box 13 Overall assessment of the White Paper policy progress

The White Paper has proved to be an important step forward in improving the transport sector in Europe. The results of the mid-term assessment do not give cause for large changes in transport policy.

The legislative activities at European Union level are well advanced. To date new legislation covering around 50% of the White Paper measures have been adopted and the proposals for legislation for another 15% of the measures are pending.

The measures not yet implemented are often the more difficult ones, which may have an high impact on the transport system, for instance pricing measures where progress is slow.

In the air sector, much has been achieved with regard to liberalisation, but the measures aiming to manage the growth and the negative effects on the environment are lagging behind.

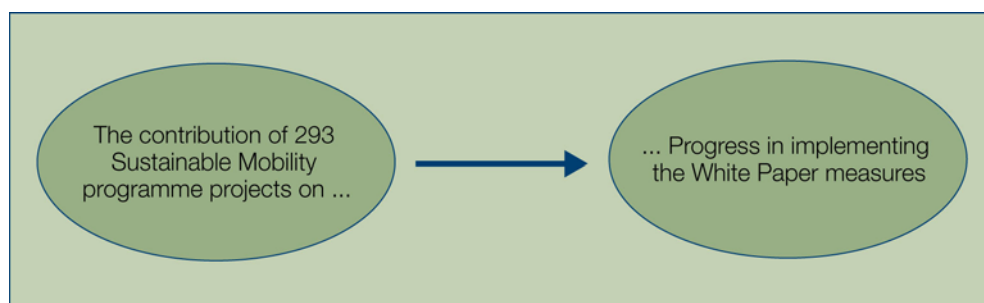
If the recent trends in modal shift continue without strengthening the policy implementation, the White Paper targets on modal balance may not be met.

Source: The ASSESS-study

A note on the nature of the assessment

In the following sections we discuss how much the 293 projects have contributed to progress within each of the 12 policy areas, cf. the below figure.

Figure 7 Contribution of the programme to general policy development



Specifically, we discuss whether the projects have had

- a *direct impact* (the projects are verified to have contributed directly with input to the preparation of directives, significant decisions or events), or
- *some impact* (the projects have contributed with input to the preparation of directives, other significant decisions or events) or
- *limited impact* (the projects have contributed indirectly with input to the preparation of directives or other significant decisions or events) or
- *no impact*.

The nature of the assessment should be stressed. It is *not* an unambiguous and quantitative assessment based on full information about units that easily can be measured. The assessment is based on our understanding of the 27 projects reviewed; our rough understanding of the grants projects that were analysed via the survey and our more superficial knowledge on the entire project portfolio. As policy progress is a relatively intangible phenomenon, it further should be acknowledged that the assessment must be kept in a somehow cautious tone. Nevertheless, the section below will show the overall tendencies in the impact of the projects on progress in EU transport policy.

Policy area 1:
Quality in road
transport sector

The White Paper measures for improving the quality in the road transport sector covers conditions for commercial road transport contracts, training of drivers and the introduction of the digital tachograph. According to the mid-term assessment, most measures are implemented in the 'old' Member States (EU15) but not in the new Member States; hence the level of achievement is considered by the ASSESS report to be *medium*.

The contribution of the Sustainable Mobility Projects stems from a total of 16 projects supporting quality in the road sector. Most of the projects funded concern the development of road transport statistics. Three projects concern the introduction of the digital tachograph. It is our assessment that the overall contribution has been limited.

Policy area 2:
Revitalising the rail-
ways

In terms of rail legislation, progress has been good since the launch of the White Paper. Policies for improving the performance of the railways by introducing competition for freight traffic are largely in place with the adoption of the two first railway packages. Seven directives have been adopted. The mid-term assessment notes that, in terms of performance, progress is less encouraging as rail has continued to lose its freight market share. All in all, the level of achievements is assessed to be *medium*.

The Sustainable Mobility Programme has funded a total of 22 railway projects, including some essential studies and grants that have been used as an input to subsequent legislative processes. Examples are the following: 'Examination of Train Path Allocation', 'Safety Regulations and Standards for European Railways' for Directive and 'European Priorities and Strategies for Railway Noise Abatement'.

Other allocations were used to produce information on 'Revenue from marginal social cost pricing', a database on the Trans-European railway network and an assessment of public budget contributions to the financing of railway undertakings. In sum, we find it plausible that the projects funded by the Sustainable

Mobility Programme have had a direct impact on the progress in implementation of White Paper railway measures.

Policy area 3:
Controlling growth
in air transport

This policy area consists of 13 measures. All in all, progress is assessed to be *low*. Advancement in liberalisation and single market realisation has been reasonable but less convincing is the progress on environmental issues. It is also said in the ASSESS report that most of the measures implemented contravene with the intermediate working objective of shifting the balance between modes of transport. Most of the measures implemented have either aimed at reducing costs for airlines or make air travel more attractive for passengers (via compensations rules and increase in safety).

No fewer than 75 air transport projects, mostly initiated before 2001 (launch of White Paper) were funded by the Sustainable Mobility Programme. A clear majority of these were targeted the creation of a single transport market and fair competition. A number of projects aimed at assisting the restructuring of national airlines were also funded, and it is likely that they have had significant impact on the liberalisation process. However, it has been said in this evaluation (cf. chapter on effectiveness) that the effectiveness of many of the air transport projects judged by the evaluation benchmark developed for this evaluation was low. It means that we arrive at the seemingly paradoxical situation that the air projects funded by the Sustainable Mobility Programme have had some impact but apparently not fully supporting the priorities of the White Paper.

Policy area 4:
Sea and inland wa-
terway transport

Progress in this policy area is said to be *medium*. The policy has recorded a good level of implementation at the European level, such as the establishment of a European Maritime Safety Agency, penal sanctions for ship course pollution, training of seafarers and port state controls, and progress have been made in establishing motorways of the seas.

86 waterways projects have been funded by the Sustainable Mobility Programme. Most of these were instrumental by nature: they concern the production of maritime statistics or the promotion of various forms of short sea and inland waterway shipping. The fact that they were instrumental, i.e. having a character as preparatory actions, does not mean that their contribution towards the achievements were low. It has been made clear through this evaluation that the production of e.g. maritime statistics and the promotion of this mode of transport in fact is an important prerequisite for the development of this transport mode. In sum, the contribution from the Sustainable Mobility Programme to the achievements for this policy area appears to be good, hence there is a direct impact.

Policy area 5:
Intermodality

One of the measures to attain the White Paper objectives of modal split change towards non-road modes is the increased effectiveness of intermodal operation via the Marco Polo programme, focus on freight integrators and intermodal loading units, i.e. standardised equipment to lower market barriers and increase efficiency. The level of achievement is assessed to be *medium* by the ASSESS-report.

41 projects on intermodality were funded by the Sustainable Mobility Programme.²² Examples of important projects were e.g. 'Study on freight integrators', 'Forum for Freight integrators' and 'Study on the economic impact of harmonising and standardising intermodal loading units'. Although it cannot be said with precision how much such projects contributed to the achievements, it is quite certain that the Sustainable Mobility Programme projects have had some impact on the overall achievements.

Policy area 6:
TEN-T

According to the mid-term assessment, the TEN-T network 'is one of the policies in the White Paper that has the largest degree of advancement at the European level. All measures mentioned in the White Paper have been realised by means of Regulations, Directives or Decisions'. Examples hereof are a Decision on renewed TEN Guidelines, a Regulation on new rules for the granting of financial aid, a proposal for the establishment of a TEN Executive Agency, a proposal for a new Regulation on the granting of financial aid (including substantial increases in the budget), and a proposal for a loan guarantee instrument. Hence, the achievements are rated to be *high*.

TEN projects as such are funded by a separate budget line but the Sustainable Mobility Programme funded five studies relating to TEN. They concern the organisation of conferences on TEN, a status on pan-European transport corridors, an evaluation of road transport management projects and a study on transport infrastructure costs and investments in TEN-T between 1994-2010. The importance of these studies cannot be neglected but the cumulative impact on overall progress in the TEN-T policy area is nevertheless limited.

Policy area 7:
Improving road safety

Significant progress in the form of fewer traffic casualties is observed but the White Paper target of halving the number of persons killed by 2010 cannot be met. The mid-term assessment rates the achievements as *low*.

Nine projects have been funded by the Sustainable Mobility Programme within this policy area. The projects funded were primarily instrumental, i.e. having a nature as preparatory actions. Examples hereof are allocations to three conferences and some promotional activities. Hence, it is likely that the impact of the Sustainable Mobility Programme on the achievements of this policy area is limited.

Policy area 8:
Charging for transport

The mid-term assessment states that the biggest failure in implementation of the White Paper proposals is the failure to implement appropriate social marginal cost pricing for all transport modes, in order also to deal efficiently with the environmental issues. The achievements are therefore rated as *low*.

The Sustainable Mobility Programme has financed 13 projects some of which clearly have contributed to establish a decision-making basis. Examples hereof

²² Please note that we have categorised a number of horizontal projects as intermodal projects. The number of 'real' intermodal projects funded by the Sustainable Mobility Programme is therefore lower than 41.

are studies on 'Taxation of aircraft fuel', 'Road pricing in European cities', 'Comparing existing transport taxes and charges with an optimal pricing benchmark' and 'A study on impact of road freight tax'. As such we consider that the programme has had some impact.

Policy area 9:
Research and technology

The level of achievement is high, according to the mid-term assessment, on research and development targeted clean and efficient transport. The Sustainable Mobility Programme did not support projects that first and foremost related to this policy area.

Policy area 10:
Rights and obligations of users

It is the mid-term assessment that the policy as defined in the White Paper will be fully implemented in the year 2010, and also that the current level of achievements is *medium*.

Only three projects were supported by the Sustainable Mobility Programme that related primarily to the rights and obligations of users. One of these was the study on 'The accessibility of urban transport to people with reduced mobility'. Overall, the contribution from the Sustainable Mobility Programme to progress within this area is limited/indirect impact.

Policy area 11:
High quality urban transport

According to the mid-term assessment, the status of this policy area is as follows. The three measures under this area are relatively far advanced, partly because the measures are modest in scope, as they aim at the support to and promotion of good practices. In conclusion, the achievements are rated as *high*.

12 urban transport projects were funded by the Sustainable Mobility Programme. Four of them were instrumental by nature. Other projects are e.g. a grant to establish a 'Citizens Network Information Service', a study on 'Integration and regulatory structures in public transport', and a grant allocated to the National Cycle Policy Benchmark Programme. The contribution appears to have had some impact.

Policy area 12:
Managing the effects of globalisation

Measures in this policy area, such as external EU transport relations and developing Galileo programmes, have been implemented to a large degree at EU level, and it is the overall assessment that the progress has been at a *medium* level. The Sustainable Mobility Programme has funded six projects supporting the Galileo programme including a study on 'European Satellite Navigation Application Segment' and a grant to the European GNSS Secretariat. The funded projects are assessed to have had some impact on progress in this policy area.

Concluding comments

Mentioning again that it is difficult to establish a direct link between the impact of 293 projects funded by the Sustainable Mobility Programme and the wider transport policy development, we have nevertheless in the above sought to put the impacts into perspective. Based on our understanding of the projects and on the valuable information we have received from a number of technical officers within the EU Commission, we can summarise the impacts of the projects as presented in the table below.

Table 26 Preliminary assessment of the impact of the Sustainable Mobility Programme

Policy area	Mid-term assessment of achievements in policy areas of the White Paper (level of goal fulfilment)	Preliminary assessment of the contribution of the Sustainable Mobility Programme to the achievements within policy areas
Quality in the road transport sector	Medium	limited impact
To revitalise the railways	Medium	Direct impact
Balance between air transport growth and environment	Low	Some impact
Promote short sea shipping and inland waterway	Medium	Direct impact
To turn intermodality into reality	Medium	Limited impact
To continue the building of the trans-European transport	High	Limited impact
To improve road safety	Low	Limited impact
To adopt a policy on effective charging for transport	Low	Some impact
Research and technology for clean and efficient transport	High	No impact
To recognise the rights and obligations of users	Medium	Limited impact
To develop high quality urban transport	High	Some impact
To manage the effects of globalisation	Medium	Some impact

The efficiency of the programme

It is, for obvious reasons, highly speculative to ask whether or not it is satisfactory that the total programme allocation of MEUR 35.6 (INPUT) has resulted in the above contribution to policy progress (OUTPUT). Nevertheless, we find it justified, to a reasonable extent, that the efficiency of the programme has been satisfactory. This judgement is based on the following piecemeal, but nonetheless important, information sources and observations:

- Project owners receiving co-financing (grants) from the programme have stated that the projects were carried out in an efficient manner.
- The EU task managers of the 27 projects selected for project review have been approached in order to learn about their understanding of the projects. Interviews confirm that the efficiency varies between highly efficient and

less efficient projects but with a majority of the projects show a high or medium level of efficiency.

- The team evaluating the Sustainable Mobility Programme has not observed evidence of over-allocation of resources.
- It has, in this chapter, been argued that the 293 projects have had some impact on general policy progress, and examples have been given of projects that have been essential for the preparation of new legislation.

7.4 Conclusions

This chapter has analysed the impact of the Sustainable Mobility Programme funded projects, using, in particular, the mid-term review of the White Paper implementation process, the ASSESS-report, to discuss the contribution of the projects. The conclusions are the following:

- 1 The impact of the Sustainable Mobility Programme appears, overall, to be satisfactory. This conclusion is made convincing by the results/answers/response of three different information sources: feedback from authorities, review of selected projects, and an assessment of the programme's contribution to general transport policy development since the launch of the White Paper.
- 2 The impact of the Sustainable Mobility Programme on progress in the Common Transport Policy has been direct and clearly observable in the following policy areas: Revitalising the railways, and Promotion of short sea shipping. The programme has also had some impact on progress in other policy areas.

8 Sustainability

Purpose of chapter

Having, in the previous chapter, discussed the impacts of the Sustainable Mobility Programme, we are finally able to give a sustainability assessment in this chapter. It is closely related to the impact theme but sustainability adds to the evaluation by focussing solely on whether the *positive effects* are likely to last once the projects have terminated. According to the evaluation methodology, sustainability is defined as a matter of whether the effects of a given project continue to be used. The typical effects to look at are policy making, awareness-raising, and documentation (e.g. statistics).

Results from the project review

The most important information stems from the project reviews, as the review process provided an opportunity to discuss the sustainability of the projects with the task managers. The overall results of the review of the 27 projects are shown in the table below.

Table 27 Overall project review results - sustainability

	No of projects	In % of total
High level	12	44%
Medium level	9	33%
Low level	2	7%
Cannot be categorised	4	15%
<i>Total</i>	<i>27</i>	<i>100%</i>

Observations

On the assumption that the sustainability assessment derived from the project reviews indicates correctly the level of sustainability, it can be concluded that the sustainability of the programme is satisfactory.

Firstly, more than 60 projects concern the production of statistics (road and maritime statistics). The answers to our survey clearly indicate that the production of the statistics continues in the countries and that the grants received functioned as start-up assistance, hence the sustainability of these projects are high.

Secondly, a group of 17 projects were aimed at promoting national short sea transportation. Some of these projects have been very successful; a fact that is evident by the web-sites which still function and which have become a core

info-sharing mechanism in national short sea transport sectors. Others were less successful and commitment has not been sustained; hence overall sustainability of this group of projects is only medium.

Thirdly, several projects have provided input to a subsequent legislative process. Examples of projects contributing to specific directives have been given throughout the report. In those cases where project results are transferred into legislation, the sustainability of projects obviously is very high.

Fourthly, more than 40 projects concern the organising of conferences, study trips, etc. It is not possible to assess the sustainability of these projects.

Conclusion

This chapter has analysed the sustainability of the Sustainable Mobility Programme funded projects. The conclusions are the following:

- 1 The results and effects of the projects funded by the Sustainable Mobility Programme did not, as a general rule, disappear on termination of the projects, and sustainability, in this respect, is therefore satisfactory.
- 2 Many projects funded by the Sustainable Mobility Programme show a particular high level of sustainability. This is clearly documented by the projects that have provided important information to legislative processes and, where possible, after the adoption of legislation to detect the influences of specific projects in the directives. Also, the many projects on statistics show a high level of sustainability.

9 Conclusions

Purpose of chapter

This ex-post evaluation covers 293 completed projects that have been funded by the Sustainable Mobility Programme during the period 1997-2004. They represent a total allocation of MEUR 35.6. The evaluation has addressed the 'traditional' evaluation themes of effectiveness, efficiency, sustainability, utility, and impact with particular focus on *effectiveness* as it has been the overall aim of the evaluation to see how effective the projects have been in contributing to the achievements of sustainable mobility. In this chapter we first present four overall, horizontal conclusions. This is followed by 14 specific conclusions relating to various evaluations themes.

9.1 Overall conclusion

Funding for important initiatives

There are four overall conclusions. Firstly, during the period 1997-2004 the Sustainable Mobility Programme provided funding of numerous important projects, covering:

- Production of new information necessary for the planning and initiation of legislative processes.
- Raising the awareness of particular issues, technologies and modes of transport.
- Development of statistics and monitoring systems to be used for the benefit of modes of transport which, according to the White Paper, should be given particular priority, such as various forms of waterway transportation

Significant contribution given by the projects

Secondly, the relation between the 293 projects and the 12 White Paper policy areas were analysed, assuming that if a given project supports one or more of the policy areas it supports EU's policy on sustainable mobility. It was found that a clear majority of the projects either provide a significant or a very significant contribution to sustainable mobility, cf. the table below, and the evaluation thus confirms the overall effectiveness of the programme.

Table 28 Assessment of effectiveness of project portfolio

Level of contribution	Number of projects	In % of total
Very significant contribution to sustainable mobility	141	48.1%
Significant contribution to sustainable mobility	54	18.5%
Some contribution to sustainable mobility	54	18.5%
Less contribution to sustainable mobility	43	14.8%
<i>Total</i>	293	100%

A budget line more than a 'programme'

Thirdly, although for the purpose of this evaluation it has been called Sustainable Mobility *Programme*, the programmatic aspect is missing. The programme has not had - and has not been intended to have - a clear strategic perspective with strict criteria for funding. Instead, as the name of the budget line ("Sustainable Mobility policy") it has broader funding criteria than a programme. The budget line has made it possible to finance studies, grants and services of general importance for planning of new legislation and on-going policy-making and monitoring.

Funding criteria not adjusted in the light of White Paper

Fourthly, the funding criteria of the budget line has largely remained unaltered during the period 1997 - 2004 and it has *not* been defined or reviewed to specifically match the measures announced in the 2001 White Paper against which this evaluation is conducted. It thus covers a broader spectrum than EU policy on sustainable mobility as outlined in the White Paper would suggest. It means, as documented in this evaluation, that projects can be funded correctly by the budget line but nevertheless scoring low when evaluated against the definition of sustainable mobility used for this evaluation.

9.2 Specific conclusions

Conclusions on the concept of sustainable mobility

To put the Sustainable Mobility Programme into context, the development in EU Transport Policy has been summarised. The conclusions are the following:

- 1 Sustainable mobility is the overall aspiration of the Common Transport Policy of the European Union following the 1998 Cardiff European Council decision to integrate transport planning and development with sustainable development. This is clearly demonstrated also by the 2001 White Paper 'European transport policy for 2010: Time to decide'.
- 2 There is no unambiguous definition of sustainable mobility within EU transport policy. It is a concept which *in its broadest sense* captures activities and regulations aimed at reconciling economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport.

Conclusions on the evaluation methodology

The methodology of the evaluation was developed to enable transparency on the robustness and basis of the conclusions drawn, thus acknowledging the 'qualitative' nature of many assessments. The main methodological conclusions were the following:

- 3 For the purpose of this evaluation, sustainable mobility is defined at three levels: Global, intermediate and operational level. The definition follows closely the perception of the concept given in the White Paper.
- 4 The evaluation utilised four different data sources, namely a) review and clustering of the project portfolio, b) a survey covering all grants, c) qualitative project review of 27 selected projects, and d) other relevant sources such as the recent mid-term review of the White Paper implementation.

Conclusions on the Sustainable Mobility Programme

Although it is called a Sustainable Mobility *Programme*, the programmatic aspect is not very clear, as already noted in the above section on general conclusions. It is thus concluded that:

- 5 The Sustainable Mobility Programme has been financed via two different budget lines with relatively similar eligibility criteria for funding. The funding criteria have *not* been defined or reviewed to match specifically the measures announced in the 2001 White Paper against which this evaluation is conducted.

Conclusions on effectiveness

The analysis on effectiveness showed the following:

- 6 The Sustainable Mobility Programme has overall contributed to a satisfactory degree to sustainable mobility as a clear majority of the projects either provide a significant or a very significant contribution to sustainable mobility as defined by the White Paper.²³
- 7 It reduces the overall effectiveness of the programme in the context of sustainable mobility that a group of primarily 'old' pre-2001 projects targeted the creation of the single air transport market have been financed although they only vaguely relate to and support sustainable mobility.
- 8 The awareness of the Sustainable Mobility Programme is very limited; in fact even many task managers were unaware that the funding source of 'their' projects were termed 'The Sustainable Mobility Programme'.
- 9 The White Paper suggests actions grouped into 12 policy areas. Approximately half of all the 293 projects relates to only two policy areas: promotion of short sea shipping and the balancing of the growth in air transport with environmental protection.

²³ This conclusion was also presented in the previous section as one of the overall conclusions but is repeated here for consistency in the answering of the evaluation questions.

- Conclusions on efficiency
- It is, for obvious reasons, a somewhat speculative assessment as to whether there is a satisfactory ratio between input (the total programme allocation of MEUR 35.6) and output (the impact of the 293 projects on policy progress). The conclusions on efficiency are therefore cautious.
- 10 The sustainable mobility projects have achieved a reasonable level of efficiency. The programme might in fact have been very efficient but we lack documentation to support a stronger judgement. The conclusion that the programme has been reasonably efficient is supported by several factors, namely feedback from beneficiaries, our project reviews and our assessment of the projects' contribution to the policy developments in recent years (as evidenced by the mid-term review of the White Paper implementation).
- 11 The potential for more precise and cost-effective future efficiency assessment depends on the improvement of internal DG TREN reporting practices and the systematic in-house assessment of the quality of funded projects. The projects are presently only sparsely evaluated in the internal DG TREN PMS database. In its current set-up and level of user-friendliness the database appears inadequate as an instrument for a significant improvement in reporting.
- Conclusions on utility
- The evaluation came to one significant conclusion on utility, namely:
- 12 The utility of the Sustainable Mobility Programme is high in terms of the projects' ability to address issues which have been identified by the White Paper as essential for sustainable mobility. Most of the projects funded can be argued to support one or more of the 12 policy areas of the White Paper.
- Conclusions on impact
- The impact of the programme has been illustrated and documented on the basis of feedback from authorities, review of selected projects, and an assessment of the programme's contribution to general transport policy development. There is one specific conclusion on impact:
- 13 The impact of the Sustainable Mobility Programme on progress in the Common Transport Policy has been direct and clearly apparent in the following policy areas: Quality in the road transport sector, Revitalising the railways, and Promotion of short sea shipping. The programme has also had some impact on progress in other policy areas.
- Conclusions on sustainability
- The evaluation documents the fact that the projects have contributed to policy development, to the production of statistics, to promote various modes of transport over others, etc. Furthermore, we have assessed whether the positive effects will last. The conclusions are:
- 14 The results and effects of the projects funded by the Sustainable Mobility Programme did not, as a general rule, disappear on termination of the projects, and sustainability is therefore high in this respect. Overall, we assess that the overall sustainability of the Sustainable Mobility Programme is satisfactory.

- 15 Many projects show a particularly high level of sustainability. This is clearest documented by a number of projects that have provided direct input to the legislative processes, and where possible, after the adoption of legislation, to detect the influences of specific projects in the directives. The many projects on statistics also show a high level of sustainability.

10 Recommendations

In the light of the evaluations' findings, the following recommendations have been suggested for consideration in the future use of the Sustainable Mobility Programme. The recommendations are grouped according to their generality.

Strategy level recommendations

Recommendations at this level concern the overall set-up and *raison d'être* of the Sustainable Mobility Programme.

- A strategic decision should be made as to whether the Sustainable Mobility Programme should be given a new name which reflects its nature/role as a general funding source *or* the funding criteria should be updated to strictly reflect the White Paper priorities.
- As the White Paper increasingly (cf. e.g. the mid-term review) is recognised as representing the EU Common Transport policy priorities, it is recommended to update the funding criteria.
- It is recommended splitting the Sustainable Mobility Programme budget line into two budget lines:
 - a general budget line funding studies, grants and services in respect of the White Paper, in particular aimed at the preparation of new legislation, and
 - a specific budget line aimed at funding projects with a long-term and strategic perspective on the achievements of sustainable mobility. It should be a mandatory requirement that all projects funded by specific budget line give an explicit account, in applications and in the final reports, on how the allocations have contributed towards achieving sustainable mobility.
- It should be a mandatory requirement that all projects funded by the Sustainable Mobility Programme give an explicit account, in applications and in the final report, on how the allocations have contributed towards achieving sustainable mobility.
- Realising that the evaluation has indicated that there is a general uncertainty on what constitutes 'sustainable mobility', consideration should be given to the need to clarify the meaning of the concept in an EU context.

- The awareness of the Sustainable Mobility Programme was found to be relatively low among project holders and task managers. Raising awareness of the programme (representing the many aspects of the 2001 White Paper) to stakeholders and the public in general, would be a way to promote the EU transport policy (assuming that the name and funding criteria are updated cf. point above).

Management level
recommendations

Recommendations at this level concern the daily management of the Sustainable Mobility Programme.

- A collection of best management practices applied by the task managers in their work on coordinating and following the projects should be compiled with the aim of disseminating information to all involved EU civil servants.
- Applicants for subsidies and contractors should consistently adhere to high standards for studies such as clear description of objectives and expected outputs, executive summary, methodology, reflection of the strength of conclusions, etc.
- Assessment on the quality of studies/projects should be systematically introduced in the database and should be made available to the public.
- The internal DG TREN information system on the quality of funded projects should be improved as the existing reporting in the PMS-database is done in an inconsistent manner, resulting in fragmented report monitoring. The PMS-database is inadequate and should be significantly improved or replaced with an up-dated and user-friendly database.

Appendix 1 White Paper policy measures

Overview of indicators used to screen sustainable mobility projects

Policy areas	Indicators (= the measures in the White Paper)
Improving quality in the road sector	Harmonise clauses in commercial road transport contracts
	Driving restrictions on heavy good vehicles on designated roads
	Training of professional drivers
	Social harmonisation of road transport
	Introduction of the digital tachograph
Revitalise rail-ways	First railway package: support the creation of new infrastructure, and in particular rail freight freeways
	Second railway package: opening up the national and international freight market
	Second railway package: ensuring a high level safety for the railway network
	Updating the interoperability directives on high-speed and conventional railway networks
	European Railway Agency
	Third railway package: certification of train crews and trains on the Community rail network
	Third railway package: gradual opening-up of international passengers services
	Quality of international rail passenger services
	Third railway package: improving quality of the rail freight services
	Enter into dialogue with the rail industries in the context of a voluntary agreement to reduce adverse environmental impact
	Joining the International Organisation for International Carriage by Rail (OTIF)
Controlling the growth in air transport	Single European Sky
	Technical requirements in the field of civil aviation and establishing a European Aviation Safety Agency
	Air transport insurance requirements
	Airport charges
	Slot on Community airports
	Community framework for airport noise management
	Protection against subsidisation and unfair pricing practices in the supply of air services from third countries
	Safety of third country aircraft
	Air service agreements with third countries
Airport capacity expansion	
Adapting the maritime and	Promotion of Short Sea Shipping, in particular by simplifying Customs procedures

inland waterway transport system	Motorways of the seas
	Port services liberalisation
	Ship and port facility security
	Maritime safety: European Maritime Safety Agency, rules and standards for passengers ships
	Double-hull oil tankers and penal sanctions for ship source pollution
	Oil pollution damage compensation fund
	Transfer of ship register
	Training of seafarers
	Eliminating bottlenecks in inland waterway transport
	River Information System
	Greater harmonization of boat masters' certificates
	Social legislation inland waterway transport
	Port state controls
	Sulphur content of marine fuels
Linking up the modes of transport	Marco Polo Programme
	Intermodal Loading Units and freight integrators
Eliminating bottlenecks	Trans European Network projects
	Funding of TENs
	Tunnel safety
Road safety	3rd European Road Safety Action programme
	Harmonisation of road safety checks and penalties
	"Black Spots" on TENs
	Seat and head restraints
	Tackling dangerous driving
	Technical investigations of the causes of road accidents
	Harmonisation of driving licensing systems
	Speed limitation devices
	Intelligent transport systems and e-Safety
	Pedestrian and cycling protection
Charging costs to the users	Infrastructure charging
	Uniform commercial road transport fuel taxation
	Electronic road toll system
	Harmonising VAT deductions
	Taxation of passenger cars according to environmental criteria
	Taxation of energy products
Promoting new fuels and technologies	Promotion of bio-fuels in road transport
	European Research on new clean car technologies and ITS application to transport

Quality and user rights	Compensation of air passengers
	Extending protection of users' rights to other transport modes
	Intermodality for people
	Public service requirements and the award of public service contracts in passenger transport by rail, road and inland waterway
Rationalising urban transport	Support for pioneering towns and cities (CIVITAS initiative)
	Promote the use of clean vehicles in urban public transport
	Promotion of good urban transport practices
Managing the effects of transport globalisation	TEN infrastructure in the candidate countries
	Funding of infrastructure in the New EU Member States
	Develop administrative capacity in the candidate countries
	EU external relations in the transport sector
	Galileo programme

Appendix 2 Project Sample

TITLE	TOTAL COST (EUR)	EC CON. (EUR)
Examination of Train Path Allocation	188.200	188.200
Citizens Network Information Service Project	516.844	258.422
Creation of a Sustainable European Research Network on Intermodal Transport and Logistics - Interact	468.000	207.000
Revenues from Marginal Social Cost Pricing	264.000	132.000
Safety Regulations and Standards for European Railways	433.000	433.000
Restructuring Programme Olympic Airways	175.800	175.800
European Satellite Navigation Application Segment	218.790	218.790
Mesures de Revision des Concessions Autoroutieres Francaises	36.500	36.500
European priorities and strategies for railway noise abatement	206.000	206.000
National Cycle Policy Benchmark Programme (NACTYP)	90.000	45.000
Preparatory activities for the implementation of the Directive on the Interoperability of Conventional Rail Systems and complementary works for the High Speed Interoperability	2.529.400	1.264.700
Study on benchmarking for best practices in ATM (European Community)	690.225	690.225
Evaluation of the technical specifications for interoperability (TSI's), drawn up in the context of Directive 96/48 on the interoperability of the trans-European high-speed railway system	308.500	308.500
Hannibal : Tackling the Alps Bottleneck	90.224	45.112
Market observation for the inland waterway sector 2001/2002	339.000	339.000
Transport Infrastructure costs and Investments between 1994 and 2010 on the Trans-European Transport Network and its connection to neighbouring regions	450.000	450.000
The Accessibility of Urban Transport to People with Reduced Mobility	179.950	179.950
Ground handling services at EU airports	300.000	300.000
Irish Short Sea Promotion Bureau	90.010	45.005
Etude relative aux couts salariaux dans le secteur du transport maritime	41.505	41.505
Study to assess the potential impact of proposed amendments to Council Regulation 2299/89 with regard to Computer Reservation Systems	270.000	270.000
Study on maritime economics	198.800	198.800
Study of the current situation in the inland waterway sector and future prospects in the enlarged Union	306.665	306.665

TITLE	TOTAL COST (EUR)	EC CON. (EUR)
In-depth assessment of public budget contributions to the financing of railway undertakings and rail infrastructure managers as well as a comprehensive review of their financial position.	199.750	199.750
Study on both efficient & effective security requirements on vessels and in ports and the financial ramification of the impact of such requirements	170.000	170.000
Study on the economic impact of harmonising and standardising intermodal loading units	79.775	79.775
Bilateral air transport negotiations - Russia	108.425	108.425

Appendix 3 Project Review format

Project Review of [EU project number]: [full name of the project] Project sample no [number]
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Project information

Stages in project review completed	Initial expert assessment	
	Validation via EU Commission Task Manager	
	Final expert assessment	
Formal identification of the project		
Project title		
Contractor/beneficiary		
EU Contract number		
Year of commencement		
Year of completing		
Total budget		
EC Contribution		
List of documents and other data sources used to review the project		
<ul style="list-style-type: none"> • [doc] • [doc] • [interview person] 		
Possible limitations in the review of the project		
Mention possible limitations is any such as lack of PSM-information, etc.		
Project objectives		
<ul style="list-style-type: none"> • list the project objectives as described in TOR/final report/other • no critical analysis/remarks at this point 		
Main project outputs		
<ul style="list-style-type: none"> • list the project outputs as described in final report/other • no critical analysis/remarks at this point 		
Main project activities		
<ul style="list-style-type: none"> • list the project activities as described in TOR/final report/other • no critical analysis/remarks at this point 		

Effectiveness

EFFECTIVENES IN ADDRESSING POLICY GOALS		
<p>How does the project relate to the global objectives of the sustainability mobility policy: To reconcile economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transport?</p> <p>Data sources in addition to the project documents:</p> <ul style="list-style-type: none"> • The White Paper itself • The Indic report <p>Key questions:</p> <ul style="list-style-type: none"> • Presentation of how the project deals with or relate to the global objectives of sustainable mobility (the three sustainability dimensions) • Is the project framed/defined with reference to sustainability and sustainable mobility? • Does the project cover all or some of the three sustainability dimensions? • To what degree do the project objectives fit with the definition of sustainable mobility? 		
<p>How does the project relate to the intermediate objectives of the sustainability mobility policy: To generate a shift in the balance between modes of transport.</p> <p>Data sources in addition to the project documents:</p> <ul style="list-style-type: none"> • The White Paper itself • The Indic report <p>Key questions:</p> <ul style="list-style-type: none"> • Is it likely that the project will influence the balance between modes of transport? • If 'yes' - in favour of which modes? • How? • Are the transport modes favoured by the project those that according to the White Paper <i>should</i> be promoted (waterways, rail, short see shipping, inter-modal)? 		
<p>How does the project relate to the operational objectives of the Sustainability policy: The 13 guidelines of the White Paper</p>		
Policy areas	Measures	
Improving quality in the road sector	Harmonise clauses in commercial road transport contracts	
	Driving restrictions on heavy good vehicles on designated roads	
	Training of professional drivers	
	Social harmonisation of road transport	
	Introduction of the digital tachograph	
Revitalise rail-ways	First railway package: support the creation of new infrastructure, and in particular rail freight freeways	
	Second railway package: opening up the national and international freight market	
	Second railway package: ensuring a high level safety for the railway network	
	Updating the interoperability directives on high-speed and con-	

	ventional railway networks	
	European Railway	
	Third railway package: certification of train crews and trains on the Community rail network	
	Third railway package: gradual opening-up of international passengers services	
	Quality of international rail passenger services	
	Third railway package: improving quality of the rail freight services	
	Enter into dialogue with the rail industries in the context of a voluntary agreement to reduce adverse environmental impact	
	Joining the International Organisation for International Carriage by Rail (OTIF)	
Controlling the growth in air transport	Single European Sky	
	Technical requirements in the field of civil aviation and establishing a European Aviation Safety Agency	
	Air transport insurance requirements	
	Airport charges	
	Slot on Community airports	
	Community framework for airport noise management	
	Protection against subsidisation and unfair pricing practices in the supply of air services from third countries	
	Safety of third country aircraft	
	Air service agreements with third countries	
	Airport capacity expansion	
Adapting the maritime and inland waterway transport system	Promotion of Short Sea Shipping, in particular by simplifying Customs procedures	
	Motorways of the seas	
	Port services liberalisation	
	Ship and port facility security	
	Maritime safety: European Maritime Safety Agency, rules and standards for passengers ships	
	Double-hull oil tankers and penal sanctions for ship source pollution	
	Oil pollution damage compensation fund	
	Transfer of ship register	
	Training of seafarers	
	Eliminating bottlenecks in inland waterway transport	
	River Information System	
	Greater harmonization of boatmasters' certificates	
	Social legislation inland waterway transport	
	Port state controls	

	Sulphur content of marine fuels	
Linking up the modes of transport	Marco Polo Programme	
	Intermodal Loading Units and freight integrators	
Eliminating bottlenecks	Trans European Network projects	
	Funding of TENs	
	Tunnel safety	
Road safety	3rd European Road Safety Action programme	
	Harmonisation of road safety checks and penalties	
	"Black Spots" on TENs	
	Seat and head restraints	
	Tackling dangerous driving	
	Technical investigations of the causes of road accidents	
	Harmonisation of driving licensing systems	
	Speed limitation devices	
	Intelligent transport systems and e-Safety	
	Pedestrian and cycling protection	
Charging costs to the users	Infrastructure charging	
	Uniform commercial road transport fuel taxation	
	Electronic road toll system	
	Harmonising VAT deductions	
	Taxation of passenger cars according to environmental criteria	
	Taxation of energy products	
Promoting new fuels and technologies	Promotion of bio-fuels in road transport	
	European Research on new clean car technologies and ITS application to transport	
Quality and user rights	Compensation of air passengers	
	Extending protection of users' rights to other transport modes	
	Intermodality for people	
	Public service requirements and the award of public service contracts in passenger transport by rail, road and inland waterway	
Rationalising urban transport	Support for pioneering towns and cities (CIVITAS initiative)	
	Promote the use of clean vehicles in urban public transport	
	Promotion of good urban transport practices	
Managing the effects of transport globalisation	TEN infrastructure in the candidate countries	
	Funding of infrastructure in the New EU Member States	
	Develop administrative capacity in the candidate countries	
	EU external relations in the transport sector	
	Galileo programme	

Brief explanation of the above categorisation of the project outputs in relation to the policy guidelines / indicators		
Are some elements of the project contradicting with other elements of the Sustainable Mobility policy	Yes	
	No	
	Probably	
	n.a.	
Brief explanation of the above categorisation		
Assessment: To what degree does the project support sustainable mobility? (on the basis of scoring system)		
Very significant degree		
Significant degree		
Some degree		
Less degree		

Utility

UTILITY - the extent to which effects corresponds with the needs, problems and issues to be addressed
Data sources in addition to the project documents: <ul style="list-style-type: none"> • The White Paper itself • The Indic report • Task manager in particular <p>Key questions:</p> <ul style="list-style-type: none"> • What were the needs and problems upon which the project was framed? • How well are the needs and problems described... • What are, overall, the strengths and weaknesses of this project? <p>Final assessment on the basis of scoring system: high, medium, low</p>

Sustainability

SUSTAINABILITY - To what extent are positive effects likely to last after project completion?
Data sources in addition to the project documents: <ul style="list-style-type: none"> • The Indic report • Task manager (in particular) <p>Key questions:</p>

- Has the project had any lasting effect? (such as increased awareness, specific initiatives taken, investments, new regulation launched, etc.)

Final assessment on the basis of scoring system: high, medium, low

Efficiency

EFFICIENCY - How efficient have the project been in achieving the results?

Data sources in addition to the project documents:

- Task manager (the key data source here!)

Key questions:

- Did the project budget match the scope of the tasks (did the objectives match resources, any unrealistic expectations, etc.)?
- Did the project achieve the desired effect at a reasonable cost?
- How could the project have been even more successful in providing more outputs within the project budget ceiling?

Final assessment on the basis of scoring system: high, medium, low

Impact

IMPACT - changes actually produced as a result of the project		
Can a positive impact already be observed?	Yes	
	No	
	Cannot be assessed	
Is it likely that a positive impact will materialise in near future?	Yes	
	No	
	Cannot be assessed	
Elaboration of the above categorisation		
Data sources in addition to the project documents:		
<ul style="list-style-type: none"> • The White Paper itself • The Indic report • Task manager in particular 		
Key questions:		
<ul style="list-style-type: none"> • What are the main impacts (if any) 		
Final assessment on the basis of scoring system: high, medium, low		

Appendix 4 Scoring System (Project reviews)

The below scoring system was used by the project team to review the 27 projects that were selected for the review process.

Effectiveness

Category	Description
Very significant contribution to sustainable mobility	<ul style="list-style-type: none"> The project can clearly be argued to support the global, the intermediate and the operational definitions of sustainable mobility It does not contradict with other elements of the sustainable mobility policy
Significant contribution to sustainable mobility	<ul style="list-style-type: none"> The project can be argued to support the global, the intermediate and the operational definitions of sustainable mobility It does not contradict with other elements of the sustainable mobility policy
Some contribution to sustainable mobility	<ul style="list-style-type: none"> The project can be argued to support some but not all of the objectives, e.g. it may support the global and the operational definitions of sustainable mobility but not the intermediate objective. It does not contradict with other elements of the sustainable mobility policy
Less contribution to sustainable mobility	<ul style="list-style-type: none"> The project can be argued to support some but not all of the objectives, e.g. it may support the global and the operational definitions of sustainable mobility but not the intermediate objective. The project contradicts with other elements of the sustainable mobility policy

Utility

Category	Description
High	<ul style="list-style-type: none"> The White Paper explicitly asks for policies/studies/initiatives/ projects that are similar to or closely related to that of the project It means that the subject of the project is clearly presented in the White Paper as salient and important in the process towards sustainable mobility
Medium	<ul style="list-style-type: none"> The White Paper addresses in broader terms issues and problems that are related to the project
Low	<ul style="list-style-type: none"> The White Paper does not ask for policies/studies/initiatives/ projects that are similar to or closely related to that of the project It means that the subject of the project is not presented in the White Paper as salient and important in the process towards sustainable mobility

Sustainability

Category	Description
High	<ul style="list-style-type: none"> One year after the project has been completed, the effects of the project are used also outside the project context for different purposes such as policy making, awareness-raising, documentation, or the effects have already been implemented in new practices.
Medium	<ul style="list-style-type: none"> One year after the project has been completed, the effects of the project can still be observed but results have not been translated into action
Low	<ul style="list-style-type: none"> The effects of the project are not used or in any other ways maintained one year after the project has been completed

Efficiency

Category	Description
High	<ul style="list-style-type: none"> The planned project outputs are delivered within budget and within time. The efficiency of the project is perceived as high by the Task Manager.
Medium	<ul style="list-style-type: none"> Almost all of the project outputs are delivered within budget and almost within time, The efficiency of the project is perceived as medium by the Task Manager
Low	<ul style="list-style-type: none"> The planned project outputs are not delivered within budget and within time. The efficiency of the project is perceived as low by the Task Manager.

Impact

Category	Description
High	<ul style="list-style-type: none"> Significant positive impacts beyond the planned goals are said to exist and can clearly be observed and documented
Medium	<ul style="list-style-type: none"> Positive impacts beyond the planned goals can be said to exist
Low	<ul style="list-style-type: none"> No positive impacts beyond the planned goals can be claimed, observed or documented

Appendix 5 Questionnaire

Questionnaire submitted to projects having received a grant under the Sustainable Mobility Programme during the period 1997-2004

Your project received a grant from the EU-Commission. How would you describe the overall implications of receiving the grant? (You may mark more than one of the statements given below)

The project would not have been implemented at all without the grant	
The project would have been implemented even without the grant but with a reduced scope and fewer activities	
The project would have been implemented with the same scope independently of not being co-financed by the EU Commission	
The grant made it necessary to frame the project with a clearer reference to sustainable mobility	
Other	

Please elaborate on your assessment given above

Elaboration

Was your project defined and framed with an explicit reference to sustainability and sustainable mobility?

Yes	
No	
Don't know	

The sustainable mobility policy can be captured in a number of policy areas and measures. Which of the measures does your project relate to, if any? Please go through the below table and mark your project against the measures (using 'x')

Policy areas	Measures	
Improving quality in the road sector	Harmonise clauses in commercial road transport contracts	
	Driving restrictions on heavy good vehicles on designated roads	
	Training of professional drivers	
	Social harmonisation of road transport	
	Introduction of the digital tachograph	
Revitalise rail-	First railway package: support the creation of new infrastruc-	

ways	ture, and in particular rail freight freeways	
	Second railway package: opening up the national and international freight market	
	Second railway package: ensuring a high level safety for the railway network	
	Updating the interoperability directives on high-speed and conventional railway networks	
	European Railway	
	Third railway package: certification of train crews and trains on the Community rail network	
	Third railway package: gradual opening-up of international passengers services	
	Quality of international rail passenger services	
	Third railway package: improving quality of the rail freight services	
	Enter into dialogue with the rail industries in the context of a voluntary agreement to reduce adverse environmental impact	
	Joining the International Organisation for International Carriage by Rail (OTIF)	
	Controlling the growth in air transport	Single European Sky
Technical requirements in the field of civil aviation and establishing a European Aviation Safety Agency		
Air transport insurance requirements		
Airport charges		
Slot on Community airports		
Community framework for airport noise management		
Protection against subsidisation and unfair pricing practices in the supply of air services from third countries		
Safety of third country aircraft		
Air service agreements with third countries		
Airport capacity expansion		
Adapting the maritime and inland waterway transport system	Promotion of Short Sea Shipping, in particular by simplifying Customs procedures	
	Motorways of the seas	
	Port services liberalisation	
	Ship and port facility security	
	Maritime safety: European Maritime Safety Agency, rules and standards for passengers ships	
	Double-hull oil tankers and penal sanctions for ship source pollution	
	Oil pollution damage compensation fund	
	Transfer of ship register	
	Training of seafarers	

	Eliminating bottlenecks in inland waterway transport	
	River Information System	
	Greater harmonization of boatmasters' certificates	
	Social legislation inland waterway transport	
	Port state controls	
	Sulphur content of marine fuels	
Linking up the modes of transport	Marco Polo Programme	
	Intermodal Loading Units and freight integrators	
Eliminating bottlenecks	Trans European Network projects	
	Funding of TENs	
	Tunnel safety	
Road safety	3rd European Road Safety Action programme	
	Harmonisation of road safety checks and penalties	
	"Black Spots" on TENs	
	Seat and head restraints	
	Tackling dangerous driving	
	Technical investigations of the causes of road accidents	
	Harmonisation of driving licensing systems	
	Speed limitation devices	
	Intelligent transport systems and e-Safety	
	Pedestrian and cycling protection	
Charging costs to the users	Infrastructure charging	
	Uniform commercial road transport fuel taxation	
	Electronic road toll system	
	Harmonising VAT deductions	
	Taxation of passenger cars according to environmental criteria	
	Taxation of energy products	
Promoting new fuels and technologies	Promotion of bio-fuels in road transport	
	European Research on new clean car technologies and ITS application to transport	
Quality and user rights	Compensation of air passengers	
	Extending protection of users' rights to other transport modes	
	Intermodality for people	
	Public service requirements and the award of public service contracts in passenger transport by rail, road and inland waterway	
Rationalising urban transport	Support for pioneering towns and cities (CIVITAS initiative)	
	Promote the use of clean vehicles in urban public transport	
	Promotion of good urban transport practices	

Managing the effects of transport globalisation	TEN infrastructure in the candidate countries	
	Funding of infrastructure in the New EU Member States	
	Develop administrative capacity in the candidate countries	
	EU external relations in the transport sector	
	Galileo programme	

Please reflect on the importance of the Sustainable Mobility Programme being the specific funding source of the grant allocated to your project (You may mark more than one of the statements below)

It did not have specific consequences for our project	
It was not clear to me that the project was funded by the Sustainable Mobility Programme	
It meant that the project was oriented towards sustainable development	
Other consequences	
Don't know	

Identify the main outputs of your project that contributed to sustainable mobility (if any)

List of outputs that contributed to sustainable mobility
--

Identify the strengths and weaknesses of your project in relation to contributing to sustainable mobility - as perceived by you

Strengths	Weaknesses

In your view, did the project correspond well with the problems in the transport sector that the concept of sustainable mobility is trying to tackle?

Yes	
Partly	
No	
Don't know	

Please elaborate on the above assessment

Elaboration

Has the project, according to your knowledge, had any lasting impact?

Yes	
No	
Don't know	

Please elaborate on the above assessment

Elaboration

Did the project budget, including the grant received, match the scope of your work (did the objectives match resources, any unrealistic expectations of the level of EU Commission or own organisation)

Assessment on the project budget

Did the project in your opinion achieve the desired effect at a reasonable cost?

Yes	
No	
Don't know	

Please elaborate on the above assessment

Elaboration

How could the project have been even more successful in providing more outputs within the project budget ceiling?

Assessment on alternative usage of project resources
--

How would you, in general, assess the benefit gained by the project for your company/organisation/authority?

Significant benefits	
Some benefits	
Few benefits	

Please elaborate on the above assessment

Elaboration

What are in your opinion the main three impacts of the project?

List of main impacts of the project

Can you point out other kinds of results and positive or negative impacts that your project have caused?

Other results and impacts

Please categorise and exemplify the types of impacts the project has had, using the below table

	Direct
Short term (immediately after project completion)	
Medium term (1-4 years after project completion)	
Long term (More than 4 years after project completion)	

Could you in the light of your experiences and knowledge come up with suggestions for the Sustainable Mobility Programme on how to promote the idea and policy of sustainable mobility?

Suggestions
