



# Glasgow Learning Network Training Workshop: Tools and Approaches for Sustainable City Planning



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# Agenda



- 
- |                      |   |
|----------------------|---|
| <b>10.30 – 11.00</b> | Welcome & introductions<br>Overview of STEP UP  |
| <b>11.00 – 12.30</b> | Tools for stakeholder analysis and engagement   |
| <b>12.30 – 13.30</b> | Lunch (provided on site)  |
| <b>13.30 – 15.00</b> | Problem/Solution tree analysis tool for understanding city challenges and identifying opportunities |
| <b>15.00 – 15.30</b> | Discussion of tools and application in participants' working environments<br>Wrap up                |
-



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# STEP UP project



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# STEP UP



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- EU FP7 funded energy planning project running until July 2015
- 4 European cities: Ghent, Glasgow, Gothenburg and Riga
- 12 partners: each City Council works with a commercial and research partner



STEP UP Website:

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STEP UP Twitter:

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Enhanced Sustainable Energy Action Plans in all four cities

Pipeline of innovative, integrated low carbon projects in all four cities

Training in sustainable city planning provided to all four cities' Learning Networks



Companion cities coached through SEAP process

STEP UP approach to integrated energy planning addressing:

- Energy & technology
- Economics & finance
- Stakeholders
- Wider policy objectives





# STEP UP cities' enhanced SEAPs



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All 4 cities delivering enhanced SEAPs that demonstrate:

- Integrated 'STEP UP' approach
- Targeted and implementable actions
- Based on sound BEI and gap and issue analysis
- Political and stakeholder support

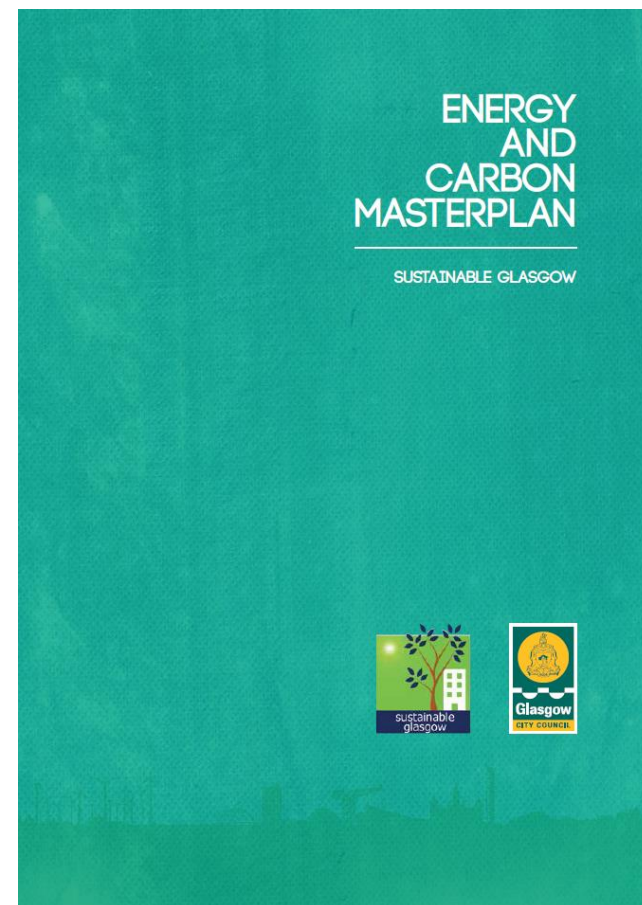
**Ghent:** Climate Plan 2014-2019

**Gothenburg:** Climate Programme for Gothenburg

**Glasgow:** Energy and Carbon Masterplan

**Riga:** Smart City – Sustainable Energy Action Plan

All four enhanced SEAPs have now been approved at the city level & implementation is underway





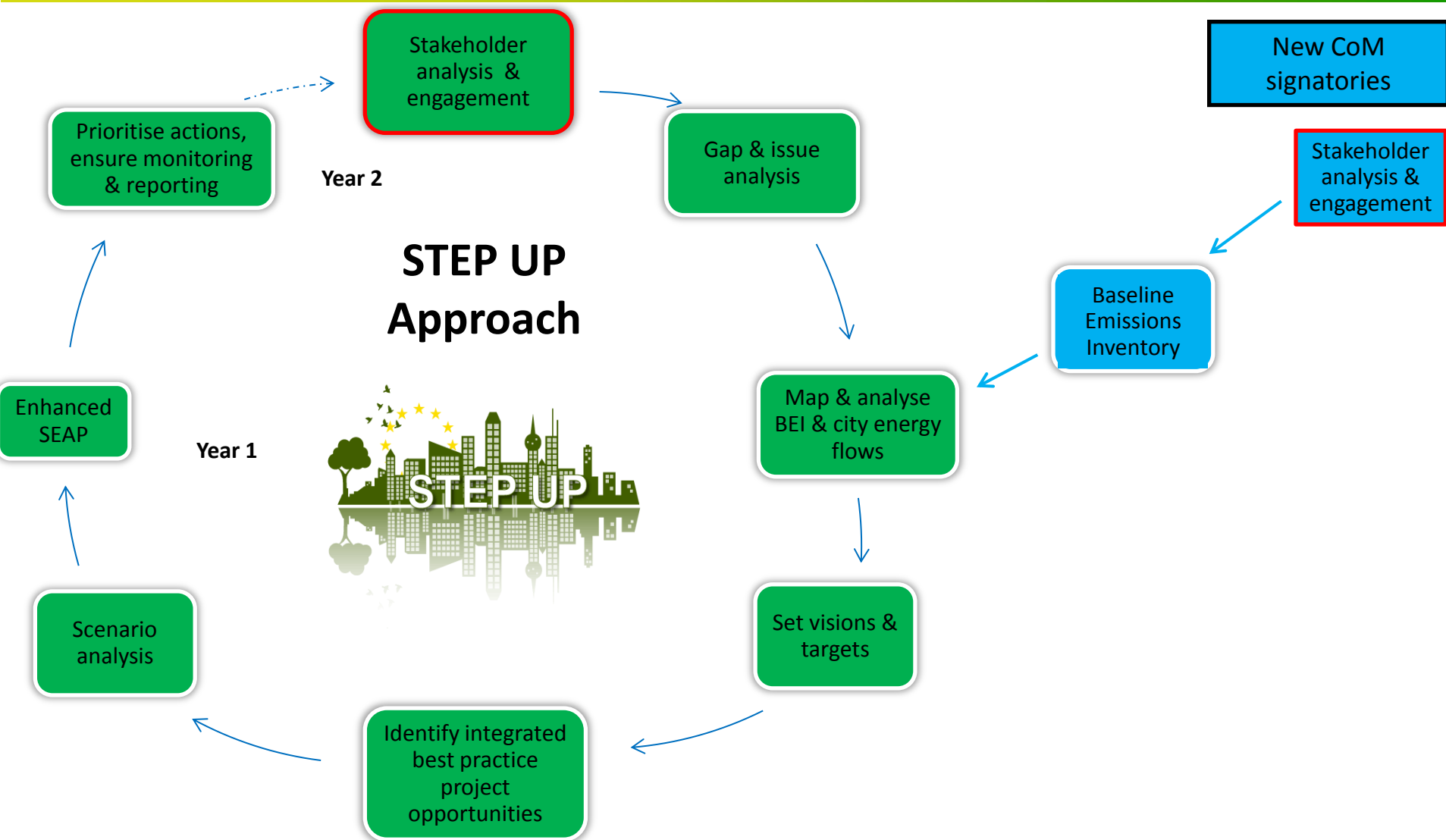
# Enhanced SEAP process



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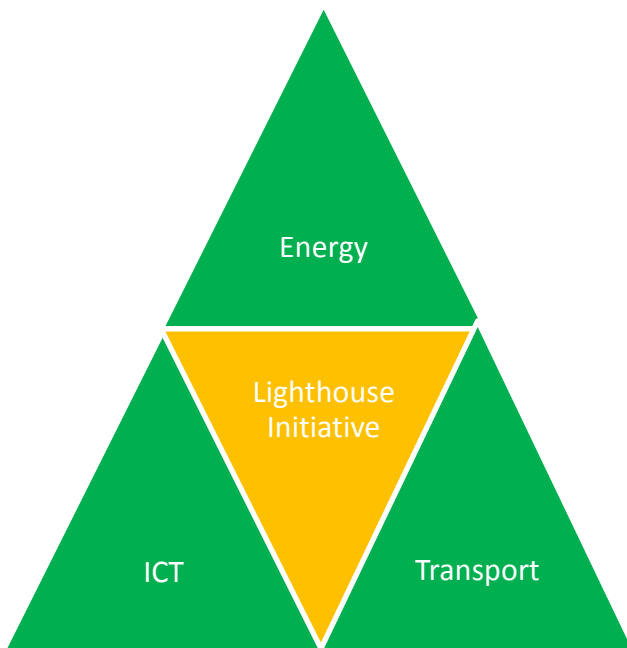


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## 9 STEP UP Lighthouse Initiatives:

- Best practice projects
- Tackling challenges and opportunities
- High impact & replication potential
- Integrating smart cities sectors:  
energy, ICT and transport

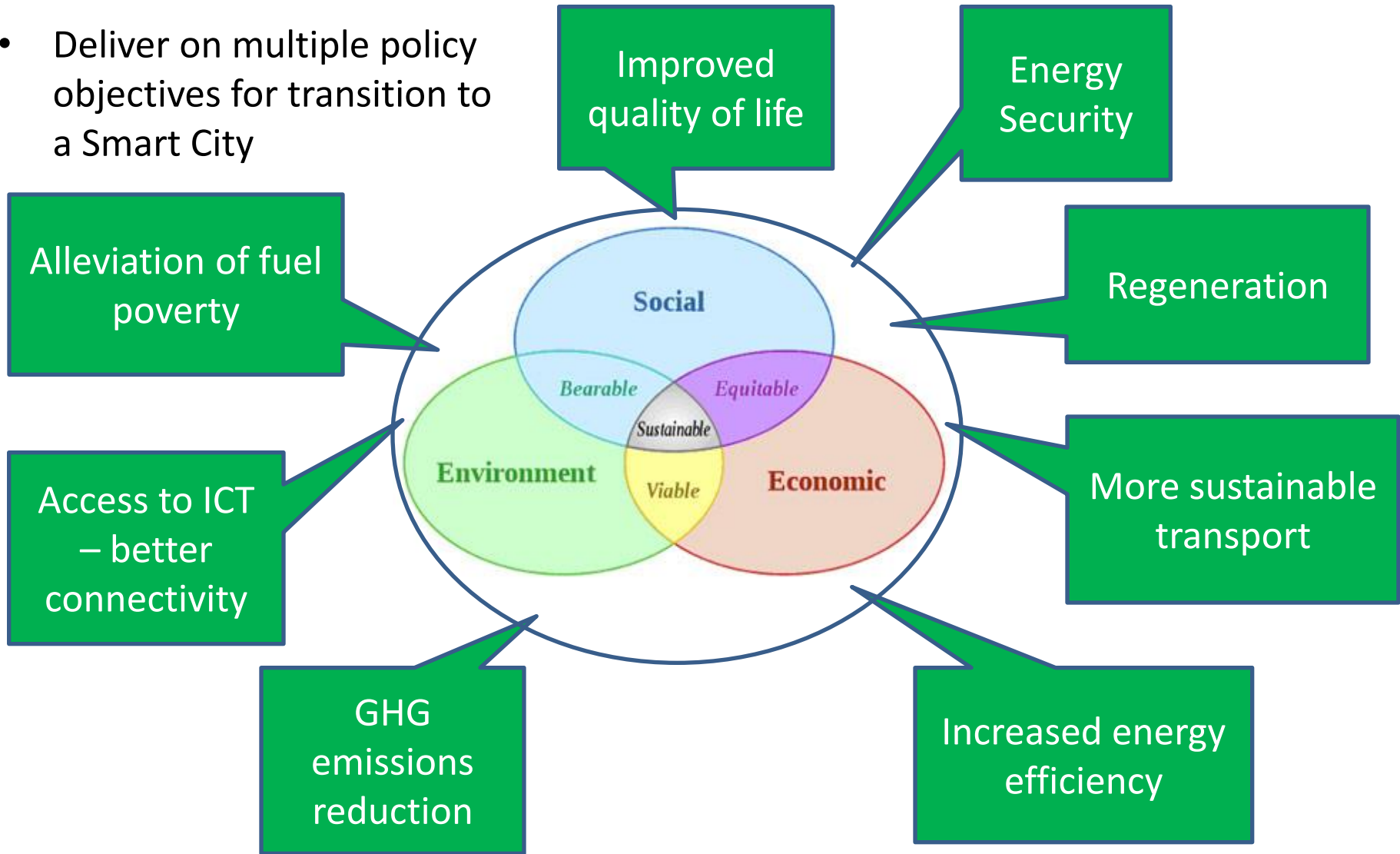


## Key winning elements:

- Political leadership with a long term approach
- Collaboration and dialogue with all stakeholders
- Contribution to multiple policy objectives
- Business models that attract investment



- Deliver on multiple policy objectives for transition to a Smart City





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# Tools for Sustainable City Planning

# Why these tools?

| <b>Stakeholder prioritisation matrix</b>  | <b>Problem/solution tree analysis</b>  |
|---|--|
| <p>Effectively applied by three STEP UP cities during enhanced SEAP development</p> <p>Two of Glasgow's companion cities coached on using the matrix</p> <ul style="list-style-type: none"> <li>• Positive feedback</li> <li>• Shown to be applicable to other cities</li> </ul> <p>Relevant in a variety of different contexts</p> | <p>Applied in two contexts in STEP UP:</p> <ul style="list-style-type: none"> <li>• By Glasgow to better understand and analyse city challenges and identify potential project opportunities</li> <li>• By all STEP UP partners to analyse barriers to, and opportunities for, effective knowledge exchange</li> </ul> <p>Relevant to identifying project opportunities, actions for a SEAP, and key challenges with multiple causes faced by an organisation, project or city</p> |



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# Tools for Stakeholder Analysis and Engagement



# What's the purpose of a stakeholder analysis?

**Have you done a stakeholder analysis before?**

**Why was it done?**

**What approach did you take?**

## Why do a stakeholder analysis?

To identify which stakeholders are of particular value to creating and delivering a particular low carbon project, initiative or SEAP

To prioritise engagement with stakeholders - which are the most important and relevant stakeholders to engage with during the development and implementation of the initiative



**To design an effective engagement approach, you need to understand stakeholders' interests and influence**

## Lessons learned from STEP UP

- Engaging stakeholders maximises delivery opportunities and ownership
- Successful engagement ensures a SEAP reflects stakeholders' priorities
- Using stakeholders' knowledge and expertise ensures a SEAP or city project will have greater impact
- Establishing strong partnerships reduces risks to the implementation of SEAP actions and project objectives, allowing cities to create more ambitious projects





# Glasgow Approach: Stakeholder Prioritisation Matrix



Variations of this approach used in Glasgow, Gothenburg and Riga

Stakeholders identified and then prioritised by:

- Importance for SEAP development
- Level of interest/engagement in the city

In these STEP UP cities, institutions and organisations were engaged first - more now being done to also engage citizens, including:

- Surveys
- Workshops
- Public consultations





Initially engaging empowered individuals:

- Climate Transition Arena - a space for local citizens, focussed on vision for Ghent to become climate neutral in 2050
- Series of meetings focussed on low carbon future of the city
- Diverse group of people attending
- Drawing from experience gained during MUSIC project

Through connections with these citizens, various informal and formal networks and institutions were also engaged

For more information about Ghent's stakeholder approach, visit the website [here](#)





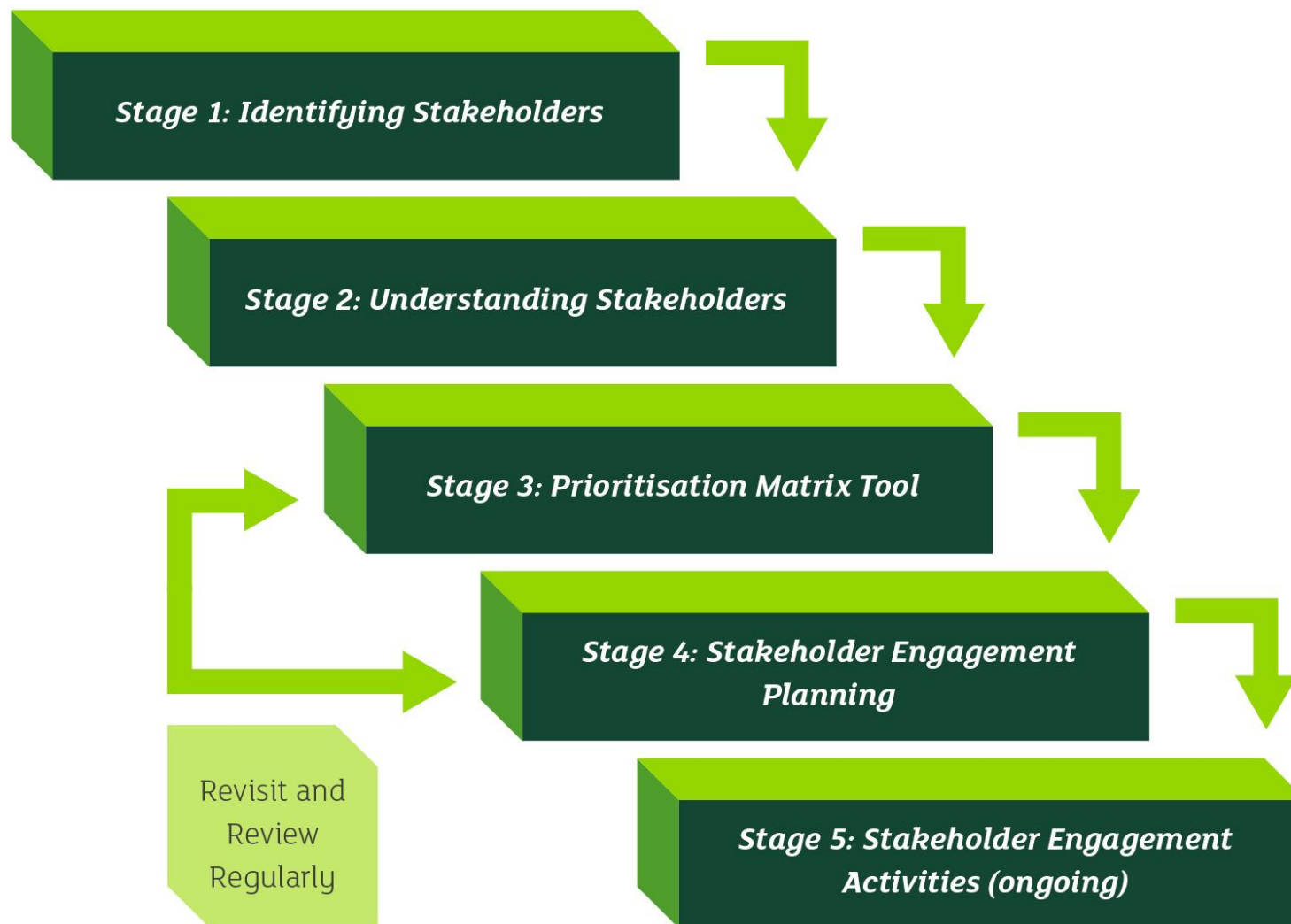
# Glasgow's Stakeholder Analysis & Engagement Approach



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# Stage 1: Identifying Stakeholders

**Purpose:** To identify all stakeholders relevant to the development of your low carbon initiative

**How?** Create a list of stakeholders

## Good practice suggestions:

- Work as a group
- Mindmap or list stakeholder suggestions
- Think about relevant sectors
- Consider previous/existing stakeholder activities
- Gain different perspectives



For effective stakeholder involvement, it's important to understand:

- Stakeholder interests
- The nature of their organisation
- Interactions with other stakeholders

For Glasgow, this was achieved through:

- Private meetings
- Telephone interviews
- Connecting through forums or events
- Online surveys



Particularly important for:

- Stakeholders you have not worked with in the past
- Stakeholders who are unlikely to be aware of the city's sustainability agenda



# Stage 3: Stakeholder Prioritisation Matrix



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**Purpose:** To map stakeholders according to their power and interest

The tool helps to identify the stakeholders which:

- Are the most important for your city/organisation to establish and maintain good working relationships with
- Have strong influence on the success of your low carbon initiative

## How?

For each stakeholder listed in stage 1, discuss and agree on their interests and power in relation to your low carbon initiative. Place their name on the corresponding place on the matrix.

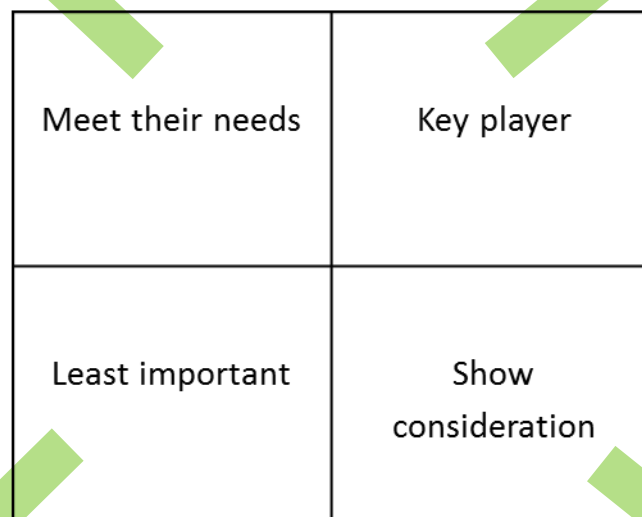


1. Engage and consult on key areas of interest
2. Aim to increase their interest during the project

High

Power

Low



Low

Interest

High

1. Focus engagement efforts on this group
2. Involve in governance/ decision-making bodies
3. Create and maintain good communication channels
4. Consult regularly

1. Inform via general communications e.g. newsletters, mail shots and websites news
2. Follow up on enquiries to increase interest in the project

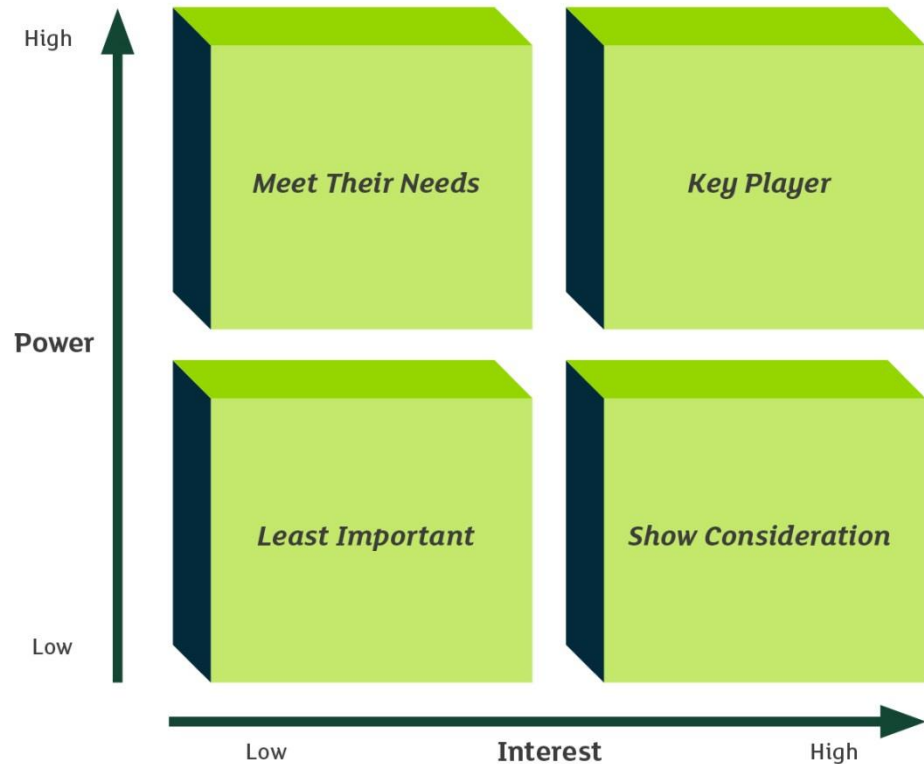
1. Keep informed and consult on key areas of interest
2. May be potential supporters or ambassadors for your project

## Activity:

Imagine you work for a small, urban local authority and are looking to develop a sustainability project for your city which will increase sustainable transport use by both businesses and citizens.

You are at an early stage of planning your project and want to identify the relevant stakeholders to involve in its development.

Discuss the stakeholder groups on the handout and decide where to place them on the matrix.



## Tips for running a stakeholder prioritisation exercise

**Work in small groups.**

Use **whiteboards, flipcharts or post-it notes** to move stakeholders around easily.

**Have a facilitator** for each group to keep discussions on track.

**Discuss different outcomes from groups**

Focus on the differences in where stakeholders have been placed and take time to discuss the reasons for this. Agree on positions and finalise the completed matrix as one group.

**Colour-code** stakeholders according to how likely they are to respond to engagement attempts.







# Stage 4: Creating a stakeholder engagement plan



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## Purpose:

To achieve stakeholder participation in, active ownership of, and long-term commitment to, your low carbon initiative

## How?

Consider how and when the city will communicate with and engage different stakeholders. Think about available communication channels and which are the most appropriate for different stakeholders.

A variety of different communication methods are likely to be needed, e.g.

- Information and education tools
- Direct involvement and feedback tools
- Extended involvement through committees or boards

See the training guidebook for examples of engagement approaches in STEP UP cities

## Tip:

If you have limited time and resources, focus on priority stakeholders or group together those listed under 'least important'

| Stakeholder sector   | Stakeholder      | Stakeholder sub-group | Matrix category    | Likelihood of engagement | Type of Communication    |
|--|------------------|-----------------------|--------------------|--------------------------|--------------------------|
| <i>Below are some examples for how to complete an engagement plan for your own stakeholders.</i> |                  |                       |                    |                          |                          |
| Local Authority  | XX City Council  | Department            | Key Player         | Green                    | Face to face, e-mail     |
|  |                  | Partnership           | Meet their needs   | Green                    | Face to face, e-mail     |
| Energy sector & Regulation   | Energy Suppliers | XX                    | Key player         | Amber                    | Face to face, e-mail     |
|  |                  | XX                    | Key player         | Red                      | Face to face, e-mail     |
|  | Regulator        | Ofgem                 | Meet their needs   | Amber                    | Newsletter, event, media |
| Education  | XX University    |                       | Show consideration | Green                    | Face to face, e-mail     |

# Stage 5: Ongoing stakeholder engagement activities

## Tips for effective and ongoing engagement

- Gain input from key stakeholders
- Sell the benefits
- Re-engage past stakeholders
- Reach out to a wider audience
- Use social media to raise awareness



## Revisit and Review

- Stakeholder interests and influence will change over time
- Revisit the prioritisation matrix periodically
- Review and update your stakeholder engagement plan
- Add in additional communication channels or opportunities



# Learning points from STEP UP cities



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Keeping stakeholders active and engaged is challenging, yet essential

- ▶ Plan stakeholder engagement into all stages of the SEAP process
- ▶ Where possible, build cooperation based on common interests or mutual ambitions

Balancing the interests of various groups with differing priorities can be challenging

- ▶ Consider the particular skills and resources that key stakeholders can offer
- ▶ Engage different groups of stakeholders at different stages of the process
- ▶ Use approaches that suit their interests and priorities



Finding sufficient resources for stakeholder engagement activities and communications can be challenges in times of Local Authority budget cuts

- ▶ Be innovative with communications
  - Adopt new channels of communication
  - Use existing communication channels in new ways
- ▶ Raise awareness of events, news and surveys through social media

Further recommendations:

- ▶ Strengthen engagement with stakeholder groups where this has previously been weak
- ▶ Revisit engagement plans regularly as stakeholder relationships develop
- ▶ Tailor your approach to suit local context, city visions and priorities, and previous experience
- ▶ Be aware of the sensitivity of a stakeholder prioritisation matrix

## STEP UP project

- [Stakeholder engagement approach](#)

## Glasgow's activities

- [Stakeholder and organisations survey](#)
- [Citizens survey](#)
- [Stakeholder workshop](#)

## Ghent's activities

- [Stakeholder workshops](#)
- [Stakeholder approach](#)

## Gothenburg's activities

- [Citizen involvement in RiverCity initiative](#)

## Riga's activities

- [SEAP public consultation events](#)





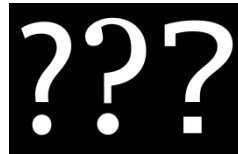
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# Problem/Solution Tree Analysis

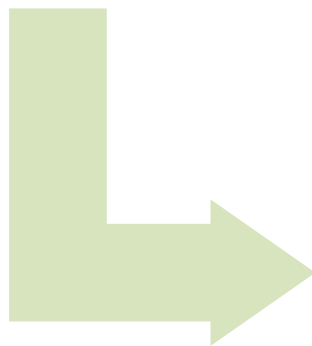




# Tackling key challenges



Assessing key challenges and identifying opportunities to address these can be challenging for local authorities and organisations



Understanding these challenges is important for delivering sustainability strategies and plans that tackle a city or organisation's priorities and deliver multiple benefits

Think about your own work...

- **What are the key challenges your city or organisation is trying to tackle?**
- **How do you make decisions about how to best address these challenges?**
- **What approach do you take to identifying new project opportunities?**





# What is a problem/solution tree analysis?



Problem/solution tree analysis (PTA) is a tool that can be used to help a project team consider key challenges or problems they face, and potential solutions which are within their power to implement

This can help to identify opportunities for interventions which:

- Address key challenges
- Deliver multiple social, environmental and economic benefits

Problem/solution tree analysis provides a structured framework to consider the root causes of city challenges and consider potential solutions which can then feed into future project development

PTA is used by a number of development agencies due to its value in planning, monitoring and evaluating projects.

STEP UP cities analysed the challenges faced in their city, with the aim of tackling these through future project developments

- Glasgow – problem/solution tree analysis approach

Two main outcomes:

- Comprehensive understanding and analysis of city challenges and opportunities, feeding into further project development work in the STEP UP project
- Support for identifying actions and project opportunities for the city's enhanced SEAP

This approach was also used with all STEP UP partners to identify opportunities to improve knowledge exchange and learning between the cities during the project





# What are the benefits of problem/solution tree analysis?

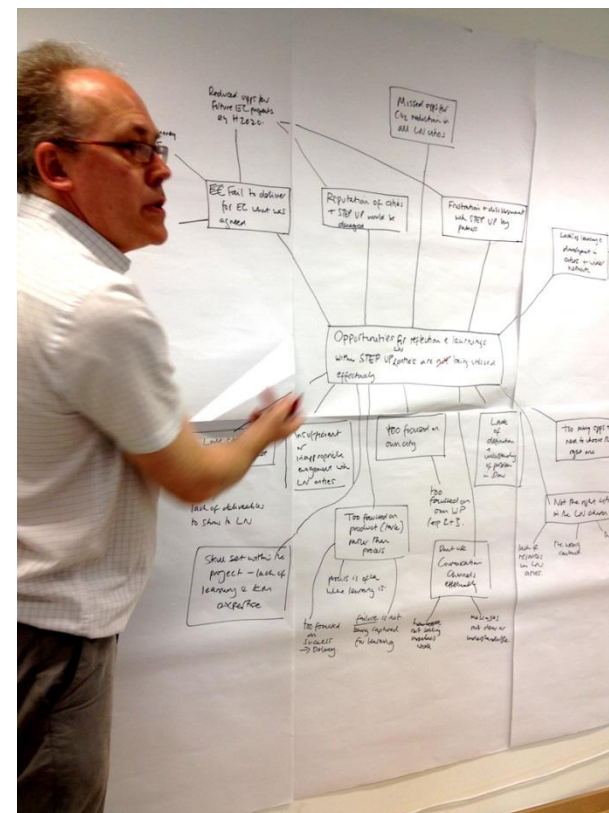
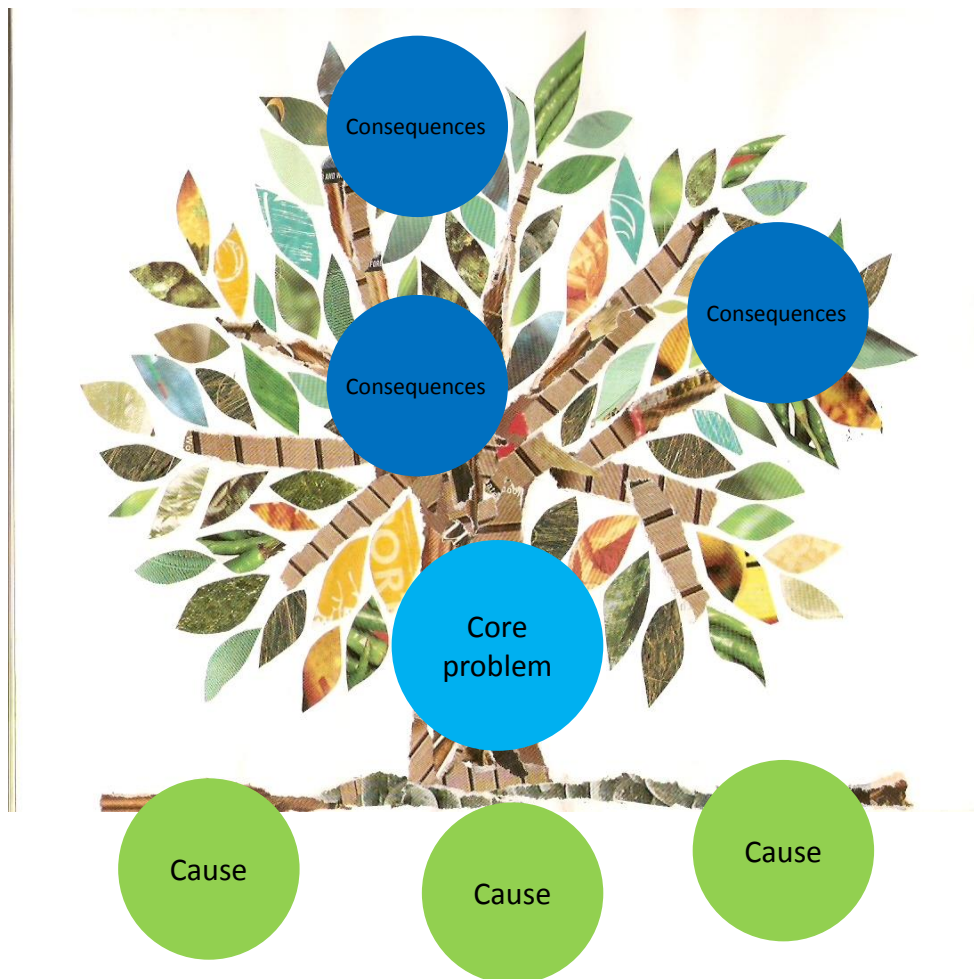


Helps to understand complex challenges and find appropriate solutions by mapping out the cause and effect of each particular issue



## Advantages of the tool:

- Breaks a problem into manageable chunks
- Considers multiple, interconnecting and conflicting causes
- Can support identification of actors and processes which impact on different stages of the problem, and potential solutions
- Information gaps can be identified
- Focuses on present issues
- Encourages participants to consider different perspectives
- Helps participants develop a shared understanding of the issue being analysed





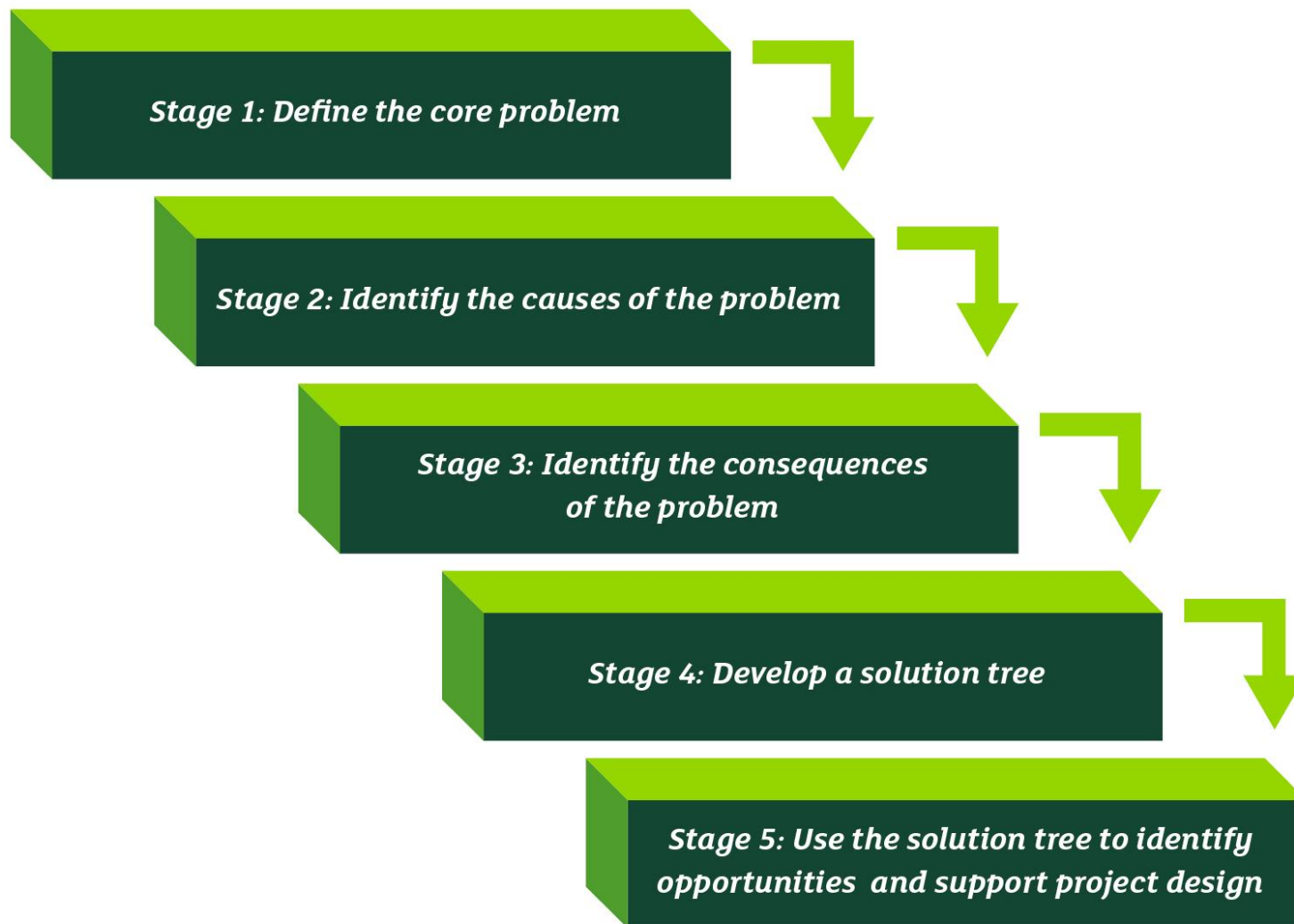
# Problem/Solution Tree Analysis: Step by step



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# Preparing for running a PTA workshop



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## Scheduling workshops

- One problem tree analysis should explore one challenge in detail
- If you're tight on time, run two parallel workshops, exploring different topics
  - Allow time to introduce everyone to the tool briefly before breaking into groups
  - Bring everyone together at the end of the session to summarise outcomes from each analysis

6-8 people for an analysis group is ideal

## Who should be involved?

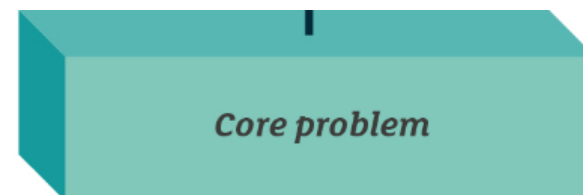
- Project team
- A few relevant internal or external stakeholders for the challenge being discussed

# Stage 1: Define the core problem

Any project or initiative should have a specific problem it seeks to overcome:

- Start with the challenge topic
- Discuss amongst the group
- Agree a definition of the problem

This becomes the centre of your ‘tree’



**Example Challenge Topic:** Transport and mobility

**Problem:** Fossil fuel based transport use in Glasgow is too high



# Stage 1: Define the core problem



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## Activity:

Imagine you work for a small, urban local authority and are looking to identify possible project opportunities to reduce carbon emissions in the city.

In your group choose one of the challenges below and think about how you could phase it as a specific problem

## Challenge topics:

Fuel poverty

Reducing carbon emissions

Low carbon finance and investment

Regeneration

## Tip:

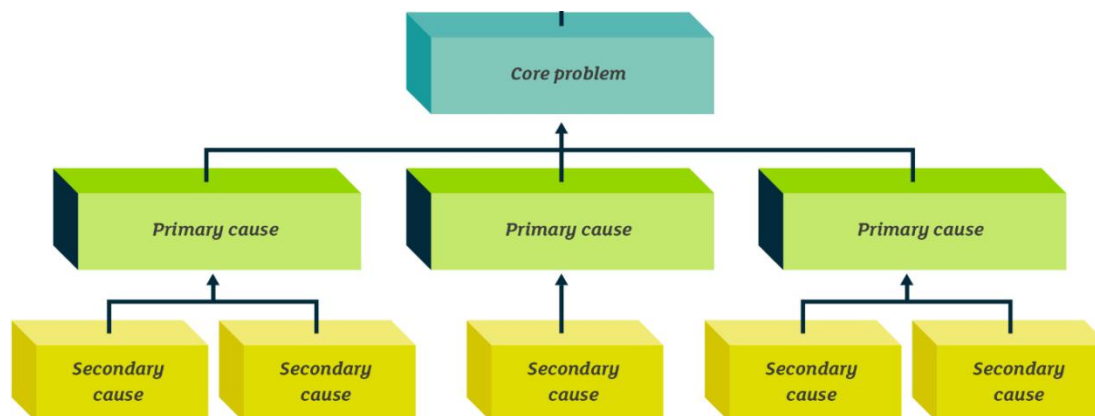
Defining a problem in the right words, and noting the relationships between different ideas, takes time. Having space to reword and move text is very useful, particularly in the early stages of an analysis. A whiteboard allows ideas and the links between them to be changed, reworded or moved easily. If this isn't possible, use large sticky notes, pieces of paper and sticky tape or a flipchart.

Think about the primary causes of the problem

- Phrase each cause in negative terms
- Place below the core problem on the tree

Then, consider the secondary consequences

- Phrase in negative terms
- Place below the primary causes on the tree
- Use arrows to show how causes are linked



## Example causes:

Alternative forms of transport are not sufficiently attractive

Poor integration of land use and transport planning

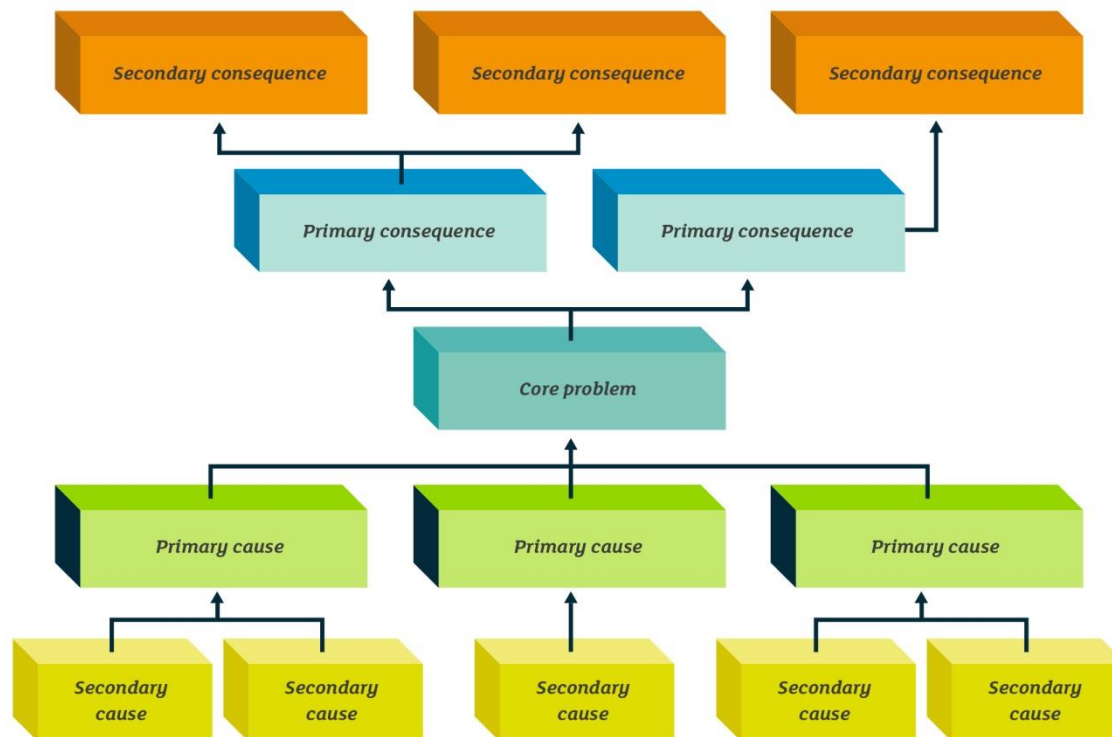
Alternative vehicle technologies are not yet well established

Think about the different consequences of the problem:

- Social
- Environmental
- Economic
- Political
- Technological

Place primary causes directly above the core problem

Place secondary consequences at the top of the tree



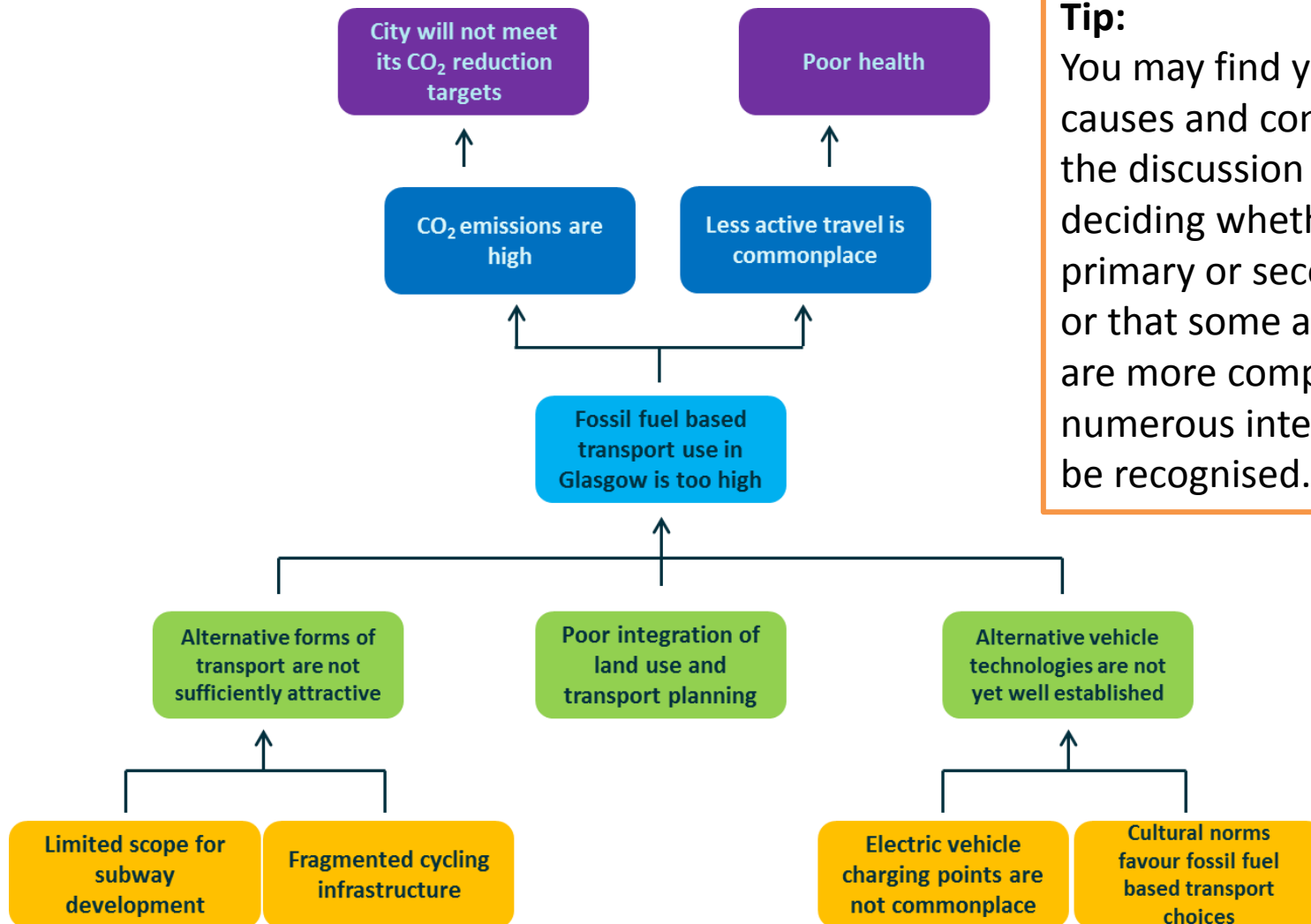
**Examples:**

Congestion

Less active travel

High emissions

# Example from Glasgow: Transport and Mobility



## Tip:

You may find you need to move causes and consequences as the discussion progresses, deciding whether they are primary or secondary in nature, or that some areas of the tree are more complex and require numerous interlinking causes to be recognised.

Reverse the negative statements in the problem tree to form solution tree where the problems have been 'solved':

- Solutions should be phrased in positive terms

Not all statements can be reversed to their polar opposites – check language carefully

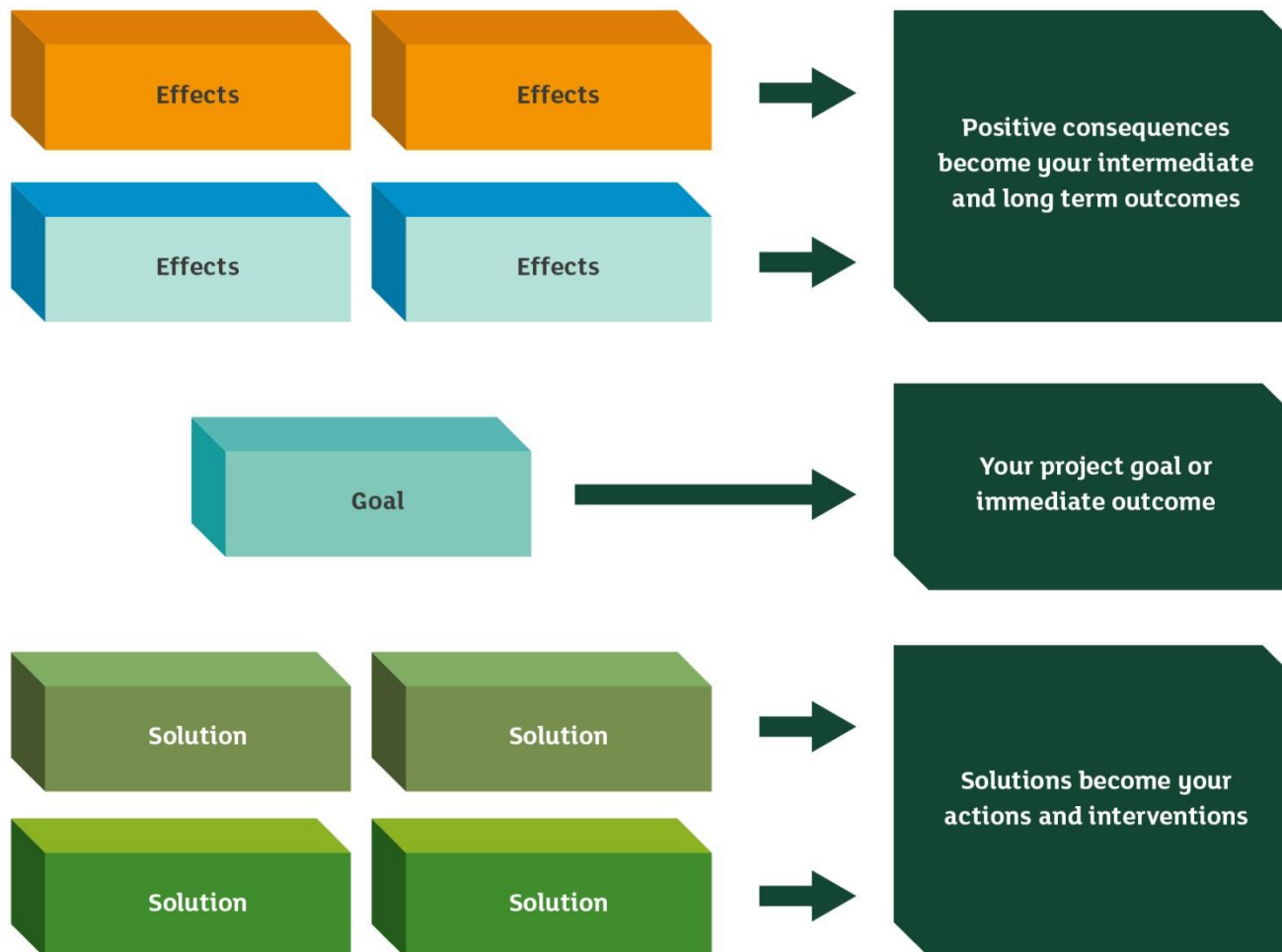
| Problem Tree                 | Solution Tree                           |
|------------------------------|---|
| City X has high fuel poverty | City X has eradicated fuel poverty      |
| City X has slow regeneration | City X has <del>fast</del> regeneration |

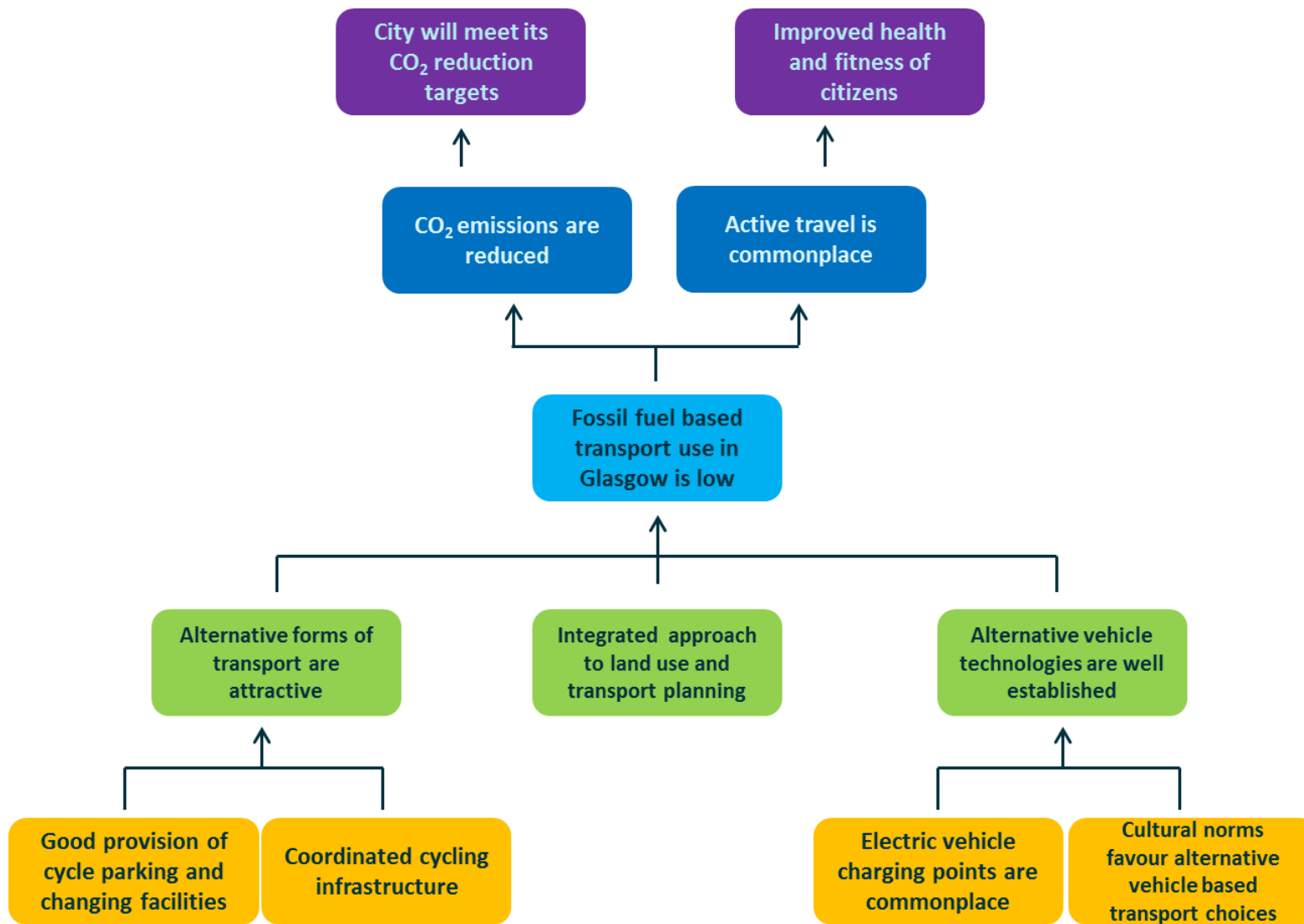
*healthy*

| Problem Tree   | Solution Tree   |
|--|---|
| <p><b>Core problem:</b><br/>Fossil fuel based transport use in Glasgow is too high</p>                                 | <p><b>Core objective:</b><br/>Lower fossil fuel based transport use in Glasgow</p>                                      |
| <p><b>Primary cause:</b><br/>Citizens have poor knowledge of alternative transport options</p>                         | <p><b>Cause:</b><br/>Citizens have good knowledge of alternative transport options</p>                                  |
| <p><b>Secondary cause:</b><br/>Lack of effective interventions such as public communication campaigns</p>              | <p><b>Solution:</b><br/>Effective interventions such as successful public communication campaigns</p>                   |
| <p><b>Consequence:</b><br/>High emissions are increasing the challenge of meeting the city's CO<sub>2</sub> target</p> | <p><b>Consequence:</b><br/>Lower emissions are increasing the potential of meeting the city's CO<sub>2</sub> target</p> |



The solution tree can help to visualise possible actions and outcomes







## Stage 5: Use solution tree to identify opportunities and support project design



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### Tips for using the solution tree:

- The positive statements of the converted core problem and consequences can often be well worded as objectives for change, which can help in defining the vision for a particular project.
- Before wrapping up the session, try to consider initial next steps whilst key external stakeholders are in the room and engaged in the analysis.

For example:

- Make a plan for discussing the findings with any relevant colleagues who were unable to attend, especially those who would be involved in implementing any of the potential actions identified.
- Note down actions related to what has been discussed, any decisions made or information gaps identified, and follow up on them in the coming weeks.



# Recommendations for problem/solution tree analysis



## **Use in the early stages of planning**

- Allows good opportunity for ideas to be taken forward
- Helps decisions about stakeholders to engage, data gaps and plans for political and citizen support

## **Involve a mix of both internal and external stakeholders**

- Useful to gain different perspectives

## **Factor in time to become familiar with the tools**

- Prior to a workshop, provide participants with key information about the purpose and step-by-step process

## **Have a designated facilitator**

- Can keep discussions on track and on topic
- Keep session running to time
- Ensure participants are clear in wording their ideas and that links between causes, problems and consequences are made



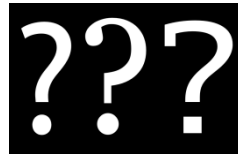
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# Any questions?



## STEP UP guides for cities

1. Developing enhanced Sustainable Energy Action Plans
2. Developing sustainable energy projects: A STEP UP guide for cities

Both available soon on the STEP UP website





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# Upcoming events



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## All-Energy 2015 conference

Sustainable cities zone and  
conference theatre

STEP UP running two sessions

- Politicians panel
- STEP UP city experiences

Conference is free to attend – register online: [www.all-energy.co.uk](http://www.all-energy.co.uk)





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## Expertise

The consortium combines expertise in energy planning, economics, finance, technology, project management and delivery and has representatives from each city council, ensuring the active participation and political commitment of the cities themselves.

Visit the STEP UP website for news and resources:

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