

OPTIC

Optimal Policies for Transport in Combination



Optic

Optimal policies for transport in combination

Optic

- 2-year CSA project
- Finalise in August 2011
- 9 partners

Objectives

- The overall objective of the Optic project is to help identify in advance possible adverse effects of transport policy measures taken in isolation, and to develop methodologies for the design and implementation of optimal combinations of policy measures which reduce adverse effects and/or provide positive synergies
- Establish general guidelines applicable to
 - Any transport modes
 - Any policy-making levels
 - Any policy measures

Deliverables

1. Inventory of measures, typology of unintended effects and a framework for packaging
2. Inventory of tools and methods for early detection of adverse effects
3. Ex-post identification and remedies of adverse effects
4. Analysis of policy packages
5. Synthesis of how to overcome/manage barriers to policy adoption; and implementation of policy packages
6. Final report: Synthesis of best practices in policy packaging and policy recommendations on policy packages

Need for Optic?

- Transport sector: complex and dynamic system
- Multifaceted policy goals
- Barriers reported in a majority of 79 transport measures adopted in Europe
- Unintended effects reported in a majority of 79 transport measures adopted in Europe
 - CO₂-differentiation of vehicle taxes in Norway reduced CO₂ emissions from cars, but led to higher emissions of NO_x and PM-10 due to shift to diesel
 - Czech Republic motorway toll for lorries led lorries to use lower class roads
 - Introduction of digital tachographs in Germany helped improve fleet management

Policy package

- A combination of individual policy measures, aimed at addressing one or more policy goals. The package is created in order to improve the impacts of the individual policy measures, minimise possible negative side effects, and/or facilitate measures' implementation and acceptability.
- “Primary measure(s)” plus “Additional measure(s)”

		CONSEQUENCE DIMENSION		
		A. Expedient / Intentional	B. IN-EXPEDIENT	
			B1. COUNTER INTENTIONAL	B2. SECONDARY
KNOWLEDGE DIMENSION	W. KNOWN	INTENDED CONSEQUENCES	ANTICIPATED COUNTER-INTENTIONAL EFFECTS	ANTICIPATED NON-INTENTIONAL EFFECTS
	X. UNKNOWN	NOT ANTICIPATED POSITIVE EFFECTS	NOT ANTICIPATED COUNTER-INTENTIONAL EFFECTS	NOT ANTICIPATED NON-INTENTIONAL EFFECTS

Identify, manage unintended effects

- Structurally open methods
- Structurally closed methods

- Risk, uncertainty
 - adaptive and flexible policy-making
 - ex-post monitoring → remedial action

Implementation and barriers

- Different types of policies..
 - *Lowi: regulatory, distributive, redistributive, constituent*
 - *Wilson:*

		Advantages	
		<i>Spread</i>	<i>Focused</i>
Disadvantages	<i>Spread</i>	Majority policy	Client policy
	<i>Focused</i>	Entrepreneur policy	Interest group policy

- Different strategies to manage barriers

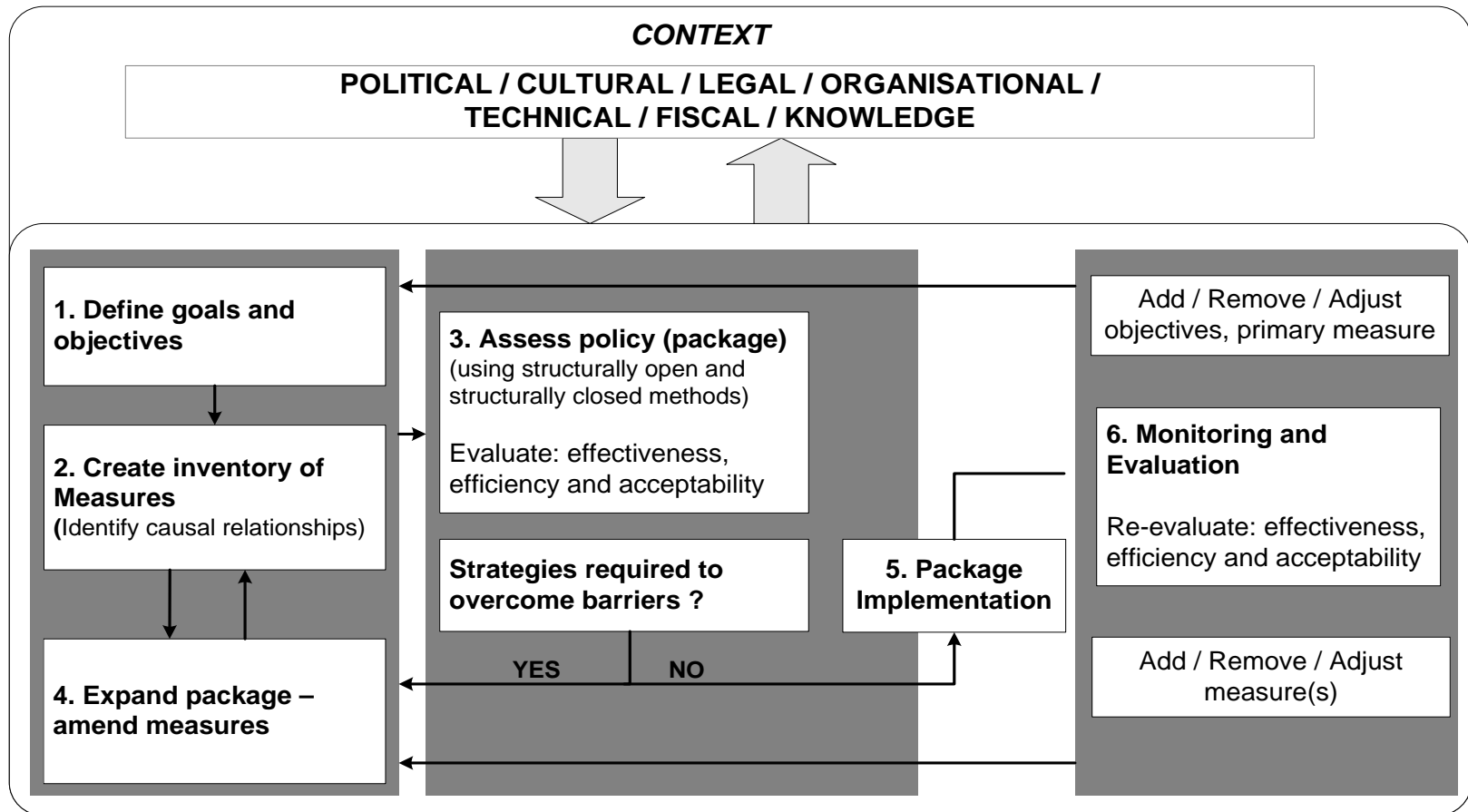
Secure long term achievements

- Ex post monitoring
- Ex-post adjustments
 - Policy intensity adjustments: strength and depth, for example the price level of a congestion charge
 - Compliance adjustments: ensuring relevant actors adhere to the demands of the intervention, e.g. seal legal loopholes
 - Character adjustments: alteration or removal of original measures in the package and/or the incorporation of new measures
 - Scope adjustments:
 - 1) Geographic range
 - 2) Actors and/or objects that the measures are designed to influence
 - 3) Policy objectives and/or targets

Good practice

- Of 34 policy packages, 8 identified as potential best practice
- Criteria:
 - Objectives and goals; primary measures and causal assumptions; inter-measure interaction; design process; technical and financial considerations; implementation; unintended effects
- Overall best practice: Directive on the promotion of clean and energy-efficient road transport vehicles

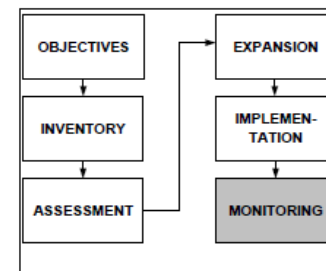
The Optic packaging framework



Practical guidelines

MONITORING, EVALUATION AND EX-POST ADJUSTMENTS

DESCRIPTION: Monitoring and evaluation of a policy package after implementation is crucial for the long-term effectiveness of a policy package and must already be foreseen during the design process. The goal is to examine if the objectives and targets have been achieved, in the time anticipated and with planned resources. Deviations must be examined and, if necessary, adjustments made to the policy package. Monitoring and evaluation should be carried out in regular intervals, as agreed upon during the design process. This agreement must also include the methods used for monitoring and evaluation and the relevant indicators.



RECOMMENDATIONS

- Identify a set of indicators that continuously measure achievement of objectives and targets
- Consider both qualitative and quantitative approaches for monitoring and evaluation
- Methods and procedures must be agreed upon before evaluation/monitoring takes place
- Consider adjusting the policy intensity (impact on targets), compliance (towards policy impacts), policy package character (changes of measures) and the package scope (geographical, operational). (See chapter 4.1.)
- Establish impact monitoring strategies to assure cost effectiveness, transparency and accessibility of the process

TOOLS AND METHODS (THOSE COMMONLY USED)

- Multi-Criteria Analysis and Cost-Benefit-Analysis
- Signposts: indicators showing to what extent the pre-set objectives and targets are reached after the implementation phase. These signposts identify critical points in time when adjustment of policies should be considered

CHECKLIST QUESTIONS

- Is there an agreement on the indicators to be used for evaluation and monitoring?
- Have the methods been agreed upon, including the timing of monitoring activities?
- Are the methods flexible/adaptable enough to take situations into account that were not anticipated before the policy intervention?
- Have resources been made available to carry out monitoring and evaluation?
- Have the responsibilities for monitoring, evaluation and reporting been clearly defined?

PRACTICAL EXAMPLE

Transport for London invested heavily in ex-post monitoring of the London Congestion Charge. The organisation closely adheres to an 'Impact Monitoring Strategy', which is founded upon the following five principles:

- (1) Monitoring should robustly detect and characterise the main expected effects of congestion charging', which reflects a commitment to comparative analysis of ex ante and ex post appraisals
- (2) Monitoring should enable unexpected or unanticipated effects to be determined', which is designed to ensure that the monitoring approach remains sensitive to the presence of non-intentional effects
- (3) Monitoring should seek to understand, as well as measure', which reflects the need for qualitative methods
- (4) Monitoring should aim to meet the legitimate needs of all stakeholders for information', which is designed to ensure that the monitoring process remains democratic, transparent and accessible to a range of individuals, organisations and economic sectors
- (5) Monitoring should provide best value', which aims to ensure that the monitoring procedures remain cost-effective

Dissemination - impact

- Website <http://optic.toi.no>
- European Transport Conference + others
- Workshops
- Deliverables
- Journal articles