

HANDBOOK

for the IMAGINE Assessment Grid

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1) Let the vision become reality

IMAGINE Low Energy City with a high quality of life for all by 2050 is the guiding concept for the vision of an ultimately carbon emission free future in terms of energy supply and demand. In that regard, the booklet “30 Energy Cities` proposals for the energy transition of cities and towns” is offering a variety of suggestions as first steps. Yet realizing the vision and achieving objectives in terms of “energy efficiency, renewable energy and greenhouse gas emissions under enhancing quality of life, new economic activities and local jobs” requires coordinated and systematic action. A Local Energy Roadmap 2050, comprising measurements and timeframes, is needed.

Its implementation is associated with a transition process. The transition involves changing current trajectories and reinventing the conception of energy supply and demand. New ways of thinking induced by changed values and norms translate societies’ habits and practice into a sustainable trajectory. In the context of a transition process, a vision is conceived as a set of long-term goals, achieved via short-term incremental steps. The transition process incorporates feedback loops and evaluation of the completed steps into the decision-making process to ensure you are on a good way. In that regard, the Assessment Grid aims to assist you in identifying and distinguishing transition policies as well as evaluating your efforts and progress. It may also serve as an advisory tool (data collection for knowledge base) for the creation of your Local Energy Roadmap 2050.

At first, the Assessment Grid may seem to be a rather quantitative tool for evaluating the energy governance structures of a city. So the question is: How could someone use it for a vision process, which is a quite qualitative and creative procedure? Imagine yourself filling out the grid. Sure, it takes some effort and time to collect the required data and policies and you will not just fill out the grid row per row and line by line. Questions about what answer is appropriate will come up, and you will find yourself in a process of thinking and rethinking – particularly when it comes to scoring your answers. While scoring a given answer, you will have to consider carefully about choosing (1) = Unsatisfying/No action taken yet, (2) = Rather satisfying/Moderate action or (3) = Satisfying/Considerable. You will probably ponder on the answer, possibly discussing it with your colleagues: is the policy or situation satisfying with respect to the IMAGINE ideals? Why (not)? And this is intended, it’s what filling out the grid should be about.

Creating a vision is not about knowing how to do something better from the first moment on. It is about opening your mind, leaving your usual mindsets and imagining the seemingly impossible. Here is what you could do to integrate the Assessment Grid into your vision

transition process: One person fills-out the grid and uses it as a basis for a mutual discussion with colleagues. Seeing the grid as 1) a review of the current situation and 2) as a starting point for a creative process, might help. The following nine steps for an efficient use of the grid can be used as a guideline:

- 1) Fill out the grid based on the current actions in your city. Alternatively several people can fill-out the grid.
- 2) Show the grid to colleagues and let them think about your assessment. Additionally to the colleagues in your department, also include colleagues from other departments or actors related to the sectors within the grid. Due to their inside knowledge they may have deeper understanding and more specific information.
- 3) Ask them whether they agree or disagree with it. If they disagree, let them explain why.
- 4) Try to bring the discordances into a mutual consensus. If this is not possible, do not give up. Instead mark the points which are not clear yet for further discussion.
- 5) Discuss the outcomes of your assessment and the estimation of your colleagues together: If you are unsatisfied with a certain outcome of the grid (in detail, the current situation concerning a specific issue in your city), discuss how it could be improved to reach a certain goal.
- 6) Discuss the next steps on your way to your Local Energy Roadmap 2050.
- 7) Use the discussion for your vision process. Questions like “Where are we?” and “Where do we want to go?” are inherent in a vision process.
- 8) During your discussions, go beyond stated boundaries: Start a brainstorming about what could be done if barriers would not exist. A transition process is about reconfiguration of structures. Do not be afraid of unfeasibility.
- 9) Come back to reality and try to combine your creative ideas with feasible strategies. Use the grid results as a starting point to build on and improve current policies and structures.
- 10) Last but not least, do not forget to be happy with your vision. It should be an improvement. As long as you will not have the feeling of enhanced development, do the process again, until you are satisfied with your outcomes. Only if you convinced yourself, you will be able to persuade politicians.

2) Introduction of the Assessment Grid

The Assessment Grid is a tool designed to help cities to assess their energy governance structures. It may be used (1) to identify their strength and weaknesses in view of their Roadmap 2050, (2) to illustrate improvements over time, (3) to trigger an internal discussion by drawing out different views through diverging responses of employees, politicians etc. This tool is a starting point. The assessment you make is rather general than a definite indicator. In combination with the case study it can help you to develop your Roadmap 2050.

Instructions: In column A you find the sectors, column B gives you proposals of energy related aims. Columns C to X ask you to assess the implementation process using a traffic light system. Each aim has two rows. In the upper rows you may enter appropriate information manually or choose from a Drop-Down-Menu, which will appear if you select the cell. In the lower row you will find the traffic light. Choose (blank) = no data (to reset the field




press 'delete'), (1) = Unsatisfying/No action taken yet, (2) = Rather satisfying/Moderate action, (3) = Satisfying/Considerable action taken. You find further instructions, information and examples in the table on mouse over as well as the associated '30 proposals' by energy cities. The grid suggests a number of specific aims. Remember: if an aim or single assessment is not relevant to your community (there might be quite a few), just leave the columns or single cells blank.

3) Using the traffic light system




The traffic light system provides the possibility for a subjective assessment of the associated answer. You can make your assessment against following mental background:

- Is this aim considered sufficiently in our policy?
- Is the agreed target suitable to bring our community closer to the vision of a low energy city with a high quality of life for all? Or in general, if there is no quantitative answer with a certain target, but a qualitative:
- Is this enough/ sufficient to bring our community closer to the vision of a low energy city with a high quality of life for all?

The usual interpretation red = stop, yellow = caution, green = go can be translated to the application in the Assessment Grid. Depending on the given answer, the following table presents possible interpretation of the traffic lights for your answer.

<u>Colour</u>	<u>Interpretation</u>
	<ul style="list-style-type: none"> - Nothing has be done until now - Urgent improvement is needed - Urgent action field
	<ul style="list-style-type: none"> - Situation is ok, but could be better - Improvement is needed - medium action field
	<ul style="list-style-type: none"> - Situation is fine - The process is on a good way - No improvement is needed

Example:

Sector	Aim	Policy		
		Mid-term target	long-term target	Status quo
Urban Planning	Reduce urban sprawl/ compact cities	By 2020: 25%	By 2050: 50%	2013: 15%
				

You think for long-term development (50% by 2050) and achieving a sustainable emission free city this target is not suitable, it should be higher.

You think for long-term development (50% by 2050) and achieving a sustainable emission free city this target is sufficient.

You think for achieving the mid- and the long-term efforts by now are not suitable.

4) Adjustment of the Assessment Grid

Columns

In case the content of one column (e.g. institutional settings – subregional level) is not relevant for your city, you have two options: The first one is to leave the cells in that specific column blank. The second option is to delete the respective column. In the latter case, the deleted column will not be taken into account for the summary of your assessment in tab “Sectors overall”, “Aims” and “Sectors via aims”.

Rows

In the case a specific aim is not relevant for your city (e.g. Reduce overall energy consumption in entire city) you have two options: The first one is to leave the cells blank in that specific row. The second option is to delete the respective rows. In the latter case, the deleted rows will not be taken into account for the summary of your assessment in tab “Sectors overall”, “Aims” and “Sectors via aims”. When deleting an aim, be aware of that each aim consists of two rows (one for typing in the information and one to assess your given answer). After deleting an aim, please make sure to also delete the respective aim in tab “Aims”.

5) TAB Assessment:

Categories of the Assessment Grid

<u>Policy</u>			
<u>Line/ Row</u>	<u>Label</u>	<u>What to do?</u>	<u>according point in 30 Proposals</u>
<u>3C</u>	<u>Mid-term-target</u>	Fill in your mid-term goals (e. g. 2020) and add policy source (e. g. climate action plan) and baseline year if applicable. e. g. Climate action plan: 30% (1990-2020).	1.7 Prepare an Energy Transition Action Plan
<u>3D</u>	<u>Long-Term-Target</u>	Fill in your long-term goals (e. g. 2050) and add policy source (e. g. Roadmap 2050) and baseline year if applicable. e. g. Roadmap 2050: 60 % (1990-2050).	
<u>3E</u>	<u>Status Quo</u>	Indicate here the current state of implementation (if possible in %)	

Institutional Settings

<u>Line/ Row</u>	<u>What to do?</u>	<u>according point in 30 Proposals</u>
<u>3F-J</u>	Select the cell and a Drop-Down-Menu will open. Assess the degree of influence (1 = very strong influence, 4 = no influence or not existing) of different administrative and legislative levels on this policy goal.	1.1. Take local control of energy supply

Interdepartmental Cooperation

<u>Line/ Row</u>	<u>Label</u>	<u>What to do?</u>	<u>according point in 30 Proposals</u>
<u>3K</u>	<u>Intersectorality</u>	List all departments involved, e. g. Energy dep., mobility and transport dep., urban planning dep., etc.	4.2 Establish cross departmental links to avoid silo mentality
<u>3L</u>	<u>Integrity</u>	Describe the cooperation between the mentioned departments.	

Financial Resources

<u>Line/ Row</u>	<u>What to do?</u>	<u>according point in 30 Proposals</u>
<u>3M</u>	How appropriate are the financial resources for this policy? Share of budget available for energy topics relative to overall LA budget.	3.1 Keep money spent on energy near to home 3.2 Collect local savings and invest them in sustainable local energy projects

Instruments used by LA

Describe the instruments your LA uses to achieve each policy.

<u>Line/ Row</u>	<u>Label</u>	<u>What to do?</u>	<u>according point in 30 Proposals</u>
<u>3N</u>	<u>Formal or regulatory instruments</u>	<p>Resources used by municipality: Authority</p> <p>Definition: to regulate stakeholders or self-regulation</p> <p>Example: procurement by LA, taxes, standards, mandates</p>	
<u>3O</u>	<u>Informal Instruments</u>	<p>Resource: Modality (connectedness) and information</p> <p>Definition: These instruments are used for awareness raising and behavioural change</p> <p>Examples: training, information, promotion</p>	<p>4.1 Create interface capacities between public authorities and the civil society</p> <p>4.3 Prove that it works and create a snowball effect</p> <p>4.4 Give public visibility to motivated players and citizen</p> <p>4.6 Make arts and culture part of the energy transition process</p>
<u>3P</u>	<u>Financial Instruments</u>	<p>Resource: Treasure/finance</p> <p>Definition: Financial tools to incentivise stakeholders</p> <p>Examples: Tax credits, capital grants, discounts, operating grants, investments in private energy-related activities, soft loans and loan guarantees, tax reduction</p>	<p>1.3 Ensure public budgets integrate positive and negative energy externalities</p> <p>3.3 Integrate future energy prices in the economic calculations made prior to investment decisions</p> <p>3.5 Set up financial structures dedicated to the energy transition</p>
<u>3Q</u>	<u>Organisational Instruments</u>	<p>Resource: Formal organisations available to the municipality</p> <p>Definition: Create a degree of organisation to bring stakeholders together and to coordinate them. The organisation can in itself use one or</p>	<p>2.5 Make the best use of energy and material flows by encouraging synergies between players</p> <p>3.4 Dedicate human capacities in financial</p>

		more of the above instruments Examples: Energy agency, control office	engineering
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Stakeholders and Players

List stakeholders & players involved in the process

<u>Line/Row</u>	<u>Label</u>	<u>What to do?</u>	<u>according point in 30 Proposals</u>
<u>3R</u>	<u>Public</u>	E. g. ministries, state agencies, schools, universities, energy and transport suppliers,	1.2 Unite all stakeholders in a local energy alliance
<u>3S</u>	<u>Civil Society</u>	E.g. Assosiations, citizens' groups, ...	1.2 Unite all stakeholders in a local energy alliance 4.1 Create interface capacities between public authorities and the civil society 4.4 Give public visibility to motivated players and citizens
<u>3T</u>	<u>Private</u>	E.g. Enterprises, citizens,...	

Ownership Structures

<u>Line/Row</u>	<u>What to do?</u>
<u>3U-Y</u>	Indicate who owns the Energy/ Transport/ Urban Planning/ Waste/ Housing/ Water/ Health and Consumption Utility in your LA. For the Drop-Down-Menu, scroll down. With the traffic lights indicate the room for manevre that the setting offers to your city.

Policies and the regarding 30 Proposals added by Energy Cities (Vertical)

Energy Generation Distribution and Consumption

1.1 Take local control of energy supply

1.6 Lead by example by transforming municipal energy management

2.1 Know the territory's metabolism so as to optimise local potential and reduce the impact of human activities on the ecosystem

2.2 Identify local energy potential in order to live within our means

Mobility and Transport

5.4 Plan modal shift to sustainable transport

5.5 Transform railway stations into territorial structuring hubs

5.6 Design a street code to favour walking and cycling

5.7 Implement goods delivery schemes

Urban Planning

2.3 Prepare a local heat plan to match need and available resource

2.4 Create and implement a territorial bio-waste action plan

5.1 Make planning system drive territory's energy transition

5.2 Prepare an energy retrofitting plan for the whole building stock

5.3 Ensure that new neighbourhoods are "100%" renewable

Waste

2.4 Create and implement a territorial bio-waste action plan

Housing and buildings

2.2 Identify local energy potential in order to live within our means

2.5 Make the best use of energy and material flows by encouraging synergies between players

5.2 Prepare an energy retrofitting plan for the whole building stock

5.3 Ensure that new neighbourhoods are "100%" renewable

Water

1.6 Lead by example by transforming municipal energy management

Health & Liveability

5.5 Transform railway stations into territorial structuring hubs

5.6 Design a street code to favour walking and cycling

5.7 Implement goods delivery schemes

Consumption Patterns

2.1 Know the territory's metabolism so as to optimize local potential and reduce the impact of human activities on the ecosystem

4.5 Raise opportunities for experimenting new practices to encourage their dissemination

5.7 Implement goods delivery schemes

6) TAB Sectors overall

In the TAB Sector overall you find a summary of your given answers in TAB Assessment for each sector. Column B calculates Satisfaction Points (SP) generated from your individual traffic light assessment. If you for instance assessed every possible answer with a green traffic light, maximum SPs are 54 (Column C). Column D shows division of Column C (max SP per sector) and Column B (individual assessment) in percentage terms. Beside the calculation a cobweb-diagram visualizes the outcomes. It shows which sectors you assessed to be satisfying as well as in which sectors there is demand for action. Note that the single sectors may differ in importance in your community. Some are very important for local development whereas others are subordinate. The diagram does not reflect the importance. You will have to take this into consideration in your argumentation.

7) TAB Aims

If you choose to assess detailed aims for each sector, TAB Aims is providing you in Column C a summary of your given answers for each aim in TAB Assessment. Right beside each sector you find a diagram visualizing the SPs for the different aims aggregated per sector. Note that the single aims may differ in importance in your community. Some are very important for local development whereas others are subordinate. The diagram does not reflect the importance. You will have to take this into consideration in your argumentation.

8) TAB Sectors via aims

TAB Sector via aims presents a summary of the assessed aims within each sector. In contrast to the condensed assessment in TAB Sectors overall, each specific aim is included. Column B calculates your individual assessment (sum of SP per aim for each sector). Column C presents maximum SP per sector (number of aims x 54 SP per aim). Column D shows division of Column C (max SP per sector) and Column B (individual assessment) in percentage terms. Beside the calculation, a cobweb-diagram visualizes the outcomes. It shows which sectors you assessed to be satisfying as well as in which sectors there is demand for action. Note that the single sectors may differ in importance in your community. Some are very important for local development whereas others are subordinate. The diagram does not reflect the importance. You will have to take this into consideration in your argumentation.