



Summary of the Qualitative Decision Support Model

7 STEPS TOWARDS TRANSFORMATION AGENDA

This Qualitative Decision Support Model, the Generic Transformation Agenda, has been developed during the TRANSFORM project between 2013 and June 2015 under the funding of the European Commission. Six cities have worked together to improve their Smart Energy City Status. The methods used are outlined in this document and describe the general structure of a **City Transformation Management**. This Generic Transformation Agenda summarizes the experiences and invites other cities to use this Generic Transformation Agenda to develop their specific City Transformation Agenda. In the TRANSFORM project, each of the six cities have developed such a City Transformation Agenda which serve as examples how this GTA can be applied in a specific city context.

The **Generic Transformation Agenda** supports cities and decision makers striving towards integrated energy planning.

THE COMPLEXITY OF TRANSFORMATION

European Cities are at the beginning of a profound transformation process that shall lead to sustainable and livable conditions on the basis of responsibly designed, resource efficient and low-emission urban structures and functions. Thereby, the cities take part in the challenge of global transition and search for answers related to both the intensive world-wide networks as well as the cultural traditions of European cities.

Various transformation fields (PESTLEGS) have to be considered in order to outline the contents and the frame of the transformation, and in order to specify the necessary elements of shifts which are considered inevitable. These fields shall be contemplated both individually and in combination with each other, and furthermore, have to fit into the city-specific framework and particularities. Therefore, the PESTLEGS are likewise giving a unified example for the transformation management of metropolises as well as a city-specific selection of objectives, instruments and project steering.

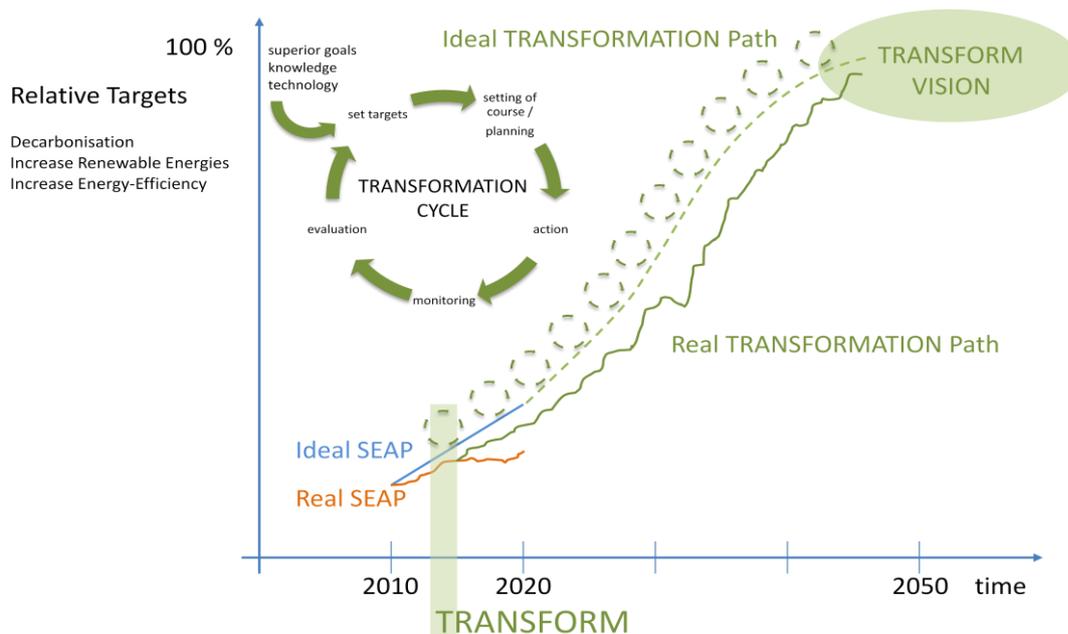
**FIELDS OF
TRANSFORMATION
(PESTLEGS):**

Political
Economic
Social
Technical
Legal
Environmental
Governance

THE QUALITATIVE DECISION SUPPORT MODEL

The challenging question is how to attain the vision of achieving a “Smart Energy City”? The answer may be given by a Transformation Agenda. It can be anticipated that there will be neither a general solution matching all European cities nor a patent remedy for an individual city. Moving toward Smart Energy Cities implies a radical change of paradigm and needs new models for strategic sustainable planning which leads to new kinds of interaction between politics, society, science, technology and the economy. It brings together the main issues that are part of the Smart Energy City, including governance, institutional failure, investment agendas and financial strategies. This shall be achieved by using learnings as well as experiences from the cities’ Smart Urban Labs in permanent iteration.

Hence, a **Qualitative Decision Support Model** is needed – in the following named as **Generic Transformation Agenda (GTA)**. The Generic Transformation Agenda has been developed as a general concept which aspires to serve as a guideline for cities that want to embark on the path towards decarbonisation, increasing both their use of renewable energies and the level of energy efficiency. This GTA is based on the idea that regime shifts are long-term non-linear processes of change which cannot be strictly ruled but certainly directed through impact on transformation dynamics. To exert that impact, it takes interaction with various stakeholders and multi-actor networks, pro-active use of multi-level dynamics and governance, technological innovation and a fresh take on urban planning as well as the acceptance of uncertainty about future internal and external pressures. In line with recent findings in the transition research, the GTA is proposed as a guideline which translates abstract knowledge of complex systems to a practical management framework. It builds on the experience of TRANSFORM partners and their City Transformation Agendas. The core of the Transformation Agenda is the establishment of a continuous process, which ensures long-term development towards a Smart Energy City and includes recurring corrections to reduce the deviations between an ideal and a real Sustainable Energy Action Plan (SEAP) (see *Figure below*).



The basic components of Transformation Management and Transformation Path towards long-term goals and vision.

This document offers guidance for the development of tailor-made Transformation Agendas, suiting the unique character of a city and exploiting its specific strengths. Seven steps comprise a range of different elements and tools, based on experience from the TRANSFORM project. It is equally conceivable to use the GTA as a source of inspiration and to apply only a selection of the elements if this satisfies the city’s needs best.

THE 7 STEPS TOWARDS TRANSFORMATION AGENDA

- 1** | **SETTING TARGETS**

The 7 steps begin with a strong vision and clear definition of targets by the city. The vision and targets have to be agreed upon by the main political stakeholders. Strong stakeholder involvement is important in order to ensure action. The targets should include short-, medium and long-term components to provide milestones all along the path towards the vision.
- 2** | **DETERMINATION AND ANALYSIS OF STATUS QUO**

In order to identify the best measures towards Transformation it is necessary to analyze and evaluate the current state of the city relative to the targets and vision. The TRANSFORM suggests four main tools that assist the determination of the Status Quo: a Baseline Analysis including important facts, a Status Quo Report concerning the city context, a strategic City Concept Assessment along Guiding Questions and an evaluation according to a list of Key Performance Indicators. Key stakeholders should be identified through the process of Stakeholder Mapping and should be involved in projects and decision-making at an early stage.
- 3** | **FIND FOCUS POINTS TO IMPROVE DEVELOPMENT PATH TOWARDS TRANSFORMATION STRATEGY**

Prioritizing which themes to act on, and in which order, is essential. The Transformation Agenda should focus on the crucial challenges which enable significant advancements towards the city's targets. Therefore, as part of the third step, so called Intake Workshops are organized, involving staff members from across the city administration, stakeholders and knowledge partners. These workshops are useful to examine challenges, brainstorm and discuss potential solutions. This process is supported by the use of the SWOT and PESTLEGS analysis tools, and furthermore a calibration of the concept along Guiding Questions.
- 4** | **ADJUSTMENTS OF STRATEGIC CONCEPT TO THE CITY SYSTEM AND INCREASE OF IMPACT**

Cities are complex and difficult to manage due to diverse groups of interest, hence, Step 4 draws attention to the city as a complex adaptive system and to encourage the creators of the city concept to search for links and possibilities to intervene sensibly in the system.

A good city concept is closely connected to its targets and vision. The higher the levels of participation and intervention in the city development process, the higher the level of possible impact.

5 TRANSFORMATION AGENDA AND DECISION SUPPORT ENVIRONMENT

The development of a Transformation Agenda, which includes a specific Action Plan, plays an essential role for reaching the set targets – actions and measures are the means to turn the strategy into reality. An Implementation Plans is a concrete application of tangible measures in a particular district of the city, aligned to the short- and medium-term targets. A great help for the evaluation and decision on the right actions can be the specifically for this purpose developed Decision Support Environment provided by TRANSFORM.

6 PROCEDURES AND CITY DYNAMICS OF MONITORING, EVALUATION AND ADAPTATION

A long planning horizon in the range of several decades is the basis to succeed in profound transitions. A city needs to be able to adapt to its dynamics, which means an ongoing feedback process with continuous loops of adaptation. The process of monitoring and evaluation requires iteration on a regular basis in order to reach the desired Transformation towards a Smart Energy City. Through this, deviations from the desired path can be recognized at an early stage and the city can react according to the set targets. The process of monitoring and evaluation is therefore inevitable.

7 COMPOSITION OF THE TRANSFORMATION AGENDA

The assembly of the results originating from the previous 6 steps leads to the conception of the Transformation Agenda in this final step. The strategy of the Transformation Agenda focuses on the long-term perspective while its measures direct to the short- and mid-term development of the city. Furthermore, the integration of accompanying research, experts and consultants can enhance the agenda’s level of quality. With respect to innovation and creative change management, space for niches and experiments should be considered in the strategy. Frontrunners and change agents should be encouraged by the city concept. Diversity is assumed to be more robust than “one best way”.

The following table shows relation of the guiding steps of the GTA to the Transformation Agenda template, which is provided separately by the TRANSFORM project.

Contents of the TA Template	GTA Steps to provide content
A - The Story: Status Quo, Story, Vision, Quantitative goals	Steps 1 & 2
B - Evaluation of the City Energy Strategy SEAP & Transformation Process	Step 3
C - Improving abilities to implement selected themes and strategic city working groups	Steps 4 & 5
D - What has been achieved so far and impact on the city existing strategy	Steps 6 & 7

Interrelations between the “7 Steps” and the Transformation Agenda template