

Multi-Level Governance in Mobility and Transport within the EU-Strategy for  
the Alpine Region (EUSALP)

GOV.MO.TALP

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## Executive Summary

### 1. Aim

The EUSALP Strategy brings together seven countries, of which five are EU Member States (Austria, France, Germany, Italy and Slovenia) and two are EFTA (European Free Trade Association) countries (Liechtenstein and Switzerland). From a subnational perspective, EUSALP is a platform for cooperation for 48 regions. EUSALP is implemented by nine EUSALP Action Groups (AG), which organise their operations thematically along the four key objectives of the macro-regional strategy. The EUSALP Action Plan outlines the four objectives and the nine actions of cooperation.

Within Objective 2 "Mobility and Connectivity" of the EUSALP Action Plan, Action Group 4 is to promote intermodality and interoperability in passenger and freight transport. Action Group 4 offers a platform to identify, coordinate, orchestrate and potentially harmonise the activities of Alpine regions and countries. The aim is the development of a sustainable transport and mobility system within and across the Alps. AG4's mission is to build a common understanding of transport policy and mobility, to define common objectives and to launch specific activities and projects. At the same time, AG4's mandate aims to foster trans-border cooperation and greater integration between the existing bodies and structures in the field of transport. By enhancing the collaboration of AG4 with different actors – governments, administrations and agencies at various levels of policy-making and policy implementation – in the area of transport, mobility and sustainable development, EUSALP might improve coordination and consistency between policy initiatives and encourage the alignment of related project funding. Thereby, AG4 can contribute to the fourth objective of the EUSALP Action Plan, which calls for developing a sound governance model for the Alpine region.

Against this background, the GOV.MO.TALP study aims to provide for a comprehensive stocktaking of structures, inter- and intra-institutional processes, related formal and informal actors and instruments in the area of transport and mobility policies at various levels of governance. Building on a combination of historical neo-institutionalist and multi-level governance approaches for analyzing a complex, highly interwoven framework of policy-making, we investigate international, interregional, national and regional policy frameworks that have been established to provide means for sustainable transport in the EUSALP region. Based on a thorough analysis of the legal foundations as well as of the established means for inter- and intragovernmental coordination, parliamentary accountability and stakeholder as well as citizen engagement, GOV.MO.TALP identifies opportunity structures (the "written

constitution”) and governance practices and processes (the “living constitution”) to tackle the related challenges in the field of mobility.

In a first step, the study identifies legal frameworks and responsible actors in the field of transport policy within the seven Alpine member states, on the EU and on the international level. In a second step, the study gives a mapping of relevant cross-border and transnational regimes that work on transport issues in the Alpine region. Third, the study elaborates on strengths, weaknesses, best practice examples and gaps in the existing cross-border landscape with respect to criteria of mobilisation, deliberation, legitimacy, institutionalisation and continuity. Fourth, the study maps relevant non-state actors and their contribution to information, consultation and collaboration in the field of transport. Finally, the study provides a synthesis of the elaborated arguments and develops concrete recommendations for AG4. Overall, the results should help AG4 to identify relevant legal frameworks and actors, to learn from best practice and to fill existing governance gaps.

## 2. Analytical framework

The capability of cross-border structures to reach a common understanding, define common objectives and launch targeted activities and projects can be operationalized along five dimensions. First, cross-border cooperation has to mobilize all actors necessary (*mobilization*). Innovative solutions demand the mobilization of actors from the local, the regional, the national and the European level, from the public and the private sector and from different geographical areas. Second, governance must provide an arena for the open, nondiscriminatory discussion among all actors (*deliberation*). It has to allow for the development of a common understanding and innovative ideas. Third, governance has to ensure a constant connection to citizens’ concerns (*legitimacy*). This can be fulfilled by representative institutions, for example parliaments, but also by the involvement of civil society organizations and direct links to citizens. Fourth, governance has to secure efficient and effective implementation of the generated ideas (*institutionalisation*). Therefore, it should draw on a stable institutional framework of rules, norms and clear responsibilities. Fifth, governance must ensure that mobilization, deliberation, legitimacy and institutionalisation are connected in a constant and recursive process (*continuity*). This has to be ensured against the background of personnel fluctuations, changing political commitment or a dynamic external framework.

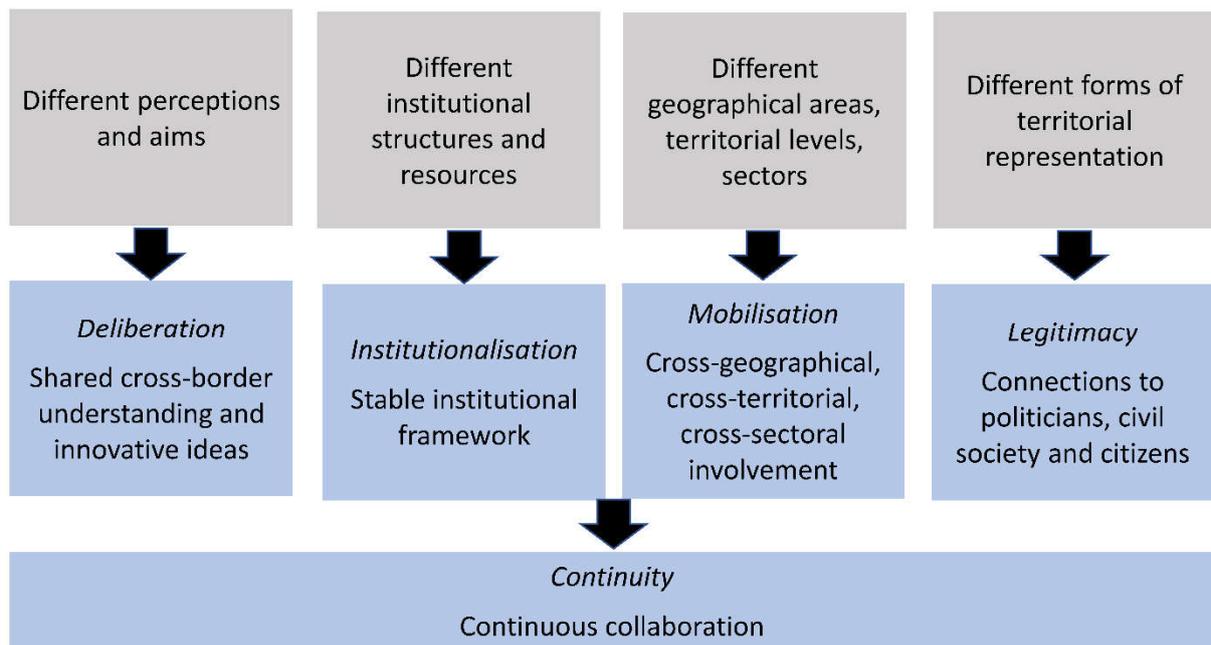


Figure 1. The five dimensions of cross-border governance capability (GOV.MO.TALP study, p. 17)

### 3. EU and national framework

For the European Union, transport is a priority action area for sustainable development. Transport plays a considerable role in the economy with its omnipresence throughout the production chain, at all geographic scales. However, transport is also considered as the sector with the fastest growth in environmental pollution. Apart from energy generation and industrial processing, transport is a major contributor to air pollution. In the last two decades, transalpine freight transport has been growing continuously, with road freight transport playing a dominant role. This increase was principally absorbed by road transport, which registered a remarkable growth, and to a much lesser extent by rail, whereby the unaccompanied combined transport registered the main proportion - thanks to Switzerland's rigorous policy in this regard.

The alpine area is characterised by several constraints regarding the accessibility and transport infrastructure. As almost thirty percent of all greenhouse gas emissions in the Alps can be attributed to transport, passenger and freight traffic are to be identified as one of the main causes for climate change. Road transport in particular affects air pollution, noise and traffic congestion. Accordingly, transport and mobility constitute a key challenge for the socio-economic and ecological development of the Alpine regions. Mountain regions are particularly vulnerable to and thus highly affected by

environmental impacts from transport and tourism due to their territorial morphology and biological and landscape diversity. Several parameters reinforce the vulnerability of mountain regions. Transport infrastructure is very limited to topographic characteristics like narrow valleys or steep slopes. Hence, traffic flows are highly concentrated on a limited number of trunk links (road and rail), which easily overload. Effects of air pollution have a higher impact due to specific morphological conditions and due to topography. Noise spread is intensified due to specific morphological conditions in mountain regions (valleys, peaks) compared to lowlands. The amphitheater shape of valleys and their narrowness hinder emissions from diffusing and let them remain in the valley. This causes a similarly bad air quality in these valleys as in an urban area.

Transport policy has been one of the EU's common policies for more than 30 years, effectively since 22 May 1985 when the Court of Justice of the European Union ruled on the case brought by the European Parliament against the Council for its failure to act in this area. In its judgment in Case 13/83, the Court of Justice thus urged the Council to act and kicked off the process of developing a genuine common transport policy. The original key priority was the creation of a common transport market as a condition for the establishment of the freedom to provide services and the opening-up of transport markets. To date, this goal has been achieved to a large extent.

Because of the European internal market, the abolition of internal borders, the opening and liberalisation of transport markets, the resulting drop in transport prices, Eastern and Southern enlargement, and a deepened framework for trade and economic development, volumes of goods and passengers have steadily increased. As a result, the transport sector faces increasing social and environmental constraints, so that the "sustainable mobility" model has become a critical benchmark for further developing the EU's transport policy. The "sustainable mobility" is key to achieving two different sets of goals:

- On the one hand, the EU aims at safeguarding fairly priced and efficient mobility for people and goods as a central precondition for a competitive and fair EU internal market and as the main precondition for achieving the freedom of movement.
- On the other hand, increased traffic volumes need to be governed in such a way as to minimise external costs, such as road accidents, respiratory diseases, climate change, noise, environmental damage or traffic congestion.

In operational terms, the sustainable mobility model therefore calls for an integrated approach to optimise the efficiency and effectiveness of the transport system, the

transport organisation and to reduce energy consumption and the environmental repercussions. The cornerstones of this model include the improvement of competitiveness of environmentally friendly modes of transport, the creation of integrated transport networks used by two or more modes of transport (combined transport and intermodality) and the creation of fair conditions of competition between modes of transport through fair charging for the external costs they generate.

The analysis on the EU's and the EUSALP member states' transport policies draws the attention to diverging economic interests, diverse geographical and territorial conditions, and diverging perceptions of the Alps. Alpine countries, regions and societies emerge as a flexible and dynamic grouping that is willing and able to steer the challenges of increasing traffic and its related impact on nature, environment and people by common effort. In some Alpine countries, local communities and regions actively fostered societal movements against transit traffic and its negative impacts. Some regions (esp. North and South Tyrol/Alto Adige), Austria and Switzerland focus their policies at both reducing transit road traffic by internalizing external costs and by promoting alternative transport and logistic industries. On the other hand, Italy and France concentrate more on the promotion of new or better, i.e. faster and safer infrastructure to ease transalpine import-export flow. Perceiving the Alps as a barrier for trade, this specific Franco-Italian interest is backed up by similar positions of Germany, the Netherlands, and Belgium. At EU level, the Parliament, the Council, and the Commission focus their policies on making trans-European networks more efficient, on shifting freight traffic from road to rail, and on a generalization of tolls based on the "polluter pays" principle. Transport/transit agreements of the EU with Austria and Switzerland facilitated the emergence of a genuine European transalpine transport policy by subsequently creating more ground for shared views to develop common and comprehensive approaches regarding road charging and modal shift.

Conflicting interests about the transalpine transport policy and diverging interests and perceptions necessitate multilateral and multilevel coordination and policy-making approaches. In addition, as the topic is highly politicized in some alpine countries and regions, multi-level policy approaches are challenged by a large array of non-state actors.

#### 4. Analysis of gaps and recommendations for improvement

Based on an investigation of existing cross-border structures in the Alpine space in the policy field of transport, the study examines cross-border governance gaps. General problems in the field of *mobilization* refer to difficulties to attract participants,

asymmetries of mobilization across different topics and working groups and the continuity of mobilization. Existing cross-border frameworks rarely encompass a comprehensive geographical area, unite all territorial levels and provide for cross-sectoral exchange. To fill the mobilization gap, the Action Group leader of AG4 has a crucial function as a network animator. Regular information and direct communication with a broad variety of actors appear crucial to spur interest and participation. At the same time, AG4 members should keep competent actors within their nation-states informed about all steps in the Action Group and point at possible synergies with responsibilities. To reduce the risk of undermining the value of existing transnational networks, which can be a disincentive to participate in AG4, the Action Group should establish close coordination on all steps with the most important regimes.

Taking up the dimension of *deliberation*, cross-border regimes in the Alpine space appear limited by formal and informal asymmetries among participants, requirements of consensus and formalized role expectations. Different degrees of decision-making power and domestic hierarchies limit the ability to contribute and the courage to raise ideas. At the same time, not all actors in cross-border cooperation possess the same information and can take decisions on the same basis of knowledge. Participants may also feel tied to official positions and cannot engage in an open process of discussion, argumentation and persuasion. To bridge the deliberation gap, a positive discussion climate can balance asymmetrical relations. The Action Group leader should take care that everybody can state an opinion, that also unconventional voices are heard and that ideas are not discriminated. AG4 should also ensure that all interested participants share knowledge. Therefore, it could provide statistics and studies on the website and conduct surveys among its members to gain a common basis for decisions. While consensus is desirable, smaller groups of actors should have the possibility to collaborate on issues that do not gain consent among all participants. The Action Group should couple open, participatory formats for discussion with smaller, confidential circles in which public authorities can raise opinions beyond formal role expectations. Moreover, unconventional discussion techniques should be envisaged.

In relation to the dimension of *legitimacy*, most cross-border regimes in the Alpine space have built up linkages to the political level, but focus on the political executive. Parliaments as traditional institutions of representation have a weak role. Most cross-border regimes involve civil society organizations marginally and foresee restrictive procedures. Links to the wider citizenry in cross-border regimes are limited. In general, the public lacks information about cross-border structures. The legitimacy gap requires regular information vis-à-vis politicians and local, regional, national and European

assemblies. Parliamentarians should receive the opportunity to contribute their expertise. AG4 should also provide up-to-date general information on actions and participants, easily accessible communication on tangible projects and benefits and more technical material to inform interested practitioners on the homepage. Citizens should be targeted with specific events and receive the opportunity to directly submit feedback.

With regard to *institutionalisation*, most cross-border regimes in the field of transport have established institutional structures that accompany the process. Apart from a facilitating secretariat or head office, they have set up working groups to stimulate activism and to ensure continuity. Gaps in the field of institutionalisation mainly refer to a certain tension between cross-border and domestic responsibilities and the limited involvement of all actors that are legally responsible. Moreover, many cross-border regimes lack an independent institutional framework that can act as a neutral facilitator of cross-border action. EUSALP AG4 already provides an institutional structure for collaboration. However, the creation of additional sub-groups on specific subjects appear advisable. They institutionalise cooperation in narrow thematic fields and increase potentials for concrete collaboration. All participating actors have to coordinate strategies and desired outcomes with national or regional political objectives and established bureaucratic procedures. Public responsibility lies with every participant and has to be ensured throughout the process. Long-term institutional visions in the form of politically agreed plans – also for each Action Group – and a monitoring system that relates agreed objectives to concrete actions and results are important to ensure targeted collaboration.

*Continuity* can be difficult as representatives in working groups change or even vanish altogether. This follows changes in the single administrations, political changes, but also a diminishing interest among civil servants. A second aspect that undermines continuity is the change of external incentives, for example decreases in EU funding. To maintain interest among civil servants, all participants have to be able to identify with the pursued objectives. As commitment in cross-border cooperation builds on social relationships, AG meetings should be regular enough to allow for the building of social linkages. Formal meetings should be coupled with formats that are more informal. The setting up of a long-term strategic vision that outlines what cooperation can and should deliver, documentation of all steps of collaboration and broad mobilization appear as further means to strengthen continuity. Cooperation should not depend on external structures and incentives. Rather, activities should contribute to actual

problems and challenges instead of referring to EU funding axes and search for financial and practical assistance beyond the narrow EU framework.

*Conflict resolution* is a transversal subject that concerns all five dimensions of cross-border governance capability. As different backgrounds and interests meet in cross-border cooperation, the macro-regional strategy has to cope with difference, incompatibility and dissonance. To prevent destructive conflicts, it is crucial to early identify and manage relevant stakeholders, to share inform and to establish clear, shared objectives. Politicians play an important role in defining and adapting objectives. As different backgrounds and working styles collide, the AG should establish clear criteria for the selection of projects and activities and procedures for conflict resolution. To build trust and social relationships, it is crucial to establish environments in which informal interactions across cultural and language barriers can take place. Participants and the AG leader also have to recognize possible role conflicts between their roles within their constituencies and the cross-border sphere.

If conflicts arise, it is important to solve them quickly and in a productive way. The basis for every conflict resolution is a cooperative, rules-based approach. Fundamental conflicts between political objectives cannot be carried out within the action group. Therefore, it is crucial that politicians, both in the General Assembly and in parliamentary assemblies, deal with cross-border issues and incompatibilities. Conflicts also involve struggles for competence and responsibility between the EU, the national and the regional level. AG4 members should respect the principle of territorial representation and the special responsibility vis-à-vis the electorate of each participating institution. Competences of the different territorial levels should not be overruled. Interaction between territorial levels should not draw on domestic hierarchies, but attempt to define objectives and procedures in a process of partnership.

#### 5. Involvement of the non-state sector

The involvement of non-state actors should be differentiated, constant and recursive. Not all non-state actors can be involved at all stages of the process. Rather, it is equally important to establish smaller contexts in which only those in charge of decision-making take part, and to provide more open, participatory formats in which a wide range of interests can be raised. Involvement should be a steady task of the Action Group and the Action Group leader. Finally, mechanisms of information, consultation and collaboration have to feed into decisions, and decisions have to feed into information, consultation and collaboration. All four should be connected recursively

across all stages of policy-making. Non-state actors fulfill functions of *information*, *consultation* and *collaboration*.

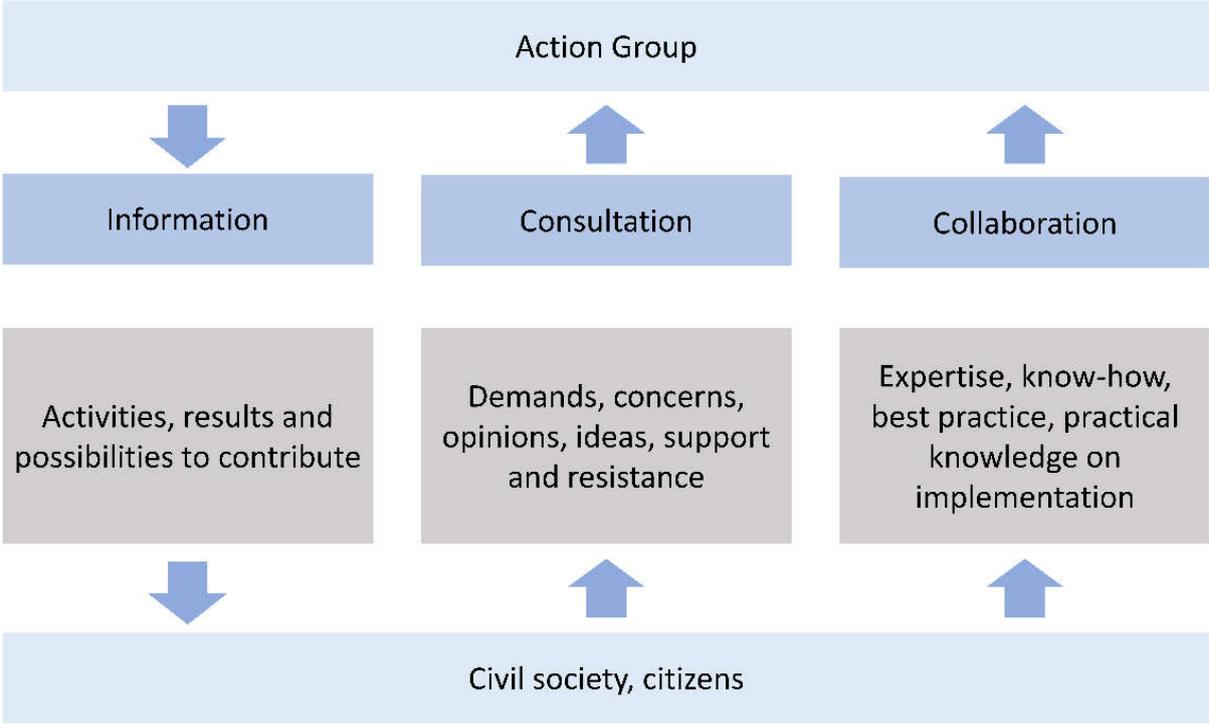


Figure 5. Three functions of non-state actor involvement (GOV.MO.TALP study, p. 180)

First, non-state actors serve as *information* interfaces between the Action Group, organised civil society and the citizens. They are often part of extensive networks and have built up a wide range of information tools – magazines, websites, social media – that may be used to raise awareness and to inform. To profit from the non-state sector in this respect, it is important to raise awareness for the AG4 and its agenda, especially through the mobilization of networks by each AG4 participant, to provide non-state actors with regular information and to offer them concrete projects and results they can communicate.

Second, the non-state sector can offer *consultation* as it aggregates and submits opinions, proposals and ideas. Non-state actors can deliver moral support for policies and projects, but also aggregate opposition and organise resistance to planned projects. As the Action Group aims at increasing public acceptance, it is important to involve them from early on to take up their concerns and to convince them of the utility of the planned strategy. The consultation of non-state actors can draw on their direct involvement in the Action Group and the establishment of broad advisory councils or civil society forums that elaborate recommendations and give opinions. Furthermore, AG4 can gather regular feedback through open consultation platforms, surveys, or in the course of events that target a specialized audience.

Third, non-state actors can be important *collaboration* partners. The quality of decisions and projects can be increased through the involvement of the expertise of non-state actors. The most important forum for collaboration is the Action Group itself. Therefore, smaller meetings among public authorities could be accompanied by more open formats in which project ideas and definitions can be discussed on an equal basis. The Action Groups could organise participatory seminars, open days and workshops in which a wide range of actors can participate. Events should provide sector-specific panels in which specialized non-state actors can contribute in their field of expertise. Institutionalised forms can involve permanent committees that generate ideas and proposals. The greatest challenge at the stage of collaboration is lasting, sustainable capacity building.

A particular group of non-state actors is young people. Typically, they are less aware of cross-border opportunities and less organized, but can provide important ideas and anchor cooperation in future generations. To reach youth, cross-border regimes should provide specific incentives and structures for participation. Specific events, for example contests among schools, awards or seminars and trainings, should target young people. Events could specifically address young people that work in the transport sector, for example apprentices of railway and road companies. In parallel, young people can be targeted as users of transport offers. Young people are more motivated to contribute if they feel that their ideas are taken into account by decision-makers. A direct exchange with decision-makers on their ideas appears useful. Cross-border regimes can also use permanent structures – youth parliaments, laboratories or youth ambassadors – to maintain links to young people, their visions and demands. To reach young people and inform them about ongoing activities of AG4 and possibilities to participate, the Action Group can use local and regional news media outlets and social media. Moreover, it can target schools, universities and youth associations. Finally, cross-border structures have to provide young people with the means to participate on a cross-border level. It is essential to financially support them through providing scholarships or reimbursing travel costs.

## 6. Conclusions

The findings of the study show that AG4 can provide an important opportunity to fill governance gaps in the field of transport policy. As the ability of existing structures to generate a common understanding, to define common objectives and to launch activities and projects across all territorial levels, geographical areas and sectors in the Alpine space appears limited, AG4 can develop an added value in respect to established

frameworks. However, it will be crucial for AG4 to increase its ability to further mobilize, provide for deliberation, build linkages to legitimacy, institutionalise processes and decisions and ensure continuity. A continuous coordination with the mapped EU and national authorities, cross-border regimes and non-state actors appears necessary to spur long-term commitment and avoid duplication. The study gives concrete recommendations for AG4 that can be seen in Table 14.

Table 14 Recommendations for AG4 (GOV.MO.TALP study, pp. 227-230)

**Mobilisation**

<i>General mobilisation</i>	<ul style="list-style-type: none"> <li>• Network animation through Action Group Leader</li> <li>• Ongoing information about activities and results</li> <li>• Participation at network meetings</li> </ul>
<i>Geographical mobilisation</i>	<ul style="list-style-type: none"> <li>• Communication and recognition of cross-Alpine dimension of problems, challenges and incentives</li> <li>• Meetings and events in all Alpine states and regions</li> <li>• Reimbursement of travel expenses</li> </ul>
<i>Multi-level mobilisation</i>	<ul style="list-style-type: none"> <li>• Clear information on targets and expected results</li> <li>• Close coordination with existing regimes</li> <li>• Constant coordination with national governments within each nation-state</li> <li>• Creation of a forum for local authorities</li> </ul>
<i>Cross-sectoral mobilisation</i>	<ul style="list-style-type: none"> <li>• Coordination within each participating institution</li> <li>• Encouragement of subject-specific participation of representatives of different sectoral policies</li> <li>• Information and project-based collaboration with other Action Groups</li> <li>• Communication vis-à-vis all non-state sectors</li> <li>• Organisation of subject-specific panels</li> <li>• Avoidance of formalised differentiation among non-state actors</li> </ul>

## ***Deliberation***

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- Action Group Leader as animator of discussion
- Fostering of positive, non-discriminatory discussion climate
- Information exchange among participants and joint creation of knowledge
- Possibility for smaller groups of participants to conduct activities in subgroups
- Coupling of open, participatory formats for discussion with smaller, confidential formats
- Use of unconventional discussion techniques

## ***Legitimacy***

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- Regular information exchange with politicians and European, national, regional and local parliaments
- Participation of parliamentarians from transport committees in Action Group meetings and conferences
- Alpine parliamentary forum
- Regular, easily accessible information on the homepage
- Open events that target a wider audience, e.g. excursions

## ***Institutionalisation***

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- Reference to documents that are recognized by all EU institutions (e.g. Council Conclusions) in Rules of Procedure to provide clear legal basis
- Objective procedures (e.g. according to specific indicators) to select and invite participants from the groups of stakeholders, experts and guests
- Creation of sub-groups
- Long-term institutional visions in the form of strategies and action plans

- Monitoring system with concrete actions and results
- Coordination with national or regional political objectives and established bureaucratic procedures

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### ***Continuity***

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- Formal and informal meetings to build up social relationships
- Long-term strategic vision
- Documentation of all steps
- Broad mobilisation
- Communication of expected results
- Elaboration of working priorities that can be shared by all participants
- Searching for financial and practical assistance at different institutions

### ***Conflict resolution***

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#### ***Conflict prevention***

##### *Forming*

- stakeholder management: identification of stakeholders, assessment of interests and expectations, communication, involvement
- sharing of information
- recognition of possible role conflicts
- separation function of chair – chair's delegation
- establishment of clear, joint objectives
- active role of politicians in defining goals

##### *Storming*

- establishment of clear processes and structures
- regular coordination within nation-states and regions
- definition of conflict resolution mechanisms
- definition of clear criteria for selection of projects and further development of working program
- documentation

*Norming*

- creation of environments for informal interactions across cultural and language boundaries
- facilitation of open climate for discussion
- regular opportunities to socialize
- overseeing of compliance with jointly agreed procedures and rules
- emphasis on jointly agreed goals

*Performing*

- self-organisation

***Conflict resolution***

- cooperative, rules-based approach
- development of shared understanding of the conflict and open discussion of different perspectives
- conflict mediator as impartial facilitator
- political exchange, also with the use of parliamentary formats, to resolve conflicts between political goals
- respect for principle of territorial representation and responsibility vis-à-vis electorate
- respect for competence distribution and autonomous competences of each participating authority
- definition of objectives and procedures in a process of partnership between all territorial levels

***Non-state sector***

*General involvement*

- Differentiation and coupling of smaller formats with more open discussion fora
- Involvement as a constant process
- Recursive connections among all stages of involvement

*Information*

- Mobilisation of networks through participating public authorities and non-governmental organisations
- Information by e-mail and through news media

### *Consultation*

- Regular updating of and accessible information on website
- Organisation of subject-specific events
- Organisation of open events for the wider public, e.g. excursions and site tours
- Cooperation with existing non-governmental organisations (e.g. AlpWeek)
- Communication of projects and outcomes that touch everyday lives of citizens
- Special attention to rural public and youth

### *Collaboration*

- Direct involvement in Action Group meetings
- Setting up of advisory councils in different domains
- Civil society forums that elaborate concrete recommendations and give opinions in working groups and with the use of unconference formats
- Regular feedback through consultation platforms and online surveys
- Communication of consultation results and relation to decisions

### *Youth*

- Online discussion platforms
- Open Action Group meetings
- Participatory seminars, open days and workshops
- Sector-specific panels at events
- Creation of permanent committees
- Seminars, training and coaching for capacity-building
- Specific events that target young people (contests, awards, seminars and trainings)
- Events for apprentices of railway and road companies
- Events for young people as users of transport offers
- Exchange with decision-makers
- Taking up of ideas for implementation to encourage participation

- Youth parliaments, laboratories and youth ambassadors
- Communication through local and regional news media outlets and social media
- Targeting of schools, universities, economic associations and professional schools
- Collaboration with existing youth associations, youth councils and youth parliaments
- Reimbursement of travel costs

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## List of abbreviations

ACE	Alpine Crossing Exchange
AEM	Association européenne des élus de montagne
AETS	Trading of Emission rights
AG	Action Group
AOTU	Autorités organisatrices des transports urbains
ARE	Swiss Federal Office for Spatial Development
ARSMB	Association pour le Respect du Site du Mont-Blanc
ASECAP	Association Européenne des Concessionnaires d'Autoroutes et d'Ouvrages à Péage
BVWP	Bundesverkehrswegeplan
CAFT	Cross-Alpine Freight Transport
CEDR	Conference of European Directors of Roads
CEF	Connecting Europe Facility
CEI	Central European Initiative
CER	Community of European Railway and Infrastructure Companies
CGET	Commissariat général à l'égalité des territoires
CIPEL	Commission international pour la protection des eaux du Léman
CIPRA	Commission Internationale pour la Protection des Alpes, International Commission for the Protection of the Alps
CIS	Corridor Info System
CIT	International Rail Transport Committee
CLECAT	European Association for Forwarding, Transport, Logistics and Custom Services
CRE	Cargo Rail Europe
COR	Committee of the Regions
COREPER	Committee of Permanent Representatives
COTER	Commission for territorial cohesion policy (COR)
CPB	Corporate Partnership Board
DATAR	Délégation interministérielle à l'aménagement du territoire et à l'attractivité régionale
DNR	German Nature Conservation Ring, Deutscher Naturschutzring
DOCUP	Document unique de programmation
EACI	Executive Agency for Competitiveness & Innovation (EACI)
EASA	European Aviation Safety Agency
EBR	European Business Register
EBRD	European Bank for Reconstruction and Development
EBS	European Business Statistics

ECSC	European Coal and Steel Community
ED	European Commission
ECA	European Court of Auditors
ECF	European Cyclists' Federation (ECF)
ECFIN	Directorate-General "Economic and Financial Affairs"
ECMT	European Conference of Ministers of Transport
EDI	Electronic Data Interchange
ECTRI	European Conference of Transport Research Institutes
EEA	European Economic Area
EESC	Economic and Social Committee
EFGS	European Forum for Geography and Statistics
EFSI	European Fund for Strategic Investments
EFTA	European Free Trade Association
EGTC	European Grouping for Territorial Cooperation
EIF	European Interoperability Framework
EIM	European Rail Infrastructure Managers
EIS	European Interoperability Strategy
EMSA	European Maritime Safety Agency
ERA	European Railway Agency
ERDF	European Regional Development Fund
ERF	European Union Road Federation
ERFA	European Rail Freight Association
ERIS	European Regional Innovation Survey
ERRAC	European Rail Research Advisory Council
ERTMS	European Rail Traffic Management System
ESC	European Shippers' Council
ETCS	European Train Control System
ETUC	European Trade Union Confederation
ETRA	European Transport Research Alliance
EU	European Union
EURNEX	European Rail Research Network of Excellence
EUSAIR	EU macro-regional strategy for the Adriatic-Ionian Region
EUSALP	EU macro-regional strategy for the Alpine Region
EUSBSR	EU macro-regional strategy for the Baltic Sea Region
EUSDR	EU macro-regional strategy for the Danube Region
F&L	European Freight and Logistics Leaders Forum
FEHRL	Forum of European National Highway Road Research Laboratories
FIA	Fédération Internationale de l'Automobile

FIATA	Fédération Internationale des Associations de Transitaires et Assimilés, International Freight Forwarders' Association
FNAUT	Fédération Nationale des Associations d'Usagers des Transports
FTE	Forum Train Europe
GLCT	Groupement de coopération transfrontalière, Grouping of cross-border cooperation
GRB	Group of Representative Bodies
HDV	heavy duty vehicles
HGV	heavy goods vehicles
HLAGST	UN High-level advisory group on sustainable transport
ICPDR	International Commission for the Protection of the Danube River
IKB	International Lake of Constance Conference, Internationale Bodenseekonferenz
INEA	Innovation & Networks Executive Agency
INRETS	Institut national de recherche sur les transports et leur sécurité
IQ-C Group	International Group for Improving the Quality of Rail Transport in the North-South-Corridor
IRF	International Road Federation
IRG Rail	Independent Regulators' Group – Rail
IRU	International Road Transport Union
ITC	Inland Transport Committee
ITF	International Transport Forum
JTRC	Joint Transport Research Centre
LDV	Light duty vehicles
MRHVT	Mileage-related heavy vehicle tax
NEAT	Nouvelle ligne ferroviaire à travers les Alpes, New railway link through the Alps
NGO	Non-governmental organization
NMCP	National Motorway Construction Programme
NoE Humanist	Human centered design network for information society technologies
NRP	National Railway Programme
ÖBB	Österreichische Bundesbahnen, Austrian Federal Railways
OECD	Organization for Economic Cooperation and Development
OEEC	Organization for European Economic Cooperation
ÖKOMBI	Österreichische Gesellschaft für den Kombinierten Verkehr
QMV	Qualified majority vote/voting
PIARC	World Road Association
PUM	Partnership Urban Mobility

RCA	Rail Cargo Austria
RFG	Rail Freight Group
RTG	Road Transport Group
SBB	Schweizerische Bundesbahnen, Swiss Federal Railways
SCTP	Swiss Coordinated Transport Policy Plan
SG-CIV	Secrétariat général du comité interministériel des villes
SGKV	Studiengesellschaft für den Kombinierten Verkehr, German Promotion Centre for Intermodal Transport
SICT	Swiss Integral Concept of Transport
SNCF	Société Nationale des Chemins de Fer Français, French National Railway Corporation
SZ	Slovenske Zeleznice Slovenia, Slovenian railways
T & E	Transport & Environment
TEM	Trans-European Railways
TEN-T	Trans-European Transport Network
TER	Trans-European Motorway
TFEU	Treaty on the Functioning of the European Union
TMB	Transport Management Board
TIR	Transports Internationaux Routiers
TIS	Train Information System
TRAN	Committee on transport and tourism (European Parliament)
TTE	Council for Transport, telecommunications and energy
UCT	Unaccompanied combined transport
UIC	International Union of Railways
UIP	International Union of Wagon Keepers
UIRR	International Union for road-rail combined transport
UITP	Union Internationale des Transports Publics
UN	United Nations
UNECE	United Nations Economic Commission for Europe
UNIFE	Union of the European Railway Industries

## o. Introduction

The EU Strategy for the Alpine Region (EUSALP) (European Commission, 2015a) is based on a joint initiative of Alpine states and regions to strengthen cooperation and to address common challenges in a more effective way. Similar macro-regional strategies have been set up in the Baltic Sea area (EUSBSR, 2009), between the Danube states and regions (EUSDR, 2010) and between the Adriatic-Ionian region countries (EUSAIR, 2014). Macro-regional strategies are integrated frameworks to address common challenges within a defined geographical area. They relate EU member states and third countries. To date, the four macro-regional strategies that have been set up since 2009 concern 19 EU member-states and eight non-EU countries. In pursuing a macro-regional strategy, states, regions and local communities benefit from strengthened cooperation. Thereby, they also contribute to the achievement of economic, social and territorial cohesion. Macro-regional strategies are accompanied by rolling action plans that are regularly updated.

The EUSALP Strategy brings together seven countries, of which five are EU Member States (Austria, France, Germany, Italy and Slovenia) and two are EFTA (European Free Trade Association) countries (Liechtenstein and Switzerland). From a subnational perspective, EUSALP is a platform for cooperation for 48 regions. EUSALP is implemented by nine EUSALP Action Groups (AG), which organize their operations thematically along the four key objectives of the macro-regional strategy. The EUSALP Action Plan (European Commission, 2015b) outlines the four objectives and the nine actions of cooperation.

Within Objective 2 "Mobility and Connectivity" of the EUSALP Action Plan, Action Group 4 is *to promote intermodality and interoperability in passenger and freight transport*. Action Group 4 thus offers a platform to identify, coordinate, orchestrate and potentially harmonize the activities of Alpine regions and countries. The aim is the development of a sustainable transport and mobility system within and across the Alps. AG4's mission is to build a common understanding of transport policy and mobility, to define common objectives and to launch specific activities and projects. At the same time, AG4 wants to foster trans-border cooperation and greater integration between the existing bodies and structures in the field of transport. By enhancing the collaboration of AG4 with different actors – governments, administrations and agencies at various levels of policy-making and policy implementation – in the area of transport, mobility and sustainable development, EUSALP might improve coordination and consistency between policy initiatives and encourage the alignment of related project

funding. Thereby, AG4 can contribute to the fourth objective of the EUSALP Action Plan, which wants to develop a sound governance model for the Alpine region.

The GOV.MO.TALP study aims to provide for a comprehensive stocktaking of structures, inter- and intra-institutional processes, related formal and informal actors and instruments in the area of transport and mobility policies at various levels of governance. The study investigates international, interregional, national and regional policy frameworks that have been established to provide means for sustainable transport in the EUSALP region. Based on a thorough analysis of the legal foundations as well as of the established means for inter- and intragovernmental coordination, parliamentary accountability and stakeholder as well as citizen engagement, GOV.MO.TALP. aims at identifying good governance practices and processes to tackle the related challenges in the field of mobility.

The study proceeds in five steps. The first chapter introduces the framework of analysis. It draws on the concept of cross-border governance capability, understood as the ability to transcend the fragmentation among actors, resources, competences and institutional backgrounds to generate innovative solutions. The second chapter analyses the legal framework of EUSALP AG4. It elaborates on primary, secondary and soft law relevant for the working priorities of AG4 on the EU level and within the single member states. Moreover, it examines the main institutions working in the policy field and competence distributions in the different Alpine states. The third chapter deals with international regimes that are relevant for the activities of AG4. It gives a mapping of cross-border and transnational structures active in the Alpine space and investigates their competences and outcomes in the field of transport policy. Chapter 4 investigates the cross-border governance capability of existing cross-border and transnational structures. It analyses the degree to which existing frameworks correspond to requirements of mobilization, deliberation, legitimacy, institutionalization and continuity, gathers best practice examples, outlines gaps and deficits and gives recommendations for improvement. The fifth chapter examines the non-state sector relevant for AG4. The analysis considers different ways to involve non-state institutions and investigates how different groups of non-state institutions could contribute to the work of AG4. Finally, the last chapter provides a synthesis of the presented study. It identifies the main gaps and deficits and gives recommendations for a governance model of AG4.

## 1. Framework of analysis

The context of policy-making in the field of transport is characterized by a dispersion of resources, a fragmentation of knowledge and a corresponding interdependence among different authorities, institutions and organizations. European, national, regional and local authorities share competences, while different non-governmental institutions possess expertise and important resources to implement policies. Differing perceptions of problems and possible solutions further increase the complexity of policy-making. While actors depend on each other to generate solutions for problems, they do not agree on the character of problems and possible solutions. They work against different geographical and institutional backgrounds, follow different rules and norms and employ different ideas to analyse reality.

Consequently, cross-border policy-making does not only have to bring together all actors with the necessary resources and knowledge to generate innovative and legitimate decisions. It should also provide an arena for the development of a common understanding of problems and solutions. These requirements change the character of policy-making profoundly. The concept of "governance" as an alternative to "government" describes these changes and proposes possible ways of action. Gualini (2005, p. 298) defines governance as

"emergent patterns of policy-making (a) dealing with the resolution of collective problems (b) at the threshold between state, markets, and civil society (c) in terms which may be held accountable to institutions of representative democracy".

Based on this definition, governance consists of three dimensions. First, it aims at resolving collective problems. This implies that a group of actors agrees on common problems and engages in collective action to resolve them. Governance should provide the infrastructure to allow for transfers of knowledge resources, trust, social understanding and political capacity to act collectively (Pikner 2008, pp. 214-215). It ensures better problem definitions, solutions and choices (Koppenjan and Klijn 2004, pp. 240; 258) through overcoming differences between perceptions, strategies and institutional regimes (Koppenjan and Klijn 2004, pp. 107; 111). Therefore, governance aims at linking perceptions and ideas on the one, and institutional frames on the other hand. Links between all geographical areas, all territorial levels and all sectors provide the basis of policy-making. However, they are not sufficient. Governance has to ensure that connections produce a broad base of knowledge, a common understanding, mutual adjustment, learning and cooperation. Therefore, it has to provide an arena where actors can discuss and cooperate. Innovative and legitimate solutions can only emerge when these prerequisites are met.

Second, governance takes place between states, markets and civil society. It transcends traditional boundaries between the governmental and the non-governmental sector, as all actors from the private and the civil society sector are necessary to solve problems. The involvement of civil society in decision-making and implementation improves the quality of outcomes and ownership across the Alpine territory. Mobilization and discussion target a wide range of actors from different sectors, territorial levels and geographical areas. Consequently, negotiation, networks and horizontal linkages replace authoritative relationships and hierarchical decision-making processes.

Third, governance remains anchored in institutions of representative democracy. It should not dissolve the connection between the representatives and those represented, but has to correspond to requirements of legitimacy, accountability and transparency. Consequently, the wider public has to be informed and involved, both indirectly through political representatives and directly through processes of public mobilization and discussion. Parliaments, citizens' associations and individuals should receive possibilities to contribute.

Cross-border cooperation promises to correspond to these requirements of governance. It focuses on gathering all actors behind jointly agreed functional priorities, while it remains linked to established systems of territorial representation. However, the reality of cross-border cooperation shows that cooperation does not per se fulfill these requirements. Corresponding to the previously given definition of governance, the capability of cross-border structures to reach governance objectives can be measured by four factors (Boman and Berg 2007; Deppisch 2012; Engl 2016; Pikner 2008):

- the development of a shared cross-border understanding that transcends the fragmentation of perceptions and aims,
- the development of a stable institutional framework that transcends the fragmentation of institutional structures and resources,
- the involvement of a broad range of actors from different territorial levels, sectors and geographical areas and
- formalized and informal connections to representative institutions and citizens.

The actual realization of governance capability appears in the coordination of policies and concrete projects (Pikner 2008, p. 215) that:

- are responsive to demands and needs on the ground – and at the same time innovative,
- make use of dispersed resources and competences – but do not duplicate existing frameworks,
- draw on political authority – and are carried forward by those who implement them, while they are accepted by those who are affected by them.

In the long term, cross-border governance generates a stable basis for cooperation that draws on trust, solidarity and a mutual understanding of challenges, ideas and frameworks. In the end, cross-border governance capability can, through producing feelings of commonality and belonging, lay the foundation for cross-border identity-building.

Cross-border governance capability can be operationalized along five dimensions. First, it has to mobilize all actors necessary (mobilization). Innovative solutions demand the mobilization of actors from the local, the regional, the national and the European level, from the public and the private sector and from different geographical areas. Second, governance must provide an arena for the open, nondiscriminatory discussion among all actors (*deliberation*). It has to allow for the development of a common understanding and innovative ideas. Third, governance has to ensure a constant connection to citizens' concerns (*legitimacy*). This can be fulfilled by representative institutions, for example parliaments, but also by the involvement of civil society organizations and direct links to citizens.

Fourth, governance has to secure efficient and effective implementation of the generated ideas (*institutionalization*). Therefore, it should draw on a stable institutional framework of rules, norms and clear responsibilities. Fifth, governance must link mobilization, deliberation, legitimacy and institutionalization in a constant and recursive process (*continuity*). This has to be ensured against the background of personnel fluctuations, changing political commitment or a dynamic external framework.

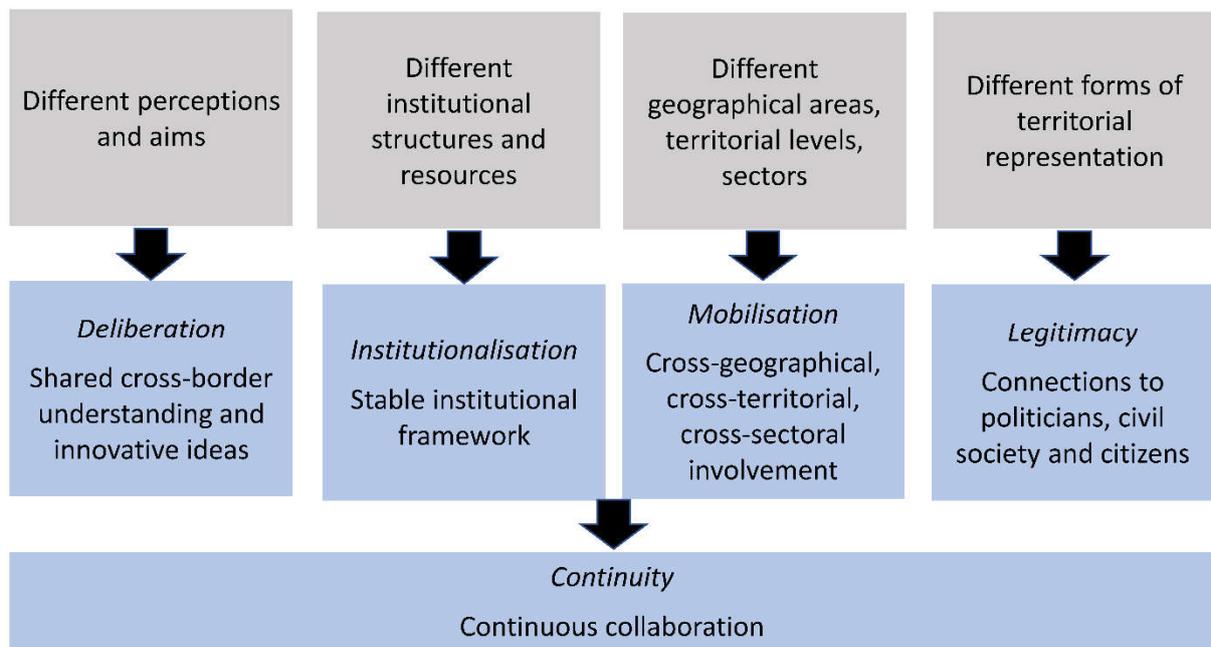


Figure 1. The five dimensions of cross-border governance capability

Table 1 shows the elements that are connected to the five prerequisites for cross-border governance capability: mobilization, deliberation, legitimacy, institutionalization and continuity.

Table 1. Cross-border governance capability

Dimension	Indicator
<i>Mobilization</i>	<ul style="list-style-type: none"> <li>• Incentives for collaboration (input- and output-related) – existing trustful relationships, the possibility to gain funds or reputation, the opportunity to find solutions for problems</li> <li>• Information on policy arenas (e.g. EUSALP’s AG4) and participation possibilities</li> <li>• Animation of existing networks</li> </ul>
<i>Deliberation</i>	<ul style="list-style-type: none"> <li>• Symmetrical interaction – equality of number of involved partners; role of arena chairs (e.g. AG4’s leader) as independent network brokers; geographical distribution of meetings and financial possibilities to participate; information and transparency</li> <li>• Balancing of different kinds of interests: mountainous and peri-alpine areas, Western and Eastern part of Alps, EU,</li> </ul>

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	<p>national, regional, local interests, interests of public and private sector</p> <ul style="list-style-type: none"> <li>• Equal treatment of all ideas and proposals, discussion on the basis of equality, solidarity and rationality and atmosphere in which everybody can raise interests and concerns</li> <li>• Informal and formal collaboration</li> </ul>
<i>Legitimacy</i>	<ul style="list-style-type: none"> <li>• Connections to established institutions of representative democracy</li> <li>• Involvement of civil society organizations</li> <li>• Formats in which citizens can inform and raise demands</li> <li>• Continuous information and transparency</li> <li>• Links to regional and national coordination mechanisms</li> </ul>
<i>Institutionalization</i>	<ul style="list-style-type: none"> <li>• Legal framework</li> <li>• Cross-border institutions and permanent structures</li> <li>• Clear definition of responsibilities</li> <li>• Role of Action Group Leaders as independent facilitators of Action Group</li> <li>• Links to external opportunity structure (funding possibilities, EU framework, national politics)</li> <li>• Links to competencies and legal responsibility for actions (public authorities)</li> </ul>
<i>Continuity</i>	<ul style="list-style-type: none"> <li>• Independence from external framework</li> <li>• Funding</li> <li>• Documentation of all steps</li> <li>• Broad participation basis</li> <li>• Formalization of commitment (formal mandating)</li> <li>• Long-term strategic vision</li> </ul>

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Studies show that cross-border cooperation often faces problems in meeting these requirements. Most cross-border structures just involve public authorities (Engl 2016) and do not succeed in reaching out to the wider public. Cross-border structures are rarely multi-level, but typically involve either subnational or national authorities. Sectoral policies remain separated as projects do not cross sectoral boundaries.

Participants act as representatives of their institutions, but do not engage in a discussion process of cross-border problems and solutions. Participation is unequal, asymmetrical and strongly formalized (Hall 2008). The involvement of institutions of representative democracy or civil society and links to citizens are marginal. Finally, continuity is difficult, especially as funding provides the main incentive for cooperation. In many cases, cooperation ends when incentives vanish or when the framework changes. Consequently, also AG4 faces difficulties in corresponding to the five dimensions of cross-border governance capability. Specific challenges that arise for AG4 can be seen in Table 2.

*Table 2. Specific challenges for AG4*

<b>Dimension</b>	<b>Indicator</b>
<i>Mobilization</i>	<ul style="list-style-type: none"> <li>• Difficulty to spread information</li> <li>• Difficulties to mobilize regions from all Alpine states and all territorial levels</li> <li>• Cross-sectoral exchange</li> <li>• Balance broad involvement – efficiency</li> </ul>
<i>Deliberation</i>	<ul style="list-style-type: none"> <li>• Difficulties to ensure numerical equality among regions and national governments, and among peri-alpine and alpine areas</li> <li>• Geographical distribution of meetings focused on Tyrol – South Tyrol – Trentino</li> <li>• Formalized and informal asymmetries among participants</li> <li>• Limited financial means to participate, especially among civil society</li> <li>• Difficulty to increase transparency of process and outcomes</li> <li>• Difficulties to engage discussion and to provide a realm for ideas; time limitations, large number of participants and language barriers</li> </ul>

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<i>Legitimacy</i>	<ul style="list-style-type: none"> <li>• Limited connections to and interest among institutions of representative democracy</li> <li>• Limited involvement of civil society organizations</li> <li>• Difficulties to mobilize and inform citizens</li> </ul>
<i>Institutionalization</i>	<ul style="list-style-type: none"> <li>• Responsibility gap (participating actors may not be responsible for all subjects covered)</li> <li>• Difficulties to involve all actors legally responsible (national governments, Directorate-Generals of European Commission)</li> <li>• Lack of independent institutional framework</li> <li>• Tensions with established political and bureaucratic approaches in the member states and regions</li> </ul>
<i>Continuity</i>	<ul style="list-style-type: none"> <li>• Dynamic external opportunity structure; political constellations change and are negotiated externally</li> <li>• Funding decided on EU level, ambiguity about future funding possibilities</li> <li>• Structural re-organizations within member states</li> <li>• Changing legal framework</li> <li>• 3-year frame</li> </ul>

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Building on the presented indicators and challenges, this study aims at providing tools to improve the cross-border governance capability of AG4. Therefore, it examines best practice examples and deficits of existing cross-border regimes and develops approaches to fill the existing gaps. The basis of effective cross-border policy-making is the overarching legal framework at the EU and the national level. Consequently, the following chapter investigates legal provisions and key institutions that affect the area of transport.

## 2. Policy and legal framework at the EU level

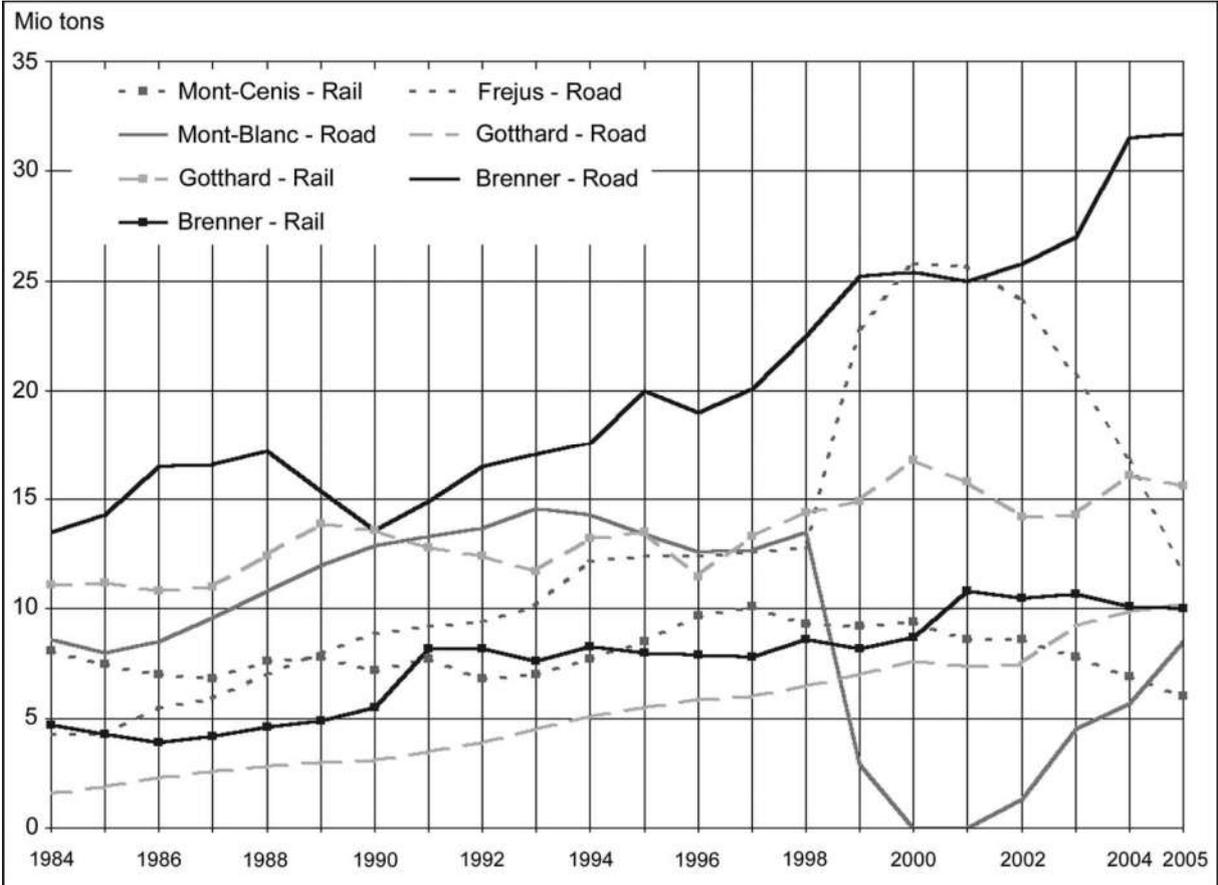
### 2.1. General overview

For the European Union, transport is a priority action area for sustainable development. Transport plays a considerable role in the economy with its omnipresence throughout the production chain, at all geographic scales. However, transport is also considered as the sector with the fastest growth in environmental pollution. Apart from energy generation and industrial processing, transport is a major contributor to air pollution. Current levels of air pollution cause severe health impacts in the enlarged European Union, resulting in 370,000 premature deaths each year, increased hospital admissions, extra medication, and millions of lost working days (European Commission 2005). In the last two decades, transalpine freight transport has been growing continuously, with road freight transport playing a dominant role. Between 1984 and 2005 freight transport via the crossings between Mont-Cenis/Fréjus and Brenner almost doubled and amounted 2005 to 106.3 Mio tons (ARE 2006). This increase was principally absorbed by road transport, which registered a remarkable growth (+ 124.2 %), and to a much lesser extend by rail (+ 46.5 %), whereby the unaccompanied combined transport (UCT) registered the main proportion. There is thus an urgent need to implement adequate policy instruments to mitigate and control the negative impacts of transport activities.

The alpine area is characterized by several constraints regarding the accessibility and transport infrastructure. As almost thirty percent of all greenhouse gas emissions in the Alps can be attributed to transport, passenger and freight traffic are to be identified as one of the main causes for climate change. Road transport in particular impacts on air pollution, noise and traffic congestion. Accordingly, transport and mobility constitute a key challenge for the socio-economic and ecological development of the Alpine regions. Mountain regions belong to what the European Commission considers sensitive spaces concerning transport (European Commission 2003). They are particularly vulnerable to and thus highly affected by environmental impacts from transport and tourism due to their territorial morphology and biological and landscape diversity. Several parameters reinforce the vulnerability of mountain regions. Transport infrastructure is very limited to topographic characteristics like narrow valleys or steep slopes. Hence, traffic flows are highly concentrated on a limited number of trunk links (road and rail), which easily overload. Effects of air pollution have a higher impact due to specific morphological conditions and due to topography. Noise spread is intensified due to specific morphological conditions in mountain regions (valleys, peaks) compared to lowlands. The amphitheater shape of valleys and their narrowness

hinder emissions from diffusing and let them remain in the valley. This causes a similarly bad air quality in these valleys as in an urban area. The same traffic load can thereby "contribute to a three-times higher concentration of NOx in the ambient air in mountainous areas than in lowland areas" (European Environment Agency 2001, p. 20).

Figure 2. Development of transalpine freight transport on road and rail on the main alpine corridors: Incidents and their impact (Source: ARE, 1985-2006).



Transport policy has been one of the EU's common policies for more than 30 years, effectively since 22 May 1985 when the Court of Justice of the European Union ruled on the case brought by Parliament against the Council for its failure to act in this area. The European Parliament complained against the Council for its failure to legislate for a common transport policy. In its 22 May 1985 judgment in Case 13/83, the Court of Justice thus urged the Council to act and induced the process of developing a genuine common transport policy.

In the Treaties of Rome, EC/EU Member States stressed the importance of a common transport policy by devoting a separate title to it. Transport was therefore one of the EC's first common policy areas. The original key priority was the creation of a common transport market as a condition for the establishment of the freedom to provide

services and the opening-up of transport markets. To date, this goal has been achieved to a large extent, given that even rail markets (domestic passenger transport services) have steadily been opened up to the EU rules of fair and equal competition. For this reason, the harmonization of national laws, regulations and administrative provisions, and of the technological, social and tax environment in which transport services are provided, has taken on ever increasing importance.

Because of the European internal market, the abolition of internal borders, the opening and liberalization of transport markets and the resulting drop in transport prices, volumes of goods and passengers have steadily increased. Over the years, the transport sector found itself facing increasing social and environmental constraints, so that the “sustainable mobility” model has become a critical benchmark for further developing the EU’s transport policy. To date, the “sustainable mobility” is key to achieving two different sets of goals:

- On the one hand, the EU aims at safeguarding fairly priced and efficient mobility for people and goods as a central precondition for a competitive and fair EU internal market and as the main precondition for achieving the freedom of movement.
- On the other hand, increased traffic volumes need to be managed in such a way as to minimize external costs, such as road accidents, respiratory diseases, climate change, noise, environmental damage or traffic congestion.

In operational terms, the sustainable mobility model therefore calls for an integrated approach in order to optimize the efficiency of the transport system, the transport organization and to reduce energy consumption and the environmental repercussions. The cornerstones of this model include the improvement of competitiveness of environmentally friendly modes of transport, the creation of integrated transport networks used by two or more modes of transport (combined transport and intermodality) and the creation of fair conditions of competition between modes of transport through fair charging for the external costs they generate.

European transport policy continues to face challenges with regard to sustainability, particularly in combating climate change. The transport sector accounts for almost a quarter of all greenhouse gas emissions in the EU, making it the sector with the second highest greenhouse gas emissions, just behind the energy sector. Moreover, transport is the only sector in the EU whose emissions have risen since 1990 – by 22% in total. Concomitantly the European Commission’s 2011 White Paper on transport (European Commission 2011) recommended a 20% reduction in transport emissions (excluding international maritime transport) between 2008 and 2030 and a reduction of at least

60% between 1990 and 2050. The White Paper urged policy-makers that sustainable, low-carbon fuels should account for 40% of consumption in aviation by 2050, and a 50% shift away from conventionally fueled cars in urban transport by 2030, with the aim of phasing them out totally by 2050.

## 2.2. EU transport policy objectives and guidelines

Building on the European Parliament's claims in its "failure to act"-proceedings against the EC/EU's Council of Ministers, the 1985 White Paper on the completion of the internal market (European Commission 1985) included a first set of concrete recommendations for implementing the freedom to provide services. Moreover, the White Paper contained transport specific recommendations and set goals for all types of transport (land, water and air) to be achieved by 31 December 1992 at the latest. These goals included the development of transport infrastructure of Community interest, and the simplification of border controls and formalities and improved safety.

On 2 December 1992, the Commission adopted a first specific White Paper on the future development of the common transport policy (European Commission 1992). It promoted the further opening of transport markets, the extension of the Trans-European Transport Network, the improvement of safety standards and the harmonization of social provisions. The 1992 White Paper also marked a decisive shift towards an integrated, intermodal approach based on the model of "sustainable mobility". In the subsequent White Paper of 22 July 1998, entitled "Fair payment for infrastructure use: a phased approach to a common transport infrastructure charging framework in the EU" (European Commission 1998), the Commission marked the significant differences between Member States in the area of charging for transport services, and the related risk of intra- and intermodal distortions of competition. Moreover, the Commission underlined that the existing charging systems failed to take sufficient account of the environmental and social aspects of transport.

The Commission's 2001 White Paper on "European Transport Policy for 2010: Time to decide" (European Commission 2001) pointed to the challenges facing European transport policy with regard to the then forthcoming eastern enlargement of the EU. The Commission predicted a massive rise in the volume of traffic, resulting in traffic jams and over-congestion, particularly regarding road and air transport, and increasing health and environmental costs. Aiming at building an economically efficient and environmentally sustainable transport system, the Commission earmarked a package of 60 potential measures. Overall, the 2001 White Paper aimed at the stabilization of

the shares of traffic accounted for by rail, inland navigation and short sea shipping at 1998 levels. To this end, proposed measures focused on a revival of rail transport, the promotion of sea and inland waterway transport and on the interlinking of all modes of transport. In addition, the Commission placed special emphasis on the guidelines for the Trans-European Networks (TEN-T) to adapt them to the demands of the enlarged EU and to encourage efforts for the elimination of cross-border 'bottlenecks'. The third part of the 2001 White Paper looked at the rights and obligations of transport users. Here, the Commission announced an action plan on road safety and proposed the harmonization of transport charging systems in order to consolidate end-users' rights and cost transparency for all types of transport.

Many of the measures that the Commission announced in the 1992 and 2001 White Papers have since been implemented or introduced. In addition, the EU launched ambitious technological projects during this period, such as the European satellite navigation system Galileo, the European Rail Traffic Management System (ERTMS) and the SESAR program to improve air traffic control infrastructure. In June 2006, the Commission submitted a mid-term appraisal of the 2001 White Paper (European Commission 2006). As a conclusion, new proposed instruments covered: (a) an action plan for goods transport logistics (European Commission 2007), and an action plan for the deployment of intelligent transport systems in Europe (European Commission 2008) and for urban mobility (European Commission 2009), (b) 'NAIDES' and NAIDES II (2013) as integrated European action programs for inland waterway transport (European Commission 2006), and (c) strategic goals and recommendations for the EU's maritime transport policy until 2018 (European Commission 2009). Building on the mid-term review, the Commission presented the 'Greening transport' package in July 2008, which focused on a strategy to internalize the external costs of transport. The package consisted of three communications and a proposal for a revision of the Eurovignette Directive.

In 2009, the Commission launched a debate on the long-term future of transport (looking 20 to 40 years ahead) and published a communication on 'A sustainable future for transport: towards an integrated, technology led and user-friendly system' (European Commission 2009). The communication outlined the trends, challenges and options for the EU's future transport system against the backdrop of continuing globalization, the expansion in goods transport, the changes in socio-demographic structures, continuing urbanization, trends in trade and trade agreements policies, technological advances in energy, transport and communications, possible consequences of climate change, and potential changes in the field of energy supply.

The Commission's 2011 White Paper 'Roadmap to a Single European Transport Area: Towards a competitive and resource efficient transport system' (European Commission 2011) described the transition between old and new challenges for transport and outlined ways of meeting those challenges. The Commission set the objective of reducing greenhouse gas emissions by at least 60% compared with 1990 levels by 2050 without curbing transport growth and impairing mobility, together with an interim objective of reducing greenhouse gas emissions by about 20% compared with 2008 levels by 2020/2030. These objectives fell short of the goal set at the December 2015 Climate Conference in Paris (COP21) of reducing greenhouse gas emissions by at least 20% between 2021 and 2030. To reach these goals, the transport sector needs to use less and cleaner energy, exploit modern infrastructure more effectively and reduce its impact on the environment. The White Paper concretized the Commission's ideas in 10 specific objectives: For road freight transport, the Commission proposed to shift 30% of freight by road towards freight by rail or waterborne transport by 2030 and more than 50% by 2050. Regarding rail transport and infrastructure, the Commission proposed to triple the length of the existing high-speed rail network by 2030 and to move the majority of medium-distance passenger transport to rail by 2050. Regarding the TEN-T scheme, the White Paper envisaged a fully functional multimodal TEN-T in the EU by 2030, with a high-quality and high-capacity network by 2050 and a corresponding set of information services.

Overall, the Commission aimed at setting up a Single European Transport Area by abandoning all remaining barriers between modes of transport and national systems. To reach this goal, the Commission underlined a higher degree of convergence and enforcement of social, safety, security and environmental rules, minimum service standards and users' rights. Another aspect of the White Paper was innovation for the future, drawing on new technologies and encouraging changes in transport usage to make mobility more sustainable. Given that modern transport infrastructure requires resources of funding and intelligent pricing systems, the transport sector is the main beneficiary of the Connecting Europe Facility (set up by Regulation No 1316/2013), which has a budget of EUR 26 billion for the period to 2020. The following chapter take a more detailed look at EU transport policy in road and rail transport.

## 2.3. EU road transport

### 2.3.1. A common road transport policy

The goal to set up a common road transport policy, which safeguards fair conditions of competition and guarantees the freedom to provide services, requires the

harmonization of the relevant legal provisions in force in the Member States. This applies not only to taxation (VAT, vehicle taxes and fuel taxes) and state aid, but also to technical specifications (maximum authorized dimensions and weights), social provisions and measures to protect the environment.

### 2.3.2. Infrastructure charging

On 8 July 2008, the Commission presented a 'Greening Transport' package. These initiatives provide for a transparent and generally applicable model for calculating all external costs, including environment-, noise-, congestion- and health- related costs. The model served as the basis for the calculations of infrastructure charges in the context of the revision of the 'Eurovignette' Directive (see below) and prefigured a strategy for the gradual application of this model to all modes of transport. Overall, the 'Eurovignette' directive 1999/62/EC of 17 June 1999 remains the main reference point on infrastructure charging to transport undertakings. It was amended by directive 2006/38/EC of 17 May 2006 and directive 2011/76/EU of 27 September 2011. The Eurovignette directive is based on the 'polluter-pays' principle and the internalization of external costs of road transport. Its 2006 and 2011 revisions aimed at ensuring that the costs of infrastructure use by heavy goods vehicles are reflected in the charges. Charges can be modulated in order to take account of noise and air pollution and the risks associated with congestion. These charges come on top of the existing tolls, which are calculated on the basis of distance travelled in order to recover the costs of constructing, operating and developing the infrastructure concerned.

The most important revision of the compromise reached in 2011 by Parliament and the Council concerns transparency of revenues and investments. Member States are allowed to modulate infrastructure charges to take account of road congestion. These charges may vary by up to 175% during peak periods (up to five hours per day). In exchange, member states' authorities can offset this by imposing lower charges outside peak hours. Thanks to the European Parliament's pressure, the charge variation must be transparent, non-discriminatory and applied to all users equally. The issue of the earmarking of toll revenues was another major concern of the EP. Member States agreed to reinvest the revenue from infrastructure charges and other charges to cover external costs in specific projects of a high European interest (TEN-T: Annex III to Decision No 661/2010/EU) and to make transport more sustainable. Regarding mountain regions, the Eurovignette revision provides for a mark-up on the infrastructure charge to be added for the most polluting heavy goods vehicles (EURO

emission classes 0, I and II, and class III since 2015). Here, the revenue must be invested in priority projects of European interest.

In 2015, the Commission submitted a report to the European Parliament and the Council on the implementation and impact of this directive, focusing on the effectiveness of the provisions on the recovery of the costs related to traffic-based pollution and on the inclusion of vehicles of more than 3.5 and less than 12 tons. In May 2017, the Commission presented a proposal for further amendments of the directive (European Commission 2017). The proposal extends the scope of the Directive to cover heavy goods vehicles (HGV), heavy-duty vehicles (HDV) and light duty vehicles (LDV). Accordingly, the amended Directive would encompass passenger cars, minibuses and vans as well as coaches and buses. The possibility to exempt HGVs below 12 tons from road charging would be removed. In addition, the proposal intends to gradually phase out the use of time-based user charges (vignettes), first for HGVs and buses and coaches, and then for passenger cars and vans. The provisions would thus gradually replace time-based user charges by distance-based charges as they are considered fairer, more efficient and more effective. Moreover, the revised Directive proposes a phasing out of the variation of charges according to the Euro emission class. Instead, the Commission forwards to introduce a variation of charges according to CO<sub>2</sub> emissions of HDVs. Finally, the Commission proposes to allow congestion charges, on top of infrastructure charges, to address the issue of interurban congestion.

### 2.3.3. Limiting the maximum authorized dimensions and weights

Directive 96/53/EC of 25 July 1996 laying down the maximum authorized dimensions and weights of national and international vehicles is the reference text used to set the maximum dimensions of heavy goods vehicles circulating between the Member States. The directive was amended by Directive 97/27/EC of 22 July 1997 and Directive 2002/7/EC of 18 February 2002, to harmonize the maximum dimensions of buses to allow for free circulation within the EU and, in particular, to ensure that cabotage operations for passenger transport work efficiently. However, Article 4 of Directive 96/53/EC grants some national derogations. Member States may allow vehicles to be put into circulation which exceed the limits referred to in the annex to the directive (18.75 m and 40 t) to carry out transport operations which are considered not significantly to affect international competition in the transport sector, for example, operations linked to logging and the forestry industry. The Member States must inform the Commission of the measures taken. Derogations from the maximum dimensions and weights are authorized on a trial basis only at national level. On 15 April 2013, a

proposal for a directive was submitted to Parliament and the Council, which aims to authorize the cross-border circulation of longer heavier lorries (mega trucks) in Europe.

#### 2.3.4. Administrative harmonization in transport policy

Aiming at the realization of the free movement of persons and goods, the EU's transport policy covers measures for harmonizing legal obligations for drivers of transport vehicles. Directive 91/439/EEC of 29 June 1991 on driving licenses harmonized the format of licenses and categories of vehicles. It introduced the principle of mutual recognition and laid down basic requirements in respect of health and competence. Directive 96/47/EC of 23 July 1996 provided for a model credit-card format for driving licenses. The third directive on driving licenses (Directive 2006/126/EC of 20 December 2006) made this credit-card format compulsory for all licenses issued in the EU since 19 January 2013. Furthermore, all existing paper licenses in circulation are called to be converted to the new card format when they are renewed or by 2033 at the latest. All new EU licenses are valid for a fixed period (from 10 to 15 years, depending on the country, for motorcycles and cars and five years for lorries and buses) and they are valid throughout the EU. The harmonization of licenses aims to meet three objectives: combating fraud, guaranteeing free circulation and improving road safety. The Commission reports on the implementation of this directive, including its impact on road safety, no earlier than by 19 January 2018. For lorry-driver attestation, Regulation (EC) No 484/2002 of 1 March 2002 is the related key document, together with the certificate of professional aptitude as regulated by Directive 2003/59/EC of 15 July 2003.

Council Directive 1999/37/EC of 29 April 1999 (amended by Directive 2003/127/EC) harmonizes vehicle registration documents and simplifies checks on ownership and transfers between residents of different Member States. Council Regulation (EC) No 2411/98 of 3 November 1998 on the recognition in intra-Community traffic of the distinguishing sign of the Member State in which motor vehicles and their trailers are registered makes it compulsory for registration plates to display the retro-reflecting European flag and for the distinguishing sign of the Member State to be affixed on the far left of the registration plate.

#### 2.3.5. Social harmonization

Originally, the transport sector was excluded from the scope of Directive 93/104/EC of 23 November 1993 concerning certain aspects of the organization of working time.

Directive 2002/15/EC of 11 March 2002 on the organization of the working time of persons performing mobile road transport activities seeks to lay down minimum requirements in relation to working time for improving the health and safety of drivers. According to the directive, average weekly working time is limited to 48 hours. This may be increased to 60 hours provided that an average of 48 hours per week is not exceeded in any four-month period. In October 2008, the Commission submitted a proposal for a directive amending Directive 2002/15/EC, excluding self-employed drivers from its scope. The European Parliament opposed their exclusion.

Rules on maximum driving time per day and per week, breaks and minimum daily rest periods are laid down in Regulation (EC) No 561/2006 of 15 March 2006. The regulation applies to drivers transporting goods (vehicles exceeding 3.5 tons) or passengers (vehicles carrying more than nine people). It also introduced more frequent breaks, improved and simplified checking, and penalty measures. The regulation also amended Regulation (EEC) No 3821/85 of 20 December 1985 by making the digital tachograph mandatory to facilitate the detection of infringements of the ESR. Directive 2006/22/EC of 15 March 2006 lays down minimum requirements for the implementation of the aforementioned regulations and defines a minimum number of checks (at least 3% of days worked by drivers in 2010) to be carried out by the Member States to monitor compliance with the rules on driving time, breaks and rest periods. The replacement of analogue tachographs with digital tachographs was expected gradually to clear the way for a greater volume of data to be checked more swiftly and more precisely, thereby making it possible for the Member States to carry out more checks. As part of the road transport package, Regulation (EC) No 1073/2009 of 21 October 2009 amended Regulation (EC) No 561/2006, to re-introduce and condition the '12-day rule' to allow coach or bus drivers engaged in providing a single occasional passenger service to work for up to 12 consecutive days.

#### 2.4. EU rail transport

EU rail transport policy attempts the creation of a single European railway area. Three regulatory packages and one recast were adopted since 2001. A fourth package, designed to liberalize rail services was adopted entirely at its first reading by the European Parliament (February 2014) with the technical parts adopted at its second reading (28 April 2016). Like in the area of road transport, a common rail transport policy, which facilitates and ensures both fair competition and the freedom to provide services, necessitates the harmonization of technical, administrative and safety rules. Gradual harmonization of these requirements remains essential to ensure

interoperability between national rail systems. To prevent distortions of competition and make it easier for new – privately owned or operated - companies to enter the railway market, the EU also adopted some rail specific environmental and consumer protection and harmonization measures. In its recent “Transport 2050 roadmap” the Commission sets the following goals: to complete, in the longer term, a European high-speed rail network (in the medium term (by 2030), the Commission proposes to triple the length of the existing high-speed network and maintain a dense rail network in all Member States); and to ensure that the majority of medium-haul passenger transport is carried out by rail by 2050.

#### 2.4.1. Interoperability measures

Through the adoption of Directive 96/48/EC of 23 July 1996 on the interoperability of the trans-European high-speed rail system and Directive 2001/16/EC of 19 March 2001 on the interoperability of the trans-European conventional rail system, the EU started a process to ensure that trains can transit smoothly and safely from one Member State rail network to another. A number of technical measures (‘technical specifications for interoperability’ - TSIs) were drawn up as part of these directives. These technical measures focus control systems, safety standards, signaling, telematics applications for freight services, training for staff engaged in international transport operations, freight wagons and noise abatement. The two directives were amended and updated by Directive 2004/50/EC of 29 April 2004. The directive’s scope was extended to the whole of the European rail network, since the EU agreed to meet assumed demands that followed the full opening-up of the rail network to national and international freight transport services (in January 2007) and international passenger transport services (in January 2010). Directive 2008/57/EC of 17 June 2008 — amended by more recent Directives 2009/131/EC and 2011/18/EU — recast these earlier directives into a single text. The directive is coined by the principle of mutual recognition of standards and measures: Where train vehicles have already been checked and authorized by one Member State, other Member States may subsequently verify only the parameters specifically relating to technical compatibility with their networks. It is envisaged that the fourth railway package should replace mutual recognition by strengthening the regulating and harmonizing role of the European Railway Agency (ERA).

To reduce technical barriers to interoperability, in 2005, 2008 and 2012 representatives of the rail industry and the Commission signed memorandums of understanding on the deployment and development of the European Rail Traffic Management System (ERTMS/ETCS). The idea behind this system is a smooth harmonization of the EU’s 20-

odd different signaling systems and the introduction of a uniform automatic speed control system.

National and international freight transport is subject to open competition since 1 January 2007. To make better use of the international freight network, to improve its interoperability, and to make the railways more competitive with other modes of transport, the EU mapped out nine competitive European freight corridors (Regulation (EU) No 913/2010 of 22 September 2010) for goods that have to cross several Member States. Three of these corridors have a transalpine dimension: Route 1 links Zeebrugge with Antwerp/Rotterdam, Duisburg, Basel, Milan and Genoa; route 2 connects Rotterdam with Antwerp, Luxembourg, Metz, Dijon, Lyon, and Basel, and route 3 links Stockholm with Malmö, Copenhagen, Hamburg, Innsbruck, Verona, and Palermo. Article 8 of the regulation provides for specific means for "governance of freight corridors". Accordingly, the connected member states "establish an executive board responsible for defining the general objectives of the freight corridor, supervising and taking the measures" to realize the corridors. The executive boards are "composed of representatives of the authorities of the Member States concerned". In addition, "the infrastructure managers concerned [for each corridor] and, where relevant, the allocation bodies as referred to in Article 14(2) of Directive 2001/14/EC, shall establish a management board responsible for taking the measures as expressly provided for in the Regulation. [...] The management board shall be composed of the representatives of the infrastructure managers." Regarding decision-making, both the management board and the "executive board shall take its decisions on the basis of mutual consent of the representatives of the authorities of the Member States concerned".

Scrutiny of the corridor framework is provided to some extent by an advisory group of managers and owners of the terminals of the freight corridors as well as by another advisory group made up of railway undertakings "interested in the use of the freight corridor." Both groups are set up by the management board to issue opinions "on any proposal by the management board [... They] may also issue own-initiative opinions." Further ex-post evaluation and scrutiny is ensured by the European Parliament and the Council of Ministers according to Article 23 of the regulation, which calls on the Commission to "periodically examine the application of this Regulation. It shall submit a report to the European Parliament and the Council, for the first time by 10 November 2015, and every three years thereafter."

#### 2.4.2. Social harmonization in the area of transport policy

Directive 2005/47/EC of 18 July 2005 lays down working conditions for mobile workers engaged in interoperable cross-border services in the railway sector. It is based on an agreement between the European social partners in the rail industry. Directive 2007/59/EC of 23 October 2007 aims to harmonize the minimum qualification requirements and the certification of locomotive and train drivers in the EU. It stipulates that all train drivers must hold a license (declaring that they have met the minimum health, basic training and general professional knowledge requirements) and a harmonized further training certificate. Specifically, train drivers must be in possession of a certificate stating that they have undergone specific training on the sections of track in question, the equipment they are using and the operation and safety procedures employed by a particular company. On that basis, the directive provides for mutual recognition of documents. Since October 2011, certificates or licenses have been issued to drivers performing cross-border services, cabotage services or freight transport services in another Member State, or working in at least two Member States. The directive also specifies the tasks for which the competent authorities of the Member States, train drivers and other stakeholders in the sector, in particular railway undertakings, infrastructure managers and training centers, are responsible. Railway undertakings holding a safety certificate are required to keep a register of all additional certificates issued.

#### 2.4.3. Access to infrastructure for railway undertakings

Directive 95/18/EC of 19 June 1995 provides that, in order to gain access to the infrastructure of all the Member States, a railway undertaking must hold an operating license. The license is issued by the Member State in which the company is established, provided that certain common conditions (good repute, financial fitness and professional competence) are met. The directive was amended by Directive 2001/13/EC of 26 February 2001, which laid down rail sector operating conditions (safety, technical, economic and financial) applicable throughout the EU and established a freight service authorization procedure for the European cross-border network. Directive 2012/34/EU of 21 November 2012 establishing a single European railway area, which recast the first railway package, replaced and repealed Directives 2001/12/CE, 2001/13/CE and 2001/14/CE of 26 February 2001.

#### 2.4.4. Railway noise

Directive 2002/49/EC of 25 June 2002 relating to the assessment and management of environmental noise (the Noise Directive) provides a basis for the adoption of EU measures designed to reduce noise emissions from rail vehicles and infrastructure. Accordingly, in 2003 guidelines were adopted on computation methods for railway noise; noise emission limits for rolling stock used in the EU entered into force in June 2006. In April 2011, a further Commission decision revised the TSI for railway system rolling stock. On 8 July 2008, the Commission published a communication entitled 'Rail noise abatement measures addressing the existing fleet' (European Commission, 2008), in which it sets the goal of retrofitting all freight wagons by 2015. Directive 2012/34/UE also provides for a new, noise differentiated charge collection system in the areas in question, in an attempt to encourage rail companies to retrofit their wagons with low-noise brakes (the European Train Control System (ETCS)). As a priority, the noise-differentiated infrastructure charges are intended to target freight wagons that do not meet the requirements of the TSI relating to 'rolling stock — noise' of the trans-European conventional rail system.

#### 2.4.5. Railway packages

Directive 2012/34/EU establishing a single European railway area, which had to be transposed by mid-2015, brings together in a single text the main principles governing rail development (focusing, inter alia, on the separation of infrastructure management and transport activities), granting licenses to railway undertakings and the levying of charges for the use of infrastructure. Generally speaking, the directive increases competition by making market access conditions more transparent, providing for clear separation of accounts and strengthening national regulatory bodies. It lays down in detail network and service access conditions and the rules governing the levying of charges. What is more, in January 2013 the Commission presented a package of six legislative proposals, the "fourth railway package", which is designed to complete the single European rail area and improve interoperability. The aim was to open up domestic public rail service contracts to competition by December 2019 at the latest, with a view to improving the quality and efficiency of national passenger transport services. Specifically, the fourth package amended the following instruments, which are part of the technical pillar and of the political pillar:

1. Regulation (EC) No 881/2004 of the European Parliament and of the Council of April 2004 establishing a European Railway Agency;

2. Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on interoperability;
3. Directive 2004/49/EC of the European Parliament and of the Council of April 2004 requiring all railway undertakings to obtain the safety certificate in order to gain access to infrastructure;
4. Regulation (EEC) No 1192/69 of the Council of 26 June 1969 on common rules for the normalization of the accounts of railway undertakings;
5. Regulation (EC) No 1370/2007 of the European Parliament and of the Council of 23 October 2007 on public service obligations for passenger rail transport;
6. Directive 2012/34/EU of the European Parliament and of the Council of 21 November 2012 establishing a single European railway area.

#### 2.5. Institutions and bodies of European transport policy

Commission Decision 2001/546/EC, of 11 July 2001 set up a consultative committee, the "European Energy and Transport Forum". According to the Commission's own interpretation, the Forum consists of "qualified representatives of the energy and transport sectors whose role is to express an opinion on all Commission initiatives relating to energy and transport policy." (<http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=legisum:l27044>). 34 individuals, chosen by the Commission, to represent all sectors involved in energy and transport policy, compose the Forum. Besides suppliers of transport (operators, networks and infrastructures), the Forum also comprises seven members representing users and consumers, six members of trade unions, five members of environmental organizations and organizations responsible for safety, particularly in the field of transport, and two academics. Except for members of the unions, where ETUC appoints the representatives, all other Forum members are selected on the basis of an open call for applications. The Forum as such is far from being transparent. The actual website is "hosted by VOLVO", the information provided on the organization as such only notes that "the ETF is a platform for open debate on the future of European Transport. For more than 15 years, ETF has attracted an increasing and outstanding audience. Top policy-makers and stakeholders gathered at the European Transport Forum in Brussels for a high-level debate on efforts to decarbonize transport across Europe." There is no information about members, proceeding, consultation or opinion documents. The Forum seems to take place in the form of an annual conference event, also hosted by VOLVO, to bring together some Commissioners with – unfortunately – unknown participants.

### 2.5.1. The ITF and the former European Conference of Ministers of Transport (ECMT)

Inspired by the creation of the European Coal and Steel Community (ECSC) in 1950-52, some ministers and parliamentarians of the founding states suggested the creation of further sectoral 'communities', based on similar supranational principles. Some transport ministers considered to establish a European Transport Organization, modeled closely on the ECSC. Members agreed to form an intergovernmental body – the European Conference of Ministers of Transport (ECMT) instead. Established in October 1953, the ECMT was concerned primarily with promoting practical cooperation in road transport, railways and inland waterways across Europe. In 2005, it comprised 51 countries (including associates and observers). The ECMT's Council of Ministers met once a year to discuss technical, administrative and economic aspects of transport policy, on the basis of detailed preparatory work at official level. The ECMT's secretariat was provided by the Organization for European Economic Cooperation (OEEC), and later by its successor, the Organization for Economic Cooperation and Development (OECD). The Conference's main conclusions were often adopted in the form of resolutions or conventions among the participating states. The ECMT became an important source of statistics on transport use, accidents, investment, traffic forecasts and related issues. Its value in policy-making and transport governance, however, was largely overtaken by the emergence of a common transport policy within the European Union, as well as by cooperation in various other intergovernmental fora. Therefore, in May 2006, the ECMT decided to transform itself into a new, geographically wide-ranging, International Transport Forum (ITF), which also included non-governmental organizations.

The ITF is an intergovernmental organisation with 59 member countries. It sees itself as a think tank for transport policy and organises the Annual Summit of transport ministers. ITF is the only global body that covers all transport modes. Like the ECMT, it is administratively integrated with the OECD, yet politically autonomous. Since 2008, annual ITF meetings have been held in Leipzig, with the old ECMT committee of deputies replaced by a transport management board. The ECMT formed part of the OECD and pursued many horizontal activities within it. Close relations were maintained with the European Union, the UNECE (United Nations Economic Commission for Europe) and, through this Assembly, with the Council of Europe. More than 32 international governmental and non-governmental organizations had a formal, consultative status with the ECMT. The ECMT comprised of a Council of Ministers of Transport, and a Committee of Deputies. These two bodies were assisted by

Administrative Secretaries. Restricted groups could be formed to initiate studies and discussions, questions of special interest to certain members.

Since 1953, the ECMT worked on the basis of proper Rules of Procedure, annexed to the founding protocol.<sup>1</sup> According to these Rules, the Council was to elect by the majority of its members present a Bureau consisting of a Chairman and two Vice-Chairmen. While the Council met on an annual basis, the Committee came together whenever it was considered necessary. According to Rule No. 5, meetings of both the Council and the Committee were in private. The rules on decision-making made the ECMT a potentially rather efficient body: According to Rule No. 8, resolutions agreed upon by the Council or the Committee on matters of procedure relating to the progress of their work were adopted by a majority of the members present, unless otherwise specially provided. Similarly, the agenda of meetings was adopted by a majority of members present.

In 2006, the Council of Ministers adopted the Dublin Ministerial Declaration creating the International Transport Forum (hereinafter ITF). The ITF broadened its substantive scope to cover global transport issues across all modes, and opening its membership to European and non-European countries. In 2008, the ITF approved its General Rules of Procedure, which were due to expire at the end of 2012. At the Summit in May 2012, Transport Ministers therefore agreed that the General Rules shall remain in force until new rules were adopted by the TMB. After discussions at the TMB meeting in Oslo, 3-4 October 2012, the TMB decided to set up a Working Group on the General Rules, chaired by Germany, to further review the General Rules. The TMB held an extraordinary meeting in Paris on 31 January–1 February 2013 as well as on 11 March 2013 to further discuss the revision of the General Rules based on the report from the Working Group. European Members of the TMB had a specific meeting on 11 March 2013 to specifically discuss decision-making with regard to the Road Transport Group (hereinafter RTG). At its meeting in Paris on 13 March 2013, the TMB approved by unanimous decision the new ITF General Rules [ITF/TMB(2013)7/FINAL], repealing and replacing the 2008 General Rules. These new ITF General Rules are in force since 13 March 2013.

The Rules' review process led to structural revisions to the former General Rules and to substantial changes to provide for more efficient operation and management of the ITF: Observer countries were now required to pay a standard fee, and the period of the Observer status for non-Member countries was limited to one renewable two-year term. Unanimity was considered to remain necessary for decisions with regard to the

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<sup>1</sup> <https://www.itf-oecd.org/sites/default/files/docs/protocole.pdf>

EU-related RTG, the program of Work and the Budget, the scales of contributions, the contributions from non-ECMT members and the revision of the General Rules. However, to facilitate decision-making by unanimity, the Rules also provided for Abstention from decisions with regard to the adoption of Policy Recommendations, Declarations, Resolutions, and Operational Decisions with regard to the RTG. Some operational decisions (e.g. the preparation of the Annual Summit) are now adopted by qualified majority vote, when Members fail to reach mutual agreement. As regards the inclusion of non-governmental organizations and private stakeholders, the Rules also foresee the establishment of a Corporate Partnership Board, which is composed of representative companies in the transport sector or any related domain in order to facilitate information exchange and networking with industry and to engage them in the activities of ITF.

The ITF now operates on the basis of the following organs:

- The Transport Management Board (hereinafter "TMB") that decides, by mutual agreement only, to invite applicant countries to become an ITF Member. Moreover, the TMB grants the status of Observers and Guests, sets out the ITF's general strategy, determines the respective support structures; prepares the ITF Annual Summit; supervises the activities of the JTRC; defines the principles of ITF's communication strategy; discusses, prepares and approves the work programme and the budget and submits it to the OECD Council for inscription in the OECD programme of work and budget; decides on the financial matters assigned to it; regularly assesses the activities of ITF and of its Secretariat, addresses activities of the RTG, including the latter's multilateral quota system (hereinafter "MQ"); designates the candidates for the election of the Secretary-General by the CMT; and carries out the functions of the former ECMT Committee of Deputies and Extended Committee of Deputies.
- The Council of Ministers of Transport (hereinafter "CMT") that decides, by mutual agreement only, on the accession of the applicant country. Moreover, the CMT adopts policy recommendations to fulfill the objectives of ITF; adopts Declarations and Resolutions on general transport policy; adopts Operational Decisions, for internal purposes; addresses activities of the TMB and gives it a mandate to deal with any issue related to ITF's objectives which it considers appropriate; decides on activities of the RTG; and elects the Secretary-General.
- Support Structures:
  - o the Summit Task Forces;

- the Road Transport Group (hereinafter "RTG");
- the OECD/ITF Joint Transport Research Centre (hereinafter "JTRC");
- the Corporate Partnership Board (hereinafter "CPB");
- a Secretariat.

As a remnant of the ECMT, Article 12 provides for the Road Transport Group. The RTG deals with issues regarding the ECMT MQ and any other European aspects of road transport, decided by the European Members of the TMB by unanimity. Therefore, membership to the RTG is restricted to ITF Members participating in the ECMT MQ. The RTG is chaired by a representative of a RTG Member. Unanimous decision-making authority with regard to management of the ECMT MQ and any other European aspects of road transport is delegated to the RTG. According to its rules, RTG Members can abstain from participating to the adoption of a decision. Such abstention does not invalidate the instrument or decision, which is the applicable to the other Members but not to the abstaining Member. The ITF's TMB may also refer major policy decisions of a strategic nature to the Members of the CMT participating in the ECMT MQ, adopted by unanimity, if necessary by convening a special session of the CMT meeting. The RTG may refer to the TMB, and the TMB may address, issues regarding the management of the ECMT MQ and any other European aspects of road transport. In such cases, only the Members participating in the ECMT MQ may adopt decisions by unanimity.

Article 9 of the ITF's Rules detail the voting rules of the organization. Accordingly, Policy Recommendations, Declarations and Resolutions are reviewed by the TMB and adopted by the CMT by mutual agreement only. If a Member abstains, such abstention does not invalidate it and it shall be applicable to the other Members but not to the abstaining Member. Unless otherwise provided in these General Rules, Operational Decisions are adopted by the CMT or the TMB by mutual agreement, or failing such an agreement by qualified majority vote (hereinafter "QMV") of Members present. Operational Decisions are adopted by unanimity.

Regarding these different decision-making rules, the ITF defines Unanimity as the explicit agreement of all Members present to a draft proposal. The following instruments are adopted by unanimity:

- Operational Decisions adopted by or with regard to the RTG (Articles 12.1, 12.5 and 12.6);
- Operational Decisions on the Programme of Work and Budget (Article 16.2);
- Operational Decisions on the scales of contributions (Article 16.5);

- Operational Decisions with regard to contributions from non-ECMT members (Article 16.6);
- Operational Decisions on the revision of the General Rules (Article 19.2).

Mutual agreement means a decision without any objection to a draft instrument by any Member present, without any possibility for the draft instrument to be adopted by majority vote. If mutual agreement cannot be reached, the ITF's Chairs shall not call for a vote and the draft instrument shall not be adopted. The following instruments shall be adopted by mutual agreement only:

- Adoption of Policy Recommendations, Declarations, Resolutions (Article 9.1);
- Operational Decisions on the accession of new Members (Article 3.3);
- Operational Decisions on the granting of Observer and Guest status, agreements with international organizations and conditions of Guest participation (Article 4.1 and 4.2);
- Operational Decisions on the amount of Observer's fee and Partner's grant (Articles 14.2 and 16.8).

Simple majority votes are only allowed after the Chair has first made every effort to reach mutual agreement. When the Chair considers that mutual agreement cannot be reached, s/he should call for a short pause for reflection and set a final time or date for reaching an agreement. If mutual agreement is still not achieved by that time or date, the Chair may call for a vote by simple majority, in accordance with the decision-making process specified in the General Rules. The following decisions may be adopted by mutual agreement, or failing such an agreement by a simple majority vote:

- Designation of Presidency and Vice-Presidencies (Article 6.3);
- Appointment of Chair(s) of Summit Task Force (Article 11.1);
- Election of Chair and Vice-Chair of the RTG (Article 12.4).
- The Secretary-General shall be elected by simple majority vote by the CMT.

The ITF rules also provide for qualified majority voting. QMV is defined as two-thirds of the ITF Members present that explicitly support a draft text. However, the activation of QMV is conditioned by the failure to reach mutual agreement. QMV can only be activated after the Chair has first made every effort to reach mutual agreement. Once the Chair considers that mutual agreement cannot be reached, s/he may call for a short pause for reflection and sets a deadline for reaching an agreement. If mutual agreement can still not be achieved, the Chair calls for a vote by QMV. Such

conditioned QMV is applied for the ITF's operational decisions. More specifically, conditioned QMV covers decisions on:

- the general strategy as to the pursuit of ITF's activities (Article 8.2 c);
- the preparation of Annual Summit (Article 8.2 d);
- the supervision of the activities of the JTRC (Article 8.2 e);
- the principles of the communication strategy of ITF (Article 8.2 f);
- the location of the TMB meetings (Article 10.3);
- the consideration of non-supported application(s) for the position of Secretary-General (Annex 1 paragraph 3 d).

The ITF features provisions for non-governmental institutions. The Corporate Partnership Board (CPB) is set up under Article 14 RoP. The CPB provides ITF's specific platform for debate with important stakeholders on transport policy matters; facilitates information exchange and networking of the ITF's political members with private industry; and engages global actors of the corporate world in the activities of ITF. According to the rules, the CPB is composed of representative companies with clear international perspectives and operations, which play an active role in the transport sector or any related domain and agree to make a grant to ITF. The granting of the ITF status as "Partner" depends on the decision of ITS's Secretary-General, who consults with the country in which the company has its main permanent establishment to ensure the country has no opposition to invite the company to join the CPB. CPB membership is granted for a three-year renewable term and depends on the signature by the company of a "grant agreement". Although the composition of CPB shall be as broad as possible in terms of geographical and modal balance, the group is heavily biased and represents more road transport companies than any other transport mode.

Table 3. ITF's Corporate Partnership Board – Composition 2017

<i>Road</i>	<i>Rail</i>	<i>Water</i>	<i>Air</i>	<i>no transport</i>
abertis (ESP)	Alstom (FR)	Venice Port Authority (IT)	Aeromexico (MEX)	Anheuser-Busch InBev (BE, USA)
Brisa Group (POR)	RATP Group (FR)		Incheon Intern. Airport Co. (S-Kor)	Aramco (S-Arabia)
Ford Company (USA)	Motor SNCF (FR)			ExxonMobil (USA)
Google (USA)				
INRIX (UK)				
Kapsch TrafficCom (AT)				HERE (SF)
Michelin (FR)				PTV Group (DE)
NXP Semiconductors (DE)				SAS Institute (BE/LUX)
Renault-Nissan (FR/JP)				TOTAL (FR)
Siemens (DE)				
TOYOTA (JP)				
TRANSDEV (FR)				
UBER (USA)				
VOLVO CAR (SE)				
VOLVO GROUP (SE)				

A further imbalance can be noted with regard to the geographical distribution of “partners”. Hence, eight companies have their legal seat in France, while another five originate in the USA. Many ITF member states are not represented.

Unlike the ECMT, ITF also provides for NGOs to participate at the ITF as “guests”. According to Article 4.2 RoP, the status of Guest is granted by the TMB, by mutual agreement only, to a country, an intergovernmental organization, an enterprise, a non-governmental organization, an institution, an expert or a key figure from civil society. These “Guests” are allowed to participate in specific ITF meetings and activities. The

conditions of their participation in such activities and meetings is specified by the TMB by mutual agreement only. Particular meetings, or parts of meetings that are opened to “Guests”, may be held behind closed doors and/or specific meeting documents may not be made available to them. Guests shall not be required to pay an ITF fee and are not allowed to vote. While the conditions of their participation may also address the “Guests” rights to intervene during an ITF meeting or activity, the ITF rules remain silent on Guests’ rights to take the floor. In practical terms, it is not possible to identify the ITF’s Guests. While corporate business is fully acknowledged and documented by ITF, and performs a visible role within the CPB, the ITF remains silent about the number, origin or substantive scope of “Guests”. Assuming that ITF mentions invited “Guests” in its activity reports and minutes, we have analyzed all meeting documents at ministerial and TMB level. However, we found no information about the “Guests” and observers.

#### 2.5.2. European Railway Agency

The European Railway Agency — with headquarters in Lille and Valenciennes (France) — was originally set up by Regulation (EC) No 881/2004 of 29 April 2004 with the aim of improving the interoperability and safety of the European rail network. The agency’s main task is to harmonize, register and monitor technical specifications for interoperability (TSIs) across the entire European rail network and set common safety targets for European railways. The agency itself has no decision-making powers. Instead, it helps the Commission to draw up proposals for legislative measures in the area of rail transport. Regulation (EC) No 1335/2008 of 16 December 2008 assigned new tasks to the agency in response to the changes made to the Railway Safety Directive (2004/49/EC) and to the Directive on the interoperability of the rail system (2008/57/EC). Following the adoption of the Fourth Railway Package, the agency became the EU’s central authority for issuing rail vehicle authorizations used for cross-border operations and for issuing safety certificates for railway undertakings operating in several EU Member States.

Overall, Regulation (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways grants the agency with the following objectives and tasks: developing a common approach to safety; increasing the level of interoperability; examining national railway rules in order to support national authorities acting in the fields of railway safety and interoperability; and promoting the best practice procedures. With regard to rail safety, the agency provides recommendations to the European Commission on common safety indicators, methods and targets; and on the system of certifications of bodies in charge of safety.

Regarding interoperability, the agency provides recommendations to the Commission to update and revise the technical specifications on interoperability (TSIs); issues authorizations for the placing on the market of railway vehicles and vehicle types, and approves the European railway traffic management system's (ERTMS) trackside equipment. Moreover, the agency acts as an interface between the EU institutions and member states to ensure the conformity of national rules with binding rules on railway safety and interoperability requirements.

The regulation also provides rules on the efficiency, effectiveness, democratic control and transparency. The Agency is steered by a Management Board, and an Executive Board. The Management Board is composed of one representative from each Member State and two representatives of the Commission. While these representatives enjoy a right to vote, another group of six representatives of railway undertakings, infrastructure managers, the railway industry, trade-union organizations, passengers, and freight customers is appointed by the Commission and does not have the right to vote. Other stakeholders enjoy specific consultation rights. According to Article 6 social partners are consulted by the Board whenever the tasks of the Agency "have a direct impact on the social environment or working conditions of workers in the industry". Consultation takes then place within the framework of the sectoral dialogue committee set up pursuant to Commission Decision 98/500/EC. Opinions expressed by the sectoral dialogue committee are to be forwarded to the Commission. According to Article 7 rail freight customers and passengers are consulted in a specific format. Whenever the Agency's tasks have a direct impact on rail freight customers and passengers, the Agency needs to consult the organizations representing them.

The Agency's Management Board is assisted by an Executive Board, which consists of the chairperson of the Management Board, four of the other representatives of Member States on the Management Board, and one of the representatives of the Commission on the Management Board. According to Article 50, the agency's Management Board shall take its decisions by an absolute majority of its members entitled to vote. Effective control by the European Parliament should be ensured by granting Parliament with the right to be consulted on the draft multiannual part of the programming document of the Agency, to have the possibility of hearing the nominated Executive Director of the Agency, and to receive the annual report on the Agency's activities. Regarding transparency, the Agency is supposed to fully apply the respective EU legislation concerning public access to documents.

## 2.6. Institutional and procedural framework at the EU level

European Transport policy is subject to sectoral policy-making within and between the EU's institutions. Within the Treaties, Title VI deals with the setup and functioning of the EU's common transport policy. According to Article 91 TFEU, the European Parliament and the Council adopt measures under the ordinary legislative procedure and after consulting the Economic and Social Committee (EESC) and the Committee of the Regions (COR), measures on common rules to international transport to or from the territory of a Member State or passing across the territory of one or more Member States, on the conditions under which non-resident carriers may operate transport services within a Member State, and on the improvement of transport safety. Article 92 TFEU provides for derogations from the provisions referred to in Article 91 TFEU. Here, the Council decides by unanimity without consulting the European Parliament, the EESC or the COR. Under Article 95 TFEU, Council is empowered to adopt provisions to enable the institutions of the Union to secure compliance with the rule that discrimination or carriers and charges is prohibited. Related measures are adopted after consulting the European Parliament and the EESC. Finally, Article 99 TFEU constitutionalizes the setup of an "Advisory Committee consisting of experts designated by the governments of Member States" to be attached to the Commission.

Within the European Parliament, the Committee on transport and tourism (TRAN), which is responsible for Committee responsible for dossiers relating to the development of a common policy for rail, road, inland waterway, maritime and air transport. More specifically, TRAN deliberates on common rules applicable to transport within the European Union, the establishment and development of trans-European networks in the area of transport infrastructure, the provision of transport services and relations in the field of transport with third countries, transport safety, relations with international transport bodies and organizations; the European Maritime Safety Agency, the European Railway Agency, the European Aviation Safety Agency and the SESAR Joint Undertaking; Postal services; and tourism. Compared to other EP committees, TRAN is a medium-sized Committee (50 members), coined by heavy workload in legislation, dealing with about 50 to 70 legislative dossiers per legislative period (Dialer, Maurer and Richter 2016, p. 240). In addition, the Committee is also responsible for scrutinizing the Commission's activity in the sector as well as for controlling the EU's agencies on transport policy.

Regarding the Council of the European Union, its format of the Council for Transport, telecommunications and energy (TTE) deals with the establishment of competitive and efficient markets and infrastructure, and the creation of trans-European transport,

communications and energy networks. The composition of the TTE Council and the number of its meetings varies according to the items on the agenda. To date, transport ministers usually meet four times a year, energy ministers meet three or four times a year, and telecommunications ministers meet twice a year. A characteristic of the Council are its working parties that prepare and precook Council decisions. Regarding the TTE's portfolio for transport policy, there are four working parties in place: The Working Party on Aviation, the Working Party on Land Transport, the Working Party on Shipping, and the Working Party on Transport - Intermodal Questions and Networks. The Working Party on Land Transport deals with legislation on the safety and efficiency of road and rail transport, as well as with railway infrastructure. Its current priorities are the establishment of a single European railway area (4th railway package), and cross-border exchange of information on road safety related traffic offences. The Working Party on Transport - Intermodal Questions and Networks deals with different means of transport, their connection within all EU regions, and the joint European navigation system. To date, it concentrates on the European Geostationary Navigation Overlay Service (EGNOS), the Trans-European Transport Network (TEN-T), and the EU's joint satellite navigation system (Galileo). Both working parties meet on a weekly basis.

The European Commission operates two specific DGs that are responsible for matters falling into the scope of the EU's transport policy. DG Maritime affairs and fisheries deals with waterway transport, while DG Mobility and transport covers all transport modes. DG MOVE relates the European Maritime Safety Agency (EMSA), the European Aviation Safety Agency (EASA), the European Railway Agency (ERA), the Executive Agency for Competitiveness & Innovation (EACI), and the Innovation & Networks Executive Agency (INEA) as the successor of the Trans-European Transport Network Executive Agency (TEN-T EA). NEA implements the Connecting Europe Facility (CEF), two parts of Horizon 2020 – Smart, green and integrated transport + Secure, clean and efficient energy, and the programmes TEN-T and Marco Polo 2007-2013.

The EU's two consultative committees also provide for some specific structures in the area of transport policy. Within the European Economic and Social Committee (EESC), the Transport, energy, infrastructure and information society section deals with the functioning of single-market, mobility, trans-European networks, the development of the information society, energy, and services of general interest. In April 2013, the Section set up a Permanent study group "Implementation of the white paper on transport" (PSG) to put into practice the recommendations of the EESC opinion "Transport White Paper: getting civil society on board" (TEN/479). The PSG's mission is to ensure that important pieces of EU legislation linked to the White Paper are

elaborated with an adequate level of civil society participation. It therefore proposes innovative ways of involving civil society in EU decision-making and policy implementation: The Participatory dialogue on TEN-T policy brings together authorities, stakeholders and civil society on the TEN-T core network corridors. The dialogue concept was initiated by the EESC's Malmö conference "Shaping the Future of Core Network corridors" and confirmed by its Milan conference "Improved dialogue for smart and sustainable transport".

Another means of the PSG to provide for inclusive governance is the "Talking transport" on-line platform to support the participatory dialogue between civil society and public authorities on transport issues. This dialogue aims at improving the understanding and acceptance of policy measures and the quality and efficiency of the decisions to be taken. The Talking Transport platform aims to trigger dialogue by enabling users to exchange views, ask questions or raise specific problems. During the last years, the PSG produced some outstanding opinions on sustainable transport, namely on "the impact of the conclusions of COP21 on European transport policy" (TEN/582), which was followed by the PSG opinion "Decarbonization of transport" (TEN/609). Regarding the Commission's recent "mobility package", the PSG closely monitors the European Commission's proposals, such as market access measures, enforcement of social legislation and road charging.

Within the Committee of the Regions, the Commission for territorial cohesion policy (COTER) is responsible for dealing with Economic, Social and Territorial Cohesion, Structural Funds, Spatial Planning, Urban Policy, Housing, Transport including TEN-T, the Macro-regions, Territorial Cooperation, Regional statistics and indicators. Although COTER covers a broad range of EU policy areas, its recent opinions concentrated on issues of linking trans-regional policies with transport and mobility issues: The opinion on "A European Strategy for Low-Emission Mobility (CDR 18/2017)" addresses the European Commission's paper on a "European Strategy for Low-Emission Mobility". The opinion "Missing transport links in border regions (CDR 4294/2016)" looks into the integrated development of border regions in Europe and the availability of transport infrastructures. It focuses on an improvement of cross-border transport and the issue of missing cross-border transport links at local and regional level, and gives recommendations on how these links could be closed.

### 2.6.1. Importance of the EU level for member states

National transport policy initiatives have increasingly been based on the European level. The EU has become an important player, particularly in the context of the establishment of the internal market and the competence for "Trans-European Networks" (TEN), which in turn has a decisive influence on the liberalization of transport markets. However, the EU's influence on national transport policy varies with the respective policy approach. Regarding the area of air pollution control policy, where mainly technical measures are taken, the EU can now be seen as the main engine of environmental transport regulation (Euro 1 to Euro 6 limit values, NEC directive on the air quality framework). In those areas of technical regulation, which are not yet harmonized by uniform European legislation, individual Member States are still allowed to adopt their own measures to improve the performance of their transport policy. Moving at the national level or through joint legislative initiatives, Member States are thus able to influence or accelerate future policy developments in the EU at European level. Such a pioneering position within the EU has been analyzed with regard to the introduction of the catalyst and lead-free gasoline (Wurzel 2002; Holzinger 1994).

Where uniform European transport provisions are in place, however, the possibilities for individual Member States to unilaterally amend their transport policy – e.g. by tightening their national level of protection - are severely restricted. The environmental requirements for the registration of new vehicles (from Euro 1 to Euro 6) are now largely regulated at EU level. Where EU-wide harmonization is in place, Member States cannot tighten their respective requirements beyond the protective provisions agreed at EU level (Herrmann and Hofmann 2002, pp. 581; 590 f.). Finally, national fiscal measures to accelerate the market introduction of fuel-efficient or low-emission vehicles are only possible if they do not conflict with existing EU legislation and competition rules.

In the field of transport management measures, the EU has a large influence on freight transport, but is relatively small in the area of passenger transport. The EU plays a relatively important role in the (de)-regulation of freight transport. In the 1990s, it pushed ahead with the liberalization of freight transport markets and established a framework for the collection of national transport levies such as road tolls and charges for lorry and motor vehicle taxes for freight transport (Directive 93/89/EEC; Directive 1999/62/EC). A differentiation of the tax and fee rates according to environmental or other criteria is partly possible under these regulations.

However, the European regulations need to be seen in a broader sense: The German truck toll was only allowed to cover road costs, but not the further external costs of truck traffic. A further consideration of the external costs and the structuring of taxation

according to the principle of territoriality (= taxation location, where the journey takes place) was prevented by the peripheral countries (Hey, 1998). Given the unanimity requirement for infrastructure taxation in the EU treaties, difficult negotiation processes have repeatedly been necessary on tax policy issues in the transport sector. The coalition of the countries mainly affected by transit has so far been unable to form a majority coalition, partly because of Germany's ambivalent position as a both a transit and exporting country (Hey 2002; Kerwer and Teutsch, 2001; Kux and Wicki, 2000).

Traffic management measures in the area of passenger transport at EU level are in place as part of the harmonization of taxes on diesel and petrol. Due to the very different national tax rates, the EU Commission has not succeeded in achieving complete harmonization. Due to the "tank tourism" and given the growing importance of international transport, the low level of harmonization of tax rates is a political obstacle to national unilateral efforts to increase fuel taxation.

Traffic planning measures are largely decided at the national and subnational level. However, the EU directives on environmental impact assessment (EIA) and Strategic Environmental Assessment (SEA) provide for environmental aspects to be considered in public transport plans and projects. The planning of (national/federal) traffic routes falls within the scope of the EU's SUP Directive. In addition, the EU Commission is increasingly trying to influence national transport planning within the framework of the TEN-T. Of particular importance in this context are measures aimed at interoperability of national technical systems for rail transport.

#### 2.6.2. The importance of the UNECE level for member states

In addition to the European Union, the United Nations Economic Commission for Europe (UNECE) plays an important role in the regulation of transport at international level. A total of 55 states, including all EU members and - as the only non-European states - Canada and the USA, currently belong to UNECE. In the field of transport, the various UNECE forums are devoted to the regulation of specific detailed questions at working level (e.g. harmonization of technical standards, definition of quality standards). To illustrate, the harmonization of noise standards for type approval of motor vehicles and motorcycles has been carried out at UNECE level (Regulation 41 "Noise of motor cycles" and Regulation 51 "Noise of vehicles having at least 4 wheels"). Standards negotiated at UNECE level are then adopted by the EU. The advantage of negotiating technical norms and standards at UNECE level lies in the large number of Member States and thus the large potential scope for these regulations. UNECE is well

aware of the fact that, in areas such as the avoidance of cross-border air pollution (the Convention on Long-Range Transboundary Air Pollution and the protocols adopted under that Convention), sustainability should be the governing principle of transport policy schemes. However, UNECE's day-to-day policy in the transport sector is largely coined by the lowest common denominator (Wurzel 2002, p. 97; see also Friedrich et al., 2000). The reasons for rather poor development are, on the one hand, the great influence of industrial actors on the representatives of national governments in UNECE (Wurzel 2002, p. 97) as well as the great importance of "independent", industry-related experts in setting technical standards.

Industrial expert knowledge represents a general problem for any technical standardization process when outsourced from the legislative process (for the EU see German Advisory Council on the Environment 2004, pp. 1286 ff.). The main reason for this can be seen in the lack of independent parliamentary control. The lack of parliamentary or civil society scrutiny has a negative impact, particularly in those areas of transport policy in which - as in the field of traffic noise, for example - there is a lack of control. There are no clear and binding environmental quality targets. It is unlikely that the technical standardization bodies of UNECE will be able to establish environmental standards that are appropriate to the problem.

## 2.7. Transport policies at national level

### 2.7.1. The framework of national transport policies

Transalpine traffic increases dramatically, at the cost of Alpine nature and human health. Especially for EUSALP countries that concentrate their views of international freight transport on a North-South axis (Germany, Italy), the Alps constitute a barrier to transit traffic. In addition, in relation to the inner-alpine states, these three countries feature important automotive industries, both in terms of employees, in terms of their contribution to the GDP, and in terms of their volume to the country's export. The perception of the Alps as a barrier is also evident for other EUSALP countries. However, while for Italy, France and Germany, the Alps constitute only a minor, peripheral portion of their territory, Switzerland, Austria, and Slovenia are much more coined by the geo-economic and geo-political character of the Alps as a particular living environment. For all three countries, the alpine territory is at the center of their socio-economic development. This is particularly true for Switzerland and Liechtenstein.

Table 4. Key data on EUSALP's transport road and rail industry

<i>France</i>	<i>Automotive industry</i>	<i>Automotive supplier</i>	<i>Railway construction</i>	<i>Rail construction</i>	<i>Railway supplier</i>
Employees	230.000 (2015)	66.000 (2015)	30.000 (2016)	8000	4000
Turnover in €	91 Bil. (2015) 3,9% (2012) (TVA) / 16% of manufacturing industry	52 Bil. (2015) 3,9% (2012) (TVA) / 16% of manufacturing industry	2.3 Bil. (2016)	574.5 Mio €	528 Mio €
% of GDP					
% of export	9,5%		16%	40,7%	41,6%
<i>Austria</i>	<i>Automotive industry</i>	<i>Automotive supplier</i>	<i>Railway construction</i>	<i>Rail construction</i>	<i>Railway supplier</i>
Employees	30.000		8100		
Turnover in €	13,7 Bil.		2,6 Bil. (1,846 Bil. export)		
% of GDP	3,93%		0, %		
% of export	8,78%		0,76%		
<i>Slovenia</i>	<i>Automotive industry</i>	<i>Automotive supplier</i>	<i>Railway construction</i>	<i>Rail construction</i>	<i>Railway supplier</i>
Employees	16.856	171.500			
Turnover in €	3,7 Bil.	4.5 Bil.			
% of GDP	10%	ca. 10%			
% of export	12,5%	20%			
<i>Italy</i>	<i>Automotive industry</i>	<i>Automotive supplier</i>	<i>Railway construction</i>	<i>Rail construction</i>	<i>Railway supplier</i>
Employees	ca. 174.000	136.000	70.000		
Turnover in €		38.8 Bil.	3.981 Bil.		
% of GDP	8,5% (2006)	5%			
% of export	9,3% (2016)	4,8% (2016)	0,25% (2016)		
<i>Switzerland</i>	<i>Automotive industry</i>	<i>Automotive supplier</i>	<i>Railway construction</i>	<i>Rail construction</i>	<i>Railway supplier</i>
Employees	24.000		4.400 (2008)		
Turnover in €	9 Bil. CHF				
% of GDP	1,42%				
% of export	2,38%		ca. 0,68% (2009)		
<i>Germany</i>	<i>Automotive industry</i>	<i>Automotive supplier</i>	<i>Railway construction</i>	<i>Rail construction</i>	<i>Railway supplier</i>
employees	808.491	300.900	50.500		
turnover in €	404.6 Bil.	76.3 Bil.	11.8 Bil.	3.1 Bil.	
% on GDP	13,33 %	2,5 %	0,39 %	0,1 %	
% on export	21,2 %	2,39 %	0,51 %	0,11 %	

Sources: VDA (DE), Bahnindustrie (DE), CCFA (F), FIF (F), Gouvernement (F). Fahrzeugindustrie (AT), Bahnindustrie (AT), InvestSlovenia (SLO), InvestinMaribor (SLO), Unioncamere (IT), CAMCOM (IT), FSITALIANE (IT), ANSA (IT), BFS (CH); SEVONLINE (CH)

Nearly 150 million people cross the Alps every year, 83% by road. Alpine freight transport is growing rapidly, predominantly in the eastern Alps. The total freight

transport crossing the Alps grew by 44% from 1994 to 2004. The French crossing points registered an increase of only 6%, while the Swiss crossings grew by 48% over the same period, and the Austrian crossing points noted an increase of 69%, establishing the Austrian share of total crossing at 57% (19% in the Swiss and 24% in the French part of the Alpine ridge). Road transport is dominating this development: from 1994 to 2004, it increased by 56%, raising the road share of total freight transport from 62% to 67%. Only in the Swiss part the rail dominates with 64%, while at French crossing points rail made up for only 14%. Freight is not the only problem. On the Brenner route, freight accounts for more than 10.000 trucks daily on the most intense days in the middle of the week, rather constantly throughout the year. Passenger transport on the same route reaches peaks of +/-45.000 cars per day in august. Strong seasonal variations show the strong impact of tourism.

The dense road and rail networks in Alpine valleys generate space-eating traffic infrastructure, noise, air pollution, and habitat fragmentation. Additionally, inner-alpine (domestic) traffic continues to grow and constitutes the bulk of all Alpine traffic, generating increasing levels of nitrogen dioxide emissions, damaging forests and other ecosystems through acid rain and the introduction of damaging nutrients. Finally, tourism is a major driver for the economic development of the Alps, generating increased traffic in the Alps, especially in remote areas with tourist resorts. Due to the high altitudes, air pollution in these areas is even more serious.

The realization and enforceability of transport policy strategies and effective, efficient, democratic, and transparent governance is shaped to a considerable extent by the political-institutional conditions and the evolving constellations of actors in this sector. For the national policy-making in the transport sector, framework conditions must be taken into account. In particular, four structural factors influence the development of a sustainable transport policy:

- the relatively high influence potential of the polluter-pays interests,
- the importance of public infrastructure in the transport sector and the resulting double role of the state as a source and addressee of transport, mobility and sustainability policy regulations,
- the distribution of competences in traffic route planning and the resulting incentives to exaggerate the road construction and segmentation of traffic planning,
- fragmented vs. comprehensive problem-solving by mode of transport.

The segmentation of the problem-processing and the distribution of competences in traffic route planning induces national traffic planning as a bottom-up process. The high influence potential of polluter-pays interests hinders action, a challenge for structure and growth of the transport sector itself. The dual role of the state as a source and addressee of sustainability policy regulations induces a variety of conflicts between policy objectives such as environmental protection or economic development. Transport policy instruments are affected to varying degrees by these framework conditions. The biggest challenge for effective governance in the transport sector is to overcome the structural barriers to integrated transport planning.

The main framework conditions of national transport policy include the high influence potential of both the supplier and the users of traffic in the political decision-making process. Suppliers are the producers of vehicles and transport infrastructure with diverse, upstream and downstream production facilities and production stages. In addition, there are individual and commercial users of vehicles and infrastructure. Together, these groups of actors form a complex network of interests with a broadly diversified organizational power.

## 2.7.2. Germany

### 2.7.2.1. Competence framework

The responsibility for transport policy in Germany is distributed at the federal, states and local level. A distinction must be drawn between the responsibilities for legislation, the financing of infrastructure measures, demand planning and the implementation of infrastructure measures, the management of transport routes and the implementation of road traffic law.

Germany is a federal state. Due to this constitutionalised structure collective players intervene at different levels in the political process. The Basic Law (Grundgesetz) attributes specific competencies and functions to these levels. The vertical division of powers between the federal level and that of the federated states - the Länder - leads to a complex system of „political interwovenness“ or „interconnectedness“ (Politikverflechtung). Basically, there is no single decision-making centre but different levels interact in the decision-making process and compete for access and participation. In addition to this vertical distribution of 'openings', there is a horizontal division of influence between the different ministries and institutions on each level. Three constitutional rules govern this framework of joint decision-making: the principle of ministerial responsibility ('Ressortprinzip'), according to which ministries at the

federal level are independent and competing actors. Unlike the situation in France or the United Kingdom, this principle as such does hinder the different branches of the German government in their attempts to develop coherent approaches in EU policy-making. Secondly, the framework of joint decision-making is influenced by the chancellor principle ('Kanzlerprinzip') which empowers the Chancellor to guide the government and to define the ministerial portfolios, and which can be mobilised when serious challenges and inter-ministerial bottlenecks loom. However, the Chancellor is not entitled to finally decide on matters where ministers battle for different views or positions. Hence the collective government principle ('Kabinettsprinzip') ensures that open conflicts between ministries are decided by the whole cabinet of the federal government.

Interest groups are involved in the preparatory and implementation phases of the EU's policy cycle. Playing a decisive role during the decision-making phase is the exception rather than the rule. Finally, the German political parties have very limited institutionalised functions in the policy cycle.

A growing literature focusing on the efficiency of Germany's European policy-making has detected structural handicaps and 'failures' due to the institutional design. The conventional wisdom identifies a comparatively low degree of effectiveness and competitiveness. Compared to its French and British counterparts, the performance of the German inter-administrative process suffers from horizontal and vertical fragmentation, cumbersome procedures, „negative co-ordination“, „institutional pluralism“, and „institutional cannibalism“. Hence, the powers conferred to the different levels of policy-making are not co-ordinated by a central agency responsible for formulating a coherent European policy. These features highlight a lack of clear, „national“ strategies and of rapid position taking-leading which can leave the German delegation in a minority position in the Council of Ministers. On the other hand, this politico-administrative system features flexible working and co-ordination structures. One of the persistent amenities of the German political system is the decentralised and departmentalised scheme of administrative interaction. Decision-making is filtered from the lowest level towards the highest administrative and political levels. In a manner which resembles the hidden logic behind the decision-making in the EU Council of Ministers, the bureaucracy tries to solve conflicts at the earliest and lowest level possible.

The federal government is composed of the Chancellor, ministers, ministers of state and the ministerial bureaucracy which are directly involved in the EU's Council of Ministers, its subordinate working mechanisms, but also in the Commission's

comitology committees. The Chancellor claims a certain 'domaine réservé' within the European Council. The so-called 'guidance competence' („Richtlinienkompetenz“) can be defined as a capability to set the strategic guidelines of the federal government in general, to resolve inter-ministerial disputes (decisions of the Chancellor in this regard are binding for the ministers), and to determine the final governmental approach on a given issue. The guidance competence was only rarely used until the formalisation of the European Council in 1974. However, since then German Chancellors have made use of this power on several occasions (European Monetary System, Schengen co-operation, IGCs, enlargement). The European Council's tendency towards 'de-facto intrusion' into the competencies of the Council of Ministers under the EC Treaty has reinforced the Chancellor's potential to influence the broad but decisive outlines of EU policy-making. On the other hand, the ministers of the cabinet and the ministerial bureaucracy are highly involved in the preparatory drafting of EC legislation within the working groups of the Council of Ministers and the European Commission as well as within the Council's Committee of Permanent Representatives (COREPER).

As federal states, the sixteen Länder have the quality of 'autonomous statehood' ('Eigenstaatlichkeit'). Two factors define the prominent character of the Länder as entities with an autonomous statehood: firstly, they possess their own competencies and are thus able to structure politics and policies autonomously within their territory. Secondly, they participate in the legislative and administrative process of the federation and thus play an important role in the decision-making system of the 'whole state' (Gesamtstaat). However, the process of European integration has posed a persistent challenge to the legal status of the Länder and their political quality as constituent states, and therefore also to the fundamental federal structure of the Federal Republic. Thus, whereas federal statehood is guaranteed as a central and irrevocable structural principle of the Basic Law, the question has repeatedly been posed as to how far the balance between federation and Länder may shift without undermining the essence of federal statehood.

Whereas the Act of Ratification of the Treaty of Rome was combined with an obligation of the federal government only to inform the Bundesrat on legislative proposals issued by the European Commission, the establishment of the European Regional Development Fund (ERDF) resulted in the 'Länder participation procedure'. The federal government declared itself prepared to follow the Länder views strictly if their competencies were affected by a draft legislative act of the EEC. During the negotiations on the Rome Treaties, the Länder and the federal government also agreed on the institution of a 'Länder-Observator' (Länderbeobachter) to provide information to

the Bundesrat and the Länder. The Länder-Observer was entitled to participate at each meeting of the Council of Ministers and to report on the latter's proceedings to the Länder and the Bundesrat.

Considering the complex structure that characterises European policy-making at the 'Brussels' and the 'Bonn/Berlin' levels, it came as no surprise that the primary strategic response of the Länder to the Single European Act was the establishment of co-ordination mechanism both regarding the federal state level as well as to the wider arena of policy-making in Brussels. Apart from the different participation procedures in EC/EU affairs, the Länder developed various activities to entrench their rights and to generate an independent capacity in the making of European law and politics.

To co-ordinate European policy-making between the federal state and the Länder more efficiently, every Land government nominated its own European affairs commissioner (Europabeauftragter) or European affairs delegate (Europabevollmächtigter) occupying a post either as a minister or as a state-secretary. Such delegates act as a 'bridge' between their Land and the other levels of European policy-making by representing their Land in the 'Europe-Chamber' of the Bundesrat (a special institution for the co-ordination of the Bundesrat's European policy) and vis-à-vis the federal government. For this reason, most of these posts have been located at the Representation of the Länder at the federal state level in Bonn/Berlin.

As a response to the growing amount of EC legislation after the entry into force of the SEA, the Länder opened information or liaison offices in Brussels between 1985 and 1987. Initially being criticised by the federal government as instruments of an 'auxiliary' or 'competitive foreign policy' („Nebenaußenpolitik“), they quickly became a useful tool for the Länder to secure and pass on information from the European Commission, the European Parliament and the German Permanent Representation during the early phases of the EU policy-cycle. The liaison offices have also proved useful as a tool for advancing the specific interests of each individual Land vis-à-vis the European Commission, especially regarding the management of the ERDF and to the settlement of disputes on state aid and the granting of subsidies with the European Commission's DG for Competition. Compared with the Länder-Observer, the Länder offices have far more administrative staff. Finally, the creation of the Committee of the Regions also prompted the offices to assist their Länder representatives in the preparation of the committee's meetings.

Legislative competence in the transport sector is primarily at federal level. The exclusive legislative competence of the Bund applies to air transport and railways, provided that the latter are wholly or majority-owned by the Bund (Art. 73, No. 6 and 6a GG). In the

fields of road transport and inland waterway transport, the competing competencies led the Bund to legislate extensively.

As owner of the federal highways and waterways, the Bund bears the financial burden for new construction and expansion measures as well as for replacement and maintenance investments. In return, the Länder and municipalities are responsible for the financing of state and municipal roads, whereby the Federal Government provides financial assistance to the Länder for investments to improve municipal traffic conditions including public transport. The requirements for these federal subsidies as well as their amount and scope are regulated by the Municipal Transport Financing Act. As regards railways and the equipment required for railway operations, the owner is the Deutsche Bahn AG; however, the Federal Government is responsible for financing the new construction and expansion of these lines. The responsibility of the DB AG is therefore restricted to the maintenance and repair of the railway infrastructure.

The planning and coordination of federal investments in the construction and expansion of the federal traffic routes is carried out through the federal traffic route planning (Bundesverkehrswegeplanung). The Federal Transport Route Plan (Bundesverkehrswegeplan - BVWP) is drawn up by the Federal Ministry of Transport and approved by the Federal Government cabinet for approximately ten years. The subsequent investment plans for all federal transport routes determines the investment funds available for the construction and maintenance of new and upgraded traffic routes, determines the urgency of new and upgraded projects according to their economic, ecological and spatial impact and sets priorities for investment decisions by the public sector. Transport projects to be included in the BVWP are selected from the entirety of projects submitted by the federal states, the Federal Waterway Administration and Deutsche Bahn AG, since the BVWP is designed for all modes of transport. The further implementation of this planning is organized separately according to modes of transport (see Section 3.1.1.2 of the Federal Transport Act). Based on the BVWP, the Federal Government draws up separate demand plans for the areas of „federal railways“ and „federal highways“, which are then fed into the legislative process as annexes to the „Federal Rail Expansion Act“ and the „Federal Highway Extension Act“. Both are debated and approved jointly by the Bundestag and Bundesrat. The requirement plans for rail and road thus have legal status. A five-year plan drawn up by the Federal Ministry of Transport further specifies the federal highway requirement plan, which in turn provides the framework for annual road construction planning. The road construction plan, which is adopted by the Bundestag and Bundesrat as an annex to the Federal Budget Act has legal status. It specifies the

individual measures to be carried out and estimates the amount of work required for this purpose in Chapter 1210 of the Federal Budget. Consequently, only the annual road construction plan constitutes a budget appropriation for the construction and authorization to pay the planned infrastructure costs.

As a matter of principle, federal transport infrastructure planning is characterized by a problematic incongruity of demand-determination and financing: the federal states register the need for roads, the financing of which is then largely borne by the federal government. This mode of governing demand planning provides a structural incentive for the Länder to always register excessive requirements: In addition to highway routes, Länder increasingly register routes of predominantly regional or local importance. And in addition to functional requirements, regional economic interests of the federal states and municipalities are increasingly taking center stage in the registration of needs (Federal Commissioner for Economic Efficiency in the Administration, 2004).

The responsibility for the enforcement of road traffic law as well as traffic-relevant environmental laws and regulations lies with the federal states. In addition, they are also able to manage regulations (Art. 90 II GG) for the construction and management of federal highways. The latter means that the Länder are responsible for the planning and implementation of concrete construction and conservation measures, while the Federal Government is responsible for the financing of these measures. The contract administration in the federal highway construction sector features a number of weaknesses, which have been increasingly criticized in recent times (see in particular the Federal Commissioner for Road Construction for economic efficiency in administration, 2004).

The main criticism concerns contract management, where funding and administrative responsibility are not on the same level, but rather between the federal and state levels. The considerable latitude of the road construction authorities of the federal states in planning and implementing concrete construction measures creates an incentive for states and municipalities to promote and realize their own economic policy and regional economic interests at the expense of the federal government. According to the Federal Commissioner for Economic Efficiency in Administration (Federal Commissioner for Economic Efficiency in Administration 2004, p. 50), „particularly in the case of federal highways, planning and construction work is too costly and goes beyond what is necessary“. This is mainly due to the fact that the federal government is not provided with a functioning system for controlling the Länder to safeguard its interests in individual construction projects. The road construction administrations of the Länder, on the other hand, have an information advantage, which allows them to

promote their own interests whenever concrete road construction measures are taken. The institutional design of highway construction thus systematically provides incentives for a rather excessive expansion of the road network. The necessary reduction of these - ecologically counterproductive - incentives would entail a redistribution of governance capacities and functions in planning, financing and construction.

#### 2.7.2.2. German transport policy

The high influence potential of the transport sector stems from the high functional importance of the transport sector for the economy and employment, especially in Germany. With 925,000 employees and a gross added value of 58.8 billion euros (2001), the automotive industry is one of the largest industrial sectors in Germany, accounting for one tenth of the added value of the manufacturing sector. In addition, there are effects on the automobile services (trade, repair, filling stations) with ca. 900,000 employees and a gross added value of 28 billion euros (2001) (German Federal Statistical Office 2004, pp. 80 f., 734 f.). The export share of the automotive industry is particularly high. The automotive industry is characterized by a high degree of concentration: The ten largest companies account for almost 80 percent of the sector's turnover (German Federal Statistical Office 2004, p. 395). The importance of the road transport sector is increasing, not least due to sectors such as road construction and petroleum processing. In contrast to other influential industries (chemicals or energy), the road transport sector has a politically significant „mass base“ in the form of the owners of 45 million cars (German Federal Statistical Office 2004, p. 463), with the ADAC as an interest group with a high capacity for targeted, press-effective campaigns. Although more environmentally oriented the German Traffic Club (VCD) does not offer an effective counterbalance to the ADAC in terms of members, it does offer a certain amount of public perception. Finally, the network of actors in the motorized private transport sector is characterized by a high degree of unity and homogeneity of interests among its most important players - automobile manufacturers, oil companies, road construction companies and the Federal Ministry of Transport.

Environmental NGO associations are primarily involved in setting the transport policy agenda by external public pressure, but less by exerting influence within the existing networks. Given the properties of such closed and closed-loop systems of interest-homogeneous policy networks, they are in a position to prevent state measures which are contrary to their interests, or at least to prevent their costs from being borne by actors outside the political arena (Daugbjerg 1998.)

The transport policy decision-making processes in Germany is therefore based on criteria that are particularly marked by power imbalances. In 1992, the OECD spoke of the danger of a capture of the political regulatory system by those to be regulated with regard to environmental transport policy (OECD 1992, p. 46). Adaptation and learning processes on the part of the automotive industry can be observed in areas where policymakers relied on technology-based solutions to reduce emissions of pollutants or noise from road transport, without jeopardizing the structure and growth of the transport sector.

Contrary to the national level, the influence of supplier interests at the EU level is significantly lower. A number of EU Member States do not have their own „national“ automotive industry and therefore have to take less account of the interests of related interest groups. Automobile associations have therefore attempted to influence transport policy decisions at the EU level indirectly by exerting targeted influence both at the national and international levels of the United Nations Economic Commission (UNECE). The intervention of the German automotive industry at the Chancellor's office shortly before the planned adoption of the EU's End-of-Life Vehicles Directive by the Council of Ministers in December 1998 can be cited as a particularly striking example of such influence at the national level (German Advisory Council on the Environment 2002).

Economic interests of providers and users in transport policy are organized to varying degrees. While the automotive industry is characterized by a rather small number of large and influential companies, the freight transport sector and passenger transport are characterized by a high degree of flexibility. A large number of individual actors do hardly network with each other. Due to the different degree of organization of provider and user interests in the transport sector, the respective branch and umbrella organizations are also able to coordinate the actions of their member companies to varying degrees. Thanks to the relatively high degree of organization, the German and European associations of automobile manufacturers (VDA, ACEA) speak in favor of their member companies and negotiate transport, infrastructure and sustainability quality targets together with state actors. This is a crucial prerequisite for cooperative forms of governance in policy-making. Conversely, the coordination capacity of the associations of private and commercial vehicle users (ADAC, IRU) vis-à-vis their members is only limited due to their large number and heterogeneity. In the freight transport sector, the deregulation associated with the expansion of the single European market has further strengthened the heterogeneity of national interbranch organizations and their ability to act strategically are weakened. Private car drivers and freight transport

companies can therefore generally be influenced by regulatory or economic instruments.

Due to the heterogeneity of these target groups, „soft“ governance instruments such as voluntary commitments to reach defined benchmarks are not an adequate management approach. Motor vehicle users and freight transport companies exert political influence above all by means of protest organizations with high publicity impact and threats of voter mobilization. The organized interests of suppliers and users are primarily opposed to the organized environmental interests. This relationship of conflict does not exclude common overlaps - especially in the field of technical environmental innovations.

In Germany more than 5 million people are organized in environmental protection associations (BUND, WWF...). According to the German Nature Conservation Ring (DNR), 94 environmental and nature conservation groups alone belong to the DNR via 5.2 million individual members (DNR 2005). The degree of organization of the environmental and sustainability movement in Germany is relative high, even when compared to other industrialized countries (Jane and Weidner 1997). In the transport sector, environmental groups and associations make use of a wide range of forms of action, from local protest to the development of scientific (counter-)-expertise, the establishment of public transport networks, and the participation in parliamentary hearings during the legislative process. However, due to the above-mentioned tendency towards coherence of transport policy actors' networks, the opportunities for environmental associations to participate in the political decision-making process are rather limited.

Contrary to industrial associations, environmental associations have a greater influence on environmental policy making in the transport sector at EU level than at national level. Within the European Union, there is a long-standing tradition of strengthening of environmental associations by the European Commission and the European Parliament. The Commission's Directorate-General Environment pursues two main objectives: to support its proposals at national level through national environmental associations and to increase the legitimacy of its environmental policy proposals by comparing them with the more radical positions of the environmental associations (Hey 1998, p. 111; Hey and Brendle 1994, pp. 383 f.; Hey, 2001). In the transport sector, the environmental associations have repeatedly succeeded in forming a part of broader coalitions for stricter emission limit values for motor vehicles (Wurzel 2002). With regard to the consideration of externalities in the calculation of route costs, some

authors observed several times a congruence of interests between environmental associations and the EU Commission (Hey 1998; Kux and Wicki 2000).

A key framework condition for a sustainable transport policy is the fact that, due to the importance of infrastructure policy, the transport sector is characterized by a strong presence of the state and regulatory agencies. On the one hand, the public sector is the contracting authority for infrastructure measures such as road and rail construction. Moreover, the public sector operates public transport companies and plays a decisive role for the introduction of new, large-scale technologies - from telematics to the „Transrapid“. On the other hand, the state intervenes in regulating traffic. The automotive industry is a highly regulated industry in terms of safety and environmental standards, co-governed by international competition for innovation in the field of safety and environmental protection. It is increasingly determined by European and national regulations. The definition of tasks and responsibilities of the state in the transport sector - as in other so-called state-related sectors (see Mayntz and Scharpf 1995) - is considerably deeper and larger than in less infrastructure-dependent or more market-economy-oriented sectors.

Consequently, state activities in the transport sector do not only serve to solve environmental problems, but are also responsible for a significant part of the environmental damage caused by the transport sector. The characteristic feature of governance in the transport sector is therefore that the state – governments, parliaments, administrations – often underestimates the extent to which it addresses its own regulations. The dual role of the state as addressee and author of regulations offers both opportunities and restrictions which must be considered when analyzing concrete policy measures and respective modes of governance. Restrictions are mainly due to the fact that the state, as the main actor of transport infrastructure measures (such as the expansion of the road or rail networks) is not encouraged by to take environmental criteria into account. Instead, it must commit itself to these criteria. However, such a self-commitment is opposed to the heterogeneous structure of interests of the state. The interest for new road construction is regularly overshadowed by regional economic interests to promote the local or regional economy through road construction. In addition, the unity of regulators and addressees also means that independent monitoring is merely possible. Contrary to many other areas, environmental protection efforts in the field of transport infrastructure planning largely depend on self-restriction on the part of state actors. This is not to be expected without further ado, especially in the case of conflicts between transport, economic and environmental policy objectives.

The German state has traditionally played a central role in the development and market introduction of large-scale technical systems in the transport sector. Examples include the construction of a national rail network, local public transport systems or an air traffic infrastructure. Due to the high financial and coordination requirements of these systems, the participation of the state as the responsible body or as a financially strong customer as well as a central coordinating body for their development (Mayntz and Schneider 1995, pp. 77 ff.). It is precisely through this, however, that the risk of inefficiencies and the influence of state-related economic sectors on state policy is particularly high. In the meantime, direct state involvement in the traditional modes of transport - rail, road or air - has been reduced and larger parts of the infrastructure built up with public funds have been privatized. At the same time, however, we observe some kind of a „crystallization“ against the background of an „ecologization“ of the transport sector, which induces a potential need for new infrastructure services (medium- to long-term conversion of drive technologies for motor vehicles, of biomass or hydrogen or the introduction of telematic transport systems. German state actors have therefore to decide whether the switch to new transport technologies or the increased use of telematics in the transport sector is politically desirable. If this is the case, long-term strategies for market introduction need to be developed, which, in addition to providing financial support for the necessary infrastructure development, must also be accompanied by political support, economic and regulatory governance measures.

### 2.7.3. France

#### 2.7.3.1. Competence framework

France is often cited as an example when it comes to clashes of 'state-centric' national political systems with the pluralistic, polyarchic multi-level system of the EU. The characteristics of the 'French model' are the centrality of the state in mediation procedures, specific forms of interest representation and a privileged place for the central state-level to enforce and implement policies. The conclusions of such analyses of systemic 'clashes' are constantly the same: due to internal centralisation and the government-dominated procedures in 'external' relations, socio-economic actors in state-centric systems are said to be less qualified to do business in multi-level networks. Therefore, policy-making performance at the implementation stage tends to suffer while policy deficits are subsequently higher. Even if the classification of France as a state-centric or state-corporatist model is still valuable, these categories should not be overestimated. Major political and institutional changes of the system have been

achieved during the past 20 years. While the French polity suffered and still suffers from an enormous system stress, these systemic tensions cease to play a more important role in France than they do in other European countries. The state-level always plays a major role in ensuring a degree of smoothness and intensity in adaptation processes. Since the central state is still constantly seeking to interpose itself in mediation processes, it acts as a kind of gatekeeper for multi-level integration in numerous domains. Its readiness to accept the permeability of political processes is a core variable for the explanation of the breaking up of 'sovereignty shells'.

Five main developments mark the French progress of 'Europeanisation'. At the governmental level, the two heads of the executive are trying out an internal balance in European policy-making. 'Semi-presidentialism' is less and less a valuable model for classifying the French system of government. At the same time, the special relationship between the executive and the parliament, which is typical of the Fifth Republic's 'rationalised parliamentarism', seems to have undergone a fundamental change. However, the attempts to preserve a kind of bureaucratic centralisation in Paris-Brussels interactions (from the 'state' to the 'Union') have become more explicit. Since administrative actors are still desperately seeking to cover and to supervise the whole range of European activities, actors such as the prime minister are progressively implicated, a 'normalisation' of government and politicisation has emerged. This is not without consequences for the strategies of those involved in interest intermediation, which have traditionally been characterised by a strong tendency towards pressure politics through elite interaction with the European level. The continuous and important impact of the central level as a gate-keeper for Franco-European interactions is above all true for the regional level, which is still strongly supervised and confined by state actors, especially when distributional issues are at stake.

Despite the 'Defferre-laws' on decentralisation introduced at the beginning of the Mitterrand era, France still counts among the most centralised systems in the EU. That is why – apart from representation in the Committee of the Regions (CoR) – a role for French regions is still quasi non-existent in European decision-making, their functions being confined to the implementation of EU legislation and programmes addressed specially to them. One of the great achievements of the 1982 reforms was the valuation of autonomous 'departemental' executives and administrations, represented by the Conseils Généraux. This could have been an incentive for French state actors in regional politics, above all the inter-ministerial unit attached to the Ministry for Regional Planning and the Prime Minister (Délégation interministérielle à l'aménagement du territoire et à l'attractivité régionale – DATAR, now fused with the secrétariat général

du comité interministériel des villes (SG-CIV) and the *agence nationale pour la cohésion sociale et l'égalité des chances* into the *Commissariat général à l'égalité des territoires* – CGET), to choose the newly empowered 'départements' as their major counterparts for the implementation of EU policy. But the French state opted, on the contrary, for its own representatives at the subnational level by charging regional civil servants with supervising the execution of EU programmes and managing the distribution of funds. The political linchpin of this system is the regional 'préfets', who co-ordinates the interaction between regional and departmental actors and the 'services déconcentrés', the central state's field services (e.g. the regional directions of the ministries), controls the assignment of funds, and supervises the implementation of EU programmes. The choice of 'genuine' regional actors to participate in the regional set-up of EU programmes is often conditional on the existing structures within the framework of the state-regions contract and the subsequent five-year plans. Those contractual policies fit very well with the regulative *modus operandi* of EU regional schemes. Eligibility for funding is assessed through a database, the 'Document unique de programmation' (DOCUP), administrated by the territorial services of the central administration.

Officially there is no opportunity for subnational units to interact directly with the EU level without being supervised by central state actors. Demands for funding must always be sent to regional 'préfets' and when it comes to the allocation of European funds, the recipient must sign a convention with the French state services that „precises the conditions of implementation of the project.“ Thus, the central administration acts as the main interface between the Commission and the regional level and uses this position as a source of power. The structural funds have been the central factor for the reorganisation of the 'services déconcentrés'. The CGET, as the central access point to the EU level, has enhanced its status after a loss of influence at the beginning of the eighties and its fusion with other territorial agencies. Today, links to the state field services are a much more promising strategy for obtaining subventions than the regular intercourse with autonomous regional administrations. As Balme and Jouve put it: „Paradoxically, the main effect of the Europeanisation of local government seems [to be] the regionalization of the state, not an emerging regionalism“ (Balme and Jouve 1996, p. 223). Even if the French regions have gained some weight as political units, because they are a target for European policy-making, Europeanisation has also led to a re-centralisation of power and not to a systematic mobilisation of subnational actors as the European Commission may have intended. This may help to explain why more and more regions have established their own representations in Brussels: about thirty regions or associations of regions had done so (e.g. 'Bureau Alsace', 'Bureau de coopération des régions Centre-Atlantique').

### 2.7.3.2. French transport policy

The French transport policy is based on different laws of decentralisation, which have been instituted since the 1970s. The competences of the local authorities have been reformed and there has been a renewal of the inter-municipal cooperation. The State introduced a new tax rule, the „*Versement Transport (VT)*“, which allow local authorities to optimise the administration in the municipalities, or to optimise the cooperation between several municipalities in form of an inter-municipality cooperation. Furthermore, the „*autorités organisatrices des transports urbains (AOTU)*“, the organisation authorities for urban transports received the competences to raise the transport tax. The law of the territorial administration from 1992 (*loi d'Administration Territoriale de la République (ATR) de 1992*) and the law of the inter-municipal cooperation (*loi Chevènement*) from 1999 are the base of the actual organisation model of the transport policy.

The competences are organised and allocated on five levels. At the bottom, there are the municipalities, followed by the inter-municipal structures, the departments, the regions and finally the state. The municipalities are responsible for the construction, maintenance and police of the municipal road as well as for the organisation and police of parking. The inter-municipal structures and cooperation are responsible for the urban traffic planning (PDU) and for the planification of a scheme for territorial coherence (SCOT). They are also in charge of the construction and maintenance of common roads, of the organisation of urban transports and the organisation of common parking. Departments are concerned with the organisation of school transport and road transports outside of PTU (perimeters of urban transport). The regions are responsible for the planification of regional infrastructure and transports as well as for the organisation of railway transports and regional road transports. Finally, the state has the responsibility to organise every domain of transport which are related to national or international interests for the republic.

In this context, the region Auvergne-Rhône-Alpes, which, after the territorial reform, obtained the competences for the planification of regional infrastructure and transports and for the organisation of railway transports and regional road transports, set new priorities on inter-mobility and eco-mobility. The key to legitimate these measures is the intention to control air pollution. In the short term, the regional council wants to promote the transport of freights by offering more efficient infrastructure for railway and waterway transport. In the medium term, the region decided to increase the toll charge of the alpine railway connection to gain resources for the creation of new infrastructure like the Lyon-Turin rail tunnel for larger vehicles, and to promote the

future usage of this new infrastructure. The alpine regions of France, Auvergne Rhône-Alpes and Provence-Alpes-Côte d'Azur, defined the objectives to relieve alpine infrastructure and environment by transferring the transport of freights on alternative routes. Thus, the alpine roads have already been relieved by the constructions of the road tunnels of Fréjus and Montblanc. About 1.9 million vehicles pass per year the Montblanc tunnel, about 1.7 million vehicles passed the Fréjus Road Tunnel in 2016.

Furthermore, France supports industrial policies to sustain the manufacture of transport equipment. It also maintained a stronger commitment to public service in transport and to state planning of transport policy. France has invested significantly in the expenditure on railways; for the last twenty years it has spent roughly twice as much as it has on roads. France has retained an important industrial capacity to produce transport equipment. Peugeot Citroën, and Renault are the sixth and ninth largest vehicle manufacturing corporations in the world. And France's investment in high-speed rail networks is leading to large-scale exports of rail equipment; the exports of the railway constructions and railway suppliers amounts about 40%. The region Auvergne Rhône-Alpes for itself has about 80.000 employees in 700 companies in the automotive industry, which makes in this region a turnover of about 13 billion €.

In conclusion, France has a decentralised system concerning its road transport politics. The responsibilities and competences for road politics are located in the municipalities and inter-municipal structures. The railway organisation on the other hand is highly centralised and located nearby the regional and national authorities. The SNCF, the French National Railway Corporation, for example manages nearly the whole railway transport in France and Monaco. The focus of the French government therefore lies on the expenditure of railways to optimise the public transport and the transport of freights. Finally, France has a strong focus on its automotive and railway industry, which counts together over 300.000 employees.

Transalpine transport policy in and for the Alpine region evolved gradually over the last 15 years. France has an interest to promote sustainable mobility, but its position is different from that of Switzerland and Austria in three important ways (Brossier 1998): The problems caused by transalpine transport are perceived more as intra-national and only to a lesser extent as an international challenge. Transit traffic through the French Alps makes up a relatively small share of total traffic as compared with Switzerland and Austria. Second, France has set a political priority to coordinate its transport policy with other alpine countries, especially with Switzerland and Italy, albeit for different reasons: Franco-Swiss relations are coined and directly influenced by the Swiss constitutional restrictions on transit traffic, while Franco-Italian relations are concentrating on

economic development and considering bilateral trade regarding the Lyon–Turin connection. Although the French governments recognize the importance to promote rail transport through the Alps, they do not oppose an upgrading or expansion of road links and, except for Mont Blanc, have not been seriously challenged by the population in this respect (Giorgi and Schmidt 2004).

*Table 5. Transport policy competences in France*

	<i>Planification</i>	<i>Road</i>	<i>Public transport</i>	<i>Parking</i>
<i>Municipalities</i>		Construction, maintenance and police of municipal roads		Organisation and police of parking (road or parks)
<i>Inter-municipal structures</i>	Urban traffic planning (PDU), scheme for territorial coherence (SCOT)	Construction and maintenance of common roads	Organisation of urban transports	Organisation of common parking
<i>Department</i>			Organisation of school transport and road transports outside of PTU (perimeters of urban transport)	
<i>Region</i>	Regional scheme for infrastructure and transports		Organisation of railway transports and regional road transports	

France and Italy have two main crossings through the Alps: Mont Blanc, which is a road connection, and Frejus/Cenis, which is a road (Frejus) and rail (Cenis) connection. The road corridors have a toll system; the charges for a trip between Lyon and Santhia through Frejus are between 43.50 € for a car and 315.50 € for class 3-4-5-6 trucks (for a distance of 346 km). France expected a dramatic increase of freight traffic through the Alps from 80 million tons transported in 2000 (across all crossings) to 170 million in 2020 (Lebel 2001). To meet this challenge, it sought a combination of measures, especially by investing in rail infrastructure and road pricing. Regarding rail, rail connections were strengthened and new rail connections between France and Italy were constructed, for instance the Dijon–Vallorbe–Lausanne–Simplon connection in the Northern Alps or the Ambérieu–Turin connection in the Central Alpine region. However, due to the topography, the maximum capacity on those alternative links is

limited. This is also why the absolute capacity through French crossings through the Alps is estimated at a maximum 65 million tons per year.

The French Ministry of Transport expects to limit road transport through the Alps with the absolute number of crossings not exceeding +/- 1.6 million in 2020. To achieve this goal, the ministry focuses on re-routing some of the projected increase of transport by sea, and partly through economic regulatory measures, principally by increase of the tariffs through the tunnels and on the road crossings in a way like Switzerland, i.e. according to the emission type of the vehicle, and distance related. Another measure to limit the crossings by road through the Alps are security regulations regarding driving through road tunnels. These were agreed upon on occasion of the reopening of the Mont Blanc tunnel in late 2001. According to this scheme, the number of trucks through the tunnel is limited to a maximum per hour. Technically, the system works by stopping trucks 20 km before the entry to the tunnel and letting them 'trickle out' individually at certain intervals. The limits on the number of trucks in the tunnel are primarily a measure of safety and guarantees a distance between trucks. In addition to limit of trucks per hour in each direction, there will be a global limit on the number of trucks allowed to pass through the tunnel each year. These measures are intended to limit the NOx emissions in the tunnel, but are not expected to have a major effect outside the tunnel.

#### 2.7.4. Italy

##### 2.7.4.1. Competence framework

With regard to EU policies, the relationship between the central political institutions in Rome and the Italian regions and autonomous provinces has been rather conflictual and characterised by centralist tendencies over a long period. It has involved on one hand, the limitation of regional activities in EU affairs to the national arena, both legally and in practice, and on the other hand, demands from the subnational actors to become more involved in the preparation of EU law. One reason behind this conflict is the direct impact of European decisions on subnational structures and the legal competencies of these actors. With the first reform laws of 1987, the role of the Italian regions in comparison to their former very marginal position in the national preparation and implementation of EU law, began to change. Information rights for the regions and new mechanisms for the co-operation of national and subnational administrative units were established. The aim was to ameliorate problems associated with the incorporation and implementation of EU law and to institutionalise regional access to the national preparation of such decisions. But the utilisation of these rights

and structures caused new problems. As with the parliament, the Italian regions and autonomous provinces should receive all the drafts of EU legislation in preparation from the government, on which they may comment afterwards. But this opportunity was seldom taken by the regions and autonomous provinces during the 1990s. The regional opinions expressed are not binding for the central government and might therefore encounter difficulties in being taken seriously into consideration in a ministerial bureaucracy that already has problems with internal co-ordination when dealing with EU affairs. Furthermore, the regions seem to receive drafted EU laws only at the point when these drafts have already been pre-negotiated at the European and national ministerial levels. Therefore, any eventual regional input would most likely be too late to be effective. The legge comunitaria of 1998 introduced an obligation for the government to inform the parliament and the regions and autonomous provinces at an earlier stage and to indicate the expected date of a decision on a draft law at the European level.

A major problem for the Italian regions and autonomous provinces is that quite often, EU policies overlap with some of their original legislative and regulative competencies, which have been increasingly undermined as the number of EU regulations incorporated into the Italian legal system has risen. The subnational level usually is asked to implement these decisions as an extension of the central administrative structures, because it is the latter that are responsible to the EU.

Since the reforms of 1987, the role of subnational actors has been strengthened particularly with regard to the incorporation and implementation of EU law. Regions and autonomous provinces can incorporate EU decisions of different kinds that affect their exclusive legislative competencies without waiting for a law or regulation of the central institutions. Since 1998, they may do the same for matters falling under their secondary or competitive legislative competence. To enforce co-operation between the regions and the central government on EU documents which affect Italian regional or provincial competencies, the La Pergola law introduced a system whereby the presidents of the regions or autonomous provinces take part as advisors in the respective central government sessions. A permanent conference of the regions and the State (Conferenza permanente tra lo Stato e le regioni) was introduced in 1988 to establish closer relations and a better flow of information between the centre and the subnational level, as well as to safeguard regional access to the preparation of EU policies within the national arena. This conference is the central formal structure in the Italian political system in which national and subnational governmental actors take part together to coordinate EU policies affecting regional competencies. In addition, since

1998 the regional presidents and those of the two autonomous provinces are entitled to call for a session on European affairs within the state-regions' conference. The latter's comments on EU law in preparation are not binding on the government. Commentators point to a lack of political determination at the national level to allow regional and local actors to become more involved in the preparation of EU policies; a certain resistance by formerly dominant ministerial units has also been observed (Sacchetti 1994, 163).

Nevertheless, due to changes of the rules since 1987, Italian regions and autonomous provinces are invited to have their own regional offices in Brussels and to maintain direct contacts with administrative units and political actors at the European level. Regional officials belong to the staff of the Italian permanent representation in Brussels and regions and autonomous provinces may co-operate with other European regions or local units. The changes to the internal and external roles of subnational political and administrative actors – especially the regional or provincial governments – show a certain trend towards regionalisation of the Italian participation in EU policy cycles. This dynamic, initiated in the immediate post-Maastricht period, have been reinforced through the development of a stronger regionalist profile of the EU itself. This might have occurred because of pressures in Italy, from Northern Italian „anti-establishment parties“, to introduce a federal system and through the increasing demands of some Italian regions and autonomous provinces to be given more opportunities to participate in the preparation of EU law at the national and European levels.

#### 2.7.4.2. Italian transport policy

For Italy, alpine transport policy is governed primarily by economic interests. A total of 80% of all Italian exports and imports are currently transported across the Alps, mostly by road. Italian companies use all major crossings through the Alps, i.e. travel through Switzerland, Austria, France and Slovenia. Italy has signed bilateral agreements with France and Switzerland (in January and February 2001, respectively), and committed to invest in the improvement of rail infrastructure within its borders along the major routes towards the Alps. Italy has improved its rail infrastructure on the Brenner axis. During the negotiations on the renewal of the Austrian Transit Agreement and the eco-point system, Italy reiterated its commitment to contribute financially to the construction of the Italian section of the Brenner Base Tunnel. Finally, Italy entered negotiations at the technical level with Slovenia for the upgrading of the 'fifth' link across the Alps linking Italy, Slovenia, Hungary and the Ukraine.

The political framework for regulating public transport services was reformed in Italy through the establishment, in 2013, of the Transport Regulation Authority. The Authority oversees transport regulation, including access to infrastructure, service regime and, passengers' rights across all transport modes. Created as an independent body, the Authority became operational in January 2014. As a wholly independent body, the Authority is accountable to Parliament, to which it reports both within the framework of ad hoc, thematic hearings and with a yearly report of activities. The adopted measures are subject to administrative law and controls, including judicial oversight. The authority's main mission is the ex-ante economic regulation in the area of transport, covering both access to infrastructure and services. More particularly, its mandate includes:

- regarding infrastructures, ensuring the equitable and non-discriminatory access of businesses to rail, toll highways, airports, ports as well as local and regional transport;
- regarding services, the setting-up of criteria to fix tariffs in all transport modes and industries, defining public sector obligations, and defining quality standards in areas where public sector obligations apply;
- regarding passengers' rights, the definition of minimum rights and entitlements that may be claimed by passengers' vis-a-vis transport operators.

Concerning tariff regulation, the authority is not in charge of unilaterally setting price levels. Instead, the authority identifies criteria on which basis transport operators determine, according to procedures which vary from industry to industry, the actual absolute value of the tariffs.

The set of powers conferred upon the authority to carry out these responsibilities includes:

- Issuing sanctions for (a) the faulty implementation or non-implementation of a decision of the authority; (b) the refusal to provide, or the faulty provision of, information requested by the authority.
- signalling to the competent authorities the opportunity to terminate contracts, concessions and other forms of agreements;
- setting and demanding the application of criteria for the corporate separation and accounting separation of regulated businesses;
- stimulating and contributing to the definition of public sector obligations and the methods for financing them;
- carrying out investigations and on-site inspections;
- Treating passengers' claims and complaints.

The Italian railway network includes about 20.000 kilometres of conventional rail and 1.350 kilometres of high-speed rail. Concerning the latter, in 2013, Trenitalia held an eighty per cent market shares in terms of passengers transported, while NTV held the remaining twenty per cent. Interestingly, besides some limited experience in Spain, Italy is the only EU country to have competition in the market for high-speed connections. The TEN corridors that run along the Italian network are the following:

- Rhine-Alpine Corridor from the Swiss border to Genova via Milan and Novara.
- Scandinavian-Mediterranean Corridor, from the Austrian border (Brennerpass) to Sicily, via Bologna, Rome and Naples.
- Mediterranean Corridor, from the French border to the Slovenian border, via Turin, Milan, Verona, Venice and Trieste.
- Baltic-Adriatic Corridor, starting at Ravenna and northbound to Venice and the Slovenian and Austrian borders.

The adoption by the authority of regulatory measures concerning the equitable and non-discriminatory access to railway infrastructures begun with a consultation extended to all stakeholders and including 32 questions on eleven thematic areas. The outcome of the consultation, followed by a detailed analysis of the answers, served as a basis for devising regulatory decision n. 70/2014. Regulatory measures of the authority have been adopted to achieve a higher level of transparency in the process of capacity allocation.

## 2.7.5. Austria

### 2.7.5.1. Competence framework

Austria is a federal state, as provided for by the Federal Constitution (Bundesverfassungsgesetz; B-VG). It consists of nine Länder, each having a legislative body (Landtag) that legislates within the limits established by the Constitution. Each Land delegates representatives to the upper chamber of parliament, the Bundesrat. Nonetheless, Austria is considered as a rather centralised federal State, given that the legislative and executive powers of the individual Länder are relatively limited. As regards the allocation of competences, the Constitution provides for the fields of competencies falling within the legislative authority of the Federation (Art. 10 Const.). In some cases, the competence to legislate on principles falls within the federal authority, while the Länder are responsible for passing the implementing laws (Art. 12 Const.). The matters not expressly reserved to federal legislation by Constitution belong to the autonomous sphere of activity of the Länder (Art. 15 Const.).

Federal and EU-related policy making in Austria is subject to complex procedures involving cross-sectoral coordination between ministries, agencies and social partners. Once a week the government discusses Austrian positions for the next meetings of the Council of the European Union. Under a special item on the agenda the respective member of the government reports about the subjects which need a governmental decision by law in the form of an oral or written cabinet address before the meeting of the Council of the European Union. The purpose of the cabinet address is the description of the subject as well as a justification of the Austrian position. Furthermore, the last three coalition agreements provided for a permanent information exchange between the ministries. Due to the potential role of the so-called Main Committee of the Parliament, the heads and directors of the parliamentary groups of the government parties are granted the right of participation and speech in the Austrian cabinet meetings. The position of the Austrian permanent representative in COREPER I and II is co-ordinated in a weekly *jour fixe* where all ministries, the Austrian National Bank, the Austrian Statistical Office, the League of cities and municipalities, the Standing Committee of the Austrian Länder and the social partners take part.

The presidential element of the Austrian constitution has – contrary to some expectations before accession – not been strengthened. After a short disagreement between the Austrian Chancellor Franz Vranitzky and the Austrian President Thomas Klestil on the occasion of the Corfu Summit in June 1994, regarding who shall be appointed as the main representative at European Council meetings, the latter was limited to his constitutional role, i.e. without specific competences in European politics. From the outset the nine Austrian Länder realised their changing political role with regard to the looming EU membership. To secure their influence on the federal level they pressed for a structural reform of the federal system. The Landeshauptleute (state governors) made their approval for accession dependent on a successful reform of the federal system. In 1992, a Political Agreement on the Reform of the Federal State was signed between the Länder and the federal government which included a general commitment to a redistribution of competences in accordance with the principle of subsidiarity, a reform of the financial transfer system and the establishment of the Bundesrat as the representation of the Länder, like the German model. A joint commission was to develop concrete proposals, but no agreement was reached. The Landeshauptleute removed the conditional linkage after the overwhelming result of the referendum on EU membership, to detract responsibility had the referendum failed. As regards the competences of the Länder, the federal government has been constitutionally bound to inform them about all EU questions „which affect their

independent sphere of action or may otherwise be of interest to them". The Länder can issue a simple or qualified opinion from which the government can still deviate for important integration reasons but it must justify its decision within eight weeks. Additionally, the federal government can transfer its participation in the EU-Council of Ministers to a representative nominated by the Länder. Foreseeing their shrinking influence without close co-operation, the Länder founded the „Integration Conference of the Länder“, comprising the Landeshauptleute and the Standing Committee of the Länder. In reality, the Standing Committee only plays a marginal role since it is not provided with sufficient resources to cope with the enormous information overflow. Assuming a strategy of the EU Commission to bypass the federal governments, some of the Austrian Länder opened representation offices in Brussels to improve their chances for lobbying.

To compensate the social partners for their loss of influence in Austrian European policy-making, the government parties in 1994 also agreed on a so-called 'Europaabkommen' (Agreement on Europe) which guaranteed them participation in 'important' and 'relevant technical questions'. At first the federal government tried to secure their official involvement in the various working groups of the Council of Ministers of the European Union. However, the equal participation in these groups failed because it would have been an infringement of EU law (composition of the Council) which states that only representatives of the government have the right to vote and speak.

The EU challenge for the Austrian administration has been twofold. The first is rather historical as it concerned the implementation of the *acquis unionaire* into the Austrian legal system, from accession to the European Economic Area in 1994, and intensifying with full-scale membership in the EU. Since 1987 the Austrian federal government took care of adapting the domestic legal system conforming to EC/EU law. For this purpose, a guideline was issued which asked for a systematic check of all government bills regarding this conformity. With the Austrian accession to the European Economic Area, around 1.600 EU regulations had been taken over.

#### 2.7.5.2. Austrian transport policy

The second, lasting challenge for the administration involves participation in the policy-making process at the European level and regarding EU policies. In grand coalition years, the transport ministry that is in charge of the railroads was controlled by Social Democrats. By contrast, the economics ministry – in charge of federal roads and

motorways – is traditionally dominated by business interests and was held by the Conservative or People's party. Tensions between the ministries and their related administrations and staff are a general feature. For freight traffic, rail was, and still is, quite important. This used to apply strongly to North–South transit traffic, with the Alps representing a natural obstacle to heavy trucks on steep and curvy roads. However, the completion of the motorway across the Brenner in the early 1970s, linking Germany and Italy, soon reversed this pattern. The driving force behind this project on the political level was Tyrol's dominant People's party and its long-time governor who planned additional North–South motorways for the province. For some time, the Austrian government actually tried, without success, to secure a financial contribution from the EU for North–South motorways on the grounds that they served primarily EU needs (Ogrinz, 1993, 143). This position was abandoned only in 1985 when large-scale motorway construction was stopped in the course of the country's budget consolidation. After the completion of the Brenner motorway in 1972, truck traffic on this route increased steeply, while the growth of rail freight almost came to a halt. Within less than a decade, the public mood shifted: plans for additional motorways across Tyrol had to be shelved in the face of local and regional resistance. The fact that such motorways are still continuing to 'creep up' towards the Austrian border in Italy and Germany led to considerable conflict in the context of the Alpine Convention in the 1990s.

An important turning point for Austrian infrastructure politics came in 1985. The minister of transport declared that the Austrian road system had reached the limits of its growth and that any further capacity increases for freight transport would have to come from the rail system. During 1980 to 1998, Austria had the largest growth of rail freight of any EU Member State in absolute terms (tonne-kilometre). The year 1985 also marked an important turning point for Austrian environmental politics. For the next half-decade there was strong environmental activism and considerable government willingness to make concessions to the environmental movement (Lauber 1997). In Tyrol, local and regional resistance to truck traffic began to enjoy increasingly strong popular support. By this time, truck transit on the Brenner had grown by more than 400% since 1970, about twice as fast as EU traffic in general (Molitor 1996, p. 20). The issue was defined as concerning transit traffic, which had particularly high rates of growth, and was concentrated almost exclusively on an alpine valley with a high population density and vulnerability to noise and fumes. The Conservative governor and his party, backed by a two-thirds majority in the regional parliament, remained largely unresponsive at first. However, local initiatives, usually based on all-party support, spread throughout the province. In 1986, the governor showed first signs of

responding to public pressure by submitting the idea of a North–South tunnel that would cross Tyrol largely underground. After a provincial election in 1989 in which they lost a quarter of their support, the Tyrolean Conservatives reluctantly joined the other parties in demanding restrictive federal legislation for trucks (Bertsch 1991, pp. 170–172).

For Austria, already the accession negotiations to the European Union were marked by a struggle to solve its specific transport policy and the „transit question“. Problematic was not just the quantitative reduction of transit traffic, but also the substantial reduction of emissions caused by heavy traffic and thus an improvement to the environmental situation. High hopes were put into the „transit agreement“, which provided for a temporary solution for Austria in this policy field within the framework of EU accession. The aim of this instrument was to achieve a quantitative reduction in the volume of lorry transit. However, the proportion of transit traffic grew steadily, even supplementary measures such as restrictions (driving bans), tolling of the high-level road network (motorways and expressways) for trucks and buses, and the promotion of combined transport could not prevent or even reverse the quantitative increase in truck traffic through Austria. It is precisely against this background that the political credo of the „shifting of goods from road to rail“ as a political maxim was generated. In order to promote this policy objective at national level, Austria did not hesitate to take measures that led to a direct conflict with the European level, whether on tolling or on driving bans. In this respect, the European Court of Justice played a central role in resolving disputes.

Of course, the European level, parallel to the national level, did also develop a corresponding awareness of the problem in this policy area. However, this problem-solving and related solutions are faced with the challenge of not restricting the free movement of goods or being discriminatory, and at the same time accepted by all EU Member States. EU legislative texts were adopted to influence or regulate, for example, the development of truck reduction in the engine sector (the „Euro classes“), tolling, but also the dimensions and weights of vehicles. The development of engine technology and a reduction in the emissions of the trucks from the beginning of the 1990s (Euro 0) to the latest Euro 6 truck were undisputed. The „Eurovignette Directive“ thus created a set of rules for tolling, which, however, show great differences in application and technical systems between Member States.

Recent amendments to this directive provide for the legal possibility of including, in addition to infrastructure costs, certain environmental costs as „external costs“. However, there are important differences in implementation by the national application

of the directive in terms of dimensions and weights. While Scandinavian countries, in particular, allow much larger vehicle combinations (up to 60 tons total) for national traffic, Austria features a broad political front against any form of heavier, longer or longer trucks.

Before accession, the subject of transit traffic was already a subject of bilateral negotiations with the EEC, regulated by means of fixed quota and licensing systems. Austria's peculiarity due to its geographical location, especially the large Alpine share, and the increase in transit traffic through Austria led to the conclusion of a treaty between Austria and the EEC on Freight Transport in Transit on Rail and Road at the end of 1992 (Federal Law Gazette 823/1992). The problem of transit traffic in Austria was addressed by arguing that „the problems caused by the transalpine transit traffic require a lasting solution which ensures the quality of life of the affected population and the protection of the environment and secures international trade“ (Federal Law Gazette 823/1992, 4548). The „ecopoint system“ (ibid., 15, 4551f.), which was a kind of tolling depending on the nitric oxide emissions of the vehicle, was the central element and instrument for road transport. The system functioned according to the following principle: the less nitric oxide emissions of a vehicle, the fewer ecopoints had to be „paid“ for the transit through Austria. The basic idea was to reduce the total ecopoints quota by a total of 60 percent (from 1991 onwards) by the year 2003 (ibid., 4557). With regard to Austria's subsequent accession to the EU, provisions such as the ecopoint system were also enshrined in the EU Treaty of Accession (Federal Law Gazette 45/1995), as „Protocol No. 9 on road and rail transport and combined transport in Austria“ (ibid., 2537ff.).

At the national level, accompanying measures such as a general, nationwide truck night driving ban were introduced at the time of EU accession (1 January 1995) (except for „low noise motor vehicles“). In addition, a general night-speed limit of 60 kilometers (see Federal Law Gazette 518/1994, 4189) applies to those motor vehicles which are exempted. These regulations were meant to compensate for the abolishment of the quota system after accession, since cross-border EU road transport was correspondingly liberalized and was no longer subject to quotas. An evaluation of the effect of the transit contract (from EU accession in 1995 to the effective expiry of the regulation at the end of 2003) with regard to a quantitative reduction in truck traffic development through Tyrol was negative. The average daily truck traffic at the Kufstein toll station (A12 Inntalautobahn) rose from 4.102 trucks (1995) to 6.293 trucks (2003). A similar picture can be seen at Mautrei (A13, Brennerautobahn), from 3.686 trucks (1995) to 4.954 trucks (2003). Thus, the average daily truck traffic at the counting points

in Kufstein raised by around 53 % and in Mauterndorf by about 34 % (Office of the Tyrolean Regional Government 2004, 78).

In total, road transport grew from 1.191.000 trucks (1994) to 2.799.000 trucks (2004), an increase of 235 % (Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2006, p. 18). However, even if the truck traffic on the road increased during the corresponding period, the accompanying combined transport, the „rolling road“, experienced an enormous upswing through the regulations of the transit contract. The „Rolling Highway“ (ROLA) is an instrument of relocation policy from road to rail. In contrast to the unaccompanied combined transport, where only the loading units (containers, trailers, exchange superstructures, etc.) are transported on the rail, the entire truck (including the tractor) together with the driver are transported. ÖKOMBI (Österreichische Gesellschaft für den Kombierten Verkehr), as an operator of combined transport, wrote with regard to EU accession: „Strategic measures are appropriate for the current financial year, especially with regard to Austria's accession to the EU on 1 January 1995, even if the effects are not yet foreseeable. The Austrian transport policy is, above all, called upon to revise the framework conditions for combined transport in the context of EU accession, so that the humpback traffic is not offset by additional liberalization, the elimination of bilateral quotas, the extinction of the road transport contribution (ÖKOMBI 1994, p. 16). ROLA's share of ÖKOMBI has grown steadily since 1997, from a little more than 200.000 trucks / year (1997) to around 350.000 trucks / year (2003), but then fell abruptly. According to ÖKOMBI and Rail Cargo Austria (RCA), the decrease was due to the end of the transit agreement, the abolition of the eco-points regulation, and the enlargement of the EU.

Looking at the development of the transport volumes in the interregional rail freight traffic as a whole (carload, unaccompanied combined transport and ROLA), a continuous increase was recorded: In 1994, a total of 23.7 million tons were transported, which increased to 33.1 million tons in 2004 (see Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2006, p. 22). On the whole, although the transit agreement was able to promote the shift from road to rail, freight transport as a whole grew at the same time. Quantitative traffic reductions in road transport, a key objective of the transit contract, could not be realized.

The transit agreement was limited to a short-term succession, which, however, was ignored by Austria. Shortly after the end of the transit agreement, on 1 May 2004, the eastern and central European states joined the European Union. With the enlargement of the EU and the imminent expiry of the transit agreement, there was growing concern for a corresponding increase in the level of heavy traffic in Austria. The new member

states gained liberalized access to the EU transport market, which was still restricted by bilateral quota systems for road transport. As a measure in the fight against transit traffic through Tyrol, the most controversial measure to date was tried for the first time in 2003. Disguised as a regulation with the aim of „reducing man-made emissions“ and thus to „improve air quality“(Federal Law Gazette II No. 279/2003), Austria adopted a „sectoral driving ban“, forbidding transport of certain goods, such as waste, grain, structural steel, etc. on the A12 through Tyrol. This measure should enter into force on 1 August 2003 (Federal Law Gazette II No. 279/2003, § 5). However, this could not be realized, as the European level responded quickly to this measure. The regulation had to be temporarily suspended in October 2003 on the basis of an ECJ decision of 2 October 2003 (Law Gazette Land Tyrol, 413). However, it took until 15 November 2005 before the ECJ ruled that this type of driving ban was not in accordance with EU law and had to be finally lifted (Law Gazette Land Tyrol no. 8/2006, items 3, 27).

Already in 2007, a new regulation followed the introduction of a sectoral driving ban in Tyrol (Law Gazette Land Tyrol no. 92/2007, item 35), which existed until the end of 2011/beginning of 2012 and could indeed have an effect before it was abrogated by the ECJ (LGBI No. 4/2012 1st piece). But Austria, especially Tyrol, did not abandon these plans. The Austrian Federal Ministry of Labor and Social Affairs announced the reintroduction of the sectoral driving ban. The activity of Austria and Tyrol clearly demonstrates the fact that, in the case of transit policy, the national goal setting remains in conflict with the corresponding European framework. In essence, the ECJ criticizes these measures as having the same effect as quantitative restrictions. Since such quantitative restrictions are not in line with EU law, and they cannot be justified on grounds of environmental protection, which Tyrol argues, this measure has already been lifted twice by the Court.

The concept behind the ban regulation is heavily criticized, since the measure aims at the nature of the goods to be transported. Even trucks of the most modern emission class would be involved in the transport of such goods, while older trucks which do not meet such high standards and transport other goods are likely to transit Tyrol. This documents a questionable quantitative traffic census, whereas more efforts could be paid to the quality of traffic, in the sense of the emission categories.

However, not only the sectoral driving ban led to the dispute with the ECJ, also parts of the Austrian toll regulations landed before the Court. On 1 July 1995 and on 1 February 1996, Austria increased the toll for the whole route of the Brenner motorway, but not for its partial routes, which led to uneven treatment of domestic and foreign vehicles. This increase in tolls on the overall route concerned mainly the transit traffic

and was therefore, according to the ECJ, an inadmissible discrimination (European Court of Justice 2000, I-7442f.). Road tolling is regarded as a transport policy instrument, but at the same time, at least in Austria, it makes a significant financial contribution to the construction, expansion, maintenance and rehabilitation of the high-level road network. It also serves, to a certain extent, the financing of certain tunnel projects. As a control instrument, tolls are intended to regulate road freight traffic. As a direct consequence, other modes of transport, such as rail should be strengthened. This intention is also confirmed in the current „Austrian Transport Plan“ (Austrian Federal Ministry for Transport, Innovation and Technology 2012). In order to improve or increase the share of rail freight transport, it says: „In addition to supply-side services, improvements such as truck increases or more controls are necessary“ (Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2012, p. 30). This is measurable by the proportion of the respective modes of transport in the transport services, the „modal split“.

In general, the toll-related tolls for trucks and buses in today's form, on motorways and expressways, were introduced on 1 January 2004 (Federal Law Gazette II 568/2003). Before, other forms of tolling were introduced (for example in the form of fixed toll roads). In the current version of the mileage-dependent tolls for trucks and buses in Austria, the toll rates are differentiated by the number of axles and the pollutant class (Euro classes) and corresponding categories are defined. It should also be noted that the toll rates, along with the increases, are also adjusted annually to the development of inflation and thus become more expensive year by year (Federal Road Traffic Law 2002, § 9). The valid tolls/km are fixed by ordinance.

Looking at the „development of freight transport performance in Austria“ (Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2012, p. 24) of the individual modes of transport, the share of rail transport between 2005 and 2010 was around 32 percent. An increase in „modal split“ was not recognizable. On the contrary, since 1985, the share of rail freight transport has fallen, from just under 40 % (1985) to around 32 % (2010) (Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2012, p. 24). It becomes clear that the truck increases were not connected with the „modal split“ of the railway or even an increase in the „modal split“ (the rail share in freight transport). The BMVIT disagrees and maintains: „The Austrian transport policy from road to rail shows success: the rail has a disproportionately high proportion of 32 %“ (Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2012, p. 25). The argument is conditionally true: Hence, the freight transport performance has increased significantly

since 1980. Although the railway has transported more tons in absolute terms, road transport has had much greater growth in freight traffic and has therefore transported much more, resulting in a quantitative increase in road freight transport. An effective, quantitative reduction of road freight transport in favor of rail freight transport is neither recognizable.

Regarding the TEN, four corridors are running through the Austrian network:

- Scandinavian-Mediterranean, crossing the western part of the country between the German and the Italian border, via Innsbruck.
- Baltic-Adriatic, crossing the eastern part of the country, via Vienna, Graz and Klagenfurt.
- Orient/East-Med, between the Czech and the Hungarian borders, via Vienna.
- Rhine-Danube, crossing the northern part of the country between the German and the Slovakian borders via Wels/Linz and Vienna.

Looking at the developments in transit traffic and the approaches to solutions at the Austrian and European level, certain tendencies are to be found. The European level is mainly focusing on road transport, especially in the context of environmental protection and technological development. For example, the engine technology and the emission behavior of commercial vehicles have been significantly improved by means of technical regulations. The European Commission also recognizes the role of the truck and notes on the direction to be taken: „Goods transport over short and medium distances (up to around 300 km) will continue to be carried out to a considerable extent by trucks. It is therefore important that, in addition to the promotion of alternative transport solutions (rail and shipping), the efficiency of lorries is enhanced by the development and introduction of new engines and more environmentally friendly fuels, the use of intelligent transport systems and other measures to strengthen market mechanisms (European Commission 2011, p. 7).

However, the European Commission aims at including „environmental costs“ caused by the truck (such as noise, air pollution, etc.) in infrastructure charges, thus making road tolls more expensive (European Commission 2011, p. 18). This aspect has already been laid down in a corresponding directive. Directive 2011/76/EU allows Member States to include the environmental costs of air pollution and noise in the respective tolls. Austria will pursue this approach further. For this purpose, „the aim is to produce more cost-effectiveness for truck traffic and to make external costs visible“ (Austrian Federal Ministry for Transport, Innovation and Technology and HERRY Consult 2012, p. 7). Austria links its strategy to the shifting debate on rail. But it is precisely the Swiss model,

where external costs have already been included in toll calculations since the year 2001 that shows hardly any shifting effect. On the contrary, Austria is the victim of this traffic policy through the detour, which actually goes via Switzerland (ProgTrans 2013, p. 3). A fundamental problem is the quantification of external costs. Although it appears politically opportune to include „environmental costs“ in the toll, it should not be overlooked that there are no market prices for such types of costs, but only estimates (ProgTrans 2013, p. 2). The debate remains one-sided and distorted: „Although passenger transport is responsible for the greater part of the external costs of road transport, according to CE Delft, the internalization of external costs has hitherto unilaterally affected freight transport. The reason for this asymmetry is probably the lack of willingness for further increases in private mobility costs (ibid., p. 3).

Looking at the external costs in the areas of accident costs, air pollution and climatic costs, there was a cost ratio for a total of 76% (passenger traffic) against 24% (freight traffic) in 2010. By 2030, this ratio is likely to be marginally shifted, namely to 77% (passenger transport) against 23% (freight transport) (ProgTrans 2013, pp. 37f.). It turns out that in a fair political debate on the inclusion of environmental costs, the focus should be directed more to passenger traffic and, above all, focused on private cars. With regard to the issue of tolling, however, a new conflict line has recently opened up in Austria with the demand for the introduction of a comprehensive truck toll. As such, this demand for a nationwide toll system is not a new topic. In 2001, the Austrian Green Party called for a „truck toll according to the Swiss model [...] with broad coverage across the entire road network [...]“ (OTS press release of 20 August 2001). Given the fact that local and regional freight traffic is being carried out on the low-level road network, and the constant increase in tolls on the high-level road network has not resulted in a discernible traffic reduction, a nation-wide, large truck toll does not appear to be a viable means of forcing traffic reductions.

If Austrian transit policy and transport policy are assessed in the light of its EU accession and the related developments, we can conclude with the following argument: Given the special sensitivity of Austria in transit traffic, it was possible to establish a functioning, temporary system before joining the EU. This system, and certain of its key national measures, such as tolls and sectoral driving bans, were unable to meet the policy demand for solving the transit question or a quantitative reduction of transit traffic in Austria. On the contrary, certain measures led to the intervention of the ECJ. The Austrian transport policy did not meet its transport policy goals of the transit reduction and the expansion of the „modal split“. A reorientation of national transport policies would be necessary, with the emphasis not on a quantitative but a qualitative

view of the traffic on the road, and the consideration of the establishment of new vehicle concepts and technologies.

#### 2.7.6. Slovenia

##### 2.7.6.1. Competence framework

Slovenia is a unitary State founded on the logic of administrative decentralization, whereby the municipal level stands alongside the central level. The 1991 Constitution provides for local self-government (Art. 9 and Arts. 138-144). The local government reform law of 1993 establishes the organizational principles for the legal system of the 212 municipalities. Slovenia is also technically divided into 12 regional entities, which do not operate with specific institutions or powers. Finally, the Slovenian State is split into 58 devolved administrative units, which implement the duties and responsibilities of the State at decentralized level. This unitary structure is reflected in the division of legislative competences, since the respective responsibilities are exclusively held by the central level, while supervisory responsibilities are held the local authorities.

##### 2.7.6.2. Slovenian transport policy

Its geographical location makes Slovenia an intensively transit area and the crossroad of two major pan-European corridors, V and X. The corridors run as follows: Corridor V from Venice – Trieste/Koper – Ljubljana – Maribor – Budapest – Uzhhorod – Lviv – to Kiev, and Corridor X from Salzburg – Ljubljana – Zagreb – Belgrade – Niš – Skopje – Veles – Thessaloniki with corridor Xa running across Slovenia from Graz – Maribor – to Zagreb.

Slovenia is situated at the crossroads of several larger European regions – Alpine, Mediterranean, Danube and Central European. The country therefore takes an active role and uses its geo-strategic position. Public transport infrastructure contributes to forming cross-border regions with neighboring countries, which is considered to be important for the development of hilly and less accessible areas with numerous problems related to economic and demographic stagnation, as well as for the developmental cross-border connection of urban areas in the coastal region, Goriška, the lower Sava River and Štajerska regions. The quadrilateral initiative brings together Italy, Croatia, Hungary and Slovenia to agree on measures of transport connection, spatial regulation and the environment. Within the scope of the Adriatic Ionian Initiative, issues of spatial development along the Adriatic and Ionian seas are examined. The Central European Initiative considers issues of development in

economic, social, spatial and cultural areas. The Alps Adriatic Working Community considers spatial and environment regulation, the economy, culture, society, health care and social issues, agriculture and forestry. It formed a basis for the Adriatic-Ionian macro-regional strategy of the EU. The Danube Cooperation Process concentrates on the development in relation to the environment and water protection. Building on this process, cooperation has been upgraded and grandfathered by the EU within the scope of the adopted Macro-regional Strategy for the Danube Region. In the Alpine Region, Slovenia takes part in the macro-regional strategy for the Alps. In all these areas, the issue of transport connections is a key issue – related to geographically specific features – whereas intermodality for greater spatial efficiency and environmental sustainability are at the forefront.

Following accession of Slovenia to the EU, the Slovene government updated the pre-independence National Motorway Construction Programme (NMCP) and the National Railway Programme (NRP) to align them to the framework of the TEN Network. The development of Slovene transport infrastructure is co-financed by the European Bank for Reconstruction and Development (EBRD). The NMCP provided for the construction of 390 kilometers of new motorways until 2004. The west-east corridor alone included 150 km of motorway to be constructed before 2000. The NRP included about 200 km of new railroad, as well as rehabilitation and improvement works, and the construction of a High-Speed Rail line Trieste - Ljubljana - Zagreb.

The 2014 Transport Development Strategy aimed at presenting the needs and possibilities for the development of the key transport infrastructure in the Republic of Slovenia, at preparing a harmonized development programme for the key transport infrastructure, and at guarantying ex-ante conditionalities for drawing EU funds in the 2014–2020 financial period for transport infrastructure.

Originally, it was planned to start a major cycle of investments in railway infrastructure after the completion of the motorway cross. However, due to the economic and financial crisis, the investment cycle in motorway infrastructure did not continue with investments in railway infrastructure. Moreover, there were no comprehensive investment programs for transport infrastructure. Therefore, the government took the opportunity of the EU Commission's proposal for a Regulation on Union guidelines for the development of the trans-European transport network and the proposal for a Regulation establishing the Connecting Europe Facility (Decision no. 54948–24/2012/4) to order the Ministry of Infrastructure to prepare a harmonized plan of investments in transport infrastructure up to 2020, including a vision to 2030. The Minister of

Infrastructure thus appointed a working group for the preparation of the Resolution on the National Programme for the Development of Transport Infrastructure.

Since EU accession of Slovenia, road and rail freight transport is increasing. However, road freight transport is increasing significantly faster than rail freight transport. Freight transport increased until 2008, decreased from 2009 to 2009 and has been rising since 2009. 149% more cargo was transported by road in 2011 than in 2002. Road freight transport in this period increased at an average annual rate of more than 11%, while rail transport increased by 32%. The freight transport is still implemented more by road than by rail.

## 2.7.7. Switzerland

### 2.7.7.1. Competence framework

Switzerland is a federal state since 1848. Legislative and executive powers are shared between the Confederation (Central State), the twenty-six Cantons (Federal States) and the 2.324 Municipalities. While the Confederation is responsible in the sectors expressly assigned to it by the Federal Constitution, all further responsibilities fall within the functional scope of competences of the Cantons, which enjoy a wide degree of autonomy. Accordingly, the degree of asymmetry in the Swiss federation is relatively high, as each canton may adopt decisions in a very large number of sectors, including taxation.

### 2.7.7.2. Swiss transport policy

Despite its federal structure, Switzerland operates an integrated national transport policy since the early 1970s. This is linked to the geographical location of the country as a transit traffic country and the role of transalpine crossings in this connection. Swiss public opinion features a strong national pride in the Alps and a widespread concern about environmental sustainability. Switzerland has a long tradition of restricting truck traffic on the grounds of its social and environmental costs. Since 1933, there has been a ban on night-time (and Sunday) driving for heavy goods vehicles. As a reaction to the increase of weight and size limits for trucks in most European states, Switzerland increased maximum permissible weight to only 28 tons and did not modify this limit until the 1998 agreement with the EU (Stampfli, 1993, 189–190). A toll charge for trucks was introduced in 1984. Confronted with the steady increase of motorized traffic, the Swiss population voted for an expensive modernization programme for public transport in 1987. Today, Swiss railroads are economically among the most successful

in Europe. They handle a much larger share of freight than any EU Member State. This applies particularly to freight in transit, which is overwhelmingly going by rail, despite a decline in the share of rail since the opening of the Gotthard motorway in 1980. During 1980, the road took only about 7.5% of total freight crossing the Swiss Alps. In 1994, this share had risen to 25%. The increase was particularly pronounced for transiting trucks whose freight volume increased by approximately 850% during this time (Eidgenössisches Verkehrs und Energiewirtschaftsdepartement 1996, p. 32). These figures explain the reactions that came from Swiss politics and, in particular, from Swiss citizens in the course of the 1990s. Due to its geography, Switzerland is ideally placed for much of the North–South traffic across the Alps. Due to its restrictive policy on trucking, it handled ‘only’ 31% of that traffic in 1994. While freighters pointed to the high cost of bypassing Switzerland, and neighboring governments objected to the additional ‘detour traffic’, which they claimed to be quite significant. With the perspective of the completion of the EU’s internal market, the Swiss government wanted to join the European Economic Area (EEA). The EU, in turn, proposed a transit treaty with Switzerland as a precondition for such membership.

The goal of realizing a sustainable modal shift from road to rail through the Alps was stated for the first time in the Swiss Integral Concept of Transport (SICT) of 1977 (Oetterli 1998) that also recognized the importance of internalizing the external (environmental) costs of transport. A highway vignette for passenger cars and a flat rate heavy vehicle tax were introduced in 1984 following a popular vote. More detailed transport policy proposals concerning pricing as well as new infrastructure investment were elaborated in the Coordinated Transport Policy Plan (SCTP), but were rejected by popular vote in 1988. However, the constant increase of transit traffic throughout the 1980s convinced the Swiss population to vote in favor of a new transalpine rail link (NARL) in a referendum in 1992. Following the clarification of the mode of financing, the NARL link, which covers both the Lötschberg and Gotthard crossings, were constructed.

The transit agreement with the EU entered into force in 1993. Unlike the transit agreement with Austria, the EU-Swiss deal included no ecopoint system. Instead it provided for detailed infrastructure investment plans and entailed an acceptance, by the EU, of the 28-tonne limit for lorries and a night-time and Sunday ban on trucks. This agreement was valid until 2005. The early 1990s saw a major grassroots mobilization with regard to transport through the Alps. The so-called Alpine Initiative — an umbrella organization of several environmental associations — sought guarantees with regard to a modal shift from road to rail and a series of accompanying measures. The success

of the organization was conducive to the positive outcome of the popular vote on the NARL. However, the Alpine Initiative was not satisfied, and following a rejection of its other proposals by the Federal Council (due to their inconsistency with the provisions of the EU-CH Transit Treaty), it called for a referendum that was decided in its favor.

The referendum led to an amendment of the Swiss Constitution to include Article 84 explicitly calling for the transportation of freight through the Alps by rail and a stop to road infrastructure investment. Article 84 now allowed for the introduction of the mileage-related heavy vehicle tax (MRHVT). The Article 84 generally aims at protecting the alpine region from the negative effects of transit traffic by road, requires the transfer of trans-alpine heavy goods traffic from road to rail, and prohibits any increase in the capacity of the transit roads in the alpine region. The corresponding and non-discriminatory implementation of this constitutional article is detailed in the Traffic Transfer Act of 8 October 1999.

The success of the Alpine Initiative enabled the Swiss government to proceed with a major part of its policy plans as outlined in the SCTP of 1988. This resulted in conflicts with the EU, because of the Transit Agreement and, in view of the ongoing (at the time) negotiations on the Land Transport Agreement about the harmonization of road market legislation with EU directives. The latter was necessitated following the popular vote against joining the EEA in 1992. Negotiations on the Land Transport Agreement could only resume in 1995 following the revision of the MRHVT in a way that was acceptable to the EU.

The MRHVT covers all heavy road vehicles above 3.5 tons carrying either goods or passengers and is levied according to (1) the maximum permissible overall weight; (2) the pollutant category of the vehicle; and (3) the distance covered in Switzerland. However, the charge cannot be lower than €0.39 and not higher than €1.96 per metric tonne and 100 km travelled. The maximum transit price for a 40-tonne vehicle covering 300 km (Basle–Chiasso) has been accordingly defined as amounting to €195, which would correspond to an average of €1.69 per ton/100 km. Coaches (i.e. heavy vehicles for passengers) pay a flat yearly rate according to their size (which ranges from €1040 for vehicles between 3.5 and 8.5 tons to €2080 for vehicles over 18 tons). The law on the MRHVT was approved in 1998 and it foresaw both the application of the polluter-pays principle through the internalization of external costs and the possibility of using the revenues from road pricing for financing rail projects. Related to this is the Public Transport Financing Package that foresees the setting up of a fund for the financing of major railway projects to be fed by the MRHVT (by two-thirds), a fuel tax, a 0.1% increase in the rate of value added tax and long-term capital market loans. In return for

accepting this tax to be levied on European trucks, Switzerland agreed to gradually lift its ban on 28-tonne lorries, to 34 tons in 2001, and to 40 tons in 2005.

The Land Transport Agreement came into effect in 2001, and replaced the Transit Agreement. The MRHVT became the key component of this agreement. With the Land Transport Agreement, the MRHVT, the NARL and ongoing railway reforms, the Swiss government has established the cornerstones for the implementation of a comprehensive sustainable transport policy in agreement with both the EU and public opinion.

The constitutional mandate to shift transalpine freight traffic from road to rail (Art. 84) is implemented through three means: A heavy vehicle fee to internalize the external costs, the construction of new railway base tunnels allowing productivity gains, since flat tunnels provide for faster trains, less rolling stock, and less personal. The reforms have been positively evaluated, since the number of heavy vehicles decreased (from 1.4 to 1.25 mio.), a higher productivity of road transport could be observed, the railway infrastructure and the railway freight services were improved, the transported net tons by rail increased and the rail market share slightly increased.

#### 2.7.8. Conclusions on transport policy framework

Having analyzed the EUSALP member states' policy frameworks and political strategies in relation to transport and transalpine transport, it can safely be argued that the overall picture is characterized by diverging economic interests, diverse geographical and territorial conditions, and diverging perceptions of the Alps. On the other hand, alpine countries, regions and societies emerge as a flexible and dynamic grouping that is willing and able to steer the challenges of increasing traffic and its related impact on nature, environment and people by common effort. In some Alpine countries local communities and regions actively fostered societal movements against transit traffic and its negative impacts. Some regions (esp. North and South Tyrol/Alto Adige), Austria and Switzerland focus their policies at both reducing transit road traffic by internalizing external costs and by promoting alternative transport and logistic industries. On the other hand, Italy and France concentrate more on the promotion of new or better, i.e. faster and safer infrastructure to ease transalpine import-export flow. Perceiving the Alps as a barrier for trade, this specific Franco-Italian interest is backed up by similar positions of Germany, the Netherlands, and Belgium. At EU level, the Parliament and the Council focus their policies on making trans-European networks more efficient, on shifting freight traffic from road to rail, and on a generalization of tolls based on the

“polluter pays” principle. Both the transport/transit agreements of the EU with Austria (1992) and Switzerland (1995) facilitated the emergence of a genuine European transalpine transport policy by subsequently creating more ground for shared views with both countries to develop common approaches regarding road charging and modal shift.

Conflicting interests about the transalpine transport policy and diverging interests and perceptions necessitate multilateral and multilevel coordination and policy-making approaches. In addition, as the topic is highly politicized in some alpine countries and regions, multi-level policy approaches are challenged by a large array of non-state actors: While the automotive industry does certainly not pursue to lobby in favor of modal shift from road to rail, environmental organizations would not start to think about lobbying for more transit routes that facilitate road traffic. Marletto (2010) convincingly proposes to structure the differences as “policy paradigms” to visualize potential for joint problem-solving by deliberative multi-criteria procedures (Macharis 2007; Mameli and Marletto 2009).

*Table 6. Marletto's Policy paradigms and Transalpine Transport policy: Perceptions, objectives, proposals and stakeholders*

	<i>Competition and Growth</i>	<i>Policy Paradigms Sustainability</i>	<i>De-growth</i>
<i>Perception</i>	The Alps as a barrier	The Alps as natural capital	The Alps as an international common
<i>Main objective</i>	Easing transport flows through the Alps by any means	Increasing ecological efficiency of transport flows through the Alps	Reducing transport flows through the Alps
<i>Main proposals</i>	New/better transport infrastructures	Tolls, modal shift and intermodal transport New/better railways	Alternative corridors Short haul supply chains
<i>Main stakeholders</i>	Italy, France, Germany, + Netherlands, Belgium („EU ports“)	European Union, Alpine Regions and Austria, Switzerland	Grassroots local movements
<i>Other stakeholders</i>	Infrastructure managers and builders, Road transport companies, National key industries	National environmentalists associations, Railways transport companies, National and regional industries	Local and national environmentalists associations

EUSALP would be a perfectly situated structure to facilitate such procedures under certain conditions. First, countries, regions and non-state actors need to agree on a baseline of mutual respect. In operational terms, group-facilitating institutions such as the EUSALP AG's should act inclusively without privileging a certain group of interested actors. To take it the other way around: Any party that wishes to voice its perceptions, objectives or concrete proposals should get a chance to be heard and consulted. On the other hand, parties from outside the formalized group of the AG's constituent members, should be asked to commit to respect the polyarchic nature of EUSALP style of multi-level governance. Views- and Interests-aggregating actors – e.g. ministers, members of parliament – act on a much larger and widespread basis of views, concerns, ideas and interests than any interest group! Second, the truly alpine states (Switzerland, Austria) cannot shift their territory in a way to align to the “Alps-as-a-barrier”-view that is more familiar to states, in which the Alps form only a small peripheral portion of their territory (Germany, France, Italy). Accordingly, the EUSALP could be in an ideal position

to discuss key indicators and procedures for jointly triggering safeguard mechanisms in relation to the three paradigms mentioned above. In practical terms, AG4 might kick off a large-scale consultation process to reflect upon indicators, related scoreboarding mechanisms, consultation, activation, and revision procedures. The goal of this exercise would not be to reach a final or eternal ranking of alternatives. Instead, such an exercise would help to make the different conditions, perceptions, interests, and positions of the various parties comprehensible to each other, thus facilitating discussions and decision-making about the future transalpine transport policy. Different cross-border regimes in the Alps already provide a realm for such an exercise. The following chapter gives a mapping of relevant cross-border regimes and their activities in the field of transport.

3. International regimes in transport policy

3.1. International regimes

The Alpine space is characterized by a rich landscape of cross-border and transnational regimes. Many of these structures already deal with transport issues and develop cross-border approaches in the policy field. Table 7 provides an overview of the most important cross-border structures in the Alpine space, their geographical scope, key legal and political outcomes and projects and expertise in the field of transport policy. The table represents a summary of already conducted work and a point of departure for further collaboration.

Table 7. International regimes in the Alpine space

<i>Global and European cooperation</i>	
<i>United Nations (UN)</i>	Global
<a href="https://www.un.org">https://www.un.org</a>	
In 2014, the UN has created a high-level advisory group on sustainable transport (HLAGST) to provide analytical data, support actions and elaborate recommendations on sustainable transport. The advisory group elaborated a report and concluded its work in 2017.	
<i>Legal and political outcomes</i>	
Resolution "Towards comprehensive cooperation among all modes of transport for promoting sustainable multimodal transit corridors", 2015	
Convention on Road Traffic, 1968	
<i>Projects and expertise</i>	
"Mobilizing sustainable transport for development. Analysis and policy recommendations from the United Nations Secretary-General's High-Level Advisory Group on Sustainable Transport", 2016	
<i>International Transport Forum (ITF)</i>	Global
<a href="https://www.itf-oecd.org/">https://www.itf-oecd.org/</a>	

The International Transport Forum was set up as a successor of the European Conference of Ministers of Transport. It is an intergovernmental organization with 59 member countries. The ITF sees itself as a global think tank for transport policy and deals with all modes of transport. The Road Transport Group of the ITF focuses on issues regarding the multilateral quota of transport licenses.

#### *Legal and political outcomes*

The ITF organizes an Annual Summit of transport ministers, which adopts resolutions on issues of relevance in the thematic field.

Dublin Ministerial Declaration, 2006, to create the ITF

#### *Projects and expertise*

The ITF draws on a Joint Transport Research Centre with the Organization for Economic Cooperation and Development (OECD), which publishes regular reports and statistics, for example on rail freight transport.

The ITF elaborates discussion papers, reports and policy analysis on various subjects, for example on:

- The economic benefits of improved accessibility to transport systems, 2017
- Strategic infrastructure planning: International best practice, 2017
- Road haulage charges and taxes, 2013
- Road pricing with complications, 2012
- A vision for railways in 2050, 2010

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*United Nations Economic Commission for Europe*  
*Europe (UNECE)*

<http://www.unece.org>

The Inland Transport Committee (ITC) provides a forum for intergovernmental cooperation in the field of transport. Its main aim is the facilitation and development of international transport and the improvement of its safety and environmental performance. The ITC elaborates and administers legal instruments, collects and harmonizes transport statistics and advises and assists members through workshops and trainings. It facilitates cooperation in the framework of Trans-European Motorway (TEM) and Trans-European Railways (TER) Projects. The transport committee works through different working groups that meet between one to three times a year. The Inland

Transport committee has, for example, working groups on transport statistics, on transport trends and economics, on road transport, on rail transport, on combined transport and on border crossing and customs.

#### *Legal and political outcomes*

- Amsterdam Declaration. Making THE link: Transport choices for our health, environment and prosperity, 2009
- European Agreement on Important International Combined Transport Lines and Related Installations (AGTC), 1991
- European agreement on main international railway lines, 1985
- European Agreement on Main International Traffic Arteries (AGR), 1975
- General Agreement on Economic Regulations for International Road Transport, 17 March 1954

#### *Projects and expertise*

TER and TEM aim at developing a coherent and efficient network of road, rail and combined transport. Both projects work on the basis of master plans that analyses railway and road network gaps and deficits, propose concrete measures and elaborate investment plans. TER and TEM focus on Central and Eastern Europe. They involve Italy and Slovenia; Austria is member of TER and associated member of TEM, while Switzerland is becoming a member of TER.

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*Central European Initiative (CEI)*

Central and Eastern Europe

<http://cei.int>

The Central European Initiative promotes and funds cross-border cooperation among countries in Central and Eastern Europe. The three Alpine states Austria, Italy and Slovenia participate. Transport, Logistics and Accessibility is one area of collaboration of the CEI. Collaboration in the thematic field should help developing Trans-European Transport core and comprehensive networks (TEN-T), bridge macro-regional strategies in the transport sector and strengthen effective coordination and communication to streamline other regional initiatives. The CEI Cooperation Fund funds small projects, for example seminars, workshops, training courses and meetings.

#### *Projects and expertise*

The CEI participates in different EU projects on transport. It was lead partner in the project ADRIA A (Accessibility and Development for the Re-launch of the Inner Adriatic Area) that aimed at identifying missing links in the Italian and Slovene railway infrastructural networks. Moreover, CEI organized a seminar on sustainable mobility for tourists in the framework of the EU SEEMORE project.

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*Eurocities*

Cities across the EU

<http://www.eurocities.eu/>

Eurocities is a network of 135 cities in Europe. In addition, it encompasses 45 partner cities. Members are mainly major cities, also in the Alpine states Austria, France, Germany, Italy, Slovenia and Switzerland. The members collaborate in the framework of six thematic forums, which set up specific working groups. One thematic forum and six working groups are dedicated to mobility. The working groups focus on a broad range of subjects, for example on urban freight and fleet management, the TEN-T networks, safe and active travel or sustainable mobility planning. Within the forums and working groups, members share best practice and develop tools and projects.

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*CIVITAS*

Cities across the EU

<http://civitas.eu/>

CIVITAS is a network of European cities that targets the development of sustainable mobility solutions. It was launched in 2002 by the European Commission and encompasses 250 cities across the European territory. The network fosters exchange of best practice and organizes workshops and training events. In addition, CIVITAS draws on smaller CIVINET networks that institutionalize cooperation between cities on a nation-state level. In the Alpine space, there exist separate CIVINET networks in Italy, between Slovenia and Croatia and in the German-speaking area.

*Legal and political outcomes*

The Political Advisory Committee, a small group of politicians from CIVITAS member cities, delivers concrete policy recommendations, for example on:

- The Urban Mobility Package 2013, 2014
- The Clean Power for Transport Package, 2013
- The future development of the urban dimension of transport, 2012

#### *Projects and expertise*

CIVITAS has set up ten thematic groups, in which members collaborate, for example, on mobility management, public involvement, demand management strategies or collective passenger transport.

CIVITAS participates in or runs research different projects, for example:

- The project ECCENTRIC aims at developing sustainable mobility solutions in suburban districts and innovative urban freight logistics. Munich in the German region Bavaria is one of the five participating cities.
- The project PORTIS encompasses five cities, among them Trieste in the Italian region Friuli-Venezia Giulia, and focuses on the interaction between cities and ports.

The network offers a database of individual mobility measures that have been tested through Living Lab projects. Moreover, it provides a mobility tool inventory that gives access to a wide range of guidance materials, software, mobile apps, approaches and other tools for sustainable urban mobility practitioners. CIVITAS organizes an annual forum and awards a price for ambitious sustainable mobility projects.

Finally, CIVITAS offers a wide range of policy notes and briefings:

- Real-time information for public transport, 2016
- Social marketing for sustainable mobility, 2016
- Access regulations to facilitate cleaner and better transport, 2016
- Cleaner, safer and more efficient freight transport in cities, 2015
- Smart choices for cities. Making urban freight logistics more sustainable, 2015
- The use of social media to involve citizens in urban mobility projects and city planning, 2015

Polis is a network of 67 European cities and regions that cooperate to develop technologies and policies for local transport. Polis has been set up in 1989 and aims at improving local transport through an exchange of experiences and the transfer of knowledge between cities and regions. Moreover, it facilitates the dialogue between local and regional authorities and industry, research centers, universities and NGOs. In the Alpine space, the three cities Stuttgart (Baden-Württemberg, Germany), Milan (Lombardy, Italy) and La Spezia (Liguria, Italy) take part. To reach out beyond the EU realm, Polis has established a Global Platform that offers the possibility for non-European cities to join the network.

#### *Legal and political outcomes*

Decision-makers in the Political Group formulate recommendations to European institutions.

#### *Projects and expertise*

Polis has established different thematic working groups. Members collaborate, for example, in working groups on health and transport, on mobility and traffic efficiency, on financing urban transport projects or on urban freight.

Polis participates in different EU funded projects, for example:

- CIVITAS
- BuyZET is a project that promotes zero emission urban delivery of goods and services.
- The SUNRISE project (Sustainable Urban Neighborhoods – Research and Implementation Support in Europe) aims at developing new tools to address mobility challenges at the neighborhood level.

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*Partnership Urban  
Mobility (PUM)*

Cities across the EU

<https://ec.europa.eu/futurium/en/node/1966>

The Partnership for Urban Mobility brings together eight cities, two regions, five EU member states, European transport associations like the European Cyclists' Federation (ECF) or the International Association of Public Transport (UITP), local associations like Eurocities and Polis and EU institutions. From the Alpine space, only the state Slovenia participates. PUM focuses on four themes: active modes of transport and use of public space, innovative solutions and smart mobility, public

transport for the city/region and multi-modality and governance. Its aim is to propose solutions to improve the framework conditions for urban mobility. Therefore, it targets EU regulations, the use and allocation of EU funding and knowledge exchange platforms.

The partnership meets on average four times a year and organizes seminars, conferences or working visits. PUM began its work in January 2017. During a first phase, it drafts an action plan on the basis of a mapping of the existing EU framework and an identification of challenges, bottlenecks and potentials. From January 2018, the members will discuss with relevant stakeholders and update the action plan. Specific working groups should work on the actions agreed in the action plan. In the third year, members will evaluate the partnership and present results and lessons learned.

### *Alpine-wide cooperation*

#### *Alpine Convention*

Alps (Austria, France, Germany, Italy, Liechtenstein, Monaco, Slovenia, Switzerland)

<https://www.alpconv.org>

The Alpine Convention has a dedicated working group that promotes and accompanies the implementation of the transport protocol. The working group develops information on transport, monitors the implementation of the Transport Protocol, contributes to the creation of favorable conditions for the use of sustainable means of transport and gathers, analyses and develops good practices. Working priorities are very similar with AG4, but focus mainly on the collection and production of knowledge.

#### *Legal and political outcomes*

Transport protocol of the Alpine Convention

#### *Projects and expertise*

Publications:

- Analysis of innovative logistics solutions such as rolling highways or solutions for other sustainable modes of long-distance Alpine crossing transport, 2016
- Bibliographical review on traffic-related external environment costs, 2016
- Questionnaire on application of Directive Eurovignette, 2016

- Mobility solutions in the Alps Database, 2015
- Sustainable solutions for logistics and urban freight delivery in the Alpine region, 2014
- Sustainable mobility solutions in remote Alpine territories, 2014
- Ecological quality of passenger and good transport in the Alpine area, 2011
- Tourist sustainable mobility in the Alps, report Alpine urban mobility, 2011
- Sustainable mobility in the Alps: Examples of good practices and analysis of mobility system, 2008
- Public transport accessibility of Alpine tourist resorts from major European origin regions and cities Synthesis report, 2008
- Report on the state of the Alps: Transport and mobility, 2007
- The real costs of transport in transalpine corridors, 2007
- Report on cooperation on Alpine Railway Corridors, 2006

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*Zurich Process*

Alps (Austria, France, Germany, Italy, Liechtenstein, Slovenia, Switzerland)

<http://www.zuerich-prozess.org>

The Zurich Process brings together national transport ministries from the Alpine states. Collaboration focuses on road safety and the improvement of sustainability of transport. The member states have set up several working groups, for example on the environmental impact of transport in the Alps and on heavy vehicle transport management.

*Legal and political outcomes*

Joint Declaration of Zurich, 30 November 2001, on cooperation in the field of transport  
Preliminary work for EU Directive on Safety Requirements for Tunnels in European Road Networks

*Projects and expertise*

CAFT (Cross-Alpine Freight Transport) is a data collection of Alpine crossing freight transport covering both relevant modes, road and rail. The spatial distribution of the traffic flows as well as their characteristics are surveyed. The data is available every 5 years.

Two informational reports of the working group on the environmental impact of traffic:

- Synoptic report on existing environmental monitoring systems in the Alps region
- Overview report on environmental legislation pertaining to traffic

Studies of the Working Group on heavy vehicle transport management:

- Report on the promotion of combined transport
- Report on elements of Toll+ and its practical implementation
- Analysis of legal compatibility of ACE, AETS and TOLL+ with EU law, international law and domestic law
- Analysis of economic effects of establishing traffic management instruments ACE, AETS and Toll+ in Alpine corridors, 2012
- Study on the alignment of heavy traffic management systems ACE, AETS and TOLL+, 2011
- Analysis of five transport management systems, 2006-2009 - Conclusion: The three management systems Alpine Crossing Exchange (ACE), Trading of Emission rights (AETS) and Toll Modelling Systems (Toll+) should be examined in greater detail.
- Analysis of management systems in the Alpine region, 2005-2006

### *Working communities*

#### *Arge Alp*

Bavaria (Germany), Grisons, St. Gallen, Ticino (Switzerland), Bolzano, Lombardy, Trentino (Italy), Salzburg, Tyrol, Vorarlberg (Austria)

<http://www.argealp.org/>

The Arge Alp provides a framework for political collaboration among regions, also in the field of transport. The heads of governments have adopted various resolutions on the subject. The Arge Alp also conducts and funds projects and has initiated the regional network iMonitraf!.

#### *Legal and political outcomes*

- Resolution on mobility and connectivity, 30.06.2017, Lautrach
- Resolution on future-oriented climate protection policy in the Alpine space, 30.06.2016, Bezau
- Resolution on iMonitraf, 28.06.2013, Galtür
- Resolution on the subject of gigaliner in the Alpine space, 18.06.2010, Eppan

- Common final document (one subject: Alpine crossing traffic), 20.06.2008, Prien/Chiemsee
- Resolution on new Alpine crossing railway transversals, 22.06.2007, Bregenz
- Resolution on the EU transport infrastructure cost directive, 23.06.2006, Revo
- Resolution on the EU transport infrastructure cost directive, 24.06.2005, Trento
- Resolution on the ratification of the transport protocol of the Alpine Convention, 24.06.2005, Trento
- Resolution on the EU transport policy, 25.06.2004, Alpbach
- Resolution on the completion of NEAT (Nouvelle ligne ferroviaire à travers les Alpes, New railway link through the Alps), 25.06.2004, Alpbach
- Resolution on sustainability in the European transport policy, 27.06.2003, Innsbruck
- Resolution on the implementation of the Alpine Convention, 27.06.2003, Innsbruck
- Resolution on EU transport policy, 22.06.2001, St. Gallen

### *Projects and expertise*

Projects on:

- Bicycle tourism, 2016
- ALP.IN.SKI Alpine Innovation Ski Best Practices (cable railways as alternative mobility concept), 2015
- Reduction of climate-damaging emissions in the Alps (with Alpine Convention), 2011
- The development of cross-border traffic in the area of Arge Alp, 2000, 2005
- Transport concept of the Arge Alp, 1995, 2002, 2003
- Combined transport in the Alpine space, 1998

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### *Alps Adriatic Alliance*

Carinthia, Styria, Burgenland (Austria), Istria, Karlovac, Krapina-Zagorje, Koprivnica Križevci, Međimurje, Varaždin (Croatia), Association of Cities and Towns of Slovenia (Slovenia), Vas (Hungary)

<http://www.alps-adriatic-alliance.org/>

The Alps Adriatic Alliance Working Community focuses on the facilitation of participation in EU funding programs and funds small projects. It has set up a Thematic Coordination Point for mobility at the regional government of Burgenland (Austria). However, in 2014, 2015 and 2016, transport has not ranked high among the funded

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projects. Only two small projects on cross-border transport organization and bike connections were conducted in the thematic field.

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*iMonitraf!* Conference of cantons of Central Switzerland, Ticino (Switzerland), Rhône-Alpes (France), Tyrol (Austria), Valle d'Aosta, South Tyrol, Trento, Piedmont (Italy)

<http://www.imonitraf.org>

iMonitraf! has been developed as a INTERREG project and provides a framework for coordination in the area of transport among Alpine regions. In the framework of iMonitraf!, the regions have developed a common monitoring system. They have analyzed best practice measures and defined a common strategy, which aims at the introduction of an Alpine-wide introduction of the Toll Plus system.

#### *Legal and political outcomes*

- Resolution on the concretisation of a common transport strategy, 2016
- Resolution for a common iMonitraf!-transport strategy, 2012 and common transport strategy with an action plan, 2012
- Joint declaration on common measures of the Monitraf regions, 2008

#### *Projects and expertise*

- Factsheet Toll Plus, 2015
- Specifying the regional proposal on Toll Plus - An in-depth analysis of the iMONITRAF! network on design elements, impacts and legal issues of a Toll Plus System, 2015
- Toll Plus system: A proposal from the iMONITRAF! regions, 2014
- Evaluation instruments for the analysis of the impact of transit traffic on streets and railway along the Alpine axes of Monitraf, 2012
- Annoyance - Analysis of the Health Indicator, 2012
- Impact of an expansion of a ban on night journeys along the Brenner corridor, 2012
- Monitoring Campaigns, 2012
- Evaluation instruments to assess the effects of road and rail transit traffic on the iMONITRAF! alpine axis, 2012
- Alpine Transit Traffic – Policy Scenarios 2020, 2012
- Guidelines on the measurement of noise emissions along Alpine crossings, 2012

- Air Pollution and Traffic in the Alpine Transit Corridors of Gotthard and Brenner 2004 – 2010, 2011
- Innovative approaches for the Alpine transport system - the regional viewpoint, 2011
- The indicator system, 2011, to analyses the effects of heavy transborder traffic on the environmental conditions of the Alpine area
- Best Practice Guide, 2010
- Monitraf Synthesis report, activities and results, 2008

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*Comité régional franco-genevois*

Auvergne-Rhône-Alpes (France), Geneva, Vaud (Switzerland)

<http://crfginfo.org/>

The Comité régional franco-genevois in the French-Swiss border area defines the joint development of infrastructure projects in the field of mobility as one of the working priorities. However, work is predominantly conducted within the three areas of health, security and general regulation and economy, formation and research, which build the three thematic commissions of the collaboration framework.

*Projects and expertise*

The Comité has a dedicated statistical cross-border observatory that is undertaken by the statistical institutes of the Swiss canton Geneva and the French region Auvergne-Rhône-Alpes. It regularly presents statistical reports on the situation in the cross-border space, for example on the quality of life or on the activity of airports.

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*GLCT Grand Genève*

Auvergne-Rhône-Alpes (France), Geneva, Vaud (Switzerland)

<http://www.grand-geneve.org/>

The GLCT (Groupement de coopération transfrontalière, Grouping of cross-border cooperation) Grand Genève is embedded within the Comité régional franco-genevois. Mobility is one of three working priorities, and the region collaborates closely in this thematic field. In particular, the participating regions and municipalities set up and maintain cross-border railway connections and coordinate their transport policies.

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*Conseil du Lemman*

Auvergne-Rhône-Alpes (France), Geneva,  
Vaud (Switzerland)

<http://www.conseilduleman.org/>

The Conseil du Lemman in the Lake Geneva region has set up a thematic commission on mobility that is under the responsibility of the canton Valais. The focus of collaboration lies on railway and road connections, car-sharing and shipping.

*Projects and expertise*

The Conseil has developed a common scheme on coherence of transport that provides an analysis of existing deficits and projects the future of transport in the region. The scheme is regularly updated.

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*Regio Sempione*

Valais (Switzerland), Piedmont (Italy)

Transport is one of the thematic fields of cooperation.

*Projects and expertise*

One conducted project set up a cable railway connection.

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*Regio Insubrica*

Piedmont, Lombardy (Italy), Ticino  
(Switzerland)

<http://www.regioinsubrica.org/>

The working community Regio Insubrica has set up a working group on territory, environment and mobility in 2016, which deals not only with the navigation of ships in lakes, but also with railway and road transport for freight and passengers and the respective infrastructure. The working group is coordinated by the canton Ticino (Francesco Quattrini). The working community grants sponsorships for events and publications and aims at improving collaboration, also with a view to EU funding applications.

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*Conseil Valais-Vallée d'Aoste du Grand St Bernard* Valais (Switzerland), Valle d'Aoste (Italy)

The cooperation structure has four working groups, one of them deals with transport. The Conseil also supports the tunnel Martigny-Santhia.

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*Conférence des Hautes Vallées*

Pignerol, Val Sangone, Val Susa (Italy), Briançonnais, Guillestrois, Queyras, Pays des Ecrins, Modane, Haute Maurienne-Vanoise (France)

[http://altevalli.org/fra\\_index.htm](http://altevalli.org/fra_index.htm)

The cooperation on the French-Italian border defines transport as one priority area of cooperation. In particular, the members want to foster mobility within the cross-border territory. They want to set up seasonal lines, cooperate on transport related to hiking activities, limit the access to individual traffic in certain valleys and sensitise the public for the utilisation of public transport. Finally, they aim at creating cross-border transport networks and support the system of public transport with infrastructural measures.

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*Espace Mont Blanc*

Savoie, Haute-Savoie (France), Valle d'Aoste (Italy), Valais (Switzerland)

<http://www.espace-mont-blanc.com/>

Regions and municipalities in the Mont Blanc area also cooperate on issues of transport.

*Projects and expertise*

The project "Sustainable mobility" aims at promoting cross-border public transport in the area. Therefore, the participants commit to further developing the public transport offer, making it more flexible and attractive in remote areas and sensitising the public.

The mobility center "Viamontblanc.com" shows maps of the cross-border transport network and possibilities to use public transport.

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*International Lake of Constance Conference (Internationale Bodenseekonferenz, IKB)*

Baden-Württemberg, Bavaria (Germany), Schaffhausen, Zürich, Thurgau, St.Gallen, Appenzell Ausserrhoden, Appenzell Innerrhoden (Switzerland), Vorarlberg (Austria), Liechtenstein

<http://www.bodenseekonferenz.org>

The IKB has set up seven commissions, among them one for transport. The responsibility for this commission lies with the ministry for transport of the German region Baden-

Württemberg (Beate Schuler). The commission has established two working groups. One working group evaluates the project Bodan-Rail 2020, the second coordinates the Tageskarte Euregio Bodensee, a cross-border ticket. In 2013, the commission for transport discussed the impact of different toll systems on the cross-border region and dedicated itself to observe further developments and impacts.

The working community has a strategy on climate protection and energy, which defines measures for a harmonization of technical requirements for cross-border mobility (car sharing, e-bike etc.) as one priority. The commission for environment has set up a platform air that reports on air pollution.

#### *Legal and political outcomes*

Political call to ministry for transport in Vienna regarding the elimination of the toll sticker in the Pfändertunnel, 2013

#### *Projects and expertise*

- Tageskarte Euregio Bodensee (joint cross-border ticket)
- Survey on existing offers on e-mobility and cross-border potential: Study on connections across the lake, 2015
- Network graphic for cross-border railway traffic, 2013
- Study on cross-border mobility management concepts in the Regio Bodensee (elaborated on request of commission for transport with financial funding of EU INTERREG), 2005

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#### *Upper Rhine Conference*

Bas-Rhin, Haut-Rhin, Alsace (France), Baden-Württemberg, Rheinland-Pfalz (Germany), Basel-Stadt, Basel-Landschaft, Aargau, Jura, Solothurn (Switzerland)

<http://www.oberrheinkonferenz.org>

The Upper Rhine Conference defines sustainable cross-border mobility as one priority area of collaboration. A working group on transport has been set up that focuses especially on the development of the Upper Rhine Corridor. Moreover, two expert committees work in the thematic field. One expert committee is responsible for public passenger transport, while a second expert committee deals with questions of freight transport. The members have set up an information exchange on public transport offers. The Upper Rhine Council, the parliamentary body in the region, discusses cross-border

subjects and adopts resolutions. It draws on four thematic commissions, one of them focuses on transport and spatial planning.

#### *Projects and expertise*

The Upper Rhine Conference has conducted four INTERREG projects in the area of transport:

- a multimodal transport study
- a report on the cooperation on tariffs in public transport
- a common transport policy vision
- the project RTE-T Upper Rhine Ports: A connected corridor

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#### *Euro District Basel*

Basel-Stadt and Basel-Landschaft, Aargau, Solothurn (Switzerland), Landkreise Lörrach, Waldshut-Tiengen (Germany), Saint-Louis agglomération (France)

<http://www.eurodistrictbasel.eu>

The Euro district has five working groups; one deals with issues of mobility and transport.

#### *Projects and expertise*

The Euro district has commissioned a study on the feasibility of a cross-border mobility portal for information on timetables across borders.

The members have set up the project "Improvement of collaboration on tariffs in the trilateral region" to set up a cross-border offer.

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#### *Trinational metropolitan region Upper Rhine*

Alsace (France), Baden-Württemberg, Rhineland Palatinate (Germany), Basel-Stadt, Basel-Landschaft, Solothurn, Jura, Aargau (Switzerland)

<http://www.rmtmo.eu/de/home.html>

Transport ranks among the priorities of the "Strategy 2020", an outline of strategic priorities for collaboration. The partners would like to expand mobility and complete existing transport networks.

#### *Projects and expertise*

The public transport companies in the region grant discounts for pupils on cross-border connections. An annually updated brochure informs about the offer. Moreover, the members of the trinational metropolitan region coordinate cross-border timetables, set up cross-border tickets and expand cross-border public transport connections, also in the framework of INTERREG projects.

### *Corridor platforms*

<i>International Group for Improving the Quality of Rail Transport in the North-South-Corridor (IQ-C)</i>	North-South-Corridor (Switzerland, Netherlands, Italy, Germany)
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The International Group for Improving the Quality of Rail Transport in the North-South-Corridor pursues an increase of the rail freight share on the corridor. The IQ-C group has set up four working groups for regulatory bodies, national safety authorities, on the terminal platform and on railway noise. A further working group in the North-South-Corridor was set up to improve the implementation of ERTMS (European Rail Traffic Management System) along the corridor.

### *Legal and political outcomes*

- Common declaration of ministers of three European rail freight corridors, 2010. Discussion of several corridors, connections between corridors. Agreement on new "IQ-C Action plan 2006- 2014 for rail freight corridor Rotterdam-Genoa".
- Common declaration on the ERTMS corridor A, 2009
- Memorandum of Understanding on the implementation of approval procedures for rolling stock and cross acceptance of approval procedures of the competent supervisory authorities, 2007
- Letter of Intent ERTMS deployment on Rotterdam – Genoa corridor, with the aim to complete the ERTMS/ETCS infrastructure on the corridor, 2006
- Netherlands-German agreement between the railway safety inspectorates on mutual recognition of drivers, 2005
- Agreement for facilitating EU-Switzerland transit customs procedure, 2004
- Memorandum of Understanding, 2003, that aims at increasing rail freight share. The Ministers of Switzerland, Netherlands, Italy and Germany entrusted the IQ-C working group with the task of implementing a package of specific measures.

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*Brenner Corridor Platform*

Brenner corridor (Germany, Austria, Italy)

The Brenner Corridor Platform aims at an increase of the rail freight share. The platform unites public authorities and infrastructure companies and works through seven working groups. The working groups focus on interoperability, on terminals, on railway freight transport, on cross-financing with toll system, on political framework conditions, on capacities and on infrastructure.

### *Legal and political outcomes*

Brenner Action Plan 2005, Brenner Action Plan 2009

Memorandum of Understanding on the implementation of the priority project No. 1, railway line Berlin – Verona/Milan – Bologna – Neapel – Messina – Palermo (Gemeinsame Absichtserklärung über die Umsetzung des vorrangigen Vorhabens Nr. 1, Eisenbahnachse Berlin - Verona/Mailand - Bologna - Neapel - Messina – Palermo), 2009

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*Interregional Alliance for the Rhine-Alpine Corridor EGTC*

Rhine-Alpine corridor (Netherlands, Belgium, Germany, France, Switzerland, Italy)

<http://egtc-rhine-alpine.eu/de/>

Stimulated by the INTERREG project "CODE24 – Corridor development Rotterdam-Genoa", the Interregional Alliance for the Rhine-Alpine Corridor EGTC (European Grouping for Territorial Cooperation) ensures long-term collaboration among public authorities and infrastructure companies along the corridor. It has set up two expert committees that initiate projects. One committee deals with spatial and transport planning, economic development and logistics; the other committee focuses on environment and energy and launches, for example, project initiatives on rail noise and inland waterways. The Interregional Alliance has also created working groups. One working group brings together core urban nodes and regions to stimulate an exchange of experiences.

### *Projects and expertise*

Two INTERREG projects:

- RAISE-IT Rhine-Alpine Integrated and Seamless Travel Chain. The project aims to improve accessibility and fosters exchange among key nodes along the corridor.
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- ERFLS – European Rail Freight Line System. The ERFLS project wants to establish a European Rail Freight Line System (ERFLS) in combined rail-freight traffic on the Rhine-Alpine Corridor.

The Interregional Alliance also runs the Corridor Info System (CIS), which provides information on developments and transport demands along the corridor.

*TEN-T Corridor Forums*

[https://ec.europa.eu/transport/themes/infrastructure\\_en](https://ec.europa.eu/transport/themes/infrastructure_en)

The EU has set up Corridor Forums for each of the nine TEN-T corridors to regularly discuss corridor development, bottlenecks and projects with member states, regions, infrastructure and transport companies and EU institutions. Specific working groups have been established. In particular, almost all corridor forums involve working groups on ports and inland waterways, on regions and on urban nodes. In addition, the Scandinavian-Mediterranean Corridor Forum draws on an idea laboratory for road rail terminals, and the Baltic Adriatic Corridor Forum has set up a working group on regions, macro-regional strategies and urban nodes to increase the coordination with macro-regional strategies. Finally, the Baltic-Adriatic Corridor Forum also draws on bilateral working groups to improve the cross-border dialogue along the corridor.

As all Corridor Forums are organized on a similar basis, they are not elaborated separately. The following list shows the Corridor Forums that involve parts of the Alpine region and the geographical scope of the platforms within the EUSALP territory.

<i>Baltic Adriatic Corridor Forum</i>	Eastern Austria, Slovenia, Veneto and Friuli-Venezia Giulia (Italy)
<i>Mediterranean Corridor Forum</i>	Provence-Alpes-Côte d’Azur and Auvergne-Rhône-Alpes (France), Piedmont, Lombardy, Veneto and Friuli-Venezia Giulia (Italy), Slovenia
<i>Scandinavian-Mediterranean Corridor Forum</i>	Bavaria (Germany), Tyrol (Austria), Trentino-Alto Adige, Veneto and Liguria (Italy)
<i>Rhine-Alpine Corridor Forum</i>	Baden-Württemberg (Germany), Switzerland, Lombardy and Liguria (Italy)

*North Sea-Mediterranean Corridor Forum*

Bourgogne-Franche-Comté, Auvergne-Rhône-Alpes and Provence-Alpes-Côte d'Azur (France), Basel (Switzerland)

*Rhine-Danube Corridor Forum*

Baden-Württemberg and Bavaria (Germany), Salzburg, Upper Austria, Lower Austria and Vienna (Austria)

### *Local networks*

*Alliance in the Alps*

Alps (municipalities from Austria, France, Germany, Italy, Liechtenstein, Slovenia, Switzerland)

<http://alpenallianz.org>

The Alpine-wide network of municipalities collaborates in different thematic areas of the Alpine Convention. In particular, it focuses on subjects of biodiversity and climate protection.

*Alpine Town of the Year*

Bad Aussee, Villach (Austria), Bolzano, Belluno, Sondrio, Trento (Italy), Briggis, Herisau (Switzerland), Chambéry, Gap (France), Sonthofen, Bad Reichenhall (Germany)

<http://www.alpenstaedte.org>

The association Alpine Town of the Year unites towns that have been awarded the title "Alpine Town of the Year" for their commitment to the implementation of the Alpine Convention. The association fosters exchange among local authorities in the thematic areas of the Alpine Convention.

*Projects and expertise*

Each Alpine Town of the Year commits to implement at least two sustainable projects, also in the area of transport. The website provides information on these good practice examples. The members also exchange online to develop new project ideas, search partners or find information on funding. Finally, the association

participates in EU funded projects, for example the INTERREG Alpine Space project Alpstar that focuses on climate protection measures.

### *Euregios/EGTCs*

*EGTC Tyrol – South Tyrol – Trentino*

Tyrol (Austria), South Tyrol, Trentino (Italy)

<http://www.europaregion.info/en/egtc.asp>

Sustainable mobility is one of the aims anchored in the statutes. The statutes define the facilitation of the green Brenner corridor and a sensitisation for road safety as priorities within the thematic field of mobility. The EGTC co-finances iMonitraf! and has set up a coordination unit for freight transport in November 2015.

### *Legal and political outcomes*

- Resolution on modal shift on Brenner corridor and reintroduction of sectoral prohibition on road transport, October 2016
- Resolution on joint strategy for the in-time building of Northern and Southern approach routes for the launch of the Brenner railway tunnel, November 2015
- Resolution on joint package of measures for modal shift, November 2015
- Conference on cross-border transport (legal aspects), May 2012

### *Projects and expertise*

Cross-border public transport connections (Euregio logo on trains), EuregioFamilyPass and Euregio Pass for students and pupils for cross-border public transport.

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*Euregio Senza confini*

Veneto, Friuli Venezia Giulia (Italy), Carinthia (Austria)

Transport, infrastructure, logistics forms one of the six priority areas of collaboration.

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*Europaregion Adria-Alpe-Pannonia*

Veneto, Friuli-Venezia-Giulia (Italy), Carinthia, Burgenland, Styria (Austria), Hungary, Croatia, Serbia, Slovenia

No activity until now, new project.

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*Euregio Zugspitze-Wetterstein-Karwendel*

Landkreis Garmisch-Partenkirchen (Germany), Innsbruck (Seefelder Plateau) and Außerfern (Austria)

<http://www.euregio-zwk.org/>

*Projects and expertise*

Two EU-funded projects that concern mobility:

- "Hiking with public transport in the Alpine park Karwendel"
- "Signage of Loisach bicycle route"

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*Euregio Inn Salzach*

Bezirke Braunau, Grieskirchen, Ried, Schärding (Austria)  
Landkreise Passau, Rottal-Inn, Altötting, Mühldorf, Traunstein (Germany)

<http://inn-salzach-euregio.at/>

Transport is not among the priorities defined by the statutes. Cooperation focuses on education, art and culture, environmental protection, science and local history.

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*Euregio Inntal-Chiemsee-Kaisergebirge-Mangfalltal*

Landkreis Rosenheim, Landkreis Traunstein (Germany), Bezirke Kufstein, Kitzbühel (Austria)

<http://euregio-inntal.com/>

The members regularly discuss matters of transport, in particular the control of toll stickers along the German-Austrian border and the expansion of the cross-border public transport offer.

*Legal and political outcomes*

Discussions, transport summit on the control of toll stickers at the German-Austrian border, 2013

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*Euregio Via Salina*

Allgäu (Germany), Außerfern with Tannheimertal, Vorarlberg (Austria)

<http://www.euregio-via-salina.de/>

No projects on mobility so far.

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*Euregio Salzburg - Berchtesgadener Land - Traunstein*

Landkreis Berchtesgadener Land, Landkreis Traunstein, Landkreis Altötting (Germany), Salzburg, Flachgau, Tennengau, Pongau, Pinzgau (Austria), Tyrol, Upper Austria.

<http://www.euregio-salzburg.eu/>

The Euregio has set up a transport working group. The statutes define proposals for transport connections as one working priority.

*Legal and political outcomes*

Resolution on important railway projects for the Euregio that calls for a fast improvement of railway connections, November 2012

*Projects and expertise*

Publication on Euregio public transport offer every two years

Different INTERREG projects on transport, e.g.:

- "Cross-border hiking, skiing and bicycle tours by rail and bus"
- "EuRegio-railways, feasibility and impact"
- "Intelligent efficient mobility"

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*EGTC Parc européen Parco europeo Alpi Marittime – Mercantour*

Parc National du Mercantour (France), Parco Naturale Alpi Marittime (Italy)

<http://fr.marittimemercantour.eu/>

No activity in the field of transport.

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*Eurorégion Alpes Méditerranée*

Regions Valle d'Aosta,  
Piedmont, Liguria (Italy),  
Provence-Alpes-Côte d'Azur,  
Rhône-Alpes (France)

<http://www.euroregione-alpi-mediterraneo.eu>

Accessibility and transport is one of the priorities defined by the statutes. The thematic focus lies on sustainable transport, interregional connections and intermodality. The Italian region Piedmont is responsible for this thematic area of cooperation. The Eurorégion wants to foster connections through analyzing gaps. Furthermore, it aims at developing and implementing a master plan for infrastructure, coordinating timetables and improving information and safety.

*Legal and political outcomes*

In a common position paper, which was also submitted to the EU Commissioner for Regional Policy in 2012, the political representatives supported more investments in infrastructure, an improvement of the cross-border network and interoperability and the building of the railway connection Lyon-Turin.

In 2009, the regions initiated a meeting with further Alpine regions on the subject of transport. They agreed on a common declaration that demands a better coordination of studies and works, an internalization of external costs, improvements in intermodality and interoperability and a general support for modal shift policies in Alpine regions.

### 3.2. EU INTERREG projects

Apart from a wide variety of cross-border regimes, projects in the framework of EU INTERREG provide an arena for cross-border cooperation in the field of transport. Key projects already involve actors from different geographical areas, territorial levels and sectors. Therefore, the following analysis of projects aims at giving an overview of conducted activities, involved actors and possibilities for further collaboration.

#### 3.2.1. INTERREG III B Alpine Space Programme 2001-2006

The transport priority pillar of INTERREG III aimed at fostering the development of sustainable transport systems with particular consideration of efficiency, intermodality and better accessibility. 9 projects were financed under this priority for a total amount of 25,1 million euros (approx.) from which 12,2 million (approx.) were covered by ERDF (European Regional Development Fund). INTERREG III established two key measures for transport projects: One key measure promoted the development of common perspectives and analysis in order to raise common issues and to propose common solutions for transport problems. The measure intended to support the different actors of mobility by drawing their attention on long-range issues concerning sustainable transport. Traffic evolution, environmental and spatial concerns, technical regulations or improved connections were issues that could be addressed through this measure. The second key measure promoted the development of intelligent solutions to upgrade existing transport systems or to develop future ones. The scope of projects embraced all aspects of mobility on different scales and fields of action. Passenger or good transport, infrastructure or mobility management, local or European concerns could thus be considered. As prerequisites of actions, INTERREG III called project partners to consider sustainability as well as positive spatial and environmental impacts. In this concern, special emphasis was given to innovative on-site-solutions for intermodality and environmentally sound transport modes in order to achieve a better integration of the various transport systems.

The project **ALPINE AWARENESS – Transalpine Awareness Raising for Sustainable Mobility** run from 10/2003 - 06/2007. The "Alpine Awareness" project partners followed a common main strategy of contributing to sustainability in transport in the Alpine Region, thus promoting a new, sustainable way of life in the Alps. Alpine Awareness dealt with the provision and dissemination of information about sustainable development in the transport and mobility sector. According to the project's self-evaluation, provision and dissemination of information were important instruments for the creation resp. strengthening of awareness for problems related to the impacts of

transport on environment and health. The project partners wanted to create a number of common products, taking user-specific approaches and profiting from the advantages of transnational synergies. The common products were meant to have regional mutations, which could be flexibly applied in the regions.

The project objectives were: Transport, particularly motorised traffic, since it has a substantial impact on environment (air quality, noise, water etc.) and health in the Alpine region. The project aimed at contributing to sustainable development by reducing traffic-related emissions, thus implementing the strategies of EU and national policies, by taking a target group-specific approach:

- Young people were involved as an authentic target group for putting measures of transport policy into effect. The project intended to make young people aware of multimodal mobility options other than the mere use of a car. By using a peer-group approach young people became directly concerned and motivated to find solutions for their needs.
  - Being directly involved in the design and organisation of public transport offers and services, employees and operators in transport and tourism were another important target group for awareness-raising measures.
  - Specific measures for a sensibilisation for sustainable mobility via PR and marketing campaigns and products targeted the general population and have a special focus on families, employees and students.
- 
- Provincia di Belluno (Italy)
  - Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft Abteilung V/5, Verkehr, Mobilität, Siedlungswesen und Lärm (Austria)
  - Bundesministerium für Verkehr, Innovation und Technologie (Austria)
  - Bundesministerium für Wirtschaft und Arbeit, Abteilung Tourismus-Förderungen (Austria)
  - DOLOMITI BUS S.P.A. (Italy)
  - Gemeinde Bad Hofgastein (Austria)
  - Gemeinde Werfenweng (Austria)
  - Ökoinstitut e. V. Freiburg (Germany)
  - Ökoinstitut Südtirol / Alto Adige (Italy)
  - Regione Autonoma FVG Direzione Regionale del Commercio, del Turismo e del Terziario (Italy)
  - Regione Autonoma Valle d'Aosta - Assessorato Turismo, Sport, Commercio, Trasporti e Affari Europei (Italy)

- Rhône-Alpénergie-Environnement (France)
- Technische Universität München (Germany)

**AlpenCorS: Alpen Corridor South 12/2002 - 08/2005** - Bottom up multidisciplinary approach to the TEN-T Corridor V implementation strategy

- Regione Veneto
- Amt der Niederösterreichischen Landesregierung - Gruppe Raumordnung und Umwelt Abteilung Gesamtverkehrsangelegenheiten (Austria)
- Austrian Research Centers, Seibersdorf research GmbH, Division of Intelligent Infrastructures and Space Applications (Austria)
- Centro Ricerche Fiat S.C.p.A. (Italy)
- Centro Studi Sistemi di Trasporto s.p.a. (Italy)
- Dipartimento Interateneo Territorio, Politecnico of Torino (Italy)
- Dipartimento di Scienze economiche – Università Ca' Foscari di Venezia (Italy)
- École Nationale des Travaux Publics de l'Etat – FORMÉquipe (France)
- GeoVille Informationssysteme GmbH (Austria)
- HERRY Consult (Austria)
- INTI Studio and Partners (Italy)
- Ministrstvo za Okolje in Prostor - Urad RS za Prostorsko Planiranje (Slovenia)
- Provincia Autonoma di Trento (Italy)
- Regione Piemonte (Italy)

*AlpenCorS* provided for some original governance instruments. According to the project's design, the territorial dimension of the corridor requires an integrated approach declinable according to the reference scale: "In the case of vast areas interregional agreements promoted by the State as a pre-condition for financing infrastructural works in individual regions are necessary. On a local level it is necessary to think about mechanisms that can award (finance) territorial projects that are integrated with infrastructural investments that interact with the territorial structure starting with the investments underway. The strategy for acquisition of agreement for a project that has already been defined leads to an increase in project costs due to ex post mitigation and compensation works, putting its own feasibility at risk, without generating benefits on the territory and without succeeding in producing a true territorial project that is capable of integrating the value of the new infrastructure."

## **ALPCheck - Alpine Mobility Check 07/2006 - 06/2008**

AlpCheck aimed to create an informative system able to manage data coming from the existing monitoring systems in the Alpine area. The system was designed to adapt itself to multiple requirements and various contexts and different typologies of travel. Tasks integrated with the system and developed through pilot projects were:

- To investigate with innovative technologies local, tourist and freight flows
  - To analyse the consequences of the traffic in environmental critical points
  - Taking into account the strategic importance of logistic platforms as preferred sites where freights could be analysed and intermodality may be optimised
  - To underline in the whole mobility network the routes of “empty trucks” in order to define a freight flow re-allocation.
- 
- Autorità Portuale di Venezia (Italy)
  - Carinthia Regional Government Administration (Department 7 - Common Law and Infrastructure) (Austria)
  - CSST - Centro Studi sui Sistemi di Trasporto (Italy)
  - European Academy Bolzano (Italy)
  - IREALP - Institute for Research on Ecology and Economy of the Alpine area (Italy)
  - OMEGA consult, projektni management, d.o.o., Ljubljana (Slovenia)
  - Paradigma Unternehmensberatung GmbH (Austria)
  - Regione Autonoma Valle d’Aosta - Direzione Protezione Civile - Servizio Interventi Operativi - Ufficio Meteorologico (Italy)
  - SLALA - Porta Logistica del Sud Europa (Italy)
  - TCI Röhling - Transport Consulting International (Germany)
  - The Interdisciplinary Centre for Comparative Research in the Social Sciences – ICCR (Austria)
  - University of Maribor – Faculty of Engineering (Slovenia)

## **AlpFRail - Operation solutions for the transalpine railway freight traffic for sustainable management of connections of the economic areas within the alpine space. 02/2003 - 07/2007**

The project aimed to create a sustainable mobility concept and to offer to master the transalpine freight traffic by using existing (railway) infrastructure. Moreover, AlpRail wanted to install a prototype of an information and quality assurance system for a

better execution of the transalpine freight traffic on rail taking into account the Life Cycle Assessment (LCA) for logistic and transport solution, to create an overall supply for the target group, and to verify the system in 2 pilot cases. Overall, the intention was to systematically meet the political aims of the ESCP and the "Alpine Convention" for sustainable transport solutions. Project focus was on the traffic of economical centers among the alpine space including the interface to neighbor regions. The main objective was to enhance the acceptance of the railway as alternative and complemented transport media to prevent the alpine space from an economical, environmental and traffic disaster.

- Logistik-Kompetenz-Zentrum Prien am Chiemsee +
- Amt der Vorarlberger Landesregierung (Austria)
- Autorità Portuale di Venezia (Italy)
- Bundesministerium für Verkehr, Innovation und Technologie (Austria)
- DB Netz AG (Germany)
- Deutscher Verband für Wohnungswesen, Städtebau und Raumordnung e.V. (Germany)
- Kärntner Landesregierung (Austria)
- Province of Alessandria (coordinating the ligurian ports B182 and Local Logistic platforms Rivalta Scrivia (Italy)
- Provincia di Brescia (Italy)
- Provincia di Mantova (Italy)
- Regionalverband Donau-Ilser (Germany)
- Regione Autonoma Friuli-Venezia-Giulia (Italy)
- Regione Veneto (coordination Port of Venice, Unioncamere, Interporto Padova, Interporte Verona (Italy)
- Salzburger Landesregierung (Austria)
- Veneto Union Chambers of Commerce - Department for European Policies (Italy)

### **MOBILALP - Alpine Mobility Management - 12/2004 - 12/2007**

Facing similar issues throughout the Alpine Space, the MOBILALP project partners wanted to develop a more sustainable and coherent mobility through adapted common answers. The objectives of the project were therefore to increase the uses of clean, soft, and collective transports and to reduce individual motorised mobility through improved information and services to transport users as well as innovative

transport offers and improved access to collective mobility. The project thus also contributed to better spatial organisation in the Alpine Space at both local and regional levels. Experimentations and pilot actions developed innovative and sustainable transport offers. These actions focused on given scales (local, inter-urban...) or given groups (young people, workers, tourists...). Good practises was then planned to materialise through a Charter on sustainable mobility in the Alps.

- Conseil Général de la Haute-Savoie (France) +
- Bundesministerium für Land-und Forstwirtschaft, Umwelt und Wasserwirtschaft (Austria)
- Bundesministerium für Verkehr, Innovation und Technologie (Austria)
- Citta' di Aosta (Italy)
- Conseil Général de la Haute-Savoie (France)
- Dolomiti Bus (Italy)
- Gemeinde Werfenweng (Austria)
- Land Salzburg (Austria)
- Land Steiermark (Austria)
- Marktgemeinde Bad Hofgastein (Austria)
- Region Autonome Vallée d'Aoste (Italy)
- Regionaler Entwicklungsverband Eisenerz (Austria)
- Regione Friuli Venezia Giulia (Italy)

### **MONITRAF - Monitoring of Road Traffic related Effects in Alpine Space and Common Measures 01/2005 - 06/2008**

- Governmental Office of Tyrol (Austria)
- Amt für Luft und Lärm, South Tyrol (Italy)
- Direction des Transports et Technologies de l'information, Region Rhône-Alpes (France)
- Europäische Akademie Bozen (Italy)
- Regione Piemonte - Agenzia regionale per le protezione ambientale (Austria)
- Valle d'Aosta - Agenzia Regionale per la Prevenzione e Protezione Ambientale (Italy)

The project intended to strengthen the interregional exchange of traffic related effects and monitoring results in the Alps. In the participating regions, monitoring networks were already established and first results available. The project's key idea was to use

these results for establishing the interregional exchange about the interpretation and consequences: Identify the road traffic related effects on the Alpine space, analyses of the state of every partner region, define a set of indicators for sustainable development, discuss past and actual values of the indicators, formulate interpretations of the actual and future state in the regions. The main objective was to identify common measures to reduce negative impacts and to increase quality of life assuring a sustainable approach. Measures were formulated on the administrative level where the regional authorities were involved. The activities focused on the three severely threatened transalpine crossing areas: Montblanc, Gotthard and Brenner.

MONITRAF also considered key components of governance within a concept for a MONITRAF monitoring system. The MONITRAF monitoring system aimed at comparing environmental pressures and burdens from Alpine traffic. Data on concentration levels and emissions were periodically presented in a comparable and representative way in order to allow an optimum design of common measures. The monitoring system was further meant to facilitate an evaluation of the effectiveness of common measures. This required both a continuous monitoring of the environmental situation (time-series) as well as an exchange on implementation, enforcement and success of the Best Practices with regard to other aims. With respect to regional measures, the monitoring system was seen as a basis to trigger off intervention measures when threshold values (e.g. critical concentration levels) are exceeded.

### **ALPNAP- Monitoring and Minimisation of Traffic-Induced Noise and Air Pollution Along Major Alpine Transport Routes 01/2005 - 02/2008**

- Deutsches Zentrum für Luft und Raumfahrt+
- Agenzia Regionale per la Protezione dell'Ambiente del Piemonte (Italy)
- Centre d'Etudes Techniques de l'Equipement de Lyon (France)
- Centre Scientifique et Technique du Bâtiment (France)
- Forschungszentrum Karlsruhe - Atmosphärische Umweltforschung (Germany)
- Istituto di Scienze dell'Atmosfera e del Clima - CNR (Italy)
- Medizinische Universität Innsbruck (Austria)
- Technische Universität Graz (Austria)
- Università degli Studi di Trento (Italy)
- Universität für Bodenkultur (Austria)
- Universität Innsbruck (Austria)

This project brought together a network of regional experts aiming at the integrated use of advanced science-based methods to monitor, assess, and predict air pollution and noise and their impact on the environment, quality of life and health along major transport routes. These methods were adapted to the Alpine topography and its specific meteorological phenomena as they amplify the levels of concentration and noise. The purpose of the project was to promote these methods to regional and local authorities, to supplement standard methods towards more reliable predictions and scenario assessments, to quantify the tolerable limits of emissions if given air quality and noise standards are met, and to assess the environmental impact of traffic flow changes due to regulations, new infrastructure, or modal shifts. The project wanted to enhance the understanding of local people and their political/societal representatives to the interdependency between natural processes and air quality and noise in the sensitive Alpine area. ALPNAP considered elements of inclusive governance to some extent. The envisaged output was to mark steps towards a dialogue between researchers and administrations: Hence, a systematic, Alpine-wide co-operation of experts was missing in the past and the dialogue between researchers and administrations was not very intensive. The ALPNAP project was thus designed to overcome these deficiencies. Finally, recommendations for authorities and consultants were worked out how to best assess the environmental impact of administrative measures, incentives and new infrastructure, thereby properly considering the complexity of natural processes in the Alpine region.

The added value of ALPNAP was increased by a coordinated cooperation with MONITRAF. The objectives of MONITRAF were to develop comprehensive measures that aim at reducing the negative effects of road traffic, while simultaneously enhancing the quality of life within the Alpine region.

### 3.2.2. Alpine Space Programme 2007–2013

#### **AlpCheck2**

This project looks into the sharp increase in road traffic volumes observed in the last few decades. For the project partners, this called for integrated territorial strategies aimed at improving traffic efficiency and favouring a modal shift, whilst at the same time exploiting the potentials of ICT. AlpCheck2 responded to these challenges by proposing innovative solutions to the provision of traffic monitoring and management services. The project developed, tested and evaluated specific methods and tools for enhancing road transport efficiency, competitiveness and sustainability. It now provides

free on-line access to a vast set of traffic data combined with future traffic scenarios and environmental data, which are ready to use for traffic monitoring and management. Key achievements are a Transport Decision Support System (with a transportation planning and traffic management tool) and 17 traffic scenarios. It also provides for a platform for an on-line freight stock market and a methodology for evaluating modal shift policies.

- Regione del Veneto
- Amt der Kärntner Landesregierung
- Oberste Baubehörde im Bayerischen Staatsministerium des Innern
- TCI Röhling - Transport Consulting International
- Centre d'Etudes Techniques de l'Équipement, CETE Méditerranée
- Autorità Portuale di Venezia
- Ente Regionale per i Servizi all'Agricoltura e alle Foreste -
- ERSAF Lombardia
- Ministero dell' Ambiente, della Tutela del Territorio e del Mare
- Regione Autonoma Valle d'Aosta
- Republika Slovenija, Ministrstvo za promet,
- Direkcija Republike Slovenije za ceste

### **AlpInfoNet - Sustainable Mobility Information Network for the Alpine Space - 01/07/2012-30/06/2015**

Although sustainable modes of transport exist in the Alps, it is often hard to find cross-border and transnational information on how to access them. AlpInfoNet therefore aimed at improving and connecting pre-existing transport and tourism information systems in order to facilitate mobility within pilot regions. Besides providing easily-accessible, reliable and transnational information about environmentally friendly modes of transport, the project also aimed at stimulating overall public transport use thanks to its harmonisation of information systems. In addition, AlpInfoNet produced strategies for technical data exchanges between different kinds of mobility networks.

According to the project's self-evaluation, it was not easy to create a Sustainable Mobility Information Network for the whole Alpine Space. "The five participating heterogeneous countries are on (very) different levels with their national information systems regarding legal and technical requirements. The regional, local and national stakeholders in tourism and transport needed to be convinced and involved with high

communication effort. Project partners not only from public side (ministries etc.) but from private companies (eg tourism associations or transport providers) could have helped the project a lot from the beginning, with a PPP (public private partnership) not only AlpInfoNet but also other european projects would have a better implementation."

- Bayerisches Staatsministerium des Innern, für Bau und Verkehr
- Amt der Vorarlberger Landesregierung
- Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft (BMLFUW)
- Regionsmanagement Osttirol
- Bundesministerium für Verkehr und digitale Infrastruktur
- Ministère de l'Écologie, du Développement Durable et de l'Énergie
- Region Provence-Alpes-Côte d'Azur
- Region Rhône-Alpes
- Comune di Gorizia
- EURAC Accademia Europea di Bolzano
- Politecnico e Università di Torino
- Regione Piemonte
- RRA severne Primorske d.o.o.

### **CO2-NeuTrAlp CO2-Neutral Transport for the Alpine Space - 09.2008 - 01.2012**

CO2-NeuTrAlp wanted to showcase the applicability of innovative transport technologies in combination with intelligent mobility schemes and the use of endogenous renewable energy technologies in the Alps. Project activities helped to increase the use of public transport and to reduce unnecessary trips. Most of the locally implemented activities were perennial and some have been extended to entire regions. The project resulted in the identification of sustainability criteria for renewable energies in Alpine Transport, two guidelines on local actions

to promote the shift towards solar mobility (1 for decision makers and 1 for transport professionals). Moreover, the project introduced a proper "Participative planning tool" for introducing alternative vehicle technologies and services at the local level. The tool consists of a 8 step procedure, transferable to other areas.

- B.A.U.M. Consult GmbH, München
- Austrian Mobility Research, FGM-AMOR, GmbH

- Holding Graz - Kommunale Dienstleistungen GmbH
- AllgäuNetz GmbH & Co. KG
- Helmholtz Zentrum München GmbH
- Rhôneénergie-Environnement
- Comune di Padova, Ufficio Mobilità Ciclabile
- Comune di Torino - Settore Sostenibilità Ambientale, Settore Relazioni
- Internazionali; GTT - Gruppo Torinese Trasporti S.p.A
- Dolomiti Bus Spa
- Parco Nazionale Cinque Terre
- Provincia di Belluno, Servizio Mobilità e Trasporti
- Provincia di Brescia, Assessorato Trasporti
- Università Bocconi, CERTeT - Centro di Economia Regionale,
- dei Trasporti e del Turismo
- Center za razvoj Litija, d.o.o.
- Univerza v Mariboru, Fakulteta za Gradbeništvo

**iMONiTRAF! Implementation of MONITRAF (Monitoring of road traffic related effects in the Alpine Space and common measures) - 01/07/2009 - 30/06/2012**

- Zentralschweizer Regierungskonferenz der Kantone Luzern, Uri,
- Schwyz, Obwalden, Nidwalden, Zug
- Amt der Tiroler Landesregierung
- Canton Ticino
- Region Rhône-Alpes
- ARPA Friuli Venezia Giulia - Agenzia Regionale per la
- Prevenzione e Protezione Ambientale
- ARPA Piemonte - Agenzia Regionale per la Prevenzione
- e Protezione Ambientale
- ARPA Valle d'Aosta - Agenzia Regionale per la Prevenzione
- e Protezione Ambientale
- Autonome Provinz Bozen-Sudtirol / Provincia Autonoma
- di Bolzano-Alto Adige
- EURAC Accademia Europea di Bolzano
- Regione Autonoma Valle d'Aosta

Building on MONITRAF, alpine regions joined forces in the frame of iMONITRAF! to develop a common transport strategy and to establish a political network. The project activities focused on three main directions. The MONITRAF common monitoring system has been further developed with evaluation instruments (DPSIR-system), pilot activities and an innovative IT-tool (WebGIS-system). Results of these monitoring activities showed the need for common measures, for which a Best Practice Guide and a report on innovative approaches provide further insights. The knowledge gained during the project was the basis for developing the common strategy - including a target system and specific recommendations for common measures. The three Transport Forums organised in the framework of the project provided a platform for discussing this common strategy and for effectively building the political network. As all Alpine regions recognise the value of this political network, it has been agreed to continue the cooperation beyond the end of the project. The common monitoring activities have led to the following main achievements:

- A database with information on 12 core indicators which is accessible via a WebGIS system,
- A decision-making tool based on the DPSIR-framework to analyse policy scenarios
- Pilot activities on air and noise monitoring provided detailed information regarding the harmonisation of measurements
- A guideline on noise measurements

Key achievements regarding an improved knowledge on common measures were:

- The Best Practice Guide provides detailed information on existing regional measures, their effectiveness and their implementation process. It also provides "decision-making-aids" on how to transfer promising measures to other regions.
- The report "Innovative approaches - the regional viewpoint" develops recommendations on how to push innovative technologies and on a potential steering instrument.
- Detailed analysis on regional level provide information on harmonising regional measures (study on night driving ban Tirol).
- The regional viewpoint on common measures could be strengthened during three corridor workshops on the Gotthard and Brenner corridors.

The political networking activities led to the establishment of a long-lasting political network that shall be continued beyond the project lifetime, the development of

several political motions (e.g. a statement on the new EU Transport White Paper), the development and signature of a common strategy.

iMONITRAF! specifically mentions the role of NGOs in transalpine transport policy: The Alpine Initiative is a Swiss association which has launched the Article on the Protection of the Alps in the Swiss Constitution which contains the modal shift aim. The Alpine Initiative now develops ideas and recommendations on how to reach the modal shift aim. To protect the Alpine region from the negative effects of transit traffic, the Alpine Initiative recommends a clear information on transit traffic and its effects on mountain regions and aims at a cooperation with other stakeholders who support a sustainable transformation of the Alpine transit traffic. The Alpine Initiative also is an important advocate of the Alpine Crossing Exchange. The network of municipalities "Alliance in the Alps" is an association of local authorities and regions from seven Alpine states and was founded in 1997. It supports the basic and guiding principles of the Alpine convention. The network specifically supports innovative approaches to reduce the growing passenger and freight traffic volumes and aims at shifting traffic to less polluting transport modes and to support sustainable mobility in the Alps.

To ensure synergies with other organisations, the network of communities offers an exchange of experience and information beyond the boundaries of language and culture. The International Commission for the Protection of the Alps (Commission Internationale pour la Protection des Alpes, CIPRA) supports the objectives of a sustainable development in the Alpine Space. Since 1952, CIPRA has worked towards the creation of an international agreement for full protection of the Alpine Space and has initialised the discussion on the Alpine Convention. Today CIPRA is supporting and monitoring implementation of the Alpine Convention. The organisation has official observer status within the Alpine Convention process, attends the Alpine Conferences and is active in a number of working groups. CIPRA is pursuing a double strategy: on the one hand a top-down approach with the Alpine Convention, and on the other a bottom-up approach involving various projects, initiatives and networks with an exchange on Best Practices.

Best Practices implemented in iMONITRAF! regions have led to a reduction of air pollution in the Alpine Space and contributed to a shift from road to rail. Especially the impacts of some regulatory measures were very straightforward (overall night driving ban to reduce negative noise impacts, a ban of high-emission vehicles leading to a modernisation of the vehicle fleet). As some regions have the power to implement regulatory measures on a regional level, they have made broad use of such instruments. The broadest approach concerning regulatory measures has been taken by Tyrol where

a combined use of speed limits, temporal and emission-related driving bans and the new sectoral driving ban work hand in hand to reduce transalpine traffic and its negative environmental impacts. Also the Italian regions, Rhône-Alpes and the Swiss regions have implemented Best Practices in this field.

In the framework of the MONITRAF resolution of 23<sup>rd</sup> January 2008, the Alpine Regions developed a common and sustainable strategy for transalpine traffic. More particularly, they stressed the importance of harmonised and coordinated transport policies, including both EU member states and Switzerland, in order to prevent any imbalance between transport corridors and to enable true synergy between regional initiatives.

**PARAMOUNT - imProved Accessibility: Reliability and security of Alpine transport infrastructure related to mountainous hazards in a changing climate - 09.2009 - 11.2012**

- Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft
- Bundesforschungs- und Ausbildungszentrum für Wald, Naturgefahren und Landschaft
- OBB-Infrastruktur AG, Strecken- und Bahnmanagement
- Bundesamt für Umwelt (BAFU)
- Eidgenössische Forschungsanstalt für Wald, Schnee und Landschaft, WSL
- IRSTEA, (ex-Cemagref) groupement de Grenoble
- ARPA Piemonte- Agenzia Regionale per la Prevenzione e Protezione Ambientale
- ARPA Veneto- Agenzia Regionale per la Prevenzione e Protezione Ambientale
- Autonome Provinz Bozen-Südtirol / Provincia Autonoma di Bolzano - Alto Adige
- Provincia Autonoma di Trento
- Università di Padova
- Podjetje za urejanje hudournikov d.d.
- Univerza v Ljubljani

This project focused on the vulnerability of transport infrastructure to natural hazards and how transport and accessibility need to be secured and ensured in the Alps. Within the framework of PARAMOUNT, existing tools and practices for assessing avalanches, rock fall and debris flow were improved and tools on the visualisation of natural hazard impacts were developed and assessed. In addition, hazard early warning systems were installed in the pilot areas, increasing the reliability of risk forecast. The project established several risk dialogue groups with experts across the whole Alpine region.

The project issued a Risk Management and Implementation Handbook, a Decision support tool for natural hazards, and forecast system guidelines. Improved communication was achieved between road infrastructure providers, rail track maintenance authorities and hazard management services, generating major benefits for cross-sector natural hazard disaster management for transport infrastructure. Risk communication with local stakeholders was seen as essential to enforce acceptance of temporal mitigation measures (e.g. road or rail closures) and to improve the effectiveness of decision-making on the local level. The project also stressed the importance of a participatory approach to bridge the gap between science and practice.

#### **PlatF.O.R.M. - Platform to Form Opinions Related to Mobility - 09.2013 - 11.2014**

- Comitato Promotore Transpadana
- Technische Universitat Wien
- Comite pour la liaison europeenne Transalpine
- Provincia di Torino
- Regione del Veneto

PLAT.F.O.R.M. involved 5 partners from Italy, Austria and France, and aimed at integrating social sustainability into infrastructures and transport decision-making processes in Alpine Space areas. In this framework, partners developed actions to transform stakeholders role in an integrated and necessary part of the decision-making process. The project developed a prototype of an adaptive questionnaire to enlarge public participation in the decision making process. To raise awareness on socially sustainable and participated decision-making processes, partners created and tested specific didactic tools for pupils and teenage students, webinars methodologies for universities, summer school for local administrators and seminars for local authorities. PLAT.F.O.R.M. set a basis for future activities and cooperation aiming at integrating achieved results and improving public participation in decision-making, stressing the importance of social sustainability. Key achievements were the "Active Capitalisation Matrix", a questionable ([www.platformproject.eu](http://www.platformproject.eu)) tool, which contains information about previous Alpine Space projects. The matrix gives results through specific queries aiming at ranking each project according to its relevance towards social sustainability. The Adaptive Questionnaire Prototype is a web-based tool to enhance public participation in decision-making processes. PLAT.F.O.R.M., developed five participatory tools: Two didactic tools ("Forum des enfants citoyens", making children debating

around topics related to European citizenship, public participation and sustainable mobility and "PLAY.F.O.R.M.", a role game simulating a decision-making process); a webinar format for universities to reinforce the concept of social sustainability; a summer school to sensitise public administrators about social sustainability in infrastructure planning; and a seminar for local authorities, "ForMobility", to stimulate effective interactions within local communities. PLAT.F.O.R.M. was successful especially in developing tools able to involve target groups: the piloting phase counted almost 400 participants and received an overall positive feedback. These differentiated tools, developed according to the characteristics of the target group of reference, represented the key factor for success of this project. They all have been developed with the common aim of actively involving participants, debating, playing or providing feedbacks around public participation and social sustainability.

### **PUMAS - Planning Sustainable regional-Urban Mobility in the Alpine Space - 07.2012 - 06.2015**

- Comune di Venezia
- Magistrat der Stadt Wien
- FernUniversität in Hagen
- Landeshauptstadt München
- Münchner Verkehrs- und Tarifverbund GmbH
- Chambre de Commerce et d'Industrie de Lyon
- Rhonalpennergie-Environnement
- Citta di Torino
- UIRS - urbanistični inštitut republike slovenije
- Mestna občina Nova Gorica

PUMAS tested a pre-existing sustainable and participatory approach to mobility called "Sustainable regional-Urban Mobility Planning" (SUMP), which integrates various policy levels and stakeholders in the mobility planning process. SUMP was implemented in 7 pilot areas, through activities ranging from goods delivery to public transport journey planners, so as to generate best practices for the rest of the Alpine Space. Furthermore, the project set up a National and Alpine Reference point for SUMP, thereby ensuring its sustainability after the closure of PUMAS. The main objective of PUMAS was to coordinate the development of the Sustainable regional-Urban Mobility Planning (SUMP) concept and methodology, which the European Commission strongly

promoted. The main characteristics of SUMP are the active involvement of stakeholders, the commitment to sustainability, the inclusion of all steps of the life cycle of policy making. PUMAS tested the SUMP methodology and process in 7 pilot projects in Venice, Turin, Lyon, Munich, Vienna, Nova Gorica, building up the PUMAS Alpine Space Community, improving the awareness, exchange, coordination and development of regional-urban mobility plans as well as create the conditions in order to promote a SUMP approach in the Alpine Space.

PUMAS' resulted in the setup of a participatory strategy involving citizens and stakeholders throughout the planning process; the generation of best practice and lessons for others in the Alpine Space and beyond; the application of the SUMP methodology and process in 7 pilot activities thus identifying related strengths and weaknesses; the definition of a new methodology in the participatory process, through the "task force" set-up in each pilot projects and the guidelines defined during the Project; and a declaration on institutional cooperation, signed in Munich by all partners, securing future occasions of helping each other. The ASC platform ([www.pumas-asc.eu](http://www.pumas-asc.eu)) aims at increasing knowledge and practice exchange for SUMP in (and outside) the Alpine Space.

### **SusFreight - Sustainable Freight Transport – Now and Tomorrow 09.2013 - 11.2014**

- Deutscher Verband für Wohnungswesen, Städtebau
- und Raumordnung e.V.
- Entwicklungsagentur Karnten GmbH
- Wirtschaftsförderung Region Stuttgart GmbH
- Unioncamere del Veneto
- Venice International University
- Ministrstvo za infrastrukturo in prostor

By capitalising on previous project results, SusFreight aimed to bring consistency to current and future transport policies, while addressing environmental problems tied to a heavy flow of traffic. After mapping the needs of all relevant stakeholders, the project has presented recommendations and raised awareness among policy makers on various levels, so as to hopefully increase sustainable freight transport in the future.

## **TranSAFE-Alp - connecting Transport regional networks to Security and emergency Advanced Strategy Frameworks of EU and Alpine regions - 09.2011 - 08.2013**

- Regione del Veneto
- Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft (BMLFUW)
- Fachhochschule Vorarlberg GmbH
- Arbeitsgemeinschaft Geoinformationssysteme (AGIS), Universität der Bundeswehr München
- Steinbeis-Innovationszentrum Logistik und Nachhaltigkeit der Steinbeis Innovation gGmbH
- AISCAT Servizi srl
- Fondazione Bruno Kessler
- Provincia di Belluno
- Provincia di Torino
- Regione Autonoma Valle d'Aosta
- Società Italiana Traforo Autostradale del Frejus
- Prometni institut Ljubljana d.o.o.

TranSAFE-Alp improved transnational cooperation in emergency planning, by supporting joint crisis-management and knowledge-sharing between transport operators, civil protection and key decision-makers. The project developed an integrated Decision Support System called JITES ( Joint integrated ICT for Emergency and Security management), which was used to run successful security management simulations. The project also brought about a "Transnational agreement for security and emergency plans and tools within the AS transport network" ([http://www.alpine-space.org/2007-2013/uploads/tx\\_txrunningprojects/Signed\\_MoUs.pdf](http://www.alpine-space.org/2007-2013/uploads/tx_txrunningprojects/Signed_MoUs.pdf)),

"Harmonisation guidelines based on JITES experience" as a comprehensive document that synthesises how the use of JITES platform can be improved considering the results of TranSAFE-Alp pilot activities, the "Transnational ITS/TMC ICT upgrading plan" as an advocacy document that underlines the key governance steps for a joint transnational upgrading plan to support JITS future enhancement and improved decision-making in transport security initiatives.

## **Transitects - Transalpine Transport Architects - 07.2009 - 09.2012**

- Deutscher Verband für Wohnungswesen, Städtebau und Raumordnung e. V.

- Amt der Karntner Landesregierung
- Amt der Salzburger Landesregierung
- Amt der Tiroler Landesregierung
- Bundesministerium für Verkehr, Innovation und Technologie
- Gemeinsame Landesplanungsabteilung der Länder Berlin und Brandenburg
- Regionalverband Donau-Ilter
- Wirtschaftsförderung Region Stuttgart GmbH
- ALOT scrl - Agenzia della Lombardia orientale per i trasporti e la logistica
- EURAC Accademia Europea di Bolzano
- Ministero dell'ambiente e della tutela del territorio e del mare
- Regione Autonoma Friuli Venezia Giulia
- Regione Lombardia
- Regione del Veneto
- Unioncamere del Veneto – Eurosportello del Veneto
- Ministrstvo za infrastrukturo in proctor

Transitects developed rail alternatives to mitigate the negative effects of traffic, taking important steps to strengthen the attractiveness and functionality of the Alpine railway system for freight transport. The project devised numerous measures for the development of transalpine pilot products for combined transport. It also developed pilot projects for unaccompanied and accompanied train services, as well as concepts for improving the functionality of intermodal nodes. More specifically, the project achieved 13 concrete ideas for unaccompanied train services, 4 concepts for accompanied transport services, and 3 concepts for functionality improvements of intermodal nodes.

### **Ongoing INTERREG projects under specific objective 2: Increase options for low carbon mobility and transport**

#### **AlpInnoCT - Alpine Innovation for Combined Transport**

AlpInnoCT tackles the main challenge to raise combined transport efficiency and productivity. The application of production industry know-how in combined transport is a new approach that will be developed in this project. AlpInnoCT contributes to a sustainable system with an easier access to combined transport and fosters the utilisation of this low-carbon transport method. AG4 is already cooperating with the project.

### **ASTUS - Alpine Smart Transport and Urbanism Strategies**

ASTUS aims to help local authorities to identify and implement long-term solutions in both mobility and spatial planning to reduce the CO2 impacts linked to daily trips in the Alps. The spreading of housing and car-dependent structures often compels inhabitants to use their own car for daily trips. ASTUS assists local authorities in identifying and adopting an adequate local low CO2 strategy and action plan, in order to foster long term low CO2 options. By working on five different regions as a sample, the project partners will define transnational solutions, as ASTUS will cover smart options from a sustainable perspective fitting to different Alpine territorial types. AG4 is already linked to the project.

### **e-MOTICON - e-MObility Transnational strategy for an Interoperable COmmunity and Networking in the Alpine Space**

e-MOTICON brings together 15 partners from five countries, involving 40 observers and eight endorsements from each programme area, including managing authorities, regional bodies, research centres and private investors. The partnership aims to support public authorities in ensuring homogeneous development of e-mobility, by using an innovative transnational strategy of integration among spatial planning, innovative business models and technologies, sustainable mobility patterns, energy efficiency instruments and policies, enabling large diffusion of electric charging stations (E-CS) and wider interoperability. As with AlpInnoCT and ASTUS, AG4 has already established a cooperation with the project e-MOTICON.

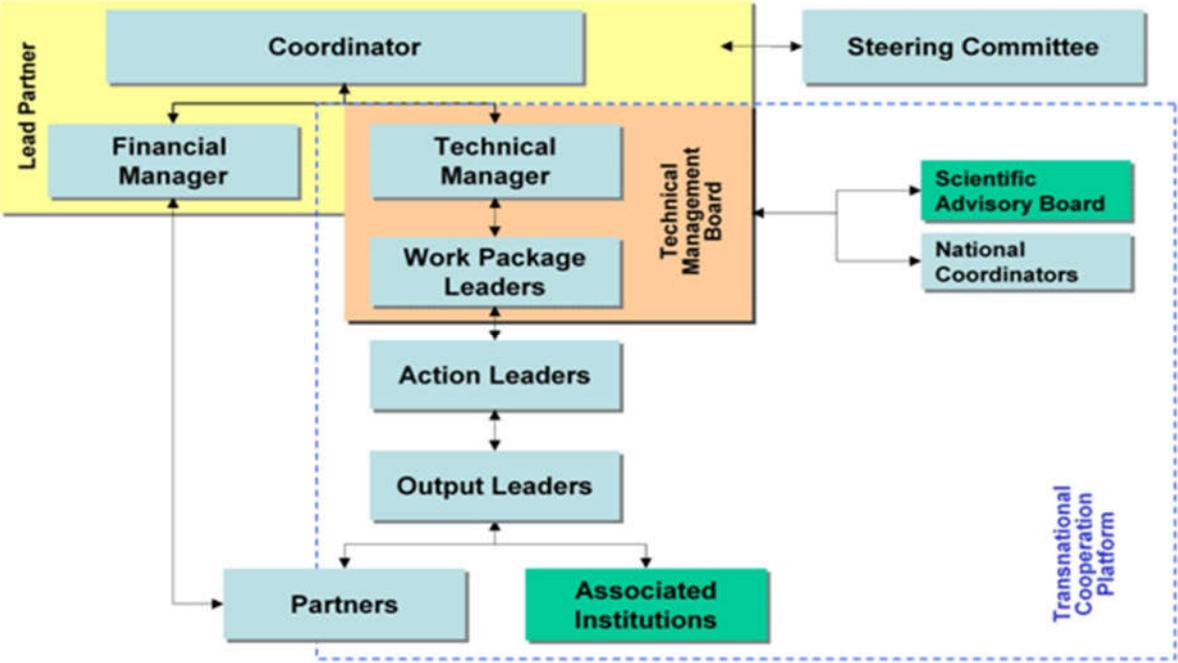
### **Other ongoing INTERREG projects with links to the Alps**

**SULPITER** is financed within the CENTRAL Europe Programme and targets policy-makers in urban areas. The project aims at supporting them in urban freight mobility planning and in developing and adopting sustainable urban logistics plans. Therefore, the project analyses challenges in urban freight, maps stakeholders influencing freight transport and develops sustainable urban mobility plans with the partner cities Bologna, Budapest, Poznan, Brescia, Stuttgart, Maribor and Rijeka. Moreover, the project aims at spreading knowledge through providing trainings for policy-makers. In the end, the project should result in improved policies for energy and environmental sustainability of freight transport in central European functional urban areas.

**Connect2CE** is a further project financed by the CENTRAL Europe Programme. Its aim is to improve the weak accessibility of regional, peripheral and cross-border areas of central Europe to and from main transport networks and hubs. Therefore, the projects elaborates strategies, action plans and tools that are implemented at regional and cross-border level through pilot actions. It focuses on three main areas: connectivity, also with a view to a harmonization of multimodal timetables and regional and cross-border rail services; integrated ticketing and tariff schemes; and implementation of information and communication technology tools on info-mobility. As the project puts its emphasis on the transnational dimension of accessibility, it unites 25 partners from Italy, Hungary, the Czech Republic, Poland, Croatia, Slovenia, Austria and Germany.

**SoNorA** is financed within the Accessibility priority of the CENTRAL EUROPE Programme. It aims to help regions across Central Europe through developing accessibility in South North direction, between the Adriatic and Baltic seas. Led by Veneto Region (Italy), the project consortium is composed of 25 Partners from 6 EU Countries (Austria, Czech Republic, Germany, Italy, Poland, Slovenia) and 35 Associated Institutions.

Figure 3. Governance of the project: SONORA - South-NOrth Axis - Improving transport infrastructure and services across Central Europe



The management structure is based upon:

- Steering Committee, composed of the legal representative for each partner, it convenes for high level management decisions.

- Technical Management Board, composed of the Lead Partner, the Technical Manager and WP leaders, it monitors project progress and facilitates synergies between activities.

The project partners have different roles:

- WP leaders are responsible for the overall progress of WPs.
- Action leaders define roles and responsibilities existing for all partners to sub-activity level.
- Output leader is responsible for managing and developing outputs, where more partners are involved.
- National coordinators are nominated for monitoring and solving problems at the national level, with regards to national SoNorA partners.

As defined by the Central Europe Programme, the SoNorA project is supported by 34 Associated Institutions which are public or private entities that participate to project activities on a voluntary basis. They haven't got any obligations and they do not receive any budget for their involvement. These organisations are encouraged to express their strategic considerations, with regards to specific aims and goals of the project, as well as to access and supply information with regards to both national and international levels.

The Scientific Advisory Board, formed by the University Think Tank, supplies methodological support to WPLs by providing external scientific input on methodology of work plans when requested, and on core outputs revision.

**SCANDRIA** covers a geographic corridor from the European North to the European South, a transnational project family 2009-2012, and several organisations that will form an alliance to encourage closer cooperation. **Scandria®2Act** aims at further developing a governance mechanism that links relevant governance levels and installs a permanent dialogue with regard to the Corridor development, the Scandria®Alliance. The Scandria®Alliance offers a cross-level, corridor-wide platform for communication and cooperation of initiatives from policy, transport and logistics along common cross cutting topics. It supports the Core Network Corridors of TEN-T by establishing a laboratory for a permanent corridor-node dialogue between policy makers, the business sector and innovative milieus.

In Scandria®2Act dialogue is facilitated by the Scandria®Alliance Core Group, a group of representatives of corridor regions that monitor the strategic corridor development and formulate joint positions in relation to it. The Scandria®Alliance Core Group

transposes results identified in the Work Packages “Clean Fuel Deployment” and “Multimodal Transport” to the respective decision-making level. The dialogue addresses stakeholders inside urban nodes for regional and infrastructural development and is fed into the corridor-wide dialogue by the Scandria®-Alliance Core Group representing participating regions.

### **BrennerLEC - 01/09/2016 - 30/04/2021**

- Autostrada del Brennero –Trento (*Project Leader*)
- Agenzia provinciale per l’ambiente –Bolzano
- Agenzia provinciale per la protezione dell’ambiente –Trento
- Università degli studi di Trento
- IDM Südtirol / Alto Adige –Bolzano
- CISMA –Bolzano

BrennerLEC is the contraction of Brenner Lower Emissions Corridor. BrennerLEC aims at making traffic along the Brenner axis more respectful of the local population's health and more compatible with the geographical features of the land, to protect the particular Alpine environment crossed.

A mapping of relevant international regimes and INTERREG projects provides a basis for the work of AG4. In coordinating with existing structures and projects, uniting all necessary actors behind common understandings and aims and developing concrete activities, AG4 realises its cross-border governance capability. Existing cross-border regimes pose gaps, deficits, but also best practice examples for AG4. Therefore, the following chapter analyses deficits and gives recommendations on the basis of an analysis of the mentioned cross-border regimes. It proceeds according to the five dimensions mobilisation, deliberation, legitimacy, institutionalisation and continuity.

#### 4. Governance structures and cross-border governance capability

##### 4.1. Mobilisation

The capability to mobilise actors, resources and competences across boundaries appears as one crucial dimension of cross-border regimes. Transport-related problems and possible solutions do not just concern one nation-state or region, but various actors along traffic corridors. European, national, regional and local authorities, but also transnational networks all have competences and responsibilities in the field. Many non-governmental actors, for example railway companies or chambers of commerce, participate in implementing decisions. Therefore, mobilisation across geographical areas, across different territorial levels and across sectors represents one major element of cross-border governance capability. However, most regimes cross-border regimes in the Alpine space do not encompass a wide variety of geographical areas, levels and sectors. Rather, different geographical areas, different levels and different sectors participate in different structures. The Alpine Convention and the Zurich Process are geographically comprehensive, but focus on the national level; working communities like Arge Alp or Alps Adriatic Alliance gather regional authorities; and many smaller cross-border initiatives, Euregios and EGTCs unite local authorities and non-state actors, but do not have a comprehensive geographical reach.

The first aspect of mobilisation refers to cross-geographical mobilisation. The Alpine Convention and the Zurich Process are, apart from EUSALP AG4, the only regimes that deal with transport issues on an Alpine scale. Their main value lies in the geographical comprehensiveness of their mobilisation efforts. Both structures draw on the assumption that the Alps face specific challenges in the field of transport. Therefore, they aim at bringing together all those actors that are necessary to reach Alpine-wide solutions. However, the perimeter of the Alpine Convention is not identical with the perimeter of EUSALP and the Alpine Space Programme (see Figure 4). The regional networks iMonitraf! and Arge Alp pursue, in a similar vein, Alpine-wide collaboration. As they draw on interested regional authorities, they are not geographically contingent. Rather, only those regions that perceive collaboration as useful participate. These are, in the case of iMonitraf!, regions from Austria, France, Italy and Switzerland. In Arge Alp, regions from Austria, Germany, Italy and Switzerland coordinate their efforts.

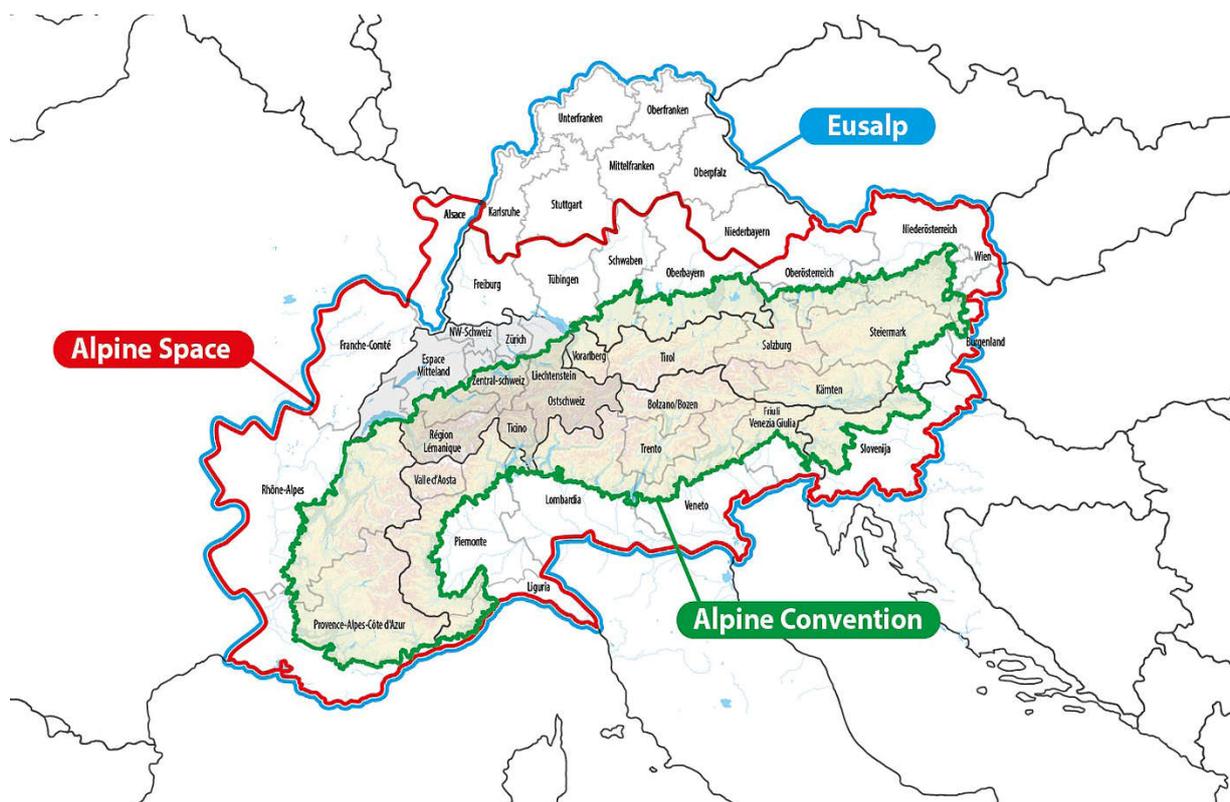


Figure 4. The different geographical perimeters of Alpine cooperation

Another example for geographical comprehensiveness, although in a more limited area, are corridor platforms. These platforms gather all nation-states and regions deemed necessary to administer a specific corridor. The IQ-C Group brings together the national ministries of transport from Switzerland, the Netherlands, Germany and Italy. The Brenner Corridor Platform involves the national and regional authorities from the states Austria, Germany and Italy along the Brenner corridor. Regions, municipalities and infrastructure hubs in the countries Netherlands, Belgium, Germany, France, Switzerland and Italy cooperate in the framework of the Interregional Alliance for the Rhine-Alpine Corridor EGTC. The EGTC also facilitates collaboration among connected, but geographically more distant actors along the corridor. The most important nodes of the network corridor share knowledge in the framework of a specific working group.

Apart from these specific platforms, the EU has set up corridor forums for each of the nine TEN-T corridors. These forums serve, in connection with a coordinator for each corridor, as a platform for project-oriented collaboration between the EU institutions, the member states, regions, infrastructure and transport companies. As the Alps are geographically central in Europe, six out of nine TEN-T corridors cross parts of the Alps. Therefore, Alpine member states are also involved in a broad variety of TEN-T platforms. The Baltic Adriatic corridor crosses Eastern Austria, Slovenia and the Italian

regions Veneto and Friuli-Venezia Giulia. The Mediterranean corridor runs through the French regions Provence-Alpes-Côte d'Azur and Auvergne-Rhône-Alpes, the Italian regions Piedmont, Lombardy, Veneto and Friuli-Venezia Giulia and Slovenia. The Scandinavian-Mediterranean corridor encompasses Bavaria in Germany, the Austrian region Tyrol and the Italian regions Trentino-South Tyrol, Veneto and Liguria. The Rhine-Alpine corridor includes the German region Baden-Württemberg, Switzerland and the Italian regions Lombardy and Liguria. The North Sea-Mediterranean corridor crosses the three French regions Bourgogne-Franche-Comté, Auvergne-Rhône-Alpes and Provence-Alpes-Côte d'Azur and the Swiss canton Basel. Finally, the Rhine-Danube corridor concerns the German regions Baden-Württemberg and Bavaria and the Austrian regions Salzburg, Upper Austria, Lower Austria and Vienna. Each corridor platform therefore involves a range of Alpine states and regions along a specific corridor.

Most other cross-border regimes are geographically restricted to smaller cross-border areas. Some Euregios along the Austrian-German border extend their geographical scope through collaborating with each other in steering committees that cover larger geographical areas.

While geographical comprehensiveness increases the ability to generate large-scale solutions, it also poses problems for mobilisation. Mobilisation appears easier in smaller geographical contexts than in large transnational spaces. Actors are usually closer to each other, have more knowledge about structures and competences of their partners and can arrange meetings easily. In contrast, Alpine-wide collaboration faces the problem of mobilising actors from all Alpine states and regions, gathering them in regular meetings and maintaining commitment. Travelling can be costly and complicated, and it requires a certain commitment to travel long distances for cross-border meetings. Therefore, participants have to recognise themselves as an integral part of cross-Alpine solutions. Transnational processes are not static structures, but only live through the participation of as many different actors and viewpoints as possible. Actors who do not commit to participation may not find their distinct territorial needs and perspectives involved. The mobilisation across geographical boundaries can profit from meetings and events in different Alpine states and regions. The reimbursement of travel expenses is a further means to strengthen mobilisation.

The second aspect stresses the importance of an involvement of different territorial levels, or cross-territorial mobilisation. The Alpine Convention and the Zurich Process focus on the national level. The governance structures of the Alpine Convention mainly draw on the national ministries of environment. The working group on transport brings

together national authorities from all Alpine countries, but only one region from Austria, one from Germany and one from Italy. Ownership on the regional level is low. Nevertheless, the participation of the regional and local networks Arge Alp and the Association européenne des élus de montagne (AEM) strengthens the multi-level aspect. The Zurich Process draws mainly on national authorities. Links to the regional and the local level are limited. However, the Process involves the European Commission as an observer in the Conference of Ministers and in the Steering Committee. The Alpine Convention and iMonitraf! participate on a case-by-case basis.

Most other cross-border structures are limited to the regional and the local level. The networks iMonitraf!, Arge Alp, Alps Adriatic Alliance and Regio Sempione involve only regional authorities. In the Interregional Alliance for the Rhine-Alpine Corridor EGTC, local and regional authorities cooperate. The two networks Alliance in the Alps and Alpine Town of the Year, the Conférence des Hautes Vallées, the Euro district Basel or the various Euregios and EGTCs just gather local authorities.

Nevertheless, some structures also succeed in gathering multiple territorial levels. One example for successful multi-level cooperation is the Upper Rhine Conference. The main body of the cooperation framework, the Upper Rhine Conference, connects regional authorities. To secure links to national competences and responsibilities, the Upper Rhine Conference reports to the governmental commission, a body that encompasses the foreign ministries of the three nation-states. The national governments elaborate recommendations, prepare drafts for agreements and can ask the Upper Rhine Conference for recommendations and drafts. In a similar vein, the IKB, Espace Mont Blanc, Regio Insubrica and the Comité regional franco-genevois unite national, regional and local authorities.

The involvement of different territorial levels depends on the ability of AG4 to generate and communicate activities and concrete results. National and local authorities, but also further transnational networks will have stronger incentives to participate if they expect to benefit. Clear information on targets and expected results can provide helpful to create incentives for participation. To reduce the risk of undermining the value of existing transnational networks, which can be a disincentive to participate in AG4, the Action Group should establish close coordination on all steps with the most important regimes. In particular, it should coordinate with the Alpine Convention working group, the Zurich Process and iMonitraf!. The different transnational networks have to build up synergies, but should not compete with each other.

One example for a coordination process among different structures is the collaboration of the International Commission for the Protection of the Danube River (ICPDR) and

the EU macro-regional strategy for the Danube region (EUSDR). As two priority areas of the EUSDR touch the activities of the ICPDR, the two structures decided to set up a joint paper on cooperation and synergy (EUSDR and ICPDR, 2014). The document lists activities of the two structures and their possible synergies and elaborates on measures to strengthen coordination. Based on the joint document, the two cooperation structures inform each other constantly, meet in different formats and develop joint actions. A further example for collaboration between macro-regional strategies and existing frameworks is the working group of regions established by the TEN-T Baltic Adriatic Corridor Forum. The working group invites not only urban nodes, but also macro-regional strategies active along the corridor to exploit synergies.

Apart from connecting with existing transnational structures, each region should keep its national government, other regional governments and local authorities informed about all steps in the Action Group and point at possible synergies with national, regional and local responsibilities. Communication and information are not only tasks of the Action Group Leader and the EUSALP communication strategy, but also a responsibility of each participant. Participants can draw on domestic networks, use established communication channels with other public authorities and thereby facilitate coordination. Local authorities, especially from larger and middle-sized cities, should be targeted specifically. A dedicated forum for local authorities, also in cooperation with existing local structures like CIVITAS or Polis, in the thematic field of transport could provide a possibility for information exchange and lay the foundation for stronger Alpine-wide collaboration. For example, the EUSBSR draws on the Union of the Baltic Cities as a forum for the local level.

The third aspect refers to cross-sectoral mobilisation. The Alpine Convention working group on transport and the Zurich Process both involve ministries of transport and ministries of environment. Therefore, they provide for cross-sectoral exchange. However, most other cross-border regimes draw on working groups in which experts in their respective field of expertise participate, but do not foresee cross-sectoral exchange. To mobilise across sectoral boundaries, each participant of AG4 has the responsibility to coordinate within his or her institution. Transport does not just affect ministries of transport, but also ministries of environment or spatial planning. Therefore, domestic coordination processes appear important. At the same time, participants could ask colleagues to get active in specific areas of collaboration, to attend meetings or to contribute inputs. This would strengthen the cross-sectoral character of collaboration.

A further dimension of cross-sectoral collaboration refers to the coordination with other sectoral groups within the same cooperation structure, for example among different Action Groups. In general, these coordination activities are weakly developed in most transport regimes. However, as sectoral policies often overlap and touch similar objectives, coordination appears important. In the case of EUSALP AG4, synergies can be especially expected with AG 5, which deals with issues of accessibility. Collaboration should be project-based and outline tangible possibilities to participate across Action Group boundaries. Therefore, it should involve regular information activities, meetings in the framework of joint events and informal exchange. The European Commission, the Board of Action Group Leaders and the Executive Board have an important role in facilitating exchange across different Action Groups.

Cross-sectoral exchange is not only a challenge among public authorities, but also among non-state actors. The Alpine Convention working group on transport involves non-state actors from the environmental, the economic and the research sector. In most other platforms, non-state actors mainly come from the economic or research sector, while environmental organisations are not represented. In the corridor platforms along the Brenner and the North-South corridor, the Interregional Alliance for the Rhine-Alpine Corridor EGTC and the Upper Rhine Conference, economic stakeholders, railway and infrastructure companies participate, while non-state actors from other sectors are not involved. Regio Insubrica involves only regional chambers of commerce and research institutions. The ITF has set up a Corporate Partnership Board that comprises mainly road transport companies. At a lower scale, many Euregios and EGTCs allow for the participation of chambers of commerce, chambers of labour and chambers of agriculture, but do not involve further non-state actors. An example for successful cross-sectoral mobilisation is the Trinational Metropolitan Region Upper Rhine. The collaboration relies on four pillars. A first, political pillar gathers representatives of regional authorities and states. The second pillar unites economic actors like representatives of chambers of commerce or social partners. The third pillar encompasses representatives of research institutions, while the fourth pillar consists of civil society. Every pillar is coordinated by one member institution, which is established as a central contact point within the respective sectoral field.

The mobilisation of non-state actors across sectors demands that communication efforts and invitations to events do not just target specific non-state sectors, but actors from the environmental, the mountaineering, the economic or the research sector. A stronger cross-sectoral dimension in this field could be reached with subject-specific panels, for example in the framework of the mobility conference, that provide a realm

for exchange among environmental or economic actors. In particular, differences between sectoral organisations should not be formalised. The ITF has set up a Corporate Partnership Board that ensures formal participation of transport companies, while all other non-governmental organisations can only participate as guests at specific instances. This formalised differentiation appears problematic and prevents any form of cross-sectoral exchange.

General problems in the field of mobilisation refer to difficulties to attract participants, asymmetries and the continuity of mobilisation. The large number of cross-border regimes and the many responsibilities and tasks each civil servant has to fulfill complicate the participation in further networks. Therefore, many cross-border regimes face problems in mobilising participants. At the same time, mobilisation is asymmetrical. Some working groups attract interest, while others do not mobilise many actors. Cross-border regimes also face difficulties in ensuring continuity of commitment. Changes in governmental majority, structural reorganisations or budgetary cuts threaten participation and undermine long-term mobilisation efforts.

To increase the ability to mobilise, dedicated structures that try to maintain links to the ground and animate a wider circle of possible participants can be useful. For example, the network Alliance in the Alps draws on a group of network animators from the local level and the non-governmental sector. Local authorities and non-governmental organisations that work in the different Alpine states keep contact to municipalities on the ground, transfer information and submit proposals. In a similar vein, in the Alps Adriatic Alliance Working Community, Thematic Coordination Points provide information and communication platforms for the different thematic areas of cooperation. Therefore, each thematic area can rely on one institution that can dedicate its efforts to animate an issue-specific network. Network animation can encompass activities that encourage, multiply and maintain the building of linkages among relevant actors. As not all relevant actors may have the possibilities or the will to participate at a macro-regional level, persons that dedicate their time to network animation can keep them informed, connect them with other actors, collect their concerns and needs and interest them for projects. Network animation can link local, regional and national networks to the wider macro-regional realm. Civil-society organisations may have a specific role in this process, as they often draw on a broad membership base.

The Action Group Leader of AG4 has a crucial function in this respect. It could use the mapping of institutional and non-institutional actors to get into contact with a broad variety of actors. While many actors may be skeptical about an involvement, ongoing

information about activities and results can provide a basis for interest and the growing desire for participation. In addition, the Action Group Leader could take part at network meetings in the field of transport policy to strengthen contacts across boundaries. The Action Group Leader has to dedicate itself to the building up and maintenance of linkages across the Alpine territory. In addition, the Action Group members should animate local, regional and national networks within their constituencies. It may be easier to build social relationships on a sub-Alpine level, and to connect these relationships with macro-regional meetings and activities. In any case, the mobilisation of a broad range of actors provides the main prerequisite for the second dimension of cross-border governance capability, deliberation.

### ***Mobilisation gap***

- Asymmetrical mobilisation
- Limited continuity of mobilisation
- Limited ability of existing cross-border regimes to mobilise across geographical areas
- Fragmentation among territorial levels
- Limited cross-sectoral exchange and coordination

### ***Recommendations***

#### *General mobilisation*

- Network animation through Action Group Leader
- Ongoing information about activities and results
- Participation at network meetings

#### *Cross-geographical mobilisation*

- Communication and recognition of cross-Alpine dimension of problems, challenges and incentives
- Meetings and events in all Alpine states and regions
- Reimbursement of travel expenses

#### *Cross-territorial mobilisation*

- Clear information on targets and expected results
- Close coordination with existing regimes
- Constant coordination with national and regional governments within each nation-state
- Creation of a forum for local authorities

#### *Cross-sectoral mobilisation*

- Coordination within each participating institution
- Encouragement of subject-specific participation of representatives of different sectoral policies
- Information and project-based collaboration with other Action Groups
- Communication vis-à-vis all non-state sectors
- Organisation of subject-specific panels
- Avoidance of formalised differentiation among non-state actors



#### 4.2. Deliberation

In an ideal-type process of deliberation, all participants decide together about the most adequate and successful way to proceed. Deliberation builds on cross-border discussions of problems and solutions and a competition of different arguments. To ensure that the best argument wins, irrespective of the level of authority and formal competence, actors should have equal rights to express their opinions. They should be able to raise unconventional and innovative ideas and be motivated to convince others.

Cross-border deliberation in existing regimes in the Alpine space appears limited by formal and informal asymmetries among participants, requirements of consensus and formalised role expectations. With regard to asymmetry, in most governance bodies, members have different degrees of decision-making power. In the Alpine Convention working group on transport, only national and regional representatives can vote. Transnational networks and non-governmental organisations participate as observers. In the Zurich Process, national ministries collaborate in a closed arena. The Alps Adriatic Alliance grants regional authorities and municipalities voting rights, while national authorities do not have a right to vote if their regions already participate. While most cross-border regimes pursue consensus-driven decisions, formal differences institutionalise a certain asymmetry that affects the ability to contribute and the courage to raise ideas.

Formalised differences also result from domestic hierarchies. National governments can overrule their regional counterparts. Regional representatives may also fear to raise proposals that contradict nation-state positions. Therefore, multi-level structures are beneficial from the point of mobilisation, but can hinder deliberation. Non-governmental actors have fewer chances to gain attention for their ideas. Correspondingly, they have to invest stronger in techniques of persuasion and argumentation.

Nevertheless, while also AG4 is affected by formalised asymmetries that may hinder discussion, a positive discussion climate can balance asymmetrical relations. For example, non-governmental members of the Alpine Convention working groups often describe an open climate in which they can raise concerns easily. In the case of AG4, the Action Group Leader has a crucial function in this respect. The Action Group Leader should take care that everybody can state an opinion, that also unconventional voices are heard and that ideas are not discriminated. Moreover, the Action Group should offer more open formats, for example discussion events or "unconferences", in which everybody can participate and raise demands. These events should not be organised in a top-down manner, but aim at collecting inputs in an open and participatory way.

There is a wide range of possible formats to encourage open discussion (see, for example, Owen 1993). To stimulate discussion, participants could:

- guide the discussion from the beginning. Each participant can raise own opinions, needs, problems or ideas, for example in smaller circles of participants or on a brainstorming chart. A conference could begin with an open round in which a moderator presents a broad theme and the general purpose of the meeting. Afterwards, the participants are invited to raise an issue related to the theme. Their suggestions are written down. Subsequently, the issues raised become the official agenda and the participants can sign up for the individual sessions. Opinions could also be collected via an online platform in advance. Afterwards, thematic panels are organised according to the needs of the audience.
- develop arguments and discuss them with experts and peers. The audience can be split up into smaller groups, in which participants discuss specific subjects and share their contributions afterwards in plenary. Discussions can be organized according to the worldcafé concept, where participants move between different table discussions.
- contribute inputs to specific Alpine challenges. The Action Group could set up tables that build different stations. Each table represents one Alpine challenge in the field of mobility, e.g. a lack of cross-border connections or a steady increase in cross-Alpine heavy goods traffic. These needs could also be collected in advance through an online platform. The Action Group could provide studies and statistics to show the impact of the given challenge. Participants can move from one table to the other and inform or contribute their own experiences, needs and proposals vis-à-vis specific challenges and problems.
- discuss concrete projects. The Action Group could organise different stations according to specific projects that are already conducted, ongoing or planned in the thematic field of mobility. The audience can move from project to project and discuss the problem that stands behind it, alternative ways to solve the problem or possible own contributions to the project. It could also raise ideas about actors that should be involved.

A positive discussion climate often follows long-term collaboration processes. Therefore, it is likely to improve over time.

A further, more informal asymmetry refers to differing degrees of information. Not all actors in cross-border cooperation possess the same information and can take decisions on the same basis of knowledge. Therefore, it appears crucial to foster regular

information exchange among participants. AG4 should also take care that all interested participants share knowledge. Therefore, the Action Group Leader could provide statistics and studies on the website and conduct surveys among its members to gain a common basis for decisions. At the same time, AG4 members are required to share their knowledge with the Action Group. They can communicate regional or national positions, responsibilities, activities and studies in meetings or through the homepage. Members have to be aware that every single participant draws on a different basis of knowledge. If they want to foster an understanding for their preferences, needs and specific territorial circumstances, they have to share data and information. A best practice example for the creation of a broad knowledge basis is the Corridor Info System (CIS), which was established by the Interregional Alliance for the Rhine-Alpine Corridor EGTC. The system gathered information in workshops, focus group interviews and discussions among project partners. Over 300 participants discussed questions of the Corridor's development. As a result, CIS provides a common basis of knowledge about the corridor.

Consensus, and thus unanimity, is the main mode of decision-making in cross-border regimes. Some structures, like the International Transport Forum, stipulate voting procedures with qualified majority. However, voting is limited to cases in which consensus cannot be reached. While the pursuing of consensus appears as useful to generate a more equal discussion basis, it also limits the ability to produce innovation. Outputs have to correspond to the lowest common denominator. Therefore, actions that are not considered as helpful by all members cannot be carried forward. However, most cross-border regimes allow abstention from decisions. While consensus is desirable, smaller groups of actors should have the possibility to collaborate on issues that do not gain consent among all participants. These smaller groups could proceed in subgroups of AG4.

Finally, formal role expectations limit the ability of many cross-border regimes to provide an arena for deliberation. Actors often participate as representatives of their public authorities. They are tied to official positions and cannot engage in an open process of discussion, argumentation and persuasion. To create arenas for deliberation beyond formal role expectations, it can be useful to organise smaller meetings in which formal actors can raise opinions in a confidential manner. The realization of a culture of argumentation and the willingness to reach agreement require that public accessibility is limited. More open formats should be coupled with smaller circles of public authorities. One possibility to profit not only from a wide variety of viewpoints, but also from the positive effects of deliberation in a smaller context is the setting-up

of a number of parallel discussion fora. While the fora discuss the same subjects, the number of participants in each forum is limited. In the end, the arenas are brought together (Klinke 2009, p. 795).

Moreover, unconventional ways to discuss could be used. For example, discussions within AG4 can build on brainstormings or a ping-pong of ideas, in which every participant contributes one idea, while in a second round, participants develop these ideas further. The third dimension of cross-border governance capability, legitimacy, is closely associated with deliberation.

### ***Deliberation gap***

- Formalised differences between participants
- Differing degrees of information and diverging basis of knowledge
- Tension between consensus-orientation, formal role expectations and innovation



### ***Recommendations***

- Action Group Leader as animator of discussion
- Fostering of positive, non-discriminatory discussion climate
- Information exchange among participants and joint creation of knowledge
- Possibility for smaller groups of participants to conduct activities in subgroups
- Coupling of open, participatory formats for discussion with smaller, confidential formats
- Use of unconventional discussion techniques

#### 4.3. Legitimacy

Legitimacy appears as the ability to channel demands of citizens on the ground, to take them up in decisions, to inform about decisions and processes and to provide citizens with the possibility to penalise undesired results (Blatter 2007). Cross-border regimes take decisions in the public realm. They are not freed from requirements of legitimacy and have to secure links to citizens and their concerns. To ensure legitimacy, cross-border regimes can build up close links with elected politicians, involve civil society organisations and directly interact with citizens.

Most cross-border regimes in the Alpine space have built up linkages to the political level. A strong backing by the political level appears necessary to carry cross-border cooperation. Politicians allocate resources, increase the public visibility of actions and results, can use linkages to other politicians on an international level to lobby for decisions and establish or modify the legal basis for cross-border projects. The Alpine Convention draws on a political body, the Alpine Conference, which gathers environmental ministers from all Alpine countries. The Alpine Conference adopts every two years official mandates for the working groups, which give their work a strong

political backing. In the Zurich Process, the Conference of Ministers has to approve all decisions with political implications. Both processes have created arenas in which national ministers of the environmental and the transport sector meet regularly to exchange across borders. However, as politicians in both structures only meet every two years, their ability to oversee and steer developments is restricted. Requirements of legitimacy demand that civil servants regularly inform the political level about processes and give them the possibility to intervene.

Within regional working communities, Euregios and EGTCs, politicians usually meet one or two times a year to discuss cross-border matters. For example, the heads of government of the regional working community Arge Alp adopt political resolutions in which they state their opinions on cross-border developments. In contrast, the Alps Adriatic Council, the political body of the Alps Adriatic Alliance, only meets every two years. In the Conférence des Hautes Vallées and in the IKB, a conference of heads of government meets typically three times a year. The IKB foresees one formal meeting and two more informal meetings, for example strategy talks, a year. The coupling of formal meetings with more informal talks offers an opportunity for political networking and a stronger political feedback for cross-border processes. Moreover, it strengthens visibility and commitment at the political level.

While most regimes provide connections to politicians, links are typically limited to the political executive. Parliaments as traditional institutions of representation have a weak role in cross-border regimes. However, there are exceptions. In the EGTC Tyrol – South Tyrol – Trentino, the general assembly as the highest decision-making body involves an equal number of representatives of the political executive and of the political legislative. Moreover, the three regional parliaments regularly meet in the framework of a cross-border parliamentary assembly. The Upper Rhine Conference cooperates with the Upper Rhine Council, a parliamentary body that consists of 71 members from four regional delegations. The Council meets twice a year to discuss cross-border matters. It adopts resolutions, which are prepared by four thematic commissions.

The Standing Committee of the IKB has established a direct exchange with the parliamentary Conference Bodensee, a cross-border parliamentary body. Finally, the TEN-T European coordinators also meet with parliamentarian representatives on a European, a transnational and a national level to exchange on corridor developments. Apart from these examples, direct links to parliamentary bodies remain marginal. At the same time, parliaments adopt and modify legal provisions and thereby set the framework for cross-border actions. To strengthen links to parliaments, it is necessary to regularly inform local, regional, national and European assemblies about planned

and conducted actions. Parliamentarians should also receive the opportunity to contribute their expertise. For example, members of parliamentary transport committees could be invited to join conferences and meetings. The organisation of an Alpine parliamentary forum, also on the priority theme of transport, would be a further opportunity to encourage exchange among parliamentarians.

From the viewpoint of legitimacy, the involvement of civil society organisations appears crucial to build and maintain links to the citizens. Most cross-border regimes do not fulfill this requirement. The Alpine Convention appears as one of the most open structures with respect to non-state involvement. Environmental, economic and research institutions participate in the working group on transport of the Alpine Convention. Other structures are more restrictive. The Zurich Process stipulates no explicit role for non-state actors. In the Arge Alp, project groups only involve external experts if the regions mandate them. The Regio Insubrica has institutionalised a similar system in which non-institutional representatives have to be delegates of institutional members. At the same time, external experts can participate on invitation on a case-by-case basis. Corridor platforms only involve transport companies, while many Euregios and EGTCs involve chambers of commerce, chambers of labour and farmers associations. The Conseil du Léman in the Lake Geneva area has concluded formal collaboration agreements with chambers of commerce, chambers of agriculture and chambers of arts and crafts. While these agreements institutionalise collaboration with the non-governmental sector, they are restrictive. Economic actors may only participate in the General Assembly, and their participation in the working groups is only possible if member delegates invite them.

Nevertheless, some cross-border regimes have created separate structures to strengthen the legitimacy of decisions. The GLCT Grand Genève has set up two separate bodies, a political convent and a forum for civil society. While the political convent unites politicians from the region, the forum for civil society gathers 75 civil society organisations, which organise themselves in three thematic commissions. The forum elaborates recommendations and opinions. The politicians and civil society meet once a year in the framework of a common event. Along the Brenner corridor, the regions have established the Action Committee Brenner railway (Aktionsgemeinschaft Brennerbahn) to conduct lobbying and information activities with their regional chambers of commerce. For AG4, the involvement of a wide range of non-governmental actors appears necessary to strengthen legitimacy. Therefore, it should be facilitated through all steps of discussion and decision-making. At the same time, involvement has to balance efficiency, public responsibility, innovation and legitimacy.

Chapter 5 will elaborate in detail on possibilities to involve non-state actors in the Action Group.

Links to the wider citizenry in cross-border regimes are limited. In general, the public lacks information about most cross-border structures. Main information channels vis-à-vis the public are websites. The different regimes differ substantially in what they publish on their websites. Most regimes offer the possibility to download studies and reports. Some cooperation frameworks, like the Alpine Convention, the IKB or Regio Insubrica, also provide activity reports, which allow overseeing their actions annually. The Alpine Convention working group provides a list of members on its homepage, which makes it possible to contact the participating members directly. The EGTC Tyrol – South Tyrol – Trentino publishes information on expenses on the homepage and releases news two to three times a week. While communication for EUSALP does not lie in the responsibility of AG4, the Action Group should take care of offering comprehensive up-to-date information on the homepage. Regular information on the homepage that targets specific audiences appears crucial to maintain links to the public. Therefore, websites should offer general information on actions and participants, easily accessible communication on tangible projects and benefits and more technical material to inform interested practitioners. In this respect, the EUSALP Platform of Knowledge, which will be operative by December 2017, could become an important tool for communication and should be filled with substantial content.

In addition, some cross-border regimes organise events that are open to everybody. While subject-specific conferences can attract an already interested audience, more general events, for example excursions to infrastructure projects or events in cross-border trains, can raise awareness among the wider public. Citizens should also receive the opportunity to contribute feedback and raise their concerns. A direct link on the homepage or surveys in the framework of cross-border events provide opportunities to ask for inputs. Public awareness can also be raised through cross-border institutions, the fourth dimension of cross-border governance capability.

### ***Legitimacy gap***

- Limited involvement of and exchange with parliaments
- Limited involvement of civil society organisations
- Marginal connections to the wider public
- Limited involvement of youth

### ***Recommendations***

- 
- Regular information exchange with politicians and European, national, regional and local parliaments
  - Participation of parliamentarians from transport committees in action group meetings and conferences
  - Alpine parliamentary forum
  - Regular, easily accessible information on the homepage
  - Open events that target a wider audience, e.g. excursions

#### 4.4. Institutionalisation

While cross-border cooperation draws on a voluntary agreement to coordinate, it profits from institutionalisation. The setting up of a stable institutional framework increases visibility, strengthens and nurtures commitment and ensures coherence and continuity. Institutionalisation refers to the legal basis of cooperation, cross-border institutions and the clear allocation of responsibilities and tasks.

A first aspect of institutionalisation concerns the legal basis of cooperation. The Alpine Convention draws on a legally binding document and implementation protocols. Therefore, it has a strong legal anchoring. In contrast, most other collaborations, also EUSALP, rely on the voluntary agreement of their participants. Consequently, they can be easily dissolved as they are not anchored in legally binding provisions. At the same time, also non-binding “soft law” like political resolutions and declarations can provide an institutional basis. Political conclusions increase commitment and bind participants to common strategies and aims. For example, the Zurich Process relies on a declaration of the ministers of transport from 2003 that opened the process. The Alpine Conference of the Alpine Convention adopts two-year mandates for the working groups that outline measures and targets. EUSALP draws on a strategy (European Commission,

2015a) and an Action Plan (European Commission, 2015b) that have been politically endorsed by the European Council. Therefore, EUSALP is strongly linked to political commitment at the EU level. At the same time, EUSALP is accompanied by regular declarations of nation-state and regional politicians in the General Assembly. As long as these political declarations are not only carried by a wide range of national and regional political representatives, but also refer to concrete subjects and objectives, for example in the field of transport, they provide a strong political mandate for macro-regional cooperation.

A further dimension of the legal basis of cooperation are rules of procedure that are set up for specific governance bodies and working groups. These rules institutionalise voting procedures, duties of leaders and members or general budgetary requirements. Rules of procedure determine and reflect the transaction costs of operating a system, group or institution on its way from loose, ad-hoc cooperation towards a more formalized setting. According to Macey, "an efficient procedural system is one that minimizes the sum of the costs of erroneous judicial decisions and the costs of operating the system" (Macey 1994, p. 627). Building on Bieber (1992, 38-39; 105-105) and Maurer (1996), Maurer argues that rules of procedure "contribute to the formalization of an institution by establishing relations between the institution, its trustees, its constituting members, and its surrounding constituency. Formalization is ultimately aimed not only at increasing efficiency, consistency, and continuity, but also at identifying the affected institution externally" (Maurer 2002, 302).

In any political system of transactions costs, procedural rules and institutional constraints are often binding on its constituent members because incentives and opportunities to evade restrictions are insufficient to insure success. As Shepsle and Weingast argue, "opportunism, renegeing, and the difficulties of bargaining and policing are often serious obstacles to the success of these potential agreements to get around the rules" (Shepsle/Weingast, 219). Rules of procedures evolve to cope with and to transcend the problems associated with the absence of exogenous enforcement mechanisms. Thus, rules of procedures matter to "enable forms of collective action which otherwise would not emerge (or would only in considerably truncated form and frequency) because of enforcement difficulties" (Shepsle/Weingast, 217). In addition, rules of procedures undoubtedly serve, as Mayhew (1974) has argued, to constitute institutional bargains, since they attempt to "insure against, and hence minimize the occurrence of, postagreement opportunistic behavior, thereby facilitating collective action that might otherwise occur with less frequency" (Shepsle/Weingast, 213-214). Overall thus, rules of procedure serve both an internal and an external key function:

Internally, they provide for efficiency, effectiveness, mutual respect and predictability of the institution and its modes of governance. Externally, rules are key to identify the rules-based institution as interlocutor, collective actor and arena for those who are affected by the institutions deliberations and decisions.

Many cross-border regimes do not set up any rules of procedure; consequently, procedures are subject to voluntary agreements among the members. EUSALP's AG4 pioneered its overall institutional set up as well as the larger network of macro-regional strategies in the EU by adopting, on 14 February 2017 in Garmisch-Partenkirchen, their rules of procedure. After that decision, the EUSBSR also agreed, on 15 June 2017, to formalize its institution with specific rules of procedure for "the Group of National Coordinators of the EU Strategy for the Baltic Sea Region".

The AG4 rules provide for definitions regarding the institution's mandate, relations between the chair and its constituent members, the action group's tasks, the organization and frequency of its meetings, modes for decision-making and rules for reporting. The EUSBSR's rules feature a similar set-up. In addition, they provide for a more explicit, EU-wide foundation, specific articles regarding the strategy's forum, separate provisions on agenda-setting, and a clause for the rules' revision.

While the EUSBSR's rules make explicit reference to the EU General Affairs Council Conclusions of 21 October 2014 on the governance of macro-regional strategies, the EUSALP AG4 rules only refer to EUSALP's Brdo Joint Statement of 25 January 2016 that set the basic multilevel governance structure for the EUSALP. Thus, the EUSBSR politically legitimates its rules on a political framework that has been agreed by all EU member states, while EUSALP AG4 concentrates the legitimacy of its rules on a statement of its constituent members. The EUSBSR's choice to found internal rules on a document that is fully recognized at by all EU institutions - including the European Court of Justice as the main rule interpreting institution -, would be preferable for EUSALP too, if its members intend to agree on a mutually binding text.

Regarding the openness and inclusiveness of its institution and deliberations, the AG4 rules make a clear distinction between "formal members" with decision-making capacities, members with an advisory function to the AG, and other guests and experts. The advisory group is defined as the European Commission, an unspecified number of representatives of the Alpine Convention, and of the Alpine Space Programme, as well as stakeholders and experts who can "bring a clear contribution and added-value into the dialogue and the work of the group, in conjunction with the action concerned". This latter sub-group is not specified. However, Article 4(4) RoP provide for some kind of a lasting "agreement to establish a framework for cooperation between the two parties"

(AG and stakeholders/experts) at the AG lead's discretion. A third group is defined by Art. 4(4) RoP, namely "guests/experts as appropriate" who can participate on invitation only. Invitations are subject to a proposal by any AG Member. If there is no objection, the Chair takes on the responsibility to automatically forward the invitation to the AG meeting or to parts of its agenda.

Overall, these provisions facilitate the incorporation of non-governmental interest groups, stakeholder, and civil society organizations. They allow for a consistent, continuous and participatory mode of inclusive governance of AG4. On the other hand, participation of experts and stakeholders, and other guests/experts in AG4 is subject to the AG lead's choice and discretion. The rule clearly ensures efficiency and effectiveness of the choice and the subsequent interaction between the AG "full members" and the advisory bodies. However, if the AG intends to pioneer into a transparent, open and inclusive mode of governance, it might consider amending Art. 4 RoP in a way that provides for a more objective, verifiable and complete procedure to select and invite participants from the groups of stakeholders, experts, and guests. One way for such a comprehensive procedure could be to agree on a set of indicators that these groups need to fulfill. These indicators could be based on the grounds of representability against a given constituency (industry, agriculture, labor...), or on a preliminary registration (covering minimum rules on lobbying and ethics) of the group into an open register of the AG. At the same time, formalized differences between groups of members can institutionalise asymmetries and thereby hinder deliberation. As has been already outlined, these asymmetries can partly be compensated through fostering a positive discussion climate, creating more open formats for discussion and treating non-governmental inputs in a non-discriminatory way.

Rules are an instrument to ensure predictability of an institution and thus reduce transaction costs as a consequence of intra-institutional conflict. In this regard, AG4 might also consider amending Art. 7 (2) RoP in a way that allows for a clear and comprehensive set-up and fine-tuning to AG4 agendas. Art. 8 of the RoP for the NC Group of EUSBSR might serve an example.

A second aspect of institutionalisation regards the existence of cross-border institutions. Most cross-border regimes in the field of transport have established institutional structures that accompany the process. Apart from political bodies that oversee collaboration and technical steering committees that prepare and implement decisions, some cross-border regimes have established secretariats or head offices. Permanent institutional structures allow building up long-term experience and expertise. Institutions can develop a certain degree of independence and act as neutral

facilitators. For example, the Alpine Convention draws on a Permanent Secretariat that assists implementation. The Upper Rhine Conference has established a secretariat that encompasses representatives from each of the three participating states. The secretariat coordinates the different bodies, takes care of implementation, elaborates the annual activity reports and is responsible for public relations. The secretariat of the International Transport Forum is provided by the Organisation for Economic Cooperation and Development (OECD), which allows to profit from the international network and the expertise of the OECD. The TEN-T corridor platforms draw on dedicated European coordinators, often high-ranking experts in the thematic field with a strong political standing, who elaborate a working program, facilitate coordination and raise awareness for the development and implementation of TEN-T related projects and studies.

Other regimes allocate leadership to a member institution for a limited time period. Working communities like Arge Alp, Alps Adriatic Alliance, Regio Insubrica or IKB have established head offices at one of their member institutions. The Zurich Process stipulates that the presidency of the Steering Committee serves as a secretariat for two years. These structures are perceived as less independent, but provide an opportunity to strengthen institutional commitment against the background of limited resources.

Apart from a facilitating secretariat or head office, working groups appear crucial to stimulate activism and to ensure continuity. While ad hoc working groups can be useful, more permanent structures provide for the creation of long-term expertise. They also build a basis for learning and mutual understanding. The Zurich Process works through four working groups that treat specific subjects continually. This continuity allowed, for example, the working group on heavy vehicle transport management instruments to elaborate different reports that build on each other. The Interregional Alliance for the Rhine-Alpine Corridor EGTC has decided to solve the tension between economy and ecology by setting up two expert committees. The first committee deals with spatial and transport planning, economic development and logistics, while the second committee focuses on environment and energy. Therefore, both dimensions of transport can be considered. The Upper Rhine Conference works with eleven working groups and 36 expert committees. One expert committee deals with public passenger transport, a second expert committee focuses on freight transport.

Priority issues can also be transferred into separate institutions that focus on specific subjects. The EGTC Tyrol – South Tyrol – Trentino has set up a coordination unit for freight transport in November 2015 to further improve cooperation within the thematic field. The coordination unit involves the three ministers for mobility and civil servants

from the three regions. The institutionalisation in a separate coordination unit increases the likeliness of common action in the field. This can also be seen in the case of the Euregio Salzburg - Berchtesgadener Land – Traunstein, which has set up a working group on transport to stimulate and support cross-border cooperation in the policy field. The working group comprises civil servants from regions, districts and cities, but also chambers of commerce, regional and local transport companies and one regional parliamentarian. Corresponding to institutionalised cooperation, the Euregio has conducted a broad variety of projects in the field of transport. While EUSALP AG4 already provides an institutional structure for collaboration, additional sub-groups on specific subjects appear advisable. They institutionalise cooperation in narrow thematic fields, increase potentials for concrete collaboration and allow for the building up of long-term expertise in specific areas.

A third aspect of institutionalisation is the clear allocation of tasks and responsibilities. Some cross-border regimes draw on strategic plans that outline planned measures and define responsible actors. Within the Corridor platforms along the North-South and the Brenner Corridor, public authorities and railway companies have set up action plans. These plans are formally adopted by the responsible ministries of transport to anchor them politically. The action plans define measures, the responsibilities for each measure and monitoring procedures. Another example for the usefulness of strategic plans are the UNECE-projects TER and TEM. Both TER and TEM draw on master plans that define gaps, measures and an investment plan to improve the road and rail network. The common agreement on master plans provides an institutional basis for infrastructure measures, agreements on common standards and an overall harmonisation of transport planning. The project central office additionally supports the activities through the elaboration of studies and databases and the organisation of training courses and seminars. Finally, also the mandates of the Alpine Conference in the Alpine Convention give clear definitions of tasks and allow for a comparison with achieved results. Long-term institutional visions in the form of politically agreed action plans – also for each Action Group – and a monitoring system that relates agreed objectives to concrete actions and results are important to ensure targeted collaboration.

At the same time, cross-border regimes do not only define new responsibilities and tasks, but also draw on already existing responsibilities within public administrations. While cross-border processes transcend geographical, scalar and sectoral boundaries, they should not violate existing political and bureaucratic approaches within member states and regions. All participating actors have to coordinate strategies and desired outcomes with national or regional political objectives and established bureaucratic

procedures. Public responsibility lies with every participant and has to be ensured throughout the process. Institutionalisation of collaboration fosters continuity, the fifth dimension of cross-border governance capability.

### ***Institutionalisation gap***

- Limited development of independent institutional framework
- Tensions between cross-border and national/regional responsibility

### ***Recommendations***

- 
- Reference to documents that are recognized by all EU institutions (e.g. Council Conclusions) in Rules of Procedure to provide clear legal basis
  - Objective procedures (e.g. according to specific indicators) to select and invite participants from the groups of stakeholders, experts and guests
  - Creation of sub-groups
  - Long-term institutional visions in the form of strategies and action plans
  - Monitoring system with concrete actions and results
  - Coordination with national or regional political objectives and established bureaucratic procedures

#### 4.5. Continuity

While the existence of an institutional framework provides one important prerequisite for continuity of collaboration, it cannot ensure that cross-border structures are active and persist. The working community Regio Insubrica appears as an example for many of the problems that evolve around cross-border continuity. The working community had to be relaunched several times since its first creation in 1995. Politicians and civil servants lost interest, political constellations changed and priorities differed. In 2017, regions and municipalities set up a new entity. The working community now profits from political commitment at the regional level, which, however, can change in the

future. Key challenges in the field of continuity emerge from personnel fluctuations and changes of the external opportunity structure.

A first aspect refers to personnel fluctuation. Often, representatives in the working groups change or even vanish altogether; this follows changes in the single administrations, political changes, but also a diminishing interest among civil servants. The fluctuation of personnel undermines the development of mutual understanding and trust, prevents the creation of solid expertise on cross-border processes and threatens the realisation of projects. As AG4 cannot control the external background, it is hardly possible to prevent changes in political constellations or reorganisations. However, AG4 can attempt to ensure that interest among civil servants remains high, and it can strengthen continuity of efforts through drawing on long-term visions, documentation and broad mobilisation.

To maintain interest among civil servants, it is important to ensure that participating actors feel that their demands are taken up. All participants should be able to identify with the pursued objectives. Therefore, the general agenda should build on a process of consensus-building, while smaller circles of interested actors should be able to collaborate in subgroups. Commitment in cross-border cooperation builds on social relationships. Actors who build up cross-border relationships are more likely to participate continuously. Consequently, AG meetings should be regular enough to allow for the building of social linkages. Formal meetings should be coupled with more informal formats, and joint excursions or events should provide for more informal exchanges.

One possibility to strengthen continuity against the background of changing commitment is the setting up of a long-term strategic vision. Cooperation can profit from plans of action that do not only project the near future, but also draw a long-term picture of what cooperation can and should deliver. The GLCT Grand Genève has established a political vision, the "Projet de territoire 2016-2030", which encompasses a Charta for territorial development, an analysis of deficits and an outline of future projects. The document explicitly states that collaboration should shift from a financial logic towards a common political vision. As such, it is also signed by 200 members. Moreover, the document contains the view of the civil society forum. Therefore, it provides a strong common agreement on a joint path of action.

The collaboration Espace Mont Blanc works on the basis of the "Strategy for the future" that defines strategic guidelines for future development of the region. Similarly, the Upper Rhine Conference has established a common transport policy mission statement that defines objectives, measures and ways of implementation. The Interregional

Alliance for the Rhine-Alpine Corridor EGTC was born out of an INTERREG project, but stabilised short-term collaboration in the institutional framework of an EGTC. Cooperation draws on a common strategy document, "One corridor – One strategy", which defines the framework for future tasks and activities. Therefore, through building up links among the participating actors and producing a common understanding of problems and solutions, the end of the funded INTERREG project could be used to foster collaboration on a long-term basis.

Apart from setting up a long-term vision, documentation and mobilisation appear as further means to strengthen continuity. All steps of collaboration have to be recorded to ensure that future participants can easily find access to the Action Group. Moreover, cross-border structures that only draw on a small circle of interested participants easily vanish if members lose interest. Therefore, it appears crucial to mobilise several national and regional representatives from each Alpine state.

A second aspect that undermines continuity is the change of external incentives. Smaller Euregios and EGTCs often vanish when EU funding decreases or when EU funding procedures become too complicated. Consequently, it appears important that cross-border collaboration does not depend too much on external structures and incentives. Financial advantages should not be the main incentive to collaborate. Rather, participants should be motivated to contribute because they expect tangible benefits in their areas of interest. The Action Group has to communicate expected results from early on to attract goal-oriented actors and clarify the practical dimension of work. Moreover, working priorities are often oriented towards funding programs. However, participants should ensure that their work proceeds in a thematic area that contributes to actual problems and challenges in their region and does not only refer to EU funding axes. The overarching EU framework may change in the future. Therefore, collaboration should not only envisage funds and support of the EU, but also search for financial and practical assistance at other places to strengthen independence.

### ***Continuity gap***

- Changing priorities and political constellations
- Personnel fluctuations
- Changing external incentives

### ***Recommendations***

- 
- Formal and informal meetings to build up social relationships
  - Long-term strategic vision
  - Documentation of all steps
  - Broad mobilisation
  - Communication of expected results
  - Elaboration of working priorities that can be shared by all participants
  - Searching for financial and practical assistance at different institutions

The existing cross-border landscape in the Alpine space on issues of transport and mobility is characterised by strengths and weaknesses. Mobilisation across geographical boundaries, territorial levels and different sectors remains challenging. Deliberation requires the setting up of an open and lasting climate for discussion and equality among participants, which is only partially ensured. Links to parliaments, civil society organisations and citizens are weak and may undermine the legitimacy of decisions. Many frameworks provide a stable institutional framework that animates commitment and activity. In contrast, continuity is hindered by personnel fluctuations, changing political constellations and the external EU funding framework. AG4 can provide an opportunity to fill existing governance gaps and to increase cross-border governance capability in the field of transport. However, it requires considerable efforts to turn AG4 into an overarching framework for joint trans-alpine cooperation in the policy area. A constructive way to deal with conflicts, the subject of the next chapter, represents one crucial component of this process.

#### 4.6. Transversal issue: Conflict resolution

##### 4.6.1. Conflict definition

Conflicts may cut across all five dimensions of cross-border governance capability. Conflicts can hamper mobilization and provide disincentives for participation and collaboration. They can hinder constructive deliberation processes as they may produce a climate of tension and disapproval. Moreover, they can contradict requirements of legitimacy and undermine linkages to politicians, civil society organizations or citizens. They can also undermine the setting up of a stable institutional framework and produce struggles for institutional compatibilities and competences. Finally, they can seriously threaten the continuity of cross-border cooperation. Consequently, networks for cross-border cooperation should deal with possible sources for conflict, their threats and ways to resolve them, as well as with possible positive effects of conflicts.

In general, conflict can be defined "*as an interactive process manifested in incompatibility, disagreement, or dissonance within or between social entities (i.e., individual, group, organization, etc.)*" (Rahim 2015, p. 16). This definition implies that conflict is not something artificial and extraordinary. Instead, conflict should be regarded as "a natural and inevitable outcome of the close interaction of people who may have diverse opinions and values, pursue different objectives, and have differential access to information and resources" (Daft 2007, p. 360). As cross-border cooperation provides a realm where not only different actors, but also different political, ideological, geographical, institutional and cultural backgrounds meet, conflicts may be a normal part of the process. Conflict is also an essential element of politics as political processes have to accommodate diverse societal demands, needs and desires.

Conflict is also not necessarily harmful in any case. Many researchers believe that conflicts can be productive and even necessary for a group to develop. In this regard, they distinguish between relationship conflicts, task conflicts and process conflicts. *Relationship conflicts* focus on interpersonal relationships. They emerge when struggles do not concentrate on the work itself, but on persons and their attributes. Relationship conflicts have mainly negative effects and can seriously hamper the performance of teams. In contrast, *task conflicts*, which focus on the content and the goals of the work, can improve decision-making outcomes and productivity if they do not reach a high intensity (Jehn 1997). Task conflicts may facilitate critical evaluation, stimulate the discussion of diverse ideas and foster the consideration of alternative solutions. Members may be able to identify and discuss diverse perspectives, which can contribute to a better understanding of the task. When members feel pressured to agree with other group members about concepts, the group may overlook superior

alternatives (Amason 1996; Jehn 1996). Finally, *process conflicts* focus on how the work is done. These conflicts emphasize incompatibility of principal work procedures and can have both positive and negative effects (Jehn 1997).

Task conflicts and process conflicts touch upon different parts of a task and different stages of the corresponding process. Thamhain and Wilemon (1975) show that task conflicts mainly emerge at the early stages, while process conflicts increase during the main working stages. The greatest levels of conflict occur at the early stages of a working process and concern priorities, schedules and procedures. During the main work, conflicts about schedules and technical opinions increase. At this stage, priorities provide a decreasing source of conflict, since the priorities of task elements have been solved beforehand. Towards the end of the project, conflicts decrease altogether and mainly concern schedules.

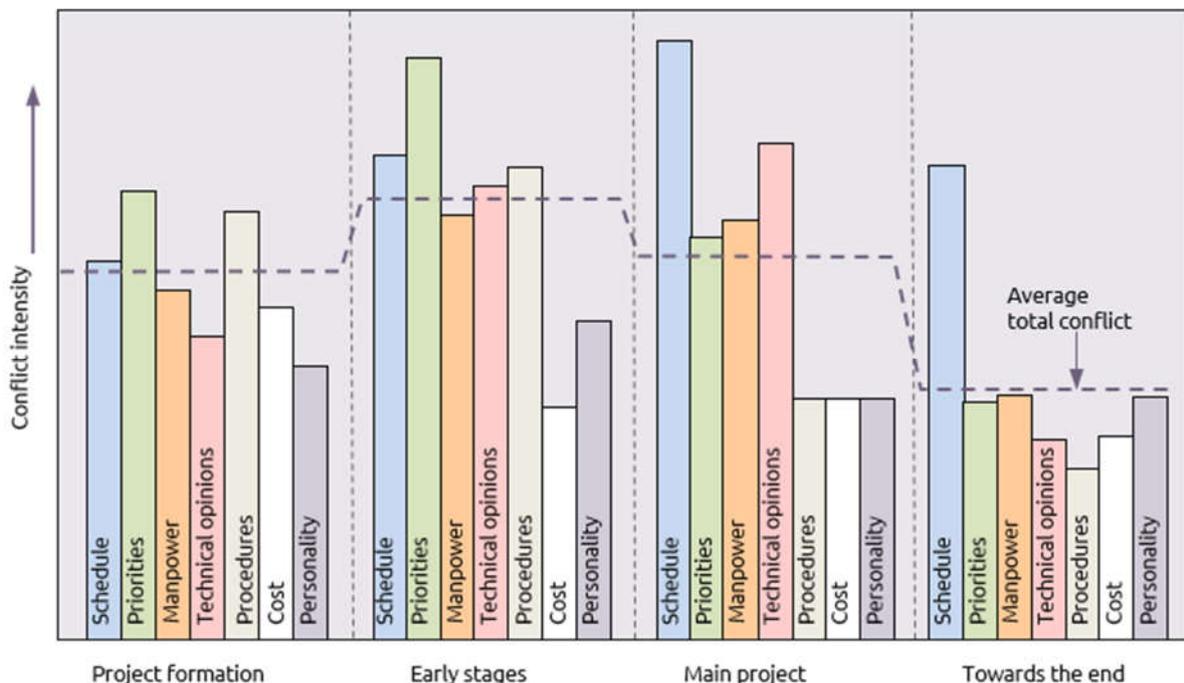


Figure 5. Conflict intensity in project life cycles (Source: Thamhain and Wilemon 1975)

Consequently, teams of a given, cooperative network should be aware of possible sources of conflicts at early stages of the process. Tuckman (1965) and Tuckman and Jensen (1977) have developed a model with five stages of the working process: forming, storming, norming, performing and adjourning. Most conflicts occur at the stages of forming and storming; therefore, team chairs/leaders need to pay special attention to these stages. The following section deals with different ways to prevent and manage conflicts at the five stages of the working process.

#### 4.6.2. Conflict prevention

*Forming* refers to the formation of a team. When individuals are first brought together, they normally do not share a common objective. Often, they are anxious, hesitant, unsure and confused about the very purpose of their grouping. People only begin to get to know each other and look for information and a possible common ground. As members' roles and responsibilities are unclear, the team leader/chair has a predominant role. At this stage, chairs need to engage into the "management of expectations". To prevent that conflicts develop destructive potential, it is crucial to identify and manage relevant stakeholders, to inform and to establish clear, shared objectives.

To appropriately involve all relevant stakeholders, the chair has to ensure that the views and attitudes of all stakeholders are understood and that the stakeholders support the overall work. Stakeholders can be defined as individuals or groups that hold necessary competences and resources or are affected by the outcomes. Therefore, stakeholder management implies an identification of relevant stakeholders, an assessment of their possible interests and expectations, the communication with stakeholders and stakeholder involvement. While the present study identifies relevant stakeholders, AG4 still lacks a clear definition of how to select (and how to reject), how to communicate with and how to involve them. Chapter 4.1 and chapter 5 make suggestions in this regard. In particular, coordination with as many regimes and networks as possible is important to prevent conflicts for responsibility and competence. Stakeholder management should identify the actors that are best suited to engage with different stakeholder groups. This can be the AG4 leader, AG4 participants, the Executive Board or politicians. However, AG4 cannot prevent that some may not or do not want to participate. In this respect, AG4 has to deal with possible ignorance, obstruction or opposition.

A further important element of team formation is information. As the team members are uncertain, and as they do not share a common ground and come from different backgrounds, they have to share as much information as they can. It is crucial to share information on positions, objectives, procedures and possible incompatibilities as early and as transparent as possible to avoid later conflicts.

A particular difficulty arising from the cross-border context are role conflicts. Role theory (see, for an overview, Turner 2001) states that a large proportion of our social behavior and interaction is defined by our roles. Roles define the goals to pursue, tasks to carry out, and how to perform for a particular scenario. Therefore, they do not only guide behavior, but also influence our belief systems. Changing behavior is not an easy

task, but requires changing roles. In a cross-border context, participants with established roles meet in a completely new environment. While they have to establish new roles, they also carry their established roles. These role conflicts can produce incompatibilities. Their importance increases the less the actors are used to work in a cross-border environment and the less they know each other. A particular role conflict arises for the AG leader, who needs to perform as a neutral broker and facilitator in order to remain accepted by all participating parties. If the AG leader also executes responsibilities as a member of a regional administration with specific policy interests and concerns, it automatically conflicts with its brokering function. Building on the organization of the EU Council presidency, a possible solution could be to clearly, i.e. physically, separate the function of the chair from that of the chair's delegation.

**Institutional learning: The roles and functions of the Presidency of the EU Council of Ministers**

Even if EU Presidencies (Hayes Renshaw/Wallace 2006, pp. 133-161; Elgström 2003; Tallberg 2006) do count amongst the central actors in the EU's decision-making process, they are constrained by a whole series of structural, material and procedural limitations, which are scarcely known to the public. Firstly, the Presidency is obliged to bring forward and implement the EU's existing political agenda. Prescriptions laid down in the numerous working and legislative programs of the EU-Institutions reduce the scope available to the Presidency to set its own agenda. Often, unexpected external developments (conflicts, natural catastrophes) divert a large part of the Presidency's capacity at the expense of its original plans. Practitioners often estimate - as a rule of thumb - that some 90 percent of the presidency agenda is inherited from previous presidencies or fixed by existing planning. Secondly, EU Council presidencies are temporally restricted, lasting for just one semester. This six-month time span usually suffices to launch new projects, to advance existing negotiations, or to complete projects which previous presidencies and other EU actors have already promoted. Thirdly, presidencies are just one actor in the constellation of European agenda-setting and legislative processes which includes the Commission, European Parliament (EP), national delegations in the Council and third states in the field of external relations. All these actors have "vital interests" in the individual dossiers. A Presidency possesses but limited instruments - laid down in the Council's rules of procedure - to structure the political process.

Building on studies by Schout, Vanhoonacker, Kietz, and Maurer (Schout/Vanhoonacker 2006, pp. 1051-1077; Kietz 2007; Maurer 2000; 2008), we argue that there are certain observable functions performed by Presidencies: as Council Chair, the Presidency must organise the political process at the European level; it must act as neutral broker at all negotiation levels; it has to encourage member states to reassess their short-term, national interests from a long-term, European perspective; it has to represent the Union "outwards," beyond the borders of the EU, and "inwards," to national societies; lastly, it must function as a point of contact for the other EU institutions. From the standpoint of a supply/demand analysis, we assume that differing conditions in negotiations create different demands upon the Chair in the performance of its diverse functions. Should these demands be met, this will boost the prospects of a compromise in negotiations. For example, some situations create a demand for the Chair to perform a strong, but neutral, brokerage role. In other situations, the Presidency will have to place current political debates in the context of long-term European goals in order to extricate them from the grip of short-term national interests. In all this, the Chair's margin for manoeuvre will be determined by a whole range of domestic factors - the presence of strong self-interest or inter-ministerial differences - as well as the extent of its resources. The scope for action available to the Chair in its efforts to meet demand is also constrained by external

factors beyond its influence. Overall, we identify seven functions for an EU Council Presidency to fulfil. The main function of the Council Presidency is the efficient and effective management of the daily work of the Council. This entails, in particular, the planning and co-ordination as regards time and content of the up to 4,000 Council sessions on all levels (working groups, committees, ministerial meetings) during the six-month term. The successful fulfilment of this role is dependent on the close co-operation of the Presidency with the Council Secretariat. The Secretariat is in charge of versatile and tried-and-tested co-ordination resources, which it can put to use quickly due to its permanent presence in Brussels and to its well-rehearsed capacity for co-operation with its counterparts in the EP. The tasks of formulating the agenda for the Council, of deciding when certain dossiers move within and between the various Council working levels, of presiding over the Council sessions as well as structuring and moderating the debate are in principle left to the Chair. As a rule, this also applies to the conduct of negotiations itself and the drafting of Presidency proposals (proposals for compromises etc.). Other tasks for the Presidency include the composition of background studies as well as drafting working and discussion papers which identify the positions of individual member states and discuss the relevant aspects of the subject matter.

#### Key functions of the Council's Chair

<b>Management</b>	<b>Brokerage</b>	<b>Strategic Guidance</b>	<b>Impulse-giving</b>
<p>Time- and agenda-management, co-ordination of meetings in Council and its working committees</p> <p>Co-ordination of negotiations within Council with those between Council and Parliament, and, where necessary, those with third states</p> <p>Chairing Council meetings and structuring debates</p> <p>Preparation of summarising and explanatory background documents</p>	<p>Sounding out the positions of the member states, the European Parliament, the Commission and, where necessary, third states</p> <p>Devising forward-looking negotiating strategies and fall back positions</p> <p>Identification of points of consensus and package deals</p> <p>Formulation of compromise proposals</p> <p>Fostering a positive negotiating environment</p> <p>Persuasiveness in pursuit of mutual understanding between member states</p>	<p>Placing current discussions in a long-term perspective bringing in future challenges for the EU</p> <p>Persuading national delegations to look beyond their short-term, national interests, and to think in terms of a European goal</p> <p>Reinvigorating negotiations that have become bogged down</p>	<p>Launching new projects in the framework of current planning</p> <p>Highlighting new approaches to existing projects</p> <p>Defining new goals for the EU's agenda</p>
<p><b>Focus</b></p> <p><i>Efficient organisation of day-to-day business</i></p>	<p><b>Focus</b></p> <p><i>Fostering a consensus</i></p>	<p><b>Focus</b></p> <p><i>Guiding negotiations in light of long-term European interests</i></p>	<p><b>Focus</b></p> <p><i>Launching new projects and goals</i></p>

- The Council Presidency as neutral mediator and broker of compromises

In its function as mediator, it is up to the Council Presidency to manufacture or orchestrate consensus between the positions of different EU member states during the negotiations in the Council itself, as well as in interinstitutional negotiations between the Council and the EP, and between the Council and third states in the area of external relations. Apart from the mediation efforts undertaken during sessions of the respective Council bodies, the Chair also utilises bilateral talks (“confessional sessions”) in order to explore the negotiating positions of participating actors (member states, EP, third states). Other instruments include the assignment of expert groups (e.g. “Friends of the Presidency” or High Level Groups) to draw up reports on the main issues of a dossier as the basis of negotiations in the Council. At occasions also groups of likeminded member states work out compromises in parallel to the negotiations in Council bodies in order to speed up negotiations or contribute to the de-escalation of on-going conflicts. Furthermore, the strategic choice of whether and when to call a formal vote on a dossier in the respective bodies is an important instrument at the Presidency’s disposal for swaying the delegations in the Council towards greater willingness for compromise.

- Strategic Guidance by the Council Presidency

The core of those presidency tasks which we subsume under the general term “strategic guidance” (in the Anglo-American literature often known as “political leadership”) is to place current debates between the member states in a broader perspective of the upcoming challenges for the EU. The Chair has to urge member state delegations to put their short-term, national interests behind long-term goals that all EU members can agree on. In this way, long-drawn-out and blocked negotiations may be revived.

- The Council Presidency as a source of initiative and impulse

The long-term political agenda and objectives of the EU are determined through the use of various planning instruments such as the annual working programme of the Commission. As shown above, a central task of Council Presidencies is to take care of the continuing implementation of this agenda. In addition, the term of the Presidency is limited to six months, so that the time and space for setting distinct priorities is much smaller than usually assumed. Nevertheless, there are instances where a Council Presidency might manage to launch new projects and initiatives in the framework of current planning or to establish new approaches to existing projects or indeed to formulate new goals outside the framework of current planning. In general, all Council Presidencies aim at leaving their mark on the European political agenda by launching at least one initiative of their own. In a limited way, a Presidency can also use this function to promote national interests during its term. But, for the most part, this is only rewarded with success if the Council Chair manages to present its initiatives to both the other member states and the public as part of a common European interest and rather than as a “national project.”

Finally, the team has to establish clear, joint objectives. AG4 has established principal objectives in a consensus-driven process. However, the establishment of joint objectives was limited by a lower degree of participation at the beginning, while many new members have entered afterwards. Therefore, not all members may share all initial objectives or feel excluded as they have not participated in defining them. AG4 therefore needs to remain open to adapt objectives in order to involve all interested and participating parties. The process of goal definition has to pay special attention to

language difficulties. Some participants may not be able to raise points or inputs because they cannot articulate them in a foreign language. This can seriously threaten the process as participants cannot participate in setting common goals, defining common procedures and building a common basis for cooperation.

At the same time, the process of goal definition has a strong political dimension. The involved actors can only define goals that are compatible with the political level within their mandating realm, i.e. the nation-state, or the region. Civil servants in the AG cannot define or re-define conflicting political goals. Therefore, politicians should play an active role in defining and adapting objectives, for example in the General Assembly or at bilateral meetings. A regular exchange on the political level is crucial to prevent that conflicting goals hinder cooperation and coordination across borders.



### ***Recommendations***

#### *Forming*

- stakeholder management: identification of stakeholders, assessment of interests and expectations, communication, involvement
- sharing of information
- recognition of possible role conflicts
- separation function of chair – chair's delegation
- establishment of clear, joint objectives
- active role of politicians in defining goals

While members may be hesitant and cautious at the beginning, the stage of *storming* increases the potential for conflicts. A common purpose has been identified, but the members hold different views about how to achieve it. They do not have established strong relationships with each other, they cannot draw on established processes, and different working styles collide. AG4 faces particular obstacles at this stage. As with all cross-border cooperation contexts, members come from different institutional and cultural backgrounds and are used to different working styles. Subgroups and alliances may form, and there may be power struggles. The team needs to be focused on its goals to avoid relationship conflicts and emotional issues. Compromises may be required to enable progress. The main role of the leader at this stage is coaching.

At the stage of storming, it is most important to establish clear processes and structures and to build trust and social relationships. With respect to processes, conflict can be reduced by establishing clear criteria and procedures. The Rules of Procedure require that each participant has a formal mandate. This ensures that what is agreed in the AG does not contradict responsibilities within regions and nation-states, but is carried forward by actors with clear mandates. However, the process of formal mandating is only relevant to the extent that all participants regularly coordinate within their nation-states and regions. They have to understand themselves as representatives of territorial constituencies and make use of domestic coordination platforms. At the same time, the Rules of Procedure do not define clear procedures for conflict resolution. A reference to jointly agreed conflict resolution mechanisms (see also chapter 4.6.3.) can prevent future ambiguity about how to proceed in the case of controversies.

AG4 has already begun to identify criteria for the selection of projects. Jointly agreed criteria are a key element to prevent that the stage of storming threatens cooperation. The group should agree on clear criteria to select projects, to proceed with projects and to agree on modifications of the working program. If every participant can draw on a clear set of criteria, conflicts arise less frequently and boundaries of cooperation are set. A further process-wise element is the documentation of every agreement, every working step and every contradiction. Building on the EU Council's Presidency example, the AG leader should be responsible for drafting minutes, documenting process and outcome, and sharing it with the group.

The absence of strong social ties also implies that the group has to build trust and social relationships. The lack of frequent, personal contact may influence the way a team perceives and handles conflict (Amason 1996). For AG4, the low frequency of meetings hinders the building of social relationships. Moreover, language barriers and cultural differences may affect the ability to socialize and to engage in informal contexts. Participants may also be focused on their own language community. Therefore, it is crucial to establish contextual environments in which informal interactions can take place. The AG could organize joint activities and motivate all participants to take part. In coffee breaks and social events, members should be invited not to gather in their own language communities, but to actively cross cultural and language boundaries.



### ***Recommendations***

#### *Storming*

- establishment of clear processes and structures
- regular coordination within nation-states and regions
- definition of conflict resolution mechanisms
- definition of clear criteria for selection of projects and further development of working program
- documentation
- creation of environments for informal interactions across cultural and language boundaries

When people start to resolve their differences, they move towards the *norming* stage. The team starts to settle down, accepts common values and procedures and commits to the team goal. Team members may socialize together, and they are able to ask one another for help and provide constructive feedback. In sum, the team is starting to perform as a cohesive unit. Building on the EU Council's example, the AG leader's function lies in facilitating and enabling. Conflicts emerge, as Thamhain and Wilemon (1975) have shown, mainly around technical issues. As these conflicts can have a positive effect on the process and allow for the optimization of technical procedures, the AG4 leader should provide an open climate for discussion. There can be a prolonged overlap between storming and norming, because, as new tasks come up, the team may lapse back into behavior from the storming stage. To prevent the team from falling back, the chair's brokerage and management functions would be to ensure that members have regular opportunities to socialize. The chair should oversee the compliance with jointly agreed procedures and rules and emphasize the jointly agreed goals.



### ***Recommendations***

#### *Norming*

- facilitation of open climate for discussion
- regular opportunities to socialize
- overseeing of compliance with jointly agreed procedures and rules
- emphasis on jointly agreed goals

At the stage of *performing*, the team works as a focused unit. The members collaborate, share responsibility for the common goal and do not emphasize “me”, but “we”. This is the stage where the AG4 leader can step back and let the team organize itself. The impulse-giving function of the leader moves towards delegating and overseeing. However, as new tasks arise, members change or the external framework poses new problems, the team can always move back to storming or norming. Therefore, the leaders’ role may shift from directing and coaching to delegating back and forth.

When a project approaches its end, members may shift their attention towards other tasks, and performance can decrease. Tuckman and Jensen (1977) call this *adjourning*. This stage may come at the end of the 3-year cycle of AG4. Depending on when and to what extent the General Assembly and the Executive Board decide to continue cooperation in the thematic field of mobility, members may feel discouraged, invest less resources and lose interest. At this stage, AG4 activities are dependent on the degree to which a stable basis for cooperation has been built.

The AG4 leader has to pay special attention to potential sources of conflict at the five stages. However, conflicts may not be prevented in any case. If conflicts arise, it is important to solve them quickly and in a productive way. The following section elaborates on possible ways to deal with conflicts.

#### 4.6.3. Conflict resolution

Often, people do not resolve conflicts, but ignore them. They pretend that no disagreement exists, try to placate people or attempt to force an agreement. If ignorance or forcing prevail, conflicts can have long-term consequences and undermine cooperation, deliberation and continuity of cross-border efforts continuously. The basis of cross-border cooperation can even erode through suppressed conflicts. If a cross-border cooperation structure is unable to accommodate conflict, it will be bypassed and irrelevant. Therefore, conflicts should be dealt with in a constructive way.

The basis for every conflict resolution is a cooperative, rules-based approach to conflicts. Studies show that actors are able to solve their conflicts constructively if they commit to cooperative goals and discuss their different perspectives openly (Alper, Tjosvold and Law 2000). A cooperative approach to conflicts requires that the protagonists perceive the conflict as a mutual problem that needs common consideration and solution. In a cooperative process, actors exchange ideas and

perspectives. They understand that they can pursue their interests as they pursue the interests of others and do not emphasize zero-sum games. If actors perceive conflicts as a win-lose struggle, a resulting climate of distrust may lead to a deadlock or the imposition of a solution by the more powerful protagonist. Consequently, the resolution of conflicts demands that all participants develop a shared understanding of the conflict and work towards a common resolution.

Conflicts should be handled at a professional level. Conflicts about the content and goals of the work can easily turn into relationship conflicts as people are used to attribute conflicts to personalities or perceive criticism as personal attacks (Jehn 1997). Therefore, it is crucial to stress that the conflict does not concern a certain person, but an incompatibility of content, goals or procedures. All participants have to be aware that they do not have to like each other, but to understand one another, and accept the fact that differences exist. Conflict resolution does not aim at creating strong sympathy. Instead, the desired outcome is that all participants feel understood, respected and supported (Ting-Toomey 1999). A typical process of conflict resolution involves the following steps:

- identify issues
- clarify and detail respective interests and objectives
- search for objective criteria
- identify options
- discuss and analyze solutions
- adjust and refine proposed solutions
- record agreement in writing

These steps can be carried out within the action group as a whole, with the help of a mediator or in a bilateral setting. Conflict mediators can be helpful as they facilitate the process. However, they have to be recognized as neutral and impartial by all involved parties. As both the AG leader and the European Commission hold various roles, it is difficult for them to establish neutrality and impartiality vis-à-vis all participating actors. Building on the EU Council's model, one solution could be to separate the mediator's function of the chair from its national or regional delegation. Another possibility would be to (s)elect a chair from a third party that is not directly involved in the group's policy areas.

Conflicts do not only have to be resolved at an interpersonal level, but also at a political and a territorial level. Fundamental conflicts between political objectives cannot be carried out within the action group, as members are only delegates of politically agreed

objectives. The macro-regional strategy should create a realm where politicians can carry out controversies on a rational basis. Therefore, it is crucial that politicians, both in the General Assembly and in parliamentary assemblies, deal with cross-border issues and incompatibilities. Politicians should not only meet once a year, but more regularly to build a common basis. European, national and regional parliaments play a crucial role in this process. They have gained experience in debating and reconciling different priorities and could provide arenas for the discussion of conflicting political goals. In particular, a cross-border parliamentary forum could transfer parliamentary debate into the cross-border sphere.

Conflicts also have a territorial dimension. They can involve struggles for competence and responsibility between the EU, the national and the regional level. The theory of federalism provides some basic principles that can guide conflict resolution between territorial levels. Federal arrangements aim at reconciling a diversity of demands and concerns with a common approach and jointly agreed objectives (Elazar, 1987; Burgess, 2006). The principles of territorial representation, self-rule and shared rule and equality and partnership are crucial in this respect. First, AG4 members should respect the principle of territorial representation. Each participating institution represents a certain territorial constituency. It receives its legitimacy as a delegate of the sovereign will of the people. Therefore, it has a special responsibility vis-à-vis the electorate and must consider the specific territorial circumstances within the respective region or nation-state. This implies that no position can be illegitimate and that politicians have a special responsibility for struggling for solutions.

Second, the AG is situated within the tension field between self-rule and shared rule. Federalism separates spheres in which each institution can exert autonomous rule from spheres in which power is shared. Consequently, each territorial level holds specific competences that cannot be overruled. This implies that all territorial levels have to participate to ensure that all competences are present. Regional actors cannot interfere in nation-state competences and vice versa. Actors have to jointly agree on areas of shared power. Within these areas, cooperation draws on negotiated cooperation and consensus.

Third, cross-border cooperation should stress equality and partnership. At the cross-border level, power is not centered at one specific institution, but shared among many actors and territorial levels. As each actor represents an important part of the cross-border territory, the principle is not subordination, but interdependence. Therefore, territorial levels should not draw on domestic hierarchies, but attempt to define objectives and procedures in a principal process of partnership.

Conflict resolution is an important part of AG4's efforts to transcend different perceptions, motivations and institutional backgrounds into one common cross-border cooperation framework. A particularly sensitive area that may produce potential for conflicts is the involvement of non-state actors. The following section deals with different types of relevant non-state actors and suggests ways to incorporate them in AG4.



### ***Recommendations***

- cooperative, rules-based approach
- development of shared understanding of the conflict and open discussion of different perspectives
- conflict mediator as impartial facilitator
- political exchange, also with the use of parliamentary formats, to resolve conflicts between political goals
- respect for principle of territorial representation and responsibility vis-à-vis electorate
- respect for competence distribution and autonomous competences of each participating authority
- definition of objectives and procedures in a process of partnership between all territorial levels

5. The non-state sector

5.1. How to involve?

The involvement of non-state actors in the AG4 serves different purposes. These purposes can be categorised along three models of non-state actor involvement: Information, consultation and collaboration. Non-state actors can submit information on activities, results and possibilities to contribute to civil society and citizens; they can aggregate and raise demands, concerns, opinions, ideas, support and resistance vis-à-vis the Action Group; and they can contribute expertise, know-how, best practice and practical knowledge on implementation.

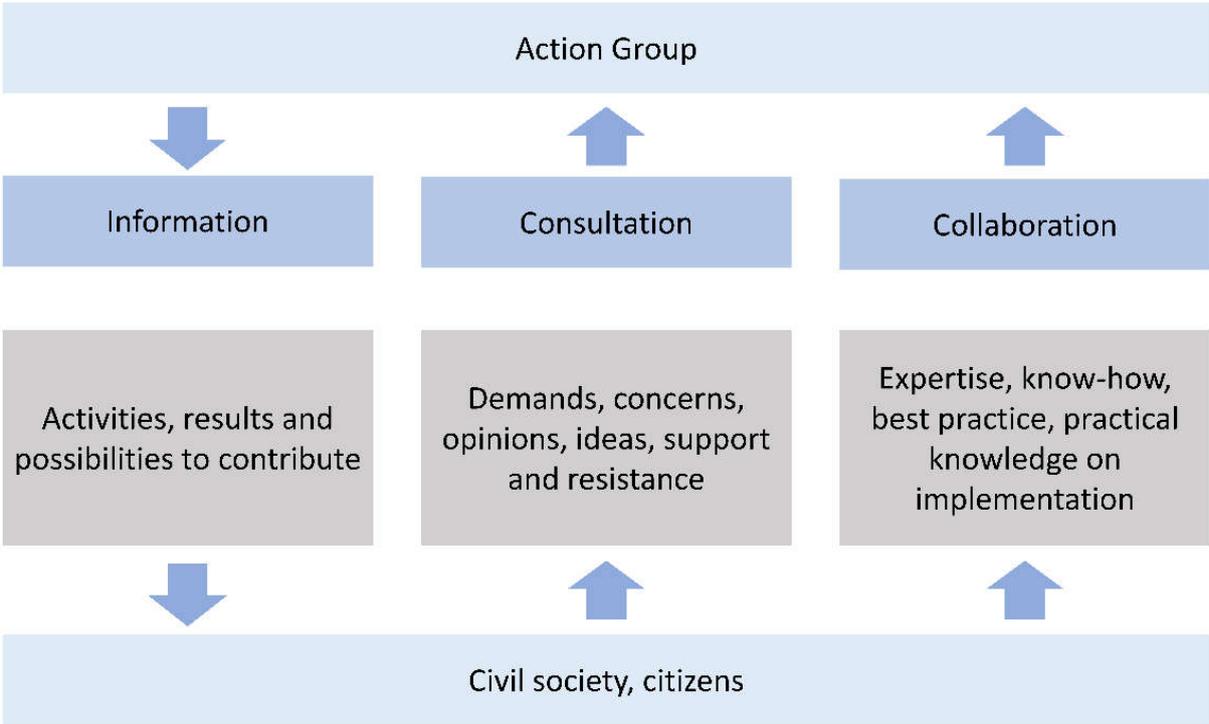


Figure 6. Three functions of non-state actor involvement

5.1.1. Information

A first purpose refers to the use of non-state actors as information interfaces between the Action Group, organised civil society and the citizens. The information function is important due to two reasons. First, the responsibility of public authorities vis-à-vis their constituencies requires mechanisms that hold public authorities accountable. Consequently, information about their activities is important for the legitimacy and acceptance of decisions and projects. Second, the Action Group can only profit from the expertise, the ideas and resources of the non-state sector if many actors are familiar with their agenda.

In this regard, organised non-state actors provide an important link. Non-state actors often possess credibility among their members and the wider citizenry. They have built up a wide range of information tools – magazines, websites, social media – that may be used to raise awareness and to inform. Moreover, they are often part of an extensive network. To profit from the non-state sector in this respect, it is important to raise awareness for the AG4 and its agenda, to provide non-state actors with regular information and to offer them concrete projects and results they can communicate.

While many non-state organisations are already aware of the macro-regional strategy, there is still a lack of awareness especially among organisations organised on a national, regional and local level. Three communication channels appear useful in this regard. A first channel refers to the mobilisation of networks. Participating public authorities often have network contacts to a broad range of non-state actors. They may communicate about the Action Group in the framework of newsletters, on their websites, on events or in the framework of nation-state and regional coordination platforms. At the same time, also non-state actors with which there already exists collaboration can be used to communicate contents and aims of the Action Group. Non-state umbrella organisations that aggregate organisations on an Alpine or European level are especially relevant in this regard. Examples are organisations in the environmental sector (CIPRA International), among mountaineering associations (Club Arc Alpin) or in the transport sector (Transport & Environment).

A second channel implies direct communication with relevant non-state actors. Actors that appear important could be informed by e-mail. A broader public can be targeted with classic news media, for example with the use of radio, TV or newspapers. In the fragmented public sphere of the Alpine space, regional and local news media are of particular importance. At the same time, specific events are a possibility to raise awareness. Events that, for example, deal with railway connections, toll systems or public transport links can address a specialised technical audience that works in the area and gets to know the Action Group and its agenda. These events could be advertised through umbrella organisations, for example chambers of commerce, and specialised publications. In the field of information, EUSALP can also cooperate with existing civil society structures. For example, CIPRA organises every year an AlpWeek in which it raises awareness for subjects of Alpine relevance. A cooperation on the subject of mobility could be an opportunity to distribute information. At the same time, each AG4 member has the responsibility to communicate ongoing activities and planned results with relevant non-state actors within their regions and nation-states.

Non-state actors that are already aware of the Action Group and its content should be kept updated. In this respect, the website is a useful information instrument. The Action Group already provides information on the website, but should upload regular information, also on planned or ongoing projects. Information provided on the website should also target different kinds of audiences. More technical documents could be accompanied by brochures that provide basic information in a more accessible way.

Finally, non-state actors require information they can easily spread. Therefore, special attention should be paid to projects and outcomes that do not just affect public authorities, but touch the everyday lives of citizens (e.g. cross-border transport connections). Moreover, communication should strongly emphasise solutions and projects that emerged in the framework of the EUSALP or were supported by it (e.g. through placing the EUSALP logo on a cross-border public transport ticket, cross-border trains or busses).

While the framework of the Action Group does not allow for an involvement of the wider citizenry, it is also important to build up direct links to citizens to increase awareness and acceptance, especially as the building of public acceptance is one activity of AG4. Public knowledge about the macro-regional strategy and transport-related efforts is very low. This makes it difficult to gain acceptance for planned projects and to receive public legitimacy. Therefore, events where the public can participate, in the framework of the Annual Forum or in the framework of smaller, action-group-specific events in the different Alpine states, are important. The annual mobility conferences are a good starting point; however, until now, they have not mobilised a wider audience. To appeal to the public, it is necessary to organise events that offer tangible benefits. Excursions and site tours on planned cross-border infrastructure projects, like it is already offered for the Brenner base tunnel, may be one possibility. Events should specifically target groups that are difficult to reach, especially young people and a rural public. Information could also be provided in schools, at universities and civic education universities ("Volkshochschulen"). As events should also target a rural public, smaller events, discussion rounds or conferences in rural areas are advisable.

### **Best Practice Examples**

The Action Committee Brenner Railway (Aktionsgemeinschaft Brennerbahn) is a collaboration among regional authorities and the chambers of commerce of five participating regions from Italy, Austria and Germany. It aims at providing a connecting link to the population. Therefore, it has developed different information activities that profit from the involvement of public and economic actors. It has set up a website and

an information movie, organises conferences and publishes a magazine. As a network of regional authorities and economic actors, it can profit from the broad membership base of the participating chambers of commerce and their expertise in the field of information, while it also draws on the regions and their channels. In addition, a permanent secretariat helps with internal and external communication.

Website: <http://www.brennerbahn.eu/>

Alliance in the Alps, a network of Alpine municipalities, draws on eleven animators that provide a link between the Executive Board, which consist of mayors, and the members. The animators come from different sectors; they are non-governmental organisations like CIPRA, research associations or non-profit-associations, but also representatives from municipalities and municipality associations. The animators transfer information from the Executive board to the members, advise and support the members in setting up and conducting projects, establish contacts to other municipalities and submit suggestions of the municipalities to the Executive Board. Therefore, they serve as information devices. As they are situated in different Alpine countries, they provide local contact persons and links to the ground.

Website: <http://alpenallianz.org/en/team/animators>

The local network Alpine Town of the Year uses the expertise and the network of CIPRA International to implement its activities. Therefore, CIPRA International runs the executive office of the network, is responsible for the implementation of resolutions and publishes an e-memorandum on current events and activities.

Website: <http://www.alpenstaedte.org/en/about-us/organisation/executive-office>

### ***Recommendations***

- 
- Mobilisation of networks through participating public authorities and non-governmental organisations
  - Information by e-mail and through news media
  - Regular updating of and accessible information on website
  - Organisation of subject-specific events
  - Organisation of open events for the wider public, e.g. excursions and site tours
  - Cooperation with existing non-governmental organisations (e.g. AlpWeek)
  - Communication of projects and outcomes that touch everyday lives of citizens
  - Special attention to rural public and youth

### 5.1.2. Consultation

A second function performed by the non-state sector is the aggregation and submission of opinions, proposals and ideas. This function draws on the assumption that the legitimacy of public action depends on the continuous responsiveness of decisions and decision-makers to local needs and demands. The implementation on the ground also demands that people can identify with what is carried out. Therefore, public authorities should take up inputs of non-state actors and an early stage of the policy process and aggregate them. They should provide for flexible adjustments to changing demands and preferences. Consequently, it is important to provide mechanisms that allow for the submission of opinions and constant feedback.

In this regard, non-state actors may channel opinions and aggregate concerns and interests that can be taken up in the process. Therefore, they also increase the democratic legitimacy of macro-regional processes. Moreover, non-state actors can deliver moral support for policies and projects elaborated and implemented. Many non-governmental organisations pursue similar issues, for example a shift from road to rail or a different system of road pricing. At the same time, non-state actors may also aggregate opposition and organise resistance to planned projects. As the Action Group aims at increasing public acceptance, it is important to involve them from early on to take up their concerns and to convince them of the utility of the planned strategy.

The consultation of non-state actors can draw on their direct involvement in the Action Group or specific events and more indirect consultation means. The most direct way to take up concerns and demands is the involvement of non-state actors in Action Group meetings. However, the diversity of the non-state sector implies that it is difficult to define representatives who speak for civil society or the citizens. The establishment of broad advisory councils with members from different sectors provides one means to consult non-state organisations that also maintains a sphere of public action within the Action Group itself.

To receive a regular feedback of a wide range of non-state actors, it may be useful to use open consultation platforms, surveys, which can be conducted online, via phone, by mail or in personal, face-to-face interaction. Online consultations are an efficient means and provide easy access. The EUSALP Platform of Knowledge offers one possible tool to consult and exchange with civil society. However, online platforms typically only mobilise actors that are already aware of EUSALP. Therefore, it is important to promote consultations and ensure their public accessibility, also with the help of local news media and kick-off events. Moreover, project- or AG-specific meetings and larger conferences could provide survey forms with which participants can submit specific

ideas and opinions. Finally, AG4 members have themselves a responsibility to take up inputs within their regions and nation-states and to share them with the Action Group. Thereby, they facilitate the responsiveness of results to needs within their respective territories, increase acceptance and prevent strong resistance.

As actors who feel that their engagement makes no difference can lose trust and perceive the EUSALP and participating institutions negatively (Istituto di Sociologia Internazionale 2015, p. 44), it is important to communicate the consultation results and demonstrate how they relate to the governmental inputs. Targets, procedures and the taking up of inputs have to be communicated from early on and in a clear, transparent way. The responsiveness to demands raised by citizens and organised civil society should become one indicator for the success of the Action Group. In practical terms, EUSALP consultation processes could thus be organised according to the procedural terms of the EU's scoreboard exercises. The scoreboard is a monitoring tool that is based on indicators, which are not given in a top-down manner, but developed in a dialogue among all concerned institutions and actors. Participating institutions first identify priority issues. In a second step, they develop indicators to measure progress. For example, participating civil society institutions may view indicators that measure practical consequences for local communities or an increase in youth participation as particularly useful. As the indicators emerge in a participatory process, inputs are not just contributions or ideas, but the benchmark according to which implementation is evaluated. In this way, scoreboards help to create ownership and legitimise the (partial) translation of input into political practice.

With regard to AG4, the Action Group should make clear from the beginning at which stages and in what form inputs are taken up. Following the example of scoreboards, AG4 could invite an open discussion on possible indicators and thereby strengthen linkages between participation and impact. AG4 could also use the EUSALP Platform of Knowledge to contrast a collection of inputs, sorted by specific themes, with the planned agenda and the generated projects or highlight specific, particularly useful inputs and their relation to activities conducted in its regular reports.

### **Best Practice Examples**

EUSALP AG3 ("To improve the adequacy of labour market, education and training in strategic sectors") organises consultative meetings in all Alpine countries. While these meetings are foreseen to gather opinions from public authorities, a similar format could collect ideas from non-state actors across the Alpine arc. At the same time, these meetings strongly depend on regional and national network animators who identify, inform and mobilise relevant actors within their constituencies. AG3 faces problems in

getting in touch with and stimulating actors in the different Alpine countries and regions. Therefore, national and regional coordinators and AG members have to commit to contacting, reminding and convincing possible participants. A coupling with regional and national events, for example meetings of transport committees or national transport summits, could be one possibility to increase participation and produce useful synergies.

The GLCT Grand Genève has established a Forum that involves 75 non-governmental organisations, which organise themselves in the three thematic areas economy, socio-cultural and environment. The forum elaborates recommendations and opinions. The politicians and civil society meet once a year in the framework of a common event.

Website: <http://www.grand-geneve.org/grand-geneve/participation/le-forum-dagglomeration>

In 2014, the UN has created a High-level advisory group on sustainable transport (HLAGST) to provide analytical data, support actions and elaborate recommendations on sustainable transport. A chief executive officer of the company Volvo Group and the mayor of the city Santiago in Chile were co-chairs of the advisory group. The group involved a broad range of actors from different states and sectors, from national ministries, international organisations, manufacturing companies, airlines or railway companies. The team also drew on a technical working group on sustainable transport with experts from 42 organisations. The advisory group set up a comprehensive report that delivers concrete recommendations.

Website: <https://sustainabledevelopment.un.org/topics/sustainabletransport/highleveladvisorygroup>

The European Rail Research Advisory Council ERRAC has two permanent advisory groups. One advisory group encompasses academia and research institutions, while a second advisory group involves representatives from the member states. The advisory groups ensure coordination and harmonisation between the work of the ERRAC and the strategies of national authorities or research institutions.

Website: <http://www.errac.org/about/organisation/>

The Commission International pour la Protection des Eaux du Léman (CIPEL), an intergovernmental cooperation for the protection of the water of Lake Geneva and its inlets, relies on a technical sub-commission that consists of an operational committee and a scientific committee. While the former supervises the implementation of the action plans, the latter coordinates and monitors studies and research programs. The structure allows gathering expertise from scientists and civil servants from both participating countries France and Switzerland.

Website: [http://www.cipel.org/en/cipel\\_en/](http://www.cipel.org/en/cipel_en/)

The International Transport Forum (ITF) has set up a Corporate Partnership Board to exchange with stakeholders on transport policy matters. The secretary-general grants interested companies the status of a “partner” for three years. The Partnership Board discusses issues of transport and elaborates recommendations and policy analysis.

Website: <https://www.itf-oecd.org/CPB>

The Danube Civil Society Forum exists since 2011 and forms part of the EU macro-regional strategy for the Danube region. The Forum was set up on the initiative of the Austria-based foundation ‘Foster Europe, Foundation for strong European Regions’. It is a self-organised and independent structure that gathers 112 non-state actors from the Danube region. The Forum wants to elaborate opinions and proposals for the macro-regional strategy and coordinate the consultation of the non-state sector. An annual participation day provides a forum for networking. However, while the idea of a civil society forum that elaborates recommendations is a positive idea, in reality, the work of the civil society forum is still very much event-based. Civil society organisations meet once a year in the course of the participation day, but typically only gather in the form of front lectures. The civil society forum has initiated five partnerships to spur concrete, project-based and process-related work, but the participation in the partnerships is low. Moreover, ordinary citizens and the majority of non-governmental organisations do not take part at all. Finally, the coupling with the decision-making structures in the Danube strategy is marginal. To work in a more useful way, a civil society forum has to set up concrete working groups that are closely linked to the action groups in the strategy. It should use different discussion techniques, motivate and incorporate citizens and provide funding for smaller non-governmental organisations.

Website: <http://dcsf.danubestrategy.eu/>



### ***Recommendations***

- Direct involvement in Action Group meetings
- Setting up of advisory councils in different domains
- Civil society forums that elaborate concrete recommendations and give opinions in working groups and with the use of unconference formats
- Regular feedback through consultation platforms and online surveys
- Communication of consultation results and relation to decisions

#### 5.1.3. Collaboration

A third purpose of non-state actor involvement draws on the assumption that innovative solutions emerge in a competition of ideas. Actors should be able to contribute their distinct backgrounds and expertise. Therefore, governance should allow for non-discriminatory deliberation among equal participants. A wide range of actors should be positioned to raise ideas and participate in implementing them. In this sense, cooperation also encourages learning processes, the awareness of interdependency and the building of mutual trust. Cooperation can be anchored within the public and thereby gain sustainability, for example through the generation of a common identity. Consequently, the emphasis lies on mechanisms that facilitate equal deliberation and dialogue among a wide range of actors.

The quality of decisions and projects can be increased through the involvement of the expertise of non-state actors. Many non-state organisations have been working since decades on different aspects of transport. They can offer experienced and well-connected personnel, projects and studies relevant to the field. The mobilisation of non-state actors also allows drawing on extensive databases of best-practice examples elaborated during the years. Research institutions are a particular type of non-state actor that offers specialised knowledge in the transport sector. Moreover, non-state actors may provide practical support for implementation. Infrastructure and transport companies will have to implement aspects of the planned projects. Their involvement from early on increases the quality of decisions, which may take account of the conditions on the ground, and facilitates smooth implementation.

The most important forum for collaboration is the Action Group itself. An open and non-discriminatory discussion of projects promises to generate most innovative results. However, extensive involvement can complicate the reaching of compromises and undermine the responsibility of the participating actors. Therefore, smaller meetings

among public authorities could be accompanied by more open formats in which project ideas and definitions can be discussed on an equal basis. The Action Groups could organise participatory seminars, open days and workshops in which a wide range of actors can participate. This also facilitates the finding of project partners, the implementation on the ground and the coordination with ongoing projects and activities in the Alpine space. First efforts have already been taken, for example with the Action Group Forum hosted by the Bavarian EUSALP Presidency, the Mediterranean Coast and Macroregional Strategies Week hosted by the Slovenian EUSALP Presidency or the Meet & Match Forum in Milano. Further formats for discussion and a wider opening of participation should be developed.

Events should provide sector-specific panels in which specialised non-state actors can contribute in their field of expertise. Institutionalised forms can involve permanent committees that generate ideas and proposals. A strong connection to decision-making produces sustainable incentives for collaboration and ensures that innovative ideas find their way into the macro-regional strategy. Easily accessible forms of collaboration are interactive online discussion platforms. The EUSALP Platform of Knowledge will provide a tool that should allow for open discussion. To encourage a broad range of participants, information about the tool, easy accessibility and a very open format with the possibility to raise new ideas will be crucial.

The greatest challenge at the stage of collaboration is lasting, sustainable capacity-building. The participation in discussions and committees requires not just basic knowledge on the EUSALP, but also resources to contribute substantial inputs, raise input in a common language, travel to the different meetings or participate in projects. Therefore, capacity-building beyond inter-administrative cooperation is important. The strategy for the Baltic Sea region has a dedicated horizontal action for capacity building that aims at enhancing the involvement of a wide range of stakeholders. The horizontal action offers seminars, practical training and coaching to improve knowledge, competencies and leadership capabilities. Based on the EUSBSR's experience, EUSALP could create similar offers to balance the differential ability of non-state actors to participate at a transnational level. These offers should especially target organisations at a local and regional level and in rural areas, but also individual citizens interested in participating in a macro-regional framework.

### **Best Practice Examples**

Euromontana represents interests of mountainous areas vis-à-vis the EU. It provides a network for collaboration among different territorial levels – regions, counties, provinces and cities – and with a broad range of actors from different sectors. Research

institutions, regional development associations, associations of less developed or mountainous areas, agricultural associations, chambers of commerce and protected area parks take part in the organisation. The Board of directors, which manages, administers and executes decisions of the General Assembly, involves 30 members from research institutions, local and regional authorities, local development agencies and farmers associations. Drawing on this broad expertise basis, Euromontana can participate in many public hearings and projects.

Website: <http://www.euromontana.org>

The Euregio Salzburg - Berchtesgadener Land – Traunstein has set up a working group on transport to stimulate and support cross-border cooperation in the policy field. The working group comprises a broad range of actors. It involves civil servants from regions, districts and cities, but also chambers of commerce, regional and local transport companies and one regional parliamentarian. The Euregio has already conducted a broad variety of projects in the field of transport.

Website: <http://www.euregio-salzburg.eu/>

The Mountain Partnership is a network of the United Nations that aims at fostering sustainable development in the Alps. It involves national governments, also from all Alpine states except Germany, intergovernmental organisations like the Alpine Convention and a broad variety of non-governmental associations and research institutions. The Partnership conducts advocacy, offers trainings and provides a platform for the development of common projects on sustainable development in mountains. It connects and supports actors in pursuing corresponding projects and activities.

Website: <http://www.fao.org/mountain-partnership>

The Baltic Sea NGO Network exists since 2003. It comprises organisations from all states in the region and aims at supporting and strengthening civil society. In the EU macro-regional strategy for the Baltic Sea region, the NGO Network does not just have a consultative function, but actively collaborates as leader of the horizontal action 'Capacity'. This horizontal action aims at improving knowledge, competencies and leadership capabilities through offering seminars, practical training and coaching.

Website: <http://balticseango.net/>



### ***Recommendations***

- Online discussion platforms
- Open Action Group meetings
- Participatory seminars, open days and workshops
- Sector-specific panels at events
- Creation of permanent committees
- Seminars, training and coaching for capacity-building

Information, consultation and collaboration are equally important to increase the quality of decisions and results, to avoid duplication, to generate innovative outcomes and to ensure legitimacy of macro-regional action. To ensure that non-state actor involvement contributes to an improvement of the process, involvement should be differentiated, constant and recursive.

- The involvement should be differentiated. Not all non-state actors can be involved at all stages of the process. Rather, it is equally important to establish smaller contexts in which only those in charge of decision-making take part, and to provide more open, participatory formats in which a wide range of interests can be raised.
- Involvement should not be seen as a punctual event, but as a constant process that connects information, consultation and collaboration. Responsiveness and innovation cannot be reached with an annual conference. Rather, it is crucial to make non-state actor involvement a steady task of the Action Group and the Action Group Leader.
- Involvement should be recursive. Mechanisms of information, consultation and collaboration have to feed into decisions, and decisions have to feed into information, consultation and collaboration. All four should be connected recursively across all stages of policy-making.



### ***Recommendations***

- Differentiation and coupling of smaller formats with more open discussion fora
- Involvement as a constant process
- Recursive connections among all stages of involvement

While the presented functions and mechanisms of involvement provide a basis for the involvement of non-state actors, it is also necessary to know about the stakeholders that should be involved. The following section elaborates on the different non-state actors relevant for AG4.

## 5.2. Who to involve?

Within the Alpine space, non-state actors are organised at different levels. They can fulfill different functions.

- Some non-state actors are already organised on a European or even global level. One example is Transport & Environment, which gathers environmental and transport organisations that pursue a shift towards environmentally friendly transport. Umbrella organisations are used to work in an EU framework. They have built up connections to EU institutions and provide a network of actors in a certain policy field. Often, they have established working groups that gather relevant actors from different nation-states on specific issues. While these organisations do not just work on an Alpine level, their transnational character makes them an important information interface and a network that facilitates interest aggregation and collaboration.
- In the Alpine space, some non-state actors have already established cross-border structures. Examples are the environmental organisation CIPRA or the mountaineering association Club Arc Alpin. These organisations may mobilise a certain kind of Alpine public and can help to build awareness for the Alpine character of challenges and solutions. At the same time, there are also smaller cross-border organisations, especially in the Mont Blanc area, that provide cross-border networks in the non-state sector.
- Many non-state actors are still focused on the national, regional or local level. These organisations face more difficulties to contribute in a cross-border framework and have limited resources. Moreover, the awareness for the cross-border character of issues is often lacking. At the same time, the organisations are stronger linked to their territories. They often have a more direct connection to the people they represent and may be particularly useful for contributing concerns and demands.
- A particular segment of the non-state sector are young people. As young people use different information channels and are less organised and present in the political realm than middle-aged or older persons, they often lack chances to contribute. At the same time, they may provide fresh ideas, innovative

approaches and may anchor cross-border cooperation in the future. If cross-border regimes succeed in mobilizing youth, they are more likely to be relevant for future generations. Therefore, cross-border cooperation has to target youth specifically. The following section takes a closer look at possibilities to involve young people in cross-border cooperation.

#### 5.2.1. The involvement of youth

To reach youth, cross-border regimes have to provide specific incentives and structures for participation. First, it is important to set up specific events that target young people. Contests among schools and specific awards, for example for innovative ideas in the area of transport, are one possibility to connect with youth. Seminars and trainings in the area of transport are another possibility. Events could specifically target young people that work in the transport sector, for example apprentices of railway and road companies. In parallel, young people can be targeted as users of transport offers. They can be invited to present and discuss their ideas on the future development of mobility. Young people are more motivated to contribute if they feel that their ideas are taken into account by decision-makers. The Action Group could stimulate their commitment through choosing among the presented ideas one proposal that will be implemented directly. Moreover, a direct exchange with decision-makers on their ideas appears useful.

Cross-border regimes can also use permanent structures – youth parliaments, laboratories or youth ambassadors – to maintain links to young people, their visions and demands. In youth parliaments, young people elaborate proposals in smaller groups. Afterwards, they try to convince their colleagues in plenary for their ideas. In some cases, these parliaments are coupled with specific lectures and trainings that give input and strengthen young people in presenting and elaborating their ideas. Youth laboratories focus more specifically on the development of ideas and their experimentation. Young people with specific ideas in mind can use such laboratories to discuss their proposals with experts. It may also be possible to implement parts of their ideas directly. Finally, youth ambassadors are young people who meet regularly to gain expertise in a specific thematic field. Afterwards, they return to their communities to share their expertise. Youth ambassadors submit information and experiences peer-to-peer. Therefore, they may be useful links to young people on the ground.

To reach young people and inform them about ongoing activities of AG4 and possibilities to participate, the Action Group can use local and regional news media outlets and social media. It can also target schools and universities specifically. At the same time, it appears important to target young workers that can contribute their first working experiences. Therefore, young apprentices in the transport sector could be involved, for example through contacting economic associations or professional schools.

Youth associations are a further channel through which young people can be reached. Young people are organised in different structures in the single member states. CIPRA International provides an overview of relevant organisations (CIPRA 2013). In France, ANACEJ (Association Nationale des Conseils d'Enfants et de Jeunes) fosters discussions between local authorities, youth management boards and federations for civic education. On the local level, different youth councils exist, for example the Conseil général jeune des Alpes de Haute-Provence. In Switzerland, the Schweizerische Arbeitsgemeinschaft der Jugendverbände (SAJV, Swiss National Youth Council) represents the interests of about 65 youth organisations. The Dachverband Schweizer Jugendparlamente (DSJ, Swiss Federation of Youth Parliaments) is a roof organisation of Cantonal Youth Councils and local youth parliaments. In Austria, the Bundesjugendvertretung and the Bundesschülervertretung have been established to speak for young people and pupils vis-à-vis the political level. The German region Bavaria has set up a Bavarian Youth Council. Liechtenstein draws on the platform AHA Centre, while young people in Italy meet in the National Youth Forum. In Slovenia, the Planinska zveza Slovenije (Alpine association of Slovenia) or the Zveza študentskih klubov Slovenije (Association of students club of Slovenia) represent structures for young people.

Finally, cross-border structures have to provide young people with the means to participate on a cross-border level. It is essential to financially support them through providing scholarships or reimbursing travel costs. Young people from all over the Alpine arc could apply for participation in annual transport conferences; funding could be provided to participants of each Alpine state and region.

### **Best Practice Examples**

The Alpine Convention and the Akademisches Gymnasium Innsbruck have established a Youth Parliament. The Youth Parliament provides young people from ten different schools in all Alpine countries the possibility to discuss issues of Alpine relevance and

to practice political deliberation. Young people meet once a year at a parliamentary assembly in one Alpine state. Travel expenses are paid, local families host the students, and the Alpine Convention and platforms like Alpine Town of the year ensure that the parliament can directly exchange with politicians. The students elaborate proposals in committees and try to win the general assembly for their ideas. They are also responsible for spreading their recommendations. They write articles for newspapers and for the annual report of the association Alpine Town of the Year and release news and updates on the website. A dedicated "Platform Future" collects ideas and develops concepts how the youth parliament can enter in politics. The Platform is supported by a coach, a teacher and the association Alpine Town of the Year. The association helps young people to stabilise collaboration and ensures that member towns invite them to present their ideas.

Website: <http://www.ypac.eu/>

UITP (Union Internationale des Transports Publics) has started Youth For Public Transport (YFPT), an international non-governmental youth organisation that promotes the active participation of young people in advocating the use of public transport. Young people are designated as ambassadors of sustainable mobility. In parallel, UITP fosters the participation of young people in transport decisions, for example through establishing parliaments and laboratories. The initiative organises meetings and conferences, contests, challenges and awards and a world youth network on sustainable mobility.

Website: <http://www.y4pt.org/>

The project "Youth Alpine Express", conducted by CIPRA International, Alpine Town of the Year and the municipalities Idrija (Slovenia), Belluno and Val Poschiavo (Italy) and Werfenweng (Austria), supports young people, youth workers and decision-makers in travelling from their hometowns in the Alps to four international events. While they receive the opportunity to discuss their areas of interest with experts, they are expected to share their experience to their own local community. They present their experiences to local political representatives and thereby act as ambassadors of soft mobility. Moreover, they should take leadership in sustainable lifestyles beyond the project and propose a measure that reduces CO2 emissions in their municipality.

Website: <http://youthalpineexpress.eu/>

CIPRA International established a Youth Council in 2013. Young people between 14 and 25 from the different Alpine states are appointed for a two-year term. The council should foster the involvement of young people in decisions. It advises CIPRA bodies on all relevant questions. Participants can speak and table motions in the Assembly of Delegates, the Presiding Committee and the Executive Board. They can also submit proposals. At the same time, CIPRA supports the members in developing their ideas and provides them access to its international network.

Website: <http://www.cipra.org/en/cipra/about/people/cipra-youth-council>

The French region Rhône-Alpes organised the strategic process “Montagne 2040” between January 2012 and June 2013 to define a long-term vision of the region’s mountain policy. Young people were invited to discuss subjects related to the mountains and their development with experts. The debates resulted in a strategic document that defines scenarios for future development.

Website: <http://pro.auvergneRhônealpes-tourisme.com/article/montagne-2040-nouveaux-temps-nouveaux-dfis>

While young people are an important stakeholder in Alpine development, the non-state sector encompasses a broad variety of organisations with relevant competences in the field of transport. The following sections examine the organised non-state sector that is relevant for EUSALP AG4. The analysis places non-state organisations in ten categories: environmental organisations, mountaineering associations, passenger associations, railway company associations, road company associations and automobile clubs, freight transport associations, urban public transport associations, associations focused on combined transport and chambers of industry and commerce and tourism associations.



### ***Recommendations***

- Specific events that target young people (contests, awards, seminars and trainings)
- Events for apprentices of railway and road companies
- Events for young people as users of transport offers
- Exchange with decision-makers
- Taking up of ideas for implementation to encourage participation
- Youth parliaments, laboratories and youth ambassadors
- Communication through local and regional news media outlets and social media
- Targeting of schools, universities, economic associations and professional schools
- Collaboration with existing youth associations, youth councils and youth parliaments
- Reimbursement of travel costs

## 5.3. Non-state actors

### 5.3.1. Environmental organisations

With regard to information, environmental organisations offer a wide variety of *communication activities*. Some organisations keep their members updated on transport issues through their websites and social media channels. Many environmental organisations publish magazines that can reach a wider audience. CIPRA International, for example, releases the magazine *SzeneAlpen* in all four Alpine languages, German, Italian, French and Slovenian, with a circulation of 14.000 copies. Moreover, environmental stakeholders organise informative seminars and workshops that can be used to distribute information. Some organisations also run dedicated media or provide broader campaigns for issues of transport. The Mountain Forum and its European branch, the European Mountain Forum, provide a communication platform on sustainable development in the Alps. The Mountain Forum strives to encourage knowledge sharing among mountain people and runs an online media on sustainable development in the Alps. It involves a broad range of non-governmental and governmental associations, civil servants and researchers. Bridging the Gap ([www.transport2020.org](http://www.transport2020.org)) is a UN multi-stakeholder initiative that aims at linking climate change and land transport more closely. Its main activities lie in advocacy for a better recognition of the potential of land transport to mitigate greenhouse emissions.

Environmental organisations are also part of broad networks that can spread ideas. CIPRA International, the environmental organisation Mountain Wilderness and Club Arc Alpin are umbrella organisations with branches in the different Alpine states. The country organisations of WWF Austria, France, Italy and Switzerland cooperate in the framework of the European Alpine Space Project on the protection of biodiversity in the Alps. CIPRA Slovenia founded in 2005 a coalition for sustainable transport policy with other Slovenian organisations. 22 Italian associations have founded the “Alleanza della Mobilità Dolce”, an “Alliance for soft mobility”, in September 2017. The aim of the platform is to develop projects and proposals for soft mobility and to improve the offer and public policies for hikers, bikers and users of tourist railways. The alliance promotes the creation of a network of soft mobility for travelers that should be integrated in public transport. Members of the platform are environmental associations like Legambiente and WWF, transport associations like the Touring Club or the Italian federation of tourist and museum railways, but also associations like the Italian association for landscape architecture or the Italian association for responsible tourism.

The organisation Transport & Environment (T & E) serves as a platform for associations that advocate a shift towards environmentally friendly transport. In the Alpine space, the platform involves environmental organisations (focus in Slovenia, Réseau Action Climat France and France Nature Environnement in France, Naturschutzbund and Deutsche Umwelthilfe in Germany, Fondazione per lo Sviluppo sostenibile in Italy) that have a strong interest in transport. Furthermore, it gathers the passenger organisations Verkehrs Club der Schweiz (Switzerland), Verkehrs Club Österreich (Austria), Verkehrs Club Deutschland (Germany) and Fédération Nationale des Usagers des Transports in France. A further member is the association Alpine Initiative, a Switzerland-based association that unites activists and interested citizens who want to protect the Alpine region from transit traffic. Further members of T & E are two small-scale initiatives for cleaner air in cities in Italy, Cittadini per l'aria and Genitori anti smog.

The organisations aggregate and contribute positions in the specific area of environmental policy. The environmental organisations analysed all pursue a similar agenda. They aim at a transport policy that is sustainable, environmentally friendly and protects the natural and cultural heritage. A modal shift from road to rail, an expansion and improvement of public transport and the facilitation of pedestrian and bike traffic in cities rank high among their transport priorities. Some organisations also explicitly demand the introduction of an Alpine crossing stock exchange, for example CIPRA International and the Alpine Initiative. On a smaller scale, the three organisations proMONT-BLANC, Association pour le Respect du Site du Mont-Blanc (ARSMB) and

Environn'MontBlanc all fight for a reduction of transit traffic in the Mont Blanc area. They gather activists and concerned citizens and provide a direct connection to like-minded actors on the ground. The German-based Alliance for a heavy vehicle fee in the whole of Europe gathers smaller citizens' initiatives and larger organisations like the Verkehrs Club Deutschland. The network of protected areas in the Alps, ALPARC, is closely associated with the Alpine Convention. The network unites managers of protected areas that may provide useful inputs on how to link environment and transport needs, especially as soft mobility ranks among its working priorities.

Environmental organisations can contribute specific expertise to the Action Group. As many of them fight for a change in transport policy, they have built up knowledge on the policy area, have elaborated proposals and ideas and collect best practice examples. This expertise can be used to improve the quality and the innovative character of decisions and projects in the Action Group. Table 8 shows a selection of transport-related projects and studies that have been conducted by environmental organisations in the Alpine space. Apart from these projects, many organisations also participate in INTERREG projects in the field, which are not part of Table 8.

Table 8. Projects and studies of environmental organisations (selection)

<b>Organisation</b>	<b>Projects and publications</b>
<i>Environment</i>	
<i>WWF Germany</i>	Publication "Environmentally friendly transport in Germany", 2014, together with partners
<i>Greenpeace</i>	Publication "A new urban mobility concept", 2016
<i>France Environnement</i>	<i>Nature</i> Information day on sustainable mobility for local actors, 2015
<i>Legambiente, Italy</i>	Project "The Green Train" that aims at collecting information regarding smog, traffic and noise. Train coaches are equipped with exhibitions, videos and small scale models. Stops for three days in towns and cities and also targets children.  <a href="http://www.trenoverde.it/">http://www.trenoverde.it/</a>
<i>Réseau Action Climat France</i>	Publication "Transports: Moteur des changements climatiques", 2010, that shows negative effects of

transport on the environment and possibilities to improve for individuals

Publication "How can territorial entities finance mobility solutions", 2015

Publication "Sustainable mobility solutions in rural and periurban areas", 2014

*Fondazione per lo Sviluppo sostenibile, Italy*

Publication "Railways and Green Growth - Why investing in railways leads to a better future" together with International Union of Railways, 2015. Investigates the economic impact of a modal shift.

Publication "Genoa-Rotterdam, A sustainable corridor" together with Switzerland embassy in Italy, 2012, on the impact of a modal shift on the corridor.

*Focus, Slovenia*

Workshops in rural areas "Which kind of transport do we want?"

Project "Sustainable transport in practice - recommendations for decision-makers" that provides best practice examples, conferences and seminars for teachers, 2017

Seminar and workshop "Railway and bicycle - an alternative in Slovenia", 2016

Project "Public transport is cool", 2007-2010, for pupils. Workshops in schools, resources for teachers, prizes for innovative school projects.

Project "Sustainable transport in school"

Survey on public transport and bicycle infrastructure  
Platform "Mobilisation for public transport" that incorporates public transport companies, authorities, civil society, decision-makers, with discussion tables in 10 municipalities. The aim is to discuss opportunities and challenges for the use of public transport and to provide a collection of best practice examples for decision-makers. Uses unconventional formats like flashmobs.

<i>proMONT-BLANC</i>	Project "RezoPouce" in the framework of the network "TransVersant" (was created by ProMontBlanc). Aim of the project is to reduce the number of vehicles with one person on board through organizing and improving the safety of hitchhiking.
<i>ALPARC</i>	International seminar "Sustainable mobility and Alpine Protected Areas" and synthesis report, 2008

*Environment and mountaineering*

<i>Mountain Switzerland</i>	<i>Wilderness</i>	Information platform AlpenTaxi.ch  Platform that provides information on local transport companies in remote areas. The aim is to ensure the last link between public transport and the mountains for mountaineers.  www.AlpenTaxi.ch
<i>CIPRA International</i>		Publication "CIPRA Compact - transport and climate change", 2010. Overview of transport measures that allow adapting to climate change.
<i>CIPRA Slovenia</i>		Brochure "Timetables in the Alps", 2017, 9 <sup>th</sup> edition. Collects public transport timetables relevant for mountaineers in Slovenia.  Publication "Identification of the status of public transport and measures for sustainable transport in Slovenian municipalities", 2012

*Environment and transport*

<i>Transport &amp; Environment</i>	Publication "Roadmap to climate-friendly land freight and buses in Europe", 2017
<i>Transport &amp; Environment</i>	Creation of a rail freight platform in 2015. Aim is to provide a forum for stakeholders in rail, to organise workshops and to elaborate recommendations for

policy-makers to answer the key question: Why does rail freight lag behind?

*BusAlpin, Switzerland*

Provides bus connections in tourism-relevant peripheral areas in Switzerland.

Brochure "Traffic management", 2009, gives recommendations for traffic management in tourism-relevant mountain villages.

*Bridging the Gap*

Online database "365 Transport & Climate" with 365 examples of actions on transport and climate change

### 5.3.2. Mountaineering associations

One of the biggest assets of an involvement of the mountaineering associations is their broad member base. As they offer different services, especially insurances, for mountaineers, they have many members and reach, through their member magazines, a broad Alpine audience. Moreover, the mountaineering associations gather mountaineers in educational programs and member hiking tours. The eight mountaineering associations in the Alps are organised in the umbrella organisation Club Arc Alpin. The Club Arc Alpin coordinates and represents the common interests of the member associations and participates as an observer in the Alpine Convention.

The mountaineering associations favour, similar to environmental organisations, an environmentally-friendly transformation of transport. This follows their desire for a protection of the sensitive Alpine nature. Therefore, the mountaineering associations also oppose the building of new Alpine crossing transversals and argue for a prioritisation of public transport. They pursue a reduction of traffic in the mountains, a general reduction of emissions and oppose tourism-motivated traffic like heli-skiing or skidoos.

The associations can especially contribute expertise in improving public transport links in the mountains. The associations in South Tyrol and Austria regularly publish brochures that show possibilities to access hiking tours without cars. The Austrian mountaineering association also sponsors hiking busses in national parks. The association in Germany cooperates with Deutsche Bahn. The mountaineering association recommends its members arrival by railway, while the Deutsche Bahn offers on the website [www.bahn.de](http://www.bahn.de) the possibility to inform about direct connections

between house and mountain hut. The Deutsche Bahn in Bavaria also has a dedicated railway wagon of the German mountaineering association.

### 5.3.3. Passenger associations

Passenger associations unite actors that are interested in the improvement of public transport. Therefore, they can be used to broadly submit information on ongoing initiatives in the field of public transport. The Brussels-based European Passengers Federation provides the broadest membership basis in the field of passenger representation. The members of the European Passengers Federation in the Alpine space are different organisations that claim to represent the interests of users of public transport. The Verkehrs Club der Schweiz in Switzerland, the Verkehrs Club Deutschland in Germany and the FNAUT in France also form part of the platform T & E. Moreover, the European Passengers Federation involves the associations Fahrgast and probahn Österreich in Austria, Deutsche Bahnkunden-Verband (DBV) and probahn Deutschland in Germany, probahn Schweiz in Switzerland and Associazione Utenti del Trasporto Pubblico (UTP) in Italy. Most organisations have member magazines that can be used to distribute information among a transport-interested audience. Moreover, they organise different events that can be used to spread information. For example, FNAUT organises every two years a congress on public transport in France.

The Allianz pro Schiene is a cooperation network of 23 environmental and passenger associations and 140 companies from the railway sector in Germany. It elaborates transport policy proposals, discusses innovations and questions related to modal shift policies and aims at increasing the competitiveness of railway transport. Allianz pro Schiene works through nine working groups. It serves as a multiplier for actors interested in public transport in Germany and organises dialogue events, for example on climate protection and modal shift policies.

The different passenger associations all have an interest in an expansion and improvement of the public transport offer and infrastructure. Therefore, they can provide moral support for corresponding projects and a network of contacts, activists and interested citizens. The passenger associations provide public arenas in which discussions on transport take place. These already existing arenas should be used to link activities with users on the ground. As a cross-border arena, the European Passengers Federation has working groups on international long-distance travel and regional cross-border services. These working groups also meet with railway companies.

At the same time, the organisations perceive themselves as representatives of all users of public transport. Therefore, they also provide tools through which they aggregate demands and needs. For example, the association probahn Germany provides a “complaints box” to collect concerns regarding public transport, and probahn Switzerland gathers opinions and concerns on the homepage. The Verkehrs Club Österreich conducts surveys on the satisfaction with the railway system.

Finally, passenger associations contribute specific expertise in the field of public transport. Table 9 shows a selection of relevant projects and publications.

*Table 9. Projects and studies of passenger associations (selection)*

<b>Organisation</b>	<b>Projects and publications</b>
<i>European Federation</i>	<i>Passengers</i> Project “USEMobility”. The project studied why people have decided to switch from car use to public transport. In the course of the two-year study (2011-12), the Federation conducted a survey and developed future scenarios for environmentally friendly multimodal mobility.
<i>Verkehrs Club der Schweiz (VCS), Switzerland</i>	Test on sustainable transport in 14 tourism villages
<i>Verkehrs Club Österreich (VCÖ), Austria</i>	Publication "Sustainable development for regional centres" (2016) on status quo and opportunities for public transport in regional capitals  Publication "Personal mobility on climate course" with best practice examples for climate friendly mobility  VCÖ Mobility price for best practice projects in the field of sustainable mobility, with online project database
<i>Verkehrs Club Deutschland (VCD), Germany</i>	Project "Multimodal on the road" with the aim to foster multi-modal transport in cities. Support of municipalities, local transport companies, Start-Ups in developing products. Digital info map with recommendations. Survey on multi-modality among citizens. Fostering of exchange of information and

networking. List of good practice examples on the homepage.

Project "Public transport accessibility check list" as a survey on accessibility of public transport offers in cities and villages.

Publications of different best practice collections.

Project "Towards 2050" that focuses on sustainable mobility education. Actions at universities and vocational schools; project days, workshops, support of degree theses and education service for teachers.

#### *Allianz pro Schiene*

Project "Fahr umweltbewusst!". Dialogue between providers and users of driving assistance systems to increase energy-efficient driving behavior in the railway sector.

Collection of best practice examples for modal shift on homepage.

Organisation of workshops for company mobility management.

Comparison of environmental impact of different railway companies in Germany.

Publication "Stadt, Land, Schiene - 15 Beispiele erfolgreicher Bahnen im Nahverkehr" with best practice examples of local railway connections (2015).

#### *FNAUT*

Studies "How to reduce railway route times" (2017), "Good practices for intermodality at train stations" (2016), "Which governance for railway in France?" (2012)

#### 5.3.4. Railway company associations

While each Alpine state has a broad range of companies dealing with railway traffic, umbrella organisations provide overarching fora for the distribution of information among enterprises. One of these umbrella organisations is the Community of European Railway and Infrastructure Companies (CER). It gathers over 70 railway companies in

Europe. In the Alps, members are the national railway companies of Germany (Deutsche Bahn), Austria (ÖBB), Switzerland (Schweizerische Bundesbahnen SBB), France (Société Nationale des Chemins de Fer Français SNCF), Italy (Ferrovie dello Stato Italiane FSI) and Slovenia (Slovenske Železnice SZ). Moreover, the Community gathers the smaller railway companies BLS in Switzerland and Salzburger Lokalbahn in Austria, while also Trasse Schweiz, the company that manages the train path allocation in Switzerland, takes part. Finally, two associations that represent the interests of transport companies in Germany (Verband deutscher Verkehrsunternehmen) and the interests of railway companies in Austria (Fachverband der Schienenbahnen) participate.

The International Union of Railways (UIC) promotes cooperation between railways at a global level and carries out activities to develop international transport by rail. The UIC has the broadest membership base in the Alpine space. It does not just unite national railway companies (Deutsche Bahn, Germany; SNCF, France; FS, Italy; SZ, Slovenia; SBB, Switzerland), but also private railway companies (Westbahn in Austria), local railway companies (Wiener Lokalbahnen Cargo GmbH, Austria; TRENORD Gruppo Ferrovie Nord Milano, Italy; Ahaus Alstätter Eisenbahn, Switzerland) and other companies active in the field of transport (for example, the Bodensee-Schiffsbetriebe GmbH or the Slovenian National Building & Civil Engineering Institute). The UIC also organises Global Rail Freight Conferences.

RailNetEurope associates European railway infrastructure companies and authorities. It has its seat in Vienna. In the Alpine space, its members are railway infrastructure companies from Austria (Raab-Ödenburg-Ebenfurter Eisenbahn AG, ÖBB Infrastruktur AG), France (SNCF Réseau, LISEA LGV SEA Tours-Bordeaux), Germany (DB Netz AG), Italy (RFI), Slovenia (SZ) and Switzerland (BLS AG, SBB Infrastructure, Trasse Schweiz).

The Switzerland-based Forum Train Europe (FTE) is the European association of railway undertakings and service companies. It unites railway companies that are active in passenger and freight transport. In the Alps, 25 companies from all Alpine countries take part, among them all national railway passenger and freight transport companies. The Bern-based International Rail Transport Committee (CIT) is an association of 216 railway undertakings and shipping companies that provide international passenger and/or freight services. 126 organisations are members in their own right, 80 organisations are linked indirectly by being members of CIT associate members. The European Rail Freight Association (ERFA) represents new market entrants and lobbies for a complete liberalisation of the railway market. It gathers mostly private companies in the railway sector, for example BLS Cargo in Switzerland, Westbahn, Wiener

Lokalbahnen Cargo GmbH, and LKW Walter in Austria or the Netzwerk Privatbahnen in Germany.

Independent Regulators in the railway sector build the Independent Regulators' Group – Rail (IRG Rail). In the Alps, its members are the Austria Schienen-Control GmbH, the German Bundesnetzagentur, the French Autorité de Régulation des Activités Ferroviaires et Routières, the Italian Autorità di Regolazione dei Trasporti, the Swiss Schiedskommission im Eisenbahnverkehr and the Slovenian APEK.

Apart from these larger associations, there exists a broad variety of smaller associations of railway companies that can be used to spread information among actors working in the railway sector. For example, the Union of the European Railway Industries (UNIFE) represents nearly 100 European companies responsible for the design, manufacture, maintenance and refurbishment of guided land transport systems, subsystems and related equipment. The Rail Freight Group (RFG) represents the views of over 150 rail freight industry companies, ranging from customers, logistics providers, suppliers, terminal operators, ports and freight train operating companies. The International Rail Freight Business Association gathers rail forwarders mainly from Germany, but also from Switzerland and Italy.

The International Union of Wagon Keepers (UIP) encompasses owners, loaders, users and other parties interested in private rail freight wagons in Europe. In the Alps, it represents the national associations in Austria (Verband der Privatgüterwagen-Interessenten), Germany (Verband der Güterwagenhalter in Deutschland), France (Association Française des Wagons de Particuliers), Italy (Associazione Operatori Ferroviari e Intermodali) and Switzerland (Verlader Anschlussgleise Privatgüterwagen). The association Cargo Rail Europe (CRE) represents companies that are rail freight customers. The Swiss-based organisation Cargo Rail gathers rail freight customers from Switzerland, Germany, Italy, Poland, Austria and France. EFRTC provides an association of national track-works and constructions associations, while EPTTOLA represents companies that supply passenger trains and traction equipment. In the single countries, associations like the Verband deutscher Verkehrsunternehmen in Germany or the Fachverband der Schienenbahnen in Austria gather member companies in the transport sector.

The different railway associations collaborate closely, also with the European Railway Agency, in many technical matters. CER, UIC, UIP, EIM (European Rail Infrastructure Managers), UNIFE, UITP, ERFA and EPTTOLA build the Group of Representative Bodies (GRB), a group of railway associations that support the European Railway Agency. RailNetEurope also has a close collaboration with the IQ-C Working Group.

The associations aim at representing the interests of their member companies. Therefore, they aggregate the positions of the railway sector. However, they have different priorities. For example, ERFA focuses on the liberalisation of the railway sector, while associations like CER or the UIC mainly involve public railway companies that often oppose a further liberalisation. FTE promotes cross-border coordination amongst railway undertakings and the interoperability of European's rail services. CER sees its main role in supporting an improved business and regulatory environment for European railway operators and railway infrastructure companies. The overall aim of the IRG Rail is to facilitate the creation of a single, competitive, efficient and sustainable internal railways market in Europe.

To aggregate opinions, some organisations also conduct surveys. For example, RailNetEurope coordinates an annual survey on user satisfaction with the rail freight corridors, which is conducted by an independent market research institute. CRE understands itself as an "opinion poll" that gathers information on deficits in rail freight traffic and submits them to the political level. The organisation aims at the development and maintenance of an efficient rail system and focuses, in particular, on a harmonisation of rail freight in Europe.

Finally, the associations have specific expertise in different fields related to railway transport. They have set up international working groups in which members collaborate on technical issues and provide many services for their members. For example, the CIT helps railways implement international rail transport law. Therefore, it draws up and maintains legal publications. In addition, it provides regular briefings on legal issues, training courses and legal advice. FTE supports its members with an international production planning process and helps to harmonise their production plans to increase interoperability. Thereby, it serves as a coordination platform for an international harmonisation of production plans and path requests. RailNetEurope operates the Train Information System (TIS), a web-based application that supports international train management by delivering real-time train data concerning international passenger and freight trains. It has international working groups on various topics, among them Rail Freight Corridors, Sales & Timetabling and Traffic & Train Performance Management.

The IRG-Rail acts as a platform for cooperation, information exchange and sharing of best practice between national railway regulators and has established seven working groups, for example on access, charges and emerging legislative proposals. The UIC focuses on technical support and publishes documents to facilitate the implementation of new technologies. It has set up many working groups that gather relevant expertise

in the field. As UIC promotes intercontinental and transcontinental rail traffic, it has a dedicated group of experts dealing with this issue. A permanent contact group of UIC and the FIATA (International Freight Forwarders' Association) exchanges best practice and ideas between the railway undertakings and freight forwarders.

An example for a nation-state based platform for expertise is the Rail Technology Cluster Austria. It is a technology-oriented platform that supports interdisciplinary cooperation between operators, industry, small and medium-sized enterprises and science. The competence network coordinates cluster projects, organises events and presentations and promotes networking among members.

Specific networks bring together scientific expertise in the railway sector. The European Rail Research Advisory Council (ERRAC) provides the main platform for research collaboration in the field of railway research. It includes 45 representatives from manufacturers, operators, infrastructure managers, the European Commission, EU member states, academics and private and commercial users' groups. In a similar vein, the International Association of Railway Operations Research unites a large number of researchers working on railway operation subjects. It organises events to foster scientific exchange. EURNEX, the European rail Research Network of EXcellence, comprises 35 scientific institutes in the area of rail transport and mobility in Europe and China. The activities of EURNEX members are structured in ten Poles of Excellence that cover topics like infrastructure and signaling, intelligent mobility or environment and energy efficiency. The research network also provides virtual training courses.

Table 10 shows a selection of relevant publications and projects.

*Table 10. Projects and studies of railway company associations (selection)*

<b>Organisation</b>	<b>Projects and publications</b>
<i>Community of European Railway and Infrastructure Companies (CER)</i>	Publication "Public Service Rail transport in the EU: an overview", 2017
	Publication "Rail transport and environment, facts & figures", 2015
	Publication "The economic footprint of railway transport in Europe", 2014
<i>International Union of Railways (UIC)</i>	Publication "Annual Railway Handbook (Energy consumption and CO2 emissions)", together with International Energy Agency

Project "TopRail" that promotes sustainable rail tourism.

*RailNetEurope*

Train Performance Management (TPM) project, carried out in 2009. The project aimed at setting up a complete process for monitoring, analysing and improving performance of international trains, namely in terms of punctuality. TPM Guidelines were developed to describe the overall train performance quality management process.

To tackle communication problems between Traffic Control Centres across national borders, RNE developed a multilingual information exchange tool, called 'TCCCom tool', and integrated it into TIS. In addition to the TCCCom tool, "Guidelines for communication between traffic control centres" were developed to set up a framework of standard procedures and tools supporting the daily traffic management.

*Forum Train Europe (FTE)*

European Coach/Wagon Availability Plan (EWP) for passenger traffic

International coordination conferences for the harmonisation of production planning in the passenger and freight traffic

Redesign of International Timetabling Process (TTR) project, together with RailNetEurope and ERFA. Model of international timetabling process to harmonise timetabling procedures, IT analysis, implementation plan, contact point and information events.

*Independent Regulators' Group – Rail (IRG Rail)*

Annual Market Monitoring Reports on the railway market.

Organisation of workshops, e.g. on best regulatory practices.

<i>Rail Transport Committee (CIT)</i>	Various publications on legal framework of railway transport in Europe
<i>Union of the European Railway Industries (UNIFE)</i>	Annual publication of World Rail Market Study
<i>Rail Freight Group (RFG)</i>	Organisation of training course "Demystifying rail freight: become an informed user of rail freight services" to help companies gain a better understanding of the benefits of modal shift to rail.
<i>International Rail Freight Business Association</i>	Workshops "Growth perspectives for rail", "Railports"
<i>International Union of Wagon Keepers (UIP)</i>	Publication of technical notes, guidelines for application of EU law  Comparative study on rail and road safety for accidents caused by technical failures
<i>International Association of Railway Operations Research</i>	Publication "Railway Timetable & Traffic: Analysis, Modelling, Simulation", 2008
<i>ERRAC</i>	Publication "Suburban and regional railways landscape in Europe", 2016  Publication "Rail Route 2050: the sustainable backbone of the Single European Transport Area", 2013

#### 5.3.5. Road company associations and automobile clubs

Road company associations unite economic actors that build and maintain the road network. They can be crucial to take up concerns and demands and to coordinate the different modes of transport. The World Road Association (PIARC) encompasses the road administrations of 121 national governments, among them also Austria, France, Germany, Italy, Slovenia and Switzerland. The association is organised in national committees that gather relevant authorities, mainly from the national level. PIARC also organises an Annual World Congress on topics of road administration. The Conference of European Directors of Roads (CEDR) provides a platform for cooperation between

national road authorities. It gathers the national road authorities from all Alpine states, except France and Liechtenstein.

The Association Européenne des Concessionnaires d'Autoroutes et d'Ouvrages à Péage (ASECAP) unites 22 European operators of toll road infrastructures. It includes the Austrian ASFINAG, the German Toll Collect, the Italian AISCAT, the French ASFA and the Slovenian DARS. The International Road Transport Union (IRU) gathers private road transport associations, and therefore commercial users of road infrastructure, from more than 76 countries. It has one member in Austria, six members in France, ten members in Germany, four members in Italy, one member in Slovenia and one member in Switzerland.

The Geneva-based International Road Federation (IRF) is a non-governmental association that promotes the development and maintenance of better, safer and more sustainable roads and road networks. It gathers businesses active in the sector. In a similar vein, the European Union Road Federation (ERF) unites road industry associations and lobbying organisations, also from Austria, France, Germany, Italy and Slovenia.

With regard to interest aggregation, PIARC and IRU represent the interests of road administrations and therefore can contribute inputs from the road sector. Both associations promote road safety and efficient and sustainable transport. The EU Goods Transport Liaison Committee represents the interests of IRU members within the EU. It promotes road freight mobility and opposes measures that force a modal shift from road to any other mode of transport. The IRF lobbies for road safety and a sustainable financing of road infrastructure, especially through private-public-partnerships. The ERF opposes road tolling systems and lobbies for the road freight industry. In contrast, ASECAP represents the interests of operators of toll road infrastructures and promotes tolls as a means to finance road infrastructure.

Road company associations provide a broad basis of expertise. They work through a variety of technical committees and foster exchange and collaboration on technical standards and innovation. For example, PIARC has established committees on sustainable multimodality in urban regions, on freight or on coordination between national and subnational authorities. IRU coordinates TIR (Transports Internationaux Routiers), a global customs transit system, under UN mandate.

The automobile clubs gather private users of road infrastructure. They have a high degree of public visibility and offer many services to their members, which makes them crucial multipliers in the road sector. On a European level, four German (ACE Auto Club

Europa, ACV Automobil-Club Verkehr, ARCD Auto- und Reiseclub Deutschland, KS Kraftfahrer-Schutz) and one Austrian automobile club (ARBÖ) are organised in the association European Automobile Clubs. The worldwide association Fédération Internationale de l'Automobile (FIA) gathers almost all automobile clubs in the Alpine countries (ÖAMTC in Austria, Automobile Club Association and Automobile Club France in France, Allgemeiner Deutscher Automobil-Club and Automobilclub von Deutschland in Germany, Automobile Club d'Italia in Italy, Automobil-Club des Fürstentums Liechtenstein in Liechtenstein, Avto-Moto Zveza Slovenije in Slovenia, Automobile Club de Suisse and Touring Club Suisse in Switzerland). FIA also organises an annual mobility conference.

As the automobile clubs view themselves as representatives of car drivers, they lobby for more road safety, better road infrastructure, less regulations, taxes and obstacles for car users and sustainable mobility solutions. In addition, they can be useful to canalise possible concerns early on. For example, the Austrian automobile club ÖAMTC runs an online survey, "Am-Puls", among its members. While the automobile clubs conduct and fund various projects, they mainly focus on the area of road safety.

A specific case of expertise provides the Forum of European National Highway Road Research Laboratories (FEHRL). FEHRL involves the road research laboratories AIT in Austria, IFSTTAR in France, BAST in Germany, ANAS in Italy, ZAG in Slovenia and BFH in Switzerland. It aims at providing a platform for road research collaboration, organises workshop and coordinates joint research projects. The Human centered design network for information society technologies (NoE Humanist) combines research on driver assistance systems and road telematics. The association organises workshops, events and training courses.

Table 11 shows relevant projects and publications in the road and automobile sector.

*Table 11. Projects and studies of road company associations and automobile clubs (selection)*

<b>Organisations</b>	<b>Projects and publications</b>
<i>World Road Association (PIARC)</i>	Publication "Appraisal of Sustainability of Transport Infrastructure Plans and Programs", 2016
	Publication "Framework for Citywide Road Freight Transport Management", 2016
	Publication "Moving freight transport forward - Green, smart and efficient", 2016

Publication "Transport Strategies for Climate Change Mitigation and Adaptation", 2016

Publication "Road transport system and environment preservation - Review of national policies", 2015

Publication "Intermodal freight terminals - Challenges and good practices", 2013

Publication "Worldwide situation of road pricing and assessment of its impacts", 2012

Publication "Pricing as a tool for funding and regulation in an equity's perspective"

Organisation of workshops (e.g. Highway & Roads Financing, 2014, Chile; Improving Mobility in Urban Areas, 2014, Indonesia; Winter Road in High Mountain and extreme zones, 2014, Chile)

*Conference of European  
Directors of Roads (CEDR)*

Publication "State of the art in managing road traffic noise", 2017

Publication "Reducing congestion with integrated network management", 2017

Research program "Freight and Logistics in a multimodal context", which funds two research projects (FALCON, FLUXNET) that aim at developing an information basis and tools for national road authorities on challenges and solutions of multimodal transport.

Research program "User needs in a multimodal context", which funds two projects (STTRIDE, ISAAC) that want to provide data on choices of transport modes.

Research program "Climate change – From desk to road", which funds two projects (DeTECToR, WATCH) on climate change adaptation techniques.

<i>International Road Transport Union (IRU)</i>	Conference Report "Contribution on Smart Urban Mobility for Safe, Inclusive, Resilient and Sustainable Cities", 2016  Report "Economic benefits of TIR, UNESCAP focus", 2015
<i>International Federation (IRF)</i>	<i>Road</i> Publication of annual World Road Statistics, which show road networks, road traffic, multimodal traffic comparisons, vehicles, accidents, road expenditures and fuel prices for each country.
<i>European Union Federation (ERF)</i>	<i>Road</i> Road Statistics Yearbook with analysis of road network, infrastructure financing, road maintenance and investment, freight and passenger transport, safety, taxation, environment and case studies
<i>European Automobile Clubs</i>	Survey "Comparison of mobility costs in selected countries of the EU", 2009

### 5.3.6. Freight transport associations

Apart from associations for railway and road traffic, there is also a broad variety of organisations that gather freight transport service providers and users independently of the mode of transport. The European Association for Forwarding, Transport, Logistics and Custom Services (CLECAT) brings together 22 national organisations of European freight related service providers. It claims to represent more than 19.000 companies in Europe. In the Alps, the Austrian ZV Zentralverband Spedition & Logistik, the French TLF Fédération des Entreprises de Transport et de Logistique de France, the German Deutscher Speditions- und Logistikverband and the Freight Forwarding and Warehouse Section of the Slovenian Chamber of Commerce and Industry take part. Consequently, the association provides an important information device vis-à-vis freight forwarder providers. At the same time, its national members unite freight related service providers on a national level. The international representation of these associations is the Fédération Internationale des Associations de Transitaires et Assimilés (FIATA) or International Federation of Freight Forwarders Associations, a large non-governmental organisation that gathers approximately 40.000 forwarding and logistic firms in 150 countries. The European Shippers' Council (ESC) represents the freight transport interests of business in Europe, whether manufacturers, retailers or

wholesalers. Members are drawn from national transport user organisations and shippers' councils, European commodity trade associations and corporate members. The European Freight and Logistics Leaders Forum (F&L) gathers shippers and service companies in 18 European countries, among them Austria, France, Germany, Italy and Switzerland.

Free movement of goods, interoperability and simplified regulation rank high among the priorities of freight transport associations. CLECAT represents the interests of freight related service providers vis-à-vis the European institutions. It opposes transport charging and promotes the development of new technologies and training. The organisation advocates common standards in the railway sector, collaboration of road and railway companies, a competitive market and the consideration of the economic dimension in transport-related decisions. In a similar vein, ESC promotes a liberalisation and harmonisation of the EU market to reduce burdens and obstacles for internationally active freight transport companies. Overall, the organisation wants to facilitate freight in all modes of transport. The European Freight and Logistics Leaders Forum promotes a closer integration of different methods of freight transport, multimodal freight transport systems and an overall improvement of the quality of freight transport. However, the organisation does not understand itself as a lobby organisation, but rather as a forum for discussion among shippers and service companies.

With regard to collaboration, CLECAT works through dedicated institutes in which experts from the member associations collaborate on technical issues. For example, it has an institute on rail logistics, an institute on road logistics and an institute on sustainable logistics. FIATA has a multimodal transport institute and a working group with the UIC. It mainly develops technical specifications and guidelines for its members. F&L members co-operate in working groups that research on technical issues; however, the last technical reports available on the website date back to 2012.

### 5.3.7. Public transport associations

The International Association of Public Transport (UITP) is the international network for public transport authorities and operators, policy decision-makers, scientific institutes and the public transport supply and service industry. It has a broad membership base and encompasses 27 members from Austria, 75 members from Germany, 75 members from France, 75 members from Italy, two members from Liechtenstein, two members from Slovenia and 44 members from Switzerland. Corresponding to its claim to

represent the public transport sector, it lobbies for a stronger recognition and facilitation of public transport.

The organisation has established thematic commissions, for example on combined mobility, transport economics and sustainable development, in which members collaborate on different mobility aspects. Its expertise has been further stabilised through the participation in a wide variety of projects, e.g.:

- MOBI+ database. UITP offers its members an e-database with 22.000 references to access studies, reports and technical data concerning the public transport sector.
- UITP awards for innovative public transport solutions
- A Toolbox for Integrating Combined Mobility services in a public transport offer
- Financing toolbox to show innovative revenue sources for public transport

#### 5.3.8. Bicycle associations

The European Cyclists' Federation (ECF) unites bicycle and environmental organisations across the world. In the Alpine space, ten bicycle associations from Austria, France, Germany, Italy, Slovenia and Switzerland take part. The ECF promotes cycling as a soft, healthy and economic way of mobility. Therefore, it advocates, on the one hand, a modal shift from car to bicycle in cities and, on the other hand, soft forms of tourism that draw on the bicycle.

The association is very active in building networks to enhance its impact. Therefore, it has established the global cycling summit Velo-City. ECF has facilitated the emergence of a Scientists for Cycling network that gathers relevant expertise and the development of a Cycling Industry Club to involve companies that work in the thematic field. Moreover, the ECF has set up a Platform for European Bicycle Sharing & Systems and a network for national cycling officers. ECF serves as a secretary for the Cycling Forum Europe, a parliamentary network of Members of the European Parliament that discusses the role of the EU in promoting cycling for transportation and leisure. Finally, ECF has initiated the ECF Cities for Cyclists Network, which has been expanded in 2017 to become the Cities and Regions for Cyclists Network. Thereby, the ECF wants to take into account that regions and provinces play a crucial role in the development of cycling cities.

With regard to relevant expertise, the ECF has published different reports, for example:

- Interactive cycling data map (modal share, safety indicators, market indicators, cycle tourism in different countries)

- Report Congestion charging and cycling, 2016
- Report Bike carriage on long-distance trains: 7 basic services that give cyclists a smile. A collection of good practice examples from across Europe, 2017
- Report Cycling as a new technology, 2014

It has also participated in different EU-funded projects, for example:

- Bike2work is a campaign for modal shift towards bicycle in companies with partners in Austria, Germany, UK, Denmark, Croatia, France, Italy, Malta, Netherlands and Slovenia.
- CHIPS (Cycle Highways Innovation for smarter People Transport and Spatial Planning) is a project that aims at the development and the promotion of cycle highways as a solution for commuting towards and from urban employment poles. The project has project partners from Belgium, Netherlands, UK and Germany.
- Flow wants to put walking and cycling on an equal footing with motorised modes. It develops a methodology to assess the effectiveness of walking and cycling measures in addressing urban road congestion. The project has six partner cities (Budapest, Dublin, Gdynia in Poland, Lisbon, Munich and Sofia).
- SWITCH is a campaign to promote travel behaviour change from short car journeys to more walking and cycling. 27 partner cities all over the EU, also in Germany, Italy and Slovenia, take part.
- B-Track-B ("Bike-the-Track-Track-the-Bike") sets up "check-points" across cities to track, reward and encourage trips by bike.

Finally, ECF has set up the project EuroVelo, a European Cycle route network. EuroVelo encompasses 15 cycling routes and is a registered trade mark of ECF. Only routes approved by the ECF have the right to call themselves EuroVelo; thereby, cyclists and route promoters should be able to promote and detect quality.

### 5.3.9. Associations focused on combined transport

While many organisations focus on specific sectors of transport, some associations have a strong interest in combined transport. The International Union for road-rail combined transport (UIRR) gathers rail freight customers. Its members are Combined Transport Operators and Combined Transport Terminals. In the Alps, UIRR encompasses Austrian, French, German, Italian and Swiss companies.

The German Promotion Centre for Intermodal Transport (SGKV Studiengesellschaft für den Kombinierten Verkehr) unites, as a non-profit organisation, over 80 terminal

operators, universities and haulage companies that share the common goal to organise freight traffic by the means of intermodal transport chains. Its members are mainly German companies, but also organisations like the CIT or companies from other countries like Swissterminal. In a similar vein, the Austrian association CombiNet promotes combined transport in Austria. It gathers 45 Austrian companies that deal with intermodal chain links and is linked to the UIRR through a Memorandum of Understanding.

The associations all promote combined transport. UIRR's main activities lie in lobbying activities through promotional documents, the participation in conferences and seminars and the drawing up of position papers. The SGKV conducts subject-specific online surveys among members and experts to receive a picture of the combined transport market. For example, it conducted in 2011 a survey among 31 experts on the consequences of the closure of the Brenner tunnel.

The German Promotion Centre for Intermodal Transport also carries out research projects and elaborates studies. For example, the SGKV conducted the project "Climate protection through shift of transport on combined transport" to raise awareness among companies for the ecological and economic benefits of combined transport. It publishes "Facts and Figures" on combined transport, provides consultation and conducts feasibility studies for terminals, environmental management concepts or potential analyses. In a similar vein, CombiNet conducts projects and offers consultation.

The European Conference of Transport Research Institutes (ECTRI) associates research institutions on sustainable and multimodal mobility. It is the leading European research network in transport research and gathers 28 transport research institutes from 21 European countries. The network works through thematic groups and task forces, which elaborate recommendations and inputs. Moreover, it publishes reports and studies and organises seminars and conferences. In 2012, the five European research associations in the field of transport, ECTRI, EURNEX, FEHRL, FERSI (Forum of European Road Safety Institutes) and HUMANIST, launched together the European Transport Research Alliance (ETRA), which aims at strengthening collaboration, in particular through the publication of common position papers, the organisation of joint events and the development of joint training programs.

### 5.3.10. Chambers of industry and commerce, tourism associations

The chambers of industry and commerce and the tourism associations aggregate demands and needs from the industrial, the commercial and the tourism sector. These economic sectors are not only crucial for Alpine economic development, but also produce a large share of transport. Therefore, it appears necessary to incorporate them in decision-making and implementation. At the same time, national and regional branches of chambers of industry and commerce and of different tourism associations have a broad range of members, especially in countries like Austria or Switzerland, where chambers are institutionally anchored. Therefore, they also serve as important information devices. The European umbrella organisation Eurochambres unites the chambers of commerce of Austria, France, Germany, Italy, Slovenia and Switzerland and provides an existing transnational arena for economic interest representations.

Cross-border tourism associations are AlpNet and the European tourism association. The tourism associations of eight Alpine regions cooperate in the network AlpNet. The European tourism association gathers over 880 members from the tourism sector, among them travel buyers, hotels, tourist boards, attractions and further European tourism suppliers. Tourism organisations conduct market studies and therefore aggregate travel needs and preferences. At the same time, they provide communication and information material on soft forms of mobility, for example on bicycle tourism and hiking. They are also information devices vis-à-vis interested travelers and could incorporate information on ways to access travel destinations by public transport in their information offers. Finally, they are important project partners that participate in the development and distribution of sustainable tourism concepts.

*Table 12. Projects and studies of tourism associations (selection)*

<b><i>Organisations</i></b>	<b><i>Projects and publications</i></b>
<i>Tirol Werbung</i>	The project „Tirol auf Schiene“ provides a framework for collaboration between the tourism marketing organization of the Austrian region Tyrol and the national railway companies of Austria (ÖBB), Germany (DB) and Switzerland (SBB). The project wants to motivate tourists to arrive by train. It offers a search mask for timetable enquiries and ticket booking that can be integrated on websites of accommodation providers. Regions are assisted by mobility coaches

who visit companies and explain possible marketing measures for guests.

#### *TirolWest*

The tourism association TirolWest in the Austrian region Tyrol offers the TirolWest Card, a card for guests that connects different tourist offers with public transport. Moreover, tourists can use the website [www.mobil.tirolwest.at](http://www.mobil.tirolwest.at) to plan their arrival and their mobility at their tourism destination.

#### *Südtirol Tourismus*

The "Mobilcard Alto Adige" represents a transport offer for tourists who can use public transport in the province South Tyrol for one, three or seven days. In a similar vein, the "Bikemobilcard Alto Adige" comprises busses, trains and bicycle rentals. Both offers are based on a collaboration between the tourism association of South Tyrol, public transport companies and the province South Tyrol.

#### *Ville Venete & Castelli*

The association Ville Venete & Castelli promotes villages and castles in the Italian region Veneto as tourism destinations. The association has, together with the company association LoveThePlanet, launched a project in which it sets up 50 recharging stations for electric cars near to tourism structures like hotels or cultural hotspots.

#### *Schweiz Tourismus*

The Swiss tourism association Schweiz Tourismus cooperates with the association for public transport (Verband öffentlicher Verkehr, VöV) to promote public transport in Switzerland as a travel experience. Guests can plan their journey with the online application Swiss Travel System and buy the Swiss Pass, the Swiss Card or the Swiss Transfer Ticket to use trains, busses and ships.

#### *Alpine Pearls*

Alpine Pearls is a network of 25 tourism destinations in Austria, Germany, France, Italy, Switzerland and Slovenia. The network offers a platform for joint marketing. The participating tourism destinations

provide special offers for holidays without cars and promote soft mobility. Tourists are assisted in arriving by public transport and can use shuttle services, busses, e-cars or bicycles to move at their holiday destinations. Guest and mobility cards offer the possibility to use public transport free of charge.

The involvement of non-state actors from the different sectors provides one last component to strengthen cross-border governance capability of AG4. On the basis of the presented analysis, the following chapter draws final conclusions and synthesises key recommendations for AG4.

6. Conclusions

The study GOV.MO.TALP aimed at providing for a comprehensive stock-taking of structures, inter- and intrainstitutional processes, related formal and informal actors and instruments in the area of transport and mobility policies at various levels of governance. To increase the ability of AG4 to coordinate policies and generate concrete results, the study has investigated gaps and deficits in the existing collaboration landscape that could be filled by AG4 in the policy field of transport. These gaps refer to five criteria along which cross-border governance capability, understood as the capability to transcend the fragmentation among actors, resources, competences and institutional backgrounds to generate innovative solutions, can be measured: mobilisation, deliberation, legitimacy, institutionalisation and continuity. Table 13 shows the most important gaps that should be targeted.

Table 13. Gaps in cross-border governance capability in the Alpine space

<b><i>Mobilisation gap</i></b>	<ul style="list-style-type: none"> <li>Asymmetrical mobilisation</li> <li>Limited continuity of mobilisation</li> <li>Limited ability of existing cross-border regimes to mobilise across all geographical areas</li> <li>Fragmentation among territorial levels</li> <li>Limited cross-sectoral exchange and coordination</li> </ul>
<b><i>Deliberation gap</i></b>	<ul style="list-style-type: none"> <li>Formalised differences between participants</li> <li>Differing degrees of information and diverging basis of knowledge</li> <li>Tension between consensus-orientation, formal role expectations and innovation</li> </ul>

***Legitimacy gap***

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Limited involvement of and exchange with parliaments  
Limited involvement of civil society organisations  
Marginal connections to the wider public  
Limited involvement of youth

***Institutionalisation gap***

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Limited development of independent institutional framework  
Tensions between cross-border and national/regional responsibilities  
Limited involvement of all actors legally responsible

***Continuity gap***

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Changing priorities and political constellations  
Personnel fluctuations  
Changing external incentives

The findings of the study show that AG4 can provide an important opportunity to fill governance gaps in the field of transport policy. As the ability of existing structures to generate a common understanding, to define common objectives and to launch activities and projects across all territorial levels, geographical areas and sectors in the Alpine space appears limited, AG4 can develop an added value in respect to established frameworks. However, it will be crucial for AG4 to increase its ability to further mobilise, provide for deliberation, build linkages to legitimacy, institutionalise processes and decisions and ensure continuity. Based on a comprehensive analysis of legal provisions, institutions and actors, the study has elaborated concrete policy recommendations to improve the cross-border governance capability in the thematic field of transport. Table 14 summarises the main recommendations for AG4.

Table 14. Recommendations for AG4

**Mobilisation**

<i>General mobilisation</i>	<ul style="list-style-type: none"> <li>• Network animation through Action Group Leader</li> <li>• Ongoing information about activities and results</li> <li>• Participation at network meetings</li> </ul>
<i>Geographical mobilisation</i>	<ul style="list-style-type: none"> <li>• Communication and recognition of cross-Alpine dimension of problems, challenges and incentives</li> <li>• Meetings and events in all Alpine states and regions</li> <li>• Reimbursement of travel expenses</li> </ul>
<i>Multi-level mobilisation</i>	<ul style="list-style-type: none"> <li>• Clear information on targets and expected results</li> <li>• Close coordination with existing regimes</li> <li>• Constant coordination with national governments within each nation-state</li> <li>• Creation of a forum for local authorities</li> </ul>
<i>Cross-sectoral mobilisation</i>	<ul style="list-style-type: none"> <li>• Coordination within each participating institution</li> <li>• Encouragement of subject-specific participation of representatives of different sectoral policies</li> <li>• Information and project-based collaboration with other Action Groups</li> <li>• Communication vis-à-vis all non-state sectors</li> <li>• Organisation of subject-specific panels</li> <li>• Avoidance of formalised differentiation among non-state actors</li> </ul>

**Deliberation**

	<ul style="list-style-type: none"> <li>• Action Group Leader as animator of discussion</li> <li>• Fostering of positive, non-discriminatory discussion climate</li> <li>• Information exchange among participants and joint creation of knowledge</li> <li>• Possibility for smaller groups of participants to conduct activities in subgroups</li> <li>• Coupling of open, participatory formats for discussion with smaller, confidential formats</li> </ul>
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- Use of unconventional discussion techniques

### ***Legitimacy***

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- Regular information exchange with politicians and European, national, regional and local parliaments
- Participation of parliamentarians from transport committees in Action Group meetings and conferences
- Alpine parliamentary forum
- Regular, easily accessible information on the homepage
- Open events that target a wider audience, e.g. excursions

### ***Institutionalisation***

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- Reference to documents that are recognized by all EU institutions (e.g. Council Conclusions) in Rules of Procedure to provide clear legal basis
- Objective procedures (e.g. according to specific indicators) to select and invite participants from the groups of stakeholders, experts and guests
- Creation of sub-groups
- Long-term institutional visions in the form of strategies and action plans
- Monitoring system with concrete actions and results
- Coordination with national or regional political objectives and established bureaucratic procedures

### ***Continuity***

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- Formal and informal meetings to build up social relationships
- Long-term strategic vision
- Documentation of all steps
- Broad mobilisation
- Communication of expected results
- Elaboration of working priorities that can be shared by all participants

- Searching for financial and practical assistance at different institutions

### ***Conflict resolution***

#### ***Conflict prevention***

##### *Forming*

- stakeholder management: identification of stakeholders, assessment of interests and expectations, communication, involvement
- sharing of information
- recognition of possible role conflicts
- separation function of chair – chair’s delegation
- establishment of clear, joint objectives
- active role of politicians in defining goals

##### *Storming*

- establishment of clear processes and structures
- regular coordination within nation-states and regions
- definition of conflict resolution mechanisms
- definition of clear criteria for selection of projects and further development of working program
- documentation
- creation of environments for informal interactions across cultural and language boundaries

##### *Norming*

- facilitation of open climate for discussion
- regular opportunities to socialize
- overseeing of compliance with jointly agreed procedures and rules
- emphasis on jointly agreed goals

##### *Performing*

- self-organisation

#### ***Conflict resolution***

- cooperative, rules-based approach
- development of shared understanding of the conflict and open discussion of different perspectives
- conflict mediator as impartial facilitator

- political exchange, also with the use of parliamentary formats, to resolve conflicts between political goals
- respect for principle of territorial representation and responsibility vis-à-vis electorate
- respect for competence distribution and autonomous competences of each participating authority
- definition of objectives and procedures in a process of partnership between all territorial levels

### ***Non-state sector***

#### *General involvement*

- Differentiation and coupling of smaller formats with more open discussion fora
- Involvement as a constant process
- Recursive connections among all stages of involvement

#### *Information*

- Mobilisation of networks through participating public authorities and non-governmental organisations
- Information by e-mail and through news media
- Regular updating of and accessible information on website
- Organisation of subject-specific events
- Organisation of open events for the wider public, e.g. excursions and site tours
- Cooperation with existing non-governmental organisations (e.g. AlpWeek)
- Communication of projects and outcomes that touch everyday lives of citizens
- Special attention to rural public and youth

#### *Consultation*

- Direct involvement in Action Group meetings
- Setting up of advisory councils in different domains
- Civil society forums that elaborate concrete recommendations and give opinions in working groups and with the use of unconference formats

*Collaboration*

- Regular feedback through consultation platforms and online surveys
- Communication of consultation results and relation to decisions

*Youth*

- Online discussion platforms
- Open Action Group meetings
- Participatory seminars, open days and workshops
- Sector-specific panels at events
- Creation of permanent committees
- Seminars, training and coaching for capacity-building
  
- Specific events that target young people (contests, awards, seminars and trainings)
- Events for apprentices of railway and road companies
- Events for young people as users of transport offers
- Exchange with decision-makers
- Taking up of ideas for implementation to encourage participation
- Youth parliaments, laboratories and youth ambassadors
- Communication through local and regional news media outlets and social media
- Targeting of schools, universities, economic associations and professional schools
- Collaboration with existing youth associations, youth councils and youth parliaments
- Reimbursement of travel costs

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