Local and Regional Partners Contributing to Europe 2020

Multi-level governance in support of Europe 2020

CONFERENCE REPORT
This is the conference summary on the study on promoting multi-level governance in support of Europe 2020 (Contract No 2013CE16BAT019).

The study was led by Spatial Foresight and began in October 2013. The aim of this study on promoting multi-level governance in support of Europe 2020 is to generate lessons learned from existing experience and to stimulate the learning and transfer between regions. The study focuses on both the analysis and facilitation of transfer processes. In March 2015 the final results were discussed at a conference in Brussels.

The conference and report was prepared by Spatial Foresight.

Acknowledgements

This study and conference would not have been possible without many individuals participating in the case study research and the discussions at the multilateral meetings, twinning exercises and panel discussions. The project team would like to thank all those who gave their time to support this work, including the representatives of the local and regional stakeholders involved, external experts and the staff at DG Regional and Urban Policy.

EUROPEAN COMMISSION

Directorate-General for Regional and Urban Policy
Directorate B — Policy
Unit B.2 — Evaluation and European Semester

Contact: John Walsh
E-mail: john.walsh@ec.europa.eu

European Commission
B-1049 Brussels
Local and Regional Partners Contributing to Europe 2020

Multi-level governance in support of Europe 2020

CONFERENCE REPORT
Europe Direct is a service to help you find answers to your questions about the European Union.

Freephone number (*):

00 800 6 7 8 9 10 11

(*) The information given is free, as are most calls (though some operators, phone boxes or hotels may charge you).

LEGAL NOTICE

This document has been prepared for the European Commission; however it reflects the views only of the authors, and the Commission cannot be held responsible for any use which may be made of the information contained therein.


© European Union, 2015
Reproduction is authorised provided the source is acknowledged.
TABLE OF CONTENT

1 INTRODUCTION ........................................................................................................... 6
2 KEY STUDY RESULTS ............................................................................................... 7
3 SOCIAL INCLUSION PANEL ...................................................................................... 10
4 ENERGY EFFICIENCY PANEL .................................................................................. 12
5 MAIN DISCUSSION POINTS ..................................................................................... 14
6 CONCLUDING REMARKS ......................................................................................... 16

ANNEX - CASE STUDIES SUMMARIES ..................................................................... 18
1 INTRODUCTION

Europe’s regions and cities play an important role in achieving the objectives of the Europe 2020 strategy (Europe 2020). Implementation of Europe 2020 relies on a wide variety of multi-level governance processes as well as strong local and regional engagement.

On 5 March 2015, the European Commission – Directorate General for Regional and Urban Policy (DG REGIO) organised a conference on multi-level governance in support of Europe 2020. This conference offered some 260 registered participants an opportunity to discuss and explore multi-level governance arrangements. In doing so, the conference also stimulated learning and the exchange of knowledge on good governance between cities and regions.

This has to be viewed against the wider policy context, including the first results of the public consultation on Europe 2020, European Cohesion Policy and the partnership principle of European Structural and Investment Funds 2014-2020.

The conference was based on the results of a recent study, with concrete examples of multi-level governance arrangements supporting Europe 2020 objectives in the fields of energy efficiency and social inclusion. The study analysed governance arrangements that brought together stakeholders from different levels of governance and different policy fields as well as the impact of governance on implementation of Europe 2020 objectives on the ground. This analysis shows that there is a large variety of possible governance approaches. Their success depends largely on how well they are suited to the specific context in which they are implemented.

Starting from a review of the key results and lessons of the study, presented by Kai Böhme, there were two lively panel discussions on social inclusion in urban areas and energy efficiency facilitated by Susan Brockett. Panellists from various regions and cities as well as other participants in the seminar highlighted examples of multi-level governance processes supporting Europe 2020, as well as the possibilities and challenges faced when transferring them from one city or region to another.

The discussions were framed by opening speeches from Nicholas Martyn, the deputy director general of DG REGIO, and Thomas Wobben, director at the Committee of the Regions. Luc van den Brande from the Committee of the Regions and Rudolf Niessler, director at DG REGIO, made closing remarks. In their speeches, they provided the overall European policy framework and principles underlying the practical examples discussed during the conference.

The conference is available as a video-stream via this link and was also followed by discussions on twitter @EU_Regional #RegioMLG.

This report provides a summary of the conference. It starts with a short concept note providing the key lessons from the study on which the conference was based. This is followed by a chapter for each of the panels. The primary discussion points raised at the conference are summarised and reflected in chapter 4. The final chapter provides concluding remarks, linking the discussions back to the larger policy context.

‘Under Europe 2020 there is a need to improve the delivery through better ownership and involvement on the ground’
Source: twitter #RegioMLG
2 KEY STUDY RESULTS

To achieve the targets set out in the Europe 2020 strategy, all levels of governance from the local to EU level need to work on implementing this overarching long-term strategy. Multi-level governance describes collective decision-making processes where authority and influence are shared between stakeholders operating at different levels. It describes decision-making processes that engage various independent but interdependent stakeholders. Multi-level governance does not assign exclusive decision-making powers, nor does it establish stable hierarchies of authority.

What happens on the ground? Most debates on the implementation of the Europe 2020 strategy take place at the EU and national levels, based on EU documents and National Reform Programmes. From there it is assumed that the objectives and targets trickle down to the regional and local levels to be translated into concrete actions. Stepping away from this ‘command-chain’ view of governance and focusing on what happens on the ground shows diverse arrangements and processes at local and regional levels.

Study on multi-level governance in support of Europe 2020. To stimulate discussion and the transfer of learning, DG REGIO launched a study on multi-level governance in support of Europe 2020. Eight case studies were documented to better understand existing governance arrangements. Four cases concerned energy efficiency and the four others, social inclusion. Seminars and workshops were organised to discuss the findings and possible transfers to other European cities and regions. The scope and timeframe of the study were too limited to allow for all-encompassing conclusions. Nevertheless, the results provide valuable input to the discussion on multi-level governance processes in support of the Europe 2020 strategy.

The implementation of the Europe 2020 strategy follows the subsidiarity principle. This means that actions should be taken as close to citizen level as possible. The appropriate level of decision-making varies depending on the policy field and the allocation of decision-making powers in a Member State or region. The EU level has, in general, limited formal scope to influence national governance arrangements. Still, stakeholders from different levels of governance and different sectors, as well as public, private and civil society stakeholders, often need to cooperate to tackle the complexity of challenges addressed in the Europe 2020 strategy.

Towards a multi-level policy cycle. Implementation of the Europe 2020 strategy is embedded in policy developments that need to mobilise various levels of governance. The challenge is to bring these together in a policy cycle in the most effective way. Depending on the local and regional pre-conditions and the policy field addressed, different stakeholders are involved at different points in the policy cycle. Different modes of governance can be at play to bring the relevant stakeholders on board. The four most prominent modes of governance are governing by authority, governing by provision, governing through enabling and self-governing. In practice, several different modes are usually employed and their importance may change throughout the policy cycle.

‘Policy without process is empty. Process without policy is useless’

Source: twitter #RegioMLG
Changing governance arrangements takes time. Governance processes and structures show strong inertia and it takes time to move to new forms of shared decision-making processes. The time needed depends on the issue at stake, the change processes and approaches and the stakeholders. The more complex the processes, the more difficult and time consuming it is to change them.

The main success factors for multi-level governance arising from the study answer the following questions.

- **Why engage in a multi-level governance process?** Local development needs and compliance with legal requirements are key drivers for stakeholders to engage in multi-level governance processes. Policy frameworks at EU or national levels can trigger multi-level governance processes at local and regional level. Multi-level governance processes are also used because the issues at stake are so complex that they need the competence and decision-making powers of a range of stakeholders at different levels of governance.

- **Who drives or initiates multi-level governance processes?** There is no single stakeholder who is per se designated to initiate or drive governance processes. Clear evidence of the needs and individuals with good networks and a broad understanding of governance in the policy field help to make a start. While very often these are politicians and civil servants at local, regional or national level it is also possible for NGOs and other stakeholders to initiate change.

- **Which stakeholders should be involved?** The selection of stakeholders, across levels of governance and policy sectors as well as the number of stakeholders to be involved, depends on the policy and policy tools in question and the pre-existing governance context. Any stakeholders whose decision-making power or political and social influence is needed to solve the issue should be involved. Stakeholders from the private and third sector should also be considered. At the same time there is a trade-off between the number of stakeholders involved and effectiveness. Therefore, from the beginning, a careful mapping should be undertaken in order to determine the most influential stakeholders in the field.

- **How to facilitate multi-level governance processes?** Facilitating cooperation of a considerable number of stakeholders needs communication routines and cooperation practices to be established. These include awareness-raising techniques to create a common understanding or even consensus among stakeholders, shared visions, objectives or strategic plans and contractual agreements. The crucial factor is the ability to create ownership and commitment among the stakeholders. The combination of modes of governance mentioned above play a role here.

- **When should multi-level governance processes be used?** Multi-level governance processes can be relevant at any moment in the policy cycle. It is important to adjust the composition of the stakeholder groups during the process in order to find the most appropriate arrangements for different steps in the policy development. It is also necessary to plan for enough feedback loops at the stakeholders’ institutions and to consider external dynamics, e.g. upcoming elections that may influence decision-making processes.
• **What is it all about?** Clarity of processes and contents is important to facilitate smooth multi-level governance processes. Clear rules on the cooperation framework, clear roles for different stakeholders and clear objectives for the definition of actions are all relevant.

• **How can one learn from the experience of others?** Learning from others can help ‘thinking outside the box’, even if the learning cannot be transferred by simple copying and must be translated to the specific context. Transferring practices and experience from one city or region to another needs to be ...
  
  ... **mutual**, so resulting from a dialogue between the sender and the receiver of this knowledge;
  
  ... **concrete**, so focusing on practices that can be changed or influenced at the receiver’s end;
  
  ... **incremental**, as new practices need to be embedded in current and future practices;
  
  ... **context-specific**, so there should be a degree of similarity with regards to the geographical, socio-economic and institutional preconditions of participating regions;
  
  ... **critically undertaken**, as even the most obvious success story can never be fully transposed elsewhere;
  
  ... **realistic**, as some good practices may, in theory, have a high impact, but are actually difficult to apply outside their home context;
  
  ... **durable**, as no magic solution or quick fixes will foster long-term changes of attitude with long-standing impact.

**Delivering Europe 2020 and EU Cohesion Policy.** Europe 2020 objectives are not abstract EU-level ideas, but concern the development of every city and region in the EU. Achieving the policy objectives requires effective governance mechanisms. Future debates need to focus more on sub-national levels. More emphasis could be given to ‘bottom-up’ processes and furthering the understanding that implementation of the Europe 2020 strategy on the ground requires the cooperation of stakeholders from different levels of governance and different public, private and civil society sectors. This means raising awareness and creating opportunities to facilitate learning within existing European frameworks and policy areas. The partnership principle and Code of Conduct for ESI funds, where taken seriously, offer good starting positions.

**Eight case studies to stimulate the discussion on governance.** Usually it is easier and more interesting to discuss policies than governance approaches, which are rather abstract. To give some life to the principal conclusions above, multi-level governance processes of the eight case studies are described in separate papers published by DG REGIO. They illustrate how individually adapted, multi-level governance processes can support the aims of the Europe 2020 strategy.
3 SOCIAL INCLUSION PANEL

The figure below provides an overview of the key characteristics of multi-level governance arrangements portrayed in four case studies, according to the policy sectors and levels of governments involved. Summaries of the case studies are presented in the annex. As presented by Alexandre Dubois, a wide range of different sectors were seen as relevant for local social inclusion challenges with a low profile for National and EU actors.

The panellists discussed their multi-level governance experience in the case study areas and reflected on the potential for the transferability of these experiences to other European regions and cities.

The discussion focused on the need to start with identified local or regional development needs or challenges. It was also underlined that the target groups should always be involved in such processes from the early stages, to ensure that their needs are understood. Participation of stakeholders may also empower them to contribute to their own inclusion in society. This is arguably a critical success factor, since it ensures widespread support for these initiatives. These can be local public bodies as in Pomorskie or migrant associations as Timisoara.

Multi-level governance in social inclusion

<table>
<thead>
<tr>
<th></th>
<th>Local</th>
<th>Regional</th>
<th>National</th>
<th>European</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Urban planning</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Housing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transport</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health care</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Migration</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Culture &amp; Leisure</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business &amp; entrepreneurship</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: DG Regio study on multilevel governance in support of Europe 2020 (2015)
Multi-level governance was described as a ‘constantly ongoing’ or ‘multi-layered’ negotiation process. In Pomorskie, this focus was on: (a) negotiations between the regional ERDF managing authority and the municipalities; as well as (b) the municipalities and their local and sub-local collaboration partners. In Liverpool, the negotiation focused on a wide network of partners that is currently being expanded in order to increase the local footprint and maintain capacity to deliver social policies. In the case of Timisoara, the negotiations were between local authorities, migrant groups and civil society, highlighting the importance of involving the third sector, as well as interactions between local and national stakeholders to improve the legal framework. The relevance of the third sector was also echoed by the experience of Liverpool and Lisbon.

Stockholm focused on preparing the ground for future negotiations by developing a tool, the Urban Game, which acts as a neutral platform for stakeholders to be included in an open discussion. That underlines the function of the Urban Game as an eye-opener and an awareness-raising tool which was also confirmed by experience from its implementation in the Helsinki Region. The Urban Game was translated into Finnish and adapted to the Helsinki context during the study. It was underlined that creative thinking required interactions in one’s own language, creating closer cognitive proximity between participants.

In all cases, it was demonstrated that multi-level governance processes are anything but easy and demand a lot of energy. To change policies from the bottom up, one needs to be persistent and strive to one’s goal; ‘keep on trying’, in particular because the context and also partners may change over time, e.g. when a new EU funding period begins or following regional or local elections. Timing is also important. Multi-level governance exercises such as the Urban Game are most effective if they come at the right moment in the policy process.

Key statements from the panellists:

‘Negotiate with partners, stay flexible, but keep policy to the forefront.’ - Bartosz Kozicki

‘#no_more_social_exclusion’ - Rosie Jolly

‘It is more fun to walk and work together.’ - Romina Matei

‘Want it or not, we are all part of the governance game!’ - Evert Kroes

‘Adapt any tool or method to local challenges and circumstances.’ - Miliza Ryöti

‘Community accountability = public efficiency’ - Rui Franco
The figure below provides an overview of the key stakeholders in multi-level governance arrangements in the four case studies, according to the policy sectors and the levels of government involved. Summaries of the case studies are presented in the annex. As presented by Sabine Zillmer, the smaller number of sectors linked to energy efficiency and the greater role for the National and EU level was also striking.

The panelists discussed multi-level governance experience and reflected on the transferability of these experiences across European regions and cities.

The discussion underlined the strong links between energy efficiency targets and the work in other policy sectors. On the one hand, energy efficiency is not only about the environment but has a lot to do with innovation, the attractiveness of a location and business development. On the other hand, there is a strong link between regional smart specialisation / innovation strategies and climate change adaptation plans. These links are currently not fully explored. It is important to look across sectors, not only with regard to strategy development but also at funding sources, which too often focus on single sectors.

Multi-level governance in energy efficiency

Source: DG Regio study on multilevel governance in support of Europe 2020 (2015)
The local level plays a key role for increasing energy efficiency. In many cases, the strength of regional approaches comes with the involvement of local stakeholders. In these cases, many municipalities can have different responsibilities in a region. In other cases, such as the municipality of Vrhnika, the local level may successfully take a bottom-up initiative rather than wait for the national level to act. If bottom-up initiatives are taken, the regional level, where it exists, can be an important collaboration partner.

To be successful at the local / regional level, one needs support at national level. To establish synergies between all the players in the region, recognition by the state helps and can open doors. For instance, in Prignitz-Oberhavel, the state of Brandenburg accepted a transparent and open process, which made it easier to involve districts and municipalities and to create ownership among these actors. The example of ENERGIVIE in the Alsace region highlighted the option of a contract between the region and the national level to ensure national support.

In particular for energy policies, multi-level governance processes can benefit from involving partners from academia. In the case of ENERGIVIE, academia plays an important role in furthering innovation in the energy sector. In Lombardy, academia plays an important role as a neutral partner, providing evidence and persuading partners to meet and start cooperation built on trust.

Learning from others and being open-minded about their approach encourages looking at your own issues from a new perspective. Seemingly unsolvable issues can be solved with new approaches. This may not be easy, but it is possible. In other words, do not give up. Discussing with local representatives, improving personal contacts and communication platforms, listening to other opinions and working together for solutions with open and transparent procedures are important ‘ingredients’ for successfully improving energy efficiency policies.

Key statements from the panellists:

‘Do not give up – long way to go – pick up all stakeholders, work together, communicate with all levels.’ - Heiderose Ernst

‘Recognition from the state opens doors and helps build synergies between all players in the region.’ - Jean-Luc Sadorge

‘You can be faster than legislation – do not wait all the time for it.’ - Stojan Jakin

‘Small steps count and inspire you to relaunch ideas tried before.’ - Furio Honsell

‘Academia as neutral partners secures trust among local authorities with their own responsibilities.’ - Andrea Piccin

‘Funding should support cross-sector approaches.’ - Niklas Gandal
5 MAIN DISCUSSION POINTS

**Do not wait for others:** Get active yourself! One key message of the discussion was the potential of stakeholders to take the initiative instead of waiting for other players to become active. This can mean municipalities or regional administrations starting innovative policy processes instead of waiting for national legislations to define what they have to do, or civil society stakeholders raising awareness and actively contributing to searching for new governance solutions.

**Individuals:** In many cases, it boils down to passionate individuals taking the initiative and cooperating. Alternatively, and given the network dimension of multi-level governance, these individuals can be pictured as ‘spiders’ and to use their potential, they need a wide and stable ‘web’. The question, however, is how to identify them and how to support them. One answer was, ‘You recognise them when you see them’.

**Paradigm change for public administration:** Working across sectors and across levels of governance requires a new culture of working and decision-making in the public sector. Thus, strengthening multi-level governance is not only about formal cooperation routines but also about the mindset of people working in the public sector.

**Trust and ownership:** This new approach to working in the public sector suggests that many tasks traditionally conducted by civil servants should now involve a wide range of stakeholders, including civil society. This requires trust among stakeholders and new approaches to ownership. Policy strategies and implementation actions need to be owned by a wide range of stakeholders.

**Responsibility:** Shared decision-making processes also raise questions concerning the responsibility for the process and its final outcomes. There is an open question: actually, who is responsible in the end? If everybody is responsible, it may be that nobody feels responsible.

**Institutional capacity building:** Involving a wider range of stakeholders also calls on the institutional capacity of stakeholders. In many cases, this capacity may be weak if stakeholder institutions are small and not used to multi-level governance or change in general, e.g. as a consequence of elections, new funding regimes, high staff turnover or burn out.

**Resources and funding:** Multi-level governance certainly demands resources. However, the discussion showed that in an environment of declining resources, multi-level governance can be the way forward to pool resources. The use of financial instruments was also discussed, as well as the need for innovation in the ways funding is conducted.

**Continuity:** Especially where the participation of individuals is important, ensuring continuity can be challenging. Shifting towards institutional arrangements may help.

**National level:** The study and the discussions during the conference put a lot of emphasis on the local and regional level. Nevertheless, as regards social inclusion and energy efficiency, national level policies play an important role. This ranges from being a cooperation partner, or a framework builder, to being the object to be influenced.

‘**INTERREG EUROPE activities will create opportunities for learning and capacity building … what specifically is needed?**’

Source: twitter #RegioMLG
Local level left on its own: Possibly linked to the issue of responsibility are examples of issues that end up at local level because none of the higher levels take responsibility. This may follow the logic of subsidiarity, but there are also cases where the local level is simply left on its own with an issue it cannot solve. One of these examples is provision of support to third country nationals in the context of the Dublin agreement concerning the entry country of asylum seekers.

Partnership principle: The 2014-2020 European Structural and Investment Funds put a stronger focus on the partnership principle, which in association with the European Code of Conduct on partnership¹, may open up opportunities for improving multi-level governance arrangements and collaborative actions in the future.

New technology: In addition, new technologies can facilitate cooperation and we may see many new opportunities in the future to connect partners and facilitate cooperation.

6 CONCLUDING REMARKS

Local and regional partners play an important role in achieving the Europe 2020 objectives. The European Commission underlines the need for their commitment and involvement and recognises the interdependence of levels of governance. Multi-level governance is important for effectively achieving European citizens' objectives.

This needs to be done in the context of European diversity. The role of different levels of public administration varies markedly across Member States and policy sectors. Following the principles of subsidiarity and proportionality, the role of the European Commission and EU policy also varies between policy domains. For example, the EU has a direct role in setting important regulations in some policy fields such as energy efficiency, whereas the main tools for other policies are found predominantly at national or regional level, e.g. social protection and education policy measures targeting social inclusion.

The issue of policy integration and coordination across governance levels has repeatedly been raised in the context of Europe 2020. Apart from the debate around specific national mechanisms put in place to coordinate and deliver national Europe 2020 objectives, there are many areas where further insights are needed in relation to multi-level governance and how it impacts on policy effectiveness. Are some governance arrangements more effective than others? How can governance be improved? How much time does it take to change governance arrangements? Can they be supported by inter-regional networking?

The study and conference provided useful guidance to stakeholders that seek to proactively improve coherence and cooperation between public bodies and other stakeholders to deliver common objectives. Local and regional partners are not always aware of their contribution to common European objectives. There is scope for local and regional authorities to both initiate and participate in improving governance arrangements. They can even take a leading role and do not necessarily need to wait for other players to make the first move. Overall, keen awareness of governance issues and preparation are key elements for success.

The conference focused on governance approaches in a limited number of regions as well as the transfer of these governance approaches to a limited number of regions. It is therefore difficult to draw general conclusions. However, discussions on territorial governance and the implementation of European objectives also takes place and will continue at EU level. The Commission proposals on the Europe 2020 review are expected in the second half of 2015.

Governance is important for the destiny, democracy and delivery of European policies. Each level of government should take responsibility and play its role, and action should be taken at the right level and be proportionate to the objectives. This way multi-level governance creates ownership and aligns the layers of responsibility. In this spirit the European Commission published the European Code of Conduct on partnership and the Committee of the Regions adopted the Charter for multi-level governance.

The variety of cases in the study showed different ways that multi-level governance could help the delivery of European objectives.

‘Our approach should be place based, evidence based and MLG based’
Source: twitter #RegioMLG

‘EU Cohesion policy supports capacity building and bottom up initiatives (CLLD)’
Source: twitter #RegioMLG
The EU level supports different multi-level governance approaches via their policies, regulations and instruments and motivates local and regional stakeholders to initiate multi-level governance approaches to effectively and efficiently deliver common European goals. Indeed several examples of ERDF-supported interventions are profiled in the case studies, such as the urban regeneration priorities in Pomorskie, the social entrepreneurship scheme in Liverpool and ENERGIVIE in Alsace.

DG REGIO encourages multi-level governance and strong partnership arrangements, especially in the context of the management and implementation of the 2014-2020 programmes. Cohesion policy, as a major EU investment policy, has a key influence in many Member States. The legal basis for partnership and multi-level governance has been strengthened in the new legislative package for the European Structural Investment Funds. The introduction of the European Code of Conduct on partnership provides guidance for involving partners in all stages of programming: preparation, implementation, monitoring and evaluation of the investments. This is supported by bottom-up initiatives via tools such as Community-Led Local Development (CLLD). The 2014-2020 programmes should mobilise stakeholders and different levels of public administration to improve policy delivery.

The European Commission is currently assessing the implementation of the partnership principle during the preparatory phase of the 2014-2020 programming phase and will share its conclusions later in 2015.
PRIGNITZ-OBERHAVEL – A NEW APPROACH TO A REGIONAL ENERGY STRATEGY

Prignitz-Oberhavel is a region in the German state (Land) of Brandenburg. Implementation of Europe 2020 objectives for energy efficiency is linked to operations at both the federal and state levels. In Brandenburg, this is based on the ‘Brandenburg Energy Strategy 2020’ and the follow-up document ‘Brandenburg Energy Concept 2030’.

A more efficient and effective management of energy issues at the regional level needs a more rational approach to energy issues, a planning strategy for renewable energy and funding for the implementation of energy plans. The original ‘Brandenburg Energy Strategy 2020’ from 2008 was developed with a ‘top-down’ approach by the state and did not really help regional and local players with energy efficiency and renewable energy issues.

In 2011, a new approach was introduced to improve support for regional and local actors, addressing their needs in relation to energy efficiency. Energy issues are high on the political agenda of Brandenburg, but the state’s ambitions had to be implemented at regional and local levels, which meant they had to trickle down. Therefore, the ‘Brandenburg Energy Concept 2030’ was initiated and provided an alternative multi-level governance approach, which paved the way to support regional and local actors in their work.

Within the framework of Brandenburg’s energy concept, a sub-regional energy strategy for Prignitz-Overhavel was initiated by the Brandenburg Ministry of Economy and European Affairs, which was supported by the Brandenburg Ministry of Infrastructure and Agriculture, as well as the Brandenburg Ministry of the Environment. Formulation of the regional energy strategy was subcontracted to a consultancy, which developed it through close cooperation with the region’s standing conference of local planning authorities. A regional energy manager was appointed for implementation. In addition there was close communication with the ministries as well as a number of cross-sector working groups which formed another important link with local authorities and stakeholders initiating a multi-level governance process. It focused on improved energy planning and actions at state, regional and local levels.

This incremental change in governance arrangements, as a consequence of the introduction, development and implementation of Prignitz-Oberhavel’s regional energy strategy led to more policy effectiveness. Although the initiative came ‘top-down’ from the state providing financial incentives, success is based on clear organisational structures and a division of responsibilities between the stakeholders, with communication involving all regional and local stakeholders, as well as a transparent process that tackled difficult discussions.

As a first result, energy issue awareness at the local level has increased and the ability to work with energy issues and act at the regional level has improved. This should promote a more rational approach to energy issues and energy planning. Without the development of a regional strategy, more single initiatives would be less coordinated, with fewer results.
VRHNika – New Approach to Local Energy Concepts

VrhnikA is a municipality in Slovenia, where the Local Energy Concept (LEK) was introduced to help implement the National Energy Programme and stimulate a more strategic approach to local management of energy supply and demand. This is one of the ways in which the Europe 2020 objective, focusing on increased energy efficiency, has been translated into activities at the local level by making use of multi-level governance mechanisms.

The traditional response to the need for improved energy efficiency and legal obligations resulted in a mismatch between national policies and local needs. Before the LEK was introduced, no measures had been taken to manage energy issues strategically at the local level. This was seen as a problem for the implementation of national policies. Neither the national level nor the municipalities collected or tracked energy consumption data that could lead to greater energy efficiency or the better use of renewable energy sources at the local level.

VrhnikA began to approach sustainable energy policies systematically in 2008 when preparing its local energy concept. Work at municipal level was supported by the Ministry of Infrastructure and Spatial Planning, the Ministry of Agriculture and the Environment and the Ministry of Economic Development and Technology, which together provided the regulatory framework and the necessary funding. The local energy concept was further detailed in tandem with a wide range of local stakeholders. Politicians played a key role in this. All key political decisions were taken by the mayor and the municipal council. The municipality naturally played the most important role in the LEK implementation; motivating stakeholders at the local level.

Other stakeholders from the public sector, such as schools, private companies and citizen groups, were also involved. Although the municipality focused very much on energy efficiency in public buildings, it also encouraged its citizens and companies to consider similar measures at home and the workplace following the positive results achieved by the municipality.

Explanation of the concept and its implementation involved a wide range of new governance arrangements. Municipal public utility services undertook a large number of the actions planned in the local energy concept. One example is the work done in schools relating both to the improvement of buildings and to education and raising awareness among staff and pupils.

The improved governance arrangements led to improvement in policy delivery. Working with the local energy concept, the municipality gained useful knowledge and skills with regard to energy efficiency measures. This extended beyond officials working within the local administration to local politicians and principals of public institutions. The work also resulted in a better appreciation of the need for strategic planning and monitoring as well as for evaluations of energy efficiency. The local energy concept enabled a better overview of the key challenges with regard to energy at the local level and helped to achieve sustainable energy savings in public buildings. In doing so, it helped the municipality gain better control over its spending and, at the same time, reduce its environmental impact.
LOMBARDY – A NEW APPROACH TO A REGIONAL TERRITORIAL PLAN

Lombardy is an Italian region covered by the Italian national energy strategy, which translates Europe 2020 energy efficiency objectives into national policies and sets out medium- (2020) and long-term (2050) objectives. In addition Lombardy has one of the most advanced regional energy efficiency policies in Italy, especially for the certification of public and private buildings.

The regional need to improve energy efficiency policies and measures is linked to the progressive depopulation of parts of the region, the existence of a massive number of second homes with low energy efficiency and the unsustainable use of natural resources. Traditionally, coordination between regional and local authorities was unstructured and some sectors were regulated in a ‘top-down’ approach.

Once a regional territorial plan was set out in greater detail, coordination between local and regional levels and different policy sectors improved. Setting out a regional territorial plan for the Alpine Valley Area (PTRA) brought together the most important stakeholders from various sectors and levels of governance. The PTRA Valli Alpine commenced in 2011, emerging from an initiative of Lombardy’s Directorate General for Territory, Urbanism and Soil Conservation. This intervention came about, however, due to local media and NGOs calling for action with the subsequent public opinion putting Lombardy regional authorities under pressure.

The process of reinforcing multi-level governance has involved local stakeholders throughout the entire process with the political commitment of regional policy players and strong evidence provided by the University of Bergamo. The two key platforms are: (a) working groups at the regional level, which involve regional planning and development players, intermediary bodies and municipalities; and (b) sub-area level working groups, which involve intermediary bodies, local authorities and local stakeholders. During stakeholder discussions, political commitment played an important role, as did the presentation of evidence using maps that detailed where certain issues were of particular concern.

Through this work, local agendas have been changed and the capacity to promote and monitor energy efficiency has increased. This also involves a better understanding of local stakeholders and, specifically, the role of their actions in a wider framework. Furthermore, the constant debate and exchange with local stakeholders offered regional authorities the opportunity to collect new information about specific needs at the local level and to improve some of their sector policies. Thanks to the PTRA, local authorities have experimented with a different way of relating to the regional authority. They no longer passively accept new rules and regulations, but instead actively debate and cooperate in achieving a common target.

The most important change thus far has been in the behaviour of local stakeholders. The effectiveness of the governance arrangements and their ability to promote an increase in energy efficiency in the area remains to be seen. However, some lessons can be drawn from this case in relation to multi-level governance in support of the Europe 2020 strategy.
ALSACE – ENERGIVIE PROGRAMME AND CLUSTER FOSTERING AND SUPPORTING THE EMERGENCE OF INNOVATIVE PRODUCTS AND SERVICES

Alsace is a region in north-eastern France. With the introduction of the ENERGIVIE programme and cluster, the region is a part of the French contribution to Europe 2020 targets. There is a need to increase renewable energy and to reduce the energy consumption of buildings. A special focus is on increasing the number of low-energy buildings since buildings account for about 43% of energy consumption and 22% of greenhouse gas emissions. Furthermore, rising energy prices put an increasing number of households at risk of energy poverty.

French national energy and environmental objectives have gradually and incrementally evolved into today’s ENERGIVIE programme and cluster. The governance arrangements built a regional assembly for energy and air quality, which translated national and international obligations into the Alsace context. The Alsace regional energy policy is ambitious and may be described as an integrated and coordinated approach. It brings together the public, including the region, departments, agglomerations and regional state representatives, educational establishments such as universities and professional education, and private players linked to the energy sector such as regional and local energy and construction companies, and their representatives, e.g. chambers of commerce.

The ENERGIVIE programme was developed in the context of the regional assembly. This is embedded in the ‘State-Region’ contract, committing the region to programming and multi-year funding for major projects or support for promising niches such as energy efficiency. The ENERGIVIE programme is the first step towards more integrated and coordinated action for energy. The focus of this programme was initially on renewable energy, but slowly changed to energy efficiency in buildings.

In 2010 the ENERGIVIE cluster was initiated as part of the ENERGIVIE programme to foster and support the emergence of innovative energy products and services in the Alsace region. The cluster connects economic players, companies, professional education and research in networks; it identifies and supports collaborative and innovative projects and financing opportunities. The establishment of the ENERGIVIE cluster is an incremental step and can be seen as the manifestation of an increased and strengthened participatory approach. Based on the initiative of the president of the Alsace region and the prefecture, the jurisdiction for the region’s administration, a regional competitiveness cluster was developed.

The Alsace ENERGIVIE cluster acts as a catalyst. It brings together different legislation, competence, funding, human resources, economic activities and initiatives that help the Alsace energy and climate efforts reach the objectives for 2020 and beyond. Through the various participatory processes and projects, the programme and cluster managed to improve organisational capacity in the region for energy and the ability to pursue energy policy and regional economic development objectives at the same time.
STOCKHOLM – THE URBAN GAME AS A NEUTRAL PLATFORM FOR POLICY COORDINATION

The Stockholm region has high levels of socio-economic segregation and the challenges of social inclusion are increasing. Whereas housing segregation is traditionally dealt with by the municipalities on their own, there is an increasing awareness that it can no longer be dealt with by municipalities individually. In fact, the tight functional integration of various municipalities in the Stockholm region implies that socio-economic segregation is both a local and regional challenge.

In this context, the initiative for the Urban Game was a joint undertaking of the main agents of the Stockholm region; the Stockholm County Council and the County Administration Board. The game was developed through a process involving a wide range of different experts and drawing on broad evidence from socio-economic developments and policies in the Stockholm region.

With the Urban Game, the regional level established a platform outside existing governance structures to deal with social inclusion issues. The tool is primarily designed to encourage discussions and to increase awareness of the interdependences of developments and decisions in various sectors and at various levels of governance. The Urban Game approaches sustainable social development across sectors and governance levels.

The Urban Game has seven decision-making levels, which are linked through programmes, plans, projects and directives related to sustainable social development in the region of Stockholm. This ranges from the individual level to the EU level. Furthermore, the Urban Game operates across several sectors within sustainable social development, including transport, labour market, urban structure, housing, education, culture, health and welfare.

The Urban Game is a unique tool to clarify and understand how measures implemented at different governance levels and sectors relate to each other, and what measures need to be taken to achieve a sustainable result. The game opens up discussions in an informal setting and establishes a neutral environment where different governance levels and sectors can be brought together.

It is too early to draw any conclusions about whether the Urban Game has actually changed the ability to combat socio-economic segregation. Nevertheless, it is used for different local and regional policy decisions and plans in the Stockholm region involving both civil servants and politicians. Furthermore there are valuable lessons regarding a coordinated dialogue between stakeholders, which could also be applied in other policy fields and offer the opportunity to involve other public and private stakeholders.

The main result of the Urban Game so far is increased awareness of the needs and advantages of better cooperation and coordination across governance sectors and levels. The Urban Game is highly applicable and transfers well outside regional and even national boundaries. It serves as a neutral discussion platform and raises awareness among participants about other stakeholders from different levels and sectors that should be involved in more efficient policy delivery.
POMORSKIE – NEW APPROACH TO THE INCUBATION AND IMPLEMENTATION OF URBAN REVITALISATION

Pomorskie is a Polish self-governing region that operates a regional European Regional Development Fund (ERDF) operational programme (ROP) for urban revitalisation which addresses issues in Europe 2020’s social inclusion targets and the aims of the national Polish programme for urban revitalisation.

In the region, social challenges are concentrated in specific areas due to strong social and economic segregation and social exclusion. Social exclusion, although defined in various ways, is related not only to physical wellbeing and income level but also to the labour market, citizen participation and access to associations and civil society in general. Traditionally, municipalities dealt with social exclusion challenges, often using uncoordinated measures. However, the challenges are too complex to be tackled solely via uncoordinated action in individual sectors.

Making use of the ROP, the Marshall Office set out a consolidated approach to social inclusion, by regionally identifying and negotiating projects for urban revitalisation and social inclusion. Acknowledging the complexity of social inclusion, a link between the ROP and the Operational Programme Human Capital was established. This allowed ‘soft’ measures to be combined with ‘hard’ infrastructure measures. This new approach involves three main elements with different implications at regional and local levels: (a) identifying projects; (2) implementing projects; and (3) changing implementation routines.

At the ROP level, the identification of revitalisation projects was based on an objective analysis of social situations in different cities in the region. Furthermore, the selection procedure focused on cooperation between different local institutions and structures, rather than on individual competing project applications. This procedure allowed the projects to be incubated, balancing infrastructure and social aspects. In doing so, the ROP tried to focus on selected result-oriented actions and to balance local and regional needs.

At the local (project) level, the ROP imposed a participatory approach on social inclusion projects. One requirement from the ROP was that municipalities, when preparing a revitalisation project, had to engage and define in advance the partners to be involved and their exact roles in the proposed actions. This approach resulted in revitalisation projects being oriented towards the needs and expectations of local communities and citizens. Furthermore, it also brought together various local policies, i.e. infrastructure, housing, social welfare and the labour market, and through this has contributed to strengthening social inclusion in an integrated manner.

As a result, in addition to the results, the revitalisation projects helped empower local stakeholders, and involved them in useful social dialogue. The negotiation procedure for revitalisation projects enabled targets and objectives to be balanced at the local and regional levels. Furthermore, local administrators and politicians had to improve their local development policies by ensuring: (a) result-oriented actions; (b) community participation; and (c) better monitoring and evaluation.
TIMISOARA – NEW APPROACH TO INTEGRATE NON-EU MIGRANTS

Timisoara is a city in Romania where the inclusion of non EU-migrants is one dimension of the Europe 2020 objective addressing inclusive growth and social inclusion. Generally, the implementation of the Europe 2020 strategy is one of the challenges for Romania’s public administration. A difficulty in this context is including non-EU citizens, following the European Agenda for the integration of third-country nationals.

The traditional approach in this field did not set priorities, it made ad-hoc decisions and limited inter-ministerial coordination and policy planning capacity. In short, the main focus was on ‘top-down’ management approaches of the central government and two-way communication with stakeholders. The process could be described as bilateral dialogues between migrant associations and NGOs; public administration and NGOs; and migrants associations and public administration.

The governance structures have changed to cope with increasing numbers of non-EU migrants in the region. Project Migrant in Intercultural Romania (MiIR), initiated by the Intercultural Institute of Timisoara, has worked towards a trilateral consultation mechanism between migrant communities, civil society and public administration. In short, the cornerstones of this new approach are:

- local working groups bringing together local stakeholders to solve local challenges by using local resources and administrative tools;
- national working groups focusing on policy and legal solutions, which require interventions at national level;
- intercultural mediators facilitating communication and cooperation between all participants, considering each individual community or cultural context.

The MiIR project recorded significant successes with consultation and practical local intervention. Local representatives of the ministries and governments, e.g. the prefecture, local immigration offices or country education inspectors, managed to implement measures during local consultations. Following the local experience, the process for policy changes at national level is rather slow.

Much of the success is based on identifying institutional and administrative limits and conditionalities, as well as receiving political support to move from ad-hoc initiatives towards long-term strategic approaches. Based on this case, improved policy delivery depends on the identification of all relevant stakeholders, including support from the political level, and ensuring a proper environment for cooperation.

In this case, the role of NGOs has been crucial, because they took the initiative to improve inclusion of non-EU migrants in Romanian society and developed and implemented a new governance structure. Effective communication channels to disseminate knowledge and results and to promote the players and their activity are also essential. Furthermore, it is important to stimulate and motivate voluntary actions and ensure involvement and participation, building trust and encouraging complementary actions between players.
LIVERPOOL – ENCOURAGING ENTERPRENEURSHIP TO SUPPORT SOCIAL INCLUSION

Liverpool is a city-region in the UK with some of the worst pockets of deprivation and considerable social exclusion challenges. A local approach focuses on encouraging entrepreneurship using the ERDF as a means of promoting social inclusion. This approach involves a range of private, public and civil society actors working together to engage citizens in the most deprived areas, to help them develop their own businesses.

The key premise of encouraging social entrepreneurship is that there are considerable economic benefits from promoting social inclusion at the local level. This approach differs somewhat from more conventional approaches which deal more with the effects of deprivation and unemployment than encouraging entrepreneurship among the hardest-to-reach social groups, in the poorest urban areas.

This approach to tackling social exclusion via encouraging entrepreneurship, including the creation of social enterprises, operates within a system of government which has changed substantially since 2008 and the beginning of the economic crisis in the UK. Firstly, as a consequence of the crisis there was a considerable reduction in public funding, which has significantly constrained the provision of business support programmes to encourage entrepreneurship. Secondly, abolition of the regional tier, including Regional Development Agencies (RDAs) significantly changed sub-national governance structures. In the northwest region, including the Liverpool city-region, this involved the closure of the west RDA (NWDA) in 2010.

In the same year as the NWDA was disbanded, the Local Enterprise Partnership (LEP) for the Liverpool city-region was created. The LEP is a voluntary membership organisation, involving over 450 partners from both large and small firms based in the city-region. The LEP took over some of the tasks of the NWDA, however, with a lower budget and less staff. The main tool that the LEP has at its disposal is the ability to encourage partnership and cooperation between all stakeholders in the Liverpool city-region.

One response to the changed economic and governance context was to achieve economies of scale in encouraging social entrepreneurship.

An example of success is the Big Enterprise in Communities project, which supports social entrepreneurship in the most deprived neighbourhoods of the Liverpool city-region. The project facilitates cooperation between various stakeholders on a large business support project, rather than funding a larger number of smaller projects.

This example underlines that in times of increasingly scarce public resources, cooperation between key players in different sectors and at different levels becomes even more important to ensure efficient and effective policy implementation. Furthermore, this example shows that people and close-knit policy communities can adjust to challenging changes in governance structures, and ensure the continuity of social inclusion actions.
HOW TO OBTAIN EU PUBLICATIONS

Free publications:

- one copy:
  via EU Bookshop (http://bookshop.europa.eu);

- more than one copy or posters/maps:
  from the European Union’s representations (http://ec.europa.eu/represent_en.htm);
  from the delegations in non-EU countries
  (http://eeas.europa.eu/delegations/index_en.htm);
  by contacting the Europe Direct service (http://europa.eu/europedirect/index_en.htm)
  or calling 00 800 6 7 8 9 10 11 (freephone number from anywhere in the EU) (*).

(*) The information given is free, as are most calls (though some operators, phone boxes or hotels may charge you).

Priced publications:

- via the EU Bookshop (http://bookshop.europa.eu).

Priced subscriptions:

- via one of the sales agents of the Publications Office of the European Union