C-Track50

Putting regions on track for carbon neutrality

Putting Regions on Track for Carbon Neutrality by 2050

D2.2: Briefing paper

Existing collaboration models and recommendations on how to tailor collaboration models to facilitate energy and climate planning

Authors:

Patrick Biard and Catherine Premat (AURA EE), Alicja Nowak and Weronika Sierżant-Bekasiak (WOJEWODZTWO), Josef Baernthaler (EAO), Petra Orehovački and Jurica Perko (REA North), Nikolai Jacobi (ICLEI EURO), Andriana Stavrakaki (EPTA), Alexandra Papadopoulou (NTUA), Aija Zucika (RIGA PL REG), Valeria Szabo (LENERG), Rúben Figueira (AREAM), Adina Dumitru, Mihaela Lite and Sanda Mora (AMEMM), Carlos García Sánchez and Maria Rodriguez (FAEN)

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Preface

Local and regional authorities play a decisive role in the attainment of the EU's long-term climate and energy targets. C–Track 50 aims to support local and regional authorities in energy and climate planning, so as to contribute considerably towards achieving the 2030 and 2050 EU energy and climate targets. More specifically, C–Track 50 will promote multi-level governance and support local and regional authorities in developing, financing and implementing ambitious integrated sustainable energy and climate policy action plans in order to achieve climate resilience and carbon neutrality by 2050.

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Executive Summary

This brief is for local, regional and national public authorities, who are key players in developing and delivering sustainable energy and climate plans and initiatives. This report has been developed by Patrick Biard and Catherine Premat (AURA-EE), with the contribution from the consortium partners at each country level.

It aims to help local, regional and national public authorities work collaboratively on sustainable energy and climate policies, plans and strategies by developing a '**Multi-level Governance**' (MLG) approach suited to their country specific needs.

The brief can help them to:

- **Understand Multi-Level Governance** and how it can help to work in partnership and to implement coherent and effective strategies and plans;
- Identify and explore **applicable MLG models;**
- **Customize and improve existing models** to enhance MLG collaboration and facilitate energy and climate resilient planning at national level.

This document focuses on the multi-level governance in the energy and climate planning process in 11 countries, namely Austria, Croatia, France, Germany, Greece, Hungary, Latvia, Poland, Portugal, Romania and Spain as summarized below.

In **Austria** there exists an Energy- and Climate strategy at national level, including goals and targets until 2030, related to European goals, guidelines and directives. There are even Energy- and Climate strategies at Regional / Provincial level. At sub-regional and municipality level, energy and climate planning is done on a voluntary basis. Municipalities can apply in several programs like "Energy- and Climate Regions" from the Austrian Climate and Energy fund, or they can take part in the European Energy Award (e5 in Austria) or the Allianz for Climate and others. In these programs there are processes for coordination of the actions and targets between the national, regional and municipal levels.

Multi-level governance in **Croatia** is not represented enough. Local and regional governments do not have much influence on the national government, especially in issuing new laws or amendments. The Energy Renewal Program for Family Houses for the period 2014-2020 with a detailed plan for the period from 2014 to 2016 is a program adopted by the Croatian government. The Program is based on the 2nd National Energy Efficiency Action Plan (NEEAP) which analyses the state of the existing housing stock and energy consumption in it, and suggests and elaborates measures to improve the energy efficiency of existing buildings to be implemented in the period 2014-2020. This project is a good example how local/regional and national bodies can collaborate in order to fulfil national targets set out in the NEEAP. This Program actually encompasses all local (regional) self-government units in Croatia regarding energy efficiency.

The Act of 17 August 2015 on energy transition for green growth seeks to enhance **France's** energy autonomy, cut its greenhouse gas emissions and provide effective tools to all stakeholders in order to boost green growth. Concerning the national target setting procedures, there is strong relationship between different sectors and between higher to lower governance levels. As far as the incentives and compulsory or voluntary measures in place to support the implementation of the

national framework, the federations of municipalities with more than 20,000 inhabitants are required to implement SECAPs with air quality issues and promote positive energy territories in 2050.

Considering the feedback loop mechanisms to monitor progress, there is a top-down approach adopted in France, which lacks bottom-up cooperation. In line to the above, the energy planning process is an integrated activity among the lower governance level, but not with the upper one. As a result of the above, local initiatives don't influence the national planning framework.

In 2016, the **German** government introduced the Climate Protection Plan 2050, which constitutes a key planning instrument designed to implement the Paris Agreement. In line also with EU legislation, the Plan foresees reductions in GHG emissions of 80-95% in 2050 as compared to 1990, while for 2020 a reduction of 40%, 2030 of 55% and 2040 of 70% needs to be achieved. Additionally, the share of renewables in final energy consumption is envisioned to reach 60% by 2050, while total primary energy consumption should be cut in half by 2050 compared to 2008 (energy efficiency). The Climate Protection Plan 2050 and the Energy Plan (2010) are the key planning documents of the German government designed to guide the implementation process of the Paris Agreement and EU targets as well as feed into the design of the 5-year planning of Nationally Determined Contributions (NDCs).

The German Federal Government follows a three step approach to implement the Climate Protection Plan 2050: 'require, promote, inform'. 'Require' comprises of key national legislation such as the Renewable Energy Act and the Energy Efficiency Directive as well as guidance to the EU Emissions Trading Scheme (ETS) and the National Pollutant Directive. In order to stimulate implementation and compliance, the national government promotes and finances climate action through several channels such as the National Climate Protection Initiative of the Federal Environmental Ministry or public procurement measures in the area of energy efficiency and power-heat-coupling etc. Additionally, the German Federal government takes part in the European Fund for Social Affairs by investing in education programmes that promote sustainable development. Biggest reductions have to come from the energy sector – which is the reason why the government will support coal intensive regions with money from the Structural Fund.

While for the Legislative Directives (E.g. the Renewable Energy Act), the usual parliamentary processes in Germany adhere, some aspects of the planning process, i.e. for the Climate Protection Plan 2050 were drafted in a participatory process, including regional and local authorities as well as citizens. Also, the implementation of the Plan through its various channels exhibits a governance mechanism which includes a multitude of actors. Such examples include the above-mentioned Climate Protection Initiative (NKI), or the competition format 'Climate Active Municipalities' as well as the European Energy Award - EEA (which is not a German initiative, but referred to quite prominently by German municipalities). Additionally, there are a number of incentive-driven mechanisms designed to stimulate energy-awareness among citizens and businesses. While most of German MLG initiatives focus on financing, creating incentives or the provision of consulting services, there seems to be a lack of MLG in the sense of 'true' co-creation and -development that is aligned with common problem identification, solution finding and joint implementation between the different levels of government. Regional representatives have repeatedly identified a lack of target-oriented climate action planning on the local and regional level (i.e. a lack of integration of local/regional targets in national- and international target setting) as well as a lack of overall coherence of plans but also of achieved reductions between the different administrative levels, which is connected to the latter point.

The MLG approach (horizontal or vertical) is not embedded in the energy and climate policy planning process in **Greece** due to the current regulatory framework, since obligations vary significantly for the different government levels, and there is no coherence between the plans developed by them. From the examples of the sparse MLG activities in the country, it is considered that wide engagement of the local and regional actors would be more beneficial for the establishment of the overall strategy, while their continuous involvement in the implementation of the actions could bring more added value. Also, the engagement of the regions' representatives in the national planning process should be further encouraged. Availability of funding was considered by all engaged stakeholders one of the most significant parameters for the implementation of actions in this direction, while an alignment in the regulatory framework in terms of energy and climate policy planning, for authorities at the regional / local level is considered to facilitate future collaboration among them.

In **Hungary** there are examples on MLG, but it is not a widespread process. Energy planning happens at national level and local level as well, but sometimes the connection between these planning processes is weak. This means on one hand that local strategies and plans should fit to national plans, like Energy Strategy 2030 or NREAP, while on the other hand, integrating the experts' opinion into the national strategy is always part of the process, but its effectiveness and the level of cooperation is low. Therefore, it is highly recommended to promote MLG in Hungary at every level. Trainings and raising awareness on MLG are requested, and ensuring funds by the Government of Hungary to develop a network of experts would help in the process.

Although the policy planning and development process is well elaborated in **Latvia** and covers the involvement of all multi-level stakeholders, such methods as public discussions/roundtables could be used more often to ensure active opinion discussion/ identification in regions and among different level of stakeholders. As Latvia is a small country, it gives certain benefits to effectively involve all levels of stakeholders in the policy planning process. The State has a unique experience in elaborating and implementing a financial instrument addressing the energy and climate policy, the Climate change financial instrument. 200,000,000 millions EUR were available to different level-sector representatives to implement actions for CO_2 emissions reductions and energy efficiency improvements. Based on this successful experience, the State has created another financial instrument, the Emission allowance auctioning financial instrument.

The national energy policy in **Poland** is implemented basically on two levels - national and regional. The interdisciplinary nature of this policy requires, above all, ensuring efficient inter-ministerial coordination mechanisms, i.e. horizontal cooperation between individual state institutions to optimize the effects of decisions. It is also important to involve sub-national entities in these mechanisms. The scope of this cooperation, between the authorities of the national and subnational levels, depends on the specificity of national legal solutions. Energy policy at the national level is carried out by the government and its authorities, competent in matters of energy, economy, security, functioning of the internal market, competition protection, energy market regulation and environmental protection. The formal position of the state (as a participant in integration processes) is presented after the end of the procedure of domestic consultations. The subnational level is represented by regions and municipalities. Regions participate in decision-making mechanisms at the national level as institutional partners. They can also participate in the decision-making process at the European level (through formal mechanisms and structures: the EU Committee of the Regions, the Council of the EU, informal mechanisms and structures: regional representation offices in Brussels and lobbying). With regards to policy programming, the regional authorities most often have

the opportunity to participate in consultations organized both at the national level (by the central authorities) and at the supranational level (by the European institutions, in particular in consultations conducted by the European Commission).

Portugal is committed to achieve carbon neutrality by 2050 and to limit the increase of greenhouse gas emissions, assuming 80% reduction of CO_2 emissions at local and regional level with the remaining 20% being achieved through national policies. In this sense, cooperation between different levels of governance (vertical and horizontal cooperation) is crucial to understand how decision-making processes and, with the adoption of integrated energy and environment policies, will allow to accomplish the goals and targets assumed by the country and by the regions themselves, as well as, finding solutions to take advantage of the economic and financial opportunities that can translate into investment and combat unemployment. The Multi-Level Governance can provide resources and technical skills from different actors, aiming to meet the commitments made.

In **Romania**, the Romanian Authority for Regulation in the Energy Sector (ANRE), is the main specialized body, at national level, in the field of energy efficiency. This government institution controls every aspect of energy policy in Romania. It elaborates proposals and approves and monitors the implementation of primary energy laws at the national level. The ANRE functions in two committees – the regulatory committee and the consultative committee. The regulatory committee is assisted by the consultative body as a means of reaching out to non-public actors to attend and consult in the decision-making process. The consultative committee is made up of 13 members, appointed by the prime minister, each representing their organization or association. Other important national organizations that take part in this process are public actors. Transelectrica, along with Electrica, Hidroelectrica and Termoelectrica, are the four major companies subordinated to the Romanian government that deal with energy production and distribution in Romania and all are taking part both in consultations for energy policies and in the implementation and monitoring of energy policy. On the other hand, non-public actors involved in the decision-making process are far less in comparison with public actors and are mainly involved in the first step of policy implementation, in public consultations during the agenda-setting phase. Actors at the local level, mainly public authorities, are also involved in public consultations, implementation and monitoring of energy policies.

In **Spain**, previous experiences, as the development of the Energy Efficiency Strategy 2004-2012, showed the importance of collaboration between different levels of Government (national, regional and local) in the implementation of measures for energy improvement. However, this collaboration stopped since 2012. The central Government, without coordination with the rest of the administration levels, developed its own strategy in 2014 and introduced actions in legal, tax and incentives matters. This procedure is currently still, and the absence of an effective coordination of strategies in the different levels of governance makes difficult to achieve the objectives set by the European Union.

1 What is Multi-level Governance (MLG)?

(MLG) is a term originally developed by the EU's Committee of the Regions (CoR) in 2009. It outlines the European Commission's aim to 'build Europe in partnership' and have an inclusive European decision making process: "Multi-Level Governance means **coordinated action** by the European Union, the Member States and Local and Regional authorities, based on partnership…to create and implement EU policies. It leads to **responsibility being shared** between the **different tiers of government.**"

The Committee of the Regions, 2009 White Paper

Central to this concept, is the recognition that delivering policies, actions and strategies, is more effective when we work together. In its simplest form, MLG means working together **across different levels of government, in a vertical and/or horizontal cooperation process,** to deliver policies and plans more effectively.

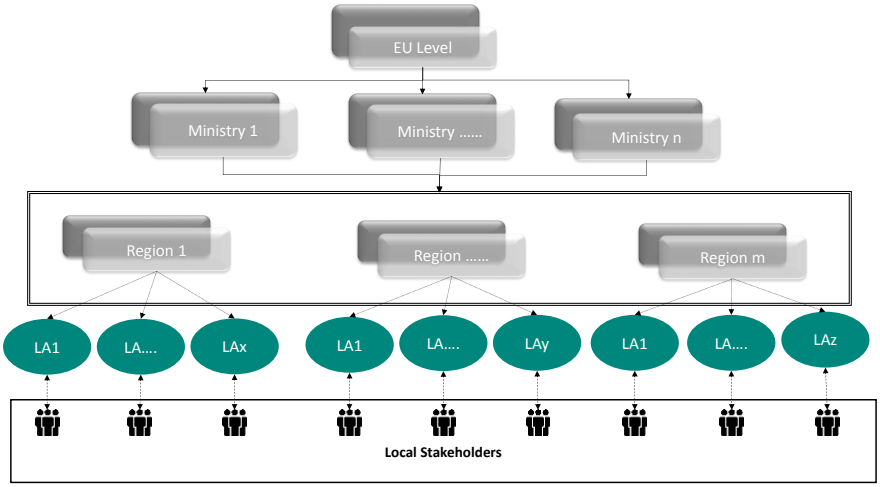

Figure 1: Multi level governance concept

2 How can MLG help sustainable energy and climate action? The benefits

Following adoption of the **'20-20-20' climate and energy package** by the European Commission in 2008 and elaboration of the **'Clean energy for All Europeans'** package, local regional and national authorities were given responsibility for contributing to these objectives by developing their own targets and strategies.

Since 2008, **more than 7,750 local and regional authorities** have committed to adopting Sustainable Energy (and Climate) Action Plans by signing the Covenant of Mayors (CoM), while others have developed either voluntary or compulsory energy policies or action plans.

With an increase in the number of approaches involving different levels of government, the problem of overall coherence arose:

- How do local initiatives contribute to regional and national objectives?
- How to take into account the needs of local authorities when creating Regional or National plans?
- How to ensure equal distribution of resources?
- How to communicate a consistent message to all stakeholders?

By working together (through an MLG approach), public authorities can combine their expertise to benefit the planning process. This can achieve multiple benefits, helping them to:

- **Ensure coherency between plans:** a collaborative process can help to integrate plans and policies at national, regional and local levels (for greater efficiency).
- **Develop clear and consistent visions**: sharing knowledge and ideas between authorities can enable ambitious and realistic visions to be created. Proper attention is paid to local realities, alongside the strategic needs (helping to achieve targets).
- **Share expertise, skills and knowledge**: this can fill important skills gaps in the planning process and facilitate the spread of good practices, innovative and pooled actions (for instance joint planning or joint procurement).
- **Establish more favourable financing mechanisms:** partnering up with other authorities can create more secure and stable conditions to attract investment.
- **Communicate more effectively**: defining objectives collaboratively ensures that messages are harmonised between stakeholders (avoiding confusion).
- **Establish consistent monitoring and reporting** tools or **reporting structures**, to ensure plans are monitored more coherently between the local, regional and national levels.

3 Implementing good governance: the 5 principles

Working to meet the energy and climate targets often involves **complex and controversial** solutions (**changes in land use; access to and shared use of natural resources; access to funding;** etc.) requiring the **participation of a number of different stakeholders at different levels**: economic players, research institutes and universities, non-profit organisations, citizens, etc.

MLG processes are designed to support this involvement of players at different levels. However in order for these approaches to be successful, the **White Paper on European Governance** advocates **5 principles of "good governance":**

1. **Openness, transparency**: communicate and make information easily accessible and understandable to all stakeholders and the general public.
2. **Participation**: ensure widespread participation of all stakeholders, each step of the way – from the design, to the implementation of the policy.
3. **Accountability**: clarify everyone's role and objectives.
4. **Effectiveness**: clearly identify objectives and expected results, and evaluate their impact.
5. **Coherence**: ensure that there is coherence between different actions (particularly other governance processes).

4 Concrete examples of good governance

Best practice MLG projects in energy planning have been identified and analysed within the scope of the following EU funded projects and are available for download at the following links:

- COOPENERGY_IEE: Regional and local public authorities cooperating in sustainable energy planning:http://www.coopenergy.euhttp://www.auvergnerhonealpes-ee.fr/fileadmin/user_upload/mediatheque/raee_anglais/Documents/European_projects/151202_FINAL_Coopenergy_Guidebook.pdf
- SMILEGOV_IEE: Multi-Level Governance in sustainable energy planning in islands: http://www.sustainableislands.eu/capacity-building/Good-practices.html
- MULTEE_IEE: Facilitating multi-level governance for Energy Efficiency: https://multee.eu/

A best practice example of good governance is the **Climate Covenant, energy planning voluntary scheme** in **the Netherlands.** The *Climate Covenant* is a voluntary cooperation agreement made between the national government, provinces and municipalities, aimed at intensifying local efforts on climate action. The national government identifies climate objectives and standards (through a so-called "Climate Menu", structured by topic and by level of ambition), while the municipalities work practically on implementation actions which, from their perspective, will be most effective in reducing CO_2 emissions. The *Climate Covenant* is an example of multi-level governance for sustainable energy involving all levels of government in the Netherlands.

In the following paragraphs the partners share a short description of some best practice examples on multi-level governance from their countries. For these best practice examples, the partners followed the questionnaire template provided in Annex I in order to present all the necessary information. In some cases, the information was directly provided by the stakeholders concerned on a voluntary basis, with the use of this questionnaire. The number of collected questionnaires directly by the stakeholders per country is presented in the table below.

Table 1: Collected questionnaires at each national level

Country	Number of questionnaires collected
Croatia	1 (City of Varazdin)
Greece	2 (Epirus region, Technical Chamber of Greece: Data4Action)
Poland	2 (ASSIST, CLIMCITIES)
Portugal	2 (SOCLIMPACT, ENERMAC)

4.1 Austria

Joint Energy Climate Action Plan in Styria: In Austria, the region of Styria developed an Action Plan to reduce greenhouse gas emissions in order to reach the climate and energy package targets. The local authorities were also very involved in the process, along with a large number of stakeholders: experts, elected officials, representatives from the agricultural and economic sectors, non-profit organisations, and citizens. All the stakeholders participate in the implementation of the Action Plan. The regional authority is responsible for coordination and evaluation.

4.2 Croatia

Program of encouraging energy efficiency for households in the City of Varazdin: The goal of this Program is to increase the energy efficiency of existing houses, reduce energy consumption and CO_2 emissions into the atmosphere, and reduce monthly energy costs, while improving overall quality of life. At the same time, the planning of such interventions implies the engagement of local companies and experts and promotes economic activity. The Program gathers national public authorities (Ministries and the Environmental Protection and Energy Efficiency Fund) and local and regional authorities. From the government, the Ministry of Construction and Ministry of Energy have adopted the Energy Renewal Program for Family Houses which is conducted by the Energy Efficiency Fund. This Program allows households to renew their houses (exterior joinery, facade, heating system and RES) with co-financing of 40 to 80 % and with the possibility of additional co-financing by local or regional authorities. Recently, the co-financing Program was adjusted, due to the use of EU funds. Croatia is ready to rebuild the housing sector by 2020 to reach 100 MEUR, of which approximately 30 million are intended for reconstruction of family houses.

4.3 France

Positive Energy Territories by 2050 with the support of AURA Region: This is a regional initiative with the support of national institutions, namely the national energy agency, the delegation of the Ministry in the Region, etc. The aim is to support local energy action plans through multi-level governance and financing their implementation. This initiative strongly contributes to the regional targets but also national and EU targets with a long term vision. At a regional level, the territories have to involve key stakeholders on different topics and municipalities have also to work together because TEPOS initiative addresses a large scale of territories, involving rural and urban areas.

4.4 Germany

National Climate Protection Initiative (German: Nationale Klimaschutzinitiative): NKI is national initiative steered by the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety. The initiative started in 2008 and has since implemented over 25,000 projects with a direct investment volume of around 790 million € leading to an aggregate amount of over 2.5 billion € in subsequent funding and investment. An average of 1.1 Mt of CO_2 eq. could be reduced annually as a result. The NKI works with local authorities, regions, businesses and others on a variety of areas and sectors including e.g. energy efficiency, municipal energy and climate planning, master plan, investments in energy technology, infrastructure investment – but also smaller scale projects with schools and public institutions as well as energy consulting for businesses and citizens. While the focus of the NKI is clearly on financing, it also engages project development, as well as awareness-raising.

4.5 Greece

Consistent regional - municipal Energy and Sustainable Mobility Plans in Epirus region. In Greece, the region of Epirus utilized European Structural and Investment Funds, available to the region through its Operational Programme, to finance the development of Sustainable Energy and Mobility plans for its key municipalities, namely the Municipalities of Arta, Igoumenitsa, Ioannina and Preveza.

The plans will feed in the Region's overall planning, for instance the Sustainable Energy and Climate Action plans will inform the region's climate adaptation plan. The plans developed have adopted the same approach, and are in line with the region's strategy on energy policy planning and sustainable mobility. A contract between each municipality and the region was signed, while the overall results are being monitored by the region. Success factors of the collaboration include the legal requirement to develop a regional climate adaptation plan and the provision of funding to local authorities to develop local sustainable energy and climate action plans.

4.6 Hungary

Territorial and Settlement Development Operational Programme (TOP): In Hungary the elaboration of TOP was a good example of how local needs can be considered in the planning process. The aim of the operational programme was to support regional, decentralised economic development and an increase in employment based on local resources between 2014 – 2020. Funding is managed in a decentralised manner by the counties, urban counties and by communities (in the case of community-led local development (CLLD) programmes). During the planning process, county governments collected project ideas and ranked them, so their main role was coordination, selection, support and administration. In Hajdú-Bihar county LENERG Energy Agency Nonprofit Llc. evaluated the ideas before ranking.

4.7 Poland

Low Carbon Economy Plans (PGNs) = SEAPs: In 2013, the National Fund for Environmental Protection and Water Management (NFOŚiGW) within the IX OPI & E priority axis, Measure 9.3 announced a call competition 2/POIiŚ/9.3/2013 for proposals for financing the development of Low Carbon Economy Plans (PGNs) in communes. As a helpful reference document in the development of PGN, the National Fund pointed the guide "How to develop a roadmap for sustainable energy", which is compatible with Wielkopolska SEAP. According to the guidelines, the objectives of the PGNs have to be in line with the Climate and Energy Package 2020 and the Air Quality Improvement Program in areas where pollution has been exceeded. The Regional Fund for Environmental Protection and Water Management in Poznan (WFOŚiGW) implemented the 3 calls for proposals for projects related to the development of Low Carbon Economy Plans for local government units implementing projects in the Wielkopolska Region. They supported 126 proposals in total. Until now, 204 out of the 226 communes of Wielkopolska developed PGNs, approved by the energy consultants from the regional branch of the National Fund for Environmental Protection and Water Management in Poznan. In this direction, the Wielkopolska SEAP guidelines document, developed by the Wielkopolska Region, was considered very helpful. As a result, municipalities wishing to obtain money in the financial perspective 2014-2020 from the regional operational programme for activities in the field of thermo-modernization of buildings or for the use of renewable energy sources, need to have low carbon economy plans (PGNs) in place.

4.8 Portugal

SOCLIMPACT: This initiative intends at modelling downscaled Climate Change effects and their economic impacts in European islands and archipelagos for 2030 – 2100 in the context of the EU Blue Economy, and assess corresponding decarbonisation and adaptation pathways, thus complementing

current available projections for Europe. Therefore, main focus is placed on modelling, planning and development of monitoring tools for decision making, for the joint development of strategies and plans. For the development of these tools, the regional authorities are working together with the municipalities.

5 Examples of MLG models

MLG models usually consist of MLG processes (e.g. Objective sharing process, National planning process, Evaluation and revision process) that are facilitated by the implementation of effective **MLG cooperation mechanisms and tools** (e.g thematic working groups, think tanks). MLG models should be based on "good governance" principles as defined in Section 3.

Some MLG processes can be imposed by laws or regulatory frameworks (e.g. Energy transition law in France specifying the planning obligations, Burden sharing law in Italy specifying regional energy objectives). Other MLG processes can be encouraged by voluntary programmes or initiatives (e.g. Covenant of Mayors for Climate and Energy: Territorial coordinators).

MLG cooperation mechanisms usually consist of a combination of vertical and horizontal cooperation mechanisms.

- Horizontal link: link at the same institutional level within one or multiple organizations
- Vertical link: link at different institutional levels within the same type of organization (e.g. public authorities).

These cooperation mechanisms can take different shapes and forms according to the goal(s) being pursued, the stakeholder engagement strategy and the stakeholder engagement levels (information, consultation, dialogue or co-development). Several cooperation tools can be used accordingly depending on the engagement level chosen:

Information: Communication campaigns, Events
Consultation: Surveys, One-on-one meetings, Multi-stakeholder consultations
Dialogue: Networks of actors, Think tanks, Multi-stakeholder focus groups
Co-development: Steering committees, Working groups, Co-creation labs, etc.

Some examples of MLG models in energy planning are listed below together with opportunities for advanced collaboration:

- National authorities determine the contribution of each region to national objectives on sustainable energy and climate and this is used as a planning tool for regional authorities.
  Advanced collaboration opportunity: the contribution of each region is calculated in a transparent manner using a calculation tool that is co-developed by national and regional authorities.
- National authorities formulate energy priorities, by consulting regional and other authorities or steering committees comprising of selected actors across all governance levels
- Regional authorities evaluate national strategic planning and develop regional priorities and plans (e.g. identification of intermediate targets, actions to implement) etc.
  Advanced collaboration opportunity: regional authorities work together and set up of a network of regional experts who will help develop consistent regional objectives and actions across regions in order to achieve or exceed the national objectives.
- Local authority voluntarily decides to engage in the Covenant of Mayors for Climate and Energy initiative. The territorial coordinator (Region, regional energy agency, etc) then supports the local authority to create an energy plan that is consistent with other plans.
  Advanced collaboration opportunity: the local authority is involved in the development or revision of the regional energy plan.

6 Recommendations for implementing and tailoring collaboration processes

6.1 Step-by-step methodology

The following step-by-step methodology was developed within the framework of the Coopenergy EU funded project in order to set up MLG energy planning processes (involving at least 2 levels: regional and local authorities). It can provide guidance and insights on how to set up or adapt MLG processes in energy and climate planning.

The process of setting up an MLG process is broken down into 3 phases as illustrated below:

Step 1: this preliminary step serves to identify stakeholders and engage them in the process to develop a **common vision**, joint objectives, and expected results.

Step 2: during this step, a more detailed analysis of the **stakeholder engagement process and governance mechanisms** will be carried out, **in a joint manner**, to define the most appropriate governance structures, decision-making processes, and operational methods to use.

Step 3: in this step a governance system must be established, which requires good communication and the **active involvement of all stakeholders** throughout the entire process. A participatory evaluation and continuous improvement of the process is implemented.

The methodology is fully described at: http://www.auvergnerhonealpes-ee.fr/fileadmin/user_upload/mediatheque/raee_anglais/Documents/European_projects/151202_FINAL_Coopenergy_Guidebook.pdf

6.2 Hints and tips for setting up or adapting collaborative processes

The following hints and tips were formulated by EU funded projects focusing on MLG energy planning and are summarized below:

- Clearly **defined roles and responsibilities** for each stakeholder is key to effective multi-level governance collaboration and accountability.
- **Trust** between stakeholders is key for success of any collaboration: it is important not to create unrealistic expectations about what the MLG model can deliver.
- Try to include or at least **communicate regularly and transparently** with all types of stakeholders (citizens, energy utilities, businesses) for more acceptance, appropriation and long-term commitment (a 'culture' of energy awareness) from all parties.
- MLG can be a very effective way of implementing sustainable energy planning, but only if the parties have **enough resources to build trust and to actively working** including follow up /monitoring.
- **Traditional forms of collaboration** (face-to-face meetings and email) were the most effective methods for encouraging partners to work together in a truly collaboratively way.
- The Covenant of Mayors is an **effective framework** in breaking down political boundaries for energy-climate action, considering that municipalities, provinces and regions involved often have different political allegiances.
- Multi-level Governance should be presented as a **win-win situation** since pooling resources together and applying together for funds enables savings in the budget and time.

6.3 Existing MLG models in energy and climate planning

The activities undertaken by the consortium partners at National level in the 11 countries within the C-Track 50 project, in order to discuss and analyse the existing MLG models in energy and climate planning are presented in the following sections, accompanied by short descriptions of the existing MLG model(s) in energy and climate planning.

6.3.1 Austria

In C-Track 50, EAO as the Austrian partner is guiding the process and the project implementation. A series of roundtables with municipalities and stakeholders at regional level are organized, to discuss the needs at local level for energy and climate planning, in coherence to national and regional goals and guidelines. Stakeholders at national and regional levels will be involved, as well as stakeholders from different sectors, to guarantee the MLG.

At local level, EAO is starting the regional process by selecting the municipalities. At the beginning regional and local development plans and other projects have been analysed to get an overview. Also stakeholders are analysed, in terms of their activities, what they can influence, why they are important for the process and what can they bring in to the process. Some interviews with selected stakeholders will be done. They will also be invited to workshops, first for the development of a

common vision and strategy towards 2050, and in a follow up to define concrete actions and projects for the first step.

6.3.2 Croatia

The existing cooperation models between all levels (national, regional and local) regarding energy and climate policy planning have been thoroughly analysed during the roundtable, where it was acknowledged that local and regional authorities do not have or have minimum impact on national bodies. A decision making process in terms of energy and climate policy planning is present only at the highest level (national level). Therefore, engagement of the regional / local actors through dedicated consultations for the policy planning, would improve the overall decision making process.

In the upcoming round tables, the debates with the stakeholders will continue, formulating suggestions and recommendations for improvement. An existing collaboration model is defined under Section 6.4, where national bodies collaborate with all regional and local bodies in Croatia in order to improve energy efficiency and use of renewable energy sources. National level obtains EU funds which are then transferred to local/regional authorities which than allocates financial resources together with its share through subsidies to all competitors who fulfil criteria defined in tender.

6.3.3 France

In France, the 1st roundtable follows the information that a better linkage is needed between the objectives of climate and energy policies from the national to the local level. This meeting was therefore intended to share the issue of "territorialisation" of regional and national objectives and of joint building exercises of objectives between different territorial levels, discussing on bottom-up and top-down approaches.

The national low carbon strategy sets objectives to reduce greenhouse gas emissions across France and the regional and local levels are obliged to implement their action plan:

- At regional level, the climate and energy objectives are set as part of the Regional plan of land planning, sustainable development and equality of territories (SRADDET).
- At local level, federations of municipalities are developing SECAPs (territorial Climate-Air-Energy Action Plan).

There are compulsory energy and climate plans declined from national targets but there is no discussion between regional and local levels, neither from lower to upper level.

At a regional level, the energy and climate strategies involve different stakeholders, crossing different topics.

6.3.4 Germany

The 1st German Roundtable entitled multi-level governance for climate and energy: status quo, challenges and needs was conducted on 19th of September in the City of Mannheim. The main objectives were to obtain an overview on MLG initiatives in the country as well as to identify challenges, which can be further addressed in the coming roundtables. Furthermore, support needs of local authorities present, where captured to feed into both the work ahead in terms of MLG and the technical support to local authorities within C-Track 50.

Discussions first focused around MLG approaches from the national level – mainly the above mentioned NKI. Further mechanisms were discussed in groups clustering them into three categories: (1) regulation, (2) financing (creating incentives) and (3) market instruments. These are the three prime mechanisms through which the German government aims to achieve its climate targets but also the implementation of key legislation such as the renewable energy act, the energy efficiency regulation as well as its Climate Protection Plan 2050. Subsequently a number of regional MLG mechanisms and programmes, from the region of Baden-Württemberg were discussed.

6.3.5 Greece

The MLG approach (horizontal or vertical) is not embedded in the energy and climate policy planning process in Greece, since obligations vary significantly for the different government levels. More specifically, it is obligatory to develop energy plans at national level, climate change adaptation plans at regional level and at a local level energy efficiency action plans for public buildings. As a result, the MLG collaboration processes adopted at the country level, can mainly be identified through EU projects. Within the first roundtable, different examples of MLG approaches were mentioned. In order to gather these examples, questionnaires were sent to the Technical Chamber of Greece (TCG) and the Region of Epirus, who participated in the 1st roundtable and/or have committed to support C-Track 50 activities in Greece.

Within the framework of Data4Action, a project co-funded by the Intelligent Energy Europe programme, a national energy observatory was established within the structure of TCG. It promoted multi-level governance in Greece, since different actors, such utilities (energy suppliers and distributors), national stakeholders (e.g. the Ministry for Environment and Energy, a national energy agency, a national association of municipalities), as well as regional and local authorities collaborated in order to facilitate the exchange of data. Municipalities were also engaged and benefited from the activities of the project as they were supported in developing their monitoring emission inventory and in monitoring actions included in Sustainable Energy Action Plans.

This is a good example of MLG, not only because it engaged with different actors, but because the observatory's main objective is to support the decision-making process and enable the collaboration of national, regional and local authorities to facilitate sustainable energy planning. More specifically, the mandate of the observatory is to support local authorities in developing baseline and monitoring emission inventories, whilst it is envisaged that it can also inform regional and national policy by providing bottom up energy data. The success factors of the collaboration includes:

- Multilevel collaboration with energy stakeholders was achieved which facilitated access to energy data. The signing of Collaboration Agreements ensured that collaboration was pursued and approved at a political/management level, which helped establish real collaboration on the ground.
- Collaboration between different national stakeholders and public authorities was also achieved that helped engage with energy stakeholders, besides facilitating access to energy data. Establishing a Steering Committee and signing Memorandum of Understanding between the Data4Action partner and the core members of the steering committee helped ensure their participation in key meetings and their support in establishing collaboration with energy stakeholders.
- Collaboration with regional stakeholders was also achieved. Except from engaging with regions and encouraging their participation in the Steering Committee (with signed Collaboration Agreements), capacity building bilateral meetings also took place with regional energy agencies.

- Collaboration with five local authorities was also achieved, which also helped test the databases set up and the provision of data.

Furthermore, the region of Epirus is a good example of MLG, as the region is actively supporting and working together with its local authorities in order to facilitate the development sustainable energy and mobility plans. The wide engagement of local and regional actors during the elaboration of these plans is also beneficial for the formulation of the region's overall strategy.

A fundamental parameter that can mobilise and strengthen MLG collaboration is having the same legal obligations, especially at the regional and local level. A best practice example is waste management planning in Greece that requires the development of a regional plan and thereafter the development of municipal plans. For instance, in the region of Thessaly the local Waste Management Action Plans (WMAP) developed were in line with the regional plan (in terms of priorities, targets and actions) and are all being implemented collaboratively. Conclusively, in order to improve MLG in energy and climate policy planning, all governance levels should have similar or complementary planning responsibilities.

6.3.6 Hungary

The responsibilities for energy efficiency policy formulation are clearly defined and distributed between different governmental layers. The Hungarian Energy and Public Utility Regulatory Authority is appointed as the coordination body for energy policy at national and regional levels. The local authorities are not involved in the national energy policy formulation, while their needs are taken into consideration through the conduction of public consultations.

A collaboration model exists between Hungarian Development Bank, National Energy Management Zrt. and regional organizations in ESCO construction. This is a bottom-up approach, where regional organizations generate projects at local level, meaning collecting project ideas which reflect local needs, and promote the programme among local government. The National Energy Management Zrt. evaluates the ideas, and promotes the programme at national level, and the Hungarian Development Bank finances the investments.

6.3.7 Latvia

On 23rd of August 2018, the Riga planning region within C-Track 50 project organised the first roundtable to discuss and promote multi – level governance in the country.

During the discussion session, the Riga planning region presented two identified multi - level governance examples:

1. Financial support for all stakeholders, which influence/ can influence climate and energy sector. Climate change financial instrument (Aim is to prevent global climate change, adaptation to the effects of climate change and contribute the reduction of greenhouse gas emissions.)
2. Public discussions with the multilevel stakeholders developing climate and energy policy. Strategy for carbon neutrality by 2050 in Latvia (Goal is to reduce GHG emissions by 80% compared to 1990 and increase carbon sequestration with full coverage Latvia's anthropogenic GHG emissions and reaching carbon neutrality in Latvian economy by 2050).

6.3.8 Poland

During the roundtable in Wielkopolska it was discussed how the EU policy influences the energy and climate planning in Poland, as well as the competences of the self-governments in terms of energy supply.

In Poland the national authorities formulate energy priorities, by consulting regional and other authorities or steering committees comprising of selected actors across all governance levels. Moreover, the regional authorities evaluate the national strategic planning document and develop regional priorities and plans (e.g. identification of intermediate targets, actions to implement) etc.

According to the Polish Energy Law, an energy company dealing in the transmission or distribution of gaseous fuels or energy draws up for its area of operation, develops a plan to meet the current and future demand for gaseous fuels or energy for a period of at least 3 years, taking into account:

1. local spatial development plan;
2. settlements for the concept of spatial development of the country or a spatial development plan for the regions;
3. energy policy of the country;
4. a community-wide ten-year network development plan;
5. infrastructure development policy and alternative fuels market in transport.

When drawing up a draft plan, energy companies are obliged to cooperate with entities connected to the network and with communes, and in the case of energy companies dealing in the transmission of gaseous fuels or electricity, cooperate with the regional self-government in whose area the enterprise intends to implement investment projects. In principle, the draft plan is subject to agreement with the President of the Energy Regulatory Office.

6.3.9 Portugal

Round-table meetings between different decision-makers, enable engagement and commitment of all parts, improving the elaboration and discussion of ideas for actions to be reported and implemented, and the dissemination of results at different levels of governance and to the general population. With an external entity contributing to the technical support in the elaboration and monitoring of the action plans, giving a certain stability in the collaboration between the different authorities.

6.3.10 Romania

A round table was organized in Maramures on 17th of September 2018 with the participation of local authorities, representatives of consultancy companies in energy field and other businesses and with the participation of a representative of ANRE, who presented the legal regulations regarding the responsibilities of local authorities in the sustainable energy policy, an informal overview of the EU and national regulatory framework with focus on the energy planning at local/regional level, legal provisions and national and European targets, Energy Efficiency Improvement Plan – PIEE and Sustainable Energy and Climate Action Plan - SECAP (developed in the framework of the Covenant of Mayors initiative).

In Romania there is no specific channel of communications and interactions between local authorities from different counties. The national energy strategy detailed in NEEAP and NREAP only state that the implementation and monitoring of energy policy must be carried out by local

authorities. Nevertheless some non-public actors like the Agencies for Energy Management in Ploiești, Timiș, Harghita, Alba-Iulia and Maramureș counties take part in the decision-making process by attending public consultations, developing local based data analysis and expertise for the implementation of energy policies at local level. Therefore, the collaboration model which may apply to Maramures would be horizontal cooperation between stakeholders at local/regional level relevant for development and implementation of energy plans plus vertical collaboration with relevant national bodies.

6.3.11 Spain

Taking into account the recommendations and discussions between the three levels of governance in our meetings, the regional and the local administrations require a better coordination between the three levels. Also, they determine as a good MLG model the integration of the different regional specificities in the action plans at national level. The change of the national government last June could contribute to a better communication between the different levels of governance.

In the previous national energy action plan in Spain (2004-2012), all the regional authorities worked together at an annual basis with the national government to define the best solutions and indicators at national level but also at regional level. Meetings with different stakeholders in each activity sector (industry, transport, services, …) took part for a better private and public coordination.

6.4 Adapting the collaboration model

The **MLG models** will need to be adapted to the local context based on the common vision and objectives, the importance or scope of the project, and the influence and expectations of stakeholders. It will be supported by an effective stakeholder engagement strategy.

The existing MLG models can be tailored and improved by:

- reviewing and analysing the current process taking into account the 5 “good governance” principles.
- reviewing and analysing the current stakeholder engagement strategy and its effectiveness. The engagement strategy should answer the following questions:

  Who should get involved and why?

  When should they get involved?

  What will be the level of engagement of each group of stakeholders? (information, consultation, dialogue or co-development)

  What will their roles and responsibilities be throughout the entire process?

  What will the schedule and budget look like?

  Some tools such as the influence-interest matrix and the Guidemaps table can be used for a more thorough analysis.

As a result of the above analysis, some actions could consist in:

- discussing and co-developing a common vision/objective for the MLG process;
- updating the list and types of stakeholders to get involved (adding new ones, removing some);

- increasing the engagement level depending on the types of stakeholders (consultation instead of information, co-development instead of consultation,…);
- reviving an existing cooperation process through a new or revised cooperation mechanism or tool (e.g. on-line consultation);
- promoting the MLG process and increasing the engagement level;
- funding the MLG process;
- etc.

More specifically, at a country level, the following actions for the adaptation and improvement of the existing MLG models can be identified.

6.4.1 Austria

EAO will follow the MLG guidelines of this chapter for the development of the process. A strong part at the beginning of the process will be an intensive stakeholder analysis to get the right stakeholders, and defining their role and what they can contribute. Even an analysis of previous and existing projects, concepts and guidelines are important, to respect the status quo at local level, and focus on the strength and potential. For some reasons, a SWOT-analysis can be helpful. After that, the process will be moderated to define a common vision, and then to set specific actions to start the implementation of measures, to activate the process and get it to life. This is important for the marketing of the project, to show that the project can really influence investments, people get motivated and it is easier to get them involved over a long term period. EAO has experiences in such processes, it established a very successful energy region under the title “Energy vision of Murau – heading towards 100 % renewable energy”.

6.4.2 Croatia

A good practice example of a collaboration model’s adoption is the financial model for energy renovation (Model). At national level, the Ministry of Construction and Physical Planning is the proponent of this Model and is in charge of its promotion. The Ministry of Environmental Protection and Energy is co-proponent and participates in the promotion of the Model. The Environmental Protection and Energy Efficiency Fund is the body for the implementation of activities of EU-funded operational programs that not only provides subsidies, but also encourages other stakeholders to actually use these subsidies. The Ministry of Economy, Entrepreneurship and Crafts is responsible for the overall implementation of the energy efficiency policy in the Republic of Croatia. Mediators between national bodies and citizens are local/regional authorities promoting energy efficiency, receiving money from Funds and announcing a tender for energy reconstruction of family houses. Citizens apply for the energy reconstruction tender and, after the completion of the works, deliver all invoices for derived works and relevant documentation with evidence of increased energy efficiency to local/regional authorities.

6.4.3 France

In France, the collaboration processes can be adapted in order to facilitate energy and climate planning as follows:

At national level: SNBC (law carbon strategy) – at regional level: SRADDET – at local level: SECAP

To improve energy and climate planning at these 3 different levels, the questions discussed were:

A) From a bottom-up point of view:

- Are my goals consistent with those of other territories?
- Is my contribution equal to (or consistent with) the objective of the higher territorial level?

B) From a top-down point of view:

- Is the sum of the parts equal to the whole?
- How can the potentials at a local level help setting objectives at a upper level?
- What dialogue between the different levels engaged to move forward objective harmonization?

The participants agree on the interest to set up a discussion group on this issue, between different regions and the Department. This working group could:

- As a first step, validate, specify the different findings identified and define the needs of the different actors.
- In a second step, implement specific actions to meet these needs (for example: annual meeting between the Regions and the Ministry, etc...).

6.4.4 Germany

Regarding instruments of the national level, some improvement potential was identified with the above mentioned NKI coming mainly from municipal and regional actors, which expressed the need for continuous and complete financing. The NKI application requirements in some cases are impractical as they require substantial own commitment by the local authorities prior to being eligible for support – something that some municipalities, especially small towns, are not able to provide. Additionally financing of, e.g. dedicated climate protection personnel (climate manager) is often only short term, leaving the cities with limited alternatives. Moreover, numerous smaller regional initiatives exist, which range from the provision of know-how and consultation to connecting municipalities to financing opportunities and establishing networks for MLG exchange between the municipalities and the regions. Sectors covered in these refer mainly to energy efficiency in buildings, renewable energy, heating and cooling, traffic and mobility. Some more general points were discussed in the 1st C-Track 50 roundtable for Germany on the topic, which need to be further explored, validated, ultimately feeding into a policy brief around summer 2019:

- Role of national level: strictly top down, more bottom-up or something in between?
- Need for overarching framework to harmonize efforts on the different levels (incl. targets, implementation and monitoring) – how much flexibility is needed? And what are the key mechanisms through which such framework would operate, i.e. regulation, incentive or market?
- Need (from the local and regional levels) for continuity in financial support, as well as a clear direction (as opposed to the current fragmented financing mechanisms);
- Need to connect climate protection with sustainable urban development, e.g. with the SDGs.

6.4.5 Greece

The energy policy planning process at the national level in Greece is to a certain extent an open procedure, where all regions are invited to participate through an online consultation process, as well as participation in key meetings. Nevertheless, so far, interest by the regional authorities has been very low. Aiming at the involvement of more representatives from the country's 13 regions, the Ministry of Environment and Energy (MEE) has circulated questionnaires in order to better understand the regions' needs and priorities in sight of the 2030 long term planning for the country, for instance whether an energy plan has been developed and what measures are being promoted.

Towards this direction, the organisation of an info meeting addressed to regions by the MEE, based also on the results of the questionnaires, could be organised in order to discuss the energy and climate priorities in the coming years, in line with the regional needs. The same exercise should be adopted at each regional level, with their respective municipalities. This is also envisaged under the regional roundtables to be conducted under C-Track 50.

Also, the alignment of the regulatory framework among regional / local planning requirements would facilitate the interest for collaboration among these two governance levels.

Finally, the possibility of having voluntary energy and emission reduction targets at the regional level is something to be further discussed in the upcoming roundtables with the national and regional authorities.

6.4.6 Hungary

In Hungary energy and climate planning is the responsibility of the State Secretariat for Energy and Climate Planning Policy at the Ministry for Innovation and Technology. The Government plan on the energy and climate roadmap is always a cooperation between experts and society, as it was during the development of the National Energy Strategy 2030. There were several open debates on the strategy before the final version. In order to facilitate energy and climate planning, the dialogue between the government and regional organizations has to be improved, make more efficient. Regional organizations have to represent local needs in these debates. We need to engage more stakeholders in this process.

6.4.7 Latvia

A significant part of a successful collaboration process is the possibility to identify the opinions/ position of all target audience. In Latvia, a successful approach is realized via giving policy planning documents to comment/ suggest improvements to all sectors Ministries/ sector representatives. However it is identified that public consultation for the elaboration of policy planning documents is something that could be used more often. Discussions in regions are also one of the approaches that could be used more often. One important aspect is that discussions are effective in terms of time spending:

- Discussions among different stakeholders take place at the same time, thus the exchange of opinions is directly done,
- It's a possible to receive answers for all unclear issues right away

Another important aspect is that discussions give possibility that agreements may be reached between the various sectoral miniseries / organizations at different levels/ sectors.

6.4.8 Poland

Drafting of Energy Policy and Energy Law in Poland are subject to a wide public consultation, including all levels of government. Collaboration and responsibilities as well as competences are regulated by relevant acts.

6.4.9 Portugal

In Portugal, each region and municipality have the obligation to reduce CO_2 emissions by at least 80% of the national total by 2050, with the support of national authorities through programs that are

under way or in preparation, such as the Compromisso para o Crescimento Verde (CCV) that presents several pillars and catalysts of green growth allowing the orientation of investments and financing instruments to support projects and operations under sustainability criteria, through access to funds. The regional authorities, local authorities and decision makers are involved in the discussion and elaboration of common objectives with the purpose of being engage in the fulfilment and implementation of common actions and/or initiatives, together with the identified and already involve stakeholders and attracting new stakeholders who could become investors in a win-win situation.

6.4.10 Romania

The collaboration process should be structured as follows:

- Information and guidance from the national bodies related to the targets, responsibilities and contribution of regional/local authorities in relation to the national strategies, national energy and climate targets, legal provisions to ensure consistency and coherence between the national and regional/local level. This will also motivate the regional/local level to take actions in the sustainable energy field.
- Collaboration at regional/local level initiated by the regional/local authorities in the energy planning process which should start with the identification of all relevant stakeholders who can contribute to the development and further implementation of energy plans. There should be an active cooperation with regular meetings, information and consultations and democratic participation in the decision-making process.
- Development of energy policies with clear indication of the role and responsibilities of each involved stakeholder.
- Commitment of all parties in the energy policy implementation phase.
- Monitoring and regular reporting of the implementation process.

6.4.11 Spain

Some actions, in the context of MLG analysis could also be:

- using new technologies to be in contact all the organizations or companies involved more frequently and reducing expenses for travelling and accommodation and also CO_2 emissions (e.g. using video conferences)
- having a contact person in each stakeholder and in the organization responsible to manage all the meetings, prepare the agenda, etc. in order to have an effective engagement strategy (mainly for small municipalities). A person who can permanently involve local authorities is key to an effective strategy.
- showing best practices and examples from other similar territories with the same problems (demonstrate that mitigation actions are viable with real projects).

From our point of view, in Spain, the collaboration process identified at national level has to involve different stakeholders in each activity sector and also regional governments. With these previous discussions, an energy and climate planning adopted will be more realistic and will take into account the specific circumstances of each sector and territory.

After that, this discussion of an effective implementation of the different mitigation actions could be replicated in each region with the local authorities and the local and regional stakeholders in order to adapt the global plan to a specific and smaller territory.

During the implementation of the actions defined in the plan, it's important to have a feedback from the local and regional levels to the national level for the improvement of the current plan and for future plans.

6.5 Success factors

The following success factors were highlighted by EU projects

1. Shared vision: A shared vision and political commitment is in place at regional and local levels. Decision-makers are committed to working together.

2. Partnership working: Regional and local public authorities are working in close cooperation. This is effective at least for technicians and communication mechanisms such as steering committees are already in place.

3. Stakeholders involvement: Key stakeholders are engaged in the initiative. The main stakeholders are committed to the approach (including different publics, economic players, etc.).

4. Funding availability: Financial resources are accessible and used to finance the actions that have been decided upon. There are subsidies, public-private partnerships, and local public or semi-public companies to finance actions to mitigate climate change.

5. Energy planning expertise: Public authorities at least at regional level have access to sustainable energy planning expertise in the technical, regulatory and financing areas.

6. MLG facilitating processes or structures: Organisational structures and processes that facilitate the development of multi-level governance agreements are already operational. For example: energy agencies, regional steering committees, regional sustainable development programmes, etc.

The above or additional success factors were highlighted by the Project Partners at each National level:

One parameter identified in **Austria** is the presentation of best practices or lighthouse examples so as to inspire local people during the process.

The effective implementation of the described MLG model in **Croatia** has resulted in:

- stimulating investment of the total amount of € 27,6 million per year;
- achieving around 56 GWh of energy savings in final consumption per year;
- reducing citizen's energy expenditures in the amount of € 3,2 million annually;
- reducing CO_2 emissions of around 14,500 tons per year;
- securing employment for 700 people;
- developing the manufacturing industry, especially the thermal insulation industry and wood industry;
- reducing 'grey economy';
- reducing energy poverty and general improvement of living conditions.

A key feature of MLG approaches in climate and energy is co-creation and trust. In most cases in **Germany**, MLG approaches work top down, which does not adequately take into account the needs of local and regional actors. Another success factor is systematic financing. The emphasis here lays on systematic action, as this is crucial in order to achieve set targets. If efforts are not monitored in a harmonized manner, financing will remain fragmented. Lastly, referring to the latter point, an

overarching framework is needed across levels, including common targets implementation and a harmonized monitoring.

From the case studies reviewed in **Greece**, a crucial parameter identified for ensuring a successful multi-governance collaboration is having similar legal obligations for regional and local authorities in terms of energy and climate policy planning. The availability of funds and having an official commitment to collaborate (for instance through Collaboration Agreements and Memoranda of Understanding) were also considered significant factors for the success and sustainability of a collaboration.

Additional success factors identified by **Hungary** are the following:

- Training for regional public authorities on MLG: It is needed to raise awareness on MLG at regional organizations, in order to facilitate and make the planning process more effective.
- Face-to-face meeting with local authorities: Organizations, like energy agencies can reach local public authorities easily to explain how they can work together, and how they can participate in planning processes.
- Energy experts at local public authorities: In Hungary it is obligatory to hire an energy expert at local public authorities, and they can also promote MLG.
- Priority projects issued by the Government: Government can ensure funds for regional and local organization in order to facilitate energy planning process in the framework of priority projects.

The success factors identified by **Latvia** are the following:

- The size of the country. As Latvia is a small country, it is easier to be in contact with all levels of stakeholders/ they are open for cooperation/ the “gaps” between different administrative levels are smaller.
- High level representatives of State level organizations (E.g. ministries) are willing to be involved in public events/ discussions about climate and energy policy and give open speeches (E.g. “International conference: Baltic Pathway Towards Low Carbon and Climate Resilient Development”). This attracts the public attention to climate and energy issues.
- State sector is open for cooperation and innovative ways for opinion exchange (E.g. both ministries that are responsible for climate and energy policy showed interest in C- Track 50 policy activities and results.)
- Representatives of the ministries often take part in the discussion roundtables organized by EU projects (E.g. EU Horizon 2020 financed projects GreenS – 7 discussion roundtables with the attendance of the representatives’ of the ministry of environmental protection and regional development about Green Public procurement).

The success factor identified by **Poland** is the Wide social consultation. The participation of territorial communities is particularly important in relation to the implementation of European policies at the state level. In their area of competence, the regions have both powers in the field of regional development policy, energy as well as environmental protection. In accordance with the regulations in force in Poland, the government and self-governments can conduct public consultations in cases defined by law and in other matters of importance to self-government communities. Public consultations are not limited in any way, and the scope of matters they concern may be determined by self-governments. Moreover, in Poland, the Consultative Policy - Principles of Social Consultations have been introduced by the President of the Energy Regulatory Office.

For **Portugal** a crucial parameter is the communication. Open communication channels among the different levels of governance and stakeholders are crucial to find key drivers and move forward together for the elaboration of an accurate action plan.

For **Romania**, the following success factors are identified:

- One important element in multi-level and network governance is decentralization. Complying with the subsidiarity principle, decision power should stand in the hands of the authority from the lowest level, i.e. regional or local level, where all variables are visible and easily monitored.
- Clearer ways of communications should be established between actors, both public and non-public.
- Develop integrated and complementary projects, implemented in a logical order.
- Look constantly for case studies, experiences and lessons deriving from the implementation of energy efficiency plans in other municipalities and take advantage of this information.

And finally a success factor proposed by **Spain** is the external and independent expertise organization, without economical interest in the solutions to be implemented. For example a regional/local energy agency or a NGO, could be important to help regional and local authorities and verify the good implementation and results of each climate mitigation action.

Annex I: Questionnaire to help identify and describe cooperation projects in sustainable energy and climate change

Section1. Characteristics of the collaboration initiative

1) Please describe the initiative in a few words (max 200 words)

2) Name of the initiative and web site (if it has one)

3) Start and End years:

4) Which are the main aims of the collaboration?

Please select 1 or more options among the following ones:

to improve the decision-making process in sustainable energy and low carbon policies

to improve coordination between sustainable energy and climate projects promoted by different public authorities

to increase cohesion between other regional and local plans

to increase the effectiveness of regional or local plans' implementation

to identify, inform about and use innovative financial instruments and sources of funding for sustainable energy and climate projects

to increase involvement of stakeholders in decision-making processes on sustainable energy and climate

to spread information about sustainable energy and climate

Other:

5) Which is the scope of collaboration?

A) Joint development of strategies and plans

Y/N

B) Joint implementation of plans or specific actions

Y/N

6) What is the main focus?

Funding mechanisms

Modelling, planning and monitoring tools for decision making

Awareness raising and stakeholders involvement

Other

If other please specify:

7) Which areas are involved?

Please select 1 or more options among the following ones:

energy efficiency

renewable energy

other energy supply

GHG emissions reduction

climate change adaptation

other

If other please specify:

8) Which sectors are involved?

Please select 1 or more options among the following ones:

buildings

transport and mobility

local energy production

industry and companies

agriculture

other

If other please specify:

Section 2. Partners involved

9) Which entities were involved as partners of the initiative beyond your organization?

Please select 1 or more among the following ones:

National public authority

Regional public authority

Municipality or local public authorities (e.g. city, borough, district)

Energy agency

Enterprise

environmental NGO

universities and research organizations

other

If other please specify:

10) Are responsibilities clearly defined for each partner?

Yes

No

11) How is the initiative managed?

Please select 1 or more options among the following ones:

by a dedicated agency or entity

by a coordinating committee

through meetings

other

If other please specify:

12) Is the collaboration formalized through formal acts or agreements?

Yes

No

How?

Please select 1 or more options among the following ones:

- Formal Agreement

- Memorandum of Understanding

- Deliberative acts

- Other

If other please specify:

Section 3: Funding

13) What is the budget allocated to the initiative?

No budget allocated, beyond working hours of staff

< 100.000 €

100.000 - 500.000 €

500.000 – 1.000.000 €

1.000.000 – 5.000.000 €

5.000.000 - 10.000.000 €

10.000.000 – 50.000.000€

50.000.000 – 100.000.000€

> 100.000.000 €

don't know

Please specify if the amount indicated is:

on annual basis

on total basis

14) Who provides such funding?

Please select 1 or more options among the following ones:

regional (county) public authority involved

local public authorities involved

national government

international organisations

banks - financial institutions

companies

associations of regional/local authorities

other

If other please specify:

Section 5: Results and impacts

15) Are the results monitored?

Yes

No

16) Are the results reported?

Yes

No

17) Are third/independent parties involved in monitoring/reporting?

Yes

No

18) Which results and impacts were obtained?

Please select 1 or more options among the following ones:

Sustainable energy and climate targets agreed

Sustainable energy and climate plan co-constructed

CO_2 reduction

energy savings/ increase in energy efficiency

energy production from renewable sources

investments in sustainable energy infrastructure

implementation of adaptation measures

job creation

increase in citizens' knowledge of sustainable energy

other:

19) In your opinion, which of these elements made possible the initiative?

Please rank the relevance of the following elements (choosing among the following:

Determinant/ Very important/ Important/ Not so important/ Not important at all)

Political commitment

Regulation

Technical assistance

Pooling of resources

Joint planning

Access to funds

Other:

20) Please list success factors of the collaboration, according to your opinion.

21) Please list weakness factors of the collaboration, according to your opinion.

Who We Are

No	Participant Name	Short Name	Country Code	Logo
1	NATIONAL TECHNICAL UNIVERSITY OF ATHENS	NTUA	GR	
2	ENERGEIA PERIVALLON TOPIKI ANAPTYXIEPE	EPTA CONSULTANT	GR	
3	AUVERGNE-RHONE-ALPES ENERGIE ENVIRONNEMENT	AURA-EE	FR	
4	ICLEI EUROPEAN SECRETARIAT GMBH	ICLEI EURO	DE	
5	FUNDACION ASTURIANA DE LA ENERGIA	FAEN	ES	
6	AGENCIA REGIONAL DA ENERGIA EAMBIENTE DA REGIAO AUTONOMA DA MADEIRA	AREAM	PT	
7	REGIONALNA ENERGETSKA AGENCIJA SJEVER	REA North	HR	
8	WOJEWODZTWO WIELKOPOLSKIE	WOJEWODZTWO	PL	
9	LENERG ENERGIAUGYNOKSEG MERNOKI ESTANACSADO NONPROFIT KORLATOLT FELELOSSEGU TARSASAG	LENERG	HU	
10	RIGAS PLANOSANAS REGIONS	RIGA PL REG	LV	
11	ASOCIATIEI AGENTIA DE MANAGEMENT ENERGETIC MARAMURES	AMEMM	RO	
12	ENERGIEAGENTUR OBERSTEIERMARK GMBH	EAO	AT	
13	FEDERATION EUROPEENNE DES AGENCES ET DES REGIONS POUR L'ENERGIE ET L'ENVIRONNEMENT	FEDARENE	BE	

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