

# A Guide to Multi-level Governance

For Local and Regional Public Authorities



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# Authors

This guide has been produced by partners from seven regions across Europe as part of the Coopenergy project, with the support of Claire Morand (Alternatives et Développement – France).

These partners include regional (county) public authorities, energy agencies and academic institutions who are all working with local public authorities in their regions, to develop mutually beneficial Sustainable Energy Action Plans (SEAPs). Robust agreements are being put in place to govern and deliver these plans in partnership (Multi-Level Governance agreements).

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*Image: The Coopenergy partners in Zlin, Czech Republic. The Partnership met in November 2015 to share the results of their efforts to collaborate on energy planning, using a multi-level governance approach*



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# 1. Welcome to the Multi-Level Governance guide!

## 1.1 What is this guide?

This **guide** aims to help you work **collaboratively** on sustainable energy policies, plans and strategies in your region, **by developing a 'Multi-level Governance' (MLG) approach.**

## 1.2 Who is this guide for?

This guide is for **local and regional public authorities**, who are key players in developing and delivering sustainable energy plans and initiatives. The guide aims to help these two groups in particular **to work in partnership on sustainable energy planning** (using Multi-Level Governance principles).

Coopenergy is a three-year European funded project (co-funded through the Intelligent Energy Europe Programme) aiming to help **regional (county) and local public authorities develop their sustainable energy activities by using Multi-Level Governance (MLG) agreements.**

These agreements could range from informal meetings to more robust partnerships with Memoranda of Understanding (MoUs), ensuring regional and local authorities are working together to the greatest effect to deliver on the EU 20/20/20 targets.

### The guide can help you to:

- **Understand Multi-Level Governance** and how it can help you to work in partnership, learning from experiences and case studies from across Europe
- **Develop a regional Sustainable Energy Action Plan (SEAP)** and planning tools which are consistent with the needs of municipalities and communities within your region
- **Involve regional and local stakeholders** during the preparation phase of your plans in order to get their buy-in and support, ensuring long term benefits for your region, its stakeholders and citizens
- **Deliver SEAPs in partnership**, avoid duplication, cut inefficiencies, and share energy resources effectively to help residents and communities make the transition to a low carbon society and economy
- **Identify further information, support and funding**

## 1.3 Further information about this guide

This guide is based on the experiences of seven European sustainable energy regions in implementing collaborative energy planning through the Coopenergy project.

### Find out more

Read more about the Coopenergy project by visiting <http://www.coopenergy.eu/>. You can also join a free platform for public authorities containing more resources on Multi-Level Governance. **Sign up now:** <http://www.coopenergy.eu/user/register>

## 2. 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:

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, to deliver policies more effectively.**

"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*

### Find out more

**Read the Committee of Regions White Paper on MLG:**

<http://cor.europa.eu/en/activities/governance/Documents/CoR%27s%20White%20Paper%20on%20Multilevel%20Governance/EN.pdf>

### 2.1 How can MLG help sustainable energy planning?

Following adoption of the '**20-20-20**' **climate and energy package** by the European Commission in 2008 (committing the EU to increase its share of energy consumed from renewable resources to 20%; reduce greenhouse gas emissions by 20%; and increase energy efficiency by 20% - all by 2020), local and regional authorities were given responsibility for contributing to these objectives by developing their own targets and strategies locally.

Since 2008, **more than 5,000 local and regional authorities** have committed to adopting Sustainable Energy Action Plans (SEAPs) 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. **MLG aims to support public authorities to achieve more coherencies between these different approaches.**

### Find out more

The Covenant of Mayors (CoM) is the main European initiative bringing together local and regional authorities to reach and even surpass the EU '20-20-20' objectives.

**Read more about the CoM online:**

[http://www.covenantofmayors.eu/index\\_en.html](http://www.covenantofmayors.eu/index_en.html)



### 3. Why develop an MLG approach? The benefits

**By working together (through an MLG approach), public authorities can combine their expertise to benefit the planning process:**

- **Regional authorities** can liaise with national authorities, are able to provide technical and/or financial support, and can act as a coordinator of the planning process
  - **Local authorities** can liaise with local communities, and provide local knowledge which can determine the achievability of the plans that are developed
- This can achieve multiple benefits, helping both authorities to:
- **Ensure coherency between local and regional plans:** a collaborative process can help to integrate plans and policies at 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)
  - **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 and regional levels
  - **Share expertise, skills and knowledge:** this can fill important skills gaps in the planning process and facilitate the spread of good practices and innovative actions

“Working in partnership with our district and borough councils, as well as local housing providers, allowed us to present a more secure and stable offer to deliver housing retrofit in Kent.

This attracted external investment of £1.7 million to deliver energy measures in homes across the county.”

– Kirstie Pritchard, Kent County Council, UK

- **Resources, skills and techniques can be pooled:** through joint-working different skills, planning techniques and resources can be combined to make limited resources go further, taking advantage of economies of scale, for instance through joint procurement or to access a specific energy planning tool. This can save time and ease workloads as the regional and local authorities 'share the load'
  - **Better manage resource conflict:** collaborative working facilitates the link between spatial and sustainable energy planning processes. This can support the development of climate-friendly spatial planning procedures
- This leads to actions that are more visible, effective, coherent, and less costly.**



Image: An energy information day in Jokkmokk, Sweden, in 2015



## 4. Why develop an MLG approach? The European perspective

In November 2015, Coopenergy partners met with the President of the European Committee of the Regions, Markku Markkula to discuss the importance of taking a multi-level governance approach to sustainable energy action. M. Markkula said:

“Whether it be at local, regional or national level, all governments share a common purpose: **to deliver results for citizens.**

They should not compete but cooperate. To promote territorial cohesion, spur innovation and create a truly sustainable economy.

**This is the essence of multilevel governance. It is about effective decision making.** It is about **empowering all levels of government** to take shared ownership. It is about **listening, sharing knowledge and delivering** results.

We all have a **shared responsibility** to take action on climate change and to become more energy efficient. Yet more often than not, we find that regions and cities take the lead.

The **Covenant of Mayors perfectly demonstrates this.** Over 6,500 signatories representing 200 million citizens committed to meeting and exceeding the EU's CO2 reduction targets.

The Covenant shows that the **EU can steer cities and regions to deliver ambition locally** to achieve a common goal.



Image: Markku. Markkula, President of the European Committee of the Regions



The **Covenant's new 2030 targets** – reducing CO2 emissions by 40% demonstrates that local governments are taking ownership.

**But mitigating against climate change isn't enough.** Cities and regions must become more resilient to the impact of climate change. I'm pleased to see the "Covenant of Mayors" and "Mayors Adapt" has been merged: something we at the Committee have long called for.

The **Covenant's success must be shared beyond Europe's border** to raise the level of ambition internationally. Its principles, founded on multi-level governance, can be exported.

I am pleased to hear that it is already going global: offices in East Europe and the Mediterranean show that progress is already being made.

I must also congratulate the COOPENERGY project. It is an excellent example of **how important it is to share knowledge and experiences** between regions. It shows how ready and willing regions are to become more energy efficient and drive sustainable growth.

Given the success of the Covenant, we must now use the climate talks in Paris **to mobilise other regions and cities** to join in and take part.

The COP21 is an opportunity to **raise awareness of the level of ambition locally and regionally**. This is why we, at the European Committee of the Regions, will demand that the global climate agreement formally recognises local and regional governments.

It's time to see a global agreement that **sets out a clear Action Plan for cities and regions on climate**. To see a global governance structure based on multi-governance.

When national governments struggle to find an agreement to stop temperatures rising, **local and regional governments lead by example**. What is clear is that **no one can find a solution to climate change alone**. It is a shared problem that needs shared solutions."



*Markku. Markkula*

## 5. Implementing good governance: the 5 principles

Working to meet our energy targets often involves **complex and controversial solutions** (changes in land use; access to and shared use of resources; access to funding, etc.) requiring the **involvement of multiple players** at different levels.

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)

### Find out more

#### Read the White Paper on Governance:

[http://europa.eu/legislation\\_summaries/institutional\\_affairs/decisionmaking\\_process/l10109\\_en.htm](http://europa.eu/legislation_summaries/institutional_affairs/decisionmaking_process/l10109_en.htm)



*Image: The Basque Energy Agency and HAZI Foundation, meeting on June 18 2013 to formalise a cooperation agreement to promote the development and utilisation of forest biomass for energy purposes in the Basque countryside.*

## 6. Examples of good governance



**Joint regional energy:** in **Germany**, 3 “counties” (Hohenlohekreis, Neckar-Odenwald-Kreis, Main-Tauber-Kreis) worked together to create the company Bioenergie-Region H-O-T, to reduce the region’s greenhouse gases to zero. The company is currently exploring the territory’s enormous wood energy potential to achieve this.

<http://www.bioenergie-hot.de/>



**Joint procurement:** in **Spain**, Comunitat Valenciana worked with 99 municipalities to establish a joint procurement process for LEDs for public lighting. Following this regional success, the initiative is now being implemented at national level in Spain.

<http://www.coopenergy.eu/gp/valencian-community-es-%E2%80%93-improvement-energy-performance-traffic-lights>



**In France, the Provence Alpes Côte d’Azur region** has produced a guide to help local authorities incorporate sustainable development into urban planning documents (PLUs). The guide includes tools and a number of concrete examples of climate-friendly urban planning documents. Find out more: <http://www.coopenergy.eu/gp/provence-alpes-c%3%B4te-d%20%99azur-fr-planning-guidelines>



**Implementing joint financial mechanisms:** local authorities across East and West Sussex (**UK**) are working together within the Sussex Energy Saving Partnership to promote energy saving measures for households and businesses. Measures are supported by the county council and government schemes such as the Green Deal and the Energy Company Obligation: <http://www.greensuffolk.org/sabre>



**Knowledge sharing tool for energy planning by small municipalities:** 16 local authorities across Värmland County (**Sweden**) have jointly developed an easy-to-use exchange platform to share experience in energy efficiency measures for the public sector. Thanks to this tool, municipalities have reinforced their expertise in energy efficiency and implemented a systematic approach to their energy management. <http://www.coopenergy.eu/gp/v%C3%A4rmland-county-se-systematic-energy-efficiency-implementation>

**Tip: this guide contains many more examples of Multi-Level Governance approaches. Keep an eye out for the good practice boxes throughout this guide.**

**Many more concrete examples of Multi-Level Governance (MLG) can be found on the Coopenergy website:**

<http://www.coopenergy.eu/good-practice-resources>



## 7. Implementing collaborative planning: the step-by-step methodology

The process of setting up an MLG process can be broken down into 3 steps:

### Step 1. Initiate the collaborative process

- A) Identify the regional authority's needs
- B) Identify key stakeholders
- C) Identify their level of participation
- D) Develop a common vision and objectives

### Step 2. Developing the MLG model

- A) Define the coordination and governance processes
- B) Develop the engagement strategy
- C) Define responsibilities and decision-making process
- D) Define the evaluation process

### Step 3. Implementing the MLG model

- A) Mobilise stakeholders and formalise their commitment
- B) Evaluate and improve the MLG model

**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.

**An authority can adapt this methodology at any time to suit its local circumstances. For instance, depending on the scope of the project, timeline and budget, the regional authority may decide to implement some activities in parallel.**

## Step 1. Initiating the collaborative process

Whilst local and regional authorities maintain different functions, there are many instances where a joint approach to sustainable energy planning is beneficial. This may include:

- To improve the coherence, effectiveness, acceptance, or legitimacy of a sustainable energy policy or plan (such as a SEAP)
- To develop regional level instruments (e.g., a financial mechanism, planning tool, stakeholder involvement method) to help implement local action plans within the region
- To facilitate joint working amongst the different political levels who influence sustainable development

**As a first step**, before a common vision and objectives can be developed, it is advisable to **identify the different needs of the various stakeholders involved** – starting with the regional authority. This can provide an initial draft of the vision which will evolve as other stakeholders become involved...

### A. Identifying the regional authority's needs

#### Useful Tools: for identifying needs

Several tools could be used to bring together those who can define the needs of the regional authority. This depends on the structure of the regional authority but could include creating:

- **Internal cross-functional working groups**
- **An internal network of advisers/observers (to support the working group)**
- **Internal information campaigns**

**To define the motivations and objectives at the regional level, ask:**

- Do we want to **develop specific tools** (e.g., a regional finance scheme or joint communication campaign) to facilitate implementation of our SEAP?
- Do we **need a collaborative approach in a specific area of our energy planning**? E.g., to revise a strategic plan, manage resource conflict etc.?
- Is this an **experimental or generalised approach**?
- What are our **expectations** for this approach?

## Good practice

**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. Local authorities along with a large number of stakeholders (experts; elected officials; representatives from the agricultural and economic sectors; non-profit organisations; and citizens) participated in implementing the plan. The regional authority is responsible for coordination and evaluation.

**Find out more:**

<http://www.coopenergy.eu/gp/styria-region-collective-definition-styria-regional-climate-protection-plan>

## B. Identifying key stakeholders

Once the regional authorities needs have been established, **discussions among other key stakeholders** (the local authorities as a minimum) should be held to bring their **needs** to light and develop a **common vision** of the objectives and expected results.

**There are numerous benefits to involving different stakeholders at this stage:**

### Why involve stakeholders?

- Improve **the quality of the decisions**, by benefitting from stakeholders' expertise at the very start
- Help to **identify controversial issues or difficulties** before a decision is made
- Bring together stakeholders with a number of different viewpoints and help different parties find common ground, **reducing the risk of opposition in later phases**
- **Reduce delays and costs** in the implementation phase
- **Better inform** stakeholders about the objectives and the issues at hand
- Lead to better acceptance of the decisions and measures that are taken
- **Increase the confidence of the public** about decision-makers
- Help more stakeholders commit to action, so that more **ambitious climate protection goals can be agreed**

Numerous contributions made to the Coopenergy European survey highlighted the importance of identifying the "right" people to engage with who **can make a real value-added contribution to the decision-making process** (by way of their expertise, experience, etc.).

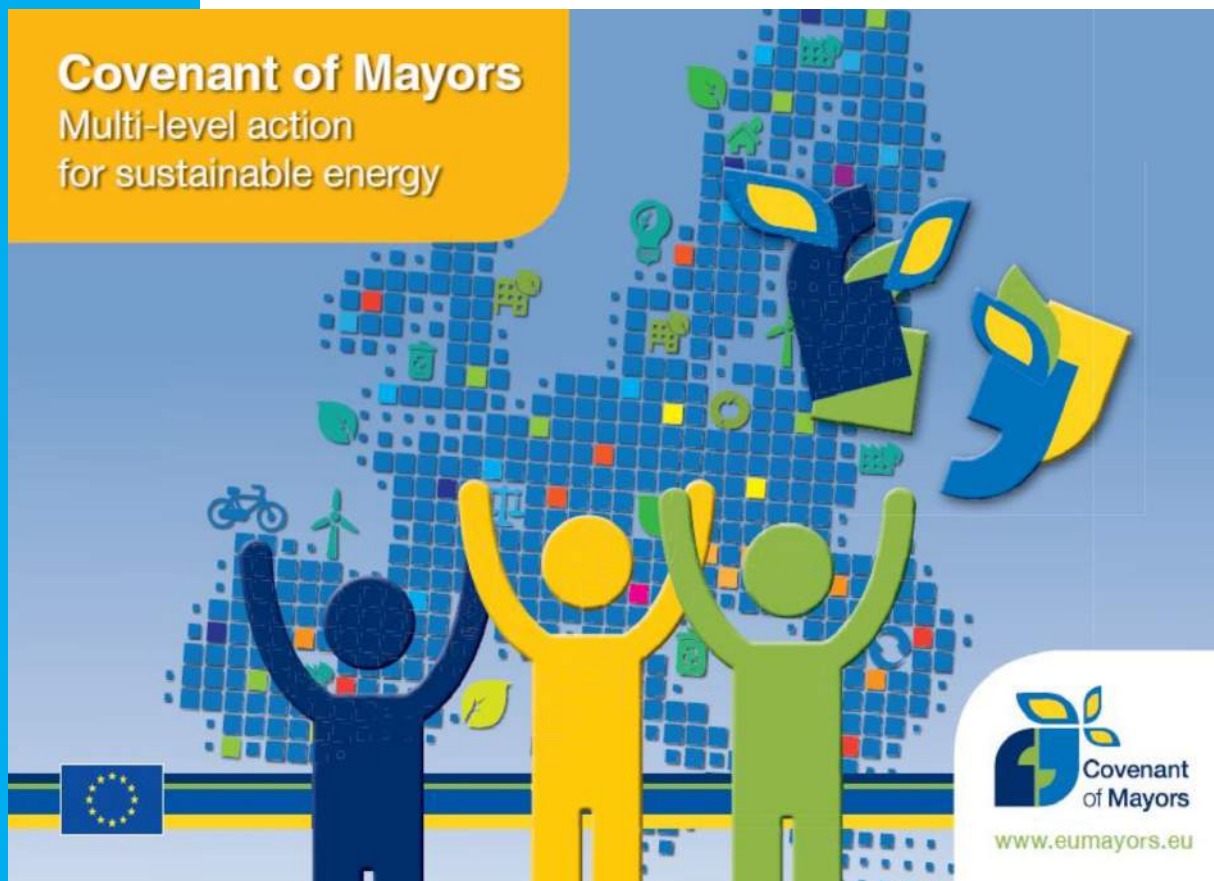


Involving key stakeholders, and keeping them engaged and informed throughout the process, is one of the **keys to the success of the collaborative process**. Therefore it is important to **identify the types of stakeholders** to engage with, and their roles in the process. The roles and motivations of stakeholders will change depending on their expectations, the resources at their disposal, and their willingness to be involved.

## Find out more

**The Covenant of Mayors: multi-level action for sustainable energy guide** describes the different stakeholders involved in multi-level cooperative action for regional energy planning as well as their roles. It also provides concrete examples of existing approaches.

**Download the guide (4.65 MB) online at:** [http://www.energy-cities.eu/IMG/pdf/com\\_thematic\\_leaflet\\_multi-level\\_cooperation\\_2013\\_en.pdf](http://www.energy-cities.eu/IMG/pdf/com_thematic_leaflet_multi-level_cooperation_2013_en.pdf)



The CIVITAS VANGUARD project categorises stakeholders into 3 types:

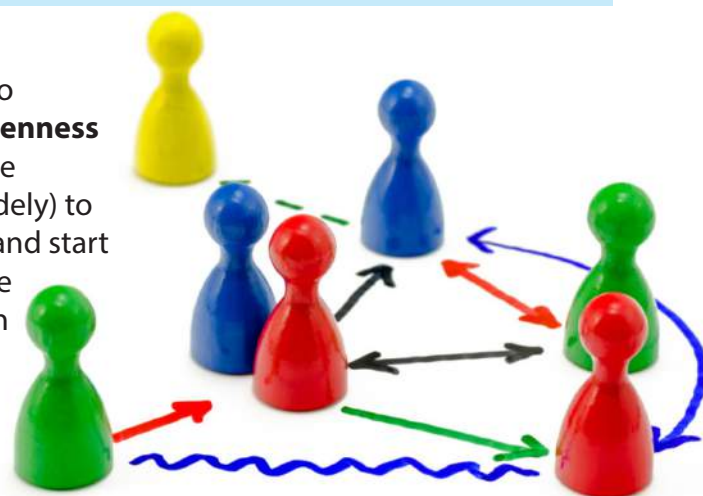
## Categories of stakeholders:

1. **Primary stakeholders** – those who are (positively or negatively) affected by the issue
2. **Key actors** – those who have power or expertise
3. **Intermediaries** – those who have an influence on the implementation of decisions, or have a stake in the issue

**For more information, visit:**

[http://www.civitas.eu/sites/default/files/Results%20and%20Publications/Brochure\\_STAKEHOLDER\\_CONSULTATION\\_web.pdf](http://www.civitas.eu/sites/default/files/Results%20and%20Publications/Brochure_STAKEHOLDER_CONSULTATION_web.pdf)

This identification will help to determine the **degree of openness** (which information should be communicated, and how widely) to maintain with stakeholders and start to determine the governance process that should evolve in order to achieve the visions and objectives...



## Hints and Tips

**Local public authorities** play a key role in this phase, since some of them have already implemented energy policies or developed their own local SEAP. They can help to identify stakeholders– and **engage local stakeholders to participate**.

It is therefore **critical to thoroughly understand the expectations and plans of local authorities** and to help them build ownership of the process through joint efforts to achieve the expected results.

The regional authority can request help in identifying stakeholders from partners with whom it regularly works on energy-climate issues. The regional authority can also rely on organisations with expertise in regional energy planning. Thus **regional energy agencies** are often involved in a number of governance agreements for energy plans and initiatives.

“The energy agency of the Zlín region (EAKZ) was set-up as a tool to implement energy policy in the region and is fully owned and governed by the Zlín region. This Multi-Level Governance structure enables the region and energy agency to pool resources and more effectively deliver energy projects across the region. Since EAKZ was created in 2006, 350 successful energy projects have been delivered (in total value of over 93 million euros). These projects were realised by the Zlin region, municipalities, companies, housing associations and individuals.”

- Tomáš Perutka, Energy Agency of the Zlín region (EAKZ), Czech Republic

### C. Identify how stakeholders can participate

Identifying how you will involve stakeholders in the visioning stage (the scope of intervention) and the level of openness you have with them is key.

In order to determine this, the regional authority will need to conduct a thorough **analysis of the different stakeholders**. This could cover:

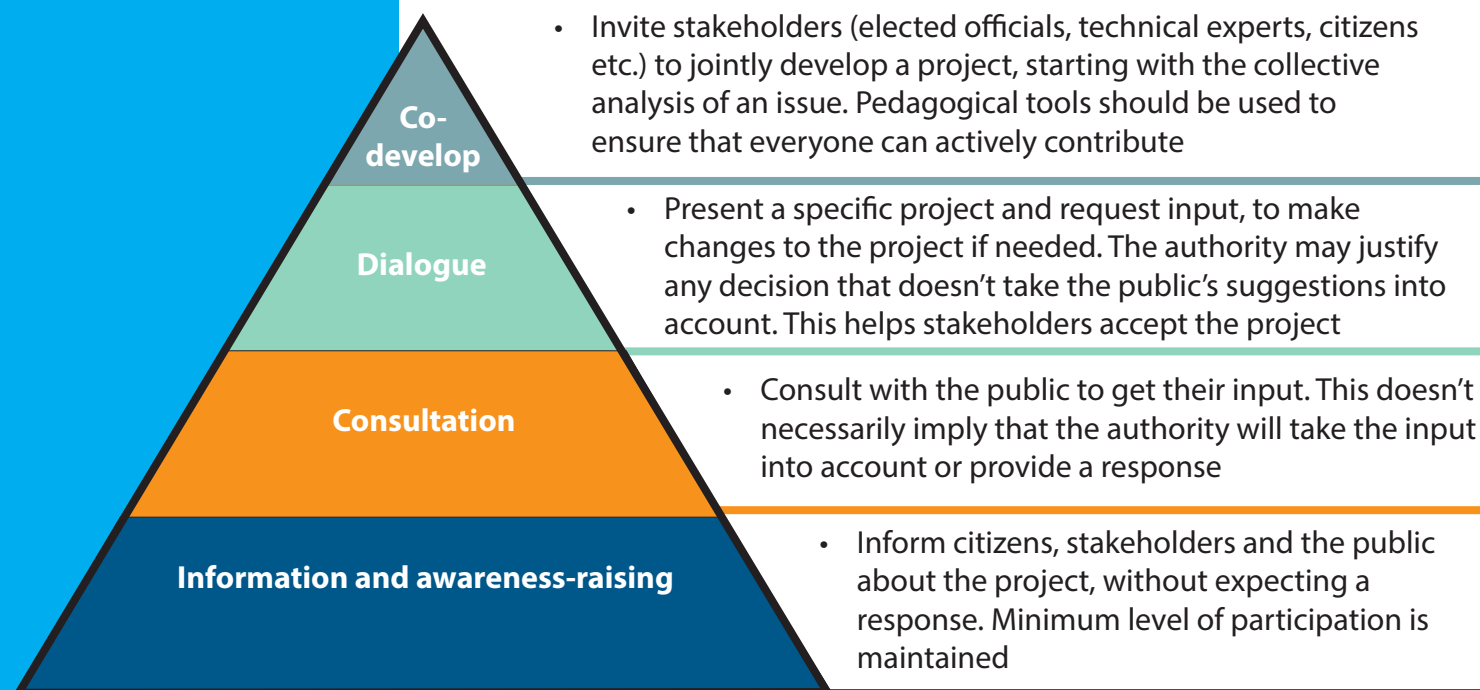
- The **role** and **mission** of the organisation
- Existing **relationships** with regional authorities
- Their **competencies** and ability to provide **value-added assistance** (technical expertise, financial capacity, communication between target groups, support to target groups)
- Their ability to **influence** their environment (opinion leaders)
- Their **availability**, and **willingness, to become involved**
- Their **expectations** or **requirements** regarding the project

**People must also be involved at the right time**; that is, when they are able to make a value-added contribution. Structures, as well as individuals, must also be clearly identified to get them involved in an appropriate and timely manner.



Image: A community energy workshop in Kent UK





In general, the higher you go up the pyramid, the more engaging the method is – but the process involves less people. Therefore if you merely want to issue information, 'Information and awareness-raising' is useful, whereas if you want stakeholders to take ownership of actions in a strategy, it is advisable to use '**Co-develop**' or '**Dialogue**'.

## Useful Tool

Depending on the context and the number and types of stakeholders, several tools can be used to help identify key stakeholder's needs and expectations. These could include use of: one-on-one meetings; workshops or seminars; a working group to consult specific stakeholders; organisation of a citizen day with a panel; or an online survey for instance.

The following table presents a comparative analysis of three types of consultation:

Benefits	Survey	One-on-one meetings	Multi-stakeholder consultation
A range of inputs	X	X	X
Increased stakeholder satisfaction with the final decision	X	X	X
An opportunity for real dialogue		X	X
An opportunity to build consensus			X
An opportunity to build ownership of the project and its objectives		X	X
An opportunity for participants with different opinions to talk with and learn from one another			X
An efficient use of time	X		X
Inexpensive (if no travel is required)	X		

Based on the CIVITAS handbook "Involving stakeholders: toolkit on organising successful consultations"

## C1. Informing stakeholders about the collaborative process

Key stakeholders will need to be informed about the collaborative process being initiated by the regional authority. Most often, this will take the form of a consultation phase conducted by the regional authority that will involve at least other administrative levels such as national (when possible) and local authorities. Information tools that could be used to communicate about the launch of the collaborative process:

- Information on the regional authority's website, partners sites, or a dedicated site
- Press releases, mailings, videos, social media
- Sharing information during events – or launching the approach at a special event

This launch of the process should provide context that will allow stakeholders to understand and take ownership of the issue. Therefore it is **extremely important to use clear and simple language**. The **objective is to inspire people to participate** and to win them over. The approach should remain positive, reassuring and **focus on realistic opportunities to take action**, rather than presenting distressing information about climate change.

## D. Developing a common vision and objectives

Once stakeholders have been informed about the collaborative process, the regional authority will organise consultation activities to finalise the common vision and objectives for the region.

**During this phase, collaborative work with local authorities begins.** This phase must also identify the kind of support that is needed to reach these objectives.

### Hints and Tips

Holding multi-actor consultations during this phase makes it easier to develop a common vision and brings up issues that may be controversial.

At this point, it is advisable to create an **operational steering committee** with representatives from local authorities, institutional bodies, and other key players.

The committee will analyse the stakeholders' objectives in order to more clearly define the collaborative process by answering the following questions:

- What are the objectives of the collaborative approach?
- What are the expected results?
- What kind of support is needed to reach the objectives?

## Hints and Tips

The “**SMART**” method is often used to define objectives:

- S for specific
- M for measurable
- A for accessible
- R for realistic
- T for time-related (short, medium, or long-term objectives)

At this point, political approval of the common vision and objectives is necessary. This political statement will be widely communicated at regional and local levels and highlight the joint development of the common vision and objectives.

*“The energy transition is a new paradigm. Faced with centralist dogma of national energy actors, territories must find new ways of interacting with stakeholders at all levels of decisions to engage local partnerships. COOPENERGY allowed the territory of Bauges Massif Park to create this space of exchange.”*

*-Nicolas Picou, Natural Park Massif des Bauges, France.*



Image: Massif des Bauges, Regional Natural Park in Rhône-Alpes, France



## Step 2. Developing the MLG model

Once the outline of the collaborative process has been drawn up (common vision, objectives, support tools, expected results), several steps will need to be implemented in order to develop the most adequate and efficient MLG model.

### A. Define the coordination and governance processes

The **MLG mechanisms** mechanisms will need to be adapted to the local context based on the common vision and objectives (defined in **Step 1**), the importance or scope of the project, and the influence and expectations of stakeholders.

Regional governments have an important role to play in order to:

- **Supervise and coordinate the process.** This could be assigned to an operational steering committee (if one has been formed) or to a dedicated agency or unit
- **Ensure the governance model** has clear objectives that are **effectively monitored**
- **Coordinate interactions** between the different governance levels (e.g., facilitate meetings; propose the methodology for the work; the frequency of communications)
- **Ensure responsibility** within the model (propose a reporting structure; agree roles/responsibilities; identify how decisions are made; how issues are escalated etc.)

The authority (or operational steering committee) must determine **the most appropriate governance structure (MLG model) to use**. The **operational methods** must also be clearly defined and then explained to stakeholders:

- The project timeline (start date, key steps, etc.) and objectives
- The forums for discussion (e.g., meetings, networks, formalised partnerships)
- The duration and frequency of meetings (a tentative timeline can be presented)
- The resources that are available (information, working papers, etc.)
- And the expected results

### Hints and Tips

In order to set up an effective MLG model, the following 2 rules must be kept in mind:

- Limit the number of committees and discussion groups to avoid wasting too much time coordinating all their activities
- Clearly identify the functions, composition, and relationships between the different levels of the governance system

## Top tips for setting up collaborative, MLG processes

The MLG processes that were studied through the Coopenergy project took a variety of different forms, from the simple to the complex. **In most cases, one entity coordinated the process:** a steering committee or other specific group. Several MLG processes only held meetings. Others required a more complex organisational structure including a steering committee, a dedicated project committee, and working group meetings.

Coopenergy partners themselves tested out a number of different MLG processes, in order to revise their regional Sustainable Energy Action Plans (SEAPs), develop local action plans and develop joint actions for sustainable energy projects. Some examples of the processes set up for the development of these regional and local SEAPs included:



*Image: Regional workshop in June 2014 for dialogue and cooperation on spatial planning documents, in Lyon, France*

- **Model 1:** the **national government determines the contribution of each region** to national objectives on sustainable energy and climate change, and **this framework is used as a planning tool for regional authorities**. This model was used in the Rhône-Alpes region under the Schéma Régional Climat Air Énergie (SRCAE), in France.  
<http://srcae.rhonealpes.fr/>
- **Model 2:** the **regional energy strategy is part of the environment strategy, with different stakeholders delivering different parts of the strategy**, from district representatives to health and environment organisations. This model was used in the county of Kent, UK, for the Kent Environment Strategy (KES).  
<http://www.kent.gov.uk/about-the-policies/environmental-policies/kent-environment-strategy>
- **Model 3:** the regional **SEAP is prepared under the responsibility of the regional administration, who consults the local administrative levels through workshops and web-based public consultation processes** to define priorities and potential collaboration areas. This model was used for the Basque Country's Estrategia Energética de Euskadi 2025 and for the Liguria region's Piano Energetico Ambientale Regionale (PEAR) 2014-2020, in Italy.
- **Model 4:** the **regional authority launches a voluntary scheme** to provide support to local authorities or territories willing to engage in sustainable energy action within their territories. This model was used for the Energy Positive Territories (TEPOS) in the Rhône-Alpes region, where the regional authorities act as energy planning facilitator, working with several local authorities within each TEPOS.  
[http://www.rhonealpes.fr/TPL\\_CODE/TPL\\_AIDE/PAR\\_TPL\\_IDENTIFIANT/416/18-les-aides-de-la-region-rhone-alpes.htm](http://www.rhonealpes.fr/TPL_CODE/TPL_AIDE/PAR_TPL_IDENTIFIANT/416/18-les-aides-de-la-region-rhone-alpes.htm)
- **Model 5:** the **local authority voluntarily decides to engage in the Covenant of Mayors (CoM) initiative**. The regional authority, or a regional energy agency, then supports the local authority to create an energy plan as a CoM Coordinator. This model was used

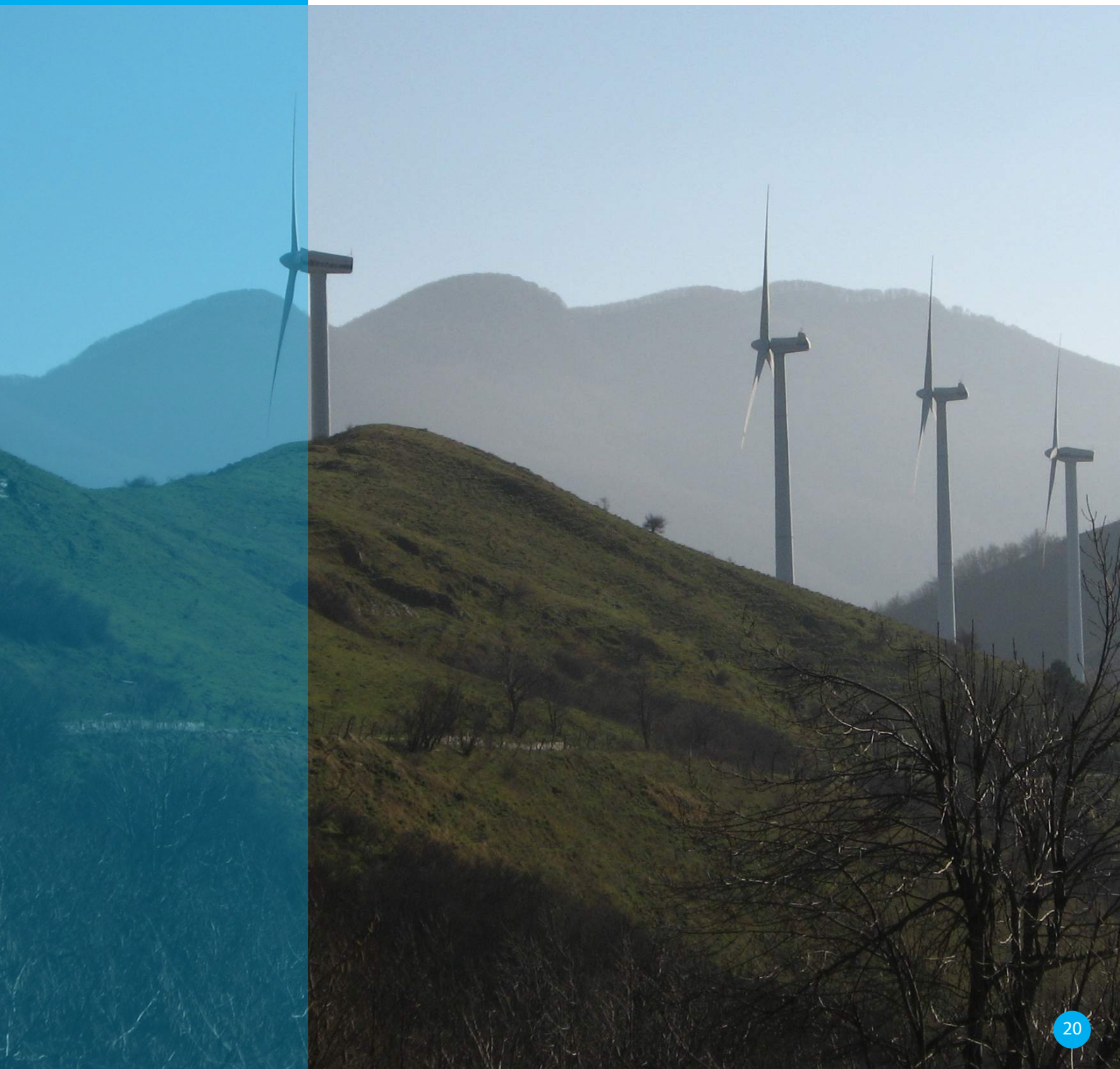
across several of the Coopenergy partner regions including the Basque Country, the Norrbotten county of Sweden, the Rhône-Alpes region of France and in the Liguria region of Italy.

[http://www.eumayors.eu/participation/as-a-province-or-region\\_en.html](http://www.eumayors.eu/participation/as-a-province-or-region_en.html)

- **Model 6:** the regional energy agency, belonging 100% to the regional government, has the mandate to provide know-how, experience and advice as a part of the regional governance. The regional energy agency provides this advice service to both the regional government and its municipalities, in order to support the region to develop local SEAPs and projects focused on renewable energy and energy efficiency. This model is used by the Energy Agency of the Zlin Region (EAZK), in the Czech Republic.

<http://www.eazk.cz/en/importa>

*Image: Wind farm in Varese Ligure, Liguria region, Italy.*





## Hints and Tips

In order to set up an effective MLG structure in your region...

- **Use or adapt existing governance structures or energy planning processes** (e.g., an existing meeting; steering committee; or network of local authorities). This can avoid duplication and take advantage of existing momentum
- **Use or create a political steering committee** to engage elected officials through the process and facilitate the implementation of decisions
- **Use thematic or territorial working groups** to look at specific or technical areas of your energy planning
- **Use a simple governance structure** that can be easily understood. Schematics and diagrams can help to communicate the structure clearly to everyone involved
- **Have clear lines of accountability and reporting** to create ownership for actions and facilitate delivery
- **Encourage stakeholders to participate outside of specific groups**, e.g., hold information meetings; consultations; exhibition; or events focused on a specific themes such as an 'Energy Day'
- **Use public perception surveys and public consultation** as tools to assess the public's views on energy and environment issues
- **Include different administration departments** (transport, economy, health, etc.) in the MLG structure to help involve them in sustainable energy



Image: An energy information day in Jokkmokk, Sweden, in 2014.



## B. Develop the stakeholder engagement strategy

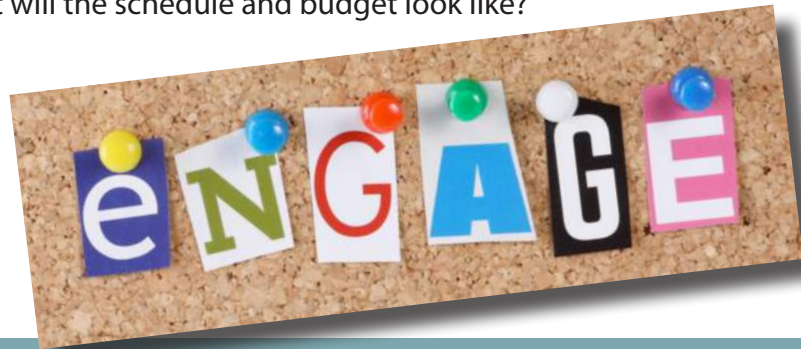
Multi-level cooperation is not self-regulating; different stakeholders do not participate on equal footing and their contributions and limits must be determined in order to shape the governance process.

It is therefore helpful to develop a strategy for how you will engage and consult key stakeholders and decision-makers in the process...

**Stakeholders, beyond the ones already involved during Step 1** (when developing the common vision and objectives), should be invited to join the collaborative approach (e.g., additional local authorities; spatial planners; data providers; financial partners; or citizens).

The **stakeholder engagement strategy** should answer:

- **Who** should get involved and why?
- **When** should they get involved?
- **What** will be the level of engagement of each group of stakeholders?  
What will their roles and responsibilities be throughout the entire process?
- What will the schedule and budget look like?



### Hints and Tips: for developing your strategy

- Take into account the different interests, resources and capacities of stakeholders
- **Provide sufficient, transparent, information.** This enables informed stakeholder involvement and prevents negative perceptions (such as secrecy or corporatism)
- **Implement follow-up mechanisms** to ensure that stakeholders' views are taken on board, and can be fed back into the decision-making process
- **No one size fits all** – different involvement techniques (such as the **4 levels of participation explained in Step 1**) must be adapted to the type of stakeholder. For example, SMEs may be hesitant to get involved due to limited resources (time, means, etc.). Specific discussion groups that are adapted to these constraints (breakfast or lunchtime meetings, for example) could be held
- **Efforts should be made to work with authorities** that are less aware of the issues or more hesitant to take action e.g., you could collect their feedback by questionnaire
- Remember that **stakeholders must become involved at the right moment** i.e., when their views can provide added value and can be taken into account. Stakeholders do not need to be involved in every decision-making process

## Further Information

Read our Coopenergy factsheet for more tips and advice on **involving your stakeholders** in sustainable energy planning.

### Download the Factsheet (311 KB):

[http://www.coopenergy.eu/sites/default/files/Workshops\\_and\\_meetings/1504%20COOPENERGY%20Stakeholder%20Engagement%20Factsheet%20%28FINAL%29.pdf](http://www.coopenergy.eu/sites/default/files/Workshops_and_meetings/1504%20COOPENERGY%20Stakeholder%20Engagement%20Factsheet%20%28FINAL%29.pdf)

## Useful Tools for engagement

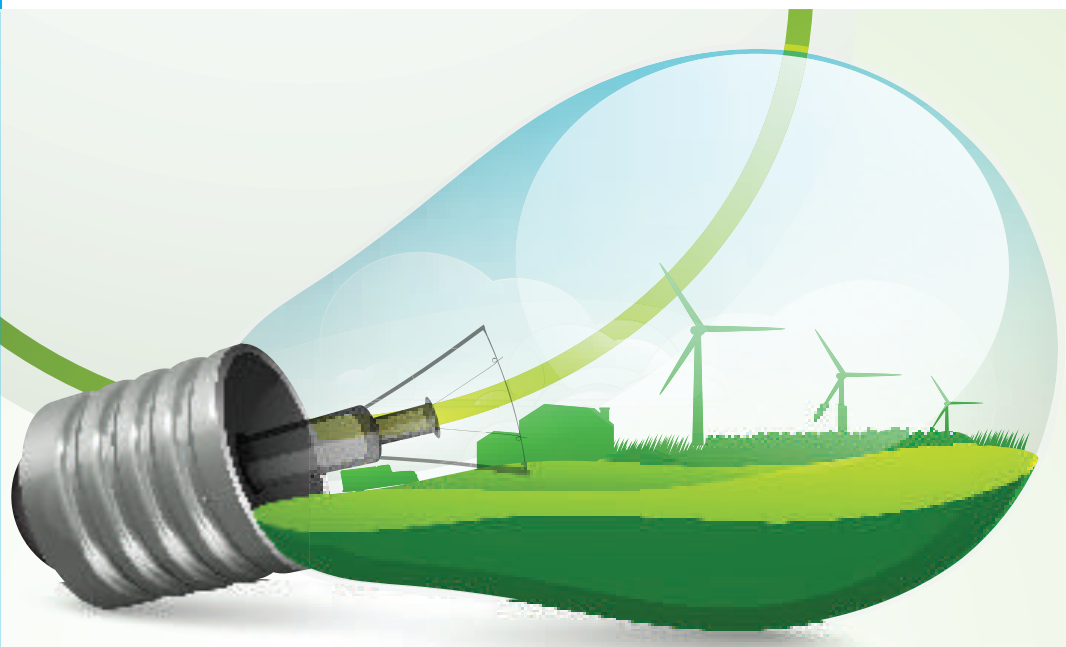
### 1. The influence-interest matrix

This matrix can help you to map and categorise stakeholders according to their stake in the sustainable energy planning topic, as well as their influence. Clustering your stakeholders in this way can help you to identify potential conflicts, gaps in the stakeholder selection, and determine how best to engage your stakeholders.

It is most important to engage with stakeholders who have a high degree of influence/ stake in your work. Stakeholders with a low level of influence/stake may require less involvement.

	Low influence	High influence
Low stake	Lowest-priority stakeholder group	Useful for decision making opinion forming and brokering
High stake	Important stakeholder group perhaps in need of empowerment	Most critical stakeholder group

*Stakeholders can be mapped according to their influence and stake (UN Habitat 2001, 24)*



## 2. The GUIDEMAPS table

This provides examples of information giving and input collecting and outlines the issues to consider when selecting an appropriate technique for engaging stakeholders. In addition, the Community Planning website <http://www.communityplanning.net/> features many creative and enjoyable ways of collecting ideas and opinions.

<div><div></div><div>Classifications</div><div><div></div> Generally applicable</div><div><div></div> Partially applicable</div></div>		1. Letters	2. Posters, notices and signs	3. Leaflets and brochures	4. Fact sheets	5. Newsletters	6. Technical reports	7. Telephone techniques	8. Radio shows & TV shows	9. Internet techniques	10. Web-based forums	11. Questionnaire surveys	12. Key person interviews	13. Exhibitions	14. Information centres	15. Information sessions/briefings	16. Public meetings	17. Topical events	18. Community visits	19.Focus groups	20. Workshops	21. Citizen juries	22. Technical working parties	23. Stakeholder conferences	24. Transport visioning events	25. Weekend events	26. Planning for real®	27. Open-space events
Who to engage																												
Wider audience																												
Targeted audience																												
When to engage																												
Problem definition																												
Option generation																												
Option assessment																												
Formal decision making																												
Implementation plan																												
Monitoring and evaluation																												
Type of project																												
Strategy																												
Scheme																												
Duration of engagement																												
Restricted																												
Continuous																												

## C. Define the responsibilities and the decision-making process

This step consists in specifically defining the **responsibilities** of each participant, as well as the **decision-making process**:

- How is the decision taken?
- Who makes the final decision?

The regional authority is responsible for providing easy-to-understand information about the project and the governance agreement. **Specific rules** must be defined for each stakeholder's responsibilities and level of participation in the decision-making process.

Responsibility (accountability) is a key aspect for **building trust and supporting the governance process**. Stakeholders should clearly understand their role and be responsible and accountable for their actions, activities and decisions. The effective exercise of responsibilities includes:

- Transparency of the information
- Clearly stated rules concerning relationships between different groups of players (particularly between the public, politicians, local and regional authority officers etc.) – and their responsibilities
- An independent review of results, or in the absence of such, the need for controls

*Image: Coopenergy workshop in March 2015 to discuss stakeholder engagement in energy planning - Luleå, Sweden*





## C1. Ensuring transparency in the decision making process

Governance processes are often intended to nurture policy developments and decision making through ideas, perspectives, and expertise. However, to avoid frustration and mistrust in the governance process, it is important to clearly state when the work of consultation groups will end, and to identify the decision makers and the people responsible. This is a condition for effective governance.

This must be clarified at the start; for example, by defining the general governance framework and the reporting structure (hierarchy) between different groups participating in the process, and by informing the intervening parties and the general public on the different steps leading to the decision.

### Hints and Tips:

A Participation Charter or Agreement (laying down the rules/rights and duties of each partner) can be signed amongst stakeholders. It will facilitate the good functioning of the collaborative process and could be modelled on other existing examples from neighbouring regions.

**For examples of Participation Agreements (such as MoCs) sign in to (or sign up for) the Coopenergy Collaboration platform:**

<http://www.coopenergy.eu/user/register>

## D. Define the evaluation process

Taking action to fight climate change generally requires the mobilisation and expertise of a number of stakeholders and requires everyone's participation in order to be successful.

The governance mechanism (MLG model) that has been chosen should therefore be evaluated to ensure that the collaborative approach has been successful and to make any necessary improvements. A list of indicators should be drawn up at this point to ensure results can be compared against objectives, and any data that is required to evaluate can be collected.

The evaluation might include the following aspects:

- Ability to achieve the objectives and expected results
- Comparing the governance agreement to existing models or traditional collaborations
- Effectiveness given the allocated resources and means (budget, expertise, etc.)
- How well it has been accepted both internally and externally

## Hints and Tips:

Particular **attention must be paid to the choice of indicators**, for they are above all a means of communication between all the stakeholders involved in the process. They help summarise and simplify complex ideas to present them to a diverse range of stakeholders. Indicators are useful for providing information, but also facilitate decision-making.

This should be a **collaborative evaluation** that involves stakeholders and allows for continuous improvement of the process. The frequency and schedule of the evaluation should also be defined, such as once a year.

## Useful Tool: example indicators and monitoring methods

- **Indicator:** how many people participated in the process, and in what way (information, consultation, dialogue, co-development)?  
**Method:** measure the number of participants
- **Indicator:** how do different stakeholders perceive their participation in the process and the progress that has been made? **Method:** questionnaires, interviews
- **Indicator:** how satisfied are stakeholders with the results of the project? **Method:** questionnaires
- **Indicator:** do stakeholders intend to continue their involvement in the process? **Method:** questionnaires
- **Indicator:** what are the effects of the governance process? **Method:** interviews
- **Indicator:** did the governance process increase public support? **Method:** interviews

*Image: The Kentish flats off-shore wind farm, Kent, UK.*



## Step 3. Implement the MLG model

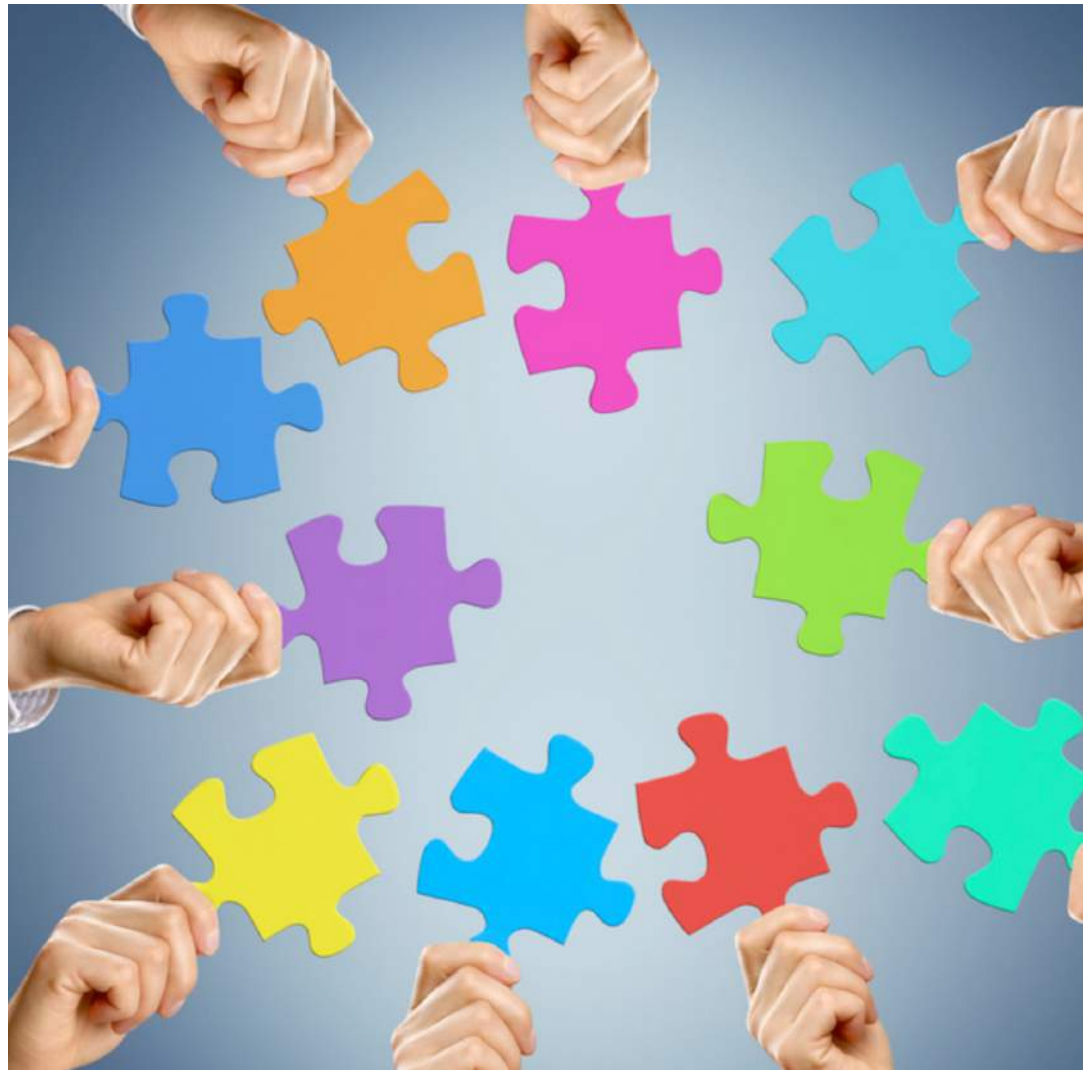
At this stage in the project, the collaborative process has already been initiated. So far you have:

- **Involved key stakeholders**, including local public authorities, in **developing a common vision and objectives (Step 1)**
- **Identified other key regional and local stakeholders** to ensure the vision and your project is **supported across political and officer-levels**
- In a collaborative manner **you have developed and adapted suitable MLG mechanisms and processes (Step 2)**
- Collaboratively **developed a method for evaluating the process (Step 2)**

**You will now start implementing these processes during this last phase of the project (Step 3).**

### A. mobilising and engaging stakeholders

Some key stakeholders were already involved in the design of the common vision, objectives and MLG processes. This implementation phase is now **about carrying out the actions you planned within your stakeholder engagement strategy, to get their buy in and formalise their engagement.**



In order to guarantee the **transparency** of the governance model and ensure widespread **stakeholder participation** (two of the pillars of “good governance”), the following elements must be explained to all stakeholders:

- The objectives of the governance model
- The expected results
- How the agreement operates and is organised (timeline, meeting frequency, types of discussion forums, etc.)
- The responsibilities of participants
- How contributions are taken into account during the decision-making process
- The evaluation methods

## Useful Tool

Depending on the objectives and the stakeholders that are involved, **information about how the governance model functions can be provided during a seminar** - after which stakeholders will have the opportunity to sign a pledge of commitment.

Information can also be provided via traditional channels e.g., websites; local and regional media; presentations during events throughout the area; social networks; and mailings.

## A1. Formalising the commitment

The **commitment of all stakeholders** involved in the process is critical, to ensure the collaborative approach is successful.

In most of the collaborative processes that were studied through the Coopenergy project, stakeholder participation was formalised in some way, such as a resolution, a multi-party agreement, a participation charter, etc. It is therefore worth considering implementing the following activities to gain commitment for your multi-level, collaborative approach:

- Compile all **information about the governance model in a single document** that can serve as a reference for all stakeholders. This document can be signed, following an informational meeting about the process, to formalise stakeholder commitment
- In order for all stakeholders to contribute to the collaborative process, a **“learning phase”** may be necessary. Stakeholders need to fully understand the context of the process, the issues involved, and the work that has already been done. The authority could also present similar actions taken in other regions
- In some cases, **training sessions** may be useful. They may even be necessary when specific skills or knowledge is required to understand the issues at hand
- To ensure effective participation throughout the entire process, it is critical to share information about the project, its progress, and to take stakeholder contributions into account. Stakeholders must be regularly



informed about the ways in which their opinions, concerns, and/or suggestions have been taken into account, as well as the progress that has been made since the beginning. Meeting minutes and reports on different actions should be written up and shared with participants.



## Good practice

A **training programme** for local authorities: in **Italy**, the region of Liguria developed a training programme on energy-climate issues for elected officials and technicians from local authorities. This programme was supplemented by technical assistance for developing energy-efficient and renewable energy projects.

**For more information visit:** <http://www.coopenergy.eu/gp/liguria-region-it-training-and-technical-assistance-municipalities-european-energy-award%C2%AE>

## B. Evaluate and improve the governance process

The evaluation of the governance framework may be useful - especially because indicators (e.g., number of participants in meetings; number of publications distributed; decisions made or not made, etc.) may be insufficient to assess governance.

Governance processes must be examined as whole elements and must be open and advanced. This may be an external evaluation, a peer evaluation, or a self-assessment. The evaluation of the governance framework should include the following elements:

- **Lessons learned**
- The **relevance** of the governance framework (compared to other MLG governance processes or standard approaches)
- Its **strategic positioning**
- Its **effectiveness**: expected outcomes in terms of expectations and objectives
- Its **efficiency** with respect to dedicated resources and means (relationship between results and financial resources, expertise, organisation, etc.)
- Its **acceptance** at internal and external levels
- An identified **course of action to improve the process**

### B1. The benefits of evaluation

The evaluation can add value to the future governance of climate change action. Indeed, climate change is often an area of public policy where experiments are conducted (through the involvement of stakeholders, the organisation of debates, or creation of new partnerships).

However, the evaluation can also be regarded restrictively as a performance review. It is therefore important to clearly communicate the objectives of the assessment and to ensure that evaluators are able to carry out their analysis at all levels of the organisation (including management and political levels) and beyond.

## B2. Collecting data

As the governance process progresses, data to measure indicators should be collected. Data for indicators related to the governance process will generally be collected at the end of the project, or following an event, using questionnaires or interviews with key stakeholders. A thorough definition of the evaluation process in Step 2 will ensure necessary data is collected.

## B3. Improving the collaborative approach

Depending on the frequency of the evaluation, the indicators should be evaluated in order to make improvements to the governance model. A committee could be set up to conduct an analysis and suggest changes. The results of any evaluations should be widely communicated.

### Good practice

#### **Regional financial instrument**

**SEM Energie Posit'if:** in **France**, the Ile-de-France region and fifteen other partners created SEM Energie Posit'if, which makes energy-efficiency improvements to joint ownership properties and social housing. With a capital of 5.3 million euros, it can also serve as a third-party financier for energy-efficient renovation work.

**Click here for more information:** <http://www.coopenergy.eu/gp/%C3%AEle-de-france-regional-council-fr-%E2%80%93-semi-public-company-energies-positif>



## Hints and Tips

**IN OTHER WORDS:** in order to apply governance principles:

- Start to build a collaboration scheme **only when there is a real need for it** or a common vision. Be open and encourage bottom-up approaches, listen to what your key stakeholders really need
- Involve and **get clear and effective support from people and institutions with decision making responsibilities**, or those who can influence the process
- **You are often working with busy individuals. They need to have a clear personal benefit to get involved.** Make working life easier for them. Help them to save time or money in their personal field of work. Praise them for their efforts, much more than you think would be necessary. Provide them with personal experience that makes them feel good or with possibilities to develop their career (mentorship, training, etc.)
- If there is a bias – e.g., if only the regional level wants to collaborate or vice versa – **you need to give clear incentives** to the other part
- Collaboration takes time – and it needs to. For each step, **plan more time than you think is necessary**
- To keep the momentum going, **ensure that a first success is reached very fast**, even if it is a minor one, the second one shortly after that etc.
- Trust between people/institutions/stakeholders: working together is key
- **Do a lot of communication** and keep the process going. Try to reach at least some visible results
- **Communicate results:** say it more often, clearer, simpler than you ever thought it could be necessary!
- **Celebrate successes** with all who are involved
- Think about **how politicians can benefit** from the process and get their buy-in early enough
- **Think about timing:** for instance, when are the next elections and what does this mean for your project?

**You have now finished the 3-stage methodology for implementing a collaborative (MLG) approach to sustainable energy planning.**

**In the final sections of this guide, we provide more examples of successful MLG approaches to sustainable energy from across Europe and provide tips on how these could be replicated within your region.**

## 8. Adapting the methodology

The methodology presented in this guide is based on different types of collaborative approaches studied by the Coopenergy project.

This methodology can also be adapted to collaborative **processes for developing strategic regional plans (regional SEAPs)**, as well as the creation of **regional tools to facilitate implementation of sustainable energy plans** at local levels.

For example, for the creation or revision of a regional SEAP, this methodology dovetails with SEAP development, focusing on governance-related aspects, particularly communication with stakeholders and efforts to engage them, establishment of governance agreements (structure, responsibilities, etc.), and participatory evaluation methods.

### Find out more

#### Methodology for developing a regional SEAP

There are 4 phases in the regional SEAP development process:

- 1. Initiation:** defining a common vision for the region, which requires a great deal of interaction with stakeholders
- 2. Planning:** creating a roadmap scenario and choosing the necessary instruments to achieve this vision. This phase also requires close collaboration with all stakeholders to ensure feasibility, coherence, and engagement which will facilitate implementation
- 3. Implementation**
- 4. Monitoring**

Interactions with stakeholders will continue during the implementation and monitoring phases to allow for sharing of good practices, regular evaluation of progress in meeting objectives, and identification of obstacles in order to take corrective actions.

**For more information about the regional SEAP process:**

<http://regions202020.eu/cms/inspiration/inspiration-guide/>

### Find out more

#### Methodology for European Islands

The SMILEGOV project has developed specific guidelines designed for building Multi-Level Governance across Islands.

**Read the SMILEGOV guidelines:**

<http://www.sustainableislands.eu/BlockImages/InLibraryData/GalleryData/D3.3%20Strategic%20guidelines.pdf>



## 9. MLG in practice

Once you have developed your MLG approach to energy planning, the final step is to implement it! Through the Coopenergy project, partners in each region delivered actions – **jointly** between regional authorities, local authorities, and energy agencies – to reach the strategic objectives of their regional and local SEAPs.

The real success factors and core of this strong collaborative process was determined by setting up specific **Local Working Groups (LWG)**. This MLG model brought together regional and local authorities, technical and financial experts and potential stakeholders in each region, to reach shared targets through fruitful and effective partnerships.

### Hints and Tips:

#### In order to set up a good multi-level partnership, to deliver actions:

- **Set the common goal of the LWG**, make the benefits clear as well as the commitments of the authorities involved
- **Develop an action plan** of the process, including responsibilities and time scheduling
- **Maintain regular communication and update** your partners, to keep them engaged
- **Promote synergies and know-how exchanges** with other related initiatives in which the LWG participants are involved
- Ensure a **continuous monitoring and evaluation** of the MLG process in order to be able to face unexpected barriers and find solutions

**Read a brief summary of some of the joint actions the Coopenergy partners delivered, by putting MLG into practice:**



Metropolregion  
Rhein-Neckar

#### Organisation of stakeholder meetings to explore bioenergy potential

A specific Local Working Group (LWG) has been established in order to exploit bioenergy potential in the Rhine Neckar Metropolitan Region. The LWG's main aim is to highlight different options and methods for using organic waste. Overcoming prejudices, by explaining energy production methods, forms the foundation for future success. The participation of citizens in energy projects plays a central role in this project.

#### Key results of the collaboration

- ✓ Creation of a network of local and regional authorities that will continue after the end of the project
- ✓ Awareness for the potential of bioenergy can reduce prejudices
- ✓ 4 local heating projects planned over the next 2 years

#### Lessons learned and success factors

- Participation of citizens in the energy turnaround helps to overcome prejudices

The county of Norrbotten, Northern Sweden, is sparsely populated, distances are long and most of the communities are small. Therefore, having meeting places for networking and experience exchange is key. It is also a way to facilitate trust-building between stakeholders and to ensure better coherence between regional and local authorities' energy planning.

### Key results of the collaboration

- ✓ A LWG established (3 meetings held)
- ✓ Three regional climate forums were held

### Lessons learned and success factors

- Collaboration between regional and local authorities can be time and cost intensive in sparsely populated areas
- Small municipalities are vulnerable to changing framework conditions and need to adapt to them
- Resources may not be sufficient to reach targets, immediately therefore patience, stamina and flexibility within the MLG-model are required.



## Joint procurement process and collaboration in public lighting

Measures aimed to refurbish the public lighting system are a priority in almost all municipalities of Liguria and this represents a key action in all local SEAPs. In order to support the municipalities in this work, IRE SpA collected good practices in the region and shared them through meetings organised by a Regional Steering Committee (RSC), under the Covenant of Mayors (CoM) initiative. IRE SpA also shared a draft model of a joint procurement tender for public lighting renovation, to support municipalities to carry out future lighting refurbishments.

### Key results of the collaboration

- ✓ 45 regional and local authorities directly involved through the establishment of a Regional Steering Committee
- ✓ A draft model for a joint procurement tender

### Lessons learned and success factors

- Establish a permanent Regional Steering Committee involving all authorities related to the CoM
- Small municipalities (most of the Liguria Region) are actively represented in the MLG process, through elected representatives



## Joint procurement process for purchasing bulk energy

The Energy Agency of the Zlín Region (EAZK) has been carrying out a procurement process for organisations purchasing bulk energy since 2007. Since 2013 EAZK extended this opportunity to the municipalities of the region. From 2013 to 2015, 25 municipalities have joined the procurement process, achieving savings of approximately 290.000 EUR on their energy bills, both for electricity and natural gas. Until mid-2015 nine meetings on the joint procurement process took place in the region, with 22 municipalities and stakeholders present.

### Key results of the collaboration

- ✓ 25 municipalities involved
- ✓ 290.000 EUR average saving on energy bills.

### Lessons learned and success factors

- Some results need to be clearly visible in a short period of time
- General promotion needs to be combined with specific advice to each municipality



## Kent-wide housing retrofit programme

The Kent and Medway Sustainable Energy Partnership (KMSEP) developed the Kent and Medway Warm Homes scheme to offer subsidised heating and insulation measures to eligible residents, focusing on helping vulnerable people and those who struggle to pay their fuel bills. The KMSEP was established between 13 local authorities, one unitary authority and key partners across the housing, business and health sectors.

### Key results of the collaboration

- ✓ 450 measures installed in more than 1400 homes
- ✓ Lifetime savings: £5.5mil to residents; 25,000 t/CO<sub>2</sub>
- ✓ A strong local partnership created, leading to successful joint funding bids - £1.7mil of funding drawn in to Kent to works

### Lessons learned and success factors

- Agree priorities and actions early on to ensure all partners are on board
- Clear messages (agreed by all) helps to manage expectations and ensure success
- Use existing communication channels and 'trusted professionals' to engage residents
- Allow sufficient time for consultation, to gain maximum partner involvement
- Share issues with partners, and successes – this creates a joint sense of ownership



This action deals with a joint plan for public lighting renovation in municipalities (with under 200 inhabitants) in the Basque Country. The project counts on the collaboration between the National Energy Agency IDAE (with a subsidy for energy audits), the Energy Agency of the Basque Country EVE (performing the energy audits, acting as a central purchasing entity and managing all the necessary administrative works) and local authorities (installing the equipment and meeting safety and energy efficiency regulations for the lighting installations).

#### Key results of the collaboration

- ✓ Improved urban lighting in 8 municipalities in the Basque Country
- ✓ Reduced municipality energy costs
- ✓ Creating an awareness of energy saving among the municipalities
- ✓ Combined with the creation of the workgroup, this has led to exploration of new actions in the area of energy efficiency and application of renewables in the municipal area

#### Lessons learned and success factors

Establish a methodology on relations and interactivity with the different market agents. Although there had been "collaborations" and although these actions had been beneficial, they had not been systematised and adopted by the regional authorities. With the MLG, the contributions of all the market agents were put to use; this led to quicker decision-making with greater consensus.



#### Sustainable energy communities

The goal is to review existing spatial planning tools at sub-regional level within the territory of Valence Romans Sud Rhône-Alpes (VRSRA); identify the barriers that will hamper the implementation of local SEAPs; and propose climate friendly recommendations through changes to spatial planning documents. After the setting up of a specific LWG, partners worked together during several technical meetings; they reviewed the SCOT and PCET (spatial planning and local SEAP documents respectively), **identifying gaps and possible solutions in a participative manner**. As a result, two information days about climate friendly spatial planning procedures were organised and a guide targeted at local public authorities and planning agencies.



### Key results of the collaboration

- ✓ Integration of recommendations to meet the needs of urban planning documents in the future SEAP
- ✓ 5 public authorities and 3 spatial and energy planning agencies working together
- ✓ for easier integration of sustainable energy criteria

### Lessons learned and success factors

- Time is needed to successfully involve local actors from 2 different planning fields (spatial and energy planning)
- Support from local and regional decision makers is needed to facilitate this integrated planning effort
- Regulatory requirements about compliance between spatial and energy planning are not always known by local actors



### Instrument for further replication

The objective of this joint action is to support a “Positive Energy Territory” (TEPOS Biovallée) to develop a financial instrument, which could be replicated at regional level, to foster the implementation of renovation projects for private housing. To this aim, the Regional Council of Rhône-Alpes (RCRA) launched a study - using the learning from a renovation program, DOREMI, implemented on the territory of Biovallée - in order to define a program of refundable advances for renovation of private housing that could be replicated at the regional level. The implementation of this solution is to be performed in a second step.

### Key results of the collaboration

- ✓ Solutions to implement a mechanism of refundable advances of funds to finance renovation of individual houses.

### Lessons learned and success factors

- To guarantee the continuation of the action, despite changes in human resources and to encourage the participation of different stakeholders, including private stakeholders.
- To capitalise on previous experiences such as DORÉMI and TEPOS.
- To ensure the relevance of the selected subcontractor to lead the study.

## 10. Replicating MLG approaches in your region

Coopenergy's mission has been to share good practice and promote coordinated approaches to delivering sustainable energy plans. As part of this work, Coopenergy partners organised knowledge exchanges with other European regions, lying outside the partner consortium, in order to test if different MLG models for energy planning could be transferred from one region to another. From these knowledge exchanges we identified several factors that are essential for ensuring an MLG model can be effectively replicated from one region to another...

### 10.1 Top tips for replicating MLG models

- **Get commitment from decision makers to make replication happen.** Officialise your commitment to work together in the long-term. Committing resources to work together will ensure you can effectively share practice and techniques and have the time to implement them properly within your own regions;
- **Understand regional contexts** - it is important to understand the local context, governance structures and frameworks in both regions. Identifying differences and similarities will enable both partners to identify the most realistic and effective way of replicating a model from one region to another. Allow extra time to build this understanding and communicate regularly, documenting what has been agreed;
- **Allocate resources** - budget for both time and for the costs of having some personal and remote meetings between partners. It takes time to build trust and to understand the partnership approach (MLG model) another region has taken. Don't forget to budget for implementing this MLG model and for follow-up!
- **Arrange smaller meetings** – small meetings - where MLG models can be discussed in depth, questions can be asked and confidential conversations can be had - are often more useful for replication models than big workshops or conferences. Well prepared prior communication



*Image: A Coopenergy exchange meeting in Kent, UK (November 2015), between Kent County Council, Carlow County Council and Carlow Kilkenny Energy Agency, to replicate good examples of MLG for energy projects, between the three regions of Kent (UK), Carlow and Kilkenny.(Ireland).*

between partners is a must to ensure rewarding work and results;

- **Face-to-face communication** – while there are more and more tools for distance learning with each other, face-to-face meetings are helpful to build trust, enable clear communications and discuss in detail how good practice in one region can be replicated to the other;
- **Share the lows as well as the highs** – share any barriers or lessons you learnt, as well as the successes of your model. Learning about what went wrong, why, and how this was overcome, is an effective exercise for determining how an MLG model can be replicated;
- **Involve your stakeholders early** – consider involving external stakeholders in your meetings early on – they will be more positive to replicating the model as a result;
- **Be specific!** Try to focus on one or two models in order to reach concrete results and make limited resources go further;
- Both regions can benefit – the learning process is rarely ‘one-way’. Both partners will learn from each other. However, exchanging knowledge with a very similar region offers more chances of equal and mutual learning; while exchanging with a dissimilar region might have more potential for innovation on both sides;
- **Long-term collaboration** – an established contact will hopefully last and grow even after the implementation of one specific MLG model. To achieve this, look beyond the MLG model and be open to further fields of collaboration. This is really rewarding!

## 10.2 Replicating MLG approaches in your region: step-by-step

As part of our work to test and transfer good practice models in MLG from one region to another, partners developed a step-by-step approach to ensure a successful transfer.

### Recommended steps for successful replication

Coopenergy partners adapted the RUR@ACT methodology for transferring good practices and took into account results from other IEE projects that held knowledge exchanges in the context of the EU 2020 targets and SEAP development. This method is based on having one region who is sharing information on their MLG model (the advisory region) with another region who wishes to learn more about that model (partner region). The method involves 7 steps for an effective exchange:

- **Step 1: define the expectations and needs of the partner regions** – to ensure the MLG model or good practice that is transferred corresponds to a real need in the region who wishes to replicate it
- **Step 2: self-evaluation of the advisory region to describe their areas of competence** – this step ensures that the knowledge, good practices and information shared by the advisory region will be useful to the specific needs of the partner region;
- **Step 3: comparative analysis and building pairs** - steps 1 and 2 determine how well the advisory region can meet the needs of the partner region. Based on steps 1 and 2, both regions should now assess

whether they are best matched to undertake an exchange, or whether they need to undertake further work to identify a suitable region to hold a knowledge exchange with;

- **Step 4: preparing the ground for visits: organisational issues and partnership agreements** - step 4 is about making the preparations for organising a successful exchange. A partnership agreement will be signed (such as a MoU) to show willingness to work on MLG in sustainable energy together;
- **Step 5: implementing exchange visits and providing remote support** – a minimum of two visits should be held, one in the advisory region and one in the partner region, to undertake a detailed, confidential exchange of knowledge, and practical training or site visits where appropriate. The programme should be developed jointly between the two partners. Remote support should also be provided (e.g., by email or phone);





- **Step 6: evaluating the transfer activities** - both the transfer process and the resulting operational implementation process should be monitored and evaluated;
- **Step 7: promoting the transfer** - representatives from both regions might share their experience and promote the implementation of the MLG model to other regions.

## Find out more

**Read the Rur@ct Methodological Guide on transferring good practices:**

[http://www.aer.eu/fileadmin/user\\_upload/MainIssues/Regional\\_Expertise/RURACT/RURACT-guide\\_methodologique-EN-DEF.pdf](http://www.aer.eu/fileadmin/user_upload/MainIssues/Regional_Expertise/RURACT/RURACT-guide_methodologique-EN-DEF.pdf)



## 11. More examples of MLG Models

More than 60 multi-level collaborative models in sustainable energy planning from across Europe were collected through the Coopenergy project.

They include case models for:

- **Development of collaborative Strategic Energy Action Plans (SEAPs):**

### Good practice examples

**Development of a Strategic Action Plan in the Rhine-Neckar Metropolitan region (Germany):** the region used a collaborative process involving all relevant stakeholders to develop, monitor, and evaluate their Energy and Climate Action Plan. The region set quantitative objectives and identified measures to attain them.

- **Joint development of regional planning tools to facilitate implementation of SEAPs (e.g., joint financial mechanisms, modelling and monitoring tools):**

### Good practice examples

**Provincial Energy Monitoring tool - ENERCLOUD:** in **Italy**, the Province of Turin developed an Internet platform called ENERCLOUD, which collects and processes energy data for both local and regional levels.

- **Awareness raising and stakeholders involvement tools:**

### Good practice examples

**Regional stakeholder involvement tool:** the **South-East biogas network in Sweden** facilitates cooperation between various actors to develop the production, distribution, and use of biogas. This collaborative approach helps bring projects to fruition.

**These models are available as case studies through the Coopenergy website:**

<http://www.coopenergy.eu/good-practice-resources>.

**More results about the European survey are available at:**

[http://www.coopenergy.eu/sites/default/files/Collaboration Resources/ European Survey cross cutting report.pdf](http://www.coopenergy.eu/sites/default/files/Collaboration%20Resources/European%20Survey%20cross%20cutting%20report.pdf)

## 12. User's checklist: I am a regional public authority...

This checklist serves as a handy reminder of the activities you can undertake, in order to set up a collaborative, MLG approach to your sustainable energy planning activities. You can tick off tasks as you complete them.

Activity		Complete?
<b>Step 1: initiate the collaborative process</b>		
1.	I have determined which regional authority departments need to be involved, and in what way	
2.	I have discussed with the regional authority, their vision, needs and objectives in relation to collaborative sustainable energy planning	
3.	I have identified key stakeholder groups and defined how they can participate in defining the common vision and objectives.	
4.	I have involved key stakeholder groups (local authority as a minimum) in the definition of the common vision and objectives	
5	On a scale of 1 to 5, I have mobilised stakeholders to co-develop the common vision... 1: not at all 2: somewhat 3: moderately 4: very 5: completely	
6.	On a scale of 1 to 5, I have mobilised local authorities to co-develop the common vision... 1: not at all 2: somewhat 3: moderately 4: very 5: completely	
7.	I have documented the objectives and expected results of the collaborative process	
8.	On a scale of 1 to 5, the objectives are "SMART"... 1: not at all 2: somewhat 3: moderately 4: very 5: extremely	
9.	On a scale of 1 to 5, the objectives take into account stakeholders' objectives and expectations... 1: not at all 2: somewhat 3: moderately 4: a great deal 5: completely	
10.	The local authority has politically validated the launch and objectives of the process (and this validation has been evidenced)	
<b>Step 2: developing the MLG model</b>		
11.	I have identified existing governance structures or processes at the regional level. These have been documented.	
12.	I have identified structures and processes that can be adapted to the MLG agreement (e.g., use of co-development over consultation)	

Activity		Complete?
13.	Where a SEAP already exists, I have evaluated the governance agreement to make improvements during the SEAP revision process	
14.	I have documented the different components of the governance agreement (e.g., using a schematic to detail the different groups and reporting mechanisms)	
15.	I have documented the roles and responsibilities of all participants in the governance model and documented the partnership agreement	
16.	I have documented the evaluation of the collaborative process including: who is responsible for monitoring the evaluation, its frequency, and how participants will be informed of the results.	
17.	I have agreed indicators to: - Evaluate the collaborative process - Evaluate the impact of the collaborative process - Evaluate the results of the process in relation to objectives/expected results	
18.	On a scale of 1 to 5, these indicators measure the objectives and expected results of the process... 1: not at all 2: a little 3: moderately well 4: very well 5: extremely well	
<b>Step 3: implementing the MLG model</b>		
19.	Stakeholders have been informed of their role in the governance system. This has been through the following methods (delete/add as appropriate): Seminars First meeting of a working group Through a website Newsletter Article in press a mailing other:.....	
20.	Stakeholders are officially committed to the process (and this commitment has been evidenced)	
21.	On a scale of 1 to 5, the tools and informational materials have helped different stakeholders to understand the issues....1: not at all 2: somewhat 3: to a certain extent 4: very well 5: extremely well	
22.	On a scale of 1 to 5, stakeholders are satisfied that their input was heard and taken into account... 1: not at all 2: somewhat 3: to a certain extent 4: very well 5: extremely well	
23.	On a scale of 1 to 5, information about the progress, the results, and the evaluation was communicated to participants... 1: not at all 2: somewhat 3: to a certain extent 4: very well 5: extremely well	
24.	On a scale of 1 to 5, the evaluation process enabled ongoing evaluation of the governance agreement... 1: not at all 2: somewhat 3: to a certain extent 4: very well 5: extremely well	



## 13. User's checklist: I am a local public authority...

This checklist was developed to make it easier for local authorities to become involved in a regional MLG model and to enable them to suggest improvements to the agreement. You can tick off tasks as you complete them.

Activity	Complete?
1. The local authority has identified (and documented) all the internal departments that will be involved in the process	
2. What does the local authority hope to get out of the process?	
<p><b>Objectives:</b> for example, belonging to a region that surpasses national and European objectives for greenhouse gas emissions, or belonging to a region that is developing an exemplary policy to encourage biogas</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<p><b>Expectations:</b> for example, to participate in developing measures to reach the objectives, to take into account the constraints at the territorial level, to develop appropriate tools to overcome these constraints</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<p><b>The need for support:</b> for example, methodological or financial tools</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<p><b>Resources:</b> what are the authority's resources to get involved in the process? Availability, ability to travel, etc.</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	

Activity	Complete?
<p><b>How does the authority want to become involved:</b> obtain information, participate in working groups, share experiences, communicate with other authorities...</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<p>3. On a scale of 1 to 5, the local authority feel that it was able to express its objectives and expectations, and they were taken into account in the development of the common vision..</p> <p>1: not at all 2: somewhat 3: moderately well 4: very well 5: extremely well</p>	
<p>4. On a scale of 1 to 5, the authority was sufficiently well informed about how the governance agreement functions and its roles and responsibilities within it....</p> <p>1: not at all 2: somewhat 3: moderately well 4: very well 5: extremely well</p>	
<p>5. The local authority make a political commitment to participate in the process (and this political commitment has been evidenced)</p>	
<p>6. The local authority is satisfied with its involvement in the governance agreement...</p> <p>1: not at all 2: somewhat 3: moderately well 4: very well 5: extremely well</p>	
<p>7. How involved does the local authority plan to be in the future?</p> <p>1: not at all 2: somewhat 3: moderately 4: very 5: completely</p>	
<p>8. The local authority has helped to promote the collaborative process in its territory (and this has been evidenced)</p>	
<p>9. The local authority participated in the evaluation of the governance agreement</p> <p>The following improvements have been suggested:</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<p>10. The governance agreement has enabled the local authority to take ownership of the decisions and better implement sustainable energy locally...</p> <p>1: not at all 2: somewhat 3: moderately 4: a great deal 5: completely</p>	

## 14. Collaboration platform

### Get involved

Through the Coopenergy project, a collaboration platform has been designed to help regional public authorities across Europe to share knowledge and access resources to help them develop MLG models in sustainable energy planning with their local partners.

You can sign up to the collaboration platform to:

- **Share knowledge** and discuss planning for sustainable energy with other regional authorities and councils, by using an interactive discussion forum;
- Access **good practice** case studies, tools and other resources to assist the collaborative planning process in the:
  - o Joint elaboration of regional level strategic sustainable energy plans
  - o Joint implementation of operational energy planning tools focusing on:
    - Financial instruments
    - Modelling, planning and monitoring tools for decision making
    - Awareness raising and stakeholders involvement tools;
- Access **publications** about collaborative sustainable energy planning.

**Sign up** now: <http://www.coopenergy.eu/user/register>

Already a member? **Sign in:** <http://www.coopenergy.eu/user/login>

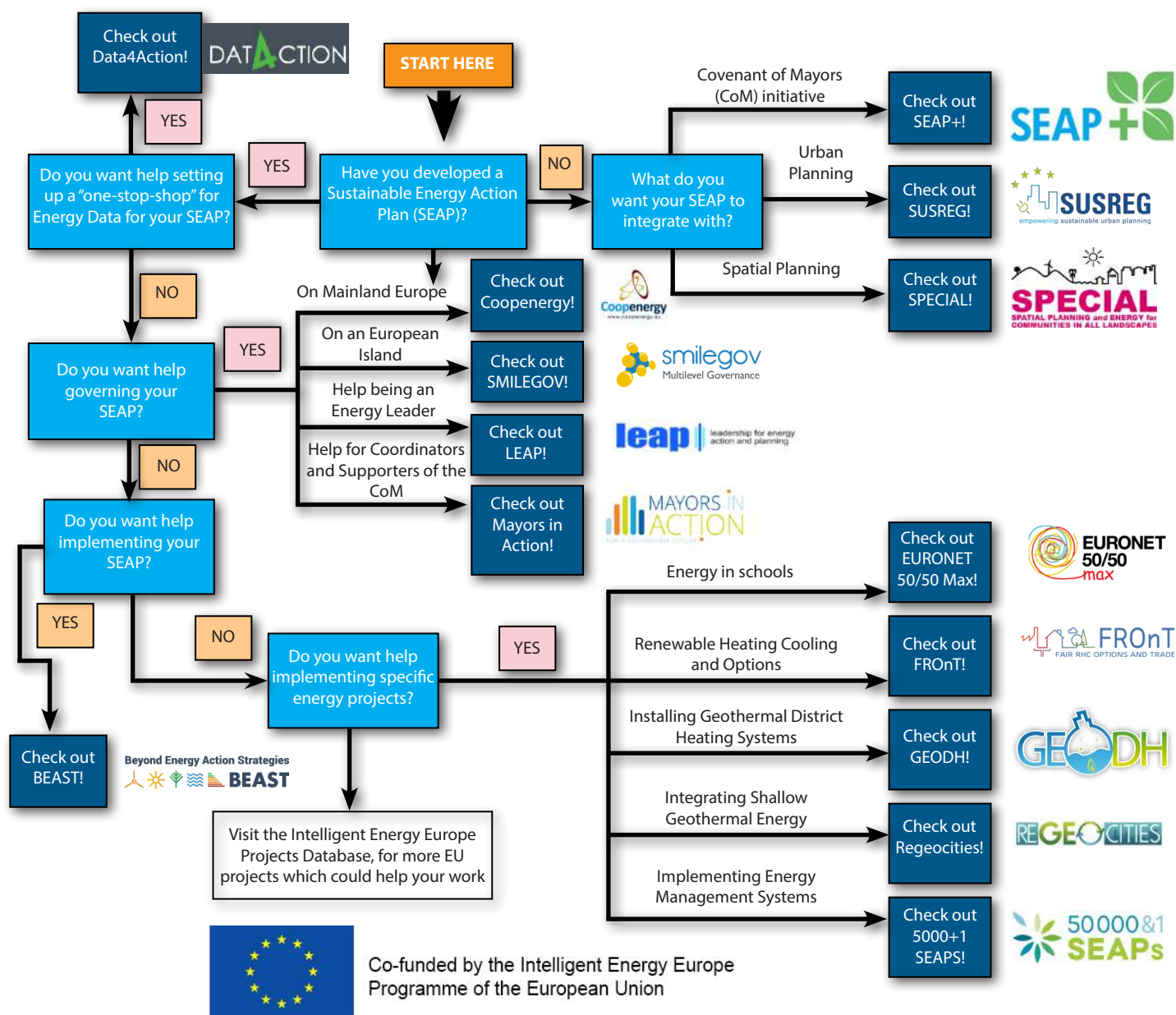


## 15. Further support for sustainable energy planning

Through Coopenergy we are aiming to test and share the best models of 'cooperation' between regional and local public authorities - in order to support public authorities to work better together on sustainable energy initiatives.

However there are many **other Intelligent Energy Europe-funded projects which could support your sustainable energy initiatives:**

### Which IEE Project do I need?



### Further Information

We also have tips on how you can finance your energy initiatives in our **Coopenergy financial factsheet**.

Read the Factsheet: [http://www.coopenergy.eu/sites/default/files/Workshops\\_and\\_meetings/Coopenergy\\_FinancialInstruments\\_Factsheet.pdf](http://www.coopenergy.eu/sites/default/files/Workshops_and_meetings/Coopenergy_FinancialInstruments_Factsheet.pdf)



## 16. Links and contacts

### Contact us

For further information about this guide, or to send us your feedback on the guide, please contact us at: [info@coopenergy.eu](mailto:info@coopenergy.eu).

### Publication

This guide is intended for all those with an interest in MLG models in sustainable energy planning. This publication is available in a downloadable format from the Coopenergy website or can be interactively viewed online, through the Coopenergy website itself.

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### European links

- BEAST: <http://www.beastproject.eu/>
- ClimactRegions: <http://www.climactregions.eu/>
- Covenant of Mayors: <http://www.covenantofmayors.eu/>
- Data4Action: <http://data4action.eu/en/>
- ENNEREG: <http://www.regions202020.eu/>
- Euronet 50/50 Max: <http://www.euronet50-50max.eu/>
- FEDARENE: <http://www.fedarene.org/>
- FROnT: <http://www.front-rhc.eu/>
- GEODH: <http://www.geodh.eu/>
- LEAP: <http://leap-eu.org/>
- Mayors in Action: <http://www.mayorsinaction.eu/>
- ReGeoCities: <http://regeocities.eu/>
- 50000&1 SEAPs: <http://www.50001seaps.eu/>
- SEAP+: <http://www.seap-plus.eu/>
- SMILEGOV: <http://www.sustainableislands.eu/>
- SPECIAL: <http://www.special-eu.org/>
- SUSREG: <http://www.susreg.eu/>

## References

The following publications and documents have been used in the development of this guide:

- **ClimactRegions guideline Manual on Dedicated Modes of Governance** Information about effective governance processes for climate action.  
**Link:** [www.climactregions.eu/c/document\\_library/get\\_file?uuid=2c99afcb-9748-4fa7-9597-46410dfc5920&groupId=10136](http://www.climactregions.eu/c/document_library/get_file?uuid=2c99afcb-9748-4fa7-9597-46410dfc5920&groupId=10136)

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- **Covenant of Mayors “Multi-level action for sustainable energy”** Information and concrete examples about MLG for Covenant of Mayors.  
**Link:** (4.65 MB): [www.energy-cities.eu/IMG/pdf/com\\_thematic\\_leaflet\\_multi-level\\_cooperation\\_2013\\_en.pdf](http://www.energy-cities.eu/IMG/pdf/com_thematic_leaflet_multi-level_cooperation_2013_en.pdf)

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- **Intelligent Energy Europe: “Accelerating change – delivering sustainable energy solutions”** Section about speeding up sustainable energy planning through Multi-Level Governance  
**Link:** (5.57 MB): [http://www.managenergy.net/lib/documents/801/original\\_Joint\\_publication\\_IEE\\_INTERACT\\_web.pdf](http://www.managenergy.net/lib/documents/801/original_Joint_publication_IEE_INTERACT_web.pdf)

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- **Regions 2020 Inspiration guide** Information about the regional SEAP process.  
**Link:** <http://www.regions2020.eu/cms/inspiration/inspiration-guide>

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- **EREC: guide on energy sustainable communities, experiences, success factors** Examples of success factors.  
**Link:** <https://hal.archives-ouvertes.fr/hal-00019185/en/>

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- **ELTIS/Civitas Handbooks on involving stakeholders** Consultation tool kit with recommendations for stakeholders consultation and citizen engagement.  
**Link:** [http://www.civitas.eu/sites/default/files/Results%20and%20Publications/Brochure\\_STAKEHOLDER\\_CONSULTATION\\_web.pdf](http://www.civitas.eu/sites/default/files/Results%20and%20Publications/Brochure_STAKEHOLDER_CONSULTATION_web.pdf)

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- **IEA: innovations in MLG for energy efficiency**  
**Link:** [http://www.iea.org/publications/freepublications/publication/mlg\\_final\\_web.pdf](http://www.iea.org/publications/freepublications/publication/mlg_final_web.pdf)

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- **Rur@ct Methodological Guide** Recommendations and tools for transferring good practices across regions.  
**Link:** [http://www.aer.eu/fileadmin/user\\_upload/MainIssues/Regional\\_Expertise/RURACT/RURACT-guide\\_methodologique-EN-DEF.pdf](http://www.aer.eu/fileadmin/user_upload/MainIssues/Regional_Expertise/RURACT/RURACT-guide_methodologique-EN-DEF.pdf)



***Working together for a  
better Energy Future***



