



# CAPACITY BUILDING NEEDS ANALYSIS AND MAPPING OF REGIONAL AND MUNICIPAL CAPABILITIES

Deliverable 3.3

Final Version

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## CONTENTS

<b>1</b>	<b>CAPACITY BUILDING NEEDS ASSESSMENT .....</b>	<b>2</b>
<b>2</b>	<b>CAPACITY BUILDING NEEDS ASSESSMENT QUESTIONNAIRE AND METHODOLOGY .....</b>	<b>4</b>
2.1	SECTION I - MATRIX .....	4
2.2	SECTION II - EXAMPLES OF PROJECTS IMPLEMENTED .....	7
2.3	SECTION III - OPEN QUESTIONS .....	8
<b>3</b>	<b>CONCLUSIONS ON THE CBNA SURVEY.....</b>	<b>9</b>
3.1	SECTION I - MATRIX .....	9
3.2	SECTION II - EXAMPLES OF PROJECTS IMPLEMENTED .....	9
3.3	SECTION III - OPEN QUESTIONS .....	9
<b>ANNEX</b>	<b>.....</b>	<b>12</b>
	List of Annexes .....	13

## 1 CAPACITY BUILDING NEEDS ASSESSMENT

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The Capacity Building Needs Assessment (CBNA) is performed to collect information from Local Energy Board (LEB) organizations on what are their needs in terms of capacity building for sustainable energy planning and implementing, as well as their current status regarding the topics envisaged by EMPOWERING project.

The main challenge in organizing the CBNA - and consequently in drafting the Capacity Building Programme - was to identify the most effective intervention for generating a relevant impact in the regions targeted. One of the objectives is to identify the target of intervention and the desired consequences of the actions carried out, as synthesized in Figure 1.

Our Focus	CBP>>NA		Our Goal
Target of intervention	Indicative activity	Output indicator	Result indicator
<b>improving STAFF</b> (people) <b>(fluctuant, but give flexibility to an institution)</b>	Training	No. of people trained	Measure of improvement of professional competence of staff (No. staff who gained a qualification, trained to a certain standard...)
<b>improving the ENTITY</b> (working methods, procedures, systems and structures) <b>(resilient)</b>	Development/ implementation of new structures/ programmes/ procedures/ systems/ tools/ methods to be used by public admin bodies	<ul style="list-style-type: none"> <li>• No. of projects supported</li> <li>• No. of projects succesfully completed</li> <li>• No. of new structures/ systems/ tools/ procedures/ methods supported for development/ implementation</li> </ul>	<ul style="list-style-type: none"> <li>• No. of new structures/ systems/ tools/ procedures/ methods successfully developed/ implemented</li> <li>• No. of institutions involved in project</li> <li>• No. of institutions that successfully developed/ implemented the outputs (structures/ systems/ tools/ procedures/ methods) of the project</li> </ul>

### Capacity Building, possible targets and activities

The focus on individuals will envisage improving the skills and competences, based on human resources (who), through development of skills at all levels of the professional hierarchy within public authorities, including:

- ▶ Training of different categories of staff;
- ▶ Traineeship programmes for on-the-job-training;
- ▶ Learning networks, etc.

The focus on entities is structured on the following units:

- ▶ **Processes:** (“how”, in terms of rules, procedures, tools, working methods) through several instruments:

- Modernising and optimising the internal processes, incl. by introducing new working methods/organisation, development of quality management systems, adoption of IT systems, etc.
- Improving the interaction between institutions and with stakeholders, incl. by improving coordination, tools and methods for evidence-based policy making, mechanisms for public participation, actions for better law implementation and enforcement, tools for increased transparency and accountability, etc.
- Improving the delivery and quality of services, incl. by reforms for reducing administrative burden, integration of services (focus on back office); one-stop shop delivery (focus on front office); e-government, etc.
- ▶ **Organisation/structure:** (“how”, in terms of structure and organisation of departments, functions etc.) through:
  - Developing appropriate administrative structures, incl. through reallocation of functions, decentralisation, improving management structures, etc.
- ▶ **Resources:** (“what”) mainly covering:
  - Informational and technical resources;
  - Development and implementation of human resources strategies and policies covering the main gaps in this field (as regards staff requirements and career development).

## 2 CAPACITY BUILDING NEEDS ASSESSMENT QUESTIONNAIRE AND METHODOLOGY

The questionnaire aims to identify, for each of the four topics - integrated energy, transport mobility, land use planning and innovative financing solutions -, the following elements:

- ▶ Existing projects and/or measures realized;
- ▶ Results and benefits deriving from the adoption of the specific measures;
- ▶ Problems faced in the implementation of the project/measures;
- ▶ Indication of knowledge and skills gaps faced and to be addressed.

Survey carried out in February-March 2017 and the consortium received a total of 61 responses.

The structure of the questionnaire includes 3 sections, explained below.

### 2.1 SECTION I - MATRIX

This section will give a visual indication on the strengths (good practices) and weaknesses (areas to be improved) regarding organizations' need for capacity building (current state).

Weaknesses will be addressed in the capacity building programme (WP4). LEB members will indicate the phrase that better suits their situation, for all the 4 areas of intervention (integrated energy, transport mobility, land use planning, innovative financing solutions) according to the matrix presented below:

Target group: LEB – Local Energy Board members (decision makers; executive staff; policy maker)	Integrated energy	Transport mobility	Land use planning	Innovative financing solutions
<b>A. EXISTING PROJECTS AND/OR MEASURES REALIZED:</b>				
1. NO existing projects and/or measures				
2. Ad hoc initiatives, not directly related to the topics envisaged (or NO strategy)				
3. Strategy in place, but little/no specific commitment towards implementing projects/measures on the topics envisaged				
4. Projects/measures implemented, in line with existing strategy				
<b>B. EXISTING (INTERNAL) STRUCTURES:</b>				
1. NO existing structure (Institutions, department, team)				
2. Ad hoc structures based on rising opportunities				
3. Implementation structure established, but features irregular				

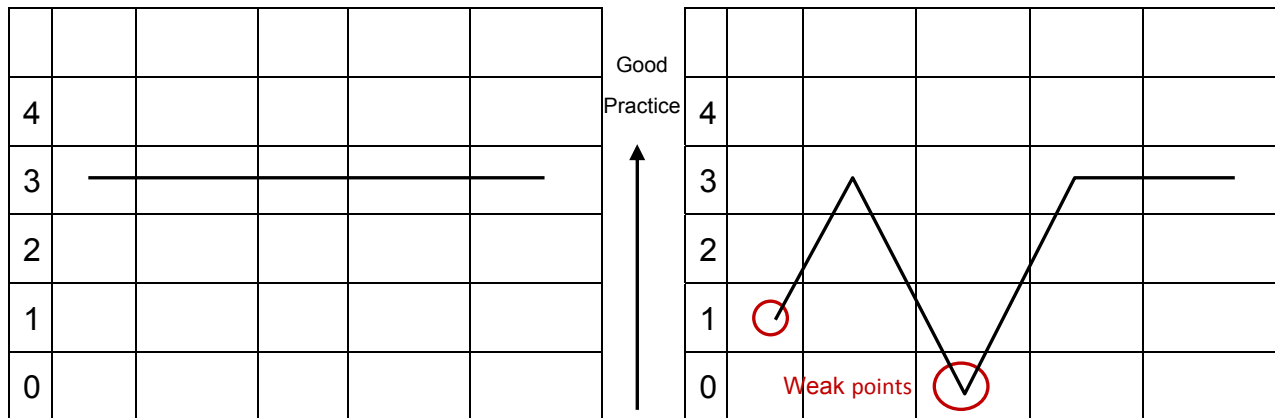
activity (due to lack of internal coherence/departments/sufficient personnel etc.)				
4. 4. Structure established and fully functional				
<b>C. INSTITUTIONAL SETTINGS (REGULATIONS/EXTERNAL):</b>				
1. NO institutional setting				
2. <i>Ad hoc</i> decision making on the topics envisaged, based on individual interests				
3. Clear institutional setting, but inconsistently implementation				
4. 4. Clear institutional setting and systematic implementation of projects and measures on the topics envisaged				
<b>D. TRAINING AND EDUCATION INITIATIVES:</b>				
1. NO training performed/implemented				
2. Some ad hoc initiatives, but no correlation between actions.				
3. There is staff training program, but it's inconsistently implemented.				
4. Training program for professional competences improvement, regularly implemented on up-to-date topics.				
<b>E. RESOURCES AVAILABILITY (HUMAN, FINANCIAL, NATURAL):</b>				
1. NO Resources available				
2. Some ad hoc resources, but no synergies between resources and given purpose.				
3. There are resources available, but they are inefficiently used.				
4. Resources are available and used frequently, effectively and for given purpose.				

In the table above, the indicative scores for each section are interpreted in order to obtain relevant information regarding the connections between practice and strategic decisions:

- ▶ **“4”** - This score reveals a strong correlation between strategic commitment and implementation of measures, actions and projects. These cases show strengths in implementing sustainable energy actions and are sources for good practices. Actions for these actors should focus on integrating innovation in their sustainable energy policy.
- ▶ **“3”** - This score reveals a top-down approach within the entity. We can identify here strategic commitment (top level) and a need in improving the implementation by capacity building for staff (training) or the organization (creation of departments, elaboration of procedures)



- ▶ **“1/2”** - These scores reveal cases that should be supported for both aspects: strategy and decision making and know-how for implementation of measures and action in sustainable energy. Actions should envisage increasing awareness degree on sustainable energy relevance and building capacity for the definition of the most suitable approach for sustainable energy actions implementation.



The four topics considered by EMPOWERING and included in the questionnaire, referring to either projects realized or to organizational aspects, should all be read in the light of the specific aim of energy sustainability. In order to better focus the different topics, additional descriptions and examples are given below.

- ▶ **Integrated energy:** integrated energy management; generation, distribution, storage and consume of energy aimed at a sustainable and efficient use of resources; promotion, planning and implementation of renewable energy sources and energy-saving solutions; diversification of energy sources; integration between different type of sources aimed at the energy sustainability; practising a more holistic approach where each sectoral policy has to contribute to the energy transition at its own level; etc.
- ▶ **Transport and mobility,** reducing energy use in the transport sector: commitment, promotion, planning, implementation, etc. of energy efficiency in the transportation system; sustainable mobility; promotion of cycling and walking; car-sharing; car -pooling; cycle-lanes; parking management; “green” fuels for public vehicles; smart infrastructures network; etc.
- ▶ **Land use planning:** commitment, procedures, plans, interventions, etc. focusing on the urban/territorial management and aimed at energy sustainability; urban/neighbourhood energy planning; energy standards zoning; public lighting; management of urban services; participated planning for sustainable development; urban planning to satisfy housing, mobility and consumption needs in an energy-efficient way; infrastructures that increase territories’ energy sufficiency; modes of transport and the use public space for the future; encouraging short supply chains; etc. Envisages the impact of urban planning decisions on energy use, both in terms of resources and emissions, at peri-urban, urban and district levels. This involves limiting

urban sprawl, densifying constructions around service and transport hubs, building heat networks, avoiding the construction of new infrastructures, building a pedestrian path network and integrating energy issues in planning permission.

- ▶ **Innovative financing solutions:** financial resources for Sustainable Energy; commitment, support, promotion, implementation, etc. of financial incentives and loans; energy taxes; PPP; legal solutions; funding schemes; green bonds; etc.

## 2.2 SECTION II - EXAMPLES OF PROJECTS IMPLEMENTED

This section is intended to collect insight on real activities/projects that the LEB members have carried out. This section represents the first step in identifying - for each region involved by the project - at least three good practices to be shared and promoted to the whole partnership as potential objective for study visits.

This section is also important to identify the interest areas of LEB members and issues on which the capacity building programme should focus on, in order to further develop competencies and skills for achieving better results and excellence in sustainable energy implementation.

The cases collected are analysed by Project Partner and LEB members against common criteria, identified as follows:

- ▶ (A) The best practice should deal with the EU climate and energy objectives in one or more of the following four EMPOWERING key topics: integrated energy; sustainable urban mobility; land use planning; innovative financing models.
- ▶ (B) and strive towards one of the following goals:
  - Better use of natural resources;
  - Minimisation of the environmental impact;
  - Improved social aspects;
  - Attain high levels of energy efficiency or energy security.
- ▶ (C) The best practice could present technological solutions, but also policy instruments, social projects or other measures having an impact on municipal or regional climate and energy work.
- ▶ (D) The practice should have been in place for long enough that it allows an evaluation of effects and potential rebound effects. Typically it could have been in place for 1 year or more.
- ▶ (E) Preferably the best practice should be transferable and not an isolated one-time event.
- ▶ (F) The practice should be well documented in its original language but also preferably have information available in English.
- ▶ (G) It should be possible to gain additional knowledge by contacting people involved in the implementation of the best practice (which might pose a challenge for older examples)

## 2.3 SECTION III - OPEN QUESTIONS

This section is meant to collect the subjective perception of the LEB members regarding their needs in terms of capacity building on sustainable energy planning. This information provided by respondents will indicate the most preferred methods for building capacities and also the type and final user of the regional capacity building program. It will orient the program by method, target audience, curricula and ensure a better resilience of its results (human resources or institutional settings):

### WHAT CAPACITIES SHOULD BE BUILT?

- training,
- formal education,
- capacity building projects,
- learning-by-doing programs
- networking
- others: \_\_\_\_\_

### FOR WHOM SHOULD CAPACITIES BE BUILT?

- human capacities
- institutional capacities

### ON WHAT TOPICS SHOULD CAPACITIES BE BUILT?

- integrated energy
- transport mobility
- land use planning
- innovative financing solutions

### TO WHAT END SHOULD CAPACITIES BE BUILT?

- building awareness
- building analytical capacity and
- building decision-making capacity

### 3 CONCLUSIONS ON THE CBNA SURVEY

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#### 3.1 SECTION I - MATRIX

The responses collected through the CBNA questionnaires show that most LEB members (i.e. Municipalities representatives) have good practices in areas related to **land use planning** where **internal structures and institutional settings (procedures) coherently exist**. This could be a consequence of the fact that these structures are related to urban planning as an overall concept/activity for local authorities, but not necessarily that these structures have a focus on sustainable energy in their activity. Still, among the topics to be the subject of capacity building activities, “land use planning” scored the lowest preference (46%).

Another topic that marked as a source of best practice is related to **transport & mobility**. We find here the expression of the sustainable mobility **mainstream policy** at European level, where the European Commission created the mainframe and the authorities implemented measures, structures, institutional settings, and allocated resources, but have to improve in the **quality of human resources** through training and capacity building projects.

The funding available expresses also regarding **projects implemented in sustainable energy**. Respondents indicated that there have been projects and actions implemented, but when correlating with responses in structures, institutional settings, training and/or resources we can see that there is a **lack in strategical approach** of activities in this area and that most projects have been implemented in an ad-hoc approach.

Regarding **innovative financing solutions**, most respondents scored the **lowest level** of structural approach – there are **gaps** on most aspects envisaged (projects, structure, settings, training, resources) and this is confirmed by their preference (of 81%) to be trained on the topic of financial innovative solutions.

#### 3.2 SECTION II - EXAMPLES OF PROJECTS IMPLEMENTED

The projects promoted as best practices cover all the topics of the EMPOWERING project, to a certain extent:

Topic	# projects	%
Integrated Energy	9	53%
Transport and Mobility	4	24%
Land Use Planning	1	6%
Innovative Financial Instruments	0	0%
Mixed topics	3	18%
Total projects proposed	17	

On the mixed topics line there were identified projects that include the Innovative Financial Instruments topic (2 out of 3 projects). The country distribution could not identify a certain preference for a specific topic, leading to the conclusions that sustainable energy is a common preoccupation for municipalities across Europe.

### 3.3 SECTION III - OPEN QUESTIONS

The respondents prefer to participate to **training** sessions aiming at building capacities for both **human resources and institutional capacities** on topics envisaging **integrated energy and innovative financial solutions** aiming at improving the **decision making capacity, the awareness, but also analysis capacity**.

The results are summarized below, according to the subjective perspective of respondents:

#### WHAT CAPACITIES SHOULD BE BUILT?

*type* *percentage (%) of total responses*

<b>Training</b>	<b>71%</b>
<b>Formal education</b>	<b>42%</b>
<b>Capacity building projects</b>	<b>52%</b>
<b>Learning-by-doing programs</b>	<b>44%</b>
<b>Networking</b>	<b>46%</b>
<b>Others: _____</b>	<b>n/a</b>

#### FOR WHOM SHOULD CAPACITIES BE BUILT?

*type* *percentage (%) of total responses*

<b>Human capacities</b>	<b>81%</b>
<b>Institutional capacities</b>	<b>73%</b>

#### ON WHAT TOPICS SHOULD CAPACITIES BE BUILT?

*type* *percentage (%) of total responses*

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 AND MAPPING OF REGIONAL AND MUNICIPAL CAPABILITIES**

<b>Integrated energy</b>	<b>83%</b>
<b>Transport mobility</b>	<b>52%</b>
<b>Land use planning</b>	<b>46%</b>
<b>Innovative financing solutions</b>	<b>81%</b>

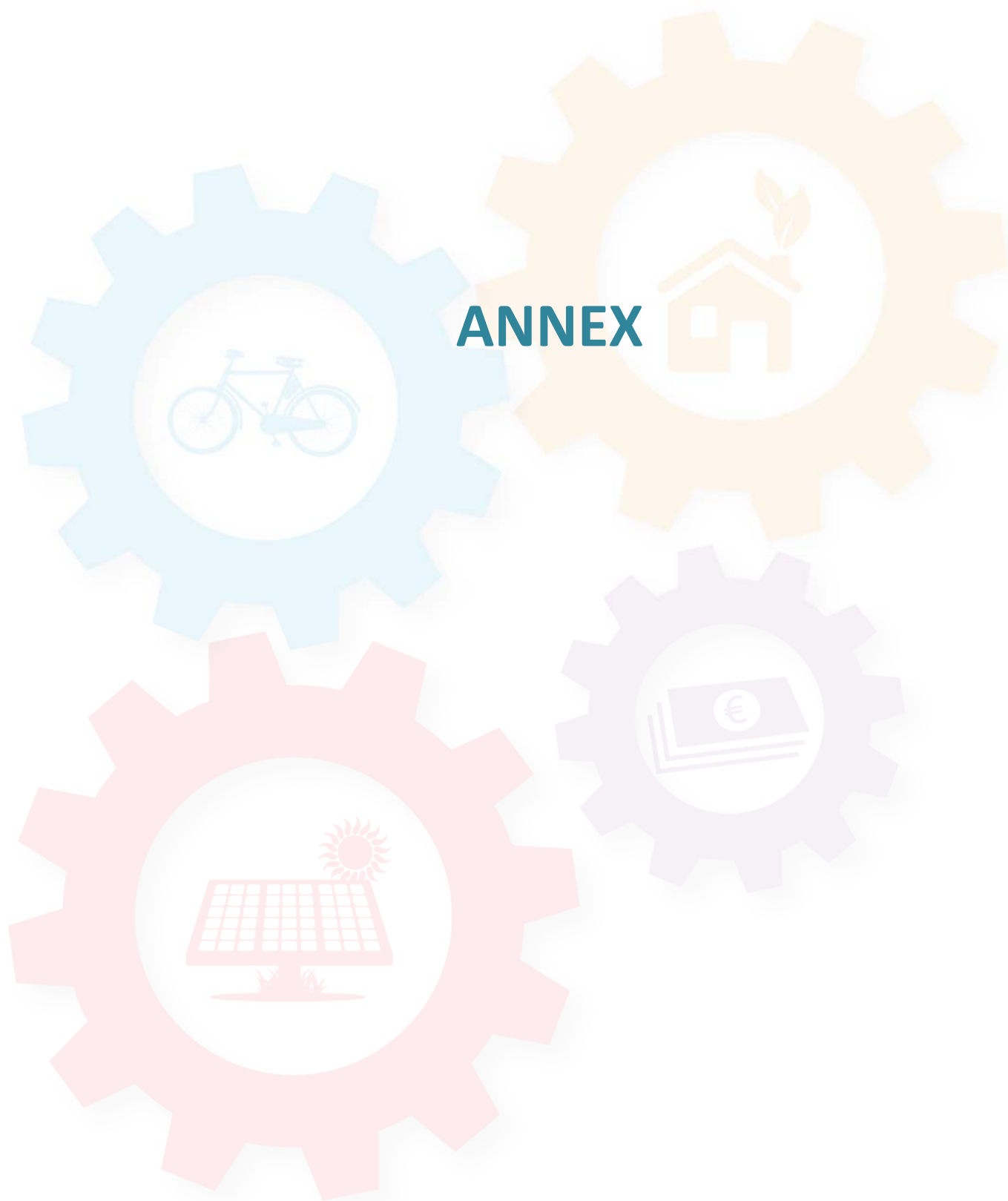
**TO WHAT END SHOULD CAPACITIES BE BUILT?**

*type*

*percentage (%) of total responses*

<b>Building awareness</b>	<b>62%</b>
<b>Building analytical capacity and</b>	<b>60%</b>
<b>Building decision-making capacity</b>	<b>75%</b>

# ANNEX



## List of Annexes

1. ANNEX 1: CBNA questionnaire centralized answers
2. ANNEX 2: PP1 (SVIM) Centralized answers
3. ANNEX 3: PP2 (AMAAA) Centralized answers
4. ANNEX 4: PP3 (ADR Nord-Est) Centralized answers
5. ANNEX 5: PP5 (IDA) Centralized answers
6. ANNEX 6: PP6 (BORA94) Centralized answers
7. ANNEX 7: PP7 (RCM) Centralized answers



