



Interim Report – Part A.3
Study on promoting multi-level governance in support of Europe 2020
(contract number CCI 2013CE16BAT019)

Lombardy:

A new approach to a regional territorial plan

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Disclaimer: The information and views set out in this study are those of the authors and do not necessarily reflect the opinion of the Commission.

List of abbreviations

DG	Directorate General
ERDF	European Regional Development Fund
NGO	Non-governmental organisations
PTRA	Regional Territorial Planning in Valli Alpine
SEA	Strategic Environmental Assessment

1 Introduction

Many regions and cities in Europe contribute directly or indirectly to achieving the aims and objectives of the Europe 2020 Strategy. To gain more insights on the governance mechanisms at play when cities and regions deliver contributions to Europe 2020 objectives, DG Regio launched a study on “promoting multi-level governance in support of Europe 2020”. This study aims to document case studies, test the possibility to transfer learning on governance and to generate lessons from policy experiences.

The study focuses on two specific policy fields linked to the Europe 2020 Strategy, namely Energy Efficiency measures with a special focus on the existing building stock and Social Inclusion in urban areas.

The present case study is one of eight reports detailing examples of how policy actors pursue their objectives, explicitly or tacitly in support of Europe 2020, in the context of the different multi-level governance frameworks they find themselves. The reflections and lessons presented in this and the other reports form an important input to the conclusions of the overall study and for a series of networking and transfer meetings between local and regional representatives from various parts of Europe. The final results of the study will highlight the processes and success factors leading to strong, high quality political and administrative partnerships across levels of governance and the lesson to be drawn on testing the transfer of experience in good governance.

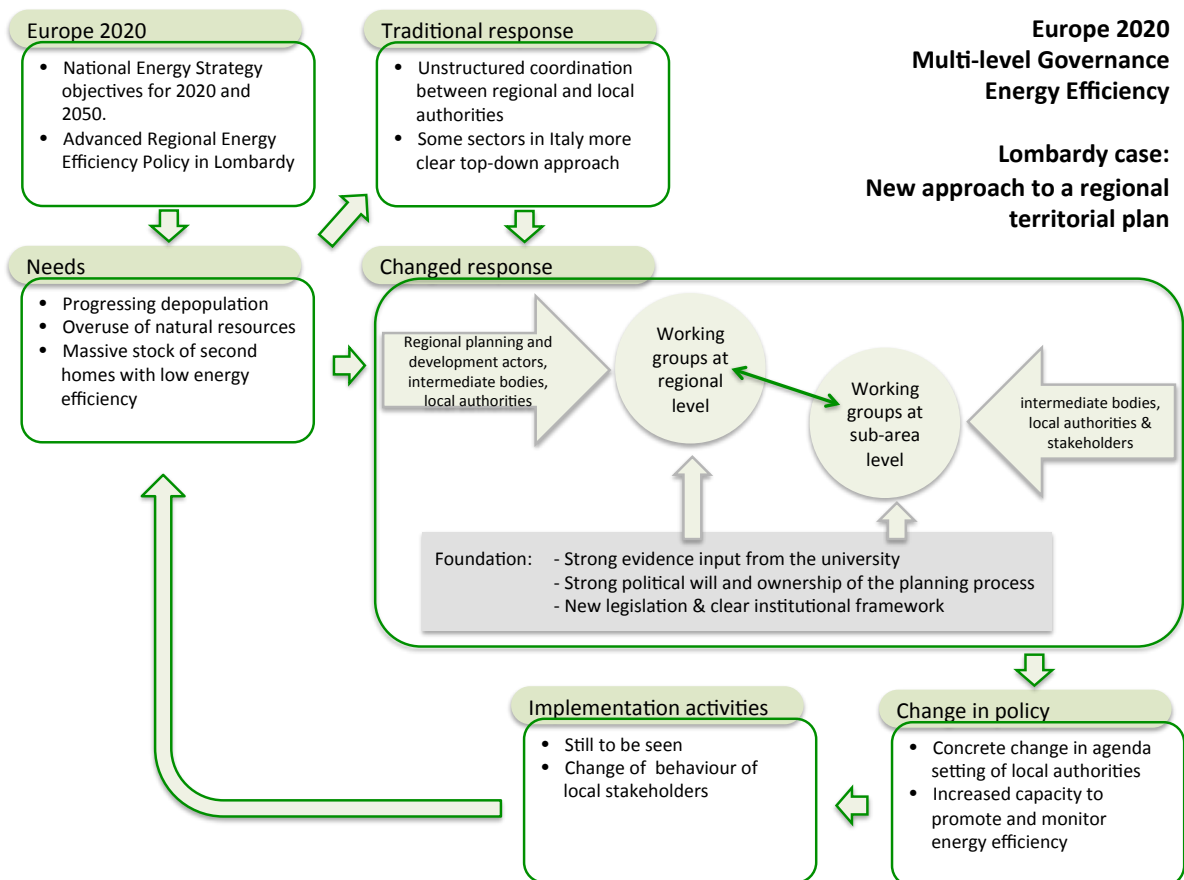
This study on promoting multi-level governance in support of Europe 2020 is led by Spatial Foresight GmbH and carried out in support of a wide range of collaboration partners.

Further details on the study and the progress made are available at <http://www.spatialforesight.eu/mlg.html>

2 Summary

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

The regional need to improve energy efficiency policies and measures is linked to the progressive depopulation of some parts of the region, the existence of a massive stock of second homes with low energy efficiency and the unsustainable use of natural resources. Traditionally there has been unstructured coordination between regional and local authorities and some sectors were ruled in a top-down approach. This is shown in the graph below in the box 'traditional response'.



With the elaboration of a regional territorial plan, the coordination between local and regional levels and different policy sectors improved. The changed response is visualised in the graph and entails different working groups. The elaboration of a regional territorial plan for the Alpine Valley Area brings together the most important stakeholders from various sectors and levels of governance. The PTRA Valli Alpine commenced in 2011 emerging from an initiative of the Directorate General for Land, Planning and Land Defence of the Lombardy Region (Direzione Generale Territorio, Urbanistica e Difesa del Suolo). This intervention was however precipitated by the power of public opinion with local media and

NGOs in particular calling for action with the effect of putting the Lombardy Region authorities under pressure.

The process, reinforcing multi-level governance began in 2011 and is characterised by the involvement of local stakeholders through the overall process and elaboration of the plan, the political commitment of regional policy actors and a strong evidence base provided by the University of Bergamo. The two key types of platforms that have been set up are (a) working groups at the regional level, which involve regional planning and development actors, intermediary bodies and municipalities, and (b) sub-area level working groups, which involve intermediary bodies, local authorities and local stakeholders. During the stakeholder discussions the visibility of the political commitment played an important role as did the presentation of evidence in the form of maps clearing detailing where certain issues are of particular concern.

The elaboration and approval of the plan is formally based on the self-motivated action of the local authorities. At the same time, it is an example of a process led by a regional institution with the aim of enabling local stakeholders to change their approach to governing the area.

Through this work, local agendas have been changed and it is also believed that the capacity to promote and monitor energy efficiency activities is increased. This also involves a better understanding of local stakeholders and, specifically, the role of their actions in a wider framework. Furthermore, the constant debate and exchange with local stakeholders offered regional authorities the opportunity to collect new information about the specific needs of the local level and to improve some of their sector policies. Thanks to the PTRA, local authorities have experimented with a different way of relating to the regional authority which is no longer characterised by the passive acceptance of new rules and regulations, but instead is driven by the possibility to debate actively and cooperate towards achieving a common political target.

The most important change thus far has been in the behaviour of local stakeholders. The effectiveness of the governance arrangements and their ability to actually promote an increase in energy efficiency in the area however remains to be seen. However, some relevant lessons can be drawn from this case in relation to multi-level governance in support of Europe 2020. The key aspects are listed in the table below.

Key aspects of PTRA strengthening multi-level governance approached to Europe 2020

Key ideas	Concrete methods and techniques
Embedding energy efficiency in a wider framework of regional development / planning.	Clear organisation and planning of governance processes including a clear institutional framework and definition of roles.
Strong political ownership as a condition <i>sine qua non</i> .	Scientific background necessary as an initial step to avoid misunderstandings and maps to visualise the situation.
Moving from top-down to participatory policy processes. Meetings with local authorities and other stakeholders, using external experts (university) to gain trust in regional decision-making.	Use of working groups for wider commitment in the process.

3 Methodology

The analysis undertaken here on the new approach to regional territorial planning in Valli Alpine (PTRA) is based primarily on qualitative data compiled from desk research, interviews and consultation with the local authorities:

- **Desk analysis of the documents concerning the PTRA.** t33 experts analysed all of the relevant national and regional regulations and all of the specific documents related to the PTRA. In order to facilitate the consultation of all relevant documents, t33 experts had access to the cloud platform used by the Lombardy Region and the experts of the University of Bergamo for sharing information and drafting the PTRA. Among these documents the two most important were:
 - the document presenting the PTRA prepared by the *Direzione Generale Territorio, Urbanistica e Difesa del Suolo* of the Lombardy Region and by the scientific experts of the University of Bergamo (November 2013);
 - the preliminary document of the Plan (December 2012) presented by the *Direzione Generale Territorio, Urbanistica e Difesa del Suolo* for preliminary assessment by the local authorities.
- **Semi-structured interviews** were conducted with the relevant stakeholders in the Lombardy region, the University of Bergamo and a regional politicians. The interviewees were identified with the support of the *Direzione Generale Territorio, Urbanistica e Difesa del Suolo* of the Lombardy Region.
- **Participation in a consultation meeting with the local authorities.** The meeting was held in Bergamo (20/12/2013) with the participation of Lombardy Region experts, regional politicians and representatives of the involved local authorities (municipalities, *province* and *mountain communities*). This participatory exercise was particularly useful for collecting precise information about:
 - the local authorities' involvement, perspectives and understandings;
 - the tools adopted by the regional experts in the process of consultation with the local authorities.

4 Situation prior to the governance change

In order to analyse multi-level governance developments and the changes related to the new approach to regional territorial planning in Valli Alpine it is necessary to understand the principal and strategic context in which the region is embedded. This strategic context consists of the three following elements, which are outlined in greater detail below:

- regional socio-economic and territorial development aspects, closely linked with energy efficiency issues, which urged the stakeholders to become active;
- relation to the Europe 2020 Strategy and its implementation in the area; and
- stakeholder and governance constellations in place of regional energy policies.

The PTRA in a nutshell

Population	45,508
Area	901.6 km ²
Financial volume of the relevant ERDF Programme	531,752,571 EUR (for 2007-2013)

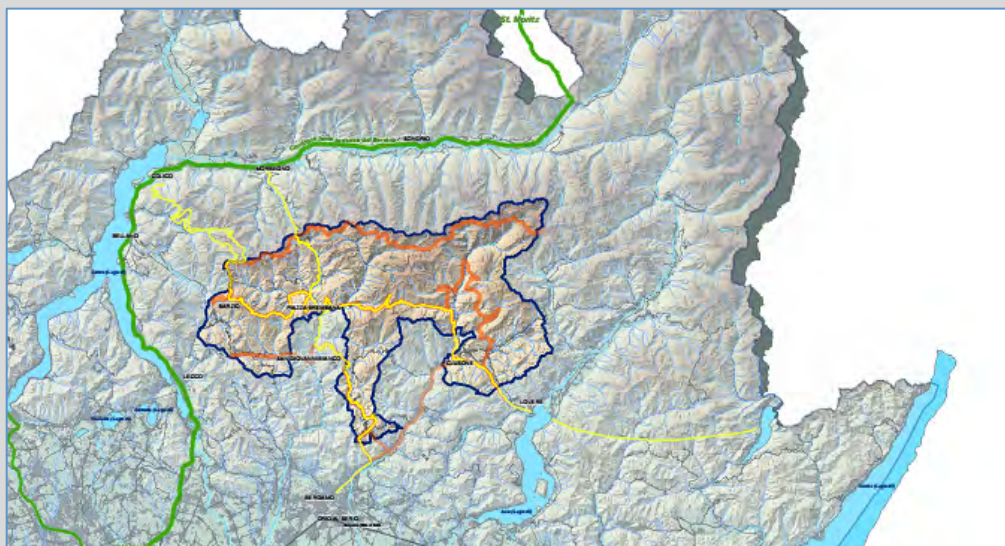
Europe 2020 targets related to climate change at the national level

CO ₂	-13% reduction in greenhouse gas emissions (base year 2005)
Renewable energy	17% of total energy consumption from renewable sources
Energy efficiency	-27.9 Mtoe reduction of energy consumption

Key governance stakeholders for energy policies

National level	Ministry of Economic Development, Ministry of Environment, Ministry of Infrastructure
Regional level -	Regional Directorate General for Environment, Energy and Sustainable Development; Regional Directorate General for Land, Planning and Land Defence
Local level	Municipalities

Figure 1: The area of the PTRA Valli Alpine



4.1 Socio-economic development context and challenges

Valli Alpine is located in the mountains in the northern area of the province of Bergamo and in the north-eastern area of the province of Lecco. It involves two Provinces (Bergamo and Lecco) and 45 municipalities. During the 1980s and 1990s, the economy of this particular area was driven partially by tourism, but even more by the building of second homes, which implied the extensive use of land together with poor quality (in terms of energy saving) buildings. The impact of the current economic crisis is such that the area is no longer able to attract visitors from outside the Lombardy Region while, at the same time, suffering a progressive loss of value in terms of its real estate assets. Therefore, the Lombardy Region

needs to revise the development model adopted in this area fostering more "green development" and sustainable tourism.

At the national level, recent analysis has demonstrated that the share of total energy consumption in Italy related to the housing sector was 23% in 2011¹. Overall, in Italy, energy consumption per household decreased by less than in EU average (-15.5% for EU27, - 8.3% for Italy between 2000 and 2010).

4.2 Link to Europe 2020 Strategy

One of the cornerstones of the PTRA (*Piano Territoriale Regionale d'Area Valli Alpine* – Regional Territorial Planning in the Valli Alpine) strategy is the stated objective of improving the energy efficiency of the large stock of second homes present in the area as a means to reviving the economy of the area.

In this sense, the strategic orientation of the PTRA is coherent with the 2020 priorities (in the March 2007 European Council, Italy committed to achieving the 20% European energy efficiency target) and with the national strategy.

The national energetic strategy, presented in March 2013, coherently with the overall framework defined by the Europe 2020 Strategy, sets out the medium (2020) and long-term (2050) national objectives in the field of energy. At the centre of the national energy policy are: 1) the definition of national targets which are more ambitious than those set out in the Europe 2020 Strategy 2) the pursuit of industry leadership in the field of energy.

Energy efficiency is the first of seven priorities set out in the national strategy. According to this strategy, improvements in respect of energy efficiency will not only contribute to the attainment of environmental quality objectives but will also impact on the competitiveness of the Italian economy more generally.

The focus of the PTRA on the housing sector is particularly significant in the context of the stated European and national strategies. At the European level, the recent Directive 2012/27/UE on energy efficiency recognised that buildings account for 40% of final energy consumption in the European Union.

Furthermore, the PTRA tackles one of the core elements of Directive 2002/91/CE (superseded by Directive 2010/31/CE) requiring the energy efficiency certification of houses to be built or sold (for the failure to transpose this Directive, Italy was condemned by the European court -sentence of 13th of June 2013).

4.3 Governance context

Traditionally, local authorities and regional authorities addressed the needs and challenges related to housing in Lombardy separately.

The decision to opt for a Multi-level governance approach, by intervening in the area with a PTRA, was driven by the need to establish a common and shared vision which embraces different sectors and allows for the full involvement of the local stakeholders and sub-regional public administration. The main two reasons were:

¹ ENEA, Rapporto annuale efficienza energetica 2011 (December 2012).

- 1) the administrative competences in the field of the management of the building stock, and more generally of the soil, are largely located at the local level (municipalities). Given this constitutional framework, any action by the regional government alone would likely produce only limited effects; thus modifying the objectives of local policies required the adoption of a territorial governance approach;
- 2) the low level of energy efficiency displayed by the housing stock in the area is clearly a product of the socio-economic development of the area, which implies the need for a multi-sectoral approach.

The following table illustrates for each sector the distribution of competences across the different policy levels. Besides the sectors listed in the table, other sectors of interest to the PTRA are transport, tourism and forestry.

Table 1: sectors and distribution of competences of different policies levels for the PTRA

		Energy efficiency	Housing/Soil management
Levels	European	Dir.2012/27/UE and Dir. 2010/31/UE	Soil Thematic Strategy (COM(2006) 231); proposal for a Soil Framework Directive (COM(2006) 232)
	National	Ministry of Infrastructure: establishes the regulative framework	Ministry of infrastructure: defines the different typologies of interventions
	Regional	The Italian regions can 'passively' accept the national regulation or can propose regional legislations which must however be consistent with the national framework. In Lombardy, the legislative body is the Regional Council, the technical body is the DG Energy	DG for Land, Planning and Land Defence establishes the legislative framework for the local interventions
	Local	In the field of energy, the municipalities have no specific competences	Municipalities: each municipality autonomously defines its own plan. The Region only assess the consistency of these plans with the regional rules

With regard to regional territorial planning there are three specific challenges:

- 1) The multi-sectoral dimension of the issues. On the one hand there is clearly a need to protect 'green' assets while on the other the need remains to create the conditions to enable the continued human habitation of the area.
- 2) The institutional framework. Administrative competences are spread across different actors. The Region has competence for energy and, more generally, for economic development while urban planning, housing permits and local activities relating to tourism are located either at the Province or Municipal level.
- 3) Administrative and institutional culture. In the mountain valleys, local political representatives and administrators traditionally enjoy significant autonomy and thus often find it difficult to coordinate and cooperate with the Region.

5 Regional Territorial Planning

Following this overview of the overall governance and development context in the Valli Alpine, the following section discusses the governance changes that have been suggested in order to improve the delivery of energy efficiency policies in the region.

The PTRA Valli Alpine commenced in 2011 emerging from an initiative of the Directorate General for Land, Planning and Land Defence of the Lombardy Region (Direzione Generale Territorio, Urbanistica e Difesa del Suolo). This intervention was however precipitated by the power of public opinion with local media and NGOs in particular calling for action with the effect of putting the Lombardy Region under pressure. The PTRA is a specific instrument designed to deal with issues of territorial governance, a more detailed description of the PTRA can be found in the textbox.

The PTRA – Regional Territorial Plan for the Alpine Valleys in Lombardy

The PTRA is a specific instrument designed to deal with issues of territorial governance and was established by the regional law 12/2005. Its functions are specified in the Regional Territorial Plan (PTR) approved in 2010. According to the Regional Territorial Plan, the PTRA includes the instruments for programming the development of specific areas and represents an opportunity to promote regional competitiveness and rebalance the territories under review. In concrete terms, the PTRA provides regulatory instruments to promote a process of multi-level governance in specific areas. By adopting a PTRA, the local authorities of a specific area (in accordance with the regional authority) agree to:

- identify common objectives and development strategies for the area;
- outline a strategic reference scenario as a guide to coordinate the actions of all local actors involved;
- deepen, at a detailed scale, the socio-economic and infrastructure projects to be pursued;
- dispose specific binding/cogent directions for governing the territories.

The elaboration and adoption of the PTRA represents a significant change in the approach for governing the area:

- for the regional authority, support for the adoption of a PTRA in this area meant renouncing the ability to govern the area by imposing its own objectives and strategies (top-down approach);
- for the local authorities, the adoption of the PTRA meant adopting a new approach to the governance of the local territory, where their public interventions should be planned while taking into account the overall balance of the entire area.

The process of elaboration and adoption in respect of the PTRA Valli Alpine was complex and, at the current time of writing, is still not complete (the Plan will only be formally approved by the Regional Council in 2014). It can best be described with reference to the following ten steps:

- The 1st step in relation to the elaboration of the Plan was the launch of a forum opening session (at the beginning of 2012) designed to build a local consensus around the idea of setting up a PTRA in the area.

- o The 2nd step was the collection of the suggestions of the local authorities.
- o The 3rd step was the approval by the Regional Government (Giunta regionale) of a resolution to initiate the elaboration of the PTRA Valli Alpine and to launch a concomitant contextual Strategic Evaluation Assessment (SEA) procedure.
- o The 4th step was the preparation, by the Directorate General for Land, Planning and Soil Protection, of a draft of the Preliminary Plan Document to be evaluated by the local authorities.
- o The 5th step was the first evaluation conference (11/12/2012), organised in Milan in order to present the Preliminary Plan Document and the VAS Scoping Report to the local authorities, local stakeholders and environmental bodies.
- o The 6th step was the sharing with other relevant regional DGs of the strategic objectives of the plan.
- o The 7th step was the elaboration of a first draft of the PTRA Valli Alpine and the related environmental Report.
- o The 8th step was the publication of the first Draft of the PTRA (on the website of the Region) and the debate with the local authorities (organisation of specific working groups between regional representatives and local authorities).
- o The 9th step will be the second evaluation conference, which constitutes the deadline for the collection of proposals and contributions from the stakeholders.
- o The 10th step will be the presentation of the plan for approval to the Regional Government and the Regional Council.

Once the Plan has been approved by the local authorities (second evaluation conference) and by the regional authorities (final approval by the regional council), all of the involved local authorities will be required to transpose the content and the binding/cogent directions defined in the PTRA into their local provisions/plans.

Once the *PTRA Valli Alpine* is approved, the local authorities will be permanently involved in a common political platform.

5.1 Key players and their motivation

The key actors involved in the elaboration of the PTRA Valli Alpine are the following.

- o The Directorate General for Land, Planning and Soil Protection of the Lombardy Region, responsible for the entire process of the elaboration of the PTRA has ownership of the drafting and publication of the Plan as well as of the organisation of the meetings with the local authorities.
- o The regional sectoral General Directorates impacted by the Plan (e.g. DG energy/environment, DG Agriculture, DG tourism).
- o Regional policy actors (former regional minister and regional councillors).
- o The University of Bergamo.
- o Intermediary level authorities: Province of Bergamo, Province of Lecco, Mountain Community of Val Brembana, Mountain Community of Val Seriana, Mountain Community of Val Sassina.
- o Local authorities (involving municipalities).

The key elements forming the basis of the significant involvement of the local stakeholders throughout the overall process of the elaboration of the Plan relate, on the one hand, to the

strong political commitment of the regional policy actors and, on the other, to the presence of the University of Bergamo.

As regards the first element, the commitment of the regional policy actors has been the key driver in terms of involving, from the outset, intermediary level authorities and local municipalities and in overcoming their initial mistrust with respect to any initiative coming from the regional administrators. In particular, the constant presence of regional politicians of the territories involved; was perceived by the local authorities as a sign of the value and importance of the PTRA. The commitment of the regional policy actors was however due in the main to the pressure placed on them by local media and NGOs in relation to the problems associated with the existence of a massive stock of buildings displaying poor levels of energy efficiency. During the initial phases of the elaboration of the Plan, the key role was played by the former regional ministry for Land and Planning. During the following steps, the baton passed to other regional councillors elected in the territories subject to the PTRA.

The region's choice to engage the University of Bergamo as an academic partner from an area in close proximity to the area of the plan, provided another key element in overcoming the initial distrust of the traditionally rather insular mountain-based local authorities with respect to any initiatives 'coming from Milan'. Furthermore, the specific technical contribution offered by the University of Bergamo proved to be a key factor in persuading local stakeholders on the quality and the reliability of the PTRA. What was particularly crucial here was the identification, on the basis of scientific evidence, of specific sub-areas of the PTRA territory which were characterised by a high level of natural and socio-economic uniformity (10 specific territorial framework settlements). By providing scientific evidence of what was already a strongly held cultural perception on the part of the local stakeholders, the subdivision of the PTRA area into specific territorial framework settlements was subsequently viewed by the involved local authorities as a sign that the region was not simply trying to impose its own perspective on their territories.

Key moments in respect of the involvement of these actors included:

- 1) The launching of the forum opening session (see above 'step 1') which was designed to build local consensus around the idea of setting up a PTRA in the area. At this stage, the representatives of Directorate General for Land, Planning and Soil Protection of the Lombardy Region and the (former) regional minister for Land and Planning (assessore regionale al Territorio e Urbanistica) convened a meeting of the local authorities of the area. The idea of the plan was illustrated and the possible topics to be addressed were outlined.
- 2) The collection of the tangible contributions made by the local authorities (step 2). In the context of this step, the regional authorities illustrated how the open and participatory approach would function, something which they view as fundamental to the successful elaboration of the PTRA. This step was crucial in helping to consolidate a consensus among the local authorities around the idea of elaborating a PTRA and, consequently, in confirming to the regional government the existence of a specific request from the territories.

- 3) The involvement of all relevant regional and local stakeholders during the preparation, of a draft of the Preliminary Plan Document to be evaluated by the local authorities (step 4). More precisely, at this stage the Directorate General for Land, Planning and Soil Protection organised 3 different types of working groups:
- the **regional working groups** with the sectoral regional DGs (DG Agriculture, DG tourism, DG energy/environment, the Presidency of the Region and the local regional territorial agency of Bergamo). Throughout the elaboration of the PTRA the Directorate General for Land, Planning and Soil Protection organised specific working groups with the sectoral DGs impacted by the plan. The aims of these meetings were (i) to ensure the constant involvement of the regional sectoral stakeholders, (e.g. allowing DG Energy and the other sectoral DGs to directly elaborate the PTRA's contents (priorities and actions); (ii) to highlight all of the opportunities offered by an inclusive and participatory approach to the governance of local territories by sharing with all of the DGs information on the various stages of the process.
 - The **PTRA working groups** were organised in Bergamo, with the participation of the DG for Land, Planning and Soil Protection, regional policy actors, intermediary bodies (representatives of the provinces of Bergamo and Lecco and of the mountain Communities) and one local authority per sub-area. These meetings offered the opportunity to discuss with the regional authorities the contents of the plan. They were often characterised by heated debate between intermediary/local authorities on the one hand and the regional authority on the other. During these meetings, a key role was played by the regional policy actors who were the political expression, at the regional level, of the territories involved and were consequently viewed as being 'reliable' by the intermediate/local authorities. Their role was to mediate between the requests of the territories (concerned that they might lose, through the PTRA, their autonomy in planning their policy interventions) and of the regional institutions (concerned by the need to guarantee the effectiveness to the PTRA by imposing its binding direction on the local authorities).
 - The **SUB-AREA working groups** On the basis of the logic of the PTRA, in each of the 10 different sub-areas identified, the region (DG for Land, Planning and Soil Protection) organised a specific *sub-area working groups*, with the participation of the intermediary bodies (representatives of the mountain community involved in the sub-area), the local authorities (mayors of the involved villages) and the stakeholders interested by the specific territorial framework settlement. These meetings were organised to mobilise local stakeholders and to build a consensus at the level of the individual municipality. The meetings also offered the opportunity, not only to all of the local authorities involved but also to the local stakeholders (citizens, associations and the private sector), to discuss with the regional authorities the specific contents of the PTRA. During these meetings a key role was played by the intermediary/local authorities who had taken part in the previous *PTRA working groups*. They functioned as the direct expression of the territories and during these meetings their role was to support the regional authority in communicating to the territories the potential in and the opportunities offered by the PTRA.

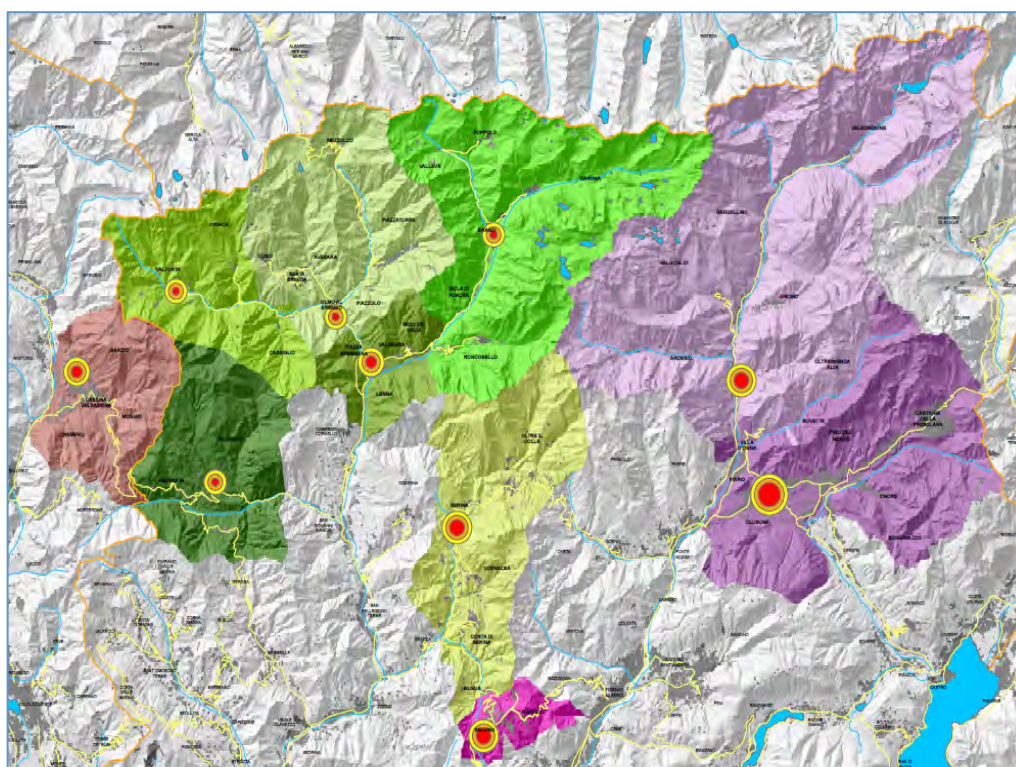
Modes of governance at play in the Alpine Valleys

Traditional governance arrangements in Lombardy are not based on a coordinated approach, in some policy sectors a clear top-down approach dominates which may be described as governing by authority. However, due to the elaboration of a regional territorial plan a change in governance arrangements has occurred. **Governing through enabling** has become the most prevailing mode of governance. The PTRA represents an example of a process led by the regional institution with the purpose of enabling local actors to change their approach to governing the area (governing through enabling).

Other modes of governance can be identified as well, though they are less prominent for the PTRA. The process of PTRA elaboration and approval is, in formal terms, based on self-motivated action undertaken by the local authorities themselves (**self-governing**).

The PTRA Valli Alpine does not provide any financial resources but aims instead to put in place a stable policy platform for governing and distributing future funds (European/ National/ Regional) attracted in accordance with a set of common, shared and sustainable objectives

Figure 2: Map of the 10 specific territorial framework settlements



6 Governance reflections – general overview

The Lombardy Region undertook the elaboration of the *PTRA Valli Alpine* with the purpose of producing a change in the ability of local institutions to deliver policies, seeking thereby to have medium/long term effects on the delivery of the EU 2020's energy efficiency policies. This is for example achieved by establishing a stable shared political platform, which requires local authorities to plan their public interventions by taking into account the long term objectives and strategies of the entire area.

6.1 Change of organisational capacity

From the point of view of the regional institution the elaboration and the subsequent approval of the plan represent a unique opportunity for it to increase its capacity to promote and monitor energy efficiency in the area. Indeed, from the perspective of the regional authorities, the approval of the PTRA by the local authorities will, in medium/long term, increase the number of energy performance certificates in the area. The mechanism designed by the regional authority foresees a rise in the number of energy certificates granted given the opportunities to essentially valorise the existing building stock offered by it. In concrete terms, for example, the PTRA, will launch local projects to set up a short-rent web platform managed by experts from the tourism sector; these projects will, on one hand, offer to the owners a unique opportunity to increase the rent for their houses while, on the other hand, it will oblige them to adopt energy certification for their properties – regional law 24/2006 states that any house to be rented or sold must have gone through the energy certification process.

As regards the local and intermediary authorities involved, at the current stage of the process², the elaboration of the PTRA has produced a significant change in their cultural approach towards the regional institution. Thanks to the PTRA, local authorities have experimented with a different way of relating to the regional authority which is no longer characterised by the passive acceptance of new rules and regulations, but instead is driven by the possibility to debate actively and cooperate towards achieving a common political target.

Furthermore, the elaboration of the PTRA has imposed on the local authorities the need to reflect on long term objectives and strategies for their territories, forcing them to 'move beyond' a typical focus on day-to-day issues. In this respect, the plan has produced a concrete change in the agenda setting function of the local authorities: the need to project themselves across a 'wider' programmatic framework offered them the opportunity to 'discover' (and to put at the top of their local agenda) the challenges and needs common to the entire area.

Once approved, by promoting e.g. the development of the sub-area integrated projects, the plan will undoubtedly also increase both their capacity to attract public resources to the area and the skills contained within the local organisations to coordinate and manage investment projects.

6.2 Major obstacles

During the elaboration process the major obstacle to its success centred on the level of historic mistrust shown by the local authorities towards the regional institution. This was overcome thanks to the particular approach adopted by the Region, characterised by:

- the constant involvement of regional policy actors trusted by the local authorities;
- the support of a scientific expert (University of Bergamo) capable of supporting the process with scientific evidence which substantiated local stakeholder perceptions and their regional vision;

² At the current time of writing the elaboration process – where the plan is drafted - is almost concluded and the process of formal approval by the regional institution is beginning.

- o their 'openness' to accepting suggestions from the intermediary and from local stakeholders. E.g., the PTRA elaboration process offered local authorities the opportunity to express their views in terms of improving the regional regulation governing agro-pastoral areas in mountainous areas. This resulted in the approval by the Regional Government of a decree (valid across the entire regional area), which adopts the indication expressed by the local authorities involved in the PTRA areas;
- o the involvement of regional officers with previous work experience at the local level.

6.3 Main results of the governance changes

The adoption of the *PTRA Valli Alpine* will promote a significant change in the policy culture of the local authorities involved in it. The establishment of this stable shared political platform will, however, require local authorities to plan their public interventions by taking into account the long term objectives and strategies of the entire area.

Accepting the plan, the local authorities agree to adopt common standards and a common approach in the management of their territories (soils, buildings, natural and cultural heritage etc). Moreover, any type of exemption which is sought from the standards and approaches agreed in the plan must be submitted to the regional offices for validation.

Specifically relating to the Europe 2020 policies, from the perspective of the regional authority, the adoption of the plan will produce positive effects in terms of energy efficiency, in particular relating to the massive stock of second homes located in the area.

6.4 Durability

It is already clear that the plan has precipitated a significant change in the perceptions associated with the delivery of public interventions, at least among the local actors involved. Indeed, when interviewed, such actors revealed their understanding of MLG and that the need for it in their region had increased significantly. As such then it is plausible that PTRA has highlighted the need for a change to be made in the way policy is formulated and implemented in Lombardy, particularly in respect of multi-sectoral issues.

7 Lessons learned - successes and pitfalls

In this section the lessons learned will be discussed along the stages of the policy cycle. This provides a structured overview of the governance arrangements' successes and pitfalls when using regional territorial planning as new approach in support of the Europe 2020 energy efficiency target. Along the stages of the policy cycle governance processes and arrangements can be depicted as they evolve over time and how they succeed each other. The lessons learned on the governance arrangements are thus discussed stepwise, starting with the **identification** of needs that feed into the policy **formulation** process and, in an ideal world, are followed by the policy **implementation** stage. The policy cycle concludes with the **accountability** of the described policy.

The approach adopted by the regional institution impacts, in particular, on the **identification** phase of the policy cycle. The elaboration of the PTRA has in fact produced a concrete change in the agenda setting of the local authorities, allowing them to place environmental issues related to the EU 2020 Strategy at the top of the agenda. In other

words, the most important change was in the behaviour of the local actors and stakeholders. The PTRA brings the need to build a common and comprehensive development vision together with the necessity of establishing common ground for collaboration and cooperation.

The key prerequisite beneficial to the modification of the local policy agendas was the definition of a clear institutional framework. For the PTRA this framework was mandated by regional law (regional law 12/2005 and the Regional Territorial Plan approved in 2010). This element is very important because it clearly delineates the 'rules of the game' to all the participants and in this way it avoids the risk that local authorities feel 'overwhelmed' by the actions of the regional institution.

The main lesson learned based on regional territorial planning in Alpine Valli in the identification phase is in general the importance of this step. The multi-level governance framework should be fixed from the outset. This framework can be very demanding in relation to the need to balance different points of view. It shall only be adopted when there is clear added value, when institutional actors at different levels of government share legal and institutional competences and when different sectors are involved. A multi-level governance approach should be avoided when these pre-conditions are absent.

KEY SUCCESS FACTORS: Clear institutional framework with a detailed description of the roles of the different actors involved is a success factor.

POSSIBLE PITFALLS: The PTRA does not have at its disposal specific funds.

In the **formulation** phase it is crucial to build ownership among the political decision makers belonging to different levels of government. The experience of the PTRA process shows that the involvement of politicians is important, especially in the setting of priorities and building of common visions beyond the negotiation and bargaining phases. Firstly, since politicians are strongly associated with the 'visibility' function, they ensure that political commitment is given to the process thus generating the required publicity. This helps to illustrate to the various stakeholders the importance and the consistency of the process. Furthermore, the regional policy actors also have a very important role to play as 'facilitators' between the different levels of government. In order to successfully involve them however, it is necessary to build a consensus around the notion that 'ownership' of the process is indispensable and that MLG should not only be seen as a technical solution but also as a political opportunity.

The University also plays an important role primarily for two reasons:

- 1) it provides the scientific background, e.g. the evidence base around which all of the reflections and debates revolve. This ensures that a common background of understanding exists making it easier to 'identify' and 'focus' on the core issues.
- 2) The University developed a number of thematic maps. This was useful both in terms of better explaining the context and the analytical findings. This also became a concrete tool which was subsequently used to build and share solutions. For example, two mayors, when the housing situation across their common administrative border was visualised, recognised the necessity for a joint regulation.

Multi-level governance should be **planned and organised in detail** by taking into account the different specific aspects: communication, accountability, technical tools. Moreover, the strategic proposal should be clearly defined. PTRA shows that individual administrations are not monoliths suggesting that the emergence of a common consensus / view is not *per se*, a given. Thus, particularly in relation to Multi-level governance, which features a plurality of sectors and actors, the leading administration should initially attempt to build, internally, a clear strategic vision and shared methodology, and only when this is achieved should they propose it to the territory as a whole.

The **political ownership** of the Multi-level governance building process is a *conditio sine qua non*. It is crucial in terms of visibility and commitment and it allows for a true multi-sectoral approach. Moreover, the politician is likely to be a good candidate to act as a facilitator between the different levels of government and the different sectors of the administration. It is however important that the 'dialogue' established between the different actors should be based on a **common analysis** which provides a picture of the present context and any possible future scenarios. This analysis should be seen by all as credible and performed by a 'neutral' actor whose competences and scientific capabilities are widely recognised by the other actors involved. Having a common understanding of the status quo also helps in the identification of common solutions.

The articulation of the process in terms of working groups which have a different scale (general - sub area) allows for the overcoming of trade-offs between 'general strategic' and 'specific operational'. Moreover, it induces different actors to modify their roles. Thus, the mountain communities at the PTRA level are the main interlocutors for the region representing the 'particular interest'. In the sub area, the mountain communities modify their attitude and play the role of 'consensus builders' for the municipalities. This allows the various actors to have different perspectives and not to be limited to one single role.

The use of instruments such as maps allows for the visualisation of concrete issues thus avoiding misunderstandings over differing interpretations leading to the loss of time and/or other resources. Furthermore, the use of the maps allows for the identification of practical and operational solutions and pushes all the actors to adopt an active attitude.

The main weakness of the plan lies in the limited effectiveness of the regional working groups established with the regional sectoral DGs impacted by the plan. The regional working groups have in fact proved to be extremely important in allowing for the involvement of all concerned DGs in the elaboration of the PTRA, but only partially effective in communicating to the sectoral DGs all of the opportunities offered by the adoption of a MLG approach to territorial governance. This is due on the one hand to the persistence in the regional administration of the traditional 'top-down' culture of government and on the other to the difficulty of identifying suitable profiles for the participants to the regional working group.

It is however probable that during the process of identifying the participant to the regional working group, attention has generally focused on the issue of sectoral/technical skills while the importance of involving regional managers with the appropriate administrative competences and capacities has been underestimated.

The main lesson learned in the formulation phase of the regional territorial plan is the fact that the initial step should be based on the identification of scientifically-defined common background. This allows a common vision and avoids misinterpretations and misunderstandings. Besides the inclusion of the scientific community political ownership is also important in this phase; political representatives should be fully active as facilitators in the process.

KEY SUCCESS FACTORS: Significant involvement of regional policy actors trusted by the local authorities; in depth analysis of the area carried out by a trusted scientific partner; specific methodologies for involving local authorities (working groups).

POSSIBLE PITFALLS: Limited effectiveness in the involvement of the regional sectoral DGs impacted by the PTRA (which may have difficulty abandoning the traditional top-down approach).

Regarding the **implementation** and the effectiveness of the policies foreseen by the PTRA, most of the desired medium/long term energy efficiency effects will depend on the capacity of the regional and local authorities to support the elaboration and the development of local projects capable of attracting regional/national /European funds. The sustainability and the consequent effectiveness of the *PTRA Valli Alpine* will largely depend on its capacity to produce, in the short term, some tangible territorial effects.

The use of maps is an important lesson learned in relation to the implementation phase of regional territorial planning. Maps visualise the situation and are helpful in proposing common solutions

KEY SUCCESS FACTORS: The adoption of a multi-sectoral approach allowed for the convincing of local authorities to undertake actions that were likely to have an effect on energy efficiency.

POSSIBLE PITFALLS: The effectiveness of the PTRA is related to the capacity to attract, in the short term, funds which ultimately will precipitate policy actions which produce tangible territorial effects across the territory.

A section of the *PTRA Valli Alpine* is dedicated to the arrangements in respect of reporting on and **monitoring** the progress of the measures and actions undertaken at the local level. These arrangements are planned in order to facilitate subsequent evaluation and communication activities. At this stage of the elaboration process the specific measures adopted (e.g. type of indicators) is still under discussion and, as such, have not been detailed in the current version of the PTRA.

A lesson learned in relation to accountability in the Lombardy case is to include and start thinking about clear monitoring at an early stage in the process. The challenges regarding monitoring of local authorities should be taken into account in this regard.

KEY SUCCESS FACTORS: Aim to ensure effective monitoring by adopting arrangements which are not overly burdensome on the local authorities.

POSSIBLE PITFALLS: By attempting to address every request made by the local authorities the risk is that a monitoring system will be put in place which is only partially effective.

8 References

Documents

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