The role of the local and regional authorities in the implementation of Europe 2020 – analysis of 2016 National Reform Programmes
# Contents

**Executive summary** .................................................................................................................. 1

1 Introduction .................................................................................................................................. 13

2 Methodology ............................................................................................................................... 15

3 Summary report on main findings ............................................................................................... 21

3.1 Total scores of LRA involvement in the NRP per country ......................................................... 22

3.2 Involvement of LRAs in the NRP .............................................................................................. 24

3.3 Obstacles to Investment ............................................................................................................ 27

3.4 Partnership and Multi-Level Governance (MLG) ...................................................................... 28

3.5 Territorial dimension ................................................................................................................ 30

3.6 Comparative analysis ................................................................................................................. 31

4 Conclusions .................................................................................................................................. 37

5 References ..................................................................................................................................... 39

Annex 1: Country Fiche template .................................................................................................... 41

Annex 2: Assessment in detail .......................................................................................................... 44

Involvement of LRAs in the NRP .................................................................................................. 44

  Preparation of the NRP ................................................................................................................ 44

  Implementation of the NRP .......................................................................................................... 44

  EU 2020 ......................................................................................................................................... 46

  Administrative capacity ................................................................................................................ 47

Obstacles to Investment .................................................................................................................. 47

  Territorial perspective .................................................................................................................. 47

  Role of LRAs ............................................................................................................................... 48

  Related policies ............................................................................................................................ 49

Partnership and MLG ....................................................................................................................... 50

  Coordination among the tiers of administration ....................................................................... 50

  Cooperation models ...................................................................................................................... 51

  Wider partnership (multi-actorship) ............................................................................................ 52

  Institutional capacity-building ................................................................................................... 53

Territorial dimension ....................................................................................................................... 53

  Challenges and needs .................................................................................................................. 53

  Impact and coverage .................................................................................................................... 54

  Specific policies ............................................................................................................................ 55

Annex 3: Total scores of LRA involvement ...................................................................................... 57
List of Tables
Table 1. Map illustrating the scale of LRA involvement in the EU 28 ............ 15
Table 2. Dimensions of the analysis and key evaluation questions ............... 21
Table 3. Proposal for scoring on the quality of information on LRAs in the
          NRP ........................................................................................................... 22
Table 4. Map illustrating the scale of LRA involvement in the EU 28 ............ 25
Table 5. Country Fiche Template ...................................................................... 40
Table 6. Total scores of LRA involvement in the NRP preparation per
country and dimension of the analysis .............................................................. 56
Glossary of terms

CEEC    Central and Eastern European Countries
CoR     Committee of the Regions
COTER   Commission of Territorial Cohesion Policy of the CoR
CSR     Country-specific Recommendations
CSO     Civil Society Organisation
EC      European Commission
EP      European Parliament
ESIF    European Structural and Investment Funds
EU-12   Bulgaria, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia
EU-15   Austria, Belgium, Finland, France, Denmark, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands, Portugal, Spain, Sweden, United Kingdom
LRA     Local and Regional Authorities
MS      Member States
MLG     Multi-level Governance
MRK     Marginalised Roma Communities
NRP     National Reform Programme
OECD    Organisation for Economic Co-operation and Development
OP      Operational Programme
OtI     Obstacles to Investments
PA      Partnership Agreement
SCP     Stability and Convergence Programmes
SGP     Stability and Growth Programmes
ToR     Terms of Reference
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full term</th>
</tr>
</thead>
<tbody>
<tr>
<td>AT</td>
<td>Austria</td>
</tr>
<tr>
<td>BE</td>
<td>Belgium</td>
</tr>
<tr>
<td>BG</td>
<td>Bulgaria</td>
</tr>
<tr>
<td>CY</td>
<td>Cyprus</td>
</tr>
<tr>
<td>CZ</td>
<td>Czech Republic</td>
</tr>
<tr>
<td>DE</td>
<td>Germany</td>
</tr>
<tr>
<td>DK</td>
<td>Denmark</td>
</tr>
<tr>
<td>EE</td>
<td>Estonia</td>
</tr>
<tr>
<td>EL</td>
<td>Greece</td>
</tr>
<tr>
<td>ES</td>
<td>Spain</td>
</tr>
<tr>
<td>FI</td>
<td>Finland</td>
</tr>
<tr>
<td>FR</td>
<td>France</td>
</tr>
<tr>
<td>HR</td>
<td>Croatia</td>
</tr>
<tr>
<td>HU</td>
<td>Hungary</td>
</tr>
<tr>
<td>IE</td>
<td>Ireland</td>
</tr>
<tr>
<td>IT</td>
<td>Italy</td>
</tr>
<tr>
<td>LV</td>
<td>Latvia</td>
</tr>
<tr>
<td>LT</td>
<td>Lithuania</td>
</tr>
<tr>
<td>LU</td>
<td>Luxemburg</td>
</tr>
<tr>
<td>MT</td>
<td>Malta</td>
</tr>
<tr>
<td>NL</td>
<td>Netherlands</td>
</tr>
<tr>
<td>PL</td>
<td>Poland</td>
</tr>
<tr>
<td>PT</td>
<td>Portugal</td>
</tr>
<tr>
<td>RO</td>
<td>Romania</td>
</tr>
<tr>
<td>SE</td>
<td>Sweden</td>
</tr>
<tr>
<td>SI</td>
<td>Slovenia</td>
</tr>
<tr>
<td>SK</td>
<td>Slovakia</td>
</tr>
<tr>
<td>UK</td>
<td>United Kingdom</td>
</tr>
</tbody>
</table>
Executive summary

Context
Within the context of the European Semester the EU Member States (MS) have delivered their National Reform Programmes (NRP) in April 2016\(^1\). The programmes are based on the priorities defined by the European Commission (EC) in the Annual Growth Survey.

According to the Committee of the Regions (CoR), NRPs should follow a multi-level governance (MLG) approach which means being designed and implemented by all tiers of government in partnership. This was outlined in the Athens Declaration on the mid-term review of Europe 2020, presented at the 6\(^{th}\) Summit of European Regions and Cities in March 2014. The Committee of the Regions advocates this approach which also includes the possibility of negotiated arrangements such as Territorial Pacts and that all public authorities relevant for Europe 2020 (national as well as local and regional authorities – LRA) follow coordinated and integrated agendas.

Methodology

The research outlined in the Study analyses all 28 NRPs for 2016 and if necessary their annexed documents. The report should provide the CoR at the end of the day with a structured and comparable analysis of the NRP content focusing on the role of the Local and Regional Authorities (LRA) and the issues raised by the Athens Declaration.

The template of a Country Fiche (see Annex 1) is the model to rank the quality of information provided in the NRP according to a quite simple and straightforward scoring system. The Consultant has introduced a rough classification with three stages, following the logic that the more concrete and concise the information the more reflected is the integration in the NRP and thus the awareness for the role of LRAs. The scores range from 0 up to 2 points per dimension, in which 0 means that no reference to LRAs is included, 1 stands for an explicit but general reference to LRAs and a score of 2 shows a specific reference to LRAs.

The review of the National Reform Programmes for 2016 focused on four key points:

\(^1\) European Commission. Website Europe 2020. 
http://ec.europa.eu/europe2020/making-it-happen/country-specific-recommendations/index_en.htm
References to the existence of territorial disparities with respect to social, economic and environmental aspects – i.e. to which extent the NRP has a territorial dimension.

The involvement of LRAs in the design and implementation of the NRP – highlighting also good practice in the implementation process of the Europe 2020 Strategy and the European Semester.

Obstacles to Investments (OtI) and related policies to overcome them – how and to what extent the NRP deal with this issue.

Partnership and multi-level governance – do these principles take effect on the design and implementation of the NRPs and EU 2020.

Consequently, the Study evaluated the NRPs according to the following 14 dimensions, allowing for a maximum overall score of 28 points:

**Involvement of LRAs in the NRP**

- Preparation: representation of local and regional actors in the preparation process (0/1/2).

- Implementation: clear references to the role of local and regional actors in the implementation of the NRP and the Country-specific Recommendations (CSR) (0/1/2).

- Europe 2020: description of role of LRAs in the pathway for implementation of Europe 2020 (0/1/2).

- Administrative capacity of LRAs related to the implementation of the NRP and the EU 2020 pathway: reference to the capacities of LRAs in case there is a clear-cut role of the local and regional level stated (0/1/2).

**Obstacles to Investment**

- Territorial perspective: differentiated picture related to investment needs at local and regional level (0/1/2).

- Role of LRAs: review of the governance issue, i.e. the framework for investment at LRA level (0/1/2).

- Related policies: existence of policy levers which support investment activities of LRAs (0/1/2).
**Partnership and MLG**

- Coordination among the tiers of administration: clear reference to coordination or cooperation frameworks between the national, regional and local level (0/1/2).

- Cooperation models: reference to specific models of cooperation such as Territorial Pacts (0/1/2).

- Wider partnership (multi-actorship): involvement of a wider partnership (social partners, Civil Society Organisations (CSO) etc.) with a clear-cut function in the implementation process (0/1/2).

- Institutional capacity-building: clear point on institutional capacity-building anchored in the NRP (0/1/2).

**Territorial dimension**

- Challenges and needs: reflection of territorial challenges or needs referring to certain LRAs or types of LRAs or territories (0/1/2).

- Impact / Coverage: reflection of the impact of envisaged policy measures on certain territories respectively LRAs (0/1/2).

- Specific policies: inclusion of specific measures or programmes targeting types of LRAs respectively territories (0/1/2).

Table 1 below shows the overall sum of all scorings per NRP.

**Territorial disparities**

These are territorial dimensions reflecting on 1) challenges and needs concerning certain LRAs or types of LRAs or territories, 2) the impact and coverage of policy measures on certain territories or LRAs and 3) specific policies targeting types of LRAs or territories.²

It is important to note that generally speaking the NRP is not meant as a policy document which is specifically focusing on a territorial dimension. Policy actors at national level do have the key role in drafting the document and the perspective is mostly on overarching policy approaches and corresponding challenges. Consequently, a high variability of scores can be observed within the

² The three dimensions have only been evaluated since the 2015 NRPs.
questions concerning the territorial dimension. However, the large majority of NRPs does reflect a territorial dimension though the rationale and approach differ quite strongly.

A visible group of MS (12) outlines specific challenges for types of regions or even specific regions are mentioned in the NRP (2015: 15). The challenges addressed in the NRP range from housing over unemployment and transport issues to education. Typical examples are housing challenges in specific NL provinces (Zeeland, Overijssel, and Amsterdam), the regional labour market situation in Ida-Viru County (EE) or deficits regarding professional skills and education levels in underperforming regions in the North of England and in Scotland.

The majority of the programmes (21) do include at least one or more elements which can be considered as specific policy approach for certain regions (2015: 16). The most frequent reference is to social inclusion (8). Further common topics are employment initiatives in areas most affected by unemployment (6) and transport issues (6). Examples include support programmes to Marginalised Roma Communities (MRK) in most deprived parts of SK and the transport investment plan in UK explicitly focussing on the connectivity of northern parts of England (connection Leeds – Manchester) as well as on Greater London (‘Transport for a World City’). Peripheral rural regions are an issue in the Programmes of PT and SI.

For a small group of MS – seven in total - the NRPs include references to the impact of envisaged measures on specific territories (2015: 11).

Involvement of the LRAs in the design and implementation of the NRPs

The Northern and central European countries as well as some peripheral countries show a strong involvement of LRAs in the preparation process of the NRP reports. Several NRPs explicitly mention the involvement of actors at all levels of administration as well as social partners and civil society in the preparation process. Most detailed descriptions are given in the programmes of DE, DK, FR, NL and SE; all EU-15 MS, mostly with a long tradition of regional self-governance. The NRPs, often laid out in a dedicated chapter, mention LRA involvement for instance as a consultation process or bilateral exchange with the Commission, or more specific like in the form of a Contact Committee.

The descriptions of the role of LRAs in the preparation of the NRP show a quite stable position over the years – starting from 17 NRPs (63%) in 2011 to 20 NRPs (71%) in 2015. In 2016, 16 NRPs (57%) include such references.
All NRPs include references to the role of LRAs in the implementation of the NRP\(^3\).

The clear majority of MS (24) provides references to specific policy areas where LRAs do have a role in implementation (2015: 19). It is interesting to note that the most frequently mentioned policy fields are:

- social inclusion (12),
- taxation, public finances public debt (10),
- education (8),
- labour policy/employment (7),
- industrial policy, business development (7).

An example would be CZ where deprived areas with marginalised (socially excluded) population shall be addressed with the Strategy for Combating Social Exclusion for the period 2016-2020. Another typical example is IT where the contribution of local authorities to the spending review, local taxes, cadastral values, real estate assets is mentioned in the context of reduction of public debt.

These topics are all connected with the economic crisis and its main effect: unemployment with its social and budgetary consequences resp. the attempts to its reduction via education and establishment of new businesses.

A further aspect is that two of the programmes explicitly mention migration and refugees as policy topics (DE, SI as two of the countries that have been strongly affected by the refugee crisis of 2015/2016).

To some extent the responses related to the role of LRA in attaining the EU 2020 targets mirror those for the previous question related to the NRP. For 2016 a total of 20 NRPs (71\%) including direct references have been identified\(^4\). The number of references to specific policy areas is slightly smaller (18; 2015: 16) than for the previous key evaluation question. The policy areas most frequently mentioned are:

- education (15 out of 18!),
- social inclusion (10),
- labour/employment (9),
- energy efficiency (7),
- RTDI (5).

---

\(^3\) Since 2011, the percentage has remained high, oscillating between 100 \% (2011) and 82 \% in 2015.  
\(^4\) Until now, the highest percentage had been reached with the 2014 NRPs (68\%).
A good example is BE where the local level is specially mentioned with regards to child poverty reduction measures (mainly apprenticeship schemes), providing shelter to homeless people, reducing school drop-out rates, and fighting long-term unemployment. Another example are Scotland’s “Schools for the Future” comprises 112 new schools in Scotland, built in partnership with local authorities.

As compared to 2015, issues of education and employment policy have become more prevalent. Again it is interesting that two NRPs mention the integration of refugees, with DE and SE again two of the countries mainly affected by the large refugee flows since summer 2015.

**Obstacles to investment and related policies to remove them**

In general, a high variability of scores can be observed within these questions. Similar to the territorial dimension discussed above, they represent rather specific evaluation criteria that are covered to widely differing extents in the individual NRPs.

Specific references to the territorial perspective on obstacles to investments are shown in about one third of the NRPs (7), mainly EU-15 countries with a long tradition of regional self-governance (BE, DE as federations; IT, SE, PT, UK). The only EU-13 MS with specific references is SI where a detailed local self-government strategy is presented.

For instance, BE describes a tax shift which aims to introduce a shift towards the wealthier parts of the country. The tax shift is said to have an impact for the regional as well as local entities, but that these are handles and described within each administrative level. Furthermore, a chapter is dedicated to investments and within the annexes 1-4 dedicated to the Regions, the role of municipalities in specific measures is described. Also DE clearly differentiates between the obstacles to investment according to a territorial perspective. PT gives special importance to low density peripheral areas, which are shown to have specific needs for investment. The UK NRP states that the programme on infrastructure investment should i.a. target transport infrastructure bottlenecks which are explicitly addressed (Manchester, Leeds, Greater London). Financial problems of municipalities in performing the tasks assigned to them (sinking revenues from income tax due to high unemployment) and the respective remedies planned are discussed in detail in the NRP of SI.

---

5 The questions under this heading have been introduced with this report and do not yet have reference data for past years.
The role of LRAs related to investment policies respectively obstacles to investment is covered by specific references in about one third of NRPs. To give a well-known example, there exists a system of support for economically underdeveloped regions as well as a system of fiscal equalisation based on the federal constitution of DE (“Finanzausgleich”). Other examples are the issue of expenditure ceilings (DK), taxation (HR) or financing for LRAs (LV, PT).

About half of NRPs include specific references to policies related to investment challenges covering a wide range of policy topics from transport and digital infrastructure over housing to education. Examples include the Capital Plan in IE focussing on broadband in rural areas, spatial planning guidelines for local governments in EE adhering to the policies of energy efficiency and sustainable development or the ‘Organised land’ programme in HR establishing an effective land administration system in order to encourage investment processes and improve the functioning of real estate markets. The role of EU Cohesion Policy is explicitly mentioned in three cases in the explicit context of policies fostering investment (EL, IE, LT).

**Partnership and multi-level governance including related issues of administrative capacity**

The dimension partnership and MLG shows relatively low variations between the different MS indicating a basic acknowledgement of the principles of MLG. Regarding specific references to coordination or cooperation frameworks between the national, regional and local level (18; 2015: 16), the most frequently mentioned areas are:

- labour/employment (8),
- social inclusion (5),
- education (4),
- administrative issues (4).

For example, the Annex of the NL document lists several joint initiatives of LRAs, the national level and the social partners concerning employment (Technology Pact, Sectoral Plans and Crisis Action Team, The Workroom and the Regional Job Centres). An example for social inclusion policies bringing together the national and the local levels is related to social aid law in LU: During 2015, the 30 Social Offices gave out a total of €2.9 million in nonrepayable financial aid. The measure will be allocated an annual budget of approximately €17 million, 50% of which is furnished by the State and 50% by the municipalities. In DE and SI, refugee policy is mentioned.
The further references open a broad variety of topics, same as in the last year. Labour market and employment policies were also ranked first in 2015 (8).

Reference to specific models of cooperation is made in 15 cases (2015: 17). One example is the so-called Youth Guarantees – an approach mentioned in two Programmes (BE, FI) which targets the issue of youth employment. For instance, the Brussels Youth Guarantee Scheme is to be implemented through cooperation agreements between the Region and the French and Flemish Community institutions relating to cross-cutting employment-training policies. Also in ES, IE, NL, SE cooperation models focus on employment initiatives. Another common topic is education (6). E.g. IE intends to establish Regional Skills Fora as a mechanism for enterprise and education and training providers to work together in building the supply of skills for their regions.

In 23 cases specific reference is made to the role of wider partnerships in the context of policies which are relevant for LRAs (2015: 20). A quite specific feature is the strong focus on the inclusion of the social partners in 12 programmes (BE, DE, FR, HU, IT, LU, LV, MT, NL, PL, RO, SI). A large number of programmes include references to specific policy areas where participatory approaches have stronger role: labour market and labour policy, employment and social policies rank among those policy areas.

In three MS (EE, HR, PT) public sector reform is obviously subject to an intense debate – thus the references to the issue of administrative capacities are comparatively comprehensive. In general one can state that administrative capacity is an issue for the NRP in those MS with an ongoing public sector reform such as EE, ES, FR, HR and PT, although LRAs are not mentioned specifically in all cases. In 17 MS there is an issue with a view to specific policy aspects, e.g. procurement and utilisation of ESIF in EL and SK, a much higher number than in the 2015 NRPs (7).

In 12 NRPs, the intended approach to capacity-building includes a reference to LRAs (2015: 12). Recurring issues are the judicial system (3), described as specific training for judges or in the form of strengthening the capacities and improving management in public administration, which will be used in the justice system, as well as education (3). An example is the “Action Plan on Strengthening Capacity and Developing the Competences of Human Resources of the Judicial Power and Law Enforcement Institutions for 2015-2020” in LV. DE mentions education measures regarding refugees and immigrants (municipal coordinators - “kommunale Koordinatoren/-innen”). The 2015 NRPs had rather focused on social policies and childcare (5), employment (3) and the fight against corruption (3).
Overall scores

To give a first indication of the scale of LRA involvement in the NRPs, the below Table 1 shows the overall sum of all scorings per NRP according to the evaluation grid described above in the “Methodology” section.

Table 1. Map illustrating the scale of LRA involvement in the EU 28

The picture of the sum of overall scores reveals a marked diversity. A considerably strong involvement of LRAs is on the one hand side shown by some Northern and central European EU15-countries with strong traditions of regional self-government, among them the three genuine federations within the EU (AT, BE, DE) as well as UK and SE. This mirrors the results of the 2015 study clearly indicating a sustained strong role of LRAs in the political structures of these countries. On the other hand side, some peripheral countries
show strong involvement of LRAs in their NRPs, on the Mediterranean side IT and PT and on the CEEC side mainly HU, LV, RO and SI.

High scorings of some peripheral countries also have been noted on the 2015 study; however most of the MS concerned have changed. This is most noticeable for EL, which lost points compared to 2015 and scaled down two categories. In the other direction, e.g. HU scored better in 2016 and rose two categories. Only LV and RO had already shown similar high scorings in 2015 with LV having carried out a local government reform in 2009 and a decentralisation process underway in RO\(^6\) probably resulting in detailed descriptions in the NRP reports. The results seem to indicate that, with a few exceptions, LRA involvement in Mediterranean and CEE MS is not anchored as deeply in the political processes as in the first group of MS resulting in fluctuations caused by contingencies changing every year.

In general, countries with ongoing or recently implemented administrative reforms show a tendency for a more intense coverage of LRA involvement than comparable countries without such reform programmes (e.g. DE, EE, PT, SI).

The overall scorings are on the average slightly lower than last year. Taking into account a certain inevitable room for interpretation inherent to the underlying comparative approach, this need not necessarily be interpreted as a sign of stagnation. However, the trend should be closely followed in the next years in order to verify if it might reflect an actually shrinking role of LRAs in the wake of increasing budgetary pressure at national and regional levels.

**Overview of topics**

The prevalent recurrent topic covered in the NRPs is social protection. It is by far the issue most often cited in connection with the involvement of LRAs. The topic has a clear territorial dimension since it concerns primarily regions with high unemployment, often threatened by a “vicious circle” of shrinking or ageing population, rising social expenses, infrastructural deficits and diminishing economic base. Other topics recorded in last year’s NRPs like health care tend to be overshadowed.

In general, the aftermath of the economic crisis leaves its mark on the issues where LRA responsibilities are explicitly involved. Main topics are on the one hand side the constraints put on public budgets with their consequences for LRAs, on the other hand side measures to ease unemployment like social

\(^6\) Council of European Municipalities and Regions (CEMR), Decentralisation at a crossroads - Territorial reforms in Europe in times of crisis, Brussels, October 2013, p. 40 and 50.
payments, employment initiatives, education programmes and improvements to the business environment.

The large refugee flows since summer 2015 leave their mark in the NRPs of some of the most affected countries (DE, SE, SI). The budgetary and financial consequences of the integration efforts will start materializing this year.

**Conclusion**

Although this year’s results do not show a marked progress, one might take the cautious conclusion that the overall effort put into the development of the NRPs has been increasing in the mid-term and that the sustained efforts to anchor LRAs more firmly in the NRP are taking effect. However, significant variations between the years show that there seem to be also issues which are treated once and not recurrently in every reporting year.
1 Introduction

Within the context of the European Semester the EU Member States (MS) have delivered their National Reform Programmes (NRP) in April 2016\(^7\). The programmes are based on the priorities defined by the European Commission (EC) in the Annual Growth Survey. The Commission says about the NRPs:

*All Member States have committed to the Europe 2020 strategy. However, each country has different economic circumstances and translates the overall EU objectives into national targets in its National Reform Programme – a document which presents the country’s policies and measures to sustain growth and jobs and to reach the Europe 2020 targets. The National Reform Programme is presented in parallel with its Stability/Convergence Programme, which sets out the country’s budgetary plans for the coming three or four years.*

According to the CoR, NRPs should follow a multi-level governance (MLG) approach which means being designed and implemented by all ties of government in partnership. This was outlined in the Athens Declaration on the mid-term review of Europe 2020, presented at the 6\(^{th}\) Summit of European Regions and Cities in March 2014. The Committee of the Regions (CoR) advocates this approach which also includes the possibility of negotiated arrangements such as Territorial Pacts and that all public authorities relevant for Europe 2020 (national as well as local and regional authorities – LRA) follow coordinated and integrated agendas. The research outlined in the following analyses all 28 NRPs for 2016 and if necessary its annexed documents. The report should provide the CoR at the end of the day with a structured and comparable analysis of the NRP content focusing on the role of the LRAs and the issues raised by the Athens Declaration.

The review of the National Reform Programmes for 2016 focused on four key points:

- References to the existence of territorial disparities with respect to social, economic and environmental aspects – i.e. to which extent the NRP has a territorial dimension

- The involvement of LRAs in the design and implementation of the NRP – highlighting also good practice in the implementation process of the Europe 2020 Strategy and the European Semester.

- Partnership and multi-level governance – do these principles take effect on the design and implementation of the NRPs and EU 2020.

- Obstacles to Investments (OtI) – how and to what extent the NRP deal with this issue
2 Methodology

The analysis was carried out allowing as far as possible a comparative approach between the current situation and the years before (from 2011 onwards). The final report comprises to what extent the involvement of LRAs has improved or worsened.

The report follows the structure described in the Inception Report:

- Executive Summary;
- Introduction;
- Methodology;
- Summary Report on findings;
- Map illustrating the scale of LRA involvement in the EU 28;
- Conclusions.

Review of the EC Guidance on the contents and format of the NRP

The EC has developed a concise guidance for the NRPs where the major expectations concerning the NRPs are laid down:\(^8\)

- The main focus is on the implementation of the country-specific recommendations (CSR).
- The implementation of Europe 2020 is the second focus.
- For the NRPs 2014 the EC has requested a section on the approach to ESIF in the period 2014-2020 and the consistency with the national Europe 2020 targets.

For the task about the OtI, the Consultant has taken the CoR view published in the survey on sub-national governments investment in infrastructure conducted together with the Organisation for Economic Co-operation and Development (OECD) into consideration. The 2015 survey targeted almost 300 representatives from 255 regions, cities, counties and municipalities. The results were debated by OECD and the Commission of Territorial Cohesion Policy of the CoR (COTER) in Brussels in December 2015.

“This first joint survey reveals governance problems are as relevant as gaps in financing. The fall in investment is due to a fall in public funding. It is also the

\(^8\) European Commission, Guidance on the content and format of the National Reform Programmes, October 2013, Brussels, p. 5.
result of a lack of coordination among national, regional and local governments in planning and funding infrastructure projects which is holding up delivery by private contractors. We need to significantly improve collaboration among governments, the private sector and universities to deliver results and stir innovation in the sector," said the President of the Committee of the Regions, Markku Markkula.9

Furthermore the issue about OtI has been covered by using synergies with the CoR study “Obstacles to Investments and local and regional level” elaborated by the Consultant in parallel to this research.10

According to the above mentioned Guidance for NRPs a specific section should be dedicated to institutional issues and the involvement of stakeholders – a specific reference to LRAs is explicitly requested:

How regional and local authorities (as relevant, depending on the division of competencies in individual Member States) were involved in the preparation of the NRP and in the implementation of the past guidance and commitments. Good practice examples on the implementation process of the Europe 2020 strategy and the European Semester at regional and local level may also be included.

In accordance with the Guidance the notion of disparities can most probably be found in the requested section on the macro-economic impact of structural reforms.

In general NRPs should be closely and consistently interlinked with the Stability and Growth / Convergence Programmes (SGP / SCP). Thus in case of lack of crucial information also these programmes have been consulted.

Operational guidelines for the analysis of the 2016 NRP

It is important to point out that:

- The actual scope of involvement in the implementation of the NRPs is defined by the political-administrative system of each MS.

- These systems tend to be persistent and change processes towards decentralisation tend to be mid to long-term processes as can be seen from the examples of CZ, SK and PL which have shown relatively dynamic developments in the past decade

---

10 Framework contract No CDR/DE/111/2014/1, specific contract No 6200.
The analysis of the NRP 2015 one year ago showed a picture of LRA involvement across Europe revealing a marked diversity. For instance the Northern and central European countries as well as some peripheral countries had a considerable strong involvement of LRAs in the NRP reports. This research has also been done for the 2016 NRP including the Map about total scores of LRA involvement in the NRP per country.\textsuperscript{11}

The template of a Country Fiche in the Annex 1 is the model to rank the quality of information provided in the NRP according to a quite simple and straightforward classification with three stages.

The following table outlines our understanding of the dimensions of the analysis and the key evaluation questions to be answered.

\textbf{Table 2. Dimensions of the analysis and key evaluation questions}

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Key evaluation questions</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>\textit{Involvement of LRAs in the NRP}</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation</td>
<td>Representation of local and regional actors in the preparation process - does the NRP include clear and explicit reference to the contribution in the process?</td>
<td>It is evident that the more clear and explicit the reference is the better.</td>
</tr>
<tr>
<td>Implementation</td>
<td>Is the role of local and regional actors in the implementation of the NRP and the CSR clearly stated; i.e. concise references to:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>▪ specific policy fields,</td>
<td></td>
</tr>
<tr>
<td></td>
<td>▪ financing,</td>
<td></td>
</tr>
<tr>
<td></td>
<td>▪ other policy levers.</td>
<td></td>
</tr>
<tr>
<td>Europe 2020</td>
<td>Role of LRAs in the pathway for implementation of Europe 2020?</td>
<td>Here country-specific recommendations could be taken into account.</td>
</tr>
<tr>
<td>Capacity of LRAs</td>
<td>In case there is a clear-cut role of the local and regional level stated – does the NRP or any secondary document refer to the capacities of LRAs?</td>
<td></td>
</tr>
</tbody>
</table>

\textsuperscript{11} The role of LRA in the implementation of Europe 2020 – analysis of the 2015 NRP. Executive Summary. Metis GmbH, July 2015.
<table>
<thead>
<tr>
<th>Dimension</th>
<th>Key evaluation questions</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Obstacles to Investments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Territorial perspective</td>
<td>Are the obstacles to investments territorially differentiated?</td>
<td></td>
</tr>
<tr>
<td>Role of LRAs</td>
<td>Have the authorities a role allowing initiatives to remove obstacles to investments?</td>
<td></td>
</tr>
<tr>
<td>Related policies</td>
<td>Are there mentioned related policies for removing obstacles to investments?</td>
<td></td>
</tr>
<tr>
<td><strong>Partnership and multilevel governance</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordination among the tiers of administration</td>
<td>Clear reference to coordination or cooperation frameworks between the national, regional and local level?</td>
<td>As a first stage of consideration related to MLG.</td>
</tr>
<tr>
<td>Cooperation models</td>
<td>Reference to specific models of cooperation such as Territorial Pacts or other forms of cooperation in the implementation of the NRP or Europe 2020?</td>
<td>Major point is that cooperation should be target-oriented – models testify the will to experiment.</td>
</tr>
<tr>
<td>Wider Partnership (multi-actorship)</td>
<td>Reference to the involvement of a wider partnership (social partners, CSOs etc.) with a clear-cut function in the implementation process.</td>
<td></td>
</tr>
<tr>
<td>Institutional capacity-building</td>
<td>Clear point on institutional capacity-building anchored in the NRP?</td>
<td>Active approaches to capacity-building can demonstrate a commitment to MLG.</td>
</tr>
<tr>
<td><strong>Territorial Dimension of the NRP</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Challenges and needs</td>
<td>Does the NRP reflect territorial challenges or needs referring to certain LRAs or types of LRAs or territories?</td>
<td>The basis to anchor a territorial dimension.</td>
</tr>
<tr>
<td>Impact</td>
<td>Does the NRP reflect the specific impact of the policy measures it proposes on certain territories respectively LRAs?</td>
<td>A second step is to include an impact assessment since the impact of sectorial approaches might differ between territories.</td>
</tr>
</tbody>
</table>
### Dimension | Key evaluation questions | Comments
--- | --- | ---
Specific policies | Does the NRP include specific measures or programmes targeting types of LRAs respectively territories? | The most obvious territorial dimension.

*Source: Committee of the Regions*\(^{12}\), own considerations.

The Country Fiches follow the structure in the Table 2 on dimensions and key evaluation questions. The Consultant has introduced a rough classification of the elements found in the NRP, e.g. in three stages, following the logic that the more concrete and concise the information the more reflected is the integration in the NRP and thus the awareness for the role of LRAs.

#### Table 3. Proposal for scoring on the quality of information on LRAs in the NRP

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Non-existent (not included).</td>
<td>Reference to the dimensions cannot be found.</td>
</tr>
<tr>
<td>1</td>
<td>Explicit but general reference to LRAs.</td>
<td>Reference is very general.</td>
</tr>
</tbody>
</table>
| 2     | Specific reference to LRAs | Reference includes several of the major elements of the 3 W’s (who? What? When?).

- Basically, this can be achieved in two ways:
  - consistent and cross-cutting references to LRAs across a major part of policy fields;
  - references to LRAs in the context of specific policy areas, projects or programmes.

*Source: own considerations.*

### Process for the validation of the analysis

The approach is understood as desk research. In order to validate the country fiches a feedback loop with contact persons provided by the CoR is foreseen in order to prevent misunderstandings or misleading interpretation. The feedback loop could also be used in order to clarify sensitive points in the analysis. This

---

\(^{12}\) Committee of the Regions, On the role of the local and regional authorities in the Europe 2020 National Reform Programmes: Analysis of the 2013 National Reform Programmes, Report by the ecologic Institute, Brussels 2014, pp. 5-8.
might be in particular the case if a certain feature could be ranked as good practice but requires additional clarification in order to present it correctly.

In some cases the **Metis GmbH network of EU country experts** was used in order to contact key stakeholders.

**Country experts resolving linguistic problems and providing background information**

Metis GmbH cooperates with the above mentioned network of country experts who have ample background knowledge of the political-administrative system in their home countries. In critical cases or if the more extensive version of a NRP is only presented in the national language the expertise of country experts has been used.
3 Summary report on main findings

It is important to note that for the report on the NRPs 2016 the methodology has been slightly changed. The revised approach seeks to provide a brief review of the main findings related to the three main underlying questions of the 2015 report. In addition, a new section has been added dealing with OtI:

- Involvement of the LRAs in the preparation and implementation of the NRP;
- Obstacles to investment;
- The role of Partnership and Multi-Level Governance in the NRP;
- The territorial dimension of the NRP.

The following sections section includes a general assessment over all NRPs respectively MS followed by a comparative analysis of the NRPs 2016 in relation to the NRPs of the past years.

The more detailed results according to the key evaluation questions can be found in Annex 2.
3.1 Total scores of LRA involvement in the NRP per country

Table 4. Map illustrating the scale of LRA involvement in the EU 28

Scores classified according to the following intervals
- 1 - 12
- 13 - 16
- 17 - 20
- 21 - 24
- 25 - 28

The picture of the sum of overall scores reveals a marked diversity. A considerably strong involvement of LRAs is on the one hand side shown by some Northern and central European EU-15-countries with strong traditions of regional self-government, among them the three genuine federations within the EU (AT, BE, DE) as well as UK and SE. This mirrors the results of the 2015 study clearly indicating a sustained strong role of LRAs in the political structures of these countries. On the other hand side, some peripheral countries show strong involvement of LRAs in their NRPs, on the Mediterranean side IT and PT (EU-15) and on the CEEC side mainly HU, LV, RO and SI (EU-13).
High scorings of peripheral countries also have been noted on the 2015 study; however most of the MS concerned have changed. This is most noticeable for EL, which lost points compared to 2015 and scaled down two categories. In the other direction, e.g. HU scored better in 2016 and rose two categories. Only LV and RO had already shown similar high scorings in 2015 with LV having carried out a local government reform in 2009 and a decentralisation process underway in RO\textsuperscript{13}. The results seem to indicate that, with a few exceptions, LRA involvement in Mediterranean and CEE MS is not anchored as deeply in the political processes as in the first group of MS resulting in fluctuations caused by contingencies changing every year.

The overall scorings are on the average slightly lower than last year. Taking into account a certain inevitable room for interpretation inherent to the underlying comparative approach, this need not necessarily be interpreted as a sign of stagnation. However, the trend should be closely followed in the next year in order to verify if it might reflect an actually shrinking role of LRAs in the wake of increasing budgetary pressure at national and regional levels.

Including the detailed scores the following patterns can be observed:

- The Northern and central European countries as well as some peripheral countries show a strong involvement of LRAs in the preparation process of the NRP reports. Several NRPs explicitly mention the involvement of actors at all levels of administration as well as social partners and civil society in the preparation process. Most detailed descriptions are given in the programmes of DE, DK, FR, NL and SE; all EU-15 MS, mostly with a long tradition of regional self-governance. The NRPs, often laid out in a dedicated chapter, mention LRA involvement for instance as a consultation process or bilateral exchange with the Commission, or more specific like in the form of a Contact Committee.

- High variability of scores can be observed within the obstacles to investment and the territorial dimension. These are the more specific evaluation criteria that are covered to widely differing extents in the individual NRPs. Sores range from 0 up to 6 (which is the maximum for both dimensions). In 7 cases, specific reference was made to the territorial perspective on obstacles to investments, mainly by EU-15 countries with a long tradition of regional self-governance (BE, DE as federations; IT, SE, PT, UK). The only EU-13 MS with specific references is SI where a detailed local self-government strategy is presented. The majority of

\textsuperscript{13} Council of European Municipalities and Regions (CEMR), Decentralisation at a crossroads - Territorial reforms in Europe in times of crisis, Brussels, October 2013, p. 40 and 50.
NRPs does reflect a territorial dimension though the rationale and approach differs quite strongly. 21 programmes do include at least one or more elements which can be considered as specific policy approach for certain regions. However, 2 NRPs do not mention at all any territorial dimension (BG and LU).

- The dimensions partnership and MLG have low variations indicating a basic acknowledgement of the crucial role of LRA in the implementation of the NRPs and the Europe 2020 target. Scores are distributed relatively evenly between 3 and the maximum 8.

- Old MS tend to involve LRAs in the NRPs stronger than new MS; exemptions do exist which can be traced back to detailed descriptions in the NRP reports, i.e. in Latvia, Hungary and Romania.

- Countries with ongoing or recently implemented administrative reforms show a tendency for a more intense coverage of LRA involvement than comparable countries without such reform programmes (e.g. DE, EE, PT, SI).

From a methodological point of view, it has to be added that in the assessment process undertaken by different country experts it cannot be excluded – despite the common methodology and several rounds of validation – that some interpretations were slightly different from others.

For a concrete assessment per country, the country fiches that can be found in a separate file must be consulted.

### 3.2 Involvement of LRAs in the NRP

**Preparation of the NRP**

A total of 13 NRPs make specific reference to the involvement of LRAs (2015: 15). Most detailed descriptions are given in the programmes of DE, DK, FR, NL and SE; all EU-15 MS, mostly with a long tradition of regional self-governance. 4 NRPs provide only a very general reference to the involvement of LRAs and 11 NRPs do not mention the role of the LRAs in the preparation of the Document.

**Implementation of the NRP**

All NRPs include references though the level of information varies significantly.
The clear majority of MS (24) provides references to specific policy areas where LRAs do have a role in implementation (2015: 19). It is interesting to note that the most frequently mentioned policy fields are:

- social inclusion (12),
- taxation, public finances public debt (10),
- education (8),
- labour policy/employment (7),
- industrial policy, business development (7).

These topics are all connected with the economic crisis and its main effect: unemployment with its social and budgetary consequences resp. the attempts to its reduction via education and establishment of new businesses.

An example would be CZ where deprived areas with marginalised (socially excluded) population shall be addressed with the Strategy for Combating Social Exclusion for the period 2016-2020. Another typical example is IT where the contribution of local authorities to the spending review, local taxes, cadastral values, real estate assets reduction of public depth is mentioned in the context of reduction of public debt.

An interesting aspect is that two of the programmes explicitly mention migration and refugees as policy topics (DE, SI as two of the countries that have been strongly affected by the refugee crisis of 2015/2016).

Four documents include only quite general references.

**EU 2020**

To some extent the responses related to EU 2020 mirror those for the previous question related to the NRP.

The number of references to specific policy areas is slightly smaller (18) than for the previous key evaluation question (2015: 16). The policy areas most frequently mentioned are:

- education (15 out of 18!),
- social inclusion (10),
- labour/employment (9),
- energy efficiency (7),
- RTDI (5).
A good example is BE where the local level is specially mentioned as meaning to play an active role with regards to child poverty reduction measures (mainly apprenticeship schemes), providing shelter to homeless people, reducing school drop-out rates, and fighting long-term unemployment. Another example are Scotland’s “Schools for the Future” comprises 112 new schools in Scotland, built in partnership with local authorities.

As compared to 2015, issues of education and employment policy have become more prevalent. Again it is interesting that two NRPs mention the integration of refugees, with DE and SE again two of the countries mainly affected by the large refugee flows since summer 2015.

No reference to LRAs is made in 4 cases, only general reference in 6 cases.

It is important to note that although Estonia does have references to Europe 2020, there is no separate chapter on it the documents, contrary to documents from other countries. It is noteworthy that the Greek NRP follows a different structure which is aligned to the information requirements of the assistance programme.

**Administrative capacities**

20 NRPs refer to the topic (2015: 15).

In three MS (EE, HR, PT) public sector reform is obviously subject to an intense debate – thus the references to the issue of administrative capacities are comparatively comprehensive. In general one can state that administrative capacity is an issue for the NRP in those MS with an ongoing public sector reform such as EE, ES, FR, HR and PT, although LRAs are not mentioned specifically in all cases.

Finally in seventeen MS there is an issue with a view to specific policy aspects, e.g. procurement and utilisation of ESIF in EL and SK, a much higher number than in the 2015 NRPs (7).

For about one third of NRPs there is either no reference to the issue at all (4) or the reference concerns the national level and does not explicitly refer to LRAs (4).
3.3 Obstacles to Investment

Territorial perspective

In 7 cases, specific reference was made to the first dimension concerning the territorial perspective on obstacles to investments, mainly by EU-15 countries with a long tradition of regional self-governance (BE, DE as federations; IT, SE, PT, UK). For instance, BE describes a tax shift which aims to introduce a shift towards the wealthier parts of the country. The tax shift is said to have an impact for the regional as well as local entities, but that these are handles and described within each administrative level. Furthermore, a chapter is dedicated to investments and within the annexes 1-4 dedicated to the Regions; the role of municipalities in specific measures is described. Also DE clearly differentiates between the obstacles to investment according to a territorial perspective. There exists a system of support for economically underdeveloped regions as well as a system of fiscal equalisation based on the federal constitution of DE (“Finanzausgleich”). PT gives special importance to low density peripheral areas, which are shown to have specific needs for investment. The UK NRP states that the programme on infrastructure investment should i.a. target transport infrastructure bottlenecks which are explicitly addressed (Manchester, Leeds, Greater London). Financial problems of municipalities in performing the tasks assigned to them (sinking revenues from income tax due to high unemployment) and the respective remedies planned are discussed in detail in the SI NRP making it the only EU-13 MS with specific references.

The issue was not covered at all by 10 NRPs, 11 NRPs made only general reference to the topic.

Role of LRAs

Here the underlying rationale was to look for more concrete references to the role of LRAs related to investment policies respectively obstacles to investment. In 8 cases quite specific references have been found: DE with its well-known “Finanzausgleich” system, but also the issue of expenditure ceilings (DK), taxation (HR), financing for LRAs (LV, PT) and other aspects (RO, SE, SI).

9 NRPs made only general reference to the topic and 11 did not address the issue at all.

Related policies

With a view to policies related to investment challenges in 15 cases, specific reference was made. A wide range of policy topics is covered, e.g. transport,
infrastructure and digital infrastructure (4), housing (3) and education (3). Examples include the Capital Plan in IE focussing on broadband in rural areas, spatial planning guidelines for local governments in EE adhering to the policies of energy efficiency and sustainable development or the ‘Organised land’ programme in HR establishing an effective land administration system in order to encourage investment processes and improve the functioning of real estate markets. The role of EU Cohesion Policy is explicitly mentioned in three cases in the explicit context of policies fostering investment (EL, IE, LT). The aspect has not been tackled in 6 NRPs, 7 NRPs made only general references to the topic.

3.4 Partnership and Multi-Level Governance (MLG)

Coordination among the tiers of administration

In 18 cases specific reference is made (2015: 16 cases). The most frequently mentioned areas are:

- labour/employment (8),
- social inclusion (5),
- education (4),
- administrative issues (4).

For example, the Annex provided by the Dutch social partners lists several joint initiatives of LRAs, the national level and the social partners concerning employment (Technology Pact, Sectoral Plans and Crisis Action Team, The Workroom and the Regional Job Centres). One example for social inclusion policies bringing together the national and the local levels is related to social aid law in LU: During 2015, the 30 Social Offices gave out a total of €2.9 million in nonrepayable financial aid. The measure will be allocated an annual budget of approximately €17 million, 50% of which is furnished by the State and 50% by the municipalities. In DE and SI, refugee policy is mentioned.

The further references open a broad variety of topics, same as in the last year. Labour market and employment policies were also ranked first in 2015 (8).

In seven programmes the references are rather general and do not provide any hint on the actual weight of the issue.

In only three programmes the aspect of administrative coordination is not mentioned all.
Cooperation models

In 15 programmes the subject of cooperation and or the approach to cooperation could be considered as models (2015: 18). The subject of cooperation varies among the MS; however in a couple of policy areas several MS address similar targets. One example is the so-called Youth Guarantees – an approach mentioned in two Programmes (BE, FI) which targets the issue of youth employment. For instance, the Brussels Youth Guarantee Scheme is to be implemented through cooperation agreements between the Region and the French and Flemish Community institutions relating to cross-cutting employment-training policies. Also in ES, IE, NL, SE cooperation models focus on employment initiatives. Another common topic is education (6). E.g. IE intends to establish Regional Skills Fora as a mechanism for enterprise and education and training providers to work together in building the supply of skills for their regions.

3 out of the 28 Programmes do not include any visible reference to cooperation models; 10 provide rather general reference.

Wider partnership

In 23 cases specific reference is made to the role of wider partnerships in the context of policies which are relevant for LRAs (2015: 20). A quite specific feature is the strong focus on the inclusion of the social partners in 12 programmes (BE, DE, FR, HU, IT, LU, LV, MT, NL, PL, RO, SI). A large number of programmes include references to specific policy areas where participatory approaches have stronger role: labour market and labour policy, employment and social policies rank among those policy areas. Those are explicitly mentioned in the programmes of 15 MS.

Two programmes explicitly mention integration of immigrants respectively refugees (DE, FI). There is only one programme that does not refer to the inclusion of a wider partnership in policy development. In four cases the reference is rather general and does not allow drawing any conclusions on the subject or intensity of the consultation or participation process.

Institutional capacity building

In 12 NRPs the intended approach to capacity-building includes a reference to LRAs (2015: 12). Recurring issues are the judicial system (3), described as specific training for judges or in the form of strengthening the capacities and improving management in public administration, which will be used in the justice system, as well as education (3). An example is the “Action Plan on
Strengthening Capacity and Developing the Competences of Human Resources of the Judicial Power and Law Enforcement Institutions for 2015-2020” in LV. DE mentions education measures regarding refugees and immigrants (municipal coordinators - “kommunale Koordinatoren/-innen”). The 2015 NRPs had rather focused on social policies and childcare (5), employment (3) and the fight against corruption (3).

In ten programmes institutional capacity building is not addressed. A group of six programmes does include partly general references to the subject.

### 3.5 Territorial dimension

It is important to note that generally speaking the NRP is not meant as a policy document which is specifically focussing on a territorial dimension. Policy actors at national level do have the key role in drafting the document and the perspective is mostly on overarching policy approaches and corresponding challenges. However, in the end the majority of NRPs does reflect a territorial dimension though the rationale and approach differs quite strongly.

#### Challenges and needs

A visible group of MS (12) outlines specific challenges for types of regions or even specific regions are mentioned in the NRP (2015: 15). The challenges addressed in the NRP range from housing over unemployment and transport issues to education. Typical examples are housing challenges in specific NL provinces (Zeeland, Overijsssel, Amsterdam), the regional labour market situation in Ida-Viru County (EE) or deficits regarding professional skills and education levels in underperforming regions in the North of England and in Scotland.

6 NRPs do not include any reference to needs and challenges from a territorial perspective. 10 NRPs make general reference to the issue.

#### Impact and coverage

For a small group of MS – seven in total - the NRPs include references to the impact of envisaged measures on specific territories (2015: 11). The local or regional effects of programs and measures can often be found in a table in the annex of the NRP. In other cases the NRP clearly separates between certain territories throughout the document.

12 NRPs include quite general references to the topic.
About one third of programmes does not relate to any specific territorial aspects of impact or coverage (9).

**Specific policies**

The majority of the programmes (21) do include at least one or more elements which can be considered as specific policy approach for certain regions (2015: 16). The most frequent reference is to social inclusion (8). Further common topics are employment initiatives in areas most affected by unemployment (6) and transport issues (6). Examples include support programmes to Marginalised Roma Communities (MRK) in most deprived parts of SK and the transport investment plan in UK explicitly focussing on the connectivity of northern parts of England (connection Leeds – Manchester) as well as on Greater London (‘Transport for a World City’). AT, DE and MT have provided comprehensive project lists as annexes to the Programme thus adding a regional dimension. Peripheral rural regions are an issue in the Programmes of PT and SI.

In the case of three programmes, the topic is dealt with in a rather general way or concerns minor topics.

It is interesting to note that only 4 NRPs do not mention any specific policy with an explicit territorial dimension.

**3.6 Comparative analysis**

This chapter comprises a summary and comparison on the role of LRAs in the Europe 2020 NRPs. The objects of investigation have been the corresponding studies for the NRPs covering the years 2011 to 2015. The review of these reports is the fundament for the presentation of the main findings for the 2016 NRPs. Once again it is important to stress that all aspects in the comparative analysis describe how the NRP reports on the role and involvement of the LRAs – it does not assess the actual involvement.

In all reports, the extent to which LRA involvement, and partnership and multilevel governance is mentioned varies by Member State (MS). In all five reports, it is stressed that countries with a federal, decentralised government or devolved regional administrations usually provide fuller and more substantial information on LRAs and MLG than those with a centralised government.

When looking back on the series of reports since 2011 one has to see that for the report on the NRPs 2015 the methodology had been changed – i.e. the questions were modified and clustered under three key headings, i.e. firstly the
involvement of the LRAs in the preparation and implementation of the NRP, secondly the role of Partnership and MLG in the NRP and finally the territorial dimension of the NRP. The latter aspect had been introduced for the first time in 2015. A second major point is that the approach of the assessment has been altered to a certain extent since 2015 – thus the assessment results are only partly comparable.

For the present 2016 report, an additional cluster on obstacles to investment has been introduced that does not yet have reference data for the past years (see above).

The summary review includes an overview for the years 2011 to 2015 and presents – to the extent possible – the comparable results for the NRPs 2016.\footnote{Included in the italics boxes.}

**Direct references and involvement**

The NRPs from 2013 have the highest percentage of direct references to LRAs in the NRPs (96%) – for the NRPs 2014 the value has dropped to 71%. The extent to which the LRAs are mentioned varies. According to the Report from 2013, the NRPs from Germany, Sweden and the UK contain the most extensive coverage of LRAs; in 2014 it have been the NRPs from Austria, Finland, Hungary, Latvia and Poland and the UK. In 2015 28 NRPs (100%) do provide direct references to LRAs.

**In 2016 28 NRPs (100%) do provide direct references to LRAs.**

In terms of involvement of LRAs in the NRPs, the NRPs from 2011 contained the second highest percentages of LRA involvement concerning various aspects in the development and drafting of the NRPs. The third highest was from 2013, with 2012 having the least. The only area, where the 2012 NRPs had the highest percentage of LRA mention, is concerning ‘the treatment of written contributions from LRAs in the 2012 NRP’. That being said, although LRA involvement was cited in the most NRPs from 2011, it could be said that the NRPs from 2013 went more in-depth concerning detail of the involvement of LRAs in the NRPs. The Report for 2014 marks out that in qualitative and quantitative terms a group of eight MS is showing a high involvement, four MS a medium level of involvement and the majority, i.e. a group of 16 MS reveal quite low involvement. The result corresponds to the result for 2015: 20 NRPs (71%) include such references albeit of varying quality.
The descriptions on the role of LRAs in the preparation of the NRP show a quite stable position over the years – starting from 17 NRPs (63%) to 20 NRPs (71%) in 2015.

**In 2016, 17 NRPs (61%) include such references albeit of varying quality.**

In the 2011 report, 100% of the NRPs mention the role of LRAs in implementing the activities described in their NRPs. The reports from 2013 were just below that, 93% and for the NRPs 2014 the percentage amounts to 86% (highlighting the examples of AT, BE, IT, LT and UK). Although most reports contain good to substantial coverage on LRA implementation, there is scarce information on LRA monitoring and evaluation of activities and policies under the NRP. For the 2015 NRPs the general result pointed at 23 or 82% of NRPs which include either cross-cutting or specific references to the role of LRAs in the implementation of activities

**For the NRPs 2016, 24 or 86% of NRPs include either cross-cutting or specific references to the role of LRAs in the implementation of activities**

In all five years 2011-2015, many countries’ NRPs reference the importance of strengthening or developing the administrative capacity of LRAs - the highest percentage had been reached with the 2014 NRPs (68%).

**For 2016 a total of 20 NRPs (71%) including direct references have been identified**

**Partnership and Multi-Level Governance**

In terms of partnership and multi-level governance, the mention of Territorial Pacts is rare in the NRPs for 2011-2014, with only 1 NRP making mention of such in 2011 (Romania) and 1 in 2013 (the UK); the Report for the NRPs 2014 highlights the example of the Climate Pact of Luxembourg. Since the 2015 report the question has been formulated more openly, searching the NRPs for cooperation models involving LRAs – about 60% of the NRPs (17) have included such references across a variety of sectors.

**For 2016, 89% of the NRPs (25) have included such references, thereof 54 % (15) specific references.**

In comparison, quantitative reference to MLG was much higher. The way in which MLG was referenced in the NRPs varied from formal mention to informal mention. The informal mention of MLG refers to ‘informal MLG-type agreements between the central government and local and/or regional
authorities’. The informal measure of MLG reference was not included until 2012, thus there is no information on such from 2011. The NRPs from 2011, however, contained the highest percentage of formal mention of MLG (56%), followed by the Reports from 2014 (46%) and then the Reports from 2013 (29%). The year with the highest percentage of informal mention of MLG is 2014 (79%) being closely followed by the Reports from 2013 (75%) – pointing at a major increase since 2012 (30%). For 2015 the approach to the question has been altered to some extent – thus the comparability of results is limited – however a strong element of formal cooperation can be found in a group of seven NRPs and about 16 NRPs point out the aspect in specific references to sector policies – thus in total 23 NRPs or 82% include references to MLG.

For 2016, in total 25 NRPs or 89% include references to MLG, thereof 18 or 64% specific references.

**Territorial dimension**

Three new dimensions were evaluated in the 2015 NRPs that were not evaluated in previous years. These are territorial dimensions 1) reflecting on challenges and needs concerning certain LRAs or types of LRAs or territories, 2) the impact and coverage of policy measures on certain territories or LRAs and 3) specific policies targeting types of LRAs or territories.

The first dimension concerning challenges and needs was covered by 64% of the NRPs. Reference to the second dimension on impact and coverage was lower in the 2015 NRPs (39%). But in total 20 NRPs (71%) have included references to specific territorial policies targeting LRAs.

In the 2016 report the first dimension concerning challenges and needs was covered by 79% of the NRPs (22). Reference to the second dimension on impact and coverage was lower in the 2016 NRPs (19; 68%). But in total 22 NRPs (79%) have included references to specific territorial policies targeting LRAs.

The aspect of the preparation for the new ESIF period has been a focus for the years 2013 and 2014 (and has not been covered in 2015 and 2016 anymore)

The question concerning ‘the role of LRAs in job creation and fighting youth unemployment’ was added in 2012. The question was added due to the continued economic difficulty in Europe. Direct reference to this question was found in only 44% of the NRPs in 2012 and has risen to 86% in 2014. In all reporting years, the UK has provided extensive references to LRA involvement in job creation and youth unemployment.
When looking at the role of LRAs in implementing the 2015 NRPs 14 NRPs (50%) highlighted the role of LRAs in either labour market or employment or social inclusion policies.

With a view to NRPs 2016: 15 NRPs (54%) highlight the role of LRAs in either labour market or employment or social inclusion policies. These are clearly the top-ranking sector policies where LRAs have a role in implementation in the NRP.
4 Conclusions

The overall picture of LRA involvement in the NRPs remains similar to 2015. The overall highest scores can be found in Central and Northwest European EU-15 countries with a long tradition of regional self-governance which is in turn mirrored in frequent mentions of LRA responsibilities. Some peripheral MS show high scorings, too; however, they are only partly identical with the ones that showed high scorings in 2015. The results seem to indicate that, with a few exceptions, LRA involvement in Mediterranean and CEE MS is not anchored as deeply in the political processes as in the first group of MS resulting in fluctuations caused by contingencies changing every year.

Countries with ongoing administrative reforms show a tendency for a more intense coverage of LRA involvement than comparable countries without such reform programmes (e.g. DE, EE, PT, SI).

The overall scorings are on the average slightly lower than last year. Taking into account a certain inevitable room for interpretation inherent to the underlying comparative approach, this need not necessarily be interpreted as a sign of stagnation. However, the trend should be closely followed in the next year.

The prevalent recurrent topic of the NRPs is social protection. It is by far the issue most often cited in connection with the involvement of LRAs. The topic has a clear territorial dimension since it concerns primarily regions with high unemployment, often threatened by a “vicious circle” of shrinking or ageing population, rising social expenses, infrastructural deficits and diminishing economic base. Other topics recorded in last year’s NRPs like health care tend to be overshadowed.

In general, the aftermath of the economic crisis leaves its mark on the issues where LRA responsibilities are explicitly involved. Main topics are on the one hand side the constraints put on public budgets with their consequences for LRAs, on the other hand side measures to ease unemployment like social payments, employment initiatives, education programmes and improvements to the business environment.

The newly introduced questions on obstacles to investment show specific references to the territorial perspective on obstacles to investments in about one third of the NRPs, mainly EU-15 countries with a long tradition of regional self-governance. The role of LRAs related to investment policies respectively obstacles to investment is covered by specific references in about one third of NRPs. About half of NRPs include specific references to policies related to
investment challenges covering a wide range of policy topics from transport and digital infrastructure over housing to education. The role of EU Cohesion Policy is explicitly mentioned in three cases in the explicit context of policies fostering investment (EL, IE, LT).

The large refugee flows since summer 2015 leave their mark in the NRPs of some of the most affected countries (DE, SE, SI). The budgetary and financial consequences of the integration efforts will start materializing this year. The reports of the past years highlighted a couple of features of the NRPs for which a marked improvement over time could be stated:

- The inclusion of specific sections or annexes on stakeholder involvement. These additional documents provide more in-depth detail on policies and programmes - however, one has to see that this aspect has been stressed in the Guidance Note of the Commission from 2013 for the first time.

- The increasingly concrete description of macro-economic and social developments - which corresponds to the increasing weight of complementary issues such as the increasing weight of job creation and combating youth unemployment.

- The increasingly concrete information on programmes and actions taken in response to the CSR – most probably also a result of the dialogue with the Commission and the implicit better mutual understanding about the information requirements.

- An increasing weight of rather pragmatic aspects such as administrative capacity and financial aspects.

Although this year’s results do not show a marked progress, one might take the cautious conclusion that the overall effort put into the development of the NRPs have been increasing in the mid-term and that the sustained efforts to anchor LRAs more firmly in the NRP are taking effect. However, significant variations between the years show that there seem to be also issues which are treated once and not recurrently in every reporting year.
5 References


Committee of the Regions, A Code of Conduct on the involvement of the Local and Regional Authorities in the European Semester, December 2015, Brussels.


https://portal.cor.europa.eu/europe2020/Pages/welcome.aspx

Committee of the Regions, Charter of Multi-level Governance, Brussels.

https://portal.cor.europa.eu/mlgcharter/Pages/default.aspx

Council of European Municipalities and Regions (CEMR), Decentralisation at a crossroads - Territorial reforms in Europe in times of crisis, Brussels, October 2013.

European Commission, Guidance on the content and format of the National Reform Programmes, October 2013, Brussels.

European Commission. Website Europe 2020, NRPs and other relevant documents, Brussels.

http://ec.europa.eu/europe2020/making-it-happen/country-specific-recommendations/index_en.htm


## Annex 1: Country Fiche template

*Table 5. Country Fiche Template*

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Evaluation / Assessment</th>
<th>Source / Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Introductory information</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regions and their role</td>
<td></td>
<td>Source of information</td>
</tr>
<tr>
<td>Regional disparities in the MS</td>
<td></td>
<td>Source of information</td>
</tr>
<tr>
<td><strong>Involvement of LRAs in the NRP</strong></td>
<td></td>
<td>Overall score</td>
</tr>
<tr>
<td>Preparation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implementation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Europe 2020</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative capacity of LRAs related to the implementation of the NRP and the EU 2020 pathway</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Obstacles to Investments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Territorial perspective</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Role of LRAs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dimension</td>
<td>Evaluation / Assessment</td>
<td>Source / Scoring</td>
</tr>
<tr>
<td>-----------------</td>
<td>-------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>Related policies</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Partnership and MLG</strong></td>
<td></td>
<td><strong>Overall score</strong></td>
</tr>
<tr>
<td>Coordination among the tiers of administration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cooperation models</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wider partnership (multi-actorship)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institutional capacity-building</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Territorial dimension</strong></td>
<td></td>
<td><strong>Overall score</strong></td>
</tr>
<tr>
<td>Challenges and needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Impact / Coverage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specific policies</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Annex 2: Assessment in detail

Involvement of LRAs in the NRP

Preparation of the NRP

Key evaluation question:

Representation of local and regional actors in the preparation process - does the NRP include a clear and explicit reference to the contribution in the process?

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>11</td>
<td>No reference: BG, CZ, EE, EL, ES, FI, HR, LT, RO, SI, SK</td>
</tr>
<tr>
<td>1</td>
<td>4</td>
<td>General reference: CY, IE, LU, RO, UK</td>
</tr>
<tr>
<td>2</td>
<td>13</td>
<td>Specific references: AT, BE, DE (Länder Conferences of Specialised Ministers and the Joint Science Conference), DK (Contact Committee), FR (bilateral exchange with the Commission), HU, IT, LV, MT, NL (debate at the Senate), PL, PT, SE (reference group of representatives)</td>
</tr>
</tbody>
</table>

Source: Country Fiches.

Implementation of the NRP

Key evaluation question:

Is the role of local and regional actors in the implementation of the NRP and the CSR clearly stated; i.e. do the NRP/the CSR include concise references to specific policy fields / financing / other policy levers?
<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>No reference</td>
</tr>
</tbody>
</table>
| 1     | 4              | General or minor reference:  
BG (labour market, business environment)  
CY (digital skills, healthcare)  
ES  
HR (social inclusion) |
| 2     | 24             | Consistent and/or specific references:  
AT  
BE: taxation, labour market, innovation, industrial policy, climate & energy, education, care  
CZ: education, employment, social inclusion, housing, energy & climate  
DE: digital infrastructure, education, employment and social inclusion, investment at municipal level, taxation, refugees, business development  
DK: fiscal policy, planning & construction  
EE: education, health care, child care  
EL: taxation and investment, education, social inclusion and employment, research and development, energy efficiency  
FI: social inclusion, health care, labour (immigrants), competition  
FR: public finances, development of enterprises, employment, social inclusion  
HU: employment, social inclusion, business environment  
IE: social inclusion, social housing, health care  
IT: public debt, competitiveness, institutional capacity, regional development  
LT: education, social inclusion  
LU: environment, social inclusion, and infrastructure (electric mobility)  
LV: education, social inclusion, public administration  
MT: transport infrastructure, public debt  
NL: RTDI, business development, public finances  
PL: spatial planning, education  
PT: public sector reform, territorial enhancement  
RO: budgetary policy, public administration, business environment  
SE: construction and housing  
SI: transport, regional and local development, social inclusion, long-term care, public budgets, migration  
SK: education, social inclusion, RTDI  
UK: housing policy |

*Source: Country Fiches.*
**EU 2020**

**Key evaluation question:**

*Does the NRP describe the role of LRAs in the pathway for implementation of Europe 2020?*

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>4</td>
<td>No reference: HR, IT, SI, SK</td>
</tr>
<tr>
<td>1</td>
<td>6</td>
<td>General or minor reference: CY, CZ, ES, FR, IE, PT</td>
</tr>
<tr>
<td>2</td>
<td>18</td>
<td>Consistent and/or specific references: AT: RTDI, education, climate change, energy BE: social inclusion, education, unemployment BG: energy efficiency, education DE: employment, social inclusion, integration of refugees, education, child care, health, research, climate protection and energy efficiency, housing DK: employment, education, social inclusion EE: education, health care, child care EL: taxation and investment, education, social inclusion and employment, research and development, energy efficiency FI: employment, RTDI, climate and energy, education, social inclusion HU: RTDI, education LT: employment, education LU: environment, youth integration, social inclusion, infrastructure LV: business development, employment, education, social inclusion MT: education NL: education PL: education RO: social inclusion SE: employment, social inclusion, refugees, energy efficiency and urban planning, public transport, regional development, Structural Funds, promotion of entrepreneurship UK: education, social inclusion, energy efficiency</td>
</tr>
</tbody>
</table>

*Source: Country Fiches.*
Administrative capacity

Key evaluation question:

In case there is a clear-cut role of the local and regional level stated – does the NRP or any secondary document refer to the capacities of LRAs?

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>4</td>
<td>No reference: DK, NL, PL, UK</td>
</tr>
<tr>
<td>1</td>
<td>4</td>
<td>General reference: CY, EL, ES, LU</td>
</tr>
<tr>
<td>2</td>
<td>20</td>
<td>Consistent and/or specific references: AT (education) BE (RTDI, social inclusion, SMEs) BG (courts) CZ (employment, education, public procurement) DE (taxation, investment, immigrants) EE (local government reform act) FI (social inclusion, health care, land use) FR (esp. public finances) HR (local self-government reform) HU (anti-corruption measures) IE (social housing) IT (public administration, business environment) LT (accessibility for citizens, reduction of administrative burden for enterprises) LV (judicial system, public administration) MT (public spending) PT (public sector reform) RO (social inclusion) SE (energy efficiency) SI (business environment) SK (e-government, tax collection, employment, transparency)</td>
</tr>
</tbody>
</table>

Source: Country Fiches.

Obstacles to Investment

Territorial perspective

Key evaluation question:

Does the NRP offer a differentiated picture related to investment needs at local and regional level?
### Role of LRAs

**Key evaluation question:**

*Does the NRP review the governance issue, i.e. the framework for investment at LRA level?*

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>10</td>
<td>No reference: AT, DK, ES, FI, FR, HR, HU, LT, LV, NL</td>
</tr>
<tr>
<td>1</td>
<td>11</td>
<td>General or minor reference: BG, CY, CZ, EE, EL, IE, LU, MT, PL, RO, SK</td>
</tr>
<tr>
<td>2</td>
<td>7</td>
<td>Consistent and/or specific references: BE: tax shift towards wealthier parts DE IT PT: public administration, peripheral areas SE SI: Local self-government development strategy UK: infrastructure investment, housing</td>
</tr>
</tbody>
</table>

*Source: Country Fiches.*
Related policies

Key evaluation question:

Are there any (next to a system of fiscal equalisation) policy levers which support investment activities of LRAs?

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>6</td>
<td>No reference: AT, BG, FI, HU, IT, NL</td>
</tr>
<tr>
<td>1</td>
<td>7</td>
<td>General or minor reference: BE, CY, EE, FR, LU, RO, SK</td>
</tr>
</tbody>
</table>

Source: Country Fiches.
**Partnership and MLG**

**Coordination among the tiers of administration**

*Key evaluation question:*

*Does the NRP include a clear reference to coordination or cooperation frameworks between the national, regional and local level?*

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>3</td>
<td>No reference: LT, PL, SK</td>
</tr>
<tr>
<td>1</td>
<td>7</td>
<td>General or minor reference: CY, CZ, DK, EE, HR, IE, PT</td>
</tr>
</tbody>
</table>

*Source: Country Fiches.*
Cooperation models

Key evaluation question:

Dos the NRP include any reference to specific models of cooperation such as Territorial Pacts or other forms of cooperation in the implementation of the NRP or Europe 2020?

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>3</td>
<td>No reference: CZ, DK, LV</td>
</tr>
<tr>
<td>1</td>
<td>10</td>
<td>General or minor reference: BG, CY, FI, FR, HR, LT, LU, PL, RO, SK</td>
</tr>
<tr>
<td>2</td>
<td>15</td>
<td>Consistent and/or specific references: AT, BE: Youth Guarantee Scheme (employment), Office of Francophone Cooperative Training (OFFA), DE: RTDI of SME, other fields, EE: health care, education, EL: business development, public administration, RTDI, ES: employment, FI: social and healthcare services, youth guarantee, immigrants, RTDI, education, HU: social inclusion, IE: social inclusion, employment, education, rural development, IT, MT: transport infrastructure, public budget, education, NL: SME support, education, employment, PT, SE: employment and social inclusion, regional development, SI: transport, immigration, UK: housing, education</td>
</tr>
</tbody>
</table>

Source: Country Fiches.
Wider partnership (multi-actorship)

Key evaluation question:

Does the NRP include any reference to the involvement of a wider partnership (social partners, CSOs etc.) with a clear-cut function in the implementation process?

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>1</td>
<td>No reference: LT</td>
</tr>
<tr>
<td>1</td>
<td>4</td>
<td>General or minor reference: BG, CY, HR, PT</td>
</tr>
</tbody>
</table>

Source: Country Fiches.
Institutional capacity-building

*Key evaluation question:*

*Is there any reference on institutional capacity-building anchored in the NRP?*

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>10</td>
<td>No reference: CZ, DK, EE, EL, ES, FI, IE, NL, PL, SK</td>
</tr>
<tr>
<td>1</td>
<td>6</td>
<td>General reference: AT, BE, CY, HR, PT, RO</td>
</tr>
<tr>
<td>2</td>
<td>12</td>
<td>Consistent and/or specific references: BG: education, judicial system DE: capacity building programmes for municipalities (investment, education) FR HU: improving business environment IT LT: skills, education LU: civil service reform LV: judicial system, attracting enterprises MT: CAF model SE: energy efficiency SI: judicial system, public procurement, fiscal responsibility UK: social inclusion (Scottish Community Empowerment Act)</td>
</tr>
</tbody>
</table>

*Source: Country Fiches.*

Note: Scoring criteria were slightly adopted for this key evaluation question in order to provide for the different degrees of centralisation of MS.

Territorial dimension

Challenges and needs

*Key evaluation question:*

*Does the NRP reflect territorial challenges or needs referring to certain LRAs or types of LRAs or territories?*
### Impact and coverage

**Key evaluation question:**

*Does the NRP reflect the impact of envisaged policy measures on certain territories respectively LRAs?*

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>6</td>
<td>No reference: BG, ES, FI, FR, HR, LU</td>
</tr>
<tr>
<td>1</td>
<td>10</td>
<td>General or minor reference: CY, CZ, DK, EL, HU, IE, LT, LV, PL, SK</td>
</tr>
<tr>
<td>2</td>
<td>12</td>
<td>Consistent and/or specific references: AT, BE, DE: digital infrastructure, education, employment and social inclusion, refugees, investment at municipal level, business development, child care, health, RTDI, climate protection and energy efficiency, housing EE: employment, education IT: regional development (South) MT: education, employment, child care, energy efficiency, social inclusion, housing, business parks development, digital and transport infrastructure NL: employment, housing PT: peripheral areas RO: territorial development SE: housing, transport SI: transport infrastructure, energy efficiency UK: transport, housing, education</td>
</tr>
</tbody>
</table>

*Source: Country Fiches.*
## Specific policies

**Key evaluation question:**

*Does the NRP include specific measures or programmes targeting types of LRAs respectively territories?*

<table>
<thead>
<tr>
<th>Score</th>
<th>No of NRPs / MS</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>4</td>
<td>No reference: BG, CY, FR, LU</td>
</tr>
<tr>
<td>1</td>
<td>3</td>
<td>General or minor reference: EE, ES, PL</td>
</tr>
<tr>
<td>2</td>
<td>21</td>
<td>Consistent and/or specific references: AT, BE, CZ, DE: digital infrastructure, RTDI, social inclusion, investment at municipal level, DK: children, EL: unemployment, social inclusion, ESIF programmes, FI: service points for young people, HR: urban development (ITI), HU: social inclusion, IE: social inclusion, IT, LT: employment, LV, MT: education, employment, child care, energy efficiency, social inclusion, housing, business parks development, digital and transport infrastructure, NL: employment, housing, PT: territorial cohesion, transport, environment, urban regeneration, RO, SE: employment, social inclusion, energy efficiency and urban planning, transport, regional development, Structural Funds, promotion of entrepreneurship, SI: transport infrastructure, digital infrastructure, rural development, education, SK: transport, social inclusion, UK: transport, urban development, housing, education, child care, employment, social inclusion</td>
</tr>
</tbody>
</table>

*Source: Country Fiches.*
### Annex 3: Total scores of LRA involvement

**Table 6. Total scores of LRA involvement in the NRP preparation per country and dimension of the analysis**

<table>
<thead>
<tr>
<th>Involvement of LRAs in the NRP</th>
<th>AT</th>
<th>BE</th>
<th>BG</th>
<th>CY</th>
<th>CZ</th>
<th>DE</th>
<th>DK</th>
<th>EE</th>
<th>EL</th>
<th>ES</th>
<th>FI</th>
<th>FR</th>
<th>HR</th>
<th>HE</th>
<th>IT</th>
<th>LT</th>
<th>LU</th>
<th>LV</th>
<th>MT</th>
<th>NL</th>
<th>PL</th>
<th>PT</th>
<th>RO</th>
<th>SE</th>
<th>SI</th>
<th>SK</th>
<th>UK</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Implementation</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Europe 2020</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Administrative capacity of LRAs</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Total Involvement per country</td>
<td>8</td>
<td>8</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>6</td>
<td>6</td>
<td>5</td>
<td>3</td>
<td>6</td>
<td>7</td>
<td>3</td>
<td>8</td>
<td>6</td>
<td>6</td>
<td>8</td>
<td>8</td>
<td>6</td>
<td>6</td>
<td>7</td>
<td>6</td>
<td>8</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Obstacles to Investment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Territorial perspective</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Role of LRAs</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Related policies</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Total Obstacles to Investment</td>
<td>0</td>
<td>4</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>6</td>
<td>4</td>
<td>2</td>
<td>4</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>4</td>
<td>0</td>
<td>4</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>0</td>
<td>3</td>
<td>6</td>
<td>4</td>
<td>6</td>
<td>6</td>
<td>3</td>
</tr>
<tr>
<td>Partnership and MLG</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordination among the tiers of administration</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Cooperation models</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Wider partnership (multi-actorship)</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Institutional capacity-building</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Total Partnership per country</td>
<td>7</td>
<td>7</td>
<td>6</td>
<td>4</td>
<td>3</td>
<td>8</td>
<td>3</td>
<td>5</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td>7</td>
<td>4</td>
<td>8</td>
<td>5</td>
<td>8</td>
<td>3</td>
<td>7</td>
<td>6</td>
<td>8</td>
<td>6</td>
<td>3</td>
<td>6</td>
<td>8</td>
<td>8</td>
<td>3</td>
<td>8</td>
</tr>
<tr>
<td>Territorial dimension</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Challenges and needs</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Impact / Coverage</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Specific policies</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Total Territorial dimension per country</td>
<td>6</td>
<td>5</td>
<td>0</td>
<td>1</td>
<td>5</td>
<td>6</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>5</td>
<td>3</td>
<td>6</td>
<td>4</td>
<td>0</td>
<td>4</td>
<td>6</td>
<td>5</td>
<td>2</td>
<td>4</td>
<td>5</td>
<td>5</td>
<td>6</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Grand total per country</td>
<td>21</td>
<td>24</td>
<td>13</td>
<td>12</td>
<td>16</td>
<td>28</td>
<td>16</td>
<td>17</td>
<td>19</td>
<td>13</td>
<td>14</td>
<td>16</td>
<td>13</td>
<td>21</td>
<td>18</td>
<td>22</td>
<td>15</td>
<td>16</td>
<td>22</td>
<td>26</td>
<td>17</td>
<td>14</td>
<td>22</td>
<td>22</td>
<td>27</td>
<td>24</td>
<td>14</td>
</tr>
</tbody>
</table>