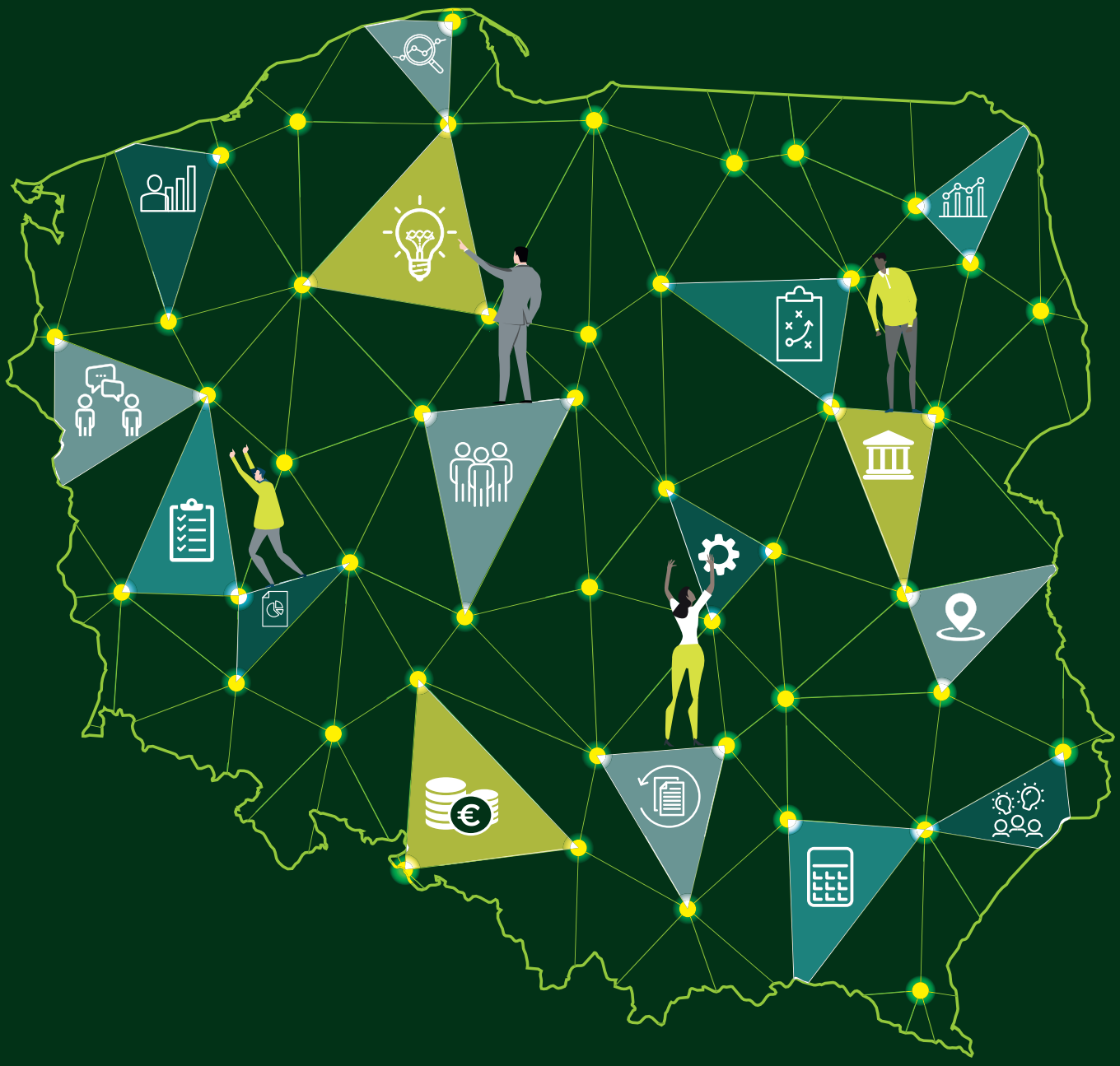
Self-assessment Tool for Local Self-Governments in Poland: Strengthening governance for more effective development strategies



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Self-assessment Tool for Local Self-Governments in Poland

Strengthening governance for more effective development strategies

This paper presents a Self-assessment Tool (SAT) to help local self-government units (LSGUs) in Poland strengthen public governance practices in the design and implementation of local development strategies. The SAT should help local actors assess their standards and practices across a set of key governance dimensions that may affect the effectiveness of investments and local development strategies undertaken by local administrations and the quality of the services they deliver. It provides key indicators to enable counties and municipalities to assess main strengths and gaps in public governance and local development practices, and in turn to design and pursue actions to improve services to citizens, and more effective engagement with stakeholders to build a collective vision and local development agenda.

JEL codes: H70, H77, 015, 018, 021, R50, R58
Keywords: self-assessment, local development, governance, strategic planning, monitoring, evaluation, subnational finance, co-ordination, digitalisation, open government, administrative burden, public procurement, budgeting, public employment

This paper is published under the responsibility of the Secretary-General of the OECD. The opinions expressed and the arguments employed herein do not necessarily reflect the official views of OECD member countries.

This paper constitutes a key output of the project *Better Governance, Planning and Services in Local Self-Governments: Poland*, managed jointly by the CFE and GOV directorates, and is financially supported by the EEA Financial Mechanism 2014-2021. This paper was authorised for publication by Lamia Kamal-Chaoui, Director, Centre for Entrepreneurship, SMEs, Regions and Cities, OECD, and Elsa Pilichowski, Director, Public Governance Directorate, OECD.

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Foreword

Enhanced local development improves citizens' well-being and national economic performance. Effective local development can help reduce disparities among regions and localities by enabling private sector growth, quality jobs, attracting private investment, and of course through ensuring citizens' access to quality public services. This process can also strengthen trust between citizens and governments.

However, the success of local development depends on a number of factors. It requires active engagement with all stakeholders – all levels of government, the private sector, and civil society – to strengthen local capacities that are adapted to local needs, and, critically, effective institutional capacities and governance mechanisms of local governments.

This Self-assessment Tool (SAT) supports local self-government units (LSGUs) in Poland enhance these factors and in particular, to improve their governance and public administration practices. To do to, the tool provides a framework based on the experiences of OECD countries. This SAT develops key indicators on different governance and local development dimensions categorised in three main thematic scopes – enhancing local development and strategic planning, improving service delivery, and strengthening internal management processes. It also supports local self-governments engage with internal and external stakeholders to map and understand the existing obstacles in public governance for local development. The tool builds on the OECD's report on public governance and territorial development in Polish municipalities and counties developed within the framework of the *Better Governance, Planning and Services in Local Self-Governments: Poland* project and is also added as an annex to the report.

Acknowledgements

This paper is the result of a cross-directorate collaboration among different teams within the OECD Secretariat. It was co-ordinated by Isidora Zapata from the OECD Centre for Entrepreneurship, SMEs, Regions and Cities (CFE) and Johannes Klein from the OECD Public Governance Directorate (GOV) under the supervision of Dorothée Allain-Dupré, Head of Unit, Decentralisation, Public Investment and Subnational Finance (CFE), and Adam Knelman Ostry, Head of Unit, Public Governance Reviews (GOV). Isidora Zapata, with the support of Johannes Klein, drafted the introductory section, conceptualised the Self-assessment Tool (SAT) and developed its accompanying implementation guidance. The SAT benefitted from input from different teams within the Secretariat, notably from: Thomas Braendle (GOV), Emma Cantera (GOV), Constanza Caputi (GOV), Jose Enrique Garcilazo (CFE), Guillermo Hernández (GOV), Oscar Huerta (CFE), Gloriana Madrigal (GOV), Dónal Mulligan (GOV), Carla Musi (GOV), Fernando Riaza (CFE), Claire Salama (GOV), Andres Sanabria (CFE) and Marie Whelan (GOV).

The authors acknowledge the valuable comments and input received from the Association of Polish Cities, the Polish Ministry of Development Funds and Regional Policy (MDFRP) and from representatives of more than 50 Polish LSGUs that participated in the two virtual workshops in which the SAT was extensively discussed, tested and applied.

Thanks are also due to Pilar Philip, Lukasz Lech and Ciara Muller, who co-ordinated the production of the document. Elenore Morena proofread the Foreword, Acknowledgements, Section 1 and Section 2 of the paper. The cover of the document was prepared by Erica Weathers.

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1 What is the Self-assessment Tool for local development?

The OECD, in collaboration with the Association of Polish Cities (APC, *Związek Miast Polskich*) and the Polish Ministry of Development Funds and Regional Policy (MDFRP), has developed a Self-assessment Tool (SAT) for Local Self-Government Units (LSGUs) in Poland to support LSGUs in designing and implementing their local development strategies, focusing on key areas of public governance and territorial development.

The development of this tool is part of the project Better Governance, Planning and Services in Local self-governments in Poland: An OECD Assessment (see Box 1.1) that aims to assess LSGU policy and practice in key thematic areas of public governance and territorial development. To accomplish this task, the OECD has developed this SAT in order to support LSGUs to improve their practices and achieve local development objectives more efficiently. The key aspects considered by this tool are based on the experience and practices of leading OECD countries as well as OECD Council recommendations.[1]

Box 1.1. The Better Governance, Planning and Services in Local self-governments in Poland: An OECD Assessment project

The Better Governance, Planning and Services in Local self-governments in Poland: an OECD Assessment project, funded under the European Economic Area (EEA) and Norway Grants mechanism and supported by the MDFRP is part of a broader Regional Development project, which, besides the grant component, includes an extensive technical assistance component implemented by the APC in partnership with OECD.

The OECD assessment builds on numerous collaborations between Poland and the OECD including: *National Territorial Review* (2008); *National Urban Policy Review* (2011); *Public Governance Review* (2013); the report on the *Governance of Land Use in Poland: The Case of Łódź* (2015); and *Rural Policy Review of Poland* (2018). The project also reflects the public governance recommendations presented in the 2017 OECD Better Policies brochure on Poland, linking the country's approach to development with its efforts to implement the United Nations (UN) Agenda 2030 for Sustainable Development Goals.

The main result of the OECD engagement with Polish LSGUs will be a report that provides recommendations for reforms to improve governance practices at all levels of government and capacity in local administrations to better deliver on local development objectives.

This SAT intends to help local actors to assess their status in key governance dimensions that may affect investments undertaken by local administrations, service delivery and, ultimately, local development. The SAT is also a means to create consensus within the local administration on the actions to be taken to strengthen key dimensions to better deliver on local development priorities, improve the way in which services are delivered and strengthen internal management procedures to function more effectively.

This tool results from an engagement with Polish LSGUs started in October 2019. Prior to the development of this SAT, the OECD developed a comprehensive questionnaire, in close consultation with Polish LSGUs as well as the APC and MDFRP, to assess the LSGUs' situation with respect to eight key governance dimensions.[2] In addition, the OECD visited different LSGUs from across Poland, interviewing key stakeholders from within and outside the local administration to better understand and assess the key issues that needed to be included in this tool. It has also benefitted from comments from a wide range of LSGUs with which the tool was tested (see Box 1.2) as well as input from the APC and the MDFRP. The SAT also builds upon previous efforts from the APC to support LSGUs strengthening their governance practices, notably through the "Institutional analysis of the commune: Institutional planning method" developed in 2010 by the Malopolska School of Public Administration of the Economic University of Krakow, in co-operation with the APC, the Association of Polish Counties and the Association of Rural Municipalities (EU-funded). It also builds upon the "Tool for self-assessment of institutional development of inter-municipal partnerships" developed in 2015 as a part of a predefined project implemented by the Polish APC, Association of Polish Counties and Association of Rural Communities, as part of the regional programme funded by the EEA Grants 2009-2014, aimed at building competencies for inter-municipal co-operation.

Box 1.2. Workshops on the SAT

Within the framework of the Better Governance, Planning and Services in Local Self-Governments: Poland project, the draft SAT was extensively consulted and tested with a broad group of Polish LSGU stakeholders during two virtual workshops.

In collaboration with the APC and MDFRP, the OECD organised a first virtual workshop on the SAT on 20 May 2020. The main purpose of this interactive workshop was to exchange views on the content of the draft version of the tool and obtain feedback on aspects that could be improved to better adapt the tool to the Polish local context. A representative sample of 18 LSGUs that had responded to the OECD questionnaire participated in this workshop.

On 25-26 June 2020, a second virtual workshop was organised with representatives of 54 Polish LSGUs. This workshop had a twofold objective. Over the course of the first day, LSGUs participated in a round of several breakout sessions to apply the tool to identify their own challenges and strengths and to acquire a deep understanding of the tool. In addition to this trial application of the SAT, participants were also asked to identify challenges with its application as well as suggestions to refine and make it more user friendly. During the second day, the LSGUs were invited to share their impressions, questions and suggestions to encourage peer learning and dialogue, as each LSGU's self-assessment process can benefit from other LSGUs' approaches and experiences.

Why is the SAT important for LSGUs?

When making use of the SAT, Polish LSGUs will be able to carry out an honest assessment of the main public governance strengths and gaps that may affect the short-, medium- and long-term efficiency and functioning of the local administration. By identifying and planning actions to fill in the gaps, LSGUs will be better able to deliver services under their responsibility and enhance local sustainable development and well-being, by comparing to a framework for improvement based on the experience of OECD countries.

The SAT will also support LSGUs in engaging with different stakeholders within and outside its local administration to map and understand existing gaps and challenges on public governance for local development. Ultimately, this tool may also allow LSGUs to argue for priority setting and budget allocations within the LSGU council and with national or regional governments.

The SAT is an opportunity to bring together all LSGU actors and build ownership on the measures to be taken to enhance local development and well-being and build together a local development strategy through a collective vision and action. The self-assessment's objective is not only to describe the current state but also to transfer knowledge and achieve a joint view on detailed actions LSGUs should take in order to improve their functioning.

The structure of the SAT

The SAT groups different governance and local development dimensions in three main thematic scopes (parts) of analysis for LSGUs to self–assess and take action in order to:

1. Enhance local development and strategic planning.
2. Improve service delivery.
3. Strengthen internal management processes.

These three parts are strongly interconnected and improvements in one of these parts create synergies for improvement in others. For each thematic scope, the OECD has identified key areas of analysis, which in turn are divided into dimensions that identify the main factors of governance that influence the capacity of LSGUs to promote local development and deliver on their responsibilities.

Table 1.1. The structure of the SAT

	Areas	Description
I. Enhancing local development and strategic planning	1. Local development challenges and opportunities	Diagnosing the strengths and challenges of LSGUs linked to demographic change, diversification of the economy, public service delivery, among others, with a forward-looking perspective, is a key step to developing local development strategies adapted to the local reality.
	2. Strategic planning	Strategic planning helps build resilient local economies, which can respond to fast-changing external dynamics. It is vital to enabling governments to articulate and pursue multidimensional objectives.
	3. Monitoring and evaluation	Focusing on performance through monitoring and evaluation mechanisms, including a clear indicators system, improves the efficiency and effectiveness of public investment at different stages of the investment cycle. It does so by linking policy objectives and outcomes and revealing information throughout the investment cycle that should feed into decisions regarding investment in subsequent stages. Moreover, the degree to which cities and municipalities use evidence in making decisions and to which they publicly share the evidence underpinning decisions – both before the decision is taken and once it is being implemented – speaks to its capacity to remain accountable to citizens and to base decision-making on sound evidence.
	4. Subnational finance	As main drivers of public investment, subnational governments need to play an active role in exploiting their own revenue-raising potential to finance investment, to ensure financing for long-term operations and maintenance, and to participate in co-financing arrangements. Adjusting budgetary and fiscal frameworks according to the institutional context and the variety of local situations or capacities should help to modernise and make LSGUs more efficient and responsible.
	5. Inter-municipal co-operation	Joint actions facilitate investing at the relevant scale, improving investment efficiency through economies of scale. Co-ordination of investments and development policies favour growth and productivity, especially in metropolitan areas. Moreover, reaching an efficient scale and viability for investment, in particular infrastructure investments, improve the attractiveness for private involvement.
	6. Co-ordination across levels of government	Co-ordination across levels of governments is crucial to align objectives between the national and lower levels of government and bridge information, financing and capacity gaps. It also allows for bridging synergies to address multidimensional challenges and gain insight into which actions work best, where to implement them and under what conditions.
II. Improving service delivery	7. Digitalisation	The digital transformation of the society and economy is radically changing service delivery practices. The shift from reactive to proactive service delivery mechanisms, enabled by a transition from e-government to digital government, where the use of digital technologies is

	Areas	Description
		assumed as an integrated part of governments' modernisation and innovation strategies offers the chance to better respond to user demand.
	8. Open government	The promotion of the principles of open government – transparency, accountability, integrity and stakeholder participation – across all levels of government enables more effective and responsive policy-making and service delivery, ultimately contributing to restoring public trust. By embedding these principles into decision-making processes, governments promote inclusive governance and foster stakeholder engagement.
	9. Monitoring and evaluation of public services	While economic, social and environmental challenges are increasingly complex, governments are facing growing pressure to deliver more and better for less. Policy monitoring and evaluation (M&E) has a critical role to play in effectively designing, implementing and delivering public policies and services. Ensuring that policy-making is informed by sound evidence on what works is essential to achieve key long-term objectives.
	10. Regulatory assessments	When designing, implementing or reviewing a policy, law, regulation or other type of "rule", governments should always consider its likely effects. Regulatory impact assessment (RIA) provides crucial information to decision-makers on whether and how to regulate to achieve public policy goals. *Ex post* assessments (or evaluations) of the impact of regulations are also considered in this SAT.
	11. Administrative burden and public procurement	Promoting transparency and strategic use of public procurement at all levels of government is important to diminish the risk of fraud and corruption. Governments should use procurement to ensure effective public service delivery while pursuing strategic government objectives – not only value for money and integrity, but also wider objectives such as greening public infrastructure, adapting to climate change, supporting innovation or SME development.
III. Strengthening internal management processes	12. Co-ordination across administrative units	Internal co-ordination is important to ensure that administrative units consider each other's work when taking decisions in order to avoid increased costs, lack of consistency between policies, duplication of efforts and burden for citizens. Through systematic strategic co-ordination, individual units cannot only achieve their own goals more efficiently but can also contribute to creating synergies and accomplishing shared objectives that benefit the whole LSGU.
	13. Budgeting	The budget is a national policy document of government, showing how annual and multi-annual objectives will be prioritised and achieved. Alongside other instruments of government policy – such as laws, regulation and joint action with other actors in society – the budget aims to turn plans and aspirations into reality. More than this, the budget is a contract between citizens and the state, showing how resources are raised and allocated for the delivery of public services.
	14. Public employment and management	Strategic human resource management allows governments to align their workforce with their goals. It enables governments to have the right number of people with the right skills in the right place. Such practices help governments increase efficiency, responsiveness and quality in service delivery. Also, the nature of work in the public sector is changing rapidly and the capabilities of public servants and those who lead them are constantly required to adjust. To keep pace, governments look for new ways to develop and manage skilled, committed and trusted public workforces.

Notes

[1] OECD recommendations are instruments approved by the OECD Council that result in international norms and standards, best practices and policy guidelines. For more details, see Note 2.

[2] The eight governance dimensions include: Co-ordination across administrative units and policy sectors; Strategic planning; The use of evidence in strategic decision-making; Budgeting; Strengthening multi-level governance and investment capacity; Toward a more strategic and effective workforce; Open government; Reducing administrative burden and simplifying public procurement.

2 Implementing the Self-assessment Tool (SAT) at the local level

The SAT is intended to be used regularly by LSGUs as a guide and support for the unit's strategic planning process and its implementation by linking best governance practices with local development objectives. As a dynamic tool, the analysis is meant to be repeated over time to help LSGUs assess progress and adjust their activities and investments accordingly.

This tool covers good governance essentials and considers several features intended to maximise the efficiency and reliability of the self-diagnosis instrument. These are:

- ease of use
- simple language and definition of specific terms when required(see Glossary)
- reasonable completion time
- comprehensiveness
- sufficient specificity to be used as a self-diagnostic and governance improvement tool.

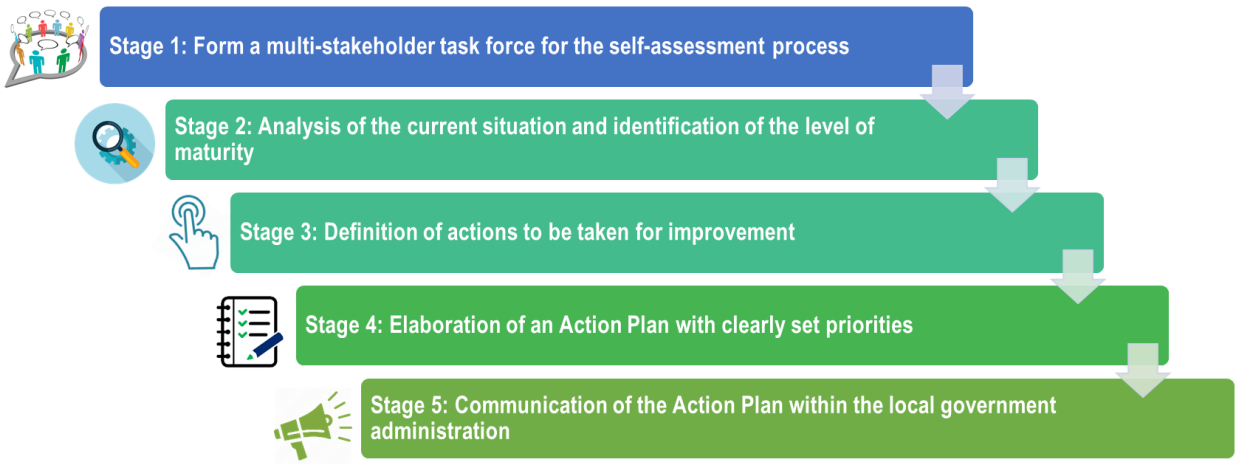
For each area of the three parts of analysis, the OECD has identified key dimensions with three levels of maturity. Each of these levels adds to the previous level and provides the foundations for continuous improvement. For each maturity level, the SAT identifies a checklist of actions the LSGU should have in place in order to identify its level of maturity for each indicator. The three levels are defined as follows:

1. **Initial/baseline**: The first maturity level considers the basic actions an LSGU can take in the different dimension/sub-dimensions. It reflects that the system/conditions are not necessarily in place, not functioning well or limited to what is required by law.
2. **Satisfactory/intermediate level**: The second level of maturity reflects that the sub-dimension is better understood, bringing some organisation, standardisation and systematisation of practices, and that the LSGU has implemented some steps to advance but that improvements are still needed.
3. **Optimised/good practice**: The third level of maturity represents the best practice for each indicator and reflects that the system in place works satisfactorily. This best practice reflects that the LSGU has proactively implemented measures to perform at its best and is based on the experience of different OECD countries and several OECD recommendations and instruments.[1]

Implementation steps: Making the most of the SAT

The SAT accompanies each LSGU in its strategic planning process that is carried out every few years. The OECD has identified **five key stages to guide LSGUs on how to make the best use of the tool** alongside the strategic planning process (see Figure 2.1).

Figure 2.1. The five stages to apply the SAT: A participatory process



To apply the SAT, each LSGU should ensure **participation and engagement** from all relevant actors. The self-assessment result itself is as important as the process conducted by the LSGU to reach the final self-assessment in order to build ownership of its results across the LSGU administrative structure. Such an approach also allows for more effective and smoother implementation of the subsequent action plan (Stage 4) that is developed in consequence of the self-assessment process. The self-assessment is thus an exercise that requires broad participation at all stages of implementation and serves, at the same time, as a capacity building and dialogue process.

Stage 1: Forming a multi-stakeholder task force for the self-assessment process

☑ Form a **multi-stakeholder task force** that is comprised of actors from different areas of the LSGU administration.

To ensure participation and buy-in from all staff within the LSGU administration, it is useful to start the self-assessment process by setting up a task force responsible for the entire exercise. This task force should involve all stakeholders interested in participating.

The composition of the task force should be balanced and should include actors involved in the three main analytical parts of the tool, i.e. local development, service delivery and internal management processes. The LSGU should strive to also include those actors who are traditionally under-represented in decision-making. It can also envisage involving external stakeholders such as civil society representatives or private sector actors to further ensure credibility and legitimacy. The involvement of external actors as moderators/facilitators for the entire process can also have a positive effect on the quality of results.

Stage 2: Analysing the current situation and identify the level of maturity

☑ **Carry out an individual analysis** of the LSGU's current situation per dimension.

Each member of the task force should conduct a preliminary review of the LSGU's current situation in all of the areas and dimensions included in the SAT. This individual exercise allows each member of the task force to carry out the analysis without external influences. It also enables all members to identify where they may have a knowledge gap, a process that can be informative in itself.

☑ **Discuss among the members of the task force** for a preliminary identification of the main gaps and areas for improvement per dimension.

Each member of the task force should share the individual analysis carried out in the previous step, by area and dimension. The task force should discuss and agree on a common description of the LSGU's

current situation per dimension by reviewing all relevant practices, policies, actions and documents related to each dimension. Based on this analysis and following the criteria specified for the three levels of maturity for each dimension, the task force should identify the LSGU's level of maturity per dimension.

☑ **Dialogue with all relevant stakeholders** of the LSGU administration.

The task force should share and discuss with all relevant stakeholders within (and when relevant, outside) the LSGU administration. Through this process, the task force will be able to discuss the preliminary identification of the main gaps and areas for improvement per dimension. This dialogue will also help the task force fill in any missing information or address knowledge gaps members of the task force may have.

☑ **Identify gaps and areas for improvement** to be addressed per area and dimension.

Once the task force has conducted these various discussions and reviewed relevant actions, strategies, plans and policies, it should be able to identify the LSGU's level of maturity per dimension. By identifying all corresponding levels of maturity, the task force is also examining the main gaps and areas for improvement in the three thematic dimensions covered by the SAT. By completing this exercise, the task force should be able to list all actions that should be taken in order to improve the LSGU's performance in each of the dimensions.

Stage 3: Defining the actions to be taken for improvement

☑ **Consult and engage** with different stakeholders within the local administration on **the priorities for improvement**.

Once the task force has identified the main gaps and areas for improvement, it should consult with all relevant stakeholders within (and outside) the LSGU to determine which actions should be set as priorities for the LSGU. This dialogue allows contrasting perspectives on the main challenges within the administration as well as the main strengths of the location that shape its comparative advantage.

Involving actors beyond the task force in this process is crucial in order to further build ownership and legitimacy of the prioritisation process. This step will also help to create a common vision (see Stage 4), by disseminating the main points of the self-assessment and by stimulating interest and debate among a broad range of LSGU staff.

☑ **Elaborate a preliminary list of prioritised measures** to address the existing gaps and move towards higher levels of maturity per dimension.

Based on the discussion over priorities and self-assessment, the task force should define a list of the most important areas for improvement to fill in the gaps detected through the self-assessment process. The prioritisation of actions is a process that integrates the results of stakeholder consultations and discussions and the political priorities of the LSGU authorities.

Stage 4: Elaborating an action plan with clearly set priorities and a common vision

☑ **Develop an action plan** specifying detailed prioritised actions in consultation with the different relevant teams within the administration.

Before formulating the action pan, the task force will have to narrow the preliminary long list of priority areas down to the most important and strategic ones. The task force also needs to involve different stakeholders in this process. If a priority does not appear on the shortlist to be included in the action plan, this does not mean that the priority will not be addressed. Several priorities may be related and can be combined to create a new priority for the shortlist.

The action plan should identify key strategic priorities for improvement in the three parts of the SAT: i) actions that will enhance local development; ii) actions that will enable delivering better services to all

citizens; and iii) actions that will improve and make more efficient internal management processes. All these actions combined will enable the LSGU to better serve its citizens and achieve development goals more efficiently. It is recommended for the task force to ensure, when relevant, the alignment of the priority areas with national and/or regional goals and priorities.

☑ **Identify staff/units responsible for implementing each action** and define a specific timeframe.

To facilitate the implementation of the action plan and ensure accountability, the plan should clearly state the main unit responsible for implementing the defined actions as well as a timeframe for its implementation. The unit responsible for each action needs to be involved in the definition of the action as well as setting the timeframe.

Stage 5: Communicating the action plan within the LSGU administration

☑ **Communicate the action plan** within the local administration and, when relevant, to outside stakeholders/citizens. The plan must be widely disseminated in order to ensure awareness among the LSGU's staff.

All implementation stages seek to engage with relevant stakeholders within and outside (when relevant) the LSGU administration. Applying the tool and discussing the results of the self-assessment process helps to bring people together around common goals.

This engagement process needs to conclude with clear and efficient dissemination of the final action plan to all LSGU staff (and external stakeholders, if they participated in the process). This final communication exercise also helps to create LSGU staff commitment to the improvement of the chosen actions.

Box 2.1. Guidelines on how to read SAT maturity levels

1. Read and understand the description of each maturity level per dimension

The task force should spend time understanding what is expected in each of the maturity levels per dimension. It is important that the task force focuses on one area and dimension at a time.

2. Verify the actions and check the box

Each maturity level per dimension has a list of actions (checkboxes) and/or policies that allow identifying more easily where the LSGU is situated. The task force should conduct a careful analysis, in consultation with all the relevant stakeholders (see Stage 2 of implementation), to identify whether the LSGU has in place the actions or policies specified in each checkbox.

3. Identify the maturity level

In order to identify the maturity level of each dimension, the LSGU needs to have in place all of the requirements specified in the checkbox list. If the LSGU cannot check the box of the full lists of actions, then the LSGU has not fully attained that level of maturity.

For some specific cases, the LSGU is not required to fulfil the complete lists of actions. In those cases, alternative actions are identified by "or".

Note

[1] OECD recommendations are instruments approved by the OECD Council that result in international norms and standards, best practices and policy guidelines. For this tool, several OECD recommendations and instruments are mobilised, notably: Recommendation on Effective Public Investment across Levels of Government; Principles on Urban Policy; Principles on Rural Policy; Recommendation on Budgetary Governance; Recommendation on Regulatory Policy and Governance; Recommendation on Public Service Leadership and Capability; Recommendation on Open Government; Recommendation on Public Procurement.

3 Self-assessment Tool: enhancing local development and service delivery in Poland

PART 1. Enhancing Local Development and Strategic Planning

Area	Dimension	Maturity levels		
1. Local development challenges and opportunities	1. Identification of local development challenges	The LSGU has identified development challenges in the community but without a clear differentiation among short, medium and long term. The LSGU does not disseminate the identification of these challenges across the LSGU's administration. ☐ The identification of development challenges for the LSGU is mainly driven by individuals (e.g. Mayor or experts). ☐ The mayor and/or senior managers communicate the development challenges mainly during the campaign process and/or at the beginning if his/her mandate.	The LSGU has established a process to identify the main development challenges for the community development in the short, medium and long-term perspectives. These challenges are established in a document or website. The LSGU has communicated these challenges across the LSGU's administration. ☐ There is a formally appointed person/team within the LSGU in charge of identifying LSGUs development challenges in the short, medium and long-term perspectives. ☐ The LSGU has a document or website that clearly identifies and mentions these challenges ☐ The mayor and senior managers communicate to key (and	The LSGUs staff from different levels of the administration can clearly identify the main development challenges for the community for the short, medium and long-term perspectives. These challenges have been defined through consultations within the administration and/or external experts and have been communicated, discussed and validated by relevant staff. The LSGU has used specific indicators and data to identify these challenges for development. These challenges are established in a document or website. ☐ There is a formally appointed person/team within the LSGU (with a possible support from an external agency) in charge of identifying LSGUs development challenges in the short, medium and long-term. ☐ The person/team uses data and indicators to identify development challenges

Area	Dimension	Maturity levels		
			not all) staff the development challenges of the LSGU.	☐ The LSGU has a document or website that clearly identifies and mentions these challenges ☐ Staff from different levels of local government administration have discussed and provided feedback on the identified development challenges. ☐ The person/team, together with the mayor widely communicate these challenges within the LSGU's administration.
	2. Identification of local development opportunities	The LSGU has identified development opportunities in the community but without a clear differentiation among short, medium and long term. The LSGU does not disseminate the identification of these challenges across the LSGU's administration. ☐ The identification of development opportunities for the LSGU is mainly driven by individuals (e.g. Mayor or experts). ☐ The mayor and/or senior managers communicate the development opportunities mainly during the campaign process and/or at the beginning if his/her mandate.	The LSGU has clearly established a process to identify areas of development opportunities for the community in the short, medium and long-term perspectives. Staff from different levels of the local government administration, including the mayor, have a clear idea of these development opportunities. These opportunities are established in a document or website. ☐ There is a formally appointed person/team within the LSGU in charge of identifying LSGUs development opportunities. ☐ The LSGU has a document or website that clearly identifies and mentions these opportunities ☐ The mayor and senior managers communicate to key (and not all) staff the development opportunities of the LSGU.	The LSGUs staff from different levels of local government administration can clearly identify the main development opportunities for the community in the short, medium and long-term perspectives. These opportunities have been defined through consultations within the administration and/or external experts and have been communicated, discussed and validated by relevant staff. The LSGU has used specific indicators and data to identify these opportunities for development. These opportunities are established in a document or website. ☐ There is a formally appointed person/team (with a possible support from an external agency) within the LSGU in charge of identifying LSGUs development opportunities. ☐ The person/team has used data and indicators to identify development opportunities. ☐ Staff from different levels of local government administration have participated in the definition of the development opportunities. ☐ The LSGU has a document or website that clearly identifies and mentions these opportunities ☐ The person/team, together with the mayor widely communicate these opportunities within the LSGU's administration.
	3. Identification of clearly defined local development priorities	The definition of local development priorities for the community is done by the Mayor and/or senior managers There is no differentiation between short, medium or long-term priorities. The LSGU does not disseminate the identification of these priorities across the LSGU's administration.	The LSGU has a clear process to define the development priorities. For some cases, there is a differentiation between short, medium and long-term priorities and they are documented. Staff from different levels of local government administration, including the mayor, have knowledge of these development priorities. These priorities are established in a	The LSGU has a clear process to define the development priorities for the short, medium and long terms. These priorities have been defined through consultation with all relevant staff within the LSGU's administration, as well as with external stakeholders when relevant. The definition of priorities has been well documented (based on data and/or

Area	Dimension	Maturity levels		
		☐ The identification of development priorities for the LSGU is mainly driven by the Mayor and/or senior managers. ☐ The Mayor communicates the development priorities during the campaign process and/or at the beginning if his/her mandate.	document or website ☐ There is a formally appointed person/team within the LSGU in charge of defining the process to identify the LSGUs development priorities. ☐ These development priorities are clearly established in a document or website ☐ The mayor and senior managers have clearly communicated to all staff the development priorities of the LSGU.	indicators) and clear targets have been set. These priorities are established in a document or website ☐ There is a formally appointed person/team (with a possible support from an external agency) within the LSGU in charge of defining the process to identify the LSGUs development priorities. ☐ The person/team has used data and indicators to define development priorities. ☐ These development priorities are clearly established in a document or website ☐ Staff from different levels of local government administration have actively participated in the identification of development priorities. ☐ The person/team, together with the mayor widely communicate these priorities within the LSGU's administration.
	4. Identification of functional linkages (e.g. transport, public services including education and health, spatial planning and labour linkages) among neighbouring LSGUs (urban, rural and mixed municipalities)	The LSGU is not monitoring, nor has factual knowledge of functional linkages among the local community with other rural, urban or mixed LSGUs. ☐ Responsibilities for monitoring/identifying functional linkages among LSGUs, through actual data collecting is not assigned to any person/team within the LSGU.	The LSGU understands importance of monitoring/identifying functional linkages s within the municipality and/or with neighbouring municipalities (rural, urban or mixed), resulting in the identification of: • Functional linkages across space (such as flows of people, goods, money, information and wastes), and • Functional linkages between sectors of economy (for example, between agriculture and manufacturing, as well as public and private sector services). ☐ There is a person/team within the LSGU in charge of identifying rural-urban functional linkages. ☐ The identification of the rural-urban functional linkages is based on data or information provided by higher levels of governments (when available). ☐ The LSGU has specific policies to take advantage of the functional linkages.	The LSGU has clearly identified and has good and regularly updated knowledge of linkages within the municipality and/or with neighbouring municipalities (rural, urban or mixed) resulting in the identification of, including: • Functional linkages across space (such as flows of people, goods, money, information and wastes), and • Functional linkages between sectors of economy (for example, between agriculture and manufacturing, as well as public and private sector services). The LSGU has taken specific actions to ensure that these linkages are mutually beneficial *(see indicator 22)* ☐ There is a person/team within the LSGU in charge of identifying rural-urban functional linkages. The identification of the functional linkages is based on: ☐ data or information provided /generated by higher levels of governments ☐ data and/or analysis developed internally ☐ The LSGU has specific policies to take advantage of the

Area	Dimension	Maturity levels		
				linkages and ensures that they benefit all parties involved.
	5. Alignment to global agenda of climate change	The LSGU has awareness of the global agenda and political will to align local initiatives to mitigate or adapt to climate change. Yet, local plans/policies to mitigate and adapt to climate change have not been undertaken. . ☐ The LSGU has awareness of the global agenda and has conducted diagnoses of the main challenges relevant for the community in this area ☐ The LSGU has not implemented any initiative or action to adapt to climate change. ☐ The LSGU has not planned any project to mitigate and adapt to climate change.	The LSGU has growing awareness of the global agenda to mitigate and adapt to climate change. The LSGU has developed a policy to adapt and mitigate climate change but no concrete local actions have been implemented. ☐ The LSGU has developed a policy identifying an action plan or initiatives to mitigate and adapt to climate change. ☐ The planned actions are aligned with national and/or regional priorities.	The LSGU has a high awareness of the global agenda to mitigate and adapt to climate change and has taken a number of concrete actions at the local level to mitigate or adapt to climate change. ☐ The local development plan includes concrete actions and initiatives to mitigate and adapt to climate change. ☐ The LSGU is completing concrete actions and initiatives to mitigate and adapt to climate change (for example, infrastructure investments) and raise awareness of local residents. ☐ The actions and initiatives are aligned with regional and/or national priorities.
	6. Foresight and adaptation to future demographic scenarios	The LSGU has no knowledge or has basic knowledge of future demographic trends in its local community but has not analysed how these trends will change future infrastructure and service delivery needs. ☐ The LSGU has only basic knowledge of future demographic scenarios. ☐ The LSGU has not yet developed initiatives or plans based on the future demographic scenarios.	The LSGU has information on these future scenarios and analysed data about the future needs of its community Yet, no plans/strategies have been developed to face the future scenarios. ☐ The LSGU has access to data, produced either internally, by higher levels of government or commissioned externally, to analyse future demographic scenarios and the needs in the LSGU on infrastructure or service delivery. ☐ The LSGU has not yet developed initiatives or plans based on the future demographic scenarios.	The LSGU has a good notion about future demographic trends and has identified a number of strategies to face the future scenarios. ☐ The LSGU has developed/commissioned forecasts and analysed forecasting demographic data to elaborate future demographic scenarios and their consequences for the local socioeconomic situation. ☐ There are discussions on future needs in the LSGU on infrastructure or service delivery based on these forecasts ☐ The LSGU has developed concrete plans to face the future scenarios. ☐ The local development strategy includes concrete actions to adapt to future needs on infrastructure or service delivery
2. Strategic Planning	7. Preliminary works for the preparation of the local development strategy (LDS) (see indicators 1, 2, and 3)	The LSGU identifies development challenges, opportunities and priorities (see indicators 1, 2, and 3). The LSGU outsources the elaboration of the studium (spatial development plan) and local development strategy (LDS) providing a clear timetable to the external experts that sets dates for deliverables.	The LSGU identifies development challenges, opportunities and priorities (see indicators 1, 2 and 3) to elaborate a diagnostic of the level of development of the LSGU (this diagnostic could be elaborated either by the LSGU itself or commissioned to external experts). The LSGU, with the technical support of external experts, prepares the studium (spatial development plan) and the local	The LSGU identifies development challenges, opportunities and priorities (see indicators 1, 2 and 3) to elaborate a diagnostic on the level of development of the LSGU. The LSGU takes the lead but may request external technical assistance on very specific (technical) issues. The LSGU takes the leadership in the elaboration of the studium (spatial development plan) with extensive

Area	Dimension	Maturity levels		
		The spatial development plan covers only part of the territory and includes certain level of flexibility to adapt to new developments (i.e. economic, technological). It includes provisions to ensure that the property rights do not become automatically into development rights. The external experts are primarily in charge of the elaboration of the studium, and the LDS with minimal participation of community members. The LSGU comments, revises and eventually adopts the plan developed by the external experts. ☐ The LSGUs development strategy and sodium are prepared by external experts ☐ The LSGU prepares a timetable for external experts. ☐ The spatial development plan only covers a small part of the territory. ☐ The LSGU provides comments revises and eventually adopts the plan developed by the external experts.	development strategy (LDS) (drafting is carried out by either the LSGU or external experts). The spatial development plan covers at least 50% of the territory of the locality and it is open up to development areas and uses that can realistically be developed within the validity of the spatial plan. It includes certain level of flexibility to provide for new developments (i.e. economic, technological).). It includes provisions to ensure that the property rights do not become automatically into development rights. The LSGU and external experts define a: i) the timetable for the preparation and adoption of the LDS; and ii) a community involvement scheme that determines how and when the LSGU proposes to consult and engage with various stakeholders. There is minimum participation of residents and local private sector stakeholders in the elaboration of the studium and the diagnostic of the level of development. ☐ The LSGUs prepares the local development strategy and a studium with the support of external experts. ☐ The LSGU prepares a timetable for external experts. ☐ The LSGU together with external experts that defines a community involvement scheme that determines how and when the LSGU proposes to consult and engage with various stakeholders ☐ The spatial development plan covers at least 50% of the territory of the locality. ☐ There is minimum participation of citizens and private sector stakeholders in the elaboration of the diagnostic and studium.	participation of citizens and stakeholders. External consultants may provide technical advice. The LSGU sets : i) the timetable for the preparation and adoption of the LDS; and ii) a community involvement scheme that determines how and when the LSGU proposes to consult and engage with various stakeholders. The LSGU prepares a diagnosis based on specific data, identifies the key development opportunities, challenges and priorities. The vision and strategic objectives are set out, and form the core of the strategy. The document contains the risk analysis of the Strategy implementation, monitoring and evaluation plan and reliable sources of funding. The spatial development plan covers the entire territory of the locality, includes provisions for the development of areas and uses that can realistically be carried out during the duration of the spatial plan. It includes limitations for the development of certain lands (i.e. historic, natural conservation areas etc.). It includes provisions to ensure that the property rights do not become automatically into development rights. ☐ The LSGUs development strategy and studium have been prepared internally with technical support of external experts. ☐ The LSGU defines a realistic timetable based on risk analysis, defines necessary resources and contains plan for engagement of stakeholders and citizens. ☐ The spatial development plan covers the entire territory of the locality. ☐ The LDS is integrated with other policies of the LSGU

Area	Dimension	Maturity levels		
	8. Planning horizon of the local development strategy (see indicators 1, 2 and 3)	The LSGU adopts a local development strategy (LDS) that has a development vision for the duration of the LSGU government's term in office (5 years) based on its responsibilities and competencies. It includes annual or biannual development goals. ☐ The LDS has a 5-year vision and objectives. ☐ The LDS includes annual or biannual development goals	The LSGU's local development strategy (LDS) has a medium-term development vision (5-years) supported by short- and medium-term goals, building on the capability of the local administration (e.g. SWOT analysis) and its responsibilities and competencies. ☐ The LDS has a medium-term development vision (5years) and short and medium-term goals. ☐ The LDS is based on a SWOT analysis of the LSGU	The LSGU's local development plan has a medium to long-term development vision (5- 10 years) supported by short, medium and long-term goals, building on the capability of the local administration and the LSGU's responsibilities and competencies. ☐ The LDS has a medium to long-term development vision (up to 10 years) supported by medium and long-term goals. ☐ The LDS is based on a thorough analysis of the LSGUs capabilities, including a SWOT analysis as well as analysis of the financial and human resources) and the local assets of the territory (e.g. natural resources, agricultural land, cultural heritage, infrastructure, etc.)
	9. Vision and objectives of the local development strategy	The LDS includes a series of strategic objectives based on the analysis made internally or by external experts on the main challenges and opportunities for local development (see indicators 1 and 2) ☐ The LDS includes strategic objectives. ☐ An analysis of the LSGU socio-economic situation is conducted internally or by external experts.	The LDS includes a vision on how the LSGU will develop in the medium term emphasising local distinctiveness. The LDS includes a mission statement and a strategy that links goals to resources (e.g. budget and human resources) The vision and mission of the LDS are based on the main opportunities and challenges identified by the LSGU, as well as the main priorities (see indicators 1, 2 and 3) ☐ The LDS includes a medium-term vision. ☐ The LDS includes a mission statement and strategy linked to resources. ☐ An analysis of the challenges and opportunities in the LSGU is conducted to identify main priorities of development.	The LDS sets out a clear, distinctive and realistic vision of how the LSGU will develop and change, including how the LSGU sees itself in the future regional and national context. The LDS promotes an integrated approach to spatial planning across functional areas and encourage links between urban and rural areas development needs. The vision and objectives provide an over-arching context that show how economic, social and environmental challenges can be faced to deliver sustainable development in the medium- and long-terms. The LDS includes a mission, strategy and tactics to achieve the long-term vision based on an analysis of the economic climate outside the public sector (political, economic, social, technological, legal and environmental), and the budgetary resources available. ☐ The LDS includes a medium- term vision including how it sees itself in the regional and national context. ☐ The vision and objectives show the path to sustainable development. ☐ An analysis of the economic climate and budgetary resources available is conducted to support the mission, strategy and tactics.

Area	Dimension	Maturity levels		
	10. Content of the local development strategy (LDS).	The LDS specifies strategic objectives in the main areas of responsibility of the LSGU (e.g. cadastre, building, water supply and sewage, landfills, primary and secondary education, etc.). The LDS is informed by the spatial planning considerations of the studium, which serve as a basis for the implementation of revitalisation actions contemplated in the LDS. The LDS includes, based on some form of consultation with key stakeholders, policy actions to address the most pressing needs of the LSGU on infrastructure, transport, housing, public services, etc. ☐ The LDP includes a set of specific strategic objectives and incorporates a spatial planning approach. ☐ The LSGU is informed by the spatial planning considerations of the studium. ☐ The LDS includes policy actions to address current socio-economic needs and challenges.	The LDS specifies strategic objectives and includes a list of investment projects and programmes/policies linked to each strategic objective for development in the main areas of responsibility of the LSGU. The LDS outlines, based on consultation with some stakeholders, experts and officials, policy actions on how to i) address key current environmental, economic and social issues and trends affecting the LSGU; and ii) meet development needs of the LSGU (e.g. Including general locations for new housing, infrastructure, and directions for employment, public services scope, etc.) The LDS is informed by spatial implications of other relevant policies and programmes (for example urban revitalisation, economic development, urban regeneration, education, health, crime prevention, waste management, recycling, and environmental protection) and identifies land suitable for future development. ☐ The LDS includes a set of interlinked strategic objectives and investment priorities. ☐ The LDS includes policy actions for economic, social development and address key current needs of the locality. ☐ The LDS is informed by the spatial implications of other policy domains and identifies land suitable for future development.	The LDS specifies strategic objectives and includes a list of investment projects and programmes/policies linked to each strategic objective for development linked to reliable sources of funding. The LDS outlines, based on a wider consultation with different stakeholders, experts and officials, policy actions on how to i) address key current environmental, economic and social issues and trends affecting the LSGU; ii) meet development needs of the LSGU (e.g. including specific locations for urban revitalisation, new housing and infrastructure, directions for employment, public services development, etc.), and iii) measures to address the impact of socio-economic activities (i.e. damages to the environment). The LDS creates links between spatial and sectoral plans such as urban transport, climate change and the provision of social services; and the LDS sets the basis for delivering the strategies and plans of different policy domains (and therefore of ministries and agencies) not traditionally involved in land use planning but that have an impact on spatial development. ☐ The LDS sets strategic investment priorities in areas that support future development. ☐ The LDS outlines policy actions to address socio-economic needs and environmental challenges as well as ways to address their impact. ☐ The LDS creates linkages between spatial and sectoral plans. ☐ The LDS sets the basis for delivering strategies and plans from other policy domains not rationally linked to land use planning.
	11. Planning coherence across levels of government	The LSGU's local development strategy (LDS) includes references to national, regional, or district strategic development priorities as required by law. It states how it is contributing to national and regional developments goals.	Most strategic documents and sectoral management documents (the LDS and sectoral development plans/strategies) are in conformity with regional and national development plans. They state how they are contributing to national and regional developments goals and how upper level plans are supporting the LSGU's development	All strategic and sectoral management documents (the LDS and sectoral development plans/strategies) are consulted with higher levels of government for consistency with national planning policy, as well as with the regional development plan, in particular with regional spatial planning.

Area	Dimension	Maturity levels		
		☐ The LDS makes references to other levels of government development priorities. ☐ The LDS explicitly mentions how it is contributing to national and regional developments goals.	objectives. Authorities in the LSGU liaise regularly with higher levels of governments to align policy priorities through, for example, policy discussion forums or informal bilateral meetings. ☐ The LSGU's LDS and supplementary documents are in line with regional development policies. ☐ LSGUs liaise regularly with upper levels of government (formal or informal bilateral meetings at the request of the LSGU).	There is regular (formal and informal) dialogue between the LSGU and higher levels of government on development priorities and opportunities. The LSGUs considers and integrates (when relevant) the comments from higher levels of government into the final version of the LDS. ☐ All strategic and sectoral management documents are in line with the national planning policy and regional plans after a consultation process with higher levels of government. ☐ When relevant, comments on the draft LDS from higher levels of government are integrated into the final version.
	12. Co-ordination with neighbouring LSGU(s) for the LDS	During the preparation phase of the LDS, the LSGU defines the objectives and priorities after consultation with neighbouring LSGUs that are required by law. The LDP contains exclusively investments programmes and service delivery projects that do not require co-operation, co-ordination nor collaboration with neighbouring LSGUs. ☐ There is a consultation process with neighbouring LSGUs to define the objectives of the LDS. ☐ Local investment projects considered in the LDS do not require partnering with neighbouring LSGUs.	During the preparation phase of the local development strategy, the LSGU integrates the inputs provided by neighbouring LSGUs as it fits, after a policy dialogue and exchange of feedback. The LDS shares some common social and economic development objectives with the LDSs of neighbouring LSGUs although they may have different social, economic and political contexts. This serves to coordinate investment actions and service delivery projects but LSGUs act separately based on their technical and financial capability. ☐ The LDS benefits from inputs provided by neighbouring municipalities. ☐ The LDS share some development objectives with the LDSs of neighbouring LSGUs. ☐ The LDS includes investment actions and service delivery projects that benefits from inputs provided by neighbouring	The LSGU integrates comments and suggestions received during the consultation with neighbouring LSGUs as it fits, after a formal and informal policy dialogue and exchange of feedback. The LDS shares some common points with the LDS of neighbouring LSGUs as they have to deal with similar problems and issues, although the economic, social and political situations may be very different. The LDS includes investments projects that require the collaboration (financial, technical, managerial) with the neighbouring LSGUs that form the functional urban area. LDP calls for integration of some of the public services delivery with neighbouring LSGUs, to improve their quality, or accessibility, or cost efficiency. ☐ The LSGUs at the same level exchange feedback on their respective LDS. ☐ The LDSs from different LSGUs share some common policy objectives. ☐ The LDS contemplates forming partnerships with other

Area	Dimension	Maturity levels		
			municipalities	LSGUs for service delivery and investment.
	13. Participatory design process of the LDS	The staff in the LSGU is aware of regulations requiring public participation in local development planning before decision-making and takes measures to ensure the legal obligations are met. The draft LDS is published (generally online) to inform the public and obtain stakeholders' (citizens, private sector, NGOs, etc.) feedback on analysis, alternatives and/or decisions. Feedback received from citizens and stakeholders is used on an ad hoc basis. ☐ The LSGU staff is aware of the legal obligations on citizens' involvement in decision-making. ☐ The LDS is consulted with a minimum number of citizens and other stakeholders for feedback, comments and information.	The LSGU consults citizens in the early stage of the design of the planning process to define strategic priorities to be included in the LDS as well as once the strategy has been elaborated to validate it and receive final comments. The LSGU begins the process of engaging with citizens by explaining the objectives to be achieved and letting citizens know how their input will be factored into the final decision. The LSGU adopts mechanisms (e.g. public hearings, focus groups, townhall meetings, online information) to facilitate discussions and agreements between government and the public (citizens, NGOs, private sector) to identify common ground for action and solutions to be included in the LDS. Some actors are explicitly invited to this dialogue. The LSGU provides citizens with feedback on how their inputs were incorporated into the LDS and the decisions made. LSGU consistently use feedback received from citizens and stakeholders. ☐ The LSGU consults with a minimum number of citizens throughout the planning process (from the definition of priorities until its final approval). ☐ The LSGU has specific mechanisms to enable dialogue with different stakeholders. ☐ The LSGU informs stakeholders how their input was used.	The LSGU promotes stakeholder engagement in the design and implementation of the LDS. The LSGU develops mechanisms that ensure involving all segments of society, in particular vulnerable residents and users (i.e. disabled, migrants, elderly, youth). The LSGU adopts a communication plan (formal lower level document) for disseminating the results of the LDS, communicating with and being accountable to the population. This includes communicating what can and cannot be accomplished in the short term. This communication continues during the implementation phase of the LDS for continuous improvement. ☐ The LSGU promotes stakeholder engagement in the design and implementation of the LDS. There is an extensive participation of citizens and private stakeholders. ☐ The LSGU manage citizens expectations form early stage and explain the decision-making process. ☐ There is a communication plan for the dissemination of results.
	14. Linkages between budgeting and planning processes	Budgeting needs and planning for local development are not closely tied. Budgeting for investment projects for development is based on an annual budget availability.	The LDS specifies investment projects that are linked to budgetary lines. This allows LSGUs to allocate resources on the basis of clear policy choices to achieve the goals of the LDS. Planning investments is done on a yearly basis but consideration is given to the expenditure of the following year	The LDS allocates resources to investment priorities based on cost-benefit analysis and local needs. This allows LSGUs to allocate resources on the basis of clear policy choices to achieve the goals of the LDS. The LSGU adopts a medium-term budgeting framework that signals expenditure in future years and the distribution of

Area	Dimension	Maturity levels		
			(two years budget planning).	resources among programmes. The LDS is consistently updated to ensure relevance.
		☐ Budget and LDS not closely aligned. ☐ Budgeting for investment is done on a yearly basis.	☐ Budget and the LDS are closely tied allowing linking resources to policy choices. ☐ Planning is done on a two-year basis or longer.	☐ The budget setting process is built around the LDS. ☐ Expenditure allocation is based on cost-benefit analysis and local needs. ☐ The LSGU adopts a medium-term budget framework and reviews the LDS periodically to ensure relevance.
	15. Internal capacity for local development (HR)	Availability of qualified and experienced staff but upskilling or access to specific skills for strategic planning is necessary (e.g. strategic management).	Availability of qualified, experienced staff to conduct strategic planning. Training is provided regularly particularly on planning and management of local development which forms the basis upon which LSGU human capacity is strengthened.	The LSGU adopts, regularly reviews and updates the comprehensive institutional capacity development plan to enable achieving strategic development objectives of the municipality. It covers its own human resource development, other aspects of institutional development within LSGU administration, optimizing public service organization, co-operation with citizens and stakeholders from different sectors
		☐ The LSGU has qualified staff but training is needed.	☐ The LSGU has qualified staff. ☐ Staff has access to training in relation to the skills needed for strategic planning and development.	☐ The LSGU has qualified staff ☐ The LSGU has and regularly reviews a comprehensive institutional capacity development plan for achieving strategic development goals. ☐ Availability of organisational mechanisms and skills for strategic planning and strategic management at all levels of public administration unit.
3. Monitoring and evaluation of local development strategy and policies	16. Data availability	The LSGU has some internal administrative data on social, economic and environmental issues to produce and implement the 'local development strategy' (LDS) but this data is not always available, accurate and timely. The LSGU also uses publically available statistical data.	The LSGU produces high quality internal administrative data. The LSGU has access to external data on social, economic and environmental issues and uses it to inform the elaboration, implementation, and monitoring of the LDS.	The LSGU plans its internal and external data generating and collecting activities to fit its needs in terms of monitoring of the LDS.
		☐ Access to internal administrative data on socio-economic and environmental issues of limited or heterogeneous quality. ☐ The LSGU uses publicly available statistical data on social, economic and environmental issues	☐ The LSGU uses high quality administrative data for the design and implementation of the local development strategy. ☐ The LSGU generates own survey data for the design and implementation of the local development strategy. ☐ The LSGU has access to other forms of data from external sources such as open data, micro data, etc.	☐ The LSGU plans its data generation activities to fit with its needs in regards timing and potential use. ☐ The LSGU generates own survey data for the design and implementation of the local development strategy, as well as administrative data. ☐ The LSGU uses internal data it produces, as well as data from other external sources, to develop the local development plan, set priorities and design policies.

Area	Dimension	Maturity levels		
	17. Indicators for the implementation of the LDS	The LDS specifies the intended results in the form of indicators to monitor the implementation of the plan. ☐ The LDS specifies indicators to monitor its implementation.	The LDS specifies indicators that are clearly linked to each strategic objective. The indicators are accompanied by a baseline, a performance target and milestones. For this, the LDS describes the intended results, specifies measures/actions to achieve each strategic objective and determines how to use data to analyse performance. The LSGU may define high-level performance indicators (focused on the overall performance of the LDS) and/or low-level performance indicators (focused on processes in departments) ☐ The LDS specifies indicators to monitor its implementation. ☐ Each objective of the LDS is associated to one or several indicators. ☐ For each indicator, the LSGU has identified a performance target and one or several milestones.	The LSGU prepares a document containing key performance indicators (KPI) using qualitative and quantitative methods. The indicators are linked to the strategic objectives, describe intended results, and establish critical success factors. A combination of high- and low level KPI is included. The LSGU uses the performance indicators to suggest changes, if needed, in the strategies defined to achieve the goals and inform citizens about progress. ☐ The LDP specifies indicators to monitor its implementation. ☐ Each objective of the LDP is associated to one or several indicators. ☐ For each indicator, the LSGU has identified a performance target and one or several milestones. ☐ The indicators identified have been reviewed to make sure they are appropriate, meaning that they meet pre-defined quality criteria, such as accuracy, the ability to compare this indicator in time (build series) or in space (benchmarking with other cities), credibility, etc. ☐ Most indicators can be directly actioned/ influenced by the LSGUs' policies.
	18. Monitoring the implementation of the LDS	The LSGU prepares an annual or semi-annual monitoring report in order to provide an overview of the activities/projects conducted to implement the local development strategy.	The LSGU has established a formal performance dialogue process to review the implementation of the local development strategy on an ad hoc, infra-annual basis and to update the indicators in the strategy. Political leaders, managers and key officials (technical level) hold regular meetings to report and track progress in the implementation of the LDS and discuss alternatives of change.	The LSGU has established a formal process to review the implementation of the local development strategy on a regular, infra-annual basis, to update the indicators in the plan and to identify implementation gaps. Political leaders, middle and senior managers and key officials (technical level) responsible for the LDS implementation hold regular meetings to report and discuss progress and propose changes and adjustments to the strategy based on the available data. The LSGU puts in place corrective actions to close implementation gaps, if any.

Area	Dimension	Maturity levels		
		☐ The LSGU prepares an annual or semi-annual monitoring report in order to provide an overview of the activities/projects conducted to implement the local development strategy.	☐ The LSGU has identified a timeline for reviewing the main indicators of the local development strategy. ☐ The LSGU has identified the actors in charge of participating in this review, i.e. in collecting the data for the review and in analysing the data to understand implementation gaps.	☐ The LSGU produces annual monitoring reports to review actual progress and compares them against the milestones and targets in the LDS. The reports are published. ☐ The LSGU has identified a timeline for reviewing the main indicators of the local development strategy. ☐ The LSGU has identified the actors in charge of participating in this review, i.e. in collecting the data for the review and in analysing the data to understand implementation gaps. ☐ The LSGU has established a decision making governance (committee for example) in order to decide on corrective actions to close implementation gaps, when relevant.
4. Subnational finance	19. Debt and borrowing	The LSGU faces difficulties to finance public investment projects as it bears large levels of debt. ☐ The LSGU does not meet the debt-to-income ratio required by Law ☐ The LSGU has not developed a remediation programme to meet the debt-to income ratio	The LSGU faces difficulties to finance public investment projects but has a concrete action plan to improve its fiscal situation. ☐ The LSGU does not meet the debt-to-income ratio required by Law ☐ The LSGU has a concrete action plan/remediation programme to improve its fiscal situation.	The LSGU has the ability to finance prioritised public investment projects as it has a sustainable level of debt and can borrow up to its needs. The LSGU has a clear understanding of the risks associated to borrowing and has a debt management strategy that ensures financial stability while enabling the implementation of its investment objectives. ☐ The debt level of the LSGU is sustainable meeting the debt-to-income ratio required by Law ☐ The LSGU has in place a debt management strategy and a written debt policy in order to ensure that the LSGU maintains at all times an adequate level of indebtedness.
	20. Use of innovative financing mechanisms	The LSGU only uses traditional funding mechanisms to finance investments. ☐ Public investment is financed only through traditional funding mechanisms.	The LSGU has adopted innovative funding mechanisms for at least one investment project (partnering with the private sector and institutional investors, issuing bonds, Public-Private Partnerships, joint borrowing in capital markets or other instruments such as green bonds and social bonds) when funding is insufficient to cover expenditure and investment needs. ☐ Public investment is financed mainly through traditional funding mechanisms. ☐ The LSGU has financed at least one investment project	The LSGU has adopted innovative funding mechanisms for some key investment projects The use of new, innovative financing instruments is accompanied by assessment of their benefits, risks, and municipal capacities to employ them. ☐ Public investment is financed by combining traditional and innovative funding mechanisms. ☐ When resorting to innovative financing mechanisms, the LSGU systematically conducts an assessment of the benefits,

Area	Dimension	Maturity levels		
			resorting to external sources of financing and innovative financing mechanisms.	risks, and capacities to employ them.
5. Inter-municipal co-operation	21. Scope of inter-municipal collaboration	The LSGU has in place partnerships* with neighbouring municipalities for specific joint projects, i.e. for the management of public utility services (e.g. water supply, waste management, sewerage), infrastructure (e.g. roads) ☐ The LSGU has some form of partnership/formal co-operation structure with neighbouring LSGUs. ☐ The partnership(s) is for specific projects.	The LSGU has in place an integrated territorial co-operation partnership with neighbouring LSGU(s) for a range of projects in areas of strategic interest (e.g. economic development, urban planning, roads, public transport etc.) ☐ The LSGU has some form of partnership/formal co-operation structure with neighbouring LSGUs. ☐ The partnership is for strategic areas involving different projects from different sectors. ☐The different joint projects create synergies between them.	The LSGU collaborates with neighbouring LSGUs to develop an aligned or joint development strategy. The LSGU has broad agreements to implement coordinated projects that are aligned with the planning, and to deliver joint services / coordinated services, especially for amenities (e.g. cultural institutions, sports facilities, welfare assistance centres, elderly care). The LSGU formally collaborates with other LSGUs to: ☐ design a joint development plan or ☐ align the different development plans ☐ The LSGU has some form of partnership/formal co-operation structure with neighbouring LSGUs. ☐ The partnership is for strategic areas involving different projects from different sectors, including joint delivery of social, cultural and sport services.
	22. Composition of partnership and use of functional links *(see indicator 4)*	The LSGU has in place partnership(s)* with one or two LSGU(s) with which it has functional linkages for joint projects/policies design and implementation. ☐ The LSGU has in place partnership(s)* with one or two LSGUs with which it has functional linkages	The LSGU has in place partnership(s)* with several or all the LSGU(s) with which it has functional linkages for joint projects/policies design and implementation. ☐ The LSGU has in place partnership(s)* with several LSGUs with which it has functional linkages ☐ At least one of these partnerships*involves several (more than one) municipalities sharing functional linkages. .	The LSGU has in place partnership(s)* involving all the LSGU(s) pertaining to the same Functional Area (FA) for joint projects/policies design and implementation including also some of the interested non-governmental organizations, entrepreneurs, business organisations and/or other entities. ☐ The LSGU has in place partnership(s)* with several LSGUs with which it has functional linkages ☐ At least one of these partnerships*involves all municipalities from the same FA. ☐ The partnership(s) involves NGOs entrepreneurs, business organisations and/or other entities.
	23. Internal capacity for horizontal co-ordination	There is no person/team within the LSGU administration explicitly in charge of seeking and establishing co-operation opportunities with neighbouring LSGU(s).	The LSGU has explicitly defined a person/team in charge of seeking and establishing formal co-operation agreements.	The person/team in charge of formal inter-municipal co-operation actively and regularly: • Identifies needs and opportunities for co-operation with neighbouring LSGUs as well as LSGUs from the same FA;

Area	Dimension	Maturity levels		
		☐ The LSGU/Mayor identifies partnership* opportunities on an ad-hoc basis.	☐ The LSGU has defined a person/team that supports the Mayor with the specific task of seeking and establishing formal partnerships*. ☐ The person/team in charge has resources (budget, time, etc.) that allow them to implement correctly this task.	• Establishes and monitors co-operation agreements; • Evaluates the results/outputs of the co-operation agreements; • Gets regular training relevant for adopting partnerships. ☐ The LSGU has defined a person/team with the specific task of seeking and establishing formal partnerships*. The person/team is responsible for ☐ seeking partnership opportunities. ☐ establishing the different partnerships. ☐ monitoring and/or evaluating the partnership implementation. ☐ The person/team in charge has budget and it is position to implement this task. ☐ The person/team gets regular training relevant for adopting partnerships.
	24. Monitoring and performance management of horizontal partnership	The partnership* with other LSGU(s) has clearly specified objectives. The partnership establishes the measures to be taken to achieve those objectives and the LSGU regularly monitors the progress towards the objectives. ☐ The partnership(s) has clear objectives. ☐ The partnership(s) specifies the actions to achieve the objectives. ☐ The LSGU monitors the implementation of the partnership(s) according to the objectives.	The partnership specifies measurable indicators (financial and non-financial) to monitor the implementation of the partnership and reviews/reports on the progress on these indicators is conducted at least once a year. ☐ The partnership(s) has clear objectives. ☐ The partnership(s) specifies the actions to achieve the objectives. ☐ The partnership(s) specifies indicators linked to the objectives to monitor the implementation. ☐ The LSGU conducts a review of the indicators progress at least once a year.	The LSGU monitors the partnership through indicators (financial and non-financial) and conducts evaluations (administrative and financial) to assess how the overall co-operation/partnership has been working for the municipality. The LSGU takes actions in accordance with the results of the evaluation. ☐ The partnership(s) has clear objectives. ☐ The partnership(s) specifies the actions to achieve the objectives. ☐ The partnership(s) specifies indicators linked to the objectives to monitor the implementation. ☐ The LSGU conducts a review of the indicators progress at least once a year. ☐ The LSGU evaluates the partnership considering financial and long-term development dimensions. ☐ The LSGU continues, modifies, expands or stops the partnership(s) according to the evaluation's results.
6. Co-ordination across levels of government	25. Co-financing arrangements and contracts	The LSGU is involved in co-financing arrangements under the initiative of the regional and/or national government and/or the LSGU for specific individual projects by sector.	The LSGU is involved in co-financing arrangements or territorial contracts for a project portfolio (including several projects from different sectors that are complementary),	The LSGU actively seeks co-financing arrangements with the regional and/or national government to finance priority projects for the LSGU that pertain to a strategic project

Area	Dimension	Maturity levels		
		☐ The LSGU co-finances investment projects by sector. .	creating synergies across the projects. . ☐ The LSGU co-finances investment projects that are part of a portfolio including complementary investments.	portfolio (including several projects from different sectors that are complementary) for local development. This co-financing arrangement helps in aligning objectives across levels of government engaging in projects with neighbours LSGU to pool resources ☐ The LSGU co-finances investment projects that are part of a portfolio including complementary investments. ☐ The LSGU actively seeks the involvement of neighbouring LSGUs in the same co-financing scheme to poo resources.
	26.Dialogue with other levels of government	The LSGU participates sporadically in formal consultations arranged by other levels of government. When participating in formal dialogue(s) the person/team in charge communicates the purpose and results of the dialogue to the relevant staff within the administration. ☐ The LSGU only participates in formal dialogue(s) with other levels of government in an ad hoc basis. ☐ The inputs for the issues to discuss are agreed among all relevant staff within the LSGU's administration.	The LSGU participates systematically in formal consultations arranged by other levels of government and provides comments/suggestions when decisions affect its territory/citizens. The person/team participating in the consultations provides the comments/suggestions based on a consultation with the relevant staff within the administration and shares the results of the consultation with them. The person/team seeks agreements between the parties. ☐ The LSGU participates systematically in formal dialogue(s) with other levels of government that are strategically relevant for the LSGU. ☐ The inputs for the issues to discuss are agreed among all relevant staff within the LSGU's administration. ☐ The person/team participating in the dialogue informs the results of the dialogue to all relevant staff within the LSGU's administration.	The LSGU actively seeks dialogue opportunities with other levels of government to communicate its priorities on investments/policies and participates in all relevant dialogue opportunities offered by other levels of government. The input for this dialogue is agreed among all relevant staff within the LSGU administration and the results are communicated accordingly. The person/team in charge actively follows-up the issues discussed and seeks agreements between the parties. ☐ The LSGU participates systematically in formal dialogue(s) with other levels of government that are strategically relevant for the LSGU. ☐ The LSGU actively seeks dialogue with other levels of government, even if no formal instance has been defined. ☐ The inputs for the issues to discuss are agreed among all relevant staff within the LSGU's administration. ☐ The person/team participating in the dialogue informs the results of the dialogue to all relevant staff within the LSGU's administration. ☐ The person/team participating in the dialogue regularly follows-up the issues discussed and actively seeks agreements between the parties.
	27. Internal capacity for vertical co-ordination	The LSGU has explicitly defined a person within one (or several) teams of its organisational structure or a specific team in charge of seeking and establishing co-operation with	The LSGU has explicitly defined a person within one (or several) teams of its organisational structure or a specific team in charge of seeking and establishing co-operation with	The LSGU has explicitly defined a person within one (or several) teams of its organisational structure or a specific team in charge of seeking and establishing co-operation with

Area	Dimension	Maturity levels		
		the regional and/or national government. The person(s)/team focuses on seeking financial co-operation (i.e. grants, direct financing of larger infrastructural investments, etc.) ☐ There is a person(s)/team, supporting the Mayor, officially in charge of seeking and establishing co-operation with the regional and/or national government.	the regional and/or national government. The person(s)/team focuses on seeking financial co-operation (i.e., grants, direct financing of larger infrastructural investments, etc.) and regularly seeks opportunities and assesses this co-operation. ☐ There is a person(s)/team officially, supporting the Mayor, in charge of seeking and establishing co-operation with the regional and/or national government. The person(s)/team in charge of co-ordination with higher levels of government: ☐ Identifies needs and opportunities for co-operation; ☐ Establishes and monitors co-operation agreements/co-financing.	the regional and/or national government. The person(s)/team in charge of co-ordination with higher levels of government has a clearly defined action plan, from setting the objectives of collaboration to evaluating the outcomes of the collaboration. The person(s)/team seeks financial as well as strategic co-operation. ☐ There is a person(s)/team officially, supporting the Mayor, in charge of seeking and establishing co-operation with the regional and/or national government. The person(s)/team in charge of co-ordination with higher levels of government: ☐ Identifies needs, opportunities and objectives for co-operation; ☐ Establishes and monitors co-operation agreements/co-financing; ☐ Evaluates the results/outputs of the co-operation agreements; ☐ Gets regular training relevant for adopting co-financing arrangements or contracts; ☐ Identifies and uses forms of co-operation that go beyond financial agreements.

PART 2. Improving Service Delivery

7. Digitalisation	28. Degree of digitalisation	The LSGU has developed plans to support the provision of e-government services (e.g. digital processing of local administrative processes, surveys to citizens, information on taxes due, digital payment of local taxes, etc.) in its local community, but it has not assessed the degree of digitalisation in the community. ☐ The LSGU has developed plans to support the provision of basic, required by law e-government services in its local community such as electronic inbox (ePUAP) and fulfils informative obligations by the use of Public Information Bulletin. ☐ The local government has not conducted initiatives to assess the coverage (share of households), speed, and quality of internet (broadband services) in different locations within its community.	The LSGU has implemented the plans to provide a number of e-government services in its community and has an active policy to attract telecom companies with the aim to enhance internet coverage. It can also not expand into further services. ☐ There are some e-government services in the local community available and fully described on the unit's website. ☐ The local government has conducted initiatives (e.g. studies, partnerships with Telecom companies) to assess the coverage (share of households), speed and quality of Internet (broadband services) in different locations within its community. It has also identified which are the gaps in its degree of digitalisation to provide further services.	The LSGU has a very good degree of digitalisation in its local community to deliver e-services to its citizens (e.g. digital processing of local administrative processes, surveys to citizens, information on taxes due, digital payment of local taxes, etc.). It has an active policy in the engagement with Telecom companies to enhance internet coverage and speed. ☐ There are a wide number of e-services in the local community available and fully described on the unit's website. ☐ The local government has knowledge of the coverage (share of households) and speed and quality of Internet (broadband services) within its community. It has also sufficient capacity to provide further services.
	29.Support system to deliver e-services	The LSGU has not developed the provision of e-services and it has not set plans to prepare public official or the community for these type of services. ☐ The LSGUs has not conducted training initiatives (e.g. courses, workshops, capacitation) to public officials or citizens on e- government services. ☐ There are no support services by digital platforms (online billing, help-desk facilities, mobile apps, webchats, webinars, secure messaging). ☐ No support is provided to users with a range of disabilities.	The LSGU has a number of support services to delivery services digitally but the uptake by citizen is still limited. ☐ The LSGUS has conducted a few training initiatives (e.g. courses, workshops, capacitation) to public officials and citizens on e-services (e.g. ways of delivering and using e-services). ☐ There are some support services by digital platforms (online billing, help-desk facilities, mobile apps, webchats, webinars, secure messaging) ☐ There is some support to users with a range of disabilities.	The LSGU has a good support system, and is providing a number of digital services with good uptake by citizens. ☐ There are recurring training initiatives (e.g. courses, workshops, and capacitation) to public officials and citizens on e-services. Those trainings have reach different levels of population. . ☐ There are support services by digital platforms (online billing, help-desk facilities, mobile apps, webchats, webinars, secure messaging). ☐ There is support to users with a range of disabilities. ☐ The LSGU has the software, equipment procedures and necessary qualifications among staff to conduct remote work and use shared documents, electronic calendars, etc.

8. Open Government*	30. Strategic approach to open government*	There is occasional mention of the open government principles* in the LSGU's LDS or other high-level policy documents and the LSGU implements open government initiatives* required by law. ☐ The open government principles* are mentioned occasionally but with no reference to proposals for their implementation or their benefits. ☐ The LSGU implements the following open government initiatives* required by law: Initiatives based on Poland's Access to Information law (e.g. procedures for accessing public information, publishing of documents as prescribed by legal provisions) Sessions of legislative bodies (municipal council) are being transmitted on-line	The open government principles* are frequently mentioned in the LSGU's LD strategy or other high-level policy documents and the LSGU implements more than one open government initiative* beyond those required by law. The LSGU has not developed a strategic approach to coordinate these initiatives. ☐ The open government principles* are mentioned frequently in the LSGU's LD strategy or other high-level policy documents. The LSGU implements more than one (up to three) of the following open government initiatives* which are not required by law, but does not develop a strategic approach to coordinate them: ☐Digital government and open data initiatives ☐ Integrity and anti-corruption policies and initiatives ☐ Guidelines on stakeholder participation and co-creation mechanisms available on the website. ☐ Budget transparency initiatives ☐ Participatory/Citizens budgets initiatives or Village funds or any other similar form of participatory fund allocation ☐ Transparency in public procurement initiatives ☐ Initiatives to promote citizen participation ☐ Initiatives on gender equality ☐ Initiatives on youth engagement ☐ Initiatives on minority rights ☐ Initiatives to improve open government skills and knowledge	The LSGU has a strategic approach to coordinating open government initiatives* through a dedicated component or chapter of the LD strategy or through a comprehensive open government strategy* which highlights the benefits of open government principles* and concrete proposals for their implementation. A strategic approach to open government* is outlined in the form of: ☐ An open government component or chapter of the LD strategy or ☐ An open government strategy* and The LSGU implements more than three of the following open government initiatives* which are not required by law in the framework of the strategic approach: ☐Digital government and open data initiatives ☐ Integrity and anti-corruption policies and initiatives ☐ Guidelines on stakeholder participation and co-creation mechanisms available on the website. ☐ Budget transparency initiatives ☐ Participatory/Citizens budgets initiatives or Village funds or any other similar form of participatory fund allocation ☐ Transparency in public procurement initiatives ☐ Initiatives to promote citizen participation ☐ Initiatives on gender equality ☐ Initiatives on youth engagement ☐ Initiatives on minority rights ☐ Initiatives to improve open government skills and knowledge
	31. Promoting open government literacy* and knowledge	The LSGU takes one measure on ad-hoc basis to enhance open government skills and knowledge among public officials or stakeholders*. The LSGU takes one of the following measures on an ad-hoc basis:	The LSGU has established two or more measures to enhance open government skills and knowledge among both public officials and stakeholders* and this is done periodically. Two or more of the following measures are undertaken on an ad-hoc basis:	The LSGU has established a wide range of measures to systematically enhance open government skills and knowledge among both public officials and stakeholders*. The LSGU implements several of the following measures:

		☐ Competency frameworks* ☐ Codes of conduct ☐ Training or information sessions ☐ Debates or conferences on the topic ☐ Communication strategies These measures are targeted to: ☐ public officials or ☐ stakeholders*.	☐ Competency frameworks* ☐ Codes of conduct ☐ Training or information sessions ☐ Debates or conferences on the topic ☐ Communication strategies ☐ These measures are targeted to both public officials and stakeholders*.	☐ Competency frameworks* ☐ Codes of conduct ☐ Training or information sessions ☐ Debates or conferences on the topic ☐ Communication strategies ☐ These measures are targeted to both public officials and stakeholders* ☐ These measures are undertaken regularly ☐ The process is outlined in a policy document or in the dedicated open government strategy or open government component/chapter of the LD strategy.
	32. Internal capacity for implementing a strategic approach to open government*	There is no specific organizational unit/office/public official in charge of open government* either through an open government strategy* or as part of the LSGU's LD strategy (if existing) or through the co-ordination of initiatives focusing on the areas of transparency, accountability, integrity, and stakeholder participation in the LSGU. ☐ A number of units/offices/public officials work on initiatives related to open government (i.e. stakeholder participation, citizens' budgets) but there is no dedicated unit/office/public official in charge of the strategic approach or open government initiatives*.	The LSGU has explicitly defined a specific organizational unit/office/public official in charge of open government either through an open government strategy* or as part of the LSGU's LD strategy (if existing) or through the co-ordination of initiatives focusing on the areas of transparency, accountability, integrity, and stakeholder participation in the LSGU. However, the LSGU does not have the necessary resources (human and financial) nor the capacities for implementation. ☐ There is a specific unit/person in charge of coordinating the strategic approach or open government initiatives*. ☐ The unit/person does not have the necessary human nor financial resources.	The LSGU has a specific organizational unit/office/public official in charge of open government* either through an OG strategy* or as part of the LSGU's LD strategy (if existing) or through the co-ordination of initiatives focusing on the areas of transparency, accountability, integrity, and stakeholder participation with the necessary resources (human and financial) and capacities for implementation. The LSGU has a specific unit/person which coordinates and: ☐ Allocates funding for open government initiatives*. ☐ Provides training on open government skills. ☐ Organises regular meetings, including steering committees. ☐ Monitors the implementation of open government strategies* and evaluates their impact. ☐ The unit/person has the necessary resources (human and financial) and capacities for implementation.
	33. Increasing stakeholder participation in LSGUs	The LSGU does not consult or sporadically consults with a limited range of stakeholders* (citizens, CSOs, professional groups, academics, etc.) at one or two stages of the policy-making cycle* and in service design and delivery. ☐ The LSGU sporadically consults only with stakeholders* that they have identified as being affected by the policy initiative ☐ LSGU consults only a small group of stakeholders*,	The LSGU occasionally consults with an extensive range of stakeholders* and considers their inputs at most stages of the policy-making cycle*. ☐ The LSGU consults with any stakeholders* that self-identify as being affected by the policy initiative. ☐ Stakeholders* are involved in at least three of the following stages of the policy-making cycle:	The LSGU systematically informs, consults, and engages with stakeholders* and has an established process to ensure their inputs are taken into account at every stage of the policy-making cycle* and in service design and delivery. ☐ The LSGU has an established process of information, consultation, and engagement with a wide range of stakeholders* at every stage of the policy-making cycle. ☐ The LSGU actively communicates the opportunities to

		when such consultations are required by law. ☐ Affected stakeholders* are involved in one or two of the following stages of the policy-making cycle only: ☐ Identifying policy priorities ☐ Drafting the policy document outlining the objectives to be achieved and initiatives to be carried out ☐ Implementation of the outlined initiatives ☐ Monitoring & evaluation that the outlined initiatives have achieved the objectives set.	☐ Identifying policy priorities ☐ Drafting the policy document outlining the objectives to be achieved and initiatives to be carried out ☐ Implementation of the outlined initiatives ☐ Monitoring & evaluation that the outlined initiatives have achieved the objectives set.	participate as well as the results of the consultations, including how the inputs from citizens were used and why they were included or not. ☐ Stakeholders* are involved in all of the following stages of the policy-making cycle: ☐ Identifying policy priorities ☐ Drafting the policy document outlining the objectives to be achieved and initiatives to be carried out ☐ Implementation of the outlined initiatives ☐ Monitoring & evaluation that the outlined initiatives have achieved the objectives set
	34. Participatory/Citizens budgets	The LSGU has undertaken Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation at least once in the past 3 years. ☐ The LSGU has undertaken at least one Participatory/Citizens budget or Village fund or another similar form of participatory fund allocation in the past 3 years.	The LSGU systematically implements Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation every year. ☐ The LSGU systematically implements Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation every year. ☐ Guidelines for Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation are outlined in a policy document concerning citizens participation.	The LSGU systematically implements Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation every year, making efforts to increase the amount of budget and number of stakeholders* involved. ☐ The LSGU systematically implements Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation every year. ☐ Guidelines for Participatory/Citizens budgets or Village funds or another similar form of participatory fund allocation are outlined in a policy document concerning citizens participation. ☐ The LSGU has implemented the Participatory/Citizens budget as planned and reflects the priorities and inputs outlined by stakeholders during consultations. ☐ The LSGU makes efforts year-on-year to increase the amount of budget and number of stakeholders involved.
9. Monitoring and evaluation of local public policies	35. Evaluation of public policies/services	The LSGU has conducted evaluations of own public policies in the past, but not in the last two years. ☐ The LSGU has conducted evaluations in the past but not in the past two years.	The LSGU conducts evaluations of own public policies on an ad hoc basis. The evaluations are only conducted by external experts. ☐ The LSGU has conducted an evaluation of at least one own public policy in the last two years. ☐ The evaluation(s) are outsourced to be conducted by external experts.	The LSGU has institutionalised the practice of the evaluation of policies by attributing clear and formal mandates to its administration to conduct and/or commission evaluation. ☐ The LSGU has identified an administrative entity (within the LSGUs administration) to be in charge of conducting and/or commissioning evaluation. ☐ The LSGU has given mandate to this entity to conduct/ commission evaluations on a regular basis.

	36. Quality of evaluations of local public policies /services	The LSGU does not have assurance or control processes* in place to ensure the quality of its evaluations of policies and regulations. ☐ The LSGU has conducted evaluations but does not have assurance or control processes in place to ensure their quality.	The LSGU ensures the quality of its evaluations through competence requirements for staff conducting evaluations of policies and regulations. ☐ The LSGU has trained some staff on conducting and commissioning evaluations.	The LSGU has formal assurance or control processes in place to ensure the quality of its evaluations of policies and regulations. ☐ The LSGU has trained some staff on conducting and commissioning evaluations. ☐ The LSGU has established/adopted guidelines for the good conduct of evaluations. ☐ The LSGU has established a peer review process to control the quality of its evaluations.
	37. Use of results of evaluations of local public policies / services	The LSGU conducts evaluations of policy and/or regulatory evaluations but does not make use of them in decision-making. ☐ The LSGU has conducted evaluations in the past, but does not inform its decision-making on evaluations.	The LSGU conducts evaluation of policy and/or regulatory evaluations, and uses evaluation results in some decision-making processes. ☐ The LSGU has informed its decision-making on an evaluation.	The LSGU has established internal requirements to systematically use evaluations in decision-making processes, for example by holding the discussion of evaluation recommendations in the municipal council. ☐ The LSGU has established a formal process for reviewing and discussing evaluations in its municipal council. ☐ The LSGU has established a formal process for annexing recommendations to its budgetary documents in order to incorporate this information in the budgetary cycle.
	38. Communication of evaluation results	The LSGU has conducted policy and/or regulatory evaluations but their results are not publicly available. ☐ The LSGU has conducted evaluations in the past, but does not share its results with actors and stakeholders outside of the evaluation unit in the LSGU.	The LSGU shares the evaluations' results with specific actors inside and outside the LSGU (civil servants, relevant stakeholders, etc.). ☐ The LSGU has sent the results of its evaluations to its civil servants. ☐ The LSGU has sent the results of its evaluations to specific civil society organisations.	The LSGU systematically publicises policy and regulatory evaluations for the general public, for example through its website. ☐ The LSGU has uploaded its evaluations on its general website. ☐ The LSGU has used social media to communicate the results of its evaluations.
10. Regulatory assessments	39. Ex-ante assessment of regulatory decisions	The has conducted ex-ante assessments (quantitative or qualitative) of the potential impacts of substantive regulatory decisions*, but not recently ☐ The LSGU has conducted ex-ante assessments of substantive regulatory decisions, but not in the previous	The LSGU conducts ex-ante assessments (quantitative or qualitative) of the potential impacts for some substantive regulatory decisions (thus excluding those unlikely to have significant impacts, e.g. concerning internal processes of the administration or the reorganisation of existing legal texts) ☐ At least one substantive regulatory decision has undergone by an ex ante assessment of impacts over the	The LSGU conducts ex-ante assessments (quantitative or qualitative) of the potential impacts of all substantive regulatory decisions (thus excluding those unlikely to have significant impacts, e.g. internal processes of the administration or the reorganisation of existing legal texts). ☐ All substantive regulatory decisions over the previous year have undergone ex-ante assessment of impacts.

		2 years	previous two years. ☐ Ex-ante assessments clearly describe expected impacts as well as their distribution.	☐ Ex ante assessments clearly describe expected impacts as well as their distribution. ☐ Where sufficient capacity exists, ex ante assessments include some degree of quantification and/or monetisation of impacts.
	40. Ex-post assessment of regulatory decisions	The LSGU has conducted ex-post assessments of substantive regulatory decisions, but not recently ☐ The LSGU has conducted ex-post assessments of substantive regulatory decisions, but not in the previous 2 years	The LSGU conducts ex-post assessments (quantitative or qualitative) of the impacts for some substantive regulatory decisions (thus excluding those concerning internal processes of the administration or the reorganisation of existing legal texts). ☐ The LSGU has assessed the impacts/results of an existing substantive regulation (or a group of regulations) in the previous two years. ☐ Ex-post assessments respond to the question of whether the regulation(s) has met (or can be expected to meet) its objectives at reasonable cost (i.e. compared with the benefits expected/obtained).	The LSGU conducts systematic ex-post assessments (quantitative or qualitative) of the impacts for all substantive regulatory decisions (thus excluding those concerning internal processes of the administration or the reorganisation of existing legal texts) ☐ The LSGU assesses the impacts/results of most existing substantive regulations that have been in force for at least a given amount of years. Usually, five years is the reference point. ☐ Ex-post assessments respond to the question of whether the regulation(s) has met (or can be expected to meet its objectives) at reasonable cost. ☐ Where sufficient capacity exists, ex post assessments include some degree of quantification and/or monetisation of impacts.
	41. Internal capacity for assessing regulatory decisions	The LSGU has limited internal capacity explicitly tasked with assessing the impact of regulatory decisions (ex-ante and/or ex-post) ☐ There is at least one LSGU staff member involved in the assessment of the impact of regulatory decisions (ex-ante and/or ex-post), but only on an ad hoc basis (it is not this person's full time job or only responsibility inside the LSGU)	The LSGU devotes resources to assessing the impact of regulatory decisions (ex-ante and/or ex-post). ☐ There is at least one LSGU staff member or team explicitly tasked with assessing the impact of regulatory decisions (ex-ante and/or ex-post). ☐ This person/team is systematically (i.e. follows a step by step procedure or method) involved in the assessment of the impact of regulatory decisions (ex-ante and/or ex-post)	The LSGU has a person or team explicitly tasked with assessing the impact of regulatory decisions (ex-ante and/or ex-post) and engaging with other entities to improve the quality of analysis. ☐ There is at least one LSGU staff member systematically involved in the assessment of the impact of regulatory decisions (ex-ante and/or ex-post) ☐ The person/team engages with other entities of the local administration to gather information regarding the assessment of regulatory decisions. ☐ The person/team participates in capacity building actions to improve the quality of the regulatory impact analysis. ☐ The person/team engages with other LSGUs and with relevant stakeholders to understand the impact of regulatory decisions in their spheres of action.

11. Administrative burden and public procurement	42. Under-threshold procurement policy	The LSGU has an under threshold procurement policy and has adopted relevant internal regulation. ☐ The LSGU has an under threshold procurement policy.	The LSGU has an under threshold procurement policy that clearly links to the national public procurement legislation and regulations. This under threshold procurement policy encourages the publication on the website of all inquiries for public procurement above defined threshold and a transparent register of all the contracts granted. ☐ The LSGU has an under threshold procurement policy linked to the national public procurement legislation and regulations. ☐ The LSGU under threshold procurement policy encourages the publication on the website of all reasonably sized inquiries.	The LSGU has an under threshold procurement policy that clearly links to the national public procurement legislation and regulations. This under threshold procurement policy encourages the publication on the website of all inquiries for public procurement above defined threshold and a transparent register of all the contracts granted. ☐ The LSGU has an under threshold procurement policy linked to the national public procurement legislation and regulations. ☐ The LSGU under threshold procurement policy encourages the publication on the website of all reasonably sized inquiries. ☐ The LSGU under threshold procurement policy encourages the use of digital tool, such as national or local e-procurement platform. ☐ The LSGU under threshold procurement policy advises on engagement with providers.
	43. Training and capacity building	Formal training on public procurement issues is limited. ☐ The LSGU staff in charge of PP receives no formal procurement-related training organised by central authorities or external entities. ☐ Contracting authorities within the jurisdiction of this LSGU receive no formal procurement related training, organised by either the LSGU or external entities.	The LSGU staff in charge of public procurement and/or the contracting authorities within its jurisdiction receive trainings on relevant procurement policies and laws from external entities when they are offered. ☐ The LSGU staff in charge of PP receive formal procurement-related training, offered by external entities. ☐ Contracting authorities within the jurisdiction of the LSGU are provided with formal procurement related training, organised by either the LSGU or external entities.	The LSGU seeks proactively training opportunities and/or works proactively with surrounding LSGUs to provide training to internal procurement staff and relevant contracting authorities within its jurisdiction on relevant procurement policies and laws. ☐ The LSGU staff in charge of PP receive formal procurement-related training, offered by external entities. ☐ The LSGU constantly analyses and implements good practices and guidelines of national level relevance for public procurements. ☐ The LSGU works with neighbouring LSGUs to provide formal procurement related training to its internal staff. ☐ The LSGU works with neighbouring authorities to provide formal procurement related training to contracting authorities within its jurisdiction.
	44. Collaboration and communication with national level procurement body	The LSGU sporadically participates in formal consultations made by the national level procurement body on relevant changes or amendments to the National Procurement legislation.	The LSGU systematically participates in formal consultations made by the national level procurement body on relevant changes or amendments to the National Procurement legislation.	The LSGU actively seeks dialogue opportunities with the national level procurement body to communicate its priorities within public procurement and participates in all relevant formal consultations offered by the national level procurement body on relevant changes or amendments to

		☐ The LSGU actively monitors information provided by the Public Procurement Office (PPO) and seeks clarifications via the PPO or APC, as necessary.	☐ The LSGU actively monitors information provided by the Public Procurement Office (PPO) and seeks clarifications via the PPO or APC, as appropriate. ☐ The LSGU participates in formal consultation processes, as organised by the PPO or through the APC.	the National Procurement legislation. ☐ The LSGU engages as focal point to pro-actively monitor legislative changes coming from national level procurement bodies. ☐ The LSGU participates in all formal consultation opportunities made available by the PPO. ☐ The LSGU actively seeks to communicate with the national level procurement body through dedicated structures, such as the APC.
	45. Internal capacity for procurement policy	The LSGU has devoted resources to the management of public procurement processes. ☐ The LSGU has an explicitly defined a person/team in charge of administering all necessary public procurement procedures. ☐ Forthcoming public procurement opportunities are prepared and published on the website/ e-procurement platform.	The LSGU has established practices for the management of public procurement processes. ☐ The LSGU has an explicitly defined a person/team in charge of administering all necessary public procurement procedures. ☐ Forthcoming public procurement opportunities are prepared and published on the website/ e-procurement platform. ☐ The person/team receives training relevant to the execution of the national public procurement legislation, including the use of most economically advantageous tender (MEAT).	The person/team in charge of administering public procurement procedures follows good practice in implementing public procurement. The person/team in charge: ☐ Identifies needs and opportunities in the area of public procurement; ☐ Conducts market analysis and engages with suppliers; ☐ Makes use of the most economically advantageous tender (MEAT) criteria to award tenders; ☐ Establishes and monitors public procurement contracts ☐ Receives training relevant to the execution of the national public procurement legislation.
	46. Availability and transparency of administrative procedures	The LSGU has a single registry where all the administrative procedures are available for citizens and businesses to consult. ☐ The LSGU has a registry of administrative procedures that is ready for use, meaning that it includes all the requirements and information necessary to complete a	The LSGU makes available for citizens and businesses information regarding administrative procedures and services at the LSGU. This is done through a single registry where all the administrative procedures are available for citizens and businesses to consult, thus reducing their administrative burden and increasing transparency. ☐ Registry of administrative procedures is ready for use, meaning that it includes all the requirements and information necessary to complete a formality or administrative procedure. ☐ Registry is readily accessible on the LSGU's website. ☐ Registry's information is updated on a regular basis and	The LSGU makes available for citizens and businesses information regarding the administrative procedures and services at the LSGU. Additionally, the LSGU's website offers the possibility of carrying out transactions between the LSGU and citizens and businesses who request a service or present an administrative procedure. The LSGU has a single registry where all the administrative procedures are available for citizens and businesses to consult. ☐ Registry of administrative procedures is ready for use, meaning that it includes all the requirements and information necessary to complete a formality or administrative procedure. ☐ Registry is readily accessible on the LSGU's website. ☐ Registry's information is updated on a regular basis and

		formality or administrative procedure. ☐ The registry can be readily accessed by everyone.	includes user-friendly guidance.	includes user-friendly guidance. ☐ The registry of administrative procedures is transactional. It allows citizens to submit information and receive a response from the LSGU. ☐ Citizens and businesses are able to complete service requests online.
	47. Reduction of administrative burden	The LSGU takes initial action to measure or limit administrative burden. ☐ The LSGU identifies the most burdensome administrative procedures for citizens and/or businesses.	The LSGU takes action on an ad hoc basis to measure or limit administrative burden (e.g. streamlining of procedures, reduction of requirements, and use of simple language). ☐ The LSGU identifies the most burdensome administrative procedures for citizens and/or businesses. ☐ The LSGU has undertaken at least one initiative to measure and /or limit administrative burden during the last year.	The LSGU takes systematic action to measure and limit administrative burden (e.g. streamlining of procedures, reduction of requirements, use of simple language), and actively works with other LSGUs to reduce such burden. ☐ A clear and comprehensive strategy for measuring and limiting administrative burden is in place and implemented; it is updated as appropriate. ☐ There is regular co-operation with other LSGUs on administrative burden reduction.

PART 3. Strengthening Internal Management Processes

12. Co-ordination across administrative units and policy-sectors within the LSGU	48. Purpose of co-ordination	Ad hoc exchange of information between independent organizational units and between departments within LSGU Office achieve their respective goals more efficiently. Decisions taken in one organizational unit/department consider those made in others and attempt to avoid conflict such as increased costs, lack of consistency between policies, duplication of effort and burden for citizens. ☐ The LSGU's organizational units/departments exchange information on an ad hoc basis to support each other with the achievement of their goals. ☐ The LSGU's organizational units/departments consider colleagues' decisions and seek to reduce conflict with their own.	Regular formal information and document exchange with other units, which make decisions regarding their own resources and work independently, to contribute to a shared objective. Individual efforts of organizational units/departments are not only aimed at avoiding overlaps and conflicts, but also seek to find ways to cooperate on policies that can create synergies and benefit the whole LSGU. ☐ The LSGU's organizational units/departments exchange information on a regular fixed basis. ☐ The LSGU's organizational units/departments actively seek to find ways to cooperate on policies that can create synergies.	Systematic strategic co-ordination of work around joint strategic goals to ensure interlinked, coherent and multi-dimensional development and planning instruments that reflect the budget/fiscal framework and higher-level government plans. ☐ For the creation and implementation of development and planning instruments, the LSGU coordinates systematically across all relevant units. ☐ The process is supported by IT technology, e.g. communication platforms allowing, among others, for shared document creation, or electronic document sharing.
	49. Institutional responsibility for co-ordination	An organigram depicting the LSGU's organisational structure with all administrative units' roles, responsibilities, and clear reporting lines exists, has been widely shared among the LSGU's staff and is published on the LSGU's website. ☐ The LSGU has an internal organigram with all units' roles, responsibilities and accountability lines that is shared with all staff. ☐ The LSGU's organigram is also shared publicly, e.g. through publication on the website.	One or more units (e.g. mayor, municipal secretary treasurer, administrative unit etc.) in the LSGU have a formal mandate to fulfil co-ordination functions. Their co-ordination responsibility is widely known within the LSGU and supported by the political leadership. The workflow of relevant documents as well as information is adjusted correspondingly in a way to allow them the fulfilment of their functions. ☐ One of more of the LSGU's units are responsible for co-ordination. ☐ The unit/s in charge of co-ordination has/have a formal mandate to fulfil co-ordination functions. ☐ The mayor supports the unit's co-ordination work	Formal appointment of an official or creation of formal and separate (sometimes non-permanent) institutional structures (e.g. task forces, specialist agencies or project teams under the leadership and supervision of one official), with backing from the LSGU management and the respective decision-making authority for the design, implementation, and monitoring of specific policies or the creation of planning and development instruments. The appointed official or head of the institutional co-ordination structure is involved in the planning and implementation of the budget and multiannual financial plan within the scope of the entrusted tasks. ☐ The LSGU formally appoints an official or creates a specific institutional co-ordination structure for the design, implementation, and monitoring of specific policies or the creation of planning and development instruments. ☐ The mayor supports the appointed official or the institutional structure's co-ordination work politically.

			politically. ☐ The unit/s is/are provided with key information necessary for the fulfilment of their co-ordination mandate and has access to all relevant documents.	☐ The appointed official or institutional co-ordination structure is separate and enjoys decision-making authority with regard to the fulfilment of its tasks. ☐ The appointed official or institutional co-ordination structure is involved in the planning and implementation of the budget and multiannual financial plan. ☐ The appointed official or institutional co-ordination structure is supported by an adequate IT system ☐ The appointed official or institutional co-ordination structure is provided with key information necessary for the fulfilment of their co-ordination mandate and has access to all relevant documents.
	50. Capacity and resources for co-ordination	LSGU staff is aware of the importance of co-ordination, is committed to and capable of sharing information, and documents with relevant colleagues. ☐ LSGU staff is actively informed about the importance of co-ordination across administrative units. ☐ The LSGU's staff is sharing key information with relevant colleagues. ☐ The LSGU's staff is technically able to share information and documents with colleagues.	Unit(s) in charge of co-ordination is/are provided with adequate financial support, personnel, expertise, and technical support to coordinate policymaking. ☐ Unit(s) in charge of co-ordination enjoys sufficient financial resources to accomplish its task. ☐ Unit(s) in charge of co-ordination can draw on the necessary skilled personnel. ☐ Unit(s) in charge of co-ordination has access to technical support with the IT system.	Institutional co-ordination structures (e.g. task forces, committees, specialist agencies or project teams etc.) are provided with autonomous funding, their own staff and the necessary technical support. Participation in the work of institutional co-ordination structures is one of the performance evaluation criteria for LSGU staff. ☐ The formal co-ordination institutions have their own autonomous budget. ☐ The formal co-ordination institutions have their own staff. ☐ The participation in the work of institutional co-ordination structures is one of the performance evaluation criteria for staff. ☐ The formal co-ordination institutions have access to technical support. ☐ The formal co-ordination institutions are supported by an adequate IT system that enables communication, the co-creation of documents, joint planning as well as information and document sharing. ☐ The appointed official or institutional co-ordination structure is provided with key information necessary for the fulfilment of their co-ordination mandate and has access to all relevant documents.

	51. Human resources management necessary for co-ordination	Staff is informed about the importance and scope of co-ordination within the LSGU and the job description, terms of references or competency frameworks refer to co-ordination. ☐ Upon hiring and through annual trainings LSGU staff is informed about the importance and scope of co-ordination. ☐ Staff's job descriptions, terms of references or competency frameworks refer to co-ordination.	The ability to maintain effective and efficient co-ordination within the LSGU is one of the employees' performance evaluation criteria, notably on the part of senior public officials. ☐ Staff's performance evaluation criteria include the ability to maintain effective and efficient co-ordination with the LSGU. ☐ Staff is aware of the importance of institutional transparency and efficient organisational culture for co-ordination. ☐ The performance of senior public officials is particularly assessed against effective and efficient co-ordination within the LSGU.	Specific performance-linked incentives exist to motivate LSGU Staff to ensure effective co-ordination. ☐ The LSGU has specific performance-linked incentives at its disposal that reward effective co-ordination across departments and organisational units within the Local Government structure.
	52. Skills for co-ordination	Staff has skills and competences with regard to internal communication or access to training focusing on communication. ☐ The LSGU ensures that staff has skills and competences with regard to internal communication. ☐ The LSGU offers (internal or external) trainings for staff on communication.	Staff has skills and competences with regard to document and information sharing or access to training on document and information sharing. ☐ The LSGU ensures that staff has skills and competences with regard to document and information sharing, concerning principles and use of specific IT software used by the LSGU. ☐ The LSGU offers (internal or external) trainings for staff on document and information sharing.	The appointed official or the management personnel of institutional co-ordination structures (e.g. task forces) has skills and competences in the field of project management and team leadership or access to training on project management and team leadership. ☐ The LSGU ensures that the appointed official or management personnel of institutional co-ordination structures has skills and competences with regard to project management and team leadership. ☐ The LSGU offers (internal or external) trainings for the management personnel of institutional co-ordination structures on project management and team leadership. ☐ All relevant members of the LSGU staff are covered by the periodic training concerning principles of co-ordination and use of specific IT software used by the LSGU.
	53. Information and document sharing across administrative units	The LSGU's IT system (e.g. city/municipality intranet, communication or project management platform etc.) enables and promotes the communication between different administrative units within the LSGU. ☐ An IT system exists that enables and promotes communication between different administrative units.	The LSGU has a (online) document management system (e.g. with joint document storage, inter-unit tracking system etc.) in place that supports effective, transparent, accountable document workflow processes. ☐ A (online) document management system exists that supports effective document workflow processes, e.g. through easy and secure access and sharing of documents.	Policy and planning documents are jointly developed across administrative units. The LSGU's IT system allows for co-creation processes. ☐ Several administrative units draft policy and planning documents jointly. ☐ An IT system allows for document and information sharing, joint planning and the co-creation of documents.

13. Budgeting	54. Process of the budget preparation and medium-term planning	The LSGU budget process is based on clear budgetary rules and clear procedures for the formulation, approval and execution of budgets. The LSGU has a multiannual financial plan that goes beyond the annual budget cycle and covers at least four years. The LSGU has a multiannual financial plan that sets the basis for annual budget negotiations. ☐ The LSGU has budgetary rules in place. ☐ The LSGU has budgetary procedures in place. ☐ The LSGU has multiannual financial plan in place. ☐ The LSGU has multiannual financial plan in place that sets basis for annual budget negotiations.	The LSGU budget process is based on clear budgetary rules and clear procedures for the formulation, approval and execution of budgets. The LSGU has a multiannual financial plan that covers at least four years and sets the basis for annual budget negotiations. The LSGU has a multiannual financial plan that clearly relates to local policy priorities and local development plans beyond the annual cycle. ☐ The LSGU has budgetary rules in place. ☐ The LSGU has budgetary procedures in place. ☐ The LSGU has multiannual financial plan in place that sets basis for annual budget negotiations. ☐ The LSGU has multiannual financial plan that clearly relates to policy priorities beyond the annual cycle.	The LSGU budget process is based on clear budgetary rules and clear procedures for the formulation, approval and execution of budgets. The LSGU has a multiannual financial plan that sets a basis for annual budget negotiations and clearly relates to local policy priorities and local development plans beyond the annual cycle. The LSGU regularly assesses the long-term challenges for local public finances that go beyond a planning horizon of 10 years, such as ageing and migration. ☐ The LSGU has budgetary rules in place. ☐ The LSGU has budgetary procedures in place. ☐ The LSGU has multiannual financial plan in place, sets basis for annual budget negotiations and relates to policy priorities beyond the annual cycle. ☐ The LSGU conducts regular assessment of long-term fiscal challenges.
	55. Transparency and accessibility of the process of budget planning and implementation	The LSGU provides clear and factual budget reports in a comparable manner to inform the key stages of policy formulation (e.g. a draft budget), implementation (e.g. a mid-year budget report) and review (e.g. an end-year report). The LSGU budget discloses key economic assumptions and accounts for all expenditures and revenues. A balance sheet on financial liabilities and assets is presented.	The LSGU provides clear and factual budget reports in a comparable manner to inform the key stages of policy formulation (e.g. a draft budget), implementation (e.g. a mid-year budget report) and review (e.g. an end-year report). The LSGU publishes all budget reports routinely, promptly and in a way that is accessible to citizens and civil society. The LSGU budget discloses key economic assumptions as well as sensitivity analysis and accounts for all expenditures and revenues. It includes information on tax expenditures. A balance sheet on financial liabilities and assets is presented. ☐ Clear and factual budget reports accessible to citizens.	The LSGU provides clear and factual budget reports in a comparable manner to inform the key stages of policy formulation (e.g. a draft budget), implementation (e.g. a mid-year budget report) and review (e.g. an end-year report). The LSGU publishes all budget reports routinely, promptly and in a way that is accessible to citizens and civil society. The LSGU budget documents include the explanation of the impact of budget measures. The LSGU budget discloses key economic assumptions as well as sensitivity analysis and accounts for all expenditures and revenues. It includes information on tax expenditures. A balance sheet on financial liabilities and assets is presented and includes contingent liabilities. ☐ Clear and factual budget reports accessible to citizens.

		☐ Clear and factual budget reports. ☐ Disclosure of economic assumptions.	☐ Disclosure of economic assumptions. ☐ Information on tax expenditures.	☐ Disclosure of economic assumptions. ☐ Information on tax expenditures. ☐ Explanation of the impact of budget measures. ☐ Presentation of contingent liabilities in the balance sheet statement. ☐ The process is supported by IT technology.
	56. Task-based budgeting	For large or selected expenditure categories, performance information (by means of outcomes or performance indicators) is presented in parallel to the annual budget. It is broadly directed towards the achievement of strategic objectives. ☐ For large or selected expenditure categories, performance information is presented in parallel to the budget.	The LSGU presents performance information (by means of outcomes or performance indicators) in parallel to the annual budget. Systematic information is provided for policy-makers about budget allocations in relation to strategic objectives. ☐ Performance information is presented in parallel to the budget. ☐ Systematic information is provided about budget allocations in relation to strategic objectives.	The budget is systematically linked to the policy priorities and local development plans. The LSGU routinely presents systematic performance information alongside the financial allocations in order to facilitate policy makers' decision-making. The budget document is structured on the basis of programmes. The performance information helps for tracking of results and comparison. ☐ Budget is systematically linked to policy priorities and local development strategies. ☐ Performance information is presented alongside the financial allocations. ☐ Budget document is structured on the basis of programmes. ☐ The process is supported by IT technology.
	57. Participative and inclusive budgeting	The LSGU provides timely consultative processes during the budget formulation phase for citizens to discuss budgetary priorities, e.g., by means of (formalised) public discussions. ☐ Consultative process during budget formulation.	The LSGU facilitates the engagement of citizens and civil society in a realistic debate about key priorities and trade-offs throughout the budgetary cycle. The LSGU has a participatory budget in place. ☐ Consultative process during budget formulation. ☐ Engagement of citizens in debate about priorities throughout the budget cycle. ☐ Participatory budget in place.	The LSGU facilitates the engagement of citizens, including most vulnerable parts of the population, and civil society in a realistic debate about key priorities and trade-offs throughout the budgetary cycle. The process allows for following up and giving citizens timely feedback about progress and results of budgetary policies. The LSGU has a participatory budget in place. ☐ Consultative process during budget formulation. ☐ Engagement of citizens in debate about priorities throughout the budget cycle. ☐ Process allows for following up and giving citizens timely feedback about progress and results. ☐ The process is supported by IT technology ☐ Participatory budget in place.

14. Public Employment & Management	58. Recruitment	The LSGU administers recruitment processes in accordance with relevant legislation. There is little effort to advertise beyond traditional channels and little systematic use of the internal talent pool. ☐ Recruitment processes refer to internal and external candidates. ☐ The LSGU uses a broad range of channels to advertise jobs. ☐ The legal requirements providing for preferences for handicapped persons in the hiring process for clerical positions are consequently followed by the LSGU Office.	The LSGU takes some measures to increase the volume of applications and engage relevant stakeholders such as the mayor, universities (or similar higher education institutes), and professional networks. There is some measurement of recruitment efforts and adjustment of job descriptions to attract candidates with hard-to-find competences such as entrepreneurship and investment promotion. ☐ The LSGU collects data on candidate volume and quality over time to identify and quantify trends. ☐ The LSGU participates in university career fairs or other job-seeker events at least twice a year.	The LSGU actively considers how to promote an employer 'brand' through relevant channels. It engages proactively with candidates to increase the volume and quality of the talent pool, and develops innovative ways to communicate with, assess and hire sought-after profiles and skills. A strategy or plan guides these actions. ☐ The LSGU has a written strategy to link recruitment efforts with organisational objectives. ☐ The LSGU's recommendation of candidates for consideration is nearly always accepted by the Mayor (it concerns: units' managers and municipal offices' workers).
	59. Supporting professional development of the LG cadre	Staff development is important, but not explicitly recognised apart from administration of the performance management process in accordance with relevant legislation. ☐ Managers provide informal feedback to their staff if asked. ☐ Performance management is carried out once every two years, but not at other times.	Staff development is a recognised priority for the LSGU in building an organisational culture based on common values Managers have some tools to incentivise performance apart from pay. ☐ The LSGU encourages managers to provide regular feedback to their staff outside the biennial review. ☐ The LSGU provides guidance to managers for how to conduct performance assessments.	Individual, team and organisational performance is aligned, with assessment of each supported by metrics or indicators. There is an emphasis on continual learning. The performance standard for pay increases are transparent and linked to outcome-oriented objectives. ☐ Promotion and/or wage increases are linked to formal performance management. ☐ Training is provided to staff and managers on how to approach the performance management process.
	60. Personnel training system	The LSGU circulates training offers received from third parties and allocates budget according to demand from staff members. Training is largely oriented toward filling substantive staff knowledge gaps ☐ Training fills gaps in individual staff members' knowledge. ☐ The LSGU distributes training offers received from third parties sporadically.	The LSGU offers (internally or by external entities) a broad mix of learning and development modules covering substantive knowledge and operational competences. ☐ The LSGU has a list of training courses. Staff can access and view that list at any time. ☐ L&D modules target different groups of staff.	The LSGU has a learning & development vision linked to competence development. It uses a mix of training methodologies, including mentoring programmes and 'stretch assignments' to boost employee development. The training offer is reviewed periodically and good practice shared with other LSGUs. ☐ The LSGU has a learning and development strategy or plan linked to organisational objectives. ☐ The LSGU learning and development strategy includes at least three different learning tools, e.g. induction programmes, mentoring, classroom training, and online

				training. ☐ The LSGU trains its staff to be able to cooperate with other LSGUs and NGOs.
	61. Workforce planning	The LSGU hires when needed and re-allocates workload if necessary on an ad-hoc basis. ☐ The LSGU does not plan staffing decisions more than one year in advance. ☐ The LSGU does not have a document or strategy for workforce management.	The LSGU plans ahead when it knows positions will be vacant (e.g. retirement) and is able to move people around different parts of the organisation to deal with new challenges. ☐ The LSGU has begun to develop strategies to anticipate staffing gaps (e.g. through retirement). ☐ The LSGU uses internship or work experience programmes to attract and develop a skilled workforce.	The LSGU has methodologies in place to identify high performers with the potential to move into management roles. It periodically reviews its organisational structure and can change the scope of certain roles in order to increase flexibility and efficiency. ☐ The LSGU has processes to identify and develop high performers in line with desired behaviours, such as entrepreneurial spirit. ☐ The LSGU has a flexible organisational structure and processes to facilitate staff re-deployment in response to changing organisational needs.
	62. Career management	Career progression is not a feature of employment in the LSGU. ☐ Staff remain in the same position for many years without clear opportunities for vertical or horizontal promotion. ☐ Career advancement depends on the assessment of individual managers.	The LSGU offers some opportunities for career progression, but not systematically and not necessarily for all jobs. The LSGU encourages career progression through the use of tools such as: ☐ A competency management framework; ☐ Internal mobility programmes such as short-term assignments in different parts of the LSGU.	It is possible to advance professionally in the LSGU. Clear criteria govern access to hierarchical positions, positions related to project management or to co-ordination of activities and processes and staff are aware of those criteria. ☐ Staff are incentivised to progress their career by horizontal promotions. ☐ A unit or department focuses on optimising how staff are deployed within the LSGU.
	63. Internal capacity for HR management	Staff who work in Human Resource units apply the relevant aspects of legislation relating to Human Resource Management. Their role is broadly conceived of as ensuring correct application of procedures. ☐ Staff working in Human Resource departments have specialised training in Human Resource Management. ☐ Staff working in Human Resource departments ensure compliance with relevant legislation.	Staff who work in Human Resource units apply basic principles of Strategic Human Resource Management. ☐ Staff working in Human resource management have access to advanced training on HRM ☐ Staff working in human resource management solicit feedback on issues from managers and adapt processes (e.g. recruitment) accordingly.	Human Resource units work in close partnership with managers to apply Strategic Human Resource Management principles systematically. ☐ Human Resource units advise managers on staffing and development needs. ☐ Human Resource management is formally recognised as a priority for the LSGU.

Glossary

Administrative burden: the costs involved in obtaining, reading and understanding regulations, developing compliance strategies and meeting mandated reporting requirements, including data collection, processing, reporting and storage, but not including capital costs of measures taken to comply with regulations, nor the costs to the public sector of administering the regulations.

Administrative simplification: a tool used to review and simplify the stock of administrative regulations. Its main objective is to remove unnecessary costs imposed on regulated subjects.

Competency framework: a competency framework articulates a set of common competency requirements at different job levels in a manner that reflects the required managerial capacity and staff autonomy. It can serve as a foundation for ensuring efficiency and effectiveness in the selection and development of staff to adapt to an organisation's changing needs. It can also serve as the foundation of talent management and be an integral part of recruitment selection, performance evaluation, learning and career development. It is not related to the local government act but is a standalone document outlining the expected skills of public officials.

Evaluation (policy evaluation): structured and objective assessment of the design, implementation and/or results of a future, ongoing or completed policy initiative. The aim is to determine the relevance and fulfilment of policy objectives, as well as to assess dimensions such as public policies' efficiency, effectiveness, impact or sustainability. As such, policy evaluation refers to the process of determining the worth or significance of a policy.

Ex ante impact assessment (or evaluation): identification and critical assessment of the positive and negative effects likely to flow from regulatory and non-regulatory options for a policy or regulation under consideration. Like ex post assessment (below), it is an important element of an evidence-based approach to policy making.

Ex post assessment (or evaluation): assessment of the effects and impacts of policies and regulations once they are in force. It is essential to ensure that policies and regulations remain relevant and fit for purpose.

Functional Urban Area: As defined by Statistics Poland, Functional Urban Areas (FUA) comprise cities and their commuting zones. Therefore, functional urban areas consist of a densely inhabited city (a core area) and a less densely populated commuting zone whose labour market is highly integrated with the city. For a more detailed definition, please refer to https://stat.gov.pl/en/regional-statistics/classification-of-territorial-units/union-territorial-typologies-tercet/functional-urban-areas-fua/

Innovative financing mechanisms: In cases where public sources of funding are insufficient to cover expenditure and investment needs at the state government and local government levels, diversifying revenue sources by resorting to external sources of financing and innovative financing mechanisms can help cover this gap. Local and state governments can mobilise innovative sources of financing through partnering with the private sector and institutional investors, issuing bonds, Public-Private Partnerships, joint borrowing in capital markets or other instruments such as green bonds and social bonds.

Key performance indicator (KPI): a quantifiable measure to evaluate how effectively an organisation or individual is achieving a set of predetermined goals.

Local development strategy: is a document that details the strategy of a local self-government for the development of a particular area. A development strategy usually includes specific goals, priorities and objectives for local development in response to the local self-government's needs.

Mission: it refers to a short statement on why the organisation exists, its purpose, its overall goals. It involves setting goals, identifying actions to achieve them and the resources needed to execute them.

Open government: a culture of governance that promotes the principles of transparency, integrity, accountability and stakeholder participation in support of democracy and inclusive growth.

Open government initiatives: actions undertaken by the government, or by a single public institution, to achieve specific objectives in the area of open government, ranging from the drafting of laws to the implementation of specific activities such as online consultations.

Open government literacy: the combination of awareness, knowledge, and skills that public officials and stakeholders require to engage successfully in open government strategies and initiatives.

Open government principles: Open government initiatives are inspired by and based on the following four principles:

- **Transparency:** transparency in government is the disclosure and accessibility of relevant government information and data.
- **Integrity**: public integrity is defined as adherence to shared ethical values, principles, and norms for upholding and prioritising the public interest over private sector preferences.
- **Accountability:** accountability refers to government duty to inform citizens of its decisions and to provide an account of the activities and performance of the administration and its public officials.
- **Stakeholder participation:** all the ways in which stakeholders can be involved in the policy cycle and in service design and delivery, including:
    a. Information: an initial level of participation characterised by a one-way relationship in which the government produces and delivers information to stakeholders. It covers both on-demand provision of information and "proactive" measures by the government to disseminate information.
    b. Consultation: a more advanced level of participation that entails a two-way relationship in which stakeholders provide feedback to the government and vice-versa. It is based on the prior definition of the issue for which views are being sought and requires the provision of relevant information, in addition to feedback on the outcomes of the process.
    c. Engagement: when stakeholders are given the opportunity and the necessary resources (e.g. information, data and digital tools) to collaborate during all phases of the policy-cycle and in the service design and delivery

Open government strategy: A document that defines the open government agenda of the central government and/or of any of its sub-national levels, as well as that of a single public institution/unit/office or thematic area, and which includes key open government initiatives, together with short, medium and long-term goals and indicators.

Partnerships: refers to the different forms of formal co-operation structures that are specified in the Polish Law (e.g. Inter-municipal Union, Association of municipalities, Inter-municipal agreements, Partnership agreements – based on civil code).

Policy-making cycle: the stages of the policy-making cycle include: (1) Identifying policy priorities; (2) Drafting the policy document outlining the objectives to be achieved and initiatives to be carried out; (3) Implementation of the outlines initiatives; and (4) Monitoring & evaluation that the outlined initiatives have achieved the objectives set.

Regulation: the set of instruments by which governments set requirements on enterprises and citizens. It includes laws, formal and informal orders, subordinate rules, administrative formalities and rules issued by non-governmental or self-regulatory bodies to whom governments have delegated regulatory powers.

Regulatory decisions: refer to instances in which LSGUs, when identifying a policy objective, decide to use regulation as a policy instrument and proceed to draft and adopt such regulation.

Stakeholders: any interested and/or affected party, including: individuals, regardless of their age, gender, sexual orientation, religious and political affiliations; and institutions and organisations, whether governmental or non-governmental, from civil society, academia, the media or the private sector.

Strategic Human Resource Management: Strategic human resource management allows governments to align their workforce with their goals. It enables governments to have the right number of people with the right skills at the right place.

Strategic planning: strategic planning is the mechanism through which local governments determine the direction of development of their territory, underpinned by in-depth SWOT analysis of the current context and the framework conditions under which it is implemented. Strategic planning helps build resilient local economies, which can respond to fast changing external dynamics. Spatial plans, economic local development plans and other policy frameworks are delivered through this mechanism. It is the lever to enable integrated planning.

Tactic: it refers to the actual concrete means to achieve goals, it constitutes the actual tasks that can be implemented as part of a strategy.

Under threshold procurement: below threshold procurement refers to contracts for purchases by contracting authorities that are below the national or EU financial thresholds for works, supplies and services contracts.

Vision: it is the statement that shows how the organisation will look like in the future once the mission and objectives are accomplished.

For more information on the publication linked to
this paper please consult:
oe.cd/pub/3Pq

With thanks to:

Iceland
Liechtenstein
Norway grants