



SELF-ASSESSMENT TOOL FOR LOCAL GOVERNMENTS IN POLAND

OECD Project “Better Governance, Planning and Services in Local Self-Governments: Poland”

Isidora Zapata Isidora.zapata@oecd.org

Policy Analyst, Decentralisation, Public Investment and Subnational Finance Unit
Centre for Entrepreneurship, SMEs, Regions and Cities, CFE



Outline of the presentation

- 1 Objectives of the Self-Assessment Tool (SAT)
- 2 The SAT design process
- 3 Why is the SAT important
- 4 The areas and dimensions of the tool
- 5 Structure of the SAT
- 6 Implementing the SAT



Objectives of the Self-Assessment Tool



Support local actors in **assessing the LSGU status in key governance dimensions** that may affect investments undertaken by local administrations, service delivery and local development.



Helps **creating consensus** within the local administration on **actions to be taken** to better deliver on local development priorities, improve the way in which services are delivered and strengthen internal management procedures to function more effectively.



The SAT design process

The SAT has been developed in partnership with the APC, the Ministry of Development Funds and Regional Policy, and LSGUs.



OECD questionnaire



Fact-finding missions



OECD Recommendations and instruments



OECD countries good practices



Pilot-testing workshop and implementation-testing workshop



Why is the SAT important?



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



Plan actions to fill in the gaps with the objective of better delivering services and enhancing local sustainable development and well-being



Engagement with different stakeholders within and outside the local administration to map and understand existing gaps and challenges



Build ownership on the measures to be taken and build together a local development plan through a **collective vision and action**



The areas of the SAT



Enhancing local development

1. Local development challenges and opportunities
2. Strategic Planning
3. Monitoring and evaluation
4. Subnational finance
5. Inter-municipal co-operation
6. Co-ordination across levels of government



Improving service delivery

7. Digitalisation
8. Open government
9. Monitoring and evaluation of public services
10. Regulatory assessments
11. Administrative burden and public procurement

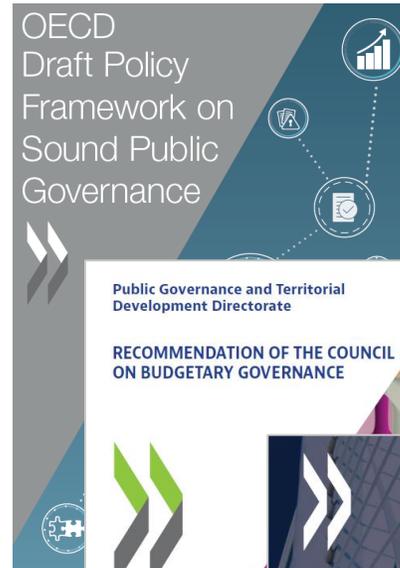
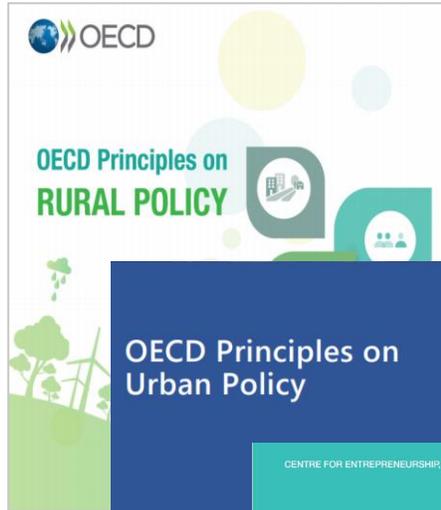


Strengthening internal management processes

12. Co-ordination across administrative units
13. Budgeting
14. Public employment and management



The areas of the SAT: rationale





Structure of the SAT

INITIAL / BASELINE

Basic actions that a LSGU can take.
It reflects that the system/conditions are not necessarily in place, not functioning well, or limited to what is required by law.

SATISFACTORY / INTERMEDIATE LEVEL

The dimension is better understood, bringing some **organisation, standardisation and systematisation** of practices.
It reflects that the LSGU has implemented some steps to advance, but that improvements are still needed.

OPTIMISED / GOOD PRACTICE

The system in place **works in a satisfactory way**.
It reflects that the LSGU has proactively implemented measures to perform at its best.



Implementing the SAT

- The SAT is intended to be **used regularly** by LGUs as a **guide and support** for the local government's strategic planning process and its implementation
- To apply the SAT each LSGU should ensure **participation** and **engagement** from all relevant actors. This helps in:
 - building **ownership** over the self-assessment's results across the LGU administrative structure.
 - conducting a more **effective and smooth implementation** of the subsequent Action Plan that will be developed
- The self-assessment is thus an exercise that requires broad participation at all stages of implementation and serves, at the same time, as **capacity building** and **dialogue** process.



Implementing the SAT: a participatory process



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



Stage 2: Analysis of the current situation and identification of the level of maturity



Stage 3: Definition of actions to be taken for improvement



Stage 4: Elaboration of an Action Plan with clearly set priorities



Stage 5: Communication of the Action Plan within the local government administration



Implementing the SAT



Stage 1: Form a multi-stakeholder task force for the self-assessment process that is comprised of actors from different areas of the LGU administration.

- ☑ Set up a **task force** responsible for the entire exercise to ensure the participation and buy-in from all staff
- ☑ The composition of the task force should be **balanced** and should include actors involved in the three main analytical parts of the tool
- ☑ The LGU should make an extra effort to also include those actors in the task force who are traditionally **under-represented** in decision-making.
- ☑ The LGU can also envisage the involvement of **external stakeholders** such as civil society representatives or private sector actors, which can help to further ensure credibility and legitimacy.



Implementing the SAT



Stage 2: Analysis of the current situation and identification of the level of maturity

- ☑ Individual analysis of the LGU's current situation per dimension.
- ☑ Discussion among the members of the task force to do a preliminary identification of the main gaps and areas for improvement per dimension.
- ☑ Dialogue with all relevant stakeholders of the LGU administration.
- ☑ Identification of gaps and areas for improvement to be addressed per area and dimension



Implementing the SAT



Stage 3: Definition of actions to be taken for improvement

- ☑ Consult and engage with different stakeholders within the local administration on **the priorities for improvement**.
- ☑ Elaborate a preliminary list of **prioritised measures** to address the existing gaps and move towards higher levels of maturity per dimension.



Implementing the SAT



Stage 4: Elaboration of 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 .
- Identify staff/units responsible for implementing each action and **define a specific timeframe**



Stage 5: Communication of the Action Plan within the local government administration

- The engagement process needs to conclude with a **clear and efficient dissemination** of the final Action Plan to all LGU staff (and to external stakeholders, if they participated in the process). This also helps to create commitment of LGU staff for the improvement of the chosen actions.

THANK YOU

Dziękuję Ci

Isidora.zapata@oecd.org



The areas of the SAT: rationale



Enhancing local development

1. **Local development challenges and opportunities:** Diagnosing the strengths and challenges of LGUs is a key step to develop local development strategies adapted to the local reality
2. **Strategic Planning:** Strategic planning is vital to enabling governments to articulate and pursue multidimensional objectives
3. **Monitoring and evaluation:** Focusing on performance improves the efficiency and effectiveness of public investment by linking policy objectives and outcomes and revealing information throughout the investment cycle
4. **Subnational finance:** As main drivers of public investment, LGUs need to play an active role in exploiting own revenue-raising potential to finance investment, to ensure financing for long-term operations and maintenance, and to participate in co-financing arrangements
5. **Inter-municipal co-operation:** Co-ordination of investments and development policies favour growth and productivity, especially in metropolitan areas by investing at the relevant scale.
6. **Co-ordination across levels of government:** align objectives between the central and lower levels of government and bridge information, financing, and capacity gaps



The areas of the SAT: rationale



Improving service delivery

7. **Digitalisation:** 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 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 across all levels of government enables more effective and responsive policy-making and service delivery, ultimately contributing to restoring public trust
9. **Monitoring and evaluation of public services:** Informing policy-making by sound evidence on what works is critical role for effectively designing, implementing and delivering public services. and achieving key long-term objectives.
10. **Regulatory assessments:** Regulatory Impact Assessment provides crucial information to decision-makers on whether and how to regulate to achieve public policy goals
11. **Administrative burden and public procurement:** Promote transparency and strategic use of public procurement at all levels of government is important to diminish the risk of fraud and corruption and pursue strategic government objectives



The areas of the SAT: rationale



Strengthening internal management processes

12. **Co-ordination across administrative units:** administrative units should consider each others work when taking decisions in order to avoid increased costs, lack of consistency between policies, duplication of efforts and burden for citizens
13. **Budgeting:** The budget is a central policy document of government, showing how annual and multi-annual objectives will be prioritised and achieved. It aims to turn plans and aspirations into reality. More than this, the budget is a contract between citizens and 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 at the right place. Such practices help governments increase efficiency, responsiveness and quality in service delivery



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

Enhancing local development

<p>Local development challenges and opportunities</p>	<ul style="list-style-type: none"> ▪ Identification of local development challenges ▪ Identification of local development opportunities ▪ Identification of rural-urban functional linkages ▪ Alignment to global agenda of climate change ▪ Foresight and adaptation to future demographic scenarios 	<p>Monitoring and evaluation of LDS and policies</p>	<ul style="list-style-type: none"> ▪ Data availability ▪ Indicators for the implementation of the LDS ▪ Monitoring the implementation of the LDS
<p>Strategic Planning</p>	<ul style="list-style-type: none"> ▪ Identification of clearly defined strategic priorities ▪ Preparation of the local development strategy (LDS) ▪ Planning horizon of the LDS ▪ Vision and objectives of the LDS ▪ Alignment of the LDS with the spatial plan ▪ Support of strategic development through land use planning ▪ Planning coherence across levels of government ▪ Co-ordination with neighbouring LGUs ▪ Participatory design process ▪ Linkages between budgeting and planning processes ▪ Internal capacity for local development 	<p>Subnational finance</p>	<ul style="list-style-type: none"> ▪ Debt and borrowing ▪ Use of innovative financing mechanism
		<p>Inter-municipal co-operation</p>	<ul style="list-style-type: none"> ▪ Scope of inter-municipal co-operation ▪ Composition of partnerships and use of functional areas ▪ Internal capacity for horizontal co-ordination ▪ Monitoring and performance management of horizontal partnership ▪ Accountability of partnerships
		<p>Co-ordination across levels of government</p>	<ul style="list-style-type: none"> ▪ Co-financing arrangements and contracts ▪ Dialogue with higher levels of government ▪ Internal capacity for vertical co-ordination



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

II. Improving Service Delivery

Digitalisation

- Degree of digitalisation
- **Eco-system** to deliver e-services

Monitoring and evaluation of public services

- Evaluation of public policies
- **Quality** of evaluations
- **Use** of evaluation results
- **Communication** of evaluation results

Open Government

- Open government **strategy and initiatives**
- Open government **principle in the local development strategy**
- Promoting open government **literacy and knowledge**
- Internal **capacity**
- **Stakeholder participation** in LGUs
- Participatory/citizens budgets

Regulatory assessments

- **Ex-ante assessment** of regulatory decisions
- **Ex-post assessment** of regulatory decision
- Internal **capacity** for regulatory decisions

Administrative burden and public procurement

- **Under-threshold** procurement policy
- **Training** and capacity building
- **Collaboration** and communication with national level procurement body
- Internal **capacity** for procurement policy
- Availability and transparency of administrative procedures
- **Administrative burden**



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

III. Strengthening internal management processes

Public employment and management

- Recruitment
- Performance management
- Learning and development
- Workforce planning
- Career management
- Internal capacity for HR management

Budgeting

- Budgetary framework
- Transparency and accessibility
- Performance budgeting
- Participative and inclusive budgeting

Coordination across administrative units and policy sectors

- Purpose of co-ordination
- Institutional responsibility for co-ordination
- Capacity and resources for coordination
- Human resources management
- Skills for co-ordination
- Information and document sharing across administrative units