



AVALIAÇÃO DA OPERACIONALIZAÇÃO DA **ABORDAGEM TERRITORIAL DO PORTUGAL 2020** NO CONTEXTO DA CONVERGÊNCIA E COESÃO TERRITORIAL

Sumário Executivo

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Cofinanciado por:

EVALUATION OF THE OPERATIONALIZATION OF TERRITORIAL APPROACH OF PORTUGAL 2020 IN THE CONTEXT OF CONVERGENCE AND TERRITORIAL COHESION

EXECUTIVE SUMMARY

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1. INTRODUCTION

1. This document constitutes the **Executive Summary of the Final Report on the study of Evaluation of the Operationalisation in the Territorial Approach of Portugal 2020 in the Context of Convergence and Territorial Cohesion**, developed by evaluation team of the Consortium Centro de Estudos e Desenvolvimento Regional e Urbano (CEDRU) and EY-Augusto Mateus & Associados, to the Agency for Development and Cohesion (AD&C).
2. Under the terms of Tender Programme and Tender Documents, this Executive Summary aims at systemising all relevant information associated to the evaluation, in different issues developed, and to generate useful knowledge from the same to the several recipients of the evaluation.

2. OBJECTIVES

3. The Evaluation of the Operationalisation in the Territorial Approach of Portugal 2020 in the Context of Convergence and Territorial Cohesion **is a process evaluation, particularly oriented to improve quality of elaboration and execution of interventions associated to convergence and territorial cohesion processes**, and the effects of territorial differentiation measures in Portugal 2020.
4. Thus, the study has as **global objective** *“the assessment of the adequacy of territorial approach of Portugal 2020, considering configuration and implementation contribution of policy/programming instruments that operationalise it in four thematic areas, to obtain the results and impacts estimated in reduction of regional asymmetries, and consequent reinforcement of economic convergence and territorial cohesion¹”*.
5. Within this global objective **four specific objectives** have been defined, which aim at ascertaining: (i) the complementarity and the synergies between policy/programming instruments coincident in the same territory in pursuing the objectives of economic convergence and territorial cohesion; (ii) the efficiency of formal and informal coordination mechanisms between policy/programming instruments and multilevel governance (between several levels of government and/or public administration) and multi-stakeholders (between all interested parties in the territory); (iii) the relationship between configuration of policy/programming instruments and respective implementation, aiming at obtaining respective objectives; (iv) the adequacy and relevance of positive differentiation measures of low density territories based on methodology proposed in the deliberation no. 55/2015 of Inter-ministerial Coordination Commission of Portugal 2020, including, if appropriate, a proposal for revision of used methodology.

¹ ADC (2017) “Tender Programme – Public Tender internationally advertised to the rendering of services contract aiming at the evaluation of operationalisation in the territorial approach of Portugal 2020 in the context of convergence and territorial cohesion”

3. OBJECT AND SCOPE

6. The evaluation has as object the policy/programming instruments that materialize the Territorial Approach of Portugal 2020, as transversal extent, in particular:
 - » **Instruments of integrated policies on territorial basis, composing the integrated territorial approach as defined by EC, or which have a similar nature, and that aim at operationalising a set of policies from the territory, being anchored in integrated Strategies for Territorial Development (EIDT) of sub-regional scope;**
 - » **Instruments of territorialised sectorial policies that mobilise the territory to respective implementation and that are operationalised through a multilevel government of programming instruments;**
 - » **Positive differentiation measures of low-density territories,** established by Deliberation of CIC PT2020 and that may be assumed in implementation, on the side of the Operational Programmes, according to different modalities.
7. Considering the implementation of these instruments in the scope of Portugal 2020, the evaluation **had as territorial scope** the five **Continent NUTS II** and as **programmatic scope** the four **Thematic Operational Programmes, and the five Regional Operational Programmes of Continent**. It had also, as **time scope** the period between the beginning of implementation of Portugal 2020, and July 2019.

4. EVALUATION METHODOLOGY

8. The **evaluation process was organised in 4 phases**, the first one being a deepen definition of methodology and explanation of the Theory of Change of Territorial Approach of Portugal 2020 (Device 1), the further ones of development of several methods, and the last one reserved to the introduction of final improvements that resulted from suggestions of Accompanying Group.
9. Considering the extension of instruments and objectives of Territorial Approach of Portugal 2020 and the complexity of its Theory of Change, **the evaluation was supported on mobilization of a broad scope of collection, analysis, and methods of information triangulation**. Under this scope one highlights the realization of 22 interviews to strategic actors; 285 inquiries to leading entities of integrated policy instruments on territorial basis, and to municipalities; 123 inquiries to beneficiaries of positive differentiation measures of low density territories; and, 5 regional workshops.
10. Due to the territorial, political and instrumental coverage of Territorial Approach of PT2020 and the need of obtaining deeper evidences, **5 studies of case on a sub-regional scale have been conducted, in the NUTS III Minho-Lima, Viseu Dão Lafões, Lisbon Metropolitan Area, Baixo Alentejo and Algarve**. Under this scope, 10 sub-regional *focus group* were conducted, and 226 inquiries were made with the operation execution entities inserted on integrated instruments on territorial basis, and on territorialized sectorial instruments.

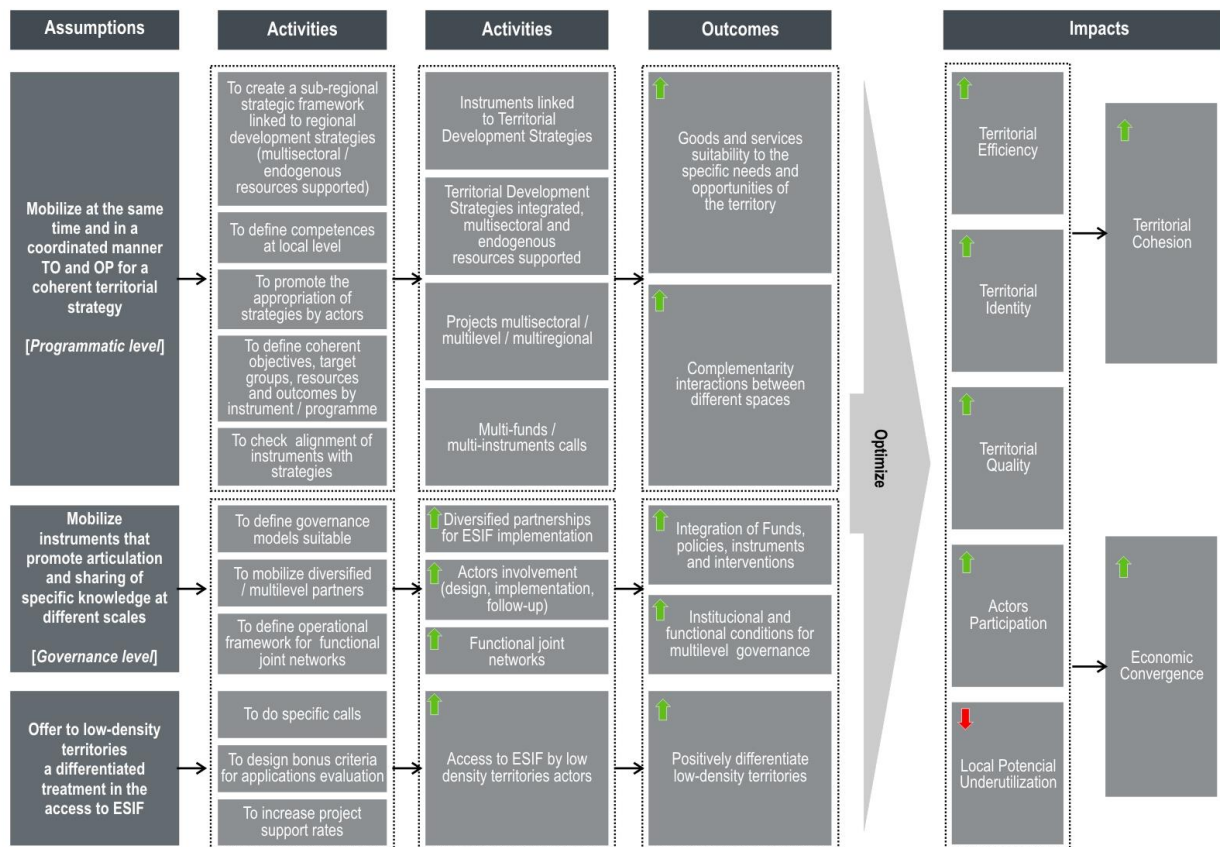


Figure 1. Theory of Change on the Territorial Approach of Portugal 2020

Resource: CEDRU/EY-AMA

5. MAIN EVALUATION CONCLUSIONS

11. The evaluation indicated that, having as an **objective to increase the economic convergence and the territorial cohesion, in line with a strong relevance given to territorial dimension in European Union Policy of Cohesion and in Strategy of Europe 2020, the Partnership Agreement, and the Regional, and Thematic Operational Programmes granted a great importance to territorial approach.** The relevance that this approach assumes as contribution to explore the development potential of all territories, and to reduce regional asymmetries in Continent, and the consequent reinforcement of economic convergence, and territorial cohesion, **is visible in the number, and diversity of policy/ programming instruments that operationalize it and that require mechanisms of articulation, coordination and government of different nature.**
12. The approach designed, whether at mechanisms of governance/government level and as instrumental solutions to promote territorial development **constituted, in general lines, an intensification of solutions implemented in earlier periods.** On the one hand, this decision allowed the passage from conception to execution in a context of institutional and programming safety, potentially more facilitator of execution, on the other hand it **has not allowed to overcome structural bottlenecks in territorial approaches in scope of Cohesion Policy in Portugal.** Further to that, **pulverization of instruments in territories, both on urban context and on rural one, reduces the potential impact of approaches/operations – due to the reduced financial interventions scale– aggravates implementation costs and difficult multilevel governance as from accompanying on the side of Central Administration Entities and Management Authorities.**

13. The options taken shall be duly put into a context. On the one hand, **in the political and macroeconomic period preceding and accompanying the programming exercise, in implications of financial restrictions in political formulation processes, on sectorial and territorial planning, and in instrument construction of higher innovation degree, and operational risk.** On the other hand, in explicit and implicit restrictions imposed in programming process by the European Commission.

14. **It matters to highlight the existence of crucial constraints that are beyond the object of evaluation and that constitute limiting factors of Territorial Approach of Portugal 2020 and full accomplishment of several preconditions of the Theory of Change.** The first one results from the **nonexistence of an adequate territorial planning, due to the lack of Regional Plans in Territory Planning in the North and Centre regions,** and the significant outdated of **Regional Plan in Territory Planning of Lisbon Metropolitan Area.** In its absence or insufficiency, public discussion and the conduction of political choices have become even more difficult to structure.

15. The second one emerges from the **desynchronies between political organization of the State and competence framework of each level and instrumental and programmatic objectives of Territorial Approach of Portugal 2020:** (i) programmatic geography out of phase from geography of State organization (examples, of integration of NUTS III in NUTS II just for the purposes of funds); (ii) expectation of obtaining supra-municipal results at NUTS III scale, when the State just disposes of inter-municipal structures at that level; (iii) debilities of institutional legitimacy in effective regional policy coordination.

16. Under this scope due to centrality granted to NUTS III scale, governance mechanisms implemented in this scale from partnership structures responsible by definition and accompanying of instruments deserve a special emphasis. That is to say, interaction processes to take a decision between the actors with different natures involved in a collective action. **Although these solutions are promoting territorial intelligence, they cannot be put as an alternative model to overcome the weaknesses of the State organization or to overcome competence failures at a certain level of political decision. They shall be seen as an approach giving a bigger amplitude, transparency and participating permeability to processes of taking decisions related to local, and regional development, reinforcing social capital, and strategic alignment.**

17. **Limitations of political-institutional framework in force to accomplish objectives defined in Territorial Approach of Portugal 2020 reinforce the need of regional scale (NUTS II), not only in terms of planning, but in particular in coordination, and institutional leadership in regional development process,** ensuring inter-sectorial and inter-municipal cooperation levels that guarantee a bigger rationality, efficiency and effectiveness in definition of investments. **The accomplishment of this role by Regional Coordination and Development Commissions, in particular as from a framework of competences that allow an effective coordination of decentralised departments is decisive to the achievement of some preconditions in Theory of Change of Territorial Approach of Portugal 2020,** (from multilevel governance, to territorial differentiation of Territorial Development and Cohesion Pacts), independent from qualities of governance models of territorial fund found in each Cohesion Policy cycle, and in the case of Portugal 2020 were appreciated by this evaluation.

18. Conclusions hereinafter presented and that **intend to reunite a set of supporting lessons to the future formulation of territorial approaches result from the reply to questions on the evaluation and verification of logic framework on the Territorial Approach of Portugal 2020.** In its organization four types of interpretation have been considered, transversal to several critical factors that better allow the understanding of results to be reached and to make an operational framework of recommendations. One must highlight that the object of this evaluation is the Territorial Approach of Portugal 2020, but not exempts deeper evaluative interpretations, both at instrument level that compose it, as at affected region scale.

FROM THE CONFIGURATION PROCESS TO IMPLEMENTATION

19. The scope of evaluation developed concerns the configuration and implementation of Territorial Approach of PORTUGAL 2020 aiming at verifying the coherence and efficiency of implementation of Theory of Change, as from the resources mobilization, passing through the activities developed until the achievement of results. Under this context the following conclusions shall be highlighted:

C01. The option taken in preparation of this programming period in deepening processes of territorial strategic planning to regional and sub-regional scales and granting them a central role as reference framework from further instruments, and investments between 2014 and 2020, **constituted an indispensable approach to promote participation of territorial actors in shared identification of problems/opportunities, as to enable organizations, to legitimate leaderships and making all the partners responsible in obtaining the contracting results.** However, it matters to highlight that these planning processes are not comparable to Territorial Management Instruments, under the terms established in general basis Law of public policy of soils, in territory and urbanism planning (Law No. 31/2014, of 30 May), these being the definers of regional, inter-municipal, and municipal territory organization, and of the territorial structuring models, at the level of urban system, infrastructures and collective use equipment.

C02. Further to that, logical sequence of instruments involved in conception phase **led to a vertical strategic articulation framework (regional – sub-regional – local), essential to an efficient and effective territorialization, notwithstanding some coordination insufficiencies between sub-regional and local scale have been detected, reason why the expected synergies in implementation phase are not being established.** This weakness is particularly evident in relationship between Integrated Strategies for Territorial Development (EIDT) and instruments that materialize city policies due to the triple reason that: (i) reflection between rendering of Social Services of General Interest (Development and Territorial Cohesion Pacts) and accessibility (Sustainable Urban Mobility Plans) was not encouraged; (ii) when drafting sub-regional strategy, the type of incidence territories of Strategic Plans for Urban Development (PEDU) were not known, allowing to flag sub-regional priorities; (iii) the very located incidence of Urban Regeneration Action Plans (PARU) and Action Plans for Disadvantages Communities Inclusion (PAICD) (street or suburbs), is distant from sub-regional analysis scales.

C03. One of the main weakness of Territorial Approach of Portugal 2020 is related to **problems identified in the passage of planning process to financial operationalization and programming.** This weakness is relatively structural in programming Structural European Funds and Investment (FEEI) in Portugal, given that **processes of strategic planning are simultaneously developed, and apart from programming. For this reason, from strategic phase to operationalization occur constraints that prevent the achievement of ideal framework.** That is to say that restrictions imposed by financing rules were not considered in territorial strategic planning, nor this determined the entitlement inscribed in Operational Programmes, in specific regulations, in contracting document or in Tender Notices. **From these result two types of inhibition: insufficient execution adaptation to specific territorial reality/needs, and deficient synergy and complementarity levels.**

C04. The insufficient ability to establish synergies and complementarities result from an **inefficient integration of operations regulated by different Tender Notices.** This insufficiency is the result of programming matrix, making integration of Investment Priorities more difficult, and, later on, of a different and overlapped set of factors, such as: (i) lack of knowledge of promoters; (ii) prevalence of suspicions as to managing proceedings efficiency; (iii) time differences in releasing potentially complementary Notices; (iv) limitations to eligibilities; (v) too short deadlines for preparing applications; (vi) lack of autonomy of leading entities of instruments on releasing Notices. One shall underline that **articulation between different Notices operations is indispensable to the achievement of Territorial Approach of Portugal 2020, given that programming logic by Thematic Objective and Investment Priority promotes segmentation of policies, funds and operations, within the same instrument.**

C05. It matters to underline that **Territorial Approach of Portugal 2020, while a mechanism of decentralization of funding governance aiming at increasing management efficiency and effectiveness constitutes a positive progress** when compared to prior similar periods, reached gains being recognized by several actors, in particular at the level of facilitation in the application preparation, and selection, on the celerity in submission of payment and reimbursement requests, or on intensity of accompanying processes. It is certain that **existence of prior planning processes generates foreseeability of investment and respective financing and turns execution processes more easy, the effective gains in transaction costs, the existence of low levels of execution breaks or the time execution accomplishment in approved operations, can only be effectively evaluated through specific evaluations to each one of instruments** composing Territorial Approach of Portugal 2020.

ON MOBILIZATION AND ARTICULATION BETWEEN PUBLIC POLICIES

20. The Territorial Approach of Portugal 2020 ability to promote economic convergence and territorial cohesion is based, among other aspects, on public policies mobilization that better reply in each case to the needs and opportunities of regions, sub-regions, cities and low density territories, but also in capacity of programmatic design to enable **transversalization** of such policies, promoting the integration of united actions at several levels, through generation of complementary and synergetic projects. Under this context one must highlight the following conclusions:

C06. The evaluation confirmed that Territorial Approach of Portugal 2020 **presents a manifest prevalence of logic cohesion, and redistribution on a logic of convergence and competitiveness** due to the mix of policies that mobilize, and in particular due to financing weight that Territorial Development and Cohesion Pacts (PDCT) assume in this approach, as this is essentially oriented to the rendering of General Interest Services. This tendency was **emphasized in the passage of the phase of strategic conception to instrument operationalization**, due to the reasons already exposed in conclusion C03.

C07. In conceptual terms, the design of **Territorial Approach of Portugal 2020 considered the correct principles to promote integration of important sectorial policies**, in particular by estimating the possibility of operations related to different sectors in a same territory being executed as from the same territorialized instrument or to facilitate articulation between instruments with different ends, having a common sub-regional strategic context.

C08. However, **evidences collected point out reduced gains due to a set of several factors. For instance, the limited appropriation of Territorial Approach of Portugal 2020 by sectorial political promoters.** On the other hand, **because an articulation between territorial sectorial policies and EIDT or PDCT were not safeguarded.** Finally, because the **nonexistence of fundamental instruments of Territorial Management System at regional scale and sectorial strategic context with territorial declination is not allowed: (i) the ex-ante construction of integrated development visions (ii) the correct sectorial policies inclusion in EIDT; (iii) the achievement of complementarities in territories of action.** One shall underline that, due to political and institutional model in force and sectorial concertation weakness as from regional scale, only as from instruments of Territorial Management (due to respective measures) or of a strong central undertaking in integration of policies will be possible to obtain the expected inter-sectoriality nature at territorial scale.

C09. Other weakness verified in terms of policy integration emerge from **the reduced articulation between measures of positive differentiation of low-density territories, and further instruments on territorial basis instruments acting on these territories.** Both on facilitation of corporate initiatives scope, where an articulation with rural Local Development of Community Basis (DLBC) or PROVERE/PADRE should exist, as in facilitation of local public investments of territorial qualification and valorisation, which should be in line with EIDT, one verifies that differentiation measures act in an isolate way. It is certain that these measures occurred out of initial conception of Territorial Approach of Portugal 2020, the way as they have being implemented, without exploring potential synergies and

complementarities, nor involving actors promoting integrated policy instruments on territorial basis, prevents the ability to maximise/accelerate the impacts in the point of view of economic convergence.

C10. The results being achieved in sub-regional actuation scale to grant a bigger rationality to rendering of Social Services of General Interest are also beyond the expected. One shall stress that this has been one of the main objectives of inter-municipal scale in implementing Cohesion Policy in Portugal. The declining population in a considerable part of domestic territory, and the consequent loss of critical mass, associated to budget constraints evidenced during this decade reinforced this need. **Although EIDT creation is facilitating the appearance of interventions in network, and bigger scale projects, that situation is not occurring as expected.** This insufficiency results from the basis of political-institutional model on EIDT/PDCT governance— municipal association— tendentially promoting a financial affectation by municipality and projects conduction of local or municipal scale. This also derives from **absence of instruments of inter-municipal sectorial planning, allowing FEEI execution, and the construction of provision networks of inter-municipal scope, and a consequent prioritization of investments according to this logic.** On the other hand, one highlights that provision of rationalisation shall be associated to inter-municipal mobility planning, which only occurs after EIDT definition, whether with PAMUS elaboration, or with the creation of conditions for Inter-municipal Communities/ Metropolitan Areas (CIM/AM) to assume transportation authority competences, as enshrined in Law No. 52/2015, of 9 June.

C11. Due to its multidimensionality and multi-sectoriality, city policy constitutes an approach that not only integrates several sectorial policies in a same territory, aiming maximisation of results, as also contemplates several actuation scales, as foreseen in City Policies 2020 (interurban dimension, city-region dimension, interurban dimension). However, from evaluation conducted **one concludes that the role of cities to territorial cohesion and economic convergence in the framework of Territorial Approach of Portugal 2020 is not being valued in its entirety, namely:** (i) due to creation of an urban networking oversized at its higher level and without functional hierarchy (105 Strategic Plans for Urban Development (PEDU)); (ii) the exclusive **co-financing of interurban dimension (PEDU, PARU and PAICD);** (iii) the **non-valuation of sub-regional polycentric urban systems** as from articulation between investments in mobility (PAMUS) and rendering of social services of general interest (PDCT); (iv) the **absence of recognition of the role of regional urban centres in territorial structuring as economic motor, and investigating, development, and innovation centres.**

FROM INSTRUMENT ARCHITECTURE TO TERRITORIALISATION OF PUBLIC POLICIES

21. The Territorial Approach of the Portugal 2020 is based on an instrumental architecture aiming at promoting territorialisation of public policies as from the creation of conditions allowing FEEI to reply in adequate scales to specific problems and opportunities of territories, with high complementarity and synergy levels, maximising the results to be obtained according to a centralised logic. Under this context it matters to stress the following conclusions:

C12. The Territorial Approach of Portugal 2020 was characterised by favouring an alignment between instrument territorialisation and State organization, with special emphasis to importance granted at inter-municipal scope. Without prejudice of evident benefits resulting from this option to institutional reinforcement of CIM/AM and adequacy of the instrument to the purposes proposed to be achieved – essentially the cohesion reinforcement –, the prevalence of this model has not allowed to explore the opportunities proposed by EC regarding a functional approach of ITI to territories. Due to that fact, experiences of space design of integrated instruments on territorial basis adjusted to specific realities defined by problems, resources or value chains, with exception to PROVERE/PADRE are reduced. This option **is limiting the capacity of the Territorial Approach of Portugal 2020 to accelerate functional dynamics put in regional development issue,** in particular in territories with critical mass weakness or where geography of opportunities is not coincident with administrative circumscriptions.

C13. The functional delimitation of competitiveness challenges defined as from singular elements of territories or the distinctive positioning of productive specialisation chains, **presupposes, in situations at large, an actuation scale of regional or transregional scope.** Such is **not being achieved in Portugal 2020** given that NUTS II scale was oriented to the “community funds management” and the implementation of integrated instruments on territorial basis, with exception for some cases of PROVERE/PADRE, privilege NUTS III scale. **The non-configuration of integrated instruments focused in competitiveness dimensions, in line with remission to a direct operationalization as from Regional Operational Programme of interventions generating convergence and competitiveness, in line with the RIS3 may be limiting potential gains at this scope.**

C14. One shall also note that **PDCT operationalisation results indicate a regional uniformization in Investment affectation Priorities by NUTS III,** conducted in cases at large in an explicit way as from a process of concertation between the Managing Authorities of Regional Operational Programmes and CIM/AM. Constraints prior pointed out regarding political institutional model, and the nonexistence of rules or mechanisms of encouragement (whether positive or negative) orienting PDCT composition **may be conditioning its capacity to reply to specific opportunities, and needs in each sub-region,** given that homogeneity is significantly different from diversity of social-economic realities, and from critical mass levels in different NUTS III. Further to that, still at PDCT level, results being reached by interventions, exclusively on direct effect issues, are close of results susceptible of being achieved by a model **in which each Pact corresponded to a “sub-programme” or to a main orientation of Regional Operational Programme, in which the potential of inter-sectorial integration is insignificant.**

C15. However, it matters to emphasize that **configuration of integrated policies on territorial basis and the way these were densified, and are being implemented, is based on very significant participation levels of local actors. This situation allows the exploration, within liberty degrees granted by the programming, of solutions for specific needs/opportunities** as from territorial cooperation models. This fact is especially evident on inter-municipal instruments, as PDCT, or on instruments that are defined by functional geographies as PROVERE/PADRE or DLBC. Even though, **there is an absence of instruments that promote networking cooperation of transregional nature or oriented to polycentrism reinforcement as from projects that strength national and regional urban networking,** and cooperation between structuring centres, for example the Urban Networking for Competitiveness and Innovation (RUCI).

C16. One must highlight that **instrumental densification and strengthening of domains integrating these instruments lead to situations of potential strategic overlapping, operational redundancy of goals and eventual cannibalization of target groups,** being necessary to find more efficient and effective actuation models. For instance, at the level of fighting poverty and promoting active inclusion is vital to find a rational actuation that articulates Urban DLBC and Local Contracts and Social Development (CLDS), to the current decentralization context. On the same way, there are margins to optimize implementation of the System for Stimulating Entrepreneurship and Employment (SIE) as from territorial approaches, in particular DLBC and PDCT.

C17. Under the scope of reducing the asymmetries, definition of positive differentiation measures to low density territories have to be highlighted, due to its relevance in the light of a specific social-territorial reality of an important part of the Continental Portugal territory that needs facilitating mechanisms of access to FEEI, and promoting of investment appeal. **The approach adopted, and the mapping used on the basis of operationalization of measures reveal very significant improvement, and clarification margins, in the sense of increasing its relevance, efficiency and impact.** In general terms it is evident that: (i) positive differentiation for public investments in low density territories should be accomplished through integrated instruments, and in line with EIDT, ensuring its sectorial and territorial coherence; (ii) that positive differentiation of urban networking in territories in loss, shall be resolved with city policies, and reinforcement of urban system, and not as a policy to revitalization of low density territories; (iii) that criteria to use in territory mapping to be differentiated shall be unequivocally associated to the expression of economic, and social disadvantage problems motivating the discrimination.

FROM CHALLENGES TO TERRITORIAL GOVERNANCE

22. The Territorial Approach of Portugal 2020 is based not only on a pertinent articulated, and effective instrumental design, but also on a government/governance model that by improving the capacity of territorial leadership, the cooperation between actors, and a management closer to beneficiaries, should contribute to a bigger coordination between policies, programmes and instruments, at vertical and horizontal level. Under this context the following conclusions shall be highlighted:

C18. The centrality granted to sub-regional scale, and the way how the government mechanisms were operationalised, **although it is coherent with FEEI execution trajectory since 2000, has not considered three potential risks: (i) the existence of an asymmetric dialogue between CIM/AM and Central Administration; (ii) the existence of disparities on leadership capacity, technical conduction, and institutional articulation in inter-municipal entities; (iii) the inter-municipal nature of these entities.**

C19. Under this context, **one verifies that the role of Coordination Commission and Regional Development, excepting the Algarve in which operational design results from a coordinating, and stimulating role of this entity, seems not to be duly enhanced**, as: (i) promotor of integrated regional and transregional instruments; (ii) as coordinator of decentralised services in Central Administration; (iii) as partner of territory actors, facilitating inter-sectorial coordination, and helping to promote a structuring dialogue in conception, and implementation of multilevel approaches; (iv) as capacitor of inter-municipal structures or other structures leading territorial instruments. As a matter of fact, the **Territorial Approach of Portugal 2020 is not being able to overcome structural insufficiencies of multilevel governance** due, in first instance, to institutional policy model, and under operationalisation to several factors, as: (i) the circumscription of integrated policy instruments on territorial basis to local and sub-regional actors; (ii) the lack of experience in implementation of multilevel instruments; (iii) the unavailability of Central Administration to adapt its interventions to territories or in considering EIDT.

C20. The heterogeneity of CIM/AM performances in terms of leadership of instruments on territorial basis, and inter-municipal promotion on cooperation is other factor emerging from evaluation, with implications at quality of territorial planning processes, in enrichment of work experiences in networking and in institutional and territorial cooperation and in supra-municipal formulation approaches. In line with positive cases, where CIM/AM are evidenced, where it has been possible to overcome suspicions between partners and explore synergies and complementarities, there are others where absence of political leadership, executive capacity, and technical resources originate insufficiencies on conduction and coordination, seen as from EIDT conception until PDCT implementation or from attraction of other European financing. From these, result, among other problems, **the incapacity in achieving in a homogenous and consistent way, the increase of rationality in local investments as from sub-regional scale.**

C21. Even so, **in spite of achieved results are not universally positive, advances obtained at sub-regional scale in terms of territorial leadership, technical capacity (planning, articulation and territorial animation) and institutional recognition shall not be depreciated.** These gains are an active for next Cohesion Policy cycle due to social, relational capital, and increasing trust created that is indispensable to improve replying quality to competitiveness challenges, and rendering of Social Services of General Interest, in context of lack of resources.

C22. One of main insufficiencies at governance efficiency level is related to **weaknesses verified in partnership principle**, in particular in PEDU scope, when compared to City Policy experiences tested in 2007-2013 cycle. For this situation, each PEDU reduced financial scale and its interurban pulverization competes as from realization of simultaneous PARU and PAICD, contrary to the past where Urban Regeneration Partnerships had an especial focused actuation, with bigger impact, and based on mobilization of actors in that territory. For that same reason, community

regulatory conditioners associated to Urban Authorities are disproportionate for the dimension of development interventions in force in Portugal.

C23. Other challenge in terms of government efficiency is related to **effective ability of conducting instruments as from territories**, in an actuation context focused on results, but flexible in definition of paths. As a matter of fact, the implementation model of Territorial Approach as from several instruments valued a decentralisation of accompanying functions, and formal verification, and less a piloting of several integrated instruments as from the territory, in a strategic management context.

6. RECOMMENDATIONS OF THE EVALUATION

R.00. Overcome State organization and functioning weaknesses, at regional, metropolitan and inter-municipal levels, and concretization of Territorial Management System enshrined in Law No. 31/2014 of 30 May

In the course of this evaluation became evident that performances of territorial approaches, in the scope of several Cohesion Policy cycle in Portugal, have been significantly conditioned by constraints in the State organization and territorial planning. This context is a severely conditioner of results of several strategic, programmatic and instrument solutions that have been tested and tend to be aggravated at the extent of a bigger relevance recognition of territorial dimension in public policy prosecution, most importantly of European Regional Policy.

It was also possible to conclude that without overcoming these weaknesses, the capacity of formulated recommendations, as from verification of Theory of Change on the Territorial Approach of Portugal 2020 generate significant advances in perspective of maximization of cohesion and convergence will be reduced.

A significant part of State organization and functioning constrictions with relevance to territorialisation of public policies are included in the Report of Independent Commission for Decentralisation, created by Law No. 58/2018 of 21 August. One highlights, due to its indispensability, that for good implementation of territorial approaches supported in FEEI is manifestly evident the need to reinforce the policy coordination capacity of respective territorial structuring as from NUTS II scale.

On same way, weaknesses in Territorial Management System, enshrined in Law No. 31/2014, of 30 May, are inscribed in first revision of National Programme for Territory Planning Policy (Law No. 99/2019, of 5 September).

Under this context, recommendations hereinafter presented shall be seen in the scope of decentralisation process and full concretization of territorial model, and policy objectives fixed in PNPT.

R.02 Preparing 2021-2027 cycle of Cohesion Policy based on participated processes of strategic planning of regional and sub-regional scale

» In preparation of programming 2021-2027 period, strategic processes planning in NUTS II and NUTS III scale promoted by CCDR and by CIM/AM shall be promoted with the following requirements:

- Respecting European priority framework and regulatory Cohesion Policy conditioners;
- Respecting domestic priority framework of sectorial and regional development;
- Having a key domain of strategic coverage in regional development of each specific territory;
- Guaranteeing a coherent articulation between scales;
- Giving clear contributions to proceed with City Policies at regional and sub-regional scales;
- Being supported in evaluation of planning experiences and 2014-2020 fund execution;
- Resulting from a strong participation of relevant public, private and associative actors;
- Ways of involvement and sensibilization of regional and sub-regional communities being ensured through public consultation processes.

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- » Strategic planning processes of NUTS III scale shall consider the implications resulting from decentralisation process of competences and the role of local authorities in territorial cohesion and convergence.
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R.02 Articulate processes of territorial strategic planning and definition of programming instruments to implement in 2021-2027 period

» In preparing Thematic Regional Operational Programmes in force in 2021-2027 period, articulation mechanisms with territorial strategic planning processes shall be promoted, in particular in sub-regional scale (inter-municipal, community basis local development or inland resources valuation), in particular:

- Regular encounters between entities involved in programming process, and entities promoting territorial strategic plans (CIM/AM);
 - Listening entities promoting integrated instruments on territorial basis implemented in 2014-2020 (Urban Authorities, GAL, Leading entities of PROVERE/PADRE);
 - Public disclosure (online) of preliminary versions of programming instruments in key moments;
 - Public disclosure (online) of opinions filed by EC services to programming documents delivered;
 - Programming *ex-ante* evaluation instruments in which coherence between these instruments and strategic planning documents or inscription of this analysis dimension as one of critical factors of Strategic Environmental Evaluation of each Programme is analysed.
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R.03 Facilitate the establishment of synergies and complementarities between operations framed in different Tender Notices

» In implementing Portugal 2020 and during Operational Programme execution in 2021-2027 period, mechanisms that ease the construction and development of operations supported by different FEEI, or by different Investment Priorities shall be initiated, in particular:

- Joint Tender Notices Launch;
 - Continuous Tender Notices Launch;
 - Tender Notices Launch by policy instrument;
 - Tender Notices Launch by deliberation of entities leading integrated policy instruments on territorial basis;
 - Extension of deadlines for application submission tailored to beneficiary needs;
 - Reinforcement of information action and beneficiary training aiming at designing and implementing integrated operations;
 - Disclosure of good practices in integrated conception, and implementation of co-financed operations.
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R.04 Re-evaluate the architecture of instruments and policy mix of these aiming at accelerate economic convergence of regions in light of European average

» In preparing programming 2021-2027 period the following must be observed:

- Evaluation of current architecture of Territorial Approach instruments, assessing the advantage of each instruments typology for proceeding with cohesion and convergence objectives;
 - Evaluation of policy mix involved in Territorial Approach, aiming at reinforcing its efficiency in terms of additional gains for Portuguese regions economic convergence considering European average;
 - Weighting utility and value-added, in terms of transaction costs, on instruments utilization defined by community rules, when compared to identical end instruments with different regulatory framework;
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- Weighting utility to develop integrated instruments of territorial basis with transregional incidence (inter NUTS II).
 - » In defining Territorial Approach to follow, besides utilization of pertinent current instruments (PDCT, PEDU, DLBC and PROVERE/PADRE), other solutions, such as the following, whether in isolate way or jointly, must be considered:
 - Reinforcement of economic dimension and regional chains valuation as from integrated policies instruments on territorial basis in inter-municipal scope (in sub-regions with minimal critical mass values shall simultaneously combine with the mix of competitive policies, and social cohesion in a single instrument, in further sub-regions to obtain gains of scale a strategic approach englobing several sub-regional, operationalized at each instrument of inter-municipal level of territorial basis must be defined);
 - Development of a new set of integrated policies instruments of territorial basis functionally defined as from territorial assets, innovation value chains, focused to intervene in competitiveness and economic convergence domains, with possibility of covering more than one sub-region (one to more regions) or considering the entirety of scale.
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R.05 Developing instruments of territorial (IGT) and sectorial planning that facilitate the taking of options, and that promote the integration of policies from approaches of territorial basis

- » Conditions for territorial, and sectorial planning that ease the integration of public policies through Territorial Approach of Cohesion Policy must be created to implement in 2021-2027 period in Portugal, in particular through the following actions:
- Drawing up Regional Programmes for Territorial Plan in North, and Centre Territory and renew/review Regional Programmes of Territorial Planning for Alentejo, Oeste and Vale do Tejo, Lisbon Metropolitan Area and Algarve;
 - Defining sectorial strategies to 2030 for relevant public policies for territorial approaches (energy efficiency, climate adaptation, health, culture, education, employment, social inclusion, tourism, nature preservation, agriculture and rural development, protection,).
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R.06 Developing exercises of regional planning and inter-municipal programming from rendering of social services of general interest

- » Coordination Commissions, and Regional Development shall develop regional scale strategic studies to ensure equal opportunities in accessing Social Services of General Interest acting as a reference framework for cases of inter-municipal programming and that have as objectives:
- Provision of modernization and rationalization tailored to community needs, and to trend evolution of social and demographic indicators;
 - Establishing structured articulation logics between national/regional networks, and local networks;
 - Promoting the appearing of provision of innovative solutions, tailored to new territorial, institutional, and technological realities;
 - Promoting the inter-sectorial cooperation, and coherence between sectorial and territorial policies.
- » Municipalities and Inter-municipal Communities/Metropolitan Areas, in particular located in low density territories, and in population loss areas shall be encouraged to develop inter-municipal programming processes of rendering Social Services of General Interests (education, health, employment and social support services), in articulation with planning sub-regional mobility systems, ensuring compatibility between access to quality services, and the obtaining of a rational and efficient framework of investments.
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R.07 Structuring the approach to urban development in 2021-2027 period as from promotion of polycentrism to multiple scales (national, regional, sub-regional, and local) and reinforcement of the role of urban networking to territorial cohesion, and economic convergence

- » In defining and structuring the approach to urban development in 2021-2027 period, and aiming at promoting polycentrism and increasing the impact in terms of territorial cohesion, and economic convergence, one shall:
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- Recognize that urban development must be operationalized as from 3 actuation scales, corresponding each scale to specific programming instruments:
 - National entity, increasing cities role as regional development motors, competitiveness and internationalization;
 - Regional (Lisboa and Algarve) and sub-regional level, enhancing opportunities in increasing the efficiency in rendering General Interest Services as from polycentric urban development models in articulation with provision programming with mobility planning;
 - Intra-urban level, promoting urban, social, economic and environmental regeneration of priority spaces, in articulation with sectorial territorialized instruments (CLDS, Choices and TEIP) or with instruments led by communities (DLBC).
 - Ensure that several instruments that promote urban development (national, sub-regional and local) are bounded by a city development strategy that ensure coherence, and articulation between instruments and operations, enhancing synergies and complementarities.
 - Positively distinguish Regional Urban Centers defined in PNPOT, main Urban agglomerations defined in PROT-Algarve and Metropolitan Areas.
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R.08 Increasing the impact of instruments of territorial base approach oriented to rural development and to revitalization of low density territories reinforcing its programmatic efficiency and governance

» Aiming at increasing the impact of instruments aiming at rural development, and low-density territories revitalization, in definition, and implementation of territorial approach in 2021-2027 period, the following measures shall be adopted:

- Reducing the number of instruments, specially of local development with community basis, with eventual incidence of territory enlargement;
 - Defining a clear national strategic framework for development approach of these territories englobing, and justifying the mobilization of each type of instrument/ measure;
 - Elaborate regional orientation implementation documents of each instrument that inform territorial actors about: (i) strategic focuses of each instrument; (ii) specific objectives; (iii) target-groups; (iv) resources to mobilise; (v) results to achieve; (vi) complementarity relationships to be established among themselves;
 - Creating conditions so that entities closer to beneficiaries, and more directed to construction, and leadership of territorial initiatives dispose of competences, and resources to promote the appearing of solid valuation initiatives of territorial assets, and to the establishment of integrated interventions.
- » The coherence verification between several instruments shall be object of assessment in *ex-ante* evaluation of programming instruments or in the scope of Strategic Environmental Evaluation of each Programme.
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R.09 Reviewing subjacent criteria to definition of the map of territories benefiting from the measures of positive differentiation to low density territories and purposes of its utilization

» Reviewing implied criteria to define territory map benefiting of positive differentiation measures to low density territories, adopting in analysis multicriteria, criteria, and indicators that unequivocally evidence the type of problems/disadvantages characterizing these territories, in particular:

- Demography (population density, natality, migration balance);
 - Human resources (qualification levels);
 - Economy (income, inactivity, unemployment, corporate density and gross value added);
 - Access to Social Services of General Interest (availability, and accessibility to social services).
- » Restricting the use of positive differentiation measures to the facilitation/private investment attraction, estimating that positive differentiation of low-density territories be achieved through integrated instruments on territorial basis, ensuring the coherence of these investments with strategies, and territorial plans.
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- » Excluding from the map territories benefiting from positive differentiation to low density territories, the parishes recognized by INE as "prominently urban areas", as per Typology of Urban Areas for statistical purposes, object of revision in 2009 (approved in National Official Journal, 2nd series, no. 188, of 28 September 2009), estimating in parallel differentiation measures for urban centers framed in the scope of City Policy and oriented for enhancing competitiveness.
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R.10 Promoting capacity of inter-municipal entities, reinforcing its competence in revitalizing the process of territorial strategic planning, and in conduction of instruments of integrated policies of territorial basis

- » In preparation programming 2021-2027 period and in the course of its implementation a technical capacitation programme of inter-municipal entities shall be regionally developed, centered in key-components for revitalization, conduction and evaluation of processes for territorial strategic planning, and conception, and implementation of integrated policy instruments on territorial basis.
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R.11 Granting to CCDR an active role in accompanying the construction of instruments, as co-promoters, facilitating a vertical articulation, the multilevel government and the inter-sectoriality of interventions

- » An active role shall be granted to Coordination and Regional Development Commissions in conception and implementation of territorial approach in Cohesion Policy, in 2021-2027 period, based on:
- Reinforcement of competences in coordination of decentralized services in Central Administrative;
 - Close accompanying of processes of strategic territorial planning, and definition of integrated policy instruments on territorial basis, as partner and responsible co-promotor by the facilitation of dialogue with other entities of Central Administration, and to the articulation safeguard between sub-regional approaches, and regional, and national approaches.
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R.12 Adopting mechanisms of collaborative accompanying in the scope of process of construction strategies of territorial development, and in the definition, and implementation of integrated political instruments of territorial basis

- » In preparation process of territorial development strategies, and definition, and implementation of integrated policy instruments on territorial basis, in 2021-2027 period, current accompanying mechanisms supported in control principles (evaluation, selection, ...) shall be replaced by mechanisms of collaborative government, and shared responsibility.
- » A bigger participation of Central Administration entities in these processes shall also be ensured, aiming at enhancing the creation of synergies between territorial, and sectorial instruments.
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R.13 Creating mechanisms of award/penalty that ensure the accomplishment of responsibilities of monitoring, and shared evaluation of results of integrated policy instruments of territorial basis, and its implementation.

- » In preparation of programming 2021-2027 period, in the scope of Tender Notices and contracts to celebrate with entities promoting integrated policy instruments on territorial basis, awards/penalties that encourage monitoring practices and shared evaluation of results shall be established to ensure the fulfilment of subjacent partnership principle.
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