



The logo for tunES, featuring a stylized teal wave icon followed by the text 'tunES' in a bold, teal, sans-serif font.

Methodology Guidance

Based on 'Better Regulation' Toolbox 2023

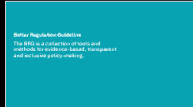


Co-funded by the
European Union



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Content



Better Regulation Guideline



Problem and Objective Trees



Stakeholder Consultation



Policy Options



Impact Assessment – TO COME

Better Regulation Guideline

The BRG is a collection of tools and methods for evidence-based, transparent and inclusive policy-making.

Better Regulation Guideline (BRG) Overview

The BRG is a very advanced approach to policy making

BRG - A EUROPEAN FRAMEWORK TO POLICY MAKING

- ▶ A working document for Commission staff (revised on 3 November 2021)
- ▶ A companion resource - the Better Regulation Toolbox (20 July 2023)



BRG OVERVIEW

Objectives of Better Regulation:

Ensure EU policymaking is based on evidence

Involve citizens, businesses and stakeholders in the decision-making process

Make EU laws simpler and better, avoiding unnecessary burdens

69 tools, >600 pages

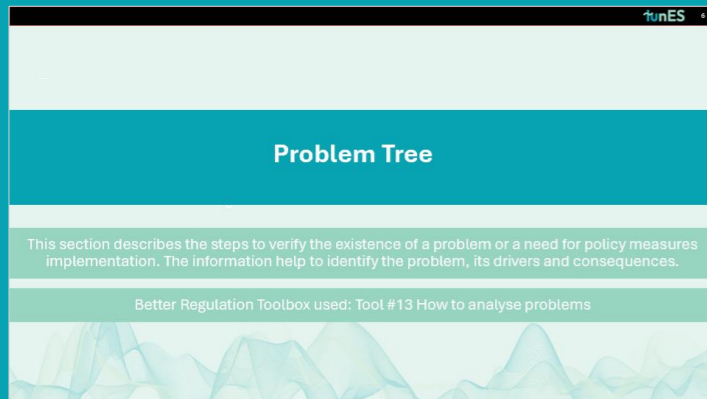
Evidence-based

Transparent

Policy-making

Inclusive

Problem & Objective Trees

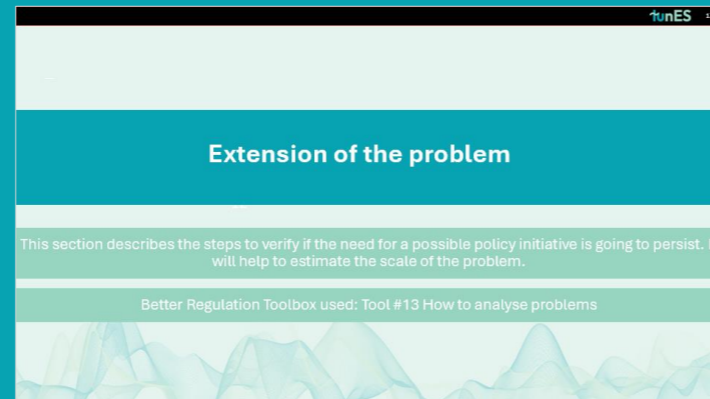


1unES 11

Problem Tree

This section describes the steps to verify the existence of a problem or a need for policy measures implementation. The information help to identify the problem, its drivers and consequences.

Better Regulation Toolbox used: Tool #13 How to analyse problems

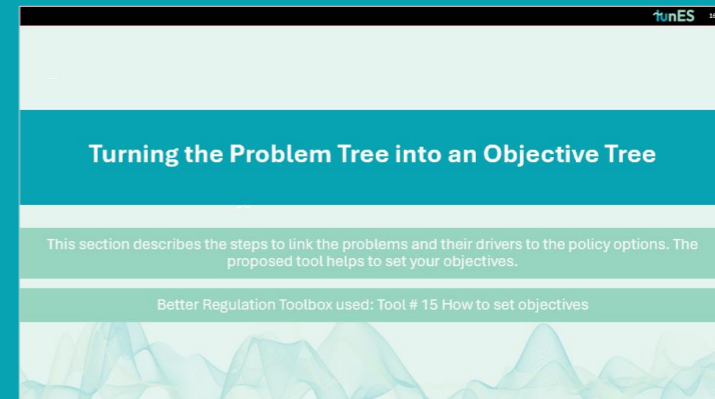


1unES 12

Extension of the problem

This section describes the steps to verify if the need for a possible policy initiative is going to persist. It will help to estimate the scale of the problem.

Better Regulation Toolbox used: Tool #13 How to analyse problems



1unES 14

Turning the Problem Tree into an Objective Tree

This section describes the steps to link the problems and their drivers to the policy options. The proposed tool helps to set your objectives.

Better Regulation Toolbox used: Tool # 15 How to set objectives

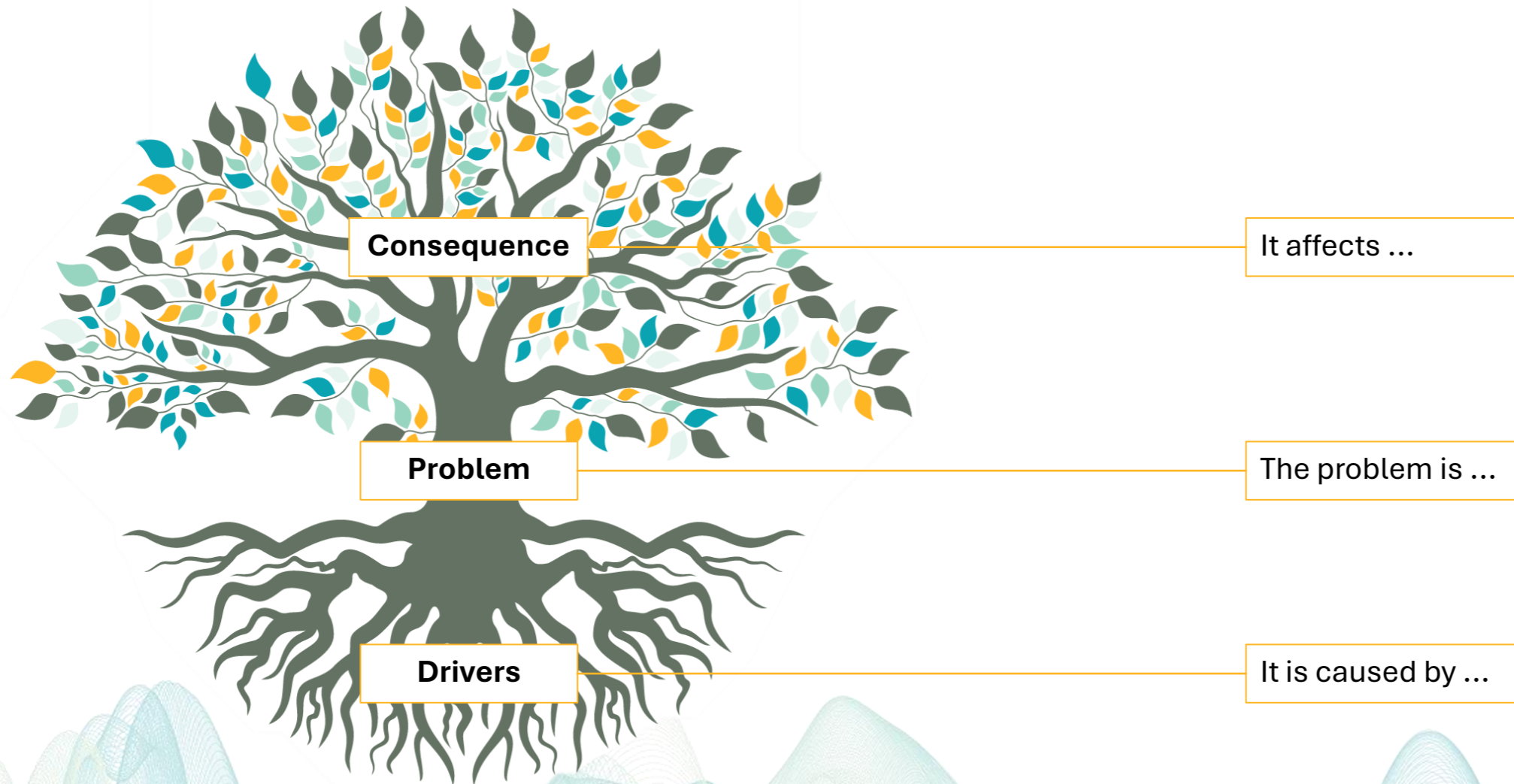
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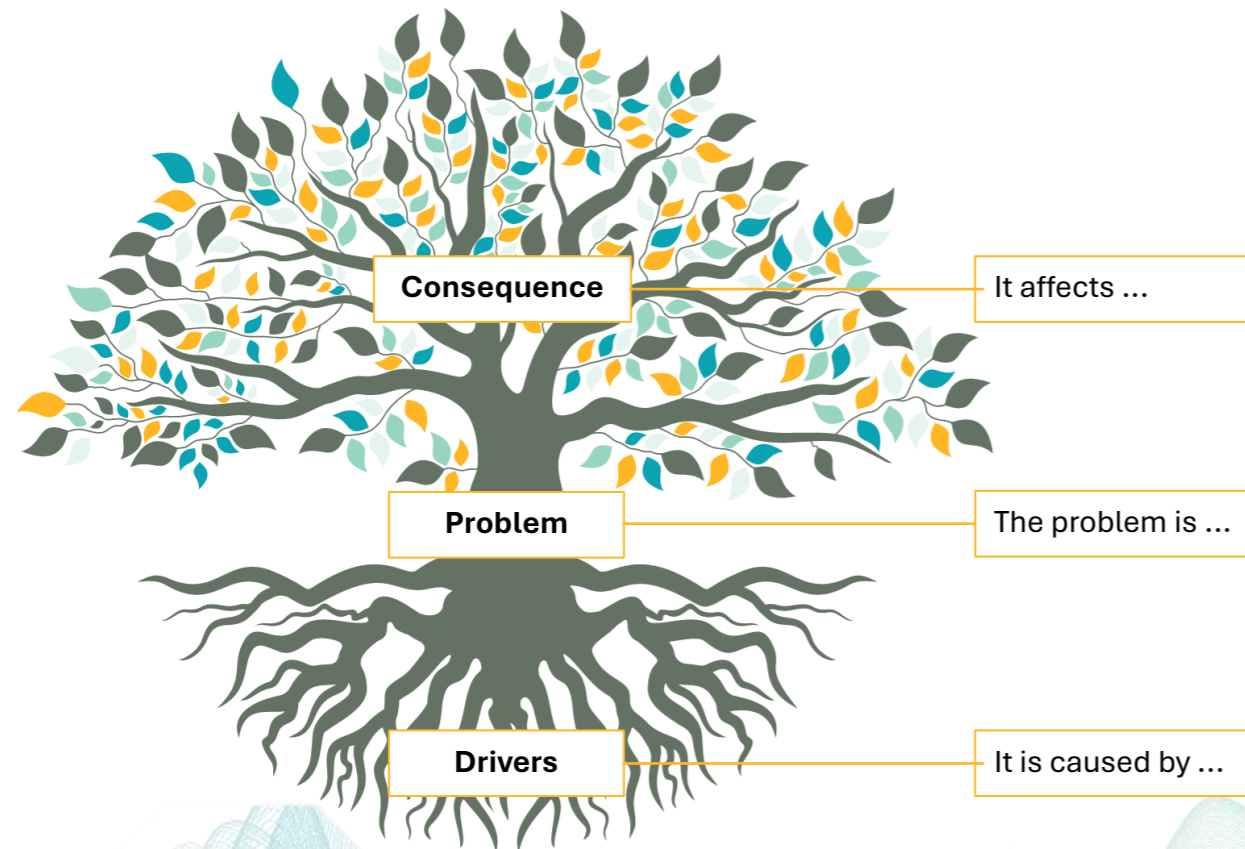
Problem Tree – Main components

The Problem Tree is the first step in a series of analytic approaches to resolve a policy issue



Problem Tree – Motivation

The core result of a Problem Tree is focusing on the most important issue and understand the causality



PROBLEM TREE SERVES TO

Identify the Problem

Analyse its Drivers

Identify who is affected and involved

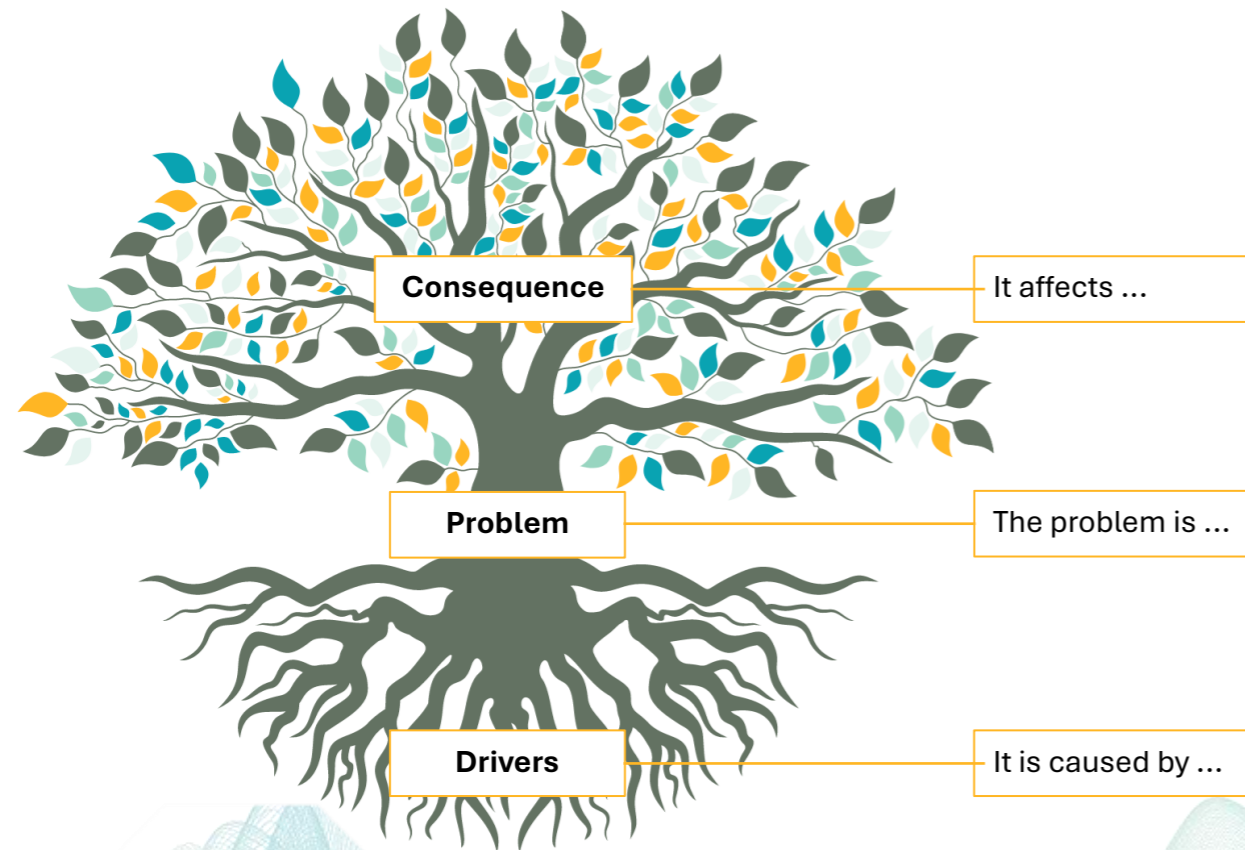
LATER TO DEFINE THE BASELINE AND PREPARE IMPACT ASSESSMENT

Estimate the scale of the Problem

Assess the likelihood that the Problem will persist

Problem Tree – How to? – General

The Problem Tree is an exercise in finding the core issue and thereby limiting the scope of later analysis



► Strategies to consider:

- Depict graphically the relations between drivers, problems and their consequences.
- Avoid complexity (do not record to granular detail or fringe scenarios).
- Brainstorm: List all problems related to the main theme.
- Reduce: Are multiple items actually stating the same?
- Focus/Verify: Which items have the largest impact / relevance at the earliest stage?

► Define the problem: an **existing negative situation**.

- **Status quo:** Describe the current situation. What findings did the relevant evaluations and fitness checks show?
- **Scale:** What is the issue that may require action? What is the size or scale of the problem? Is there a cross-border dimension?
- **Actors:** What and whose behaviour would need to change and why?
- **Related issues:** What is linked to the pursuit of general objectives? International issues, lack of coherence with EU development objectives, etc.
- **Consequences:** What are the economic, social, environmental and other consequences?
- **Persistence:** How likely is the problem to persist? How will the problem evolve generally in the absence of EU action?

Problem Tree – How to? – Drivers

Policy measures will aim at removing Drivers (and thereby the Problem and the Consequences)

SIMPLY REMOVING THE PROBLEM DOES NOT SOLVE IT

**If the Drivers remain unchanged,
they Problem will reappear**



HOW TO FIND DRIVERS

Rule of 5 Whys: ask 'why' 5 times to get to the root driver(s) of a Problem

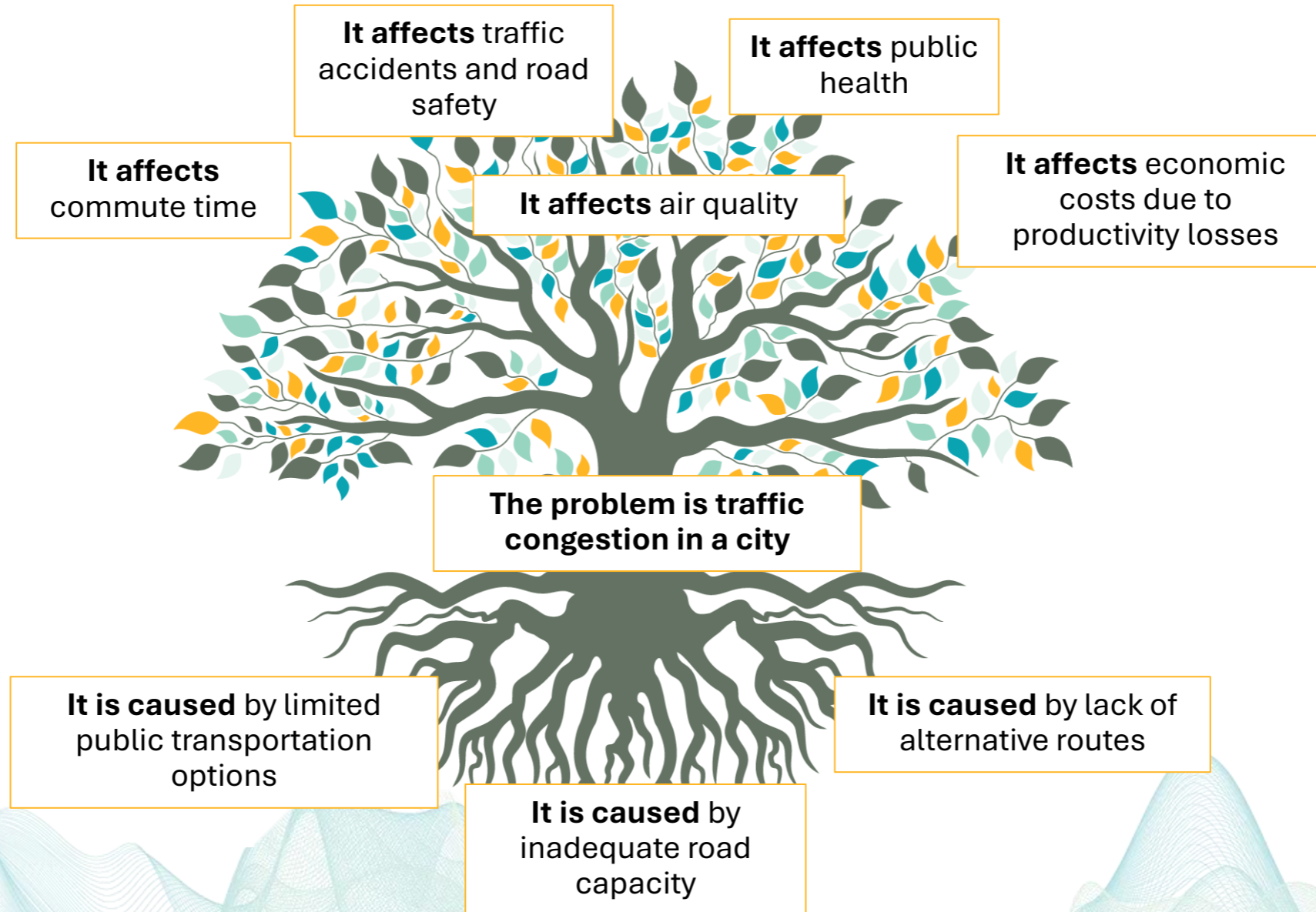
- ▶ Lead / example questions you could ask:
 - What are the main drivers?
 - What is the source of drivers? (people's behaviour or some other source)
 - What are the market failures, regulatory failures, or behavioural biases, which are responsible for the observed problem?
 - What evidence is there available?
 - What are the drivers outside of your usual action radius?
- ▶ Example:

Problem	Traffic congestion in a city
Why?	Too many vehicles on the road
Why?	People prefer private cars
Why?	Public transportation system is unreliable
Why?	Insufficient investment in public transport
Why?	Funding prioritisation

Problem Tree – Example – First steps

Describe the negative situation as of today

ASSESS THE SITUATION TODAY



Extension of the problem

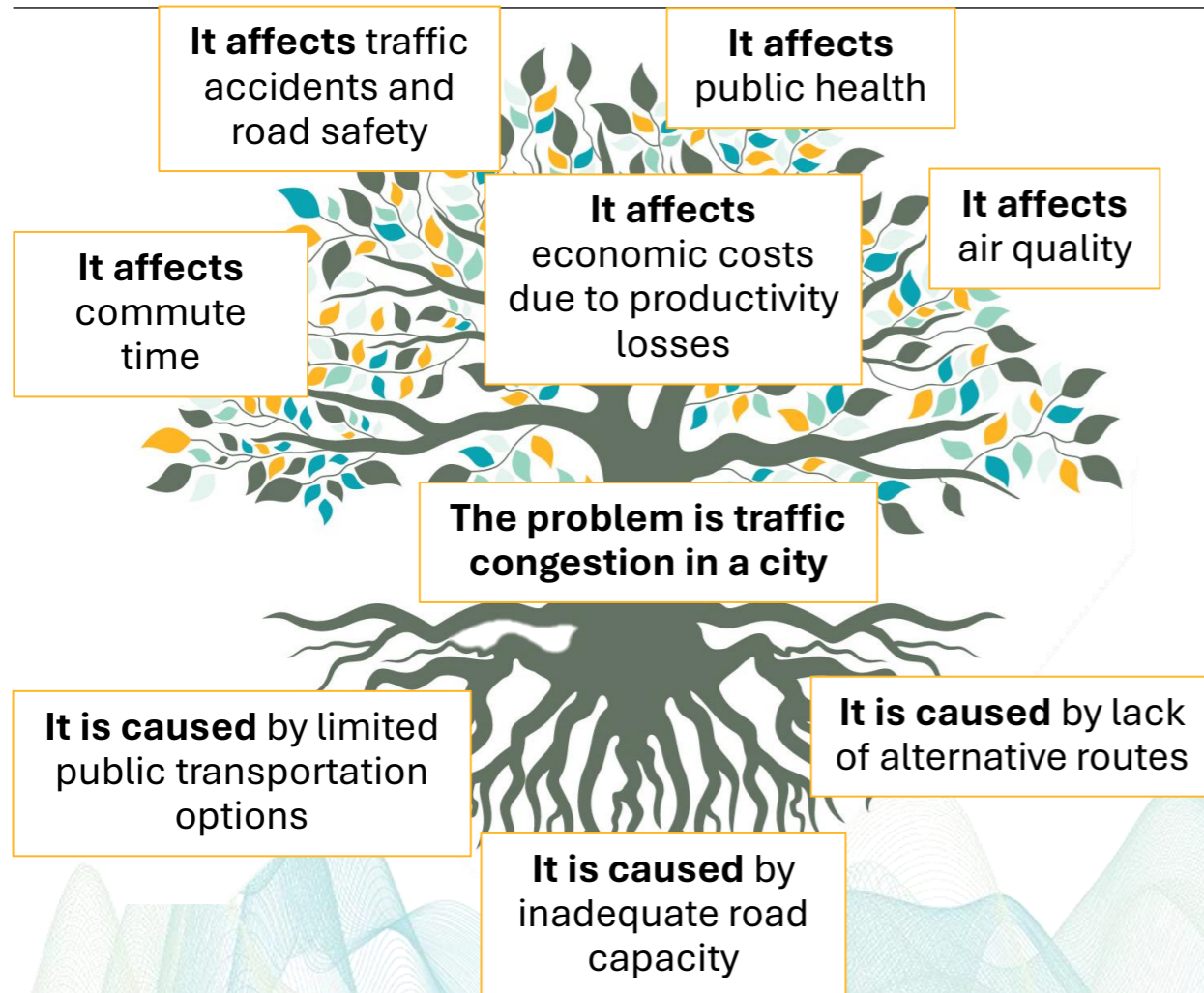
This section describes the steps to verify if the need for a possible policy initiative is going to persist. It will help to estimate the scale of the problem.

Better Regulation Toolbox used: Tool #13 How to analyse problems

Problem Tree – Example

The Problem Tree enables first calculations of the baseline

THE PROBLEM TODAY



THE PROBLEM IN THE FUTURE TREE

- ▶ The existence of a problem does not justify action
 - Some problems may disappear / decline in size (i.e. do not require action)
 - Some problems “feel” large but have not been quantified
- ▶ The exercise of modelling the problem into the future also sets the benchmark (i.e. baseline) against which the policy options (actions) are to be assessed against

Estimate the scale of the Problem

Thousands of deaths from air pollution in 2020.

Assess the likelihood that the Problem will persist

In 20 years, bicycles and public transport will replace cars

Persistence

Assess the likelihood that the problem will persist

Complement with long-term scenarios – plausible consistent pictures of the future

What would happen without any action? (i.e. baseline)

Consider more complete implementation of existing policy

Any way current policy could be better implemented / enforced?

Consider adopted (but not yet implemented) policy changes

Would maybe other upcoming policy solve the problem (i.e. not additional policy necessary)?

Scale of the Problem

Show the relevance of the problem

Collect evidence to show the importance and scale of the problem

How will the consequences add up over time?

Provide the context: describe size of market, structure, affected businesses

Describe who is adversely affected by the consequences and which «damage» (e.g. economic, social) this might imply.



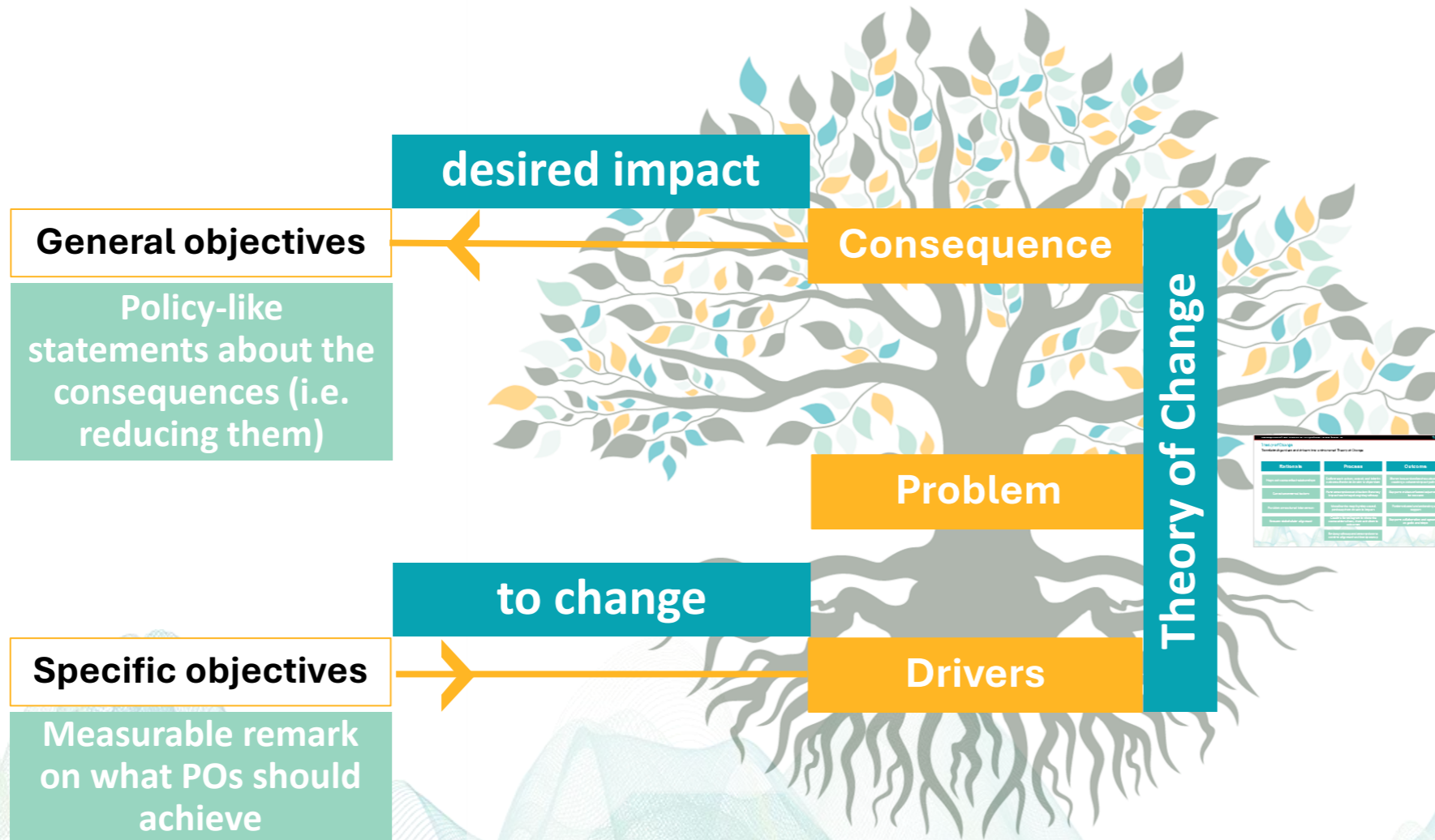
Turning the Problem Tree into an Objective Tree

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Better Regulation Toolbox used: Tool # 15 How to set objectives

Objective Tree | Theory of Change

We then search for the desirable features of policy options to change baseline and achieve (positive) impact



Theory of Change

Translate objectives and drivers into a structured Theory of Change

Rationale

Maps out cause-effect relationships

Considers external factors

Provides a structured intervention

Ensures stakeholder alignment

Process

Outline each action, output, and interim outcome that links drivers to objectives

Note assumptions and factors that may impact each step along the pathway

Visualise the step-by-step causal pathway from drivers to impact

Create a flow diagram to show the cause-effect chain, from activities to outcomes

Review pathway and assumptions to confirm alignment and transparency

Outcome

Shows how actions lead to outcomes, creating a coherent impact pathway

Supports evidence-based adjustments for success

Fosters shared understanding and support

Supports collaboration and agreement on goals and steps

S.M.A.R.T. objectives

Use the SMART criteria to set your specific objectives

Specific

Precise and concrete, no varying interpretations

Measurable

A defined desire future state to allow verification

Achievable

Realistic and properly justified

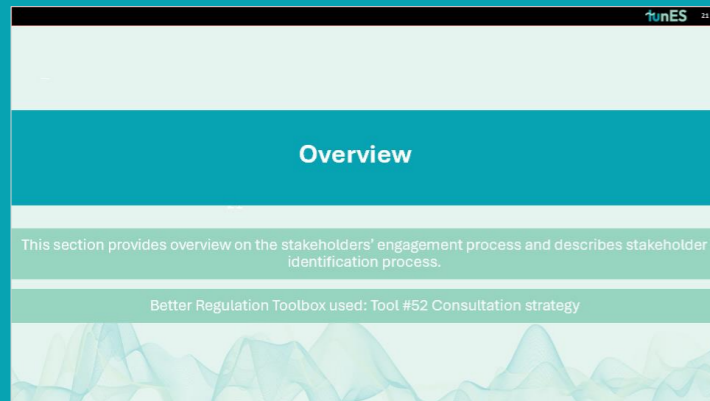
Relevant

Directly linked to the problem and its drivers

Time-Bound

Related to a fixed date

National Stakeholder Engagement



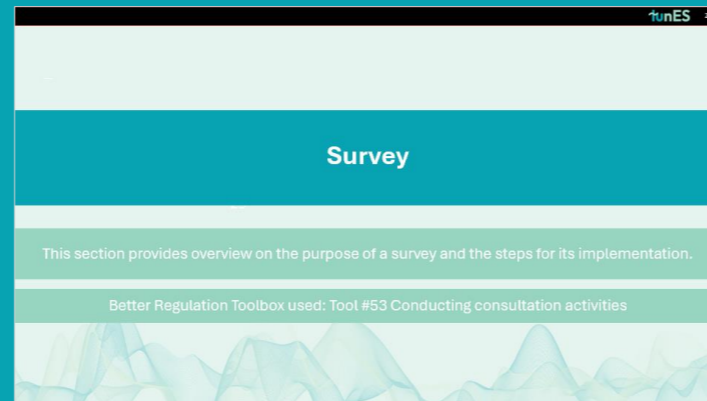
tunes 21

Overview

This section provides overview on the stakeholders' engagement process and describes stakeholder identification process.

Better Regulation Toolbox used: Tool #52 Consultation strategy

The screenshot shows a mobile interface for the 'Overview' page. It features a dark teal header with the 'tunes' logo and the number '21'. Below the header is a light teal bar with the title 'Overview'. The main content area is white and contains a paragraph describing the stakeholder engagement process. At the bottom, there is a light green bar with the text 'Better Regulation Toolbox used: Tool #52 Consultation strategy' and a decorative wavy pattern at the very bottom.



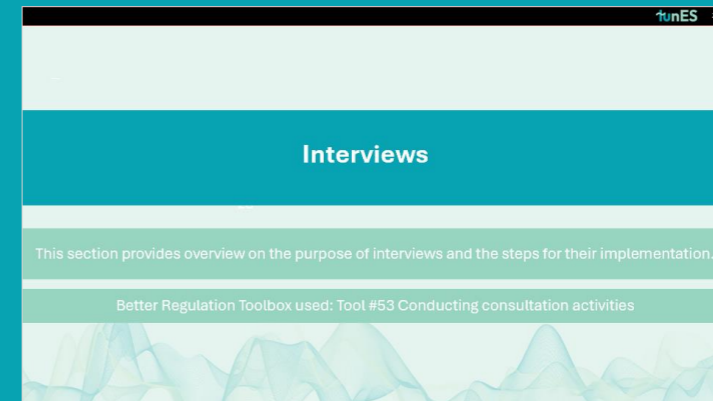
tunes 22

Survey

This section provides overview on the purpose of a survey and the steps for its implementation.

Better Regulation Toolbox used: Tool #53 Conducting consultation activities

The screenshot shows a mobile interface for the 'Survey' page. It features a dark teal header with the 'tunes' logo and the number '22'. Below the header is a light teal bar with the title 'Survey'. The main content area is white and contains a paragraph describing the purpose and steps of a survey. At the bottom, there is a light green bar with the text 'Better Regulation Toolbox used: Tool #53 Conducting consultation activities' and a decorative wavy pattern at the very bottom.



tunes 23

Interviews

This section provides overview on the purpose of interviews and the steps for their implementation.

Better Regulation Toolbox used: Tool #53 Conducting consultation activities

The screenshot shows a mobile interface for the 'Interviews' page. It features a dark teal header with the 'tunes' logo and the number '23'. Below the header is a light teal bar with the title 'Interviews'. The main content area is white and contains a paragraph describing the purpose and steps of interviews. At the bottom, there is a light green bar with the text 'Better Regulation Toolbox used: Tool #53 Conducting consultation activities' and a decorative wavy pattern at the very bottom.

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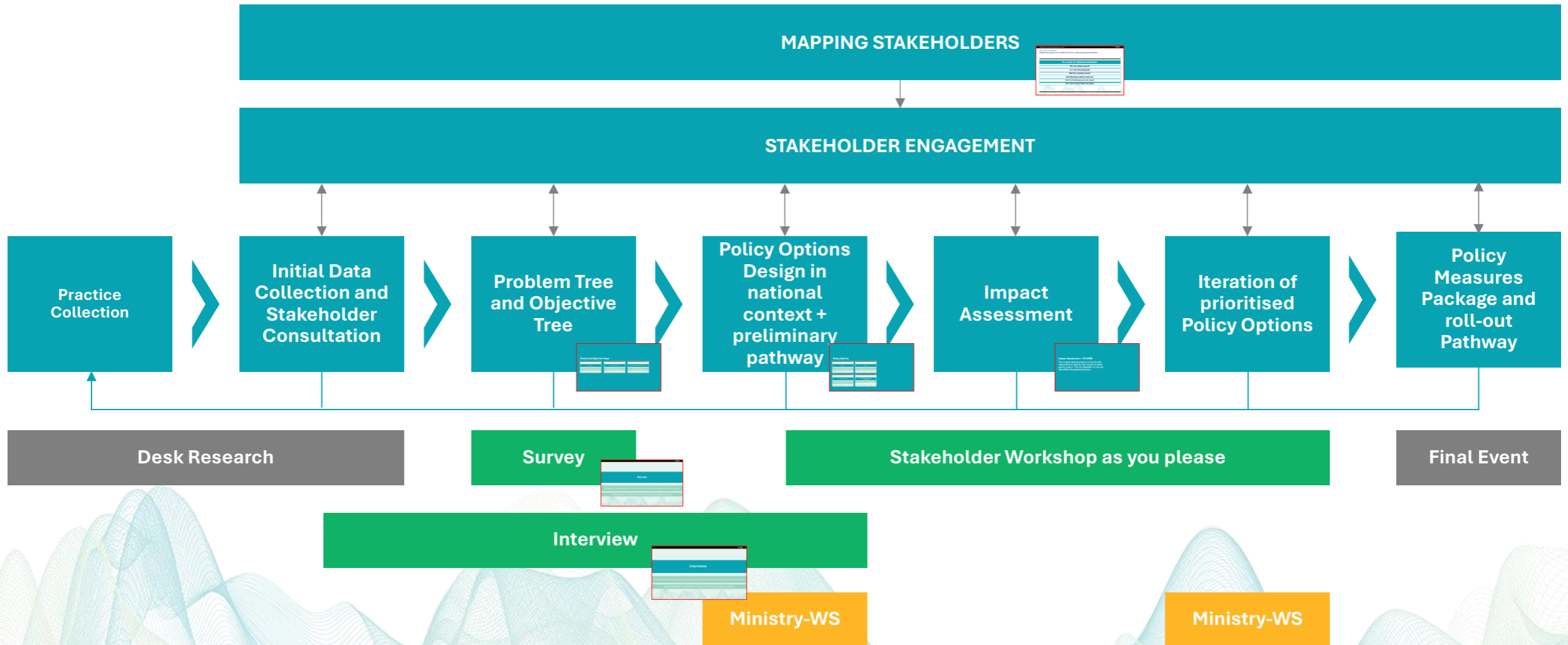
Better Regulation Toolbox used: Tool #52 Consultation strategy



Stakeholder Engagement Process Overview

Collaborative shaping of policy from data collection to implementation

TUNES WORKPLAN



Mapping stakeholders

Answer these questions from the BRG Toolbox #52 to identify preliminary stakeholders

The 'six tests for stakeholder identification'

Test 1. Who is directly impacted?

Test 2. Who is indirectly impacted?

Test 3. Who is potentially impacted?

Test 4. Whose help is needed to make it work?

Test 5. Who thinks they know about the subject?

Test 6. Who will show an interest in the subject?

Stakeholder Engagement

Example of stakeholders types to be targeted

TYPES OF NATIONAL STAKEHOLDER

Responsible local authorities and National Authorities

Associations of industry or professionals and communities of experts

Civil society organisations

Academic organisations

Companies and business representatives

Financial organisations interested in using EPCs to signal funding opportunities for energy renovations

Survey

This section provides overview on the purpose of a survey and the steps for its implementation.

Better Regulation Toolbox used: Tool #53 Conducting consultation activities

Surveys – Purpose as in BRG

Surveys drive the refinement of policy challenges and goals by integrating diverse stakeholder insights

Collecting critical data and insights from a wide range of stakeholders

Gathering feedback on the current state of EPC and SRI instruments

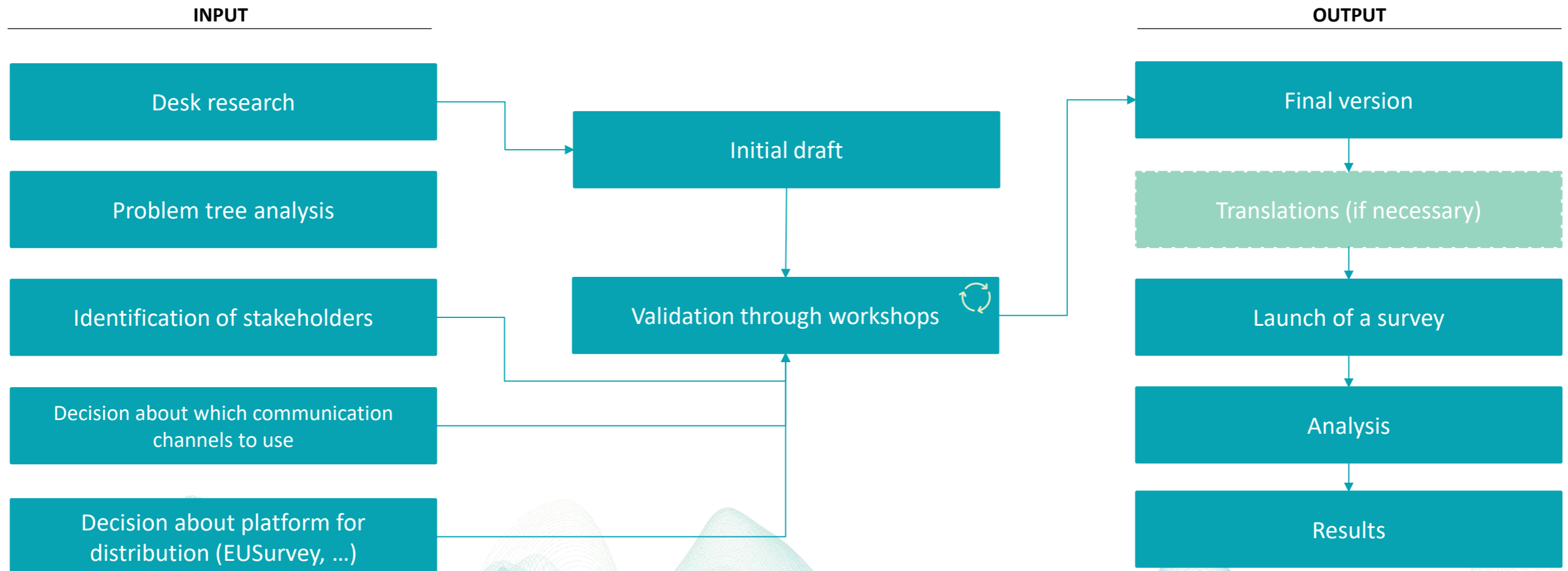
Identifying challenges and opportunities for improvement

Validation of the Problem Tree and later the Objective Tree

Evidence Collection

Survey implementation

Methodology Guidance | National Stakeholder Engagement



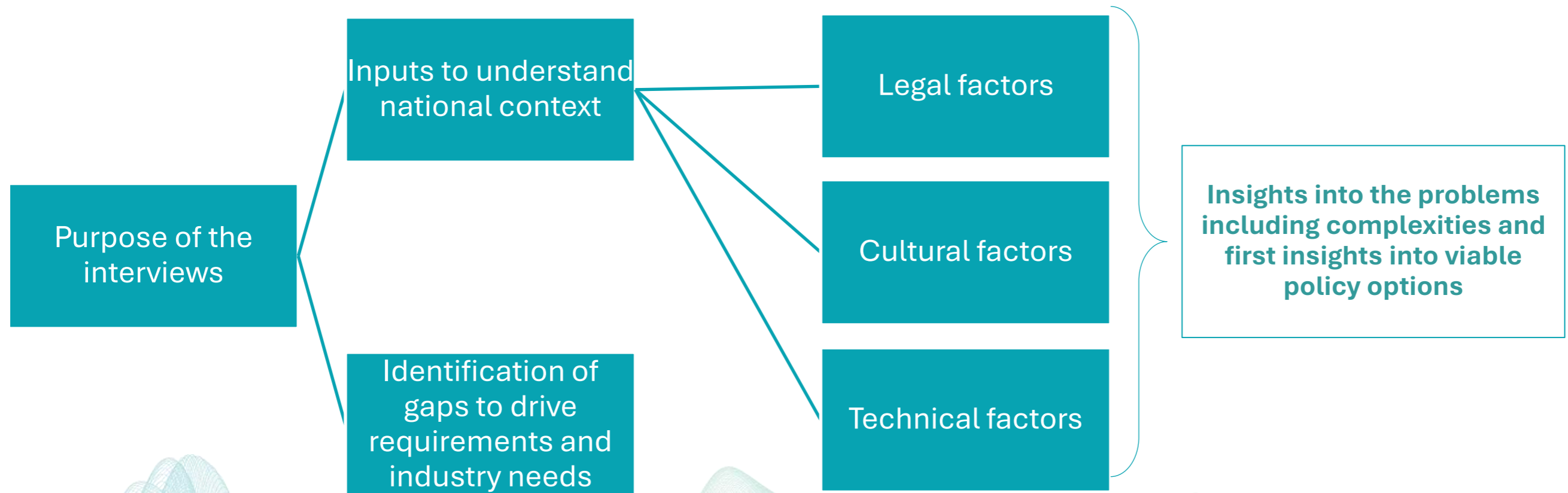
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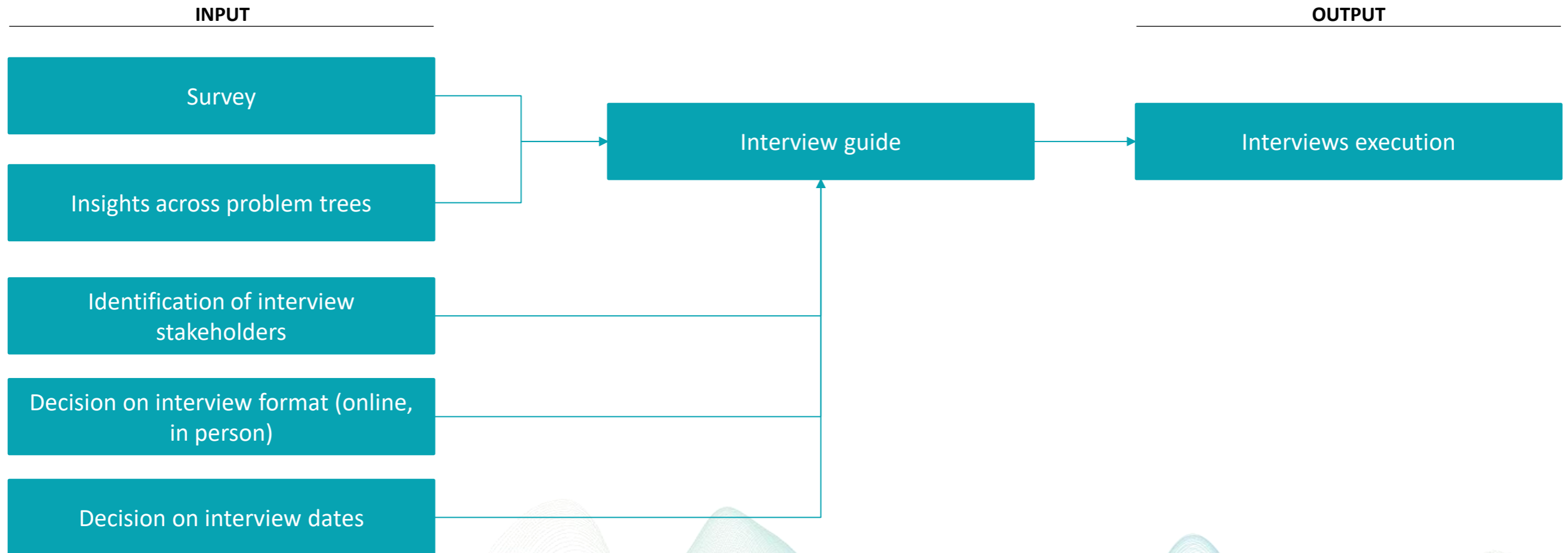
Interviews - purpose

Interviews explain the national context and uncover policy gaps, informing robust policy development



Interviews - implementation

Interviews are implemented in the following steps




Policy Options

1unES 32

Overview

This section provides overview on policy development process and policy options.

Better Regulation Toolbox used: Tool #16 How to Identify Policy Options




1unES 33

Baseline

This section describes the steps to create a policy baseline.

Better Regulation Toolbox used: Tool #60 Baselines




1unES 37

Compiling policy options

This section describes how to assemble a wide variety of policy options in addition to the baseline.


Better Regulation Toolbox used: Tool #16 How to Identify Policy Options



1unES 44

Using the Excel Tool to identify Policy Options

This section describes the Excel Tool as an instrument for developing policy options.



Overview

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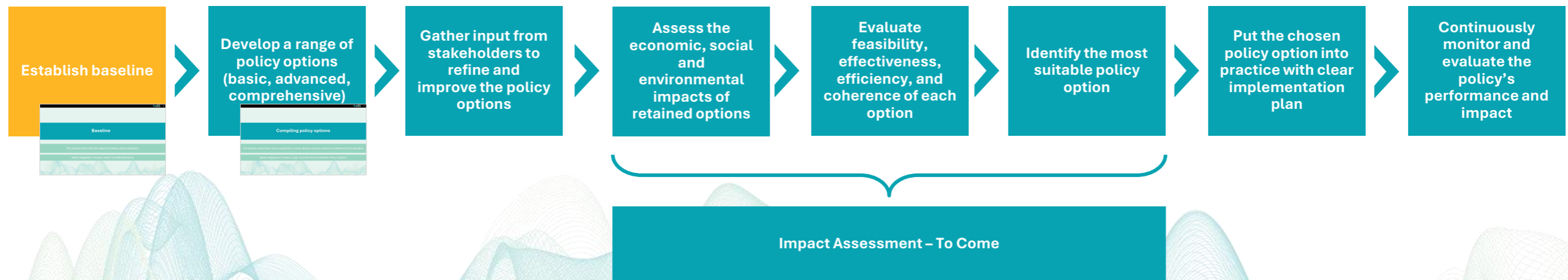
Better Regulation Toolbox used: Tool #16 How to Identify Policy Options

Understanding Policy Options in BRG

Policy options explore diverse interventions for effective policy-making

Policy options are combinations or packages of policy measures designed to address identified problems and achieve policy objectives

Policy options explore different possible interventions to be explored through the impact assessment



Identifying Realistic Set of Options

Apply the following four steps to identify realistic set of options

Identifying Realistic Set of Options

Construct a baseline (no-policy-change) scenario from which the impacts of the policy options will be assessed

Start by compiling a wide range of alternative policy options

Identify the most viable options; explain the discarded policy options

Describe in reasonable detail the key aspects of the retained policy options to allow an in-depth analysis of the associated impacts



Baseline

This section describes the steps to create a policy baseline.

Better Regulation Toolbox used: Tool #60 Baselines

Constructing Baseline

Baseline is essential for understanding the current state of affairs and predicting future developments in the absence of new interventions

Steps to Construct a Baseline

Define the policy area: identify policy area, problems, objectives, and stakeholders

Describe current situation: collect quantitative (statistics, reports) and qualitative (feedback, case studies) data

Review existing policies and their impacts; predict their evolution

Use historical data to forecast future developments under status quo

Define key variables like economic indicators, health outcomes, environmental, and social metrics

Validate baseline scenario with stakeholder input on current and future states

Document baseline scenario in detail

Compiling policy options

This section describes how to assemble a wide variety of policy options in addition to the baseline.

Better Regulation Toolbox used: Tool #16 How to Identify Policy Options

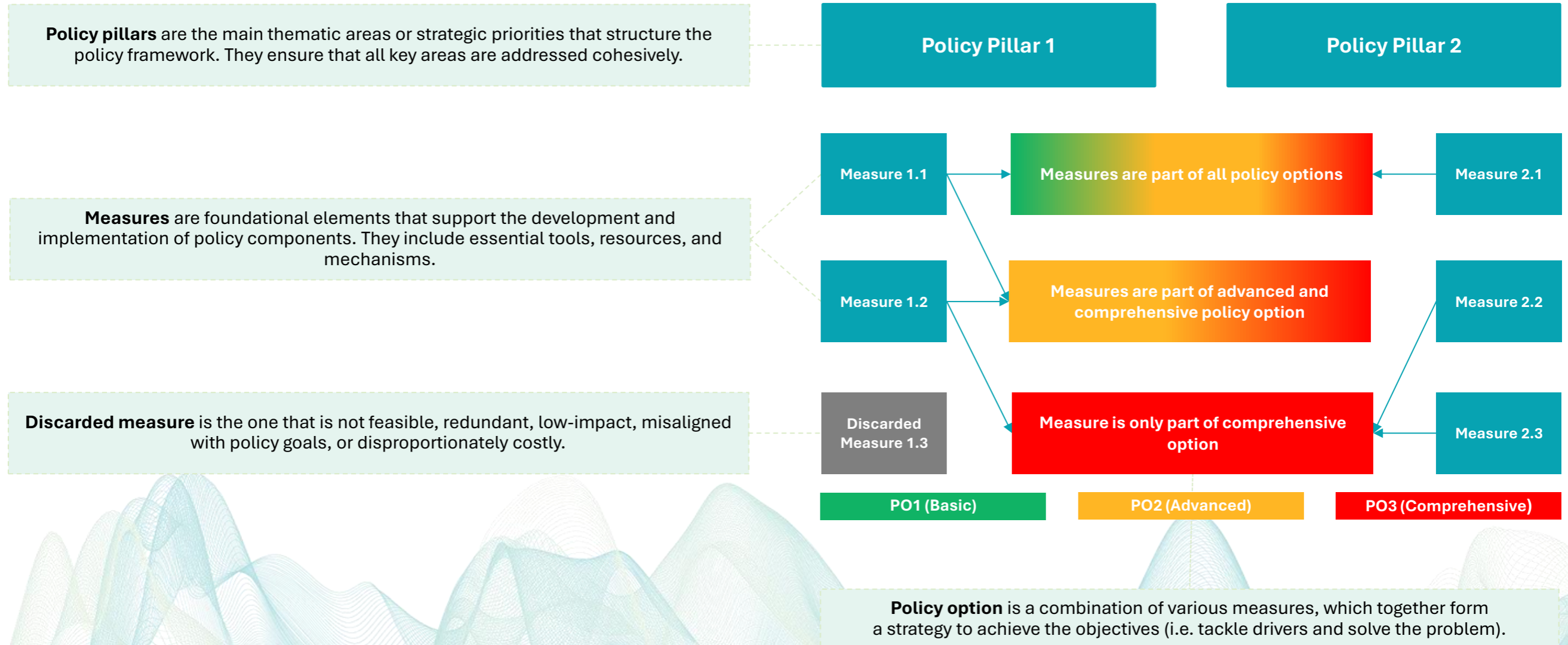
Assembling Policy Options

From the remaining measures several policy options with varying ambitions are created

Baseline	PO1 (Basic)	PO2 (Advanced)	PO3 (Comprehensive)
No interventions	Basic Measures -	Advanced Measures + Some Basic Measures	Comprehensive Measures + Advanced/Basic Measures
	Simplest form of intervention with minimal changes	More significant changes involving regulatory and non- regulatory measures	Extensive interventions with significant regulatory overhauls
	Less intrusive, low cost, limited resources	More comprehensive, higher costs, robust intervention	Highly ambitious, resource- intensive, coordinated actions
	Examples: EPC Validity 10 years EPC for sales only	Examples: EPC Validity 5 years (i.e. <10) EPC for sales + rent	Examples: Dynamic EPC EPC Validity 5 years (same) EPC for sales + rent (same)
	BRG Examples: Information campaigns, minor regulatory adjustments, voluntary guidelines, or enhanced enforcement of existing regulations	New regulatory frameworks, substantial amendments to existing laws, combined regulatory and non-regulatory measures	Full legislative packages, major regulatory reforms, extensive new programmes with supporting measures like subsidies or incentives

Framework and Definitions

To ensure policy options cover all possible measures and provide a clarity, a tree-like structure is helpful



Method for collection of measures

tunES deployed a three step process to collect measures for policy option development



Discarding Policy Measures at an Early Stage

This step ensures that only the most viable and effective options are considered for further analysis and implementation



Outlining the assembled policy options

It is necessary to detail each policy option to identify the impacts of alternative options and ensure transparency

How to describe policy options?

Differentiate them based on objectives, avoiding vague descriptions

Specify how, by whom, and when each option will be implemented and monitored

Identify any additional actions needed

Provide specific actions for stakeholders to support impact analysis (benefits, costs, etc.)

Highlight differences from the baseline and other options

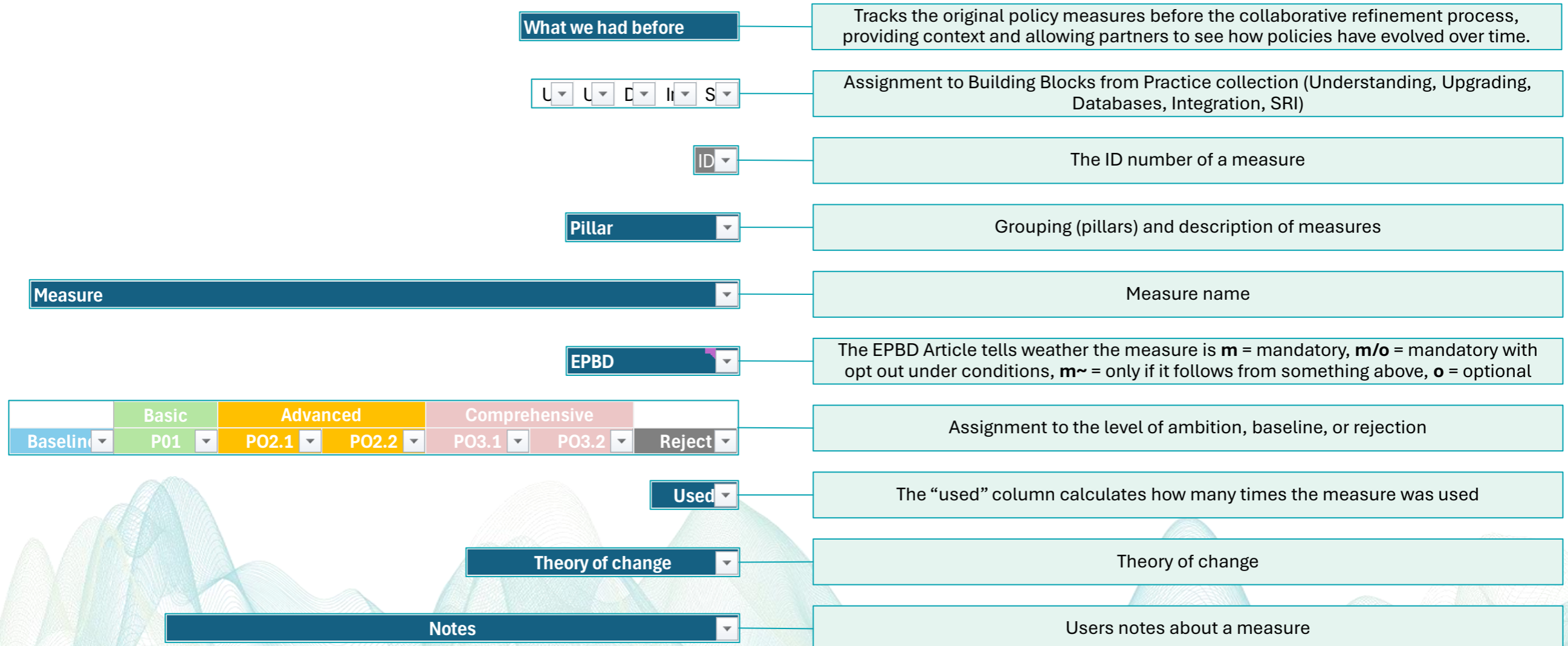
Theory of Change: Show how each policy option is expected to lead to the desired results, step by step

Using the Excel Tool to identify Policy Options

This section describes the Excel Tool as an instrument for developing policy options.

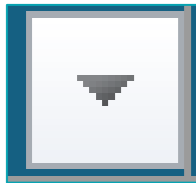
Structure of the Excel Tool

The Excel Tool collects measures in a structured way and contains following elements



Functionality of the Excel Tool

The Tool provides data filtering and summary functions for comprehensive analysis of measures and policy options



Search

- (Select All)
- BRP
- BRP-Content
- Database
- Database-Access
- EPC Content
- EPC Content - Recommendations
- EPC Design
- EPC Front Page
- EPC Method
- EPC Renewal
- EPC Scope
- EPC Triggers

Apply filters to narrow down the scope. Filters are in every column. Multiple filters can be used together.

SUMMARY	x	x	x	x	x	Z99	All	As a result at least the following number of fields is ticked.
SUMMARY						Q99	BRP-Content	As a result at least the following number of fields is ticked.
SUMMARY						P99	BRP	As a result at least the following number of fields is ticked.
SUMMARY						O99	Integration	As a result at least the following number of fields is ticked.
SUMMARY		x	x			N99	Database-Access	As a result at least the following number of fields is ticked.
SUMMARY					x	M99	Database	As a result at least the following number of fields is ticked.
SUMMARY		x	x		x	K99	EPC Content	As a result at least the following number of fields is ticked.
SUMMARY	x	x	x	x		L99	EPC Content - Recom	As a result at least the following number of fields is ticked.
SUMMARY					x	J99	EPC Front Page	As a result at least the following number of fields is ticked.
SUMMARY	x	x	x			I99	EPC Design	As a result at least the following number of fields is ticked.
SUMMARY	x				x	H99	EPC-Enforcement	As a result at least the following number of fields is ticked.
SUMMARY	x				x	G99	EPC-Experts	As a result at least the following number of fields is ticked.
SUMMARY	x	x				F99	EPC-Display	As a result at least the following number of fields is ticked.
SUMMARY		x			x	E99	EPC Renewal	As a result at least the following number of fields is ticked.
SUMMARY		x				D99	EPC Triggers	As a result at least the following number of fields is ticked.
SUMMARY	x					C99	Uptake	As a result at least the following number of fields is ticked.
SUMMARY					x	C99	Uptake-SRI	As a result at least the following number of fields is ticked.
SUMMARY	x	x			x	B99	EPC Method	As a result at least the following number of fields is ticked.
SUMMARY		x				A99	EPC Scope	As a result at least the following number of fields is ticked.
SUMMARY					x	R99	SRI Method	As a result at least the following number of fields is ticked.
SUMMARY					x	S99	SRI Trigger	As a result at least the following number of fields is ticked.

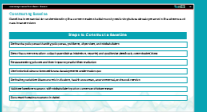
The summary calculates the total number of measures used across the Baseline, Basic, Advanced, and Comprehensive and Reject columns, as well as the count of measures from specific pillars within these columns.

Overview of measure sorting process

Energy Agencies are required to go through each measure and categorise them

Selections are made by typing 'x'

Start by identifying the baseline measures (the ones that are already in place in your country)



Reject measures that are not feasible at an early stage and explain why in "notes" column



Filter out baseline and rejected measures and specify if the remaining are Basic, Advanced, or Comprehensive
They can belong to one or a combination, depending on the policy options



Measure	EPBD	Baseline	Basic	Advanced		Comprehensive		Reject
			P01	P02.1	P02.2	P03.1	P03.2	
Certification is required for the entire non-residential building	-							
Certification is required for each individual non-residential building unit	-							
Certification is required for the entire residential building	-							
Certification is required for each individual residential building unit	-							

Example: this measure will be used in Basic, Advanced, and Comprehensive Policy Options

The Outcome of the work in the Excel Tool

The tool will allow to get an overview of the baseline and policy options and what measures they consist of

Use the filter function to get an overview of the desired policy option or a baseline

The overview will allow to describe the key aspects of retained policy options for reporting and impact assessment



Applying additional filters to policy components and pillars clarifies how the chosen policy option addresses each filtered component or pillar

This example showcases which Policy Measures are included in the Basic Policy Option (only basic options are filtered out)

What we had before	U	U	D	It	S	ID	Pillar	Measure	EPBD	Baseline	P01	P02.1	P02.2	P03.1	P03.2	Reject
	x					A01	EPC Scope	Certification is required for the entire non-residential building	-							
	x					A02	EPC Scope	Certification is required for each individual non-residential building unit	-							
	x					A03	EPC Scope	Certification is required for the entire residential building	-							
	x					A04	EPC Scope	Certification is required for each individual residential building unit	-							
	x					A08	EPC Scope	The validity of EPCs does not exceed 10 years for all building types	19(13) - m							
	x					A09	EPC Scope	The validity of EPCs does not exceed 5 years	Example for other							
	x					B01	EPC Method	Adopt categories limited to classes from A -G (and A+,A*)	19(2) m/o							
	x					B02	EPC Method	Energy classes calculation is linked to "reference buildings" (as per Italian method)	-							

Impact Assessment – TO COME

The impact assessment is a structured framework to assess the impact of each policy option. The combination of results identifies the preferred option.



www.tunes-project.eu



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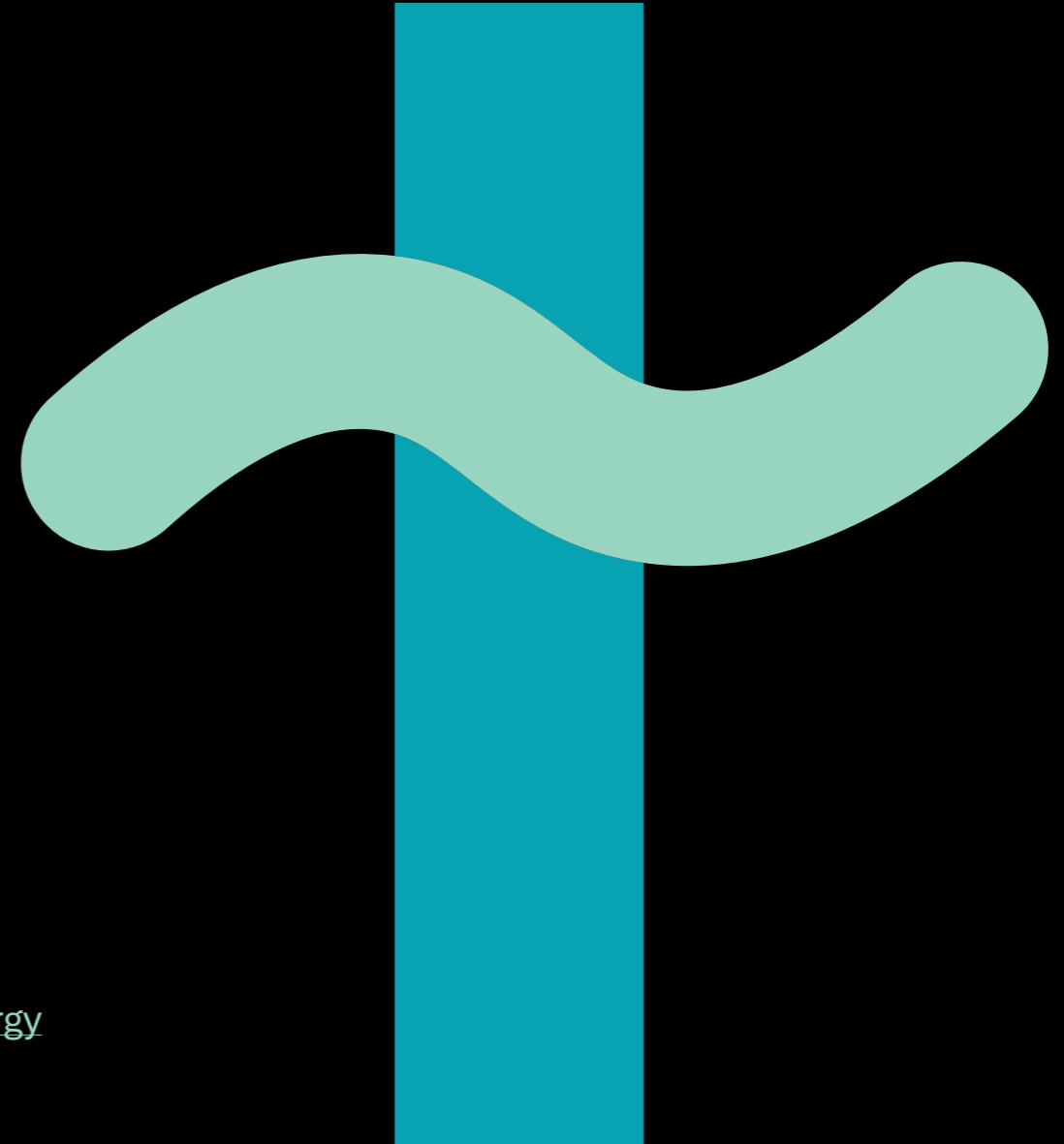
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[linkedin.com/in/georg-vogt-energy](https://www.linkedin.com/in/georg-vogt-energy)



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