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**COOPERATION**  
FORWARD



Dublin, 7 June 2017



Trinity College Dublin  
Coláiste na Tríonóide, Baile Átha Cliath  
The University of Dublin



## Mainstreaming Energy Efficiency Policy: Opportunities and Challenges from the Grassroots



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# THIS PRESENTATION

Context and  
Background

Policy Context

Focus of this  
research

Situation at EU  
level and in our  
ongoing Project

Research  
question and  
proposed  
Methodology

State of the art  
analysis and  
reflections

Stakeholder  
survey:  
preliminary  
results

Mainstreaming  
Implementation  
Plan (+Monitoring  
/Evaluation  
thereof)



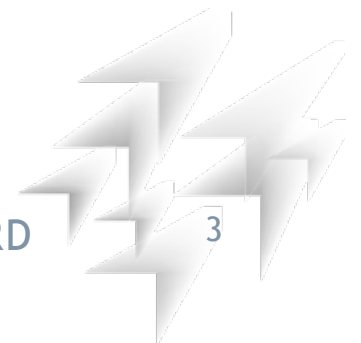
## Energy Performance of Buildings Directive (2010/31/EU)

### RATIONALE

Buildings are responsible for 40% of energy consumption and 36% of CO<sub>2</sub> emissions in the EU. While new buildings generally need fewer than 3 to 5 litres of heating oil per sq.m per year, older buildings consume about 25 litres on average. Some even require up to 60 litres.

Currently, about 35% of the EU's buildings are over 50 years old. By improving the energy efficiency of buildings, we could reduce total EU energy consumption by 5-6% and lower CO<sub>2</sub> emissions by about 5%.

Source: <https://ec.europa.eu/energy/en/topics/energy-efficiency/buildings>



## Energy Performance of Buildings Directive (2010/31/EU)

### KEY PROVISIONS

- All new buildings must be nearly zero energy buildings by 31 December 2020 (public buildings by 31 December 2018)
- EU Member States must set **minimum energy performance requirements** for new buildings, for the major renovation of buildings, and for the replacement or retrofit of building elements (heating and cooling systems, roofs, walls etc.)
- EU Member States must establish inspection schemes for heating and air conditioning systems or put in place measures with equivalent effect.
- **Energy performance certificates** are to be included in all advertisements for the sale or rental of buildings.



## Energy Efficiency Directive (2012/27/EU)

### Art. 5 - “Exemplary role of public bodies’ buildings”

- EU Member States must ensure that 3% of the total floor area of central government buildings (above 500 sq.m, then above 250 sq.m since July 2015) is renovated each year.
- Central governments shall **encourage regional and local government bodies**, and social housing bodies governed by public law, to adopt energy efficiency plans, put in place energy management systems, including energy audits, as part of their plans implementations, and use where appropriate, energy service companies and energy performance contracting to finance renovations, **maintain and improve energy efficiency in the long term.**



# FOCUS OF THIS RESEARCH (1/2)

As an alternative option to renovation, EU Member States can take **other cost effective measures that achieve at least equivalent savings** to those that the default approach would have delivered.

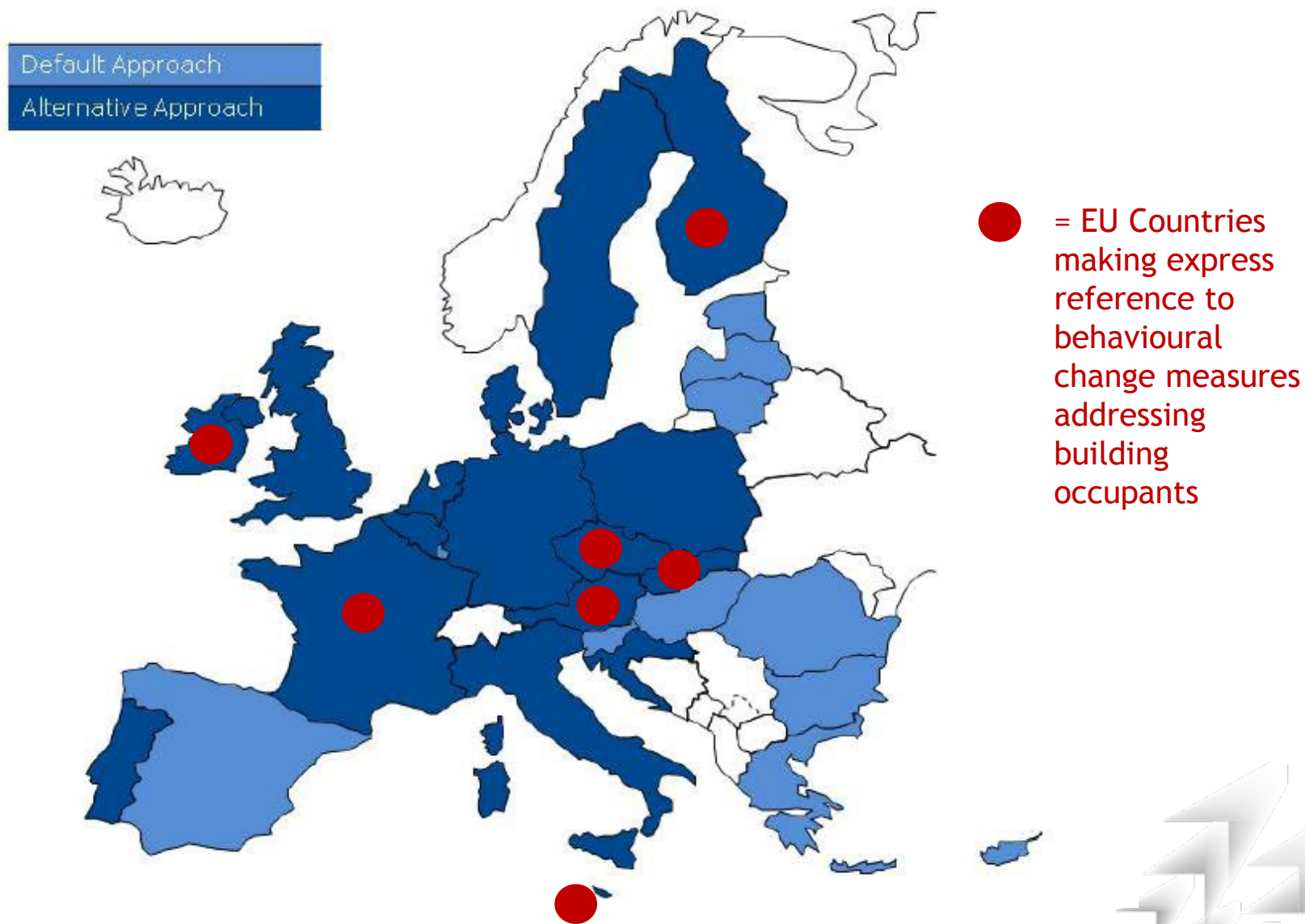
These alternative measures could (and did) include:

- 1) Selling off the most inefficient buildings and/or buying new ones
- 2) Energy service contracting
- 3) A combination of ‘deep’ and ‘shallow’ renovations of buildings and technology systems
- 4) The promotion of **energy efficiency through behavioural changes of public building occupants**
- 5) Other....

Member States using the alternative approach were required to notify the Commission by 31 December 2013.



# FOCUS OF THIS RESEARCH (2/2)



Source: The Coalition for Energy Savings, May 2015

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# SITUATION AT EU LEVEL

The 2012 Directive was meant to help the EU Member States reach a 20% energy efficiency target by 2020. On 30 November 2016 the Commission has proposed a new 30% energy efficiency target for 2030, and measures to update the Directive to make sure the new target is met.

13 out of the 17 EU countries having selected the alternative approach did not convincingly demonstrate its equivalence to the default approach. (Source: The Coalition for Energy Savings, May 2015)

Information is scattered across several policy documents, which makes monitoring of achievements quite complicated.

Impact is evaluated globally, instead of analysing the effects of individual measures (including behavioural change).





# OUR PROJECT (1/3)

The three main objectives of the 36 months' project TOGETHER are to:

1. Increase public buildings' energy efficiency and secure investments, through improved multidisciplinary in-house staff **capacity building of Public Administration** and the establishment of a **system of alliances with the more engaged and motivated building users**;
2. Produce and pilot test the most appropriate combinations of **technical, financial and Demand Side Management tools** for the improvement of the energy performance of public infrastructures, currently across 8 regional pilot actions involving a total of 85 buildings;
3. Codify the project outcomes into a comprehensive **policy package for a large-scale implementation**, bringing local buildings governance practices to the centre of ambitious energy saving policies.



## OUR PROJECT (2/3)

In its inception, the project has organised a residential **“Training of Trainers” course** for building owners, managers and public decision makers that has integrated traditional technical inputs on energy management and buildings retrofitting with targeted contributions from behavioural science, economics and psychology, aiming to **engage occupants and visitors in the building’s energy performance goals**.

The positive fallout of the “Training of Trainers” course is completed by the provision of an Integrated Smart Toolkit, including:

1. Guidelines for implementing an innovative **EPIC (Energy Performance Integrated Contract) scheme**, combining technological devices and behavioural-based components;
2. A set of exemplary **models of Energy Management Systems**;
3. An innovative **Building Alliance concept** promoting the cooperation of building owners/managers/users within a ‘Negotiating Panel’ to achieve energy savings to be reinvested through a Reinvestment Action Plan.

By project’s end, the Partners will jointly elaborate a **Transnational Strategy and Mainstreaming Programme**, including policy/strategic and operational recommendations for appropriate follow-up and sustainable take-up of project outputs.



# OUR PROJECT (3/3)

## UNDERLYING LOGIC:

$$\text{Potential} * \text{Acceptance} = \text{Result}$$

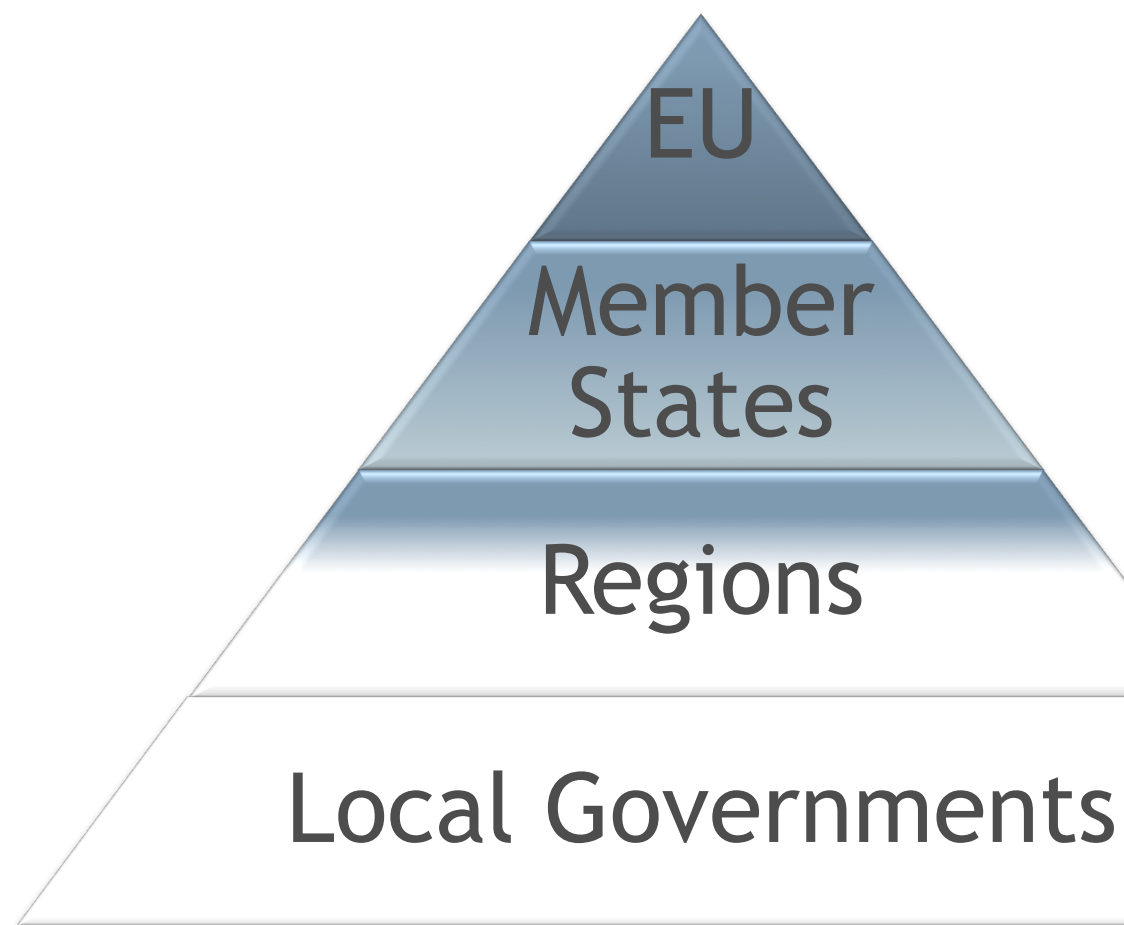
### Static view

*“Potential per se is not the only issue. Another problem is how to get sufficient acceptance of energy efficiency measures by the building users. Any huge number multiplied with zero will be zero!” (Zonta, 2016)*

### Dinamic view



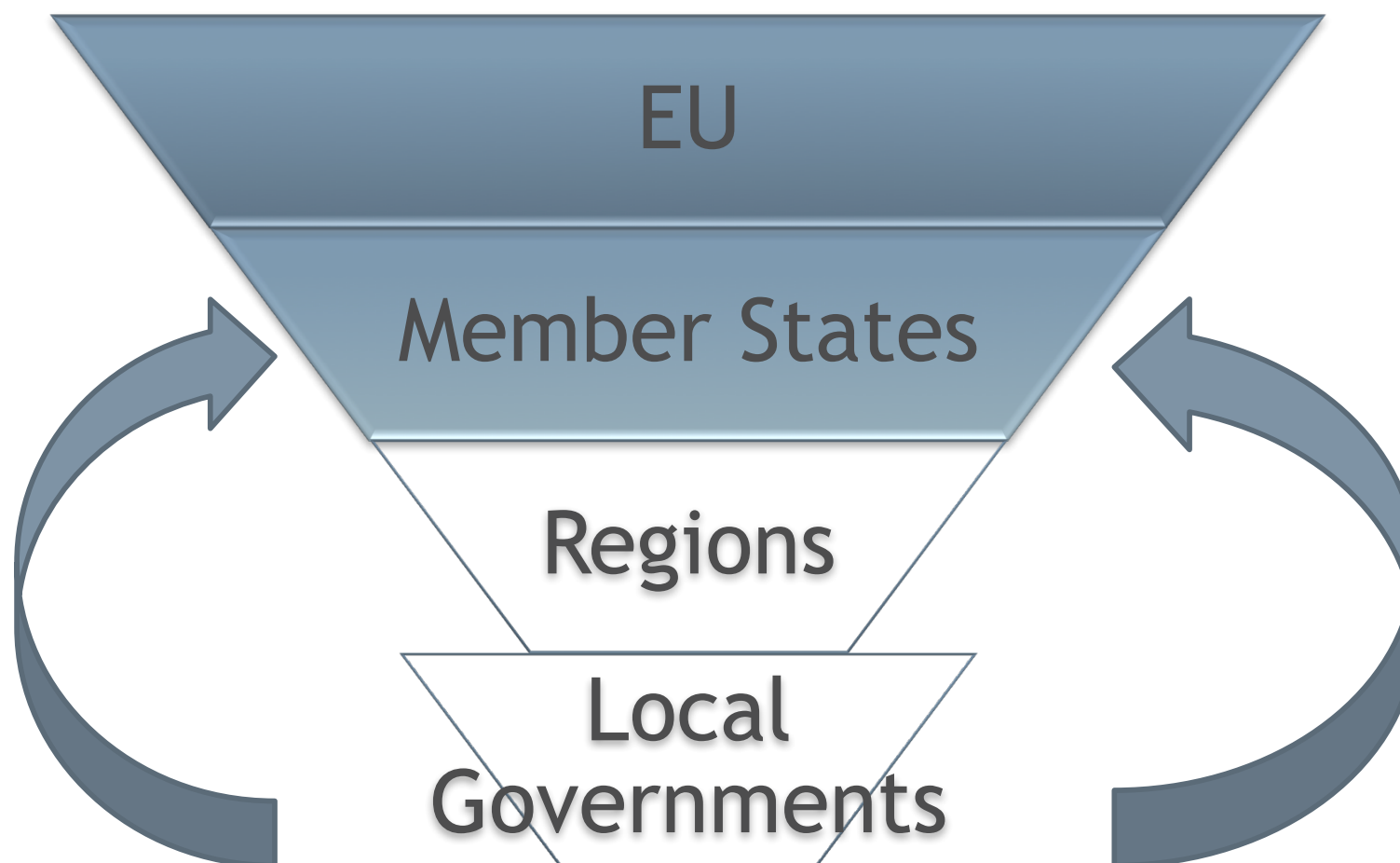
# OVERVIEW OF THE SITUATION



- Clear policy definition and targets
- Less clear commitments /achievements
- Limited impact BUT growing awareness
- Vitality of pilot initiatives (Covenant of Mayors, Green Schools ...)



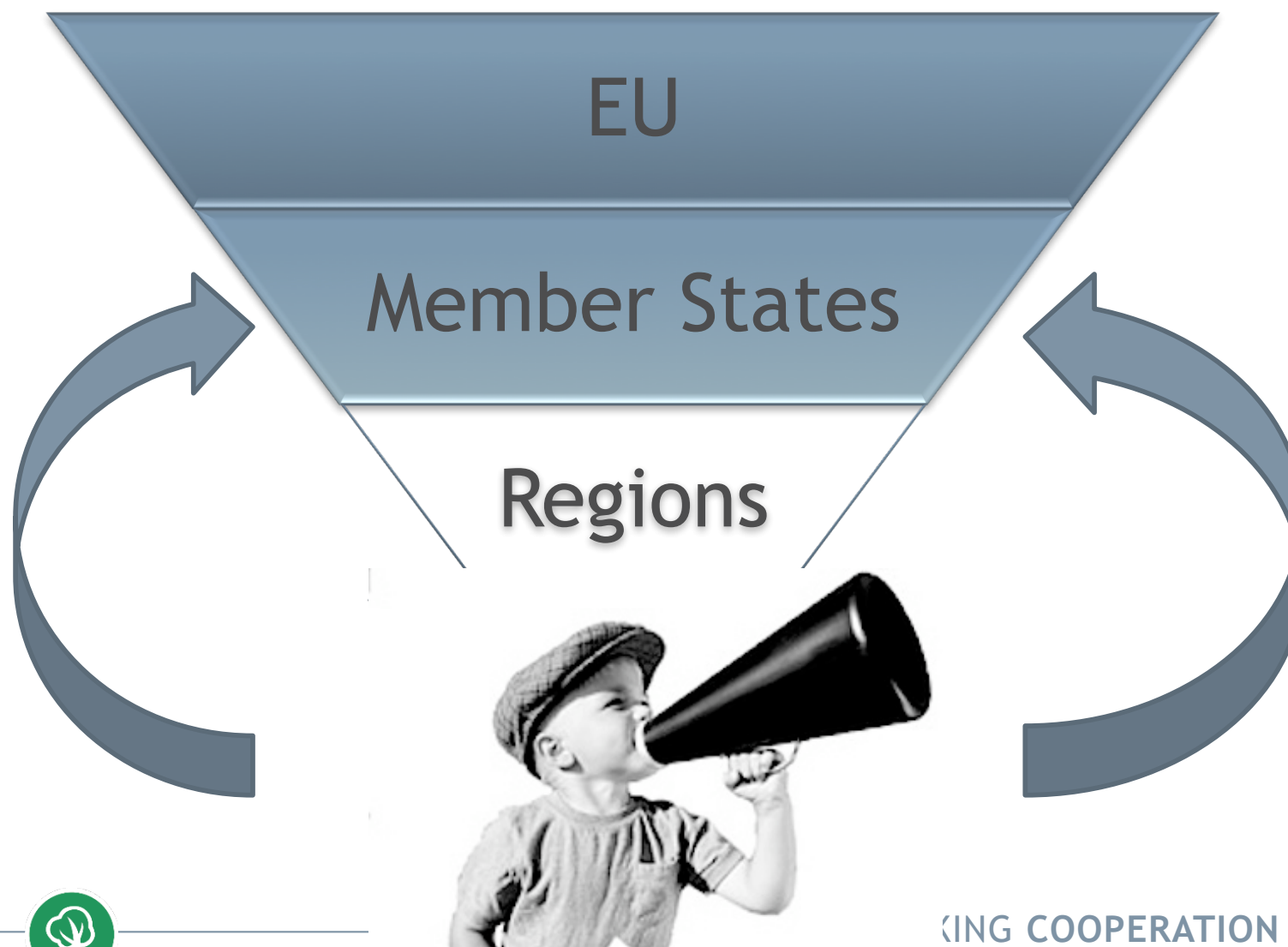
# OVERARCHING RESEARCH QUESTION



How can the good practice emerging from the grassroots become widespread at broader policy level?



# OVERARCHING RESEARCH QUESTION



Which are  
the key  
enablers  
and  
barriers for  
/ against  
local voices  
being  
heard?



# AN ISSUE OF POLICY MAINSTREAMING

Mainstreaming is a **mode of policy implementation**.

It normally implies two things:

- 1) firstly that a policy priority or innovation is considered in all projects and programmes run or supervised by an organisation
- 2) and secondly that policy implementation becomes the shared responsibility of all staff within the organisation, usually requiring specific competencies, capacities and commitment from the key internal profiles (top and particularly middle management).

Examples: gender equality (1990s), low carbon (2000s), Open Data (2010s)





# THE COORDINATION CHALLENGE

Unfortunately, most policies (including energy efficiency policies) are not implemented by a single organisation, but as a concerto of multiple public (and quite often, private) bodies, which is a hard task to coordinate.

We can identify three distinct scenarios, depending on whether mainstreaming is promoted/pushed:

- i. By a **"Principal"** (e.g. national or local government) to one or more **"Agents"** (belonging to its direct sphere of influence)
- ii. From the **bottom** (e.g. local public administration, or the constituency, or the press) to the **top of the hierarchy** (e.g. national government or parliament)
- iii. As the result of a **peer negotiation** (e.g. between EU Member States and the Commission)



# THE COORDINATION CHALLENGE

Each of the three models has its own difficulties or barriers to mainstreaming, e.g.:

- i. The Agents may **refuse to cooperate** with the Principal, or do it only ceremonially
- ii. The top level may **not listen** to the grassroots opinions, or do so and then act otherwise
- iii. Negotiations may **lead nowhere**, either in terms of pacts, or of subsequent acts

In other words, we often experience a failure of

- i. Rules and directives alone
- ii. The public opinion alone
- iii. Peer negotiations alone



# A POSSIBLE WAY OUT

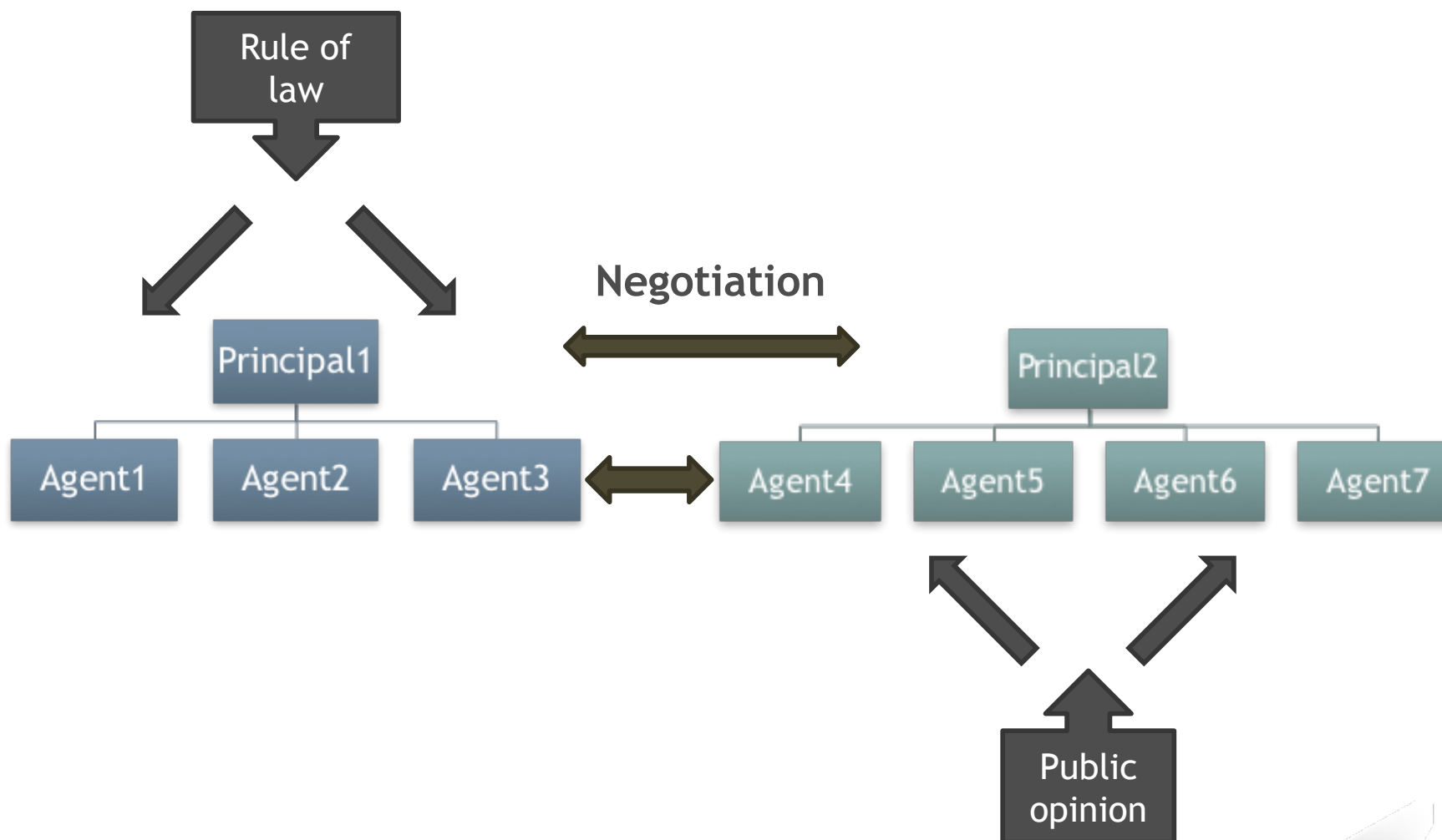
Despite its complexity, a solution to this impasse can be to **adopt the three implementation models in combination**, i.e. exploiting the positives of each to reduce the negatives of the others.

For instance:

- i. The strength of the public opinion can be used to “force” the Agents to cooperate more with the Principal
- ii. A Principal may endorse the grassroots opinions, thus stimulating a broader or faster compliance by another Principal
- iii. Both the public opinion and the rule of law may play a role in influencing the outcomes of negotiations.



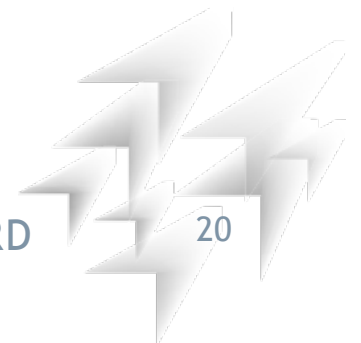
# A POSSIBLE WAY OUT



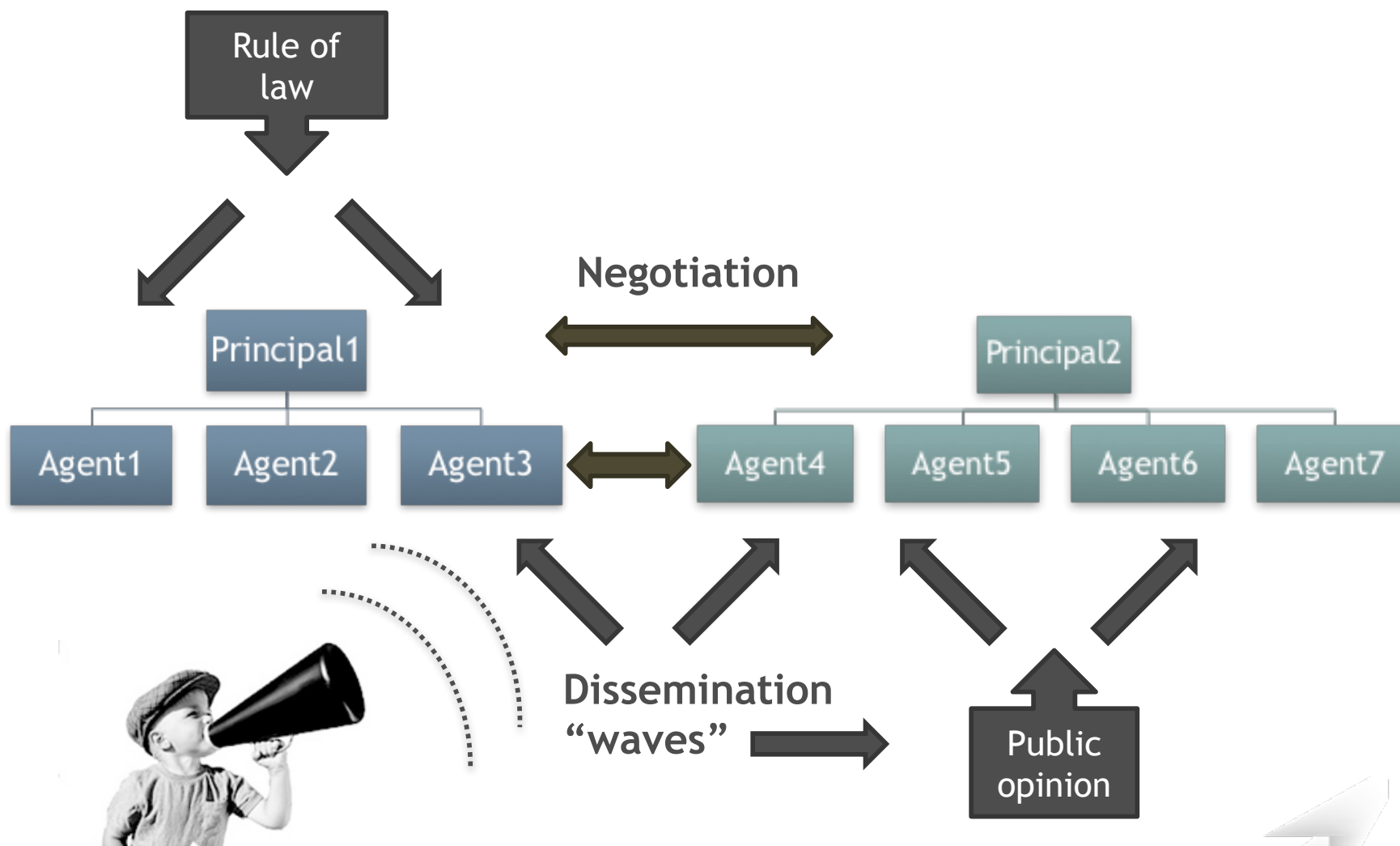
# THE ROLE OF DEMONSTRATION PILOTS

In some cases - for instance, when policy mainstreaming needs to be supported by the evaluation of time limited or partial experimentations before consolidating or reaching to a larger scale - we can speculate that the outcomes of these experimentations, if duly disseminated to the “right” target audience, have the power of contributing to the desired uptake scenarios.

We call these experimentations “**demonstration pilots**” and note that they obviously include the activities played by the partners of TOGETHER within the respective local communities (85 public buildings from 8 Central European Regions).



# A POSSIBLE WAY OUT



Demonstration pilots



As far as the TOGETHER project is concerned, we define:

- **Energy efficiency** gains in public buildings by a combination of technical, financial and behavioural DSM (Demand Side Management) measures

as the **subject** of policy mainstreaming.

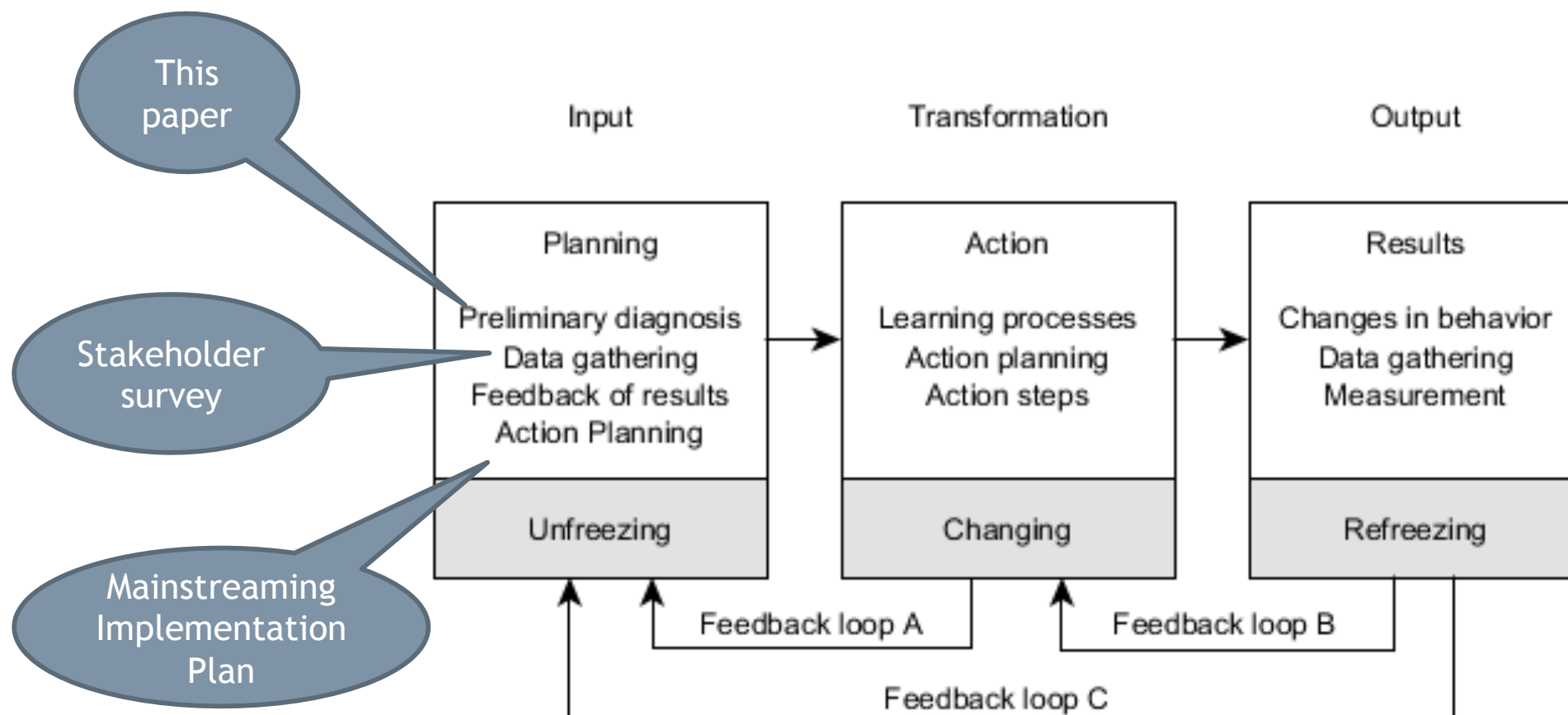
Then the research questions become the following:

- Which is the prevailing model of implementation?
- Who are the mainstreaming targets in each of the partner sites?
- What are the main barriers to uptake?
- Which role can be played by: the rule of law, the public opinion, and the TOGETHER pilots?



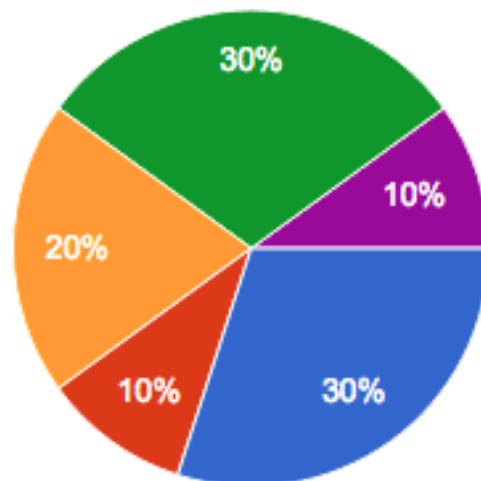


# (ACTION/RESEARCH) METHODOLOGY



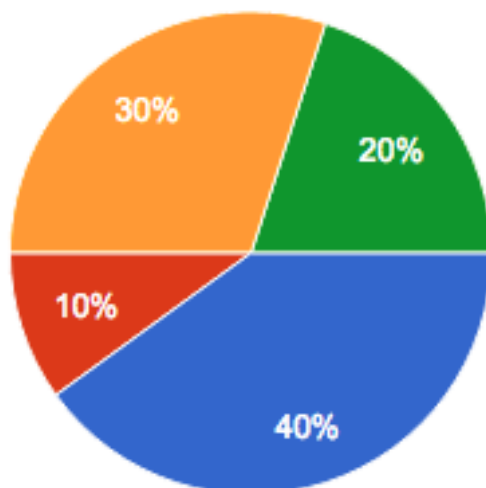
# STAKEHOLDER SURVEY: EARLY RESULTS

## BARRIERS



- Pilot results are not communicated well enough
- They are communicated, but their achievements are not well understood
- They are understood, but lessons learnt are not actually practised
- They are practised, but on a too limited basis to generate impact
- No barrier

## DRIVERS



- Stakeholder meetings and workshops to communicate the results
- Training sessions and guidelines to improve the capacity of the new comers
- Evaluative sessions to highlight the extent to which change is actually o...
- Political decisions to promote and multiply take-up across / outside the...



# ENVISAGED IMPACTS FROM THE PILOTS

	Building owners	Civil servants	Citizens	Designers	Energy Mgrs	Policy Makers	Other (*)
EU level	← No impact →						
National	← No Impact →		10%	40%	10%	70%	6%
Regional	10%	40%	30%	30%	30%	=	24%
Local	90%	60%	60%	30%	60%	30%	70%

(\*) School principals, Teachers, Students, Tech persons, etc.

- No EU level impacts despite the EU funding!
- Local actions have predominantly local impacts (if any)
- Exceptions: designers and “legislators” (both at national level)  
→ key targets of mainstreaming

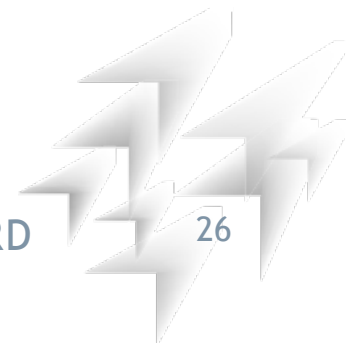


## IMPLEMENTATION PLAN

A set of **guidelines** deriving from the analysis of the responses received, illustrating how to target regional and national stakeholders, organise advocacy events, recruit participants and achieve their political buy-in

## MONITORING AND EVALUATION

Both **summative** (at regular intervals) and **formative** (the project will last 2 more years)



# (INTERIM) CONCLUSIONS

## PREVAILING MODEL

Grassroots innovation, needing more effective communication

## MAINSTREAMING TARGET

National level

## KEY BARRIERS TO TAKE-UP

Political will, lack of extended practice

## POSSIBLE ROLE OF PROJECT PILOTS

Documented evidence of success, but probably not enough



# THANKS FOR YOUR ATTENTION



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