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Commission



# Evaluation of the EU's Sustainable Energy Cooperation (2011-2016) Final Report Volume II –Annexes

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# **Evaluation of the EU's Sustainable Energy Cooperation (2011-2016)**

## **Final Report, Volume II - Annexes**

The desk report consists of 2 Volumes:

### **VOLUME I: MAIN REPORT**

**INTRODUCTION**

**CONTEXT**

**OUTLINE METHODOLOGY**

**ANSWERS TO EVALUATION QUESTIONS**

**CONCLUSIONS AND RECOMMENDATIONS**

and the present:

### **VOLUME II: ANNEXES**

**ANNEX 1: TERMS OF REFERENCE**

**ANNEX 2: METHODOLOGY**

**ANNEX 3: INVENTORY**

**ANNEX 4: KEY PERSONS MET/CONSULTED**

**ANNEX 5: ANNOTATED BIBLIOGRAPHY**

**ANNEX 6: JUDGEMENT AND INDICATOR ANALYSIS**

## **Contents**

<b>LIST OF ACRONYMS AND ABBREVIATIONS.....</b>	<b>III</b>
<b>ANNEX 1- TERMS OF REFERENCE .....</b>	<b>1</b>
<b>ANNEX 2 – METHODOLOGY .....</b>	<b>40</b>
<b>ANNEX 3 – INVENTORY .....</b>	<b>67</b>
<b>ANNEX 4 – KEY PERSONS MET/CONSULTED .....</b>	<b>83</b>
<b>ANNEX 5 – ANNOTATED BIBLIOGRAPHY .....</b>	<b>91</b>
<b>ANNEX 6 – JUDGEMENT CRITERIA AND INDICATOR ANALYSIS .....</b>	<b>112</b>

## List of acronyms and abbreviations

ACP	African, Caribbean and Pacific Group of States
AEEP	Africa-EU Energy Partnership
ASEAN	Association of South East Asian Nations
COM	Communication
COP	Conference of the Parties (to the UNFCCC)
CRIS	Common RELEX Information System
DCI	Development cooperation instrument
DEVCO	European Commission Directorate-General for International Cooperation and Development
DG	Directorate General
DP	Development Partners
EAMR	External Assistance Management Report
EC	European Commission
ECHO	European Commission Humanitarian aid and Civil Protection department
EDF	European Development Fund
EDFI- PSDF	EU- European Development Finance Institutions Private Sector Development Facility
EE	Energy efficiency
EEAS	European External Action Service
EF	The ACP-EU Energy Facility
EIB	European Investment Bank
ElectriFI	The Electrification Financing Initiative
ENRTP	Thematic Programme for Environment and Sustainable Management of Natural Resources (including Energy)
EQ	Evaluation Question
ESMAP	World Bank Energy Sector Management Assistance Program
EU	European Union
EUD	European Union Delegation
EUEI PDF	EU Energy Initiative Partnership Dialogue Facility
EUR	Euro (also abbreviated € in some graphs and tables)
FSU	Former Soviet Union
GEEREF	Global Energy Efficiency and Renewable Energy Fund
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GTF	Global Tracking Framework
HQ	Headquarters
IEA	International Energy Agency
IL	Intervention Logic
INDC	Intended Nationally Determined Contributions
IRENA	The International Renewable Energy Agency
ITF	EU-Africa Infrastructure Trust Fund
JC	Judgement Criteria

JD	Joint Declaration
KfW	Kreditanstalt für Wiederaufbau
MS	Member State
M&E	Monitoring and evaluation
NDC	Nationally Determined Contributions
NGO	Non-Governmental Organization
NRM	Natural Resources Management
ODA	Official Development Assistance
OECD/DAC	Organization for Economic Co-operation and Development – Development Assistance Committee
PIDA	Programme for Infrastructure Development in Africa
RIP	Regional Indicative Plan
RE	Renewable energy
RECP	Renewable Energy Cooperation Programme
ROM	Results Oriented Monitoring
RSP	Regional Strategy Paper
SADC	Southern African Development Community
SE	Sustainable energy
SEADS	Strategic Energy Advisory and Dialogue Services
SEforALL	Sustainable Energy for All Initiative (also previously referred to as SE4ALL)
SDG	Sustainable Development Goal
SIDS	Small Island Developing States
SME	Small and Medium-sized Enterprises
TA	Technical assistance
TAF	Technical Assistance Facility
TOR	Terms of Reference
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change

## Annex 1- Terms of Reference



EUROPEAN COMMISSION  
Directorate-General for International Co-operation and  
Development— EuropeAid - Evaluation

**Evaluation of the European Union's sustainable energy  
cooperation  
(2011-2016)  
Thematic Evaluation**

**TERMS OF REFERENCE**

**Table of contents**

<b>1 MANDATE AND GENERIC OBJECTIVES</b> .....	
<b>2 EVALUATION RATIONALE AND SPECIFIC OBJECTIVE</b> .....	
<b>3 BACKGROUND</b> .....	
3.1 IMPORTANCE AND CHALLENGES OF GLOBAL SUSTAINABLE ENERGY .....	
3.2 EU EXTERNAL ACTION, TOOLS AND INTERVENTIONS IN SUSTAINABLE ENERGY .....	
<b>4 DRAFT INTERVENTION LOGIC</b> .....	
<b>5 EVALUATION SCOPE</b> .....	
5.1 LEGAL, TEMPORAL AND THEMATIC SCOPE .....	
5.1.1 The Legal scope .....	
5.1.3 Thematic scope .....	



5.1.4 Evaluation focus.....	
<b>6 RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION .....</b>	
<b>7 PROCESS AND DELIVERABLES .....</b>	
7.1 THE DESK PHASE.....	
7.2 FIELD PHASE .....	
7.3 SYNTHESIS PHASE AND FINAL REPORT .....	
7.4 THE DISSEMINATION PHASE .....	
<b>8 THE EVALUATION TEAM.....</b>	
<b>9 TIMING.....</b>	
<b>10 OFFER FOR THE ASSIGNEMENT .....</b>	
<b>11 TECHNICAL OFFERS EVALUATION CRITERIA.....</b>	
<b>12 ANNEXES .....</b>	
<b>ANNEX 1: INDICATIVE DOCUMENTATION TO BE CONSULTED FOR THE</b>	
.....	20
<b>PURPOSE OF THE EVALUATION BY THE SELECTED CONTRACTOR.....</b>	
<b>ANNEX 2 :TIMING .....</b>	
<b>ANNEX 3: OVERALL STRUCTURE OF THE FINAL REPORT.....</b>	
<b>ANNEX 4 :QUALITY ASSESSMENT GRID.....</b>	
<b>ANNEX 5: EVALUATION CRITERIA AND KEY ISSUES .....</b>	
<b>ANNEX 6: ROAD MAP .....</b>	

## 1. MANDATE AND GENERIC OBJECTIVES

Systematic and timely evaluation of its programmes, activities, instruments, legislation and nonspending activities is a priority<sup>1</sup> of the European Commission<sup>2</sup> in order to demonstrate accountability and to promote lesson learning to improve policy and practice.<sup>3</sup>

The **Evaluation of the European Union's co-operation on sustainable energy (2011-2016)** is part of the DG DEVCO evaluation programme as approved by the Development Commissioner and agreed by the High representative for Foreign Affairs and Security Policy.

The generic purpose of this thematic evaluations is:

- to provide the relevant external co-operation services of the European Union and the wider public as well as key development banks with an **overall independent assessment** of the European Union's past and current development cooperation on sustainable energy;
- to identify key lessons and to produce recommendations to improve current and inform future choices on co-operation strategy and delivery, including the implementation of the forthcoming European External Investment Plan (EIP)<sup>4</sup> as well as inform the preparation of the next Africa-EU summit (focused also on energy), in line with the energy goal of the Agenda 2030 and other international commitments. These recommendations will take into account the fact that a large share of the technologies to be deployed by 2030 do not exist today and will be produced by research.

## 2. EVALUATION RATIONALE AND SPECIFIC OBJECTIVE

The justification for this evaluation derives from:

- The political commitment and the increasing financial support to sustainable energy that calls for an independent evaluation to inform EU's future co-operation strategy and delivery
- The 2016-2020 work programme for strategic evaluations to be commissioned by the DG DEVCO, which included the evaluation on 'Sustainable Energy for All and rural electrification' (now renamed 'EU Sustainable energy cooperation')<sup>5</sup>
  - Article 12 of the Common Implementing Regulation (CIR)<sup>6</sup> which asks the Commission to “evaluate the impact and effectiveness of its sector policies and actions and the effectiveness of programming, where appropriate by means of independent external evaluations”.

<sup>1</sup> EU Financial Regulation (art 27); Regulation (EC) No 1905/2000; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008.

<sup>2</sup> SEC(2007) 213 "Responding to Strategic Needs: Reinforcing the use of evaluation"

<sup>3</sup> COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>4</sup> COMM (2016) 581 final

<sup>5</sup> [https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies\\_en](https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies_en)

<sup>6</sup> [http://ec.europa.eu/enlargement/pdf/finacial\\_assitance/ipa/2014/236-2014\\_cir.pdf](http://ec.europa.eu/enlargement/pdf/finacial_assitance/ipa/2014/236-2014_cir.pdf)

The specific objective for undertaking this evaluation is to assess whether sustainable energy actions have achieved the intended outcomes and contributed to the expected impact. More specifically it will assess whether the available instruments are cost-effective, deliver sustainable outcomes and add value.

The evaluation will draw on pertinent major EU policy documents, and those specifically relating to the sustainable energy sector under the development cooperation (e.g. Multi-annual Financing Framework)<sup>7</sup>, including:

- All of DEVCO energy co-operation intervention under EDF and DCI related to sustainable and renewable energy
- All particular thematic, geographical or issue focus as set out in section 3.
- The interaction of DEVCO's interventions with those of DG NEAR, DG ENER, ECHO, R&I and EIB
- Spending and non-spending activities completed, in progress and being planned in the evaluation period.
- All EU financial instruments and channels relevant to the sector during the evaluation period.

The main users of this evaluation include the EU Commissioner(s), EU Management, thematic units and the European Union Delegations as well as Governments and private sector in partner countries, European development banks, external partners and donors. The evaluation will also be of interest to the wider international development community.

### **3. BACKGROUND**

#### **3.1 Importance and challenges of global sustainable energy**

About 1.3 billion people worldwide have no access to electricity and an additional billion have only access to unreliable electricity networks. More than 2.6 billion people rely on solid fuels, such as traditional biomass and coal, for cooking and heating. Taking into account the future demographic projections and implied pressures, these figures could grow exponentially and the challenges could become ever more substantial and complex<sup>8</sup>.

The importance of energy as a key driver to eradicate poverty was initially identified at the World Summit on Sustainable Development in Johannesburg in 2002 which led to the EU and Member States to develop an EU Energy Initiative. Since then, the EU commitment towards the energy agenda has increased exponentially, in terms of policy involvement, programming and funding. In 2004 the EU Energy Initiative was formally established as a collaborative platform between the European Commission and its Member States, and in 2007 it was expanded to African partners with the Joint Africa-EU Partnership (JEAS). But it was in 2011, when the United Nations' Secretary General Ban Ki Moon launched the Sustainable Energy for All (SE4All) initiative<sup>9</sup> that all UN countries committed to work to extend energy services to all, and to double the rate of

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<sup>7</sup> See Annex 1 for an initial list of key reference documents

<sup>8</sup> Empowering Development 'Delivering results in the Decade of Sustainable Energy for All', European Union, 2015

<sup>9</sup> For more information see: <http://se4all.org/>

renewable energy mix and the energy efficiency at global level by 2030. In 2012, the EU embraced this cause committing to support developing countries to provide access to sustainable energy services to 500 million people by 2030. Such European pledge was fully consistent with the EU development policy 'Agenda for Change' (2011)<sup>10</sup> which identified 'access to secure, affordable, clean and sustainable energy services' as one of the highest EU development priorities and a key driver for inclusive growth.

In 2015 '*Transforming our world: the 2030 Agenda for Sustainable Development*'<sup>11</sup>, reflected the strong international commitment to devote more resources and impetus to achieving universal access to energy by including two specific goals, namely the SDG n. 7 on '*access to affordable, reliable, sustainable and modern energy for all*'<sup>12</sup>, and the SDG n.13 to '*take urgent action to combat climate change and its impacts*'<sup>13</sup>.

The Commission has also placed high importance on the participation of civil society organisations (CSO) in the energy arena. CSOs, with long presence and with established trust relationships with the local population, can be excellent partners of the private sector in providing information for the capacities of the local markets, in ensuring maintenance, collecting tariffs, raising awareness. The 2013/14 Calls for Proposals on Rural Electrification (EUR 95 million), highlighted in particular the role of CSOs.

Likewise, the role of women in the energy value chains is fully acknowledged. In rural areas in particular women and girls spend long time collecting fire wood and suffering health hazards from inhouse cooking. They are the first to benefit from clean energy and energy services. On the other hand, women can play a major role in the fast and smooth integration of renewable energies in the local way of life. The Commission firmly believes that this role is crucial and a 'gender window' has therefore been created in ElectriFI to stimulate and exploit further this potential.

### **3.2 EU external action, tools and interventions in sustainable energy**

Aware of the complexity and challenges linked to address energy poverty, the EU is operating at several levels and with multiple actors, using the following entry points:

1. *Policy dialogue and reform agenda*: assisting national stakeholders in defining a coherent way forward as regards the required national action plans, legislation and regulations

<sup>10</sup> COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>11</sup> <http://www.un.org/sustainabledevelopment/development-agenda/>

<sup>12</sup> "By 2030, ensure universal access to affordable, reliable and modern energy services; increase substantially the share of renewable energy in the global energy mix; double the global rate of improvement in energy efficiency; enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, energy efficiency and advanced and cleaner fossil-fuel technology, and promote investment in energy infrastructure and clean energy technology; expand infrastructure and upgrade technology for supplying modern and sustainable energy services for all in developing countries [...], in accordance with their respective programmes of support." <sup>13</sup> <http://www.un.org/sustainabledevelopment/climate-change-2/>

<sup>13</sup> <http://www.un.org/sustainabledevelopment/climate-change-2/>

2. *Capacity building*: supporting the development of knowledge and skills on the use of Renewable Energy and Energy Efficient technologies
3. *Investment projects*: Supporting partner countries in prioritizing and preparing their infrastructure projects by leveraging innovative funds from a diversity of sources (development banks, local and international private sector, public sources)
4. *Industrial and technology cooperation*: Establishing networks gathering local and international professionals, at regional and country level.

EU funds are being channelled through a wide range of tools, platforms and interventions, including:

1. **Blending facilities** combine EU and MS' grants and loans with funds from the public, private or banking sector to leverage additional non-grant financing to support energy investments. This is being implemented through a number of regional EU blending facilities. In sum, more than 112 energy projects have already been financed, blending more than EUR 1.1 billion of EU grants with EUR 11.4 billion loans. The most relevant for the purpose of this evaluation is the EU-Africa Infrastructure Trust Fund (AITF) which supported a pipeline of projects totalling some EUR 700 million in grant requests, whose total investment value is estimated at EUR 9 billion. Under the new Africa Investment Facility (AfIF), which replaces AITF for the 2014-2020 MFF, the EU has supported large sustainable energy and electrification projects mobilising a total amount of EUR 345 million in investments.
2. **National and regional programmes** (NIPs and RIPs) are funded under the 'geographical' instruments and include financing for energy cooperation projects. The main instruments are the European Development Fund (for the African, Caribbean and Pacific countries) and the Development Cooperation Instrument (for Asia, Latin America and South Africa)<sup>14</sup>. The EU has expanded its energy cooperation, with more than 30 NIPs and RIPs globally where energy has been the identified and jointly agreed focal sector (see Table 1 below). The Commission together with several Member States has signed Joint Declarations on enhanced energy co-operation with 19 partner countries with more being signed at COP22, reinforcing political dialogue and ensuring strong political engagement by all actors and partner countries. EU Delegations play a key role in achieving the EU target that at least 20% of its budget for 2014-2020 (including the 11<sup>th</sup> EDF) has to be spent on climate change-related action<sup>15</sup>.

<sup>14</sup> Also the European Neighbourhood & Partnership Instrument (for the countries neighbouring the EU).

<sup>15</sup> At the UN Climate Summit in New York in September 2014 President Barroso announced that the 20% target will amount to EUR 180 billion spent inside and outside the EU by 2020, and EUR 14 billion of public climate finance to partners outside the EU.

**Table 1. Total EU support for energy projects per country/region (2014-2020)**

Region	Country	Sector allocation	Total
Asia	Iraq	23	
	Phillipines	222	
	Vietnam	346	
<b>Asia Total</b>			<b>591</b>
Caribbean	Barbados	3	
	Belize	13.5	
	Dominica	2.6	
	St Kitts and Nevis	2.6	
	Regional Caribbean	53	
<b>Caribbean Total</b>			<b>74.7</b>
Central Asia	Reg. Central Asia	170	
<b>Central Asia Total</b>			<b>170</b>
Pacific	Marshall Islands	8	
	Micronesia	12	
	Nauru	2.16	
	Niue	0.25	
	Palau	1	
	Tonga	10	
<b>Pacific Total</b>			<b>33.41</b>
Sub-Saharan Africa	Benin	80	
	Burundi	105	
	Côte d'Ivoire	139	
	Eritrea	175	
	Ethiopia	90	
	Kenya*	87.5	
	Lesotho	28.4	
	Liberia	100	
	Madagascar**	40	
	Mozambique***	100	
	Nigeria	150	
	Reg. Central Africa	77.5	
	Reg. ESA-IO	240	
	Reg. West Africa	200	
	Rwanda	200	
	Senegal****	15	
	Tanzania	180	
Togo	30		
Zambia	244		
Pan African	23		
<b>Sub-Saharan Africa Total</b>			<b>2304.4</b>
Total (Geographical)		<b>3173.51</b>	
<b>Thematic</b>	GPGC		<b>400</b>
<b>Intra-ACP</b>	Intra-ACP		<b>150</b>
<b>Grand Total</b>			<b>3724</b>

## NOTES

\* 50% of the allocation for Sustainable Infrastructures including energy and transport (estimated)

\*\* Energy allocations under 'Infrastructures Supporting Economic Development' (estimated)

\*\*\* Significant energy allocations under 'Rural development' (estimated)

\*\*\*\* Energy allocations under 'Rural Development' (estimated)

3. **The Technical Assistance Facility (TAF)** provides high-level technical assistance at country and regional level to assist partner countries committed to reaching the SE4ALL objectives in fine-tuning their energy policies and regulatory frameworks

to allow for increased investments in the energy sector. In total, EUR 46.1 million was dedicated to TAF missions over the time period 2011-2016.

4. The EU has also provided support through the **EU-ACP Energy Facility** to finance sustainable energy initiatives worldwide, increasing access to energy services, research and national attention on renewable energy and supporting innovation towards more energy efficiency. Since 2011, 99 projects have been supported under the Energy Facility with an EU contribution of EUR 236 million.
5. **ElectriFI**, launched by Commissioner for International Cooperation and Development Mimica during COP21 in Paris in 2015, aims to unlock, accelerate and leverage private investments to increase and improve access to affordable, reliable, sustainable and modern energy. The Dutch Development Bank (FMO), acting on behalf of all European Development Finance Institutions ([www.edfi.eu](http://www.edfi.eu)) and several other financial institutions, has been managing the first contract (75 million EUR) for blending the cooperation funds with the private sector and loans from Financiers. EDFI launched a first call in April 2016 which generated 290 project proposals requesting EUR 800 million of financial support mobilizing a total investment of EUR 8.5 billion. The first 4 projects to be supported by ElectriFI were selected in November 2016.
6. The **Partnership Dialogue Facility of the EU Energy Initiative (EUEI-PDF)** is a multi-donor facility that contributes to the achievement of the Sustainable Development Goals, in particular on energy. As a flexible instrument of the European Union, the EUEI PDF promotes sustainable energy for equitable development in Africa, Latin America and Asia.
7. The **Africa-EU Energy Partnership (AEEP)**, established in 2007, is a long-term framework for strategic dialogue between Africa and the EU aimed at sharing knowledge, setting political priorities and developing joint programmers on the key energy issues and challenges. Its goals and objectives are pursued through of a number of instruments inducing the blending/AIT, ElectriFI and the Africa-EU Renewable Energy Programme (RECP). **The Africa-EU Renewable Energy Cooperation Programme (RECP)** was launched by leaders from Africa and the EU in September 2010 at the First High-Level Meeting of the AEEP in Vienna. The RECP aims to assist in stimulating sustainable economic and social development



in Africa through clearly defined targets to increase the use of the continent's vast renewable energy sources. It focusses on meso-scale renewable energy investments, loosely defined as multi-million euro investments, related to all renewable energy resources employed. Meso-scale projects have substantial potential for increasing energy access and simultaneously provide local benefits.

8. The **Global Energy Efficiency and Renewable Energy Fund (GEEREF)** is a fund of funds that provides risk sharing and co-funding opportunities for both commercial and public investors. GEEREF finances a broad mix of energy projects and technologies, such as small hydropower, biomass and wind farms, and contributes to addressing global poverty and climate change by combining financial viability with sustainable social and environmental returns. In 2012, an allocation of €20 million has been added to the €108 million already in place under this fund.
9. The **EU-EDFIs (European Development Finance Institutions) Private Sector Development Facility** acts as a risk-sharing mechanism to enable EDFIs to engage with private project developers and other private financiers in energy related projects that provide additionality to their current portfolio. It has a budget of €50 million.

All in all, for the period of 2014-2020, the EU has allocated EUR 3.5 billion in grants to the area of sustainable energy cooperation, with the aim of leveraging further investments of EUR 15-20 billion or more by private and public actors.

#### 4. DRAFT INTERVENTION LOGIC

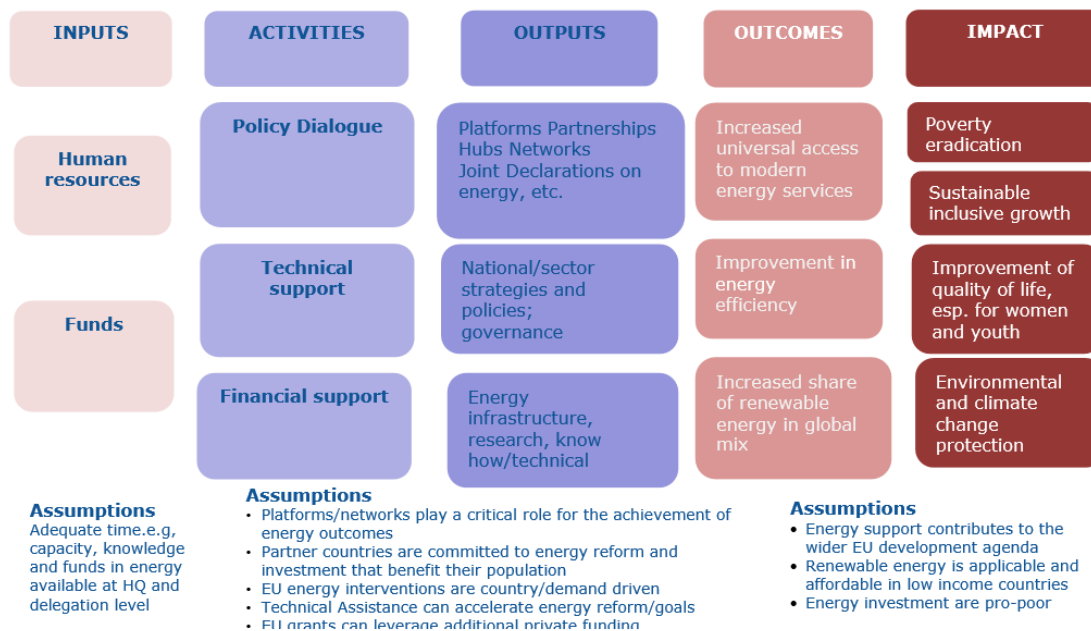
The strategic objectives of EU sustainable energy cooperation have been guided by and aligned to the Sustainable Energy for All initiative's objectives, and can be summarised as follows:

- Increased access to sustainable modern energy services,
- Increased share of renewable energy generation
- Contribute to the climate change agenda by amongst other things, by improving energy efficiency.

The programming and strategic documents do not include an Intervention Logic (IL) of the EU support to sustainable energy in third countries. One of the first tasks for the contractor will therefore be to confirm the overall IL / framework for the evaluation during the inception phase. A draft intervention logic (see graph below) was prepared as guidance in the meantime. The contractor could use it as a starting point for discussion and validation with the main stakeholders, ultimately testing the underlying assumptions, and providing a reconstructed IL.



**DRAFT INTERVENTION LOGIC**  
**EU cooperation on sustainable energy (2011-2016)**



## 5. EVALUATION SCOPE

### 5.1 Legal, temporal and thematic scope

#### 5.1.1 The Legal scope

The legal base for carrying out this evaluation is to be found in Article 12 of the Common Implementing Regulation (CIR)<sup>16</sup> which asks the Commission to “evaluate the impact and effectiveness of its sector policies and actions and the effectiveness of programming, where appropriate by means of independent external evaluations”.

#### 5.1.2 Geographical and temporal scope

The evaluation covers the European Union's development co-operation strategy on sustainable energy and its implementation under the European Development Funds (for the African, Caribbean and Pacific countries - EDF) and the Development Cooperation Instrument (for Asia, Latin America and South Africa - DCI) as well as IntraACP (African - Caribbean - Pacific) and Pan African interventions funded under the ‘geographical’ instruments in Sub Saharan Africa and Asia. To reflect the diversity, variety and impact (or lack thereof) of development initiatives and implementation modalities in various contexts, it is expected that 8 field missions will be organised to look in more depth to specific projects/programmes. These will be selected based on criteria to be defined during the desk phase of the evaluation, giving priority to Sub Saharan Africa (SSA) countries where the energy needs are greatest and the EU fund allocation has been the highest. This evaluation will cover the period 2011 to 2016<sup>17</sup>.

<sup>16</sup> [http://ec.europa.eu/enlargement/pdf/financial\\_assistance/ipa/2014/236-2014\\_cir.pdf](http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf)

<sup>17</sup> The starting date reflects the adoption of the Agenda for Change as well as the launch of the UN led Sustainable Energy for All Initiative

### 5.1.3 Thematic scope

The evaluation will include all the interventions aimed at expanding sustainable energy access, increasing renewable energy generation and energy efficiency at regional, national and local level in partner countries<sup>18</sup>. It will cover EU support channelled through the actions listed in section 3.2.

Interventions funded by the European Commission Humanitarian Office (ECHO) and European Investment Bank (EIB) are not part of the evaluation scope. EU initiatives within Europe on conventional energy projects (non-renewable energy such as: Petroleum, natural gas, coal, nitrogen, uranium) and energy security projects carried out by DG ENER, DG Neighbourhood Policy and Enlargement Negotiations (DG NEAR), DG for Research and Innovation (R&I) and other EU bodies in middle income and developed countries will also not be considered<sup>19</sup>.

The contractor may however decide to consider specific projects and programmes implemented by the above entities to draw lessons and provide model of intervention in support to expanding renewable energy generation, stimulating energy efficiency solutions and innovative research.

Finally, this evaluation does not also cover the EU energy research programmes that may impact African scientific community such as Horizon 2020. However, many of the technologies to be deployed by 2030 do not exist today; the role of research is to produce them. Sub-Saharan participation in Horizon 2020 energy research is very low.

### 5.1.4 Evaluation focus

One of the main objectives of the evaluation will be to assess the results obtained through sustainable development interventions at outcome and (their contribution at) impact level. The evaluation should assess the European Union co-operation in particular in those countries where energy is a focal sector or have specific dialogue around energy particularly in Sub Saharan Africa (see Table 1). It will identify and describe cases and circumstances where EU finding has been instrumental to unlock other potential and really make a difference regarding the objectives as well as cases where this it did not happen. In particular it will consider these aspects:

- **Ownership:** To what extent are beneficiaries, public sector (national/regional governments) or private sector (Banks, etc.) have been/are being involved in identification, formulation and implementation of sustainable energy activities
- **Policy leveraging:** to what extent EU political and policy dialogue have resulted in increased commitment and improved policy environment of recipient countries resulting in appropriate and sustainable support in the energy sector. This evaluation will assess the internal and external factors that affect policy dialogue in the framework of sustainable energy cooperation. Policy dialogue in terms of processes; appropriate allocation, configuration of resources, skills & capacities, ownership and sharing principles and in terms of outcomes will be measured. Identification of strengths and weaknesses of policy dialogue approaches, synergies

<sup>18</sup> The starting date was chosen for two reasons: the launch of the Agenda for Change and of the UN led Sustainability energy for All Initiative.

<sup>19</sup> [http://www.iss.europa.eu/uploads/media/Brief\\_39\\_Energy\\_security.pdf](http://www.iss.europa.eu/uploads/media/Brief_39_Energy_security.pdf)

among the different actors and complementarities with the other modalities will be undertaken.

- **Capacity building:** to what extent various forms of technical support have translated into strengthened and lasting capacities in regional and national institutions in partner countries, including the role played by expertise available in EU Delegation and HQ;
- **Aid mix:** to what extent the various aid instruments utilized to support the energy agenda have been cost-effectives and efficient in achieving the intended objectives

The contractor should also consider whether the following cross-cutting<sup>20</sup> issues of Gender, Environment sustainability, Social impact, good governance and regional integration were taken into account in the programming documents and the extent to which they have been reflected in the implementation modalities.

The evaluation will be based on the criteria defined in the Better Regulation guidelines<sup>21</sup> (relevance, effectiveness, efficiency coherence/coordination and EU added value) and complemented by additional OECD-Development Assistance Committee criteria – sustainability and impact as well as visibility.

The following non-exhaustive list highlights key issues under each evaluation criteria. The contractor will have to refine it and it will be validated during the inception phase of the evaluation.

- a. **Relevance:** To what extent the EU sustainable energy cooperation responded and is responding to the evolving energy needs of partners in developing countries? This should include a review of the ways the EU cooperation responded and adapted to institutional, economic and social changes affecting the demand for energy generation, the expansion in access to sustainable energy source and energy services, and their governance<sup>22</sup>.
- b. **Effectiveness:** To what extent has the EU's sustainable energy cooperation delivered against its international commitments of contributing to increased access to modern energy services, doubling the rate of improvement of energy efficiency and doubling the rate of renewable energy production? This will include a review of the determining factors/key actions that influence the achievement (or non-achievement) at local, national, regional level (at policy, institutional and financial level) against set targets and commitments. When doing so, a key element will be to assess the roles, skills and incentive structures of key stakeholders in EU Delegations, financing organisations and partner countries as well as their ability to coordinate and complement each other.
- c. **Efficiency:** Main questions to be addressed are **how the inputs (human resources and funds) were and are being allocated and used in order to achieve the outputs and whether these are/were used in the most cost effective way.**

<sup>20</sup> Cross-cutting issues are those of the European Consensus on Development (Article 101)

<sup>21</sup> [http://ec.europa.eu/smart-regulation/guidelines/toc\\_guide\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm)

<sup>22</sup> The evaluation will verify that EU is aligned to key international commitments (such as those of the 2030 Agenda for Sustainable Development, the Addis Ababa Action Agenda, Paris Agreement and the Sustainable Energy for All (SE4All) 2011 framework.

Attention should be placed on the adequacy of key instruments (TAF, ITF/AIF, etc) and implementation modalities (budget support, grants, blending) in achieving the main stated objectives.

- d. *Coherence and coordination*: Verify **to what extent EU interventions in sustainable energy cooperation complement each other, are catalytic and coherent with wider EU policies**; attention to be placed on the coherence, complementarity and coordination of EU interventions with those of the EIB and other international actors<sup>23</sup>.
- e. *EU added value*: **to what extent the EU Sustainable energy interventions added value and benefits** in comparison to other agents operating in the energy sector, focusing on Member States.
- f. *Visibility*: **To what extent EU interventions have been visible**.
- g. *Sustainability*: **To what extent the EU sustainable energy cooperation has contributed to increased ownership, countries' sustainable energy development and long term capability of partner countries**; attention should be placed also on assessing whether EU interventions are replicable and viable in all regions/contexts.
- h. *Impact*: **To what extent EU sustainable energy cooperation (both at policy and implementation level) has translated into** reduced poverty, improved inclusive growth, improved quality of life (especially for women and in rural areas), increased protection of the environment and climate changes in partner countries and internationally.

The evaluation will make use of the evidence provided by past and incoming evaluations and studies (see Annex1), to avoid duplicating the work already done and verify if and how agreed recommendations have been implemented so far. Therefore the evaluation must build on what is already known, and strengthen the evidence base in relation to the effectiveness of sustainable energy interventions.

The contractor will have to clarify the tools and methodology to be utilised to undertake this evaluation, which will, amongst others, include interviews, focus group, questionnaires, surveys, field visits, etc.

## 6. RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION

The EuropAid Evaluation Unit (DG DEVCO 04) is responsible for the management and the supervision of the evaluation. The progress of the evaluation will be followed closely by a Steering group (SG) consisting of: representatives of relevant services in the Commission (DG NEAR, DG ENER, DG RTD, JRC, the Secretariat-General) and EEAS, as well as, the EIB and KfW, under the Evaluation Unit's chairmanship, in close collaboration with the thematic unit C6 'Sustainable energy and Climate change'<sup>24</sup>.

<sup>23</sup> This will include other energy related development strategies and EU policies, notably the external dimension of the Energy Union; the energy objectives of the Joint Africa-EU Strategy (JAES) framework and its Africa EU Energy Partnership (AEEP). <sup>24</sup> These stakeholders were identified based on their involvement, knowledge and interest in the evaluation's thematic areas : EU sustainable energy cooperation in developing countries

<sup>24</sup> These stakeholders were identified based on their involvement, knowledge and interest in the evaluation's thematic areas: EU sustainable energy cooperation in developing countries.

Its principal functions will be to:

- discuss draft reports produced by the evaluation team;
- ensure the evaluation team has access to and consults all information sources and documentation on activities undertaken;
- discuss and comment on the quality of work done by the evaluation team;
- provide feedback on the findings, conclusions and recommendations of the evaluation.

The SG communicates with the evaluation team via the Evaluation manager.

All meetings with the SG will be attended at least by the team leader and at least one other expert, member of the evaluation team. For all meetings (briefing meeting and SG meetings), the contractor shall prepare draft meetings minutes to be revised, distributed and approved by the Evaluation manager in consultation with the SG participants.

#### 7. PROCESS AND DELIVERABLES

The overall guidance to be used is available on the web page of the DG DEVCO Evaluation Unit under the following address:

[http://capacity4dev.ec.europa.eu/evaluation\\_guidelines/](http://capacity4dev.ec.europa.eu/evaluation_guidelines/)

The basic approach to the assignment consists of three *main phases*, which encompasses several stages. *Deliverables* in the form of reports<sup>25</sup> and slide presentations should be submitted at the end of the corresponding stages. The table below summarises the stages:

EVALUATION STAGES	METHODOLOGICAL STEPS	DELIVERABLES
<u>Kick off meeting</u>	<input type="checkbox"/> Evaluation approach will be examined	<input type="checkbox"/> <i>Minutes of the meeting</i>
<u>Desk phase</u>	<ul style="list-style-type: none"> <li>• Inception: Structuring of the evaluation (evaluation design, data collection &amp; analysis mapping, evaluation questions, judgement criteria, indicators)</li> <li>• proposed criteria for selection of field missions</li> </ul>	<input type="checkbox"/> <i>Inception report and Slide presentation</i>
	<ul style="list-style-type: none"> <li>• Data collection &amp; analysis</li> <li>• First tentative answers to the evaluation questions</li> <li>• Detailed approach and tools for the Field phase</li> </ul>	<input type="checkbox"/> <i>Desk report and Slide presentation</i>
<u>Field phase</u>	<ul style="list-style-type: none"> <li>• Data collection and Verification of Hypotheses</li> <li>• List of project/programmes</li> <li>• Preliminary findings</li> </ul>	<input type="checkbox"/> <i>Slide presentation + case study notes -</i>
<u>Synthesis phase</u>	<ul style="list-style-type: none"> <li>• Analysis</li> <li>• Judgements and conclusions</li> <li>• Recommendations</li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Draft final report</i></li> <li>➤ <i>Slide presentation adapted</i></li> <li><input type="checkbox"/> <i>Final report</i></li> <li>➤ <i>Seminar + minutes of the seminar</i></li> </ul>

<sup>25</sup> For each Report a draft version is to be presented. For all reports, the contractor may either accept or reject through a *response sheet* the comments provided by the Evaluation manager. In case of rejection, the contractor must justify (in writing) the reasons for rejection. When the comment is accepted, a reference to the text in the report (where the relevant change has been made) has to be included in the response sheet.

All reports will be written in *English*. The reports must be written in Arial or Times New Roman minimum 11 and 12 respectively, single spacing. Inception, Desk and Draft Final reports will be delivered electronically. The Final report will also be delivered in hard copies. The executive summary (5 pages maximum in EN and FR) and the cover page photo<sup>26</sup> (free of any copyright, free of charge) will be delivered separately in electronic form. The electronic versions of all documents need to be delivered in both editable and not editable format.

This executive summary should be in a reader-friendly (for the unfamiliar reader) stand-alone document. Thus, a journalistic style should be applied, providing the full picture of the evaluation, and any technical terminology and jargon should either be adapted or explained.

The assignment will start with the Evaluation team's mission to Brussels for a briefing session/meeting with SG (**kick-off meeting**). The overall objective of the kick off meeting is to arrive at a clear understanding of what is required by the contracting authority. The evaluation approach and process, including the scope and the work programme will be discussed. Objectives and requirements stated in the ToR and in the technical proposal will be examined. Availability and quality of existing data will be shared among the members of the SG. Reaching a consensus on the scope and nature of the evaluation, as well as gathering information & concerns is the outcome of the kick off meeting.

For all meetings (briefing meeting and SG meetings), the contractor shall prepare draft meetings minutes to be revised, distributed and approved by the Evaluation manager after all SG participants have reviewed them.

The team leader (TL) will present the added value of each member of the team of experts.

### **7.1 The desk phase**

The desk phase comprises two components: the Inception stage covering a presentation and the delivery of the *Inception report* and a second stage which ends with the production of the *Desk report*.

The purpose of the inception phase is the structuring of the evaluation and consists of:

- a preliminary desk-based review of documentation, the acquisition of the available documentation and the identification of the information gaps
- Reconstruction of the Intervention Logic, identification of the Evaluation Questions (EQs), Judgement Criteria (JCs) and indicators.
- Identification of the methodology for the remaining phases.

Following the kick off meeting, the contractor should take the opportunity for the evaluation team to organise a number of bilateral meetings with relevant services and contacts in preparation of the Inception Phase, including discussion around the IL and EQ (about 3 days). At the end of this initial consultation, the contractor will deliver a draft Inception report, clearly demonstrating what will be evaluated and how, with evidence of sound evaluation methods. More information on the main principles for drafting evaluation questions, on the evaluation criteria and key issues can be found in the annexes 5 and 6.

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<sup>26</sup> Abiding to the EU / DEVCO requirements regarding Charter on Communication and visibility

### 7.1.1 The Inception report

As a minimum, the Inception Report should contain the following elements:

- An analysis of the context, understanding and the evolution of EU sustainable energy cooperation, within the Commission, in the wider context of EU and internationally during the evaluation period
- Refined intervention logic (IL) of the EU approach to EU sustainable energy cooperation from the draft IL included in this ToR. This should include both a narrative and a diagram which captures key aspects.
  - An inventory of the inputs and activities provided by DEVCO and other actors, and a mapping of initiatives subject to EU sustainable energy cooperation during the evaluation period, including an **inventory** of EU financial contributions tackling the issues of increased access to modern energy services, doubling the rate of improvement of energy efficiency and doubling the rate of renewable energy in the global mix
- Evaluation questions (EQs), judgement criteria and preliminary quantitative and qualitative indicators.
- A preliminary consultation Strategy & formulation of the stakeholder analysis - Identification of who will be consulted on what, when and why.
- A proposal for the countries to be visited, based on selection criteria
- A proposal for information/data to be collected, and critically its sources and availability and how these are linked to each Evaluation Question. The proposed method for collecting the data, and methods of analysis for each evaluation question should be described, and why the respective methods have been chosen. Limitations must be clearly identified as well as the potential impact they may have on the findings of the evaluation.
- A list of activities/ interventions to be specifically examined during the second phase of the evaluation ‘‘ desk phase’’ with justification.
- A detailed work plan

If necessary, the report will also suggest modifications to the composition of the evaluation team and/or to the work plan and schedule.

The Inception report must provide **a strong grasp of what is to be evaluated, how the experts are going to evaluate** and **why** they have made the choices they have. The report should be of 40 maximum pages plus Annexes.

After submitting the draft inception report the Team leader and the key experts will come to Brussels for one day to present to the members of SG the draft Inception report via a slide presentation, so as to validate:

- The Intervention Logic diagram;
- The evaluation questions, their justification and judgment criteria; the proposed methodological approach on how to conduct the evaluation, gather data and address the EQs;
- The work plan for the next phases.

The contractor will submit a revised Inception report taking into account the comments formulated by the SG in the meeting and in writing. The evaluation unit will be responsible for the approval of the Inception report when it is deemed to be of good quality.

In the framework of this meeting, the contactor is urged to organize bilateral meetings with the key SG members and other stakeholders based in Brussels to optimise use of time and resources.

### 7.1.2 The Desk report

Upon approval of the Inception report, the contractor will carry out the last stage of the desk phase and will prepare and present a **Desk report** which should include at least the following elements:

- A first analysis of the results of the documentary process
- An assessment of the outputs delivered or planned to be delivered through EU sustainable energy cooperation activities
- The agreed evaluation questions (maximum 10) with judgment criteria and their corresponding quantitative and qualitative indicators.
- The hypotheses and assumptions to be tested in the field phase
- The progress of the targeted consultation eg organizing interviews, surveys with the stakeholders
- A detailed work plan for the field phase (inclusive of a methodological design for data collection, analysis and tools including any limitations).

The report should be of 50 maximum pages plus Annexes.

The contractor will present the Desk report though a slide presentation (to be submitted three days in advance of the SG meeting to the evaluation manager) with the SG members in a half day meeting in Brussels. Then the final desk report incorporating the feedback from the meeting will be submitted. This meeting in Brussels could be taken as an opportunity for the evaluation team to consult the relevant services and stakeholders based in Brussels.

### 7.2 Field phase

The fieldwork shall be undertaken on the basis outlined and agreed by the SG in the Desk report. The work plan and schedule of the mission will be agreed two weeks before the start of the mission. The field missions cannot start without the approval of the Evaluation manager.

In case of substantial changes from the agreed plan (duration, number of experts, category etc.), an approval from the contracting Authority is required.

The duration of each of these missions should be of no less than 5 working days on the spot and include at least 2 experts. During this phase the evidence must be enriched, testing of hypotheses must be done and the completion of interviews, surveys etc must take place. The evaluation team should also make sure that required targeted consultations take place at this stage with relevant stakeholders.

The evaluation team is expected to visit at least 8 countries giving priority to countries in Sub Saharan Africa. The countries to be visited will be determined during the desk phase in accordance with the agreed criteria. The projects to be visited will be selected during the desk phase in accordance with the agreed criteria. For each mission a country note (maximum 5 pages) will be produced by the evaluation team summarizing the findings of



the respective mission, the project visited, the people met and the relevant consulted documentation.

During the field visit, the Consultants will provide a briefing and debriefing with HOC and relevant staff. The consultant will also present a synthesis of the work undertaken in the field and the findings to the SG in Brussels with the support of a slide presentation (half-day meeting). This meeting will end with an agreement on the last phases of the evaluation. This meeting in Brussels could be taken as an opportunity to meet relevant services and stakeholders in the framework of this Evaluation

### **7.3 Synthesis phase and final report**

The Draft Final Report with a 5 page executive summary written in English will be presented to the SG and possibly a broader interested audience in Brussels in a half a day meeting. The findings in the report should be evidence-based, the analysis should be thorough and the links between findings, conclusions and recommendations clear and logical. The recommendations (not more than 10 in number) should be presented in a logical structure following on their importance and level of details.

SG members will send their comments to the Evaluation Manager who will send the consolidated comments to the contractor. The comments should be taken into consideration without compromising the independence of the evaluation judgments. The evaluation team may either accept or reject the comments, but in the case of their rejection the team must justify (in writing) the reasons for this rejection (if necessary, the comments and the responses can be annexed to the report).

Then the contractor will submit the Final Report, a five page Executive Summary (the latter in EN and FR). Please note the main report should be no longer than 50 pages plus Annexes.

The Final Report must be approved by the Evaluation Manager before printing. In view of its publication, the final report must be of high editorial quality. In cases where the contractor does not manage to produce a final report of high editorial quality within the timeframe defined by the contract, the contracting authority can decide to have the final report professionally deducting these costs from the final payment. The contractor will have to provide 50 hard copies and 2 USB keys of the Final main report with annexes. The Evaluation Manager will indicate in due time exactly how many copies and USB keys are to be sent to the DEVCO Evaluation Unit and how many to be delivered at the place of the Dissemination Seminar. The report will be judged according to the criteria included in the quality assessment grid in Annex 4.

### **7.4 The Dissemination phase**

A dissemination seminar will be organised in Brussels on the basis of the Final Report. The purpose of the seminar is to present the findings, the conclusions and the recommendations of the evaluation to all the main stakeholders and to specifically promote the active use of the evaluation findings not only internally (EU institution) but also to various public institutions/donors (EU Member States, key donors, partner countries etc, private actors, financial intermediaries and civil society. The dissemination seminar logistics (room rental, catering etc.) costs are not to be included in the offer. Other seminars and/or dissemination activities (such as presentation at Info Point) may be requested by the Contracting authority. In case of financial implications on the total contractual amount, such request (requests) will be formalized via a rider. For achieving a

more effective dissemination, the contractor will produce a dissemination plan as part of the Inception report suggesting different ways of dissemination of the evaluation findings.

## 8. THE EVALUATION TEAM

The evaluation team as such is expected to possess expertise in:

- **evaluation methods and techniques** in general and, if possible, of evaluation in the field of external relations and development cooperation. It is highly desirable that at least the Team leader is fully familiar with the Commission's methodological approach (cf. EuropAid Evaluation Unit's website: [http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm));
- previous relevant expertise **in sustainable energy** in the context of development cooperation; **energy financing (including blending with private sector)**, and **capacity building**.
- Additional relevant expertise is also required in the following fields: **social development and gender, environment, governance**, private sector development and regional integration.
  - the working knowledge of the following language(s): **English** and French.

The key skills are indicated **in bold**.

It is expected that the Team leader will be an expert of category Senior.

The offer should clearly state the category of each team member and which tasks the proposed team members are supposed to take responsibility for and how their qualifications relate to the tasks (if this is not self-evident from their profile). A breakdown of working days per expert must also be provided.

The team members must be independent from the programmes/projects/policies evaluated. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the Evaluation manager for further analysis and appropriate measures.

The team will have excellent writing and editing skills. The Contractor remains fully responsible for the quality of the report. Any report which does not meet the required quality will be rejected.

During the offers evaluation process the contracting authority reserves the right to interview by phone one or several members of the evaluation teams proposed.

The Framework Contractor must make available an appropriate logistical support for the experts, including their travel and accommodation arrangements for each assignment, the secretarial support, appropriate software and communication means. The experts will be equipped with the standard equipment, such as an individual laptop, computer, mobile phones, etc. No additional cost for these items.

## 9. TIMING

The project implementation is due to start not later than beginning of March to allow the contractor to identify the best possible team. The expected duration is of 12 (twelve)

months. As part of the technical offer, the framework contractor must fill-in the timetable in the Annex 2. This table shall not start by a precise date but by "day/week 1".

#### **10. OFFER FOR THE ASSIGNMENT**

The total length of the technical offer (excluding annexes) may not exceed 15 pages; a CV may not exceed 4 pages. References and data relevant to the assignment must be highlighted in bold (font minimum Times New Roman 12 or Arial, 11).

The financial offer will be itemised to allow the verification of the fees compliance with the Framework contract terms.

Offers shall be submitted within the deadline exclusively to this functional mailbox: [EuropeAid-DIR-R-CRIS-FWC-OFFERS@ec.europa.eu](mailto:EuropeAid-DIR-R-CRIS-FWC-OFFERS@ec.europa.eu).

#### **11. TECHNICAL OFFERS EVALUATION CRITERIA**

The selection criteria and their respective weights are:

	Maximum
Total score for Organisation and methodology	40
Organization of tasks including timing	15
Evaluation approach, working method, analysis, tools	25
Experts/ Expertise	60
Team leader	25
Other experts	35
Overall total score	100

#### **12. ANNEXES**

The contracting authority reserves the right to modify the annexes during the FWC implementation.

### **ANNEXES**

#### **ANNEX 1: INDICATIVE DOCUMENTATION TO BE CONSULTED FOR THE PURPOSE OF THE EVALUATION BY THE SELECTED CONTRACTOR**

##### **Initial list of sources & documents (not exhaustive)**

1. The note for the Attention of Heads of the EU Delegations "ENERGY COOPERATION – POLICY
2. IMPLEMENTATION EU FUNDED SUSTAINABLE ENERGY FOR ALL ACTIVITIES Ares (2013) 4002190
3. The note to Directors in DG DEVCO and to the Heads of the EU Delegations in Developing Countries covered by the DCI and EDF Financing Instruments and its annexes
4. Stocktaking study on the EC cooperation on Energy – Final Report by Framework Contract Commission 2011EUROPEAID/129783/C/SER/multi
5. Progress Reports of the Technical Assistance for the Sustainable Energy for ASS – West & Central Africa – EuropeAid
6. The following tables with statistical data:
  - a. Table 1 of strategy - Simplified methodology to approximate impact of EU development cooperation in the energy sector on the "3 big bets"
  - b. Table 2 - State of country programmes and forecast of energy sector results for 2014-2020
  - c. Table 3 : State of play of allocated and non-allocated funds in SS Africa- data of June 2016
7. SUSTAINABLE ENERGY FOR ALL - STRATEGIC FRAMEWORK FOR RESULTS, GOING FURTHER,
  - a. FASTER - TOGETHER June 2016
8. Data in SEforALL's Global Tracking Framework (GTF), developed by a coalition led by the IEA and World Bank Group. The Global Tracking Framework 2015 & 2013 reports are a valuable source of evidence
9. Fifteen joint declarations combined with excel files containing statistical data in this field.
10. MEPS
11. **Reports from member countries** that fall in the scope of this evaluation such as '*Access to Energy* in
  - a. *Rwanda Impact evaluation of activities'* supported by the Dutch Promoting Renewable Energy Programme
  - b. Ministry of Foreign Affairs, the Netherlands
12. Reports – for ELECTRIFI (the call of interest is closed)
13. Communications from the Commission such as COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE Mid-term evaluation of the first call for proposal of the energy facility under the 9th EDF Service Contract No. 2011/262078/2 Framework Contract Commission 2011 - EUROPEAID/129783/C/SER/multi
14. Study Sustainable Energy Initiative Phase I Strategic Review June 2011
15. EVALUATION OF EC SUPPORT TO PARTNER COUNTRIES IN THE AREA OF ENERGY – European commission 2008

16. Strategic evaluation of the EU cooperation with Nepal (2002-2010) by EC
17. Strategic evaluation of the EU cooperation with Liberia (1999-2008) by EC
18. Strategic evaluation of the EU cooperation with Ukraine (2002-2009) by EC
19. Strategic evaluation of the EU cooperation with ASEAN Region (2000-2007) by EC
20. EU support to partner countries in the area of energy (1996-2006) by EC
21. Thematic evaluation of the EU support to environment and climate change in third countries (2007/2013)
22. EU evaluation on BLENDING 2016 (*forthcoming*)
23. Working documents such as the JOINT STAFF WORKING DOCUMENT {SWD(2016) 260}  
Evaluation of the Cotonou Partnership Agreement

### **Reports & Evaluations by various Organisms - Institutions apart from EC**

24. Performance evaluation report: Pakistan: Energy Sector - Restructuring Program
25. OECD - Access to Energy in Rwanda Impact evaluation of activities supported by the Dutch Promoting Renewable Energy Programme
26. The African Development Bank: Ready to Face the Challenges of a Changing Africa?
27. Phase Two Evaluation of the Implementation of the Paris Declaration and Accra Agenda for Action in South Africa :Final Country Evaluation Report February 2011, WYG International Limited
28. Energy Sector in the Greater Mekong Subregion by the Asian development bank
29. Management response to the evaluation of the role and contribution of UNDP in the environment and energy\* UN 2008
30. European Court of Auditors, The Special Report ACP–EU Energy Facility support for renewable energy in East Africa (2015) by
31. Annual Report 2015 on EIB activity in Africa, the Caribbean and Pacific, and the overseas territories
32. Audit reports such as the performance audit task concerning the ACP EU Energy Facility Support for renewable Energy in East Africa by the EUROPEAN COURT OF AUDITORS - Audit Task 14 fed 233, October 2014
33. European Court of Auditors Special Report No 14/2015: The ACP Investment Facility: does it provide added value?

### **Research papers**

34. Impacts of Rural Electrification Revisited: The African Context, J.PETERS, M. SIEVERT, December 2015

### **Additional documentation should be found, looking at:**

- Communications of the European Union; and □ Various regulations.
- CRIS<sup>27</sup> (information on the projects), ROM reports<sup>28</sup> and other databases concerning the financed projects, engagements, payments, etc.;

<sup>27</sup> Common RELEX Information System

<sup>28</sup> Results Oriented Monitoring

- EU Cooperation strategies;
- Key government planning and policy documents;
- Projects evaluation reports;
- Relevant documentation provided by the local authorities and other local partners, etc.;
- Other donors and OECD/DAC documentation.

The following will to be provided to the selected contractor:

- Access to the information contained in the ROM system for an evaluation;
- Template for the cover page.

## ANNEX 2 :TIMING

Columns 1, 2 and 4 of the table below (*Evaluation Phases and Stages; Notes and Reports; and*

*Meetings/Communications*), are to be filled in by the evaluation manager based on the content of chapter 7 of these Terms of Reference.

Column 3 (*Dates*) of the table below is to be filled by the contractors and submitted as part of their technical offer

<i>Evaluation phases and stages</i>	<i>Notes and reports</i>	<i>Date</i>	<i>Meetings/Communications</i>
<b>1. Desk phase</b>			
<i>Kick off meeting</i>			<i>Meeting with SG in Brussels.</i>
<i>Preparation, Submission and Review of Inception reports</i>	<i>Draft Final reports (various versions) and Power point presentation Draft SG minutes</i>		<i>Submission of Draft report to 04 Submission of Power point to 04 Meeting with SG in Brussels.</i>
<i>Finalisation of final inception report</i>	<i>Final Inception report</i>		<i>Approval of Inception report</i>
<i>Preparation, Submission and Review of Preparation of Desk reports</i>	<i>Draft Desk report Power point presentation Draft SG minutes</i>		<i>Submission of Draft report to 04 Submission of Power point to 04 Meeting with SG in Brussels.</i>
<i>Finalisation of final desk report</i>	<i>Desk report</i>		<i>Approval of Desk report</i>
<b>2. Field phase</b>			

<i>Field visits in 8 countries (minimum 5 working days each)</i>	<i>Field visit plan Country notes</i>		<i>Submission of visit plan to 04 Interviews etc with relevant stakeholders in Europe and overseas Briefing and debriefing with EU Delegations</i>
<i>Presentation of the main findings.</i>	<i>Power point presentation Draft SG minutes</i>		<i>Submission of PPP to 04 Meeting with ISG in Brussels.</i>
<b>3. Synthesis phase</b>			
<i>Preparation, Submission and Review draft final reports</i>	<i>Draft final report+ annexes (various versions) Executive summary Power point presentation Draft SG minutes</i>		<i>Submission of Draft Final report to 04 Submission of Power point to 04 Meeting with SG in Brussels SG comments consolidated and sent by 04</i>
<b><i>Evaluation phases and stages</i></b>	<b><i>Notes and reports</i></b>	<b><i>Date</i></b>	<b><i>Meetings/Communications</i></b>
<i>Submission of final report</i>	<i>Draft final report Executive summary in EN and FR Annexes</i>		<i>Draft Final report Approval of draft final report</i>
<b>4. Dissemination phase</b>			
<i>Dissemination/discussion seminar in Brussels</i>	<i>Power point presentation and discussion.</i>		<i>Dissemination seminar Brussels</i>
<i>Final report delivery</i>	<i>Final report revised with Executive summary (5 pages) in EN and FR, and minutes of the Seminar</i>		

**ANNEX 3: OVERALL STRUCTURE OF THE FINAL REPORT**

The overall layout of the **Final report** is:

- An executive summary maximum 5 pages (1);
- Context of the evaluation and methodology;
- Evaluation questions and their answers (findings);

- Conclusions (2); and □ Recommendations (3).

Length: the final main report may not exceed 50 pages excluding annexes and the executive and additional summaries. Each annex must be referenced in the main text. Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

The evaluation matrix must be included in the annexes. It must summarise the important responses at indicator/ judgement criteria level. Each response must be clearly linked to the supporting evidence. The matrix must also include an assessment of the quality of evidence for each significant finding. The table below presents an example of how the quality of evidence may be ranked. This is purely indicative. The contractor should present a specific approach for assessing the quality of evidence.

Ranking of Evidence	Explanation of ranking of quality of evidence
<i>Strong</i>	The finding is consistently supported by a range of evidence sources, including documentary sources, quantitative analysis and qualitative evidence (i.e. there is very good triangulation); or the evidence sources, while not comprehensive, are of high quality and reliable to draw a conclusion (e.g. strong quantitative evidence with adequate sample sizes and no major data quality or reliability issues; or a wide range of reliable qualitative sources, across which there is good triangulation).
<i>More than satisfactory</i>	There are at least two different sources of evidence with good triangulation, but the coverage of the evidence is not complete.
<i>Indicative but not conclusive</i>	There is only one evidence source of good quality, and no triangulation with their sources of evidence.
<i>Weak</i>	There is no triangulation and / or evidence is limited to a single source.

Source: ITAD, 2014

#### (1) A executive summary (maximum 5 pages)

The summary of the evaluation report may not exceed 5 pages (3.000 words). It should be structured as follows:

- a) 1 paragraph explaining the objectives and the challenges of the evaluation;
- b) 1 paragraph explaining the context in which the evaluation takes place;
- c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the number of projects visited, number of interviews completed, number of questionnaires sent, number of focus groups conducted, etc.);
- d) The general conclusions related to sectorial and transversal issues on one hand, and the overarching conclusion(s) (for example on poverty reduction) on the other hand;
- e) A limited number of main conclusions should be listed and classified in order of importance; and
- f) A limited number of main recommendations should be listed according to their importance and priority. The recommendations have to be linked to the main conclusions.



The chapters on conclusions and recommendations should be drafted taking the following issues into consideration:

### (2) Conclusions

- The conclusions will be assembled by homogeneous "clusters" (groups).
- The general conclusions related to sectorial and transversal issues and the overarching conclusion(s) (for example on poverty reduction).
- Specific conclusions will focus the evaluation criteria on relevance, effectiveness, efficiency, added value, complementarity, coherence, sustainability and impact.
- The chapter on conclusions must enable to identify lessons learnt, both positive and negative.

### (3) Recommendations

- Recommendations should be substantiated by the conclusions.
- Recommendations have to be grouped in clusters (groups) and presented in order of importance and priority within these clusters.
- Recommendations have to be realistic and operational.
- The possible conditions of implementation (who? when? how?) have to be specified and key steps/action points should be detailed when possible.

### **Annexes (non-exhaustive)**

- National background;
- Methodological approach;
- Evaluation matrix;
- Monograph, case studies;
- List of documents consulted;
- List of institutions and persons met;
- People interviewed;
- Results of the focus group, expert panel etc.;
- Slide presentations in the country/regional seminar and the seminar minutes; –  
All data bases constructed for the purpose of the evaluation.

### **EDITING**

The Final report must:

- be consistent, concise, without redundancies and clear;
- be well balanced between argumentation, tables and graphs;
- be free of linguistic errors;
- include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
- contain an executive summary of maximum 5 pages (in EN and FR) as well as a 2 page summary
- be typed in single spacing and printed double sided, in A4 format.

- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout).
- Reports must be glued or stapled; plastic spirals are not acceptable.
- The contractor is responsible for the quality of translations and their conformity with the original text.

## ANNEX 4 : QUALITY ASSESSMENT GRID

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
<b>1. Meeting needs:</b> Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
<b>2. Relevant scope:</b> Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
<b>3. Defensible design:</b> Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
<b>4. Reliable data:</b> To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?					
<b>5. Sound data analysis:</b> Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
<b>6. Credible findings:</b> Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
<b>7. Validity of the conclusions:</b> Does the report provide clear conclusions? Are conclusions based on credible results?					
<b>8. Usefulness of the recommendations:</b> Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
<b>9. Clearly reported:</b> Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					

<b>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</b>				
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## ANNEX 5: EVALUATION CRITERIA AND KEY ISSUES

(1) Definitions of the **five OECD-DAC evaluation criteria** can be found at the following address:

<http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/daccriteriaforevaluationdevelopmentasistance.htm>

(2) **Relevance:** the extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed.<sup>29</sup>

(3) **"Coherence"** is used in two different contexts: as an evaluation criterion and as part of the 3Cs (key issues).

i. The definitions of coherence as evaluation criteria:

**Coherence**<sup>30</sup>: the extent to which the intervention logic is not contradictory/the intervention does not contradict other intervention with similar objectives

ii. *Provisions regarding the 3Cs (key issues):*

Development cooperation is a shared competence between the European Community and the Member States. The EU competence on development cooperation was established in law by the adoption of the Maastricht Treaty in 1992. To guide its practical implementation the Maastricht Treaty established three specific requirements: *coordination, complementarity and coherence* – the “*three Cs*”. These commitments are reaffirmed in the “European Consensus for Development”<sup>31</sup>. The legal provisions with regard to the 3Cs remain largely unchanged in the Lisbon Treaty. They offer basic definitions of the various concepts involved as can be seen in the box below.

### Lisbon treaty

*Art. 208 (ex Art. 177 TEC)*

1. "Union policy in the field of development cooperation shall be conducted within the framework of the principles and objectives of the Union's external action. The Union's development cooperation policy and that of the Member States complement and reinforce each other.

<sup>29</sup> Evaluating EU activity - Glossary p.101 (Relevance, p. 108):

[http://ec.europa.eu/dgs/secretariat\\_general/evaluation/docs/eval\\_activities\\_en.pdf](http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf)

While, according to the DAC Glossary the **relevance** is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. The terms '**relevance and coherence**' as European Union's evaluation criteria cover the DAC definition of 'relevance'.

<sup>30</sup> Evaluating EU activity - Glossary p.101 (Coherence: p.102):

[http://ec.europa.eu/dgs/secretariat\\_general/evaluation/docs/eval\\_activities\\_en.pdf](http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf)

<sup>31</sup> (2006/C 46/01)

Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries."

*Art, 210 (ex Art, 180 TEC)*

1. "In order to promote the complementarity and efficiency of their action, the Union shall coordinate their policies on development cooperation and shall consult each other on their aid programmes, including in international organisations and during international conferences. They may undertake joint action. Member States shall contribute if necessary to the implementation of Community aid programmes.

2. The Commission may take any useful initiative to promote the coordination referred to in paragraph 1."

**Coordination:** In EC policy documents the distinction is made between three levels of coordination: (i) policy coordination; (ii) operational coordination and (iii) coordination in international forums.

**Complementarity:** The obligation to ensure complementarity is a logical outcome of the fact that development cooperation is a shared competence between the EC and the Member States. Over time, the concept was linked to a better distribution of roles between the Commission and the Member States on the base of their respective comparative advantages. This interpretation is also the basis for the Code of Conduct on Complementarity (2007) emphasizing the need for a „division of labour“ (DOL) between the various European actors in delivering aid.

**Coherence:** One such typology distinguishes between (i) coherence/incoherence of European development policy itself; (ii) coherence/incoherence with the partner country's/region's policies; and (iii) coherence/incoherence between development cooperation policies and policies in other fields.

- (4) **Value added of the European Union's interventions:** The criterion is closely related to the principle of subsidiarity and relates to the fact that an activity/operation financed/implemented through the Commission should generate a particular benefit.

There are practical elements that illustrate possible aspects of the criterion:

- 1) The European Union has a particular capacity, for example experience in regional integration, above that of EU Member States.
- 2) The European Union has a particular mandate within the framework of the '3Cs' and can draw Member States to a greater joint effort.
- 3) The European Union's cooperation is guided by a common political agenda embracing all EU Member States.

## ANNEX 6: ROAD MAP

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
<b>TITLE OF THE EVALUATION/FC</b>	Evaluation of the EU sustainable energy cooperation (2011-2016)		
<b>LEAD DG – RESPONSIBLE UNIT</b>	DG DEVCO DEVCO UNIT 04 (EVALUATION) DEVCO UNIT C6 (SUSTAINABLE ENERGY AND CLIMATE CHANGE)	<b>DATE OF THIS ROADMAP</b>	November / 2016
<b>TYPE OF EVALUATION</b>	Evaluation Interim	<b>PLANNED START DATE</b>	Q4 2016 Q1 2018
		<b>PLANNED COMPLETION DATE</b>	
		<b>PLANNING CALENDAR</b>	<a href="http://ec.europa.eu/smartregulation/evaluation/index_en.htm">http://ec.europa.eu/smartregulation/evaluation/index_en.htm</a>
<b>This indicative roadmap is provided for information purposes only and is subject to change.</b>			

A. Purpose
(A.1) Purpose
<p>This evaluation will assess to what extent the European Union sustainable energy cooperation is achieving its intended strategic development objectives, placing emphasis on the relevance, effectiveness, efficiency, sustainability, coherence, added value and impact of EU interventions in countries where relevant development cooperation instruments have been applied between 2011 and 2016. Robust evidence will be gathered to identify key lessons and to produce recommendations as an input to any review of current strategy, policies and approaches and to inform future actions in development cooperation, including the implementation of the forthcoming European External Investment Plan (EIP)<sup>32</sup>, in line with the energy goal of the Agenda 2030 and other international commitments.</p> <p>The generic purpose of this evaluation is to provide the relevant external cooperation services of the European Union, Member States as well as key development banks and the wider public with an overall independent assessment of the EU development cooperation on sustainable energy. It should be noticed that this evaluation only covers the energy actions under the sustainable energy agenda in third countries, and it will not include EU sustainable energy interventions within Europe or other conventional energy projects (non-renewable energy such as: Petroleum, natural gas, coal, nitrogen, uranium) and energy security projects<sup>33</sup>.</p>
(A.2) Justification

<sup>32</sup> COMM (2016) 581 final

<sup>33</sup> [http://www.iss.europa.eu/uploads/media/Brief\\_39\\_Energy\\_security.pdf](http://www.iss.europa.eu/uploads/media/Brief_39_Energy_security.pdf)

The legal base and main justification for carrying out this evaluation can be found in Article 12 of the Common Implementing Regulation (CIR)<sup>34</sup> which asks the Commission to "evaluate the impact and effectiveness of its sector policies and actions and the effectiveness of programming, where appropriate by means of independent external evaluations".

Additional justifications for this evaluation are:

- to gather evidence in relation to the cost efficiency of EU support to sustainable energy to date and guide future use of EUR 3.5 billion in grants planned for 2014-2020 on sustainable energy cooperation as part of the 2014-2020 Financial Framework, in line with Art 30.4 the Financial Regulation and Rules of Application<sup>35</sup>.
- to validate alignment of the EU commitment towards universal access to modern sustainable energy services, improvement in energy efficiency and increase in the share of renewable energy in development countries with the EU political international commitments of the 2030 Agenda for Sustainable Development (in particular Sustainable Development Goal (SDG) n. 7 'universal access to affordable, reliable and sustainable energy for all' by 2030 and contributing to SGD n. 13 on Climate action)<sup>36</sup>, which endorse the Addis Ababa Action Agenda<sup>37</sup>, and build on the Paris Agreement<sup>38</sup> and the Sustainable Energy for All (SE4All) 2011 framework.
- the 2016-2020 work programme for strategic evaluations to be commissioned by the DG DEVCO, which included the evaluation on 'Sustainable Energy for All and rural electrification' (now renamed 'EU Sustainable energy cooperation')<sup>39</sup>.

## B. Content and subject of the evaluation

(B.1) Subject area

**Achieving the universal goals of eradication of poverty, sustainable growth, improvement of quality of life and environmental protection is infeasible when 1.3 billion people are without access to electricity and 2.6 people are without clean cooking facilities and access to modern, affordable, reliable and sustainable energy services. The link between access to energy and development objectives was made for the first time at the World Summit on Sustainable Development in Johannesburg in 2002. This is where the EU and its Member States committed to develop an EU Energy Initiative, followed in 2003 by the Energy Facility<sup>40</sup>. The EU support for sustainable energy in development cooperation during the evaluation timeframe was initially almost entirely in the form of grants (mainly through Calls for proposal) targeted to African Caribbean and Pacific (ACP) countries promoting ownership at national level, and focusing on energy policy and innovative approaches to sustainable provision of affordable energy services.**

In 2011 the United Nations' Secretary General Ban Ki Moon launched the Sustainable Energy for All (SE4All) initiative<sup>41</sup> identifying three critical objectives: ensuring universal access to modern energy services; doubling the share of renewable energy in the global energy mix and doubling the global rate of

<sup>34</sup> [http://ec.europa.eu/enlargement/pdf/financial\\_assistance/ipa/2014/236-2014\\_cir.pdf](http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf)

<sup>35</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:298:0001:0096:EN:PDF>

<sup>36</sup> [http://www.un.org/ga/search/view\\_doc.asp?symbol=A/RES/70/1&Lang=E](http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/70/1&Lang=E)

<sup>37</sup> <http://www.un.org/esa/ffd/ffd3/wp-content/uploads/sites/2/2015/07/Addis-Ababa-Action-Agenda-Draft-Outcome-Document-7July-2015.pdf>

<sup>38</sup> [http://unfccc.int/files/meetings/paris\\_nov\\_2015/application/pdf/paris\\_agreement\\_english\\_.pdf](http://unfccc.int/files/meetings/paris_nov_2015/application/pdf/paris_agreement_english_.pdf)

<sup>39</sup> [https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies\\_en](https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies_en)

<sup>40</sup> To facilitate coordination, optimize the flow of information, and to push forward the energy and development agenda within the EU, in 2002 the **EU Energy Initiative (EUEI)** was established as an informal coordination mechanism between the EU and the EU Member States. For more info see: <http://capacity4dev.ec.europa.eu/euei/minisite/about-euei>

<sup>41</sup> For more information see: <http://se4all.org/>

improvement in energy efficiency by 2030. Then Commission's President Barroso during the SE4All summit in 2012 pledged to helping developing countries access sustainable energy services for 500 million people by 2030. Such target was in line with the EU development policy 'Agenda for Change' (2011)<sup>42</sup> which identified 'access to secure, affordable, clean and sustainable energy services' as one of the key drivers for inclusive growth. In the meantime, the EU has embarked on a number of policy initiatives, technical assistance, capacity building activities, and innovative funding initiatives to support and expand investments in sustainable and renewable energy, with a special focus on Sub Saharan Africa (SSA) where around 70% of the population do not have access to modern energy services. Through the use of several complementary funding instruments the EU is helping developing countries to secure access to modern, affordable and reliable energy services, in order to meet the basic needs of daily life, accelerate economic growth and improve the livelihoods of their people. These instruments provide targeted funding by combining geographical and thematic instruments and developing blending mechanisms.

The EU has already put in place over EUR 2 billion of financing assistance and infrastructure for energy (between 2005 and 2011). Since 2011, the EU has invested through the Energy Facility more than EUR 0.79 billion in sustainable energy, increasing access to energy services, research and national attention on renewable energy and supporting innovation towards more energy efficiency. In addition, in the period 2014-2020 the EU allocated instruments and funding amount to EUR 3.5 billion of grants to the sector of sustainable energy overall.

#### (B.2) Original objectives of the intervention

The strategic objectives of EU sustainable energy cooperation based on the Sustainable Energy for All initiative's objectives, are:

- Expansion in the access to sustainable modern energy services,
- Increase in the share of renewable energy generation
- Contribution to the climate change agenda by amongst other things, improving energy efficiency

#### (B.3) How the objectives were to be achieved

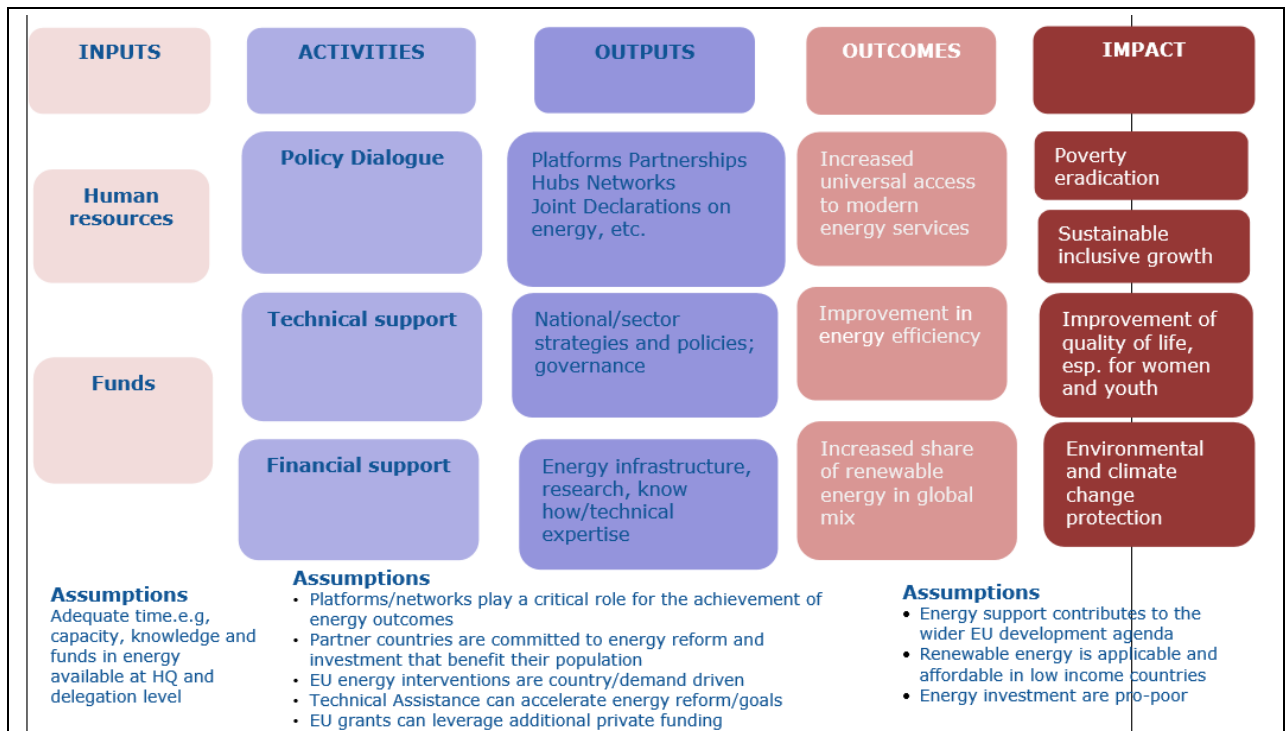
The programmatic documents do not include the intervention logic of the EU sustainable energy intervention. The following intervention logic has been drawn as a basis for further discussion and validation with the main stakeholders.

### **Draft Intervention Logic EU Cooperation on sustainable energy (2011-2016)<sup>43</sup>**

<sup>42</sup> COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>43</sup> National Indicative Programme (NIP), Regional Indicative Programme (RIP), Regional Infrastructure Funds (RIF), European Development Finance Institutions (EDFI), European Investment Bank (EIB), The Global Energy and Renewable Energy Fund (GEEREF), Programme for the Environment and Sustainable Management of natural Resources, including Energy (ENRTP), Technical Assistance Facility (TAF), Capacity Building (CB), Civil Society Organisation (CSO), Africa-EU Renewable Energy Cooperation Programme (RECP), Partnership Dialogue Facility of the EU Energy Initiative (EUEI-PDF), Research and Innovation (R&I)





In view of the above three strategic objectives, two main inputs (human resources and funds) have been used to implement key EU actions to deliver the intended outputs and outcomes through policy planning, technical assistance and financial support, more precisely:

1. **Policy dialogue** with developing countries to promote political ownership and partnerships, conclude agreements/joint declarations, promote the EU role and position in international fora, promote the participation of the private sector, Local Authorities and Civil Society organisations, improve the gender balance and opportunities in access and use of energy for women and youth;
2. **Technical support** to develop local, national and regional energy strategies, help reform legal and administrative systems and build local institutional and technical capacities, thus improving the governance of the energy sector and establishing an enabling environment conducive to sustainable energy investments;
3. **Financial support** mostly in the form of grants to co-finance low scale investments (through Calls for proposals and projects focused on stimulating innovation in renewable energy and energy efficiency) and through innovative financial instruments, leveraging public and private investments, mobilising the private sector and financiers (through blending, as well as budget support).

The evaluation will go through the Intervention Logic to test the main assumptions made and validate the logical chain from inputs to impact.

### C. Scope of the evaluation/FC

(C.1) Topics covered

The evaluation will include all EU sustainable energy actions implemented under the European Development Funds (for the African, Caribbean and Pacific countries - DF) and the Development Cooperation Instrument (for Asia, Latin America and South Africa) in the period between 2011 and 2016, whose objectives were and are aligned to the Sustainable energy for All initiative, namely: expand sustainable energy access, increase renewable energy generation and energy efficiency at both regional, national and local level in partner countries<sup>44</sup>. The following actions will be included: the Technical Assistance Facility, The EU Africa Infrastructure Trust Fund, The Global Energy and Renewable Energy Fund (GEEREF), Programme for the Environment and Sustainable Management of Natural Resources, including Energy (ENRTP); Electrification Financing Initiative (ElectriFI); the national and regional indicative programmes (NIPs and RIPs) as well as IntraACP (African- Caribbean - Pacific) and Pan African interventions funded under the 'geographical' instruments and including financing for sustainable energy development cooperation projects. Finally, there are other actions implemented jointly with the European Investment Bank, other development banks and private stakeholders. The evaluation will not include conventional energy projects (gas and oil) carried out by DG ENER, DG CLIMA and other EU bodies in middle income and developed countries<sup>45</sup>.

It will cover all geographic regions mentioned above, with emphasis on Sub Saharan Africa (SSA), where the energy needs are greatest and the EU fund allocation has been the highest/the majority of energy interventions have taken place. To gather evidence and reflect the diversity, variety and impact (or lack thereof) of development initiatives, a number of case studies in Africa, Asia, the Caribbean and Pacific will be selected. These will be shortlisted based on criteria to be defined during the inception phase of the evaluation.

#### (C.2) Issues to be examined

The evaluation will be based on the criteria defined in the Better Regulation guidelines<sup>46</sup> (relevance, efficiency, effectiveness, coherence and EU added value) and complemented by two additional OECD Development Assistance Committee criteria – impact and sustainability.

The following issues are to be examined (indicative list to be refined during the inception phase of the evaluation).

- i. **Relevance: To what extent the EU sustainable energy cooperation responded and is responding to the evolving energy needs of partners in developing countries?** This should include a review of the ways the EU cooperation responded and adapted to institutional, economic and social changes affecting the demand for energy creation, the expansion in access to sustainable energy source and energy services, and their governance.

<sup>44</sup> The starting date was chosen for two reasons: the launch of the Agenda for Change and of the UN led Sustainability energy for All Initiative.

<sup>45</sup> Interventions implemented under the European Neighbourhood & Partnership Instrument will be considered under the coherence and coordination evaluation criterion. Lessons could be drawn from sample projects in Neighbourhood South countries for interventions aimed at expanding renewable energy generation and stimulating energy efficiency solutions.

<sup>46</sup> [http://ec.europa.eu/smart-regulation/guidelines/toc\\_guide\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm)

- j.* Effectiveness: **To what extent has the EU's sustainable energy cooperation delivered against its international commitments of contributing to increased access to modern energy services, doubling the rate of improvement of energy efficiency and doubling the rate of renewable energy in the global mix?** This will include a review of the determining factors/key actions that influence the achievement (or non-achievement) at local, national, regional level (at policy, institutional and financial level) against set targets and commitments. When doing so, a key element will be to assess the roles, skills and incentive structures of key stakeholders in EU Delegations, financing organisations and partner countries as well as their ability to coordinate and complement each other.
- k.* Efficiency: Main questions to be addressed are **how the inputs (human resources and funds) were and are being allocated and used in order to achieve the outputs and whether these are/were used in the most cost effective way.** Attention should be placed on the adequacy of the mix in the delivery mechanisms utilised, verifying the benefits and costs of various aid implementation modalities (grants, budget support, blending, etc.) to be able to guide future interventions.
- l.* Coherence and coordination: Verify **to what extent EU interventions in sustainable energy cooperation complement each other, are catalytic and coherent with wider EU policies;** attention could also be placed on the coherence, complementarity and coordination of EU interventions with those of other international actors.
- m.* EU added value: **to what extent the EU Sustainable energy interventions added value and benefits to/**for the various stakeholders (Member States, European Union, Financing Institutions, governments and private sector in partner countries) in comparison to other donors, focusing on Member States.
- n.* Visibility: **To what extent EU interventions have been visible.**
- o.* Sustainability: **To what extent the EU sustainable energy cooperation has contributed to increased ownership, countries' sustainable energy development and long term capability of partner countries;** attention should be placed also on assessing whether EU interventions are replicable and viable in all regions/contexts.
- p.* Impact: **To what extent EU sustainable energy cooperation (both at policy and implementation level) has translated into** reduced poverty, improved inclusive growth, improved quality of life (especially for women and in rural areas), increased protection of the environment and climate changes in partner countries and internationally.

(C.3) Other Tasks

N/A

## D. Evidence base

(D.1) Evidence from monitoring

Sources and documents (not exhaustive) from which evidence can be derived are:

1. Sustainable energy for all - strategic framework for results, going further, faster - Together, June 2016
2. Data in SEforALL's Global Tracking Framework (GTF), developed by a coalition led by the IEA and World Bank Group. The Global Tracking Framework 2015 & 2013 reports are a valuable source of evidence.
3. Stocktaking study on the EC cooperation on Energy – Final Report by Framework Contract, Commission 2011EUROPEAID/129783/C/SER/multi

4. Progress Reports of the Technical Assistance for the Sustainable Energy for ALL – West & Central Africa – EuropeAid
5. The Energy Facility monitoring:  
<http://database.energyfacilitymonitoring.eu/acpeu/IndicatorsChart.xhtml>
6. [http://europa.eu/rapid/press-release\\_IP-14-1026\\_en.htm](http://europa.eu/rapid/press-release_IP-14-1026_en.htm)
7. COMMON RELEX INFORMATION SYSTEM; data base of EU projects and programmes
8. Empowering Delivering results in the Decade of Sustainable Energy for All  
([http://ec.europa.eu/europeaid/sites/devco/files/booklet-energy-19052015\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/booklet-energy-19052015_en.pdf))

## (D.2) Previous evaluations and other reports

Evaluations and studies by the European Commission: (source [http://ec.europa.eu/europeaid/node/80199\\_en](http://ec.europa.eu/europeaid/node/80199_en) )

1. Mid-term evaluation of the first call for proposal of the energy facility under the 9th EDF Service Contract No. 2011/262078/2 Framework Contract Commission 2011 - EUROPEAID/129783/C/SER/multi
2. Study Sustainable Energy Initiative Phase I Strategic Review June 2011
3. EU Evaluation of Support to Partner Countries in the area of energy –2008
4. Strategic evaluation of the EU cooperation with Nepal (2002-2010)
5. Strategic evaluation of the EU cooperation with Liberia (1999-2008)
6. Strategic evaluation of the EU cooperation with Ukraine (2002-2009)
7. Strategic evaluation of the EU cooperation with ASEAN Region (2000-2007)
8. EU support to partner countries in the area of energy (1996-2006)
9. Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013)
10. EU Evaluation of the Blending facility (forthcoming)
11. Evaluation of the Cotonou Partnership Agreement {SWD(2016) 260}

## Other reports and evaluations:

1. The Special Report ACP–EU Energy Facility support for renewable energy in East Africa (2015) by the European Court of Auditors  
([http://www.eca.europa.eu/Lists/ECADocuments/SR15\\_15/SR\\_ENERGY\\_AFRICA\\_EN.pdf](http://www.eca.europa.eu/Lists/ECADocuments/SR15_15/SR_ENERGY_AFRICA_EN.pdf))
2. WORKING DOCUMENT on ECA Special Report N° 15/2015 (2014 Discharge) on "EU Energy Facility support for renewable energy in East Africa" Committee on Budgetary Control  
(<http://www.europarl.europa.eu/> )
3. Performance evaluation report: Pakistan: Energy Sector - Restructuring Program ,  
Independent Evaluation: ADB, 2014 (<https://www.oecd.org/derec/adb/Pakistan-EnergySector-Restructuring-Program.pdf>)
4. OECD: Access to Energy in Rwanda - Impact evaluation of activities supported by the Dutch Promoting Renewable Energy Programme (<https://www.oecd.org/derec/netherlands/Access-to-Energy-in-Rwanda.pdf>)
5. The African Development Bank: Ready to Face the Challenges of a Changing Africa?  
(<http://eba.se/en/the-african-development-bank-ready-to-face-the-challenges-of-the-future/> )
6. Energy Sector in the Greater Mekong Subregion by the Asian development bank
7. Evaluation of the role and contribution of UNDP in the environment and energy\* UN 2008  
(<http://web.undp.org/execbrd/pdf/Energy-and-Environment-Evaluation-Report.pdf> )
8. PETERS, J. and M. SIEVERT (2015), "Impacts of Rural Electrification Revisited: The African Context", AFD Research Paper Series, No. 2016-22, December.  
(<http://www.afd.fr/webdav/site/afd/shared/PUBLICATIONS/RECHERCHE/Scientifiques/Papiers%20de%20recherche/22-papiers-recherche.pdf> )

(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)

N/A

**(D.4) Consultation**

The objective of the consultation process is to ensure that all relevant views are taken into account, enabling a robust evaluation exercise. For the purpose of this evaluation, targeted consultations will be conducted with different stakeholders according to their roles and functions in the energy arena.

A non-exhaustive list of stakeholders to be consulted during the evaluation is hereby presented (to be reviewed during the inception phase):

- a) Public institutions/donors: EU Member States, key donors (such as the Africa-EU Energy Partnership donors that includes relevant United Nations Agencies, the World Bank, the African Development Bank, etc.), partner countries, international energy organisations, the ACP Secretariat, the Advisory Board of SE4ALL, etc.;
- b) Private actors /financial intermediaries: the European Investment Bank, other European and non-European Development Finance Institutions, energy industry in Europe and in partner countries, energy experts, network operators;
- c) Civil society: international non-governmental organisations and private lobbies working on sustainable/renewable energy, Knowledge Hubs Africa Energy Leaders' Group; energy practitioners, non-state actors, research, academia and think tanks;
- d) Beneficiaries: Regional and National authorities in partner countries, private operators and consumers / final beneficiaries in partner countries.

During the process of the evaluation, targeted consultations will take place with the above stakeholders as follows:

1. Field phase

- ✓ During the field phase, the evaluation team will consult with institutions, actors and beneficiaries both in Europe and in selected partner countries (identified for the case studies). Interviews, project sites visits, focus groups, small workshops, questionnaire and surveys will be organised according to needs and contexts.

2. Draft Final Report

- ✓ If deemed necessary, the Draft Final report will be presented to representatives of the European Union Energy Initiative framework to discuss the findings, the conclusions and the preliminary recommendations. The results of the discussion will be integrated in the revised version of the report.

3. Dissemination

- ✓ A dissemination seminar will be organised in Brussels. The purpose of the seminar is to present the findings, the conclusions and the Recommendations of the evaluation to all the main stakeholders listed above.

This consultation process outline will be further developed with the evaluation team in the early stages of the evaluation.

**(D.5) Further evidence to be gathered**

N/A

**E. Other relevant information/ remarks**

Given that there will be an overarching evaluation of the financing instruments to "be established by the Commission within the interim review of the next financial period which this evaluation will feed in"<sup>47</sup>, the better regulation guidelines will not fully apply to this evaluation. In particular:

- instead of a 12-week open public consultation, there will be targeted consultations as outlined in section D above;
- at the end of the process, instead of a Staff Working Document, there will be a management response to the final evaluation report (Fiche Contradictoire) and a short summary of the evaluation will be included in the Annual Report on the European Union's Development and External Assistance Policies and their implementation, also available on DEVCO website<sup>48</sup>.

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<sup>47</sup> Quoted from Art 17 of the REGULATION (EU) No 236/2014 OF THE EUROPEAN PARLIAMENT AND OF THE

COUNCIL of 11 March 2014

<sup>48</sup> [http://ec.europa.eu/europeaid/annual-reports\\_en](http://ec.europa.eu/europeaid/annual-reports_en)

## Annex 2 – Methodology

This Annex presents (i) the overall methodological approach for this evaluation, (ii) the tools we will use to collect data and build our analysis, (iii) the selection of projects for in-depth study; (iv) main challenges and limitations.

### 1 Overall methodological approach

The methodology for this evaluation follows DEVCO's methodological guidelines for thematic and other complex evaluations<sup>49</sup>, which is itself based on the OECD/DAC approach. It also takes account of recent developments promoted by DEVCO's Evaluation Unit, and good practices developed for strategic evaluations and notably for country-level evaluations.

As in most strategic evaluations for DEVCO, we have applied a theory-based non-experimental design for this evaluation<sup>50</sup>, using an intervention logic as the basis for assessing the contribution of EU cooperation to expected results. The analytical framework is mainly based on 'contribution analysis' principles. The intervention logic analysis consolidates all the most relevant elements of EU cooperation in a single framework that links rationale to strategy, projects and results (this is close to theory of change analysis). An evaluation framework consisting of evaluation questions (EQs), judgement criteria and indicators structures data collection and verification. Analysis is then performed on this basis, to assess to what extent and how EU cooperation contributed to attainment of objectives set. This allows determining the extent to which judgment criteria may be validated, and then to provide a synthesised answer to the EQ. In general, it will not be possible to test for a counterfactual (i.e. what would have happened if the EU had not provided assistance). However, it will be attempted through interview and possibly through the survey to gain an insight into the opinion of key people on this topic. Although hypothetical this could still reveal an interesting insight if a strong consensus is obtained.

The specific approach for each EQ is presented in short in chapter 5 of volume 2. From the answers to the EQs, the team will derive a set of conclusions and recommendations.

The overall methodology for data and information collection followed the common approach described below:

#### Data collection, initial consultations and desk analysis

- The sample project documentation was downloaded and screened for completeness to obtain missing formation
- A web search was done on what other donors are doing and interviews arranged mostly by skype/phone in order to complement what could be obtained by web search
- Preparation of interview guides and specific questions for EUDs
- Desk analysis was undertaken with identification of hypothesis to be tested in the field as well as missing information
- Identification of key stakeholders to be interviewed

#### Field work – the steps taken

<sup>49</sup> [http://capacity4dev.ec.europa.eu/evaluation\\_guidelines/](http://capacity4dev.ec.europa.eu/evaluation_guidelines/)

<sup>50</sup> Theory-based evaluation is an approach in which attention is paid to theories of policy makers, programme managers or other stakeholders, i.e. collections of assumptions, and hypotheses - empirically testable - that are logically linked together.

- Meeting with EU Delegations, at the beginning of each field mission to discuss the desk analysis, key issues, evaluation approach, interview guides, etc.
- Refinement of interview guides as necessary following the discussions above
- Semi-structured interviews with key relevant stakeholders (e.g. representatives of EU Member States, representatives of other development partners, representatives of key partner institutions, project contractors, project beneficiaries)
- Visits to selected project sites to confirm engagement and results, obtain a better understanding of the sample interventions, and meet end-beneficiaries.
- Checking and double-checking (with a variety of sources) of project assumptions, facts, figures, findings, praise, complaints, recommendations, etc., to ensure accuracy, relevance and usefulness
- Formulation of findings
- Discussion of these with the respective EU Delegations at the end of each field mission and endorsement of the factual accuracy of the country report

### **Final analysis and reporting – the steps taken**

- Post-mission analysis and follow-up to fill any gaps in information and triangulation – discussion of findings with relevant EU managers
- Updating of indicators to fill gaps, adjust findings
- Verification or discarding of hypotheses
- Preparation of the Draft Report
- Finalisation of the Report following receipt of comments

The details on the sources of data and information as well as a step by step methodology (usually at indicator level) are presented under each EQ (in greater depth the Inception report July 2017).

The main limitations encountered were related to: i) obtaining data on all the sample projects and especially the confidential nature of some projects, especially GEEREF and ElectrIFI (meet the relevant people for verbal exchange where copies of documents cannot be obtained); ii) the split time period of the evaluation which straddles two programming periods; iii) the fact that many of the projects associated with the most recent strategies of cooperation in energy are not yet at the implementation stage (mitigation action taken: look at the preparation process and intervention design).

## **2 Evaluation tools**

The team relied on a set of tools to collect and analyse data for the different levels of analysis. The combination of these tools enabled the team to collect all the required information at the level of the indicators, and to triangulate the information from different sources with a view to validate (or invalidate) the judgment criteria. The context analysis and literature review provided information from a general, both internal and external, perspective. The inventory provided data and information from an overall portfolio perspective. In-depth desk study and site visits provided specific information at the level of individual operations funded. The combination of these tools, sources, and levels of analysis contributed to the robustness of the conclusions of the evaluation.

## **3 Selection of projects for in-depth study – the sample**

The answers to the EQs were based on overall analysis (general documentary study, portfolio analysis, interviews, etc.) as well as on in-depth analysis of a selection of interventions. This in-depth study allowed the team to better understand the cooperation through concrete cases,



and to provide clear examples to enrich and illustrate answers to the evaluation questions. The selection of projects aimed at covering most important projects in the key sectors to be examined, and at covering a variety of parameters to be addressed in this evaluation:

- Geographic spread, with focus on Sub-Saharan Africa, see Figure A2.1.
- Country, regional and global projects.
- Covering a range of initiatives, see Figure A2.2.
- Covering all sub-sector areas RE, EE, and Access and including both mini-grid and mainline transmission, see Figure A2.5.
- Policy, institutional development, and implementation projects, see Figure A2.6.
- Both budget support (sector reform contracts) and project support.
- Older & newer projects, see Figure A2.4.
- Good & bad examples
- Data availability and availability of ROMs and evaluations.
- Projects that are likely to provide special insight.

Table A2.1 gives summary overview with the detailed list and rationale for selection of each individual project being presented in the tables A2.3 and A2.4 at the end of this Annex. For the desk sample an “over programming” has been made and in total 62 actions have been selected of which eight are joint declarations, so in total some 54 project interventions.

Table A2.1 summary list of sample projects

Country (region)		EU contribution in M€ (Allocated value)	Potential Projects	contract #	Decision/contract
					Date (year)
Regional East Africa	Multi Country	437.800.000	Tridos expanding SE markets through micro fiance-energy enterprise partnerships	267136	2011
		3.500.000	POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar	352393 352394	2014
East and Southern Africa	Rwanda		Rwanda - Technical Assistance for Energy Policy and Utility Management in the framework of 'Sustainable Energy for All'	308283	2012
			Rwanda ñ Sector diagnostic, identification and formulation of an EU Energy programme under the 11th EDF	317674	2013
			Technical Assistance for indicators formulation under the Energy Sector Budget Support	358321	2015
		177.000.000	Increase performance of Rwanda's energy sector and develop the corresponding institutional capacities	375269	2016
		6.000.000	Prepaid Energy. Rent to own solar home systems (off-grid),	341877	2014
	Burundi	11.000.000	APPUI de TRANSITION au SECTEUR ENERGIE (ATASE)	359095	2014
		40.000.000	JIVI ET MULEMBWE hydropower plants		2014
	Zambia	37.000.000	Kariba Dam Rehabilitation Project		2014
		9.000.000	Rural Infrastructure and Small-scale Projects (Increased access to Energy Services in Rural Areas)	20660	2008
		6.000.000	Transmission Line Kafue-Livingstone		2011
			Energy Stakeholder Dialogue Zambia		2013

Country (region)		EU contribution in M€ (Allocated value)	Potential Projects	contract #	Decision/contract
					Date (year)
	Tanzania	60.000.000	ElectriFI NextGen Solawazi [€60,000 as grant start up]		2016
			Alliance for Rural Electrification Energy Access Investment Forum		
		7.000.000	Mwenga Hydro power	340097	2014
				195963	2007
	90.000.000	Support to Rural Electrification programme	TAF ESRC prepa	2016	
	Uganda	20.000.000	GET FiT East Africa Program - (Uganda Roll-Out Phase 1		2013
		1.000.000	Uganda Rural electrification Project		2014
			Siti I & II HPPs		2014
	Ethiopia	9.000.000	Upscaling EnDEV Ethiopia - Access to Energy Through Off-grid Renewable Energy Solutions [9m]		2015
		5.000.000	Support for Geothermal Development in Tendaho (Ethiopia)		2014
Regional West africa	Multi Country West Africa Power Pool	1.000.000	WAPP Power Interconnection in West Africa (Ghana-Burkina Faso-Mali)		2011
			Renewable Energy tariff calculation toolbox for ECOWAS		2016
		6.000.000	Technical assistance project in support to the African Power Pools and the African Forum for Utility Regulators (AFUR).		2011
			The finance catalyst		
West Africa	Cote'Ivoire	10.000.000	Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS)	TAF formulation ENERGOS 2	2015
		25.000.000	ENERGOS 2	TAF review ENERGOS	2016
		1.000.000	Travaux d'électrification de 16 localités rurales en Côte d'Ivoire	270303	2011
	333237			2013	
	Liberia	1.000.000	Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities	267810	2011
		1.000.000	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia	267844	2011
			Development of a cooking program		
		10.000.000	Liberia Energy Access		2013
	Nigeria	27.000.000	Energising Access to Sustainable Energy in Nigeria (EASE)	340453	2014
				368729-345063-345013-345063	2014

Country (region)		EU contribution in M€ (Allocated value)	Potential Projects	contract #	Decision/contract
					Date (year)
			Market study on Nigerian Captive Power/Feasibility Study of the Waste to Energy (WtE) Project of the Ogun State Government	377747	2016
	Burkina Faso	25.000.000	Projet de Production Solaire Photovoltaïque de Zagtoui	372855-374366 - 375099-380662	2016
	Benin	60.000.000	Renforcement des capacités des acteurs du secteur de l'Energie au Bénin - RECASEB	375777-375692	2015
		20.000.000	Access to Electricity in the Atlantique Province in Benin		2013
Regional Africa	Multi Country	10.000.000	Convenant of Mayors	379416	2015
		3.000.000	Parliamentary Action on Renewable Energy		2011
		399.000.000	The ITF SE4All envelope		2012
Asia	Philippines	60.000.000	access to sustainable energy projects in the Philippines		2014
	Vietnam	108.000.000	Sector Reform contract		2016
Caribbean	Barbados	6.000.000	Barbados Smart Renewable Energy Program for the Public Sector		2013
	Multi country	1.000.000	Frameworks policies and instruments for mobilising RE in Caribbean	266800	2012
	Dominica	2.000.000	Support to development of Geothermal energy	316241	2013
Pacific	Fiji	1.875.000	Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu		2012
	Tonga	7.488.000	SRC Renewable Energy		2011
		10.000.000	Energy Sector Reform Contract II		2015

Figure A2.1 shows the distribution of the selected sample in terms of country coverage. There is an emphasis on West and East Africa with Asia, the Caribbean and the Pacific also being covered.

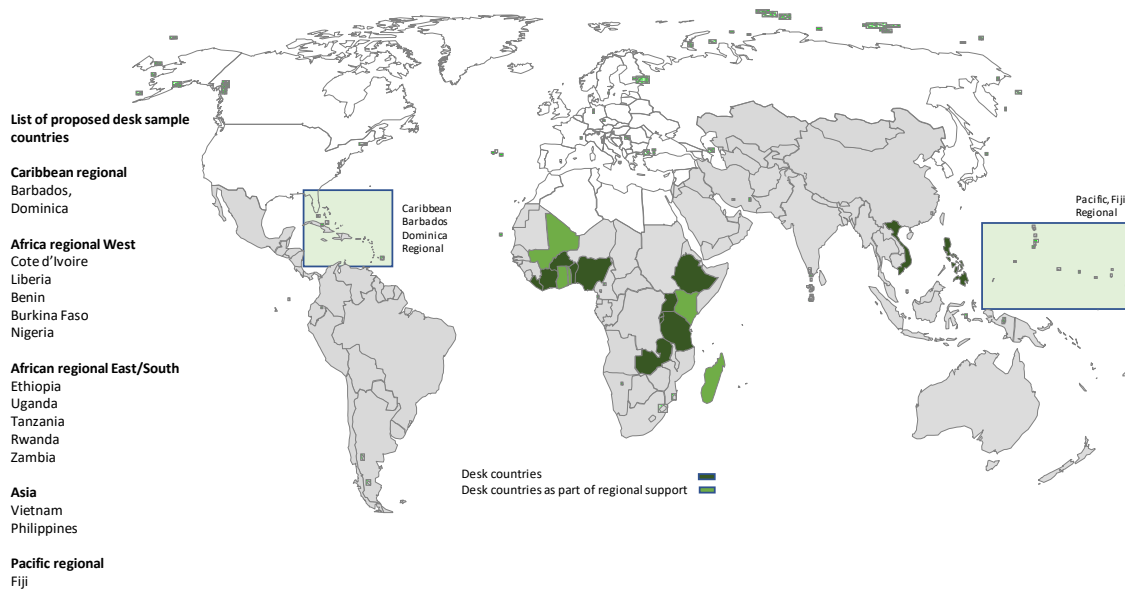
**Figure A2.1: Geographic coverage of the desk sample**

Figure A2.2 shows the pre-selected projects against the different initiatives. There are relatively many blending projects in part because they feature strongly in the regional cooperation in West and East Africa and the Caribbean. Advantage was taken of the blending evaluation to provide additional information.

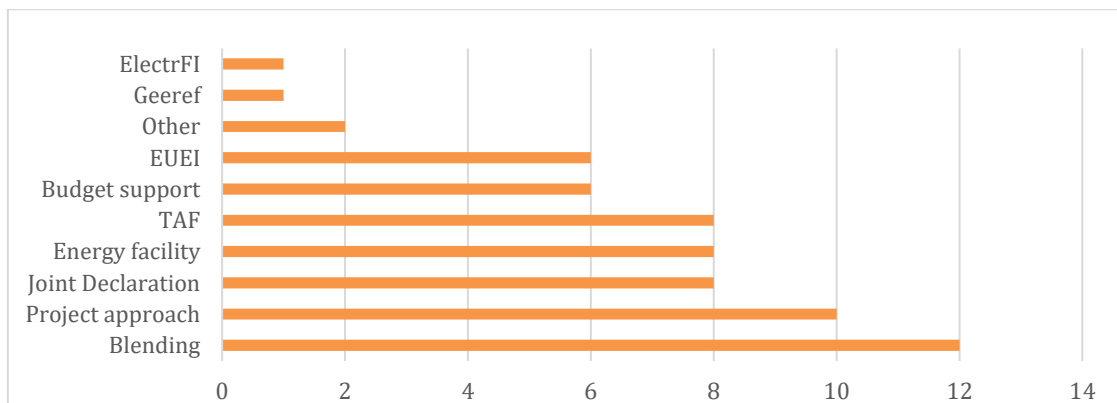
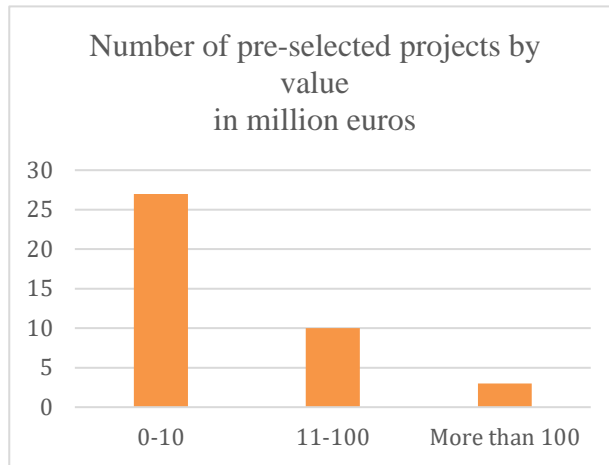
**Figure A2.2: Pre-selected projects by type of initiative**

Figure A2.3 shows the distribution of the sample of projects against their volume of support. There is a predominance of projects under Euro 10 million but larger projects are also considered (e.g. budget support operations).

Figure A2.4 shows the share of projects in the programming period 2007-2013 and 2014-2020. This shows a roughly equal weight between the two. In turn this indicates a relative emphasis on the earlier projects given that the first period had a smaller overall budget for energy.

**Figure A2.3: Sample project by project size****Figure A2.4: Sample projects by programming period**

Share of selected projects under 2007-2013 and 2014-2020

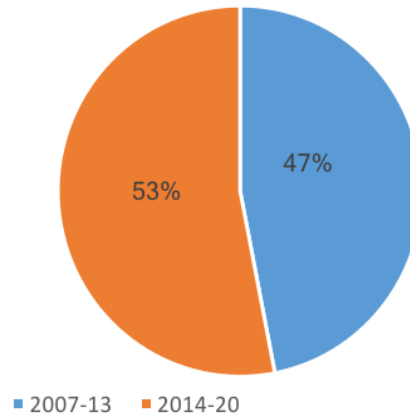
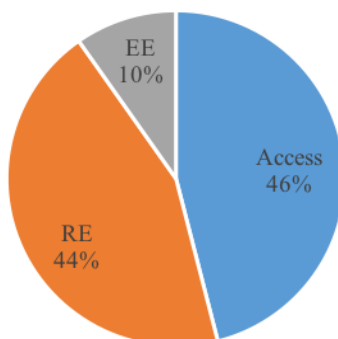


Figure A2.5 shows the sample against the core SE4ALL objectives of access, RE and EE. It indicates a balance between access and RE but less on EE which reflects the EU project portfolio and might also indicate that energy efficiency is either low on the priority or well mainstreamed.

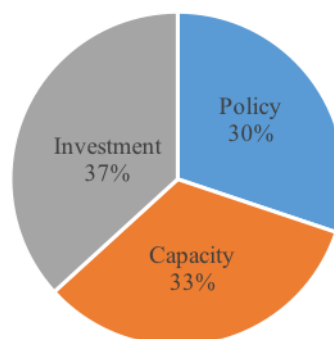
Figure A2.6 shows the sample against the type of intervention (policy, capacity or investment) – in reality many projects have a mix of these type of intervention and this has been taken into consideration.

**Figure A2.5: Sample projects by SE4ALL objectives**

Share of selected projects by project objectives

**Figure A2.6 Sample by type of intervention**

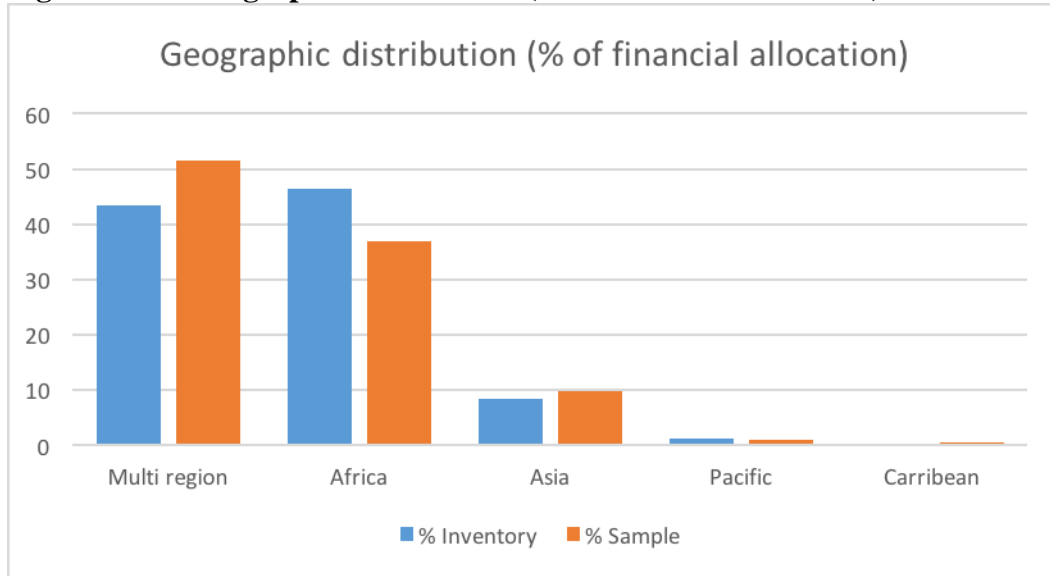
Share of selected projects by type of interventions



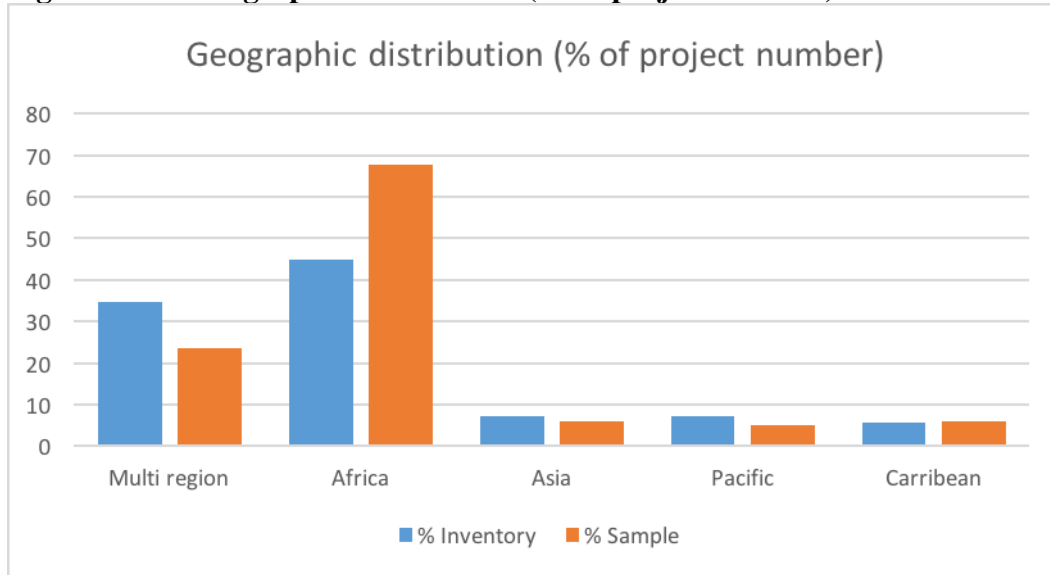
The main strategy for the selection of the sample has been to ensure that the sample provides sufficient examples of: i) the different initiatives (figure A2.1); different project size (figure A2.3); interventions in each programming period (figure A2.4); the SE4ALL objectives (figure A2.5) and mostly importantly the type of intervention (figure A2.6). The detailed

rationale in the tables at the end of this annex at regional, country and intervention level outlines the sampling strategy in detail for providing insight into EU cooperation in sustainable energy. The sample has also been checked against representativeness of the inventory as whole in figures A2.7 and A2.8 below. These figures show that the geographic distribution percentage of financial allocation and percentage of project numbers. The geographic distribution between inventory and sample are similar.

**Figure A2.7: Geographic distribution (% of financial allocation)**



**Figure A2.8: Geographic distribution (% of project number)**



## 4 Field phase

### 4.1 Purpose of the field phase

The main purpose of the field phase was to complete the data collection and contribute to answer the 7 evaluation questions. It also served to validate or revise the preliminary hypothesis formulated in the desk report.

The field phase was not intended to conduct an in-depth assessment of the implementation of individual EU supported interventions but to examine the evaluation questions through the lens of selected interventions.

The emphasis is put on the actual processes and achievements, which are not fully perceivable through the documentation examined. Based on the success of data collection and interviews with regional stakeholders and EU Delegation officials, the evaluation team assessed whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendations chapter.

## 4.2 Field missions

As noted in the TOR and confirmed in the inception report the field missions will cover eight countries in Africa as shown in figure A2.9 with an outline of the rationale for each given in table A2.2

Figure A2.9: Geographic coverage of the desk sample

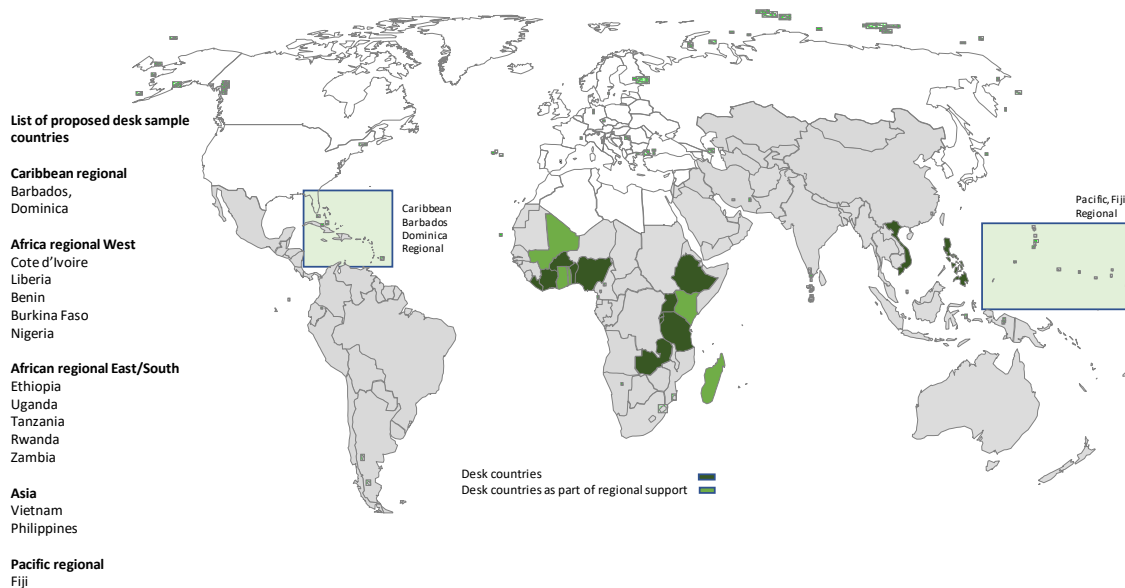




Figure A2.2: Geographic coverage of the field work

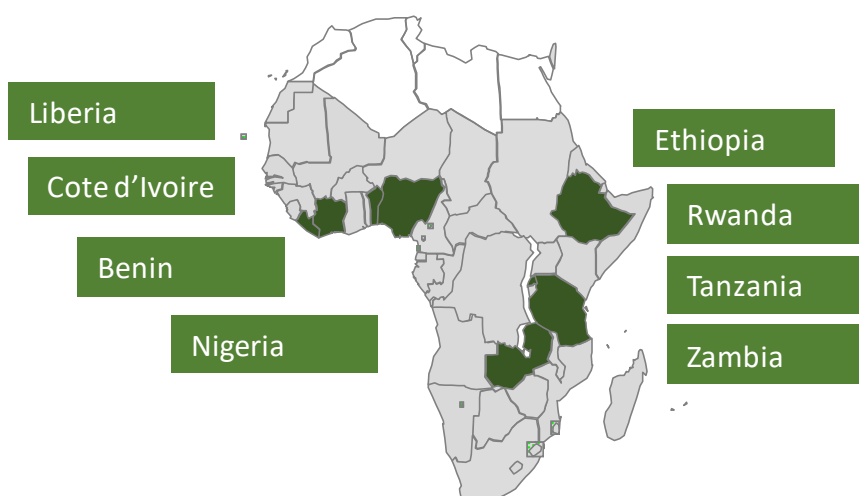


Table A2.2 Rationale for countries to be visited

Country	Rationale
Rwanda	<ul style="list-style-type: none"> <li>Rwanda is one of the more advanced countries in energy collaboration with the EU</li> <li>Rwanda cooperates with the EU using budget support modalities in the energy sector and there have been significant policy and reform transitions in the sector</li> <li>The volume of decisions and contracts under EDF 11 reflecting the new modalities is large</li> <li>Rwanda has a connection with many of the regional hydropower and electricity transmission projects</li> </ul>
Tanzania	<ul style="list-style-type: none"> <li>Tanzania has cooperated with EU in the energy sector under the EDF 10 and current cooperates in the energy sector using budget support modalities</li> <li>Tanzania represents a country with low access to modern energy with large opportunities for achieving significant development benefits from improving access both through major grid investments and minigrad solutions</li> <li>The energy facility has had many projects in Tanzania and Tanzania is also the country with the most applications for ElectriFI and one of the 3 countries where an ElectriFI project has been approved</li> <li>Tanzania is at the core of the East African Community and has a connection with many of the regional hydropower and electricity transmission projects</li> </ul>
Zambia	<ul style="list-style-type: none"> <li>Zambia has cooperated with EU in the energy sector since 2007 under the EDF 10 and current cooperates in the energy sector using budget support modalities</li> <li>There have been large infrastructure investments in the energy sector in Zambia especially under the blending facilities</li> <li>EDF 10 focused on generation with EDF 11 now focusing on access with renewed focus on poverty reduction</li> </ul>
Ethiopia	<ul style="list-style-type: none"> <li>Energy is a new focal sector in the EDF 11 (phased in as support to roads sector is phased out)</li> <li>The opportunity to support significant sector reform openings (e.g. new Ethiopian Energy Authority)</li> <li>Reduction on reliance on bio-mass and the associated gender burden.</li> <li>Focus on energy efficiency of the EDF 11</li> </ul>

- Cote d'Ivoire

  - Positioning of EU support in the context of recent support to the sector and crowded market place for supporting renewable energy and new technologies.
  - There have been a significant volume of decisions and contracts already approved under energy as a focal sector of support
  - Cote D'Ivoire has a connection with many of the regional electricity transmission projects and the WAPP
  - Cote D'Ivoire gives an opportunity to look at EU coordination in a challenging context and also gives the opportunity to consult with the AfDB who have put energy at the top of their development agenda.
- Benin

  - Energy is a focal sector of support.
  - There has been a strong effort/intention to complement earlier investment related efforts with improvements to sector policy and institutional performance, Benin will allow a testing of how successful this has been
  - Cote D'Ivoire has a connection with many of the regional electricity transmission projects and the WAPP
  - There have been notable projects targeted at the poor (including the Benin-Alantique transmission project)
- Nigeria

  - Energy is a focal sector of support
  - Nigeria has a connection with many of the regional electricity transmission projects and the WAPP
  - Nigeria is the largest sub-saharan economy and the case will test the influence of the EU support in a crucial sector
- Liberia

  - Energy is a focal sector of support
  - There has been a strong effort/intention to complement earlier investment related efforts with improvements to sector policy and institutional performance, Liberia (like Benin) will allow a testing of how successful this has been

The field visits will be organised in collaboration with the EU delegations and a range of stakeholders were visited. The field missions consisted of:

- Semi-structured interviews and focus groups, with in-country stakeholders such as EU and other donor staff; government and non-state actors; and end beneficiaries. The team used interview guides on the basis of the preliminary findings and information gaps detailed in chapter 3.
- Additional documentation/data collection, which weren't received before and were be available in the countries notably at the EU Delegations and partner offices.
- Site visits organised to observe on-site activities deployed and/or achievements reached, and to meet targeted end beneficiaries, where relevant and feasible.

At the conclusion of the field mission, the evaluators provided feedback on preliminary findings to the EU Delegations of the visited countries.

It is important to note that this approach was challenging, as it was subject to the availability of hoped-for respondents, and the time constraints.

Table A2.3: Selection of projects for in-depth study

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Multi Country	Triodos expanding SE markets through micro finance-energy enterprise partnerships	The project has ended. It took place in 3 countries (Tz,UG,KE). There is solid information available. The <b>main topic</b> will be on evaluating results and the application of innovative finance (EQ5, EQ8)	The rationale for selection of these regional projects is that they will enable an evaluation of the regional value added and especially the demonstration effect and replicability related to EQ4,5,6 and 8.
	POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar	The project well documented in the EF. The project involves the introduction of a business model for small scale dissemination of RE. The <b>main topic</b> will be to look at design and coordination of partnerships between donors, MFIs and local actors (municipalities, NGOs, SMEs, etc.) EQ4, EQ5, EQ6	
Rwanda	Rwanda - Technical Assistance for Energy Policy and Utility Management in the framework of 'Sustainable Energy for All'	These groups of projects together provide the basis for a significant allocation for budget support. Although implementation is not complete, preparatory work has ended - <b>main topic</b> : assess rationale for budget support and the indicators and relevance of policy reform goals. EQ1/2, EQ 6 - Assess efficiency of TA used in support of the budget support operations EQ 7(check if other TA should be included here)	The rationale for selection of projects in Rwanda is that it is one of the more advanced countries in energy collaboration with the EU. The volume of decisions and contracts under EDF 11 is large. There are budget support modalities being used and Rwanda has a connection with many of the regional hydropower and electricity transmission projects.
	Rwanda ñ Sector diagnostic, identification and formulation of an EU Energy programme under the 11th EDF		
	Technical Assistance for indicators formulation under the Energy Sector Budget Support		
	Increase performance of Rwanda's energy sector and develop the corresponding institutional capacities		
	Prepaid Energy. Rent to own solar home systems (off-grid),	Project started in 2014. <b>main topic</b> : EQ4	

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Burundi	APPUI de TRANSITION au SECTEUR ENERGIE (ATASE)	The project supported institutional capacities to plan for energy sector development and a thermal power plant to ensure reliability of power supply until HPP can take over. <b>main topic</b> EQ 2, EQ3, and to some extent EQ4	The rationale for selecting projects in Burundi is that the volume of decisions under EDF 11 is large. In a small country this raises the question of the country capacity to absorb the aid. The two projects will provide an overview of how EU is working in reinforcing the institutional capacities and its rationale in relation to large investments in complex hydropower development projects. (EQ6 is especially relevant)
	JIJI ET MULEMBWE hydropower plants	A World Bank managed operation. Investments from multi IFIs. Project just started. <b>main topic</b> investment EQ5 and coordination EQ6	
Zambia	Kariba Dam Rehabilitation Project	Multi stakeholder and multi-donor financed project with objectives that aim to avoid dam failure and environmental consequences. <b>Main topic</b> will be to look at cross-cutting issues, efficiency of EU strategy in supporting this specific project, and co-financing (EQ5, EQ7, EQ6)	The rationale for selecting Zambia is that there were large investments in energy infrastructure made in Zambia under EDF 10. EDF11 focuses on energy access for the poor although one of the main investments to date is on generation. A mixed approach of reviewing past EU support in rural energy access (EDF 10) and rationale in supporting large infrastructure and their achievements in addressing energy access for the poor.
	Rural Infrastructure and Small-scale Projects (Increased access to Energy Services in Rural Areas)	The project is mature. <b>Main topic</b> will be on results achieved and investments (EQ 8 and EQ5)	
	Transmission Line Kafue-Livingstone	<b>Main topic</b> will be investment modalities and cross-cutting issues (EQ5)	
	Energy Stakeholder Dialogue Zambia	The main topic <b>would be to assess whether the workshop</b> contributed to increased dialogue and partnerships for energy access and RE (EQ3)	

## PEM

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Tanzania	ElectriFI NextGen Solawazi [€60,000 as grant start up]	The first and most advanced of ElectriFI's projects but as it is only at the start the <b>main topic</b> will be the Cfp process from the applicant side and the design relevance/quality of the proposed project itself and the ElectriFI approach as a whole. Key for EQ5	The rationale for selecting projects in Tanzania is that Tanzania and EU have cooperated on a range of energy initiatives of different types (energy facility, geographic project approach support, budget support, TAF, joint declaration and more recently GEEREF and one of the first ElectriFI projects is in Tanzania), it will be instructive to compare these different approaches given that the country context was similar (although bearing in mind that they took place at different times and are at different stages of maturity). Tanzania is also part of the East African Community where the EUs support to regional integration has focussed on energy interconnection
	Alliance for Rural Electrification Energy Access Investment Forum	The aim of the event was to discuss market conditions, key policy initiatives, business opportunities and showcase financial and technical instruments supporting rural electrification projects in developing and emerging markets. With a diverse programme, the summit aimed to deepen participants' understanding of policy and finance trends for existing and upcoming rural electrification business and engagement opportunities in developing and emerging markets. It also helped participants to understand where the opportunities lie and how to take advantage of them. 35 countries represented, 192 participants, 441 Back-to-Back meetings. This is Africa Regional.	
	Mwenga Hydro power	The project is ended. The <b>main topic</b> is that it can provide evidence of results (or not) and is also relevant for testing the replicability. There is solid information including a recent ROM (2016) from the EF database EQ8 (results); EQ4 (grant finance for investments)	
	Support to Rural Electrification programme	A budget support operation - <b>main topic</b> will be preparation of the budget support, quality of indicators, relevance and feasibility of the policy reform agenda. Key for EQ1/2 and EQ6	

## PEM

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Uganda	GET FiT East Africa Program - (Uganda Roll-Out Phase 1	New investment for climate resilient growth- Funds from the ITF-SE4All. The <b>main topic</b> will be the design relevance/quality of the proposed project itself and the GET FiT approach. Key for EQ5	The rationale for selecting Uganda is that Uganda will provide information on the regional impact of support and on new modalities as the major part of EU support in Uganda (access and generation) has been financed through blending and co-funding. The selected projects even though they started recently will provide an overview of blending modalities and under which conditions they may be replicable. Uganda also gives an opportunity to evaluate one of the more mature GEREERF projects.
	Uganda Rural electrification Project	Blending project. <b>main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor. EQ5	
	Siti I & II HPPs	Most advanced of GEREERF's projects. The <b>main topic</b> will be the design relevance/quality of the proposed project itself and the GEREERF approach as a whole. Key for EQ5	
Ethiopia	Upscaling EnDEV Ethiopia - Access to Energy Through Off-grid Renewable Energy Solutions [9m]	The project is a support to the EnDev initiative promoting energy access and improved cooking solutions. <b>Main topic</b> will be to assess this partnership in relation to EU strategy in phasing in energy support in Ethiopia (EQ1, EQ6)	The rational for selecting Ethiopia is that EU support to the energy sector is increasing in a context of increased investments from multiple stakeholders and interventions from other donors. the Ethiopia case will allow a consideration of how EU is positioning itself with regards to supporting new technologies and entry in a crowded market place. main topic will be on value-added and strategy effectiveness
	Support for Geothermal Development in Tendaho (Ethiopia)	The project will allow comparison on the effectiveness of leverage for different technologies. <b>Main topic</b> will be investment modalities and their efficiency (EQ5 and EQ 7)	

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Multi Country West Africa Power Pool	WAPP Power Interconnection in West Africa (Ghana-Burkina Faso-Mali)	The project selected is a blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor. As the project is closed it is possible to evaluate results and replicability (EQ5, EQ8)	The rationale for selecting West Africa is that EU support to West Africa Regional Integration is an historical priority, where EU has a competitive advantage. The selected projects will give an overview of how and in what different ways the large volume of EU support to WAPP is used: i.e. grant to leverage investments in infrastructures and TA for policy and planning. main topic will be on policy, coordination, and value added - the transformative effect and the attainment of critical mass will be important aspects to consider.
	Renewable Energy tariff calculation toolbox for ECOWAS	Two technical assistance projects to strengthen regional capacities and set-up an enabling regional environment for RE. <b>Main topic</b> will be the relevance (EQ1 and EQ2), the effectiveness of the TA (EQ3) and the coordination mechanisms set to ensure sustainability of the projects (EQ6)	
	Technical assistance project in support to the African Power Pools and the African Forum for Utility Regulators (AFUR).		
	The finance catalyst	The Finance Catalyst links renewable energy projects to finance opportunities and vice versa, targeting small- and medium-scale renewable energy projects in Sub-Saharan Africa. It provides advisory support on project development, - structuring and accessing finance through a team of dedicated experts with extensive experience in renewable energy project development and finance in Africa. Many of these projects are challenging for financiers due to the relatively small ticket size, and due to their limited experience with these technologies and new business models. Project developers may lack the experience, networks or time to identify appropriate sources of finance, resulting in high transaction costs and few projects reaching financial close.	
Cote'Ivoire	Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS)	Blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor (EQ5) and will assess TA relevance and effectiveness in designing the project (EQ3)	The rationale is that the volume of decisions and contracts under EDF 11 for Ivory Coast is large. Ivory Coast has a connection with many of the regional electricity transmission projects. Main topic will be to assess electrification projects and ENERGOS design to address energy sector issues in Ivory Coast. The country case will also be an opportunity to assess EU coordination support in a challenging context.
	ENERGOS 2		
	Travaux d'électrification de 16 localités rurales en Côte d'Ivoire	The project is terminated and well documented. <b>Main topic</b> will be to assess the grant replicability and results (EQ4 and EQ8)	

## PEM

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Liberia	Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities	The project is terminated and documentation is available. <b>Main topic</b> will assess the grant replicability for project targeting social aspects of energy services (EQ3 and EQ8), the relevance (EQ1) and EU policy influence (EQ2)	The rationale for selecting Liberia is that energy sector in Liberia is a focal sector with objective to strengthen the policy, regulatory and institutional environment for renewables and access to energy for the poor. Under EDF 10 a number of pro-poor projects have been implemented and will be the focus to better understand EU strategy in switching to policy and institutional development.
	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia		
	Development of a cooking program		
	Liberia Energy Access	Blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor (EQ5)	
Nigeria	Energising Access to Sustainable Energy in Nigeria (EASE)	Support to productive uses for agriculture. <b>Main topic</b> contribution of EU energy support to growth. EQ 8	The rationale for selecting projects in Nigeria is that is part of the regional power pooling and regulatory arrangements. EU support in Nigeria has focused on supporting sustainable production in the agriculture sector. Although the energy projects are new, the design to support energy for productive uses will be assessed with a focus on value added and replicability.
	Market study on Nigerian Captive Power/Feasibility Study of the Waste to Energy (WtE) Project of the Ogun State Government	The <b>main topic</b> will be to see if the study has driven interest in the market and assess the quality of the feasibility study. (EQ3)	
Burkina Faso	Projet de Production Solaire Photovoltaïque de Zagtouli	Ongoing. Data available on feasibility and costs of the project. <b>Main topic</b> replicability and value added of grant, the relevance of the project and its replicability. EQ4, EQ1, EQ 7	The project will allow comparison on the effectiveness of leverage for different technologies. <b>Main topic</b> will be investment modalities and their efficiency (EQ5 and EQ 7)
Benin	Renforcement des capacités des acteurs du secteur de l'Énergie au Bénin - RECASEB	On-going support. <b>Main topic</b> will be on the design of the the policy and technical assistance to strengthen the energy sector. (EQ3, EQ1)	The energy sector in Benin is a focal sector. The main objectives is to promote green energy. Under EDF 10 a number of energy access projects have been implemented and will be the focus to better understand EU strategy in switching to policy and institutional development.
	Access to Electricity in the Atlantique Province in Benin	Blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor. As the project is closed it is possible to evaluate results and replicability (EQ5, EQ8)	



## PEM

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Multi Country	Convenant of Mayors	Ongoing. The <b>main topic</b> will be to examine how successful this EU flagship approach as worked and whether the experience in Europe, the neighbourhood region has been made use of and transferred to the African context	The rationale for selecting the broader regional and cross regional projects is to see if they are effective and what value they provided in comparison with country based support and whether they link up to and bring advantages for the countries and the EU cooperation at country level (EQ1,6).
	Parliamentary Action on Renewable Energy	The <b>main topic</b> will be to see how this awareness raising and political advocacy initiative has worked and whether it has been connected to larger initiatives supported by national partners, EU or other donors (EQ 2).	
	The ITF SE4All envelope	This decision is the largest in the portfolio (Euro 399,) and it is divided into 3 areas: blending, GEEREF and EDFI-PSDF. The <b>main topic</b> will be to explore the rationale for this decision.	
Philippines	access to sustainable energy projects in the Philippines	The project has 3 pillars: 1. TA/CD for all key stakeholders in the electrification and clean energy sectors; 2. targeted support to scale up government programmes in solar home systems, pre-paid metering and expansion of mini-grids through renewable energy; 3. promoting sustainable business models and innovative technologies for energy access and for job creation in collaboration with the private sector and electric cooperatives. As there are relatively few active donors in the energy sector (small ODA input in the Philippines) the role of the private sector is strong in this field. The <b>main topic will be therefore be how effective the collaboration has been with the private sector.</b> Also it will be assessed how effectively the new support has built upon EU's first bilateral involvement in energy, the EUR 3.5 m SWITCH Asia Policy Project that had an embedded advisor in the Department of Energy - and how the new programme will continue the work on EE and RE after SWITCH Policy project ended in early 2016.	The rationale for selecting Vietnam and Philippines is that these two countries account for the majority of geographic expenditure in Asia.

## PEM

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
Vietnam	Sector Reform contract	TAF has supported key steps in the preparation process - the <b>main topic</b> will be how inclusive and effective the process has been and how it has developed ownership and commitment of the Vietnamese side. The JD is not yet signed, but expected in May 2017. The <b>main topic</b> is how the JD process has enhanced donor coordination with member states and how effectively EU support is building on lessons of massive support to the energy sector over many years by other donors. According to AA According to the MIP EU intends to further enhance coordination with EU Member States introducing, where possible, elements of joint programming in specific sectors, possibly sustainable energy, starting in 2016 and after a pilot phase.	
Barbados	Barbados Smart Renewable Energy Program for the Public Sector	This is a collaboration between EU and IADB. The <b>main topic</b> is how blending type support has assisted public sector investment (EQ2 and EQ 8)	The caribbean region of small island developing states (SIDS) represents (together with the Pacific) a particular area of intervention for EU support to energy. The islands are for the most part entirely dependent on imported fossil fuel yet have a large potential for renewable energy (solar, wind and biomass). In the Caribbean the EU has provided significant support through blending to larger scale energy projects (e.g. Geothermal in Domenica) but also to developing regional frameworks and mechanisms to assist in country to country knowledge sharing.
Multi country	Frameworks policies and instruments for mobilising RE in Caribbean	The <b>main topic</b> will how well the policy support and capacity development has worked and its contribution to an enabling environment for RE (EQ2,3, and possible EQ8)	
Dominica	Support to development of Geothermal energy	This is a blending project with AFD, the <b>main topic</b> is how very specific technical expertise has been brought in through the grant to ensure an enabling environment for geothermal energy (relevant for EQ2/3 on policy /capacity and EQ8 on results)	
Fiji	Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu[ €1.875m]	The <b>main topic</b> will be see how well the demonstration and technology transfer and diffusion has worked in bringing renewable energy to small islands and scattered communities.	The Pacific region of small island developing states (SIDS) represents (together with the Caribbean) a particular area of intervention for EU support to energy. The islands are for the most part entirely dependent on imported fossil fuel yet have
Tonga	SRC Renewable Energy [€7.488m]		

## PEM

Country	Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region
	Energy Sector Reform Contract II [€10m]	The <b>main topic</b> will be to see how well the sequence of sector budget support has worked over EDF 10 to 11.	a large potential for renewable energy (solar, wind and biomass). In the Pacific the EU has provided significant support through budget support (in Fiji) both in EDF 10 and 11 and other project approach based interventions. The support to the energy sector since 2007 in Fiji ensures that there is ample documentation and that results will be available for evaluation.

PEM

Table A2.4 Sample matrix

Country	Focal sector (value planned)		Initiatives											EU contribution in M€ (Allocated value)	Potential Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region	Decision	Decision #	contract #	Decision/contract Date (year)	Objective				Type of intervention X main, (x) minor								
			Energy facility (# projects)	Blending (# projects)	GEEREF (#projects)	Electrifi (#projects)	TAF (#projects)	EUEI (#projects)			Joint declaration (Yes/No)	Geographic support										Other	Access	RE	EE	Policy	Capacity	Investment						
	RECP	PDF						AEEP	Project approach	Budget support		2007/13	2014/20																					
Multi Country			1											437.800.000	Triodos expanding SE markets through micro finance energy enterprise partnerships	The project has ended. It took place in 3 countries (TZ,UG,KE). There is solid information available. The <b>main topic</b> will be on evaluating results and the application of innovative finance (EQ5,EQ8)	The rationale for selection of these regional projects is that they will enable an evaluation of the regional value added and especially the demonstration effect and replicability related to EQ4,5,6 and 8.	1	22467	267136	2011		2		1	1	1							
			1											3.500.000	POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar	The project well documented in the EF. The project involves the introduction of a business model for small scale dissemination of RE. The <b>main topic</b> will be to look at design and coordination of partnerships between donors, MFIs and local actors (municipalities, NGOs, SMEs, ect.) EQ4, EQ5, EQ6		22467	352393 352394	2014		2			1									
Rwanda	2.975.032	174.000.000													Rwanda - Technical Assistance for Energy Policy and Utility Management in the framework of 'Sustainable Energy for All'	These groups of projects together provide the basis for a significant allocation for budget support. Although implementation is not complete, preparatory work has ended - <b>main topic</b> assess rationale for budget support and the indicators and relevance of policy reform goals. EQ1/2, EQ 6 - Assess efficiency of TA used in support of the budget support operations EQ 7(check if other TA should be included here)	The rationale for selection of projects in Rwanda is that it is one of the more advanced countries in energy collaboration with the EU. The volume of decisions and contracts under EDF 11 is large. There are budget support modalities being used and Rwanda has a connection with many of the regional hydropower and electricity transmission projects.	1		308283	2012	1	1	2	1	2								
																					23721 (2012)	317674	2013	1	1		2	1						
									1															358321	2015	1	1		1	2				
																		177.000.000	Increase performance of Rwanda's energy sector and develop the corresponding institutional capacities							38107	375269	2016		1	2	1	2	
																			6.000.000	Prepaid Energy. Rent to own solar home systems (off-grid).	Project started in 2014, <b>main topic: EQ4</b>												1	2
Burundi	3.100.000	40.226.000															The rationale for selecting projects in Burundi is that the volume of decisions under EDF 11 is large. In a small country this raises the question of the country capacity to absorb the aid. The two projects will provide an overview of how EU is working in reinforcing the institutional capacities and its rationale in relation to large investments in complex hydropower development projects. (EQ6 is especially relevant)	1	27014	359095	2014		2		2			1						
																																1	2	

EVALUATION OF THE EU'S SUSTAINABLE ENERGY COOPERATION (2011-2016)

PEM

Country	Focal sector (value planned)		Initiatives											EU contribution in ME (Allocated value)	Potential Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region	Decision #	Decision #	contract #	Decision/contract Date (year)	Objective			Type of intervention X main, (x) minor						
	2007/13	2014/20	Energy facility (# projects)	Blending (# projects)	GEEREF (#projects)	ElectrIFI (#projects)	TAF (#projects)	EUEI (#projects)			Joint declaration (Yes/No)	Geographic support										Other	Access	RE	EE	Policy	Capacity	Investment			
								RECP	PDF	AEEP	(Yes/No)	Project approach	Budget support																		
Zambia	23.500.000	57.000.000														37.000.000	Kariba Dam Rehabilitation Project	Multi stakeholder and multi-donor financed project with objectives that aim to avoid dam failure and environmental consequences. <b>Main topic</b> will be to look at cross-cutting issues, efficiency of EU strategy in supporting this specific project, and co-financing (EQ5, EQ7, EQ6)	The rationale for selecting Zambia is that there were large investments in energy infrastructure made in Zambia under EDF 10. EDF11 focuses on energy access for the poor although one of the main investments to date is on generation. A mixed approach of reviewing past EU support in rural energy access (EDF 10) and rationale in supporting large infrastructure and their achievements in addressing energy access for the poor.	1	31570		2014	2					2		
			1											9.000.000	Rural Infrastructure and Small-scale Projects (Increased access to Energy Services in Rural Areas)	The project is mature. <b>Main topic</b> will be on results achieved and investments (EQ 8 and EQ5)	22467	20660		2008	2				2	1					
				1											6.000.000	Transmission Line Kafue-Livingstone	<b>Main topic</b> will be investment modalities and cross-cutting issues (EQ5)	38238			2011	2					2				
															1	Energy Stakeholder Dialogue Zambia	The main topic <b>would be to assess whether the workshop</b> contributed to increased dialogue and partnerships for energy access and RE (EQ3)	37933			2013	1	1		2	1					
Tanzania	7.957.203	2.340.853				1										60.000.000	ElectrIFI NextGen Solawazi [€60,000 as grant start up]	The first and most advanced of ElectrIFI's projects but as it is only at the start the <b>main topic</b> will be the CIP process from the applicant side and the design relevance/quality of the proposed project itself and the ElectrIFI approach as a whole. Key for EQ5	The rationale for selecting projects in Tanzania is that Tanzania and EU have cooperated on a range of energy initiatives of different types (energy facility, geographic project approach support, budget support, TAF, joint declaration and more recently GEEREF and one of the first ElectrIFI projects in Tanzania), it will be instructive to compare these different approaches given that the country context was similar (although bearing in mind that they took place at different times and are at different stages of maturity). Tanzania is also part of the East African Community where the EUs support to regional integration has focussed on energy interconnection	1	Elec		2016	2						2	
									1																						
				1													7.000.000	Mwenga Hydro power		The project is ended. The <b>main topic</b> is that it can provide evidence of results (or not) and is also relevant for testing the replicability. There is solid information including a recent ROM (2016) from the EF database EQ8 (results); EQ4 (grant finance for investments)	24660	340097	2014				2	2			2
															1	90.000.000	Support to Rural Electrification programme	A budget support operation - <b>main topic</b> will be preparation of the budget support, quality of indicators, relevance and feasibility of the policy reform agenda. Key for EQ1/2 and EQ6		37432	TAF ESRC prepa	2016	2			2	2	2			
Uganda	21.000.000	17.000.000		1												20.000.000	GET FIT East Africa Program - (Uganda Roll-Out Phase I	New investment for climate resilient growth- Funds from the ITF-SE4All. The <b>main topic</b> will be the design relevance/quality of the proposed project itself and the GET FIT approach. Key for EQ5	The rationale for selecting Uganda is that Uganda will provide information on the regional impact of support and on new modalities as the major part of EU support in Uganda (access and generation) has been financed through blending and co-funding. The selected projects even though they started recently will provide an overview of blending modalities and under which conditions they may be replicable. Uganda also gives an opportunity to evaluate one of the more mature GEEREF projects.	1	Blend		2013	2			1		2		
				1										1.000.000	Uganda Rural electrification Project	Blending project. <b>main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor. EQ5	Blend			2014	2					2					
					1																GEREE F	2014	2					2			

EVALUATION OF THE EU'S SUSTAINABLE ENERGY COOPERATION (2011-2016)

PEM

Country	Focal sector (value planned)		Initiatives											EU contribution in M€ (Allocated value)	Potential Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region	Decision	Decision #	contract #	Decision/contract Date (year)	Objective			Type of intervention X main, (x) minor						
			Energy facility (# projects)	Blending (# projects)	GEEREF (#projects)	Electrifi (#projects)	TAF (#projects)	EUEI (#projects)			Joint declaration (Yes/No)	Geographic support										Other	Access	RE	EE	Policy	Capacity	Investment			
	RECP	PDF						AEEP	Project approach	Budget support		2007/13	2014/20																		
Ethiopia		8.850.000		1								1			1	9.000.000	Upscaling EnDEV Ethiopia - Access to Energy Through Off-grid Renewable Energy Solutions [9m]	The project is a support to the EnDev initiative promoting energy access and improved cooking solutions. <b>Main topic</b> will be to assess this partnership in relation to EU strategy in phasing in energy support in Ethiopia (EQ1, EQ6)	The rationale for selecting Ethiopia is that EU support to the energy sector is increasing in a context of increased investments from multiple stakeholders and interventions from other donors. The Ethiopia case will allow a consideration of how EU is positioning itself with regards to supporting new technologies and entry in a crowded market place. <b>main topic</b> will be on value-added and strategy effectiveness	1	38370		2015	2					1		
																		5.000.000	Support for Geothermal Development in Tendaho (Ethiopia)	The project will allow comparison on the effectiveness of leverage for different technologies. <b>Main topic</b> will be investment modalities and their efficiency (EQ5 and EQ7)		Blend		2014		2			1	2	
Multi Country West Africa Power Pool				1												1.000.000	WAPP Power Interconnection in West Africa (Ghana-Burkina Faso-Mali)	The project selected is a blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor. As the project is closed it is possible to evaluate results and replicability (EQ5, EQ8)	The rationale for selecting West Africa is that EU support to West Africa Regional Integration is an historical priority, where EU has a competitive advantage. The selected projects will give an overview of how and in what different ways the large volume of EU support to WAPP is used: i.e. grant to leverage investments in infrastructures and TA for policy and planning. <b>main topic</b> will be on policy, coordination, and value added - the transformative effect and the attainment of critical mass will be important aspects to consider.		Blend		2011	1						2	
																	Renewable Energy tariff calculation toolbox for ECOWAS	Two technical assistance projects to strengthen regional capacities and set-up an enabling regional environment for RE. <b>Main topic</b> will be the relevance (EQ1 and EQ2), the effectiveness of the TA (EQ3) and the coordination mechanisms set to ensure sustainability of the projects (EQ6)			EUEI		2016		1	1	2	1			
																	6.000.000	Technical assistance project in support to the African Power Pools and the African Forum for Utilities Regulators				23138		2011	1	1		1	2		
					1													The finance catalyst		The Finance Catalyst links renewable energy projects to finance opportunities and vice versa, targeting small- and medium-scale renewable energy projects in Sub-Saharan Africa. It provides advisory support on project development, -structuring and accessing finance through a team of dedicated experts with extensive experience in renewable energy project development and finance in Africa. Many of these projects are challenging for financiers due to the relatively small ticket size, and due to their limited experience with these technologies and new business models. Project developers may lack the experience, networks or time to identify appropriate sources of finance, resulting in high transaction costs and few projects reaching financial close.	1					1	1			2	1
Cote'Ivoire																10.000.000	Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS)	Blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor (EQ5) and will assess TA relevance and effectiveness in designing the project (EQ3)	The rationale is that the volume of decisions and contracts under EDF 11 for Ivory Coast is large. Ivory Coast has a connection with many of the regional electricity transmission projects. <b>Main topic</b> will be to assess electrification projects and ENERGOS design to address energy sector issues in Ivory Coast. The country case will also be an opportunity to assess EU coordination support in a challenging context.	1	37943	TAF formulation ENERGOS 2	2015	2					2		
				1												25.000.000	ENERGOS 2					1	39393	TAF review ENERGOS	2016	2				2	2
																	1.000.000			Travaux d'électrification de 16 localités rurales en Côte d'Ivoire	The project is terminated and well documented. <b>Main topic</b> will be to assess the grant replicability and results (EQ4and EQ8)			1	19729	270303	2011				
																					1	19729	333237	2013	2					1	

EVALUATION OF THE EU'S SUSTAINABLE ENERGY COOPERATION (2011-2016)

PEM

Country	Focal sector (value planned)		Initiatives											EU contribution in M€ (Allocated value)	Potential Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region	Decision	Decision #	contract #	Decision/contract Date (year)	Objective			Type of intervention X main, (x) minor						
			Energy facility (# projects)	Blending (# projects)	GEEREF (#projects)	ElectrifiFI (#projects)	TAF (#projects)	EUEI (#projects)			Joint declaration (Yes/No)	Gerographic support										Other	Access	RE	EE	Policy	Capacity	Investment			
	RECP	PDF						AEEP	Project approach	Budget support		2007/13	2014/20																		
Liberia			1													1.000.000	Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care	The project is terminated and documentation is available. <b>Main topic</b> will assess the grant replicability for project targeting social aspects of energy services (EQ3 and EQ8), the relevance (EQ1) and EU policy influence (EQ2)	The rationale for selecting Liberia is that energy sector in Liberia is a focal sector with objective to strengthen the policy, regulatory and institutional environment for renewables and access to energy for the poor. Under EDF 10 a number of pro-poor projects have been implemented and will be the focus to better understand EU strategy in switching to policy and institutional development.		22467	267810	2011	2			1	2			
			1													1.000.000	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia				22467	267844	2011				2	1			
													1							Development of a cooking program		EUEI					2	2	1		
				1													10.000.000			Liberia Energy Access	Blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor (EQ5)		Blend		2013						
Nigeria	23.799.000	0														27.000.000	Engersing Access to Sustainable Energy in Nigeria (EASE)	Support to productive uses for agriculture. <b>Main topic</b> contribution of EU energy support to growth. EQ 8	The rationale for selecting projects in Nigeria is that is part of the regional power pooling and regulatory arrangements. EU support in Nigeria has focused on supporting sustainable production in the agriculture sector. Although the energy projects are new, the design to support energy for productive uses will be assessed with a focus on value added and replicability.	1	23551	340453	2014		2			2			
			1														Market study on Nigerian Captive Power/Feasibility Study of the Waste to Energy (WtE) Project of the Ogun State Government	The <b>main topic</b> will be to see if the the study has driven interest in the market and assess the quality of the feasibility study. (EQ3)		1	37841	377747	2016				2		2		
Burkina Faso	23.000.000															25.000.000	Projet de Production Solaire Photovoltaïque de Zagtooui	Ongoing. Data available on feasibility and costs of the project. <b>Main topic</b> replicability and value added of grant, the relevance of the project and its replicability. EQ4, EQ1, EQ 7	The project will allow comparison on the effectiveness of leverage for different technologies. <b>Main topic</b> will be investment modalities and their efficiency (EQ5 and EQ 7)	1	24177	372855-374366-375099-380662	2016				2				2
Benin	No	5.500.000														60.000.000	Renforcement des capacités des acteurs du secteur de l'Énergie au Bénin - RECASER	On going support. <b>Main topic</b> will be on the design of the the policy and technical assistance to strengthen the energy sector. (EQ3, EQ1)	The energy sector in Benin is a focal sector. The main objectives is to promote green energy. Under EDF 10 a number of energy access projects have been implemented and will be the focus to better understand EU strategy in switching to policy and institutional development.	1	37876	375777-375692	2015					2	2		
			1													20.000.000	Access to Electricity in the Atlantique Province in Benin	Blending project. <b>Main topic</b> will be to assess whether EU support to grid extension is targeting access to the poor. As the project is closed it is possible to evaluate results and replicability (EQ5, EQ8)		1	Blend		2013	2					2		

EVALUATION OF THE EU'S SUSTAINABLE ENERGY COOPERATION (2011-2016)

PEM

Country	Focal sector (value planned)		Initiatives											EU contribution in ME (Allocated value)	Potential Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region	Decision	Decision #	contract #	Decision/contract Date (year)	Objective			Type of intervention X main, (x) minor				
			Energy facility (# projects)	Blending (# projects)	GEEREF (#projects)	ElectriFI (#projects)	TAF (#projects)	EUEI (#projects)			Joint declaration (Yes/No)	Geographic support										Other	Access	RE	EE	Policy	Capacity	Investment	
	RECP	PDF						AEEP	Project approach	Budget support		2007/13	2014/20																
Multi Country															1	10.000.000	Convenant of Mayors	Ongoing The main topic will be to examine how successful this EU flagship approach as worked and whether the experience in Europe, the neighbourhood region has been made use of and transferred to the African context	The rationale for selecting the broader regional and cross regional projects is to see if they are effective and what value they provided in comparison with country based support and whether they link up to and bring advantages for the countries and the EU cooperation at country level (EQ1.6).	1	38322	379416	2015	2			2		
															1	3.000.000	Parliamentary Action on Renewable Energy	The main topic will be to see how this awareness raising and political advocacy initiative has worked and whether has been connected to larger initiatives supported by national partners, EU or other donors EQ 2		1	24019		2011	2	2		2		
																	399.000.000	The ITF SE4All envelope		This decision is the largest in the portfolio (Eruo 399.) and it is divided into 3 areas: blending, GEEREF and EDFI-PSDF. The main topic will be to explore the rationale for this decision.	1	24335		2012	2				
Philippines		60.000.000	0												1	60.000.000	access to sustainable energy projects in the Philippines	The project has 3 pillars: 1. TA/CD for all key stakeholders in the electrification and clean energy sectors; 2. targeted support to scale up government programmes in solar home systems, pre-paid metering and expansion of mini-grids through renewable energy; 3. promoting sustainable business models and innovative technologies for energy access and for job creation in collaboration with the private sector and electric cooperatives. As there are relatively few active donors in the energy sector (small ODA input in the Philippines) the role of the private sector is strong in this field. The main topic will be therefore be how effective the collaboration has been with the private sector. Also it will be assessed how effectively the new support has built upon EU's first bilateral involvement in energy, the EUR 3.5 m SWITCH Asia Policy Project that had an embedded advisor in the Department of Energy - and how the new programme will continue the work on EE and RE after SWITCH Policy project ended in early 2016.	The rationale for selecting Vietnam and Philippines is that these two countries account for the majority of geographic expenditure in Asia.	1	35111		2014	2	2			2	2
Vietnam		108.000.000	0												1	108.000.000	Sector Reform contract	TAF has supported key steps in the preparation process - the main topic will be how inclusive and effective the process has been and how it has developed ownership and commitment of the Vietnamese side. The JD is not yet signed, but expected in May 2017. The main topic is how the JD process has enhanced donor coordination with member states and how effectively EU support is building on lessons of massive support to the energy sector over many years by other donors. According to AA According to the MIP EU intends to further enhance coordination with EU Member States introducing, where possible, elements of joint programming in specific sectors, possibly sustainable energy, starting in 2016 and after a pilot phase.		1	37972		2016	2	2		2	2	



EVALUATION OF THE EU'S SUSTAINABLE ENERGY COOPERATION (2011-2016)

PEM

Country	Focal sector (value planned)		Initiatives													EU contribution in ME (Allocated value)	Potential Projects	Rationale for selection (only in detail for selected projects)	Overall rationale for country / region	Decision	Decision #	contract #	Decision/contract Date (year)	Objective			Type of intervention X main, (x) minor				
			Energy facility (# projects)	Blending (# projects)	GEEREF (#projects)	ElectriFI (#projects)	TAF (#projects)	EUEI (#projects)			Joint declaration (Yes/No)	Gerographic support		Other	Access									RE	EE	Policy	Capacity	Investment			
	RECP	PDF						AEEP	Project approach	Budget support																					
2007/13	2014/20																														
Barbados			2 projects on governance and							1 stakeholder dialogu					1		6.000.000	Barbados Smart Renewable Energy Program for the Public Sector	This is a collaboration between EU and IADB. The main topic is how blending type support has assisted public sector investment (EQ2 and EQ 8)	The caribbean region of small island developing states (SIDS) represents (together with the Pacific) a particular area of intervention for EU support to energy. The islands are for the most part entirely dependent on imported fossil fuel yet have a large potential for renewable energy (solar, wind and biomass). In the Caribbean the EU has provided significant support through blending to larger scale energy projects (e.g. Geothermal in Dominica) but also to developing regional frameworks and mechanisms to assist in country to country knowledge sharing.	1	24187		2013	2	2	1	2			
Multi country			1							none yet					1		1.000.000	Frameworks policies and instruments for mobilising RE in Caribbean	The main topic will how well the policy support and capacity development has worked and its contribution to an enabling environment for RE (EQ2.3, and possible EQ8)		22467	266800	2012		2		2	2			
Dominica				1													2.000.000	Support to development of Geothermal energy	This is a blending project with AFD, The main topic is how very specific technical expertise has been brought in through the grant to ensure an enabling environment for geothermal energy (relevant for EQ2/3 on policy /capacity and EQ8 on results)		Blend	316241	2013		2		1	2	1		
Fiji																	1.875.000	Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu[ €1.875m]	The main topic will be to see how well the demonstration and technology transfer and difusion has worked in bringing renewable energy to small islands and scattered communities.	The Pacific region of small island developing states (SIDS) represents (together with the Caribbean) a particular area of intervention for EU support to energy. The islands are for the most part entirely dependent on imported fossil fuel yet have a large potential for renewable energy (solar, wind and biomass). In the Pacific the EU has provided significant support through budget support (in Fiji) both in EDF 10 and 11 and other project approach based interventions. The support to the energy sector since 2007 in Fiji ensures that there is ample documentation and that results will be available for evaluation.	1	23215		2012	2	2				2	
Tonga																	7.488.000	SRC Renewable Energy [€7.488m]	The main topic will be to see how well the sequence of sector budget support has worked over EDF 10 to 11		1	23407		2011	1	2		2	1	1	
																	10.000.000	Energy Sector Reform Contract II [€10m]					2015				2	1	1		

## Annex 3 – Inventory and outline of initiatives

### 3.1 Inventory

This section aims at providing an overview of EU funding dedicated to sustainable energy during the period 2011-2016. After a quick introduction on the approach followed, this section presents a general overview of EU support to energy, followed by categorisation of interventions according to which initiative they fell under.

#### 1 Description of the approach taken in the inventory

The following table depicts the general approach to the mapping of EU support to sustainable energy:

**Table 1.1 Overview of the approach to the inventory**

Step	Description
1	<b>Extraction of all interventions from CRIS</b> <ul style="list-style-type: none"> <li>• Years 2011-2016</li> <li>• Decisions and contracts</li> <li>• ACP countries, Asia and Central Asia</li> </ul>
2	<b>Selection and verification of interventions</b> <ul style="list-style-type: none"> <li>• Energy related interventions (by keyword search and cross checked with DAC code)</li> <li>• Cross checked with ENRTP and blending evaluation inventories</li> <li>• Cross checked with list from C6 and C3</li> </ul>
3	<b>Categorisation</b> <ul style="list-style-type: none"> <li>• Link of interventions to initiatives</li> </ul>

Step 1 consisted of extracting information from the CRIS database (Common RELEX Information System). The extraction was based on two criteria: the zone benefitting from the action and the years. The data extraction was done in March 2017.

Step 2 consisted of identifying interventions which fall under the energy sector. This was done by searching for keywords related to energy and consulting the DAC codes. The evaluation team then verified and compared the extracted information with lists received from key stakeholders (e.g. DG DEVCO C6, C3) and also earlier evaluations on ENRTP and blending as they also involved energy.

Step 3 involved categorising each intervention according to which initiative it fell under. All interventions were first divided into geographic (region and country) and thematic. A further categorisation was made for the thematic interventions to determine which specific non-geographic initiative each decision and contract fell under.

### Limitations

There were a number of limitations or considerations that are relevant to bear in mind:

- The inventory did not select minor interventions where energy might be a part of the intervention but is only incidental (e.g. providing solar panels as part of renovating court houses in Eritrea under a governance programme). Where the intervention had a major part of energy involved (e.g. in energy-water-agriculture nexus type projects) then the inventory included the intervention.
- The inventory considered energy related projects from the entire geographic scope (Sub-Saharan Africa, Caribbean, Pacific and Asia) and not just countries where energy was a focal sector.
- Many of the interventions in energy were multi-country and sometimes at the global level. These interventions are included in the scope as none were found that explicitly excluded the geographic scope (apart from those that were specific to the neighbourhood region).
- The inventory considered the scope for both decisions and contracts from 1 January 2011 to 31 December 2016. All decisions approved within this period have been considered. Two sets of contracts have been assembled: i) Contracted (2011/2016) - all contracts that were approved during the period 1 January 2011 to 31 December 2016 and ii) Contracted (under decisions in scope) - only those contracts approved that were under decisions approved during the period 1 January 2011 to 31 December 2016.
- Contracted expenditure for the Energy Facility prior to 2014 relates to early decisions and call for proposals well before 2011. Thus, as noted earlier, a revision might be needed during the desk phase of the contracted amounts during 2011-2016 that are not related to decisions taken 2011-2016.
- All decisions and contracts that were related to nuclear safety have been taken out of the scope as have all decisions and contracts that were cancelled.

## **2 General Overview during the period 2011-2016**

Prior to 2011, the main expenditure in energy was for the Energy Facility and through blending. There was also some geographic expenditure for a limited number of countries that had energy as their focal sector in the 2007-2013 and earlier programming periods.

For the timeframe 2011-2016, the total EU funding amount allocated to energy projects was EUR 2.3 billion (Table 1.2). Contracts signed under decisions taken during 2011-2016 sum up to 1.39 billion. The total amount for all contracts signed during 2011-2016 irrespective of when the decision was taken was EUR 1.7 billion<sup>51</sup>. For the timeframe 2011-2016 a total of EUR 717 million had been paid. In total some 90 decisions and 214 contracts have been considered in the inventory.

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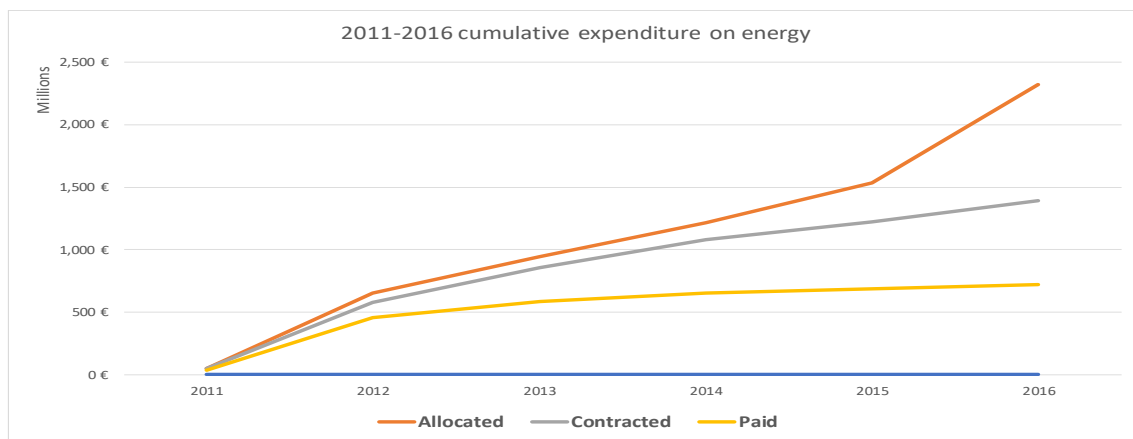
<sup>51</sup> This amount is larger as it also includes contracts related to decisions taken before 2011 and will be subject to revision during the desk phase for those initiatives such as the Energy Facility where decisions and calls for proposals may have been made much earlier than 2011.

**Table 1.2 Overall expenditure (EUR)**

Years	Related to decisions in scope (2011-2016)			All contracts 2011-2016*
	Allocated	Contracted	Paid	
2011	48.023.464	51.046.124	35.616.112	135.538.402
2012	607.973.665	530.059.471	421.662.243	445.445.276
2013	290.350.827	274.690.254	130.012.570	300.816.348
2014	266.845.031	225.405.710	68.102.930	314.683.656
2015	319.380.236	144.647.985	30.915.124	343.424.550
2016	790.106.412	165.036.302	30.899.415	440.956.730
<b>Total</b>	<b>2.322.679.634</b>	<b>1.390.885.845</b>	<b>717.208.395</b>	<b>1.980.864.962</b>

\* all contracts irrespective of decision year

Figure 1.1 shows the expenditure on energy cumulative for the period 2011-2016. As the figure indicates, there was a strong increase in expenditure from 2011 to 2012 from an annual contracting level from around EUR 50 million in 2011 to over EUR 500 million in 2012 - perhaps this can be explained as a timely reflection of the new policy directions of the Agenda for Change (2011). Thereafter the expenditure has been at a constant rate of allocation between EUR 150 -300 million per year with a sharp increase in 2016 up to over EUR 700 million - probably in response to the new programming period where a new cooperation in energy was taking place in many countries which had energy as a focal sector.

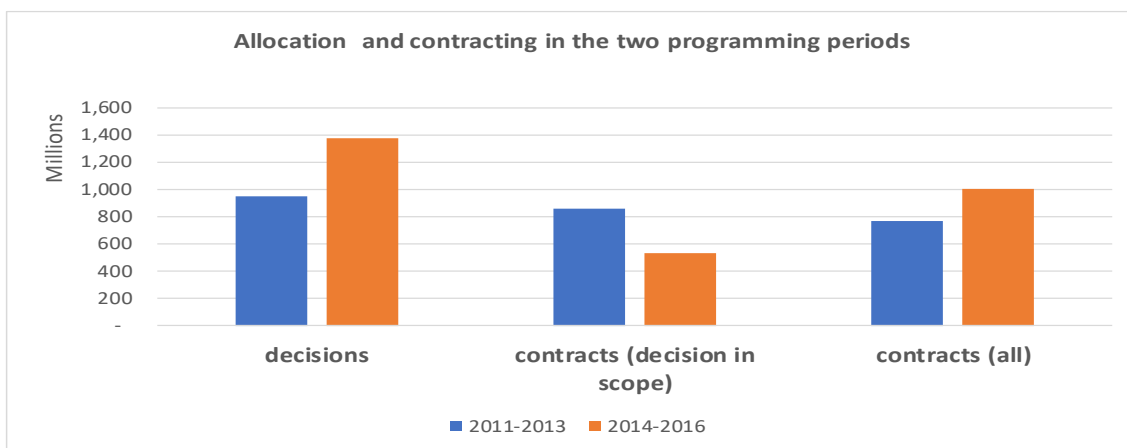
**Figure 1.1 Cumulative expenditure on energy 2011-2016**

### 3 Expenditure during the programming periods

Figure 1.2 shows the allocation for energy for the two programming periods: 2011-2013 and 2014-2016 for decisions and contracts. When comparing the two programming periods, the graph clearly shows that more funds have been allocated to energy in the second programming period. The most likely reason for this increased allocation is that significantly more countries have selected energy as one of their focal sectors and greater

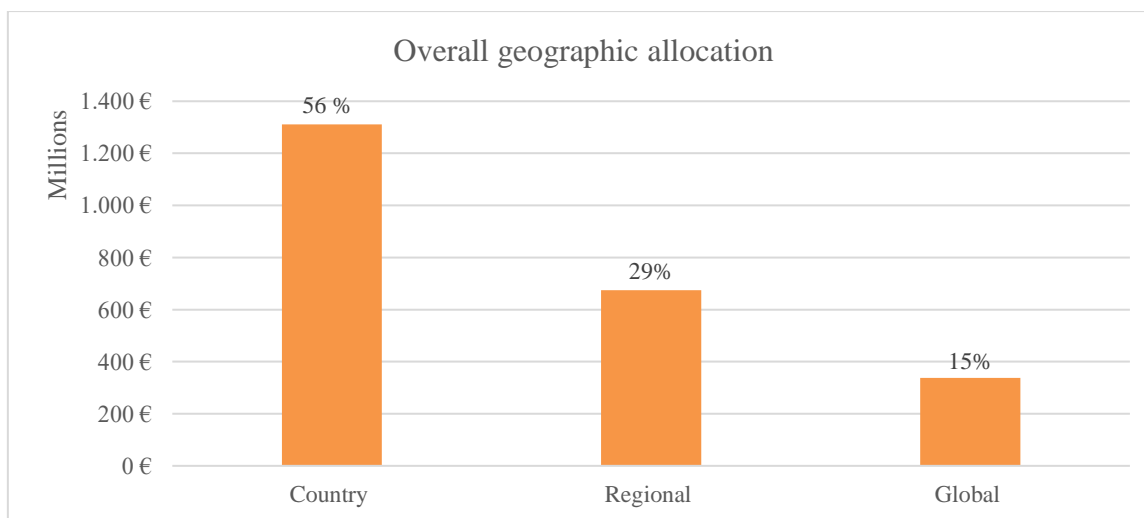
funds are being directed towards energy under thematic funding. The increase in allocation also reflects the agenda for change (2011) where funding was shifted from road infrastructure to energy related infrastructure. It also reflects the greater concentration in the 2<sup>nd</sup> programming period where only 3 focal sectors were supported in each country meaning that each sector chosen was more heavily supported. It is also noteworthy that contracts related to the decisions approved within the scope (2011-2016) show a lower amount in 2014-2016 than for 2011-2013, this is probably due to the time taken at the start of a new programming period to convert decisions to contracts. If one looks at all the contracts signed during the scope (2011-2016) irrespective of when the decision was taken the pattern of an increase rate of expenditure is clear.

**Figure 1.2 Allocation by decision during the two programming periods**



#### 4 Geographic allocation

The figure illustrates the allocation of funds and the geographical focus. More than half of the funding to energy is allocated to country specific activities, which is followed by regional projects and global projects.

**Figure 1.3 Geographic allocation**

When unpacking the data and looking closer at the regions, Figure 3.4 shows the distribution by region where it is clear that the Sub-Saharan Africa region received the largest share with multi-region allocations to the ACP region<sup>52</sup> (EUR 550 million) and globally (close to EUR 350 million) also being significant.

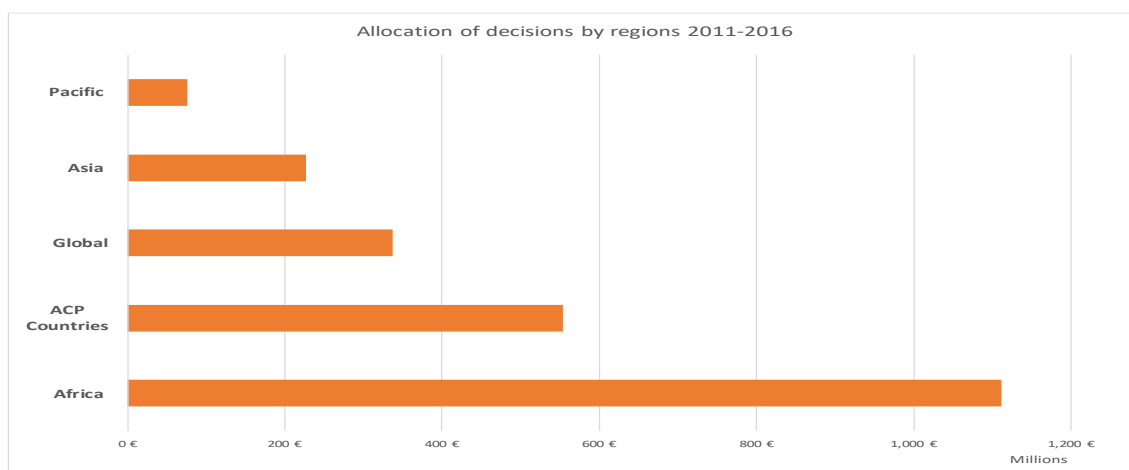
**Figure 1.4 Allocation by region 2011-2016**

Figure 1.5 shows the sub-regions in Africa. East Africa received almost EUR 620 million followed by West Africa with just over EUR 420 million. This indicates a heavy concentration in the period 2011-2016 in East and West Africa.

<sup>52</sup> ACP countries reflect the designation given in CRIS. Whereas global represents decisions where expenditure could cover all countries, ACP countries represents decisions where expenditure could cover all of the 3 ACP regions.

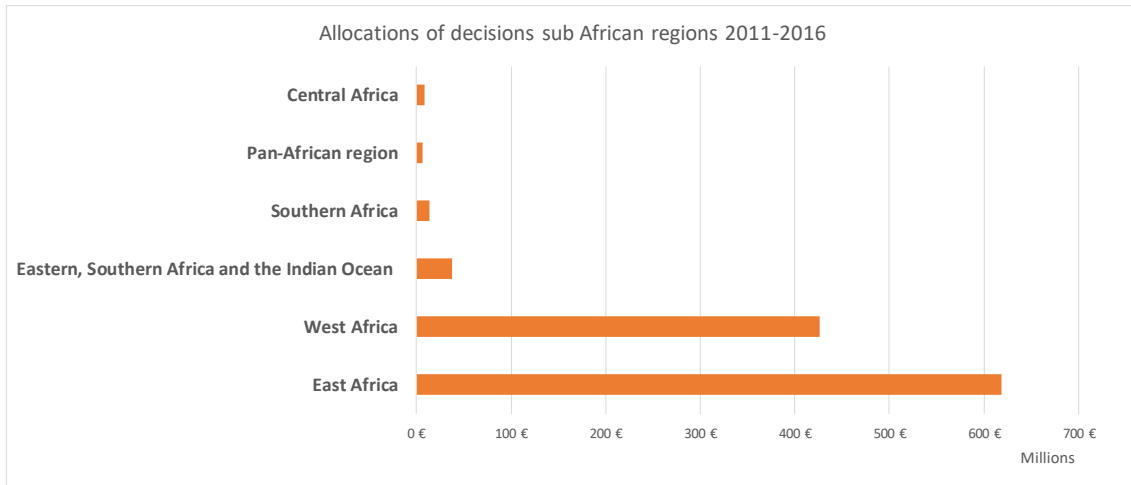
**Figure 1.5 Allocation by sub-region 2011-2016**

Figure 1.6 shows the allocation by decision (2011-2016) looking further into the Sub-Saharan African region. The countries that were allocated more than EUR 50 million are: Djibouti, Ivory Coast, Liberia, Nigeria, Rwanda, Tanzania and Zambia.

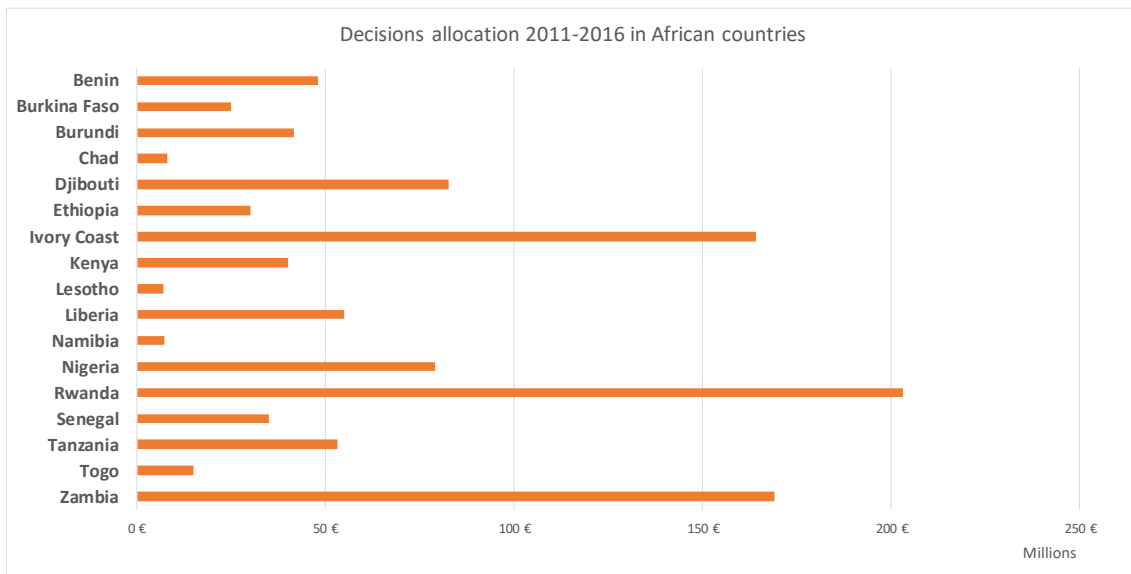
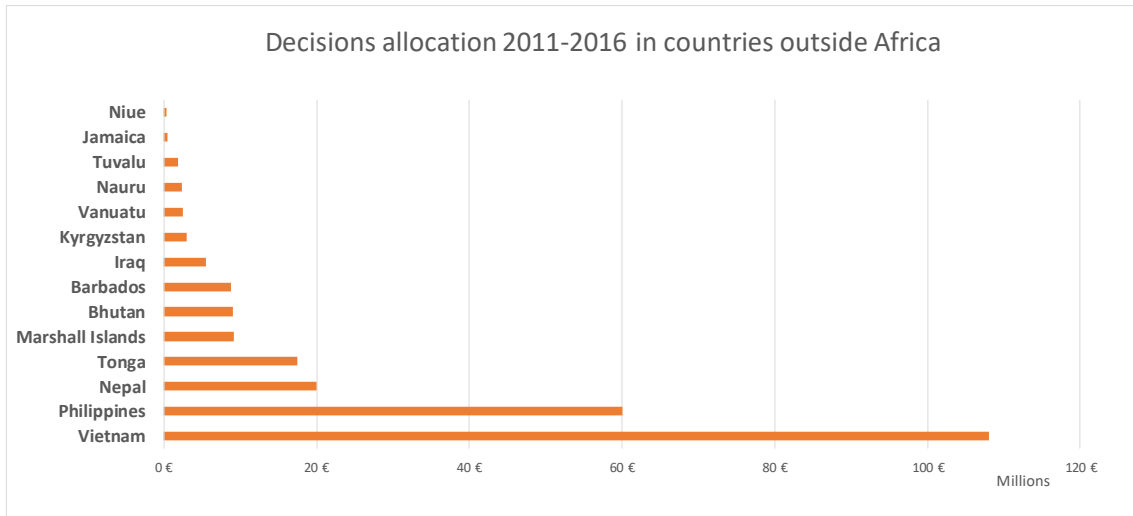
**Figure 1.6 Allocation within Sub-Saharan African countries 2011-2016**

Figure 1.7 shows the allocation by decision (2011-2016) looking into the countries outside of Sub-Saharan Africa. In Asia Vietnam is the country receiving most funding for energy projects in total 108 million EUR (in that case related to a single sector reform contract). Only Vietnam and the Philippines have been allocated over EUR 20 million during 2011-2016.

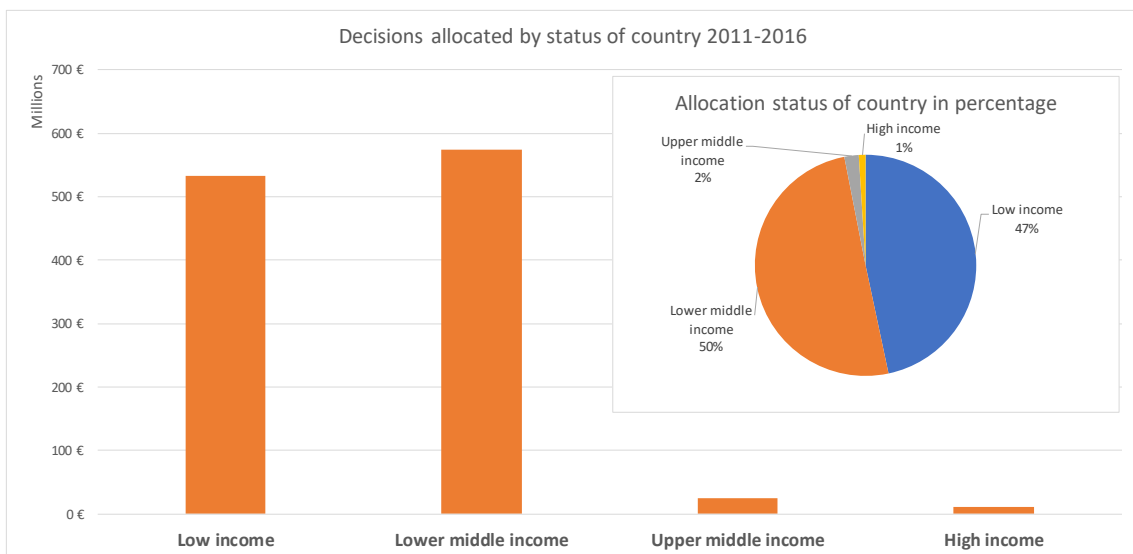
**Figure 1.7 Allocation within ACP outside of Sub-Saharan African countries 2011-2016**



**5 Allocation according to country income status**

Figure 1.8 shows the allocation of decisions according to the income status of the country using the World Bank classification. The highest amount of funding allocated to energy projects is allocated to lower middle-income countries, followed closely by low income countries which together account for 97% of the allocation, indicating a strong focus on poor countries.

**Figure 1.8 Allocation by income status of country within ACP 2011-2016**





## 6 Initiatives

Figure 1.9 shows the contracting per initiatives for the period 2011-2016 (taking all contracts signed into account during 2011-2016 irrespective of decision year). The figure shows that blending accounts the largest amount of funds contracted during the period with geographic expenditure closely following. Electrifi and EUEI-PDF are also significant but mainly because they are contracted in bulk rather than as contract by contract as is the case for blending. The Energy Facility contracting appears limited and is underestimated in this presentation.<sup>53</sup>

**Figure 1.9 Contracts by initiative 2011-2016<sup>54</sup>**

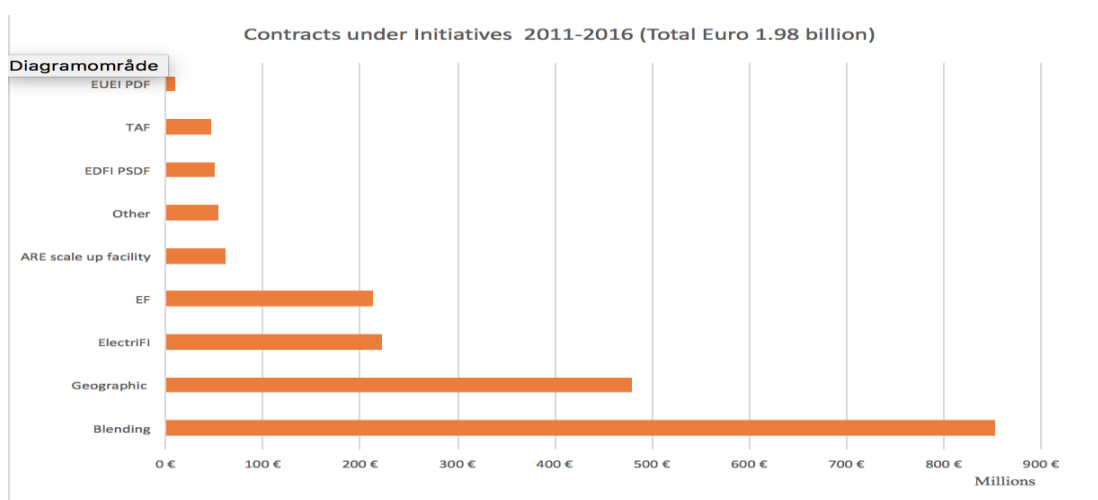
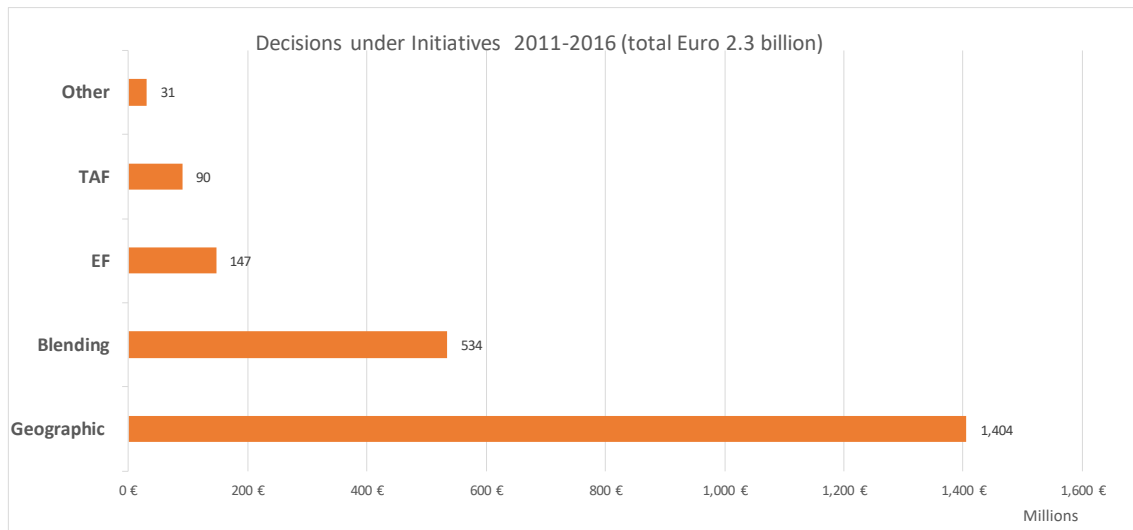


Figure 1.10 shows the allocation under decisions per initiative. There is a significantly different pattern between the contracts and decisions which can be partly but not entirely explained by the fact that the contracts signed some cases will be related to decisions approved before 2011. The allocation of individual contracts and decisions to the initiatives will be reviewed again during the desk phase in close consultation with DG DEVCO C6.

<sup>53</sup> As noted earlier, some of the earlier Energy Facility contracts are not necessarily included

<sup>54</sup> Figure 2.11 and 2.12 refer to the period 2011-2016 whereas the figures given earlier refer to a period back to 2007 when the initiatives first started.

**Figure 1.10 Decisions by initiative 2011-2016**

### 3.2 Outline of initiatives

#### **The Africa-EU Energy Partnership (AEEP):**

AEEP is one of the service lines of the EU Energy Initiative Partnership Dialogue Facility (EUEI PDF).

**Objectives:** To improve access to secure, affordable and sustainable energy for both continents, with a special focus on increasing investment in energy infrastructure in Africa. AEEP's 2020 political targets are that Africa and EU will take joint action to: i) bring access to modern and sustainable energy services to at least an additional 100 million Africans; ii) double the capacity of cross-border electricity interconnections and double the use of natural gas in Africa and double the African gas exports to Europe ; iii) build 10,000 MW of new hydropower facilities, at least 5,000 MW of wind power capacity, 500 MW of solar energy capacity, triple the capacity of other renewables such as geothermal and biomass, and iv) improve energy efficiency in Africa in all sectors starting with the electricity sector.

**Scope:** AEEP is a long-term framework for strategic dialogue between Africa and the EU aimed at sharing knowledge, setting political priorities and developing joint programmes on the key energy issues and challenges in the 21st century. Its work is structured along four thematic work streams (energy access, energy security, renewable energy, and energy efficiency) that break down the energy sector into sub-sectors and are aligned with AEEP 2020 Targets.

**Rationale:** African and European Heads of State launched AEEP in 2007 in the context of the Africa-EU Joint Strategy, in order to strengthen mutual efforts to achieve long-term sustainable supply of modern energy services to all of Africa and Europe's diverse populations. The above-cited ambitious targets for energy access, energy security, renewable energy and energy

efficiency were adopted at the first AEEP High Level Meeting, held in Vienna in September 2010.

**Status:** AEEP celebrates its 10<sup>th</sup> Anniversary in 2017. The AEEP 2016 status report update urges AEEP to consider revising its targets and relating them to the SDG, SEforALL and AREI 2030 targets, and the report strongly argues that more needs to be done to improve coordination and avoid duplication of efforts. There is ongoing discussion in the Steering Group about future directions. AEEP in May 2016 published an extremely useful mapping report on energy initiatives and programmes in Africa and its 2016 status report update contains detailed information under each of the four target headings.

**The Strategic Energy Advisory and Dialogue Services (SEADS):**

SEADS is another service line of EUEI PDF.

**Objectives:** SEADS supports:

- **Policy, strategy, and regulation** - advisory services for the drafting and/or implementation of energy policies, regulations, laws and strategies the development and improvement of energy
- **Institution building and strengthening** - support for the establishment and/or energy specific institutions e.g. rural electrification agencies, centres for renewables and energy efficiency
- **Capacity building** - development of knowledge and skills relevant in the development and implementation of energy policies and institutions through trainings, workshops etc.
- **Knowledge sharing** - advisory services for the drafting and/or implementation of energy policies, regulations, laws and strategies

**Rationale:** The EUEI PDF has been a pioneer in supporting policy change to create favourable frameworks for sustainable energy market development in developing countries, and EUEI PDF offers SEADS for the development and improvement of energy policies, strategies and regulations in order to create an enabling environment for sustainable energy investments.

**Status:** SEADS are demand-driven, based on a formal request from national and municipal governments or regional organisations. This is followed by a thorough in-country scoping to evaluate the feasibility of the request. A decision on whether to proceed with the intervention is made after consulting stakeholders and completing an internal assessment. Most of the accepted projects take 6–18 months to complete. By working closely with local stakeholders and the wider donor community during project implementation, EUEI PDF ensures efficient and results-oriented services that lead to the adoption and implementation of improved laws, strategies, etc. (Source: <http://www.euei-pdf.org/en/seads>)

**Africa-EU Renewable Energy Cooperation Programme (RECP):**

AEEP is also one of the service lines of EUEI PDF.

**Objectives:** The RECP focuses on meso-scale renewable energy investments, loosely defined as multi-million euro investments, related to all renewable energy resources employed. Meso-scale

projects have substantial potential for increasing energy access and simultaneously provide local benefits.

**Scope:** The RECP focus on Africa and on supporting renewable energy investments.

**Rationale:** The RECP is based on an integrated approach of interlinked activities organised in four Action Areas geared towards enabling and triggering investment. Each Action Area is targeting a crucial factor for success of efficient markets.

- **Action Area 1** – Policy Advisory: Support the development of a policy and regulatory framework favourable to private investment.
- **Action Area 2** – Private Sector Cooperation: Facilitate African and European business cooperation for co-investment, exchange of expertise and technology and promote investment in Africa's renewable energy markets.
- **Action Area 3** – Access to Finance: Support renewable energy projects to reach bankability, assisting valuable project ideas to develop into concrete investment opportunities.
- **Action Area 4** – Innovation and Skills Development: Support the development of technical capacities and business skills by creating an African-European network including research, education and private sector institutions.

**Status:** The Africa-EU Renewable Energy Cooperation Programme (RECP) is a multi-donor programme that supports the development of markets for renewable energy in Africa. It was launched by more than 35 African and European Ministers and Commissioners under the Africa-EU Energy Partnership (AEEP) in Vienna in September 2010.

#### **Technical Assistance Facility (TAF):**

##### **Objectives:**

- Increase the partner countries' administrative and technical capacity for sector policy analysis, its development and implementation.
- Accelerate and implement positively, efficiently and effectively sector reform policies on access to sustainable energy, energy efficiency and energy supplies.
- Facilitate the implementation of the investment projects needed to meet the overall SE4All objective of making modern energy services accessible to all.

**Scope:** The Facility's purpose is to deliver high level technical assistance at country and regional level through expert missions mobilised at short notice and to support committed countries in significantly scaling-up investments in the energy sector.

**Rationale:** The EU launched in July 2015 a Technical Assistance Facility (TAF) with a budget of €65 million, to assist partner countries in fine tuning their energy policies and regulatory frameworks to allow for increased investments in the energy sector. The TAF through targeted expert missions to the partner countries delivers five types of technical assistance packages which are supposed to provide unique assistance:

- **Policy and reform:** assists the national stakeholders in defining a coherent way forward as regards the required national action plans, legislation and regulations and in creating

enabling policies and regulatory frameworks as tools for advancing the development agenda.

- **Capacity building:** supports capacity building as a prerequisite for a sustainable implementation of such policies and regulations, and the development of knowledge and skills.
- **Investment projects planning support:** supports partner countries in prioritising and preparing their infrastructure projects especially in ensuring the relevance of projects and overall coherence with national policies.
- **Mobilising funds and partnerships:** The leveraging of funds and their innovative use are key to harnessing the existing energy potential in Africa.
- **Industrial and technology cooperation:** supports the establishment of regional and national networks of professionals, across the various technologies and sectors.

**Status:** The Technical Assistance Facility has been divided into three regions: 1. Western & Central Africa; 2. Eastern & Southern Africa (TAF-ESA); 3. Asia, Neighbourhood, Latin America, Caribbean & Pacific. It supports countries which are committed to reaching the Sustainable Energy for All (SE4ALL) objectives, in particular those who selected energy not only as one of the priority areas of their national policy agenda, but also chose energy as a focal sector in their bilateral cooperation with the EU for the period 2014-2020.

#### **ACP-EU Energy Facility (EF):**

**Objectives:** of the 1st ACP-EU Energy Facility were:

- Improved access to modern energy services for poor rural people, with priority for the un-served population living in scattered settlements, villages, rural towns, peri-urban areas and remote islands, using the grant funds to leverage additional investment or scale up successful programs.
- Improved governance and management in the energy sector by strengthening poverty related policy making in the energy sector and across sectors, the institutional and legal framework and the capacity of key stakeholders.
- Facilitation of future large-scale investment programs in cross-border interconnections, grid extensions and rural distribution.

**Scope:** The ACP-EU Energy Facility focused its activities in those ACP countries which had a sound national energy policy, or which were strongly committed to develop it based on good governance principles, and where there was prioritisation of spending towards social sectors. It could also assist countries to improve their institutional and regulatory framework in the energy sector to attract financial resources for sustainable energy related projects.

**Rationale:** The Energy Facility was shaped at a time when the attention for energy and development was diminishing and since then co-financed 140 projects aiming at increasing access to modern energy services in rural and peri-urban areas, benefitting 15 million people, including via the development of blending projects for access.

**Status:** Created to implement the EU Energy Initiative (EUEI) launched in Johannesburg in 2002, the Energy Facility was endowed with a total of EUR 420 million under the Intra-ACP envelopes of the 9th and the 10th European Development Fund (EDF). The European Union and the ACP

States established a new Energy Facility under the 10th European Development Fund for the period 2009-2013. This Facility was meant to contribute to the objectives established within the Millennium Development Goals (MDGs) in terms of poverty alleviation and environment. Endowed with €200 million, its focus was on improving access to sustainable energy services in rural and peri-urban areas while fighting against climate change. Therefore, the new Energy Facility emphasized the use of renewable energy sources and energy efficiency measures.

#### **Geographic Instruments: RIPs and NIPs:**

The national and regional indicative programmes (NIPs and RIPs) are funded under the 'geographical' instruments and include financing for energy cooperation projects. The main instruments are the European Development Fund (for the African, Caribbean and Pacific countries) and the Development Cooperation Instrument (for Asia, Latin America and South Africa).

#### **National indicative programmes (NIPs):**

**Objectives:** The NIPs are programming EU support in two to three specific sectors, with the objectives of poverty eradication, sustainable and inclusive economic growth, and climate change adaptation and mitigation.

#### **Scope:**

- Energy Service Reform Contracts: Budget support to address sector reforms and improve service delivery (incl. preparation and implementation of reforms, support to the implementation of energy sector policies, support to effective sector governance and institutional arrangements).
- Procurement/Grant/TA: large panel of interventions targeting investments in renewable energies, in energy access and energy efficiency projects.

**Rationale:** Programming aid. Supporting partner countries in building an enabling environment to mobilise public and private funds and with the implementation of sustainable energy policy. The support is based on the following principles:

- Alignment with partner countries own development policies, priorities and objectives
- Consistency with EU development policy, particularly the "Agenda for Change" and commitment to SE4All.

**Status:** Between 2011 and 2016 more than € 8 billion were contracted over 140 projects in 21 countries (Source: Excel Master NIPs). The total amount programmed for the EDF 11 (2014-2020) is € 30.5 billion, of which 8% is allocated to the energy sector (Excel C6 "Diversification").

#### **Regional indicative programmes, RIPs:**

**Objectives:** RIPs set strategic objectives for the EU's relationship with region and define an envelop of support.

**Scope:** Choice of sectors – complementarity with other EU programmes and with other financial institutions; Financial overview – indicative Budget; EU support per sector; Programmes to be

financed under the Multi-country Technical Assistance Facility; Measures to support or accompany the programming, preparation or implementation of Actions. Annexes including the region at a glance, Donor matrix, Sector intervention framework and performance indicators, Indicative Timetable for commitments of funds.

**Rationale:** The RIPs are meant to address the challenges of the countries in a certain region with common issues and problems by implementing programmes at regional level.

**Status:** The EDF 10 and 11 had RIPS for West Africa, Central Africa, East-South-Indian Ocean (combined into one for EDF 11). In most cases considerable funds have been set aside for regional infrastructure to be provided through blending.

### **Blending:**

**Objectives:** Beyond the specific development objectives defined for each operation, the use of blending reflects the following specific goals: Financial leverage: mobilise public and private resources for enhanced development impact and do more with less; non-financial leverage: improve project sustainability, development impact, quality, innovation and enable a faster project start; policy leverage: support reforms in line with EU and partner country policies; aid effectiveness: improve cooperation between European and non-European aid actors (i.e. donors and financial institutions); visibility: provide more visibility for EU development funding. (Source: EC Blending guidelines, November 2015)

**Scope:** In the period up to end 2016, blending was managed through seven investment facilities: EU-Africa Infrastructure Trust Fund (ITF); Neighbourhood Investment Facility (NIF); Latin American Investment Facility (LAIF); Caribbean Investment Facility (CIF); Investment Facility for Central Asia (IFCA); Asian Investment Facility (AIF) and, Investment Facility for the Pacific (IFP).

**Rationale:** Blending is the strategic use of a limited amount of grants to mobilise financing from partner financial institutions and the private sector to enhance the development impact of investment projects. Blending is a response to a demand from partner countries for finance for larger scale capital-intensive projects such as infrastructure and to spur sustainable growth and create decent jobs through support to small medium enterprises (SMEs), and assist developing countries in climate change adaptation and mitigation. Many partner countries cannot access such funding through financial markets at the needed scale and cost, partly due to market failures such as asymmetric information or unpriced externalities which are at the origin of a gap between private and social returns. Public support can bridge this gap and make projects happen. Partner countries are also now looking at more complex projects — often multicomponent, sometimes multisector — that contribute to poverty alleviation, are sustainable and frequently involve the use of frontier technology. Such projects require tailored innovative financing instruments.

**Status:** Total EU funding allocated to the investment facilities during 2007 2014 reached more than EUR 2 billion, representing 4% of DEVCO's funding. The amount effectively contracted (at

31/12/2014) reached EUR 1.7 billion and covered just over 200 projects in 46 countries. The European external investment plan (2016) envisages the setting up of a new European fund for sustainable development which will bring together the seven blending facilities into a single platform.

### **The Global Energy Efficiency and Renewable Energy Fund (GEEREF):**

**Objectives:** GEEREF aims to catalyse private sector investments into funds and underlying projects by leveraging the public sector seed contributions concentrating on infrastructure projects that generate clean power through proven technologies with low risk. (Source: [www.Geeref.com](http://www.Geeref.com))

**Scope:** GEEREF focuses on small and medium scale energy efficiency and renewable energy in emerging markets. GEEREF is a Fund-of-Funds advised by the European Investment Bank Group which invests in private equity funds which focus on renewable energy and energy efficiency projects in emerging markets.

**Rationale:** The rationale of GEEREF is that by investing in a private equity funds which, in turn, invest in private sector projects, there will be an enhancing the leveraging effect of GEEREF's investments. It is estimated that, with € 222 million of funds under management, over € 10 billion could be mobilised through the funds in which GEEREF participates and the final projects in which these funds invest.

**Status:** GEEREF was initiated by the European Commission in 2006 and launched in 2008 with funding from the European Union, Germany and Norway, totalling € 112 million. In 2015 it concluded its fundraising from private sector investors, which brought the total funds under management to € 222 million. By end of 2016, GEEREF had invested in 12 funds across Africa, Asia, Latin America and the Caribbean. It is not entirely clear how much of these funds are private sector and how much are development finance.

### **The Electrification Financing Initiative (ElectriFI):**

**Objectives:** ElectriFI's objectives are to: i) boost investments increasing access to electricity and modern energy services as a driver for development, through unlocking the existing potential of the private sector and ii) bridge the financial gap by making available early stage development risk capital, namely grants, that may convert into subordinated debt and which will be paid back when investments succeed (Source: EC presentation May 2015)

**Scope:** ElectriFI focuses on addressing the needs of populations living principally in rural, underserved areas as well as areas affected by unreliable power supply. In addition, ElectriFI seeks to encourage the adoption of renewable energy, with a particular emphasis on decentralized energy solutions. ElectriFI can provide funding and support to developers/investors across a range of business models.



**Rationale:** ElectriFI aims addressing gaps in project preparation and accessing debt and equity funding. Through use of convertible grants that address market imperfections it is expected that ElectriFI will unlock, accelerate and leverage private sector investment to increase or improve access to affordable, reliable, sustainable and modern energy in developing countries.

**Status:** ElectriFI is a joint project between the European Commission and the European Development Finance Institutions (EDFIs). The initial amount of about EUR 75 mln contributed by the European Commission to ElectriFI will be implemented by FMO jointly with the EDFI Association of 15 European Development Banks ([www.edfi.eu](http://www.edfi.eu)). ElectriFI initially has a timeframe of 10 years, which could be extended if additional funding is secured. The American presidential initiative Power Africa agreed to contribute USD 10 mln to ElectriFI and based on the overwhelming demand in Round 1, the EC is expected to increase its contribution. ElectriFI launched a first call for proposals in April of 2016. A next round is expected towards the end of 2016.

#### **EDFI-PSDF:**

**Objectives:** To address the overall objective of reducing poverty and promoting economic development in Sub-Saharan Africa, and more specifically, increasing access to modern energy services, and promoting investments in renewable energy and in energy efficiency projects.

**Scope:** This facility will provide, from the resources of the 10th European Development Fund (EDF), guarantees (partial credit guarantees - PCGs) of up to EUR 43.2m, administered by the EIB on behalf of the EU and technical assistance (TA) of EUR 5m for early stage projects, to private sector investment projects in the energy sector in Sub-Saharan Africa that are eligible under the Sustainable Energy for All (SE4All) initiative. The EIB would manage the facility on behalf of the EC. All decisions will be taken by either the EFP or the ICCF Investment Committee, in which the Commission will be represented

**Rationale:** EEDF grant finance is intended to leverage EFP/ICCF loan or equity finance in a new risk-sharing mechanism to address SE4All objectives in the following way: under EFP/ICCF the EDFIs and the EIB may consider to support private sector projects in the energy sector that address the objectives of SE4All but that are either at an early stage of development and/or have a higher risk profile than would normally be acceptable to them. In addition, TA would be available under the EEDF, to support feasibility studies, capacity building and advisory services, and/or provide a guarantee to the EFP/ICCF Financing Partners in order to facilitate the mobilisation of loan or equity finance to high impact projects in terms of SE4All objectives that are high risk and may otherwise not be acceptable for funding. Both TA and guarantees thus would provide significant additionality to financing partners' portfolios.

**Status:** The facility was set up in 2014 – the present status is not known.

#### **Joint Declarations (JDs):**

**Objectives:** Joint Declarations (JDs) on reinforced cooperation in the field of sustainable energy, signed between the EU and partner developing countries, strengthen the political ties between energy policy commitments of signatory countries and the financial support by the EU and other co-signing donors. JD objectives focus on accelerating achievement of national sector objectives, increasing access to modern affordable and sustainable energy services to the population while improving the efficiency of energy infrastructure and use.

**Scope:** The scope of JDs varies by signatory country depending on the policy priorities of the country and the focus of EU and member state donor support. Looking at the 20 JDs thus far seen by the Evaluation Team for countries within the geographic scope of this Evaluation the JDs follow a similar template that typically sets out a 14-18 point agreement (some JDs have as low as 5 some as many as 22 points) covering: acknowledgement of the signatory country's policy objectives and related national strategies and plans; reference to the SEforALL goals and action agenda as well as the EU Agenda for Change; support by signatory EU member states; complementarity of EU and member state actions with those of other partners and the need to leverage initiatives and funding and avoid duplication; intentions to accelerate achievement of national sector objectives, increasing access to modern affordable and sustainable energy services to the population while improving the efficiency of energy infrastructure and use; the specific agreed actions by the EU, the signatory EU member states, and by the Government of the signatory country; and finally reference to an indicative roadmap for actions aimed at mutually strengthening the individual efforts of the signatories.

**Rationale:** JDs are an important vehicle for more well-coordinated action that strengthens synergies and leverage of individual efforts by the signatories. JDs are therefore often co-signed by a number of key EU member states that also provide sustainable energy support in the signatory partner country and thus reflect high-level political commitment by both the recipient country and key development partners, which can be of crucial importance for facilitating effective cooperation for sustainable outcomes and impact.

**Status:** As noted above a total of 20 JDs have been seen by the Evaluation team (14 in Africa and 6 in the Pacific). JDs are used as a vehicle for the EU in many areas but to the Evaluation team's knowledge the JD as a vehicle for enhanced sustainable energy cooperation has not been evaluated or reviewed. It is noted that each JD carries a disclaimer that the Declaration does not, nor is it intended to create any binding, legal or financial obligations on either side under domestic or international law.

## Annex 4 – Key Persons Met/consulted

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<b>Lukonde Kaunda</b>	Acting Senior Energy Officer, Department of Energy, Ministry of Energy
<b>Misheck M Mubuyaeta</b>	Energy Officer, Department of Energy, Ministry of Energy
<b>Brian Siakwenda</b>	Energy Officer, Department of Energy, Ministry of Energy
<b>Winford Simwanza</b>	Power Development Officer, Department of Energy, Ministry of Energy
<b>Elijah Chibwe</b>	Power Development Officer, Department of Energy, Ministry of Energy
<b>Geoffrey Musonda</b>	Chief Executive Officer, Rural Electrification Authority (REA)
<b>Newton Ndhlovu</b>	Planning Engineer, REA
<b>John Msimuko</b>	Director General, Zambia Environmental Management Agency
<b>Kennedy Sichone</b>	Project Manager, LTDRP, ZESCO
<b>Joseph Kapika</b>	Senior Energy Specialist, World Bank, Lusaka
<b>Mwila Chikwekwe</b>	Investment Officer, AFD
<b>Peter Engbo Rasmussen</b>	Principal Country Economist African Development Bank, Lusaka
<b>Magdalena Svensson</b>	Development Cooperation Energy, Sida, Swedish Embassy Lusaka
<b>Sabera Khan</b>	Chief Executive Officer, REEEP/Green Knowledge Institute
<b>David Shula Mpundu</b>	Energy Advisor, Power Africa
<b>David Phiri</b>	Project Engineer, Office for Promoting Private Power Investment (OPPI)
<b>Dr Andrew Flanagan</b>	Country Director, ZARENA
<b>Magret Mapoma</b>	Head teacher, Kabwanga Secondary School



<b>Precious Madubansi</b>	Nurse in Charge, Kabwanga Secondary School Rural Health Centre
<b>Captain Bernard Mwewa</b>	Irrigation Officer, Officer in Charge, Zambia National Service (ZNS), Mumbwa
<b>Sylvester C Mulenga</b>	Plant Manager, Grosvenor Resources Mine, Grosvenor Resources (Z) Ltd
<b>Troy Minne</b>	Managing Director, Amatheon Agri Zambia Ltd,
<b>Cholwe Godfrey</b>	National Evaluation Team Expert
<b>Kelvis Kasonkomona</b>	Ethiopia
<b>Giorgia Favero</b>	Regional and Infrastructure Team Leader, EUD
<b>Daniele Morbin</b>	Rural Transformation and Resilience, EUD
<b>Lars Nielsen</b>	Seconded national Expert, Energy and Migration, EUD
<b>Alemayehu Semunigus</b>	Programme Manager, EUD
<b>Sahele Tamiru</b>	Director, Ministry of Water, Irrigation and Electricity (MoWIE) Energy Study and Development Follow-up Directorate
<b>Asress Wolde-Giorgis</b>	MOWIE Alternative Energy Technology Development and Promotion Directorate (AETDPD)
<b>Getahun Moges</b>	Director General, Ethiopian Energy Authority (EEA)
<b>Zewge Worku</b>	Responsible for energy efficiency, Ethiopian Energy Authority
<b>Clement Boulier</b>	Project Officer, AFD
<b>Ignace Monkam-Daverat</b>	Regional Director, AFD
<b>Gene Lin</b>	Senior Energy Advisor, Power Africa
<b>Gezachew Fekadu</b>	Managing Director, Solarkiosk Solutions plc (Ethiopia)
<b>Sisay Alemu</b>	Finance Controller, Solarkiosk Solutions plc (Ethiopia)
<b>Fabio Gaggi</b>	WASH expert, COOPI (Italian NGO)
<b>Rainer Hakala</b>	Director, Energising Development Ethiopia, GIZ
<b>Yodit Zeggay</b>	Country Office Advisor, Energising Development Ethiopia, GIZ
<b>Rahul Kitchlu</b>	Senior Energy Specialist, World Bank, Addis Ababa
<b>Aage Sandal Moeller</b>	Counsellor, Embassy of Denmark
<b>Tigist Kebede Ayalew</b>	Senior Programme Officer, Embassy of Denmark
<b>Nikolaj Lomholt Svensson</b>	Senior Energy Advisor, Danida embedded long-term advisor posted at MOWIE
<b>Obbo Tesfaye Soressa</b>	Director, Bio-Energy Directorate, Water and Energy Bureau of the Oromia Regional State
<b>Worku Behonegne</b>	Country Director, SNV Ethiopia
<b>Melis Teka</b>	Deputy Team Leader, Biogas Programme, SNV Ethiopia
<b>Aster Haile Abreha</b>	Renewable Energy Advisor, SNV Ethiopia
<b>Mr. Belay</b>	Head of Ada'a Woreda Energy Office
<b>Mr. Desta</b>	Energy Expert, Ada'a Woreda Energy Office
<b>Mr. Dibaba</b>	Biogas technician (SNV), Ada'a
<b>Mr. Anbase</b>	Farmer, house owner with SHS in Ada'a Woreda
<b>Shomei Daias,</b>	Farmer with biogas (SNV support)
<b>Fitsumbrhan Tsegaye Beyene</b>	Deputy Director, Horn of Africa Regional Environment Centre and Network (HoA-REC)
<b>Helen Tibebu Senay</b>	Horn of Africa Regional Environment Centre and Network
<b>Mesfin Kinfu</b>	Project Manager, Horn of Africa Regional Environment Centre and Network
<b>Getnet Tesfaye</b>	National Energy Expert, Evaluation Team Member
<b>Mr. Roeland van de Geer</b>	Tanzania EUD Ambassador
<b>Mr. José Correia Nunes</b>	EUD Head of Development Cooperation Department
<b>Ms. Jenny Correia Nunes</b>	EUD Head of Natural Resources Section

<b>Mr. Francis Songela</b>	EUD Project Manager – External Relations Cooperation
<b>Mr. Juma Mkobya</b>	Ministry of Energy
<b>Mr. Samuel Mgweno</b>	Ministry of Energy - Energy Engineer
<b>Mr. Styden Rwebangira</b>	Ministry of Energy- Energy Engineer
<b>Mr. Nyaso Makwaya</b>	Ministry of Energy - Energy Engineer
<b>-</b>	
<b>Mr. Andrew Muguwa</b>	African Development Bank
<b>Mr. John I. Kabadi</b>	TANESCO – Senior Manager Strategic Planning
<b>Ms. Florentina Mutafungwa</b>	World Bank
<b>Mr. Jorgen Erikson, Energy</b>	SIDA - Energy
<b>Mr. Steven Mwakifwamba –</b>	Programme Officer Energy
<b>Mr. Kenneth Mutaonga</b>	DI Frontier Energy
<b>Ms. Katrine Vestbøstad -</b>	Norwegian Embassy - Counsellor – Energy
<b>Ms. Neema Shayo</b>	Norwegian Embassy - Programme Officer
<b>Mr. Victor Akim, -</b>	UNIDO - Project officer
<b>Mr. Robert Washija</b>	UNIDO - National Project Coordinator
<b>Mr. Kiboko Ng'azi</b>	EWURA - Manager, Electricity Generation and Markets
<b>Eng. Joram Kengete</b>	EWURA - Senior Engineer – Electricity Transmission
<b>Eng. Simon Evarist</b>	EWURA - Principal Electricity Inspector
<b>Mr. Godfrey Simbeye</b>	Tanzania Private Sector Foundation – Executive Director
<b>Ms. Rehema M. Mbugi</b>	Tanzania Private Sector Foundation – Programme Officer
<b>Mr. Estomin N. Sawe</b>	TaTEDO - CEO
<b>Ms. Grace Aloyce-</b>	Ministry of Finance and Planning - Programme officer EDF
<b>Ms. Vidah Stanley Malle</b>	Ministry of Finance and Planning - Programme officer EDF
<b>Mr. Mohamed Hassan Khamis</b>	Ministry of Finance and Planning Zanzibar
<b>Mr. Bengiel Msofe;</b>	REA - Director Technical Services
<b>Mr. Prosper Msellem</b>	REA - Director of Policy, Planning and Research
<b>Mr. Mike Gratwicke</b>	Mwenga Power Company (by phone and mail)
<b>Mr. Joel Gomba</b>	Mwenga Power Company (by phone and mail)
<b>Mr. Mayank Bhargava</b>	Solawazi project (by phone and mail)
<b>Mr. Leo Schiefermueller</b>	JUMEME project (by phone and mail)
<b>Mr. Davide Ceretti</b>	JUMEME project (by phone and mail)
<b>Mr. Mathew Matimbwi</b>	Tanzanian Renewable Energy Foundation

## Annex 5 – Annotated Bibliography

This bibliography currently shows the main documents at a generic level. In total some 466 documents have been accessed related to the 11 different initiatives and an additional 694 documents have been accessed relating to the desk sample of countries and projects.

**A General EU policy and communications on sustainable energy**  
**[The Africa-EU strategic Partnership, a Joint Africa-EU Strategy](#), European Council, December 2007, (82 p.).**

*The Joint Africa-EU Strategy (JAES) was adopted at the EU-Africa Lisbon Summit in 2007. Its purpose is to develop a political vision and practical approaches for the future partnership between the EU and Africa, based on mutual respect, common interests and the principle of ownership. The document outlines a first action plan (2008-2010) for all EU Member States aimed at supporting Africa's efforts to achieve the Millennium Development Goals (MDGs). It defines eight specific areas of cooperation with the first one on Peace and Security. Since the 2010 Africa-EU Summit, the EU and Africa have been active in supporting the implementation of the second JAES action plan (2011-2013) to deliver more and better results.*

**European Commission COM (2002) 408: Communication from the commission to the council and the European parliament: Energy cooperation with the developing countries**

[https://ec.europa.eu/europeaid/sites/devco/files/communication-energy-cooperation-with-developing-countries-com2002408-20020717\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/communication-energy-cooperation-with-developing-countries-com2002408-20020717_en.pdf)

**European Commission COM (2011) 637: Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions Increasing the impact of EU Development Policy: An Agenda for Change 2011**

[http://eacea.ec.europa.eu/intra\\_acp\\_mobility/funding/2012/documents/agenda\\_for\\_change\\_en.pdf](http://eacea.ec.europa.eu/intra_acp_mobility/funding/2012/documents/agenda_for_change_en.pdf)

*The Agenda for Change is the EU's key development strategy framework. It underlines the EU's role as coordinator, convener and policy maker and focuses on two areas of concentration: i) human rights, democracy and good governance; ii) inclusive and sustainable growth for human development – these focus areas are to be accompanied by differentiated development partnerships, coordinated EU action, and improved coherence among EU policies. The document sets out priorities within these areas. In energy the EU should offer technology and expertise as well as development funding focusing on three main challenges: price volatility and energy security; climate change, including access to low carbon technologies; and access to secure, affordable, clean and sustainable energy services. The EU should also support capacity development and technology transfer in climate change adaptation and mitigation in long-term partnerships with developing countries based on mutual accountability. There is strong emphasis on joint programming of EU and member states, synchronised where possible with partner country strategy cycles.*

**European Commission SWD (2014) 335 final: Commission Staff Working Document on Activities relating to financial instruments 2014**

[http://ec.europa.eu/economy\\_finance/eu\\_borrower/documents/mfa\\_report\\_372\\_en.pdf](http://ec.europa.eu/economy_finance/eu_borrower/documents/mfa_report_372_en.pdf)

**European Commission MEMO/16/3006 and press release on new The European External Investment Plan (EIP):**

[https://eeas.europa.eu/sites/eeas/files/state\\_of\\_the\\_union\\_2016\\_external\\_investment\\_plan\\_factsheet.pdf](https://eeas.europa.eu/sites/eeas/files/state_of_the_union_2016_external_investment_plan_factsheet.pdf)

*The Commission on 14 September 2016 proposed an ambitious new EIP to support investment in partner countries, in Africa and the European Neighbourhood, to strengthen partnerships, promote a new model of participation of the private sector and contribute to achieve the SDGs. A Commission presentation on the EIP dated 10 February 2017 further describes the EIP's one-stop-shop concept, key objectives (attainment of SDGs and addressing root causes of migration), and 3 pillars (European Fund for Sustainable Development (EFSD); TA; and enhanced investment climate (and country level examples are given on pillar 3 structures dialogue with businesses). Examples of EU blending expertise in Africa are given (SUNREF and MOBISOL).*

**European Commission COM(2016) 740 final: Proposal for a new European Consensus on Development Our World, our Dignity, our Future**

[http://ec.europa.eu/europeaid/proposal-new-european-consensus-development\\_en](http://ec.europa.eu/europeaid/proposal-new-european-consensus-development_en)

*This Communication dated 22.11.2016 summarises global challenges and the 2030 Agenda, the EU response, common priorities – a framework for action, partnership – the EU as a force for implementation of the 2030 Agenda, strengthening approaches to improve EU impact, and following up on EU commitments. The Communication has numerous references to proposed priorities in energy, including: “Energy is a critically important development enabler and central to solutions for a sustainable planet. The scale of financial investment needed to bring universal access to clean energy services requires the engagement of many actors. The EU and its Member States will increase cooperation with all relevant parties, including the private sector, on energy demand management, energy efficiency, renewable energy generation and clean technology development and transfer. They will also promote the phase-out of fossil-fuel subsidy, stable and transparent energy markets and deployment of smart grids and the use of digital technologies for sustainable energy management.”*

**Scott, A.; Darko, E.; Lemma, A.; Rud, J.P. How does electricity insecurity affect businesses in low and middle income countries? Overseas Development Institute (ODI), London, UK (2014) 80 pp.** <https://www.gov.uk/dfid-research-outputs/how-does-electricity-insecurity-affect-businesses-in-low-and-middle-income-countries>

*This study comprised a review of relevant literature, statistical analysis of data from the World Bank Enterprise Surveys from six selected countries (Bangladesh, Nepal, Nigeria, Pakistan, Tanzania and Uganda), and the collection and analysis of qualitative information from key informants in four countries (Bangladesh, Nepal, Nigeria, and Uganda). The analysis focused on manufacturing SMEs, which account for significant employment in developing countries and are*

associated with higher per capita GDP. It gives a number of policy conclusions, and suggests ways for reducing the impact of unreliable energy supply on SMEs.

**Schwerhoff, G. and Sy, M., 2016. Financing Renewable Energy in Africa - Key Challenge of the Sustainable Development Goals. Renewable and Sustainable Energy Reviews. P24 - <http://dx.doi.org/10.1016/j.rser.2016.11.004>**

*This paper examines and bring evidence to support the claims that renewable energy has strong synergy effects on achievement of the SDGs. It examines the reasons for the low investment so far in renewable energy in Africa and presents options for new financial approaches.*

**United Nations General Assembly, Report of the intergovernmental committee of experts on sustainable development financing December 2014, p54**

*An assessment of the financing needs for sustainable development, the current finance flows and the potential sources of finance. A solution is put forward on better aligning private incentives with public goals and creating a policy framework that encourages for-profit investment in these areas, while also mobilizing public resources for essential sustainable development activities. A basket of policy initiatives is advocated.*

## **B Specific initiatives (including earlier evaluations)**

**EC, Evaluation of EC Support to Partner Countries in the Area of Energy, Final Report Volume 1, April 2008, p 112 [http://ec.europa.eu/smart-regulation/evaluation/search/download.do;jsessionid=C7rpttEodq\\_nPawwHAISSama6XsjOGUXHAJbmD2y15TdwA7ocsZI!-639955766?documentId=1551](http://ec.europa.eu/smart-regulation/evaluation/search/download.do;jsessionid=C7rpttEodq_nPawwHAISSama6XsjOGUXHAJbmD2y15TdwA7ocsZI!-639955766?documentId=1551)**

*This evaluation covered interventions designed or implemented during the 1996-2007 period in all the external cooperation partner countries (ASEAN, ACP, Neighbourhood, Russia and the former Soviet Union (FSU)). The scope of the evaluation was extremely broad because the EC's interventions in the energy sector had three very different goals: i) Improving access to energy in developing countries as a means of reducing poverty; ii) Securing energy supplies to the EU; iii) Improving nuclear safety in the FSU. ACP energy spending represented a total of EUR 538 million, around 29% of total spending for energy. See further information under B11 below.*

**Strategic evaluation of the EU support to environment and climate change in third countries (2007-2013), September 2015. [https://ec.europa.eu/europeaid/thematic-evaluation-eu-support-environment-and-climate-change-third-countries-2007-2013\\_en](https://ec.europa.eu/europeaid/thematic-evaluation-eu-support-environment-and-climate-change-third-countries-2007-2013_en)**

*Among the questions addressed by this evaluation was the contribution of EU support toward improving the enabling environment for investments in sustainable energy, with a focus on the reduction of the financial barriers for renewable and energy efficiency investments in developing countries. The Global Energy Efficiency and Renewable Energy Fund (GEEREF) was selected for in-depth evaluation. See further information under B11 below.*

## **B1 AEEP**

**Africa-EU Energy Partnership Status Report Update: 2016** <https://www.africa-energy.com/sites/default/files/AEEP-2016-final-web.pdf>

*A mid-term report on progress, achievements and future perspectives. The Status Report Update was launched at the AEEP's Second Stakeholder Forum held in Milan, Italy on 16- 17 May 2016. The Status Report Update builds on previous work to give an overview of progress towards meeting the AEEP's 2020 Political Targets – using the AEEP Monitoring Tool and its Africa Power Projects Database. The report provides a platform for discussion of how cooperation can be further intensified and project implementation and coordination enhanced to help improve the lives of many millions in Africa and Europe. The report recognises that much remains to be done in compiling the data necessary to inform these decisions. In a transitional period for data-gathering on African energy sectors, AEEP stakeholders – many of them also involved in complementary initiatives, such as SE4All and its Global Tracking Framework (GTF) – are committed to making up the information gap to obtain accurate data on African access, energy efficiency and other indicators.*

**Africa-EU Energy Partnership Mapping of Energy Initiatives and Programs in Africa, Final Report, May 2016** [http://www.euei-pdf.org/sites/default/files/field\\_publication\\_file/mapping\\_of\\_initiatives\\_final\\_report\\_may\\_2016.pdf](http://www.euei-pdf.org/sites/default/files/field_publication_file/mapping_of_initiatives_final_report_may_2016.pdf)

*With the adoption of the SDGs and the historic commitments made at the COP 21, sustainable energy in Africa has risen to the top of the international development and climate agendas. What has been championed by energy sector stakeholders and recognized by the development community and African governments alike is that access to sustainable energy is a precondition to economic development in Africa. Therefore, the sector is experiencing an influx of new initiatives and actors committed to the common goal of supporting the continent in reaching a sustainable energy future. This increased investment and number of energy initiatives have also led to a greater need for coordination to ensure the efficiency and effectiveness of support provided by development partners. As a minimum, information about who is doing what must be available to highlight opportunities, synergies and overlap. The Mapping of Initiatives was undertaken in the context of the AEEP with support of numerous partners, including The African Union Commission (AUC) offering political leadership, input from the SE4All Africa Hub based at AfDB and other key stakeholders including the EC, IRENA, UNEP, and the World Bank.*

**B2 Strategic Energy Advisory and Dialogue Services (SEADS)**

**SEADS brochure, EUEI PDF, July 2016.** [http://www.euei-pdf.org/sites/default/files/field\\_publication\\_file/160718\\_seads\\_broschuere\\_en\\_rz\\_06\\_web.pdf](http://www.euei-pdf.org/sites/default/files/field_publication_file/160718_seads_broschuere_en_rz_06_web.pdf) Under the SEADS service line of EUEI PDF national and municipal governments as well as regional organisations are offered the following types of activities:

- *Advisory services for the drafting and implementation of energy policies, regulations, laws and strategies*
- *Support for the establishment and/or strengthening of energy specific institutions e.g. rural electrification agencies, centres for renewable energy and energy efficiency*

- *Capacity building to establish the knowledge and skills needed for local development of energy policies and institutions*
- *Knowledge sharing of best practices and tools through thematic studies and dialogue events*
- *Relevant government authorities from low and middle-income countries in Sub-Saharan Africa, Southeast Asia, the Pacific and Latin America can request assistance under SEADS.*

**Future Energy Scenarios for African Cities – Unlocking Opportunities for Climate Responsive Development.** [http://www.euei-pdf.org/sites/default/files/field\\_publication\\_file/euei\\_pdf\\_energy\\_scenarios\\_for\\_african\\_cities\\_factfile.pdf](http://www.euei-pdf.org/sites/default/files/field_publication_file/euei_pdf_energy_scenarios_for_african_cities_factfile.pdf)

*Thematic study fact file. Energy, climate change and cities are three key policy priorities. Therefore, the EUEI PDF is developing a study that explores energy scenarios for cities in sub-Saharan Africa until 2050. Intended as a thought leadership product, the study applies a scenario analysis approach to explore the interplay between the energy-climate-cities nexus and provides a useful starting point for policy makers and city leaders in identifying opportunities for action in the context of energy, climate and urban agendas. Study period May-November 2016.*

**The Role of Sustainable Energy Access in the Migration Debate, Working Paper, EUEI PDF, January 2017.** [http://www.euei-pdf.org/sites/default/files/field\\_publication\\_file/euei\\_pdf\\_working\\_paper\\_the\\_role\\_of\\_sustainable\\_energy\\_access\\_in\\_the\\_migration\\_debate.pdf](http://www.euei-pdf.org/sites/default/files/field_publication_file/euei_pdf_working_paper_the_role_of_sustainable_energy_access_in_the_migration_debate.pdf)

*The links between energy development and migration are numerous. Poverty alleviation is the main goal of EU development policy and energy access is a prerequisite for poverty alleviation. Furthermore, the Council of the European Union acknowledges that the lack of or uneven access to energy is part of the root cause of irregular migration. This paper aims to explore interlinkages between sustainable energy access and migration. On the one hand, it examines the role that energy access plays in tackling the root causes of migration and, on the other hand, seeks to better identify solutions for energy access in humanitarian settings. Firstly, the paper describes the role energy plays in the migration debate. Secondly, it looks into the interlinkages between economic and environmental drivers of migration as the most directly related to energy access before migration occurs. Furthermore, it presents ideas about the role sustainable energy access plays in stemming the root causes of migration according to these drivers. It also investigates approaches and trends for improving energy access for displaced populations in peri-urban areas and humanitarian contexts after migration has occurred. Finally, it presents recommendations for enabling sustainable energy access in migration settings and puts forward ideas for coordinating migration and energy development policies.*

### **B3 TAF**

**TAF – The EU's Technical Assistance Facility - SE4ALL. (Leaflet, 4 p.)**  
[https://ec.europa.eu/europeaid/sites/devco/files/leaflet-taf-2015\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/leaflet-taf-2015_en.pdf)

The leaflet presents the five types of technical assistance packages which are supposed to provide unique assistance:

- **Policy and reform:** assists the national stakeholders in defining a coherent way forward as regards the required national action plans, legislation and regulations and in creating enabling policies and regulatory frameworks as tools for advancing the development agenda.
- **Capacity building:** supports capacity building as a prerequisite for a sustainable implementation of such policies and regulations, and the development of knowledge and skills.
- **Investment projects planning support:** supports partner countries in prioritising and preparing their infrastructure projects especially in ensuring the relevance of projects and overall coherence with national policies.
- **Mobilising funds and partnerships:** The leveraging of funds and their innovative use are key to harnessing the existing energy potential in Africa.
- **Industrial and technology cooperation:** supports the establishment of regional and national networks of professionals, across the various technologies and sectors.

It also gives a short overview of its interventions in numerous countries.

#### **TAF presentation, 2015 (21 slides)**

The slides present the objectives of the TAF, how it delivers its TA (see above), type of missions, countries covered, and the beneficiaries, target groups and stakeholders. It presents its on-going and future assignments and some conclusions.

#### **EU Development Cooperation in the Energy Sector - Update on the activity of the Technical Assistance Facility (TAF), June 2015 (7 p.)**

[https://ec.europa.eu/europeaid/sites/devco/files/report- taf- activity- update- june- 2015\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/report- taf- activity- update- june- 2015_en.pdf)

This document describes some activities implemented by the TAF.

#### **Technical Assistance Facility for the Sustainable Energy for All Initiative - East and South Africa – ROM Report, December 2016 (16 p.)**

The conclusions of this ROM report were:

Relevance: TAF-ESA is extremely relevant to promote the aims of the SE4All initiative and the overall EU strategy in energy sector development cooperation.

Efficiency: There are significant delays in the implementation progress of TAF-ESA. After 2.5 years of the 4-year implementation period, according to information provided in the latest progress report, only 35% of the TAF-ESA fees budget has been invoiced.

Effectiveness: The quality of outputs is deemed as good, based on an examined sample from a large number of horizontal and country-specific deliverables submitted by TAF-ESA. Significant added value has been attained from TAF-ESA.

Sustainability: Some target groups are not involved or even adequately aware of TAF-ESA's actions. The involvement of the private sector, which would further enhance TAF-ESA's sustainability, has been restricted to the recently launched *ElectriFI* mechanism and the development of *Investment Prospectuses*. The facilitation of partnership, industrial and technology cooperation is only just about to become activated.



## B4 RECP

### **Africa-EU Renewable Energy Cooperation Programme (RECP) - A European Platform for Private Sector Investments in Africa's RE Markets, March 2017 (pptx, 14 slides)**

*This document is a presentation of the RECP and presents its approach to successful access to financing (feeding projects into existing financing and support instruments) by:*

1. *Well-structured and accessible market information, with the following results: 11 market briefings online, 1 RE Doing Business Guide finalised, 8 in preparation.*
2. *Match-making events in Africa and Europe, with the following results: 12 events organised, 10 in preparation, 861 participants, 1,939 B2B meetings, 2 business trips, 10 EU companies, 30 African companies.*
3. *Identifying project opportunities in partner countries, with the project opportunities identified in 4 African countries, 1 in preparation.*
4. *Project preparation support and access to financial support, with the following results: 130 applicants for advisory support, 17 applicants receiving advisory support, 8,500 unique visitors on online financial database.*
5. *Additionally it provides complementary policy advisory, with 1 training organised and 1 advisory project on-going.*
6. *Additionally it also provides support to skills development and innovation, with the following results: 2 Africa-EU Research events organised, 2 on-going higher education support projects, 1 RE training programme supported.*

*The RECP operates „in depth in six African countries (Nigeria, Rwanda, Uganda; Senegal, Zambia and Mozambique is in preparation). The RECP cooperates through a network of partners, both in-country as well as global or European industry associations.*

### **Africa-EU Renewable Energy Cooperation Programme - Creating Opportunities for Renewable Energy - RECP Strategy 2020. 2012 (44 p.)**

[https://www.icafrica.org/fileadmin/documents/Knowledge/Energy/RECP-Strategy-2020\\_web\\_en.pdf](https://www.icafrica.org/fileadmin/documents/Knowledge/Energy/RECP-Strategy-2020_web_en.pdf)

*This document presents the broad strategic direction of the RECP that is conceived as an open-ended framework for cooperation between the two continents to increase the use of renewable energy on the African continent. For the period up to 2020, the RECP aims to make a substantial contribution to the AEEP Targets for increasing energy access and expanding the use of renewable energy in Africa. At the same time, it will help enhance long-term partnerships between the two continents on political, economic and academic levels. It is estimated that the total capital required to achieve the AEEP Renewable Energy Targets amounts to at least € 20 billion. Assuming that public financing can leverage private investment at a rate of five times, the total public financing required to reach the Renewable Targets in full would be € 3.33 billion. The degree of contribution that the RECP makes to the AEEP Renewable Targets will depend on the financing made available to the programme from public sources in Africa and Europe, and in turn the private investment that this support is able to leverage. In addition to the investment element of Action Area 3, to achieve broad geographical coverage within Africa of the*

sector support activities provided under Action Areas 1, 2, and 4, as well as Steering and Support Services, around € 250 to € 300 million would be required.

**EUEI Partnership Dialogue Facility - Second Phase Project Document, Prepared for: Governing Board Meeting, 22 March 2012 (42 p.)**

*This document relates to all EUEI PDF activities, and it also provides very useful information for the RECP. The RECP has been through a number of phases where their focus has shifted:*

**Start-up Phase (2011-2013):** *The PDF is one of two implementing agencies together with AFD. The RECP Start-Up Phase comprises four components: (i) Component A involves the management, coordination, monitoring and communication of the RECP start-up phase and development of a 10-year RECP action plan, (ii) Component B: the EUEI PDF implements activities in support of the development of renewable energy policies in Africa as well as the development of markets, (iii) Component C is being implemented by AFD and focuses on the increase of capacities in Africa for RE project financing and project preparation, and (iv) Component D: with initial support by the Austrian government, the EUEI PDF will implement activities in support of the development of the next generation of renewable energy professionals in Africa.*

**Transition Phase – implementation (2013 – 2015):** *Development of the RECP 2020 Strategy implementation plan. Following the endorsement of the RECP 2020 strategy, work will proceed to develop a long-term framework for cooperation on renewable energy between the two continents. To this end the EUEI PDF proposes to implement an RECP Transition Phase in the period 2013 to 2015 until preparations for and decisions on more permanent implementation structures and modalities for the RECP as a whole have been made. The EUEI PDF input to the RECP Transition Phase is proposed along three main lines of action: (i) RECP support, coordination and alignment. Continued support for strategic and conceptual development of the RECP, monitoring and evaluation, coordination with international activities and initiatives (e.g. IRENA, SE4ALL etc), (ii) implementation of integrated RECP programmes in two RECP priority countries, preferably to be selected from the list of SE4ALL focus countries, and (iii) continued work to support policy and regulatory environments in an extended number of countries and regions (Action Area 1 of the 2020 Strategy).*

**The EU Energy Initiative Partnership Dialogue Facility - Phase IIbis Report, April 2012 – March 2015. April 2015 (76 p.)** [http://www.euei-pdf.org/en/system/files/field\\_page\\_file/150824\\_euei\\_iibis-report\\_en\\_rz\\_10\\_web.pdf](http://www.euei-pdf.org/en/system/files/field_page_file/150824_euei_iibis-report_en_rz_10_web.pdf)

*This report relates to all EUEI PDF activities and it provides detailed information about the activities of the RECP for that period. The RECP in that period: (i) implemented activities in 12 countries, (ii) had regional activities in East Africa, Southern Africa and West Africa, (iii) published 3 thematic studies, (iv) and initiated 7 dialogue events and/or training activities.*

**B5 Geographic**

**EC/ICD Budget Support and Sustainable Energy. Methodological Note, Draft, June 2016, p.30.**

*The document is addressed to EUDs and provides guidance on how (scope, context of intervention, eligibility criteria) and when to use budget support. The document describes Sector Reform Contracts and provides an overview of existing energy policy, regulation (tariff, standards, etc.), tools and instruments. Major risks by instruments are described. In Annex, the document lists countries with sustainable energy as focal sector and main monitoring indicators.*

### **Country Programmes 2014-2020:**

**EC/EDF, Action Document for the Energy Efficiency Project through Reduction of Losses in Kigali Grid Network (Rwanda), 2014, p 11.**  
[https://ec.europa.eu/europeaid/sites/devco/files/rwanda-ad-1-measure-2014\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/rwanda-ad-1-measure-2014_en.pdf)

*The document provides an overview of EDF EUR 23 million support to Rwanda grid loss programme. The project is part of EDF 11 and Rwanda Electricity Sector Strengthening Program. The objective is to upgrade Mount Kigali substations and connect them to the Kigali Ring, build a national control centre, and install smart meters in the stations. The project is expected to reduce grid losses from 23% down to 17%; improve the security, reliability and quality of supply to the city of Kigali as well as develop EWSA's technical and management capacities. Project components include procurement and implementation of supplies, works and services as well as TA to EWSA and MININFRA with support from TAF.*

**EC/EDF, 11th EDF National Indicative Programme 2014-2020 Rwanda, 2014, p 44.**  
[https://ec.europa.eu/europeaid/sites/devco/files/pin-rwanda-fed11-2014\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/pin-rwanda-fed11-2014_en.pdf)

*The Programme targets three main sectors sustainable energy, sustainable agriculture and food security, and accountable governance. Indicative allocation of EUR 200 million to energy sector (43% of total indicative budget). The main objectives are to increase sustainability and performance of the energy sector. Support is planned in increasing generation capacity (with a focus on geothermal and hydropower resources), increasing access to modern energy (efficient cooking solutions, on/off-grid electrification), improving sector performance and sustainability (losses reduction, phase-out diesel generator) and increasing women participation. Monitoring indicators are provided in the sector intervention framework.*

**EC/EDF, Action Document for Zanzibar Renewable Energies and Energy Efficiency, 2013, p 10.** *The document provides an overview of EDF EUR 3 million support to Zanzibar for energy efficiency measures and capacity building. The project is part of the EDF 11 and national energy strategies. The objective of the project is to promote energy efficiency programmes and RE dissemination through regulatory and institutional development as well as planning energy resources uses. The expected results are an assessment of wind, solar and biogas potential, and improvement of regulatory and institutional context to promote renewable energy projects and energy efficiency initiatives.*

**EC/EDF, Identification Fiche for Zanzibar Energy Sector Reform Contract, 2013, p 10.**

**EC/EDF, 11th EDF National Indicative Programme 2014-2020 Tanzania, 2014, p 52.** [https://ec.europa.eu/europeaid/sites/devco/files/nip-tanzania-20140619\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/nip-tanzania-20140619_en.pdf)

*The Programme targets three main sectors: good governance and development, energy and sustainable agriculture. Indicative allocation of EUR 180 million to energy sector (29% of total indicative budget). The main objectives are to increase energy sector sustainability and performance and to support Tanzania integration in regional energy market to attract private investments. EDF 11 is building upon previous support provided within EDF 10, TAF and AITF. Three main areas of interventions are planned: Sector reforms (incl. the development of Energy Sector Contract Reform), financial sustainability of the national utility and reliable supply of energy (reducing power shortages and blackouts), and access to modern energy. Monitoring indicators are provided in the sector intervention framework*

**EC/EDF, 11th EDF Multi Annual Indicative Programme for Vietnam 2014-2020, 2014, p24.** [https://ec.europa.eu/europeaid/sites/devco/files/mip20142020-programming-vietnam-20140818\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/mip20142020-programming-vietnam-20140818_en.pdf)

*The programme targets two main sectors: sustainable energy and governance and rule of the law. Indicative allocation of EUR 346 million to energy sector (87% of total indicative budget). The programme objectives are to increase the energy sector sustainability and energy access. To that effect, EU interventions will focus on improving efficiency in energy production and consumption, increasing the share of energy produced from RE, and ensuring access to reliable and sustainable energy services. Geographic focus recommended and pilot reform projects to draw best practises and to increase impact. Promote complementary support using EU various instruments (budget support, Asian Investment Facility/EIB, and blending)*

**EC/EDF, 11th EDF National Indicative Programme 2014-2020 Zambia 2014, p 40.** [https://eeas.europa.eu/sites/eeas/files/nip-zambia-edf11-2014\\_en.pdf](https://eeas.europa.eu/sites/eeas/files/nip-zambia-edf11-2014_en.pdf)

*The Programme targets three main sectors: energy, agriculture and, governance. Indicative allocation of EUR 244 million to energy sector (50% of total indicative budget). The main objectives are to improve access to clean, reliable and affordable energy for all. Three main areas of interventions are planned: policy reforms and institutional development, support to increase production and supply of energy from renewables, and support to grid extension for energy access (incl. losses reduction and subsidies for low-income household connection). Monitoring indicators are provided in the sector intervention framework*

**EC/EDF, 11th EDF Multi Annual Indicative Programme for Philippines 2014-2020, 2014, p 40.** [https://eeas.europa.eu/sites/eeas/files/mip20142020-programming-philippines-20140825\\_en.pdf](https://eeas.europa.eu/sites/eeas/files/mip20142020-programming-philippines-20140825_en.pdf)

*The programme targets two main sectors: Inclusive growth through access to sustainable energy and job creation, and strengthening the rule of law. Indicative allocation of EUR 225 million to energy sector (69% of total indicative budget). Two main areas of intervention are planned: i) Increase generation by RE (incl. demand side management initiatives and increase power sector performance) to meet the demand and reach poor*

communities, with a focus on Mindanao; ii) Increase energy access for the poor and for job creation.

**EC/EDF, 11th EDF National Indicative Programme for Cote d'Ivoire 2014-2020, 2014, p 34.** [http://ec.europa.eu/europeaid/sites/devco/files/nip-cote-d-ivoire-20140619\\_fr.pdf](http://ec.europa.eu/europeaid/sites/devco/files/nip-cote-d-ivoire-20140619_fr.pdf) (in French)

*The programme targets three main sectors: governance and peace building, agriculture and food safety, and energy. Indicative allocation of EUR 139 million to energy sector (51% of total indicative budget). The main objective is to improve the energy sector performance to ensure the country energy safety and supply affordable and reliable energy. Three main areas of intervention are planned: i) improve the performance of the power sector to ensure reliable, equitable and affordable supply of electricity (focus on gender and poor access in rural and urban areas); ii) enhance the governance of renewable energy sub-sector to increase investment in RE generation; iii) set-up the governance of energy efficiency sub-sector to improve energy efficiency in industrial, commercial and residential sectors. The document highlights that although the crisis has delayed investments in the sector, investments are increasing with a focus on hydropower generation, regional interconnection and transport. The NIP is expected to support the EIB investments through blending and use of ITF.*

**EC/EDF, 11th EDF National Indicative Programme for Nigeria 2014-2020, 2014, p 36.** [https://ec.europa.eu/europeaid/sites/devco/files/nip-nigeria-20140619\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/nip-nigeria-20140619_en.pdf)

*The programme targets three main sectors: health nutrition and resilience, electrical power, rule of law governance and democracy. Indicative allocation of EUR 150 million to energy sector (29% of total indicative budget). The main objective is to “improve access to the sustainable supply of electricity, particularly for the poorest and in the least developed states especially in northern Nigeria”. Three main areas of interventions are planned: i) energy sector governance with a focus on setting legal, regulatory and institutional to support EE and RE investments; ii) capacity development for the emergence of a private sector in EE and RE; iii) increase energy access through grid extension and renewable dissemination.*

**EC/EDF, 11th EDF National Indicative Programme for Liberia 2014-2020, 2014, p 36.** [http://ec.europa.eu/europeaid/sites/devco/files/pin-liberia-fed11-2014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/pin-liberia-fed11-2014_en.pdf)

*The programme targets four main sectors: good governance, energy, education, and agriculture. Indicative allocation of EUR 100 million to energy sector (37% of total indicative budget). The main objective is to “increase access to RE services and affordable power for communities and economic transformation”. Three main areas of interventions are planned: i) tariff reform for increased access to the grid by low income households, ii) improve sector governance through capacity building of DOE staff; iii) policy reform to enable private investments in the sector.*

**EC/EDF, 11th EDF National Indicative Programme for Burundi 2014-2020, 2014, p 36.** (in French) [https://ec.europa.eu/europeaid/sites/devco/files/nip-burundi-20140626\\_fr.pdf](https://ec.europa.eu/europeaid/sites/devco/files/nip-burundi-20140626_fr.pdf)

*The programme targets four main sectors: rural development and nutrition, health,*

*governance and energy. Indicative allocation of EUR 105 million to energy sector (23% of total indicative budget). The main objective is to improve the performance of the energy sector to contribute to Burundi economic growth. Three main areas of interventions are planned: i) support to energy sector governance and performance through policy and regulatory reforms, improved institutional performance and utility financial sustainability; ii) increase investments in RE generation, and transport and supply infrastructures, support to energy use transition; iii) support RE dissemination and energy efficient cooking technologies to increase impacts of interventions in the rural development, food security and health sectors. Aid is expected to be delivered through project support, blending for large power plant development (i.e. Jiji-Mulembwe hydropower) and TAF.*

## **B6 EU-ACP Energy Facility**

### **EU-ACP Energy Facility - Improving access to energy services for the poor in rural and peri-urban areas, EC 2009 (16 p.).**

[https://ec.europa.eu/europeaid/sites/devco/files/publication-acp-eu-energy-facility-improving-access-2012\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/publication-acp-eu-energy-facility-improving-access-2012_en.pdf)

*This document gives an overview of the history of the Energy Facility and its financing under the Intra-ACP envelopes of the 9th and the 10th European Development Fund (EDF). It also explains the three specific objectives of the 1st ACP-EU Energy Facility, namely: (i) improved access to modern energy services for poor rural people, (ii) improved governance and management in the energy sector, and (iii) facilitation of future large scale investment programs in cross-border interconnections, grid extensions and rural distribution. It explains in which countries it concentrates its activities and which kind of projects it supports. It further shows the results of the First Call for Proposals financed by the 9th EDF. A new Energy Facility under the 10th EDF for the period 2009 – 2013 has been established. This new Facility will contribute to poverty alleviation and environment and emphasises the use of renewable energy sources and energy efficiency measures.*

### **ACP–EU Energy Facility support for renewable energy in East Africa - Special Report. European Court of Audits, 2015 (56 p.).**

[http://www.eca.europa.eu/Lists/ECADocuments/SR15\\_15/SR\\_ENERGY\\_AFRICA\\_EN.pdf](http://www.eca.europa.eu/Lists/ECADocuments/SR15_15/SR_ENERGY_AFRICA_EN.pdf)

*This report presents the results of an audit to the activities of the Energy Facility (EF) in East Africa. It concluded that (i) the Commission prioritised EF support well, but a quarter of the projects examined had serious design weaknesses, (ii) the selection process led to support projects in line with the EF priorities, (iii) a quarter of the projects examined were funded even though the assessment process had identified significant design weaknesses, (iv) the Commission did not monitor all projects properly, (v) the quality of the implementing partners' reports was uneven, (vi) for some projects which experienced serious implementation difficulties, the Commission did not take appropriate and timely measures, (vii) most of the projects examined were successful and had good sustainability prospects, (viii) a quarter of the projects examined did not deliver most of the expected results, and (ix) almost all successful projects examined had good*

sustainability prospects. Lastly it draw recommendations to address the above mentioned issues.

**Mid Term Evaluation of the 9th EDF Energy Facility Call for Proposals. By Alessandro Bianciardi, DEVCO –Energy Unit (17 slides).**

*The objective of the evaluation was to draw key lessons to improve: (i) Relevance, (ii) Efficiency, (iii) Effectiveness, (iv) Sustainability and (v) Impact of:*

- *The implementation of the 1st CfP and the commencing implementation of the 2nd CfP by DEVCO HQ.*
- *The decision-making process involving the EU Delegations, the European Commission and ACP Secretariat for the Energy Sector Policies, Programmes and Financing Instruments.*
- *The continued follow up of the implementation of the EF projects portfolio by the EU Delegations.*

*The evaluation encompassed:*

- *EF projects under the 1st Call.*
- *Operational aspects of the implementation of the 1st Call.*
- *1st Call's programming and management aspects.*
- *EF Action Fiche's dominant & auxiliary principles.*

## **B7 Blending**

**EC, Evaluation of Blending Final Report Volume 1, September 2016,**

[http://ec.europa.eu/europeaid/evaluation-blending\\_en](http://ec.europa.eu/europeaid/evaluation-blending_en)

*An evaluation of blending operations across 7 regional investment facilities in the period 2007-2014. A total EU funding allocated to the investment facilities during 2007-2014 reached more than EUR 2 billion, representing 4% of DEVCO's funding. The amount effectively contracted (at 31/12/2014) reached EUR 1.7 billion and covered just over 200 projects in 46 countries. The evaluation draws findings, conclusions and recommendations across 3 pillars: results, value added and strategic relevance.*

*See further information under B11 below.*

**European Court of Auditors, The effectiveness of blending regional investment facility grants with financial institution loans to support EU external policies, 2014 p45** [http://www.eca.europa.eu/Lists/ECADocuments/SR14\\_16/SR14\\_16\\_EN.pdf](http://www.eca.europa.eu/Lists/ECADocuments/SR14_16/SR14_16_EN.pdf)

*The Court examined the effectiveness of blending EU grants with loans from financial institutions. The Court concludes that “this blending has been generally effective. The regional investment facilities were well set up but the potential benefits of blending were not fully realised. The Court makes a number of recommendations for the Commission that concern project selection and grant approval, disbursement of funds, monitoring of the implementation of EU grants, and enhancing the visibility of EU aid”.*

**European Court of Auditors, The (ACP Investment Facility: 2015 p26**

[http://www.eca.europa.eu/Lists/ECADocuments/SR15\\_14/SR\\_INVESTMENTS\\_EN.pdf](http://www.eca.europa.eu/Lists/ECADocuments/SR15_14/SR_INVESTMENTS_EN.pdf)

*The ACP Investment Facility, managed by EIB, is a risk-bearing revolving fund supporting investments by private and commercially run public entities in the African, Caribbean and Pacific Group of States. It provides medium- to long-term financing through various financial instruments and thereby aims at delivering sustainable economic, social and environmental benefits. The Court concludes “that the Investment Facility adds value and its operations are overall coherent with the EU development cooperation with ACP countries. The contractual obligation to inform the end beneficiaries about EIB/Investment Facility funding is however not always followed and technical assistance does not always target small and medium-sized enterprises.”*

**EIB, Responding to Africa’s energy needs, 2016, p.4**

<http://www.eib.org/infocentre/publications/all/responding-to-africa-s-energy-needs.htm>

*A short outline of the EIBs approach and commitment to energy, it notes that the energy sector is characterised by inefficiency and below cost pricing limits. One third of EIB’s lending in Africa is on renewable energy and it notes that 90% of Sub-Saharan feasible hydropower is unexploited and that energy’s role in regional integration is considerable. Details are given on flagship projects in West Africa (regional integration), Morocco (solar) and Kenya (wind).*

**Both Ends, Tapping the potential of renewables, an energy poverty perspective on the EIB energy investments in Sub-Saharan Africa 2012, p12**

<http://www.bibalex.org/Search4Dev/document/425867>

*This paper provides a preliminary assessment of the energy lending strategy of EIB to Sub-Saharan Africa from the perspective of poverty reduction. The assessment looks at Uganda and Togo as examples of EIB energy strategy.*

**Agence Française de Développement, Evaluer l’impact des instruments financiers en faveur des entreprises, 2013**

<http://www.afd.fr/webdav/shared/PUBLICATIONS/RECHERCHE/Scientifiques/Documents-de-travail/137-document-travail.pdf>

**EC Statement by Commissioner Piebalgs in reaction to the ECA’s report on effectiveness of blending regional investment facility grants with financial-institution loans, 2014, <http://blogs.ec.europa.eu/piebalgs/statement-of-commissioner-piebalgs-in-reaction-to-the-ecas-report-on-effectiveness-of-blending-regional-investment-facility-grants-with-financial-institution-loans/>**

**Development Researcher’s Network, Mid-Term Evaluation of the Neighbourhood Investment Facility under the European Neighbourhood and Partnership Instrument (ENPI), 2007-2013, European Commission 2013**

<http://citeseerx.ist.psu.edu/viewdoc/download;jsessionid=DA54F318D0A042B7B21B5F9576308100?doi=10.1.1.370.7547&rep=rep1&type=pdf>

**EUBEC Policy Group, Discussion paper for the "EU Platform for Blending in External Cooperation" (EUBEC) Policy Group on the future governance of the EU blending facilities, 2014**



**Helmut Reisen, Christopher Garroway – The Future Multilateral Concessional Finance, BMZ 2014**

[http://www.shiftingwealth.com/publikationen/2014/The%20FutureMultiConcessionalFinance.pdf?wt\\_mc=alerts.TOCjournals.11079](http://www.shiftingwealth.com/publikationen/2014/The%20FutureMultiConcessionalFinance.pdf?wt_mc=alerts.TOCjournals.11079)

**Overseas Development Institute – European Report on Development, Combining finance and policies to implement a transformative post-2015 development agenda – Executive Summary, European Union 2015** [http://erd-report.com/erd/report\\_2015/ERD5\\_Report\\_EN\\_Web\\_Def.pdf](http://erd-report.com/erd/report_2015/ERD5_Report_EN_Web_Def.pdf)

## **B8 GEEREF**

**EC, Strategic evaluation of the EU support to environment and climate change in third countries (2007-2013), September, 2015** [http://ec.europa.eu/europeaid/thematic-evaluation-eu-support-environment-and-climate-change-third-countries-2007-2013\\_en](http://ec.europa.eu/europeaid/thematic-evaluation-eu-support-environment-and-climate-change-third-countries-2007-2013_en)

*The evaluation has 3 objectives: to assess EU support to environment and climate change in third countries through the ENRTP and the geographic instruments, to evaluate EU support to strengthening global environment and climate governance and to assess EU support for mainstreaming environment and climate change issues into EU external aid programmes.*

**Bird, N., GEEREF, A model climate fund, ODI, April 2009, p9**

**CEPS, The financing of GEEREF, Policy Brief No. 190 June 2009, p10**

**EC, COM(2006) 583 Mobilising public and private finance towards global access to climate-friendly, affordable and secure energy services: The Global Energy Efficiency and Renewable Energy Fund, p10** <http://capacity4dev.ec.europa.eu/public-energy/document/ec-communication>

## **B9 ElectriFI**

**EU, Enabling policies for addressing climate change and energy poverty through renewable energy investments in Africa – Experience from European Support Instruments, 2016, 6p** <http://electrifi.org/wp-content/uploads/2016/12/Policy-Paper-ElectriFI-TAF-RECP-6pager-112016-single-page.pdf>

*A short outline of 3 instruments (ElectriFI, TAF, RECP) as well as the EUEI-PDF and how they interact. The paper shows the distribution of applications for financing under ElectriFI and project development support from RECP across countries and market segments. It also highlights regulatory prerequisites and provides recommendations on policy.*

## **B10 EDFI- PSDF**

**EDFI News** <http://www.edfi.be/news/all.html> and **2016 Flagship Report**  
<file:///C:/Users/jlivs/Downloads/EDFI%20Flagship%20Report%202016.pdf>

*This report offers an up-to-date picture of the role that European DFIs play in this new agenda for sustainable development. It shows how financing resources have tripled over the past 10 years, and discusses what this means in terms of the contribution to development outcomes such as job creation, tax payments and climate change mitigation. The report also explains the role of the European DFIs in investing in projects in low and middle income countries alongside private investors. It discusses the focus on financing commercially sustainable and responsible enterprises and offers examples of how EDFI seek to finance projects that have a significant transformative impact.*

**B11 SEforALL and related initiatives**

**Empowering Development - Delivering results in the Decade of Sustainable Energy for All, EU, 2015** (ISBN: 978-92-79-47821-5).

[https://webgate.ec.europa.eu/multisite/devco/sites/devco/files/energy-booklet-relu\\_en.pdf](https://webgate.ec.europa.eu/multisite/devco/sites/devco/files/energy-booklet-relu_en.pdf)

Statements by Neven Mimica, EU Commissioner for International Cooperation and Development on: the EU as a key partner in the energy sector; encouraging a reinforced political dialogue; countries and regions working together; creating an enabling environment that allows for transparency, policy and regulatory reforms, cost-recovery and investments; supporting a technology leap – a Technical Assistance Facility ensuring a sound policy and project development and capacity building; innovative financial instruments; policy coherence and the need for close cooperation with all partners towards sustainable development goals post 2015; and by Fernando Frutuoso de Melo, EC Director General for International Cooperation and Development on: energy – crucial for development; and EU actions and tools in our energy cooperation.

**Going Further Faster Together, SEforALL, June 2016.**  
[http://www.se4all.org/sites/default/files/2016\\_EUSEW.pdf](http://www.se4all.org/sites/default/files/2016_EUSEW.pdf)

*This Strategic Framework for Results (2016-21) aims to provide strategic direction to the Sustainable Energy for All platform and its partners that operate on a global basis. It focuses on how to move further, faster in the coming five years towards the delivery of SEforALL's three, 2030 objectives:*

- *Ensure universal access to modern energy services*
- *Double the global rate of improvement in energy efficiency*
- *Double the share of renewable energy in the global energy mix*

*It is framed in the context of agreements reached on the 2030 Agenda for Sustainable Development, including Sustainable Development Goal 7 (SDG 7) on energy and the Paris Agreement on climate change.*

**RISE: Regulatory Indicators for Sustainable Energy. Online tool and downloadable report – the latest is RISE 2016, 31 December 2015.** <http://rise.esmap.org/>  
*SEforALL with World Bank Energy Sector Management Assistance Program (ESMAP). RISE scores reflect a snapshot of a country's policies and regulations in the energy sector, organized by the three pillars of the [SEforAll](#) initiative: Energy Access, Energy Efficiency, and Renewable Energy. RISE is a tool for policymakers to compare national*

*policy frameworks for sustainable energy and identify opportunities to attract investment. RISE assesses countries' policy support for each of the three pillars of sustainable energy – access to modern energy, energy efficiency, and renewable energy. With 27 indicators covering 111 countries and representing 96% of the world population, RISE provides a reference point to help policymakers benchmark their sector policy framework against those of regional and global peers, and a powerful tool to help develop policies that advance sustainable energy goals.*

**United Nations General Assembly Declares 2014-2024 Decade of Sustainable Energy for All**, UN Press Release GA/11333-EN/274, 21 December 2012.

<https://www.un.org/press/en/2012/ga11333.doc.htm>

**Global Tracking Framework.** <http://gtf.esmap.org/downloads>

*Most recent are 2<sup>nd</sup> edition 2015 and 3<sup>rd</sup> edition 2017 (the latter just released in April 2017). The third edition of the GTF provides an evidence-based look at progress at the regional, country, and international level toward ensuring universal access to modern energy services, doubling the share of renewable energy in the global energy mix, and doubling the global rate of improvement in energy efficiency. The report provides an overview of long-term trends since 1990 and focuses on progress achieved in the most recent period, 2012–14. The report points to the International Energy Agency's projections to show that at the current rate of progress, only 91 percent of the world will have electricity access in 2030, while only 72 percent will have access to clean cooking. Improvements in energy intensity are also projected to fall short of the 2030 goal while the share of renewables will only reach 21 percent by that time. Those estimates underscore the need for urgent action and that energy is the cornerstone of economic growth. To make meaningful improvements, higher levels of financing and bolder policy commitments, along with the willingness on countries' part to embrace new technologies on a much wider scale are essential, according to the report.*

**World Energy Outlook (WEO), International Energy Agency, IEA November 2016.**

<https://www.iea.org/media/publications/weo/WEO2016Factsheet.pdf>

*The WEO-2016 highlighted among many other things, the following: The pledges made as part of the Paris Agreement have accelerated the pace of change in the energy sector; investment is shifting towards lower-carbon sources of energy; although developing countries account for almost all of the 30% increase in energy demand to 2040, many millions are still set to be left without basic energy services. The new UN Sustainable Development Goals include a commitment (in SDG 7) to universal access to modern energy services by 2030. But, despite increased efforts, this target is missed in IEA projections: more than half a billion people, increasingly concentrated in rural areas of sub-Saharan Africa, are still without access to electricity in 2040 (down from 1.2 billion worldwide today). Other elements of SDG 7 are though met in IEA's main scenario, including the target to double the rate of global improvement in energy efficiency. Implementation of the climate pledges slows the projected rise in energy-related CO2 emissions- but it is not enough; the energy transition is redefining energy security. Deployment of renewables and energy efficiency play an important role in moderating oil and gas imports, providing an extra tool to mitigate traditional energy security*

concerns. On the other hand, the increased role of electricity in all economies and the rising share of variable renewables (wind and solar) in power generation put electricity security under the spotlight; the value of subsidies to fossil fuels fell sharply in 2015; renewable energy is the growth story of WEO-2016; the operation and design of power systems need to be transformed to integrate high shares of wind and solar; the links between energy and water use are set to intensify.

## **B 11 Summary of key evaluations**

Below are summarized key findings and recommendations of previous evaluations that are considered particularly relevant to this evaluation.

**Evaluation of the EC support to Partner Countries in the area of Energy (1996-2007), Final Report, April 2008.** *This evaluation covered interventions designed or implemented during the 1996-2007 period in all the external cooperation partner countries (ASEAN, ACP, Neighbourhood, Russia and the former Soviet Union (FSU)). The scope of the evaluation was extremely broad because the EC's interventions in the energy sector had three very different goals: i) Improving access to energy in developing countries as a means of reducing poverty; ii) Securing energy supplies to the EU; iii) Improving nuclear safety in the FSU. ACP energy spending represented a total of 538 M Euros, around 29% of total spending for energy. Key findings most relevant to the present evaluation include the following: In ACP countries, improved access to energy has not been central to successive EDFs, which has not encouraged EC Delegations to participate in sector dialogue. The EC had only recently taken into consideration access to energy for poverty reduction, and energy was not yet a common focal sector in EDF10, which limited the possibility to develop shared strategic approaches thus relying on resource allocation through demand-led instruments (e.g. call for proposals). Demand-led interventions were mainly selected in Brussels without much co-ordination either with the partners or with other donors. Overall, this evaluation concluded that: EC supported interventions in the energy sector were often relevant, but did not result from a systematic approach aimed at maximising their contribution to EU goals; the interventions' effectiveness and sustainability were often mixed and hard to assess; the EC was found to be a leading player in nuclear safety, but a minor one in other energy areas. The evaluation found needs for increased internal and external coordination, and need to adopt a more strategic and programmatic ("cooperation cycle") approach to optimise resources allocation. Key recommendations were that the EC should: a) adopt more formal and explicit steps in its cooperation with partner countries with the aim of optimising resource allocation for all parties, taking into account their respective policies; b) pay more attention to sound policies in the energy sector. Energy tariffs, market regulations and subsidisation of the power sector have an impact on all dimensions of the sector. Sound policies at these levels are central to improving access to energy, energy efficiency, market liberalisation and integration and, therefore, on security of supply for Europe; c) develop up-to-date knowledge management systems, in order to better understand the specificities of the sector in each of its partner countries and to boost its leadership with the aim of progressively gaining the right to guide Europe's external policies in each of these energy fields; d) do much more to draw lessons from experience, including monitoring the outputs and outcomes.*

**Strategic evaluation of the EU support to environment and climate change in third countries (2007-2013), September 2015.** *Among the questions addressed by this evaluation was the contribution of EU support toward improving the enabling environment for investments in sustainable energy, with a focus on the reduction of the financial barriers for renewable and energy efficiency investments in developing countries. The Global Energy Efficiency and Renewable Energy Fund (GEEREF, see further information in Annex 4) was selected for in-depth evaluation. Key findings: The EU, as a founder and lead donor, has played an important role in developing an original and highly innovative concept that mobilises the private sector; Investment in energy efficiency has been low due to insufficient demand and the complexities of using the GEEREF risk capital model for energy efficiency. The GEEREF set-up was found not well suited for reaching out to the poorest areas with micro-scale solutions. Among the key recommendations most relevant to sustainable energy were to: strengthen linkages between global, regional and national policy dialogue; enhance co-ordination between geographic and thematic actions; increase EU support for access to finance, especially by SMEs, so that they can participate in market-based approaches aimed at increasing the adoption of sustainable energy and transition to the green economy, thereby responding to SDG 12 (responsible consumption and production); continue to work through established multilateral institutions for global public environment and climate change goods; place a greater emphasis on the engagement of EU and Member State actors, and on the transfer of technology and institutional and regulatory know-how.*

**Evaluation of Blending, Final Report, September 2016.** *This evaluation of blending as an EU aid delivery mechanism aimed to provide an overall and independent assessment of blending and identify key lessons and recommendations to improve and inform future choices on blending. The scope included EC support through seven investment facilities over the period 2007- 2014, including the EU-Africa Infrastructure Trust Fund (ITF). The evaluation found examples of blending constructively supporting policy reforms in energy across geographic regions, but noted that the full potential of blending to mobilise the private sector within energy was not yet reached. There were also a few cases such as the Caprivi connector project in Southern Africa, where projects did not contribute as planned to economic development or poverty alleviation because they did not reach their intended results. Key recommendations included: Expand the use of risk sharing instruments to financial intermediaries selected for their strategy and policies with respect to pro-poor and pro-development risk taking; Achieve greater development impact through blending projects by placing greater focus on job creation and poverty alleviation.*

**Independent Evaluation of Four EUEI PDF Activities, Synthesis Report March 2013,** *is another example of previous evaluations with a key relevance to the present evaluation. The focus was on four EUEI-PDF supported interventions in Burundi, Ghana, and the SADC and Pacific regions. Key recommendations were made on issues such as expectation management at early project stages; capacity of regional organisations; local resources for consultation and communication; qualitative indicators e.g. the degree to which a policy process was informed by consultation and*

*dialogue in the country; the integration of cross-cutting issues in policy documents to issues such as gender equality, environmental and climate sustainability; enhancing M&E systems by incorporating indicators relating to “intangible results” of projects such as dialogue processes and institutional capacity development; a phased approach; on-the-job training; the importance of social skills of project consultants, etc.*

## **B 12 Other relevant studies, reports and databases**

**EUEI, The Africa-EU Energy Partnership Success Stories (2016)** [http://www.euei-pdf.org/sites/default/files/field\\_publication\\_file/aEEP-success-stories\\_en.pdf](http://www.euei-pdf.org/sites/default/files/field_publication_file/aEEP-success-stories_en.pdf)

**ESMAP, Regulatory Indicators for Sustainable Energy: A global Scorecard for Policy Markers, (2016)**

<http://documents.worldbank.org/curated/en/538181487106403375/pdf/112828-REVISED-PUBLIC-RISE-2016-Report.pdf>

**International Energy Agency (IEA), Outlook (2016)**

**OECD Data** <http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm>

**ODI, The political economy of electricity distribution in developing countries (2013)**

**REN21, 10 years of renewable energy progress: The first decade 2004 – 2014 (2014)**

[http://www.ren21.net/Portals/0/documents/activities/Topical%20Reports/REN21\\_10yr.pdf](http://www.ren21.net/Portals/0/documents/activities/Topical%20Reports/REN21_10yr.pdf)

**Sustainable Energy for All, Global Tracking Framework Reports (2017)**

[http://gtf.esmap.org/data/files/download-documents/eeGP17-01\\_gtf\\_full\\_report\\_for\\_web\\_0516.pdf](http://gtf.esmap.org/data/files/download-documents/eeGP17-01_gtf_full_report_for_web_0516.pdf)

**Sustainable Energy for All, Global Tracking Framework Reports – Sustainable Energy for All (2015)**

[file:///C:/Users/Stephanie/Dropbox/ENERGY%20evaluation%20-%20EU/Documents/SE4ALL/2016\\_strategic%20framework%20for%20results%202016%20se4all%20sos.pdf](file:///C:/Users/Stephanie/Dropbox/ENERGY%20evaluation%20-%20EU/Documents/SE4ALL/2016_strategic%20framework%20for%20results%202016%20se4all%20sos.pdf)

**Sustainable Energy for All, Global Tracking Framework Reports (2013)**

<http://documents.worldbank.org/curated/en/603241469672143906/pdf/778890GTF0full0report.pdf>

**World Bank, Financing renewable energy options: Developing financing instruments using public funds (2013)**

[http://siteresources.worldbank.org/EXTENERGY2/Resources/SREP\\_financing\\_instruments\\_sk\\_clean2\\_FINAL\\_FOR\\_PRINTING.pdf](http://siteresources.worldbank.org/EXTENERGY2/Resources/SREP_financing_instruments_sk_clean2_FINAL_FOR_PRINTING.pdf)

## Annex 6 – Judgement criteria and indicator analysis

The evaluation questions, judgement criteria and indicators are shown below:

Evaluation question	Judgement criteria	Indicators
<p><b>EQ1 To what extent has the EU sustainable energy cooperation responded the evolving energy needs of partners in developing countries and is aligned to the wider EU and global development agenda?</b></p>	<p>JC 1.1 Degree of alignment to national and regional objectives, strategies, plans, and programmes.</p>	<ul style="list-style-type: none"> <li>• Evidence of analysis that indicates the presence of a sound and credible national/regional sector framework of policies, strategies, programmes and institutional structures and procedures with which to align.</li> <li>• Interventions are aligned where the national/regional sector framework was sound.</li> <li>• EU applied an appropriate intervention strategy where the national/regional sector framework was not sufficiently in place.</li> </ul>
	<p>JC 1.2 Degree of partner/beneficiary involvement in and ownership of design and implementation.</p>	<ul style="list-style-type: none"> <li>• Evidence of effective dialogue in programming, preparation and implementation processes.</li> <li>• Evidence of consultative processes for effective beneficiary involvement in preparation process and implementation.</li> <li>• Evidence of financial contribution of beneficiary institutions to the implementation of interventions.</li> </ul>
	<p>JC 1.3 Degree to which SE support aligned t the wider global development agenda and was EU policy coherent</p>	<ul style="list-style-type: none"> <li>• Sample interventions are coherent with relevant EU development policies.</li> <li>• Alignment of SE support with the three key goals for SE4ALL (for initiatives post 2011) and SDG7 (for initiatives from late 2015 only).</li> <li>• Alignment of EU SE project/programme objectives with partner country INDCs/NDCs and Paris Agreement implementation (for initiatives from 2015 only).</li> </ul>
<p><b>EQ 2: To what extent have the policy dialogue and networks established led to partners adopting and implementing policy and sector reforms that create an enabling environment?</b></p>	<p>JC 2.1 Degree to which the EU promoted an appropriate and viable policy agenda and sound policy messages.</p>	<p>Indicators</p> <ul style="list-style-type: none"> <li>• Evidence that the EU policy agenda addressed the key SE issues in partner country context and took account of support by other development partners.</li> <li>• Policy messages were targeted at enabling improved access to modern affordable and clean energy, improved energy efficiency, and increase in renewable energy.</li> <li>• EU promoted sound policy messages for SE.</li> </ul>

Evaluation question	Judgement criteria	Indicators
	<p>JC 2.2 Degree to which there has been SE enabling policy change and reforms in EU partner countries (i.e. evidence of actual commitment to and adoption of enabling policies and regulatory reforms).</p>	<ul style="list-style-type: none"> <li>• Evidence that the key issues in EU policy dialogue and reform studies are addressed in national and regional enabling policy frameworks.</li> <li>• Evidence that the policy frameworks that addressed key issues in EU policy dialogue and reform studies were adopted.</li> <li>• Evidence that partners have committed actions to identify, address and remove SE policy barriers identified in EU cooperation through national legislation, strategic development/investment plans, and local regulatory frameworks such as by-laws.</li> <li>• The extent to which the policies and reforms supported by the EU and then adopted and implemented have brought about the intended results in practice.</li> </ul>
	<p>JC 2.3 Degree to which network platforms, budget support dialogue, and joint declarations have contributed to enabling policy and reform.</p>	<ul style="list-style-type: none"> <li>• Evidence of the contribution of network platforms (NPs) to the policy environment (e.g. AEEP).</li> <li>• Evidence of the contribution of budget support (BS) policy dialogue (PD) to the policy environment.</li> <li>• Evidence of the contribution of joint declarations (JDs) to the policy environment.</li> </ul>
Evaluation question	Judgement criteria	Indicators
<p><b>EQ 3: To what extent have various forms of TA interventions strengthened capacities in institutions in partner countries?</b></p>	<p>JC 3.1 Degree to which TA has followed EU strategy for capacity development.</p>	<ul style="list-style-type: none"> <li>• Evidence that the TA provided responded to the needs (i.e. policy and expert advice; project preparation; project implementation; capacity development)</li> <li>• Evidence that the TA was demand led and became partner owned</li> <li>• Evidence that the TA was results orientated</li> </ul>
	<p>JC 3.2 Degree to which the different EU technical cooperation approaches have been well selected and managed</p>	<ul style="list-style-type: none"> <li>• Evidence that the mix/type of TA (short-term vs. long-term support, workshops, study tours, twinning, peer exchange etc.) was adequate for addressing the identified need.</li> <li>• Evidence that the TAF was well managed at all stages from response to demand of TOR, delivery of support, reporting and monitoring</li> <li>• Evidence that the EUDs and HQ are equipped with adequate expertise to support and monitor the TA interventions</li> </ul>
	<p>JC 3.3 Degree to which EU technical assistance has led to an increased capacity in key selected partner institutions</p>	<ul style="list-style-type: none"> <li>• Evidence that the EU support has strengthened the enabling environment at sector level for key partner institutions</li> <li>• Evidence that the EU support has strengthened the skills of core personnel and where relevant</li> </ul>



Evaluation question	Judgement criteria	Indicators
		the structure and functional organisation of the key partner institutions <ul style="list-style-type: none"> <li>• Evidence that the TA has contributed to longer term sustainability of the institutions and the projects and activities that they carry out</li> </ul>
	JC 3.4 Degree to which TA has supported the mainstreaming of cross-cutting concerns.	<ul style="list-style-type: none"> <li>• Evidence that TA has been active in supporting incorporation of gender issues</li> <li>• Evidence that the TA has contributed to incorporation of environmental considerations in policy reforms and project implementation</li> <li>• Evidence that the TA has contributed to steering policy reforms / project implementation towards a pro-poor design</li> </ul>
Evaluation question	Judgement criteria	Indicators
<p><b>EQ 4: To what extent have the conventional EU grant funding for physical investments and related interventions contributed to achieve the SE goals?</b></p>	JC 4.1 Degree to which the funding using conventional grant-based approaches had an innovative effect and contributed to a sustainable investment	<ul style="list-style-type: none"> <li>• Project applications, designs and implementation provide a convincing rationale centred around the innovative value and pro-poor nature of the investment justifying the use of and the size of grant awarded</li> <li>• Evidence that the grants removed barriers and have demonstrated innovative institutional, management and technical alternatives</li> <li>• Evidence that the demonstration effect of the projects resulted in replication</li> </ul>
	JC 4.2. Degree to which the projects supported through conventional grant funding has achieved, demonstrated and lead to a replication of pro-poor, pro-environment, pro-growth and pro-gender benefits	<ul style="list-style-type: none"> <li>• Additional number of households with access to electricity (on grid, mini grid and off grid)</li> <li>• Additional number of households having access to clean cooking facilities.</li> <li>• Evidence from observation of additional gender related benefits e.g. (i) increase of the number of girls / women having access to education arising from improved access to energy; (ii) increase of the number of women having access to safe health care arising from improved access to energy; (iii) decreased burden of wood and water collection arising from improved access to energy</li> <li>• Increased number of schools and health centres having a reliable source of electricity</li> <li>• Number of projects that by design look at productive uses of energy</li> <li>• Evidence that the project design and implementation are inclusive and pro-poor</li> <li>• Reduction of greenhouse gasses</li> <li>• EIA or equivalent analysis conducted for EU supported projects where relevant</li> </ul>

Evaluation question	Judgement criteria	Indicators
	<p>JC 4.3 Degree to which projects supported through conventional grant funding were sustainable</p>	<ul style="list-style-type: none"> <li>• Evidence that the project design included sufficient attention to operation and maintenance and sustainability issues</li> <li>• Evidence that the project provided effective skills transfer and other support needed for continuous operation (e.g. to cost recovery systems)</li> <li>• Evidence that the benefits of the project are still being delivered after completion</li> </ul>
<p><b>EQ 5: To what extent EU support using innovative financial instruments contributed to sustainable energy goals?</b></p>	<p>JC 5.1 Degree to which the innovative financial instruments contributed to social development goals shared by EU and its partner countries</p>	<ul style="list-style-type: none"> <li>• Increase in (or targeting of) the number of households with access to modern energy services</li> <li>• The extent to which the initiatives targeted and/or led to greater access to modern energy services by marginalized population groups</li> <li>• Extent to which the initiatives targeted and/or led to permanent and temporary jobs being created</li> <li>• Extent to which the initiatives targeted and/or succeeded in mainstreaming of gender aspects into the design and implementation of the projects</li> </ul>
	<p>JC 5.2 Degree to which the innovative financial instruments contributed to environmental and climate goals shared by EU and its partner countries</p>	<ul style="list-style-type: none"> <li>• Environmental and climate change impact assessments are undertaken (or systems in place to do so)</li> <li>• Environmental and climate change performance is monitored and reported on (or systems in place to do so)</li> <li>• The extent to which the initiatives targeted and/or led to improved environmental performance</li> <li>• The extent to which the initiatives targeted and/or led to improved climate performance</li> </ul>
	<p>JC 5.3 Degree to which the innovative financial instruments contributed to addressing market weaknesses and stimulating private sector involvement</p>	<ul style="list-style-type: none"> <li>• The extent to which the investments targeted and/or contributed to advancing or implementing energy sector reforms related to improving private sector involvement</li> <li>• The number and proportion of SMEs targeted and/or engaged in implementing and operating the energy facilities funded</li> <li>• The initiatives responded to strategic gaps (or avoided unnecessary duplication) compared to other initiatives funded by other development partners.</li> </ul>
	<p>JC 5.4 Degree to which the management of the innovative financial</p>	<ul style="list-style-type: none"> <li>• The demand for and awareness raising actions of the initiatives were adequate</li> </ul>

Evaluation question	Judgement criteria	Indicators
	instruments was streamlined and supported achievement of the goals	<ul style="list-style-type: none"> <li>The procedures and processes of the initiatives were streamlined and did not impose undue delays or costs</li> </ul>
<p><b>EQ 6: To what extent were the EU resources (human and financial) being allocated and used efficiently</b></p>	<p>JC 6.1 Degree to which EU efficiently mobilised its capacity (i.e. financial and human resources) to strengthen an enabling environment for access, RE and EE (Financial and human resources/physical verifiable outputs)</p>	<ul style="list-style-type: none"> <li>6.1.1 Resources directed to policy, capacity and implementation were/are allocated according to strategic priorities</li> <li>Resources and scale of EU policy dialogue support to reforms were in proportion to the results achieved to date</li> <li>EU resources devoted to managing call for proposals for the energy facility were in proportion to the level of project expenditures and the results obtained</li> </ul>
	<p>JC 6.2 Cost-effectiveness of EU initiatives and implementation modalities - Operational efficiency (cost optimisation/outputs optimization)</p>	<ul style="list-style-type: none"> <li>Extent to which EU implementation modalities to achieve outputs were managed to minimize transaction costs</li> <li>Evidence of synergies (or contradictions) between the 11 EU sustainable energy initiatives for sustainable energy cooperation</li> </ul>
	<p>JC 6.3 Degree of EU organisational efficiency</p>	<ul style="list-style-type: none"> <li>Evidence that the EU responded to the challenges of increased support to the energy sector by appropriately mobilizing resources</li> <li>Evidence that the EU responded to the challenges of increased support to the energy sector by appropriately coordinating resources</li> <li>Studies undertaken through TAF avoided duplication with other internal studies and were used in practice</li> <li>Extent to which EU instruments activities are monitored and findings used</li> </ul>
	<p>JC 6.4 to which EU interventions are visible</p>	<ul style="list-style-type: none"> <li>Compliance with visibility contracts</li> <li>Evidence that EU initiatives increased EU sustainable energy cooperation visibility</li> </ul>
<p><b>EQ 7: To what extent were EU interventions in sustainable energy cooperation coordinated,</b></p>	<p>JC 7.1 Degree to which EU support to SE was well coordinated at policy and operational levels</p>	<ul style="list-style-type: none"> <li>Evidence of EU involvement and contribution to coordination at policy level Evidence of EU involvement and contribution to country coordination groups/mechanisms</li> <li>Evidence of joint analysis and joint-programming</li> </ul>

Evaluation question	Judgement criteria	Indicators
<b>complementary and of added value</b>	JC 7.2 Degree to which EU interventions within sustainable energy were complementary with MS actions	<ul style="list-style-type: none"> <li>• Absence (or instance) of overlap and duplication of EU interventions with EU Member States</li> <li>• Instance (or absence) of division of labour between the EU support and support from EU Member States.</li> </ul>
	JC 7.3 Degree to which EU support to SE has added value compared to MS interventions	<ul style="list-style-type: none"> <li>• Presence (or absence) of examples where the required support was of a scale or nature that could not be supported as well by MSs</li> <li>• Evidence that EU interventions have filled a gap not met by MS interventions. Potential gaps to be investigated: geographical, technological, financial, and within areas of interventions (i.e. energy for cooking, energy efficiency)</li> </ul>

**Evaluation question 1: Strategic Relevance**

<b>EQ 1</b>	<b>To what extent has the EU sustainable energy cooperation responded to the evolving energy needs of partners in developing countries and was aligned to the wider global development agenda and EU policy coherent?</b>
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Rationale: To be sustainable and lead to impact, outcomes must be delivered in response to developing partner country needs and priorities. During the time-period covered by the evaluation there have been dramatic changes to the way in which sustainable energy (SE) needs and solutions were perceived and prioritized in developing country policies and strategies – not least since the launch of SE4All, the adoption in September 2015 of the SDGs and with the entry into force in November 2016 of the Paris Agreement on Climate Change. Developing countries' preparations of Intended Nationally Determined Contributions (INDCs) - and the – upon their ratification of the Paris Agreement – the Nationally Determined Contributions (NDCs) have had crucial importance for SE. These changes have facilitated a shift from a focus on fossil-based generation capacity and power infrastructure to access to modern energy, also via local and off-grid solutions, and to increasing focus on renewable energy (RE) and energy efficiency (EE). In this highly dynamic context, EQ1 seeks to understand to what extent EU SE support has been strategically relevant to changing partner country needs and aligned to developing country priorities; how effective partner/beneficiary involvement and ownership has been in design and implementation; and how EU SE interventions aligned to the broader global development agenda and were coherent with relevant EU development policies.

This has led to the following areas for JCs:

- Degree of alignment to national and regional objectives, strategies, plans, and programmes.
- Degree of partner/beneficiary involvement; examining how effectively partner institutions and beneficiaries contributed staff time and resources to the cooperation as a reflection of partner ownership and commitment and thus the relevance of EU support.
- Degree to which EU SE support aligned to the major global development initiatives in sustainable energy and climate change and was coherent with the wider EU sustainable development policy agendas.

Coverage and focus of the EQ: EQ1 covers the strategic relevance of all the initiatives (blending, joint declarations, geographic support, TAF, EU-ACP Energy Facility, SEADS, AEEP, RECP, GEEREF, ElectriFi, EU-EDFI-PSDF) in all geographic areas included in the evaluation. However, since ElectriFi had only approved projects in 2017 and EU-EDFI-PSD had only approved 2 projects, the focus as regards these instruments was on their design rather than on the results.

Link with OECD/DAC evaluation criteria: EQ1 particularly addresses relevance (i.e. were the right challenges and opportunities addressed).

Link with 3Cs: EQ1 relates closely to all three Cs, i.e. coherence (policy coherence with partner countries and internally among many different types of EU interventions), complementarity (with initiatives supported by EU member states); and coordination (how effectively SE initiatives were coordinated with activities supported by other

development actors at the overall strategic global level/in international fora and at country or regional and local implementation levels).

Link with IL: The EQ relates to the IL intended outcomes as well as assumptions from outputs to outcomes. The EQ also relates to impact in its assessment of programme and project design and implementation results.

Notes:

1. There are important linkages between EQ1 Strategic Relevance and EQ 2 Policy. The strategic relevance - i.e. whether the right challenges and opportunities were addressed in EU's SE cooperation - is closely linked to the issue of policy relevance, i.e. whether the EU focused on the right policy agenda that resonated with partner country needs and priorities and thus formed the basis for effective policy dialogue. In turn, this relates to policy effectiveness, i.e. the degree to which partners responded and made reforms and whether reforms showed signs of working - the latter issues are addressed in EQ2. This also means that many of the initiatives and interventions selected and examined by this evaluation to answer EQ1 and EQ 2 are the same or similar.
2. It is further noted that both for EQ1 and EQ2 there are important linkages with the policy coordination issues addressed in EQ7 (particularly I-7.1.1. evidence of EU involvement and contribution to coordination at policy level).

### JC 1.1 Degree of alignment to national and regional objectives, strategies, plans, and programmes

#### Summary for JC 1.1

- Most EU cooperation with the public sector was backed by analysis of government policies, plans and programmes - however, SE4ALL analytical tools were often not sufficiently used.
- For private sector-oriented cooperation, the initiative to undertake the relevant analysis of the national sector frameworks rested more with each project applicant and the evidence is weak on how effectively this was done – also because of the recent history of some initiatives.
- The analyses provided through Joint Declarations and the EU's support to networking platforms were not systematically used for programming and implementation., although there are some examples.
- Defining the “SE sector” was to some extent an issue in early interventions, and although the EU cooperation increasingly recognised energy as a broad enabler of economic and social development, opportunities to mainstream energy in other sectors were missed.
- For most public-sector interventions, there is evidence that interventions were aligned where the national/regional sector framework was sound; for private sector interventions, this evidence is weaker.
- For most of the initiatives there is evidence of an appropriate intervention strategy when the sector framework was inadequate.

**Most EU cooperation with the public sector was backed by analysis of government policies, plans, and programmes; - however, SE4ALL analytical tools were not sufficiently used.** For most of the public sector-oriented initiatives, analysis was undertaken of the relevant national/regional sector framework of policies, strategies, programmes, institutional structures and procedures with which the cooperation should

align. The recent major Sustainable Energy for All Initiative (SE4ALL) tools<sup>55</sup> and knowledge products to assess the national sector framework against SE goals were not often used in these analyses – although the multi-tier framework for definition of access to energy has been adopted, for instance in the cooperation with Ethiopia. In Rwanda, similar indicators to those of the Regulatory Indicators for Sustainable Energy (RISE) were used (e.g. in EU BS, Mobisol, etc.) and the EUD was aware of the Global Tracking Framework (GTF) energy access “Tiers”; GTF was promoted by the EUD with support from most development partners. It was also found in field visit interviews that the government’s desire to jump from GTF Tier 0 to Tier 2 was ambitious and could backfire.

In general, the National Indicative Plans (NIPs) and Regional Indicative Plans (RIPs) reflected evidence of analysis of national/regional sector framework with which to align; the analyses reflected strengths and – to a varying and lesser extent – also weaknesses of the sector framework as part of the rationale for the chosen intervention strategy. Action fiches similarly reflected evidence of analysis of national/regional sector framework with which to align, as part of the detailed rationale for the intervention. The EC methodological note<sup>56</sup> on budget support and sustainable energy argued that where reforms are necessary, sector budget support may prove effective and create synergies with other modalities. The note, which guided the budget support preparations in Rwanda, Tanzania, Vietnam and elsewhere further guided the requisite sector analysis and the formulation and implementation of sector reform contracts (SRCs) that supported sector policies and reforms and improved governance and energy service delivery. However, there were cases such as Tanzania, where interviews during the country visit showed that while the SRC was being prepared in close cooperation and alignment with the Government, there were significant changes in the leadership of key institutions, as well as major indicated – but not yet implemented – changes in the sector and delays in implementation of key policy measures that made it challenging for the EU and other development partners to align with Government objectives. And in Rwanda, energy was a new sector of cooperation for the EU and the EU budget support to energy was the first of its kind in the energy sector. This meant that both the EU and government were on a steep learning curve. But while the SRC was prepared under time pressure, it was underpinned by analysis of the sector. However, interviews during the country visit found that the budget support was prepared during significant restructuring and development of sector strategies and the implementation of the energy reform which were still on-going.

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<sup>55</sup> E.g. the SE4ALL/World Bank Regulatory Indicators for Sustainable Energy (RISE<sup>55</sup>), with a set of indicators to help compare national policy and regulatory frameworks for sustainable energy by assessing countries’ policy and regulatory support for each of the three pillars of sustainable energy—access to modern energy, energy efficiency, and renewable energy. (I-1.1.1)

<sup>56</sup> This 2016 European Commission Methodological Note provided guidance to EUD staff and other stakeholders in designing BS interventions, giving a detailed list of energy policy tools and instruments, principles of eligibility assessment - including definition and scope of the SE sector, demonstrating consistency of the intersectoral links of national SE policy, ensuring consistency between SE policy content, macro-economic framework and the management of public finances, and including programme risks aspects. Detailed annexes included i) elements to be taken into account when assessing the relevance and credibility of SE sectoral policy framework and institutions – a total of 81 guiding questions; and ii) examples of SMART indicators at outcome and outputs levels.

The government and the EU thus realised that there were major institutional changes in the sector implementing agencies and some targets had to be adjusted. (I-1.1.1)

**For private sector-oriented cooperation the initiative to undertake the relevant analysis of the national sector frameworks rested more with each project applicant and the evidence is weak on how effectively this was done – also because of the recent history of some initiatives.** For initiatives such as GEEREF and ElectriFi the investors (applicants) of each project must themselves take responsibility for an investment decision to go ahead based on an internal analysis of the prospects – meaning that they had to undertake the relevant analysis of the national sector frameworks to ensure compliance with relevant regulations and to make informed decisions on their risk associated with the investment. There is not a strong documentary trail for the private sector initiatives (also given their limited history), however the evaluation team considers it is unlikely that private sector investors would commit funds in a situation where the national sector framework was too weak to function or if they do they would only take such risks where the profit margin justified it. It was noted (further elaborated in EQ 5) that DI Frontier (one of the funds supported by GEEREF) had actively engaged in not only analysing the national sector framework but also improving it (for the case of creating bankable power purchase agreements). A general finding was that local private sector capacity within the partner countries to prepare bankable projects was weak. Most private sector projects were prepared by International Finance Institutions and/or foreign based entities. (I-1.1.1)

**The analyses provided through Joint Declarations and the EU's support to networking platforms were not systematically used for programming and implementation.** A complete chain of documentary evidence was often absent. Joint Declarations (JDs) generally showed evidence of analysis indicating the presence of a sound and credible sector policy framework with which to align, and it was evident that significant political capital had been invested in preparing and signing JDs. JDs however, were generally weak in: i) identifying the specific areas of deficiencies in the national SE sector framework that support was intended to address; ii) specific institutional aspects were mostly not addressed in any detail; iii) the indicative roadmaps mentioned in the last para of most JDs were not available; the absence of such agreed process action plan for follow-up limited the possibilities for tracking the actual degree of alignment and holding parties accountable for timely action and progress. The Joint Declarations were not legally binding, which is understandable, but nor were they accompanied by any commitments to monitor and report on implementation. It was also found that many key stakeholders were not aware of the JDs. As regards networking platforms under the European Union Energy Initiative Partnership Dialogue Facility (EUEI PDF), most services were demand-driven through the respective stakeholders (partner governments, private sector, etc.) and, therefore, directly addressed their needs – but the documentation



is weaker on how effectively the ground work laid by network platform analyses<sup>57</sup> specifically fed into how other EU interventions were then aligned in practice. (I-1.1.1)

**Defining the “SE sector” was to some extent an issue in early interventions, and although the EU cooperation increasingly recognised energy as a broad enabler of economic and social development, opportunities to mainstream energy in other sectors were missed.** The definition or scoping of the “SE sector” was an issue in some interventions. For example, in designing the Rwanda budget support 2015-2021 it was found that while initial discussions with national authorities focused mainly on electricity, the EU and its development partners also saw a need to include biomass and energy efficiency. In this case, the government were not keen on the biomass, and it took a lot of persuasion to get them to show interest and include this in the scope of interventions. Whilst this took time to negotiate, it also had the benefit of strengthening cooperation among different public services in charge of energy and sustainable management of natural resources. More generally, the international framework provided by SE4ALL, SDG7 (and other Sustainable Development Goals (SDGs)), and to some extent the Paris Agreement on Climate Change, was increasingly providing a workable definition of SE also at country and regional levels since these international agreements had almost universal agreement from partner countries and development partners. The country visits showed that energy sector cooperation did not always take sufficient advantage of the nexus of energy, water and food security where multiple end use benefits arise and the EU could have made better use of opportunities to further mainstream energy in other sectors and focus more strongly on productive use. (I-1.1.1)

**For most public-sector interventions, there is evidence that interventions were aligned where the national/regional sector framework was sound; for private sector interventions, this evidence is weaker.** For example, the 2012 ROM on the multi-country Triodos project concluded that the project was well designed and its objectives were consistent with the EC strategy, the RIP and Governments' policies for rural electrification (except for the Kenyan national policy that gave priority to grid extension). Another example is the Rwanda SRC, where the country's SE4ALL process supported by the EU led to position papers on sector challenges and a credible and realistic Action Agenda. The EU programme was in turn aligned to the Action Agenda and addressed the problems of Rwanda's energy sector in a holistic way, though there were differences of opinion over targets and the Government reacted negatively when strong positions on cooperation were presented without extensive prior communication. However, there were

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<sup>57</sup> Prior to the advent of the mentioned SE4ALL tools there was in 2013/2014 an EUEI PDF country energy assessment tool (<http://www.euei-pdf.org/en/seads/research-and-knowledge-sharing/euei-pdf-country-energy-assessment-tool>) under the SEADS service line ; it was an MS Excel-based tool that supported countries in the identification of (1) progress towards SE4ALL and national targets, (2) readiness for renewable energy interventions and (3) gaps in energy policy. According to the information on the website, the tool used more than 250 economic, social and environmental indicators, all derived from international and national datasets and publicly available. However, it was not clear to what extent this tool was used in assessing national frameworks as part of identifying priorities, gaps, and opportunities for EU interventions and alignment of these to ensure strategic relevance.

signs during the country visit that the government had gradually taken into account the more realistic view on targets. (I-1.1.2)

**For most of the initiatives there is evidence of an appropriate intervention strategy when the sector and policy framework was inadequate.** In fact, EU support interventions were often targeted at addressing the identified weaknesses, for instance through high-level agreement in joint declarations, through use of “supporting measures” in budget support operations, and through the use of TAF. It must also be noted that the issue of alignment must be seen in the context of the EU’s efforts in the early years covered by this evaluation since one of the main areas of intervention during the first financial period was to initiate policy dialogue on SE and ensure it was well embedded into partner country development plans. For instance, in Ethiopia, the policy environment for large scale investments and blending was not conducive, but EU’s support focused on major national strategy initiatives such as the biomass strategy. (I-1.1.3)

Conclusion: the JC is validated. There is evidence that SE support was aligned to national and regional objectives, strategies, plans, and programmes. The evidence base for this was generally strong across the public-sector instruments, while for private sector instruments the evidence was weaker - as regards private sector interventions the EU was aligned with emerging efforts by partner governments to improve the enabling environment.

### **JC 1.2 Degree of partner/beneficiary involvement in and ownership of design and implementation.**

#### **Summary for JC 1.2**

- The process of programming EU cooperation was constructive but did not sufficiently benefit from deeper political economy analysis.
- For most initiatives, there is evidence of consultative processes for effective beneficiary involvement but the “beneficiaries” were not always well enough defined.
- The EU SE cooperation systematically ensured financial contributions by beneficiary institutions indicating a degree of ownership - although the level varied between initiatives.

**The process of programming EU cooperation was constructive but did not sufficiently benefit from deeper political economy analysis.** For most initiatives, there is evidence of effective dialogue with partners in programming, preparation, and implementation processes. The process for most of the geographic sector-based support was participatory and sought to involve partners, respond to and align to needs and demands and ensure ownership. However, the resources and time available for such partner dialogue and engagement was limited for some of the thematic initiatives especially for countries where energy was not a mature EU focal sector and there were also significant changes in the institutional framework for implantation such as in the above-cited case of Rwanda. Also, some initiatives (e.g. JDs) were not sufficiently specific on the political economy

landscape and on undertaking a stakeholder analysis and identification of the most relevant dialogue partners. (I-1.2.1)

**For most initiatives, there is evidence of consultative processes for effective partner and beneficiary involvement but the “beneficiaries” were not always well enough defined.** The evaluation found a general need to more specifically define “beneficiaries<sup>58</sup>” (in some cases, these may be intermediary partner institutions, in other cases households or Small and Medium-sized Enterprises (SMEs) – for example, EU Commissioner in the 2012 publication “Empowering Development<sup>59</sup>” stated that “the we will have to pay particular attention to empowering energy users that play a crucial social role, such as SMEs, rural communities and, in particular, women”). As regards budget support, the evaluation team found the above-cited EC Methodological Note<sup>60</sup> useful because of its extensive list of guiding questions including on how to engage in dialogue with partners and beneficiaries – the evidence of its use in practical operations was however not strong. (I-1.2.2)

**The EU SE cooperation systematically ensured financial contributions by beneficiary institutions indicating a degree of ownership - although the level varied between initiatives.** In budget support, the partner government financial contribution was “by definition” (since the support contributed to a defined SE public budget – in the case of Rwanda 12 % of the sector budget), while for other types of project interventions and Technical Assistance (TA) support the partner contributions were less clear – however for most projects involving direct implementation there was a minimum 25% contribution from other sources, although this was not necessarily from the direct beneficiaries and in many cases came from other donors and contributors. The evaluation of blending (p.20) found that blending by being based on loans ensured a degree of ownership as the projects needed to be approved at a high level and ultimately paid back by the borrower. (I-1.2.3)

Conclusion: the JC is validated, there is evidence of partner/beneficiary involvement in and ownership of design and implementation. The process for most of the geographic

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<sup>58</sup> There are some definitions of beneficiaries here: [https://ec.europa.eu/europeaid/funding/about-funding-and-procedures/funding-recipients\\_en](https://ec.europa.eu/europeaid/funding/about-funding-and-procedures/funding-recipients_en), but the guidance on the identification of end beneficiaries/users/target groups of support is less clear.

<sup>59</sup> [https://ec.europa.eu/europeaid/sites/devco/files/booklet-energy-19052015\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/booklet-energy-19052015_en.pdf)

<sup>60</sup> The Methodological Note had among it 81 guiding questions: How is the concerned population (target group) consulted and able to express their views; are they entitled to participate in decisions that directly affect them, such as the design, implementation and monitoring of sector interventions (participation and inclusion)? And it refers to Reference Document [https://ec.europa.eu/europeaid/sites/devco/files/methodology-tools-and-methods-engaging-non-state-actors-new-aid-modalities-201101\\_en\\_2.pdf](https://ec.europa.eu/europeaid/sites/devco/files/methodology-tools-and-methods-engaging-non-state-actors-new-aid-modalities-201101_en_2.pdf) 12: “Engaging Non-State Actors in New Aid Modalities – For better development outcomes and governance” – 2011. There were also other useful tools on Capacity4Dev.

sector based support was participatory and sought to involve partners, but the resources and time available for such partner dialogue and engagement was limited for some of the thematic initiatives especially for countries where energy was not a mature EU focal sector; it was also an issue (perhaps related to EU terminology) that the end beneficiaries at the household and enterprise level and their representatives were not always well enough defined.

### JC 1.3 Degree to which SE support aligned to the wider global development agenda and was EU policy coherent.

#### Summary for JC 1.3

- There is strong evidence that SE interventions were coherent with relevant EU development policies although the support to energy efficiency was limited in early interventions.
- There is evidence that most initiatives post 2011 were strongly aligned to SE4ALL and that initiatives from 2015 and later were strongly aligned to SDG7.
- There is evidence that interventions from 2015 and later were aligned to the implementation of the Paris Agreement on Climate Change.

**There is strong evidence that SE interventions were coherent with relevant EU development policies although the support to energy efficiency was limited in early interventions.** There was in most initiatives strong evidence of alignment to the EU Agenda for Change and in some cases to other key EU policy documents. The references to policy coherence with Member States (MS) were most evident in the Joint Declarations, which were in many cases co-signed by MS (and in cases also by non-MS development partners). In Sub-Saharan Africa (in contrast to the neighbourhood region) the support to energy efficiency was low key. Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013) found that while GEEREF has led to a significant leverage in investment in renewable energy, the GEEREF risk capital model has not led to significant investment in energy efficiency. The low-key approach did not appear to have taken advantage of the fact that the EU had leverage to raise awareness and influence decisions on EE working in concert with other major institutions such as International Energy Agency (IEA) and the World Bank assisted by flagship tools such as the Global Tracking Framework and the Regulatory Indicators for Sustainable Energy (RISE). Furthermore, as partner country Nationally Determined Contributions (NDCs) also increasingly focused on EE goals as part of the mitigation agenda, there was a high potential for further EU focus on EE. The country visits have also found cases such as Tanzania, Zambia and Rwanda where EE interventions have been higher profile and appreciated by partners. (I-1.3.1)

**There is evidence that most initiatives post 2011 were strongly aligned to SE4ALL and that initiatives from 2015 and later were strongly aligned to SDG7.** The different initiatives and instruments covered by the evaluation generally reflect strong evidence of alignment to the goals of SE4ALL. For example, EU's flagship publication Empowering Development (May 2015) was dedicated to EU's commitment to the globally developed SE4ALL goals. Interventions from 2015 and later also made reference to SDG7 and – to

a very limited degree also to other SDGs despite the EU perspective on SE as increasingly seen as a broader enabler of social and economic development and not narrowly as a “sector” focused only on SDG7. EU interventions generally did not make reference to how to use information in the Global Tracking Framework (GTF), a major initiative led by the World Bank and IEA with some 20 international partners aimed at providing countries and the international community with a global dashboard to register progress on energy access, EE and RE. Thus, the results frameworks of EU cooperation could have been even further aligned to these goals and associated indicators. (I-1.3.2)

**There is evidence that interventions from 2015 and later were aligned to the implementation of the Paris Agreement on climate change.** The references to the Paris Declaration on Climate Change and the Nationally Determined Contributions (NDCs) were however more limited than might have been expected in most of the key documents, for the post 2015 interventions examined. (I-1.3.3)

Conclusion: the JC is validated. Overall, there is evidence that SE support was aligned to the wider global development agenda and was EU policy coherent. The evidence for this was strong for SE4ALL and SDG7 but weaker for the Paris Agreement on Climate Change.

Summary response	Sources of information	Quality of evidence	
<b>JC 1.1 Degree of alignment to national and regional objectives, strategies, plans, and programmes.</b>			
I-1.1.1 Evidence of analysis that indicates the presence of a sound and credible national/regional sector framework of policies, strategies, programmes and institutional structures and procedures with which to align.			
Geographic support - project support	<ul style="list-style-type: none"> <li>• NIPs and RIPs reflect evidence of analysis of national/regional sector framework with which to align. <u>The analyses reflected strengths and – to varying extent – also weaknesses of the sector framework</u> as part of the rationale for the chosen interventions strategy. As most RIPs covered blending, please refer to the summary responses under blending below.</li> <li>• For example, the NIP for the 11<sup>th</sup> EDF for Zambia, in Section 3.1. Improved access to clean reliable and affordable energy for all identifies key elements of the national framework (including Vision 2030) and in Table 3.1.7. <u>identified risk</u> factors reflecting weaknesses <u>in national sector frameworks and capacities</u>.</li> <li>• In the Philippines, the actions fiches similarly reflected evidence of analysis of national/regional sector framework with which to align, as part of the detailed rationale for the intervention. A few country and multi-country examples illustrate the evidence found<sup>61</sup>: <ul style="list-style-type: none"> <li>○ The Project Identification Fiche for the EU Access to Sustainable Energy Programme (EUR 60m) referred to MIP Philippines 2014-2020 and in Section 2.1. Sector Context had a detailed analysis as part of the rationale and noted that: Access to clean energy for the poor and increased investments in renewable energy are important reform areas in the Philippine Development Plan PDP. The PDP and the <u>Energy Reform Agenda are consistent with the principles of the EU's Agenda for Change, in particular the attainment of the objectives for social inclusion and sustainable economic growth, reduction of global shocks such as climate change, ecosystem and resource degradation, and volatile and escalating energy costs.</u></li> <li>○ In Zambia, the Action Document for the Kariba Dam Rehabilitation Project the sector context analysis was more limited but recognized the importance of the energy sector to regional growth prospects and noted that SADC had developed and implemented a comprehensive framework to facilitate integration. Energy played a central role in this ambitious agenda through the Southern African Power Pool (SAPP). The long-term growth prospects and security of the SAPP were heavily dependent upon availability</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• NIPs RIPs, action fiches.</li> <li>• NIP for the 11<sup>th</sup> EDF for Zambia</li> <li>• Philippines Standalone Project Identification Fiche CRIS # 2014/35111</li> </ul>	Strong

<sup>61</sup> (in some detail for this Indicator while for other EQ1 Indicators the reference to project support is brief)

Summary response	Sources of information	Quality of evidence
<p>of the hydropower resources of the Zambezi River basin (ZRB). Hydropower remained an important but under-represented contributor to the SAPP. The Kariba Dam and Hydro-Electric Scheme, constructed across the Zambezi River between 1956 and 1959, was the second largest hydro-electric scheme in the Zambezi River Basin – but had fallen into disrepair. A strong part of the rationale for support seemed to be the <u>key risk of doing nothing</u> - failure to implement the necessary rehabilitation works in a timely manner would increase the risk of catastrophic failure. The proposed rehabilitation works of the Kariba Dam required exceptional measures which had never been implemented before; there were no existing dam rehabilitation projects to draw experience from. The project was co-financed in parallel co-financing with the African Development Bank, the Embassy of Sweden to Zambia, the World Bank and the Zambezi River Authority.</p> <ul style="list-style-type: none"> <li>○ The ACP-EU Energy Facility Grant Application Form for the Multi country Triodos project (Kenya Uganda Tanzania) was intended to increase access to affordable and sustainable energy services for rural and peri-urban low-income communities. With a specific objective to facilitate private sector investment in decentralized rural energy markets to serve low-income households with combined energy product and financing solutions, it focused on RE (domestic solar photovoltaic and biogas) and micro-and small business finance; it clearly analysed the sector context and <u>identified key barriers for private sector involvement</u> i) Lack of reliable rural energy market infrastructure; ii) Lack of financing options; iii) Lack of resources to develop business models and reach sufficient scale. The proposed intervention was then designed to reduce these barriers for private sector involvement in RE markets by enhancing the capacities of local (M)FIs to finance energy MSMEs and end-users through facilitation of innovative financial products and partnerships with local suppliers and rural dealers, contractors and technicians of renewable energy access products. The proposed intervention also aimed to enhance bank investment by furthering the RE financing expertise and capacities of (M)FIs. The relevance to the national policies was identified as enhancing commercial supply and financing chains to reach isolated rural customers with energy products and services was in line with the national authorities and rural electrification agency (REA) strategies in all 3 countries. The REAs recognised the limitations of governments' capacity to supply these services in the short and medium term.</li> </ul>	<ul style="list-style-type: none"> <li>• Action Document for the Kariba Dam Rehabilitation Project CRIS number: FED/2014/031-570</li> <li>• ACP-EU Energy Facility Grant Application Form 10<sup>th</sup> EDF Reference: 129-364</li> </ul>	

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ The 2012 ROM on Triodos concluded that in fact, rural private sector markets for off-grid energy solutions existed, but the access for low-income rural consumers was not facilitated. The project aimed to improve access to quality inputs and affordable credit for producers (credit component was consistent with EC strategy for Kenya, particularly). Market linkage approach was relevant and addressed the sectors' needs. Improving availability and affordability of sustainable energy solutions, as well as use of appropriate financial services, lowering barriers for private sector investment in RE were achievable objectives. Intervention logic was good and it had been adaptive; project design was clear, concise, with well described activities and results. However, the ROM also found that “it was too early to assess impacts, at the end of the inception phase. Potential impacts remained uncertain. Particularly, the project would have a minor structural impact (because of its market oriented approach). Provided analysis of potential impacts was weak, and formulation of overall objective was not sufficient”.</li> <li>○ The Action Fiche for Energising Access to Sustainable Energy in Nigeria EASE (10th EDF, EUR 27 m) while noting that there was no EU intervention in the energy sector under 9th EDF, had detailed assessment of the sector framework, including lessons such as: “experience has shown that reform plans in the energy sector are usually implemented with considerable delays, often only partly and sometimes not at all, due to resistance from specific interest groups or large parts of the population. Whereas this (political) phenomenon cannot be externally influenced, the professional capacity of the respective and relevant parts of the administration can be improved in order to bring more rationality into the planning process and with some trickle-down effect in its implementation. The purpose of the programme therefore is to improve the enabling framework conditions for the application of RE, for a more efficient use of energy, and for small scale commercially viable solutions for flared gas utilisation”.</li> <li>○ The 11<sup>th</sup> EDF NIP for Nigeria noted that Nigeria's economic growth was being constrained by the lack of access to adequate electrical power. Only half of the population had access to electricity, and the bulk power system had been affected by insufficient and inadequate capacity in generation, transmission and distribution and was marred by high levels of system failures and power losses. In 2013, only half of the installed capacity was operational. This scenario was the result of decades of public ownership with inadequately fixed prices, under-investment in maintenance, in</li> </ul>	<ul style="list-style-type: none"> <li>● ROM Monitoring report MR-144913.01 30/07/2012</li> <li>● Action Fiche for Energising Access to Sustainable Energy in Nigeria EASE (2011/023-55)</li> <li>● 11th EDF NIP for Nigeria</li> </ul>	



Summary response	Sources of information	Quality of evidence
<p>the construction of new electricity infrastructure and in the upgrading of technical skills. However, NIP found that the Nigerian power sector was starting to witness significant transformation. With action to improve the supply of reliable electricity being the number 1 priority of the government's Transformation Agenda, major sector reforms had been initiated. Reforms included the privatisation of the power sector, capacity building at state level and attempts to even out the regional inequalities in the provision of electricity. Market-oriented policies to benefit from the efficiencies of the private sector in service delivery and to attract domestic and foreign direct investment are being implemented. The Government had unbundled and sold five of six generation companies and ten of eleven distribution companies. Further, it had contracted a private sector company to manage and improve the transmission system, as well as ensure open access to the grid for a competitive market in power generation. The expectation was that private sector operators would be better able to tackle efficiently problems such as the losses in the system and to increase the transmission reach. In doing so, there would be an increasing demand for sector-related items and services, which would open a great opportunity for the development of a supply chain of local SMEs. The 10th EDF supported RE EE and rural electrification, primarily in policy, planning and pilot projects at community level. While implementation was ongoing, lessons could already be learned on the challenges of intervening in areas where donors had not prioritized local ownership and long-term financial sustainability of projects, creating expectations of lasting support by beneficiaries. The 11th EDF involvement would be a hybrid incorporating policy and regulatory support (software) and blending with other instruments such as the ITF (hardware). Special attention would be given to RE sources and EE measures. There was considerable scope for co-funding and partnerships with other donors. During the Nigeria country visit it was found that EU support did support identified sector gaps, but it tried to cover all aspects of SE4All aspects and “spread the butter too thinly”. It was also found that EE was not a priority in Nigeria.</p> <ul style="list-style-type: none"> <li>• During the country visit to Ethiopia, it was found that one of the most beneficial results of the energy facility projects arose when the project focussed on the productive use of energy in the agricultural sector and introduced solar pumping for small scale irrigation led by women farming groups. However, the tendency of the cooperation and many of the interventions was to focus narrowly on the energy sector.</li> </ul>	<ul style="list-style-type: none"> <li>• Country visits</li> <li>• Country visits</li> </ul>	

Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>Country visits</li> </ul>	
Geographic support - budget support	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016.</li> <li>Budget support guidelines, September 2009: <a href="https://ec.europa.eu/europeaid/sites/devco/files/methodology-budget-support-guidelines-201209_en_2.pdf">https://ec.europa.eu/europeaid/sites/devco/files/methodology-budget-support-guidelines-201209_en_2.pdf</a></li> <li>Capacity4Dev Sustainable Energy Handbook <a href="https://europa.eu/capacity4dev/public-energy/minisite/sustainable-energy-handbook">https://europa.eu/capacity4dev/public-energy/minisite/sustainable-energy-handbook</a></li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<p>authorities focused mainly on electricity, the Government's commitments in the framework of SE4ALL and its Energy Strategy led to the inclusion of RE (biomass) and EE in the scope of interventions. This also had the benefit of strengthening cooperation among different public services in charge of energy and sustainable management of natural resources. Moreover, since SE sector BS was complex, it was found that access to information at an early stage was crucial for constructive policy dialogue.</p> <ul style="list-style-type: none"> <li>• The major budget support interventions in the sample selected for this evaluation were in Rwanda (EUR 177 m from 2016), Tanzania (EUR 90m from 2016), Ethiopia (9 m from 2015), Vietnam (198 m from 2016), and Tonga (10 m from 2015).</li> <li>• In Rwanda: <ul style="list-style-type: none"> <li>○ The EAMR 01/01/2013 - 31/12/2013 noted that in 2013 the Government approved a new national development strategy (EDPRS 2) valid until 2018. <u>The strategy was closely observed and discussed with Development Partners and was commented by bilateral partners under coordination of EUD.</u> The general notion was that the Government had developed an ambitious strategy with the right focus on private sector development and energy development. A monitoring and evaluation framework needed to be fine-tuned. Sector strategies in EU sectors of concentration "sustainable agriculture" and "sustainable energy" have also been developed.</li> <li>○ The Rwanda NIP 2014-2020 set out 6 expected SE results areas that were aligned to the national energy sector strategy and the NIP stated that corresponding targets should be coherent with targets set out in the <u>Government development strategy (EDPRS2) and that monitoring and means of verification should be through the EDPRS2 Energy Sector Strategic Plan (ESSP) reflecting alignment therewith.</u></li> <li>○ There is evidence of a detailed <u>public policy analysis</u> identifying and assessing the national/regional sector framework (Vision 2020, Nation Energy Policy (NEP) adopted by Cabinet, ESSP 2013/14- 2017/18, Electricity Access Roll out Plan (EARP), Electricity Master Plan still under preparation, SE4All Framework covering the 2030 horizon and validated as Action Agenda by the Sector Working Group). The analysis gave a <u>detailed assessment of coherence between sector policies</u>, contribution to sustainable and inclusive growth, key institutions' ownership to SE policy, credibility of the policy, and concluded that policy was in fact reflecting the ambitious political vision of the government for Rwanda to achieve middle-income status by 2020. <u>Assessment of the institutional context and capacity was also included</u></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Public policy Assessment, Energy Sector Budget Support, 11th EDF, Rwanda.</li> <li>• NIP-Rwanda-2014_2020</li> <li>• Sector Reform Contract (SRC) to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities. CRIS number: FED/2015/38107</li> </ul>	

Summary response	Sources of information	Quality of evidence
<p>concluding that there was a need for an updated functional review, that was launched with support from Belgium; the main donors agreed to comply with the planning and coordinate on capacity development through this programme.</p> <ul style="list-style-type: none"> <li>○ The SRC stated that the Government of Rwanda had subscribed to SE4ALL and its objectives and had developed the SE4ALL Action Agenda. SE was the focal sector under the 11th EDF NIP and was in line with the EU Agenda for Change. The SRC noted that energy was a new sector of cooperation for the EDF and lessons learned from previous programmes in Rwanda were therefore limited; the Government applied principles of aid effectiveness and had performed satisfactorily under previous General and Sector Budget Support agreements over the last years. Already under the 10th EDF, 80% of all EDF funds were committed in the form of budget support. The eligibility conditions for the energy sector to be a Budget Support recipient had been fulfilled despite capacity issues, which were to be addressed. The SRC committed EUR 156 m to BS and EUR 21 m to complementary support (capacity development, studies, evaluation and communication). It is also noted that the Energy Sector-Wide Approach (eSWAp), which was launched in 2008, was the basis of the process between the Government of Rwanda and the DPs, which ensured proper coordination, efficiency and effectiveness in the use of resources in the Rwandan energy sector.</li> <li>● In Vietnam: <ul style="list-style-type: none"> <li>○ A <u>detailed SWOT Analysis</u> was made in September 2015 for EU engagement to support rural electrification through SRC. As Vietnam was a country where several development partners provided support in the energy sector, the SWOT analysis looked at both the Government and DP side and identified opportunities for EU support in this context.</li> <li>○ Under the SE4ALL TAF, a detailed report was issued in October 2015 Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RE, EE, and access in rural areas as well as power market reform; the report identified critical issues in the sector (such as low quality of rural electricity services, low penetration of RE technologies, and the absence of structured information).</li> <li>○ The SRC contained summary points of <u>public policy analysis</u> and other analyses undertaken and scribed how the programme met the needs identified in the EU-Vietnam MIP 2014-2020, was in line with the country priorities as set out in the Vietnam's Socio-Economic Development Plan (2011-2020) and the National Energy</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● SWOT Analysis, September 2015</li> <li>● Intermediate Report: Access to Energy Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RES, EE, ACE in rural area and power market reform, October 2015.</li> <li>● Action Document for Energy Sector Policy Support Programme to enhance Access</li> </ul>	

Summary response	Sources of information	Quality of evidence
<p>Development Strategy to 2020 and 2050, and was in line with SDG7. More specifically, the proposed programme aimed to: 1) Support the implementation of the national programme on electricity supply to rural, mountainous and island areas 2013-2020; 2) Enhance the governance of the energy sector - in particular by: i) enhancing the transparency and accountability to ensure the sustainability of the sector, and ii) developing an enabling environment for the development of renewable energy in Vietnam. It was also intended to contribute to putting in place the regulatory framework needed to develop Vietnam's commitment to reduce its energy-related GHG missions in the context of Paris Agreement on Climate Change.</p> <ul style="list-style-type: none"> <li>• The above-cited sequence of actions and documentation is found by this evaluation to provide clear evidence of analyses of national sector framework.</li> <li>• The Annual Report on EU Budget Support – 2016 (section 4.8 p. 41) stated that as of the end of 2015, countries that had an ongoing SRC contract covering the energy sector were: Egypt, Jordan, Moldova, Morocco, Tonga, Tunisia and Ukraine. All these programmes aimed at supporting partner countries in the implementation of their sustainable energy policy and in the setting up of the enabling environment needed to mobilise public and private actors. The only sample country for the present Evaluation was <b>Tonga</b> where the Report stated that the institutional framework had progressed with the setting up of the Department of Energy. By March 2015 the renewable energy share of overall energy production had reached 8 %, increasing from 6.4 % the previous year. Access to modern energy services has increased and the target of universal access to electricity by 2020 remained on track.</li> </ul>	<p>to Sustainable Energy in Rural Areas of Vietnam. CRIS number: 2015/037-972</p> <ul style="list-style-type: none"> <li>• Annual Report on EU Budget Support – 2016: <a href="https://ec.europa.eu/europeaid/annual-report-eu-budget-support-2016-0_en">https://ec.europa.eu/europeaid/annual-report-eu-budget-support-2016-0_en</a></li> </ul>	
<p>Other Initiatives</p> <p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>• All available JDs in the sample showed evidence of analysis indicating the presence of a sound and credible sector policy framework with which to align.</li> <li>• The JDs all to a large extent followed a common template where initial paras acknowledged and recognised the partner country's policy/strategy initiatives and in some cases regional aspects, for example: <ul style="list-style-type: none"> <li>○ Rwanda JD paras 1,2,5,6,12</li> <li>○ Uganda JD paras 2,3,4,6,13,14,16,18</li> <li>○ Nigeria JD paras 2,3,4,10,13 – also noting the importance for the West African Power Pool (WAPP) of improved Nigerian electricity and gas sector governance and regulation</li> <li>○ Benin JD paras 3,14</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM – as well as the Zambia Declaration of Intent DOI))</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ CARIFORUM JD paras 8,15,17,23 – also noting the endorsement of the establishment of the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE) as the implementation hub for sustainable energy</li> <li>• The JDs however, were generally weak in identifying the <i>specific</i> areas of weakness in the national sector framework that support was intended to address, often stating more generically that “the EU (and MS/DPs) will endeavour to support the Government in achieving SE goals by considering capacity building where clear capacity constraints are present”.</li> <li>• Other weaknesses of the JDs were: i) specific institutional aspects were mostly not addressed in any detail; ii) the disclaimer in each JD “This Declaration does not, nor is it intended to create any binding, legal or financial obligations on either side under domestic or international law”; iii) the indicative Roadmap mentioned in the last para of most JDs was not available; the absence of such agreed process action plan for follow-up limits the possibilities for tracking actual degree of alignment and holding parties accountable for timely action and progress. In the case of Zambia, it was found during the country visit that the DoI signed by the EU with 5 member states and 5 other key other development partners at COP22 in Marrakech was a reflection of significant political capital invested by the signatories and there were some indications of follow-up at the political/Ambassador level with high level government partners - though no process action plan was found for follow up directly linked to the DOI.</li> <li>• It can of course be argued that actually, the fact that the JDs were voluntary and signalled intention rather than being binding gave some flexibility and allowed opportunities for more meaningful and ambitious vision – evidence was however not found how such opportunities were used in direct follow-up to the JDs.</li> </ul>		
<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>• The AEEP was structured as a long-term framework for political dialogue and cooperation between Africa and EU aiming to increase effectiveness of African and European efforts to secure reliable and sustainable energy services on both continents and to extend access to modern energy services and expand the use of renewable energy in Africa.</li> <li>• AEEP’s work was guided by the First outcomes of the High-Level Meeting held in Vienna in September 2010, where Ministers and high-level representatives from 24 European and 33 African countries adopted a Declaration to attain concrete and ambitious targets for 2020 on energy access, energy security, RE and EE.</li> <li>• This nature of AEEP’s activities provided evidence of commitment to efforts to analyse national/regional frameworks with which to align actions.</li> </ul>	<ul style="list-style-type: none"> <li>• AEEP website</li> <li>• AEEP Mapping of Energy Initiatives and Programs in Africa, May 2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• AEEP in 2016 published a comprehensive study on the “Mapping of Energy Initiatives and Programs in Africa”, which aimed to create a mapping of energy initiatives to allow stakeholders and African policy makers to navigate the large number of initiatives currently active in the sector. The study also acted as a key first input in to a proposed pan-African coordination mechanism in the energy sector proposed by the African Union Commission (AUC).</li> <li>• Given the focus on major engagements on the African continent, the mapping study however did not give detailed assessments of national/regional sector frameworks for DPs to align with.</li> <li>• The AEEP Steering Group had in 2017 asked the AEEP to develop different options for the future of the partnership. This would ensure the continued relevance of the AEEP and value proposition vis-à-vis the increasing number of players in the energy sector and in climate change in Africa, as an important issue vs. the type of analysis that needed to be undertaken of the sector framework with which to align interventions.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• Most services provided by the EUEI PDF were <u>demand-driven</u> through the respective stakeholders (partner governments, private sector, etc.) and, therefore, directly addressed their needs. In case of the SEADS, the interventions were based on requests from national governments and the local partners usually participated in project planning, following a standardised procedure. It is assessed by this evaluation that while this was an important factor in aligning to the national sector framework it did not obviate the need to undertake analysis of whether the framework was sound. The aforementioned EUEI PDF/SEADS Country Energy Assessment Tool developed in 2013/2014 was clearly also intended to support analysis of the national framework, though it was not clear to what extent the tool was applied.</li> <li>• Thematic studies, as developed by SEADS, were aimed at providing information which would be relevant for many years. Examples for this are: the study on the Productive Use of Energy, the Mini-Grid Policy Toolkit or the Biomass Energy Sector Planning Guide. An external evaluation of the Mini-Grid Policy Toolkit also showed that this has been used by decision makers. In addition, ECREEE requested further capacity building in this area.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Strong
<p><u>TAF:</u></p> <ul style="list-style-type: none"> <li>• TAF was well-designed to support beneficiary country governments’ mandates and while not duplicating any activities already being carried out by other Project Preparation facilities.</li> </ul>		More than satisfactory

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>TAF was well-aligned with and appropriately designed to support the specific activities of the Private Infrastructure Development Group (PIDG).</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation of TAF, Part 1, Cambridge Economic Policy Associates (CEPA), April 2016</li> </ul>	
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>RECP supported European and African entrepreneurs through the provision of dedicated market information. A clear understanding of a market's regulatory framework, the most relevant institutional stakeholders and the local renewable energy resource potential was key for any entrepreneur interested in Africa's renewable energy markets. RECP had therefore developed basic market briefings that provided this general level of information for a limited number of African markets.</li> <li>RECP coordinated its interventions with the implementation partners like private companies (European and African), private sector associations and the EC (ElectriFI, TAF, etc.).</li> </ul>	<ul style="list-style-type: none"> <li>RECP website</li> <li>EUEI PDF Mid-Term Review Report_06-2017</li> </ul>	More than satisfactory - by design
<p><u>EU-ACP Energy Facility:</u></p> <ul style="list-style-type: none"> <li>The Communication on the future development of the EU Energy Initiative and the modalities for the establishment of an Energy Facility for ACP countries stated in Section 6.1 key Principles: The Energy Facility should be directed towards the achievement of the WSSD and MDG targets and should concentrate its activities in those ACP countries which already have a sound national energy policy or those which are strongly committed to developing such a policy, based on good governance principles and as part of a Poverty Reduction Strategy or similar. The Energy Facility would, among other things, assist countries to establish their institutional and regulatory framework and to attract additional financial resources for public-private partnerships. The active participation and parallel contribution by Member States already working in the country would strengthen the Facility. The concept of ownership was central to the approach of the Energy Facility. A number of ACP countries gave priority to the energy and poverty agenda and asked to become partners in the EUEI. EUEI actions should be coherent with national policies and commitments, and ideally result from the ongoing Poverty Reduction Strategy process. Some countries were fairly advanced in developing the policy framework and would be ready for implementation. In other countries, there was still a need for policy and strategy development. There was a growing awareness of the fact that energy had not been sufficiently recognised as an important element in the poverty reduction process and that there was a need to incorporate the energy dimension in Poverty Reduction Strategies. At national level, actions would be geared towards delivering energy services to the poor. At cross-boundary-ACP level the Facility would foster dialogue with African institutions and initiatives of a global nature, such as New</li> </ul>	<ul style="list-style-type: none"> <li>COM(2004) 711 final, Brussels, 26.10.2004</li> </ul>	Strong by design



Summary response	Sources of information	Quality of evidence
<p>Partnership for African Development (NEPAD) and African Union (AU). Similar processes were being developed in the ACP Island regions.</p> <ul style="list-style-type: none"> <li>• The Communication further identified the key EF priority activity areas: i) The largest financial contribution from the Facility would be designed to reach a substantial number of rural people and to improve their access to modern energy services. ii) Where governance conditions were not in place for delivery-oriented intervention in the field, up to 20% of the Facility would support the development of an enabling environment for the energy sector based on good governance principles. iii) Up to 20% of the Facility would be devoted to preparatory activities required to facilitate future essential investment plans for cross-border interconnections, grid extensions and rural distribution, preparing them for financing by IFIs, in particular the EIB and EDFs as well as working together with the World Bank, the African Development Bank and the private sector.</li> <li>• The Court's Audit examined whether the Commission successfully used the EF to increase access to renewable energy for the poor in Eastern Africa and structured the audit on the three following questions: Did the Commission allocate EF support for renewable energy to well prioritised and designed projects? Did the Commission monitor the projects properly? Did the projects achieve their objectives? The audit focused on renewable energy projects funded under the two first calls of proposals in twelve East African countries (Burundi, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mozambique, Rwanda, Tanzania, Uganda and Zambia) and included documentation reviews of EU policy documents on energy sector in developing countries, EDF cooperation strategy and the EF, interviews of staff in DEVCO and EU delegations (Madagascar, Zambia and Tanzania) with representatives of contractual/implementing partners and public entities of the beneficiary countries and a review of projects implemented in five countries (Kenya, Madagascar, Mozambique, Tanzania et Zambia).</li> <li>• The Court found that the system of calls for proposals was transparent and relied on a well-documented selection process. For the projects selected by the Court, it was observed that the selection criteria ensured consistency with the priorities set by the EF as all 12 East African countries covered by the audit had or were setting up a national energy policy, 85% of the grants were allocated to projects using renewable sources of energy and projects were addressing well-identified needs regarding access to modern energy services in rural or peri-urban areas. As regards the selection process as such, the Court considered it was not sufficiently rigorous insofar as a quarter of the projects examined were awarded a grant despite significant weaknesses identified. Even though it was noted that the design of projects used appropriate evaluation criteria like the operational viability, sustainability, cost-effectiveness and replicability, the audit</li> </ul>	<ul style="list-style-type: none"> <li>• European Parliament Committee on Budgetary Control. ECA Special Report N° 15/2015 (2014 Discharge) on "EU Energy Facility support for renewable energy in East Africa". DT\1077556EN.doc 18.11.2015</li> </ul>	

Summary response	Sources of information	Quality of evidence
<p>work revealed that for 5 out of 11 projects were affected by inconsistencies not detected by the evaluation committee such as inadequacy between good scoring given by an external assessor regardless serious deficiencies and high risk of project failure and the absence of mitigating measures. Moreover, for the assessment of the appropriateness of projects' rationale, the objectives were SMART but the performance indicators defined to monitor projects' achievements were not always based on accurate scenarios and targets due to the absence of prior feasibility studies. Lastly, for 13 projects completed or near to completion, 5 requested a significant adjustment of their performance indicators to adapt to the reality on the field, unforeseen event or optimise technical options. The Court pointed out that the information from the projects' reporting to monitor progress and to take the required appropriate measures if need be, was not satisfactory. From the Court' sampling of 16 projects selected, only 5 had timely and expected qualitative reporting. For the others, the Court identified uneven quality with the following shortcomings like the lack of information about intermediate progress compared to set objectives or limited information on measures to be taken when progress is unsatisfactory. In order to face this situation, DG DEVCO contracted a consulting firm to assist EU delegations in assessing the implementing partner' reporting, record data on implementation progress and set up a structured EF monitoring instrument with the possibility of issuing recommendations. The Court found this action useful for approximating the implementing partners' reporting but pointed out that the consulting firm had no power to implement the recommendations issued or to make on the spot visits to check the data provided by the implementing partners. The Court also noted that only half of the mandatory mid-term evaluations on projects were carried out. With regard to some projects that encountered serious implementation difficulties, the Court observed that the Commission did not take appropriate and timely measures and this, regardless of the 2012 report on the mid-term evaluation of the first call for proposals wherein such weaknesses were already reported. Furthermore, the Court considered that DEVCO had not used its power to request additional information, terminate a contract or recover amounts already paid when implementing partners do not comply with their contractual reporting obligations or when a contract cannot be effectively or appropriately achieved as planned. The audit also showed that few projects managers were doing on the spots visits for projects with implementation difficulties or insufficiently used the possibility of launching a ROM in such cases. Of the 16 projects reviewed, the Court found that a quarter of the projects examined did not deliver most of the expected results mostly due to design weaknesses and inadequate reporting by the Commission during their implementation phase. Indeed, it appeared that implementation periods included in</p>		

Summary response	Sources of information	Quality of evidence
<p>the project proposals were in general underestimated thus requiring an extension. For the other remaining projects examined, 12 were successful, 5 exceeded their initial targets, 2 were likely to fulfil their targets and 5 were not likely to reach their targets but results achieved were still reasonable. From the 12 successful projects examined, it appeared that most of the projects had good sustainability prospects if necessary measures envisaged are implemented and the context does not deteriorate. Only one was considered by the Court as questionable in terms of sustainability due to technical complexity combined with a shortage of local capacity. Training was provided in all the projects to improve management and local technical capacities and will be continued after the project completion. Commission in its report to the Audit highlighted that the creation of the EF allowed the Commission to substantially address for the first time the issue of energy access in its development cooperation. The Commission stated that the fact that most of the projects examined were considered by the Court successful with good sustainability prospects was a good achievement given the difficult context of implementation of those projects. For the quarter of projects which had not delivered expected results, the Commission mentioned unfavourable circumstances and insufficient local capacities in the remit of the beneficiaries which challenged the initial design and implementation of the projects but the Commission acknowledged there was room for improvement for the monitoring of the projects in the field. In the light of its findings, the Audit report made a number of recommendations in order to select projects more rigorously, strengthen projects' monitoring and increase their sustainability prospects.</p>		
<p><b>Blending:</b></p> <ul style="list-style-type: none"> <li>The ITF and later AITF were set up to promote regional economic integration and much of the blending support for energy originated from the RIPs (e.g. Decision# FED/2012/024-335) and supported the so-called SE4ALL blending envelope of 22 energy projects. The projects were based on an analysis by the regional economic communities and by the PIDA. Thus, it can be concluded that the projects benefitted from analysis of the extent to which current policies and strategies at the national and especially regional level were sound and credible. A study on African project preparation facilities rates the blending (EU-AITF) as high on strategic relevance probably due to its focus on regional projects – the best of all the facilities examined (p12,13).</li> </ul>	<ul style="list-style-type: none"> <li>CEPA et al, Assessment of project preparation facilities in Africa, 2012 p12 <a href="https://www.icafrica.org/fileadmin/documents/Knowledge/ICA_publications/ICA-PPF-Study%20Report-ENGLISH-VOL%20A.pdf">https://www.icafrica.org/fileadmin/documents/Knowledge/ICA_publications/ICA-PPF-Study%20Report-ENGLISH-VOL%20A.pdf</a></li> </ul>	Strong
<p><b>GEEREF:</b></p> <ul style="list-style-type: none"> <li>GEEREF's Investment Strategy and Impact Methodology provided clear evidence sound SE principles, but did not as such provide any evidence of how to undertake analysis that indicates</li> </ul>	<ul style="list-style-type: none"> <li>GEEREF Investment Strategy: <a href="http://geeref.com/about/investment-strategy.html">http://geeref.com/about/investment-strategy.html</a></li> </ul>	Weak

Summary response	Sources of information	Quality of evidence
<p>the presence of a sound national sector framework with which to align or whether and how such analyses was to be carried out in practice.</p> <ul style="list-style-type: none"> <li>• But with GEEREF being a fund of funds, the individual fund managers and the investors involved were required to undertake specific analysis of the country risks and investment environment before they commit to projects – and they also carry the responsibility for alignment/adherence to national regulations and the risk involved in non-compliance.</li> <li>• For example, in Kenya and Uganda there had been extensive analyses related to the development of “bankable PPAs” (see EQ5) which also extended to measures to improve the investment environment.</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Impact Methodology May 2015: <a href="http://geeref.com/assets/documents/GEEREF%20Impact%20Methodology%20June%202016.pdf">http://geeref.com/assets/documents/GEEREF%20Impact%20Methodology%20June%202016.pdf</a></li> <li>• (source of evidence: Interviews with DI Frontier)</li> </ul>	
<p><u>ElectriFI:</u></p> <ul style="list-style-type: none"> <li>• Electrifi operations would be assessed against a set of criteria including: aid effectiveness and <i>coherence with country ownership principles, development impact</i> (new or improved access to electricity and energy services, jobs creation etc.), <i>additionality</i> (meaning the need of the support requested), neutrality (meaning avoidance of market distortion), replicability and scaling-up potential and compliance with environmental, social and fiscal standards.</li> <li>• Electrifi was founded on and designed to respond to commonly occurring market weakness in developing countries related to energy, addressing the major barrier to investments in access to energy in developing countries: the lack of access to seed, mid- and long-term capital. Electrifi was created as a financing scheme to bridge the gaps in structuring and financing, stimulate the private sector, and mobilise financiers. Thus, its design in a general sense responded to the challenges faced by many countries and a sector framework attempting to address those challenges. At a more specific level the investors (applicants) of each project undertake an investment decision to go ahead based on an internal analysis of the prospects – so they would have to undertake the relevant analysis of the national sector frameworks as they must comply with relevant regulations and assume the risk associated with the investment. The application review procedure of Electrifi would subjects this analysis (often implicit) to review.</li> <li>• For example, in the case of Haiti the first Electrifi project to be approved, there was an implicit analysis of the national sector framework which provided favourable conditions for developing mini-grids to serve small communities.</li> <li>• The above-cited considerations imply that assessment would be made of a national framework, but the Electrifi initiative did not explicitly address the issue of alignment.</li> </ul>	<ul style="list-style-type: none"> <li>• Electrifi fact sheet</li> <li>• (Source of Evidence: <a href="https://www.devfinance.net/electrifi-makes-first-investment-sigora-haiti-utility-project/">https://www.devfinance.net/electrifi-makes-first-investment-sigora-haiti-utility-project/</a> )</li> </ul>	Weak by design and limited evidence yet from operational interventions
<b>Summary and analysis of findings for the indicator:</b>		

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• For most of the initiatives, there is strong evidence of EU analysis that indicated the presence of a sound and credible national/regional sector framework of policies, strategies, programmes and institutional structures and procedures with which to align.</li> <li>• It is however, noted that no evidence has been found of effective use of major SE4ALL tools to assess the national sector framework against SE goals, mainly the SE4ALL/World Bank Regulatory Indicators for Sustainable Energy (RISE<sup>62</sup>). It is also noted that the Global Tracking Framework (GTF) as a major initiative led by the World Bank and IEA with some 20 international partners aimed to provide the international community with a global dashboard to register progress on energy access, EE and RE. GTF assessed the progress made by each country on these three pillars and provided a snapshot of how far countries are from achieving the 2030 SDG targets, thus also reflecting on the soundness and effectiveness of countries' SE sector frameworks. It is also not clear to what extent the EUEI PDF/ SEADS Country Energy Sector Assessment and Policy Advisory Tool (that predated the mentioned SE4ALL tools) was actually used in practice – it was mentioned in the EUEI PDF Annual Report 2014-2014, and the activity was shown as completed.</li> <li>• For private sector-oriented initiatives (GEEREF, ElectriFi), the investors (applicants) of each project must themselves undertake an investment decision to go ahead based on an internal analysis of the prospects – meaning that they have to undertake the relevant analysis of the national sector frameworks as they must comply with relevant regulations and assume the risk associated with the investment.</li> <li>• For JDs and networking platforms there is very limited evidence of the initial analyses being used effectively for the later programming and implementation, although there are some examples.</li> <li>• Defining the “SE sector” was to some extent an issue in early interventions, and SE was increasingly seen as a broader enabler of economic and social development than as a “sector”. This was facilitated by the global context with SE4ALL, the SDGs and to some degree also the Paris Agreement on Climate Change that helped define SE.</li> <li>• The country visit examples showed that energy sector cooperation did not always take sufficient advantage of the nexus of energy, water and food security where multiple end use benefits arise. Thus, in some cases, EU could have made better use of opportunities to further mainstream energy in other sectors and focus more strongly on productive use.</li> </ul>		

<sup>62</sup> RISE (Report 2016 <http://rise.esmap.org/reports>) is a set of indicators to help compare national policy and regulatory frameworks for sustainable energy. It assesses countries' policy and regulatory support for each of the three pillars of sustainable energy—access to modern energy, energy efficiency, and renewable energy. RISE was piloted in 2014 and a full report was issued for 2016. With 27 indicators covering 111 countries and representing 96 percent of the world population, RISE has provided a reference point to help policymakers benchmark their sector policy and regulatory framework against those of regional and global peers, and a powerful tool to help develop policies and regulations that advance sustainable energy goals. Each indicator targets an element of the policy or regulatory regime important to mobilizing investment, such as establishing planning processes and institutions, introducing dedicated incentives or support programs, and ensuring financially sound utilities. Together, the indicators provide a comprehensive picture of the strength and breadth of government support for sustainable energy and the actions they have taken to turn that support into reality. RISE classifies countries into a green zone of strong performers in the top third, a yellow zone of middling performers, and a red zone of weaker performers in the bottom third. Of the 8 countries visited during field phase under the present evaluation, 6 were in the yellow category with the scores indicated: Tanzania (54), Zambia (43), Cote d'Ivoire (41), Rwanda (40), Ethiopia (36) and Benin (35), while Nigeria (21) and Liberia (15) were in the bottom red category.

Summary response	Sources of information	Quality of evidence	
•			
<b>I-1.1.2 Interventions are aligned where the national/regional sector framework was sound.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>• As illustrated by the examples under I-1.1.1.</li> <li>• The Rwanda NIP 2014-2020 set out 6 expected SE results areas that were aligned to the national energy sector strategy.</li> <li>• It is also noted that the Energy Sector-Wide Approach (eSWAp), launched in 2008, was the basis of the process between the Government of Rwanda and the DPs, which ensured coordination, efficiency and effectiveness in the use of resources in the Rwandan energy sector.</li> <li>• The 2012 ROM on Triodos concluded that the project was well designed and its objectives were consistent with the EC strategy, the RIP and Governments' policies for rural electrification (except for Kenya national policy that gave priority to grid extension).</li> </ul>	<ul style="list-style-type: none"> <li>• NIPs RIPs action fiches</li> <li>• Rwanda NIP 2014-2020</li> <li>• 2012 ROM on Triodos</li> </ul>	Strong
Geographic support - budget support	<ul style="list-style-type: none"> <li>• As noted in I-1.1.1. detailed guidance to EUD staff and other stakeholders was provided by the Methodological Note, giving a detailed list of energy policy tools and instruments, principles of eligibility assessment - including definition and scope of the SE sector, demonstrating consistency of the intersectoral links of national SE policy, ensuring consistency between SE policy content, macro-economic framework and the management of public finances, and including programme risks aspects. Detailed annexes included i) elements to be taken into account when assessing the relevance and credibility of SE sectoral policy framework and institutions – a total of 81 guiding questions; and ii) examples of SMART indicators at outcome and outputs levels.</li> <li>• For example, the Rwanda SRC stated that the SE4ALL process had led to the establishment of the Action Agenda and a number of position papers through the SE4All process on the main challenges. The EU support programme was aligned to the structured approach under the SE4ALL and therefore addressed the problems of Rwanda's energy sector in a holistic way including energy access (electricity), access to clean and sustainable cooking, renewable energy sources, sustainability of biomass and energy efficiency. Institutional capacity issues were equally addressed targeting governmental bodies and private sector.</li> <li>• During the Rwanda country visit it was found that while the budget support was prepared under tight deadlines in the context of low government capacity, it was underpinned by an analysis of government policies and plans and reflected government priorities. Since the original design of the budget support there have been further energy reforms and a gradual appreciation of the need to revise targets that require a re-alignment of the budget support financing agreement.</li> </ul>	<ul style="list-style-type: none"> <li>• European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> <li>• Sector Reform Contract (SRC) to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities. CRIS number: FED/2015/38107</li> </ul>	Strong

Summary response		Sources of information	Quality of evidence
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>All available JDs in the sample for this evaluation showed evidence that interventions agreed through the JD would be designed to be aligned where the national/regional sector framework was sound.</li> <li>The JDs all to a large extent followed a common template where initial paras acknowledged and recognised the partner country's policy/strategy initiatives with which interventions would be aligned, for example: <ul style="list-style-type: none"> <li>The Uganda JD in paras 3, 4 and 5 welcomed Uganda's Rural Electrification Strategy and Plan, Uganda's Energy Policy, RE Policy, RE Investment Plan, Power Sector Investment Plan, and Biomass Energy Strategy and further noted that these strategies were in line with SE4ALL and that the Government with EU support had completed a SE4ALL action agenda that intended to align all these strategies.</li> <li>The CARIFORUM JD in paras 15 and 16 recalled national and regional energy plans, including the CARICOM Energy Policy and Caribbean Sustainable Energy Roadmap and Strategy (CSERMS), adopted by CARICOM in March of 2013, and the negotiations in the Dominican Republic for a National Pact on Energy and noted that these strategies were consistent with the objectives of SE4ALL.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	<p>More than satisfactory by design – but the evidence of how the JDs contributed to alignment in practice, is very weak.</p>
	<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>The Results Report for 2004-2015 found that “The fact that strengthened capacities as well as political dialogue and networking are effective in reaching concrete energy targets is also substantiated by those respondents who could give an example of how AEEP triggered developments in the energy sector of their country. The mentioned impacts mainly focus on increased access to energy respectively increased renewable energy capacity, policy development, regulatory framework, awareness raising and networking. For example, one respondent stated: “AEEP gave a very big support in the development of Renewable Energy Sector in Uganda mainly by supporting Capacity Building and sensitization through private sector.” Another one stated: “Debate on Re-FiTs widened and has yielded concrete action on closed grids and on-grid connection of solar power – e.g. the 10MW solar plant in Soroti (Uganda).” The above-cited information is assessed by this evaluation to give evidence of alignment to the national frameworks.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	<p>More than satisfactory</p>
	<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>The EUEI PDF Mid-term review noted that “according to the Results Study, some interventions were not successful (20 % did neither achieve the intended nor any additional outcomes). Further</li> </ul>		

Summary response	Sources of information	Quality of evidence
<p>analysis was found needed to determine if the lack of capacities on the partner side had been the main reason for this. In that case, future interventions should be accompanied more systematically by tailor made capacity building measures. RECP already provided this kind of support”.</p>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Indicative but not conclusive
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• See above under SEADS</li> </ul>		More than satisfactory
<p><u>EU-ACP Energy Facility:</u></p> <ul style="list-style-type: none"> <li>• See under I-1.1.1</li> </ul>		Strong
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending found that blending often accompanied sector policy reforms in the beneficiary countries but was not the main contributing factor.</li> <li>• The evaluation, however, further found that the blending projects (confirmed by those visited in the field) had been overall well aligned or largely aligned with the priority policy objectives of the beneficiary countries.</li> <li>• The Evaluation (Vol 1 p. 70) also found that although blending projects were broadly aligned with the facilities’ objectives, the explicit link between the project and national objectives and priorities was often not clear enough. The Evaluation therefore made Recommendation #3: Sharpen the alignment of the blending project with national policies. It was further proposed that this recommendation could be achieved through actions such as increasing the awareness of IFI staff and EU delegation staff, paying special attention to topic 22 in the application form which required explanation of policy alignment, ensuring that this related not only to the facilities’ policy objectives but also to relevant national policies, and ensuring that the technical assessment meetings scrutinise this aspect in detail.</li> <li>• In the case of Zambia, two interviews reflected the strategic relevance and alignment of the major Kariba Dam blending support: “EU aligned very well to the access challenge and to the Kariba Dam and ITT/transmission lines in the national interest” and “The Kariba Dam project benefited Zambia and Zimbabwe and was very strategic to Zambia”.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul> <p>Zambia country visit</p>	Indicative but not conclusive
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• GEEREF’s Investment Strategy specified that priority would be given to investment in countries with appropriate policies and regulatory frameworks on energy efficiency and renewable energy.</li> <li>• The GEEREF eligibility and impact criteria cited under I-1.1.1 above reflected sound SE principles but did not as such provide any evidence of how GEEREF aligned to the national sector framework when sound.</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Investment Strategy</li> </ul>	Indicative but not conclusive



Summary response	Sources of information	Quality of evidence	
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>• There is for most public-sector interventions more than satisfactory evidence that interventions are aligned where the national/regional sector framework was sound.</li> <li>• For private sector interventions, there is indicative, but not conclusive or in some cases weak evidence that such interventions were aligned to sound sector frameworks.</li> <li>• For blending, topic 22 in the application form required explanation of policy alignment, ensuring that this relate not only to the facilities' policy objectives but also to relevant national policies, and ensuring that the technical assessment meetings scrutinize this aspect in detail. It was however not clear how effective this requirement had been in practice.</li> </ul>			
<p>I-1.1.3 EU applied an appropriate intervention strategy where the national/regional sector framework was not sufficiently in place.</p>			
Geographic support - project support	<ul style="list-style-type: none"> <li>• As illustrated by the examples under I-1.1.1</li> </ul>	<ul style="list-style-type: none"> <li>• NIPs RIPs action fiches</li> </ul>	More than satisfactory
Geographic support - budget support	<ul style="list-style-type: none"> <li>• As noted under I-1.1.1 and 1.1.2 detailed guidance to EUD staff and other stakeholders was provided by the Methodological Note regarding how to assess the national sector framework and define an appropriate intervention strategy accordingly. The guidance with many specific guiding questions gave the user a tool to analyse and conclude on an indication of whether the framework was sound but did not as such does not give specific guidance on the specific next steps to take in each case depending on whether the framework was found inadequate.</li> <li>• Budget support was typically accompanied by complementary support (capacity development, studies, etc) to address shortcomings, where the national sector framework was not sufficiently in place.</li> <li>• Thus, in Rwanda, the SRC committed EUR 156 m to BS and EUR 21 m to such complementary support. This SRC mentioned in section 4.2.2. that Complementary support would focus mainly on capacity development for a number of key-institutions of the energy sector order to enable the institutions to deliver their contributions to the successful implementation of the Energy Sector Strategic Plan (EESP) and the National Energy Policy (NEP). An EDF financed study had already analysed main gaps, potential beneficiaries and corresponding key-activities.</li> </ul>	<ul style="list-style-type: none"> <li>• European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> <li>• Sector Reform Contract (SRC) to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities. CRIS number: FED/2015/38107</li> <li>• Rwanda SRC.</li> </ul>	Indicative but not conclusive

Summary response		Sources of information	Quality of evidence
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>The Sample JDs all set out – at a strategic level - an appropriate intervention strategy to address needs for improvements in the national/regional sector framework, i.e. where the sector framework was not sufficiently in place, for example: <ul style="list-style-type: none"> <li>The Rwanda JD in para 11.f committed the EU to support the Government in achieving sustainable energy goals by considering capacity building where clear capacity constraints are present.</li> <li>Similar commitments were made in other JDs, e.g. Nigeria para 12.e or Uganda para 17.f</li> </ul> </li> <li>However, in practice, little evidence was found on specific follow-up attributable to the high - level commitments made in the JD.</li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	More than satisfactory by design, but evidence of follow-up limited
	<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>The Mid-term Review Report found that the interview partners underlined the lack of capacity in the AUC and other African institutions as a major hampering factor. The programme had sought to address this challenge by seconding experts to the AUC. This was considered as a very relevant activity to increase the capacity of the AUC in the energy sector in general and to stimulate the African and intercontinental dialogues. However, AUC energy sector capacity was still limited; a systematic capacity development effort at institutional level would require a longer-term approach and additional resources. The Review concluded that AEEP should therefore elaborate a capacity development strategy for the African Union (AU) institutions and seek assistance from interested development partners who may provide the necessary support.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Strong
	<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>The Mid-term review found that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners. However, according to the Results Study, some interventions were not successful (20 % did neither achieve the intended nor any additional outcomes). Further analysis was needed to determine if the lack of capacities on the partner side has been the main reason for this. In that case, future interventions should be accompanied more systematically by tailored made capacity building measures. RECP already provided this kind of support.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Indicative but not conclusive
	<p><u>TAF</u></p> <ul style="list-style-type: none"> <li>The EU launched TAF to assist partner countries in fine tuning their energy policies and regulatory frameworks to allow for increased investments in the energy sector. It has supported countries which are committed to reaching the SE4ALL objectives, in particular those who</li> </ul>	<ul style="list-style-type: none"> <li>TAF leaflet</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence
<p>selected energy not only as one of the priority areas of their national policy agenda, but also chose energy as a focal sector in their bilateral cooperation with the EU for the period 2014-2020.</p> <ul style="list-style-type: none"> <li>• TAF has been used to address issues related to inadequacies in the national or regional sector framework by capacity development/TA, studies, etc.</li> <li>• During the country visits, several examples were found of how TAF supported analyses and TA interventions to address shortcomings in the national framework. For instance, in Ethiopia, the extremely low and heavily subsidised electricity prices were a clear disincentive for energy efficiency and as noted by the Ethiopian Energy Agency EEA there was very limited data available on energy efficiency. However, it is remarkable that with EU TAF support, a national Energy Efficiency Strategy was developed in April 2015. This clearly helped pave the way for EE, and as noted by EEA many industries were asking, but the market was not ready, there were no energy auditors yet. In Cote d'Ivoire, National strategies and programmes to support private sector development were still emerging; TAF studies and TA supported the formulation of the Electricity Code decrees that supported private sector engagement in the sector.</li> </ul>	<ul style="list-style-type: none"> <li>• Numerous examples from the country visits during the field phase</li> </ul>	
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• See above under SEADS</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Indicative but not conclusive
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending (p. 70) made Recommendation #3: Sharpen the alignment of the blending project with national policies. Rationale: Although blending projects were broadly aligned with the facilities' objectives, the explicit link between the project and national objectives and priorities was often not clear enough. This recommendation could be achieved through action such as increasing the awareness of IFI staff and EU delegation staff, paying special attention to topic 22 in the application form which required explanation of policy alignment, ensuring that this related not only to the facilities' policy objectives but also to relevant national policies, and ensuring that the technical assessment meetings would scrutinise this aspect in detail.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	Indicative by not conclusive
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• GEEREF's Investment Strategy specified that priority would be given to investment in countries with appropriate policies and regulatory frameworks on energy efficiency and renewable energy – but the GEEREF eligibility and impact criteria cited under I-1.1.1 above are assessed to be fundamentally sound SE principles even if the national sector framework was not sufficiently in</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Investment Strategy</li> </ul>	Indicative but not conclusive

Summary response		Sources of information	Quality of evidence
	place. In any event, GEEREF is a fund of funds and the individual investors would need to undertake analysis of sector frameworks to mitigate against investments risks.		
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>For most of the initiatives, there is more than satisfactory evidence of an appropriate intervention strategy even when the sector framework was inadequate – in fact, initiatives were often targeted at addressing identified weaknesses, for instance through supporting measures to budget support and through the use of TAF.</li> <li>The JDs are a strategy in themselves, ensuring political commitment to an appropriate EU (and DP) interventions strategy to address shortcomings in the national sector framework. However, little evidence was found on specific follow-up attributable to JDs.</li> </ul>			
<b>JC 1.2 Degree of partner/beneficiary involvement in and ownership of design and implementation.</b>			
<b>I-1.2.1 Evidence of effective dialogue in programming, preparation and implementation processes.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>See under I-1.1.1.</li> <li>During the country visit to Nigeria, it was found that in the early phases of support stakeholders were not always sufficiently involved in the design of EU interventions. The involvement of beneficiaries in the design of some EDF 10 interventions was limited (e.g. EASE). But this had since improved, e.g. for NESP2. Implementing partners were involved in design through a call for proposals for rural energy and in GIZ formulated components of NESP. Beneficiaries had been consulted during implementation (e.g. mini-grids incl. MoUs with communities and village power committees, and the introduction of NAPTIN training courses).</li> <li>In Benin, the country visit found that there had been a high degree of partner/beneficiary involvement in and ownership of design and implementation both for capacity development and implementation projects</li> </ul>	<ul style="list-style-type: none"> <li>NIPS RIPS action fiches</li> <li>Country visits</li> </ul>	More than satisfactory
Geographic support - budget support	<ul style="list-style-type: none"> <li>The Methodological Note had among it 81 guiding questions: <ul style="list-style-type: none"> <li>How is the concerned population (target group) consulted and able to express their views; are they entitled to participate in decisions that directly affect them, such as the design, implementation and monitoring of sector interventions (participation and inclusion)?</li> <li>Reference Document 12: “Engaging Non–State Actors in New Aid Modalities – For better development outcomes and governance” – 2011</li> </ul> </li> <li>In Tanzania, the country visit found that the budget support was being prepared in cooperation with the GoT and was supported by an analysis of government policies and plans and reflecting government</li> </ul>	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>Country visits</li> </ul>	
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>JDs, as high-level commitments to action, were signed by high-level representatives of the partner country, the EU, and relevant member states. They evidence effective high-level dialogue as the bases for downstream planning and programming of priority interventions. <ul style="list-style-type: none"> <li>The CARIFORUM JD in para 5 recalled the outcome of the Third International Conference on Small Island Developing States (SIDS) of September 2014 and the commitments assumed under the SIDS Accelerated Modalities of Action Pathway and in para 17 further recalled that the Thirty Sixth Regular Meeting of the Conference of Heads of Government of the Caribbean Community, held at Bridgetown, Barbados on 2 July 2015, endorsed the establishment of the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE) as the implementation hub for sustainable energy activities and projects, and the focal institution for SE4ALL, within the region. This particular JD thus had some reference to the preparatory process.</li> </ul> </li> <li>However, the JDs examined did not have much information on the political economy and institutional landscape and which partners and beneficiaries were consulted.</li> </ul>	More than satisfactory
	<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>Effective dialogue has been at the core of AEEP mandate and activities: Main activities - Policy Dialogue and Stakeholder Engagement: incl. High Level Meetings, Stakeholder Forums and National Energy Business Dialogue events - Monitoring Progress Toward meeting the AEEP 2020 Targets, incl. collaborating with other actors - Enhanced content discussions and experience exchanges involving non-state actors (private sector, civil society and academia).</li> <li>For example, Through the “Abidjan Processes”, a series of regional coordination events was held in Côte d’Ivoire, that started in 2014 with the adoption of the SE4ALL Action Agenda template prepared by the SE4ALL Africa Hub as the common methodology to establish the long-term objectives for the sector, and its follow-up. As a result of this process, each country of the region prepared a set of interconnected reports and policy documents through comprehensive stakeholder consultations and strong government leadership: National Renewable Energy Action Plans (NREAPS); National Energy Efficiency Action Plans (NEAPS); SE4ALL Action Agenda. Most of the SE4ALL Action Agendas and the National</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<p>Plans on Renewable Energies and Energy Efficiency have been completed and discussions were advanced on developing a regionally coordinated approach to the SE4All Investment Prospectus development in collaboration with the SE4ALL Africa Hub and the EC.</p>		
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• Most services provided by the EUEI PDF were demand-driven through the respective stakeholders (partner governments, private sector, etc.) and, therefore, directly addressed their needs. In case of the SEADS, the interventions were based on requests from national governments, and the local partners usually participate in project planning, following a standardised procedure.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Strong, by design
<p><u>TAF:</u></p> <ul style="list-style-type: none"> <li>• In some cases, TAF-ESA tasks / missions were initiated without first being requested by the Ministries and other competent local organisations, granting these a leading and coordinator role in the definition of priority TAF-ESA's activities and their implementation mode.</li> <li>• TAF-WCA was found extremely relevant to promote the aims of SE4ALL and represented one of the best available tools with DEVCO C6. EUDs in practice successfully coordinated all similar activities and coordinated with other donors... TAF-WCA provided assistance to 19 WCA countries and 14 regional organisations. From 14 countries examined in particular, it appeared that TAF-WCA responded to a very large extent to the beneficiary needs in 5 /Cote d'Ivoire, Liberia, DRC, Rwanda, Benin) was currently speeding-up in 3, responded in 3, and demonstrated a slow response in 4. TAF-WCA mainly provided demand-driven TA to the beneficiary organisations and was hence (fully) adapted to their present institutional, human, and financial capacities. But some target groups, especially the private sector, were not involved or even adequately aware of TAF-WCA actions though an important contribution of TAF-WCA had been its support to the creation of an enabling environment for private sector in SE projects (e.g. ElectriFi)</li> <li>• The TAF-WCA had gained a considerable amount of knowledge of the business environment and capabilities in the various partner countries of Sub-Saharan Africa since its inception in December 2013. It was now able to start addressing the ways and means for the promotion of industrial and technology cooperation between the EU and the partner countries. This task started by a desk study aimed at mapping the technical and academic knowledge and competencies in the partner countries in the fields of renewable energy, energy efficiency and energy access. The study was based on existing literature on projects, initiatives, workshops, and initiatives related to industrial and technology cooperation. This would lead to creating a</li> </ul>	<ul style="list-style-type: none"> <li>• TAF Eastern and Southern Africa (ESA) ROM evaluation December 2016</li> <li>• TAF WCA ROM Report C-335152 (25 November 2016)</li> <li>• Technical Assistance Facility for the Sustainable Energy for All Initiative (SE4ALL) West and Central Africa, Sixth Progress Report, 01/07/2016 - 31/12/2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<p>typology of excellence centres, technology poles, and outstanding academic institutions, industrial hubs for renewable energy, energy efficiency and energy access research centres for the whole of Africa. The TAF-WCA in mid-2016 began the elaboration of the SE4ALL Investment Prospectuses in 8 of the 15 ECOWAS member states.</p> <ul style="list-style-type: none"> <li>• In Zambia, the country visit found that DoE, ZESCO and other Zambian partners consider that the cooperation process was participatory. Both government and non-government partners expressed that the cooperation process of identifying and designing the EDF11 NIP interventions was highly participatory and that the TA support was demand led, results oriented and in large measure partner driven.</li> <li>• Similarly, in Benin, it was found that both government and non-government partners expressed that the cooperation process of identifying and designing the EDF11 NIP interventions was highly participatory and that the TA support was demand led, results oriented and in large measure partner driven.</li> <li>• And in Ethiopia, MOWIE and Ethiopian partners considered that the cooperation process was participatory. Both government and non-government partners expressed that the cooperation process of identifying and designing the EDF11 NIP intervention was highly participatory. The SE4ALL study financed under the EUEI-PDF in 2012 was found to be particularly constructive as it provided a solid base for identifying future cooperation areas.</li> </ul>	Country visits	
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• The EUEI PDF Mid Term review found that RECP coordinated its interventions with the implementation partners like private companies (European and African), private sector associations, other service lines and the EC (ElectriFI, TAF, etc.). The programme was on track to achieve the specific objectives. The benefits and capacities resulting from outputs were in most cases available as envisaged, of good quality and used by the target groups. However, since RECP had only become fully operational in 2016, only one of the project proposals supported had started implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Indicative but not conclusive
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Guidelines on EU Blending Operations in Section 5.2 stated that by definition, partner countries were involved since in most cases they enter into a loan agreement in the context of blending operations. In all cases, financial institutions were required to consult with the relevant national or regional EU Delegation and/or the relevant Delegation operational units.</li> </ul>	<ul style="list-style-type: none"> <li>• Guidelines on EU Blending Operations, November 2015</li> </ul>	Strong
<p><u>GEEREF:</u></p>		

Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>According to its Investment Strategy, GEEREF engaged with funds early in their development and sought to enhance strategy, team capability and structure, being often the first cornerstone investor in a fund.</li> </ul>	<ul style="list-style-type: none"> <li>GEEREF Investment Strategy</li> </ul>	Strong, but design
	<p><u>ElectriFI:</u></p> <ul style="list-style-type: none"> <li>Sponsors/entrepreneurs must be able to clearly define the project, show how it will contribute to increased end-user access to electricity and provide a convincing business case for financial sustainability. Applicants must have a credible professional track record, demonstrated strong commitment to date, and a capacity to deliver. This is assessed by the evaluation to reflect evidence of the necessity of effective dialogue in the programming/preparation.</li> <li>Projects must have reached an active level of development, meaning that market analysis and validation were finalised, pilot (if applicable) had been undertaken, land secured, resource data acquired, and feasibility study undertaken.</li> </ul>	ElectriFi guidelines, call for proposals.	More than satisfactory – by design; still limited evidence from implementation
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>For most initiatives, there is strong or more than satisfactory evidence of effective dialogue.</li> <li>However, some initiatives were less than adequately specific on the political economy landscape and who had been the dialogue partners.</li> <li>For example, it was found that the titles and institutional affiliation of the signatories was not provided in any JD. None of the sample JDs were explicit on the specific national institutions that had been involved in dialogue leading up to the JD.</li> </ul>			
<b>I-1.2.2 Evidence of consultative processes for effective beneficiary involvement in preparation process and implementation.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>See examples under I-1.1.1</li> <li>During the country visit to Benin, it was found that there had been a high degree of partner/beneficiary involvement in and ownership of design and implementation both for capacity development and implementation projects</li> </ul>	<ul style="list-style-type: none"> <li>Action fiches</li> <li>Country visits</li> </ul>	More than satisfactory
Geographic support - budget support	<ul style="list-style-type: none"> <li>Taking the Rwanda SRC example, the SE4ALL process led to the establishment of the Action Agenda and a number of position papers through the SE4ALL process on the main challenges. The SRC programme was aligned to the structured approach under the SE4ALLI and therefore addressed the problems of Rwanda's energy sector in a holistic way (also building on the e-SWAP), including energy access (electricity), access to clean and sustainable cooking, renewable energy sources, sustainability of biomass and energy efficiency. Institutional capacity issues were equally addressed targeting governmental bodies and private sector. The country visit found that the dialogue with the partner institutions also had its challenges; examples of quotes from interviews illustrate this: <i>"We have tried to help on the policy front</i></li> </ul>	<ul style="list-style-type: none"> <li>Rwanda SRC</li> </ul>	Indicative but not conclusive



Summary response		Sources of information	Quality of evidence
	<i>but we came too late and they do not listen – budget support is not that powerful” and “We are not a “yes” donor so the government finds us a bit difficult, the relationship is cordial but it is difficult to have meaningful dialogue.</i>		
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>• None of the sample JDs provided any evidence of specific consultative processes for beneficiary involvement in the JD preparation process, the JDs only referred to overall national policy and strategy frameworks and not to underlying consultative processes with partners and beneficiaries.</li> <li>• However, some JDs did provide evidence of agreed actions for beneficiary involvement in implementation, for example: <ul style="list-style-type: none"> <li>○ The Rwanda JDs in para 11.e committed the EU to promote the mobilization of the private sector and civil society in the field of energy and in para 12.c committed the Government to promote private sector investment and engagement in the sector</li> <li>○ The Nigeria JD had the same commitments in paras 12.d and 13.c.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Indicative but not conclusive
	<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>• The AEEP mapping study found that “The relatively lower level of participation by civil society indicates that there is scope for supporting stronger engagement by African non-governmental organizations in the energy sector”.</li> <li>• The evaluation team’s county visit to Zambia found very limited if any knowledge of the AEEP stakeholder workshop in 2013.</li> </ul>	<ul style="list-style-type: none"> <li>• AEEP Mapping of Energy Initiatives and Programs in Africa, May 2016</li> </ul>	Weak
	<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• The demand driven approach of SEADS generally led to an appropriate level of commitment and ownership of the partner country governments.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	More than satisfactory
	<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• The EUEI PDF Mid-Term review found that private sector partners mobilized by RECP showed a strong appreciation and ownership of the interventions. The Results Report showed that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	More than satisfactory
	<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending found (p.38) that engagement and ownership of national partners and the presence of partner-led donor coordination mechanisms led to improved coordination - the engagement of national partners was notable in all the projects sampled and visited. The complicated and time consuming national procedures for gaining approval for taking a loan</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<p>appeared to enhance the degree to which the project was high on the national agenda. No projects were found where the national partners were not actively engaged in the project or where the projects were not high on the national priority. This accorded with earlier findings from a study commissioned by the EIB on the ITF where it is concluded that “African ownership and endorsement is demonstrated in all the reviewed projects; either directly via the Programme for Infrastructure Development in Africa (PIDA) Priority Action Plan status (69% of projects supported by the EU-ITF are directly contributing to PIDA) or via their link to regional or national strategies.” CEPA study May 2014, p6. The alignment of blending projects to national and regional priorities ensured that the projects were at least coordinated with local priorities.</p> <ul style="list-style-type: none"> <li>• The Guidelines on Blending required that whenever possible, consultations should take the form of trilateral meetings organised by the financial institution during project preparation and involving the relevant authorities and EU Delegation services. These consultations were to be documented (persons, types and dates of consultations) in the project application form (Box 38). The guidelines stated that even though each financial institution had its own specific project cycle, the activities related to the project identification process generally consisted of consultations with relevant authorities/private sector stakeholders and an early review of the project’s bankability assignment, resulting in project concept notes and — where relevant — pre-feasibility or market studies. Table 5.1 in the Guidelines gave an overview of the stakeholders and their main contributions in project identification.</li> </ul>	<ul style="list-style-type: none"> <li>• Guidelines on EU Blending Operations, November 2015</li> </ul>	
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• According to its Investment Strategy, GEEREF engages with funds early in their development and seeks to enhance strategy, team capability and structure, being often the first cornerstone investor in a fund. Underpinning GEEREF’s investment strategy has been a fundamental commitment to financial, environmental and social sustainability, principles which were mutually reinforcing. GEEREF funds would typically have strong technical and private equity transaction skills, a regional focus, an established local presence and networks to generate deal-flow.</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Investment Strategy</li> </ul>	Strong by design
<p><u>EU-EDFI-PSDF:</u></p> <ul style="list-style-type: none"> <li>• The EU-EDFI Private Sector Development Facility has been designed to contribute to poverty reduction and economic development in Sub-Saharan Africa by promoting private sector investments and providing additional dedicated financial resources to African countries. The EU contribution would be used to support projects by partially guaranteeing the financing</li> </ul>	<ul style="list-style-type: none"> <li>• Catalysing private engagement and resources for development - the EU’s role <a href="http://www.un.org/esa/ffd/wp-">http://www.un.org/esa/ffd/wp-</a></li> </ul>	Strong by design

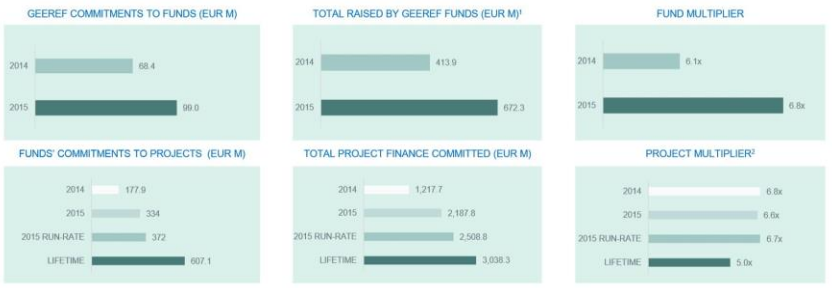
Summary response		Sources of information	Quality of evidence
	provided by the Financing Partners (loans, equity or early-stage development equity or seed money). The EU contribution could also serve as a risk guarantee for a loan or be used to acquire technical assistance. The design of the instrument has been inherently based on close consultations with the beneficiaries.	<a href="content/uploads/sites/2/2015/10/PIbooklet_final_web_lower.pdf">content/uploads/sites/2/2015/10/PIbooklet_final_web_lower.pdf</a>	
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>For most initiatives, there is more than satisfactory evidence of consultative processes for effective beneficiary involvement – for some initiatives this evidence is weaker – but there was often a need to more specifically define “beneficiaries” (in some cases, these may be intermediary partner institutions, in other cases households or SMEs).</li> <li>The country visits showed several examples (e.g. Rwanda, Benin) of evidence of consultative processes..</li> </ul>			
<b>I-1.2.3 Evidence of financial contribution of beneficiary institutions to the implementation of interventions.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>See under I-1.1.1</li> <li>It is also noted by the AEEP that EU institutions, MS and their corporate and individual citizens played a very important role in helping to develop Africa’s energy infrastructures and capabilities, but – as the 2014 status report also pointed out – measuring the extent of that role remained problematic given the relative lack of data. Many of the shortfalls recorded then by the AEEP Secretariat and its consultants persisted, for example showing that groups of development finance institutions (DFIs) did not yet collate data on their financing flows and outcomes. There are also issues in measuring contributions that pass via institutions such as the World Bank Group (WBG) and African Development Bank (AfDB) Group, both of which have a substantial European shareholding and, thus, a stake in their high levels of support for African energy projects. The AEEP Power Projects Database could yet produce accurate numbers for each party’s contributions to financing developments. Much more work was needed to identify each of the financial instruments that fed into the several thousand projects recorded. However, while a daunting information-gathering challenge which would require very considerable resources, there was no technical reason why this should not be possible. Neither was there a complete record of European commitments to the African energy sector. The most complete time series of commitments by bodies within the EU was kept by the Infrastructure Consortium for Africa (ICA), which was managed by the AfDB in Abidjan. This useful tool had, over several years, tracked commitments made by the European Investment Bank (EIB), European Commission (EC), France, Germany and the UK. It had been working to expand its coverage, with significant success, and this data was used to inform the report. The ICA had also been expanding its coverage and analysis of infrastructure spending in African government budgets.</li> </ul>	<ul style="list-style-type: none"> <li>Action fiches, application forms</li> <li>AEEP Status Report Update 2016</li> </ul>	Indicative but not conclusive

Summary response	Sources of information	Quality of evidence
<p>Available data suggested that African national governments' budget allocations, combined with commitments made directly or indirectly through the AfDB and WBG by EU member states appeared to be on a steep, upward trend. This was shown in data produced for the ICA and calculations made by the AEEP Secretariat. While the majority of African countries allocated most of their infrastructure capital spending to the transport sector, some prioritised the energy sector. These included Algeria, Angola, Kenya and Tanzania, each of which in 2014 allocated more than \$500m to energy through their annual budgets. According to data published by 34 African governments, state funds of at least EUR5bn were committed to capital expenditure on energy projects in 2013 and 2014; this was rather more than the EUR3bn committed in 2012.</p> <ul style="list-style-type: none"> <li>• It is assessed by the evaluation team that the issue of measuring the extent of financial contributions of beneficiary institutions to SE projects in Africa in general was hampered by limited availability of data.</li> <li>• The Africa Renewable Energy Initiative (AREI)<sup>63</sup> was launched at COP 21 in Paris. AREI has its Independent Delivery Unit (IDU) at the African Development Bank and the AREI Trust Fund was set up to be managed by the Bank as the Trustee. At COP21 EU and G7 countries announced that a cumulative US\$10 billion would be pledged to AREI. While AREI was not part of the initiatives covered by the scope of the present evaluation, it is worth noting that this could be a vehicle for mobilising very significant financial contributions to RE initiatives. EU has a leading role in this initiative, and during the AREI second Board of Directors meeting in Conakry, Guinea, the EU Commissioner for International Cooperation and Development on 4 March 2017 announced the preparation of 19 new renewable energy projects. These sustainable energy projects had an indicative EU contribution of €300 million, which was expected to leverage total investments amounting to €4.8 billion, adding 1.8 Gigawatts of new renewable energy generation in Africa.</li> </ul>		

<sup>63</sup> According to its August 2016 Summary report ([http://www.arei.org/wp-content/uploads/2016/09/AREI-Summary-english\\_web.pdf](http://www.arei.org/wp-content/uploads/2016/09/AREI-Summary-english_web.pdf)) the Africa Renewable Energy Initiative (AREI) is a transformative, Africa-owned and Africa-led inclusive effort to accelerate and scale up the harnessing of the continent's huge renewable energy potential. Under the mandate of the African Union and endorsed by African Heads of State and Government on Climate Change (CAHOSCC) AREI targets to achieve at least 10GW of new and additional renewable energy generation capacity by 2020, and mobilize the African potential to generate at least 300 GW by 2030.

Summary response	Sources of information	Quality of evidence	
Geographic support - budget support	<ul style="list-style-type: none"> <li>• By definition, budget support implied a contribution to a national government budget also funded from internal and other external sources.</li> <li>• In the case of the SRC in Rwanda the EU BS corresponded to approx. 12% of the sector's average annual budget over three years meaning that the partner Government provided the remaining balance from internal and other sources.</li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda SRC</li> </ul>	Strong
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>• The sample JDs did not identify beneficiary institutions and any evidence of their financial contributions to implementation of interventions. However, there were general statements of the commitment to engage private sector resources, for example: <ul style="list-style-type: none"> <li>○ The CARIFORUM JD in para 20 recognised the role of the private sector in the development of the sustainable energy agenda, the significance of Public Private Partnerships and the opportunity for public funds to leverage private sector investments in the Caribbean sustainable energy sector.</li> <li>○ Several JDs (for example the Uganda JD in para 18.c) committed the Government to promote private sector investment and engagement in the sector i.a. by supporting economically viable business models.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Weak
	<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• The EUEI PDF Mid-term review found that “The financial resources contributed by national partner governments are usually limited, even though they commit themselves to take over where the EUEI PDF services end, e.g. when a policy draft has been provided to the partner government. In Belize for example, the Ministry of Public Service, Energy and Public Utilities (MPSEPU) used the SEADS advice on the Off-grid Rural Electrification Strategy and the Sustainable Energy Roadmap for its application to the EC EDF-11 Grant Cycle. Thus, SEADS assisted the Government of Belize to access Euro 13.5m for its energy sector development”. However, the partner country governments were not always successful in raising the needed resources. As a multi-donor programme, the EUEI PDF had a considerable potential to leverage financial resources from donor funded programmes adding to and/or following-up on EUEI PDF activities. This potential had not been fully exploited yet. There was also a potentially high leverage opportunity of financial cooperation (e.g. from ElectriFI, EIP, IFI and private investments). The RECP-ElectriFI linkage already established was a step in the right direction.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	More than satisfactory
	<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending (p.20) found that Blending enabled the EU to significantly leverage its support.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The very essence of blending was that EU grants were combined with non-grant resources such as loans, equity and guarantees from development finance institutions as well as commercial loans and investments in order to achieve a leveraged development impact. The EU Blending Guidelines stated that EU support was <b>additional</b> in that it (i) made the difference between a project going ahead or being blocked; and/or (ii) improved a project's design, quality, timing, sustainability, innovation, impact and/or scale.</li> <li>The above is assessed by the evaluation team to reflect the financial contributions by beneficiary institutions, but it depends on how "beneficiary" is defined in blending.</li> <li>During the country visit to Zambia it was found that EU's grant contribution made the Kariba dam project possible, which might not have happened without it.</li> </ul>	<ul style="list-style-type: none"> <li>Guidelines on EU blending operations, November 2015</li> </ul>	
<p><b>GEEREF:</b></p> <ul style="list-style-type: none"> <li>The GEEREF 2015 Impact Report metrics on leverage below showed a multiplier of 6.8 times and funds raised of EUR 672 mio. providing evidence of the financial contributions of partner institutions.</li> <li>Also, the thematic evaluation of the EU support to environment and climate change in third countries (2007-2013 – final report September 2015) under its EQ3: Sustainable energy selected GEEREF for in-depth evaluation. The Evaluation found that GEEREF investments in renewable energy were rapidly increasing and have achieved a high leverage of private and other donor finance.</li> </ul>	<ul style="list-style-type: none"> <li>GEEREF 2015 Impact Report</li> <li>Thematic evaluation of the EU support to environment and climate change in third</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence																											
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<p><b>ElectriFI:</b></p> <ul style="list-style-type: none"> <li>• ElectriFI does not provide grant funding but provides financial support primarily through risk capital, either to corporate entities or alternatively to project special purpose vehicles. ElectriFI would only invest in businesses / projects where the main sponsors invest in themselves. Applicants must provide a clear and detailed breakdown of their current and foreseen equity positions.</li> <li>• Thus, according to ElectriFI's eligibility criteria, funding would only be directed to those projects undertaken by entities deemed capable of attaining financial sustainability (i.e. ultimately able to generate sufficient revenues to support debt service and provide adequate returns to investors under reasonably adverse variations in underlying assumptions).</li> <li>• Sponsors / entrepreneurs must be able to clearly define the project, show how it will contribute to increased end-user access to electricity and provide a convincing business case for financial sustainability. Applicants must have a credible professional track record, demonstrated strong commitment to date, and a capacity to deliver.</li> </ul>	<ul style="list-style-type: none"> <li>• ElectriFI Information Sheet October 2016</li> <li>• ElectriFI eligibility criteria, website, 2017</li> </ul>	Strong, by design																											
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>• The evidence of financial contribution of beneficiary institutions to the implementation of interventions is generally more than satisfactory, but the specific quantitative evidence varies a lot between the instruments (e.g. a multiplier of 6.8 for GEEREF and up to 20 times for blending).</li> </ul>																													

Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>It is noted that the country visits did not find specific evidence of analyses of the opportunity cost of the grant contribution to blending interventions.</li> </ul>			
<b>JC 1.3 Degree to which SE support aligned to the wider global development agenda and was EU policy coherent.</b>			
<b>I-1.3.1 Sample interventions are coherent with relevant EU development policies.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>See under I-1.1.1 above</li> <li>In Nigeria. EU's support was found to be coherent with EU development policies, and aligned with SE4ALL, but the EU support tried to cover too many aspects (renewable energy, energy efficiency and energy access) considering the recent entrance of the EU in the sector.</li> <li>In Benin, the energy cooperation was found to be well-aligned to EU policies on sustainable energy, SE4ALL objectives, and was pro-poor. The early choice under EF of supporting rural unserved areas with access to the grid was designed to be pro-poor– but unaffordable connection fees were found to be an ongoing challenge for household grid connections at large scale.</li> </ul>	<ul style="list-style-type: none"> <li>NIPs RIPs action fiches</li> <li>Country visits</li> </ul>	Strong
Geographic support - budget support	<ul style="list-style-type: none"> <li>Following the BS Methodological Note would ensure alignment with the wider global development agenda and EU policy coherence.</li> <li>In the case of the Vietnam SRC section 1.1.3 made specific reference to coherence with the EU Agenda for Change and in section 3 it referred to the contribution to achieving's Vietnam objectives as set in the INDC submitted at the COP21 in Paris.</li> <li>In the Rwanda SRC there were extensive references to SE4ALL; and section 1.1.1 described the Public Policy Assessment and EU Policy Framework including the EU Agenda for Change, and section 4.2.2. identified activities by other development partners and emphasised maximum coherence. The country visit to Rwanda found that the EU cooperation was closely aligned to the global development agenda and EU policy framework except perhaps that in Rwanda there was a tendency to overly high targets and a desire to jump from the Global Tracking Framework Tier 0 to Tier 2 which might backfire; there was also a tendency to put less attention on increasing the share of renewables due to the special circumstances of Rwanda which already had high renewables and desired fast implementation of additional electric generation capacity.</li> </ul>	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> <li>Vietnam SRC</li> <li>Rwanda SRC</li> <li>Country visits</li> </ul>	Strong
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>All the sample JDs were found to be coherent with relevant EU development policies, since JDs followed a similar template format where one paragraph made specific reference to the EU Agenda for Change, for example: <ul style="list-style-type: none"> <li>Uganda JD para 7, Nigeria para 6, Rwanda para 4, Benin para 4 referred to EU's Programme pour le Chancement, in French), CARIFORUM para 9.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, Zambia and Caribbean/CARIFORUM)</li> </ul>	Strong



Summary response	Sources of information	Quality of evidence
<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>• The AEEP Mid-Term Review found that the “mapping study” (Mapping of Energy Initiatives and Programs in Africa, 2016) for example, was mentioned by many interview partners as a very helpful instrument that filled a gap and improved <u>coordination</u>. The study identified and described more than 50 initiatives operating in the energy (and climate) sector in Africa and will be regularly updated through an interactive web portal. The SE4ALL Africa Hub emphasized the importance of the mapping study as it facilitated stronger coordination and planning between actors and enhanced the visibility of available opportunities and committed to its continuation.</li> <li>• However, it was also noted that “the evaluation team is under the impression that the EUEI PDF donors could use this instrument more actively in various ongoing and future policy making processes and for increasing European coordination and cooperation with the partner countries. Also, compared to the active day-to-day steering of the TAF, DG DEVCO has taken much less active interest in the active steering of the EUEI PDF”.</li> <li>• This is assessed by this evaluation that there may be a need for further active EU interest in the steering of EUEI PDF service lines to ensure the best possible coherence with EU policy.</li> <li>• The AEEP Steering Group had recently asked the AEEP to develop different options for the future of the partnership, in order to ensure the continued relevance of the AEEP and value proposition vis-à-vis the increasing number of players in the energy sector and in climate change in Africa, as an important issue vs. the type of analysis that needed to be undertaken of the sector framework with which to align interventions. This is also assessed to be an important opportunity for ensuring the best possible coherence with EU policy related to climate change in Africa.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Strong
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• Coordination between EU Member States on energy and development issues, including for SE4ALL, took place within the EUEI, which held regular meetings to discuss policy, in initiatives and stock-taking.</li> <li>• At a more technical level, donor coordination would take place in the Investment Committees of GEEREF and EU-EDFI Private Sector Development Facility where the discussions on what projects to finance will take place. At country-level, local coordination structures are also in place in the context of SE4ALL.</li> </ul>	<ul style="list-style-type: none"> <li>• Action Fiche 1430267 for Support to SE4All ACP/FED/024-335</li> </ul>	Strong
<p><u>Blending:</u></p>		Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The Evaluation of Blending found more than satisfactory evidence that the blending projects had targeted the global policy objectives set for the facilities, had often been aligned or largely aligned with the priority policies of the 12 beneficiary countries visited, and had often been aligned to the EU strategies of the 12 visited countries.</li> <li>The Evaluation further found that the portfolio of blending projects examined in depth had generally well reflected the high-level policy objectives set for all facilities. These global policy objectives were detailed in the Strategic Orientations for each Facility and amplified in the Multi-annual and Annual Action Plans. In addition, there were global objectives set for all – such as the November 2010 Climate Change Windows and others set out in the Agenda for Change 2011.</li> <li>The evaluation found that there had been a rather good coherence and coordination between blending and other EU policy-related work in the Mediterranean area. Otherwise synergies did not materialise.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation of Blending, Final Report, September 2016</li> </ul>	
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>GEEREF, managed and advised by the EIB Group, benefited from the European Investment Bank (EIB) and the European Investment Fund (EIF) institutional expertise in clean energy infrastructure investments and private equity globally.</li> <li>GEEREF has been guided by EIB procedures and standards including the EIB social standards and practices handbook, which (version 9, 2013, Vol II para 6 page 97) stated that “EIB social standards and practices align with the EU policy objectives relating to the respect for human rights, gender equality, decent work, stakeholder engagement and conflict prevention, as upheld in the <b>Agenda for Change (European Commission, 2011)</b>, the European Consensus on Development (European Union, 2005), the Paris Declaration (2005), the Accra Agenda for Action (2008) and the Busan Partnership Agreement (OECD, 2011).”</li> <li>In connection with the approval of additional funding of EUR 20 mio to GEEREF under SE4ALL, the EC noted that donor coordination would take place in the GEEREF Investment Committee, where the EC would closely monitor project pipeline and approvals to ensure a balanced portfolio of projects, <b>respecting also to the EU political objectives</b> related to SE4All such as the increase of access and energy efficiency.</li> <li>It is noted that EIB is an Accredited Entity to the Green Climate Fund (GCF). And while the successor investment vehicle to GEEREF (GEEREF Next) was outside the time-period covered by the present Evaluation, it is significant that the huge USD 265 million GEEREF NeXt was approved by the GCF Board at its 16th Meeting in April 2017 (focus on both RE and EE Africa,</li> </ul>	<ul style="list-style-type: none"> <li>EIB’s Environmental and Social Practices Handbook.</li> <li>GEEREF Investment Strategy.</li> <li>Support to the Sustainable Energy for All (SE4All) initiative ACP/FED/024-335: <a href="https://ec.europa.eu/europeaid/sites/devco/files/aap-financing-africa-spe-af-20121127_en.pdf">https://ec.europa.eu/europeaid/sites/devco/files/aap-financing-africa-spe-af-20121127_en.pdf</a></li> <li>GCF Independent Technical Advisory Panel’s review of FP038: <a href="https://www.greenclimate.fund/documents/20182/584114/GCF_B.16_07_Add.13_-_Independent_Technical_Advisory_Panel_s_assessment.pdf/38200e3c-090b-4f3e-8905-9094d250e7fe">https://www.greenclimate.fund/documents/20182/584114/GCF_B.16_07_Add.13_-_Independent_Technical_Advisory_Panel_s_assessment.pdf/38200e3c-090b-4f3e-8905-9094d250e7fe</a></li> </ul>	Strong

Summary response		Sources of information	Quality of evidence
	<p>LAC, MENA, Non-EU Eastern Europe/Central Asia, and the Pacific. In its assessment of GEEREF Next, the GCF Independent Technical Advisory Panel noted in its review of FP038 in para 7 under transformational change potential that “The potential for scalability of the intervention has been demonstrated by the pilot scheme (GEEREF)) implemented by the AE, which has been judged as successful”.</p> <ul style="list-style-type: none"> <li>The ODI 2014 Global Climate Finance Architecture overview identified GEEREF as part of this architecture.</li> </ul>	<ul style="list-style-type: none"> <li>ODI The Global Climate Finance Architecture: <a href="https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9312.pdf">https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9312.pdf</a></li> </ul>	
	<p><b>EU-EDFI-PSDF:</b></p> <ul style="list-style-type: none"> <li>Coordination between EU Member States on energy and development issues, including for SE4ALL, takes place within the EUEI, which holds regular meetings to discuss policy, in initiatives and stock-taking. At a more technical level, donor coordination will take place in the Investment Committee of the EU-EDFI PSDF where the discussions on what projects to finance will take place. At country-level, local coordination structures are also in place in the context of SE4ALL.</li> </ul>	<ul style="list-style-type: none"> <li>Action Fiche 1430267 for Support to SE4All ACP/FED/024-335</li> </ul>	More than satisfactory
	<p><b>ElectriFI:</b></p> <ul style="list-style-type: none"> <li>ElectriFI was first presented at a high-level workshop in 2014: <a href="https://europa.eu/capacity4dev/public-energy/minisite/live-now-empowering-rural-electrification-workshop">https://europa.eu/capacity4dev/public-energy/minisite/live-now-empowering-rural-electrification-workshop</a> ElectriFI was formally launched by the Commission during COP21 in Paris in December 2015. In both fora there was wide high-level participation by the EU and representatives of the international development community and alignment to the wider international policy agenda was demonstrated.</li> </ul>	<ul style="list-style-type: none"> <li>Link re high-level workshop in 2014: <a href="https://europa.eu/capacity4dev/public-energy/minisite/live-now-empowering-rural-electrification-workshop">https://europa.eu/capacity4dev/public-energy/minisite/live-now-empowering-rural-electrification-workshop</a></li> </ul>	More than satisfactory
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>There is strong evidence that SE support was aligned to the wider global development agenda (SE4ALL, SDG 7) and was EU policy coherent (with An Agenda for Change and other key EU policies relevant to SE).</li> </ul>			
<b>I-1.3.2 Alignment of SE support with the three key goals for SE4ALL (for initiatives post 2011) and SDG#7 (for initiatives from late 2015 only).</b>			
General	<ul style="list-style-type: none"> <li>EU's flagship publication Empowering Development (May 2015) was dedicated to EU's commitment to SE4ALL.</li> </ul>	<ul style="list-style-type: none"> <li>Empowering Development - Delivering results in the Decade of Sustainable Energy for All <a href="https://webgate.ec.europa.eu/m">https://webgate.ec.europa.eu/m</a></li> </ul>	Strong

Summary response		Sources of information	Quality of evidence
		<a href="https://ec.europa.eu/devco/sites/devco/files/energy-booklet-relevance_en.pdf">ultisite/devco/sites/devco/files/energy-booklet-relevance_en.pdf</a>	
Geographic support - project support	See examples under I-1.1.1 <ul style="list-style-type: none"> <li>All projects selected for the sample had elements of RE/access/EE so they were aligned to SE4ALL</li> </ul>	<ul style="list-style-type: none"> <li>NIPs RIPs action fiches</li> </ul>	Strong
Geographic support - budget support	<ul style="list-style-type: none"> <li>The European Commission Methodological Note on budget support and sustainable energy very explicitly (p. 3-3<sup>rd</sup> para) linked to SDG7 and (p.4 separate section on SE4ALL)</li> </ul>	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> </ul>	Strong
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>All JDs in the sample made reference to SE4ALL and in some JDs to the specific SE4ALL goals. <ul style="list-style-type: none"> <li>Some JDs very explicitly linked follow-up action to SE4ALL – for instance, the Uganda JD in para 17.c committed the EU, Germany and France to help identify and bring forward potential energy projects that could be financed with assistance of development partners to achieve all objectives of the SE4ALL initiative.</li> <li>The Nigeria JD stated in para 14 that the recently prepared SE4ALL action agenda and other programming documents committing other donors would constitute an indicative road map for the reinforced cooperation....”</li> <li>However, not all JDs explicitly stated that/how they align agreed actions to SE4ALL goals.</li> <li>The first JD in the sample (Rwanda), was signed on 23 September 2014, which was well after the launch of SE4ALL in 2011, but before the adoption in September 2015 of the SDGs – thus the JD made reference to SE4ALL but not SDG#7.</li> </ul> </li> <li>The only JD in the sample signed after the SDG Summit in September 2015, which made specific reference to SDG#7, is the CARIFORUM JD, which also made reference to SDG#13 (climate).</li> <li>It is surprising that there was so limited explicit reference to SDG#7 in the sample JDs.</li> </ul> <p><u>AEEP:</u></p>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Strong
			More than satisfactory

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The overall objective of AEEP was to improve access to reliable, secure, affordable, cost-effective, climate friendly and sustainable energy services for both continents, with a special focus on achieving the MDGs in Africa (however the MDGs did not comprise energy and have since been succeeded by the SDGs). AEEP's 2020 ambitious political targets were on energy access (access to modern and sustainable energy services to at least an additional 100 million Africans); energy security (double the capacity of cross-border electricity interconnections; double the use of natural gas; double African gas exports to Europe); renewable energy (10,000 MW of new hydropower facilities; 5,000 MW of wind power capacity; 500 MW of all forms of solar energy capacity; tripling the capacity of other renewables); energy efficiency (increase energy efficiency in all sectors).</li> <li>The MDGs did not focus on energy – and some of AEEP's material was weak on references to SDGs</li> </ul>	<ul style="list-style-type: none"> <li>Mapping of Energy Initiatives and Programs in Africa, Annex 5</li> </ul>	
<p><b>SEADS:</b></p> <ul style="list-style-type: none"> <li>For example: Uganda was selected as one of the SE4ALL “early movers”. In May 2012, SEADS undertook the first SE4ALL Technical Assistance Mission (TAM) in Uganda, building upon the outcome of the EC-led High-Level Mission that had taken place in April 2012. The mission team, in close collaboration with the Ministry of Energy and Mineral Development of Uganda, its subsidiaries, local private companies, civil society, as well as development partners developed a set of recommendations and a list of potential energy projects to be supported under SE4ALL.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF website:  <a href="http://www.euei-pdf.org/en/seads/policy-strategy-and-regulation/sustainable-energy-for-all-technical-assistance-mission-se4all">http://www.euei-pdf.org/en/seads/policy-strategy-and-regulation/sustainable-energy-for-all-technical-assistance-mission-se4all</a> </li> </ul>	Strong
<p><b>TAF:</b></p> <ul style="list-style-type: none"> <li>The EU launched TAF to assist partner countries in fine tuning their energy policies and regulatory frameworks to allow for increased investments in the energy sector - TAF explicitly supported countries which were committed to reaching the SE4ALL objectives, in particular those who selected energy not only as one of the priority areas of their national policy agenda, but also chose energy as a focal sector in their bilateral cooperation with the EU for the period 2014-2020.</li> <li>The Facility's purpose was to deliver high level technical assistance at country and regional level through expert missions mobilised at short notice and to support committed countries in significantly scaling-up investments in the energy sector.</li> <li>The country visit to Ethiopia found that the SE4ALL rapid assessment and gap analysis supported by the EU in 2012-2013 was particularly constructive as it provided a solid base for identifying future cooperation areas and helped Ethiopia to become the second African</li> </ul>	<ul style="list-style-type: none"> <li>Empowering Development - Delivering results in the Decade of Sustainable Energy for All  <a href="https://webgate.ec.europa.eu/multisite/devco/sites/devco/files/energy-booklet-relu_en.pdf">https://webgate.ec.europa.eu/multisite/devco/sites/devco/files/energy-booklet-relu_en.pdf</a> </li> </ul> <p>Country visit</p>	Strong

Summary response	Sources of information	Quality of evidence
<p>nation to opt in to SE4ALL and the country's SE4ALL National Action Plan was financed under EU TA. Ethiopia then modified its targets that were now reflected in the 2016-2020 5-year Plan.</p>		
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending covered a time-period that included three years after the launch of SE4ALL but predated the SDGs. While the evaluation did not refer to SE4ALL it did have a brief reference of relevance to SDG7, namely that it found (p.59) that blending enabled the EU to guide a broader partnership of multiple European institutions towards addressing development objectives and policy goals including climate related objectives, supporting infrastructure, boosting private sector development and making progress on MDGs (SDGs). DEVCO assembled a comprehensive guidance framework comprising guidelines, training courses, official documentation of the Facilities and explanatory notes for partners e.g. the guidance notes for the new application form. These guidance elements, together with the project dialogue embedded in the facilities' technical review processes, served to steer the main IFI partners (EIB, AFD, KfW, EBRD and AECID) towards addressing several high-level policy goals and contribute to development cooperation more effectively than in earlier years. However, some of these guidance elements emerged well after the launch of blending operations.</li> <li>• The Guidelines on EU Blending Operations made no reference to the SDGs.</li> <li>• The guidelines did make two references to SE4ALL namely i) that EU had committed to support SE4All with a particular focus on Sub-Saharan Africa and that the EU-EDFI Private Sector Development Facility was one of three components included in the SE4ALL initiative (EC, 2012a); and ii) the Guidance note in effect from 1 January 2016 (part of the Guidelines document) for how to fill-in an application form for blending, required for projects in the energy sector that it was to be ticked-off if the project was related to SE4ALL.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> <li>• Guidelines on EU blending operations, November 2015</li> </ul>	<p>More than satisfactory</p>
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• In connection with the approval of additional funding of EUR 20 mio to GEEREF under SE4ALL, the EC noted that donor coordination would take place in the GEEREF Investment Committee, where the EC would closely monitor project pipeline and approvals to ensure a balanced portfolio of projects, <b>respecting also to the EU political objectives</b> related to SE4All such as the increase of access and energy efficiency.</li> <li>• The Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013) found that: <ul style="list-style-type: none"> <li>○ GEEREF had led to a significant leverage in investment in renewable energy.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Impact Report 2015</li> </ul>	<p>Indicative but not conclusive</p>

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ However, the GEEREF risk capital model had not led to significant investment in energy efficiency.</li> <li>○ And regarding access: The GEEREF set-up was not well suited for reaching out to the poorest areas with micro-scale solutions.</li> <li>● It is noted that the GEEREF Next was designed in 2016 for GCF funding and the GCF Independent Technical Advisory Panel assessed that GEEREF NeXt would utilize the fund of funds approach (pioneers from the pilot phase as well as Greenfield) to achieve a multiplier effect even after the end of the intervention. GEEREF NeXt believed that this type of catalyst would be needed to enable the investment level in RE and EE projects in these countries to be achieved more quickly, but it is outside the scope of this Evaluation to assess this effect on EE and how this further contributes to the SDG#7 EE goal.</li> </ul>	<ul style="list-style-type: none"> <li>● The Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013),</li> <li>● GCF Independent Technical Advisory Panel's review of FP038</li> </ul>	
<p><u>ElectriFI:</u></p> <ul style="list-style-type: none"> <li>● ElectriFI funding must lead to increased or improved end user access to affordable, reliable, sustainable, and modern energy, thus supporting the SE4ALL access goal.</li> <li>● The ElectriFI mandate covers projects offering both on-grid and off-grid solutions.</li> <li>● According to ElectriFI's core investment principles, ElectriFI would encourage electricity generation from renewable energy sources. All renewable technologies (excluding first generation biofuels) were eligible. Combining renewable with conventional generation could be considered in exceptional cases if indispensable for the stability of the system.</li> <li>● The most important criterion for any project selection was improved/new access to energy (for individuals, households, enterprises).</li> </ul>	<ul style="list-style-type: none"> <li>● ElectriFI Information Sheet October 2016</li> <li>● ElectriFI's core investment principles/ ElectriFI website</li> <li>● ElectriFI ppt presentation, 2 June 2016</li> </ul>	More than satisfactory
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>● There is evidence that most initiatives post 2011 were strongly aligned to SE4ALL and that initiatives from 2015 and later were strongly aligned to SDG7 (not necessarily all three goals of access, RE and EE – this clearly depended on the scope of the interventions).</li> </ul>		
<p>I-1.3.3 Alignment of EU SE project/programme objectives with partner country INDCs/NDCs and Paris Agreement implementation (for initiatives from 2015 only).</p>		

Summary response	Sources of information	Quality of evidence	
Geographic support - project support	<ul style="list-style-type: none"> <li>• Examples were mentioned under I-1.1.1, but need to be dated 2015 or later to be relevant for this Indicator. In the sample, this applied to 4 geographic projects.</li> <li>• For example, the Action Fiche for Projet de Production Solaire Photovoltaïque de Zagtouli in Burkina Faso did not refer to the Paris Agreement or the INDC (La Contribution Prévue Déterminée au niveau National (CPDN) in French.</li> <li>• The country visit to Zambia found that EU support was aligned with the mitigation target in Zambia's NDC (the EUD explicitly stated that its most recently approved EDF 11 intervention "Support to the Zambia Energy Sector: Increased Access to Electricity and Renewable Energy Production" (EUR 40m) would also support Zambia's endeavours to mitigate the climate change effects as per the Paris Agreement on Climate Change).</li> </ul>	<ul style="list-style-type: none"> <li>• Action fiches</li> <li>• Action fiche Projet de Production Solaire Photovoltaïque de Zagtouli N° CRIS 24177</li> <li>• Country visits</li> </ul>	Weak
Geographic support - budget support	<ul style="list-style-type: none"> <li>• The SRCs approved post-COP21 made specific reference to the Paris Agreement on Climate change.</li> <li>• For example, for Vietnam the Action Document (section 1.1. sector context) made extensive reference to Vietnam's INDC and stated (section 3.3 cross-cutting issues) that the SRC would also contribute to achieving Vietnam's objectives as set in the INDC submitted at the COP21 - through policy dialogue, the EU would aim to convince the Government to further diversify the national energy mix, increase the use of renewable energy and monitor the improvements in energy efficiency, and the programme would also contribute to put in place the regulatory framework needed to develop Vietnam's commitment to reduce its energy-related greenhouse gas emissions in the context of COP 21.</li> <li>• However, the EC Methodological Note on budget support and sustainable energy did not make specific reference to the Paris Agreement or INDCs/NDCs.</li> </ul>	<ul style="list-style-type: none"> <li>• Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam. CRIS number: 2015/037-972</li> <li>• European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> </ul>	Strong
Other interventions	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>• The JDs dated 2015 and later all made specific reference to the Paris Climate Summit or the Paris Agreement on Climate Change, for example: <ul style="list-style-type: none"> <li>○ Uganda JD para 1 general reference to the Paris Climate Summit</li> <li>○ Nigeria JD para 1 general reference to the Paris Climate Summit</li> <li>○ Benin JD para 14.h refers to the INDC (La Contribution Prévue Déterminée au niveau National (CPDN) in French) in the government's commitment to follow-up implementation and para 23.i attainment of Paris Agreement objectives</li> <li>○ CARIFORUM JD para 2 general reference to the Paris Agreement; para 23.h NDC implementation and para 23.i attainment of Paris Agreement objectives</li> </ul> </li> <li>• In substance, the priority actions agreed in all the JDs were, however, broadly in line with overall objectives of the Paris Agreement mitigation agenda.</li> </ul>	<ul style="list-style-type: none"> <li>• JDs in the sample from 2015 and later (Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Strong



Summary response	Sources of information	Quality of evidence
<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>• AEEP also mainstreamed climate change issues into energy advisory services, for instance, by organising cross-sector discussions (e.g. at the COP22)</li> <li>• The AEEP Steering Group had recently asked the AEEP to develop different options for the future of the partnership. This would ensure the continued relevance of the AEEP and value proposition vis-à-vis the increasing number of players in the energy sector and in climate change in Africa.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Indicative but not conclusive
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• SEADS offered support on energy access, renewable energy, energy efficiency, and energy and climate change noting that climate change and energy were closely connected. The energy sector is one of the main contributors to global greenhouse gas (GHG) emissions. In many developing countries, high GHG emissions from energy production result not only from the reliance on fossil fuels and inefficient technologies but also from a heavy dependence on wood-fuels and related problems with deforestation and land-degradation. SEADS was designed to address climate change mitigation (and adaptation).</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF - Strategic Energy Advisory and Dialogue Services brochure</li> <li>• EUEI PDF Energy and Climate Change Fact File</li> </ul>	Indicative but not conclusive
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• Since RECP had only become fully operational in 2016, only one of the project proposals supported to date had started implementation. However, a method to accurately capture climate effects of policy advisory programmes could not be found and therefore no statements could be made on climate effects – but it is noted that the RECP estimated to avoid 616,817 tons of CO<sub>2</sub> per year due to its interventions.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	Weak
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• The impact metrics concerning energy access, RE, EE and GHG emission reductions are summarised below (ref. GEEREF 2015 Impact Report,)</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Impact Report 2015: <a href="http://geeref.com/assets/documents/GEEREF%20IMPACT%20REPORT%202015_FINAL%20final_public.pdf">http://geeref.com/assets/documents/GEEREF%20IMPACT%20REPORT%202015_FINAL%20final_public.pdf</a></li> </ul>	Weak

Summary response	Sources of information	Quality of evidence
<p><b>GEEREF IMPACT METRICS</b> PORTFOLIO SUMMARY: A) CLEAN ENERGY</p> <p><b>GEEREF IMPACT METRICS</b> PORTFOLIO SUMMARY: B) ENVIRONMENT</p> <ul style="list-style-type: none"> <li>While these metrics reflected GEEREF’s contributions to mitigation of climate change, the Impact Report however, did not make specific reference to the Paris Agreement on Climate Change and the NDCs of project countries.</li> </ul>		
<p><u>ElectriFI:</u></p>		<p>Weak</p>

<b>Summary response</b>	<b>Sources of information</b>	<b>Quality of evidence</b>
<ul style="list-style-type: none"> <li>• ElectriFI was launched by the Commission in 2015 during COP21 in Paris, to unlock, accelerate, and leverage investments that can increase or improve access to affordable, reliable, sustainable, and modern energy and promote the rational use of energy in Africa.</li> <li>• However, no evidence is found of how ElectriFI explicitly aligned with the Paris Declaration and INDCs/NDCs.</li> </ul>		
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>• There is indicative evidence that interventions from 2015 and later were aligned to the implementation of the Paris Agreement on climate change, but for some initiatives/instruments the evidence is weak.</li> </ul>		

**Evaluation question 2: Policy**

<b>EQ 2</b>	<b>To what extent have the policy dialogue and networks established led to partners adopting and implementing policy and sector reforms that create an enabling environment?</b>
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**Rationale:** The enabling environment is key to unlocking public and private sector resources and triggering civil society initiatives for sustainable energy (SE) solutions. EQ2 evaluates to what extent EU policy dialogue and different approaches used (including policy dialogue support through networks such as AEEP, policy dialogue linked to budget support, joint declarations, etc.) have resulted in increased commitment to enabling policies by decision makers, improved policy environments, and policy making capacity i.e. the capacity to review progress and make policy changes when necessary in partner developing countries. The assessments address strengths and weaknesses and consider both internal and external factors that influence policy dialogue in the framework of SE cooperation - in terms of principles and processes; ownership and initiative; capacities, skills and innovation; and appropriate allocations and configuration of resources.

The judgement criteria examine the extent to which EU SE support addressed the right issues, actually influenced partner countries, and led to reforms creating and reinforcing an enabling environment for SE. This has led to the following areas for JCs:

- Degree to which the EU promoted an appropriate and viable policy agenda and sound policy messages.
- Degree to which there has been SE enabling policy change and reforms in EU partner countries.
- Degree to which network platforms, budget support dialogue, and joint declarations have contributed to enabling policy and reform.

**Coverage and focus of the EQ:** EQ 2 in principle covers all the initiatives within the scope of this evaluation. Main areas of focus are on EU's overall policies that relate to SE and the most policy-oriented initiatives (Joint Declarations; SEADS and AEEP under EUEI-PDF; TAF support to SE4ALL and related to the Paris Agreement on Climate Change; blending and the most recent initiatives oriented toward the private sector (specially TAF and ElectriFi)).

**Link with OECD/DAC evaluation criteria:** EQ2 addresses relevance (i.e. was it the right policy agenda that resonated with partner country needs and priorities and thus formed the basis for effective policy dialogue); effectiveness (i.e. whether it has worked in practice - did partner country governments and stakeholders take it up, did they respond and make reforms and were the reforms showing signs of working); sustainability (to what extent has the design and implementation of EU SE cooperation contributed to increased ownership and long-term capability of partner countries to sustain the development outcomes); and emerging evidence of impact (to what extent was EU SE cooperation designed to be pro-poor, gender sensitive, environment friendly and pro-sustainable growth – and is there evidence from long-standing EU support such as the Energy Facility and blending that such support translated into reduced poverty, improved inclusive growth, improved quality of life, increased protection of the environment and climate changes in partner countries and internationally).

Link with 3Cs: EQ2 particularly relates to coherence (i.e. to what extent were policy objectives of the different EU supported interventions mutually supportive and how well were they aligned to partner country policy priorities); complementarity (with initiatives supported by EU member states); and policy coordination (with support from other development partners at country and regional level), as well as coordination in international fora.

Link with IL: EQ2 particularly focuses on outcomes and design for intended impact.

Note: As also stated under EQ 1 there are important linkages between EQ1 Strategic Relevance and the present EQ 2 Policy. The strategic relevance - i.e. whether the right challenges and opportunities were addressed in EU's SE cooperation - is closely linked to the issue of policy relevance, i.e. whether the EU focused on the right policy agenda that resonated with partner country needs and priorities and thus formed the basis for effective policy dialogue and policy effectiveness, i.e. the degree to which partners responded and made reforms and whether reforms showed signs of working; the latter issues are addressed in EQ2. This also means that many of the initiatives and interventions selected and examined by this evaluation in order to answer EQ2 and EQ 1 are the same or similar. It is further noted that both for EQ2 and EQ1 there are important linkages with the policy coordination issues addressed in EQ7 (particularly I-7.1.1. Evidence of EU involvement and contribution to coordination at policy level). For EQ 2 there are also important linkages with EQ 3 Technical Assistance, as EU TA support was not solely for institutional strengthening but also provided significant inputs (studies etc.) to support the policy dialogue and sector reforms that are addressed here in EQ 2.

### JC 2.1 Degree to which the EU promoted an appropriate and viable policy agenda and sound policy messages.

#### Summary for JC 2.1

- The EU policy agenda addressed key SE issues in partner countries and took account of support by other development partners; this was most evident in public sector interventions.
- EU SE initiatives developed and communicated policy messages aimed at enabling improved access to modern affordable and clean energy, improved energy efficiency, and increase in renewable energy.
- EU promoted sound and viable policy messages that also emphasized social, economic and environmental dimensions of sustainability and where relevant focused on enabling private sector participation.

**The EU policy agenda addressed key SE issues in partner countries and took account of support by other development partners; this was most evident in public sector interventions.** The public policy analysis undertaken in preparation of the Rwanda NIP 2014-2020 provided the basis for identification of the most important issues for policy dialogue and a detailed strategy for how the EU could best incorporate these issues in its policy dialogue. The Rwanda EAMR 01/01/2013 - 31/12/2013 noted that in 2013 the Government approved a new national development strategy that was closely observed by and discussed with Development Partners (DPs) and was commented by bilateral partners under the coordination of EUD reflecting how the EU took account of support by other development partners. In Nigeria, the 11th EDF NIP (in section 3.2.4) described donor coordination and policy dialogue and noted the interventions of other international agencies with programmes in the power sector. The EU co-chaired with UNIDO, the

Donor Coordination Group on Power, whose members had been providing technical support to the Minister of Power for the reform and development of the power sector. In Vietnam, the detailed strengths, weakness, opportunities, threats (SWOT) analysis made in September 2015 for EU engagement to support rural electrification through SRC is an example of analysis of the realistic scope for policy influence in a “crowded” field where several development partners provided support in the energy sector. The SWOT analysis looked at both the Government and DP side and identified opportunities for EU policy dialogue and support in this context. (I-2.1.1)

**EU SE initiatives developed and communicated policy messages aimed at enabling improved access to modern affordable and clean energy, improved energy efficiency, and increase in renewable energy.** This was facilitated by the consistent references in NIPS RIPs and action fiches to EU’s Agenda for Change and other policy documents and guidelines that align to the goals of SE4ALL and the later SDG 7. The EC Methodological Note on Budget Support in SE provided guidance with a focus on access to energy and renewable energy but it was weaker on energy efficiency. (I-2.1.2)

The evaluation team’s country visits found examples of such EU policy messages: in Rwanda key EU policy messages were on the importance of biomass efficiency as that is the main fuel for people, increasing the attention to transmission and distribution and not just generation, and adjusting target setting to realities on the ground e.g. getting a better medium-term balance between the likely level of demand and the take or pay contracts. In Ethiopia, key policy messages were to create better enabling environment for the private sector, gradually increase tariffs, densify the distribution of electricity, and regularise the new institutions under the Ministry of Water Irrigation and Energy so that they could benefit from loan finance. However, while the policy messages were generally aligned with SDG7, it is surprising that there was so limited explicit reference to the goals of SDG7 in the recent sample of JDs. (I-2.1.2)

**EU promoted sound and viable policy messages that also emphasized social, economic and environmental dimensions of sustainability and where relevant focused on enabling private sector participation.** For example, the EC Methodological Note on Budget Support in SE and its 81 guiding questions reflected sound SE policy messages that were pro-poor, gender sensitive and environment friendly and promote transparency (and e.g. in section e p. 24 addressed the need to assess if the policy environment is conducive to the private sector’s role in SE). AEEP promoted sustainable energy for equitable development by facilitating energy dialogue and knowledge transfer; advising partners to create enabling environments for sustainable energy solutions; supporting the development of sustainable energy markets; conducting and promoting research, innovation and capacity development. This supported the achievement of universal access to sustainable energy thereby contributing to addressing global economic and social development challenges including climate change. GEEREF’s Impact Methodology (May 2015) under Pillar 2 Environment and Pillar 3 Sustainable Development similarly set out sound principles that were specified in eligibility criteria and impact criteria. The Thematic Evaluation of EU support to environment and climate

change concluded that EU and donor partners used their position on the board of GEEREF to bring attention to the need to ensure that the projects benefit more stakeholders than just the risk capital investors and to make this a reality, the EU insisted on reporting of non-financial benefits. (I-2.1.3)

Conclusion: the JC is validated. There is strong evidence that EU promoted an appropriate and viable policy agenda and sound policy messages in its dialogue and support to partner countries.

### **JC 2.2 Degree to which there has been SE enabling policy change and reforms in EU partner countries (i.e. evidence of actual commitment to and adoption of enabling policies and regulatory reforms).**

#### **Summary for JC 2.2**

- For most but not all initiatives, key issues raised in EU policy dialogue and reform studies were addressed in national and regional enabling policy frameworks.
- Apart from budget support operations at country level and to some extent, the EUEI initiatives, the EU did not closely monitor whether national policy frameworks were adjusted to address the key issues raised by EU policy dialogue and reform studies.
- The EU and its development partners did not closely monitor the degree to which partners committed actions to identify, address and remove SE policy barriers identified in EU SE cooperation. There is so far weak evidence that policies and reforms supported by the EU and then adopted and implemented have brought about the intended results in practice.
- While budget support indicators have been useful in monitoring results of related policy dialogue, the EU could have benefited from more adequate tools for measuring the progress and success of their energy policy and reform dialogue and interventions.

**For most but not all initiatives, key issues raised in EU policy dialogue and reform studies were addressed in national and regional enabling policy frameworks.** As found in EQ1 (I-1.1.1 and other indicators) EU interventions were *designed* so they were relevant to and aligned with key policy issues in national and regional enabling policy frameworks. Here under EQ2 it is assessed how the EU then through policy dialogue and policy studies influenced partner countries to further address these key issues in national and regional policy frameworks. For example, according to the EUEI PDF Results Report 2004-2015, in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners<sup>64</sup>. The TAF-WCA ROM concluded, based on qualitative reasoning, that TAF-WCA contributed to its overall objectives through its support to improving the policy and regulatory framework conditions for

<sup>64</sup> For example, the EUEI Results Report 2004-2015 showed that outcomes under SEADS policy advice included 4 national or regional policies adopted (Burundi, Madagascar, Sierra Leone, ECOWAS), 10 strategies adopted or partially used (BEST Mozambique, Rwanda, Tanzania, Malawi; Central African Economic and Monetary Community CEMAC, East Africa EAC, Djibouti, Liberia, Rwanda Geothermal, Cameroon in-house EE policy); and outcomes under SEADS legal and regulatory frameworks support included 2 laws passed (The Gambia and The Democratic Republic of the Congo). ; and under the SEADS knowledge sharing support outcomes included 7 examples of products used (PRODUSE Manual, BEST Guide, Low-cost Grid Electrification Toolkit, GIS database in Ghana, Rural Electrification and Funds publication, Mini-grid Policy Toolkit, Uganda SE4All report).

SE. On the other hand, the ROM also found that despite this positive assessment there was a systematic absence of quantitative indicators to measure and document this contribution. (I-2.2.1)

The European Parliament Committee on Budgetary Control in its Special Report on the EF support for RE in East Africa mentioned unfavourable circumstances and insufficient local capacities, which compromised the extent to which policy interventions carried out by the projects were taken up and implemented. The Commission noted there was room for improvement for the monitoring of the projects in the field and recommended to select projects more rigorously, strengthening project monitoring of the policy impact. (I-2.2.1)

**Apart from budget support operations at country level and to some extent, the EUEI initiatives, the EU did not closely monitor whether national policy frameworks were adjusted to address the key issues raised by EU policy dialogue and reform studies.** There is little evidence in routine progress and monitoring reports of how policy messages and policy related outputs were used in practice. However, the 2013 Independent Evaluation of Four EUEI PDF Activities did provide some evidence. It was found by this evaluation that in the case of the Burundi energy strategy and action plan, the direct output of the activity was validated in a workshop held in November 2010 and the policy related outputs of the EUEI PDF activity were used but it took two years before it finally was recognised and adopted as a national directive for the energy sector. In the case of the GIS-based Support for Implementing Policies and Plans to Increase Access to Energy Services in Ghana, the evaluation found that in spite of its national relevance, the results and outputs of the EUEI PDF activity were not properly embedded in national and regional institutions and it was not enough to develop tools and models with a (renowned) institution in the country, but EUEI PDF should also be pro-active so that the “official” energy institutions in a country buy-in to the results of the activity. The budget support operations in Rwanda and Vietnam closely monitored adjustments in the policy framework especially (but not only) where such adjustments were related to tranche release indicators. (I-2.2.2)

**The EU and its development partners did not closely monitor the degree to which partners committed actions to identify, address and remove SE policy barriers identified in EU SE cooperation.** The data is scarce, there has been few evaluations and they tend to be mixed or in some cases negative. The above-cited Independent Evaluation of Four EUEI PDF Activities found that in the case of the SADC Regional Energy Access Strategy and Action Plan, the SADC Secretariat had little influence and no enforcement power on the member states. As energy access was primarily found to be a national responsibility and very country specific, there was doubt whether regional work could contribute to the achievement of greater energy access at national level. Regional organisations might not be the most adequate “carrier” for the implementation, follow-up or dissemination of some kinds of meta-issues or policy aspects. It was further found that the use and utility of the output of the EUEI PDF activity had been limited. The member states did not implement any of the recommendations that were issued by SADC Energy Ministers meeting. The country visits have added a few examples, for instance in Rwanda, the Government in a change of policy had shown a greater commitment to engaging with



biomass and more focus on transmission and distribution compared to generation; in Ethiopia, there were signs that the Government was more open to private sector initiative in providing small scale energy solutions (biomass etc.) (I-2.2.3).

**There is so far weak evidence that policies and reforms supported by the EU and then adopted and implemented have brought about the intended results in practice.**

As noted above there is not much information on the level of commitment to policies and reforms promoted by the EU but there is even less evidence on the extent to which policy and reforms promoted by the EU have had the intended results. The Evaluation of Blending (p.29) found that in both energy and water sectors the blending projects had in some cases supported the achievement of policy objectives and reforms of the EU budget support operations. The field visits, supported by independent reviews, noted that blending had contributed to reforms in the energy and water sectors, which demonstrated that targets for renewable energy were feasible – and although the examples were mainly in the neighbourhood region, there were also emerging examples in West Africa on the regional power pool. Also, the aforementioned Independent Evaluation of Four EUEI PDF activities found a positive example, namely the case of Secretariat of the Pacific Commission (SPC)–Development of Energy Indicators and Support to the Regional Implementation Plan. The activity had achieved all its objectives and the outcomes were being used and implemented throughout the Pacific Islands region. An indicator for sustainability was the fact that regional activities followed up on the use of the energy security indicators. A key lesson was that sustainability of EUEI PDF activities could be enhanced when successful projects were followed by the development of in-house capacity of “downstream” organisations, i.e., organisations that are secondary beneficiaries of the outcomes and recommendations of the EUEI PDF activity. It is assessed that not only capacity issues but also enabling policy issues need focus in such downstream organisations. (I-2.2.4)

**While budget support indicators have been useful in monitoring results of related policy dialogue, the EU could have benefited more from use of available tools for measuring the progress and success of their energy policy and reform dialogue and interventions.** The country visits showed that budget support indicators were useful in monitoring related progress in policy dialogue. For example, in Rwanda, even though the policy dialogue with the Government was not always smooth and the Government seemed at times to ignore the EU positions, the fact was that in practice the positions and messages of the EU were translated into actions and slight but important changes of the implementation of policy. The EUD had concrete tools to monitor the outcomes of the policy dialogue, because the budget support indicators allow this. Similarly, in Tanzania, it was found that the budget support indicators could be used and could measure progress. But more generally, it is assessed that EU SE cooperation needed better tools to measure progress and achievements in policy dialogue and policy support (an “advocacy progression index”). In this connection, as also noted under EQ1, EU could benefit from SE4ALL tools such as the Global Tracking Framework (GTF) and the Regulatory Indicators for Sustainable Energy (RISE). It was difficult for the EUDs, in many cases lacking a deep skill base in the energy sector, to confidently and critically analyse

progress and take up controversial issues with highly experienced actors at country level. (I-2.2.4)

Conclusion: the JC is partly validated. Except for EUEI initiatives and budget support operations EU did not closely monitor whether national policy frameworks were adjusted to address the key issues raised by EU policy dialogue and reform studies, and the EU could have benefited from more use of available and emerging tools for measuring the progress and success of their energy policy and reform dialogue and interventions.

### **JC 2.3 Degree to which network platforms, budget support dialogue, and joint declarations have contributed to enabling policy and reform.**

#### **Summary for JC 2.3**

- Although the monitoring was weak, each of the main initiatives have shown at a smaller scale that they had the potential to influence.
- Network platforms supported by the EU contributed to the policy environment at the partner country, regional and global levels, but the evidence is mixed.
- EU SE budget support policy dialogue contributed to the policy environment in partner countries.
- Joint Declarations contributed to strategic commitment to improving the SE policy environment and brought in other donors, but there is little evidence of effective follow-up to JDs.

**Although the monitoring was weak, each of the main initiatives have shown at a smaller scale that they had the potential to influence.** As found under JC 2.2. above, there is mixed evidence of actual commitment by partner countries and institutions to commit to and adopt enabling policies and regulatory reforms as a result of EU support. However, as further expanded on below, there is enough evidence to conclude that some initiatives had a positive effect. Network platforms were important at global, regional and national levels and were helpful in feeding lessons between these levels. Policy dialogue linked to budget support was deeply rooted at senior public-sector decision levels in partner countries, and joint declarations committed senior decisions makers at national level and had the added value of also committing other donors to concerted and harmonized action. (I-2.3.1)

**Network platforms supported by the EU contributed to the policy environment at the partner country, regional and global levels, but the evidence is mixed.** The EUEI PDF 2004-2015 Results Report showed that in most cases the policy-related services and products provided by RECP and SEADS were in fact used and adopted by the partners (see examples under footnote 1 in the foregoing). However, some 20 % of interventions were not successful and further analysis was found to be needed to determine if the lack of capacities on the partner side had been the main reason for this. The Results Report also found that strengthened capacities as well as political dialogue and networking were effective in reaching concrete energy targets as substantiated by respondents who gave examples of how AEEP triggered developments in the energy sector of their country. The mentioned impacts mainly focused on increased access to energy respectively increased renewable energy capacity, policy development, regulatory framework, awareness raising and networking. For example, one respondent stated: “AEEP gave a very big support in the development of Renewable Energy Sector in Uganda mainly by supporting Capacity Building and (policy level) sensitization through private sector.” Another stated: “Debate

on Re-FiTs widened and has yielded concrete action on closed grids and on-grid connection of solar power – e.g. the 10MW solar plant in Soroti (Uganda).” The EUEI PDF Mid-term review found that the AEEP Mapping of Energy Initiatives and Programs in Africa, 2016, was mentioned by many interview partners as a very helpful instrument that filled a gap in providing a policy level overview of regional initiatives and improved coordination. In Zambia, the country visit did not find any evidence that the AEEP stakeholder dialogues in 2013 had contributed to the policy environment. (I-2.3.1)

**EU SE budget support policy dialogue contributed to the policy environment in partner countries.** However, this evidence is to a large extent based on the design of interventions rather than from reports on the implementation phase. For example, the Tanzania 2015 EAMR noted that good traction was achieved in the dialogue with the Energy and Water Utilities Regulatory Authority around core power sector reforms, also thanks to the support mobilized under the EU SE4ALL TAF and the events organized in this framework. The regulatory authority had been entrusted with the responsibility to put in place key elements of a new electricity market structure, which should promote greater efficiencies through competition in generation and private sector investment. Dialogue with the Rural Energy Agency on planning and financing for rural electrification and energy access was intensified in 2015, in connection with planned EU support to rural electrification under the 10th and 11th EDF. This included the launch of a "pillar assessment", to ascertain whether budget implementation tasks could be entrusted to the Agency. The EUD remained an active member of the energy development partners group and took the lead in promoting DP coordination in Zanzibar, where the EUD engaged in renewable energy and energy efficiency (10th EDF Zanzibar renewable energy programme). However, it was also noted that dialogue with the Ministry of Energy in view of advancing the foreseen energy Sector Budget Support programme under the 11th EDF remained sub-optimal, largely due to a leadership vacuum following earlier changes of senior level staff and that the dialogue would be intensified in 2016 with the recently installed new Administration. The Tanzania country visit found that the sector policy dialogue had been recently quite difficult due to the turmoil caused by a financial scandal around a power supply contract, due to policy directives that were apparently changing quite rapidly, due to power tariff increases that were shortly after reversed, and due to the dismissing of important leaders of key institutions. The policy dialogue was very good before, but had been less frequent during the past 2 years, however when it happened, it showed a high degree of country involvement and ownership. The EUD however continued to engage in high level of policy dialogue. (I-2.3.2.)

The EC methodological note on budget support and sustainable energy (box, p. 12) cited the example of Rwanda sector BS 2015-2021 and the issue of defining the sector of intervention. It was found that while initial discussions with national authorities focused mainly on electricity, the Government's commitments in the framework of SE4ALL and its Energy Strategy led to the inclusion of RE (biomass) and EE in the scope of interventions. In Vietnam, the SRC action document in section 3.2. stated that in 2015, the Ministry of Industry and Trade MOIT (also responsible for SE) had responded positively to the EU proposal to set-up an Energy Partnership Group that would serve as an official platform for energy policy dialogue and optimize donor coordination. Action

would also contribute to achieving Vietnam objectives as set in the INDC submitted at the COP21 in Paris. Through policy dialogue, the EU would aim to convince the Government to further diversify the national energy mix, increase the use of renewable energy and monitor the improvements in energy efficiency. (I-2.3.2). The country visits have added a few examples. Thus, in Tanzania, it was found that the policies and the strategic choices of the Government were influenced and informed through the policy dialogue and by providing concrete examples of technology implementation and management options by the type of programmes and projects that DPs support, such as the mini-grids approach to rural electrification. The EU through the RECP financed a Biomass Energy Strategy and support would then be given to its implementation; the EU attempted to keep biomass on the radar of the Government. (I-2.3.2.)

**Joint Declarations contributed to strategic commitment to improving to the SE policy environment, but there is little evidence of effective follow-up to JDs.**

Partner Governments with EU and key development partner signatories committed to actions to achieve SE goals. For example, the Liberia JD in para 14a committed the Government to constructively engage with partners in sector dialogue and facilitate frank and open exchange of information related to funding and project preparation in the sector. Para 12.a committed the EU to continue the sector dialogue on energy, which it led since 2012 together with Norway and other donors in the sector. Para 13.c committed Norway (not an EU MS) to focus both on increasing access to modern energy services for the poor and on creating an enabling environment for social economic development, through sector dialogue and donor coordination. However, it was a weakness that i) JDs did not have legal status; and ii) the indicative Roadmaps were not prepared, making it more difficult to verify how these commitments were implemented in practice. Conversely, it could be argued that this also allowed for flexibility in the operationalisation of JDs. (I-2.3.3.)

The table below provide information on the signed Joint Declarations (JDs).

JDs	Number of JDs
Signed only by EU and the partner country	10
Signed also by one or several EU Member States (MS)	10
Signed also by other bilateral non-MS and multilateral Development Partners	2 <sup>65</sup>
<b>Total number of JDs signed</b>	<b>22<sup>66</sup></b>

<sup>65</sup> One (Liberia) signed by Norway, another (Zambia) also signed by Japan, USA and World Bank.

<sup>66</sup> Benin, Cameroun, Cape Verde, Indian Ocean Commission, Cote d'Ivoire, Kenya, Liberia, Uganda, Zambia, Madagascar, Nigeria, Togo, Rwanda, Senegal, Sierra Leone, Tonga, Republic of Marshall Islands, Palau, Niue, Nauru, Micronesia

Finally, a note on The Africa Renewable Energy Initiative (AREI)<sup>67</sup>. While AREI was not part of the initiatives covered by the scope of the present evaluation, it is worth noting that this could be an impactful vehicle for mobilising very significant financial contributions to RE initiatives. EU has a leading role in this initiative, and during the AREI second Board of Directors meeting in Conakry, Guinea, the EU Commissioner for International Cooperation and Development on 4 March 2017 announced the preparation of 19 new renewable energy projects. These sustainable energy projects had an indicative EU contribution of EUR 300 million, which was expected to leverage total investments amounting to EUR 4.8 billion, adding 1.8 Gigawatts of new renewable energy generation in Africa. It was further stated that The European Commission, the EU Member States and the EU Financial Institutions had committed to support AREI through existing financial instruments and mechanisms, including the Africa Investment Facility (AfIF), ElectriFI, and the new opportunities under the future External Investment Plan, to leverage the sustainable energy investments that would “unlock Africa's potential and improve the lives of millions”. The Fifth African Union - EU Summit held in Abidjan during 29-30 November 2017 in its Declaration para 1368 committed to support AREI and deepen the strategic alliance through AEEP.

Conclusion: the JC is partly validated. There is some evidence that network platforms, budget support dialogue, and joint declarations made contributions to enabling policy and reform - but much of the evidence is based on the design of interventions. The evidence of follow-up to the major policy initiatives could have been stronger.

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<sup>67</sup> AREI was launched at COP 21 in Paris. AREI has its Independent Delivery Unit (IDU) at the African Development Bank and the AREI Trust Fund was set up to be managed by the Bank as the Trustee. At COP21 EU and G7 countries announced that a cumulative US\$10 billion would be pledged to AREI.

<sup>68</sup> We are committed to the full implementation of the Paris Agreement and Marrakech Action Plan adopted in COP22, taking into account the commitments on climate finance made in Copenhagen (2009) with a target of reaching USD 100 billion per year by 2020, to support developing countries in responding to climate change. We also commit to invest in climate change mitigation and adaptation, disaster risk management and reduction, as well as in the sustainable management of natural resources and ecosystems. To this end, we commit to undertaking joint efforts, also at the global level. We note the importance of energy efficiency and the development of renewable energy, and we will support the African Initiative on Renewable Energy (AREI) and deepen our strategic alliance through the AU-EU Energy Partnership (AEEP).

Summary response	Sources of information	Quality of evidence	
<b>JC 2.1 Degree to which the EU promoted an appropriate and viable policy agenda and sound policy messages.</b>			
I-2.1.1 Evidence that the EU policy agenda reflected the key SE issues in partner country context and took account of support by other development partners.			
Geographic support - project support	<ul style="list-style-type: none"> <li>• All NIPs and RIPs examined reflect that EU's policy agenda was based on analysis of national/regional sector framework identifying key SE issues. This was also the case for the specific action fiches examined. The analyses reflected strengths and – to varying extent – also weaknesses of the sector framework as part of the rationale for the chosen interventions strategy.</li> <li>• NIPS RIPs and action fiches also took account of support by other DPs.</li> <li>• For example: <ul style="list-style-type: none"> <li>○ The Project Identification Fiche for the EU Access to Sustainable Energy Programme (EUR 60m) referred to MIP Philippines 2014-2020 and in Section 2.1. Sector Context made a detailed analysis as part of the rationale noting that: Access to clean energy for the poor and increased investments in renewable energy are important reform areas in the Philippine Development Plan PDP, and the PDP and the Energy Reform Agenda are consistent with the principles of the EU's Agenda for Change.</li> <li>○ The Multi country Triodos project (Kenya Uganda Tanzania) was intended to increase access to affordable and sustainable energy services for rural and peri-urban low-income communities. The 2012 ROM on Triodos concluded that the project was well designed and its objectives were consistent with the EC strategy, the RIP and Governments' policies for rural electrification (except for Kenya national policy that gave priority to grid extension).</li> <li>○ The 11<sup>th</sup> EDF NIP for Nigeria in section 3.2.4 described donor coordination and policy dialogue and noted that the international agencies with programmes in the power sector were the World Bank, the African Development Bank, AFD, DFID, the EU, GIZ, JICA, and USAID. The EU co-chaired with UNIDO, the Donor Coordination Group on Power (DCGP), whose members had been providing technical support to the Minister of Power for the reform and development of the power sector. The Federal Government had called on donors to assist in creating an enabling environment to encourage investments by private companies within the power sector, as well as to improve their access to finance, namely in order to expand the grid and generation capacity. There was found considerable scope for blending and co-financing in this sector. The Nigeria country visit found that There was limited space for EU and other development partners to engage in wider sector dialogue because of limited interest of the Government in dialogue and exclusion from the Government-</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• NIPs RIPs action fiches</li> <li>• Philippines Standalone Project Identification Fiche CRIS # 2014/35111</li> <li>• ROM Monitoring report MR-144913.01 30/07/2012</li> <li>• 11th EDF NIP for Nigeria</li> </ul> <p>Country visits</p>	Strong

Summary response	Sources of information	Quality of evidence
	<p>World Bank dialogue on sector recovery. Hence, EU policy messages on sustainable energy were mainly conveyed at the programmatic level. For example, EU support (NESP/EASE) has contributed to enhancing the policy attention given to EE, e.g. through supporting the formulation of the Renewable Energy and Energy Efficiency Policy and the development of mini-grid regulations. EUEI contributed mainly through its technical studies for supporting private sector, but not significantly to policy or political dialogue. It was also found that the EU support tried to cover too many aspects (renewable energy, energy efficiency and energy access) considering that the EU was a recent entrant in the sector.</p>	
<p>Geographic support - budget support</p>	<ul style="list-style-type: none"> <li>• The EC methodological note on budget support and sustainable energy (SE) complemented EC budget support guidelines from 2012 and defined SE in the EC context. It argued that where reforms are necessary, sector budget support (BS) may prove effective and create synergies with other modalities. The Note guided the requisite sector analysis and the formulation and implementation of sector reform contracts (SRCs) that supported sector policies and reforms, improving governance and energy service delivery. The Note addressed the particularities of the energy sector noting that a limited part of financing was channelled through the national budget, while most investments were made directly by public and private enterprises – hence SRCs allow for improvement of interrelated enabling conditions that significantly impact on SE developments and investments.</li> <li>• Detailed policy guidance to EUD staff and other stakeholders was provided by the Note, giving a detailed list of energy policy tools and instruments, definition and scope of the SE “sector”, demonstrating consistency of the intersectoral links of national SE policy, ensuring consistency between SE policy content, macro-economic framework and the management of public finances, and including programme risks aspects. Detailed annexes included elements to be taken into account when assessing the key SE issues in the partner country context and the SE sectoral policy framework and institutions – a total of 81 guiding questions.</li> <li>• The Note also made reference to extensive guidance and learning materials for EUD and DEVCO staff and other stakeholders on the Capacity4Dev website, including the Sustainable Energy Handbook that provided contextual introduction to a number of SE-related subjects in 18 detailed modules (including policy related issues such as energy policy support, role of the private sector, financing models, etc.).</li> <li>• It is assessed that there is thus evidence of relevant guidance available to address the key SE issues in the partner country context in the design of BS interventions - however, more guidance was needed on energy efficiency in this Note/tool kit.</li> <li>• The guidance Note (box, p. 12) cited the example of Rwanda sector BS 2015-2021 and the issue of defining the sector of intervention. It was found that while initial discussions with national authorities focused mainly on electricity, the Government’s commitments in the framework of SE4ALL and its Energy Strategy led to the inclusion of RE (biomass) and EE in the scope of</li> </ul>	<ul style="list-style-type: none"> <li>• European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> <li>• Budget support guidelines, September 2009: <a href="https://ec.europa.eu/europeaid/sites/devco/files/methodology-budget-support-guidelines-201209_en_2.pdf">https://ec.europa.eu/europeaid/sites/devco/files/methodology-budget-support-guidelines-201209_en_2.pdf</a></li> <li>• Capacity4Dev Sustainable Energy Handbook <a href="https://europa.eu/capacity4dev/public-energy/minisite/sustainable-energy-handbook">https://europa.eu/capacity4dev/public-energy/minisite/sustainable-energy-handbook</a></li> </ul>

Summary response	Sources of information	Quality of evidence
<p>interventions, thus demonstrating evidence of how the intervention reflected key SE issues in the Rwandan context. It was further noted that this intervention also had the benefit of strengthening cooperation among different public services and that access to information at an early stage was crucial for constructive policy dialogue.</p> <ul style="list-style-type: none"> <li>• Also in Rwanda: <ul style="list-style-type: none"> <li>○ The EAMR 01/01/2013 - 31/12/2013 noted that in 2013 the Government approved a new national development strategy (EDPRS 2) valid until 2018. The strategy was closely observed and discussed with Development Partners and was commented by bilateral partners under coordination of EUD reflecting how the EU took account of support by other development partners.</li> <li>○ In the Rwanda NIP 2014-2020 there was evidence of a detailed public policy analysis identifying and assessing the national/regional sector framework (Vision 2020, Nation Energy Policy (NEP) adopted by Cabinet, ESSP 2013/14- 2017/18, Electricity Access Roll out Plan (EARP), Electricity Master Plan still under preparation, SE4All Framework covering the 2030 horizon and validated as Action Agenda by the Sector Working Group). The analysis gave a detailed assessment of how EU identified and reflected the key SE issues in the country in its policy dialogue.</li> <li>○ The Rwanda SRC stated that the Government of Rwanda applied principles of aid effectiveness and had performed satisfactorily under previous General and Sector Budget Support agreements over the last years. It is also noted that the Energy Sector-Wide Approach (eSWAp), which was launched in 2008, was the basis of the process between the Government of Rwanda and the DPs, which ensured proper coordination, efficiency and effectiveness in the use of resources in the Rwandan energy sector.</li> </ul> </li> <li>• In Vietnam: <ul style="list-style-type: none"> <li>○ The detailed SWOT Analysis made in September 2015 for EU engagement to support rural electrification in Vietnam through SRC is an example of analysis in a “crowded” field where several development partners provided support in the energy sector, and the SWOT analysis looked at both the Government and DP side and identified opportunities for EU support in this context.</li> <li>○ The SE4ALL TAF made a detailed report issued in October 2015 Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RE, EE, and access in rural areas as well as power market reform; the report identified critical issues in the sector (such as low quality of rural electricity services, low penetration of RE technologies, and the absence of structured information).</li> <li>○ The SRC Action Document described the programme on electricity supply to rural, mountainous and island areas over the 2013 – 2020 period across selected provinces, contributing to the alleviation of poverty in Vietnam and to sustainable and inclusive growth by promoting availability and quality electricity services in rural areas. The</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda EAMR 01/01/2013 - 31/12/2013</li> <li>• Rwanda NIP 2014-2020</li> <li>• Public policy Assessment, Energy Sector Budget Support, 11th EDF, Rwanda.</li> <li>• NIP-Rwanda-2014_2020</li> <li>• Sector Reform Contract to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities. CRIS number: FED/2015/38107</li> <li>• SWOT Analysis September 2015</li> <li>• Intermediate Report: Access to Energy Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector</li> </ul>	



Summary response	Sources of information	Quality of evidence
<p>document contained summary points of public policy analysis and other analyses undertaken and scribed how the programme met the needs identified in the EU-Vietnam MIP 2014-2020, was in line with the country's SE priorities as set out in the Vietnam's Socio-Economic Development Plan (2011-2020), the National Energy Development Strategy to 2020 and 2050, and was in line with SDG7.</p> <ul style="list-style-type: none"> <li>• The above-cited sequence of actions and documentation was found to provide evidence that the EU policy agenda reflected key SE issues in the partner countries. Similarly, analyses were made and coordination mechanisms such as SWAPs sector working groups, and SE4ALL action agendas took account of support by other DPs.</li> <li>• The Annual Report on EU Budget Support – 2016 (section 4.8 p. 41) stated that as of the end of 2015, countries that had an ongoing SRC contract covering the energy sector were: Egypt, Jordan, Moldova, Morocco, Tonga, Tunisia and Ukraine - and all these programmes aimed at supporting partner countries in the implementation of their SE policy. For example, in Tonga by March 2015 the RE energy share of overall energy production had reached 8 %, increasing from 6.4 % the previous year. Access to modern energy services had increased and the target of universal access to electricity by 2020 remained on track.</li> </ul>	<p>policies related to RES, EE, ACE in rural area and power market reform, October 2015.</p> <ul style="list-style-type: none"> <li>• Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam. CRIS number: 2015/037-972</li> <li>• TAF report issued in October 2015 Assessing Energy Policies in Vietnam</li> <li>• Vietnam MIP 2014-2020</li> <li>• Annual Report on EU Budget Support – 2016: <a href="https://ec.europa.eu/europeaid/annual-report-eu-budget-support-2016-0_en">https://ec.europa.eu/europeaid/annual-report-eu-budget-support-2016-0_en</a></li> </ul>	
<p>Other initiatives</p> <p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>• All sample JDs show evidence of reflecting key sustainable energy issues in the partner country context and taking account of support by EU member state development partners (DPs) and in some cases also support by other DPs. By signing the JD, the Government, EU and member states committed to collaboration regarding the key SE issues identified in the JD while noting the need to take account of complementarities with activities of other DPs to promote partnerships and avoid duplication and dispersion of funding</li> <li>• The JDs all to a large extent followed a common template where initial paras acknowledged and recognised the partner country's policy/strategy initiatives and key SE issues, while other paras specifically identified the support by member states. For example: <ul style="list-style-type: none"> <li>○ Rwanda JD para 2 identified energy access as a key priority, para 9 focused on increasing RE access, reliable and cost-effective electricity generation while improving EE of infrastructure and use, and paras 1,2,5,6,12 identified key policy and strategy initiative with which EU support aligned. Para 7 took account of complementarities EU actions with those of others.</li> <li>○ Nigeria JD para 2 identified access to reliable electricity supply as a priority and fundamental objective in economic and social development, particularly for disadvantaged populations in rural areas. Pars 10 acknowledged that the West African</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Strong

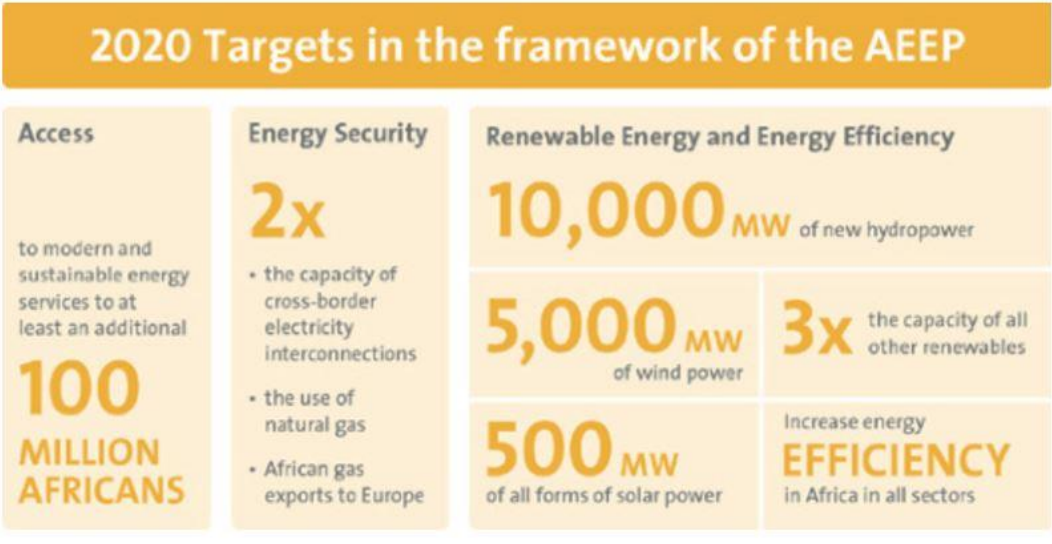
Summary response	Sources of information	Quality of evidence
<p>Power Pool (WAPP) will benefit from improved governance and regulation in the Nigerian electricity and gas sector, and para 11 acknowledged the potential for mutually beneficial ties leading to investment and technological upgrading of the sector. Paras 2,3,4,10,13 identified key policy and strategy initiatives with which to align; and paras 7 and 9 specifically referred to support by France, Germany, Italy, Spain, and the UK; para 12 then committed the EU and the named member states to agreed areas of support.</p>		
<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>• The Fourth EU-Africa Summit was held during 2-3 April 2014 in Brussels between the Heads of State and Government of the EU and Africa, the President of the European Council, the President of the European Commission, the President of the African Union and the Chairperson of the African Union Commission. The summit statement in para 48 noted that “We will progress towards the 2020 targets of the Africa-EU Energy Partnership on Energy access, Energy Security, Renewable Energy and Energy Efficiency, with a strong focus on private sector and on interconnections, including between the two continents.”</li> <li>• The AEEP “mapping study” (Mapping of Energy Initiatives and Programs in Africa, 2016) for example, was mentioned by many Review interview partners as a very helpful instrument that filled a gap and improved coordination. The study identified and described more than 50 initiatives operating in the energy (and climate) sector in Africa and would be regularly updated through an interactive web portal. The SE4ALL Africa Hub emphasized the importance of the mapping study as it facilitated stronger coordination and planning between actors and enhances the visibility of available opportunities and committed to its continuation. A presentation made by AEEP at the Fourth Annual Sustainable Energy for All Africa Workshop Working Group (2): Mapping and Coordination held in Abidjan, Cote d’Ivoire during 29-30 March 2017, indicated the planned follow-up to AEEP’s mapping and coordination efforts.<sup>69</sup> However, the country visits under the present evaluation found little awareness of these AEEP efforts by stakeholders interviewed.</li> </ul>	<ul style="list-style-type: none"> <li>• The Fourth EU-Africa Summit</li> <li>• EUEI PDF Mid-Term Review Report_06-2017</li> </ul>	<p>Strong, in that it identified key activities in the sector – but the evidence of its use and updating was weaker</p>
<p><u>SEADS:</u></p>		

<sup>69</sup> **Short term:** Additional data collection (including national and bilateral initiatives/programmes); • Digitalization to create an interactive easy-to-use web-portal for knowledge sharing; Activities to be undertaken in close consultation with SE4ALL Africa Hub (consultants will be based 30% of the time at the AfDB to integrate SE4ALL national data); Process and ToR had been agreed by AREI and SE4ALL Africa Hub to ensure complementarity; **Medium term:** Continuous mapping that directly contributes to effective linkages to the initiatives and instruments of the Joint Africa EU Strategy e.g. Electrifi, PIDA, AREI, TAF, Covenant of Mayors (CoM), Pan-African instruments, etc. Strategic positioning and alignment to ensure relevance and value addition to continental and global agendas: African Union Agenda 2063; UN Agenda 2030 and SDGs; COP21 Paris Agreement and NDCs; **Long term:** Increase the coordination efforts led by the AUC, AfDB, NEPAD, RECs & MSs to strengthen the synergies of different initiatives and sectors e.g. environment and energy

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• As a service line under EUEI PDF SEADS aimed to contribute towards the achievement of the Sustainable Development Goals (SDGs), in particular goal 7 on energy, as well as to the Paris Agreement on Climate Change. The methodical approach implied flexible advisory services on request of partner countries or regional institutions. As a rule, advisory services by SEADS aimed to be taken up by cooperation partners and/or other organizations for up-scaling on national and regional level.</li> <li>• The Results Report showed that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners.</li> <li>• The Review found that the demand driven approach of SEADS generally led to an appropriate level of commitment and ownership of the partner country governments.</li> <li>• SEADS in 2013/2014 produced the EUEI PDF Country Energy Assessment Tool, an Excel-based tool supporting countries in the identification of. progress towards SE4ALL and national targets, readiness for renewable energy interventions, and gaps in energy policy. While the tool was described in the EUEI PDF progress report 2014/2014, the evidence of its effective use was not found.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> <li>• EUEI PDF Mid-Term Review Report 06-2017</li> <li>• EUEI PDF progress report 2014/2014</li> </ul>	Strong
<p><u>TAF:</u></p> <ul style="list-style-type: none"> <li>• In policy and reform TAF followed a comprehensive review of the institutional set-up in each country, the Facility then assisted the national stakeholders in defining a coherent way forward as regards the required national action plans, legislation and regulations and in creating enabling policies and regulatory frameworks as tools for advancing the development agenda.</li> <li>• The TAF Eastern and Southern Africa (ESA) ROM evaluation December 2016 found that TAF-ESA was highly relevant to promote the aims of SE4ALL and overall EU strategy in the energy sector. As observed from country visits to Ethiopia, South Africa and Uganda, donor coordination had systematically led to complementary follow-up actions. From 12 countries supported, TAF-ESA responded to a very large extent to beneficiary needs in Tanzania, Mozambique, Malawi, and Uganda, while it was speeding up in Kenya, South Africa, Swaziland, and was showing a slow response in the last 5 countries.</li> <li>• TAF-WCA began the elaboration of the SE4ALL Investment Prospectuses in 8 of the 15 ECOWAS member states.</li> <li>• TAF-WCA responded to a very large extent to the beneficiary needs in 5 (Cote d'Ivoire, Liberia, DRC, Rwanda, Benin) was currently speeding-up in 3, responded in 3, and demonstrates a slow response in 4. TAF-WCA mainly provides demand-driven TA to the beneficiary organisations</li> <li>• TAF-WCA contributed to its overall objectives given that it contributed to improved policy and regulatory framework conditions enabling increased investment in energy access, RE and EE. On the other hand, the absence of quantitative indicators to measure this contribution did not help to assess its effectiveness.</li> </ul>	<ul style="list-style-type: none"> <li>• Empowering Development SE4ALL booklet-energy-19052015_en</li> <li>• TAF Sixth Progress Report 01/07/2016-31/12/2016</li> <li>• TAF-ESA C-336063_ROM Report_draft</li> <li>• TAF WCA ROM Report C-335152 (25 November 2016)</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>In Ethiopia, the country visit found that the TAF SE4ALL rapid assessment and gap analysis supported by the EU in 2012-2013 was found to be particularly constructive as it provided a solid base for Ethiopia's national SE4ALL action plan and for identifying the relevant future EU cooperation areas.</li> </ul>		
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>The Results Report showed that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Mid-Term Review Report_06-2017 and</li> <li>EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> </ul>	More than satisfactory
<p><u>EU-ACP Energy Facility:</u></p> <ul style="list-style-type: none"> <li>The Communication identified the key EF priority activity areas: i) The largest financial contribution from the Facility will be designed to reach a substantial number of rural people and to improve their access to modern energy services. ii) Where governance conditions are not in place for delivery-oriented intervention in the field, up to 20% of the Facility will support the development of an enabling environment for the energy sector based on good governance principles. iii) Up to 20% of the Facility will be devoted to preparatory activities required to facilitate future essential investment plans for cross-border interconnections, grid extensions and rural distribution, preparing them for financing by IFIs.</li> <li>The Court found that the system of calls for proposals was transparent and relied on a well-documented selection process. For the selected projects by the Court, it was observed that the selection criteria ensured consistency with the priorities set by the EF as all 12 East African countries covered by the audit had or were setting up a national energy policy, 85% of the grants were allocated to projects using renewable sources of energy and projects were addressing well-identified needs regarding access to modern energy services in rural or peri-urban areas.</li> </ul>	<ul style="list-style-type: none"> <li>COM(2004) 711 final, Brussels, 26.10.2004</li> <li>European Court of Auditors special report ACP–EU Energy Facility support for renewable energy in East Africa.</li> </ul>	Strong
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>The Evaluation of Blending found that while blended projects generally did not factor into their design explicit policy-related activities or objectives, some policy-related discussions focusing on key reform issues sometimes took place either prior to project approval or during project implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation of Blending, Final Report, September 2016</li> </ul>	Indicative but not conclusive
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>GEEREF's role was to anchor teams and to play a catalytic role for other investors.</li> <li>Priority was given to investment in countries with appropriate policies and regulatory frameworks on energy efficiency and renewable energy.</li> </ul>	<ul style="list-style-type: none"> <li>GEEREF Investment Strategy</li> <li>GEEREF Impact Methodology, May 2015</li> </ul>	Indicative but not conclusive
<p><u>ElectriFI:</u></p> <ul style="list-style-type: none"> <li>Operations would be assessed against a set of criteria including: aid effectiveness and coherence with country ownership principles, development impact (new or improved access to electricity and energy services, jobs creation etc.), additionality (meaning the need of the support</li> </ul>	<ul style="list-style-type: none"> <li>ElectriFI eligibility criteria, website, 2017</li> <li>ElectriFi leaflet</li> </ul>	More than satisfactory by design, but no

Summary response		Sources of information	Quality of evidence
	requested), neutrality (meaning avoidance of market distortion), replicability and scaling-up potential and compliance with environmental, social and fiscal standards.		operational evidence yet
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>For most of the initiatives - and particularly those that target public sector interventions - there is more than satisfactory or strong evidence that the EU policy agenda reflected the key SE issues in partner countries and took account of support by other development partners.</li> </ul>			
<b>I-2.1.2 Policy messages were targeted at enabling improved access to modern affordable and clean energy, improved energy efficiency, and increase in renewable energy.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>The NIPS RIPS and action fiches examined all targeted policy messages to be consistent with the EU's Agenda for Change (2011) stating that in energy, the EU should offer technology and expertise as well as development funding, and should focus on three main challenges: price volatility and energy security; climate change, including access to low carbon technologies; and access to secure, affordable, clean and sustainable energy services, with reference to UN High Level Group on Sustainable Energy for All.</li> </ul>	<ul style="list-style-type: none"> <li>NIPS RIPS and action fiches</li> </ul>	Strong
Geographic support - budget support	<ul style="list-style-type: none"> <li>As mentioned under I-2.1.1. the EC methodological Note provided guidance on SE budget support design with a focus on access to energy and renewable energy but was weaker on energy efficiency.</li> <li>The Rwanda SRC stated that the Government of Rwanda had subscribed to SE4All and its objectives and had developed the SE4ALL Action Agenda reflecting that the EU's policy messages were aligned therewith.</li> <li>In Vietnam, the SE4ALL TAF made a detailed report issued in October 2015 Assessing Energy Policies with a specific emphasis on sub-sector policies related to RE, EE, and access in rural areas as well as power market reform; the report identified critical issues in the sector (such as low quality of rural electricity services, low penetration of RE technologies, and the absence of structured information).</li> <li>Also in Vietnam, the SRC Action Document described the programme on electricity supply to rural, mountainous and island areas over the 2013 – 2020 period across selected provinces, contributing to the alleviation of poverty in Vietnam and to sustainable and inclusive growth by promoting availability and quality electricity services in rural areas.</li> </ul>	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> <li>Sector Reform Contract to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities. CRIS number: FED/2015/38107</li> <li>Intermediate Report: Access to Energy Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RES, EE, ACE in rural area and power market reform, October 2015.</li> <li>Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
	Areas of Vietnam. CRIS number: 2015/037-972	
<p>Other initiatives</p> <p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>All JDs in the sample made reference to SE4ALL and some JDs to the specific SE4ALL goals.                             <ul style="list-style-type: none"> <li>Some JDs very explicitly linked follow-up action to SE4ALL – for instance, the Uganda JD in para 17.c committed the EU, Germany and France to help identify and bring forward potential energy projects that could be financed with assistance of development partners to achieve all objectives of the SE4ALL initiative.</li> <li>The Nigeria JD stated in para 14 that the recently prepared SE4ALL action agenda and other programming documents committing other donors “will constitute an indicative road map for the reinforced cooperation...”</li> </ul> </li> <li>However, it was surprising that there was so limited explicit reference to the goals of SDG#7 in the sample JDs.                             <ul style="list-style-type: none"> <li>The only JD in the sample signed after the SDG Summit in September 2015, which made specific reference to SDG#7, is the CARIFORUM JD</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Strong
<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>A series of concrete, and measurable political targets (the 2020 Targets) was agreed by EU and African ministers at the AEEP’s First High-Level Meeting in 2010 in Vienna:</li> </ul> 	<ul style="list-style-type: none"> <li>AEEP status report update 2016 <a href="https://www.africa-energy.com/sites/default/files/AEEP-2016-final-web.pdf">https://www.africa-energy.com/sites/default/files/AEEP-2016-final-web.pdf</a></li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The AEEP Status Report update was launched at the AEEP's Second Stakeholder Forum held in Milan, Italy in May 2016. The report noted the critical issue of whether, following nearly a decade of growth in the African energy industries, the AEEP's political targets were still relevant in developing sustainable energy systems. For instance, the AEEP Power Project Database showed that solar power capacity installed since the 2010 baseline already far exceeded the AEEP 2020 Political Target of adding 500MW.</li> <li>The AEEP Steering Group has recently asked the AEEP to develop different options for the future of the partnership. This will ensure the continued relevance of the AEEP and value proposition vis-à-vis the increasing number of players in the energy sector and in climate change in Africa.</li> <li>As was stated by AEEP in its 2016 status report that a review of the AEEP 2020 targets set in 2010 would be undertaken by the AEEP during 2016–2017. This review would respond to developments in the sector and align with predominant international targets such as the Africa Renewable Energy Initiative (AREI) targets, SE4ALL and SDG7, but the evidence of this review was not found.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> <li>AEEP Success Stories Report <a href="http://www.euei-pdf.org/sites/default/files/field_publication_file/aep-success-stories_en.pdf">http://www.euei-pdf.org/sites/default/files/field_publication_file/aep-success-stories_en.pdf</a></li> </ul>	
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>SEADS provided advisory services for the drafting and/or implementation of energy policies, regulations, laws and strategies.</li> <li>For example: Uganda was selected as one of the SE4ALL “early movers”. In May 2012, SEADS undertook the first SE4ALL Technical Assistance Mission (TAM) in Uganda, building upon the outcome of the EC-led High-Level Mission that had taken place in April 2012.</li> </ul>	<ul style="list-style-type: none"> <li>SEADS web brochure <a href="http://www.euei-pdf.org/sites/default/files/field_publication_file/160718_seads_broschuere_en_rz_06_web.pdf">http://www.euei-pdf.org/sites/default/files/field_publication_file/160718_seads_broschuere_en_rz_06_web.pdf</a></li> </ul>	
<p><u>TAF:</u></p> <ul style="list-style-type: none"> <li>In order to foster the development of the energy sector in Africa, the EU encouraged comprehensive sector reforms, conducive policies as well as regulatory frameworks which were crucial to and went hand in hand with the creation of an enabling environment for private investments.</li> <li>This was the reason why the EU launched TAF, to assist partner countries in fine tuning their energy policies and regulatory frameworks to allow for increased investments in the energy sector. It supported countries committed to reaching the SE4ALL objectives, in particular those who selected energy not only as one of the priority areas of their national policy agenda, but also chose energy as a focal sector in their bilateral cooperation with the EU for the period 2014-2020.</li> <li>Key TAF objectives included: <ul style="list-style-type: none"> <li>Accelerate and implement positively, efficiently and effectively sector reform policies on access to sustainable energy, energy efficiency and energy supplies; and</li> </ul> </li> </ul>	<p>Empowering Development - Delivering results in the Decade of Sustainable Energy for All <a href="https://webgate.ec.europa.eu/multi-site/devco/sites/devco/files/energy-booklet-relu_en.pdf">https://webgate.ec.europa.eu/multi-site/devco/sites/devco/files/energy-booklet-relu_en.pdf</a></p>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ Facilitate the implementation of the investment projects needed to meet the overall SE4All objective of making modern energy services accessible to all.</li> </ul>		
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• RECP contributed directly to energy and climate policy objectives in the context of the SDGs and the Paris Climate Agreement (incl. iNDC). It promoted the transformation to sustainable energy systems, and it contributed tangible results and enhanced traction to initiatives such as AREI, SE4All, GCF and the AEEP.</li> <li>• RECP supported renewable energy project development and promoted a conducive enabling environment, promoting the energy transition in the partner countries, and leading to accelerated investment in renewable energy projects and market development in Africa.</li> </ul>	<ul style="list-style-type: none"> <li>• RECP Fact Sheet</li> </ul>	More than satisfactory (by design)
<p><u>EU-ACP Energy Facility:</u></p> <ul style="list-style-type: none"> <li>• The EF projects aimed at improving and increasing access to modern, affordable and sustainable energy services for the poor living in rural and peri-urban areas in ACP countries. The ACP-EU Energy Facility was first financed within the 9th EDF with EUR220 million for the period 2006–2009. Following the successful implementation of these funds, it was decided to re-finance the Energy Facility under the 10th EDF with EUR200 million for the period 2009–2013. The Energy Facility was one of the instruments implementing the Africa-EU Energy Partnership, which was part of the 2011–2013 Joint Africa-EU Strategy.</li> </ul>	<ul style="list-style-type: none"> <li>• The ACP-EU Energy Facility Improving access to energy services for the poor in rural and peri-urban areas: <a href="https://ec.europa.eu/europeaid/sites/devco/files/publication-acp-eu-energy-facility-improving-access-2012_en.pdf">https://ec.europa.eu/europeaid/sites/devco/files/publication-acp-eu-energy-facility-improving-access-2012_en.pdf</a></li> </ul>	Strong by design
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending found that with blending projects, European IFIs and the EU supported four broad policy objectives: infrastructure support for three main sectors (energy, transport, water &amp; sanitation) to support economic growth; climate related objectives; private sector development and access to finance – by banking the un-banked and boosting financial resources for special schemes e.g. energy efficiency –; and, selectively, some of the MDGs. The portfolio of blending projects examined in depth had generally well reflected these high-level policy objectives set for all facilities.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• Under Pillar 1 Energy, the GEEREF's Impact Methodology from May 2015 specified that: <ul style="list-style-type: none"> <li>○ Eligibility Criteria included the percentage of RE or EE infrastructure projects (excluding cleantech companies) in the portfolio of GEEREF funds that generate RE or improve EE in the target regions (typically 100%).</li> <li>○ Impact Criteria comprised installed capacity (the actual amount of RE generating capacity operational by financial year end and an estimate for the total amount of generating capacity expected to be operational on completion of the project (in MW)); total electricity produced (the actual amount of RE generated in the financial year reported as well as an estimate for the total amount of RE generated over the lifetime</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Investment Strategy: <a href="http://geeref.com/about/investment-strategy.html">http://geeref.com/about/investment-strategy.html</a></li> <li>• GEEREF Impact Methodology May 2015: <a href="http://geeref.com/assets/documents/GEEREF%20Impact%20Methodology%20June%202016.pdf">http://geeref.com/assets/documents/GEEREF%20Impact%20Methodology%20June%202016.pdf</a></li> </ul>	Strong



Summary response	Sources of information	Quality of evidence
<p>of the asset (in MWh)); total EE improvement (the actual amount of energy consumption reduced in the financial year reported as well as an estimate for the total amount of energy consumption reduced over the lifetime of the asset (in MWh)).</p> <ul style="list-style-type: none"> <li>○ Eligibility Criteria included off-grid access (the increase of electrification and of energy supply in communities with previously poor energy access, specifically the percentage of investments in energy generation in off-grid regions where the plant is not connected to a transmission grid); under-electrified region (the increase of electrification and of energy supply in communities with previously poor energy access, specifically the percentage of investments in energy generation in an under-electrified region, defined as those where less than 75 percent of the population is connected to electricity), and LDC (the increase of electrification and of energy supply in communities with previously poor energy access, specifically the percentage of investments in energy generation in a least developed country)</li> <li>● GEEREF's Investment Strategy technological scope focused on investments in specialist funds developing small to medium-sized projects in renewable energy – including small hydro, solar, wind, biomass and geothermal; and energy efficiency – including waste heat recovery, energy management in buildings, co-generation of heat and power, energy storage and smart grids.</li> <li>● There is clear evidence that the above-cited criteria targeted access, RE and EE goals.</li> </ul>	<ul style="list-style-type: none"> <li>● EIB's Environmental and Social Practices Handbook: <a href="http://www.eib.org/attachments/strategies/environmental_and_social_practices_handbook_en.pdf">http://www.eib.org/attachments/strategies/environmental_and_social_practices_handbook_en.pdf</a></li> <li>● GEEREF Impact Report 2015: <a href="http://geeref.com/assets/documents/GEEREF%20IMPACT%20REPORT%202015_FINAL%20final_public.pdf">http://geeref.com/assets/documents/GEEREF%20IMPACT%20REPORT%202015_FINAL%20final_public.pdf</a></li> </ul>	
<p><u>EU-EDFI-PSDF:</u></p> <ul style="list-style-type: none"> <li>● The EU-EDFI Private Sector Development Facility by design contributed to poverty reduction and economic development in Sub-Saharan Africa by promoting private sector investments and providing additional dedicated financial resources to African countries.</li> </ul>	<ul style="list-style-type: none"> <li>● Catalysing private engagement and resources for development - the EU's role <a href="http://www.un.org/esa/ffd/wp-content/uploads/sites/2/2015/10/PIbooklet_final_web_lower.pdf">http://www.un.org/esa/ffd/wp-content/uploads/sites/2/2015/10/PIbooklet_final_web_lower.pdf</a></li> </ul>	Indicative but not conclusive and only by design as no operational evidence was yet available
<p><u>ElectriFI:</u></p> <ul style="list-style-type: none"> <li>● According to ElectriFI's core investment principles, ElectriFI encouraged Electricity generation from renewable energy sources. All renewable technologies (excluding first generation biofuels) were eligible. Combining renewable with conventional generation could be considered in exceptional cases if indispensable for the stability of the system.</li> </ul>	<ul style="list-style-type: none"> <li>● ElectriFI's core investment principles/ ElectriFI website</li> </ul>	More than satisfactory by design
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>● There is mostly strong evidence that EU SE initiatives targeted policy messages at enabling improved access to modern affordable and clean energy, improved energy efficiency, and increase in renewable energy.</li> <li>● This targeting was facilitated by the EU's Agenda for Change and other policy documents and guidelines that aligned to the goals of SE4ALL and the later SDG 7.</li> </ul>		

Summary response	Sources of information	Quality of evidence	
I-2.1.3 EU promoted sound policy messages for SE.			
Geographic support - project support	<ul style="list-style-type: none"> <li>The NIPS RIPS and action fiches that were examined all showed evidence of promoting sound policy messages with emphasis on pro-poor, gender-sensitive and environment/climate friendly cross-cutting issues while promoting regulatory reforms, often with a focus on improved information and transparency and transformational change.</li> </ul>	<ul style="list-style-type: none"> <li>NIPS RIPS action fiches</li> </ul>	Strong
Geographic support - budget support	<ul style="list-style-type: none"> <li>The Methodological Note emphasised key principles for SRCs, including preparation and implementation of reforms with the final objective of improved access to modern energy services, particular to the poor, regarding sustainable energy policy; supporting to the implementation of energy sector policies including, where relevant, financial instruments supporting the involvement of the private sector as well as of local communities; and supporting effective sector governance and institutional arrangements including regulations and control of the different subsectors (on grid and off grid electricity, biomass, oil, gas...) as well as their utilisation (energy efficiency). These principles reflected sound SE policy messages and there was further, detailed guidance in the total of 81 guiding questions.</li> </ul>	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016</li> </ul>	Strong
Other initiatives	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>The EU Agenda for Change set out sound policy messages for SE (generally, and more specifically in Section 3.3 last three paras). All the sample JDs were found to promote sound policy messages for SE, since JDs follow a similar template format where one paragraph makes specific reference to the EU Agenda for Change, for example: <ul style="list-style-type: none"> <li>Uganda JD para 7, Nigeria para 6, Rwanda para 4, Benin para 4 referred to EU's Programme pour le Chancement, in French), CARIFORUM para 9.</li> </ul> </li> <li>Further, as noted under I-2.1.2, all JDs in the sample made reference to SE4ALL thus reflecting sound SE policy messages.</li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Strong
	<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>As a service line under EUEI PDF AEEP promoted sustainable energy for equitable development by facilitating energy dialogue and knowledge transfer; advising partners to create enabling environments for sustainable energy solutions; supporting the development of sustainable energy markets; conducting and promotes research, innovation and capacity development. This supported the achievement of universal access to sustainable energy, thereby contributing to addressing global economic and social development challenges including climate change.</li> <li>AEEP organized a series of dialogue fora in Africa and Europe which facilitated business to business partnerships and foreign investment with an emphasis on the viewpoints of non-state-actors, the standing of civil society and the strengthening of industry associations in the national energy sector.</li> </ul>	<ul style="list-style-type: none"> <li>AEEP Success Stories, May 2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• AEEP also mainstreamed climate change issues into energy advisory services, for instance, by organising cross-sector discussions (e.g. at the COP22)</li> <li>• The AEEP Steering Group asked the AEEP to develop different options for the future of the partnership. This would ensure the continued relevance of the AEEP and value proposition vis-à-vis the increasing number of players in the energy sector and in climate change in Africa – these options were however not available for the evaluation team to assess.</li> <li>• The authors of the Results Report found that project documentation provided to the team did not contain explicit gender mainstreaming activities.</li> <li>• On climate issues, the Results report noted that despite the shortcoming of not being able to produce concrete numerical data, the nature of the EUEI projects and their positive results on renewable energy expansion and building of critical institutions let the authors conclude that they must have had positive effects on climate protection as well, at least indirectly. This was confirmed by some of the interviews carried out in the context of the case studies.</li> <li>• The Synthesis Report of the independent evaluation of selected EUEI PDF activities noted that one of recommendation from the EUEI PDF Governing Board was that, in external evaluations, qualitative indicators were considered such as e.g. the integration of cross-cutting issues in the policy document (gender equality, environmental and climate sustainability, etc.) EUEI PDF would integrate these propositions into its M&amp;E System.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> <li>• EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> <li>• Independent Evaluation of Four EUEI PDF Activities, Synthesis Report March 2013 By Júlio Castro</li> </ul>	
<p><u>SEADS:</u></p> <p>See under AEEP above-similar findings; SEADS also a service line under EUEI PDF.</p>		Strong
<p><u>TAF:</u></p> <ul style="list-style-type: none"> <li>• The scoring criteria for TAF Window 1 grants included: <ul style="list-style-type: none"> <li>○ Social Development Impact: e.g., direct impact on beneficiaries currently below the poverty level; targeted programs, e.g., affordable services, gender, housing, indigenous populations</li> <li>○ Economic Development Impact: e.g., impact on the local/national economy, capital markets, business environment, renewable resources, competition</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of TAF, Part 1, Cambridge Economic Policy Associates (CEPA), April 2016</li> </ul>	Strong
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• See under AEEP above-similar findings; RECP also a service line under EUEI PDF.</li> </ul>		Strong
<p><u>EU-ACP Energy Facility:</u></p> <ul style="list-style-type: none"> <li>• The Communication on the EF stated in Section 6.1 key Principles: The Energy Facility should be directed towards the achievement of the WSSD and MDG targets and should concentrate its activities in those ACP countries which already have a sound national energy policy or those</li> </ul>	<ul style="list-style-type: none"> <li>• COM(2004) 711 final, Brussels, 26.10.2004</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<p>which are strongly committed to developing such a policy, based on good governance principles and as part of a Poverty Reduction Strategy or similar. The Energy Facility would, among other things, assist countries to establish their institutional and regulatory framework and to attract additional financial resources for public-private partnerships.</p>		
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The time period 2007-2014 covered by the blending evaluation pre-dates the Paris Declaration on climate change, but statistical analysis (p.45) of the OECD DAC Rio markers on climate change mitigation and climate change adaptation made for all EU projects approved during the period 2007-2014 in the 13 countries visited by evaluation team showed that blending projects targeted more climate change adaptation and climate change mitigation than non-blending projects at design stage, and that blending projects also put more emphasis on climate change mitigation than on climate change adaptation (55% of the blending projects considered climate change mitigation as a significant or main objective compared to 6% of the non-blending projects). The Evaluation also found (p.48) that until end 2013, blending mechanisms had only lightly emphasized poverty-related challenges. This changed with the guidance framework improvements since 2014.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	<p>More than satisfactory</p>
<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>• GEEREF's Impact Methodology from May 2015 specified that under Pillar 2 Environment: <ul style="list-style-type: none"> <li>○ Eligibility Criteria include the percentage of investments made in GHG reduction projects (including RE or EE but also others such as forestry and GHG avoidance/destruction projects, typically 100%).</li> <li>○ Impact Criteria comprise total GHG emissions reduced (the actual amount of GHG emissions reduced in the financial year reported as well as an estimate for the total GHG emissions reduced over the lifetime of the asset (in tonnes)).</li> </ul> </li> <li>• Under Pillar 3 Sustainable Development: <ul style="list-style-type: none"> <li>○ Eligibility Criteria include off-grid access (the increase of electrification and of energy supply in communities with previously poor energy access, specifically the percentage of investments in energy generation in off-grid regions where the plant is not connected to a transmission grid); under-electrified region (the increase of electrification and of energy supply in communities with previously poor energy access, specifically the percentage of investments in energy generation in an under-electrified region, defined as those where less than 75 percent of the population is connected to electricity), and LDC (the increase of electrification and of energy supply in communities with previously poor energy access, specifically the percentage of investments in energy generation in a least developed country)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Impact Methodology, May 2015</li> </ul>	<p>Strong</p>

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Impact Criteria also included beneficiary households (the estimated total number of beneficiary households who could potentially gain new and/or improved access to modern, RE supply as the result of the project), beneficiary MSEs (the estimated total number of SMEs with fewer than 250 employees that were involved in the project), permanent and temporary female jobs created (the number of female personnel hired on a full-time or part time basis by the investee project company), etc.</li> <li>• This is assessed as evidence that the above-cited criteria reflected sound SE principles targeting access, RE and EE goals as well as related environmental, social and financial sustainability issues.</li> <li>• The thematic evaluation of the EU support to environment and climate change in third countries (2007-2013), found that: <ul style="list-style-type: none"> <li>○ GEEREF had come to be regarded as one of the world's most specialised risk capital funds in renewable energy and that EU support could potentially lead to the emergence of a new asset class for small-scale RE in developing countries.</li> <li>○ The EU and their other donor partners (Germany and Norway) used their position on the board of GEEREF to bring attention to the need to ensure that the projects benefit more stakeholders than just the risk capital investors and EU insisted on reporting of non-financial benefits.</li> </ul> </li> <li>• This is also evidence that EU promoted sound SE policy messages through GEEREF.</li> </ul>	<ul style="list-style-type: none"> <li>• Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013), final report September 2015.</li> </ul>	
<p><u>EU-EDFI-PSDF:</u></p> <ul style="list-style-type: none"> <li>• In Tanzania, most households in rural areas remained without access to the power grid. To address their needs, the German based company Mobisol offered “pay-as-you go” solar home systems (30-200W) for low-income customers. Customers could pay monthly over a period of three year through mobile banking – allowing people without a bank account to purchase it. After this period of time, they took ownership of the system. Controlled through a web-based database, the system could be analysed in real time.</li> </ul>	<ul style="list-style-type: none"> <li>• European Development Finance Institutions Private Sector Development Facility (EEDF) Interim Report 31 December 2016</li> </ul>	Indicative but not conclusive (only 2 interventions reported)
<p><u>ElectriFi:</u></p> <ul style="list-style-type: none"> <li>• Investments having an important impact and added value in the following areas would be prioritised: (i) improving the life of women and girls; (ii) productive uses of energy; (iii) provision of social services to the bottom of the pyramid (health, education, security, etc.); (iv) actions in the energy-water-food nexus; (v) clean mini-grids with a provision to be connected to the main grid in the future; (vi) green hybridisation of existing systems; (vii) establishment of local mini-utilities; (viii) innovative solutions in terms of organisation, financing or delivery of energy services.</li> </ul>	<ul style="list-style-type: none"> <li>• ElectriFi leaflet</li> </ul>	More than satisfactory (by design)
<b>Summary and analysis of findings for the indicator:</b>		

Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>For most of the initiatives there is more than satisfactory or strong evidence that EU promoted sound policy messages with emphasis on social economic and environmental dimensions of sustainability.</li> </ul>			
<b>JC 2.2 Degree to which there has been SE enabling policy change and reforms in EU partner countries (i.e. evidence of actual commitment to and adoption of enabling policies and regulatory reforms).</b>			
<b>I-2.2.1 Evidence that the key issues in EU policy dialogue and reform studies are addressed in national and regional enabling policy frameworks.</b>			
Geographic support - project support	<ul style="list-style-type: none"> <li>As noted under EQ1 (I-1.1.1 and other indicators) EU interventions were designed to be relevant to and aligned with key policy issues in national and regional enabling policy frameworks, but more evidence was needed to assess how the specific key issues in policy dialogue and policy studies were then further addressed in national and regional policy frameworks.</li> <li>For example, the Project Identification Fiche for the EU Access to Sustainable Energy Programme (EUR 60m) referred to MIP Philippines 2014-2020 and in Section 2.1. Sector Context had a detailed analysis as part of the rationale noting that: "Access to clean energy for the poor and increased investments in renewable energy are important reform areas in the Philippine Development Plan PDP and the Energy Reform Agenda are consistent with the principles of the EU's Agenda for Change, in particular the attainment of the objectives for social inclusion and sustainable economic growth, reduction of global shocks such as climate change, ecosystem and resource degradation, and volatile and escalating energy costs".</li> <li>The country visit to Benin showed that EU policy influence worked well through Sector Group coordination and technical interventions. A number of actors observed that the Energy Facility projects had influenced policy and strategic orientations. The Jatropha study for example demonstrated the risk of an overly ambitious biofuel policy. The EF 105 localities projects demonstrated the potential for grid extension to rural areas to the SBEE.</li> </ul>	<ul style="list-style-type: none"> <li>NIPS RIPS action fiches</li> <li>Philippines Standalone Project Identification Fiche CRIS # 2014/35111</li> </ul> Country visits	Indicative by design but not conclusive
Geographic support - budget support	<ul style="list-style-type: none"> <li>As noted under EQ1 (I-1.1.1 and other indicators) EU budget support interventions were designed to be relevant to and aligned with key policy issues in national and regional enabling policy frameworks, but more evidence was found to be needed to assess how the specific key issues in budget support policy dialogue and related policy studies were then further addressed in national and regional policy frameworks.</li> <li>The EC methodological note on budget support and SE guided the requisite sector analysis and the formulation and implementation of sector reform contracts that supported sector policies and reforms, improving governance and energy service delivery.</li> <li>For example, in Vietnam, the SRC contained summary points of public policy analysis and other analyses undertaken and described how the programme met the needs identified in the EU-Vietnam MIP 2014-2020, was in line with the country priorities as set out in the Vietnam's Socio-Economic Development Plan (2011-2020), the National Energy Development Strategy to 2020 and 2050, and was in line with SDG7. More specifically the proposed programme aimed</li> </ul>	<ul style="list-style-type: none"> <li>NIPS action fiches SRCs</li> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016.</li> <li>Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural</li> </ul>	Indicative by design but not conclusive

Summary response	Sources of information	Quality of evidence	
<p>to: 1) Support the implementation of the national programme on electricity supply to rural, mountainous and island areas 2013-2020; 2) Enhance the governance of the energy sector - in particular by: i) enhancing the transparency and accountability to ensure the sustainability of the sector, and ii) developing an enabling environment for the development of renewable energy in Vietnam. It was also intended to contribute to putting in place the regulatory framework needed to develop Vietnam's commitment to reduce its energy-related GHG missions in the context of Paris Agreement on Climate Change.</p> <ul style="list-style-type: none"> <li>The country visit to Rwanda found that the budget support policy dialogue was weakened as the discussions came after crucial decisions on the development path for the electricity sector. The Government listened to the policy messages being promoted by the EU and other donors but not uncritically and was not inclined to make changes in goals that were already politically set. The Government reacted negatively when strong positions on cooperation were presented unilaterally or as “a fait accompli” and without extensive prior communication. However, there were visible signs that the government had gradually taken into account the more realistic view on targets. A key policy issue apart from high targets had been how to scale up access through solar home systems. For the lowest income households in off-grid rural electrification, the government strategy is to provide solar home systems with a minimum of 3 (LED) lamps and preferably free of charge. The EU, in consensus with other development partners and the private sector, have been advocating for a more gradual phasing of electricity access from Tier 0 to Tier 2 level without distorting market delivery mechanisms. Tier 1 systems would fulfil the needs of many households at a lower cost, thereby enabling access to a larger amount of people. The policy message was well-founded and although there were some positive signs the dialogue had not yet led to a pragmatic solution.</li> </ul>	<p>Areas of Vietnam. CRIS number: 2015/037-972</p>		
<p>Other initiatives</p>	<p><u>Joint Declarations:</u></p> <ul style="list-style-type: none"> <li>All JDs - through the relevant partner Government signature - committed the Government to follow-up actions on key policy change and reform agendas identified in EU policy dialogue leading-up to the signing of the JD.</li> <li>However, since the JD's were not legally binding, and since there was no evidence that the roadmaps for follow-up on signed JDs were prepared, there is little evidence of adoption of agreed policies and regulatory reforms as a result of JDs.</li> </ul> <p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>As an example: The fact that strengthened capacities as well as political dialogue and networking are effective in reaching concrete energy targets was also substantiated by those respondents who could give an example of how AEEP triggered developments in the energy sector of their country. The mentioned impacts mainly focused on increased access to energy, increased renewable energy capacity, policy development, regulatory framework, awareness raising and networking. For example, one respondent stated: “AEEP gave a very big support in the development of Renewable Energy Sector in Uganda mainly by supporting Capacity</li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> <li>From EUEI PDF Results Report 2004-2015 energypedia consult GmbH:</li> </ul>	<p>More than satisfactory by design, but little evidence in operational practice</p>

Summary response	Sources of information	Quality of evidence
<p>Building and sensitization through private sector.” Another stated: “Debate on Re-FiTs widened and has yielded concrete action on closed grids and on-grid connection of solar power – e.g. the 10MW solar plant in Soroti (Uganda).”</p> <ul style="list-style-type: none"> <li>• “AEEP has done an excellent job in the promotion of energy efficiency and renewable energy policy development in Africa. It has helped the understanding of energy issues among policy makers at the high level.”</li> </ul>		More than satisfactory
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>• The Results Report showed that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners.</li> <li>• But: Overall, the outcome analysis of SEADS projects revealed mixed results. While many projects scored at least positively on the developed points system, the low-performing group of unsatisfactory and partially satisfactory groups should not be neglected. However, this finding was in line with success ratings of similar programmes. While the study focused on identifying what happened after the closure of projects, the reasons for good or poor outcome achievement remained largely unstudied.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> <li>• From EUEI PDF Results Report 2004-2015 energypedia consult GmbH:</li> </ul>	Indicative but not conclusive
<p><u>TAF:</u></p> <ul style="list-style-type: none"> <li>• Policy and reform: Following a comprehensive review of the institutional set-up in each country, TAF was designed to assist the national stakeholders in defining a coherent way forward as regards the required national action plans, legislation and regulations and in creating enabling policies and regulatory frameworks as tools for advancing the development agenda.</li> <li>• “Over the evaluation period, the TAF has supported the PIDG Facilities with 94 grants across a range of sectors and countries, with total committed funds reaching over US\$30m. Although a large number of grants have been provided, the amount of funding has historically been very small in absolute terms and relative to the size of infrastructure-related investments made by the other PIDG Facilities. In line with this, the TAF’s impact, relative to other PPFs and financing institutions in the infrastructure space, has been small. However, the TAF was never designed to have a transformational impact in the sector. Instead its role has always been to support the other PIDG Facilities in progressing their transactions in challenging environments; the TAF’s impact should therefore be assessed relative to this objective”.</li> <li>• TAF-WCA contributed to its overall objectives given that it contributed to improved policy and regulatory framework conditions enabling increased investment in energy access, RE and EE. On the other hand, the absence of quantitative indicators to measure this contribution did not help to assess its effectiveness.</li> </ul>	<ul style="list-style-type: none"> <li>• TAF flyer</li> <li>• Evaluation of TAF, Part 1, Cambridge Economic Policy Associates (CEPA), April 2016</li> <li>• TAF WCA ROM Report C-335152 (25 November 2016)</li> </ul>	Weak
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• The Results Report showed that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners.</li> <li>• The country visit to Ethiopia found no strong evidence of the contribution of network platforms to the policy environment (e.g. the EUEI PDF service line AEEP study on the inventory of</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> <li>• Country visit</li> </ul>	



Summary response		Sources of information	Quality of evidence
	<p>sustainable energy projects in Africa was not noted by interviewees, the EUEI PDF service line SEADS had mixed results, the biomass energy strategy study was rated unsatisfactory, while capacity-building for off-grid rural electrification planning was rated very positive).</p> <ul style="list-style-type: none"> <li>In Liberia, no clear contribution of EUEI and AEEP were found and it was noted that regional platforms were not seen as efficient in securing political and policy dialogue, since the nature of the relationship was biased toward country partner capacity (and interest). In some cases, regional platforms-led initiatives had even resulted in duplication.</li> </ul>		Indicative but not conclusive
	<p><u>EU-ACP Energy Facility:</u></p> <ul style="list-style-type: none"> <li>The Commission stated that the fact that most of the projects examined were considered by the Court successful with good sustainability prospects was a good achievement given the difficult context of implementation of those projects. For the quarter of projects which had not delivered expected results, the Commission mentioned unfavourable circumstances and insufficient local capacities in the remit of the beneficiaries which challenged the initial design and implementation of the projects but the Commission acknowledged there was room for improvement for the monitoring of the projects in the field. In the light of its findings, the Audit report made a number of recommendations in order to select projects more rigorously, strengthen projects' monitoring and increase their sustainability prospects.</li> </ul>	<ul style="list-style-type: none"> <li>European Parliament Committee on Budgetary Control. ECA Special Report N° 15/2015 (2014 Discharge) on "EU Energy Facility support for renewable energy in East Africa". DT\1077556EN.doc 18.11.2015</li> </ul>	Indicative but not conclusive
	<p><u>GEEREF:</u></p> <ul style="list-style-type: none"> <li>The thematic evaluation of the EU support to environment and climate change in third countries (2007-2013), found that by introducing better procurement and feasibility study practices, GEEREF was potentially having a wider impact and that ultimately, if the sector as a whole adopted improved feasibility assessment and implementation practices, there would be widespread replication of higher-quality investment that would yield social, economic and environmental benefits.</li> </ul>	<ul style="list-style-type: none"> <li>Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013), final report September 2015.</li> </ul>	Indicative but not conclusive
<b>Summary and analysis of findings for the indicator:</b>			
For most but not all initiatives, key issues raised in EU policy dialogue and reform studies were addressed in national and regional enabling policy frameworks.			
<b>I-2.2.2 Evidence that the policy frameworks that addressed key issues in EU policy dialogue and reform studies were adopted.</b>			
Geographic support	<ul style="list-style-type: none"> <li>In Nigeria, the country visit found that EU addressed policy constraints for off-grid systems through supporting the development of the mini-grid regulations (e.g. specifying how the private sector could engage), and pushed the formulation and adoption of the Renewable Energy and Energy Efficiency Policy (approved). A direct result of the RE and EE policy was that new PPPs for 50 solar plants had been approved. EU also worked at the state level (e.g. in</li> </ul>	<ul style="list-style-type: none"> <li>Selected national and regional policy frameworks and interviews with key stakeholders</li> </ul>	Weak

Summary response	Sources of information	Quality of evidence	
<p>Plateau State) on mini-grid guidelines and RE policies and strategies; the RE policy /Strategy for Plateau State was adopted and published in September 2017.</p> <ul style="list-style-type: none"> <li>• In Cote d'Ivoire, policy dialogue worked best when it was participatory and linked to operational interventions. EU supported the adoption of regulatory reforms through TA and a collaborative formulation process. 8 out of 20 formulated Decrees were adopted. The Zanzan project raised questions on the regulatory and operational framework, and ended-up as a pilot project for community managed operations. The EU policy influence was facilitated by its long in-country presence and trust. EU's active role in DPs coordination, as well as joint-implementation of projects (EIB, AFD and KfW co-financing) also was found to hold potential for further policy influence.</li> <li>• In Benin, EU policy influence worked well through Sector Group coordination and technical interventions. A number of actors have observed that the Energy Facility projects had influenced policy and strategic orientations. The Jatropha study for example demonstrated the risk of an overly ambitious biofuel policy. The EF 105 localities projects demonstrated the potential for grid extension to rural areas to the SBEE.</li> <li>•</li> </ul>			
<p>Other initiatives</p>	<p><u>EUEI PDF service lines:</u></p> <ul style="list-style-type: none"> <li>• The 2013 Independent Evaluation of Four EUEI PDF Activities found that: <ul style="list-style-type: none"> <li>○ <b>Burundi energy strategy and action plan:</b> while the results of the EUEI PDF activity seemed to be very relevant for the country, it took almost two years for the "Lettre Politique" to be approved by the Government. This was due to the fact that the minister changed at the end of project completion and the new minister apparently did not feel any ownership towards the activity. The direct output of the activity, the "Energy Strategy and Action Plan", was validated in the workshop held in November 2010 and the outputs of the EUEI PDF activity were used but it took two years before it finally was recognised as a national directive for the energy sector. A key lesson was therefore that when working in countries with weak ministries of energy and in general with lack of good governance, it should not automatically be assumed that while there is interest of the country and the activity is relevant, that it will also lead to implementation and follow-up. The evaluation found that the beneficiary institution had too little capacity to use and implement the outputs of this activity, and it therefore recommended EUEI PDF to be more proactive in determining the expectations of the direct beneficiaries of its activities.</li> <li>○ <b>GIS-based Support for Implementing Policies and Plans to Increase Access to Energy Services in Ghana:</b> in spite of its national relevance, results and outputs of the EUEI PDF activity were not properly embedded in national and regional institutions. The outcomes were realistic, and the project had been thoroughly embedded and was being used in the beneficiary institution TEC but it</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Independent Evaluation of Four EUEI PDF Activities, Julio Castro March 2013.</li> </ul>	<p>Weak</p>

Summary response	Sources of information	Quality of evidence
<p>underestimated the modelling challenges and the data collection requirements. However, for other institutions in Ghana, such as the Ministry of Energy and the Energy Commission, the results had been introduced but were not used (partly because of insufficient training) and this limited the sustainability of the EUEI PDF activity. A key lesson was therefore that it was not enough to develop tools and models with a (renowned) institution in the country, but EUEI PDF should also be pro-active so that the “official” energy institutions in a country buy-in to the results of the activity.</p>		
<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending found that blending often accompanied sector policy reforms in the beneficiary countries but was not the main contributing factor. And while blended projects generally did not factor into their design explicit policy-related activities or objectives, some policy-related discussions focusing on key reform issues sometimes took place either prior to project approval or during project implementation.</li> <li>• Advisory/capacity building activities often accompanied sector policy reforms in the beneficiary countries but were not the main contributing factor to policy development.</li> <li>• The evaluation, however, further found that the blending projects visited in the field had been overall well aligned or largely aligned with the priority policy objectives of the beneficiary countries. Where leverage on reforms was evident it was usually where the project was linked to the reform support of others – especially the EU (e.g. the project to provide environmental lines of credit for engaging banks in energy transition projects in East Africa) (ENER/Env.Credit lines/REG #43) where the project provided support to the national and regional policy of pursuing small scale renewable and energy efficiency alternatives by improving access to finance for this type of investment. The field visit also found evidence that the project had contributed to the adoption of a standard power purchase agreement through its support to private sector borrowers in their correspondence and dialogue with the ministry of energy.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	<p>Indicative but not conclusive</p>
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>• The indicator is partly confirmed – the evidence to support that policy frameworks that addressed key issues in EU policy dialogue and reform studies were adopted, is mixed.</li> <li>• Apart from budget support operations at country level and to some extent, the EUEI initiatives, the EU did not closely monitor whether national policy frameworks were adjusted to address the key issues raised by EU policy dialogue and reform studies.</li> </ul>		
<p>I-2.2.3 Evidence that partners have committed actions to identify, address and remove SE policy barriers identified in EU SE cooperation through national legislation, strategic development/investment plans, and local regulatory frameworks such as by-laws.</p>		

Summary response		Sources of information	Quality of evidence
Geographic support	<ul style="list-style-type: none"> <li>• See evidence under I-2.2.2 above</li> </ul>	<ul style="list-style-type: none"> <li>• Selected national and regional policy frameworks and interviews with key stakeholders</li> </ul>	Weak
Other initiatives	<p><u>EUEI PDF service lines:</u></p> <ul style="list-style-type: none"> <li>• For example, the 2013 Independent Evaluation of Four EUEI PDF Activities found that in the case of the SADC Regional Energy Access Strategy and Action Plan, the SADC Secretariat had little influence and no enforcement power on the member states. As energy access was primarily found to be a national responsibility and very country specific, there was doubt whether regional work - in the present case a strategy and action plan - could contribute to the achievement of greater energy access at national level. Regional organisations might not be the most adequate “carrier” for the implementation, follow-up or dissemination of some kinds of meta-issues or policy aspects. It was further found that the use and utility of the output of the EUEI PDF activity had been limited. The member states did not implement any of the recommendations that were issued by SADC Energy Ministers meeting in Luanda, and this in fact impeded the SADC Secretariat to follow-up on the usage of the output. The expected indirect outcomes given in the Energy Access document had not been achieved, because none of the measurable outputs had been fulfilled. While the EUEI PDF activity had a follow-up in the SADC Energy Ministers meeting in Luanda in 2010, nothing had been done with the output and this was reminded and discussed in the Energy Ministers Meeting in 2011, but again no follow-up was given to any of the recommendations of the output and of the previous ministers’ conference. SADC follow-up or implementation had been severely hampered by the lack of resources.</li> </ul>	<ul style="list-style-type: none"> <li>• Independent Evaluation of Four EUEI PDF Activities, Julio Castro March 2013.</li> </ul>	Weak
	<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending found strong evidence that blended projects often provided TA/institutional strengthening to support the development of the legal and regulatory framework of beneficiary countries and/or to improve the capacity and efficiency of national/regional authorities or restructure utility companies.</li> <li>• The evaluation further found that when blending succeeded in resolving the specific challenge it was used for, adding a grant helped for example to co-finance the rehabilitation and/or extension of public infrastructure for example rehabilitation of the transnational backbone electric network infrastructure in Benin and Togo (Benin-Togo Power Rehabilitation project LCO component).</li> <li>• The evaluation further found more than satisfactory evidence that the TA provided often led to improvements in the legal and regulatory framework of the beneficiary countries or in the management of the sector, but that reform processes were generally lengthy and political upheavals led to long delays and poor implementation of reforms.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>The evaluation found that reforms in the energy sector (e.g. in West Africa) injected competition into the power markets, led to increased investments in previously neglected systems, and encouraged regional cooperation.</li> </ul>		
	<p><u>ElectriFI:</u></p> <ul style="list-style-type: none"> <li>The background for ElectriFI was that a major barrier to investments in access to energy in developing countries was the lack of access of seed, mid and long-term capital. In immature market conditions, this was aggravated by (1) the reluctance of commercial banks to provide suitable lending terms that respond to the needs of investors and (2) the existing capacity limitations in terms of structuring and bringing projects to financial close. A support scheme that bridges the gaps in structuring and financing was therefore necessary to stimulate the private sector, mobilize financiers and have a catalytic impact on economic growth.</li> <li>ElectriFI funding was designed to provide interim financing solutions to help projects overcome obstacles or otherwise reach a sufficiently mature stage where the private sector can take over. ElectriFI would not compete with other funders but seek to collaborate with and complement others.</li> </ul>	<ul style="list-style-type: none"> <li>ElectriFI Information Sheet October 2016</li> </ul>	
<p><b>Summary and analysis of findings for the indicator:</b></p> <ul style="list-style-type: none"> <li>This indicator is partially confirmed - the evidence to confirm that partners have committed actions to identify, address and remove SE policy barriers identified in EU SE cooperation is mixed.</li> <li>The EU and its development partners however, did not sufficiently closely monitor the degree to which partners committed actions to identify, address and remove SE policy barriers identified in EU SE cooperation.</li> </ul>			
<p>I-2.2.4 The extent to which the policies and reforms supported by the EU and then adopted and implemented have brought about the intended results in practice.</p>			
Geographic support	<ul style="list-style-type: none"> <li>See examples under I-2.2.2 above.</li> </ul>	<ul style="list-style-type: none"> <li>Selected national and regional policy frameworks and interviews with key stakeholders during country visits</li> </ul>	Weak
Other initiatives	<p><u>EUEI PDF service lines:</u></p> <ul style="list-style-type: none"> <li>A positive example was the 2013 independent evaluation of Independent Evaluation of Four EUEI PDF Activities, which found that in the case of Secretariat of the Pacific Commission (SPC) – Development of Energy Indicators and Support to the Regional Implementation Plan - without doubt the activity was very relevant for the country/region; however, the results of the EUEI PDF activity had not yet been integrated in all beneficiary Pacific islands. The activity had a high priority for SPC who had developed in-house capacity and tools and was using them. The activity had achieved all its objectives and the outcomes were being used and implemented throughout the Pacific Islands region. An indicator for sustainability was the fact</li> </ul>	<ul style="list-style-type: none"> <li>Independent Evaluation of Four EUEI PDF Activities, Julio Castro March 2013.</li> </ul>	Indicative but not conclusive

Summary response		Sources of information	Quality of evidence
	<p>that regional activities followed up on the use of the energy security indicators. A key lesson was that sustainability of EUEI PDF activities could be enhanced when successful projects were followed by the development of in-house capacity of “downstream” organisations, i.e., organisations that are secondary beneficiaries of the outcomes and recommendations of the EUEI PDF activity.</p>		
	<p><u>Blending:</u></p> <ul style="list-style-type: none"> <li>• The Evaluation of Blending (p.29) found that in both energy and water sectors the blending projects had supported the achievement of policy objectives and reforms of the EU budget support operations and the project support that was provided after budget support was stopped. The field visits, supported by independent reviews, noted that blending had contributed to reforms in the energy and water sectors, which demonstrated that targets for renewable energy were feasible and the water projects had demonstrated that a decentralised implementation was feasible. In both cases this led to stronger national commitment to reform goals. It also paved the way in the renewable energy sector for a gradual transition from pure grants, to blending, to commercially based financing.</li> <li>• The Evaluation of Blending further found (p.30) that where IFIs had in-country offices and supported the same sector over a long period, the contribution to policy reforms had been effective. For example, example, EIB’s and AFD’s in-house expertise in regional infrastructure and familiarity with the energy issues affecting West Africa were explanatory factors behind the series of interventions that had policy reform effects. As an example, it was found that the revised West Africa Power Pooling WAPP master plan (supported by blending TA) provided a long-term vision on a regional electricity network in West-Africa. It was found to be a key building stone for any electricity/energy policy at national and regional levels. Similarly, the operationalization of a regional West-African regulatory authority (ERERA, supported by blending TA) was a key building stone for any electricity/energy policy at national and regional levels and created the conditions for a regional electricity market, supporting national regulators and others.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of Blending, Final Report, September 2016</li> </ul>	Indicative but not conclusive
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>• This indicator is partly confirmed. There is so far weak evidence that policies and reforms supported by the EU and then adopted and implemented have brought about the intended results in practice.</li> </ul>			
<b>JC 2.3 Degree to which network platforms, budget support dialogue, and joint declarations have contributed to enabling policy and reform.</b>			
<b>I-2.3.1 Evidence of the contribution of network platforms (NPs) to the policy environment (e.g. AEEP).</b>			
NPs	<p><u>AEEP:</u></p> <ul style="list-style-type: none"> <li>• Through the “Abidjan Processes”, a series of regional coordination events were held in Côte d’Ivoire, that started in 2014 with the adoption of the SE4ALL Action Agenda template prepared by the SE4ALL Africa Hub as the common methodology to establish the long-term</li> </ul>		

Summary response	Sources of information	Quality of evidence
<p>objectives for the sector, and its follow-up. As a result of this process, each country of the region prepared a set of interconnected reports and policy documents through comprehensive stakeholder consultations and strong government leadership: National Renewable Energy Action Plans (NREAPS); National Energy Efficiency Action Plans (NEAPS); SE4ALL Action Agenda. Most of the SE4All Action Agendas and the National Plans on Renewable Energies and Energy Efficiency were completed and discussions were advanced on developing a regionally coordinated approach to the SE4ALL Investment Prospectus development in collaboration with the SE4ALL Africa Hub and the EC.</p> <ul style="list-style-type: none"> <li>• The approach taken by ECOWAS to align SE4ALLI with the implementation of the regional policies on renewable energy (EREP) and on energy efficiency (EEEEP) was adopted by the 43rd Ordinary Session of the Conference of Heads of State and Government of ECOWAS, held in Nigeria in July 2013. The implementation of the SE4ALL country actions was coordinated by ECREEE who closely worked with the ECOWAS Member States and provided technical assistance supported by a team of national and international experts. Regional “concerted actions” supported the national processes.</li> <li>• The Kenya example: Kenya joined the SE4ALL initiative in 2012 and finalized its national Action Agenda (AA) and Investment Prospectus (IP) in late 2015, with the support of the SE4ALL Africa Hub. The Kenya AA and IP were developed through an extensive consultation process with all relevant stakeholders (relevant Ministries and Government entities, development partners, private sector and civil society representatives) in the Kenyan energy sector. Kenya put in place an institutional framework to drive the country’s SE4ALL agenda, led by the Ministry of Energy and Petroleum (MoEP) and coordinated through the Country Focal Point (CFP) who was appointed within the Directorate of Renewable Energy in the MoEP.</li> <li>• The AEEP “mapping study” (Mapping of Energy Initiatives and Programs in Africa, 2016) for example, was mentioned by many interview partners as a very helpful instrument that filled a gap and improved coordination. The study identified and described more than 50 initiatives operating in the energy (and climate) sector in Africa and would be regularly updated through an interactive web portal. The SE4ALL Africa Hub emphasized the importance of the mapping study as it facilitated stronger coordination and planning between actors and enhances the visibility of available opportunities and committed to its continuation. The Review found it highly likely that this study would be actively used and regularly updated for several years to come – however during the country visits under the present evaluation, no evidence of this was found.</li> <li>• The results report found that <ul style="list-style-type: none"> <li>○ “Most people praise the relevance, uniqueness and effectiveness of AEEP, ask for its continuation and thank the AEEP team for their good and helpful work. Some selected responses may illustrate this: i) “The partnership has created an effective</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• AEEP Mapping of Energy Initiatives and Programs in Africa, May 2016</li> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	<p>More than satisfactory</p>

Summary response	Sources of information	Quality of evidence
<p>platform to discuss, network, learn and develop rich ideas through collaboration at the scale of the continents.” ii) “AEEP has done an excellent job in the promotion of energy efficiency and renewable energy policy development in Africa. It has helped the understanding of energy issues among policy makers at the high level.” iii) “They are flexible to adjust to the requirements and observations of the stakeholders and partners. They are very relevant.” iv) “AEEP events are a great opportunity for continued engagement and advocacy from across Africa and Europe.”</p> <ul style="list-style-type: none"> <li>○ Looking at the overall responses of survey participants, the AEEP was successfully offering a platform for dialogue and networking between different actors. Although there were slightly different views about under- or overrepresented participants groups, one can state in general that people appreciate the events as a great opportunity to find new partners and get useful information for their organization.</li> <li>○ The fact that strengthened capacities as well as political dialogue and networking are effective in reaching concrete energy targets was also substantiated by those respondents who could give an example of how AEEP triggered developments in the energy sector of their country. The mentioned impacts mainly focused on increased access to energy, increased renewable energy capacity, policy development, regulatory framework, awareness raising and networking. For example, one respondent stated: “AEEP gave a very big support in the development of Renewable Energy Sector in Uganda mainly by supporting Capacity Building and sensitization through private sector.” Another one stated: “Debate on Re-FiTs widened and has yielded concrete action on closed grids and on-grid connection of solar power – e.g. the 10MW solar plant in Soroti (Uganda).”</li> </ul> <ul style="list-style-type: none"> <li>● “Dialogue platforms have proved extremely important... this workshop was capacity building for an effective engagement in the energy sector, based on defined mandates.” Hon. David Ebong, Managing Director, Clean Energy Partnership Africa, former Uganda member of parliament.</li> </ul>	<ul style="list-style-type: none"> <li>● EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> </ul>	



Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>AEEP Success Stories report: <a href="http://www.euei-pdf.org/sites/default/files/field_publication_file/aEEP-success-stories_en.pdf">http://www.euei-pdf.org/sites/default/files/field_publication_file/aEEP-success-stories_en.pdf</a></li> </ul>	
	<ul style="list-style-type: none"> <li>EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> </ul>	Strong
<p><u>SEADS:</u></p> <ul style="list-style-type: none"> <li>The Results Report indicated that in most cases the policy processes initiated had been concluded, for example with the adoption of a policy or strategy (at least, 34 cases of adoption and application). Implementation of policies and strategies however, required sufficient and continuous (financial and human) resources to achieve the defined targets. Ensuring that these resources were raised was not part of the short-term advisory services offered. Financial sustainability thus remained a challenge. Some positive examples showed that it can be achieved when the clients are motivated and other suitable funding sources are available: in the case of Madagascar, the SEADS intervention led to a call for proposals for RE projects in seven provinces. The draft of the Regional Renewable Energy Policy for the Economic Community of West African States (ECOWAS) was considered to have contributed to the installation of 28,000 mini-grids. In Belize the Ministry of Public Service, Energy and Public Utilities (MPSEPU) used the SEADS advice on the Off-grid Rural Electrification Strategy and the Sustainable Energy Roadmap for its application to the EC EDF-11 Grant Cycle and acquired EUR 13.5m for its energy sector development.</li> <li>The EUEI PDF had a well-developed M&amp;E system. The SEADS interventions were evaluated 6 and 12 months after their finalization and – for a selected sample of measures – even 18 months later. In comparison to other programmes this procedure represented a distinct advantage and had been actively used for improving service delivery. The “Results Report” showed that the performance of SEADS services had improved over the last 10 years due to the learning processes set in motion by the monitoring system.</li> </ul>		

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Thematic studies, as developed by SEADS, are aimed at providing information which is relevant for many years. Examples for this are: the study on the Productive Use of Energy, the Mini-Grid Policy Toolkit or the Biomass Energy Sector Planning Guide. An external evaluation of the Mini-Grid Policy Toolkit also shows that it has been used by decision makers. In addition, ECREEE recently requested further capacity building in this area.</li> <li>• In a third case study, SEADS had provided capacity building to the Energy Regulatory Commission of Kenya. The commission used the support provided to formulate the Draft Energy Bill and the Draft National Energy Policy for Kenya in 2014. In this case, the authors of the study found it too early to directly attribute increases in RE capacity, EE or energy access to the SEADS interventions. However, impacts of changes in energy generation on climate mitigation were mentioned in the drafts and had already influenced the ongoing political discussion.</li> <li>• The Results report studied 52 SEADS projects completed between 2004 and 2015. Overall, the outcome analysis of SEADS projects revealed mixed results. While many projects scored at least positively on the developed points system, the low-performing group of unsatisfactory and partially satisfactory groups should not be neglected. However, this finding was in line with success ratings of similar programmes. For example, 30% of all lending operations carried out by the World Bank Group between 2006-2016 in the energy and extractives sector received a “moderately unsatisfactory or below” rating. While the study focused on identifying what happened after the closure of projects, the reasons for good or poor outcome achievement remained largely unstudied.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> <li>• EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> </ul>	
<p><u>RECP:</u></p> <ul style="list-style-type: none"> <li>• Action Area 1 – Policy Advisory “Advise governments and regional partners formulating successful policy strategies and action plans”. “Strengthen institutions for policy implementation through capacity and institutional building”.</li> <li>• First Results - Policy Implications from the ElectriFI and RECP Applications: The distribution of applications by project developers provided an indication of which business models were believed to be attractive in which country. While this could be caused by many different factors, the arising pattern allowed for several tentative conclusions: The specific regulatory conditions for certain business models appeared to be the key driving force. For example, the high number of mini-grid and IPP projects proposed in Tanzania reflected the positive perception of the framework in this country. The same was the case for Kenya, Uganda and Zambia for IPP projects. While the overall investment climate did matter, other factors seemed to be more important, as several countries with a relatively low score in the World Bank’s Doing Business Index boasted an over-proportionally large number of projects. Against this background the authors would further investigate what were the key regulatory issues that drive investment, and how do they relate to the overall policy framework.</li> </ul>	<ul style="list-style-type: none"> <li>• RECP flyer</li> <li>• Attracting Private Investment in Africa: Experience from EU Support Instruments</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>The Results Report showed that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners. However, according to the Results Study, some interventions were not successful (20 % did neither achieve the intended nor any additional outcomes). Further analysis was found to be needed to determine if the lack of capacities on the partner side had been the main reason for this. In that case, future interventions should be accompanied more systematically by tailor made capacity building measures. RECP already provided this kind of support.</li> <li>The EUEI PDF sought to cooperate with existing and new instruments and projects – at international level as well as in individual partner countries. A positive example was the cooperation between RECP and ElectriFI: ElectriFI received direct operational support from RECP. The EUEI PDF had also actively sought to establish cooperation with other international actors, e.g. ESMAP, IRENA. Some interview partners mentioned a certain competition between the EUEI PDF and the World Bank's ESMAP programme. There were also complementarities between the implementation of the EUEI PDF and EnDev.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Results Report 2004-2015 energypedia consult GmbH</li> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report, June 2017</li> </ul>	
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>Overall, there is more than satisfactory evidence that network platforms contributed to the policy environment at the partner country, regional and global levels.</li> <li>However, in some cases such as SEADS and RECP further analysis was found to be needed to determine if the lack of capacities on the partner side had been the main reason for cases of unsuccessful interventions.</li> <li>During the country visits several examples were found of the lack of partner capacity being a constraint to enabling policy and reform. This was for example the case in Rwanda, where the capacity of partner organisations had been a bottleneck in identifying, addressing and removing SE policy barriers. The main issues were political messages that had been made in a time of extreme events in the energy sector, but were now difficult to change without “loosing face”.</li> </ul>			
<b>I-2.3.2 Evidence of the contribution of budget support (BS) policy dialogue (PD) to the policy environment.</b>			
Geographic support-budget support	<ul style="list-style-type: none"> <li>The EC methodological note on budget support and sustainable energy (SE) (box, p. 12) cited the example of Rwanda sector BS 2015-2021 and the issue of defining the sector of intervention. It was found that while initial discussions with national authorities focused mainly on electricity, the Government's commitments in the framework of SE4ALL and its Energy Strategy led to the inclusion of RE (biomass) and EE in the scope of interventions. This also had the benefit of strengthening cooperation among different public services in charge of energy and sustainable management of natural resources. Moreover, since SE sector BS was complex, it was found that access to information at an early stage was crucial for constructive policy dialogue.</li> <li>The Rwanda SRC action document mentioned in section 4.2.2. that Complementary support would focus mainly on capacity development for a number of key-institutions of the energy sector order to enable the institutions to deliver their contributions to the successful</li> </ul>	<ul style="list-style-type: none"> <li>European Commission Methodological Note on budget support and sustainable energy, 29.06.2016.</li> </ul>	More than satisfactory, but this is mainly based on design of interventions

Summary response	Sources of information	Quality of evidence
<p>implementation of the Energy Sector Strategic Plan (EESP) and the National Energy Policy (NEP). An EDF financed study had already analysed main gaps, potential beneficiaries and corresponding key-activities.</p> <ul style="list-style-type: none"> <li>• In Vietnam, the SRC action document in section 3.2. stated that in 2015, MOIT had responded positively to the EU proposal to set-up an Energy Partnership Group (EPG) that would serve as an official platform for energy policy dialogue and optimise donor coordination. It was expected that the EPG would start working in Q3 2016. In section 3.3. it was mentioned that the action would also contribute to achieving's Vietnam objectives as set in the INDC.. Through policy dialogue, the EU would aim to convince the GoV to further diversify the national energy mix, increase the use of renewable energy and monitor the improvements in energy efficiency. And in Section 4.2.1: Continued political and policy dialogue with the Government jointly with other development partners contributing to the Energy sector reform and plans, with a particular focus on areas reflected in the programme's objectives. Section 5.8 under performance monitoring, general conditions, energy policy: The dialogue and working programme of the forthcoming Energy Partnership Group led by MOIT which involves development partners, will be used for the overall assessment of the energy policy development. In addition, ad-hoc bilateral policy dialogue and consultation with other development partners, civil society organisations and any other relevant stakeholders would be used to assess the sector.</li> </ul> <p>In Tanzania, the EAMR for 2015 noted that in the Energy sector, good traction was achieved in the dialogue with the Energy and Water Utilities Regulatory Authority (EWURA) around core power sector reforms, also thanks to the support mobilized under the EU Sustainable Energy for All Technical Assistance Facility (SE4All TAF) and the events organized in this framework. The regulatory authority had been entrusted with the responsibility to put in place key elements of a new electricity market structure, which should promote greater efficiencies through competition in generation and private sector investment. Dialogue with the Rural Energy Agency (REA) on planning and financing for rural electrification and energy access was intensified in 2015, in connection with planned EU support to rural electrification under the 10th and 11th EDF. This included the launch of a "pillar assessment", to ascertain whether budget implementation tasks can be entrusted to REA in Indirect Management mode. The EUD remained an active member of the Energy development partners group and took the lead in promoting DP coordination in Zanzibar, where the EUD has engaged in renewable energy and energy efficiency (10th EDF Zanzibar renewable energy programme). However, it was also noted that dialogue with the Ministry of Energy in view of advancing the foreseen energy Sector Budget Support programme under the 11th EDF remained sub-optimal, largely due to a leadership vacuum following earlier changes of Minister, Permanent Secretary and other key staff. The country visit to Tanzania found that the sector policy dialogue had been recently quite difficult due to the turmoil caused by a financial scandal around a power supply contract, due to policy directives that were apparently changing quite rapidly, due to power tariff increases that were shortly after reversed, and due to</p>	<ul style="list-style-type: none"> <li>• Rwanda SRC decision document.</li> <li>• Vietnam SRC decision document</li> </ul> <p>Tanzania EAMR 2015</p>	

Summary response		Sources of information	Quality of evidence
	the dismissing of important leaders of key institutions. The policy dialogue was very good before, but had been less frequent during the past 2 years, however when it happened, it showed a high degree of country involvement and ownership. The EUD, however, continued to engage in high level of policy dialogue.		
<b>Summary and analysis of findings for the indicator:</b>			
<ul style="list-style-type: none"> <li>There is more than satisfactory evidence that EU SE budget support policy dialogue contributed to the policy environment in partner countries – but this evidence is to a large extent based on the design of interventions.</li> </ul>			
<b>I-2.3.3 Evidence of the contribution of joint declarations (JDs) to the policy environment.</b>			
Joint Declarations	<ul style="list-style-type: none"> <li>There is evidence that through the relevant partner Government signature all JDs in the sample committed the partner Government to follow-up actions contributing to the SE policy environment. However, in practice, there is limited evidence of JDs' contributions to the enabling environment.</li> <li>For example: <ul style="list-style-type: none"> <li>The Liberia JD in para 14a committed the Government to constructively engage with partners in sector dialogue and facilitate frank and open exchange of information related to funding and project preparation in the sector. Para 12.a commits the EU to continue the sector dialogue on energy, which it had led since 2012 together with Norway and other donors in the sector. Para 13.c committed Norway (not an EU member state) to focus both on increasing access to modern energy services for the poor and on creating an enabling environment for social economic development, through sector dialogue and donor coordination.</li> <li>The country visit to Liberia found that JD was not perceived as having brought any leverage; there was no binding agreement and the lack of including a roadmap was a missed opportunity.</li> </ul> </li> <li>Also in other countries with JDs the indicative Roadmaps mentioned in the JDs were not found, thus limiting the possibilities to follow-up on an agreed action agenda to find evidence of the JDs' contribution to the policy environment – this weakened the evidence to support the indicator.</li> </ul>	<ul style="list-style-type: none"> <li>JDs in the sample (Rwanda, Uganda, Liberia, Nigeria, Benin, and Caribbean/CARIFORUM)</li> </ul>	Weak
<b>Summary and analysis of findings for the indicator:</b>			
<p>There is evidence that Joint Declarations contributed to strategic commitment to improving the SE policy environment as the Government with EU and key development partner signatories committed to actions to achieve SE goals. However, this contribution was a general high-level commitment of intent and it is a weakness that the indicative Roadmaps were not prepared and that the JDs did not have legal status, thus making it more difficult to examine the accountability mechanisms that would show how the EU contributions were operationalized. There is little evidence of effective follow-up to JDs.</p>			

**EQ 3 - Technical assistance (TA)**

<b>EQ 3</b>	To what extent have the various forms of TA interventions strengthened capacities in institutions in partner countries
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**Rationale:**

The evaluation question assesses the contribution of EU support towards improving the institutional environment for investments in sustainable energy, with a focus on the reduction of the institutional, legal, capacity and financial barriers for energy access, renewable and energy efficiency investments and implementing policy and strategies.

Use of EU strategic principles for capacity development - The EU has developed a number of strategic principles to guide capacity development of partners and institutions. This evaluation question will assess whether these guidelines and principles (technical cooperation that is demand-led, partner owned and results orientated and clearly directed towards one of 4 main purposes i.e. policy and expert advice; project preparation; project implementation; capacity development) have been followed in the design and implementation of capacity development efforts (JC 3.1).

Selection and management of the technical cooperation<sup>70</sup> modalities – The EU has a wide palette of different technical cooperation modalities available to its programmes. One of the key criteria for effective technical assistance is the degree to which the right mix of different technical cooperation approaches and modalities (short-term vs. long-term support, workshops, study tours, twinning, and peer exchange) have been selected and how well they have worked. Experience on this aspect can also lead to insight that can guide future technical cooperation. As the Technical Assistance Facility (TAF) is a new facility, it will be instructive to look more closely at how well it was managed. For all TA it is also relevant to look at how effectively the EU resources at HQ and EUD level have been able to guide and monitor the technical assistance. (JC 3.2)

Effectiveness of institutional capacity development – the development of capacity at key selected partner institutions is a crucial part of EU support especially where energy is a focal sector. The criteria looks at whether capacity has been built at the sector enabling environment and at the institutional level (in terms of systems, functional structures) and individual level (skills) and, whether as a result the institutions are more able to sustain their activities and the projects they are engaged with. (JC 3.3)

Effectiveness of capacity development for cross cutting issues - Capacity development through technical cooperation provides an opportunity whereby the EU can support the capacity of partners to ensure that design and implementation is gender sensitive, that the environment is not negatively affected and that it pursues inclusive and pro-poor results. The evaluation assesses the extent to which technical assistance has supported building this type of capacity (JC 3.4).

**Coverage:**

The EU support to the energy sector is extensive and covers a variety of areas. The EQ covers the EU interventions indicated in the ToR where TA is explicitly indicated as objective, which

<sup>70</sup> Technical cooperation is often used to describe the broad range of capacity development initiatives of which TA is one and others would include twinning and peer to peer exchange.

are the geographic support and EU Energy Initiative Partnership Dialogue Facility (EUEI PDF) / Africa-EU Renewable Energy Cooperation Programme (RECP) projects. In this respect the TAF is particularly important, also because a considerable TA assistance delivered under the RIPs/NIPs is provided by the TAF. Other EU interventions where also a significant TA component is sometimes included (such as the Energy Facility) will be assessed at least to evaluate whether they are aligned with the EU principles for capacity development.

**Likely recommendations:** EQ 3 will lead to recommendations on how to better tailor TA, what kind of TA works better for a specific goal, on how to avoid duplication of TA efforts and possibly on an improved incorporation of cross-cutting issues in the delivery of TA.

### **Link to Evaluation Criteria and Intervention Logic:**

Link with OECD/DAC evaluation criteria: The EQ addresses aspects of relevance (there is need for it, is demand-led and contributes to programmatic and country objectives); effectiveness (what is the evidence that results are being achieved); efficiency (is the kind of TA adequate); outcome (the degree to which the TA is enabling reforms and contributes to reduce barriers to sustainable energy and energy access).

Link with 3Cs: The EQ is also linked to coherence among the EU interventions and also with coordination and complementarity as there are many funds and similar instruments being supported by other donors.

Link with the European Consensus on Development cross-cutting issues (Article 101): The EQ also is linked with one of the ToR demands, namely on gender issues, and in steering policy reforms and project implementation towards incorporation of environmental considerations and a pro-poor design.

Link with IL: The EQ focuses on the logical links related to how TA provided to train and capacitate staff and institutions, leads to improved sector institutional performance and good governance, and either directly or indirectly to public and/or private investments (outputs) and to the sustainable and access energy goals (outcomes).

### **Judgement Criteria analysis**

The findings below resulted from information obtained from a large amount of projects, where relevant information could be obtained to support the indicator analysis. First all 49 projects indicated in the desk sample matrix were screened (and a number of these projects were multi-country or regional). The country visits provided information from another 45 projects that were not included in the desk sample. An evaluation of the TAF-ESA in the twelve countries and another of the 26 TAF-WCA countries provided relevant information and several monitoring reports of the TAFs were also examined. An audit of the European Court of Auditors of renewable energy projects in 12 East African countries, funded under the two first calls for proposals of the Energy Facility and a Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF were also used. Concerning the EUEI PDF / RECP projects, the results of two external evaluations of the complete portfolio of projects were used plus the results of the external evaluations of 16 projects during 4 consecutive years.

### JC 3.1 - Degree to which TA has followed EU strategy for capacity development<sup>71</sup>

**Most projects analysed responded to the needs either by design and/or during implementation.** The information obtained from geographic support project evaluations in twelve countries in Eastern and Southern Africa (ESA) (TAF-ESA – Results Oriented Monitoring, December 2016) indicates that the TA responded to the needs and was clearly demand led. A geographic support project in Vietnam was by design clearly meant to respond to capacity development needs, however it was indicated that there were “weak institutions and the absence of capacity needs assessments”. Two (out of 3 for which relevant information was found) Energy Facility projects responded by design to the needs and whilst the other project responded to the needs, there were some objections to the way the outputs were achieved. The external evaluation of the 16 EUEI PDF / RECP projects during 4 consecutive years indicated that the projects responded to the needs. In four of the 16 cases the expectations of the beneficiaries were slightly different from the outputs actually delivered. The interventions that RECP has developed for involving the European private sector in the renewable energy market in Africa were much appreciated by the private sector and responded to their needs.

**It was clear that most projects and activities were demand led, but ownership of the projects was in a few cases problematic.** The above-mentioned evaluation of geographic support projects in twelve countries in Eastern and Southern Africa indicated that, by design and throughout the implementation phase, the projects were clearly demand led and partner owned. A geographic support project evaluation in Nigeria (Energising Access to Sustainable Energy in Nigeria (EASE) - Report date 31/12/2015) was by design clearly demand led and partner owned. The only Energy Facility project for which relevant information was found, was clearly demand led but it was doubtful whether it was partner owned (Evaluation of the “Technical Assistance Projects in support to the African Power Pools and African Forum for Utility Regulators” concluded that: “*The ToR focused on the work to be produced by the consultants more than on contributions and involvement from African Forum for Utility Regulators members*”). All 16 EUEI PDF / RECP projects externally evaluated were found to be demand led, they were usually prepared after stock-taking missions and in close cooperation with partners. In some projects the needs assessment was not well done: for example, the Southern Africa Development Community Secretariat might not have been the most adequate “carrier” for some kinds of projects, because of the limited staff capacity to absorb the results and because limited follow-up at member country level. This conclusion was also confirmed by the Mid-Term Review of the EUEI PDF (July 2017). TAF-ESA tasks / missions were only initiated if they were requested, this also applied to other TAF regions. The level of ownership varied from country to country, but most countries showed ownership. Most RECP activities were clearly demand led and responded to specific needs. They were also owned by the beneficiaries as was shown by the beneficiary participation and appreciation. The country visits indicated that TA was mostly demand-led and partner owned the exception being Rwanda, where some TA was neither demand-led nor partner owned.

The most common reason for limited ownership of the projects was the lack of capacity of partners to absorb the implemented activities (due to budget limitations, lack of staff, lack of sufficiently qualified staff, etc.).

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<sup>71</sup> Analysis is based on the guiding principles of the “Reforming Technical Cooperation and Project Implementation Units for External Aid provided by the European Commission - A Backbone Strategy - July 2008”.



**The analysis shows that projects were results oriented by design and most of them achieved the expected results, although the design and implementation of capacity development was not sufficiently results oriented.** The above-mentioned evaluation of twelve countries in Eastern and Southern Africa clearly shows that the TAF interventions were clearly results oriented and had significant value added. Two geographic support projects one in Benin (Formulation du Programme d'appui institutionnel et de renforcement des capacités des acteurs du secteur de l'énergie (RECASEB) au Bénin. Rapport Intermédiaire – Final, 2015) and the above-mentioned project in Nigeria, have shown to be results oriented also during implementation. From the 16 EUEI PDF / RECP projects analysed, only three clearly showed not to have achieved tangible results. But for two of these projects the results were achieved in a strict sense, but the organisations that have to put the results into practice failed to do that. The recent (July 2017) Mid-term Review of the EUEI PDF showed a strong orientation to produce results. Another external evaluation (EUEI PDF Results Report - Energypedia consult GmbH, 2004-2015) showed the strong results orientation of the EUEI PDF. It analysed 52 interventions finalised by the end of 2015 and concluded that 75% of the interventions were successful in producing the expected outcomes. The compounded analysis of the services and products provided by RECP and Strategic Energy Advisory and Dialogue Services (SEADS) were in fact used and adopted by the partners. The Energypedia report indicated that 20% of the interventions were not successful. As pointed to above, the lack of capacities on the partner side might have been the main reason for some projects not to achieve results.

Often, the ToR mention concrete outputs in terms of studies, strategies, etc. but results of capacity development are not explicitly mentioned in the ToR. For many of the policies and strategy level interventions the financial and human resources were not sufficient and continuous enough to achieve -if defined- the targets in terms of capacity building. Ensuring that these resources were raised was often not part of the short-term advisory services offered, neither the monitoring of the results was foreseen. There was a missed opportunity to incorporate “honest broker” ambitions into the projects which would have made the results more sustainable.

**Conclusion: the JC is validated.** The TA activities clearly followed the EU strategy for capacity development, i.e. responded to the needs, were mostly partner owned and most projects were results oriented and achieved those results. The quality of the evidence was strong.

### **JC 3.2 - Degree to which the different EU technical cooperation approaches have been well selected and managed**

**With the limited evidence available (yet strong because based in evaluation reports) one can conclude that TA projects responded to the demands with an adequate mix and type of TA.** The above-mentioned geographic support project evaluation in twelve countries in Eastern and Southern Africa, the mix of TA activities that by design was proposed has been validated and the kind of engaged TA was found to address the needs. The different kinds of technical assistance to be provided by TAF-ESA were mostly activated, except for two activities. This might be justified by the fact that the activities in most countries had yet a short track record at that time. The above-mentioned geographic support project in Benin also supported this finding. The above-mentioned evaluation of a regional TA Energy Facility project stated that the workshops were not completely adequate to address the identified needs. In the evaluation of 16 EUEI PDF / RECP projects, there were 8 projects for which relevant information was found, 6 addressed the identified needs with a proper mix/type of TA.

**The TFA-WCA and TAF-ESA responded in a flexible way to needs which were clearly defined in their ToR.** The TAF-WCA has specified indicators for most activities. Setting indicators was needed in order to assess the quantity and quality of the results. An impressive number of actions within each activity area have been implemented. Significant added value has been attained from TAF-WCA. However, a total of thirty four objectively verifiable indicators of achievement were identified in the implementing consortium's proposal, but neither related quantitative targets nor current baseline values were defined. The quality of outputs of TAF-ESA was deemed as good, based on an examined sample from a large number of horizontal and country-specific deliverables submitted by TAF-ESA. Significant added value has been attained from TAF-ESA. For both TAFs, there have been individual evaluations / appraisals from the EUDs following each TAF mission, none of which have resulted in the rejection of the mission's deliverables. In around 10% of the cases, adjustments were requested by the EUD prior to the approval of the deliverables. The TAF inputs were highly valued by most countries due to their flexibility in responding to needs. A shortcoming was that the ToR had clear deliverables in terms of reports and studies but they did not clearly enough indicate the capacity development outcomes.

**There seems to be no uniform system in place to systematically screen TAF support requests in order to select the most appropriate for support in each country.** The above-mentioned TAF-ESA Results Oriented Monitoring states *“that the TAF mainly provides demand-driven technical assistance to the beneficiary organisations; it is hence fully adapted to their present institutional, human and financial capacities. However, it is generally observed that there is no uniform system in place to systematically screen TAF support requests in order to select the most appropriate for support in each country.”* The country visits have confirmed this, and that the TA was mostly tailored to the institutional, human and financial capacities of the beneficiary organisations. Hence, the lack of a uniform system might not be an issue, prioritisation was mostly done by the EUD together with the government organisations.

**EUDs were not but are now sufficiently involved with monitoring energy projects implementation and currently have the resources in terms of staff and adequate technical knowledge to do that.** Several evaluation reports have indicated that the EUDs were not adequately staffed nor had the technical knowledge to deal with energy projects:

- The monitoring of the above-mentioned geographic support project in Nigeria has indicated that the EUD should be more involved with the implementation and that its role should be clear to all. Monitoring of the “Rural electricity infrastructures and small scale projects in Zambia” shows serious deficiencies from the side of EC HQ and EUD. The evaluation of the 5 cross-border electrification projects shows that supervision should be improved on the side of EUD either increasing the Results Oriented Monitoring or the direct supervision by EUD task managers.
- An audit of the Energy Facility by the European Court of Auditors stated that *“the Commission did not monitor all projects properly. Reports submitted by the implementing partners were of uneven quality and the Commission did not attempt to enforce compliance with their reporting obligations”*. Also it stated that even when some projects give clear indications of failure that no appropriate measures were taken.
- The Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF stated that EC management of the 1st Energy Facility Call has been satisfactory in a number of respects. Nonetheless, the evaluation findings suggest that a number of improvements needed to be made to strengthen monitoring. Regarding the role EUDs, the evaluation work highlighted their keen interest and commitment to the Energy Facility's work, the value of their local knowledge, and their generally good working relationships with Energy Facility projects. However, a significant number of EUDs also reported being constrained by capacity (primarily staffing) shortages, and a number of

them considered that their own contract oversight and management could be improved with a view to maximising Energy Facility project impact and sustainability.

- The independent analysis “Agenda for Change. An independent analysis of the 11th EDF programming. Discussion paper. September 2015”, makes some strong statements about the capacity of DEVCO and especially EUDs to deal with the increased load of work. It states that over the past few years, EUDs have focused on recruiting contract managers rather than technical specialists. Several EUDs and member state stakeholders were concerned that EUDs were ill-equipped to enter the energy sector.

The TAF has provided support to DG DEVCO and to a number of EUDs to enhance their knowledge of key energy issues and an Energy Handbook was developed, this to help fulfil their energy-related tasks. This was somehow the acknowledgement that the energy technical skills needed to be strengthened. Country visits have indicated that the lack and the quality of staff might have been true in the past but now –at least in the majority of the countries visited– they were adequately staffed.

**Some country visits showed that one needs to assess critically the type of TA support that countries need.** A number of countries would have appreciated more long-term support and more embedded advisors working together with staff in-country.

**Conclusion: the JC is partly validated.** The projects were well selected, the TAF responded to the needs although this was not consensual, and that the management of energy projects by EUDs while having shown deficiencies in the past has improved significantly. The quality of the evidence was strong (although for one indicator based on a limited number of sources).

### **JC 3.3 - Degree to which EU technical assistance has led to an increased capacity in key selected partner institutions**

**The EU technical assistance has strengthened the enabling environment at sector level for key partner institutions, however for the geographic support projects there was still not enough evidence to support this finding.** The four geographic support projects where information was found aim by design at strengthening the enabling environment at sector level for key partner institutions. The Energy Facility project “Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia) was strengthening the enabling environment at sector level for key partner institutions. The above-mentioned evaluation of a regional Energy Facility project states “*The intermediate impact, i.e. essentially on the regulatory authorities and on the decision making process in each country, would remain limited, as the workshops did not involve significant work of regulators or other institutions regarding changes and improvements in the organisation and regulatory patterns of national electric power systems.*” so the project has failed to strengthen the environment at sector level. The evidence from the external evaluations of 16 EUEI PDF / RECP projects shows that the enabling environment at sector level for key partner institutions has been strengthened. Only one project showed clearly that this was not the case. The country visits also confirmed this finding.

**Projects have strengthened the skills of core personnel and where relevant the structure and functional organisation of the key partner institutions.** Of the 3 geographic support projects for which evidence was found, two (Nigeria and Tanzania) contributed to achieve this result and yet another project (Results Oriented Monitoring Report Barbados Smart Renewable Energy Program for the Public Sector. Project reference D-24187) showed clear deficiencies in strengthening the skills of core personnel. The monitoring report of the “TRIODOS - Expanding

Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” stated that over 50 Rural Micro-finance Institutions and Savings and Credit Cooperative Societies were trained on energy finance and marketing in Kenya, Uganda and Tanzania. From the 16 EUEI PDF /RECP externally evaluated projects three failed to strengthen the skills of core personnel. The above-mentioned mid-term evaluation of the EUEI PDF assumes that long lasting capacities in partner countries were likely to be expected. The country visits give a mixed picture related to this finding.

**Private sector participation was not yet high on the agenda of most EU TA.** There has been some support provided by the TAFs for the creation of an enabling (legal, regulatory, etc.) environment for private sector involvement in sustainable energy projects. However, private sector support through the mobilisation of funds and facilitation of partnership has not yet been initiated. The involvement of the private sector, which would further enhance the TAF-WCA’s and TAF-ESA’s sustainability, has been restricted to the ElectriFI mechanism, which has launched a tender receiving a large number of private sector applications for co-financing in the WCA and ESA countries. For the TAF-ESA some target groups were not involved or even adequately aware of TAF-ESA's actions and the private sector has not been properly involved, so sustainability was not guaranteed. The country visits indicated that TA for the private sector was insufficiently addressed by EU energy programmes.

**The mobilisation by the RECP of private sector partners was highly appreciated and there was ownership of the interventions.** The European and African business-to-business matching events were well received by the participants. The above-mentioned Mid-term Review of the EUEI PDF states that *“private sector partners mobilised by RECP show a strong appreciation and ownership of the interventions. Since the European market for new solar projects is practically saturated, RECP fills an urgent need of European solar companies to identify new markets in Africa. This could be one reason why the European and African business-to-business matching events have been very well received by the participants. Civil society partners who participate in different events or make use of the manuals (the mini-grid policy manual has been mentioned repeatedly) also show a high level of ownership.”* The above observations were in line with the information obtained from RECP staff interviews and communication.

**In spite the short-term technical assistance, TAF-WCA and ESA benefits -in many cases- were expected to be sustainable, however there were some sustainability problems.** The TAF-WCA monitoring found out that there was good evidence that the TA has contributed to the longer term sustainability of institutions, projects and activities. Country visits have demonstrated that the sustainability of TA efforts were a challenge, because it was constrained by low absorption capability and high turn-over of government partners and by institutional changes.

**Sustainability in terms of capacity building has not been assured in a significant number of other projects.** The geographic support project in Nigeria was by design addressing the issues of sustainability of the intervention by providing capacity building. The regional Energy Facility support to the African Power Pools and African Forum for Utility Regulators has contributed to the sustainability of the African Forum for Utility Regulators, but there were concerns about the sustainability of a number of the activities implemented because they were a “snapshot” of the situation with little future perspective, and about who would implement them. The sustainability of the EU intervention was well assured in the West African Power Pool and Central African Power Pool regions, while for the East African Power Pool there has

not been sufficient appropriation by the beneficiaries and for the Southern African Power Pool sustainability was assured in terms of capacity building, as competencies and skills of individuals have been strengthened. However, for the Southern African Power Pool a number of building blocks were still missing to ensure complete sustainability of the intervention. In four of the 16 evaluated EUEI PDF projects 4 have light to severe problems concerning sustainability. In most cases this was due to insufficient capacity of the targeted institutions to assimilate the results of the projects or by the continuous drainage of skilled personnel.

**Conclusion: The JC is partly validated.** For the projects where enough evidence exists, the TA has strengthened the enabling environment at sector level and the EU support has strengthened the skills of core personnel and where relevant the structure and functional organisation of the key partner institutions. Concerning sustainability of the TA interventions the TAF-WCA and ESA, its benefits -in many cases- were expected to be sustainable. The private sector participation was not yet high on the agenda for the EU TA and this participation would enhance the sustainability. Sustainability has not been assured in a significant number of projects. The quality of the evidence is strong.

### **JC 3.4 - Degree to which TA has supported the mainstreaming of cross-cutting concerns**

**TA has been active in supporting incorporation of gender issues by design, however there was still little evidence of results.** All nine geographic support projects analysed had by design incorporated gender issues. There was only one Energy Facility project from the sample (Improving reliable access to modern energy services through solar photovoltaic systems for rural areas (outer islands) of Tuvalu) that shows by design evidence of taking gender aspects under consideration. Gender aspects were presently systematically reported in the online Energy Facility database. EUEI PDF / RECP had by design and implementation taken gender aspects into consideration in its projects. The programme has developed specific gender briefing notes which target the several stakeholders participating and implementing their projects (factual project managers, partner institutions, consultants and beneficiaries). The EUEI PDF / RECP also monitored gender impacts and several projects have shown evidence of positive impacts on the position of women. The country visits show that in recent years there has been more attention given to gender aspects.

**TA has contributed to incorporation of environmental considerations in policy reforms and project implementation.** Two geographic support projects took environmental considerations by design and by implementation due to its objectives (promoting RE and EE). Also Environmental Impact Assessments will be employed when required. One geographic support project had as objectives "Support to the environment and mitigation of climate change" and the components of the project were subject to appropriate environmental and social impact assessment studies according to the legislation in force. Four geographic support projects incorporated environmental considerations by design. One geographic support project incorporated environmental considerations and controlled compliance during project implementation (Photovoltaic project in Burkina Faso). One geographic support project incorporated environmental considerations by design but failed to have proper follow-up during project implementation (Barbados).

Crosscutting issues were obliged to be considered by the Energy Facility by including them as requirements in the Guidelines of the Call for Proposals and in the evaluation criteria during

the selection of proposals. Environmental sustainability is closely related to access to energy and increasing concern about climate change. Sustainability, including in its environmental aspect, was a criterion for each project submitted to the Energy Facility. In those projects with a potentially large impact, an environmental impact assessment was required, prior to the approval of the proposal

The above-mentioned evaluations of the TAF-WCA and TAF-ESA projects stated that they strongly addressed environmental sustainability.

The EUEI PDF / RECP projects incorporated environmental considerations by design and implementation either directly via support to renewable energy investment projects or indirectly via policy advice and support to business plan development. This included advice on environmental impact assessments.

The large majority of the projects in the sample relevant for this evaluation question promoted renewable energy or energy efficiency, therefore besides other environmental benefits, Greenhouse Gas reductions were likely to be achieved at the implementation stage.

**Even though there was little evidence available, the evidence found supports that the TA has contributed to steering policy reforms / project implementation towards a pro-poor objective.** The four geographic support projects analysed showed that by design they would contribute to that aim. During their implementation was likely that they would also contribute towards that aim, due to their nature and objectives. Half of the country visits found evidence for a pro-poor focus of TA.

**Conclusion: The JC is validated.** Most EU supported TA programmes and projects showed that they take gender issues and environmental considerations seriously in design and implementation. The evidence found also supported that the TA has contributed to steering policy reforms / project implementation towards a pro-poor design. The quality of the evidence was more than satisfactory.

Summary response	Sources of information	Quality of evidence	
<b><i>JC 3.1 - Degree to which TA has followed EU strategy for capacity development (1)</i></b>			
<b>I 3.1.1 - Evidence that the TA provided responded to the needs (i.e. policy and expert advice; project preparation; project implementation; capacity development)</b>			
Geographic support	<p>This ROM evaluation of the TAF-ESA has found out that:  “From twelve countries supported, it appears that TAF<sup>72</sup>-ESA responds, to a large extent, to the beneficiary needs in four (Tanzania, Mozambique, Malawi and Uganda), is currently speeding up in three (Kenya, South Africa and Swaziland) and demonstrates a slow response in five (Ethiopia, Eritrea, Zambia, Lesotho and Madagascar). TAF-ESA mainly provides demand-driven technical assistance to the beneficiary organisations; it is hence adapted to their present institutional, human and financial capacities. However, it is generally observed that there is no uniform system in place to systematically screen TAF support requests in order to select the most appropriate for support in each country.”</p> <p>The Action Document for the “Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam” states that:  “The technical assistance facility will provide expertise and capacity building as needed for the implementation of the sector reform contract, including but not exclusively, in: Research &amp; Development for off-grid renewable energy projects in the highlands, remote areas, borders and islands where the grid power supply is difficult or inefficient; Energy information systems; Energy budgeting and planning; Renewable Energy; Energy Policy Energy Efficiency; legal and regulatory frameworks, norms and technical standards developments, market reform, capacity building for the People Provincial Committees acting as investors for the rural electrification projects; capacity support to Ministry of Finance.”</p> <p>This SWOT analysis concludes that:  “<u>Weak Institutions &amp; absence of capacity needs assessments:</u></p>	<p>TAF Eastern and Southern Africa (ESA)  ROM evaluation  December 2016</p> <p>Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam  CRIS number: 2015/037-972</p> <p>SWOT Analysis – for EU engagement to support rural</p>	<p>Strong</p> <p>Factual project monitoring</p> <p>Indicative but not conclusive</p> <p>By design</p> <p>Indicative but not conclusive</p>

<sup>72</sup> TAF activities are grouped into five key areas, corresponding to the main expected results:

1. Initial stocktaking and establishing national energy sector policies, resulting in national and regional strategy and policy baselines and benchmarks established and recommendations for improvements provided.
  2. Capacity building in policy and regulatory framework, resulting in increased effectiveness of sector policy implementation.
  3. Technical support in programming and preparation of projects, resulting in increased quantity and quality of bankable projects in the sector.
  4. Mobilisation of funds and facilitation of partnership, resulting in increased interest and participation from private and public sources to finance priority projects in the sector.
  5. Industrial and technology cooperation.
- Additionally appropriate horizontal activities supplement these areas can be deployed.

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>GDE (Department of Electric Grid and Rural Electricity) lack of capacity (number of staff 5 person), same in other Departments such as S&amp;T, EE, NRE. Same for People Provincial Committees at the local level.</li> <li>Energy Statistics needs to develop. Mandate for Energy Statistics is believed to be transferred to GSO as of 2016 (01/01?). Is GSO sufficiently equipped to conduct this new mandate?</li> <li>TA to help prepare feasibility studies, specific project design, technical specification, reduction of losses, RES applications. (Wind power specifically requested during the VN mission in Brussels).</li> <li>People Provincial Committees in charge of project implementation in 22 provinces.”</li> </ul>	<p>electrification in Vietnam through Sector Reform Contract Dec 2081: Electricity supply to rural, mountainous and island areas 2013-2020</p>	<p>By design</p>
<p>This SWOT analysis concludes that:</p> <ul style="list-style-type: none"> <li>Strong commitment from Government to finish rural electrification and connect 100% of the country (communes and households).</li> <li>Positive track record in rural electrification since 1975.</li> <li>EVN's strong technical capacity.</li> <li>EVN is involved in the preparation of the feasibility studies for each of the 48 provinces (Technical coherence is insured).</li> <li>Coherence of policies/strategies governing rural electrification programme (NEDP, PDP)</li> </ul>		<p>Indicative but not conclusive</p> <p>By design</p>
<p>This final formulation report of the “National Electrification Programme Tanzania “ indicates that: “Given the lengthy lead time for the investment in grid infrastructure and the long lifetime of the new network assets, the decisions taken at the feasibility stage for Phase 2 will impact strongly on the options available for further phases. So identifying key steps with the assistance of the Consultant will give TANESCO cost benefits. Training and capacity building will be provided by the consultant to strengthen the capacity of REA and TANESCO personnel to support REA and TANESCO in the areas of Project Supervision and Management according to standard operation procedures.”</p>	<p>National Electrification Programme Tanzania – Implementation of Phase II of the Rural Electrification Prospectus Formulation - Final Report 16th July 2014</p>	<p>Indicative but not conclusive</p> <p>By design</p>
<p>Energy Facility</p> <p>In the decision for the project “Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu” it is stated (and this applies for all EF projects): “In terms of good governance, the improvement of the legal and regulatory frameworks in the energy sector is a priority for the Energy Facility, and funds will be reserved for it under the Call for Proposals, the pooling mechanism (as long as they are linked to foreseen investments) and the for governance actions outside the call.”</p>	<p>Dec 023215 Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu ACP EU Energy Facility II / FED 2009/21307</p>	<p>Indicative but not conclusive</p> <p>By design</p>
<p>The evaluation of the “Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR)” states that:</p>	<p>Evaluation of the Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR) - Synthesis Draft Report - December 2013 Contract 2013/312259</p>	<p>Strong</p> <p>Factual project evaluation</p>



Summary response	Sources of information	Quality of evidence
<p>“The ToR of TA<sup>73</sup> projects provided a more or less detailed description of tasks to be carried out, essentially by the consultants. They do not specify obligations on the side of beneficiaries, for instance to establish working groups to cooperate with the consultants. The ToR does not describe the process leading to capacity building within the pool, and do not give importance to pedagogic aspects in consultants’ offers.</p> <p>In most power pools, the activities of the TA projects were rather consistent with the priorities of the pools. All subjects were relevant to responsibilities and activities of regulators. Two of them, electricity costs and tariffs, and quality of service, were defined in detail in the ToR and treated thoroughly by the consultants. For the other three subjects, the consultants followed the ToR expectations, and delivered rather general introductions or overviews. The approach recommended in the ToR for tariff studies appears ambitious and not appropriate; the consultant recommended another more adequate approach, accepted by the contracting authority and the beneficiaries.</p> <p>The effectiveness is adequate for the three subjects for which a general overview was requested in the ToR. It is definitely better for the two subjects for which the ToR were more specific: cost of supply and tariffs, and quality of supply. In the two latter, the implications for African regulators were also addressed in more detail.</p> <p>Capacity building is the main objective of all projects, but the ToR does not describe the process which would lead to the increase of capacities. The ToR essentially list activities to be carried out by the consultants: for WAPP, these include feasibility and other studies, as well as training sessions. For EAPP, the consultant is expected to produce studies, proposals, papers and reports, training plans and</p>		

<sup>73</sup> Under the 2005 ACP-EU Energy Facility, an amount of up to €10 million was earmarked to provide Technical Assistance and Institutional Support to the four Electric Power Pools of Western, Central, Eastern and Southern Africa, and to the African Forum for Utility Regulators (AFUR). A Financing Agreement was signed in December 2007 between the European Commission and the ACP Secretariat in order to implement these actions (Global Financial Commitment 9 ACP RPR 59 - FED/2007/18827). The technical assistance projects were implemented with service contracts managed by five different consultancy companies, over a period of about three years. All five projects have been completed during 2012, and as required under the Financing Agreement (Annex II, Section 5.2), a final evaluation mission covering the five projects needed to be undertaken.

Summary response	Sources of information	Quality of evidence
<p>training reports. The focus is also on studies for CAPP, at least for the first three objectives, out of four. For SAPP, activities essentially consist of about ten training sessions.”</p>		
<p>This ROM report of the project “Rwanda Prepaid Energy” indicates that:  “Overall, the project is very relevant; indeed it is even more relevant now than at the time of approval in 2014. Rwanda’s Rural Electrification Strategy of June 2016 sets the target for electricity access to 70% by 2017/18, to be met through a combination of on-grid and off-grid supply. 100% access to electricity is targeted by 2020. These impressive targets will be met through four distinct interventions related to establishment of a mechanism to allow low-income households (HH) to access modern energy through basic solar systems; establish a risk mitigation facility targeting the private sector in such a way that solar products will be made available on financial terms that the population can afford - and the pay-as-you-go and rent-to-own models (this project) are both highly relevant; interventions related to mini-grids and continuation of the grid-electrification with a focus on providing access for highly productive industries and business with high job creating potential. The Project is uniquely relevant as a vehicle to contribute to the numbers of HH, schools and clinics with access to modern energy and as a pilot project to test forms of collaboration that can increase the private sector’s participation in electrification and thirdly, provide a live testing of affordable finance mechanisms through the Rent-to-Own two to three year micro finance that is built into the project.</p> <p>The project is one of the key actions to help achieve the rural electrification targets as they are formulated in the new Rural Electrification Strategy. The Ministry of Infrastructure specifically acknowledge this project as a front-runner for testing risk mitigating options to increase private sector participation in the rural electrification. In addition the project is envisaged to reach high numbers of actual SHS electrification thus contributing directly to the overall electrification targets.”</p>	<p>ROM report: Rwanda Prepaid Energy. Rent to own solar home systems (off-grid)  C-341877  06/06/2016</p>	<p>Strong  Factual project monitoring</p>

Summary response		Sources of information	Quality of evidence
EUEI PDF / RECP	<p>Most of the 16 TA projects evaluated responded to the needs, with 4 exceptions: The decision to build a partnership between RECP, REN21 and ARE proved to be an effective approach to add value to the Mini-grids Policy Toolkit (variety of know-how, leverage and networking). The scope, level of detail and length of the Mini-grids Policy Toolkit as described in the ToR did not match the actual expectations of the partners (or expectations shifted during implementation).</p> <p>In Mozambique, the outputs defined in the ToRs have all been achieved. The phased approach of the project and the trainings were much appreciated. Documentation and training materials are of very good quality. Activities and outputs of the intervention were consistent with the overall goals and intended outcomes. But:</p> <ul style="list-style-type: none"> <li>• The ME affirms that the output is not enough specific for the country.</li> <li>• Other stakeholders state that the ME was not very involved, and often not constructive.</li> <li>• Language problems seem to have affected the effectiveness of this activity.</li> </ul> <p>The kind of assistance provided by the EUEI PDF was not completely what the South Pacific Commission had envisaged. The EUEI PDF activity did not allow for the training of an energy officer in each country.</p> <p>There were expectations by the Ministry of Energy and Mines of Burundi that more in-country consultations would take place.</p>	2016 <sup>74</sup> , 2015 <sup>75</sup> , 2014 <sup>76</sup> , 2013 <sup>77</sup> Summary of findings of EUEI PDF external project evaluations	Strong  Factual project evaluation
	The Mid-term review report of the EUEI PDF states that: “The private sector partners mobilised by RECP show a strong appreciation and ownership of the interventions. Since the European market for new solar projects is practically saturated, RECP fills an urgent need of European solar companies to identify new markets in Africa. This could be one reason	EUEI PDF Mid-term Review Report Mid-term Review Phase 3 (April 2015 – March 2017)	Strong  Factual project evaluation

<sup>74</sup> Projects evaluated: (1) Regulatory Renewable energy regulatory capacity development Project, Kenya; (2) Energy Efficiency Policy, Strategy Action Plan, Cambodia; (3) Advanced scoping for technical capacity building in the small hydropower sector in the East African Community; (4) The high level meeting of the Africa-EU Energy Programme in Addis Ababa; and (5) The Mini-grid policy toolkit.

<sup>75</sup> Projects evaluated: (1) National Energy Efficiency Policy, Strategy and Action Plan in the Electricity Sector, Cameroon; (2) RERA, Framework Conditions for Mini-Grids; and (3) Support to the Implementation of the Renewable Energy Law, Senegal.

<sup>76</sup> Projects evaluated: (1) Mozambique - Biomass Energy Strategy and Action Plan; (2) ECREEE – Regional Renewable Energy Policy ECOWAS; (3) Gambia – Renewable energy strategy and Action Plan; and (4) SAPP Southern Africa Power Pool – Mini-grids regulations

<sup>77</sup> Projects evaluated: (1) SADC Southern Africa Development Community - Regional Energy Access Strategy and Action Plan; (2) SPC Southern Pacific Commission - Strengthening energy security in the Pacific region through the compilation and updating of energy security indicators; (3) Burundi - Energy Policy, Strategy and Action Plan; and (4) Ghana - GIS mapping of the electricity distribution network and renewable resources

Summary response		Sources of information	Quality of evidence
	why the European and African business-to-business matching events have been very well received by the participants. Civil society partners who participate in different events or make use of the manuals (the mini-grid policy manual has been mentioned repeatedly) also show a high level of ownership.”	June 2017	
Across several initiatives	There is evidence that the TA including almost all TAF assistance provided responded to the needs of partners. Key government partners confirmed that studies and capacity development support TA was demand-led, partner driven and results oriented. Furthermore, the TAF was found to be very flexible, which was a key advantage over TA offered by other development partners. The exception among the eight countries visited was Rwanda where the type of capacity development being offered was no what the GoR expected.	Country interviews	Strong
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>Most projects analysed responded to the needs either by design and/or during implementation.</li> <li>There seems to be no uniform system in place to systematically screen TAF support requests in order to select the most appropriate for support in each country. The evidence from country visits to support this finding gives a mixed answer, however due to the fact that most TAF assistance responded to the country specific needs, the absence of a screening protocol most probably is not relevant.</li> <li>The mobilisation by the RECP of private sector partners is highly appreciated and there is ownership of the interventions. The European and African business-to-business matching events have been very well received by the participants.</li> </ol> <p>More specifically</p> <ul style="list-style-type: none"> <li>Two TAF projects responded to the needs and are clearly demand-led.</li> <li>Another TAF project is by design clearly meant to respond to needs. However the SWOT analysis has indicated “<u>Weak Institutions &amp; absence of capacity needs assessments</u>”.</li> <li>Two EF project responded by design to the needs.</li> <li>One EF project responded to the needs, but there were some objections to the way the outputs were achieved.</li> <li>The 16 EUEI PDF / RECP projects externally evaluated during 4 consecutive years indicate that they responded to the needs. In four cases the expectations of the beneficiaries were slightly different from the outputs delivered.</li> <li>The interventions that RECP has developed for involving the European private sector in the renewable energy market in Africa are much appreciated and responded to their needs.</li> <li>The country visits indicate that the majority of projects responded to the needs.</li> </ul>			
<b>I 3.1.2 - Evidence that the TA was demand-led and became partner owned</b>			
Geographic support	This ROM evaluation of the TAF-ESA indicates that: “No TAF-ESA task / mission is initiated without first being requested by the Ministries and other competent local organisations, granting these a leading and coordinator role in the definition of priority TAF-ESA's activities and their implementation mode. However, as observed in particular from the country visits undertaken, the institutional and human capacities of the TAF-ESA beneficiaries need	TAF Eastern and Southern Africa (ESA) ROM evaluation December 2016	Strong  Factual project monitoring

Summary response	Sources of information	Quality of evidence
<p>further strengthening, as they are not always fully supportive for local beneficiaries to undertake a leading role.</p> <p>From the twelve countries supported by TAF-ESA, four (Tanzania, Zambia, Uganda and Lesotho) have demonstrated significant and effective commitment, further six (Ethiopia, Eritrea, Kenya, Mozambique, South Africa and Madagascar) are active and committed, and two (Malawi and Swaziland) have only sought initial TAF-ESA stocktaking missions to date. It is noted that in a number of countries the local beneficiaries fully understand that their conducted specific short term actions are funded by the EC or EUD, but are not fully aware of the specific SE4All and TAF context.”</p>		
<p>This monitoring report of the “Energising Access to Sustainable Energy in Nigeria “ states that: “The issues addressed (social, economic and environmental) as well as the targeted sector are all relevant in the current Nigerian context and in line with Government policies. The Action met with the clear needs and challenges of the energy sector.”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE) Project reference 2011-023551 Report date 31/12/2015</p>	<p>Strong Factual project monitoring</p>
<p>The Action Fiche of the “Energising Access to Sustainable Energy in Nigeria” states that: “Ownership will be enhanced through planning and implementation of activities by existing state institutions designated as Implementing Agencies. Working simultaneously at State and Federal levels, improving working relationships between the two levels will be in important factor to ensure sustainability and the replication of good practice.”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE) Standalone project identification fiche, FED/2011/023551</p>	<p>Indicative but not conclusive By design</p>
<p>The Action Document for the “Sector Reform Contract in Rwanda” states that: “The technical assistance will be identified, following the needs identified by the Government of Rwanda in particular through existing coordination platform like Technical working groups and the Sector Working group, where a number of stakeholders (including EU) participate and contribute.. The contractual management of the TA will follow the standard procedure of indirect management while the monitoring of the activities under these envelopes will be ensured by the same coordination</p>	<p>Action Document for the Sector Reform Contract (SRC) to increase performance of Rwanda’s energy sector and develop the corresponding institutional capacities<sup>78</sup></p>	<p>Indicative but not conclusive By design</p>

<sup>78</sup> The overall objective of the programme is to contribute to the implementation of the Government's development strategy "Economic Development and Poverty Reduction Strategy Paper 2", thereby contributing to poverty eradication and promotion of inclusive and sustainable growth. The specific objective of the programme is to contribute to the implementation of government's energy policy and strategy framework, thereby increasing the availability of sufficient, reliable and affordable energy supplies, promoting the rational and efficient use of energy and the establishment environmentally sound and sustainable systems of energy production, procurement, transportation, distribution and end-use.

1. Result: Increased electricity access (on- and off-grid) and energy supply for rural communities.
2. Result: Improved energy efficiency in use of modern and traditional sources of energy.
3. Result: Increased share of renewable energy sources.

Summary response	Sources of information	Quality of evidence
	CRIS number: FED/2015/38107	
Energy Facility	Evaluation of the Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR) - Synthesis Draft Report - December 2013 Contract 2013/312259	Strong Factual project evaluation
EUEI PDF / RECP	2016, 2015, 2014, 2013 Summary of findings of EUEI PDF external project evaluations	Strong Factual project evaluation
	EUEI PDF Mid-term Review Report Mid-term Review Phase 3 (April 2015 – March 2017)	Strong Factual project evaluation

4. Result: Increased institutional capacity of energy institutions and bodies in Rwanda.

Summary response	Sources of information	Quality of evidence
	June 2017	
<p>RECP</p> <p>The progress report states about the RECP:          “A key achievement of the reporting period is the launch of the RECP <b>“Finance Catalyst”</b>. Through a team of dedicated experts, project developers receive assistance in the development of bankable business and financial models. Due to the RECP’s successful information management, more than 150 applications were sent in, of which 25 are currently receiving support.</p> <p>The <b>financing instrument database</b> – supporting project developers to identify sources and financiers to find viable projects – remains crucial to investment mobilization. Thereby, the RECP’s role as “honest broker” is well appreciated by the private sector. Market participants actively use the service which is among others proven by the high interest in the online database (quadrupling website hits within half a year from 2,200 to 8,500).</p> <p><b>Specific Objective Indicator:</b> 2,000 market participants have directly benefitted from RECP support.  <b>Baseline:</b> 0  <b>Target:</b> 2,000 participants having benefitted.  <b>Status:</b></p> <ul style="list-style-type: none"> <li>• 1,776 market participants have benefitted.</li> <li>• 1,526 participants at 18 RECP events (8 information workshops and 8 B2B-match-making events, 2 webinars).”</li> </ul>	<p>EUEI PDF Annual Progress Report          April 2016 – March 2017          May 2017</p>	<p>More than satisfactory</p> <p>Factual evaluation</p>
<p>Across several initiatives</p> <p>There is evidence that the TA including almost all TAF assistance provided responded to the needs of partners. Key government partners confirmed that studies and capacity development support TA was demand-led, partner driven and results oriented. Furthermore, the TAF was found to be very flexible, which was a key advantage over TA offered by other development partners. The exception among the eight countries visited was Rwanda where the type of capacity development being offered was no what the GoR expected.</p>	Country interviews	Strong
<p>TA was demand driven (but the studies and findings were not always country owned, which is mainly the results of the challenges of positioning TA in a weak institutional setting and within institutional competition).</p>	Liberia country interviews	Strong
<p>The ownership of the TA was high in design and implementation, and the recruited experts work in close cooperation with the government organisations who were for some organisations both implementing partners and beneficiaries. The capacity development project (RECASEB) was perceived as essential and generated a lot of expectations TAF support in capacity development was considered as efficient and appropriated. However, it generated high level of expectations and changes in EU strategies were not well communicated (e.g. CEB support).</p>	Benin country interviews	Strong
<p>Some TA offered is neither demand-led nor partner owned. The type of capacity building offered is highly ineffective and overly expensive. The preferred capacity building is in the form of highly</p>	Rwanda country interviews	Strong

Summary response		Sources of information	Quality of evidence
	qualified professionals that respond to clearly identified needs as have been explored in the functional analysis that took place and that support the training of 5 to 6 local junior staff		
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>1. It is clear that most projects and activities are demand-led.</li> <li>2. Ownership of the projects is sometimes problematic, mostly because of the lack of capacity of partners to absorb the implemented activities (due to budget limitations, lack of staff, lack of sufficiently qualified staff, etc.).</li> </ol>			
More specifically			
<ul style="list-style-type: none"> <li>• One geographic support was by design and implementation clearly demand-led and partner owned.</li> <li>• One geographic support was by design clearly demand-led and partner owned.</li> <li>• One EF project was clearly demand-led but doubtful whether it was partner owned.</li> <li>• TAF-ESA tasks / missions are only initiated if first they are being requested, this also applies to other TAF regions. The level of ownership varies from country to country, but most countries show ownership.</li> <li>• All 16 EUEI PDF / RECP projects evaluated show that they are demand-led, they are usually prepared after stock-taking missions and in close cooperation with partners. In some projects the needs assessment was not well done: for example, the SADC might not be the most adequate “carrier” for some kinds of projects, because the limited staff capacity to absorb the results and because limited follow-up at member country level. This was also confirmed by the Mid-Term Review in 2017.</li> <li>• Most RECP activities are clearly demand-led and respond to specific needs. They are also owned by the beneficiaries as it is shown by their participation and appreciation.</li> <li>• Country visits showed that most TA was demand-led and there was ownership of the interventions. Exception was Rwanda.</li> </ul>			
<b>I 3.1.3 - Evidence that the TA was results orientated</b>			
Geographic support	This ROM evaluation of the TAF-ESA indicates that: “A considerable number of horizontal and country-specific deliverables was submitted by TAF-ESA, generally of good quality as judged from the horizontal publications and ten missions examined for Uganda, Ethiopia, South Africa as well as the AUC. Specifically: 1) Uganda long-term NKE: extensive deliverables of very good quality; 2) Uganda communication and sensitisation activity: integrated deliverable, lacking however in practical application; 3) Uganda energy database and M&E framework activity: very good, practical and well received database and associated manuals; 4) Uganda rural electrification and energy access activity: good quality; 5) Ethiopia initial support: eleven deliverables on economic and technical regulation, fifteen deliverables on legal aspects, and fourteen deliverables on energy efficiency and conservation, only some being very comprehensive; 6) Ethiopia follow-up support: comprehensive assessment of the current situation and two very analytical energy demand forecast scenarios; 7) South Africa first mission: summary Situation Report and Final Report proposing an integrated set of ToRs; 8) South Africa second mission: brief roadmap of necessary actions towards developing the Off Grid Management Authority; 9) South Africa third mission: good	TAF Eastern and Southern Africa (ESA) ROM evaluation December 2016	Strong Factual project monitoring



Summary response	Sources of information	Quality of evidence
<p>rationalisation between off-grid and grid electrification, ToRs for an integrated electrification master plan, innovative two-stage service delivery model, and integrated communications strategy; 10) AUC support: comprehensive gaps report leading to a concise action plan; 11) Country Fiches: very good homogenised pamphlets; 12) Sustainable Energy Handbook: very good training content in homogenised module templates. The last two deliverables constitute significant knowledge management actions that serve to increase awareness, knowledge towards the beneficiaries of the TAF, and at the same time increase the visibility of the project. Horizontal deliverables are particularly seen to be of very good quality, indicating a suitable mode of TAF support, which may be further enhanced through some Brussels-based KEs for updating, follow-up and dissemination.</p> <p>TAF-ESA has contributed to its overall objective of improving policy and regulatory framework conditions in order to enable increased investment in energy access, energy supplies, renewable energy and energy efficiency. It is noted, though, that the absence of quantitative indicators to measure this contribution does not help to accurately assess its effectiveness. With regard to the outreach of target groups, TAF-ESA has in general not yet managed to involve the private sector or even adequately raise their awareness on TAF-ESA actions. The facilitation of partnership, industrial and technology cooperation is only just about to become activated.</p> <p>Significant added value has been attained from TAF-ESA. Important horizontal outputs have been the published country fiches, being developed in a consistent manner, published handbooks and workshops for training EUD staff on sustainable energy issues, and a unit costing report now being utilised for standard benchmarks in DEVCO. It is particularly noted that knowledge management actions such as the country fiches and energy handbooks have consolidated knowledge acquired in various missions and serve to increase awareness and knowledge towards the TAF beneficiaries, and at the same time also increase TAF visibility.</p> <p>Support to regional organisations also appears to be a particularly suitable activity for TAF, as seen by the very relevant, effective, sustainable and well-received support provided by TAF-ESA to African Union Commission. TAF is over-viewed by DEVCO which has a more direct access to the regional organisations than the country EUDs, and is therefore better suited to support the regional organisations.”</p>		
<p>This monitoring report of the RECASEB indicates that:  “Overall objective (impact): Contribute to the fight against poverty by promoting the objectives of SE4All (access, renewable energies, energy efficiency).</p> <p>Specific objectives (immediate effects): Improve the institutional framework of the sector at the regulatory and organisational level and accompany / encourage reforms.</p>	<p>Assistance Technique dans le cadre de l'appui institutionnel et du renforcement des capacités des acteurs du secteur de l'énergie au Bénin (RECASEB)  Contrat n°2016 / 375-777  Rapport préliminaire</p>	<p>More than satisfactory  Factual project monitoring</p>

Summary response	Sources of information	Quality of evidence
<p>Expected Results: The RECASEB program is intended to be a structuring intervention that will enable the setting up of the necessary fundamentals to define and then implement the priority actions aimed in particular at promoting investment (both public and private) in the sector.”</p>	16 janvier 2017 – 15 Avril 2017	
<p>This report of the “Energising Access to Sustainable Energy in Nigeria” states that:          “The implementation mechanisms are proper to achieve the expected results. There is a very good cooperation and regular meetings are planned. The feedback from beneficiaries has so far been very positive. They have expressed satisfaction with the project initiatives and measures as they were tailored to their needs.          With the exception of some outputs mainly for the rural electrification component, the action can be considered on track. The Action has delivered most of its planned outputs for the first period and there were good reasons for reformulating some results. The outputs are still coherent with local needs and constraints and it is likely they lead the expected outcomes.”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE)          Project reference 2011-023551          Report date 31/12/2015</p>	<p>Strong          Factual project monitoring</p>
<p>EUEI PDF / RECP</p> <p>The successive evaluations of the EUEI PDF projects show that:          “Most of the 16 evaluated projects were results oriented, with the exception of 3 projects:          In Cambodia, the spreadsheet supporting the estimate of the benefits from a national energy efficiency strategy was unclear and could not be replicated. This meant that the project has to date failed to gain approval from the Council of Ministers and be adopted as a national strategy.          The outputs defined in the ToRs have been achieved. Almost 1 year after the project’s completion and despite several on-going negotiations with DPs, none of the actions of the NEEAP have been implemented.          The SADC Regional Strategy results/outputs have been achieved. The quality of the output in strict sense (the report) was good. The use and utility of the output of the EUEI PDF activity has been negligible. The expected indirect outcomes have not been achieved, because none of the measurable outputs have been fulfilled.”</p>	<p>2016, 2015, 2014, 2013          Summary of findings of EUEI PDF external project evaluations</p>	<p>Strong          Factual project evaluation</p>
<p>The Mid-term review report of the EUEI PDF states that:          “After the end of an intervention, the partner country governments are expected to take over the product and use it. In some cases, they seek funding for implementation from other sources.          The private sector involvement plays a crucial role in raising the necessary funds and ensuring financial sustainability of RE projects. The RECP has piloted an innovative approach to leverage private sector funding and develop pipelines of bankable projects. The “Finance Catalyst” is an instrument that fills the gap between the early stage of projects and final investment decisions. Reportedly there is considerable private capital available for solar RE projects that cannot be invested in Europe due to market saturation. These funds can be redirected to emerging markets. It is too early to assess financial sustainability for RECP interventions that have only been fully rolled out in 2016.</p>	<p>EUEI PDF Mid-term Review Report          Mid-term Review Phase 3 (April 2015 – March 2017)          June 2017</p>	<p>Strong          Factual project evaluation</p>

Summary response	Sources of information	Quality of evidence
<p>However, the services provided so far have been much appreciated by private sector stakeholders. One interlocutor called the RECP B2B events the new “gold standard” for companies that seek new markets and are involved in RE project development. The response of private sector institutions to the RECP service is very positive. The interview partners involved in RECP services highlighted the usefulness and uniqueness of the support that RECP offers to private sector project development.</p> <p>Another case in point is the recent cooperation between RECP and the ElectriFI call for proposals. RECP advises immature private sector projects towards readiness for ElectriFI, thus increases the number of potential applicants and improves the quality of their proposed projects.</p> <p>Neither of the two RECP indicators is fully achieved yet, but progress made so far is good. RECP has established the “Financial Catalyst” as an instrument to support RE project development. So far, more than 150 projects have applied for support, 26 of which are currently receiving support through a team of experts. A first project in Burundi has proceeded towards financial closure and is about to be implemented (cp. also 3.5. Impact).</p> <p>A total of 1,776 market participants benefitted directly from RECP support (business-to-business meetings, information workshops, webinars and individual support). Their feedback is positive; the Business-to-Business (B2B) events led to matching of business partners and follow-up activities between participants. On average, 60 % of the participants could identify cooperation opportunities and arranged a follow-up. Feedback indicated that on a scale from 1 to 10 (10 being the most satisfied), the average rate for the general assessment of the sessions was 8. The high demand for market information is reflected in 6,042 downloads from the RECP website in 2017 (target by 2018 is: 5000).</p> <p>In a second intervention (2012) together with ECREEE, an <i>ECOWAS Regional Renewable Energy Policy</i> for ECOWAS was drafted. According to the interviewees, this intervention was considered to have a long-lasting impact because it contains a 15-year implementation plan. The installation of 28,000 mini-grids since the policy’s adoption was one tangible impact with contributions of the Strategic Energy Advisory and Dialogue Services (SEADS) services. The increased investment was thought to be, at least partially, a result of the framework conditions that were improved through the policy support provided by SEADS.</p> <p>In a third case study, SEADS had provided capacity building to the Energy Regulatory Commission of Kenya. The commission used the support provided to formulate the <i>Draft Energy Bill</i> and the <i>Draft National Energy Policy for Kenya</i> in 2014. In this case the authors of the study found it too early to directly attribute increases in RE capacity, EE or energy access to the SEADS interventions.”</p>		

Summary response	Sources of information	Quality of evidence										
<p>The Results Report indicates that in most cases the policy processes initiated have been concluded, for example with the adoption of a policy or strategy (at least, 34 cases of adoption and application). Implementation of policies and strategies however, require sufficient and continuous (financial and human) resources to achieve the defined targets. Ensuring that these resources are raised is not part of the short-term advisory services offered. Financial sustainability thus remains a challenge. Some positive examples show that it can be achieved when the clients are motivated and other suitable funding sources are available: in the case of Madagascar, the SEADS intervention led to a call for proposals for RE projects in seven provinces. The draft of the <i>Regional Renewable Energy Policy</i> for the Economic Community of West African States (ECOWAS) was considered to have contributed to the installation of 28,000 mini-grids. In Belize the Ministry of Public Service, Energy and Public Utilities (MPSEPU) used the SEADS advice on the Off-grid Rural Electrification Strategy and the Sustainable Energy Roadmap for its application to the EC EDF-11 Grant Cycle and acquired Euro 13.5m for its energy sector development.</p> <p>The Results Report analyses 52 interventions of SEADS finalised by the end of 2015 and concludes that 75 % of the interventions were successful in producing the expected outcomes as stated in the project documents. Including also other positive (unintended) outcomes, 80 % of the interventions can be graded as successful. The result chains between providing advisory services to actual impacts tend to be long. In addition, many other factors influence implementation (e.g. required funding, political commitment, changing policy conditions and priorities, staff capacities/staff turnover etc.) all of which are outside the boundaries of the EUEI PDF interventions. The attribution is hence difficult and requires a sound methodology which does not exist at the moment.</p> <p>The Results Report shows that in most cases the services and products provided by RECP and SEADS were in fact used and adopted by the partners. However, some interventions were not successful (20 % did neither achieve the intended nor any additional outcomes). Further analysis is needed to determine if the lack of capacities on the partner side has been the main reason for this. In that case, future interventions should be accompanied more systematically by tailor made capacity building measures. RECP already provides this kind of support.</p> <p><i>Table 3: Degree of intended outcome achievement with points and number of projects.</i></p> <table border="1" data-bbox="331 1198 1368 1382"> <thead> <tr> <th data-bbox="331 1198 562 1310">Differentiated assessment (points)</th> <th data-bbox="562 1198 779 1310">Very positive (3)</th> <th data-bbox="779 1198 981 1310">Positive (2 – 2.5)</th> <th data-bbox="981 1198 1182 1310">Partially satisfactory (1 – 1.5)</th> <th data-bbox="1182 1198 1368 1310">Unsatisfactory (0 – 0.5)</th> </tr> </thead> <tbody> <tr> <td data-bbox="331 1310 562 1382">No. of projects (%)</td> <td data-bbox="562 1310 779 1382">17 (35%)</td> <td data-bbox="779 1310 981 1382">11 (23%)</td> <td data-bbox="981 1310 1182 1382">11 (22%)</td> <td data-bbox="1182 1310 1368 1382">10 (20%)</td> </tr> </tbody> </table>	Differentiated assessment (points)	Very positive (3)	Positive (2 – 2.5)	Partially satisfactory (1 – 1.5)	Unsatisfactory (0 – 0.5)	No. of projects (%)	17 (35%)	11 (23%)	11 (22%)	10 (20%)	EUEI PDF Results Report Energypedia consult GmbH 2004-2015	Strong Factual project evaluation
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<p><b>RECP</b></p> <p><b>RECP Results up to May 2017</b></p> <p><b>Support to Investment-Related Framework</b></p> <ul style="list-style-type: none"> <li>» 1 training organised</li> <li>» 1 regional exchange organised</li> <li>» 1 advisory activity concluded</li> <li>» 2 advisory activities ongoing</li> </ul> <p><b>Market Information</b></p> <ul style="list-style-type: none"> <li>» 16 market briefings online</li> <li>» 1 "Doing Business Guide" finalised, 4 in preparation</li> </ul> <p><b>Project Opportunity Identification</b></p> <p>Identification in 4 African countries ongoing</p> <p><b>B2B and Match-Making</b></p> <ul style="list-style-type: none"> <li>» 21 events organised, 14 in preparation</li> <li>&gt; 1,975 participants</li> <li>&gt; 3,316 B2B meetings</li> <li>» 2 trade missions organised, 3 in preparation</li> <li>&gt; 14 European companies</li> <li>&gt; 112 African companies</li> </ul> <p><b>Project Preparation and Access-to-Finance</b></p> <ul style="list-style-type: none"> <li>» 182 applicants for advisory support</li> <li>» 35 applicants receiving advisory support</li> <li>» 12,251 unique visitors of online finance datab</li> </ul> <p><b>Innovation and Skills Development</b></p> <ul style="list-style-type: none"> <li>» Africa-EU RE Research and Innovat Symposium 2018 in preparation</li> <li>» 2 Africa-EU-Research events organi</li> <li>» 3 ongoing higher education suppor</li> <li>» 1 RE training programme supported</li> </ul> <p><b>Project Realisation</b></p> <p>"Feeding" projects into existing financing and instruments (ElectriFI, DFI instruments, amor</p>	<p>RECP Results Sheet June 2017</p>	<p>Strong Factual monitoring</p>
<p><b>(1) Guiding principles</b> (taken from: Reforming Technical Cooperation and Project Implementation Units for External Aid provided by the European Commission - A Backbone Strategy - July 2008)</p> <p>A set of principles will guide the future provision of EC-funded Technical Cooperation (TC), and the design of Project Implementation Arrangements. These principles will apply to all TC operations (notwithstanding the management mode, including decentralised and centralised management).</p> <p>1. <i>Focus on capacity development</i> – TC is provided with the primary aim of supporting internal country processes to promote capacity development at individual, organisational and countrywide levels. Where relevant, TC can be called upon to play other roles<sup>9</sup>, such as offering advice, providing support for the implementation and facilitation/preparation of EC cooperation.</p> <p>2. <i>Demand-led approach where TC is not provided by default</i> – The provision of TC must be based on the demand and requirements of the partner country. Costs and available options should be transparent. Appropriate dialogue and support may be needed in order to enable clear formulation of the demand for TC.</p>		

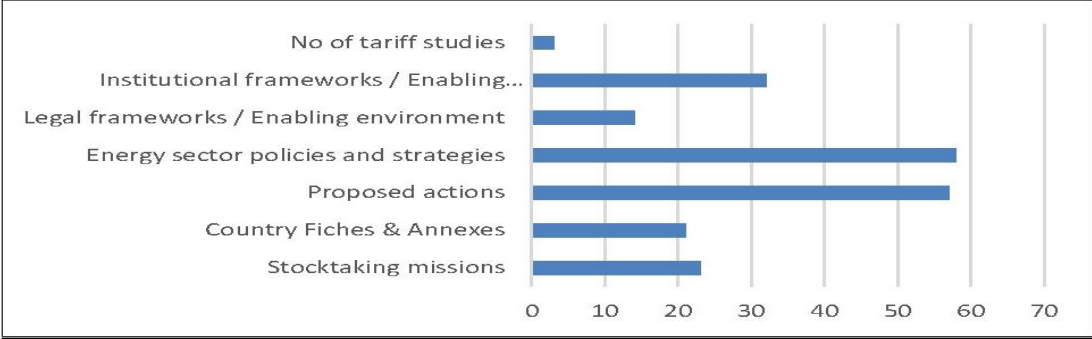

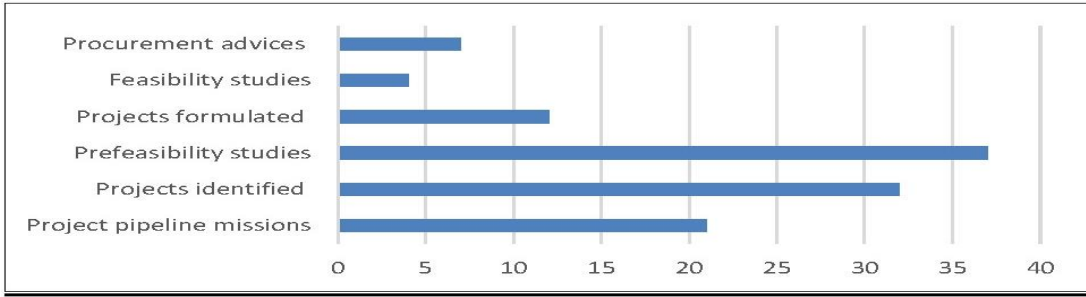
Summary response	Sources of information	Quality of evidence
<p>3. <i>Adopting a results-orientation</i> – TC design will ensure that TC inputs/activities are linked to targeted outputs which in turn lead to sustainable development outcomes. Appropriate indicators will be agreed on in advance to monitor the implementation of TC.</p> <p>4. <i>Country-owned and managed TC process</i> – Country partner ownership is the key underlying principle for the organisation of EC-funded TC. From the identification to the implementation phase, partner countries will be actively involved in the design of PIAs and TC-supported programmes, including the procurement of TC services and the management, review and accounting of TC results.</p> <p>5. <i>Taking account of country and sector-specific requirements</i> – TC support will build on a thorough understanding of the political, socio-cultural, sectorial and institutional context. Blueprint approaches should be avoided.</p> <p>6. <i>Working through harmonised and aligned action</i> – TC support will be closely coordinated with other donors and aligned to country strategies and programmes through the increased use of pooling arrangements or other harmonised approaches, such as delegated cooperation.</p> <p>7. <i>Avoiding the use of parallel PIUs and promoting effective Project Implementation Arrangements</i> – The use of parallel PIUs will be avoided as far as possible in favour of effective implementation arrangements that are fully integrated and accountable to national structures.</p> <p>8. <i>Considering different and innovative options for the provision of Technical Cooperation</i> – The design of TC support will consider alternatives to the use of international long- and short term consultants. These alternatives include the use of national and regional resources, twinning arrangements and knowledge transfer beyond standard training approaches.</p>		
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. The analysis clearly shows that all projects sampled are results oriented by design and most of them achieve the expected results, the rate of failure is very low.</li> <li>2. The lack of capacities on the partner side might have been the main reason for some projects not to achieve results.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• The evaluation of TAF-ESA clearly shows that the TAF interventions are clearly results oriented and have significant value added.</li> <li>• Two geographic support projects show to be results oriented.</li> <li>• From the 16 EUEI PDF / RECP projects analysed, only three clearly showed not to have achieved tangible results. But for two of these projects the results were achieved in strict sense, but the organisations that have to put the results into practice fail to do that.</li> <li>• The recent (July 2017) Mid-term Review of the EUEI PDF shows a very strong orientation to produce results.</li> <li>• Another external evaluation shows strong results orientation of the EUEI PDF. It analysed 52 interventions of SEADS finalised by the end of 2015 and concludes that 75% of the interventions were successful in producing the expected outcomes. The compounded analysis of the services and products provided by RECP and SEADS were in fact used and adopted by the partners, and that 20% of the interventions were not successful.</li> </ul>		

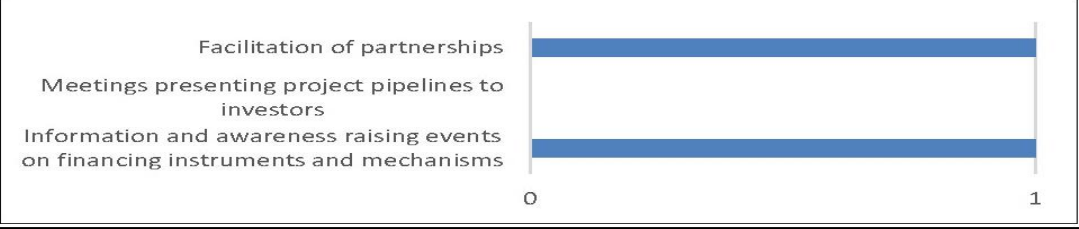
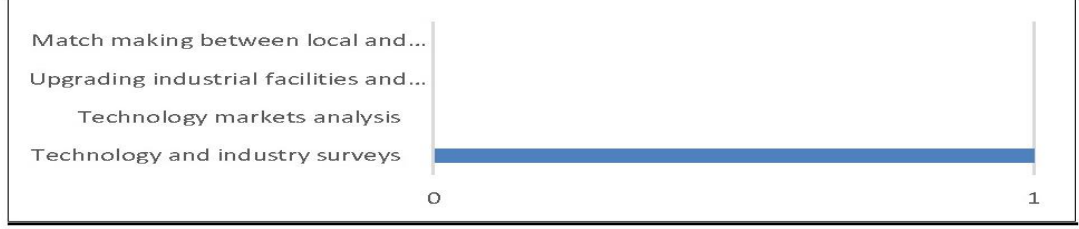
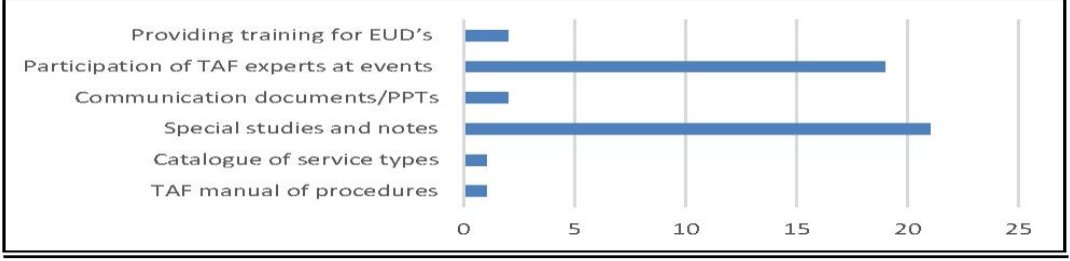
Summary response	Sources of information	Quality of evidence	
<b>JC 3.2 - Degree to which the different EU technical cooperation approaches have been well selected and managed</b>			
<b>I 3.2.1 - Evidence that the mix/type of TA (short-term vs. long-term support, workshops, study tours, twinning, peer exchange etc.) was adequate for addressing the identified need</b>			
Geographic support	<p>This ROM evaluation of the TAF-ESA indicates that:            “The mobilisation of funds from primarily private sources to finance priority investments and the facilitation of partnerships with the private sector (TAF-ESA Activity 4) have not been activated, with the notable exception of South Africa from the countries visited; in other cases it is merely restricted to supporting the Electrifi mechanism and the development of Investment Prospectuses. It is noted that enabling private sector participation is a strong priority of EC DEVCO, but the principles for directly supporting private sector engagement need to be developed. Furthermore, the facilitation of partnerships, industrial and technology cooperation (TAF-ESA Activity 5) is only just about to become activated, through an initial stocktaking study. Whereas the five main TAF-ESA's activities do not have an allocated budget distribution, it is important by the end of TAF-ESA to demonstrate that at least all have been directly activated.”</p>	<p>TAF Eastern and Southern Africa (ESA)             ROM evaluation             December 2016</p>	<p>Strong             Factual project monitoring</p>
	<p>This monitoring report of the RECASEB indicates that:            “The purpose of the mission was to validate the RECASEB capacity building program for which an identification fiche has been submitted to DEVCO for a € 20 million programme, by defining the institutional support component (needs for long-term technical assistance, specific appraisals, training programs, capacity building, specific sector studies, operation, equipment, management).”</p>	<p>Formulation du Programme d'appui institutionnel et de renforcement des capacités des acteurs du secteur de l'énergie (RECASEB) au Bénin            Rapport Intermédiaire – Final, 2015</p>	<p>Strong             Factual project monitoring</p>
Energy Facility	<p>The evaluation of the “Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR)” concluded that:            “The overall effectiveness of the different workshops is essentially limited by the fact that these workshops were not much “participative”: they essentially consisted of lectures, with limited time for questions, and virtually no time left for participants’ own work, preparation before the workshop and conclusions afterwards.</p> <p>The total number of man-months appears to be comfortable with respect to the achieved tasks, and would have been broadly sufficient to introduce more pedagogy in the workshops and require more preparation on the side of participants / beneficiaries.</p> <p>One single mark is proposed for this chapter “relevance” C. It summarises two facts:</p> <ul style="list-style-type: none"> <li>• Subjects addressed in workshops cover a substantial proportion of requirements of regulators;</li> <li>• Within the available time, i.e. three workshops of five days each, more subjects could have been covered.”</li> </ul>	<p>Evaluation of the Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR) - Synthesis Draft Report - December 2013            Contract 2013/312259</p>	<p>Strong             Factual project evaluation</p>

Summary response	Sources of information	Quality of evidence	
EUEI PDF / RECP	For the 8 EUEI PDF / RECP projects evaluated (and for which evidence was found) mix/type of TA was adequate for addressing the identified need, with 2 exceptions: 1. The level of capacity varies significantly between the key stakeholders (mainly MEDER, SENELEC and CRSE). Therefore, the trainings conducted were more effective for the more technically skilled, while staff with lower technical know-how had difficulties to comprehend the contents and one year after the project's end feels the "need for further training". 2. In Ghana and concerning the GIS support, the training period was too short and intensity too low. Continuous development and updating of the data not achieved.	2015, 2013 Summary of findings of EUEI PDF project evaluations	Strong  Factual project evaluation
Across all initiatives	Capacity development of the private sector, civil society and local government was weak in the early EF projects, but the more recent EDF 11 approaches seemed more promising in terms of private sector development – while there was a lot of entrepreneurial talent in Zambia, there was (as evidenced in ElectriFi) a particular challenge in building capacity for preparing feasibility studies and developing bankable project proposals. Also, many developers were unclear on the steps for investing in the energy sector.	Zambia country interviews	Strong
	Capacity building should preferably be inside the institutions and by highly skilled consultants always together with a pool of local experts. Workshops should be only around very specific themes and with a limited number of participants, having manuals to be used and tasks assigned to the participants.	Tanzania country interviews	Strong
	The different EU technical cooperation approaches (TAF, project consultants, EUEI PDF, and most recently, 3 embedded advisors), have been selected and managed with flexibility, but there was potential for widening the range of approaches (e.g. with institutional twinning for peer-to-peer exchanges) and there was also a need for a structured system to systematically screen TA support requests to select the most appropriate for support in each country. TAF was found good by partners but a lot depended on the individual consultants that were fielded, and the usefulness of TAF could benefit from providing for the use of longer-term advisors.	Ethiopia and Zambia country interviews	Strong
	The proportion of TA foreseen in the 11th EDF envelope for Rwanda to supplement the budget support implementation is too high and the modality of implementation might not be what the country needs. Some readjustments and directing money to other purposes may be required. The quality of some short-term TA offered has been questionable.	Rwanda country interviews	Strong
	The ToR of most of the consultants (e.g. via the TAF) have clear deliverables in terms of reports and studies and workshops but they do not clearly indicate any capacity development outcomes i.e. people who are trained or have their skills enhanced.	Rwanda and Tanzania country interviews	Strong
	TA well targeted towards key gaps and needs in the sector. However, TAF support to the Ministry would have requested more attention to political factors and may have been implemented too early. The Liberian energy sector appears highly politicised and uncoordinated.	Liberia country interviews	Strong



Summary response		Sources of information	Quality of evidence
	TA was flexible and provided high quality services – a wide range of capacity development approaches (embedded advisers). Three long term advisers were recruited to implement the capacity development project, and inputs from short term advisers are planned. TAF has been responsive and supported the cooperation programme formulation. The flexibility of the TAF instrument and the participatory approach was acknowledged and appreciated by partners.	Benin country interviews	Strong
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>1. The amount of projects sampled during desk phase and where evidence could be found for this indicator was limited.</li> <li>2. Evaluation reports during desk phase and country visits showed that TA projects addressed identified needs, so they were well selected.</li> <li>3. A number of country visits indicates that one needs to assess critically the type of TA support that countries need.</li> <li>4. The country visits indicate that TA for the private sector is insufficiently addressed by EU energy programmes.</li> </ol>			
More specifically:			
<ul style="list-style-type: none"> <li>• In one geographic support project the mix of TA activities that by design was proposed has been validated by a monitoring mission and the kind of engaged TA was found to address the needs.</li> <li>• The different kinds of technical assistance to be provided by TAF-ESA were mostly activated, except for two activities. This might be caused by the fact that the activities in most countries had yet a short track record at that time.</li> <li>• One EF project shows that the workshops were not completely adequate to address the identified needs.</li> <li>• The 8 EUEI PDF / RECP projects where relevant information was found addressed the identified needs, with 2 exceptions as indicated above.</li> </ul>			
<b>I 3.2.2 - Evidence that the TAF responded to the demands of the ToR, delivered the support needed and monitored results</b>			
TAF	<p>A proxy for good programme management is that specific indicators are defined to measure the achievements and that effective monitoring is done against these indicators. This report of the TAF-WCA facility indicates that:</p> <p>Two types of indicators are considered in order to measure the TAF achievements and impact:</p> <p><b>a) Output indicators:</b> These indicators are the first step in developing a comprehensive set of performance indicators as they measure the direct outcome of the different activities and identify in which activity areas impacts can be expected.</p> <p><b>Impact indicators:</b> These indicators aim at measuring the TAF missions' impacts, which is difficult considering the short period of project implementation (only four years) and limited size of TAF missions. To take the aspect of relevance into account, it is proposed to prepare two sub-sets of impact indicators (i) <b>Quantifiable impact indicators</b>, and (ii) <b>Qualitative impact indicators</b>.</p> <p><b>TAF Activity Area 1 - Initial stocktaking and establishing national energy sector policies</b></p>	<p>Technical Assistance Facility for the Sustainable Energy for All Initiative (SE4ALL) West and Central Africa</p> <p>Sixth Progress Report</p> <p>01/07/2016 - 31/12/2016</p>	<p>Strong</p> <p>Factual project monitoring</p>

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Catalogue of service types	1																																	
TAF manual of procedures	1																																	
<p>This ROM report of the TAF-WCA indicates that:</p> <p>“Although a total of thirty four objectively verifiable indicators of achievement have been identified in the implementing consortium’s proposal, neither related quantitative targets nor current baseline values have been defined. An indicative example are the four key indicators associated with the overall objective: 1.</p>	<p>ROM Report</p> <p>EU Technical Assistance Facility for the Sustainable Energy for All</p>	<p>Strong</p> <p>Factual project monitoring</p>																																

Summary response	Sources of information	Quality of evidence
<p>percentage increase of levels of private and public investment in the energy sector in the region; 2. percentage annual increase in energy access in rural and remote areas; 3. percentage increase of renewable energy sources as a proportion of total energy supply; and 4. percentage annual increase of energy efficiency across the region. These indicators, without baselines and targets, are clearly vague and open to various interpretations. They are also quite generic and apparently do not comply with the PCM / LFA principles. This is further indicatively illustrated by the two indicators provided for the first activity / expected result on energy sector policies: 1. baselines and benchmarks established; 2. recommendations provided.</p> <p><u>Effectiveness</u></p> <p>A large number of horizontal and country-specific deliverables were submitted by TAF-WCA, generally of good quality as judged from the sample examined: 1) Formulation Report in Nigeria: good quality, 2) Rural Electrification Strategy in Rwanda (Final Report): very good quality, 3) Appui à la Formulation d'ENERGOS II in Côte d'Ivoire: good quality, 4) Country Fiches: very good homogenised pamphlets, 5) Sustainable Energy Handbook: very good training content in homogenised module templates.</p> <p>There have been individual evaluations / appraisals from the EUDs following each TAF-WCA mission, none of which has resulted in the rejection of the mission's deliverables. In around 10% of the cases, adjustments are requested by the EUD before approving the deliverables. However, in Côte d'Ivoire which was subject to the ROM review mission, delays in the production of some outputs have affected the timely delivery of other outputs and outcomes. Furthermore, difficulties or errors in the estimation of local partner needs have extended the times of delivery and hampered the production of related outputs.</p> <p>TAF-WCA has contributed to its overall objective given that it contributes to improved policy and regulatory framework conditions enabling increased investment in energy access, energy supplies, renewable energy and energy efficiency. On the other hand, the absence of quantitative indicators to measure this contribution does not help to assess its effectiveness. The only quantitative target is NKE time absorption, which is significantly behind schedule. In particular, after 2.5 years of the 4-year TAF-WCA's</p>	<p>Initiative - West and Central Africa - C-335152</p> <p>2016-11</p>	

Summary response	Sources of information	Quality of evidence
<p>implementation period according to information provided in the latest progress report, only 25% of the NKE time has been absorbed. With regard to the outreach of target groups, TAF-WCA has not yet managed to involve the private sector or even adequately raise their awareness on TAF-WCA actions. The facilitation of partnership, industrial and technology cooperation is only just about to become activated.</p> <p>Significant added value has been attained from TAF-WCA. It has the benefit of supporting task (mission) development, implementation and follow-up activities (often leading to new task development), i.e. the full project cycle. Important horizontal outputs have been the published country fiches being developed in a consistent manner, published handbooks and workshops for training EUD staff on sustainable energy issues, and a unit costing report now being utilised for standard benchmarks in DEVCO. In Côte d'Ivoire, the presence of a full time long term expert and his coordination and cooperation of the other NKEs is also considered as a good practice.</p> <p>Conclusions Effectiveness: Significant added value has been attained from TAF-WCA. Important horizontal outputs have been the country fiches, training handbooks / workshops and unit costing report, and important country achievements have been the enabling environment in Côte d'Ivoire, rural electrification strategy of Rwanda, harmonisation of tariffs in Senegal (on-going), electrification in Monrovia and setup of Liberia's Regulatory Agency."</p>		
<p>This ROM evaluation of the TAF-ESA indicates that:</p> <p>"Sustainability: TAF-ESA covers the full project cycle (task planning, implementation and follow-up), offering quick and flexible expert support in response to the spontaneous needs of EUDs and partner country beneficiaries. TAF-ESA also retains an overview of what is happening in the different countries and overall region, and uses this information for the overall coordination and benefit of activities.</p> <p>In terms of implementation, TAF-ESA has not fully benefitted from the extended and complementary experience of the eight-partner implementing consortium. Given that TAF-ESA was designed to be</p>	<p>TAF Eastern and Southern Africa (ESA)</p> <p>ROM evaluation</p> <p>December 2016</p>	<p>Strong</p> <p>Factual project monitoring</p>

Summary response	Sources of information	Quality of evidence
<p>implemented solely by four KEs and a number of individual NKEs to be selected during the TAF-ESA implementation, technical backstopping from the side of the consortium partners proved limited (with the exception of large contributions from the project coordinator, STEF administrator, financial accounts manager and IT development manager). Nevertheless, the partners have been attributed technical leadership in their respective areas of very high expertise, and are willing to support the consortium as well as DEVCO directly on specialist issues.</p> <p>There have been individual evaluations / appraisals from the EUDs following each TAF-ESA mission, none of which have resulted in the rejection of the mission's deliverables. In around 10% of the cases, adjustments are requested by the EUD prior to the approval of the deliverables. EUDs, not having direct responsibility for overseeing TAF-ESA, report to need more information, communication and follow-up regarding its activities, through an appropriate knowledge management system.</p> <p>Effectiveness: The quality of outputs is deemed as good, based on an examined sample from a large number of horizontal and country-specific deliverables submitted by TAF-ESA. Significant added value has been attained from TAF-ESA. Important horizontal outputs have been the country fiches, training handbooks / workshops and unit costing report, and significant country support has been provided to Zambia, Tanzania, Uganda, Kenya and Eritrea (over three missions each). Horizontal knowledge management deliverables are in particular seen to be of very good quality, indicating a suitable mode of TAF support, which may be further enhanced through some Brussels-based KEs for updating, follow-up and dissemination.”</p>		
<p>The EU's SE4ALL TAF has created a number of "Energy Sector Country Fiches" to serve as a quick reference tool for the EU staff and as a support to discussion and dialogue in the sector. The Zambia country fiche - as other similar fiches - was set out in two parts i) a basic two page fiche that contains quantitative macro-economic and energy data for the country in question; ii) 4 annexes that are more qualitative in nature: Annex 1: Primary data statistics and access to modern energy sources; Annex 2: Institutional and political framework; Annex 3: Electricity sector assessment; Annex 4: National targets for energy access, renewable energy and energy efficiency. The country fiche (dated 2015) is found useful and has informed</p>	Zambia country interviews	Strong

Summary response	Sources of information	Quality of evidence
EUD staff in its dialogue with partners and the fiche is also attached for information as an annex in consultant ToR.		
The different EU technical cooperation approaches (TAF, project consultants, EUEI PDF, and most recently, 3 embedded advisors), have been selected and managed with flexibility, but there was potential for widening the range of approaches (e.g. with institutional twinning for peer-to-peer exchanges) and there was also a need for a structured system to systematically screen TA support requests to select the most appropriate for support in each country. TAF was found good by partners but a lot depended on the individual consultants that were fielded, and the usefulness of TAF could benefit from providing for the use of longer-term advisors. The 2016 TAF ESA ROM found the Zambia response to TA “slow”, but the very active TAF pipeline informed by the EUD to the evaluation team seemed to reflect a more dynamic current situation.		Strong
The TA offered via the TAF depends on the needs and those needs were identified by the partner institutions together with the EUD (for example the development of the Energy Efficiency Strategy). The ownership of the TA was high as the consultants work in close cooperation with the government officials	Tanzania country interviews	Strong
TAF support was mobilised to formulate the EDF 11 Support to the Energy Sector and to conduct a stakeholder analysis.	Nigeria country interviews	Strong
The ToR of most of TAF consultants had clear deliverables in terms of reports and studies but they did not clearly enough indicated any capacity development outcomes.	Liberia, Rwanda country interviews	Strong
TAF is good but a lot depends on the individual consultants that are fielded, and TAF should provide for the use of longer-term advisors	Ethiopia country interviews	Strong
TAF support and studies were generally demand-led, partner owned and result oriented. Except for the TAF supported formulation of ENERGOS, which according to the delegation and country stakeholders, it was HQ driven process.	Ivory Coast country interviews	Strong
TAF support in capacity development was considered as efficient and appropriated. However, it generated high level of expectations and changes in EU strategies were not well communicated. The flexibility of the TAF instrument and the participatory approach was acknowledged and appreciated by partners.	Benin country interviews	Strong

Summary response	Sources of information	Quality of evidence	
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>From the documentation available and from the country visits one can conclude that the TFA-WCA and TAF-ESA respond in a flexible way to needs which are clearly defined in their ToR and monitor the results of their actions..</li> <li>From country visits there were indications that some longer-term support would have been more appreciated.</li> <li>The ToR had clear deliverables in terms of reports and studies but they did not clearly enough indicated any capacity development outcomes.</li> </ol> <p>More specifically</p> <ul style="list-style-type: none"> <li>The TAF-WCA has specified indicators for most activities. This is a proxy for measuring whether the management of the TAF is done appropriately.</li> <li>An impressive number of actions within each activity area have been implemented.</li> <li>Significant added value has been attained from TAF-WCA.</li> <li>Although a total of thirty four objectively verifiable indicators of achievement have been identified in the implementing consortium's proposal, neither related quantitative targets nor current baseline values have been defined.</li> <li>The quality of outputs of TAF-ESA is deemed as good, based on an examined sample from a large number of horizontal and country-specific deliverables submitted by TAF-ESA. Significant added value has been attained from TAF-ESA. In terms of implementation, TAF-ESA has not fully benefitted from the extended and complementary experience of the eight-partner implementing consortium.</li> <li>For both TAFs, there have been individual evaluations / appraisals from the EUDs following each TAF mission, none of which have resulted in the rejection of the mission's deliverables. In around 10% of the cases, adjustments are requested by the EUD prior to the approval of the deliverables.</li> </ul>			
<p><b>I 3.2.3 - Evidence that the EUDs are equipped with adequate expertise to support and monitor the TA interventions</b></p>			
Geographic support	<p>The Action Fiche of the “Energising Access to Sustainable Energy in Nigeria” states that: “EUD has been able to manage and monitor the action implementation. However its role is not always clear to all the involved actors. I.e. this is the case of the capacity building component 4 and in the re-forestation component in Katsina state. EUD should increase its presence and contacts will all the involved stakeholders instead that only with the implementing partners.”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE) Project reference 2011-023551 Report date 31/12/2015</p>	<p>Strong  Factual project monitoring</p>
	<p>This report of the TAF-WCA facility indicates that: “During the reporting period, TAF assisted DEVCO to prepare a 3-day training session dedicated to energy that took place in October 2015 in Brussels. The training session gathered representatives of EUD staff in charge of the energy sector all over the world, and representatives of EC staff in Brussels with interest in the energy sector. TAF provided to support to DEVCO for the preparation of a number of presentations, including:</p> <ul style="list-style-type: none"> <li>Short overview of the energy sector in the world and in developing countries and its main challenges</li> <li>What is energy and units to measure energy</li> </ul>	<p>Technical Assistance Facility for the Sustainable Energy for All Initiative (SE4ALL) West and Central Africa Fourth Progress Report 29/01/2016</p>	<p>Strong  Factual project monitoring</p>



Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>Rural electrification (general introduction, on-grid, off grid mini grid, off grid stand alone, budget support of rural electrification)</li> <li>Introduction to the simplified financial models and case studies</li> <li>Bioenergy and biogas &amp; clean cooking systems</li> <li>Renewable Energy (Solar PV, Hydroelectricity)</li> </ul> <p>The Energy handbook modules were presented and distributed to the participants.”</p>		
EUEI PDF / RECP	<p>The Mid-term review report of the EUEI PDF states that:  “‘The EC and EU Member States that fund the EUEI PDF have regularly attended the annual Steering Committee meetings and are most of them are in regular contact with the programme. However, the evaluation team is under the impression that the EUEI PDF donors could use this instrument more actively in various on-going and future policy making processes and for increasing European coordination and cooperation with the partner countries. Also, compared to the active day-to-day steering of the EU Technical Assistance Facility (TAF), DG DEVCO has taken much less active interest in the active steering of the EUEI PDF.’”</p>	<p>EUEI PDF Mid-term Review Report  Mid-term Review Phase 3 (April 2015 – March 2017)  June 2017</p>	<p>Strong  Factual project evaluation</p>
Energy Facility	<p>This evaluation audit of the Energy Facility by the European Court of Auditors indicates that:  “‘The Commission did not monitor all projects properly. Reports submitted by the implementing partners were of uneven quality and the Commission did not attempt to enforce compliance with their reporting obligations. For some projects, it did not make sufficient use of on-site visits to projects and results-oriented monitoring (ROM) reviews to complement the information provided by the implementing partners, particularly when projects were known to encounter serious difficulties. For some projects which experienced serious implementation difficulties, the Commission did not take appropriate and timely measures.</p> <p>EF II project 6 (Wood and charcoal) is being implemented in several countries by a private forestry company. It started in March 2012 and, less than 1 year from its planned completion date (July 2015), the innovative charcoal component had made no progress and was unlikely to materialise. EU delegations in the countries concerned had not sought to identify the reasons for the project’s failure, nor had they taken any action in response.’”</p>	<p>ACP–EU Energy Facility support for renewable energy in East Africa  Evaluation audit Energy Facility  European Court of Auditors, 2015</p>	<p>Strong  Factual project evaluation</p>
	<p>The Mid-term evaluation findings indicate that:  “‘EC management of the 1<sup>st</sup> EF Call has been satisfactory in a number of respects. Time to Contract performance, as measured from the time of proposal selection to time of contract signature, was acceptable; particularly when one takes into account the fact that most of the project contracting is carried out by EUDs across the ACP countries. Regarding <b>EF monitoring</b>, the EC has invested significant effort in creating monitoring EF-supported projects, in particular through the <i>Energy Facility Monitoring</i> initiative. As part of the EC’s contribution to management of the 1<sup>st</sup> Call, the <i>EF</i></p>	<p>Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF  Final Report  Volume I – Main Report  February 2012</p>	<p>Strong  Factual project evaluation</p>

Summary response	Sources of information	Quality of evidence
<p><i>Monitoring (EFM) feedback on EF project progress reports<sup>79</sup> has been found to be for the most part useful by EU Delegations, although it is not clear if they have other support needs that are not being met. Similarly, the EC contribution via ROM monitoring of projects has for the most part been seen as useful, although some improvements can be made as to the timing of ROM Missions in EF project cycles.</i></p> <p>Nonetheless, the evaluation findings suggest that a number of improvements need to be made to strengthen monitoring. A key challenge, and one to a significant extent outside of the direct control of the EC, is that too many EF projects are not providing sufficiently detailed project reporting, and this needs to be addressed as a matter of priority, as it is impeding overall Facility-level monitoring of the 1<sup>st</sup> Call. Regarding the <b>role of EU Delegations</b> (EUDs), the evaluation work has highlighted their keen interest and commitment to the EF 's work, the value of their local knowledge, and their generally good working relationships with EF projects. However, a significant number of EU Delegations also report being constrained by capacity (primarily staffing) shortages, and a number of them consider that their own contract oversight and management can be improved with a view to maximising EF project impact and sustainability.”</p>		
<p>The monitoring report of the “Rural electricity infrastructures and small scale projects in Zambia states that: “Unfortunately, energy and electrification is currently not a focus area for the EUD in Zambia. The EF is managed from EC Headquarters (EC HQ) in Brussels. The EUD Zambia lacks the time, resources and expertise to handle it. Additionally division of labour, competencies and responsibilities between EC HQ and the EUD are unclear. Consequently, the project has become an orphan and its implementation is seriously suffering from lack of support.”</p>	Rural electricity infrastructures and small scale projects - Zambia Monitoring Report MR-130441.01 14/05/2010	Strong Factual project monitoring
<p>The evaluation of the “5 cross-border rural electrification projects of the WAPP” states that: “It must be noted that the projects with difficulties in their development like Ivory Coast-Liberia have been closely followed by EUD in Liberia. Our conclusion is that supervision should be improved on the side of EUD either increasing the ROM or the direct supervision by EUD task managers.”</p>	Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP) Contract N°2014/337964 Final report, May 2014	Strong Factual project evaluation
<p>--- This discussion paper states that: “DG-DEVCO has made efforts to revamp its approach to managing for results, in response to the demands of both taxpayers and member states for greater transparency in and accountability on public spending, and also to address the shortcomings of past evaluation systems. The new Results Framework (RF) has been designed to measure the results achieved against strategic development</p>	Implementing the Agenda for Change An independent analysis of the 11th EDF programming. Discussion paper. <a href="http://www.ecdpm.org/dp180">www.ecdpm.org/dp180</a> September 2015	Strong Factual programme analysis

<sup>79</sup> Energy Facility Project Progress Reports are sent to the relevant EU Delegation, with an up-to-date report on the project's technical and financial progress.

Summary response	Sources of information	Quality of evidence
<p>objectives, and to provide information on key aggregated results achieved with the contribution of EU assistance. Using a bottom-up approach, indicators were selected on the basis of their quality, established data sources, aggregation potential and alignment with SDGs. The RF is a major achievement, attaining a high-priority political objective in a context of limited resources. It will also become a key operational tool providing more solid evidence of the results achieved in various sectors, and generating performance data to inform future programming choices. The main concern now is to maintain quality standards and match ambition with capacity: professionalisation is not something that will take place overnight, nor will the necessary changes in mentality and procedures. DG-DEVCO will need to make major efforts to ensure that EUDs have a critical mass of people ready to adequately feed the new RF.</p> <p>With the higher proportion of administrative expenditure in the EDF, DG-DEVCO will need to adjust its human resources management policy to better reflect its current needs, in terms of expertise, monitoring results and managing knowledge. This is clearly an issue that requires attention from both HQ and the EUDs. Such a human resources management policy should be linked to DG-DEVCO Knowledge Management Strategy and to its strategy for optimising the use of human resources and implementing modalities in EUDs.</p> <p>EUDs are also worried that EU aid effectiveness will be compromised if staff cannot dedicate sufficient time to policy dialogue, context analysis, monitoring and learning in general, at a time of rising EUD budgets for development cooperation per country.</p> <p>The reality is that, over the past few years, EUDs have focused on recruiting contract managers rather than technical specialists. “What the management need to do is to adopt a much more qualitative approach rather than focus on the quantity of staff. Either they care about aid effectiveness and the quality of aid or they acknowledge that most staff are going to be purely contract managers”, a member of EUD staff commented.</p>		

Summary response	Sources of information	Quality of evidence	
	<p>Several EUD and member state stakeholders were concerned that EUDs were ill-equipped to enter the energy sector. In the words of a EUD interviewee, “the EUDs have limited technical capacity in the energy sector. The assumption is that blending and linkages with European banks will be important in energy, but EUDs do not generally have a strong grasp of how blending is supposed to work”. A EUD Head of sector said that “in energy, we start from nothing. We don’t have any expertise, we don’t have sector analysts in the country, and energy is a highly politically sensitive issue.”</p>		
	<p>This Dutch evaluation states that:</p> <p>“Across the board, EUDs have indeed played a role in supporting and promoting donor coordination. They are perceived to be a committed player in this domain (e.g. in relation to political issues and general budget support). The leading role of the Delegation depends foremost on the Head of Delegation. This confirms Renzio (2005) observation that <i>personalities</i> are a fundamental factor in the success or failure of harmonisation efforts, especially at country level.”</p>	<p>The Netherlands and the European Development Fund - Principles and practices. Evaluation of Dutch involvement in EU development cooperation (1998-2012) March 2013</p>	<p>Strong</p> <p>Factual project evaluation</p>
<p>Across all initiatives</p>	<p>The EUD was first overwhelmed by the additional tasks and skills required to support the enhanced energy agenda of the EU. Successive request were made for support that first resulted in adequate staff levels, but now again their capacity to deal with the vast energy portfolio was not sufficient due to delays in filling up a staff position.</p>	<p>Benin and Tanzania country interviews</p>	<p>Strong</p>
	<p>The EUD was initially not adequately equipped to deal with energy issues and had to ask HQ repeatedly for additional capacity (Liberia).</p>	<p>Rwanda and Liberia country interviews</p>	<p>Strong</p>
	<p>The EU learned important lessons from the EF projects in terms of shortcomings in project preparation and implementation challenges. The mid-term evaluation reports (2011/2012) for the Increased Access to Electricity Services (IAES) project supported by EU under the EF and the World Bank and the World Bank Implementation Completion and Results Report for the same IAES project held important and quite detailed lessons concerning the challenges of reaching poor households with grid connections and will not be repeated here. Similarly (as also observed by the evaluation team during its field visit in the Mumbwa Concession Area B), the Mid-term Review (July 2013) for the “Rural Electrification Infrastructure and Small Projects” had several critical findings concerning the</p>	<p>Zambia country interviews</p>	<p>Strong</p>

Summary response	Sources of information	Quality of evidence
design and implementation of this project supported by EU under EF funding. These lessons informed the more recent interventions supported by the EU....”		
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. Some EUDs were apparently not sufficiently involved with monitoring energy projects implementation neither they had the resources in terms of staff and adequate technical knowledge to do that. The country visits partly confirm this finding.</li> <li>2. The country visits showed that presently the EUDs are much better equipped to deal with energy projects and know-how, although occasionally they experience difficulties as the EU HQ is slow in filling up vacant positions.</li> </ol> <p>More specifically</p> <ul style="list-style-type: none"> <li>• The monitoring of one geographic support project has indicated that EUD should be more involved with the implementation and that its role should be clear to all.</li> <li>• TAF provided support to DEVCO and a number of EUDs to enhance their knowledge of key energy issues. An Energy Handbook was developed.</li> <li>• The Mid-term Review report of the EUEI PDF states that, compared to the active day-to-day steering of the EU TAF, DG DEVCO has taken much less active interest in the active steering of the EUEI PDF.</li> <li>• The audit of the Energy Facility by the European Court of Auditors states that “the Commission did not monitor all projects properly. Reports submitted by the implementing partners were of uneven quality and the Commission did not attempt to enforce compliance with their reporting obligations”. Also it states that even when some projects give clear indications of failure that no appropriate measures are taken.</li> <li>• The Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF states that EC management of the 1<sup>st</sup> EF Call has been satisfactory in a number of respects. Nonetheless, the evaluation findings suggest that a number of improvements need to be made to strengthen monitoring. Regarding the role EUDs, the evaluation work has highlighted their keen interest and commitment to the EF’s work, the value of their local knowledge, and their generally good working relationships with EF projects. However, a significant number of EUDs also report being constrained by capacity (primarily staffing) shortages, and a number of them consider that their own contract oversight and management can be improved with a view to maximising EF project impact and sustainability.</li> <li>• Monitoring of the “Rural electricity infrastructures and small scale projects in Zambia” shows serious deficiencies from the side of EC HQ and EUD.</li> <li>• The evaluation of the 5 cross-border electrification projects shows that supervision should be improved on the side of EUD either increasing the ROM or the direct supervision by EUD task managers.</li> <li>• The independent analysis of the 11th EDF programming, makes some strong statements about the capacity of DEVCO and especially EUDs to deal with the increased load of work. It states that over the past few years, EUDs have focused on recruiting contract managers rather than technical specialists. Several EUD and member state stakeholders were concerned that EUDs were ill-equipped to enter the energy sector.</li> </ul>		
<p><b><i>C 3.3 - Degree to which EU technical assistance has led to an increased capacity in key selected partner institutions</i></b></p>		
<p><b>I 3.3.1 - Evidence that the EU support has strengthened the enabling environment at sector level for key partner institutions</b></p>		

Summary response		Sources of information	Quality of evidence
Geographic support	By design the “Projet d'appui au secteur de l'énergie en Côte d'Ivoire“ targets good governance:  “The project aims to improve the governance of the energy sector, in particular by contributing to the drafting of the regulatory texts of the new electricity code, the drafting of strategy papers and the implementation of a sector coordination framework.”	Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS) Numéro CRIS: 037-943	Indicative but not conclusive  By design
	The Action Document of the “Energy Sector Policy Support Programme in Vietnam” states that: “While there is a clear commitment from the Government to implement its energy policy, there is a need to build/consolidate management capacity, as well as policy-making capacity which will enhance the governance of the sector. The on-going power market reform and the new strategy for the development of renewable energy which will be key to making electricity generation "greener" and contributing to low-emission development, as well as the energy data system need to be supported. The specific objectives are: 1. To support the implementation of the national programme on electricity supply to rural, mountainous and island areas 2013-2020. 2. To enhance the governance of the energy sector.”	Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam  CRIS number: 2015/037-972	Indicative but not conclusive  By design
	The Action Fiche for the “Barbados Smart Renewable Energy Program for the Public Sector” states that: “In terms of good governance, the improvement of the legal and regulatory frameworks in the energy sector is a priority.”	Action Fiche for Barbados Smart Renewable Energy Program for the Public Sector  CRIS No. FED 2012/024-187	Indicative but not conclusive  By design
	The monitoring report of the “Energising Access to Sustainable Energy in Nigeria” states that: “Through the intervention of the programme the overall framework conditions within the energy sector will be significantly improved. This in and of itself is an important element in securing long term sustainability of the programme outputs.”	Energising Access to Sustainable Energy in Nigeria (EASE) Project reference 2011-023551 Report date 31/12/2015	Indicative but not conclusive Project monitoring, but still by design
Energy Facility	The evaluation report of these Technical Assistance Projects states that: “The intermediate impact, i.e. essentially on the regulatory authorities and on the decision making process in each country, would remain limited, as the workshops did not involve significant work of regulators or other institutions regarding changes and improvements in the organisation and regulatory patterns of national electric power systems.”	Evaluation of the Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR) - Synthesis Draft Report - December 2013  Contract 2013/312259	Strong  Factual project evaluation

Summary response		Sources of information	Quality of evidence
	The final report of the “Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia” shows that: “As a consequence of the successful implementation of the Action, the Rural and Renewable Energy Agency is now significantly developed into an effective and efficient organisation, with the capability to implement and fulfil its mandates. The Action’s implementation meaningfully influenced the passage into law of the Rural and Renewable Energy Agency’s Act.”	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia - Final narrative report  July 2016	Strong  Factual project evaluation
EUEI PDF / RECP	The evaluation of 16 projects shows that in all but one project, the support of the EUEI PDF / RECP has strengthened the enabling environment at sector level. Some examples: <ul style="list-style-type: none"> <li>• “The project and its design are embedded in the Regional Electricity Regulators Association of Southern Africa and the outputs are used in several of its sub-committees. At least in the two countries where case studies have been implemented there is more follow-up and subsequent activities.”</li> <li>• In Senegal, “the Renewable Energy (RE) law and its implementation process is now more widely accepted than before the project (...). The involvement of a wide array of stakeholders, especially the private sector, in the implementation process contributed to decreasing resistance / increasing trust in the RE legislation. The instruments developed by the project are absolutely necessary for the implementation of the RE law and thus likely to be sustainable.”</li> </ul> <p>In Cambodia the enabling environment was not strengthened, the Energy Efficiency strategy was not adopted by the Council of Ministers.</p>	2016, 2015, 2014, 2013 Summary of findings of EUEI PDF project evaluations	Strong  Factual project evaluation
Across all initiatives	EU support strengthened the enabling environment at sector level for key partner institutions (for instance TAF supported: Policy Support to Improve the Enabling Environment of the Zambian Energy Sector; Zambia Energy Efficiency Quick Win Actions and Specific Electricity Indicators; Renewable Energy Targets for Zambia – and in the pipeline were: capacity building in policy and regulatory framework, Improving REAs strategy; Scoping Study for Net Metering - Captive Power in Zambia.	Zambia country interviews	Strong
	<ul style="list-style-type: none"> <li>• NESP enhanced the technical capacity of GoN at federal level and in 5 states to create an enabling environment for investment; e.g. with a database, a GIS system (with a server at FMPWH and a GIS centre in each of the 5 states) and algorithms to identify the best mini-grid locations (for market intelligence) and state rural electrification plans – and training on the use of the systems. This work also made the states knowledgeable of their RE resources.</li> <li>• EU support has since 2016 provided TA to ECOWAS and ECREE vis-à-vis regional dialogue and energy governance and policy development. (JC3.3, I 3.3.1/2, Interview NIG19)</li> </ul>	Nigeria country interviews	Strong
	EU support has strengthened the enabling environment at sector level for key partner institutions. The early EU support for the SE4ALL gap analysis was timely and strategic and enabled Ethiopia to be	Ethiopia country interviews	Strong

Summary response		Sources of information	Quality of evidence
	the second African country to adopt a SE4ALL action agenda that has since been integrated into approved formal national development policies and strategies.		
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>1. The EU technical assistance has strengthened the enabling environment at sector level for key partner institutions.</li> <li>2. For the geographic projects there is still not enough evidence to support this finding. However, a number of country visits have confirmed this indicator.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• The four geographic support projects aim by design at strengthening the enabling environment at sector level for key partner institutions.</li> <li>• One EF project is strengthening the enabling environment at sector level for key partner institutions.</li> <li>• One EF project has failed to strengthen the enabling environment at sector level for key partner institutions.</li> <li>• The evidence from the 16 EUEI PDF / RECP external project evaluations shows that the enabling environment at sector level for key partner institutions has been strengthened. Only one project showed clearly that this was not the case.</li> </ul>			
<b>I 3.3.2 - Evidence that the EU support has strengthened the skills of core personnel and where relevant the structure and functional organisation of the key partner institutions</b>			
Geographic support	This report of the “Energising Access to Sustainable Energy in Nigeria” states that: “Institutional and management capacity of federal and state government agencies will be improved by strengthening their capacity for policy formulation, public management and human resources development. The provision of advisory services and the improvement of management capability of various institutions, especially at State level (Rural Electricity Boards) will enable them to better carry out their tasks well after the end of the joint EU/GIZ support.”	Energising Access to Sustainable Energy in Nigeria (EASE) Project reference 2011-023551 Report date 31/12/2015	Strong  Project monitoring, but still by design
	The ROM report of the “Barbados Smart Renewable Energy Program for the Public Sector” states that: “The action targets the Public Sector and access to the benefits will definitely be affordable in the long term if the project objective is achieved. Sustainability is however seriously threatened with the lack of attention to Capacity Building, Institutional Strengthening, and Public Awareness activities for key government stakeholders as the project implementation years pass. Key stakeholders are not yet acquiring the necessary institutional and human capacities to ensure the continued flow of benefits. Implementation of Component 3 which was designed to build human and institutional capacity of stakeholder has not yet begun despite the fact that it was intended to run concurrently with implementation of components 1 and 2. <u>Conclusion</u> Sustainability of the action is seriously threatened with the lack of attention to Capacity Building, Institutional Strengthening and Public Education and Awareness activities for key stakeholders concurrently with implementation of components 1 and 2.”	ROM Report Barbados Smart Renewable Energy Program for the Public Sector Project reference D-24187	Strong  Factual project monitoring



Summary response	Sources of information	Quality of evidence
<p>The EAMR report states that:            “The capacity of the Rural and Renewable Energy Agency increased: continuous coaching provided by EU Energy TAF key expert; as a result the Rural Energy Master Plan was tendered, awarded and is expected to commence in Q1 2015 (the implementation has been delayed because of the EVD outbreak).            Improved investment framework in the energy sector: EU Energy TAF key expert already contributed with comments to last version of the draft energy law and available for further support; the drafting of Energy law proceeds very slowly and the way forward is not clear at the moment.”</p>	<p>External assistance management report (EAMR)            Period: 01/01/2014 –31/12/2014            Liberia</p>	<p>Strong            Factual project monitoring</p>
<p>Energy Facility</p> <p>The evaluation of the “Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR)” concluded that:            “The EU TA projects left a solid base to the power pools, in the form of a regional master plan, a business plan, operations and market rules, or project feasibility studies. The projects helped those pools which experienced some financial and governance difficulties to continue their activities. They helped others to speed up projects. Intermediate and wider impacts remain however limited, except in WAPP where the project contributed to the continuation of interconnection projects, with its resulting impacts on the economy, and in EAPP where the pool members are willing to update and refine the regional master plan.</p> <p>In all four pools, the consultants correctly completed the tasks assigned to them, according to the ToR and/or agreements with the pool, endorsed by the EUD. But transfer of expertise and capacity building remained limited, as no mechanisms have really been put in place, for the staff of permanent secretariats and member utilities to efficiently benefit from the expertise of long term or short term experts. Participation of technical sub-committees, working groups or other teams seldom consisted in activities other than reviewing documents produced by the consultants, or listening to lectures. One of the few exceptions could be the work conducted in the CAPP by the expert group on operations or by the groups which prepared feasibility studies of MV interconnections.</p> <p>Owing to the large number of participants to each workshop, the project had an important immediate impact, either at the level of CEOs of regulators (primarily in the case of West and Central African regulators), or at the level of heads of technical departments of regulatory authorities, or among the members of power pools. This immediate impact essentially relates to the acquisition of knowledge from participants, and to the distributed materials, which remain a relevant reference for all participants.”</p>	<p>Evaluation of the Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR) - Synthesis Draft Report - December 2013            Contract 2013/312259</p>	<p>Strong            Factual project evaluation</p>
<p>The monitoring report of the “TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” states that the following outputs have been generated:</p> <ul style="list-style-type: none"> <li>Over 50 Rural Micro-finance Institutions and Savings and Credit Cooperative Societies were trained on energy finance and marketing in Kenya, Uganda and Tanzania. Of these trained Rural</li> </ul>	<p>Interim Narrative Report            Sustainable Energy Markets            Acceleration</p>	<p>Strong            Factual project monitoring</p>

Summary response		Sources of information	Quality of evidence
	<p>Micro-finance Institutions and Savings and Credit Cooperative Societies 45 partnerships are still active and going strong.</p> <ul style="list-style-type: none"> <li>11 partnerships with Rural Energy Entrepreneurs established.</li> </ul>	Seventh half year report (October 2014 – April 2015)	
EUEI PDF / RECP	<p>The evaluation of 16 EUEI PDF / RECP shows that they have strengthened the skills of core personnel and where relevant the structure and functional organisation, with the following exceptions:</p> <ul style="list-style-type: none"> <li>In the Cambodia project this was not the case: “There was a failure to develop the capacity to use and adapt the project’s quantitative estimates of the benefits from the strategy.”</li> <li>In Ghana and concerning the GIS support, the training period was too short and intensity too low. Continuous development and updating of the data not achieved.</li> <li>Southern Africa Development Community follow-up has been severely hampered by the lack of resources. The institutional capacity of the SADC to deal with energy is virtually non-existence.</li> </ul>	2016, 2015, 2014, 2013 Summary of findings of EUEI PDF project evaluations	<p>Strong</p> <p>Factual project evaluation</p>
	<p>The Mid-term Review report of the EUEI PDF states that: “Long-term impacts might be expected by the Action Area 4 of RECP, which aims explicitly at building lasting capacities in the partner countries through the establishment of academic and vocational training structures and programmes, such as renewable energy master programmes in Zimbabwe and Lesotho. However, it is too early to ascertain this assumption.”</p>	EUEI PDF Mid-term Review Report Mid-term Review Phase 3 (April 2015 – March 2017) June 2017	<p>Strong</p> <p>Factual project evaluation</p>
Across all initiatives	<ul style="list-style-type: none"> <li>Concerning EE, the EU support targets training of very concrete skills that can be used effectively, i.e., energy auditors and TANESCO officials.</li> <li>Concerning RE, and when the GoT makes a clear choice to have a larger share of renewable energy in the supply mix, on-the-job training and developing practical skills of dispatch centres’ operators will be needed.</li> <li>Activities implemented by a number of EU programmes (RECP, GEEREF, ElectriFI) were developing capacity in local government and private sector. DI Frontier (GEEREF) works together and coaches projects developers to develop a bankable project and also involve the local authorities.</li> </ul>	Tanzania country interviews	Strong
	<ul style="list-style-type: none"> <li>The TA provided was well targeted towards key gaps and needs in sector. Full curricula were developed in 2016-17 under NESP for NAPTIN for three courses (solar PV installation and maintenance, solar PV supervision, solar mini-grid design); these were aligned with NESP areas of interventions. ToT/on-the-job training was provided for NAPTIN instructors. NAPTIN itself chose the courses to be provided (a syllabus for EE was developed, but NAPTIN was not interested in providing training on EE) and are conducting these regularly (e.g. the training on solar PV maintenance is run monthly) and report to have trained some 500 people; the target audience is graduates but also mid-career professionals. Participants receive a certificate, and an independent authority for certification is being established (certification currently done by Winrock</li> </ul>	Nigeria country interviews	Strong

Summary response	Sources of information	Quality of evidence
<p>International). EU/NESP also financed a wind-solar hybrid system demonstration plant in Kanji training centre.</p> <ul style="list-style-type: none"> <li>• NESP supported EE curriculum development and provided ToT for the Nigerian Institute of Architects.</li> <li>• NESP provided capacity development support for private mini-grid investors/operators, incl. legal advice and training on development of financial models, advice on proposal development, and links to potential financing institutions/banks.</li> <li>• NESP enhanced the technical capacity of GoN at federal level and in 5 states to create an enabling environment for investment; e.g. with a database, a GIS system (with a server at FMPWH and a GIS centre in each of the 5 states) and algorithms to identify the best mini-grid locations (for market intelligence) and state rural electrification plans – and training on the use of the systems. This work also made the states knowledgeable of their RE resources.</li> <li>• The number of people trained was sometimes low/insufficient, e.g. only 2 people were trained on planning at State level. Moreover, the training provided was not always sufficiently in-depth, compared to the high technical and financial ambitions of State electrification plans and of NESP. The training for mini-grid operators was of good quality.</li> </ul>		
<p>Capacity development of the private sector, civil society and local government was weak and while the early EF projects attempted to build capacity within the private sector, civil society and local government, this was weakened by an ineffective strategy, of trying to create SMEs (not recruit people with proven entrepreneurial talent). The more recent EDF 11 approaches seem more promising in terms of private sector development. However, the important role of capacity development at the regional level in a federal country and capacity development at local government level seems to need further attention from DPs, in order to achieve real sector development and <u>mainstreaming of energy in other sectors beyond what is achieved by individual projects</u></p>	Ethiopia country interviews	Strong
<p>Capacity development of the private sector, civil society and local government was experimented through the early EF Zanzan project. Still most of the early EF projects, only engaged government institutions. The more recent EDF 11 approaches seem more promising in terms of private sector development – with a focus in building capacity for preparing feasibility studies and developing bankable project proposals.</p>	Ivory Coast country interviews	Strong
<p>There have been mixed results. Stakeholders engaged in the SINEB TA found that the assistance led to the institutionalisation of their agency, which was perceived as a major outcome. However, the RECASEB sustainability has been challenged by factors outside of the project control (e.g. high turnover, disrupting political decisions which affected the agencies targeted by the CD interventions). At the time of the mission, a number of experts suggested to reframe the overall project towards building-up a pool of future energy expert using Europeans network and reinforcing existing curriculum. The project had been assessed as too overly ambitious on the institutional strengthening aspects and not enough driven by the potential to develop capacities at a larger scale. At the time of</p>	Benin country interviews	Strong

Summary response		Sources of information	Quality of evidence
	the mission, some outputs had already been delivered such as ABERME procedures manual which awaited CA approval		
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>1. The desk study showed that the EUEI PDF / RECP projects have strengthened the skills of core personnel and where relevant the structure and functional organisation of the key partner institutions.</li> <li>2. The country visits give a mixed picture related to this indicator.</li> <li>3. The TA to the private sector to strengthen their capacity in dealing with energy issues needs to be reinforced.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• For one geographic support project there is still no evidence that it has contributed to achieve the indicator.</li> <li>• One geographic support project shows clear deficiencies in achieving the indicator.</li> <li>• One geographic support project implemented by the TAF has contributed to achieve the indicator.</li> <li>• One EF project even though providing many inputs for the functioning of the targeted organisations and although there was acquisition of knowledge from participants and good quality of distributed materials, failed to leave behind a strong fundament to strengthen the skills of core personnel.</li> <li>• One EF project has contributed to achieving the indicator.</li> <li>• From the 16 EUEI PDF /RECP externally evaluated projects three failed to strengthen the skills of core personnel.</li> <li>• The mid-term evaluation of the EUEI PDF assumes that long lasting capacities in partner countries are likely to be expected.</li> </ul>			
<b>I 3.3.3 - Evidence that the TA has contributed to longer term sustainability of the institutions and the projects and activities that they carry out</b>			
Geographic support	<p>This ROM report of the TAF-WCA indicates that:            “The TAF-WCA target groups include ministries, other public sector organisations, businesses or civil society as appropriate. In spite the short-term technical assistance, TAF-WCA benefits -in many cases- are expected to be sustainable without significant financial contribution. In Côte d’Ivoire, it is considered that all the secondary legislations / support produced in the TAF-WCA’s context and adopted by the relevant country institutions will continue to set the framework and foster for other actions.</p> <p>A replication and / or further financing of TAF initiatives will be necessary to support new technical assistance needs as they develop / evolve as alternatives to the other mechanisms (e.g. framework contracts - FWC). A prevailing issue for ministries and other public sector organisations in particular is that their most talented and trained staff at some stage get recruited in higher-paid donor funded projects, thus leaving the core public sector with less experienced staff, which leads to a partial loss of institutional memory and knowledge.</p>	<p>ROM Report            EU Technical Assistance Facility for the Sustainable Energy for All Initiative - West and Central Africa - C-335152            2016-11</p>	<p>Strong            Factual project monitoring</p>

Summary response	Sources of information	Quality of evidence
<p>Private sector support through the mobilisation of funds and facilitation of partnership has not yet been initiated. The involvement of the private sector, which would further enhance the TAF-WCA's sustainability, has been restricted to the ElectriFI mechanism, which has recently launched a tender receiving a large number of private sector applications for co-financing in the Western and Central Africa and other countries. Workshops were implemented to promote ElectriFI through TAF-WCA, and a pipeline of potential actions for co-financing provided to DEVCO by TAF-WCA consortium. An important contribution of TAF-WCA has also been its support provided for the creation of an enabling (legal, regulatory, etc.) environment for private sector involvement in sustainable energy projects. Examples of such support include the creation of an enabling environment in Côte d'Ivoire, development of Rwanda's rural electrification strategy, harmonisation of Senegal's tariffs (on-going), electrification in Monrovia and setup of Liberia's Regulatory Agency."</p>		
<p>This ROM evaluation of the TAF-ESA indicates that:          "Private sector support through the mobilisation of funds and facilitation of partnership has not yet been initiated, with the notable exception of South Africa, from the countries visited. The involvement of the private sector, which would further enhance the TAF-ESA's sustainability, has been restricted to the ElectriFI mechanism, which has recently launched a tender receiving a large number of private sector applications for co-financing in Eastern and Southern Africa and other countries, as well as the development of Investment Prospectuses in some countries. Workshops were implemented to promote ElectriFI through TAF-ESA, and a pipeline of potential actions for co-financing provided to DEVCO by the TAF-ESA consortium. An important contribution of TAF-ESA has also been its support provided for the creation of an enabling (legal, regulatory, etc.) environment for private sector involvement in sustainable energy projects, e.g. in South Africa from the countries visited. Furthermore, as observed in particular from the country visits undertaken, there have been private sector related TAF-ESA actions in each country. However, the principles for DEVCO to directly support private sector engagement still need to be developed.</p> <p>Sustainability: Some target groups are not involved or even adequately aware of TAF-ESA's actions. The involvement of the private sector, which would further enhance TAF-ESA's sustainability, has been restricted to the recently launched ElectriFI mechanism and the development of Investment Prospectuses. The facilitation of partnership, industrial and technology cooperation is only just about to become activated."</p>	<p>TAF Eastern and Southern Africa (ESA)          ROM evaluation          December 2016</p>	<p>Strong          Factual project monitoring</p>
<p>The Action Document for the "Energy Sector Policy Support Programme in Vietnam" states regarding financial sustainability that:          "... the maintenance operated by EVN, may be challenging with the current tariffs which are kept low. Yet, the GoV is committed to increasing electricity tariffs in order to set-up a fully competitive retail market by 2023. EVN income statements and balance sheets show financial equilibrium for the last 3 years, but some cautiousness is needed with regard to the trustfulness of these data."</p>	<p>Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam          CRIS number: 2015/037-972</p>	<p>Indicative but not conclusive          By design</p>

Summary response	Sources of information	Quality of evidence
<p>This report affirms the same as above:            “There are reasons to be concerned about the financial health of EVN and the financial sustainability of rural electrification projects given that the tariff structure potentially limits the ability to recover costs fully. Through the power market reform, the government is taking steps in moving towards more cost-reflective tariffs.”</p>	<p>Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RES, EE, ACE in rural area and power market reform. <i>Intermediate Report: Access to Energy</i> (Revised)</p>	<p>More than satisfactory Factual evaluation</p>
<p>This identification fiche of the “Energising Access to Sustainable Energy in Nigeria” states that:            “The identification fiche of the “Energising Access to Sustainable Energy in Nigeria” recognises that:            “The main approach for ensuring sustainability of the programme intervention is the central role given to <i>capacity building</i> in the energy sector. The improved functioning of NAPTIN will have a lasting effect on the energy sector, at all levels. Well trained operational and maintenance personnel will be capable to operate and maintain existing and new power plants; this improves the prospects of prolonged functioning and thus profitability for the investors.”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE)            Standalone project identification fiche            FED/2011/023551</p>	<p>Indicative but not conclusive By design</p>
<p>The monitoring report of the “Energising Access to Sustainable Energy in Nigeria” states that:            “The policy components will continue with the lead of local ministries and national agencies, the rural electrification will benefit of the intervention of the private sector and the related licenses and benefits as well as the “Rural Electrification Fund” that will start operating as soon as the action plan will be approved. NAPTIN will start organising private courses that will ensure the continuation of the services.”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE)            Project reference 2011-023551            Report date 31/12/2015</p>	<p>Strong Factual project monitoring</p>
<p>Energy Facility</p> <p>This evaluation of the Technical Assistance Projects clearly shows that:            “The project significantly contributed to the sustainability of the AFUR, by enabling its members to meet three times during two years, and to discuss key subjects of common interest.</p> <p>However, few of the project activities are sustainable in nature: they essentially included:</p> <ol style="list-style-type: none"> <li>1. Reviews of electric power sectors in ten member countries, from the viewpoints of the power sector organisation and tariffs, for the year 2010, with limited medium and long term perspectives.</li> <li>2. Lectures given on a number of subjects: participants would essentially refer to what they have learnt and to training materials.</li> </ol> <p>The activities supported by the project will undoubtedly continue in WAPP and to some extent in EAPP and SAPP. However, more pedagogy and transfer of expertise from the experts would have improved this sustainability, including in SAPP where there has been no attempt, either from the beneficiaries or from the consultants, to adapt and transpose to SAPP the solutions described in the different workshops.</p>	<p>Evaluation of the Technical Assistance Projects in support to the African Power Pools (APP) and African Forum for Utility Regulators (AFUR) - Synthesis Draft Report - December 2013            Contract 2013/312259</p>	<p>Strong Factual project evaluation</p>

Summary response	Sources of information	Quality of evidence	
<p>For the WAPP, the impacts of the project are sustainable, as the activities supported by the project will inevitably be continued by the pool, including the speeding up of projects, updating of business plan, market simulation. More pedagogy and transfer of expertise from the experts would have improved this sustainability.</p> <p>For the CAPP, a minimum sustainability is secured by the project deliverables and the regional agreements endorsed by the pool. Further sustainability depends on the ability of the pool to maintain and strengthen the staff of the Permanent Secretariat.</p> <p>For the EAPP, there has not been sufficient appropriation of the project from the beneficiaries, partly because the interconnection infrastructure is not yet in place. The pool members are not yet organised to update regularly the pool data base; they would still need support to carry out forecasts and regional flows simulations. However, the pool members have decided to strengthen their resources to be able to update the pool master plan, and will be able to improve and update the different pool rules and agreements.</p> <p>For the SAPP, the project enabled about 80 senior staff from SAPP CC and member utilities to enhance their knowledge of a comprehensive set of planning, operations and market mechanisms, as they prevail in Europe and other liberalised power pools. Therefore, the project is sustainable, to a certain extent, in terms of capacity building, as competencies and skills of individuals have been strengthened. The project does not provide a contribution in terms of institution development, as this was not the initial purpose of the project. Moreover, the project does not have sustainable results regarding the progress of infrastructure investments, planning, and measures to enhance the power system security, efficiency of network operations or market development. Indeed, there has been no attempt, either from the beneficiaries or from the consultants, to adapt and transpose to SAPP the solutions described in the different workshops, and to develop a consensus about adjustment of existing market mechanisms or development of new arrangements.”</p>			
EUEI PDF / RECP	<p>The evaluation of 8 EUEI PDF / RECP shows that they have contributed to longer term sustainability of the institutions and the projects and activities, with the following exceptions:</p> <ul style="list-style-type: none"> <li>• Gambia: “The MoE has insufficient qualified staff with insufficient time and technical capacity to absorb the project outputs.”</li> <li>• The Southern Africa Power Pool-Coordinating Committee has no enforcement power on the member countries’ utilities.</li> <li>• Southern Africa Development Community follow-up has been severely hampered by the lack of resources. The institutional capacity of the SADC to deal with energy is virtually non-existence.</li> <li>• In Ghana: “Results and outputs of the EUEI PDF activity are not properly embedded in national and regional institutions”.</li> </ul>	2014, 2013 Summary of findings of EUEI PDF project evaluations	Strong Factual project evaluation

Summary response		Sources of information	Quality of evidence
Across all initiatives	The capacity built at institutions was often good but this also results in increasing internal frustration at institutions, because their technically well-designed interventions were being overruled by unrealistic policy decisions. The turn-over in most government institutions is very high and this makes capacity building efforts ineffective.	Tanzania country interviews	Strong
	The degree to which EU TA has contributed to longer term sustainability of the institutions and the projects and activities that they carry out was constrained by low absorption capacity of government partners and institutional changes. For example, the EEA has a vacancy rate of perhaps over 50%. Very low government salaries compound the problem and it is difficult to retain staff that has been trained. Institutional changes in the structure of MOWIE and the shift of responsibility for public-private-partnership to the Ministry of Finance and Economic Cooperation (MOFEC) have also complicated capacity development and skills transfer efforts as have the presence of many development partners that offered and provided support in similar areas.	Ethiopia country interviews	Strong
	There is strong evidence that EU TA has contributed to longer term sustainability of the institutions. TA to decrees formulation has positioned and provided visibility to ANARE. Early EF projects built capacities in project management, although partners are not convinced on the efficiency, good management practises have spread across the institutions. Increase focus on implementation would legitimise these institutions and increase the sustainability of EU TA.	Ivory Coast country interviews	Strong
	There have been mixed results. Stakeholders engaged in the SINEB TA found that the assistance led to the institutionalisation of their agency, which was perceived as a major outcome. However, the RECASEB sustainability has been challenged by factors outside of the project control (e.g. high turnover, disrupting political decisions which affected the agencies targeted by the CD interventions).	Benin country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>In spite the short-term technical assistance, TAF-WCA benefits -in many cases- are expected to be sustainable.</li> <li>Private sector participation is not yet high on the agenda for the TAFs, because being demand driven by the EUDs and the governments.</li> <li>Sustainability has not been assured in a significant number of other TA projects.</li> <li>Country visits have demonstrated that the sustainability of TA efforts is a challenge, because it was constrained by low absorption capability and high turn-over of government partners and institutional changes.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>The TAF-WCA monitoring found out that there is good evidence that the TA has contributed to the longer term sustainability of institutions, projects and activities.</li> <li>An important contribution of TAF-WCA has also been its support provided for the creation of an enabling (legal, regulatory, etc.) environment for private sector involvement in sustainable energy projects</li> <li>For the TAF-ESA some target groups are not involved or even adequately aware of TAF-ESA's actions and the private sector has not been properly involved, so sustainability is not guaranteed.</li> <li>For the geographic support project in Vietnam both the financial sustainability of the institution as of the projects supported are not guaranteed, due to the unsustainable tariffs used. This is however something very difficult to influence by the project and the Government of Vietnam is committed through power market reform to move towards more sustainable tariffs.</li> </ul>			



Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>The geographic support project in Nigeria is by design addressing the issues of sustainability of the intervention by providing capacity building.</li> <li>The EF support to the APPs and AFUR has contributed to the sustainability of AFUR, but there are concerns about the sustainability of a number of the activities implemented because they were a “snapshot” of the situation with little future perspective, and about who would implement it.</li> <li>The sustainability of the EU intervention was well assured in the WAPP and CAPP regions, while for the EAPP there has not been sufficient appropriation by the beneficiaries and for the SAPP sustainability was assured in terms of capacity building, as competencies and skills of individuals have been strengthened. However, for the SAPP a number of building blocks were still missing to ensure complete sustainability of the intervention.</li> <li>In four of the 16 evaluated EUEI PDF projects 4 have light to severe problems concerning sustainability. In most cases this is due to insufficient capacity of the targeted institutions to assimilate the results of the projects or by the continuous drainage of skilled personnel.</li> </ul>			
<b>JC 3.4 - Degree to which TA has supported the mainstreaming of cross-cutting concerns</b>			
<b>I 3.4.1 - Evidence that TA has been active in supporting incorporation of gender issues</b>			
Geographic support	<p>This report of the project “Assessing Energy Policies in Vietnam“ states that:  “Women and children could be empowered and benefit from rural energy access programme. In rural households, women are often in charge of household cooking or wood collecting in some regions. They would benefit from electric rice cookers by eliminating biomass stoves as this often takes longer time and efforts in supervising. Women would have more time to engage in more productive activities, such as reading or running a home-based business. Because it allows a household chore to be completed in a shorter time, which in turn frees up time for productive or leisure activities. It also requires much less effort and supervision and also eliminates indoor air pollution related to the use of biomass stoves for rice cooking. Since it also helps mitigate indoor air pollution and associated health impacts, it can also arguably improve the productivity of the household members when they go to work in more productive sectors.”</p>	Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RES, EE, ACE in rural area and power market reform. <i>Intermediate Report: Access to Energy</i> (Revised)	More than satisfactory  Factual evaluation, but still by design
	<p>By design the “Access to Sustainable Energy Programme – Philippines” is addressing gender issues:  “Social, health and gender equality concerns are likewise positive for the project. Availability of power for those targeted for connection with the pre-paid meters as well as those recipients of solar home systems provide these households with new opportunities both for livelihood and social aspects. Presence of better lighting extends the productive time for women, which can be translated to additional income, like in cottage industries for sewing and handicrafts. Children can have more time to study under a superior form of lighting not mentioning the health hazard posed by kerosene lamps both to these children and to their homes. As for solar lanterns and solar street lighting, a sense of safety and security is felt when people use them in their communities. With solar pumps, women and children will not have to walk far to draw water for the household. All these advantages, and more, have been studied and reported in many of the families where grid power or solar systems have been introduced. And in all cases, the project enhances opportunities for both genders to equally share the benefits of the proposed projects.”</p>	Action Document for the Access to Sustainable Energy Programme - Philippines CRIS number: 2014/35111 and 2014/ 37618	Indicative but not conclusive  By design

Summary response	Sources of information	Quality of evidence
<p>By design the “Projet d'appui au secteur de l'énergie en Côte d'Ivoire “ addresses gender issues: “...participation of women in project activities will be stimulated. The project will require experience in the "gender" area of the technical assistance team; It will require compliance with the international labour standards of the International Labour Organization and a code of conduct for the construction site workers by the construction companies; It will develop gender awareness measures in the various training programmes and integrate disaggregated gender statistics in the relevant databases.”</p>	<p>Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS) Numéro CRIS: 037-943</p> <p>Projet d'appui au secteur de l'énergie en Côte d'Ivoire – Phase Deux (ENERGOS II). Numéro CRIS: 039-393</p>	<p>Indicative but not conclusive</p> <p>By design</p>
<p>By design the “RECASEB“ project addresses gender issues: “Cross-cutting issues will be addressed with particular attention to the environment, climate change and gender. Indeed, the current situation in the energy sector is characterised by a predominance of biomass use, especially in rural areas. This has a negative impact on natural resources (forests, soils, water), on greenhouse gas emissions (deforestation and land degradation, use of oil lamps and generators) and places particularly heavy constraints on Women in the rural world (collection of firewood, exposure to toxic fumes from cooking and lighting, lack of alternative economic opportunities for greater autonomy, etc.)”</p>	<p>Appui institutionnel et renforcement des capacités des acteurs du secteur de l'énergie au Bénin (RECASEB) Numéro CRIS 2015/037-876</p>	<p>Indicative but not conclusive</p> <p>By design</p>
<p>By design the “National Electrification Programme Tanzania” addresses gender issues: “The project will be implemented taking into account best practices on gender mainstreaming into rural electrification projects. Particular effort will be made to ensure and monitor gender equity in the access to new connections and in the access to training programmes to develop skills and promote employment in the rural electrification sector. This will be done in close coordination with UN Women as well as with the ILO Training Centre which has a partnership with certain EU Delegations to reinforce Gender Equity and Women Empowerment.”</p>	<p>National Electrification Programme Tanzania – Implementation of Phase II of the Rural Electrification Prospectus Formulation - Final Report 16th July 2014</p>	<p>Indicative but not conclusive</p> <p>By design</p>
<p>By design the project “Complementary Technical Assistance to MININFRA” addresses gender issues: “The Policy promotes gender equality and children’s rights. The Access component of the Electrification Access Rollout Programme (EARP) supported by the Sector Reform Contract will benefit women and children to a large extent, as it provides energy to households for lighting (benefiting children) and refrigeration for the conservation of food, alleviating some of the domestic chores traditionally assigned to women. Moreover, the TA component of the SRC in support of modern cooking would also benefit women and children through lighter domestic chores and reduced indoor pollution.”</p>	<p>Rwanda Mission Report – Final Budget Support - Eligibility Assessment Complementary Technical Assistance to MININFRA: “Preparation of a Rural Electrification Strategy &amp; Action Agenda “Institutional – Legal – Regulatory – Economic &amp; Financial Complement”</p>	<p>Indicative but not conclusive</p> <p>By design</p>
<p>By design the “Sector Reform Contract” project addresses gender issues: “The Government of Rwanda has a strong gender focus integrated across the board of their different sector policies. As for the energy sector, main gender aspects are related to biomass, which in</p>	<p>Action Document for the Sector Reform Contract (SRC) to increase performance of Rwanda's energy</p>	<p>Indicative but not conclusive</p>

Summary response	Sources of information	Quality of evidence
<p>particular concerns the quality of cooking options and time spent on biomass collection. Mostly women (and children) suffer the worst health impacts from cooking-related air pollution and are engaged in collection of fire wood. These groups stand to benefit hugely from a determined and ambitious plan to move towards higher performing cook stoves in line with the sector's policy and strategy framework. The SE4All Action Agenda outlines clear gender related targets and actions to be taken in this respect.</p> <p>Gender issues have been taken into consideration during the formulation stage and have been fully integrated in the Sector Reform Contract, with one indicator in particular devoted to gender.”</p>	<p>sector and develop the corresponding institutional capacities CRIS number: FED/2015/38107</p>	<p>By design</p>
<p>The monitoring report of the “Energising Access to Sustainable Energy in Nigeria “states that: “The role of women has been clearly taken into account in the project design and it is evident in the outputs and results (training courses, house energy services, tree plantation, stove production and use).”</p>	<p>Energising Access to Sustainable Energy in Nigeria (EASE) Project reference 2011-023551 Report date 31/12/2015</p>	<p>Strong Factual project monitoring, but still by design</p>
<p>By design the project “Barbados Smart Renewable Energy Program for the Public Sector“ addresses gender issues: “Because the majority of single parent homes are headed by women, energy costs have a huge impact on women headed households, and limits their ability to engage in educational and other income-generating activities. Therefore, women would benefit the most from access to improved energy services.”</p>	<p>Action Fiche for Barbados Smart Renewable Energy Program for the Public Sector  CRIS No. FED 2012/024-187</p>	<p>More than satisfactory  By design</p>
<p>Energy Facility</p> <p>The project “Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu” addresses by design gender issues: “Because of their traditional responsibilities for gathering fuel and carrying water, in many developing countries women and girls expend much time and physical effort, which seriously limits their ability to engage in educational and income-generating activities. Therefore, women and girls would benefit the most from access to improved energy services.”</p>	<p>Dec 023215 Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu  ACP EU Energy Facility II / FED 2009/21307</p>	<p>Indicative but not conclusive  By design</p>

Summary response		Sources of information	Quality of evidence
RECP	<p>RECP takes gender very systematically in its projects:</p> <p><b>1) Gender Briefing Notes</b> on the relation between gender and energy access, biomass energy, renewable energy and energy efficiency which are designed as a guideline to raise awareness of partners and consultants.</p> <p><b>2) Gender integration checklists</b> meant for internal use during the project management cycle.</p> <p><u>Examples:</u></p> <p><b>Women in the Development of Biomass Energy Strategies</b></p> <p>The development of Biomass Energy Strategies carried out by the in EUEI PDF in Ethiopia, Mozambique, Sierra Leone and Tanzania during Phase IIbis has culminated in the revision of the existing Biomass Energy Strategy Guide, which was renamed the Biomass Energy Sector Planning Guide. When deciding on intervention options for policy-making, potential positive or negative externalities affecting vulnerable groups such women, were consider along with other criteria, in order to ensure informed decision-making.</p> <p>Lessons learnt from these projects include the importance of including gender-balanced approach at the very early stages of the project, e.g. when developing the terms of reference for consultants and during the kick-off workshop until the final validation workshop. With this approach, the project manager makes sure that all stakeholders involved are aware of the relevance of including women in the process, how certain project outcomes might affect women differently than men as well as thinking of women as change agents, who can pro-actively and positively impact certain sectors. Furthermore, a stronger and enhanced engagement of women in policy-making processes and strategic dialogues has proved extremely useful in order to ensure informed and efficient policymaking.</p>	<p>The EU Energy Initiative Partnership Dialogue Facility ( EUEI PDF )</p> <p>Phase IIbis Report</p> <p>April 2012 – March 2015</p>	<p>More than satisfactory</p> <p>Factual project monitoring</p>
EUEI PDF / RECP	<p>The Mid-term review report of the EUEI PDF states that:</p> <p>“The EUEI PDF has made a concerted effort in systematic gender mainstreaming including the organisation of workshops, webinars, the development of several gender and energy briefing papers, the definition of gender entry points for project management, highlighting women’s role in the design and implementation of its services and in the internal monitoring system. All SLs have appointed gender focal points that screen their processes and procedures for potential gender issues. One staff member has been appointed as overall gender focal point; bi-annual gender focal point meetings are organised. Some good examples for gender mainstreaming are the BEST Guide I &amp; II, the Central Africa Regional Energy Policy, the development of an Electricity Strategy in The Gambia and the Development of a gender-focused Cooking Energy Programme in Liberia. In case of the vocational training strategy and capacity development measures (action area 4 of RECP), gender issues have been duly considered.”</p>	<p>EUEI PDF Mid-term Review Report</p> <p>Mid-term Review Phase 3 (April 2015 – March 2017)</p> <p>June 2017</p>	<p>Strong</p> <p>Factual project monitoring</p>
	<p>The focus of TA as such was not explicitly strong on gender though this issue is well addressed in EU TA support in Zambia (while the gender aspect was not strongly in focus in the early EF</p>	<p>Zambia country interviews</p>	<p>Strong</p>

Summary response		Sources of information	Quality of evidence
Across all initiatives	interventions, the gender aspect was strong in recent interventions, and the EUD had developed a Zambia gender analysis 2016 and the EUD/COMESA Gender Action Plan 2016-2020 and had a clear gender focus in recent TA interventions. For instance, Electrifi – Zambia window (CRIS number: ZM/FED/039-860) emphasised gender as a significant objective and stated that “The action will also drive achievement against the EU's Gender Action Plan: Objective 16 (Equal access and control over clean water, energy, transport infrastructure, and equitable engagement in their management, enjoyed by girls and women), in particular indicator 16.6: % population using reliable electricity by urban/rural (SDG 7.51) (disaggregated by sex)”		
	The studies undertaken have considered gender (especially biomass energy related studies)	Tanzania and Rwanda country interviews	Strong
	The studies undertaken have considered gender, economic empowerment, and living conditions.	Liberia country interviews	Strong
	The focus of TA as such was not explicitly strong on gender though this issue is well addressed in EU TA support that focus on clean cooking solutions.	Ethiopia country interviews	Strong
	The gender and productive uses aspect was also not strongly in focus in the TAF interventions and in the early EF interventions.	Ivory Coast interviews	Strong
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>TA has been active in supporting incorporation of gender issues by design, however there is in the desk sample still little evidence of results.</li> <li>The country visits show that gender aspects are –although not prominently- part of the objectives of the TA, the more so in recent years.</li> <li>EUEI PDF / RECP have a very strong focus on gender issues by design of its projects, having specific gender briefing notes which target the several stakeholders participating and implementing their projects. It also monitors the gender impacts and several projects have shown evidence of positive impacts on the position of women.</li> </ol>			
More specifically:			
<ul style="list-style-type: none"> <li>All nine geographic support projects have by design incorporated gender issues.</li> <li>One EF project has taken gender aspects under consideration.</li> <li>EUEI PDF / RECP have by design and implementation taken gender aspects into consideration.</li> </ul>			
<b>I 3.4.2 - Evidence that the TA has contributed to incorporation of environmental considerations in policy reforms and project implementation</b>			
Geographic support	By design the “Access to Sustainable Energy Programme – Philippines” addresses the issue: “The environmental impact of the programme will be positive as only renewable energy sources will be promoted thereby reducing the need for polluting power sources such as coal. The programme will not support large hydropower that could have a negative impact on indigenous populations or requiring resettlement. The energy efficiency measures will also have a positive impact on climate	Action Document for the Access to Sustainable Energy Programme - Philippines CRIS number: 2014/35111 and 2014/ 37618	Indicative but not conclusive By design

Summary response	Sources of information	Quality of evidence
change mitigation and further ensure that this programme will be beneficial for the environment. The World Bank has carried out an environmental impact assessment (EIA) which is also relevant for the EU funds channelled through the World Bank. Increased electrification and access to energy has in general a positive impact on the lives of women and supports gender equality as educational achievements are improving benefitting particular girls. The programme itself will fund feasibility studies that will analyse crosscutting issues such as social, gender and environmental issues.”		
By design the ENERGOS project contemplate: “The access component of the project involves the rehabilitation and extension of the electricity distribution network. These various components of the project are subject to appropriate environmental and social impact assessment studies according to the legislation in force and will be ready before the launch of the corresponding tender documents. Support to the environment and mitigation of climate change are objectives of the institutional component of the project.”	Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS) Numéro CRIS: 037-943  Projet d'appui au secteur de l'énergie en Côte d'Ivoire – Phase Deux (ENERGOS II), Numéro CRIS: 039-393	Indicative but not conclusive By design
By design the RECASEB project will address cross-cutting issues with particular attention to the environment, climate change and gender. “These cross-cutting issues will be addressed in a systemic way by refocusing the issue of biomass energy, which will be better institutionalised and better taken into account.  In addition, the promotion of renewable energies and energy efficiency (Agenda SE4All) will have a positive impact on the reduction of greenhouse gas emissions. These emission reductions will be measured to the extent possible and will be a follow-up indicator, allowing for better consideration of this fundamental aspect of the project.”	Appui institutionnel et renforcement des capacités des acteurs du secteur de l'énergie au Bénin (RECASEB) Numéro CRIS 2015/037-876	Indicative but not conclusive By design
The ROM report of the TAF-WCA states that environmental sustainability is strongly addressed. For example: “In Côte d'Ivoire that was visited in particular, there is a pre-selection / short list of the companies authorised to treat and work locally on environmental impact assessment issues, as well as a short-term TAF-WCA's action to develop a novel frame / model for Environmental and Social Impact assessment study.”	ROM Report EU Technical Assistance Facility for the Sustainable Energy for All Initiative - West and Central Africa - C-335152 2016-11	Strong Factual project monitoring
The ROM report of the TAF-ESA states that environmental sustainability is strongly addressed: “Particularly good environmental sustainability practices from the country visits undertaken include the Kampala Capital City Authority recently finalising its five year integrated Kampala Climate Change Action Plan in Uganda, the Growth and Transformation Plan 2015 - 2020 (GTP II) placing strong emphasis on the environment and climate resilient green economy in Ethiopia, and the EUD hosting bi-annual donor coordination meetings on green issues in South Africa.”	TAF Eastern and Southern Africa (ESA) ROM evaluation December 2016	Strong Factual project monitoring
The monitoring report of the project “Projet de Production Solaire Photovoltaïque de Zagtouli in	Travaux de construction de la	Strong

Summary response	Sources of information	Quality of evidence
Burkina Faso” states: “Monitoring activities for the protection of the natural and social environment have been carried out throughout the site. Monitoring and control focused on soil and groundwater pollution, waste management (solid and liquid), dust abatement and ¼ hour awareness.”	centrale photovoltaïque de Zagtouli et équipements réseaux annexes - Rapport de contrôle et de suivi environnement/ hygiène/ sante/ sécurité de la période de mars 2017 (Version Provisoire)	Factual project monitoring
The Action Fiche of the “Projet de Production Solaire Photovoltaïque de Zagtouli in Burkina Faso” states: “According to the Environmental Integration Manual, this project is classified as Category B, meaning that an Environmental Impact Assessment is not de facto mandatory. However, in view of the Burkina Faso regulations and for the European Investment Bank, a study is necessary and will therefore be carried out and financed by SONABEL. Measures to mitigate impacts during construction and accompanying measures will be identified and incorporated into the manufacturer's specifications.”	Fiche action pour le Burkina Faso Projet de Production Solaire Photovoltaïque de Zagtouli N° CRIS 024177	Indicative but not conclusive By design
The Action Fiche for the “Barbados Smart Renewable Energy Program for the Public Sector” states: “Environmental sustainability is closely related to access to energy and increasing concern about climate change. Sustainability, including in its environmental aspect, is a criterion for this project being submitted.”	Action Fiche for Barbados Smart Renewable Energy Program for the Public Sector CRIS No. FED 2012/024-187	Indicative but not conclusive By design
The ROM report for the “Barbados Smart Renewable Energy Program for the Public Sector” states: “With regards to environmental sustainability, the Environmental Screening Report does not address the issue of proper disposal of discarded CFL light fixtures and air conditioning units. While there is a private sector member dealing with disposal of CFL bulbs it is not clear what happens to the mercury or what quantities can be processed. There is no disposal protocol for air conditioner units being enforced. <u>Conclusion: Environmental sustainability is not assured with the lack of protocols for proper disposal of discarded light bulbs and air-conditioning units.”</u>	ROM Report Barbados Smart Renewable Energy Program for the Public Sector Project reference D-24187	Strong Factual project monitoring
The identification fiche of the “Energising Access to Sustainable Energy in Nigeria” states that: “The increased use of renewable energy sources and the more efficient use of fossil fuels will increase environmental sustainability and reduce the negative environmental impact of the energy system. The programme will thus improve prospects for sustainable economic development and a reduction in poverty through an improved, affordable and reliable supply of electricity to SMEs and households.”	Energising Access to Sustainable Energy in Nigeria (EASE) Standalone project identification fiche FED/2011/023551	More than satisfactory By design
The formulation report of the “National Electrification Programme in Tanzania” states that: “During the preparation phase of the project the necessary feasibility studies, including Environmental and Social Impact Assessment will be undertaken. Nevertheless, given the nature of the project it is expected that any negative impact in these areas will be small and that appropriate mitigation measures will be identified. These will be applied during the design, construction, operation, monitoring and commissioning phases.”	National Electrification Programme Tanzania – Implementation of Phase II of the Rural Electrification Prospectus Formulation - Final Report 16th July 2014	Indicative but not conclusive By design

Summary response	Sources of information	Quality of evidence
<p>The Action Document for the “Sector Reform Contract in Rwanda” states:            “A Strategic Environmental Assessment (SEA) has been carried out in 2014, which assessed the environmental impacts of the Energy Sector Strategic Plan (ESSP). This identifies impacts in areas such as greenhouse gas emissions, watersheds and wetland ecosystems, forests and protected areas, and biodiversity. Human activities are assessed in agriculture and farming systems, land management practices, exploitation of energy resources, as well as taking account of trends in urbanisation, demography and water and sanitation usage. The report proposes a number of actions to minimise these impacts which have been incorporated into the Sustainable Energy for All (SE4All) Action Agenda and the ministry of infrastructure (MININFRA) is currently assessing to what extent they can be gradually integrated in the strategy and policy framework of the energy sector.”</p>	<p>Action Document for the Sector Reform Contract (SRC) to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities            CRIS number: FED/2015/38107</p>	<p>Indicative but not conclusive            By design</p>
<p>Energy Facility</p> <p>In the decision for the project “Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu” it is stated (and this applies for all EF projects)”            “Crosscutting issues will be considered in the Energy Facility by including them as requirements in the Guidelines of the Call for Proposals and in the evaluation criteria during the selection of proposals.            Environmental sustainability is closely related to access to energy and increasing concern about climate change. Sustainability, including in its environmental aspect, will be a criterion for each project submitted to the EF . In those projects with a potentially large impact, an environmental impact assessment will be required, prior to the approval of the proposal.”</p>	<p>Dec 023215 Improving reliable access to modern energy services through solar PV systems for rural areas (outer islands) of Tuvalu            ACP EU Energy Facility II / FED 2009/21307</p>	<p>Indicative but not conclusive            By design</p>
<p>EUEI PDF / RECP</p> <p>The mid-term report of the EUEI PDF states that:            ”By promoting sustainable energy either directly via support to investment projects or indirectly via policy advice, the EUEI PDF contributes to the protection of the environment. Possible negative environmental effects of RE technologies are addressed within RECP’s support to business plan development, which includes advice on environmental impact assessments.”</p>	<p>EUEI PDF Mid-term Review Report            Mid-term Review Phase 3 (April 2015 – March 2017)            June 2017</p>	<p>Strong            Factual project evaluation</p>
<p>The results report of the EUEI PDF states that:            “Initially, the Results Report foresaw the calculation of reduced CO<sub>2</sub> emissions that can be attributed to EUEI PDF intervention. However, as already pointed out earlier, a method to accurately capture climate effects of policy advisory programmes could not be found and therefore no statements can be made on climate effects. However, as indicated above, the RECP estimates to avoid 616,817 tons of CO<sub>2</sub> per year due to its interventions.”</p>	<p>EUEI PDF Results Report            Energypedia consult GmbH            2004-2015</p>	<p>Strong            Factual project evaluation</p>
<p>Across all initiatives</p> <p>The 2016 TAF-ESA ROM concluded that TAF-ESA was extremely relevant to promoting the aims of SE4ALL and EU overall strategy in energy – but it also found that TA had many deliverables on economic and technical regulation, legal aspects, energy efficiency, etc.</p>	<p>Zambia and Rwanda country interviews</p>	<p>Strong</p>
<p>The studies undertaken have considered environment/climate.</p>	<p>Rwanda and Tanzania country interviews</p>	<p>Strong</p>
<p>The 2016 TAF-ESA ROM concluded that TAF-ESA was extremely relevant to promoting the aims of SE4ALL and EU overall strategy in energy – but it also found that TA had 11 deliverables on</p>	<p>Ethiopia country interviews</p>	<p>Strong</p>



Summary response		Sources of information	Quality of evidence
	economic and technical regulation, 15 deliverables on legal aspects, 14 on energy efficiency, some very comprehensive, and 2 very analytical demand forecast scenarios.		
	TA for project formulation has mainstreamed environmental concerns.	Ivory Coast country interviews	Strong
<p><b>Summary of findings:</b> TA has contributed to incorporation of environmental considerations in policy reforms and project implementation.</p> <p>More specifically</p> <ul style="list-style-type: none"> <li>• Two geographic support projects take environmental considerations by design and by implementation due to its objectives (promoting RE and EE). Also EIA will be employed when required.</li> <li>• One geographic support project has as objectives “Support to the environment and mitigation of climate change” and the components of the project are subject to appropriate environmental and social impact assessment studies according to the legislation in force.</li> <li>• Four geographic support projects incorporate environmental considerations by design.</li> <li>• One geographic support project incorporates environmental considerations and controls compliance during project implementation (Senegal PV).</li> <li>• One geographic support project incorporates environmental considerations by design but fails to have proper follow-up during project implementation (Barbados).</li> <li>• An evaluation of the TAF-WCA projects states that they strongly address environmental sustainability.</li> <li>• An evaluation of the TAF-ESA projects states that they strongly address environmental sustainability.</li> <li>• The EF projects are obliged to incorporate environmental considerations by design.</li> <li>• The EUEI PDF / RECP projects either directly via support to renewable energy investment projects or indirectly via policy advice and support to business plan development, including advice on environmental impact assessments, incorporate environmental considerations by design and implementation.</li> </ul>			
<p><b>I 3.4.3 - Evidence that the TA has contributed to steering policy reforms / project implementation towards a pro-poor design</b></p>			
Geographic support	The report “Assessing Energy Policies in Vietnam” states that: “The Policy framework identifies through the energy strategy pursues to assure national energy security and contribute to the socio-economic development. In line with it, among the specific objectives which are included to complete the program on rural and mountainous energy: with objectives at 2010 (95% of rural households will be supplied with electricity) and 2020 (100%). Such priority is integrated into the National Master Power Plan where, rural electrification represents one of the main four areas and is reflected in the program on electricity supply to rural, mountainous and island area 2013-2020.”	Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RES, EE, ACE in rural area and power market reform. <i>Intermediate Report: Access to Energy</i> (Revised)	Indicative but not conclusive Factual evaluation
	The Action Document for the “Energy Sector Policy Support Programme in Vietnam” states that: “As a result, the overall objective is to sustain poverty alleviation through the provision of support to ensure access to affordable, reliable, sustainable and modern energy for all in line with the Sustainable Development Goal No. 7.”	Action Document for Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Vietnam, CRIS number: 2015/037-972	Indicative but not conclusive By design
	The Action Document for the Access to Sustainable Energy Programme – Philippines” states that: “The programmes supported by the EU targets to electrify at least 150,000 families through solar home systems in off-grid areas and additional connections to the grid.	Action Document for the Access to Sustainable Energy Programme - Philippines	Indicative but not conclusive By design

Summary response		Sources of information	Quality of evidence
	Result 1) Capacity of energy sector stakeholders for pro-poor sustainable energy policy and institutional framework strengthened Result 2) Investments aimed at increasing access to renewable energy facilitated in rural, remote and high poverty areas, especially in Mindanao.”	CRIS number: 2014/35111 and 2014/ 37618	
	The Action Fiches of the “Projet d'appui au secteur de l'énergie en Côte d'Ivoire“ state that: “Access of rural populations to electricity services: The electrification of rural communities will be achieved by: (i) The extension of the interconnected network that will target priority rural communities in terms of population and economic potential. (ii) Isolated grids and domestic solar systems will target remote and sparsely populated villages. They assume a high level of subsidy.”	Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS) Numéro CRIS: 037-943  Projet d'appui au secteur de l'énergie en Côte d'Ivoire – Phase Deux (ENERGOS II). Numéro CRIS: 039-393	Indicative but not conclusive By design
Across all initiatives	The studies undertaken have considered (especially the biomass energy related studies) the incorporation of opportunities to enhance pro-poor effects (in this case arising from the health benefits of less indoor air pollution)	Rwanda and Tanzania country interviews	Strong
	The studies undertaken have considered pro-poor initiatives (i.e. energy access to social institutions: health centres and schools)	Liberia country interviews	Strong
	The 2016 TAF-ESA ROM concluded that TAF-ESA was extremely relevant to promoting the aims of SE4ALL and EU overall strategy in energy.	Ethiopia country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. There is little evidence available to support that TA has contributed to steering policy reforms / project implementation towards a pro-poor design, but the evidence found supports the attainment of this indicator.</li> <li>2. Half of the country visits showed evidence that pro-poor aspects were taken in consideration by the TA.</li> </ol> <p>More specifically The four geographic support projects by design contribute to the indicator. During their implementation is likely that they will contribute towards the indicator, due to their nature and objectives.</p>			

## EQ 4 - Grant funds for physical investments and related interventions

EQ 4	<b>Conventional grant funds for physical investments</b> - To what extent has the conventional EU funding for physical investments and related interventions contributed to achieve the sustainable energy goals
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### **Rationale:**

EU grants have been provided within the context of support to energy as a focal sector (either through project or budget support modalities) and more broadly through a call for proposals under the Energy Facility (EF) that covered all ACP countries. As there were very few countries with energy as a focal support prior to 2013, the majority of funding for physical investments has been through the EF. This question looks at conventional grant-based funding within the energy sector and will allow a comparison with the more recent approaches that involve innovative support to loan-based financing (EQ 5) i.e. blending, risk and equity related approaches such as GEEREF and ElectriFI.

The calls for proposals for this type of grant funding also were meant for projects that were technically innovative and also introduced management and implementation approaches that were yet to be proven. The innovative effect will be analysed, both in terms of design but also in terms of actual results of barrier removal (if that is the case) leading to replication. From a different perspective one can also investigate –if information is available- whether the availability of grants has been a deterrent for market-based operation (JC 4.1).

Besides removal of barriers, grants can introduce issues that would otherwise not or not likely be considered from a pure financial perspective. These issues are a pro-poor and inclusive approach, including all environmental safeguards in the project's design, preparation and implementation, a conducive approach for productive activities and including gender aspects in all or most phases of the project. This analysis will be done looking at the well-documented results of the EF, because it is the only grant instrument with a sufficient long history to provide insights into results and impacts (JC 4.2). When available, additional evidence will be obtained from the geographic support projects listed in the matrix of sample projects and from projects in the countries visited.

The sustainability of the projects is crucial especially once the external support and subsidy is removed. The extent to which sustainability issues were incorporated into the design and implementation phases and the extent to which there is evidence that the projects are continuing to provide benefits will be examined (JC 4.3).

### **Coverage:**

The EU interventions where grants have played an important role are the EF and grants under the RIPs/NIPs. Grants as part of blending and innovative finance interventions will be considered in EQ 5.

**Likely recommendations:** EQ 4 will lead to recommendations on the appropriateness of the use of grants.

### **Link to Evaluation Criteria and Intervention Logic:**

**Link with OECD/DAC evaluation criteria:** The EQ addresses aspects of relevance (there is need for it, is demand-led and contributes to programmatic and country objectives) and effectiveness (what is the evidence that results are being achieved).

Link with 3Cs: The EQ is also linked to coherence among the EU interventions and also with coordination and complementarity as there are many funds and similar instruments being supported by other donors.

Link with the European Consensus on Development cross-cutting issues (Article 101): The EQ also is linked with one of the ToR requirements, namely on gender issues, and in steering policy reforms and project implementation towards incorporation of environmental considerations and a pro-poor design.

Link with IL: The EQ focuses on the logical links related to how grants directly or indirectly stimulate public and/or private investments (outputs) and sustainable energy goals (outcomes and results).

### **Judgement Criteria analysis**

The findings below resulted from information obtained from a large amount of projects, where relevant information could be obtained to support the indicator analysis. First all 49 projects indicated in the desk sample matrix were screened (and a number of these projects were multi-country or regional). The country visits provided information from other 45 projects that were not included in the desk sample. The evaluation (2015) of the European Court of Auditors in 12 East African countries of renewable energy projects funded under the two first calls for proposals of the Energy Facility and a Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF were also used. Concerning the EUEI PDF / RECP projects, the results of two external evaluations of the complete portfolio of projects and a results sheet were used. There was very little relevant information to be found for this EQ in geographic support projects, mainly because they were still at the early stages of implementation.

#### **JC 4.1 - Degree to which the funding using conventional grant-based approaches had an innovative effect and contributed to sustainable development.**

**The formulation, design and implementation of most projects clearly indicated their pro-poor nature.** The main objective of the Energy Facility was to promote access to modern energy services for the poor in rural and peri-urban areas, with a strong geographical focus on sub-Saharan Africa. The selection criteria used in the successive calls for proposals ensured consistency with the priorities set for the Energy Facility. Projects addressed well-identified needs regarding access to modern energy services in rural or peri-urban areas mostly populated by poor communities. For example the Mid-Term Evaluation of the 1<sup>st</sup> Call for Proposals of the Energy Facility, indicated that Energy Facility projects had and were having a significant impact on the socio-economic conditions of poor communities due to the newly installed electricity or gas provision, and appeared to be producing for the most part positive environmental impacts, with negative impacts being managed or mitigated.

**It was too early and yet not clear at least for some projects (for example in NIPs/RIPs projects) to conclude that the projects were innovative and pro-poor oriented.** The geographic support project “Pro-poor electrification and renewable energy innovations - Philippines” included the provision of renewable energy services, innovations and

promotion of livelihood activities for poor off-grid, un-electrified households. The geographic support “Kariba Dam Rehabilitation Project in Zambia”, had technical aspects that were innovative and never tried before, but the project itself was not pro-poor by design and implementation, nor was this the purpose.

**The use of the grant was justified and projects removed barriers (or were by design intended to) and have demonstrated innovative technical, institutional, and/or managerial alternatives.** The grants were used to promote renewable energy (which accounted for 85% of grants awarded) or energy efficient options at a time and places where it was not so straightforward that that would have been the preferred choice. The grants also promoted yet unexplored (at least in the country or region concerned) institutional and managerial set-ups. For example the “5 cross-border rural electrification projects in West Africa” were technically “business-as-usual”, but tested innovative institutional and management options to remove barriers associated with trans-boundary jurisdiction and national administrative issues. The “Rwanda mobile prepaid photovoltaic project” was set-up at a time when such a technical solution was not common and the use of the grant removed part of the risk of the project. Even though in some cases the renewable energy technologies or energy efficiency measures introduced were the most cost-effective options, there were other significant barriers for their introduction, for example a higher investment cost. Many projects were able to attract the private sector to provide services in countries and regions that would otherwise remain without access to electricity. Besides the two above-mentioned projects the “TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” project had an innovative approach by bringing together Rural Energy Entrepreneurs and Rural Micro-finance Institutions and Savings and Credit Cooperative Societies in a private sector driven project design, to improve the availability and increase the affordability of renewable energy solutions for rural and peri-urban low income communities.

**There were indications that a number of Energy Facility projects have had significant design problems.** The European Court of Auditors evaluation found out that 25% of the projects they examined had failed: “The Commission allocated support for renewable energy to projects that were highly prioritised by partners and potential beneficiaries, but the insufficient rigour in the selection process meant that a quarter of the projects examined were awarded a grant despite significant design weaknesses being identified.” Recent data and the country visits indicated that later projects have become more successful and were avoiding the mistakes of earlier ones (for example in Zambia where these lessons informed more recent interventions supported by the EU).

**By design replicability was taken into account, but there were very few projects that provided information on the factual replicability. Tentatively one can say that limited replicability was achieved.** Achieving replicability was a level of ambition that went beyond the objectives and financial means of most projects. Projects which were innovative in its institutional and managerial approach like the “5 cross-border rural electrification projects in West Africa” had a high potential of replicability, because they removed barriers and demonstrated the approaches to be used. The mobile prepaid concept for “renting to own” Solar Home Systems (SHS) applied in Rwanda was now widely used in Rwanda and other countries but the approach was at the time of the grant not yet fully demonstrated. It was observed in Rwanda that afterwards other companies entered the market with the same concept, and whether one cannot prove a causal effect

between the grant project and the new entrants in the market (without subsidies) one can assume that the market concept introduced by the Energy Facility project was replicated. The fact that Energy Facility projects provided up to 75% grant could be a barrier for replication using other non-subsidised sources of financing as long as it was not clear whether or not a new project would possibly be funded by the Energy Facility. During country visits it was found that the large grant percentage was in a number of cases (such as the above-mentioned mobile prepaid project in Rwanda and the Mwenga hydroelectric project in Tanzania) not a barrier for replication.

**Conclusion: The JC is validated.** The grant initiatives have contributed to social development goals and were innovative. Almost all projects evaluated were pro-poor by design with very few exceptions (projects where this aspect was not the main reason for the grant). It was found during some country visits that the size of the grant did not inhibit replication. The quality of the evidence was more than satisfactory.

**JC 4.2 - Degree to which the projects supported through conventional grant funding have achieved, demonstrated and lead to pro-poor, pro-environment, pro-growth and pro-gender benefits.**

**The overwhelming majority of the Energy Facility projects targeted poor households by design and implementation.** An evaluation (Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF, 2012) found out that for a selection of 27 Energy Facility energy access projects in rural areas one could assume that their beneficiaries were mainly poor people, and more than 2.1 million beneficiaries have been provided with access to modern energy services. The above-mentioned evaluation by the European Court of Auditors also supported the pro-poor nature of the Energy Facility projects evaluated. The “5 cross-border rural electrification projects in West Africa” were being implemented in isolated rural areas where one can assume that the majority of the people were poor. Of the other 7 Energy Facility projects from the sample used in this evaluation 5 provided strong evidence of delivering benefits for poor households, one had no indication about this, and for the “Rwanda prepaid photovoltaic project” doubts existed that it attained this objective. All country visits results showed that projects succeeded in connecting large number of mostly poor households.

**The NIPs/RIPs programmes targeted poor households by design.** In five geographic support projects for which relevant information was found there was evidence supporting this finding. Due to the fact these were recent projects, it was difficult to find factual information on implementation.

**There were very few projects that targeted improved cooking.** The majority of people in Africa, mostly poor people still cook on inefficient stoves using biomass. Improved cookstoves or other modern and affordable substitutes have a huge impact in terms of health, gender and environment. In the sampled projects, there were only 2 projects that targeted improved cooking, not sufficient to provide a relevant indicator. Furthermore, from the information available on those projects one assumed that people would substitute wood and charcoal and start cooking on electricity. This has proven to be a wrong assumption, electricity is mostly too expensive for people to be able to afford cooking with. Not to mention that most poor families cannot afford the initial costs of an electric stove (maybe only a rice cooker). In three (Ethiopia, Nigeria and Tanzania) of the eight

country visited there was evidence that the EU supported biomass improved cookstoves or cooking on biogas.

**A small amount of sampled projects with relevant information have taken gender into account at design stage and also at implementation.** From all projects examined only 10 have analysed gender benefits (two geographic support and eight Energy Facility) at design stage and also six projects (all Energy Facility) showed these benefits during and after implementation. For the other 4 projects and due to their nature -they concern energy access for households- the gender benefits would likely materialise. For most initiatives relevant for this evaluation, gender issues were targeted by the initiatives and they were systematically reported on the Energy Facility database. The country visits showed that gender aspects were taken into consideration at least at design stage.

**Projects in the sample that aimed at providing schools, health centres and public institutions with electricity have achieved that.** Based on the small sample of 5 projects (all Energy Facility) with relevant information for this indicator, most projects achieved the goal of an increased number of schools and health centres having a reliable source of electricity. One project did not achieve that goal (Rwanda prepaid photovoltaic) and this was confirmed during the country visit.

**A small number of projects targeted productive uses of energy.** A geographic support project by design analysed productive uses of energy (Access to Sustainable Energy Programme – Philippines). Five (of the 6 with relevant information) Energy Facility projects looked by design and implementation at productive uses of energy. The above-mentioned Energy Facility TRIODOS project targeted by design productive uses but during implementation this was limited (due to the nature of the technology – SHS). Even though in the Energy Facility database there were entries for job creation this was not systematically reported. Four (Benin, Ethiopia, Rwanda and Tanzania) out the 8 country visits confirmed the use of energy for productive uses.

**Reduction of greenhouse gasses (GHG) was being achieved by the nature of the projects but was not recorded.** Most Energy Facility projects promoted renewable energy or energy efficiency therefore GHG reduction was being realised. One Energy Facility project (Rural Electrification Infrastructure and Small Projects in Zambia) indicated by design the reduction of deforestation as a result, therefore a possible reduction of emissions of GHG. But this was based on the assumption that people would switch and cook on electricity, but as mentioned above this assumption mostly does not hold. The other Energy Facility project (Rwanda prepaid photovoltaic) indicated by design the reduction of emissions of GHG by the substitution of kerosene and diesel, but the effective reduction was dependent on the number of SHS sold. The EUEI PDF/ RECP although not strictly fitting into the “grant” aspect of this evaluation question, its projects achieved -according to strong evidence from 3 different sources- substantial reduction of emissions of greenhouse gasses<sup>80</sup>.

**The projects took into account environmental impacts, and mitigation measures to deal with possible negative impacts.** The sample with relevant information was very

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<sup>80</sup> This is recorded here because in EQ 3 where the EUEI PDF / RECP projects are prominently analysed, these benefits from the activity were not analysed.

small and information was limited to the design stage. But because these projects promote renewable energy technologies and energy efficiency measures many environmental benefits were likely to be achieved at the implementation stage. One geographic support project (Access to Sustainable Energy Programme – Philippines) did an Environmental Impact Assessment and the geographic support project in Zambia will have an Environmental Impact Assessment. A geographic support project in Ethiopia addressed by design environmental issues. Two Energy Facility projects (Mwenga Hydro and the Mwenga Rural Network Extension into the Kihansi Basin- Tanzania) have secured the necessary environmental permits. The other Energy Facility project (Rwanda prepaid photovoltaic) addressed by design environmental issues. The Guidelines of the Call for Proposals of the Energy Facility included cross-cutting issues. Sustainability, including in its environmental aspect, was a selection criterion for each project submitted to the Energy Facility. In those projects with a potentially large negative environmental impact, an Environmental Impact Assessment was required, prior to the approval of the proposal.

**Conclusion: The JC is validated.** The conventional grant funding projects have achieved and demonstrated pro-poor, pro-environment, pro-growth and pro-gender benefits. The quality of the evidence was more than satisfactory.

#### **JC 4.3 - Degree to which projects supported through conventional grant funding were sustainable.**

**Most projects seemed by design to give attention to maintenance and operational issues and to sustainability.** The above-mentioned European Court of Auditors evaluation found that by design the Energy Facility projects used appropriate evaluation criteria to assess sustainability (socio-economic, financial, technical and environmental). The evaluation of the Energy Facility “5 cross-border rural electrification in West African” found that all projects were sustainable, albeit one needed some extra attention. Three (out a total of 8 for which evidence was found) other Energy Facility projects have provided for sufficient skills for operation and maintenance. One project provided adequate training and capacitation of local partners and sufficient attention was given to capacity building and to sustainability issues, but there was insufficient monitoring. The country visits showed that in most cases attention was given to operation and maintenance issues.

**A limited number of projects did not give sufficient attention to sustainability and/or sometimes sustainability was compromised by factors the project could not directly influence.** One Energy Facility project (Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities) gave strong attention to capacity building in operation and maintenance, but the sustainability might be compromised by the lack of funds for maintenance operations. One Energy Facility project (Rwanda prepaid photovoltaic) failed to deliver on the schools/clinics component, but seemed sustainable on the households component. One Energy Facility project (Frameworks, Policies and Instruments for Mobilising Renewable Energy in the Caribbean) did not give sufficient attention to sustainability issues. In the case of the “Rwanda prepaid photovoltaic” project the country visit showed that the project at the design stage could not have foreseen the kind of institutional and procedural problems that delayed its implementation and could possibly compromise its sustainability.



**The projects provided effective skills transfer, but skills should be adapted regularly and go beyond the project lifetime.** The above-mentioned evaluation of the European Court of Auditors concluded that of the 16 Energy Facility projects examined 12 were successful and of these, 11 provided effective skills transfer. In projects that dealt with decentralised electricity generation, training was provided in all the projects to improve the managerial and technical capacities of future operators. Four other Energy Facility projects provided without reasonable doubt effective skills transfer. One project provided effective skills transfer, even exceed the goals concerning capacity building, however, the fact that a centralised maintenance unit was not established at the Ministry of Health of Liberia, might have compromised future maintenance (one cannot however make the project responsible for this). The capacity provided by the “Rural electricity infrastructures and small scale projects – Zambia” was limited and not adequate for the targeted institution. The “Rwanda prepaid photovoltaic” project intended by design to provide skills transfer and was achieving that, however the skills’ transfer to the government agency counterpart was more challenging. Given the local capacities, and given the fact that people move away from the project locations or were transferred to other places, there remains a need for periodic training after project completion.

**For the small number of projects for which evidence was found about the benefits of the project being delivered after completion a mixed answer was formed.** This was partly because most projects were still not completed. Of the 16 projects evaluated by the above-mentioned European Court of Auditors evaluation, 4 failed to deliver the majority of their expected results. The other twelve could be expected to continue delivering benefits after completion. Two Energy Facility projects appeared to be delivering the benefits for which they were intended. One Energy Facility project in Liberia showed that the installations were properly functioning, but the potential sustainability and the delivery of the benefits might have been compromised by the failure to establish a maintenance unit at the Ministry of Health of Liberia. One Energy Facility project (Rural electricity infrastructures and small scale projects – Zambia) was apparently failing to deliver and five years later it was still not clear what had been achieved.

**Conclusion: The JC is partly validated.** All projects for which relevant information was found were Energy Facility projects and by design they gave attention to maintenance and operation and to sustainability issues. When it comes to effective skills transfer the few projects evaluated (partly because projects were still not completed) also showed positive results. The sustainability of the projects often depends on factors that the project cannot influence directly. The quality of the evidence was strong.

Summary response	Sources of information	Quality of evidence
<b><i>JC 4.1 - Degree to which the funding using conventional grant-based approaches had an innovative effect and contributed to sustainable development</i></b>		
<b>I 4.1.1 - Project applications, designs and implementation provide a convincing rationale centred around the innovative value and pro-poor nature of the investment justifying the use of and the size of grant awarded</b>		
Geographic support		Action Document for the Access to Sustainable Energy Programme - Philippines CRIS number: 2014/35111 and 2014/ 37618
Energy Facility	<p>The main objective of the EF was to promote access to modern energy services for the poor in rural and peri-urban areas, with a strong geographical focus on sub-Saharan Africa.</p> <p>A high priority was given to projects using renewable sources of energy, which account for 85% of grants awarded. Projects addressed well-identified needs regarding access to modern energy services in rural or peri-urban areas mostly populated by economically modest or poor communities.</p>	ACP-EU Energy Facility support for renewable energy in East Africa Evaluation audit Energy Facility European Court of Auditors, 2015
	<ul style="list-style-type: none"> <li>• EF projects' impacts contributed to poverty reduction, economic development and achievement of the Millennium Development Goals, although a more comprehensive assessment will only be possible through improved project reporting and more systematic use of impact indicators.</li> <li>• Through increasing energy access in poor rural areas, the living conditions of beneficiary populations have seen real and immediate improvements, with health care facilities, water pumps, battery charging station, etc.</li> <li>• In addition to improving energy access, the implemented projects have impacted directly in improving beneficiaries' socio-economic conditions (and prospects), for example through as the creation of jobs, training facilities, improved cooking facilities.</li> <li>• EF projects are having a significant impact on the socio-economic conditions of poor communities due to the newly installed electricity or gas provision, and appear to be producing for the most part positive environmental impacts, with negative impacts being managed or mitigated.</li> </ul>	Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF Final Report Volume I – Main Report February 2012

Summary response	Sources of information	Quality of evidence
<p>The evaluation of the “5 cross-border electrification projects” concluded that:            “All the WAPP cross border rural electrification projects are consistent with EU strategy (Country Strategy Paper and National Indicative Programme) and national policies against poverty.</p> <p>The projects provide a credible rationale that improvement of quality of life through electrification will entail, among others, the following social benefits:</p> <ol style="list-style-type: none"> <li>1. In general most of the children are daily instructed to purchase candles, batteries and kerosene, as no supplies are stored on the shelf. Also they can do their homework in the evening.</li> <li>2. In-house use of kerosene lamps led to extra clean ups because of smoking lanterns. The bad smell of the kerosene was also mentioned often.</li> <li>3. The health services improved because of better equipment and extended service hours in case of emergencies (childbirths).”</li> </ol>	<p>Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP) Contract N°2014/337964            Final report, May 2014</p>	<p>Strong            This is factual project evaluation</p>
<p>The “Rural Energy Strategy and Master Plan for Liberia” thorough the “Lighting Lives” project facilitated the development of a commercial market for portable solar-PV lighting devices while making these products more affordable to the local market. The project specifically targeted off-grid populations in the low income bracket, who generally rely on inferior lighting devices such as kerosene lamps, candles, and battery powered lights, by providing, on a commercial basis, high-quality solar lanterns and lamps, some with mobile-phone charging capabilities.</p> <p>The Rural and Renewable Energy Agency, throughout the implementation of the Action, worked with the Rural Energy Working Group, a stakeholders’ forum that reviewed the project activities and their implementation relative to their areas of expertise, and ensured that various cross-cutting issues were addressed both at the planning and implementation stages.</p>	<p>Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia            Final narrative report            July 2016</p>	<p>Strong            This is factual project evaluation</p>
<p>In East Africa the Triodos project addressed the fact that rural private sector markets for off-grid energy solutions existed, but the access for low-income rural consumers was not facilitated. The project aimed to improve access to quality inputs and affordable credit for producers (credit component is consistent with EC strategy for Kenya, particularly).</p> <p>However, low-income households were not necessarily be the main final beneficiaries of the project because the project aimed at longer term market changes that tended to benefit the better-off first – however by targeting relatively poor areas this effect although always present was limited.</p>	<p>TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships            Monitoring report MR-144913.01            30/07/2012</p>	<p>Strong            This is factual project evaluation</p>
<p>For the rural electrification projects in Zambia, and at the time the MTR was done, the MTR provides evidence that:</p> <ul style="list-style-type: none"> <li>• None of the expected results had been achieved; nor, in the opinion of the MTR team are the expected household connections likely within a year of the immediate conclusion of the project. The major focus of the project is the construction of a backbone connector with a 20 year time horizon, which will facilitate on-going connections into the foreseeable future. Thus, no judgement is possible regarding the expectation that electrification will lead to increased economic activity, which will</li> </ul>	<p>Mid-term Review of “Rural Electrification Infrastructure and Small Projects” - Zambia            Final Report, July 2013</p>	<p>Strong            This is factual project evaluation</p>

Summary response	Sources of information	Quality of evidence
<p>contribute to poverty reduction in the targeted areas. While the MTR team believes that the assumption is logical, should farmers take up the opportunity, there is at present no evidence to suggest that they will be in sufficient numbers to make a significant impact on poverty levels in the target areas. Nor, does the MTR team believe that occupants of 500 ha farms or international investments qualify as poor. Connecting them may help them increase productivity, but unless it also results in substantial new jobs, this will not reduce poverty.</p> <ul style="list-style-type: none"> <li>• Electrification may contribute to poverty reduction but this is a function of equitable access; this project does not address this, instead it depends on the World Bank-financed subsidy scheme for connections. Should this not be extended beyond the current completion date (December 2013), even fewer connections can be expected.</li> <li>• Tariffs for use of electricity (as opposed to connection charges) have increased (133% over the subsidised rate) to be cost-reflective. This raises the question if customers can afford the new tariffs.</li> </ul> <p>However, the MTR points out that “Experience shows that poorer household often have both the ability and the willingness to pay for electricity consumption, but not for the connection fee. ZESCO - Zambia Electricity Supply Corporation now allows customers to pay connection fees over a period of 36 months through electricity purchases on a prepayment metering system.”</p>		
<p>According to the monitoring report the “Successful implementation of the “Mwenga Hydro Rural Network Extension” project is likely to contribute to poverty alleviation through increased access to electricity.”</p>	<p>Mwenga Hydro Rural Network Extension into the Kihansi Basin - ROM Report - Tanzania 20/03/16</p>	<p>Strong This is factual project monitoring</p>
<p>The prepaid energy project was set-up in a region of Rwanda particularly affected by the limited or complete lack of access to the national electricity grid and with an essentially rural population. Without access to electricity people rely on kerosene for lighting and generators for phone charging, which is costly and has negative impacts on health and environment.</p> <p>Access to finance is a major barrier for the rural poor to shift from traditional energy sources to renewable energy technologies. Also the lack of efficient micro-payment methods, expensive after-sales services in rural areas, and the inability to offer long-term loans for solar systems are the main barriers. By offering end-user financing the project aimed to overcome this challenge. The € 6 million EU grant was intended to remove above-mentioned barriers and resulted in a complete project budget of € 22.1 million, a considerable leverage. This was a very efficient usage of the grant money, merely € 24 are needed to achieve access to energy per beneficiary.</p>	<p>Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877</p>	<p>Indicative but not conclusive By design</p>
<p>The potential customers in the Rwanda project on prepaid energy are primarily those that have sufficient income to cover the fees. Schools in the rural areas are also targeted but so far no systems have been installed here. One of the major design faults was that the schools were expected to cover 90% of the installation costs, an assumption that has proven to be erroneous, leaving the project with a significant challenge for this important component. Initially, the action planned to focus its</p>	<p>ACP EU Energy Facility Monitoring / Project Performance Sheet - Rwanda Prepaid Energy 13/02/17 (spreadsheet)</p>	<p>Strong This is factual project monitoring</p>

Summary response	Sources of information	Quality of evidence	
<p>interventions in one region only, but this plan was amended after a slow start with much lower sales than anticipated. Even after the expansion to cover the whole of Rwanda, the sales are low and it is therefore questionable whether the target in terms of number of installed Solar Home Systems (SHSs) has been overestimated, and that perhaps the costs for the SHSs are too high. The average daily income per person in Rwanda according to the World Bank is 4 USD/day, and the starting price under the Rent-to-Own scheme is 0.5 USD/day, hence over 10% of an average daily income. An assessment of this appears perhaps not to have been analysed sufficiently in the design stage, and it is also mentioned in the report that the project management is struggling in obtaining information about the income stream of potential customers. It may also be discussed whether the size of the provided systems are appropriate.</p> <p>Neither the ROM report nor the narrative report from the Energy Development Corporation Limited elaborate on matters related to "alleviation of poverty and improving the quality of life" in the targeted rural areas. The impression that the reader is left with is that currently the focus is on "efficiency" which relates to ensuring that the project is reaching the quantitative targets while it seems to be assumed that the "effectiveness" is achieved automatically.</p>			
Across all initiatives	<p>While EU support was instrumental in supporting grid penetration into un-served areas (e.g. Mumbwa), connection to the network still remained a challenge for poor households and the local communities. Where connections were subsidised, consumers were able to increase their ability to pay – hence an appropriate financing mechanism for the initial connection was of critical importance. The problem of finding a formula for a more affordable and sustainable mechanism for connection fees had not yet been solved, and was also linked to the role and financial position of ZESCO, which was being addressed by the government. There is evidence that funding using conventional grant-based approaches had an innovative effect and contributed to sustainable development – but the mid-term evaluation reports (2011/2012) for the Increased Access to Electricity Services (IAES) project supported by EU under the EF and the World Bank and the World Bank Implementation Completion and Results Report for the same IAES project held important lessons concerning the challenges of reaching poor households with grid connections. Similarly (as also observed by the evaluation team during its field visit in the Mumbwa Concession area B), the Mid-term Review (July 2013) for the “Rural Electrification Infrastructure and Small Projects” had several critical findings concerning the design and implementation of this project supported by EU under EF funding.</p>	Zambia country interviews	Strong
	<p>The grants provided for investments under the EF have shown good results in most cases (Mwenga Hydro, Lake Zones schools and health centres electrification, etc.)</p>	Tanzania country interviews	Strong
	<p>The grant-based EF project of the Prepaid Mobisol was by design and implementation highly managerially, institutionally and technically innovative. It entailed the use of a RE source and a technology to enable mobile payments that was at the time not used in Rwanda and highly innovative and addressed the first cost barrier and was implemented using a Public-Private Partnership that was new for the kind and size of the project.</p>	Rwanda country interviews	Strong

Summary response	Sources of information	Quality of evidence
<p>NESP's pilot projects were innovative in the perspective of testing mini-grid business models based on Public Private Partnership; and the sustainable farming project addressing reforestation through an energy perspective. NESP supported the development of projects, where the grant share was allocated to equipment and private companies had to secure additional finance from commercial banks. However, the financial crisis delayed the process.</p>	Nigeria country interviews	<ul style="list-style-type: none"> <li>• Strong</li> </ul>
<ul style="list-style-type: none"> <li>• EnDev – upscaling access to energy through off grid renewable energy solutions ET/FED/38370: Innovations were brought in through learning from earlier phases of the project e.g. i) it was found that community managed hydropower schemes did not set the tariff high enough to ensure regular maintenance. The new phase is correcting and adjusting to avoid that problem –ii) another innovation is to support associations of solar companies to get the market to work better ensure that the private sector has a voice and contributes to the sector governance and debate- iii) for household systems there are no subsidies, all the subsidies are for institutional purposes (clinics etc) iv) the project through its scale and prominence supports the recent paradigm shift in Ethiopia towards accepting that off grid was a viable way of meeting targets v) the project tries to mainstream energy in productive uses - not just using energy as end but as a means to an end (JC 4.1, Action document, GIZ data sheets on EnDev, Interviews ET07).</li> <li>• Powerkiosk - FED/2014 / 352-393&amp;4 (Ethiopia, Kenya, Madagascar): The concept of mobile powerkiosks in rural areas was innovative and although problems have occurred it still has the potential for creating a viable private sector driven market for solar energy services.</li> <li>• Integrated approach to meet rural household energy needs in Ethiopia - FED/2011 / 268-336. Poor people were targeted and the project was judged relevant to the target group and also local government but only to a limited extent reached the target group due to implementation and weakness in the overall strategy.</li> </ul>	Ethiopia country interviews	<ul style="list-style-type: none"> <li>• Strong</li> </ul>
<p>The EU grant for grid extension is justified as it comes as a support to the government initiative to set a revolving fund for subsidies connection kit for the poorest, and it allowed to scale-up the potential impacts.</p>	Ivory Coast country interviews	<ul style="list-style-type: none"> <li>• Strong</li> </ul>
<p>The EF 105 localities project demonstrated to the SBEE the possibilities and potential to extend the grid in un-served areas where the ability to pay was considered as not commercially attractive. The project reinforced SBEE capacities in electrifying rural areas, and introduced a model of prepaid meters. The Atlantique project was designed to reinforce the EF project.</p>	Benin country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. The evidence shown above from formulations, design and implementation of 8 specific projects, from three evaluations involving tenths of projects and from the country visits clearly indicates their innovative value and pro-poor nature.</li> <li>2. The evidence also justifies the use of the grant, however there is no evidence to judge whether the size of grant awarded was appropriate.</li> <li>3. Two projects out of 8 specific projects have not shown to be pro-poor in its design and implementation, due to over-optimistic assumptions made about affordability for the poor.</li> </ol> <p>More specifically:</p>		

Summary response		Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• The above-mentioned evidence indicates that 6 projects (1 Geographic Support and 5 EF) were by design pro-poor.</li> <li>• The above-mentioned evidence indicates that 4 EF projects were by design and implementation pro-poor and that has been established in monitoring and evaluations.</li> <li>• The above-mentioned evidence indicates for 3 EF projects that: <ul style="list-style-type: none"> <li>› Rural Electrification Infrastructure and Small Projects” – Zambia. Not by design and implementation pro-poor and not innovative: (i) the rural electrification project aimed at reducing poverty by building a backbone connection. Whilst this was necessary it was not sufficient to ensure access by the poor and (ii) an assumption was made that people would connect but this proved not be assured as it was dependent on WB subsidies and ZESCO connection programmes that were planned to be phased out and (iii) there are nevertheless measures such as a 36 months payment period for new connections which might have increased the connection rate (to be tested during field work).</li> <li>› Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) - Was by design but not by implementation pro-poor.</li> <li>› TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships - Was by design but <u>maybe</u> not by implementation pro-poor.</li> </ul> </li> <li>• Four cases of the above-mentioned evidence (1 Geographic Support and 3 EF) indicates that there were innovative aspects in design and implementation.</li> </ul>			
<b>I 4.1.2 - Evidence that the grants removed barriers and have demonstrated innovative institutional, management and technical alternatives</b>			
Geographic support	The proposed rehabilitation works of the Kariba Dam required exceptional measures which have never been implemented before. There are no existing dam rehabilitation projects to draw experience from. The design consultant has, based on his experience, included detailed guidelines on the blasting operations in the Plunge Pool close to the foundation of the dam, pumping operations, special treatment of the fault zone and monitoring during works.	Action document for the Kariba Dam Rehabilitation Project - Zambia CRIS number: FED/2014/031-570	Indicative but not conclusive By design
Energy Facility	According to the evaluation “The Commission allocated support for renewable energy to projects that were highly prioritised by partners and potential beneficiaries. However, insufficient rigour in the selection process meant that a quarter of the projects examined were awarded a grant despite significant design weaknesses being identified.”	ACP–EU Energy Facility support for renewable energy in East Africa Evaluation audit Energy Facility European Court of Auditors, 2015	Strong This is factual project evaluation
	Cross-border electrification projects are difficult to implement due to institutional and management problems, and often territorial problems. So the “5 cross-border rural electrification projects” had to overcome these barriers and they achieved that, although with some problems: <ul style="list-style-type: none"> <li>• Benin – North Togo: Satisfactory</li> <li>• Ghana - Togo: Not satisfactory (reduced number of connections)</li> <li>• Ghana – Burkina Faso: Not satisfactory (reduced number of connections)</li> <li>• Ghana - South Togo: Satisfactory (but probably delayed)</li> <li>• Ivory Coast – Liberia: Deficient/Very deficient</li> </ul>	Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP) Contract N°2014/337964 Final report, May 2014	Strong This is factual project evaluation

Summary response	Sources of information	Quality of evidence
<p>Implementation of the Action on “Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia” also allowed for the establishment and launch of the Rural Energy Fund (REFUND). The establishment of the REFUND helped to facilitate the coordinated funding of economically viable, socially acceptable, and environmentally friendly rural energy projects. The promulgation of the REFUND now allows for the channelling of financial and technical assistance, grants, and loans to the private sector and rural communities.</p>	<p>Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia Final narrative report July 2016</p>	<p>Strong This is factual project evaluation</p>
<p>Although there are growing opportunities for off-grid renewable energy solutions, the uptake of these products is still limited. Hence the project relevance as it seeks to improve the availability and increase the affordability of renewable energy solutions for rural and peri-urban low income communities with an innovative approach by bringing together Rural Energy Entrepreneurs and Rural Micro-finance Institutions and Savings and Credit Cooperative Societies in a private sector driven project design.</p>	<p>TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships Monitoring report MR-144913.02 26/07/2013</p>	<p>Strong This is factual project monitoring</p>
<p>Already the previous project, the Mwenga Hydro Generation and Rural Electrification Project, has been designed as a Public Private Partnership Project, years before the concept as such has found its way into Tanzanian legislation in 2010.</p> <p>Innovation and best practice experiences of the previous action (installation and operation of a prepaid metering system) is already recorded, and will be transferred to the new action (current proposal).</p>	<p>Annex I - Description of the Action Mwenga Hydro Rural Network Extension into the Kihansi Basin- Tanzania, June 2013</p>	<p>Indicative but not conclusive By design</p>
<p>Besides being based on a public-private partnership, the Prepaid Energy – Rent to own solar home systems project was designed to be both innovative in technology and service offering. By making use of mobile communication in an innovative way the project hopes to tackle the identified barriers:</p> <ol style="list-style-type: none"> <li>1. The inclusion of mobile banking allows paying off over time effectively and radically increases the affordability of a good quality solar system.</li> <li>2. An embedded monitoring system tracks at a distance, which facilitates maintenance, increases the system lifetime, drastically lowers service and operational cost of SHS and further provides ideas for design improvements.</li> <li>3. An embedded switch inside the system controls its power output via the mobile network. It may be turned off remotely and is an incentive for timely payments, which minimizes the risk of default for investors.</li> </ol>	<p>Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877</p>	<p>Indicative but not conclusive By design</p>
<p>Across all initiatives</p> <ul style="list-style-type: none"> <li>• Grants provided for mini-grids deployment have significant impact in showing viable alternatives for grid extension (and informing the policy dialogue). The financial feasibility of mini-grids was due to the fact that there were well designed laws and regulations, Tanzania being at the forefront of this development in Africa.</li> <li>• The innovative aspects of the JUMEME project were: (i) a “constellation of stakeholders” actively involved in the project and which fosters growth through concerted aims and actions; (ii) a tariffs and billing model which offers reliability and planning features to the customers; (iii) the “key maker model”, that was a strong push in the business creation, to foster local revenue by create new business, and job, opportunities through the intervention in each of the possible existing value chain.</li> </ul>	<p>Tanzania country interviews</p>	<p>Strong</p>



Summary response	Sources of information	Quality of evidence
The grant-based EF project of the Prepaid Mobisol was by design and implementation managerially, institutionally and technically highly innovative. It entailed the use of a RE source and a technology to enable mobile payments that was at the time not used in Rwanda and highly innovative and addressed the first cost barrier and was implemented using a Public-Private Partnership that was new for the kind and size of the project	Rwanda country interviews	Strong
Grants provided for mini-grids deployment demonstrated viable alternatives for grid extension (and informed the policy dialogue). The feasibility of financing mini-grids was however not demonstrated, due to a lack of commercial banks' interest in energy and a financial crisis that had delayed NESP support to access to finance.	Nigeria country interviews	Strong
<ul style="list-style-type: none"> <li>• Grant based funding is appropriated due to energy market needs and stage of development. However, procedures are biasing the intended results.</li> <li>• EF grants were justified due to low electrification - very low ATP/WTP. They had a demonstration effects. The market is highly distorted anyway as some projects distributed free pico solar systems.</li> <li>• The grant to cross-border project was innovative because it set a precedent in supplying electricity in effective way. Risks at the operational phase were not carefully measured. Already distribution projects (USAID) building upon this transmission line.</li> </ul>	Liberia country interviews	Strong
The Zanzan project was focused on energy access for remote isolated communities. The project would not have taken place without the grant. In fact, the plan had been discussed with the GoCD in 2011, but was not financed.	Ivory Coast country interviews	Strong
<ul style="list-style-type: none"> <li>• The EU supported grid extension projects had a large component of rural electrification which targeted pro-poor connections through subsidies to the connection fee, and the project would have probably not occurred without the grant.</li> <li>• The EF 105 localities project demonstrated to the SBEE the possibilities and potential to extend the grid in un-served areas where the ability to pay was considered as not commercially attractive. The project reinforced SBEE capacities in electrifying rural areas, and introduced a model of prepaid meters. The Atlantique project was designed to reinforce the EF project.</li> </ul>	Benin country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. In the sample examined and where supporting evidence was found (one evaluation and 6 specific projects) it can be concluded that the projects removed or were by design intended to remove barriers and have demonstrated innovative institutional, management and technical alternatives. The country visits confirmed this finding.</li> <li>2. There are indications that a substantial amount of EF projects have had significant design problems which have in practice affected the degree to which they have (or area likely to have) succeeded in removing barriers and demonstrated innovative alternatives</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• Two of the 6 analysed projects showed that there is strong evidence that the grants removed barriers and have demonstrated innovative institutional, management and technical alternatives.</li> <li>• Three of the analysed projects showed <u>by design</u> that that the grants were meant to remove barriers and have demonstrated innovative institutional, management and technical alternatives.</li> </ul>		

Summary response		Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The 5 cross-border electrification projects were in principle innovative institutionally and in management (technically they are mostly business as usual). The evaluation of the 5 cross-border rural electrification projects found serious problems in one of them.</li> <li>The Evaluation Audit of the Energy Facility by the European Court of Auditors showed that 25% of the projects had significant design weaknesses.</li> </ul>			
<b>I 4.1.3 - Evidence that the demonstration effect of the projects resulted in replication</b>			
Energy Facility	The evaluation concluded that with “Regard to the design of projects, appropriate evaluation criteria were used to assess replicability (demonstrative effects serving as a model for future replication).”	ACP–EU Energy Facility support for renewable energy in East Africa Evaluation audit Energy Facility European Court of Auditors, 2015	Indicative but not conclusive By design
	The evaluation affirms that “Cross-border electrification projects have a high potential of replicability within the Western African countries (and abroad) a success in this program will have a substantial impact in other countries.	Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP) Contract N°2014/337964 Final report, May 2014	Strong This is factual project evaluation
	The following sentence from this report indicates that there has been replication of the EF project: “As a follow up to the Rural Energy Strategy and Master Plan for Liberia, the Rural and Renewable Energy Agency is currently implementing a five-year project entitled “Scaling-up Renewable Energy Project” being administered by the World Bank and financed by the Climate Investment Fund. The World Bank is continuing its human resource capacity development of the Rural and Renewable Energy Agency.”	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia Final narrative report July 2016	Strong This is factual project evaluation
	In Zambia, the planned grids of the EF project on rural electricity are part of the countrywide recently published Master Plan and are rated high priority. Unfortunately, the fact that these grids are supposed to be funded by the EF also blocks the possibility of implementing them using alternative ways of funding, until the EF approach either goes ahead or officially fails.	Rural electricity infrastructures and small scale projects - Zambia Monitoring Report MR-130441.01 14/05/2010	Strong This is factual project monitoring
	The completed Mwenga hydropower was very successful, the new proposed project is not exactly a replication but an expansion of the coverage area of the original project. This can be taken as a replication effect.	Annex I - Description of the Action Mwenga Hydro Rural Network Extension into the Kihansi Basin- Tanzania, June 2013	Strong (even though it is by design)
	Crucial to Mobisol’s functionality was the mobile network and mobile banking coverage – both are present in the pilot area. A scale-up together with the mobile banking operator is perceived to have the highest potential. Mobisol has offers from the two biggest mobile operators of Rwanda to use their infrastructure and will decide on the appropriate partner once the project is initiated. The replication capability of this project is significant, therefore multiplier effects through replication of the action can be achieved.	Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877	Indicative but not conclusive By design

Summary response		Sources of information	Quality of evidence
	<p>The ROM report states that “The Rwanda Prepaid Energy project is one of the key actions to help achieve the rural electrification targets as they are formulated in the new Rural Electrification Strategy. The Ministry of Infrastructure specifically acknowledge this project as a front-runner for testing risk mitigating options to increase private sector participation in the rural electrification.”</p> <p>So, the prepaid mechanism once demonstrated is an innovation that has high prospects for replicability.</p>	<p>ROM report: Rwanda Prepaid Energy. Rent to own solar home systems (off-grid) C-341877 06/06/2016</p>	<p>Strong This is factual project monitoring</p>
Across all initiatives	<p>Mwenga hydropower (initially a mini-grid) project had through its implementation a large demonstration effect, had been replicated locally with a grid-extension project and resulted in the creation of a second Designated National Operator, small compared to TANESCO but a break-through in terms of showing that an alternative was possible for TANESCO</p>	Tanzania country interviews	Strong
	<p>The Prepaid project led to replication, because directly or indirectly it opened the market for such systems by its demonstration effect. Similar systems are now being offered by many other companies in Rwanda and in fact are making the achievement of the targets difficult because they are not bound by the ‘by design’ limitations of the project and are more flexible and adapt to the market</p>	Rwanda country interviews	Strong
	<p>According to private sector stakeholders the grants were catalytic. Commercial banks would not have provided loan for such projects without grant support. One company used the grant as a starting capital for larger business plan. Still, several stakeholders pointed out that grants were not a good strategy in Nigeria because they created “dependency”, and because of a high risk of corruption. As a consequence, loans appeared more appropriate especially for infrastructure development.</p>	Nigeria country interviews	Strong
	<p>The approach of the “EnDev – upscaling access to energy through off grid renewable energy solutions” is based on earlier phases and good reason to believe that it will be replicable due to the market based approach e.g. cooking stoves and household solar technology that are in high demand and backed by a quality check – but a caveat is that the system promoted by the new EnDev programme is solar powered mini-grids, which are yet to have proven market based approaches.</p>	Ethiopia country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>In the sample examined there were very few (4 projects and two evaluations, all EF) projects that provided information on the replicability. Tentatively one can say that limited replicability was achieved, even though by design this aspect was taken into consideration.</li> <li>In half of the countries visited a number of grant projects have been replicated.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>The evaluation of the Energy Facility by the European Court of Auditors shows that <u>by design</u> appropriate evaluation criteria were used to assess replicability.</li> <li>The evaluation of the 5 cross-border electrification projects indicates that this kind of project have high replicability.</li> <li>The demonstration effect of one project (out of the 4) resulted in replication.</li> <li>One project (out of 4) has a high potential for replication.</li> <li>One project (out of 4) has <u>by design</u> high probability of replication, which is confirmed by posterior monitoring.</li> <li>For one project (out of 4) was indicated that the fact that the EF could fund it was blocking other ways of funding and therefore effectively limiting implementation.</li> </ul>			

Summary response	Sources of information	Quality of evidence	
<b>JC 4.2 - Degree to which the projects supported through conventional grant funding have achieved, demonstrated and lead to pro-poor, pro-environment, pro-growth and pro-gender benefits</b>			
<b>I 4.2.1 - Additional number of households with access to electricity (on grid, mini grid and off grid)</b>			
Geographic support	<p>The “Access to Sustainable Energy Programme in the Philippines” has the following objectives:</p> <ol style="list-style-type: none"> <li>1. More than 150,000 of families electrified through the programme.</li> <li>2. More than half of the electric cooperatives increase renewable energy distribution to reach their members.</li> <li>3. At least 50,000 livelihoods significantly improved through access to sustainable energy.</li> </ol> <p>The National Programme on Rural Electrification in Rural, Mountainous and Islands areas 2013-2020 (as stated in the decision No. 2081/2013) aims to contribute to inclusive growth through the poverty reduction and improving the development in the rural area shortening the development gap in the remote areas.</p> <p>Through the Rural Electrification Programme, 1,288,900 households should be connected through the extension of the grid, while only 21,300 households should be electrified through off-grid solutions, essentially in six islands.</p> <p>Tariffs in rural areas are about 20% lower on average than standard tariffs for electricity. In addition, poor households are subsidised for their first 30 kWh of electricity consumed per month (PM Decision 28/2014).</p> <p>The “Energy Sector support project in Ivory Coast” has as one of its objectives: 26,500 households electrified in rural areas (target 2025).</p> <p>The “Sector Reform Contract (SRC) of Rwanda” has as one of its objectives: Household access rate, target 70% (2018) - baseline 22% on-grid access (2015), 6% off-grid access (2015)</p>	<p>Action Document for the Access to Sustainable Energy Programme – Philippines. CRIS number: 2014/35111 and 2014/37618</p> <p>Assessing Energy Policies in Vietnam with a specific emphasis on sub-sector policies related to RES, EE, ACE in rural area and power market reform. <i>Intermediate Report: Access to Energy</i> (Revised)</p> <p>Projet d'appui au secteur de l'énergie en Côte d'Ivoire (ENERGOS) Numéro CRIS: 037-943</p> <p>Projet d'appui au secteur de l'énergie en Côte d'Ivoire – Phase Deux (ENERGOS II) Numéro CRIS: 039-393</p> <p>Action Document for the Sector Reform Contract (SRC) to increase performance of Rwanda's energy sector and</p>	<p>Indicative but not conclusive By design</p> <p>Indicative but not conclusive By design (even though info is from and Intermediate Report)</p> <p>Indicative but not conclusive By design</p> <p>Indicative but not conclusive By design</p>

Summary response	Sources of information	Quality of evidence
	develop the corresponding institutional capacities CRIS number: FED/2015/38107	
Energy Facility	Mid-Term Evaluation of the 1st Call for Proposal of the Energy Facility under the 9th EDF Final Report Volume I – Main Report February 2012	Strong This is factual project evaluation
	ACP–EU Energy Facility support for renewable energy in East Africa Evaluation audit Energy Facility European Court of Auditors, 2015	Strong This is factual project evaluation
	Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP) Contract N°2014/337964 Final report, May 2014	Strong This is factual project evaluation
	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia Final narrative report July 2016	Strong This is factual project evaluation
	POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar	Strong By design and by factual project monitoring

Summary response	Sources of information	Quality of evidence	
	It has been estimated that 16,680 households were supplied by the 36 Power Kiosks which were operational in February 2017.	Interim Narrative Report September 1st 2016 – February 28th 2017 April 2017	
	The “TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” project results, show that 4,639 households in Kenya, Uganda and Tanzania have been able to purchase a solar lantern through the project (using a loan).	ACP EU Energy Facility Monitoring / Key Indicators November 2015 (spreadsheet)	Strong This is factual project evaluation
	<p>The objectives of the “Mwenga Hydro Power” project in Tanzania were to “ Build and operate a 4 MW hydroelectric run of river facility. Build power lines and connections necessary to supply electricity to 14 villages (2,600 households, approx. 13,000 persons), the local tea industry (Mufindi Tea Company) and the national grid (Tanesco).” This was by design.</p> <p>The EF database shows that the impact of the project as of June 2013 is:</p> <ul style="list-style-type: none"> <li>• All target villages have been connected to the network (18 transformers installed); 920 connection applications have been received and connections have been made to over 500 clients.</li> <li>• The cost of household lighting with electric connections has been reduced to approximately 3,000 TSH, compared to previous costs of over 10,000 TSH for paraffin lighting.</li> <li>• Innovative cellular phone based prepaid electricity vending system procured and commissioned (which greatly facilitates customer transactions in a remote rural environment)</li> </ul>	Mwenga Hydro Power Plant - Tanzania Info from EF database	Strong This is factual project monitoring
	The project “Mwenga Hydro Rural Network Extension into the Kihansi Basin” has as one of its objectives to electrify 3,000 households in 17 villages. These villages have a population of approximately 39,000 people, all of whom will be either direct or indirect beneficiaries of the action.	Annex I - Description of the Action Mwenga Hydro Rural Network Extension into the Kihansi Basin- Tanzania, June 2013	Indicative but not conclusive By design
	<p>The “Rwanda Prepaid Energy” project “will provide 49,000 off-grid households with Mobisol solar systems. The disseminated systems are sufficient to cover basic energy needs of households (lighting, phone charging and entertainment) and small businesses (low load appliances).”</p> <p>Assuming an average of five family members, the electrification of 49,000 households would directly benefit approximately 250,000 people. In cooperation with the one laptop per child program we will provide 1,000 schools with light and the ability to charge laptops and solar lanterns, which children can take home. Through this initiative we are able to reach approximately 400,000 children.</p>	Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877	Indicative but not conclusive By design

Summary response		Sources of information	Quality of evidence
	The ROM report states that the “Rwanda Prepaid Energy” set-up has not yet proven efficient to roll-out SHS on a large scale as still only less than 6,000 SHS have been installed. If this level of efficiency is continued then the project will fail achieving the output target. At the current rate the project will only reach a 40-45% achievement of household connections. By June 2016, 50% of project duration had already elapsed but the achievements towards planned results were around 10% or less. The reasons for the delays are largely due to the project partners' lack of experience implementing EUD projects, lack of experience implementing a project as a Public-Private Partnership and insufficient strategic resources.	ROM report: Rwanda Prepaid Energy. Rent to own solar home systems (off-grid) C-341877 06/06/2016	Strong This is factual project monitoring
Across all initiatives	<ul style="list-style-type: none"> <li>The EU supports grid extension projects which have a large component of rural electrification or supports exclusively the rural electrification component. This results in more pro-poor targeted interventions.</li> <li>The Mwenga projects were supplying electricity to 2,530 customers connected, with approximately 2,230 being rural households, expect to get to approximately 5,000 connections by end of 2019.</li> <li>The JUMEME mini-grid project connected up to know 267 customers, out of which 41 were productive uses and commercial users. There were almost 1,000 new pre-contracts.</li> </ul>	Tanzania country interviews	Strong
	The Prepaid project by eliminating the first-cost barrier has made the systems more affordable for poorer segments of the population, even though the total amount paid is at the end very high.	Rwanda country interviews	Strong
	The EU-GIZ NESP phase 1 has resulted in 4 rural electrification pilot projects through mini-grids which targeted around 500 HH connection.	Nigeria country interviews	Strong
	The results of the “Support to efficient utilisation of alternative energy sources to improve the livelihoods of pastorals and agro-pastoral communities in Southern Ethiopia- FED/2011/268-372” were reached in line with project targets with a short delay (no-cost extension), over 70,000 beneficiaries in some of the poorest and least secure areas were reached – the income generating projects e.g. productive use of solar pumping for women group irrigation schemes were successful.	Ethiopia country interviews	Strong
	The 105 localities project achieved good connection level. 9,425 HH were connected to the grid. Social intermediation emphasised gender. (JC 4.2, I 4.2.1/3/4/6, Interviews, EF project fiche)	Benin country interviews	Strong
<p><b>Summary findings:</b></p> <ol style="list-style-type: none"> <li>The four Geographic Support projects for which the relevant information is found show evidence of targeting poor households by design. Due to the fact these are recent projects, it will be difficult to find factual information.</li> <li>For the EF projects one finds plenty relevant information indicating that the projects targeted poor households by design and implementation.</li> <li>The country visits results show that projects succeeded in connecting large number of households.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>The Mid-term evaluation shows for a selection of 27 EF energy access projects, more than 2.1 million beneficiaries have been provided with access to modern energy services, against a target of 2.8 million for these same 27 projects. Because most of these project are in rural areas one can assume that their beneficiaries are mainly poor people.</li> <li>The evaluation of the European Court of Auditors also supports the pro-poor nature of the EF projects evaluated.</li> </ul>			

Summary response	Sources of information	Quality of evidence							
<ul style="list-style-type: none"> <li>The evaluation of the 5 cross-border projects also shows that projects are implemented in poor rural areas.</li> <li>Of the other (besides the above) six EF projects for which relevant information was found, five provide strong evidence for delivering benefits for poor households.</li> <li>One EF project is by design a pro-poor but later monitoring puts serious doubts about it attaining that objective.</li> </ul>									
<b>I 4.2.2 - Additional number of households having access to clean cooking facilities</b>									
Geographic support	<table border="1"> <thead> <tr> <th data-bbox="349 443 853 475">Baseline (2015)</th> <th data-bbox="853 443 1402 475">Indicator (2020)</th> </tr> </thead> <tbody> <tr> <td data-bbox="349 475 853 507">50% improved cooking stove rate</td> <td data-bbox="853 475 1402 507">100% improved cooking stove rate</td> </tr> <tr> <td data-bbox="349 507 853 539">80 % wood demand met</td> <td data-bbox="853 507 1402 539">100 % wood demand met</td> </tr> </tbody> </table>	Baseline (2015)	Indicator (2020)	50% improved cooking stove rate	100% improved cooking stove rate	80 % wood demand met	100 % wood demand met	<p>Action Document for the Sector Reform Contract (SRC) to increase performance of Rwanda's energy sector and develop the corresponding institutional capacities</p> <p>CRIS number: FED/2015/38107</p>	Indicative but not conclusive By design
Baseline (2015)	Indicator (2020)								
50% improved cooking stove rate	100% improved cooking stove rate								
80 % wood demand met	100 % wood demand met								
Energy Facility	Project is likely to have a very significant impact on rural society, particularly women who usually travel long distances in search of daily fuel needs. In addition to this, provision of electricity reduces deforestation and promotes the development of services in villages.	Mwenga Hydro Rural Network Extension into the Kihansi Basin - ROM Report -Tanzania 20/03/16	Indicative but not conclusive Even though based on factual project monitoring						
Across all initiatives	There has not been a strong focus on clean cooking solutions under traditional grant funding	Zambia country interviews	Strong						
	One improved cookstoves project initiated with support from the EU had trained people in technical, business and market skills and every month around 10,000 improved cookstoves are produced and distributed throughout the country.	Tanzania country interviews	Strong						
	<p>The EU-GIZ NESP phase 1 has resulted in:</p> <ol style="list-style-type: none"> <li>3 clean cooking stove companies have been selected and receive technical assistance for production and dissemination (JC 4.2, NESP monitoring report)</li> <li>15 mud stoves production centres have been operationalised. Most of them are women SMEs.</li> </ol>	Nigeria country interviews	Strong						
	<p>The NBPE+ Biogas ET/FED/038-189 will provide many thousands of households with a clean cooking solution.</p> <p>The "Support to efficient utilisation of alternative energy sources to improve the livelihoods of pastorals and agro-pastoral communities in Southern Ethiopia- FED/2011/268-372" project delivered 6,000 fuel saving stoves.</p>	Ethiopia country interviews	Strong						
	There has not been any focus on clean cooking solutions under traditional grant funding	Ivory Coast country interviews	Strong						
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>In the sampled projects, there are very few projects that target improving cooking, not sufficient to provide a relevant indicator.</li> <li>However, from the information available one assumes that people will substitute wood and charcoal and start cooking on electricity. This has proven to be a wrong assumption, electricity is too expensive for people to be able to afford cooking with. Not to mention that most poor families cannot afford the initial costs of an electric stove (maybe only a rice cooker).</li> </ol>									



Summary response	Sources of information	Quality of evidence	
3. In three of the visited countries there were clean cooking energy projects.			
<b>I 4.2.3 - Evidence from observation of additional gender related benefits e.g. (i) increase of the number of girls / women having access to education arising from improved access to energy; (ii) increase of the number of women having access to safe health care arising from improved access to energy; (iii) decreased burden of wood and water collection arising from improved access to energy</b>			
Geographic support	<p>In the Action Document for the Up-Scaling Energising Development Ethiopia is stated:  “Since firewood collection and cooking is usually a woman's tasks, women and children are those predominantly affected by the problems associated with the traditional ways of preparing food, e.g. the respiratory diseases due to the many hours spent in the kitchen, the time- and energy-consuming drudgery of collecting firewood etc. They will therefore directly benefit from the project's ICS commercial dissemination component. The small-scale stove producers, nearly 50% women, will also benefit from self-sustaining income-generating opportunities. Gender screening done at beginning.”</p>	<p>Action Document for Up-Scaling Energising Development Ethiopia - Access to Energy through off-grid Renewable Energy Solutions</p>	<p>Indicative but not conclusive  By design</p>
	<p>In the Action Document for the Access to Sustainable Energy Programme – Philippines it is stated that:  “Social, health and gender equality concerns are likewise positive for the project. Availability of power for those targeted for connection with the prepaid meters as well as those recipients of solar home systems provide these households with new opportunities both for livelihood and social aspects. Presence of better lighting extends the productive time for women which can be translated to additional income, like in cottage industries for sewing and handicrafts. Children can have more time to study under a superior form of lighting not mentioning the health hazard posed by kerosene lamps both to these children and to their homes. As for solar lanterns and solar street lighting, a sense of safety and security is felt when people use them in their communities. With solar pumps, women and children will not have to walk far to draw water for the household. All these advantages, and more, have been studied and reported in many of the families where grid power or solar systems have been introduced.”</p>	<p>Action Document for the Access to Sustainable Energy Programme – Philippines  CRIS number: 2014/35111 and 2014/ 37618</p>	<p>Indicative but not conclusive  By design</p>
Energy Facility	<p>The evaluation of the 5 cross-border rural electrification projects shows that:  “The social aspects have a strong relation with gender issues as men, women and children have quite different roles, experiences and time consumption patterns related to energy in rural areas. No longer requiring to go to the shops for traditional energy purchases (batteries, candles, charging of cell phone batteries and kerosene) will generate more free time to women and children. A grinding mill would reduce the number of hours which are roughly estimated to be in the order of 50,000 hours for the community of 5,000 families.”</p> <p>“Improved health services are especially positive to women as they, in addition to routine services, will also require antenatal care. Children also have better chances as direct analysis of malaria, for example, will allow for prompt action.”</p>	<p>Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP)  Contract N°2014/337964  Final report, May 2014</p>	<p>Strong  This is factual project evaluation</p>

Summary response		Sources of information	Quality of evidence
	The Rural Energy Strategy and Master Plan for Liberia serves as Liberia's and Rural and Renewable Energy Agency's strategic roadmap for providing access to improved energy services as well as integrating energy into rural development programs and activities, taking into consideration other cross-cutting issues such as gender, energy efficiency, environmental protection, promotion of energy enterprise development, research and indigenous development of renewable energy technologies, establishment of standards for equipment and services, and establishing a central repository for information on rural and renewable energy activities in Liberia.	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia  Final narrative report  July 2016	Strong  This is factual project evaluation
	The "TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships" has Objectively Verifiable Indicators which are generally well defined, except at impact level, and sources of verification diverse and affordable. The project did not integrate main cross-cutting issues: Human Rights (possible discrimination of target groups) and Gender interests have not been analysed properly.	TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships  Monitoring report MR-144913.01  30/07/2012	Strong  This is factual project monitoring
	The "Rwanda Prepaid Energy" grant applications mentions that: "Social benefits of SHSs include the positive impact on health by minimising the emission of indoor pollutants through substitution of kerosene. This is especially beneficial to women because they stay indoors for longer periods of time than men and are exposed to the adverse effects of fuel-based cooking and lighting. Furthermore, the risk of burn injuries, structural fires and unintentional ingestion of kerosene by children. SHSs affect the education of households by extending study time and reading hours to after dawn, and through that especially enabling girls involved in daytime household chores to do their homework."	Rwanda Prepaid Energy – Rent to own solar home systems (off-grid)  ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form  FED/2014/341-877	Indicative but not conclusive  By design
Across all initiatives	There is evidence from the evaluation team's observations in the field of additional gender related benefits e.g. (i) increase of the number of girls / women having access to education arising from improved access to energy; (ii) increase of the number of women having access to safe health care arising from improved access to energy; (iii) decreased burden of wood and water collection arising from improved access to energy	Zambia country interviews	Strong
	<ul style="list-style-type: none"> <li>In the Mwenga projects gender issues were also being addressed.</li> <li>In the JUMEME mini-grid project data on positive impacts on gender, poverty alleviation was under preparation. In collaboration with GIZ promotion of women entrepreneurship and job creation was being done</li> </ul>	Tanzania country interviews	Strong
	The role of women was clearly taken into account in the project design and it is evident in the outputs and results (training courses, house energy services, tree plantation, stove production and use).	Nigeria country interviews	Strong

Summary response		Sources of information	Quality of evidence
	NBPE+ Biogas ET/FED/038-189: There is a deliberate targeting of women headed households and poor people.	Ethiopia country interviews	Strong
	The set-up of the 105 localities project addressed gender and productive uses.	Benin country interviews	Strong
<b>Summary of findings:</b>			
<ol style="list-style-type: none"> <li>In the sampled projects, there was not much information on gender related aspects.</li> <li>For the project where relevant information was found gender was taken into account at design stage and six projects shown these benefits after implementation.</li> <li>The country visits show that gender aspects are taken into consideration at least at design stage.</li> </ol>			
More specifically:			
<ul style="list-style-type: none"> <li>Two Sector Support projects show additional gender benefits, even though still at design stage. However, due to the nature of the projects the gender benefits will likely materialise.</li> <li>The 5 cross-border projects from the EF show additional gender benefits.</li> <li>One project (of the other three EF projects where relevant information was found) show additional gender benefits.</li> <li>One EF projects did integrate the analysis of gender related benefits at project design. Due to the nature of the project the gender benefits will likely materialise.</li> <li>One EF projects <u>did not</u> integrate the analysis of gender related benefits at project design. Due to the nature of the project the gender benefits will likely materialise.</li> </ul>			
<b>I 4.2.4 - Increased number of schools, health centres and public institutions having a reliable source of electricity</b>			
Energy Facility	The "Support the Ministry of Health and Social Welfare of Liberia" project aims at increasing access to reliable health care in rural and peri-urban health facilities in Liberia through providing modern, affordable and sustainable energy sources to 205 government supported rural health facilities. Specifically, the project will ensure access by rural communities to round the clock health care services through providing sustainable energy sources at the rural health facilities; enable capacity building of key health staff and communities to ensure sustainability of the project; and establish a solar energy maintenance unit at the MOH&SW to support facilities in equipment maintenance.	Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities FED/2011/267-810 Info from EF database	Indicative but not conclusive  By design
	The "Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia" thorough the implementation of the parallel "Sustainable Solar Market Packages Project" activity has ensured access to modern energy services to off-grid areas in Lofa and Bong Counties, through stand-alone solar PV electrification of public facilities, as well as the commercial distribution of high quality solar lighting products across Liberia. A total of 9 public facilities.  Approximately 11,500 direct beneficiaries and about 25,000 indirect beneficiaries in Lofa and Bong Counties have access to improved modern energy services including lighting, resulting for the installation of 42.72 kWp of stand-alone solar photovoltaic systems on selected public facilities in these areas.	Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia Final narrative report July 2016	Strong  This is factual project evaluation
	With the completion of the Rural Electrification Infrastructure and Small Projects in Zambia the 16 targeted Government of Zambia institutions will have been connected.	Mid-term Review of the Rural Electrification Infrastructure and Small Projects - Zambia	Strong  This is factual project evaluation

Summary response		Sources of information	Quality of evidence
	Similarly, health services will improve; a reliable power supply will enable to operate medical equipment. Furthermore, lighting will improve maternity services.	Final Report, July 2013	
	The “Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar Project” has signed several partnerships agreements with schools, health centres and municipalities in serviced villages for the delivery of electricity.	POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar Interim Narrative Report September 1st 2016 – February 28th 2017 April 2017	Strong This is factual project monitoring
	The modalities chosen by the Rwanda Prepaid Energy project to deliver the (by design) 1,000 school connections seem not to have been fully thought through, and it seems unrealistic to believe that 1,000 school installations can be delivered starting in the last year only. The project has started to engage the Ministry of Education for a first impression of school needs. The goal of 1,000 school installations is only realistic if the process of delivering school SHS is speeder up to start immediately and without any delays. The size of the schools SHS also need to be reassessed taking into account the Governments desire to roll-out 1 laptop per child. The originally sized school SHS may not be sufficient to charge hundreds of laptops.	ROM report: Rwanda Prepaid Energy. Rent to own solar home systems (off-grid) C-341877 06/06/2016	Strong This is factual project monitoring
	<ul style="list-style-type: none"> <li>The installation of 75 photovoltaic centres in public services centres (EF project), especially in clinics and health centres had a very positive impact on the quality of health services and especially of women as now births could happen in safety, even during the night.</li> <li>The Mwenga projects were supplying electricity to 180 clinics, schools, and public buildings in the 21 villages it serves.</li> </ul>	Tanzania country interviews	Strong
	Schools and clinics have not benefited from the PV prepaid project as originally expected	Rwanda country interviews	Strong
<p><b>Summary of findings:</b> Based on the small sample of 5 projects (all EF) with relevant information for this indicator, the finding is that most projects achieved the goal of an increased number of schools, health centres and public institutions having a reliable source of electricity. In the case of Rwanda this was not achieved because the schools and clinics could not pay for the systems.</p> <p>More specifically:</p> <ul style="list-style-type: none"> <li>Two projects (out of the five EF projects) above have provided and increased number of schools and health centres with a reliable source of electricity.</li> <li>One project is by design targeted to health facilities, so the goal will likely be achieved.</li> <li>One project has signed agreements to electrify health centres and other institutions for the delivery of electricity.</li> <li>One project is by design targeted to provide schools with a reliable source of electricity, but is unlikely that project will deliver.</li> </ul>			
<b>I 4.2.5 - Number of projects that by design look at productive uses of energy</b>			

Summary response		Sources of information	Quality of evidence
Geographic support	<p>The Action Document for the Access to Sustainable Energy Programme – Philippines, states that:</p> <ul style="list-style-type: none"> <li>• Pro-poor and disaster resilient innovative energy solutions will be promoted for job creation and wider access such as solar or hydropower pumps, solar lanterns and solar dryers.</li> <li>• An analysis will be implemented of job creation potential for the poor through access to sustainable energy.</li> <li>• Information and promotional materials will be designed about innovative power solutions for job creation and the poor.</li> <li>• Grants will be provided for promotion of sustainable RE for productive use, such as biomass co-generation for power generation and agricultural crop dryers, solar-powered appliances and systems, etc.</li> <li>• Assistance will be provided to electric cooperatives and other service providers in developing alternative energy services to provide lighting, energy for productive uses, to the poorer and marginalised segment of their service areas.</li> </ul>	Action Document for the Access to Sustainable Energy Programme - Philippines CRIS number: 2014/35111 and 2014/ 37618	Indicative but not conclusive  By design
Energy Facility	<p>The “Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar” project evaluation states that: “A number of local entrepreneurs (SMEs) and Microfinance Institutes for the delivery of electricity to their rural branches have signed a contract with the Power Kiosk.”</p>	<p>POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar</p> <p>Interim Narrative Report September 1st 2016 – February 28th 2017</p> <p>April 2017</p>	<p>Strong</p> <p>This is factual project monitoring</p>
	<p>The database shows that the “TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” has reached in total 595 entrepreneurs through the project activities. The amount of sales to businesses is about 10% of the total sales. However important to note is the fact that a significant number of these households use the solar systems for both lighting their homes and for business activities, particularly those taking place in their homes, including sowing clothes, lighting their poultry ‘farm’, extending opening hours for their shop, for sorting agriculture produce. As a result it has deemed rather difficult to make a distinction between sales to households and sales to micro businesses. Thus the actual amount of micro-entrepreneurs that have benefitted from purchasing an RE product is larger. In addition if taking into account the cash sales that were a result of the Rural Micro-finance Institutions and Rural Energy Entrepreneurs partnerships about 1,714 micro-entrepreneurs will have benefitted from the project.</p>	<p>ACP EU Energy Facility Monitoring / Key Indicators</p> <p>November 2015 (spreadsheet)</p>	<p>Strong</p> <p>This is factual project monitoring</p>
	<p>The “Mwenga Hydro Rural Network Extension into the Kihansi Basin- Tanzania” intends to electrify 1,300 businesses (offices, shops, butcheries, maize and timber mills, pump stations, guest houses, hair saloons, workshops and other forms of SMEs) located within the project area.</p>	<p>Annex I - Description of the Action Mwenga Hydro Rural Network Extension into the</p>	<p>Indicative but not conclusive</p> <p>By design</p>

Summary response	Sources of information	Quality of evidence
	Kihansi Basin- Tanzania, June 2013	
<p>For the “Mwenga Hydro Rural Network Extension into the Kihansi Basin – Tanzania” it is reported that “The access to electricity already had an impact on the maize mill business, as electrical powered mills have resulted in cost reduction. Other SMEs such as repair shops for motorcycles, carpentry workshops, barber shops, stationary and printing outlets have increased in numbers and existing shops have also increased their income. The new connections have also resulted in increased sales and fridges which are being used by local shops and in restaurants. There are no reported objections to the connection fees or tariffs (based on monitoring site visit undertaken in 2016).”</p>	Mwenga Hydro Rural Network Extension into the Kihansi Basin - Tanzania 2016-04 Project Performance Sheet (spreadsheet)	<p>Strong</p> <p>This is factual project evaluation</p>
<p>The review of the “Rural Electrification Infrastructure and Small Projects – Zambia” project states that: “The Rural Electrification Authority’s rural electrification projects focus on connecting public institutions and existing businesses. The projects have to a lesser degree targeted the specific productive and social sectors and focused on strengthening these. Experiences from other countries’ rural electrification interventions suggest that rural electrification should be integrated with plans and strategies for local business development to maximise positive income generating effects.”</p>	Mid-term Review of the Rural Electrification Infrastructure and Small Projects - Zambia Final Report, July 2013	<p>Strong</p> <p>This is factual project evaluation</p>
<p>The “Rwanda Prepaid Energy” project design stated that: “Following the end-users interest to engage in economic activities, Mobisol developed the Business out of the Box program. Through this program end-users are provided with a complete business kit, which includes the necessary equipment and knowledge to use their solar systems productively and create additional income. Businesses out of the box are fully developed, ready-to-go business bundles, which include the hardware, know-how and promotional material to start a small business. The kits are micro-financed, which increases affordability.”</p>	Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877	<p>Indicative but not conclusive</p> <p>By design</p>
<p>The ROM report of the “Rwanda Prepaid Energy” states that: “No statistic was presented monitoring the delivery of productive-use kits that enable economic activity. Mobisol will be able to draw information about how many "10-outlet" phone chargers they have sold, but business end-use are opportunities used. During field visits it was observed that buyers of standard SHS had invested in adapters and could run electric hair-cutters from the SHS. Others used the SHS to run Stereo systems with loudspeakers for a bar. With detailed baselines it will be possible for the Project and especially the Energy Development Corporation Limited to monitor economic impact of SHS as described in the Project Application and the logical framework.”</p>	ROM report: Rwanda Prepaid Energy. Rent to own solar home systems (off-grid) C-341877 06/06/2016	<p>Strong</p> <p>This is factual project monitoring</p>
<ul style="list-style-type: none"> <li>(The Mwenga projects ...) There are around 300 businesses connected. There was a Productive Use of Electricity feasibility study, and the implementation of this initiative started, assessing in a test phase with 38 enterprises on their willingness and potential to invest in productive use appliances.</li> </ul>	Tanzania country interviews	Strong

Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>The JUMEME mini-grid project connected up to know 267 customers, out of which 41 were productive uses and commercial users.</li> </ul>		
	(The Prepaid project ...) Some commercial activities have spontaneously developed (bars, phone charging, hair salons, etc.) and the project is now offering kits for telephone charging and hair cutting devices.	Rwanda country interviews	Strong
	(Support to efficient utilisation of alternative energy sources to improve the livelihoods of pastorals and agro-pastoral communities in Southern Ethiopia) The results were reached in line with project targets with a short delay (no-cost extension), over 70,000 beneficiaries in some of the poorest and least secure areas were reached – the income generating projects e.g. productive use of solar pumping for women group irrigation schemes were successful	Ethiopia country interviews	Strong
	The 105 localities project addressed productive uses.	Benin country interviews	Strong
<b>Summary of findings:</b>			
In the limited sample with evidence and from four country visits one can conclude that projects targeted productive uses of energy.			
More specifically:			
<ul style="list-style-type: none"> <li>The Geographic Support project by design analysed productive uses of energy.</li> <li>Five (of the 6) EF projects looked by design and implementation at productive uses of energy.</li> <li>One EF project “TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” targets by design productive uses but at implementation this is limited to households increasing income (due to the nature of the technology – SHS).</li> </ul>			
<b>I 4.2.6 - Reduction of greenhouse gasses</b>			
Energy Facility	The review of the “Rural Electrification Infrastructure and Small Projects in Zambia” states that: “There are also questions surrounding the expected main environmental benefit, a reduction in deforestation arising from a reduction in charcoal use. However, if successful, any reduction will have a negative income effect on rural residents. Furthermore, there are questions whether the assumption is correct. As a result, the achievement of this benefit is questionable.”	Mid-term Review of the Rural Electrification Infrastructure and Small Projects - Zambia Final Report, July 2013	Strong This is factual project evaluation
	By design the “Rwanda Prepaid Energy” stated that: “SHS mainly substitute kerosene and diesel, thereby effectively reducing fossil fuel dependence and CO <sub>2</sub> emissions of a household. Mobisol is experienced in collecting and tracking performance metrics. Mobisol tracked the usage of kerosene before and after the installation of the systems using weekly surveys. Before they had a Mobisol SHS customers used 10 liters of kerosene for lighting per month, and none for lighting afterwards. The expected displacement per household is approximately 300 kg of CO <sub>2</sub> , which amounts to roughly 15,300 t per year, provided 49,000 households are electrified (additional systems will be installed in schools).”	Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877	Indicative but not conclusive By design
	(The Mwenga projects ...) The projects obtained greenhouse gas emissions reductions certificates.	Tanzania country interviews	Strong
	(The Prepaid project ...) Being a RE technology has both local and global environmental effects as it substitutes fossil fuels such as kerosene ...	Rwanda country interviews	Strong

Summary response	Sources of information	Quality of evidence
<p>EUEI PDF / RECP <sup>81</sup></p> <p>Since RECP has only become fully operational in 2016, only one of the project proposals supported to date has started implementation: The ground-breaking ceremony for a 7.5 MW solar photovoltaic plant in Burundi took place in January 2017. The plant will increase Burundi's installed electricity generation capacity by 14 %. There will be thus a clear and direct contribution of RECP intervention to RE development and improvement of electricity supply in Burundi. Starting operation in 2018, the plant is expected to generate 13 GWh and abate 6,000 tons of CO<sub>2</sub> per year. Without the RECP support this project would not have been implemented.</p> <p>The RECP approach allows for a certain projection of possible impacts on the long term. At present 25 renewable energy projects (a total of 26 with the Burundi project) receive support from RECP. If only half of the projects come to fruition, this would leverage a projected total investment of 466 Mio EUR that represent approximately 147 MW installed RE capacity, 2.4 million people with access to energy, 2,500 direct and 12,250 indirect jobs, as well as an estimated 617, 000 tons of CO<sub>2</sub> emissions avoided per year.</p>	<p>EUEI PDF Mid-term Review Report Mid-term Review Phase 3 (April 2015 – March 2017) June 2017</p>	<p>Strong This is factual project evaluation</p>
<p>Initially, the Results Report foresaw the calculation of reduced CO<sub>2</sub> emissions that can be attributed to EUEI PDF intervention. However, a method to accurately capture climate effects of policy advisory programmes could not be found and therefore no statements can be made on climate effects. However, the RECP Service Line estimates to avoid 616,817 tons of CO<sub>2</sub> per year due to its interventions.</p>	<p>EUEI PDF Results Report Energypedia consult GmbH 2004-2015</p>	<p>Strong This is factual project evaluation</p>
<p>17 projects that have benefitted from RECP support are currently in development (RECP target: 40). If only 50% of the projected impacts were to materialise, these projects would represent:</p> <ul style="list-style-type: none"> <li>• € 146 million projected investment volume (RECP target: 750).</li> <li>• 46 MW of projected installed capacity (RECP target: 300).</li> <li>• 184,000 MWh of projected electricity produced per year (RECP target: 1,000,000).</li> <li>• 1,100,000 projected additional end-users having access to sustainable, modern energy services (RECP target: 2,100,000).</li> <li>• 225,000 tCO<sub>2</sub>e of projected GHG emission reduction per year (RECP target: 500,000).</li> </ul>	<p>RECP Results sheet, February 2017</p> <p>The figures provided are estimates based on the data provided by recipients of RECP advisory support.</p>	<p>Strong This is factual own project evaluation</p>
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. From the few relevant sources of information obtained, reduction of greenhouse gasses is being achieved.</li> <li>2. Most technologies supported by the projects analysed during country visits entail the use of RE and therefore mostly substitute fossil fuels or the support of EE measures and technologies.</li> </ol> <p>More specifically:</p>		

<sup>81</sup> This is recorded here because in EQ 3 where the EUEI PDF / RECP projects are prominently analysed, these benefits from the activity are not analysed.



Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>• One EF project indicated by design the reduction of deforestation and therefore a possible reduction of emissions of greenhouse gasses. This expected result is based on the assumption that people will cook on electricity which is mostly not valid, in developing countries people cannot afford to cook on electricity, not to speak of the initial cost of the cookstoves.</li> <li>• The other EF project indicated by design the reduction of emissions of greenhouse gasses. The effective reduction is dependent on the number of SHS sold.</li> <li>• The RECP projects according to strong evidence from 3 different sources lead to substantial reduction of emissions of greenhouse gasses.</li> </ul>			
<b>I 4.2.7 - EIA or equivalent analysis conducted for EU supported projects where relevant and attention to impacts on environment</b>			
Geographic support	<p>The “Access to Sustainable Energy Programme – Philippines” project will by design: “The environmental impact of the programme will be positive as only renewable energy sources will be promoted thereby reducing the need for polluting power sources such as coal. The programme will not support large hydropower that could have a negative impact on indigenous populations or requiring resettlement. The energy efficiency measures will also have a positive impact on climate change mitigation and further ensure that this programme will be beneficial for the environment. The World Bank has carried out an environmental impact assessment (EIA) which is also relevant for the EU funds channelled through the World Bank.”</p>	Action Document for the Access to Sustainable Energy Programme - Philippines CRIS number: 2014/35111 and 2014/ 37618	Indicative but not conclusive By design
	<p>The “Kariba Dam Rehabilitation Project – Zambia” already at design stage states: “Further to this pre-assessment an "Initial Framework Environmental and Social Management Plan" was released by the ZRA and confirmed the limited environmental impact on aquatic and terrestrial ecology. These potential impacts are identified as follows: temporary increase in water turbidity, decrease in water quality, noise, vibrations and dust.</p> <p>A full Environmental Impact Assessment will be submitted to the World Bank and African Development Bank as part of their internal project approval procedures. The Technical Specifications of the Plunge Pool Works Contractor also require the contractor to submit an Environmental, Health and Safety Plan at the beginning of the activities.”</p>	Action document for the Kariba Dam Rehabilitation Project - Zambia CRIS number: FED/2014/031-570	Indicative but not conclusive By design
	<p>The “Up-Scaling Energising Development in Ethiopia” project by design: “The proposed action directly improves environmental sustainability through the use of sustainable RE technologies, thereby reducing the use of the already overexploited biomass stock and the pressure on such local biomass stocks as agricultural residues.</p> <p>One of Energising Development's global objectives consists in mitigating climate change through a lower consumption of fossil fuels. In addition, replacing kerosene and dry-cell batteries leads to a decrease in hazardous wastes. The disposal of PV system batteries as well as the recycling of such electrical devices as light bulbs makes for a special challenge. While there already exists a recycling system for the widely used lead-acid batteries, a recycling and disposal system for other types of batteries is still to be put in place assisted by Energising Development.”</p>	Action Document for Up-Scaling Energising Development Ethiopia - Access to Energy through off-grid Renewable Energy Solutions	Indicative but not conclusive By design

Summary response		Sources of information	Quality of evidence
Energy Facility	The “Mwenga Hydro Rural Network Extension into the Kihansi Basin- Tanzania” project has already an official "letter of no objection" from the National Environmental Management Council of the Southern Highland Zone, authorising the action to proceed. The positive feedback for the EIA of the previous project (Mwenga Hydro) gives the project sponsors a lot of confidence to continue with their proven approach.	Annex I - Description of the Action Mwenga Hydro Rural Network Extension into the Kihansi Basin- Tanzania, June 2013	Indicative but not conclusive By design
	By design the “Rwanda Prepaid Energy” states that: “SHSs substitute fuel-based lighting with electric light, usually in form of CFL bulbs. However, Mobisol is using LED lamps instead of CFL bulbs. LED lamps are more reliable, far superior in terms of lifetime and contain no mercury, which, if released, can pollute air and water.  There is a possibility that public health and environmental effects could occur with very high use of lead-acid batteries that have failed to be collected and recycled. However, as the majority of lead-acid batteries are recycled in sub-Saharan Africa, the risk of environmental contamination is localised. In order to reduce the effect of lead and acid on the environment and health of the community, Mobisol accepts and facilitates the return of used lead-acid batteries that are sold with the system. A cooperation with Chloride Exide will ensure the recycling or proper disposal of the batteries.”	Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877	Indicative but not conclusive By design
	<ul style="list-style-type: none"> <li>• (The Mwenga projects ...) Two full Environmental Impact Assessments (EIA, one for each phase of the project) were done and obtained the related government approvals.</li> <li>• (The JUMEME mini-grid project ...) For all sites a EIA been done.</li> </ul>	Tanzania country interviews	Strong
	(The Prepaid project ...) Small batteries were previously discarded in the local environment. The recycling of the system batteries at their end-of-life is being studied by the project	Rwanda country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>1. The projects take into account environmental impacts, and mitigation measures to deal with possible negative impacts. However, the sample with relevant information is very small.</li> <li>2. Because the projects promote renewable energy technologies many environmental benefits will be achieved.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• The Geographic Support project in the Philippines has done an EIA and addressed by design environmental issues, and by the nature of the project these issues will materialise during implementation.</li> <li>• The Geographic Support project in Zambia by law needs and EIA.</li> <li>• The Geographic Support project in Ethiopia addressed by design environmental issues, and by the nature of the project these issues will materialise during implementation.</li> <li>• One EF project is required by law to have an EIA.</li> <li>• The other EF project addressed by design environmental issues, and by the nature of the project these issues will materialise during implementation.</li> </ul>			
<p><b>JC 4.3 - Degree to which projects supported through conventional grant funding were sustainable</b></p>			
<p><b>I 4.3.1 - Evidence that the project design included sufficient attention to operation and maintenance and sustainability issues</b></p>			

Summary response		Sources of information	Quality of evidence
Energy Facility	The "Evaluation audit Energy Facility" claims that: "As regards the design of projects, appropriate evaluation criteria were used to assess sustainability (socio-economic, financial, technical and environmental)."	<ul style="list-style-type: none"> <li>• ACP-EU Energy Facility support for renewable energy in East Africa</li> <li>• Evaluation audit Energy Facility</li> <li>• European Court of Auditors, 2015</li> </ul>	Strong This is factual project evaluation
	The "Evaluation of the 5 cross-border rural electrification projects" concludes that: <ul style="list-style-type: none"> <li>• Ghana - South Togo: requires an effort to increase consumption, but sustainability in the long term is likely.</li> <li>• Ivory Coast - Liberia: not sustainable in the short/medium term.</li> <li>• Rest of the projects: are sustainable in the short/medium term.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP)</li> <li>• Contract N°2014/337964</li> <li>• Final report, May 2014</li> </ul>	Strong This is factual project evaluation
	For the "Support the Ministry of Health and Social Welfare of Liberia" project: "Sustainability has been built into design and the MOH&SW is expected to take over the operation at project completion by establishing a Solar Maintenance Unit in the Department of Infrastructure. However, an analysis of O&M costs was not included in project design and it is unclear where budgetary allocation will come from."	<ul style="list-style-type: none"> <li>• Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities</li> <li>• FED/2011/267-810</li> <li>• Info from EF database</li> </ul>	Indicative but not conclusive By design
	The evaluation of the "Support the Ministry of Health and Social Welfare of Liberia" states that: "In regard to the quality of the training at health facility and community level interviews to health facilities staff and focus group discussions during field visits show that the outcome is good, although only sufficient to carry out basic maintenance (cutting branches covering the panels, cleaning the panels, daily registration of performance, etc.). Nevertheless, the training carried out to date does not seem to be sufficient to guarantee a higher level of maintenance decentralised at county level. The facility personnel have been trained exclusively for very basic maintenance and no wider training has been performed to date at county level."	<ul style="list-style-type: none"> <li>• Mid-term evaluation of the EU Energy project, Merlin Liberia:</li> <li>• "Support the Ministry of Health and Social Welfare of Liberia in providing renewable energy sources to rural primary health care facilities"</li> <li>• May 2013</li> </ul>	Strong This is factual project evaluation
	The monitoring of the project "Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia" shows that "as a government agency the budgetary policy environment helps to enable a continuation of benefits as funds to cover administrative and operational costs are allocated with expected spending cuts, this however should be carefully monitored. Changes in policies and priorities would affect the sustainability of the benefits. Currently no indication that this will occur,	<ul style="list-style-type: none"> <li>• Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia</li> </ul>	Strong This is factual project monitoring

Summary response	Sources of information	Quality of evidence
however it is important for the Rural and Renewable Energy Agency legislation to be passed (drafted in 2011) and currently under review.”	<ul style="list-style-type: none"> <li>• Monitoring Report MR-146030.01</li> <li>• May 2013</li> </ul>	
<p>The final report of the project “Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia” states that:  “As part of the project activities, a total of 16,492 pieces of high quality solar lighting products imported under the project activity entitled Lighting Lives in Liberia were commercially distributed and marketed through a network of local retail partners recruited, trained and capacitated by the Rural and Renewable Energy Agency.”</p>	<ul style="list-style-type: none"> <li>• Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia</li> <li>• Final narrative report</li> <li>• July 2016</li> </ul>	<p>Strong  This is factual project evaluation</p>
<p>By design the “TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” project's market-oriented approach is expected to ensure the social, economic and financial sustainability of results. Indeed, if built partnerships improve RE business, it will be self-sustaining and spread.</p>	<ul style="list-style-type: none"> <li>• TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships</li> <li>• Monitoring report MR-144913.01</li> <li>• 30/07/2012</li> </ul>	<p>Indicative but not conclusive  By design</p>
<p>The “TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” project “was highly assessed for providing distinctive features in relation to other similar interventions on renewable energy: it brings micro-finance at the center and includes a capacity building component for both Rural Micro-finance Institutions and Savings and Credit Cooperative Societies (which many other projects lack) and Rural Energy Entrepreneurs.”</p> <p>“Effectiveness is good. 12 rural energy entrepreneurs (6 in Kenya and 6 in Uganda) have been supported to different degrees to professionalise and expand their business with already a clear overall increase in sales. However, there is still work to be done as capacity building activities will be crucial to confirm and consolidate the results.”</p>	<ul style="list-style-type: none"> <li>• TRIADOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships</li> <li>• Monitoring report MR-144913.02</li> <li>• 26/07/2013</li> </ul>	<p>Strong  This is factual project monitoring</p>
<p>The evaluation of the “Rural Electrification Infrastructure and Small Projects – Zambia” project states that:  <i>“Institutional Sustainability.</i> Rural electrification projects are institutionally viable when they have adequate organisation and funding for operation, maintenance and follow up. These projects will be owned and managed by the national utility, ZESCO, and the MTR team feels that ZESCO will have capabilities to manage the operation and maintenance of the project.  <i>Economics.</i> It is often a challenge for power utilities to balance financial sustainability with expanding grid coverage. Although ZESCO for a long time had tariff levels far below the cost of service levels, recent tariff adjustments have been relatively substantial.”</p>	<ul style="list-style-type: none"> <li>• Mid-term Review of the Rural Electrification Infrastructure and Small Projects - Zambia</li> <li>• Final Report, July 2013</li> </ul>	<p>Strong  This is factual project evaluation</p>

Summary response	Sources of information	Quality of evidence
<p>Concerning the project “Frameworks, Policies and Instruments for Mobilising Renewable Energy in the Caribbean” a database has been set up with valid and reliable information to increase private investment in renewable energy technologies. The feedback from the information is positive. The database is accessible on the internet. The plan is to market and monitor the use of the database.</p> <p>Sustainability is the weakest part of the project to date. There is no exit strategy as such. At the end of the project the databases will have to be hosted/maintained/updated and this will not be done by the present host.</p>	<ul style="list-style-type: none"> <li>• Frameworks, Policies and Instruments for Mobilising Renewable Energy in the Caribbean</li> <li>• Monitoring Report MR-145705.01</li> <li>• March 2013</li> </ul>	<ul style="list-style-type: none"> <li>• Strong</li> <li>• This is factual project monitoring</li> </ul>
<p>The project “Mwenga Hydro Rural Network Extension into the Kihansi Basin – Tanzania” has by design looked at the technical, financial, institutional, policy level and environmental sustainability.</p>	<ul style="list-style-type: none"> <li>• Annex I - Description of the Action Mwenga Hydro Rural Network Extension into the Kihansi Basin - Tanzania, June 2013</li> </ul>	<p>Indicative but not conclusive By design</p>
<p>Concerning the “Mwenga Hydro Rural Network Extension into the Kihansi Basin – Tanzania” project EWURA (the electricity regulator) should “Ensure tariff being charged is cost effective, as an unsustainable tariff is likely to affect the sustainability of the project.”</p>	<ul style="list-style-type: none"> <li>• Mwenga Hydro Rural Network Extension into the Kihansi Basin - ROM Report - Tanzania</li> <li>• 20/03/16</li> </ul>	<p>Strong This is factual project monitoring</p>
<p>By design for the “Rwanda Prepaid Energy” project was planned that: “Skilled solar technicians to install and maintain an off-grid solution using solar PV in rural areas of Rwanda are not available. Over the course of the project 20 technicians will be directly employed by the local service hubs of the project to maintain and repair the systems, and additionally another 200 external technicians will be trained and certified.”</p> <p>The utilisation of microfinance circumvents the obstacle of high initial cost of a solar home system (SHS), thus enables people to buy a system who could not afford it otherwise. Once the system is paid off the end-user owns the system and has no running cost except for occasional bulb and battery replacements. This leads to economic independency. Affordability is increased by offering three years of warranty on the battery and electronic parts as well as 25 years on the PV panel, which otherwise might be too costly for the end-user to replace. After three years the user can opt in into a service contract for a small fee if he or she likes to have continued warranty on system components.</p> <p>Financial sustainability A sustainable business model requires that we install the maximum number of systems with the funds because only a sufficient number of installed systems can ensure financial viability. To achieve this, Mobisol will use a revolving fund to reinvest a percentage of the revenue into</p>	<ul style="list-style-type: none"> <li>• Rwanda Prepaid Energy – Rent to own solar home systems (off-grid)</li> <li>• ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form</li> <li>• FED/2014/341-877</li> </ul>	<p>Indicative but not conclusive By design</p>

Summary response	Sources of information	Quality of evidence
<p>hardware, thereby creating a multiplier effect. The increased number of systems will increase the income stream to create financial sustainability in the long term, which allows the project to continue after completion.</p> <p><b>Institutional sustainability</b> The service on the ground is done by the local partner Mobisol Ltd. Rwanda, who will be trained by Mobisol staff and will carry out the necessary activities independently. There will be continuous communication and mutual updates between us and them. On the account of a comprehensive service infrastructure (service centres run by Mobisol Ltd. Rwanda, external technicians and marketing agents) long-term sustainability is ensured and operations are expected to continue after completion. The cooperation with EWSA enables access to their local technician network and facilitates strategic planning so the project and pending grid extensions do not compete. Furthermore, planned service centres can be set up in existing EWSA facilities.</p>		
<p>This project has a target of delivering solar electrification to 1,000 schools. As for the schools project it is unrealistic to expect schools to be able to sign up for the Rent-to-own financing schemes as they will never be able to save up for needed maintenance such as replacement of batteries. Instead it is more realistic that schools Rent SHS provided they can document that they can pay a monthly rent fee. This could imply that the EU contribution towards schools/clinics electrification should be converted to a grant instead of a revolving finance mechanism. The impact of a changed finance model has not been assessed and it is questionable if Mobisol is able to/interested in carrying the ownership and financial burden of large number of Schools/Clinics SHS systems unless there is some sort of guarantee for the monthly payments or a right to reposes is established. The clarification of the financial modalities and ownership structure of schools and clinic SHS needs to be addressed urgently. The Project is unable to proceed with schools/clinics electrification without full clarity on the financial and ownership matters.</p> <p>The EUD/HQ is fully respectful of the leading role of the partners. The issuing of the letter in June 2016 addressed to the Ministry of Finance suggesting closure of this project is viewed as an appropriate action given that the Project on a continuous basis failed to issue a progress report. The Project's weak link is the Energy Development Corporation Limited (EDCL). Assuming the EDCL will acknowledge the capacity shortage it is likely that capacity support can be provided. If external administrative and strategic input was provided to the EDCL it would be in a better position to drive the project forward in a sustainable manner.</p> <p>In conclusion, the sustainability of the household electrification part of the project is clear and convincing. With a technical and financial default rate around 5% there is no reason to doubt the</p>	<p>ROM report: Rwanda Prepaid Energy. Rent to own solar home systems (off-grid) C-341877 06/06/2016</p>	<p><b>Strong</b> This is factual project monitoring</p>

Summary response	Sources of information	Quality of evidence
<p>Project's ability to continue the household electrification based on the tested model, also after closure of the EU participation.</p> <p>The sustainability of the schools/clinics electrification is not clear and needs urgent attention.</p>		
<p>The monitoring of the "Rwanda Prepaid Energy" states that:  "The action is adopting a concept called Rent-to-Own which can be compared with a leasing model where customers are paying a monthly fee until the SHS is paid off, after which time they own it. According to Mobisol's homepage the starting price is equivalent to 15 USD/month, which compared with other projects of a similar nature may be considered high, but this also needs to be compared to the size of the systems that are offered. The very low sales that are seen may indicate that the systems are not affordable for many in the target group."</p>	<p>ACP EU Energy Facility Monitoring / Project Performance Sheet – Rwanda Prepaid Energy 13/02/17 (spreadsheet)</p>	<p>Strong  This is factual project monitoring</p>
<p>There is evidence that for the EF projects on access to electricity that more attention still needed to be given to operations and maintenance issue (e.g. bush clearing to avoid bush fires that destroy electricity poles).</p>	<p>Zambia country interviews</p>	<p>Strong</p>
<ul style="list-style-type: none"> <li>• The Rift Valley Energy Group (Mwenga projects) now employs 50 people, with about 80% of these being trained in energy technologies in one form or another.</li> <li>• The JUMEME mini-grid projects have 10 highly educated employees, all of them trained in energy technologies topics, from the basic technical side up to the financial and commercial implication related to the management and operation of mini-grids projects</li> </ul>	<p>Tanzania country interviews</p>	<p>Strong</p>
<p>The sustainability prospects of the Prepaid project looks good, as the monitoring of the performance of the systems is done remotely and immediate action is taken if failure occurs. The sustainability of the systems when the batteries will need to be replaced at the end of their lifetime (which is beyond the warranty period) is still to be seen.</p>	<p>Rwanda country interviews</p>	<p>Strong</p>
<p>The support under NESP provided a strong foundation for sustainability. Selected companies were trained in business development and project management, ensuring skill transfer. Operation and maintenance costs were planned.</p>	<p>Nigeria country interviews</p>	<p>Strong</p>
<p>Sustainability considered but projects were overly ambitious, and the business model approach was not tested under the EF projects (community organisation). Still, settings were adjusted after completion to ensure the continuity of services (MHSW handed over maintenance to GIZ).</p>	<p>Liberia country interviews</p>	<p>Strong</p>
<ul style="list-style-type: none"> <li>• The main sustainability question has been the management model which has switched from franchise to employment and to commission based selling. A pilot on 6 kiosks (only including kiosks provided under other projects) for commission based selling appears to be working better and might show that the concept is commercially viable in which case the project could ultimately be a success. The PowerKiosk model puts retailers locally and this gives confidence to buyers of their products; the retailer is there to replace non-functioning systems and make repairs where required. Consumer financing banks also like this model because they are assured of consumer repayment.</li> </ul>	<p>Ethiopia country interviews</p>	<p>Strong</p>

Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>(EnDev – upscaling access to energy through off grid renewable energy solutions) The project is by design being market based is geared towards sustainability.</li> <li>(Support to efficient utilisation of alternative energy sources to improve the livelihoods of pastorals and agro-pastoral communities in Southern Ethiopia) There are still doubts over the commercialisation and sustainability aspects – strategy for SME development was over-optimistic and naïve and did not take into account the market size</li> </ul>			
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>The EF projects seem for the most part by design to give attention to maintenance and operational issues and to sustainability.</li> <li>However, some projects also do not give sufficient attention to sustainability and/or sometimes sustainability is compromised by factors the project cannot directly influence, such as tariffs. In these cases one should consider whether these projects should have been financed by the EF.</li> <li>The country visits show that in most cases attention is given to operation and maintenance issues.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>The European Court of Auditors evaluation found that by design the EF projects used appropriate evaluation criteria to assess sustainability (socio-economic, financial, technical and environmental).</li> <li>The evaluation of the 5 cross-border rural electrification projects of the West African Power Pool (WAPP) found that all projects were sustainable, albeit one needed some extra attention.</li> <li>One project has given strong attention to capacity building in operation and maintenance although at basic level, and the sustainability may be compromised by the lack of funds for maintenance operations. The institutional sustainability is guaranteed and the economic sustainability will most likely be achieved (although this is not something the project can change, because it is dependent on the tariffs).</li> <li>Three projects have provided for sufficient skills for operation and maintenance.</li> <li>One project provided adequate training and capacitation of local partners. Sufficient attention was given capacity building and to sustainability issues, but needs monitoring.</li> <li>One project failed to deliver on the schools/clinics component, but seems sustainable on the households component, however the systems seem to be too expensive.</li> <li>One project did not give sufficient attention to sustainability issues.</li> </ul>			
<p><b>I 4.3.2 - Evidence that the project provided effective skills transfer and other support needed for continuous operation (e.g. to cost recovery systems)</b></p>			
Energy Facility	<p>Of the 16 projects examined by this evaluation audit, 12 were successful: five had exceeded or were likely to exceed their initial targets, two had met or were likely to meet their targets and five were not likely to reach their targets but results were still reasonable.</p> <p>For one of the 12 successful projects examined, sustainability was a matter for concern due to the technical complexity involved combined with a shortage of local capacity. There was a risk of technical failure in the short to medium term. The other 11 projects were likely to be sustainable if the necessary measures envisaged were implemented according to plan and the context did not deteriorate too much.</p>	ACP–EU Energy Facility support for renewable energy in East Africa Evaluation audit Energy Facility European Court of Auditors, 2015	Strong This is factual project evaluation



Summary response	Sources of information	Quality of evidence
<p>For the projects involving a decentralised electricity production unit and grid distribution, sustainability requires appropriate management of the operations (electricity production and sale) and regular technical maintenance. Training was provided in all the projects to improve the managerial and technical capacities of future operators. However, given the local capacities, there remains a need for periodic training after project completion to ensure optimum management of the production units.</p>		
<p>The information on the EF database about the “Support the Ministry of Health and Social Welfare – MoH&amp;SW- of Liberia” shows that: “Facilities are immediately expected to take over in regards to maintenance and operations after installations are complete with support of a Solar Hotline run by 3 trained technicians.</p> <p>Currently a minimum of 2 staff per facility have undergone training at every site where an installation has taken place. All staff members (including those who have previously received the training) demonstrated a very clear understanding of their responsibilities in maintaining the system. Maintenance logs were checked and all were kept as expected with the State of Charge indicating good maintenance of the battery.</p> <p>As at September 2014: 204 health facilities have received PV systems and 1,215 local people have been trained in the PV maintenance. The PV-electrification has improved the quality of the offered. Sustainability has been integral in the design by a central maintenance unit but as the Ministry of Health could not fund the unit GIZ committed to temporary run the unit.”</p>	<p>Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities FED/2011/267-810 Info from EF database</p>	<p>Strong This is factual project monitoring</p>
<p>The evaluation of the “Support the Ministry of Health and Social Welfare –MoH&amp;SW- of Liberia” shows that: “The establishment of a fully functioning and well-staffed solar maintenance unit within the Department of Infrastructure at the MoH&amp;SW currently represents the most evident risk in terms of sustainability of the project.</p> <p>Another concrete risk likely to affect negatively the financial viability of the project is related to the incomplete co-funding of the project from the MoH&amp;SW, which has so far paid an amount of US\$ 500,000 against the agreed amount of € 500,000. The most likely scenario in case of missing funding would be the reduction in number of targeted health facilities during phase II.”</p>	<p>Mid-term evaluation of the EU Energy project, Merlin Liberia: “Support the Ministry of Health and Social Welfare of Liberia in providing renewable energy sources to rural primary health care facilities” May 2013</p>	<p>Strong This is factual project evaluation</p>
<p>The final evaluation of the “Support the Ministry of Health and Social Welfare –MoH&amp;SW- of Liberia” shows that: “The project exceeded the targets (1 at each facility, and 5 at MoH&amp;SW central) for human resource capacity. More than 410 health facility staff ( at least 2 per facility) were trained; 20 technically inclined staff members trained from 10 of the 15 Country Health Teams; 4 technical</p>	<p>Final Evaluation of the European Union Energy Project “Support the Ministry of Health and Social Welfare of Liberia in Providing Renewable Energy</p>	<p>Strong This is factual project evaluation</p>

Summary response	Sources of information	Quality of evidence
<p>staff trained at the Infrastructure Unit of MoH&amp;SW; at least 805 community members trained (at least 4 per catchment community) on solar maintenance.</p> <p>The Solar Maintenance Unit was not established at the MoH&amp;SW.”</p>	<p>Sources to Rural Primary Health Care Facilities” July 2015</p>	
<p>The monitoring report of the “Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia” states that: “The project is deeply embedded in institutional structures (Rural and Renewable Energy Agency and ministries) further involvement at the local level is expected throughout implementation. It is expected that an adequate level of qualified human and institutional resources will be available - additional staff capacity in the Rural and Renewable Energy Agency is needed and focus should be on providing platforms to develop skills of RET technicians.”</p>	<p>Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia Monitoring Report MR-146030.01 May 2013</p>	<p>Strong This is factual project monitoring</p>
<p>This monitoring report of the “POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar” states that: “Support is provided continuously to analyse performance of Power Kiosks.”</p>	<p>POWER KIOSK: Scaling-Up Rural Electrification in Kenya, Ethiopia and Madagascar Interim Narrative Report September 1st 2016 – February 28th 2017 April 2017</p>	<p>Strong This is factual project monitoring</p>
<p>The monitoring report of the “TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” states that: “There is positive financial sustainability to ensure continuation of benefits after project end. The market-oriented approach aims at making partners self-sustained. The private sector should be able to invest income generated through increased sales to cover the costs of services provided by the project if necessary.</p> <p>Additionally, as part of the phase out strategy the 'improved access to capital to finance renewable energy systems' should contribute to provide financial sustainability for target groups. Overall, the financial dimension of the phasing out strategy was considered in the design and is being adequately implemented.”</p>	<p>TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships Monitoring report MR-144913.02 26/07/2013</p>	<p>Strong This is factual project monitoring</p>
<p>The monitoring report of the “TRIODOS - Expanding Sustainable Energy Markets through Microfinance -Energy Enterprise partnerships” states that the following outputs have been generated:</p> <ul style="list-style-type: none"> <li>• Over 50 Rural Micro-finance Institutions and Savings and Credit Cooperative Societies were trained on energy finance and marketing in Kenya, Uganda and Tanzania. Of these trained Rural Micro-finance Institutions and Savings and Credit Cooperative Societies 45 partnerships are still active and going strong.</li> <li>• 11 partnerships with Rural Energy Entrepreneurs established.</li> </ul>	<p>TRIODOS – Expanding Sustainable Energy Markets Seventh half year report (October 2014 – April 2015)</p>	<p>Strong This is factual project monitoring</p>

Summary response	Sources of information	Quality of evidence
<p>The monitoring report of the “Rural electricity infrastructures and small scale projects – Zambia” says: As it stands now, the project may lead to some capacity building within Rural Electrification Authority with regards to handling EC procedures and managing EC-funded projects. However, since these procedures are not in line with Rural Electrification Authority’s own operational manual, it is questionable if this kind of capacity building has any sustainable value.</p>	<p>Rural electricity infrastructures and small scale projects - Zambia Monitoring Report MR-130441.01 14/05/2010</p>	<p>Strong This is factual project monitoring</p>
<p>The database of the EF says over the “Mwenga Hydro Power Plant – Tanzania”: “Train over 250 persons in energy technologies, establish energy services in social public structures.”</p>	<p>Mwenga Hydro Power Plant - Tanzania Info from EF database</p>	<p>Indicative but not conclusive By design</p>
<p>By design the “Rwanda Prepaid Energy” intended to: “It is planned to directly employ 82 local people, who will run daily operations independently. Another 300 jobs will be created by engaging 200 external technicians and 100 marketing agents. In addition, there is the significant benefit of ownership.</p> <p>The dissemination of the systems is handled through ten service centres, which will be set up at strategic locations in the target areas. These service centres are run by trained local staff who are employed by Mobisol Ltd. Rwanda. The pick-up and transport of the systems are arranged by the end-users themselves because means of transportation vary greatly and local people are more familiar with the area and road conditions. End-users receive training among other on how to operate the system and pay off the instalments. The training as well as the signing of the purchase contract take place directly at the service centre. Furthermore, the end-users are provided with contact details of trained and certified technicians in their area who conduct the installations of the systems and are paid on commission. Experience from Tanzania has demonstrated the viability of this dissemination strategy.”</p>	<p>Rwanda Prepaid Energy – Rent to own solar home systems (off-grid) ACP-EU Energy Facility: 2nd Call for Proposals - Grant Application Form FED/2014/341-877</p>	<p>Indicative but not conclusive By design</p>
<p>It appears that the capacity of the Energy Development Corporation Limited (EDCL) is insufficient and it seems the EDCL has not yet fully defined its role as partner in an implementation action together with the private sector. Mobisol's role however is more clear and through capacity building done by Mobisol Germany, who has transferred systems and structures for marketing, client assessment, financial risk assessment, financial follow-up, installation of SHS and technical repairs, Mobisol Rwanda appears to be well established and in operation. However, it is struggling to identify its market.</p>	<p>ACP EU Energy Facility Monitoring / Project Performance Sheet - Rwanda Prepaid Energy 13/02/17 (spreadsheet)</p>	<p>Strong This is factual project monitoring</p>
<p>There is evidence that the EF projects on access to electricity supported through conventional grant funding were sustainable – the major public sector consumers and commercial agriculture and mining operations were connected - however, the very low tariff was a challenge for sustainability, but tariffs were gradually being increased to reflect costs and major tariff increases took place in 2017 as part of the process to reach cost reflective levels; moreover, major consumers were also paying for requisite transformer capacity.</p>	<p>Zambia country interviews</p>	<p>Strong</p>

Summary response		Sources of information	Quality of evidence
	The JUMEME mini-grid projects have 10 highly educated employees, all of them trained in energy technologies topics, from the basic technical side up to the financial and commercial implication related to the management and operation of mini-grids projects.	Tanzania country interviews	Strong
	The support under NESP provided a strong foundation for sustainability. Selected companies were trained in business development and project management, ensuring skill transfer. Operation and maintenance costs were planned.	Nigeria country interviews	Strong
<p><b>Summary of findings:</b></p> <ol style="list-style-type: none"> <li>The projects provided effective skills transfer and other types of support needed for continuous operation. This finding was confirmed during 3 country visits.</li> <li>For most projects it has been indicated that skills should be adapted regularly and go beyond the project lifetime.</li> </ol> <p>More specifically:</p> <ul style="list-style-type: none"> <li>The evaluation of the European Court of Auditors concluded that of the 16 examined projects 12 were successful and 11 provided effective skills transfer. In decentralised electricity generation project training was provided in all the projects to improve the managerial and technical capacities of future operators.</li> <li>Four projects provided without reasonable doubt effective skills transfer.</li> <li>One project provided effective skills transfer, even exceed the goals concerning capacity building, however, the fact that a centralised maintenance unit was not established at the Ministry of Health, may compromise future maintenance (one cannot however make the project responsible for this).</li> <li>The capacity provided by one project was limited and not adequate for the target institution.</li> <li>One project intended by design to provide skills transfer.</li> </ul>			
<b>I 4.3.3 – Evidence that the benefits of the project are still being delivered after completion</b>			
Energy Facility	The evaluation audit states that: “Most of the projects examined were successful and are likely to be sustainable if the necessary measures envisaged are implemented and the context does not deteriorate too much. One quarter of the projects examined failed to deliver the majority of their expected results, due mainly to both design weaknesses that were not addressed and inadequate monitoring by the Commission.”	ACP–EU Energy Facility support for renewable energy in East Africa Evaluation audit Energy Facility European Court of Auditors, 2015	Strong This is factual project evaluation
	The information of the EF database on the “Support the Ministry of Health and Social Welfare of Liberia” project shows that: “The Solar Maintenance Unit which is expected to be absorbed by the MOH&SW upon project completion relies on the availability and willingness of the skilled and trained technicians of this project. If the MOH&SW cannot provide competitive benefits they will not be inclined to remain (said directly from current technicians of Merlin) - this could definitely be an external factor in the longer term, which could jeopardize the operation's direct impact as the functionality of the solar units on the ground will depend heavily on the SMU over time.	Support the Ministry of Health and Social Welfare of Liberia in providing Renewable Energy Sources to Rural Primary Health Care Facilities FED/2011/267-810 Info from EF database	Strong This is factual project monitoring

Summary response	Sources of information	Quality of evidence
<p>Potential sustainability is in question as no current budget is available within the MOH&amp;SW to absorb the Solar Maintenance Unit (5 trained technicians) though through a Supply Contract MOH has agreed. MOH&amp;SW is already having difficulty securing the remainder of the co-financing agreement from the Ministry of Finance and therefore with less than a year and a half remaining this is worrisome.”</p>		
<p>The evaluation of the “Support the Ministry of Health and Social Welfare of Liberia” project shows that:          “All 10 visited health facilities are equipped with fully functioning PV systems and no major maintenance and/or repair problems have been experienced by any of these facilities since installation. The equipment of all 205 targeted health facilities is likely to be achieved within the timeline of the operation.</p> <p>The benefits of Merlin’s EU Energy project are likely to continue after funding is withdrawn. The PV system installed is user friendly, the batteries are zero-maintenance and the facility staff has been trained to perform basic monitoring of the system’s performance as well as basic maintenance and cleaning panels (ideally from a maximum of 2 times per month during the dry season to a minimum of once every two months during the rainy season, depending on the location).”</p>	<p>Mid-term evaluation of the EU Energy project, Merlin Liberia:          “Support the Ministry of Health and Social Welfare of Liberia in providing renewable energy sources to rural primary health care facilities”          May 2013</p>	<p>Strong          This is factual project evaluation</p>
<p>The final evaluation of the “Support the Ministry of Health and Social Welfare of Liberia” project shows that:          “Solar energy units have been installed at 204 (99.5 percent) of the 205 health facilities targeted under the project          This final evaluation is in agreement with the mid-term evaluation, that the project lacked the requisite M&amp;E system to adequately track progress towards the achievement of higher lever results.”</p>	<p>Final Evaluation of the European Union Energy Project          “Support the Ministry of Health and Social Welfare of Liberia in Providing Renewable Energy Sources to Rural Primary Health Care Facilities”          July 2015</p>	<p>Strong          This is factual project evaluation</p>
<p>This final report of the “Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia” states that:          “Though the governance structure is significantly developed and improved, the portfolio of the Rural and Renewable Energy Agency is rapidly increasing, thus requiring an increase in its human resource capacity, as well as the continuous capacity development of its human resources.</p> <p>The Rural and Renewable Energy Agency will continue its promotion of the REFUND, solicit financial assistance and manage the Fund toward the implementation of rural energy projects.</p> <p>Now that the Rural Energy Strategy and Master Plan for Liberia is developed, the next steps involve the planning and phased implementation of the strategic roadmap relative to meeting the energy needs of Liberia’s rural populations. The Rural and Renewable Energy Agency will encourage</p>	<p>Developing and Demonstrating a Rural Energy Strategy and Master Plan for Liberia          Final narrative report          July 2016</p>	<p>Strong          This is factual project evaluation</p>

Summary response	Sources of information	Quality of evidence
<p>private investment and public-private partnership into rural energy projects. The Rural and Renewable Energy Agency will also solicit donors' support for the development of rural energy projects.</p> <p>The parallel Sustainable Solar Market Packages pilot project alongside the World Bank Sustainable Solar Market Packages efforts is intended to establish a sufficient market size so as to attract private sector investment and achieve a sustainable development impact."</p>		
<p>This monitoring report of the "Rural electricity infrastructures and small scale projects – Zambia" states that:          "The EF is a standalone initiative and is not coherent with other donor strategies in the country. High expectations have been raised within the targeted rural communities as it was promised from various sides that electricity "will be brought to them, soon". Unfortunately, still nothing has happened several years down the line, which is causing frustration and disappointment among potential beneficiaries."</p>	<p>Rural electricity infrastructures and small scale projects - Zambia          Monitoring Report MR-130441.01          14/05/2010</p>	<p>Strong          This is factual project monitoring</p>
<p>This review of the "Rural electricity infrastructures and small scale projects – Zambia" states that it is expected that the projects will provide:</p> <ul style="list-style-type: none"> <li>• High quality electricity supply, and thus potential for economic development &amp; the advantages of a diversified production system.</li> <li>• Contributions to a more efficient use of resources by improving the efficiency of energy usage by farms and rural households and reducing the consumption of fuel wood, charcoal and other air polluting sources</li> <li>• Improved service delivery – education and health</li> <li>• Improved educational performance – access to longer study periods</li> <li>• Increased income stream for schools – adult literacy</li> <li>• Improvements in maternal and infant mortality – night time deliveries.</li> </ul> <p>Assessing impact at this point in time is difficult as clear evidence is not evident prior to the programme's completion. There is still no evidence that benefits of the project are being delivered.</p>	<p>Mid-term Review of the Rural Electrification Infrastructure and Small Projects - Zambia Final Report, July 2013</p>	<p>Strong          This is factual project evaluation</p>
<p>The "External assistance management report" states that:          "Additionally the implementation of the Energy Facility Ivory Coast-Liberia cross border electrification project continued; it is now considered a political success and a profit centre for LEC. Ganta now has electricity 24/7 and at half the price of Monrovia."</p>	<p>External assistance management report (EAMR) - Period: 01/01/2014 – 31/12/2014 – Liberia  <b>Relates to:</b> "5 cross-border rural electrification projects of the West African Power Pool"</p>	<p>Strong          This is factual project evaluation</p>
<p>The sustainability prospects of the Prepaid project looks good, as the monitoring of the performance of the systems is done remotely and immediate action is taken if failure occurs.</p>	<p>Rwanda country interviews</p>	<p>Strong</p>

Summary response		Sources of information	Quality of evidence
	The Mid-term Review (July 2013) for the “Rural Electrification Infrastructure and Small Projects” had several critical findings concerning the design and implementation of this project supported by EU under EF funding. These lessons informed more recent interventions supported by the EU though the challenge noted above of finding a sustainable model for financing grid connection of poor households at scale still remained.	Zambia country interviews	Strong
	The support under NESP provided a strong foundation for sustainability. Selected companies were trained in business development and project management, ensuring skill transfer. Operation and maintenance costs were planned.	Nigeria country interviews	Strong
	Mixed results of the EF projects. The earlier EF projects have been designed to support government initiatives. The results of these projects in terms of grid connection have been limited. There was no consideration on the ability to pay, and the projects were too much driven by CIE distribution network extension (electrification), instead of targeting access. Furthermore, the Government contribution was not made, limiting further connection.	Ivory Coast country interviews	Strong
<p><b>Summary of findings:</b> For the small number of projects for which evidence (including during the country visits) was found a mixed picture is given about the benefits of the project being delivered after completion. This is partly because most projects are still not completed.</p> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• Of the 16 projects evaluated by the European Court of Auditors 4 failed to deliver the majority of their expected results. The other twelve can be expected to continue delivering benefits after completion.</li> <li>• Two projects appear to be delivering the benefits for which they were intended.</li> <li>• One project shows that the installations are properly functioning, but however the potential sustainability and the delivery of the benefits might be compromised by the lack of a maintenance unit at the Ministry of Health. However, the systems need in principle very little maintenance and local staff has been trained.</li> <li>• One project was apparently failing to deliver and five years later it was still not clear what had been achieved.</li> </ul>			

## EQ5 Innovative financial instruments

<b>EQ 5</b>	To what extent EU support using innovative financial instruments contributed to sustainable energy goals
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**Rationale:** The scale of investments needed to reach the energy SDG and SE4ALL goals is huge (estimated at USD 1 trillion per year until 2030<sup>82</sup>) and cannot be met through public sector grant based investment alone. There will be a need for the public sector to take out loans against future tariff and other revenue streams and also to engage market-based mechanisms that mobilise private sector investment. In many cases the private sector is already responding despite many obstacles related to low tariffs, a poor policy and institutional environment and a lack of skills. Many partner countries cannot access such funding through financial markets at the needed scale and cost, partly due to market failures such as asymmetric information or unpriced externalities which are at the origin of a gap between private and social returns. Public support can bridge this gap and make projects happen. There are specific gaps where external support can play a constructive role including: bridging the absence of viable projects through making available early stage development risk capital that can be converted into subordinated debt; providing loan guarantees to counter the perception of high risk and, providing equity within structures that allow a preferential return to private investors. In recognition of these factors, the EU, national actors and others donors have for a number of years worked on developing innovative financial instruments that can address some of the obstacles. More specifically:

- GEEREF's main innovation is that provides some TA, preferential rates of return and a first loss provision to encourage regional funds to bring in development finance and private investment. Ultimately it is envisaged to create an asset investment class that could crowd in significant investor finance
- ElectriFI's main innovation is that provides a convertible grant to encourage early stage development and lead it to a stage where more conventional financing could taken over
- Blending's main innovation is that by providing a limited grant it mobilises significant loan finance for major infrastructure and for increasing access to finance by SMEs in situations where there are special challenges that would otherwise mean that the investments did not go ahead.

At the same time there are also dangers that misplaced subsidies can crowd out rather than crowd in private finance. It is also possible that innovative financing instruments by emphasising highly profitable opportunities can draw scarce grants funds away from projects that serve the most needy. Finally, there is often a tendency for the financial instruments to attract development finance rather than pure private sector finance.

<sup>82</sup> SE4ALL, Strategic framework for results 2016-21, June 2016



The judgement criteria examine the degree to which the innovative financial instruments have contributed to sustainable energy goals and achieved what they set out to do in the context of EU development policy objectives. This has led to the following areas for judgement criteria

- Social development; examining whether the innovative instruments have led to people, including marginalised groups and women, benefitting from access to modern energy and jobs
- Environmental and climate change; examining whether the innovative instruments have ensured a high environmental and climate change performance
- Market weaknesses; examining whether the innovative instruments have led to greater private sector involvement and have addressed market weaknesses
- Transaction costs: examining whether the innovative instruments have been effective in raising awareness and well informed demand and avoided imposing unnecessary costs on partners, project implementers and beneficiaries.

#### Coverage

The coverage will be on the 3 major initiatives launched by the EU: GEEREF; ElectriFI and blending. In the case of blending, the results of the recent evaluation will be drawn on and built upon. It is only GEEREF that has built up a substantial body of projects that are in operation. ElectriFI has only approved projects in 2017 and EU-EDFI-PSD has so far only approved 2 projects. The focus will thus be on the design of these instruments rather than on the results.

Link with OECD/DAC evaluation criteria: The EQ addresses aspects of relevance (are the right problems being addressed); effectiveness (what is the evidence that results are being achieved); efficiency (the leverage of the instruments); impact (the degree to which the programmes are enabling market based instruments that can be replicated without grant funding)

Link with 3Cs: The EQ is closely linked to coherence among the EU interventions and also with coordination and complementarity as there are many funds and similar instruments being supported by other donors and perhaps an issue of competition over level of subsidy.

Link with IL: The EQ focuses on the logical links related to how grants provided to support innovative financing instruments lead to physical investments (outputs) and to establishing self-replicating market based mechanisms (outcomes).

#### **JC 5.1 Degree to which the innovative financial instruments contributed to social development goals shared by EU and its partner countries**

**The innovative financing initiatives contribute to social development by targeting access to modern energy.** The objectives, strategy statements and investment/ selection criteria of the three innovative financial initiatives examined (GEEREF, ElectriFI, blending) aim at social development goals and improved access with a focus on the unserved. The targeting is less specific on the creation of jobs and on gender than it is on

access to modern energy. Although access to modern energy is targeted, targets are generally not set for how many people will benefit from a given grant contribution. (I 5.1.1/2)

**Considerable access has been achieved or likely to be achieved across the EU's innovative financing initiatives** - According to reports from GEEREF, ElectriFI and blending through the EU-AITF, significant increases in access (or access likely to arise when planned projects are completed) have been and are being achieved (see table EQ5.1). ElectriFI selection criteria focus on decentralised generation through mini grids and standalone systems where there is greater focus on direct access to new connections rather than just an increase in generation. Of the 19 projects initially selected 9 are mini-grid or solar home systems. (I 5.1.1/2)

**Table EQ5.1 Reported increases in access and planned increase in access across the EU's innovative finance initiatives**

Instrument	Access (million people)	Estimated proportion in Low Income countries	Proportion of funding on generation	Renewable energy generation (MW)	EU grant contribution (Euro million)	Period	Geographic coverage considered
Blending	10.1	64%	50%	7100	440	2007/16	sub saharan Africa
ElectriFI	1.3	50%	50%	50	50	first call	Global
GEEREF	4.5	25%	100%	1900	100	2012/15	Global

Note: based on documents provided by the instruments and on assumptions set out in volume 2. It is not possible to directly compare the instruments as the means of measurement is different e.g. for GEEREF the access is not counted as arising from new connections but as the number of people served at country average consumption rates by increased generation.

**GEEREF and ElectriFI tended to focus on generation whereas blending also had a strong component of, transmission and connection – in part because of the scale of finance available through blending.** The blending projects that aimed at extending transmission and connection were often very large and better suited for public sector investment. The scale of the energy sector investments meant that a blending of loans and grants was the only way of ensuring sufficiently large projects to make an impact on access and ensuring that the backbone infrastructure was in place. In the case of Rwanda the focus on additional generation, often through take and pay contracts with private sector developers, has resulted in an over capacity in generation and an inadequate distribution with many areas having no or very poor service. GEEREF was mainly geared to generation whereas ElectriFI also had a strong element of mini-grid distribution (based on the applications under processing).

**In specific cases, the innovative financing initiatives have reached poor people.** Evolution one and DI Frontier are two funds supported by GEEREF with a longer track record of operating mainly in Africa. In both cases the majority of their projects had a strong targeting of marginalised populations. In the case of Evolution the focus was on ensuring services and ownership of the previously disadvantaged majority in South Africa through solar (Rustmo 1.7 MW) and the Red Cap wind farms in Eastern Cape where the community own 40% of the wind farm trust (80MW). In the case of DI Frontier, the projects developed in Uganda and Kenya, which are mostly connected to the national grid, ensured that local population benefitted (or will benefit) from access and also from

employment during the construction and later operation phases e.g. the two hydropower projects funded in Tanzania (Mombo and Kwira). GEEREF have also used the Regional Fund Support Facility (RFSF) provided by the EU to explore opportunities to reach out to the poorest areas with household and micro-scale solutions. Earlier evaluation noted that although such micro solutions were not suitable for the GEEREF set up, the support has led to significant benefits such as the *“Barefoot fund that has distributed solar lamps to 300,000 households and trained nearly 2000 micro-entrepreneurs.”*

An earlier evaluation found that although it was not systematic, blending projects were able to reach out to poor populations with the Benin/Blending/Atlantique project being cited as particularly illustrative in that it enabled over 80 poor communities to obtain connection to the national grid. The 105 localities project (SBEE rural électrification extension – 105 localités) demonstrated the national utility, through use of pre-paid meters, the possibilities and potential to extend the grid in unserved areas where the ability to pay was considered too low to be commercially viable. The Uganda/Blending/GetFit project is another example where the project aimed at facilitating and improving access by strengthening regional Grids. However, out of 43 energy projects in the EU-AITF portfolio only 2 were fully dedicated to developing connections for new users, the so-called last mile projects, (Uganda/Blending/rural electrification and the Kenya/Blending/last mile).

It is likely that ElectriFI projects will, because of their focus on decentralised and stand-alone systems, lead to improved access by those that at present have poor or no access. An example is the Solawazi project in Tanzania (TA-Elec-Solawazi) which financed solar power in one of the most remote areas of Tanzania. There are, however, relatively few projects that look at non-electric energy use for cooking – GEEREF and ElectriFI do not address this type of energy use although it is quite common for the Energy Facility projects and for some of the grant financing provided through country programmes e.g. the support to the national biogas programme and the multi-country energising development programme (ET-38370-EnDEV). Furthermore, out of the 43 energy projects within EU-AITF, only 1 is dedicated to non-electric use (Multi/Blending/GLPGP). (I 5.1.1/2)

**The potential poverty reducing effect of major energy infrastructure projects is not documented or referred to** either in specific projects or in general terms as part of a theory of change for the projects. This effect is clearly part of the overall thinking behind the projects which at least for the major infrastructure projects under blending are also prioritised in national and regional infrastructure planning frameworks. The possibilities to overcome barriers in reaching both improved market conditions and better access for the poor and marginalised seem not to be explored fully. The grant subsidies provided were not solely focused on poverty but also on developing market based solutions. (I 5.1.2)

**Measurement of access and in particular access by poor/marginalised population groups is inconsistent and weak across all the three innovative financing initiatives.** A systematic means of measuring how many people from poor or marginalised groups

benefitted from the innovative finance projects was not in place. It is also admittedly difficult to measure this and conventional funded projects are also usually lacking a convincing monitoring of this aspect. The measurement of access is difficult, as in most cases, especially with electricity generation projects, the access will be lifting people from one tier to a higher one rather than necessarily contributing to new access from no access (tier 0) to low level of access (tier 1). A formal and consistent system of measurement such as that proposed by the UN led SE4ALL has not been implemented – but this is a common problem and the EU financed projects are not particularly behind other development projects in this regard. Although there is consistent measurement within the GEEREF projects (use of WB average consumption rates per country) this is less the case in the blending projects where the method of estimating access varies from project to project. In most cases only a conservative measure of the number of additional connections directly made are counted. ElectrIFI at least at this early stage is using the figures provided by the applicants, which appear to be much higher than is believable. (I 5.1.2)

**Targeting and reporting on job creation is not systematic.** Job creation was more strongly featured in the monitoring of the most recent projects than in the earlier projects. In general a conservative view was taken and only direct construction and operation and maintenance related jobs were counted for GEEREF and blending. The reporting on jobs in blending projects was variable, reflecting that the blending guidelines have only applied to projects since 2015. A systematic way for estimating the indirect or leverage effect on jobs through energy interventions was not used by the projects. (I 5.1.3)

**Gender is targeted by the initiatives and systematically reported on in GEEREF but not as clearly reported on by Blending or ElectrIFI.** The overall policy framework of the innovative financing initiatives was strong in terms of promoting the mainstreaming of gender. GEEREF reported on gender and gender disaggregated data is collected – but this was not systematic in the blending projects. The main concern in project monitoring was understandably the physical progress monitoring and not social indicators such as gender. As noted earlier, the few projects on energy for cooking mean that a key opportunity for targeting women did not take place. It could be argued that this type of project is not as suited for the more complex financial instruments where a clear revenue stream and investment opportunity is critical. Energy for cooking is also the target of mainly conventional grant funded projects which could make it difficult to compete with using loan or risk based capital. (I 5.1.4)

**Conclusion:** the JC is partly validated. The innovative financial initiatives have contributed to social development goals but not to the extent of their potential. Overall there appears to be a tension between ensuring profitability and leveraging commercial finance on the one hand and targeting the poor on the other hand. The grant elements have not solely focused on poverty but also on developing a market based solutions. The poverty alleviating effect of increasing energy generation and undertaking major transmission and distribution is not documented or referred to in general terms as part of the justification of the projects. Job creation and gender benefits are present but not

systematically reported on (except for GEEREF). Quality of evidence: more than satisfactory.

#### JC 5.2 Degree to which the innovative financial instruments contributed to environmental and climate goals shared by EU and its partner countries

**Across all the 3 initiatives there were systems in place for ensuring that environment and climate change assessment and reporting were undertaken.** GEEREF and the regional funds that it supported were guided by EIB and in the case of funds their own environmental and climate guidelines. These guidelines reflected state of the art. ElectriFI and the IFIs involved in blending also adopted and used similar state of the art guidelines. Reporting on environment and climate change was systematic at the global facility level but also at the individual project level. GEEREF in particular provided clear reporting on the aggregated greenhouse gas emission savings across all the projects under its portfolio. This was not done to the same extent by the blending facilities or ElectriFI. The managing entities i.e. the IFIs and DFIs had dedicated environment and climate change professionals in place, which ensured high technical standards in adhering to guidelines. (I 5.2.1/2)

**All the projects supported by the innovative financial initiatives have or are likely to lead to environmental and climate change improvements.** The focus of the EU support to energy was on increasing access through additional connections and by additional generation of renewable energy and through implementing energy efficiency improvements. These targeted areas are inherently supportive of improving the environment and combating climate change. Blending accommodated and encouraged the setting up of green funds and the explicit targeting of environment and climate change benefits. For example, supported by blending, the AFD have developed a special “green credit line” also known as SUNREF (one of the initiatives of which is in the sample Multi/Blending/SUNREF) - This is an example of a clear and explicit targeting of the environmental and climate benefits of modern energy. (I 5.2.3/4)

**There are only a few projects within energy efficiency.** Energy efficiency was not as easy to support as renewable energy generation for GEEREF because as reported by earlier evaluations energy efficiency does not provide a clear stream of future revenues that can be monetized and divested. ElectriFI targeted energy access and generation through renewable energy. Although blending extensively supported energy efficiency measures in the Neighbourhood region (EU, Evaluation of Blending, 2017) there were very few dedicated energy efficiency projects in sub-Saharan Africa. In part this could be explained by low levels of access and tariffs that were not high enough to justify energy efficiency on financial grounds. However this does not entirely explain the low focus on energy efficiency, at least in the public sector, because in Cote D'Ivoire the EIB with EU grant is supporting the drafting of Building Code and energy efficient bulb replacements in public buildings and EU is also supporting the energy efficiency strategy through provision of technical assistance. According to the energy authorities in Cote D'Ivoire “*if EU was not supporting EE there wouldn't be any other DP involved*” (I 5.2.3/4)

**Conclusion:** the JC is validated, the innovative financial initiatives contributed strongly to environmental and climate change guided by well-developed guidelines. Quality of evidence: Strong

### **JC 5.3 Degree to which the innovative financial instruments contributed to addressing market weaknesses and stimulating private sector involvement**

**In many countries, the rapid mobilisation and benefits from the use of innovative financial instruments was hampered by a weak enabling environment.** In Ethiopia and Tanzania there was suspicion of the private sector that acted to suppress involvement of the private sector and optimal use of innovative financial instruments. Even in Rwanda where the environment for private sector participation was encouraging a weak overall sector oversight led to a situation where too much private sector engagement occurred leading to an over capacity in generation and a short to medium term threat to those companies that had invested heavily in a future market. For all countries visited it was clear that one of the reasons for the low success rate of ElectriFI applications was that the entrepreneurs were not strong enough to prepared solid bankable proposals. (I5.3.1)

**The projects have contributed more to implementation of policy reforms than to policy itself.** The main contribution of the innovative finance initiatives was on policy implementation through capacity and institutional development rather than direct policy development. GEEREF has shown that there are opportunities where the innovative investment approach can have a special effect by working through other funds that in turn have a wider circle of influence. Particularly impressive was the enhancement of the voice of the private sector in the policy and reform debate and in the development of practical policies and procedures e.g. the development of bankable Power Purchase Agreements (PPAs) in East Africa that emerged from projects such as Uganda/GEEREF/Siti and Uganda/Blending/GetFit. Nevertheless, although the investment related initiatives can potentially support policy reforms they are first and foremost dependent on a good enabling environment, in some cases even to get started. EU support to energy recognises that “Mobilising additional private investment requires first and foremost a policy and regulatory framework reflecting the countries’ needs and rendering investment sufficiently attractive.” (EU, Enabling policies for addressing climate change and energy poverty, 2016) (I 5.3.1)

**GEEREF, Blending, ElectriFI and RECP combined resources to have a greater policy and reform impact.** ElectriFI, TAF, RECP combine to provide support to the enabling environment at the policy level and particularly in development of capacity and they produced a common approach on supporting enabling policies. RECP worked closely with the Rwanda Development Board to identify energy opportunities for the private sector and promote ElectriFI and it was this cooperation that led to the application to ElectriFI that is now proceeding to detailed proposal stage in Rwanda. The GEEREF projects under DI frontier in Uganda worked closely with the blending projects (Uganda/Blending/GetFit) to develop the bankable PPAs. (I 5.3.1)

**SMEs and SME associations are involved but there was potential for greater participation.** The DI Frontier projects under GEEREF have engaged pro-actively with the SME associations in Kenya and Uganda and strengthened their voice and influence. SMEs were involved in 5 out of the 6 GEEREF projects under development in Uganda. Evolution one in South Africa worked with small community enterprises to run solar and wind farm projects. Most of ElectriFI's proposed projects were with SMEs and the selection criteria were designed to reach out to medium and small enterprises. However, there were still opportunities to involve SMEs by tailoring procurement and other procedures to be SME friendly that were not fully taken advantage of. Blending projects especially where they aimed at improving access to finance through the local banking network have reached out to SMEs as in the MC/Blending/SUNREF project where a number of SMEs have been involved. There is evidence, more importantly, that the local financial market has been opened up for SMEs. (I 5.3.2)

**There is insufficient oversight given the numerous facilities providing finance for energy in Africa – especially problematic when the initiative does not have a country base.** There are numerous facilities aiming at providing finance for energy in Africa. Although attempts have been made at an overview there is also indication that the efforts are fragmented and not necessarily pulling together in the same direction. As many of the facilities are regional or even global and cover many countries, the country situation and needs are not easy to take into account. PowerAfrica have developed an overview of finance instruments and initiatives for energy in Africa and have identified 91 different instruments that provide debt finance/ equity/risk capital/loan guarantees/grant funding/mezzanine funding/ insurance and others. ElectriFI and EAU-AITF are noted but GEEREF is not. It was noted in several countries that ElectriFI as it was run from Brussels suffered from not being country-based which meant that it was difficult to develop a pipeline and tailor the instrument to the country needs. In the case of Liberia the EU delegation found it more appropriate to support a similar private sector financing option that was being developed with Swedish support, mainly because it could be adjusted to fit the country circumstances. GEEREF and blending benefit from the fact that the development finance institutions that lead these projects more often have country offices. (I5.3.2)

**The support was not found to be distortive although a more detailed analysis case by case was missing.** Overall, the evidence from the field work and from independent sources was that the 3 initiatives examined (GEEREF/ElectriFI / Blending- EU-AITF) fulfilled a needed niche and no cases were found that were distortive. A key argument advanced here in a number of countries including Tanzania and Zambia was that the local financial market was not sufficiently developed to meet the needs as noted by one observer: *“it will take at least a decade before concessional loans will distort the local banking market –and not only in Tanzania, but in all East Africa- because the local banks have either not the financial capacity for the larger projects or are not interested in the small projects. What one certainly distorts is the policy perception”*. Nevertheless, there are concerns raised by some developers that in areas of high competition such as for developing limited hydropower sites, the presence of subsidies have had a distorting effect on the market by favouring those with access to the subsidies rather than those that

were best at developing the project. There was very limited documentation or analysis at a project by project level that the intervention was not distortive. (I 5.3.3)

**The main additional benefit of the initiatives appeared to be in the quality of project preparation and development rather than access to finance or subsidy.** Earlier evaluations of GEEREF and blending both concluded that much of the benefit of these initiatives arose from complex energy projects being professionally developed and managed. The failures and non-performance of renewable energy projects in the past often arose from poor site selection and a combination of inadequate demand projection, economic and financial analysis and project management. All of the projects examined were prepared to a high standard and the quality of the due diligence, technical and other project development support provided through blending, GEEREF and ElectriFI were noted by project developers as being highly valuable. (I 5.3.3)

**Although the EU's initiatives addressed special challenges they did not introduce significant technical or financial innovations.** The projects financed through blending, GEEREF and ElectriFI responded, at a general level, to addressing market weaknesses and special challenges<sup>83</sup>. The increasing focus during the evaluation period on de-risking (e.g. ElectriFI and the returnable grant provided under the blending project for the Tendaho geothermal plant in Ethiopia) rather than providing a straightforward subsidy were found to be especially valuable. However, the GEEREF and ElectriFI projects sampled in Tanzania and Rwanda did not introduce special technical or financial innovations. Instead, they involved a scaling up of technology and approaches already in place in the country.

**Conclusion:** the JC is validated, there is evidence that the innovative financial initiatives contributed by addressing weaknesses in project preparation and management, in responding to a specific challenge and in some cases de-risking the project development. It appears that the initiatives are fulfilling a niche and are not distorting the market although this needs to be more rigorously tested in the field. Quality of evidence: More than satisfactory.

#### JC 5.4 Degree to which the management of the innovative financial instruments was streamlined and supported achievement of the goals

**Pipeline development, demand and awareness raising benefitted from long-term engagement and in-country presence for blending and GEEREF.** Demand raising is the responsibility of International Finance Institutions (IFIs) and the fund managers for Blending/GEEREF and for these initiatives the pipeline development is largely decentralised to country or regional offices. In the case of lean and centralised initiatives such as ElectriFI it is more challenging to raise demand and there is a dependency on a "call for proposals" procedure. The long-term presence of the EU-AITF has been

<sup>83</sup> As noted by the Blending Evaluation (2016, p5) the special challenges "encompass different areas that are suitable for the use of a grant: for example technology innovation, millennium development goals, public goods and private sector finance in risky environments...for instance ensure economically feasible projects with high environmental and social benefits go ahead even if financially not feasible, or make the market reach marginalised population groups, or cover part of the political cost of difficult reforms, etc."

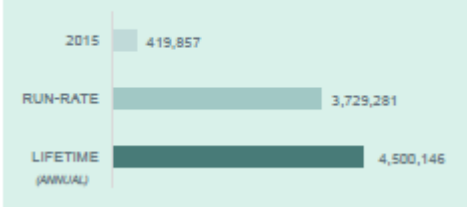


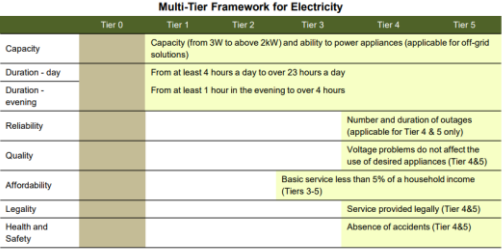
beneficial as it has become well known and respected as indicated by the recent granting of an award for best African project preparation facility. (I 5.4.1)

**The initiatives of GEEREF/ ElectriFI and the blending facilities are characterised by high quality project management which although costly, saved money and was efficient in the long run.** An IMF study in 2015 noted that “*about 40 percent of the potential value of public investment in low-income countries is lost to inefficiencies in the investment process due to time delays, cost overruns, and inadequate maintenance. Those inefficiencies are often the result of undertrained officials, inadequate processes for assessing needs, and preparing for and evaluating bids and corruption.*” Other studies have also noted that while many countries have managed to sustain infrastructure investment levels, financed by a mix of domestic resources and external financing, outcomes have not always improved accordingly, suggesting limited investment efficiency. Regulatory and capacity constraints in project development and implementation are also important obstacles to boosting the quality of infrastructure investment and outcomes. The high quality observed in project preparation of the EU projects ensured that the projects developed were well conceived and did not suffer from the gross inefficiencies experienced by much of the investment in low-income countries. In view of the companies engaged with ElectriFI and GEEREF, both initiatives are considered highly efficient compared to similar ones (in Rwanda, REPRO a company involved in the development of hydropower found that the support and interaction with ElectriFI was timely and useful; DRC hydropower another company in Rwanda found that GEEREF was the best informed and most professionally run investment fund they had been involved with). (I 5.4.2)

**It is not easy to obtain an overview of the transaction and fund manager fee levels.** An easily comparable Ongoing Charges Figure was not available to compare the full internal administrative costs of different initiatives or funds. The IFIs and Development Finance Institutions (DFIs) managing the funds have a number of sources of subsidy which are not easily traceable. Their cost of capital and borrowing is also commercially sensitive information which further hinders transparency. (I 5.4.2)

**Conclusion:** the JC is partly validated, there is room for improvement but overall the performance (even as judged by others outside the EU) appears better than average in particular the focus on high quality preparation and monitoring has been effective as found by earlier related evaluations. Quality of evidence: More than satisfactory.

Summary response	Sources of information	Quality of evidence									
<b>JC 5.1 Degree to which the innovative financial instruments contributed to social development goals shared by EU and its partner countries</b>											
<b>I- 5.1.1 Increase in (or targeting of) the number of households with access to modern energy services</b>											
GEEREF	<p>According to the 2015 impact reporting 4.5m people will benefit from new or improved access once all the pipeline and portfolio projects will be brought online (from all the funds in the GEEREF portfolio in 2016).. This figure has by end 2016 reached 5m (GEEREF presentation meeting 15 February 2017). The figure is calculated by dividing the total annual generation by the average annual household electricity consumption in the country (using World Bank figures). This is judged a reasonable basis when combined with the eligibility criteria used (see I 5.1.2)</p> <div data-bbox="322 635 786 874"> <p style="text-align: center;"><b>BENEFICIARY HOUSEHOLDS</b></p>  <table border="1" data-bbox="322 667 786 874"> <thead> <tr> <th>Category</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>419,857</td> </tr> <tr> <td>RUN-RATE</td> <td>3,729,281</td> </tr> <tr> <td>LIFETIME (ANNUAL)</td> <td>4,500,146</td> </tr> </tbody> </table> </div> <p>Definitions:</p> <p>Run rate: 12 months full operations assumed for each portfolio project</p> <p>Lifetime: 20 years full operations assumed for each portfolio (10years for energy efficiency)</p> <p>(note the 2014 figures on lifetime were calculated in a different way)</p> <p>It could be noted here that the figures on MW installed and benefitting households are reasonably consistent although with a total lifetime installation of 1969 MW and 4.5million benefitting households (HH) it only translates to 438W/HH which is quite low and might over estimate the number of HH benefitting.</p>	Category	Value	2015	419,857	RUN-RATE	3,729,281	LIFETIME (ANNUAL)	4,500,146	<ul style="list-style-type: none"> <li>• GEEREF Impact Reports 2015, 2014</li> <li>• GEEREF presentation meeting EC Brussels 15 February 2017</li> <li>• SE4ALL <a href="http://www.se4all.org/sites/default/files/MTFpresentation_SE4ALL_April5.PDF">http://www.se4all.org/sites/default/files/MTFpresentation_SE4ALL_April5.PDF</a></li> </ul>	Strong
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<p>Note: SE4ALL and others have noted that a binary access or no access is inadequate as a measure – a 5 tier approach is being promoted (and part of the global tracking exercise) but is not yet introduced into GEEREF or any of the other EU supported initiatives. (note: This could be a recommendation, as it enables to make more precise what the EU projects are doing and therefore makes monitoring indicators more adequate (SMART))</p>  <table border="1"> <caption>Multi-Tier Framework for Electricity</caption> <thead> <tr> <th></th> <th>Tier 0</th> <th>Tier 1</th> <th>Tier 2</th> <th>Tier 3</th> <th>Tier 4</th> <th>Tier 5</th> </tr> </thead> <tbody> <tr> <td>Capacity</td> <td></td> <td colspan="5">Capacity (from 3W to above 2kW) and ability to power appliances (applicable for off-grid solutions)</td> </tr> <tr> <td>Duration - day</td> <td></td> <td colspan="5">From at least 4 hours a day to over 23 hours a day</td> </tr> <tr> <td>Duration - evening</td> <td></td> <td colspan="5">From at least 1 hour in the evening to over 4 hours</td> </tr> <tr> <td>Reliability</td> <td></td> <td></td> <td></td> <td></td> <td colspan="2">Number and duration of outages (applicable for Tier 4 &amp; 5 only)</td> </tr> <tr> <td>Quality</td> <td></td> <td></td> <td></td> <td></td> <td colspan="2">Voltage problems do not affect the use of desired appliances (Tier 4&amp;5)</td> </tr> <tr> <td>Affordability</td> <td></td> <td></td> <td colspan="3">Basic service less than 5% of a household income (Tiers 3-5)</td> <td></td> </tr> <tr> <td>Legality</td> <td></td> <td></td> <td></td> <td></td> <td colspan="2">Service provided legally (Tier 4&amp;5)</td> </tr> <tr> <td>Health and Safety</td> <td></td> <td></td> <td></td> <td></td> <td colspan="2">Absence of accidents (Tier 4&amp;5)</td> </tr> </tbody> </table>		Tier 0	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5	Capacity		Capacity (from 3W to above 2kW) and ability to power appliances (applicable for off-grid solutions)					Duration - day		From at least 4 hours a day to over 23 hours a day					Duration - evening		From at least 1 hour in the evening to over 4 hours					Reliability					Number and duration of outages (applicable for Tier 4 & 5 only)		Quality					Voltage problems do not affect the use of desired appliances (Tier 4&5)		Affordability			Basic service less than 5% of a household income (Tiers 3-5)				Legality					Service provided legally (Tier 4&5)		Health and Safety					Absence of accidents (Tier 4&5)			
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	<p>ElectriFI policy is clearly pro-access and targets new access (and also marginalised groups), its documentation states:</p> <ul style="list-style-type: none"> <li>• Electrifi “seeks to support electrification investments that will lead to new and improved connections, with a focus on addressing the needs of populations living principally in rural, underserved areas as well as areas affected by unreliable power supply. In addition, Electrifi seeks to encourage the adoption of renewable energy, with a particular emphasis on decentralized energy solutions.”</li> <li>• “Funding must lead to increased or improved end-user access to affordable, reliable, sustainable, and modern energy”</li> </ul>	<ul style="list-style-type: none"> <li>• Electrifi information sheet October 2016</li> <li>• Electrifi Guidelines for call for proposals, 2017</li> <li>• Electrifi Investment criteria and guidelines, 2017</li> </ul>	Strong																																																														

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<ul style="list-style-type: none"> <li>Selection criteria Impact: Projects must demonstrate creating a minimum of 1,000 attributable new electricity connections. Preference is given to rural areas</li> <li>Selection criteria: Impact measured in the number of direct new connections to electricity and number of people gaining access to electricity.</li> </ul> <p>The 19 initially selected projects from round 1 indicate close to 1.3 million HHs benefitting based on the application data but a check against the additional generation capacity and normal consumptive use (based on WB figures) would tend to suggest that the actual figure is closer to 45,000 people served.</p> <table border="1" data-bbox="344 517 1397 772"> <thead> <tr> <th colspan="10">ElectriFI - Round 1 funding the 19 initially selected projects</th> </tr> <tr> <th>Region</th> <th>Installed capacity (MW)</th> <th>Number Household (HH) connections</th> <th>HH/MW</th> <th>W/HH</th> <th>Generation with 20% CF 8750hrs/yr MWH</th> <th>HH benefitting with say 2000 KWH/HH/yr</th> <th>HH/MW</th> <th>W/HH</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>Southern Africa</td> <td>16.1</td> <td>94,530</td> <td>5,871</td> <td>170.32</td> <td>28,175</td> <td>14,088</td> <td>875</td> <td></td> <td></td> <td></td> </tr> <tr> <td>East Africa</td> <td>21.8</td> <td>584,000</td> <td>26,789</td> <td>37.33</td> <td>38,150</td> <td>19,075</td> <td>875</td> <td></td> <td></td> <td></td> </tr> <tr> <td>West Africa</td> <td>1.9</td> <td>95,000</td> <td>50,000</td> <td>20.00</td> <td>3,325</td> <td>1,663</td> <td>875</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Other Africa</td> <td>0.8</td> <td>82,800</td> <td>103,500</td> <td>9.66</td> <td>1,400</td> <td>700</td> <td>875</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Americas</td> <td>2.5</td> <td>135,000</td> <td>54,000</td> <td>18.52</td> <td>4,375</td> <td>2,188</td> <td>875</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Asia</td> <td>8</td> <td>296,456</td> <td>37,057</td> <td>26.99</td> <td>14,000</td> <td>7,000</td> <td>875</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Total</td> <td>51.1</td> <td>1,287,786</td> <td>25,201</td> <td>39.68</td> <td>89,425</td> <td>44,713</td> <td>875</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Source: ElectriFI presentation Aug 2016, based on information in applications</p>	ElectriFI - Round 1 funding the 19 initially selected projects										Region	Installed capacity (MW)	Number Household (HH) connections	HH/MW	W/HH	Generation with 20% CF 8750hrs/yr MWH	HH benefitting with say 2000 KWH/HH/yr	HH/MW	W/HH			Southern Africa	16.1	94,530	5,871	170.32	28,175	14,088	875				East Africa	21.8	584,000	26,789	37.33	38,150	19,075	875				West Africa	1.9	95,000	50,000	20.00	3,325	1,663	875				Other Africa	0.8	82,800	103,500	9.66	1,400	700	875				Americas	2.5	135,000	54,000	18.52	4,375	2,188	875				Asia	8	296,456	37,057	26.99	14,000	7,000	875				Total	51.1	1,287,786	25,201	39.68	89,425	44,713	875				ElectriFI presentation August 2016	More than satisfactory
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<p>Blending</p> <ul style="list-style-type: none"> <li>The AITF had as of end 2016 a total of 74 projects under monitoring of which 22 were energy projects under the sE4ALL (mainly financed through the regional programmes) in addition a further 21 energy projects were financed through blending. Of these it is mentioned that 10 are directly concerned with access and that the total additional households designed to be served is 779,800 (population estimated at 3.9 million). In total it is estimated that 22 energy projects had a total beneficiary number of 410 million (although it is noted that there is a danger here of double counting Another way of estimating is to look at the additional MW installed capacity of 6747MW (June 2016) which would imply 6.7m benefitting HH (at a conservative 1000w/HH). The end of 2016 annual report reports a total generation through renewable energy of 7.1GW and the number of households benefitting as 2083735. (p11)</li> <li>In Zambia, Tanzania and Benin there were considerable grid extension projects (e.g. ITT, Lusaka distribution transmission rehabilitation) that created additional access.</li> </ul> <ul style="list-style-type: none"> <li>The blending evaluation concluded that: ongoing blending projects that were aimed at increasing the number of households with access to modern energy were likely to achieve their intended results <i>“Apart from a few cases, blending projects succeeded in achieving (or were likely to achieve) the planned outputs within cost estimates but usually with long delays”</i> (blending evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>EU-Africa Infrastructure Trust Fund semi annual Monitoring report 2016, p23</li> <li>EU-Africa Infrastructure Trust Fund annual report 2017,p11</li> <li>Interviews in Benin, Tanzania and Zambia. (country notes)</li> </ul> <ul style="list-style-type: none"> <li>Blending Evaluation final report September 2016 (p50)</li> </ul>	Strong																																																																																																		

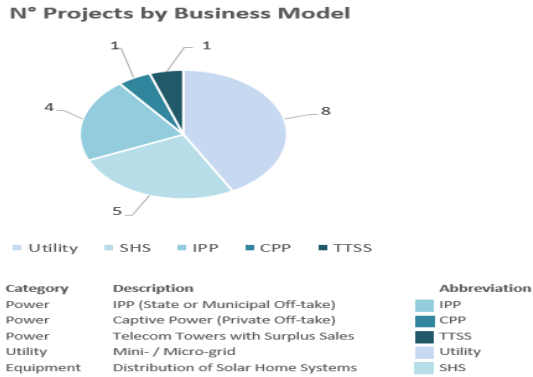
Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>The main factors that gave rise to blending projects successfully reaching their goals (including increase in access) were: i) The intensive and high quality technical monitoring and supervision which ensured corrective action in case of delays and ii) The procurement of highly professional contractors and consultants (in most cases)</li> </ul>	<ul style="list-style-type: none"> <li>Blending Evaluation final report September 2016 (p51)</li> <li>Interviews in Benin, Ethiopia (country notes)</li> </ul>	
	<ul style="list-style-type: none"> <li>From the AITF monitoring report missing analysis – the report is not sufficient to allow systematic extraction of this data.</li> </ul>	<ul style="list-style-type: none"> <li>EU-Africa Infrastructure Trust Fund Monitoring report 2016</li> </ul>	
	<ul style="list-style-type: none"> <li>An example of a blending project that has reported on access is (Uganda/blending/Get Fit) where the annual report notes : the project has been <i>“facilitating (or significantly improving) access to energy for at least 200.000 additional households (approximately 1.2M people), also in rural areas due to strengthening of regional grids;”</i> –</li> </ul>	<ul style="list-style-type: none"> <li>Get Fit Annual report 2016 p13</li> </ul>	
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>The 3 innovative financing approaches all clearly target increased access of households to modern energy.</li> <li>Improved access is mainly through increased generation than direct connection especially for EletriFI and Geeref. For ElectriFI and GEEREF this is done more by increasing the generation of electricity than by directly connecting households through mini-grids, standalone or national grid connections. Blending projects although they also focus strongly on generation have a number of network extension and minigrd/stand alone systems.</li> <li>The measurement of access is difficult as in most cases, especially with electricity generation projects, the access will be lifting people from their current tier to a higher one rather than necessarily contributing to new access from tier 0 to tier 1. A formal and consistent system of measurement such as the MTF proposed by the SE4ALL has not been implemented. Although there is consistency within the GEEREF for instance (use of WB average consumption rates per country) this is less the case in the Blending projects where the method of estimating access varies but in most cases only the number of additional connections directly made are counted. ElectriFI at least at this early stage is using the figures provided by the applicants which appear to be much higher than is believable.</li> <li>There are a considerable number of households recorded as having benefitted from electricity access (4.5m through GEEREF; 1.3m through ElectriFI and 0.8m through blending) but due to the measurement challenges it is very difficult to compare these against each other or against other EU funded projects.</li> </ol>		Strong	
<p>I -5.1.2 The extent to which the initiatives targeted and/or led to greater access to modern energy services by marginalized population groups</p>			

Summary response	Sources of information	Quality of evidence																												
<p>GEEREF has three eligibility criteria (off grid; under electrified region, least developed country) which lead to access by marginalised population groups or at least those without sufficient access to electricity. This is not water tight in the sense that if the only criteria met is the least developed country and the project was dedicated to better serving an already well served area then marginalised population groups would not be met.</p>	<ul style="list-style-type: none"> <li>• GEEREF Impact Reports 2015, 2014</li> <li>• Correspondence with GEEREF July 2017</li> </ul>	Strong																												
<p>For the 48 projects supported up to the end of 2015 the compliance with criteria is given below:</p> <table border="1" data-bbox="349 496 1272 762"> <thead> <tr> <th colspan="4">Eligibility criteria up to end of 2015</th> </tr> <tr> <th>Eligibility criteria</th> <th>Met</th> <th>Not met</th> <th>% met</th> </tr> </thead> <tbody> <tr> <td>ODA eligible country</td> <td>48</td> <td>0</td> <td>100%</td> </tr> <tr> <td>Off grid access</td> <td>0</td> <td>48</td> <td>0%</td> </tr> <tr> <td>under electrified region</td> <td>12</td> <td>36</td> <td>25%</td> </tr> <tr> <td>Less Developed country</td> <td>9</td> <td>39</td> <td>19%</td> </tr> <tr> <td colspan="4">Source: GEEREF records</td> </tr> </tbody> </table> <p>It should be noted that after 2015, DI frontier has started with an off grid access project.</p> <p>For GEEREF, the increase in access is calculated by using the average electric power consumption per person in each of the countries in question. It is plausible from the table above showing that at least 25% of the projects were in under electrified regions to suggest that 25% of the population benefitting were from marginalised groups. In reality it might be higher as the marginalised groups will tend to use less electricity than the average per household.</p>	Eligibility criteria up to end of 2015				Eligibility criteria	Met	Not met	% met	ODA eligible country	48	0	100%	Off grid access	0	48	0%	under electrified region	12	36	25%	Less Developed country	9	39	19%	Source: GEEREF records				<ul style="list-style-type: none"> <li>• Correspondence with GEEREF July 2017</li> </ul>	Strong
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<p>A system is in place to optimise positive effects and minimise and mitigate any negative impact on marginalised groups.</p> <p>GEEREF follows the EIB environmental and social handbook. The handbook in chapter 6 (involuntary resettlement) and chapter 7 (rights and interests of vulnerable groups) provides state of the art guidance and procedures for ensuring that the rights and interests of marginalised population groups are not negatively affected by the projects and where possible are enhanced. This is particularly important for hydropower projects where impoundment of water can sometimes lead to resettlement or loss of livelihood.</p>	<ul style="list-style-type: none"> <li>• EIB ENVIRONMENTAL AND SOCIAL HANDBOOK 2013</li> </ul>	Strong																												
<p>The two funds operational in Africa (Evolution one and DI Frontier) use their own systems which are similar to the EIB. Evolution one for example uses its own “Social and Environmental System”</p>	<ul style="list-style-type: none"> <li>• Evolution one Social and Environmental System</li> </ul>	Strong																												

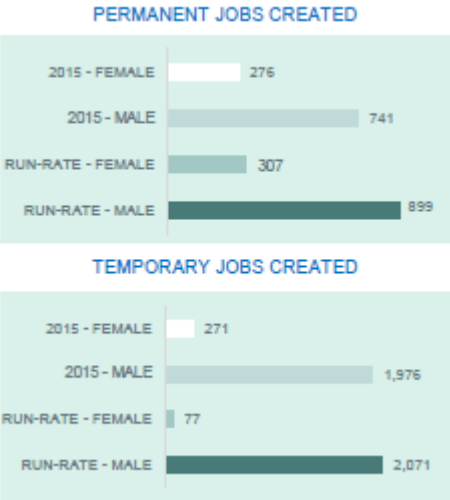
Summary response	Sources of information	Quality of evidence
<p>The projects examined under an earlier evaluation (Environment and climate change) in South Africa through the Evolution one Fund were focussed specifically on marginalised groups – e.g.</p> <ul style="list-style-type: none"> <li>• The Rustmo (1.7mw) solar park and the SlimSun (5mw) solar parks were all providing solar power for previously disadvantaged population groups.</li> <li>• Another example of a project funded by Evolution one is the RedCap wind farm where “The historically disadvantaged community of the Kouga municipality in the Eastern Cape will own 40% of the Gibson Bay wind farm community trust”</li> </ul>	<ul style="list-style-type: none"> <li>• EU Evaluation of Environment and climate change, 2015</li> <li>• Evolution One, Annual Report September 2013</li> <li>• <a href="http://red-cap.co.za/news/kouga-locals-catch-the-wind">http://red-cap.co.za/news/kouga-locals-catch-the-wind</a></li> </ul>	Strong
<ul style="list-style-type: none"> <li>• In the GEEREF 2015 impact report there is a detailed set of examples given where the EIB handbook has been applied e.g. on resettlement it is noted: <ul style="list-style-type: none"> <li>• <i>“On Frontier’s Siti 1 and Lubilia Kawembe hydro projects, Frontier initiated the implementation of Livelihood Restoration Plans subsequent to the completion of the process of land acquisition and compensation. The Plans were designed on the basis of individual households affected to accommodate their varying requirements. For some households where it was observed that the land they owned was not economically viable, the replacement land that the Project Companies bought for them was slightly larger than what was acquired for the projects. There have been cases where the affected households were provided food support, and a few cases where cash was handed out to those that needed seed money to continue with their livelihoods. In some instances, the project companies have rented land for critically affected households for a period of one year, and provided them with labour, seeds and fertilizers to ensure that they can continue farming and enjoy a higher standard of living than before the project was implemented.”</i></li> <li>• On vulnerable people it is noted: “Frontier’s Akiira One geothermal project has been working with two surrounding Maasai communities to put in place a community engagement structure composed of four committees: Grievance Committee to handle any issues and grievances arising, a Feedback Committee to report on the work progress, an Economic Committee which aims to help in allocation of resources to the community, and an Environment Committee to address any environmental issues arising as well as to seek the communities’ assistance in environmental monitoring. The Maasai communities are involved on a 50-50 basis in the four committees to ensure full inclusion. The same principle is applied to provision of available jobs during the current stage of drilling of exploration wells.”</li> <li>• In general, it seems DI frontier are specialising in marginalised groups</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Impact Reports 2015</li> <li>• Elgon Hydro Pvt, Environmental and social impact statement for the proposed Siti small hydropower project, Uganda, 2014</li> </ul>	Strong
<p>The evaluation of EU support to environment and climate change (2015) found that “The RFSF[Regional Fund Support Facility] has been especially useful for exploring opportunities to reach out to the poorest areas with household and micro-scale solutions but in general the conclusion has been that such solutions are not well suited for the GEEREF set up. Bottom of the pyramid</p>	<ul style="list-style-type: none"> <li>• EU Evaluation of Environment and climate change, 2015</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence																		
<p>actions (e.g. on solar lamps) are too demanding on time scale and transaction costs for larger relatively high cost funds like GEEREF where the intention is to attract considerable private sector investment. The RFSF has however assisted with technical assistance and operational support a number of funds dedicated to small-scale action during critical establishment and growing phases. Without the further involvement of GEEREF, some of these funds have gone on to provide significant benefits such as the Barefoot fund that has provided solar lamps for 300,000 households and trained nearly 2000 micro-entrepreneurs.”</p>																				
<p>The two hydropower schemes financed by DI frontier in Tanzania were clearly pro-poor as they served remote populations that were far from the grid</p>	<ul style="list-style-type: none"> <li>Interviews and project data</li> </ul>	More than satisfactory																		
<p>ElectriFI</p> <p>In practice it appears from the first round 85% of round 1 applications were in Sub Saharan Africa and mostly in LDCs (this does not necessarily mean poor people will benefit) A total of 95% of applications from low or lower middle income countries (WB classification)</p> <table border="1" data-bbox="347 639 1249 890"> <thead> <tr> <th>Applications from</th> <th>Number</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Low income</td> <td>131</td> <td>55%</td> </tr> <tr> <td>Lower middle income</td> <td>94</td> <td>39%</td> </tr> <tr> <td>Upper middle income</td> <td>13</td> <td>5%</td> </tr> <tr> <td>Higher income</td> <td>0</td> <td>0%</td> </tr> <tr> <td>Total</td> <td>238</td> <td>100%</td> </tr> </tbody> </table>	Applications from	Number	%	Low income	131	55%	Lower middle income	94	39%	Upper middle income	13	5%	Higher income	0	0%	Total	238	100%	<ul style="list-style-type: none"> <li>Electrifi Presentation May 2016, slide 4</li> </ul>	More than satisfactory
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<p>It is noted in the investment criteria that “ ElectriFI encourages electricity generation from renewable energy sources, with a particular emphasis on decentralised energy solutions” The use of decentralised solutions will tend to favour marginalised groups.</p> <ul style="list-style-type: none"> <li>Of the 19 projects selected under round 1, nine were mini-microgrid or solar home systems which can be used as a proxy for reaching marginalised groups – this suggest that 50% of the projects served marginalised groups</li> </ul>	<ul style="list-style-type: none"> <li>ElectriFI investment criteria and guidelines,2017</li> <li>ElectriFI records on round one 2017</li> </ul>	More than satisfactory																		



Summary response	Sources of information	Quality of evidence																		
 <p><b>N° Projects by Business Model</b></p> <table border="1"> <thead> <tr> <th>Category</th> <th>Description</th> <th>Abbreviation</th> </tr> </thead> <tbody> <tr> <td>Power</td> <td>IPP (State or Municipal Off-take)</td> <td>IPP</td> </tr> <tr> <td>Power</td> <td>Captive Power (Private Off-take)</td> <td>CPP</td> </tr> <tr> <td>Power</td> <td>Telecom Towers with Surplus Sales</td> <td>TTSS</td> </tr> <tr> <td>Utility</td> <td>Mini- / Micro-grid</td> <td>Utility</td> </tr> <tr> <td>Equipment</td> <td>Distribution of Solar Home Systems</td> <td>SHS</td> </tr> </tbody> </table>	Category	Description	Abbreviation	Power	IPP (State or Municipal Off-take)	IPP	Power	Captive Power (Private Off-take)	CPP	Power	Telecom Towers with Surplus Sales	TTSS	Utility	Mini- / Micro-grid	Utility	Equipment	Distribution of Solar Home Systems	SHS		
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	<ul style="list-style-type: none"> <li>Interviews and project application data</li> </ul>	More than satisfactory																		
Blending	<ul style="list-style-type: none"> <li>Blending Evaluation final report September 2016 (p51)</li> </ul>	More than satisfactory																		
<p>Although there was not a strong focus on targeting poor and marginalised groups, some energy projects did deliberately use the grant element to reach out to the poor – an example is [Benin/blending/ alantique] where over 80 poor communities were connected to the grid as a result of the blending grants</p> <p>In CDI it was noted that the ENERGOS 1 project targeted social connections, while ENERGOS 2 provided a framework for EU interventions in rural electrification (enabling environment and implementation). The EU grant allowed to support a pro-poor approach to grid extension and TA, while the loan targeted rehabilitation, consolidation and extension. Blending modalities allowed to leverage additional finance, but also provided an efficient coordination framework and opportunities to strategically allocate funds to new area of interventions (i.e. energy efficiency, and decentralised electrification).</p>	<ul style="list-style-type: none"> <li>Blending Evaluation final report September 2016</li> <li>CDI country visit interviews (CDI02/08/11) and Energos Action fiche.</li> </ul>	Strong																		

Summary response	Sources of information	Quality of evidence
Two of the 43 energy projects are clearly targeted on the last mile (one in Kenya and the other Uganda) – one of these UG-Blend-RE Project is in the sample.	<ul style="list-style-type: none"> <li>EU-Africa Infrastructure Trust Fund Monitoring report 2016</li> </ul>	More than satisfactory
Referring to the (Uganda/blending/get fit) project the qualification of "also in rural areas" (where the annual report notes : the project has been " <i>facilitating (or significantly improving) access to energy for at least 200.000 additional households (approximately 1.2M people), also in rural areas due to strengthening of regional grids;</i> " indicates the difficulty of purely concentrating on marginalised populations and there might even be a good economic reason for not doing so.	<ul style="list-style-type: none"> <li>Get Fit Annual report 2016 p13</li> </ul>	More than satisfactory
<p>Affordability was a key issue for reaching marginal populations</p> <ul style="list-style-type: none"> <li>While EU support was instrumental in supporting grid penetration into unserved areas (e.g. Mumbwa), connection to the network remained a challenge for poor households and the local communities. The experience in the sector was that where connections were subsidised, consumers were able to pay – hence an appropriate financing mechanism for the initial connection was of critical importance. The problem of finding a formula for a more affordable and sustainable mechanism for connection fees was not solved, and was also linked to the role and financial position of ZESCO, which was under a process of being addressed by the government.</li> <li>A factor that tended to reduce success in increasing access was the affordability - In one project the North Togo-Benin project the transmission project reached institutional clients but not households.</li> <li>Pre-paid meters appeared to be a solution which appears to work well in Benin (Grid extension) – where SBEE was able to reach 105 locations where it was possible to connect the population using pre-paid systems (and avoid expensive connection charges that tended to reduce connection rates).</li> </ul>	<ul style="list-style-type: none"> <li>Zambia, interviews with ZESCO and others</li> <li>Benin, interviews with stakeholders</li> <li>SBEE project records</li> </ul>	Strong
<p>Summary and analysis of findings for the indicator</p> <ol style="list-style-type: none"> <li>A systematic means of measuring how many people from poor or marginalised groups have benefitted from the innovative finance projects is not in place. It is also admittedly difficult to measure this and grant projects are also usually lacking a convincing monitoring of this aspect.</li> <li>It could be estimated that 25% of GEEREF projects (based on eligibility criteria) and 50% of ElectrIFI projects (based on technology type) target poor or marginalised groups.</li> <li>There are a number of specific examples in all 3 facilities (Blending, GEEREF, ElectrIFI) where an effective targeting of poor and marginalised groups has been achieved, indicating that the instruments being used are capable of targeting these groups.</li> <li>There are relatively few projects that look at non-electric energy use for cooking – GEEREF and ElectrIFI do not address this type of energy use, out of the 43 energy projects within Eu-AITF only 1 is dedicated to non-electric use (Multi-blending- GLPGP) (note improved cooking is a feature of many EF projects)</li> <li>Overall there is a tension between ensuring profitability and leveraging commercial finance on the one hand and targeting the poor and marginalised on the other hand. The grant elements have not solely focused on poverty but also on developing a market based momentum. The trickle-down effect of increasing energy generation and undertaking major transmission and distribution is not documented or referred to in general terms as part</li> </ol>		More than satisfactory

Summary response	Sources of information	Quality of evidence																					
of a theory of change for the projects (although it is clearly part of the overall thinking behind the projects which at least for the major infrastructure ones under blending are also prioritised in national and regional infrastructure planning frameworks)																							
I- 5.1.3 Extent to which the initiatives targeted and/or led to permanent and temporary jobs being created																							
GEEREF	<p>According to the 2015 impact report, 899 permanent jobs and 2071 temporary jobs were created to date by all projects. For the permanent jobs, it only includes direct jobs on the new energy facilities (e.g. on management, operation and maintenance) and for the temporary jobs it only includes those hired during construction. There is no attempt to look at the leverage effect in the economy arising from greater access to energy or more reliable supply.</p>  <table border="1" data-bbox="331 644 779 1145"> <thead> <tr> <th colspan="2">PERMANENT JOBS CREATED</th> </tr> </thead> <tbody> <tr> <td>2015 - FEMALE</td> <td>276</td> </tr> <tr> <td>2015 - MALE</td> <td>741</td> </tr> <tr> <td>RUN-RATE - FEMALE</td> <td>307</td> </tr> <tr> <td>RUN-RATE - MALE</td> <td>899</td> </tr> </tbody> </table> <table border="1" data-bbox="331 938 779 1145"> <thead> <tr> <th colspan="2">TEMPORARY JOBS CREATED</th> </tr> </thead> <tbody> <tr> <td>2015 - FEMALE</td> <td>271</td> </tr> <tr> <td>2015 - MALE</td> <td>1,976</td> </tr> <tr> <td>RUN-RATE - FEMALE</td> <td>77</td> </tr> <tr> <td>RUN-RATE - MALE</td> <td>2,071</td> </tr> </tbody> </table>	PERMANENT JOBS CREATED		2015 - FEMALE	276	2015 - MALE	741	RUN-RATE - FEMALE	307	RUN-RATE - MALE	899	TEMPORARY JOBS CREATED		2015 - FEMALE	271	2015 - MALE	1,976	RUN-RATE - FEMALE	77	RUN-RATE - MALE	2,071	<ul style="list-style-type: none"> <li>• GEEREF Impact Reports 2015, 2014</li> </ul>	More than satisfactory
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	<ul style="list-style-type: none"> <li>• The evolution One fund based in South Africa did lead to some additional job creating effects beyond direct employment as noted in an earlier evaluation for the Rustmo solare it is noted that: <i>“Based on a socio-economic needs assessment, other initiatives include a partnership with ORBIT Further Education and Training College and with a local college, Computers and Careers Community Education and Training, with agreement centred on technical support and capacity development for previously disadvantaged local communities.”</i></li> </ul>	<ul style="list-style-type: none"> <li>• EU Evaluation of Environment and climate change, 2015</li> <li>• Evolution One Annual report September 2013</li> </ul>	More than satisfactory																				

Summary response		Sources of information	Quality of evidence
ElectriFI	ElectriFI puts forward 4 criteria of which the second is “job creation, green sustainable, inclusive growth” – <ul style="list-style-type: none"> <li>it is too early to conclude on the job creation.</li> <li>ElectriFI projects are likely to have similar direct job creation in terms of construction jobs and operation and maintenance jobs as GEEREF and Blending. Smaller scale projects probably, other things being equal, create more jobs simply because they do not gain from economies of scale on labour productivity.</li> </ul>	<ul style="list-style-type: none"> <li>Electrifi Presentation May 2016</li> </ul>	More than satisfactory
Blending	One of the main conclusions from the earlier blending report was that job creation was not considered in the design or monitored, with a few exceptions (only 3 out of a sample of 49 reported on the jobs created). The new blending guidelines rectify this.	<ul style="list-style-type: none"> <li>EU evaluation of Blending, 2016</li> <li>Blending guidelines, 2015</li> </ul>	More than satisfactory
	The AITF monitoring report notes 49265 construction jobs associated with 31 projects (across all sectors not just energy) and 3107 direct employment associated with operation and maintenance (across 22 projects across all sectors). It is difficult from this information to draw strong conclusions except that job creation is an area that needs more attention especially in terms of how it is monitored.	<ul style="list-style-type: none"> <li>EU-AITF monitoring report June 2016, p23</li> </ul>	Indicative but not conclusive
	Some projects supported by blending have reported systematically on jobs e.g. Uganda/blending/GetFIT Where it is noted that 17 projects under the GETFIT have led to 4200 jobs	<ul style="list-style-type: none"> <li>Get Fit Annual report 2016 p13</li> </ul>	More than satisfactory
<b>Summary and analysis of findings for the indicator</b>			More than satisfactory
<ol style="list-style-type: none"> <li>Job creation is more strongly featured in later monitoring. In general a conservative view is taken and only direct construction and operation and maintenance related jobs are counted for GEEREF and Blending</li> <li>The reporting on jobs in blending projects is still variable reflecting that the blending guidelines have only applied to projects since 2015</li> <li>A systematic way for estimating the indirect or leverage effect on jobs by providing different types of energy interventions is not used by the projects.</li> </ol>			
<b>I- 5.1.4 Extent to which the initiatives targeted and/or succeeded in mainstreaming of gender aspects into the design and implementation of the projects</b>			
GEEREF	The data on jobs is disaggregated by sex. It shows that the temporary jobs are overwhelmingly male (97%) but the permanent jobs although still male dominated are more in proportion with 30% female participation.	<ul style="list-style-type: none"> <li>GEEREF Impact Reports 2015</li> </ul>	More than satisfactory
	GEEREF is guided by the EIB social standards and practices (over 200 pages) which “align with the EU policy objectives relating to the respect for human rights, gender equality...” The attention to gender at the policy level can be considered “state of the art” in terms of gender equity and taking gender dynamics into consideration.	<ul style="list-style-type: none"> <li>EIB environmental and social handbook p97</li> </ul>	
	The RFSF assistance has supported organisations that had a strong focus on targeting gender even if that support did not necessarily lead to an investment project supported by GEEREF. Support provided	<ul style="list-style-type: none"> <li>Barefoot power support in the West Nile Uganda</li> </ul>	

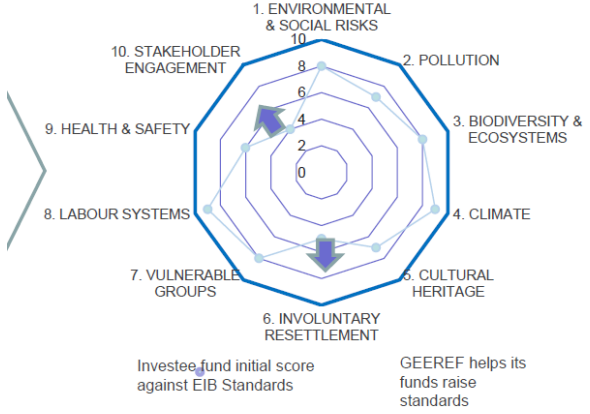
Summary response	Sources of information	Quality of evidence	
	to Barefoot power for example was used to train women in community enterprises to promote solar lighting in Uganda.	(source: extracts from: <a href="http://www.barefootpower.com/index.php/social-impact/68-cream-builds-business-in-west-nile">http://www.barefootpower.com/index.php/social-impact/68-cream-builds-business-in-west-nile</a> ) <ul style="list-style-type: none"> <li>EU evaluation of environment and climate change 2015</li> </ul>	
	<p>Examples of practical implementation of gender mainstreaming</p> <ul style="list-style-type: none"> <li>Siti I and II (UG-GEREEF-Siti HPP), Uganda– Problem: Lack of natal care: Only one midwife was stationed at the Chesower Health Centre and she covered a 30 km radius. Response: Recruitment and training: In response to requests made by women in the immediate project area, Frontier is helping 35 midwives undergo a 1 year training course.</li> <li>Lubilia-Kawembe, Uganda– Problem: Financial disempowerment: Finances are managed by the men in a household giving women limited say how cash is spent. As women lack collateral, they find it difficult to open bank accounts which is a particular problem if project developers are seeking to pay compensation to affected households. Response: Financial inclusion: Compensation payments were only discussed with both husband and wives present and financial training was given to both equally. Frontier then ensured that female heads of households were able to open and operate bank accounts into which their compensation payments were made.</li> </ul>	<ul style="list-style-type: none"> <li>GEEREF impact reporting 2105, p27</li> <li>DI Frontier ESG report 2015, June 2016, p12</li> </ul>	More than satisfactory
ElectriFI	The first ElectriFI project to be financed in Haiti does seek to bring reliable electricity to schools and clinics (as well as households and businesses) and in this respect has a gender element particularly in the clinics where women who take a major responsibility for family health care	<ul style="list-style-type: none"> <li><a href="https://www.devfinance.net/electrifi-makes-first-investment-sigora-haiti-utility-project/">https://www.devfinance.net/electrifi-makes-first-investment-sigora-haiti-utility-project/</a></li> </ul>	More than satisfactory
	Although it is not yet applied in practice, ElectriFI are considering the gender framework of FMO the managing DFI which uses a sophisticated gender analysis looking at the gender of beneficiaries, employees and owners.	<ul style="list-style-type: none"> <li>Interview with ElectriFI, July 2017</li> </ul>	More than satisfactory
	It is noted in the guidelines for call for proposals that “ElectriFI collects some gender information only for statistical purposes; this will be not used in the selection process” -this indicates an intention to report on gender. It also indicates that the use of the data has been thought through i.e. it is not relevant for selection. Whilst this is understandable and avoids fictitious women ownership it does raise the question of what if any measures will be taken to promote gender aspects.	<ul style="list-style-type: none"> <li>ElectriFI guidelines for call for proposals, 2017</li> </ul>	More than satisfactory
Blending	Gender is promoted through the policies and guiding frameworks of the IFIs	<ul style="list-style-type: none"> <li>Blending evaluation, 2017</li> <li>IFI guidance documents</li> </ul>	More than satisfactory
	Gender is strongly presented in the applications for blending grants however, it is not in general built into the results framework of the individual projects and is not reported on at the project level – in	<ul style="list-style-type: none"> <li>Blending evaluation, 2017</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
	some cases for example in access to finance, gender plays a crucial role that is not fully taken into account, despite the strong policies and frameworks		
<b>Summary and analysis of findings for the indicator</b>			More than satisfactory
<ol style="list-style-type: none"> <li>1. The overall policy framework of the innovative financing initiatives is strong in terms of promoting the mainstreaming of gender, it can in general be considered as reflecting state of the art</li> <li>2. Gender is reported on (GEEREF) and some gender disaggregated data is collected – this is not systematic in the blending projects or in the ElectriFI projects. The main concern in project monitoring is understandably the physical progress monitoring</li> <li>3. As noted earlier, the few projects on energy for cooking mean that a key opportunity for targeting women are not taking place (although it can also be argued that not many of these projects have a good track record). It could be argued that this type of project is not suited for the more complex financial instruments.</li> </ol>			
<b>JC 5.2 Degree to which the innovative financial instruments contributed to environmental and climate goals shared by EU and its partner countries</b>			
<b>I-5.2.1 Environmental and climate change impact assessments are undertaken (or systems in place to do so)</b>			
GEEREF	Systems are in place at GEEREF level through the EIB environmental and social handbook as noted under JC5.1	<ul style="list-style-type: none"> <li>• EIB environmental and social handbook</li> </ul>	Strong
	DI frontier (with support from GEEREF RFSF) have employed technical staff that among other tasks also ensure that environment and climate aspects are taken into account	<ul style="list-style-type: none"> <li>• Interview with DI frontier (July 2017)</li> </ul>	
	SITI I project had a EIA undertaken, and no projects have been noted where environmental aspects have not been addressed in the design and reporting of the project i.e. all projects sampled and reviewed had EIAs).	<ul style="list-style-type: none"> <li>• Elgon Hydro Pvt, Environmental and social impact statement for the proposed Siti small hydropower project, Uganda, 2014</li> </ul>	
	High quality due diligence in both Tanzania and Rwanda was observed based on documents and discussion with project promoters and government	<ul style="list-style-type: none"> <li>• Interviews Rwanda, Tanzania</li> </ul>	Strong
ElectriFI	ElectriFI puts forward 4 criteria of which the second is “job creation, green sustainable, inclusive growth”	<ul style="list-style-type: none"> <li>• ElectriFI Presentation May 2016</li> </ul>	More than satisfactory
	ElectriFI provide Ta support for ESG topics to their clients High quality due diligence was observed for the Rwanda ElectriFI project	<ul style="list-style-type: none"> <li>• ElectriFI Presentation May 2016, slide 2</li> <li>• Interviews Rwanda, REPRO</li> </ul>	
	<ul style="list-style-type: none"> <li>• The selection criteria note “<i>Sustainability: Sustainable environmental and social business practices are essential and at the heart of ElectriFI’s investment strategy. Any applicant shall (be ready to) comply with international best practices</i>”</li> </ul>	<ul style="list-style-type: none"> <li>• ElectriFI selection criteria</li> </ul>	

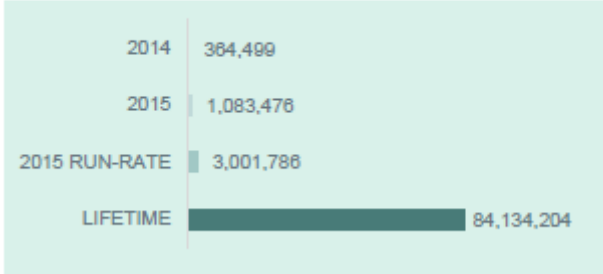
Summary response		Sources of information	Quality of evidence
Blending	Systems are in place at the IFIs eligible for blending operations – EIB/KfW/AFD have strong systems for undertaking environment and climate change assessments <ul style="list-style-type: none"> <li>EIB referred to above (under GEEREF)</li> <li>KfW <a href="https://www.kfw-entwicklungsbank.de/PDF/Download-Center/PDF-Dokumente-Richtlinien/Nachhaltigkeitsrichtlinie_EN.pdf">https://www.kfw-entwicklungsbank.de/PDF/Download-Center/PDF-Dokumente-Richtlinien/Nachhaltigkeitsrichtlinie_EN.pdf</a></li> <li>AFD <a href="http://www.afd.fr/lang/en/home/AFD/developpement-durable/DD-et-operations/maitrise-risques">http://www.afd.fr/lang/en/home/AFD/developpement-durable/DD-et-operations/maitrise-risques</a></li> </ul>	<ul style="list-style-type: none"> <li>IFI environmental and climate change guidance e.g. EIB handbook; KfW guidelines, AFD guidance</li> </ul>	More than satisfactory
	The IFIs have developed specialist unit/sections on this topic e.g. for AFD: Environmental and Social Support Division (AES) at AFD. It was set up in 2007 and comprised six experts (Head of Division, three environmental experts and two sociologists) in 2012	<ul style="list-style-type: none"> <li>AFD website</li> </ul>	
	The Tendaho geothermal project strong climate resilience effect as it will protect against loss of hydropower in years of drought.	<ul style="list-style-type: none"> <li>AFD regional office Addis Ababa.</li> </ul>	Strong
<b>Summary and analysis of findings for the indicator</b>			Strong
<ol style="list-style-type: none"> <li>Systems are in place for ensuring that environmental and climate change impact assessments are undertaken and no projects were found that did not have an EIA or equivalent.</li> <li>The IFIs involved have dedicated staff for environment and climate change- the due diligence carried out by GEEREF and ElectriFI is of a high quality</li> </ol>			
<b>I-5.2.2 Environmental and climate change performance is monitored and reported on (or systems in place to do so)</b>			
GEEREF	GEEREF report on CO2 emissions saved due to use of renewable energy – the calculations are straightforward and based on installed capacity and country characteristics	<ul style="list-style-type: none"> <li>GEEREF impact report 2015,p</li> </ul>	More than satisfactory
	At an overall level GEEREF monitors against EIB standards using 10 categories including: #1 environmental risks, #2 pollution, #3 biodiversity and ecosystems,#4 climate	<ul style="list-style-type: none"> <li>EIB environmental and social handbook</li> </ul>	
	At an individual fund level there are reports on environmental and climate change performance e.g. <ul style="list-style-type: none"> <li>DI frontier and Evolution one both have well developed environmental and climate performance monitoring systems</li> <li>The DI frontier ESG report has a section where each project is reported on an annual basis</li> </ul>	<ul style="list-style-type: none"> <li>DI annual reporting 2016</li> <li><a href="http://inspiredevolution.co.za/esg/">http://inspiredevolution.co.za/esg/</a></li> <li>DI Frontier ESG report 2015, June 2016, p12</li> </ul>	
	GEEREF helps its funds incorporate best practice for E&S through the lifecycle of operations – processes and procedures are described and enforced through legal commitments (Limited Partnership Agreement, Side Letter) <p>GEEREF closely works with the fund managers to establish environmental and social management systems (ESMS) for them to manage potential risks associated with the projects and enhance positive outcomes</p>	<ul style="list-style-type: none"> <li>Interview with DI frontier</li> <li>Geeref Impact reporting 2015</li> </ul>	

Summary response		Sources of information	Quality of evidence
ElectriFI	Too early to tell as monitoring reports have not yet started	Not applicable	Not applicable
Blending	As noted in I5.2.2 the systems are strong and EIA conditions are monitored and followed up on		More than satisfactory
	EU-AITF monitoring report focuses on the technical progress and less on the environmental and climate change focus. Of the 8 blending projects in the sample 5 had at least some relevant reporting on environment/climate: West Africa/blending/coastal backbone noted the finalisation of a resettlement plan ; Benin/blending/Alantique noted the completion of the ESIA; Uganda/Blending/Get Fit; West Africa/Blending/SUNREF and Liberia/blending/LEAP reports on GHG reductions.. this indicates the (understandable) high level focus on technical progress; Some of the projects have project result tables that are highly useful noting aspects such as jobs created but do not note environmental/climate results (except in one case West Africa/Blending/SUNREF)	<ul style="list-style-type: none"> <li>EC-AITF semi-annual monitoring report 2016</li> </ul>	
	The Uganda/Blending/Get Fit project is an example where the reporting on environment and climate is concrete and clear e.g. in the annual report 2016 there is a specific chapter on management of environmental and social performance (chapter 3). It is noted for example that the 20 year lifespan of the PPAs there is a 11million tons reduction in CO2	<ul style="list-style-type: none"> <li>Get Fit Annual report 2016</li> </ul>	
<b>Summary and analysis of findings for the indicator</b>			Strong
Reporting on environmental and climate change is systematic, although not yet tested for ElectriFI			
<b>I-5.2.3 The extent to which the initiatives targeted and/or led to improved environmental performance</b>			
GEEREF			
	GEEREF reports on the fund evaluation against EIB standards as shown below – the highest score was for climate 9/10 with bio-diversity scoring 8/10 and pollution control 7/10. The main impact of GEEREF is to put greater focus on environmental and climate performance for the funds they support and to provide support through the TA facility (RFSF) on environmental and climate issues	GEEREF impact report 2016  16th Semi Annual progress report on RFSF 31 December 2016	More than satisfactory



Summary response	Sources of information	Quality of evidence
<p style="text-align: center;">EXAMPLE OF FUND EVALUATION AGAINST EIB STANDARDS</p>  <p>Investee, fund initial score against EIB Standards</p> <p>GEEREF helps its funds raise standards</p> <p>Confirm which fund the above is relevant for</p>		
<ul style="list-style-type: none"> <li>• GEEREF impact reporting notes examples across the 10 EIB environmental and social criteria: for example under #3 Biodiversity/ecosystems an example is given on REAF's Panama wind energy project carries out tree replanting to offset the adverse impact associated with the construction of the project. In 2015 the project initiated a revegetation programme on slopes to prevent erosion.</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF impact reporting 2015,p14</li> </ul>	<p>More than satisfactory</p>
<p>ElectriFI</p> <p>There is an environment and climate focus through the systematic targeting of energy efficiency and renewable energy</p> <ul style="list-style-type: none"> <li>• the selection criteria focus on attainment of minimum international standards rather than aiming at maximising a climate or environment effect</li> <li>• too early to comment on the actual projects except that all have the energy efficiency and renewable energy aspect in-built</li> </ul>	<ul style="list-style-type: none"> <li>• ElectriFI Guidelines for call for proposals, 2017</li> </ul>	<p>More than satisfactory</p>

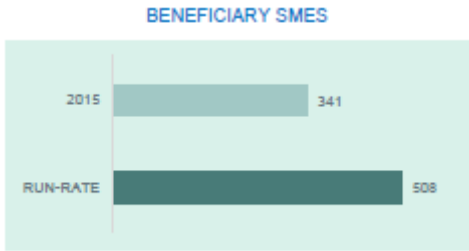
Summary response		Sources of information	Quality of evidence
Blending	Blending has accommodated and encouraged the setting up of green funds and the explicit targeting of environment and climate change benefits. For example, supported by blending, the AFD have developed a special “green credit line” also known as SUNREF (one of the initiatives of which is in the sample WestAfrica/Blending/SUNREF) - This is an example of a clear and explicit targeting of the environmental and climate benefits of modern energy.	<ul style="list-style-type: none"> <li>https://www.sunref.org/en/about/afds-green-finance-label/</li> </ul>	More than satisfactory
	Uganda/blending/Get Fit annual report 2016 notes significant environmental performance improvements: <ul style="list-style-type: none"> <li>“The GET FiT Investment Committee defined more than 50 environmental and social conditions precedent (CPs) across the three RfPs. This large number of CPs reflects the overall low environmental and social capability of project developers and their consultants, particularly gaps in environmental and social impact assessments (ESIAs), resettlement action plan (RAPs), environmental and social management or action plans (ESMPs or ESAPs) and livelihood restoration plans (LRPs). Fourteen CPs across seven projects were cleared [resolved] in 2016. Cumulatively, about 70 % of the environmental and social CPs have now been cleared”.</li> <li>It is uplifting also to note that the environmental and social performance across the project portfolio has improved noticeably in 2016. GET FiT continues to provide substantial support to developers in complying with international standards on issues such as resettlement, compensation, health and safety. This is vital not only to safeguard the overall success and legacy of the Program, but also to build developer capacity and to ensure sustainable utilization of Uganda’s small-scale RE potential for years to come. During GET FiT implementation, some developers have made impressive improvements in their capacity to manage a range of environmental and social issues. As a consequence of GET FiT, there is now a considerably higher degree of compliance with Ugandan and international standards than would otherwise have been observed.”</li> </ul>	<ul style="list-style-type: none"> <li>Get FIT Uganda annual report 2016, p37</li> </ul>	
<b>Summary and analysis of findings for the indicator</b> <ol style="list-style-type: none"> <li>Blending projects (and this would also pertain to GEEREF and ElectriFI projects because of their nature) feature strongly against the Rio markers on environment</li> <li>All the innovative finance instruments and their projects have an intended and positive environmental impact with GEEREF projects paying particular and systematic attention to this aspect</li> </ol>			Strong
<b>I-5.2.4 The extent to which the initiatives targeted and/or led to improved climate performance</b>			

Summary response		Sources of information	Quality of evidence										
GEEREF	<p>The impact reporting shows a strong impact on climate (the methodology is stated in the impact report guidance and used the EIB footprint methodology)</p>  <table border="1"> <caption>EMISSIONS REDUCED (TONNES OF CO2)</caption> <thead> <tr> <th>Year/Category</th> <th>Value (Tonnes of CO2)</th> </tr> </thead> <tbody> <tr> <td>2014</td> <td>364,499</td> </tr> <tr> <td>2015</td> <td>1,083,476</td> </tr> <tr> <td>2015 RUN-RATE</td> <td>3,001,786</td> </tr> <tr> <td>LIFETIME</td> <td>84,134,204</td> </tr> </tbody> </table>	Year/Category	Value (Tonnes of CO2)	2014	364,499	2015	1,083,476	2015 RUN-RATE	3,001,786	LIFETIME	84,134,204	<ul style="list-style-type: none"> <li>GEEREF impact reporting 2015, p18</li> </ul>	More than satisfactory
Year/Category	Value (Tonnes of CO2)												
2014	364,499												
2015	1,083,476												
2015 RUN-RATE	3,001,786												
LIFETIME	84,134,204												
	<p>Impact reporting also shows that virtually all GEEREF investments are related to Green house gas reduction within an increasing trend</p>	<ul style="list-style-type: none"> <li>GEEREF impact reporting 2015,p18</li> </ul>	More than satisfactory										

Summary response		Sources of information	Quality of evidence								
	<p style="text-align: center;"><b>PERCENT INVESTED IN GHG REDUCTION</b></p> <table border="1"> <caption>PERCENT INVESTED IN GHG REDUCTION</caption> <thead> <tr> <th>Year/Category</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2014</td> <td>91%</td> </tr> <tr> <td>2015</td> <td>94%</td> </tr> <tr> <td>LIFETIME</td> <td>96%</td> </tr> </tbody> </table>	Year/Category	Percentage	2014	91%	2015	94%	LIFETIME	96%		
Year/Category	Percentage										
2014	91%										
2015	94%										
LIFETIME	96%										
ElectriFI	As for I 5.1.3 (environment)	•									
Blending	The blending evaluation notes the relative high performance on Rio markers for blending projects (across all sectors) when compared to DEVCO projects as a whole (both climate and environment)	• Blending evaluation, p45	Strong								
	The Uganda/Blending/Get Fit project note for example that the 20 year lifespan of the PPAs there is a 11million tons reduction (avoided) in CO2	• Get Fit Annual report 2016	Strong								
Summary and analysis of findings for the indicator			Strong								
<ol style="list-style-type: none"> <li>1. Blending projects (and this would also pertain to GEEREF and ElectriFI projects because of their nature) feature strongly against the Rio markers on climate change</li> <li>2. All the innovative finance instruments and their projects have an intended and positive climate change impact with GEEREF projects paying particular and systematic attention to this aspect</li> </ol>											
<b><i>JC 5.3 Degree to which the innovative financial instruments contributed to addressing market weaknesses and stimulating private sector involvement</i></b>											
<b>I-5.3.1 The extent to which the investments targeted and/or contributed to advancing or implementing energy sector reforms related to improving private sector involvement</b>											
GEEREF	DI frontier, one of the funds most active in Africa, has contributed together with others on development of a PPA:	• Interview with DI frontier management	More than satisfactory								

Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>DI frontier spent 3 years on PPA negotiations in Uganda because the standard PPA was not bankable, DI commissioned a law firm in UK to look into the PPA and later KfW took over and used this as a basis that ultimately led a standard bankable PPA in Uganda. Now 5 out of 6 DI projects are under the PPA and a total of 25 projects in Uganda have benefitted.</li> <li>Major obstacles that were addressed in the development of a bankable PPA were disagreement on uptake obligation and availability guarantee, payment security, termination conditions, clarity in taxation and customs rules</li> <li>The benefit of a standard PPA is that it can take 2 hrs instead of 2 years ...earlier bankable PPA went ahead but on a case by case basis – the new situation makes it more transparent and reduces the risk of corruption.</li> </ul>		
ElectriFI	<p>ElectriFI has a strong identification of the challenges and market imperfections that it wishes to address:</p> <ul style="list-style-type: none"> <li>Lack of equity</li> <li>Lack of skilled developers</li> <li>Lack of scale to cover transaction cost</li> <li>Lack of affordable long term debt</li> <li>Lack of interactions between LAs-CSOs and private investors</li> <li>Market imperfections to be addressed by the Convertible Grants scheme:</li> <li>Increase in risk capital to substitute for the lack of equity</li> <li>Increase long term debt availability</li> <li>Increase project scaling up possibilities</li> <li>Increase number of projects reaching financial close through structuring / arranging / advising</li> </ul>	<ul style="list-style-type: none"> <li>ElectriFI brochure/presentation May 2015</li> </ul>	Strong
	<p>One aspect of ElectriFI is that the grants are paid back when investments succeed, another is that “ElectriFI provides financing solutions to help projects / businesses overcome obstacles or otherwise reach a sufficiently mature stage that could attract private financiers.”</p>	<ul style="list-style-type: none"> <li>ElectriFI Investment criteria and guidelines, 2017</li> </ul>	More than satisfactory
	<p>There is a recognition that not just policy but also capacity is required - Electrifi, TAF, RECP combine to provide support to the enabling environment including capacity</p>	<ul style="list-style-type: none"> <li>ElectriFI- RECP- TAF – Enabling Policies for addressing climate change and energy poverty through renewable energy investments in Africa, 2016</li> </ul>	More than satisfactory
	<p>The investment climate for innovative instruments such as ElectriFI is not mature. There were very few entrepreneurs fully engaged in the sector, the awareness was low, and access to</p>	<ul style="list-style-type: none"> <li>Interviews, Liberia, Benin, CDI</li> </ul>	Strong

Summary response		Sources of information	Quality of evidence
	technology limited (a situation that still pertains). Although networks between suppliers and retailers could have developed quickly; custom duties and on-grid thinking hampered businesses. Furthermore, the access to ElectriFi was too limited by the number of potential selected projects compared to the work to be engaged in the proposal preparation. Other DPs are developing country based pipeline of comparable instruments to support access to finance.		
Blending	<p>The blending evaluation points to a contribution “mostly through technical assistance grants” to the advancement of the national policy reform agendas that were also more widely supported by the EU and other partners such as the World Bank.” - the potential of combining blending with budget support and other grant based sector support was noted in the energy sector in Egypt but was not widespread or evidenced elsewhere in the energy sector</p> <ul style="list-style-type: none"> <li>• Of the 8 sample projects within blending and energy only one had a strong policy contribution: Uganda/blending/Get Fit – support to the policy objective of a greater renewable energy in the energy mix and in particular to the feed-in tariff policy</li> <li>• Most of the TA provided to the other projects was for feasibility studies and project implementation units/support.</li> <li>• However it must be recognised that the support to WAPP and other regional power pools has had significant policy implementation (if not direct policy advice) and it has also had institutional performance elements which are critical for policy implementation and effective reforms.</li> </ul>	<ul style="list-style-type: none"> <li>• Blending evaluation 2016</li> <li>• Get Fit annual report</li> <li>• WAPP business plan</li> </ul>	Strong
	West Africa/blending/WAAP – The business plan acknowledges support from the EU in providing significant long and short term technical assistance in support of the regional energy transmission projects – the TA supported the collective policy formulation functions for developing, maintaining and updating common “rules of practice” on technical, planning, operational and environmental aspects of WAPP	<ul style="list-style-type: none"> <li>• WAPP business plan 2012-2015</li> </ul>	More than satisfactory
	In Ethiopia, the blending instruments have not been widely used due to a poor environment for more advanced financial instruments. Blending was limited because: i) the government has reached its borrowing limits particularly for hard currency commitments; ii) non-sovereign loans are not possible because the main borrowers would be the state-owned companies for generation and utility and these have not yet published financial statements.	<ul style="list-style-type: none"> <li>• EUD, MoWI, AFD interviews</li> </ul>	Strong
<b>Summary and analysis of findings for the indicator</b>			Strong
<p>1. Although the investment related initiatives can potentially support policy reforms they are first and foremost dependent on a good enabling environment in some cases even to get started. EU support to energy recognises that “Mobilising additional private investment requires first and foremost a policy and regulatory framework reflecting the countries’ needs and rendering investment sufficiently attractive.” (EU, Enabling policies for addressing climate change and energy poverty, 2016)</p>			

Summary response	Sources of information	Quality of evidence							
<p>2. In Tanzania, the enabling environment for private sector engagement in energy has deteriorated (e.g. international arbitration for solar and wind projects is no longer allowed) and REFIT tariffs are being re-negotiated- in general the risks are increasing (perhaps also in (over) reaction to a regime that was insufficiently regulated before) – the Tanzanian experience shows that the development of a stable, rewarding and competitive environment for the private sector is crucial and an important area for EU contribution but also one where it is difficult for a new donor to have influence as the example of Nigeria/Benin/ Ethiopia and elsewhere shows.</p> <p>3. In Ethiopia, the blending potential was stalled due to macro-economic constraints and lack of transparency in the newly formed generation and utility companies. Ethiopia is in need of considerable investment particularly in electrification in order to serve the majority of the population that live near to the grid but are not connected. More connections would also improve the finances of the sector. MOFEC is understandably reluctant to use scarce grant funds for large scale investment that has a revenue generating potential. Blending is an ideal vehicle for responding to these challenges but it has stalled, and there is only one EU blending project in the entire sector. The main reason for slow movement in blending is the over-indebtedness of the government which makes it difficult to issue sovereign loans. The newly created state generation and distribution companies have not yet published financial statements which make non-sovereign loans difficult if not impossible. Moreover, the pipeline of projects was dependent on the cooperating IFIs who have not yet responded the opportunities or sought means of overcoming the constraints.</p> <p>4. There is a recognition that not just policy but also capacity is required - Electrifi, TAF, RECP combine to provide support to the enabling environment including capacity</p> <p>5. The main contribution of the investment related facilities is on policy implementation through capacity and institutional development.</p> <p>6. GEEREF has shown that there are opportunities where the innovative investment approach can have a special effect by working through others and in particular enhancing the voice of the private sector in the policy and reform debate and in the development of practical policies and procedures – in the case of the bankable PPA in East Africa this is done not through altruism but because it was an investment necessity (which had wider benefits)</p>									
<b>I-5.3.2 The number and proportion of SMEs targeted and/or engaged in implementing and operating the energy facilities funded</b>									
GEEREF	<p>The GEEREF impact reports systematically report on the beneficiary SMEs</p>  <table border="1"> <caption>BENEFICIARY SMES</caption> <thead> <tr> <th>Category</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>341</td> </tr> <tr> <td>RUN-RATE</td> <td>508</td> </tr> </tbody> </table>	Category	Value	2015	341	RUN-RATE	508	<ul style="list-style-type: none"> <li>• GEEREF impact report 2015p</li> </ul>	More than satisfactory
Category	Value								
2015	341								
RUN-RATE	508								

Summary response		Sources of information	Quality of evidence
	The methodology estimates total number of small and medium-sized businesses with fewer than 250 employees that were involved in the project (including the investee companies of the funds) through a commercial agreement with the investee project company.		
	Both in Kenya and Tanzania DI is an active part of the business associations (the Renewable Energy development Association in Tanzania, and on renewable energy board of the private sector alliance in Kenya). And through these organisations DI has lobbied government with others on making a bankable PPA – e.g. Akria geothermal has led to better letter of support from GOK to allow the project to go ahead on bankable conditions. A light version of the letter of support suitable for small projects has also been made - these efforts (apart from having a beneficial policy effect) have: <ul style="list-style-type: none"> <li>made it easier for SMEs to get involved in RE projects</li> <li>strengthened the SME associations</li> </ul>	<ul style="list-style-type: none"> <li>Interview with DI frontier management (July 2017)</li> </ul>	More than satisfactory
	In Uganda 5 out of 6 projects are entirely carried out by SMEs – for hydropower the percentage is usually high but for solar and wind the equipment is usually procured from large companies	<ul style="list-style-type: none"> <li>Interview with DI frontier management (July 2017)</li> </ul>	More than satisfactory
	The earlier evaluation on environment and climate change noted that GEEREF did not have any special measures (e.g. on procurement) that were tailored to encourage SMEs	<ul style="list-style-type: none"> <li>EU, Evaluation of Environment and Climate Change 2015</li> </ul>	More than satisfactory
	The GEEREF projects in Tanzania and Rwanda both engaged with private sector entities for the development of small scale hydropower – seems it was mostly foreign owned companies that would then divest in the future	<ul style="list-style-type: none"> <li>Interviews Tanzania (DI frontier), Rwanda (DRC hydropower)</li> </ul>	More than satisfactory
ElectriFI	<ul style="list-style-type: none"> <li>The majority if not all of the ElectriFI engagements are with SMEs. It is noted for example in the call for proposals that “ElectriFI’s mission is to grow viable businesses and projects that create new connections to reliable and sustainable energy in developing and emerging markets”</li> </ul>	<ul style="list-style-type: none"> <li>ElectriFI investment criteria and guidelines, 2017</li> <li>Interviews Rwanda</li> </ul>	More than satisfactory
	<p>Stipulations in the investment criteria guidelines imply that it is more medium than small (and not micro) enterprises that are targeted:</p> <ul style="list-style-type: none"> <li>Amount: The maximum amount of any financing solution supplied by ElectriFI will be EUR 10 million (or USD / local currency equivalent). The minimum amount is EUR 500.000 (or USD / local currency equivalent)</li> <li>A financial model, including a minimum of three years of historic data, project projections and assumptions, must be uploaded with the Application.</li> </ul>		



Summary response		Sources of information	Quality of evidence
	<p>It is also clear that in most cases medium sized enterprises would be able to make use of the funds and avoid large transaction costs which would be difficult for a small lean and centrally based organisation like ElectriFI to manage.</p> <p>The company supported is a a small national Rwandan company (Small and Medium Enterprise (SME)) in their 4th hydropower project and their first project on a non-grant basis</p>		
	<p>The relatively high failure rate of ElectriFI applications indicates that more attention needs to be paid to supporting entrepreneurs- “The immature financial sector is not supportive of local entrepreneurs entering this market” ZM13 “<i>It is an endemic problem in Zambia to lack ability to develop bankable projects</i>” ZM13 “<i>The weak point in proposals – no one willing to finance a feasibility study</i>” ZM01 Only one in 26 applications were approved in Zambia apparently due to poor project preparation.</p>	<ul style="list-style-type: none"> <li>• Interviews in Zambia and Benin</li> <li>• Records on ElectriFI applications</li> </ul>	More than satisfactory
Blending	<p>There were relatively few SMEs supported in energy via blending – the SUNREF project in East and West Africa was a good example of the potential</p>	<ul style="list-style-type: none"> <li>• Blending project profiles</li> </ul>	More than satisfactory
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>1. The opportunity to involve SMEs by tailoring procurement and other procedures is not yet fully implemented –</li> <li>2. There has been involvement of SMEs especially in the African GEEREF projects (DI) which appears promising</li> <li>3. Support to SME organisations is also evident in the case of GEEREF/DI</li> <li>4. It might be difficult and self-defeating for a lean and centrally based initiative like ElectriFI to reach out to small enterprises as they need support even at the call for proposals stage – however they can and do work with RECP and there are also many other project preparation facilities especially in Africa.</li> </ol>			Strong
<p><b>I-5.3.3 The initiatives responded to strategic gaps (or avoided unnecessary duplication) compared to other initiatives funded by other development partners.</b></p>			
GEEREF	<p>GEEREF is not considered market distorting as it offers funds to the fund manager (DI) as the same level as an any other investor</p>	<ul style="list-style-type: none"> <li>• Interview with DI frontier management (July 2017)</li> </ul>	More than satisfactory
	<p>There are efforts where there is evidence of project owners/rights holders getting financiers to compete and driving the return to below the sustainable level (14-15% for East Africa, compared to 8-9% for wind in Europe)</p>	<ul style="list-style-type: none"> <li>• Interview with DI frontier management (July 2017)</li> </ul>	More than satisfactory
	<p>The main benefit arising is the professionalism in financial closure and making sure of a high quality projects, this is more important than the capital</p>	<ul style="list-style-type: none"> <li>• Interview with DI frontier management (July 2017)</li> </ul>	Strong
	<p>The construction of the hydropower projects in Tanzania did share risks by creating a mix of equity and loan financing</p>	<ul style="list-style-type: none"> <li>• Interviews, Tanzania, DI frontier</li> </ul>	Strong

Summary response		Sources of information	Quality of evidence
ElectriFI	The ElectriFI policy states that: "ElectriFI will remain additional to other funders. Given the characteristics of the facility, it will be able to assume a significant level of risk, but will nevertheless seek alignment with other investors and expect a commensurate return." This policy indicates that the issue of additionality and duplication has been considered – it is too early to tell if the policy has been successfully applied just that the "intentions" are well intentioned	<ul style="list-style-type: none"> <li>ElectriFI information sheet October 2016</li> </ul>	More than satisfactory
	The American presidential initiative Power Africa agreed to contribute USD 10m to ElectriFI based on the overwhelming demand in Round 1 – this is a positive signal that ElectriFI is recognised by a non EU initiative as responding to a strategic gap.	<ul style="list-style-type: none"> <li>ElectriFI information sheet October 2016</li> </ul>	More than satisfactory
	A recent study on the financing gap for energy in Africa points to the need for participation of development funding at the early and more risky stage leaving private sector (commercial) funding for the later less risky stages. ElectriFI tends to fulfil this niche.	<ul style="list-style-type: none"> <li>Brookings Institute Policy Brief on closing the financing gap for African Energy Infrastructure, April 2017, p3</li> </ul>	Indicative but not conclusive
	The ElectriFI projects in Tanzania and Rwanda did not demonstrate any technical or financial innovation in an international context but in the case of Tanzania they did support a technology (solar power grid) that was for a first time implemented on a large scale. In the case of Rwanda the innovation was the involvement of a local entrepreneur.	<ul style="list-style-type: none"> <li>Interviews Rwanda and Tanzania</li> </ul>	Indicative but not conclusive

Summary response	Sources of information	Quality of evidence																																				
<p>Blending</p> <p>An independent study on project preparation facilities in Africa (2012) funded by the AfDB noted that whilst project preparation funding facilities for infrastructure in Africa are numerous and highly fragmented – The EU AITF was favourably assessed in terms of its regional focus and its focus on middle to late stage projects. It also notes that the EU AITF has dominated in terms of scale. Out of 14 project preparation facilities examined only EU-AITF and the WB PPIAF are scored high in relevancy and effectiveness (whilst both being scored medium in difficulty or targeted towards addressing difficult challenges) (p12). Only EU-AITF and PIDG-TAF scored high for management cost effectiveness, timeliness and adequacy of human and financial resources (p13)</p> <p><b>TABLE 1</b> PROJECT PREPARATION FACILITIES BY FOCUS</p> <table border="1"> <thead> <tr> <th>AFRICA INFRASTRUCTURE PROJECT PREPARATION</th> <th>GLOBAL INFRASTRUCTURE PROJECT PREPARATION</th> <th>AFRICA INFRASTRUCTURE (GENERAL)</th> <th>GLOBAL INFRASTRUCTURE (GENERAL)</th> </tr> </thead> <tbody> <tr> <td>COMESA-PPIU</td> <td>AFFI-TAF</td> <td>EU-AITF</td> <td>ESMAP</td> </tr> <tr> <td>DBSA-EIB PDSF</td> <td>PPIAF</td> <td>AWF</td> <td>PIDG-TAF</td> </tr> <tr> <td>ECOWAS PDDU</td> <td>InfraVentures</td> <td>SEFA<sup>3</sup></td> <td></td> </tr> <tr> <td>NEPAD IPPF</td> <td>DEVCo</td> <td></td> <td></td> </tr> <tr> <td>NEPAD PPFs</td> <td></td> <td></td> <td></td> </tr> <tr> <td>SADC PPDF</td> <td></td> <td></td> <td></td> </tr> <tr> <td>InfraCo Africa</td> <td></td> <td></td> <td></td> </tr> <tr> <td>USAID AIP</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>6 ASSESSMENT OF PROJECT PREPARATION FACILITIES FOR AFRICA</p>	AFRICA INFRASTRUCTURE PROJECT PREPARATION	GLOBAL INFRASTRUCTURE PROJECT PREPARATION	AFRICA INFRASTRUCTURE (GENERAL)	GLOBAL INFRASTRUCTURE (GENERAL)	COMESA-PPIU	AFFI-TAF	EU-AITF	ESMAP	DBSA-EIB PDSF	PPIAF	AWF	PIDG-TAF	ECOWAS PDDU	InfraVentures	SEFA <sup>3</sup>		NEPAD IPPF	DEVCo			NEPAD PPFs				SADC PPDF				InfraCo Africa				USAID AIP				<ul style="list-style-type: none"> <li>CEPA et al, Assessment of project preparation facilities in Africa, 2012 p12</li> <li><a href="https://www.icafrica.org/fileadmin/documents/Knowledge/ICA_publications/ICA-PPF-Study%20Report-ENGLISH-VOL%20A.pdf">https://www.icafrica.org/fileadmin/documents/Knowledge/ICA_publications/ICA-PPF-Study%20Report-ENGLISH-VOL%20A.pdf</a></li> </ul>	<p>Strong</p>
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<p><b>FIGURE 2</b> MAPPING OF KEY PPFs</p> <p>Key:</p> <ul style="list-style-type: none"> <li>Africa infrastructure project preparation (Blue)</li> <li>Africa infrastructure facility (Orange)</li> <li>Global infrastructure project preparation (Grey)</li> <li>Global infrastructure facility (Green)</li> </ul>	<ul style="list-style-type: none"> <li>as above</li> </ul>																																																																																																																															
<p><b>PPFs in Sub-Saharan Africa and their Project Development Stage Focus Areas</b></p> <table border="1"> <thead> <tr> <th></th> <th>Enabling</th> <th>Concept</th> <th>Pre-feasibility</th> <th>Feasibility</th> <th>Development</th> <th>Structuring</th> <th>Financing</th> <th>Construction</th> </tr> </thead> <tbody> <tr> <td>Electrification Finance Initiative (ElectriFI)</td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>Sustainable Use of Natural Resources and Energy Financing (RTAP-SUNREF)</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>Energy and Environment Partnership Program of Southern &amp; East Africa (EEP S&amp;EA)</td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>U.S. Trade and Development Agency (USTDA)</td> <td>✓</td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> </tr> <tr> <td>U.S.-Africa Clean Energy Finance Initiative (ACEF)</td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> </tr> <tr> <td>Infrastructure Development Collaboration Partnership Fund (DevCo)</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> <td></td> </tr> <tr> <td>Climate Investor One (CIO)</td> <td></td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>InfraCo Africa</td> <td></td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> </tr> <tr> <td>Climate Technology Initiative Private Financing Advisory Network (CTI PFAN)</td> <td></td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> </tr> <tr> <td>Sustainable Energy Fund for Africa (SEFA)</td> <td></td> <td></td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> </tr> <tr> <td>NEPAD Infrastructure Project Preparation Facility (NEPAD-IPPF)</td> <td></td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> <td></td> </tr> <tr> <td>Africa Renewable Energy Fund Project Support Facility (AREF-PSF)</td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Seed Capital Assistance Facility Phase 2 (SCAF II)</td> <td></td> <td></td> <td></td> <td>✓</td> <td>✓</td> <td>✓</td> <td></td> <td></td> </tr> </tbody> </table>		Enabling	Concept	Pre-feasibility	Feasibility	Development	Structuring	Financing	Construction	Electrification Finance Initiative (ElectriFI)		✓	✓	✓	✓	✓	✓	✓	Sustainable Use of Natural Resources and Energy Financing (RTAP-SUNREF)	✓	✓	✓	✓	✓	✓	✓	✓	Energy and Environment Partnership Program of Southern & East Africa (EEP S&EA)		✓	✓	✓	✓	✓	✓	✓	U.S. Trade and Development Agency (USTDA)	✓		✓	✓	✓	✓	✓		U.S.-Africa Clean Energy Finance Initiative (ACEF)		✓	✓	✓	✓	✓	✓		Infrastructure Development Collaboration Partnership Fund (DevCo)	✓	✓	✓	✓	✓	✓			Climate Investor One (CIO)			✓	✓	✓	✓	✓	✓	InfraCo Africa			✓	✓	✓	✓	✓		Climate Technology Initiative Private Financing Advisory Network (CTI PFAN)			✓	✓	✓	✓	✓		Sustainable Energy Fund for Africa (SEFA)				✓	✓	✓	✓		NEPAD Infrastructure Project Preparation Facility (NEPAD-IPPF)			✓	✓	✓	✓			Africa Renewable Energy Fund Project Support Facility (AREF-PSF)		✓	✓	✓					Seed Capital Assistance Facility Phase 2 (SCAF II)				✓	✓	✓			<ul style="list-style-type: none"> <li>Power Africa, PPF toolbox, USAID</li> </ul>	
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<p>Africa investor (Ai), a leading international investment and communications group, recently announced that AITF was winner of the 2017 Ai Infrastructure Project Developers Awards for “Project Preparation Facility of the year”</p>	<ul style="list-style-type: none"> <li><a href="http://www.eu-africa-infrastructure-tf.net/infocentre/press/eu-">http://www.eu-africa-infrastructure-tf.net/infocentre/press/eu-</a></li> </ul>	<p>Strong</p>																																																																																																																														

Summary response	Sources of information	Quality of evidence
	africa-infrastructure-wins-award-.htm	
<p>The blending projects did respond to strategic needs for the most part (although in some cases they went ahead even if not all institutional and economic challenges were addressed)</p> <ul style="list-style-type: none"> <li>• The Tendaho geothermal project, Ethiopia, funded by blending has a high grant element with the rationale that the geological investigations are highly risky. The EU insisted that the grant is returned should the project be a success. This was a good decision as it will ensure that the grant funds are directed towards de-risking rather than providing a pure subsidy to operations of state owned company</li> <li>• However, by design the DisCos blending project in Nigeria directly targeted a major market bottleneck, i.e. credit line to finance power distribution companies ...but it was also noted ““The Agence Française de Développement (AFD) is busy developing a non-sovereign financing facility for DisCos whereby the AFD provide loans to banks for on-lending to DisCos. There is a potential danger that the structure of this initiative will increase systemic financial risk because two of the same banks who have already financed some of the DisCos are involved. In addition, only the commercially most viable DisCos are targeted, a selective strategy that will not benefit Nigeria as a whole.” (TAF, 2015)</li> <li>• In Nigeria the PanAfrica Katsina 87 MW solar power plant design however did not clearly demonstrate how it addressed market weaknesses. Although the overall financial and organisational model looked innovative, structural bottlenecks remained. A transmission line needs to be funded and constructed to connect the solar farm to the city of Katsina. If the project had to assume this cost then the power cost would not be competitive.</li> </ul>	<ul style="list-style-type: none"> <li>• Application to the blending facility, Interviews ET03).</li> <li>• interview NIG 03/11/12/20, DisCos and Katsina project fiches, TAF report 2015).</li> </ul>	Strong
<b>Summary and analysis of findings for the indicator</b>		Strong
<ol style="list-style-type: none"> <li>1. There are numerous facilities aiming at providing finance for energy in Africa. Although attempts have been made at an overview there is also indication that the efforts are fragmented and not necessarily pulling together in the same direction. As many of the facilities are regional and cover many countries the country situation and needs may not be taken into account. PowerAfrica have developed an overview of finance instruments and initiatives for energy in Africa and have identified 91 different instruments that provide debt finance/ equity/risk capital/loan guarantees/grant funding/ mezzanine funding/ insurance and others. Electrifi and EAU-AITF are noted but not GEEREF.</li> <li>2. There is an issue around the use of subsidies and whether they distort the market: some view points expressed in interviews are given below. They indicate that country specific situations are not being taken into account and that a fully understanding of the effect of subsidies are not known. <ul style="list-style-type: none"> <li>• <i>“There is too much money in so called innovative structure and they are not adding a benefit but making a lot of noise e.g. renewable energy platform, climate investor one, green energy.”</i></li> </ul> </li> </ol>		

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• For example in Kenya there is USD 300-400 million in off grid energy which is crowding out the private sector – they offer 400 basis points for 18 years instead of what the market can bear which is 600 basis points for 12 years</li> <li>• Feasibility support goes to inexperienced developers and the reports are not done well enough and seldom lead to viable projects or projects where that report did not have to be re-done</li> <li>• To some extent this tendency means that money goes to where it is “sweetest” in terms of subsidies rather than to the most expert fund managers</li> <li>• There is a tendency for hybrid, grant rich funding of RE to crowd out market players. The grant tends to end up in the hand of those that have concessions or rights as it allows them to demand higher fees with the result that the project becomes commercially unsustainable without the subsidies.</li> <li>• Much of the subsidies are highly distortive and captured by those already well in place</li> <li>• There is no shortage of projects and people willing to develop them and no shortage of capital. There is strong competition for capital for large projects near closure and less strong for small projects far from closure</li> <li>• Pure subsidies are not de-risking the investment grants – there is no known study but the evidence is there – for example is there a correlation between sector funding and projects that have reached closure?</li> <li>• Donors should focus on framework conditions</li> <li>• GET fit in Uganda, the subsidy was on the tariff, that is better and mimics a better market for all players. TANESCO in TZ cannot pay the suppliers so financiers run away, a loan guarantee or similar scheme would help to bridge that market failure (the FIT is ok)...in Zambia the govt subsidies the mines so the electricity price is low, so the FIT is a problem for small hydro.</li> <li>• Grant funding is a short lived and easily misused, where it was not needed,</li> <li>• FIT are short term successes ...in the long term they do not work so well, it sustains a practice that involves subsidies that cannot be sustained... you often get a situation where it is good for the particular project but not good in general for the sector and market (note to self- I think he is thinking about some of the Western European mistakes and badly designed FIT but he is also right that better design on such processes are needed)</li> <li>• Finance has to look beyond the client, the winners are much fewer and the losers are many in grant operations if they distort the market</li> </ul> <p>3. There is not enough analysis and research to fully conclude if the EU funding is overlapping or harmful. However the indications from independent sources is that the 3 approaches examined (GEEREF/ElectriFI / Blending- EU-AITF) are fulfilling a needed niche and their performance is good in terms of being non-distortive. In a number of countries the stake holders noted that <i>“That will take at least a decade before concessional loans will distort the local banking market –and not only in Tanzania, but in all East Africa- because the local banks have either not the financial capacity for the larger projects or are not interested in the small projects. What one certainly distorts is the policy perception”</i> TZ07</p> <p>4. There is a balance between targeting very difficult challenges and being self-defeating – it appears from the performance scoring that responding to more difficult challenges the main area of improvement</p> <p>5. The niche or value added appears to be the quality of project preparation and support more than the access to finance- the link to RECP (financial catalyst) is important here as in the case of the GEEREF projects in Tanzania the main effect was to address management and institutional constraints.</p>		

Summary response		Sources of information	Quality of evidence
<p>6. In Zambia the EUD persuaded the EIB to open an office – the ability of the innovative financial instruments to identify, target and respond to strategic gaps and avoid duplication is strongly influenced by their knowledge of local conditions and proximity to their clients.</p> <p>7. The EU innovative financial mechanisms (under ElectriFI and GEEREF) have focussed on hydropower generation in a context where Rwanda currently has over capacity with negative consequences for affordability as the take-or-pay contracts are expensive. The projects do not appear to respond strongly to special challenges or address market weaknesses as there are many other market players engaging in very similar projects. In the long term they contribute to generation capacity. In the shorter term the policy focus is on transmission and distribution and on the demand side, which these projects do not address. The Mobisol project (financed under the Energy Facility), although suffering delays, is in many ways more innovative and responds to social needs (schools and Tier 2 consumers in off-grid areas).</p>			
<b>JC 5.4 Degree to which the management of the innovative financial instruments was streamlined and supported achievement of the goals</b>			
<b>I-5.4.1 The demand for and awareness raising actions of the initiatives were adequate</b>			
GEEREF	<p>The demand for and awareness raising actions of the initiatives is outsourced to the regional funds which have an in-country presence</p> <ul style="list-style-type: none"> <li>the pipeline development process of DI Frontier as an example of a fund operating in a LDC were found to be adequate</li> </ul>	<p>GEEEREF prospectus Interview with DI frontier</p>	More than satisfactory
	DI do a lot of the early identification from maps and surveys or from contact to very early stage developers	Interview with DI frontier	More than satisfactory
ElectriFI	<ul style="list-style-type: none"> <li>The demand appears high given that 300 applications were made for the first round</li> <li>In Rwanda (and the other countries visited) the high failure rate (12 out of 13) of the ElectriFI applications (in Rwanda) and REPRO uncertainty about the terms of conditions of the loan suggests that more could be done to make the conditions of the facility clearer (JC 5.4, I5.4.1, interview with RW06 data on approvals from ElectriFI).</li> <li>ElectriFI awareness raising made use of country communication channels, although the EUD has little contact and knowledge about the outcome of ElectriFI applications (at least until the due diligence visit) (JC 5.4, I5.4.1, RW01). It was Rwanda Development Board that brought the ElectriFI call for proposals to the attention of REPRO (interviews RW06/13).</li> <li>In Liberia, Benin and also Cote D'Ivoire (and other countries besides) ElectriFI is not well known, the lack of in-country presence was found to be problematic – the instrument was not known and well-adapted to the country context and the EUD was not well equipped to promote the use of innovative instruments. On ElectriFI : « J'ai rempli un formulaire, puis un expert est passé pour demander des informations supplémentaires. Nous ne les avons pas. Nous aurions eu besoin d'un appui ; expert pour nous aider dans la formulation de ces projets. » BEN 22</li> </ul>	<ul style="list-style-type: none"> <li>ElectriFI presentations</li> <li>Interviews Rwanda, Liberia, CDI, Benin (EUD and others)</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
Blending	The EU -AITF is well known and cited and mentioned in all major studies on financing of African Infrastructure	<ul style="list-style-type: none"> <li>Power Africa tool box</li> <li>CEPA study on PPF</li> </ul>	Strong
	The EU-AITF has been operational for many years and is now well known by potential clients and also the regional economic communities such as SADC/EAC/COMESA/ECOWAS (especially as the source of funding is mainly from the regional envelopes -	<ul style="list-style-type: none"> <li>EASAI0 evaluations report (draft) July 2017</li> </ul>	
	It is the IFIs that do most of the demand raising and awareness raising – where they have been established in a sector for a long time then there is considerable awareness and demand. The AFD but also other IFIs have special websites for their products (which are co-financed or supported by blending grants). There is an in-built incentive to attract clients.	<ul style="list-style-type: none"> <li>AFD websites</li> </ul>	
<b>Summary and analysis of findings for the indicator</b>			Strong
<ol style="list-style-type: none"> <li>The demand raising is the responsibility of IFIs/ Fund managers for Blending/GEEREF and is decentralised – the case of lean and centralised initiatives such as Electrifi makes demand raising more challenging except to the extent that they can engage with other efforts (such as RECP)</li> <li>In country presence and technical expertise of IFIs/fund managers is important - use of partners e.g Rwanda Development board – also involvement of the EUD is sub-optimal (very few were aware of the Electrifi applications)</li> <li>Long term involvement e.g. EI-AITF is useful for pipelines development</li> </ol>			
<b>I-5.4.2 The procedures and processes of the initiatives were streamlined and did not impose undue delays or costs</b>			
GEEREF	The procedures and processes of the initiatives were streamlined and did not impose undue delays or costs. <ul style="list-style-type: none"> <li>From DI reporting there were cases of wasted efforts on either the investment fund or the project investors quite a few delays due to land and also due to opportunistic claims (dealt with by putting in place socio-economic surveys and grievance processes at community level etc)</li> </ul>	<ul style="list-style-type: none"> <li>Interview DI frontier</li> </ul>	More than satisfactory
	GEEREF as LP does not demand more than others, so no particularly transaction costs (GEEREF finds the dual board and investment committee presence of EU is problematic)	<ul style="list-style-type: none"> <li>Interview DI frontier</li> </ul>	More than satisfactory
	GEEREF's Regional Fund Support Facility (RFSF) funded by the European Commission makes funding available to allow nascent fund managers to fill gaps – recruiting technical experts, hiring specialist advisors, developing investment and monitoring capabilities – this was evident in the case of DI frontier- it helped to streamline the process and bring on professional project management and site supervision skills.	<ul style="list-style-type: none"> <li>Interview DI frontier</li> <li>GEEREF impact report 2015</li> </ul>	More than satisfactory



Summary response		Sources of information	Quality of evidence
	Seems very difficult to obtain overhead costs – in both Tanzania and Rwanda there were observations that the interest rates were at commercial levels and the target of the subsidy was questioned	<ul style="list-style-type: none"> <li>Interviews Rwanda, Tanzania</li> </ul>	Indicative but not conclusive
ElectriFI	The time period between receipt of application and selection is rather short Phase 1 (May/June 2016) ~ 300 applications, Phase 2 (June and Q3 2016). Taken initially down to 19 and then 12	Electrifi Presentation May 2016, slide 3 Interview with Electrifi	More than satisfactory
	The call for proposals has a light application for the first stage just 2 hours to fill out. application is now being more strict for the 2nd call and targeting the more “ready” cases and those where RECP could help. There has been some learning now Electrifi are more confident and can better tailor the calls.	Electrifi Application form Interview with Electrifi	More than satisfactory
	The Electrifi process from application to “proposal development” approval was swift and although the proposal development itself has been more lengthy (9 months) the company has no complaints about the level of bureaucracy as the proposal development has also helped to ensure a well-prepared project by insisting on high quality studies and supportive documentation	<ul style="list-style-type: none"> <li>Rwanda, interview RW06</li> </ul>	More than satisfactory
	Electrifi conditions (which are under negotiation) appear to have taken into consideration the need to avoid undermining the national banking sector as the interest rate under offer is at commercial levels – although it could also be argued that the additionality is relatively small and that there may be considerable banking margins given the concessional funding available.		More than satisfactory
	<ul style="list-style-type: none"> <li>“WB is selling the same approach. Sweden is going to do the same. We will team-up with Sweden to build a window of finance. Idea good, but EU tool is not mature.”</li> <li>“The regulatory framework is too complex for entrepreneurs. We have broken down the main policy messages. It was too complex”</li> <li>“EU CfP can only be answered by organisations that already know there procedures”</li> <li>“It is complex and time consuming to submit concept note”</li> <li>Local entrepreneurs found it challenging to submit proposal for Electrifi and more generally to build a finalised project that may attract the attention for support. They would strongly benefit of TA support in the formulation of their project proposal. (CDI 10, Interviews)</li> </ul>	<ul style="list-style-type: none"> <li>Liberia (L01/07) /CDI (CDI10) interviews</li> </ul>	More than satisfactory
Blending	The blending evaluation pointed to practices on procurement regulations and on the pari-passu arrangements <ul style="list-style-type: none"> <li>There was evidence of challenges of harmonisation particularly in Zambia - the evaluation team found through several of the interviews with stakeholders that as noted in the foregoing, there were delays due to rigid EU procedures and also due to a division of labour that was in some cases</li> </ul>	<ul style="list-style-type: none"> <li>EU, Evaluation of Blending, 2017</li> <li>Interviews, ZM05/ZM15 (Zambia country visits)</li> <li>Interviews CDI 01/05/06/10 country visit</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence
<p>unclear and not fully harmonised with IFI partners. <i>“For the Kariba Dam, the start was rocky – the difficult part was to get the coordination going, challenges with different systems of different financiers – this led to delays” ZM05 In ITT 3 lending institutions supporting the same project with 3 different drawdown rules made it complicated” ZM15</i></p> <ul style="list-style-type: none"> <li>The management of the innovative financial instruments (i.e. blending) has apparently led to increase in time to process project formulation and delays due to risk evaluations and setting-up joint-agreements. (JC 5.4, I 5.4.2,</li> </ul> <p>MRI arrangements are highly beneficial</p> <p>Perception for many IFIs is that the EU commenting process is very time consuming and inefficient</p> <p>Some (older) blending projects in Nigeria were not owned by EUD and GoN but driven by the EU headquarters. EUD and GoN were insufficiently engaged in the blending design process, which may affect transparency and their ability to manage the projects.</p> <p>There were delays in approval and implementation of projects supported by innovative financial instruments (e.g. blending). There were also concerns on the transparency of project approvals</p>	<ul style="list-style-type: none"> <li>EU, Evaluation of Blending, 2017</li> <li>EU, Evaluation of Blending, 2017 (interviews with IFIs)</li> <li>Interviews NIG 03/14/ITF monitoring report).</li> </ul>	
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>The facilities of GEEREF/ ElectriFI and the blending facilitates are characterised by high quality project management which although costly does save money and is efficient in the long run – as noted by an IMF study in 2015 that <i>“estimates that about 40 percent of the potential value of public investment in low-income countries is lost to inefficiencies in the investment process due to time delays, cost overruns, and inadequate maintenance. Those inefficiencies are often the result of undertrained officials, inadequate processes for assessing needs, and preparing for and evaluating bids and corruption.”</i> While many countries have managed to sustain infrastructure investment levels, financed by a mix of domestic resources and external financing, outcomes have not always improved accordingly, suggesting limited investment efficiency. Regulatory and capacity constraints in project development and implementation are also important obstacles to boosting the quality of infrastructure investment and outcomes.</li> <li>Some challenges on transactions costs are noted in the blending evaluation</li> <li>Overhead/ transaction / fund manager fees overview is not easy to obtain</li> </ol>	<p>International Monetary Fund (IMF). 2014. Sub-Saharan Africa: Staying the Course; World Economic and Financial Surveys: Regional Economic Outlook (REO), October. Washington, DC.</p>	<p>Strong</p>



## EQ6 Efficiency

Rationale: EU commitment to the SE4All initiative, achieving SDGs and the Paris Agreement has called for an increased focus on energy and resources allocated to the sector. The key question of EQ 6 is how efficiently EU has managed the transition from relatively low levels in 2007-2013 to much higher levels in the new programming period 2014-2020.

EU has developed a set of instruments targeting different strategic priorities: i.e. mainstreaming energy in development policies through policy, enabling reforms, enhancing stakeholders, institutional and entrepreneur capacities, raising awareness and leveraging investments. These instruments sometimes address multiple priorities. JC 6.1 therefore examines EU allocative efficiency and ask:

- If resources have been allocated to strategic priorities
- If the level of resources (i.e.; human and financial inputs) were proportionate to the results achieved in terms of strengthening an enabling environment for RE, access, and EE.

EU has increased its instruments and implementation modalities over time to support new strategic priorities and to better align with the energy sector needs. JC 6.2 2 considers the cost- efficiency of EU instruments and implementation modalities in supporting an enabling environment for access, RE and EE. It examines:

- How the different implementation modalities were managed to minimise transaction costs.
- The efficiency of the aid mix evaluated by potential synergies between the instruments.

JC 6.3 focuses on EU organisational performance and examines evidence that human resources were appropriately mobilized and coordinated, as well as whether EU monitored the projected implemented through its different instruments to track their relevance and efficiency over time.

Finally, JC 4 examines EU interventions visibility.

Coverage: The question considers aspects across all selected interventions (policy support, capacity development, and investments).

Link with OECD/DAC evaluation criteria: The EQ addresses the efficiency (extent to which outputs have been delivered relative to the costs of intervention)

Link with 3Cs: EQ 6 relates to coordination and complementarity of EU sustainable energy cooperation instruments and implementation modalities (because poor coordination leads to duplication and inefficiency)

Link with IL: EQ 6 focuses on whether EU had/has the adequate resources (time, capacity, knowledge and funds available at HQ and EUDs level) and allocated them efficiently to deliver the planned outputs and outcome.

## JC 6.1 Degree to which EU efficiently mobilised its capacity (i.e. financial resources) to strengthen an enabling environment for access, RE and EE (Financial resources/physical verifiable outputs)

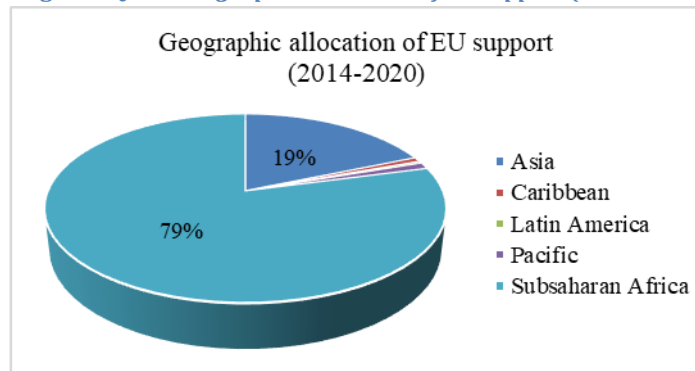
### Summary for JC 6.1

- EU support to sustainable energy targeted a large number of countries with different context challenges.
- The strategic allocation of EU funds was well balanced and contributed to strengthening the enabling environment for RE, access and EE.
- Even though the proportion allocated to supporting policy and technical cooperation was high, it was not disproportionate to the sector needs.
- From 2014, EU increased its support to policy and technical cooperation, in response to lessons learnt.
- The scale of resources allocated to policy dialogue was small compared to the outputs delivered.
- The Energy Facility made good use of available resources to raise awareness on sustainable energy and to deliver projects, but it was less successful in creating an enabling environment.

**Conclusion:** JC partly validated

**EU support to sustainable energy targeted a large number of countries with different context challenges.** Between 2011 and 2013 the EU supported more than 175 projects in around 50 countries. Although during the second financing period (2014-2016) the number of targeted countries were reduced, EU was still engaged in around 30 countries through geographic, blending and thematic support. 97% of allocated budget was directed towards low and low middle economy countries. Among the 27 countries with energy as a focal sector, half of them were fragile states and/or considered as “High Impact Countries”<sup>84</sup>, with very few development partners engaged in the sector, and weak policy and regulatory framework. (RISE, 2016). The figure EQ 6.1 below shows that Sub-Saharan Africa represented around 79% of allocated geographic funds, which is also the region with the highest energy deficit. However, the dispersion over the 20 countries supported in the Sub-Saharan region implied that the average allocated funds per country was around 90 Million Euros, while for Asia region this average reached 180 Million Euro. The geographic dispersion also meant that the EU had to engage with a wide range of different national contexts. (Indicator 6.1.1)

**Figure EQ 6.1: Geographic allocation of EU support (2014-2020)**

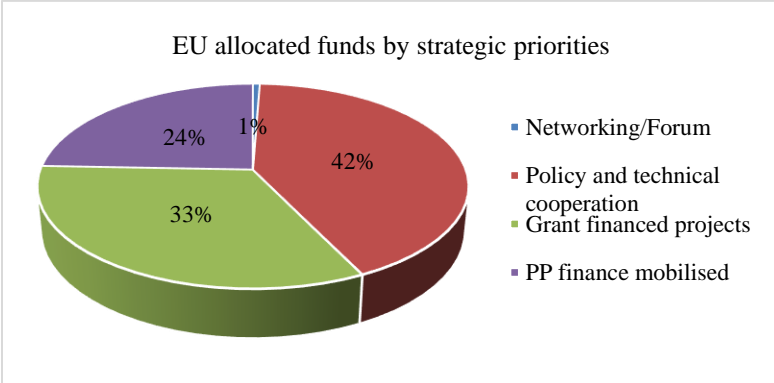


**The strategic allocation of EU funds was well balanced and contributed to strengthening the enabling environment for RE, access and EE.** Over the period 2011-2016, 57% of EU funds to

<sup>84</sup> High Impact countries were defined as countries with: highest electricity access deficit, lowest electrification rate, Fragile States, and other indicators related to energy efficiency and renewable generation capacity.

sustainable energy cooperation were allocated to implementation whether through conventional co-funding of grant of projects or leverage of public and private loan-based finance. 42 % of the total EU sustainable energy cooperation budget 2011-2016 was allocated to policy and technical cooperation. Over the period and across all the countries, there is a balance between policy, capacity and investment which is judged as in proportion to the needs for strengthening the enabling environment and the needs to stimulate physical improvements through investment and demonstration of technology. (see Figure EQ6.2 below) (Indicator 6.1.1)

Figure EQ6.2: EU allocated funds by strategic priorities



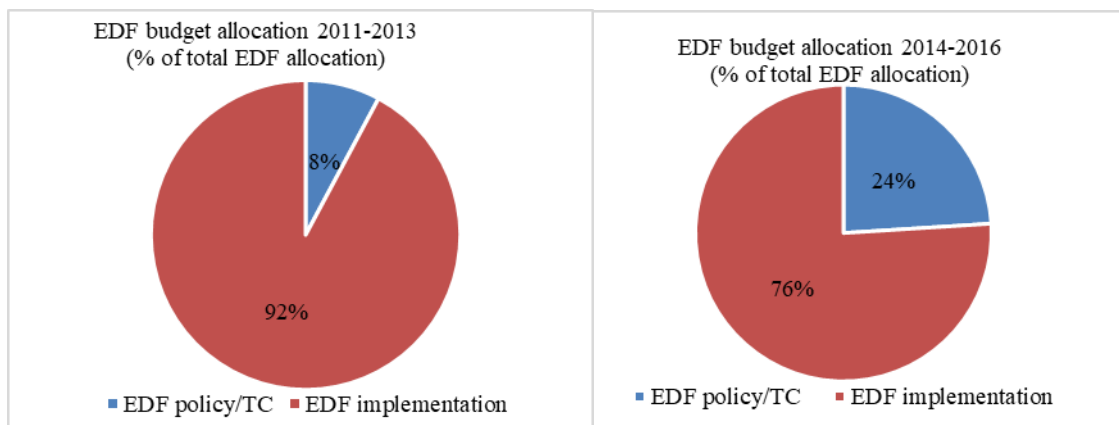
**Even though the proportion allocated to supporting policy and technical cooperation seems high, it was not disproportionate**

**to the sector needs.** The priority on supporting the enabling environment was consistent with EU overall development cooperation strategy to support countries in reforming the sector so they can raise domestic and commercial finance for implementation. EU support targeted LDCs, for which the policy framework and absorption capacity was weak and the needs for policy and technical cooperation support correspondingly high. Furthermore, there was a recognition that before 2014 the EU did not allocate enough resources to policy and technical assistance. Under the second financing period (2014-2020), the EU significantly increased its support, multiplying by three the funds allocated to these areas. (CRIS data, using DAC codes). In Sub-saharan Africa these investments were most needed. The situation of the sector in most countries was characterised by a low absorption capacity, such as in Benin and Liberia, weak institutional and regulatory frameworks (RISE report 2016), and the bankruptcy of national utilities, like the DISCOs in Nigeria and TANESCO in Tanzania. (Indicator 6.1.1)

**From 2014, EU increased its support to policy and technical cooperation in response to lessons learnt.** As indicated in Figure EQ6.33 below, the share of EDF funds allocated to policy and technical cooperation within the country sample<sup>85</sup> increased significantly between the two programming periods from around 8% to around 29%. (Indicator 6.1.1)

Figure EQ6.3 EDF budget allocation to policy/technical cooperation and implementation 2011-2016

<sup>85</sup> Zambia, Rwanda, Tanzania, Ivory Coast, Benin, Liberia, Nigeria and Ethiopia



The number of policy-driven and technical cooperation interventions also significantly increased under the second programming period. (See Figure EQ6.4 below)

**Figure EQ6.4 Number of projects per strategic area of intervention**



**The scale of resources allocated to policy dialogue was small compared to the outputs delivered.** With 1% of the total EU sustainable energy cooperation budget, the EUEI and AEEP as policy dialogue platforms have:

- Enabled the energy to be addressed in EU, MS and partner country development plans.
- Contributed to increased commitments to the energy sector, both from MS and partner countries from € 5 Billion in 2012 to € 9 Billion in 2014 (AAEP, 2106).
- Raised the number of country partnerships (AAEP, 2106) and built trust as indicated by the increase in NIPs with energy as focal sector from 3 in the first programming period to around 20 in the second period
- Delivered around 100 activities, such as strategic studies, high level meetings and forums, as well as technical assistance. (EUEI 2016) (Indicator 6.1.2)

**The Energy Facility made good use of available resources to raise awareness on sustainable energy and to deliver projects, but it was less successful in creating an enabling environment.** With around 20-25% of the EU funds mobilised for implementation, the energy facility:

- Generated around 100 pro-poor projects.

- Allowed “*the Commission to substantially address for the first time the issue of energy access in its development cooperation*”. (Court of Auditors report, 2014)
- Raised awareness on business models and technological systems through demonstration projects. (Interview DEM, august 2017)

However, it was less successful in mobilising finance, and in training as well as capacitating staff. The energy facility covered between 50 and 60% of the total project costs<sup>86</sup> for projects that may have not been financially viable otherwise. (Interview DEVCO, March and May 2017, Interview DEM, august 2017). There were very few cases of replication, pointing out the lack of sustainability and self-sustaining business models. In Ethiopia, energy facility projects were dependent on continued inputs from NGOs. Furthermore, there were evidences that the selection process overall did not contribute to increase the number of trained and capacitated private entrepreneurs. (Indicator 6.1.3)

**Conclusion:** JC partly validated. EU strategically allocated its financial resources to strengthen an enabling environment for access, RE and EE. However, its support was geographically and operationally too fragmented. Furthermore, the energy facility did not successfully manage to strengthen the enabling environment. Quality of evidence: More than satisfactory

#### JC 6.2 Degree to which EU initiatives and implementation modalities were cost-efficient - Operational efficiency (cost optimisation/outputs optimization)

##### Summary for JC 6.2

- The cost- efficiency of implementation modalities varied.
- There were indications of potentially high administrative costs in managing partnerships.
- The blending mechanism was considered as a cost-efficient implementation modality, but there was evidence that it did not reduce direct transactions costs for large infrastructure projects.
- There were indications that the call for proposal under the energy facility was not managed optimally during the first financing period (2011-2013).
- Across visited countries, EU procedures were highlighted as a main source of delays and more generally inefficiencies. Delegated cooperation improved the cost-efficiency of EU support, because it clarified and simplified procedures.
- There are indications that the cost-efficiency of the aid mix improved overtime with an increase in the synergies between EU instruments.

**The cost-efficiency of implementation modalities varies.** As noted below, the call for proposals through thematic instruments, the use of geographic instruments and the use of blending had different levels of cost- efficiency but also different goals which make them difficult to directly compare. Table EQ 6.1 below shows the qualitative judgement on the level of transaction costs and efficiency related aspects across the 8 visited countries. The analysis shows that budget support and blending were considered as the most efficient implementation modality in terms of reducing

<sup>86</sup> Data are fragmented and as a consequence the indicated percentage are given as a general overview, not a precise ratio of EU grant/project developer funds.



indirect transaction costs. Blending was found particularly efficient in mobilising additional finance. (Indicator 6.2.1)

**Table EQ 6.1: Source of efficiency by type of support**

Source of efficiency	Budget support	Conventional grant	Pooling funds <sup>87</sup> - blending
<b>Reducing direct Transaction cost</b>			
Simplification of procedures	M	L	M
Decreased workload	M	L	M
Decreased resources spent on administration (financial)	M	L	M
Facilitate mobilisation and management of human resources	L	M	H
<b>Reducing indirect transaction cost</b>			
Strengthened partner to deliver efficiently	H	M	M
Increased availability of funds	H	M	H
Increased predictability of funds	M	M	H
Reduced project unit cost	H	M	M

**There were indications of potentially high administrative costs in managing partnerships.** Based on the EUEI financial statements administrative costs for running the facility may be up to 40% of the total budget, corresponding to around 7,5 Million Euros between 2012 and 2015. (Indicator 6.2.1)

**The blending mechanism was considered as a cost-efficient implementation modality, but there was evidence that it did not reduce direct transactions costs for large infrastructure projects.** Blending was found efficient in mobilising finance. (Blending Evaluation, 2016). In Uganda, using a lead IFI to manage a multi-IFI energy project was considered as an efficient modality of implementation to reduce transactions costs. Only 10% of the costs were found to be related to administration and technical assistance, while 90% were physical works related. (Get fit annual report, 2016) This was, however, not generally demonstrated. Overall, country partners and involved development partners did not notice that blending reduced the approval and implementation delays for large infrastructure projects. In fact, it often appeared to increase the appraisal delays due to the complex multi-International Financial Institutions coordination needed. (Country interviews, Blending Evaluation, 2016). (Indicator 6.2.1)

**There were indications that the call for proposal under the energy facility was not managed optimally during the first financing period (2011-2013).** Operational issue resulted in delays and sustainability issues. (Court of Auditor report, 2015). However, the management improved over time with the introduction of a two round-based selection process; and the management budget remained relatively low, representing less than 5% of the total allocated budget and 2% of the total project expenditures. (Indicator 6.2.1)

<sup>87</sup> Pooling funds regroups implementation modalities such as: blending as well as more generally co-financing agreements.

**Across visited countries, EU procedures were highlighted as a main source of delays and more generally inefficiencies.** In Zambia, Liberia, Ethiopia, Benin and Ivory Coast, stakeholders pointed to EU procedures as a main cause of delays and inefficiency, especially with conventional grants. EU procedures were perceived as a constraint at all stages of the project cycle. For example, energy stakeholders mentioned that they did not have the resources to apply for the energy facility call for proposal. The knowledge of EU procedures and the required documents were strong limitations to engage private and public stakeholders. (Benin, Ivory Coast, Liberia). EU also spent time and resources on training local agents with their procedures. (Indicator 6.2.1)

**Delegated cooperation improved the cost-efficiency of EU support, because it clarified and simplified procedures.** Delegated Agreements represented a gain in efficiency, as it clarified responsibility and aligned procedures. In Benin, the AFD and EU co-implemented the same type projects under two different implementation modalities (i.e. energy facility co-financing and blending delegated agreement). Under the Energy Facility they experienced challenges in aligning procedures disbursements rules and timing. Tasks allocation was also unclear and resulted in delays. According to the stakeholders involved the delegate agreement under the Atlantique project was a significant gain in efficiency, measured by the simplification of project management. In the same direction, the cost-efficiency of NIGERIA EASE project, delegated agreement with GIZ, was rated as very good/good. (ROM NI-23551-EASE) (Indicator 6.2.1)

**There were indications that the cost-efficiency of the aid mix improved overtime with an increase in the synergies between EU instruments.** There is evidence that “thematic” projects arising from the different instruments were not owned by the EUD. The EUDs report that they were often not well-informed about them and they had limited resources to respond. In Nigeria, the EUD described overlap and a lack of coordination between the different initiatives. (EAMR report) However, during the second programming period (2014-2020) potential synergies between EU initiatives were programmed in the NIPs, such as:

- Balancing policy support, institutional strengthening and implementation project. (Tanzania, Liberia)
- Use of the TAF for EU support formulation
- Combining blending and grant approaches. (Ivory Coast, Liberia, Zambia) Grid extension and off-grid to accelerate access to energy in Zambia. (Indicator 6.2.2)

**Conclusion:** JC partly validated. The cost-efficiency of EU initiatives and implementation modalities varied. Overall it was limited by EU procedures. However, it has improved overtime, due to the used of delegated agreements and increased synergies between EU initiatives. Quality of evidence: more than satisfactory.

### JC 6.3 Degree of EU organisational efficiency

#### Summary for JC 6.3

- EU response to the challenge of increased support to the energy sector was primarily financial.
- Human resources arrangements were not planned, and as a result EUDs encountered challenges in managing the increased number of projects.
- There were indications that EU also faced coordination issues due to lack of clarity on division of work between EUDs and HQ.
- EU initiatives and their respective interventions were not systematically monitored and evaluated.
- Measurement of policy dialogue outputs in terms of coordination and reforms has not been given enough attention.

**Conclusion:** JC not validated

**EU response to the challenge of increased support to the energy sector was primarily financial.** EU commitments to the energy sector have significantly increased between 2011 and 2012, from around €100 Million/year to €500 Million/year, however the EU did not to the same extent mobilise human resources to accompany this increase. (Indicator 6.3.1)

**Human resources arrangements were not planned, and as a result EUDs encountered challenges in managing the increased number of projects.** The challenges of working in a new and complex sector were not fully reflected in the staffing made available. EUDs requested additional staff between 2012 and 2014 (EAMRs). From 2014, experienced programme management staff were brought in to support the energy cooperation in many EUDs. However, in relatively few EUDs were these staff energy specialists. In some cases, e.g. Ethiopia, Nigeria and Liberia, nationally seconded energy experts were brought in. The TAF also covered part of the needs through short-term interventions, providing training to the EUDs as well as support to programmes/projects formulation. (Indicator 6.3.1)

**There were indications that EU also faced coordination issues due to lack of clarity on division of work between EUDs and HQ.** This may have affected the efficiency of EU support to the energy sector. There are strong indications that the lack of coordination and the multiplication of interventions increased the workload at EUD level, adding on the pressure due to the lack of human resources. For example, the EUDs encountered difficulties in managing both:

- Country and regional activities, in Tanzania, Benin and Nigeria (EAMR Reports)
- Thematic and geographic initiatives (Indicator 6.3.2)

**EU initiatives and their respective interventions were not systematically monitored and evaluated.** The energy facility was evaluated only once in 2012. The Court of Auditor report (2015) also highlighted challenges in the energy facility project monitoring. The TAF issued 6-months reports, however it was only in 2016 that performance indicators were clearly defined. The TAF ROM reports also mentioned issues in the monitoring of TAF deliverables due to lack of available human resources. (Indicator 6.3.4)

**Measurement of policy dialogue outputs in terms of coordination and reforms has not been given enough attention.** Policy dialogue results were not mentioned in EUEI mid-term evaluation reports. The AEEP report stated the challenges of defining measures but only considered outputs in terms of financial leverage and adherence to the time schedule of a road map. (Indicator 6.3.2)

**Conclusion:** JC partly validated. The challenges of working in a new and complex sector were not fully reflected in the staffing made available. Between 2011 and 2012, EU appeared reactive to the increased support to sustainable energy. From 2013-2014, the situation improved with an increased coordination through the NIPs, and improved staff arrangements. The TAF was perceived as an important support.

#### JC 6.4 Degree to which EU initiatives and interventions were visible

##### Summary for JC 6.4

- In most cases, project partners did comply with visibility contract. However, projects indirectly implemented were less visible.
- There was generally good visibility of EU initiatives.
- EUDs were engaged in making EU visible at country level through public events, and production of communication and outreach materials.
- There remained a need to better communicate EU strategic studies, results and impacts.

**In most cases, project partners did comply with visibility contracts. However, projects indirectly implemented were less visible.** All sample projects for which visibility was assessed were found contractually compliant. Although the EUDs were engaged in increasing visibility of energy cooperation, there was evidence that the use of indirect implementation modalities affected EU visibility. In Rwanda the EUD noted that the budget support modality required additional resources to ensure good EU visibility: “*Visibility has become a much more complex matter*” Rwanda EARM Report, 2015). In Nigeria the visibility of the EASE project was limited (ROM NI-23551-EASE, Country note). There was also evidences that EU visibility in GEREEF and blending projects was limited. (Indicator 6.4.1)

**There was generally a good visibility of EU initiatives.** All EU facilities have a website where EU is clearly visible through signs, flags and sometimes even the colour is used as an additional reference. The description of instruments refers to EU findings and date of creation by EU. The RECP is highly visible with 50,000 visits to their website last year. This visibility is due to their agreements with several industrial sector associations and cooperation with RE initiatives, a newsletter and twitter messaging. (Indicator 6.4.2)

**EUDs were engaged in making EU visible at country level, through public events and production of communication and outreach material.** In Benin, the EUD had develop outreach material on the RECASED projects, In Nigeria, EU did contract an NGO to develop material such as a video presented at the Climate diplomacy days. (Indicator 6.4.2)

However, EUDs emphasised that **there remained a need to better communicate EU strategic studies, results and impacts.** During country visit there was evidences that EU did not communicate enough the studies which could help to build lessons learnt at country level. Quality of evidence: strong

**Conclusion:** JC partly validated. Despite potential improvements to be realised at projects level, EU initiatives were visible and project partners comply with visibility contracts.

Summary response	Sources of information	Quality of evidence
<b><i>JC 6.1 Degree to which EU efficiently mobilised its capacity (i.e. financial resources) to strengthen an enabling environment for access, RE and EE (Financial resources/physical verifiable outputs)</i></b>		
<b>I- 6.1.1 Resources directed to policy, capacity and implementation were/are allocated according to strategic priorities</b>		
<ul style="list-style-type: none"> <li>• EU interventions in more than 50 countries between 2011 and 2013</li> <li>• EU geographical scope was reduced to around 30 countries from 2014.</li> <li>• EU country programmes targeted “high-impacts” countries (HIC).</li> <li>• Half of the EU NIPs were targeting “high-impacts countries” whether in terms of energy access, EE or RE impact potential. (see table below, country highlighted are EU supported countries where energy was focal sector)</li> </ul>	<ul style="list-style-type: none"> <li>• CRIS data</li> <li>• Big bets targets (excel document)</li> <li>• RISE Report, 2016, p. 29</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
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**TABLE 1.3** RISE high-impact and fragile and conflict-affected countries (2012 data)

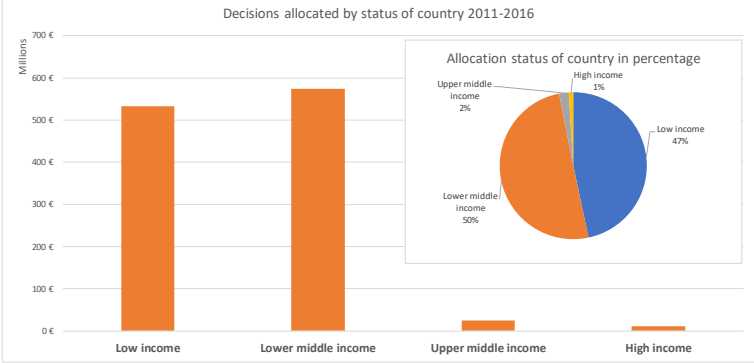
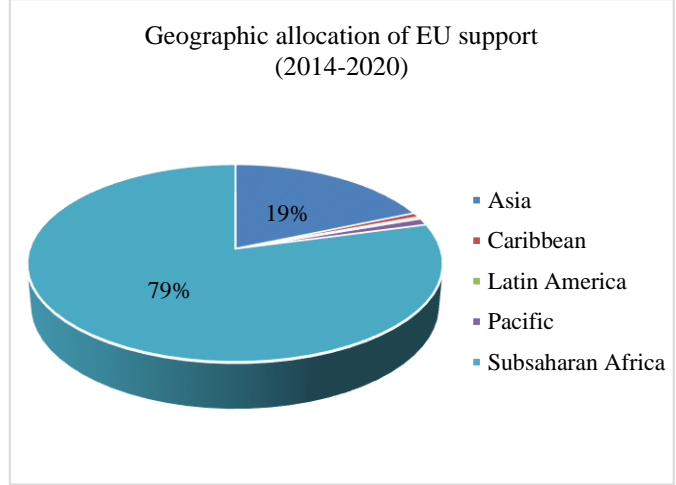
Energy access			Energy efficiency	Renewable energy
Highest electricity access deficit (number of people in millions)	Lowest electrification rate (%)	Fragile and conflict-affected countries	Highest primary energy supply (exajoules)	Highest total final energy consumption (exajoules)
India (263)	South Sudan (5%)	Afghanistan	China (121.2)	China (65.6)
Nigeria (75)	Chad (6%)	Burundi	United States (89.6)	United States (65.6)
Ethiopia (67)	Burundi (7%)	Central African Republic	India (33.0)	India (19.9)
Bangladesh (62)	Malawi (10%)	Chad	Russian Federation (31.7)	Russian Federation (16.5)
Congo, Dem. Rep. (55)	Liberia (10%)	Congo, Dem. Rep.	Japan (18.9)	Japan (11.8)
Tanzania (40)	Central African Republic (11%)	Côte d'Ivoire	Germany (13.1)	Canada (10.5)
Kenya (33)	Burkina Faso (13%)	Eritrea	Brazil (11.8)	Germany (8.3)
Uganda (30)	Sierra Leone (14%)	Haiti	Korea, Rep. of (11.0)	Brazil (7.6)
Sudan (25)	Niger (14%)	Liberia	France (10.6)	Indonesia (6.2)
Myanmar (25)	Tanzania (15%)	Madagascar	Canada (10.5)	Iran, Islamic Rep. (6.1)
		Mali	Iran, Islamic Rep. (9.2)	France (6.0)
		Myanmar	Indonesia (8.9)	Spain (5.3)
		Sierra Leone	Saudi Arabia (8.4)	Korea, Rep. (5.1)
		Solomon Islands	United Kingdom (8.0)	United Kingdom (5.1)
		Somalia	Mexico (7.9)	Nigeria (4.8)
		South Sudan	Italy (6.6)	Italy (4.8)
		Sudan	South Africa (5.9)	Mexico (4.6)
		Togo	Nigeria (5.6)	Turkey (3.4)
		Yemen, Rep.	Australia (5.4)	Saudi Arabia (3.3)
		Zimbabwe	Thailand (5.3)	Australia (3.1)

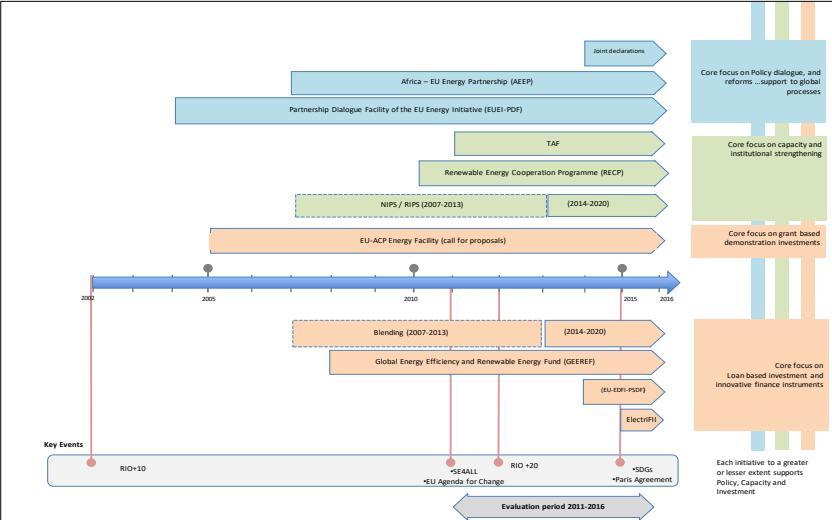
Source: Global Tracking Framework 2015; World Bank's harmonized list of fragile situations FY15.

- 97% of allocated budget is directed towards low and low middle economy countries.

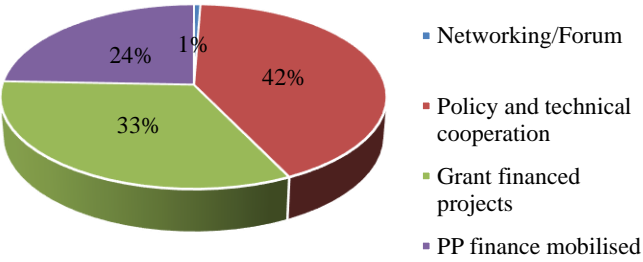
- Data analysis from CRIS

- RISE report, 2016

Summary response	Sources of information	Quality of evidence
 <ul style="list-style-type: none"> <li>• This is also the geographical area with the most pressing needs for policy support and capacity development. Funds allocated to policy support, institutional strengthening and capacity development support the partner countries in elaborating their energy plans and in raising finance by themselves.</li> <li>• <i>“Sub-Saharan Africa—the least electrified continent and home to about 600 million people without electricity—has one of the least developed policy environments to support energy access. Of particular concern are Ethiopia, Nigeria, and Sudan”</i></li> </ul>		
<ul style="list-style-type: none"> <li>• During the second financing period (2014-2020), Sub-Saharan Africa represented around 79% of allocated geographic funds, which is also the region with the highest energy deficit.</li> </ul> 	<ul style="list-style-type: none"> <li>• Big bets targets (excel document) – C6 Result Forecast (excel document)</li> </ul>	Strong

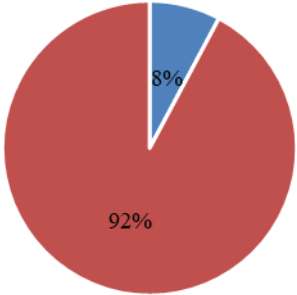
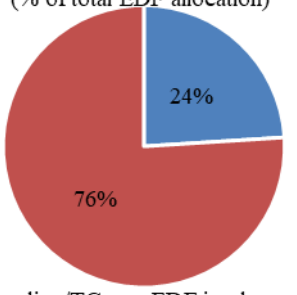
Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>During the second financing period (2014-2020), Average allocated funds per country in Sub-Saharan Africa was around 90 Million Euros, while for Asia region this average reached 180 Million Euro.</li> </ul>	<ul style="list-style-type: none"> <li>As above, NIPs (2014-2020)</li> </ul>	
<p>EU has developed a set of initiatives targeting different strategic priorities: i.e. mainstreaming energy in development policies through policy, enabling reforms, enhancing stakeholders, institutional and entrepreneur capacities, raising awareness and leveraging investments. The set of initiatives is balanced between policy, capacity and implementation. Moreover, individual initiatives often address multiple priorities as presented in the diagram below:</p> 	<ul style="list-style-type: none"> <li>EU initiatives as per TOR</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>The setting of new instruments over time reflected new EU and partner strategies, as well as energy sector needs: <ul style="list-style-type: none"> <li>The first two instruments set up by EU, namely the EUEI and the Energy Facility were directed towards: mainstreaming energy in development policies and technology transfer and reflected EU positioning in the sector. They were in direct response to the Rio +10 conference on sustainable development held in South Africa in 2002 where the poverty reduction aspect of sustainable development was highly prioritised by the developing countries.</li> </ul> </li> <li>In line with EU and partner strategies (particularly partners who have long called for more investment), EU engaged in mobilising finance through: <ul style="list-style-type: none"> <li>Blending approach: pooling funds from EU, the EIB and MS (blending) following the strategic orientation</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>EU Communication, 2002</li> <li>World Summit on Sustainable Development, 2002</li> </ul>	More than satisfactory



Summary response	Sources of information	Quality of evidence										
<ul style="list-style-type: none"> <li>○ GEEREF allowing investments of scale through leveraging risks</li> <li>● The latest instruments were directed towards capacity and market development. <ul style="list-style-type: none"> <li>○ RECP and ElectriFi provide support to business model in line with the EU strategies for supporting SMEs, employment and job creation</li> <li>○ TAF is a demand-driven initiative supporting policies (i.e. studies on regulatory and policy framework, support with program formulation as well as technical advisory services to strengthen energy stakeholders' capacities)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● SE4All, 2011</li> <li>● EDF11 and ElectriFi presentation</li> <li>●</li> </ul>											
<ul style="list-style-type: none"> <li>● Implementation whether through conventional co-funding of grant for projects or leverage of public and private loan-based finance is the area where EU has allocated the highest volume of funds, representing a total share of allocated funds of 57%</li> <li>● However, allocation to policy and technical cooperation is quite significant and represents 42 % of the total allocated funds. Whilst this appears large, the findings noted in the analysis below (e.g. a shift in the EDF 11 towards more policy and capacity) and the overall EU development cooperation strategy of supporting countries and sectors to reform so that they can raise domestic and commercial sources of finance for implementation are tentative indicators that the proportion is not unbalanced.</li> </ul> <div data-bbox="149 784 840 1214" style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <p style="text-align: center;">EU allocated funds by strategic priorities</p>  <table border="1" style="margin-left: auto; margin-right: auto;"> <caption>EU allocated funds by strategic priorities</caption> <thead> <tr> <th>Strategic Priority</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Policy and technical cooperation</td> <td>42%</td> </tr> <tr> <td>Grant financed projects</td> <td>33%</td> </tr> <tr> <td>PP finance mobilised</td> <td>24%</td> </tr> <tr> <td>Networking/Forum</td> <td>1%</td> </tr> </tbody> </table> </div> <p>*The diagram is based on allocated to funds according to DAC codes. Energy policy and administrative management, energy education/training, and energy research have been regrouped under the category “technical cooperation”. Energy generation, renewable sources and EE have been regrouped under “grant financed projects”. The envelope to blending correspond to “PP finance mobilised”. With this methodology the total of allocated funds to decisions is €1.634.774.084</p>	Strategic Priority	Percentage	Policy and technical cooperation	42%	Grant financed projects	33%	PP finance mobilised	24%	Networking/Forum	1%	<ul style="list-style-type: none"> <li>● Data analysis from CRIS</li> </ul>	<p>More than satisfactory</p>
Strategic Priority	Percentage											
Policy and technical cooperation	42%											
Grant financed projects	33%											
PP finance mobilised	24%											
Networking/Forum	1%											

Summary response	Sources of information	Quality of evidence
<p>*Technical cooperation comprises policy support, capacity development, institutional strengthening and technical assistance services.</p> <p>*Networking/Forum has been retrieved by association to the allocated funds the EUEI. Even though EUEI also provide policy and capacity development support, the allocation is “marginal” compared to other support and this wouldn’t change much in the analysis.</p>		
<ul style="list-style-type: none"> <li>• The link to European research and development has not been fully exploited by the cooperation programmes. <ul style="list-style-type: none"> <li>○ In 6 out of the 8 visited countries, no evidence was found that cooperation with European research and development was strengthened.</li> <li>○ In Rwanda: “The Mobisol technology from Germany has been used (and replicated) throughout Rwanda. RECP has introduced many European partners to Rwandan companies and it is likely that technology transfer will take place as a result of these activities.”</li> <li>○ In Nigeria: “No twinning was done, but NESP/GIZ crew upon European experts.”</li> </ul> </li> <li>• EU support to LDCs and Fragile States meant intervening in “low absorption capacity context”. Attention was given to institutional strengthening and TA.</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews in visited countries (country notes)</li> <li>• Rwanda Interview (country notes)</li> <li>• Nigeria Interview (country notes)</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>• During the period 2011-2016 there was evidence of a shift in EU strategy in the energy sector. <ul style="list-style-type: none"> <li>○ More than 50% of EU allocated budget was directed towards implementation under the first programming period.</li> <li>○ Less than 50% of EU allocated budget was directed towards implementation under the second programming period.</li> <li>○ In 2015 EU largest energy related commitment was on energy policies and programming.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Data analysis from CRIS</li> <li>• OECD data</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• At the end of the first programming period there was recognition that more attention was generally needed on the policy and technical cooperation front <ul style="list-style-type: none"> <li>○ In Liberia, the EUD found: “The EU support has not enough strengthened the capacities for policy design and implementation in the sector, this remains a high priority when there is a massive lack of adequately trained staff (engineers, technicians). The lacking capacity ultimately also threatens the possibility of adequately maintaining the investments, and thus the sustainability of the initial achievements.”</li> </ul> </li> <li>• In some countries, attention to policy and capacity development support was already given in the first programming period: for example, in Tanzania, Zambia and Liberia</li> </ul>	<ul style="list-style-type: none"> <li>• EAMR Report Liberia, 2012, p. 8</li> <li>• See graph below</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>• In most cases allocation to strategic country priorities have evolved between the two programming periods</li> </ul>	<ul style="list-style-type: none"> <li>• Record of all sample country projects from CRIS, TAF list, EUEI and EF databases</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence																																																																								
<div data-bbox="147 308 745 657"> <p>Number of projects/strategic priorities 2011-2013</p> <table border="1"> <caption>Number of projects/strategic priorities 2011-2013</caption> <thead> <tr> <th>Country</th> <th>Policy</th> <th>Technical Cooperation</th> <th>Implementation</th> </tr> </thead> <tbody> <tr><td>Rwanda</td><td>1</td><td>2</td><td>2</td></tr> <tr><td>Zambia</td><td>2</td><td>0</td><td>1</td></tr> <tr><td>Tanzania</td><td>2</td><td>3</td><td>2</td></tr> <tr><td>Ivory Coast</td><td>2</td><td>2</td><td>2</td></tr> <tr><td>Benin</td><td>1</td><td>2</td><td>4</td></tr> <tr><td>Liberia</td><td>2</td><td>0</td><td>1</td></tr> <tr><td>Ethiopia</td><td>1</td><td>0</td><td>2</td></tr> <tr><td>Nigeria</td><td>1</td><td>2</td><td>2</td></tr> </tbody> </table> </div> <div data-bbox="147 682 745 1031"> <p>Number of projects/strategic priorities 2014-2016</p> <table border="1"> <caption>Number of projects/strategic priorities 2014-2016</caption> <thead> <tr> <th>Country</th> <th>Policy</th> <th>Technical Cooperation</th> <th>Implementation</th> </tr> </thead> <tbody> <tr><td>Rwanda</td><td>5</td><td>2</td><td>2</td></tr> <tr><td>Zambia</td><td>2</td><td>2</td><td>2</td></tr> <tr><td>Tanzania</td><td>2</td><td>2</td><td>6</td></tr> <tr><td>Ivory Coast</td><td>5</td><td>7</td><td>2</td></tr> <tr><td>Benin</td><td>4</td><td>4</td><td>0</td></tr> <tr><td>Liberia</td><td>3</td><td>2</td><td>3</td></tr> <tr><td>Ethiopia</td><td>2</td><td>2</td><td>3</td></tr> <tr><td>Nigeria</td><td>3</td><td>5</td><td>2</td></tr> </tbody> </table> </div>	Country	Policy	Technical Cooperation	Implementation	Rwanda	1	2	2	Zambia	2	0	1	Tanzania	2	3	2	Ivory Coast	2	2	2	Benin	1	2	4	Liberia	2	0	1	Ethiopia	1	0	2	Nigeria	1	2	2	Country	Policy	Technical Cooperation	Implementation	Rwanda	5	2	2	Zambia	2	2	2	Tanzania	2	2	6	Ivory Coast	5	7	2	Benin	4	4	0	Liberia	3	2	3	Ethiopia	2	2	3	Nigeria	3	5	2	<div data-bbox="871 316 1323 982" style="border: 1px solid black; padding: 5px;"> <p>The diagrams show that:</p> <ul style="list-style-type: none"> <li>○ The number of projects by country has generally increased</li> <li>○ The number of implementation projects increased, especially in Tanzania with three selected EF projects.</li> <li>○ However, the main increase was in the number of policy and technical cooperation interventions.</li> <li>○ Most of these interventions were TAF studies and support and did not represent a large share of all interventions in contracts value.</li> <li>○ There was also an increase in EDF funds allocated to policy and technical cooperation. (See graphs below)</li> </ul> </div>	
Country	Policy	Technical Cooperation	Implementation																																																																							
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<ul style="list-style-type: none"> <li>• The share of EDF funds allocated to policy and technical cooperation within the country sample increased significantly between the two programming periods.</li> </ul>	<ul style="list-style-type: none"> <li>• CRIS</li> </ul>	Strong																																																																								

Summary response	Sources of information	Quality of evidence
<div style="display: flex; justify-content: space-around;"> <div data-bbox="191 302 751 699"> <p>EDF budget allocation 2011-2013 (% of total EDF allocation)</p>  <p>■ EDF policy/TC ■ EDF implementation</p> </div> <div data-bbox="751 302 1266 699"> <p>EDF budget allocation 2014-2016 (% of total EDF allocation)</p>  <p>■ EDF policy/TC ■ EDF implementation</p> </div> </div> <p>*The data selected in the diagram above only considered EDF funds grants to project (it does not include allocations to ITF.)</p>		
<ul style="list-style-type: none"> <li>• Mechanisms to identify strategic priorities at country level have been established (which in turn potentially provided the necessary analytical basis for allocation according to strategic priorities). <ul style="list-style-type: none"> <li>○ Network platforms such as the EUEI and the governance board of the ITF are regrouping partner country high level officials, which allows discussions on strategic priorities.</li> <li>○ EU has defined methodological guidelines for budget support formulation (2012), which put emphasis on alignment to strategic government priorities.</li> <li>○ NIPS are considering country strategic priorities and aim at strengthening country ownership. Among the 9 selected countries, all NIPS referred to country energy sector plans and strategic needs, examined the relevant and credibility of the plans and undertook to locate the EU support within them.</li> <li>○ EU is actively involved in coordination at policy and operational levels (see EQ7)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• EUEI presentation</li> <li>• ITF presentation</li> <li>• Budget Support and SE, Methodological note, 2016</li> <li>• NIPs</li> <li>• Summary findings EQ7</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• There is indication that these mechanisms worked well and supported evidence-based decision-making. <ul style="list-style-type: none"> <li>○ Support instruments such as the TAF and the RECP undertook studies to identify priorities such as stocktaking, formulation missions, etc.</li> <li>○ These studies were used to define strategic priorities such as in Tanzania: “The outcome of renewable energy potential assessment supported under the EU programme might not justify significant investments that are required to increase the share of renewable energy in the energy mix”.</li> <li>○ The review of EU allocations to support Tanzania energy sector shows that these recommendations have been used and support directed toward electrification.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• List of TAF and RECP projects</li> <li>• Tanzania EAMR Report 2015, p. 6</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
Across visited countries	<ul style="list-style-type: none"> <li>• In most of the visited countries evidence pointed out to strategic allocative efficiency: i.e EU support targeted both implementation projects and strengthening energy access, RE and to a less extent EE investment climate (TA, studies and policy interventions) <ul style="list-style-type: none"> <li>○ Zambia (HIC): There is evidence of allocative efficiency, i.e. that EU efficiently mobilised its capacity and financial resources to strengthen an enabling environment for access, renewable energy – and more recently also energy efficiency (ZM02, ZM04, ZM17).</li> <li>○ Rwanda: The major part of the EDF 11 (€200m) was devoted to budget support (€156m) and in that sense followed the government’s plans and allocation. In the view of the government there is too much set aside for capacity outside of the budget support (i.e. €21m as complementary together with other support). (RW12).</li> <li>○ Nigeria (HIC): Resources were allocated to strategic priorities. Although it was felt that too much attention was given to policy and strategic studies. (NIG 16, NESP progress Report). <i>“EASE was planned from Brussels. We could also raise the question why do we need to support Nigeria? The question may have impacted the way we looked at the programme. Then it focused on policy and creating an enabling environment.”</i> NIG 09. Nigeria <i>“NESP has supported TCN with lot of studies. In the next phase we know what is needed we go with Blending.”</i> NIG 16</li> <li>○ Cote d’Ivoire (HIC): Resources were allocated to strategic priorities and strategic sequencing of interventions. (i.e. TAF support to decrees formulation, institutional support to ENERGOS 1 and 2 to ensure sustainability of projects). (CDI 01/06/07/10/11/15, TAF study, ENERGOS 1 and 2 Project Document)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Zambia Interviews (country note)</li> <li>• Rwanda Interviews (country note)</li> <li>• Nigeria Interviews (country note)</li> <li>• Cote d’Ivoire Interviews (country note)</li> </ul>	
<b>Summary and analysis of findings for the indicator</b> <ol style="list-style-type: none"> <li>1. In most cases, EU geographic support targeted “high-impact” countries, and/or Fragile States.</li> <li>2. During the first programming period EU has entered the energy sector mainly through projects implementation and political dialogue, including regional events to raise awareness on renewable energy. Projects were implemented through two main initiatives, the energy facility and blending.</li> <li>3. EUDs experience of the first programming period suggest that not enough attention was given to policy and capacity development.</li> <li>4. The link to European research and development has not been fully exploited by the cooperation programmes. EU support to LDCs and Fragile States meant intervening in “low absorption capacity context”. Attention was given to institutional strengthening and TA, but not enough to education and research to support the next generation of energy stakeholders.</li> <li>5. During the second programming period, EU increased the volume and number of projects and studies addressing policy and technical cooperation challenges. There is also indication that EU set-up mechanisms to ensure that its support is aligned with country strategic priorities, and that these mechanisms worked well and supported evidence-based decision-making.</li> </ol>			

Summary response	Sources of information	Quality of evidence	
<p>6. EU policy framework for sustainable energy cooperation is broad and as a result is flexible enough to support a large panel of country strategic priorities.</p> <p>7. However, there are evidences of fragmentation of EU support, in trying to target to many areas of interventions in too many countries.</p>			
<b>I- 6.1.2 Resources and scale of EU policy dialogue support to reforms were in proportion to physical verifiable outputs achieved to date</b>			
EUEI	<ul style="list-style-type: none"> <li>The EUEI is one of the major EU initiatives that focuses on energy policy dialogue and support to reforms. The midterm review (2017) found an overall satisfactory efficiency of this facility and its service lines (SL). <ul style="list-style-type: none"> <li><i>“Inputs have generally been made available on time, within budget, and are of good quality. Outputs are mostly delivered in a cost-efficient manner.”</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>(EUEI PDF) Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017 pp. 15-17</li> </ul>	More than satisfactory
	<ul style="list-style-type: none"> <li>Between 2012 and 2016 the EUEI used an overall budget including all service lines (excluding management costs, outreach and communication activities, and M&amp;E) of € 4.693.013 for a total of 106 activities implemented, which is not out of proportion although it would depend on the extent of each event and the degree of success (which was found satisfactory as outlined above):</li> <li>EUEI regroupes 26 staff, which seems a relatively high number compared to around 20 staff at HQ to manage EU sustainable energy cooperation interventions.</li> </ul>	<ul style="list-style-type: none"> <li>As above</li> <li>Interview with DEVCO, May 2017.</li> </ul>	More than satisfactory
	<ul style="list-style-type: none"> <li>It is a promising sign that the EUEI mid-term review considered efficiency questions as it is an indication that the governance and management of the facility was cost and efficiency conscious</li> </ul>	<ul style="list-style-type: none"> <li>As above</li> </ul>	Indicative but not conclusive
	<ul style="list-style-type: none"> <li>Although operational efficiency was found good, the EUEI mid-term review found that efficiency in leveraging resources from country partners and other development partners has been limited: <ul style="list-style-type: none"> <li><i>“As a multi-donor programme, the EUEI PDF has a considerable potential to leverage financial resources from donor funded programmes adding to and/or following-up on EUEI PDF activities. This potential has not been fully exploited yet. There is also a potentially high leverage opportunity of financial cooperation (e.g. from ElectriFI, EIP, IFI and private investments).”</i></li> <li><i>“The financial resources contributed by national partner governments are usually limited, even though they commit themselves to take over where the EUEI PDF services end, e.g. when a policy draft has been provided to the partner government.”</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>As above</li> </ul>	More than satisfactory
AEEP	<ul style="list-style-type: none"> <li>The AEEP is also a policy dialogue platform where EU, MS and African countries are discussing implementation programmes.</li> <li>The AEEP total allocated budget for the period 2012-2018 was: € 1.941.724</li> </ul>		Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Between 2012 and 2016 the AEEP undertook around 20 political dialogue events and conferences for a total cost of € 1.411.444 which is not out of proportion although it would depend on the extent of each event and the degree of success. Indicators of success include: <ul style="list-style-type: none"> <li>○ “The AEEP is the only among the eight thematic partnerships under the Joint Africa-EU Strategy to have held both a High Level (Ministerial) Meeting (in 2010), and a Stakeholder Forum (in 2012).”</li> <li>○ The High-Level Meeting endorsed ambitious, concrete and realistic AEEP 2020 Targets on energy access, energy security and renewable energy and energy efficiency.</li> <li>○ “The AEEP also led to the launch the Africa-EU Renewable Energy Cooperation Programme (RECP) with initial funding of € 5 million from the EU complemented by financial contributions by Austria, Finland and Germany”</li> <li>○ Between 2012 and 2014 evaluated contributions to the energy sector from African partner countries has increased from € 3.36 billion to € 5.6 Billion. (there is however no information regarding the areas of interventions (i.e. policy, energy access, energy security, EE)</li> <li>○ EU contribution (incl. MS contributions) has increased from € 1.46 Billion in 2012 to € 3.6 Billion in 2014, representing respectively 30% and 40% of the total contributions to the energy sector</li> </ul> </li> <li>• This indicates that the results of this type of policy intervention was convincing to member state donors as well as the African partners.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI Annual reports, 2015 and 2016</li> <li>• EC policy coherence report, 2013</li> <li>• Based on data in AEEP, Status report update, 2016, p. 45</li> <li>• As above</li> </ul>	
<ul style="list-style-type: none"> <li>• However, a weakness is that the AEEP reporting did not focus on documenting policy results which makes it difficult to compare systematically the resources devoted and the results achieved (although at the overall level as noted above there is evidence that results were achieved that were in proportion).</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI Annual reports, 2015 and 2016</li> </ul>	Indicative but not conclusive
<p>Country level</p> <ul style="list-style-type: none"> <li>• There were evidences at country level that EU policy dialogue support to reforms was in proportion to results achieved. <ul style="list-style-type: none"> <li>○ Rwanda: <i>The EUD support to policy and policy dialogue has been through a variety of studies, these have contributed to the sector (although not always accepted without significant alteration or delay) – nevertheless given the important of the issues at stake (mainly the avoidance of large sector deficits through unrealistic targets and undermining of the market for Solar Home Systems (SHS) by giving away Tier 2 units) the resources devoted to policy and policy dialogue are considered in proportion to the needs and the limited (but still tangible) results</i> (JC6.1, I6.1.2, interviews RW01/02/12).</li> <li>○ Nigeria: <i>Targeted outputs for policy support were achieved efficiently (REEE Law was adopted, Mini-grid regulations were passed, EE standards were passed).</i> (Interviews NIG 16, NESP progress Report)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda Interviews (country note)</li> <li>• Nigeria Interviews (country note), NESP progress Report</li> <li>• Ethiopia Interviews</li> </ul>	More than satisfactory

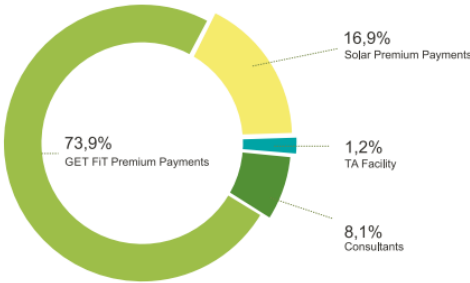
Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ Ethiopia: “Until now I have not seen the EU as a significant actor in the sector although they have focused on regulation and are supporting the regulator that is a key action but, in the context, where the regulator is weak” ET02</li> </ul>	(country note)	
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>1. The scale of resources provided to the EUEI seems appropriate to the level of activities.</li> <li>2. AEEP has not documented well enough the policy dialogue process, although it is one of its main mandate.</li> <li>3. EUEI monitored its performance through aspects of internal management systems. While this is important, not enough attention was given to the proportion between the financial volumes invested and achieved results.</li> <li>4. Although challenging to measure, an increased attention to policy dialogue results would allow EU to monitor how EUEI and the AEEP contributes to its strategic objectives, and particularly results in term of coordination, reforms and financial leverage.</li> </ol>		
<p><b>I- 6.1.3 EU resources devoted to the energy facility were in proportion to physical verifiable outputs achieved to date</b></p>		
<ul style="list-style-type: none"> <li>• Information on the energy facility management are difficult to retrieve. This is partially due to a fragmented management and changes that have occurred between the first and second facilities. Most of the information concern the EDF 9 and first call of EDF10. This may indicate a lack of consideration on the costs of managing the facility.</li> <li>• Using various proxies as outlined below, there are indications that i) the management of call of proposals was not optimal during the first two calls, ii) despite inefficiencies resources devoted to managing call for proposals were not out of proportion, but may have led to select risky projects, iii) EU adjusted its management modalities to optimize the selection process, iv) the management modalities were also adapted to EU strategic priorities.</li> </ul>		
<ul style="list-style-type: none"> <li>• The management of call of proposals was not optimal during the first two calls <ul style="list-style-type: none"> <li>○ During the first two calls 975 projects were submitted of which 142 were selected. The selection ratio was relatively low 15%</li> <li>○ The time spent between the project selection and the start of project gives an indication of the efficiency of the process. According to the expert monitoring EF projects: “it took between 2 and 3 years for projects to start”. This is not optimal, although not uncommon delays if it includes a project feasibility study.</li> <li>○ Based on the sample information for the evaluation of proposals submitted under the pooling mechanism in 2011, it appears that the CfF evaluation did mobilise between 7 to 10 persons/proposal.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Report on EF support to RE in EA, 2015, p. 13</li> <li>• Interview DM, august 2017</li> <li>• Evaluation reports for 2 EF applications presented by Kfw in Uganda, and AFD in Kenya, 2011</li> </ul>	<p>More than satisfactory</p>



Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Despite inefficiencies resources devoted to managing call for proposals were not out of proportion, but may have led to select risky projects <ul style="list-style-type: none"> <li>○ Between 2006 and 2013 €18.500.000 were allocated to run the EF (Incl. running costs and monitoring and evaluation), representing less than 5% of the total allocated budget and 2% of the total project expenditures. However, it does not inform clearly if management of call for proposals were included.</li> <li>○ Between 2006 and 2014, four calls for proposals were held resulting in the selection of 173 projects. Most of the projects were selected during the two first calls. The evaluation of the first two call of proposals highlighted that some projects had encountered sustainability issues which could have been foreseen at the stage of proposal evaluation.</li> <li>○ Based on the sample information, it appears that the CfF evaluation did mobilise 7 persons for the evaluation of four proposals.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• EF presentation: <a href="https://ec.europa.eu/europeaid/sites/devco/files/publication-n-acp-eu-energy-facility-ec-2012_en.pdf">https://ec.europa.eu/europeaid/sites/devco/files/publication-n-acp-eu-energy-facility-ec-2012_en.pdf</a></li> <li>• Data retrieved from the EF website</li> <li>• EF mid-term evaluation report, 2012 and Court of Auditors report,</li> <li>• Evaluation reports for 4 EF applications presented by Kfw in Burundi, Congo, Tanzania, Kenya, 2013</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• EU adjusted its management modalities to optimize the selection process <ul style="list-style-type: none"> <li>○ EF first call under EDF 10 adopted a pre-selection system, with a concept note to be used for selection and to be invited to submit a full proposal. This may have decreased management costs of CfP for both the EU and project developers</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Review of CfP guidelines under EDF 9 and EDF10</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>• The management modalities were also adapted to EU strategic priorities. The EF concept was designed within a context of EU disposition to quickly enter the area of energy cooperation. The principle of CfP was meant to deploy the maximum of projects to mainstream RE in energy development plans. <ul style="list-style-type: none"> <li>○ “It is time to give increased attention to the critical role of energy in poverty eradication and development assistance. While WSSD achieved much in putting energy back into international development debate, the energy needs have not been sufficiently addressed at a practical level. Energy sector commitments have been decreasing for the past decade (...). Grant to the energy sector of developing countries have halved in the last four years.</li> <li>○ “The Commission highlighted that the creation of the Energy Facility allowed the Commission to substantially address for the first time the issue of energy access in its development cooperation.”</li> <li>○ “The Commission stated that the fact that most of the projects examined were considered by the Court successful with good sustainability prospects was a good achievement given the difficult context of implementation of those projects.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Communication on the establishment of the EF, 2004</li> <li>• Court of Auditors report,</li> <li>• As above</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The general ratio cost/results, as indicated by the proxies below, appear relatively low and may indicate that EU allocated funds to this initiative has been value for money.</li> </ul>		Indicative but not conclusive
<ul style="list-style-type: none"> <li>Between 2011 and 2016 the EU contributed to the energy facility with € 247.000.000, representing more than 60% of the total project costs of implemented projects (i.e. € 385.823.242)</li> </ul>	<ul style="list-style-type: none"> <li>Data from EF website</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>Indicators of results include: <ul style="list-style-type: none"> <li>Around 100 projects were implemented, delivering 97 strategies and action plans drafts, 1.229.099 grid connection, 4,683,556 access to electricity from off-grid services, 272,124 households with access to reading light, 58 MW additional energy capacity installed.</li> <li>The Energy Facility has mainstreamed and raised awareness on renewable energy technologies, and business models for increased energy access. “In some case local authorities decided to replicate and scale-up EF projects”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>EF website</li> <li>Interview DEM, August 2017</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>Most of the funds under the first programming period have been awarded to “ACP and EU public bodies”</li> <li>The EF CfP modality was not allowing all stakeholders to participate. Liberia: <i>“Energy Facility CfP procedures to complicated. Responses can only be from NGOs who are already capable. As a result here it was NGOS who knew EU procedures but no knowledge of energy”</i></li> <li>Cote d’Ivoire: <i>“It was difficult to get all the required documents to apply for the EF”</i></li> <li>Rwanda: <i>The Mobisol project [RW-24660-Prepaid SHS] was unnecessarily cumbersome due to the call for proposal that required a government (or not for profit) involvement as applicant, which made the otherwise highly innovative approach slow and inefficient (RW01/02/09/12).</i></li> <li>Ethiopia: <i>Power kiosk FED/2014 / 352-393&amp;4 - The modality of call for proposals was not well suited for a private sector intervention – led to inefficiencies because the rapid change in the cost of technology and in the private sector development meant that the project had to make rapid adjustments guided by what was commercially sustainable and not what was written in a project document – furthermore the project implementer was not familiar with EU procedures and may not have had the incentives to request early changes. (JC6.2, i6.2.1, Interim narrative report (2017), EF performance document (Nov 2016), EUD joint ROM (2017), Interviews ET01, ET06).</i></li> <li>Ethiopia: <i>There is an underlying and incorrect assumption that the project partners are fully aware and knowledgeable about the EU procedures. In the case of the EF projects this was far from the case. No training</i></li> </ul>	<ul style="list-style-type: none"> <li>EF mid-term evaluation report, 2012 and Court of Auditors report</li> <li>Liberia Interviews (country note)</li> <li>CDI Interviews (country note)</li> <li>Rwanda Interviews (country note)</li> <li>Ethiopia Interviews (country note)</li> </ul>	

Summary response	Sources of information	Quality of evidence	
<i>or induction was given (reportedly). Where the partners like GIZ and SNV are familiar with the EU procedures the process is much smoother (although still led to delays). (JC 6.2, i6,2,1, interviews ET06/07/02/16).</i>			
<b>Summary and analysis of findings for the indicator</b>			
<ol style="list-style-type: none"> <li>1. Information on EF CfP process and overall management are sparse and fragmented. Although the energy facility website provides valuable information, detailed annuals reports and/or evaluations for the overall initiative are missing.</li> <li>2. The management of call for proposals was not optimal during the first two calls,</li> <li>3. Despite inefficiencies resources devoted to managing call for proposals were not out of proportion, but may have led to select risky projects,</li> <li>4. EU adjusted its management modalities to optimize the selection process, by adopting a two-round selection process.</li> <li>5. The management modalities were also adapted to EU strategic priority of supporting implementation projects and mainstreaming RE.</li> </ol>			
<b>JC 6.2 Cost-efficiency of EU initiatives and implementation modalities - Operational efficiency (cost optimisation/outputs optimization)</b>			
<b>I- 6.2.1 Extent to which EU implementation modalities to achieve outputs were managed to minimize transaction costs</b>			
Managing partnerships	<ul style="list-style-type: none"> <li>• Managing partnerships and policy dialogue facilities can be a heavy process and a potential source of waste of resources: <i>“As a multi donor programme, the EUEI PDF team has had to grapple with the administrative and finance management requirements of six different donors. This meant that the team not only had to cater to the different administrative needs of the donors, but also relatively unforeseeable circumstances, such as fund liquidity of the individual donors, throughout the course of the phase.”</i></li> <li>• This also shows that although GIZ is the lead financial manager of the EUEI, rules and procedures from the various donors continue to apply. Co-financing in this case may not have decreased the administrative burden.</li> <li>• Still, there is evidence that EU partnerships for renewable energy and development have been managed in order to minimise transaction costs: <ul style="list-style-type: none"> <li>○ The co-financing has allowed to proceed with a one reporting modality: <i>“The joint reporting agreed with all donors was instrumental in keeping the administrative efforts at an acceptable level and therefore should be continued during the next phase”</i></li> <li>○ Performant use of communication tools has tended to reduce transaction costs, such as video calls.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• (EUEI PDF) Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017 pp. 15-17</li> <li>• (EUEI PDF) Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017 pp. 15-17<sup>222</sup></li> </ul>	More than satisfactory
Blending	<ul style="list-style-type: none"> <li>• Blending was found efficient in mobilising finance (i.e. delivering outputs) <ul style="list-style-type: none"> <li>○ <i>“On average, EU grants were associated with 20 times more funds coming from other financiers – principally key European financial institutions partners but also multilateral donors, public and private sector investors. (...) Blending grants have often</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of blending, 2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<p><i>either caused other funds to be mobilised, enabled previously earmarked funds to be formally approved and committed, and/or directed funding to policy compliant objectives”</i></p> <ul style="list-style-type: none"> <li>○ Zambia: <i>“The EU Evaluation of Blending found evidence of efficiency in mobilising finance – and this was clearly evident in Zambia in the major infrastructure project (e.g. Kariba Dam rehabilitation)”</i>. (ZM18).</li> <li>○ Rwanda: <i>“The ElectriFI project (REPRO) under preparation makes use of existing infrastructure – 1 MW of hydro-power generation capacity in a remote area will be provided for approx. USD2.4m”</i> (RW05/06).</li> <li>○ Rwanda: <i>“The DI frontier investment approach was found pragmatic and efficient (RW16)”</i>.</li> </ul>		
<ul style="list-style-type: none"> <li>● Blending using a lead IFI to manage a multi-IFI project is considered as an efficient modality of implementation to reduce transactions costs <ul style="list-style-type: none"> <li>○ GetFit: <i>“KfW and the German Government have rallied development partners Norway, the United Kingdom and the European Union around a programme owned by the Government of Uganda, reducing the transaction costs for the Government”</i>.</li> <li>○ The graph below shows that 10% of the costs can be considered to be related to administration and technical assistance while 90% were physical works related.</li> </ul> </li> </ul> <p>Figure 6 shows the relative shares of the various cost components under the GET FiT Program, based on current budget reservations. Overall, less than 10 percent of the overall funds are tied to management, implementation and the Technical Assistance Facility, while 90 percent of the total commitments are expected to be disbursed as premium payments.</p>  <p>Figure 6. Approximately 90 % of commitments to GET FIT are projected to be disbursed as premium payments</p>	<ul style="list-style-type: none"> <li>● Get fit annual report, 2016, p.51 (<a href="http://www.getfit-reports.com/2016/">http://www.getfit-reports.com/2016/</a>)</li> </ul>	<p>Indicative but not conclusive</p>

Summary response	Sources of information	Quality of evidence																										
<ul style="list-style-type: none"> <li>• Identified source of inefficiencies, such as delays and lack of coordination and transparency in project preparation which may impact project management.               <ul style="list-style-type: none"> <li>○ Zambia: “<i>The EIB issue of cross-default contributed strongly to delays in ITT – overdue repayment in e.g. water or roads also affect disbursements in energy – conditions should be project or agency specific</i>” ZM15</li> <li>○ Zambia: “<i>ITT transmission line was done in record time despite delays – procurement took 22 months; actual implementation was 9 months – no objection from lenders was the challenge but there were also delays on government side</i>” ZM15</li> <li>○ Nigeria: <i>EUD is not given the information on blending which may affect the efficiency of the implementation and monitoring. EUD and country not enough engaged in the process. Blending not owned by EUD and country partners but HQ driven, which may affect transparency and ability of local partners and EUD to manage the projects.</i> (JC 6.3, I 6.3.2, Interviews NIG 03/16/17)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Interview Zambia (Country note)</li> <li>• Interview Zambia (Country note)</li> <li>• Interview Nigeria (Country note)</li> </ul>	More than satisfactory																										
<ul style="list-style-type: none"> <li>• Highest Sources of efficiencies were identified by DPs, and country partners in harmonisation and mobilisation of resources (i.e. financial and human) as highlighted in the table below.</li> </ul> <table border="0" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; width: 50%;"><b>Source of efficiency</b></th> <th style="text-align: left; width: 50%;"><b>Pooling funds - blending</b></th> </tr> </thead> <tbody> <tr> <td>Strengthened complementarity</td> <td>H</td> </tr> <tr> <td>Increased added value of the EU</td> <td>H</td> </tr> <tr> <td>Reduced aid fragmentation</td> <td>H</td> </tr> <tr> <td>Strengthened ownership and leadership by the partner country</td> <td>M</td> </tr> <tr> <td>Strengthened alignment with partner countries’ policies and implementation systems</td> <td>H</td> </tr> <tr> <td>Simplification of procedures</td> <td>M</td> </tr> <tr> <td>Decreased workload</td> <td>M</td> </tr> <tr> <td>Decreased resources spent on administration (financial)</td> <td>M</td> </tr> <tr> <td>Facilitate mobilisation and management of human resources</td> <td>H</td> </tr> <tr> <td>Strengthened partner</td> <td>M</td> </tr> <tr> <td>Increased availability of funds</td> <td>H</td> </tr> <tr> <td>Increased predictability of funds</td> <td>H</td> </tr> </tbody> </table>	<b>Source of efficiency</b>	<b>Pooling funds - blending</b>	Strengthened complementarity	H	Increased added value of the EU	H	Reduced aid fragmentation	H	Strengthened ownership and leadership by the partner country	M	Strengthened alignment with partner countries’ policies and implementation systems	H	Simplification of procedures	M	Decreased workload	M	Decreased resources spent on administration (financial)	M	Facilitate mobilisation and management of human resources	H	Strengthened partner	M	Increased availability of funds	H	Increased predictability of funds	H	<ul style="list-style-type: none"> <li>• Interviews visited countries (country notes)</li> </ul>	More than satisfactory
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Summary response		Sources of information	Quality of evidence
	<p>Reduced project unit cost</p> <p style="text-align: center;">M</p> <ul style="list-style-type: none"> <li>There was however no clear indication that blending modalities significantly decreases transaction costs.</li> </ul>		
Conventional Grant projects	<ul style="list-style-type: none"> <li>Delegated agreement facilitated project management and implementation <ul style="list-style-type: none"> <li>Generally, the evaluation of EU delegated cooperation found that delegated agreements conducted to efficiency gains: <i>“DC has been effective in reducing transaction costs and realising efficiency gains in the implementation of DC-supported projects. This positive contribution is directly related to the effect of DC on three operational outputs, i.e. creating larger programmes, more co-financing and making more use of single management systems. Nevertheless, it was not possible to determine whether the savings made on transaction costs during project implementation offset the additional costs made during the preparation of the DC agreements. (...) In practice, the effect of DC on the workload of the EU Delegation has also been quite variable. Most donors preferred to keep ‘a seat at the table’. They have been reluctant to become silent partner and therefore the number of active donors in a sector has not significantly reduced. The EU never became a silent partner. There were no built-in mechanisms in DC to stimulate ownership and leadership of partner countries and it therefore did not produce positive effects in this respect. (...) Systems alignment has been stronger in the case of DC partners using partner country systems than in the case of DC partners using their own systems.”</i></li> <li>Ethiopia: <i>Learning from experience, the EU selected strong partners for the EnDev and Biogas projects (ET/FED/038-189, ET/FED/038-189) that had a long track record and were highly efficient and also reliable concerning complying with procedures and reporting requirements as well as being strong in programme management and had considerable technical expertise.</i> (Interviews ET01, ET07/11/12/08).</li> <li>Nigeria: <i>Using MS partners’ capacities through delegation agreement. EU delegated agreement to GIZ for the NESP programme was an opportunity to scale up the programme.</i> (NIG 09, Appraisal Report 2017)</li> <li>NI-23551-EASE in Nigeria positively rated</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Ecorys, 2016</li> <li>Interview Ethiopia (Country note)</li> <li>Interview Nigeria (Country note)</li> <li>ROM NI-23551-EASE</li> </ul>	More than satisfactory
	<ul style="list-style-type: none"> <li>Projects positively rated: 3 out of 5 projects for which evaluation are available <ul style="list-style-type: none"> <li>NI-23551-EASE in Nigeria.</li> <li>TA-24660-Mwenga HPP in Tanzania (project financed under the energy facility)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>ROM LI-22467-Energy for health Inst</li> <li>ROM LI-22467-RE Strategy</li> </ul>	Indicative but not conclusive

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Projects poorly rated: 3 out of 5 for which evaluation are available. All are projects financed under the Energy Facility. (See efficiency constraints outlined below)</li> </ul>	<ul style="list-style-type: none"> <li>• ROM NI-23551-EASE</li> <li>• ROM RW-24660-Prepaid SHS</li> <li>• ROM TA-24660-Mwenga HPP</li> <li>• ROM ZA-38238-Trans KL</li> </ul>	
<ul style="list-style-type: none"> <li>• There is evidence that EU procedures may have constrained operational efficiency, as outlined below</li> </ul>		
<ul style="list-style-type: none"> <li>• They may have increased delays for project implementation: <ul style="list-style-type: none"> <li>○ In the case of the energy facility projects: <i>“It took generally around 2 to 3 years between the project selection and the start of the project. The local context had sometimes changed”</i></li> <li>○ Zambia: <i>The EUD itself was found by partners to be flexible and responsive but the EU procedures were found to be rigid and led to delays (ZM02, ZM04, ZM05, ZM14, ZM17, ZM18).</i></li> <li>○ Ethiopia: <i>EnDev ET/FED/038-189 – the new procedures of PAGODA 2 as well as the lack of familiarity by all on the implications led to long delays – the EU approach is not well suited for supporting a multi-donor arrangement that had been already designed - it also was not flexible enough to allow the project to channel funds to the regions within Ethiopia that were most responsive as the EU wanted a pre-commitment on co-financing in advance which inhibited the project from rewarding those that were most engaged. (JC6.2, i6.2.1, Interviews ET07).</i></li> <li>○ Ethiopia: <i>The EUD itself was found by partners to be flexible and responsive but the EU procedures were found to be rigid and lead to delays (JC 6.2, I 6.2.1, Interviews ET 07/08/11/12).</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Interview DEM, August 2017</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>• They may have limited EU sustainable cooperation operational flexibility: <ul style="list-style-type: none"> <li>○ <i>“Complex administrative procedures (including tender and procurement regulations) have limited the operational flexibility of the European Commission.”</i></li> <li>○ <i>“In the case of Agriculture and Energy (rural electrification), EU procedural constraints may prevent the efficient and effective delivery of EU cooperation through decentralised modalities such as the contribution to national funds and basket funds in support of sector-wide approaches.”</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Liberia EAMR Report, 2012, p. 8</li> <li>• Tanzania EAMR Report, 2014, p. 17</li> <li>•</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>• Efficiency was also constrained by project partner limited capacities to implement projects (i.e. availability of financial and human resources, capacities)               <ul style="list-style-type: none"> <li>○ LI-22467-Energy for health Inst: The financial resources from the Ministry of Health were not made available on time delaying the implementation of activities</li> <li>○ LI-22467-RE Strategy: Low capacities of local partner to implement the project resulted in delays and lack of monitoring.</li> <li>○ NI-23551-EASE: The lack of availability of local partners due to election delayed the project</li> <li>○ RW-24660-Prepaid SHS: The lack of capacities of local partners “to implement EU projects and lack of strategic resources” resulted in project implementation delays</li> <li>○ Tanzania</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• ROM LI-22467-Energy for health Inst, p. 5</li> <li>• ROM LI-22467-RE Strategy, p.5</li> <li>• ROM NI-23551-EASE</li> <li>• ROM RW-24660-Prepaid SHS</li> </ul>	More than satisfactory
Budget support	<ul style="list-style-type: none"> <li>• Budget support are expected to reduce transaction costs. However, it is not possible to conclude based on the available information. Only two budget support projects were formulated by 2016, and in Rwanda there are indications that delays contracting support have been reduced, while in Vietnam allocated budget was still not contracted in 2016.               <ul style="list-style-type: none"> <li>○ Rwanda: <i>The sector policy and strategic plan being implemented by GoR and supported through budget support is likely to lead to a capacity surplus of 40 MW in 2020 on a take-or-pay basis which will result in a low efficiency in the sector and significant operational deficit</i> (JC 6.2, interview RW12, EU budget support assessment papers).</li> <li>○ Rwanda <i>The sector policy and strategic plan being implemented by GoR and supported through budget support is likely to lead to a capacity surplus of 40 MW in 2020 on a take-or-pay basis which will result in a low efficiency in the sector and significant operational deficit</i> (JC 6.2, interview RW12, EU budget support assessment papers).</li> <li>○ Rwanda: “<i>Budget support is our preference, it is flexible to allow adaptation to change and it minimizes the transaction costs – the process has been efficient and is structured</i>” RW11</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• CRIS</li> <li>• Rwanda Interviews (country note)</li> <li>• Rwanda Interviews (country note)</li> </ul>	Indicative but not conclusive
<b>Summary and analysis of findings for the indicator</b> <ol style="list-style-type: none"> <li>1. The costs-efficiency of implementation modalities is unequal.</li> <li>2. There was indication of potentially high administrative costs in managing partnerships.</li> <li>3. The blending mechanism was considered as an efficient implementation modality to increase outputs, i.e. Private-Public finance mobilised for investment, as well efficient in optimising inputs, i.e. availability of resources (predictability and scale of funds, and skills).</li> <li>4. However, there is no clear evidence that blending has significantly reduced transaction costs. Modalities for managing the pooled funds is determinant.</li> <li>5. Conventional grant projects, especially when implemented under delegated cooperation, appeared cost-efficient.</li> </ol>			



Summary response	Sources of information	Quality of evidence
<p>6. However, there are strong evidences that EF grant CfP and management modalities led to high transaction costs.</p> <p>7. EU procedures increased delays</p>		
<p>I- 6.2.2 Evidence of synergies (or contradictions) between the 11 EU sustainable energy initiatives for sustainable energy cooperation</p>		
<ul style="list-style-type: none"> <li>Complementarity between EU instruments was considered by the EUEI. When opportunities arise EUEI developed synergies between instruments:  <i>“The EUEI PDF has sought to cooperate with existing and new instruments and projects – at international level as well as in individual partner countries. A positive example is the cooperation between RECP and ElectriFI: ElectriFI received direct operational support from RECP.”</i></li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017</li> </ul>	<p>More than satisfactory</p>
<ul style="list-style-type: none"> <li>Existence of mechanisms to facilitate synergies: <ul style="list-style-type: none"> <li>The EUEI was established as a platform, coordinating three instruments of the EU sustainable cooperation (AEEP, SEADS, RECP), and in this sense demonstrated an attempt to build complementarity and synergies between instruments.</li> <li>NIPS documents plan interventions using the support of the different instruments</li> <li>EUDs have sometimes taken ownership for increased synergies between instruments such as:  In Benin : « <i>Concernant la mise en oeuvre du volet energie du PIN11ème FED, la DUE envisage une approche projet concentrée dans un premier temps sur le renforcement des capacités et l'aboutissement des réformes. L'expertise TAF de décembre 2014 ciblée sur le renforcement des capacités et le système d'information permet déjà de préciser l'étendue du programme de renforcement. La deuxième phase sera développée en 2016/2017 en cohérence avec la stratégie SE4ALL et les orientations siège particulièrement en matière de blending et de promotion des investissements privés (ElectriFI).</i> »</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>EUEI presentation. Website</li> <li>Benin EAMR Report 2014, p. 12</li> </ul>	
<ul style="list-style-type: none"> <li>There is indication that synergies between thematic and geographic instruments were limited during the first programmatic period. <ul style="list-style-type: none"> <li>The evaluation of the ENRTP pointed out <i>“The need for a clearer explanation of the way the various geographical and thematic instruments work and for greater clarity with regard to their respective potential and limitations. While geographical instruments should remain the primary means for bilateral and regional cooperation, thematic programmes should be complementary to them.”</i></li> </ul> </li> <li>Mechanisms were not clear. There is evidence from a number of countries that “thematic” projects arising from the different instruments were not owned by the EUD and the EUDs were often not well-informed about them and they had limited resources to respond. <ul style="list-style-type: none"> <li>In Nigeria: <i>“There is not an adequate system in place at HQ level to ensure adequate complementarities between the different instruments and the CSDP/NIP, leading to possible duplication or worse</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>GPGC 2014-2020 - multi-annual indicative programme 2014-2017</li> </ul>	<p>More than satisfactory</p>

Summary response	Sources of information	Quality of evidence
<p><i>inconsistencies. (...) Whenever possible the EUD rejects thematic projects which are not in line with the CSP and/or for which the EUD does not have the capacity to deliver. (...) Thematic, Intra-ACP, IfS, AU support all continue to present numerous overlaps with the RIP.”</i></p>	<ul style="list-style-type: none"> <li>Nigeria EARM Report, 2012, p.6</li> </ul>	
<ul style="list-style-type: none"> <li>There is evidence of a number of different cases and types of synergy which are outlined below, these include cases of: i) synergies between policy instruments/ institutional support with implementation; ii) synergies between grid and off grid projects; iii) synergies between national and regional programmes.</li> </ul>		Strong
<ul style="list-style-type: none"> <li>Cases of synergies between policy and institutional (capacity development) support and implementation <ul style="list-style-type: none"> <li>Once operational the AITF infrastructure projects in Rwanda (power plant and transmission lines) have the potential to create synergies with EDF 11 budget support. For example, existing transmission lines for export create a market for energy and act as an investment guarantee for the IPPs. Furthermore, the large hydropower developed under blending have the potential to catalyse IPPs interests creating cases of investments models. However, discussions on an energy market creation to stimulate investments in large RE power plant do not appear in the NIP nor in the action documents. There is a danger that the potential synergies were not therefore optimised.</li> <li>In Tanzania, the EDF 10 and EDF 11 support to strengthening TANESCO performance and Zanzibar energy authorities was also mixed with infrastructure development so that institutional reforms and improved physical facilities supported each other.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>CRIS compilation of contract for Rwanda between 2011 and 2014 cross-referenced with TAF list of projects, EUEI and EF databases</li> <li>Tanzania NIPs 2008-2013, 2014-2020</li> </ul>	
<ul style="list-style-type: none"> <li>Cases of synergies between grid extension and off-grid to accelerate access (quality of supply, connection, etc...) <ul style="list-style-type: none"> <li>In Zambia: “A degree of complementarity occurs between the 11 EDF NIP, where energy is one of the focal sectors, and the regional programme, which tackles important infrastructure priorities including energy. In this regard, energy interventions which are being prepared under the ongoing regional programme (RISP II, eg. the Zambia-Tanzania-Kenya interconnector, harmonization of regulatory frameworks) will complement activities undertaken at national level, which also target the improved access to electricity (network extension) and enhanced energy efficiency (capacity building, standards, policy reforms). On the other hand, the Kariba Dam project to be implemented under the NIP demonstrates a clear regional impact in terms of preserving the regional capacity for power production.”</li> <li>In Benin: « Concernant le secteur de l’approvisionnement en énergie électrique, il existe une bonne complémentarité entre les programmes régionaux et les investissements BEI de mise en place d’un marché d’échange électrique (interconnexion du WAPP et mise en place du Centre de Contrôle et d’Information) et les projets d’électrification rurale (facilités énergie I) et d’interconnexion transfrontalière moyenne tension (facilités énergie I et II). »</li> <li>In Tanzania energy facility projects have focused on decentralized energy access including access to clean cooking energy, while ITF projects have expanded grid access</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Zambia EAMR Report, 2014, p. 12</li> </ul>	

Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>• Benin EAMR Report, 2014, p.13</li> <li>• CRIS compilation of contract for Tanzania between 2011 and 2014 cross-referenced with TAF list of projects, EUEI and EF databases</li> </ul>	
<ul style="list-style-type: none"> <li>• Cases of complementarities between national and regional programmes <ul style="list-style-type: none"> <li>○ In Liberia: “Regional projects that are known to the Delegation are complementary to national programmes”. In Nigeria: “Close complementarity between the focal sectors under the NIP for Nigeria and the West Africa RIP has permitted the delegation to rationalise human resources in that Project Officers dealing with a particular activity under the NIP can also deal with the same thematic activity under the RIP. This provides coherence and consistency in implementation</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Liberia EAMR Report, 2012, p. 5</li> <li>• Nigeria EAMR Report, 2013, p. 6</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>• Cases of consolidation of previous projects: <ul style="list-style-type: none"> <li>○ Benin: Atlantique project (Blending) consolidating EF 105 localities project.</li> <li>○ Liberia: MV line under EF cross-border project (CDI/Liberia) used for Power Africa and MS energy access projects (planned interventions).</li> <li>○ Liberia: EIB and Norway investments in Mount Coffee hydropower consolidated by EU power evacuation project (Monrovia consolidation project)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Interview Benin (Country note)</li> <li>• Interview Liberia (Country note)</li> </ul>	
<b>Summary and analysis of findings for the indicator</b>		
<ol style="list-style-type: none"> <li>1. There are indications that the cost- efficiency of the aid mix improved overtime with an increase in the synergies between EU instruments.</li> <li>2. Synergies between instruments had potential to reinforce EU interventions: <ul style="list-style-type: none"> <li>• Supporting the strengthening of the environment is securing present and future investments</li> <li>• The combination of off-grid and grid electrification allow to accelerate access.</li> <li>• Regional interventions allow the creation of a market for RE and then facilitates investments in generation. Furthermore, regional regulations may support the policy support at national level through consistency.</li> </ul> </li> <li>3. There were examples of EUD engagement in country program formulation that increased synergies between instruments <ol style="list-style-type: none"> <li>a. The multiplicity of instruments has allowed EU to build its capacity and position itself within the international area of sustainable energy cooperation</li> </ol> </li> </ol>		

Summary response	Sources of information	Quality of evidence
4. Synergies between instruments increase EU operational efficiency because they reduce intervention overlaps and EUDs workload in managing dispersed projects.		
<b>JC 6.3 Degree of EU organisational efficiency</b>		
<b>I- 6.3.1 Evidence that the EU responded to the challenges of increased support to the energy sector by appropriately mobilizing resources</b>		
<ul style="list-style-type: none"> <li>• EU sustainable energy cooperation relies on internal and external experts. External expertise was required for EU to position itself in the sector <ul style="list-style-type: none"> <li>○ “Blending has mobilised the skills and experience of the IFIs and through its scale also served to deepen and enhance these skills within the IFIs. Without the blending operations carried out through the IFIs, the EU would not have been able, at least with its current staffing arrangements, to engage to the same extent in complex and large-scale infrastructure and access to finance operations. The banking, risks management and project supervision skills of the IFIs have added value to the EU development cooperation.”</li> <li>○ TAF</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Blending Evaluation, 2016 pp.63-64</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>• Between 2012 and 2014 EUDs have pointed out the need to recruit internal energy experts, and staffing constraints: <ul style="list-style-type: none"> <li>○ In Rwanda: “<i>Due to the new role of DEL in the energy sector there is need to revise the skills mix. In OPR and FCA sections</i>”</li> <li>○ In Zambia: “<i>Under the WLAD arrangements, the delegation intends to recruit infrastructure staff with a background/experience in the energy sector to anticipate the implementation of the 11th EDF NIP.</i>”</li> <li>○ In Tanzania: “The programming of the 11 EDF may require the reinforcement of the Section dealing with energy related projects. Also, the EUD will need to enhance its expertise in relation to regional cooperation.”</li> <li>○ In Liberia: “<i>The operations section only has one secretary and no national technical staff. This means that task managers (CAs) need to spent most of their time in simple administrative issues (i.e. encoding in CRIS) and have less time to focus on needed coordination, policy dialogue, etc.</i>”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda EAMR, 2013</li> <li>• Zambia EAMR Reports 2013</li> <li>• Tanzania EAMR Report, 2012, p. 22</li> <li>• Liberia EAMR Report, 2012, p. 20</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• Several EAMR Reports indicate that staff have been hired throughout 2014 and 2015.</li> <li>• However, there are also indication that staffing at EUD and HQ level may not have increased as appropriately as required: <ul style="list-style-type: none"> <li>○ “The increase in the amount of the NIP between the 10th and 11th EDF has not led to increases in staffing level of the EU Delegation. In fact, that staffing level is said to have been decreased.”</li> <li>○ Staff at HQ engaged in managing EU sustainable energy cooperation are estimated to around 20. This is not much to manage a 2 billion support.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Country EAMR Reports, 2014 and 2015</li> <li>• Evaluation DC (2011-2014), Annex 3, p. 21</li> <li>• Interview DEVCO, May 2017</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• There are indications of difficulties to identify, hire and retain experts in some countries:               <ul style="list-style-type: none"> <li>○ <i>In Zambia: “Half of the 11th EDF allocation is earmarked for support to the energy sector. The only energy expert (locally recruited expatriate) will be leaving the Delegation on 15 April. This person will have to be replaced as a matter of urgency, and preferably after a conversion of the LA post into a CA post as it will be extremely difficult to find well qualified and experienced local experts.</i></li> <li>○ <i>The TAF ROM reports both for WCA and ESA report turn over and the need to replace most of the originally hired key experts.</i></li> <li>○ <i>See also findings in 6.2.1</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Zambia EAMR Report, 2015, p.54</li> <li>• TAF-ESA and WCA ROM Reports, 2016</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• EU through its instruments and interventions has been able to build a network to identify and recruit external expertise               <ul style="list-style-type: none"> <li>○ “Within the RECP, consulting pools with larger contract volumes are used which makes the management of the SL leaner. The RECP used these larger grant agreements to establish cooperation with some trusted partner organisations and their networks, like for example to the Alliance for Rural Electrification or the European Biomass Association. During the next phase, the design of the programme should seek to tender larger service contracts where possible to minimise management costs.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• (EUEI PDF) Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017 pp. 15-17</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>• There also indication of low cost efficiency in EU recruitment of adequate external expertise system:               <ul style="list-style-type: none"> <li>○ About the SEADS: <i>“The SEADS service line made a relatively large number of individual consulting contracts. This is due to the individual nature of the partner request per intervention. Therefore, for each single intervention, the consultants needed to be contracted individually. The necessary and time-consuming tendering procedures lead to higher costs of SL management.”</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• (EUEI PDF) Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017 pp. 15-17</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>• Support to EUD is still needed:               <ul style="list-style-type: none"> <li>○ 4% of total TAF WCA activities between July and December 2016 targeted training to EUD’s</li> <li>○ The TAF, which relies on external expertise is heavily mobilized for programme formulation. 24 % of WCA TAF activities were addressing “technical support in programming and preparation of projects”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• TAF WCA Sixth Progress Report, 2016</li> </ul>	Indicative but not conclusive
<ul style="list-style-type: none"> <li>• The multiplication of thematic interventions during the first programming period impacted HR management at EUD level:               <ul style="list-style-type: none"> <li>○ Benin : <i>“Par ailleurs, une multiplication des subventions hors PIN (appels à proposition de type ligne thématique, Facilité, GCCA) ne permet pas une concentration du travail de la Délégation dans un nombre restreint de secteurs. Cela rend le suivi de ces projets difficile et ne permet pas une utilisation optimale des ressources humaines de la Délégation. »</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Benin EAMR Report, 2011, p. 6</li> </ul>	Indicative but not conclusive

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ Zambia: TAF had a considerable positive effect in enabling the EU to provide capacity and policy support thus gaining relevance and credibility.</li> <li>○ Rwanda: The EU mobilised TA both to support the EUD and ministry for carrying out the budget support design, assessment monitoring and supportive operations (JC6.3, I6.3.1, interviews RW01/02/15).</li> </ul>	<ul style="list-style-type: none"> <li>● Interview Zambia (Country note)</li> <li>● Interview Rwanda (Country note)</li> </ul>	Indicative but not conclusive
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>1. The increased activities in the energy sector increased EUD workload and put pressure on them.</li> <li>2. Human resource needs have apparently not been planned for the transition towards an increased support to the energy sector and were insufficient at least during the first programming period.</li> <li>3. The spread and number of initiatives increased the workload and led to an increased need for additional human resources.</li> </ol>		
<p><b>I- 6.3.2 Evidence that the EU responded to the challenges of increased support to the energy sector by appropriately coordinating resources</b></p>		
<ul style="list-style-type: none"> <li>● EUDs are pointing out their strategic position in identifying partners and coordinating country strategy and programme formulation: <ul style="list-style-type: none"> <li>○ In Benin : “La section INFRA gère 20 projets (lignes thématiques) dans le secteur de l'eau et de l'énergie et considère que si le mode de sélection de ces projets impliquait d'avantage les Délégations, notamment lors du choix du bénéficiaire, les Délégations pourraient s'assurer que ces interventions s'inscrivent dans la stratégie nationale et contribuent à construire une intervention soutenue. »</li> <li>○ In Liberia: “The lack of strong coordination in planning and programming among implementers of EC funded programmes led to duplications, overlap and even competition, thus reducing efficiency of interventions”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Benin EAMR Report, 2011, p. 9</li> <li>● Liberia EAMR Report, 2012, p. 8</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>● Support from DEVCO is provided for country programme formulation through: <ul style="list-style-type: none"> <li>○ Country visits</li> <li>○ Sector Budget Support Methodological Notes</li> <li>○ TAF hired external expertise for programme formulation</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Country EAMR Reports</li> <li>● List of TAF projects</li> </ul>	Strong
<ul style="list-style-type: none"> <li>● Support from DEVCO is needed in some countries: <ul style="list-style-type: none"> <li>○ In Zambia: « Collaboration between the Delegation and DEVCO geographical and most of the thematic services is excellent. However, strong support for the identification and formulation for the pipelines 2014 and 2015 would be highly appreciated. Support from the DEVCO Energy Unit for the preparation of concrete proposals under the energy sector has already been offered and accepted. »</li> <li>○ In Zambia: “Specific support will be needed from the DEVCO/C5 Water, Energy and Infrastructure for the identification and formulation of new energy programmes as energy is a new sector of concentration.” “Assistance and more guidance would be appreciated in relation to Blending which is recommended for joint implementation of regional projects (how to implement in practise, ad hoc pillar assessment to be carried out, how to assess value for money or the leverage effect of the grants...), and this more specifically in the area of Energy.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Zambia EAMR Report 2013</li> <li>● Zambia EAMR Report 2014</li> <li>● Tanzania EAMR Report 2013, p. 11</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>○ In Tanzania: “At regional level, support from DEVCO may be needed in order to support the EUD during the identification of regional projects, particularly for the Infrastructure and the cross regional envelopes.”</li> </ul>		
<ul style="list-style-type: none"> <li>• EUDs pointed out the increased workload due to the need to coordinate activities at country and regional levels. <ul style="list-style-type: none"> <li>○ In Tanzania: “The programming of the 11 EDF at both national and regional levels shows that the Delegation will need to reinforce further the Section dealing with energy as well as that responsible for Regional Cooperation.”</li> <li>○ In Benin : « Concernant le dialogue sectoriel avec le West African Power Pool, notamment l'instruction du projet du Centre d'Information et de Contrôle du WAPP, la DUE réitère sa requête de renforcement en personnel afin de mettre en œuvre le projet et ainsi accompagner la création d'un marché fonctionnel des échanges électriques en Afrique de l'Ouest. »</li> <li>○ In Benin : « Bien que ces projets permettent de renforcer la coopération entre l'UE et le Bénin, leur multiplicité rajoute une charge de travail importante à la Délégation. De plus, la faible implication des Délégations dans le choix des projets attribués, en particulier pour les Facilité eau, ne permet pas d'assurer une coordination optimale entre les interventions PIN, thématiques et celles des autres bailleurs de fonds actifs dans le secteur »</li> <li>○ In Nigeria: “The large geographical spread of EU interventions in Nigeria reduces the potential impact and makes its evaluation/ assessment difficult. Therefore the 11th EDF will focus on a limited number of states both to seek critical mass and to establish the EU as a major player in these states.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Tanzania EAMR Report 2013, p. 33</li> <li>• Benin EAMR Report, 2011, p.4</li> <li>• As above, p. 6</li> <li>• Nigeria EAMR Report 2014, p. 15</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• Coordination between EUD and the ITF has worked relatively well during the two phases. <ul style="list-style-type: none"> <li>○ Coordination mechanisms were set: <p><i>“From now on, this will also be the case for energy projects at national level, complementary to the coordination to be done on the field. A better involvement of EU Delegations as well as the future Energy Hubs in the preparation of projects in the ITF as upstream as possible is important and will be achieved inter alia via European Commission participation in the PFG.”</i></p> </li> <li>○ The EAMRs also highlight coordination processes between EU and the EIB at national and regional levels to ensure blending opportunities are captured and to increase synergies. They are directly addressed in Tanzania</li> </ul> </li> <li>• Positive feedbacks from EUDs regarding coordination with ITF projects: Reinsert quotes</li> </ul>	<ul style="list-style-type: none"> <li>• Tanzania EAMR Report, 2012, p. 8</li> </ul>	More than satisfactory
<b>Summary and analysis of findings for the indicator</b> <ol style="list-style-type: none"> <li>1. There are indications that EU also faced coordinating issues due to lack of clarity on division of work between EUDs and HQ.</li> <li>2. Support from DEVCO was found useful by the EUDs</li> <li>3. The new level of support to energy created additional workload that was not easy to manage</li> </ol>		
<b>I- 6.3.3 Studies undertaken through TAF avoided duplication with other internal studies and were used in practice</b>		

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>No evidence of duplication found through the comparison of TAF projects with other EU studies and CD support.</li> </ul>	<ul style="list-style-type: none"> <li>List of TAF/RECP and SEADS projects</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>When relevant, there is no indication that the TORs did consider work done earlier <ul style="list-style-type: none"> <li>In Tanzania: no analysis of potential previous support to REA was found in the TOR</li> <li>In Benin: A very detailed analysis of the existing barriers in the energy regulatory framework was provided, but past interventions from other DPs was not found in the TOR</li> <li>In Ivory Coast: The final mission report recommended to elaborate « <i>un état des travaux similaires déjà financés (Ressources propres de l'État, Projet PURE de la Banque Mondiale, UE, BOAD, BAD, CIE) ou envisagés, pour valider la complémentarité avec Energos.</i> », which would have been expected as part of the mission.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>TOR BE-37876-RECASEB</li> <li>TOR TA-37432-RE Prog.</li> <li>Rapport de mission TAF CI-39393-ENERGOS2</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>A number of studies are directly supporting EU programme formulation. These studies have been used <ul style="list-style-type: none"> <li>To formulate budget support in Rwanda</li> <li>To formulate the ENERGOS projects in Ivory Coast</li> <li>To formulate the rural electrification programme in Tanzania</li> <li>To formulate the RECASEB programme in Benin</li> </ul> </li> <li>These studies to support EU programme and projects formulation represented 24% of all TAF activities.</li> </ul>	<ul style="list-style-type: none"> <li>List of TAF projects and CRIS record of decisions</li> <li>TAF WCA Sixth Progress Report, 2016</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>Across visited countries it was found that TAF studies did not duplicate other existing studies and were used in practise: <ul style="list-style-type: none"> <li>Zambia: “<i>There is evidence that studies undertaken through TAF avoided duplication with other internal studies and were used in practice (e.g. the TAF country fiche for Zambia) (JC 6.3, i6.3.3, interviews ZM02, ZM17).</i>”</li> <li>Tanzania: “<i>TAF studies did not duplicate other studies and made a contribution to the sector (JC 6.3, I6.3.3, TAF studies, TORs)</i>”</li> <li>Rwanda: “<i>TAF studies did not duplicate other studies and made a contribution to the sector, even if they were not immediately accepted by the government (JC 6.3, I6.3.3, review the TAF studies TOR).</i>”</li> <li>Ethiopia: “<i>TAF studies were coordinated by EEA and did not lead to duplication or overlap even though there were many studies being done by different donors in related areas (JC 6.3, i6.3.33, Interview ET13).</i>”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Zambia interviews (country note)</li> <li>Tanzania interviews (country note)</li> <li>Rwanda interviews (country note)</li> <li>Ethiopia interviews (country note)</li> </ul>	More than satisfactory
<b>Summary and analysis of findings for the indicator</b>		



Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>TAF studies did not duplicate existing internal studies</li> <li>TAF studies were used by country partners and for EU programme formulation.</li> </ul>			
<b>I- 6.3.4 Extent to which EU initiatives were monitored and findings used</b>			
<ul style="list-style-type: none"> <li>Among 7 initiatives 5 of them are annually reporting (including financial data and information on projects) <ul style="list-style-type: none"> <li>EUEI and ITF produced annual report, where progresses were tracked.</li> </ul> </li> <li>TAF and the Energy Facility monitoring system did not provide clear information on budget spending and management</li> </ul>		Strong	
<ul style="list-style-type: none"> <li>The monitoring is unequal among initiatives as presented below.</li> <li>ITF and EUEI have a strong monitoring system</li> </ul>			
<ul style="list-style-type: none"> <li>The EUEI PDF monitoring and evaluation system “Tracks all results and continuously informs and improves the planning and management of the EUEI PDF’s interventions. Most of the actions, such as the RECP match-making events, workshops, conferences, different capacity building measures and policy advisory interventions, etc. are evaluated through client satisfaction surveys, following a standard procedure. This allows for continuous adjustment and improvement of these services, based on direct feedback of the clients and participants. The programme has also set up a standardised system of evaluations, including ex-post evaluations. The SEADS interventions are evaluated 6 and 12 months after their finalization and – for a selected sample of measures – even 18 months later. In comparison to other programmes this procedure represents a distinct advantage and has been actively used for improving service delivery. The “Results Report” shows that the performance of SEADS services has improved over the last 10 years due to the learning processes set in motion by the monitoring system.”</li> <li>ITF produces semi-annual monitoring reports</li> </ul>	<ul style="list-style-type: none"> <li>EUEI PDF Mid-term Review Phase 3 (April 2015 – March 2017) Report – June 2017</li> </ul>	Strong	
<ul style="list-style-type: none"> <li>Limited number of staff for monitoring TAF ESA and WCA interventions</li> </ul>	<ul style="list-style-type: none"> <li>TAF-ESA/WCA ROM Report 2016</li> </ul>	More than satisfactory	
<ul style="list-style-type: none"> <li>Evidences of monitoring/lack of monitoring of geographic initiatives across visited countries: <ul style="list-style-type: none"> <li>Rwanda: “The EU assessment of budget support is highly professional, consistent and systematic and provides a close monitoring and follow up” (JC6.3, I6.3.4, EUD assessment of 3<sup>rd</sup> disbursement tranche).</li> <li>Benin: Design of monitoring indicators is weak compared to the level (financial commitment) of the TA interventions. The logic of intervention is driven by the overall impact in terms of energy objectives, and not human resources development (JC, 6.3, I6.3.3, RECASEB Programme Documents)</li> </ul> </li> </ul>			
Energy facility	<ul style="list-style-type: none"> <li>“The Commission did not monitor all projects properly. The implementing partners’ reporting was of uneven quality and the support given by the consultant hired by DG International Cooperation and Development to improve the reporting had a positive but limited effect. For some projects which experienced serious implementation difficulties, the Commission did not take appropriate and timely measures:</li> </ul>	<ul style="list-style-type: none"> <li>Court of Auditors Report on EF, 2015</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>○ (a) it did not attempt to enforce compliance with the reporting obligations set out in the grant contracts;</li> <li>○ (b) it did not make sufficient use of on-site visits to projects by programme managers in EU delegations and of ROM reviews to complement the information provided by the implementing partners, particularly when projects were known to encounter serious difficulties;</li> </ul>		
	<ul style="list-style-type: none"> <li>● The Energy Facility has developed a monitoring guide addressed to the EUDs</li> </ul>	<ul style="list-style-type: none"> <li>● ACP-EU Energy Facility Project Monitoring Guide for EU Delegations - A guide to monitoring technologies, governance and institutional frameworks, 2012</li> </ul>	
<b>Summary and analysis of findings for the indicator</b>			
<ol style="list-style-type: none"> <li>1. There are indications that not all EU initiatives and their respective interventions were systematically monitored and evaluated.</li> <li>2. The definition of a result framework specific to each instrument was sometimes challenging to establish due to hardly measurable outcomes.</li> <li>3. The lack of theory of change within a programmatic approach of EU intervention was also problematic as all facilities tend to measure their outcomes in terms of RE, access, and EE. Some of the facilities functioned as support and as such should rather focus on defining their own outcomes and associated indicators of progress.</li> <li>4. However, activities were monitored, and EU did in most cases implement corrective actions, such as outsourcing monitoring of the EF projects.</li> </ol>			
<b>JC 6.4 Degree to which EU sustainable energy cooperation was visible</b>			
<b>I- 6.4.1 Compliance with visibility contracts</b>			
	<ul style="list-style-type: none"> <li>● There was a visibility clause in all contracts (incl. the obligation to set a communication plan).</li> <li>● Existence and accessibility of EU manual and templates for visibility and communication plan.</li> </ul>	<ul style="list-style-type: none"> <li>● Contracts for sample projects</li> <li>● EU website</li> </ul>	Strong
	<ul style="list-style-type: none"> <li>● The visibility of EU initiatives was monitored: <ul style="list-style-type: none"> <li>○ EC-AITF reports have a section on visibility action for each blending project (including the 8 blending projects in our sample)</li> </ul> </li> <li>● The Energy Facility, EUEI and RECP are monitoring visits and uses of their website.</li> </ul>	<ul style="list-style-type: none"> <li>● ITF semi-annual report, 2016</li> <li>● Interview RECP and DEM, March and August 2017, EUEI monitoring tool communication and visibility (excel doc, 2016-2017)</li> </ul>	Strong
	<ul style="list-style-type: none"> <li>● International and/or country-based public events add visibility to EU initiatives:</li> </ul>	<ul style="list-style-type: none"> <li>● Zambia EAMR Report 2015, p. 57</li> </ul>	Indicative but not conclusive

Summary response	Sources of information	Quality of evidence
<p><i>“The public event entitled "European Union and EU Member States COP21 Coalition Building" As an immediate follow up to this outreach event and on initiative of the Government of the Republic of Zambia, the EU Head of Delegation, the French Ambassador and the Coordinator of the Climate Change Secretariat were invited for a one-hour panel discussion on the same subject "Open line" broadcasted live on Zambia National television.”</i></p>		
<ul style="list-style-type: none"> <li>• No clear instances of non-compliance have been found from the project sample. <ul style="list-style-type: none"> <li>○ All projects for which visibility was assessed were found compliant. The visibility was not assessed for two projects (i.e. TA-24660-Mwenga HPP in Tanzania, and the ZA-38238-Trans KL project in Zambia)</li> </ul> </li> <li>• Strong evidence of good visibility and contractors’ compliance with visibility contracts from fieldwork <ul style="list-style-type: none"> <li>○ Tanzania: The TaTEDO project complied with the EU visibility (on the equipment) (photo of equipment).</li> <li>○ Tanzania: The Mwenga projects have gotten a wide coverage since 2012 till now: newspaper articles, national news coverage, radio coverage, parliamentary discussions, district and community meetings, regular stakeholder engagements, signage, flyers, etc. (TZ16 by mail).</li> <li>○ Tanzania: For the JUMEME mini-grids project the visibility was done through billboards and leaflets (placed and distributed in the beneficiaries’ villages). Moreover, during the public meeting and workshop, the project was always presented as an EU funded action (TZ17 by mail).</li> <li>○ Rwanda: The Mobisol project has complied with the EU visibility (on the equipment and also the promotional flyers, etc.) (Photo of equipment and flyer).</li> <li>○ Liberia: Good visibility of EU as project financier (except for the CLSG), and recognition of GoL and DPs of EU as one of the largest development partners in the sector.</li> <li>○ Ethiopia: Visibility requirements were largely met (Photographs).</li> <li>○ Zambia: The EUD encouraged partners to make efforts to increase the visibility of its interventions through physical billboards on-site, the EUD itself increased information on the EUD website and in EUD quarterly newsletters, and the EUD hand-outs such as EU caps and T-shirts to local people, etc. were welcomed by partners.</li> <li>○ Benin: the EUD itself supported visibility actions through the compilation of information sharing and outreach materials. Visibility requirements were largely met (Photographs)</li> <li>○ Nigeria: An NGO was recruited for visibility actions on sustainable energy and climate changes.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• ROM LI-22467-Energy for health Inst</li> <li>• ROM RW-24660-Prepaid SHS</li> <li>• ROM TA-24660-Mwenga HPP</li> <li>• ITF monitoring report 2016</li>   <li>• Interviews and field observations in visited countries (country notes)</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• In few cases, there were indication of weaknesses in implementation of visibility actions: <ul style="list-style-type: none"> <li>○ LI-22467-RE Strategy: Project partners comply but limited EU visibility in documents and reports</li> <li>○ NI-23551-EASE: “EU visibility is insufficient on the training component and Katsina-reforestation”.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• ROM LI-22467-RE Strategy</li> <li>• ROM NI-23551-EASE</li> </ul>	
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>1. EUDS engaged in making EU visible at country level.</li> <li>2. There are strong indications that project partners did comply with visibility contract.</li> </ol>		

Summary response	Sources of information	Quality of evidence	
<b>I- 6.4.2 Extent to which various EU modalities of interventions affect EU sustainable energy cooperation visibility</b>			
Leveraging funds	<ul style="list-style-type: none"> <li>• At initiative level the visibility was high, but at the project level, the visibility was low               <ul style="list-style-type: none"> <li>○ GEEREF is a fund of funds. It has good EU visibility, but the projects do not have strong EU visibility, EU flag not evident, EU rarely mentioned.</li> <li>○ GEEREF – the EU flag helps the funds in gaining recognition and prestige from other funders and the private sector, with the flag a small fund gets a big lift in credibility</li> <li>○ Blending: The EU visibility generally remained low in the cases examined (at project level) – for the ITF itself the EU visibility is high (e.g. a prize for best African project preparation facility was awarded in 2016)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF website</li>   <li>• Blending Evaluation, pp.63-64</li> </ul>	Strong
Co-financing	<ul style="list-style-type: none"> <li>• A number of project beneficiaries associated projects with MS/other DPs and did not mention EU as project financier               <ul style="list-style-type: none"> <li>○ Low visibility of EU as a financier of the CLSG project (Liberia)</li> <li>○ Nigeria: Low visibility of EU as a financier of projects, however visibility of EU as one of the largest development partners in Nigeria. The EASE for example was mainly associated to GIZ, and EU as financier was not mentioned by most of project beneficiaries (for which some of them were also project partners). (NIG 03/13/14/15/16/17) Cote d’Ivoire: Low visibility of EU as a financier of the 105 localities project (co-financing and joint implementation EU, AFD, GIZ)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Liberia Interviews (country note)</li> </ul>	Indicative but not conclusive
Budget support	<ul style="list-style-type: none"> <li>• There are indications that budget support has had the effect of reducing visibility or at least creating new challenges for visibility:               <ul style="list-style-type: none"> <li>○ The Rwanda EUD noted in 2015:” As the vast majority of our funds are now in the form of sector Budget Support, visibility is becoming an issue that is not linked to our cooperation with other Development Partners. Visibility has become a much more complex matter. Already now we are in the process of combining visibility resources from various initiatives, including from visibility resources that we received from HQ directly.”</li> <li>○ Rwanda: <i>The budget support operations have a low visual visibility in terms of flags but as the first provider of budget support in the sector in Rwanda (now being followed up by a Development Policy Loan by the World Bank) the EU has a very high visibility in the sector</i> (JC6.4, I6.4.2, interviews RW11/12/14).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda EAMR Report 2015</li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence	
Supporting private sector	<ul style="list-style-type: none"> <li>• RECP is quite visible, 50,000 visits to their website last year. This visibility is due to their agreements with several industrial sector associations and cooperation with RE initiatives, a newsletter and twitter messaging.</li> <li>• “The RECP website is the essential gate-way for users to access our services. To illustrate the high interest, we are experiencing:               <ul style="list-style-type: none"> <li>- We are currently receiving about 1400 visitors on the website per week (during peaks, i.e. before or after major events, more than that)</li> <li>- In 2016, the website had a total of more than 40.000 unique visitors (i.e. unique IP addresses. Some users may use several devices through). To this day, we have a total of 86.000 visitors. In other words: for this year alone, we have already much exceeded the visitor numbers for last year.”</li> </ul> </li> <li>• All documents give prominence to the EU, there is no doubt it is an EU initiative</li> </ul>	<ul style="list-style-type: none"> <li>• Interview</li> <li>• Communication with RECP manager, August 2017</li> <li>• ElectriFi website</li> <li>• ElectriFi presentation</li> </ul>	Strong
Policy dialogue	<ul style="list-style-type: none"> <li>• EUEI website provides access to a project database and EU is referred to</li> <li>• As a multi-donor instrument, the EUEI PDF pools European strengths and increases the visibility of European development cooperation in the energy sector.</li> <li>• Still the EUEI visibility appeared low:               <ul style="list-style-type: none"> <li>○ Around 14,000 visits of their website per year</li> <li>○ During field visits awareness on these policy coordination platforms was low. In only few cases stakeholders knew or had been involved in platforms activities.</li> <li>○ None of the interviewees in Ethiopia have mentioned the 2016 “AEEP Mapping of Energy Initiatives and Programs in Africa”</li> <li>○ Nigeria: EU is a visible dialogue partner in the DP working groups and for GoN at the technical level, but the visibility is low outside this arena (e.g. at the political level and the broader sector).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• EUEI website</li> <li>• EUEI PDF Mid-term review 2015</li> <li>• EUEI monitoring tool communication and visibility (excel doc, 2016-2017)</li> <li>• Country notes</li> <li>• Ethiopia interview (country note)</li> <li>• Nigeria interview (country note)</li> </ul>	More than satisfactory
Call for proposals	<ul style="list-style-type: none"> <li>• The energy facility website provides access to a project database and infographic on the achieved results</li> <li>• Accessible project publications and outreach material: 27 Videos and brochures available.</li> <li>• The Energy facility increases the visibility of EU support to sustainable energy:               <ul style="list-style-type: none"> <li>○ Three Energy Facility contracts are ongoing and are very much reinforcing the EU's presence in the Energy sector since they are achieving politically very visible results and are</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="http://energyfacilitymonitoring.eu/resources/outputs/project-publications/">http://energyfacilitymonitoring.eu/resources/outputs/project-publications/</a></li> <li>• Liberia EAMR Report, 2014, p. 18</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
	complementary to the rural electrification component of the 11th NIP. They are also targeting the issue or providing power to the health facilities, an extremely relevant result in terms post-Ebola rehabilitation”	
<ul style="list-style-type: none"> <li>• Need to better communicate results and “impact stories”.               <ul style="list-style-type: none"> <li>○ Zambia: <i>During the evaluation team’s interviews some stakeholders however found that there was still a need for the EU (and indeed other donors and multilateral development partners) to give increased attention to eliciting and communicating results and impact stories – the “good story” communicated in a targeted manner to different audiences was seen as having important and self-reinforcing effects in upscaling and replication and of course also serving a purpose in informing the international community and EU taxpayers.</i></li> <li>○ Nigeria, Benin and Cote d’Ivoire: <i>EUDs and MS found that there was still a need for the EU to communicate results and impact stories to build lessons learnt from past experiences and inform directions.</i></li> </ul> </li> </ul>		More than satisfactory
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>1. Good EU visibility through its instruments (finding for each instrument presented below)           <ul style="list-style-type: none"> <li>• All EU facilities have a website where a clear sign of EU appears on the website (Sigle/flag/sometimes even the colour is used as an additional reference)</li> <li>• Description of instruments always refer to EU findings and date of creation by EU</li> </ul> </li> <li>2. However, visibility at project level is less evident and is diluted by indirect modalities of project implementation.</li> <li>3. There remains a need to better communicate EU strategic studies, results and impacts.</li> <li>4. Some modalities of interventions are less prone to visibility (i.e. indirect interventions are diluting EU visibility as financier of a project)</li> </ol>		

## **EQ7 Coordination, complementarity and added value**

Rationale: Aid and investments in sustainable energy have significantly increased in the last decade. Donors and IFIs have multiplied their interventions and instruments of support. However, achieving the SE4All and SGD goals will still require large contributions. “Doing more with less” in a context of development assistance contraction has become critical. In this complex context with multiple actors, *coordination* with MS and other development partners at global, regional, and country levels, as well as *complementarity* with actions of EU Member States, are essential to ensure the effectiveness of sustainable energy cooperation. Therefore, JC1 examines coordination **mechanisms** both at policy and operational level, and JC2 considers the division of labour between EU and MS.

This also raises the question of EU comparative advantage in delivering aid to the sector vis a vis MS intervention. (JC3)

Coverage: The EQ addresses policy and operational coordination, complementarity, and added-value of interventions as planned in all the selected interventions and defined as follows.

- Coordination at policy and operational level refers to activities with other development partner/agents at national/regional and international level to harmonize their policies, programmes, procedures and practices.
- Complementarity refers to the division of labour between EU and MS.
- Added value-added refers to EU comparative advantage vis a vis MS intervention.

Various mechanisms of coordination and complementarity were reviewed to address the question on whether they have enabled effective cooperation and coordination between EU, other donors (incl. MS) and IFIs:

- EU platforms such as AEEP and EUEI which were set-up with the objective of increased coordination
- Joint-programming and co-financing mechanisms (i.e. pooling funds) to avoid duplication and fragmentation.

The focus will be on mechanisms as defined at policy level, in the project/programme identification and definition phases, and whether they are successfully implemented.

Link with OECD/DAC evaluation criteria: The EQ addresses the relevance, efficiency, effectiveness, and sustainability criteria

Link with IL: The question focuses on the links between EU interventions areas and other donor strategies and actions, with a focus on MS.

## JC 7.1 Degree to which EU support to SE was well coordinated at policy and operational level

### Summary for JC 7.1

- EU initiated and was involved in a number of global mechanisms to coordinate SE cooperation at policy level.
- The EU also set-up platforms and joint partnerships, such as the EUEI and the AEEP, to engage policy dialogue with MS and country partners.
- These coordination mechanisms and platforms contributed to an increased coordination at policy level, measured by trust, political and financial commitments as well as harmonisation between EU and MSs
- Policy coordination platforms and mechanisms at international level were complementary to EU initiatives in policy coordination at national level
- EU was proactive and initiated DPs coordination groups and took the lead for half of the countries reviewed
- The EUEI platform assisted with coordination at country level, through strategic studies, such as energy plans and strategies, which provided a framework for donor coordination
- Coordination with MS was regularly undertaken, and in half of the sample projects co-financing agreement with MS were signed
- EU involvement and contribution to operational coordination (i.e. DPs groups at country level) strengthened cooperation in the sector

**Conclusion:** JC validated.

**EU initiated and was involved in a number of global mechanisms to coordinate SE cooperation at policy level.** In 2012, EU organised a Strategic Group for International Energy Cooperation, regrouping Member States' Energy and Foreign Affairs Ministries and the European External Action Service (EEAS), to identify and discuss common priorities. EU was engaged in research and setting goals, through its participation on existing task forces and groups internationally, such as IRENA, and SE4All initiative. The EU also set-up platforms and joint partnerships, such as the EU Energy Initiative (EUEI) and the African European Energy Partnership (AEEP), to engage policy dialogue with Member States and country partners. This policy dialogue took the forms of i) high level meetings and forums regrouping the European Community, Member States, the European Investment Bank (EIB), the European External Action Services and partner country officials, ii) information and communication activities through the EUEI, involving energy experts as well as representatives of the private sector; iii) and most convincingly joint-strategies and decisions through the engagement of partners in the governance structure of the Joint EU Africa strategy. There was a large diversity of participating entities in international forums and platforms (i.e. Member States, International Financial Institutions, private sector, energy experts, senior officials from partner countries). The level of representation was adapted to increase needs for policy coordination. Ministerial, executive and technical stakeholders were involved. (Indicator 7.1.1)

**These coordination mechanisms and platforms contributed to an increased coordination at policy level, measured by trust, political and financial commitments as well as harmonisation between EU and MSs.** EU built trust and was presented in AEEP reports as an “*honest broker*”. During the field visits, energy stakeholders also emphasized their trust in EU as a “*neutral*” development partner. (Interviews in Ethiopia, Liberia, Ivory Coast, Zambia, Nigeria, Benin) The AEEP resulted in the formulation of political targets towards 2020 for energy security, renewable energy, energy efficiency and energy access (AEEP, 2016). The partnership also led to increased financial commitments to the energy sector from EU, MS, and



partner countries. Between 2012 and 2014, funding to energy in Africa raised from around 5 billion to 9 billion. (AEEP, 2016) Overall, the general perception of energy stakeholders in Ethiopia, Nigeria, Benin, Ivory Coast, and Liberia is that EU and MS “*speak with one voice*”. In Rwanda a joint statement for the Green Diplomacy Day was formulated in 2015 (Rwanda EAMR Report, 2015), and in Zambia “the European Union and EU Member States organized the COP21 Coalition Building” (Zambia EAMR Report, 2015). (Indicator 7.1.1)

**Policy coordination platforms and mechanisms at international level were complementary to EU initiatives in policy coordination at national level.** However, there were not strong synergies between globally driven initiatives and country initiatives. In most visited countries, there was a lack of awareness on these international platforms. The EU delegations (EUDs) in Nigeria, Ivory coast and Liberia mentioned the lack of coordination between these platforms initiatives and initiatives at country level. In some countries, global and national initiatives in policy coordination were not addressed to the same representatives, which resulted in fragmentation. In Benin, Cote d’Ivoire and Tanzania, the technical representatives of the sector faced a situation in which their partnership with EU was aligned with the SE4All agenda of increased renewable energy, while ministerial and executive representatives promoted large coal/diesel fuelled projects. (Indicator 7.1.1)

As for coordination at policy level, **EU was proactive and initiated DPs coordination groups and took the lead for half of the countries reviewed.** According to EAMR reports and confirmed in those countries visited by the evaluation team, EUDs participated regularly at Development Partner coordination group meetings and energy sector working groups in 10 countries out of 12 countries reviewed from the sample. In six out of 12 countries, the EU initiated or took the lead for coordination groups. The EU leadership of DP coordination groups was appreciated by other DPs and national partners and they could point to concrete benefits in all visited countries. When coordination was weak, EU engaged in supporting national partner institutions. In Liberia for example EU supported RREA in setting-up the renewable energy group. (Indicator 7.1.2)

**The EUEI platform assisted with coordination at country level, through strategic studies, such as energy plans and strategies, which provided a framework for donor coordination.** The EUEI mid-term review found for example that “*The Biomass Energy Strategy (BEST) development for Mozambique is a good example of a EUEI PDF activity helping to create a platform for donor coordination*”. The initiated BEST-projects (BESTs have been initiated in Uganda, Tanzania and Ethiopia) will follow this example and build a platform for (future) harmonization in the biomass sector.” The Technical Assistance Facility (TAF) studies and energy sector analysis were also mentioned as providing a valuable framework. The TAF was for example contracted to create and update a list and a database on all SE4ALL events and studies. Through capacity building and institutional strengthening, it also reinforced the overall alignment to SE4All objectives, such as its support to Rural and Renewable Energy Agency in Liberia and to the Ministry of Energy in Benin. (Indicator 7.1.2)

**EU involvement and contribution to operational coordination (i.e. DPs groups at country level) strengthened cooperation in the sector.** The EU leadership of coordination groups is appreciated by other

development and national partners can point to concrete benefits. In Benin, the Millennium Challenge Corporation used the EUD sector annual review, as a strategic study to enter and position itself in the sector. Coordination with MS was regularly undertaken (i.e. weekly or monthly meetings between EUDs and Member States were reported every year in all EAMR reports. Joint-programming remained rare. Still, among 33 projects from the sample (excluding studies, and policy dialogue activities) at least 18 of them were co-financed. EUDs also pointed to concrete benefits such as: i) the strengthening of policy dialogue such as in Liberia and Nigeria, ii) the strengthening of EU position in the energy sector such as in Benin, Liberia, and Zambia; and iii) the strengthening of national institutions such as in Benin. (Indicators 7.1.2 and 7.1.3)

**Conclusion: JC validated.** EU took an active role in developing strong mechanisms for sustainable energy cooperation coordination at policy and operational level. EU was also actively involved in existing coordination groups. There was a large diversity of participating entities in international forums and platforms (i.e. Member States, International Financial Institutions, private sector, energy experts, senior officials from partner countries). According to the summary table below, the level of representation was adapted to increase policy coordination, involving ministerial, executive and technical stakeholders, although at country level senior country officials were not always actively engaged. Quality of evidence: strong/more than satisfactory

Table EQ7.2: Overview of coordination mechanisms

		SGIEC <sup>1</sup>	AEEP <sup>2</sup>	EUEI-IAGE <sup>3</sup>	DPCG <sup>4</sup>	ESWG <sup>5</sup>
Type	International forum		●	●		
	Policy	●	●	●	●	
	Operational coordination				●	●
Members	European Community		●	●		
	EU Delegations				●	●
	Member States	●	●	●	●	●
	African Caribbean Pacific Partners		●	●	●	●
	European Investment Bank			●		
	European External Action Services	●	●	●	●	●
	Other Development Partners		●	●	●	●
Representation	Ministerial	●	●			
	Executive	●	●	●	●	●
	Technical		●	●	●	●
	Financial		●	●	●	●
	Public		●	●	●	●
	Private		●			●
Purpose	Informative		●	●	●	●
	Consultative	●	●	●	●	●
	Decision-making	●	●	●		
	Implementing				●	●
	Monitoring		●		●	●
Regular/Frequent meetings			●	●	●	●

<sup>1</sup> Strategic Group for International Energy Cooperation

<sup>2</sup> African European Energy Partnership

<sup>3</sup> European Union Energy Initiative Informal Advisory Group on Energy

<sup>4</sup> Development Partner Coordination Group

<sup>5</sup> Energy Sector Working Group

## JC 7.2 Degree to which EU interventions within sustainable energy were complementary with MS actions

### Summary for JC 7.2

- The complementarity between EU and MS was not sufficiently well analysed at programming stage.
- No duplication in EU and MS projects was identified and the evidence shows a good division of labour between EU and MS in all countries sampled.

**Conclusion:** JC validated.

**The complementarity between EU and MS was not sufficiently well analysed at programming stage.** Although complementarity between EU and MS was described in all programming documents, the detailed analysis was most of the time missing. The EU published a tool kit for the implementation of complementarity and division of labour (2009). The review of programming documents for the sample, showed that recommended steps were not systematically implemented. Donor matrix and MS project mapping were not systematically available, and information provided was not consistent. In some cases, the breakdown by sector was missing, in other cases the value of allocated funds was not provided. (Indicator 7.2.1)

**No duplication in EU and MS projects was identified and the evidence showed a good division of labour between EU and MS in all countries sampled.** EU addressed the “*orphan gap*”<sup>88</sup>. Sustainable energy is a focal sector in 12 out of 36 fragile states (OECD list, 2012), and EU was also involved in countries where the electrification rates were the lowest (between 5-30%), and where few development partners had been engaged (OECD data). From the mapping of MS interventions, co-financing was found in eight out of eight countries, cases of simple division of labour were identified in four countries out of eight countries (i.e. synergies in area of interventions between EU and MS were identified in Nigeria, Liberia and Ivory Coast); and cases of delegated agreements were found in two countries out of eight countries (i.e. delegated cooperation to GIZ for the EASE project in Nigeria, and delegated cooperation to GIZ for the EN Dev project). There was however still a need to better manage the division of labour. EU’s engagement in Nigeria, Tanzania, Zambia, Philippines and Vietnam could be questioned considering the number of other development partners engaged in the sector. (Indicators 7.2.1 and 7.2.2)

**Conclusion: JC validated.** The evidence showed good complementarity between EU and MS actions as informed by the number of co-financing projects and other forms of division of labour. Furthermore, EU complementarity also involved the principle of inclusiveness of other DPs. Quality of evidence: strong/more than satisfactory

### JC 7.3 Degree to which EU support to SE added value compared to MS interventions

#### Summary for JC 7.3

- The added-value of EU interventions at country level was not systematically addressed in the programming documents.
- There is some evidence that the scale of the EU support, and its combination of global, regional and country support has added value. The added-value of EU initiatives was not systematically addressed.
- There is some evidence that EU initiatives added value to global sustainable energy cooperation.
- The EU initiatives added value can be translated as leveraging political commitment, strengthening policy dialogue, leveraging financial commitments, leveraging skills as well as increasing results and impacts.

**Conclusion:** JC partly validated.

**The added-value of EU interventions at country level was not systematically addressed in the programming documents.** The review of EU documents for the sample projects show that the added-value is most of the time not mentioned in the NIPs and actions documents. The concept is not well defined and most of the time only considered through aspects of EU complementarity with MS. (Indicator 7.3.1)

**There is some evidence that the scale of the EU support, and its combination of global, regional and country support has added value.** In half of the visited countries, EU country sector support was of a

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<sup>88</sup> The orphan gap refers to geographical gaps in aid distribution, where Official Development Assistance fragmentation lead to an “accumulation of providers in some countries – so called “darlings” – and gaps in aid provision in others – commonly known as “orphans””. (OECD),

scale that could not be supported as well by MSs. In Zambia, EU intervention represented 50% of expected DPs contribution to the sector. In Rwanda it represented 20% of the total support to the sector. In Benin, EU was the only development partner to invest at a large scale in technical assistance, despite the needs (20 millions). Finally, in Liberia, EU was the main development partner until the MCC compact in 2017. In the other countries, the evidence was less evident. (Indicator 7.3.1)

**The added-value of EU initiatives was not systematically addressed.** The attempt to define and evaluate the added-value was only clearly found in the blending and GEEREF related-documents. There was no justification of EU added-value in the EC decisions creating new initiatives/facilities, nor in the geographic programming documents (sample NIPS 2014-2020) (Indicator 7.3.2)

**There is some evidence that EU initiatives added value to global sustainable energy cooperation.** As pioneer initiatives, the blending and the Global Energy Efficiency and Renewable Energy Fund filled a gap in sustainable energy cooperation: “Only the Infrastructure Trust Fund provided interest rate subsidies; the other regional investment facilities did not, even though this was permitted by their regulatory and contractual framework.” (Court of Auditors Report, 2014) (Indicator 7.3.2)

**The EU initiatives added value can be translated as leveraging political commitment, strengthening policy dialogue, leveraging financial commitments, leveraging skills as well as increasing results and impacts.** The available evaluation reports and interviews indicate that:

- Trough policy dialogue and coordination, the AEEP and the EUEI leveraged political commitment. The African and European partners defined political targets towards 2020 for increased renewable energy generation capacity, increased efficiency and energy access. (EUEI, 2015 and AEEP, 2016)
- The AEEP as a partnership strengthened policy dialogue. (AEEP, 2016 and EU, 2016)
- The AEEP and blending leveraged financial commitments. Between 2012 and 2014, African and European contribution to the sector (incl. MS contributions) increased from € 4.78 Billion to € 9.24 Billion. (AEEP, 2016). With an SE4All envelope of 400 Million the ITF approved more than 40 projects, representing a total investment of more than 5,5 billion (Blending database)
- The EUEI and blending leveraged skills through network development and joint-implementation. According to Blending evaluation report: “*Blending has mobilised the skills and experience of the IFIs and through its scale also served to deepen and enhance these skills within the IFIs. Without the blending operations carried out through the IFIs, the EU would not have been able, at least with its current staffing arrangements, to engage to the same extent in complex and large-scale infrastructure and access to finance operations. The banking, risks management and project supervision skills of the IFIs have added value to the EU development cooperation. And, the development insights of the EU have added value to the operations of the IFIs*” (EU, 2016).
- EU through the scale and the spread of its interventions increased results to delivered upon the SE4ALL agenda. The energy facility projects delivered 173 pro-poor projects in more

than 70 ACP countries. Blending in delivering large scale projects and leveraging funds also contributed in scaling-up results. (EU, 2016, Court of Auditors, 2014, Empowering Development, 2015) Finally, blending and GEREEF through a quality process of project selection increased social impacts and environmental sustainability. (Indicator 7.3.2)

**Conclusion: JC partly validated.** There was evidence that EU support demonstrated significant value added. EU facilitated a joint greater effort of the EU and Members States towards sustainable energy. At operational level EU interventions and initiatives added value in bridging financial gaps and scaling-up impacts. However, there were also weak cases, which were in part due to a lack of systematic attention to identifying and exploiting opportunities for EU added value. Quality of evidence: more than satisfactory

Summary response	Sources of information	Quality of evidence	
<b>JC 7.1 Degree to which EU support to SE was well coordinated at policy and operational levels</b>			
<b>I- 7.1.1 Evidence of EU involvement and contribution to coordination at policy level</b>			
International	<ul style="list-style-type: none"> <li>Existence of a Strategic Group for International Energy Cooperation, set-up in 2012: “The aim of this Group, which includes the participation of Member States' Energy and Foreign Affairs Ministries and the European External Action Service (EEAS), is to identify and discuss common priorities, which could lead to development of joint initiatives and positions vis-à-vis third countries and regions.”</li> <li>However no information on the group activities found</li> <li>EU is a member of the International Renewable Energy agency. As such it contributes to research to inform international policies and trends and provides a policy coordination function.</li> </ul>	<ul style="list-style-type: none"> <li>EC COM 638, 2013, p. 5</li> <li><a href="http://www.irena.org/Menu/Index.aspx?mnu=Cat&amp;PriMenuID=46&amp;CatID=67">http://www.irena.org/Menu/Index.aspx?mnu=Cat&amp;PriMenuID=46&amp;CatID=67</a></li> </ul>	Indicative but not conclusive
ACP	<ul style="list-style-type: none"> <li>In 2002, the EUEI was set-up as a forum for exchanges between the EU and the MS around EU energy cooperation.</li> <li>Existence of an Informal Advisory Group on Energy (IAGE) gathering energy experts from Member States (ministries, agencies and development banks), the ACP Secretariat, the European Investment Bank (EIB), the Commission services and the EEAS. The IAGE holds consultation meetings within the framework of the EUEI coordination process.</li> <li>The EUEI has evolved as a policy dialogue platform regrouping EU, MS, and partner countries, and aims at improving “the coordination of the European contribution in the field of energy in development cooperation and to encourage the coherence and synergy of energy-related activities between the EC, EU MS, partner countries and other international organisations.”</li> <li>The EUEI organises coordination meetings: “EUEI Advisory Board meetings”, three time a year, where EU Member States, the European Commission and related stakeholders come together to discuss cooperation, coordination and joint action in the area of energy in development cooperation.</li> </ul>	<ul style="list-style-type: none"> <li>EC COM, 2002</li> <li>EUEI presentation on its website</li> <li>AD – Decision 024427</li> <li><a href="http://www.euei-pdf.org/en/euei/policy-dialogue-and-coordination">http://www.euei-pdf.org/en/euei/policy-dialogue-and-coordination</a></li> <li>EUEI, Annual Report, 2015</li> <li>EUEI, Annual Report, 2015</li> <li><a href="http://www.euei-pdf.org/en/euei/information-">http://www.euei-pdf.org/en/euei/information-</a></li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Since 2016 the EUEI publishes information newsletters providing information on energy policy developments, EU and MS activities, events and funding opportunities.</li> </ul>	<p>sharing-analysis-and-visibility/euei-monthly-bulletin</p>	
<ul style="list-style-type: none"> <li>• In 2016, the European Council reaffirmed the importance of EUEI.</li> </ul>	<ul style="list-style-type: none"> <li>• Council conclusions on Energy and Development, 2016</li> </ul>	<p>Indicative but not conclusive</p>
<ul style="list-style-type: none"> <li>• Coordination at policy level with Africa takes place through the Africa-EU Energy Partnership (AEEP). Created in 2007 under the Joint Africa-EU Strategy this political dialogue platform aims at “sharing knowledge, setting political priorities and developing joint programmes on the key energy issues and challenges in the 21st century.”</li> <li>• The governance structure of the AEEP in itself provides a platform for coordination at policy level.</li> <li>• The AEEP organises high level energy policy dialogue events: <ul style="list-style-type: none"> <li>○ <b>“High Level Meetings</b> - Meetings with over 400 European and African Ministers and non-state leaders from several different countries discussing how the AEEP targets can be achieved and its progress monitored.</li> <li>○ <b>The Stakeholder Forum</b> - A platform that hosts African and European Ministers, AU and EU Commissioners and more than 300 other high-level participants representing policy-makers, regional institutions, international organisations, the banking &amp; finance industry, the private sector, academia, the civil society and the media.</li> <li>○ National Energy Business Dialogues - These are organised at national level and aim to address a variety of issues such as legal and political framework for business actions, financial mechanisms for facilitating investment in renewable energy projects and involvement of SMEs.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="http://www.euei-pdf.org/en/aEEP/policy-dialogue-and-stakeholder-engagement">http://www.euei-pdf.org/en/aEEP/policy-dialogue-and-stakeholder-engagement</a></li> </ul>	<p>Strong</p>
<ul style="list-style-type: none"> <li>• EU and MS coordination meetings are also organised to: <ul style="list-style-type: none"> <li>○ “Reach a common understanding and agreement on AEEP issues before going into discussions and negotiations with African partners. At present, twelve EU member states and European institutions (European Commission, EU Delegation to the AU, European Parliament, Council Secretariat, and European External Action Service) are considered active members.</li> </ul> </li> <li>• Between 2012 and 2013, one EU coordination meeting took place.</li> </ul>	<ul style="list-style-type: none"> <li>• EUEI, Annual Report 2012-2013, 2013, p. 27</li> </ul>	



Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The EUEI support this coordination meetings through the organization of regular preliminary video conferences between the EU Co-Chairs and the EC, and the AEEP Co-Chairs and the EC.</li> </ul>	<ul style="list-style-type: none"> <li>EUEI, Annual Report 2012-2013, 2013, p. 29</li> </ul>	
<ul style="list-style-type: none"> <li>One EU success in its coordination initiatives is the trust it has built with its partners: <ul style="list-style-type: none"> <li>“To ensure effective coordination of energy initiatives in Africa, principles of discipline, trust, and honesty have to be taken on board.”</li> <li>“The Africa-EU Energy Partnership (AEEP) was called upon by key actors in Europe, Africa and beyond in its role as an honest broker to support the realization of a coordination effort of the numerous energy initiatives operating in Africa.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Aboubakari Baba Moussa, Director, Infrastructure and Energy Department AUC and AEEP Co-Chair</li> <li>EUEI Annual Report, 2015</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>Other concrete outcomes are: <ul style="list-style-type: none"> <li>The formulation of a common EU-Africa strategic framework: “The AEEP’s 2020 Targets for Africa”.</li> <li>Political targets aligned with SE4ALL objectives: 10,000 MW hydro installed, 5,000 MW Wind installed, 500 MW solar installed, tripling other renewables (geothermal and biomass), reduction in network losses and energy intensity, electricity access and cooking for an additional 100 million people</li> <li>A mapping exercise of major energy initiatives in Africa, with a report available on AEEP website</li> <li>A coordination framework for energy initiatives in Africa within the SE4All objectives, presented at the COP 21.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>AEEP status Report, 2016</li> <li>AEEP report, 2016, p. 12</li> <li>AEEP Mapping of energy initiatives and programmes in Africa, 2016</li> <li>EUEI Annual Report, 2015</li> </ul>	
<ul style="list-style-type: none"> <li>During field visits awareness on these policy coordination platforms was low. <ul style="list-style-type: none"> <li>Ethiopia: None of the interviewees in Ethiopia have mentioned the 2016 “AEEP Mapping of Energy Initiatives and Programs in Africa</li> </ul> </li> <li>A few EUDs mentioned the lack of coordination and overlap between studies/actions undertaken by EUEI and at national level (Liberia, Benin, Cote d’Ivoire, Ethiopia)</li> <li>In only few cases stakeholders knew or had been involved in platforms activities. <ul style="list-style-type: none"> <li>Nigeria: The ECOWAS representatives were well informed and had participated in the EUEI events.</li> </ul> </li> <li>According to the interviews policy coordination occurred within the framework of EU engagement in national coordination mechanisms. (Benin, Liberia)</li> </ul>	<ul style="list-style-type: none"> <li>Interviews Ethiopia (Country note)</li> <li>Interviews Ethiopia (Country note)</li> <li>Interviews Nigeria (Country note)</li> <li>Interviews Benin, Liberia</li> </ul>	More than satisfactory

Summary response		Sources of information	Quality of evidence
		(Country note)	
SE4All	<ul style="list-style-type: none"> <li>The European Commissioner for Development is the co-leader of a task force on Country Action for Universal Energy Access that has been established under the UN initiative "Sustainable Energy for All"</li> </ul>	<ul style="list-style-type: none"> <li>AD- MC-24335-ITF SE4All</li> </ul>	More than satisfactory
	<ul style="list-style-type: none"> <li>The ITF has served also as a European platform for infrastructure projects in Sub-Saharan Africa both at a technical level (PFG) and political level (Executive Committee, chaired by the European Commission).</li> </ul>	<ul style="list-style-type: none"> <li>AD- MC-24335-ITF SE4All</li> </ul>	
	<ul style="list-style-type: none"> <li>The EBRD is leading one of the 4 regional hubs for the SE4All initiative.</li> </ul>	<ul style="list-style-type: none"> <li>SE4All website</li> </ul>	
Policy coordination at national level	<ul style="list-style-type: none"> <li>Coordination at policy level was recently more limited due to staff turnover and elections in Benin, Liberia, Nigeria, and Cote d'Ivoire.</li> <li>Furthermore, across the country cases it appeared that EU policy coordination was more a result of numerous engagements at international level and driven by HQ initiatives (i.e. Joint Declarations)</li> <li>Still, there was a recognition by national stakeholders and other DPs that EU and MS speak with one voice: <ul style="list-style-type: none"> <li>Furthermore, the COP21 seems to have created a momentum, where multiple events at country level have been organized to present a joint position. Examples found are: <ul style="list-style-type: none"> <li>A joint statement for the Green Diplomacy Day (17th June 2015) in Rwanda</li> <li>The "European Union and EU Member States COP21 Coalition Building" (9th November 2015) event in Zambia.</li> <li>Cote d'Ivoire</li> </ul> </li> <li>In some countries EU has also established a common political agenda: <ul style="list-style-type: none"> <li>Zambia: "The EU as a lead in the development partner troika with the WB and</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Country visit field reports</li> <li>Rwanda EAMR Report, 2015</li> <li>Zambia, EAMR Report, 2015, p. 57</li> <li>Interviews Cote d'Ivoire</li> </ul>	Strong
	<ul style="list-style-type: none"> <li>The governance structure of EIB provides a platform for policy coordination.</li> </ul>	<ul style="list-style-type: none"> <li>EIB website</li> </ul>	Indicative but not conclusive
<b>Summary and analysis of findings for the indicator</b>			
<ol style="list-style-type: none"> <li>The evidences show that EU was involved in coordination at policy level, through participation to existing task forces and groups internationally, such as IRENA, and SE4All initiative.</li> <li>EU also set-up policy dialogue platforms which aimed at coordinating policy between EU, MS and country partners. This demonstrates an attempt to position the institution as a lead in coordination at policy level.</li> </ol>			

Summary response	Sources of information	Quality of evidence	
<p>3. Coordination at policy level took the forms of i) high level meeting and forums regrouping the EC, MS, EIB, EEAS and partner country officials, ii) information and communication activities through the EUEI; iii) and most convincingly joint-strategies and decisions through the engagement of partners in the governance structure of the Joint EU Africa strategy.</p> <p>4. The evidence shows that these coordination structures and mechanisms contributed to an increased coordination at policy level, measured by i) trust, ii) political priorities and energy targets sets, iii) increased financial commitments to the energy sector from EU, MS, and partner countries.</p> <p>5. Strategic and policy dialogues with MS were regular and led to “EU and MS speaking with one voice”. They met 3 time a year to discuss cooperation, coordination and joint action in the area of energy in development cooperation.</p> <p>6. The mechanisms set were targeting a broad panel of prerogatives: information, research, consultation, joint-analysis, joint-strategies, decision-making and monitoring.</p> <p>7. Policy coordination platforms and mechanisms at international level appeared complementary to EU initiatives in policy coordination at national level, but there were not strong synergies as informed by the lack of awareness on these mechanisms at national sector level.</p>			
<b>I- 7.1.2 EU Evidence of EU involvement and contribution to country coordination groups/mechanisms</b>			
Mechanisms	<ul style="list-style-type: none"> <li>• Coordination is part of EU treaties, and as such EU has set several internal processes to ensure it is organised at country level and monitored.</li> <li>• The EC budget support and sustainable energy methodological note (2016) addressed to EUDs provides guidelines on how to approach coordination at country level and raises the following issues to be considered: <ul style="list-style-type: none"> <li>○ “How efficient is this coordination with regard to development and implementation of relevant policies and actions”</li> <li>○ “Which donors are deeply involved in the sector and available to provide advice and leadership?”</li> <li>○ “(...) close coordination and synergies should be established with other donors active in the sector, notably the multilateral financing institutions. This should allow the mobilisation of specific expertise developed by other donors and facilitate policy dialogue with the government”</li> </ul> </li> <li>• Coordination is monitored annually at country level through the EAMRs. Mechanisms of coordination are systematically described, while EU actions in that area and their results are provided in most cases.</li> </ul>	<ul style="list-style-type: none"> <li>• EC Budget support and sustainable energy methodological note, Draft 2016</li> <li>• Country EAMR Reports 2011-2016</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• EU policy platforms and Technical Assistance also assisted with coordination at country level. Strategic studies, such as energy plans and strategies provide a framework for donor coordination, such as: <ul style="list-style-type: none"> <li>○ “The Biomass Energy Strategy (BEST) development for Mozambique is a good example of a EUEI PDF activity helping to create a platform for donor coordination. The initiated BEST-projects (BESTs have been initiated in Uganda, Tanzania and Ethiopia) will follow this example and build a platform for (future) harmonization in the biomass sector.”</li> <li>○ In most countries, TAF has been used in development coordination through TA for the formulation of the energy component of the NIP and resulted in alignment with government plans and ownership. Very few cases of lack of government ownership were identified during the field visit.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• EUEI, Annual Report 2012-2013, 2013, p. 10</li> <li>• Interviews in visited country (country report)</li> <li>• TAF project list</li> </ul>	More than satisfactory
<ul style="list-style-type: none"> <li>• According to the Blending Evaluation report: <i>“Blending led to strengthened donor coordination especially in the recent years with a greater involvement of the EU delegations, particularly at preparatory stage – by ensuring consistent approaches were adopted across grant and loan operations. IFIs have exchanged knowledge and experience by cooperating on blending projects.”</i></li> </ul>	<ul style="list-style-type: none"> <li>• Blending Evaluation, pp.63-64</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• According to documents reviewed, EU is member of donor coordination groups in every country and participate actively to the meetings.</li> <li>• In Ivory Coast, Liberia, Nigeria and Benin, Zambia EU has been/is the lead of donor coordination group.</li> <li>• EU initiated coordination groups in Ivory Coast and Benin</li> </ul>	<ul style="list-style-type: none"> <li>• Country NIPs and MIPs, Action Documents, and EAMR Reports 2011-2016</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• When established, EU is also member of Energy Sector/Thematic Working Groups: such as in Rwanda, Tanzania, Liberia, Nigeria and Barbados.</li> </ul>	<ul style="list-style-type: none"> <li>• Country NIPs and MIPs, Action Documents and EARM Reports 2011-2016</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• Coordination between EU and MS takes the form of regular meetings between the Heads of Cooperation. In some countries, these meetings are held every month. Workshops and conferences are also organised to present common EU and MS positions and actions <ul style="list-style-type: none"> <li>○ “A half-day workshop in September 2015 was organised as a platform for exploring prospects for joint planning and programming. The objective was to share analyses</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Country EARM Reports 2011-2016</li> <li>• Zambia EAMR Report, 2015, p.30</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence	
	<p>concerning Zambia's long-term development needs, including political economy and to explore how collective political EU leverage could be used, taking into account the SDGs and our comparative advantages. In the meeting, it became clear that some Member States are open to closer collaboration at EU level while Sweden explained that it will determine on an ad-hoc basis what the best like-minded partner would be and the UK prefers to keep coordination and collaboration as wide as possible, with a maximum number of partners, even if not like-minded. The meeting did however share ideas for closer collaboration at sectoral level (health, agriculture, energy, education) and at transversal level: gender and environment/climate change. The meeting also looked into ideas to improve collective EU visibility (for instance through joint annual reports or specific events)”</p>		
	<ul style="list-style-type: none"> <li>• The EAMRs also highlight coordination processes between EU and the EIB at national and regional levels to ensure blending opportunities are captured and to increase synergies. They are directly addressed in Tanzania.</li> <li>• Synergies between EDF projects and potential interventions of the AITF are anticipated at programmatic stage.</li> </ul>	<ul style="list-style-type: none"> <li>• Country EAMR Reports, 2011-2016</li> <li>• NIPs</li> </ul>	Strong
Issues	<ul style="list-style-type: none"> <li>• Coordination issues are reported in the EAMRs and are mainly due to: <ul style="list-style-type: none"> <li>○ Administrative turnover</li> <li>▪ Example of coordination issues due to administrative turnover</li> <li>▪ “The EUD engaged in a structured dialogue around the identification and formulation of an Energy Sector Budget Support operation in coordination with the WB, ADB and Dfid. However, this could not be satisfactorily completed by year end notably due to the developments around the IPTL case which eventually prompted the change of the leadership of both the Ministry of Energy and Tanesco. This also delayed the discussion of a Joint Declaration between the EU and Tanzania on Energy as part of the Sustainable Energy for All dynamic.” <ul style="list-style-type: none"> <li>○ Socio-political instability</li> <li>○ Lack of partner capacity</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Country EAMR Reports 2011-2016</li> <li>• Tanzania EAMR Report, 2014, p.7</li> </ul>	Indicative but not conclusive
	<ul style="list-style-type: none"> <li>• Discussed issues or views that indicate weak coordination</li> </ul>		More than satisfactory

Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>○ In Rwanda: “The Government and Development Partners have decided to re-launch the Joint Government Assessment process based on revised and agreed set of indicators which will reflect the changing governance context of Rwanda, the emergence of new government programmes and policy priorities, newly available data sources, lessons learned from previous JGAs and international best practice. The EU Delegation funded the JGA Monitoring Framework review which still needs to be approved by all parties to consider the continuation of the process.” However, the framework was not agreed</li> <li>○ In Liberia: “EU-Member States cooperation is quite limited in Liberia with Sweden, UK, Ireland and Germany being the only ones with projects of a significant size. In 2016 the Delegation revived bi-monthly EU Heads of Cooperation meetings trying to involve also non-resident HoC during their visits. Initial ideas on Joint Programming have been discussed and well received both at HoM and HoC level. An initial overview of MS cooperation projects was drafted and circulated in late 2016. The discussions will be continued in 2017.”</li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda EAMR Report, 2014</li> <li>• Liberia EAMR Report 2016, p. 24</li> </ul>	
Examples of coordination outcomes	<ul style="list-style-type: none"> <li>• Strengthened policy dialogue in Liberia, Nigeria <ul style="list-style-type: none"> <li>○ In Nigeria: “The Delegation played a leading role in mobilising EU Member States and the Nigerian Government for the signature in Paris in December of the EU-Nigeria Joint Declaration on reinforced cooperation on sustainable energy.”</li> <li>○ In Zambia: “In the energy sector the Delegation coordinated, as lead development partner, the preparation of an Energy Declaration which was officially submitted to the Minister of Energy before the end of the year under a note co-signed by the EU Head of Delegation and the USA Ambassador is an example of close transatlantic cooperation.”</li> </ul> </li> <li>• Strengthened EU position in the energy sector <ul style="list-style-type: none"> <li>○ In Liberia: “A joint scoping mission (UN, WB, Norway and EU) on SE4ALL visited Liberia in June 2012 raising the EU profile in the energy sector. The EU Delegation chairs now the donor dialogue group on energy.”</li> <li>○ In all visited countries, the EU leadership of DP coordination groups is appreciated by other DPs and national partners and they can point to concrete benefits.</li> </ul> </li> <li>• Strengthening of national institutions <ul style="list-style-type: none"> <li>○ In Benin : « La revue sectorielle a été organisée avec succès en Mai 2015 et a donné lieu à des recommandations pertinentes, mesurables et atteignables qui demeurent la seule feuille de route actuellement en termes de dialogue politique dans le secteur. La question</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Country EAMR Reports 2011-2016</li> <li>• Nigeria EAMR Report, 2015, p. 2</li> <li>• Zambia EAMR Report 2015, p.3</li> <li>• Liberia EAMR Report, 2012, p. 3</li> <li>• Interviews in visited countries (country note)</li> <li>• Benin EAMR Report, 2015, p.4</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
	de la Régulation a été au centre des débats et cela s'est traduit par certaines avancées au niveau de l'opérationnalisation de l'Autorité de Régulation de l'Electricité (ARE). »	
<b>Summary and analysis of findings for the indicator</b> <ol style="list-style-type: none"> <li>1. Coordination was monitored annually at country level through the EAMRs. Mechanisms of coordination were systematically described, while EU actions in that area and their results were provided in most cases.</li> <li>2. The evidences show that EU was actively involved in country coordination groups/mechanisms. EU participated regularly to DPs coordination group meetings and energy sector working groups in 10 countries out of 12 countries reviewed from the sample.</li> <li>3. In 6 out of 12 countries, the EU even initiated or took the lead for coordination groups.</li> <li>4. EU policy platforms also assisted with coordination at country level. Strategic studies, such as energy plans and strategies provided a framework for donor coordination. Coordination with MS took the form of weekly or monthly meetings to share information and develop joint analysis, joint strategies, and joint programming. (See below)</li> <li>5. At this stage, there is no clear evidence of a change (increased or weakened coordination processes) between the two programming phases.</li> <li>6. Only one case found of weak coordination between EU and MS (Liberia)</li> <li>7. There is indication that EU involvement and contribution led to better coordination measured by the development of sector plans, strengthened policy dialogue and national institutions</li> <li>8. EUDs involvement in coordination also strengthened EU position in the energy sector</li> <li>9. The EU leadership of DP coordination groups is appreciated by other DPs and national partners and they can point to concrete benefits.</li> </ol>		
<b>I- 7.1.3 Evidence of joint analysis and joint-programming</b>		
<ul style="list-style-type: none"> <li>• Coordination meetings for joint-planning between EU and MS are reported in every country to be visited</li> </ul>	<ul style="list-style-type: none"> <li>• EAMR Reports 2011-2016</li> </ul>	Strong
<ul style="list-style-type: none"> <li>• Several initiatives have led to: <ol style="list-style-type: none"> <li>1. Joint strategies/Joint declarations</li> <li>2. Joint analysis</li> <li>3. Joint communication strategy</li> <li>4. Joint programming</li> </ol> </li> </ul> <p>Cases are presented below.</p>		
<ul style="list-style-type: none"> <li>• Identified cases of joint-programming (2) and co-financing (8) in the energy sector:</li> <li>• Blending: 10 projects have been <u>co-financed</u> with contribution from EU-EIB-AFD-Kfw</li> <li>• Rwanda: <ul style="list-style-type: none"> <li>○ Belgium and EU <u>joint-programming</u> within the energy sector budget support</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• AD RW-38107-ID</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• Barbados <ul style="list-style-type: none"> <li>○ Barbados Smart Renewable Energy Program for the Public. <u>Co-financed</u> IADB. <u>Joint management</u></li> </ul> </li> <li>• Zambia: <ul style="list-style-type: none"> <li>○ The Kariba Dam Rehabilitation is a project <u>co-financed</u> and jointly implemented with WB, AfDB and Sweden</li> <li>○ Zambia: The Increased Access to Energy Services project has been implemented with WB. <u>Co-financing</u></li> <li>○ Zambia: Cooperation is particularly close on the Kariba Dam project where partners are engaged and where the <u>joint communication strategy</u> for the project has been agreed with EU in the lead for its implementation</li> </ul> </li> <li>• Nigeria <ul style="list-style-type: none"> <li>○ Energising Access to Sustainable Energy in Nigeria EASE, <u>Co-financed</u> EU, GIZ, WB (GEF). <u>Delegated agreement</u> with GIZ</li> <li>○ EU worked closely with MS to enter the energy sector and this collaboration resulted in further programming of <u>delegated agreement</u> with AFD and DfID</li> </ul> </li> <li>• Ethiopia <ul style="list-style-type: none"> <li>○ Up-Scaling Energising Development (EnDev) Ethiopia - Access to Energy Through off-grid Renewable Energy Solutions. <u>Co-financed</u> EU, Ireland aid, DFID to GIZ managed fund. <u>Delegated agreement</u> with GIZ</li> </ul> </li> <li>• Ivory Coast: <ul style="list-style-type: none"> <li>○ MOU signed between EU, IC and France on contractual agreements to support the energy sector.</li> <li>○ ENERGOS 1 joint-programming and <u>co-financed</u> with EIB</li> </ul> </li> <li>• Philippines <ul style="list-style-type: none"> <li>○ Access to Sustainable Energy Programme. <u>Delegated agreement</u> with WB.</li> </ul> </li> <li>• Tanzania: <ul style="list-style-type: none"> <li>○ EU contributed to the Rural Energy Fund (multi-Development Partners initiatives)</li> <li>○ Cooperation with the AfDB and KfW in the electrification of NW Tanzania</li> </ul> </li> <li>• Liberia: <ul style="list-style-type: none"> <li>○ As of 2016 Sweden has entered the energy sector. Sweden and EU have coordinated their programme of actions through joint-programming. A joint-project is under formulation and delegated agreement under discussion</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• AD CA-24187-RE Prog</li>   <li>• AD ZA-31570-Kariba HPP</li> <li>• AD ZA-22467-SS rural energy</li> <li>• Zambia EAMR Report 2014</li>   <li>• AD-NI-23551-EASE</li>   <li>• Interviews in Nigeria (Country note)</li>   <li>• AD ET-38370-EnDEV</li>   <li>• AD- CI-37943-ENERGOS</li>   <li>• PH-35111-SE access</li>   <li>• Interviews in Tanzania (Country note)</li> </ul>	



Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>Interviews in Liberia (country notes)</li> </ul>	
<b>Summary and analysis of findings for the indicator</b>  Results: <ul style="list-style-type: none"> <li>Among 33 projects (excluding studies, and policy dialogue activities) at least 18 of them were co-financed</li> <li>Among 16 countries in the sample 7 have signed a Joint Declaration with partner country and at least one MS. In Uganda and Nigeria, the joint declaration was signed by respectively 2 and 5 MS.</li> <li>There were still very few cases of joint-programming (2)</li> </ul> The number of co-financing attest that EU coordination mechanisms are working		
<b>JC 7.2 Degree to which EU interventions within sustainable energy were complementary with MS actions</b>		
<b>I- 7.2.1 Absence (or instance) of overlap and duplication of EU interventions with EU Member States</b>		
<ul style="list-style-type: none"> <li>To help facilitate coordination and ensure complementarity between EU and MS, the EU has created an information exchange mechanism with regard to intergovernmental agreements (IGAs) between Member States and third countries in the field of energy. Specifically, the mechanism: <ul style="list-style-type: none"> <li>“Requires EU countries to submit all existing international energy agreements to the European Commission for assessment.”</li> <li>“Allows EU countries to submit information on ongoing negotiations with non-EU countries to the Commission and to seek the Commission’s advice on the compatibility of potential agreements with EU law”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Com Council on 25 October 2012,</li> <li><a href="http://ec.europa.eu/energy/en/topics/international-cooperation/intergovernmental-agreements">http://ec.europa.eu/energy/en/topics/international-cooperation/intergovernmental-agreements</a></li> </ul>	Strong
<ul style="list-style-type: none"> <li>EU and MS complementarity is systematically described in the programming documents. However, it is often reduced to the presentation of MS present in the country and coordination mechanisms.</li> </ul>	<ul style="list-style-type: none"> <li>NIPs 2014-2020</li> </ul>	
<ul style="list-style-type: none"> <li>A donor matrix is established and attached to the NIP. However, the overview of donors planned contribution to the sector is not always clear and detailed. Furthermore, the matrix is most often indicating the financial contribution of MS, not the nature of programmes/projects.</li> </ul>	<ul style="list-style-type: none"> <li>NIPs 2014-2020</li> </ul>	Strong
<ul style="list-style-type: none"> <li>Generally, complementarity between EU and MS initiatives in the “infrastructure sector” is positively rated in the EAMR reports.</li> <li>Complementarity between EU and EIB interventions are also emphasised in the EAMRs,</li> </ul>	<ul style="list-style-type: none"> <li>Country EAMR Reports 2011-2016</li> </ul>	More than satisfactory
Rwanda	<ul style="list-style-type: none"> <li>No duplication nor overlap found from MS project mapping <ul style="list-style-type: none"> <li>The diagram below shows that interventions were concentrated in power transmission and distribution, and RE generation.</li> </ul> </li> </ul>	Strong

Summary response	Sources of information	Quality of evidence																																			
<ul style="list-style-type: none"> <li>○ The European Union provided support in the amount of 50 million Euros to equip around 350 schools, hospitals and district offices with PV systems, as well as to build about 3 MW of capacity of micro-hydroelectricity plants in various sites to serve up to 70 villages</li> <li>○ Belgian Technical Cooperation (BTC) that has provided support in rural electrification including solar PV energy to health centers and rural hospitals, and construction of small hydro projects. BTC's contribution was about \$22 million</li> <li>○ Gesellschaft für Technische Zusammenarbeit (GTZ) (now GIZ) has provided financial and technical support in the areas of micro-hydro and biogas development. In particular, it supported and financed the Private Sector Micro-Hydro Power Supply (PSP Hydro) for Rural Development that builds local capacity in the private sector to commission micro-hydro plants. It gives responsibility to Rwandan private companies to do the design work, procure the equipment and services and install the plant. The same companies will then construct and operate local grids that deliver electricity to nearby rural areas</li> </ul> <div data-bbox="421 858 1151 1279" style="text-align: center;"> <p>Priority area of intervention 2011-2015</p> <table border="1"> <caption>Estimated data from the chart 'Priority area of intervention 2011-2015'</caption> <thead> <tr> <th>Year</th> <th>Energy policy</th> <th>Generation RE</th> <th>Power trans &amp; dist</th> <th>Generation non RE</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2012</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2013</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2014</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2015</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>Total</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> </tbody> </table> </div> <ul style="list-style-type: none"> <li>• Interviews during country visit confirmed that there was no duplication of projects.</li> </ul>	Year	Energy policy	Generation RE	Power trans & dist	Generation non RE	2011	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2012	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2013	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2014	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2015	~100,000,000	~100,000,000	~100,000,000	~100,000,000	Total	~100,000,000	~100,000,000	~100,000,000	~100,000,000	<ul style="list-style-type: none"> <li>• AfDB, Rwanda Energy Sector Review and Action Plan, 2013, p. 59</li>   <li>• OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataatagance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataatagance.htm</a></li> </ul>	
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Total	~100,000,000	~100,000,000	~100,000,000	~100,000,000																																	

Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>Interviews Rwanda (Country Note)</li> </ul>	
Tanzania	<ul style="list-style-type: none"> <li>OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataatagance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataatagance.htm</a></li> <li>CRIS</li> <li>Tanzania NIP 2014-2020</li> </ul>	Strong

- No duplication nor overlap found from MS project mapping

Priority area of intervention 2011-2015

Year	Energy policy	Generation RE	Power trans & dist	Generation non RE
2011	0	0	~200,000,000	0
2012	0	0	~100,000,000	0
2013	~100,000,000	~200,000,000	~300,000,000	0
2014	~100,000,000	~100,000,000	~100,000,000	~100,000,000
2015	~100,000,000	0	~300,000,000	0
Total	~400,000,000	~300,000,000	~1,000,000,000	~100,000,000

- The diagram above shows that most of interventions in Tanzania were concentrated in transmission and distribution. There was also a large number of DPs involved in the sector (see diagram in 7.2.2), and as such the risk of potential overlap was increased.
- EU planned, and/or on-going projects are primarily targeting rural electrification through grant
- SIDA supported rural electrification through funding the REF and private sector participation in electricity production from renewables (€8.9Million in 2016, USD 30Million to the REF between 2011 and 2013).

Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>○ Norway supported rural electrification through financing REF (USD 100 Million), small hydropower plant and capacity development in maintenance to Zanzibar Energy Company</li> <li>○ UK supported rural electrification through financing REF</li> <li>○ However, for procedures reasons EU has apparently not supported the REF, developing parallel projects. EU intervention within RE may undermine SIDA initiative. “The Rural Energy Fund (REF) managed by the Rural Energy Agency plays an important role in promoting rural electrification. Following a positive independent system-audit of the Rural Energy Fund conducted by PricewaterhouseCoopers, SIDA has made a 30 M USD contribution to the Rural Energy Fund for three years (2011-2013). Norway has recently followed suit with a contribution reportedly in the order of USD100 million. The REF meets the criteria as spelled out in the EU Good Practice Guidelines of Rural Electrification Funds in sub-Saharan Africa. EU should consider therefore a contribution to the REF.” The following EAMR restated the problem.</li> <li>● Interviews during country visit confirmed that there was no duplication of projects.</li> </ul>	<ul style="list-style-type: none"> <li>● <a href="http://www.sida.se/English/where-we-work/Africa/Tanzania/Our-work-in-Tanzania/">http://www.sida.se/English/where-we-work/Africa/Tanzania/Our-work-in-Tanzania/</a></li> <li>● <a href="https://www.norway.no/en/tanzania/norway-tanzania/agreements-and-contracts/energy/">https://www.norway.no/en/tanzania/norway-tanzania/agreements-and-contracts/energy/</a></li> <li>● Tanzania EAMR Report, 2013</li> <li>● Tanzania EAMR Report, 2013, p. 11</li> <li>● Interviews Tanzania (Country Note)</li> </ul>		
Zambia	<ul style="list-style-type: none"> <li>● No duplication nor overlap found from MS project mapping <ul style="list-style-type: none"> <li>○ Areas of interventions concentrated on generation and power transmission and distribution.</li> <li>○ A mixed approach of support to energy access (extension of the distribution network), generation through rehabilitation of Kariba dam, and market support to RE.</li> <li>○ Between 2011 and 2016 SIDA has allocated around 50 Million to the energy sector. Planned support €20 Million to Beyond the Grid fund between 2016-2018. CfP for off-grid systems</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● CRIS</li> <li>● <a href="https://openaid.se/aid/sweden/zambia/all-organisations/energy-generation-and-supply/2015/">https://openaid.se/aid/sweden/zambia/all-organisations/energy-generation-and-supply/2015/</a></li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence																						
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Year	Energy policy	Generation RE																						
2011	~1,000,000,000.0	~1,000,000,000.0																						
2012	~1,000,000,000.0	~1,000,000,000.0																						
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Total	~5,000,000,000.0	~3,500,000,000.0																						
Ivory Coast	<ul style="list-style-type: none"> <li data-bbox="371 1168 1061 1193">No duplication nor overlap found from MS project mapping</li> </ul>		More than satisfactory																					

Summary response	Sources of information	Quality of evidence																																										
<div data-bbox="421 336 1077 746" data-label="Figure"> <p>Priority area of intervention 2011-2015</p> <table border="1"> <caption>Estimated data from the chart</caption> <thead> <tr> <th>Year</th> <th>Energy policy</th> <th>Generation RE</th> <th>Power trans &amp; dist</th> <th>Gas power plant</th> <th>Generation non RE</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>0</td> <td>~50,000,000</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2012</td> <td>~100,000,000</td> <td>0</td> <td>0</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2013</td> <td>~100,000,000</td> <td>0</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2014</td> <td>~100,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2015</td> <td>~100,000,000</td> <td>0</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>Total</td> <td>~300,000,000</td> <td>~50,000,000</td> <td>~200,000,000</td> <td>~200,000,000</td> <td>~200,000,000</td> </tr> </tbody> </table> </div> <ul style="list-style-type: none"> <li>○ The diagram above shows a general balance between investments in energy policy, transmission and distribution and generation.</li> <li>○ EU interventions focused on electrification through grid extension and off-grid systems dissemination (solar), with a capacity development for EE component (ENERGOS2) with no other DPs involved in that area (see diagram main DPs in 7.2.2)</li> <li>○ France: Loan for power plant development and loan for electrification</li> <li>○ KfW 30 MW Solar Power Plant project</li> <li>● Interviews during country visit confirmed that there was no duplication of projects. However, the weak engagement of government official in coordination and an increasing number of DPs with different strategies was perceived as factors increasing risks of duplication. <ul style="list-style-type: none"> <li>○ « Coordination des PTFs est difficile, défaut sévère de coordination. Le dialogue est là. Les réunions ne sont pas organisées ni suivies. Des duplications au niveau de financement » CDI10</li> </ul> </li> </ul>	Year	Energy policy	Generation RE	Power trans & dist	Gas power plant	Generation non RE	2011	0	~50,000,000	0	0	0	2012	~100,000,000	0	0	~100,000,000	~100,000,000	2013	~100,000,000	0	~100,000,000	~100,000,000	~100,000,000	2014	~100,000,000	0	0	0	0	2015	~100,000,000	0	~100,000,000	~100,000,000	~100,000,000	Total	~300,000,000	~50,000,000	~200,000,000	~200,000,000	~200,000,000	<ul style="list-style-type: none"> <li>● OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> <li>● CRIS</li> <li>● AD- CI-39393-ENERGOS2</li> <li>● Interviews Cote d’Ivoire (Country Note)</li> </ul>	
Year	Energy policy	Generation RE	Power trans & dist	Gas power plant	Generation non RE																																							
2011	0	~50,000,000	0	0	0																																							
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Total	~300,000,000	~50,000,000	~200,000,000	~200,000,000	~200,000,000																																							
Benin	<ul style="list-style-type: none"> <li>● No duplication nor overlap found from MS project mapping</li> </ul>	<ul style="list-style-type: none"> <li>● OECD data</li> </ul>	Strong																																									

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Summary response		Sources of information	Quality of evidence
		<ul style="list-style-type: none"> <li>• CRIS</li> <li>• EnDev Benin Project Fiche</li> <li>• Interviews Benin (Country Note)</li> </ul>	
Nigeria	<ul style="list-style-type: none"> <li>• No duplication nor overlap found from MS project mapping <ul style="list-style-type: none"> <li>○ Main focus was on power transmission and distribution and gas-powered generation.</li> <li>○ GIZ technical assistance to sector governance 2013-2018</li> <li>○ 2 components of EU programme target the same areas, but EU support is managed by GIZ</li> <li>○ AFD strengthen access to power and promote renewable energy and energy efficiency</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Nigeria NIP (2007-2013)</li> <li>• <a href="https://www.giz.de/en/worldwide/26374.html">https://www.giz.de/en/worldwide/26374.html</a></li> <li>• <a href="http://www.afd.fr/lang/en/home/pays/afrique/geo-afr/nigeria/nigeria-projets">http://www.afd.fr/lang/en/home/pays/afrique/geo-afr/nigeria/nigeria-projets</a></li> </ul>	More than satisfactory



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Year	Energy policy	Generation RE	Power trans & dist	Gas power plant	Generation non RE																																							
2011	~100,000,000	~50,000,000	0	0	0																																							
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Liberia	<ul style="list-style-type: none"> <li>• No duplication found, but potential overlap to be investigated <ul style="list-style-type: none"> <li>○ EU was involved in energy access project and support to the utility performance and grid extension</li> <li>○ The diagram below shows a multiplicity of interventions in various areas. Investments in energy policy represented around USD 150 Million throughout the</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• CRIS / Liberia NIP 2014-2020</li> </ul>	Strong																																									

Summary response	Sources of information	Quality of evidence																																				
<p>period 2011-2015. RE generation reached USD 354 Million with two major years of investments, 2013 and 2015 also corresponding to periods with the highest number of DPs involved in the sector (See diagram below in 7.2.2).</p> <ul style="list-style-type: none"> <li>○ Between 2012 to 2015 GIZ supported energy in Liberia through the Energising development with a focus on ICS, solar lamps and solar dryers</li> <li>○ DFID EAIF trust fund is supporting power projects</li> <li>○ Norway has financed the prefeasibility and feasibility studies of a hydropower site (Kaiha 2) and was involved in institutional strengthening and grid extension.</li> </ul> <div data-bbox="421 643 1151 1121" style="text-align: center;"> <p>Priority area of intervention 2011-2015</p> <table border="1"> <caption>Estimated data from the Priority area of intervention 2011-2015 chart</caption> <thead> <tr> <th>Year</th> <th>Energy policy</th> <th>Generation RE</th> <th>Power trans &amp; dist</th> <th>Gas power plant</th> <th>Generation non RE</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>~200,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2012</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> </tr> <tr> <td>2013</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> </tr> <tr> <td>2014</td> <td>~200,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2015</td> <td>~1,000,000,000</td> <td>~2,000,000,000</td> <td>~1,000,000,000</td> <td>0</td> <td>0</td> </tr> </tbody> </table> </div> <ul style="list-style-type: none"> <li>● MCC recently engaged in the sector and focus on the policy environment. Coordination is ensuring complementary actions with EU.</li> <li>● Interviews during country visit confirmed that there was no duplication of projects.</li> </ul>	Year	Energy policy	Generation RE	Power trans & dist	Gas power plant	Generation non RE	2011	~200,000,000	0	0	0	0	2012	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	2013	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	2014	~200,000,000	0	0	0	0	2015	~1,000,000,000	~2,000,000,000	~1,000,000,000	0	0	<ul style="list-style-type: none"> <li>● <a href="https://www.giz.de/en/worldwide/28867.html">https://www.giz.de/en/worldwide/28867.html</a></li> <li>● <a href="https://www.norad.no/en/front/countries/africa/liberia/">https://www.norad.no/en/front/countries/africa/liberia/</a></li> <li>● OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> </ul>	
Year	Energy policy	Generation RE	Power trans & dist	Gas power plant	Generation non RE																																	
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Summary response	Sources of information	Quality of evidence
	<ul style="list-style-type: none"> <li>Interviews Liberia (Country note)</li> </ul>	
Ethiopia	<ul style="list-style-type: none"> <li>OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> <li><a href="https://www.giz.de/en/worldwide/18899.html">https://www.giz.de/en/worldwide/18899.html</a></li> <li>Interviews Ethiopia</li> </ul>	More than satisfactory

- No duplication found, overlap avoided through EU support to existing MS energy programme/projects

Priority area of intervention  
2011-2015

Year	Energy policy	Generation RE	Power trans & dist	Generation non RE
2011	0	0	~150,000,000	0
2012	0	~50,000,000	~750,000,000	0
2013	0	0	~100,000,000	0
2014	0	~250,000,000	0	0
2015	0	~100,000,000	0	0
Total	0	~400,000,000	~750,000,000	~50,000,000

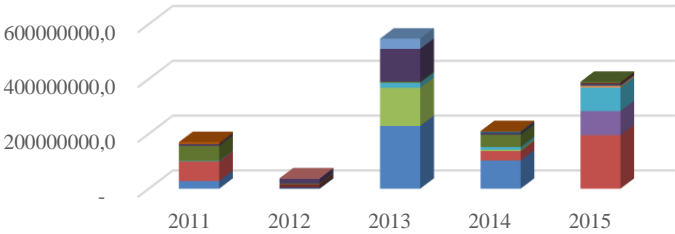
- The diagram above shows that interventions were mainly concentrated in transmission and distribution.
- EU focused on small scale energy systems for energy access
- GIZ Endev Ethiopia 2010-2017 – Discuss with GIZ the complementarity of energy facility projects
- SNV biogas project

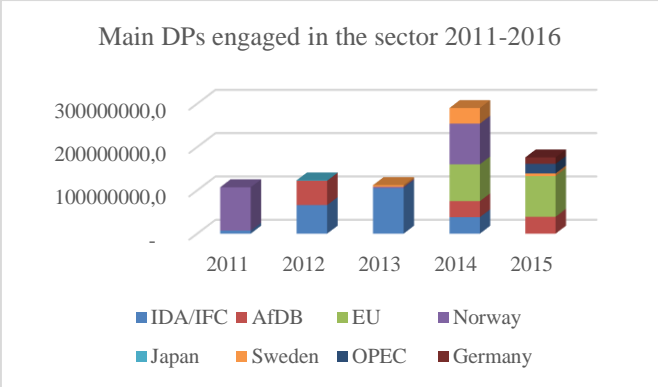
- Interviews during country visit confirmed that there was no duplication of projects.

Summary response		Sources of information	Quality of evidence																																																																																																													
		(Country Note)																																																																																																														
Regional West Africa	<ul style="list-style-type: none"> <li>No duplication found, and synergies identified <ul style="list-style-type: none"> <li>GIZ is financing a climate-friendly interconnected power system in West Africa. This is a regional project 2013-2017 providing advisory services to ECOWAS, WAPP, ECREEE and ERERA</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><a href="https://www.giz.de/en/worldwide/29613.html">https://www.giz.de/en/worldwide/29613.html</a></li> </ul>	Indicative but not conclusive																																																																																																													
<b>Summary and analysis of findings for the indicator</b>																																																																																																																
<ol style="list-style-type: none"> <li>From the mapping of MS interventions in the 8 visited no duplication of activities between EU and MS was found.</li> <li>The coordination mechanisms described in JC 7.1 ensure that there is no duplication between EU and MS interventions.</li> <li>They have facilitated coordination of co-financing.</li> </ol>																																																																																																																
<b>I- 7.2.2 Instance (or absence) of division of labour between the EU support and support from EU Member States.</b>																																																																																																																
Across countries	<ul style="list-style-type: none"> <li>Sustainable energy was as focal sector in 12 out of 36 fragile states as per the OECD list of 2012, and where few developments partners had been engaged.</li> <li>EU filled a gap in aid provision to sustainable energy</li> <li>EU was also involved in countries where the electrification rates were the lowest, between 5-30%</li> </ul>	<ul style="list-style-type: none"> <li>OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> </ul>	More than satisfactory																																																																																																													
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Summary response								Sources of information	Quality of evidence																																																												
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	Marshall Island	EU	Grant	3	1,3	Solar	8	????																																																													
	Micronesia	ADB/AsDB	Loans	2	8,1	Wind	2,4																																																														
	Mozambique	Denmark/Germany	Loans	9	62,5	T&D/ Gen	150	????																																																													
	Nauru	Australia	Grant	1	1,8	Oil-Fired Gen																																																															
	Nigeria	AfDB	Loans	4	146,5	Gas	150	High Impact Country																																																													
	Philippines	ADB	Loans	5	267,5	Policy	190	Orphan																																																													
	Rwanda	IDA	Loans	3	213,4	Hydro/ T&D	200	????																																																													
	Tanzania	IDA/EU/Norway	Loans	7	545,1	T&D	180	High Impact Country																																																													
	Togo	Islamic DB	Loans	5	22,1	T&D	30	High Impact Country																																																													
	Tonga	NZ/Japan	Grant	3	36,1	T&D/ RE Gen	10	????																																																													
	Uganda	Islamic DB/ IFC	Loans	7	258,9	T&D	3	????																																																													
	Vietnam	Germany/EU	Loans	8	699,1	T&D/ Non RE Gen	346	????																																																													
	Zambia	IDA	Loans	3	114	T&D	244	????																																																													
Rwanda	<ul style="list-style-type: none"> <li>The number of DPs has reduced over time, and there was apparently good division of labour between EU and MS</li> </ul>							<ul style="list-style-type: none"> <li>AfDB, Rwanda Energy Sector Review and Action Plan, 2013, p. 69</li> </ul>	Strong																																																												
	<p style="text-align: center;">Main DPs engaged in the sector 2011-2016</p> <table border="1"> <caption>Main DPs engaged in the sector 2011-2016 (Estimated values in USD)</caption> <thead> <tr> <th>Year</th> <th>IDA/IFC</th> <th>AfDB</th> <th>EU</th> <th>Belgium</th> <th>Netherland</th> <th>Germany</th> <th>OPEC fund</th> <th>Japan</th> <th>African Dvp Fund</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>200,000,000</td> <td>100,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> </tr> <tr> <td>2012</td> <td>100,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> </tr> <tr> <td>2013</td> <td>1,500,000,000</td> <td>500,000,000</td> <td>200,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> </tr> <tr> <td>2014</td> <td>500,000,000</td> <td>100,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> </tr> <tr> <td>2015</td> <td>1,000,000,000</td> <td>200,000,000</td> <td>200,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> <td>50,000,000</td> </tr> </tbody> </table>									Year	IDA/IFC	AfDB	EU	Belgium	Netherland	Germany	OPEC fund	Japan	African Dvp Fund	2011	200,000,000	100,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	2012	100,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	2013	1,500,000,000	500,000,000	200,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	2014	500,000,000	100,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	2015	1,000,000,000	200,000,000	200,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000
Year	IDA/IFC	AfDB	EU	Belgium	Netherland	Germany	OPEC fund	Japan	African Dvp Fund																																																												
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2013	1,500,000,000	500,000,000	200,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000																																																												
2014	500,000,000	100,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000	50,000,000																																																												
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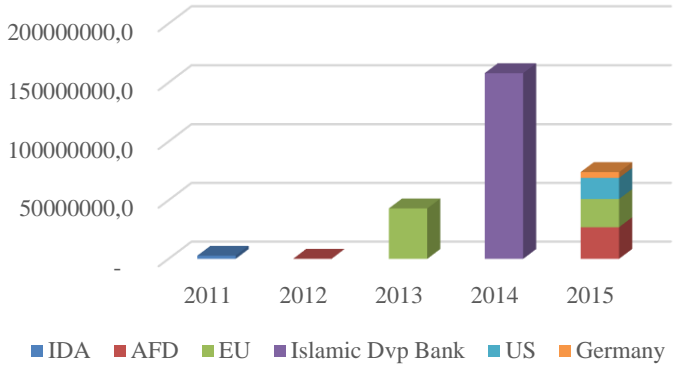
Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>• Co-financing</li> <li>• EIB and EDFIs (KfW, FMO) loans to the Bujagali Hydropower project have “demonstrated a case in which project sponsors are able to bring in donor funds as well as commercial resources into a large energy project in a country with weak creditworthiness and substantial perceived risks”.</li> <li>• Simple cooperation</li> <li>• Collaboration between RECP and GIZ for the promotion of renewable energy investments, through the € 100,780 GIZ grant project: Renewable Energy Private Sector Focal point</li> <li>• Complementarity confirmed by other development and country partners <ul style="list-style-type: none"> <li>○ The EU budget support is highly complementary to the support provided by KfW and BTC as it is only the EU that provides this type of support which significantly strengthens the enabling environment and also brings a voice of the development partners to the policy making table (RW/03/07/08/12).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="http://www.rdb.rw/departments/spiu/spiugiz.html">http://www.rdb.rw/departments/spiu/spiugiz.html</a></li> <li>• Interviews Rwanda (Country note)</li> </ul>	
Tanzania	<ul style="list-style-type: none"> <li>• The support to the sector in Tanzania is relatively fragmented with an average of 6 DPs engaged since 2011</li> </ul>	<ul style="list-style-type: none"> <li>• OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> </ul>	More than satisfactory

Summary response	Sources of information	Quality of evidence
<p data-bbox="584 357 1055 384">Main DPs engaged in the sector 2011-2016</p>  <ul data-bbox="371 884 1411 1284" style="list-style-type: none"> <li>• The diagram above shows that support the multiplicity of DPs engaged in the sector, although interventions are concentrated in one area of intervention (i.e. transmission and distribution. See diagram in 7.2.1)</li> <li>• Co-financing <ul data-bbox="421 1011 1397 1187" style="list-style-type: none"> <li>○ Planned project: 220 kV Masaka – Mwanza transmission line: Financial complementarity</li> <li>○ The total cost for Geita - Nyakanazi part is EURO 39.632 million and will be financed by KfW, TANESCO (executive agency), AFD and EU. KfW has committed to finance EURO 20 million, AfDB EURO 14.0 million, European Union EURO 7.6 million and TANESCO finances EURO 1.586 million.</li> </ul> </li> <li>• Complementarity is not evident from the country visit findings. Although EU is coordinating its support with MS, the number of DP intervention is a “burden” in a context of low absorption capacity.</li> </ul>	<ul data-bbox="1442 676 1805 890" style="list-style-type: none"> <li>• Tanzania’s SE4All Investment Prospectus, 2015, p. 22</li> <li>• Interviews Tanzania (Country note)</li> </ul>	
<p data-bbox="174 1291 264 1315">Zambia</p> <ul data-bbox="371 1294 1344 1347" style="list-style-type: none"> <li>• DPs engaged in the sector have multiplied between 2014 and 2015, however there was apparently good division of labour between EU and MS</li> </ul>		<p data-bbox="1832 1291 1962 1347">More than satisfactory</p>

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>The diagram below shows that the number of DPs engaged in the sector increased between 2014 and 2015</li> </ul>  <ul style="list-style-type: none"> <li>Co-financing <ul style="list-style-type: none"> <li>Co-financing of the Kariba dam with Sweden,</li> <li>Co-financing of Itezhi Thezi project with AFD</li> </ul> </li> <li>Complementarity is not evident from the country visit findings. <ul style="list-style-type: none"> <li>“The division of labour was unclear with the EU” ZM04</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> <li>ITF semi-annual monitoring report, 2016</li> <li><a href="https://ec.europa.eu/europeaid/blending/itezhi-tezhi-hydro-power-and-transmission-line-project_en">https://ec.europa.eu/europeaid/blending/itezhi-tezhi-hydro-power-and-transmission-line-project_en</a></li> <li>Interviews</li> <li>Rwanda (Country note)</li> </ul>	
Ivory Coast	<ul style="list-style-type: none"> <li>There are relatively few DPs engaged in the sector, and there was apparently good division of labour</li> </ul> <ul style="list-style-type: none"> <li>OECD data</li> </ul>	Strong

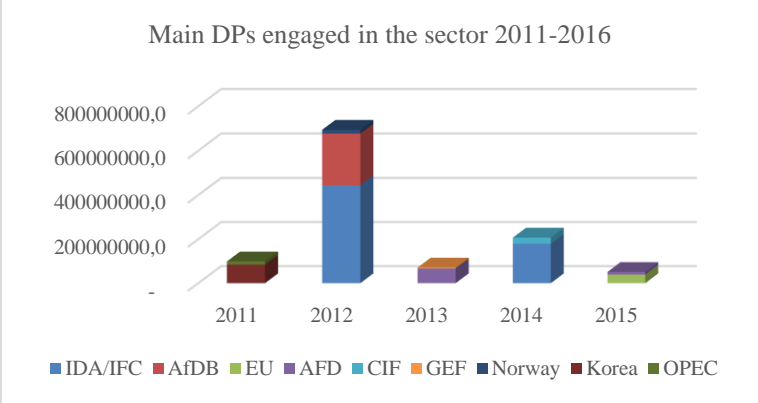


Summary response	Sources of information	Quality of evidence																																										
<div data-bbox="421 336 1093 726" data-label="Figure"> <table border="1"> <caption>Main DPs engaged in the sector 2011-2016</caption> <thead> <tr> <th>Year</th> <th>IDA/IFC</th> <th>AfDB</th> <th>EU</th> <th>Japan</th> <th>UNDP</th> <th>OPEC fund</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>~200,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2012</td> <td>~1,200,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>~200,000,000</td> </tr> <tr> <td>2013</td> <td>~1,500,000,000</td> <td>~1,000,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>~200,000,000</td> </tr> <tr> <td>2014</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>~100,000,000</td> <td>0</td> </tr> <tr> <td>2015</td> <td>~200,000,000</td> <td>0</td> <td>~1,200,000,000</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table> </div> <ul style="list-style-type: none"> <li>• Co-financing</li> <li>• Co-financing EU- EIB</li> <li>• €34 Million EU grant from ENERGOS project envelope to co-finance AFD €120 Million loan for electrification through grid extension</li> <li>• Division of labour (support to existing interventions)</li> <li>• Complementarity confirmed by other development and country partners</li> <li>• EU was for many years one of the few development partners supporting the sector</li> <li>• Synergies in area of interventions: MS support to increased power capacity and grid extension, while EU engaged in demand side management and access (through grid connection subsidy). <i>“ENERGOS 1 a co-financing project where division of labour between EU, AFD and EIB was based on each partner added-value/plans. Though the rationale for intervention is sometimes more driven by MS/EIB agenda and existing programs. Complementarity of interventions is acknowledged, and as MS are engaging in the energy sector, nascent joint-programming has emerged with ENERGOS 1 and ENERGOS 2. These projects have created strong synergies between EU and MS support to the sector »</i></li> </ul>	Year	IDA/IFC	AfDB	EU	Japan	UNDP	OPEC fund	2011	~200,000,000	0	0	0	0	0	2012	~1,200,000,000	0	0	0	0	~200,000,000	2013	~1,500,000,000	~1,000,000,000	0	0	0	~200,000,000	2014	0	0	0	0	~100,000,000	0	2015	~200,000,000	0	~1,200,000,000	0	0	0	<p data-bbox="1487 336 1816 437"><a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></p> <ul style="list-style-type: none"> <li>• AD- CI-37943-ENERGOS</li> <li>• AFD Fiche Projet, 2017</li> <li>• Interview Ivory Coast (Country note)</li> </ul>	
Year	IDA/IFC	AfDB	EU	Japan	UNDP	OPEC fund																																						
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<p data-bbox="613 368 1077 395">Main DPs engaged in the sector 2011-2016</p>  <table border="1" data-bbox="456 421 1128 788"> <caption>Main DPs engaged in the sector 2011-2016 (Estimated values)</caption> <thead> <tr> <th>Year</th> <th>IDA</th> <th>AFD</th> <th>EU</th> <th>Islamic Dvp Bank</th> <th>US</th> <th>Germany</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>~100,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2012</td> <td>0</td> <td>~100,000,000</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2013</td> <td>0</td> <td>0</td> <td>~500,000,000</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>2014</td> <td>0</td> <td>0</td> <td>0</td> <td>~1,700,000,000</td> <td>0</td> <td>0</td> </tr> <tr> <td>2015</td> <td>0</td> <td>~300,000,000</td> <td>~200,000,000</td> <td>0</td> <td>~200,000,000</td> <td>~100,000,000</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>○ Co-financing</li> <li>○ Co-financing AFD-EU-EIB for the Atlantique project</li> <li>○ Co-financing AFD-EU-GIZ</li> <li>○ Division of labour (support to existing interventions)</li> <li>○ Past AFD project on institutional strengthening (focus on regulatory aspects) recommended intervention to enhance SBEE performance including capacity development. EU projects during the second financial period supported institutional strengthening and capacity development</li> <li>● Complementarity confirmed by other development and country partners <ul style="list-style-type: none"> <li>○ EU was for many years one of the few development partners supporting the sector</li> <li>○ Synergies in area of interventions: MS support to increased power capacity and grid extension, while EU engaged in institutional strengthening and capacity development.</li> </ul> </li> </ul>	Year	IDA	AFD	EU	Islamic Dvp Bank	US	Germany	2011	~100,000,000	0	0	0	0	0	2012	0	~100,000,000	0	0	0	0	2013	0	0	~500,000,000	0	0	0	2014	0	0	0	~1,700,000,000	0	0	2015	0	~300,000,000	~200,000,000	0	~200,000,000	~100,000,000	<ul style="list-style-type: none"> <li>● OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> <li>● ITF semi-annual monitoring report, 2016</li> </ul>	
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Nigeria	<ul style="list-style-type: none"> <li>• There was always a large number of DPs engaged in the sector (as indicated in the diagram below), however there was apparently good division of labour between EU and MS</li> </ul> <div data-bbox="421 746 1079 1126" data-label="Figure"> <table border="1"> <caption>Main DPs engaged in the sector 2011-2016</caption> <thead> <tr> <th>Year</th> <th>IDA/IFC</th> <th>AfDB</th> <th>EU</th> <th>UK</th> <th>US</th> <th>Germany</th> <th>Japan</th> <th>UNDP</th> <th>AFD</th> <th>GEF/CIF</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2012</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> <td>~2,000,000,000</td> </tr> <tr> <td>2013</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> </tr> <tr> <td>2014</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> <td>~1,000,000,000</td> </tr> <tr> <td>2015</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> </tbody> </table> </div> <ul style="list-style-type: none"> <li>• Delegation agreement <ul style="list-style-type: none"> <li>○ <u>Delegated cooperation</u> to GIZ for the EASE project</li> </ul> </li> <li>• Division of Labour (synergies in area of interventions) <ul style="list-style-type: none"> <li>○ AFD strengthen access to power and promote renewable energy and energy efficiency</li> <li>○ EU support enabling environment</li> </ul> </li> <li>• Co-financing</li> </ul>	Year	IDA/IFC	AfDB	EU	UK	US	Germany	Japan	UNDP	AFD	GEF/CIF	2011	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2012	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	~2,000,000,000	2013	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	2014	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	~1,000,000,000	2015	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	<ul style="list-style-type: none"> <li>• OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> </ul>	More than satisfactory
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Ethiopia	<ul style="list-style-type: none"> <li>There was always many DPs engaged in the sector (as indicated in the diagram below), however there was apparently good division of labour between EU and MS</li> </ul>  <table border="1"> <caption>Main DPs engaged in the sector 2011-2016</caption> <thead> <tr> <th>Year</th> <th>IDA/IFC</th> <th>AfDB</th> <th>EU</th> <th>AFD</th> <th>CIF</th> <th>GEF</th> <th>Norway</th> <th>Korea</th> <th>OPEC</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2012</td> <td>~450,000,000</td> <td>~250,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2013</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2014</td> <td>~200,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> <tr> <td>2015</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> <td>~100,000,000</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>Co-financing <ul style="list-style-type: none"> <li>Co-financing EU, Ireland aid, DFID to GIZ for the Up-Scaling Energising Development (EnDev) Ethiopia - Access to Energy Through off-grid Renewable Energy Solutions.</li> <li><u>Delegated cooperation</u> to GIZ for the EN Dev project</li> </ul> </li> <li>Complementarity confirmed by other development and country partners <ul style="list-style-type: none"> <li>The major investments under the EDF11 are the support to the SNV managed national <u>biogas programme</u> (EUR 21m) and the GIZ managed <u>energizing development programme</u> (EUR 9m). The scale and focus of this support has created a strong momentum for these programs of a national nature and enabled them to retain skilled staff both in the grant managing agencies themselves and in local government. None of the member states had the uncommitted resources available to support these</li> </ul> </li> </ul>	Year	IDA/IFC	AfDB	EU	AFD	CIF	GEF	Norway	Korea	OPEC	2011	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2012	~450,000,000	~250,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2013	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2014	~200,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	2015	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	<ul style="list-style-type: none"> <li>OECD data <a href="http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm">http://www.oecd.org/dac/stats/energy-relatedaiddataataglance.htm</a></li> <li>CRIS</li> </ul>	Strong
Year	IDA/IFC	AfDB	EU	AFD	CIF	GEF	Norway	Korea	OPEC																																																						
2011	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000	~100,000,000																																																						
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Summary response	Sources of information	Quality of evidence	
	<p>programmes at the scale needed. As a result, <u>the government’s policy shift to meet off-grid needs, engage in market development and reach out to the poorest has been strengthened</u> and shifted from paper to practice.</p>	<ul style="list-style-type: none"> <li>• Interviews Ethiopia (Country note)</li> </ul>	
<p><b>Summary and analysis of findings for the indicator</b></p> <ol style="list-style-type: none"> <li>1. EU addressed the “orphan gap”</li> <li>2. From the mapping of MS interventions, co-financing was found in 8 out of 8 countries</li> <li>3. From the mapping of MS interventions, cases of simple division of labour between EU and MS were identified in 4 countries out of 8 countries</li> <li>4. From the mapping of MS interventions, cases of delegated agreements between EU and MS were found in 2 countries out of 8 countries.</li> <li>5. The coordination mechanisms describe in JC7.1 led to complementarity between EU and MS actions</li> <li>6. Still, there were few countries ((3), where division of labour was not clearly demonstrated. (i.e. Tanzania, Nigeria, and Zambia)</li> </ol>			
<p><b>JC 7.3 Degree to which EU support to SE added valued compared to MS interventions</b></p>			
<p><b>I- 7.3.1 Presence (or absence) of examples where the required country sector support was of a scale that could not be supported as well by MSs</b></p>			
Rwanda	<ul style="list-style-type: none"> <li>• Presence of examples confirmed: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ The total estimated support needed from Development Partners to finance the energy sector plans is USD 771 Million</li> </ul> </li> <li>○ EU through budget support contributes to around 20% of DPs support</li> <li>○ The scale of support meant that the EU was able to present a common MS donor position at a higher level and with more influence that the MSs were able to do by themselves.</li> </ul>	<ul style="list-style-type: none"> <li>• Rwanda NIP 2014-2020</li> <li>• Rwanda Energy Sector Strategic Plan 2014-2018, p.70</li> <li>• Rwanda NIP 2014-2020</li> <li>• Interview Rwanda (country note)</li> </ul>	Strong
Tanzania	<ul style="list-style-type: none"> <li>• Presence of examples less evident: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ The total estimated investments need to finance the energy sector plans not found (existence of SREP, 2013)</li> <li>○ The value of EU support during the second phase is comparable to WB support, respectively € 165.000.000 and €200.000.000.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Tanzania NIP 2014-2020</li> <li>• Tanzania NIP 2014-2020</li> <li>• WB project database</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>○ No clear added-value of EU grant to rural electrification projects. Comparable size of investment EU and SIDA investment.</li> <li>○ <i>“Even though the EU interventions were not much different than those of the member states, the scale of the total support in the energy sector and in other sectors was important in the policy dialogue with the GoT (and this was apparent from the fact that the GoT still maintains the policy dialogue with the EUD) and was of added value to what the member states could have done in terms of policy influence and also in terms of increasing the attention to biomass and cooking”</i></li> </ul>	<ul style="list-style-type: none"> <li>● Tanzania EAMR Reports</li> <li>● Interview Tanzania (country note)</li> </ul>	
Zambia	<ul style="list-style-type: none"> <li>● Presence of examples confirmed: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ Total EU planned support € 244 Millions</li> <li>○ Total on-going and planned support USD 440Millions JASZ member</li> <li>○ EU contribution around 50%</li> <li>○ <i>“The EUR 244 million budget for 2014-2020 is the largest EU budget allocation to energy anywhere, it helped EU be the lead partner”. “(...) We are feeling the EU presence”</i> ZM18</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Zambia NIP 2014-2020</li> <li>● Zambia NIP 2014-2020, p.14</li> <li>● Interview Zambia (country note)</li> </ul>	Strong
Ivory Coast	<ul style="list-style-type: none"> <li>● Presence of examples less evident: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ Stakeholders pointed out that the main added-value of EU support to sustainable energy was its policy dialogue capacity. Still the financial volume of EU support has allowed to scale-up MS interventions.</li> <li>○ <i>« Le secteur de l'électricité fait exception. L'intervention de l'UE est trop récente et sans doute trop ciblée (énergies renouvelables et efficacité énergétique) pour déjà peser sur une politique sectorielle complexe et appuyée de manière relativement cloisonnée par d'autres PTF ».</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Cote d'Ivoire NIP 2014-2020</li> <li>● Interview Ivory Coast (country note)</li> <li>● Évaluation de la coopération de l'Union européenne avec la République de Côte d'Ivoire (2007-2015) Rapport final – Volume I, 2017, p.55</li> </ul>	Strong
Benin	<ul style="list-style-type: none"> <li>● Presence of examples less evident: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ EU: EDF 11 Indicative budget for energy 80 Million</li> <li>○ AFD: Around €80-90 Million</li> <li>○ WB: USD 60 Million</li> <li>○ MCC: \$375 million Benin Compact</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Benin NIP 2014-2020</li> <li>● Benin NIP 2014-2020</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>○ The major commitments under the EDF 11 (EUR 20m for capacity development) added value in a way no member state (MS) would have done.</li> <li>○ EU added value was perceived by project and development partners as having filled a gap not met by MS nor other development partners, i.e.; capacity development and institutional strengthening. MS also found that EU grant had provided an important leverage to scale up energy access project (i.e.; Atlantique and DEFISSOL projects). MS and other development partners also emphasised EU role in coordination.</li> </ul>	<ul style="list-style-type: none"> <li>● Interviews Benin (country notes)</li> <li>● Interviews Benin (country notes)</li> <li>● Interviews Liberia (country notes)</li> </ul>	
Liberia	<ul style="list-style-type: none"> <li>● Presence of examples confirmed: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ “5-year funding cycle. Predictability of funds. Less subject to political changes. Able to have long term planning process. Even if project take long to plan when it is undergoing it is undergoing” LIB 16. “Predictability of funds LIB” 18</li> <li>○ EU is one of the main DPs in volume and one of the main support in the energy sector.</li> </ul> </li> <li>○ EU: EDF 11 Indicative budget for energy 100 Million</li> <li>○ MCC: \$257 million Liberia Compact</li> <li>○ EU has leveraged funds for joint EU-EIB (i.e. CLSG and LEAP projects)</li> </ul>	<ul style="list-style-type: none"> <li>● Liberia NIP 2014-2020</li> <li>● Interviews Liberia (country notes)</li> <li>● Interviews Liberia (country notes)</li> <li>● Liberia NIP 2014-2020</li> <li>● Interviews Liberia (country notes)</li> <li>● EU project portfolio Liberia</li> </ul>	More than satisfactory
Nigeria	<ul style="list-style-type: none"> <li>● Presence of examples less evident, scale-up: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ According to the donor matrix, the main European DPs are the DFID (111 Million in infrastructure) and AFD (455 Million in infrastructure). The volume of their support is much higher than the EU (85 Million in the energy sector since 2011)</li> <li>○ AFD investment plan between 2014 and 2018 reached € 252 Million in strengthening access to power and promote renewable energy and energy efficiency</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Nigeria NIP 2014-2020</li> </ul>	More than satisfactory



Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>○ The major investments and commitments under the EDF10 and EDF 11 and other instruments such as blending added value to existing member state (MS) programmes, through scaling-up available funds (Interview NIG 08/09/14).</li> </ul>	<ul style="list-style-type: none"> <li>● <a href="http://www.afd.fr/lang/en/home/pays/afrique/geo-afr/nigeria/nigeria-projets">http://www.afd.fr/lang/en/home/pays/afrique/geo-afr/nigeria/nigeria-projets</a></li> <li>● Interviews Nigeria (country notes)</li> </ul>	
Ethiopia	<ul style="list-style-type: none"> <li>● Presence of examples less evident, scale-up: <ul style="list-style-type: none"> <li>○ EU added value not considered in the NIP</li> <li>○ Scaling - Up Renewable Energy Program Ethiopia Investment Plan (2012) estimated investments in RE up to USD 840 M of which expected DPs contribution of USD 574 M</li> <li>○ The scale of EU grant support to Ethiopia (EDF11 plus TAF over EUR 40 million) far exceeded what any MS could achieve. However, the EU is not using regional funds to the extent it could, in blending or otherwise.</li> <li>○ The major investments under the EDF11 are the support to the SNV managed national biogas programme (EUR 21m) and the GIZ managed energizing development programme (EUR 9m). The scale and focus of this support has created a strong momentum for these programs of a national nature and enabled them to retain skilled staff both in the grant managing agencies themselves and in local government. None of the member states had the uncommitted resources available to support these programmes at the scale needed.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Ethiopia NIP 2014-2020</li> <li>● Ethiopia RE investment plan, 2012</li> <li>● Interviews Ethiopia (country notes)</li>   <li>● Interviews Ethiopia (country notes)</li> </ul>	More than satisfactory
<b>Summary and analysis of findings for the indicator</b> <ul style="list-style-type: none"> <li>● The review of EU documents show that the added-value is not mentioned, whether at programming stage or M&amp;E. The concept is not well defined and most of the time only considered through aspects of EU complementarity with MS.</li> <li>● The scale of EU support was evident in half of the visited countries.</li> <li>● Though, not always evident in terms of financial support in the other visited countries, the scale of EU support was also recognized in terms of comparative advantage in: <ul style="list-style-type: none"> <li>○ Policy dialogue</li> <li>○ Coordination and complementarity with MS.</li> <li>○ Supporting Member States initiatives to a greater joint effort.</li> </ul> </li> </ul>			
<b>I- 7.3.2 Evidence that EU initiatives have filled a gap not met by MS interventions.</b>			

Summary response	Sources of information	Quality of evidence	
<ul style="list-style-type: none"> <li>While the GPGC programme states that “EU involvement in global initiatives should demonstrate real added value” and that “Criteria for involvement in global initiatives include: relevance and effectiveness of the initiative, added value”; EU added-value is not systematically analysed nor justified in the presentation of EU initiatives nor in the monitoring documents.</li> </ul>	<ul style="list-style-type: none"> <li>GPGC 2014-2020, p.32</li> <li>Review of programming documents for the sample projects</li> </ul>	Strong	
Blending	<ul style="list-style-type: none"> <li>The evaluation of blending in 2014 emphasised the pioneer role of the initiative in using grant to subsidies interest rates: <ul style="list-style-type: none"> <li>“The grant types chosen (see paragraph 1) were appropriate for the added value they intended to achieve. Only the ITF provided interest rate subsidies; the other regional investment facilities did not, even though this was permitted by their regulatory and contractual framework.”</li> </ul> </li> <li>The evaluations of blending operations concluded on demonstrated added value, highlighting various criteria of added-value as outline below.</li> </ul>	<ul style="list-style-type: none"> <li>Court of Auditors, Report on Blending effectiveness, 2014, p. 15</li> <li>Blending Evaluation, 2016</li> </ul>	Strong
	<ul style="list-style-type: none"> <li>Leveraging policy reforms</li> </ul>	<ul style="list-style-type: none"> <li>Blending Evaluation, pp.63-64</li> </ul>	Indicative but not conclusive
	<ul style="list-style-type: none"> <li>Leveraging skills: <ul style="list-style-type: none"> <li>“Blending has mobilised the skills and experience of the IFIs and through its scale also served to deepen and enhance these skills within the IFIs. Without the blending operations carried out through the IFIs, the EU would not have been able, at least with its current staffing arrangements, to engage to the same extent in complex and large-scale infrastructure and access to finance operations. The banking, risks management and project supervision skills of the IFIs have added value to the EU development cooperation. And, the development insights of the EU have added value to the operations of the IFIs.”</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Blending Evaluation, pp.63-64</li> </ul>	Strong
	<ul style="list-style-type: none"> <li>Unlocking available finance for improving access to finance.”</li> <li>“Blending has also added value in widening the access to loan finance and reducing the financial barriers for micro, small and medium size enterprises (MSMEs). As MSMEs are an engine of growth in many countries, this effect has a multiple contribution to development. Blending has demonstrated that it can contribute to improving access to finance especially when working with micro financial intermediaries. The SUNREF project (ENER/Env. Credit lines/REG #43-44) in East Africa is an example where blending has supported improved risk management practices in banks leading to a significant increase in the lending to MSMEs in the renewable energy sector.”</li> </ul>	<ul style="list-style-type: none"> <li>Blending Evaluation, pp.63-64</li> </ul>	Strong

Summary response	Sources of information	Quality of evidence
<ul style="list-style-type: none"> <li>• <i>“Grants may have high added value even if small, for example in completing a financing gap, in improving the project quality, etc. In three of these cases the grant helped soften the overall financial conditions, as the financing package proposed by the co-financiers was not considered fully acceptable by the borrower. For the other project, the grant allowed the increase of the potential impact of the projects including the financial benefits.”</i></li> </ul>	<ul style="list-style-type: none"> <li>• Court of Auditors, Report on Blending effectiveness, 2014 p. 42</li> </ul>	
<ul style="list-style-type: none"> <li>• Creating high quality projects</li> <li>• The Court of Auditor pointed out that the information for an appropriate assessment of projects were not consistently available in the grant application <ul style="list-style-type: none"> <li>▪ <i>“The grant application form provided by the financial institutions does not include figures on the financial and economic viability of the project, concessionally and the alignment of the project with the countries’ needs even though it was all available in the financial institution’s files. Furthermore, the form was unclear about the expected added value of the ITF grant. Without this information, the Commission could not carry out an appropriate assessment of the grant request.”</i></li> </ul> </li> <li>• The EC did not agree with this point: <ul style="list-style-type: none"> <li>▪ <i>“Added value of the grant is always assessed and this assessment has been strengthened over time, in particular, in the context of the work undertaken.”</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Blending Evaluation, pp.63-64</li> <li>• Court of Auditors, Report on Blending effectiveness, 2014, p. 14</li> <li>• EC reply to Court of Auditors</li> </ul>	Indicative but not conclusive
EUEI/AEEP	<ul style="list-style-type: none"> <li>• The evaluation of the EUEI did not considered the added-value of the platform and service lines. However, criteria of added-value can be found throughout the reports such as: <ul style="list-style-type: none"> <li>○ Leveraged political commitment from African partners and MS to the energy sector</li> <li>○ Leveraged financial commitments to the sector</li> <li>▪ <i>“EU contribution (incl. MS contributions) has increased from € 1.46 Billion in 2012 to € 3.6 Billion in 2014, representing respectively 30% and 40% of the total contributions to the energy sector”</i></li> </ul> </li> <li>• Leveraged skills through building-up network of practitioners and organisations</li> </ul>	More than satisfactory
Energy facility	<ul style="list-style-type: none"> <li>• The added value of EU energy facility initiative is formulated in terms of increased impacts</li> <li>• The facility targeted the poor</li> <li>• The Energy facility as an early intervention raised awareness on technologies, business models, etc.</li> <li>• It supported mainstreaming RE and decentralised systems</li> </ul>	Indicative but not conclusive

Summary response	Sources of information	Quality of evidence	
	<ul style="list-style-type: none"> <li>▪ Most of the funds under the first programming period have been awarded to “ACP and EU public bodies”</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="https://ec.europa.eu/europeaid/sites/devco/files/publication-acp-eu-energy-facility-ec-2009_en.pdf">https://ec.europa.eu/europeaid/sites/devco/files/publication-acp-eu-energy-facility-ec-2009_en.pdf</a></li> </ul>	
GEREEF	<ul style="list-style-type: none"> <li>• GEEREF was the first fund of his kind</li> <li>• Its added-value is partly monitored through aspects of sustainable investments (socially and environmentally responsible, quality of projects) and impacts</li> </ul>	<ul style="list-style-type: none"> <li>• GEEREF Impact Reports, 2014 &amp; 2015</li> </ul>	Indicative but not conclusive
Budget support	<ul style="list-style-type: none"> <li>• The overall added value of EU approach to budget support is recognized as: <ul style="list-style-type: none"> <li>○ Predictability of funds</li> <li>○ Untied support</li> <li>○ The efficiency of the support</li> <li>○ Policy dialogue</li> </ul> </li> <li>• “As part of the budget support package has demonstrated results, especially where EU staff added value in terms of providing strategically relevant policy advice, identifying options for sequencing reforms, or removing constraints.”</li> <li>• Rwanda</li> </ul>	<ul style="list-style-type: none"> <li>• SIDA study on EU complementarity and added-value, 2006</li> <li>• ECDPM the future of EU budget support to third countries, 2010</li> </ul>	More than satisfactory
Regional approach	<ul style="list-style-type: none"> <li>• Experience in regional integration <ul style="list-style-type: none"> <li>○ “At present EC is the only donor of WAPP for cross border MV electrifications, and the most appropriate, as other multilateral donors like AfDB, WB etc. are focused in backbone projects (HV transmission lines and power generation), on the other hand cooperation from other European donors connects usually with bilateral agreements rather than regional ones. EC cooperation is then clearly complementary and doesn’t overlap other cooperations, while maintaining projects coherence between them. EC added value may be considered very high.”</li> <li>○</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation of the 5 crossborder rural electrification projects of the West African Power Pool (WAPP), 2014, p. 7</li> <li>• Interview Nigeria (Country note)</li> </ul>	Strong
<b>Summary and analysis of findings for the indicator</b>			
1. The review of EU documents show that the added-value was only considered and monitored for the blending facility and the GEEREF			

Summary response	Sources of information	Quality of evidence
<p>2. There is some evidence that EU initiatives added value to the global sustainable energy cooperation.</p> <p>3. The initiatives:</p> <ul style="list-style-type: none"> <li>• Filled a gap such as blending and GEEREF, which were pioneer initiatives</li> <li>• Leveraged political and financial commitments</li> <li>• Leveraged skills and network</li> <li>• May have increased impacts, through efficiency (blending and budget support), spread of actions (EF) and policy dialogue (budget support, EUEI, AEEP)</li> </ul> <p>4. The scale of the EU support and its combination of global, regional and country support has added value to what MSs could achieve.</p> <p>5. The European Union has experience in regional integration, above that of EU Member</p>		