

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION/FC	Evaluation of the EU sustainable energy cooperation (2011-2016)		
LEAD DG RESPONSIBLE UNIT	DG DEVCO DEVCO UNIT 04 (Evaluation) DEVCO UNIT C6 (Sustainable energy and climate change)	DATE OF THIS ROADMAP	22/11/2016
TYPE OF EVALUATION	Evaluation Interim	PLANNED START DATE	Q4 2016
		PLANNED COMPLETION DATE	Q1 2018
		PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
This indicative roadmap is provided for information purposes only and is subject to change.			

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)¹, 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 projects².</p>
(A.2) Justification
<p>The legal base and main justification for carrying out this evaluation can be found in Article 12 of the Common Implementing Regulation (CIR)³ 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".</p> <p>Additional justifications for this evaluation are:</p> <ul style="list-style-type: none"> - 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 Application⁴. - 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

¹ COMM (2016) 581 final

² http://www.iss.europa.eu/uploads/media/Brief_39_Energy_security.pdf

³ http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf

⁴ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:298:0001:0096:EN:PDF>

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)⁵, which endorse the Addis Ababa Action Agenda⁶, and build on the Paris Agreement⁷ 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')⁸.

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 Facility⁹. 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) initiative¹⁰ 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 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)¹¹ 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

⁵ http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/70/1&Lang=E

⁶ <http://www.un.org/esa/ffd/ffd3/wp-content/uploads/sites/2/2015/07/Addis-Ababa-Action-Agenda-Draft-Outcome-Document-7-July-2015.pdf>

⁷ http://unfccc.int/files/meetings/paris_nov_2015/application/pdf/paris_agreement_english_.pdf

⁸ https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies_en

⁹ 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>

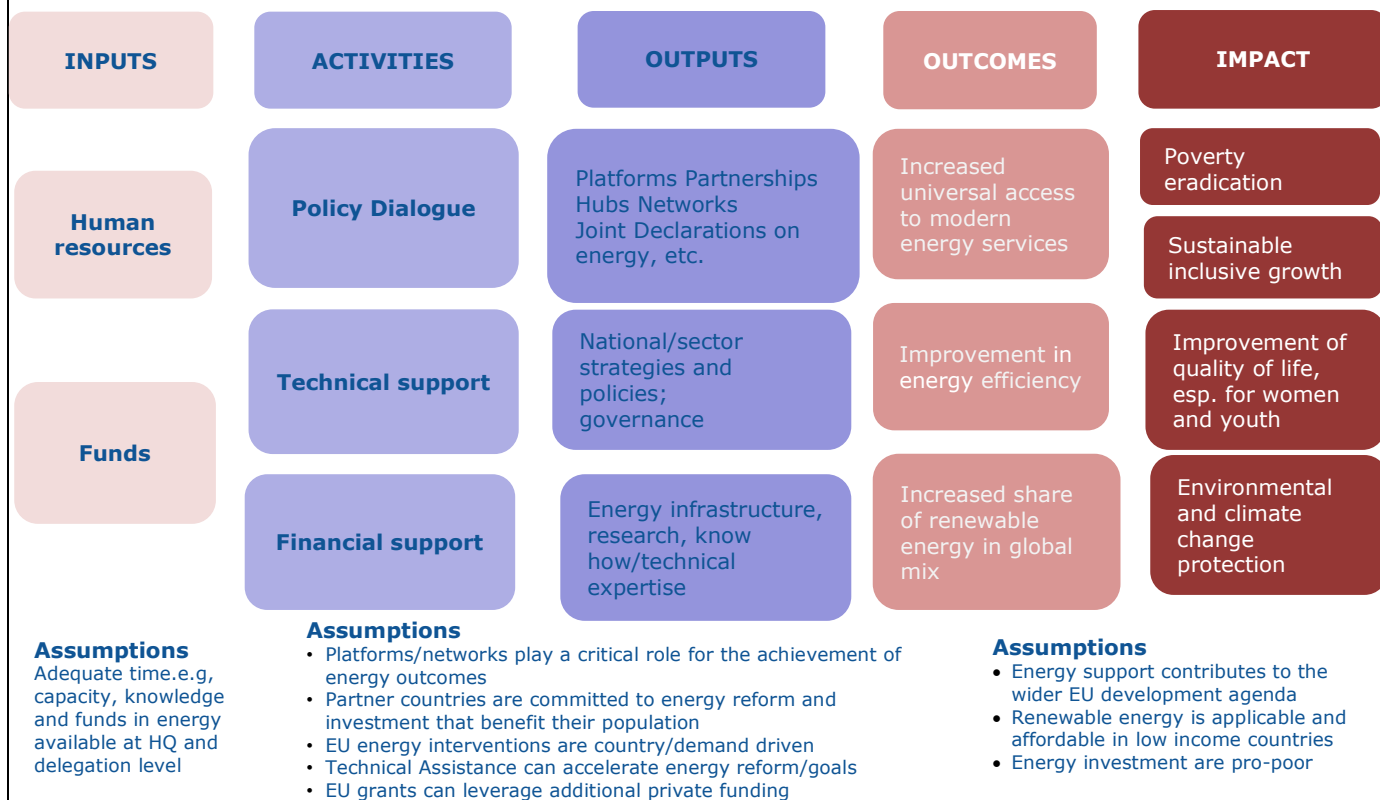
¹⁰ For more information see: <http://se4all.org/>

¹¹ COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

(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)¹²



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.

¹² 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)

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 countries¹³. 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 countries¹⁴.

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 guidelines¹⁵ (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).

- 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 creation, the expansion in access to sustainable energy source and energy services, and their governance.
- 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 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.
- 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.** 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.
- 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 could also be placed on the coherence, complementarity and coordination of EU interventions with those of other international actors.

¹³ 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.

¹⁴ 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.

¹⁵ http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm

- e. **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.
- 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.

(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
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)

(D.2) Previous evaluations and other reports

Evaluations and studies by the European Commission: (source 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)
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-Energy-Sector-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"¹⁶, 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 website¹⁷.

¹⁶ Quoted from Art 17 of the REGULATION (EU) No 236/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 March 2014

¹⁷ http://ec.europa.eu/europeaid/annual-reports_en