



United Nations Environment Programme

Mid-term Evaluation of project CP/4040-03-16 (3430) of the Global Network on Energy for Sustainable Development (GNESD)

Philip Mann

Evaluation Office

November 2010

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Mann, P.A.G. (2010). Mid-term Evaluation: Global Network on Energy for Sustainable Development (GNESD), project CP/4040-03-16 (3430). Report to the UNEP Evaluation Office, Nairobi, Kenya.

Philip Mann, 8 Ellesmere Road, Oxford, OX4 4JG

Email: philipmann@mail.com and

Philip.mann@eci.ox.ac.uk

Version: Final

Contract ref: 14007

Date: 4th November 2010

LIST OF ACRONYMS

ACE	Asian Centre of Energy
AGECC	Advisory Group on Energy and Climate Change (convened by the UN Secretary General)
AIT	The Asian Institute of Technology
AFREPREN	The African Energy Policy Research Network
AUB	The American University of Beirut
BMZ	The Federal Ministry for Economic Cooperation and Development
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
CentroClima	Centre for Integrated Studies on Climate Change and the Environment
CENBIO	Brazilian Reference Centre on Biomass
COP15	Conference of the Parties (United Nation Climate Conference) 2009
CSD	Commission on Sustainable Development
DIIS	Danish Institute for International Studies
Danida	Danish International Development Assistance
ENDA	Environnement et Développement du Tiers Monde
ERC	The Energy Research Centre
ERI	Energy Research Institute
ESMAP	Energy Sector Management Assistance Program
EUEI	EU Energy Initiative for Poverty Eradication and Sustainable Development
FB	Foundation Bariloche
GVEP	Global Village Energy Partnership
GNESD	Global Network on Energy for Sustainable Development
MEDREC	Mediterranean Renewable Energy Centre
MDG	United Nations Millennium Development Goals
MTE	Mid-term evaluation
OLADE	Organización Latinoamericana de Energía

REEEP	The Renewable Energy and Energy Efficiency Partnership
REN21	Renewable Energy Policy Network for the 21st Century
RET	Renewable Energy Technologies
TERI	The Energy and Resources Institute
UFRJ/USP	Federal University of Rio de Janeiro / University of São Paulo
UNEP	United Nations Environment Programme
UNF	United Nations Foundation
UNFCCC	United Nations Framework Convention on Climate Change
UNFIP	United Nations Fund for International Partnerships
UPEA	Urban Peri Urban Access to Energy
WSSD	World Summit on Sustainable Development

Overall this Mid-term Evaluation (MTE) has judged the operation of GNESD between 2003 and mid 2010 to be *Satisfactory*.

This MTE, undertaken by an independent evaluator over several months during mid-2010, has sought to determine how well the GNESD network has functioned between the year of its inception (2003) and the present day. It judges GNESD against a number of pre-defined criteria developed by the UNEP Evaluation Office, for whom this report has been written. As well as providing commentaries and scores for the evaluation criteria, the report develops some general lessons, and provides several specific recommendations. It is to be noted that implementation of most of the recommendations made would have the effect of increasing resources (and hence budgets) required, and would thus be subject to provision of additional financial resources by donors. However where possible recommendations have been formulated such that the positive impact of implementing them would be proportionately greater than the increase in budget required.

Evidence for the report was drawn from desk-based research, as well as primary data, principally gathered from GNESD Centres and the Secretariat. While a limited number of external stakeholders were consulted, time available for this MTE did not allow for a thorough consultation with individuals or organizations outside the GNESD network, nor a detailed analysis of the quality of individual GNESD products.

Overall GNESD is found to have developed into an effective network for the sharing of knowledge between energy policy research centres in developing countries. Management of GNESD has generally been good to date, and has in the main demonstrated flexibility and accountability. However this has been achieved in large part due to the ongoing involvement and commitment of a small number of key individuals who originally designed GNESD; processes (eg planning, M&E and adaptive management) need to be enhanced in the future to ensure that operation of the network can continue and improve in the event that key individuals cease to be involved. While it is not appropriate to judge GNESD against the standards required of newly conceived projects (for M&E, adaptive management etc), since these were not required at the time of GNESD's inception, it is time to update the systems used for managing the network.

While improvements are required in several areas, given the annual budget (currently approaching US\$ 1 million) the operation is considered to be cost-effective overall; indeed some of the improvements suggested within this MTE may have been impossible to achieve to date given the level of budgetary resource available. In general GNESD has developed an efficient infrastructure for networking and policy analysis. There are however problems with maintaining some research themes to agreed time schedules, and this is an aspect that needs to be addressed.

In addition to networking between research centres in developing countries, some capacity development (research methodology and specific knowledge) has been achieved. However for most GNESD Centre staff the network is a marginal activity, possibly explained by the fact that budgets available for GNESD Centres are modest, and probably sub-optimal. A small increase in the budgets

available to GNESD Centres should be considered to enhance the quality and timeliness of outputs. Northern Centres are effectively inactive within the network due to lack of budget to support their involvement, and hence effective north-south networking has not been achieved as much as originally anticipated.

Concerning the outputs of GNESD, there has been prolific production of GNESD policy publications, with relevant niche areas of research carved out by GNESD in several key areas (eg urban/peri-urban energy poverty, energy access etc). Quality and relevance of outputs, as reported by GNESD Centres, is generally high, although some of the less well focused research areas are not as well perceived, especially where the target audience for the outputs is not clearly defined. It is GNESD's work in niche areas, not covered by existing research networks, that is considered most valuable. Some enhancement to the review process for GNESD outputs may be appropriate to add to the credibility of its outputs.

There are some credible – but mostly anecdotal – examples showing how GNESD has had an influence on national, regional and international policy processes, although it is very difficult to identify (and attribute to GNESD) such *impacts* and *outcomes*. However the outward (target audience) facing aspect of GNESD certainly needs to be enhanced in order to maximize the potential for achieving anticipated *outcomes* and *impacts* in the future. This is perhaps the single most important conclusion from this MTE, and one which GNESD needs to address, recognizing that policy processes are complex and rarely linear or logical; hence influencing the policy process requires sustained and sophisticated strategies, so far not fully realized within the network.

From a global perspective GNESD remains highly relevant, covering an area – clean energy access for poverty reduction and achievement of the MDGs – not covered by any South-South research network, and for which there is increased international attention. With reference to specific past thematic analyses, most are seen as highly relevant, in particular where there is a narrow focus on a specific policy question; some recent themes with a broad focus are seen as less relevant, and there is evidence that GNESD may find it difficult to produce high quality outputs in these cases.

Four specific recommendations are made to enhance the operation of GNESD in the future. The development of a new strategy, anticipated in the near future, would be an opportunity to address these recommendations:

- 1) The first recommendation is to **enhance engagement with target audiences** in order to maximize the potential for achieving impact. This might involve engaging with the target audiences during the scoping and implementation stages of GNESD research, in addition to the outreach stages. A review of the state-of-the-art with respect to *research into policy* should be undertaken, with recommendations for changes in GNESD modes of operation and budgetary implications being made, in time for incorporation into the new strategy.
- 2) The second recommendation is to **adapt processes to ensure ongoing relevance and quality of GNESD outputs**. This recommendation involves changes to GNESD processes, which need to be formulated by the Secretariat, discussed with the network Centres and agreed by the Steering Committee, as soon as possible, preferably in advance of the formulation of the new strategy. A key element in achieving relevance is to ensure that GNESD Centres are fully engaged with target audiences, principally those involved in the policy process. Some improvements to the review process are also suggested as part of this MTE to ensure ongoing quality of GNESD products.

- 3) The third recommendation is to ***adapt management processes to meet current standards***. This principally involves development of enhanced management processes, including the establishment of an M&E system, and streamlined planning and reporting systems. Involvement of UNEP and GNESD donors would be valuable in discussing the potential to streamline reporting procedures and hence reduce resources applied to this by GNESD. UNEP should consider the provision of training of GNESD Centres and the Secretariat regarding methods for the ongoing monitoring and reporting of outcomes and impacts.
- 4) The fourth recommendation is to ***develop a refined strategy for GNESD for the upcoming period*** including consideration of the recommendations made in this MTE. This should include a refined set of objectives, set out in log-frame format and including the use of SMART indicators for use during ongoing management processes and for future evaluations. Consideration should be given to increasing the budget allocations for GNESD Centres. The strategy should also consider the following issues:
 - the role of Northern Network partners within GNESD, which needs to be re-defined;
 - the balance of activities to be targeted at national/regional and international audiences, as well as the balance of priority to be given to influencing policy-makers and investors. For the latter, there is a need for a more realistic assessment of the potential influence of GNESD on private sector investment;
 - consider the need for development of memoranda of understanding, and/or enhanced co-operation, with recently developed networks such as REN21, IRENA, CLEAN etc;
 - consider recruitment of new GNESD Centres in areas not currently covered by the network to expand geographical reach; in considering this a key objective should be to continue to operate the network at a size that maintain effective networking internally.

The process for the development of this strategy should be subject to discussion within the Steering Committee. Drafting of the strategy should be undertaken by the Secretariat, possibly aided by a small sub-group of the Steering Committee.

In conclusion, this MTE has identified the many valuable activities that GNESD undertakes, while recognizing the need for constant improvement, in particular with regard to achievement of *impacts* and *outcomes*. Given strategic and operational re-orientation in several key areas, it is considered that GNESD has the potential to realize its full potential.

INTRODUCTION AND BACKGROUND

1. This report presents the results of a Mid-term Evaluation (MTE) of the Global Network on Energy for Sustainable Development (GNESD), undertaken between 2nd July and 9th August 2010, and covering the period of GNESD operations from inception in 2003 to the present day. This version of the report has incorporated some comments received from UNEP following submission of the draft report.
2. GNESD is a UNEP facilitated knowledge network of Centres of Excellence (referred to as “Centres” in this report) and Network Partners known for their expertise on energy, development, and environment issues. GNESD is one of several so-called ‘Type II’ partnerships in the field of energy that were launched at the World Summit on Sustainable Development (WSSD) in Johannesburg, August 2002. The creation of GNESD came as a response to the United Nations General Assembly resolution A/RES/56/2001 and the recommendations of the ninth meeting of the Commission on Sustainable Development (CSD-9).
3. GNESD has been operational since 2003. One previous external review of GNESD has been undertaken, commissioned by Danida and undertaken by Danish Institute for International Studies (DIIS) in 2008, covering the period 2002-2007.
4. The main objective of the network is to facilitate the achievement of the MDGs by working towards the following aims (extracted from the MTE terms of reference, quoting the founding ‘Project Document’ of GNESD (see references in annex –“GNESD ProDoc”), which are used as the yard-sticks for success in this MTE, together with the activities of GNESD (see Table 1):
 - a) Strengthening the Member Centres’ ability to acquire, assimilate, and apply existing knowledge and experiences on sustainable energy;
 - b) Working for a better understanding of the links between energy for sustainable development and environmental priorities and technology and policy options;
 - c) Better articulation of practical policies which promote and highlight the role of energy for sustainable development;
 - d) Providing relevant research findings to the Governments and to private sector in order that these findings are considered in formulating policies and programmes, and in attracting investment in the energy sector towards sustainable development;
 - e) Encouraging and supporting effective and regular communication, networking and outreach activities, and strengthening the exchange of knowledge and collaboration contributing to greater understanding of the issues and problems related to Renewable Energy Technologies from a global perspective;
5. Two comments pertain to this list of GNESD aims. Firstly the list comprises a mixture of what might be considered activities and objectives, and is presented in a form not immediately susceptible to the measurement of success. The *up-stream* nature of GNESD probably explains these, what might be considered vague and loosely define aims and objectives; never-the-less the distinction between objectives, aims and activities would be better articulated through the development of a logframe

presentation for the GNESD project, which has not been developed to date; however it is understood that at the time of the inception of GNESD logframes were not routinely developed for projects of this type¹. Secondly the articulation of GNESD aims presented in GNESD documents (for example²) is not entirely consistent with the list presented above; for example the terms ‘renewable energy’, ‘energy for sustainable development’ and ‘sustainable energy’ are not always used consistently and it is sometimes implied that they are inter-changeable. Also ‘...strengthened South-South and North-South exchange of knowledge...’ is cited in GNESD documents but not in the list above. While such inconsistencies should be removed in the future, for clarity the list above is the one used for this MTE.

6. GNESD undertakes a number of activities in order to achieve its objectives. See Table 1 which outlines the activities of GNESD as provide in the MTE terms of reference, quoting the founding ‘Project Document’ of GNESD (see references in annex –“GNESD ProDoc”):

Table 1: GNESD activities (source MTE terms of reference)

A: Building Knowledge and Sharing Lessons Learned:

- Assist in analysis of policies and business models for energy for sustainable development;
- Assist in the production of a Comparison report and a Summary for Policy Makers (SPM) for each of the themes by synthesizing the findings from the entire individual regional and country reports and disseminated widely;
- Assist in evaluation of sustainable energy technologies;
- Promote activities that raise awareness and disseminate information;
- Create a global base of knowledge on policy experience and ways to adapt that experience to specific national circumstances, and
- Build communities of practitioners on specific issue areas, such as power sector reform, policy and governance issues in energy, development, environment, interdisciplinary policies for energy for rural development, application of information technology for promotion of sustainable energy, and climate change mitigation, by means of ad-hoc working groups.

B: Improving capabilities (capacity development on multiple levels):

- Provide information and share knowledge and advice;
- Provide technical services to developing country decision-makers;
- Provide thematic support to governments and the private sector on sustainable energy policies, approaches, technologies, partners and programmes, and
- Develop capacity among major stakeholders and share the lessons and knowledge acquired in formulating and implementing sustainable energy approaches.

C: Facilitating development of new approaches and projects:

- Help developing country governments strengthen their policy frameworks as a necessary foundation for sustainable energy projects, programmes and investments;
- Help design or structure national and sectoral energy planning studies;
- Assist energy authorities in outlining finance and investment strategies, including those involving partnerships with private sector investors, assist project developers and entrepreneurs in developing sound business models, and

1. _____

¹ Note: - A new revised project document, using the new project format including logframes and M&E requirements is currently being finalised to enable the latest revision to be implemented.

² ‘Poverty Reduction - Can Renewable Energy make a real contribution’. GNESD Summary for Policy Makers (undated)

- Assess and provide advice on renewable energy/energy efficiency policies and projects.

D: Generating New Knowledge (through structuring energy policy research projects):

- Identify key research/study activities that would fill gaps in knowledge;
- Carry out thematic studies on the broad issues of Energy Access and Renewable Energy Technologies. The Energy Access theme was studied in three phases i.e. Policy Research, Dissemination and Policy Implementation and the Renewable Energy Technologies (RETs) was studied in two phase's i.e. general assessment of the renewable energy sector in the different countries and identified technologies that have potentials for poverty alleviation
- Produce a report and research papers on various topical issues in renewable energy including "Energy Access for the Urban and Peri-urban poor," "Energy Security and Energy Efficiency for Developing Countries", "Potentials of Biofuels in the Developing Countries";
- Help apply knowledge where specific decisions are needed on sustainable energy issues, and
- Structure and foster collaboration on applied policy research studies that conceptualize and operational approaches to sustainable energy policies, and analyze experiences.

7. The initial phase of GNESD operation (March 2003 – August 2005) was carried out under a project agreement with UNEP ('Project Document' of GNESD (see references in annex –“GNESD ProDoc”), with financial support from a variety of donors. This Project Document continues to provide the formal framework for the GNESD project, with revisions to reflect new budgets and workplans on an annual basis. The new Project Document – mentioned above – will replace the existing one once it is formally in place. GNESD has operated with the support of two principal donors (Germany and Denmark), supplemented with support for specific activities by UNDP and others.

SCOPE, OBJECTIVE AND METHODS

8. As prescribed in the MTE terms of reference, the objective of this MTE is to assess operational aspects, such as project management and implementation of activities and also the level of progress towards the achievement of the objectives. The MTE assesses project performance and the implementation of planned project activities and planned outputs against actual results. The MTE focuses on identifying lessons learned to date and provides recommended corrective actions needed for the project to achieve maximum impact in the future. It is anticipated that MTE findings will feed into strategy development and project management of the GNESD in future.

9. The evaluation criteria used within this MTE are those provided by UNEP Evaluation Office, as presented in the following section and summarised below:

- A. Attainment of objectives and planned results (Effectiveness, Relevance and Efficiency);
- B. Sustainability (Financial resources, Socio-political, Institutional framework and governance, Environmental);
- C. Catalytic Role and Replication;
- D. Stakeholder participation / public awareness;
- E. Country ownership / driven-ness;
- F. Achievement of outputs and activities;
- G. Preparation and Readiness;
- H. Assessment of monitoring and evaluation systems;
- I. Implementation approach and Adaptive Management;
- J. Financial Planning;

K. UNEP Supervision and Backstopping;

L. Complementarity with UNEP Medium Term Strategy and Programme of Work:

10. Questions asked in this MTE relate to its overall objective, which is to evaluate the operational performance of GNESD to date. Thus the focus is on outputs of the network, their delivery to time-scale and budget, and their relevance and utility to the countries and regions in which GNESD operates. In addition questions were asked about *outcomes* and *impacts* of GNESD. At the *mid-term* of a programme it would not be expected that the planned *outcomes* and *impacts* had yet been fully realized, especially for *up-stream* policy outcomes and impacts; however the analysis of outcomes and impacts was undertaken in anticipation that some interim outcomes and impacts would be uncovered, and more importantly, that findings would result in recommendations to enable an increased focus on outcomes and impacts in the future.

METHODOLOGY EMPLOYED FOR THE MID-TERM EVALUATION

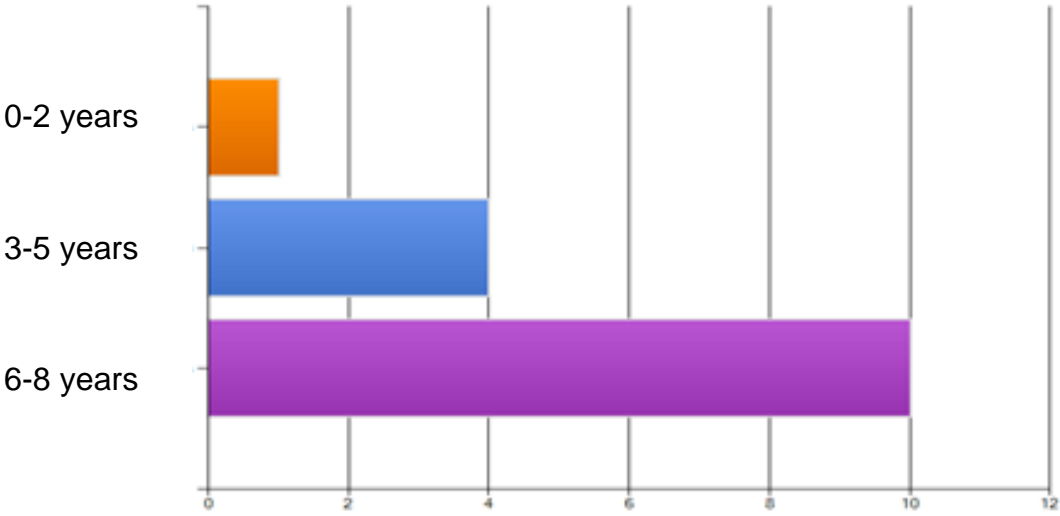
11. Following the Terms of Reference, the MTE employed a participatory mixed-methods approach. The following activities were undertaken for the preparation and data collection phases of this MTE (see Annexes B and C for details):

- Literature review of material related to GNESD, including GNESD products, accounting material, progress reports, founding documents and donor agreements, meeting minutes etc (see Annex D for full list of documents consulted);
- Meeting at UNEP DTIE, Paris (28th and 29th June 2010) to meet Mark Radka, UNEP staff member responsible for GNESD, and John Christensen, Head of GNESD Secretariat, to discuss the proposed approach to the MTE; this meeting also allowed the opportunity to meet and interview a number of GNESD Centre staff members;
- Telephone briefing on 2nd July 2010 with UNEP's Evaluation Office to discuss UNEP expectations for the MTE, details of the terms of reference, methodology etc;
- Web-based survey sent to all GNESD centres in developing countries, asking respondents for opinions on 1) priorities for GNESD; 2) GNESD products and outputs; 3) outcomes and impacts resulting from GNESD activities; 4) overall views and suggestions for improvement. (see Annex C for full questionnaire and results). 15 individual responses were received, representing 9 of the 12 GNESD Centres from developing countries;
- Telephone interviews were offered to all GNESD Centre staff who received the survey. In total 9 telephone interviews were undertaken;
- Face-to-face meetings were undertaken during two field visits to (see Annex B):
 - UNEP DTIE, Paris 28th – 29th June 2010, during a GNESD Working Group meeting; various GNESD Centre staff members, UNEP staff etc;
 - GNESD Secretariat, Risoe, Denmark: full-day meeting on 20th July 2010.

12. The main activity in the primary data collection process was the information gathered from the GNESD Centres through the web-based survey, telephone interviews and meetings. It should be noted that those responding to the web-based survey were offered the possibility for their responses to remain anonymous; a number of Centres chose this option and their views. Following good practice, all responses have been anonymised and are presented below in a non-attributable form.

13. Given the globally dispersed nature of 'end-users' of GNESD material, and the impracticality of contacting all those on the centralised database of recipients of GNESD products, the most effective means of gathering information regarding national/regional outcomes and impacts of GNESD was considered to be through the GNESD Centres themselves.
14. The GNESD Centres were asked not only for their opinions on GNESD past, present and future but also to present data on outcomes and impacts from their countries/regions. No baseline (initial conditions) was specified for GNESD at its inception. This is fully understandable given the complexity and expense of measuring existing levels of knowledge etc in a number of different countries. However – in order to assess the difference that GNESD has made - the survey of GNESD Centre members for this MTE did stress that any impacts or outcomes identified should be as a result of GNESD activities, and hence – by implication – additional to the baseline conditions.
15. However it is important to note that the GNESD Centres cannot be considered to be disinterested parties with respect to an evaluation of the success of the network. In-depth data collection in each of the relevant countries and regions, undertaken by an independent body, would be required in order to achieve a totally impartial analysis; such an exercise was beyond the scope of this MTE. While valuable data was gathered during the web-based survey and telephone interviews with GNESD Centres, the author noted the –natural and understandable - disinclination of most GNESD Centre members to criticize colleagues in other Centres and the secretariat. At the same time, most respondents had been involved with GNESD for some time, the majority since its inception, and hence can be considered to be *key informants* (see Figure 1).

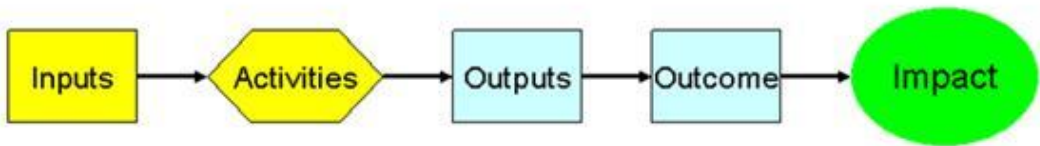
Figure 1: Number of years respondents to the web-based survey have been involved with GNESD. Response to question: “how many years have you been involved with GNESD?”



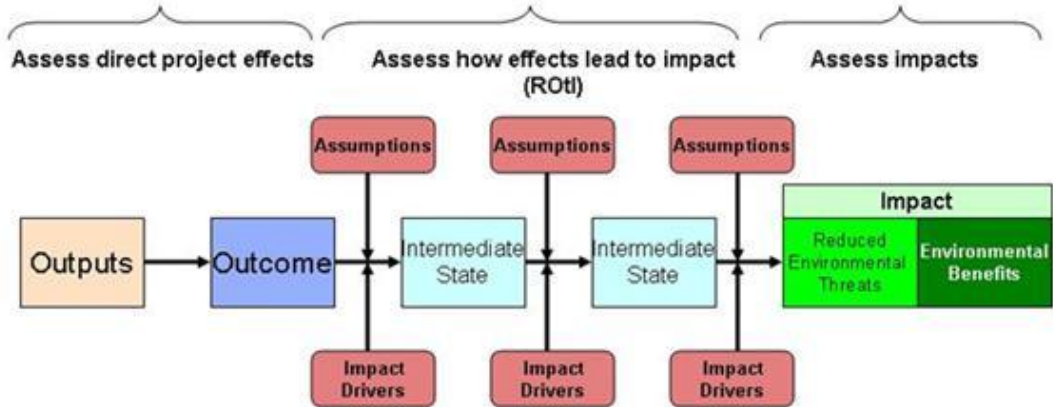
16. Data analysis used the data collected through the web-based survey, meetings (face-to-face and telephone) and literature review, to evaluate progress towards the objectives of GNESD. As noted in the ROti framework guidelines, given the timing of a Mid-term Evaluation, the focus is necessarily on *activities* and *outputs* and recommendations to improve the likelihood that *outcomes* and *impacts* will be achieved in the following period (see Figure 2).

Figure 2: Illustrations of a) results chain and b) impact pathway (source: introduction to the ROTi method, MTE terms of reference)

A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change



An example schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from UNEP EO 2009)



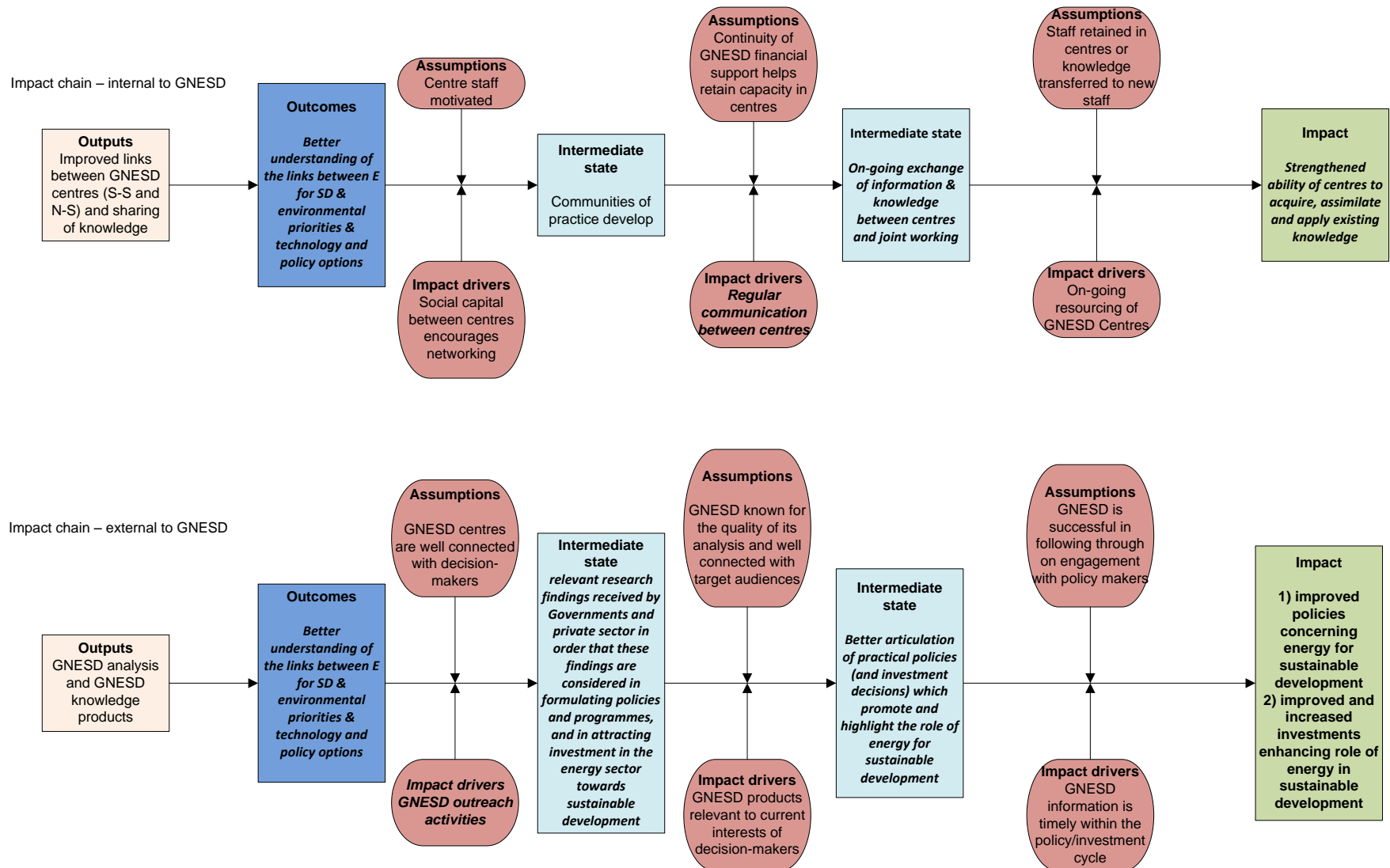
17. Given the lack of development of a logical framework at the start of the GNESD project, and given the fact that the ROTi approach was introduced after then, impact pathways were not systematically defined during the inception phase of GNESD; nor were any clear indicators of progress developed. However it should be noted that the operation of GNESD appears to have reflected normal practice within UNEP at the time. Thus some conceptual analysis has been necessary as part of this MTE to develop draft impact pathways for GNESD (see Section A below).

PROJECT PERFORMANCE AND IMPACT

A: ATTAINMENT OF OBJECTIVES AND PLANNED RESULTS

18. As this evaluation was undertaken at what has been labeled the *mid-term* of the project, the main focus is on assessment of achievement of outputs. However progress towards the attainment of objectives and planned results (outcomes and impacts) of GNESD is also assessed.
19. Two generic impact pathways have been developed by the evaluator, one internal to GNESD, focused on building capacity of GNESD Centres, and one external, focused on achieving beneficial policy change and investment. These are presented in Figure 3. It should be noted that, given time restrictions and the dispersed nature of GNESD stakeholders, it was not possible during the MTE to undertake a systematic consultation of these draft impact pathways; this should be undertaken, as part of a strategic review, in the period immediately following the MTE. These impact pathways have been presented with reference to the internal and external impact pathways presented in Figure 3, using results from the web-based survey, interviews and the literature review.
20. The aims of GNESD, presented in para 4, are highlighted in bold within the impact pathways to place them in context. These impact pathways are used for the analysis of project performance and impact presented in the next section. However, it is recommended that before proceeding to the next phase, GNESD undertakes a strategic review, including refinement of impact pathways and indicators going forward, in order to bring some clarity and realism to the expected relationship between GNESD activities, outputs, outcomes and impacts. This should involve a thorough analysis of the ways and means for policy analysis and research to impact both the policy and investment processes, using existing bodies of knowledge on the subject, for example ODI publication: "Helping researchers become policy entrepreneurs" 2009.

Figure 3: Draft Generic impact pathways for GNESD, developed for this MTE – internal and external (developed as part of the MTE for discussion purposes)

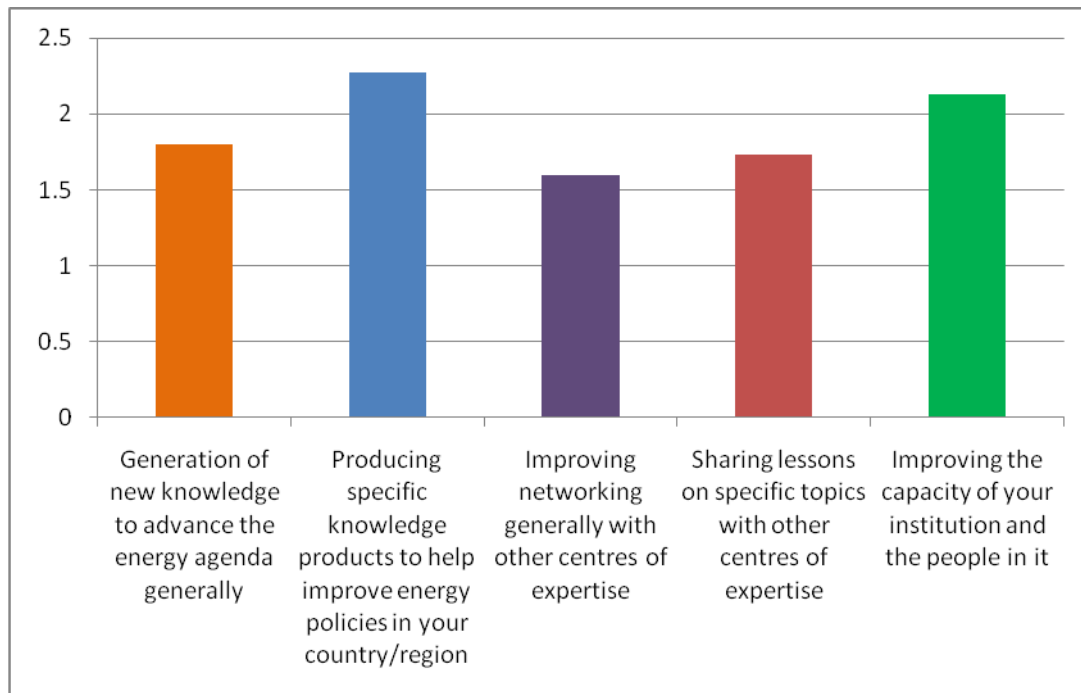


EFFECTIVENESS :

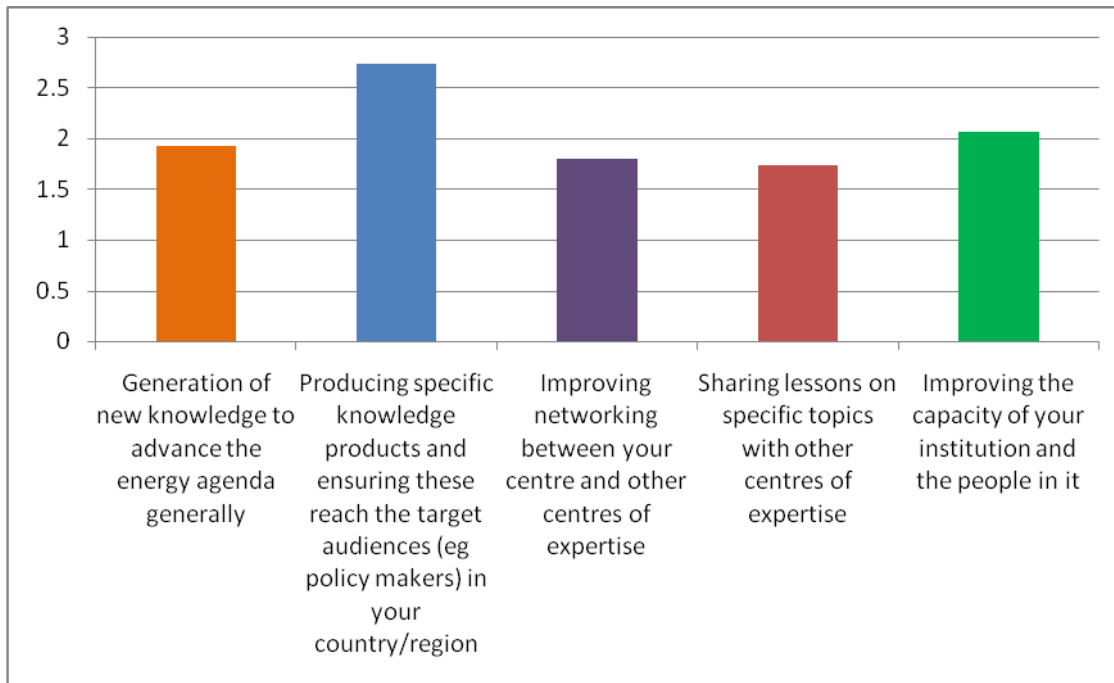
21. Effectiveness of GNESD can be considered from the perspectives of: 1) *'Internal' outputs*- implications of GNESD activities for those involved with GNESD; 2) *'External' outputs* - the quantity and quality of GNESD products; and 3) *Progress towards achievement of "intermediate states, and achievement of outcomes and impacts* (using the ROTi method). This section deals with the first and third of these, while the second (*external outputs*) are dealt with under Section F (Achievement of Activities) below, as they relate more directly to this section.
22. **'Internal' outputs:** The network is made up of institutions and individuals actively engaged in, and generally highly knowledgeable about, the area of energy for sustainable development. Evidence from meetings with GNESD Centre staff, the web-based survey and donors (UNDP and Germany) indicated that considerable progress has been made in developing an effective South-South network for the sharing of knowledge, and good relationships have been developed to improve links between the Centres in developing countries. 13 of 15 replies to the web-based survey rated improving networking with other Centres as either *most important* or *very important*, while 13 of 15 respondents considered that GNESD achieved this *very well* or *well*. Figure 4 also shows that sharing of lessons between Centres was considered very important, a finding emphasised during a number of telephone interviews where the ability of GNESD to compare policy experiences from country-to-country was seen as highly valuable.

Figure 4: Importance and achievement of various aspects of GNESD, as reported by GNESD Centre staff

a) Answer to the question: "How important are the following aspects of GNESD from your perspective?" Average scores from 15 responses



b) Answer to the question: “How well does GNESD, as it is currently structured, fulfill the following?”
Average scores from 15 responses



Note: average scores presented across 15 responses. Lower scores relate to higher importance/rate of achievement: Left hand scale: Most Important (1); Very Important (2); Important (3); Less Important (4); Not Important (5). Right hand scale: Very well (1); Well (2); Fairly well (3); Not very well (4); Not well at all (5); N/A (0).

23. Capacity building for policy analysis in GNESD countries and regions was seen to be an important aspect of GNESD activities among the Centres (see Figure 4) and to have been well achieved. While achievement of capacity building is hard to measure, responses from telephone interviews with GNESD Centres showed that knowledge has been increased in a number of the Centres through GNESD activities, both in terms of research methodology, and specific knowledge about energy topics studied. At the same time, GNESD outputs have been used for training of under-graduate and post-graduate students, which can also be viewed as a capacity building impact of GNESD. There is evidence that GNESD theme coordinators have benefitted from the specific skills developed in that process (research project management and coordination) in other research work (GNESD Secretariat, pers comm).
24. There is evidence of the development of communities of practice within GNESD as a result of some of the thematic activities, as well as capacity building within Centres (see Table 2). For example, several GNESD Centres were asked to participate in the *access* element of the Global Energy Assessment exercise being undertaken at IIASA. In addition a number of Centres have undertaken joint collaborative projects outside the GNESD network; it is worth noting that a number of Centres use their GNESD membership as an asset when making applications for funding. The GNESD Centres vary widely in size, which results in some inevitable imbalance in the available capacities between Centres; however this disparity appears to be generally well managed by the network in practice. Of more importance is the fact that for most people within the *Centres*, GNESD is a relatively marginal activity. The level of ownership of GNESD by its Centres is high, as demonstrated through the web-based survey

and follow-up telephone interviews. However, as shown in Figure 7, the majority of Centre staff spend less than 25% of their time on GNESD related activities, highlighting that GNESD is a marginal activity for many of those involved.

25. The de-centralised and democratic decision-making process for GNESD, through which priority areas for future research are decided, ensures – on average – that GNESD research is of relevance to the interests of the researchers within GNESD countries and regions. Never-the-less, it is clear that such decision-making processes involve compromise by some and, as demonstrated by the results of the web-based survey, not all themes are seen as relevant by all GNESD researchers.
26. Figure 7 shows that of 15 responses to the question “How much time did you spend on GNESD in the past 12 months” 4 people spent less than 10% of their time; 6 spent 11-25% of their time and 5 spent 26-50% of their time on GNESD. This may partly explain problems with keeping to time schedules for certain GNESD products (discussed below). It would be appropriate to review the level of funding to Centres, with a view to possibly increasing the level provided per theme and to providing a certain level of assured budget for outreach activities.
27. While the South-South links have been effectively developed through the GNESD network, the Northern GNESD partners are effectively inactive within the network, as a result of the lack of funding to support their engagement. Thus the North-South links are not pro-active as originally envisaged, although there is some evidence of ad-hoc North-South co-operation as a result of GNESD³. However in the evaluator’s opinion, given the quality of institutions and individuals involved in the Southern GNESD Centres, this does not detract from the overall value of the network as a knowledge sharing medium. As the GNESD newsletter is distributed within both developing and developed countries, there is at least a passive sharing of knowledge with the Northern Centres. It would be wise to re-consider the official role of the Northern Centres in GNESD going forward; while their involvement should be encouraged as much as possible – through attendance at GNESD meetings, and reviewing of GNESD knowledge products for example – it would clarify the status of GNESD to the outside world, and increase the visibility of Southern GNESD Centres, if only Centres in developing countries were included as ‘official’ GNESD Centres of Excellence in the future. To ensure ongoing networking with northern centres, memoranda of understanding could be developed with other existing research networks focusing on energy in developing countries (eg REN21, IRENA, CLEAN etc).
28. Several Centre representatives referred to previous energy and development research networks, and the need to learn lessons from their successes and failures. The two networks identified were: 1) the "Cooperative Programme on Energy and Development" (COPED), established in 1981 and financially supported by the European Commission; COPED was made up of 11 centers in Africa, Latin America, Asia and Europe and ran for almost 15 years. 2) Energy Research Group (ERG), supported by the UN University and the International Development Research Centre (IDRC), and involving a group of eleven scientists from developing countries whose objective was to analyse energy research priorities.

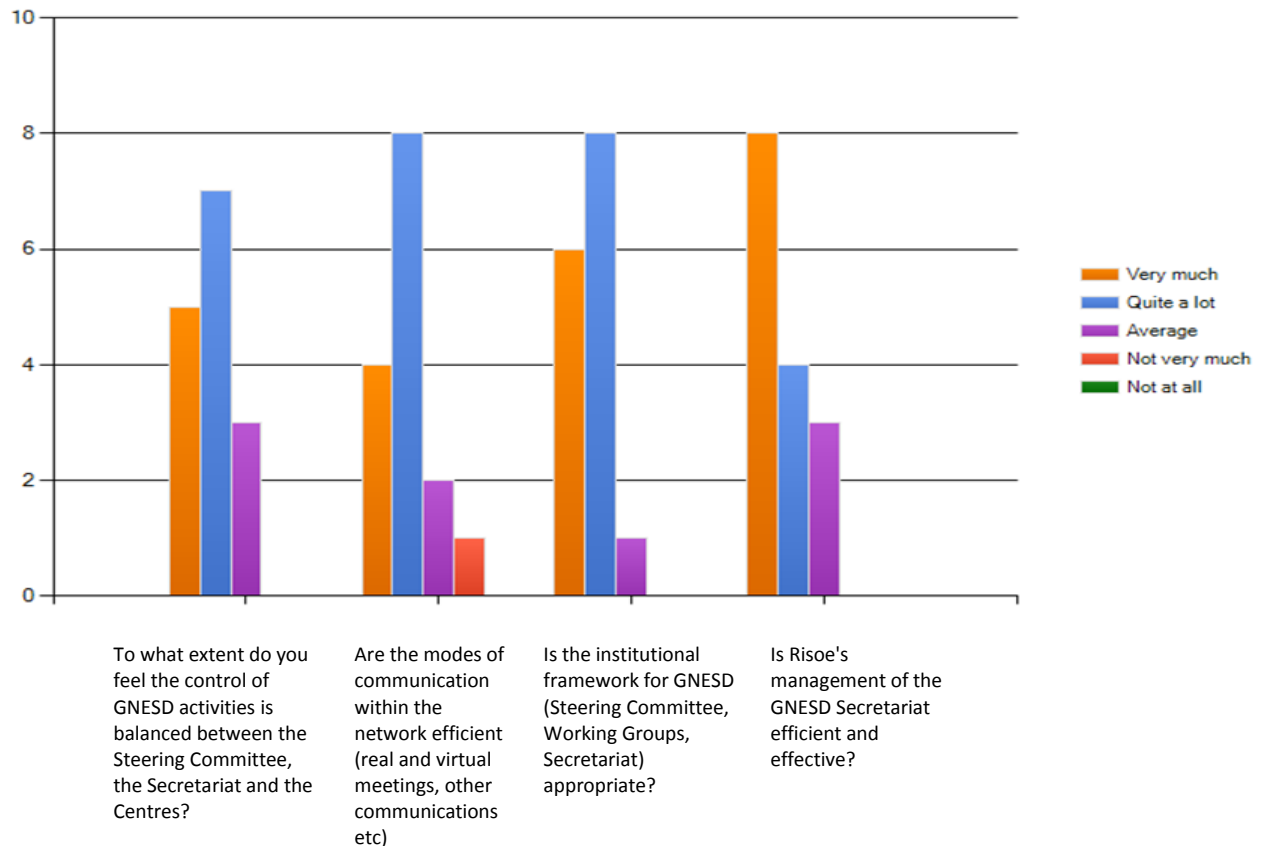
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³ ECN in the Netherlands co-ordinated the “Renewable Energy” Chapter of the UNEP Green Economy Report in 2009, with support from some of the GNESD centres. (Steering Committee 48 meeting minutes July 2009).

Searches for evaluations of these programmes as part of this MTE, did not yield results; however it may prove worthwhile for GNESD to convene a teleconference of those involved in order to compile relevant lessons.

29. It is clear from survey results (see Figure 5) and interview responses that the structure of GNESD has led to a democratic system of decision making, with all respondents expressing feelings of satisfaction regarding the balance of control between the different elements of GNESD (Steering Committee, Secretariat and GNESD Centres). This has resulted in a good deal of *social capital* within the network. While this is essential as a precursor to effective networking, a balance needs to be struck between the internal needs of the network and the essential outward-facing activities necessary to engage with the ultimate users of GNESD products; this balance needs to be addressed and is discussed further below.
30. The infrastructure of the network has effectively been put in place, with an effective set of committees and working groups. The intranet is an important tool for the network and would benefit from improvement as a central repository of information. As it stands it is not entirely intuitive to navigate, and provides an incomplete record of key documents; some documents required for this MTE were missing from the intranet and had to be separately requested. Documents stored on the Intranet typically fail to identify issue date, author and approvals, and contain no version control, making the status of documents uncertain. No clear document naming convention exists, with names often obscuring the purpose of the document. Improving these should be relatively easy and will help make the Intranet a more useful resource for the Network.
31. The modes of communication within the network were also raised by a number of respondents to the web-based survey, and during telephone interviews, as an area needing improvement. While the introduction of monthly Steering Committee telephone meetings was well-received, it was felt that the use of communications technology to undertake such meetings could be improved to enhance the efficiency of such meetings and avoid time wasted. It is recommended that the GNESD Secretariat investigate the use of commercial remote conferencing facilities (including those allowing real-time sharing of documents), to assess whether they might both reduce costs and increase efficiency of GNESD tele-conferencing.

Figure 5: Responses to the question “How well is GNESD structured and managed?”



Note: average scores across 15 responses. Very much (1); Quite a lot (2); Average (3); Not very much (4); Not at all (5)

Scoring of outcomes and progress towards “intermediate states” using the ROTi method

32. Given the current – somewhat loosely defined – objectives of GNESD, there is a wide range of implied target audiences, including national and regional policy makers, utility managers, private investors and international institutions. During this MTE a number of pieces of evidence of outcomes and possible impacts were collected; these are summarised in Table 2 under three different headings.
33. Under the heading *External outcomes at national and regional levels*, evidence was presented, by Centres, of GNESD knowledge products reaching and influencing policy-makers in Lebanon, China, Argentina, Kenya, Cambodia and (regionally) in West Africa. Details of how the GNESD products influenced policy (ie what changed as a result of GNESD) were generally lacking however; this is not unexpected due to the complex nature of policy change, although improved procedures for monitoring impacts should be developed in the future. Never-the-less the examples outlined in Table 2 provide some evidence of movement – in a limited number of cases – along the impact chain from outputs-to outcomes-towards impacts as a result of GNESD. It was noted by several Centres that policy engagement was very difficult due to limited resources for outreach. One Centre mentioned that no

GNESD policy impacts were to be expected within the county due to general difficulties with researchers penetrating policy circles. In addition several Centres reported the use of GNESD products to support tertiary education on energy in their countries.

34. Notable by their absence were any references by Centres regarding the influence of GNESD products on investment in the energy sector. Indeed there was little evidence provided of systematic engagement with the private sector. Given that influencing private sector is specified as one of the objectives for GNESD, the approach to this sector needs to be reviewed. Either more resources should be applied to this sector (implying increased budget overall) or the objectives regarding the private sector should be down-scaled.
35. Under the heading *External outcomes at international level* evidence was presented by Centres of a general improvement of energy policy thinking in certain policy areas; those mentioned were: the Access theme, which was said to be influential in challenging received wisdom concerning power sector reforms (*Source: a GNESD Centre, July 2010*); the Renewable Energy Technologies theme, which raised the profile of the importance of mechanical energy services; and the UPEA theme which increased awareness generally concerning the importance of energy poverty in urban and peri-urban areas. More generally evidence was presented of GNESD influence on the AGECC, which has recognized GNESD as a source of analysis and as an example of south-south networking, and on UNDP which has seen a raised profile for energy access. Finally several Centres are participating in the Knowledge Module 23 (Policies for energy Access) of the Global Assessment Report, coordinated by IIASA, as a result of GNESD Access work; this work has one of the GNESD Centre members as Coordinating Lead Author. The GNESD Secretariat provided evidence of GNESD inputting policy thinking into two CSD processes in 2006 and 2007, as well as the MDG report in 2007.
36. The impact of GNESD on global environmental objectives has not been assessed as part of this MTE. However in the opinion of the evaluator, the major impact that might be anticipated would be positive from a climate change perspective given the focus on renewable energy and energy efficiency. While the focus on increasing access to energy services for poor people might be expected to increase greenhouse gas emissions, recent research has shown that such impacts would not be significant at global level (see for example: "Energy Poverty: how to make modern energy access universal" produced by the IEA, UNDP and UNIDO, 2010).
37. Under the *Internal outcomes* heading, Table 2 provides evidence of the development of South-South communities of practice in several areas, as a result of GNESD network activities (eg in urban/peri-urban, bio-energy and access). Examples were also provided of capacity building within GNESD Centres, in terms of both enhanced methodological capability and the generation of new knowledge through undertaking GNESD policy analyses. Several Centres mentioned that new researchers had built their capacity as a result of involvement in GNESD thematic analyses.

Table 2: Examples of outcomes and progress towards impacts

GNESD activity/output	Outcomes	Evidences, notes etc
External outcomes at national and regional levels		
Outreach with GNESD Access and UPEA products in Indian states	As part of the <i>inclusive growth</i> policy agenda in India, the GNESD Access theme has been influential in engaging state officials in Orissa, West Bengal and Karnataka on the subject of access for the poor in the context of power sector reforms. UPEA theme has increased profile of urban energy poverty in Indian policy making.	Anecdotal evidence from Teri, July 2010
Outreach with GNESD Access products in Lebanon	Contribution of access theme to Lebanese power sector reform	Anecdotal evidence of specific outcome/impact, although few details and attribution of GNESD contribution has not been substantiated. Sources: Presentation by GNESD Secretariat to Annual Assembly 2007;
Outreach with GNESD renewables products in China	Contribution of RETs theme to Chinese renewable energy law	
Outreach with GNESD Access and RETs products in Argentina	Government agencies and utilities used Access theme products in their planning for RE laws	Source: Web-based survey response, Bariloche Foundation
Outreach with GNESD Access products in Kenya	In developing sector reform, Government agencies in Kenya learned lessons about problems with power sector reform in other countries, and alternative, phased, approaches as a result of GNESD Access products promoted at GNESD workshop in 2004.	Anecdotal evidence, telecom AFREPREN 22 nd July 2010
Outreach in Cambodia	Outreach focusing on GNESD Access theme resulted in raised profile of energy policy for the poor, which would have been much more limited in the absence of GNESD.	Evidence from DIIS evaluation report, 2008.
Outreach with GNESD RETs and UPEA products in West Africa	Increased understanding of the role of non-electrical RETs in supporting productive uses, as a result of workshop in 2007. Increased understanding of the electrical needs of peri-urban populations by electricity authorities, as a result of workshop in 2009.	Telecom ENDA TM 19 th July 2010
Outreach with UPEA products at UN Habitat expert meeting	GNESD UPEA work represented at expert group meeting of UN Habitat under the Global Energy Network for the Urban Settlements (GENUS) programme.	Report of expert group meeting, Kenya October 2009 "Promoting Energy Access for the urban poor in Africa: Approaches and Challenges in Slum Electrification"
GNESD publications	More and better materials available for tertiary education on energy	GNESD materials used for university teaching in UCT, South Africa, AIT, Thailand.
RETs thematic analysis, Argentina as Co-ordinating Centre	Increased methodological capacity of Bariloche Foundation was further used for 1) technical assistance to the International Copper Association (Latin American Branch) to evaluate the possibilities of Solar Water Heaters in South Cone (2008); 2) Participation as Regional Centre in Biotop Project (Call for Tender of EU): Chapter: Policy Recommendations on RTD in LA and EU-LA cooperation; 3) development of the Working Paper: Scaling up Low-carbon Investments: Focus on Renewable Energy in	Source: Web-based survey responses, Bariloche Foundation

	Latin America – Ground paper for the Global Renewable Energy Forum – León, México, October 2009. Also provided the entry point for input to ECLAC (Economic Commission for Latin American and Caribbean) in the development of report “Contribution of Energy Access to the MDG and to poverty alleviation in LA&C – ECLAC – October 2009”.	
External outcomes at international level		
GNESD reports and outreach	Better understanding of energy policy in certain areas (eg urban/peri-urban, access, mechanical renewables etc)	Anecdotal evidence of ‘gap-filling’ (eg data on urban energy poor) and ‘myth-busting’ (eg impact of power sector reforms on access).
	GNESD AGECC recognized as a source of analysis and as an example of south-south networking. Anecdotal evidence GNESD impact on AGECC policy: in June 2009, as part of work for the GEA, 3 GNESD Centres proposed ‘universal energy access by 2030’; six months later this message was echoed by UN Energy	Reference to GNESD in AGECC, World Energy Council, REN21, IEA documents. UCT, telecom 15 th July 2010
	GNESD knowledge has helped raise profile of energy access within UNDP	Meeting UNDP New York representative 29 th June 2010
	Participation of GNESD Centres to Knowledge Module 23 (Policies for energy Access) of the Global Assessment Report coordinated by IIASA and to be published in 2012. Daniel Bouille Coordinating Lead Author, participation also by UCT Cape Town and ENDA TM.	Web-based survey Bariloche Foundation and UCT, July 2010.
Specific GNESD analysis and outreach	GNESD provided input (2007) to the MDG report, Coordinated by GNESD Co-chairmanship and the GNESD Secretariat. It also made presentations to the Commission on Sustainable Development (CSD 14 (Energy), 2006 and CSD15 (Energy), 2007), and to the Bonn RE Conference (2004).	Evidence provided by GNESD Secretariat
Internal outcomes		
GNESD thematic analyses	S-S communities of practice developed in certain areas: eg urban, bio-energy and access.	GNESD Centres under-taking policy analysis together outside the network, as a result of GNESD networking (eg 1) ENDA TM, ERC at UCT and AFREPREN participating in GEF/UNDP Bioenergy programme 2) Bariloche Foundation, ERC, ENDA, and AIT participating in Global Energy Assessment (GEA) Access knowledge module) 3) TERI working with other GNESD Centres on non-GNESD themes
GNESD thematic analyses	Capacity built within GNESD Centres to undertake policy analyses	Anecdotal evidence from web-based surveys: Argentina; Kenya, Senegal, India

38. The, largely anecdotal, evidence of success in engaging policy audiences has been achieved broadly through the organization of a number of regional workshops to promote GNESD messages to a policy audience. However evidence from the web-based survey, as well as telephone interviews with Centre staff and meetings with the Secretariat, highlights general agreement within GNESD that there has been insufficient systematic engagement with the target audience for GNESD outputs. This has resulted in a weak link on the impact chain between outcomes and impacts. Referring to Figure 3 this can be seen as an absence of the conditions necessary to ensure assumptions are fulfilled and impact drivers are in place: evidence from the web-based survey showed that not all GNESD Centres are well-connected with the policy process, outreach activities are insufficient and hence GNESD products do not consistently reach their target audiences. In addition policy-makers do not consistently understand the relevance of GNESD products in some cases due to lack of buy-in to the GNESD process. In some cases GNESD products have taken too long to produce and have missed windows of opportunity for influencing policy.
39. Thus while there is some evidence of GNESD reaching policy-makers, this finding implies the need both for enhanced levels of outreach activities, as well as different ways of working within the network in order to engage target audiences. One of GNESD's original objectives is the '...better articulation of practical policies...'; it is considered that this is unlikely to be achieved fully through current ways of working. Further consideration should be given to the means of achieving this objective, which would involve more than the passive provision of GNESD knowledge products to policy-makers; rather its achievement would necessitate active involvement in the development of national and regional strategies (as proposed by GNESD Co-Chair Paris meeting 29th June 2010). It should be noted that efforts are already underway within GNESD to enhance outreach effectiveness, although budgetary constraints may limit the extent to which activities can be increased.
40. To date overall responsibility for outreach seems to have rested with the GNESD Secretariat, with Centres supporting at national/regional level. It would seem appropriate to investigate the feasibility of reversing this in future, with Centres having overall responsibility (with appropriate resourcing) for outreach within their countries and regions, supported where appropriate by the GNESD Secretariat. With regard to outreach in specific geographies, a balance will need to be struck in practice between the activities of the Secretariat and of those of the Centre concerned. In the scenario where Centres take more responsibility for outreach in their country/region, the Secretariat would maintain responsibility for outreach, and general promotion of GNESD, within the donor community and international organizations generally. While some Centres have comprehensive experience of engaging with policy processes, it is recognized that some Centres may require enhanced capacity and skills in this area. In such cases consideration should be given to providing resources for specific training.
41. An increase in outreach activities would clearly imply a need for greater resourcing of GNESD Centres; such an approach is being trialed in the African GNESD Centres (ref decision at Paris GNESD Working Group meeting, June 2010) supported by UNDP. This is to be welcomed but is not sufficient if the full value of GNESD analysis is to be realized. In addition to further regional workshops, GNESD should consider new ways of working to engage more systematically with its target audiences, and exploit specific windows in which policy can be influenced; this implies developing greater awareness of and

relationships with, the target audience and having the resources to exploit this when opportunities arise.

42. One approach might be to place more emphasis at the scoping stage of new GNESD studies, to focus on a narrow band of target audience rather than a general audience as at present (eg focus on senior policy-makers in energy ministries responsible for electricity planning, or on utility directors etc). Several Centres suggested that, once identified, the target audience could be engaged at the start of each new thematic exercise, to identify their needs and encourage buy-in to the research exercise, which would help GNESD distinguish itself from pure academic research, and carve a niche for itself as a policy-engaged research network. A more formal arrangement for engaging policy makers was suggested (*source: Federal University of Rio de Janeiro, telecom 29th July 2010*) akin to the IPCC structure, whereby policy-makers meet in Plenary to define relevant questions for research, the research is undertaken and then fed back to policy-makers by the researchers; while such an approach may be useful, the cost implications may preclude it. Such an approach, if feasible, would likely require greater involvement of UNEP offices to ensure engagement of policy makers, and its practicality should be subject to further discussed.
43. In order to maximize the geographical coverage of GNESD impact, Centres should be given clear mandates, and appropriate resources to enhance their outreach activities at the regional level. One option would be for GNESD to enhance co-operation with UNEP Regional and Liaison Offices⁴, with GNESD Centres calling on their support in outreach activities, thus leveraging UNEP's profile and influence. In addition, partnerships with regional organizations focused on energy could be further enhanced (ref: ongoing discussions regarding the involvement of OLADE in GNESD).
44. On a positive note, discussion amongst GNESD Centres at a Working Group meeting in Paris (June 2010) concerning the development of a new thematic activity on urban and peri-urban energy (UPEA III) highlighted the requirement to build more active policy engagement into the theme from the start. There was also a helpful recognition of the need to engage with other relevant international initiatives (eg UN Habitat and ICLEI). More generally a whole session at this Working Group meeting was devoted to outreach and communications, including a presentation by UNEP's Communication Manager in Paris, indicating recognition of the need to improve GNESD operations in this respect. The challenge for GNESD is to integrate outreach activities fully into its structures, rather than treating it as an add-on. The one-year trial of a new outreach approach within African GNESD Centres (supported by UNDP) should yield some useful lessons for the network as a whole.
45. As pointed out in a previous evaluation of GNESD (DIIS, 2008) there are considerable methodological challenges in measuring and attributing outcomes and impacts of an up-stream networking such as GNESD. There is evidence of some successes in achieving outcomes however, as highlighted in Table 2. The ROti framework has been employed to summarise this in Table 3 below. At the same time there is clearly a need for enhanced ways of working within GNESD in order to increase the probability that

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⁴ For example: UNEP Regional Offices for Africa (Kenya); Asia and the Pacific (Thailand); Latin America and the Caribbean (Panama); West Asia (Kingdom of Bahrain). Also UNEP Liaison Offices in Addis Ababa; Beijing; Brazil; Cairo.

real-world outcomes and impacts will be achieved in the future. Finally better systems of recording impacts of GNESD activities should be maintained.

46. **Overall the rating for effectiveness of GNESD to date is BB in the ROTi framework (see Table 4), i.e. 'likely to achieve impact'; however it should be noted that this holds true only if changes to GNESD operations are made in the near future. This ROTi rating translates to a rating of Satisfactory for effectiveness in the Overall Ratings Table.**

Table 3: Rating of outcomes and progress towards intermediate states for GNESD

Results rating of project entitled:		GNESD 2003 - 2010						
	Outputs	Outcomes	Rating (D – A)	Intermediate states	Rating (D – A)	Impact	Rating (+)	Overall
Internal	1. Establishment of network partners and modes of network operation 2. Good working relationships established between GNESD Centres for sharing knowledge 3. Knowledge shared between Centres	1. Better understanding of the links between energy for sustainable development and environmental priorities and technology and policy options (amongst GNESD Centres)	B	1. Communities of practice develop 2. On-going exchange of information between Centres	B	Strengthened ability of centres acquire, assimilate and apply existing knowledge		BB
	4. GNESD analyses undertaken in a number of policy areas (access, urban, renewables etc) 5. GNESD knowledge products produced in the form of reports 6. GNESD outreach activities Rating justification:	2. Better understanding of the links between energy for sustainable development and environmental priorities and technology and policy options (amongst decision-makers) 1) Internal: South-South links well established and good working relationships and modalities in place. Northern Centres not active, so N-S networking not effective 2) External: There is some evidence that decision-makers have increased their understanding in some policy areas (eg access, urban) although outreach activities need to be strengthened		3. Research findings received and considered by decision-makers 4. Better articulation of policies and investment decisions 1) and 2) Internal: there is evidence of nascent communities of practice developing (eg urban energy), and on-going exchange of information 3) and 4) External: Some evidence of engagement of GNESD in policy process, although not sufficiently sustained and systematic. There is however some evidence of GNESD addressing this shortcoming	B	Improved policies concerning energy for sustainable development Improved and increased investments enhancing role of energy in sustainable development Internal: While the networking infrastructure and relationships are in place, on-going funding would be required to consolidate this External: Anecdotal evidence of influence on the international policy process but little evidence at national/regional level. No evidence found of influence on investment		

Table 4: Rating scale for outcomes and progress towards ‘intermediate states’

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

RELEVANCE:

47. Relevance of GNESD is evaluated at two levels: 1) from an international policy perspective and 2) in terms of specific products and themes produced to date.
48. From an international policy perspective, it seems clear that GNESD is fulfilling a vital gap-filling role in focusing a South-South policy research network on energy in the context of poverty eradication and achievement of the MDGs; this view was repeated by most GNESD Centres through the web-based survey. The previous evaluation of GNESD undertook an analysis of the role of the network vis-à-vis the other Type II activities (principally REEEP and GVEP) and found that there was little chance of overlap, with GNESD undertaking a unique set of activities; in addition it was found that GNESD was sufficiently engaged with these other networks to exploit complementarities where they exist. In the evaluator’s opinion these findings hold true today.
49. In addition the profile of *energy access* for the poor has been raised recently through the UN Secretary General’s Advisory Group on Energy and Climate Change (AGECC). GNESD members are actively involved in AGECC, which has recognized the network as an important source of South-South networking. It is possible that AGECC may call on GNESD as a resource for policy analysis (GNESD Secretariat, meeting 20th July 2010). Thus there is strong evidence that the relevance of GNESD is confirmed by the international policy environment.

GNESD Themes to date: the process for definition of GNESD research has been to agree on a broad area (energy access, bio-energy, urban and peri-urban etc) and undertake a scoping exercise to create focus on a specific, researchable, relevant and useful area. This process appears to have worked well in some cases, but to have failed in others. It is clear that GNESD has filled some important gaps in knowledge, carving out niches for its work where others have not worked, or where there has been insufficient policy analysis to date. One prominent example is the urban and peri-urban energy field, which appears to have risen in profile following initial work by GNESD

under its UPEA theme. Other niche research areas for GNESD were reported by Centres. It was reported in the web-based survey (*Source: Bariloche Foundation, July 2010*) that the ‘...’*niche for renewables*’ was a totally new approach including indicators and criteria that my organization used in several studies and in technical assistance to the government...’. AFREPREN reported (*Source: telecom 22nd July 2010*) that the Access theme was successful as the research was focused on a specific question (impact of power sector reforms on access for the poor).

50. Results from the web-based survey (see Annex C, question 9) show that of 14 responses, 7 thought the Energy Security theme was *relevant*, while 4 thought it was *not very relevant* (the highest number for this score for any theme). Figure 8 shows that the quality of (expected) outputs from this theme was the lowest of any theme. Evidence from the discussion at the Paris Working Group meeting (June 2010) showed that the energy security has been less successful due to the broad thematic scope defined and not the quality of co-ordination or inputs from the Centres; problems centre around the difficulty of comparing situations in the different GNESD countries and regions, on which the value of GNESD summaries for policy makers rests. The bio-energy theme, still at the drafting stages, shows signs of similar problems. Lessons should be learned from these two themes, to ensure that future GNESD thematic analyses are scoped in such a way that the main value of GNESD (comparison between countries and regions and drawing policy lessons) is delivered.
51. The majority of Centres stressed (through the web-based survey or telephone interviews) the need for clear and specific definition of GNESD themes to ensure research focused on particular policy issues and to allow comparability of issues between countries. It was suggested by some Centres that fewer, more in-depth, GNESD analyses would be preferable to a larger quantity of more superficial studies. Finally one Centre member stated that most GNESD themes analysed current conditions and suggested that an alternative would be to change GNESD analyses towards a more future-oriented perspective, including the development of energy scenarios in the sectors concerned.
52. As mentioned above, one means of increasing relevance of future GNESD themes would be by clearly defining the target audiences and required policy outcomes at the scoping phase. Some of the GNESD Centres suggested during interviews (eg AFREPREN, 22nd July 2010) that external experts should be employed by GNESD at the start of GNESD thematic studies to review the scope defined; this could ensure the relevance of the activity and reduce the possibility of overlap with other research activities. Other Centres stressed that target audiences should be actively engaged at the scoping stage of new GNESD thematic analyses to a) clearly identify their needs and interests b) ensure increased buy-in of the process and hence increased impact. However some Centres noted that such policy engagement would be difficult in practice.
53. Opinions regarding the future focus for target audiences for GNESD outputs were divided between the GNESD Centres, with some arguing that more effort should be focused at international level (eg UN agencies, IPCC, World Bank, MDBs etc), while others stressed the importance of national and regional audiences, with international engagement as a secondary priority; it was evident that those Centre members in larger countries, with sufficient national capacity for policy analysis in existing institutions, were more interested in GNESD engaging at the international level. Given the structure of GNESD and its limited resource for outreach, in the evaluator’s opinion it would appear logical to focus the majority of effort on national and regional target audiences, while targeting international audiences only where there is specific demand for policy analysis, possibly utilizing UNEP offices

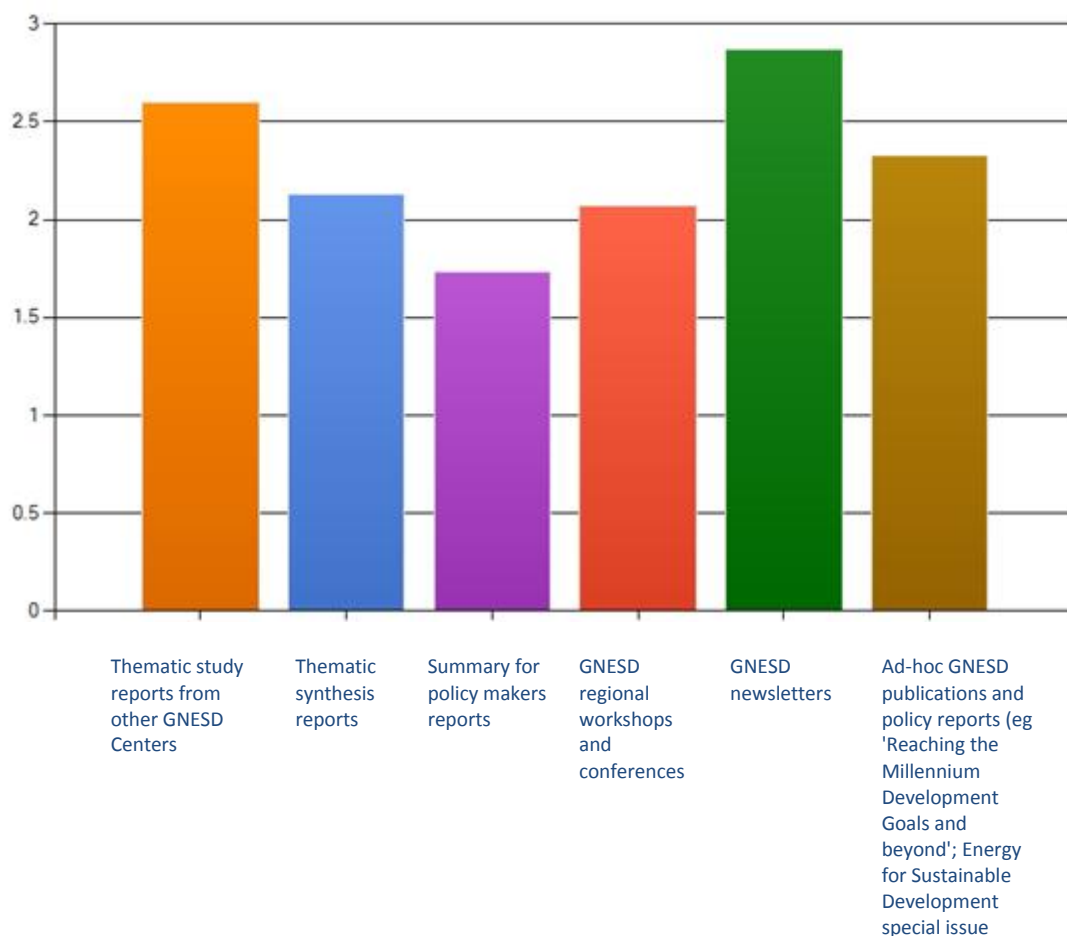
more for outreach at the international level. One example of demand in the near future may be AGECC. Whatever is decided, it will be important to achieve greater clarity of focus with respect to audiences targeted by specific GNESD outputs. Engaging target audiences at the scoping phase of new research would support a move towards GNESD activities becoming more demand-led (ie creating *demand pull* from intended audiences rather than merely *supply push* from the research community) as well as helping to achieve more buy-in to the final GNESD output.

54. Concerning choice of GNESD research themes for the future, a variety of opinions was gathered through the research for this MTE, recorded here for the sake of completeness. Some argue for an increased focus on integration of issues within GNESD analyses, bringing together issues of development/MDGs, climate and security within an integrated framework; this might be achieved – for example - through a GNESD analysis on the processes of integrated energy planning in GNESD countries, aiming to transfer lessons from those countries with well-established planning institutions. Others (eg Bariloche Foundation, telecom 20/7/10) suggested research activities focusing on issues that are a policy priority, a problem or a political issue at the level of the region or sub-regions, suggesting as an example for LA&C region “Energy integration and the contribution to reduce energy poverty or increase energy access”. A number of other Centres agreed that further work on urban and peri-urban energy poverty should be a priority. One centre (*Source: Afrepren, telecom 22nd July 2010*) suggested GNESD should research the issue of technology ownership, looked at through the rubric of energy access.
55. Cooking energy was suggested as an area where multiple benefits (development, climate etc) can be achieved and where GNESD might add value if a specific research niche could be defined. Other suggestions included a study on the issue of energy pricing and subsidies (*Source: MEDREC, Paris 29th June 2010, and telecom 19th July 2010*). Large-scale renewable energy deployment suggested as a thematic area for GNESD (*Source: web-based survey response, July 2010*). Whatever themes are chosen in future – broad/narrow, specific/integrated – a guiding principle should be that the choice should be made with respect to the relevance to a pre-specified target audience; where possible this target group should be engaged before the start of the theme in order that their interest can be verified.
56. In addition to the development of new themes, consideration should be given to updating existing themes where new data, or a changed policy context, makes this worthwhile. Given the breadth of the topic, as well as the renewed interest in the topic internationally (ref recent AGECC pronouncements on *access for all* by 2030) there would appear to be considerable scope for updated thematic work in this area.
57. **Products:** GNESD produces the following generic product types:
- Thematic national / regional reports from GNESD Centers;
 - Thematic synthesis reports;
 - Thematic summary reports for policy makers;
 - GNESD newsletters;
 - Ad-hoc GNESD publications and policy reports (eg 'Reaching the Millennium Development Goals and beyond'; Energy for Sustainable Development special issue.
58. Quantitative analysis of GNESD production of these products is provided in Section F. For each thematic research exercise, three types of product are produced: country/regional reports;

synthesis reports (led by theme co-ordinators) and summaries for policy makers (led by GNESD Secretariat). Some Centres (eg UCT, South Africa, telecom 15th July 2010) stressed the need for more inter-action and debate in the generation of synthesis and summary for policy maker reports, in order to enhance the extraction of similarities, differences and lessons learned between countries and regions. Such an approach would clearly require additional resources.

59. This series of outputs has been supplemented recently by a *policy* series, with the only output to date focusing on energy and climate change (future themes in the policy series include bio-energy). The *policy series* has been introduced to enable GNESD to react more rapidly to emerging policy issues, by involving only a sub-set of GNESD Centres. While the value of this approach is recognized, the evaluator's opinion is that as the core added value of GNESD remains to be networking between countries and regions and exchanging and comparing policy experience, the bulk of GNESD activities going forward should focus on the involvement of all, or the majority of, GNESD Centres.
60. Figure 6 shows the views of Centre staff with respect to GNESD products, highlighting that the most relevant GNESD outputs are seen to be summaries for policy makers and synthesis reports. This implies, perhaps, that more effort should be placed on their production. Some Centres suggested that it may not be necessary to publish the thematic reports generated by individual Centres, raising the possibility that Centres should provide base data and analysis to the Coordinating Centre, which would compile, analyse and compare data from all Centres into synthesis reports and summaries for policy-makers. This change would involve a shift from the current *bottom-up* method of working to a *top-down* approach.

Figure 6: Responses from GNESD Centres to question “How relevant are the following generic types of GNESD products for your country/region?”



Average scores from 15 responses. Note: Highly relevant (1); Very relevant (2); Relevant (3); Not very relevant (4); Not at all relevant (5)

61. Current practice is for the production of GNESD products in the English language. A number of GNESD Centres (eg Bariloche Foundation, ENDA TM, Energy Research Centre) highlighted the difficulty of promoting GNESD knowledge without having products in local languages. The upcoming outreach support for African GNESD Centres, supported by UNDP (agreed at Paris Working Group meeting June 2010) will provide resource for translation of some GNESD products into French. While there are clear cost implications of undertaking more translation of GNESD products, more systematic translation of synthesis reports and summaries for policy makers into Chinese, French and Spanish (requested during research for this MTE in Argentina, China, Senegal) would appear to be a valuable avenue to explore; consideration should also be given to the value of translating past reports as well as future ones. It would appear most cost-effective if translation occurred within the countries in which the GNESD Centres reside.

62. Overall GNESD activities are found to be highly relevant at an international level, and most thematic analyses to date are also found to be highly relevant. **Thus the overall rating for relevance is *Highly satisfactory*.**

EFFICIENCY:

63. A variety of financial reports was reviewed to assess the financial efficiency of the network as a whole. The summary of past budgets is provided in Annex E, and is analysed further in section J below.

Cost-effectiveness of an international policy network such as GNESD is difficult to determine from an objective stance, and there are no similar networks with which to compare. The previous evaluation of GNESD (DIIS, 2008) noted that “...GNESD does not use “UN rates”. A range of GNESD experts are working for approx. 1/3 rate of the standard international rate. Measured against the national rates for energy experts in all GNESD countries the overall cost of GNESD remains low and rather cost effective...”. Rates charged by GNESD Centres were not established as part of this MTE; never-the-less, in the opinion of the evaluator there is no evidence of profligate spending on the GNESD network, and – given its relevance, noted above – it is considered to be cost-effective overall. More broadly – from a *top-down* perspective – the annual budget of GNESD is now of the order of US\$ 1 million per year, and given the level of activity of the network there it would appear that the following statement from the previous evaluation of GNESD (DIIS, 2008) holds true: “...GNESD of today is a highly relevant and efficient network, highly cost efficient...”.

64. The GNESD Secretariat, housed at Risoe DTU, is generally well perceived by GNESD Centres (see Figure 5). In a financial sense the operation is considered efficient; Risoe DTU does not charge a full commercial overhead rate on the staff allocated to the Secretariat (meeting at Risoe, 20th July 2010), thus providing an implicit subsidy to the operation. At the same time the proportion of total GNESD budget allocated to the Secretariat (staff costs and travel- including a relatively expensive UNEP post which was specified at the time of GNESD’s inception, and before location of the Secretariat at Risoe had been agreed) has increased over the years in US\$ terms; however this is mostly explained by the deteriorating exchange rate - Danish Krona to US\$ (GNESD Secretariat, pers comm). See Annex E for further budget details. Discussions during a mission to Risoe on 20th July 2010 indicated that planned changes to the structure of Secretariat staffing would reduce costs in the future.

65. Contributions to the GNESD network budget have derived from a variety of donors during its history, although the current primary donors are from two countries: Germany and Denmark. In addition resources have been provided, off-budget (direct to specific activities), by UNDP, REEEP and GVEP. UNDP has provided budgetary resource direct to GNESD Centres for outreach activities, while workshops have been co-organised with both REEEP and GVEP. The leveraging of these additional resources provides an indication of the utility of GNESD in the eyes of the organizations involved, as well as a drive towards efficiency by GNESD in the case of co-organised workshops.

66. The Centres are institutions well-established in their own right in terms of energy policy analysis. Thus they are well-placed to build on the existing bodies of knowledge existing in the research fields covered by GNESD. As noted elsewhere in this report, budgets allocated to GNESD Centres are generally considered to be sub-critical in terms of the tasks expected of them. A moderate increase in financial resource to GNESD Centres might thus be expected to result in a more than proportional increase in the quality of outputs.

67. Overall, the establishment of the GNESD network met time schedules according to the original project document. However a number of Centres (through the web-based survey, and telephone interviews), as well as the Secretariat, commented on problems with delays of a number of outputs from GNESD thematic activities. Evidence provided by the Secretariat allowed a comparison of contract end dates (planned end of theme) with final payment dates (actual end of theme). This analysis highlighted that most thematic studies suffered delays of at least 3 to 5 months, in some cases for justifiable reasons due to extensions in the scope of activities. Other themes have been subject to longer delays: UPEA phase I was originally planned to end in January 2007, but actually finished in September that year. More significantly the Energy Security theme, originally planned to end in March 2008, was subject to a contract extension to August 2008, with the final payment to Centres being made in December 2009; the final outputs from this theme have yet to be produced. While delays in this theme may be partly due to problems experienced with the broad scope of research (discussed above) such long delays clearly have the potential to cause frustration and reduce efficiency.
68. This lack of adherence to time schedules for some themes has the potential to produce problems with budget planning, reporting to donors, and – most importantly – may reduce the possibility of achieving impact of some GNESD activities due to missed opportunities for dissemination. There was general recognition of the need to incentivise all Centres, especially Co-ordinating Centres, to keep to agreed time schedules. However, although contracts are arranged such that final payments are made only on completion of deliverables, the financial incentive is not considered sufficiently strong to motivate lagging Centres. Instead it is recommended that increased use of peer-pressure within the network should be applied to ensure adherence to agreed time-lines. In cases where themes are struggling to achieve relevant analysis, this should be recognized at an early stage in order that corrective action can be taken.
69. **Overall the efficiency of GNESD activities was rated as *Satisfactory*.**

B: SUSTAINABILITY

70. In the context of this MTE sustainability is defined by UNEP as the probability of continued long-term project-derived outcomes and impacts after the project funding ends.

FINANCIAL RESOURCES:

71. This is a mid-term evaluation, and those involved in the network anticipate that funding will continue, based on the assumption that GNESD remains a funding priority for the donors concerned. However GNESD per se cannot be considered to be financially sustainable, given the need for ongoing financial resources to support research, meetings and outreach activities. It is reliant on donor funding given the lack of any revenue generation through the activities of the network. In the hypothetical situation that GNESD funding was to stop, a number of the benefits derived from the network could be expected to sustain over time, although opportunities for maximizing future impacts by leveraging the progress to date with the development of the network, would be lost.
72. Some of the South-South networking developed between GNESD Centres could be expected to continue were GNESD to cease, given the social capital that has developed within the network, and

the extra-GNESD activities that have developed between some Centres. However the majority of the knowledge generation and analysis value of GNESD would in such a case be lost. At the same time the knowledge generated by GNESD to date is inherently sustainable, given its widespread availability in printed and electronic form; the opportunity would be lost to update such knowledge however if GNESD were to stop. It is likely that the beneficial outcomes on policy would be sustained were GNESD to cease, although further outcomes would be less likely to occur. More broadly while some of the benefits of GNESD would sustain were it to cease functioning due to lack of finance, it is considered that in this situation the opportunity to maximize impacts in the upcoming period - by consolidating the network and increasing and enhancing outreach and target audience engagement activities – would be missed.

73. At the time of writing funds were in place for approximately another 12 months of operation of GNESD. In the evaluator's opinion, it is important to have continuity of funding, for a rolling period of around 12-24 months, in order to allow GNESD to plan staffing resources and to maintain the engagement of key staff within GNESD Centres. **In the context that future donor support is not certain, but that GNESD remains relevant and hence likely to remain attractive to donors, the rating for sustainability of outcomes from a financial resources perspective is Likely.**

SOCIO-POLITICAL:

74. The international socio-political context is very much in line with the long-term objectives of GNESD – enhancing the role of energy in reducing poverty and achieving the MDGs; this is evidenced inter alia by the formation of the AGECC. If there is a socio-political risk, it is that the development goals of GNESD will become subordinated to the climate mitigation agenda; however as it stands there appears to be a workable balance between these two issues.
75. Research for this MTE has demonstrated considerable interest amongst the stakeholders involved in GNESD to continue working on and developing the network. The Centres are fully engaged and supportive, although as mentioned above their funding levels may be sub-critical. The Secretariat host (Risoe DTU) is committed to continuing and improving the network.
76. At national level the goals of GNESD are generally in line with the political priorities of the countries involved, or at least are not in conflict with them, as evidenced by responses from the Centres. Although the issues researched by GNESD are not in all cases an active political priority within the countries involved, increasing the priority given to energy access for the poor at national level is one of the over-arching aims of GNESD. Hence there are generally fruitful conditions within GNESD countries for the impacts of the network to be implemented and sustained. More broadly, in the opinion of the evaluator, the countries in which GNESD operates are not highly susceptible to the types of political risk or civil disorder that might jeopardize the continuing functioning of the network or the sustenance of its impacts.
77. The key challenge from a socio-political perspective is for GNESD to engage with and influence policy audiences, as discussed elsewhere in this report. Frequently national energy policy priorities are not focused on energy for the poor, which is the primary domain of GNESD. Hence gaining the attention of those operating in a crowded and busy policy environment will remain difficult. However, given that few if any other international networks are operating in this domain, this is considered an opportunity for GNESD rather than a threat. **The rating for sustainability of outcomes from a socio-political perspective is thus Likely.**

INSTITUTIONAL FRAMEWORK AND GOVERNANCE:

78. The governance framework of GNESD consists of a Steering Committee, which meets every month via tele-conference, a process clearly appreciated by the majority of stakeholders, ensuring ongoing commitment and adherence to deadlines. Several people interviewed noted the need for more rapid production of minutes from Steering Group meetings. The co-Chairs of GNESD have responsibility for oversight of allocation and management of resources by Risoe DTU, which also reports regularly to UNEP and individually to donors. Sustainability of the internal (networking) outcomes of GNESD is dependent on both commitment of the stakeholders, as well as the continuation of financing of the network. It is clear from discussions from GNESD Centres, and the Secretariat that a high-level of commitment is present within the network. However it was noted by several Centres that continued involvement is dependent on clear indication of budgetary resources being available going forward. While some networking might be expected to be sustained in the case that GNESD stopped functioning, much of the networking value could be expected to be lost; given the fact that most of the Centres operate on *soft* financing, they need to focus on activities generating income, and in this context GNESD could be expected to operate optimally with at least a 2-year rolling budget going forward.
79. Transparency of the GNESD governance process is generally considered adequate, with most Steering Committee meetings being posted on the Intranet, although it is noted that there are gaps in the record (at the time of writing the last Steering Committee meetings on the Intranet are from July 2009); it is stressed that all future Steering Committee meetings should be rapidly circulated for comments following the meetings and posted on the Intranet a short time later. Further clarity of decision making (budgets, workplans) would be achieved through improved document management and control on the intranet (discussed further below).
80. The Co-Chairs are both high-profile individuals within energy/development policy circles and play an important role within GNESD, which appears to have been properly fulfilled to date. Both of the current Co-Chairs have been in post since the inception of the network. Consideration should there be a succession process for the Co-Chairs, especially in the case that one or both are not able to devote the time required to the network.
81. The GNESD Secretariat is generally well-regarded in its overall stewardship of the network. Asked whether Risoe's management of the Secretariat is efficient and effective, 12 out of 15 Centre staff members replied that it was 'very' or 'quite a lot'. It is understood that specific staffing difficulties in Secretariat recently have now been resolved, a process that appears to have been well managed by the Secretariat. A new individual in the Programme Officer role, with a strong and relevant background, joined the Secretariat during the Autumn of 2010.
82. In-depth analysis of national institutional and governance issues in GNESD countries, pertaining to the operation of GNESD, is outside the scope of this MTE. However it can be stated that GNESD aims and objectives are not in conflict with national institutional and governance arrangements in GNESD countries; thus – assuming that budget is forthcoming to support the work of GNESD Centre – there appears to be little risk that there will be any disruption of GNESD work at the country level. The more subtle risk – discussed elsewhere – is that GNESD Centres are not sufficiently connected

to the seats of power and decision-making in their countries and regions, and hence that the influence of GNESD activities will not be as great as it should be.

83. The overall rating for sustainability of outcomes from an institutional framework and governance perspective is considered Likely.

ENVIRONMENTAL:

84. The question of environmental sustainability is not directly applicable to GNESD given the nature of the project. However the *raison d'être* of GNESD is to work towards improved access to energy for the poor in an environmentally sustainable manner. Thus the project is inherently positive in environmental terms, focusing much of its effort on renewable energy. The environmental risks and opportunities within different GNESD countries and regions vary widely, and are thought to be well understood by experts in GNESD Centres.

85. The rating for expected environmental sustainability of outcomes is - Not applicable.

C: CATALYTIC ROLE AND REPLICATION:

86. Using the language of this UNEP Terms of Reference, the *external* objectives of GNESD are to undertake ‘...“foundational” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting...’. It does this by undertaking and promoting policy analyses, and comparing and contrasting situations between GNESD countries and regions, with the objective of policy change. The extent to which this has been successful is discussed in detail in sub-section A above (see in particular ROti analysis in Table 3 and Table 4).

87. In summary there is some evidence that policy influence has been exerted at both national/regional and international levels, as a result of GNESD activities. There is also anecdotal evidence that this has resulted in behavioral changes in certain institutions, including raising the profile of energy access within UNDP, and increasing awareness of energy poverty in urban and peri-urban areas etc. However the full potential of GNESD to achieve its role as a catalyst of policy change has not yet been realized and changes are required to the outward-facing aspects of GNESD.

88. Catalysing desired investments in the energy sector was one of the original objectives of GNESD. However little evidence was found during this MTE of systematic engagement by GNESD with the private sector. Hence no examples were found of GNESD having catalysed investment. It is suggested that the objective with relation to the private sector be re-visited to present a realistic view of expected results. At the same time GNESD has leveraged some financial resources for its own outreach activities from donors such as UNDP, REEEP and GVEP.

89. Section A also provides evidence that capacity building has been achieved to a limited extent within GNESD Centres. The catalytic role of GNESD here has been enhancing connections between Centres of Excellence within developing countries.

90. UNEP has acted as a ‘project champion’ for GNESD both from its Paris office and within Risoe DTU. In addition the high profile of the Co-Chairs and some Centre staff members has greatly enhanced the opportunities for GNESD policy messages to reach target audiences. During the primary research for this project it was suggested by one Centre that further project champions should be

found to promote GNESD messages, including possibly, ex-energy ministers from Africa and other developing country regions.

91. The rating for catalytic role and replication of GNESD is Moderately Satisfactory.

D: STAKEHOLDER PARTICIPATION / PUBLIC AWARENESS:

92. Stakeholders for GNESD are divided into two groups: internal and external. The former is made up of the GNESD Centres, the Secretariat, UNEP and donors. Most of the GNESD Centres were identified at the time of the network's inception, pre-WSSD, on the basis of their interest in, and capacity for, policy analysis related to energy for sustainable development. Some incremental additions to the network are currently being explored (for example Mexico), having been identified on an ad-hoc basis.
93. Engagement by GNESD Centres is considered strong. This is partly due to their inherent interest in the subject matter of the network, but also to the skillful means through which GNESD activities are developed along democratic lines. All GNESD Centres are represented on the Steering Committee, which meets regularly and decides on future directions for the network.
94. Stakeholders external to the network are target audiences for GNESD outputs, including policy makers at national, regional and international levels and investors. As noted in sub-section A, engagement of these stakeholders has been undertaken, principally through regional workshops, but is an area requiring more sustained effort and new ways of working within GNESD. Suggestions – noted in sub-section A - to improve engagement with policy audiences include refined approaches to the scoping process for new themes, including through the active involvement of the target audience at the scoping stage. In addition increased, and more systematic, levels of outreach activities are required to engage with the policy process. This may include more national and regional workshops, but is also likely to require a more pro-active stance by GNESD Centres, exploiting specific opportunities, as they arise, to enhance dialogue with policy-makers.
95. Little evidence was provided to this MTE of pro-active engagement strategies with the private sector; this is probably at least partly due to the nature of the Centres themselves, a number of which are based in academic units and not necessarily deeply engaged with the private sector. The approach for engaging this segment of the GNESD target audience should be reviewed, and might include a revised framing of the objective vis-à-vis the private sector, as well as different modalities; the possibility of furthering connections with business bodies at the international level (eg WBCSD) might be explored.
96. There is evidence of outreach to international audiences, for example at CSD 14 and 15, UNFCCC COP 12, 14 and 15. Plans are in train for outreach at COP 16 in Mexico, led by GNESD Centres in Latin America, and at the MDG Summit in September 2010. However there is evidence that GNESD could do more to raise awareness of its activities to the international energy donor community; an ad-hoc series of discussions with EU stakeholders involved in energy for development (principally amongst EU donors) highlighted widespread awareness of the existence of GNESD but little detailed knowledge of its activities and outputs. The visibility of GNESD outputs amongst this group of stakeholders should be increased. The approach taken to date - to convene GNESD Annual Assembly meetings at the time of the annual UNFCCC COP/MOP meeting - is an appropriate and efficient means of capturing an international policy audience in principal; however there are

indications that in practice the Annual Assembly does not reach many of those in the international energy/development community. This may be due to the packed schedule of meetings at UNFCCC COP/MOPs. Some further thought should be given to the most effective and efficient means of raising awareness GNESD activities to the energy/development donor community and to avoid a sense that Annual Assembly meetings may be too 'clubby'.

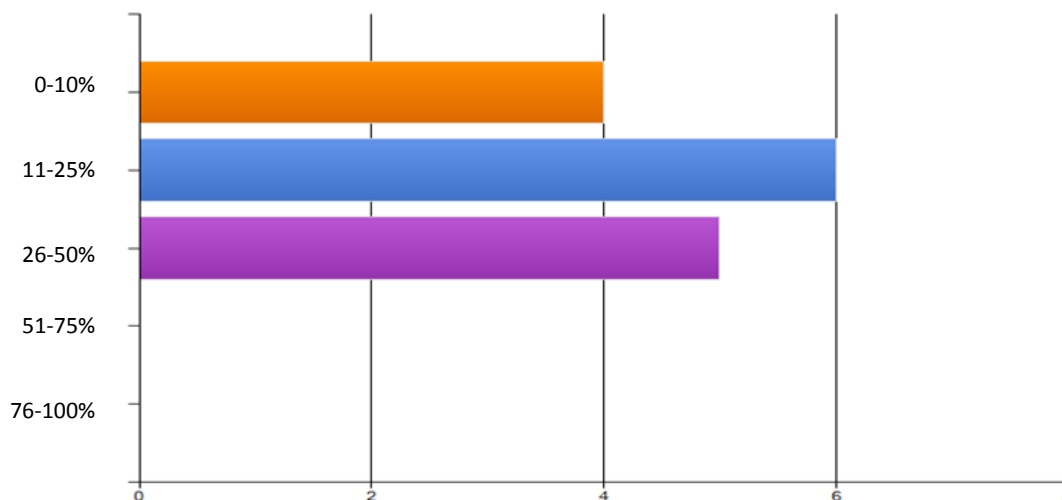
97. One set of stakeholders included in the original conception of GNESD are the other *Type II* partnerships established at WSSD, as well as relevant programmes such as ESMAP. The DIIS evaluation undertook an analysis of the complementarities between GNESD and these activities, finding that there was little risk of duplication of effort, and that GNESD broadly had defined its niche in the policy analysis field, by focusing on energy for poverty eradication and achievement of the MDGs. There is also evidence of effective collaboration with some of these partnerships, for example through co-funding of GNESD workshops by REEEP and GVEP, with which GNESD has developed memoranda of understanding.
98. Several new initiatives of relevance have been initiated since the start of GNESD. One - IRENA - is an inter-governmental organisation, while the other REN21 is a network. There is evidence of GNESD engagement with these (eg through the secretariat and some Centres) although it would be helpful also to share formal MoUs with these networks to ensure complementarities are fully exploited.
99. Efforts have been made to produce good general promotional material for GNESD and to maintain a web-site as the outward facing element of the network. Currently the web site works relatively well, appearing to act as a general repository of GNESD information from the outside; it is thus essential that all parts of the site are maintained and up-to-date to create a strong first impression. This is currently not the case; for example accessing the web site on 25/7/10 a link to the Africa workshop 2009 yielded a flyer to promote attendance at the event but not details of event outputs or conclusions. More broadly, a greater sense of corporate identity and purpose could be presented for first time visitors to the web site. The development of a new strategy, following this MTE, might be an opportunity to freshen and clarify the GNESD purpose and brand, placing its relevance in the current policy and institutional context.
100. In summary, engagement of stakeholders internal to GNESD is strong, but there is a need to improve significantly the level of engagement of target audiences for GNESD outputs. While GNESD needs to improve in this area, the role of UNEP in marketing and awareness-raising should also be considered. The **rating for stakeholder participation / public awareness is Moderately Unsatisfactory.**

E: COUNTRY OWNERSHIP / DRIVEN-NESS:

101. The level of ownership of GNESD by its Centres is high, as demonstrated through the web-based survey and follow-up telephone interviews. However, as shown in Figure 7, the majority of Centre staff spend less than 25% of their time on GNESD related activities, highlighting that GNESD is a marginal activity for many of those involved.
102. The de-centralised and democratic decision-making process for GNESD, through which priority areas for future research are decided, ensures – on average – that GNESD research is of relevance to the interests of the researchers within GNESD countries and regions. Never-the-less, it is clear

that such decision-making processes involve compromise by some and, as demonstrated by the results of the web-based survey, not all themes are seen as relevant by all GNESD researchers.

Figure 7: Responses by GNESD Centres to the question: “how much time did you spend on GNESD in the past 12 months” (15 responses)



103. More broadly it is important to note that relevance of GNESD activities to GNESD Centre staff does not necessarily equate to relevance to the national and regional development and environmental agendas in GNESD countries and regions. In many cases interests of researchers will coincide with national/regional policy agendas, but the process for linking GNESD research with policy makers is not sufficiently robust to ensure that this is the case. A balance needs to be struck between satisfying the expressed research needs of the policy community (what they know they don’t understand), and forging into new unexplored areas, and producing results of policy relevance in fields not even conceived of previously by the policy audience. In either case more systematic engagement with the policy community will be essential in the future to ensure that activities are driven more by *demand-pull* rather than purely by *research-push*.

104. As noted in the sub-section above, no evidence was produced for this MTE of engagement with the investment community, and hence little can be said about GNESD influence on country commitment to investment in production of energy for sustainable development.

105. The geographical coverage of currently active GNESD Centres includes Africa (Centres in South Africa, Kenya, Senegal and Tunisia covering south, east, west and north Africa respectively), Latin America (Brazil and Argentina), India, Thailand (jointly covering south and south-east Asia). Centres in Fiji and Lebanon have become inactive in recent years, while discussions are ongoing with other centres in Mexico and the West Indies concerning membership of the network. One suggestion, by a GNESD Centre member, for geographical expansion was to include former Soviet republics, although the attractiveness of such a prospect to potential donors would need to be explored. In expanding geographical reach, GNESD needs to strike a balance between comprehensive geographical coverage and the need to keep the number of Centres at a manageable level to maintain internal effectiveness and good working dynamics within the network. However it is considered that the network could easily accommodate two or three new members, which would

broaden the research base amongst which policy experiences could be compared, if sufficient funding were made available.

106. In a similar way to sub-section F above, while ownership and driven-ness of GNESD by internal stakeholders is strong, ownership and driven-ness by target audiences needs to be enhanced. **Hence ownership and driven-ness is rated as Moderately Unsatisfactory.**

F: ACHIEVEMENT OF OUTPUTS AND ACTIVITIES:

107. Measurement of outputs and activities can be assessed along two axes: production of knowledge products and outreach activities. In terms of quantity, GNESD has been prolific in its production of publications, issuing 50 publications in all to date (see Table 5). In addition GNESD has produced a variety of promotional brochures, as well as issuing a periodic newsletter.

108. GNESD publications are divided into themes, which to date have included:

- Energy access;
- Renewable Technologies;
- Energy Security;
- Energy Access for the Urban- Peri Urban poor;
- Biofuels and Poverty Alleviation;
- Energy and Climate change.

Table 5: Summary of GNESD technical publications issued at the time of this MTE (August 2010)

	Country technical reports	Synthesis reports	Summaries for policy makers	Other
GNESD Policy paper "Energy, Climate Change and Poverty Alleviation"				1
Regional workshop reports				7
UPEA II theme	8	1	1	
Renewable Energy Technologies theme	9	1	2	1
Energy Access theme	8	1	2	1
"Reaching the Millennium Development Goals and beyond: Access to modern forms of energy as a prerequisite" ad-hoc publication				1
Articles published in Energy for Sustainable Development journal on GNESD's "Energy Access" outcomes, 2004				6
TOTAL	25	3	5	17

Source: GNESD web-site accessed 29/7/10

109. In addition to quantitative analysis of GNESD publications, issues of quantity and relevance of GNESD products are assessed briefly below, although note that the scope and time available for this MTE did not allow for a systematic and detailed evaluation of the quality of GNESD products.

110. There is evidence from the web-based survey of links between the perceived relevance and quality of outputs of GNESD thematic analyses and the extent to which: a) the themes are sufficiently focused to allow for policy relevant outputs, b) there is either a commonality of issues between countries/regions involved in GNESD or significant differences allowing for cross-learning

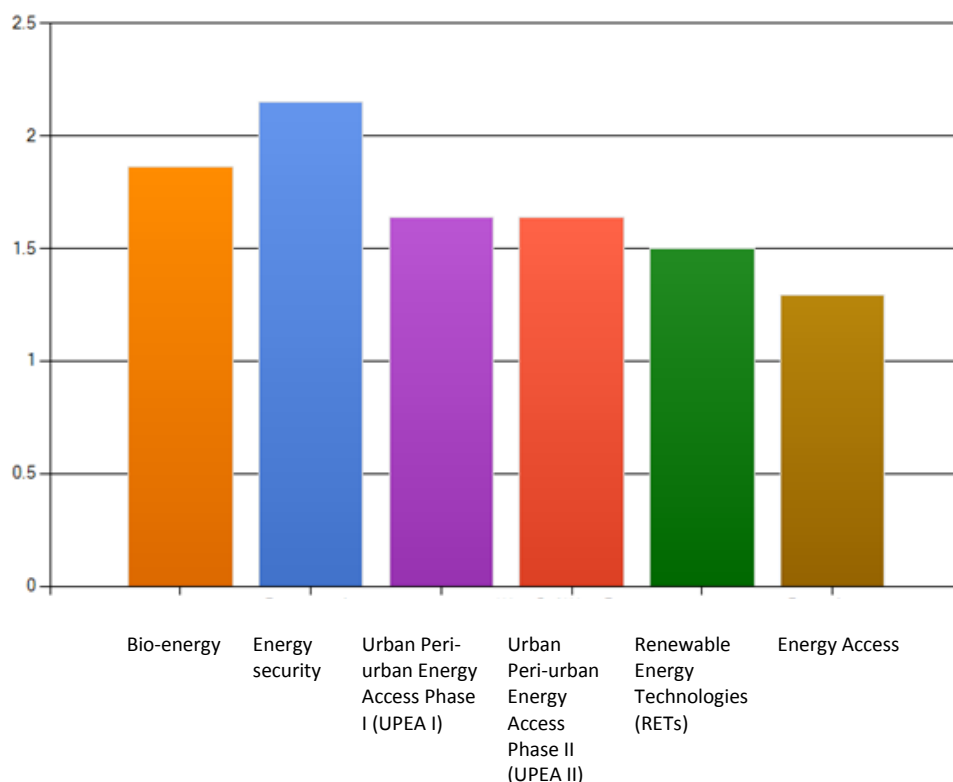
between countries/regions. While there were differences in response between Centres (see Annex C), the overall relevance rankings of the themes (starting from the most relevant) reported by the Centres were as follows: 1) Energy access, 2) Renewable energy, 3) Bio-energy, 4) Urban and peri-urban energy access, 5) Energy security.

111. The perceived quality of outputs, reported by GNESD Centres, from the different themes are shown in Figure 8, showing that the ranking of quality of outputs (starting with the highest quality) was: 1) Energy access, 2) Renewable energy, 3) Urban and peri-urban, 4) Bio-energy and 5) Energy security. For many the overall quality of GNESD products was seen as good, while some reported a need for improvement in some areas. Telephone interviews confirmed the general view amongst GNESD Centres that quality of outputs was largely dependent on the definition of a specific and focused scope of analysis, and in particular the ability to carve out a *research niche* for GNESD. In addition lack of appropriate data was considered a barrier to the production of quality outputs by some.
112. Concerning the scope of GNESD research themes, it is clear that in areas where focused *research niches* were defined, the resulting analysis was considered of high quality. For example a number of Centres cited the fact that the Energy Access theme was valuable as it had treated a specific set of issues considered to be relevant to the policy process (including the impact of power sector reform on electricity access). The urban and peri-urban theme (UPEA) had helped to define a new area of focus for energy policy research more generally. While both struggled with data availability problems, it was considered that both *Access* and *UPEA* had defined new niche areas for research, capable of challenging received wisdom. On the other hand the energy security theme, while considered relevant, was expected to result in lower quality outputs largely due to the loose definition of the research scope⁵. This finding has important implications for how GNESD defines new areas for research in the future, discussed in the Findings and Recommendations sections at the end of this report.
113. Given the very different ways in which energy poverty is manifested in – for example – Brazil and Senegal, an ongoing challenge for GNESD is to identify themes for which there are shared common issues between GNESD countries and regions.

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⁵ This is partly explained by the changing scope of this theme, which originally was defined to research both Energy Security and Energy Efficiency. However following initial scoping it became clear that the combination did not work and the focus therefore changed to Energy Security alone.

Figure 8: Quality of outputs for different GNESD themes, as reported by GNESD Centres through the web-based survey. Average score for 15 responses to the question: “How would you rate the quality (of contents) of outputs from the following GNESD thematic activities?”



114. The process for ensuring quality of outputs from individual GNESD Centres involves both internal peer-review (principally by the theme co-ordinator) and external expert review. Each Centre is invited to nominate an expert reviewer for their thematic report, with the review process being managed by the theme co-ordinating Centre. While there is evidence that this process has been effective at times, with some reviewers seeking major corrections, it is not considered to be sufficiently transparent, as the reviewers’ comments have not been systematically shared with the other Centres⁶. A simple way to increase transparency and effectiveness of the review process would be to place all reviewers’ comments on individual Centre reports on the intranet, thus allowing for a greater level of peer-review pressure to operate within the network.

115. The scope of this MTE did not allow for a full review of the quality of GNESD outputs; rather the process for ensuring quality of products was analysed. However in general the quality of GNESD is regarded as good or adequate for their purposes. It was noted by some Centres that their resources have become stretched at times, for example when more than one GNESD theme is calling on their time simultaneously; this may partly account for the variable level of quality of some outputs.

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⁶ It should be noted that in performing this MTE, the evaluator only analysed reviewer comments on one of the energy access and one of the UPEA thematic studies (time available did not allow analysis of further evaluator comments).

116. Only anecdotal evidence was obtained by the evaluator concerning the views of stakeholders external to GNESD. While some considered the reports valuable, reports from several individuals within EU donors highlighted criticisms concerning the conclusions of the Access theme⁷. However such criticism is to be expected in the generation of new knowledge given the variety of policy standpoints that exists, and does not detract from the value of GNESD analyses, although it does highlight the potential value of increasing credibility of GNESD outputs through an enhanced peer-review process; it also creates the opportunity for GNESD to publicly defend its findings. While some GNESD outputs have been subject to full, anonymous peer-review, notably the compilation of GNESD reports in the special issue of the journal *Energy for Sustainable Development* (Issue4, 2004) on "Energy Access", GNESD synthesis reports and summaries for policy makers are not subject to external review processes. Consideration should be given to undertaking external review of these outputs in the future to enhance the credibility of GNESD publications.
117. In addition to the generation of knowledge products GNESD has undertaken various outreach activities in the form of general marketing processes (including distribution of a newsletter, GNESD web site and mailing of GNESD products), and national and regional workshops and conferences. Table 6 below provides a summary of regional workshops organized by GNESD to date. Centre staff responding to the web-based survey and telephone interviews were generally positive about the effectiveness of these workshops, some of which have been undertaken with financial support from UNDP, or in conjunction with events organized by REEEP or GVEP. However outreach is clearly an area where more, and enhanced, activity is required (discussed below).
118. GNESD publications are routinely printed in runs of around 1,000 with the majority distributed to the GNESD Centres, although numbers sent on to specific individuals and institutions could not be determined as part of this MTE. GNESD web site statistics for the whole period covered by this MTE (2003-2010) were not possible to obtain since following a merger of Risoe with the Technical University of Denmark, a number of internet monitoring services closed down in November 2008. GNESD is in the process of replacing the web monitoring tool using Google analytics, which will be active from September 2010. A summary of GNESD website statistics (*source: GNESD Secretariat*) from 2008 shows the following:
- Visits 2,600 – 3,100 per month (number of times a visitor, visited the site monthly);
 - Hits - on entire site 8,200 – 9,900 per month (hits defined as any action on the site - an indicator of web server traffic);
 - 8,000 – 9,500 documents viewed monthly;
 - Average pages view per unique visitor - 4 main pages;
 - Visitors spend average of 4 minutes per visit;
 - Half of the visitors to the GNESD site find it through a search engine, implying that the rest of the users are referred by web references in publications, links on other websites, and from presentations.

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⁷ Note that GNESD conclusions of the Access theme were broadly that there was often deleterious impact on access for the poor associated with power sector reform, and that this could be improved – inter-alia – by improved sequencing of reforms. Some in the development community argued that this conclusion was misconceived since the over-arching objective of most power sector reform processes was to reduce burdens placed by the power sector on national budgets.

Table 6: GNESD Regional Workshops 2005, 2007, 2009 (source: GNESD Secretariat)

Year	Title	City/Country /Institution	Partners
2005			
13 -14 April	Latin American Regional Workshop on Electricity & Development	Rio de Janeiro, Brazil, UFRJ	IEA, UNDP, UNEP
28 – 29 April	Workshop on Electricity and Development	Bangkok, Thailand, AIT	IEA, UNDP, UNEP
13 – 14 July	African Regional Workshop on Electricity and Development	Nairobi, Kenya, AFREPREN + UNEP ED	IEA, UNDP, UNEP
2007			
7-8 March	Renewables in Productive and Livelihood generating Sectors	New Delhi, India, TERI	UNDP, REEEP, UNEP
21 -March	Renewables and Poverty Alleviation - Best Practices for Productive Use and Job Creation	Dakar, Senegal, ENDA	UNDP, REEEP, UNEP
10-12 April,	Renewable Energies and Poverty	Buenos Aires, Argentina	UNDP, REEEP, UNEP
2009			
25- 27 May	Enhancing Energy Access in Rural and Peri-urban Settlements - Knowledge-Based Policy Engagement	Cape Town, South Africa, ERC	CEMA, UNEP
4 -5 August	Urban- peri urban energy access	Jakarta, Indonesia, AIT	REEEP, UNEP

119.

20 – 22 September	Acceso a la energía y reducción de la pobreza para alcanzar los Objetivos de Desarrollo del Milenio en América Latina y el Caribe	Santiago, Chile, FB	ECLAC, REEEP, Club de Madrid, UNEP
3 -5 November	Access to modern energy in urban and peri-urban areas: policies, practices and knowledge sharing	Dakar, Senegal, ENDA	CEMA, UNEP

120. Quantitatively achievement of GNESD outputs and activities appears creditable. However, as noted in sub-section A (Effectiveness) there have been problems with some themes in terms of achieving delivery to planned time-schedules. Quality of GNESD products has not been systematically assessed as part of this MTE; however, from the evidence gathered, the subjective judgment of the evaluator is that GNESD outputs are of variable quality, generally adequate and sometimes good. **Achievement of outputs and activities is thus rated as *Satisfactory*.**

G: PREPARATION AND READINESS:

121. Documentary evidence of due process in the establishment of the Network's programme for the initial period (2003-2005) was identified in the form of a Project Summary Document (March 2003-August 2005), (identified as "GNESD ProDoc" in the "Project Document and Structure" sub-section of the "Network" section of the GNESD intranet). This lists a variety of objectives and activities, broadly similar to those presented in the Introduction to this MTE. No logical framework presentation was provided as part of this Project Summary Document, perhaps leading to some ambiguity in the distinction between activities, outcomes and impacts.

122. The Project Summary Document 2003-2005 covers the initial establishment period of the Network. The format of this document was defined by standard UNEP practice at the time of GNESD's inception (it carries no date of issue, version control or author identification, although it is understood that new procedures within UNEP will address these issues for GNESD's upcoming Project Document). It does however usefully identify expected short and long term results (section 3.2); although the timescales associated with *short-term* and *long-term* are not defined in this document, since at the time of original drafting of this document it covered the period March 2003 to August 2005, it can be assumed that this is the period covering the short-term. There is no evidence in the minutes of steering committees, or other stand-alone documents, that the Network's achievement of the intended short-term results were formally evaluated by the end of the initial period. Results anticipated in the Project Summary Document are presented in the box below. Some of the expected short-term results were realistic within the timeframe, such as the

strengthening of network partner capacities, and development of a communications infrastructure to allow sharing of experiences, and can be considered to have been, at least partly, achieved. Others were less feasible within the timeframe, such as ‘...changes in government policies and programmes, and private sector, investments, so that these favor energy for sustainable development approaches...’ and cannot be considered to have been achieved.

Results (extract from GNESD Project Summary Document 2003-2005)

The longer term results of the GNESD project are:

- Enhanced national institutional capacities to develop policy and undertake planning and research efforts that integrate solutions to energy, environment and development problems.
- Reduced pollution from energy activities (while allowing developing countries to meet growing needs for energy services)

Short term results are:

- A general strengthening of Network partners’ ability to acquire, assimilate, and apply existing knowledge and experiences.
- Improved understanding of the links between sustainable energy and other development and environment priorities, and technology and policy options, leading to better articulation of practical policies that can be adopted so as to promote energy for sustainable energy, and
- Changes in government policies and programmes, and private sector, investments, so that these favor energy for sustainable development approaches.
- A communication infrastructure that provides a means for partners to share experiences and draw on each other’s strengths, expertise, and skills, and
- Strengthened South-South and North-South exchange of knowledge and collaboration on energy issues of common interest.

123. Section 6.1 of the Project Summary document (Project progress reports) states that “Within thirty (30) days of the end of each half year, as at 30 June and 31 December, RNL shall submit to UNEP, half-yearly progress reports using the format given in Annex 4”. The evaluator was informed that half year progress reports have been forwarded to the Paris office, and that these remain a formal requirement to release funds (*Source: GNESD Secretariat*). Annual progress reports were made available to the evaluator covering the years 2005, 2006, 2007, 2008, as well as a report summarizing outputs in the period 2002-2007 (GNESD PRC Report, undated). Other reporting commitments (evaluation in early 2005, and a Terminal report) contained in the Project Summary document have been adhered to, although the documents are not stored on the GNESD intranet and were provided separately. The document “Progress report 2005”, whilst not identifying an author or approval, is valuable and comprehensive.

124. On the specific point of Task 3 (Revise operational plan) in section 4.2 (Activities), the Project Summary Document commits the Network to: “With agreement from the Interim Steering Committee, UNEP and the interim Secretariat will make final changes to the Network operating plan and prepare for initial operation of the Network...”. It is reported in the minutes of the first Network Assembly (Nairobi, November 2003) that a two year strategic plan was tabled and approved, and that work programmes from 1/3/02 to 1/12 2003, and from 1/12 2003 to 31/12 2004 were

approved by delegates. However these documents are not stored on the GNESD intranet (or are not easily identifiable), and have not been provided separately.

125. For the period post- 2005, no document equivalent to the Project Summary Document 03- 05 was identified, although it is understood that this document remains in force until the new one replaces it. The Secretariat has produced useful strategy documents for the periods 2006 – 2010 (Strategic Framework for activities) and 2009-2012 (Results and Achievement & Strategic Framework for activities 2009 – 2012). These are supplemented by more detailed annual workplans (seen by the evaluator, in various formats, for periods 2006, 2008-09, and 2010-2011). Discussion of these workplans during GNESD Working Group meetings and Steering Committees indicates that sufficient account was taken of the capacity of GNESD Centres to undertake the tasks included in them.
126. In addition the Proposal Identification Form (document identification “PIF 2005-07”), carrying the description “Global Network on Energy for sustainable Development. Work programme 2005 – 2007” presumably provides the official mandate for continuation of GNESD beyond the initial period, but is a very short summary and contains no detail that would enable a reviewer to measure progress towards objectives. The document is not recorded on the Intranet, and appears to be in draft rather than final form, since it does not record any approval. The minutes of the 3rd Network Assembly, Beijing, November 2005, state: “J. Christensen gave a presentation of the status of the implementation of theme activities according to the workplan 2005- 2007 (See attached presentation)”. However no such presentation exists, or is readily identifiable, on the GNESD intranet. Similar presentations during Network Assemblies in 2007 and 2009 were provided to the evaluator, both providing work-plans and budgets going forward; draft minutes of the 2007 Assembly are available on the intranet but do not record any discussion on implementation reporting, nor on planning or milestones for the forthcoming period; there is no evidence of minutes for the 2009 Assembly.
127. While significant efforts have clearly been made to undertake forward planning and reporting in a transparent manner, the range of formats of documents, and lack of specific lists of anticipated deliverables in places, makes it difficult to track progress against planned objectives, in particular in later years. Although it appears that formal UNEP process has been followed, the lines of accountability and approval are difficult or impossible for an outsider to interpret. It would support clarity going forward, as well as reducing the workload on the Secretariat, if standardized formats for strategies, workplans and progress reports were adhered to. Workplans should be sufficiently detailed to allow for clear measurement of progress in the subsequent annual report.
128. It would be helpful if in the future, documents that are required for recording decisions and progress all carry an issue date, name and organisation and contact details of author and approver/reviewer, and display version control (issue number and date, and summary of changes from the previous version). Document naming conventions should be agreed and adhered to, and the convention should be intuitive. The status of each document should be clearly stated (working document for comment; draft; final; approved etc). Crucially, a document register, or database, should be created which provides a list of documents, along with the one paragraph summaries, linked to the functional area of the programme. This will help to identify rapidly where documentary evidence is lacking.

129. At the time of writing this MTE, evidence was provided by the Secretariat, of the drafting of a new UNEP Project Document for the upcoming period (2011-2013) which should provide greater strategic clarity going forward.
130. **The rating for *preparation and readiness* is *Moderately Satisfactory*.**

H: IMPLEMENTATION APPROACH AND ADAPTIVE MANAGEMENT:

131. Formally GNESD is managed by its Steering Committee, which meets monthly by tele-conference. In practice the Secretariat has considerable influence over the direction taken by GNESD, as evidenced by the strategy papers presented by the Head of the Secretariat for the periods 2006-2010 and 2009-2012 (it is understood that a further strategy will be developed taking into account the findings of this MTE). This management approach is considered sufficiently robust and transparent, as well as enabling the flexibility required to take advantage of opportunities as they arise. As noted above a range of documents have been developed to establish priorities going forward, principally in the form of annual work-plans. There is also evidence that the Secretariat expends considerable effort in reporting – in different formats – to various donors and within UNEP. As far as is practical, a unified reporting format should be adopted for all purposes, both to enhance clarity and to reduce the reporting burden on the Secretariat. Reporting in future should ensure a clear analysis of progress of activities and outputs against previously agreed work-plans, as well as working towards the ongoing monitoring of outcomes and impacts.
132. No evidence of formal adaptive management processes within the Secretariat was found during this MTE. However the Secretariat is based within Risoe DTU, a large institution with solid management project procedures and high levels of capacity for sound financial management. The Director of the Secretariat has written several strategy reviews for GNESD as noted above. These have allowed periodic reviews of the direction which GNESD should take and have been subject to discussion within the GNESD network. At the time of inception of GNESD the formal techniques of adaptive management were not common practice within UNEP-facilitated activities (Task Manager, pers comm., 20th July 2010) and hence it cannot be considered a failing that they have not been fully practiced to date. The anticipated new Project Document should be drafted to incorporate fully all of the adaptive management processes required by UNEP. It is understood that *results based management (RMB)* is being incorporated generally within UNEP and UNEP Risoe, and the opportunity should be taken to ensure that this is also the case for GNESD in the future.
133. The modes of operation for GNESD thematic activities result in responsibility for management and co-ordination of individual themes by the *Co-ordinating Centre*, with the Secretariat taking a facilitating role. The Co-ordinating Centre role is thus a crucial one which has been adapted over time to account for the different themes and capacities of various centres. In this sense the lines of accountability for thematic activities and deliverables by GNESD Centres run through the Co-ordinating Centre to the Steering Committee. In practice many of the same individuals undertaking research also sit on this Steering Committee, leading to the potential for lack of full scrutiny. Such a situation is to be avoided, and adaptive management processes could be useful in this regard; at the same care needs to be taken to ensure that complex and time-consuming management processes do not reduce the valuable influence of peer pressure within the network, for example in placing pressure on those Centres lagging on the production of the deliverables for which they are responsible.

134. In terms of adapting to changing institutional contexts, the DIIS evaluation of GNESD (Sept 2008) recommended that a SWOT analysis should be undertaken to clarify the role of GNESD with respect to recently developed other partnerships and activities, as well as changing GNESD processes to focus more on *impacts*. The upcoming strategy should incorporate the former suggestion. There is evidence that an emphasis on impacts is being introduced into GNESD (ref discussion at Paris Working Group meeting, June 2010).
135. Planned changes within the structure of the GNESD Secretariat provide evidence of a motivation towards continuous improvement. For the coming period the Secretariat staff will be more integrated within the UNEP Risoe Centre, with the Project Officer role being divided between a core GNESD responsible staff and shared with a number of Risoe staff. This should allow more flexibility in the skills provided to GNESD through the Secretariat. However it will be important, for the sake of continuity, to maintain an individual as the main Secretariat contact point for day-to-day communications, and it is understood that this will be achieved through a new hire for the Secretariat, who started in September 2010.
136. **The rating for *implementation approach and adaptive management* is Satisfactory.**

I: ASSESSMENT OF MONITORING AND EVALUATION SYSTEMS:

137. **1. M&E Design** - M&E systems have not been developed formally for GNESD, although it could be argued that as their use was not a UNEP requirement, or even common practice, at the definition and inception phase of GNESD, this is not a failure of the network. There is evidence that the Secretariat is adapting and enhancing its M&E practices, and it is understood that a new agreement between Risoe DTU and UNEP (being drafted at the time of writing this MTE) will include integration of a full M&E system for future operations. Although this cannot be verified as part of this MTE, it is assumed that UNEP will ensure that its M&E requirements are fully incorporated within any future agreement. Since the M&E standards existing today were not in place at the time of planning GNESD, it is not reasonable to evaluate the project against these criteria. However, as discussed above, reporting was generally adequate and transparent. *The rating for 'M&E design' is Moderately Unsatisfactory.*
138. **2. M&E Plan Implementation (use for adaptive management)** – As for the previous criteria, there was no formal requirement for adaptive management processes to be in place at the time of GNESD inception, and hence it is not appropriate to judge GNESD by current standards. However it is relevant to assess whether and how GNESD adapted to changing circumstances throughout the period of this MTE.
139. GNESD activities and outputs have been monitored through the annual progress reviews produced by the Secretariat, and adaptations to direction have been applied within these work programmes, guided at times by strategy documents drafted by the Secretariat (as described above). In practice – in the opinion of the evaluator - the GNESD Secretariat has gone to considerable effort to adapt pragmatically to the changing policy environment, as well as to exploit specific opportunities as they arise. While improvements could be made to the formal process, and are indeed anticipated in the upcoming Project Document (*Source: GNESD Secretariat pers comm*), care should be taken in the application of new processes to ensure that pragmatism and flexibility remain. During this MTE a number of annual Project progress reports were seen. The apparent lack

of consistent, quality assured annual reporting, to a common format, did not permit the progress and effectiveness of the Network to be tracked over time. However a comprehensive independent evaluation was undertaken in September 2008 by DIIS.

140. While there is an “M&E” subsection of the “Network” section on the GNESD Intranet, it only contains a bioenergy primer wholly unconnected to M&E, and two relevant guidance documents on M&E from the World Bank and the European Commission, but no monitoring and evaluation evidence.
141. The lack of formal adaptive management processes and design of an M&E cannot be considered a failure of GNESD since such processes were not required at the time of planning for GNESD. In the main however, GNESD has adapted to changing circumstances, guided by the Secretariat, although process improvements are necessary. *The rating for ‘M&E Plan implementation’ is thus judged moderately unsatisfactory.*
142. **3. Budgeting and Funding for M&E activities** – Annex E, part II, shows that the only budget allocated specifically for M&E purposes was \$20,000 in 2010 (presumably for the current MTE) and \$25,000 in 2011. Thus while appropriate allocations have been made going forward, past budgets have not allowed for any M&E activities. *Thus the rating for ‘budgeting and funding for M&E activities’ is Unsatisfactory.*
143. **The overall rating for ‘monitoring and evaluation’ systems is thus Unsatisfactory**, although it is to be noted that GNESD was probably undertaking common practice at the time of its inception in this regard, and has recently demonstrated a willingness to adopt formal M&E processes.

J: FINANCIAL PLANNING:

144. While this MTE was not provided with an audit, and has not performed one, generally the level of financial reporting appears adequate and transparent. Quarterly expenditure reports are produced by the Secretariat, comparing budget with expenditure. Annex E Part II (provided by the GNESD Secretariat) presents the progression of spend for the years 2003-2009 and budgets for 2010 and 2011. These figures were compared with the annual outturns for GNESD provided by UNEP Nairobi for the years 2003 to 2009⁸. The general trend has been of a rising expenditure from between around \$440,000 and \$500,000 in the early years of GNESD to around \$750,000 planned for 2010 and 2011. The years 2008 and 2009 appear to be exceptions, with total expenditures of around \$900,000; note that some of 2008 costs were accounted for in 2009, due to late recording of accounts for 2008 by UNEP, and create an accounting distortion of the 2009 budget not reflecting reality (GNESD Secretariat, pers comm. 20/7/10).
145. Appendix E, Part II highlights allocation of budget to various items (note that sub-contracts refers to budget for the GNESD Centres for thematic analyses). Aggregating all years from 2003 to 2010, Table 7 shows the amounts and proportions of total budget allocated to the main budget headings. Given the dispersed nature of GNESD the allocations for travel and meetings appear reasonable. The budget for Secretariat staff and GNESD Centres also appears acceptable given the

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⁸ One anomaly was found when comparing Risoe figures with those provided by UNEP Nairobi for 2009 (total expenditure \$975,329 UNEP Nairobi compared with \$1,093,616 Risoe) probably due to final budget reconciliation.

costs of staffing (as already noted Risoe DTU does not charge a full commercial overhead on costs for staff allocated to GNESD). The budget for the Head of the Secretariat is provided separately since this is a UNEP post and the cost is determined by UNEP.

Table 7: Summary of GNESD budget 2003-2010 broken down into main headings (source: Annex E)

		2003-2010 budget	% of total
Secretariat staff (Risoe staff)		\$1,189,805	19.7
Head of Secretariat (UNEP post)		\$1,336,754	22.1
Risoe travel		\$169,569	2.8
Sub-contracts (payments to GNESD Centres)		\$2,466,591	40.8
Web site		\$50,393	0.8
Working group mtgs		\$358,020	5.9
Annual partner meetings		\$325,450	5.4
Reporting/publications		\$130,665	2.2
M&E		\$20,000	0.3
		\$6,047,248	

146. Assessing the progression of the budget, and the associated proportions allocated to different items, is difficult since (as noted above) late accounting by UNEP resulted in 2008 and 2009 budgets being merged to some extent. However - as discussed above (sub-section A) - consideration should be given to containing the proportion of budget allocated to the Secretariat, and increasing the proportion given to the Centres if more budget is available. However this does not imply that the costs of the Secretariat are unreasonable at their present levels (there are also indications from the Secretariat that the upcoming re-structuring in August 2010, will reduce the overall cost of the Secretariat).

147. In the evaluator's opinion a reduction in the proportion of budget allocated to the Secretariat could be achieved through a modest increase in the budget overall, with the increase being allocated to the GNESD Centres; at present the budget for the Centres is considered sub-critical, especially given the recommendations in this MTE to increase outreach activities. An increase in the budget for GNESD Centres could be expected to achieve proportionately higher levels of impact. As currently managed, GNESD Centres participating in a research theme are allocated approximately \$25,000, an amount which does not appear to have increased since the inception of GNESD. While the level of increase would need to be fully costed, and justified by planned increases in level of impact in the future, it is envisaged that an increase of the order of 30-40% per Centre per theme might be justified, representing an overall increase in the GNESD budget of around 10%. Alongside any increase in budget would be the need for ongoing accountability of Centres for the production of high quality inputs presented within agreed time-scales.

148. Annual financial out-turns provided by UNEP Nairobi highlight variances between allotment and expenditure for the various budget items. The overall trend has been for expenditure to lag allotment in the early years (under-spend expenditure versus allotment: \$259k in 2003; \$343k in 2004; \$151k in 2005; \$214k in 2006 214k; and \$489k in 2007) partly balanced by an over-spend in later years (\$321k in 2008 and \$111k in 2009). The key variances on individual budget items appear to involve significant under-spend on sub-contracts (money dispersed to GNESD Centres) in the early years: \$195k in 2003; \$271k in 2004; \$84k in 2005; \$89k in 2006; and \$183k in 2007. These

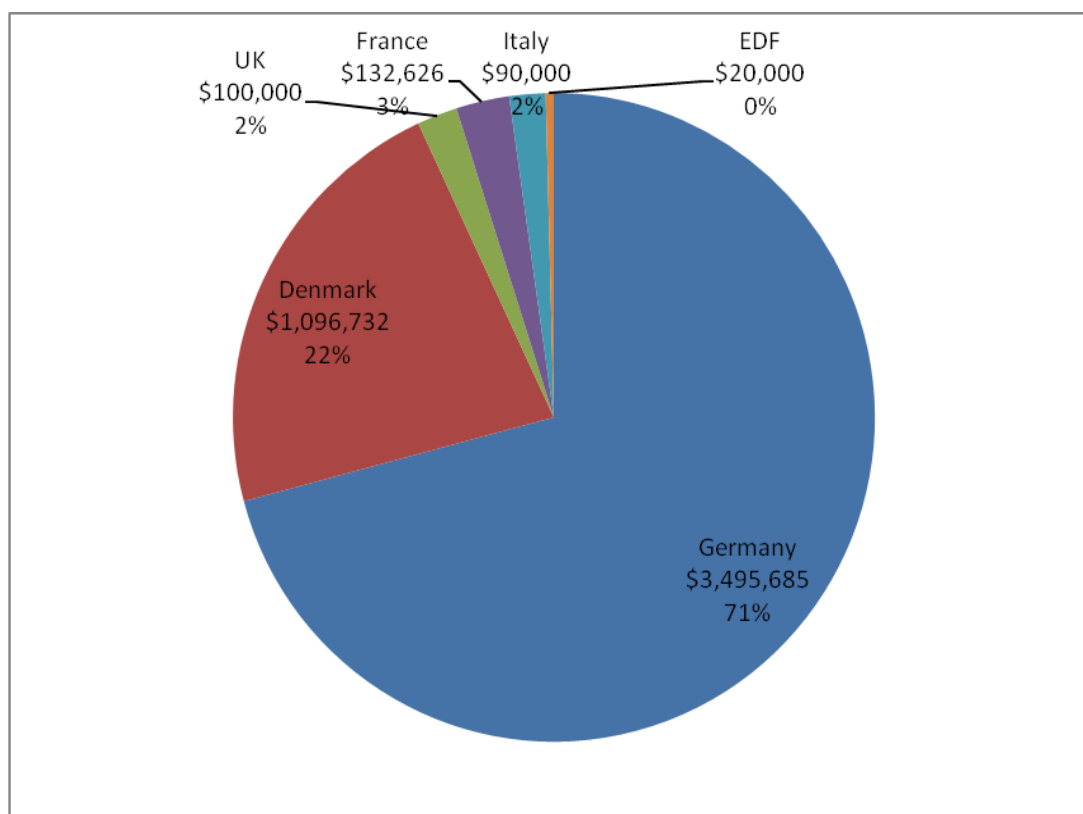
under-spends have been offset to some extent by over-spend on sub-contracts (allotment versus expenditure) in later years: \$273k in 2008 and \$98k in 2009. It is understood that this overall trend reflects the fact that significant funds were donated at the start of GNESD (at WSSD), more than could be absorbed in the early years, and that these funds were spread into later years to act as a buffer, which is essential for the continuity of the network (*Source: GNESD Secretariat pers comm*). Care should be taken going forward to ensure that there is adequate capacity within GNESD Centres to provide the resources required and that there is sufficient forward budget planning to allow Centres to plan staff resources.

149. The latest period for which confirmed figures for sums donated to GNESD is 2003-2008⁹ for which the total budget was US\$4,228,484, and the amount received was US\$ 4,935,043. By adding sums “received and pledged” the total either received or pledged between 2003-2010 was US\$6,439,043, while the budget for this period was US\$ 6,047,248. The break-down of the donations by donor between 2003-2008 is shown in Figure 9, highlighting that Germany first, and Denmark second, have been by far the largest donors. Analysis for the period 2003-2010 (donations and pledges) shows a substantially very similar picture, the only change being a slight reduction in the proportion of the total donated by Germany (from 71% to 70%) and a subsequent slight increase in the proportion donated by Denmark. In addition to these donors contributions, GNESD has leveraged some funds, for co-financing of workshops, from REEEP, GVEP and others; however since these items were not counted within the GNESD budget quantification of the amounts involved has not been obtained. In addition UNDP has provided financial support for regional workshops in 2005 and 2007 and most recently for outreach activities for the African GNESD Centres.

Figure 9: Breakdown of donations to GNESD 2003-2008

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⁹ All figures extracted from spreadsheet “budget summary 2003-2011 – Budget, Annex II, CPL 5070 2647 343” provided by the GNESD Secretariat



150. Financial planning is undertaken by the Secretariat, and summary budgets are presented each year to the Annual Assembly. Processes in future should ensure that a clear and complete record of approval of annual budgets is placed on the Intranet.

151. **Overall the rating for financial planning is Satisfactory.**

K: UNEP SUPERVISION AND BACKSTOPPING:

152. Adequate UNEP Supervision and backstopping of GNESD is inherent in the structure of the network, since the Secretariat is housed within a UNEP Collaborating Centre at Risoe DTU, and directed by a UNEP staff member, John Christensen. In addition Mark Radka at UNEP DTIE, in Paris, who has formal responsibility for GNESD within UNEP, has been actively involved in GNESD since its inception, and continues to participate in Steering Committee meetings.

153. In general the level of backstopping by UNEP can be considered to be good. Provision of progress reports by the Secretariat to UNEP DTIE is generally adequate as discussed above, and evidence was obtained from UNEP DTIE offices of adequate financial over-sight of GNESD operations.

154. However in the future phases of GNESD an increased emphasis should be given to outcome monitoring (results-based project management), and it is recommended that UNEP should provide sufficient training within the GNESD network to ensure that this is achieved effectively from cost and effort perspectives. **Overall UNEP's project supervision and oversight are rated as Satisfactory.**

L: COMPLEMENTARITY WITH UNEP MEDIUM TERM STRATEGY AND PROGRAMME OF WORK:

155. UNEP's Medium Term Strategy (MTS) 2010-2013 establishes 6 cross-cutting priorities: 1) Climate change (a strategy developed in 2007-08 places a focus on resilient development and low carbon energy supply); 2) Disaster and conflicts; 3) Ecosystem management; 4) Environmental governance; 5) Harmful substances and hazardous waste; 6) Resource efficiency – sustainable consumption and production. GNESD fits well with both priorities 1) and 6).
156. For developing countries UNEP has further elaborated a focus on *clean tech readiness*, with the aim of supporting sustainable energy development and encouraging access to clean and efficient energy services. UNEP has considerable and sustained experience with the promotion of energy efficiency and renewable energy, in the context of the achievement of the MDGs.
157. These strategic focus areas for UNEP indicate good complementarity between GNESD and UNEP's MTS. Discussions with UNEP DTIE staff in Paris (28th June 2010) confirmed this, highlighting an adequate fit between UNEP priorities and GNESD. Given the active role of a senior UNEP employee in the GNESD Steering Committee, it would seem that the future strategic fit of GNESD with UNEP priorities is adequately covered. It is important to note however that current UNEP priorities are not the same as those when GNESD was conceived (pre-WSSD), with the current strategy placing greater emphasis on *clean energy* than *energy access*. However a workable balance appears to have been struck by GNESD between these two issues. In the context of the renewed international attention being given to the issue of *energy access* (ref the AGECC convened by the UN Secretary General) it would seem appropriate that this balance is maintained in the future and that, for GNESD, *energy access* does not become subordinated to the *clean energy* agenda going forward.
158. In terms of modes of operation and expected results, UNEP has increased its emphasis on the achievement and measurement of impacts, in the case of GNESD in the policy field. As discussed above, this emphasis on impacts should be mainstreamed within GNESD operations in future to account for this shift in emphasis within UNEP. **No rating is required for "Complementarity with UNEP Medium Term Strategy and Programme of Work".**

CONCLUSIONS AND RATING

159. Summary conclusions and ratings for each of the 11 evaluation criteria are presented in Table 8. They are expanded on below for Criteria A only (Attainment of project objectives and results) given its central importance.
160. Overall, while there are areas where improvements are required, GNESD is seen to have established itself as an effective network for the sharing and analysis of energy policy, has produced a significant number of outputs, and has undertaken some outreach activities. There is some credible, but mostly anecdotal, evidence that GNESD outputs have had an influence on policy agendas; it is clear however that more needs to be done to engage with target audiences in the future. **Overall the rating for GNESD in the period 2003 to mid 2010, as a result of this MTE, is Satisfactory.**
161. **A. Attainment of project objectives and results. A.1. Effectiveness - overall likelihood of impact achievement (ROti rating):** *Outputs and Outcomes* were divided into those relating to the network itself and those targeted at stakeholders external to GNESD. In terms of the former, there is good evidence of the development of an effective South-South network for knowledge exchange and policy analysis. In addition some capacity development (research methodology and specific knowledge) has been achieved. However for most GNESD Centre staff the network is a marginal activity. Northern Centres are effectively inactive within the network due to lack of budget to support their involvement. Hence N-S networking has not been achieved.
162. Concerning *external outputs*, there has been prolific production of GNESD policy publications with relevant niche areas of research carved out by GNESD in several key areas (eg urban/peri-urban energy poverty, energy access etc). Quality and relevance of outputs, as reported by GNESD Centres, is generally high, although some of the poorly focused research areas are less well perceived. It is GNESD's work in niche areas, not covered by existing research networks, that is considered most valuable. Some enhancement to the review process for GNESD outputs may be appropriate to add to the credibility of its outputs.
163. There are some – mostly anecdotal – examples of outcomes on national, regional and international policy processes as a result of GNESD. However the outward (target audience) facing aspect of GNESD needs to be enhanced in order to maximize the potential for achieving anticipated outcomes and impacts in the future. This is perhaps the single most important conclusion from this MTE, and one which is believed GNESD stakeholders are in agreement with. Several recommendations are made to support a move towards this goal.
164. Overall the rating for effectiveness of GNESD to date is BB in the ROti framework i.e. *likely to achieve impact*; however it should be noted that this holds true only if changes to GNESD operations are made in the near future. This ROti rating translates to a **rating of Satisfactory for effectiveness.**

165. A.2. *Relevance* of GNESD was considered from a global perspective, as well as being analysed on a thematic basis for past activities. Internationally GNESD is highly relevant, covering an area – clean energy access for poverty reduction and achievement of the MDGs – not covered by any South-South network, and for which there is increased international attention through – inter-alia – the AGECC. Past thematic analyses are generally seen as highly relevant, in particular where there is a narrow focus on a specific policy question; some recent themes with a broad focus are seen as less relevant, and there is evidence of that GNESD may find it difficult to produce high quality outputs in these cases. **The rating for relevance is Highly satisfactory.**

166. A.3. *Efficiency* – a generally efficient infrastructure for networking and policy analysis has been established. Effective processes have been put in place. There are few comparable activities with which to compare cost-effectiveness but overall the impression was that this aspect of the network was good – as far as could be established within the confines of this MTE; this finding complements those of a previous evaluation (DIIS, 2008) which found that “...GNESD of today is a highly relevant and efficient network, highly cost efficient and known for the high quality of its thematic studies..”. There are however problems with maintaining some research themes to agreed time schedules, and this is an aspect that needs to be addressed. **The rating for efficiency was Satisfactory.**

Table 8: Overall Ratings Table

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating) Sub criteria (below)	Effective network and modes of operation established. The next phase needs to focus on GNESD's outward-facing operations to influence target audiences with a view to achieving its intended impacts.	S
A. 1. Effectiveness - overall likelihood of impact achievement (ROtI rating)	Very effective in forming South-South networking, and producing relevant policy analyses and knowledge products in niche areas, although careful definition of research scope is required to ensure strong, quality, outputs. North-South networking not effective given lack of funds for northern partners. Evidence of some outreach to influence policy, although this is an area needing more sustained and systematic work in future.	S
A. 2. Relevance	Highly relevant, focusing on the <i>energy access</i> agenda, a renewed priority of the UN following the Secretary General's formation of AGECC. Relevance of past themes is mostly good, although future activities would be enhanced through increased engagement with target audiences.	HS

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. 3. Efficiency	Generally an efficient network has been established, with some room for operational improvements, in particular achieving agreed time-schedules in the production of new products. From a top-down perspective GNESD is considered cost-effective.	S
B. Sustainability of Project outcomes Sub criteria (below)	Overall rating	L
B. 1. Financial	GNESD is and will remain to be reliant on donor financing; in this sense it cannot be considered to be financially sustainable. Some of the outcomes of the network (eg South-South networking) might be expected to sustain if the operation were to cease, and the knowledge products to date would continue to be available. However the full benefits of GNESD (in terms of outcomes and impacts) could only be expected to be achieved with on-going financial support from donors. GNESD remains highly relevant and hence it is anticipated that donor support will continue.	L
B. 2. Socio Political	GNESD is considered to be in step with international political priorities (vis-à-vis clean energy access). Strong participation by national research centres ensures alignment with national/regional socio-political priorities.	L
B. 3. Institutional framework and governance	The governance processes for GNESD are generally well established.	L
B. 4. Environmental	Environmental sustainability is not directly applicable as GNESD due to the nature of the project. However GNESD is fully aligned with the agenda for environmental sustainability, through its work to enhance clean energy access.	N/A
C. Catalytic Role and replication	Some – limited, anecdotal - evidence of catalytic effect on policy but none on investment. The full potential for GNESD to catalyse change has not yet been realized, and improvements are required to the outward-facing aspects of GNESD.	MS
D. Stakeholder Participation/Public Awareness	GNESD has undertaken outreach efforts, but engagement with stakeholders in the policy community needs to be improved and there is little evidence of participation of the investment community. Awareness of GNESD needs to be improved, in particular amongst the energy/development donors.	MU

Criterion	Evaluator's Summary Comments	Evaluator's Rating
E. Country ownership / drivenness	Strong ownership within GNESD Centres due to democratic decision-making within the network. Less ownership amongst the target audience, and a sense that in some cases GNESD themes are driven more by research agendas than policy or investment priorities.	MU
F. Achievement of outputs and activities	Production of research publications has been prolific (47 to date). Quality is seen to be varied but generally adequate. Expert review processes for future publications might be adapted to ensure quality and credibility. Some thematic activities have been delayed from planned time schedules. A number of regional workshops have been delivered.	S
G. Preparation and readiness	In general preparation for GNESD was achieved well. Network partner capacities have been well utilized. However some of the original objectives of GNESD were unrealistic. Although generally complete, the nature of annual planning and reporting documents somewhat fragmented. The planned new Project Document should be used as an opportunity to refine objectives and unify planning and reporting formats.	MS
H. Implementation approach and Adaptive management	There is no evidence of formal adaptive management processes within GNESD, although these were not in common use at the time of its inception. However, in practice, there is evidence of flexibility, and a striving for improved efficiency and effectiveness in the approach taken by GNESD (ref strategy reviews produced by the Secretariat).	S
I. Monitoring and Evaluation Sub criteria (below)	Overall rating	U
I. 1. M&E Design	There is no formal M&E system in place, although this was not a requirement at the time of planning GNESD. Systems are due to be put in place.	MU
I. 2. M&E Plan Implementation (use for adaptive management)	GNESD activities and outputs are monitored through the annual progress reviews produced by the Secretariat, a process which could be improved for consistency. A comprehensive independent evaluation was undertaken in September 2008 by the Danish Institute for International Studies.	MU

Criterion	Evaluator's Summary Comments	Evaluator's Rating
I. 3. Budgeting and Funding for M&E activities	Budgeting for M&E has only occurred in 2010 (for this MTE) and 2011.	U
J. Financial planning	An audit was not performed as part of this MTE; however, in general, the level of financial reporting appears adequate and transparent. Financial planning is generally undertaken in an appropriate manner. However care should be taken to ensure that future demands on GNESD Centres are backed up with adequate financial resourcing; consideration should be given to increase in the allocation of budget to Centres.	S
K. UNEP Supervision and backstopping	Good. The GNESD Secretariat is housed within a UNEP Collaborating Centre. UNEP DTIE staff member is active on the GNESD Steering Committee.	S
I: Complementarity with UNEP Medium Term Strategy (MTS) and programme of work	GNESD fits with two of UNEP's 6 priorities under its MTS: 1) Climate change – including low carbon energy supply and 2) Resource efficiency – sustainable consumption and production. There is also an active <i>clean tech readiness</i> agenda within UNEP. GNESD's modes of operation will have to fully integrate the UNEP focus on the achievement and measurement of <i>impacts</i> resulting from its programmes.	N/A
Overall Rating		S

RATING SCALE FOR PROJECT OBJECTIVES AND RESULTS

- Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Likely (L): There are no risks affecting this dimension of sustainability.

LESSONS (TO BE) LEARNED

LESSON 1: FOCUS MORE ON SYSTEMATIC ENGAGEMENT WITH TARGET AUDIENCES:

167. The first clear lesson to be learned is that the full potential for achieving policy change as a result of GNESD activities has not yet been realized; producing changes to policy (ie achieving outcomes and impacts) as a result of policy analysis is complex, time-consuming and requires the application of sustained and sophisticated strategies. Policy processes are complex and rarely linear or logical; hence simply presenting information to policy makers once and then dis-engaging is very unlikely to achieve results. Many policy processes are only weakly informed by research-based evidence, and researchers need to better understand the factors influencing policy-makers, including both factors within their sphere of influence and those outside it. Most importantly perhaps is the obvious requirement to understand the political context within which researchers are trying to influence, and identify the key players to engage with at the start of an activity rather than at the outreach stage.
168. While the GNESD Network is operating reasonably well as a mechanism for sharing knowledge between Centres and undertaking joint cross-centre analyses, the modus operandi of GNESD has been more inward looking than outward facing, resulting in the creation of a network with good social capital within but with little ongoing dialogue with its target audiences, except for set-piece events. The balance between the internal needs of the network and its outward facing role needs to be addressed if impacts on policy and investment are to be achieved. While efforts have been made to engage with policy audiences (through regional workshops on specific GNESD themes for example) there is little evidence of ongoing and systematic engagement with target audiences.
169. The lesson here is that there is a need for a thorough analysis of the ways and means for policy analysis and research to impact both the policy and investment processes, using existing bodies of knowledge on the subject, for example ODI publication: "Helping researchers become policy entrepreneurs" 2009. Following the increased understanding that should result from this, engagement practices with target audiences by GNESD need to be enhanced, and resources applied, to ensure that all opportunities for impacting policy are exploited.

LESSON 2: NEED TO ENSURE ONGOING RELEVANCE AND QUALITY OF GNESD OUTPUTS:

170. The second key lesson is the need to maintain quality and relevance of GNESD products, which are paramount to the success of the network.
171. Evidence gathered during this MTE suggests that quality of GNESD products depends largely on the definition of the scope of research, in particular the ability of the scoping exercise to carve out a specific niche for GNESD, which is sufficiently tightly defined to allow for meaningful comparison between GNESD countries and regions, and to produce specific findings.
172. Relevance of GNESD products to target audiences is critical to maintain, and should be a guiding principle to avoid work that is driven purely by the interests of the researchers involved. However a balance needs to be struck between providing what target audiences say they require, and carving out new research areas, which have yet to be thought of by these audiences.

LESSON 3: ENSURE THAT MANAGEMENT PROCESSES TO MEET CURRENT STANDARDS

173. The third lesson is that as GNESD matures, it is necessary to tighten some of the processes involved to meet current standards, in order to ensure optimum functioning in the future. Management of GNESD has generally been good to date, and has generally demonstrated flexibility and accountability. However this has been achieved in large part due to the ongoing involvement and commitment of a small number of key individuals who originally designed GNESD; it is not certain that the operation would continue to function efficiently were these individuals no longer involved.
174. GNESD needs to adapt to demands for improved, more formalised management approaches, including through the introduction of a workable M&E system. This should be able to inform *adaptive management* and *results based management* systems, such that the governing bodies of GNESD are able to track progress against planning and make appropriate changes to operational and strategic decisions for the future.
175. Hence the lesson is that establishing improved management systems should be undertaken to enable more systematic planning, and objective tracking of progress with GNESD activities, in order that GNESD continues to function well in the event that key individuals are no longer involved.
176. Finally, new M&E systems for tracking progress should include not only activities and outputs, but also the achievement (or lack of it) of *outcomes* and *impacts*. This will require the extension of the *results chain* beyond the Secretariat in Risoe DTU and into the GNESD Centres. In some cases this will require additional training and resources; UNEP might consider providing training on outcome and impact monitoring. Consideration should be given to increasing budgets to GNESD Centres to account for an increased workload due to enhanced M&E activities.

LESSON 4: RE-DEFINE CERTAIN ASPECTS OF THE GNESD STRATEGY TO UPDATE IT AND ENSURE ITS RELEVANCE AND PRACTICALITY

177. The final key lesson is that in order to ensure that the GNESD strategy going forward is appropriate, it needs to be amended so that it is both realistic regarding what GNESD can achieve, and adapted to be relevant to the current strategic environment. This will involve changes to the existing strategy in a number of areas, including:
- For the sake of clarity the role of Northern network partners needs to be clarified and possibly re-conceived;
 - Target audiences which GNESD is expected to influence need to be spelled out more clearly, and agreement reached about the balance of priorities given by GNESD, to national/regional versus international policy audiences;
 - Clarity and re-definition of the expected influence of GNESD on private sector investment in the energy sector;
 - GNESD should ensure that its new strategy sets out the role of GNESD in the changed institutional environment (ie new with the development of networks such as REN21, IRENA and CLEAN etc), and consider where to form more formal links, for example through memoranda of understanding;
 - Finally the new strategy should consider whether expansion of the network to other

countries/regions is appropriate. As part of this consideration, thought needs to be given to the optimum size of the GNESD network, balancing maximum geographical coverage (and impact) versus the practicalities of managing the network and ensuring continued strong social capital between Centres.

RECOMMENDATIONS

178. Four specific recommendations are made, directly leading on from the context of the lessons learned, as presented above; an emphasis is placed on *how*, *when* and *who* the appropriate actions should be undertaken.

RECOMMENDATION 1: ENHANCE ENGAGEMENT WITH TARGET AUDIENCES

179. *This recommendation involves analysis, followed by formulation of specific recommendations for new modes of operation, to be developed by the Secretariat, as soon as possible, for presentation to the Steering Committee for their discussion and approval (or amendment). It also involves ongoing and active engagement of Theme Co-ordinators going forward.*

180. 1. a) In order to address the inadequacy of engagement of GNESD with target audiences, changes need to be made to the allocation of resource (increased budget) to such activities, as well as modes of operation. The June 2009 Working Group meeting in Paris made some strides towards this but more needs to be done in order to embed this within GNESD process. Lessons should be learned and formalised - within a new GNESD strategy - from the existing body of knowledge on how research can impact policy processes. For example, the ODI (ODI, 2009) has written a briefing paper on *Helping researchers become policy entrepreneurs*. This identifies a number of lessons from the past and approaches to take including the over-arching need to define policy objectives of research: ie *what defines success?*

181. 1. b) Following this evaluation, a strategy should be developed by the Secretariat, and discussed within the GNESD network to a) establish ways of working, including budgetary implications and institutional responsibilities, to ensure that future GNESD activities systematically engage with target audiences; b) investigate opportunities for further use of the existing portfolio of GNESD knowledge to influence policy and/or investment processes.

182. 1. c) New GNESD thematic research activities should specify intended target audiences at the scoping phase in as much detail as possible. This will involve initial analysis of target audiences at national/regional levels by the individual Centres, followed by compilation and analysis by the Co-ordinating Centre in a form to be discussed by the group. At this stage consideration should also be given to the recruitment of an external expert to review the scope and intended target audience. Where possible, policy fora should be assembled by individual Centres to discuss the proposed research scope with intended recipients, verify its relevance and increase buy-in at the inception stage of the new research; the results of these for meetings to be fed back into the scoping process and discussed amongst all Centres involved.

183. 1. d) Consideration to be given, by the GNESD Steering Committee to an increased budget resource allocation for GNESD Centres for outreach activities. Such resources, to be fully costed, to

be used for both further national and regional workshops, as well as ongoing activities to allow GNESD Centre staff to engage more systematically and opportunistically with target audiences. Results from this increased engagement to be monitored and reported by Centres periodically – at least annually – in an agreed format, to be drafted by the Secretariat.

184. 1. e) Clear lines of responsibilities to be defined, in a new strategy, for outreach at national/regional and international levels, with Centres taking primary responsibility for the former. The Secretariat to draft a new strategy following this MTE, to be discussed within the Steering Committee and agreed with donors.

RECOMMENDATION 2: ADAPT PROCESSES TO ENSURE ONGOING RELEVANCE AND QUALITY OF GNESD OUTPUTS

185. *This recommendation involves changes to GNESD processes, which need to be formulated by the Secretariat, discussed with the network Centres and agreed by the Steering Committee, as soon as possible, preferably in advance of the formulation of the new strategy. The following issues should be considered in the development of these new processes:*
186. 2. a) Concerning the objective of ensuring relevance to, and buy-in from, target audiences, consideration should be given to engaging the target audience in the scoping and research stages of new GNESD themes. This would help to ensure that the GNESD research agenda was driven more by policy realities and demands rather than the interests of researchers. However for some GNESD Centres engaging policy-makers during research processes was not seen as a practical proposition. Thus the value and practicality of this approach should be discussed on a case-by-case for each new theme, led by the theme Co-ordinating Centre.
187. 2. b) Some improvements to the review process are suggested as part of this MTE. Expert reviews of all country reports should be made available on the intranet to increase transparency and the effect of peer-pressure within the network. Consideration should also be given to engaging external expert reviewers for all GNESD publications, including synthesis reports and summaries for policy-makers, as a means of increasing the credibility of GNESD outputs.
188. 2. c) The scoping process for new themes should be clear and specific about the intended policy impact desired and the audience which is expected to be influenced. This should inform the outputs of the research. In some cases it may be most appropriate to focus on the publication of synthesis reports and summaries for policy-makers only, hence re-defining the role of the Co-ordinating Centre, the other Centres and the Secretariat in the research process.
189. 2. d) Another option would be to use the services of independent expert reviewers, to review the draft scope produced by the Co-ordinating Centre. The desirability of this generic approach should be discussed within the Steering Committee and integrated into the new strategy if seen as a practical and useful process. Financial resources for the expert review should be integrated into the overall theme budget, with the review of scope process being managed by the theme Co-ordinating Centre.

RECOMMENDATION 3: ADAPT MANAGEMENT PROCESSES TO MEET CURRENT STANDARDS

190. *This recommendation involves the development of new procedures and their integration into the new strategy. It thus involves drafting work by the Secretariat and approval by the Steering Committee and donors, by the end of 2010 or soon thereafter.*
191. 3. a) The Steering Committee should discuss and agree on enhanced management processes, including the establishment of an M&E system, and streamlined planning and reporting systems. If necessary a sub-group of the Steering Committee should be formed to discuss such matters, in advance of the development of a new GNESD strategy. Involvement of UNEP and GNESD donors in this discussion is important to ensure that the varied planning and reporting requirements are met in an effective and efficient manner.
192. 3. b) UNEP should consider the provision of training of GNESD Centres and the Secretariat regarding methods for the ongoing monitoring and reporting of *outcomes* and *impacts*.

RECOMMENDATION 4: DEVELOP A REFINED STRATEGY FOR GNESD FOR THE UPCOMING PERIOD

193. *The final recommendation involves consideration of the conclusions of this MTE by the GNESD Steering Committee, and incorporation as appropriate into a new strategy for the forthcoming period, in particular with respect to a renewed and enhanced focus on the achievement of impacts.*
194. 4. a) This should include a refined set of objectives, set out in log-frame format and including the use of SMART indicators for use during ongoing management processes and for future evaluations. Consideration should be given to increasing the budget allocations for GNESD Centres.
195. 4. b) The strategy should also consider the following issues: 1) the role of Northern Network partners within GNESD¹⁰; 2) the balance of activities to be targeted at national/regional and international audiences, as well as the balance of priority to be given to influencing policy-makers and investors; 3) set out the need for development of memoranda of understanding with REN21, IRENA, CLEAN etc; 4) recruitment of new GNESD Centres in areas not currently covered by the network.
196. 4. c) The process for the development of this strategy should be subject to discussion within the Steering Committee. Drafting of the strategy should be undertaken by the Secretariat, possibly aided by a small sub-group of the Steering Committee. Ideally the strategy would be produced in

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¹⁰ In the absence of financial resources to support involvement of the northern network partners, consideration should be given to re-branding GNESD, by including only GNESD Centres in developing countries – those with financing – as official GNESD network Centres. This would raise the profile of the active GNESD Centres, and more accurately represent the actual day-to-day operations of GNESD. At the same time, continued involvement of northern Centres should be encouraged to the greatest extent possible, for example through their participation in GNESD events and other outreach activities, and through involvement in the review processes for GNESD outputs

time for discussion (and approval) at the next meeting of the GNESD Annual Assembly at the end of 2010.

ANNEXES

APPENDIX A: MTE TERMS OF REFERENCE

TERMS OF REFERENCE

Mid-Term Evaluation of the project CP/4040-03-16 (3430) Global Network on Energy for Sustainable Development (GNESD)

PROJECT BACKGROUND AND OVERVIEW

Project rationale

The Global Network on Energy for Sustainable Development (GNESD) is one of several Type II partnerships in the field of Energy that were launched at the World Summit on Sustainable Development (WSSD) in Johannesburg, September 2002. UNEP created the Network with a number of partner institutions to promote the generation and exchange of knowledge among existing centres of excellence in the north and south through collaborative action on a range of sustainable energy topics. The Network was supposed to provide a mechanism for sharing knowledge, exchanging information, pool intellectual resources, and suggest policy options to governments.

The main objective of the network is to work towards the achievement of the MDGs by:

- Strengthening the Member Centres' ability to acquire, assimilate, and apply existing knowledge and experiences.
- Working for a better understanding of the links between energy for sustainable development and environmental priorities and technology and policy options, leading to better articulation of practical policies that can be adopted so as to promote and highlight the crucial role of energy for sustainable development.
- Working to provide research findings to the Governments to be considered in formulating their policies and programmes, and the private sector to attract investment in the energy sector, so that these favour energy sector growth for sustainable development in the developing countries.
- Promoting communication infrastructure that provide a means for Members to share experiences and draw on each other's strengths, expertise and skills, and

- Strengthened South-South and North-South exchange of knowledge and collaboration on energy issues of common interest.
- Foster partnerships and promote joint activities with other Type II initiatives.

Executing Arrangements

The project is implemented by the Risø DTU in close co-operation with the Energy Branch of the Division of Technology, Industry, and Economics UNEP/DTIE.

The project is implemented in collaboration with the following National and Regional centres of excellence: African Energy Policy Research Network (AFREPREN) in Kenya, Asian Institute of Technology (AIT) in Thailand, The University of São Paulo (IEE/USP) in conjunction with the Federal University of Rio de Janeiro (COPPE/UFRJ), Energy & Development Research Centre (EDRC) in South Africa, Environnement et développement du tiers-monde (ENDA-TM) in Senegal, The Energy Research Institute (ERI) in China, the Bariloche Foundation (FB) in Argentina and the Tata Energy Research Institute (TERI) in India.

The Main Project Activities

The following main activities are undertaken by network partners in order to achieve the objectives of the project:

(a) *Building Knowledge And Sharing Lessons Learned:*

- Assist in analysis of policies and business models for energy for sustainable development
- Assist in the production of a Comparison report and a Summary for Policy Makers (SPM) for each of the themes by synthesizing the findings from the entire individual regional and country reports and disseminated widely
- Assist in evaluation of sustainable energy technologies
- Promote activities that raise awareness and disseminate information
- Create a global base of knowledge on policy experience and ways to adapt that experience to specific national circumstances, and
- Build communities of practitioners on specific issue areas, such as power sector reform, policy and governance issues in energy, development, environment, interdisciplinary policies for energy for rural development, application of information technology for promotion of sustainable energy, and climate change mitigation, by means of ad-hoc working groups.

(b) *Improving capabilities (capacity development on multiple levels):*

- Provide information and share knowledge and advice
- Provide technical services to developing country decision-makers
- Provide thematic support to governments and the private sector on sustainable energy policies, approaches, technologies, partners and programmes, and
- Develop capacity among major stakeholders and share the lessons and knowledge acquired in formulating and implementing sustainable energy approaches.

(c) *Facilitating development of new approaches and projects:*

- Help developing country governments strengthen their policy frameworks as a necessary foundation for sustainable energy projects, programmes and investments
- Help design or structure national and sectoral energy planning studies
- Assist energy authorities in outlining finance and investment strategies, including those involving partnerships with private sector investors, assist project developers and entrepreneurs in developing sound business models, and
- Assess and provide advice on renewable energy/energy efficiency policies and projects.

(d) *Generating New Knowledge (through structuring energy policy research projects):*

- Identify key research/study activities that would fill gaps in knowledge
- Carry out thematic studies on the broad issues of Energy Access and Renewable Energy Technologies. The Energy Access theme was studied in three phases i.e. Policy Research, Dissemination and Policy Implementation and the Renewable Energy Technologies (RETs) was studied in two phase's i.e. general assessment of the renewable energy sector in the different countries and identified technologies that have potentials for poverty alleviation
- Produce of a report and research papers on various topical issues in renewable energy including "Energy Access for the Urban and Peri-urban poor," "Energy Security and Energy Efficiency for Developing Countries", "Potentials of Biofuels in the Developing Countries"
- Help apply knowledge where specific decisions are needed on sustainable energy issues, and
- Structure and foster collaboration on applied policy research studies that conceptualize and operational approaches to sustainable energy policies, and analyze experiences.

Project Budget

The project has the following budgetary allocation:

Cost of Project/Source of Funds	(Expressed in US\$)	%
Cost to the Environment Fund	0	0
Earmarked Contributions ¹	1,820,000	79
Cost to UNEP in-kind	300,000	13
Cost to the Supporting Organisation (in kind)	100,000	4
Other costs (UNDP) ²	100,000	4
TOTAL COST OF THE PROJECT	2,320,000	100

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

The objective of this mid-term evaluation (MTE) is to assess operational aspects, such as project management and implementation of activities and also the level of progress towards the achievement of the objectives. The review will assess project performance and the implementation of planned project activities and planned outputs against actual results. The risks to achievement of project outcomes and objectives will also be appraised (see Annex 7). The Mid-Term Evaluation will make an in-depth assessment of the actual situation of the project implementation and the results achieved so far, with respect to the original project objectives as indicated in the original project document. **The Mid Term Evaluation will focus on identifying the corrective actions needed for the project to achieve maximum impact. Review findings will feed back into project management processes through specific recommendations and 'lessons learned' to date.**

Does the methodology of the GNESD project contribute towards:

- Strengthening the Member Centres' ability to acquire, assimilate, and apply existing knowledge and experiences on sustainable energy.

- Improving understanding of the links between energy for sustainable development and environmental priorities and technology and policy options.
- Better articulation of practical policies which promote and highlight the role of energy for sustainable development.
- Providing relevant research findings to the Governments and to private sector and have these findings been considered in formulating policies and programmes and have they succeeded in attracting investment in the energy sector towards sustainable development
- Encouraging and supporting effective and regular communication, networking and outreach activities, and strengthening the exchange of knowledge and collaboration contributing to greater understanding of the issues and problems related to Renewable Energy Technologies from a global perspective.

Methods

This Mid Term Evaluation will be conducted as an in-depth evaluation using a participatory mixed-methods approach, during which the UNEP Project Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP Evaluation Office and the UNEP Project Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent way as possible, given the circumstances and resources offered. The draft report will be delivered to the Evaluation Office and the Chief of the Office will circulate the report to UNEP Project Task Manager who will further distribute the report to key representatives of the executing agencies. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

- A desk review of project documents including, but not limited to:
 - The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and UNEP annual Project Implementation Review reports) and relevant correspondence.
 - Notes from the Project Task Manager's office.
 - Other project-related material produced by the project staff or partners.
 - Relevant material published on the project web-site.
- Interviews with project management and technical support staff.
- Telephone interviews with representatives from member centres and intended users for the project outputs and other stakeholders involved with this project, and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with an email questionnaire, online survey, or other electronic communication.

- Interviews with the UNEP Project Task Manager and Fund Management Officer, and other relevant staff in UNEP dealing with Global Network on Energy for Sustainable Development Project. The Consultant shall also gain broader perspectives from discussions with relevant UNEP Programme staff.
- Field visits¹¹ to project staff and target audiences. The evaluator will make field visits UNEP/DTIE Paris and to Risø DTU, Denmark (RNL), to meet key project staff and beneficiaries to get their opinions on the project performance.

Key Evaluation principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions ***“what happened?”*** and ***“what would have happened anyway?”***. These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly stated by the evaluator, along with any simplifying assumptions that enabled the evaluator to make informed judgements about project performance.

Project Evaluation Parameters and Ratings

The success of project implementation will be rated on a scale from ‘highly unsatisfactory’ to ‘highly satisfactory’. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below¹².

It should be noted that many of the evaluation parameters are interrelated. For example, the ‘achievement of objectives and planned results’ is closely linked to the issue of ‘sustainability’. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of ‘catalytic effects / replication’ and, often, ‘country ownership’ and ‘stakeholder participation’.

A: Attainment of objectives and planned results

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance. Any

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¹¹ Evaluators should make a brief courtesy call to UNEP Focal points during field visits if at all possible.

¹² However, the views and comments expressed by the evaluator need not be restricted to these items.

project contributions to the achievement of UNEP Expected Accomplishments¹³ should be clearly highlighted.

Effectiveness: Evaluate the overall likelihood of impact achievement, taking into account the “achievement indicators”, the achievement of outcomes and the progress made towards impacts. UNEP’s Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 6) to establish this rating. The analysis should specify whether the project has plausible causal pathways that link project activities to the achievement of Expected Accomplishments. It should also specify whether the intervention is likely to have any lasting differential impacts in relation to gender.

Relevance: Establish whether the project’s outcomes were consistent with those of the programme frameworks and thematic sub programmes. Ascertain the nature and significance of the contribution of the project outcomes to other UNEP thematic sub programmes. To what extent does the project intervention link to the achievement of the MDGs (in particular Goal 7)?

Efficiency: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the project, to the project’s achievements. Did the project build on earlier initiatives; did it make effective use of available scientific and / or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B: Sustainability

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROtI method** described in Annex 6 will also assist in the evaluation of sustainability.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources:* Are there any financial risks that may jeopardize sustenance of project outcomes and onward progress towards impact? What is the likelihood that financial and

1. _____

¹³ UNEP Expected accomplishments are specified in the 2010- 2011 Programme of Work and the 2010-2013 Medium Term Strategy. <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

economic resources will not be available once the project funding ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes and eventual impact of the project dependent on continued financial support?

- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance*: To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental*: Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

C: Catalytic Role and Replication

The catalytic role of UNEP is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and show how new approaches and market changes can work, and supporting activities that can help upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of activities: (1) **“foundational”** and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities (rarely if ever undertaken exclusively by UNEP) with high rates of cofunding, catalyzing investments or implementing a new strategic approach at the national level.

In this context the evaluation should assess the catalytic role played by this project by consideration of the following questions:

- INCENTIVES: To what extent have the project activities provided incentives (socio-economic / market based) to contribute to catalyzing changes in stakeholder behaviours?
- INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviors?
- POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from Government and / or other donors? (this is different from co-financing)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the project would not have achieved results)?

(Note: the ROtI analysis should contribute useful information to address these questions)

Replication approach, in the context of UNEP projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If no effects are identified, the evaluation will describe the strategy / approach adopted by the project to promote replication effects.

D: Stakeholder participation / public awareness

This consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the UNEP project. The term also applies to those potentially adversely affected by a project. Note: the RoTI analysis should assist the evaluator in identifying the key stakeholders in each step of the causal pathway from activities to objectives. The evaluation will specifically:

Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses with respect to the achievement of the intended outcomes and objective of the project..

Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.

Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

E: Country ownership / driven-ness

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating information on Global; Network on Energy for Sustainable Development and support for policy formulation and informed decision making processes in production and management of renewable energy for sustainable development at local, national and regional levels. Assess the level of country commitment to investment in production of renewable energy for sustainable development at local, national and regional levels.

F: Achievement of outputs and activities

Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.

Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries

Assess the extent to which the project outputs have the credibility, necessary to influence policy and decision-makers at the national and regional levels.

G: Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

H: Assessment of monitoring and evaluation systems

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Mid Term Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in Annex 4). UNEP projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project task managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

I: Implementation approach and Adaptive Management

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed and whether the project document was clear and realistic to enable effective and efficient implementation.
- Assess the role of the various committees established and the project execution arrangements at all levels policy decisions: (1) Steering Group; (2) day to day project management in each of the country Executing Agencies.
- Evaluate the effectiveness and efficiency and adaptability of project management and how well the management was able to adapt to changes during the life of the project.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

J: M&E during project implementation

M&E design. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

The evaluator should use the following questions to help assess the M&E design aspects:

SMART-ness of Indicators

- Are there specific indicators in the log frame for each of the project objectives and outcomes?
- Are the indicators relevant to the objectives and outcomes?
- Are the indicators for the objectives and outcomes sufficient?
- Are the indicators quantifiable?

Adequacy of Baseline Information

- Is there baseline information?
- Has the methodology for the baseline data collection been explained?
- Is desired level of achievement for indicators based on a reasoned estimate of baseline?

Arrangements for Monitoring of Implementation

- Has a budget been allocated for M&E activities?
- Have the responsibility centers for M&E activities been clearly defined?
- Has the time frame for M&E activities been specified?

Arrangements for Evaluation

Have specific targets been specified for project outputs?

Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

- *M&E plan implementation.* A Mid Term Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar);

annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
and that project had an M&E system in place with proper training for parties responsible for M&E activities.

- *Budgeting and Funding for M&E activities.* The Mid Term Evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

K: Financial Planning

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing. The evaluation should:

Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.

Present the major findings from the financial audit if one has been conducted.

Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).

Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.

The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP Fund Management Officer of the project (table attached in Annex 2 Co-financing and leveraged resources).

L: UNEP Supervision and Backstopping

The purpose of supervision is to work with the executing agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

- the adequacy of project supervision plans, inputs and processes;
- the emphasis given to outcome monitoring (results-based project management);
- the realism / candor of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- the quality of documentation of project supervision activities; and
- financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 5).

M: Complementarity with UNEP Medium Term Strategy and Programme of Work

Linkage to UNEP's Expected Accomplishments. The UNEP Medium Term Strategy specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROTI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent any contributions and the causal linkages should be fully described.

*Project contributions that are in-line with the Bali Strategic Plan (BSP).*¹⁴ The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

South-South Cooperation is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

The **ratings for the parameters A - K will be presented in the form of a table**. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

Evaluation Report Format and Review Procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be

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1. ¹⁴ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. ***The ratings will be presented in the format of a table*** with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;

- **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities The report should provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);
- **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should: Briefly describe the context from which they are derived; State or imply some prescriptive action; Specify the contexts in which they may be applied (if possible, who when and where)
- **Recommendations** suggesting *actionable* proposals for improvement of the current project. For Mid Term Evaluations recommendations are especially important. *Prior to each recommendation*, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated. A high quality recommendation is an actionable proposal that is:
 1. Feasible to implement within the timeframe and resources available
 2. Commensurate with the available capacities of project team and partners
 3. Specific in terms of who would do what and when

4. Contains results-based language (i.e. a measurable performance target)

5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

Annexes may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference,
2. A list of interviewees, and evaluation timeline
3. A list of documents reviewed / consulted
4. Summary co-finance information and a statement of project expenditure by activity
5. Details of the project's 'impact pathways' and the 'ROtI' analysis
6. The expertise of the evaluation team. (Brief CV).

TE reports will also include any formal response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Examples of UNEP Mid Term Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports shall be submitted to the Chief of Evaluation, UNEP Evaluation Office. The Chief of Evaluation will share the draft report with the corresponding Programme or Project Task Manager and his or her supervisor for initial review and consultation. The UNEP staff and the Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Where possible, a consultation is held between the evaluator, Evaluation Office Staff, the Task Manager and key members of the project execution team. The consultation seeks feedback on the proposed recommendations and lessons. UNEP Evaluation Office collates all review comments and provides them to the evaluator(s) for their consideration in preparing the final version of the report.

Submission of Final Mid Term Evaluation Reports

The final report shall be submitted in electronic form in MS Word format and should be sent directly to:

Segbedzi Norgbey, Chief

UNEP Evaluation Office

P.O. Box 30552-00100, Nairobi, Kenya

Tel.: (254-20) 7623387

Fax: (254-20) 7623158

Email: segbedzi.norgbey@unep.org

The Chief Evaluation will share the report with the following individuals:

John M. Christensen, Head of Centre , UNEP Risø Centre, Systems Analysis Division

P.O. Box 49, 4000 Roskilde, Denmark

Direct + 45 4677 5130

Mobile + 45 4017 8357

Fax + 45 46 321 999

Email: joch@Risøe.dtu.dk

Mr. Mark Radka, Chief

UNEP DTIE, Energy Branch, 15 rue de Milan, 75441 Paris Cedex 09, France

Tel: 33 1 44 37 14 27

Fax: 33 1 44 37 14 74

Email: mark.radka@unep.fr

The Final evaluation will also be copied to the UNEP Programme Operational Focal Points. The final evaluation report will be published on the Evaluation Office's web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the UNEP/GEO Programme office for their review, appraisal and inclusion on their website.

7. Resources and Schedule of the Evaluation

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation Office, UNEP. The contract for the evaluator will begin on **2nd July 2010** and end on **3rd September 2010** covering 1 month and 3 weeks spread over 2 months (Desk Review, Report writing and field visits to Risø National Laboratory Denmark and UNEP/DTIE Paris). The evaluator will submit a draft report on **6th August 2010** to UNEP Evaluation Office and the Chief of the Evaluation Office will share the draft report with the UNEP/Risø Task Manager, UNEP/DTIE Project Manager, and key representatives of the executing

agencies. Any comments or responses to the draft report will be sent to UNEP/EO for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **20th August 2010** after which, the consultant will submit the final report no later than **3rd September 2010**.

The evaluator will, after an initial telephone briefing with Evaluation Office and the UNEP Project Task Manager, conduct initial desk review work and later travel to Risø National Laboratory Denmark, to meet with project staff at the beginning of the evaluation and then travel to Paris to visit the UNEP/DTIE Office.

In accordance with UNEP Evaluation Policy, all UNEP projects are evaluated by independent evaluators contracted as consultants by the Evaluation Office. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation Office. The evaluator should be an international expert in environmental management. S(he) should have the following minimum qualifications; (i) Knowledge and experience in renewable energy production and management. (ii) Policy analysis and research (iii) Experience in international/regional project evaluation; (iv) Knowledge of UNEP Programmes is desirable; (v) Fluency in oral and written English is a must.

APPENDIX B: LIST OF PEOPLE CONSULTED DURING MTE

	Name	Responded to web-based survey	Telephone interview	Face-to-face meeting
GNESD Centres of Excellence				
AFREPREN/FWD (Kenya)	Steve Karekezi	√	Conference call 22 nd July 2010	Paris 29/6/10
	John Kimani			
	Jared Otuke			
TERI (India)	Ruchika Chawla	√	23 rd July 2010	Paris 28 th June 2010
	Akanksha Chaurey	√		
Foundation Bariloche (Argentina)	Daniel Bouille	√	19 th July 2010	
	Gonzalo Bravo	√	21 st July 2010	
	Gustavo Nadal	√		
ENDA-TM (Senegal)	Touria Dafrallah	√	19 th July 2010	Paris 29 th June 2010
	Sécou Sarr	X		
	Thomas Jean-Philippe	√		

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	Name	Responded to web-based survey	Telephone interview	Face-to-face meeting
MEDREC (Tunisia)	Leila Bahri	X		
	khaled Bedoui,	X		
GNESD Centres of Excellence cont.				
Energy Research group at AUB (Lebanon)	Sami Karaki	X		
ERC (South Africa)	Gisela Prasad	√	15 th July 2010	Paris 29 th June 2010
	Eugene Visagie (ex UCT),	X		
AIT (Thailand)	Sivanappan Kumar	√	21 st July 2010	Paris 28 th June 2010
	Ram Shrestha	X		
CENBIO, University of Sao Paulo (Brazil)	Suani T. Coelho			Paris, 29 th June 2010
	Patricia Guardabassi	√		
	André Felipe Simões	√		
Centro Clima, University of Rio de Janeiro (Brazil)	Emilio Lèbre La Rovere	√	29 th July 2010	
ERI (China)	Gao Hu	√	16 th July 2010	

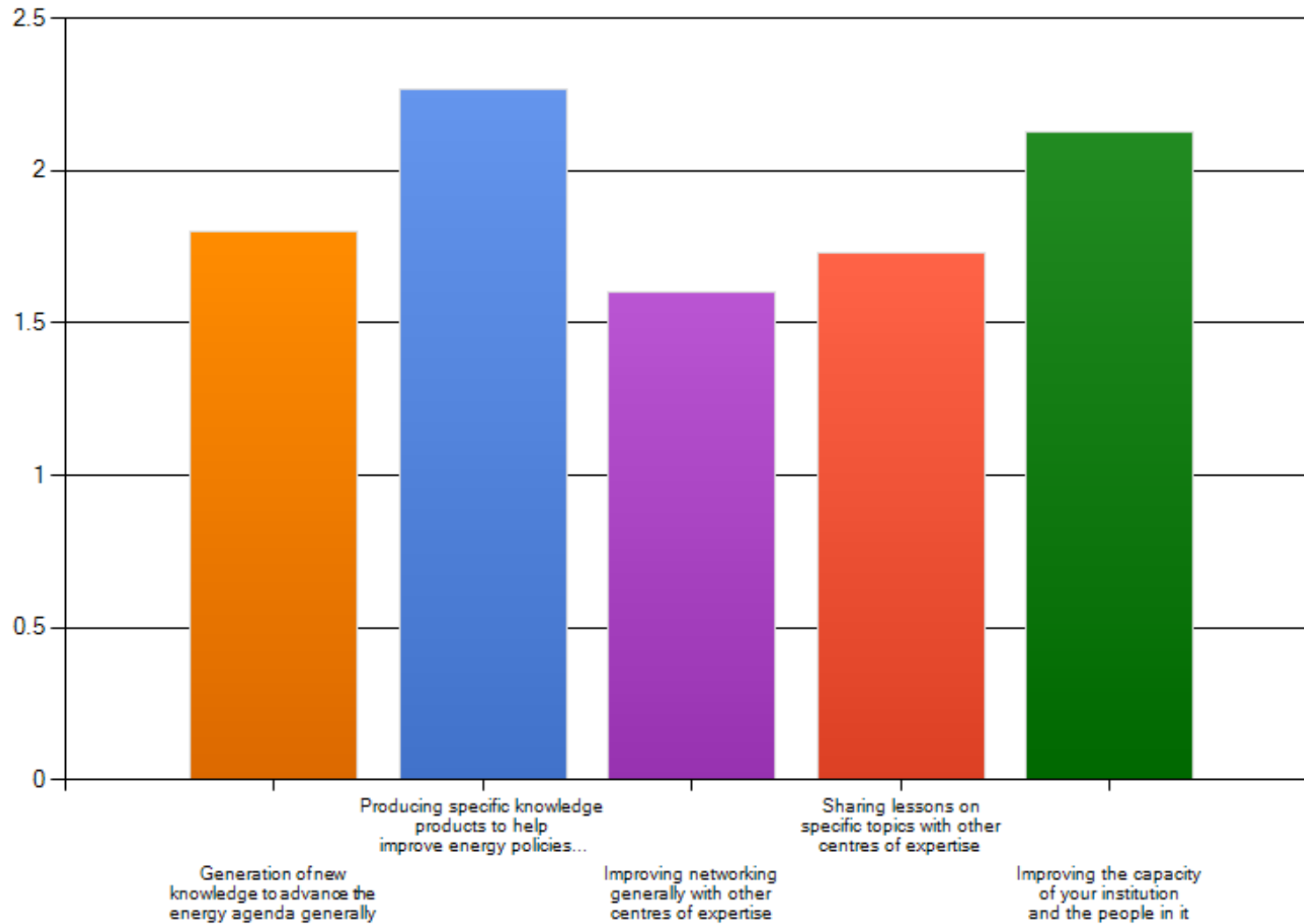
	Zhao Yongqiang	√		
	Name	Responded to web-based survey	Telephone interview	Face-to-face meeting
USP (Fiji)	[no contact]	X		
Co-Chairs				
Prof Thomas B. Johansson		Meeting Paris, 29 th June 2010		
Prof Ogunlade Davidson		Contacted, no response		
GNESD Secretariat				
John M. Christensen		Risoe, Denmark 20 th July 2010 (all day meeting)		
Mette Annelie Rasmussen				
Gordon Mackenzie		Paris, 28 th June 2010		
Emmanuel Ackom		Paris, 28 th June 2010		
Donors				
Mark Radka, UNEP DTIE		Meeting Paris 28 th June 2010		
Phillippe Lemp, GTZ on behalf of BMZ, Germany		Teleconference 3 rd August 2010		
Kirstin Linden, GTZ on behalf of BMZ, Germany				
Kamal Rijal, UNDP		Meeting Paris 29 th June 2010		
Erik Næraa-Nicolajsen, DANIDA, Denmark		Not available during MTE		

APPENDIX C: WEB-BASED SURVEY – RESULTS

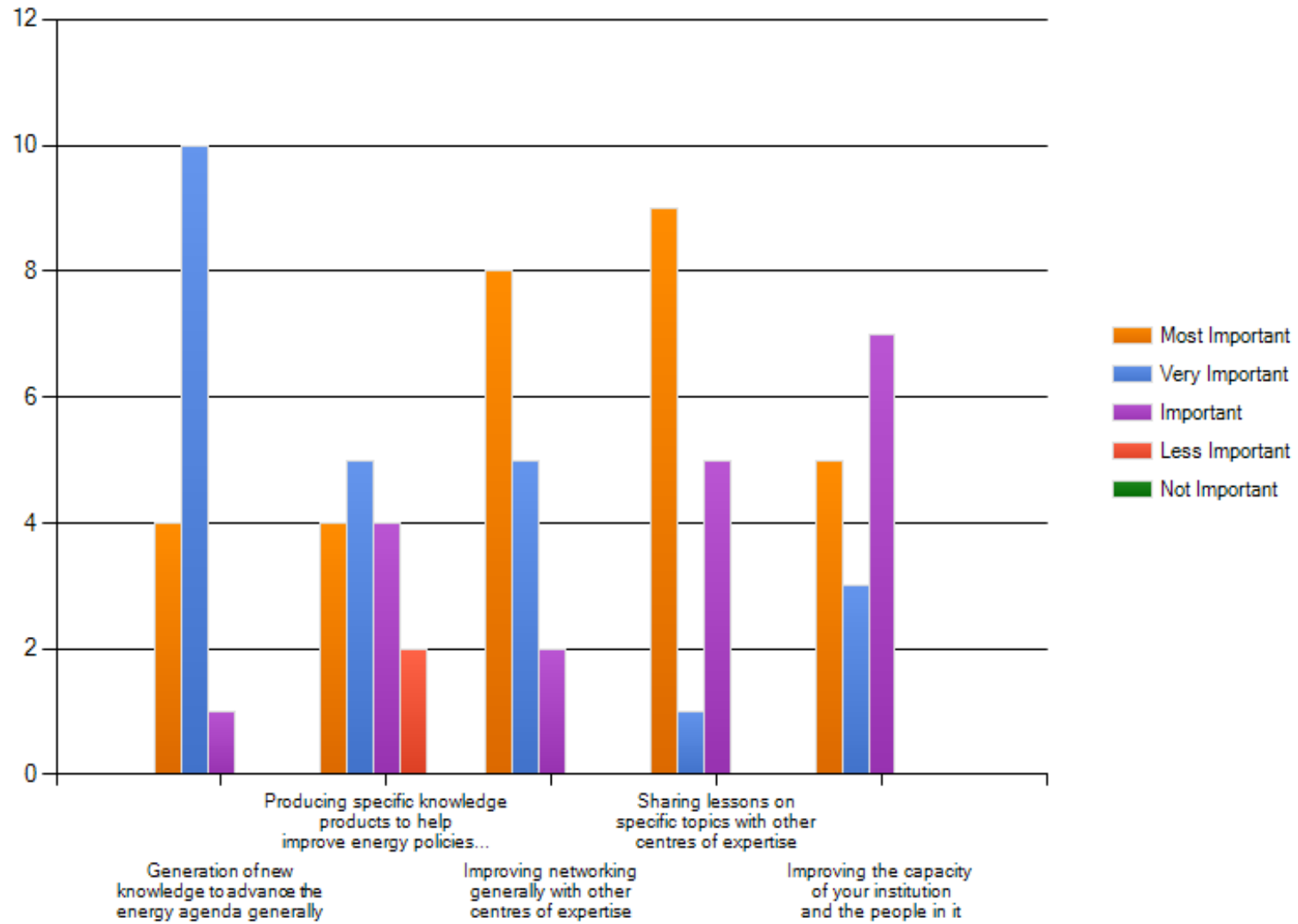
1. Question 1: “How important are the following aspects of GNESD from your perspective?”

Answer Options	Most Important (1)	Very Important (2)	Important (3)	Less Important (4)	Not Important (5)	Rating Average	Response Count
Generation of new knowledge to advance the energy agenda generally	4	10	1	0	0	1.80	15
Producing specific knowledge products to help improve energy policies in your country/region	4	5	4	2	0	2.27	15
Improving networking generally with other centres of expertise	8	5	2	0	0	1.60	15
Sharing lessons on specific topics with other centres of expertise	9	1	5	0	0	1.73	15
Improving the capacity of your institution and the people in it	5	3	7	0	0	2.13	15
answered question							15
skipped question							0

How important are the following aspects of GNESD from your perspective?



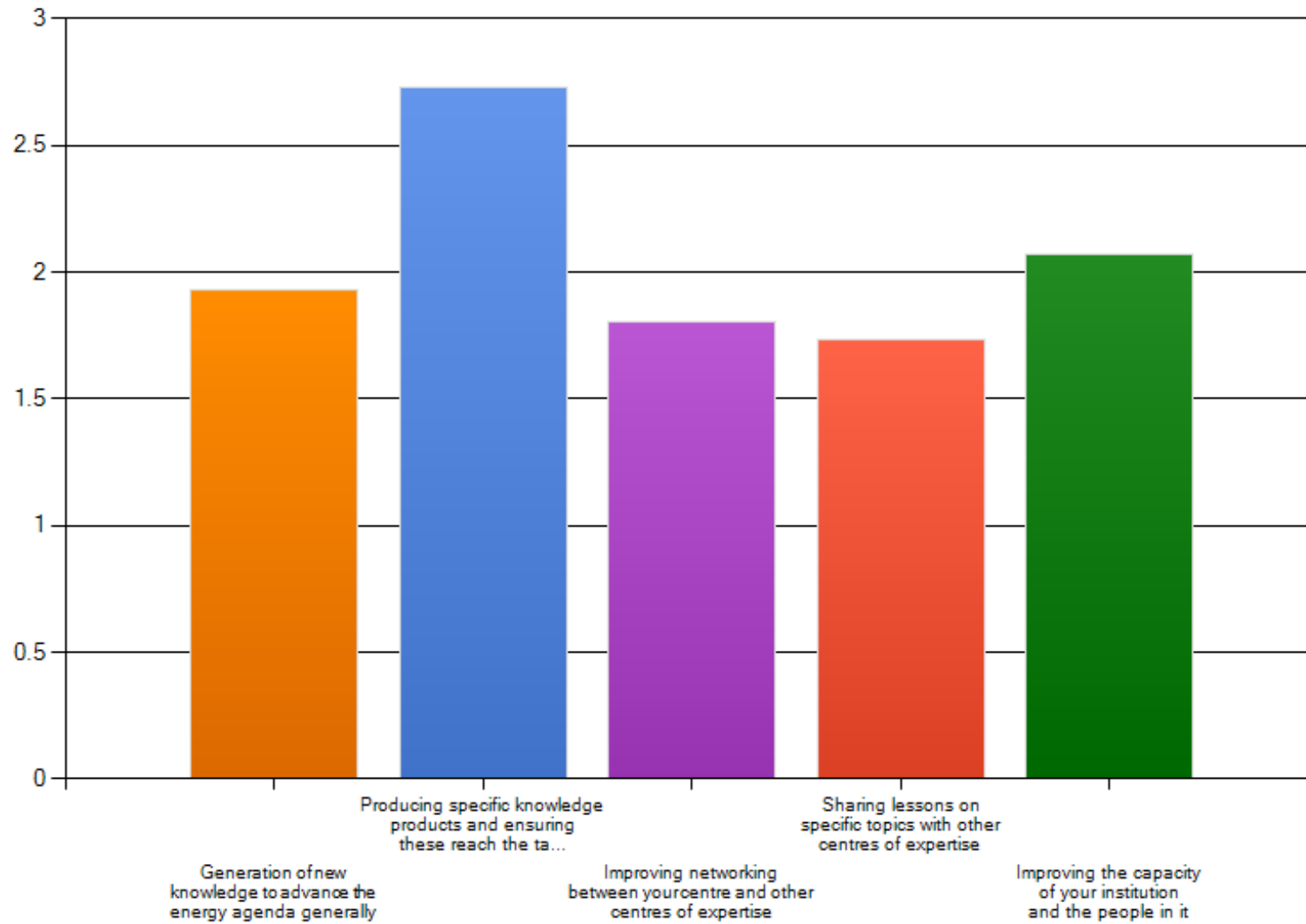
How important are the following aspects of GNESD from your perspective?



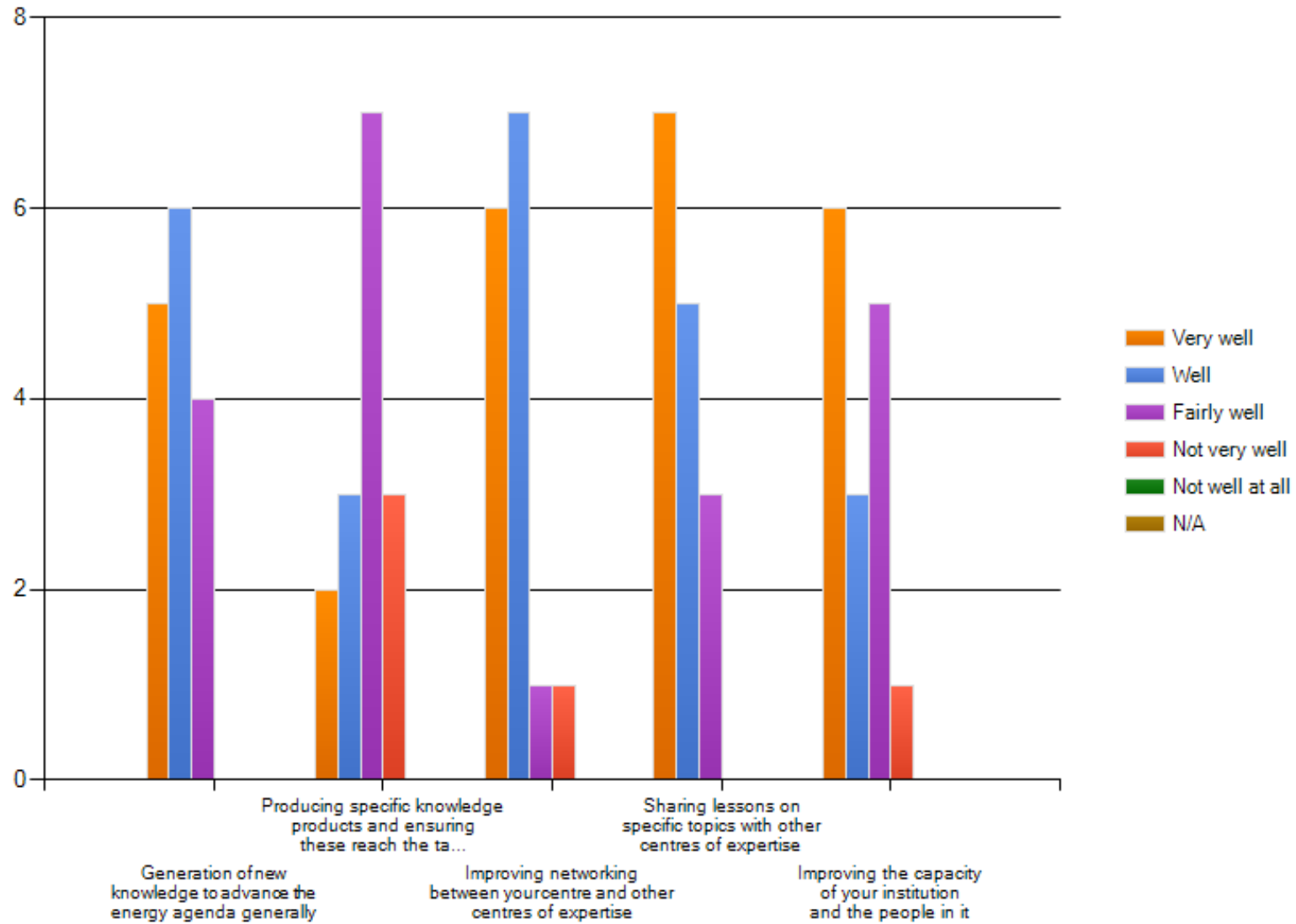
Question 3: “How well does GNESD, as it is currently structured, fulfill the following”

Answer Options	Very well (1)	Well (2)	Fairly well (3)	Not very well (4)	Not well at all (5)	N/A (0)	Rating Average	Response Count
Generation of new knowledge to advance the energy agenda generally	5	6	4	0	0	0	1.93	15
Producing specific knowledge products and ensuring these reach the target audiences (eg policy makers) in your country/region	2	3	7	3	0	0	2.73	15
Improving networking between your centre and other centres of expertise	6	7	1	1	0	0	1.80	15
Sharing lessons on specific topics with other centres of expertise	7	5	3	0	0	0	1.73	15
Improving the capacity of your institution and the people in it	6	3	5	1	0	0	2.07	15
<i>answered question</i>								15
<i>skipped question</i>								0

How well does GNESD, as it is currently structured, fulfill the following:



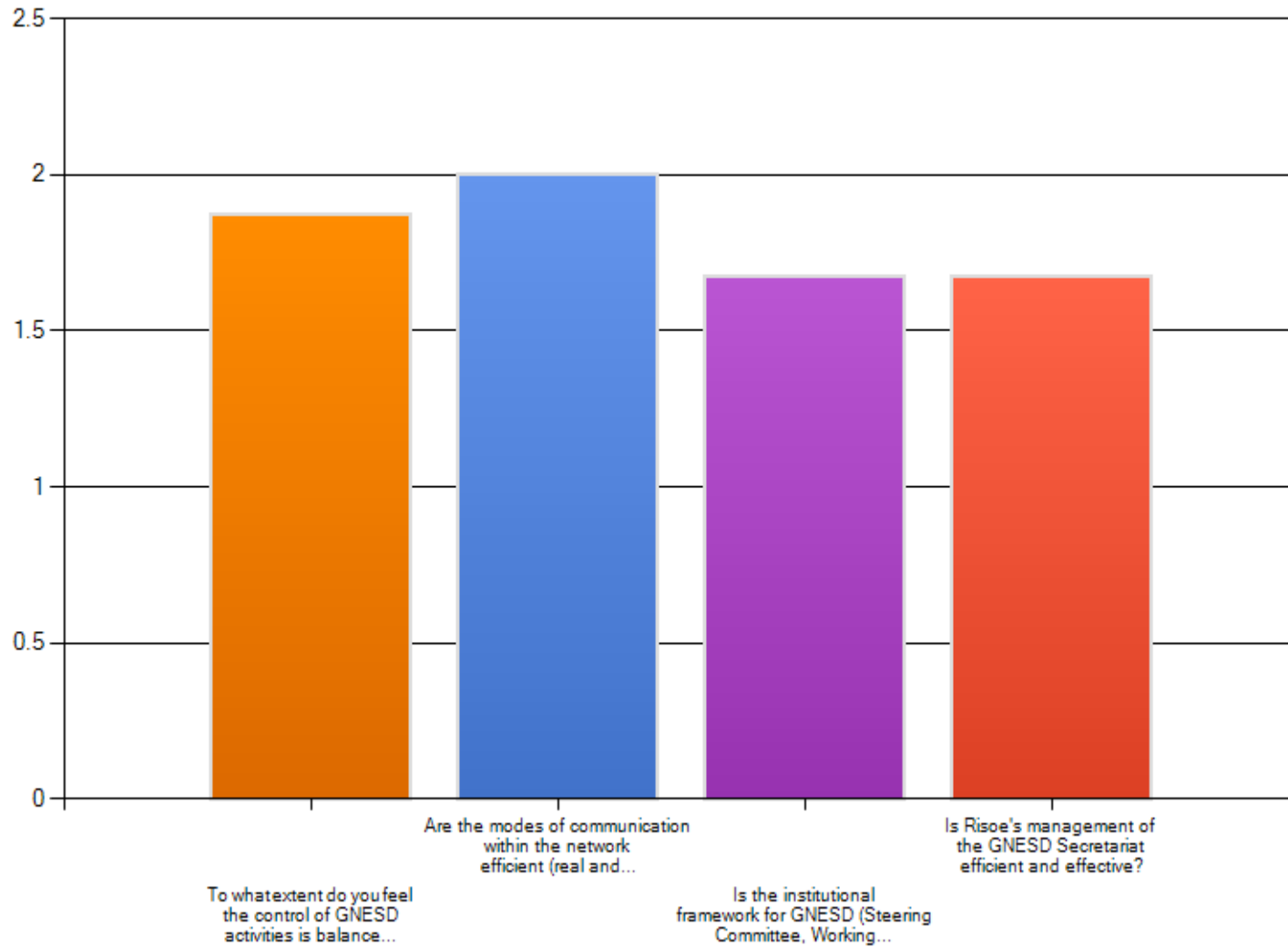
How well does GNESD, as it is currently structured, fulfill the following:



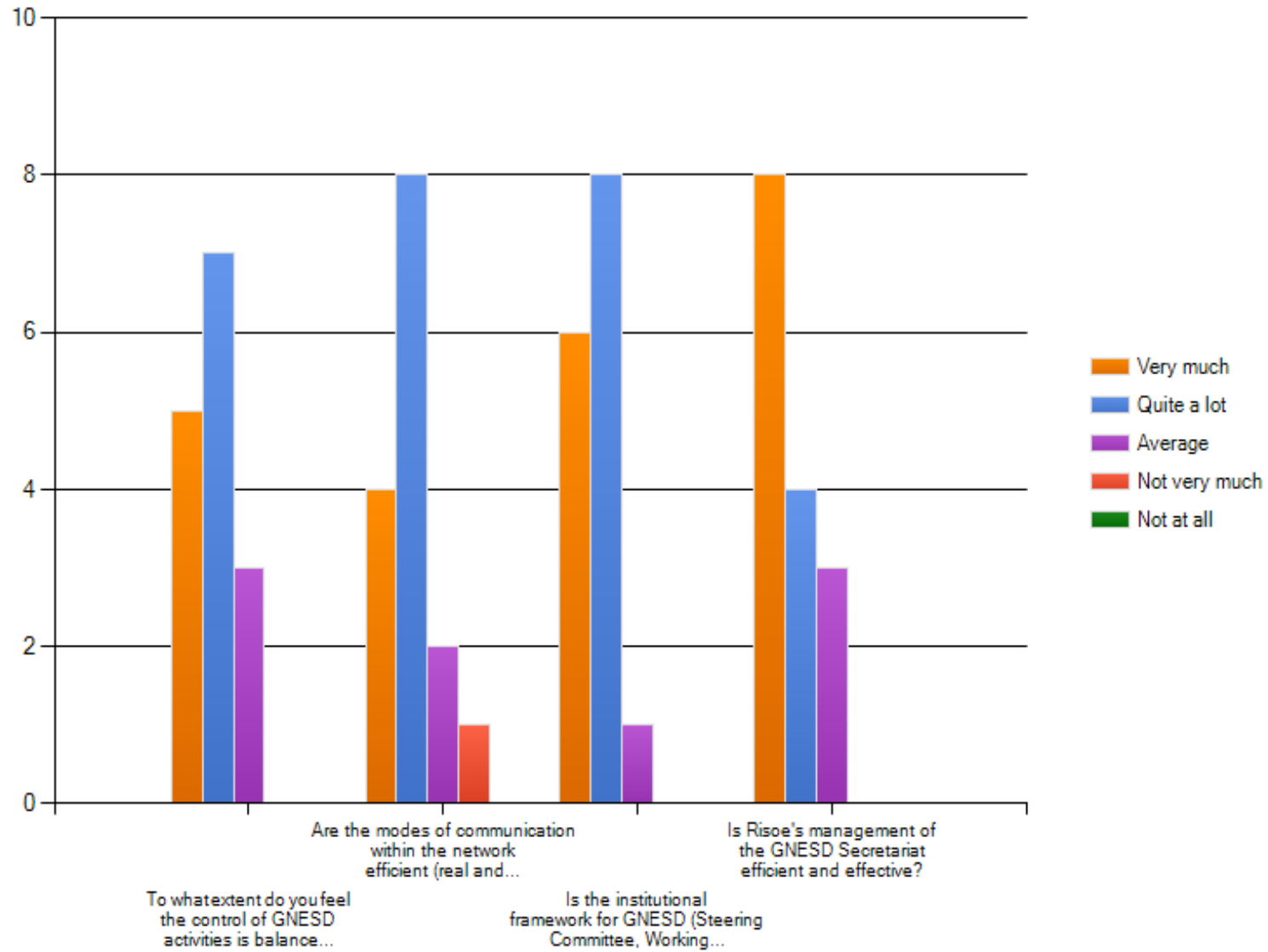
Question 5: “How well is GNESD structured and managed?”

Answer Options	Very much (1)	Quite a lot (2)	Average (3)	Not very much (4)	Not at all (5)	Rating Average	Response Count
To what extent do you feel the control of GNESD activities is balanced between the Steering Committee, the Secretariat and the Centres?	5	7	3	0	0	1.87	15
Are the modes of communication within the network efficient (real and virtual meetings, other communications etc)	4	8	2	1	0	2.00	15
Is the institutional framework for GNESD (Steering Committee, Working Groups, Secretariat) appropriate?	6	8	1	0	0	1.67	15
Is Risoe's management of the GNESD Secretariat efficient and effective?	8	4	3	0	0	1.67	15
answered question							15
skipped question							0

How well is GNESD structured and managed?



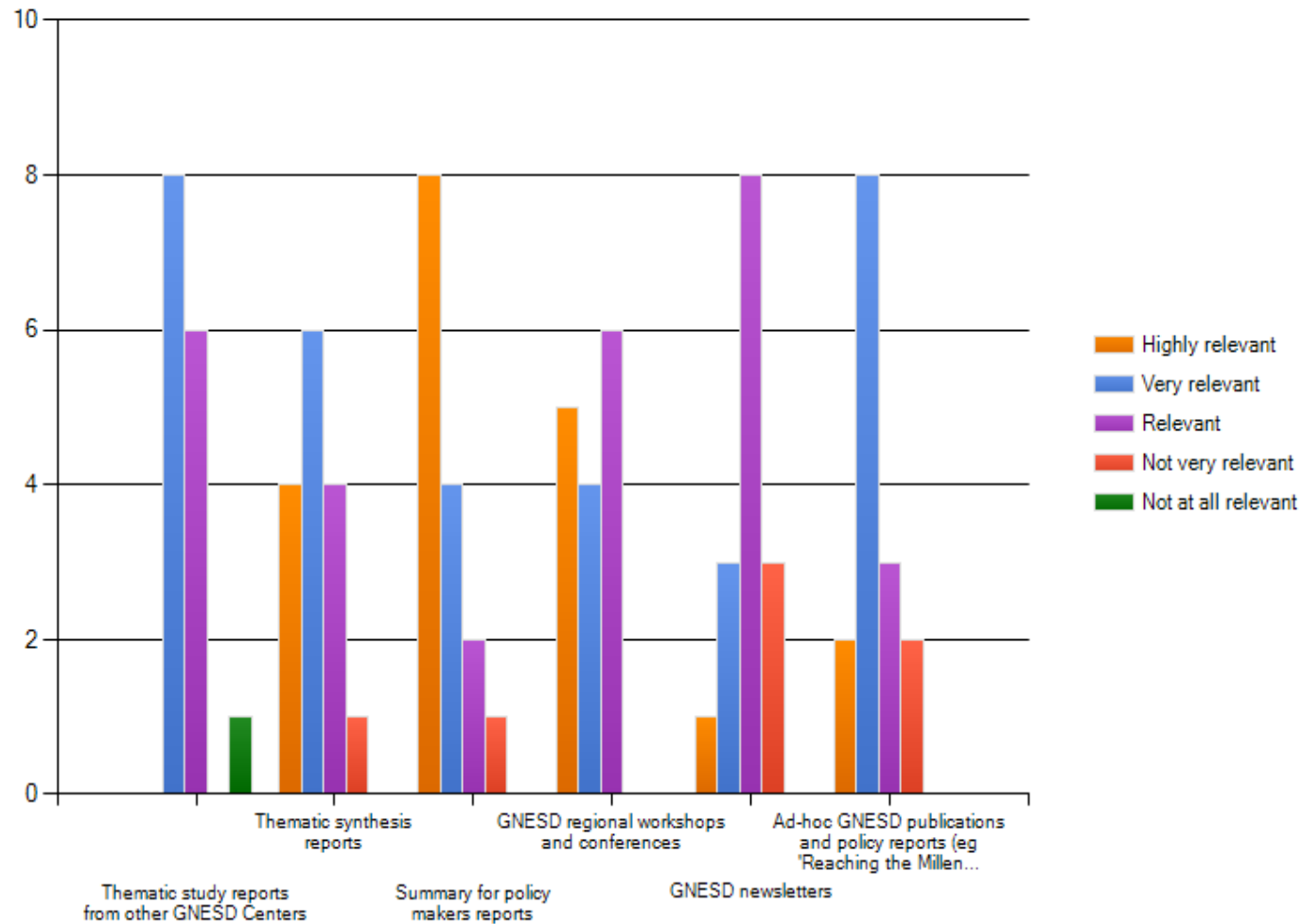
How well is GNESD structured and managed?



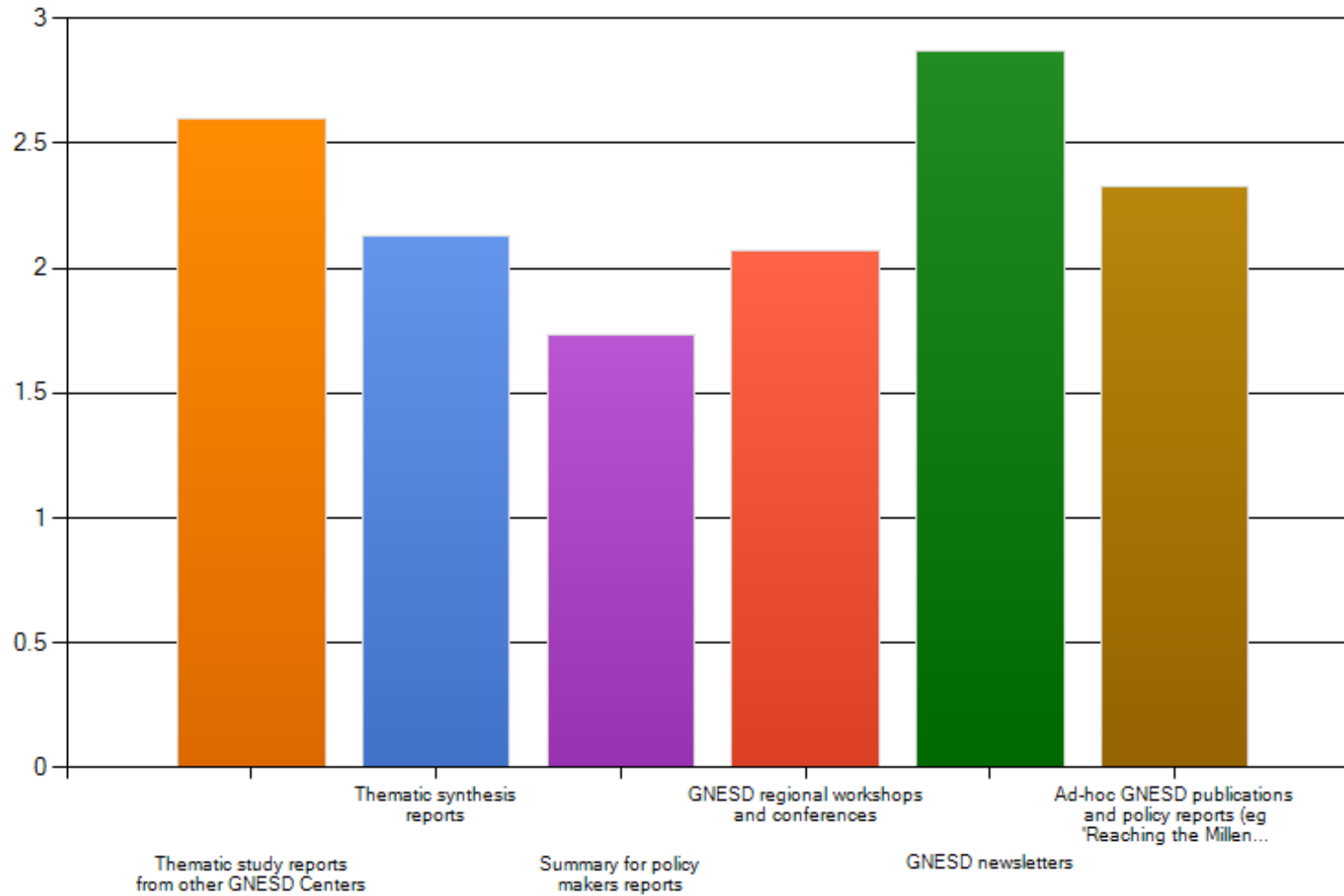
Question 7: “How relevant are the following generic types of GNESD products for your country/region?”

Answer Options	Highly relevant (1)	Very relevant (2)	Relevant (3)	Not very relevant (4)	Not at all relevant (5)	Rating Average	Response Count
Thematic study reports from other GNESD Centers	0	8	6	0	1	2.60	15
Thematic synthesis reports	4	6	4	1	0	2.13	15
Summary for policy makers reports	8	4	2	1	0	1.73	15
GNESD regional workshops and conferences	5	4	6	0	0	2.07	15
GNESD newsletters	1	3	8	3	0	2.87	15
Ad-hoc GNESD publications and policy reports (eg 'Reaching the Millennium Development Goals and beyond!'; Energy for Sustainable Development special issue	2	8	3	2	0	2.33	15
<i>answered question</i>							15
<i>skipped question</i>							0

How relevant are the following generic types of GNESD products for your country or region?



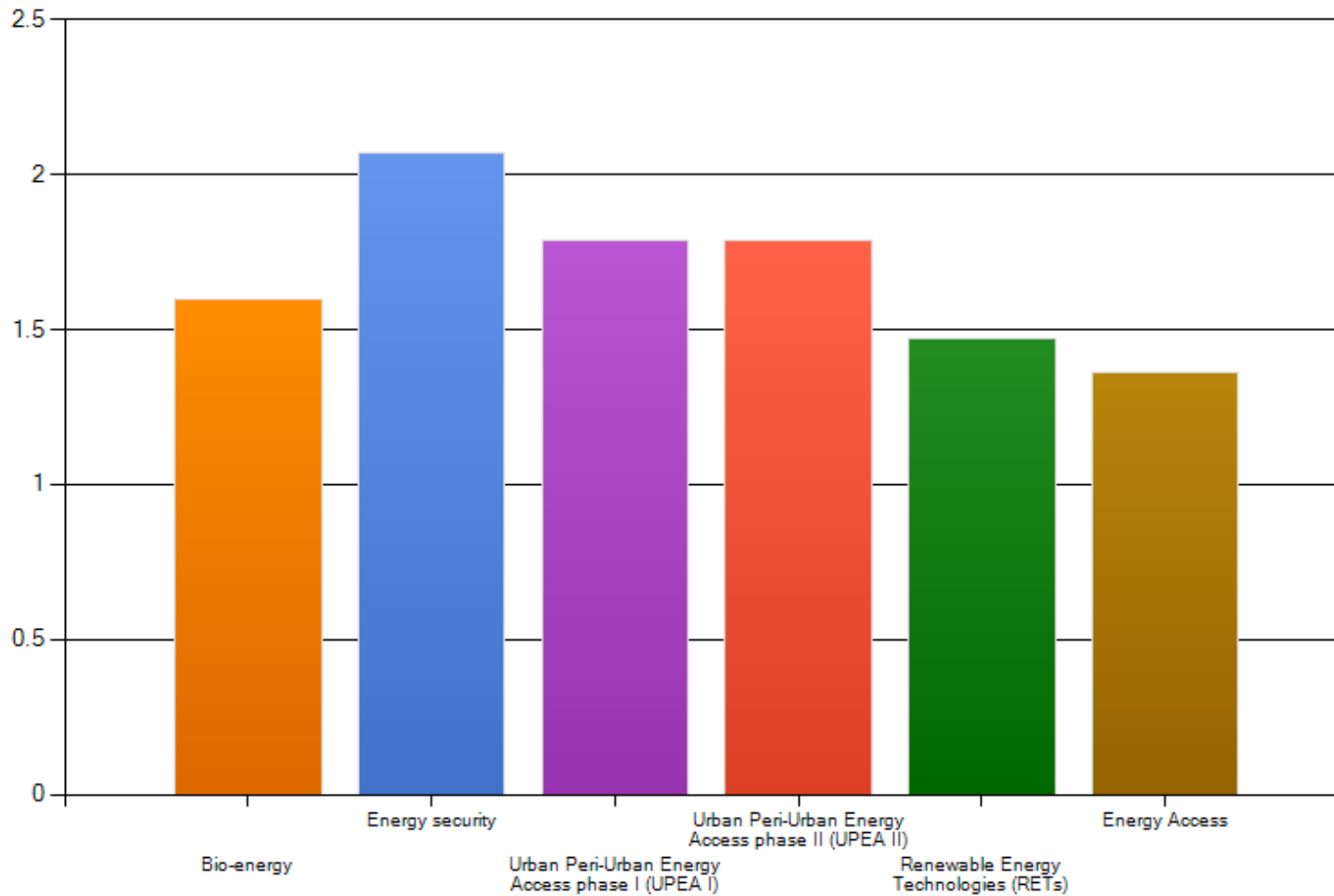
How relevant are the following generic types of GNESD products for your country or region?



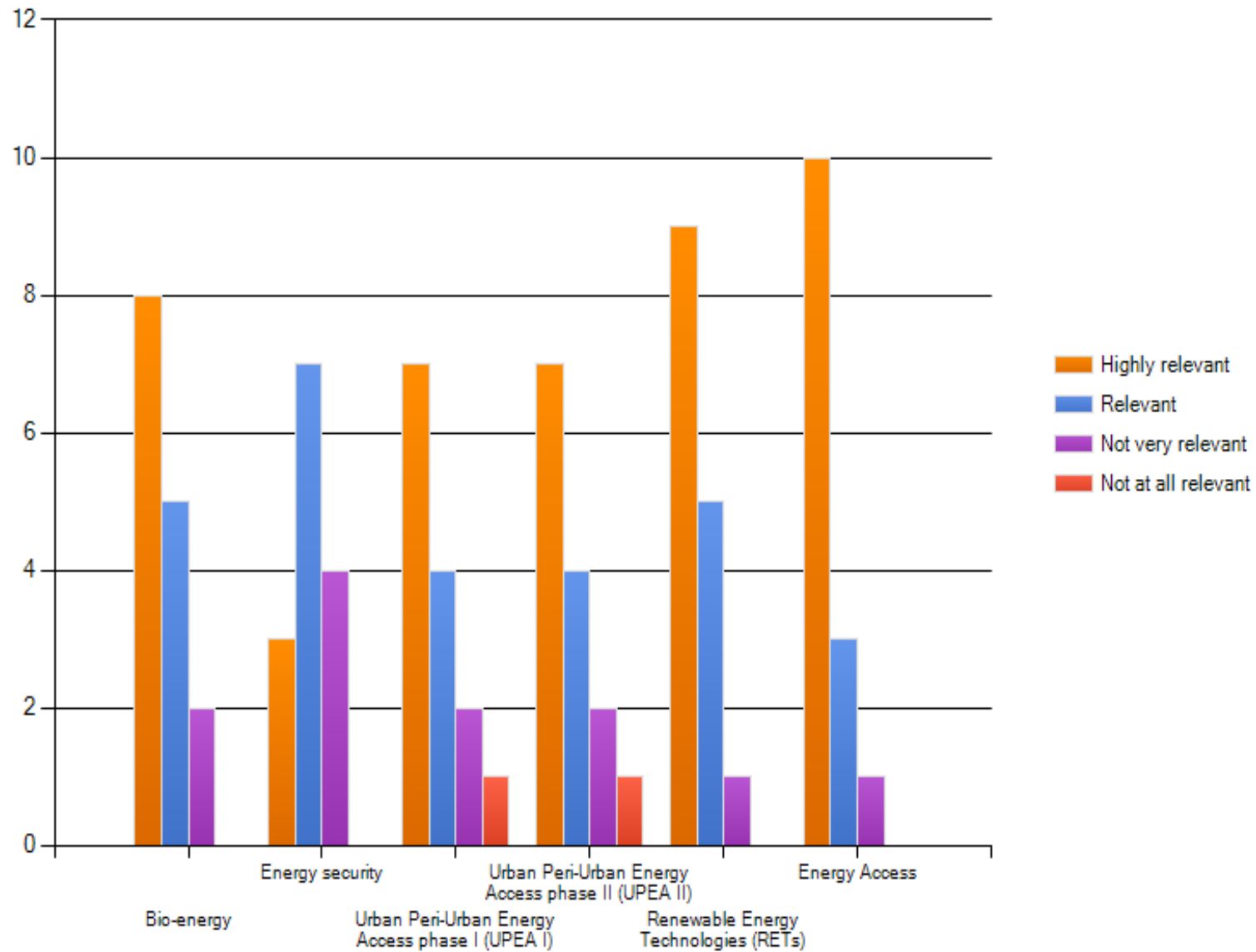
Question 9: “How relevant/important were the following GNESD thematic processes for your country/region?”

Answer Options	Highly relevant (1)	Relevant (2)	Not very relevant (3)	Not at all relevant (4)	Rating Average	Response Count
Bio-energy	8	5	2	0	1.60	15
Energy security	3	7	4	0	2.07	14
Urban Peri-Urban Energy Access phase I (UPEA I)	7	4	2	1	1.79	14
Urban Peri-Urban Energy Access phase II (UPEA II)	7	4	2	1	1.79	14
Renewable Energy Technologies (RETs)	9	5	1	0	1.47	15
Energy Access	10	3	1	0	1.36	14
<i>answered question</i>						15
<i>skipped question</i>						0

How relevant/important were the following GNESD thematic processes for your country/region?



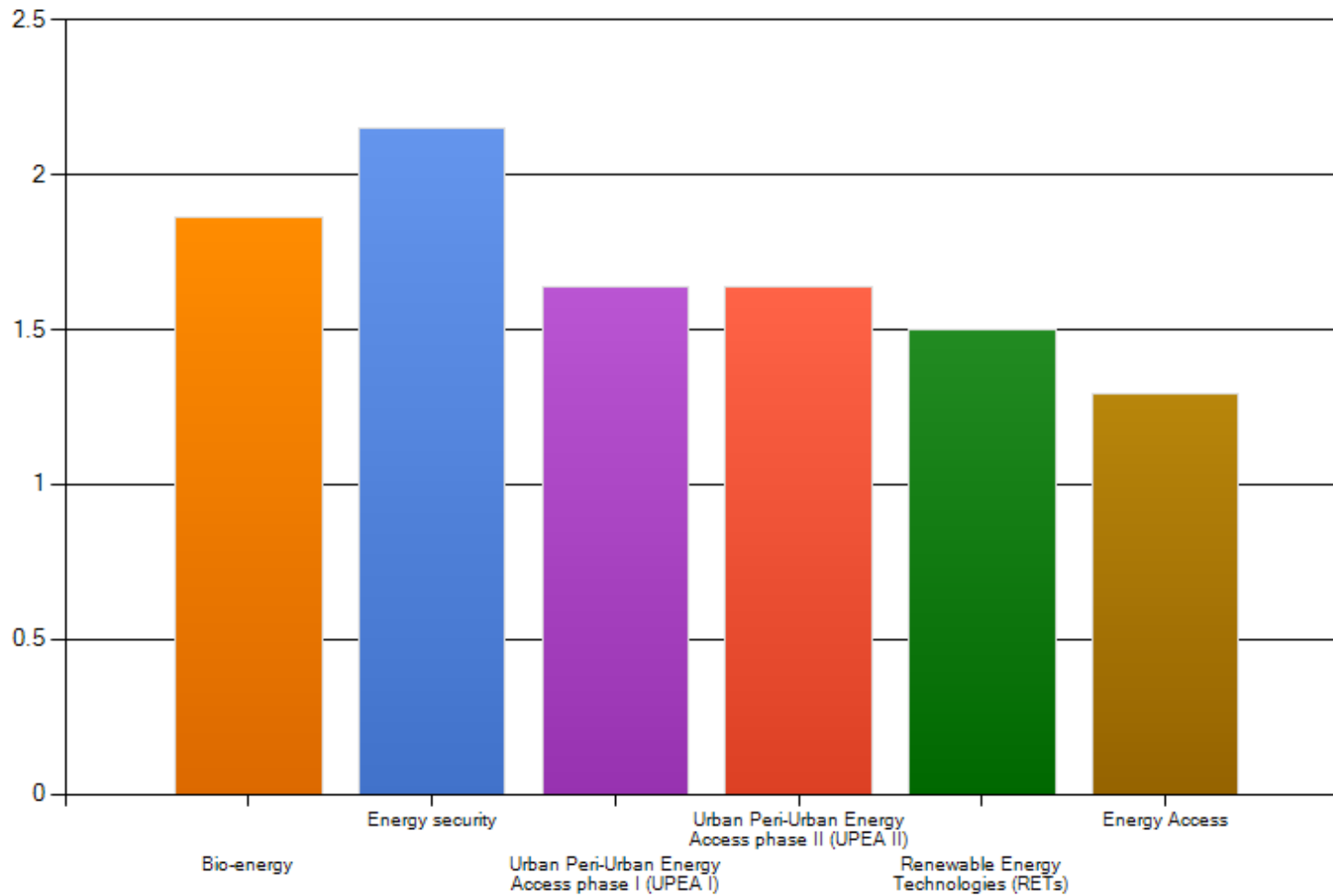
How relevant/important were the following GNESD thematic processes for your country/region?



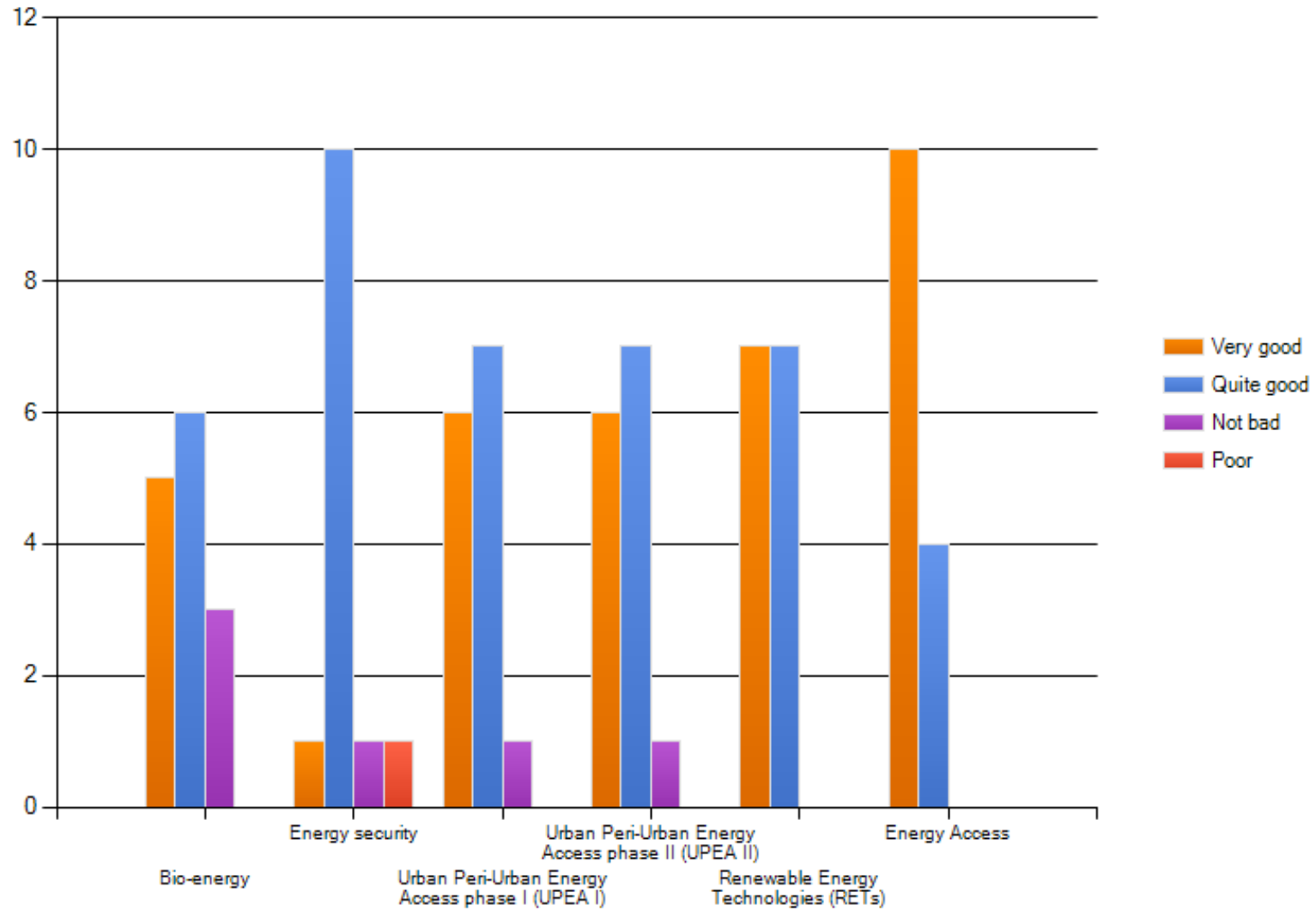
Question 11: “How would you rate the quality (of contents) of outputs from the following GNESD thematic activities?”

Answer Options	Very good (1)	Quite good (2)	Not bad (3)	Poor (4)	Rating Average	Response Count
Bio-energy	5	6	3	0	1.86	14
Energy security	1	10	1	1	2.15	13
Urban Peri-Urban Energy Access phase I (UPEA I)	6	7	1	0	1.64	14
Urban Peri-Urban Energy Access phase II (UPEA II)	6	7	1	0	1.64	14
Renewable Energy Technologies (RETs)	7	7	0	0	1.50	14
Energy Access	10	4	0	0	1.29	14
<i>answered question</i>						15
<i>skipped question</i>						0

How would you rate the quality (of contents) of outputs from the following GNESD thematic activities?



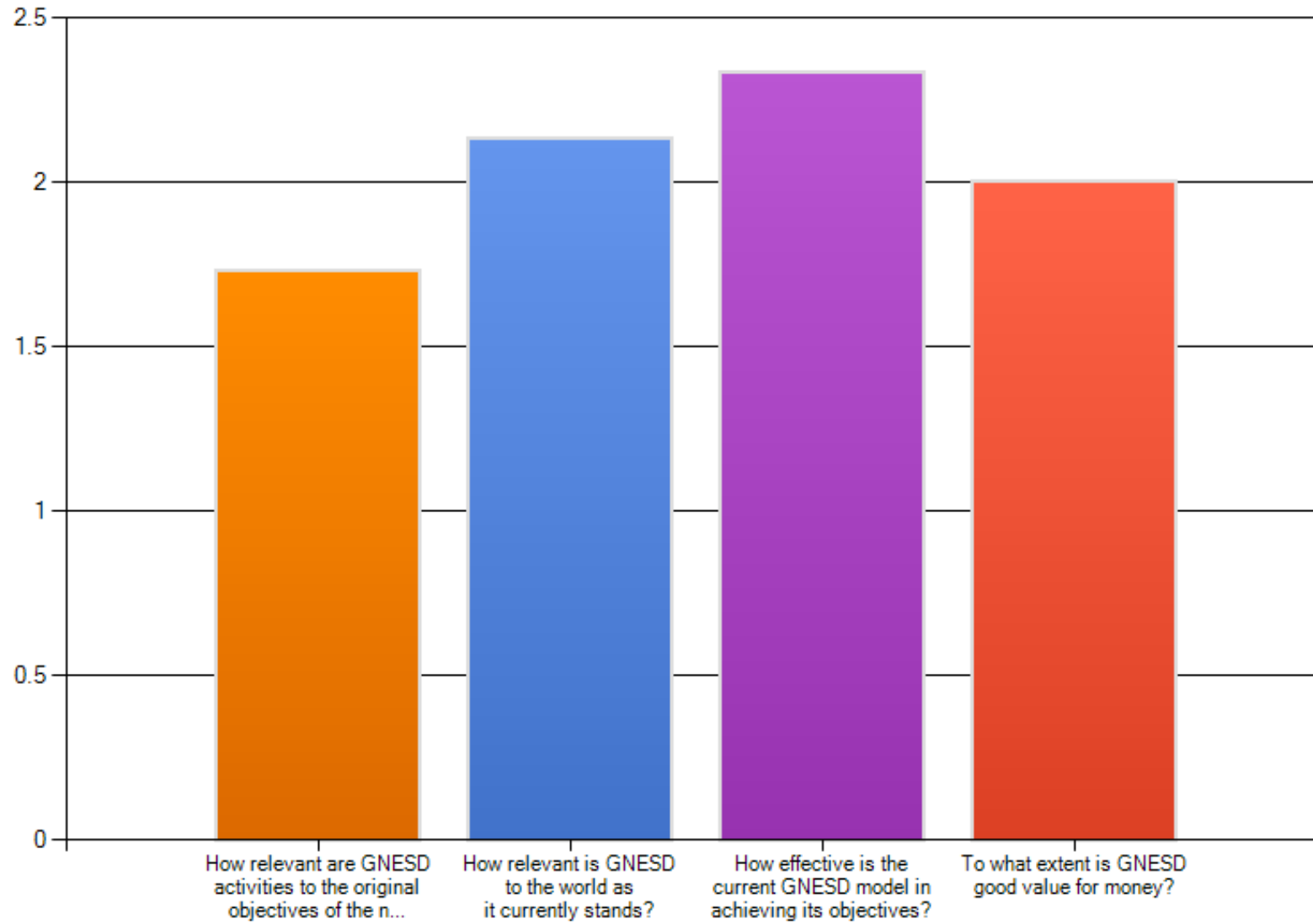
How would you rate the quality (of contents) of outputs from the following GNESD thematic activities?



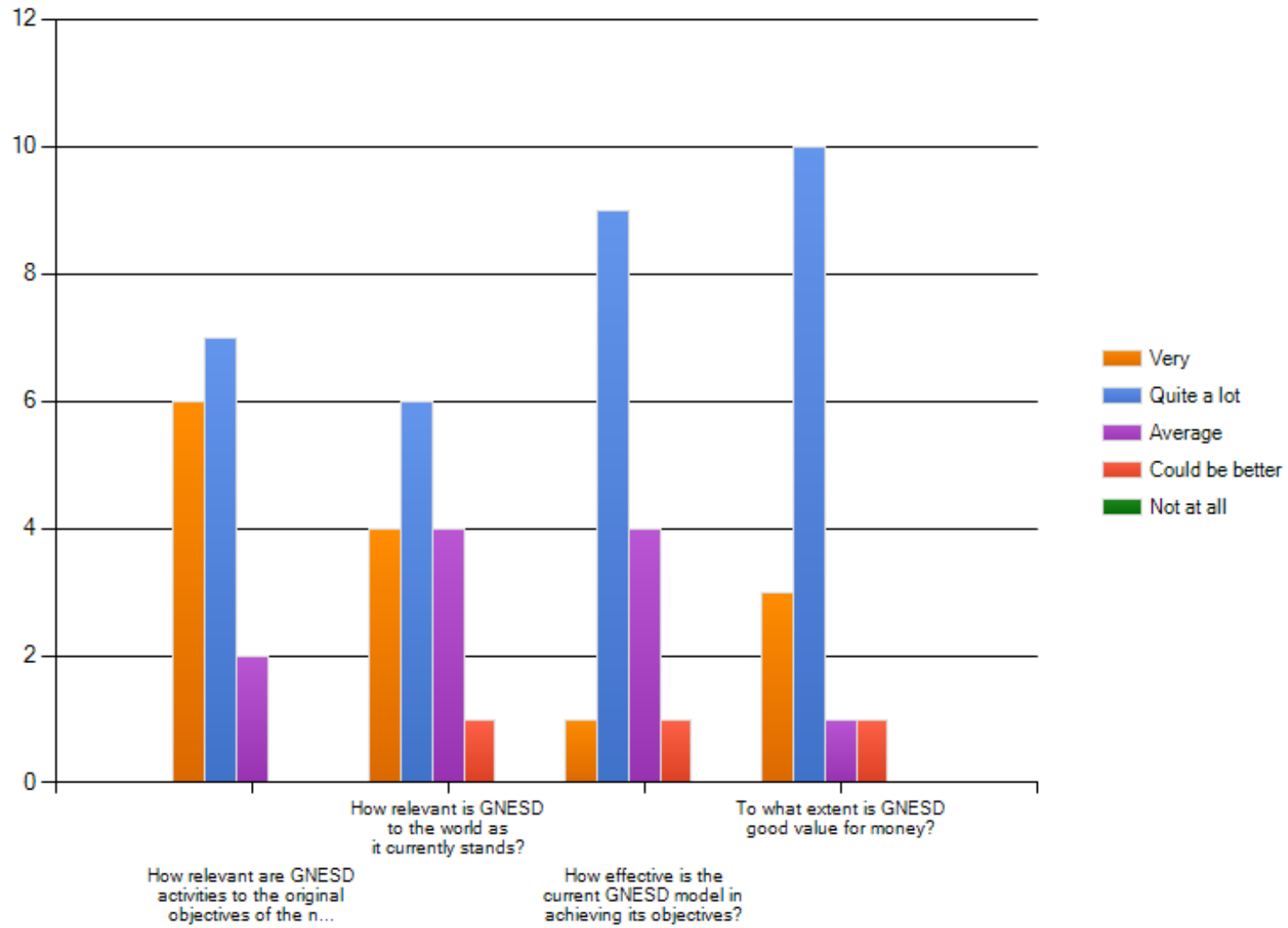
Question 18: “What is your overall view of the following with respect to GNESD?”

Answer Options	Very (1)	Quite a lot (2)	Average (3)	Could be better (4)	Not at all (5)	Rating Average	Response Count
How relevant are GNESD activities to the original objectives of the network?	6	7	2	0	0	1.73	15
How relevant is GNESD to the world as it currently stands?	4	6	4	1	0	2.13	15
How effective is the current GNESD model in achieving its objectives?	1	9	4	1	0	2.33	15
To what extent is GNESD good value for money?	3	10	1	1	0	2.00	15
<i>answered question</i>							15
<i>skipped question</i>							0

What is your overall view of the following with respect to GNESD?



What is your overall view of the following with respect to GNESD?



APPENDIX D: LIST OF DOCUMENTS REVIEWED AND CONSULTED

- Minutes of Network Assembly meetings (all) (GNESD Intranet)
- Presentations accompanying minutes of Network Assembly meetings (GNESD Intranet)
- Minutes of Working Groups and accompanying documents, sampled (GNESD Intranet)
- Minutes of Steering Committee meetings, all years (GNESD Intranet)
- GNESD ProDoc (United Nations Environment Programme - PROJECT SUMMARY, Project Identification, Global Network on Energy for Sustainable Development, Project number CP/4040-03-XX, Commencing: March 2003. Completion: August 2005) (source: GNESD Intranet).
Note that the latest version available at the time of this MTE was Version 5.0.
- GNESD Structure version Nov22 (GNESD Intranet)
- GNESD Review 19 Sep Final (provided by GNESD secretariat)
- Annual Work Plan and Timetable for the year 2010-11 (provided by GNESD secretariat)
- Strategic Proposal 2010-219b (provided by GNESD secretariat)
- Inventory of Outputs 2005 (provided by GNESD secretariat)
- PIF 2005-7 (provided by GNESD secretariat)
- Progress Report 2005 (provided by GNESD secretariat)
- UNF report 2006 (provided by GNESD secretariat)
- UNF workplan 2006 (provided by GNESD secretariat)
- GNESD Tangible outputs 2002-7 (provided by GNESD secretariat) Reviewer comments on Centre reports for the UPEA II theme (undated);
- Energy for Sustainable Development Journal special issue on "Energy Access". Issue 4, 2004. The International Energy Initiative;
- External Review of the Global Network on Energy for Sustainable Development (GNESD), undertaken by Danish Institute for International Studies (September 2008); (DIIS, 2008)
- Helping researchers become policy entrepreneurs – Briefing Paper, September 2009. Overseas Development Institute. ODI, 2009.

APPENDIX E: SUMMARY CO-FINANCE INFORMATION AND A STATEMENT OF PROJECT EXPENDITURE BY ACTIVITY***Leveraged Resources***¹⁵

The latest period for which confirmed figures for sums donated to GNESD is 2003-2008 for which the total budget was US\$4,228,484, and the amount received was US\$ 4,935,043. By adding sums “received and pledged” the total either received or pledged between 2003-2010 was US\$6,439,043, while the budget for this period was US\$ 6,047,248. Germany was by far the largest donor, contributing over 70%, while Denmark contributed around 22% (see Figure 9). In addition to these donors contributions, GNESD has leveraged some funds, for co-financing of workshops, from REEEP, GVEP and others; however since these items were not counted within the GNESD budget, quantification of the amounts involved has not been obtained. In addition UNDP has provided financial support for regional workshops in 2005 and 2007 and most recently for outreach activities for the African GNESD Centres.

1. _____

2. ¹⁵ All figures in this section have been extracted from spreadsheet “budget summary 2003-2011 – Budget, Annex II, CPL 5070 2647 343” provided by the GNESD Secretariat

Annex E – Part I - Table showing donor contributions to GNESD and disbursements between 2003 and 2008 (and 2003-2010 using pledged figures for donations in 2009 and 2010)

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants (2003-2008)				4.935				4.935		4.229
Grants (2003-2010) using figures for pledges for 2009 and 2010				6.439				6.439		6.047
Loans/Concessional (compared to market rate)										
Credits										
Equity investments										
In-kind support										
Other (*)-										
TOTALS (2003-2008)				4.935				4.935		4.229

AnnexE – Part II - GNESD project CP/4040-03-16 – statement of project expenditure by activity

12/7/09

	2003	2004	2005	2006	2007	2008	2009	2010	2011	Balance	Crystal	2009
	USD	USD	USD	Exp	Exp	Exp	USD			USD	2009	Variance
1100 Project personnel												
1101 Programme Officer (Riso, roll)	70,681	117,963	91,965	132,554	81,699	223,701	135,000	138,000	140,000	1,131,563	102,146	32,854
1102 Assistant Prog. Officer	43,558	0	0	0	0	0	0	0	0	43,558	0	0
1181 Head	0	0	0	201,950	219,804	0	473,000	240,000	250,000	1,384,754	473,000	0
1199 Sub-total	114,239	117,963	91,965	334,504	301,503	223,701	608,000	378,000	390,000	2,559,875	575,146	32,854
1600 Travel												
1601 RISO Travel	12,408	17,360	24,569	20,919	11,147	17,865	18,250	25,000	25,000	172,518	18,250	0
1699 Sub-total	12,408	17,360	24,569	20,919	11,147	17,865	18,250	25,000	25,000	172,518	18,250	0
1999 Component Total	126,647	135,323	116,534	355,423	312,650	241,566	626,250	403,000	415,000	2,732,393	18,250	0
2200 Sub-contracts												
2201 Sub-contracts	225,398	273,794	273,123	207,989	180,487	456,621	355,947	196,355	304,146	2,473,860	228,302	127,645
2301 Web design and communication	15,393	0	0	0	0	2,101	17,899	5,000	5,000	45,393	17,899	0
2399 Sub-total	240,791	273,794	273,123	207,989	180,487	458,722	373,846	201,355	309,146	2,519,253	246,201	127,645
2999 Component Total	240,791	273,794	273,123	207,989	180,487	458,722	373,846	201,355	309,146	2,519,253	246,201	127,645
3300 Meetings												
3301 Working group meetings	23,403	62,610	56,744	6,809	29,374	47,077	42,574	29,793	0	298,384	-17,633	60,207
3302 Annual Partner meeting	38,358	31,230	25,489	26,316	882	47,272	45,392	56,000	0	270,939	11,392	34,000
3399 Sub-total	61,761	93,840	82,233	33,125	30,257	94,349	87,966	85,793	0	569,324	-6,242	94,208
3999 Component Total	61,761	93,840	82,233	33,125	30,257	94,349	87,966	85,793	0	569,324	-6,242	94,208
5200 Reporting costs												
5201 Reporting/Publications	6,813	21,005	6,383	25,093	0	15,200	5,554	15,000	16,804	111,852	5,554	0
5299 Sub-total	6,813	21,005	6,383	25,093	0	15,200	5,554	15,000	16,804	111,852	5,554	0
5500 Monitoring & Evaluation												
5501 Evaluation	0	0	0	0	0	0	0	20,000	25,000	45,000	25,000	-25,000
5599 Sub-total	0	0	0	0	0	0	0	20,000	25,000	45,000	25,000	-25,000
5999 Component Total	6,813	21,005	6,383	25,093	0	15,200	5,554	35,000	41,804	156,852	30,554	-25,000
Grand Total	436,012	523,962	478,273	621,630	523,394	809,837	1,093,616	725,148	765,950	5,977,822	863,909	229,707
Previous budget Rev 7	436,012	523,962	478,273	621,630	523,394	1,173,045	500,701	0	0	4,257,018		
Net Change	0	0	0	0	0	-363,208	592,915	725,148	765,950	1,720,804		

NB: Post 1102 transferred to Riso VI line CP/4040-02-10-1112

APPENDIX F: PROJECT RISK ASSESSMENT

INTERNAL RISK Project management										
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined	NOTES
Management structure	Stable with roles and responsibilities clearly defined and understood	Individuals understand their own role but are unsure of responsibilities of others	Unclear responsibilities or overlapping functions which lead to management problems		√					Management structure stable and generally effective. Further clarity could be brought to responsibilities of Secretariat/Centres with reference to outreach.
Governance structure	Steering Committee and/or other project bodies meet periodically and provide effective direction/inputs	Body(ies) meets periodically but guidance/input provided to project is inadequate	Members lack commitment (seldom meet) and therefore the Committee/body does not fulfill its function	√						Steering Committee meets regularly and appears effective in providing strategic direction.
Internal communications	Fluid and cordial	Communication process deficient although relationships between team members are good	Lack of adequate communication between team members leading to deterioration of relationships and resentment / factions	√						Social capital within the network is strong, and communications appear cordial. Some improvement in the technology used for remote communications could be made.

Work flow	Project progressing according to work plan	Some changes in project work plan but without major effect on overall implementation	Major delays or changes in work plan or method of implementation		√					Risk that some Centres become overloaded if multiple activities ongoing in parallel. Risk that delays in some thematic activities adversely affect other work-flow items.
Co-financing	Co-financing is secured and payments are received on time	Is secured but payments are slow and bureaucratic	A substantial part of pledged co-financing may not materialize			√				GNESD is entirely reliant on donor financing, which is not certain for the future; hence the rating.
Budget	Activities are progressing within planned budget	Minor budget reallocation needed	Reallocation between budget lines exceeding 30% of original budget		√					Activities generally in line with budget forecasts.
Financial management	Funds are correctly managed and transparently accounted for	Financial reporting slow or deficient	Serious financial reporting problems or indication of mismanagement of funds	√						Financial reporting appears adequate and transparent, although some stream-lining in reporting could be achieved.
Reporting	Substantive reports are presented in a timely manner and are complete and accurate with a good analysis of project progress and implementation issues	Reports are complete and accurate but often delayed or lack critical analysis of progress and implementation issues	Serious concerns about quality and timeliness of project reporting		√					Reports are produced in various formats. Some streamlining and improvement could be achieved to 1) provide a common format at all stakeholders and 2) allow clearer tracking of progress against planned activities.
Stakeholder involvement	Stakeholder analysis done and positive feedback from critical stakeholders and partners	Consultation and participation process seems strong but misses some groups or relevant partners	Symptoms of conflict with critical stakeholders or evidence of apathy and lack of interest from partners or other stakeholders		√					Internal stakeholders (within GNESD) committed. The next period requires further engagement with stakeholders making up the target audience for GNESD outputs.

External communications	Evidence that stakeholders, practitioners and/or the general public understand project and are regularly updated on progress	Communications efforts are taking place but not yet evidence that message is successfully transmitted	Project existence is not known beyond implementation partners or misunderstandings concerning objectives and activities evident		√					External communications need to be improved, both to spread specific GNESD knowledge to target audiences and to raise awareness of GNESD in the donor community.
Short term/long term balance	Project is meeting short term needs and results within a long term perspective, particularly sustainability and replicability	Project is interested in the short term with little understanding of or interest in the long term	Longer term issues are deliberately ignored or neglected	√						Assuming the next phase improves outreach to policy audiences, there is a reasonable balance between <i>internal</i> and <i>external</i> objectives.
Science and technological issues	Project based on sound science and well established technologies	Project testing approaches, methods or technologies but based on sound analysis of options and risks	Many scientific and /or technological uncertainties					√		
Political influences	Project decisions and choices are not particularly politically driven	Signs that some project decisions are politically motivated	Project is subject to a variety of political influences that may jeopardize project objectives	√						Few signs of political influence. Care should be taken to ensure that theme selection is relevant to policy audiences.

EXTERNAL RISK									
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	Not Applicable	To be determined	NOTES
Political stability	Political context is stable and safe	Political context is unstable but predictable and not a threat to project implementation	Very disruptive and volatile	√					Political situation varies within GNESD countries/regions.
Environmental conditions	Project area is not affected by severe weather events or major environmental stress factors	Project area is subject to more or less predictable disasters or changes	Project area has very harsh environmental conditions				√		

198.

<p>Social, cultural and economic factors</p>	<p>There are no evident social, cultural and/or economic issues that may affect project performance and results</p>	<p>Social or economic issues or changes pose challenges to project implementation but mitigation strategies have been developed</p>	<p>Project is highly sensitive to economic fluctuations, to social issues or cultural barriers</p>		<p>√</p>				<p>Achieving impacts through GNESD outputs is subject to economic and social conditions in GNESD countries and regions. This is understood by GNESD Centres.</p>
<p>Capacity issues</p>	<p>Sound technical and managerial capacity of institutions and other project partners</p>	<p>Weaknesses exist but have been identified and actions is taken to build the necessary capacity</p>	<p>Capacity is very low at all levels and partners require constant support and technical assistance</p>		<p>√</p>				<p>Capacity limitations in some GNESD Centres; to be managed by good organization of work-flow.</p>

APPENDIX G: THE EXPERTISE OF THE EVALUATION TEAM

Name: Phillip Alan Grant Mann

Profession: Consultant Researcher - Energy and Environment in Developing Countries

Date of Birth: 5th April 1964

Nationality: British

Key skills and experience:

- Over 20 years professional energy experience, devoted to strategic consultancy, policy development, communication, and project and programme management. Four years experience working for a multi-lateral donor (European Commission).
- Analysing and developing policy for energy and climate within a development co-operation context.
- Specialist in carbon finance and its application to poverty-related energy service provision (in particular improved cooking).
- Evaluating energy/poverty programmes.
- Developing strategic approaches for integrating energy within national and regional strategies for reducing poverty in developing countries.
- Building consensus among multi-disciplinary teams, and working to inform and influence high-level decision-makers in government and the private sector.
- Technical expertise in energy matters, especially cooking, renewable energy and energy efficiency in all sectors in developing and developed countries.
- Understanding of key issues associated with improving access to energy services in developing countries: energy planning, institutional arrangements, capacity building, regulatory frameworks, financing mechanisms.
- Over 14 years experience in project and programme design, appraisal and management in developed and developing countries.
- Strong drafting and communication skills, including formation of EC energy policy for developing countries.
- Experience of living and working in developing countries: Nepal and Sierra Leone, including the instigation of a rural biomass and renewable energy project.

Education:

- University of Oxford, Environmental Change Institute (2007 - present) PhD research on *Transitions to clean cooking in India*.
- M.Sc. (*Distinction*) in 'Environmental Change and Management' University of Oxford, Environmental Change Institute (1998 – 1999) M.Sc. (*awarded Distinction*) in 'Environmental Change and Management'.
- University of Nottingham (1983 – 1986) BSc Joint Honours (Upper Second) Physics and Philosophy.