

Appendix A. Program Descriptions

Global Partnership for Output-Based Aid

ORIGIN

The “Output-Based Aid” approach was introduced through the Bank's Private Sector Development strategy in 2002 and GPOBA was launched in 2003 to mainstream the OBA approach in the Bank's program, particularly in health, education and infrastructure. OBA is a mechanism for supporting the delivery of basic infrastructure and social services where policy concerns justify the use of explicit, performance-based subsidies. At the core of the OBA approach is the contracting out of service provision to a third party – usually a private operator but also possibly a community-based organization (CBO), a non-governmental organization (NGO), or even a public service provider – with payments made after the delivery of specified outputs. The purpose of GPOBA was to help the World Bank Group develop expertise in output-based aid by developing pilot projects and disseminating results. GPOBA was established by the United Kingdom’s Department for International Development (DFID) as a multi-donor trust fund administered by the World Bank.

OBJECTIVES

The goals of GPOBA are to facilitate increased access to reliable infrastructure and social services by the poor in developing countries, by developing best practice techniques for, and encouraging the broader use of, OBA approaches for the provision of these services, and to facilitate the sharing of best practice and experience among the broader stakeholder community.

The objective of the Partnership is to learn how OBA approaches can deliver basic services by: (1) supporting the design, implementation and evaluation of a program of individual pilot OBA schemes; (2) facilitating the identification and dissemination of knowledge on issues relating to the role and application of OBA; and (3) contributing to the financing of output-based payments for services under OBA schemes.

To achieve its objectives the program supports a range of activities funded through three windows:

- Window 1: Financing studies and other inputs to assist in the design, implementation and evaluation of projects piloting the OBA approach.

APPENDIX A
PROGRAM DESCRIPTIONS

- Window 2: Financing activities to help identify and disseminate emerging knowledge on issues relating to the role and application of OBA services.
- Window 3: Contributing to the financing or co-financing of individual pilot OBA schemes and national or sub-national OBA facilities.

GOVERNANCE AND MANAGEMENT

GPOBA is governed by a Program Council and has a typical shareholder model of governance. The Program Council is comprised of representatives of each donor (called Partners), including a representative of the World Bank. The Partnership is open to participation by official donors or international organizations agreeing to make the prescribed minimum contribution to the Partnership (\$250,000 annually). The World Bank Group may meet the required minimum annual contribution to the Core Fund through a combination of administrative budget and in-kind contributions. Current members of the Program Council included the United Kingdom’s Department for International Development (DFID), IFC, Netherlands (DGIS), Australian Department of Foreign Affairs and Trade (DFAT, formerly AusAID) and Swedish International Development Agency (SIDA).

The Program Council is responsible for setting GPOBA policies and strategies, approving its annual work plan and financial plan, overseeing the Program Management Unit and reviewing GPOBA’s performance.

The Bank’s representative serves as Chair of the Program Council, hosts GPOBA's Program Management Unit (PMU) and administers the trust funds. GPOBA's Management Unit reports to the Program Council and the Bank's Finance, Economics and Urban development Department. The head of the Program Management Unit is designated by the same department and is not selected by the Program Council, which is often the case with other partnerships hosted in the Bank. The program is managed by Management unit housed in the Bank.

FINANCING AND DISBURSEMENT

GPOBA funding is comprised of a Multi-Donor Trust Fund called the Core fund, and not-core funds which are single trust funds earmarked for eligible activities in particular regions, sectors or themes. Currently, the DFID Challenge Fund, the IFC performance-based Grant Initiative Fund, the Dutch GPOBA Water and Sanitation fund, and the DFID Phase 2 Fund are established as non-Core funds.¹

Table A.1. Annual Receipt of Donor Contributions to GPOBA, FY 2007–2013 (US\$ millions)

	FY07	FY08	FY09	FY10	FY11	FY12	FY13	Total Received
Australia	0.25	4.20	24.60			8.30		37.35

	FY07	FY08	FY09	FY10	FY11	FY12	FY13	Total Received
European Union			1.00				0.80	1.80
IFC		25.50			37.30			62.80
Netherlands	11.00	8.00	9.30					28.30
Sweden		6.90		8.90	2.20		20.80	38.80
United Kingdom	21.70	13.30	10.20	19.20	14.40	11.20	6.80	96.80
Total	32.95	57.90	45.10	28.10	53.90	19.50	28.40	328.65

Source: GPOBA Annual Reports.

Table A.2. Annual GPOBA Expenditures/Disbursements (US\$millions)

	FY07	FY08	FY09	FY10	FY11	FY12	FY13	Total
Subsidies	1.15	6.52	1.46	4.73	15.87	13.00	16.60	59.34
Other Program Activities	2.79	3.15	4.44	6.67	11.57	11.08	12.24	56.90
Mgmt. & Admin Costs	1.00	1.10	1.90	2.30	3.35	1.77	1.80	13.22
Total	4.93	10.77	7.80	13.70	30.80	25.85	30.65	129.47
Percent Administration	20	10	24	17	11	7	6	
	percent	percent	percent	percent	percent	percent	percent	

Source: Total amounts and subsidy amounts from Concessional Finance and Global Partnership (CFP) Database; Mgmt. & Admin. Costs from Annual Reports.

Note: This table represents all GPOBA programs, not just energy access.

GRANT PROCESS

Application for GPOBA funding is open to international financial institutions, bilateral donors, NGOs, public and private operators, and national and local governments. Proposals are submitted by a Bank team, and for Recipient Executed Trust Funds (RETFs), an endorsement letter from the client government is required.

The project selection and approval process for each of the “windows” is different. The program’s operation manual sets out how activities under each window will be selected, supervised, monitored and reported on. Besides the general eligibility criteria set out in the Operations Manual², each of the partners/donors that set up non-core funds has its own eligibility and approval criteria. These donors also have different criteria for evaluating and selecting Window 3 (i.e., Subsidy) projects. For example, DFID and IFC have restricted their allocations under Window 3 for the World Bank Group only, while the Dutch did not put place such a limitation. DFID and IFC and the MDTF donors review all concept notes for each Window 3 activity, while the Dutch left it at discretion of the GPOBA program Manager. For Window 3, a panel of three experts in the field of a particular service will assess projects recommended by the GPOBA Program Manager, and endorse them or otherwise, prior to those projects being submitted for approval in accordance with the approval mechanisms specified by the Donors. It is a two-stage approval process comprised

APPENDIX A PROGRAM DESCRIPTIONS

of initial assessment of project eligibility and a final review to determine its readiness for implementation. Approval of a Window 3 subsidy project can take about 6 months. According to the Program the reviews of all RETF projects started to follow a Small RETF Grants Directive which was adopted by OPCS in 2012, making the process unified across the Bank. Some donors provide “No Objections” to the GPOBA projects based on the Administration Agreements with the Bank. No separate “evaluation criteria” exist. Furthermore, the donor agreed to increase the threshold for the need for No Objection from \$75,000 to \$500,000 in 2014. This however, is not reflected in the program’s Operational Manual.

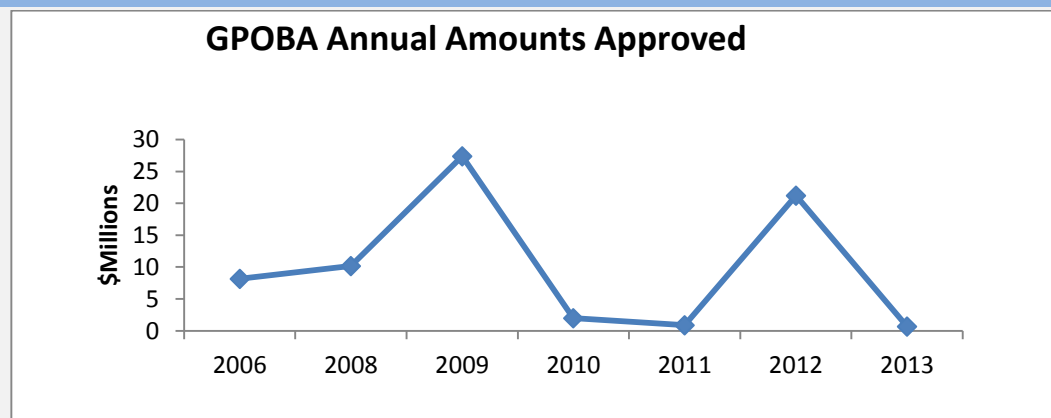
REPORTING

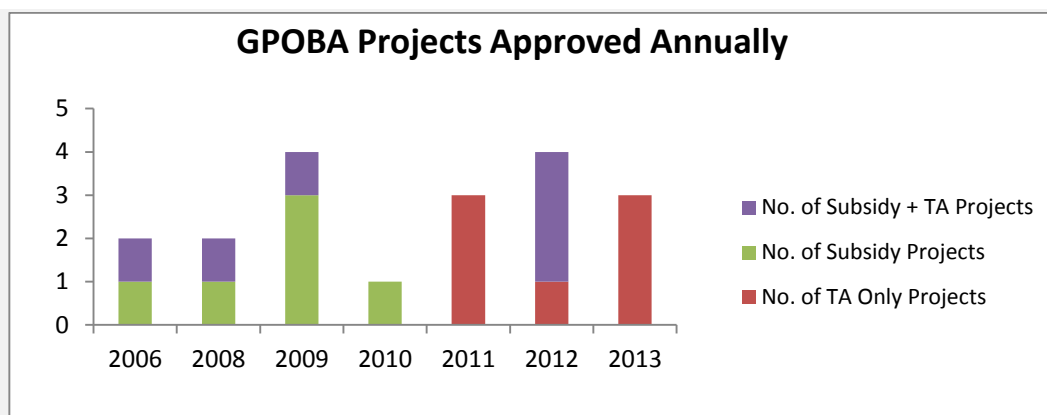
The PMU reports to the Program Council. The operating principles provide a quite detailed list of reporting and auditing arrangements for all GPOBA activities that should be submitted to the Program Council. The PMU prepares semi-annual progress reports for all activities as well as prepares annual report to the Program Council. At the activity level, the Bank Team prepares GRM reports as well as contributes to the semi-annual monitoring report. GPOBA has not undergone independent evaluation since 2007. It is undergoing annual reviews by DFID that are more tailored to the needs of one donor (although major) and cannot substitute for a comprehensive external evaluation. These reports are also not disclosed.

ENERGY ACCESS PORTFOLIO

Since the first projects were approved in 2006, there have been 19 GPOBA projects approved and in implementation, representing \$70.54 million of which the lion share, \$68.77 went to subsidy investment projects.

Figure A.1. GPOBA Projects





Source: Annual reports.

GPOBA has been most active in the Africa region, with eight projects there, followed by South Asia with five projects.

Figure A.2. GPOBA Projects By Region 2006-2013

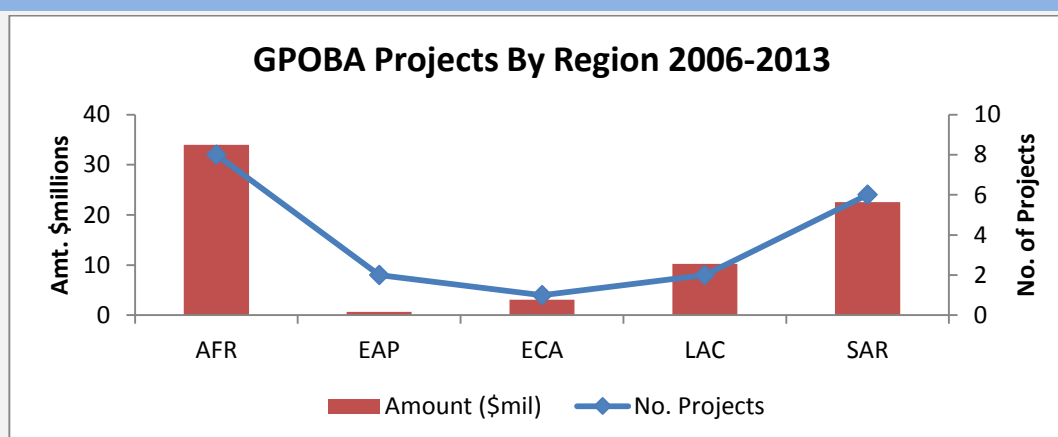


Table A.3. List of GPOBA Energy Access Projects

Country	Region	Project Name	Grant Amount (US\$mil)	Start year/FY	End/FY	GPOBA type
Armenia	ECA	Access to Gas & Heat supply for poor	3.10	2006	Closed	Subsidy + TA
Bangladesh	SAR	Rural Electrification and Renewable Energy Development – Mini Grid Project	1.10	2009	Active	Subsidy
Bangladesh	SAR	Rural Electrification and Renewable Energy Development – Solar Home Systems Project	13.95	2009	Active	Subsidy

APPENDIX A
PROGRAM DESCRIPTIONS

Country	Region	Project Name	Grant Amount (US\$mil)	Start year/FY	End/FY	GPOBA type
Bolivia	LAC	Decentralized Electricity for Universal Access	5.18	2008	Closed	Subsidy + TA
Colombia	LAC	Natural Gas Distribution for Low Income Families in the Caribbean Coast	5.09	2006	Closed	Subsidy
Ethiopia	SSA	Ethiopia Electrification Access Rural Expansion Project	8.00	2009	Closed	Subsidy
Ghana	SSA	Solar PV Systems to increase access to electricity	4.35	2009	Active	Subsidy + TA
India	SAR	Mumbai Improved Electricity Access to Indian Slum Dwellers Project	2.00	2010	Closed	Subsidy
Kenya	SSA	Kenya Electricity Expansion Project	5.00	2012	Active	Subsidy + TA
Liberia	SSA	Monrovia Improved Electricity Access Project	10.00	2012	Active	Subsidy + TA
Nepal	SAR	Nepal- Biogas support Program	5.00	2008	Closed	Subsidy
Uganda	SSA	Uganda Grid-Based OBA Facility Project	6.00	2012	Active	Subsidy + TA
Sub-total for Subsidy projects			68.77			
Bangladesh	SAR	Impact evaluation of Solar home Systems (SHS) (w2)	0.25	2013		TA -KP
Nepal	SAR	Household Renewable Energy Access (W1 support W3)	0.23	2013		Non-lending TA-KP
Philippines	EAP	Philippines Power Sector Strategy Advice (w1 support of RBF)	0.30	2011		TA to support mainstreaming RBF
Regional	AFR	Lighting Africa Market development and Quality Assurance (w1 support of RBF)	0.25	2011		TA to support mainstreaming RBF
Regional	AFR	Africa Electrification Initiative (w1 support RBF)	0.20	2012		TA to support RBF mainstreaming
Regional	AFR	Clean Cooking initiative for Africa (w1 support RBF)	0.20	2013		TA to support mainstreaming RBF

Country	Region	Project Name	Grant Amount (US\$mil)	Start year/FY	End/FY	GPOBA type
Vanuatu	EAP	Vanuatu Electricity (W1 in support of W3)	0.35	2011		TA to support RBF mainstreaming
Subtotal TA only			1.78			
Total			70.55			

Energy Sector Management Assistance Program

ORIGIN

The Energy Sector Management Assistance Program (ESMAP) was established in 1983 as a global, multi-donor technical assistance trust fund administered by the World Bank and cosponsored by 13 official bilateral donors. Since its inception, the program has supported more than 800 energy-sector activities that promote poverty reduction, economic growth and low carbon development in over 100 countries.

OBJECTIVES

ESMAP's mission is to assist low- and middle-income countries to increase know-how and institutional capacity to achieve environmentally sustainable energy solutions for poverty reduction and economic growth.

The program's activities are clustered around three focus areas: energy access, energy security, climate change

Energy Access Activities: For more than 30 years, ESMAP has assisted low and middle-income countries to scale up access to modern energy. This assistance has included advice on legal, regulatory and policy frameworks; training to strengthen capacities of energy institutions; dissemination of best practices; and support to pave the way for World Bank investments.

ESMAP's energy access activities are focused around four programs:

- **Africa Renewable Energy and Access (AFREA) Program:** AFREA was originally set up as ESMAP's Energy Access program for Sub-Saharan Africa, with delegated management authority to the World Bank's Africa Energy Unit. AFREA aims to support the scale up of energy access and clean energy solutions in Sub-Saharan Africa.
- **Support to the Sustainable Energy for All (SE4All) Initiative:** ESMAP provided early contributions that helped shape the Sustainable Energy for

APPENDIX A

PROGRAM DESCRIPTIONS

All Global Action Agenda, and is setting up a Technical Assistance Facility to support selected opt-in countries in their quest for universal energy access

- **Urban Poor Energy Access:** Building on past efforts to address the unmet demand for adequate and reliable energy services by fast-growing urban informal settlements and peri-urban populations, ESMAP has set up a program to help increase/improve energy access for the urban poor. The Urban Poor Energy Access Program includes a component that is implemented in partnership with the Cities Alliance.
- **Support on Household Cooking Energy and Off-Grid Electricity Access:** ESMAP has supported the World Bank regional energy units in the design, implementation, and supervision of initiatives and lending project components on household cooking and off-grid energy access.

In addition, ESMAP's programs on energy access are supplemented by broader programs focused on strengthening policy and institutional frameworks, as well as gender empowerment in the energy sector.

In the Energy Assessments and Strategy Program, ESMAP has helped governments review, design, and implement energy policies, develop and strengthen institutional capacity, and improve the performance of their energy sectors. ESMAP's work in these areas is designed to take good practices and policies from around the world and adapt them so they can be applied to specific national and regional contexts. This program also develops modeling tools and toolkits that can be used by energy planners to support decision making in sometimes highly complex environments. Most ESMAP activities in this program are implemented by the World Bank's regional energy units through Annual Block Grant funding.

ESMAP is launching a new program on social inclusion in the energy sector, with a specific initial focus on gender. The primary objective of the program is to establish a core body of evidence to demonstrate that promoting improved gender equality in energy projects improves development outcomes, and to demonstrate state-of-the-art approaches for improving gender equality in energy projects.

GOVERNANCE AND MANAGEMENT

ESMAP is governed by a Consultative Group made up of representatives from contributing donors and chaired by the Director of the Sustainable Energy Department of the World Bank on behalf of the Vice President of the Sustainable Development Network. The CG meets annually to review the strategic directions of ESMAP, its achievements, its use of resources, and funding requirements.

A Technical Advisory Group of international experts provides independent opinions to the CG about the purpose, strategic direction, and priorities of ESMAP.³ The TAG also provides advice and suggestions to the CG on current and emerging global issues in the energy sector that are likely to impact ESMAP's client countries.

As a major part of ESMAP's accountability mechanism, management prepares an annual Portfolio Review to present the results and outcomes of the program's activities and, every five years commissions an external evaluation to review the outcomes and achievements of the program.

FINANCING AND DISBURSEMENT

Table A.4. Donor Contributions to ESMAP FY2007–2013 (US\$ millions)

Donor	FY07	FY08	FY09	FY10	FY11	FY12	FY13	Total
Australia		2.68		0.45	1.07	3.03		7.23
Austria		0.66	0.59	0.42	2.68			4.35
Canada			0.40	0.10				0.50
Denmark		1.96	1.76	1.85	3.91	9.11	8.74	27.33
Finland				0.74			0.79	1.53
France	0.86	1.05	0.89			0.84		3.64
Germany	1.771	2.81	4.80	2.19	1.99	3.35	1.34	18.24
Iceland	0.3	0.20	0.30	0.20		0.30	0.30	1.60
Lithuania					0.03		0.03	0.06
Netherlands	9.78		3.19		11.29	2.90	5.80	32.96
Norway	0.75	0.75	0.75	0.75	0.84	0.85	3.75	8.44
Sweden		1.59				2.31	0.78	4.68
United Kingdom	3.061	1.18	0.96	1.96	0.00	0.00	6.42	13.59
World Bank	0.678	0.45	0.28	0.44	0.27	0.65	0.31	3.07
Total	17.2	13.33	13.92	9.10	22.08	23.34	28.26	127.23

Source: Annual reports.

Note: This table covers receipts for three MDTFs: ESMAP MDTF, the Clean Energy Investment Framework, and the Small Island Developing States DOCK. It reflects all programs, not just Energy Access activities.

Table A.5. ESMAP Expenditures and Disbursements (US\$ millions)

	FY07	FY08	FY09	FY10	FY11	FY12	FY13	Total
Program Activities	9.58	10.76	13.43	18.45	15.29	13.71	13.96	95.18

**APPENDIX A
PROGRAM DESCRIPTIONS**

	FY07	FY08	FY09	FY10	FY11	FY12	FY13	Total
Program Mgmt. & Administration ^a	1.10	1.67	1.50	2.04	2.04	2.13	2.27	12.75
Total	10.68	12.43	14.93	20.49	17.33	15.84	16.24	107.93
Percent Administration	10	13	10	10	12	13	14	

Source: Baaestel Report for 2007 to 2010; CFP for 2011 TO 2013 totals, and annual report for Administration costs.

Note: Reflects all programs, not just Energy Access activities.

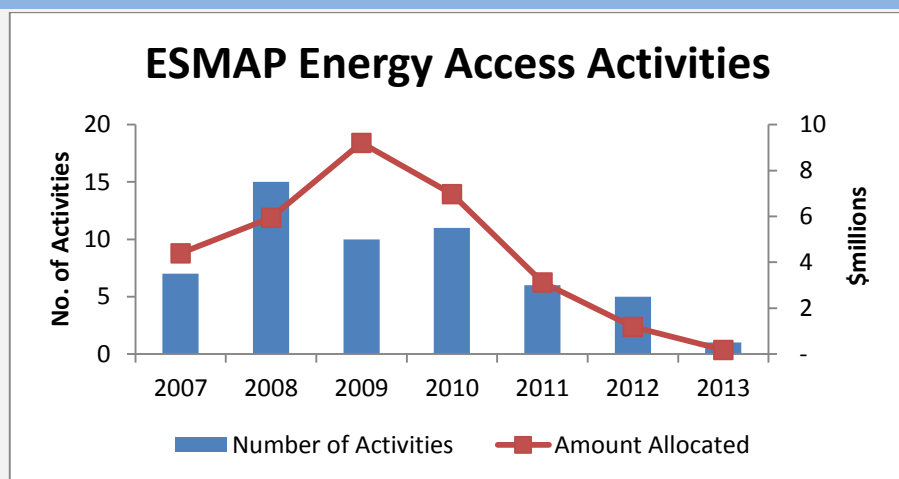
a. Includes M&E, Communications, and Governance.

Energy Access Portfolio

The ESMAP Portfolio Review 2013 (PR-2013) is the latest in an annual series to present the program’s results and outcomes.⁴ With reference to energy access programs, PR-2013 reports that they accounted for 37 percent of ESMAP’s total disbursements during the FY2009–2012 period (for completed and ongoing projects).

During the study period analyzed in this study, that is, between 2007 and 2013, 55 energy access activities were approved for implementation, comprising \$31.03 million in allocations, according to the ESMAP database. This has been trending downward since 2010.

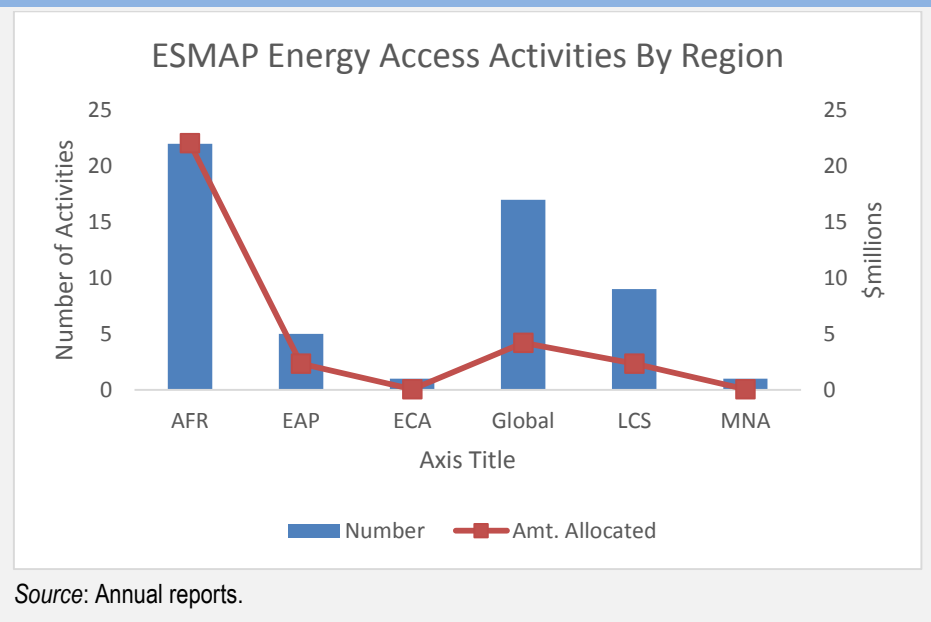
Figure A.4. ESMAP Energy Access Activities



Source: Annual reports.

Most of ESMAP’s activities during this period have focused on Africa or on global initiatives.

Figure A.5 ESMAP Energy Access Activities By Region



The table A.6 shows the countries that have had energy access activities implemented by ESMAP, in order of amount allocated.

Table A.6. Countries with ESMAP Energy Access Activities

Country	Number of Activities	Amount Allocated (US\$ millions)
Albania, Armenia, Bosnia and Herzegovina	1	0.05
Angola, Benin, Burkina Faso, Cameroon, Central African Republic	1	1.92
Benin	1	2.20
Bolivia	1	0.40
Brazil, Chile, Dominican Republic, Ecuador	1	0.11
Brazil, Costa Rica, Dominican Republic	1	0.12
Burkina Faso	2	0.23
Cambodia	1	1.50
Cameroon	1	0.11
Cameroon, Chad	1	0.03
Costa Rica, Guatemala	1	0.18
Ethiopia, Ghana, Kenya	1	0.50
Ghana	1	0.08
Ghana, Kenya, Nigeria	1	2.86
Ghana, Liberia	1	0.20
Global	17	4.20
Guinea	1	0.12

APPENDIX A
PROGRAM DESCRIPTIONS

Country	Number of Activities	Amount Allocated (US\$ millions)
Haiti	2	0.70
Kenya, Rwanda	1	2.00
Lao PDR	2	0.44
Lebanon	1	0.05
Liberia	2	3.48
Mali	2	3.50
Nepal	1	0.21
Nicaragua	1	0.22
Papua New Guinea	1	0.18
Peru	2	0.60
Regional	2	1.21
Senegal	1	0.26
Tanzania	2	1.24
Tanzania, Uganda	1	2.12
Total	55	31.03

Source: Annual reports.

Lighting Africa

ORIGIN

The Lighting Africa program was launched in September 2007 with the goal of catalyzing markets for clean, modern, off-grid lighting products in sub-Saharan Africa. A joint initiative of IFC and the World Bank, Lighting Africa seeks to accelerate efforts to light up the homes and businesses of 250 million people by 2030 by mobilizing the private sector to build sustainable markets. The program leverages the comparative advantage of both organizations to support the rapid scale-up and delivery of affordable, quality lighting products, most of which are solar powered.

About 600 million people in Africa have no access to grid electricity, a number expected to rise to about 700 million by 2030. These people rely on polluting and dangerous sources of lighting such as kerosene lamps, candles and battery-powered torches. Fuel-based lighting is generally of low quality and expensive, impeding learning and economic productivity.

Lighting Africa was formed to meet this need following a decade of interventions and research conducted by the IFC's Clean Energy team and the Renewable Energy Group of the World Bank's Energy Unit. These predecessors included IFC's Photovoltaic Market Transformation Initiative (PVMTI), a 1998–2008 \$30 million

program focused on the solar home system (SHS) market. Lighting Africa management also drew on the experience of the Efficient Lighting Initiative (ELI), a 1999-2003 \$15 million market transformation program focused on promoting the penetration of Compact Fluorescent Lights (CFL) and energy efficient fixtures in seven markets worldwide. More immediately, Lighting Africa inherited the activities and staff of IFC's Lighting the Bottom of the Pyramid (LBOP) program. The LBOP team spent two years consulting over one hundred LED and CFL lighting manufacturers, suppliers, and distributors about market challenges and opportunities for the private sector to increase access to modern off-grid lighting in Africa.

Lighting Africa was approved in 2006 and country pilots in Kenya and Ghana were initially funded by the Global Environment Facility and launched in 2007. The first Lighting Africa laboratory was set up in East Africa at the University of Nairobi in Kenya to test off-grid products for manufacturers and distributors.

OBJECTIVES

Lighting Africa's objectives are to:

- Demonstrate market viability: Lighting Africa supplies companies and investors with intelligence on market size, consumer preferences and behavior, business models and distribution channels.
- Remove market barriers and improve the enabling environment: Lighting Africa has developed a quality assurance program, facilitates business-to-business partnerships through conferences, workshops, and a dedicated website, and works with governments to make the policy environment favorable for off-grid lighting markets.
- Build sustainable off-grid lighting markets: Lighting Africa supports the scale-up and replication of successful businesses and business models. It provides business development services for its associate companies, helps distributors and retailers access finance, supports the Global Off-Grid Lighting Association, and helps governments integrate off-grid lighting into their electrification programs.

FINANCING

LA has been funded by 11 Trust funds, ranging from \$34,000 to \$2.2 million, which have now either been closed or consolidated into a single LA Expansion Trust Fund (\$3.7 million). Total expenditures have been about \$19 million since it was started.

APPENDIX A
PROGRAM DESCRIPTIONS

Table A.7. Lighting Africa Funding Sources (US\$ millions)

	Total through 2007–2010	2011	2012	2013	Total
Global Environment Facility	5.04	1.46	1.043	0.302	7.85
Italy			0.988	3.267	4.26
Africa Renewable Access Program	1.43	1.07	0.48	0.1	3.08
Public-Private Infrastructure Advisory Facility	1.15	0.23	0.025	0.118	1.52
IFC	1.16	0.19			1.35
Norway	0.29	0.21	0.074	0.702	1.28
Luxembourg	0.56		0.133	0.06	0.76
Energy Sector Mgmt. Asst. Program MDTF				0.415	0.42
REEEP	0.40				0.40
Asia Sustainable & Alternative Energy Prog.	0.26				0.26
Energy Sector Mgmt. Asst. Program TF			0.134	0.116	0.25
Global Partnership on Output-Based Aid				0.245	0.25
World Bank	0.20				0.20
Good Energies Inc.	0.08				0.08
Total	10.58	3.16	2.88	5.33	21.94

Source: 2008-2010 figures from Appendix G of Dalberg's "Mid-term Evaluation of IFC/World Bank Lighting Africa Project"; 2011 figures from 2011 Annual Report; 2012 and 2013 numbers are from the IFC Lighting Africa office and World Bank Project Portal.

Note: Breakdown of expenditures by activity was not available for World Bank projects.

Table A.8. Lighting Africa Expenditures

IFC	2008	2009	2010	2011	2012	2013	Total
Market Intelligence	0.73	0.34	0.09	0.15	0.044	0.301	1.655
Quality Assurance	0.23	0.16	0.88	0.49	0.48	0.938	3.178
Business support		0.03	0.12	0.2	0.209	0.451	1.01
Access to finance	0.19			0.04	0.092	0.164	0.486
Consumer Education			0.07	0.42	0.328	0.635	1.453
Policy			0.13	0.075	0.005	0.012	0.222
LA conferences	0.43	0.1	0.73	0.12			1.38
LA Web portal	0.12	0.16	0.1				0.38
LADM			3.02				3.02
Program support Cost	0.39	0.45	0.47	0.81	0.419	0.868	3.407
IFC Total Expenditures	2.09	1.24	5.61	2.305	1.577	3.369	16.191

IFC	2008	2009	2010	2011	2012	2013	Total
World Bank Expenditures				0.856	0.81	1.22	2.886

Source: 2008-2010 figures from Appendix G of Dalberg's "Mid-term Evaluation of IFC/World Bank Lighting Africa Project"; 2011 figures from 2011 Annual Report; 2012 and 2013 numbers are from the IFC Lighting Africa office and World Bank Project Portal;

a. Breakdown of expenditures by activity was not available for World Bank projects.

GOVERNANCE AND MANAGEMENT

The World Bank and IFC each do their own fundraising and have their own separate accounts. They also have taken on different aspects of the program. The IFC works with the private sector to help catalyze the market and develop the supply chain thru market analyses, quality assurance/standards development, and business development. On the World Bank side, IDA works with governments to mainstream LA through policy dialogue and provides financing for consumer awareness raising, diagnostic market analyses, capacity building and piloting of deployment mechanisms and also contributes about a quarter of the funds for the quality assurance activities. All the IDA projects are harmonized with SE4All. As of July 1, 2014, the program is jointly managed by the Africa Energy Practice, mapped to the Energy and Extractives Global Practice and the IFC Advisory Service Africa Regional Management (located in Nairobi, Kenya.)

PORTFOLIO

Shown below are the four IFC projects and five World Bank projects that have been approved for Lighting Africa. In addition there are 3 more projects in the pipeline slated for South Sudan, Uganda, and for general expansion of the program. Three of the IFC projects have been completed.

Table A.9. Lighting Africa Projects

Project ID	World Bank or IFC	Country	Project Name	Amount (US\$mil)	App FY
521198	IFC	Global	Lighting Africa Global	4.9	2007
555905	IFC	Kenya	Lighting Africa Kenya	2.7	2007
555906	IFC	Ghana	Lighting Africa Ghana	2.7	2007
557685	IFC	Global	Lighting Africa Web portal	0.5	2007
P119893	World Bank	Ethiopia	Trade Finance Facility	20.0	2012
P124014	World Bank	Liberia	Supply Side Subsidy	2.0	2012

APPENDIX A
PROGRAM DESCRIPTIONS

Project ID	World Bank or IFC	Country	Project Name	Amount (US\$mil)	App FY
P116289	World Bank	Regional	Lighting Africa Market Development and Quality Assurance	3.04	2014
P128768	World Bank	Burkina Faso	Piloting a "lantern library"	1.5	2014
P131084	World Bank	Mali	Lantern Library and RBF scheme	2.5	2014

Source: World Bank Operations Portal, Lighting Africa team.

Asia Sustainable and Alternative Energy Program

ORIGIN

The Asia Sustainable and Alternative Energy Program (ASTAE) was originally established in 1992 by bilateral donors as a three-year pilot program to mainstream alternative energy in the World Bank's lending and technical assistance operations in the South Asia and East Asia regions.

In 2002, ASTAE expanded its reach from within the World Bank to the client countries' stakeholders themselves, and broadened its core business from alternative energy to sustainable energy by adding a third pillar – access to modern energy services – designed to address energy poverty and its impact on the environment. Scaling up meant adopting a more programmatic approach at the scale of a sector or a country. During this period ASTAE focused primarily on the East Asia and the Pacific region. The FY2012–2015 Business plan focuses on promoting green growth while still aiming to scale up supply of and access to sustainable energy on a regional basis. This plan also aims to reintegrate South Asia and strengthen ASTAE's regional impact and to increase the emphasis on cross sectoral dimensions of the energy sector, increase RETFs, and to establish a new MDTF. For the first time the business plan was increased to four years instead of three years to allow more time for implementation.

OBJECTIVES

Over the years, years ASTAE's objectives were modified to better reflect the changing energy needs in the regional and global context. The current objective of the program is to scale up the use of sustainable energy options in Asia to reduce energy poverty and protect the environment.

ASTAE's program is organized around three pillars that reflect ASTAE's definition of "sustainable energy": renewable energy, energy efficiency and access to modern energy.

ASTAE seeks to support innovative financing and delivery mechanisms; enhance policy and regulatory frameworks; build capacity and share knowledge; and promote cross-sectoral and regional collaboration for mitigation of, and adaptation to, climate change⁵

ASTAE's funding is used to supplement Bank budgets to cover the incremental costs of investing in those three pillars. The Program supports four generic types of activities that cut across its three pillars:

- early program and identification work;
- rapid response support to urgent needs of Bank teams for project development (identification and preparation) assistance and supervision ;
- project -related capacity building in client countries beyond what can be reasonably seen as normal project preparation;
- assistance to Bank teams for the mobilization of additional funds.

GOVERNANCE AND MANAGEMENT

Since its inception, ASTAE has financed Bank-executed activities using separate single-donor trust funds. ASTAE is governed by the same Consultative Group (CG) for energy trust-funded programs as ESMAP. (See ESMAP governance section for further details.)

ASTAE's Manager was the sector manager of the EAP infrastructure unit who delegated day-to-day operations of the program to the ASTAE Coordinator. The Coordinator was the ASTAE Program Manager in the system until July 2014 when the ESMAP took over the ASTAE management. The coordinator managed ASTAE's trust funds, activities and budget. The ASTAE work program is established according to the priorities agreed with the CG donor(s) in general, and especially with those who contribute to ASTAE funding. The Technical Advisory group is to advise the Program Management team on the preparation of business plans. Occasionally it is involved in the review of impact of ASTAE activities as well, especially ASTAE Annual Reports.

The ASTAE program has made some changes in its governance and management as a response to on-going trust fund reforms in the Bank as well as to make its work more efficient. Changes to the governance of ASTAE have been introduced to respond rapidly to client countries' changing needs and donor demands, align with

APPENDIX A PROGRAM DESCRIPTIONS

recent Bank-wide practices of trust fund management, and streamline the process of ASTAE management and financed activities. Major changes include (i) adding a MDTF to the previous single-donor trust fund arrangements, (ii) adding recipient-executed activities to the previous Bank-executed activities to create a hybrid trust fund, and (iii) introducing requirements for grant funding requests (GFRs) and grant monitoring reports (GRMs, ICMs).

FINANCING AND DISBURSEMENT

In the 2007–2011 period the main funding for ASTAE came from Bank-Netherlands Partnership Program, which committed \$7.424 million for FY2006–2009 and SIDA, which committed \$2.355 million for FY2007–2011.

Table A.10. ASTAE Donor Contributions (US\$ millions)

Donor Countries	2007	2008	2009	2010	2011	2012	2013	Total
Netherlands						8	2	10
Sweden	0.56		0.5	0.93		2.92	2.25	7.16
United Kingdom							4.68	4.68
Total	0.56		0.5	0.93		10.92	8.93	21.84

Source: Concessional Finance and Global Partnership (CFP) Database.

Note: Reflects all programs, not just energy access.

Table A.11. ASTAE Annual Disbursements

(US\$millions)	2007	2008	2009	2010	2011	2012	2013	Total
Administrative & Reporting Fees	0.27	0.49	0.56	0.40	0.18-	0.23	0.32	2.27
Project Costs	0.94	1.35	1.62	1.73	2.42-	0.74	2.10	8.49
Total Disbursement	1.22	1.85	2.18	2.12	2.60	0.97	2.42	11.88
Percent administration	22	26.4	25.7	18.9	7	23.7	13	

Source: ASTAE Annual reports used primarily for 2007 to 2011 and CFP Database used for 2012 and 2013

Note: Reflects all programs, not just energy access.

GRANT PROCESS AND REPORTING

Calls for proposals for funding are made on a rolling basis, to ensure flexibility to accommodate unexpected needs and new development opportunities. Proposals are submitted by World Bank Teams either for their own Bank-executed activities, or on behalf of the client government or government-authorized NGO for recipient-executed activities. The grants allocated by ASTAE are implemented by Bank teams

(more recently ASTAE started to have recipient executed activities as well) who report on the implemented activities and outputs in the GRM reports.

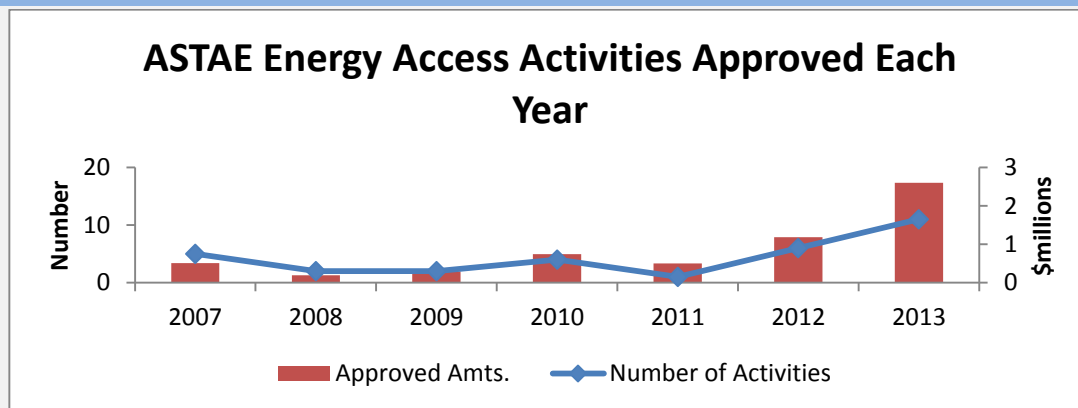
ASTAE provides the following reports to monitor the program and individual grants: Annual Status Report on ASTAE Activities (ASR) by fiscal year, are presented to the Consultative Group of Donors; Semi-Annual reports (those were produced at SIDA’s request for July 2011-December 2012 period), Grant Monitoring Reports and; Implementation Completion Memorandum after closing trust funds; and additional reports upon request from donors and management.

ENERGY ACCESS PORTFOLIO

IEG has identified 34 ASTAE-funded (both completed and on-going) activities in the period of FY2007–2013 that aimed to support energy access. Many of these activities are linked to World Bank projects that range from rural grid and off-grid electrification to renewable energy solutions, clean cooking and heating. Many of the Bank projects linked to ASTAE activities also received support (more often larger) from other trust funds such as ESMAP and Australian Department of Foreign Affairs and Trade (DFAT- formerly AusAid). The total amount allocated for these 34 projects from ASTAE is about \$6.5 million.

Up until 2012 (during FY2007–2011 Business plan) ASTAE’s work was focused mostly on East Asia and Pacific countries, but has more recently been implementing activities in India, Bangladesh and Timor-Leste.

Figure A.3. ASTAE Energy Access Activities Approved Each Year



Source: IEG’s Annual; Reports based on CFP TF database and ASTAE annual reports

APPENDIX A
PROGRAM DESCRIPTIONS

Table A.12. Countries with ASTAE Energy Access Activities 2007–2013

Country	Number of Activities	Amt. Approved (US\$ millions)
Africa ^a	1	0.08
Bangladesh	2	0.13
Cambodia	2	0.08
Fiji	1	0.08
India	4	1.14
Indonesia	5	1.65
Lao PDR	2	0.47
Mongolia	4	0.49
Pacific Islands	2	0.42
Papua New Guinea	1	0.06
Regional	2	0.27
Timor-Leste	2	0.21
Tonga	2	0.62
Vietnam	4	0.83
Total	34	6.50

Source: IEG; ASTAE Annual Report and CFPTF database.

a. Lighting Africa program.

¹ According to GPOBA as of October 2013, it is no longer using a distinction into “core” and “non-core”, which was reflected in all of GPOBA’s administration agreements except “DFID1” (Main TF) that expired in FY2014. This however is not reflected in the program’s Operations Manual.

² Those criteria include consistency with the GPOBA's threshold eligibility criteria (Eligible Schemes, Eligible Services, Eligible Activities, Eligible Countries, Eligible Expenses); Consistency with Indicative Work Plans approved by the Program Council, or in the case of Non-Core Funds, with criteria specified by relevant Donors; In the case of individual OBA schemes, the commitment of the host government to the proposed scheme; the expected availability of funding for the output-based payments under the scheme; and the desirability of testing a variety of approaches to output-based aid in a variety of sectors and country contexts; Additionally: Funding should not be more readily available from other sources; Co-financing: GPOBA resources may cover up to 100 percent of the costs of an Eligible Activity. However, co-financing from other sources is encouraged; Value for Money: Activities should aim to ensure value for money, including adopting the lowest cost strategies consistent with appropriate standards of quality.

³ Current TAG members are: Therese Hindman-Persson, Wolfgang Mostert, and Judi Wakhungu

⁴ ESMAP Portfolio Review 2013, World Bank report #322503, November 29, 2012.

⁵ The climate change approach is new, related to the programs’ focus on green growth, although ASTAE has been active in this area for some time. It has been added to emphasize ASTAE’s increasing commitment to this approach.

Appendix B. List of Studies Reviewed

Table B.1. List of Reviewed Publications

Publication Title*	Program sponsor	Country Coverage	Target goal	Pub. Year
Modernizing Energy Services for the Poor	ESMAP	World	Lighting, Cooking, Heating	2010
Improving Energy Access to the Urban Poor in Developing Countries	ESMAP	World (India, Bangladesh, Brazil, Colombia)	Lighting, Cooking	2011
Household Energy Access for Cooking and Heating	ESMAP	World	Cooking, Heating	2011
A New Slant on Slopes	ESMAP	World (Yemen)	Lighting	2011
Lessons from OBA for Leveraging Finance for Clean Energy	GPOBA	World	Lighting, Cooking	2012
Integrating Gender Considerations into Energy Operations,	ESMAP	World	Gender	2013
What Have We Learned about Household Biomass Cooking in Central America	ESMAP	Central America	Cooking	2013
One Goal, Two Paths	ASTAE	EAP	Lighting, Cooking	2011
Solar Lighting for the Base of the Pyramid	Lighting Africa	SSA	Lighting	2010
Lighting Africa Policy Study Report Notes	Lighting Africa ESMAP	SSA (Cameroon, DRC, Ethiopia, Ghana, Kenya, Rwanda, Senegal, Tanzania)	Lighting	2012
Lighting Africa Market Trends Report 2012	Lighting Africa	SSA	Lighting	2013
Measuring Impacts of Electrification on Small and Micro-	ESMAP	SSA (Benin, Ghana, Uganda)	Lighting	2013

APPENDIX B
LIST OF STUDIES REVIEWED

Publication Title*	Program sponsor	Country Coverage	Target goal	Pub. Year
Enterprises in Sub-Saharan Africa				
Connection Charges and Electricity Access in Sub-Saharan Africa,	ESMAP, GPOBA	SSA	Lighting	2013
Improving Indoor Air in Rural Bangladesh: Results of Controlled Experiments	ESMAP	Bangladesh	Cooking	2009
Power From the Sun	GPOBA	Bangladesh	Lighting	2014
Cleaner Hearths, Better Homes	ESMAP	India	Cooking	2012
Indonesia – Toward Universal Access to Clean Cooking,	ASTAE	Indonesia	Cooking	2013
Promoting Productive Uses of Electricity in Rural Areas of Peru	ESMAP	Peru	Lighting	2012
Welfare Impacts of Rural Electrification – Evidence from Vietnam,	ASTAE, ESMAP	Vietnam	Lighting	2009
Vietnam: State and People, Central and Local, Working Together	ASTAE, ESMAP	Vietnam	Lighting	2011
*N.B.: These are abridged report titles. Please see References for full titles.				

Appendix C. List of People Interviewed

Table C.1. List of People Interviewed

Name	Title	Affiliation
Arthur Itotia Njagi	Program Manager	Lighting Africa (IFC)
Dan Murphy	Coordinator	Lighting Africa (IDA)
Chris Saunders	Dep. Coordinator	Lighting Africa (IDA)
Juliet Pumpuni	Sr. Infrastructure Specialist	GPOBA
Daniel Coila	Information Specialist	GPOBA
Oleh Khalayim	Monitoring and Evaluation Officer	GPOBA
Raluca Golumbeanu	Infrastructure Specialist	GPOBA
Dana Rysankova	Sr. Operations Officer	OPSRE
Ani Balabanyan	Senior Energy Specialist	ECSEG
Koffi Ekuevi	Senior Economist	LCSEG
Lucia Spinelli	Senior Energy Specialist	LCSEG (Bolivia)
Migara Jayawardana	Senior Energy Specialist	LCSEG
Mohua Mukherjee	Senior Energy Specialist	SASDE
Natsuko Toba	Senior Economist	EASWE ASTAE coordinator (program manager)
Zubair Sadeque	Senior Energy specialist	SASSD (Bangladesh)
Ky Hung Tran	Senior Energy Specialist	EASWE (Vietnam)
Peter Johansen	Senior Energy Specialist	EASWE
Hung Tien Van	Senior Energy Specialist	EASWE (Vietnam)
Laurent Durix	Infrastructure Specialist	SASSD
Mustafa Hussain	Senior Energy Specialist	AFTG1
Nick Keyes	Communications Officer	SEGES
Andres Londono	Sr. Operations Officer	SEGES
Pierre Audinet	Sr. Energy Economist	SEGES
Venkata Ramana Putti	Senior Energy Specialist	SEGES
Rohit Khanna	Program manager	ESMAP
Alain Ouedraogo	Energy specialist	SEGES
Laurence Carter	Director	PPP Transaction Advisory Services
Vanessa Lopes Janik	Operations Officer	SEGES
Xiaoping Wang	Senior Energy Specialist	SEGES
Yabei Zhang	Sr. Energy Economist	EASWE
Shahidur Khandker	Lead Economist	DECAR
Douglas Barnes	Consultant	ESMAP
Rajesh Advani	Infrastructure Specialist	GPOBA
Richard Hosier	Senior Energy Specialist	AFTG-2

APPENDIX C
LIST OF PEOPLE INTERVIEWED

Oliver Knight	Senior Energy Specialist	ESMAP
Sheoli Pargal	Lead Economist	SASDE
Russell Sturm	Head	CSBO2
Luiz Maurer	Principal Industry Specialist	Energy Efficiency Climate Business Group (IFC)

Appendix D. Review Template

Table D.1. Review Template for Energy Access Publications

Activity Data		Project Id.	
Activity title:		Country:	
Publication date:		TTL:	
Government counterparts:			
Other counterparts:			
Funding source (s)		Cost:	
Objective:			
Outcome:			
Alignment with Strategic Goals	Comment		?
B.1: Is activity aligned with the energy strategy goal of:			
B1.1: access to lighting?			
B1.2: access to clean cooking?			
B1.3: access to clean heating?			
B1.4: empowering women?			
Relevance:	Comment		
C.1: Technical Quality			?
C1.1: <i>Rationale</i> : Does the report provide a solid context and rationale for undertaking the study?			
C1.2: <i>Horizontal Relevance</i> : Does the report provide a sound analysis of the issues based on international best practice and relevant examples from the global experience?			
C1.3: <i>Recommendations</i> : Does the report develop actionable recommendations grounded in the facts and analysis that are presented and in line with its objectives?			
C1.4: <i>Readability</i> : Is the report well-articulated and easy to understand?			
C1.5: <i>Vertical Relevance</i> : Did the study generate new evidence or data that inform analysis and decision making?			
C1.6: <i>Design Relevance</i> : Is the report fit for the purpose of achieving its intended objective?			
C2: Efficacy:			
C2.1: Inform lending?			
C2.2: Inform policy/strategy?			
C2.3: Build client capacity?			
C2.4: Disseminate knowledge?			
C2.5: Enhance knowledge?			
C2.6: Have an impact on poverty and gender?			
Dissemination & Follow-up	Comment		?

APPENDIX D
REVIEW TEMPLATE

D1: Did the activity make use of local expertise in planning, analysis, and dissemination?		
D2: Was the product of the activity discussed with senior policy makers?		
D3: Was the product of the activity presented in a workshop/conference?		
D3: Was the activity followed-up by other World Bank Group or non-Bank Group (government, private sector, CSO) activities?		
Sources of information:		

Appendix E. Response from the ESMAP Program Manager to IEG's Review



The World Bank | 1818 H Street, NW | Washington, DC 20433 | USA
202.458.8145 | fax: 202.522.3018 | www.esmap.org

June 4, 2015

Mr. Alex Foxley
Chair
Committee on Development Effectiveness-CODE

Dear Mr. Foxley,

Together for energy: how partnership programs support energy access, Annex to IEG Evaluation of World Bank Group Support to Electricity Access FY2000-FY2014

I would like to thank the Independent Evaluation Group (IEG) for undertaking this review and appreciate the opportunity to submit this statement to you. This review is timely as ESMAP and ASTAE's donors have commissioned an external evaluation of these programs in the run up to the preparation of the next business plan and associated replenishment of the trust funds.

We are in broad concurrence with the conclusions and lessons of the evaluation of ESMAP and ASTAE, particularly the importance of strong results frameworks; managing "donor push"; effective program oversight; efficient, strategic and monitorable grant-making processes; systematic attention to gender mainstreaming and monitoring of gender impacts; a clearer strategic vision to guide the design and scoping of knowledge work in the energy sector; and, systematic dissemination of knowledge products.

COMMENTS ON ANNEX TO
WORLD BANK GROUP SUPPORT TO ELECTRICITY ACCESS, FY2000-FY2014
"TOGETHER FOR ENERGY: HOW PARTNERSHIP PROGRAMS SUPPORT ENERGY ACCESS"

ENERGY SECTOR MANAGEMENT ASSISTANCE PROGRAM (ESMAP)

ESMAP has developed a new \$1.5 million global program on *Social Inclusion in the Energy Sector*, with an initial focus on gender. The report notes the progress ESMAP has made in addressing gender issues in its programs and M&E system. The primary objective of the ESMAP gender program is to establish a core body of evidence to demonstrate that promoting improved gender considerations in energy projects improves development outcomes.

The program supports quantitative and qualitative research on the gender-specific land and labor impacts of generation, transmission and distribution projects, as well as an e-learning module on specific topics such as energy access, energy infrastructure and energy policy to help promote practitioners' awareness of gender-energy linkages. ESMAP is also continuing to support World Bank teams on integrating gender considerations into energy programs through screening all ESMAP-funded activities and providing direct financial and technical support across various lending and non-lending activities in the energy sector.

Providing analytical and advisory services to low- and middle-income countries to increase know-how and institutional capacity to achieve environmentally sustainable energy solutions for poverty reduction and economic growth.

Although the report notes ESMAP's AFREA program, it does not make note of ESMAP's support to the AFREA Gender and Energy program. This program started in 2010 supporting energy access operations in the Africa region on integrating gender considerations. Six countries were supported under the first phase (US\$1.5 million) and the second phase (US\$1.4 million) is now underway. In addition to operational support, the program focuses on knowledge exchange and capacity building of both energy practitioners and government counterparts.

ASIA SUSTAINABLE AND ALTERNATIVE ENERGY PROGRAM (ASTAE)

The quality of knowledge products could be strengthened with ASTAE's management functions, including the grant approval process now, fully integrated into those of ESMAP. The report describes "the relevance and effectiveness of ASTAE-funded stand-alone activities, especially reports as less evident". ASTAE's program management and administration functions (including monitoring and evaluation and communications and dissemination) were merged with those of ESMAP as of July 1, 2014. This is consistent with the trust fund reform process undertaken by the Bank and supported by ASTAE's donors. Proposed ASTAE activities now follow ESMAP processes and procedures, which could help ensure the improved quality and relevance of their knowledge products.

ASTAE's M&E is in the process of being integrated into the ESMAP M&E Portal. The report recommends that ASTAE's results framework be redesigned to focus on the program's own inputs, outputs and intermediate outcomes that can be attributed to the program's interventions rather than to show a commitment to high-level targets that are beyond its scope. Given the downstream nature of assistance, ASTAE's results framework is intentionally focused on IBRD/IDA/GEF indicators, which was endorsed by its donors. Furthermore, as this is last year of the ASTAE business plan, it is not feasible to make such a fundamental change to the results framework. IEG's recommendations will be considered in preparing the next ASTAE business plan and associated results framework. However, as part of the merger of ASTAE and ESMAP management functions, ASTAE activities will be integrated into ESMAP's M&E Portal to more systematically capture outputs and outcomes, and the M&E Portal will now seek to track ASTAE results using the same indicators as ESMAP.

Mr. Alex Foxley

-3-

June 4, 2015

METHODOLOGY

Assessment of the selected reports in terms of their quality and relevance could be made from the targeted audience's point of view. One of the criteria used to make such assessments was "readability". Although the report acknowledges that some reports are for the technical audience and are therefore more technical and dense, it describes these as not "readable". "Readability" could be judged from the targeted audience's point of view. The technical audience might appreciate such technical report rather than the general report for the public which might lack the required precision.

Yours sincerely,

A handwritten signature in black ink, appearing to be 'Rohit Khanna', with a long horizontal stroke extending to the right.

Rohit Khanna
Program Manager
Energy Sector Management Assistance Program (ESMAP)

Cc: Ms. Sanita Bajare, Chair of the CODE Sub-Committee
Mr. Charles Feinstein, Director, Energy and Extractives Global Practice