

APEC Energy Efficiency Policy Workshop Summary Report: Policy and Program Evaluation II

Jeju Island, Republic of Korea 27 March 2017

APEC Energy Working Group

June 2017

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1. Background

In 2016, the Asia Pacific Energy Research Centre (APERC) conducted a successful workshop to build the capacity of government officials and evaluation practitioners of APEC developing economies. The workshop was delivered by IEPPEC, the principal international organization for evaluators of energy efficiency policies and programs. On 27 March 2017, APERC conducted another event in Jeju Island, Korea to build on the previous workshop and was the first of a number of evaluation events during 2017, including:

- A two-day evaluation workshop organized by IEPPEC at the Asia Clean Energy Forum in Manila in June 2017
- A two-day APEC workshop on evaluation in October 2017 to be held in Bangkok (IEPPEC will provide the consultants to deliver this workshop)
- The first ever IEPPEC Asia-Pacific Conference, also to be held in Bangkok in November 2017.

Some of the attendees at these four events will be the same, and many will also have attended the 2016 APERC workshop. This provided a unique opportunity to deepen the expertise of government officials and evaluation practitioners building their evaluation understanding, skills and confidence. Further, by meeting several times, these attendees have the chance to enhance their network of evaluators, with the associated benefits.

2. Objective

The core objective of the workshop was to enable participants to become more confident commissioners and users of evaluation. They obtained a fuller understanding of:

- The process of evaluation and how it can be incorporated in the policy making process
- Evaluation processes and techniques and how to use them to provide evidence and insight about the policies that are of interest to them.

3. Workshop Description

The workshop was designed to build on the 2016 APERC workshop while remaining accessible to participants who did not attend in 2016. It also laid the foundations for the evaluation capacity building journey through 2017.

The workshop used a combination of:

- Pre-work by participants to ensure they come with an understanding of their local energy efficiency policies and practices
- Expert presentations of evaluation theory and practice supported by case study examples from developed and developing countries
- Workshop sessions to enable participants to identify how they can implement evaluation to support their energy efficiency aims

- Workshop sessions to develop action plans and provide an understanding of which techniques can be used to answer different types of questions and evaluate different types of policy
- Materials to support participants in implementing their action plans following the workshop

The agenda is in Appendix 1.

The handout "Eight Step Evaluation Process" is in Appendix 2. The slides used in presentations are in Appendix 3.

And the list of participants is in Appendix 4.

4. Workshop Sessions Summary

1) Workshop Introduction (Presentation 1)

Presenter: Ed Vine, Lawrence Berkley National Laboratory.

Background and context were explained and participants introduced themselves each other.

2) Evaluation Overview (Presentation 2)

Presenter: Ed Vine, Lawrence Berkley National Laboratory.

This session provided an overview of the challenges and opportunities for evaluation in APEC and set out a vision for the future. The session gave participants an understanding of key evaluation concepts:

- What is evaluation
- Why do we evaluate
- The focus of evaluation
- When do we evaluate
- Who are the key stakeholders
- The evaluation profession

The session explained the role of IEPPEC and encouraged participants to take part in further APEC and IEPPEC activities in Asia in 2017.

3) Evaluation Toolkit (Presentation 3)

Presenter: Charles Michaelis, Strategy Development Solutions Ltd

This session set out two key concepts; an eight-stage evaluation process and the theory of change:

- The evaluation process involves:
 - 1. Determining the purpose of the evaluation
 - 2. Engaging stakeholders
 - 3. Developing a theory of change

- 4. Identifying evaluation questions
- 5. Establishing the evidence required to address the questions
- 6. Securing resources for the evaluation
- 7. Conducting the evaluation
- 8. Sharing learning
- A theory of change sets out how the policy is intended to secure its objectives; the main processes involved and key assumptions. The discussion was illustrated with examples of a theory of change for a typical energy efficiency policy and provided step-by-step guidance to developing a theory of change.

4) Case Study – using theories of change to evaluate policies (Presentation 4)

Presenters: Devi Laksmi, Ministry of Energy and Mineral Resources, Indonesia and Charles Michaelis, Strategy Development Solutions Limited

This presentation built on the earlier discussion of theories of change to show how the concept had been used to refine industrial energy efficiency policies in Indonesia.

5) Economy presentations

Four attendees from APEC developing economies gave short presentations:

i. Evaluation of energy efficiency policy in Viet Nam (Presentation 5)

Presenter: Hoang Viet Dung, Ministry of Industry and Trade, Viet Nam

This presentation described Viet Nam's policy on energy efficient appliances and provided some early results.

ii. Evaluation of energy efficiency policy in Indonesia (Presentation 6)

Presenter: Devi Laksmi, Ministry of Energy and Mineral Resources, Indonesia

This presentation described the Government of Indonesia's approach to evaluation of their policies on energy efficiency for appliances and industry.

iii. Evaluation of energy efficiency policy in Russia (Presentation 7)

Presenter: Ivan Kuzmenkov, Ministry of Energy, Russia

This presentation described the experience of providing energy to remote areas in Russia through a combination of renewables, back-up generation, and enhanced energy efficiency.

iv. Evaluation of energy efficiency policy in Mexico (Presentation 8)

Presenter: Hector Francisco Garcia Rodriguez, National Commission for the Efficient Use of Energy (CONUEE)

This presentation described the process of establishment of the energy efficiency learning networks initiative in Mexico, and some early evaluation results.

6) Exercise

Attendees split into four small groups and each group worked to develop an outline theory of change for one of the policies described in the Economy Presentations above. Each group then presented their theory of change back to the whole workshop.

This session provided attendees with hands-on experience of developing a theory of change and deepened their understanding of the topic.

7) Impact Evaluation (Presentation 9)

Presenter: Ed Vine, Lawrence Berkley National Laboratory.

This session described the principles of impact evaluation; linking theory to the practical example of MEPS for air conditioners used in the Evaluation Toolkit session.

The session provided guidance on how to isolate impacts relating to the policy that is being evaluated and identified data collection and analysis methods for impact evaluation.

8) Case Study: The Home Power Savings Program, Australia (Presentation 10)

Presenter: Michael Reid, The Keyline Group.

The case study illustrated how the Government of New South Wales had used evaluation to improve the delivery of the Home Power Savings Program and to establish the energy impact and the non-energy benefits resulting from the policy.

The presentation illustrated the use of the eight-stage process described earlier in the day and gave suggestions for how non-energy benefits could be evaluated.

Mr Reid also pointed out that while often evaluation is not extensively done or, indeed, not done at all due to potentially high costs, it can also be more expensive not to evaluate projects adequately. This is because project implementers need to know if the projects (or policies) are having the desired effects and have the opportunity to change them before too much time and money are wasted.

9) Exercise

Following this session, attendees returned to their four small groups to identify what evidence they would need to evaluate the impact of the policies they were considering and how they would secure that evidence. Attendees then presented their discussions back to the whole workshop.

10) Process evaluation (Presentation 11)

Presenter: Ed Vine, Lawrence Berkley National Laboratory.

This session described the role of process evaluation and how the theory of change concept underpins process evaluation. It drew on examples of lessons learned from process evaluation conducted by the Electricity Generating Authority of Thailand (EGAT).

11) Panel session

Panelists: Ed Vine, Michael Reid, Charles Michaelis

This session provided an opportunity for workshop participants to raise challenges and issues they had faced in conducting evaluations and to ask wider questions about evaluation. Questions were raised about:

- How to determine a baseline/counterfactual
- Evaluating the impact of a communications program
- Resources needed (e.g., budget) for conducting evaluation
- Availability of and access to information for conducting evaluation
- Evaluation of secondary impacts

12) Wrap-up (Presentation 12)

Presenter: Ed Vine, Charles Michaelis

The presenters expected the workshop participants to become "evaluation champions" in their economies to provide future services, and introduced possible next steps. The presenters also indicated there is a drive to develop an evaluation community of practice in Asia, and hoped that this workshop would kick-start this process.

5. Workshop Analysis

Over 30 individuals participated in the workshop, coming from Australia; China; Hong Kong, China; Indonesia; Japan; Korea; Malaysia; Mexico; New Zealand; the Philippines; Russia; Chinese Taipei; Thailand; United Kingdom; United States; and Viet Nam (Appendix 3).

10 attendees completed evaluation forms; they were asked to rate a number of aspects of the workshop on a scale of 1-5 where 1 is completely agree, 5 is completely disagree and 3 is neither agree nor disagree. It can be seen that respondents agreed or completely agreed with all statements. They particularly felt that the instructors were knowledgeable and good communicators and that the workshop was relevant and applicable to their jobs. Respondents felt that the content was well organized and delivered effectively and at a reasonable pace.

Six of the ten respondents were interested in more advanced workshops.



Seven respondents felt the workshop was the right length; one thought it was too short and two felt that it was too long. The visuals, meeting space and handouts were all rated good or better. The overall program was rated as good by four respondents, very good by two and excellent by four attendees. The workshop sessions were the most enjoyed. As improvements respondents suggested more case studies, examples of good and bad evaluation, using role playing and providing the slides and handouts ahead of the workshop.

Respondents were asked about their future needs; their comments covered a wide range of interests:

- Transition to RES
- Sustainable cities and urban systems
- Energy efficiency financing
- ICT based energy efficiency
- Refrigerant trends
- Measures to adopt EE Evaluation (from upstream to downstream)
- EE monitoring frameworks
- Promotion of cogeneration
- Public policy development
- Modeling and statistics

Energy Efficiency Policy Evaluation Capacity Building APEC Workshop in Korea

Objective

The core objective of the workshop is to enable participants to become more confident commissioners and users of evaluation. They will obtain a fuller understanding of:

- The process of evaluation and how it can be incorporated in the policy making process
- Evaluation processes and techniques and how to use them to provide evidence and insight about the policies that are of interest to them.

The workshop will be designed to build on the 2016 APEC workshop while remaining accessible to participants who did not attend in 2016. It will also lay the foundations for an evaluation capacity building journey through 2017.

Time	Content	Session leader			
8:00-8:45	Registration				
8:45-9:00	Brief Introduction				
	Welcoming Remarks – Host Economy Rep				
9:00-9:10	Opening remarks – APERC				
	Opening remarks – EGEE&C Chair				
9.10-9.30	Background, context and introductions Ed Vine				
9.30-10.15	Evaluation overview – this session will serve to recap on the 2016 workshop and introduce new participants to the principles Questions and discussion	Ed Vine			
10.15-10.30	Coffee break				
10.30-11.00	Introduction to evaluation planning tool and the concept of theories of change; these will be used through the day.	Charles Michaelis			
11.00-11.30	Case study – using theories of change to support the development of energy efficiency policy in Indonesia	Devi Laksmi, Government of Indonesia			
11.30-12.30	 Exercise – developing theories of change for energy efficiency policies, identify key evaluation questions that will inform their policy development. Participants will work in small groups using the planning tool and developing theories of change for different policy areas (appliances, industry, access/renewables integration, buildings). Each group discussion will build on a short presentation from one participant. Facilitators: Charles Michae Ed Vine Michael Reid 				
12.30-13.30	Lunch				
13.30-14.00	How to evaluate the impact of energy efficiency policies; which techniques can be used for typical policies and particular questions.	Ed Vine			

The agreed workshop agenda is shown below:

14.00-14.30	Case study – evaluating the impact of energy efficiency in Australia; the experience of New South Wales	Michael Reid, ex- Government of New South Wales	
14.30-15.30	Exercise - develop a plan to evaluate the impact of participants' policies using the theory of change developed and evaluation management tool techniques described earlier.	Facilitators:Charles MichaelisEd VineMichael Reid	
15.30-15.45	Tea break		
15.45-16.15	Process evaluation, explanation of process evaluation and suggestions for how process evaluation can be incorporated in evaluation plans	Ed Vine	
16.15-17.00	Panel session to consider challenges to evaluation and to identify solutions and strategies to overcome those challenges – write up as a guide for participants.	Panelists Charles Michaelis Ed Vine Michael Reid 	
17.00-17.10	Closing remarks		

Handout

Evaluat	tion Process			
	Determine Purpose			
•				
	What benefits will we obtain?			
	How will we use the results?			
	Engage Stakeholders			
	Who should be involved?			
	Policy "owners"			
	Other relevant ministries and agencies			
	Industry/consumers/third sector			
	Academics			
	Evaluators			
3.				
•	Goal of the policy			
	Short/medium/long term outcomes			
	What will be delivered as a result of the policy			
	Costs and time allocated to policy			
	Assumptions			
	Risks			
	Identify Questions			
•	What has happened?			
	What difference did the policy make?			
	How well was the policy implemented?			
	How can we do things better?			
	Was the policy good value for money?			
5.	Evidence Required			
•	What types of evidence are needed? E.g.			
	 Monitoring activities outputs, outcomes, impacts 			
	Baseline			
	Counterfactual			
	 Understanding/insight — who, how, why, why not, what if 			
-	What methods will be used? E.g.			
	Surveys Meter readings			
	Modelling			
6	Secure Resources			
•	Funding for			
•	Evaluation consultancy			
	-			
	Surveys/data collection			
	Modelling Communicating learning			
•	Time for Policy makers to take part			
7.				
•	Implement the plan			
	Project manager			
	Steering group			
	Appoint contractors			
	Conduct evaluation			
	Analysis and reporting			
8.				
•	Within policy team - course correction			
•	Value for money			
	Inform new policies			
•	Wider lessons – what works, why?			
	Funders and stakeholders			
	Evaluation and policy community			



Workshop Presentations

Presentation 1: Workshop Introduction (Ed Vine)

Presentation 2: Evaluation Overview (Ed Vine)

Presentation 3: Evaluation Toolkit (Charles Michaelis)

Presentation 4: Developing a Theory of Change (Charles Michaelis)

Presentation 5: Viet Nam's Policy on Energy Efficiency Appliances (Hoang Viet Dung)

Presentation 6: Evaluation of energy efficiency program, Indonesia (Devi Laksmi)

Presentation 7: Russia's Experience of Providing Energy Supply to Remote and Low-Populated Areas (Ivan Kuzmenkov)

Presentation 8: Learning Networks - Mexico (Hector Garcia)

Presentation 9: Impact Evaluation (Ed Vine)

Presentation 10: Case Study: Home Power Savings program - Australia (Michael Reid)

Presentation 11: Process Evaluation (Ed Vine)

Presentation 12: Next Steps (Ed Vine)



Vision	Previous Activities
 Support the strengthening of evaluation leadership and capacity, especially in developing countries Foster the cross-fertilization of evaluation theory and practice in Asia Address international challenges in evaluation 	 October 2015: International Workshop for Asia Energy Efficiency Program and Policy Evaluation (Beijing) April 2016: APERC Evaluation Workshop (Taichung City, Chinese Taipei)
2017	Contact Information
 March: APERC Evaluation Workshop (this workshop) June: ACEF Evaluation Workshop (Manila) October: APEC Evaluation Workshop (Bangkok) November: 2017 IEPPEC Asia-Pacific (Bangkok) 	Edward Vine Lawrence Berkeley National Laboratory Building 90-2128 Berkeley, CA 94720 elvine@Ibl.gov
9	10
Introductions	
 Name Organization/Country Why are you here? What do you want to get out of the workshop? 	

























THE RESULTS			
OF INTERNAL	NO.	RECOMMENDATION	STATUS
EVALUATION Standard and Labeling (2)	5.	preparing incentive scheme for local energy- efficient equipment manufacturers	on going
	6.	cooperating with retailers for promotion of energy efficient products and provide short training to operational staff / sales and purchase about energy-efficient products	-
	7.	Scaling-up dissemination of EE S&L through electronic media, exhibition in Mall/shopping centre, and to traders on-line	on going







OUTPUT

- Facilitation of energy supply of remote and low-populated areas
- Expansion of modern low-carbon technologies
- Reduction in expenditure of construction and maintenance of energy infrastructure
- Increase of social standard of living in remote areas

SPECIFIC EXAMPLES

- The improvement of capacity factors of variable renewables in remote areas in China because of transmission network enhancements. China also has a large technical potential of renewable energy resources, the quality of which is on par with the average level in APEC. Considering the wind speed, for example, average capacity factors of wind power place China in 9th ranking in the APEC region.
- In an effort to move towards low-carbon and sustainable development, China invested nearly USD 90 billion in clean energy in 2014, exceeding the total amount of all other economies in Asia (Bloomberg, 2015).
- High retail- and geography-related delivery costs are motivating a trend in Australia toward a less centralised and more distributed electricity sector. The high cost of using centralised power in remote areas is becoming less favourable than a decentralised model using rooftop solar, local generation etc.
- In New Zealand there is an aspirational target of 90 % electricity generation from renewables by 2025.
- One of the main recommendation for the government of Peru is facilitation of energy access to geographically remote or economically disadvantaged regions, as it is not currently possible for the private sector to supply energy to such areas.
- sector to supply energy to such areas. In Philippines through the Household Electrification Development Plan (HEDP) and the Sitio Electrification Program (SEP) envisage to cope with household lighting in off-grid areas and sitios (clusters of households), using mature renewable energy technologies such as photovoltaic solar home systems (PV-SHS), PV streetlights and micro-hydro systems. It aims to contribute to the government's goal of 90 % household electrification by 2017.



APEC EXPERIENCE • Why this issue is also important for APEC economies? APEC economies have a diversified geographic structure including remote areas and islands are those that experience the most acute challenges to reliable and affordable access to energy Today, more than 400 million people in Asia-Pacific region do not have access to electricity Several important aspects of work which highlighted by APEC Energy Working Group are: enhancing the security of energy supply networks; promoting energy efficient and sustainable communities; supporting cleaner energy development etc. The widespread use of hybrid power systems and renewables directly corresponds with one of the main goal of APEC community to double ren regional energy mix by 2030 and conduct low-carbon energy rgy in the carbon energy policy APEC THE INITIATIVE This year Russia proposed initiative in the framework of APEC on: "Bridging Gap in Economic Development and integration of Remote Areas for sustainable growth in the APEC Region' Under this initiative Russia is planning to propose a project of designing a database ranging and grading types of remote communities of Asia-Pacific economies to develop modular solutions for energy supply The project proposed is - the creation of the Atlas of remote areas of APEC economies with the determining of climatic and techno-economic potential and further classification for implementation of low-carbon energy solutions with the use of hybrid power systems and RES for sustainable energy supply of specified areas The Atlas could become one of the foremost instruments for designing integrated

 The Atlas could become one of the foremost instruments for designing integrated solutions adjusted to local geographical features for energy supply of remote areas of APEC economies



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Eight step evaluation process	Eight step evaluation process
Image Deeps Destig Deeps Destig Deeps <	Determine Purpose Engage Stake- hoiders Develop Theory of Change Identify Questions Evidence required Secure Resources Conduct Evaluation Share Learning • Implement the plan • Project management • Steering group (Stakeholders) • Appoint contractors • Onduct evaluation • Onduct evaluation • Onduct evaluation • Analysis and reporting
Eight step evaluation process	Eight step evaluation process
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List of Workshop Participants

Title	Name	Economy	Organization
Dr	Li Pengcheng	China	CNIS
Dr	LIUREN	China	CNIS
Mr	Sun John Chun-ho	Hong Kong, China	Electrical and Mechanical Services Department
Ms	Laksmi Devi	Indonesia	Ministry of Energy and Mineral Resources
Mr	Okada Masahiro	Japan	Hitachi Metals, Ltd
Mr	Hwang Inchul	Korea	Korea Energy Agency (KEA)
Mr	Kim Junkyung	Korea	Korea Energy Agency (KEA)
Ms	Kim Kyungboon	Korea	Korea Energy Agency (KEA)
Ms	Park Eunyoung	Korea	Korea Energy Agency (KEA)
Mr	Sifi Sarah Sharrudin	Malaysia	Ministry of Energy, Green Technology and Water (MEGTW)
Mr	García Rodríguez Héctor Francisco	Mexico	CONUEE
Ms	Shivanandan Carolyn	New Zealand	Energy Efficiency and Conservation Authority
Mr	Artemio Habitan	Philippines	Department of Energy
Mr	Kuzmenkov Ivan	Russia	The Ministry of Energy of Russia
Ms	Latha Ganesh	Singapore	Energy Market Authority
Mr	Lo Henry shin-hang	Chinese Taipei	Industrial Technology Research Institute
Mr	Prajakwong Peanut	Thailand	Ministry of Energy
Mr	Wisaruth Maethasith	Thailand	DEDE
Mr	Abramson Alon	USA	University of Pennsylvania
Mr	Greenauer Derek	USA	UL LLC
Mr	Kern Jamie	USA	U.S, Department of Energy
Ms	Montgomery Amy	USA	University of Pennsylvania
Ms	Katie Purvis Roberts	USA	Department of State
Mr	Li Jiayang	USA	CLASP
Mr	Hoang Viet Dung	Viet Nam	Green Development Center
Dr	Irie Kazutomo	Secretariat	Asia Pacific Energy Research Center (APERC)
Mr	Brown-Santirso Martin	Secretariat	Asia Pacific Energy Research Center (APERC)
Dr	Vine Edward	Consultant	Lawrence Berkeley National Laboratory
Mr	Michaelis Charles	Consultant	IEPPEC
Mr	Michael Reid	Guest speaker	Keyline Group
Mr	Karmarkar Mayur	Observer	International Copper Association, Asia