

Concept Note
Danish Energy Agency's Energy Partnership Program
(DEPP)
Funded by the 2017 Climate Envelope

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1. Context and strategic questions

Established in 2008 the Danish Climate Envelope is a mechanism for channeling dedicated climate funding to supporting mitigation and adaptation activities in developing countries. The Ministry for Energy, Utilities and Climate (MEUC) proposes and prepares activities for half of the Climate Envelope funds while the Ministry for Foreign Affairs (MFA) proposes and prepares activities for the other half of the Climate Envelope funds. The Climate Envelope is managed as an integrated part of Danish development assistance.

Since 2012, the Danish Climate Envelope has financed energy- and climate programs in Mexico (DKK 45 million), Vietnam (DKK 65 million) and South Africa (DKK 40 million). Additionally, the Danish Energy Agency (DEA) has provided technical assistance (DKK 40 million) funded by the Climate Envelope to these three selected country programs and to Chinese partners. In China, the technical assistance has mainly targeted the National Renewable Energy Centre (CNREC) established under the 2012-2014 Sino-Danish renewable energy development program (DKK 12 million).

Key achievements from the existing ongoing programs include contribution to Chinese renewable energy planning (the 13th Five Year Plan) and high level energy policy dialogue (the recent China Renewable Energy Outlook report); assistance in holistic, long term energy planning as well as integration of renewables in power systems in all partner countries. In Mexico a contribution has been a strengthened building regulation and enforcement at local government level which is a good example on tangible emissions reductions derived from the program. In South Africa data for forecasting of renewable energy (RE) generation is an important stepping stone for more efficient integration of RE. Also development of an innovative support scheme for energy efficiency (EE) in small and medium sized enterprises in Vietnam and substantial enhancement of capacity in the Vietnamese building sector to design energy efficient buildings supports reduced emissions.

The Government has – subject to approval by the relevant authorizing authorities - agreed to allocate DKK 115 million from the Climate Envelope 2017 to continue Denmark's cooperation on climate and energy with China, Mexico, South Africa and Vietnam. This will be through one integrated Government-to-Government (GtG) technical cooperation program designed to provide mainly technical assistance in a peer-to-peer manner.

The new integrated program (DEPP 2017-2020) is in the process of being formulated and on this background following strategic questions are proposed to guide the discussions of the Programme Committee:

1. The implementation responsibilities are unclear in the existing on-going programs due to a complex structure with four separate country programs and a separate program for DEA technical assistance as well as an unclear division of responsibilities between DEA and Embassies. Upon request from the external review, MFA and MEUC have recently agreed on a division of responsibility regarding activities financed by the Climate Envelope that offers some clarity in regard to administrative issues. However there remain important outstanding issues relating to division of responsibility for implementation in-country in particular. How best to ensure a clear division of the responsibilities between the involved parties?
2. A need for a high degree of flexibility during program implementation is anticipated. Therefore, how best to ensure for instance: flexibility to redistribute budget allocation between DEs in a country; flexibility to redistribute between countries; flexibility to

enable up-scale of particular DEs e.g. through maintaining for a certain period a budget line for unallocated funds at overall program level or country level?

3. The nature of a GtG technical cooperation with emerging countries is somewhat different from traditional development assistance interventions as it provides peer-to-peer assistance on highly technical issues such as energy system transition. How therefore best to address the challenges of applying traditional development assistance approaches – for instance Human Rights Based Approach (HBRA) - to this type of GtG cooperation?

2. Purpose and overall vision

Climate change threatens to reverse progress towards sustainable development, and transition of energy systems, particularly in rapidly growing economies, is necessary to meet increasing global energy needs and at the same time keeping global warming below irreversible damage levels. One of the key objectives of the Danish Climate Envelope is to assist developing countries with the transition to low carbon economies;

Priorities for Danish development policy¹ point to the relevance of Denmark supporting countries with transitional- or emerging economies as they are in demand for knowledge, competencies, technologies and investments to make appropriate strategic choices on energy system transition. Development cooperation with these countries may according to the policy likely be spurred by the global sustainable development goal. Also, policy points to how bilateral cooperation programs position Denmark favorably when it comes to strategic alliances and common agendas with emerging economies such as e.g. implementation of the Paris Agreement. Finally, development policy supporting emerging countries within energy system transition helps create opportunities for commercial interests and financial investments where Danish companies hold a strong market position globally.

In line with both the new development policy as well as overall objectives of the Climate Envelope, the overall vision for Denmark's previous support through DEPP is to assist emerging economies with 'transition to low carbon economies and preparing to participate in the new global climate agreement'. Common to each of the selected countries for Denmark's GtG energy cooperation is a forecasted increase in energy demand, and the significant prospect for avoiding lock-in of emissions of greenhouse gases (GHG). The scope for potential impact reaches as much as 2 billion energy consumers, covering almost a third of global GHG emissions. China alone is the largest energy consumer and GHG-emitter and China's consumption of coal exceeds total demand from the US, EU and Japan.

The 2015 evaluation of the Danish Climate Envelope confirms that Denmark has strong commercial and institutional competences in low carbon solutions and Denmark's ongoing energy transition away from a fossil fuel economy is evaluated to be an extremely powerful example and recognized internationally as providing valuable lessons to share.

Theory of Change

Established in 2016 in response to the evaluation of the Danish Climate Envelope in 2015, the Guiding Principles of the Climate Envelope have guided the design of the DEPP. The Climate Envelope is envisaging GHG- emissions reductions (impact level) through *inter alia* (outcomes): strengthened policies and planning framework; scale up of climate-relevant

¹ Danmarks Udviklingspolitiske og humanitære strategi, udkast

technologies, infrastructure and markets and more consolidated, effective and ambitious international climate architecture. Further to this, outputs targeted by the DEPP at this stage matches well several of the outputs set out in the guiding Principles.

Accordingly, the intervention logic at the DEPP programmatic level framing individual development engagement (DE) is that *if* Denmark supports transition through GtG cooperation combining technical assistance and policy dialogues based on significant Danish energy experiences in transforming a fossil based energy system to ambitious use of renewables and EE, *then* institutional impact will be achieved in terms of strengthened regulation, planning and implementation frameworks for RE and EE in partner countries, which will reduce energy related GHG-emissions. This transition supports at the same time further demands for sustainable RE and EE solutions including in fields where Danish technology solutions stands strong globally. Also, it would help direct international climate finance to cost-efficient and transformational interventions.

All four targeted countries are embarking on reforms of energy policy, markets and structures and are in demand for knowledge, technologies and resources, as also confirmed through the previous Danish support.

Achievement of outcomes rests on a set of assumptions that explains the above change logic. Such assumptions include: partner countries retains commitments to climate change mitigation and related targets on energy; engagement partners on both sides have ownership to the cooperation and commits adequate resources; staff in partner institutions remains in posts long enough to take up results from the cooperation and to carry through change and; the program is well administered and coordinated.

3. Strategic choices

Choice of partners and prioritized technical areas

While the current programs have shown significant achievements, they have also tested different technical areas and modalities of implementation. With fewer resources available for a second phase, there is a need for a highly focused program that also takes advantage of synergy options and cross-fertilization between DEs. The prioritization needed for the new program takes point of departure in matching demands of partners to areas of particular interest to Denmark and where Danish strongholds provides a unique added value considering also what other development partners offers on the ground. This is in accordance with Guiding Principles of the Danish Climate Envelope.

In practical terms, some outcomes from the existing and ongoing programs will accordingly not be taken further to the second phase while some new will be added in response to demands expressed by partners that matches what Denmark could offer. All proposed DE partners are well known from the current phase, either as direct partners to ongoing DEs or as (government) stakeholders. They are all public sector entities primarily - but not solely – at central government level i.e. ministries and underlying institutions or state-owned enterprises tasked with public good services (such as transmission system operation). This choice is justified by the GtG approach focusing on improving regulatory, policy, planning and implementation frameworks while sharing and transferring experience from the Danish energy sector transition in an peer-to-peer manner.

Bilateral engagements is a key part of MEUC general strategic priorities to advance the energy transition in the major emerging economies, which is crucial for a cost effective

implementation of the Paris Agreement. This is complemented with a targeted multilateral engagement in key global multilateral energy fora, in particular the Clean Energy Ministerial, the International Energy Agency, the International Renewable Energy Agency and the World Bank (ESMAP). DEPP will give specific strategic priority to strengthen synergies between the Danish bilateral cooperation and the multilateral engagements in order to maximize the effect. This is crucial since this approach can leverage support from other global players and thereby potentially increase the impact on the ground dramatically.

Key areas of matches identified at this stage includes: building capacity in long term energy scenario for the purpose of RE policy dialogues and future planning; integration of renewables in power systems including more flexibility based on Danish experiences ; policy and planning reforms targeting EE in industries.

Choice of implementation strategy and modality

The modality of the new integrated program is centered on technical assistance in a Government-to-Government approach. Through the program, the DEA supported by the Danish TSO (Energinet.dk) and other Danish expertise engages in a peer-to-peer cooperation with equivalent government institutions, all well-known from the existing programs. A preferred in-country modality for the new program is moreover the posting of an international long-term advisor (LTA), if so demanded by the partner institution, with specific experience from Danish energy transition. Experiences from such LTA embedded directly in partner institutions have been very positive from both partner perspectives. Technical assistance, external to assistance from DEA experts, is envisaged from international and local consultants as needed as per the individual DEs.

The present decision-management, planning/coordination, reporting and monitoring structures of the energy- and climate country programs vis a vis the equivalent structures of DEAs associated technical assistance and supervision have, however, proven complex and challenging as also highlighted through program reviews etc. This combined with perceived somewhat unclear roles and responsibilities for the present programmes and fewer resources for a new program calls for a new, fully integrated design with clear responsibilities and well-defined management system, hereby eliminating the present division of bilateral programs and DEA associated assistance and assigning the overall responsibility of the program with DEA (see further description in 5).

4. Development engagements

The DEs are presently being formulated. Preliminary outcomes and outputs for the individual DEs are found in Annex D on Results Framework. The DEs are coordinated with engagements of other donors DE of which GIZ is the predominant development partners in fields related to the DEPP.

VIETNAM

The program will strengthen policy, planning and implementation framework primarily for increased integration of RE in the national power system and for reduced energy intensity of industries, a huge untapped potential. The program will support three DEs.

DE 1: Energy Sector Planning with Ministry of Industry and Trade (MOIT).

MOIT is a key partner in the existing program and is in the process of strengthening its energy sector planning capacity to assess impacts of different policy choices. This DE is on continued and expanded support to enhance capacity to use model tools for policy

development and long-term planning purposes.

DE 2: Power Market Implementation with Electricity Regulation Authority of Vietnam (ERAV).

ERAV - the power regulating authority of Vietnam – is aiming to institute a power market. This DE is on enhancing ERAVs capacity through in a peer-to-peer cooperation with i.a. the Danish TSO on how to implement the power-market to enable large scale RE integration.

DE 3: Low carbon development with MOIT and provincial authorities

The partners need to strengthen policy, regulatory framework and institutional capacity in order for industries to reduce energy intensity of industries. The current program already engages with provincial authorities.

SOUTH AFRICA

The prospects for RE to play a larger role in South Africa is currently challenged, but the program will explore the window resting with parts of ESKOM and the Department of Energy (DoE) to improve the decision making process in policy development. The program will support two DEs and potentially a third pending further consultations. An international LTA is envisaged posted with DoE.

DE 1: Electricity sector planning with Department of Energy (DoE)

The DE will enhance capacity of DoE in helping formulate policies in which RE can play a larger role including through better use of power system scenarios, analysis of policy alternatives using socio-economic tools, better understanding of the effects of regulation on the power sector, better understanding of the role RE technologies have in the power sector and a more assertive and inclusive approach in policy development.

DE 2: Renewable energy integration in electricity supply with ESKOM

The DE will enhance capacity of the vertically integrated power utility company ESKOM, in fields critical for RE-integration into the power system. This comprises operational flexibility of the national electric system; forecasting and market-based system operation with variable generation and; ESKOM local distribution control centres.

A third DE is currently being considered for anchoring with NERSA, the South African Energy Regulator, to create a level-playing field for RE integration in the power supply (viz-a-viz conventional sources).

CHINA

Energy system transition in China is critical to GHG mitigation, globally. The program in China will help achieve progress in making RE the back-bone of the Chinese energy system.

DE 1: Transformation of the Chinese energy system with CNREC.

CNREC has established the project “Boosting Renewable Energy in China” to assist its next phase of work. It include a continuation of the cooperation with Denmark with additional inputs from GIZ and other consultants, including NREL, all managed within a framework supported and financed by Children’s Investment Fund Foundation (CIFF). CNRECs work and Danish support jointly helps spur policy dialogues and strategic choices for planning and investments in RE and power system flexibility.

DE 2: Energy Efficiency with the National Energy Conservation Centre (NECC).

The vast potential for reduced energy intensity e.g. through utilization of excess heat from industries for district heating is not being explored. This DE will pursue such opportunities

including through technical support to pilot project implementation. The DE requires a considerable scaling-up compared to the present support. An international long-term advisor (LTA) is being considered in support for this DE.

MEXICO

The programming mission will take place mid-January. The DEs therefore require further elaboration. An international LTA is envisaged posted with the Ministry of Energy, SENER-

DE 1: Climate Change Mitigation with SEMARNAT/INECC

The Ministry of Environment and Natural Resources (SEMARNAT) and the National Institute on Climate Change and Ecology (INECC) are principle for the cross-ministerial coordination of implementation of the NDCs. This DE provides continued analytical support for informed policy choices for NDC implementation.

DE 2: Renewable Energy with SENER and CENACE

Energy scenarios will inform policy dialogues - headed by SENER - and strategic choices for the recently reformed energy sector. Also, this DE supports continued technical cooperation between the National Energy Control Centre (CENACE) and the Danish TSO on RE-integration into the Mexican power system.

DE 3: Energy Efficiency with SENER and CONUEE.

SENER and the National Commission on Efficient Use of Energy (CONUEE) are about to implement the recent national EE strategy. Through strengthened regulation and enforcement, lock-in of substantial energy demands in future building stocks is avoided - a significant and largely untapped potential. Similar, the time has come for a strengthened effort to spur industries to reduce energy intensity.

5. Implementation and M&E framework

An integrated, streamlined and systematic management set-up will be ensured; the fine-tuned division of responsibilities for steering/management and for implementation of the DEPP in-country, including specific clear role descriptions will be elaborated further.. The overall political (and administrative) responsibility is vested with the MFA, the overall program responsibility with DEA while EDK is engaged in program implementation. The following is at this point envisioned:

Steering and management set-up

At country level it is envisaged to establish a country Steering Committee common for all DE in the country (except for China), co-chaired by a high-ranking senior official of the partners and the Ambassador of Denmark or DEA at high-level (depending on the country). DEA-representative in the Steering Committee will represent the overall program responsibility. Where relevant, the national steering committee may potentially be open to e.g. representatives from Treasury/Ministry of Finance/Ministry of Foreign Affairs. The Steering Committee should meet once to twice per year to approve annual work plans, budgets and progress reports, discuss and resolve issues related to program progress - including reallocation of activities/budget items, if necessary.

A country Management Group acts as secretariat to the country Steering Committee. It has participation of all DE managers from the engagement partners, DEA and preferable the embassy. For DEs where posting of an international LTA is part of the support, the LTA participates in the management group. This group will meet regularly and monitor progress at output level incl. budget allocations, and ensure cross fertilization between engagements. The

country management group will also at a regular basis report progress at output level and budget status to a central management group (in Copenhagen) for the overall DEPP.

In China, the management set-up will deviate from the above as there will be no country Steering Committee and neither a country management group for the two DEs in China. The current set-up for CNREC will continue and a separate set-up will be established for the DE with NECC.

In Copenhagen it is anticipated that DEPP will have an Advisory Board with high-level representation from MFA and MEUC. The Advisory Board will meet once a year or as required to discuss program progress and solicit cross-program countries experience and to discuss opportunities from learning across partnerships and make decisions on budget allocations at overall programmatic level (e.g. budget line for mid-term reviews and other cross-programmatic items). A central management group with DEA and MEUC acts as secretariat to the central Advisory Board.

Role of embassies

The embassy of Denmark (EDK) in Vietnam, South Africa and China may, for DEA and the partners, enter contracts for local technical assistance and manage budgets allocated by DEA on workshops and study tours as well as deliver support to DEA for other program implementation. For this purpose a local program officer (extent and job description to be further agreed upon) is proposed employed under the program, to also follow daily program implementation and keep contact to all DE partners. The program officer will on demand report to DEA on technical issues and to the ambassador on administrative issues. For Mexico the role of the embassy will be addressed during the upcoming programming mission.

In addition to the preferred role and responsibility of EDK in the joint in-country steering and management outlined above, EDK is furthermore assumed to conduct policy dialogues on DEPP matters in close dialogue with MEUC and DEA. The EDK's green growth adviser and/or local program officer maintain contacts with local Danish private sector representatives in the energy sector to follow development on barriers that the private sector encounters in the sector to feed into the DEPP where relevant.

Implementation modality

In South Africa, China and Mexico it is proposed that an international long term adviser (LTA) is posted in the central partner institutions. The LTA will have different roles, depending on the partner institution, but could include: i) facilitation of partners' implementation of the DE; ii) provide high level advise and technical input to demands by partners related to the DE, and iii) assisting the partnership between the partners and DEA. In Vietnam, the key partner (MOIT) has not expressed any need for a LTA posted in a Vietnamese institution and prefer existing assistance set-up. It is under consideration if or how to address the possibility of an international LTA in Vietnam.

Shorter term technical assistance (TA) would be provided by DEA specialists, from the Danish Transmission System Operator (Energinet.dk) and from external national and international consultants. How to best procure consultant services is not yet determined as assessment of scope and technical needs awaits the final formulation of the DEs.

Monitoring

The overall indicator at impact level is in line with the monitoring system of the Climate

Envelope: Contribution to tons of carbon dioxide equivalent (tCO₂ eq) reduced as a result of the program. For DEs, indicators are developed at outcome and output level. Indicators will to the extent possible be developed based on national indicators.

Monitoring against targets will be carried out by the DE partners and be reported in the countries through the management group to the Steering Committees and aggregated at program level by the DEA management group and reported to the Advisory Board. For China the DEA management group will aggregate the reports directly from the engagement partners. It is the intention to report on progress towards targets twice a year to keep reporting lean. The present monitoring and reporting associated with DEAs assistance to the country programs will cease with the new integrated program.

A mid-term review will assess progress in all engagements and advise on re-allocation at country level of resources between DEs if needed.

Human Rights Based Approach and engagement of Civil Society Organizations

Compared with more traditional development programs, the DEPP constitutes a rather technical GtG cooperation with government institutions (duty-bearers) as the direct partners. The way the DEPP in particular offers opportunities of engaging private sector and Civil Society Organizations (CSOs) is through consultative processes of technical reports, policy documents, procedures, guidelines, regulations etc. developed through the technical assistance. These consultation processes spans from merely publication of program results, often by the partner institutions, over direct engagements through program meetings and workshops, to formal extensive consultation processes in accordance with national formal requirements for policy development and rule making. Application of HBRA is furthermore embedded in many of the technical outputs from program activities such as socio-economic and cost benefit analysis and total cost of carbon analysis.

Risks

Programmatic and institutional risks are found to be minor. Should the risks materialize; the impact is, however assessed to be major.

6. Budget

The preliminary budget is as follows.

Overall budget lines	DKK million
Cross-cutting	2.3
Vietnam	19.9
South Africa	22.2
China	31.6
Mexico	38.6
Total	115

Cost items under the cross-cutting budget line include mid-term evaluation costs. Country budget lines are inclusive all costs i.e. international LTA in RSA, Mexico and China, DEA TA and program administration, MEUC-coordination, external TA (international and local) and program administration support at EDK. Total TA costs (inclusive costs attached with LTA) is DKK 107 million of which the share of DEA constitutes 31% and TA external to DEA (international and local) constitutes 68%.

7. Process Action Plan

The preparation process is in progress and will have DEs to Vietnam, China and South Africa ready for consultation with partners before appraisal, by 9. January 2017 and for Mexico documentation will be ready for appraisal by 17 February 2017. Appraisal in process is anticipated to South Africa in February 2017 and to Vietnam in March 2017. Appropriation is anticipated by May 2017.

Programme documents will comprise of the following: An overall program document; one country program document for each of the four countries and; the underlying DE documents anticipated (presently) a total of 10 or 11 DE documents.

Annexes included in the Concept Note:

- Process Action Plan for the DEPP preparation
- HRBA and Gender Screening Note for the program
- Climate Change and Green Growth Screening Note
- Results Framework
- Risk Management Matrix

Annex A: Process Action Plan for the CEPP preparation

Action and deliverables	Date/Deadline
Kick-off meeting	4 November
Inception Note	11. November
Mission Preparation Notes	
• Vietnam	9. November
• China	9. November
• South Africa	28. November
• Mexico	16. December
Preparation missions	
• Vietnam (see separate PAP for details)	
○ Mission program ready	10. November
○ Mission in-country	14-18. November
○ End-of-mission report	18. November
• China (see separate PAP for details)	
○ Mission program ready	17. November
○ Mission in-country	21-25. November
○ End-of-mission report	25. November
• Debriefing of Vietnam China mission for MFA and others in Copenhagen	28. November
• South Africa (see separate PAP for details)	
○ Mission program ready	1. December
○ Mission in-country	7.-13. December
○ End-of-mission report	13. December
• Debriefing of South Africa mission for MFA and others in Copenhagen	14. December
• Mexico (see separate PAP for details)	
○ Mission program ready	12. January, 2017
○ Mission in-country	16.-20. January
○ End-of-mission report	20. January
• Debriefing of Mexico mission for MFA and others in Copenhagen	23. January
Concept Note	
Draft concept note ready for comments	16. December
Draft final concept note ready	6. January
Program Country Partnership Program (PCPP)	
• Vietnam	
○ 1. draft	6. January
○ Comments to 1. draft	20. January
○ Draft ready for appraisal	30. January

Action and deliverables	Date/Deadline
• China	
○ 1. draft	6. January
○ Comments to 1. draft	20. January
○ Draft ready for appraisal	30. January
• South Africa	
○ 1. draft	6. January
○ Comments to 1. draft	20. January
○ Draft ready for appraisal	30. January
• Mexico	
○ 1. draft	24. February
○ Comments to 1. draft	3. March
○ Draft ready for appraisal	13. March
Appraisal in process visits	
• Countries for appraisal in process visit determined and program ready	2. January
• Country to be determined South Africa	
○ Mission program in place	23. January
○ Mission	30. January – 3. February
• Country to be determined Vietnam	
○ Mission program in place	9. February
○ Mission	20-24. February
DEA Energy Partnership Program (DEPP)	
• All inputs to DEPP from Vietnam, completed	30. January
• All input to DEPP from China, completed	30. January
• All input to DEPP from South Africa, completed	3. February
• All input to DEPP from Mexico, completed	13. March
• 1. Draft ready for comments	17 March
• Comments to 1. draft	24 March
• Draft ready for appraisal	31 March
• All documents appraised	7 April
• Draft final ready for consultation with partners	tbd
• Consultation with partners finalized	Tbd
• DRAFT FINAL DOCUMENT completed for submission	21. April
Update of Process Action Plan	Continues

Annex B: HRBA and Gender Screening Note for the program

HRBA/Gender Screening Note

Tool for Human Rights Based Approach (HRBA) and Gender Equality Screening

Purpose: The HRBA and Gender Screening Note complement the HRBA Guidance Note and the up-coming Gender Equality Strategy and the Gender Equality Toolbox. The purpose of the note is to facilitate and strengthen the application of the Human Rights Based Approach and mainstreaming of gender equality programming related to Danish development cooperation. It can be used as an inspirational checklist by all staff.

The information in the note should be based on the analysis undertaken as part of the preparation of the Country policy paper and should draw on major Human Rights and gender equality analysis relevant for the country such as UPR-processes, reports and documents from OHCHR, EU HR Strategy, CEDAW-reporting as well as relevant analysis prepared by other major donors. The Screening Note should be attached to the country programme concept note, and the questions raised below should be reflected in the country programme document. Appraisal of country programmes will include a specific focus on HRBA and Gender Equality.

Basic info

Title	Danish Energy Agency Energy Partnership Program (DEPP)
Country/ region	Vietnam, China, South Africa and Mexico
Budget in DKK mio.	115.000.000
Starting date and duration	Mid – 2017 to mid-2020

Human Rights Based Approach

Assess whether a Human Rights (HR) Based Approach has been applied in the programme:

Human Rights Assessment and Standards			
Issues:	yes	no	Explain:
Have major HR analysis relevant for the country been consulted (UPR, OHCHR, EU	Yes		Major HR analyses have been consulted ² . Vietnam sees the promotion and

² The major HR analyses consulted include:

Vietnam: <https://documents-dds-ny.un.org/doc/UNDOC/GEN/G13/185/15/PDF/G1318515.pdf?OpenElement>

China: <https://documents-dds-ny.un.org/doc/UNDOC/GEN/G13/169/58/PDF/G1316958.pdf?OpenElement>

South Africa: <https://documents-dds-ny.un.org/doc/UNDOC/GEN/G12/116/29/PDF/G1211629.pdf?OpenElement>

Mexico: <https://documents-dds-ny.un.org/doc/UNDOC/GEN/G13/161/39/PDF/G1316139.pdf?OpenElement>

<p>HR Strategy, other relevant donor documents)</p>		<p>protection of human rights and fundamental freedoms of the people as the essential element of all Vietnam's socio- economic development strategies. In doing so, Vietnam also delivers upon its commitments as a party to international instruments on human rights, including the UPR recommendations that Vietnam already accepted. Since the last review, Vietnam has made encouraging progress in its efforts to promote and protect human rights.</p> <p><u>China</u> respects the principle of universality of human rights, and is of the view that all countries have a duty to take measures, commensurate with their national conditions, continuously to promote and protect human rights in accordance with the purposes. China is committed to carrying out exchanges and cooperation on human rights with all countries, and to promoting the resolution of human rights issues in a fair, objective and non-selective manner by the international community. Development is still affected by issues of lack of balance, lack of coordination, and lack of sustainability. Overall employment pressures are not abating, with structural imbalances coming to the fore. Income distribution structures are irrational. The housing system is imperfectly designed with regard to meeting consumer demand. Contradictions between economic development and the resources and environment are becoming increasingly prominent. The social environment for the development of women needs further improvement, while safeguards for the rights of special groups such as the elderly and persons with disabilities face pressures.</p> <p><u>South Africa:</u> The government assessed the performance of government over a period of fifteen years since the dawn of democracy in 1994 and reaffirmed the existing good policies, which deal with the domestic challenges facing South Africa and the fulfillment of its international obligations. To fulfill its international obligations, the new government reconfigured its structures and methods of work to ensure that it is responsive, efficient, effective and accountable. The government will continue to develop effective partnerships with its civil society actors to improve national dialogue on protection and promotion of human rights and fundamental freedoms. South Africa has a robust civil society movement that aims to support and advance constitutional democracy in the country. Within this framework, progress has been made on key issues such as access to justice, migration and equality, disabled and aged persons and the right to a healthy environment and natural</p>
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		<p>resources, particularly in the context of rural development.</p> <p><u>Mexico</u> has made very important advances in legal matters pertaining to human rights. The entry into force of constitutional amendments dealing with human rights and remedy of amparo and the passage of other amendments and legislation to ensure the protection of those rights are designed to place the human person at the centre of State action and to contribute to the reinforcement of a culture of human rights in the country. Organized civil society and academia are enthusiastically participating in this process. The country is thus witnessing the greatest expansion of guarantees of individual's rights since the passage of the Political Constitution of the United Mexican States in 1917. Challenges to the full enjoyment of human rights remain, however. Efforts to ensure that the new legal framework is effectively applied by all of the country's authorities must be continued and intensified. In addition, although a significant decline in the extent of social service deficits has been registered, the challenge of fighting poverty persists.</p>
Have key international HR standards and/or mechanisms influenced choice and formulation of outcome areas?	Yes	<p>All engagements are one way or another focused on climate change mitigation, sustainable development, income generation, green growth, green job creation and environmental protection. They either address the areas of right to work, women rights and gender based violence, right to better life, and right to development directly or address green growth and climate mitigation, which incorporates these features.</p>
Where relevant, is application at national level, including major gaps between human rights in principle vs. human rights in practice, evaluated and identified?	Yes	<p>The preparation has identified some of the major gaps between human rights in principle vs. human rights in practice and has included mechanisms to ensure participatory decision making, accountability and transparency.</p> <p>Another major gap is the persistence of corruption in the public services. Patron-client and favorable relationships with elites connected to elected representatives become crucial factors in access social benefits, in contravention to the principles of equality and non-discrimination.</p> <p>In this context, the programme will support mechanisms that ensure the accountability of decision-makers, and in particular, ensure that complaint mechanisms are accessible.</p> <p>Openness, free flow of information and participatory process will be followed in implementation of the DEPP engagements.</p>
Are key recommendations from UPR for the thematic programmes and from any treaty bodies, special procedures, INGOs,	Yes	<p>The responses to the recommendations from second UPR of the partnership countries are many. The DEPP addresses</p>

HNRIs etc. that require follow up at national level considered?			through the support to policy development and guidelines several of these recommendations.
Are rights-holders identified?		No	Right-holders will be identified as part of the process of implementing DEPP. Since policies and guidelines that can influence right-holders have not yet been determined, specific rights-holders are yet to be identified. It will, however, be part of any engagement activity to identify relevant rights-holders affected by the engagement activities.
Are duty-bearers identified?	Yes		The roles and responsibilities of duty bearers have been highlighted including: Engagement managers, steering committees, officials and technical advisors, and all staff hired to work with DEPP activities.
Assess whether Human Rights Principles have been applied in the preparation and in the design of the programme?			
Non-discrimination: Are any groups among rights-holders excluded from access and influence in the thematic programme areas identified?		No	No right-holders are excluded from involvement in any of the engagements
Are disaggregated data available on most vulnerable groups?		No	Disaggregated data on most vulnerable groups is not generally available. At the level of engagement most vulnerable groups will only be affected indirectly but where appropriate data on most vulnerable groups will be disaggregated where possible.
List any key support elements included to promote non-discrimination		No	HRBA checklists used in formulation of DEPP. Transparency in all Development Engagements implementation through websites. Consultation processes applied as part of implementation
Participation and inclusion: Are barriers for participation, inclusion and empowerment of rights holders identified?	Yes		Major barriers for participation in the DEPP include gender based discrimination; exclusive consultation processes; corruption and clientelism, and; lack of transparency. To address these problems, free flow of information about the DEPP and its engagements is ensured at partnership country level through targeted communication to and consultation with right-holders, through in-country websites and through Danida OpenAid.
List any key support elements included to promote participation and inclusion			In line with the partnership approach to the DEPP partners are in continuous dialogue, and the DEA partner apply Danish understanding of HRBA in all levels of the engagement implementation. In addition there will be free flow of information, openness, participatory planning, and consultation of duty-bearers and right-holders.
Transparency: Is the extent to which information is accessible to rights	Yes		Information about background of the programme, programme objectives,

holders including marginalised groups assessed? Where relevant, whether information is available in other than official languages of the country in question should be indicated.			outcomes, results activities, budget and timeframe will be accessible to all, including to rights-holders including marginalized groups, at the DEA web-page and in-country at relevant official web-sited. Information developed at engagement levels will be available in English and in languages determined by the Development Engagement Partners.
List any key support elements included to promote transparency	Yes		All development engagement involve development of policies and/or guidelines and transparency processes, including disclosure of and access to information, will be an integral part. Promotion of transparency will also be an integrated part of all partnership dialogues between DEA and DE partners both at implementation level and at high level consultations. Part of this would include discussions in steering committees on disclosure of information of both technical and financial character. Partners will be encouraged to display all relevant information on their web-page
Are key accountability mechanisms in the relevant area – both horizontal and vertical listed?	Yes		In the process of developing policies and guidelines at central level a vertical and horizontal consultation process will ensure that rule of law is followed. Policy dialogue carried on by Danish Embassies in conjunction with DEPP implementation will use this opportunity to raise any issues related to accountability in following the rule of law.
Are obstacles, e.g. capacity and political-economy incentives that duty-bearers and rights holders face to exercise their obligations and rights listed?	Yes		Awareness of rights holders will be increased through disclosure of results from development engagement activities in a view to claiming accountability to duty bearers. The capacity of duty bearers will be increased to fulfill their responsibilities.
List any key support elements included to promote accountability	Yes		Policy dialogue when Head of DEA and Embassy of Denmark participate in Steering Committee meetings will raise issues on accountability. The country specific UPR will be used to inform this dialogue Consultation processes and follow up on these Openness and free flow of information
Results/Indicators			
List any indicators designed to monitor the realisation of specific human rights			Specific indicators will be elaborated for each Development Engagement during final preparation and due consideration will be made to human rights and gender
List any indicators designed to monitor the integration of the four principles			During preparation of indicators for each of the Development engagements the

			four HRBA principles will be integrated where relevant; this will particularly include: access to information; wider consultation; transparency in decision making; gender (and other) disaggregated data; and disclosure of decision-making processes, etc.
List any key indicators chosen to track capacity of key partners (both rights holders and duty bearers)			a. By the end of the DEPP country steering committee members and direct development engagement partners are in a position to operationalize HRBA principles Several other indicators will be developed as part of the preparation process of which some will indicate key partners understanding on human rights.
Dialogue Partners			
Define key dialogue partners (duty bearers) to be addressed by the country programme			Dialogue partners addressed are: Ministers, Government officials, technical staff, local government officials, development partners.
Define key alliance partners, including other likeminded donors, multilateral partners and CSO's			Partner organizations, civil society organizations, including Transparency International, Women's Associations, academia, private sector interest organizations, media.
State major dilemmas/risks associated with the policy dialogue and proposed mitigation measures (incl. reference to Framework for Risk Assessment)			None
Gender Screening Tool			
Are key challenges and opportunities for gender equality identified?	Yes		Equal rights for women and men are enshrined in the Constitution of the four countries; but there is a deeply rooted practice of discrimination against women in the four countries, which makes it a challenge to create lasting change in general and through the DEPP in particular.
Are reference made to CEDAW-reporting, UPR, and other relevant gender assessments?	Yes		For Vietnam the CEDAW committee expressed grave concerns that discrimination against women remains a reality in Vietnam. Domestic violence, trafficking of women and girls, prostitution, the growing problem of HIV/AIDS among women, violations of sexual and reproductive rights are serious problems. For China CEDAW calls upon the State party to adopt a comprehensive definition of discrimination against women in national legislation to ensuring that women are protected against both direct and indirect discrimination in all areas of life. South Africa: It is acknowledged that progressive policies, programmes and laws have been passed and adopted on gender, but the majority of women still

			<p>do not fully enjoy their rights and this further precludes the desired attainment of gender equality in South Africa. Although gender is a transversal issue addressed by policy, there are limitations in putting policy into effective practice, meaning that gender is not fully mainstreamed in SA's social and economic development.</p> <p>In Mexico CEDAW concluded that there were grave and systematic violations of human rights and that the State party should take a series of concrete actions.</p>
Identify opportunities/constraints for addressing gender equality issues	Yes		<p>Socio-cultural stigma and restrictions, sometime, contribute to the low level of female representation in decision-making bodies and in employment in the sector.</p> <p>Furthermore, capacity development training on social economic analysis (e.g. CNREC), gender and HRBA is an integral part and will be included to raise awareness.</p>
Describe key strategic interventions to promote gender equality within each thematic programme?	Yes		<p>The country programs will be implemented through participatory processes; women representation will be sought at steering committees at country level.</p>
Explain how gender specific purposes will be reached, which strategic approach, what activities are planned			<p>Introduce a short-term national gender specialist in screening of relevant regulations and policy documents that are developed under the DEPP.</p>
Define expected outputs.			<p>This is yet to be defined, but due consideration will be taken to gender balance following the above-mentioned key strategic interventions.</p>
Identify gender equality indicators aligned with national targets on gender if possible.			<p>Gender equality index 2015 (Human Development Report) ranks Mexico 74 and China 90, indicating high human development, and; Vietnam and South Africa 116, indicating medium human development, out of total of 182 countries. In comparison Denmark is ranked 4.</p> <p>The DEPP will integrate gender indicators from national targets to the extent possible.</p>

Annex C: Climate Change and Green Growth Screening Note

Climate Change and Green Growth Screening Note

December 2016

Basic Information		
Programme title:	DEA Energy Partnership Program	
Country/region:	Vietnam, China, South Africa and Mexico	
Estimated allocation:	115 Million DKK	
Brief description of the Programme support:		
Dates (expected):	Programme committee: January 2017 Appraisal: March 107	
Climate change screening		
Assess the status of policies and strategies to respond to climate change in the country and sector. If the issue is inadequately dealt with (indicated by a tick in the “no” box), please add comments and assess the potential impact on the program (see also “next steps” section, below).		
Issue:	Yes	No
1. Are the processes and impacts of climate change documented (e.g. in national communications to the UNFCCC)?	X	<input type="checkbox"/>
2. Is there a national climate change policy or strategy , including estimates of the economic costs of adaptation?	X	<input type="checkbox"/>
3. Have nationally appropriate mitigation actions (NAMAs) and or Low Carbon Development Plans been identified (e.g. targets for renewable energy production)?	X	<input type="checkbox"/>
4. Has a national adaptation programme of action (NAPA) been approved identifying key sectors where	<input type="checkbox"/>	<input type="checkbox"/>

adaptation is required?		
5. Are there effective and operational meteorological and disaster preparedness organizations ?	X <input type="checkbox"/>	
Summarize the overall assessment of climate change impacts and responses:		
All four countries are well zoomed in on the Climate Change agenda and, with the exception of South Africa, with ambitious goals for INDCs and mitigation high on the agenda.		
Screening of Country Green Growth Framework		
Assess the status of policies and strategies for green growth and the procedures for environmental impact assessment in the country and sector. If an issue is inadequately dealt with (indicated by a tick in the “no” box), please add comments and indicate further work to be undertaken (see also “next steps” section, below).		
<i>Issue:</i>	<i>Yes</i> <i>No</i>	<i>Comments and further work to be done:</i>
1. Do national procedures and legislation for Strategic Environmental Assessment (SEA) and Environmental Impact Assessment (EIA) exist?	X <input type="checkbox"/>	
2. Are there operational Green Growth Strategies/actions plans and/or National Environmental Action plans ?	X <input type="checkbox"/>	See above
3. Are there regularly updated state of the environment reports and green growth monitoring systems with indicators ?	X <input type="checkbox"/>	All countries have SOE as requirement in their legislation. Green Growth Monitoring with indicators is an integral part of the SOEs. None of the countries report on GG alone.
4. Is there sufficient institutional and human capacity for green growth and environmental management in the sector concerned?	<input type="checkbox"/> X	The support is targeted at capacity development in climate change and green growth.
Summarize the overall impression of the Country Green Growth Framework:		
The green growth framework is in place in all countries but South Africa		
Climate change and Green Growth opportunities and risks of programme		
Assess how climate change and environmental opportunities and risks will arise through the programme:		
<i>Will the programme ...</i>	Oppor-	Risk: None:

	tunity:		
1. ... support green growth initiatives including livelihood improvements and resource efficiency	X	<input type="checkbox"/>	<input type="checkbox"/>
2. ... support the creation of decent and green job ?	X	<input type="checkbox"/>	<input type="checkbox"/>
3. ... contribute to effective management and efficient use of natural resources	X	<input type="checkbox"/>	<input type="checkbox"/>
4. ... have direct or indirect impact on climate change (e.g. through increasing or reducing emissions of greenhouse gases)?	X	<input type="checkbox"/>	<input type="checkbox"/>
5. ... have direct or indirect impact on occupational health and safety ?	X	<input type="checkbox"/>	<input type="checkbox"/>
6. ... lead to changes in land and resource tenure and access rights, including the rights of indigenous peoples ?	<input type="checkbox"/>	X	<input type="checkbox"/>
7. ... include activities within or adjacent to protected or environmentally sensitive areas ?	<input type="checkbox"/>	X	<input type="checkbox"/>
8. ... have direct or indirect impact on the resilience of communities in the face of natural disasters ?	X	<input type="checkbox"/>	<input type="checkbox"/>
Summarize and explain climate change and green growth opportunities :			
The entire program focuses on climate change and green growth opportunities and will provide a positive impact on the countries climate footprints			
Summarize and explain climate change and green growth risks :			
Where the program focus policies on renewable energy; e.g wind farms, the risk is that wind farms be place in or near protected areas and will most likely lead to change in land and resource tenures and access rights. These risks are, however, indirect because the program will not be involved in direct planning or development of e.g. wind farms.			
Identify requirements for undertaking an Environmental Impact Assessment (EIA). Categories are: [A] Full EIA required; [B] Partial EIA required; [C] No EIA required ³ .			
<i>Intervention Name</i>		<i>Category A, B or C:</i>	
1:		Select category:	
2:		Select category:	
3:		Select category:	
Will national regulations and procedures for EIA be applicable to activities of the programme that have potential environmental impacts? – Yes X - No <input type="checkbox"/>			
When will the EIA be undertaken?:			
The DEPP will only work at policy level and will only have positive environmental impacts. However, where policies will lead to interventions that may have negative environmental			

³ Category A = Intervention is likely to have adverse environmental impacts that may be sensitive, irreversible, and significant in scale/scope; B = Intervention is likely to have negative impacts, but which are less significant, not as sensitive, numerous, major or diverse; C = The environmental risk of the intervention are of little or no concern.

impacts, these will be stated and reference will be made to SEA and EIA procedures in the country.

Next Steps – process action plan

Need for further work during the preparation, appraisal and implementation of the programme arising from the climate change and green growth screening:

<i>Suggested activity:</i>	<i>Action needed</i>	<i>Comments and elaboration:</i>
1. Assessment of green growth and climate change opportunities in sector development plan.	<input type="checkbox"/>	NA
2. Assessment of capacity for green growth and climate change management in the sector/country.	<input type="checkbox"/>	NA
3. Prepare ToR for and conduct Country Analytical Work.	<input type="checkbox"/>	NA
4. Prepare ToR for and conduct SEA(s) of sector policies or plans.	<input type="checkbox"/>	NA
5. Prepare ToR for and conduct EIA(s) for programme interventions.	<input type="checkbox"/>	NA
6. Initiate donor harmonisation in the sector on green growth and climate change.	<input type="checkbox"/>	NA
7. Other...?		

Signature of Screening Note

Place and date

.....
(name)

Danish Energy Agency

Annex D: Results Framework

Thematic Programme	DEPP-Vietnam		
Thematic Programme Objective	Vietnam is in transition to low carbon economies		
Impact Indicator	Contribution to tons of carbon dioxide equivalent (tCO ₂ eq) reduced in Vietnam as a result of the program		
Baseline	Year		0
Target	Year		t.b.d.
Engagement Title	Energy Sector analysis with MOIT Planning Department		
Outcome	MOIT demonstrates cost effective power sector planning with inclusion of relevant low carbon solutions		
Outcome indicator	Long-term scenarios that consider the full cost of energy modelled through Balmorel are presented in the bi-annual Renewable Energy Outlook		
Baseline	2016		1
Target	2020		3
Engagement Title	Capacity Development of Electricity Regulation Authority of Vietnam with particular emphasis on Power Markets		
Outcome	A power-market is implemented that enables large scale RE integration		
Outcome indicator	A functional power market is in place		
Baseline	2016		0
Target	2020		1
Engagement Title	Low carbon development in the industrial sector		
Outcome	Industrial energy intensity reduced through improved low carbon policy		
Outcome indicator	Reduced energy intensity in selected industry sectors		
Baseline	2016		0
Target	2020		t.b.d.
Thematic Programme	DEPP-South Africa		
Thematic Programme Objective	South Africa is in transition to low carbon economies		
Impact Indicator	Contribution to tons of carbon dioxide equivalent (tCO ₂ eq) reduced in South Africa as a result of the program		
Baseline	Year		0

Target	Year		t.b.d.
Engagement Title	Support to DoE Planning Directorate to enhance the electricity sector planning tools		
Outcome	Verified quality data modelling and methodologies for renewable energy planning form the basis for the IEP and the IRP		
Outcome indicator	IRP is prepared using accurate assumptions		
Baseline	2016		0
Target	2020		2
Engagement Title	Technical assistance to ESKOM for renewable energy integration in electricity supply		
Outcome	Renewable energy is integrated into the power system through efficient planning, technical integration of renewable energy technologies and effective decision support tools.		
Outcome indicator	% of renewable energy in the power system		
Baseline	Year		5%
Target	Year		t.b.d.

Thematic Programme	DEPP-China		
Thematic Programme Objective	China is in transition to low carbon economy		
Impact Indicator	Contribution to tons of carbon dioxide equivalent (tCO ₂ eq) reduced in China as a result of the program		
Baseline	Year		0
Target	Year		t.b.d.
Engagement Title	Transformation of the Chinese energy system with the China National Renewable Energy Center (CNREC)		
Outcome	Progress towards making RE the back-bone of the Chinese energy system		
Outcome indicator	% of renewable energy lost because of curtailment in the Chinese power system		
Baseline	2016		20%
Target	2020		>5%
Engagement Title	Energy Efficiency with the National Energy Conservation Centre		
Outcome	Creating an enabling environment for reduction of energy intensity		
Outcome indicator	Reduced energy intensity demonstrated in selected industry sectors		

Baseline	2016		0
Target	2020		t.b.d.

Thematic Programme	DEPP-Mexico		
Thematic Programme Objective	Mexico is in transition to low carbon economies		
Impact Indicator	Contribution to tons of carbon dioxide equivalent (tCO ₂ eq) reduced in Mexico's a result of the program		
Baseline	Year		0
Target	Year		t.b.d.

Engagement Title	SEMARNAT/INECC Climate Change Mitigation		
Outcome	SEMARNAT and INECC drive ambitious mitigation action in support of Mexico's low-carbon transition.		
Outcome indicator	Energy-related CO ₂ emissions per GDP, reduced		
Baseline	2016		t.b.d.
Target	2020		t.b.d.

Engagement Title	SENER/CENACE Renewable Energy		
Outcome	Low-carbon transition of the power sector is facilitated through efficient large-scale integration of renewable energy and cogeneration into the Mexican power system.		
Outcome indicator	% of renewable energy in the Mexican power system		
Baseline	2016		?
Target	2020		t.b.d.

Engagement Title	SENER/CONUEEE Energy Efficiency		
Outcome	Better framework conditions for increased energy efficiency and energy savings in buildings and industry facilitates low carbon transition		
Outcome indicator	Regulations and mandates are transparent and municipalities actively involved in enforcing EE standards in buildings. Voluntary EE agreement between Government and selected industries is established.		

Annex E: Risk Management Matrix for the Program -- tentative

Programmatic and Institutional Risks				
Risk factor	Likelihood	Impact	Risk response	Combined residual risk
Programmatic Risks				
Poor political commitment, supported by action, to retain low carbon development	Unlikely	Major	Continue support and dialogue with Government, and through targeted engagements that supports a long term sustainability and a low carbon path	Minor
Lack of interest and ownership to the cooperation from key partners.	Unlikely	Major	Continuous close cooperation; strengthening the relations at high level in Governments	Minor
Overlap of activities with other Development Partners in the sector and overloading of partners capacity	Unlikely	Major	Program design with focus on DE partners special needs where Denmark has unique expertise and a good track-record. Continues dialogue to adjust as program evolves.	Minor
Institutional Risks				
Lack of political commitment, supported by action, to combat corruption as well as strengthen state bodies and functions to ensure rule of law effectively.	Unlikely	Major	Monitor trends and specific cases by EDK and ensure clear and comprehensive communication of risks and risk mitigation measures by DEA, including in policy dialogue.	Minor
Development partner coordination and joint undertakings lose viability because of political, rights based and/or corruption where commonly held diplomatic positions and development assistance responses are not agreed.	Unlikely	Major	Maintain a strong presence in development partner forums and lobby for harmonized approaches, including through EU.	Minor