



# **Advocating for Sustainable Energy in Central and Eastern Europe**



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# Introduction

The movement towards sustainable energy has been on the European Union's agenda for a very long time and after the ratification of the Paris Agreement in November 2016 the transition to low-carbon economy became even more essential goal throughout all sectors not just energy. Cross-sector co-operation is needed for achieving the aim of reducing the CO<sub>2</sub> emissions to keep the global temperatures from rising. It is crucial to put more effort into moving towards sustainable growth and limit climate change. Innovation and the accelerated deployment of low cost renewable energy, energy efficiency, widespread electrification and the smart use of information and communications technologies are seen as essential to accelerating energy transition.

The energy transition towards a decarbonized economy has benefits that reach beyond climate change mitigation. However, a broad and coherent mix of policies is needed to reap the positive economic, social and environmental impacts of the energy transition. Energy sector transition could bring about important co-benefits, such as less air pollution, lower dependence on imported (fossil) fuels and lower household energy expenditures, the latter helping to solve the energy poverty issue, relevant especially in Eastern Europe, which is often left aside.

This energy transition will not happen by itself. There is a critical role for governments to create policy frameworks that enable long-term development of the sustainable energy sector and ensure a favourable environment for the transition to reduce carbon intensity. However, lack of public support could hinder this process by driving costs up and delaying necessary actions needed for switching to low carbon economy. Public opposition is considered to be a major impediment in the EU policies. Therefore, improving stakeholder engagement, strengthening public participation processes and bottom-up movement in policy development could be seen as one of the key solutions.

The PANEL2050 project „Partnership for New Energy Leadership“ aims to strengthen stakeholders acting in the renewable energy field to speed up the generation of sustainable energy policies and lead the regional movement towards low-carbon economy. Trained professionals leading the efficient stakeholder engagement in energy advocacy and policy development process will ensure the development, implementation and continuity of the sustainable energy policies.

The aim of current guidebook is to provide guidance on how organisations can develop efficient energy advocacy activities, including stakeholder engagement, roadmapping, marketing and communications, fundraising and policy analysis. These skills will empower and enhance the co-operation in the sustainable energy sector. Finding a path towards sustainable development will require the pooling of diverse perspectives, knowledge and resources. The purpose of this handbook is to be a practical guide targeted for Central and Eastern European countries. The hope is that a wide spectrum of users can take it up and adapt the content to their own circumstances.

This handbook is intended to be used by a whole organisation or for individual projects or processes. Organisations who are just beginning to engage will find guidance on how to start approaching stakeholder engagement, whilst those who are already engaging with their stakeholders will also find it useful for identifying possibilities for improvement and/or further systematisation. You can adapt it to your individual, project specific or organisational needs, by following the whole methodology or by selecting specific topics from the guidebook. The structure of the handbook provides guidance for most major activities that you will have to make when considering and undertaking energy advocacy.

# 10 Key Principles of Sustainable Energy Advocacy

1. Analyze the issue closely and identify clear advocacy goals
2. Identify the key political actors and understand the political system in your area (i.e. local, regional or national government)
3. Identify all other stakeholders and prioritize their importance based upon their level of influence and interests in regard to your issue.
4. Connect stakeholders' interests to your goals.
5. Engage your stakeholders (political and otherwise) and develop relationships with them
6. Be clear about what you want from each stakeholder and approach them accordingly
7. Make sure your marketing and communications strategy is aligned with your advocacy goals and strategy
8. Stakeholders do not have to agree on everything—just enough to secure your goal
9. Social consensus isn't permanent and must continually be asserted and defended. Make sure to preserve your relationships with stakeholders for future efforts
10. Diversify resources. Do not be afraid to be creative

# Glossary

**Action Plan.** A list of the most important actions that need to be taken in order to achieve the goals in the specified time frames, considering interconnections among those actions and stakeholder attitudes/contributions. It might make sense to develop separate Action Plans for different domains, e.g. energy efficiency in public buildings, EE in private sector, renewable energy, mobility, etc.

**Advocacy.** The act or process of supporting a cause or proposal with a long-term view. (Tolotto M, Silina M. 2015).

**Agents of Change.** Agents of change are considered the actors who are contributing to the transition process in terms of developing the niches. (Seyfang, G., & Haxeltine, A. 2012)

**Bootcamp.** A short, intensive, and rigorous course of training. In the context of this curriculum, it will be targeted towards forerunners who are considered most important for promoting energy sustainability.

**Carbon Conversation.** Carbon Conversations is a 6-session course developed by Cambridge Carbon Footprint, and now operated by Climate Outreach and Information Network. During six 2-hour sessions the facilitators lead the course participants through the Carbon Conversations handbook. Carbon Conversations is "small support groups, whose goal is to achieve major, personal carbon reduction". (Aiken, G., 2012; Randall, R., 2009)

**Circular Economy.** In a circular economy the value of products and materials is maintained for as long as possible. Waste and resource use are minimised, and when a product reaches the end of its life, the material is used again to create further value. This can bring major economic benefits, contributing to innovation, growth and job creation. Circular economy offers an opportunity to boost our economy, making it more sustainable and competitive in the long run. Action at EU level can drive investment, create a level playing field, and remove obstacles arising from European legislation or its inadequate enforcement.

**Civil Society.** An arena that encompasses the collective activities by which associations of people develop and assert shared values, identities and interests, without direct recourse to market transitions or the authority of the state in the first instance (Hargreaves, T., Haxeltine, A., Longhurst, N., & Seyfang, G. 2011)

**CLEANTECH**, also referred to as clean technology, and often used interchangeably with the term greentech, has emerged as an umbrella term encompassing the investment asset in class, technology, and business sectors which include clean energy, environmental, and sustainable or green, products and services. The term has historically been differentiated from various definitions of green business, sustainability, or triple bottom line industries by its origins in the venture capital investment community and has grown to define a business sector that includes significant and high growth industries such as solar, wind, water purification, and biofuels.

**Co-evolution.** There are outlined three approaches for shaping co-evolution: incrementalism (dealing with ills through mutual adaptation) as a bottom-up approach; comprehensive planning as a top-down approach; and transition management as a combined bottom-up and top down approach of goal-oriented modulation. (Kemp, R., Loorbach, D., & Rotmans, J. 2007)

**Common advocacy.** Advocacy can be distinguished between common advocacy and lobbying. Common advocacy methods are used to enforce changes by making demands usually from outside the political structure. It involves sending out information to get a specific message across or to mobilise people in order to direct and influence the position of a particular decision-maker.

**Community.** In energy transition perspective could be either a collective whole, as the aggregate of a collection of individuals, or as a collection, small-scale or area. (Taylor Aiken, G. 2015).

**Decision-making process.** The series of steps, which results in the adoption of a law, or a formal act. These steps are clearly established by the law, which can also recognize the participatory rights of interested people (Tolotto M, Silina M. 2015)

**ECODESIGN.** The Ecodesign Directive describes ecodesign as “the integration of environmental aspects into product design with the aim of improving the environmental performance of the product throughout its whole life-cycle”. According to this definition, the environmental impact of the product is analysed throughout its life-cycle, covering all phases from cradle to grave, such as the use of raw materials and natural resources, manufacturing, packaging, transport, disposal and recycling.

**Economy of scope.** Economies of scope is an economic theory stating that the average total cost of production decreases as a result of increasing the number of different goods produced simultaneously. For example, McDonald’s can produce both hamburgers and French fries at a lower average expense than what it would cost two separate firms to produce each of the goods separately. This is because McDonald’s hamburgers and French fries are able to share the use of food storage, preparation facilities and so forth during production.

**Energy Co-operative.** A type of community-funded democratic cooperative with a board of directors and community shareholders created and designed to empower members of a community with an opportunity to invest their income or money in a cooperative that aims to create, design, plan and implement a variety of ethical renewable energy projects, renewable energy research, renewable energy designs, renewable energy products and services within their local community that have tangible benefit to the community and create sustainable forms of renewable energy.

**Energy transition.** A shift from a system dominated fossil-based energy towards a system using most renewable energy sources, also maximizing the opportunities available from increased energy efficiency and better management of energy demand (Urban Innovative Action 2015).

**Energy/Emission Baseline.** Includes a current situation analysis of the key factors affecting the roadmap, such as energy supply and demand, economic growth, technology commercialisation and readiness, infrastructure development and needs, institutional capacities, and energy and environmental policies and regulations.

**Forerunner.** A person that precedes the coming or development of someone or something else – in this context transition to more sustainable energy regimes within a community. Forerunners are the actors this curriculum is intended to teach so that they can precipitate change.

**Grassroots.** Referring to initiatives undertaken by committed activists within civil society arenas, they highlight several important ways in which grassroots innovations differ from the more mainstream, market-based innovations that, to date, have been the mainstay of both empirical research and theoretical development in innovation studies. (Hargreaves et al, 2013)

**Harder Energy Technology.** Initiatives such as nuclear power, carbon capture and storage, large dams and barrages, offshore wind, and other ‘titan technologies’ (Smith, A. 2012) See also Softer Energy Initiatives.

**Lobbying.** The Council of Europe understands lobbying generally as a “concerted effort to influence policy formulation and decision-making with a view to obtaining some designated result from government authorities and elected representatives. In a wider sense, the term may refer to public actions (such as demonstrations) or ‘public affairs’ activities by various institutions (associations, consultancies, advocacy groups, think-tanks, non-governmental organisations, lawyers, etc.); in a more restrictive sense, it would

mean the protection of economic interests by the corporate sector (corporate lobbying) commensurate to its weight on a national or global scene."

**Niche Growth.** In the process of the niche development, the key player is the Key Knowledge-dissemination process that provide the possibility for the knowledge-based interpretations of the growth. Studies describe the process of the grassroots-based innovations development for the niche growth and five core stages (Seyfang, G., & Longhurst, N. 2013), in particularly:

**Stage 1.** The spread of knowledge leads to new projects emerging in novel contexts;

**Stage 2.** The diffusion of currency projects in a country has led to the emergence of national networking organisations;

**Stage 3.** Knowledge being produced meaning that facilitating networking and learning between projects; aggregating knowledge; providing resources to assist with the establishing of new projects;

**Stage 4.** This then feeds the further circulation of knowledge through both popular and specialist media channels, including some specific forms of knowledge infrastructure for gathering and disseminating this information;

**Stage 5.** At the final stage of the cycle, new models emerge, inspired by an existing currency but adapting or hybridizing into a new type of system.

**Niches and Social Innovation.** In recognition that systems exhibit 'lock-in' and 'path-dependency', a growing body of research seeks to understand the dynamics and governance of system-wide transformations and social change for sustainability. Historical studies of socio-technical systems transformations have revealed that accumulations of projects in experimental 'niches' have triggered widespread systems-change when those dominant systems have been under tension (Geels and Schot 2007)

**Niches.** Niches are protected spaces where projects can develop away from the normal selection pressures of mainstream systems, offering supportive networks to allow experimental new systems to take shape, such as business incubators, subsidized technologies, or ecovillages. (Geels and Schot 2007)

**Roadmap.** A strategic plan that lays out the steps a community will take to achieve specific outcomes and goals. It outlines these goals as well as related tasks in the short, intermediate and long term. An effective roadmap also includes measures to allow tracking of progress towards reaching the set goals

**SEP – Stakeholder Engagement Person.** The person inside the organisation who in charge of managing the stakeholders. The main task of the SEP is to identify relevant stakeholders from different sectors of society, including both those who are supportive as well as those that could be considered 'opponents' to efforts, such as certain industrial actors. This includes identifying stakeholders that are not engaged current energy transition, but could have a significant impact on the process. SEP also creates strategies for reaching out to stakeholders they have previously not communicated with – and creating rebuttals to the claims or arguments made by opponents and establishes good personal communication with the identified stakeholders and start networking as soon as possible. This means attending different meetings (i.e. Chamber of Commerce or trade associations). It also means setting up meetings with different stakeholders.

**Social Practice Theory SPT.** SPT focuses on transitions in practices as entities (idealized and abstract forms that are historically and collectively formed) and as performances (the grounded enactment of practices conducted as and amid everyday contingencies). Practice theory argues that practice is social, as it is a 'type' of behaving and understanding that appears at different locales and at different points of time and is carried out by different body/minds. Practice theory as a version of cultural theorizing, distinguishing it from norm (*homo sociologicus*) or purpose oriented (*homo economicus*) theories of action and from other cultural variants, including those that are, in his terms, grounded in mentalism (locating the social

in the human mind); teetotalism (the social operating on the level of signs and symbolic structures) or inter-subjectivism (the social being located in interactions). (Hargreaves et al, 2011; Reckwitz, 2002, p. 250)

**Socio-technical Change.** Nature of socio-technical change is accounted for in large part by the embedding of existing technologies in broader technical systems, in production practices and routines, consumption patterns, engineering and management belief systems, and cultural values-much more than it is by engineering imagination (Kemp, R., Schot, J., & Hoogma, R. 1998).

**Soft and Hard Energy paths.** Environmental activism in civil society has a long history of challenging the orthodox views of energy policy and business elites; as indicated in long-running debates about “soft” and “hard” energy paths. (Smith, A. 2012)

**Softer Energy Initiatives.** Primarily, though not exclusively, decentralized and conservation-oriented originating in an environmentalist milieu are now beginning to gain mainstream interest and respectability. (Smith, A. 2012). See also Harder Energy Technology

**Stakeholder.** Whose interests are affected by the issue and whose activities affect the issue; Groups that possess/control information, resources and expertise needed for strategy formulation and implementation. Stakeholders are those participation/involvement is needed for successful implementation. (Bertoldi et al, 2010)

**Sustainable Development.** Sustainable development was defined in the World Commission on Environment and Development's 1987 Brundtland report 'Our Common Future' as 'development that meets the needs of the present without compromising the ability of future generations to meet their own needs'. In 2001, the EU adopted a strategy in favour of sustainable development. This was revised in 2006 providing 'a long-term vision for sustainability in which economic growth, social cohesion and environmental protection go hand in hand and are mutually supporting'. The European Commission's review of the strategy in 2009 highlighted the persistence of some unsustainable trends and the need for greater efforts in their regard. However, it also noted the EU's progress in mainstreaming sustainable development in many of its policies (including trade and development) and pointed to the lead it has taken regarding climate change and promoting a low-carbon economy.

**Technological Regime.** The whole complex of scientific knowledge, engineering practices, production process technologies, product characteristics, skills and procedures, and institutions and infrastructures that make up the totality of a technology". A technological regime is thus the technology-specific context of a technology which pre-structures the kind of problem-solving activities that engineers are likely to do, a structure that both enables and constrains certain changes. (Kemp, R., Schot, J., & Hoogma, R. 1998)

**Transition Management.** A multilevel model of governance, which shapes processes of co-evolution using visions, transition experiments and cycles of learning and adaptation. Transition management helps societies to transform themselves in a gradual, reflexive way through guided processes of variation and selection, the outcomes of which are stepping stones for further change. It shows that societies can break free from existing practices and technologies, by engaging in co-evolutionary steering. (Kemp, R., Loorbach, D., & Rotmans, J. 2007)

**Transition.** A set of connected changes, which reinforce each other but take place in several different areas, such as technology, the economy, institutions, behaviour, culture, ecology and belief systems. A transition can be thought of as a spiral that reinforces itself; there is multiple causality and co-evolution caused by independent developments". (Smith, A., Fressoli, M., & Thomas, H. 2014; Rotmans et al., 2001)

**Vision.** Design of the preferred pathway in the form of scenarios including concrete objectives to be reached at the end of a specific timeframe.

**World Cafe or Knowledge Café** is a structured conversational process for knowledge sharing in which groups of people discuss a topic at several tables, with individuals switching tables periodically and getting introduced to the previous discussion at their new table by a “table host”. A café ambience is created in order to facilitate conversation. In some versions, a degree of formality is retained to make sure that everyone gets a chance to speak.

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Urban Innovative Action 2015

# Chapter 1. Transition to Low-Carbon Economy

## The EU and Energy Transition

The EU has set the path towards a more sustainable future for Europe. By supporting key international agreements for reducing the effects of climate change, Europe is leading this global process. As the main source of greenhouse gas emissions (GHG), the Energy sector, (including grid operators, renewable energy sources, nuclear energy, hydro, solar and wind energy) is the focus of this transition process. Other important targets include industries that produce large amounts of GHG such as transport, buildings and construction as well as sectors that are large users of electricity (services, agriculture, households (EEA 2015) and end users or consumers.

The rise of the “smart economy” (which combines traditional activities with digital services) is already reshaping Europeans’ lives. New flexible production models tailored for the economy of scope, meaning the diversifying the market, offers an efficient alternative to traditional resource heavy industry. New innovative ideas regarding eco-design and the circular economy are reducing the material usage and the environmental influence of production of goods. Reduction of energy usage has been of constant interest to industries as a means of reducing the costs of production. Furthermore, technological development has improved the energy efficiency of industrial production throughout the production chain (Smil, 2008).

Next steps in strengthening the energy efficiency actions should focus on the shift from carbon heavy energy sources (oil, coal, oil-shale) to low-carbon ones (wind, solar, biofuels), often referred to as the ‘energy transition.’ This term describes the totality of the social, economic, technological and political changes that must be made to shift from a fossil fuel dominated economy towards one with reduced emissions, improved resource efficiency and improved human welfare. The energy transition from a fossil fuels dominated economy to a low carbon one has become the critical dimension for European Union energy policy, fuelling its commitment to reduce the carbon intensity of the economy by 43% by 2030 (Clean Energy for all Europeans 2016, p 2). The policy target seems ambitious considering that the EU average for greenhouse gas emissions has only decreased ca 25% during the past thirty years and has increased in the past years again. Furthermore, the European community has committed to reducing its CO<sub>2</sub> emissions up to 80-95% by 2050. The EU has in recent years also imposed certain policy instruments and support mechanisms to encourage member states to meet these energy targets and make transition more likely. It has certainly worked to some degree, as all the EU member states have made political commitments to shift to renewable energy sources in an effort to achieve EU2020 energy goals.

Member states have also expressed a willingness to try and meet the targets of the EU Energy Roadmap 2050, which unifies the energy targets for 2020 and 2030 strategies and sets the long term vision for the member states. The Energy Roadmap 2050 carries the message that “decarbonisation is feasible” The target of GHG emission by 80-95 % is mostly discussed in frames for the economic sustainability of the Union. It demonstrates that a low carbon future under any scenario is cheaper for Europe than continuing a fossil-fuel regime. The transition is addressed via enhanced social dialogue involving citizens and consumers, thus transforming policy development into something bigger than just rearranging EU energy governance. The Energy Roadmap sets out four main policy directions that must be taken to achieve these: improve energy efficiency, increase renewable and nuclear energy supply, and expand the use of carbon capture and storage.

# The Energy Union

The EU further developed its approach to promoting energy transition with the “Energy Union” concept, which was consolidated in the Energy Union Package (2015). The Energy Union refers to building the common energy market and facilitating the free energy flow of the energy across the EU member states. The idea is to unify the resources to secure the energy supply in EU for every citizen. The concept has five important dimensions, each of which is important to the well-being of the EU but also are relevant when carrying out the energy transition:

## **1. Energy security, solidarity, and trust;**

The dimension was derived from the Green Paper on Energy where EU identified the universal pillars for energy policy such as security, competitiveness and sustainability. The idea of first key dimension here is to make sure that the EU member states have the same understanding and commitment to common energy future and sustainable life for EU citizens. Building the common energy market secured from external interruptions become important after EU faced the threat on international level to lose the control on its own energy supply and sources.

## **2. A fully integrated European energy market;**

That means enabling the flow of energy without any technical and legal barriers. In terms of energy transition this dimension is important to coordinate the unification of energy supply and demand is consistent and coherent on EU-wide. It makes easy to ensure that the EU member countries are on the same track, transitioning to cleaner energy.

## **3. Energy efficiency contributing to the moderation of demand;**

According to this dimension an improved energy efficiency will reduce dependence on energy imports, lower emissions, and drive jobs and growth. Diversifying the energy sources is beneficial for energy market to become inclusive for the alternative energies such as wind, solar, blue, biomass and geothermal.

## **4. Decarbonizing the economy;**

The EU is committed to a quick ratification of the Paris Agreement and to retaining its leadership in the area of renewable energy. The fourth key dimension is important to make sure that the transition process is simultaneous to the international climate actions.

## **5. Research, Innovation, and Competitiveness**

The fifth dimension supporting breakthroughs in low-carbon and clean energy technologies by prioritizing research and innovation to drive the energy transition and improve competitiveness.

The key five dimensions were based on four major objectives of Energy Union package governance, such as: (i) Meet Energy Union objectives (notably the 2030 targets, including a 2050 perspective); (ii) Enhance investor certainty and predictability; (iii) Promote Better Regulation and reduce administrative burden; (iv) Ensure compliance with the EU's international climate commitments.

Underlying all of these five focus areas is the idea that European “...citizens should take ownership of the energy transition” (Energy Union Package, 2015, p 2). This has two important elements, first that citizens should have a voice in the transition process and second that they can do so in part by changing their consumption behaviour to support energy transition. This includes adopting new technologies like energy efficient appliances, smart-meters and consumption-monitoring apps to reduce their energy consumption, making greater use of sustainable energy sources by investing in small-scale renewable energy production units and developing community energy organisations to increase the energy security of their region and community.

The Energy Union indicates three benchmarks as indicative renewables trajectory for member states – 24% in 2023, 40% in 2025 and 60% in 2027 applicable at both EU and member state levels. In this way, we “will guarantee that all EU countries make a constant and incremental contribution towards the final goal” (Governance of the Energy Union 2017, p1).

To ensure that EU energy goals are met at all levels, the Energy Union Package defines energy governance as monitoring the process of adoption and implementation of the Energy Union Targets on EU, national and local level. The package also defined the streamlining process as a requirement for national governments. The governance model of the Energy Union is important in guiding how the local groups in CEE region advocate the transition process on the local grass-root level as well as on the national and governmental level. The governance of Energy Union is complemented by three elements of the Energy Union governance:

- National Integrated Energy and Climate Plans (2021 to 2030) (prepared well before 2020)
- National progress reports (from 2021, every two years)
- European Commission monitoring (State of the Energy Union)

The Energy Union is a comprehensive approach to tackling the transition process in the European Union. However, it does not take into account regional differences that can be barriers to the transition process. As we will describe in the next section, this is especially true of the Central and Eastern European countries.

## Central and Eastern Europe: Challenges to moving forward

The energy transition of Eastern Europe can absolutely be presented as a success story inside its own limits. The reduction of energy consumption in the last 25 years within the region has been remarkable, although it is partly due to reduced industrial and agricultural production after the collapse of the Soviet Union. Energy infrastructure across the region has been extensively renovated, service providing energy companies, such as electricity distribution and transmission companies, have been restructured and the skills of the work force have been improved. The change of the economic model of the energy sector has been most remarkable - now operating successfully on the free market in compliance with European single open market regulations (EC, 2017)

Within the CEE, the reduction of energy consumption has mostly happened outside the energy sector itself. It has been the outcome of the wider economic development (reduction of industrial and agricultural production), not by replacing old energy sources with new, more efficient ones, such as upgrading energy production to modern, low-emission systems. As a result, the energy intensity of the economy has not been significantly reduced despite the modernization of the energy sector (see Figure 1).

Although upgrades to more efficient technologies would be more financially beneficial in the long run, CEE countries are often unable to do so due to limited availability of capital for investment. Very often, new investments increase the security of energy supply but do not reduce the energy and carbon intensity of the economy. Some of the new investments can even have a long-term negative impact by creating an additional financial barrier for new technologies to enter to the market. Investing into fossil fuel production for improving the security of supply will hinder the uptake of renewable energy technologies. The cost of the additional investments will be significantly higher and will artificially reduce the feasibility of renewable energy projects.

The CEE's transition into the liberal-capitalist system, which generally speaking focuses more on large-scale production and maximization of individual material benefits can have created new problems that jeopardizes our ability to reduce carbon consumption. This is because our materialistic culture – the things surrounding us, has a price, that is paid not only with money but also in units of resources used (energy, water, ecological services etc.), some renewable and some non-renewable (Smil, 2008 and 2014). A faster production cycle puts ever-growing pressure on these resources, which can damage the natural environment. Furthermore, with the global production model that has separated producers and consumers geographically, the direct negative environmental and health impact can be 'transferred' to a different country (usually to a 'developing or a third world' countries with low environmental regulations and cheaper labour) but it will not disappear. Those countries however lack the

### Energy intensity of the economy

Gross inland consumption of energy divided by GDP (kg of oil equivalent per 1 000 EUR) – 2015

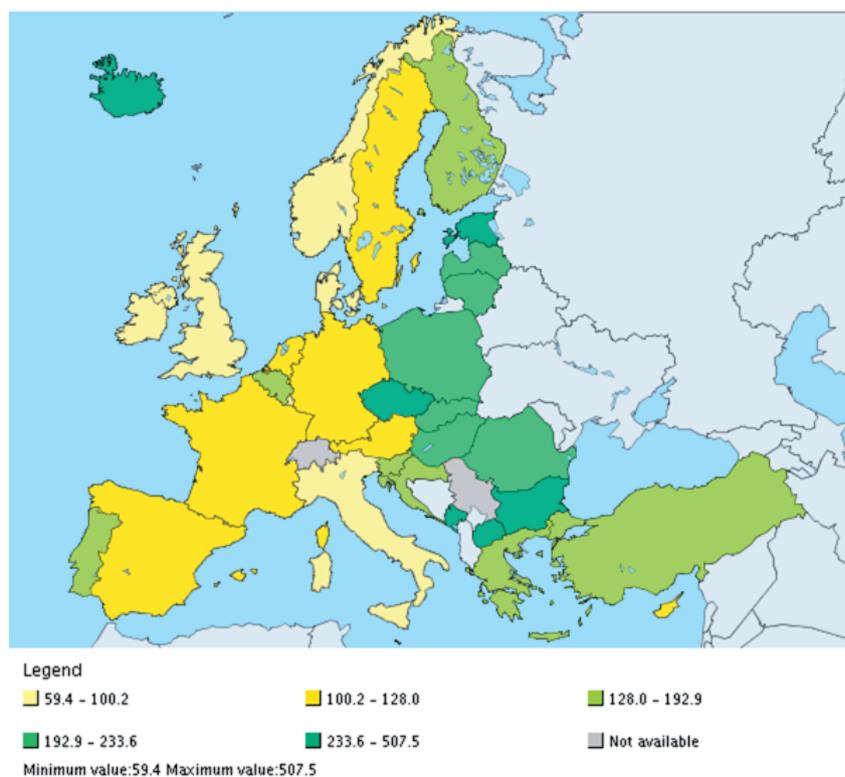


Figure 1. CEE countries have the most energy intensive economies in European Union. Source EUROSTAT.EU

## EXAMPLE OF IMPLEMENTING ENERGY EFFICIENCY

The Province of Limburg in Belgium aims at becoming climate neutral by 2020. The **ESCOLIMBURG2020** project is helping the province to reach this target by strengthening an existing ESCO-offer.

This helps relieve the local authorities from complex investment processes. The project will accelerate a large scale retrofitting of the public building stock of the 44 municipalities and the province itself, allowing for the implementation of energy efficiency and renewable energy measures in the stock.

Since the start of the project in April 2013, it has delivered the following cumulative results: 28.9 GWh of energy savings, 7.0 Kt CO<sub>2</sub> reduction and triggered investments in the amount of EUR 5.8 million.

### Results

- 40 Local authorities with a customized Retrofit and Renewables action plan for their public building stock
- Achieving a reduction of GHG emissions of 19.504 tons of CO<sub>2</sub>e/year and at least 4.352 MWh/year of energy savings / 2.170 MWh/year of renewable energy
- 'Future proofing' the construction sector through capacity building (affecting growth of the number of skilled actors in the construction sector, promoting the generation of new green jobs related to the implementation of energy facilities estimated a total amount of 100).

More information about this project can be found at: <http://www.escolimburg2020.be/>

ability and financial capacity to deal with consequences so the pollution and health problems accompanying carbon-intensive production causing serious social and environmental damage. Not to mention that with certain types of pollution (air, water, plastics, etc.) it spreads easily over the country borders, thus having direct and indirect effect globally.

Some European countries are forerunners of this process with more than half of their energy consumption based on renewable sources (for example Denmark, Sweden, Norway). Within the CEE, Latvia, Albania and Austria are leading the transition process. in the end consumption of energy one third comes from renewable sources (Figure 2, Eurostat 2017). However, traditional coal regions, like Hungary, Slovakia and Poland are behind this process, with the 1/8 share of energy consumption based on renewable sources. Moving away from the dominating production models in the traditional coal regions is one of the biggest challenges of energy transition in CEE countries as several aspects (i.e. economic, social, environmental) must be dealt with at once.

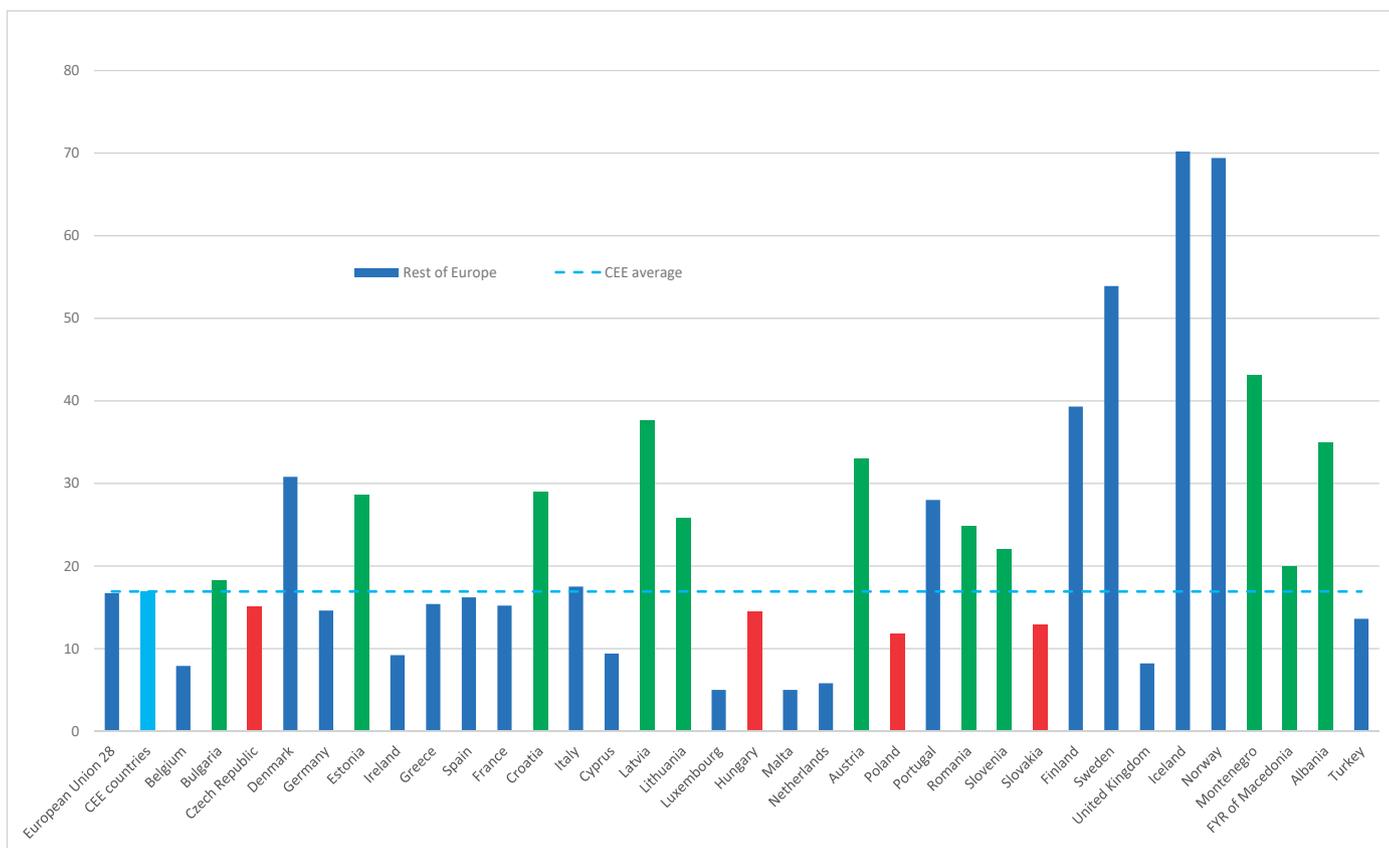


Figure 2. Share of energy consumption based on renewable sources. Source EUROSTAT 2017

Unfortunately, the traditional coal communities may not have the necessary knowledge and readiness to reshape their economic model. A lack of technical and investment capacity are not the only obstacles as these communities also face social challenges beyond their ability to solve: lack of jobs, economic opportunities, environmental and health risks, and aging population with strong outflow of younger generation. Offering combined solutions to these challenges must be the focus of any energy transition effort.

Even with the progress of CEE region in energy transition, there are challenges that the region is facing. The examples of successful cases in CEE region are rare. For example, out of 6038 sustainable energy and climate action plans created via the Covenant of Mayors – only 297 (or 4.9%) come from Central and Eastern Europe cities. Furthermore, only 7.4% of CEE action plans (22) commit to take action to adapt

to climate change. And only 5.1% of CEE action plans (15) commit to reaching the more stringent 2030 goals (reduce CO<sub>2</sub> emissions - and possibly other greenhouse gases - by at least 40%, increase their resilience to the impacts of climate change and provide secured access to sustainable and affordable energy by 2030).

Furthermore, the carbon emissions in CEE countries are still relatively high compared to the Western Europe (Figure 3). Within PANEL2050 project, an analysis of targeted areas of CEE region was conducted. The studies gave us an insight of what is the energy context and challenges are in the CEE region. The analysis covered total population of 13 731 280 inhabitants from the following partner regions:

- South Bohemia in Czech Republic
- Northeast Planning Region in Macedonia
- Ignalina Nuclear Power Plant region in Lithuania
- Bucuresti – Ilfov region in Romania
- Podravje region in Slovenia
- Mazovian Voivodeship in Poland
- Estonia
- Vidzeme region in Latvia
- Pleven region in Bulgaria, and
- Borsad-Abaúj-Zemplén and Heves regions in Hungary

The regions under observation are very diverse in their social, economic and climatic conditions. Energy intensity of the regional economy (measured by kWh per 1,000 EUR GDP) showed that the regions are quite different and cannot be divided into specific categories. The EU-28 average, considering only final

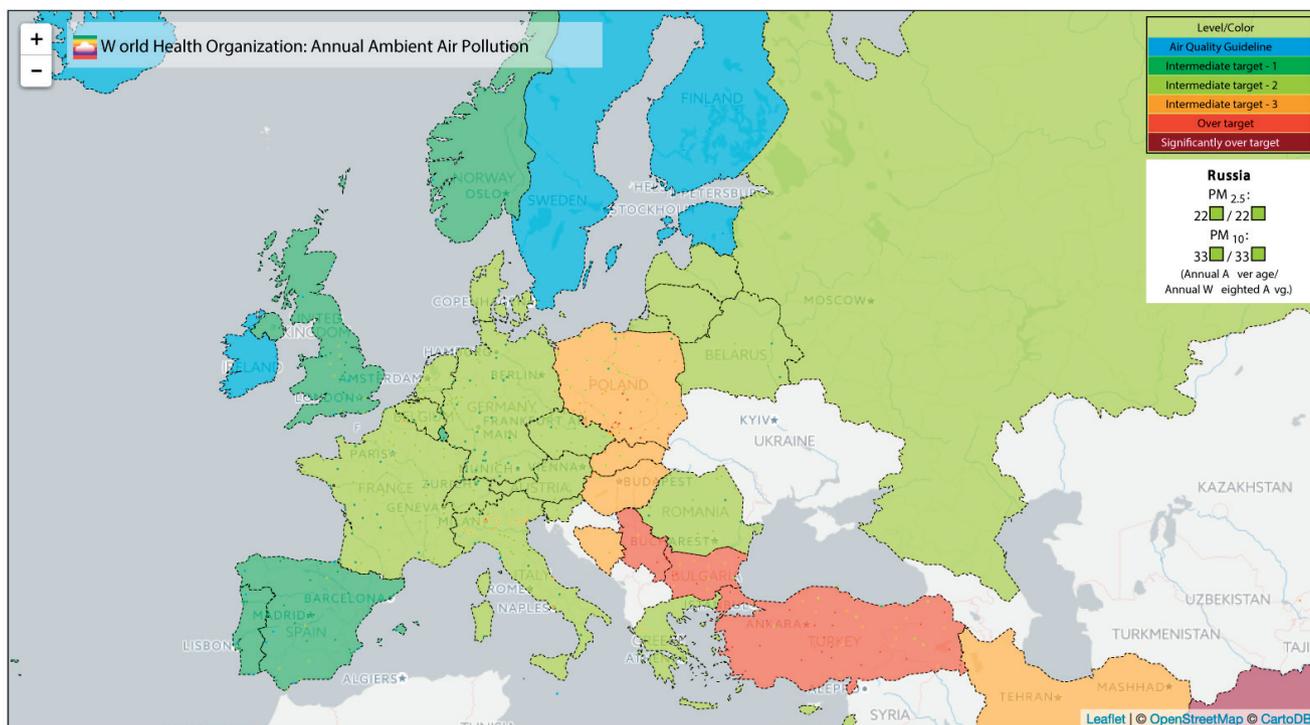


Figure 3. Air pollution in European cities in 2014. Source: WHO and aqicn.org

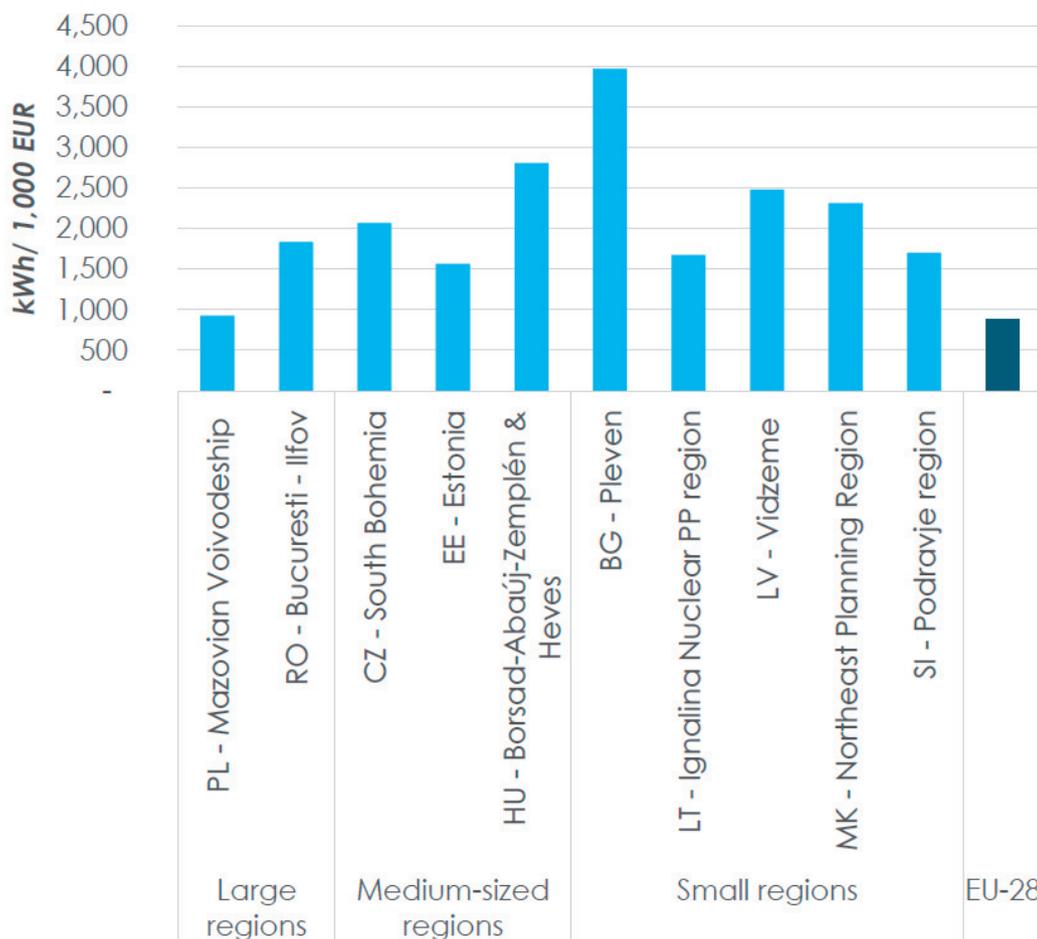


Figure 4. Energy Intensity (Energy Efficiency Situation in Central and Eastern Europe, PANEL2050, 2017)

energy consumption, lies below all of the presented Central and Eastern European regions (880 kWh/1,000 EUR GDP; see Figure 4). This verifies that Eastern European countries' energy intensity is generally above the EU average, mostly due to inadequate investments in the past.

The high availability of renewable energy sources is a major strength of the PANEL2050 regions, however this is diminished by the lack of awareness for sustainable energy in the population (reported to be high enough in only half of the regions). For most of the CEE regions surveyed, the lack of adequate energy data has been found to be a major weakness for sustainable energy planning. This is further depreciated by the lack of regional authorities/contact points responsible for energy planning. In some regions, the transition towards low-carbon economy is hindered by strong lobby for fossil fuel based energy combined with lack of (financial) incentives for sustainable energy.

Climate change was identified as a general challenge for the CEE region. For the energy sector, high reliance on public support in the form of subsidies was identified as a major threat. The sudden discontinuation or change of subsidy schemes can trigger a rapid decline of demand and severely damage new or growing markets for energy technology and services.

For some regions, changing demographics might also pose a threat for energy development. Particularly in the residential sector, the ability to invest in renewable energy or efficiency measures depends on household income and is thus hindering the transition in poorer regions. Regional energy consumption

might decrease, but due to the need to maintain the infrastructure, it is expected that the kwh/capita will stay the same.

According the Eurostat, the risk of poverty and social exclusion was high in Baltic, Central and Southern EU members states which was also made worse by the high population still living in rural areas in CEE region (Eurostat, Share of people at risk of poverty or social exclusion, by degree of urbanisation, 2017).

The transition opportunities for PANEL2050 regions were very specific to the regions and only a few overlaps were identified. Mainly, the usage of renewables was seen as major opportunity for the regional economy. Supported technological progress in renewable energy generation and energy efficiency technologies gives CEE regions the opportunity for the strong development towards a low carbon economy.

## Post-Soviet Legacy and Capitalist Consumerism in CEE region

The expansive consumeristic attitudes of the nation are working against the ideas of sustainability thereby combating sustainable energy advocacy.

Beyond the technical, economic and social barriers that any developing region faces when trying to transition to low-carbon economies, the CEE region has a unique shared history that creates an additional bottleneck. Altering the consumption habits of people is as important as changing the production models and neither can be done quickly. The mass consumption culture and consumer society has risen rapidly in the countries of Eastern Europe since the fall of Soviet centrally planned economy. Peoples' 'willingness to consume' (Ropke, 1999) has been transferred from Western Europe and especially from United States to Post-Soviet countries in the last three decades. This is well-learned behaviour, based on economic development, which has improved

living standards together with the peer pressure through mass media social media. In Eastern Europe, this attitude is a relatively new one, and is in sharp contrast with the 'survival skills' of previous generations that have grown up under the Soviet regime. Within one generation, people's expectations for and consumption of the material world around them has grown so dramatically that one will have hard time distinguishing people walking on the streets of Warsaw or Budapest from those on the streets of London, Berlin or New York City. The change to a more homogenous mix of national appearances indicates an even more profound change of public expectations and practices (the role of everyday practices is well developed in Shove & Walker, 2010 and in Vihalemm et al. 2015). The new expectations notably influence the acceptance of ideas of sustainability and can add additional barriers to the path to more sustainable living as current intensive consumerism demands production of cheaper and faster goods that often has serious environmental consequences.

Proposing and discussing the limits should always be part of the energy transition process.

The negative environmental impact of intensive mass consumption can be reduced somewhat (by designing better products, reducing waste in the production process, consuming only environmentally sound products etc), but it cannot be eliminated. Every system has its boundaries and there are empirical limits for the growth (Meadows et al. 2004). Accepting and staying in these limits, in addition to improving process sustainability and efficiency, can avoid environmental damage of overconsumption and lead to better economic and social welfare.

# Opportunities for the CEE region

Despite the many challenges that the CEE region faces in transitioning to low-carbon economies, doing so offers many opportunities that could benefit the region in multiple ways.

Fast-developing economies can gain from efficient and environmentally friendly energy production as it adapts the communities to the changing demands of the globalized world. Locally produced goods and services would be able to reduce the large environmental footprint that today reflects carbon intensive energy production models. It has been shown that the using the locally produced food reduces the carbon footprint of your food by up to 7%. The production and of food and the supply takes around 87% of food carbon footprint in general. Furthermore, the environmental cost of consuming everyday services could be lowered by introducing low-carbon lifestyle for the wider public. Most countries in the CEE region experienced an overall increase in electricity consumption over this period, except for Lithuania, Romania, Bulgaria and Latvia. For example, the European initiative of energy labelling of products helps end users to make more informed consumption decisions and help the process onwards.

Economic redevelopment of the traditional industrial regions to 'green islands' benefits from the energy transition process. 'Green Islands' are communities that are using the green energy, such biomass, wind, solar, etc. as main source of energy for their own energy independence. Historical roles of the energy producing and consuming regions can be re-negotiated during the redevelopment process, offering new streams of income for these communities. Global forces have also pushed Europe towards adopting an economic model that prioritizes the service economy over traditional production. Simply put, it is difficult to compete with East Asia's low production costs. Producing sustainable energy on the other hand has a clear advantage in this situation, as the clean energy production cannot be easily outsourced over the long distances (differently from fossil fuels that are often imported into the region).

Raising consumer awareness and their demand for sustainable, fairly produced goods also strengthens this transition. Locally produced goods can (and should) be consumed locally (or regionally); in addition, it creates new jobs and offers new services in the community, strengthening it also socially not just economically. Combining clean energy with the clean production technologies of goods can offer additional economic benefits. This idea is strongly represented in the concept of CLEANTECH and successfully used in many communities, especially in Nordic countries, which are forerunners in adopting CLEANTECH as well as circular and bioeconomy models. Although switching to CLEANTECH is expensive, CEE countries should seek to adapt this innovative model so that they could increase efficiency industrial production and offer risk management thus accelerating the transition to low-carbon economy.

## Tackling the Challenges in CEE region: Cooperation in the Central and Eastern European Sustainable Energy Network.

Tackling the challenges in CEE region requires strong multi-institutional cooperation in the energy sector. After adopting the Energy Union policy, the cooperation between different stakeholders became the only way to mobilize the institutional and human resources on the local level to make the energy transition happen.

Co-operation models can be based on institutional co-operation (i.e. public transport service provider collaborating with waste management utility to develop a biogas bus network) but can also be the outcome of co-operating citizens (as private members of an Energy co-op). Voluntary co-operation of individuals, private and public entities (including non-formal cooperation) is at the core of local sustainability movements like Transition Towns. Additional value can be generated from trans-regional or international cooperation of “forerunners” (people who are leading efforts to make the transition away from fossil fuels) who can share their ideas and inspiration between communities.

Energy transition will benefit from both clusters and industrial symbiosis as well as from non-formal co-operation.

Institutional co-operation can also help to coordinate investments and develop more focused areas of expertise. One of the examples of well-developed institutional co-operation is the clustering of enterprises with one shared aspect (energy, ICT, material production etc) along the value chain of the product or service. Clustering can help to share and reduce the costs for production – research, testing, promotion, training etc. Clustering companies with a sustainable energy agenda can lead to strong development in these areas. Green Energy Clusters, Eco-Innovation Clusters, Near-Zero-Energy-Building Clusters,

are just a few examples. Clustering initiative itself does not require additional investments because of the focused role of private enterprises but can encourage new private investments to occur in the process or as an outcome.

An interesting model for mixing institutional and non-institutional cooperation is the Energy co-operative. A cooperative is an autonomous association of persons who voluntarily cooperate for their mutual social, economic, and cultural benefit, such as Brighton Energy Co-operative in UK or Ecopower in Belgium. Cooperative members will provide the investments required for energy production. In many cases, they also will be the main users of the produced energy. The members can be either organizations or citizens with smaller or bigger investments and sometimes extra precautions are taken to reduce the effect of ‘big money’ to give more value to wider participation instead of higher investments.

Learning from the experiences of the people that are facing the similar challenges is highly beneficial.

Institutional and non-institutional cooperation in the form of networking and advocacy can play an important role in policy development, as having political and opinion leaders advocating your message is highly influential. This is because promoting a new vision of the low-carbon economy requires reaching out to the wider public to find support where it already exists and to debate or convince sceptics and opponents. Building up support for the energy transition requires active work with members of the community who

may at first not see the long-term benefits of this process. Methods for doing so successfully are described in chapters 3 and 4 of the current guidebook.

A sustainable energy network can also be helpful in forming new alliances for a more successful transition in CEE countries. Reaching out to likeminded, active and innovative people outside of their communities can be very beneficial for current and upcoming leaders. Developing international networks based on mutual values and interests can help leaders to share experiences and support the work of each other across the regions. Sustainable energy development in CEE countries shares many similar challenges and efficient networking and knowledge transfer might already overcome some of them.

Developing local cooperation can be challenging. In many cases the local institutions are not used to developing networks and do not see the real value on dedicating their time to stakeholder engagement. The process itself can be simplified to include a few useful and practical steps. These steps (mapping stakeholders, analysing their role, contacting them and winning their interest) will be described in Chapter 4. The engagement process is also an important part of creating Energy Roadmaps best fitted to local conditions, which will propose a way of moving towards being a low-carbon economy. Energy Visions,

Roadmaps and Action Plans are the base of the efficient and sustainable long-term energy planning process, which is described in detail in chapter 5.

Energy management in Eastern Europe has been a centralized process with the focus on changing administrative, top-down decisions, based on the specific knowledge of the few experts involved. However, successful transition to low-carbon economy requires participation of different actors from different levels – experts, decision makers, producers, consumers, research and financial institutions etc. All these actors can play a significant role in developing the energy future for their communities. Involving them helps the energy transition process to be more open, transparent and engaging and reach mutually beneficial goals (and can also decrease opposition).

## The Partnership for New Energy Leadership (PANEL 2050) Model

Funded by EU Horizon 2020 grant 696173. The PANEL2050 project has developed a multidisciplinary approach to promoting energy transition in the CEE region, combining stakeholder engagement and networking with political theory and energy planning. As an outcome, a set of tools – the PANEL model – are created for supporting energy transition in local communities. Ten CEE regions implemented the PANEL model during the project and have developed Roadmaps supporting local transition to low-carbon economies.

The PANEL2050 model (See figure 5) was designed to target important stakeholders and to trigger institutional and non-institutional cooperation. The PANEL 2050 model is a comprehensive approach for implementing local long-term energy management, supported by the community. It consists of seven main elements: Stakeholder Engagement, Training Program, Guidebook, Long-term Energy Visions/Roadmaps/Action Plans and Central and Eastern European Sustainable Energy Network CEESEN. These elements have been developed by the PANEL 2050 project to support CEE communities in achieving their sustainability goals.

### PANEL2050 model for Central and Eastern Europe Sustainable Energy Network CEESEN



Figure 5. PANEL2050 Model for Central and Easter Europe Sustainable Energy Network CEESEN

Stakeholder Engagement is taking a strategic approach for engaging the community in local energy management. Stakeholders are invited to participate in long-term energy planning, bringing their knowledge and validation into the process. They are supported by engagement experts and capacity building activities.

The PANEL 2050 Energy Advocacy Training Programme is a structured and integrated approach that combines theory with practice for this purpose. It was created by the Johan Skytte Institute of Political Studies at the University of Tartu (Estonia) to help PANEL2050 partners analyze their local energy sector and identify which stakeholders should be involved. Then implement strategies for engaging them using various methods. This includes guidance on:

- Identifying staff appropriate for serving as Stakeholder Engagement Persons (SEPs) who can provide training, technical assistance and support to stakeholders within their community.
- Analyzing and prioritizing stakeholders within their region.
- Developing strategies for engaging stakeholders via a range of different actions
- How to train stakeholders in their region on sustainable energy planning and advocacy – achieved via Train-the-Trainers workshops held with partners
- Identifying important stakeholders who can act or are already acting as Forerunners in their region – opinion leaders who can influence the actions and decisions of others
- How to develop the skills and abilities of “Forerunners” to engage in effective sustainable energy advocacy at the local, regional, national and European levels

A key element of the PANEL 2050 concept is that broad change across Central and Eastern Europe is only possible as the result of local change in communities throughout the region. Furthermore, like many social changes, for this transition to be successful, local leaders must work to educate others about the importance of the issues and to motivate them to change their behaviour in ways that would enable a low-carbon future. These leaders we call ‘forerunners’ and they are people and organizations with a high interest in promoting sustainable energy, have a willingness to act and are capable of influencing others.

Energy transition process requires the local forerunners to be identified and their work supported.

Forerunners are organizations or individuals that are leading the transformation of the local energy sector into more sustainable one. They are the first wave of actors implementing and promoting sustainable practices that will be common in the future while being uncommon and innovative today. In the ideal world, sustainable practices would overthrow the unsustainable economy; however, this process can only happen if there are enough forerunners to support that. Existing forerunners are required for sustainable development to happen and

this makes them immensely valuable. They are the actors others will start to follow. In addition, other local actors should be supported to become active stakeholders and later hopefully unlock their potential as forerunners (see figure 6). Participation in policymaking is presumed from local actors to be considered as a stakeholder. To become forerunners even more active position is required. For the energy transition to succeed the organisations and individuals have to be active in regional and national policy making taking initiative in shaping the development of sustainable energy and transport sectors.



Figure 6. Stakeholder Categorization under the PANEL2050 Transition from local actors into forerunners.

The networking of local forerunners helps to increase the future co-operation inside and outside the region. The regions with more active participatory democracy tend to have more active forerunners (e.g. Sweden, Denmark, and Estonia) and vice versa, suitable participatory processes enable active members of the community to contribute to sustainable policymaking. Efficient networking should not be overlooked as it can offer new creative solutions for the challenges of local energy sector but also be a new source of knowledge and new stream of investments. Successful cooperation inside the region can help to achieve the goals of energy transition and avoid unreasonable costs or false investments (costly mistakes). Developing networks and building up the cooperation will be beneficial, as it will open up new possibilities for local energy sector to be more resilient to changing conditions, especially when operating in the international market. It can also bring the new expertise and knowledge to the process of energy management. Finally, yet importantly, well-developed local cooperation helps to legitimize and launch new local energy policies as it combines mutual interests from different levels and the involved stake- holders will be more willing in implementing activities.

Stakeholder engagement models and their role in energy roadmapping process will be further described in the next chapters of this guidebook. The materials from the national and international trainings are available on CEESEN webpage at [ceesen.org](http://ceesen.org).

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# Chapter 2. Advocacy for Sustainable Energy

Companies, sub-national government leaders, civil society organizations, and educational institutions have been at the forefront of the global push for greater climate ambition in recent years. These groups—often collectively referred to as ‘non-state actors’—have launched global initiatives aimed at delivering significant greenhouse gas emission reductions. During the last three years, non-state actors have also played an increasingly important role in creating a global momentum for greater climate ambition, which is the Paris Agreement. By articulating new commitments on the global stage, companies, sub-national governments and civil society organizations have shown that there is significant support for climate action, and in so doing encouraged governments to take on strong national targets and reach a global climate agreement.

The aim of advocacy activities is to change - through the influence of decision makers – climate and energy policies and practices in order to advance and improve conditions of the target groups, and eventually drive low carbon development further.

As depicted in Figure 7, advocacy can be distinguished between common advocacy and lobbying. **Common advocacy** methods are used to enforce changes by making demands usually from outside the political structure. It involves sending out information to get a specific message across or to mobilise people in order to weaken the position of a particular decision-maker. The characteristic of this case a win (target group) – lose (decision makers) situation. However, in **lobbying** or other advocacy actions a win-win situation is created, which is a strategic, planned and informal way of influencing decision-makers. Characteristics are open (two-way) communication, influencing by linking the interests of different stakeholders (ICCO,

The cornerstone of successful advocacy strategy is the elaborate planning process.

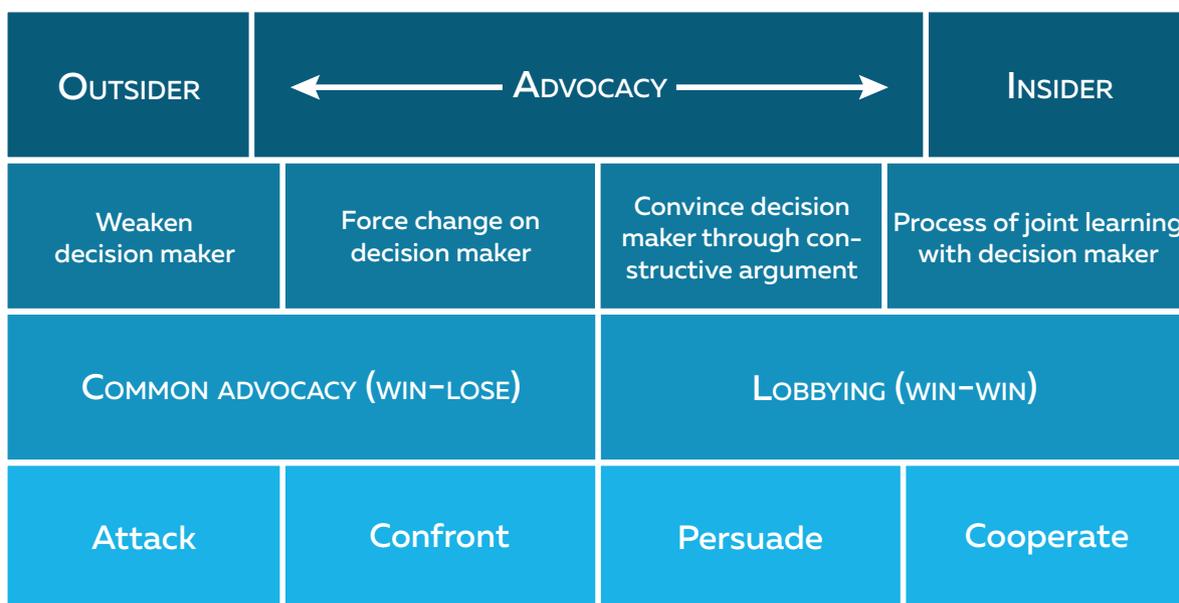


Figure 7. Position towards decision makers. Based on: ICCO, 2010

2010). Across these two types of advocacy you can choose to either attack, confront, persuade or cooperate with the state in trying to move your agenda forward.

In order to do policy advocacy you need to understand what the political system in your country is. The table in Annex 1 gives an overview of relevant policy makers on national level in PANEL2050 partner countries.

It is important to note that countries do have different levels of public engagement traditions when it comes to national level policy making, so it is essential to familiarise yourself with the local situation.

## Energy Policymaking on Different Levels

### EU level

The main driver of EU energy policy in 2030 perspective is the “Clean energy for all” package. The legislative proposals cover energy efficiency, renewable energy, the design of the electricity market, security of electricity supply and governance rules for the Energy Union. In addition, the Commission proposes a new way forward for eco-design as well as a strategy for connected and automated mobility.

The package also includes actions to accelerate clean energy innovation and to renovate Europe's buildings. It provides measures to encourage public and private investment promote EU industrial competitiveness and mitigate the societal impact of the clean energy transition.

When talking about the ordinary legislative procedure (see figure 8) in the European Union, the Commission has the legislative initiative. However, the European Parliament has a right of legislative initiative that allows it to ask the Commission to submit a proposal. The process gives the same weight to the European Parliament and the Council of the European Union on a wide range of areas (for example, economic governance, immigration, energy, transport, the environment and consumer protection). The vast majority of European laws are adopted jointly by the European Parliament and the Council.

The members of the parliament are divided up among a number of specialised standing committees in order to do the preparatory work for Parliament's plenary sittings. The committees draw up, amend and adopt legislative proposals and own-initiative reports. They consider Commission and Council proposals and, where necessary, draw up reports to be presented to the plenary assembly.

European Commission works toward enabling its citizens to contribute more in the active law-making process from the preparation phase through to proposals for new laws and evaluations of how existing laws are performing. The Commission publishes all the policies requiring public discussion in their public participation homepage at [http://ec.europa.eu/info/law/better-regulation/have-your-say\\_en](http://ec.europa.eu/info/law/better-regulation/have-your-say_en). In the later legislative steps, the possibility to voice your concerns and express your opinions is quite limited, however there is always a possibility to contact your national member of the parliament and ask them to vote in a specific way.

The opportunities to influence different stages of policymaking on EU-level are following:

- Submitting a European citizens' initiative (see figure 9), which is an invitation to the EC to propose legislation on matters where the EU has competence to legislate (for example environment, agriculture, transport or public health). A citizens' initiative has to be backed by at least one million EU citizens, coming from at least seven out of the 28 member states. If the Initiative gets one million

# ORDINARY LEGISLATIVE PROCEDURE IN THE EUROPEAN LEVEL

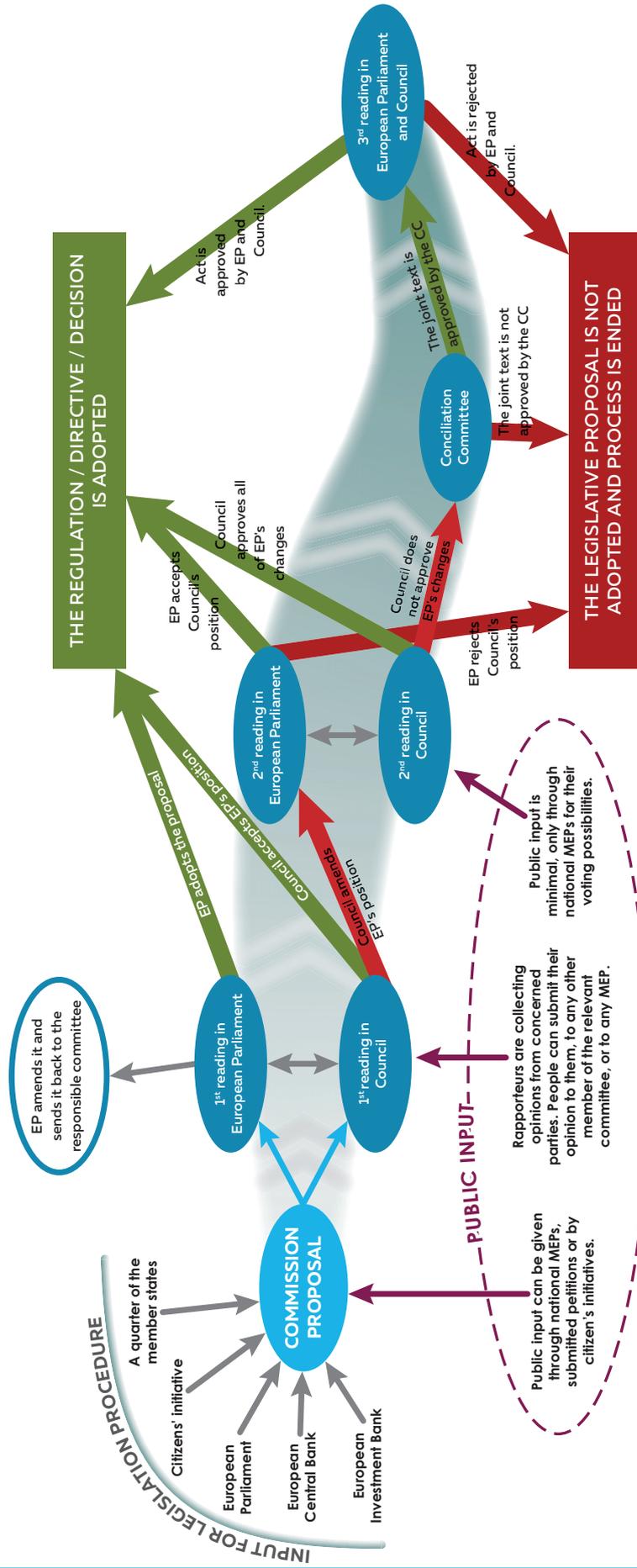


Figure 8. Ordinary legislative procedure in the European level requires two policymakers, European Parliament (EP) and European Council, to both agree on the proposal for the Regulation, directive or decision to be adopted throughout Europe. There are several possibilities for outside stakeholders to contribute to the process.

## THE PROCESS OF THE EUROPEAN CITIZENS' INITIATIVE

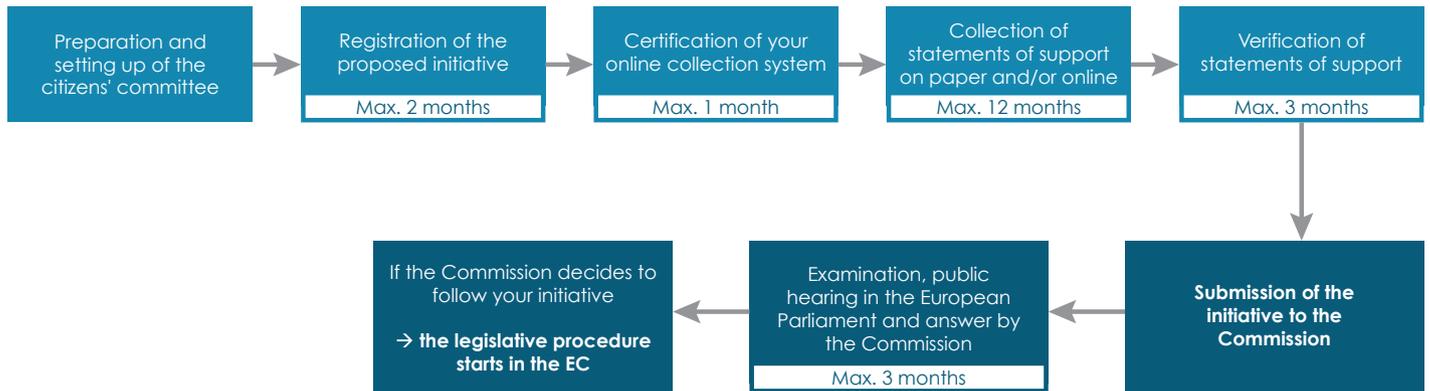


Figure 9. Overview of the process and expenditure of time in the European Citizen's Initiative.

signatures it will be forwarded to the EC who will carefully examine the initiative. The Commission will adopt a formal response spelling out what action it will propose in response to the citizens' initiative, if any, and the reasons for doing or not doing so. If the Commission decides to put forward a legislative proposal, the normal legislative procedure is followed.

- Expressing your views on the initial ideas for new laws, roadmaps and inception impact assessments when published by the EC. The consultation period for these is usually four weeks when the public can give feedback.
- Through open public consultations you can express your views on aspects of impact assessments, before the Commission finalises its proposals. Impact assessments cover the issues to be tackled, whether action should be taken at EU level and the potential effects of different solutions outlined. The consultation period for these is usually at least 12 weeks when the public can give feedback.
- Possibility to give feedback on the agreed legislative proposal by the EC, and its impact assessment. The period for giving your feedback to the EC is eight weeks, following publication of the Commission proposal in all EU languages. After this, the Commission will present all the gathered opinions to the Parliament and Council.
- Through open public consultations you can contribute to evaluations and fitness checks of how existing laws are performing in practice. The consultation period for these is usually at least 12 weeks when the public can give feedback.
- There is a possibility to express your views on draft texts of Commission acts that either amend or supplement non-essential elements of existing laws, via delegated acts, or specify the conditions for existing laws to be implemented in the same way across the EU, via implementing acts. The consultation period for these is usually four weeks.
- There is a possibility to suggest improvements in the existing laws via the REFIT platform at any time. The EC expects its citizens to help simplify EU laws and reduce regulatory burden for the benefit of civil society, business and public authorities. The REFIT platform consists of two groups – Government and stakeholder group – who meet independently and in plenary sessions and they give their recommendations to the Commission, taking into account the suggestions made by citizens and interested parties.
- The Commission also consults other types of papers where public can give their input. For instance green papers, which are launched by the Commission to stimulate discussion on given topics at European level. The consultation period for this type of papers is at least 12 weeks.

## National level in CEE

The strategies and action plans are reviewed at given time intervals, when national consultation is possible.

In order to do policy advocacy you need to understand what the political system in your country is. Countries do have different levels of public engagement traditions when it comes to national level policy making, so it is essential to familiarise yourself with the local situation.

The Annex 1 gives an overview of relevant policy makers on national level in PANEL2050 partner countries.

## Policy Advocacy

There are a broad number of tactics that can be used when conducting political advocacy. Which ones you choose to use depends on various factors, including the level of government you hope to influence, the relationship that you have with key decision-makers, the attitude towards the issue expressed by the state, what the public opinion is regarding the issues and the structure of the particular political system. Each of these factors will be discussed briefly below, and then a range of different tactics will be presented.

### Level of government

As indicated above, the level of government being focused on is important for advocacy organizations so that they choose the right scope of action for their efforts. Generally speaking, political action can be pursued on the local, sub-national, national, regional, EU and global levels. The local level refers to a single municipality or even specific neighbourhoods (especially within larger cities). Mass media is less relevant typically at this level and a great deal of advocacy is done face-to-face due to the greater access advocates have to those they are trying to influence.

**The sub-national level** consists of multiple cities and/or entire counties or regions. This is a more difficult space in which to advocate – because it requires working with different governing bodies such as multiple city councils or a county government. Different city governments may or may not influence each other (and might even be in opposition to each other), which can make it harder to achieve consensus on policy goals. Networks of actors might be needed to engage in multiple tactics that are more effective when coordinated with each other. Furthermore, in many countries, there often is relatively little power vested at the regional level (for example at the county level in Estonia and Lithuania (Horvath, 2000). Exception being Poland, which is the most decentralized country in Central and Eastern Europe, with powerful and autonomous local government (Regulski, Drozd, 2015).

It is for the reasons cited above that a great deal of political advocacy is done at the **national level**, as this is the more efficient way to push for a change that affects cities and regions throughout the entire country. Of course, the size of the nation influences greatly how 'efficient' this approach really is. National level action is also needed when this is the level of government that has jurisdiction over the issue, such as Estonia's Renewable100 strategy, which aims to switch all of Estonia's energy production to renewable sources. It is actively advocated on the national level and more practically via small local projects by people supporting the plan. Mass media becomes much more relevant at this level and a great deal of advocacy is done via representatives (lobbyists, NGOs, etc.) of larger constituencies of people.

As the EU has developed over the years, it has grown to become influential over national governments in a broad range of policy areas. In some cases, such as EU directives, member states are obligated to adopt the laws indicated by the EU. Examples of these include the Energy Efficiency Directive and the

Renewable Energy Directive that act as driving forces for the sustainable energy transition in the EU countries. In other cases, the findings of the EU are less direct, but might serve as guiding actions or principles for member states. Political advocacy efforts on **EU level** could target either of these two aspects of EU policy to have an impact on specific or multiple member states.

The final level at which policy advocacy can be pursued is at the **global level**, which in particular means via international institutions such as the UN. The Paris Agreement on climate change is one example of this. Advocacy is done very indirectly at this level, through large representative organizations. Participating in umbrella groups and network meetings to coordinated actions is a typical approach.

One good example of global scale advocacy actions was done by the WWF, the global conservation NGO, who has been playing an important role in advocacy on global level to tackle climate change (see Annex 2 for more detailed info). The **COP 21** was a real milestone on this, and WWF concentrated its efforts actively to put pressure on governments to ensure that they join the Paris Agreement and increase the ambition of their national action plans.

Another good example for successful advocacy work on the global scale is **Earth Hour**, done again by the WWF. An initiative with a simple, clear message – Turn off the lights – towards public, yet evolved to be the biggest voluntary action for environment with 2,5 billion people participating and huge results in terms of policies and corporate engagement on all levels – national and global as well. The Earth Hour movement has shifted from a fun public event towards real commitments in the past decade.

Policy advocacy done at the local and national levels can reinforce efforts done at both levels and makes success more possible.

Of course, it is important to keep in mind that advocacy almost never occurs at just one level – most actions benefit from (if not require) multi-level action. For example, achieving advocacy goals at the global or EU level often must be combined with actions to educate national political leaders (also MEPs) about these new EU/global policies. An example of this would be Earth Hour or advocacy for COP meeting done by WWF (see Chapter 3 for more detailed info). Likewise, policy advocacy at the local and national levels can reinforce efforts done at both and make success more possible.

## Political opportunity structures

Closely related to the above point concerns what the structure of the particular political system that you are operating within. This includes the electoral system, parliamentary structure, etc. as well as the prevailing political environment (i.e. the relative power of parties, who works with whom). The term political opportunity structure is used to refer to the mechanisms that exist within the governing system that would allow advocates to have influence. As depicted in figure 9, systems with frequent elections and/or public consultation or other mechanisms for public input into legislation and policy provide more opportunities for an advocate to have their views heard and considered by the state.

One example of this from the CEE countries is the [www.osale.ee](http://www.osale.ee) website in Estonia, which enables citizens to make suggestions for new or revised legislation and obtain signatures from others who support the initiative. If a policy recommendation receives enough signatures, the parliament must consider it within their legislative session. Other examples of these types of mechanisms in the region include Romania and Latvia. In Romania, the Parliament allows citizens to comment on specific bills, which are published via <http://www.cdep.ro/>. The same approach is taken in Latvia, where everyone has the right to address submissions to state or local government institutions and to receive a reply on the essence of the question in their online portal at <http://www.saeima.lv>. In addition, in Hungary planned tenders can be commented on the following site: <https://www.palyazat.gov.hu/partnersgi-egyezettetsi-folyamatok-2014-2020>. See Chapter 6 for more info on Crowdfunding and other resource building possibilities for advocacy activities.

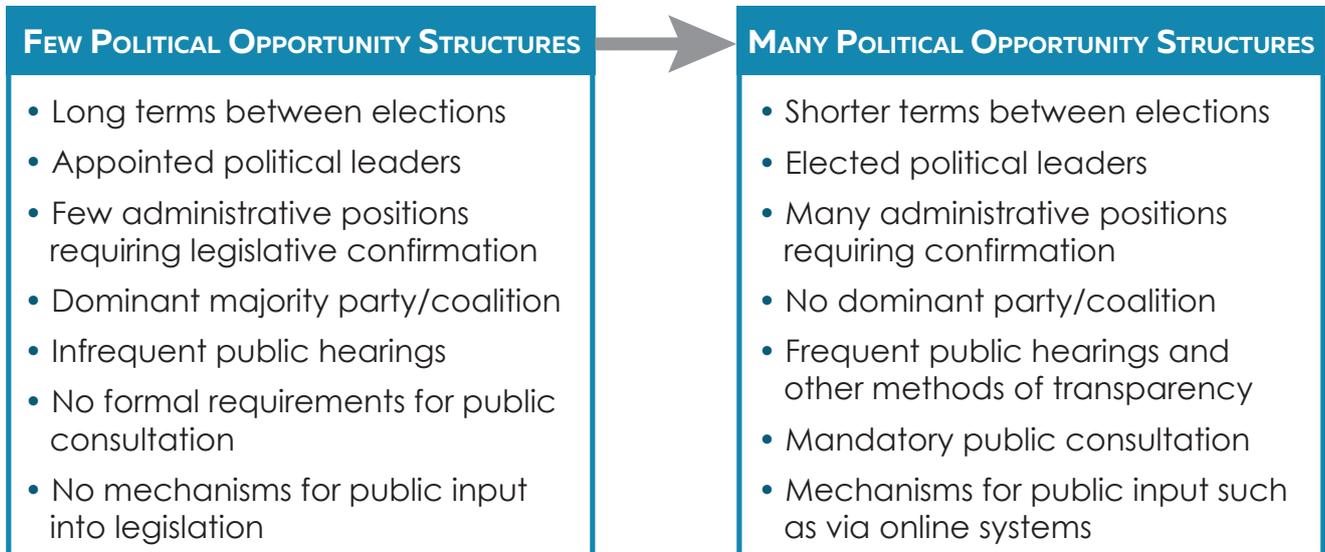


Figure 10. Differences between number of political opportunity systems.

Even for local governments that are unable to have such high-tech methods, they still might hold public city council meetings that allow citizens to speak directly to policy makers. The legal system at play would also be related to this, in particular regarding to lawsuits and other legal redress – for example how easy is it to bring a lawsuit against the state.

### Relationship with key decision-makers

Key decision-makers, such as elected officials or high level public administrators can be strongly supportive or highly antagonistic towards your organization. This might be because you have been critical of their actions in the past, or due to a difference in party affiliations between yourself and them or because they support a competing organization. Connected to this is how much the government allows you to participate in the policy-making process – do they invite you to give expert testimony in front of legislatures? Do they ask you to consult on white papers or strategic action plans that they are working on? The relationship you have with decision-makers can influence how antagonistic or confrontational you choose to be in your advocacy efforts. For example, if they are strongly supportive of your organization, a more cooperative approach may be better to take, to ensure that the close relationship continues for other important issues. Many argue that it is important to not become too close to political leadership for several reasons. Most importantly, it could compromise your goals (or at least make it appear that you have done so) furthermore, too close a relationship can cause leadership to take your support for granted.

### Government attitude towards the issue

Independent of your relationship with government is how it feels about the particular issue you are advocating about. If government is very much opposed to your position on the issue, a confrontational approach might be the only one available. Key to this is trying to understand why the government is in support of a position you oppose. Does the region support coal power because they do not see another viable (i.e. cost-effective and abundant) source? Is it because the coal company donates a large amount of money for their political campaigns? Is it because a long-term contract was signed many years ago that limits the options for the government? Are there regulations at a higher level of government that are relevant? Are key stakeholders (i.e. voters or supporters) in favour of the coal plant? When you understand the cause of the opposition, strategies can be selected to address them.

## Advocacy Tactics

One of the possible causes identified in the previous point was the attitudes of important stakeholders. Strong opinion in opposition to your position on an issue amongst key stakeholders or the general public must also be considered when deciding on an advocacy strategy. Use of media and other approaches to educate the public on the issue might be needed before or while you advocate with the government. It is important to keep in mind that in most situations, you will have opposition groups on the same issue that are working against you. This means that you might have to spend as much effort seeking to correct misinformation that is being presented to the public as you do on actual education activities.

Keeping these ideas in-mind, we can revisit this concept of 'insider' vs. 'outsider' tactics, in which an advocate can either choose to be cooperative or confrontational with decision-makers. Within each of the four general stances identified (attack, confront, persuade, cooperate) there are a number of different tactics that can be used. As can be seen in figure 5 (page 17), most of these tactics could be considered as more than one of the four ideal types – depending on how they are implemented.

Each of these tactics (Figure 11), from more cooperative/insider to more confrontational and outsider are described in more detail below. It is important to keep in mind that in the vast majority of cases, a combination of these different approaches should be implemented to achieve maximum effectiveness.

ATTACK	CONFRONT	PERSUADE	COOPERATE
	Research and Dissemination		
	Public Education		
	Administrative Lobbying / Advocacy		
	Expert Testimony		
		Direct Political Lobbying	
	Coalition Building		
	Formal Political / Electoral Participation		
	Media Advocacy		
	Social Media Advocacy		
	Indirect or Grassroots Lobbying		
	Legal Action		
	(Illegal) Public Citizen Action		

Figure 11. Overview of advocacy tactics and their confrontational effect.

### Research and Dissemination

This involves conducting research or analysing specific legislation/policy approvals. It may also include evaluating the effectiveness and outcomes of existing programmes and/or provide data/access to researchers. The idea behind this advocacy approach is that if better information was available to policy makers, researchers, NGOs and advocates – better decisions would be made. The assumption here is

that the state is actually seeking to make evidence-based policy decisions on the issue (as opposed to other political considerations being dominant).

## **Public Education**

This tactic focuses not on experts or policy makers but instead the general public to inform and educate them about public policy issues. Methods used include preparing or distribute print/online materials to educate community about an issue. The key distinction with the previous tactic is that the information here must be 'translated' into a language and format that is accessible to non-experts. Creative methods to educate different groups within society (such as the youth) can be very useful, such as organizing or promoting educational, art, cultural or other community activities. This approach is especially important when public opinion is in opposition to your position on the issue.

## **Administrative Lobbying / Regulatory Advocacy**

This insider tactic involves efforts to influence the public administrative systems (in other words, non-elected government workers) through meetings and correspondence. Much of this activity is done in non-public settings, and in the vast majority of cases should be the first method used (before adopting less insider approaches). Of course, it requires public administrators who are willing to meet with and listen to your position. It is important to keep in mind that these meetings should not only be about you presenting your position, but also attempting to understand what factors are motivating the administrator. For example, are they concerned with public opinion in general or amongst particular stakeholders? Are there specific elected officials, political parties or other actors influencing their decision-making? Are they concerned about costs associated with the policy or potential legal exposure? A better understanding of these motivating factors can help an advocate in crafting future advocacy strategy.

## **Direct Political Advocacy Actions and Lobbying**

This tactic is the same as the previous one, only it targets political or elected policy makers. In particular, it involves persuading politicians to support a particular position, such as voting for or against a specific piece of legislation. This is normally done through direct communication with elected officials, their staff or advisors. Like administrative advocacy actions, it requires a willingness and openness of the elected official to meet with you (or at least someone of relevance from his or her staff!). It also is a way for you to better understand their stated influences (not always the same as their actual influences) which can be helpful in determining which other tactics to use. Generally speaking, this form of advocacy actions are much less technical than with administrators (who in theory should have a more in-depth understanding of the issue). Being able to present key points quickly – especially in terms of the benefits or negatives associated with a particular piece of legislation is valuable – and is a skill that must be developed with practice.

## **Expert Testimony**

Unlike the previous two tactics, this is more 'public' as it involves providing testimony/advice at committee hearings or other meetings of the legislative body. Even if the hearing is not open to the public, it 'exposes' the advocate to many different policy-makers at once. In some cases, testimony is not in front of a group but is done in writing in response to a request for advice made by a legislative committee or public agency. Obviously, this requires the government being willing to ask for such input, which means that they must see you as an 'expert' who has some valuable insight into the issue. As a result, convincing official to invite you is an important aspect of this tactic. There are different ways in which you can demonstrate your expertise to public officials, such as via the direct advocacy actions described

above or as a result of research and dissemination activities. Generally speaking, having a public profile in which you are known for having expertise in the issue is also helpful, although this may depend on the political environment. For example, elected officials might not want to draw attention to the legislation and would thus try to exclude you from commenting on it.

## **Coalition Building**

This approach towards advocacy focuses on building, sustaining and/or expanding organizations or networks of organizations of advocacy and lobbying groups to work for policy change. A well-run coalition of organizations can more effectively carry out all the advocacy tactics described in this section, such as informing experts, lobbying policy makers or educating/mobilizing the public. Coalition building requires reaching out to other (potentially) like-minded organizations and convincing them to coordinate efforts. Coordinating can involve organizations doing the same activity at the same time (such as getting people to attend a demonstration) which can magnify its impact. It can also involve division of labour between members so that organizations complement each other (as opposed to inefficiently duplicating activity) and enables them to capitalize on their strengths. Of course, coalition building is not always easy and sometimes might not be feasible, as it requires some level of trust between organizations that in other instances might see each other as competitors or rivals (such as for project funding or other resources).

## **Formal Political Participation**

This advocacy tactic includes a wide range of potential actions that often moves from being merely persuasive to being outright confrontational towards policy makers. At the most extreme, you could choose to run for political office with a platform around the issue(s) you are advocating on behalf. More likely however would be to support specific candidates or political parties such as by active or passive campaigning – encouraging people to vote for or against a specific candidate/party. It is important to note that for some organizations, outright electoral or political activity might be expressly forbidden for non-profit or NGOs. However, even with these restrictions, it still might be possible to engage in certain types of electoral activities. For example, you could choose to inform the public about the candidates running for office, their positions on issues important to you, without giving an opinion on who voters should support. Another approach could be to organize electoral or legislative forums or discussions, either through social media or at public events, such as inviting the candidates to come and speak or debate regarding renewable energy or other issues. Another 'apolitical' method would be to conduct voter registration and education directed towards specific groups of citizens relevant to or supportive for your stance on an issue. The key here would be to encourage these citizens to vote without telling them who to vote for. Formal political participation can be incredibly powerful advocacy tool – as it can be used to apply pressure on policy-makers. However, it is very important to keep in mind that using these tactics should be selected with care, as they can be very risky, especially in certain political environments, as some governments within the CEE have aggressively challenged NGOs to try and weaken their influence.

## **Media Advocacy**

As described elsewhere, getting public support for an issue can be an important ingredient for convincing policy makers. Working for policy change using media can include releasing press releases about specific events or policy debates. It also includes holding media events to gain exposure or writing letters to newspaper editors or other opinion articles. This also benefits greatly from relationship-building with editors and journalists and if possible expressing opinions during media interviews with newspapers, magazines, radio or TV, depending on the political level and media landscape you are operating within. More about these methods can be found in Chapter 3 of this guide.

## **Social Media Advocacy**

Today, social media advocacy has become extremely important as well, and in some situations might be even more important than media advocacy as it allows you to more frequently and rapidly get your message out. However, the effort required to conduct effective social media advocacy should not be underestimated, as a regular presence should be maintained through the posting of blog entries, Facebook posts, tweets, and comments on online forums. A regular presence is needed to ensure that your audience continues to come to you to hear about your perspective on specific issues. This is discussed in more detail in Chapter 3.

## **Indirect or Grassroots Lobbying**

One hundred people shouting always sounds louder than one person does, which is the idea behind this advocacy tactic. Going beyond simply educating society, an advocate can choose to encourage the public to express support or opposition to specific policies or legislation. This may be done by organizing or promoting campaigns to contact legislators or public administrators to express their opinion via phone calls, letters, emails, showing up to public hearings etc. This type of advocacy can be extremely useful influencing elected officials or political parties who are operating in competitive environments and are thus more vulnerable to electoral challengers. If your organization has volunteers, they are an ideal group to encourage undertaking such action. Other important stakeholders, such as users of any services you provide can also be potential 'lobbyists' for your issue. Social media challenges have also proven to be an effective method for mobilizing people. Reaching out to and working with stakeholders is described more in Chapter 4.

## **Legal Action**

When other advocacy tactics are not working, a remaining option is to pursue legal action. This can include lawsuits against specific government agencies, in response to particular pieces of legislation, policy plans/strategies or against companies that are engaging in what you believe to be illegal practices. In addition to instigating such legal challenges, you could also testify or otherwise provide expert evidence for litigation against the state. Furthermore, the Court of Justice of the European Union has ruled multiple times that NGOs and persons directly concerned may sue EU Member States governments in national courts if they fail to comply with EU mandatory environmental standards. (For example, see case CJEU, C-404/13). Thus, the CoJ has established an important precedent for national litigation in Member States that fail to comply with EU environmental (and other) legislation that requires them to achieve a certain result, even if the European Commission has not taken legal action against the country. Of course, the decision to pursue legal action should not be taken lightly. Generally speaking, court cases against the state are an 'uphill' battle, in which the state will have advantages in terms of resources and legal capacity. In addition, some countries will have more restrictive rules regarding 'standing to sue' meaning who is allowed to bring a lawsuit on a particular issue. A track record of suing the state might also make it impossible to go back to less confrontational relations with the government, which should also be considered. For all these reasons, two general pieces of advice are most relevant – first that a decision to sue should be one of the last options chosen and second, it should not be considered until after you have consulted with an attorney who has experience in doing so.

## **(Illegal) Public Action**

The other most overtly 'attacking' method of advocacy is to organize public actions with groups of people, such as protests, demonstrations, strikes, rallies, and street action. These types of activities can be effective in showing the high level of passion (anger) that exists regarding an issue. Generally speaking, when organizing public actions, the bigger the better. The more people who are willing to come out

and express their opinion on an issue the better chance you have to influence decision-makers. A key aspect of public actions is their 'disruptive' element – even if you obtain permission to hold a march or demonstration – this typically requires the closing of streets and greater police presence – meaning it affects those who observe it. In situations in which the state has been extremely unresponsive, some advocates would call for civil disobedience or other public actions that are technically illegal (such as organizing an event for which you did not obtain a permit). Less 'aggressive' public actions could involve having people sign petitions or organizing a boycott of a service, product, agency or firm. Disruptive (or illegal) public actions can also result in backlashes in public opinion (such as by people who do not have a strong opinion on the issue but are inconvenienced) or result in retaliatory action from the state. For these reasons, it is generally considered a good idea to only resort to public actions when other advocacy tactics are not achieving any success.

## GOOD EXAMPLE: RENEWABLE ENERGY 100% (ESTONIA)

Estonia is parliamentary republic, with prime minister as head of the government. The political system of Estonia is multi-party, what means that several political parties are usually running for national election, and all can control government office, separately or in coalition.

Estonian government represents the executive power. The main legislative institution of Estonia is the unicameral parliament, Riigikogu. It has 101 seats and is elected every four years. The Bills for parliamentary work are usually prepared by thematic committees of the Riigikogu. This makes them a good target for political advocacy as each standing committee deals with the Bills of a specific field.

On the subnational level, Estonian local government is independent from national government, with their own legislative and executive organs. There is distinct division by the competence of national and local government, and national government does not interfere the areas of the competence of local government. There are two types of local governments in Estonia - cities (urban) and parishes (rural). There is no practical distinction between these two types. Currently we have 79 local governments, 14 of which are urban and 65 rural. Municipal elections are taking place once in four years.

In 2011, Estonian Renewable Energy Association decided to work more actively towards transitioning Estonia 100% to renewable energy sources. The main goal was to develop a plan and introduce this to the policy makers, encouraging them to follow it. Core team of eight experts who engaged relevant experts and organisations during different stages of the process developed the vision and roadmap.

For three years, the team worked on lobbying and advocacy on regional and national level. The aim was to increase the public knowledge of the renewable energy and to encourage policy makers to take necessary steps for transitioning from oil-shale to renewable energy. The advocacy process was constantly monitored and assessed based on relevant indicators. In addition to meetings with the policy makers, the team met with stakeholder organisations, launched media campaign in newspapers as well as social media, and participated and presented the plan in relevant events.

As a result, they have regularly met with the environmental and economic committee of the Riigikogu. They constantly lobby the plan to the parties in power, looking for advocates among party members. They met with Estonian government and regularly hold specific events in the Parliament directed on the energy management to keep the topic active in public and among policy makers.

The biggest success was that they were actively engaged in the preparation of the new national energy management plan "National Development Plan of the Energy Sector until 2030", and several of their recommendations were implemented in the plan making it more daring in terms of reducing energy production from oil-shale.

# Advocating for Sustainable Energy

Effective advocacy for sustainable energy requires well-developed plan, followed by flexible and well-communicated implementation. Adequate monitoring is required since the advocacy actions usually are iterative processes, which can be improved based upon previous actions.

**Effective advocacy strategies** consist of the five following steps, based on ICCO (2010) and UNDP (2012):

1. Review of circumstances
2. Choose realistic lobby and advocacy goal
3. Develop an advocacy action plan
4. Implementation of action plan
5. Measuring success

## 1. Review of circumstances

Analyse your (target group's) energy profile. Collect your strengths, weaknesses, opportunities and threats through a SWOT analysis and identify the causes of the negative effects that need to be addressed with a problem tree. Transform the problem tree to objective tree. Be realistic and practical with the identified needed actions. Make exact plans, including technical and financial content, it helps to implement the next steps with well targeted actions.

## 2. Choose realistic lobby and advocacy goal

- Concerning the realistic limit of your influence, specify the objective and the result, which can be realistically accomplished by influencing the decision makers.
- Start with the decision-making level, which is close to the profile of your organisation, and pick out those decision-maker(s) who have the right power and are influential in this issue. If necessary move to higher decision-making levels. Identify their interests and motivations. See Chapter 3 for more on influencing your stakeholders.

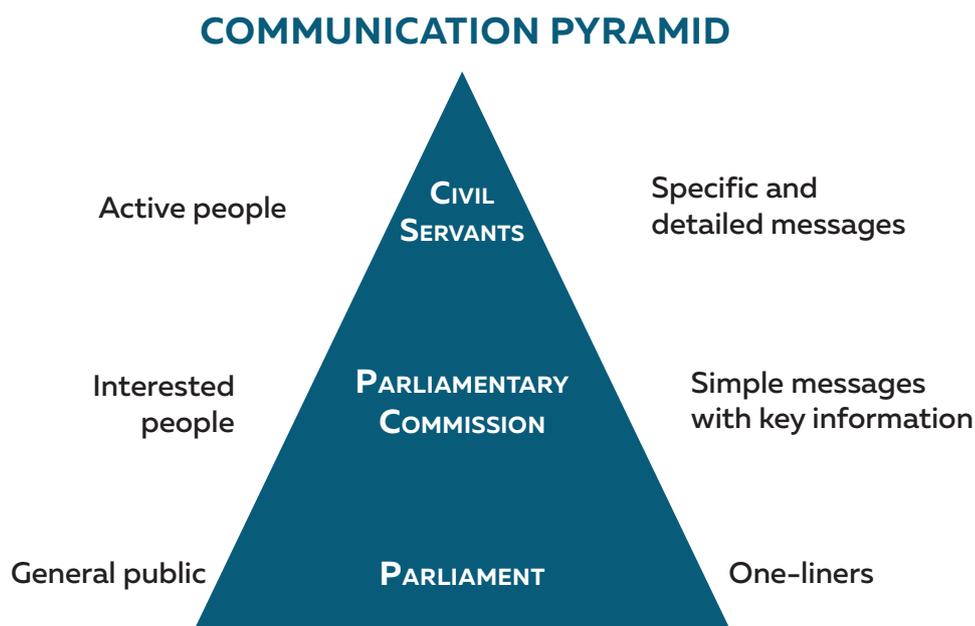


Figure 12. Communication pyramid. Source: ICCO, 2010

- Timing of the lobby or advocacy activity is essential. Therefore, it is important to identify at which phase the decision-making process stands. Obviously, the chance of influencing a decision is the highest in the initial phase and declines when you move closer to the decision is made.
- Even after a decision is made it still must be implemented at which point it is still possible to advocate for change but tends more difficult.

### 3. Develop an advocacy action plan

- It is necessary to have a brief, clear lobby or advocacy action plan to be able to work strategically and to divide responsibilities and tasks within your network or coalition. For more information and specific methods, see Chapter 4.
- As a first step, the map of all stakeholders working on your lobby and advocacy objectives is required. It is essential to identify whether they may support your activity or start a counter action. Also, neutral stakeholders can be potentially allies.
- You need to take the actions of these stakeholders into account as they may support / strengthen your lobby (allies, e.g. companies dealing with RES or energy efficiency) or start a counter lobby (opponents, e.g. fossil fuel power plant). Moreover, the neutrals are of particular interest as these may be influenced in such a way that they become allies. A Stakeholder engagement template, which can found in an Annex 2 can be used to assess different level, influence and relevance of political stakeholders.
- Try to establish coalition organisations with your allies. It can multiply the capacity and effect of the advocacy actions. Also, your allies can give feedback to the action plan and they can help to develop it further.
- The most effective way to engage allies if you make partnership with already existing networks or associations. Annex 1 lists relevant networks in CEE countries.
- In order to accurately plan your advocacy activities, exact time plan, procedures and budget cycles have to be clarified.
- Identify a set of criteria to assess and select the most effective lobby and advocacy activities (e.g. level of influence and risk, needed resources). For more on this, see the Policy Advocacy section starting on page 27.
- Identify suitable tactics (e.g. meetings with decision-makers, public events, petitions, round tables, newspaper articles, participating in public consultation, etc.) and suitable messengers. Make sure you draft the right messages for the right type of decision-makers (with the help of a communication pyramid in Figure 12).

Appropriate, widespread communication about your advocacy is very important. Press releases, interviews, articles or the different kind of social media help to acknowledge your activity and can be a pressure to the decision makers.

### 4. Implement an advocacy action plan

When implementation advocacy action you should be flexible and well-informed throughout the implementation process. This will allow you to make changes to your strategy if needed. Asking feedback from you your allies can also be helpful in this regard.

Do not only focus on key office holders but also invest time to their assistants and key staff who can also have considerable influence and have the possibility to become the future key decision makers.

You have to prepare for specific risks, e.g. negative attention in the media (see Chapter 3 for more info on how to deal with negative media).

## 5. Measuring success

Outcomes indicate the effectiveness of your lobby and advocacy activities in achieving identified goals.

A checklist of effectiveness can be a good tool to evaluate the implemented activity and the achieved results. It can include:

- the effect of the lobby or advocacy on key legislative documents, such as improved regulation in favour of renewable energy;
- the positive effect on subsidy and EU funding mechanisms, such as new allocated funds for regional low carbon initiatives;
- New relationships with key decision-makers, such as new direct contacts to key MPs or MEPs;
- A positive effects on the number and level of new partnerships, such as new membership in influential or more engaged organizations and associations;
- A positive effect on financials, such as generating new income streams through individual or corporate fundraising;

## Practical Exercises

- Invite local municipalities within a sub-region and organise a discussion using a world café method to identify shared interest that could be used to influence the respective MPs;
- Present the key problems that identified as a result of the first step of the roadmapping exercise described earlier in current chapter;
- Present the key realistic goals for the sub-region and open discussion about shared interests;
- Present key identified barriers and open discussion about which objectives are more achievable than others;
- Open discussion to identify and analyse key decision makers with special regard to local MPs.
- Identify key, simple strategies to approach the selected decision-makers.

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# Chapter 3. Marketing and Advocacy

This chapter is about the benefits of marketing communications activities, the process of planning them, and practical tips for planning and implementation.

Marketing communications includes overall the actions taken by a firm or any other entity to communicate with external parties, including businesses, decision makers, or individuals (customers). Nowadays the original meaning of marketing communications has changed due to the fact that it can promote various things, among which a few examples are changing a law, boosting environmental activism or collecting funds all of which can be relevant when promoting sustainable energy.

## Planning Communication Activities

While planning your marketing-communications activities, you should bear in mind that successful communication is always focused and well-planned. It is better to think in campaigns, especially if you do not have an already set up marketing and communications team that create annual action plans.

Communication activities aim to engage public in a way suitable for you.

The campaigns can target either individual behaviour change or policy change. Awareness raising, fundraising, and brand building are all considered under Behaviour change, while campaigns targeting policy change can focus on a specific legal frame, public sector policies, or any actions by decision makers.

Both type of campaigns can be very impactful requiring actions and engagement with the public. The key to success is to plan properly, like an individual project, and always follow your own objectives set at the beginning. You can use many tactics and tools, but always check if you use the right tools for the right audience that will lead you towards your objectives.

Communication activities aiming to engage public for a specific reason (raise awareness, raise money, sign a petition to get a policy change, etc) need to convince the audience. However, the content itself is never enough to do so. To achieve this, you need to create emotions. There are many positive and negative emotions that work well to get your audience to act, like desire, happiness, empathy or even fear. In addition, some emotions can be blocks for actions, always check your tactics on your target audience before going public.

Steps in the process should include (Figure 13):

1. Setting the Communication Goals
2. Identifying target audience
3. Selecting messages for this audience
4. Designing the path – picking tools and tactics

## Course of Successful Communication Activities

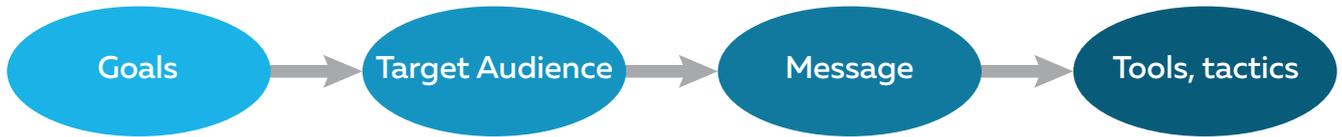


Figure 13. The logical course of marketing communication activities.

### 1. Setting Communication Goals

When it comes to Non-Governmental Organisations or Civil Society Organisations, researchers and other organisations that do not work for a clear for-profit goal, it is always a question why communications and marketing is needed?

A few of the clear goals that you can actually achieve with marketing-communications are:

- **Raise awareness** – make your organisation or your goals to be well-known
- **Make you a trusted organisation** – raise your credibility
- **Make you a desired partner** – Seeing you appearing publicly, being a credible actor will raise others' interest to work with you
- **Make you seem powerful** – campaigns can break down barriers if used wisely, change policies and influence decision makers

### 2. Identifying your Target audience(s)

Once you have identified your communication goals, it is important to consider which target audiences would be most relevant in achieving these goals. It is advised to go through a proper exercise in order to be sure in your audiences and why you need them. Who are the change makers and who can influence them?

While planning, it can be very useful to answer the questions below:

- What do I want my target audience to think?
- What do I want my target audience to feel?
- What do I want my target audience to do?
- What can be the barriers to achieve this?
- What are the channels that we can use to overcome these?

Please find an example how to do this in the table below.

Target audience	Desired response	Barriers	Reasons to engage	Channels
<b>General public</b>	What do we want the public to THINK/FEEL/DO	What can jeopardize us to achieve this?	General public can be important for: - demonstrate support - change a certain behaviour - influence a decision maker - etc.	Online and offline media Social media Events Website etc.
<b>Decision makers</b>	What do we want certain decision makers to THINK/FEEL/DO	What can jeopardize us to achieve this?	Directly influence decision makers and outcome of policymaking.	Direct meetings Publications Policy papers etc.

Target audiences can be government agencies, municipalities, certain decision makers, professional groups, public, celebrities, media, etc.

It is crucial to really know the audience you are targeting.

You will have to tell a story that influences your audience and convinces to act (whatever your question is). Assumptions about their needs, interests and media consumption habits are not enough, be sure that you check all resources (publicly available data about target audiences and media trends) and plan the media mix accordingly (especially, as media consumption trends can change overnight).

One way to think about which audiences to target may also come from your analysis of stakeholders – which is discussed in more detail in Chapter 4.

### 3. Creating effective Message(s)

The Question is **what is relevant for your target?** This is important because it will help you to anticipate how they may react to whatever messages you present. That is always the direction you should follow and not what you want to communicate! The 'story' you are telling in order to convince should be compelling, urgent, relevant, and easy to understand – to them.

The call to action should be very clear and simple. Be specific, and do not overthink. Public audiences are not able to build linkages among pieces of information to create arguments themselves. Thus, communication has to be very clear on all these so that you build your case, make a clear and understandable argument, and ask them to take action.

After considering your target audiences and what you need them for, you already have the answer to some questions that can lead to planning the message.

Good example of global advocacy campaign by WWF for the support of the Paris agreement has been presented in Annex 2.

<b>General public</b>	<p><b>THINK:</b> Energy is an important issue and the organisation is dealing with it in a very credible and professional way.</p> <p><b>FEEL:</b> The organisation can help to solve the world's most crucial problems.</p> <p><b>DO:</b> Keep the organisation informed and openly be a champion for change</p>
<b>Decision makers</b>	<p><b>THINK:</b> The work of the organisation is relevant and its outcomes and results can be used in decision-making processes.</p> <p><b>FEEL:</b> It is smart and useful to involve the organization in some processes.</p> <p><b>DO:</b> Use and integrate these results in their decisions, as well into local and regional development plans and other policy documents</p>

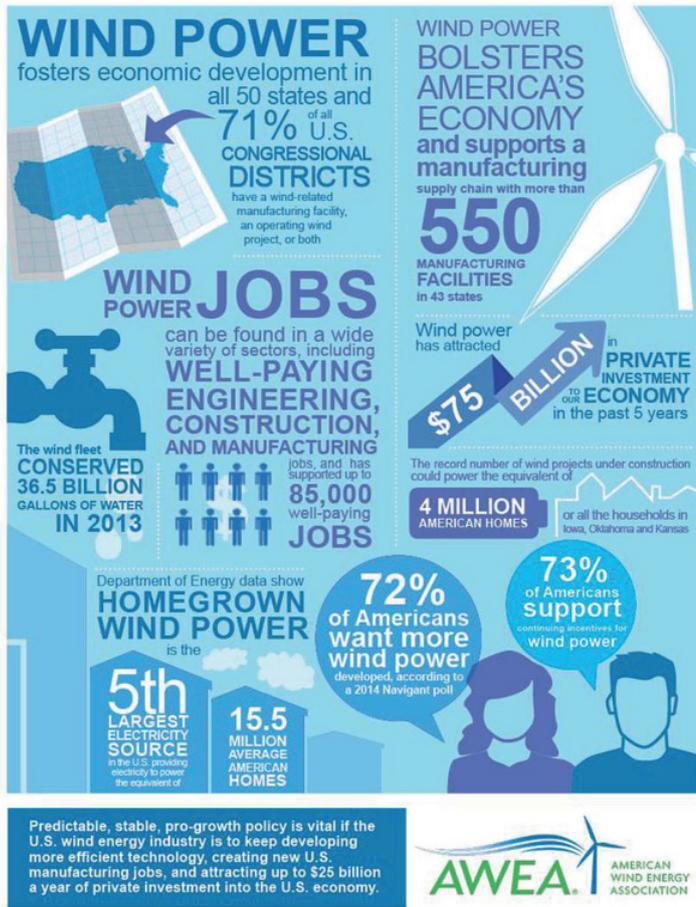
After seeing this clearly, you can start to think about the potential messages.

#### 4. Tools and tactics

Once you set your objectives, know your target audience and the message you want to express, you should develop your communication methods. These can best be thought of as tactics that can be used to get your message out to your specific targeted audiences. When you plan these tactics, try to have an integrated approach. Never rely on one tactic, but consider many that can reinforce each other. The specific tactics you use might change throughout the campaign, but the objectives should stay the same. So be flexible, if something does not work, try another one.

Some examples of tools and tactics that you can start to think about:

- Media mix (what channels you will use, how you will engage key media channels, etc, digital vs offline, etc) including **owned media, paid media and earned media**.
  - **Owned media** refers to channels that your organization controls, like your website or newsletter.
  - **Paid media** is often irrelevant to entities with low budgets (often NGOs), so advertisements (online ads, print ads, TV commercials, etc) are usually the privilege of huge companies.
  - As a result, **Earned media** is usually most important, as it is what you get without direct payment. Examples include sending out a press release or engaging with reporters, which can result in huge media coverage and is thus a potentially powerful tool. For this, it is important to learn how to write press releases and how to distribute them. (Manual on how to write press releases and build media contact list can be found in this section after the Measurement section)
- Reports, publications (advocacy reports, other relevant publications that you can use, infographics, etc). Reports can gather facts and support decision making in some cases, so they can be good tools for influencing decision makers.
- Audio-visual content
- Events
- Petitions



Infographics can make an argument understandable and visually compelling mostly for public.

An important consideration when choosing communication methods is thinking about who your “**messengers**” will be. Spokespeople who can influence your target audience or are effective at expressing your message can be extremely useful. One example of this is the use of famous or celebrity messengers who can act like an ambassador for your cause. Messengers who have ‘authority’ or are respected within your target audience can also be helpful.

Try to be creative about the tactics, so that they will not get boring for you or less effective towards your audience. You can invent new tactics, combine existing ones, or replicate something that worked well.

For example launching a campaign with a report highlighting facts and figures about a specific issue works in most cases, as it gives a rich background, a lot of content to chew on, and opportunity to visualize some parts with smart graphics.

As an example, in June 2013, WWF launched a campaign, **Seize Your Power**, a global campaign calling on financial institutions to significantly increase their funding of renewable energy and cut funding to fossil fuels.

A report was designed that demonstrated the arguments: [http://awsassets.panda.org/downloads/busting\\_the\\_myths\\_low\\_res\\_v3.pdf](http://awsassets.panda.org/downloads/busting_the_myths_low_res_v3.pdf)

Many visual reflection was produced to support the campaign, as seen on the next page.

Social media content was also produced, and a global petition was rolled out as space for public engagement. Flagship sites were identified, and infographics were supporting the public facing of this.

WWF Global

WWF? What We Do Our Earth You Can Help News & Stories DONATE

# THANKS!

Ask your friends to sign the pledge and together we can make renewable energy the new normal.

Share the pledge on Facebook Tweet to #seizeyourpower +1 Seize Your Power

SEIZE YOUR POWER

SHARE on Facebook

© Global Warming Images / WWF-Canon

SEIZE YOUR POWER

TWEET #seizeyourpower

© Global Warming Images / WWF-Canon

SEIZE YOUR POWER

+1

© Global Warming Images / WWF-Canon

WWF

# BY 2050, WE COULD GET ALL THE ENERGY WE NEED FROM RENEWABLE SOURCES.

SEIZE YOUR POWER

© Global Warming Images / WWF-Canon

WWF

# PALAWAN

23% OF ALL SPECIES IN THE PHILIPPINES LIVE IN PALAWAN, INCLUDING:

1. DIOCEDEAN MONKEY
2. PHILIPPINE COUGAR
3. SPANAKOY DOG
4. PALAWAN PLECKEY PRESACANT
5. PALAWAN SILENT ANTILOP
6. TITIAL BIRD

DECLARED UNESCO MAN AND BIOSPHERE RESERVE

CONSIDERED THE PHILIPPINES' LAST ECOLOGICAL FRONTIER

TWO UNESCO WORLD HERITAGE SITES, THE PANGLOSS HERITAGE TRAIL AND THE TAILOUDE HERITAGE

DECLARED AN EARTH RESERVE BY THE UNITED NATIONS

POWER SITUATION

33.5 MW Peak demand according to PALECO (Palawan Electric Cooperative)

53.7 MW Total guaranteed dependable capacity of Palawan, which is higher than current demand

Palawan is experiencing rolling blackouts despite this fact

Problem is not shortage of supply but reliability of distribution system

Adding more supply instead of first fixing the aging distribution system will not solve Palawan's power problems

Palawan needs a good generation mix of baseload, intermediate and peaking power plants

ACCORDING TO THE PALAWAN CHAMBER OF COMMERCE AND INDUSTRY'S INITIAL FINDINGS:

- rolling blackouts last between 1-2 hours
- business declined by 1/3 during the blackouts

PhP17/kwh Estimated cost of alternative energy during this time through the use of embodied diesel generators

PhP76,500 Estimated to cost the business community as a whole every time a blackout happens

A Palawan energy development plan is currently being crafted by the DOE and the local government units of Palawan

- should be no rush to approve new power capacity until the plan is finished
- address distribution grid problem first before adding new capacity

ECONOMICS

COMPARISON OF PROPOSED AND EXISTING POWER OPTIONS FOR PALAWAN

Hydro Power (existing project since 2010, 0% WFT)	PhP 6.58/kwh
Coal Power (0.3% baseload, with 9% WFT)	PhP 10.51/kwh
Diesel Power (current primary power source of the province)	PhP 12/kwh up

PALAWAN is a part of SPUG (Special Power Utilites Group)

This means:

- Palawan is not connected to the main grid
- Electricity cost of Palawan is subsidized by the rest of the country
- Palawan's subsidy rate is PhP 6.99/kwh
- Any cost higher than that rate is subsidized by rest of the country connected to main grid

We should maximize indigenous, cleaner and cheaper energy options before we even consider coal power

SEIZE YOUR POWER

We must engage our decision makers by actively participating in the Palawan energy development plan. Make your voice heard and let them know: WE WANT CLEANER, CHEAPER RENEWABLE ENERGY FOR THE COUNTRY'S LAST ECOLOGICAL FRONTIER!

SIGN OUR PLEDGE AT PANDA.ORG/SYP

## Tips

For successful communication, some key tips that were already mentioned but are crucial to keep in mind are the following:

- **Learn from each other.** You do not have to invent new things. There are a lot of good examples and ideas in the world, feel free to use them the way you want.
- **Flexibility.** The objectives are the things that matter, otherwise be prepared to be flexible and make changes along your campaign. There is no one recipe that works for all, every campaign is a unique piece, therefore no one can actually know what will work best, just be sure you know the objectives and you work towards them, with all the changes necessary in the activities.
- **Be simple.** Simplify all the things you can, never expect others to know as much about your topic as you do. You are an expert but the others will not be, so everything you say will be new to them. If you do not want to lose your audience, be sure that you are explaining everything in a way they would understand and feel relevant.
- **Understand your audience.** Be sure that you know them, and you use the best tactics and communication style in order to engage them.
- **Do not be afraid to take risks.** When you start to communicate, there is certain risk in it. Others will not understand and your efforts will be not immediately pay off, or other professional organisations will go against you due to other interest or professional jealousy. Do not get scared: being criticized means that you are being heard and raising profile. Of course you need to consider the potential risks while planning, like losing some professional relationships, but even if communication can lead to some sacrifices, if you planned well, then it will also lead to success.
- **Reality check.** Always stay abreast externally to be sure your activities will be relevant for others and your efforts will help you to achieve your objectives. Never assume that others (your audience: public, decision makers, etc) will understand what you do. Always check that the efforts you made were perceived as you planned.

## Negative Media Reaction

When you are planning to involve public into your actions, it is important to be prepared to negative feedback. As you are upscaling your profile, you will have more criticism. Be sure that all the people involved are aware of this and you have a dedicated person in charge who will be alarmed if this happens, and who is prepared to act.

First of all, the most likely is to be criticized through media, or have inconvenient questions if not even offensive ones from reporters. Therefore, preparing a Q+A (Questions and answers) before going public can help to be prepared. Think about all the questions that media might ask, even if you never want those questions to be asked publicly, do have a ready-made answer. Try to be as direct and specific as you can, the more transparent voice you use, the better. Always answer, never leave an important email or other requires without answer.

It is sometimes wise to have a manifesto or other form of demonstration placed on your website or somewhere else, publicly available, that contains the answers proactively to the most frequently asked negative questions.

/In case of WWF, we always get the answer, why do we work with companies? Answer in the manifesto/



I am protecting life on our planet.  
Day by day. With every single thing I do.  
I preserve the world's biggest forests. I protect the rivers and oceans.  
I stand up for the coral reefs, rainforests, tundras, deserts and grasslands.  
I work with communities in the Amazon, the Arctic, the Pacific, Africa and the Mekong.  
I collaborate with the biggest corporations on Earth to make their processes less wasteful and more sustainable.  
And I influence governments to create foreign policy that recognizes and respects the fundamental importance of nature.  
I give voice to all animals who call Earth their home.  
I am protecting life on our planet.  
But because I am with WWF, I am not doing it alone.  
Six thousand staff. Six million members. In over 100 countries.  
Working with the world's largest foundations.  
The world's largest corporations. For over 50 years.  
Businesses. Governments. Communities. Individuals.  
And one iconic panda.  
Together, we work to meet the needs of Earth's inhabitants, at no detriment to Earth itself.  
Together, we are protecting life on our planet.  
Because together anything is possible.

Try to think about the potential negative feedback and their effect and prepare the staff. You can also engage partners/allies/supporters proactively, and 'warn' them about a negative criticism that you get, with a transparent and good argument.

# Writing and Issuing a Press Release

*Elements used in this sub-chapter are based on Levin, 2017.*

## **Preliminary considerations**

- Is there a story to publish?
- Is there a news value in this story? (If not, but you want to publish it, that is an article, completely different from a press release)
- Would an external party be interested in this? (NGOs are often mistaken and tend to think that something that happened to the organization would be interesting for the society as well.)
- Who is your target audience?
- Is a press release the most effective way to grab their attention?
- What is the aim behind having your voice heard? What do you want to achieve?
- Do you have a person with flexible availability to give interviews in the forthcoming days?

## **Journalists usually look for stories that are:**

- newsworthy
- easy to understand
- interesting
- easy to use
- possibly have a human interest angle such as how it affects a specific person or group of people

Once you have decided that you have a story to tell, and you have chosen to publish it through a press release, start to draft your release.

## **Process**

- Read, research, then let it to be digested
- Put down the core message
- Draft the press release, and then leave it for some time (You can consider it as a rehearsal, no need to be perfect, just put it down simply.)
- Read it out loud and improve
- Give it to someone to get feedback

When first starting out in writing press releases, using a process like this can be extremely useful. However, it is not always realistic in the time frame you have available. And as you gain experience, you ideally will develop your own routine that you are comfortable with.

## **Content**

- While designing your content, focus on your targeted audience and what knowledge they currently have about the problem or issue you are about to raise.
- As much as possible, be specific, stick to facts, provide hard numbers.

- Give your release a title that is catchy
- Make a lead (2-3 sentences at the beginning) that serves as a brief introduction and teaser for the press release
- It is good to have a quote in a press release. A brief but vivid one. Generally do not have more than two quotes in a press release. (If you need more, put it at the end separately so journalists can pick.) You can use a quote from an internal expert (from the organization) or you can quote from a publicly available external statement. If so, cite the resource.
- Make sure you specify on top of the release whether it is for IMMEDIATE RELEASE or EMBARGOED until a specific date. (ex. Embargoed until 16th July, 2016, 00:01CET). Embargo can be useful when the background is rich, and it takes time for a journalist to draft the article, so you provide the content ahead but you want to have a launch date, or some sources (video, report, etc) are fixed for a launching date, but you ease the task for journalists and ensure coverage with distributing it earlier, but fixing the date of appearance
- Attach photos or infographics to the press release

Generally speaking, you should try to ensure that your press release contains four elements:

**The hook.** Draw the reader into the whole press release right at the beginning. This can be the news itself, or the link to the news, whatever is the most interesting part of the press release should be introduced briefly at the beginning. It should be newsworthy, or it should be put into the context of what is already relevant in the news.

What is the **core message** – the call-to-action. Be sure the press release has a clear view on “who should do what” – not many messages but one simple core message, focus on that.

**The framing.** In order to catch the attention of journalists, try to give something that is:

- controversial, or highlighting a conflict
- surprising, extraordinary, unique or original information
- stress the relevance – an issue that is relevant to many, or has a big scope has more chances to be published
- offer regional comparisons
- draw a connection to high-level people if possible (the appearance of a celebrity for example can be additional or give the warrant to be published IF the issue itself is not enough)

**The composition of the text** is also crucial. Have a strong, catchy headline (title) and give an explanatory subline if necessary. Headlines should not be long – perhaps only three words. Subline or lead is needed that ideally would be 1-2 sentences. The first sentence(s) in particular should be factual, and neutral! (such as facts, figures, data needed with resources). Do not start with stories. Although you want to make sure the reader knows exactly what the press release is about after the lead, you do not want to give away all the info.

The text should be built up like a news (not a subjective story), and should be able to be cut by the editor (organize in paragraphs, and be sure that the core message is already mentioned in the beginning). Do not mix important information with less important.

Make sure that the press release provides answers to the following simple questions (preferably after the first paragraph):

- **WHO** is doing **WHAT?** Who are the key players — your organisation, anyone else involved? Who does your news affect/who does it benefit? What is new?
- **WHEN?** What is the timing of this? Does this add significance?
- **WHERE?** Where is this happening/is there a geographical angle/is the location of business relevant?
- **HOW?** How did this come about?
- **WHY?** Why is this important news — what does it provide that is different?

## Styling

Always use short, straightforward sentences. Be simple, clear, understandable, and avoid complicated professional language. Write extraordinary thoughts but in a simple way. Be specific instead of being abstract. Use everyday language – avoid foreign terms and lingo. Do not use terms that are overused, such as clichés. Do not confuse messages, but instead focus on one. Be clear and consistent. Do not use complicated terms and passive voice! Do not repeat your words – the message can be repeated (at the beginning and the end) but use different wording.

Try to give something at the end – let the reader feel empowered, or that he/she knows more, or offer a solution, etc.

End each paragraph on a high-beat note (there is hope...) – this will help the reader to jump to the next paragraph

Try to write in an objective style as if a journalist would, to be sure that media without any changes necessary can publish your press release – ease the task for the journalists.

## Test

It may be useful, especially when you are new or when dealing with audiences you are not that familiar with to consider the following questions:

**Would an outsider get the message and have a perspective on the big picture just by reading this news?**

**Would they care? (Why should they care?)**

Usually topics that organisations would like to cover are too heavy and complicated. Simplifying is crucial. Do not aim for telling everything. Showing the "fin of the shark" is the key to effective communications. Just think about the symbol – showing only the fin of the shark can generate the same emotions as actually showing the whole animal. Therefore, the effect is the same. Try to select some information, a flagship, some figures, some arguments of your issue and only communicate towards public (and media) focusing on those. This way you can raise attention and get people involved.

Do not worry if you do not get the proper words at first or if your material does not sound catchy enough. Sometimes press releases have to go through several re-writings before they are ready for distribution.

## Length

Try to produce news materials in two length versions, for news agencies and for other types of media.

For news agencies, the length should not be more than 1500 characters

For other types of media, it is best to not exceed 3000 characters, four paragraphs or one page

## Extra information

Do not worry if you cannot tell everything in one press release. Feel free to provide some additional background information to the editors, to help them put together the big picture. Offer background information under your main text and contact information introduced with [To the Editor] or simply [Background].

## Layout

- Issue your press release on your labelled paper
- Use double spacing for paragraphs
- Add the logo of your organization and the logos of any partnering organizations and/or donors involved in your project to the header of your paper
- Mark the end of your release with the following sign  
--end--
- Make sure you have a contact person for further press inquiries added to the bottom of the page, under the sign: Contact
- make sure you provide at least 2 small format pictures for the article with Photo credits noted (name of the photographer and/or courtesy owner)
- Have a brief paragraph about the organization and a link to the website at the end of the press release

For a complete guide to writing an effective press release, see this webpage: <http://www.marketingdonut.co.uk/marketing/pr/writing-a-press-release/a-complete-guide-to-writing-an-effective-press-release>

# Building a Media Contact List

Writing a press release is one step towards earned media coverage. The other important step is to distribute it. For this, it is advised to build a media contact list and maintain media relations.

## Format

The best format for a media contact list is a spreadsheet. Try to categorize the types of media that is most suitable for the quick and easy channelling of your messages. Questions you will have to consider before choosing the proper form of organizing include the following:

- Will I issue press releases in diverse themes?
- Can I identify key subjects my news will most likely focus on (ex. business, finance, medicine, environmental conservation, fishing, art etc.)?
- What is the size of the region you are focusing on? Are you targeting a small or large market? i.e. one that has many media outlets or one with only a few?
- What is level you are going to target? Local, regional and national media? Only one of them?
- Do I need to build up an international media contact list as well? If yes, specify the key regions.

These will most likely help you to design the most suitable format of your press contact spreadsheet. One approach when dealing with a large market is to create different worksheets for different types of media. This means that you will have a separate sheet for

- Radio
- Television
- online media
- print media

When doing your research it is wise to start searching from top to bottom - from the most popular and most widely listened to stations to the ones for smaller and more specific listeners – which still may be useful if you are trying to target specific audiences.

Within these you can differentiate types of media according to the following:

## Radio

- national broadcast channel
- local broadcast channels of the capital
- local broadcast channels of regional capitals

## Television

- Generalist National Television Channels
- Generalist Commercial Television Channels
- Thematic Television Channels
- Regional Generalist Television Channels

## Online media

- National daily news media
- Regional daily news media
- Online pages of print media
- Thematic online media
- Thematic blogs
- Any further online media types that might be necessary (ex. university press, influential business or other newsletters etc.)

When setting up your online media list of key media use the same top to bottom perspective from the most popular to the more specified thematic media.

## Print media

- daily newspapers
- weekly papers
- monthly magazines

Within these wider categories, you will have to create thematic sub-categories for key thematic media such as:

- daily news
- business
- lifestyle
- program
- etc.

Please include all relevant categories that will be necessary for the efficient channelling of your messages.

**Once you have your media list covered this way, you can start to collect media contacts.**

Resources to collect media contacts from:

- media outlets
- large media groups
- Editorial board, columnists
- e-mail and Twitter contacts of the journalists on top of the articles

These will more or less provide you with the basic and publicly available media contact information.

For example you can use the following table for organizing contact info:

	Media name	Programme	Theme	Full name	Position	Email	Telephone	Twitter	URL	Work address
1.										
2.										

Make sure you add another column for 'additional information' – here you can specify the following:

- editorial hours (it is useful if you want to publish something in a particular print daily newspaper or media to know when they are working, morning/afternoon/night or shift)
- column deadlines – when they have to receive materials before publishing
- any other information that might be useful for your more effective communication with the particular journalist colleagues

## **Generating your raw e-mail lists**

Once your contact list is full, you should use it for sending out press releases. For the most efficient way to work with a large number of contacts you will have to produce raw e-mail contact lists on separate sheets within your Excel.

- Name them according to your needs

Example: all media contacts, relevant daily news contacts, thematic contacts, all program guides, green/environmental media, cultural media etc.

You will have several of these in your Media Contacts excel in order to simply reach out to them and use all of the contacts at once.

## **Update the media list**

Make sure you do a regular update of your media contact list. This is a crucial and ongoing work that you will probably have to do regularly due to editorial changes, journalists moving from one media to the other, channels closing or new channels opening up etc. You will have to track all changes in the industry in order to stay up to date.

**Make sure you insert your updates in the big media list as well as in the raw e-mail contact lists you are keeping!**

## **How does a Name become a Contact?**

- Identify your key media channels according to your key messages and your key audiences
- Try to build a personal relationship with your key journalists
- Avoid being pushy, but stay kind, be helpful and cooperative.
- Be ready to walk the extra mile for them in order to cover your story the way you want it.
- Leave a professional space for journalists; in other words, respect their decision when they decide not to cover your story at all.
- Try to ask for feedback from them: was it a good story? If weak, how could you improve it next time? Is this story really for this media? If not, are there specific angles that would interest them more? etc.
- Do not forget – the journalist is your partner in delivering your story.
- Try to build long term relationships with media: agreement for channelling your news, provide them with an expert columnist from your organization or score other deals that would secure a mutually beneficial collaboration

## Use social media

- Include the Twitter accounts of journalists to your contact list
- Use the most widely used social media channels of your country next to Twitter
- Research the media presence of identified key journalists in order to track their behaviour, audience responses and key areas of communication before approaching them

## How to use Your media contact list

- Create selected e-mail lists
- Send your materials to these lists
- Avoid sending messages to all of your contacts at once (for example political journalists appreciate if they don't receive all news about the latest launch of a marvellous nail polish)

You will send the press release in an attachment (together with selected photos) to several contacts, but they should always be in "Bcc" („Blind carbon copy") so that they would not see each other. This meant that you need someone to be as premier target – you can put your own name. (XY send message to XY, others are in BCC)

If you are sending out invitations to a particular event and/or your message includes an offer for a personal interviews, or if it is for some reason crucial for you to appear in that particular show, or media – make sure, you always contact the journalist on the phone too, politely asking for feedback on the possibility of appearance and/or need for further materials.

To check out media trends and landscape in European countries, you can check: [http://ejc.net/media\\_landscapes/](http://ejc.net/media_landscapes/)

# Planning communication activities

When we are planning our communications activities, it is crucial to think strategically and plan properly. Always be clear, why we are communicating. If we clarify the goals and objective of communication, that will help us to stay on track and avoid pointless efforts.

The goal describes a general intention and do not need to be specific enough to be measured. It is the higher purpose of communication or a campaign.

The objectives should be SMART (S = Specific; M = Measurable; A = Achievable; R = Relevant; T = Time-bound).

**S – Specific** – Make sure the objective specifies what needs to be done with a timeframe for completion. Use action verbs/create, design, develop, implement, produce, etc/

**M– Measurable** – how will we measure success? Try to include numeric or descriptive measures.

**A – Achievable** – Is the objective or demand achievable and realistic within the existing and available resources, timeframe, influence, and work environment?

**R - Relevant** – What results are we aiming for? Is this contributing to the change we aim for and the achievement of the ultimate campaign's goal?

**T – Time bound** – By when should this objective be accomplished? Is there a pre-determined end date or opportunity that we can seize? (i.e. a particular dates, calendar milestones, timeframes or tipping point)

<b>GOAL</b>	
<b>OBJ1</b>	
<b>OBJ2</b>	
<b>OBJ3</b>	

After designing the goal and objectives, we need to determine our target audiences. As a starting point, we can do a power analysis to identify the key targets that we need to influence to achieve the change we aim for.

High influence			
Medium influence			
Low influence			
	Blocker Likely to block change	Swinger Could be persuaded	Champion Willing to actively support

Once we have identified our targets, we have to think about the messages, and tailor the message to them to make it relevant.

After developing the messages, it is a good practice to test it with a sample of our target audience (i.e. focus group) to provide us with feedback.

In developing your message, remember to be **straightforward and simple**. Start from where your audience is, don't assume they know anything about the issue. Tap into your audience's existing concerns to help make the issue personal to them – it's not what you want to tell them, it's what they can hear.

Draft your key messages for your target audiences:

Target	Key message	Call to Action

There are many ways to influence our target audience. We need to decide which tactics will achieve the most influence on the targets and will be most successful in reaching the audiences.

We always have to be flexible with tactics and activities. If one does not work, we can try another one. It is better to plan multiple tactics and then test them. As long as we are sure in our objectives and target audience, everything else can change and be modified to achieve success.

## Measuring Success of Communications

The measurement is sometimes challenging, when it comes to marketing communications. The easiest way to measure the success of your efforts is to set up key performance indicators (KPI), like numbers of media hits, website visitors, participants on an event, etc. These KPIs focusing on volume can be good tools to reflect the results of activities. However, sometimes your main goal is not achieved although the KPIs targeted are met. If this is the case, it is advisable to consider to focus on quality indicators. For example partnerships and their value, pick top media channels according to target audience and measure appearance only in those, etc.

## References

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# Chapter 4. Participatory Processes

A common theme throughout this book is that organizations can increase their ability to reach their goals when they properly engage with their stakeholders. A stakeholder is any person or organization that is affected by or can affect an initiative – positively or negatively. In this context, engagement is any interaction undertaken with a stakeholder. A better understanding of (and engagement with) stakeholders can help to:

- Build and demonstrate support for an initiative, such as by mobilizing stakeholders for rallies or actions
- Create communication messages that best fit with targeted audiences (including those seeking to advocate for policy or raise money)
- Anticipate how target audiences will respond to communication messages.
- Increase involvement in energy planning processes in your community (described in detail later in this chapter)
- Better understand competitors, critics and opponents and anticipate how they will respond to your efforts
- Identify potential partners for advocacy, communications and fundraising activities.

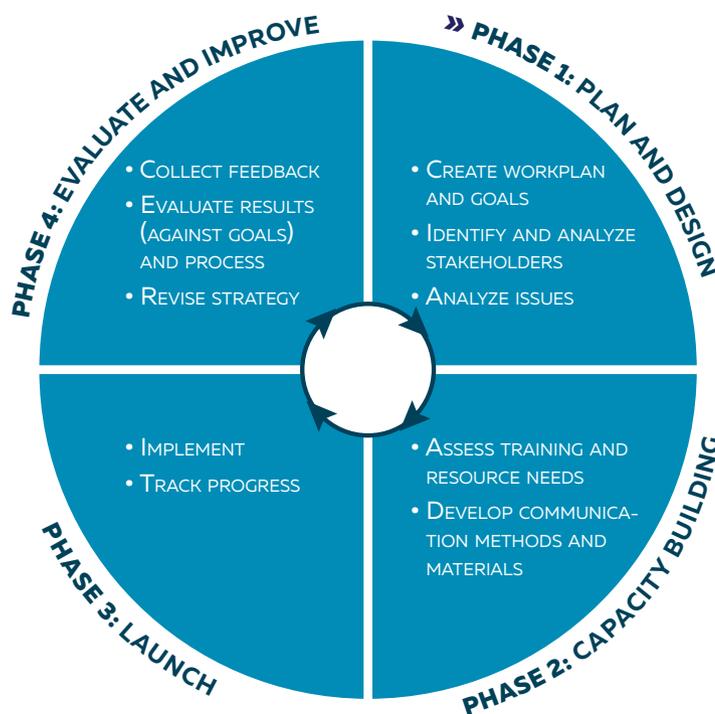


Figure 14. Stakeholder Engagement Process Model

Thus, it is not surprising that good stakeholder engagement is considered important to the success of many advocacy, communication and fundraising initiatives. Studies of successful initiatives have found that in many cases, advocates are carrying out good stakeholder engagement practices, even if they do not label them as such (Coe and Kingham, 2007). This section will describe these practices, give simple tools that can be used to carry them out and ways to assess your stakeholder engagement efforts. Specific considerations that arise when working on the sustainable energy issue and within the CEE context will also be addressed.

Different overall approaches have been suggested for stakeholder engagement (see Chapter 6). We suggest a simple method as depicted in figure 14.

# Plan and Design Stakeholder Approach

Although it may seem obvious, an important first step is to clearly identify the reasons that you are seeking to engage your stakeholders. These reasons or goals should guide all decision-making regarding the effort, such as which stakeholders to prioritize for involvement. A clear understanding of goals is especially true if you are working in conjunction with other individuals or organizations. Misunderstandings regarding the goals might lead to contradictory or counterproductive actions being taken by your team.

One way to ensure this agreement is to make a **purpose statement** – a simple sentence or two that clearly indicates what your group is seeking to accomplish via the participatory process. Three examples are listed below:

- To develop a sustainable energy action plan for the city of Bucharest.
- To decrease energy consumption in the transport sector in the Silesian region (Poland).
- To change Slovenian national government policy on energy standards for building renovations.

Each is simple and unambiguous, indicating the purpose for the engagement efforts. These examples also indicate the specific aspects of the social and natural system that is to be addressed by the action. For example, all three indicate which geographical level is to be targeted, municipal in the first, regional in the second and national in the third). The statements also indicate which sectors of the economy/society are to be focused upon (city-wide for the first, transport sector in the second and construction and building sector in the third). Based upon these three pieces of information (the goal, target sector(s) and geographical scope), it is possible to begin to identify the individuals, groups and organizations that would be relevant stakeholders.

Before undertaking engagement for sustainable energy advocacy initiatives, several important questions should be answered about targeted stakeholders. These include the following:

## **What sector does the stakeholder represent and where do they fall on the energy value chain?**

As described above, an understanding of the sector(s) the stakeholder is located in is important for targeting the right groups for inclusion in initiatives. Broadly speaking, this includes members of government, non-profit/civil society organizations and the media. Depending on the focus, involving the scientific/academic community can also be helpful. Inclusion of actors from the for-profit sector will also be relevant depending on the issue being addressed, such as the housing, transport or finance sectors. For many initiatives, stakeholders from throughout the energy value chain will also be valuable, such as those involved in power production, energy transmission, distribution, sales and service as well as end users.

Generally speaking, advocacy efforts that include stakeholders from throughout society will have a greater chance for success.

## **Does the stakeholder support your effort?**

Supportive stakeholders can potentially be important allies and should be engaged with. Conversely, stakeholders that do not support you may resist or even worse, might work against your efforts. This question is most important for important public sector/government stakeholders. This is because the engagement methods used for all stakeholders will change depending on whether or not the advocacy effort is top-down (government is supportive and already willing to participate) or bottom-up (government is against or neutral and must be convinced).

### How interested is the stakeholder in your effort?

A key factor in whether a stakeholder is interested in (or supports/opposes) your effort is whether or not they feel they will be affected by such a process. Stakeholders who are interested will be more likely to participate in the effort. **It is important to remember that in this regard, perception and reality might not always be in line with each other.** In other words, a stakeholder might be greatly affected by the changes proposed, but not realize it. Often, these types of stakeholders are 'late to the party' recognizing their interest only after the process has started (or maybe even completed). When this occurs, it is important to try to make this connection clear to the stakeholder.

### How powerful or influential is the stakeholder?

Another important factor in understanding how best to interact with a stakeholder is to assess how much they can affect the process such as by influencing others to participate in the initiative. Conversely, a powerful stakeholder in opposition to your effort can negatively affect your efforts to influence others. Influence can be based upon a range of different factors: political position, wealth, access to media, reputation etc.

### What is your objective with the stakeholder?

When analysing stakeholders, it is important to consider what your specific goals are for engaging with them. These goals would be based in large part on the answers to the questions asked above. For example, are you seeking to change their behaviour? Or do you want the stakeholder to influence others? Or do you simply want information from them? Some stakeholders may be helpful in obtaining needed resources as well. One or more of these specific goals might be relevant and is important to identify before starting engagement efforts.

Figure 15 below combines much of this information together to illustrate one way of categorizing stakeholders. For example, stakeholders that have high influence, high interest and are supportive of your goal(s) would most likely be **Primary stakeholders** in your efforts and should be involved as much as possible. Ways of assessing interest and influence of a stakeholder includes how closely they are connected to the targeted sector(s), the role they play in the energy mix (are they policy maker, supplier, end user, etc) or whether they are a producer, sharer or end-user of information.

		HIGH INFLUENCE	LOW INFLUENCE		
HIGH INTEREST	Supportive	KEY PARTNERS	SECONDARY PARTNERS		
	Opposed	KEY OPPONENTS			
LOW INTEREST	Supportive	SECONDARY STAKEHOLDERS			
	Neutral				
	Opposed				

Figure 15. Categorizing stakeholders by their interest and influence levels.

Conversely, high influence and high interest stakeholders that are opposed to your goal(s) would most likely be **key opponents** to your efforts and should at a minimum be monitored closely as they could hinder your efforts. In some situations you might also target influential opponents to try and change their opinion on the issue, as this might convince other potential opposition groups to not challenge your efforts. Ideally, it would be beneficially to also involve your opponents in the process, asking their opinion so that they would feel that their views are also considered even though they are not actively being turned to your cause. This might neutralise the possible negative effect they might otherwise have. However, limited resources makes it difficult for many organisations to do so.

**Secondary opponents** most likely would not cause major problems because they are not able to influence others to oppose (or not participate in) your initiative. For this reason, avoiding these stakeholders (as opposed to trying to 'win' them over to your side) might be the most efficient approach.

**Secondary stakeholders** potentially have high influence but are not very interested in the issue. As shown in the chart, those that are supportive or neutral towards the issue are perhaps most relevant as they would more easily be motivated to participate in your effort than those who would oppose them. Secondary partners are those stakeholders that are supportive and interested in the issue but have low influence – they should be involved, but they would have limited ability to convince others to participate and/or affect the process in general.

Additional thing to consider when dealing with stakeholders is to see where they are located in the energy production chain. Possible types include:

**Local government** – is a form of public administration that typically exists as the lowest tier of administration within a given state. Common names for local government entities could include state, province, region, department, county, prefecture, district, city, township, town, borough, parish, municipality, shire, village, and local service district.

**State Energy Agency** – governmental bodies that deal with coordination of energy suppliers and distributors and often are involved in the policy decision-making process related to energy issues.

**Energy Service Providers** – energy service companies (ESCO or ESCo) are commercial or non-profit organizations that provide a broad range of energy solutions including designs and implementation of energy savings projects, retrofitting, energy conservation, energy infrastructure outsourcing, power generation, energy supply, and risk management.

**Low-Energy Building Cluster** – organizations that aims to accelerate the market penetration of low energy buildings and to increase the construction quality of new buildings, as well as of the renovation of existing ones. It could be either private, non-profit or based on public-private collaboration.

**Energy Industries** – all of the organizations involved in the production and sale of energy, including fuel extraction, manufacturing, refining, and distribution. Examples include:

- the petroleum industry, including oil companies, petroleum refiners, fuel transport and end-user sales at gas stations
- the gas industry, including natural gas extraction, and coal gas manufacture, as well as distribution and sales
- the electrical power industry, including electricity generation, electric power distribution and sales
- coal producers
- nuclear power plants

- renewable, alternative or sustainable energy companies, including those involved in hydroelectric power, wind power, and solar power generation, and the manufacture, distribution and sale of alternative fuels traditional energy industry based on the collection and distribution of firewood, the use of which, for cooking and heating, is particularly common in poorer countries.

**Commercial Energy Interest Groups** – commercial organizations produce, market, re-sell, or distribute the energy products or services consumed by users.

**Commercial non-Energy Interest Groups** – other companies, especially those that are large energy consumers. In particular organizations such stock exchanges, financial institutions, banks, SMEs.

**Umbrella Organizations** – might gather civil society and non-profit institutions operating in a field of energy. In the context of private companies, they might be chambers of commerce, uniting SMEs and companies related to the scope of the field of our interest.

**Higher Education Institutions** – in HEI, we might consider universities, academies, colleges, and institutes of technology college-level institutions, including vocational schools, trade schools, and other career colleges that award academic degrees or professional certifications.

**Advisory Service** – advisory service advises current and future businesses prospects of clients. The logic behind of engaging that particular type of organizations is bringing their input in collaboration of business companies.

**Grassroots groups** – the type of organization that utilizes collective action from the local level to affect change at the local, regional, national, or international level. In particular, grassroots organizations might be neighbourhood groups, self-help groups, local political campaign efforts local co-operatives, local cultural, ethnic, recreational, educational or issue-oriented groups, most networks and support systems, many local chapters of service clubs, particularly as they have flexibility and autonomy to choose programs, religious groups, especially as based on spontaneous initiatives of congregation members

**Lobby Group** – interest group that is precisely attempting to influence decisions made by officials in a government. Lobbying is done by many types of people, associations and organized groups, including individuals in the private sector, corporations, fellow legislators or government officials, or advocacy groups (interest groups).

**Environmental Centres** – organizations that act as environmental education centres to disseminate and educate people about nature and the environment. This type of organization is often referred to as nature centres.

Once you have classified and prioritized stakeholders, specific engagement strategies should be developed for each. Three ways to think of this:

1. How much engagement should be sought with stakeholders?
2. When they should be engaged?
3. What formal methods of engagement should be used?

In terms of how much, there are typically at least four levels of engagement considered (figure 16):

- **Inform, educate, share:** Engagement at this level is primarily one-way, information is shared with stakeholders but they are not given an opportunity to respond. This is often done when you want to let stakeholders know about something for which their input is not needed. This most closely resembles traditional marketing or communications activities such as flyers, websites or articles.



STAKEHOLDER INVOLVEMENT	LOW	MEDIUM	HIGH		
WHAT?	Inform, educate, share	Consult	Share	Collaborate	Form a partnership
WHEN?	<ul style="list-style-type: none"> <li>Factual information is needed to describe a policy, program or process; a decision has already been made (no decision is required);</li> <li>The public needs to know the results of a process;</li> <li>There is no opportunity to influence the final outcome;</li> <li>There is need for acceptance of a proposal before a decision may be made;</li> <li>An emergency or crisis requires immediate action</li> <li>Information is necessary to abate concerns or prepare for involvement;</li> <li>The issue is relatively simple;</li> </ul>	<ul style="list-style-type: none"> <li>The purpose is primarily to listen and gather information;</li> <li>Policy decisions are still being shaped and discretion is required;</li> <li>There might not be a firm commitment to do anything with the views collected – in this case, advise participants from the outset;</li> </ul>	<ul style="list-style-type: none"> <li>Two-way information exchange is needed;</li> <li>Individuals and groups have an interest in the issue and will likely be affected by the income;</li> <li>There is an opportunity to influence the final outcome;</li> <li>Organizer wishes to encourage discussion among and with stakeholders;</li> <li>Input may shape policy directions and programme delivery;</li> </ul>	<ul style="list-style-type: none"> <li>It is necessary for stakeholders to talk to each other regarding complex, value-laden decisions;</li> <li>There is a capacity for stakeholders to shape policies that affect them</li> <li>There is opportunity for shared agenda setting and open time frames for deliberation on issues;</li> <li>Options generated will be respected;</li> </ul>	<ul style="list-style-type: none"> <li>Institutions want to empower stakeholders to manage the process;</li> <li>Stakeholders have accepted the challenge of developing solutions themselves;</li> <li>Institutions are ready to assume the role of enabler;</li> <li>There is an agreement to implement solutions generated by a stakeholders;</li> </ul>
HOW?	<ul style="list-style-type: none"> <li>Websites</li> <li>Leaflets, flyers</li> <li>Educational</li> <li>Documents and training</li> <li>Books</li> <li>Newsletters</li> <li>Technical papers</li> <li>Energy days</li> </ul>	<ul style="list-style-type: none"> <li>Public comment</li> <li>Focus Group</li> <li>Seminars</li> <li>Surveys</li> <li>Online consultation</li> </ul>	<ul style="list-style-type: none"> <li>Multi-actor Policy Workshops</li> <li>Deliberate polling</li> <li>Seminars</li> <li>Online consultation</li> <li>Forum</li> </ul>	<ul style="list-style-type: none"> <li>Participatory decision making</li> <li>Citizens advisory committees</li> <li>Working/Focus group</li> </ul>	<ul style="list-style-type: none"> <li>Partnerships</li> <li>Project co-management</li> <li>PPP – Public-Private Partnership</li> </ul>

Figure 16. The levels of engagement – specifically from a public policy perspective (Easy Agency, 2012).

- **Consultation:** At this level of engagement, stakeholders are asked to give comment or input. The key point is that no commitment is given regarding the use of input. This is typically done when the primary goal is to gather information and actions may or may not be taken based on the info gathered. Common consultation methods at this level include surveys and focus groups.
- **Collaboration:** Organizers at this level seek to encourage discussion among and with stakeholders – so that they can share their ideas with each other and potentially take action based upon them. Participants have some expectation that they will have an effect on the results of the collaboration. In some situations, such as when engaging in roadmapping – participant shaping of results is considered vital to successfully carrying out the process. Methods used at this level include forums, workshops or seminars. For in-depth collaborations, working groups might be formed.
- **Partnership:** Is the highest level of engagement that can be undertaken, in which formal partnerships are created with key stakeholders. This is often done when it is the best way to obtain 'buy-in' from a stakeholder, ensuring that they are interested in the activity and results. In some cases, partnerships might be formed as a way to empower specific stakeholders. Examples of these include formal partnerships, memorandums of understanding, joint projects, etc.

In addition to the formal methods for engagement identified above, a key element of stakeholder initiatives involves informal interpersonal interaction. Via telephone/email, in-person meetings, networking and other ways, this aspect of stakeholder engagement should take place continuously. Being able to develop a rapport with stakeholders can be an extremely useful talent for a person doing stakeholder

engagement. Some other characteristics that would be useful for people carrying out stakeholder engagement for renewable energy advocacy:

1. Have good communication skills (verbal and written).
2. Be willing and able to network with diverse people (government, business, NGO, community and media) on a regular basis.
3. Be organized and capable of documenting stakeholder engagement activity.
4. Have knowledge of the energy, society and environmental issues being addressed (or at least be able to learn quickly about them).
5. Be open minded and willing to try different approaches to energy advocacy.
6. Experience in community outreach would be very useful.
7. Have prior experience working with media or be willing to learn to communicate with them.
8. Knowledge of the political system in which activity is being undertaken.

## Implement Stakeholder Engagement

As indicated above, engagement strategies should be established for primary stakeholders to ensure that they are involved appropriately and most efficiently. This includes both formal and informal forms of engagement. Generally speaking, regular interaction with stakeholders should take place at key points in the policy cycle or based upon some other relevant timeframe to ensure that they continue to be engaged.

Figure 17 depicts the types of formal engagement that commonly take place at different points in the policy cycle. For example, at the **Agenda Setting** stage, stakeholders should be asked to participate in consultative and collaborative activities that seek to set policy priorities. For top-down situations (in which government is supportive and involved) engagement methods such as visioning and roadmapping processes are relevant. For bottom-up scenarios, where the public sector must be convinced of which policy actions to take – asking stakeholders to participate in advocacy campaigns is common.

At the **Policy Formulation** stage, one method of engagement could be asking specific stakeholders to participate in working groups (collaborative level of involvement) to develop policy recommendations. Other stakeholders could be asked to consult via focus groups or respond to surveys so that they can give input into the policies being developed. These processes again could be bottom-up or top-down in nature. In top-down situations, the state is organizing these activities and the role of the advocate is to ensure that the appropriate stakeholders are invited and participating in them. In bottom-up efforts, the advocacy organization convenes the stakeholders, develops the policy proposals and presents them to government.

The **Decision-Making** stage refers to the process through which the governmental body determines which policies to implement. Stakeholder engagement activity at this stage should be focused on encouraging stakeholders to participate in various ways, such as speaking to the press or participating in public hearings. A great deal of engagement at this stage should also be focused on informing as many stakeholders as possible about the decision via emails, social media and other methods. Victories should be celebrated to create momentum among stakeholders and defeats used to motivate for future efforts.

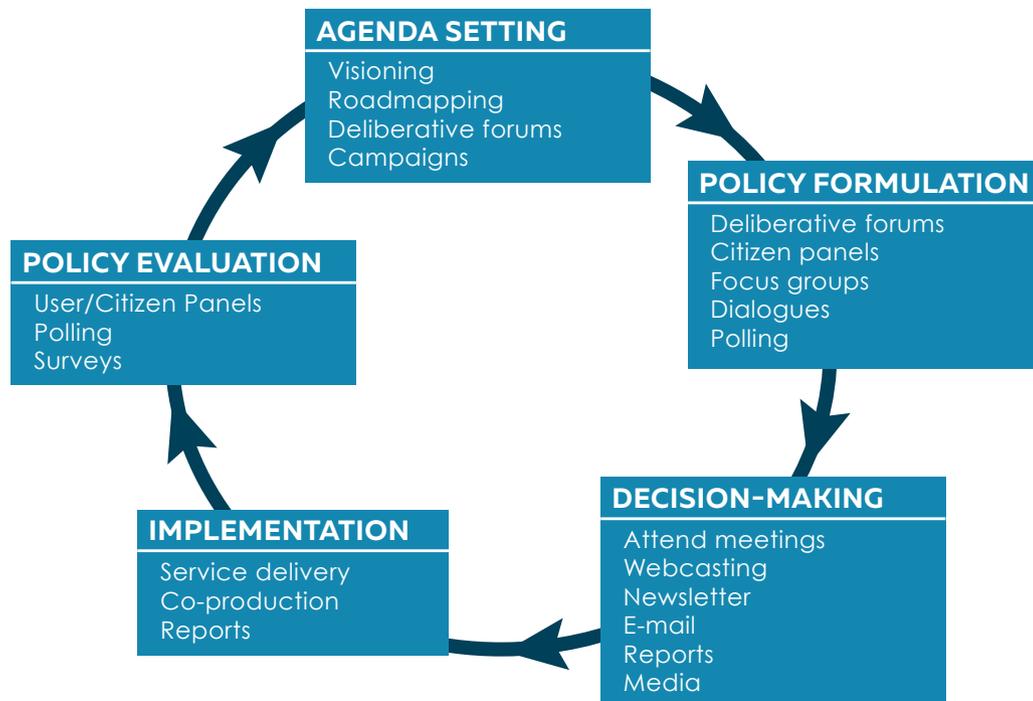


Figure 17. Engagement activities in the different stages of policy-making.

At the **Policy Implementation and Evaluation stages**, consultation with stakeholders directly involved or affected by enacted policies should be undertaken to understand how they are being implemented and what the results are. The broader groups of stakeholders not directly involved should then be informed about both – especially when the policy is not being implemented correctly. For example, regulations put in place to require energy efficient building renovations might not achieve the desired energy savings because they are not enforced properly. Educating policy-makers and the broader public about implementation failure can limit backlash against the policy and possibly lead to improved implementation in the future. Furthermore, the broader group of stakeholders should be informed via reports and other methods of the results of the policy – especially when they are positive.

## Dealing with Resistant Stakeholders

As indicated above, effective stakeholder engagement requires a great deal of interpersonal communication that goes beyond formal methods. Thus, being able to understand and adapt to the personalities/communication styles of your stakeholders can be incredibly important. Like fingerprints, no two stakeholders are alike, but there are certain characteristics that can be important to understand. One set of these elements relate to the communication styles that are used, the second to theories on how to motivate people to take action, both of which are described below.

## Communication style

### What 'tone' of communication is the stakeholder most comfortable with?

Some stakeholders prefer very formal/professional interactions – meetings are held in offices, conversations are focused on the work at hand and personal details are not relevant. Conversely, at the other extreme are stakeholders who are much more 'friendly' in their interactions – meetings can be held over lunch or while having a beer together and conversations may even cover personal details. Cultural and social norms can greatly affect where stakeholders fall on this continuum (Kuenkel et al, 2011). For example, within the CEE countries, Estonians and Latvians have a reputation for more formalized interactions whereas in Southern Europe communication tends to be more 'friendly.' Attitudes regarding the interactions of men and women might play a role (see Gamble and Gamble, 2014), and for countries with reputations for corruption – informal methods of communicating might be looked upon suspiciously. Likewise, acceptable norms might vary across different sectors (i.e. civil society, public sector, private companies). Furthermore, working relationships may change over time – so understanding the best interpersonal communication approach for each stakeholder is an ongoing process (Olivier, 2017; Le Feuvre et al, 2016).

### How often and in what ways does the stakeholder like to communicate?

Related to the above question is how frequently you should communicate with the stakeholder and via which methods (telephone calls, emails, etc). Some stakeholders prefer frequent communication while others do not. Some like very short messages that they can read at their leisure but others would rather discuss things over a call or in a meeting. What can complicate this is that sometimes there might be a gap between what a stakeholder says they prefer and what is actually effective with them (i.e. they say they prefer emails but never respond to them). Figuring out the best balance in this regard is an ongoing process and important one.

Finding the right balance for the above questions can help to avoid one of the most common problems faced when carrying out stakeholder engagement, which is resistant or uninterested stakeholders. These are typically primary stakeholders whose involvement is considered vital to the initiative but are not responsive – either they are unwilling to participate completely or they agree to participate but then do not do what they promise. Unfortunately, there is no magic potion that can solve this problem, but following are some tips to consider trying:

**Silence is not the same as no:** The reality is that for most stakeholders, your effort will not be high on their list of priorities. Keeping that in mind, you should not be afraid to contact a stakeholder multiple times if they have not responded to you. They may have lost the email or never seen it or just forgot to respond.

**Use multiple means of communication:** Related to the previous point, if a single method of communication is not working, try others. A stakeholder who is not interested in participating in a working group might still respond to a survey. The same is true for interpersonal communication, call, email and send a regular letter if necessary.

**Do not just take no for an answer:** If a stakeholder says no, try to find out why. Is it the time inconvenient? If so, can you change the time/date? Or keep this in mind for future activities. Are you asking too much commitment? If so, ask for less next time. If possible, make it clear that you will come back in the future and ask again for something else that better fits them.

**Try to develop more than one contact at an organization:** Multiple contacts at an organization helps you to maintain the institutional relationship even if one of them leaves. Furthermore, it provides multiple potential routes for success – if one person says no to participation, then maybe the other contact would say yes.

## Behaviour Change Approaches

A great deal of research has been conducted on how to promote behaviour change amongst different target audiences, which can be helpful in understanding when trying to motivate resistant stakeholders. For example, the Elaboration Likelihood Model (ELM) (O'Keefe, 2013) focuses on two ways to educate or persuade people:

- **Rational approach:** In this approach, logical arguments are made to someone who is motivated, paying attention, feels a connection to the issue and/or is highly knowledgeable about it. This approach assumes that people are rational and choose to do things that they perceive as benefiting for them. Thus, it is very important to sell the realistic benefits of participation and conversely, the negatives of non-participation. A common mistake made by advocates is to assume that stakeholders share the same opinion on the benefits of an action. To avoid this, think deeply about what your different stakeholders value and make a link between your efforts and their perceived interests. Will your work increase their sales? Reduce their costs? Increase people who are interested in their work? Increase their opportunities for funding? Improve their living conditions? Or the living conditions of their loved ones? For some stakeholders, it might also be compelling to express the negative effects of their not participating. For example, you can make it clear that by not participating they are letting competitors have unchallenged input into potential policy proposals. How close the person feels to the benefits and negatives of the effort also plays a key role – an issue that affects a family member or neighbour would be more compelling than one that affects people from a different country. Connected to this, if the issue is addressing effects that would be felt soon as opposed to the distant future could also be influential. Again, it is important to emphasize that if stakeholders are not already motivated, then this approach would most likely need to change their perceptions about the impact on their own interests.
- **Non-rational approach:** This approach is based on the personal connection that is made between the messenger and recipient. Thus, this can align closely with the communication styles described above. One example of the non-rational approach is demonstrated by studies that find that students who have positive feelings towards their instructor are more likely to be receptive to the content of the instruction (Petty et al, 2015). Research has found that environmental factors, such as the learning setting can also play an important role in this regard. A second factor is the concept of 'authority' in which the messenger is respected as being an expert or a person in power. In this situation, recipients will feel more compelled to heed the message. A third element is the idea of 'social proof' in which recipients are more likely to heed people when they see the positive benefits. For example, a person who has saved money after installing solar panels could describe the benefits they received to influence others to take action.

Social Learning theory (Sol et al, 2013) is closely related to the non-rational aspects of the ELM. This theory states that human behaviour is in part the result of positive and negative reinforcement that we have received or have seen others receive. In this theory, people act as role models to each other. The degree to which an individual can influence others depends upon various characteristics, such as their credibility, attractiveness (physical, personality, etc.) to others, the power they have, their expertise, the empathy they have with their audience and/or how they are rewarded for their good behaviour.

Both concepts lead to the importance of working through other influential stakeholders. This has been supported in the network perspective on stakeholders (Rowley, 1997) which recognizes that your relationship with a stakeholder does not occur in isolation. Stakeholders are involved in many different relationships simultaneously which can affect each other and some of these are more influential than others. Thus, as was discussed earlier, part of the stakeholder analysis process should be to understand these other relationships, especially those that are most influential. So, if a stakeholder says no to you, perhaps you can identify a third stakeholder who can convince them of their participation. This is one reason that getting opinion leaders on board with your initiative is so important.

Another difficulty that often arises is **having to deal with conflict** – this is especially true for engagement efforts that involve bringing together stakeholders with widely different perspectives in collaborative activities such as roadmapping or working groups. Some stakeholders may have histories of opposition with each other (such as activists and energy producers) which can in the very least result in tension and unproductive exchanges.

There are two broad responses to conflict within groups: try to prevent it before it occurs or deal with it when it does. These include the following:

#### **Preventative approaches to stakeholder conflict:**

- Examine your stakeholders' values, backgrounds, priorities, and personalities to identify potential sources of conflict. If feasible, speak to these stakeholders before collaborative activities to emphasize the purpose of the meeting and discuss any issues they may have.
- Inform all participants about the specific purpose of meetings beforehand, including the desired outcomes and decisions that need to be made. If possible, get the stakeholders to agree with these goals. Reiterate these points at the start of the meeting, emphasizing the idea that there is limited time to achieve a great deal.
- Use a neutral facilitator for collaborative activities and inform them beforehand on the potential disputes, including the relevant stakeholders and the background of the conflict.
- In addition to setting common goals, establish ground rules before meetings or interactions that includes how conflicts will be resolved. For example, on points of conflict you could decide to have a vote amongst the group and majority side would prevail. Setting these goals and ground rules should be done as transparently as possible – so that all participants understand what they have agreed to. This can put social pressure on participants to adhere to the guidelines even if it results in negative outcomes from their point of view.
- Another approach would be to avoid sensitive issues that are not relevant for the decision at hand. Of course, this must be done in a very careful way, so that stakeholders do not feel that their concerns are being marginalized. You could for example, agree to have a separate discussion just on the point of contention, to try and keep it separate.
- Assume that conflict will occur beforehand and think through how you will deal with it if it does occur.

#### **Dealing with stakeholder conflict when it does occur:**

- Do not ignore conflict if it starts to arise. Acknowledge that things are getting tense and remind participants of the ground rules that have been agreed to together.
- Remind people what topics fall outside of the present conversation but offer to discuss it at a later time.
- Change the environment of the conflict, such as by taking a break and asking everyone to go outside to get fresh air. When you come back, acknowledge the conflict, re-state what the purpose of the meeting is and explain what the shared goals and ground rules of the meeting are.
- Step in immediately if personal attacks, name-calling or cursing occurs. Disagreement must be civil; otherwise it can derail the whole effort.
- Acknowledge and document all issues that arise, so that participants feel that their concerns are being heard and will be considered in the future.

In the early stage of your project, consider using SWOT analysis and stakeholder mapping (see Annex 3) to identify possible sources of conflict and develop strategies to mitigate them.

## Documenting Stakeholder Engagement

Another important element of implementing stakeholder engagement is documenting the interactions that take place. There are different ways to do this, starting at the most basic level with a simple spreadsheet that lists the stakeholder, the dates you meet with them, the contents of the meeting and what future actions you plan to take with them. In the Annex 3 to this guide there is a sample template that can be used to track your engagement activities. On the other end of the spectrum are contact management and stakeholder engagement software packages such as those used by salespeople or by business teams. Low cost packages are available, although there may be limitations in the language support provided for them. The most important factor is to find a system you are comfortable with and that is not too time consuming when implementing. A good system would also be constructed in such a way that if someone needed to step into your shoes temporarily or for a longer time, they would be able to move forward using the information you have recorded.

In the early stage of your project, consider using SWOT analysis and stakeholder mapping (see Annex 3) to identify possible sources of conflict and develop strategies to mitigate them.

## Evaluating Engagement

The last part of an effective stakeholder engagement initiative is evaluating how it is implemented. The primary reason to do so is to help you understand why you did or did not reach your ultimate goals. For example, if you did not implement your initiative the way you intended to, then you know that in the future you need better execution. If you did do it how you planned and you still failed – then your plan of action should change for the future. Chart on the next page depicts the key elements that should be included in any evaluation effort. The first step is to gather information regarding each stage of the engagement effort and then analyse them together to answer important questions.

**Engagement Planning Process:** Key questions to ask are what could have been done differently and were the appropriate stakeholders identified. This requires assessing which methods were used to identify stakeholders and documenting who was involved in the planning process. Why were these people involved – were there any gaps in terms of their knowledge of the actors or issues involved? How was the plan developed? Was an assessment made of the field? When examining the planning process it is also important to assess whether enough money was allocated and if enough considerations were made on how to evaluate the effort.

**Engagement Implementation:** Important questions to answer when assessing implementation is to determine which methods of engagement were used and how well they worked. How much time and resources were allocated to these methods? Were stakeholders engaged 'enough' meaning that they were able to contribute what was needed from them and were content with their level of participation. If the first is not true, then your effort did not maximize the potential benefits of including stakeholders – such as having an expert who did not comment on key policy proposals you presented to the state. If you succeeded in your advocacy effort then this may not be problematic, but if it failed – this might be a possible reason. If a stakeholder was not content with their involvement (i.e. they felt they were not listened to enough or they believe that too much was asked of them), it may not have negatively affected this action but could hinder your future engagement efforts and should be kept in mind when you need to re-engage them. Perhaps you did not engage enough stakeholders – meaning important voices were left out or that you were unable to demonstrate to the state that there was large scale support for your effort. Conversely, you might have engaged too many (conflicting) stakeholders, which was difficult to manage and caused barriers to proper implementation.

## GOOD EXAMPLE: VIDZEME PLANNING REGION (LATVIA)

PANEL2050 project partner Vidzeme Planning Region (VPR) led the stakeholder engagement activities in Vidzeme Region in Latvia with the population of 220 280 inhabitants. Vidzeme Planning Region is public institution - Regional administrative authority (working under supervision of the Ministry of Environment Protection and Regional development of Latvia).

The engagement process started in the 2016 and by that time around 67 regional stakeholders were identified. The stakeholder engagement strategy had two distinguished characters in VPR case. Target audience was defined in the very beginning by the VPR and the capacity building activities were used to maintain the stakeholders.

The main stakeholders and target for engagement strategy were the municipalities. VPR established "Regional Energy Group" – containing the representatives of municipalities in Vidzeme region. The municipalities were identified based on the previous collaboration between VPR and Municipalities. The idea behind this action was to establish local networks of forerunners and to keep stakeholders engaged in the process. VPR sent out invitations and invited them to support the development of the energy roadmaps in Vidzeme region. For the "Regional Energy Group" VPR asked to municipalities to nominate energy managers. "Regional Energy Group", as an informal network, is open for external potential stakeholders. Energy managers are serving as a contact points between the VPR and local municipalities. Involving mid-level managers/public administrators increased the sustainability of actions as mid-level managers are less affected by the governmental changes.

To maintain the stakeholders throughout the energy roadmapping process, VPR used the capacity building activities - trainings of the PANEL2050 project. During September 2017 – April 2018 VPR conducted 8 trainings for the "Regional Energy Group" and trained up to 160 local energy managers and public administrators. VPR managed to keep the members of "Regional Energy Group" involved in the trainings by being in direct communication with members. The outcome is that VPR is developing the energy vision and they are ready to participate in developing the energy action plans.

During the capacity building trainings VPR observed what was the focus and interest of each municipality. Forerunners were selected after all municipalities were involved in the trainings, roundtables and face to face meetings.

**Evaluation of the Benefits/Outcomes:** When evaluating outcomes, the most important question is whether or not you achieved your desired advocacy goal, such as what has changed in terms of public policy. What are the effects of achieving this goal? Did it create new problems or issues that need to be addressed? An assessment of how relationships with different stakeholders are, is also relevant at this stage.

**Methods and Timing of Evaluation:** In terms of the methods used for evaluation, the important question to ask is how formal do you want it to be and what resources are available to support the evaluation. If the findings of your evaluation will be made available to donors, funders or other important stakeholders, than a more formal process should be used. Informal processes might make the most sense when you have limited resources to carry out such an activity. Some of these methods must be carried out during the implementation (such as feedback sheets after group dialogues) whereas many others (observations and reflections) would occur at the end of such a process. Some methods like surveys and quantitative data collection are more relevant when you have large numbers of people to collect opinions from and want an overall sense of how stakeholders perceived the initiative. Interviews and focus groups are more qualitative methods that are used when you would like to gain a deeper understanding of the

motivations, attitudes or ideas of specific individuals. Focus groups are more useful for collecting feedback from several people at once or when you are interested in the interaction between participants. Interviews on the other hand are able to get more detailed information but only from one person at a time. It is important to note that your ability to implement these methods will also be limited by external factors – for example whether or not external stakeholders are willing to participate in evaluation activities.

	Knowledge Sought	Evaluation Methods	By Whom? When?
<b>Planning Process</b>	What could have been improved or done differently? Did we forget any key stakeholders? Were the stakeholder groups representative?	<u>Example:</u> Interviews Observations and reflections	Panel Partners meet in M* to share observations about engagement process.
<b>Engagement</b>	What methods worked (not) well? Enough time & resources? Were the stakeholders involved the right amount? Were the numbers and types of stakeholders involved sufficient?	Online surveys Feedback sheets Focus groups Quantitative data collection	One-on-one interviews with selected stakeholders 2 weeks after engagement. Stakeholders asked to complete feedback sheets.
<b>Benefits/ Outcomes</b>	What has changed in terms of policy or project intentions? How has the relationship with the stakeholder changed? What is the likely nature of any future relationship with this stakeholder?		

## Practical Exercises

All the templates about the practical exercises are in the Annex 3, current chapter gives explanation to the tables provided. Organisations can use the tables for their benefit when developing their stakeholder engagement strategy.

### Stakeholder Engagement Template

The Stakeholder Engagement Template aims to report and document the stakeholder engagement process throughout the whole project. The template will serve as a tool to carry out local stakeholder mapping. As stated in the job description for the Stakeholder engagement person, partners should:

- Identify relevant stakeholders from different sectors of society, including those who are supportive as well as those that could be considered 'opponents' to efforts, such as certain industrial actors. Special effort should be given to identifying stakeholders that are not engaged currently in energy transition but could have a great impact on the process.
- Develop strategies for reaching out to stakeholders they have previously not communicated with – and creating rebuttals to the claims or arguments made by opponents.

- Establish good personal communication with identified stakeholders and start networking as soon as possible.

The template should be used to document the results of this activity on a regular basis (at least weekly), so that it can be shared with the consortium and be used as inputs for the manual and for the training that will be offered.

## Listing the Stakeholders worksheet

Excel Sheet 1, Annex 3.1

The first worksheet of the template contains crucial information about the stakeholders.

**Column B** should include the name of the organizations with acronyms and official identification number, through which the legal existence of the stakeholder can be proven.

**Column C** should specify the sectors such as Public Sector, Private Sector, Non-profit Sector, using the drop down list.

- Public Sector includes all the governmental bodies, including the local government, state agencies, public network, plus all public corporations including the central bank.
- Private sector, includes organizations that are seeking profit, and is not controlled by the State such as different types of business companies.
- Non-profit sector includes all the Non-profit institutions that are legal or social entities created for the purpose of producing goods and services whose status does not permit them to be a source of income, profit or another financial gain for the units that establish, control or finance them.

**Column D** should specify what type of stakeholder organization (see page 59-60 for complete list with explanations).

**Column E** After determining the type of organization, the one should provide brief information about the core aims, fields of operation of the organization.

**Columns F & G** (Location) should provide precise current official information of address, including the GPS location of the organization. The following link is given to easily identify the GPS coordinates <http://www.mapcoordinates.net/en>

**Column H** (Contact information) and **Column I & J** (Contact Persons) should include the official communication information of the organization, as well as the contact information of contact person. Identification and setting up the communication with relevant stakeholder includes finding at least one contact person from the community. In some case it necessary to identify the more than one personal point of Contact for the organization.

In last columns, there should be indicated information about the previous interaction with stakeholder. Answering if the stakeholder is a new or old partner for the partner organization. Moreover, the methods of communication should be indicated.

## Mapping the Stakeholders

Excel Sheet 2, Annex 3.2

The second sheet of the Stakeholder engagement template serves for the preliminary assessment of stakeholders, addressing two core questions: such as:

### How supportive is the stakeholder to energy transition? (-6.0 Opponent to 6.0 - Supportive)

A stakeholder might strongly oppose energy transition because they think it will negatively affect their organization. How important their opposition is depends upon how much influence they have on over other stakeholders.

For example, if a large company that employs many people thinks that energy transition will reduce their revenue/profit they will be more significant opposition than a small company that does not think energy transition will negatively affect their profits. Figure 18 shows an example of stakeholder map made by AgEnDa in Czech republic.

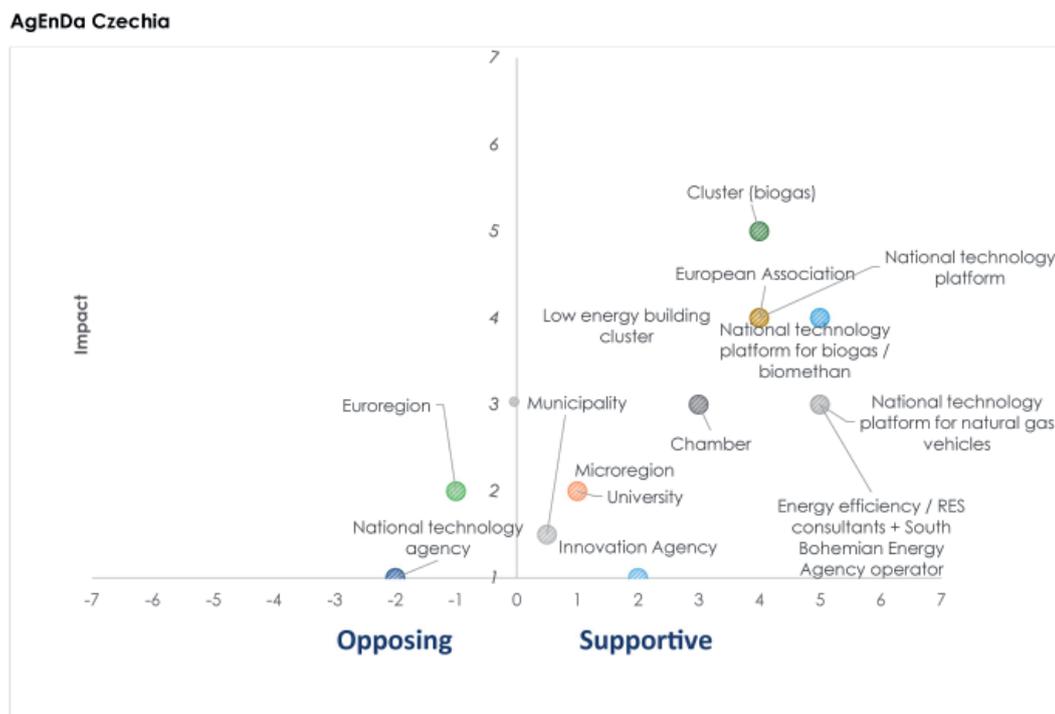


Figure 18. Visualized stakeholder Map of Czech republic

**Below is a scale with all of the possible ratings and what it means for the stakeholder.**

-6.0	A Strong opponent of the transition vision and process. Their aims and operations are opposite to the vision and this group of stakeholders has direct influence and the power to block the transition action.
-5.0	Strong Opponent of the transition vision and process. Their aims and operations are opposite to the vision but this group of stakeholders has indirect influence and the power to block the action.
-4.0	Moderate Opponent of the transition vision and process. Their aims and operations are not very compatible to energy transitions. This Stakeholder has limited influence but the power to block the transition process.
-3.0	An opponent of the transition vision and process. Their aims and operations are not matching to energy transition nor do they have the will to support the transition. This group of stakeholder has limited influence but has a significant influence as a group to block the action.
-2.0	An opponent to the transition vision and process. Their opposite aims and operations are not matching to energy transitions. This group of stakeholders have limited individual influence and be remote as well as limited influence as a group to block the action.
-1.0	Weak opponent to the transition vision and process. Their opposite aims and operations are matching to energy transitions. This group of stakeholders has limited individual but no influence as a group to block the action.
1.0	Weak support to the transition vision and process. Their aims and operations are not precisely matching to the vision. Although, they are interested in supporting the energy transition but have no capacity to support the transition process.
2.0	Support to the transition vision and process. Their aims and operations are not precisely matching to the vision. Although, they are interested in supporting the energy transition but have no capacity to support the transition process.
3.0	Support to the transition vision and process. Their aims and operations matching to the vision. Although, they are interested in supporting the energy transition but have limited capacity to support the transition process.
4.0	Moderate support to the transition vision and process. Their aims and operations are matching to the vision. They are interested in supporting the energy transition but have the interest to be part of the process and limited capacity to support the transition process.
5.0	Strong support to the transition vision and process. Their aims and operations are matching to the vision. They are interested in supporting the energy transition but have the lower degree of interest to be part of the process and capacity to support the transition process.
6.0	Strong support to the transition vision and process. This means selected stakeholder is matching the mission and aims of the stakeholder in a field of the energy sector. They have long-term goals in transition vision and power to support the transition.

**How deeply will they be affected by the transition? (1 - low impact; 6 - high impact)**

1	Energy transition will have no or minimal influence on stakeholder and it will not be any direct or indirect influence over the selected stakeholder. A low priority in the visioning process.
2	Energy transition will have a weak indirect impact on this particular group of stakeholders.
3	Energy transition will have an indirect impact on the individuals of the organization but the transition will not influence the operation of the stakeholder in any terms.
4	Energy transition will have a direct impact but not in a multiple way on the selected stakeholder. This mean that the policy transition will impact on individuals rather than the whole organization.

5	Energy transition has direct impact but partially in multiple areas on this particular group of stakeholders. There are still considered as a priority stakeholders that should be included in the visioning process.
6	Energy transition will have a direct and multiple impacts on selected stakeholder. The transition will have the long-term impact that will shape stakeholder performance, daily operations. High degree impact stakeholders are considered as a priority group in visioning the transition.

The grading logic should follow the coded narrative, but at the same time, partners are more than welcome to interpret the grading logic. Columns asking to explain the given mark serves for this purpose.

In the following stage, the remarks should be outlined, identifying the selected method of engagement, such as:

- **Informing** – to provide the stakeholder with balanced and objective information to assist them in understanding the problem, essence of action, policy alternatives, solutions, and opportunities.
- **Consulting** – to obtain stakeholders feedback on the action, created visions, analyses, alternatives and decisions.
- **Collaborating** – to partner with the stakeholder in each aspect of action, decision, including the development of visions, alternatives, and identification of preferred solutions.

## Objective of Engagement

Excel Sheet 3, Annex 3.3

The third part of the template is a logical continuation of stakeholder assessment part. As a reflection question, the one should think about the what could the specific role of selected stakeholders in the transition process and why there is need to engage them.

In this regards, identifying the objective of their engagement will guide partners to set the appropriate communication strategy and help us to ensure there are no hidden objectives or unstated hopes in the process of engagement. The overall objective of any public engagement exercise is to get effective public engagement that makes a difference to policy. In the template, the Justification of Engagement means listing Objective(s) and examples are provided in the template.

## Log of Engagement Activity

Excel Sheet 4, Annex 3.4

In order to identify the weakness or strength of the engagement, it is import to record and document the process of stakeholder engagement. This particular part of the template should include the information about the every single action that was taken in communication with stakeholders. In most cases, it will

be events, meetings of the stakeholders where the stakeholder engagement person should participate and establish a communication.

The first column should include Date of the event or another type of event and there should be provided the description of the activity.

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# Chapter 5: Roadmapping

Roadmapping is the evolving process of creating and implementing a roadmap and monitoring and updating it as necessary. This process of roadmapping is often as important as the resulting document, as it engages and aligns diverse stakeholder in a common course of action, sometimes for the first time. By getting thematically involved parties and interested stakeholders to work together towards shared goals and results, the roadmapping process can build relationships that have a significant, long lasting effect and will help to support roadmap implementation (IEA, 2014).

A roadmap is a strategic plan that outlines the development of a region, organisation or community over a specific time frame, more specifically the steps to take in order to achieve stated outcomes and goals. It clearly outlines links among tasks and priorities for action in the near, medium and long term (IEA, 2014). Policy roadmaps represent a dynamic set of policy-relevant requirements, such as existing policy frameworks and strategies in place, based on an assessment of relevant existing and emerging technologies, legal, financial, market, managerial and social requirements identified by all stakeholders involved in policy roadmap development. This effort shall lead to improved and enhanced sharing of and collaboration on all related policy levels among participants. A successful roadmap contains a clear statement of the desired outcome followed by a specific pathway for reaching it (IEA, 2014).

A successful roadmap contains a clear statement of the desired outcome followed by a specific pathway for reaching it. The main goal of energy roadmaps is to accelerate energy policy transition.

In this chapter we are focusing on Local Energy Roadmaps which can range from a technology focus over energy policies in a specific economic sector to general climate actions. The main goal of energy roadmaps is to accelerate energy policy transition in order to deliver innovative policy instruments for reaching strategic energy policy goals at all involved governance levels.

In most cases, the roadmap will be launched by or in close cooperation with the regional/local public authorities. To have a public actor as driving force during the development and implementation is a key factor for a successful and sustainable roadmap. Of course, for certain cases it might not be necessary to involve the public sector, e.g. roadmapping of the corporate energy strategy in the case of an enterprise or a corporate group. However, this chapter will concentrate on generating an energy roadmap for a region, micro-region or municipality as part of its long-term development strategy where the public domain always takes a key role.

The following pages will introduce the necessary process to develop an energy roadmap in order to shape the regional/local development path in line with national or higher-level energy targets and support a movement towards a sustainable energy future in the region or municipality.

Local public authorities are not only responsible for the energy consumption of the public domain but also are in the unique position to make sustainable energy a fixed component in all development actions. As influential authority and role model, they have the opportunity shape the local energy future and should take it. An Energy Roadmap is a strategic policy tool to plan out and step by step implement this energy future under continuous involvement of a range of stakeholders.

# Why Energy Strategy Roadmapping?

Effective management of energy production and consumption and the reduction of (municipal) energy demand is a relevant but often underestimated activity of a public authority. The energy roadmapping moves beyond the sole management of energy. The roadmapping process engages and aligns diverse stakeholders in a common course of action, sometimes for the first time. To build up long lasting relationships with relevant parties is as much part of the process as the technical modelling of energy consumer structures. By getting relevant parties to commit to the shared goals and results, the roadmap implementation is ensured. In addition, the process does not stop as soon as the document is published but should evolve further, fuelled by the commitment of a diverse group of actors, stakeholders and citizens.

An effective energy roadmap is more than just the routine management of municipal energy consumption. It should help to move from only reacting on events in the energy sector as they occur, to a proactive approach of integrative planning. Thus, Energy Roadmapping can be an important tool for groups seeking to make meaningful change to the energy production, distribution and consumption in a community and region. As such, it can be used to achieve many different objectives at the national/regional/local levels, such as:

- Contribute to the realisation of (supra-)national energy policies and policy targets (usually top-down) and keep track on progress of their implementation
- Develop a strategic approach to reduce energy consumption, emissions and energy costs to contribute to energy autarky and/or security (mainly bottom-up)
- Build awareness for energy topics through leading by example and targeted awareness campaigns
- Identify key stakeholders and involve them in the process
- Provide a framework for new/emerging energy technologies to enter the market

Of course, the goals of energy strategies can be various and go beyond the energy sector as such, contributing to the overall development strategy of a municipality/region.

The advantage of a localised roadmapping approach, which is bottom-up actions to achieve energy targets over a top-down definition of focus and type of activities is that resulting documents and Action Plans will be

- adjusted to the local conditions,
- consider specific potentials as well as barriers and
- be developed with the support and endorsement of local stakeholders which is key for the sustainability of the strategy.

# Roadmapping Methodology and Tools

According to the International Energy Agency (2014), there are several key aspects, which have to be considered for successful roadmapping:

- **Stakeholder participation** and answering the questions of who are critical stakeholders and how should they be included in the roadmapping process. The aim is to include external expertise which is missing in the roadmapping team and at the same time build support for roadmap implementation.
- Prepare to deal with **resource constraints**. Developing and maintaining the roadmap requires funding, personnel, skills, tools and time. The committed resources should be well catalogued and planned for the whole process.
- Identify and assess the availability of **critical inputs** to establish a sound baseline of current energy use and provide a basis for defining future technology and carbon targets, and evaluate technology choices.
- The **roadmap design** should present the relevant information including goals, milestones, time plan and implementation plan in a the type of information contained in the roadmap and how it is used to achieve results
- The **dissemination scheme** should cover the whole process with particular attention to how the document and results will be shared with a large community and the public.

Although often overlooked, **monitoring and tracking** of the roadmap is essential to ensure that desired outcomes are achieved.

There is not a one-approach-fits-all for structuring a roadmapping process. The design and level of detail in different phases have to be adopted to the local requirements as well as available resources. However, in order to produce a comprehensive energy roadmap at least the following phases should be realised as shown on figure 19.

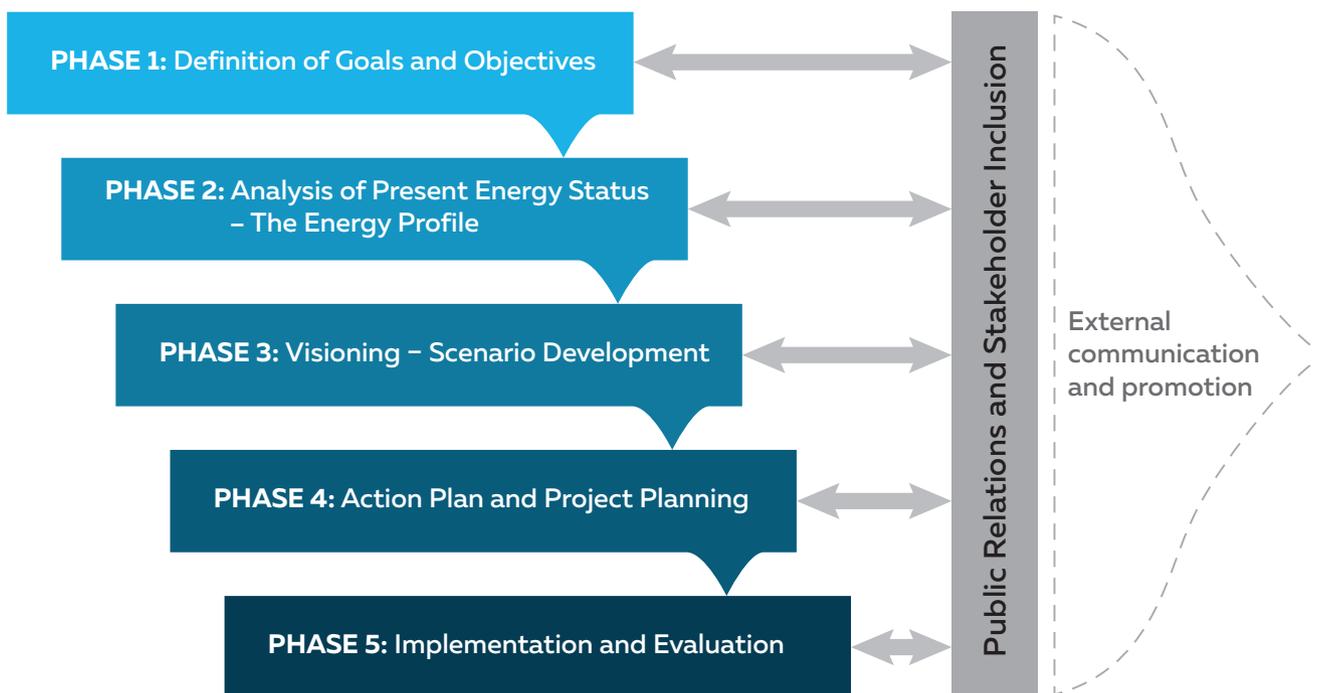
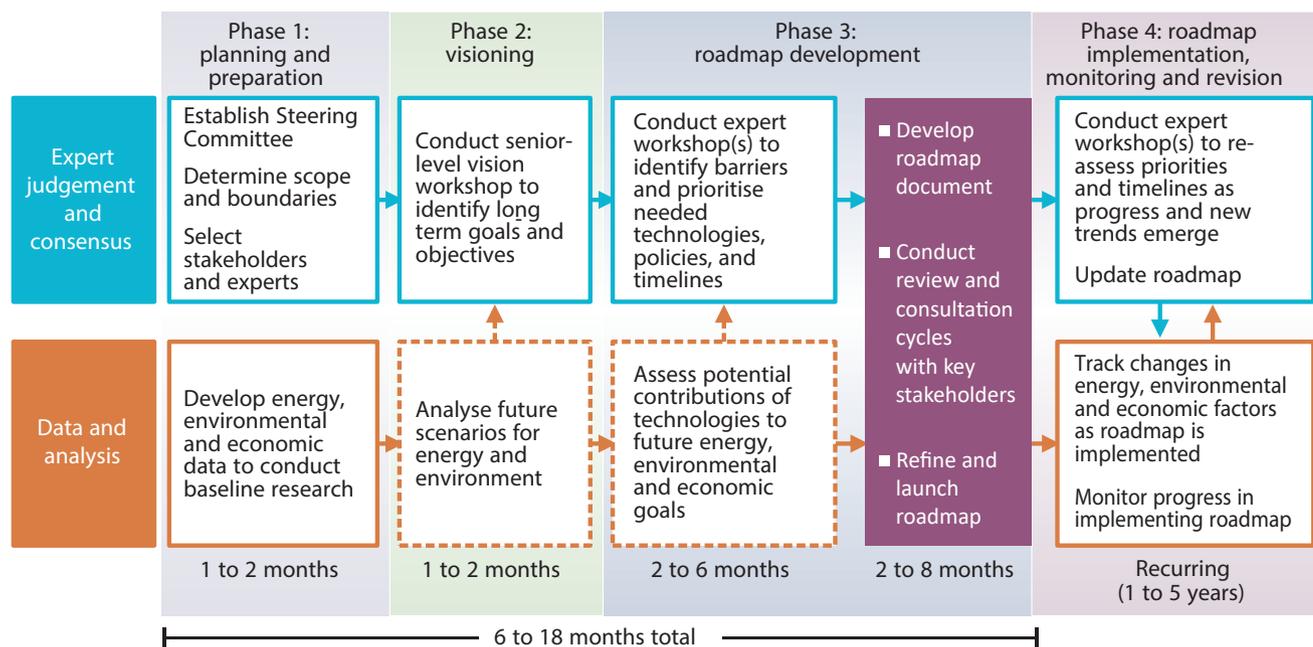


Figure 19. Different phases of energy roadmapping process.

The IEA proposes a similar approach for developing and sub-sequentially implementing a roadmap. The figure 20 shows the process outline (IEA, 2014).

Note that the entire data collection and computing process is accompanied by stakeholder involvement formats, shown as the blue boxes in the top line of the process. How expert and stakeholder involvement is designed depends on the phase of the roadmapping process as well as the individual objectives, e.g. collecting professional knowledge from two to three experts requires another format than a large-scale public opinion survey.



Note: dotted lines indicate optional steps, based on analysis capabilities and resources.

Figure 20. Roadmap process outline as seen by IEA (2014).

### Phase 1: Definition of goals & objectives

The objectives and specific goals of the roadmap have to be clearly defined before the process can properly evolve. It is advisable to get a political endorsement and commitment to implement these goals from political leaders and the private sector. On local level these goals should basically represent a contribution to higher-level targets (i.e. national or regional policy goals) but it is recommended to be more specific in the formulation of the goals and define region-specific targets considering local energy supply and demand structures as well as stakeholder opinions and possible participation.

The set of goals should be ideally quantified and measurable. Be as specific as possible and make sure to include a time-frame in which the goal should be implemented and reached, e.g. 20% reduction of final energy consumption in the industry sector until 2030.

### Phase 2: Analysis of present energy status – Energy Profile

The energy consumption baseline should be broken down into subcategories. The level of detail depends on the defined goals and the relevance of different energy consuming sectors in the total energy balance. However, for most cities and municipalities, the following categories will be relevant:

- Municipal buildings, equipment/facilities

- Tertiary (non-municipal) buildings, equipment/facilities
- Residential buildings
- Public lighting
- Industries

Depending on the required level of detail, the baseline analysis might consist of methods from a 'macro perspective' such as on the basis of national or regional statistical data or it might come from the micro-level such as a survey of primary data, e.g. mean energy consumption for the largest consumers in the area.

As much as possible, try to make use of existing data sources such as:

- Population census, employment statistics
- Land use statistics
- National and/or regional potential studies
- Building stock
- Energy expenditure of municipalities (for public lighting, schools etc.)
- Energy audits and assessments (buildings, industry, transport)
- Solar maps

In the exercise part of this chapter you can find a tool for generating an energy baseline, called an Energy Profile. The tool presents methodologies to calculate the most relevant energy indicators using a national or regional statistics.

Another good example is provided by the Covenant of Mayors programme (2014), which presents its own methodology and an according template for generating a Baseline Emission Inventory with the aim to provide an analysis of the current situation in terms of energy and GHG emissions.

### Phase 3: Visioning - Scenario development

Setting a vision is the process of defining the desired pathway for the development of the energy sector or energy supply and demand structures. This process includes modelling and scenario analysis, which are important tools used to define possible future states and plot the path necessary to reach the agreed roadmap goals. The energy vision provides the basis for long-term decision-making considering future plans in today's decisions.

The EC tool "EU Reference Scenario 2016" is publicly available and allows users to analyse the long-term economic, energy, climate and transport outlook based on the current policy framework. The scenarios thereby show development at the country level if no new policies will be implemented. This reference scenario can be used as benchmark against which new policy scenarios coming from the national/regional/local level can be compared (EC, 2016).

Scenarios should consider developments of the local energy economy, (energy) markets, and public policy priorities. Include a cost-benefit analysis of the proposed developments paths and rate the likelihood of their realisation.

### Phase 4: Action plan and project planning

The Action Plan (AP) can comprise a number of individual actions all working towards a specific goal as identified during Phase 1 (e.g. Energy Efficiency AP, Renewable Energy AP, AP for energy use in the

public sector, etc.). Following are some examples of actions, which were found most relevant for local energy roadmaps:

- In the public domain: public buildings, street lighting, municipal utilities (pumping stations, waste water treatment plants, etc.), renewable energy production, transport concepts
- In the private sector: office space (lighting, building services, heating, cooling, ventilation, IT), production facilities
- At household level: lighting, household appliances, consumer electronics, heating systems, circulation pumps, mobility behaviour

Take additional effort to plan the monitoring of your action plan thoroughly. This will save time and resources when evaluation the impacts of the single actions and determining your progress in reaching your targets.

The AP should define concrete and “**SMART**” targets for each of the actions. SMART meaning: **Specific, Measurable, Attainable, Relevant and Time based** (see page 123 for more detailed definition). The targets have to be relevant for reaching the overall objective of the Roadmap and contribute a measurable impact in balance with the planned monetary and time input. The description of each individual action should include a determination of necessary tasks and persons/entities responsible for their implementation. This should also be supported by a detailed implementation plan with a prioritisation of actions and with concrete dates for deliverables and milestones. The AP also has to feature an estimate of energy savings/increased renewable energy production and relevant additional indicators, e.g. CO<sub>2</sub> emission reduction. These target indicators will have to be monitored. It is recommended to define monitoring procedures individually for each action rather than for the AP as a whole. Data availability and responsible parties for conducting the monitoring might

differ significantly by actions. Similar to the implementation plan of the action, the monitoring plan should include necessary tasks and name responsible persons/entities.

## Phase 5: Implementation and evaluation

Communicate the progress and intermediary results to the target groups and actors on a regular basis. A sound Roadmap communication strategy will help people to identify with the energy topic and adopt it for themselves – “our project”.

Announce the launch of your roadmap by a press release or kick-off event and accompanied by other communication activities e.g. distribution of a (shortened) version of the Roadmap and internet coverage.

The Action Plan(s) already describe(s) and prioritise(s) the necessary steps. In the implementation phase, the process is now kicked-off. Periodic monitoring using relevant indicators is a must. According to the achieved progress, the implementation plan should be regularly reviewed and revised. The optimal period of revision depends on the availability of data and monitoring resources. For example, energy consumption of public buildings and facilities can be monitored through the annual energy bills. Actions in this domain can be followed and evaluated relatively easily. Other actions, especially those with non-quantifiable success indicators, e.g. awareness and education campaigns, are considerably harder to evaluate.

It is recommended to plan for a detailed revision at intervals of at least 3 years. This should include a revision of the energy balance with a comparison to

the established baseline and impact assessment of the implemented actions. It is advisable to employ independent external experts to conduct such an impact assessment. Corrective measures have to be taken, if necessary. If a significant revision of the Roadmap is necessary, stakeholders should once again be consulted to determine the direction the Roadmap is going and adapt goals and priorities

accordingly. Many roadmapping efforts fail because they do not reconsider their priorities on a regular basis, causing 20-year plans to become irrelevant after only a few years.

The more thoroughly monitoring indicators and success criteria were defined in the previous phases the easier the monitoring and steering of the roadmapping process will be.

For detailed strategies how to communicate and market the roadmap effectively, please refer to chapter 3 on Marketing and communications.

### **Stakeholder involvement and public participation**

In general, roadmap audiences vary depending on the type of document is being developed. For local level energy policy roadmaps, audiences may include:

- Local as well as national government decision-makers in ministries of energy, environment, industry, national resources and infrastructure, finance and economics
- Local energy sector and industry stakeholders,
- researchers and experts in the field of energy transition
- and, as main drivers of energy transition, representatives of local energy initiatives and civil society organisations engaged in advocacy towards energy system changes

As mentioned before there stakeholder that are experts and laypersons alike should be involved in each step of the roadmapping process. For more details about tools and methods of stakeholder involve please refer to Chapter 4.

## **Status and Initiatives in the CEE Countries**

CEE countries face the common challenge of high dependency on fossil fuels, which also have to import for the mayor part, and a slow development of renewable energy production plants and deployment of energy efficiency. Few local authorities/municipalities feel responsible for energy management or assigned energy project a low priority. Instead, they have for the most part chosen to rely on national authorities to achieve agreed energy and climate goals. However, for sustainable energy management and sustained impact different levels of governance – (supra-)national, regional, local – are required to undertake joint and coordinated efforts. In most cases, this means that authorities on local level needs to be activated and given the tools to necessary to shape energy development in their domain.

A movement for sustainable local energy ownership/production can be observed where local authorities as well as citizens promote and take active roles in local energy governance. In the following examples, we concentrate on pioneer initiatives, which facilitate the development of regional/local energy strategies in the CEE countries and can represent the basis or starting point for the development of individual energy roadmaps.

### **Covenant of Mayors** ([http://www.covenantofmayors.eu/index\\_en.html](http://www.covenantofmayors.eu/index_en.html))

The European Commission created the Covenant of Mayors in early 2009 as “the mainstream European movement involving local and regional authorities, voluntarily committing to increasing energy efficiency and use of renewable energy sources on their territories”.

The Covenant of Mayors is a unique bottom-up movement that succeeded in mobilising a great number of local and regional authorities to develop action plans and direct investments towards climate change mitigation measures. By signing the Covenant of Mayors, signatories commit to taking the necessary energy and efficiency and renewable energy measures to meet and exceed the EU's 20% CO<sub>2</sub> reduction objective by 2020. This was mainly carried out through the drafting, adoption and implementation of a Sustainable Energy Action Plan (SEAP).

*Note: Action Plan normally represents just one step of the roadmapping process. In the CoM methodology, however the SEAP includes the main elements of a roadmap (objectives, baseline, development scenarios, etc.) and is, although in a compressed form, a strategic document in itself.*

In October 2015, following a consultation phase among the signatories the new integrated Covenant of Mayors for Climate & Energy was launched in order to structure the process after 2020 and realign the focus for actions until 2030. The programme was merged with the climate change adaptation initiative Mayors Adapt. The CoM programme now rests on the three pillars Mitigation, Adaptation, and Secure, sustainable and affordable energy. New signatories now pledge to reduce CO<sub>2</sub> emissions by at least 40% by 2030 and to adopt an integrated approach to tackling mitigation and adaptation to climate change<sup>5</sup>.

The number of CoM signatories is continuously growing since the initiative's establishment. An evaluation from 2012 showed that 70 % of the signatories were cities with less than 10,000 inhabitants, showing that the initiative really activates local authorities. A majority of the signatories can be found in West and Northern Europe, especially for countries with a need for locally oriented policy frameworks in the field of energy and climate protection, e.g. Spain or Italy both with exceptional high numbers of signatories (Technopolis Group, 2013). Although CEE countries face similar challenges, the number of signatories from these countries are moderate, that is below 6 % of all signatories. However, it has to be noted that over 70 % of the signatories come from only two countries, Italy and Spain, which indicates that the distribution by countries is in general unbalanced. The potential benefit for CEE municipalities are numerous when looking at the energy and climate perspective. The main bottlenecks, like low priority of local energy planning and transition from strictly centralised planning should be overcome. Especially in cases, where the national level has been absent on delivering climate and energy policies, the Covenant has the potential to provide a vertical multi-level governance model that facilitates the institutionalised cooperation between cities and higher governance levels (Donnerer, 2016).

The CoM offers a standardised process to generate an emission baseline and draw up a sustainable action plan for reaching 20 % emission reduction by 2020, respectively for signatories under the renewed programme target, 40 % until 2030. From the evaluation it is known that the development of the SEAP on average takes one year and 11 months to complete and have to include actions in different categories. The emission baseline can be combined with more comprehensive sectoral data, see Energy Profile exercise or with the collection of qualitative data regarding the energy status quo and probably development paths.

### **Energy Cities** (<http://www.energy-cities.eu/>)

Energy Cities is the European Association of local authorities in energy transition. The association was created in 1990 and represents now more than 1,000 towns and cities in 30 countries. In 2012, Energy Cities initiated a process aimed at proposing and debating actions for accelerating the energy transition of European cities and towns. These proposals are based on innovative approaches, new ideas and ground-breaking practices. They provide practical answers and link today's action to the long-term vision of a low energy city with a high quality of life for all. Energy Cities is dedicated to: strengthen the role and skills of local authorities, represent cities' interests and influence national and EU policies and develop and promote the members' initiatives. Cities from CEE countries participate only in a few cases but there are some CEE city which represent a larger number of members and act as multipliers, i.e. Healthy

Cities of the Czech Republic with 130 members, PNEC-Polish Network Energie Cités with 40 members or Citenergo-Union of Towns and Cities of Slovakia with 11 members.

Members profit from the Energy Cities network and its international know-how in terms of integration and connecting energy efficiency, renewables and sustainable urban planning as integral part of local policies and actions. Energy Cities is an advocate of local authorities in the fields of energy efficiency, renewables, climate mitigation, regional policies and financing (Energy Cities, 2017).

<b>CASE STUDY from Central and Eastern Europe</b>	
Renovation programme Enervision in Ignalina region municipality (Lithuania)	
<b>Responsible organisation</b>	Ignalina region municipality administration
<b>Region/ geographic coverage</b>	The Enervision programme was set up for 3 municipalities of Ignalina Nuclear Power Plant region (Visaginas, Zarasai, Ignalina), but only Ignalina implemented it in full and successfully.
<b>Description</b>	<p>The region bordering the Ignalina Nuclear Power Plant was extremely dependent on the NPP, economically and socially. After the beginning of decommissioning process, all municipalities faced economical problems in energy sectors. One of the best practices is the Enervision programme that were created and implemented by Ignalina municipality.</p> <p>The Enervision programme is the part of a national programme, but due to situation the INPP region was named as problematic region and received more attractive conditions. The citizens of Ignalina were involved in all stages of adapting the Enervision programme. The local government was very open for suggestions and the new model was created and suggested for approval to the national government only after approval from Ignalina citizens.</p> <p>The resulting model of the renovation was more attractive as the municipality took responsibility for tendering of the renovation work, for getting bank credits for renovation costs and additional bureaucratic requirements. The first stage of the programme financed about 85 percent of all costs of renovation. The citizens could choose the period of payment for renovation (till 25 years) and have to make periodic payments.</p> <p>The renovation in Ignalina city started in 2009 when the local authorities used the funding for 15 apartment-blocks renovation. In 2017 more than 80 percent of apartment-blocks in Ignalina city and its region was renovated, the residents of the apartment-blocks already feel the results of the renovation, as they live in the warm homes and save the energy and money. Ignalina municipality became a good examples for other municipalities how to successfully implement renovation programme. Ex-mayor of Ignalina city Mr. Bronis Rope ever wrote the renovation guide “Masters of their own future”, that present the good practices of renovation.</p>
<b>Target indicators</b>	<p>Ignalina municipality planned that more than 80 percent of all buildings have to be renovated by the end of 2014.</p> <p>Energy consumption per building was reduced up to 60 percent and renovation investments paid off in 3 years.</p>

## CASE STUDY from Central and Eastern Europe

ROADMAP for a sustainable building sector in Czech Republic through strengthening the development of self-sufficient houses

**Responsible organisation**

AgEnDa z.s.

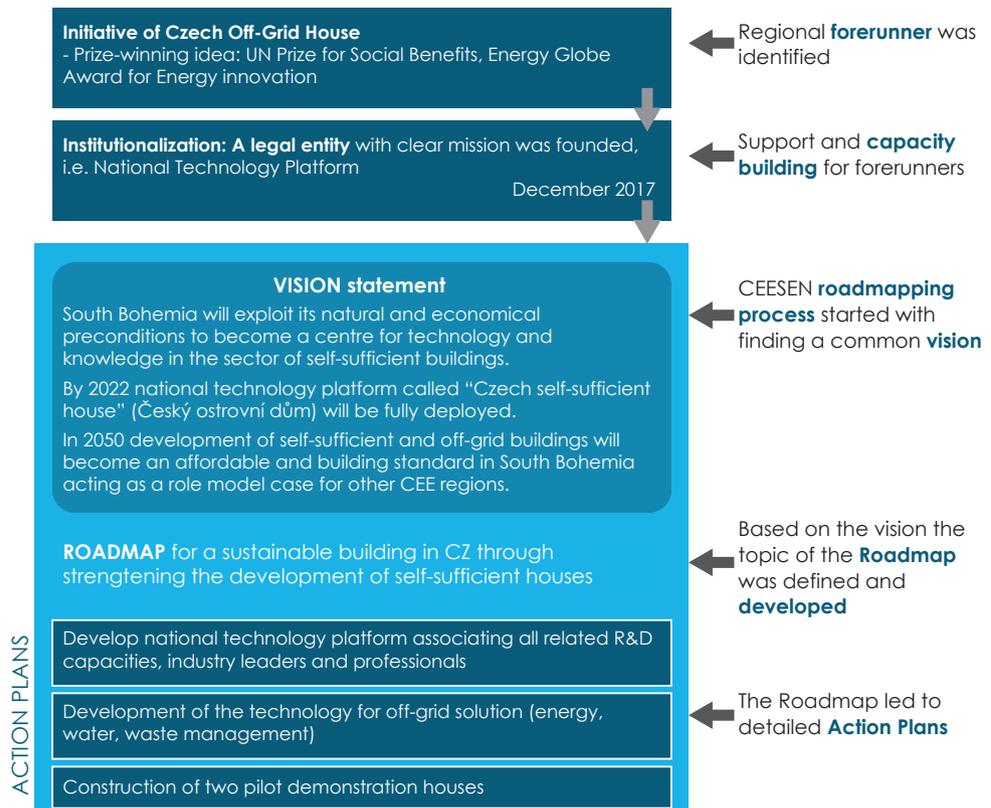
**Region/  
geographic coverage**

South Bohemia(CZ)

**Description**

The region bordering the Ignalina Nuclear Power Plant was extremely depopulated. The Roadmap evolved around the award-winning initiative of the Czech Off-Grid House project. In December 2017 Czech Sustainable Houses has been officially registered as national technology platform whose focus is broadly expanding and does not deal only with the extreme case of so-called "off-grid" (completely source independent) constructions but with a whole range of partial possibilities of self-sufficiency in various forms and sizes of buildings.

A roadmapping process was started in order to plan the steps necessary to expand the idea of self-sufficient buildings and make it a common buildings standard. The main elements of the roadmap are summarized as follows:



## EXAMPLE IN ENERGY STRATEGY DEVELOPMENT

For example, in the PEA project, the Public Energy Alternatives partnership, eight municipalities in CEE region got new energy strategies that have been successfully implemented since.

A renewable energy guide and an online tool was developed to aid decision-making and a marketing for the planning and implementation of sustainable energy projects. The Baltic Energy Compendium was also put together to aid local policymakers in regional energy planning.

See more about the project and, the energy strategies and renewable energy guide at: <http://www.peaproject.eu/>

The online tool is accessible here: <https://www.atenekom-portal.de/nsp-calc/>

## Practical Exercises

### Preparing an Energy Baseline

See Annex 4 for more detailed info and guidelines for the template.

The roadmapping process should always feature an analysis of the current situation. We designed a template for the collection of energy data on regional/sub-regional/local level. Additionally, to these energy statistical data qualitative data (e.g. perceived policy support for EE and REN development and its effectiveness, risks and barriers for different stakeholder groups, opportunities and development paths for energy project in the next 5 to 10 years, etc.) should be collected.

For a complete energy baseline, we propose to cover the following sections at least qualitatively:

- Basic demographic data and figures
- Regional economy and economic trends
- National and local energy strategies
- Energy Production (complete with local energy statics)
- Final energy consumption per sectors (complete with local energy statistics)
- CO<sub>2</sub>-emissions associated with energy consumption
- Renewable energy sources – status and potential
- Energy efficiency – status and potential

In the CEE countries, energy statistical data collection is mostly comprehensive and robust on national level but gets more and more incomplete when assessing the regional or the local level.

The proposed tool therefore provides methodologies for the estimation of energy supply and demand in specific sectors based on national statistical data.

## Leading a visioning workshop

To make the visioning process easier for your stakeholders, plan the process beforehand. Keep the following points in mind

- Define a core “visioning team” and make sure that everybody is on the same page regarding energy status quo of the region (Provide them with your REPs to get an overview)
- Define a business-as-usual (BAU) scenario and explain it to your stakeholders
- Use the BAU scenario as starting point for defining your vision
- If possible, prepare beforehand different energy scenarios and projections for your region
- Test the scenarios with key stakeholder groups
- Make sure that the vision and defined targets present an additional added-value compared to the BAU scenario

Working material:

- Cards and pens for the participants to write down their vision statements
- Posters present all statements and to do the clustering
- Stickers, Post-its for prioritisation exercise

### **Workforce:**

2 people (one moderator, one note-taker responsible for collecting, clustering, writing out the participant's contribution).

For large groups you should think about additional moderator to structure the work in sub-groups.

### **Exercise:**

Start with presenting the energy-related status quo for your region and explain our approach to facilitate an energy transition. Explain the business-as-usual (BAU) scenario where there are gaps towards national/regional targets and the pathway towards a low-carbon economy. If possible, prepare beforehand different energy scenarios and projections for your region.

In the interactive part, ask participants to give a definition of how the regional low-carbon economy should like. Alternatively, you can also ask about the different energy scenarios presented before to get more specific answers.

Participants should describe the future scenario with statements in the present tense. Examples: In a low-carbon economy 100% of our energy comes from renewable sources. In a low-carbon economy air-quality in the city is optimal as we are only using electric cars.

You can do this in smaller groups (up to 5) in a brainstorming exercise to come up with different statements.

Come back in the large group to collect all statements and try to cluster them. You can do this either with a poster or using a visualization tool on your computer and projecting it on a wall for everybody to see.

Find consensus for certain areas but also identify areas of disagreement and mark them accordingly. Ask the participants to prioritise certain areas or single statements. Concentrate on the areas where you already established a consensus. Prioritisation can be done by providing everybody with 3 stickers/post-its or 3 votes and ask them to indicate the top 3 areas. Give the participants enough time to go through all the statements once again, move to the board and have short discussion among each other.

Create a new list with statements which have strong support.

Your vision can be a single statement or a group of elements. If you have time you can work together on the concrete formulation of the vision. For larger groups it might be a good idea to summarize and formulate the vision after the workshop. Present the participants with the finalised statement and ask if they have comments or something to add.

See Annex 5.1 for more detailed info and template with exemplary structure of a vision document.

## Developing the Roadmap document

The roadmap document is the heart of the process channeling baseline analysis and vision into a concrete pathway towards a sustainable energy future. Ideally, the document should combine vision, development paths and Action Plans all in one document. The following model is used by the CEESSEN members:

See Annex 5.2 for more templates for a Roadmap structure and Annex 5.3 for Action Plans.



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# Chapter 6. Resource Development for Advocacy

Effective implementation of the various activities described in the previous chapters (policy advocacy, marketing, organizing participatory processes) all require relatively large investments of time and money. Acquiring funding to support these types of initiatives is challenging everywhere, but especially so in Central and Eastern Europe, where limited levels of economic development and historical attitudes towards fundraising have constrained the ways in which sustainable energy initiatives have sought to support their work.

In this chapter we shall address sources and methods for supporting sustainable energy initiatives in two ways. First, we shall explore ways of financing sustainable energy projects such as retrofitting buildings, installation of lighting systems, building wind turbines, upgrades to district heating etc. Support for sustainable energy projects comes in two forms: financing such as bank loans that must be paid back and grants which do not need to be paid back. This section will explore major public and private sources for financing and grants within the CEE and will provide guidance on how to learn more about them and pursue funding. The section will also identify advocacy goals that should be considered to improve the availability, accessibility and feasibility of sustainable energy financing in the CEE. Emphasis will be placed on EU-level financing options as it is a major supporter in the region. Technical aspects of these types of initiatives falls outside the scope of this chapter and this guidebook and will thus not be addressed.

In the second section of the chapter, we will discuss other potential methods of supporting sustainable energy organizations separate from specific investment projects. These funding methods can be used to increase the capacity of advocates to be able to effectively implement sustainable energy initiatives. They can also be used to support activities such as engaging in advocacy campaigns, exchanging experience, transferring of knowledge, peer learning, networking, preparation of energy and climate strategies and actions plans, research, training, etc. The section will conclude with instructions related to specific skills that are useful when raising money: how to organize a fundraising event and how to access crowdfunding.

## Financing Sustainable Energy Projects

### **Private Conventional Financing for Sustainable Energy Initiatives**

Private financing such as from banks is not typically a relevant source for energy advocacy funding unless through donations which is described later in this chapter. However, it is an important resource for the sustainable energy projects that are often the end result of advocacy efforts – commonly referred to as 'green financing'. Private financing is needed because the public sector is unable to support on its own the full cost of conversion to sustainable energy. For example, to achieve the goals set by the EU's climate and energy strategy for 2030, it is estimated that 177 billion EUR is needed per year, much of which will need to be spent in the Central and Eastern European Member States (Guide on good practice in energy efficiency for Central and South Eastern Europe, 2018). Considering this, action to increase the viability of investing in sustainable energy should be an important advocacy goal, which will be discussed throughout this section.

When developing energy-related projects there are a broad range of potential funding options, which are described in detail in the EnerInvest overview: Guide to financing for sustainable energy projects (2017). The most well-known form of financing comes through banks or financial intermediaries. To qualify for these types of financing, borrowers must have a certain minimum level of credit level/history and a minimum level of solvency (i.e. having cash or assets that can be used to pay back the lending institution if there is a default). As we will discuss, the latter in particular can be an important barrier to green financing.

**Loans:** What we typically think of in terms of bank financing are loans, which are amounts of money given by the bank that must be paid back over some specified period of time. Some banks offer specific loans for the construction of sustainable buildings or upgrades that make use of renewable energy sources (such as the purchase of a photovoltaic unit or a biomass boiler) or for renovations that improve energy efficiency. In these loans the interest rate may be lower than a conventional loan and usually the repayment period is related to the expected energy savings. These energy savings often must be verified throughout the term of the loan.

According to the De-risking Energy Efficiency Platform (DEEP) (<https://deep.eefig.eu>), which is a database of over 5000 energy efficiency investments in Europe, the average payback time (years required for the saving to pay for the investment without any interest costs) for all buildings projects is 5 years. This of course varies depending on the type of investment made, for example HVAC plants and lighting improvements take around 3 years, whereas more expensive investments take longer such as building fabric measures (between 11 and 16 years) or integrated renovations (between 14 and 22 years).

**Credit:** Is another common option offered by banks, in which a certain amount of funds are placed into an account to be used by the borrower up to a certain limit. Interest payments are due only on the quantity of money that has actually been used. Payback is over a defined and fixed period of time with a number of fixed installments plus interest rates. In revolving lines of credit, when paid back, money can be withdrawn from the account - in other words, it works similarly to a credit card. Credit lines typically are used to finance working capital, such as when a company has short term expenses that it needs to pay. The lines of credit are valid for a set period of time but may be renewable (for longer periods) and/or extendable to greater amounts or additional purposes.

Organizations looking to obtain loans or credit should have plans that describe how projects will be implemented, how they contribute to the business of the applicant firm (if applicable) and how they will generate enough revenue to be able to pay back the loan. Solid management with a proven track record by the applicant (including owners/partners) is also a factor that is often considered.

**Energy Service Companies (ESCOs):** An increasingly popular method of supporting hard measures to improve sustainable energy primarily in multi-family buildings are ESCOs, which is defined in the ECA Directive 2006/32 as:

*"a natural or legal person who provides energy services or improves energy efficiency in a user's facilities or premises and who accepts a certain degree of economic risk in doing so. The payment for services rendered shall be based (in whole or in part) on obtaining improvements in energy efficiency and in compliance with other agreed performance requirements."*

As such, ESCOs enable clients to reduce their energy consumption without having to deal with an initial investment that is beyond their means or taking on the risk that comes with such initiatives. The ESCO and customer do so either via Energy Performance Contracts (EPC), which are focused on projects that improve energy efficiency or Energy Supply Contracts (ESC) that reduces supply costs of energy, typically in the form of heat savings.

During the design and implementation stages of EPC projects, the ESCO undertakes all technical, economic and legal risks to ensure that specific quality, comfort and maintenance standards are met during

## Advocacy to Improve Private Financing in the CEE Region

Considering the potential importance that private lending can play in the support of sustainable energy initiatives, a key question for advocates would be regarding what are the key drivers for lenders in supporting such efforts. Some evidence to answer this question can be found from the work of the Energy Efficiency Financial Institutions Group (<http://www.eefig.eu/index.php/eefig-local>) which studied these questions and included two CEE countries – Bulgaria and Poland. These included several areas where energy advocates could seek to influence government behavior, such as maintaining regulatory stability so that lenders do not need to worry about changes in regulations that would affect the viability of projects. Another important driver is whether or not there is fiscal support such as tax relief for energy efficiency measures. A third area cited was difficulties in doing risk assessment due to the complexity of sustainable energy projects – thus awareness raising among the financial community including the sharing of data and setting of standards that can be used to evaluate such projects would be valuable. This last point is also related to another key factor, high transaction costs - if lenders do not have clear standards to go by and many projects are quite technical, the cost of effort for each investment will be greater.

Regarding these last points the use (and promotion) of quality standards within projects is an important way to minimize risk and transaction costs for investors. For example, the Investor Confidence Project has developed Energy Performance Protocols (<http://europe.eepperformance.org/protocols.html>) that cover energy efficiency retrofitting of apartment block buildings, industrial energy efficiency projects and all types of street lighting. Using ICP's protocols and the ICP Quality Assurance checklists and project specifications, projects can be certified as Investor Ready Energy Efficiency™ and thus should be easier to gain financing.

the term of the contract, which usually ranges between 5 and 15 years. They do so because they also seek to achieve a specific amount of energy savings based on the current situation (i.e. energy consumption due to the heating, insulation and/or electricity systems within the building). It is from these realized energy savings that the ESCO is paid by the customer, typically divided into renovation fees (such as engineering, construction, installation, project management and financing costs) and operation and maintenance fees (covering the operation and maintenance costs related to the installed systems, such as replacement of filters for a new ventilation system). Ideally, these fees plus the fee for consumed heat or electricity would not exceed what would be paid if no renovation was done at all.

ESC projects often are focused on the optimisation of equipment (such as heat produced by a biomass boiler), production of electricity from cogeneration plants, etc. ESCs usually involve longer terms (10-30 years) and are best suited for centralised systems such as heating and cooling. Upon completing the installation, the ESCO is paid for the quantity of energy supplied during the term of the contract. The ESCO pays costs of all equipment upgrades, repairs etc. but the customer usually retains ownership of the equipment. The customer usually pays a fee based on its existing energy bill minus a percentage savings (such as between 3 and 10%).

By engaging with ESCOs, the customer does not need to take out a large loan upfront and only makes payments month to month when the agreed upon energy savings or energy supply and quality standards are realized. Under a guaranteed savings EPC, if the savings exceed the guaranteed level, additional savings are shared between the ESCO and customer. In a shared savings EPC, the savings are split based on a pre-arranged percentage based on the cost of the project, contract length and the level of risk. As a result, the ESCO is incentivized to make the system as energy efficient as possible.

ESC's typically do not have performance requirements. Whether they are EPCs or ESC, as they have greater competence in carrying out such projects, it is anticipated that ESCOs will be better able to avoid mistakes in the planning, development and implementation of these initiatives. ESCOs arrange for the needed capital investments using their own funds as well as the available grants, subsidies, or financing from commercial banks and other specialized (typically government) funds. One approach that has been used by some ESCOs, including those in the CEE is forfeiting, which means that the ESCO agrees to give over a portion of its future fees from the customer to a financial institution (i.e. a commercial bank or government agency) and in return gets its loan at a discounted rate. This approach reduces the short-term need for capital on the part of the ESCO.

Within Europe, the ESCO market has been steadily growing, with the exception of the post 2008 financial crisis period and was estimated to be a €41 billion industry in 2014 (The Economist, 2015). This growth will continue, as ESCO revenue in the EU market in 2015 was estimated to be €2.4 billion and projected to rise 2.8 billion in 2024 (Talon and Gartner 2015). The chart below describes the state of the ESCO sector in the CEE region. The JRC Science for Policy Report: Energy Service Companies in the EU (Boza-Kiss et al, 2017) indicates that CEE countries currently lag behind Western Europe in terms of development of the ESCO market. According to the JRC report, of six EU countries that were identified as having excellent or well-developed ESCO markets, the Czech Republic was the only CEE country. While Slovakia was listed as being 'moderate' all other CEE countries were designated as being either 'preliminary' or 'non-existent' in terms of their ESCO sectors. Annual EU ESCO revenue has been estimated at €2.4 billion in 2015, with a forecasted growth to €2.8 billion in 2024 at a 1.7% annual growth rate (Talon and Gartner, 2015) This growth might be even higher in the CEE region because their markets are much less developed and they have a large number of old multifamily buildings as well as inefficient public buildings such as schools and hospitals. A description of ESCO market in specific CEE countries can be found in Annex 6.2 and list of ESCOs acting in CEE regions can be found on CEESEN homepage at [https://ceesen.org/?dml\\_download=list-of-escos-acting-in-cee-region](https://ceesen.org/?dml_download=list-of-escos-acting-in-cee-region).

## ESCO Advocacy

Because ESCOs must rely on existing grants, subsidies, or financing, they, like anyone seeking support for these sustainable energy initiatives, are limited by what is available in the region they are operating in. According to the 2016 the JRC Science for Policy Report, experts in the field have identified several barriers that are common throughout the region, that sustainable energy advocates can target to increase the sector.

**Lack of information and awareness among end-consumers of the economic potential for energy savings** is an especially important barrier. Trusted advice such as tailor-made information on potential measures and their benefits, cost-effective measuring and metering systems and qualified providers of energy efficiency measures are all needed. Furthermore, the multiple benefits of energy efficiency improvements in terms of increased asset value, comfort or productivity are rarely known and taken into account when making investment decisions. This can all further contribute to a lack of trust of energy services that has been found in various CEE countries.

**Legislative and accounting practices such as confusion over who can own the title to installed equipment** is another important potential barrier. Rules regarding governmental procurement procedures can also restrict their use. Unstable energy markets (i.e. pricing) can also make it quite difficult to project the level of savings that can be achieved in a project.

## Government Support for Sustainable Energy Projects

In the Central and Eastern European region, the most important source of financial support for sustainable energy projects originate from governmental sources – either directly through contracts and grants or indirectly via financial intermediaries (typically banks, that issue credit or loans with governmental money). Government support in all forms come from the local, regional, state and EU levels.

## EU Financing of Sustainable Energy Projects

The European Union has established a wide range of institutions and instruments for financing and otherwise supporting sustainable energy projects via grants and loans. Depending on the instrument, applicants for financing can be local governments, private firms (including small and medium sized enterprises), public-private partnerships and in some cases nonprofit organizations. Some of these funds can be applied for directly with the EU institutions, in other cases funds are passed through intermediate financial institutions. Relevant sources for sustainable energy are described below.

### Direct Financing Options from the EU

At the EU-level, **the European Investment Bank (EIB)** lends over 75 billion EUR annually. For projects over 25 million EUR, the EIB makes direct project loans, primarily to large companies, public-private-partnerships or public agencies. The EIB also makes ‘framework’ loans to cities and regions to support multiple projects in different sectors, typically regarding infrastructure, energy efficiency/renewables, transport and urban renovation. Framework loans typically cover 3 to 5 years and are made directly to municipal or regional governments who in turn pass the money through to various initiatives (or may use the funds for co-financing for other funding). Between 2005 and 2015 nearly 90 cities/regions received such framework loans, 37 of which were in the CEE, the majority being located in Poland (54%) and the Czech Republic (27%). To learn more about these initiatives, consult the EIB’s fact sheet: Financing a city’s or region’s long-term capital investment programme: EIB framework loans. (<http://www.eib.org/en/products/documents/mooc-factsheet-framework-loans.htm>)

**The European Bank for Reconstruction and Development (EBRD)** was founded in 1991 to support natural resources industries, the safe treatment of waste and power plants transmission and distribution, safety upgrades and investing in renewables. Within the Power and Energy sector, the EBRD has already supported 309 projects with over 12 billion EUR of financing. No EBRD project can be in defence-related activities, tobacco, substances banned by international law or gambling facilities. No EBRD project can relate to subsidies, sponsorship or donations and all should consider environmental issues. The EBRD provides loans for larger projects between €3 million and €250 million for up to 10 years. The basis for a loan is the expected cash flow of the project and the ability of the client to repay the loan over the agreed period. Loans can be secured by borrower assets and/or may be equity-linked. Loans can have fixed interest rates or floating ones linked to LIBOR (the London Inter-bank Offered Rate). New project proposals should be sent to the EBRD Business Development Support Unit (Tel: +44 20 7338 7168 and Email: [newbusiness@ebrd.com](mailto:newbusiness@ebrd.com)).

**Joint Assistance to Support Projects in European Regions (JASPERS)** is a collaboration between the European Commission, EIB and the EBRD that helps cities and regions to implement high-quality projects. JASPERS offers free assistance to local authorities for any stage of the project cycle from the early conception through to the final application for EU funding.

Assistance may cover:

- Project review and recommendations
- Horizontal tasks
- Strategic support
- Independent quality review
- Capacity building
- Implementation support

JASPERS supports projects in 5 areas:

- Energy and solid waste
- Rail, Air and Maritime
- Smart development
- Roads
- Water and wastewater

JASPERS focuses on large projects exceeding EUR 50 million for environmental projects and EUR 75 million for transport or other sectors. However, there is flexibility about these thresholds in the case of small countries or where projects serve as pilot actions to establish best practices. To access JASPERS' services public authorities should contact the Managing Authorities in their country (the list can be found here: [http://ec.europa.eu/regional\\_policy/en/atlas/managing-authorities/](http://ec.europa.eu/regional_policy/en/atlas/managing-authorities/)) to discuss inclusion of their project(s) in their national Action Plan. JASPERS Regional Offices can also be contacted directly at [jaspers@eib.org](mailto:jaspers@eib.org).

**The European Local Energy Assistance (ELENA)** programme was established in 2009, with around EUR 100 million of EU support triggering an estimated investment of around EUR 4 billion on the ground. ELENA provides grants for technical assistance focused on the implementation of energy efficiency, distributed renewable energy and urban transport projects. The grant can be used to finance costs related to feasibility and market studies, programme structuring, business plans, energy audits and financial structuring, as well as to the preparation of tendering procedures, contractual arrangements and project implementation units. ELENA supports programmes above EUR 30 million over a period of around 2-4 years and can cover up to 90% of technical assistance/project development costs. Smaller projects can be supported when they are integrated into larger investment programmes. Examples include:

- Public and private buildings (including social housing), commercial and logistic properties and sites, and street and traffic lighting to support increased energy efficiency
- Integration of renewable energy sources (RES) into the built environment – e.g. solar photovoltaic (PV) on roof tops, solar thermal collectors and biomass
- Investments into renovating, extending or building new district heating/cooling networks, including networks based on combined heat and power (CHP), decentralised CHP systems
- Local infrastructure including smart grids, information and communication technology
- Infrastructure for energy efficiency, energy-efficient urban equipment and link with transport
- Support for the use and integration of innovative solutions for alternative fuels in urban mobility
- Investments to introduce on a large-scale new, more energy-efficient transport and mobility measures in urban areas including passenger transport, freight transport, etc

**The LIFE programme** is the EU's funding instrument for the environment and climate action. The objective of LIFE is to contribute to the implementation, updating and development of EU environmental and climate policy and legislation by co-financing European projects. Since its founding in 1992, LIFE has co-financed close to 4000 projects across the EU, contributing over €3.1 billion to the protection of the environment. LIFE funds innovative projects that demonstrate new techniques and methods and 'integrated' projects that combine LIFE funding with other sources of support. **LIFE Traditional Projects** co-finance best practice, pilot and demonstration projects that contribute to the reduction of greenhouse gas emissions. The idea is that these projects can inspire others by proving that they can be implemented successfully.

LIFE projects are financed in four areas:

- Nature & Biodiversity Environment & Resource Efficiency
- Climate Change Mitigation and Adaptation
- Climate Governance & Information
- Environmental Governance & Information

EU contributions for LIFE projects are between €500,000 and €1.5 million with 1 to 5 Beneficiaries. A call for proposals (See: <http://ec.europa.eu/environment/life/funding/life2018/index.htm>) is published every year, meaning that every 12 months you can apply for LIFE funding by using the application packages that help you prepare your proposal – more information on how to write project proposals is provided in chapter 7.

## Indirect Financing Options from the EU

As described above, the majority of EU financing instruments are passed through local banks via intermediate loans. Usually under this scenario, banks apply for financing from the EU and then in turn lend it out to all types of applicants who are eligible for these loans, from small to large companies, local authorities or other public sector bodies. A list of financial institutions operating within the CEE region can be found on CEESSEN homepage at [https://ceesen.org/?dml\\_download=public-financial-institutions-pfis-in-cee-region](https://ceesen.org/?dml_download=public-financial-institutions-pfis-in-cee-region).

EU Instrument	Brief Description
<b>The European Fund for Strategic Investments (EFSI)</b>	A 33.5 billion EUR loan guarantee fund focusing on: <ul style="list-style-type: none"> <li>• Strategic infrastructure (digital, transport and energy)</li> <li>• Education, research, development and innovation</li> <li>• Renewable energy and resource efficiency</li> <li>• Support for small and mid-sized businesses</li> </ul>
<b>InnovFin:</b> EU Finance for Innovators	Projects start at EUR 25 000 for investments in research and innovation. Also offers funding for Energy Demonstration Projects between EUR 7.5 million and EUR 75 million to innovative demonstration projects in the fields of energy system transformation, including renewable energy technologies, smart energy systems, energy storage, carbon capture and storage or carbon capture and use. Purpose is to support demonstrations of technology before they are commercialised.
<b>COSME:</b> EU programme for the Competitiveness of Enterprises and SMEs	Running from 2014 - 2020 with a planned budget of EUR 2.3 billion for Small and Medium-sized Enterprises (SMEs).
<b>The European Investment Fund (EIF)</b>	Provides risk finance to benefit small and medium-sized enterprises (SME) in Europe. The EIF's main objective is to foster entrepreneurship, growth, innovation, research and development, employment and regional development. More than 1 million SMEs have received financial support via the EIF. Loans to SMEs are up to 25 000 EUR.

<p><b>The European Bank for Reconstruction and Development (EBRD) - Smaller projects</b></p>	<p>Projects under €3 million. Funding cannot be provided to majority state-owned companies or for government-guaranteed projects. In addition, equity contributions of 35% is often required. Projects must contribute to climate-resilient growth or environmental sustainability - including support for a competitive and secure energy supply</p>
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## EU Structural Funds – Financial Instruments to Support Sustainable Energy

Over half of EU funding is channeled through the 5 European structural and investment funds (ESIF) which are jointly managed by the European Commission and the EU countries. A top priority of the ESIF is to support the low-carbon economy. The two funds most relevant for the development of sustainable energy initiatives in the CEE are the European Regional Development Fund (ERDF) and the Cohesion Fund (CF).

The European Regional Development Fund (ERDF) contributes to smart, sustainable and inclusive growth and seeks to reinforce economic, social and territorial cohesion in EU regions and cities. ERDF support can be provided through grants and, increasingly, through financial instruments which can contribute to the achievement of ERDF investment priorities:

- Promoting the production and distribution of renewable energy, of energy efficiency and renewable energy in enterprises, in public infrastructure and housing
- Investments for adaptation to climate change
- Supporting industrial transition towards a low-carbon economy
- Supporting multimodal and environmentally-friendly transport and regional mobility

Financial instruments co-funded by the ERDF can be used to support a wide range of projects, from public infrastructure or productive investment projects, to support for households to improve the energy efficiency performance of their homes.

ERDF funded projects must also address an identified market gap, i.e. areas where banks are unwilling to lend and/or where the private sector is unwilling to invest (for instance where the market is not supplying enough capital to SMEs/ start-ups, where there is not enough funding available for high-growth firms or where commercial bank lending is limited or comes with conditions that firms cannot meet). These are conditions that as of 2018 exist in nearly all CEE countries when discussing funding for sustainable energy projects. Financial instruments may also be offered in combination with grants and other forms of assistance, which is discussed in the section on advocacy on sustainable energy of this guide (page 100).

The Cohesion fund (CF) supports transport and environment projects in countries where the gross national income (GNI) per inhabitant is less than 90% of the EU average. In 2014-20, these include the CEE countries of Bulgaria, Croatia, the Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia and Slovenia. The CF has a total budget of EUR 63 billion for 2014-2020.

The CF encourages investments in priority trans-European transport networks and investments related to energy or transport that benefit the environment in terms of energy efficiency, use of renewable energy, developing transport and supporting intermodal transport.

Financial instruments can thus contribute to the following objectives of the CF:

- Promoting the production, distribution and use of energy derived from renewable sources
- Supporting energy efficiency and smart energy management

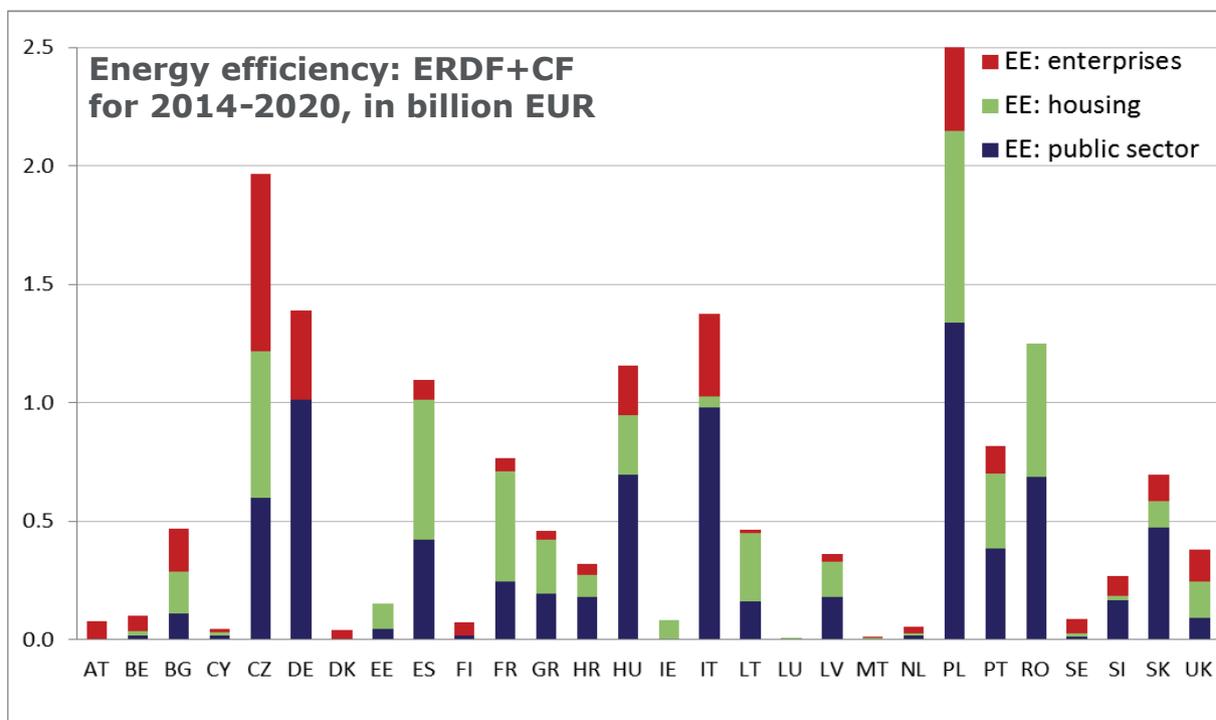
- Investing in the waste sector and water sector;
- Developing and improving environmentally-friendly (including low-noise) and low-carbon Transport systems in order to promote sustainable regional and local mobility;

## Soliciting Structural Funds

Partnership agreements are signed between the EU and member countries governing how European structural and investment funds will be spent. The investment priorities for each country are used to channel funding to the different regions and projects in policy areas concerned. For both ERDF and CF financing, projects must be in line with the operational programme for the Member States and regions, which can be found for each country at [http://ec.europa.eu/regional\\_policy/en/atlas/](http://ec.europa.eu/regional_policy/en/atlas/). These are maintained by the national managing authority who in some cases may also take applications for some of the funds – for each member state they can be found here: [http://ec.europa.eu/regional\\_policy/en/atlas/managing-authorities/](http://ec.europa.eu/regional_policy/en/atlas/managing-authorities/). Organisations that can benefit from ERDF and CF financing include public bodies, SMEs, universities, associations, NGOs and voluntary organisations. For more information regarding the ERDF and CF financial instruments, see the fi-compass website: [www.fi-compass.eu](http://www.fi-compass.eu).

## Advocating for Structural Funds

As can be seen in the figure 21, across the CEE, some countries have made more of an effort than others to direct structural funds towards energy efficiency-related initiatives. Thus, in addition to being a potential source to apply for financing in some CEE countries, advocates should push for increased spending of structural funds on sustainable energy initiatives. The particular programs or 'instruments' used in each country may also need to be modified, to ensure that funding goes towards projects with the highest impact. Targets for advocacy should start with the agencies responsible for development and implementation of the member state operation programme.



Total planned allocations per Member State from the ERDF and the CF as of January 2017

Figure 21. Total planned allocations per Member State from the ERDF and the CF as of January 2017 (Cocard, 2018).

## Other forms of Green Financing

Green bonds were created to fund projects that have positive environmental and/or climate benefits. The majority of the green bonds issued are green "use of proceeds" or asset-linked bonds. Proceeds from these bonds are earmarked for green projects but are backed by the issuer's entire balance sheet. There have also been green "use of proceeds" revenue bonds, green project bonds and green securitised bonds.

Types of green bonds:

Type	Proceeds raised by bond sale are	Debt recourse	Example
"Use of Proceeds" Bond	Earmarked for green projects	Recourse to the issuer: same credit rating applies as issuer's other bonds	EIB "Climate Awareness Bond" (backed by EIB); Barclays Green Bond
"Use of Proceeds" Revenue Bond or ABS	Earmarked for or refinances green projects	Revenue streams from the issuers though fees, taxes etc are collateral for the debt	Hawaii State (backed by fee on electricity bills of the state utilities)
Project Bond	Ring-fenced for the specific underlying green project(s)	Recourse is only to the project's assets and balance sheet	Invenergy Wind Farm (backed by Invenergy Campo Palomas wind farm)
Securitisation (ABS) Bond	Refinance portfolios of green projects or proceeds are earmarked for green projects	Recourse is to a group of projects that have been grouped together (e.g. solar leases or green mortgages)	Tesla Energy (backed by residential solar leases); Obvion (backed by green mortgages)
Covered Bond	Earmarked for eligible projects included in the covered pool	Recourse to the issuer and, if the issuer is unable to repay the bond, to the covered pool	Berlin Hyp green Pfandbrief; Sparebank 1 Bolligkredit green covered bond
Loan	Earmarked for eligible projects or secured on eligible assets	Full recourse to the borrower(s) in the case of unsecured loans. Recourse to the collateral in the case of secured loans, but may also feature limited recourse to the borrower(s).	MEP Werke, Ivanhoe Cambridge and Natixis Assurances (DUO), OVG
Other debt instruments	Earmarked for eligible projects		Convertible Bonds or Notes, Schuldschein, Commercial Paper, Sukuk, Debentures

## Advocating for Sustainable Energy Finance

**Influence the Establishment or Operations of Public financial institutions (PFIs).** PFIs are publicly created and/or mandated financial institutions designed to address market failures and contribute to broader economic policy goals. This includes national development banks (NDBs) or multi-national development banks (MDBs). PFIs can serve multiple roles in promoting sustainable energy projects as indicated in following table (adapted from Cochran, I. et al. (2014)).

Role	Functions	Tools and methods
<b>Facilitate access to capital</b>	Providing long-term capital Facilitating access to private capital	Loans Equity investment International climate funds Public-private partnerships
<b>Reduce risk</b>	Risk sharing Credit enhancement mechanisms	Structured finance: Guarantees Public private partnerships Junior debt/mezzanine financing
<b>Fill the capacity gap</b>	Aiding project development Reducing project risks	Technical assistance and Capacity building, Information tools (GHG quantification, energy certificate tracking)
<b>New market standards</b>	Development of new market standards that can be followed by the private sector	European Industrial Bank's decision in 2013 to limit the financing of coal-fired power plants by implementing strict emissions limits and the applying a shadow carbon price to energy investments.
<b>Market Creation</b>	Support the establishment of new markets by acting as a new force of demand.	In the UK, the Green Investment Bank was designed with the objective of addressing market failures within the financing of low-carbon investments, overcoming excess risk aversion by working on a commercial basis to crowd in private capital through co-investments.

Determining the number of public financial institutions in a country is not straight forward but they can be separated into three types. State commercial banks do not have a policy mandate, usually seek to maximize profit and act similarly to private commercial banks. A second type are hybrid banks that have some level of state ownership and have a policy mandate – meaning they place other goals that are beneficial to society above profitability. A third type are state development financial institutions that also have a policy mandate and lend to firms in specific sectors (SMEs, exports, agriculture, etc.), as well as use credit guarantee schemes or other financial instruments.

Due to limited public budgets and other structural issues such as a lack of technical capacity, the number of PFIs in the CEE continues to lag behind western Europe. For example, one study (Schmit et al, 2011) found that of 220 identified PFIs in Europe, only 33 or 15% were in CEE countries. A partial list of relevant PFIs in the CEE can be found on CEESSEN homepage at [https://ceesen.org/?dln\\_download=public-financial-institutions-pfis-in-cee-region](https://ceesen.org/?dln_download=public-financial-institutions-pfis-in-cee-region).

**Advocate for Green Investment Banks (GIB),** which are an effective approach that has recently been developed. GIBs are public entities created to facilitate private investment into low-carbon infrastructure. GIBs combine innovative transaction structures, risk-reduction and transaction-enabling techniques with local market expertise to direct private investment into low-carbon projects. GIBs have facilitated investment in many areas including commercial and residential energy efficiency retrofits, large-scale onshore and offshore wind, rooftop solar photovoltaic systems and municipal-level, energy-efficient street lighting. Unlike grant-making institutions, GIBs focus on financial sustainability and some are required to be profitable. For example, the UK Green Investment Bank must meet a minimum 3.5% annual return on its total investments, after operating costs but before tax. GIBs are funded usually by state money but several have also targeted institutional investors such as pension funds, insurance companies and mutual funds for co-investment. To learn more about GIB's it is strongly suggested to read the OECD's 2016 report on the topic.

**Advocate to Expand Existing Green Investment Programmes.** In addition to “greening” a single institution such as a National Development Bank or creating a new GIB, governments may consider strengthening and expanding green investment programmes that are already housed in different government agencies and institutions. Interventions can be undertaken by some state programmes and institutions to make projects more feasible, such as transaction structuring in which larger projects are broken into smaller ones that are than easier to finance. Co-investing by multiple agencies to spread risk might also be more viable, such as ‘blending’ in which grants, loans and other forms of financing are consolidated from different supporters. Several of the EU financial sources described above, such as the European Investment Bank (EIB) or ELENA programme work well when blended with local sources. However, for state agencies to be capable of doing this, they often require different skills than providing subsidies and traditional lending. Efficiency gains could also be achieved by bringing together transactional expertise in similar technologies, projects and business models, particularly if staff have the financial and sector knowledge to undertake a range of interventions. Consolidation of programmes and related outreach would also facilitate information sharing with retail and commercial customers and other investors. Thus, an important advocacy goal/tool would be to offer education to policy makers and administrators on these various topics. (Climate Policy Initiative, 2015).

## Fundraising for Sustainable Energy Advocacy

When supporting energy advocacy, we can seek to raise money to support its initiatives in three ways: with government funding, via private sector charity or through enterprise strategies. See Annex 6.1 for a short overview about possibilities in some of the CEE countries regarding these.

One advantage for pursuing alternative fundraising efforts is that it can help your organization establish a ‘mixed resource base’ – meaning it can successfully access multiple funding sources such as public and private (individual, companies, etc). Mixed funding can also come from the local, national or EU levels and uses different methods (project writing, soliciting donations). Organizations that maintain a mixed resource base, obtain several benefits, including:

- It can reject funding sources that have ‘too many strings attached’
- It can be more innovative and flexible in spending decisions because it does not have to conform to only one funders’ view
- It protects itself against reductions that may occur with one specific funder
- It can push the organization to engage with multiple stakeholders in efforts to raise money

This is especially relevant for organizations that are engaged in advocacy efforts, who may pursue policy that is opposed by certain state actors or corporate interests. Although it is strongly suggested that organizations consider engaging in all three types of fundraising, each has its own benefits and negatives and require different skill sets. All three are also not possible in different contexts (i.e. based upon the external conditions faced by the organization). What this means is that not all organizations can pursue all kinds of fundraising immediately. Following is a description of the different types of fundraising, followed by questions that each organization should consider when deciding if they should attempt it and then suggestions on how to do so.

## Private Sector Fundraising for Sustainable Energy Advocacy

In contrast to the public sector, a wide range of methods are used to solicit funding from private sources such as individuals or corporations. For example, ways of asking for donations from individuals include the following:

- **Philanthropy or Major Giving:** Refers to large gifts made by wealthy individuals to organizations, typically done via direct, face-to-face meeting with the donor.
- **Charitable Donations:** Are usually asked without face-to-face interaction, such as on a website, through a letter, email or SMS message. One form of this that has become more popular in recent years are 'crowdfunding' initiatives in which individuals are asked to donate online for a specific activity in an effort to reach a pre-determined goal. For example in Czech Republic there is an online platform to collect the donation (<https://www.hithit.com/cs/home>) and the reward and donation-based crowdfunding that generated 1,9m EUR in 2015. In Romania Currently, there are approximately eight active crowdfunding platforms in the country: most popular being Crestemidei.ro, which since the end of 2013 managed to finance 11 projects and obtained more than 20 000 EUR. (Crowdfunding Innovation, 2017)

Several CEE countries also have laws in place that allow donors to allocate a portion of their taxes towards NGOs providing public benefit as regulated by the state.

- **Fundraising Events:** Periodic (such as annual) events are held and attendees pay an entry or sponsorship fee that is used to support the work of the organization.

For a number of reasons (see below), it is safe to say that a 'culture of giving' has not fully developed in the CEE region. This is evident from the Charities Aid Foundation World Giving Index, which uses data from Gallup's World View World Poll to rank 140 countries according to the percentage of population that has given a financial donation in the previous year. Whereas 'given world' has increased since 2011 from 27.4% to 31.4%, all of the CEE countries are well below this number (except for Slovenia), as seen in the next table.

CEE Country	% of Population Donating Money	Rank in CAF World Giving Index (out of 140 countries)
Slovenia	38%	44th
Latvia	28%	62nd
Macedonia	26%	66th
Poland	26%	67th
Croatia	25%	72nd
Slovakia	23%	81st
Czech Republic	23%	81st
Romania	21%	92nd

<b>Estonia</b>	20%	94th
<b>Hungary</b>	16%	113th
<b>Bulgaria</b>	13%	119th
<b>Lithuania</b>	11%	124th

There are various reasons suggested for why individual giving is lower in the CEE states than elsewhere – lower levels of income as compared to Western Europe, higher amounts of distrust of public and civil society organizations, post-soviet influence and even religious composition of the society. Despite this, although it is doing so at a slower rate than other parts of the world, individual donations have increased overall in the region since the turn of the century and as the economic prospects of the region increases, private giving most likely will as well.

Private foundations and corporations also are a potential fundraising source that might be relevant for organizations advocating for renewable energy. Foundations are typically non-profit organizations with an asset, endowment or steady income that they use to promote public benefits, either by provision of direct services or by providing grants to other organizations. Grants are issued as a result of solicited proposals submitted by applicants (some foundations also accept unsolicited proposals). Although the data on foundations in the CEE is incomplete, estimates from the Donors and Foundations Networks in Europe (DAFNE) and the European Foundation Centre (EFC) indicate that foundations are relevant in some countries in the region. See next table for situation in CEE countries (DAFNE, 2017)

<b>CEE Country</b>	<b># of Foundations (year reported)</b>	<b>Expenditure/Assets (year reported)</b>
<b>Bulgaria</b>	1,755 (2015)	n/a
<b>Croatia</b>	226 (2017)	n/a
<b>Czech Republic</b>	2,064 (2017)	Expenditure: 49,217,570 EUR Assets: 172,632,293 EUR
<b>Hungary</b>	20,678 (2014)	Expenditure: €725,935,806 (2013)
<b>Poland</b>	18,135 (2015)	€1,444 million (2012)
<b>Slovakia</b>	376 foundations (2009)	Expenditure: €47 million (2009) Assets: €71 million (2009)

Many foundations are attached to large corporations, especially international ones, which have been established to support specific issues identified as important by the company such as the ExxonMobil, British Petroleum or Total S.A. See next page for some examples. Other forms of corporate giving takes place via fundraising event support, direct donations or through employee giving programmes, in which staff of the firm either give some portion of their salaries in support of organizations or otherwise have influence on what charities or initiatives the company will support.

Perhaps the biggest benefit of individual/corporate fundraising is that the money often comes with much fewer restrictions than government funding, allowing organizations to use the funds for important needs that might not otherwise be funded. However, the amounts of each individual grant/donation is typically quite small – especially when an organization first engages in fundraising efforts. For this reason, the organizations that benefit most from fundraising initiatives are those that do it on a regular basis, so that they are able to become more adept and effective in obtaining funds.

## EXAMPLE OF CORPORATE GIVING

### **ExxonMobil Corporation**

ExxonMobil Corporation is an American multinational oil and gas corporation. In addition to addressing community priorities, they partner with governments and nongovernmental organizations to help enhance the quality of life in the communities where they operate around the world.

ExxonMobil Corporation implements the strategic community investments. The investment are operating in three core dimensions - education, malaria initiative, and women's economic opportunities. They have targeted nearly 2 billion to these causes in the past 15 years.

<http://corporate.exxonmobil.com/en/community/corporate-citizenship-report/human-rights-and-managing-community-impacts/strategic-community-investments>

### **British Petroleum**

BP British Petroleum, is a British multinational oil and gas company. The company aims to have a positive and enduring impact on the communities in which they operate. To date, the economic value retained by BP is 9.5 bn. The main directions of social impact of BP are supporting local development, community engagement, and fostering the transparency and anti-corruption.

<http://www.bp.com/en/global/corporate/sustainability/value-to-society/supporting-local-development.html>

### **Total S.A**

Total S.A is a French multinational integrated oil and gas company. It aims to have positive presence in all their host countries – in such varied areas as safety, health, climate, the environment and shared development.

In 2016 378 million Euro was spent in Africa to carry out more than 3.000 community initiatives worldwide

<http://www.total.com/en/our-commitment/infographics/our-commitments-and-improvement-indicators>

## **Enterprise Strategies**

A third method of financially supporting advocacy efforts is via market-oriented services, such as the development of fee-based services. This often referred to as the 'social-enterprise' model in which an organization can be either for-profit or non-profit but is formed for socially beneficial reasons. Organizations working in the renewable energy field can potentially offer a range of fee based services – for example, energy audits for customers that lays out how they can reduce energy costs; Renovation activities where you get an initial assessment cheaper but the same company will later do the renovation for you, increasing the buildings energy efficiency. Obviously, the organization must have the technical expertise to provide such services, but also important are consumer groups (companies, homeowners, public agencies) that understand the benefit of such services. In this regard, enterprise strategies can be linked to marketing efforts, which can help to increase demand for such services (see Chapter 3).

## Why do Companies or People Give Money?

When pursuing fundraising strategies, it is important to understand why donors give money to support causes. Multiple studies have been done in this area (White, 2001) which have identified a number of different reasons:

Initiatives that can make the connections between the cause and the donator clear will be more successful in raising money for their effort.

- **Connection to the issue** – People who donate to causes often feel that they are directly affected by the issue, or indirectly affected such as through friends, family members or community. For example, individuals with loved ones who are disabled are more likely to donate to such types of charities. Making these linkages in relation to sustainable energy advocacy can be more difficult because the connections are often not as clear to potential donors. However, the connections are there, for example renewable energy initiatives can be linked to improvement of community economic conditions (i.e. more jobs) or for better long term health (less air pollution).
- **Connection to the asker** – Another key reason people give money is because they feel a connection to the person or group asking for the money. It is for this reason that groups are often advised to reach out to their inner circles of contacts when engaging in fundraising campaigns. This includes both personal and professional networks – such as co-workers, vendors or suppliers to your organization and even volunteers. Perhaps more than any other aspect of fundraising – this approach is most difficult for organizations in CEE states – due to the lack of a ‘culture of giving (USAID, 2017).’
- **Link with business goals** – Companies often support initiatives because they align with the goals of their business, such as gaining access to new customers, increasing sales, or obtaining good publicity. Keeping in this mind, one useful approach to successfully approaching corporate funders is to consider what types of companies would like to sell their products to your primary stakeholders (organization staff, members, volunteers and other supporters). In addition to explaining the worthwhileness of your mission, demonstrating your potential influence over these desired segments of the community would be helpful in making the case for support. Companies new to the area might also be potential targets, because they would be seeking new customers. Companies looking to improve their reputation, especially in regards to the environment are also worth approaching.
- **Tax benefits** – In many CEE countries, people and companies receive different types of tax benefits for making donations to charitable causes. Typically, to be eligible for this, organizations must be non-profit and registered with the state as ‘public benefit’ providing. Some states allow the exclusion of donation amounts from taxes and have it go directly to specific organizations while others allow deduction of the donation from income to reduce tax burden. Thus, if you were to undertake fundraising efforts, it is advisable to learn of the taxation regulations in your country and if necessary register for the appropriate list for eligibility. Requests for donations should refer to this information as an additional incentive for prospective donors. The table on the next page indicates the regulations in place in CEE countries as of 1 August 2017. In addition, Annex 1 lists sources to contact for updated information regarding the regulations in CEE region.

An analysis of over 500 empirical studies on fundraising patterns identified eight factors that affected willingness to donate to charitable causes (Bekkers and Wiepking, 2011). One of the most important of this, and quite logical, was **awareness of need**. People have to become aware of a need for support before they will donate. One way this can be achieved is through media coverage, which has been shown to increase private contributions. Thus, a fundraising campaign should be linked to the marketing strategy, which is described in chapter 3. A second straightforward prerequisite for successful giving campaigns is that the person is asked to donate. Studies have found that a large majority of all donation acts (as much as 85%) occurs in response to a solicitation. Many organizations simply assume that people will not

CEE Country	Individuals	Corporations
<b>Slovenia</b>	Designate up to 0.5% of their income tax to one or more (up to five – in this case 0.1% each) organisations	Deduct up to 0.5% of taxable income for the fiscal year. Additional deduction of up to 0.2% if it is for cultural purposes or to protect from natural and other disasters
<b>Slovakia</b>	May allocate 2 to 3% of their paid income tax directly to one NGO which must spend the money on one of various activities beneficial for society, including protection of the environment	May allocate between 1.5 and 2% of its paid tax directly to one or more NGOs which must spend the money on one of various activities beneficial for society, including protection of the environment
<b>Romania</b>	Direct 2% of income tax (salary) to a NGO once a year. Liberal professions (lawyer, notary, etc.) can deduct an additional 2% from their income	Deduction of the sponsorships from their income tax within the limit of 20% from the payable tax, but not more than 0.3% from the annual turnover
<b>Poland</b>	Deduct the amount of donations from taxable basis up to 6% of taxable income (no limits for Catholic Church)	Deduct the amount of gifts from their taxable basis up to 10% of the taxable income (no limits for support to Catholic Church)
<b>Lithuania</b>	No tax incentives but can allocate 2% of income tax to approved public-benefit entities	Tax deduction of cash and in-kind donations for charity and sponsorship from their income. In some cases double the amount of the donation may be deducted up to 40% of taxable income
<b>Latvia</b>	Taxable income reduced by amount donated to public benefit organisations. Maximum – 20% of taxable income	Tax is reduced by 85% of amounts donated. Maximum tax deduction is 20% of total tax.
<b>Hungary</b>	No tax incentives for giving	20% of the donation or grant, or the book value of the goods or services donated
<b>Estonia</b>	A donor can deduct up to 5% from his/her income to reduce their overall tax burden. Donations must be made to public benefit organizations that are on the government list of eligible organizations	Estonia has no income tax for companies. Taxes are only assessed when a company pays out salaries or other expenses. However, donations from companies to state approved public benefit organizations are tax free
<b>Czech Republic</b>	Deductible up to 15% of tax base, provided at least 2% of tax base is donated or not less than 1,000 CZK (~ €35)	For legal entities, up to 10 percent of taxable income is deductible from the tax base
<b>Croatia</b>	n/a	May deduct donations for a broad range of public benefit activities, including, scientific, health and ecological activities up to 2% of the gross income realized in the previous year
<b>Bulgaria</b>	Deductible up to 5% for donations to certain organizations such as cooperatives of persons with disabilities, the Bulgarian Red Cross, any cultural institutes, or any not for profit legal entities, that are registered in the Central register of Not-for-profit legal entities for pursuit of public benefit activities	Charitable contributions to certain organizations specified by law can be deductible at up to 10% of a company's accounting profit
<b>Macedonia</b>	Donor and a grantee to enter into an agreement in writing for donations and sponsorship made to public culture institutions	Donations and sponsorship made to public culture institution

support their cause (especially in CEE countries) but evidence, such as from successful crowdfunding in the region, suggests that this is starting to change.

Bekkers and Wiepking's study (2011) also found that psychological benefits, such as an **improved self-image**, have a positive effect on giving. Furthermore, the values of the cause should link with those of the donor. This connects with research that has found that a range of other psychological/emotional factors can affect whether or not a person makes a donation to a charitable cause (e.g. Bennet, 2003).

**Fit with self** – We are more likely to help those who we feel are similar to ourselves. This has been referred to as 'social distance' which describes the level of similarity between oneself and the individual being observed (Trope et al, 2007), which may include national group membership (Kogut and Ritov, 2005). Research has also found that physical distance to a cause can also have an effect, in that local causes are perceived as being more worthy to donors because they can contribute to improvement of their own communities and can view positive impacts first hand so that they can be more confident that their donation will not be wasted (Hart, 2016).

**Guilt/Fear** – For some individuals, feelings of guilt as in "I am not doing enough" can be influential. However, general senses of fear are not sufficient – for example, many people fear the impact of climate change, but it does not change their behaviour (giving donations or otherwise). This is because the negative consequences are not believed to be immediate.

**Empathy and Sympathy** – The research cited above has also demonstrated that messages should be powerful enough to arouse empathy, but not so powerful that they become personally distressing to the donor. Connected to this, the problems identified should be portrayed as 'solvable' so that donors feel that their contributions can **make a difference**. Studies have found that even when one or more of the above are achieved – people are afraid of the consequences, feel sorry for victims, feel that it fits with their values and self-image – an additional obstacle to giving is the idea that the problem is so big that a donation will make no difference. One potential way to address this is by explaining the benefits of even small donations.

With all of these ideas in mind, fundraising messages should describe the negative impacts that will occur with future generations if there is no action on climate change – i.e. 'if not for you, do it for your kids.' However, for many, the effects of climate change are too far away, so it is important to tie the impacts to the local community as much as possible and to portray the victims of climate change as being close to home. One way would be to identify specific negative effects that would occur to the local community and set achievable and easily identifiable local 'campaign goals' so that donors can see the impact of their support. Another approach could be to link action and support for renewable energy as a nationalistic effort. An example of this in Europe can be found in Denmark, where the population exhibits pride over their country's advanced use of renewable energy, especially wind power. As described above, this messaging should be linked as much as possible to marketing and advocacy efforts undertaken by your organization. **Finally, your organization cannot be afraid to ask!**

The last point identified above is especially important, as fundraising and advocacy have been underutilised in the CEE countries. However, as the relative incomes increase and nations settle further into the EU framework, there are certain pathways where these methods could also be considered. For example, when tackling social issues like improving specific energy poverty or orphanage situations. For example, in Romania, giving via SMS has been successfully used by large organizations for causes such as natural disasters' aid or for building the children's hospital. In addition, 2% of annual taxes can be directed towards NGOs.

# Government Support of Sustainable Energy Advocacy

Obtaining governmental support for advocacy can be quite difficult, and in some cases might even be counterproductive. For example, when an organization is heavily funded by government, it might be afraid to be critical of the state and risk their funding. However, it is important to remember that many advocacy tactics that can be used are non-confrontational. Conducting training of policy-makers and financial institutions, conducting research, educating the public or contributing to the preparation of energy and climate strategies and actions plans are just a few examples of non-confrontational approaches that can strengthen advocacy efforts.

Government grants to support these types of activities are typically obtained by submitting project proposals in response to specific calls or requests for proposals issued by public agencies. **Project proposal writing is a skill that can be honed so that an organization that is good at it can in theory access funding from various sources. At the most basic level, good project writers are capable of telling a coherent 'story' that logically explains what problem they are focused on, what actions will be taken to address it, what impact these actions will have and how they will be measured. This will be described in detail in chapter seven.**

When compared to other types of fundraising (i.e. obtaining donations or holding events), government grants are usually for larger amounts of money. Increasingly, government grants are given contingent on specific performance indicators that the applicant must meet. Government grants usually support projects that last between 1 to 3 years. Depending upon the scope of the initiative, the size of the organization and the specific political-administrative circumstances, funding through this mechanism can be solicited at the local, regional, state or EU level.

Although governmental funding can be significant (especially at higher levels), they can be restrictive in what types of organizations they will support (such as only registered non-profit organizations). Also, government support usually has specific rules regarding how money can be spent, meaning that organizations must find creative ways to use the funding to support certain types of advocacy tactics without violating the terms of the contract. Furthermore, government funding for the most part is a 'reactive' effort for an organization – the funding agency decides what problems or issues it wants to address, and the applicant must submit a proposal that explains how they will best meet this concern. In this regard, project funding can depend on the effectiveness of advocacy efforts that seek to encourage the state to prioritize specific problems or issues (see Chapter 2).

Governmental funding for advocacy can be significant but comes with its own limitations.

At the EU level, there are several different funders that could be used to support certain types of sustainable energy advocacy.

## Life programme

**The LIFE programme offers NGO operating grants** to help develop and implement EU environmental or climate policy, by facilitating dialogue with all stakeholders. European NGOs coordinate and channel the views of national organisations and citizens as input into decision-making processes, participate in preparatory studies, and play an important role in raising awareness. More information about submitting proposals can be found here: <http://ec.europa.eu/environment/life/funding/ngos/index.htm>

**LIFE Traditional Projects** can support sustainable energy advocacy in two ways:

- **LIFE Climate Change Mitigation/Adaptation** co-finances grants that contribute to the implementation and development of EU policy and legislation on climate change mitigation/adaptation. Projects receive funding that:
  - Help to develop, test and/or demonstrating policy/management approaches or best practices and solutions for climate change mitigation.
  - Improve the knowledge base for the development, assessment, monitoring, evaluation and implementation of effective climate change mitigation actions and that enhances the capacity to apply that knowledge in practice.
  - Facilitate the development and implementation of integrated approaches, such as for climate change mitigation strategies and action plans, at local, regional or national level
  - Contribute to the development and demonstration of innovative climate change mitigation technologies, systems, methods and instruments that are suitable for being replicated, transferred or mainstreamed.
- **LIFE Climate Governance and Information** co-finances grants for information, awareness and dissemination projects that promote awareness raising on climate matters, including generating public and stakeholder support of EU policy-making in the field of the climate, and to promote knowledge on sustainable development. LIFE also supports communication, management, and dissemination of information in the field of the climate and to facilitate knowledge sharing on successful climate solutions and practice, including by developing cooperation platforms among stakeholders and training; and that promote and contribute to more effective compliance with and enforcement of EU climate legislation.

Life projects typically last for one to five years and can range between 1 and 3 MEUR. More information about program calls and application forms can be found here: <http://ec.europa.eu/environment/life/funding/life2018/traditional/index.htm>.

Example LIFE Climate Change Mitigation/Adaptation Project	Example LIFE Climate Governance and Information
<p>LIFE BIOBCOMPO seeks to reduce the environmental footprint of new vehicles via innovative low-density thermoplastic composites derived from renewable sources, meeting EU GHG emission reduction targets. To achieve this, low-density thermoplastic materials on an industrial scale will be developed to serve as an alternative in the production of equipment and car parts. Specific aims include:</p> <ul style="list-style-type: none"> <li>• Optimising bio-components to be used for the production of innovative materials</li> <li>• Optimising the injection moulding process, the production and qualification of prototypes, pre-industrial manufacturing and their installation in vehicles;</li> <li>• Developing a recycling process for composite materials;</li> <li>• Creating a business plan and replication analysis in other sectors across Europe;</li> <li>• Monitoring the project's impact, and carry out dissemination and networking</li> </ul> <p>Partners from Poland / Czech Republic</p>	<p>Through the LIFE Climate CAKE PL project, the Centre for Climate and Energy Analyses (CAKE in its Polish acronym) was created to develop a sustainable system for creating and exchanging information among Polish public administrators to support the efficient implementation of EU climate and energy policies. It does so by:</p> <ul style="list-style-type: none"> <li>• Providing high-quality info on the impacts of measures implemented under EU energy and climate policies, using analytical tools developed as part of the project;</li> <li>• Build a comprehensive toolkit to assess the measures proposed at State and EU levels, and Raise the environmental awareness of the public, with particular consideration given to climate and energy policies, by widely disseminating project information.</li> </ul>

## European Energy Efficiency Fund

**European Energy Efficiency Fund's (EEEF)** Technical Assistance Facility supports Regions, City Councils, Universities, public hospitals and other public entities that seek to develop bankable sustainable energy investment programmes between €5m - €25m. These projects relate to the energy efficiency sector, small-scale renewable energy and/or public urban transport. The EEEF TA Facility aims to bridge the gap between sustainable energy plans and real investments by supporting all activities necessary to prepare investments into sustainable energy projects. EEEF TA also assigns experts to offer consultant services to technical assistance beneficiaries to carry out feasibility studies, energy audits and evaluation of the economic viability of investments. EEEF is open with no deadline for TA project proposals on a first-come-first-serve basis.

To apply, proposals should be submitted using the EEEF application format - which can be downloaded at <https://www.eeef.eu/eeef-ta-facility.html>. Proposals should be submitted to [technical\\_assistance@eeef.eu](mailto:technical_assistance@eeef.eu). Applicants will be informed by EEEF in writing within 20 days after submission. Technical assistance contracts should be signed 15 days after the awarding notice was sent. Technical assistance projects should be completed within two years.

## The European Social Fund

**The European Social Fund (ESF)** is one of Europe's Structural and Investment Funds (ESIF), focused on creating better and fairer job opportunities for EU citizens. ESF financing of EUR 10 billion a year funds tens of thousands of local, regional and national employment-related projects throughout Europe. At least EUR 1.1 billion from the ESF was dedicated in the period 2014 –2020 to improving education and training systems necessary for the adaptation of skills and qualifications and for the creation of new jobs in sectors related to energy and the environment. The ESF is also used by some Member States to alleviate energy poverty, as a complement to the EUR 5.2 billion allocated from the European Regional Development Fund and the Cohesion Fund for energy efficiency investments in housing.

For example, the ESF could finance professional trainings for installers of renewable energy technologies, construction companies of passive or low energy buildings, enterprises that provide global energy retrofits of buildings or education programmes / internships for city energy managers.

Organisations that can benefit from ESF include public bodies, some private sector organisations (especially small businesses), universities, associations, NGOs and voluntary organisations. As described above, the project has to be in line with the operational programme (OP) for your region/area. Proposals are typically submitted to calls made by each country's managing authority.

## INTERREG

Interreg is one of the key instruments of the EU supporting cooperation across borders through project funding. It seeks to jointly tackle common challenges and find shared solutions in fields of health, environment, research, education, transport, sustainable energy and more. Interreg is funded by the European Regional Development Fund and has 60 sub-programmes for cross border cooperation (focused on 2 or more countries that share a common border) 15 transnational cooperation programmes (involving regions from several countries that form bigger areas) and four pan-European programmes that cover all EU Member States.

Within the CEE region, there are at least 40 separate Interreg programmes at work.

Interreg Programme	Countries Covered
Baltic Sea Region	Estonia, Latvia, Lithuania, Poland
Central Baltic	Estonia, Latvia
Estonia-Latvia Programme	Estonia, Latvia
Latvia-Lithuania Programme	Latvia, Lithuania
Lithuania-Poland Programme	Lithuania, Poland
South Baltic	Lithuania, Poland
Central Europe	Poland, Czech Republic, Slovakia, Hungary, Croatia, Slovenia
Czech Republic-Poland	Poland, Czech Republic
Interreg Germany / Brandenburg – Poland	Poland
Interreg Germany / Mecklenburg – Western Pomerania / Brandenburg – Poland	Poland
Interreg Poland – Germany/Saxony	Poland
Poland-Slovakia	Poland, Slovakia
Austria-Czech Republic	Austria, Czech Republic
Interreg Danube Transnational Programme	Czech Republic, Slovakia, Hungary, Croatia, Slovenia, Romania, Bulgaria, Bosnia, Montenegro, Moldova, Ukraine
Interreg Germany/Bavaria – Czech Republic	Czech Republic
Interreg Germany/Saxony- Czech Republic	Czech Republic
Interreg Slovakia- Czech Republic	Slovakia, Czech Republic
Interreg Slovakia-Austria	Slovakia
Interreg Slovakia-Hungary	Slovakia, Hungary
Interreg Romania-Hungary	Romania, Hungary
Interreg Hungary-Croatia	Hungary, Croatia
IPA CBC Hungary-Serbia	Hungary, Serbia
ADRION (Adriatic Ionian)	Slovenia, Croatia, Bosnia, Serbia, Montenegro, Albania
Alpine Space	Slovenia
Mediterranean	Slovenia, Croatia, Bosnia, Serbia, Montenegro, Albania
Slovenia-Austria	Slovenia
Slovenia-Croatia	Slovenia, Croatia
Slovenia-Hungary	Slovenia-Hungary
Interreg IPA CBC Croatia – Bosnia and Herzegovina – Montenegro	Croatia, Bosnia and Herzegovina, Montenegro
IPA CBC Romania-Serbia	Romania-Serbia
Romania-Bulgaria	Romania-Bulgaria
Balkan- Mediterranean	Bulgaria, FYOM, Albania
Greece- Bulgaria	Bulgaria
IPA CBC Bulgaria-Serbia	Bulgaria, Serbia
Interreg IPA CBC Bulgaria – the former Yugoslav Republic of Macedonia	Bulgaria, FYOM
IPA CBC Bulgaria-Turkey	Bulgaria
Interreg Europe, Interact, Epsilon, Urbact	All CEE Countries

More information about any of these programmes can be found at <https://interreg.eu/>. The amounts of funding available for any of these and their specific focus varies widely. However, there are a few elements that are typically required by any of these programmes:

- Cross-border collaboration: Projects should involve interaction and knowledge sharing between people from different countries in the targeted region.
- Common problems: Projects should address problems that exist in as many countries as possible within the targeted region.
- Dissemination: Sharing project results with relevant stakeholders outside of the project is very important – especially in terms of publicizing EU/Interreg support for the initiative.

## Erasmus+

Another possible funding source for advocates of sustainable energy might be Erasmus+, which is the EU's programme to support education, training, youth and sport in Europe, which has a budget of €14.7 billion through 2020. Erasmus+ funding goes primarily to universities and higher education, but does also have funding for adult education and vocational education/training

within its Key Action 2. Thus, training for adults on sustainable energy topics, such as behavior change among the energy poor could be funded via Erasmus+. Training programmes for various types of professionals, such as increasing the skills of property managers or public administrators could also fit within the Erasmus+ framework. Erasmus+ projects typically involve several elements:

- Intellectual Outputs: Which are tangible deliverables, such as a new training curriculum or a study of the regions involved, especially those that are in a digital format (i.e. published via a website) ensuring that target audiences could continue to benefit from them
- Multiplier events: Which are meetings that are held to spread information about the developed intellectual outputs
- Involvement of three or more countries and transnational meetings in which partners learn from each other as they develop the intellectual outputs.

Although NGOs and other firms are eligible to apply, it is recommended that if possible, a higher education or some other vocational education institution is involved within the partners applying for funding. More information can be found at: [http://ec.europa.eu/programmes/erasmus-plus/node\\_en](http://ec.europa.eu/programmes/erasmus-plus/node_en).

# Organizing a Fundraising Event

Fundraising events can be an effective way to raise modest amounts of unrestricted money in support of your work. An event is typically tied to some sort of other activity, such as a dinner a concert or a race. Events can have the added potential benefit of bringing together different stakeholders and supporters so that you can raise awareness about your cause and the work of your organization. However, a fundraising event done poorly can have negative consequences for you, your organization or cause. In addition, time and energy used on organizing a fundraising event takes away from other advocacy activity. To try and maximize your chances for success, consider the following:

**Set clear goals:** It is important to consider this before doing any other planning:

- for example is your goal only to raise money or do you have other goals such as gaining publicity, or reaching out to new contacts.
- Is the goal to raise money for the organization in general or for a specific issue or cause? The specific details for your event should depend on what goals you are trying to achieve.

It is helpful to set a goal for the amount of money you hope to raise at the event – both gross income (before expenses) and net (after expenses). Keeping track of these numbers is helpful as a way to monitor that your expenses are not too high and that you are generating the desired income. The simplest way to set the amount targeted would be to calculate how many attendees you think will come · the average amount of each donation. In trying to estimate these numbers, it would be helpful to look at previous events (if you have done any) or at similar events held by others. An important reason for setting the fundraising goal upfront is to determine whether or not the event is worth doing. If the net amount you estimate is too low, you could consider various ways to reduce costs, increase the donation amount you will ask or the number of people you seek to invite. It also important to consider that if the event is your first ever, you should probably set more modest estimates, recognizing that the amount you raise might be relative low, but still serves as a base upon which to increase in future events.

**Select an event organizing team and establish a budget:** Even a modest event can require significant time and effort, which is best carried out by a team of staff/volunteers. Responsibilities should be divided between the various elements needed to organize an event, and lead by one person. Regular meetings in the months leading up to the event should be held to review progress and address any problems that may arise.

Every fundraising event plan should contain a **complete budget** listing all of the expenses that will be required to hold the event. Your budget should include staff, invitations, space rental, catering, entertainment, transportation, security, utilities, and anything else that will be required to make the event a success. Your budget should take into account your fundraising goal, ensuring that you raise that amount above and beyond all expenses. Be sure to leave a little extra room in your budget for unforeseen costs.

**Select date, venue, entertainment and food:** The first thing you must set is the event **date**, which should be acceptable to any special guests that will be participating. Dates aligned with significant events (like the founding of your organization) are preferable, but not so there is too much 'competition' from other activities. For this reason, it is helpful to consult community calendars, close partners and other key stakeholders to try and schedule your date for when other competing activities are not taking place (for example it might be a good idea to avoid the holiday season).

Along with the date, a **location** must be secured that has the capacity to fit your targeted number of attendees. In general, try to avoid small spaces to prevent overcrowding and a large venue that might look empty if only half full. Ideally, the location you select would be a restaurant or hall that specializes

in such events. If this not an option, than try to be creative, for example a partner organization might have space that would be suitable.

Furthermore, depending on the budget and theme of the event, some combination of **food, drink and entertainment** (such as live music) should also be provided. One approach is to set a specific theme for the event that provides a rationale for the type of food, decor and entertainment that is selected.

Venue owners, entertainers, caterers might also be stakeholders with whom you are already working or are supportive of your work, so you should not be afraid to ask for a discounted price for the services or some alternative arrangement. When organizations or individuals help in providing venues, refreshments, products, free services, or money to help your fundraiser, they are referred to as **sponsors**. Sponsors are typically promoted as such, so it is a form of positive marketing for them. This can be done by including them on the invitation, listing them on the programme for the event (if you have one), listing them on your website and/or by verbally thanking them when speaking at the event. However, to get these sponsors you will have to convince them that your fundraiser will be successful and your cause is worthy of their effort. Potential sponsors should be contacted by phone or in person so that you can make your case. In some cases, the details of sponsorships can be negotiated, for example, a restaurant or club might agree to host the event for free but have an open bar in which they charge guests for alcoholic drinks.

Venue owners, entertainers, caterers might also be stakeholders who are supportive of your work.

Create guest list and send out invitations: Once the above details are worked out, invitations can be generated and sent out. Who you invite depends on the type of event you are holding. If it is a general fundraiser, then as wide a range of people should be invited as possible. If the event is focused on a specific group like business people or young professionals then guests would be restricted to those. One approach is to use the event to recognize the achievements of an important person from the community – the logic being that those associated with the recognized person might be willing to attend to show their appreciation. This of course requires that you invite people who might not otherwise be part of your list, enabling also to broaden the scope of people being supportive to your cause.

In addition to the obvious information (location, date, time) invitations should clearly indicate the requested contribution for participation. Depending on the situation, different approaches can be taken, such as:

- A single recommended amount: "suggested contribution of 50 EUR"
- Open ended ask "Contribution of \_\_\_\_\_"
- A set of choices: "\_\_\_\_ 25 EUR \_\_\_\_ 50 EUR \_\_\_\_\_ 75 EUR \_\_\_\_\_ Other"

Each has their own strengths and weaknesses. The first might scare away people who would be willing to give less than the amount stated, but people who could might have given more would not because of the amount suggested. The second gives the choice completely to the potential donor, so those willing to give a higher amount can do so, but many may decide to donate less than what you would like them to give. The third is perhaps the best approach, in that it gives a donor the chance to contribute a lesser or higher amount while presenting a range of amounts that you would prefer. Research on the efficacy of fundraising efforts (primarily conducted in the US and UK) has supported the idea that the third form of contribution request is the most effective (Andreoni and Rao, 2011).

In addition to the basic event info and ask for contribution, any relevant laws regarding charitable contributions (i.e. the amount that is potentially deductible for taxes) should also be clearly indicated. Other relevant information, such as suggested dress code or date of preferred response regarding participation should also be indicated. If there is a website with information regarding the event then that should also be indicated.

Once ready, invitations should be sent out 1 to 3 months before the actual event. Who you invite to your event should be based upon what the goals are that were discussed above, such as to specific groups of people who you are trying to connect more strongly with. Of course, stakeholders and contacts who are capable of donating larger amounts (i.e. people of higher wealth) should be a priority. Connection to the cause is just one reason to include people on the invitation list. For example, organizations you do business with on a regular basis, such as vendors, suppliers or partners could be potential invitees. In many countries, it is also common for organizers to invite members of their personal networks to attend and support the cause. Increasingly, invitations to events are being sent via email, however sending paper invites might also be worth considering, especially to important potential guests. For important invitees (especially higher wealth ones), follow-up via a telephone call is often a good idea as well. The goal for all invitations is to convince them that your organization and event are worthy of their time and money.

Another important consideration is how to collect contributions for the event. An online method for accepting contributions should be established – such as through PayPal or some other way via your website. This is strongly recommended because it allows you to collect donations from people who do not attend the event and has been demonstrated as having positive effects on giving amounts. This method also enables the organization to obtain RSVPs from attendees beforehand, so that an estimate on the eventual number of guests can be made.

**Hold the event:** It is strongly recommended that your team have at least one meeting where you step through the event and go over who is responsible for what. Some of the key questions to ask are: how are people greeted? are they shown to table? will there be waiters serving guests? who will give introductory/ welcoming remarks? what is the order of speakers? what is the sequence of events? is food served or is it buffet style? Who will take photos?

On the day of the event, it is good to set up as early as possible, such as decorations, furniture and sound and speakers (if you are using them) should be tested. One important question is whether media will be invited – if so, this should be done early and decided on how they will be incorporated into the event.

**After the event:** A good practice is to send thank you notes to contributors, volunteers, staff and vendors. For large donors, a phone call thanking them for their support might also be valuable. The important thing to remember is to clearly demonstrate your appreciation of their help and support. Remember, you might want to go back to them in the future to ask for additional support. If your tax laws enable deduction of charitable donations, then make sure your thank you notes indicate the amount of the contribution that was made.

# Organizing a Crowdfunding Campaign

Crowdfunding is a method for raising money for initiatives via an online platform. Although it has been around since at least 2003, in recent years, crowdfunding has become an effective way to raise money both for charitable and entrepreneurial endeavours. This might make it particularly alluring to advocates working in the sustainable energy field – as their efforts often include both traditional advocacy actions as well as specific projects that may generate revenue.

When organizing a crowd funding campaign, several elements must be considered:

## **What do donors/investors 'get' for their contribution?**

Options typically include a free or reduced price product/service or a financial return on the investment (either just the principal of the gift or with interest). For many social activities, nothing is given in response (except for a thank you). Entrepreneurial firms often might offer an equity stake in the company to donors. Studies of crowdfunding across both social and entrepreneurial ventures have found that rewarding contributors actually **reduces** donations in most circumstances.

## **What goal will you set and in what timeframe?**

All crowdfunding campaigns must set a targeted amount of money to raise and set a timeframe in which to raise it. Both can have powerful psychological effects on potential donors. For example, studies have found that support for a crowdfunded project will increase as the project nears its target goal – which means that more effort should be put towards getting people to give at the start of the campaign – such as by appealing directly to core supporters as described in the previous sections. Another study found that while many campaigns met their goal – they often did so in a period longer than originally anticipated. This should be reflected in your messaging – for example by stating that even though you are past your time limit, you are still collecting donations and that they are even more needed than ever. Generally speaking, in the CEE countries, amounts raised are more modest than elsewhere in the world, but roughly half of all campaigns meet their targeted fundraising goals.

## **What will your story be?**

Effective crowdfunding campaigns are established for a clear and specific goal and have a 'story' behind what you are asking for. Studies have found that even when supporting entrepreneurial efforts, givers respond more positively to messages that highlight the venture as an opportunity to help others instead of being a business opportunity. Furthermore, narratives that present concern lead to more rapid funding, while narratives higher in accomplishment, tenacity, and variety lead to slower funding. In other words, if you present too high a level of accomplishment, crowdfunders are less likely to give. One study (Lin and Viswanathan, 2015) of crowdfunding initiatives (in the US) found that crowdfunding transactions were likelier to occur when parties were in the same geographical area. This would suggest that appealing to others from the same region might also be a useful approach.

## **Will you shoot a video?**

Some crowdfunding sites allow you to upload a video or other graphics to support your story. Research has indicated that crowdfunding appeals in general are more successful when these additional elements are included.

## Where will you host your crowdfunding?

Crowdfunding can be performed online in two primary ways. First, via a project-related website that you run – such as a page on your organizational website. Alternatively, you can use a platforms operated by an intermediary such as Kickstarter or IndieGoGo that offers tools to collect money for your cause. The advantage of the first approach is that you are able to keep 100% of the donated money; the disadvantage is that you must develop the site, which can be quite technical in nature. This is of course worth doing if you were considering trying to fundraise from the web anyway. In the second option, most of the technical elements are taken care of by the intermediary – but most sites take a percentage of the donated money and might even take more if your goal is not met. Some crowdfunding intermediary sites in CEE are listed in the table below:

Country	Crowdfunding site	Web address
<b>Estonia</b>	Hooandja	Hooandja.ee
	HeaKodanik	Ngo.Hooandja.ee
	Envestio	<a href="https://envestio.com/">https://envestio.com/</a>
<b>Czech Republic</b>	Hithit	<a href="https://www.hithit.com/">https://www.hithit.com/</a>
	Startovač	<a href="https://www.startovac.cz/">https://www.startovac.cz/</a>
<b>Latvia</b>	Projektu Banka	<a href="https://projektubanka.lv/">https://projektubanka.lv/</a>
<b>Macedonia</b>	Let's Fund It	<a href="https://www.letsfundit.mk">https://www.letsfundit.mk</a>
<b>Slovakia</b>	Dobra Kajina	<a href="http://www.dobrakajina.sk">www.dobrakajina.sk</a>
<b>Poland</b>	Polak Potrafi	<a href="https://polakpotrafi.pl/">https://polakpotrafi.pl/</a>
<b>Romania</b>	Crestemidei.ro	<a href="http://crestemidei.ro/">http://crestemidei.ro/</a>
<b>Croatia</b>	Croenergy (exclusively for sustainable energy and environmental protection projects)	<a href="http://croenergy.eu/">http://croenergy.eu/</a>

See more on the European Crowdfunding Network homepage at: <https://eurocrowd.org/>. Also, there is EU-wide crowdfunding network Citizenenergy (<https://citizenenergy.eu/>), which features crowdfunding platforms and cooperatives with a focus on getting the public involved in sustainable energy projects.

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exhaustive list of funding sources, some of the most relevant at the European level can be found via the European Commission's Funding and Tenders Portal: <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home> shown in figure 23.

For example, within Horizon 2020 there are three relevant topics under societal challenges: "Secure, clean and efficient energy", "Smart, green and integrated transport", and "Climate action, environment, resource efficiency and raw materials." Another potential source of Energy related project funding is though INTERREG funding, which supports regional cooperation throughout Europe. Two of the priorities of INTERREG funded programmes includes "Low-carbon economy" and "Environment and resource efficiency." To learn more about which INTERREG programmes are available in your region see chapter 6 and visit <https://www.interregeurope.eu/in-my-country/>.

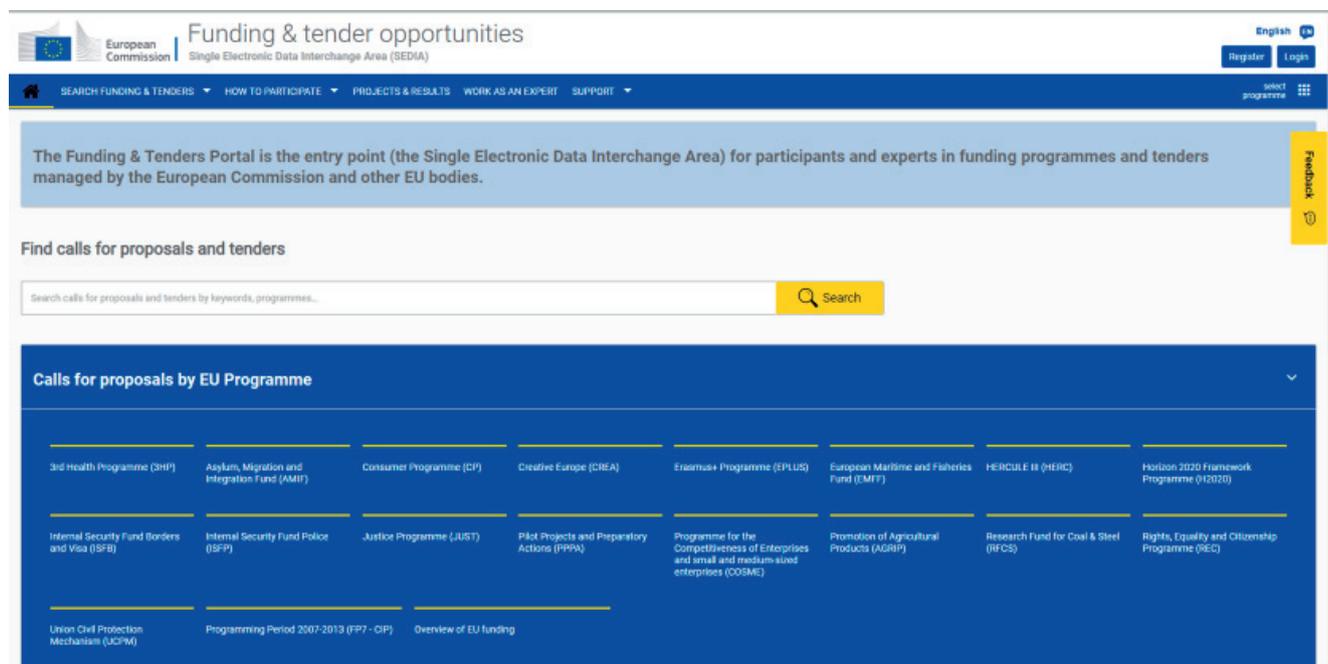


Figure 23. The European Commission's Funding and Tenders Portal

## Assessing Funding Opportunities

When a potential opportunity is identified, the guidelines that the funder issues for the call should be reviewed closely to determine if it is worth pursuing. Depending on the funder, this information might be found in many different documents, which greatly complicates the assessment process. For example, in a typical EU call, guidance regarding an opportunity can be found in the following:

Smart organizations will find ways to integrate project dissemination with their other marketing and advocacy efforts.

- **Work Programme:** Indicates what the plans are for the next year or two regarding the funding programme you are interested in
- **Call Document:** Gives key details regarding objectives and purpose of the call

- **Financial Guidelines:** Relevant financial and programmatic information
- **Application Form:** Offers guidance on word/page limits, specific questions to address, you must conform your logic to theirs
- **FAQ's:** Prepared for some funding calls based upon questions that other applicants have asked.
- **Information Sessions:** Either web-based (i.e. from Brussels) or in-person (organized by local contact point)
- **Previously Funded Projects:** Many funders have lists of projects they have supported before, sometimes with detailed descriptions of them. Looking at these can help in shaping your idea.

**When consulting these sources of information, at least five questions should be answered:**

### **Question 1: What are the application procedures?**

The most essential piece of information is the proposal due date – do you have enough time to prepare and submit the proposal. If the idea is already well formulated and the project partnership identified, then a good proposal can be written in as little as a month. However, for inexperienced writers, or for large proposals, such as EU funding – up to six months to develop a project proposal from scratch might be needed. Also relevant is the estimated dates for award decision and thus start of the project. How long the project can last is also an important consideration when deciding on whether or not to apply and how to structure the project. Other key elements include what the total available budget for the programme or call is and if there are minimum or maximum grant amounts. This information can be very helpful when deciding whether or not to move forward with an application. Another factor in this decision might be what the review process is. For example, some funders require a two-stage process, meaning that an initial proposal must be submitted and if selected, a second more in-depth proposal is required. Two stage procedures typically take longer and are inherently more competitive than standard methods. For some calls, the first stage might simply be a concept note, which typically requires much less information and thus effort to prepare than a standard proposal. Depending on what is asked, concept notes might even allow you to delay making important decisions (such as identifying all specific partners). Another important piece of information is whether or not the call will be issued again. Those that are issued again are much more appealing, because even if rejected the first time, feedback from the reviewer might be useful for resubmitting in the future.

### **Question 2: Are you eligible to apply?**

This includes any Exclusion Criteria that the funder might have, for example organizations that have not paid taxes, are bankrupt (or their finances are administered by courts, have an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters) or are currently subject to an administrative penalty. Alternatively, if key staff (i.e. leaders) have been convicted of an offence concerning their professional conduct or of fraud, corruption, involvement in a criminal organization, money laundering etc. considered detrimental to the EU. Organizations that have a conflict of interest or applicants who have lied to the EC as a condition of participation in the grant award procedure are also usually ineligible.

If any of these are applicable to your organization – stop seeking funding and get these resolved first!

### Question 3: Are your desired activities eligible?

Funders may prohibit acquisition of immovable property (i.e. real estate) and/or vehicles, building construction or organization operating costs separate from the project. Most funders do not directly support lobbying, however, many public sector funding sources do call for dissemination of project results.

### Question 4: What are the minimum requirements?

Most funders require in some way that applicants have stable and sufficient sources of funding to maintain their activity throughout the project period. This includes whether organizations participating in several projects have sufficient financial capacity to implement multiple projects. Some funders will do a financial capacity check of the coordinator for the project, seeking documents such as the most recent financial statements with balance sheet and profit & loss accounts. Many EU funding programmes have requirements for numbers of partners and/or number of countries involved. Other minimum requirements might include the types of organizations that are allowed to apply (non-profit, for profit, etc.) or only specific countries or regions might be allowed to apply.

### Question 5: What are the funder's priorities?

Assuming the responses for the previous four questions are positive, then a thorough review of the guidelines should be done to fully understand what the key priorities are of the funder. For EU funding sources, this works on at least four levels:

- EU level: Such as the Europe 2020 strategy - [https://ec.europa.eu/info/strategy/european-semester/framework/europe-2020-strategy\\_en](https://ec.europa.eu/info/strategy/european-semester/framework/europe-2020-strategy_en)
- Programmatic level: The purpose for the overall funding category, such as the Horizon 2020 societal challenge "Secure, clean and efficient energy" that was mentioned above.
- National level: Most EU funding streams seek to fund projects that are in alignment with national priorities. These can be found in national plans or strategies such as National Energy Strategies of which nearly every CEE country has developed. Other relevant priorities might be found in the smart specialization strategies of countries (<http://s3platform.jrc.ec.europa.eu/s3-platform-registered-regions>) which describes the industries or sectors that are being prioritized for development.
- Specific call level: Which is the particular funding opportunity that is available <https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/lce-03-2016.html>

Most funding guidelines indicate the "problem" that the funder is seeking to solve and will usually give some guidance on the types of solutions they see as relevant. The most important goal when writing a proposal should be to demonstrate that you are addressing the problem and priorities specified by the funder. Generally speaking, there are three ways this can be demonstrated:

- **"Excellence of the Idea"** An excellent idea is one that will contribute to solving the 'problem' identified by the funder. But beyond this, excellence could refer to how novel or innovative your solution is, how well it takes into account prior knowledge or how much it advances the 'state of the art' in the field. The expertise within the project team on the specific topic can also help to support claims of excellence. It is strongly suggested that you look at previously supported project by the funder and explain how your idea builds off of them. Most problems trying to be solved are difficult ones, so 'simple' solutions are typically not as appealing to funders. However, some funders might seek low-cost solutions to problems due to limited resources (for example, they might seek to fund the lowest bidder). Understanding the desired scope of the funder can help in determining how complex of a solution your project would propose.

- **“Impact of the idea”** A persuasive proposal will demonstrate to a funder that an idea is not just excellent but that it will have a significant impact on the problem being addressed. Impact can be valued in many ways by the funder, for example they might be concerned about reaching as many people as possible (such as a societal level) or by having the biggest effect possible on the specific people, groups or regions targeted by the funder. The EU values project that contribute to the elaboration and dissemination of best practices or its potential to create practical tools and solutions that address cross-border or Union-wide challenges. Another important consideration is the sustainability of results – so that the benefits continue to be felt beyond the lifetime of the project. Funders also usually want the public to know about the benefits being produced from their support, so how well the project disseminates its results to key target audiences or the broader community is also important.
- **“Quality of Implementation”** This refers to how well it appears that the applicant has planned out how they will run the project. This demonstrates to the funder that the excellent idea will be implemented in such a way that ensure the desired impacts are achieved. This includes a schedule that is appropriate for the tasks to be undertaken (within the project timeframe) and a plan for appropriate management of resources. Also important is thinking out how communication within the project team will be ensured and the establishment of a monitoring system to check progress and identify potential problems as early as possible. A well planned out and implemented project will reduce potential risks and give greater confidence to a funder that the project will be carried out successfully. The project management experience of applicants or the institutional resources that they have available (i.e. equipment, facilities, good reputation or strong networks of connections) can also valuable in demonstrating that you can implement the project effectively.

## Develop Project Concept

At this stage, you can begin to put together the initial concept for your project. A useful tool in this regard is the Logical Framework, depicted in figure 24, which is a concise way to lay out the overall logic and underlying assumptions that supports your project idea.



Figure 24. Framework for building up the project concept.

**Ultimate Goal:** This refers to the long-term priority or problem that your project is seeking to help solve. As such, it is a goal that lies beyond the timeframe of the individual project. One way to think of this is the goal that would be achieved as a result of all of the projects that a funder supports. In many cases these are somewhat abstract or even impossible to achieve, but is a direction to move towards. For example, the EU's H2020 Secure, Clean and Efficient Energy priority calls for "energy security, solidarity and trust, a fully integrated European energy market, improved energy efficiency contributing to the moderation of demand, a decarbonisation of the economy as well as increased efforts as regards research, innovation and competitiveness." No single project can achieve these things – but it can contribute to them, which is something that should be kept in mind when writing the proposal.

**Immediate Purpose:** This refers to the goal that is to be achieved by the end of the project. This is identified by the applicant, based upon the priorities set by the funder. This must be achieved if the project is to be successful. It should be also be clear how achieving this goal contributes to the long-term goal described above.

**Objectives:** In completing the project, various sub-goals should be set, the completion of which can serve as a good indicator on project progress. Objectives should be **SMART – Specific, Measurable, Achievable, Realistic and Time (cost) limited.**

The results of objectives can either be considered as 'outputs' which refers to a result such as number of workshops held or number of people educated; 'outcomes' which indicate a change in state of something (such as increased energy efficiency of a building); or 'deliverables' which are tangible products produced by the project. How these objectives fit with the purpose described above and the priorities set by the funder should be extremely clear. Often, objectives are set based upon specific items indicated in the funding guidelines. Typically, these are finalized later in the writing process, once the project team has been formed and more details of the project have been developed.

**Activities:** Describe the actions that your project team will take to achieve the objectives. When first developing the project idea, it is most important to determine which partners would be responsible for the different actions taken. As the proposal is developed, the sequence of these tasks and other details would need to be elaborated upon. It should be clear how the selected activities will achieve each of the objectives that are set for the project. At this stage, it is usually beneficial to begin dividing work into separate work packages.

A work package describes the effort required to produce 1 or more deliverables within a project. This effort may be a single task or it could be several related tasks. One way to think of it is like a "mini project" within a larger project - when all of the individual work packages are completed, the overall project is done. Work packages should also divide the different elements of project activity so that the goals, outputs, activities and inputs for specific elements of the project are separated out. Each task in a WP should include the steps needed for completion along with a deadline for each step and has someone (a partner) assigned to oversee it. Most projects will have a work package for management (led by the lead partner) and might have ones dedicated to sustainability and/or dissemination actions. Typically,

## SMART approach

**Specific.** Clear and well defined so anyone with a basic knowledge of the project area can understand them. They must precisely define what the project will and will not do.

**Measurable.** Must be defined in measurable (typically quantitative) terms. To be successful, you must be able to measure and report on the progress.

**Agreed upon.** The project manager and all stakeholders must agree on the project objectives.

**Realistic.** Must be possible to achieve, given the available resources, knowledge, skills, and time. It might take some time and energy to negotiate project objectives that are realistic.

**Time (cost) limited.** The objectives need to be framed within clear time (cost) goals. Define how much time (budget) is available and if there is any flexibility.

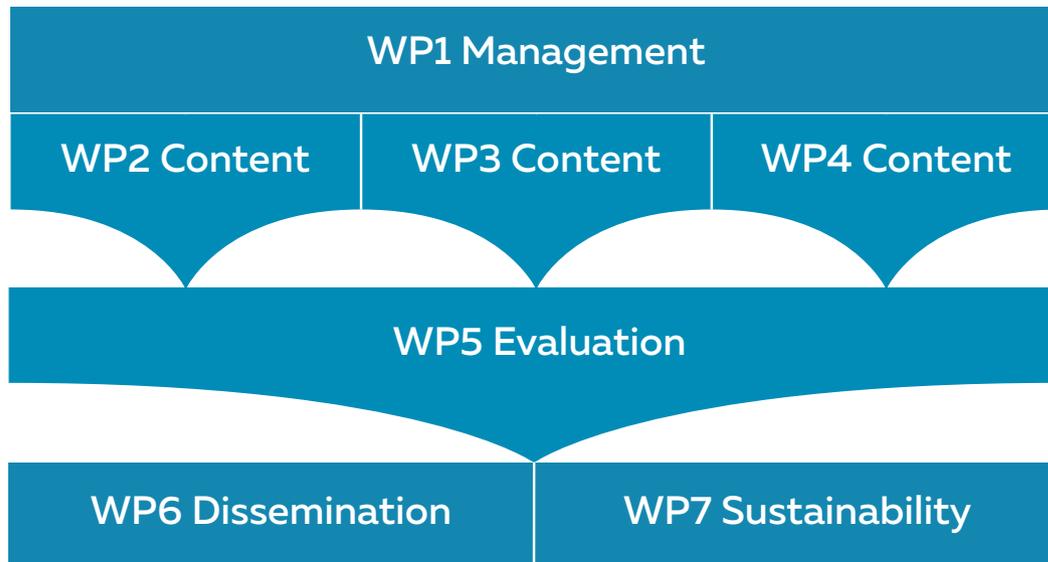


Figure 25. Simple structure of work packages in an EU level project.

responsibility for the different work packages should be divided among partners evenly, although differences in the capacities of partners should be kept in mind as well. Ideally, there is a clear logic behind how the work packages fit together.

Figure 25 depicts a very simple work package structure for an EU level project. The project is overseen via WP1 Management and has 3 'content' WPs in which project activities are being carried out. The activity of WP2 – 4 are evaluated in WP5 and the results are then disseminated via WP6 and various actions to ensure the results last beyond the project take place in WP7. Having a clear and understandable logic for work packages helps partners to understand their role and makes the job of reviewers of applications easier.

**Inputs/Resources:** These are the material resources needed to carry out the activities described above. This includes staff, supplies, equipment, time and money. Some of these your organization will already have, others you will need to obtain such as by including partners in your project team. This is important when building the project team, described in the next section. Money would come mostly from the project funder which would be used to obtain other resources needed (such as supplies). As part of this, the total amount to be requested from the funder should be specified and if possible, at least a preliminary allocation of money amongst partners based upon the division of labour described above.

## Building the Partnership

An important step on the project proposal development process is forming the partnership of organizations and selecting the lead or applicant organization. Partners are identified by various methods – organizations that you have a previous relationship with, referrals by third parties (such as national contact points), via connections made at information sessions or conferences, or as via online partner search sites such as the C-Energy2020 Partner Search website (<http://www.partnersearch.c-energy2020.eu/>) or CEESEN's own site (<https://ceesen.org/>). Another useful way to identify potential partners is by looking at the previously supported projects of the funder. These partners have the added benefit of already having experience with the funder, which could be useful in managing the project; it is also a way for you to connect your project to what the funder has supported in the past. Whatever way they are selected,

partner organizations must meet all the eligibility requirements described above and **there should also be a clear rationale for their inclusion.**

The rationale for your partnership should be logical and fit both the framework developed and the priorities of the funder. If your project is focused on the needs of smaller EU countries, then partners from the UK, Germany or France would need to be especially explained. If the project is heavily focused on research, then the inclusion of non-research partners should also be explained. What makes a good consortium will of course vary between funders, but some characteristics to be considered include the following:

- **Complementarity** – Do the skills, expertise or resources of partners fit together? In other words, does the strengths of some partners fill the weaknesses of others? If the competencies of partners overlap, why are they being included? Perhaps you want to test the same procedure in several different countries simultaneously, in which case overlapping skills are appropriate – but this should be explained clearly in the proposal.
- **Balanced geographical spread** – For example, the EU tends to prefer projects with partners from across the continent. One potential reason for this is that projects with a geographical spread might be better at producing results that are applicable throughout the Europe.
- **Relevant expertise** – Do partners have the types of experience that would be valuable in your project? Do they have a track record in implementing similar projects? Do they have capacity to carry out the project activities?
- **Multi-disciplinary** – Some funders like to see proposals from partnerships with diverse institutional types, as they might benefit from different perspectives on problems to address. For example, a research project might benefit from having at least one commercial firm that would be able to help in exploitation efforts. A largescale building project might benefit from having a local NGO as a partner as a way to ensure that local stakeholders continue to support the project.

One useful approach to building the project team is to create a concept note to send to potential partners. Generally, the concept note includes the amount available for the call/potential project budget, the duration of the proposed project and the details of your proposed logical framework. In addition to being useful as a way of marketing the idea to potential partners, it can also be useful in ensuring that partners all have a common understanding of the project at its start.

The lead partner tends to be the institution that had the project idea in the first place. However, in some cases, it might be decided to have a different organization lead the group. This is especially relevant when the partner is more experienced in running these types of projects, or has additional resources/capacity that could be of benefit.

## Writing the Proposal

As the project partnership is being developed, the proposal writing should begin with enough time to meet the deadlines specified by the funder. Putting together the proposal involves three primary activities: elaboration of the logical framework (project idea) that was described above, filling in the application form and getting together the other documents required by the funder. In most cases, all three are done at the same time and requiring going back and forth between each as they may affect each other. For example, if the guidelines allow the inclusion of supporting documentation such as letters of support – reference can be made to them within the application form without having to describe their content in detail – very helpful if page limits are a concern. Each of the three is described as follows.

## Elaboration of project idea

Objective Description	Objectively Verifiable Indicators (Milestones – When?)	Means of Verifications (Evidence)
Increase knowledge among homeowners regarding energy efficient building options	At least 100 people attend 4 workshops (output) At least 60% of participants demonstrate an increase in knowledge (outcome) 4 training materials on energy efficient buildings	Sign-in sheets at workshops Pre-and-post tests conducted with participants of workshops Materials posted on project website

When elaborating upon the initial concept of the project, more detail is typically needed in several places. First and perhaps most importantly are the objectives that are set in the proposal. As show in the previous table, for each objective in the project, there should be one or more indicators (outputs, outcomes or deliverables) and a clear way of verifying these indicators.

In this example, our assumption is that knowledge will be increased if homeowners attend the workshops (100 people), we will verify this assumption by testing them before and after the workshop (60% will show an increase) and by producing 4 sets of training materials. A reviewer of this project would be able to clearly understand what the indicators are for this objective and how to assess how well they have been fulfilled. The objective also indicates what kinds of tasks should be included in the project: development of workshop materials and putting them online, doing outreach for and holding workshops, administering pre-and-post tests and evaluating results.

The tasks for the project must also be elaborated upon, in particular the length of time for each task, their sequence or order of completion and who are responsible for them. In addition to specifying them in the work package, many funders prefer (and some require) a graphical representation of the tasks. The two predominant ways of doing so is via a **Gantt chart** or a **PERT diagram**. By far, the simpler of the two is the Gantt chart, an example of which is shown in figure 26.

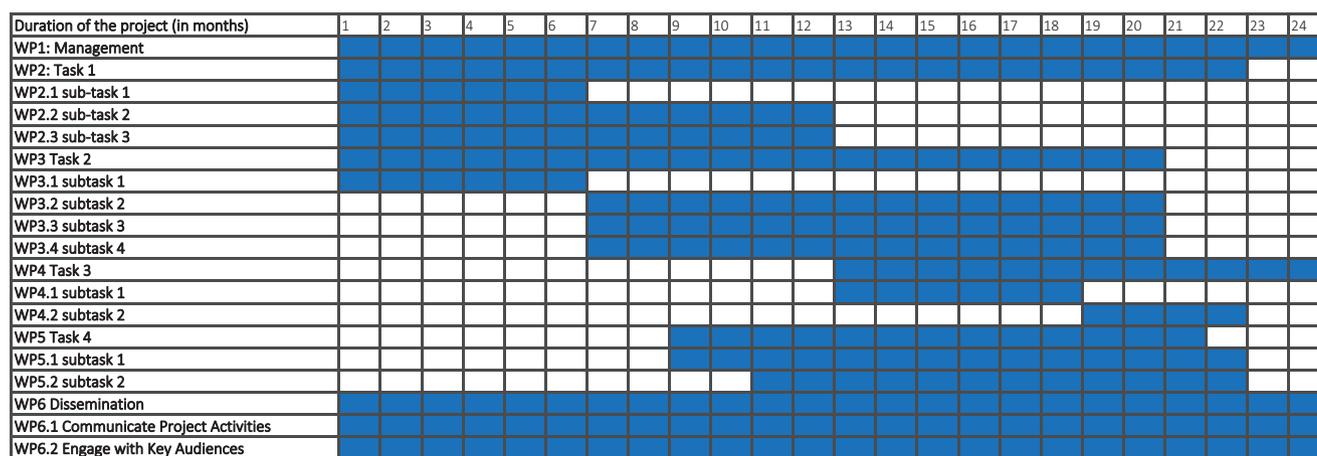


Figure 26. An example of a simple GANTT chart.

The top row of the chart indicates the unit of time that activities will be measured (typically months) – in this example the project will last three years. The leftmost column lists the specific tasks to be undertaken, separated by which work package they fall under. Boxes are shaded based upon when a task is to be performed, so for example task 2.1 would take place between months one and six of the project. Gantt

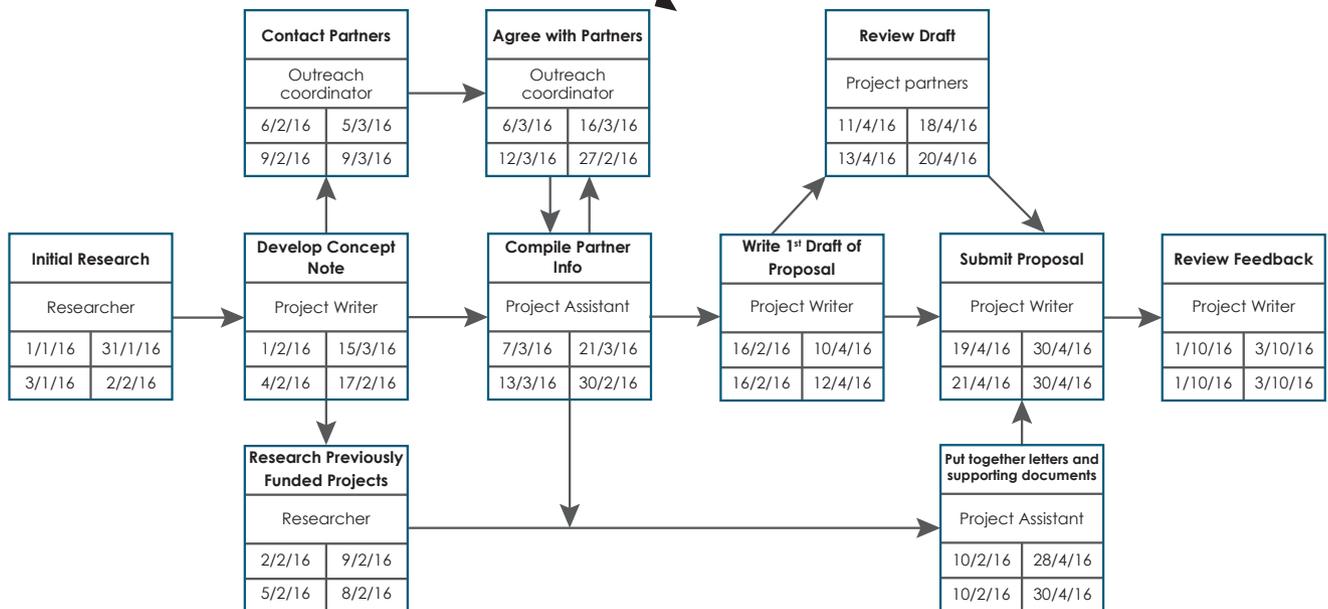
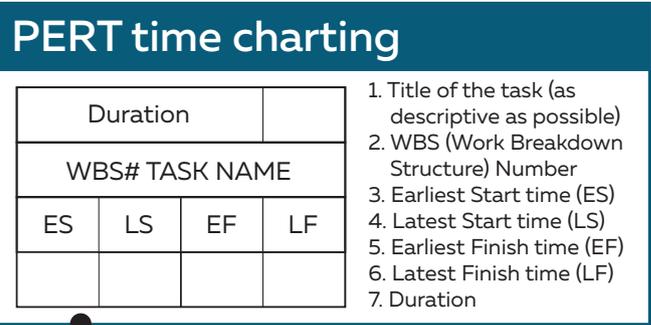


Figure 27. An example of a PERT chart for a project proposal development process.

charts are useful for showing the sequence of work but also gives insight into the workload of the project team by showing which tasks will be performed at the same time. The Gantt chart also shows when specific tasks should be completed, which is helpful when monitoring the project.

Although useful, Gantt charts lack some important information that might be useful to a project reviewer or manager, for example the exact dependencies of various tasks, who is responsible for them and how much flexibility there is in completing them (also known as ‘float’ in project management circles.) All this information is depicted in the Programme Evaluation Review Technique (PERT), an example of which can be found in figure 27.

A third element that is useful to include in project proposals is a **risk analysis**. As discussed earlier, a risk assessment is a way to demonstrate to a funder that potential problems have been considered when preparing the proposal and potential corrective actions are available should they arise. How in-depth a risk analysis you conduct when preparing the proposal depends on two factors – how complex the project is and whether or not the funder requests it. The first step in a risk analysis is to identify all the internal and external risks that could affect the project.

**Internal Risks** typically can be prevented or reduced with proper planning and contingencies:

- **Technical Risks** – Are associated directly with the specialized knowledge being used and it's technical aspects including understanding or reproducibility. The nature of these risks varies wildly depending on the type of project being carried out. For example, a project that is focused on replicating solar power solutions in a new region requires different technical knowledge from one that deals with the use of biofuels to improve transportation systems. These risks rise in relevance the more the actions are new or experimental (either for your organization or in general).
- **Project Management Risks** – These refer to risks that are common to nearly all projects. This includes problems that arise due to mistakes made in the planning of the project, breakdowns in communication within the team, inadequate oversight of team members or problems with reporting or other administrative tasks.
- **Site-Related Risks** – Involve problems that arise due to the location and facilities of the project. Facilities might be (or become) inadequate for the proposed work to be carried out, locations might not be convenient or breakdowns in equipment which delays project activity.
- **Stakeholder Risk** – Are related to problems that arise from all those who are involved in the project (outside of the project team) such as clients, vendors, the media, etc.

A very real example of external risk is the question of how to deal with the UK's impending exit from the EU. Any proposal submitted with a partner from the UK should consider how they would deal with the uncertainties raised by Brexit.

**External Risks** exist outside of the direct control of the project team – they cannot be prevented, but their impact can be reduced or you can create contingencies. One example of this would be changes in political support amongst the state that negatively affects the project. If a new administration comes in that does not support your initiative, they might put in place restrictive regulations. Changes in public opinion, such as caused by a negative news story could also be a potential risk. Environmental such as related to weather might also be relevant (i.e. could an abnormally cold winter slow down project activity?) However, external risks can do more than just delay a project timeline. For example, dramatic changes in interest rates or the price of goods, supplies or equipment could cause severe effects on the budget of a project.

The second element of risk analysis is ranking the identified risks according to their likelihood to occur and their potential impact on the project, as shown in the table below.

	Likely to Occur	Unlikely to Occur
High Negative Impact	1 - Highest priority risks	2 – Medium priority
Low Negative Impact	3 – Medium priority	4 - Lowest Priority Risks

The third step in risk analysis is to develop appropriate responses to at least the highest priority risks. Generally speaking, there are three types of responses:

- The most common and appealing approach for funders is steps that you take to avoid or prevent a risk from occurring. This is done by including specific items within your project plan (i.e. the proposal). For example, by establishing multiple communication systems within the project to ensure breakdowns do not occur. When writing the proposal, the risk prevention benefits of these planning decisions should be stated as clearly as possible – either in sections where risks are specifically asked about or in other relevant sections.

- Some risks cannot be completely prevented, no matter how good your planning is, in which case it is useful to develop contingency plans to deal with the risks should they occur. Contingencies are alternative steps that you can take to reduce the impact of the risk. Demonstrating that you have considered these alternatives and that they would reduce the damage caused by a risk event is appealing to many funders. An alternative approach that could be taken is to build in extra time and budget reserve funds to deal with the risk. However, it is important to note that many funders do not like this response strategy (and may even not allow it) but it can be still be built into the project without being written into the proposal (for example, by estimating extra time for a task in the proposal then you think you will really need).
- A third option that sometimes is possible is to transfer risk. One way to do this is by transferring it to a third party, such as via purchased insurance. Another method is through subcontracts, which can be written so that the subcontractor is responsible for cost overruns or delays in their work.

## Compiling supporting documentation

A very important part of the proposal writing process is the gathering of all supporting documentation that is necessary. In addition, to standardized forms for basic organizational information like contact persons, these can include CV's, organizational profiles, letters of support and budget documents.

**CVs / Organizational (partner) profiles:** Funding guidelines that allow the inclusion of these can be very helpful when preparing a proposal. Of course, the most important advice is to make sure that they are updated with the most accurate information. Also, keep in mind that reviewers have limited time for examining your proposal so most will not examine all your supporting documentation. So it is worthwhile to think about what competencies in particular the funder are interested in and tailor these descriptions so that they are adequately represented but are as succinct as possible while still complying with all requirements. If the project idea (or funder) requires a very well developed organizational infrastructure – be sure to describe this infrastructure within these supporting documents. It is also important to reference these in the text of your proposal – whenever relevant direct the reviewer to the specific documents that supports or elaborates upon your claims.

**Letters of support,** if allowed can be a useful way to demonstrate support for your project within the community. Generally speaking, there are two ways to approach this – get letters from many different organizations and institutions, both public and private and refer to this large number of letters in the proposal. The simpler approach is to get letters from key stakeholders whose support is important to the success of your project. Doing so helps to address any questions of stakeholder risk that may exist for the project and gives further support to the idea that you will be able to effectively implement the project.

Of course, the most important part of your supporting documentation is **the budget** for your project. First and foremost, make sure that you are compliance with all of the funders' budgetary rules, including the use of the correct forms and that the calculations are correct. In some cases, it is a good idea to keep two budgets, the one that you submit to the funder and the one that you keep for your internal use. In terms of the proposal budget, it is generally a good idea to keep money balanced between work packages, partners and cost categories (such as staffing, equipment, travel). Any large imbalances should be accounted for clearly in the proposal narrative. For example, if 90% of the project funds are allocated to one WP, or to staff costs or to one partner – be sure to explain why this is.

Most funders make a distinction between direct and indirect costs, which is important to always be aware of. **Direct Costs** are expenses attached directly to your project such as staff (including taxes); equipment

used directly on the project (including repairs and/or maintenance); travel for staff doing project activities (including flight, accommodations, per diems); project meeting costs (hosting, food, etc.); and supplies such as printing, marketing materials, office supplies etc.

Project related subcontracting is also allowed for services performed by another firm/organization outside of your partnership. Subcontractors are usually not selected until the project already has started and may be subject to specific procurement rules (such as selecting three bids). As a result of this, many funders do not prefer subcontracting, because they are unable to screen who is receiving the money. For this reason, if at all possible, subcontractors should be included as partners in your proposal if they are doing substantial work in the project.

The other relevant cost category are **indirect costs** – which covers organization operating costs outside of the project. Funders usually do not seek an accounting for indirect costs, instead they give a percentage of the total project budget or of staff costs or give some other flat rate.

Many funders also require **co-financing** of a certain percentage of a total project. This is usually done via cash the organization has from other sources, an allocation of staff paid from other funds or in rare cases may be made via in-kind contributions (such as portions of rent costs). Co-financing is required by funders as a way to ensure commitment to the project by applicants. It also enables funders to support more projects (but not having to support them completely) and is an additional test of the capacity of applicants.

## Writing the Proposal Narrative

If all of the above is done well, then the actual writing of the proposal narrative will be much easier, however there are several important points to keep in mind:

- **Reviewers will not spend days analysing your proposal!** Typically, reviewers of funding applications have dozens of proposals to look through in a very limited time, so that many will spend no more than four hours on your application. Thus, it is important for you to try and make the reviewer's job as easy as possible.
- **Answer the questions they ask, not the ones you want to answer!** Sometimes the questions posed in the application might seem strange or might be in an illogical order to you. As much as possible, fit your logic into the one set by the funder, so that the reviewer will know where to look for information.
- **Answer all their questions!** If the proposal has a question and then has five sub-questions underneath it, make sure you address each of the five points in your response.
- **Be redundant on key points!** Reviewers can easily miss important points if the proposal is long, for this reason, try to repeat the most important ideas several times.
- **Use their language!** Whenever possible, use the keywords that you have identified as being important to the funder. However, make sure you use them correctly – otherwise it will raise 'red flags' with reviewers.
- **Strictly obey page limits, font sizes etc!** Most funders receive many more applications than they could ever support – do not give them any reasons to take points away.
- **If a funder wants something done, make sure you write that you will do it,** for example, the use of EU logos and flags for dissemination activities or during project meetings.

- **Have a clear 'story' for your proposal!** If your proposal cannot be explained in a paragraph or two, then it will be harder for the reviewer to understand.
- **Look at previous projects supported by the funder!** They can be useful in shaping your ideas and in identifying partners.
- **Whenever possible, build upon previous work!** This includes work done by you and/or team (preferably documented in articles) or on projects previously supported by the funder.
- **Honour your reviewer!** If you know who the expert reviewers might be – refer to their work (i.e. articles published or projects performed) if possible.
- **Avoid contradictions!** Make sure the parts of your proposal match up – an easy way to lose points is to have contradictory information in different parts of your proposal. Make sure that objectives, methods and stated results/impact are logical and match up.
- **Make your proposal readable and engaging!** Try to avoid using the smallest font, and where possible, use charts or tables to efficiently present important information. Highlight, bold, or underline key ideas that you want to make sure the reviewer sees.
- **Do not neglect the abstract!** Some funders use the project summaries/abstracts of proposals to select evaluators – make sure your summary specifies the most relevant topics. Reviewers always look at abstracts, so they should be well organized, very easy to understand and emphasize your most positive points.
- **Make clear the rationale for your project partnership!** Explain why this configuration of partners is ideal for implementing your project.
- **Review the evaluation criteria of the funder and make sure you address all their points.**

## After submission

A project writer's job is not done after the proposal is submitted. Be sure to look closely at any evaluation results you receive. If the proposal was rejected, look for the gaps or weaknesses that were identified by the evaluator. You can use this information for future proposals, especially if the same call will be repeated. When resubmitting a proposal that received a high evaluation, use the original proposal as your base and change as little as possible – focusing on the negatives that you want to improve (and updating it to take into account the present circumstances if they have changed). However, if the feedback is very low, then it might be easier to start from scratch. Even if there is not a second call, you might be able to resubmit the proposal elsewhere.

Another consideration in between proposals is to apply to be an evaluator for the funder. This is an excellent way to gain insight into their evaluation process, including the guidelines given to reviewers.

If funded, contact the partners to let them know the good news, review the application and your project budget. Funders have different post-award procedures, but generally, it requires negotiation of a grant agreement. The agreement is based upon the submitted proposal with whatever changes are requested by the funder. Many funders also suggest the creation of consortium agreements between the partners to govern project activity.

# Annex 1. Policymakers in PANEL Partner Regions

## Czech Republic

1. Decision makers on national level and below
  - The law-making body is the parliament
  - Lower-level bodies include:
    - The Ministry of Industry and Trade (MIT)
    - The Ministry of the Environment (MOE)
    - The State Office for Nuclear Safety
    - The Administration of State Material Reserves (ASMR)
    - The State Energy Inspection (SEI)
    - The State Environmental Fund of the Czech Republic
    - The Agency for Nature Conservation and Landscape Protection of the Czech Republic
    - The Energy Regulatory Office
    - The Electricity Market Operator (OTE)
    - The Governmental Council for energy and raw materials strategy of the Czech Republic
2. Decision makers on local level
  - Committee for rurals, agriculture and environment with the South Bohemian Council was established in order to advice on subsidy and grant policies, development strategies within given topics.
  - Smart Region South Bohemia Council aims to develop Smart city concept in the region. It has four working groups – Clean mobility, Data, Transport, Energy Savings
3. Relevant, already existing alliances
  - Česká bioplynová asociace z.s.
  - (Czech Biogas Association) - National technology platform for biogas / biomethane
  - Asociace NGV z.s.
  - (Czech NGV Association) - National technology platform for natural gas vehicles
  - Středisko pro efektivní využívání energie, o.p.s.
  - (SEVEn) - Energy efficiency / RES consultants + South Bohemian Energy Agency operator
  - Komora obnovitelných zdrojů energie
  - (RES Chamber)
  - Česká technologická platforma pro biopaliva

- (Czech Biofuel Technology Platform) - National technology platform
  - KLASTR Bioplyn, z.s.p.o.
  - (Biogas cluster) - Cluster (biogas)
  - Česká společnost pro větrnou energii (Czech Wind Energy Association)
  - Česká geotermální asociace (Czech Geothermal Association)
  - CZ Biom – České sdružení pro biomasu, z.s.
  - Aliance pro energetickou soběstačnost (Alliance for Energy Self-sufficiency)
  - Solární asociace (Solar Association)
  - Česká fotovoltaická asociace (Czech Photovoltaic Association)
4. Consultation possibilities on relevant strategies and action plans on national level and below
- State Energy Policy (SEC) - Státní energetická koncepce 2015
  - National Action Plan form Smart Grids - Národní akční plán pro chytré sítě
  - National Action Plan for Energy from Renewable sources - Národní akční plán České republiky pro energii z obnovitelných zdrojů
  - Czech Republic Action Plan on Energy Efficiency - Akční plán energetické účinnosti ČR
  - Regional Energy Conception of South Bohemian Region - Územní energetická koncepce Jihočeského kraje

## Slovenia

1. Decision makers on national level and below
- The National Assembly is the general representative body of Slovenia, it is the major part of the distinctively incompletely bicameral Slovenian Parliament, the legislative branch of the Republic of Slovenia.
  - The ministry responsible for energy matters is the Ministry of Infrastructure.
2. Decision makers on local level
- Local governments
3. Relevant, already existing alliances
- LEA Spodnje Podravje
  - other Slovenian Local Agencies (NATIONAL CONSORTIUM OF ENERGY AGENCIES)
  - the Department of Environment and Local Planning
  - the Department of Economic Development
4. Consultation possibilities on relevant strategies and action plans on national level and below
- Energy Concept of Slovenia will be the key document focusing on environmentally sustainable energy sources, reliable supply and competitiveness. Its goal is gradually replacing fossil fuels with low-carbon energy.

## Lithuania

1. Decision makers on national level and below
  - the Parliament
  - the Government
  - the Ministry of Energy
  - the Energy commission and other commissions and committees of the Parliament
  - The Ministry of Environment of the Republic of Lithuania
  - National Commission for Energy Control and Prices
  - State Energy Inspectorate under the Ministry of Energy of the Republic of Lithuania
  - State Nuclear Power Safety Inspectorate
2. Decision makers on local level
  - Small scale initiatives of local importance can be taken by municipalities. Such initiatives are mainly restricted to measures of increasing energy efficiency (such as renovation of buildings, modernisation of heat and public lighting systems) as well as production and use of renewable energy.
3. Relevant, already existing alliances
  - There are several associations that participate in the deliberation of energy related law and represent interested parties, including:
    - i. Lithuanian Electricity Association
    - ii. Renewable Energy Producers Association
    - iii. The Lithuanian District Heating Association
    - iv. The Lithuanian Hydroelectricity Producer Association
4. Consultation possibilities on relevant strategies and action plans on national level and below
  - The National Energy Independence Strategy (The fundamental document for energy sector development, which sets out the strategic goals of energy sector)
  - The Strategy for National Climate Change Management Policy
  - The National Strategy for Sustainable Development
  - The National Strategy for the Development of Renewable Energy Sources
  - Ignalina Nuclear Power Plant (INPP) Region Energy Strategy for 2012-2035
  - Each strategy is followed by a corresponding action plan.

## Poland

1. Decision makers on national level and below
  - the Parliament (lawmaking body)
  - 18 ministries of Poland, including the Ministry of Energy
2. Decision makers on local level

- On voivodeship level (NUTS 2), the voivodship self-government is set up to perform the tasks of public administration in the voivodship, with the possibility of shaping its internal organization - the selection of the voivodship self-government bodies (voivodeship council, the voivodship board) as well as the lawmaking through these local law bodies.
  - On a county level - The powiat self-government is the second level of local self-government in Poland. The powiat self-government has the possibility of forming its own internal organization, among others. Selection of local government authorities (district council, county board), as well as the drafting of local acts by local authorities. The districts are created by several communes (rural, rural-urban, urban). The executive body of the county is the county board headed by the county governor.
  - On a municipality level - The municipality self-government carries out its tasks through its bodies: the municipal council (the controlling body) and the mayor or president (executive body).
3. Relevant, already existing alliances
    - numerous municipalities in Mazovian voivodeship
  4. Consultation possibilities on relevant strategies and action plans on national level and below
    - <http://www.me.gov.pl/Energetyka>

## Latvia

1. Decision makers on national level and below
  - The Ministry of Economics (ME)
  - Ministry of Environmental Protection and Regional Development (MEPRD)
  - Environmental Investment Fund
  - Ministry of Agriculture
  - Ministry of Transport
2. Decision makers on local level
  - municipalities make decisions on heating solutions, waste management, management of public buildings and public transport, district lighting.
  - Municipalities have direct interaction to multifamily building owners, and may provide financial support or real estate tax reduction for energy efficient multifamily buildings.
3. Relevant, already existing alliances
  - Latvian Energy Efficiency Association, LATEA
  - Latvian Renewable Energy Federation LREF
4. Consultation possibilities on relevant strategies and action plans on national level and below
  - There are energy agencies in Riga municipality and Zemgale region responsible for the public campaigns, development of projects, communication and education of local people in the field of energy efficiency
  - ALTUM as a state-owned development finance institution provides free of charge consultations about the conditions of the programme, preparation of the technical documentation related to energy efficiency improvement measures.

## Hungary

1. Decision makers on national level and below
  - the parliament (The lawmaking body)
  - parliament's 14 standing committee, including the Committee on Sustainable Development
  - Lower-level bodies include:
    - i. The Ministry of National Development (lead energy policy institution)
    - ii. The Ministry of National Economy (input to energy efficiency plans and handling the greenhouse gas (GHG) emissions rights)
    - iii. The Prime Minister's Office (project owner of capacity expansion at the Paks 2 nuclear project; supervises the First National Public Utility Holding Company)
    - iv. The Ministry of Foreign Affairs and Trade (energy security and diplomacy)
    - v. The Ministry of Agriculture (collection, storage and processing of GHG emission data)
    - vi. The Hungarian Energy and Public Utility Regulatory Authority
    - vii. The Hungarian Atomic Energy Agency
    - viii. The Hungarian Central Statistical Office
    - ix. The National Research, Development and Innovation Office
    - x. The Hungarian Office for Mining and Geology
2. Decision makers on local level
  - On county-level (NUTS3) the climate change platform of the county is responsible for collecting the needs from local actors. The platform includes usually municipalities, the general council of the county, the directorate of national parks, private and public companies, research institutes.
  - On local level (LAU2) the most important decision makers are the municipalities whose decision controls are limited.
  - A very important link between the local and national decision making levels is the elected member of the parliament (MP) from the local electoral district.
3. Relevant, already existing alliances
  - The Hungarian Climate Alliance (Magyarországi Éghajlatvédelmi Szövetség) includes several municipalities and NGOs.
4. Consultation possibilities on relevant strategies and action plans on national level and below
  - The national driver of the energy policy is the National Energy Strategy 2030, published in 2012. Also, strategies and action plans existing on climate change, energy efficiency, building stock.

# Annex 2: Advocacy on Global Level. WWF Example.

## Advocacy work by WWF to support the Paris agreement

WWF, the global conservation NGO has been playing an important role in global advocacy to tackle climate change.

The COP 21 was a real milestone on this, and WWF concentrated its efforts actively to put pressure on governments to ensure that they join the Paris Agreement and increase the ambition of their national action plans.

Plenty of policy papers were prepared to support this, with highlighting facts and figures, important elements, to serve the solutions with knowledge and expertise.

Some of these:

- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/wwf\\_policy\\_asks\\_cop21.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/wwf_policy_asks_cop21.pdf)
- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/cop21\\_briefing\\_paper\\_\\_land\\_sector.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/cop21_briefing_paper__land_sector.pdf)
- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/cop21\\_briefing\\_paper\\_\\_forest\\_basics.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/cop21_briefing_paper__forest_basics.pdf)
- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/impact\\_on\\_climate\\_and\\_species.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/impact_on_climate_and_species.pdf)
- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/finance\\_briefing\\_for\\_cop21.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/finance_briefing_for_cop21.pdf)
- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/loss\\_and\\_damage\\_\\_briefing\\_for\\_cop\\_21.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/loss_and_damage__briefing_for_cop_21.pdf)
- [http://d2ouvy59p0dg6k.cloudfront.net/downloads/ws1\\_mitigation\\_policy\\_brief\\_for\\_cop21.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/ws1_mitigation_policy_brief_for_cop21.pdf)

Several infographics were produced for public to better understand the outcomes needed:

[http://d2ouvy59p0dg6k.cloudfront.net/downloads/wwf\\_infographic\\_\\_what\\_we\\_want\\_from\\_cop21\\_in\\_paris.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/wwf_infographic__what_we_want_from_cop21_in_paris.pdf)

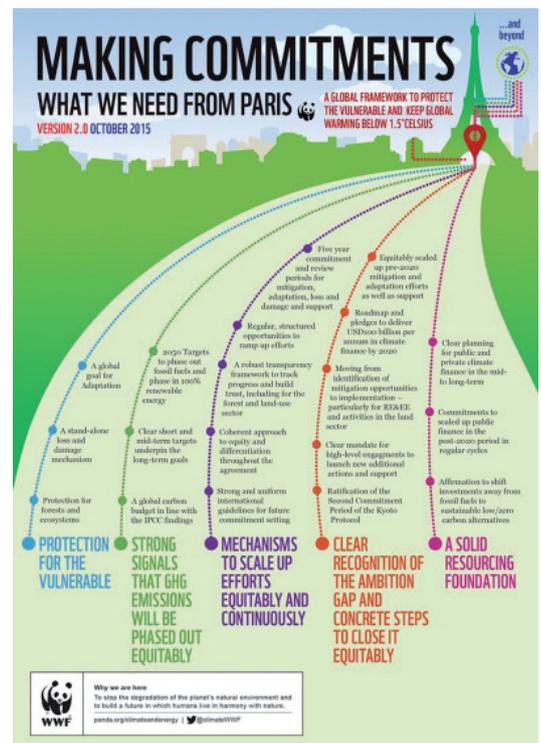
[http://d2ouvy59p0dg6k.cloudfront.net/downloads/cop21\\_infographic\\_fair\\_and\\_transformational.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/cop21_infographic_fair_and_transformational.pdf)

These content based tools were promoted on social media as well.

Reports were also launched with the proper timing:

(for example a report about renewable power sources in China )

- [http://wwf.panda.org/wwf\\_news/?257493/China-can-meet-key-climate-commitments-WWF-Report](http://wwf.panda.org/wwf_news/?257493/China-can-meet-key-climate-commitments-WWF-Report)
- [http://wwf.panda.org/what\\_we\\_do/foot-print/climate\\_carbon\\_energy/?257841/Energy-megatrends](http://wwf.panda.org/what_we_do/foot-print/climate_carbon_energy/?257841/Energy-megatrends)



Writing and sending our press releases during the COP was inevitable:

[http://wwf.panda.org/what\\_we\\_do/footprint/climate\\_carbon\\_energy/?258336/](http://wwf.panda.org/what_we_do/footprint/climate_carbon_energy/?258336/)

Governments-set-course-for-ambitious-action-on-climate-change-but-more-immediate-steps-needed

WWF was aiming to ensure that governments double down on their climate efforts in the years preceding 2020. This process is ongoing since, but the event itself was crucial for public outreach. Street actions were arranged on the scene, and visually rich displays and other installations always support these high-level meetings. Media interviews were organised and special delegation with WWF experts were attending the COP21 itself to support the process and provide relevant media updates. Engaging specific media contacts for quality features, articles, and interviews is a time-consuming investment but necessary and an effective tactic.

The importance of advocacy work did not stop there of course. WWF continued its efforts behind the scenes throughout the year, and for COP 22, another 'story' added on the pressure:

November 16 (2016), just before COP22 end, the breaking news of 200 companies Committing to Science Based Targets highlighted a precedent of private sector engagement in tackling climate change.

The initiative launched 18 month before by a partnership between CDP, WRI, WWF and the UN Global Compact, was just reaching a significant milestone and the issue was used with the perfect timing to emphasize on the need for collaborative, strong, ambitious and practical steps.

[http://d2ouvy59p0dg6k.cloudfront.net/downloads/pr\\_\\_sbt\\_reaches\\_200\\_companies\\_1.pdf](http://d2ouvy59p0dg6k.cloudfront.net/downloads/pr__sbt_reaches_200_companies_1.pdf)

Learn more about the documents published and used:

[http://wwf.panda.org/what\\_we\\_do/footprint/climate\\_carbon\\_energy/cop\\_21/index.cfm](http://wwf.panda.org/what_we_do/footprint/climate_carbon_energy/cop_21/index.cfm)

As the partnership was already mentioned related to Science Based Targets initiative, it is important to stretch the value of partnerships in advocacy work. The examples mentioned are impressive but WWF also seeks for the opportunity to acknowledge the fact that the work and the impact can only be transformational with partnerships. Selecting the proper partners to accelerate the impact is crucial in advocacy.

Another good example for successful advocacy work on the global scale is Earth Hour. An initiative with a simple, clear message – Turn off the lights – towards public, yet evolved to be the biggest voluntary action

for environment with 2,5 billion people participating and huge results in terms of policies and corporate engagement on all levels – national and global as well.

**The Earth Hour movement has shifted from a fun public event towards real commitments in the past decade.**

## Our Movement

© Keith Diamond / WWF-Australia - Sydney Opera House, Australia 2016

WWF's Earth Hour started as an idea intending to unite Sydneysiders to take a stand for climate action in 2007.

In the nine years since, the event has grown to become the world's largest grassroots movement for the environment, empowering millions to take action to change climate change.

From one city, Earth Hour has spread to 178 countries and territories, standing testament to the role people play in climate action. The movement has helped power millions of individual actions to help change climate change, inspire policy-level change in companies and countries, and successfully harnessed the power of the crowd to make a lasting difference. Earth Hour ensures each and every one of us plays our part in creating a better future for our planet and generations to come.



<https://www.earthhour.org/sites/default/files/Earth%20Hour%202016%20Report.pdf>

To find out more, visit [earthhour.org](http://earthhour.org)

# Annex 3: Stakeholder Engagement

You can download the template with the guidelines also on the CEESEN homepage at: [https://ceesen.org/?dln\\_download=panel-2050-stakeholder-engagement-template](https://ceesen.org/?dln_download=panel-2050-stakeholder-engagement-template)

## Annex 3.1: Listing the Stakeholders. Template

The best method for tracking your stakeholder engagement is to make an excel table by following structure:

### **The name**

*Full name of stakeholder including the acronyms and ID-Number.*

### **Sector of Organization**

*Please, specify the sectors such as Public Sector, Private Sector, Non-profit Sector*

### **Type of Organization**

*Please, specify the type of the organization when appropriate: Local government, Service Providers; Commercial Interest Groups: Low-Energy Building Cluster, Umbrella Organizations, Universities, Advisory Service, Industries, distributors, Energy Agency, Environmental Centre, Lobby Group, Grassroots Organization*

### **Description of stakeholder**

*What are the general activities of the stakeholder? Please state it as briefly as possible.*

### **Location**

*Please, specify the region or sub-divisions of the region or municipality.*

*GPS location. Use the following link to find location : <http://www.mapcoordinates.net/en>*

### **Contact Information**

*Provide the detailed contact information.*

### **Contact persons**

*Please, provide the contact information of contact person. Identification and setting up the communication with relevant stakeholder includes finding at least one contact person from the community.*

*Please, provide the contact information of second contact person when appropriate.*

### **The previous interaction with stakeholder**

*Please, provide the previous cooperation when appropriate. Is the stakeholder new or old partner for your organization? New Contact (yes or no)*

### **Methods of communication**

*What is the method of communication that you are using? Is it email, phone or in person communication?*

# Annex 3.2: Mapping the Stakeholders. Template

The best method for mapping your stakeholders is to make an excel table by following structure:

**COLUMN B: Stakeholder name (Including the acronyms)**

**COLUMN C: How supportive the stakeholder is to the energy transition? (-6.0 Opponent to 6 Supportive)**

**COLUMN D: Explain why you give this number.**

**COLUMN E: How deeply they will be affected by the transition? (1 - low impact; 6 - high impact)**

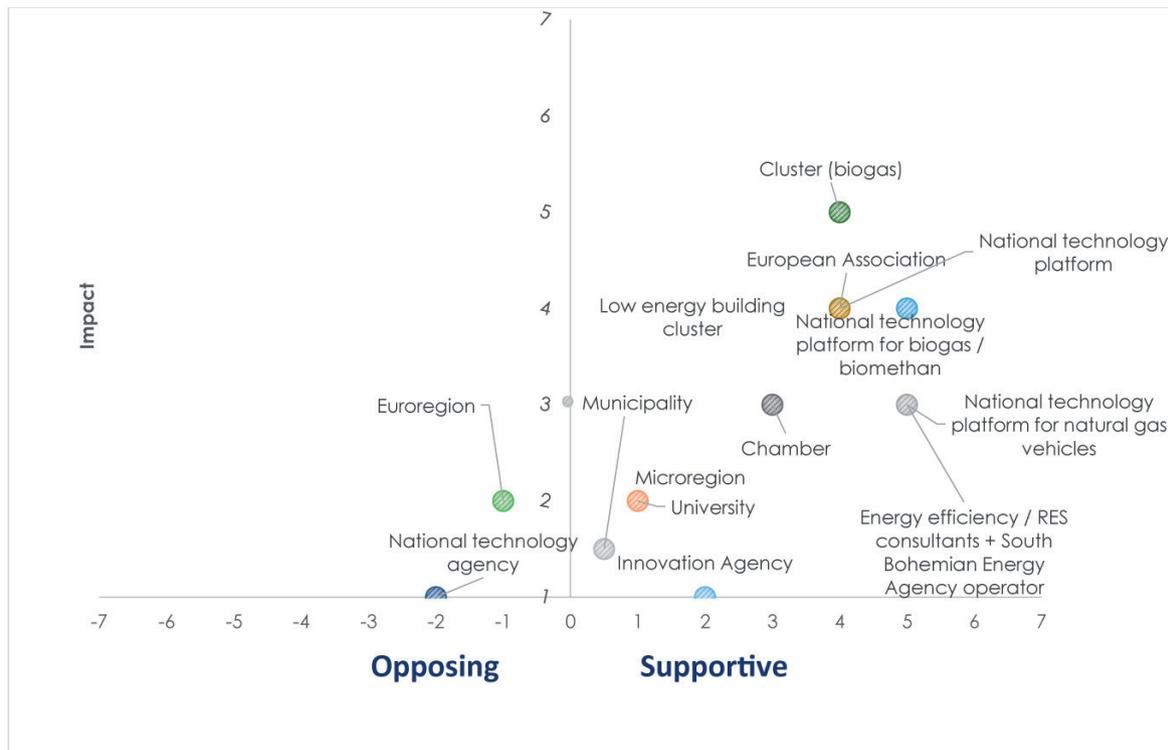
**COLUMN F: Explain why you gave this number.**

**COLUMN G: Remarks (how you plan to engage them - inform, consult or collaborate)**

The data in columns C and E will enable you to draw up scatter plot diagram to show the location of all your stakeholders in relation to their support to and impact by the transition.

Below is an example drawn by PANEL2050 Czech partner.

**AgEnDa Czechia**



## Annex 3.3: Objectives of Engagement. Template

For getting a good overview of involvement aims your stakeholders it is sensible to make an excel table by following structure:

**Critical Question: What is the specific role of selected stakeholders in the transition process and why there is need to engage them?**

**COLUMN B: Stakeholders (Full name of stakeholder including the acronyms and ID-Number)**

**COLUMN C: Justification of Engagement (Please provide the objectives of engagement of stakeholders listed previously)**

## Annex 3.4: Log of Engagement Activity. Template

For getting a good overview of engagement your stakeholders it is beneficial (even though it might seem tedious task, it will be beneficial in the long term) to make an excel table by following structure:

**Please, provide the information about the engagement activity:**

**COLUMN B: Date**

**COLUMN C: Stakeholder engaged with**

**COLUMN D: Brief description of activity**

# Annex 4: Regional Energy Profile

## Methodology for creating an energy baseline

In the course of the project PANEL 2050 an Excel tool was developed with the aim to help in devising a Regional Energy Profile – a energy baseline on regional/local level.

The tool can be downloaded here: [https://ceesen.org/?dln\\_download=tool-for-developing-a-regional-energy-profile](https://ceesen.org/?dln_download=tool-for-developing-a-regional-energy-profile) or downloaded from the CEESEN document area. You must be logged in to access these materials.

The screenshot shows the CEESEN Documents interface. At the top, there is a navigation menu with links for NEWS, TRAININGS, PROJECTS, MEMBERS, DOCUMENTS, PANEL 2050, and Conference 2017. The main header area features the word 'DOCUMENTS' in large blue letters, followed by the subtitle 'CONTRIBUTE TO A SHARED DATABASE FOR ENERGY TRANSITION' and an 'Upload' button. Below this is a search bar with filters for Name, Type, Transport, Planning, and History. The main content area displays a document entry for the 'Tool for developing a Regional Energy Profile'. The entry includes the following details: Type: Excel tool, Publisher: ConPlusUltra, Year of release: 2017, Topics: Local, Municipality, Regional, Energy, Transport, Planning. A 'Summary' section follows, stating: 'This Excel tool presents a methodology for devising a Regional Energy Profile – an energy baseline on regional/local level – and offers a standardised presentation of the results.' The document title 'Tool for developing a Regional Energy Profile' is highlighted in a blue bar at the bottom of the entry.

The tool provides a basic methodology mostly based on a top-down approach on the basis of national energy statistics are used. To use a more detailed approach in combination with primary data collection is recommend but for many regional and local authorities not feasible depending on the coverage and requirements of the roadmap:

- Households: Methodology for collecting and/or estimating the regional final energy demand of the household sector
- Service & Industry: Methodology for collecting and/or estimating the regional final energy demand of the service and industry sector
- Transport: Methodology for collecting and/or estimating the regional final energy demand of the residential and freight traffic sector
- Final Energy total: Summary and calculation of energy indicators for the regional total final energy demand
- Renewable Energy Sources: Methodology for collecting and/or estimating the share of renewable energy sources in the regional final energy demand

This Excel tool offers a methodology for devising a Regional Energy Profile - an energy baseline on regional/local level - and offers a standardised presentation of the results.

	A	B	C	D	E
1					
2	<b>Regional Energy Profile - Methodology for creating an energy baseline</b>				
3					
4	<p>This Excel tool was developed in the course of the project PANEL 2050. The proposed methodology shall help in devising a Regional Energy Profile - an energy baseline on regional/local level.</p> <p>The tool provides a basic methodology mostly based on a top-down approach on the basis of national energy statistics are used. To use a more detailed approach in combination with primary data collection is recommend but for many regional and local authorities not feasible depending on the coverage and requirements of the roadmap.</p>				
5					
6	<b>Content</b>				
7	1 Households	Methodology for collecting and/or estimating the regional final energy demand of the household sector			
8	2 Service & Industry	Methodology for collecting and/or estimating the regional final energy demand of the service and industry sector			
9	3 Transport	Methodology for collecting and/or estimating the regional final energy demand of the residential and freight traffic sector			
10	4 Final Energy total	Summary and calculation of energy indicators for the regional total final energy demand			
11	5 Renewable Energy Sources	Methodology for collecting and/or estimating the share of renewable energy sources in the regional final energy demand			
12					
13					
14					
15					
16					
<div style="display: flex; justify-content: space-between; align-items: center;"> <span>&lt; &gt;</span> <span style="border: 1px solid black; padding: 2px;">READ ME</span> <span>1 Households</span> <span>2 Services &amp; Industry</span> <span>3 Transport</span> <span>4 Final Energy total</span> <span>5 Renewable Energy Sources</span> </div>					
Ready Calculate					

# Annex 5: Roadmapping and Action Plans

Annex 5.1 Vision template

Annex 5.2 Roadmap template

Annex 5.3 Action plan template

# Annex 5.1 Vision template

## ENERGY VISION

Region: XXX

Prepared by: XXXX

Date: XXXX

### **Vision Statement**

*Summarise your vision in a concrete statement giving a target and timeframe.*

### **Vision Description**

- *Describe the status quo from which you come from. Use your Regional energy profile to provide the required energy data.*
- *Describe a business as usual scenario and show the alternative pathway needed to realise the vision.*
- *Be very specific: give concrete targets and the timeframe.*
- *Lay out scenario to reach the vision target. Describe the difference to a business-as-usual scenario. Rely on the REP for current energy data.*
- *Emphasise the contribution towards the goal of a regional low-carbon economy by 2050.*

### **Addressed barriers**

*Describe the policy, institutional, technological, financial barriers, which are addressed through this vision*

### **Contribution to national and regional targets**

*Describe relation to national and regional energy and development targets*

### **Contribution to climate change mitigation**

*Describe relation to climate targets and contribution to climate change mitigation*

### **Required data for scenario development**

*Are there any knowledge gaps which need to be filled? What kind of data is required to realistically plot the development scenario.*

### **Involvement of stakeholders**

*Which stakeholder/ organizations were involved during the process? Describe involvement process*

# Annex 5.2 Roadmap template

## **ROADMAP towards a sustainable low-carbon economy**

Region: XXX

prepared by XXXX

Date: XXXX

### **Table of Content**

1 Introduction .....	3
2 Priority areas .....	3
3 Actions and development scenarios .....	4
3.1 Status of R&D, innovations and technology .....	4
3.2 Business-as-usual scenario .....	4
3.3 Development scenarios .....	4
3.4 Milestones .....	6
4 Impacts on regional economy .....	7
5 Involvement of stakeholders .....	7
6 Endorsement by implementers and political decision-makers. ....	9
7 Impact to National Regulations .....	9
8 Financing .....	9
9 Roadmap Team .....	9
Contact .....	9

< Instructions or tips can be deleted and substituted by your text >

## 1 Introduction

State the vision of the roadmap and give a short summary of the roadmap development as described in the following chapters.

## 2 Priority areas

Energy efficiency priority areas

- Households
- Industry
- Public buildings
- Public lighting
- Transport sector
- Financing and business models
- Other: \_\_\_\_\_

Renewable energy priority areas

- Bioenergy
- Wind
- Solar
- Geothermal
- R&D
- Financing and business models
- Other: \_\_\_\_\_

Stakeholder engagement priority areas

- Co-creation
- Co-design
- Partnership
- Participation
- Consultation
- Communication
- Other: \_\_\_\_\_

Depending on the vision statement priority areas should be defined. These areas constitute the umbrella for several related Action Plans.

Choose 2-3 areas from the list above which your Action Plans will concentrate on.

Describe how these priority areas were identified and why actions in these sector are important to reach the vision. Substantiate the choice e.g. by giving savings potentials per priority area/ sector.

### 3 Actions and development scenarios

On top of your roadmap stands your vision for the region. The roadmap gives the general direction and concrete steps how to move towards to this vision. The development scenario or several different scenarios described in the roadmap gives the pathway from the status quo (baseline analysis) to the regional vision.

The analysis of several scenarios constitutes the basis for energy-related decisions to be taken and according actions planned. Using scenarios, the influence of long-term decisions can be validated against their contribution to the agreed regional vision.

Action Plans as integral part of the roadmap, contribute step-by-step to reaching the vision and making the development path concrete and realizable.

#### 3.1 Status of R&D, innovations and technology

Current status of R&D, innovations and technological prerequisites within the sector including overview of the related actors.

#### 3.2 Business-as-usual scenario

Start by plotting a business-as-usual (BAU) scenario. Your starting point should be your REP. Based on the data given there plot the development of the region with no additional actions taken.

E.g. you can use the EU Reference Scenario 2016 as inspiration to define the business-as-usual scenario. <https://ec.europa.eu/energy/en/data-analysis/energy-modelling>

Describe your BAU scenario here.

#### 3.3 Development scenarios

Business as usual will not be enough to reach the regional vision in the planned timeframe. Several "corrective actions" have to be implemented in order to reach the agreed vision. Each action represents a step towards reaching the goal of the regions.

Give a short portrait of each planned action [details about the implementation strategy are not needed here and will be covered in the Action Plan document]

[State Priority Area 1]

**Action title 1:** [choose not only a descriptive title but something people can identify with, e.g. 1,000 solar roofs initiative, Green the future, etc.]

**Objective:** [give quantifiable numbers and also break them down into sub-sector or per year, e.g. 2 % improved efficiency in the household sector every year until 2040]

**Timeline:** [even if your vision goes until 2050 not each action might have such a long horizon. Clearly define the timeline]

**Action title 2:** [choose not only a descriptive title but something people can identify with e.g. 1,000 solar roofs initiative, Green the future, etc.]

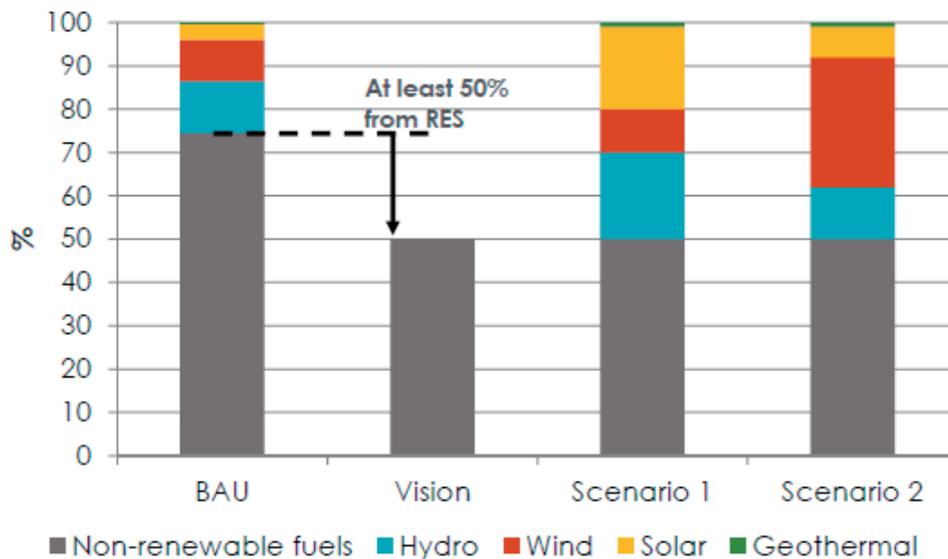
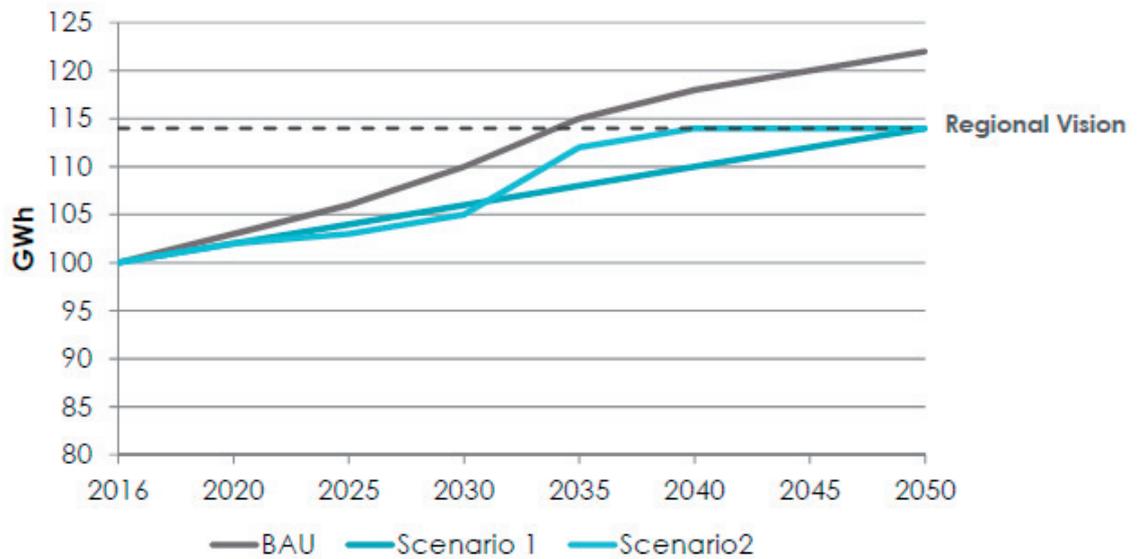
**Objective:** [give quantifiable number and also break them done into sub-sector or per year, e.g. 2 % improved efficiency in the household sector every year until 2040]

**Timeline:** [even if your vision goes until 2050 not each action might have such a long horizon. Clearly define the timeline]

Each of the described actions and their quantifiable objectives should have an influence on the BAU scenario. Plot the difference between the BAU scenario and different other development paths depending on how successful the actions are implemented.

Be as concrete as possible in planning intermediary steps towards your vision. For longer intervals, it is recommended to plan review cycles e.g. every 5 years, to check and review the roadmap and update planned priorities and actions according to technical progress, changes of the legal framework and overall policy goals.

Presentation of your scenarios could look like this. Feel free to use %, CO<sub>2</sub>, awareness level, number of refurbished buildings, etc. depending on your vision statement.



### 3.4 Milestones

Plan for specific Milestones along the way, where you can evaluate the progress against the set targets and adapt the concept in regular time intervals

## 4 Impacts on regional economy

Describe how each of the scenarios might impact the overall economy of the region including employment and specialized jobs, vulnerability to fuel price changes, security of supply, development of competitive knowledge, etc.

How will the scenarios contribute to regional economic development strategies and targets or smart specialisation strategies?

Is there a risk of a conflict of goals with other policy strategies?

## 5 Involvement of stakeholders

Plan and implement comprehensive stakeholder engagement.

Summarise stakeholder inclusion here stating the

- type of stakeholder event [Training, workshop, informal meeting, conference, round table discussion, consultation, etc],
- number of participants,
- names of organisations involved
- outcomes from the meetings

Exemplary methods for stakeholder engagement:

Co-ordination meetings of the working group

- Should take place on a regular basis
- To assess process of roadmapping
- Opportunity to invite external experts for specific thematic inputs

Disadvantage:

- Internal organisational meeting involves the risk of getting routine

Regular meeting of energy groups – regulars' table

- Takes place regularly
- Meeting with informal character
- Can feature different focus areas for discussion
- Opportunity to exchange experience in a specific group of experts of the field

Disadvantage:

- Heterogeneous group with changing members

Thematic workshops

- Provides specific feedback to your questions
- Generates input from a wide range of stakeholders on expert level
- Possibility to have different thematic focuses

Disadvantage:

- Participants and speakers have to be well chosen to get representative results

Field trip and study visits

- Practical, tangible way to convey a message
- Gives best practice examples the opportunity to present
- Participants get insider knowledge and can engage in discussion with implementers

Disadvantage:

- More time and resource consuming than other event types

Awards and competitions

- E.g. energy conversation competition, awards for outstanding energy projects, "boiler exchange" program, "Ice-block challenge"
- Can be targeted at different user groups, e.g. individuals, households, businesses, schools, ...
- Award events raise public awareness
- Award participants act role models and multipliers
- Low-threshold methods to collect ideas and visions for regional energy future

Disadvantages:

- Resources for setup, marketing and prizes have to be allocated
- Possibility of failure due to low public interest

Citizen action groups / DIY groups

- Mostly self organized movement of citizen to apply renewable energy system on local level
- (e.g. solar thermal, PV)
- Development of common ownership model in the REN sector
- Long-term commitment to a renewable energy future

Disadvantage:

- Depends on the commitment of individuals

## **6 Endorsement by implementers and political decision-makers.**

Formal endorsement of the roadmap is key to ensure the continuity and implementation of the roadmap including the Action Plans.

Describe the endorsement you ensured to this point and how it will contribute to the implementation of the Roadmap and Action Plans.

Describe necessary future steps to ensure the endorsement of the energy roadmap.

## **7 Impact to National Regulations**

Describe how the implementation of the Roadmap is supporting the development of the sustainable energy regulations/policies on National level.

## **8 Financing**

*Describe possible and already secured sources of funding. Explain actions needed to secure funding.*

## **9 Roadmap Team**

*Describe the team behind the development of the roadmaps including the organisations the experts involved. Describe the areas of expertise included to the roadmapping process.*

## **Contact**

*Add contact person and info from your organisation here.*

# Annex 5.3 Action plan template

## **ACTION PLANS**

Region: XXX

prepared by XXXX

Date: XXXX

### **Table of Content**

Action Plan: title .....	3
1 Objective .....	3
1.1 Objective scope and targets values .....	3
1.2 Target indicators .....	3
2 Implementation strategy .....	4
2.1 Step by step description .....	4
2.2 Time schedule .....	4
2.3 Budget and resources needed .....	4
3 Collaboration with stakeholders .....	5
4 Monitoring Strategy .....	5
5 Risk management .....	6
Contact .....	6

**Action Plan:** *title*

Choose not only a descriptive title but something people can identify with, e.g. 1,000 solar roofs initiative, Green the future, etc.

**1 Objective**

Give quantifiable numbers and also break them down into sub-sectors or per year, e.g. 2 % improved efficiency in the household sector every year until 2040]

**1.1 Objective scope and targets values**

State the objective of the Action Plan in detail. Break the objective down into sub-objectives, e.g. covering different areas of action like technical improvements, capacity buildings, consumer information, etc.

The targets of the Action Plan should be

- Specific
- Measureable
- Action-Oriented
- Realistic
- Time-sensitive

**1.2 Target indicators**

Describe which indicators will be used to measure the status of the objective and how measurement will take place.

Objective	Target indicator	Method of measurement and validation
	e.g. <ul style="list-style-type: none"> <li>• MWh</li> <li>• persons informed</li> <li>• documents developed</li> <li>• EUR investments into XX sector</li> <li>• Network built</li> <li>• Events held</li> <li>• etc</li> </ul>	e.g. <ul style="list-style-type: none"> <li>• annual energy bills</li> <li>• flyers sent out</li> <li>• participant lists of events</li> <li>• technical approval for new projects</li> <li>• etc.</li> </ul>

## 2 Implementation strategy

### 2.1 Step by step description

Structure the Action into steps/tasks building on each other.

Each step/task should have a

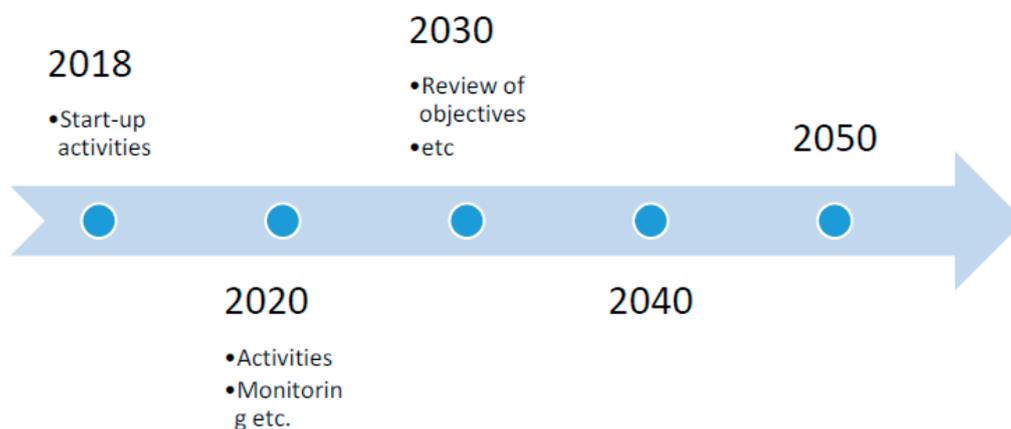
- Clear objective, if possible with quantified success criteria
- Timeline supporting the logical sequence of tasks
- Assigned roles and responsibilities

For larger Actions it might also make sense to structure several tasks in work packages, which can go in parallel.

### 2.2 Time schedule

Include a time schedule for the steps given above.

E.g. using a timeline like this



### 2.3 Budget and resources needed

Estimate the budget and other resources (human, equipment, locations) needed for the implementation of the set-out steps/tasks.

## 3 Collaboration with stakeholders

Describe which stakeholders were already involved in the preparation of the Actions Plans and how. Add a description of the implementation team as of now. Consider actors who need to be involved in the future.

## Roles and responsibilities of different actors for Action Plan implementation

State who will be involved in the implementation of the Action Plan as well as related stakeholders and target groups.

Stakeholder groups	Stakeholder name	Role and responsibility	Involvement and communication strategy
Implementing parties			
Political decision-makers			
Target groups			
etc			

## 4 Monitoring Strategy

Describe when and how target indicators will be checked against the implementation plan. Name responsible parties to continuously monitor and evaluate the progress in certain time intervals.

Monitoring should take place on a continuous basis and the monitoring strategy an integrative part of the implementation plan.

The evaluation of monitoring parameters, AP objectives, and target indicators should take place every 3 to 5 years. The evaluation should in a first step compare the progress made to the given target indicators for the timeframe. Based on these results the objectives themselves should be re-evaluated in order to be aligned with possible changes of the implementation environment, e.g. technical progress, institutional and policy changes. If necessary, the results of the evaluation have to be used to plan corrective measures to be integrated into the original implementation plan.

## 5 Risk management

Describe possible risks and according mitigation measures. If needed, you can use the following table.

Risk	Probability of realising	Mitigation measure
Describe the risk and how it might affect the reaching of the objective	High/ medium/ low	Describe mitigation measures with clear responsibilities

# Annex 6: Fundraising in PANEL Partner Countries

Annex 6.1 Available funds on regional level and below for sustainable energy projects

Annex 6.2 Overview of ESCO market in CEE region

## Annex 6.1 Available funds on regional level and below for sustainable energy projects

Country	Available funds on regional level and below, and if available consultation sites of them
Czech Republic	<p><b>Regional level</b></p> <p>INTERREG Europe (<a href="https://www.interregeurope.eu/in-my-country/czech-republic/">https://www.interregeurope.eu/in-my-country/czech-republic/</a>)            Danube Transnational Programme (<a href="http://www.interreg-danube.eu/">http://www.interreg-danube.eu/</a>)            Visegrad Fund (<a href="http://visegradfund.org/grants/standard-grants/">http://visegradfund.org/grants/standard-grants/</a>)            EEA and Norway Grants (<a href="http://www.eeagrants.cz/en/">http://www.eeagrants.cz/en/</a>)</p> <p><b>National and local level</b></p> <p>- Energy efficiency funding support            Longterm scheme Zelená úsporám ("Green light to savings")            Programme PANEL / NOVÝ PANEL (Ministry for Spatial Development)            1.4 Nová Zelená úsporám 2014 – 2020 (Ministry of Environment)            1.5 Programme JESSICA (Ministry for Spatial Development)            1.6 Integrational Regional Operational Programme (Ministry for Spatial Development)            1.7 Joint programme for boilers replacement (Ministry of Environment)            1.9 Operational programme Environment 2014 – 2020 (Ministry of Environment)</p> <p>- Subsidy possibilities for the service sector            1.9 Operational programme Environment 2014 – 2020 (Ministry of Environment)            1.10 National programme EFEKT for RES and energy savings – investments (Ministry of Trade)            1.11 OP Prague Growth Pole – buildings (city of Prague)            1.13 OP Enterprise and Innovations for Competitiveness (Ministry of Trade)</p> <p>- National funding scheme for R&amp;D (environmental and energy sector)</p> <p>Technology Agency of the Czech Republic (TA CR) has following programmes:</p> <ul style="list-style-type: none"> <li>• The ALFA programme</li> <li>• The BETA programme</li> <li>• The GAMMA programme</li> <li>• The DELTA programme</li> <li>• The EPSILON programme</li> <li>• The OMEGA programme</li> </ul>

Slovenia	<p>European Regional Development Fund</p> <p>(Programmes: Interreg Alpin Space, Interreg Central Europe, Interreg Europe, Danube Transnational Programme, Interreg Mediterranean, etc.)</p> <p>EU Cohesion funds (supports projects related to energy or transport)</p> <p>ECO Fund (development in the field of environmental protection)</p>
Lithuania	<p><b>Funds on regional level:</b></p> <ul style="list-style-type: none"> <li>• The Interreg Baltic Sea Region Programme 2014-2020 (<a href="https://www.interreg-baltic.eu">https://www.interreg-baltic.eu</a>)</li> <li>• Interreg V-A Latvia – Lithuania Programme 2014-2020 (<a href="http://latlit.eu">http://latlit.eu</a>)</li> </ul> <p><b>Funds on national level:</b></p> <p>Public Institution Lithuanian Business Support Agency (LBSA) (<a href="http://www.lvpa.lt">www.lvpa.lt</a>)</p> <p>The Lithuanian Environmental Investment Fund (<a href="http://www.laaif.lt">www.laaif.lt</a>)</p> <p>The National Paying Agency under the Ministry of Agriculture of the Republic of Lithuania (<a href="http://www.nma.lt">www.nma.lt</a>)</p>
Poland	<p>Regional Operational Program of the Mazovian Voivodeship with 10 priority axes: Use of research and development in the economy, Increase of e-potential, Development of innovation potential and entrepreneurship, Transition to a low carbon economy, Environmentally friendly economy, Quality of life, Development of the regional transport system, Development of the labor market, Promote social inclusion and fight against poverty, Education for region development.</p> <p>With axes 4: Transition to a low carbon economy for 2017 there is located around 50 000 000 Euros.</p> <p>European funds in Mazovian Region <a href="https://www.funduszeuropejskie.gov.pl/en/">https://www.funduszeuropejskie.gov.pl/en/</a></p> <p>European projects: Interreg Europe, Interreg Central, Horyzont 2020, Life etc.</p>
Latvia	<p>A communication campaign “Lets Live Warmer!”<sup>12</sup>, organized by Ministry of Economic affairs and stakeholders in 2010. Co-financing by EU ERDF in 2007-2013 programming period is continued in the current EU Funds implementation period (2016-2022).</p> <p>The special co-financing programme of the country specific national Climate Change Financial Instrument (CCFI) was announced in 2011 to promote the implementation of renewables (RES) based micro-generation technologies for households own consumption.</p> <p>The financial measure – investment co-financing by national CCFI – was eligible also in Tertiary sector in the period 2010-2015.</p> <p>In 2016-2022 the EE investments in public buildings is co-financed by the EU ERDF.</p> <p>The EU Cohesion Fund co-financed programme in current 2014-2020 programming period is continuing the EE 8 measures in manufacturing industry sector, while the national Rural Development Programme provides the support for EE measures in food processing industry.</p>

Hungary	<p><b>Regional level</b></p> <p>Interreg IVC (<a href="http://www.interreg4c.eu/programme/country-specific-information/hungary/index.html">http://www.interreg4c.eu/programme/country-specific-information/hungary/index.html</a>).</p> <p>Danube Transnational Programme (<a href="http://www.interreg-danube.eu/">http://www.interreg-danube.eu/</a>)</p> <p>Visegrad Fund (<a href="http://visegradfund.org/grants/standard-grants/">http://visegradfund.org/grants/standard-grants/</a>)</p> <p>EEA and Norway Grants (More info here). In Hungary, the International development and Fund Coordination Agency provides information about the available Norway Grants and EEA Grants. Please find more info here <a href="http://www.norvegalap.hu/?page_id=3242&amp;lang=en">http://www.norvegalap.hu/?page_id=3242&amp;lang=en</a></p> <p><b>National and local level</b></p> <p>The Environment and Energy Efficiency Operational Programme</p> <p>the Economic Development and Innovation Operational Programme</p> <p>The Territorial and Settlement Development Operational Programme</p> <p>Planned tenders can be commented in the following site: <a href="https://www.palyazat.gov.hu/partnersgi-egyeztetsi-folyamatok-2014-2020">https://www.palyazat.gov.hu/partnersgi-egyeztetsi-folyamatok-2014-2020</a></p> <p>The Green Economy Financing Scheme and a sub-programme, the Warmth of Home Programme</p> <p>Additionally different financial support schemes, such as credit products are available for municipalities (<a href="https://www.erstebank.hu/hu/uzleti-ugyfelek/onkormanyzat/energiakorszerusitesi-hitel">https://www.erstebank.hu/hu/uzleti-ugyfelek/onkormanyzat/energiakorszerusitesi-hitel</a>), companies (<a href="https://www.mfbpont.hu/kkv-energia-hitel">https://www.mfbpont.hu/kkv-energia-hitel</a>) or individuals (<a href="https://www.mfb.hu/aktualis/sajtokozelemenyek/megjelent-nulla-szazalekos-lakossagi-energiahatekonysagi-hitel">https://www.mfb.hu/aktualis/sajtokozelemenyek/megjelent-nulla-szazalekos-lakossagi-energiahatekonysagi-hitel</a>) in commercial and development banks.</p>
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## Annex 6.2 Overview of ESCO market in CEE region

See more in detail at: Boza-Kiss Benigna, Bertoldi Paolo, Economidou Marina, Energy Service Companies in the EU - Status review and recommendations for further market development with a focus on Energy Performance Contracting, EUR 28716 EN, Publications Office of the European Union, Luxembourg, 2017. doi:10.2760/12258, JRC106624

Country # of ESCOs (2016)	Current Energy Services Market (EUR) Potential Growth Barriers	Energy Performance Contracts Project Lengths/ Amounts	Energy Supply Contracts Project Lengths/ Amounts	ESCOs Relevant Legislation
<b>HR</b> 10 - 15	100 million	Small (street lighting) €200,000 - €500,000 for 3-5 years	€130,000 to €1.3 million for 5 to 10 years.	HEP ESCO <a href="http://www.hep.hr">www.hep.hr</a> Programme of Energy Renovation of Public Sector Buildings 2014-2015
	(EPCs for pub- lic/multi-family buildings, hotels)	Large (buildings) €1 million - €5 million for 12-15 years		
<b>CZ</b> 20	10-20 million	0.5-5 million for 8-12 years (schools and public buildings, hospitals, universities)	N/A	Association of Energy Service Providers <a href="http://www.apes.cz/en/onas.php">http://www.apes.cz/en/onas.php</a>
	100- 500 million			amendment to the Energy Management Act (July 2015)
<b>BG</b> 15	33 million	(schools, hospi- tals, street lighting) €200,000 - €500,000 for 7-9 years	N/A	The Energy Efficiency Act SG No. 98/14.11.2008 and amended in 2015
	500 to 900 million			
<b>EE</b> 2-3	Market is not developed	Is not used	€5-10 million annually	Estonian Development Plan for Energy Sector 2030+ (develop- ment of the housing sector)
	€100M (to- tal building renovation)			
<b>HU</b> 4	n/a	€500.000 per project for 5-10 years	N/A	The European EPC Code of Conduct is adapted
	n/a			
<b>LV</b> 6-8	€5-10 million	EPC- based projects in the residential sector	N/A	"Energy Efficiency Law" entered into force on March 29 2016
	€8 billion			
<b>LT</b> 4-5	EPC-only market size >€3million	200 000€ - 500 000€ per project	N/A	the Program for Improvement of Energy Efficiency in Public Buildings
	n/a			

<b>PL 0</b>	€10-25 million	improvements in street lighting, public buildings, schools, hospitals, and residential buildings	the turnover volume of the Polish energy services market is around €30 million	The Operational Programme Infrastructure and Environment 2014-2020 "Supporting energy efficiency, intelligent energy management and promotion of RES for public infrastructure, including public buildings, and in the housing sector"
	€25-75million (estimate in 2013)	€200,000 -€1,000,000 for 4-5 years for industrial projects and ca 10 years for public clients		
<b>RO Under 10</b>	€3-5million	10-15 performance-linked ESCO projects that are remunerated only if a certain economy is achieved	Consulting and engineering firms, equipment producers, manufacturers and retailers, facility managers and energy suppliers	Romanian National Energy Efficiency Action Plan; Law No. 121/2014 on Energy Efficiency
	€ 780 million/yr			
<b>SK 10</b>	€60million (public sector only)	small (up to €200,000) and mid-sized (€500,000 - €1,000,000), with contract lengths of 10 years in public sector, 3 years in private sector. The total size of the EPC market is €5 million per year	Typical ESC-based projects target heat management and supply	Act No 321/2014 Coll. on energy efficiency; Adoption of the European Code of Conduct for EPC
	€20 million			
<b>SL 6-8</b>	€15 million	Around 15 projects	€200 000-€500 000 for 10-15 years	The National Energy Efficiency Action Plan of Slovenia (NEEAP); Energy Act (2014); Public Private Partnership Act (2006); Decree on energy savings; Decree on support to electricity produced from renewable energy sources; Decree on support to electricity produced in highly efficient combined heat and power; Rules on efficient use of energy in buildings; Technical Guideline Efficient Use of Energy; Rules on feasibility study of alternative energy systems for energy supply in buildings
	€51-53million/yr.			

Compiled by: Eds. Hector C. Pagan and Elis Vollmer

Giorgi Davidovi

Astrid Buchmayr

Marek Muiste

Alexa Antal

Andreas Karner

Csaba Vaszkó



## CENTRAL EASTERN EUROPEAN SUSTAINABLE ENERGY NETWORK



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