
**Terminal Evaluation of the UNEP/GEF Project “Enabling South Africa
to Prepare its Third National Communication (TNC) and Biennial
Update Report (BUR-2) to the UNFCCC”
(GEF ID 5237)**

2014-2019



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Project Title: Enabling South Africa to Prepare its Third National Communication (TNC) and Biennial Update Report (BUR-3) to the UNFCCC

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This Report documents the findings of the Terminal Evaluation of the UNEP/GEF project “Enabling South Africa to Prepare its Third National Communication (TNC) and Biennial Update Report (BUR-3) to the UNFCCC” and “GEF ID 5237”. The report was prepared by Nyawira Muthui, an external International Consultant, for the Evaluation Office of UNEP (UNEP). The report benefited from a peer review conducted within the Evaluation Office of UNEP.

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BRIEF CONSULTANT BIOGRAPHY

The evaluation was undertaken by Ms. Muthui, a senior natural resources management professional, with 20 years’ experience facilitating African governments and local communities to mainstream environment, natural resources management and climate risks into development planning programmes, projects and policies, gathered from United Nations, international non-governmental organizations, academic institutions and civil society (Brief CV in Annex 9). From 2006 to October 2014, Ms. Muthui was a Technical Advisor on Land/Forest Management, Ecosystems and Biodiversity at the UNDP-GEF, a unit that assists African governments to programme and access resources from the Global Environment Facility, Least Developed Country Fund for Adaptation, the Green Climate Fund, and other international and bilateral funds. Before that she managed a consulting company that primarily developed and supervised implementation of environmental projects in Eastern and Southern Africa (2004-2006). Prior to that, she worked for the International Union for Conservation of Nature (IUCN) at regional and global levels (1997-2003). Ms. Muthui worked with the University of Nairobi between 1993 and 1995, and was a member of a UNESCO Research Team in Northern Kenya between 1987 and 1992. Ms. Muthui has therefore formulated and supervised the implementation of, and evaluated numerous projects throughout Africa, many of them addressing climate change adaptation, biodiversity conservation, sustainable land and forest management.

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About the Evaluation

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Brief Description: This report is a Terminal Evaluation of the UNEP/GEF project “Enabling South Africa to prepare its Third National Communication and Biennial Update Report to the UNFCCC”, which was implemented between 2014 and 2019. The project’s overall objective was to prepare the Third National Communication (TNC) and the First Biennial Update Report (BUR-1) of South Africa to enable the country fulfil its obligations under the UNFCCC, in accordance with Articles 4.1 and 12.1 of the Convention while strengthening its capacity to integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the National Climate Change Response Strategy. At the onset, only the TNC and BUR-1 were envisaged in the workplan; however, the scope of the project was later changed to include the second and third Biennial Update Reports. Despite the additional BURs, the project spent US\$ 2,071,040 against a budget of 4,006,650 (52 percent).

The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, and the relevant agencies of the project participating countries.

Key words: Third National Communication Report; Biennial Update Reports; TNC; BUR; UNFCCC¹

Primary data collection period: October - December 2021

Field mission dates: No field mission was possible due to the COVID pandemic.

¹ This data is used to aid the internet search of this report on the Evaluation Office of UNEP Website

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List of acronyms and abbreviations

Acronym	Definition
AD	Activity Data
AFOLU	Agriculture, Forest and Other Land Use
BUR	Biennial Update Report
CC	Climate Change
CEO	Chief Executive Officer
CSIR	Council for Scientific and Industrial Research
CSO	Civil Society Organization
DEA	Department of Environmental Affairs
DFFE	Department of Forestry, Fisheries and Environmental Affairs
EA	Enabling Activity (projects)
EF	Emission Factor
EOU	Evaluation and Oversight Unit (United Nations)
FMO	Fund Management Officer
GCM	General Circulation Model
GEF	Global Environment Facility
GHG	Green House Gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
GORSA	Government of the Republic of South Africa
GPG	Good Practice Guidance
HCF	Hydrofluorocarbons
HSRC	Human Sciences Research Council
IPCC	Intergovernmental Panel on Climate Change
IPPU	Industrial Processes and Product Use;
LTMS	Long-term Mitigation Scenarios
MRV	Monitoring, Reporting and Verification
MTR	Mid-Term Review
MTS	Medium Term Strategy
NAMA	Nationally Appropriate Mitigation Actions
NC	National Communication
NCCRP	National Climate Change Response Policy
NCCRS	National Climate Change Response Strategy
NGHGIS	National GHG Inventory Management System
NGO	Non-Governmental Organizations
NIR	National Inventory Report
PFCs	Perfluorinated Compounds
PMU	Project Management Unit
PoW	Programme of Work
PSC	Project Steering Committee
QA	Quality Assurance

Acronym	Definition
QC	Quality Control
RCM	Regional Climate Model
RSA	Republic of South Africa
SA	South Africa
SALGA	South Africa Local Government Association
SANBI	South African National Biodiversity Institute
SNC	Second National Communication
TM	Task Manager
TNA	Technology Needs Assessment
TNC	Third National Communication
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

PROJECT IDENTIFICATION TABLE

Table 1: Project Identification Table

GEF Project ID:	5237	IMIS No.:	GFF-5070-4E95-2724
Implementing Agency:	UNEP Economy Division, Climate Mitigation, Energy and Climate Branch	Executing Agency:	Department of Forestry, Fisheries and Environmental Affairs (DFFE)
Relevant SDG(s) and indicator(s):	SDG 13: Climate Action - Take urgent action to combat climate change and its impacts Target 13.2 Integrate climate change measures into national policies, strategies and planning Target 13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning		
GEF Core Indicator Targets	N/A for climate change enabling activities. This was categorized as Full-Size project, based on the amount requested from the GEF (i.e. there was additional top-up from Country)		
Sub-programme:	Climate Change	Expected Accomplishment(s):	Expected Accomplishment (b) Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies
UNEP approval date:	September 2014	Programme of Work Output(s):	(PoW) 2014-2015 Sub-progr.1 on CC: Outputs: 3, 4 and 5
GEF approval date:	February 2014	Project type:	Full Size Project
GEF Operational Programme #:	GEF V Enabling Activity	Focal Area(s):	Climate Change
		GEF Strategic Priority:	Climate Change Mitigation-6: Objective 6 of the Climate Change Focal Area Strategy
Expected start date:	July 2014	Actual start date:	September 2014
Planned completion date:	September 2018	Actual operational completion date:	October 2019
Planned project budget at approval:	US\$ 5,357,650	Actual total expenditures reported as of June 2020	US\$ 3,326,040.77
GEF grant allocation:	US\$ 4,006,650	GEF grant expenditures reported as of June 2020	US\$ 2,071,040.77
Project Preparation Grant - GEF financing:		Project Preparation Grant - co-financing:	
Expected Full-Size Project co-financing:	US\$ 1,351,000	Secured Full-Size Project co-financing:	US\$ 1,255,000

Date of first disbursement:	October 2014	Planned date of financial closure:	June 2022
No. of formal project revisions:	1	Date of last approved project revision:	October 2017
No. of Steering Committee meetings:	Once a year minimum	Date of last Steering Committee meeting:	July 2019
Mid-term Review/ Evaluation (planned date):	September 2017 – May 2018	Mid-term Review/ Evaluation (actual date):	September 2017 - May 2018
Terminal Evaluation (planned date):	December 2018	Terminal Evaluation	February 2021
Coverage - Country:	South Africa	Coverage - Region(s):	Africa
Dates of previous project phases:	N/A	Status of future project phases:	NC4/BUR5 project is under implementation.

EXECUTIVE SUMMARY

1. This Terminal Evaluation (TE) was undertaken by the Evaluation Office of UNEP to assess the effectiveness of the Third National Communication project (hereinafter TNC project) in enabling South Africa to prepare its Third National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC). It also assesses the likely future impacts of the TNC project on strengthening capacity to integrate climate change concerns into national and sectoral development plans and priorities, through the implementation of the National Climate Change Response Strategy (NCCRS).
2. In line with Articles 4.1 and 12.1 of the UNFCCC, South Africa produced its First and Second National Communication Reports in December 2003 and November 2011, respectively. The TNC project was designed to address scientific, technical and institutional limitations hindering the country from raising the standard of reports to the Convention by: a) capturing information at the provincial or district scale rather than at national level, in order to cater for the extensive territory and a wide array of complex climate, socio-economic and natural systems that are difficult to encompass within a single national report and b) to make the process more participatory by involving a broader range of local institutions and organizations, in order to increase technical and infrastructural capacities for climate change related activities appropriate for the preparation of National Communication Reports.
3. In 2014, the Government of South Africa secured funding from the Global Environment Facility's Enabling Activities (GEF-EA) fund to implement this Full-Sized project. UNEP was the Implementing Agency, while the Department of Forestry, Fisheries and the Environment (DFFE) was the Executing Agency, in partnership with the relevant Directorates under the Department.
4. The **overall project objective** was to prepare the Third National Communication (TNC) and third Biennial Update Report (BUR) of South Africa to enable the country fulfil its obligations under the UNFCCC in accordance with Articles 4.1 and 12.1 of the Convention while strengthening its capacity to integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the National Climate Change Response Strategy. At the onset, only the TNC and BUR-1 were envisaged in the project workplan; however, the scope of the project was later changed to include the second and third Biennial Update Reports.
5. The GEF approved the concept in April 2013 and endorsed the Project Document in July 2014. Project implementation began in late 2014 with but the inception workshop was held on 15 January 2015. The project was expected to be implemented in 48 months, to end in September 2018. However, delays in initial disbursement coupled with staff turnover slowed implementation, necessitating a one year cost-neutral extension. The project closed in October 2019, having delivered two additional Biennial Update Reports at 52 percent of the programmed budget. The total project cost was US\$ 5,357,650, which included a US\$ 4,006,650 grant from

the GEF, US\$ 1,255,000 co-financing (in-kind) from the Government of South Africa, and US\$ 96,000 from UNEP

6. The project had 7 components, 8 sub-components, 33 outcomes and 91 outputs² with an emphasis on updating the Green House Gas (GHG) inventory, identifying measures to mitigate climate change, assessing vulnerability for priority areas selected under stocktaking exercises, education and public awareness. It also identified gaps, uncertainties, and constraints along with other information required by the Convention under Decision 17/CP.8.
7. As per GEF and UNEP evaluation guidance, the Theory of Change (TOC) for this project was reconstructed to enable a meaningful evaluation, presented in [Table 6](#) and Figure 3. The reconstructed TOC identified three outcomes which South Africa intended to achieve over time and to which this project contributed;
 - a. South Africa has ***improved standards of reporting to the United Nations Framework Convention on Climate Change*** by generating and using better quality and quantity of information for the Third National Communication, Biennial Update Reports 2 and 3 (producing knowledge-based products).
 - b. South Africa ***has clear institutional arrangement and systemic capacities*** to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in greenhouse gas levels
 - c. ***Mitigation and adaptation measures are*** integrated into national and sectoral development plans and priorities (through the implementation of the national climate change response strategy).
8. Collectively, these outcomes would directly contribute to three intermediate states: a) South Africa has effective strategies and technologies to implement economic activities and development processes with lower greenhouse gas emissions; b) the country has better/more effective adaptation plans and strategies; and c) the country has systemic capacity to sustain the implementation of strategies and monitoring of climate change dynamics.³ Consequently, given certain contributing conditions,⁴ the results would in the long-term, lead to reduced GHG emissions and more resilient economies and livelihoods (impacts), contributing to Sustainable Development Goal 13 (i.e. take urgent action to combat climate change and its impacts),⁵ with benefits to Goals 7, 8, 9 and 11.

² Due to the fact that the Components were aligned with the Chapters of the National Communication and Biennial Update Reports.

³ 'Systemic capacity' refers to broader strategic capacity to: i) **Conceptualize and formulate** policies, legislations, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; ii) **Implement** policies, legislation, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iii) **Engage and build consensus** among all stakeholders to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iv) **Mobilize information and knowledge** to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; and v) **Monitor, evaluate, report and learn in the process of** mainstreaming climate risks into development processes to reduce GHG emissions while increasing resilience

⁴ See reconstructed TOC, page 33

⁵ Specifically, indicator 13.3 – "Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning", and indicator 13.b – "Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities."

Evaluation methodology

9. The TE was guided by the Terms of Reference in [Annex 1](#), and undertaken in line with UNEP evaluation guidelines. Due to COVID-19 travel restrictions, the evaluation was undertaken electronically. However, the TE was undertaken in a participatory manner using a mix of desk reviews, and in-depth interviews via Zoom and Teams, based on a questionnaire previously submitted to respondents. A total of 31 respondents were interviewed (16 male/14 females), consisting of twenty-four staff members (eight females) of the DFFE and collaborating partners, six staff members of the Energy and Climate Branch of the Climate Mitigation Unit of UNEP (one male), and two staff members representing co-financing development partners (one male/one female). The respective lists of people interviewed and documents reviewed are presented in [Annexes 2 and 3](#).

Summary of the main evaluation findings:

10. The overall performance rating for the project is Highly Satisfactory (detailed ratings are in Tables 14 and 15). In addition to all the programmed outputs, the project delivered two additional BURs, but utilised only 52 percent of the budget provided, making it highly efficient. The project compiled BURs 1, 2 and 3 and the TNC, submitted to the UNFCCC on 31st December 2014, 28th December 2017, June 2019, and March 2018, respectively.
11. The TNC presented updated information from the Second National Communication on all the relevant chapters, namely: the national circumstances; a national GHG inventory for the period 2000-2010; current climate change in South Africa in terms of trends and projected changes, vulnerability assessments and national adaptation strategies; potential and actual measures to mitigate climate change and other information relevant to the Convention (including a technology needs assessment, research and systematic observations and climate change education, training, awareness and capacity building needs).
12. The BURs collectively presented GHG trends for the period 2000 to 2015 from the four Intergovernmental Panel on Climate Change (IPCC) sectors (energy; industrial processes and product use; agriculture, forest and other land use; and, waste) for carbon dioxide, methane, nitrous oxide, hydrofluorocarbons and perfluorochemicals. It also presented emissions' trends by sector, GHG and per capita. These reports followed the latest UNFCCC reporting guidelines for developing countries. The team of technical experts confirmed that the quality, quantity and transparency of the reports have increased steadily during the life of this project.
13. The project has delivered results at the outcome level, in line with the reconstructed TOC. Although no monitoring system was in place to track results at the higher level, the TE finds that the project has contributed significantly to mainstreaming climate risks into national, provincial and local policies, programmes and plans. On mitigation, for example, information generated by the project has been utilized in the updating of, or formulating new, policies and legislation aimed at controlling and/or reducing GHG emissions in the energy, transport, agriculture, forestry and other land use and waste sectors. The Carbon Tax Bill, Carbon Offsets Regulations, GHG reporting and, Climate Change Bill and Pollution Prevention Plan Regulations are substantial policy steps influenced by the project, that aim to curb greenhouse gas emissions.

14. On adaptation, the information was used in the development of the National Climate Change Adaptation Strategy (NCCAS) of August 2021 and the development of projects under the national climate change near-term priority flagship programmes. The flagship programmes are strategic measures, intended to serve as a rallying point to trigger large scale transition to a lower carbon economy and a resilient South Africa. The Local Government Climate Change Support Programme has used the information in its support to the development of climate change response plans for all the district and local municipalities in South Africa, with associated adaptation interventions.
15. The project has made significant contributions to the clarification of clear institutional arrangements and systemic capacities to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels. The project supported the development of the critical National GHG Inventory Management System, which ensures transparency, consistency, comparability, completeness and accuracy of inventories as defined in the guidelines for the preparation of inventories. Furthermore, the TE finds that the extensive mainstreaming of up-to date, more scientifically credible mitigation and adaptation measures into national and sector policies as well as the response to climate change plans (and associated adaptation strategies) of the provinces, metros and cities provide a clear and sustainable pathway to impacts. Thus, the project will, in the long run, contribute to reduced GHG emissions and more resilient economies and livelihoods.
16. The project enjoyed strong ownership, interest and commitment among stakeholders and the government, which extends to the levels of government with the mandate and power to sustain outcomes, thereby mitigating dependency. Furthermore, integrating climate change in the tertiary and distance education programmes will sustain awareness raising, promoting sustainability. These conditions are likely to secure sustainability, unless there is change in the current government policy and political will to mainstream climate risk into development.
17. Project financial management followed UNEP guidelines while procurement followed government procedures. The project budget was amended several times, with the approval of the Project Steering Committee (PSC) and UNEP, to cater for refinements made to the logframe activities and outputs. The project requested and received approval for a one year cost-neutral extension, shifting the closure data from September 2018 to October 2019. The approval was secured via a Project Completion Agreement (PCA) signed on 4th October 2017. However, since all the programmed outputs had been delivered by the programmed project end of September 2018⁶, the extension seems to have been necessitated by availability of surplus project funds. A request for a second cost-neutral extension to produce BUR-4 was declined, forcing the project to refund the balance of funds totalling US\$ 2,071,040.77 (48 percent of the budget requested). This suggests that either the resource mobilization strategy was over generous or the project outcomes were not ambitious enough for the allocated budget, or both. Overall, 105 percent of the co-finance was mobilized (US\$ 1,421,000 out of initial \$ 1,351,000) (Tables 11a and 11b, and Annex 4). Furthermore, the project adopted time-saving measures during the project design and implementation that increased project efficiency, leading to the delivery of project outputs at lower than expected cost.

⁶ BUR-1 was submitted to the UNFCCC on 31st December 2014, BUR-2 was submitted on 28th December 2017 and the TNC was submitted in June 2018

18. Despite starting off with a weak project design, (albeit approved by both UNEP and GEF) and encountering initial delays in disbursement, as well as high levels of staff turn-over and changes in project management unit staff, the project has been highly cost-effective. Its products and results have significantly compensated for any potential losses due to the cost-neutral extensions it undertook. The TE finds that a high level of country ownership and drivenness, stakeholder participation and cooperation, effective communication and public awareness, coupled with dedicated project management and supervision contributed to the high performance.
19. The project was not subjected to a gender marker scoring at the design stage, as this system was only introduced in 2015, after the project was approved. If the marker were to be scored today, the project would receive a score of zero, meaning gender relevance is evident even if it is not at all reflected in the project document. Project formulation was not informed by a specific gender assessment and did not integrate human rights, or social and environmental safeguard issues in the design or implementation.
20. An increase in the country's capacity to meet its reporting obligations under the UNFCCC was demonstrated by the production of two additional Biennial Reports, one with co-finance from a development partner, and one with co-finance from government (using the staff of the DFFE). However, the Capacity Needs Assessment and Capacity Building Action Plan included in the Third National Communication identified further areas of capacity development. These include technical skills and systems, such as the on-going development of the National Greenhouse Gas Inventory Management System, currently with the support of the Capacity Building Initiative for Transparency,⁷ and other projects. Furthermore, the country has taken a deliberately collaborative approach to producing reports for the Convention, engaging government, industry, private sector, academia, civil society, and communities at national, provincial and local levels. These players need further capacity building.
21. The executing arrangements between DFFE and its partners and collaborators ensured that all parties worked cohesively towards meeting the project objectives. The high levels of commitment by the partners – government, industry, academia and civil society - combined with clear leadership and coordination by DFFE was a clear strength.
22. Most of the project implementation was concluded by 2019, hence, only the TE and the final audit have been affected by the COVID-19 restrictions. All the TE discussions were held electronically. However, given the nature of the project, this has not affected the findings of the TE significantly.

Recommendations

Recommendation #1:	Match resource mobilization strategy with the ambition of the project.
Challenge/problem to be addressed by the recommendation:	Unrealistic resources mobilization strategy where either the project outcomes are not ambitious enough to fully utilise the allocated budget, or the costing of project work is not accurate.
	The project spent 52 percent of the allocated budget, even after

⁷ GEF Capacity-Building Initiative For Transparency: GEF ID.: 9673

	delivering all the programmed outputs and two additional BURs. It was extended by one year, from an original closure date of September 2018 to December 2019. However, since all the programmed outputs had been delivered by the programmed project end of December 2018, the extension seems to have been necessitated by availability of surplus project funds. A request for a third cost-neutral extension to produce BUR-4 was declined, forcing the project to refund the balance of funds totalling US\$ 2,071,040.77 (48 percent of the approved budget). This suggests that either the resource mobilization strategy was over generous or the project outcomes were not ambitious enough for the allocated budget, or both. It is important to match the cost of project implementation to the requested budget to avoid similar situations.
Priority Level:	Opportunity for improvement:
Type of Recommendation	Partners
Responsibility:	UNEP to convey to Partners
Proposed implementation time-frame:	Immediate uptake in the process of supporting countries to formulate Enabling Activity (EA) projects.

Recommendation #2:	Use TOC in the design of EA projects, even when the budget is below one million US dollars.
Challenge/problem to be addressed by the recommendation:	<p>Weak project design that does not identify higher level results and simplistic monitoring systems that fail to capture the use of project outputs and therefore fail to monitor achievement of results and impacts.</p> <p>UNEP has developed a new template for designing EA projects that depart from the use of the chapters of the National Communication and BUR as project components. However, it is recommended that the design of these projects be informed by a more robust TOC analysis. This will enable these projects to identify outcomes, impacts, drivers and assumptions, and set up systems to monitor potential results at the higher level. As demonstrated by this TE, these investments can, and are having, transformative changes on the ground that may not be formally captured or communicated, due to the way the project design is articulated and its implementation monitored.</p>
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	Immediate uptake in the process of supporting countries to formulate EA projects.

Recommendation #3:	Commission an impact assessment of the many EA projects being implemented under this category, to fully capture the impacts and lessons learnt
Challenge/problem to be	Inadequate capture and dissemination/sharing of impacts of EA

addressed by the recommendation:	<p>projects.</p> <p>UNEP has been the Implementing Agency for many EA globally, most of them being Small Size, with a budget of under one million US dollars. Until recently, these projects utilized the same template as the TNC project, focused on outputs, and were not subjected to terminal evaluations. As demonstrated by this TE, results can be traced. UNEP should commission an assessment of several EA projects to capture impacts and lessons, to inform further EA programming.</p>
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	To be determined by UNEP, depending on availability of funds and staff time.

Recommendation #4:	Include human rights, gender, social and environmental safeguard in EA project design
Challenge/problem to be addressed by the recommendation:	<p>Inadequate integration of gender and human rights, social and environmental safeguard issues into the project design, implementation and monitoring.</p> <p>Impacts of climate change have gender and human rights aspects. Climate change and natural disasters affect the poor, marginalized, women and men differently. Despite the vulnerabilities experienced by women and girls, they are often unable to voice their specific needs. The exclusion of these voices also means that their extensive knowledge of the environment and adaptation/coping mechanisms is untapped.</p> <p>Without subjecting any project to social and environmental safeguards screening, there is no basis for concluding that the project would not cause such negative impacts.</p>
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	Immediate uptake in the process of supporting countries to formulate EA projects.

Lessons learned

23. **Lesson 1: Clear and effective government leadership is critical for value-added collaboration by all climate change relevant stakeholders.** All the respondents to the TE confirmed that the DFFE provided clear leadership and effectively energized the participation of the private sector,

academia, industry, other government agencies and civil society in the production of the Third National Communication and the Biennial Update Reports. South Africa shared its experience of stakeholder engagement in the production of BURs and NC reports at the facilitative sharing of views for BUR-2 in Bonn, Germany in June 2019, where it was commended by other parties for inter alia, lessons on public consultation processes. Respondents to the TE attributed the leadership provided by DFFE to the government's commitment to have policies on climate change that are informed by science. This lesson is worth sharing with other governments in Africa to strengthen stakeholder facilitation and participation in the climate change policy processes and in meeting countries' reporting obligations under the UNFCCC. This is important because the governments do not always have all the information required to generate these reports, and withholding of such information is often cited as a barrier to improving the quality of such reports.

24. **Lesson 2: Existence of systems to enable relevant stakeholders to use the information generated by a project in planning projects and climate response strategies at the national, provincial, district and municipality levels is critical to accelerated uptake of project outputs and achievement of results.** The country had several ready systems that enabled the immediate uptake of the project-generated information, three notable ones include:

- a. The Local Government Climate Change Support Programme (LGCCSP), a large-scale capacity-building programme that helps provinces and municipalities (districts and metropolitan) to understand and respond to climate change. Its key objectives are to (1) mainstream climate change into subnational development planning and (2) support municipalities in project development and financing. Under LGCCSP, all 44 district municipalities, all eight metropolitan municipalities (e.g. City of Cape Town and City of Johannesburg) and provinces (e.g. Western and Eastern Cape and Gauteng Province) have developed climate change response strategies and adaptation action plans. The information provided by the project was used to update these plans.
- b. The Flagship Programmes, which are strategic measures, intended to serve as a rallying point to trigger large scale transition to a lower carbon economy and a resilient South Africa. They are meant to be ambitious and transformative in design, scale and impact, and make a practical contribution to achieving existing commitments in terms of the national lower carbon growth trajectory and climate resilience. Flagship Programmes include: i) The Climate Change Response Public Works Flagship Programme; ii) The Water Conservation and Demand Management Flagship Programme; iii) The Renewable Energy Flagship Programme; iv) The Energy Efficiency and Energy Demand Management Flagship Programme; v) The Transport Flagship Programme; vi) The Waste Management Flagship Programme; vii) The Carbon Capture and Sequestration Flagship Programme; and viii) The Adaptation Research Flagship Programme.
- c. The country has adopted Sectoral Emission Targets (e.g. in the energy, agriculture, and waste sectors) as an instrument for setting quantitative limits on future GHG emissions, in a bid to achieve the overall commitments on mitigation. Furthermore, GHG Reporting Regulations approved in 2017 have made it mandatory for large emitters to submit Annual Pollution Prevention Plans detailing plans to cut GHG emissions, and progress made in doing so. Company level carbon budgets were introduced for large emitters on

a voluntary basis in a first phase, in line with provisions in the Nationally Determined Contributions.

25. By providing current, knowledge-based information on climate issues, the project met 'a felt need'. Thus mainstreaming the climate issues in these and numerous other programmes and strategies has provided sustainable impact pathways, making the modest investment highly transformative.

26. **Lesson 3: Well-positioned, modest GEF investments can have far reaching, transformative results, when the country-enabling environment is 'right'**. Although the project design did not include or allow the monitoring of higher level results (outcomes, impacts, assumptions underlying the TOC), the Reconstructed TOC identified them (higher level results), enabling the TE to find evidence of the use of the project outputs to bring about changes in institutional arrangements and systemic capacities for reporting to the UNFCCC and integration of climate issues into policies, programmes and strategies at all levels (national, provincial, district, municipality). The TE finds that the enabling conditions that made it possible for these results to be achieved include:
 - a. Government willingness to engage stakeholders meaningfully in the project process, and putting in place a clear strategy for such participation;
 - b. The high levels of awareness of the issues around climate change and its impacts on economic development and livelihoods in the country, partly generated by the country hosting of COP 11 in 2011;
 - c. As a result of (a) and (b), willingness of the relevant stakeholders to participate and provide relevant information, including industry and other private sector;
 - d. Presence of institutions with relatively high capacities for undertaking project tasks, including government agencies, non-government organizations and the private sector.

27. These are conditions that other governments in the region can put in place to increase the effectiveness of GEF and national investments in the EA projects.

Introduction

1. South Africa considers the elaboration of National Communications (NCs) a national priority, both as a fulfilment of its commitments to the UNFCCC and as a key instrument to gauge implementation of national policies and strategies related to climate change within the context of its development agenda and the National Climate Change Response Policy (NCCRP). Although considerable capacity had been built through the formulation of the initial and Second National Communication reports (submitted in October 2000 and November 2011, respectively), the country still faced many limitations with respect to the estimation of GHG inventories, projection of climate change at regional level, development and adoption of appropriate climate impact models and the development of vulnerability profiles. Institutional arrangement still needed substantial improvements to meet the needs and standards of reporting to the UNFCCC.
2. The objective of this project was therefore to prepare the Third National Communication (TNC) and first Biennial Update Report (BUR), to enable the country to fulfil its obligations under the UNFCCC, in accordance with Articles 4.1 and 12.1 of the Convention while strengthening its capacity to integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the National Climate Change Response Strategy (NCCRS).
3. The project was prepared in line with guidelines issued by the UNFCCC for the preparation of NC reports for Non-Annex I Parties and BURs based on Annex III of Decision 2/CP.17. It contributed to objective 6 of GEF-5's Climate Change Focal Area Strategy and Strategic Programming, and was consistent with UNEP's 2014-2017 Medium Term Strategy (MTS) , linked to Expected Accomplishment 2⁸. It was in line with the framework of Sub-programme 1 on Climate Change⁹ of the 2014-2015 Programme of Work (PoW). Executed by the DFFE, the US\$ 5,261,650 project (\$ 4,006,650 GEF Grant and \$1,255,000 Government co-finance) was implemented between 2014 and 2019. Financial closure is expected in June 2022. The project was unique in that it had a full-size project budget, contrary to the regular budget size for a GEF-funded Enabling Activity (usually under US\$ 1 million).
4. This terminal evaluation was conducted in line with the UNEP Evaluation Policy¹⁰ and the UNEP Programme Manual¹¹ (see details in the section on methodology, below). The TE builds on the findings of the Mid-term Review (MTR) undertaken in May 2018, which found the

⁸ *Low emission growth - Energy efficiency is improved, and the use of renewable energy is increased in partner countries to help reduce greenhouse gas (GHG) emissions and other pollutants as part of their low emission development pathways.*

⁹ *Expected Accomplishment (b) Outputs: (3) - Tools and approaches designed and piloted in countries to develop mitigation plans, policies, measures, and low emission development strategies, and spur investment and innovation within selected sectors in a manner that can be monitored, reported and verified; (4) - Technical support provided to countries and partners to plan and implement sectoral initiatives and to make renewable energy and energy efficiency projects affordable and replicable; (5) - Technical support provided to countries to address UNFCCC monitoring and reporting requirements and to mainstream their results into national development planning processes in collaboration with United Nations Country Teams (UNCTs) and partners*

¹⁰ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

¹¹ <https://wecollaborate.unep.org>

project to be Highly Satisfactory. The TE had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the GoSA. Therefore, the evaluation identified lessons of operational relevance for future project formulation and implementation, to inform the next proposed projects. The target audiences for the evaluation findings are the project's key stakeholders such as the Climate Change Division of the Government of South Africa, the GEF, the Economy Division, Climate Mitigation, Energy and Climate Branch of the UNEP. Other target audience include all the national and regional stakeholders such as academia and governmental and non-governmental organisations engaged in the project. UNEP is particularly keen on learning lessons on how to handle evaluations of EA projects, which normally deliver outputs without expectations of higher level results such as outcomes and impacts.

5. Throughout the evaluation process and in the compilation of the Final Evaluation Report efforts have been made to represent the views of both mainstream and more marginalised groups. Data were collected with respect for ethics and human rights issues. All the information was gathered after prior informed consent from people, all discussions remained anonymous and all information was collected according to the UN Standards of Conduct'.

Evaluation Methods

Definitions of evaluation criteria

6. The evaluation was guided by the TOR (Annex 1) and undertaken in line with the UNEP Evaluation Policy, the UNEP Programme Manual and the GEF Guidelines on Evaluation. In line with these guidelines, the TE has been carried out using a set of 9 commonly applied evaluation criteria which include: (1) Strategic Relevance¹², (2) Quality of Project Design, (3) Nature of External Context, (4) Effectiveness (including availability of outputs; achievement of outcomes and likelihood of impact), (5) Financial Management, (6) Efficiency, (7) Monitoring and Reporting, (8) Sustainability and (9) Factors Affecting Project Performance and Cross-Cutting Issues (see Annex 5 - Evaluation Framework/Matrix for more details on each evaluation criterion).
7. Most evaluation criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU). The ratings against each criterion are 'weighted' to derive the Overall Project Performance Rating. The greatest weight is placed on the achievement of outcomes, followed by dimensions of sustainability.

Matrix of ratings levels for each criterion

8. The UNEP Evaluation Office has developed detailed descriptions of the main elements required to be demonstrated at each level (i.e. Highly Satisfactory to Highly Unsatisfactory) for each evaluation criterion. The evaluation team has considered all the evidence gathered during the evaluation in relation to this matrix in order to generate evaluation criteria performance ratings.

Strategic evaluation questions

9. In addition to the 9 evaluation criteria outlined above, the TE addresses a number of strategic questions that were formulated in the Terms of Reference (see Table 13). These questions were posed by the UNEP Evaluation Office in conjunction with members of the Project Team. Findings from the evaluation are to be uploaded in the GEF Portal. To support this process, evaluation findings related to the 5 topics of interest to the GEF are summarised in Annex 6, in accordance with the TE Guidelines. The intended action/results on the 5 topics were described in the GEF CEO Endorsement and Approval documents. The 5 topics are: i) performance

¹² This criterion includes a sub-category on Complementarity, which closely reflects the OECD-DAC criterion of 'Coherence', introduced in 2019. Complementarity with other initiatives is assessed with respect to the project's *design*. In addition, complementarity with other initiatives during the project's *implementation* is assessed under the criterion of Efficiency.

against GEF's Core Indicator Targets; ii) engagement of stakeholders; iii) gender-responsive measures and gender result areas; iv) implementation of management measures taken against the Safeguards Plan and v) challenges and outcomes regarding the project's completed Knowledge Management Approach.

Evaluation Process

10. **Planning and Initiation:** The evaluation was carried out in the steps described in Figure 1. This evaluation adopted a participatory approach, consulting with project team members, partners and beneficiaries at several stages throughout the process. During Stage 1 (Planning and Initiation), the UNEP Evaluation Office, together with the project partners agreed on the purpose and scope of the evaluation as well as the timeframe and budget, all of which were expressed in the ToRs.
11. **Inception Phase:** Once the consultant was hired, the evaluation entered stage 2. The consultant undertook a desk-top review of project documents and reports and undertook an initial analysis of quality of project design and stakeholder participation in the design and implementation of the project. Central to this analysis was the review (and reconstruction) of the project's TOC. In addition to in-depth review of the project design, consultations were held with those engaged in the implementation of the project to arrive at a nuanced understanding of how the project intended to drive change and what contributing conditions ('assumptions' and 'drivers') would need to be in place to support such change. The final iteration of the TOC is presented in Figure 3 and was used throughout the evaluation process. The consultant then prepared an evaluation framework (Annex 5), which was to guide the actual evaluation. The process and the documents were captured in the Inception Report.
12. **Data collection Phase:** Data collection took place from October - December 2021. A field mission was not possible due to the COVID pandemic.
13. Primary data sources

Sampling strategy

14. The project Implementing Agency was UNEP while the DFFE was the Executing Agency. As depicted in Figure 2, the project was planned and implemented in a highly consultative process coordinated by the DFFE. All activities were designed to be implemented by the various **Directorates of the Department of Forestry, Fisheries and the Environment** (formerly the Department of Environmental Affairs), in collaboration with other stakeholders as described below.
15. **Department of Forestry, Fisheries and the Environment** (formerly Department of Environmental Affairs) was the Executing Agency responsible for the management and administration of the project.
16. **South African Weather Service** was responsible for the production of long-term climate trends and generation of climate change and Sea Level Rise scenarios for impact assessments.

- a) **Department of Energy and the Electricity Supply Commission** collaborated in the inventory compilation and mitigation action in the energy sector.
- b) **Department of Agriculture, Forest and Fisheries** collaborated in the inventory, adaptation and mitigation actions in the Agriculture, Forest and Fisheries sectors as appropriate.
- c) **Department of Mineral Resources** collaborated in the inventory and mitigation actions in the mineral resources sector.
- d) **Department of National Treasury** was the main collaborator in related fiscal policies and measures.
- e) **Agricultural Research Council** supported impact assessments, mitigation analysis and derivation of emission factors.
- f) **Department of Transport (Road, Rail, Air, and Marine)** collaborated in the inventory and mitigation in the transport sector.
- g) **Economic Development Department** supported the impact assessment and studies on adaptation, mitigation and the green economy.
- h) **Department of Cooperative Governance and Traditional Affairs** and **South African Local Government Association** provided support for the impact assessment and studies on adaptation.
- i) **Department of Water Affairs** supported the impact assessment and studies on adaptation in the water resources sector.
- j) **NGOs, CSOs, CBOs** and indigenous people acted as partners for informal education and public awareness as well as providing the necessary support for developing community-based adaptation.
- k) The Council for Scientific and Industrial Research (CSIR), the Human Sciences Research Council (HSRC), South African National Energy Research Institute (SANERI), Department of Science and Technology, Research Institutions, South African National Biodiversity Institute (SANBI); Sustainability Institute (SI) and the Energy Research Centre (ERC) conducted studies in relation to impact assessments, evaluated adaptation and/or mitigation measures and collaborated in deriving nationally appropriate emission factors for improving the GHG inventory; they evaluated the country's capacity and technological needs for meeting climate change challenges; they led the process of including climate change in tertiary and distance education programmes.

17. Because the project was sharply focused on producing information for the TNC and BURs, it did not have 'the typical' project beneficiaries. It had no pilot activities anywhere and remained a national level project, to which provinces, municipalities and districts provided information as relevant. The project, therefore, had a limited number of participants. Respondents were therefore selected in a purposive manner aimed at providing as much information as possible,

because they all had specialist knowledge of the project. The respondents were therefore selected to support an analysis of the project’s performance against the Theory of Change, including all assumptions and drivers and across all results’ levels (e.g. transition from outputs to outcomes; from project outcomes to intermediate states etc.). Discussions were held electronically (via phone, email, skype, zoom, MS teams) with the project management unit (PMU), members of the PSC and project focal persons in the institutions outlined above. These discussions were guided by Evaluation Questionnaires (Annex 7) emailed to respondents with a request for an appointment. Phone calls were placed to the potential respondents in an attempt to increase the rate of response. A total of 18 respondents were interviewed (12 female /6 male): consisting of eight staff members (3 females) of the DFFE, four members of the implementing and collaborating partners (all female) and six staff members of the Energy and Climate Branch of the Climate Mitigation Unit of UNEP (one male) (Table 2 and annexes 2 and 3). Because there was no field work (due to Covid-19 restrictions), information gathered via discussions was cross-referenced with document reviews (described in the “Secondary Data Collection” section, below. Fortunately, there were no incidents of conflicting accounts in the information provided by either respondents or gathered from review of documents.

Table 2: Respondents’ Sample

Type of respondent		Number of people involved (M/F)	Number of people contacted (M/F)	Number of respondent (F/M)	Percentage respondent
DFFE	Executing Agency	15	10	8 (3F/5M)	80
UNEP	Implementing Agency	6	6	6(5F/1M)	100
Implementing Partners See list under ‘Sampling Strategy’ Section (above)	Partners	Not sure	8	4(4F)	50
Total		Not sure	Not sure	24	18(12F/6M)

Figure 1: Terminal Evaluation Process



Secondary data sources

18. Secondary data was collected via in-depth review of relevant project documents. Documents reviewed were grouped into three general categories: a) Project design documents – including, inter alia; (i) GEF-5 CEO Endorsement Request, Project Implementation Plan, Climate Change Focal Area objectives (of the GEF), the country’s National Climate Change Response Strategy, The Second National Communication Report; (b) Project Management related documents including the Inception Workshop Report, Annual workplans and reports, including the Project Implementation Reports (PIR), minutes of the PSC meetings, Tracking Tools and audit reports and; (c) Project outputs/reports including the TNC and BUR documents.

19. **Reporting Phase:** A preliminary findings note was prepared and submitted (PowerPoint) to share preliminary findings after data collection. The note provided an early opportunity for project partners to reflect on emerging findings and fill any gaps in information. This also facilitated effective participation of the project stakeholders in the evaluation process. This was followed by the production of a draft report containing an executive summary that acted as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table. The report was finalized using feedback obtained from the relevant partners, managed by the UNEP Evaluation Manager. The draft report was also reviewed within the Evaluation Office by a Peer Reviewer, and the findings recorded in Annex 10. An audit trail (respondents' comments table) was written and submitted, showing how comments from the project partners were used to finalize the evaluation report.
20. **Management Response:** Once the TE final report is approved, the UNEP Evaluation Office will guide the project partners to generate a management response. They will discuss the TEs recommendations and lessons learnt and formulate an action plan to implement the recommendations, which will clearly indicate management actions with a compliance assessment plan. This will be followed by corporate reporting on the TE. The ultimate goal is that the findings from this TE, especially the lessons learnt, will be applied to improve project design, implementation and results for the EA and other projects for the GEF partnership.
21. **Limitations in the TE:** Due to COVID-19 restrictions, all data collection was done electronically. To mitigate the challenge, a detailed questionnaire was prepared and shared with respondents ahead of the scheduled discussions. Coupled with an extensive review of a wide range of project reports, this measure has minimised the risk of incomplete data collection.

The project

A. Context

22. The Government of South Africa ratified the UNFCCC in 1997 and the Kyoto Protocol in 2002 and prepared its response in the form of its NCCRS in 2004. The NCCRS was further developed into the more detailed Long Term Mitigation Strategy in 2007 and the NCCRP in 2011. The NCCRP presents the Government's vision for an effective climate change response and the long-term, just transition to a climate-resilient and lower-carbon economy and society.
23. The NCCRP has two specific objectives: a) to effectively manage the inevitable climate change impacts through interventions that build and sustain South Africa's social, economic and environmental resilience and emergency response capacity; and b) to make a fair contribution to the global effort to stabilize GHG concentrations in the atmosphere at a level that avoids dangerous anthropogenic interference with the climate system within a timeframe that enables economic, social and environmental development to proceed in a sustainable manner.
24. South Africa considers the elaboration of NCs as a key instrument to gauge implementation of national policies and strategies related to climate change. Indeed, the country submitted its First National Communication in December 2003 and the Second National Communication in November 2011. Although the level of details of reporting increased steadily over the years, by 2015, the country recognized the need to improve the process further by: a) capturing information at the provincial or district scale rather than at national level, to cater for the extensive territory and a wide diversity of complex climate, socio-economic and natural systems that are difficult to encompass within a single national report; b) to make the process more participatory by involving a broader range local institutions and organizations, in order to increase technical and infrastructural capacities for climate change related activities appropriate for the preparation of NCs.
25. **Barriers addressed by the project:** further improvement of the reporting process was however hampered by scientific, technical and institutional limitations including the following: inadequate capacity for the use of Tier-II methods to produce reliable, well-documented GHG inventory; absence of country-specific emission factors for different sectors; inadequate adoption of multiple Global Climate Models (GCMs) and Regional Climate Models (RCMs) for generating and downscaling climate change projections to the local levels; weak impact assessments at disaggregated levels such as agro-climatic zone, cropping systems, watershed levels, forest and other ecosystem types; inadequate impact assessment for medium-term periods such as to the 2030 time horizon; data limitations for inventory and impact assessment models; absence of models to suit forest types, cropping systems and mountainous regions of South Africa; dearth of information, data and maps for preparation of vulnerability profiles to enable mainstreaming of adaptation in developmental programmes; weak estimation of climate risk related damages and costs; inadequate assessment of sea level rise impact on infrastructure; inadequate involvement of stakeholders at decentralized levels; and weak education and sensitization of the communities, leading to inadequate capacities for enabling adaptation decision making at decentralized levels; insufficient institutional arrangements and organizational structure for sustainably reporting to the UNFCCC.

B. Results Framework

26. The TNC project aimed to strengthen institutional, technical and analytical capacities for monitoring climate change issues and reporting mitigation and adaptation measures and its impacts in South Africa. The **overall objective** was: to prepare the TNC and first BUR of South Africa to enable the country to fulfil its obligations under the UNFCCC, in accordance with Articles 4.1 and 12.1 of the Convention while strengthening its capacity to integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the NCCRS.
27. The Project Results Framework stated the project purposes as: a) to strengthen the capacity of the country to deal with climate change issues; b) to integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the NCCRS and; c) to produce good quality TNC and BUR-1 reports. By the time the Mid-Term Review was undertaken in 2018, **specific objectives** had been defined, as follows:
- a) To undertake national stocktaking and stakeholder consultations to review work carried out under previous climate change Enabling Activities, identify gaps and propose relevant activities to be undertaken within the framework of preparing the TNC and BUR-2 under the UNFCCC.
 - b) To prepare the TNC and BUR-2 of South Africa (and eventually BUR-3).
28. The project objective was to be achieved through 7 components¹³, 33 outcomes and 91 outputs (Table 3). Under component 1 (South Africa’s National Circumstances), the project would update the information provided in the Second National Communication (SNC) up to the year 2012, emphasizing sectors with immediate relevance to climate change. This was expected to improve understanding of the country’s vulnerability, its adaptive capacity and opportunities for mitigation. Under the outcome, the project was also expected to clarify the role of South Africa within the regional context on issues relating to climate change.

Table 3: Project Outputs and Outcomes at Project Design¹⁴

Outcome	Outputs
Component 1: National Circumstances for the Third National Communication to the UNFCCC prepared and approved by Government	
1.1 Review and update National Circumstances of South Africa with regard to climate change challenges for the TNC and the BUR-3	1.1.1 Detailed report of national and regional priorities to address climate change concerns within the framework of national development programmes, plans and strategies 1.1.2 In-depth description of the geography, climate, environmental and socio-economic profiles of the country with emphasis on sensitivity to climate change and climate variability 1.1.3 Thorough description of the Institutional arrangements adopted for producing the third national communications including those related to the compilation of GHG inventories and the preparation of Biennial Update Report 1.1.4 Description of the national Institutional framework for the effective implementation of measures to meet the objectives of the Convention 1.1.5 Third National Communication introduced, explained and launched with

¹³ Component 6 has 8 sub-components

¹⁴ Source – Project Implementation Plan and CEO Endorsement.

Outcome	Outputs
	relevant stakeholders 1.1.6 Biennial Update Report introduced, explained and launched with relevant stakeholders
Component 2. GHG Inventories for the Third National Communication to the UNFCCC prepared and officially approved	
2.1 Information on national GHG inventory and trends provided for the period 2011 – 2012 for inclusion in TNC	2.1.1 Activity data (AD) collected and formatted for use in UNFCCC software for IPCC sectors (a) Energy (b) Industrial Production and Other Product Use (c) Agriculture, Forest and Land-Use Change (AFOLU), and (d) Waste 2.1.2 All AD are quality controlled and archived. 2.1.3 Data gaps identified and processes started and completed for filling these gaps (new surveys, etc.). 2.1.4 All emission factors (EFs) are reviewed for their appropriateness for South Africa before adoption. 2.1.5 All inappropriate EFs are modified to suit national circumstances as far as possible 2.1.6 Inventory of emissions compiled for the IPCC sectors listed in 2.1.1 2.1.7 All AD, EFs and compilations documented and archived
2.2 Quality of inventory improved from Tier 1 to Tier 2	2.2.1 Computation of emissions over the full time period harmonized with same methodology for a better trend analysis 2.2.2 Methodologies for Tier II adopted wherever AD is of the detailed level of disaggregation and documented in an inventory report. 2.2.3 Amended improved emission factors have been adopted and documented 2.2.4 QA/QC, Uncertainty analysis and Key Category Analysis performed as per Good Practice Guidance and reported 2.2.5 Further improvement areas identified and a National Inventory Improvement Plan prepared for action until the next inventory compilation
2.3 Institutional arrangements put in place, and institutional capacity enhanced to facilitate the preparation of national GHG inventories on a regular basis	2.3.1 A National Inventory Management System made operational, through the active participation of strengthened sectoral ministries and institutions, and supported by a network of research institutions established 2.3.2 QA/QC procedures are established and made functional
Component 3: Measures to adapt to climate change for the Third National Communication to the UNFCCC outlined and officially approved	
3.1 Better understanding of climate change, climate variability and the resulting sea level rise on a finer spatial resolution.	3.1.1 Detailed analysis of historical climate data to detect changes at the provincial and community levels and determine current trends 3.1.2 Sea level data are analysed and the trend available at different locations around the country

Outcome	Outputs
3.2 Improved climate change and sea level rise scenarios for improved projections at the spatial and temporal and geographical scales	3.2.1 The latest GCMs and RCMs are tested and the best used for projecting scenarios for vulnerability and adaptation assessments. 3.2.2 Improved climate change and sea level rise scenarios are generated at the local, national and regional levels for different time steps up to the 2100-time horizon. 3.2.3 Projected Sea level rise are available for impact assessment on the coastal zone and other related activities
Outcome 3.3 Socio-economic scenarios developed, approved by government and made available for use when implementing the Convention	3.3.1 Socio-economic scenarios developed for use in the evaluation of adaptation measures 3.3.2 Risk assessments made and vulnerability indices developed for most probable climatic risks and extremes
3.4 Improved vulnerability and adaptation assessments of key socio-economic sectors	3.4.1 In-depth impact assessments of climate change on the Agriculture, Water Resources, Forest and other terrestrial Ecosystems, Coastal Zone and Health sectors are completed 3.4.2 Adaptation assessments including the socio-economic aspects for the sectors
3.5 More informed decisions based on V&A outputs to allow for mainstreaming of adaptation to climate change into development plans which are endorsed by government	3.5.1 The more reliable vulnerability and adaptation assessments enabled the development of an adaptation strategy based on prioritization of key activities within sectors 3.5.2 Spatial vulnerability profiles in GIS format produced at local and national levels based on vulnerability indices for different sectors and sub sectors produced
3.6 More appropriate planning for concrete actions to adapt to climate change impacts	3.6.1 A robust national adaptation plan with both short term and long-term strategies is ready for implementation and taking into special consideration the poorer rural population as well as the economic engines 3.6.2 A series of project briefs prepared and ready for development for funding
Component 4: Measures to mitigate climate change	
4.1 Socio-economic scenarios developed, endorsed by government and made available for use in mitigation assessments	4.1.1 New improved baselines created for emitting sectors 4.1.2 Emissions projected to the 2050 horizon for the business as usual and new socio-economic scenarios
4.2 Improved up to date mitigation assessments completed for key emitting sectors and	4.2.1 Mitigation assessments completed for the Energy, Industrial Processes and Other Product Use, AFOLU and Waste sectors, including financial needs for implementation

Outcome	Outputs
approved by government	
4.3 Carbon sequestration potential evaluated for the country and endorsed by government.	4.3.1 The sequestration potential of the country, with emphasis in the AFOLU sector and through Carbon Capture and Storage in the energy sector is determined
4.4 Mitigation measures mainstreamed in national and local development plans and strategies for the consideration of the government	4.4.1 A strategy for implementing the most prominent mitigation actions worked out in consultation with a wide group of stakeholders, including the private sector. A National mitigation plan is produced for guiding the way forward
4.5 Effective and coordinated strategy in place for implementation of concrete GHG mitigation activities consistent with national development priorities	4.5.1 A series of GHG mitigation project briefs prepared and ready for further development into full project proposals for funding
Component 5: Other information relevant to the Convention	
5.1.1 Improved assessment of technology needs for implementing the Convention and approved by government	5.1.1 Technology Needs Assessment consistent with national strategies and plans to implement the Convention; 5.1.2 In-depth analysis and prioritization of technologies based on costs, adoption rates and other factors; 5.1.3 A Technology Action Plan is prepared, the objective being successful technology transfer for both mitigation and adaptation
5.2 Enhanced research and systematic observation systems, thus enabling the country to better meet its commitments	5.2.1 Research and systematic observation needs identified and prioritized for implementation 5.2.2 Projects on climate research to improve assessment of impacts and adaptation 5.2.3 Research activities to develop country specific emission factors for improving quality of inventory 5.2.4 South Africa has collaborated in regional and international research and systematic observation networks for combating climate change
5.3 Better understanding of Education, Training and Public Awareness needs	5.3.1 Detailed plan for inclusion of climate change in formal educational curricula and vocational training prepared. 5.3.2 Level of awareness of different segments of the population evaluated and remedial actions identified to inform and educate them and to influence their behavioural choices 5.3.3 An action plan to prepare awareness materials for effective sensitization of the general public ready for action

Outcome	Outputs
5.4 Capacity Building needs for reporting to the UNFCCC and implement the Convention clearly identified and endorsed by government	5.4.1 An exhaustive list of areas requiring capacity building is produced 5.4.2 A plan of action is ready for implementation and prioritizing capacity building in line with most urgent needs
Component 6: Biennial Update Report to the UNFCCC prepared and approved by Government by June, 2015: <i>Subcomponent 6.1: National Circumstances</i>	
6.1 Write-up on the National Circumstances of South Africa with respect to climate change issues reviewed, updated and officially approved	6.1.1 National and regional priorities to address climate change concerns within the framework of national development programmes, plans and strategies reported in detail 6.1.2 Information on the geography, climate, environmental and socio-economic profiles of the country with emphasis on sensitivity to climate change and climate variability described and documented 6.1.3 Thorough description of the institutional arrangements adopted for producing the Biennial Update Report regularly 6.1.4 Biennial Update Report introduced, explained and launched with relevant stakeholders 6.1.5 Level of support received for preparation of BUR well reported
<i>Sub-component 6.2: National inventory of anthropogenic emissions by sources and removals by sinks for all GHGs</i>	
6.2 a: Information on national GHG inventory and trends provided for the period: 2001 - 2011 for inclusion in the BUR-1	6.2a.1 Activity data (AD) collected and formatted for use in UNFCCC software for IPCC sectors (a) Energy (b) Industrial Production and Other Product Use (c) Agriculture, Forest and Land-Use Change (AFOLU), and (d) Waste 6.2 a.2 All AD quality controlled and archived 6.2a.3 Data gaps identified and processes started and completed for filling these gaps (new surveys, etc.) 6.2a.4 All emission factors (EFs) are reviewed for their appropriateness for South Africa before adoption. 6.2a.5 All inappropriate EFs are modified to suit national circumstances as far as possible 6.2a.6 Inventory of emissions compiled for the IPCC sectors listed in 6.2.1 6.2a.7 All AD, EFs and compilations documented and archived
<i>Sub-component 6.2: Information on climate change mitigation actions</i>	
6.2b Quality of inventory improved from Tier 1 to Tier 2	6.2b.1 Computation of emissions over the full time period harmonized with same methodology for a better trend analysis 6.2b.2 Methodologies for Tier II adopted wherever AD is of the detailed level of disaggregation and documented in an inventory report. 6.2b.3 Amended improved emission factors have been adopted and documented 6.2b.4 QA/QC, Uncertainty analysis and Key Category Analysis performed as per Good Practice Guidance and reported 6.2b.5 Further improvement areas identified and a National Inventory Improvement Plan prepared for action until the next inventory compilation

Outcome	Outputs
6.2c Institutional arrangements put in place and officially endorsed as well as institutional capacity enhanced to facilitate the preparation of GHG inventories on a regular basis	6.2c.1 A National Inventory Management System made operational, through the active participation of strengthened sectoral ministries and institutions, and supported by a network of research institutions established 6.2c.2 QA/QC procedures are established and made functional
6.2d GHG emission projections are generated for 2020 to 2050 and endorsed by Government	6.2d.1 Projected emissions for the period 2020 to 2050 completed and available
<i>Sub-component 6.3: Mitigation Actions</i>	
6.3 Mitigation actions and their impacts, including associated methodologies, assumptions and implementation status are described in accordance with reporting guidelines and approved by government in line with the low carbon development strategy.	6.3.1 Status report on the national arrangements for the implementation of NAMAs including the establishment of a national registry provided 6.3.2 Reporting template for reporting mitigation actions developed and institutionalized 6.3.3 Status of implementation of mitigation actions and results obtained compiled in a tabular format and reported 6.3.4 Status report on participation in international carbon market mechanisms prepared 6.3.5 Establishment of a database on all mitigation actions (policies, measures) containing (a) a description of on-going and planned mitigation actions, including information on the nature of the action, coverage (i.e., sectors and gases); (b) methodologies and assumptions, (c) objectives of actions and steps taken or envisaged to achieve that action 6.3.6 Forecast/projections for business as usual and different socio-economic scenarios for the period 2020 to 2050 completed
<i>Sub-component 6.4: Financial, technical and capacity needs including support needed and received</i>	
6.4 Framework for the continuous assessment and reporting of constraints, gaps and related financial, technical and capacity needs and support needed and received is established and endorsed by government	6.4.1 Financial, technology and capacity building needs for mitigation actions assessed 6.4.2 Information on financial resources, technology transfer, capacity building and technical assistance received from the GEF, Annex II Parties and other developed country Parties, the GCF and multilateral institutions for GHG mitigation activities collected, analyzed and updated. 6.4.3 Report bringing all these elements outlined in 6.4.1 and 6.4.2 above together and helping to match funding opportunities with needs prepared
<i>Sub-component 6.5: Domestic measurement, reporting and verification</i>	
6.5 Domestic MRV arrangements for mitigation actions and	6.5.1 Domestic MRV system developed and made functional 6.5.2 Information on the protocols and operational procedures of the MRV system developed

Outcome	Outputs
its impacts are defined, established and endorsed by government	6.5.3 MRV conducted and reported
<i>Sub-component 6.6: Any other information</i>	
6.6 Information on non-climate related impacts, opportunities and benefits on sustainable development objectives are provided and accepted by government	6.6.1 Report on non-climate related impacts, opportunities and benefits on sustainable Development objectives prepared
<i>Sub-component 6.7: Monitoring, reporting and preparation of financial audits</i>	
6.7 Project is effectively monitored and implemented	6.7.1 Project financial and progress reports prepared and submitted promptly
<i>Sub-component 6.8: Publication and submission of BUR-1</i>	
6.8 Officially approved BUR is submitted to UNFCCC	6.8.1 South Africa's first BUR prepared, reviewed, published and submitted to UNFCCC in line with reporting guidelines
Component 7: Other activities	
7.1 Preparation of GHG inventory report prepared and approved by government	7.1.1 The GHG inventory report is prepared in electronic and hard copies for wide circulation
7.2 TNC report prepared and approved by government by June, 2017	7.2.1 The TNC report is prepared in electronic and hard copies for wide circulation
7.3 Synthesis and Translation of GHG Inventory report and TNC	7.3.1 The GHG inventory and TNC are summarized in a format easily understood by the general public for their information 7.3.2 Awareness creation materials covering GHG inventories and other components of the TNC prepared and translated into national languages for outreach and awareness creation activities

29. Under **Component 1** (National Circumstances) the project would describe the country's development priorities, objectives and circumstances, in reference to climate change. It would also describe the existing institutional arrangements for the preparation of communications to the UNFCCC. Under **Component 2** (National GHG Inventory), the project would update the inventory of GHG emissions for the period 2011 to 2012, using Tier II methodologies. It was therefore designed to re-compute emissions that had been compiled using the 1996 IPCC Guidelines, using the 2006 Guidelines for the energy, industrial processes, agriculture, forest and land-use change and waste management sectors.

Under the outcome associated with Component 2, the project intended to develop a National GHG inventory system, establish National Activity Data and Emissions Factors and provide quality control to reduce uncertainty in the GHG estimates. It was expected to put in place institutional arrangements and enhance institutional capacity to facilitate the preparation of national GHG inventories on a regular basis.

30. Under **Component 3** (Measures to Adapt to Climate Change), the project was designed to improve the assessment of climate change impacts and vulnerability of different socio-economic sectors and resources (such as ecosystems and cropping systems) at national and/or decentralized levels. This was to be achieved by adopting multiple climate model projections and impact assessment models, based on the availability of capacity and resources. The project was therefore expected to provide finer spatial resolution data/information on climate change, climate variability and the resulting sea level rise; and, improved climate change and sea level rise scenarios for improved projections at the spatial, temporal and geographical scales. It intended to develop socio- economic scenarios and obtain endorsement by government and provide improved vulnerability and adaptation assessments of key socio-economic sectors. It was expected to support more informed decisions based on vulnerability assessment outputs to allow for mainstreaming of adaptation to climate change into development plans and more appropriate planning for concrete actions to adapt to climate change impacts. It was designed to develop adaptation strategies and practices, focused on the short (2030) and medium (2050) terms. Long term (2100) analysis was to be included for infrastructural development and in scenarios where sea level rise was considered a possible impact factor.
31. Under **Component 4** (Measures to Mitigate Climate Change), the project was designed to update mitigation analysis using advanced methodologies and emission factors. The project was therefore expected to develop socio-economic scenarios, endorsed by government, for use in mitigation assessments. It was intended to provide up to date mitigation assessments for key emitting sectors and evaluate carbon sequestration potential for the country (both data sets endorsed by government). It would then ensure that mitigation measures were mainstreamed in national and local development plans and strategies and provide an effective and coordinated strategy for implementation of concrete GHG mitigation activities, consistent with national development priorities. In addition, the project was expected to develop a set of projects detailing financial, technical or technological development needs to inform potential partners for action towards implementation.
32. Under **Component 5** (Other Information Relevant to the Convention), the project was designed provide other relevant information such as: updated technology needs for implementing the Convention, enhanced research and systematic observation systems, to enable the country to better meet its commitments; improved understanding of Education, Training and Public Awareness needs, and, identified capacity needs for implementing the Convention and reporting to the UNFCCC.
33. Under **Component 6**, the project was expected to generate all the relevant information for the Biennial Update Report and use it write, seek approval and submit the BUR-2 report (an additional BUR-3 was produced).
34. Under **Component 7**, the project intended to use all the relevant information generated via the outcomes associated with Components 1 to 6 to prepare the TNC report and obtain government endorsement before submission to the UNFCCC.

C. Stakeholders

35. Due to the nature of “Enabling Activity” projects, this project did not have ‘direct beneficiaries’. It was however, designed to be highly participatory, involving all the relevant groups of stakeholders in generating quality information for reporting to the UNFCCC. The project was approved in 2014 before gender analysis became mandatory. The project did not undertake a gender analysis to guide its implementation and all the related documents and reports are gender blind.
36. All activities were designed to be implemented by the various **Directorates of the Department of Forestry, Fisheries and the Environment** (formerly the Department of Environmental Affairs), in collaboration with other stakeholders (list outlined in Text Box 1, below). The Directorates and other institutions had high influence and interest in the process of improving the quality of reports to the UNFCCC, in a country-driven approach. They all contributed to the BUR-2, TNC and BUR-3 including all the supporting studies such as greenhouse gas improvement programme (determining country specific emission actors for some of the key categories), climate projections and downscaling modelling, technology needs assessment and the establishment of the MRV system and the finalization and submission of the TNC and BURs 2 and 3.

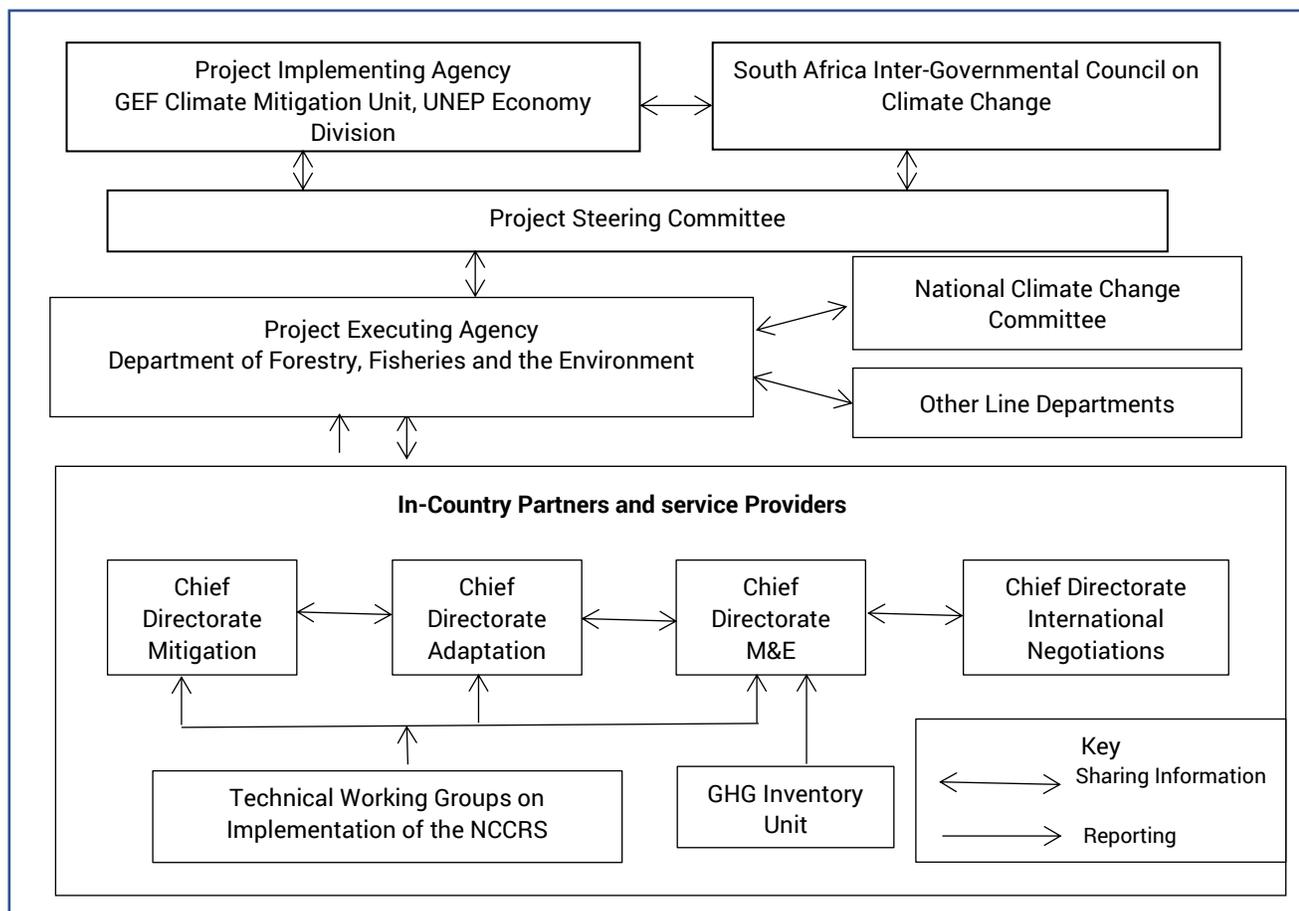
D. Project implementation structure and partners

37. The project’s Implementing Agency was UNEP (Figure 2). The project’s Executing Agency was the DFFE with technical and policy support of the South Africa Inter-Governmental Council on Climate Change, channelled through the Project Steering Committee (PSC). All the relevant Directorates within the DFFE (listed in Text box 1) were engaged in project implementation producing various outputs, in line with their mandates and in collaboration with relevant stakeholders (see Section C). Overall policy guidance was provided by the PSC chaired by the GEF Operational Focal Point, and composed of representatives of the former Departments of Agriculture, Forest and Fisheries, Mineral Resources, National Treasury, Transport (Road, Rail, Air, and Marine), Water Affairs, various research institutes, the Project Coordinator (Secretary), a representative of the Civil Society, a representative of Academia and Women’s Organizations. The National Climate Change Committee had the overall and final decision on technical implementation of the project. Day to day project management was provided by a Project Management Unit (PMU), consisting of a Project Coordinator (head of the PMU), a Project Administrative Assistant, and an Accounting Officer. The PMU provided quarterly technical and financial reports to the PSC, at the national level, and to the Task Manager and the Fund Management Officer in UNEP.

Text Box 1: List of Directorates and other Institutions who participated in the Project Design

- a. Department of Forestry, Fisheries and the Environment (formerly Department of Environmental Affairs) was the Executing Agency responsible for the management and administration of the project.
- b. South African Weather Service was responsible for the production of long-term climate trends and generation of climate change and Sea Level Rise scenarios for impact assessments.
- c. Department of Energy and the Electricity Supply Commission collaborated in the inventory compilation and mitigation action in the energy sector.
- d. Department of Agriculture, Forest and Fisheries collaborated in the inventory, adaptation and mitigation actions in the Agriculture, Forest and Fisheries sectors as appropriate.
- e. Department of Mineral Resources collaborated in the inventory and mitigation actions in the mineral resources sector.
- f. Department of National Treasury was the main collaborator in related fiscal policies and measures.
- g. Agricultural Research Council supported impact assessments, mitigation analysis and derivation of emission factors.
- h. The Council for Scientific and Industrial Research, the Human Sciences Research Council, South African National Energy Research Institute, Department of Science and Technology, Research Institutions, South African National Biodiversity Institute; Sustainability Institute and the Energy Research Centre conducted studies in relation to impact assessments, evaluated adaptation and/or mitigation measures and collaborated in deriving nationally appropriate emission factors for improving the GHG inventory; they evaluated the country's capacity and technological needs for meeting climate change challenges; they led the process of including climate change in tertiary and distance education programmes.
- i. Department of Transport (Road, Rail, Air, and Marine) collaborated in the inventory and mitigation in the transport sector.
- j. Economic Development Department supported the impact assessment and studies on adaptation, mitigation and the green economy.
- k. Department of Cooperative Governance and Traditional Affairs and South African Local Government Association provided support for the impact assessment and studies on adaptation.
- l. Department of Water Affairs supported the impact assessment and studies on adaptation in the water resources sector.
- m. NGOs, CSOs, CBOs and indigenous people acted as partners for informal education and public awareness as well as providing the necessary support for developing community-based adaptation.

Figure 2: Institutional Arrangement



E. Changes in Design during Implementation

38. The project was approved in July 2014 and implementation started in September 2014. Although there was a delay in the first disbursement, the Government of South Africa obtained a grant of US\$ 70,000 from the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) to finance the BUR-1, submitted to the UNFCCC in December 2014. Consequently, the project was modified to produce the TNC and the second BUR (BUR-2). This required four additional assessments¹⁵ to inform the scope of the GHG, mitigation and adaptation Chapters for BUR-2. This decision was approved by UNEP and the PSC. Further delays in implementation occurred due to staff movements. By mid-2016, the Climate Change Monitoring and Evaluation Chief Directorate lost key project personnel, including the Climate Change Information Director who was the senior manager responsible for the TNC and BUR-2 as well as 2000-2012 NIR. Other senior members of the government left the project in 2017, including the chief directors of the Directorates of Mitigation, Director of Monitoring and Evaluation, Project Coordinator and the Administrative Assistant. These changes necessitated a one year cost-neutral

¹⁵ The four assessments are: i) South Africa's Projected GHG Emissions Pathways (now completed); ii) National Rainwater Harvesting Strategy (RWH); iii) Assessment of sustainability/ agricultural potential of priority value chains (Climate Smart Agriculture); iv) Effect of Policies & Measures on GHG emissions Reductions (PAMS).

extension, approved via a Project Completion Agreement signed on 4th October 2017, extending the project to October 2019. Furthermore, DFFE decided to use internal resources to develop BUR-2, using government co-finance. It therefore decided, with approval from the GEF and the PSC, to use the funds earmarked for BUR-2 to develop BUR-3.. All three BURs and the TNC have been submitted to the UNFCCC: BUR-2 in December 2016; BUR-3 and TNC in June 2019 and March 2018, respectively.

39. A mid-term review (MTR) was conducted in May 2018, which rated the project as Highly Satisfactory (HS). However, the MTR did not review the project design, so it did not reconstruct the TOC. The HS rating did not therefore, refer to the project design¹⁶. The opportunity was lost for addressing some of the weakness in the TOC and project design as well as addressing gender, human rights and environment and social safeguards.

F. Project Financing

40. The project financing approved by the GEF at project design was **US\$ 4,006,650**. The Government of South Africa committed a co-finance of US\$ 1,255,000 while UNEP's committed an in-kind co-financing of US\$ 96,000. The overall budget was estimated at US\$ 5,357,650. As reported in the above section, the project mobilized additional US\$ 70,000 co-finance grant from the GiZ. The project cost at design, broken down per funding source and per component is presented in Tables 4 and 5.

Table 4: Estimated Project Financing by Source

Origin of the fund	2014	2015	2016	2017	Total	%
Cost to GEF Trust Fund	962,000	1,803,850	988,300	252,500	4,006,650	74.8
Government in-cash contribution	208,500	420,000	418,000	208,500	1,255,000	23.4
UNEP in-kind contribution	16,000	32,000	32,000	16,000	96,000	1.8
Total cost	1,186,500	2,255,850	1,438,300	477,000	5,357,650	100

Table 5: Estimated Project Financing by Component

Project Component	GEF Grant Amount (\$)	Confirmed Co-financing (\$)
1. National Circumstances for the Third National Communication to the UNFCCC prepared and approved by Government	38,185	10,000
2. GHG Inventories for the Third National Communication to the UNFCCC prepared and officially approved	987,290	430,000
3. Measures to adapt to climate change for the Third National Communication to the UNFCCC outlined and officially approved	919,875	235,000
4. Measures to mitigate climate change	750,000	250,000
5. Other information relevant to the Convention	472,000	80,000
6. Biennial Update Report to the UNFCCC prepared and approved by Government	350,000	150,000

¹⁶ The MTR report states that the project design was not reviewed during the MTR because the MTR consultant had participated in the project design.

7. Other Activities	298,500	100,000
Sub total	3,815,850	1,255,000
Project Management Cost	190,800	96,000
Total Project Costs	4,006,650	1,351,000

41. The Theory of Change (TOC) has been reconstructed to enable a meaningful results-focused evaluation that is consistent with international, GEF, UN Evaluation Group (UNEG) and UNEP norms and standards, presented in Table 6 and Figure 3. The justification for the reconstruction is presented in Table 7. Although the TE guidelines do not require inclusion of activities in the refined results-chain, it is deemed necessary in this case – due to the fact that in the original design, most outcomes and outputs had been cast at the activity level. Not capturing these activities in the reconstructed TOC might give the impression that this is a new project. The reconstructed TOC identifies three outcomes which South Africa intends to achieve over time, and to which this project contributes¹⁷. Given the GEF guidance (2017), the evaluation is required to provide an explicit TOC during the evaluation. However, the Evaluation Team recognises the concerns of the Executing Agency that the outcomes described in the RTOC (in text and diagram in Figure 3) may only be achievable over time and beyond the end of this project.

- South Africa has ***improved standards of reporting to the UNFCCC*** by generating and using better quality and quantity of information for the TNC, BUR-2 and BUR-3 (producing knowledge based TNC and BURs).
- SA ***has clear institutional arrangement and systemic capacities*** to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels.
- ***Mitigation and adaptation measures are*** integrated into national and sectoral development plans and priorities (through the implementation of the national climate change response strategy (NCCRS)).

42. Collectively, these outcomes would directly contribute to three intermediate states: a) South Africa has effective strategies and technologies to implement economic activities and development processes with lower GHG emissions; b) the country has better/ more effective adaptation plans and strategies; c) the country has systemic capacity¹⁸ to sustain implementation of strategies and monitoring of climate change dynamics. Consequently, if the drivers described below are in place and the assumptions identified below enable implementation and sustained action, the results would, in the long-term, lead to reduced GHG emissions and more resilient economies and livelihoods (impacts), contributing to Sustainable Development Goal 13¹⁹ (Take urgent action to combat climate change and its impacts) with benefits to goals 7, 8, 9 and 11²⁰.

¹⁷ Given the GEF guidance (2017¹⁷), the evaluation is required to provide an explicit TOC during the evaluation. However, the Evaluation Team recognises the concerns of the Executing Agency that the outcomes described in the TOC (in text and diagram in Figure 3) may only be achievable over time and beyond the end of this project.

¹⁸ Refers to broader strategic capacity, re: i) Capacity to **conceptualize** and formulate policies, legislations, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; ii) Capacity to **implement** policies, legislation, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iii) Capacity to **engage and build consensus** among all stakeholders to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iv) Capacity to **mobilize information and knowledge** to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; v) Capacity to **monitor, evaluate, report and learn in the process** of mainstreaming climate risks into development processes to reduce GHG emissions while increasing resilience

¹⁹ SDG 13, in particular to performance against indicators 13.3 “Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning” and 13.b “Promote mechanisms for raising capacity for

43. The drivers (i.e. contributing conditions that are largely within the sphere of influence of the project), necessary to ensure that results are translated to intermediary conditions are: a) Adequate systems to enable all relevant stakeholders to participate in the generation and use of evidence-based environmental information in monitoring and reporting climate change issues to the UNFCCC; and b) Adequate resources to enable effective implementation of the National Climate Change Response Strategy and the Long-term Adaptation Scenarios Project (funds/ personnel/institutions).
44. The following assumptions (i.e. contributing conditions that lie outside the sphere of influence of the project) underlie the logic: a) Relevant groups of stakeholders sustain commitment to the project and have the means to participate; b) Private sector/industry have high quality data related to emissions and willingly share it; and c) Capacity developed in government can be sustained/ no loss through high staff turnover. This TOC captures the intended causality of the intervention at the time of its formal approval, including the formal revisions. The new results present a clarification of the intended progress, rather than a change in the level of ambition at design stage. Additionally, the reconstructed TOC is closely aligned with the expected results reflected in the TOC of the umbrella Enabling Activities Global Proposal²¹.

Table 6: Reconstructed Outcomes, based on the Project’s Outputs and Activities

Outcome 1: South Africa has <i>improved quality and quantity of information and raised its standards of reporting</i> to the UNFCCC via up-to date and knowledge based TNC and BUR-2	
Outputs	Activities
1.1; National Circumstances for the Third National Communication to the UNFCCC and BUR-2 ready and approved by Government	<p>1.1.5 Launch the processes of the Third National Communication and Biennial Update Reports ensuring participation by all relevant stakeholders</p> <p>1.1.1 Assess and provide detailed report of national and regional priorities to address climate change concerns within the framework of national development programmes, plans and strategies</p> <p>1.1.2 Provide in-depth description of the geography, climate, environmental and socio-economic profiles of the country with emphasis on sensitivity to climate change and climate variability</p>
1.2; Information on national GHG inventory and trends provided for the period 2011 – 2012 for inclusion in TNC and BUR-2, using Tier 2 and/or 3 methodologies	<p>a) Assess the suitability of Tier 1 and Tier 2 methodologies for the various assessments and recommend the best options for use in all the relevant assessments (noting that methodologies for Tier II will be adopted wherever Activity Data (AD) is of the detailed level of disaggregation and documented in an inventory report.</p> <p>b) Collect activity data (AD) and format it for use in UNFCCC software for IPCC sectors (a) Energy (b) Industrial Production</p>

effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities.

²⁰ SDG 7: Affordable and Clean Energy; SDG 8 - Decent Work and Economic Growth; SDG 9 - Industry, innovation and infrastructure; SDG 11 - Sustainable Cities and Communities; SDG 12 – Responsible Consumption and Production

²¹ GEF Project ID 10167: Umbrella Programme for Preparation of National Communications (NCs) and Biennial Update Reports (BURs) to the UN Framework Convention on Climate Change (UNFCCC); UNEP.

	<p>and Other Product Use (c) Agriculture, Forest and Land-Use Change (AFOLU), and (d) Waste</p> <ul style="list-style-type: none"> c) Provide quality control for the AD and ensure it is archived. d) Identify data gaps and facilitate provision of missing data (new surveys, etc.). e) Review all emission factors (EFs) for their appropriateness for South Africa, modify them to suit national circumstances as far as possible f) Complete inventory of emissions using modified/appropriate EF for the key sectors (a) Energy (b) Industrial Production and Other Product Use (c) Agriculture, Forest and Land-Use Change (AFOLU), and (d) Waste – document and archive results g) Undertake a QA/QC, uncertainty analysis and Key Category Analysis in line with the UNFCCC Good Practice Guidance; produce and disseminate report h) Identify areas for further improvement on inventory practices and methodologies and prepare a National Inventory Improvement Plan for action until the next inventory compilation
<p>1.3. Measures to adapt to climate change to be included in the Third National Communication to the UNFCCC and BUR-2 outlined and officially approved</p>	<ul style="list-style-type: none"> a) Activities to bring about better understanding of climate change, climate variability and the resulting sea level rise on a finer spatial resolution: <ul style="list-style-type: none"> i. Test the latest GCMs and RCMs, select the appropriate ones to be used to project scenarios for vulnerability and adaptation assessments. ii. Undertake detailed analysis of historical climate data to detect changes at the provincial and community levels and determine current trends iii. Analyse sea level data and identify trend for different locations around the country for different time steps up to the 2100-time horizon. b) Activities to develop and obtain government approval for socio-economic scenarios: <ul style="list-style-type: none"> i) Develop socio-economic scenarios for use in the evaluation of adaptation measures, obtain government endorsement ii) Undertake risk assessments and develop vulnerability indices for most probable climatic risks and extremes c) Activities to improve vulnerability and adaptation assessments of key socio-economic sectors; <ul style="list-style-type: none"> i) Undertake in-depth impact assessments of climate change on the Agriculture, Water Resources, Forest and other terrestrial

	<p>Ecosystems, Coastal Zone and Health sectors</p> <ul style="list-style-type: none"> ii) Undertake adaptation assessments including the socio-economic aspects for the sectors; iii) Develop and store in a GIS system spatial vulnerability profile at local and national levels based on vulnerability indices for different sectors and sub sectors
1.4; Measures to mitigate GHGs to be included in the TNC and BUR-3 approved	<ul style="list-style-type: none"> a) Develop socio-economic scenarios and obtain endorsement by government and relevant stakeholders and avail them for use in mitigation assessments b) Use the approved scenarios to update the baselines values for emitting sectors, projecting them to the 2050 horizon for the business as usual and new socio-economic scenarios c) Undertake mitigation assessments for the key emitting sectors – Energy, Industrial Processes and Other Product Use, AFOLU and Waste sectors with projections to 2050 d) Undertake an assessment of sequestration potential of the country, with emphasis on the AFOLU sector and through Carbon Capture and Storage in the energy sector e) Obtain an endorsement for the adaptation and mitigation measures from government and other relevant stakeholders
1.5; TNC and BUR-3 reports produced and endorsed by the Government and the Secretariat of the UNFCCC;	<ul style="list-style-type: none"> a) Preparation of GHG inventory report GHG inventory report prepared and approved by government b) TNC report prepared and approved by government by June, 2017 c) Synthesis and Translation of GHG Inventory report and TNC
<p>Outcome 2: <i>Mitigation and adaptation measures are integrated into national and sectoral development plans and priorities</i> through the implementation of the national climate change response strategy (NCCRS)</p>	
Outputs	Activities
2.1: A robust national adaptation plan with both short term and long term strategies ready - developed using the information generated under outcome 1 – (takes into consideration all relevant sectors of economic development and the needs of vulnerable groups of the population)	<ul style="list-style-type: none"> a) Using relevant information generated by all the assessments, facilitate a participatory process to identify opportunities and actions necessary to strengthen adaptation in the implementation of the National Climate Change Response Plan; b) Prioritize the actions, closely coordinating with the work being done in the country on climate change (adaptation). c) Facilitate the integration of prioritized adaptation interventions in the implementation of the National Climate Change Response Plan
2.2: GHG mitigation and adaptation project briefs prepared and ready for further	<ul style="list-style-type: none"> a) Using relevant information generated by all the assessments, facilitate a participatory process to identify opportunities and actions necessary to strengthen mitigation actions in the

development into full project proposals for funding	<p>implementation of the National Climate Change Response Plan;</p> <p>b) Prioritize the actions, closely coordinating with the work being done in the country on climate change (mitigation).</p> <p>c) Facilitate the integration of prioritized mitigation interventions in the implementation of the National Climate Change Response Plan</p>
Outcome 3: RSA <i>has clear institutional arrangement and systemic capacities to sustain</i> knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels	
Outputs	Activities
3.1: Ideal institutional arrangements for climate monitoring and reporting described – that allows multi-level participation and regular production and submission of high-quality reports to the UNFCCC (National Communications, BUR)	<p>a) Undertake a participatory analysis of current institutional arrangements for monitoring and reporting of climate change and GHG emissions, identify gaps and generate recommendations for improvements</p> <p>b) Submit recommendations to government for endorsement and budgeting</p> <p>c) Implement recommendations – and establish the system, including establishing a National Inventory Management System</p>
3.3: Strategy ready and approved by government for boosting institutional capacity for reporting to the UNFCCC	<p>a) Undertake capacity needs assessment for the relevant institutions, identify capacity gaps;</p> <p>b) Design a strategy to bridge the capacity gaps with a timeline and budget</p> <p>c) Obtain approval for the capacity building strategy and identify sources of funds to implement it.</p>
3.4: A Technology Action Plan ready and approved by government (to facilitate successful technology transfer for both mitigation and adaptation)	<p>a) Undertake Technology Needs Assessment for both mitigation and adaptation, consistent with national strategies and plans to implement the Convention;</p> <p>b) Prioritize technologies based on costs, adoption rates and other factors and prepare Technology Action Plan;</p>
3.5: Domestic MRV arrangements for mitigation actions and its impacts are defined, established and endorsed by government	<p>a) Develop a domestic MRV system and assess the capacity and institutional needs for its application</p> <p>b) Undertake the relevant assessments and provide information on the protocols and operational procedures of the MRV system</p> <p>c) Conduct MRV and produce regular reports</p>
3.6: A system of research and systematic observation developed and endorsed by government and the research community – to	<p>a) Assess research and systematic observation needs, prioritize actions for implementation, including activities to develop country specific emission factors for improving quality of</p>

	<p>inventory</p> <p>b) Prepare strategies/projects to raise funds to finance the priority research subjects</p> <p>c) Facilitate the relevant departments to participate to collaborate in regional and international research and systematic observation networks for combating climate change</p>
<p>3.7: A strategy for climate change education, training, public awareness and social learning ready and endorsed by government</p>	<p>a) Undertake an assessment of the levels of awareness on climate issues by different segments of the population and use the findings to design an action plan to boost awareness;</p> <p>b) Prepare an action plan for implementing the strategy, including a detailed plan for inclusion of climate change in formal educational curricula and vocational training.</p> <p>c) Obtain endorsement by relevant stakeholders</p> <p>d) Identify sources of funds to implement the plan</p>

Figure 3: Reconstructed Theory of Change at Terminal Evaluation

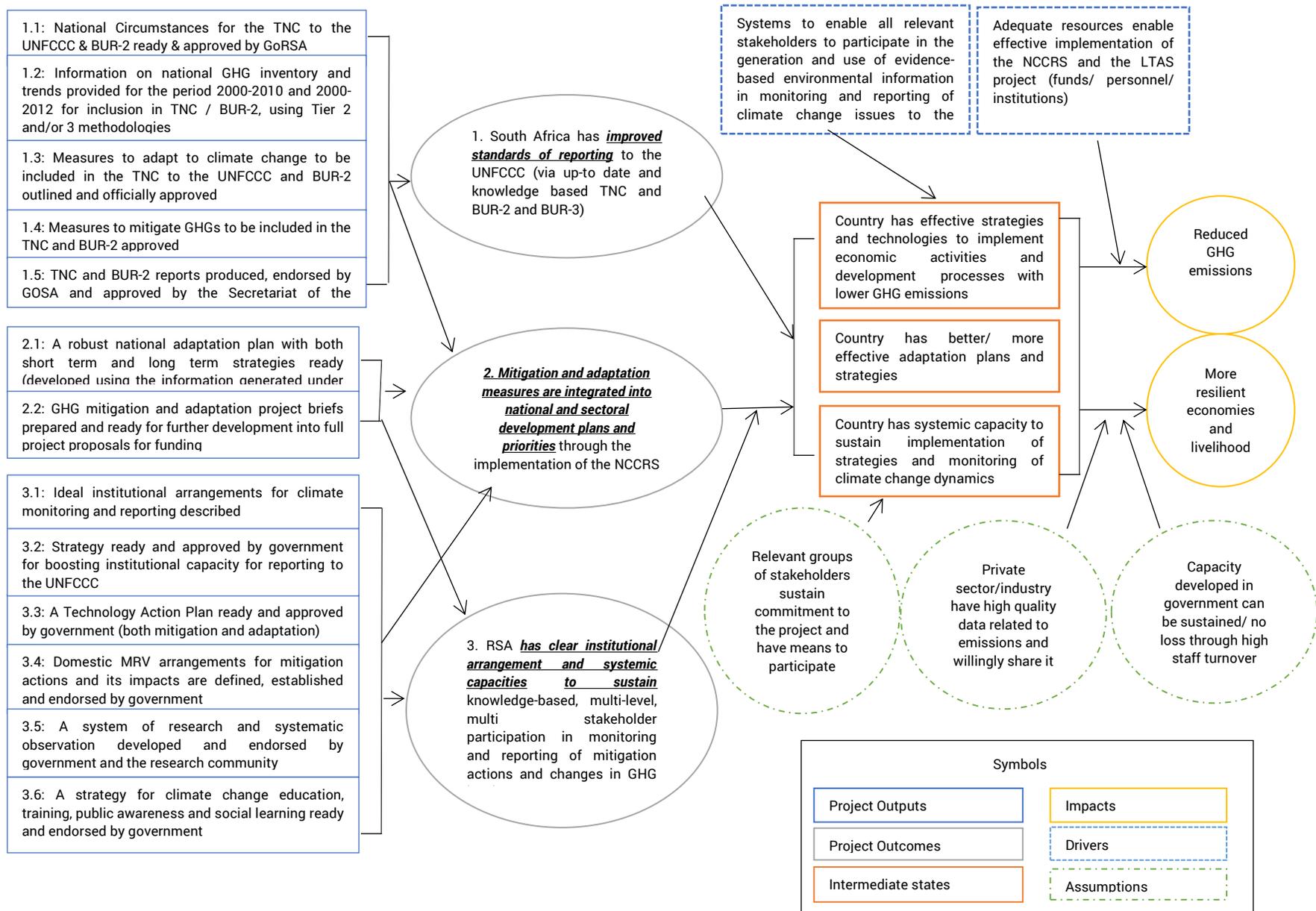


Table 7: Justification for Reformulation of Results Statements

Formulation in original project document(s)	Formulation for Reconstructed TOC at Evaluation Inception (RTOC)	Justification for Reformulation
<p><u>LONG TERM IMPACT</u></p> <p>TNC & BUR-2 for South Africa prepared, approved and submitted to the COP of the UNFCCC and capacity of South Africa strengthened to integrate climate change into national and sectoral development plans and priorities</p>	<p>Reduced GHG emissions and more resilient economies and livelihoods</p>	<p>Production of TNC and BUR-2 (including approval and submission) are outputs per the UNEP definition of various results in the TOC guidelines²². Capacity of South Africa strengthened to integrate climate change into national and sectoral development plans and priorities – is an intermediate state which would lead to impacts.</p>
<p><u>INTERMEDIATE STATES:</u> None had been identified</p>	<ol style="list-style-type: none"> 1) South Africa has effective strategies and technologies to implement economic activities and development processes with lower GHG emissions: 2) The country has better/ more effective adaptation plans and strategies; 3) The country has systemic capacity²³ to sustain implementation of strategies and monitoring of climate change dynamics. 	<p>The use of the outputs and outcomes delivered by the project would lead to more effective adaptation and mitigation strategies, and overall capacity to implement the strategies and monitor climate change. These would lead to the overall impacts stated above (reduced GHG emissions and more resilient economies and livelihoods). It is noted that the project has no control over the <u>use</u> of its outputs and the achievement of outcomes, so it cannot be held to account for the intermediate states and impacts. However, the project management systems put in place, participation of a broad spectrum of relevant stakeholders, and the socio-political context of the project is likely to promote the uptake of the outputs and outcomes, making it very likely that the stated intermediate states</p>

²² a) Outputs refer to availability of goods and services to intended beneficiaries; b) outcomes refer to changes in stakeholder behaviour; c) Intermediate states refer to changes in capacity at the societal level or changes in individual, group or organizational behavior resulting from the application of capacities acquired at the individual and institutional level. c) Impacts are long lasting, collective change of state.

²³ Refers to broader strategic capacity, re: i) Capacity to **conceptualize** and formulate policies, legislations, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; ii) Capacity to **implement** policies, legislation, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iii) Capacity to **engage and build consensus** among all stakeholders to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iv) Capacity to **mobilize information and knowledge** to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; v) Capacity to **monitor, evaluate, report and learn in the process of** mainstreaming climate risks into development processes to reduce GHG emissions while increasing resilience

		will indeed be achieved and make significant contributions to the impacts.
<p>PROJECT OUTCOMES The project outcomes were aligned with the chapters and sub-chapters of the TNC and BUR Template – resulting in complex design with 7 components and 8 sub-components (under component 6), 33 outcomes and 91 outputs.</p>	<p>d. South Africa has <i>improved standards of reporting</i> to the UNFCCC via up-to date and knowledge based TNC and BUR-2;</p> <p>e. SA <i>has clear institutional arrangement and systemic capacities</i> to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels;</p> <p>f. <i>Mitigation and adaptation measures are</i> integrated into national and sectoral development plans and priorities (through the implementation of the NCCRS).</p>	<p>Aligning the project components and outcomes to the chapters and sub-chapters of the TNC and BUR Templates resulted in two project design weaknesses, which were nonetheless approved by the GEF and UNEP: a) The TOC was not properly developed. Similarly,²⁴ the results (components, outcomes and outputs) did not comply with the standard UNEP and international results definitions in the TOC Guidelines, with many outcomes set at the equivalent of activities.</p> <p>The reconstructed outcomes capture the changes expected from the use of the project outputs by the relevant stakeholders more succinctly. Furthermore, these outcomes comply with the definitions of results in the UNEP Guidelines of TOC and aligns them closely to the outcomes in the TOC of the mother EA project.</p>
<p>OUTPUTS: - the project components and outcomes were aligned with the chapters and sub-chapters of the TNC and BUR Template – resulting in complex design with 7 components and 8 sub-components (under component 6), 33 outcomes and 91 outputs (see Table 3 for list of 91 outputs).</p>	<p>Outputs under outcome 1 of RTOC 1.1; National Circumstances for the Third National Communication to the UNFCCC and BUR-2 ready and approved by Government 1.2; Information on national GHG inventory and trends provided for the period 2011 – 2012 for inclusion in TNC and BUR-2, using Tier 2 and/or 3 methodologies 1.3. Measures to adapt to climate change to be included in the Third National Communication to the UNFCCC and BUR-2 outlined and officially approved</p> <p>1.4; Measures to mitigate GHGs to be included in the TNC and BUR-3</p>	<p>As stated in the Prodoc at design, many of the outputs refer to activities and tasks. The TOC reduced the output statements from 91 to 14 – without reducing the nature or ambition of the project (see Table 6). It simply removed the activities and tasks from the output statements and combined similar output statements for the TNC and the BURs.</p>

²⁴ Fortunately, the GEF and UNEP have developed a new Template for the Enabling Activities projects to correct the design weakness.

	<p>approved</p> <p>1.5; TNC and BUR-3 reports produced and endorsed by the Government and the Secretariat of the UNFCCC;</p> <p>Outputs under outcome 2 of RTOC</p> <p>2.1: A robust national adaptation plan with both short term and long term strategies ready - developed using the information generated under outcome 1 – (takes into consideration all relevant sectors of economic development and the needs of vulnerable groups of the population)</p> <p>2.2: GHG mitigation and adaptation project briefs prepared and ready for further development into full project proposals for funding</p> <p>Outputs under outcome 3 of RTOC</p> <p>3.1: Ideal institutional arrangements for climate monitoring and reporting described – that allows multi-level participation and regular production and submission of high-quality reports to the UNFCCC (National Communications, BUR)</p> <p>3.2: Strategy ready and approved by government for boosting institutional capacity for reporting to the UNFCCC</p> <p>3.3: A Technology Action Plan ready and approved by government (to facilitate successful technology transfer for both mitigation and adaptation)</p> <p>3.4: Domestic MRV arrangements for mitigation actions and its impacts are defined, established and endorsed by government</p> <p>3.5: A system of research and systematic observation developed and endorsed by government and the research community – to</p> <p>3.6: A strategy for climate change education, training, public awareness and social learning ready and endorsed by government</p>	
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Evaluation Findings

Strategic Relevance

Alignment to UNEP MTS and PoW

45. The project is consistent with the 2014-2017 MTS of UNEP and is linked to Expected Accomplishment 2: Low emission growth - Energy efficiency is improved and the use of renewable energy is increased in partner countries to help reduce greenhouse gas emissions and other pollutants as part of their low emission development pathways. It is supported within the framework of the PoW 2014-2015 Sub-programme 1 on Climate Change: Expected Accomplishment (b) Outputs: (3) - Tools and approaches designed and piloted in countries to develop mitigation plans, policies, measures, and low emission development strategies, and spur investment and innovation within selected sectors in a manner that can be monitored, reported and verified; (4) - Technical support provided to countries and partners to plan and implement sectoral initiatives and to make renewable energy and energy efficiency projects affordable and replicable; (5) - Technical support provided to countries to address UNFCCC monitoring and reporting requirements and to mainstream their results into national development planning processes in collaboration with United Nations Country Teams (UNCTs) and partners.
46. The project design demonstrated clear **strategic relevance**, identifying linkages UNEP's 2014-2017 MTS and Sub-programme 1 of the 2014-2015 PoW on Climate Change. It is in line with Objective 6 of GEF-5's Climate Change Focal Area Strategy and Strategic Programming. The project builds on the work of the First National Communication submitted to the UNFCCC in December 2003 and the Second National Communication in November 2011.

Alignment with GEF/Donor Strategic Priorities

47. The project is in line with Program 5 of GEF-5's Climate Change Focal Area Strategy - Integrate findings of Convention obligations and enabling activities into national planning processes and mitigation targets. It supports the overall goal of the GEF-6 Climate Change Mitigation Program, which is to support developing countries and economies in transition to make transformational shifts towards a low emission development path. It also contributes to GEF-6 Climate Mitigation Strategy objectives 1 and 3: under objective 1 - Promote innovation, technology transfer, and supportive policies and strategies, it contributes to development and demonstration of innovative policy packages and market initiatives to foster a new range of mitigation actions. Under objective 3 - Foster enabling conditions to mainstream mitigation concerns into sustainable development strategies; it contributes to integrate findings of convention obligations and enabling activities into national planning processes and mitigation targets. By supporting MRVs and the production of BURs and TNC, the project facilitates the integration of the reporting and assessment results into the national planning processes and the mainstreaming of mitigation action in support of the Paris Agreement. By providing more accurate information on GHG emissions and vulnerabilities of the economy, natural resources, infrastructure and livelihoods, the project contributes to all other Focal Areas (biodiversity, sustainable forest and land management, management of hazardous and dangerous waste and cross-cutting capacity development).

Relevance to National, Regional and Global Initiatives to Respond to Climate Change

48. The project provides the latest, most accurate information on GHG emissions and vulnerability of the country's assets (natural resources, production systems, economy, physical infrastructure and

livelihoods). This information is based on the latest approved methodologies and the best available science. Providing this information for use in all policies and measures for the relevant sectors at the national, provincial, district municipality and local levels makes the project highly relevant to all initiatives in South Africa that address climate change. The project is considered an implementation process of the National Development Plan (NDP), the National Strategy for Sustainable Development (NSSD), and the NCCRS, and all its related strategies and programmes such as the newly approved National Adaptation Strategy and Nationally Determined Contributions (NDC). The project is relevant to old and new policy instruments such as the Carbon Tax Bill, Carbon Offsets Regulations, GHG Emissions reporting, Climate Change Bill and Pollution Prevention Plan Regulations. It is also relevant to mitigation and adaptation strategies such as the Green Transport Strategy, the post 2015 National Energy Efficiency Strategy for industry; transport; public and commercial and agriculture and all the near-term priority flagship programmes.

49. The expected long-term impacts of the project are to reduce GHG emissions and improve the resilience of economies and livelihoods. This would enable South Africa to make a fair contribution to the global effort to stabilize GHG concentrations in the atmosphere at a level that avoids dangerous anthropogenic interference with the climate system within a timeframe that enables economic, social and environmental development to proceed in a sustainable manner. It would therefore contribute to Sustainable Development Goals 13 - Take urgent action to combat climate change and its impacts, in particular to performance against indicators 13.3 “Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning” and 13.b “Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities. It would also contribute some benefits to goals: 7 (Affordable and Clean Energy); SDG 8 (Decent Work and Economic Growth); SDG 9 (Industry, Innovation and Infrastructure); SDG 11 (Sustainable Cities and Communities); and, SDG 12 (Responsible Consumption and Production).

Complementarity with Other Interventions Considered when Designing and Implementing the Project

50. The project builds on the work of the First National Communication submitted to the UNFCCC in December 2003 and the Second National Communication of November 2011. It also builds on many projects financed by the GEF and other Development Partners (Table 8) addressing climate change, biodiversity, sustainable land and forest management and their interactions with economic development. Collaboration involved: a) contributing co-finance and technical assistance for the production of BUR-1 by GiZ (due to delays in disbursement of project funds); b) sharing of information and technical resources by all other partners.

Table 8: Projects Coordinated with the TNC project

Partnership	Name of Project	Focal Area	Financing Institution
Bilateral	DEA-BMU(GTZ) Climate Change Support Programme	Climate Change	BMU/GTZ (Germany)
	Norwegian Environmental Programme	Environmental Management	Kingdom of Norway
	Urban Environmental Management Programme	Environmental Management	DANIDA (Denmark)
	South Africa-Australia collaboration on the MRV of AFOLU sector	Climate Change	Australian Government

Trilateral	Compilation of the Arid transfrontier conservation cluster integrated tourism development plan	Conservation and Tourism	USAID
Multilateral	National Communications for reporting to the MEAs	Climate change, desertification and Biodiversity	GEF

Rating for Strategic Relevance: SATISFACTORY

Quality of Project Design

In line with the common practice at the time of project design across the GEF Implementing Agencies, project design was framed in a Results Framework that presents a schematic diagram of outputs to outcomes to impacts, without an analysis of assumptions and drivers. The project components, outcomes and outputs are based on the chapters and sub-sections of the TNC and the BUR, rather than on an analysis of causal pathways. Aligning the project components and outcomes to the chapters and sub-chapters of the TNC and BUR templates resulted in two project design weaknesses: a) The TOC was not properly developed. The results (components, outcomes and outputs) did not comply with the standard UNEP definitions in the TOC Guidelines, with many outcomes set at the equivalent of activities. Intermediate states²⁵ and impacts were not identified; b) the project logframe is unnecessarily long and complex with 7 components and 8 sub-components (under component 6), 33 outcomes and 91 outputs²⁶. It is however noted that both UNEP and the GEF approved the project TOC and did not at any stage bring the weaknesses to the attention of South Africa as the applicant. In addition, both UNEP and GEF have already recognized the challenge of aligning the project’s results with the chapters of NCs and BURs, and have updated the template for both.

51. The TE notes that while it was common practice to align project results with the outlines of the NCs and BURs for Small Size Projects (under US\$ one million), the TNC project had a budget of slightly over \$ 4 million; it would have benefitted from a more sophisticated analysis and TOC to support stronger causal logic and a more robust project design. This would have allowed the project design to include interventions (at outcome and output levels) to fully support the realization of the project purpose stated in the Project Results Framework – thus to: a) Strengthen the capacity of the country to deal with climate change issues; b) Integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the NCCRS and; c) Produce good quality TNC and BUR-1 reports. The long-term impacts and/or intermediate states derived from the stated purpose as well as the project objective would be reflected in; a) improvement in capacity to deal with climate change issues and impacts in the relevant institutions; b) the extent to which the national climate change response strategy (NCCRS) is implemented and integrates climate change concerns; c) high quality TNC and BUR reports.

²⁵ Intermediate states of an intervention are expected to result from its outcomes, with the support of certain drivers and assumptions. They are usually changes in capacity at the societal level or changes in individual, group or organizational behavior resulting from the application of capacities acquired at the individual and institutional level. Because achievement of intermediate states depends on the presence of favorable external conditions, the project staff of an intervention cannot be held accountable to the same extent for the achievement of intermediate states as they would be held accountable for the achievement of its outputs and outcomes i.e. outputs/project outcomes are the locus of accountability for project staff.

²⁶ DFFE, 2021: South Africa’s First NDC, 2020 Updated draft. Pretoria, South Africa.

52. The project design did not, however, include interventions to support the first two stated purposes; rather it focused sharply on improving the quality of information for the TNC and BUR, despite having adequate funds, 48 percent of which remained unspent at the end of the project life. Additionally, the monitoring system outlined in the Project Results Framework and the Project Implementation Report did not include objective level indicators. Monitoring at this level has not been undertaken or reported. Thus, despite being a full-size project, the design and implementation was in line with a small size project. The Medium-term Review did not review project design²⁷, thereby lost the opportunity to correct course.
53. Furthermore, the resource mobilization strategy was over generous; the project outcomes at design were not ambitious enough for the allocated budget. The overall budget was estimated at US\$ 5,357,650, consisting of a GEF grant of US\$ 4,006,650, government co-finance of US\$ 1,255,000 and UNEP's co-finance of US\$ 96,000. The project had delivered the programmed outputs by the end of 2018²⁸. Although the project used adaptive management to extend the project by one year to produce two additional BURs, 48 percent of the GEF grant was not utilized. This percentage reduces to 46 percent if we factor in the GiZ grant of US\$ 70,000, which financed the development of BUR-1; confirming that the costing of the project work programme was inaccurate. The extension, therefore, seems to have been necessitated by availability of project funds.

Rating for Project Design: Moderately Satisfactory

Nature of the External Context

54. The project was planned soon after the COP 17, which was held in Durban, in November 2011. South Africa had also just joined BRICS in 2010. With membership of Brazil, Russia, India, China and South Africa, BRICS was formed in the aftermath of the 2008 global financial crisis, to provide an alternative multilateral platform where the countries can interact with other big developing countries to discuss economic issues and cooperation. South Africa hosted the BRICS summit in 2013 in Durban. The BRICS member-countries are more likely to mobilize EA projects with larger budgets than the usual less than one million US dollars. At the time of designing the project, there was, therefore, high levels of awareness, goodwill and support for climate change related projects for South Africa at the national, regional and international levels.
55. Furthermore, the TE finds that the country has relatively high levels of capacities for tackling climate change issues in government institutions, academia and civil society²⁹. As reported by about 75percent of the respondents, this capacity has catalyzed high levels of appreciation for the role of science-led policies, programmes and development processes, as well as the necessity of value-based participatory processes, engaging all sectors of society. The country has not experienced political upheavals that would affect the implementation of the project; indeed, the project has enjoyed high levels of political support.

Rating for the Nature of External Context: Highly Satisfactory.

²⁷ The MTR report states that the project design was not reviewed during the MTR because the MTR consultant had participated in the project design and that this would have represented a conflict of interest.

²⁸ BUR-1 was completed and submitted to the UNFCCC on 31st December 2014, BUR-2 was submitted on 28 December 2017 and the TNC was submitted in March 2018.

²⁹ This is demonstrated by, among other things, the fact that RSA developed BUR-2 internally without technical support from outside the country.

Effectiveness

D.1: Availability of outputs

56. The project has delivered on all the programmed outputs. It has also produced two additional Biennial Update Reports, BUR-2 and BUR-3. The section below summarizes the state of delivery on each output.

Outcome 1: South Africa has improved quality and quantity of information and raised its standards of reporting to the UNFCCC via up-to date and knowledge based TNC and BUR-2

Output 1.1: National Circumstances for the Third National Communication to the UNFCCC and BUR-2 ready and approved by Government.

57. The project undertook a highly participatory process through which it established the national circumstances for both the TNC and BURs. This was accompanied by assessments of national and regional priorities to address climate change concerns within the framework of national development programmes, plans and strategies. The process led to detailed reports that provided, among other information, in-depth descriptions of the geography, climate, environmental and socio-economic profiles of the country with emphasis on sensitivity to climate change and climate variability. A thorough description of the institutional arrangements adopted for producing the TNC was provided, including those related to the compilation of GHG inventories and the preparation of BUR-2. Furthermore, the project provided a description of the National Institutional Framework for the effective implementation of measures to meet the objectives of the UNFCCC.

Output 1.2: Information on national GHG inventory and trends provided for the period 2011 – 2012 for inclusion in TNC and BUR-2, using Tier 2 and/or 3 methodologies.

58. The project adopted a combination of Tiers 1, 2 and 3 methodologies and collected activity data for the climate sensitive sectors: Energy, Industrial Production and Other Product Use, Agriculture, Forest and Land-Use Change (AFOLU), and Waste. The data was formatted for use in UNFCCC software, quality controlled and archived. Data gaps were identified for consequent data surveys. Emission factors (EFs) were reviewed for appropriateness for South Africa, and modified to suit national circumstances. An inventory of emissions was completed for those relevant sectors, using the modified/appropriate EFs. The information was quality controlled, including being subjected to uncertainty analysis and Key Category Analysis in line with the UNFCCC Good Practice Guidance. It was then documented and archived. A gap analysis identified areas for further improvement on inventory practices and methodologies, documented as National Inventory Improvement Plan for action.

Output 1.3: Measures to adapt to climate change to be included in the TNC and BUR-2 and 3 outlined and officially approved.

59. The project led a participatory process through which measures to adapt to climate change were identified for inclusion in the TNC. Identification of the measures was underpinned by: a) improved understanding of climate change, climate variability and sea level rise; b) socio- economic scenarios approved by the government; and c) vulnerability and adaptation assessments of key socio-economic sectors. The project used the latest global and regional climate models to project scenarios for vulnerability and adaptation assessments. It then undertook detailed analysis of historical climate data to detect changes at the provincial and community levels and determine current trends. Consequently, it analysed sea level data and identified trends for different locations and for different time steps (up to the 2100-time horizon).

60. The project also developed socio-economic scenarios and used the approved ones in the evaluation of adaptation measures. Risk assessments were undertaken and vulnerability indices for most probable climatic risks and extremes identified. Using the improved data and methods, the project undertook in-depth impact assessments of climate change on the Agriculture, Water Resources, Forest and other terrestrial Ecosystems, Coastal Zone and Health sectors, and assessed potential adaptation measures, including clear analysis of the socio-economic aspects for the sectors. All the information was used to develop spatial vulnerability profiles at local and national levels. The information was stored in a GIS system for easy access by all relevant stakeholders.

Output 1.4: Measures to mitigate Greenhouse Gases to be included in the TNC and BUR-2 and 3 approved.

61. The project used the Government approved socio-economic scenarios to update the baseline values for emitting sectors (Energy, Industrial Processes and Other Product Use, AFOLU and Waste), projecting them to the 2050 horizon for the business as usual and new socio-economic scenarios. It also undertook an assessment of sequestration potential of the country, with emphasis on the AFOLU sector and through Carbon Capture and Storage in the Energy sector. Consequently, government approval was secured for the mitigation measures before publication and submission of the TNC and BURs.

Output 1.5: TNC and BUR-2 and 3 produced and endorsed by the Government and the Secretariat of the UNFCCC

62. The project compiled and synthesized all the relevant information produced under outcomes 1, 2 and 3 into the BUR-1, BUR-2, BUR-3 and the TNC reports, as relevant. These documents were submitted to the UNFCCC as follows: BUR-1 – 31st December 2014; BUR-2 - 28 December 2017; BUR-3 - 5 June 2019; TNC - March 2018. The BURs and the TNC follow the latest UNFCCC guidelines for developing countries in reporting to the UNFCCC.

63. The TNC presents updated information from the Second National Communication (SNC) on all the relevant chapters, namely: the national circumstances; a national Greenhouse Gas Inventory for the period 2011-2012; current climate change over South Africa in terms of trends and projected changes, vulnerability assessments and national adaptation strategies; potential and actual measures to mitigate climate change and other information relevant to the Convention (including a technology needs assessment, research and systematic observations and climate change education, training, awareness and capacity building needs).

64. The BURs collectively present GHG trends for the period 2000 to 2015 from the four IPCC sectors of Energy; IPPU; AFOLU and Waste, for CO₂, CH₄, N₂O, HCFs and PFCs. It also presents emissions trends by sector, GHG and per capita. The emissions estimates were derived using the 2006 IPCC Guidelines (IPCC, 2006) and IPCC Good Practice Guidance (GPG)³⁰. BUR-3 in particular provides an explanation of the methods (Tier 1 and Tier 2 approaches), activity data and emission factors used to develop the inventory. In addition, it assesses the uncertainty and describes the quality assurance and quality control (QA/QC) activities.

³⁰ IPCC, 2000; IPCC, 2003; IPCC, 2014 – as cited in DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

Outcome 2: Mitigation and adaptation measures are integrated into national and sectoral development plans and priorities through the implementation of the national climate change response strategy (NCCRS).

Output 2.1: A robust national adaptation plan with both short term and long-term strategies ready - developed using the information generated under outcome 1

65. The project **contributed** information that was used to develop the National Climate Change Adaptation Strategy (NCCAS), which was approved by the Cabinet in August 2021. The NCCAS is intended to be the cornerstone for climate change adaptation in the country and to reflect a unified, coherent, cross-sectoral, economy-wide approach to climate change adaptation³¹. It outlines priority areas for adaptation, both to guide adaptation efforts and to inform resource allocation (ibid). The NCCAS has the following strategic objectives: i) Build climate resilience and adaptive capacity to respond to climate change risk and vulnerability; ii) Promote the integration of climate change adaptation response into development objectives, policy, planning and implementation; iii) Improve understanding of climate change impacts and capacity to respond to these impacts; iv) Ensure resources and systems are in place to enable implementation of climate change responses.

Output 2.2: GHG mitigation and adaptation project briefs prepared and ready for further development into full project proposals for funding

66. The TNC presents two Nationally Appropriate Mitigation Actions (NAMAs); i) Energy efficiency in public buildings and, ii) Diversion of solid waste from landfills in selected municipalities. The first one (energy efficiency in public buildings) is a vertically-integrated NAMA, targeting energy efficient lighting, water heating and building refurbishments, specifically in government owned buildings, including provincial and local governments. The second (NAMA) was preselected by the NAMA Facility Board as one of the projects to be funded, subject to the fulfilment of the conditions outlined by the NAMA Facility Technical Support Unit. A third project proposed - diversion of solid waste from landfills - will promote diversion of waste (especially organic waste) from landfills in local municipalities to mitigate environmental impacts such as the greenhouse gas effect.

67. The second type of projects suggested by the TNC is on carbon offsetting from forest and grassland systems. This would take advantage of land-based mitigation opportunities including the restoration and management of grasslands, rehabilitation of the thicket and reducing emissions from deforestation and forest degradation through planning and regulation.

Outcome 3: South Africa has clear institutional arrangement and systemic capacities to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels

Output 3.1: Ideal institutional arrangements for climate monitoring and reporting described, that allows multi-level participation and regular production and submission of high-quality reports to the UNFCCC (National Communications, BUR)

68. The country continues to refine institutional arrangements for addressing climate change issues in national and local development processes while contributing to a reduction in emissions, for the benefit of

³¹ Government of South Africa, 2019. National Climate Change Adaptation Strategy Republic of South Africa Version UE10 13 November 2019

global climate systems. The current domestic institutional arrangements are described in BUR-3 and summarized in Table 9³².

Table 9: Current Domestic Institutional Arrangements for the Production of Reports to the UNFCCC

Structure	Function
Parliament and Portfolio Committees	Oversee the implementation of the NCCRP Review legislation to support the NCCRP BURs and National Communication reports are submitted to the committee for their approval.
Inter-Ministerial Committee on Climate Change (IMCCC)	Executive (Cabinet) level: The committee coordinates and aligns climate change response actions with national policies and legislation IMCCC shall oversee all aspects of the implementation of the NCCRP. The Minister of the Environment chairs the IMCCC.
Forum of South African Directors-General clusters	South African Director-General clusters based on their different mandates will guide the implantation of NCCRP actions.
Intergovernmental Committee on Climate Change (IGCCC)	Operationalise cooperative governance Consists of the relevant national and provincial departments and organised local government.
National Disaster Management	Council Responsible for ensuring that the National Framework for Disaster Risk Management provides clear guidance across all spheres and sectors of government for managing climate change-related risk. Ensuring that an effective communications strategy is in place for early warnings to vulnerable communities.
Ministers who are heads of Departments and Members of Executive Councils and Ministerial Technical Committee	Facilitate a high level of policy and strategy coherence among the three spheres of government. Guide climate change work across the three spheres of government.
National Committee on Climate Change (NCCC)	Consult with stakeholders from key sectors that impact on, or are impacted by, climate change. Advises on matters relating to national responsibilities. Advises on the implementation of climate change-related activities.
National Economic Development and Labour Council (NEDLAC)	Forum where government comes together with organised business, labour and community groupings on a national level. Ensure that climate change policy implementation is balanced and meets the needs of all sectors of the economy.
City Resilience Committees Forums	Where city governments come together to discuss climate change issues and how cities need to take lead in climate action.

69. The DFFE and the Provincial and Local Governments play special coordinating and policy making roles within the institutional framework, at national and provincial levels, respectively. As the designated authority for environmental conservation and protection in South Africa, the DFFE monitors national environmental information, policies, programmes and legislation related to climate change. It provides guidance to relevant stakeholders and ensures clear alignment of national policies and international obligations related to climate change. As outlined in the BUR-3, the Department leads the work on the ongoing preparation of NCs and BURs under the Chief Directorate on International Climate Change Relations and Negotiations.

70. At the provincial level, departments responsible for the environment take lead on climate change response action in collaboration with their respective environmental departments and provincial entities. BUR-3³³ reported that the majority of the lead departments at the provincial level have established provincial climate change structures to provide a platform for provincial stakeholders to jointly learn about climate

³² Source - DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

³³ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa

change and co-ordinate their respective climate change responses. At the lower local level, South Africa's Local Government Association (SALGA) is mandated to support, represent and advise local governments on issues pertaining to governance at community level, including climate change issues. This level is particularly suited to creating public awareness on climate and livelihood issues, as they assist communities to manage their environment in a manner that promotes resilience. District and Local Municipalities undertake Climate Vulnerability Assessments and are already mainstreaming climate action into their policies, strategies and plans under the guidance of DFFE and SALGA³⁴.

Output 3.2: Strategy ready and approved by government for boosting institutional capacity for reporting to the UNFCCC

71. Section 5.4 of the TNC outlines detailed findings of the capacity development needs assessment. It recognizes capacity development needs to strengthen GHG inventory, climate change mitigation, climate change adaptation, climate change research and systematic observation, as well as climate change education, training and social learning at a systemic level. It further calls for the adoption of systemic approaches to capacity building to provide a longer-term strategy to complement the current short term initiatives, to ensure a more comprehensive approach to capacity building. BUR-3 also provides detailed financial, non-monetised technical and capacity-building support requirements, for national level, by sector and proposed climate mitigation and adaptation activities. It also outlines the country's updated Technology Needs Assessment (TNA) for key sectors and proposes prioritized technologies in line with the country's development and climate change priorities. It also outlines the barriers hampering the attainment of the prioritized technologies. The strategy identifies further capacity building needs in the following areas:

- a. Enhancing technical capacity for GHG inventory development on a regular and continuous basis;
- b. Enhancing technical capacity for the development of the GHG management system, including for: i) Operationalizing the system in terms of the personnel capacity to operate and maintain it and; ii) Operationalizing QA/QC components, processes and plans;
- c. Enhancing capacity related to the use of surrogate data or other splicing techniques from the 2006 IPCC Guidelines that can help fill data gaps and generate a consistent time series (including a dedicated project to specifically address the technical capacity and additional personnel needed to ensure that inventories are recalculated in cases where historical data or inventory years are missing);
- d. Enhancing technical capacity for the development of country-specific emission factors (EFs) for some key categories in the AFOLU sector, namely direct and indirect N₂O emissions from managed soils and land converted to cropland;
- e. Enhancing technical capacity for tracking land-use changes;
- f. Enhancing the technical capacity of national sectoral experts to prepare a GHG inventory with the aim of also increasing the number of experts in the GHG inventory team of DFFE;
- g. Enhancing technical capacity for data collection on a regular basis in order to improve the accuracy of the emission estimates for both waterborne navigation and marine bunkers,

³⁴ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa

including improving the capacity to develop modelling tools and estimate GHG emissions for the transport sector in general;

- h. Enhancing the capacity of data providers to estimate emission reductions, track the progress of mitigation actions and share data on emission reductions and progress on a regular and continuous basis;
- i. Enhancing the technical capacity of DFFE to track the progress of mitigation actions;
- j. Building the capacity for undertaking comprehensive technical analyses to identify constraints and gaps at the operational level.

72. Furthermore, an action plan for climate change capacity building, education, training and social learning was formulated and is described in great detail in the TNC (summarized in Annex 9).

Output 3.3: A Technology Action Plan ready and approved by government (to facilitate successful technology transfer for both mitigation and adaptation.

73. Working together with the Department of Science and Technology (DST), DFFE updated the technology needs assessment for key sectors for adaptation and mitigation. The assessment identified environmentally sound technologies that may, within national development objectives, reduce the impact of climate change and greenhouse gas emissions in South Africa, enabling the country to meet its development goals sustainably.

74. The assessment updated the 2007 TNA comprehensively, focused on the following sectors: i) **Adaptation:** Agriculture; Biodiversity; Commercial Forestry; Human Settlements; and Water; ii) **Mitigation:** AFOLU; Energy; Industry; Transport; and Waste. Key linkages among sectors were also considered in terms of interactions among adaptation and mitigation priorities, as well as in terms of cross-cutting issues among sectors. A mitigation technology prioritization was conducted by the Climate Change Mitigation Technology Implementation Plan, which identified priorities in the short, medium and long-term technological needs. The technology action plan outlines actions required to support large scale roll-out for the following themes (detailed in Annex 8): energy efficient lighting; variable speed drives and energy efficiency motors; energy efficient appliances; solar water heaters; hybrid electric vehicles; solar photovoltaic energy; development of wind energy (onshore); advanced biofuels; carbon capture and storage; nuclear power; smart grids and energy storage technologies.

Output 3.4: Domestic MRV arrangements for mitigation actions and its impacts are defined, established and endorsed by government

75. The project has advanced the development of the comprehensive, integrated National Climate Change Response Monitoring and Evaluation System which includes the National Climate Change Response Database (NCCRD) and the National Greenhouse Gas Inventory System (NGHGIS)³⁵. The system will serve as a data and information coordination network, and enable the country to assess, analyse and understand progress made on achieving climate commitments (Figure 4). The South African M&E system encompasses all the three functional aspects of the monitoring, reporting and verification (MRV); namely, MRV of GHG emissions, MRV of mitigation actions and MRV of Support. The fully functional system will,

³⁵ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

therefore, monitor and evaluate the country's GHG emissions, mitigation responses, adaptation responses, and track climate finance. The M&E system was developed in four Phases:

- a. *Phase 1* (2013 to 2016) set up the systems. This included mapping of data and information flows, systems and stakeholder groups as well as setting up the web-based platform.
- b. *Phase 2* (2017-2018) operationalized the system. This included web-based platform prototype operationalization, making the system functional, including setting up climate themes and information repository and the development of the standard MRV guidelines and approaches.
- c. *Phase 3* (2019-2020) refined the system. This included expanding system integration to incorporate existing domestic processes and systems, enhancing user reporting, analytics and data visualization capabilities. It therefore included setting up a fully operational system and improved domestic reporting.
- d. *Phase 4* (2021-2025) will automate the system. It will ensure further system integration and improve climate change indicators, metrics and methods. It will also improve analysis and documentation of lessons learnt; as well as oversee the full integration of systems' outcomes into government planning and decision-making processes in all levels and spheres of development planning.

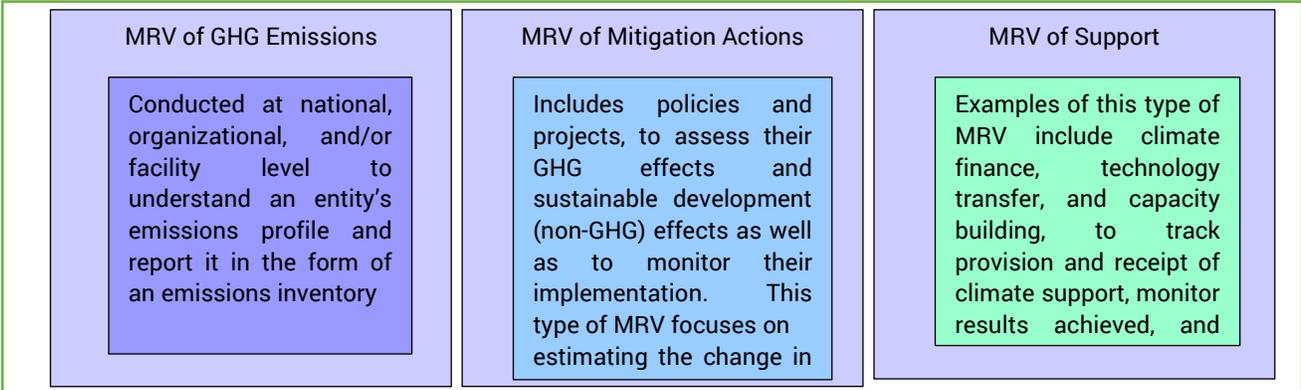


Figure 4: Functional Aspects of South Africa's MRV (Source – BUR-3³⁶)

Output 3.5: A system of research and systematic observation developed and endorsed by government and the research community

76. The TNC describes an action plan for guiding national action planning for improved climate change research, capacity building and education, training, public awareness and social learning, summarised in Table 10. Capacity building is stated in relation to broad "action areas". This is due to the fact that each government department will need to co-operate and align their mandates and strategies with the National Climate Change White Paper (2011) and with the findings of the TNC in order to refine and adopt capacity building recommendations.

³⁶ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

Table 10: An Action Plan for guiding national action planning for improved climate change research, capacity building and education, training, public awareness and social learning.

General Action area	Specific action areas
Action Areas for Research and Systemic Observation Capacity building	1.1: Strengthen climate change social science research 1.2: Support the development of more integrative and systemic approaches to studying climate change 1.3: Develop more sustained and sustainable funding frameworks for climate change research and systemic observation 1.4: Continue to support research into systemic observations, with emphasis on gaps and needs for further research
Action Areas for GHG Inventory development, Climate Change Adaptation and Climate Change Mitigation Capacity Building	2.1: Improve capacity for updating data and associated reporting capacity 2.2: Provide sustained funding and support to mitigation efforts, including the GHG Inventory Improvement Programme 2.3: Support the development of a range of training programmes to strengthen the GHG Inventory Programme 2.4: Support sector-specific priority data generation processes to improve the GHG inventory 2.5: Support South Africa's capacity to adapt to climate change
Action areas for climate change education, training, public awareness and social learning	3.1: Development of a clear conceptual framework for climate change education, training and social learning in South Africa 3.2: Development of clear knowledge pathways to guide progression in the CAPS curriculum and teacher education 3.3: Policy alignment and dialogue 3.4: TVET curriculum development and lecturer training Action Area 3.5: Improve skills intelligence and planning for climate change related occupations 3.6: Continue integration of CCE into teacher education Expand public engagement in climate change through expanded social learning approaches 3.9: Build capacity of policy makers and develop a national focal point for CCE Continue to build capacity to enable policy makers to have a more integrated and trans disciplinary approach to policy planning. This will lead to cross-cutting issues being included in all related policies within a synergistic orientation

Output 3.6: A strategy for climate change education, training, public awareness and social learning ready and endorsed by government

77. The strategy for climate change education, training, public awareness and social learning was delivered as part of the system of research and systematic observation developed and endorsed by government and the research community (as described under output 3.5).

B: Achievement of project outcomes

78. The TE finds evidence of high levels of contribution to all three outcomes as discussed below. The TE finds that the level of achievement can be attributed to the fact that the assumptions identified in the RTOC were realised and contributed to the delivery of outputs and the uptake of these outputs by the relevant players, leading to changes in institutions (outcomes). The assumptions are described below:

79. The first assumption was that relevant groups of stakeholders would sustain their commitment to the project and have the means to participate. As discussed under the Stakeholder Section and throughout this report, commitment by relevant stakeholders (listed in Text box 1) remained high during the planning and implementation of the project.
80. The second assumption was that the private sector/industry has high quality data related to emissions and would willingly share it. As confirmed by the improvement in the quality of the BURs and the TNC, the DFFE had full cooperation of all the stakeholders with data required for the development of the reports.
81. The third assumption was that the capacity developed in government could be sustained/ that there would be no loss through high staff turnover. As discussed in Section E (Changes in Design during Implementation) there was high staff turn-over in the PMU. However, this had no lasting negative effect on the project's overall delivery. DFFE mobilized other capacities within the government to support the project and the project programmed deliverables were produced within the original project timelines. As noted elsewhere, the cost-neutral extension was driven by the availability of project funds rather than delays in producing programmed outputs.

Outcome 1: South Africa has improved quality and quantity of information and raised its standards of reporting to the UNFCCC via up-to date and knowledge based TNC and BUR-2

82. The project produced two additional Biennial Update Reports (BURs), making a total of three against the programmed number (one). This provided emissions updates and estimates from 2000 to 2015, making a substantive step from estimates available prior to the project. The TE finds evidence that significant improvements had been made to the GHG inventory by incorporating more detailed activity data (AD), emission factors (EFs) and parameters across the sectors, and establishing a new GHG inventory improvement programme that will facilitate projects aimed at improving AD, country-specific methodologies and EFs for most of the key categories.
83. Improved information (activity data and emissions factors) improves the accuracy of the Mitigation Potential Analysis, and the quality of the marginal abatement cost curves for the key economic sectors developed using the results of the analysis. These curves provide an estimate of mitigation potential and marginal abatement cost for a broad range of mitigation measures.
84. Furthermore, the TE finds that the improvements to the TNC outlined in the project document, and summarized below, did indeed happen. They include:
- a. Use of a combination of Tiers 1, 2 and 3 along with 2006 IPCC guidelines improved National GHG inventory estimates with lower uncertainties;
 - b. Use of multiple climate models at all levels improved the reliability of climate projections;
 - c. Use of multiple GCM scenarios and multiple impact assessment models at district/regional level improved the reliability of predicted climate change impacts for different cropping systems, forest types, watersheds, coastal settlements, etc.;
 - d. Refined and used spatial vulnerability indices and profiles for different sectors and regions and at decentralized levels (such as at district level for different sectors) led to improvements in the quality of information;

- e. Development of an adaptation framework, practices to enable mainstreaming of adaptation into developmental programmes, estimates of the costs and benefits of adaptation and mitigation programmes;
- f. Higher institutional and technical capacities brought on board to prepare the GHG Inventories and National Communications, and other new information required under the aegis of the Convention.

85. The improvements made to the quality and quantity of data throughout the period that the country has estimated its emissions is clearly detailed in the 2000-2015 GHG National Inventory Report³⁷ and updated in the 2000-2017 GHG Inventory Report (BUR-4³⁸) - see example in Text box 2 and full summary of improvements in Figure 5. The Report explains that the first national GHG inventory was prepared in 1998, using 1990 data. This was updated in 2004, including data from 1994, using the 1996 IPCC Guidelines for National Greenhouse Gas Inventories. The government made a decision to use 2006 IPCC Guidelines for the 2000 national inventory, to enhance accuracy and transparency.

86. As noted in the BUR-3, development of the National GHG Inventory Management System (NGHGIS) was significant. The NGHGIS has enabled the country to prepare and manage data collection and analysis, as well as to gather all relevant information related to climate change in the most consistent, transparent, and accurate manner for both internal and external reporting. Reliable GHG emission inventories have improved the country's ability to fulfil international reporting requirements to the UNFCCC, more accurately evaluate mitigation options, assess the effectiveness of policies and mitigation measures, develop long term emission projections, and to more effectively monitor and evaluate the performance of reduction of GHG emissions (see synthesis in Text box 3).

Text Box 2: Past difficulties of undertaking GHG inventories³⁹

In the 1990, 1994 and 2000 GHG inventories for South Africa, activity and emission factor data were reported in the IPCC worksheets and the reports were compiled from this data. Supporting data and methodological details were not recorded, which made updating the inventory a very difficult and lengthy process. In the 2000 – 2010 GHG inventory (DEA, 2014) more emphasis was placed on building up the annual data sheets and creating improved trend information. This led to better data records, but still very little supporting data and method details were kept. Also, in all previous inventories the quality control procedures and uncertainty estimates were limited. As South Africa moves forward, more emphasis has been placed on improving the documentation of inventory data and documents, as well as on uncertainty and quality control to improve the transparency of the inventory. The 2015 inventory has come a long way in addressing some of these issues⁴⁰.

87. Indeed, the UNFCCC team of technical experts who reviewed BUR-2 and BUR-3 noted that significant improvements had been made to the GHG inventory, including transparency of reporting on the quantification of emission reductions for some mitigation actions, description of methods and assumptions, as well as reporting on the tracking of financial support received. The country was commended by other parties for having developed the BUR-2 internally during a 2019 UNFCCC facilitative sharing of views, where it shared its experiences with a global audience.

³⁷ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria, South Africa.

³⁸ DEA. (2021). *South Africa's 4th Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria, South Africa

³⁹ Source: DFFE, 2021: *National GHG Inventory Report South Africa 2017*. Pretoria, South Africa

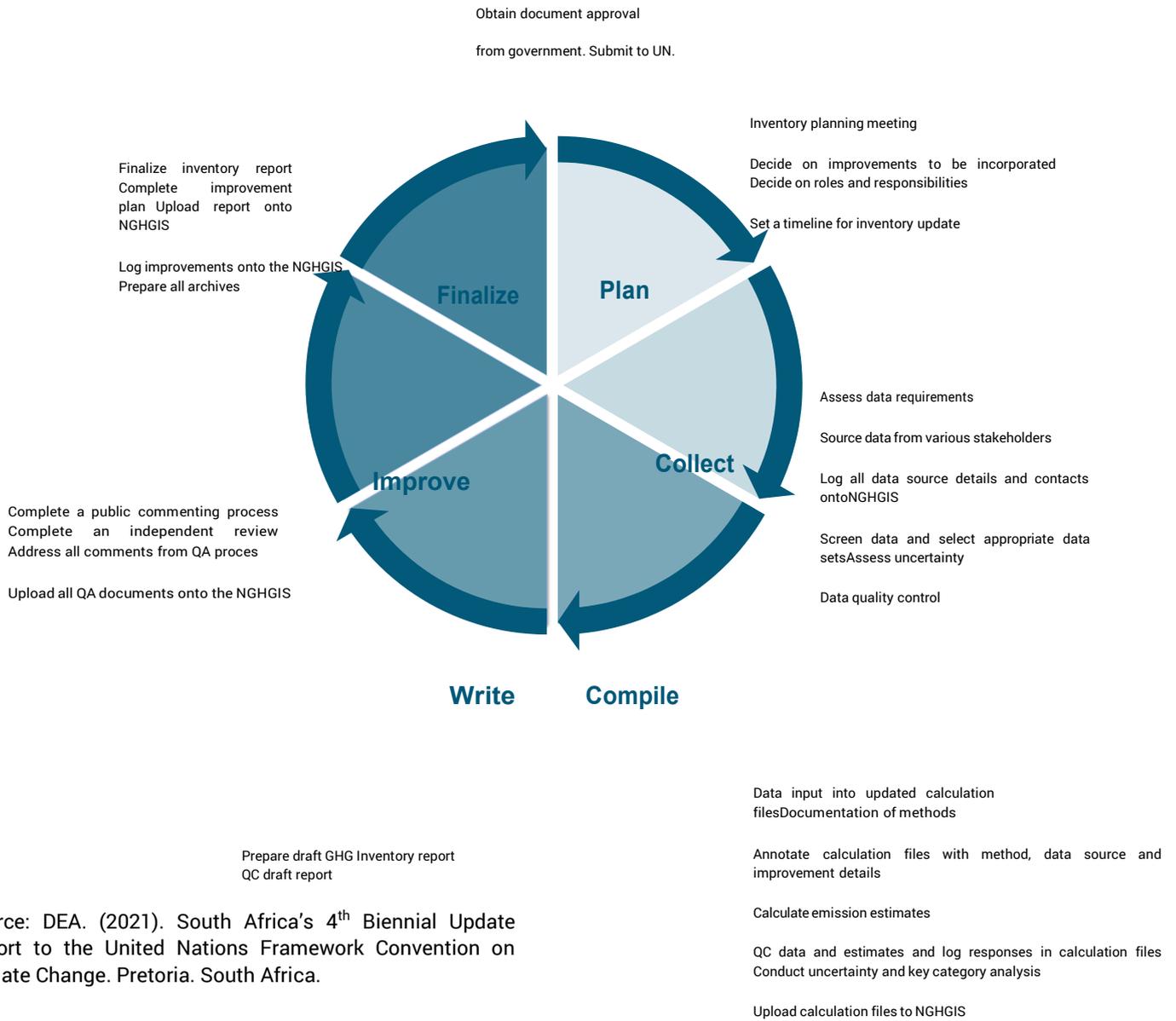
⁴⁰ DFFE, 2021: *National GHG Inventory Report South Africa 2017*. Pretoria, South Africa

Text Box 3: Updated GHG inventory 2000 – 2015 (Source – BUR-3)⁴¹

The National Greenhouse Gas Inventory for South Africa was presented for the period of 2000 to 2015. The inventory covers all four sectors, namely Energy, Industrial Process and Product Use (IPPU), Agriculture, Forestry and Other Land Use (AFOLU), and Waste. South Africa's aggregated gross GHG emissions (i.e., excluding FOLU) were 439 238 Gg CO₂e in 2000 and these increased by 101 616 Gg CO₂e (or 23.1%) by 2015. South Africa's aggregated net GHG emissions, including Forestry and Other Land Uses (FOLU), were 426 214 Gg CO₂e in 2000 and these increased to 512 383 Gg CO₂e by 2015. Between 2000 and 2015 the average annual growth was 1.43%, with the Energy sector being the main contributor to this increase.

⁴¹ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

Figure 5: Overview of the phases of the GHG inventory compilation and improvement process



Source: DEA. (2021). South Africa's 4th Biennial Update Report to the United Nations Framework Convention on Climate Change. Pretoria. South Africa.

Outcome 2: Mitigation and adaptation measures are integrated into national and sectoral development plans and priorities through the implementation of the national climate change response strategy (NCCRS)

88. The TNC provides detailed analysis of the extensive ways in which the information provided by the project in the process of generating the TNC and GHG inventories has been used in formulating new tools and/or updating of policies and measures⁴² to advance both adaptation and future mitigation, at the national and local levels.
89. **Mitigation:** information generated by the project has been utilized in the updating of, or formulating, new policies and legislation aimed at controlling and/or reducing GHG emissions in the Energy sector, Transport sector, Agriculture, Forestry and Other Land Use and the Waste sector. As stated in the TNC⁴³, the Carbon Tax Bill⁴⁴, Carbon Offsets Regulations, Greenhouse Gas Emissions Reporting, Climate Change Bill and Pollution Prevention Plan Regulations are substantial policy steps influenced by the project, that aim to curb GHG emissions.
90. As further elaborated in the BUR-4⁴⁵, the National Energy Efficiency Strategy was updated for post-2015; GHGs were formally declared priority air pollutants in 2016, under the existing National Environmental Management Act. GHG Reporting Regulations approved in 2017 have made it mandatory for large emitters to submit Annual Pollution Prevention Plans detailing plans to cut GHG emissions, and progress made in doing so. In addition, company-level carbon budgets were introduced for large emitters on a voluntary basis in a first phase, in line with provisions in the Nationally Determined Contributions. The Green Transport Strategy was adopted in 2018, which, inter alia, promotes bus rapid transit, energy efficient road to rail connections and electric vehicles⁴⁶. Furthermore, the country convened a Job Summit in 2018, which agreed to establish a Presidential Climate Commission to oversee South Africa's just transition into a green, low carbon economic development model. The Commission has been approved by Cabinet and is in the process of being established through the Climate Change Bill.
91. The country has adopted Sectoral Emission Targets as an instrument for setting quantitative limits on future GHG emissions, in a bid to achieve the overall commitments on mitigation. Sector specific energy efficiency targets have been set in the post 2015 National Energy Efficiency Strategy for Industry; Transport; Public, Commercial buildings, and Agriculture to be achieved by 2030. Each sector will provide a set of emission reduction goals for the short (2016-2020), medium (2020-2030) and long term (2030-2050). An example of policies and measures supporting mitigation and reduction in GHG emissions is presented in Text box 4.

⁴² According to the TNC, policies and measures are policy instruments implemented by government and applied across the economy, over a wide range of sectors, in order to help South Africa achieve its emission reduction goals. The policies and measures may include regulatory instruments (specifically legislation, regulations and standards), economic instruments (for example, incentives and taxes), government procurement programmes or direct and indirect investment by government. These may be cross-cutting (across more than one sector) or specific to individual sectors or subsectors – and may achieve abatement through action by government, or induce action by others.

⁴³ DFFE (Department of Forestry, Fisheries and the Environment) 2020. *Third National Communication*. Pretoria South Africa

⁴⁴ The aim of the Carbon Tax Bill is to provide for the implementation of a tax on GHGs (in CO₂ equivalent) and to provide for the related matters. It includes a carbon offsets mechanism.

⁴⁵ DEA. (2021). *South Africa's 4th Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa

⁴⁶ DFFE, 2021: *First Nationally Determined Contribution Under The Paris Agreement Updated September 2021*. Pretoria, South Africa

Text Box 4: Policies and Measures supporting mitigation and reduction in GHG emissions in South Africa⁴⁷

In the energy sector, PAMs to mitigate climate change target mitigation actions, diversification of electricity and liquid fuel sources, carbon capture and storage, energy efficiency and reduction of coal bed methane. Important mitigation policies in this sector include the Integrated Resource Plan 2018, the Post 2015 National Energy Efficiency Strategy and the Integrated Demand-side Management Programme. The Integrated Resource Plan (2018) proposes South Africa's electricity generation mix until 2050. It differs from the previous plan updates because it has benefitted from higher capacities of renewable energy sources included in the energy supply mix. The Energy Efficiency Target Monitoring System ensures that energy efficiency policies are supported by adequate end-use information, by substantially increasing the effort to collect energy data and information across all sectors.

In the Transport Sector PAMs support mitigation opportunities to promote modal shift, demand reduction, more efficient vehicle technologies, more efficient operations and alternative lower-carbon fuels. Policy instruments include a White Paper on the Renewable Energy Policy and the Nationally Determined Contribution.

In the Agriculture, Forestry and Other Land Use sector, PAMs promote the removal of emissions while reducing emission. There are three key policies that relate to climate change mitigation: i) the National Forests Act which supports activities that sequester GHG emissions such as those relating to sustainable management, conservation and protection of natural forests and woodlands; ii) the Woodlands Strategy Framework outlines mitigation principles for the sector. Woodlands which cover about 30 percent of the land surface area are important due to their fire adaptation potential and potential as carbon sinks or sources and; iii) the Draft Climate Change Sector Plan for Agriculture, Forestry and Fisheries of 2013 outlines mitigation elements for this sector and promotes minimum tillage and land use changes that convert land from GHG sources to sinks.

In the waste sector, PAMs promote waste minimisation, re-use, recycling and recovery. The two main policies for the Waste Sector are: i) the National Environmental Management: the Waste Act; ii) the National Policy on Thermal Treatment of General and Hazardous Waste. The latter recognises the significance of mitigating climate change. The National Waste Management Strategy (a legislative requirement of the Waste Act) promotes waste minimisation, re-use, recycling and recovery, and has a key output on reduction of GHG emission to mitigate climate change and improve air quality. These objectives are supported by the Municipal Waste Sector Plan which highlights waste reuse, waste recycling and flaring or recovery of landfill gas.

92. **Adaptation:** Information from the project was used in the development of the NCCAS, which was developed in 2018 and was approved by the Government in August 2021. The NCCAS provides a common vision of climate change adaptation and climate resilience for the country, and outlines

⁴⁷ Source: DFFE (Department of Forestry, Fisheries and the Environment) 2020. *Third National Communication*. Pretoria South Africa

priority areas for achieving the vision. Since the NCCAS draws its vision from other important policies, it provides a mechanism for mainstreaming adaptation measures into the implementation of those policies, which include: South Africa's NCCRP, the National Development Plan (NDP), the National Strategy for Sustainable Development (NSSD), South Africa's Nationally Determined Contributions (NDCs) and sector, provincial and municipal adaptation plans. Indeed, the NCCAS provides a mechanism for mainstreaming adaptation for South African society as a whole, including the key relevant sectoral institutions, provincial governments and municipalities, and non-governmental entities including the private sector, the research community and civil society⁴⁸. Part of the development process for the NCCAS was updating adaptation plans and/or strategies for the priority sectors, all the nine provinces, metropolitan municipalities⁴⁹ and cities. Sectors include: water, agriculture and commercial forestry, health, biodiversity and ecosystems, human settlements (urban, rural and coastal), disaster risk reduction and management, transportation and infrastructure, energy, mining, oceans and coast. Examples of strategic priorities within each sector considered vulnerable to climate change are presented in Text box 5.

93. Furthermore, the Local Government Climate Change Support Programme⁵⁰ also used information generated via the TNC and the BURs. Led by the DEFF and implemented by a multi-stakeholder coalition, the LGCCSP is a large-scale capacity-building programme that helps provinces and municipalities across the country better understand and respond to climate change. Its key objectives are to (1) mainstream climate change into subnational development planning and (2) support municipalities in project development and financing.⁵¹ Under LGCCSP, all 44 district municipalities, all eight metropolitan municipalities (e.g. City of Cape Town, City of Johannesburg) and provinces (e.g. Western and Eastern Cape, Gauteng Province) have developed climate change response strategies, with associated adaptation interventions. In addition, many national government departments are developing sector-specific climate change plans, using the information generated by the TNC and BURs. They include water, agriculture and commercial forestry, health, biodiversity and ecosystems, human settlements.
94. Information generated by the TNC and the BURs has also been used in the development of projects under the National Climate Change Near-Term Priority Flagship Programmes. The Flagship Programmes are strategic measures, intended to serve as a rallying point to trigger large scale transition to a lower carbon economy and a resilient South Africa. The Flagship Programmes are selected for the significant potential to mitigate climate change and/or enhance climate resilience, while delivering significant social, economic and environmental benefits. They are meant to be ambitious and transformative in design, scale and impact, and make a practical contribution to achieving existing commitments in terms of the national lower carbon growth trajectory and climate resilience. Flagship Programmes include: i) The Climate Change Response Public Works Flagship Programme; ii) The Water Conservation and Demand Management Flagship Programme; iii) The

⁴⁸ DFFE 2021. *National Climate Change Adaptation Strategy*. Pretoria South Africa

⁴⁹ There are three categories of municipalities in RSA – metropolitan, district and local. The country has 278 municipalities comprising eight metropolitan, 44 district and 226 local municipalities. In addition, there are 8 provinces.

⁵⁰ Facilitated by DFFE and the South African Local Government Association (SALGA), with funding from the GiZ and technical partnerships from many institutions.

⁵¹ Y. Reddy, S. Pather-Elias, L. Keusen, P. Adriázola, P. Wolpe, M. Sithole, F. Nkohla, M. Tshangela and C. Thobela 2021: *The Local Government Climate Change Support Programme in South Africa. Real Practice in Collaborative Climate Action*. Berlin/ Cape Town: adelphi/ Sustainable Energy Africa.

. https://www.localclimateaction.org/sites/localclimateaction.org/files/documents/v-led_south_africa.pdf Accessed on 6th Jan 2022.

Renewable Energy Flagship Programme; iv) The Energy Efficiency and Energy Demand Management Flagship Programme; v) The Transport Flagship Programme; vi) The Waste Management Flagship Programme; vii) The Carbon Capture and Sequestration Flagship Programme; viii) The Adaptation Research Flagship Programme.

Text Box 5: Examples of strategic priorities within each sector considered vulnerable to climate change⁵²

Water Sector: Climate Adaptation Strategy for the sector outlines the following strategic adaptation actions for addressing climate change impacts: planning for new dams to developing new groundwater sources, highlighting the need to improve flood-warning systems and to ensure that water allocation is sufficiently flexible to cope with climate change; the need to protect water allocations to poor and marginalised communities, particularly under drought conditions.

Agriculture, Forestry and Fisheries: There is a Climate Change Sector Plan and a Climate Change Adaptation and Mitigation Plan that addresses agriculture and forestry.

Ecosystems: Climate Change Adaptation Plans have been developed for South Africa's Biomes, presenting potential adaptation responses to guide current and future decision-makers in protecting South Africa's natural ecosystems and biodiversity in the face of climate change.

Health Sector: the Climate Change Adaptation Plan focuses on nine health and environmental risks and further seeks to improve health systems-readiness to climate change.

Cities: Adaptation planning within South African cities is occurring alongside the need to address the problems of poor spatial and development planning inherited from the apartheid era. Human settlement typologies in the country are diverse, each with its own set of developmental challenges and potential to be impacted by climate change.

Rural Human Settlements: Adaptation Plan supports the creation of sustainable livelihoods that are resilient to climate change. This plan calls for access to climate-resilient services and infrastructure in rural areas to be promoted through climate-resilient rural housing programmes that include rainwater harvesting, solar water heaters and off-grid/mini-grid electrification, as well as environmentally-friendly and socially-acceptable sanitation solutions.

Outcome 3: RSA has clear institutional arrangement and systemic capacities to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels

95. The TE finds evidence that the project has contributed significantly to advances in the clarification of clear institutional arrangement and systemic capacities to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels. The development of such a system is rooted in South Africa's NCCRP, which stated that the country would "Establish a national system of data collection to provide detailed, complete, accurate

⁵² Source – The Third National Communication: DFFE (Department of Forestry, Fisheries and the Environment) 2020. Pretoria South Africa

and up-to-date emissions data in the form of a Greenhouse Gas Inventory". The NCCRP further specified that the emissions inventory would be a web-based GHG Emission Reporting System and would form part of the National Atmospheric Emission Inventory component of the South African Air Quality Information System (SAAQIS)⁵³.

96. The actual development of the National GHG Inventory Management System (NGHGIS) started in February 2016 and refinement continues to date, post the TNC project. The current state of development of the system is described in detail in the BUR-4⁵⁴, which reflects the improvements achieved during the implementation of the TNC project (Figure 6). Indeed, BUR-4 confirms that the NGHGIS was developed during the compilation of the 2015 inventory (in 2017), and that the 2017 (in 2019) inventory is the first inventory to be compiled utilizing all aspects and processes of the improved NGHGIS (Figure 67).
97. As detailed in BUR-4, the NGHGIS is designed (and operates) to ensure transparency, consistency, comparability, completeness and accuracy of inventories as defined in the guidelines for preparation of inventories. As depicted in Figure 6, the NGHGIS includes: a) The formalization of a National Entity (the DFFE) responsible for the preparation, planning, management, review, implementation and improvement of the inventory; b) Legal and collaborative arrangements between the National Entity and the institutions that are custodians of key source data; c) A process and plan for implementing quality assurance and quality control procedures. The system provides a participatory platform for the following processes: a) collection of activity data; b) technical guidelines outlining methodologies and emissions factors; c) estimation of GHG emissions by source and removals by sink; d) quality assurance activities; and, d) verification at the national level. The system complies with Article 5 of the Kyoto Protocol by defining and allocating specific responsibilities in the inventory development process, including those related to the choice of methods, data collection, processing and archiving, and quality assurance and quality control.

⁵³ DEA, 2011: *The National Climate Change Response White Paper*. Pretoria, South Africa

⁵⁴ DFFE, 2021: *National GHG Inventory Report South Africa 2017*. Pretoria, South Africa

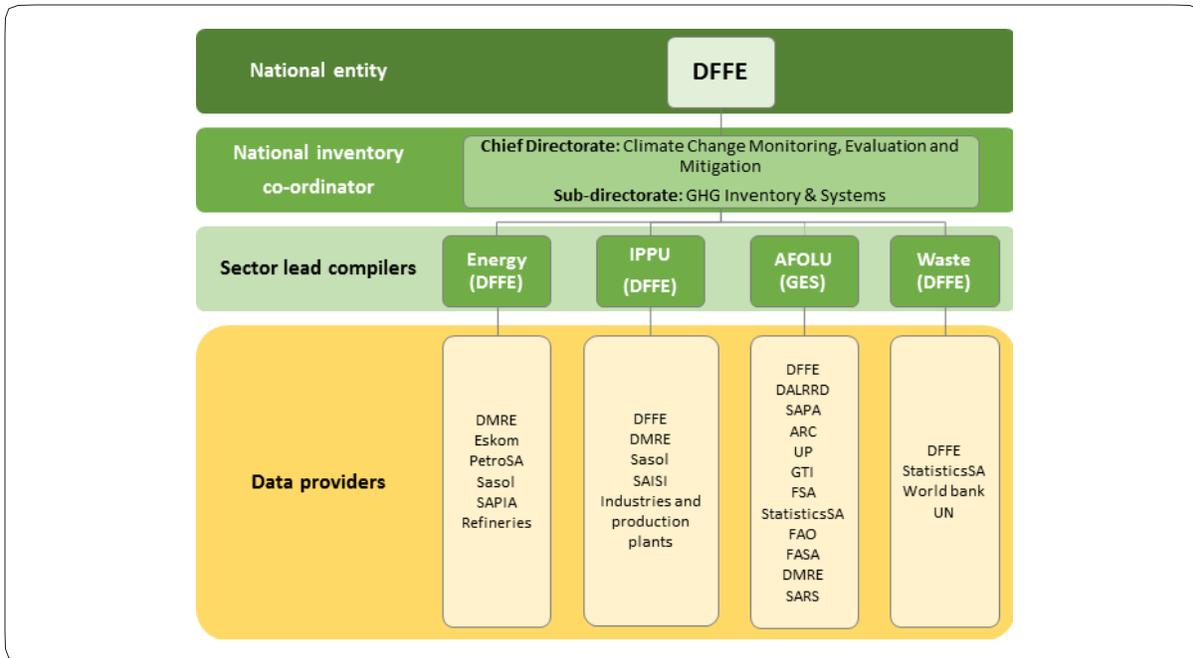


Figure 6: Institutional Arrangements for the Compilation of the 2000 – 2017 Inventory for South Africa⁵⁵.

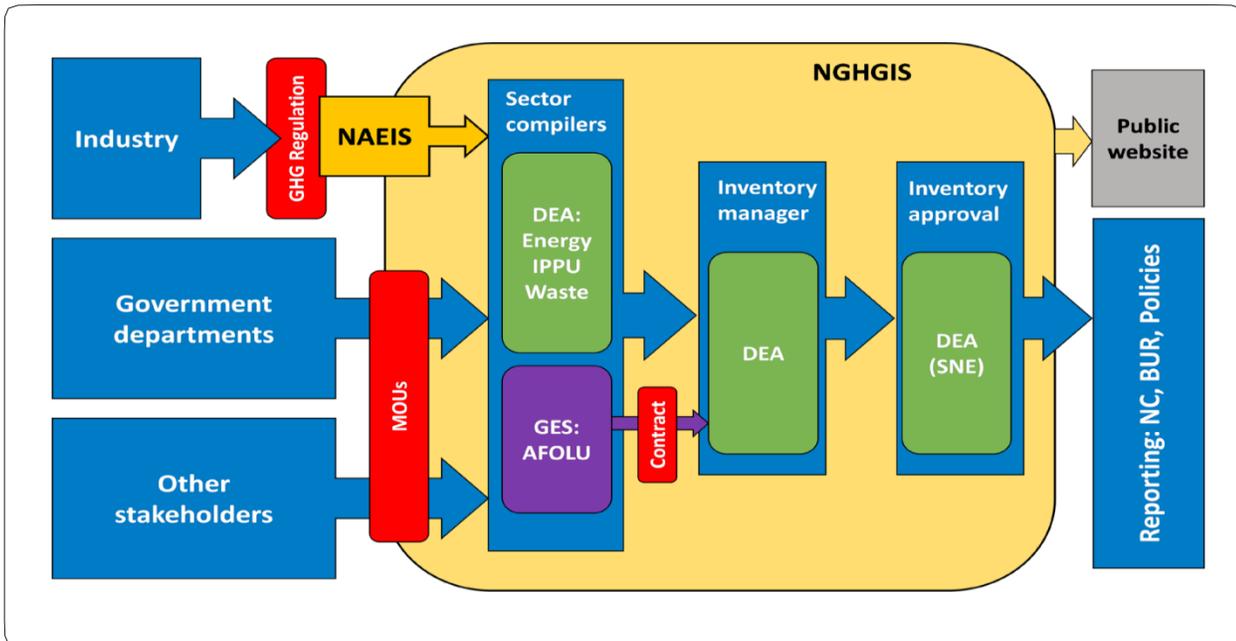


Figure 7: The inventory Compilation Process Co-ordinated Through a Central Web-based Inventory Management system⁵⁶

⁵⁵ Source - DFFE, 2021: National GHG Inventory Report South Africa 2017. Pretoria, South Africa

⁵⁶ Source - DFFE, 2021: National GHG Inventory Report South Africa 2017. Pretoria, South Africa

B.3: Likelihood of impact

98. The conclusion from the state of achievements of results (described in Section B.2, above), is that, with the contribution of the TNC project, the country has indeed made considerable progress towards achieving the three intermediate states described in the reconstructed TOC. Consequently, it now has: a) More effective strategies and technologies to implement economic activities and development processes with lower GHG emissions; b) More effective adaptation plans and strategies; c) Improved systemic capacity⁵⁷ to sustain implementation of strategies and monitoring of climate change dynamics. This level of achievement can be attributed to the fact that the drivers identified in the RTOC were realised and contributed to the delivery of outputs, the uptake of these outputs by the relevant players, leading to outcomes; and, the establishment of the intermediate states, providing impact pathways to a reduction of GHG emissions and more resilient economies and livelihoods. The latter are the two impacts identified by the RTOC. The drivers and intermediate states are described below.
99. The first driver was: systems would be available to enable all relevant stakeholders to participate in the generation and use of evidence-based environmental information in monitoring and reporting to the UNFCCC. All the respondents to the TE confirmed that the DFFE provided clear leadership and effectively energized the participation of the private sector, academia, industry, other government agencies and civil society in the production of the TNC and BURs. This has been institutionalized by the integrated National Climate Change Response Monitoring and Evaluation System. Developed under output 3.5, the system consists of a National Climate Change Response Database and a National Greenhouse Gas Inventory System⁵⁸. It will serve as a data and information coordination network, and enable the country to assess, analyse and understand progress made on achieving climate commitments (Figure 4).
100. The second driver was: adequate resources enable effective implementation of the NCCRS and the LTAS project (funds/ personnel/ institutions). The TE finds that the TNC project was indeed one of the mechanisms for implementing the NCCRS and the LTAS. Furthermore, as reported in Section H (Financial Sustainability), South Africa has, and continues to mobilize considerable financial resources to finance climate change initiatives from both international and domestic sources. For example, between 2018 and 2019, the country received US\$ 4.886 billion in climate finance, or around US\$ 2.4 billion per year, the majority of which was in the form of loans (11 percent of this total was received in the form of grant finance, and the remainder in the form of loans)⁵⁹. It aims to increase these amounts via the implementation of the first NDC to US\$ 4.5 billion per year from multilateral and bilateral sources by 2025, and a total of US\$ 8 billion per year by 2030⁶⁰. In addition, further

⁵⁷ Refers to broader strategic capacity, re: i) Capacity to **conceptualize** and formulate policies, legislations, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; ii) Capacity to **implement** policies, legislation, strategies and programs to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iii) Capacity to **engage and build consensus** among all stakeholders to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; iv) Capacity to **mobilize information and knowledge** to mainstream climate risks into development processes to reduce GHG emissions while increasing resilience; v) Capacity to **monitor, evaluate, report and learn in the process of** mainstreaming climate risks into development processes to reduce GHG emissions while increasing resilience

⁵⁸ DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

⁵⁹ DEA. (2021). *South Africa's 4th Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa

⁶⁰ DFFE, 2021: *First Nationally Determined Contribution Under the Paris Agreement Updated September 2021*. Pretoria, South Africa

domestic funding will be realized from the use of the information provided by the project in the updating of the national policies and sectoral policies and strategies as well as climate response strategies of the provinces, municipalities (metropolitan and district) and cities. These policies, programmes and plans receive regular national budgetary support for implementation, thereby contributing to funds to implement the provisions of the NCCRS and the LTAS in the course of 'regular development work'.

101. The first intermediate state was that the country would have effective strategies and technologies to implement economic activities and development processes with lower GHG emissions. South Africa has embraced the concept of a green economy, with the Green Economy Accord signed in 2011⁶¹. Although the green economy is still in a nascent stage, the government has adopted several approaches to propel its implementation. The LTMS declared the intention to address climate change through a just transition towards an inclusive, environmentally sustainable and climate-resilient economy. The transition to a greener economy is increasingly being embedded in national policy, and it is expected to drive the greening of economic sectors to support the creation of green and decent jobs, more energy and material efficient production processes, significantly less waste, pollution and GHG emissions (ibid). Indeed, the Government has adopted mitigation strategies that focus on accelerated energy efficiency across all sectors, ambitious low carbon technology research and development, new clean energy sources and behavioural change, as well as regulatory mechanisms and economic instruments⁶².
102. The Department of Trade and Industry has articulated various visions for the growth of green industries including the Solar and Wind Energy Strategy (2012), the Solar Photovoltaic Localisation Roadmap (2013), the Solar Concentrated Solar Power Localisation Roadmap (2013), the Wind Industry Localisation Roadmap (2014) and the Electric Vehicle Industry Roadmap (2013)⁶³. Furthermore, the country is implementing nationally appropriate mitigation actions expected to reduce emissions by 42% by 2025, relative to Business as Usual trajectory⁶⁴. Recognizing that the extent to which this commitment is achieved depends on the provision of finance, technology and capacity building support by developed countries and through the UN climate change regime, the country is mobilizing financial resources for grid-connected solar, thermal power, utility-scale wind power development, solar water heaters and; demand-side energy efficiency⁶⁵.
103. **The second driver related to the country having better/ more effective adaptation plans and strategies.** At the national level, the country has a new National Climate Change Adaptation Strategy, approved in August 2021 (described under Output 2.1). At lower levels, the LGCCSP has helped provinces and municipalities across the country all 44 district municipalities, all eight metropolitan municipalities (e.g. City of Cape Town, City of Johannesburg) and provinces (e.g. Western and Eastern

⁶¹ DEA, ILO and UNEP, 2017. GREEN ECONOMY INVENTORY FOR SOUTH AFRICA: An overview. Pretoria, South Africa.

⁶² DFFE, online, undated. South Africa's Green Economy Strategy. http://www.enviropaedia.com/topic/default.php?topic_id=342. Accessed on 7th Jan 2022

⁶³ DFFE et al; 2020. GREEN ECONOMY POLICY REVIEW OF SOUTH AFRICA'S INDUSTRIAL POLICY FRAMEWORK. Pretoria, South Africa. <https://wedocs.unep.org/bitstream/handle/20.500.11822/34421/SAGE.pdf?sequence=1>. Accessed on 7th Jan 2022.

⁶⁴ DFFE, online, undated. South Africa's Green Economy Strategy. http://www.enviropaedia.com/topic/default.php?topic_id=342. Accessed on 7th Jan 2022

⁶⁵ DFFE, online, undated. South Africa's Green Economy Strategy. http://www.enviropaedia.com/topic/default.php?topic_id=342. Accessed on 7th Jan 2022

Cape, Gauteng Province) to develop and/or update climate change response strategies, with associated adaptation interventions.

104. The third driver related to the country putting in place systemic capacity to sustain implementation of strategies and monitoring of climate change dynamics. The capacity and technology needs assessments and action plans outlined in the TNC provided the country with a clear picture of available capacities and extent to which technologies are being adopted to address mitigation and adaptation. The two action plans concluded that although there is capacity and technologies are being adopted, the country is far from fulfilling the identified capacity and technology gaps.
105. The TE concludes that the conditions described above have created impact pathways that will enable the TNC project to contribute to reductions in GHG emissions and more resilient economies and livelihoods. The clearest impact pathway is provided by the extensive mainstreaming of up-to-date, more scientifically credible mitigation and adaptation measures into national policies, sector policies and strategies, climate action plans for provinces, municipalities and cities. These instruments of development already have budgetary allocations, so are guaranteed to be implemented.
106. On mitigation for example, the key energy policies seek to achieve the following objectives, which are likely to reduce emissions significantly in the fullness of time: a) Diversifying primary energy sources by increasing penetration of renewable energy resources and reducing dependency on coal, to be achieved mainly through the Integrated Resource Plan-; b) Entrenching good governance throughout the energy value system (from generation to demand side), which must also facilitate and encourage private sector investments in the energy sector; c) Providing an environment that promotes provision of environmentally friendly energy provision; c) Connecting the last 10 percent of population without access to electricity using renewable energy resources and; d) Providing affordable and reliable energy, to the poorer communities of South Africa.
107. The Flagship Programmes provide another clear pathway to impacts. Run by experienced relevant government agencies, Flagship Programmes are catalysts for additional action in key sectors, at a sufficiently ambitious level, so as to achieve critical mass and economic transformation. This places government at the forefront of increasing the use, visibility and recognition of climate change responsive technologies and services, facilitating their rapid diffusion.
108. Implementation of the policies and programmes to reduce emissions are expected to have co-benefits in the stimulation of the green economy and creation of new jobs; contribution to water savings and increased government revenues. These measures are supported by the country's NDC, which considers the stimulation of activities in the Renewable Energy and Energy Efficiency Sectors as key climate change priorities and drivers of the green economy.
109. Furthermore, the country now has a system for monitoring and evaluating the effectiveness of the policies and measures for curbing emissions and advancing adaptation. Indeed, the present challenge to reporting the progress and impact of policies and measures in industry will be addressed by the implementation of the Pollution Prevention Plan regulations, Climate Change Bill and Carbon Tax Bill.
110. Indeed, the NDC⁶⁶ reported that lower than expected GHG emissions have been estimated over the last decade, which is partly a result of lower economic growth, but also a result of a drop in GHG

⁶⁶ DFFE, 2021: *First Nationally Determined Contribution Under The Paris Agreement Updated September 2021*. Pretoria, South Africa

intensity in the economy. The latter suggests the start of the process of relative decoupling economic growth from GHG emissions, which is as a result of increased energy efficiency, investment in renewable energy and a shift in economic growth to less energy intensive sectors. Furthermore, the NDC proposes a significant reduction in GHG emissions target by 2030 (target range of 398 - 440 Mt CO₂ e q) whose upper range represents a 28 percent reduction in GHG emissions from the 2015 NDC targets. The NDC however emphasized that to achieve the reduction will require South Africa to implement a range of policies and measures, including a very ambitious Power Sector Investment Plan as set out in the 2019 Integrated Resource Plan, the Green Transport Strategy, Enhanced Energy Efficiency Programmes, and the recently implemented Carbon Tax.

Rating for Effectiveness: Highly Satisfactory

Financial Management

Adherence to UNEP's policies and procedures

111. Actual project disbursements, by component are compared with original budget estimates in Table 11. The TE finds that all of the required UNEP internal financial controls were implemented and met. These controls include annual audits of projects and the allocation of funds as per the approved project budget. This was confirmed by the audit reports. The 2018 audit report⁶⁷ stated that: a) analysis of the specific financial and non-financial information revealed that the project funds were used as per the project objectives; b) the expenditure reports provided a true and fair view of the financial condition and performance of the project; c) the Executing Agency complied with the agreement protocols, including those with the consulting service providers. It concluded that the funds had been used efficiently, effectively, economically and ethically.

Completeness of Financial Information

112. Feedback from respondents and review of the project financial reports confirmed that the project budget was managed actively, being revised when necessary and in line with all legal provisions of the Government, UNEP and the GEF. Initially the project was to develop the TNC and BUR-1. The project was amended severally: i) The DFFE obtained grant of US\$ 70,000 from the GiZ to develop BUR-1 due to delays in initial disbursements of the project funds; ii). The project was then amended to develop the TNC and BUR-2; iii) shortly thereafter, DFFE made a decision to capacitate internal departmental staff to develop BUR-2 internally, reducing the cost of the project; iv) internal staff change over in mid-2016 and end of 2017 led to a delay in finalising the TNC and BUR-2 reports. iv) DFFE worked very hard to resolve the challenges and the BUR-2 was submitted by December 2017 and the TNC by March 2018; v) The project was further amended to deliver four additional studies that had not been part of the original project and a BUR-3 (with the PCA signed on 4th October 2017).

113. All the above amendments were done in line with the legal agreements which are well documented (in the PCA signed on 4th October 2017). Furthermore, the TE was provided with relevant key documents, including co-financing and project cost's tables at design (by budget lines), proof of fund

⁶⁷ South Africa's Projected GHG Emissions Pathways; National Rainwater Harvesting Strategy (RWH); Assessment of sustainability/ agricultural potential of priority value chains (Climate Smart Agriculture); Effect of Policies & Measures on GHG emissions Reductions (PAMS)

transfers, proof of co-financing (in outputs), a summary report on the project's expenditures during the life of the project (Table 11) and audit reports.

114. **Co-Financing:** Apart from the government co-finance, information on co-finance was not readily available; suggesting that provision of co-finance was poorly monitored, especially by UNEP. It is also unlikely that the government co-finance was provided in the exact amount committed to, given that BUR-2 was produced by DFFE staff members without any outside assistance. Total co-financed mobilized was US\$ 1,421,000 against the planned US\$ 1,351,000. The additional US\$ 70,000 was provided by the GiZ (Table 11b).

Communication between Finance and Project Management Staff

115. The PM, UNEP Task Manager and FMO demonstrated a clear understanding of the overall project's financial status. The TE finds no unresolved challenges regarding financial management issues among Fund Management Officer, the Project Manager and the UNEP Task Manager. The Project Manager, Task Manager and Fund Management Officer were all responsive to financial requests during the evaluation process.

116. Furthermore, despite the initial delay in the release of funding and a change of the Task Manager in the UNEP Head Office, feedback from the PMU indicated that adequate supervision and support was provided by UNEP throughout the project. UNEP participated regularly in Project Steering Committee meetings, where their participation was generally highly appreciated by PMU and other respondents. DFFE especially acknowledged appreciation for the UNEP-GEF flexibility concerning budgetary adjustments in response to unavoidable delays in project implementation. UNEP technical guidance and backstopping was reflected in the iterative process of preparing project implementation reports (PIR) and their comments on the technical reports (TNC, BURs).. The Project Manager indicated that she was in direct contact with UNEP Task Manager throughout the project.. The various regional workshops and UNEP events the project participated in provided further opportunities to discuss the project and its performance.

117. It was however noted that feedback from UNEP headquarters in Nairobi was not always efficient due to staff constraints and other work commitments, especially during the changeover of Task Managers. These delays may have contributed, in a small way, to the overall extension of the project. However, the TE notes that the project completed all the planned activities within the revised timeframe, and delivered two additional BURs, with the UNFCCC confirming that the key outputs were of higher standard than those of the previous submissions.

Table 11a: Expenditure by Outcome/Output

Component/sub-component/output <i>All figures as USD</i>	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
Component 1 - Project personnel component updating BUR and TNC information	3,111,550	1,980,240	64%
Component 2 - Development of awareness materials	200,000		0%
Component 3 / Outcome 3 – Training	396,000		0%

Equipment and Premises	11,000	4,318	39%
Printing and distribution of reports, M&E	288,100	72,984	25%
Total cost of project	4,006,650	2,071,040	52%

Table 11b: Updated Co-Financing

Co-financing (Type/Source)	UNEP own Financing (US\$1,000)		Government (US\$1,000)		GiZ (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants					-	70	-	70	70
In-kind support	96	96	1,255	1,255			1,351		
Totals	96	96	1,255	1,255	0	70	1,351	1,421	1,421

Rating for Financial Management: Satisfactory

Efficiency

118. As explained in the ‘Financial Management’ Section (above), the project initial plan was to produce BUR-1 and the TNC at a total cost of US\$ 4,006,650. The project, however, delivered three BURs (BUR-1, 2 and 3) and the TNC at a total cost of US\$ 2,071,040, which is 52 percent of the allocated budget, and 105 percent of the pledged co-finance. The Technical Teams of Experts of the UNFCCC have confirmed in writing that these products have consistently improved the quality, quantity and transparency of reporting; thus, the under expenditure on the budget did not compromise the project performance or the quality of its outputs. In addition to the outputs, the project delivered results, with clear sustainability mechanism for the eventual contribution to some impacts.

119. The project was extended by one year, from an original closure date of September 2018 to October 2019, via a PCA amendment signed on 4th October 2017. However, this extension seems to have been necessitated by the fact that there was still money to spend, rather than delivery of the programmed outputs. BUR-1 was completed and submitted to the UNFCCC on 31st December 2014, BUR-2 was submitted on 28th December 2017 and the TNC was submitted in June 2018. The TE therefore concludes that the delay in the initial disbursement and the one year extension had limited effect on project efficiency⁶⁸. A request for a second cost-neutral extension to produce BUR-4 was declined, forcing the project to refund the balance of funds totalling US\$ 2,071,040.77 (48 percent of the budget requested).

⁶⁸ As argued elsewhere, these extensions are more likely a reflection of the weak project design, which led to inaccurate budgeting, thereby an allocation much higher than would be required to deliver the programmed outputs.

120. Discussions with the UNEP and DFFE identified three time-saving measures adopted during the project design and utilized during the implementation that increased project efficiency, leading to the delivery of project outputs at lower than expected cost.
121. The project was designed to be implemented in a highly participatory manner, utilizing pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives. The project was coordinated by the DFFE, which provided a clear and appropriate **governance and supervision model**. This enabled the active participation of the relevant Directorates of the DFFE, selected on the basis of their comparative advantage and mandates. They include Departments of Agriculture, Mineral Resources, National Treasury, Transport (Road, Rail, Air, and Marine), and Water Affairs. Others include the CSIR, Civil Society and Academia. These Directorates/departments/institutions were represented in the PSC which was chaired by the GEF Operational Focal Point. The roles and responsibilities of all the partners, including UNEP, were clearly defined, promoting efficient operations.
122. The project was designed in **close coordination with other relevant projects** and programmes financed by the GEF and other Development Partners – thereby building on synergies, partnerships and capacities, while securing sustainability and additional resources (including funds). It was recognized that using the capacities, information, partnerships and synergies established during the formulation of the First and Second National Communication as well as linking the project to the on-going MRV system development would create efficiencies.
123. Using UNEP as an implementing agency brought on board its **comparative advantage on Enabling Activities**. UNEP was expected to expedite the Project Cycle process, enabling a rapid project approval process and start-up, saving significant time and minimizing the gaps between national communication projects.
124. The TE therefore concludes that despite starting off with a weak project design, encountering initial delays in disbursement, staff turn-over, changes in PMU staff and the UNEP Task Manager, the project has been cost-effective, its products and results significantly compensating for any potential losses due to the cost-neutral extensions it undertook. The TE finds that a high level of country ownership and drivenness, stakeholder participation and cooperation, effective communication and public awareness, coupled with dedicated project management and supervision contributed to the high performance.

Rating on Efficiency: Highly Satisfactory

Monitoring and Reporting

Was the M&E Plan Well-Conceived and Sufficient to Monitor Results and Track Progress Toward Achieving Objectives?

125. The Prodoc reported that the project M&E plan would follow UNEP standard monitoring, reporting and evaluation processes and procedures, and would be consistent with the GEF Monitoring and Evaluation policy. The M&E system consisted of the Project Results Framework (CEO Endorsement Request Annex A), which provided indicators for each expected outcome as well as baseline

information and end-of-project targets. In line with the weak project design, the M&E plan was weak; it did not include indicators to monitor higher level results (outcomes to impacts) as these had been poorly defined in the project logframe. The performance indicators were largely SMART (specific, measurable, achievable, relevant, and time-bound), and quantitative, albeit fit for only monitoring delivery of outputs. The project targets are the same as the project activities, making it difficult to compare the baseline values to the targets.

126. The PMU was supposed to develop a project supervision plan at the inception of the project and share it with project partners during the inception workshop. The UNEP Task Manager was expected to conduct periodic monitoring activities based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess status of implementation of project. The Project Steering Committee was expected to ensure monitoring of the delivery of the Global Environmental Benefits, at agreed intervals. Led by UNEP, all project partners were to regularly monitor project risks and assumptions. Quarterly Technical progress and financial reports were to be produced and reviewed by the UNEP Task Manager and Fund Management Officer. Periodic Monitoring through discussions with key partners. The Project Implementation Report was intended to report the annual achievements of the project, including the adaptation benefits and updated assessments of risks and risk mitigation measures.
127. The M&E system did not include gender segregated indicators or indicators for higher level of results or contributions towards impacts, hence no system for monitoring higher level results.

Was the M&E plan sufficiently budgeted and funded during project preparation and implementation?

128. The cost of implementing the M&E plan was estimated at US\$ 76,000, including US\$ 60,000 for a MTR and TE. At 1.89 percent of the total GEF Grant of US\$ 4,006,650, this is well below the GEF "rule-of-thumb" recommended allocation to M&E of between three to five percent⁶⁹. The budget was however adequate due to the simplicity of the monitoring, which was focused on tracking of the delivery of outputs, not assessing achievements of higher level results and impacts. Additionally, the project was implemented through the existing Directorates, who undertook monitoring of their contributions to the project via parallel co-finance contributions.

Monitoring of project implementation

129. The TE confirms the MTR finding that the original M&E plan was relatively basic but easy to use for monitoring delivery of outputs, and the system was used to monitor the project as designed. DFFE developed a tracking tool to monitor all contracts with service providers, which made it easy to track progress and monitor payments. This worked well because the project is highly oriented towards delivering outputs. The UNEP Task Manager conducted periodic monitoring activities in accordance with workplans agreed to by all parties. The Project Steering Committee provided held all the scheduled meetings and reviewed the important documents before formal submissions, such as the reports of assessments, the draft BURs and the TNC.
130. The TE finds that the M&E system supported adaptive management of the project to some extent. Thus the project logframe was modified several times to accommodate changes and the production

⁶⁹ This requirement is spelt out in the GEF Monitoring and Evaluation Plan and Budget section of the Project Document.

of the two additional BURs. However, no monitoring happened at the higher levels (outcomes, impacts) since both the project logframe and the M&E system were quite simple and did not identify or accommodate these results in the design or monitoring system. Adaptive management could have been used to assess and address (if found necessary) gender issues and safeguards since the project had adequate funds.

Reporting

131. Although there were delays in technical quarterly reports in the first year due to delayed disbursement, reporting is currently up to date and all progress reports submitted are of adequate quality, met UNEP standards and provided the required information on progress achieved and challenges encountered along with solutions. Financial reports went through the same types of delays in the initial years. It is noted that financial reports eventually became timely and enabled the financial status of the project to be amply monitored and to ensure funds were available when needed.
132. The results from the project have been disseminated widely at all levels in the country, and via the UNFCCC channels, thereby advancing learning and knowledge sharing.

Rating for Monitoring and Reporting: Moderately Satisfactory

Sustainability

133. The TE finds that although the sustainability of project outcomes is highly dependent on social/political factors and is highly sensitive to institutional support, there is strong ownership, interest and commitment among stakeholders and government, which extends to the levels of government with the mandate and power to sustain outcomes, thereby mitigating dependency. These conditions are likely to secure sustainability, unless there is change in the current government policy and political will to mainstream climate risk into development.

Socio-political Sustainability

134. Responses from the TE respondents and review of project reports and the literature around producing updated reports to meet its UNFCCC reporting obligations confirm the existence of high political will to tackle climate change issues in the country, using science to inform policies. It confirmed that government continues to encourage value-based participation of non-government entities in generating information to inform policy processes. This process benefits immensely from relatively highly capacitated private sector and academia⁷⁰ which contributes their capacities for tackling climate change in collaborative processes. Examples include: Rhodes University, which hosts Africa's largest facility for research on plant responses to elevated carbon dioxide and climate change; University of Cape Town, which hosts the African Climate and Development Initiative. Private sector (consultants) who participated in the TNC project includes Gondwana Environmental solutions and Promethium Carbon. As stated in Text box 1, several government institutions participated in the project include CSIR, SANBI, SANERI, ERC, etc.

⁷⁰ Examples include Rhodes University, University of Cape Town ()

135. The NDC confirms the country's intention to continue producing BURs and NCs. South Africa has already submitted its fourth BUR in 2021, and will continue submitting BURs until transitioning to Biennial Transparency Reports (under the Paris Agreement, in terms of decision 18/CMA.1) in 2024⁷¹. The Government commits to use its first Biennial Transparency Report to specify indicators consistent with the modalities, procedures and guidelines for reporting on the implementation and achievement of the NDC, further adding that the country will continue to pursue domestic mitigation measures to achieve its NDCs (ibid).
136. Furthermore, integrating climate change in tertiary and distance education programmes will sustain awareness raising, promoting sustainability.

Financial Sustainability

137. South Africa continues to benefit from international climate finance, including the GEF support programme on EAs, under which BURs and NCs are produced. As detailed in South Africa's 4th BUR, during the years 2018-2019, South Africa received US\$ 4.886 billion in climate finance, or around US\$ 2.4 billion per year, the majority of which was in the form of loans (11 percent of this total was received in the form of grant finance, and the remainder in the form of loans)⁷². The country aims to access significantly higher levels of climate finance during the periods of implementation of the first NDC, accessing a total of US\$ 4.5 billion per year from multilateral and bilateral sources by 2025, and a total of US\$ 8 billion per year by 2030⁷³.
138. Furthermore, the country continues to invest substantial financial resources in the work of mainstreaming climate issues into national and local development policies, programmes and plans. As reported in the section on "Likelihood of Impacts", the information generated by the project has been used extensively to mainstream up-to date, more scientifically credible mitigation and adaptation measures into national and sector policies as well as the response to climate change plans (and associated adaptation strategies) of the provinces, metros and cities provide a clear and sustainable pathway to impacts. These programmes and plans receive regular national budgetary support for implementation, thereby ensuring financial sustainability of the project outcomes and impacts.

Institutional Sustainability (including issues of partnerships)

139. As reported under achievement of outcome 3, South Africa has made significant advances in the clarification of clear institutional arrangement and systemic capacities to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels. The country has developed the National Greenhouse Gas Inventory System, whose institutional sustainability is guaranteed through:
- The formalization of a National Entity (the DFFE) responsible for the preparation, planning, management, review, implementation and improvement of the inventory.

⁷¹ DFFE, 2021: *First Nationally Determined Contribution Under the Paris Agreement Updated September 2021*. Pretoria, South Africa

⁷² DEA. (2021). *South Africa's 4th Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa

⁷³ DFFE, 2021: *First Nationally Determined Contribution Under the Paris Agreement Updated September 2021*. Pretoria, South Africa

- Legal and collaborative arrangements between the National Entity and the institutions that are custodians of key source data.
- Elaboration and approval of National GHG Emissions Reporting Regulation (NGERR), introducing a single national reporting system for the transparent reporting of GHG emissions, which will be used to update the GHG inventory. As reported in BUR-4, future inventories will be guided by the mandatory reporting requirements through the NGERR.
- Establishment of a process and plan for implementing quality assurance and quality control procedures.
- Establishment of a process to ensure that the national inventory meets the standard inventory data quality indicators of accuracy, transparency, completeness, consistency, and comparability.
- Establishment of a process for continual improvement of the national inventory.

140. DFFE has demonstrated clear leadership in guiding a highly collaborative process, effectively engaging other relevant agencies, ministries, academia, civil society and the private sector in the comprehensive process of producing the TNC and the four BUR reports (via provision of information), reviewing the reports and adopting measures to integrate climate issues into policies, programmes, plans, livelihoods and businesses, in a bid to transition into a greener economic development model. This is aided by the fact that the institutional arrangement is anchored into the NCCRP.

Summary of Ratings for Factors Affecting Project Performance

141. With the exception of environmental and social safeguards, responsiveness to human rights and gender equity, all the factors affecting performance are integrated in the discussions on criteria A-H as appropriate. The ratings are presented in Table 12.

Table 12: Summary of Ratings on Factors Affecting Project Performance

Criteria	Rating	Comment
Country ownership and driven-ness	Highly Satisfactory	Integrated in the discussions on criteria A to H in paras 65 to 142
Preparation and readiness	Highly Satisfactory	
Quality of project management and supervision	UNEP - Satisfactory DFFE- Satisfactory	
Stakeholder participation and co-operation	Highly Satisfactory	
Responsiveness to human rights and gender equity	Moderately Unsatisfactory	See explanation in Text box 6 below.
Environmental and social safeguards	Moderately Unsatisfactory	
Country ownership and driven-ness	Highly Satisfactory	Integrated in the discussions on criteria A to H in paras 65 to 142
Communication and public awareness	Highly Satisfactory	See explanation in Text box 6 below.

Text Box 6: Background to the Ratings for Human Rights, Gender, Safeguards, Communication and Awareness

Responsiveness to human rights and gender equity, environmental and social safeguards: These issues were not considered during the project design and are therefore not integrated into the project or its M&E plans. Although this fact is highlighted in all the PIRs and the MTR, no effort was made to formally address them via adaptive management, despite the fact that the project had enough budgetary resources to do so. Their impacts on the project are therefore unknown.

DFFE argues that the project was not negatively affected by the lack of integration of human rights and gender equity, and that it had no negative impacts on the same (human rights or gender equity) even though it had no strategy for identifying and managing environmental and social safeguards. It further argues that by increasing the accuracy of the information that shapes the policies and measures to address climate change, the project contributes positively to reducing potential negative outcomes of adaptation and mitigation actions on gender, human rights and social and environmental safeguards. However, impacts of climate change have gender and human rights aspects. Climate change and natural disasters affect the poor, marginalized, women and men differently. Women and girls face particular vulnerabilities resulting from cultural norms and their lower socioeconomic status in society. Their domestic roles often make women and girls disproportionate users of natural resources such as water, firewood and forest products: their vulnerability rises in tandem with loss of ecosystems services. Despite the vulnerabilities experienced by women and girls, they are often unable to voice their specific needs. The exclusion of these voices also means that their extensive knowledge of the environment and adaptation/coping mechanisms is untapped.

Safeguards: As explained by FAO⁷⁴, projects can have both positive and adverse effects on people. Safeguards policies are essential tools for protecting people and their environment from potential adverse impacts, and enhancing benefits being provided. Although the TNC project dealt largely with information gathering, an analysis of safeguards would have been beneficial to identify and enhance the positive effects of the project, and provide certainty on the absence of adverse effects.

Communication and public awareness. The project had a communications and public participation strategy. For example, all reports (BUR-2, BUR-3, TNC, 2000-2012 and 2000-2019 NIRs) were subjected to the following stakeholder consultation process: i) publication of the notice of a publication of reports by the Minister in a South African gazette, followed by publication on the DEA (now DFFE) website for 30 days; ii) the public was invited to send comments, which were addressed in a transparent manner, with comment audit trails published in the public responses databases for BURs and NIRs; iii) in addition, local government and provinces were extensively involved in public consultation process, with the Minister writing directly to MECs and local governments requesting feedback on the reports.

The BURs and TNC were disseminated widely through the UNFCCC websites and the Conference of Parties meetings. As reported in the 2019 PIR, copies of BUR-2 were distributed at COP 24 in Poland at

⁷⁴ <https://www.fao.org/investment-learning-platform/themes-and-tasks/environmental-social-safeguards/en/>

the South Africa Pavilion and through various climate change workshops in South Africa and the Southern Africa region⁷⁵. An online explorer was launched and presented at the South African Pavilion during COP 24, with the support of the World Resources Institute. The explorer demonstrated web-based presentation of the key results and outcomes of BUR-2. The BURs are summarised into briefs for Policy Makers, in English and other official languages of South Africa. The briefs are distributed through various climate change and environment awareness building campaigns initiated by the Communications Chief Directorate in the DFFE.

⁷⁵ Example – Copies of BUR-3 were disseminated at the Southern African 1st MRV Network workshop which was held in Eswatini from 2 to 6 September 2019

Conclusions and Recommendations

Conclusions

142. Investment in this project has been highly transformative, and the overall performance rating is Highly Satisfactory (detailed assessment is presented in Tables 12 and 13). In addition to the programmed outputs, the project delivered two additional BURs (BUR-2 and 3). Furthermore, as reported in the results section, the products provided by the project are being used, leading to results at outcome level, with clear and sustainable impact pathways. As reported in the 2019 PIR, international reporting has benefitted South Africa at domestic level. South Africa has developed country specific Emission Factors and improved the overall accuracy of its GHG Inventory. It has developed the National Framework for Climate Services, conducted detailed vulnerability and adaptation assessments for all provinces and developed detailed projects for further mobilization of financial resources. As confirmed by the UNFCCC team of technical experts, the quality, quantity and transparency of reporting has increased significantly.
143. The information provided by the project has been extensively mainstreamed into national, provincial and local policies, programmes and plans. On mitigation, for example, information generated by the project has been utilized in the updating of, or formulating of, new policies and legislation aimed at controlling and/or reducing GHG emissions in the Energy; Transport; Agriculture, Forestry and Other Land Use, and the Waste sectors. The Carbon Tax Bill, Carbon Offsets Regulations, Greenhouse Gas Emissions Reporting, Climate Change Bill and Pollution Prevention Plan Regulations are substantial policy steps influenced by the project that aim to curb GHG emissions.
144. On adaptation, the information was used in the development of the National Climate Change Adaptation Strategy of August 2021 and the development of projects under the national climate change near-term priority Flagship Programmes. The Local Government Climate Change Support Programme has used the information in the development of Climate Change Response Plans for all the district and local municipalities in South Africa, with associated adaptation interventions.
145. The project has contributed significantly to advances in the clarification of clear institutional arrangement and systemic capacities to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels. The National GHG Inventory Management System is the core of the system. It is designed (and operates) to ensure transparency, consistency, comparability, completeness and accuracy of inventories as defined in the guidelines for preparation of inventories.
146. The reconstructed TOC identified two types of impacts: a) reduced GHG emissions; b) more resilient economies and livelihoods. The clearest impact pathway is provided by the extensive mainstreaming of up-to date, more scientifically credible mitigation and adaptation measures into national and sector policies as well as the response to climate change plans (and associated adaptation strategies) of the provinces, metros and cities.

147. The project enjoyed strong ownership, interest and commitment among stakeholders and government, especially the levels of government with the mandate and power to sustain outcomes, providing an enabling environment for sustaining results. Furthermore, integrating climate change in tertiary and distance education programmes will sustain awareness raising, promoting sustainability. These conditions are likely to secure sustainability, unless there is change in the current government policy and political will to mainstream climate risk into development.
148. Although the project was extended for one year, these extension seem to have been motivated by the availability of project funds, since the programmed outputs had already been delivered by the programmed project end of December 2018. The cost-neutral extension allowed the project to deliver the two additional BURs, spending only 52 percent of the availed budget. Although the project put in place cost-saving measures and mobilized cash and in-kind co-finance⁷⁶, an expenditure of 52 percent of the budget indicates inaccurate cost estimations at project design. Furthermore, the project could have applied adaptive management to address human rights and gender equity, environmental and social safeguards, important issues not addressed during project design.

Responses to strategic questions

149. Responses to the strategic questions are presented in Table 13.

Table 13: Responses to Strategic Questions

Strategic Question	Response
<p>Q1: Given the significantly large number of planned outputs and expected outcomes in the results framework, without considering the start-up delays, has the project time frame allowed for the delivery of these outputs and outcomes to a satisfactory standard of quality?</p>	<p>Despite starting off with a weak project design (leading to the long list of components and outcomes), staff turn-over and slow government procurement processes, the project management did a commendable job of mobilizing programmed and additional grant and in-kind co-finance to continue project work during the challenges. Although the project was extended by one year, it produced two additional BURs, with all the products confirmed to be of high standards.</p>
<p>Q2: The Mid-term Review (2018) indicated that South Africa indeed has the required capacity to deliver on reporting to the Convention. It was however noted that there exists room</p>	<p>DFFE demonstrated capacity by developing the BUR-2 with internal staff. DFFE acknowledged that this was also a capacity-building moment, which provided insightful experience of junior and middle management staff in the entire BUR process. However, the National GHG Inventory Management System is still under development (currently with the support of the CBIT⁷⁷ and other projects). The country has taken a deliberately collaborative approach to producing</p>

⁷⁶ BUR-1 was produced using a GiZ grant; BUR-2 was produced by the staff of DFFE, using in-kind co-finance.

⁷⁷ GEF Capacity-Building Initiative For Transparency: GEF ID.: 9673

<p>for improvement. With regard to the concluded project, what does the evaluation consider as being the key areas that still require further capacity development for DFFE and South African experts to report to the standards of the UNFCCC?</p>	<p>reports for the UNFCCC, engaging government, industry, private sector, academia, civil society and communities, at national, provincial and local levels. The TE did not attempt a capacity assessment at these levels, as it is not required by the ToR.</p> <p>A detailed capacity assessment was undertaken during the TNC process and a capacity development plan was proposed; both are described in the TNC Chapter 5⁷⁸. The capacity building plan emphasized the need for a systemic approach to capacity building, with a longer term approach and strategy for strengthening GHG inventory, to develop appropriate mitigation and climate change adaptation strategies, and to translate these strategies into adaptation action. Additionally, there are constraints related to mitigation; on reporting and data generation for reporting on mitigation, and inadequate skills for doing so. There are inadequate skills and finances for the important areas of climate change research and systematic observation, as well as climate change education, training and social learning.</p> <p>The capacity building action plan is quite detailed, offering specific areas of capacity development per each of the chapters described above. For example, under GHG inventory the report states: 'There is a need to develop training courses to cover the various aspects of the GHG inventory update process, such as IPCC guideline methodologies for all four sectors, quality assurance/control process and methods, uncertainty analysis, key category analysis and even general coordination and management of the GHG inventory update process.'</p>
<p>Q3: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?</p>	<p>Most of the project implementation concluded in 2019; only the TE and the final audit have been affected by the COVID-19 restrictions. All the TE discussions were held electronically. However, given the nature of the project, this has not affected the findings of the TE significantly. The final audit was postponed from 2019 to 2021.</p>

Evaluation and Criteria Ratings and Detailed Ratings and Weightings

150. Evaluation and criteria ratings and detailed ratings and weightings are presented in Tables 14 and 15.

⁷⁸ *The Third National Communication: DFFE (Department of Forestry, Fisheries and the Environment) 2020. Pretoria South Africa*

Table 14: Evaluation Criteria and Ratings Table

Criterion	Summary Assessment	Rating ⁷⁹
A. Strategic Relevance		S
1. Alignment to MTS and POW	The project is consistent with UNEP's 2014-2017 medium term strategy and is linked to Expected Accomplishment 2:	S
2. Alignment to Donor/GEF strategic priorities	Project is in line with Objective 6 of GEF-5's Climate Change Focal Area Strategy and Strategic Programming.	S
3. Relevance to regional, sub-regional and national environmental priorities	The project is considered an implementation process of the National Development Plan, the National Strategy for Sustainable Development, and the National Climate Change Response Strategy, and all its related strategies and programmes such as the newly approved National Adaptation Strategy and Nationally Determined Contributions.	S
4. Complementarity with existing interventions	The project builds on the work of the First National Communication submitted to the UNFCCC in December 2003 and the Second National Communication in November 2011.	S
B. Quality of Project Design	The project design was based on a simple TOC that presented a schematic diagram of outputs to outcomes to impacts, without an analysis of assumptions and drivers. The project components, outcomes and outputs were based on the chapters and sub-sections of the TNC and the BUR, rather than on an analysis of causal pathways. Aligning the project components and outcomes to the chapters and sub-chapters of the TNC and BUR templates resulted in two project design weaknesses: a) The TOC was not properly developed. The results (components, outcomes and outputs) did not comply with the standard UNEP definitions in the TOC Guidelines, with many outcomes set at the equivalent of activities. Intermediate states ⁸⁰ and impacts were not identified; b) the project logframe is unnecessarily long and complex with 7 components and 8 sub-components (under component 6), 33 outcomes and 91 outputs ⁸¹	MS

⁷⁹ Ratings range from unsatisfactory to highly satisfactory abbreviated as: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

⁸⁰ Intermediate states of an intervention are expected to result from its outcomes, with the support of certain drivers and assumptions. They are usually changes in capacity at the societal level or changes in individual, group or organizational behavior resulting from the application of capacities acquired at the individual and institutional level. Because achievement of intermediate states depends on the presence of favorable external conditions, the project staff of an intervention cannot be held accountable to the same extent for the achievement of intermediate states as they would be held accountable for the achievement of its outputs and outcomes i.e. outputs/project outcomes are the locus of accountability for project staff.

⁸¹ DFFE, 2021: South Africa's First NDC, 2020 Updated draft. Pretoria, South Africa.

Criterion	Summary Assessment	Rating ⁷⁹
C. Nature of External Context	The project was designed after the COP 17, which raised the awareness of climate change issues in all segments of South African society. At the time of designing the project, there was, therefore, high levels of awareness, goodwill and support for climate change related projects for South Africa at the national, regional and international levels.	F
D. Effectiveness	The project has delivered on all the programmed outputs. It has also produced two additional BURs (BUR-2 and BUR-3) at 52 percent of the provided budget. UNFCCC has confirmed progressive improvement in the quality of the project outputs.	HS
1. Availability of outputs	All programmed outputs were delivered plus two additional BURs	HS
2. Achievement of project outcomes	<p>The project products are being used and are contributing to results and impacts. The country has demonstrably improved its standards of reporting to the UNFCCC. The NGHGIS has enabled the country to prepare and manage data collection and analysis, as well as to gather all relevant information related to climate change in the most consistent, transparent, and accurate manner for both internal and external reporting.</p> <p>Mitigation and adaptation measures have been extensively integrated into national and sectoral development plans and priorities. The project is relevant to old and new policy instruments such as the Carbon Tax Bill, Carbon Offsets Regulations, Greenhouse Gas Emissions reporting, Climate Change Bill and Pollution Prevention Plan Regulations. It is also relevant to mitigation and adaptation strategies such as the Green Transport Strategy, the post 2015 National Energy Efficiency Strategy for industry; transport; public and commercial and agriculture and all the near-term priority flagship programmes.</p>	HS
3. Likelihood of impact	The clearest impact pathway is provided by the fact that there is extensive mainstreaming of up-to date, more scientifically credible mitigation and adaptation measures into national and sectoral policies as well as the climate response plans (with associated adaptation strategies) of the provinces, metros and cities. These instruments of development receive regular budgetary allocations, so are guaranteed to be implemented.	HL
E. Financial Management	The audit report of March 2018 confirmed that: a) analysis of the specific financial and non-financial information revealed that the project funds were used as per the project objectives; b) the expenditure reports provided true and fair view of the financial	S
1. Adherence to UNEP's policies and		S

Criterion	Summary Assessment	Rating ⁷⁹
procedures	condition and performance of the project; c) the executing agency complied with the agreement protocols, including those with the consulting service providers. It concluded that the funds had been used efficiently, effectively, economically and ethically.	
2.Completeness of project financial information		S
3.Communication between finance and project management staff		S
F. Efficiency	The TE received complete financial records, and found evidence of effective communication between finance and project management staff	
	The project initial plan was to produce BUR-1 and the TNC at a total cost of US\$ 4,006,650. It delivered three BURs (BUR-1, 2 and 3) and the TNC at a total cost of US\$ 2,071,040, which is 52 percent of the allocated budget. The Technical Teams of Experts of the UNFCCC have confirmed in writing that these products have consistently improved the quality, quantity and transparency of reporting; thus, the under expenditure did not compromise the project performance or the quality of its outputs.	HS
G. Monitoring and Reporting		S
1. Monitoring design and budgeting	The budget was 1.89 percent of the total GEF Grant of US\$ 4,006,650. This is well below the “rule-of-thumb” recommended allocation to M&E of between three to five percent. However, M&E was supported by the DFFE staff, as in-kind co-finance.	MS
2. Monitoring of project implementation	Although the original M&E plan was relatively basic, it was easy to use to monitor the outputs, which was the focus of project implementation. However, M&E information could have been used to monitor higher level results and to justify formulation of a gender, human rights and safeguards strategies.	MS
3.Project reporting	Project reported on extensively in-country and at the international levels – at all the relevant COP meetings.	S
H. Sustainability		HL
1. Socio-political sustainability	There is strong ownership, interest and commitment among stakeholders and government, which extends to the levels of government with the mandate and power to sustain outcomes, thereby mitigating dependency. These conditions are likely to secure sustainability, unless there is change in the current government policy and political will to mainstream climate risk into development. Furthermore, integrating climate change in tertiary and distance education programmes will sustain awareness raising, promoting sustainability	HL
2. Financial sustainability	The NDC confirms the country’s intention to continue producing BURs and NCs. South Africa has already submitted its fourth BUR in 2021, and will continue submitting BURs until transitioning to	HL

Criterion	Summary Assessment	Rating ⁷⁹
	Biennial Transparency Reports (under the Paris Agreement, in terms of decision 18/CMA.1). South Africa continues to benefit from international climate finance, including the GEF support programme on Enabling Activity projects, under which BURs and NCs are produced.	
3. Institutional sustainability	The country has developed the National GHG Inventory System, whose institutional sustainability is guaranteed through: i) the formalization of a National Entity (the DFFE) responsible for the preparation, planning, management, review, implementation and improvement of the inventory; ii) legal and collaborative arrangements between the National Entity and the institutions that are custodians of key source data; iii) elaboration and approval of National GHG Emissions Reporting Regulation, introducing a single national reporting system for the transparent reporting of greenhouse gas emissions,	HL
Factors Affecting Performance and Cross-Cutting Issues		HS
1. Preparation and readiness	High political support for the use of science-led policy processes.	HS
2. Quality of project management and supervision	Excellent project management and supervision by both the DFFE and UNEP. There was good collaboration between the Implementing and Executing Agencies.	S
a) UNEP as IA b) DEFF as Executing Agency		S
4. Stakeholder's participation and cooperation	Excellent engagement by the stakeholders, facilitated by effective leadership and coordination by the DFFE.	HS
5. Responsiveness to human rights and gender equity	Project design did not integrate human rights or gender equity. However, since the impacts of climate change and natural disasters affect the poor, the marginalized, men, women and children differently, this issue should have been addressed during implementation. The fact that the effect of these issues on the project was not monitored does not confirm lack of impacts on these groups, or impacts of the existing issues on project effectiveness.	MS
6. Environmental and social safeguards	Project design did not benefit from an analysis of environmental and social impacts on the project participants. Although the project was primarily focused on gathering quality up-to date information to produce the BURs and the TNC, there is no information to conclude that it had no environmental and social impacts on participants.	MS

Criterion	Summary Assessment	Rating ⁷⁹
7. Country ownership and driven-ness	High levels of Country ownership and driven-ness	HS
8. Communication and public awareness	Effectively communicated via reports, policy briefs, sharing experiences at the international events and locally via translated products.	HS
Overall Project Rating		HS

Table 15: Detailed Ratings and Weightings

Evaluation criteria	Rating	Score	Weight	Weighted Score
Strategic Relevance (select the ratings for sub-categories)	Satisfactory	5.0	6	0.3
Alignment to UNEP's MTS, POW and strategic priorities	Satisfactory	5	0.5	
Alignment to Donor/Partner strategic priorities	Satisfactory	5	0.5	
Relevance to regional, sub-regional and national issues and needs	Satisfactory	5	2.5	
Complementarity with existing interventions	Satisfactory	5	2.5	
Quality of Project Design	Moderately Satisfactory	4	4	0.2
Nature of External Context	Favourable	2		
Effectiveness (select the ratings for sub-categories)	Highly Satisfactory	6.00	45	2.7
Availability of outputs	Highly Satisfactory	6	5	
Achievement of project outcomes	Highly Satisfactory	6	30	
Likelihood of impact	Highly Likely	6	10	
Financial Management (select the ratings for sub-categories)	Satisfactory	5.00	5	0.3
Adherence to UNEP's policies and procedures	Satisfactory	5		
Completeness of project financial information	Satisfactory	5		
Communication between finance and project management staff	Satisfactory	5		
Efficiency	Highly Satisfactory	6	10	0.6
Monitoring and Reporting (select the ratings for sub-categories)	Satisfactory	4.67	5	0.2
Monitoring design and budgeting	Moderately Satisfactory	4		
Monitoring of project implementation	Moderately	4		

Evaluation criteria	Rating	Score	Weight	Weighted Score
	Satisfactory			
	Highly Satisfactory	6		
Project reporting	Highly Satisfactory	6		
Sustainability (select the ratings for sub-categories)	Highly Likely	6.00	20	1.2
Socio-political sustainability	Highly Likely	6		
Financial sustainability	Highly Likely	6		
Institutional sustainability	Highly Likely	6		
Factors Affecting Performance (select the ratings for sub-categories)	Highly Satisfactory	5.22	5	0.3
Preparation and readiness	Highly Satisfactory	6		
Quality of project management and supervision	Satisfactory	5.00		
UNEP/Implementing Agency: (select the ratings for sub-categories)	Satisfactory	5		
Partner/Executing Agency: (select the ratings for sub-categories)	Satisfactory	5		
Stakeholder participation and cooperation	Highly Satisfactory	6		
Responsiveness to human rights and gender equity	Moderately Satisfactory	4		
Environmental and social safeguards	Moderately Satisfactory	4		
Country ownership and driven-ness	Highly Satisfactory	6		
Communication and public awareness	Highly Satisfactory	6		
Overall Score			100	5.70
Overall Rating			Highly Satisfactory	

Recommendations

Recommendation #1:	Match resource mobilization strategy with the ambition of the project.
Challenge/problem to be addressed by the recommendation:	<p>Unrealistic resources mobilization strategy where the either the project outcomes are not ambitious enough to fully utilise the allocated budget, or the costing of project work is not accurate.</p> <p>The project spent 52 percent of the allocated budget, even after delivering all the programmed outputs and two additional BURs. It was extended by one year, from an original closure date of September 2018 to December 2019. However, since all the programmed outputs had been delivered by the programmed project</p>

	end of December 2018, the extension seems to have been necessitated by availability of surplus project funds. A request for a third cost-neutral extension to produce BUR-4 was declined, forcing the project to refund the balance of funds totalling US\$ 2,071,040.77 (48 percent of the approved budget). This suggests that either the resource mobilization strategy was over generous or the project outcomes were not ambitious enough for the allocated budget, or both. It is important to match the cost of project implementation to the requested budget to avoid similar situations.
Priority Level:	Opportunity for improvement:
Type of Recommendation	Partners
Responsibility:	UNEP to convey to Partners
Proposed implementation time-frame:	Immediate uptake in the process of supporting countries to formulate Enabling Activity (EA) projects.

Recommendation #2:	Use TOC in the design of EA projects, even when the budget is below one million US dollars.
Challenge/problem to be addressed by the recommendation:	<p>Weak project design that does not identify higher level results and simplistic monitoring systems that fail to capture the use of project outputs and therefore fail to monitor achievement of results and impacts.</p> <p>UNEP has developed a new template for designing EA projects that depart from the use of the chapters of the National Communication and BUR as project components. However, it is recommended that the design of these projects be informed by a more robust TOC analysis. This will enable these projects to identify outcomes, impacts, drivers and assumptions, and set up systems to monitor potential results at the higher level. As demonstrated by this TE, these investments can, and are having, transformative changes on the ground that may not be formally captured or communicated, due to the way the project design is articulated and its implementation monitored.</p>
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	Immediate uptake in the process of supporting countries to formulate EA projects.

Recommendation #3:	Commission an impact assessment of the many EA projects being implemented under this category, to fully capture the impacts and lessons learnt
Challenge/problem to be addressed by the recommendation:	Inadequate capture and dissemination/sharing of impacts of EA projects.

	UNEP has been the Implementing Agency for many EA globally, most of them being Small Size, with a budget of under one million US dollars. Until recently, these projects utilized the same template as the TNC project, focused on outputs, and were not subjected to terminal evaluations. As demonstrated by this TE, results can be traced. UNEP should commission an assessment of several EA projects to capture impacts and lessons, to inform further EA programming.
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	To be determined by UNEP, depending on availability of funds and staff time.

Recommendation #4:	Include human rights, gender, social and environmental safeguard in EA project design
Challenge/problem to be addressed by the recommendation:	<p>Inadequate integration of gender and human rights, social and environmental safeguard issues into the project design, implementation and monitoring.</p> <p>Impacts of climate change have gender and human rights aspects. Climate change and natural disasters affect the poor, marginalized, women and men differently. Despite the vulnerabilities experienced by women and girls, they are often unable to voice their specific needs. The exclusion of these voices also means that their extensive knowledge of the environment and adaptation/coping mechanisms is untapped.</p> <p>Without subjecting any project to social and environmental safeguards screening, there is no basis for concluding that the project would not cause such negative impacts.</p>
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	Immediate uptake in the process of supporting countries to formulate EA projects.

Lessons learned

151. Lesson 1: Clear and effective government leadership is critical for value-added collaboration by all climate change relevant stakeholders. All the respondents to the TE confirmed that the DFFE provided clear leadership and effectively energized the participation of the private sector, academia, industry, other government agencies and civil society in the production of the Third National Communication and the Biennial Update Reports. South Africa shared its experience of stakeholder engagement in

the production of BURs and NC reports at the facilitative sharing of views for BUR-2 in Bonn, Germany in June 2019, where it was commended by other parties for inter alia, lessons on public consultation processes. Respondents to the TE attributed the leadership provided by DFFE to the government's commitment to have policies on climate change that are informed by science. This lesson is worth sharing with other governments in Africa to strengthen stakeholder facilitation and participation in the climate change policy processes and in meeting countries' reporting obligations under the UNFCCC. This is important because the governments do not always have all the information required to generate these reports, and withholding of such information is often cited as a barrier to improving the quality of such reports.

152. Lesson 2: Existence of systems to enable relevant stakeholders to use the information generated by a project in planning projects and climate response strategies at the national, provincial, district and municipality levels is critical to accelerated uptake of project outputs and achievement of results. The country had several ready systems that enabled the immediate uptake of the project-generated information, three notable ones include:

- a. The Local Government Climate Change Support Programme (LGCCSP), a large-scale capacity-building programme that helps provinces and municipalities (districts and metropolitan) to understand and respond to climate change. Its key objectives are to (1) mainstream climate change into subnational development planning and (2) support municipalities in project development and financing. Under LGCCSP, all 44 district municipalities, all eight metropolitan municipalities (e.g. City of Cape Town and City of Johannesburg) and provinces (e.g. Western and Eastern Cape and Gauteng Province) have developed climate change response strategies and adaptation action plans. The information provided by the project was used to update these plans.
- b. The Flagship Programmes, which are strategic measures, intended to serve as a rallying point to trigger large scale transition to a lower carbon economy and a resilient South Africa. They are meant to be ambitious and transformative in design, scale and impact, and make a practical contribution to achieving existing commitments in terms of the national lower carbon growth trajectory and climate resilience. Flagship Programmes include: i) The Climate Change Response Public Works Flagship Programme; ii) The Water Conservation and Demand Management Flagship Programme; iii) The Renewable Energy Flagship Programme; iv) The Energy Efficiency and Energy Demand Management Flagship Programme; v) The Transport Flagship Programme; vi) The Waste Management Flagship Programme; vii) The Carbon Capture and Sequestration Flagship Programme; and viii) The Adaptation Research Flagship Programme.
- c. The country has adopted Sectoral Emission Targets (e.g. in the energy, agriculture, and waste sectors) as an instrument for setting quantitative limits on future GHG emissions, in a bid to achieve the overall commitments on mitigation. Furthermore, GHG Reporting Regulations approved in 2017 have made it mandatory for large emitters to submit Annual Pollution Prevention Plans detailing plans to cut GHG emissions, and progress made in doing so. Company level carbon budgets were introduced for large emitters on a voluntary basis in a first phase, in line with provisions in the Nationally Determined Contributions.

153. By providing current, knowledge-based information on climate issues, the project met 'a felt need'. Thus mainstreaming the climate issues in these and numerous other programmes and strategies has provided sustainable impact pathways, making the modest investment highly transformative.

154. **Lesson 3: Well-positioned, modest GEF investments can have far reaching, transformative results, when the country-enabling environment is 'right'.** Although the project design did not include or allow the monitoring of higher level results (outcomes, impacts, assumptions underlying the TOC), the Reconstructed TOC identified them (higher level results), enabling the TE to find evidence of the use of the project outputs to bring about changes in institutional arrangements and systemic capacities for reporting to the UNFCCC and integration of climate issues into policies, programmes and strategies at all levels (national, provincial, district, municipality). The TE finds that the enabling conditions that made it possible for these results to be achieved include:

- i) Government willingness to engage stakeholders meaningfully in the project process, and putting in place a clear strategy for such participation;
- ii) The high levels of awareness of the issues around climate change and its impacts on economic development and livelihoods in the country, partly generated by the country hosting of COP 11 in 2011;
- iii) As a result of (i) and (ii), willingness of the relevant stakeholders to participate and provide relevant information, including industry and other private sector;
- iv) Presence of institutions with relatively high capacities for undertaking project tasks, including government agencies, non-government organizations and the private sector.

155. These are conditions that other governments in the region can put in place to increase the effectiveness of GEF and national investments in the EA projects.

Annex 1: Response to Stakeholders' Comments

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
1. Pg 12 as commented	We have always been adamant and agreed with UNEP in previous meetings, that in terms of institutional arrangement, the project is to contribute to SA's achievement to have clear Institutional arrangements, these thing take time and there is no way such can be achieved by the end of the project. (DFFE). See para 15 on pg. 13 , which matches well with our comment	As per the explanations provided during the Inception-Phase discussions, it is well recognized that projects contribute to outcomes, and the evaluation aims to find (and report) the evidence of such contribution. Indeed, this is clearly stated in para 7 of the TE report ... <i>"As per GEF and UNEP evaluation guidance, the Theory of Change (TOC) for this project was reconstructed to enable a meaningful evaluation, presented in Table 6 and Figure 2. The reconstructed TOC identifies three outcomes which <u>South Africa intends to achieve over time and to which this project contributes</u>⁸².</i>	The Evaluation Office sees no substantive issue here. Through the reconstruction of the TOC and a clear articulation of outcome level results, this evaluation was able to credit the project with contributions leading to a Highly Satisfactory performance at the Outcome level. Without such articulation recognition of achievements and learning would have been lost. The text remains as is.
2. Para 7, pg 12	Cant find figure 2 - please check	Changed to figure 3	Check – I think this should be figure 3 (please do a search on all figures to see if they are correct)
3. Para 11, pg 13	TNC GHG inventory time series is 2000-2010, please correct accordingly	Corrected – thank you.	Correction noted
4. Para 18	We agreed that language to be used is not properly designed instead of words like "weak,".	If a project is not properly designed, it will have a weak design. As discussed and agreed in the past, the role of designing the project largely lies with UNEP, not government;	The report makes it clear, with the inclusion of clarifying phrase in parenthesis (<i>albeit approved by both UNEP and GEF</i>) that no

⁸² The three outcomes are: a. South Africa has improved standards of reporting to the United Nations Framework Convention on Climate Change by generating and using better quality and quantity of information for the Third National Communication, Biennial Update Reports 2 and 3 (producing knowledge-based products). b. South Africa has clear institutional arrangement and systemic capacities to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in greenhouse gas levels; c. Mitigation and adaptation measures are integrated into national and sectoral development plans and priorities (through the implementation of the national climate change response strategy).

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	<p>As agreed SA was never made aware of this and both UNEP and GEF approved and were happy with the design</p>	<p>and UNEP already acknowledged (owned) the weak design and have made steps to correct it. According to UNEP TE guidelines, <i>the evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the GoSA. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, to inform the next proposed project.</i></p> <p>It would not be a useful TE if it does not explicitly identify these lessons.</p>	<p>responsibility for the design of the project is being directed towards the government of SA.</p> <p>Constructive evaluation is required for institutional learning. UNEP has already taken steps to address this learning. The text remains as is.</p>
<p>5. Para 20</p>	<p>The however statement is pre-emptive, and it cannot be accepted by SA government. it is also possible that if GEF had gender scoring requirements at the time, the project might have been implemented differently taking into account applicable gender considerations</p> <p>This becomes and unfair point - as an hypothetical judgement is not passed on the basis of an ex-post review, yet the point is admitted that this was never included right at the beginning.</p> <p>Recommendation</p>	<p>The statement in para 20 has been edited and now states: <i>"The project was not subjected to a gender marker scoring at design as this system was introduced in 2015, just after this project was approved. If this project design were to be scored today it would receive a score of zero – meaning gender relevance is evident but not at all reflected in the project document. Project formulation was not informed by a specific gender assessment and did not integrate human rights, social and environmental safeguards issues in the design or implementation"</i>.</p> <p>According to the UNEP TE Guidelines: Where a project was designed and approved before the UNEP Gender Policy was implemented (2015), the consultant should: note the gaps in gender sensitivity and responsiveness in the design; incorporate questions in the evaluation framework to explore whether gender responsiveness was improved through adaptive management, <u>but not reduce the score for the Quality of Project Design because of its weaknesses in the area of gender</u>. The finding on the gender is in compliance with these UNEP guidelines.</p>	<p>The Evaluation Office is required, by funding partners and external oversight offices, to provide assessments of gender responsiveness in all its evaluations. The evaluation is consistent with this requirement and does not penalise the project design for the absence of this element.</p> <p>The Evaluation Office also notes that although the UNEP gender score marker system itself was only introduced in 2015. UNEP begun including gender commitments in its strategic plans and guidance from 2010 onwards and this project was approved in 2014.</p> <p>Reflections on gender considerations are considered appropriately covered.</p>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	<p>-This point should rather be put as a future consideration into subsequent programming.</p>		
<p>6. Pg 15 recommendation 2</p>	<p>Weak design repeated, please change to not properly designed throughout the document as per our comment above and previous recommendations as in final inception report agreed to between DFFE and UNEP and the evaluator. Also whenever this is mentioned, provide context that both UNEP and GEF approved it without bringing any issues to the attention of SA</p> <p>If this is the recommended intervention to a problem of Weak project design, then the underlying cause to weak project design should properly be articulated, that it is rooted either in the basic theory of changed that guided the design (or if the finding is in lacking capacities to that</p>	<p>See response to comment number 3.</p> <p>Please note that the recommendation is addressed to UNEP for adoption across UNEP programming, not the Government. Furthermore, as explained above, UNEP has acknowledged this weakness and is addressing it.</p> <p>Recommendation 2 states: <u>Weak project design <i>that does not identify higher level results</i> and <i>simplistic monitoring systems that fail to capture the use of project outputs</i> and therefore <i>fail to monitor achievement of results and impacts.</i></u> A fuller explanation is provided in para 69 – see below:</p> <p>“In line with the common practice at the time of project design across the GEF Implementing Agencies, project design was framed in a Results Framework that presents a schematic diagram of outputs to outcomes to impacts, without an analysis of assumptions and drivers. The project components, outcomes and outputs are based on the chapters and sub-sections of the TNC and the BUR, rather than on an analysis of causal pathways. Aligning the project</p>	<p>‘Weak’ is considered a more accurate phrase. ‘Not properly designed’ could be construed to refer to the design process.</p> <p>The Recommendation itself states the corrective action needed ‘Use TOC in the design of Enabling Activity projects’.</p> <p>No further changes to the text needed.</p>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	design, that should be clearly stated)	components and outcomes to the chapters and sub-chapters of the TNC and BUR templates resulted in two project design weaknesses: a) The TOC was not properly developed. The results (components, outcomes and outputs) did not comply with the standard UNEP definitions in the TOC Guidelines, with many outcomes set at the equivalent of activities. Intermediate states ⁸³ and impacts were not identified; b) the project logframe is unnecessarily long and complex with 7 components and 8 sub-components (under component 6), 33 outcomes and 91 outputs ⁸⁴ . It is however noted that both UNEP and the GEF approved the project TOC and did not at any stage bring the weaknesses to the attention of South Africa as the applicant. In addition, both UNEP and GEF have already recognized the challenge of aligning the project's results with the chapters of NCs and BURs, and have updated the template for both."	
7. Para 59 (e)	Rephrase as per above comments and , we discussed this issue a lot on TOC , we agreed that the project is to contribute to SA having clear IA	See response to comment 1.	No edits made – the articulation of the outcome supports the assessment of the project's contribution to the achievement of outcomes as 'highly satisfactory'
8. Figure 3	Revise language on IA as per above comment	See response to comment 1.	
9. Para 86	Please amend as per above inputs	See response to comment 1.	
10. Para 123	you need to make it clear that UNEP did not monitor the co-finance as no reports were	The text in para 123 has been amended to include UNEP. Co-Financing: Apart from the government co-finance, information on co-finance was not readily available; suggesting that	Addition of the reference to UNEP is accepted. An edit to remove the informal phrase 'to the last coin' is proposed. The

⁸³ Intermediate states of an intervention are expected to result from its outcomes, with the support of certain drivers and assumptions. They are usually changes in capacity at the societal level or changes in individual, group or organizational behavior resulting from the application of capacities acquired at the individual and institutional level. Because achievement of intermediate states depends on the presence of favorable external conditions, the project staff of an intervention cannot be held accountable to the same extent for the achievement of intermediate states as they would be held accountable for the achievement of its outputs and outcomes i.e. outputs/project outcomes are the locus of accountability for project staff.

⁸⁴ DFFE, 2021: South Africa's First NDC, 2020 Updated draft. Pretoria, South Africa.

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	<p>given to SA on UNEP's contribution to their co-finance and as mentioned government reports to implementing agency vice versa. UNEP also took accountability for this mishap. why would co-finance by SA not be to the last coin? Was SA supposed to account more or less than what it committed? also the fact that BUR2 was compiled internally should be reflected as a positive toward by SA government in contributing t co-finance, also as part of salaries of project stuff at DFFE are mentioned.</p>	<p>provision of co-finance was poorly monitored, especially by UNEP.</p> <p>Furthermore, the text already acknowledges that the government might have spent more co-finance than reported due to the fact they produced BUR 2 internally – see the sentence below:</p> <p><i>"It is also unlikely that the government co-finance was provided in the exact amount committed to, given that BUR 2 was produced by DFFE staff members without any outside assistance."</i></p> <p>The reference to 'the last coin' has been removed.</p>	<p>unfunded contribution by SA staff to the BUR 2 is already noted.</p>
<p>11. Para 121</p>	<p>This statement is very false and I personally take offence to it on behalf of myself and SA government. I understood the overall financial status of the project, from the disbursed funds to the total expenditure. i did the final reconciliation of the TNC project and managed both expenditure and disbursement of funds throughout the project. in addition, I did the project closure with UNEP and I don't know how i would do it if I only understood disbursed funds. I managed all audits to the final</p>	<p>The statement has been removed. The para now reads as follows: "The PM, UNEP Task Manager and FMO demonstrated a clear understanding of the overall project's financial status. The TE finds no unresolved challenges regarding financial management issues among Fund Management Officer, the Project Manager and the UNEP Task Manager. The Project Manager, Task Manager and Fund Management Officer were all responsive to financial requests during the evaluation process."</p>	<p>Edit accepted.</p>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	<p>audit which demonstrated that that the project was run effectively and ethically and clearly showed disbursed funds, expenditure incurred and what was left and the transfer thereof including cr.-finance. The only things i mentioned to not know where the accountability of UNEP's co finance which UNEP agreed it was their responsibility. I will not accept this statement, neither will the SA government. This is travesty to my hard work and that done by the SA government on this project.</p> <p>This statement has to be corrected, I will not accept this report if it is not, and neither will the DFFE</p>		
12. Para 130	please amend as per above comments: we agreed on rather not properly designed, and to always corroborate that UNEP and GEF approved and at no point raised design issues to SA. Please revise as such	See response to comment 1	See above.
13. Table 12 rating on human rights, gender and	context need to be given especially since gender ratings were not available at the time. We are being	The context is provided in Box 5 (now Box 6). The project document is silent on environmental safe guards and human rights, and there is no environmental and social safeguards management plans. The TE was implemented in accordance	A particular system of gender score marking was introduced by UNEP in 2015 but this does not mean there were no requirements on gender and/or safeguards

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environmental safeguard including explanation on Box 5	negatively judged on aspects which were not part of the project design at the time and it is very unfair, its worse that context is not even given. Regarding environmental safe guards and human rights, these were clearly considered, the project contributed to SA effectively monitoring GHG emissions and implementing mitigation actions that reduce GHG emissions which by design contribute to uplifting human rights in SA and around the world. in addition, the TNC went out of its to identify vulnerable sectors at national and provincial levels and propose adaptation outcomes which are desirable. This contributes to both uplifting human rights and safeguarding the environment. These ratings should be revised! As they are, they are unacceptable to SA government.	with the UNEP TE guidelines, which among other things, requires the TE to be based on evidence. The consultant has no power to change the guidelines.	in the design of projects in 2014. Specifically, the UNEP GEF Unit introduced a Safeguards Review Checklist which includes consideration of disproportionate effects on vulnerable groups, including women, under Social Impacts, in 2011. The rating and explanatory text in Box 6 are found to be appropriate.
14. Pg 76	What is F rating?	Favourable. Footnotes explaining the abbreviations have been provided in all the relevant evaluation ratings tables.	Evaluator to check that guide to ratings abbreviations is footnoted in each table/point of useage.
15. Para 1	Can this be sufficient/ substantively be elaborated? In other words, how can any future impacts be attributable to TNC in particular	Para 15 (executive summary) explains how the outcomes are expected to contribute to impacts (in accordance with the reconstructed TOC) (see para 15 below. The linkages are further elaborated in Section 5 (Evaluations Findings); under B (Achievement of Results) and B1 (Likelihood of impacts) –	Explanation is found to be appropriate and adequately elaborated.

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		<p>paras 96 – 119.</p> <p>Para 15: <i>"The project has made significant contributions to the clarification of clear institutional arrangements and systemic capacities to sustain knowledge-based, multi-level and multi-stakeholder participation in monitoring and reporting of mitigation actions and changes in Greenhouse Gas levels. The project supported the development of the critical National Greenhouse Gas Inventory Management System, which ensures transparency, consistency, comparability, completeness and accuracy of inventories as defined in the guidelines for the preparation of inventories. Furthermore, the TE finds that the extensive mainstreaming of up-to date, more scientifically credible mitigation and adaptation measures into national policies, sector policies, provincial development programmes and strategies, metros and cities adaptation plans and strategies provide a clear and sustainable pathway to impacts; thus the project will, in the long run, contribute to reduced Greenhouse Gas emissions and more resilient economies and livelihoods."</i></p>	
16. Para 7	<p>We discussed at length on this TOC - and if I recall clearly we landed at a compromise - the safeguard of this possibly achieving the additional outcomes and beyond the scope of this project sounds fair.</p> <p>In addition - an acknowledgement in the report that the additional aspects were not part of the simplified model that informed the project</p>	<p>The TE was guided by UNEP TE guidelines, which require a TOC be reconstructed at TE. The consultant cannot change these guidelines.</p> <p>Para 7 states: <i>"As per GEF and UNEP evaluation guidance, the Theory of Change (TOC) for this project was reconstructed to enable a meaningful evaluation, presented in Table 6 and Figure 2. The reconstructed TOC identifies three outcomes which South Africa intends to achieve over time and to which this project contributes"</i>.</p> <p><i>Reconstructed TOC</i> suggests these outcomes were not part of the original design. This is further explained in Section IV</p>	<p>The Evaluation Office clarified the need for a reconstructed TOC in the evaluation and gave repeated assurances that only the project's contribution at Outcome level was being assessed, with full consideration of the time that is required for full achievement to be made.</p> <p>As the project was found to have performed at a 'highly satisfactory' level in its outcome level contributions, to limit the outcomes would be to deny the project the opportunity to gain this credit.</p>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	framework at the beginning.	<p>(Theory of Change at Evaluation), paras 59 – 62.</p> <p>The following sentence in para 59 acknowledges GoSA concern: <i>"However, the Evaluation Team recognises the concerns of the Executing Agency that the outcomes described in the RTOC (in text and diagram in Figure 3) may only be achievable over time and beyond the end of this project."</i></p>	The Evaluation Office finds that the current articulation of the outcomes supports learning and provides an appropriate framework to allow the project's achievements to be recognised.
17. Para 17	<p>this point doesn't seem to be consistent with the point raised in para 129 below on the same point attributable to "programme efficiency" in relation to the very same fact. Check this versus paragraph - unless para 129 extends such efficiency in qualitative terms</p> <p>Recommendation</p> <p>-Perhaps - clarifying the "efficiency" in para 129 - that the scope thereof is explained.</p>	<p>Para 17 is in the Executive Summary – highly summarized. Para 129 is in Section 5 (Detailed Evaluations Findings).</p> <p>The following has been added:</p> <p><i>Furthermore, the project adopted time-saving measures during the project design and implementation that increased project efficiency, leading to the delivery of project outputs at lower than expected cost</i></p>	@Nyawira – please consider adding text.
Comment by Peer Reviewer		Evaluator's Response	Evaluation Office Response
Comment 10: On M&E in the executive summary - Is it a main finding? I don't think it should be presented in the Executive Summary		Para 19 (on M&E in the executive summary) has been removed.	Accepted

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	<p>Comment 11: An introduction is missing: " Concise statement of the purpose of the evaluation and the key intended audience for the findings" There is no mention of the 2018 mid-term review.</p>	<p>New para 27. <i>This terminal evaluation was conducted in line with the UNEP Evaluation Policy⁸⁵ and the UNEP Programme Manual⁸⁶ (see details in the Section on Methodology, below). The TE builds on the findings of the Mid-term Review undertaken in May 2018, which found the project to be Highly Satisfactory. The TE had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the GoSA. Therefore, the evaluation identified lessons of operational relevance for future project formulation and implementation, to inform the next proposed projects. The target audiences for the evaluation findings are the project's key stakeholders; the Climate Change Division of the Government of South Africa, the GEF, the Economy Division, Climate Mitigation, Energy and Climate Branch of the UN Environment. Other target audience include all the national and regional stakeholders such as the academia, governmental and non-governmental organisations engaged in the project. The UN Environment is particularly keen on learning lessons on how to handle evaluations of enabling activity projects, which normally deliver outputs without expectations of higher level results such as outcomes and impacts.</i></p>	<p>Accepted</p>
	<p>Comment 12: When was the initial national communication formulated</p>	<p>The sentence (para 24) has been edited to reflect the dates of the initial and 2nd NC reports. It now reads -- <i>Although considerable capacity had been built through the formulation of the Initial and Second National Communication reports (submitted in October 2000 and November 2011, respectively), the country...</i></p>	<p>Accepted</p>
	<p>Comment 16: Efforts made to triangulate the information/evidence derived from different sources and any challenges with conflicting accounts and measures taken to clarify or reconcile differences should be explained. There is no mention of actions</p>	<p>Para 36 (now para 37) has been modified to read as follows: Because the project was sharply focused on producing information for the TNC and BURs, it did not have 'the typical' project beneficiaries. It had no pilot activities anywhere and remained a national level project, to which provinces, municipalities and districts provided information as relevant.</p>	<p>Accepted</p>

⁸⁵ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

⁸⁶ <https://wecollaborate.unep.org>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
taken to increase response		<p>The project, therefore, had a limited number of participants. Respondents were therefore selected in a purposive manner aimed at providing as much information as possible, because they all had specialist knowledge of the project. The respondents were therefore selected to support an analysis of the project's performance against the Theory of Change, including all assumptions and drivers and across all results' levels (e.g. transition from outputs to outcomes; from project outcomes to intermediate states etc.). Discussions were held electronically (via phone, email, skype, zoom, MS teams) with the project management unit (PMU), members of the PSC and project focal persons in the institutions outlined above. <i>These discussions were guided by Evaluation Questionnaires (Annex 7) emailed to respondents with a request for an appointment. Phone calls were placed to the potential respondents in an attempt to increase the rate of response.</i> A total of 18 respondents were interviewed (12 female /6 male): consisting of eight staff members (3 females) of the DFFE, four members of the implementing and collaborating partners (all female) and six staff members of the Energy and Climate Branch of the Climate Mitigation Unit of UNEP (one male) (Table 2 and annexes 2 and 3). <i>Because there was no field work (due to Covid-19 restrictions), information gathered via discussions was cross-referenced with document reviews (described in the "Secondary Data Collection" section, below. Fortunately, there were no incidents of conflicting accounts in the information provided by either respondents or gathered from review of documents.</i></p>	
Comment on methodology - A sentence about ethics and anonymity should be included		<p>New para 28 reads – <i>Throughout the evaluation process and in the compilation of the Final Evaluation Report efforts have been made to represent the views of both mainstream and more marginalised groups. Data were collected with respect for ethics and human rights issues. All the information was gathered after prior informed consent from people, all discussions remained anonymous and all information was collected according to the UN Standards of Conduct'</i></p>	Accepted

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	Comment 18: Why is component 1 not described here?	New information highlighted in green in para 50 – Under Component 1 (<i>National Circumstances</i>) the project would describe the country's development priorities, objectives and circumstances, in reference to climate change. It would also describe the existing institutional arrangements for the preparation of communications to the UNFCCC	Accepted
	Comments 23 and 24: The diagram presents a Technical Working Groups on Implementation of the NCCRS and a GHG Inventory Unit but they are not mentioned in the narrative. Details on the Directorates should be given	The new text reads as follows, with new material highlighted in italics. The project's Implementing Agency was UNEP (Figure 2). <i>The project's executing Agency was the DFFE with technical and policy support of the South Africa Inter-Governmental Council on Climate Change, channeled through the Project Steering Committee (PSC).</i> All the relevant Directorates within the DFFE (<i>listed in Box 1</i>) were engaged in project implementation producing various outputs, in line with their mandates and in collaboration with relevant stakeholders (see Section C). Overall policy guidance was provided by the PSC chaired by the GEF Operational Focal Point, and composed of representatives of the former Departments of Agriculture, Forest and Fisheries, Mineral Resources, National Treasury, Transport (Road, Rail, Air, and Marine), Water Affairs, various research institutes, the Project Coordinator (Secretary), a representative of the Civil Society, a representative of Academia and Women's Organizations. <i>The National Climate Change Committee</i> had the overall and final decision on technical implementation of the project. Day to day project management was provided by a Project Management Unit (PMU), consisting of a Project Coordinator (head of the PMU), a Project Administrative Assistant, and an Accounting Officer. The PMU provided quarterly technical and financial reports to the PSC, at the national level, and to the Task Manager and the Fund Management Officer in UNEP.	Accepted
	Comment 25: Usually when a project had a MTE/MTR, are its main findings presented in the TE/TR? If yes, where should they be included?	MTR is now added in the text: A mid-term review (MTR) was conducted in May 2018, which rated the project as Highly Satisfactory (HS). However, the	Accepted

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		<p>MTR did not review the project design, so it did not reconstruct the TOC. The HS rating did not therefore, refer to the project design⁸⁷. The opportunity was lost for addressing some of the weakness in the TOC and project design as well as addressing gender, human rights and environment and social safeguards.</p>	
<p>Comments 26 to 29: The formal revision should also be explicitly mentioned here with its date and main changes. Was the results framework modified? Etc.</p> <p>When was the cost-neutral agreement signed? How many additional months were given?</p> <p>When and for how long?</p>		<p>G. The section has been amended as follows:</p> <p>H. E: Changes in Design during Implementation</p> <p>The project was approved in July 2014 and implementation started in September 2014. Although there was a delay in the first disbursement, the Government of South Africa obtained a grant of US\$ 70,000 from the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) to finance the BUR-1, submitted to the UNFCCC in December 2014. Consequently, the project was modified to produce the TNC and the second BUR (BUR-2). This required four additional assessments⁸⁸ to inform the scope of the GHG, mitigation and adaptation Chapters for BUR-2. This decision was approved by UNEP and the PSC. Further delays in implementation occurred due to staff movements. By mid-2016, the Climate Change Monitoring and Evaluation Chief Directorate lost key project personnel, including the Climate Change Information Director who was the senior manager responsible for the TNC and BUR-2 as well as 2000-2012 NIR. Other senior members of the government left the project in 2017, including the chief directors of the Directorates of Mitigation, Director of Monitoring and Evaluation, Project Coordinator and the Administrative Assistant. These changes necessitated a one year cost-neutral extension, approved via a Project Completion Agreement signed on 4th October 2017, extending</p>	<p>Accepted</p>

⁸⁷ The MTR report states that the project design was not reviewed during the MTR because the MTR consultant had participated in the project design.

⁸⁸ The four assessments are: i) South Africa's Projected GHG Emissions Pathways (now completed); ii) National Rainwater Harvesting Strategy (RWH); iii) Assessment of sustainability/ agricultural potential of priority value chains (Climate Smart Agriculture); iv) Effect of Policies & Measures on GHG emissions Reductions (PAMS).

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		<p>the project to October 2019. Furthermore, DFFE decided to use internal resources to develop BUR-2, using government co-finance. It therefore decided, with approval from the GEF and the PSC, to use the funds earmarked for BUR-2 to develop BUR-3. All three BURs and the TNC have been submitted to the UNFCCC: BUR-2 in December 2016; BUR-3 and TNC in June 2019 and March 2018, respectively.</p>	
	<p>Comment 35: The numbering of the outputs is wrong. Besides, 5 outputs are listed here while there are 6 in the TOC</p>	<p>Numbering corrected. Output 3.6 (communication strategy, Awareness etc.) was in reality implemented in conjunction with output 3.5 (A system of research and systematic observation developed and endorsed by government and the research community).</p>	<p>Accepted</p>
	<p>Comment 36: The assumptions underlying outcomes should be discussed</p>	<p>New text - The assumptions, drivers and intermediate states are described below.</p> <p>The first assumption was that relevant groups of stakeholders sustain commitment to the project and have means to participate. As discussed under the Stakeholder Section and throughout this report, commitment by relevant stakeholders (listed in Textbox 1) remained high during the planning and implementation of the project.</p> <p>The second assumption was that the private sector/industry has high quality data related to emissions and willingly share it. As confirmed by the improvement in the quality of the BURs and the TNC, the DFFE had full cooperation of all the stakeholders with data required for the development of the reports.</p> <p>The third assumption was that the capacity developed in government can be sustained/ no loss through high staff turnover. As discussed in Section E (Changes in Design during Implementation) there was high staff turn-over in the PMU. However, this had no lasting negative effect on the project's overall delivery. DFFE mobilized other capacities within the government to support the project and the project programmed deliverables had been produced within the</p>	<p>Accepted</p>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		original project timelines. As noted elsewhere the cost-neutral extension was most likely driven by the availability of funds rather than delays in producing programmed outputs.	
	Comment 37: What is the source of Figure 5?	Placing a footnote on the figure causes serious formatting errors. I have therefore put the source inside the sphere of the figure – Source: DEA. (2021). South Africa's 4 th Biennial Update Report to the United Nations Framework Convention on Climate Change. Pretoria. South Africa	Accepted
	Comment 38: Is it possible to give examples?	<p>A footnote has been inserted to clarify municipalities and provinces in RSA (<i>There are three categories of municipalities in RSA – metropolitan, district and local. The country has 278 municipalities comprising eight metropolitan, 44 district and 226 local municipalities. In addition, there are 8 provinces</i>).</p> <p>The text has been amended to read as follows: Furthermore, the Local Government Climate Change Support Programme (LGCCSP)⁸⁹ also used information generated via the TNC and the BURs. Led by the DEFF and implemented by a multi-stakeholder coalition, the LGCCSP is a large-scale capacity-building programme that helps provinces and municipalities across the country better understand and respond to climate change. Its key objectives are to (1) mainstream climate change into subnational development planning and (2) support municipalities in project development and financing.⁹⁰ Under LGCCSP, all 44 district municipalities, all eight metropolitan municipalities (e.g. City of Cape Town, City of Johannesburg) and provinces (e.g. Western and Eastern Cape, Gauteng Province) have developed climate change response strategies, with associated adaptation interventions. In addition, many national government departments are developing sector-specific climate change</p>	Accepted

⁸⁹ Facilitated by DFFE and the South African Local Government Association (SALGA), with funding from the GiZ and technical partnerships from many institutions.

⁹⁰ Y. Reddy, S. Pather-Elias, L. Keusen, P. Adriázola, P. Wolpe, M. Sithole, F. Nkohla, M. Tshangela and C. Thobela 2021: *The Local Government Climate Change Support Programme in South Africa. Real Practice in Collaborative Climate Action*. Berlin/ Cape Town: adelphi/ Sustainable Energy Africa.
https://www.localclimateaction.org/sites/localclimateaction.org/files/documents/v-led_south_africa.pdf Accessed on 6th Jan 2022.

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		plans, using the information generated by the TNC and BURs. They include water, agriculture and commercial forestry, health, biodiversity and ecosystems, human settlements.	
	Comment 39: The drivers and assumptions of the TOC could be more explicitly assessed	Addressed. Text has been added to the discussion on impacts. It is too lengthy to put in this comments table.	Accepted
	Comments 42, 43 and 44: clarify period of extension and provide further details on the PCA and why the extension had no impact on the project efficiency	The section has been edited and now reads: The project was extended by one year, from an original closure date of September 2018 to October 2019, via a PCA amendment signed on 4 th October 2017. However, this extension seems to have been necessitated by the fact that there was still money to spend, rather than delivery of the programmed outputs. BUR-1 was completed and submitted to the UNFCCC on 31 st December 2014, BUR-2 was submitted on 28 th December 2017 and the TNC was submitted in June 2018. The TE therefore concludes that the delay in the initial disbursement and the one year extension had limited effect on project efficiency ⁹¹ . A request for a second cost-neutral extension to produce BUR-4 was declined, forcing the project to refund the balance of funds totaling US\$ 2,071,040.77 (48 percent of the budget requested).	Accepted
	Comment 48: It is possible to give precise examples (of private sector and institutions with relatively high capacity)?	New text below. Examples include: Rhodes University, which hosts Africa's largest facility for research on plant responses to elevated carbon dioxide and climate change; University of Cape Town, which hosts the African Climate and Development Initiative. Private sector (consultants) who participated in the TNC project includes Gondwana Environmental solutions and Promethium Carbon. As stated in Box 1, several government institutions participated in the project include CSIR, SANBI, SANERI, ERC, etc.	Accepted

⁹¹ As argued elsewhere, these extensions are more likely a reflection of the weak project design, which led to inaccurate budgeting, thereby an allocation much higher than would be required to deliver the programmed outputs.

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
	Comment 53: The paragraphs below are about gender and human rights. A paragraph should be dedicated to environment and social safeguards.	<p>Added safeguards texts.</p> <p>Safeguards: <i>As explained by FAO92, projects can have both positive and adverse effects on people. Safeguards policies are essential tools for protecting people and their environment from potential adverse impacts, and enhancing benefits being provided. Although the TNC project dealt largely with information gathering, an analysis of safeguards would have been beneficial to identify and enhance the positive effects of the project, and provide certainty on the absence of adverse effects.</i></p>	
	Comment 55: rating for Monitoring and Reporting is MS in the narrative of the report and S in the ratings table	Fixed. MS is the overall rating for Monitoring and Reporting.	Accepted that the text reflects a MS rating
	More lessons learned could be presented, especially about the successful involvement of sub-national entities (provincial, district, municipality). How was it made possible? This could be interesting in terms of replication	<p>New lesson added is below.</p> <p>Existence of systems to enable relevant stakeholders to use the information generated by a project in planning projects and climate response strategies at the national, provincial, district and municipality levels is critical to accelerated uptake of project outputs and achievement of results. The country had several ready systems that enabled the immediate uptake of the project-generated information, three of them worth noting:</p> <p>The Local Government Climate Change Support Programme (LGCCSP), a large-scale capacity-building programme that helps provinces and municipalities (districts and metropolitan) to understand and respond to climate change. Its key objectives are to (1) mainstream climate change into subnational development planning and (2) support municipalities in project development and financing. Under LGCCSP, all 44 district municipalities, all eight metropolitan municipalities (e.g. City of Cape Town, City of Johannesburg)</p>	Accepted

⁹² <https://www.fao.org/investment-learning-platform/themes-and-tasks/environmental-social-safeguards/en/>

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		<p>and provinces (e.g. Western and Eastern Cape, Gauteng Province) have developed climate change response strategies and adaptation action plans. The information provided by the project was used to update these plans.</p> <p>The Flagship Programmes, which are strategic measures, intended to serve as a rallying point to trigger large scale transition to a lower carbon economy and a resilient South Africa. They are meant to be ambitious and transformative in design, scale and impact, and make a practical contribution to achieving existing commitments in terms of the national lower carbon growth trajectory and climate resilience. Flagship Programmes include: i) The Climate Change Response Public Works Flagship Programme; ii) The Water Conservation and Demand Management Flagship Programme; iii) The Renewable Energy Flagship Programme; iv) The Energy Efficiency and Energy Demand Management Flagship Programme; v) The Transport Flagship Programme; vi) The Waste Management Flagship Programme; vii) The Carbon Capture and Sequestration Flagship Programme; viii) The Adaptation Research Flagship Programme.</p> <p>The country has adopted Sectoral Emission Targets (e.g. energy, agriculture, waste sectors) as an instrument for setting quantitative limits on future GHG emissions, in a bid to achieve the overall commitments on mitigation. Furthermore, GHG Reporting Regulations approved in 2017 have made it mandatory for large emitters to submit Annual Pollution Prevention Plans detailing plans to cut GHG emissions, and progress made in doing so. Company level carbon budgets were introduced for large emitters on a voluntary basis in a first phase, in line with provisions in the Nationally Determined Contributions.</p> <p>By providing current, knowledge-based information on climate issues, the project met 'a felt need'. Thus mainstreaming the climate issues in these are numerous other programmes and strategies has provided sustainable</p>	

Place in text	Comment by DFFE	Evaluator's Response	Evaluation Office Response
		impact pathways.	
The Monitoring of project implementation section is weak. More should be said about the actual monitoring.		<p>Additional information in the section on Monitoring of project implementation:</p> <p><i>The TE confirms the MTR finding that the original M&E plan was relatively basic but easy to use for monitoring delivery of outputs, and the system was used to monitor the project as designed. DFFE developed a tracking tool to monitor all contracts with service providers, which made it easy to track progress and monitor payments. This worked well because the project is highly oriented towards delivering outputs. UNEP Task Manager conducted periodic monitoring activities in accordance with workplans agreed to by all parties. The Project Steering Committee provided held all the scheduled meetings and reviewed the important documents before formal submissions, such as the reports of assessments, the draft BURs and the TNC.</i></p> <p><i>The TE finds that the M&E system supported adaptive management of the project to some extent. Thus the project logframe was modified several times to accommodate changes and the production of the two additional BURs. However, no monitoring happened at the higher levels (outcomes, impacts) since both the project logframe and the M&E system were quite simple and did not identify or accommodate these results in the design or monitoring system. Adaptive management could have been used to asses and address (if found necessary) gender issues and safeguards since the project had adequate funds.</i></p>	Accepted

Annex 2: List of people interviewed

	Individual	Institution
1	Mr. Geordie Colville: <i>Head of Climate Mitigation Unit, oversees all enabling activities projects</i>	UNEP, Portfolio Manager/Unit Head
2	Ms. Suzanne Lekoyiet: <i>Manages the development and implementation of all enabling activities, including the RSA projects.</i>	UNEP, Task Manager
3	Ms. Elca Wabusya: <i>Assists the Task Manager</i>	Programme Management Assistant
4	Ms. Cicilia Magare: <i>Coordinates overall Unit projects monitoring. For SA, she supported: MTR process, PIRs</i>	UNEP, Programme Management Assistant
5	Ms. Abenezer Tadesse: <i>Manages financial and administrative processes of the enabling activities</i>	Administrative Officer
6	Ms. Patricia Mwenya: <i>Patricia was specifically responsible for SA project</i>	UNEP, Finance/Admin Assistant

Staff of Department of Fisheries, Forestry and the Environment (DFFE)		
7	Ms. Sandra Motshwanedi	Project Manager
8	Mr. Jongi Witi	Chief Director: Monitoring, Evaluation and Mitigation
9	Ms. Rebecca Ditlopo	DFFE
10	Mr. Tlou Ramaru	Chief Director: Adaptation
11	Ms. Phindile Mangwana	Deputy Director: Climate Change Mitigation & Waste Sector compiler for GHG Inventory
12	Mr. Mac Makwarela	Director Mitigation
13	Mr. Vhalinavho Khavhagali	Director Mitigation
14	Mr. Henry Roman	PSC and Chief Director at the Department of Science and Technology Collaboration on TNA Study

External Stakeholders (Service Providers)		
15	Ms. Olivia Tuchten (PL)	Promethium Carbon Was a researcher on mitigation at the time and responsible for mitigation chapters
16	Ms. Sarah Goodbrand (PL)	Promethium Carbon
17	Ms. Sasha Naidoo (PM)	CSIR - Led drafting of adaptation chapter of TNC, also TNA Study and Chapters integration of TNC
18	Ms. Luanne Stevens	Gondwana

Annex 3: List of documents consulted

1. GEF Project ID 10167: Umbrella Programme for Preparation of National Communications (NCs) and Biennial Update Reports (BURs) to the UN Framework Convention on Climate Change (UNFCCC); UNEP.
2. DFFE, 2021: South Africa's First NDC, 2020 Updated draft. Pretoria, South Africa.
3. Government of South Africa, 2019. National Climate Change Adaptation Strategy Republic of South Africa Version UE10 13 November 2019
4. DEA, 2019. South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change. Pretoria. South Africa.
5. DFFE, 2020. Third National Communication. Pretoria South Africa
6. DFFE, 2021. South Africa's 4th Biennial Update Report to the United Nations Framework Convention on Climate Change. Pretoria. South Africa
7. DFFE, 2021: First Nationally Determined Contribution Under The Paris Agreement Updated September 2021. Pretoria, South Africa
8. DFFE, 2021. National Climate Change Adaptation Strategy. Pretoria South Africa
9. DEA, 2011: The National Climate Change Response White Paper. Pretoria, South Africa
10. DFFE, 2021: National GHG Inventory Report South Africa 2017. Pretoria, South Africa
11. DFFE, 2021: First Nationally Determined Contribution Under The Paris Agreement Updated September 2021. Pretoria, South Africa
12. Project Implementation Plan and CEO Request;
13. Project Annual Reports (PIRs)
14. Project Audit Reports
15. TNC Mid-term Review Report.
16. GEF Capacity-Building Initiative For Transparency: GEF ID.: 9673

Annex 4: Project Financial Tables:

Financial Management Table

Financial management components:		Rating	Evidence/ Comments
1. Adherence to UNEP's/GEF's policies and procedures:		S	All project agreements signed and filed. Audit reports confirmed full compliance with UNEP and GEF policies. No issues related to communication between all units of the project management.
Any evidence that indicates shortcomings in the project's adherence to UNEP or donor policies, procedures or rules		No	
2. Completeness of project financial information:			
Provision of key documents to the evaluator (based on the responses to A-H below)		S	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	
B.	Revisions to the budget	Yes	
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	
D.	Proof of fund transfers	Yes	
E.	Proof of co-financing (cash and in-kind)	Yes	
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	Yes	
H.	Any other financial information that was required for this project (list):	N/A	
3. Communication between finance and project management staff		S	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	
Fund Management Officer's knowledge of project progress/status when disbursements are done.		S	
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		S	
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		S	
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		S	
Overall rating		S	

Annex 5: Evaluation Framework

Key question	Potential Indicator	Source of Verification
Criteria 1: Strategic relevance		
Was the project aligned to UNEP MTS and PoW and their strategic priorities?	Level of alignment of the project with UNEP MTS and PoW and Strategic Priorities	Project document, Project Implementation Reports (PIR), Official UNEP MTS and PoW
How far was the project in line with UNEP /GEF/Donor Strategic Priorities?	Level of alignment of the project with UNEP and GEF Strategic Priorities	Published UNEP and GEF Strategic Priorities
To what extent was the project relevant to Global, Regional, Sub-regional and National climate change and environmental priorities	Analysis of the Global, Regional, Sub-regional and National climate change and environmental priorities in project document	National, Regional and Global programmes and initiatives on climate change, Prodoc, Project Reports
Was complementarity with other relevant on-going and planned initiatives considered during the design, inception and/or implementation stages?	Analysis and mention of synergies in the project document and reports	Project document and project reports, discussions with executing agency staff, UNEP staff and the Project Steering Committee
Criteria 2: Quality of Project design		
How well did the project design comply to the Project Design Quality (PDQ) outlined in the UNE template for assessing it (PDQ)?	Ratings in the PDQ Template on each item/criteria described in the guidelines.	Project document, PDQ analysis template (Annex C to this Inception Report), project reports
Criteria 3: Nature of External Context		
Did the project face challenges related to the political, environmental, social, institutional context during at any stage of implementation? If so how did the project adapt to the changes?	Reported nature of context and adaptive management measures in response to changes in context	Project document, project progress reports, discussions with key stakeholders including Project Steering Committee, service providers and project staff
Criteria 4: Effectiveness		
<i>Criteria 4.1: Achievement of project outputs</i>		
To what extent has the project delivered programmed outputs and achieved milestones stated in the project document (outputs assessed for quantity, quality and timeliness)?	Number of programmed outputs produced in a timely manner within budget and judged to be of good quality by the relevant authorities (PSC, GOSA, UNFCCC).	Publications, study reports, Progress reports completed, discussions with executing agency staff
Were key stakeholders appropriately involved in producing the programmed outputs?	Stated contribution of stakeholders in achievement of outputs	Project document, project progress reports, discussions with key stakeholders including Project Steering Committee, service providers and project staff
<i>Criteria 4.2: Achievement of Direct Outcomes</i>		
To what extent has the project achieved/led to the achievement of the outcomes in the reconstructed theory of change?	Number of outcomes achieved	Publications, study reports, Progress reports, discussions with project executing agency staff and service providers
To what extent has the project	Extent of contribution	Project document, project progress

achieved/led to the achievement of the intermediate states outlined in the reconstructed theory of change?	attributable to project results	reports, discussions with key stakeholders including Project Steering Committee, service providers and project staff
To what degree has the project contributed to RSA implementing its climate changes response policy?	Project findings are in line with the climate change response policy	
To what extent have the project findings been made available to decision makers as well as the public, and relevant interest groups?	Level of dissemination of findings to decision makers as well as the public, and relevant interest groups	Dissemination materials (publications, information kits) Communication activities (press articles, TV programmes).
Is the required capacity available to achieve outputs?	Quality of reports and achievements	Publications, reports, discussions with project management team
Criteria 4.3: Likelihood of Impact		
Is the level of ownership by the main national and stakeholders sufficient to allow for the project results to be sustained?	Key stakeholders participate actively in implementation and replication of project activities and results	Project document, project progress reports, discussions with key stakeholders including Project Steering Committee, service providers and project staff
Are government and other key stakeholder aware, interested and committed to integrate climate change concerns into national programmes?	Number and content of inter-institutional agreements to execute and enforce programmes, plans and project results	
Did the project conduct succession planning in the life of the project?	Succession planning reports	
Criteria 5: Financial Management		
How well are standards (clarity, transparency, audit etc.) of financial and operational (staff recruitment, evaluation, secondary conditions) planning, management and reporting applied, to ensure that sufficient and timely financial resources were available to the project and its partners	Quality of standards for financial and operative management	Financial and audit reports, project progress reports, discussions with the project management unit, including administrative staff.
Has co-financing materialized as planned at project approval?	Level of co-financing related to original planning	Project implementation reports, discussions with Project Steering Committee and the UNEP Task Manager
Has there been any irregularities in procurement, use of financial resources that impacted project performance?	Number of cases of irregularities	Financial and audit reports, discussions with project staff and UNEP Financial Manager
Criteria 6: Efficiency		
Is implementation on track or are delays threatening the delivery of project outputs?	Timeliness of outputs delivered and remaining	Publications, progress reports, discussions with project management team and service providers
To what extent have other administrative processes such as recruitment of staff, procurement of goods and services (including consultants) and staff movement influenced project performance?	Number of cases where processes influenced project performance	Project document, project progress reports, discussions with key stakeholders including Project Steering Committee, service providers and project staff

What is the likeliness of the project being fully implemented within the allocated budget?	Number of outputs completed and within budgetary allocations	Financial reports, discussions with project management team and service providers
Is technical and financial reporting timely and of adequate quality?	Reports completed to-date of required standard	Project implementation reports (PIRs), financial and audit reports, technical publications and UNFCCC assessments of the TNC and BURs.
Criteria 7: Monitoring and Reporting		
Did the monitoring system work efficiently to enable timely tracking of results and progress to meet the project objectives during the implementation period?	Success level of implementation of monitoring system	PIRs, discussions with project management team and UNEP Task Manager
Were the monitoring results used to improve project performance and to adapt to changing needs?	Any change brought to original project document to adapt to the changing needs	PIRs, discussions with project management team and UNEP Task Manager
Were project implementation reports, half-yearly progress & financial reports complete and accurate?	Level of completeness and accuracy of reports	Project progress and implementation reports
Criteria 8: Sustainability		
Is the socio-political context conducive to support the continuity and further development of project outcomes	Government policies and strategies in place	PIRs, Policy documents, discussions with the Project Steering Committee and service providers.
How far have the national partners assumed responsibility and provided adequate support and collaboration in the project execution so far?	Level of collaboration of partners	Reports on roles of partners in the outputs, discussions with the Project Steering Committee and service providers.
Are financial resources sufficient to complete the project as planned?	Budget allocations	Financial reports, discussions with project management team and service providers
How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project outcomes and benefit the environment and communities in the future?	Level of commitment, proved by formal agreements, recommendations, declarations, of key stakeholders in governance structures that sustain project results	PIRs, discussions with key stakeholders including Project Steering Committee and participating partner institutions.
Criteria 9: Factors and Processes Affecting Project Performance		
What was the level of preparedness and readiness of stakeholders and partners? Were appropriate measures taken to address weaknesses in the project design, including the implementation mechanisms?	Level of success of project, number of outcomes completed on time	Project inception report, Technical and Financial progress reports, Number of technical reports of adequate quality
Was project management adequate, effective and efficient (skills, leadership, coordination, adaptive capacity)? Were sufficient adaptations made ensure smooth implementation?	Level of satisfaction (among partners and project staff) of project management team	Review of PIRs, financial and audit reports, discussions with project staff stakeholders and partners

Did the executing agency respond to direction and guidance provided by the UNEP Task Manager?	Number of challenges faced and overcome	Progress reports, minutes of the PSC meetings, discussions with executing organization staff and UNE Task Manager
How successful was the project in engaging stakeholders outside the government system (i.e. private sector, NGOs, universities and research bodies, the civil society and community groups)?	Number of stakeholder groups involved in the project and their perceived level of engagement	Progress reports, output reports, discussions with the PSC, partner institutions and other project management staff
Did the project design and/or adaptive management applied during implementation to guarantee Gender Equity and Human Rights?	Level of participation of women in the project and measures taken to ensure human rights	Discussions with project management staff, publications, outputs' reports
How far have the government/public sector agencies been involved in the execution of the project, including the safeguarding of the needs and interests of all gender and marginalized groups?	Available co-finance; endorsement of project outputs by the project partners and the GoSA	PIRs, financial reports, discussions with government agencies and project staff, Project progress reports.
Are the activities and outputs of the project made visible so that the project results, outputs and lessons are reaching the intended wide stakeholder groups and taking into consideration the needs of gender and marginalized groups?	Level of communication and awareness initiatives, workshops, media articles	Progress and project reports, awareness raising strategies, discussions with the PSC and partner institutions.
Additional strategic questions (whose answers/findings might be captured in the above evaluation questions, but need to be highlighted to cross check completeness of the responses and analysis)		
Given the significantly large number of planned outputs and expected outcomes in the results framework, without considering the start-up delays, has the project time frame allowed for the delivery of these outputs and outcomes to a satisfactory standard of quality?	Number of cost-neutral extensions; number of outputs delivered at expected quality, cost and timelines; number of outcomes achieved at expected quality, cost and timelines	Project inception report, project progress reports, discussions with key stakeholders including Project Steering Committee, service providers and project staff
Regarding capacity of GoRSA to meet reporting obligations under the UNFCCC, what key areas still require further capacity development and why?	Capacity gaps in the DFFE; Resources (financial, technical staff) gaps for reporting to UNFCCC;	Responses to the questions on the evaluation framework (above), discussions with the PSC, DEFF, UNE, partner institutions.
To what degree of success did the executing arrangements between DEFF and its partners and collaborators work cohesively towards meeting the project objectives, and what were the key strengths and/or weakness of these arrangements?	Project milestones met within budget, timelines and at accepted quality by the UNFCCC	Responses to the questions on the evaluation framework (above), discussions with the PSC, PMU, DEFF, UNE, partner institutions.
What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?	COVID response strategy; project milestones met within budget, timelines and at accepted quality by the UNFCCC	

Annex 6: Summary of 5 Topics Important for GEF Evaluations

156. The intended action/results on the 5 topics were described in the GEF CEO Endorsement and Approval documents. The 5 topics are: i) performance against GEF’s Core Indicator Targets; ii) engagement of stakeholders; iii) gender-responsive measures and gender result areas; iv) implementation of management measures taken against the Safeguards Plan and v) challenges and outcomes regarding the project’s completed Knowledge Management Approach.
157. The TE has applied the UNEP-GEF Projects ratings on evaluation to rate the performance of the project along these GEF-important criteria. As per the UNEP-GEF Evaluation Guidelines, the evaluation criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Unlike in the main TE, the ratings applied here have not been ‘weighted’, and present the straight findings of the TE. Table 1 of this Annex 6 presents the summary of the findings, while the detailed analysis is provided below.

Table 1: Ratings on the GEF Criteria of Importance in the TE

GEF Criteria	Rating
Performance Against GEF’s Core Indicator Targets	Highly Satisfactory
Engagement of Stakeholders	Highly Satisfactory
Gender-Responsive Measures and Gender Result Areas	Moderately Satisfactory
Implementation of Management Measures Taken Against the Safeguards Plan	Moderately Satisfactory
Challenges and Outcomes Regarding the Project’s Completed Knowledge Management Approach	Highly Satisfactory

Performance against GEF’s Core Indicator Targets

158. This project was designed and implemented during GEF 6. Enabling Activity projects fall under Programme 5 (Integrate findings of Convention obligations and enabling activities into national planning processes and mitigation targets) of Objective 3 (Foster Enabling Conditions to Mainstream Mitigation Concerns into Sustainable Development Strategies); and Outcome B (Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation). The GEF core indicator for programme 5 is: Number of countries meeting convention reporting requirements and including specific GHG reduction targets⁹³.
159. The project submitted the TNC and 3 BURs to the UNFCCC as follows: BUR-1 – 31st December 2014; BUR-2 - 28 December 2017; BUR-3 - 5 June 2019; TNC - June 2018. The BURs and the TNC follow the latest UNFCCC guidelines for developing countries in reporting to the UNFCCC.

⁹³ GEF-6 PROGRAMMING DIRECTIONS (Extract from GEF Assembly Document GEF/A.5/07/Rev.01, May 22, 2014): <https://thegef.org/sites/thegef.org/files/documents/GEF-6%20Programming%20Directions.pdf> (Accessed on 7th December 2021).

160. The TNC presented updated information from the Second National Communication (SNC) on all the relevant chapters, namely: the national circumstances; a national Greenhouse Gas Inventory for the period 2011-2012; current climate change over South Africa in terms of trends and projected changes, vulnerability assessments and national adaptation strategies; potential and actual measures to mitigate climate change and other information relevant to the Convention (including a technology needs assessment, research and systematic observations and climate change education, training, awareness and capacity building needs).
161. The BURs collectively presented GHG trends for the period 2000 to 2015 from the four IPCC sectors of Energy; IPPU; AFOLU and Waste, for CO₂, CH₄, N₂O, HCFs and PFCs. It also presents emissions trends by sector, GHG and per capita. The emissions estimates were derived using the 2006 IPCC Guidelines (IPCC, 2006) and IPCC Good Practice Guidance⁹⁴. BUR-3 in particular provides an explanation of the methods (Tier 1 and Tier 2 approaches), activity data and emission factors used to develop the inventory. In addition, it assesses the uncertainty and describes the quality assurance and quality control (QA/QC) activities.
162. The project has therefore contributed to core indicator number 7 – South Africa is one more country that met convention reporting requirements, including specific GHG reduction targets.

Rating for Performance against GEF Core Indicator – Highly Satisfactory

Engagement of Stakeholders

163. The project Implementing Agency was UNEP while the DFFE was the Executing Agency. As depicted in Figure 2 of the main TE report, the project was planned and implemented in a highly consultative process coordinated by the DFFE. All activities were designed to be implemented by the various DFFE, in collaboration with other stakeholders as described below.
164. All activities were designed to be implemented by the various **Directorates the DFFE**, in collaboration with other stakeholders as described below. These institutions had high influence and interest in the process of improving the quality of reports to the UNFCCC, in a country-driven approach. They all contributed to the BUR-2, TNC and BUR-3 including all the supporting studies such as greenhouse gas improvement programme (determining country specific emission actors for some of the key categories), climate projections and downscaling modelling, technology needs assessment and the establishment of the Monitoring, Reporting and Verification (MRV) system and the finalization and submission of the TNC and BURs 2 and 3.
165. **Department of Forestry, Fisheries and the Environment** (formerly Department of Environmental Affairs) was the Executing Agency responsible for the management and administration of the project.

⁹⁴ IPCC, 2000; IPCC, 2003; IPCC, 2014 – as cited in DEA. (2019). *South Africa's 3rd Biennial Update Report to the United Nations Framework Convention on Climate Change*. Pretoria. South Africa.

166. **South African Weather Service** was responsible for the production of long-term climate trends and generation of climate change and Sea Level Rise scenarios for impact assessments.
167. The project sought the participation of the general public too. For example, all reports (BUR-2, BUR-3, TNC, 2000-2012 and 2000-2019 NIRs) were subjected to the following stakeholder consultation process: i) Publication of the notice of a publication of reports by the Minister in a South African gazette, followed by publication on the DFFE website for 30 days; ii) the public was invited to send comments, which were addressed in a transparent manner, with comment audit trails published in the public responses databases for BURs and NIRs. In addition, local government and provinces were extensively involved in public consultation process, with the Minister writing directly to MECs and local governments requesting feedback on the reports.
168. Respondents to the TE attributed the leadership provided by DFFE to the government's commitment to have policies on climate change that are informed by science. This lesson is worth sharing with other governments in Africa to strengthen stakeholder facilitation and participation in the climate change policy processes and in meeting countries' reporting obligations under the UNFCCC. This is important because the governments do not always have all the information required to generate these reports, and withholding of such information is often cited as a barrier to improving the quality of such reports.

Rating for Performance against GEF Core Indicator – Highly Satisfactory

Gender-Responsive Measures, Gender Result Areas and implementation of management measures taken against the Safeguards Plan

169. These issues were not considered during the project design and are therefore not integrated into the project or its M&E plans. The project was approved in 2014 before gender analysis became mandatory for UNEP-GEF projects. The project did not undertake a gender analysis to guide its planning and implementation and all the related documents and reports are gender blind. Similarly, there was no screening for social and environmental risks, hence no safeguards strategies. Although these facts were highlighted in the PIRs and the MTR, no effort was made to formally address them via adaptive management, despite the fact that the project had enough budgetary resources to do so. Their impacts on the project are therefore unknown.
170. DFFE argues that the project was not negatively affected by the lack of integration of human rights and gender equity, and that it had no negative impacts on the same (human rights or gender equity) even though it had no strategy for identifying and managing environmental and social safeguards. It further argues that by increasing the accuracy of the information that shapes the policies and measures to address climate change, the project contributes positively to reducing potential negative outcomes of adaptation and mitigation actions on gender, human rights and social and environmental safeguards. But impacts of climate change have gender and human rights aspects. Climate change and natural disasters affect the poor, marginalized, women and men differently. Women and girls face particular

vulnerabilities resulting from cultural norms and their lower socioeconomic status in society. Their domestic roles often make women and girls disproportionate users of natural resources such as water, firewood and forest products: their vulnerability rises in tandem with loss of ecosystems services. Despite the vulnerabilities experienced by women and girls, they are often unable to voice their specific needs. The exclusion of these voices also means that their extensive knowledge of the environment and adaptation/coping mechanisms is untapped.

Rating for Gender-Responsive Measures, Gender Result Areas and implementation of management measures taken against the Safeguards Plan: Moderately Satisfactory

Challenges and Outcomes Regarding the Project's Completed Knowledge Management Approach

171. The project did not have a Knowledge Management (KM) Plan. However, the TE finds that the Communication and Public Awareness strategy served the purposes of KM. The TE did not find any challenges with KM. The BURs and TNC were disseminated widely through the UNFCCC websites and the Conference of Parties (COP) meetings. As reported in the 2019 PIR, copies of BUR-2 were distributed at COP 24 in Poland at the South Africa Pavilion and through various climate change workshops in South Africa and the Southern Africa region⁹⁵. An online explorer was launched and presented at the South African Pavilion during COP 24, with the support of the World Resources Institute. The explorer demonstrated web-based presentation of the key results and outcomes of BUR-2. The BURs are summarised into briefs for policy makers, in English and other official languages of South Africa. The briefs are distributed through various climate change and environment awareness building campaigns initiated by the Communications Chief Directorate in the DFFE.
172. South Africa shared its experience of stakeholder engagement in the production of BURs and NC reports at the facilitative sharing of views for BUR-2 in Bonn, Germany in June 2019, where it was commended by other parties for inter alia, lessons on public consultation processes.
173. At the national level, reports were disseminated widely, with policy briefs and summaries translated into the country's major languages.

Rating on KM: Satisfactory.

⁹⁵ Example – Copies of BUR-3 were disseminated at the Southern African 1st MRV Network workshop which was held in Eswatini from 2 to 6 September 2019

Annex 7: Evaluation Questionnaires

There are four questionnaires for the four groups of respondents: Project Management Unit, UNEP, Project Partners and Project Steering Committee (PSC). This is to allow specific questions to each group, even though several questions appear in all four questionnaires.

Questionnaire for the Project Management Unit

Thank you for agreeing to contribute to the Terminal Evaluation of this project – referred to as ‘The TNC Project’. Your input is very important so that we get an accurate understanding of what has been achieved. I would like to schedule an interview with you in the coming weeks to obtain your views. Our discussion will be guided by the questions in the Table attached. If you prefer you can provide written responses to the attached questions or record your responses and send me audio files (nyawira.muthui@gmail.com). We could then schedule a brief discussion on Zoom or Teams meetings thereafter. Thank you.

PMU Members

Evaluation questions	Responses and/or Comments
Synergies with other relevant initiatives	i.
i. Which, if any, projects did the TNC coordinate with during implementation?	ii.
ii. If coordination or collaboration between the TNC project and other projects did take place, please reflect on the following questions:	a)
a. What was actually done for this coordination and/or collaboration to take place?	b)
b. How did such collaboration and/or collaboration improve/hinder delivery of outputs and achievement of results for the TNC or your project?	c)
c. What lessons were generated regarding such coordination and/or collaboration?	
Quality of Project design:	
i) Was the project designed through a participatory process?	a)
<i>If the project design was participator, please reflect on the following questions:</i>	b)
a) Which stakeholders participated in the design?	c)
b) What factors made a participatory design possible?	d)
c) What lessons and recommendations have emerged from the project design process?	
Questions related to effectiveness and achievement of results	
i) What, in your opinion, is the most important output delivered by this project?	i)

ii)	What value has this output contributed to the project and the work of its intended beneficiaries?	ii)
iii)	In your view, HOW has the project contributed towards <i>clear institutional arrangement and systemic capacities</i> to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels?	iii)
iv)	In which ways have the products of the project (TNC/BURs) been utilized in the country to ensure that <i>mitigation and adaptation measures are</i> integrated into national and sectoral development plans and priorities?	iv)
v)	What socio-economics and political conditions enhanced project planning and implementation?	v)
vi)	Where can the evidence for achievements on mainstreaming mitigation and adaptation measures be found?	vi)
vii)	What could have been done differently to ensure more comprehensive institutional capacity building for future reporting to the UNFCCC?	vii)
viii)	What could have been done differently to ensure more comprehensive integration of mitigation and adaptation measures into national and regional development processes through the national climate response project?	viii)
Criteria 5: Financial Management		
Quality of standards for financial and operative management		i)
i)	Assuming that you followed the UNEP financial management procedures, in what ways did these procedures ensure clarity, transparency and regular audits of project funds?	ii)
ii)	Were proper procurement procedures followed to recruit project staff/consultants and to undertake staff appraisals?	iii)
iii)	Did procurement systems pose challenges, if so which, and how were they resolved?	iv)
iv)	What could have been done differently to improve all project financial and staff management as well as adaptive management?	v)
Do you have any learned lessons and recommendations on procurement?		vi)
The next questions relate to the level of co-financing associated with the original plans:		vii)
v)	How much co-finance was realized during the entire project implementation period?	
vi)	What contributed to the level of co-finance contributions?	
vii)	Do you have any learned lessons and recommendations on co-financing?	
Criteria 7: Monitoring and Reporting		
i)	Did you encounter any challenges related to monitoring and evaluation of the project?	i)
ii)	If so, what were they and how were they resolved?	ii)

Criteria 8: Sustainability	
i) In your view, to what extent, and in what ways, will the results of the project be sustained after the GEF project closes? ii) What will ensure sustainability (kindly consider environmental, socio-economics, financial and institutional perspectives)? iii) What could have been done differently to strengthen the sustainability of project results and impacts? iv) Do you have any learned lessons and recommendations on how better to sustain the results this project has achieved?	i)
	ii)
	iii)
	iv)
Strategic relevance (complementarity) <i>Collaboration with the Long-Term Adaptation Scenarios (LTS) project:</i> i) To what extent has the (LTS) project been implemented during the duration of the project? ii) In which way has the TNC project contributed to the results of the LTS project and where is the evidence of such contribution? <i>Collaboration with the National Climate Change Response Policy (NCCRP) programme:</i> iii) To what extent has the NCCRP programme been implemented during the duration of the project? iv) In which way has the TNC project contributed to the mainstreaming of climate concerns in the national and local policies in the context of the NCCRP and where is the evidence of such contribution? v) What lessons, if any, have been generated regarding the coordination/ collaboration and/or contribution of the TNC project to the LTS and NCCRP that can inform further climate change work in the country and globally?	i)
	ii)
	iii)
	iv)
	v)
COVID response strategy; project milestones met within budget, timelines and at accepted quality by the UNFCCC i) What changes, if any, were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance? ii) What learning, if any, has arisen from this experience?	i)
	ii)
Any other information: i. Is there any other information you would like to contribute to this is a comprehensive evaluation of the project's performance?	i)

UNEP Questionnaire

Evaluation questions	Responses and/or Comments
<p>Synergies with other relevant initiatives</p> <p>i) Which projects did the TNC coordinate with during implementation?</p> <p><i>If coordination or collaboration between the TNC project and other projects did take place, please reflect on the following questions:</i></p> <p>a) What was actually done for this coordination and/or collaboration to take place?</p> <p>b) How did such collaboration and/or collaboration improve/hinder the TNC delivery of outputs and achievement of results?</p> <p>c) What lessons were generated regarding such coordination and/or collaboration?</p>	<p>i)</p> <p>a)</p> <p>b)</p> <p>c)</p>
Quality of Project design:	
<p>i. Was the project designed through a participatory process?</p> <p><i>If the project design was participator, please reflect on the following questions:</i></p> <p>ii. Which stakeholders participated in the design?</p> <p>iii. What factors made a participatory design possible?</p> <p>iv. What lessons and recommendations have emerged from the project design process?</p>	<p>i)</p> <p>ii)</p> <p>iii)</p> <p>iv)</p>
Questions related to effectiveness and achievement of results	
<p>i) What, in your opinion, is the most important output delivered by this project?</p> <p>ii) What value has this output contributed to the project and the work of its intended beneficiaries?</p> <p>iii) In your view, HOW has the project contributed towards <i>clear institutional arrangement and systemic capacities</i> to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels?</p> <p>iv) In which ways have the products of the project (TNC/BURs) been utilized in the country to ensure that <i>mitigation and adaptation measures are</i> integrated into national and sectoral development plans and priorities?</p> <p>v) What socio-economics and political conditions enhanced project planning and implementation?</p> <p>vi) Where can the evidence for achievements on mainstreaming mitigation and adaptation measures be found?</p> <p>vii) What could have been done differently to ensure more comprehensive institutional capacity building for future reporting to the UNFCCC?</p> <p>viii) What could have been done differently to ensure more comprehensive integration of mitigation and adaptation measures into national and regional development processes through the national climate response project?</p>	<p>i)</p> <p>ii)</p> <p>iii)</p> <p>iv)</p> <p>v)</p> <p>vi)</p> <p>vii)</p> <p>viii)</p>

Criteria 5: Financial Management	
Quality of standards for financial and operative management	i)
i. Assuming that you followed the UNEP financial management procedures, in what ways did these procedures ensure clarity, transparency and regular audits of project funds?	ii)
ii. Were proper procurement procedures followed to recruit project staff/consultants and to undertake staff appraisals?	iii)
iii. Did procurement systems pose challenges, if so which, and how were they resolved?	iv)
iv. What could have been done differently to improve all project financial and staff management as well as adaptive management?	a)
Do you have any learned lessons and recommendations on procurement?	b)
The next questions relate to the level of co-financing associated with the original plans:	c)
a) How much co-finance was realized during the entire project implementation period?	
b) What contributed to the level of co-finance contributions?	
c) Do you have any learned lessons and recommendations on co-financing?	
Criteria 7: Monitoring and Reporting	
i. Did you encounter any challenges related to monitoring and evaluation of the project?	i)
ii. If so, what were they and how were they resolved?	ii)
Criteria 8: Sustainability	
i) In your view, to what extent, and in what ways, will the results of the project be sustained after the GEF project closes?	i)
ii) What will ensure sustainability (kindly consider environmental, socio-economics, financial and institutional perspectives)?	ii)
iii) What could have been done differently to strengthen the sustainability of project results and impacts?	iii)
iv) Do you have any learned lessons and recommendations on how better to sustain the results this project has achieved?	iv)
Strategic relevance (complementarity)	i)
<i>Collaboration with the Long-Term Adaptation Scenarios (LTS) project:</i>	ii)
i. To what extent has the (LTS) project been implemented during the duration of the project?	iii)
ii. In which way has the TNC project contributed to the results of the LTS project and where is the evidence of such contribution?	iv)
<i>Collaboration with the National Climate Change Response Policy (NCCRP) programme:</i>	v)

vi) To what extent has the NCCRP programme been implemented during the duration of the project? vii) In which way has the TNC project contributed to the mainstreaming of climate concerns in the national and local policies in the context of the NCCRP and where is the evidence of such contribution? viii) What lessons, if any, have been generated regarding the coordination/ collaboration and/or contribution of the TNC project to the LTS and NCCRP that can inform further climate change work in the country and globally?	vi)
	vii)
	viii)
COVID response strategy; project milestones met within budget, timelines and at accepted quality by the UNFCCC	i)
i) What changes, if any, were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?	ii)
ii) What learning, if any, has arisen from this experience?	
Any other information:	i)
i. Is there any other information you would like to contribute to this is a comprehensive evaluation of the project's performance?	

Partners Questionnaire

Evaluation questions	Responses and/or Comments
Project design:	
i. In which way were you and/or your organisation/institution involved in the design of the project?	i.
ii. What factors made a participatory design possible?	ii.
iii. What lessons and recommendations have merged from the project design process?	iii.
Synergies with other relevant initiatives	
i) Which, if any, projects implemented by your institution did the TNC coordinate with during implementation?	i)
<i>If coordination or collaboration between the TNC project and other projects did take place, please reflect on the following questions:</i>	a)
a) What was actually done for this coordination and/or collaboration to take place?	b)
b) How did such collaboration and/or collaboration improve/hinder delivery of outputs and achievement of results for the TNC or your project?	c)
c) What lessons were generated regarding such coordination and/or collaboration?	
Questions related to effectiveness and achievement of results	

i.	What, in your opinion, is the most important output delivered by this project?	i)
ii.	What value has this output contributed to the project and the work of its intended beneficiaries?	ii)
iii.	In your view, HOW has the project contributed towards <i>clear institutional arrangement and systemic capacities</i> to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels?	iii)
iv.	In which ways have the products of the project (TNC/BURs) been utilized in the country to ensure that <i>mitigation and adaptation measures are</i> integrated into national and sectoral development plans and priorities?	iv)
v.	What socio-economics and political conditions enhanced project planning and implementation?	v)
vi.	Where can the evidence for achievements on mainstreaming mitigation and adaptation measures be found?	vi)
vii.	What could have been done differently to ensure more comprehensive institutional capacity building for future reporting to the UNFCCC?	vii)
viii.	What could have been done differently to ensure more comprehensive integration of mitigation and adaptation measures into national and regional development processes through the national climate response project?	viii)
Criteria 5: Financial Management		
Level of co-financing related to original planning:		i)
i)	How much co-finance did your organization/institution provide to the TNC project?	ii)
ii)	What factors contributed to your organization/institution providing that level of co-finance?	iii)
iii)	Lessons and recommendations?	
Monitoring and Reporting		
i)	Was your organization/institution involved in the monitoring and evaluation of the project? If yes please reflect on the questions below:	a)
a.	What was actually done regarding M&E?	b)
b.	Was this useful for your organization and how was it useful?	c)
c.	Lessons and recommendations?	
Effectiveness		
i)	What, in your opinion, is the most important output delivered by the TNC project and why?	i)
ii)	In your view, HOW has the project contributed towards <i>clear institutional arrangement and systemic capacities</i> to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation	ii)

	actions and changes in GHG levels?	iii)
iii)	In which ways have the products of the project (TNC/BURs) been utilized in the country to ensure that <i>mitigation and adaptation measures are</i> integrated into national and sectoral development plans and priorities?	iv)
iv)	What could have been done differently to ensure more comprehensive institutional capacity building for future reporting to the UNFCCC?	v)
v)	What could have been done differently to ensure more comprehensive integration of mitigation and adaptation measures into national and regional development processes through the national climate response project?	
Any other information:		i)
i.	Is there any other information you would like to contribute to this is a comprehensive evaluation of the project's performance?	

Questionnaire for the Project Steering Committee

Evaluation questions	Responses and/or Comments
Strategic relevance (complementarity)	i)
<i>Collaboration with the Long-Term Adaptation Scenarios (LTS) project:</i>	
i. To what extent has the (LTS) project been implemented during the duration of the project?	ii)
ii. In which way has the TNC project contributed to the results of the LTS project and where is the evidence of such contribution?	a)
<i>Collaboration with the National Climate Change Response Policy (NCCRP) programme:</i>	b)
a. To what extent has the NCCRP programme been implemented during the duration of the project?	
b. In which way has the TNC project contributed to the mainstreaming of climate concerns in the national and local policies in the context of the NCCRP and where is the evidence of such contribution?	c)
c. What lessons, if any, have been generated regarding the coordination/ collaboration and/or contribution of the TNC project to the LTS and NCCRP that can inform further climate change work in the country and globally?	
Questions related to effectiveness and achievement of results	
i. What, in your opinion, is the most important output delivered by this project?	i)
ii. What value has this output contributed to the project and the work of its intended beneficiaries?	ii)
iii. In your view, HOW has the project contributed towards <i>clear institutional arrangement and systemic capacities</i> to sustain knowledge-based, multi-level and multi stakeholder participation in monitoring and reporting of mitigation actions and changes in GHG levels?	iii)
	iv)

iv.	In which ways have the products of the project (TNC/BURs) been utilized in the country to ensure that <i>mitigation and adaptation measures are</i> integrated into national and sectoral development plans and priorities?	v)
v.	What socio-economics and political conditions enhanced project planning and implementation?	vi)
vi.	Where can the evidence for achievements on mainstreaming mitigation and adaptation measures be found?	vii)
vii.	What could have been done differently to ensure more comprehensive institutional capacity building for future reporting to the UNFCCC?	viii)
viii.	What could have been done differently to ensure more comprehensive integration of mitigation and adaptation measures into national and regional development processes through the national climate response project?	
Monitoring and adaptive management		
i)	As a member of the PSC, how have you used M&E information to guide project management?	i)
ii)	What challenges, if any, has the PSC experienced in the course of guiding the project at the higher policy level?	ii)
iii)	What lessons have emerged from any part of the project implementation that can be shared with current and future projects?	iii)
Sustainability		
i.	In your view, to what extent, and in what ways, will the results of the project be sustained after the GEF project closes?	i)
ii.	What will ensure sustainability (kindly consider environmental, socio-economics, financial and institutional perspectives)?	ii)
iii.	What could have been done differently to strengthen the sustainability of project results and impacts?	iii)
iv.	Do you have any learned lessons and recommendations on how better to sustain the results this project has achieved?	iv)
Any other information:		
i.	Is there any other information you would like to contribute to this is a comprehensive evaluation of the project's performance?	i)

Annex 8: A summary of the key actions to support roll out of the technologies considered in DFFE and DST (2015)

Technology	Actions required to support large scale roll-out
Energy Efficient Lighting (LEDs)	<ul style="list-style-type: none"> • Competitiveness of expanding the local industry needs to be assessed. A full study of the LED value chain is required to identify additional areas where South Africa could have a competitive advantage (clearly outlining the sources of any competitive advantages) and where job creation could be maximised • Availability of less energy efficiency alternatives could be restricted or the use of taxes to make them more expensive could be expanded • Distribution schemes where LEDs are distributed at no or low cost would increase uptake and change purchasing behaviour • Public awareness campaigns to promote the life cycle benefits of LEDs would increase the uptake thereof • Activities undertaken to support this technology need to align with current activities of IESSA, SANEDI, SABS, the BRICS solid state lighting group and local universities, among others • DST, DoE or other relevant institutions should monitor developments in the use of LEDs in data transmission applications, and identify opportunities in the global markets zswsz
Variable Speed Drives and Energy Efficiency Motors	<ul style="list-style-type: none"> • The focus in South Africa should be on promoting uptake of the technologies, rather than on local manufacture • Awareness programmes are critical to promoting technology uptake. This includes emphasising the importance of technologies being fit for purpose, and being selected in the context of broader system optimisation • Subsidies, tax credits, rebates or differential import tariffs could help overcome cost differentials between more and less efficient motors
Variable Speed Drives and Energy Efficiency Motors	<ul style="list-style-type: none"> • Training programmes are required to ensure that technicians are able to select appropriate motors, and for servicing particularly of VSDs (although recognising that training is specific to individual manufacturers' products)
Energy Efficient Appliances	<ul style="list-style-type: none"> • Focus needs to be on consolidating and growing the local refrigerator industry as there is potential for value add and increasing penetration in local and African markets • The viability of a refrigerator recycling plant needs to be explored as this is central to removing older less efficient models from the market • Establish broader incentives for disposal of older refrigerators. Incentives aimed at lower end of market/first time buyers could be considered • Mandatory energy efficient standards and labelling requirements need to be implemented efficiently and enforced
Solar Water Heaters	<ul style="list-style-type: none"> • Quality issues need to be addressed. Developing a self-regulating body to monitor and enforce quality of installations and follow-up services would help in this regard • Skills shortages also need to be addressed through expanding technical training initiatives • Solar water heater standards need to be developed and implemented to go beyond current short-term performance standards and address issues with system quality (long-term performance) and quality of installations • Design and implementation of local content requirements need to be reviewed to ensure they are supportive of the development of quality local manufacturing • A review of the National Solar Water Heater Programme is urgently required, and the long-term future of the programme needs to be outlined, to provide certainty to the industry • Public awareness campaigns are required to promote the uptake of SWHs • Roadmaps under development may help to provide strategic direction for the industry
Hybrid Electric Vehicles (HEV)	<ul style="list-style-type: none"> • Consumer awareness programmes are required to support the transition through HEVs and ultimately into PHEVs and EVs • HEVs could be included in incentives aimed to increase uptake of PHEVs and EVs in the EVIRM

	<ul style="list-style-type: none"> • Non-financial incentives like access to public transport lanes and preferential parking, amongst others, could be used to support uptake of HEVs, PHEVs and EVs. • HEVs could be temporarily exempted from vehicle import duties
Solar PV	<ul style="list-style-type: none"> • Certainty for the local utility scale industry needs to be provided through the REIPPP procurement targets and timelines • Electricity sector planning models should be updated to accommodate bundles of renewables (e.g. solar and wind energy together) to potentially address intermittency concerns • The issues of whether local content requirements will lead to a net benefit to the industry need to be explored in detail • Concerns regarding availability of grid connections must be addressed
Solar PV	<ul style="list-style-type: none"> • For distributed solar PV, funding models (for both PV installations and network operator models that decouple link between electricity supply and revenues), local content requirements, incentives, market rules and regulations, certification, training, and ways to encourage PV connections to the grid (i.e. prevent a large-scale move to off-grid applications) are all aspects that need to be addressed
Wind (onshore)	<ul style="list-style-type: none"> • Certainty needs to be offered to the local utility scale industry by providing certainty on the future of the REIPPP procurement targets and timelines • Updating of electricity sector planning models to accommodate bundles of renewables (e.g. solar and wind energy together) to potentially address intermittency concerns needs to be considered • The potential competitiveness of the local wind manufacturing industry needs to be established, which will help to inform local content requirements specifications in new wind procurement rounds • Concerns relating to the availability of grid connections need to be addressed • For small and medium wind turbines, a scheme that links export performance to local content requirements should be developed • An overarching strategy providing direction to the wind energy market in South Africa should be developed, similar to the way that, for instance, the Solar Energy Technology Road Map is expected to provide guidance for solar technologies
Advanced Biofuels	<ul style="list-style-type: none"> • Public-private partnerships and government support are required to commercialise technology – including support for on-going research and development and the establishment of pilot plants • Regulations and policies are required – including alignment with the development of first generation biofuels and biomass more broadly in applications such as co-firing • Ensuring availability and optimal recovery of bioenergy requires regional planning beyond the borders of South Africa
Carbon Capture and Storage (CCS)	<ul style="list-style-type: none"> • Planning is required to address expected skills shortages in the sector. • A suitable regulatory regime is required to address potential liability issues associated with CCS • Clear and substantial funding commitments are required for the successful implementation of the CCS programme
Nuclear PWR	<ul style="list-style-type: none"> • The current approach to implementing nuclear in South Africa is not in the public domain, so no comment can be offered as to approaches being pursued
Smart Grids	<ul style="list-style-type: none"> • Expected costs and benefits of individual technologies needs to be quantified • Roll out of smart grids should be supported by alternative revenue models for municipalities who lose income as a result of reduced energy supply • Regulations are required to incentivise the roll out of smart grid technologies • Customer awareness programmes highlighting the benefits of smart grids will help to drive customer acceptance
Energy Storage Technologies	<ul style="list-style-type: none"> • A detailed repository of all the local energy storage-related research is required in order to maximise synergies.

Annex 9: Terms of Reference for the Terminal Evaluation (without annexes)

Terminal Evaluation of the UNEP/GEF project “Enabling South Africa to Prepare its Third National Communication (TNC) and Biennial Update Report (BUR3) to the UNFCCC” (GEF ID 5237)

Section 1: PROJECT BACKGROUND AND OVERVIEW

Project General Information

Table 1. Project summary

GEF Project ID:	5237	IMIS No.:	GFF-5070-4E95-2724
Implementing Agency:	UNEP Economy Division, Climate Mitigation, Energy and Climate Branch	Executing Agency:	The Department of Forestry, Fisheries and Environment (DFFE, formerly DEA)
Relevant SDG(s) and indicator(s):	SDG 13: Climate Action - Take urgent action to combat climate change and its impacts Target 13.2 Integrate climate change measures into national policies, strategies and planning Target 13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	Not Mandatory to report on Core Indicator Targets for GEF Enabling Activity. (See Project Cycle document page 12)		
Sub-programme:	Climate Change	Expected Accomplishment(s):	Expected accomplishment (b) Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies
UNEP approval date:	September 2014	Programme of Work Output(s):	(PoW) 2014-2015 Sub-progr.1 on CC: Outputs: 3, 4 and 5
GEF approval date:	February 2014	Project type:	Full Size Project
GEF Operational Programme #:	GEF V Enabling Activity	Focal Area(s):	Climate Change
		GEF Strategic Priority:	CCM-6: Objective 6 of the Climate Change Focal Area Strategy
Expected start date:	July 2014	Actual start date:	September 2014

Planned completion date:	September 2018	Actual operational completion date:	December 2020
Planned project budget at approval:	US\$ 5,357,650	Actual total expenditures reported as of June 2020	US\$3,326,040.77
GEF grant allocation:	US\$ 4,006,650	GEF grant expenditures reported as of June 2020	\$2,071,040.77
Project Preparation Grant - GEF financing:		Project Preparation Grant - co-financing:	
Expected Full-Size Project co-financing:	US\$ 1,351,000	Secured Full-Size Project co-financing:	US\$ 1,255,000
Date of first disbursement:	October 2014	Planned date of financial closure:	June 2021
No. of formal project revisions:	1	Date of last approved project revision:	October 2017
No. of Steering Committee meetings:	Once a year minimum	Date of last Steering Committee meeting:	July 2019
Mid-term Review/ Evaluation (planned date):	September 2017 – May 2018	Mid-term Review/ Evaluation (actual date):	September 2017 - May 2018
Terminal Evaluation (planned date):	December 2018	Terminal Evaluation (actual date):	February 2021
Coverage - Country(ies):	South Africa	Coverage - Region(s):	Africa
Dates of previous project phases:	N/A	Status of future project phases:	NC5&BUR5 proposal currently under preparation

Project Rationale

1. The Government of South Africa (GoSA) ratified the UN Framework Convention on Climate Change (UNFCCC) in 1997 and the Kyoto Protocol in 2002, in order to contribute to the global fight against climate change. South Africa considers the elaboration of National Communications (NCs) as a key instrument to gauge implementation of national policies and strategies related to climate change. As part of the obligations under the UNFCCC, GoSA submitted its First National Communication in December 2003 and the Second National Communication in November 2011.
2. Furthermore, in November 2011, South Africa promulgated its National Climate Change Response Policy-White Paper (NCCRP). The NCCRP set out objectives and targets with regard to setting-up desired emissions reduction outcomes, implementation of climate change mitigation and adaptation flagship programmes, development of a monitoring and evaluation framework to track a transition to a low carbon economy and climate-resilient society. In relation to reporting obligations under the UNFCCC, the NCCRP is detailed with regards to preparation and submission of national greenhouse gas inventories, biennial update reports and national communications.
3. Although the level of detail in reporting had risen over the years, it was found that there was an increasing need to capture information at the provincial or district scale rather

than at national level. South Africa is a country with an extensive territory, housing a wide diversity of complex climate, socio-economic and natural systems that are difficult to encompass within a single national report. This complexity therefore demands for the involvement of more local institutions and organizations than in the past, for building technical and infrastructural capacities, as well as wider stakeholder participation in climate change related activities.

4. In accordance with Articles 4.1 and 12.1 of the Convention, South Africa is a signatory Party to the UNFCCC that is eligible to be provided with adequate resources to support Enabling Activities under the Convention, in order for the country to fulfill its reporting obligations, while strengthening its capacity to integrate climate change concerns into national and sectoral development plans and priorities.
5. The project “Enabling South Africa to Prepare its Third National Communication and Biennial Update Report (BUR) to the UNFCCC” (hereafter referred to as the “Project”) was designed to support the country in fulfilling its obligations under the UNFCCC. Several scientific, technical and institutional limitations had been encountered during the preparation of the Second National Communication (SNC), and these were considered in the design and implementation of this project. Emphasis was placed on: GHG inventory; measures to mitigate climate change; assessment of vulnerability for priority areas selected under stocktaking exercises; and education and public awareness. Gaps, uncertainties, and constraints along with other information related to the UNFCCC were also addressed as indicated by Decision 17/CP.8. The information gained during the project was to be communicated to the COP through the Third National Communication (TNC) and Biennial Update Report of the Government of South Africa.
6. At the onset, only the first Biennial Update Report (BUR 1) was envisaged in the workplan; however, the scope of the project was later changed to include the second and third Biennial Update Reports, as South Africa had received financial support from the German Government for the development of BUR1 through the Gesellschaft für Internationale Zusammenarbeit (GIZ). What occurred was that GoSA, through the Department of Forestry, Fisheries and the Environment (DFFE), (which was the Department of Environmental Affairs (DEA) at the time within the chief directorate climate change monitoring and evaluation), made the decision to capacitate its staff to develop the Second Biennial Update Report (BUR2) internally. Subsequently, GEF was requested by GoSA to use surplus funds that were available to the project to fund the Third Biennial Update Report (BUR3). In the course of the project, the DFFE was able to submit the BUR2 in December 2017 (two years since the submission of its first BUR), and BUR3 in June 2019. These submissions include supporting studies such as greenhouse gas improvement programme, climate projections, downscaling modelling, a technology needs assessment study, among other deliverables associated with the TNC.
7. The project was designed for implementation in coordination with several other GEF’s strategic area projects under the Multilateral Environmental Agreements and other environmentally geared initiatives related to conservation of ecosystems, wildlife

preservation and forest management such as the Convention on Biological Diversity (CBD), the Convention to Combat Desertification and Drought (UNCCD), and the achievement of the millennium Development Goals (MDGs), among others. The project also serves to identify major challenges to mainstreaming climate change into national development planning plans and strategies.

Project Results Framework

8. According to the project document, the **overall project objective** is: to prepare the Third National Communication (TNC) and first Biennial Update Report (BUR1) of South Africa to enable the country fulfill its obligations under the UNFCCC, in accordance with Articles 4.1 and 12.1 of the Convention while strengthening its capacity to integrate climate change concerns into national and sectoral development plans and priorities through the implementation of the National Climate Change Response Strategy (NCCRS).
9. By the time the mid-term review was undertaken in 2018, **specific objectives** had been defined, as follows:
 - The first specific objective: to undertake national stocktaking and stakeholder consultations to review work carried out under previous climate change Enabling Activities, identify gaps and propose relevant activities to be undertaken within the framework of preparing the TNC and BUR2 under the UNFCCC.
 - The second specific objective: to prepare the TNC and BUR2 of South Africa (and eventually BUR3)
10. The components of the project, including planned outputs and expected outcomes, are highlighted in Table 2 below. This follows the results framework as presented in the Mid-term Review Report (2018).

Table 2. Summary of the Project Framework

Component	Expected Outcomes	Expected Outputs
1. National circumstances	1.1 Review and update National Circumstances of South Africa with regard to climate change challenges for the TNC National Circumstances of South Africa with regard to climate change challenges reviewed, updated and officially approved	1.1.1 Detailed report of national and regional priorities to address CC concerns within the framework of national development programmes, plans and strategies
		1.1.2 In-depth description of the geography, climate, environmental and socio-economic profiles with emphasis on sensitivity to CC and climate variability
		1.1.3 Thorough description of the institutional arrangements adopted for producing the third national communications including those related to the compilation of GHG inventories and the preparation of Biennial Update Report
		1.1.4 Description of the national institutional framework for the effective implementation of measures to meet the

Component	Expected Outcomes	Expected Outputs
		objectives of the Convention
		1.1.5 TNC introduced, explained and launched with relevant stakeholders
2. GHG Inventories	2.1 Information on national GHG inventory and trends provided for the period 2011 – 2012 for inclusion in TNC	2.1.1 Activity data (AD) collected and formatted for use in UNFCCC software for IPCC sectors (a) Energy (b) Industrial Production and Other Product Use (c) Agriculture, Forest and Land-Use Change (AFOLU), and (d) Waste
		2.1.2 All AD are quality controlled and archived.
		2.1.3 Data gaps identified and processes started and completed for filling these gaps (new surveys, etc).
		2.1.4 All emission factors (EFs) are reviewed for their appropriateness for South Africa before adoption.
		2.1.5 All inappropriate EFs are modified to suit national circumstances as far as possible
		2.1.6 Inventory of emissions compiled for the IPCC sectors listed in 2.1.1
		2.1.7 All AD, EFs and compilations documented and archived
	2.2 Quality of inventory improved from Tier 1 to Tier 2	2.2.1 Computation of emissions over the full time period harmonized with same methodology for a better trend analysis
		2.2.2 Methodologies for Tier II adopted wherever AD is of the detailed level of disaggregation and documented in an inventory report.
		2.2.3 Amended improved emission factors have been adopted and documented
		2.2.4 QA/QC, Uncertainty analysis and Key Category Analysis performed as per Good Practice Guidance and reported
		2.2.5 Further improvement areas identified and a National Inventory Improvement Plan prepared for action until the next inventory compilation
	2.3 Institutional arrangements put in place and officially endorsed as well as institutional capacity enhanced to facilitate the preparation of GHG inventories on a regular basis	2.3.1 A National Inventory Management System made operational, through the active participation of strengthened sectoral ministries and institutions, and supported by a network of research institutions established
		2.3.2 QA/QC procedures are established and made functional
	3. Measures to adapt to climate change for the Third National Communication to the UNFCCC	3.1 Better understanding of CC, climate variability and the resulting sea level rise on a finer spatial resolution.
3.1.2 Sea level data are analysed and the trend available at different locations around the country		
3.2. Improved climate change and sea level rise scenarios for improved projections at the spatial and temporal and geographical scales and		3.2.1 The latest GCMs and RCMs are tested and the best used for projecting scenarios for vulnerability and adaptation assessments.
		3.2.2 Improved climate change and sea level rise scenarios are generated at the local, national and regional levels for

Component	Expected Outcomes	Expected Outputs	
	endorsed by government.	different timesteps up to the 2100 horizon.	
		3.2.3 Projected sea level rise are available for impact assessment on the coastal zone and other related activities	
	3.3 Socio-economic scenarios developed, approved by government and made available for use when implementing the Convention	3.3.1 Socio-economic scenarios developed for use in the evaluation of adaptation measures	
		3.3.2 Risk assessments made and vulnerability indices developed for most probable climatic risks and extremes	
	3.4 Improved vulnerability and adaptation assessments of key socio-economic sectors	3.4.1 In-depth impact assessments of climate change on the Agriculture, Water Resources, Forest and other terrestrial Ecosystems, Coastal Zone and Health sectors are completed	
		3.4.2 Adaptation assessments including the socio-economic aspects for the sectors Agriculture, Water Resources, Forest and other Terrestrial Ecosystems, Coastal Zone and Health are completed.	
	3.5 More informed decisions based on V&A assessment outputs to allow for mainstreaming of adaptation into development plans which are endorsed by government	3.5.1 The more reliable V&A assessments enabled the development of an adaptation strategy based on prioritization of key activities within sectors	
		3.5.2 Spatial vulnerability profiles in GIS format produced at local and national levels based on vulnerability indices for different sectors and sub sectors produced	
	3.6 More appropriate planning for concrete actions to adapt to climate change impacts	3.6.1 A robust national adaptation plan with both short term and long-term strategies is ready for implementation and taking into special consideration the poorer rural population as well as the economic engines	
		3.6.2 A series of project briefs prepared and ready for development for funding	
	4. Measures to mitigate climate change	4.1 Socio-economic scenarios developed, endorsed by government and made available for use in mitigation assessments	4.1.1 New improved baselines created for emitting sectors
			4.1.2 Emissions projected to the 2050 horizon for the business as usual and new socio-economic scenarios
4.2 Improved up to date mitigation assessments completed for key emitting sectors and approved by government.		4.2.1 Mitigation assessments completed for the Energy, Industrial Processes and Other Product Use, AFOLU and Waste sectors, including financial needs for implementation	
4.3 Carbon sequestration potential evaluated and endorsed by government.		4.3.1 The sequestration potential of the country, with emphasis in the AFOLU sector and through Carbon Capture and Storage in the energy sector is determined	
4.4 Mitigation measures mainstreamed in national and local development plans and strategies for the consideration of the government.		4.4.1 A strategy for implementing the most prominent mitigation actions worked out in consultation with a wide group of stakeholders, including the private sector. A National mitigation plan is produced for guiding the way forward	
4.5 Effective and coordinated strategy in place and approved by government to implement		4.5.1 A series of GHG mitigation project briefs prepared and ready for further development into full project proposals for	

Component	Expected Outcomes	Expected Outputs
	concrete GHG mitigation activities consistent with national development priorities	funding
5. Other information relevant to the Convention	5.1 Improved assessment of technology needs for implementing the Convention and approved by government	5.1.1 Technology Needs Assessment consistent with national strategies and plans to implement the Convention;
		5.1.2 In-depth analysis and prioritization of technologies based on costs, adoption rates and other factors;
		5.1.3 A Technology Action Plan is prepared, the objective being successful technology transfer for both mitigation and adaptation;
	5.2 Enhanced research and systematic observation systems, thus enabling the country to better meet its commitments	5.2.1 Research and systematic observation needs identified and prioritized for implementation
		5.2.2 Projects on climate research to improve assessment of impacts and adaptation
		5.2.3 Research activities to develop country specific emission factors for improving quality of inventory
		5.2.4 South Africa has collaborated in regional and international research and systematic observation networks for combating climate change
	5.3 Better understanding of Education, Training and Public Awareness needs	5.3.1 Detailed plan for inclusion of climate change in formal educational curricula and vocational training prepared;
		5.3.2 Level of awareness of different segments of the population evaluated and remedial actions identified to inform and educate them and to influence their behavioural choices;
		5.3.3 An action plan to prepare awareness materials for effective sensitization of the general public ready for action;
	5.4 Capacity Building needs for reporting to and implementing the UNFCCC clearly identified and endorsed by government	5.4.1 An exhaustive list of areas requiring capacity building is produced;
		5.4.2 A plan of action is ready for implementation and prioritizing capacity building in line with most urgent needs.
	6. Biennial Update Report to the UNFCCC prepared and approved by Government by June 2015	6.1 Write-up on the National Circumstances of South Africa with respect to climate change issues reviewed, updated and officially approved
6.1.2 Information on the geography, climate, environmental and socio-economic profiles of the country with emphasis on sensitivity to climate change and climate variability described and documented		
6.1.3 Thorough description of the institutional arrangements adopted for producing the Biennial Update Report regularly		
6.1.4 BUR introduced, explained and launched with relevant stakeholders		
6.1.5 Level of support received for preparation of BUR well reported		
6.2a Information on national GHG inventory and trends provided for the period: 2001 -		6.2a.1 Activity data (AD) collected and formatted for use in UNFCCC software for IPCC sectors (a) Energy (b) Industrial Production and Other Product Use (c) Agriculture, Forest and

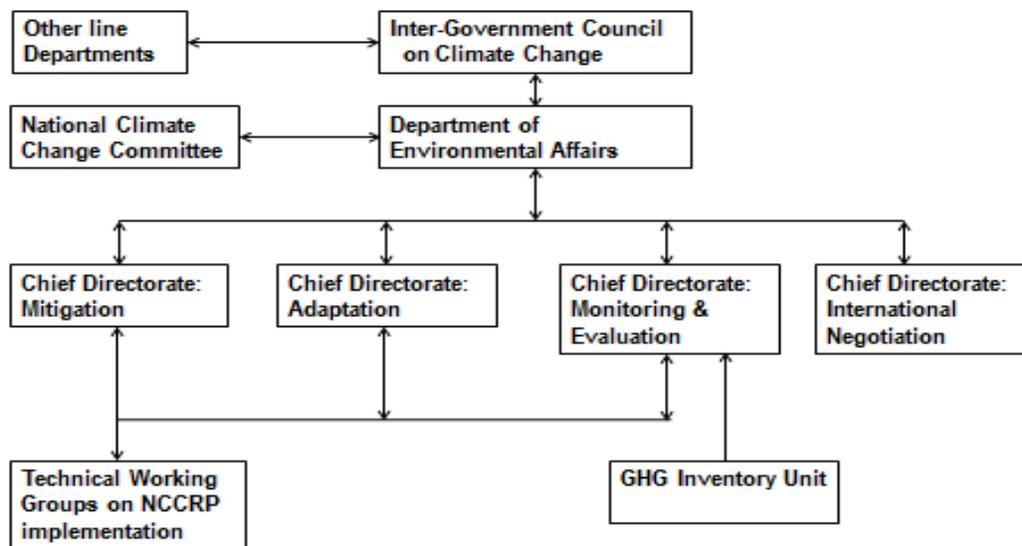
Component	Expected Outcomes	Expected Outputs
	2013 for inclusion in the BUR2	Land-Use Change (AFOLU), and (d) Waste
		6.2a.2 All AD are quality controlled and archived.
		6.2a.3 Data gaps identified and processes started and completed for filling these gaps (new surveys, etc).
		6.2a.4 All emission factors (EFs) are reviewed for their appropriateness for South Africa before adoption.
		6.2a.5 All inappropriate EFs are modified to suit national circumstances as far as possible
		6.2a.6 Inventory of emissions compiled for the IPCC sectors listed in 6.2.1
		6.2a.7 All AD, EFs and compilations documented and archived
	6.2b Quality of inventory improved from Tier 1 to Tier 2	6.2b.1 Computation of emissions over the full-time period harmonized with same methodology for a better trend analysis
		6.2b.2 Methodologies for Tier II adopted wherever AD is of the detailed level of disaggregation and documented in an inventory report.
		6.2b.3 Amended improved emission factors have been adopted and documented
		6.2b.4 QA/QC, Uncertainty analysis and Key Category Analysis performed as per Good Practice Guidance and reported
		6.2b.5 Further improvement areas identified and a National Inventory Improvement Plan prepared for action until the next inventory compilation
	6.2c Institutional arrangements put in place and officially endorsed as well as institutional capacity enhanced to facilitate the preparation of GHG inventories on a regular basis.	6.2c.1 A National Inventory Management System made operational, through the active participation of strengthened sectoral ministries and institutions, and supported by a network of research institutions established
		6.2c.2 QA/QC procedures are established and made functional
	6.2d GHG emission projections are generated for 2020 to 2050 and endorsed by Government	6.2d.1 Projected emissions for the period 2020 to 2050 completed and available
	6.3 Mitigation actions and their impacts, including associated methodologies, assumptions and implementation status are described in accordance with reporting guidelines and approved by government in line with the low carbon development strategy.	6.3.1 Status report on the national arrangements for the implementation of NAMAs including the establishment of a national registry provided
		6.3.2 Reporting template for mitigation actions developed and institutionalized
		6.3.3 Status of implementation of mitigation actions and results obtained compiled in a tabular format and reported
		6.3.4 Status report on participation in international market mechanisms prepared

Component	Expected Outcomes	Expected Outputs
		6.3.5 Establishment of a database on all mitigation actions (policies, measures) containing (a) a description of on-going and planned mitigation actions, the nature of the action, coverage (i.e. sectors and gases) ; (b) methodologies and assumptions, (c) objectives and steps taken or envisaged to achieve that action
		6.3.6 Forecast/projections for business as usual and different socio-economic scenarios for the period 2020 to 2050 completed
	6.4 Framework for the continuous assessment and reporting of constraints, gaps and related financial, technical and capacity needs and support needed and received is established and endorsed by government	6.4.1 Financial, technology and capacity building needs for mitigation actions assessed
		6.4.2 Information on financial resources, technology transfer, capacity building and technical assistance received from the GEF, Annex II Parties and other developed country Parties, the GCF and multilateral institutions for GHG mitigation activities collected, analysed and updated.
		6.4.3 Report bringing all these elements outlined in 6.4.1 and 6.4.2 above together and helping to match funding opportunities with needs prepared
	6.5 Domestic MRV arrangements for mitigation actions and its impacts are defined, established and endorsed by government	6.5.1 Domestic MRV system developed and made functional
		6.5.2 Information on the protocols and operational procedures of the MRV system developed
		6.5.3 MRV conducted and reported
	6.6 Information on non-climate related impacts, opportunities and benefits on sustainable development are provided and accepted by government	6.6.1 Report on non-climate related impacts, opportunities and benefits on sustainable development objectives prepared
	6.7 Project is effectively monitored and implemented	6.7.1 Project financial and progress reports prepared and submitted promptly
6.8 Officially approved BUR is submitted to UNFCCC	6.8.1 South Africa's first BUR prepared, reviewed, published and submitted to UNFCCC in line with reporting guidelines	
7. Other Activities	7.1 GHG inventory report prepared and approved by government	7.1.1 The GHG inventory report is prepared in electronic and hard copies for wide circulation
	7.2 TNC report prepared and approved by government	7.2.1 The TNC report is prepared in electronic and hard copies for wide circulation
	7.3 Synthesis and Translation of GHG Inventory report and TNC	7.3.1 The GHG inventory and TNC are summarized in a format easily understood by the general public for their information
		7.3.2 Awareness creation materials covering GHG inventories and other components of the TNC prepared and translated into national languages for outreach and awareness creation activities

Executing Arrangements

11. The **Implementing Agency** was United Nations Environment Programme (UNEP), through Climate Mitigation, Energy and Climate Branch of the Economy Division. The **Executing Agency** was the Department of Environment, Forestry and Fisheries (DFFE) (formerly Department of Environmental Affairs - DEA) of the GoSA.
12. GoSA has put in place Directorates to oversee the different thematic areas of the National Communication, and the Climate Change and Air Quality branch of DFFE oversees the implementation of the Convention. All activities were to be implemented by the various Directorates of the Department of Environmental Affairs in collaboration with other stakeholders as depicted in the figure 1.
13. A **Project Steering Committee** (PSC) was to be set-up and include representatives of the Departments of Agriculture, Forest and Fisheries, Mineral Resources, National Treasury, Transport, Water Affairs, various research institutes, the Project Coordinator, a representative of the Civil Society, a representative of Academia and Women's Organizations etc⁹⁶. The PSC oversaw the timely implementation of project activities focusing mainly on policy issues.

Figure 1. Institutional Arrangements within the Executing Agency at Project Design (source: Project Document)



⁹⁶ The Evaluation was advised that at project implementation the PSC was composed of national government departments whose mandates are affected or crosscuts with climate change. On special meetings, service providers including research institutions, would present to the PSC, and the National Committee has also been presented to stakeholders including NGOs, civil society etc.

14. The **National Climate Change Committee (NCCC)** was responsible for technical implementation of the project. The **Project Coordinator** and the GEF Focal Point, both sitting on the PSC, reported to the PSC. The **Project Management Unit (PMU)** led by the Project Coordinator included a Project Administrative Assistant, and an Accounting Officer. Appropriate monitoring and reporting was facilitated by the Project Coordinator, of quarterly technical and financial reports to the Project Steering Committee at the national level, and to the Senior Task Manager and the Fund Management Officer in UNEP. Terminal Technical and Financial Reports were also developed and provided by the Project Coordinator.
15. Among the project partners and collaborators were the following:
- **South African Weather Service** was responsible for the production of long-term climate trends and generation of climate change and Sea Level Rise scenarios for impact assessments.
 - **Department of Energy and ESKOM** were the main collaborators for inventory and mitigation in the energy sector.
 - **Department of Agriculture, Forest and Fisheries** was the main collaborator for inventory, adaptation and mitigation in the Agriculture, Forest and Fisheries sectors as appropriate.
 - **Department of Mineral Resources** was the main collaborator for inventory and mitigation in the mineral resources sector.
 - **Department of National Treasury** was the main collaborator on fiscal policies and measures.
 - **Agricultural Research Council** supported impact assessments, mitigation analysis and derivation of emission factors.
 - **Council for Scientific and Industrial Research (CSIR), the Human Sciences Research Council (HSRC), South African National Energy Research Institute (SANERI), Department of Science and Technology, Research Institutions, South African National Biodiversity Institute (SANBI); Sustainability Institute (SI) and the Energy Research Centre (ERC)** conducted impact assessments, evaluated adaptation and/or mitigation measures and collaborated in deriving nationally appropriate Emission Factors (EFs) for improving the greenhouse gas (GHG) inventory; evaluated the Research and Systematic Observation (RSO) needs for meeting Climate Change challenges and planned the inclusion of Climate Change in tertiary and distance education programs.
 - **Department of Transport (Road, Rail, Air, and Marine)** was the main collaborator for inventory and mitigation in the transport sector.
 - **Economic Development Department** supported the impact assessment and studies on adaptation, mitigation and the green economy.
 - **Department of Cooperative Governance and Traditional Affairs and South African Local Government Association** provided support for impact assessments and studies on adaptation.

- **Department of Water Affairs** supported the impact assessment and studies on adaptation in the water resources sector.
- **NGOs, CSOs, CBOs** and indigenous people were partners for Informal education and Public awareness, also providing necessary support for developing community-based adaptation.
- **Consultants** were contracted as appropriate, for specific tasks within the framework of preparation of the TNC and BURs.

Project Cost and Financing

16. Despite being an Enabling Activity, this was categorized as a Full-Size project, based on the amount requested from the GEF. The project financing that was approved by GEF at project design was **US\$ 4,006,650**. Co-financing pledged by the South African government in the project document was for an amount of US\$ 1,255,00 while UNEP's co-financing was US\$ 96,000. The overall budget was estimated at US\$ 5,357,650. The project cost at design, broken down per funding source and per component is presented in table 3 and table 4 below:

Table 3. Estimated project financing by source

Origin of the fund	2014	2015	2016	2017	Total	%
Cost to GEF Trust Fund	962,000	1,803,850	988,300	252,500	4,006,650	74.8
Government in-cash contribution	208,500	420,000	418,000	208,500	1,255,000	23.4
UNEP in-kind contribution	16,000	32,000	32,000	16,000	96,000	1.8
Total cost	1,186,500	2,255,850	1,438,300	477,000	5,357,650	100

Table 4. Estimated project financing by component

Project Component	GEF Grant Amount (\$)	Confirmed Co-financing (\$)
1. National Circumstances for the Third National Communication to the UNFCCC prepared and approved by Government	38,185	10,000
2. GHG Inventories for the Third National Communication to the UNFCCC prepared and officially approved	987,290	430,000
3. Measures to adapt to climate change for the Third National Communication to the UNFCCC outlined and officially approved	919,875	235,000
4. Measures to mitigate climate change	750,000	250,000
5. Other information relevant to the Convention	472,000	80,000
6. Biennial Update Report to the UNFCCC prepared and approved by Government	350,000	150,000
7. Other Activities	298,500	100,000
Sub total	3,815,850	1,255,000
Project Management Cost	190,800	96,000
Total Project Costs	4,006,650	1,351,000

Implementation Issues

17. Initially, the project was to develop the TNC and BUR1 with GEF funding. Since the GEF funding was acquired late, the BUR1 was prepared through the financial support from the German government that was administered by GIZ. The project was later amended to include BUR2 within the results framework. The Department of Forestry, Fisheries and the Environment (DFFE), which was the Department of Environmental Affairs at the time of project design, under the Chief Directorate of Climate Change Monitoring and Evaluation made a decision to capacitate the DEA internal staff who internally developed the BUR2.
18. The personnel from all directorates worked together in collecting the data and developing BUR2 and the 2000-2012 National Inventory Report (NIR). Unfortunately, in mid-2016, the Climate Change Monitoring and Evaluation Chief Directorate lost key project personnel including the Change Information Director who was the senior manager in charge or responsible for the TNC and BUR2 as well as 2000-2012 NIR. This resulted in the delay in finalising the reports as the number of personnel dedicated to the project had reduced. South Africa therefore missed the deadline to submit BUR2 by December 2016.
19. In 2017, there was further staff turnover including the Chief Director, Mitigation M & E Director as well as the Project Coordinator and Administrative Assistant. This left the deliverable completely with the Project Manager as well as acting managers. The team worked well with other chief directorates (mitigation, adaption and international relations as well as the Project Steering Committee), in resolving the challenges and hence South Africa managed to submit BUR2 by December 2017 and TNC by August 2018.
20. Since the BUR2 had been internally prepared by the DFFE, the GoSA requested the GEF to use the unspent BUR2 funding, to prepare the BUR3. The BUR3 was developed by the DFFE and the Council for Scientific and Industrial Research (CSIR), with each institution responsible for drafting specific chapters. The BUR3 was finalized and submitted to the UNFCCC in June 2019, 1 year and 6 months after the submission of BUR2.
21. Delays in disbursement of first instalment of funds when procedures started for recruitment of project staff resulted in the actual commencement of the project being April 2015 instead of July 2014. In addition, the delays in the procurement of service providers resulted in delayed delivery of outputs. Furthermore, these delays prompted contracting of most service providers at the same period for most components. This in turn affected the completion of some of the outputs according to the planned schedule of activities, where it is essential to complete an output and feed the results into the next for obtaining the best quality.
22. The finalization and submission of the TNC was also delayed due to internal and Project Steering Committee approval processes of different milestones of the project

(e.g. public consultation; independent review; making of inputs and endorsing the draft TNC and BUR-2 at different stages).

23. The project has had one formal revision, resulting in additional activities made possible by unused GEF funds; there have also been several no-cost extensions to the project. Having experienced delays at the onset of the Project, the DEA/DFFE team still managed to complete all the chapters of TNC, BUR1, BUR2 and BUR3, with the support and coordination from partners, collaborators, service providers and relevant line Ministries.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

Objective of the Evaluation

24. In line with the UNEP Evaluation Policy⁹⁷ and the UNEP Programme Manual⁹⁸, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the GoSA. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially where a second phase of the project is being considered.

Key Evaluation Principles

25. Evaluation findings and judgements will be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.
26. **The “Why?” Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant(s) needs to go beyond the assessment of “*what*” the project performance was and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

97 <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

98 <https://wecollaborate.unep.org>

27. **Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.
28. **Communicating evaluation results.** A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Key Strategic Questions

29. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also, included are five questions that are required when reporting in the GEF Portal and these must be addressed in the Terminal Evaluation
- i. **Q1:** Given the significantly large number of planned outputs and expected outcomes in the results framework, without considering the start-up delays, has the project time frame allowed for the delivery of these outputs and outcomes to a satisfactory standard of quality?
 - ii. **Q2:** The Mid-term Review (2018) indicated that South Africa indeed has the required capacity to deliver on reporting to the Convention. It was however noted that there exists room for improvement. With regard to the concluded project, what does the evaluation consider as being the key areas that still require further capacity

development for DFFE and South African experts to report to the standards of the UNFCCC?

- iii. **Q4:** (Where relevant) What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report:**

Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*

Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*

Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

Evaluation Criteria

30. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultant(s) can propose other evaluation criteria as deemed appropriate.

Strategic Relevance

31. The evaluation will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

Alignment to the UNEP Medium Term Strategy⁹⁹ (MTS), Programme of Work (POW) and Strategic Priorities

32. The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building¹⁰⁰ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

Alignment to Donor/GEF/Partner Strategic Priorities

33. Donor, including GEF, strategic priorities will vary across interventions. GEF priorities are specified in published programming priorities and focal area strategies. The Evaluation will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

Relevance to Global, Regional, Sub-regional and National Environmental Priorities

34. The evaluation will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no one behind.

Complementarity with Existing Interventions/Coherence¹⁰¹

35. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization¹⁰², took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar

⁹⁹ UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

¹⁰⁰ <http://www.unep.fr/ozonaction/about/bsp.htm>

¹⁰¹ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

¹⁰² A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

Quality of Project Design

36. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unenvironment.org/about-un-environment/our-evaluation-approach/templates-and-tools). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

Nature of External Context

37. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval¹⁰³). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the evaluation consultant and Evaluation Manager together. A justification for such an increase must be given.

¹⁰³ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team.

Effectiveness

i. Availability of Outputs¹⁰⁴

38. The evaluation will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision¹⁰⁵

Achievement of Project Outcomes¹⁰⁶

39. The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed¹⁰⁷ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary. The evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision

¹⁰⁴ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

¹⁰⁵ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

¹⁰⁶ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

¹⁰⁷ All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

Likelihood of Impact

40. Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.
41. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.
42. The evaluation will consider the extent to which the project has played a catalytic¹⁰⁸ role or has promoted scaling up and/or replication as part of its Theory of Change and as factors that are likely to contribute to longer term impact.
43. Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partners.
44. Regarding Enabling Activities, where project results are primarily set at the level of Outputs, it is more difficult to predicate the likelihood that long-lasting results arising

¹⁰⁸ A catalytic effect is one in which desired changes take place beyond the initial scope of a project (*i.e. the take up of change is faster than initially expected or change is taken up in areas/sectors or by groups, outside the project's initial design*). Scaling up refers to an initiative, or one of its components, being adopted on a much larger scale, but in a very similar context (*e.g. a small scale, localized, pilot being adopted at a larger, perhaps national, scale*). Replication refers more to approaches being repeated or lessons being explicitly applied in new/different contexts *e.g. other geographic areas, different target groups etc.* Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

[directly or indirectly] from the project will be achieved. In this case, likelihood of Impact achievement may be considered in the shorter-term, and assessed in terms of the quality of data informing the UNFCCC as well as the National Climate Change Response Strategy (NCCRS).

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

Financial Management

45. Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

Efficiency

46. The evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focusing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was

implemented in the most efficient way compared to alternative interventions or approaches.

47. The evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities¹⁰⁹ with other initiatives, programmes and projects etc. to increase project efficiency.
48. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

Monitoring and Reporting

49. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

i. Monitoring Design and Budgeting

50. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART¹¹⁰ results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities.. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

Monitoring of Project Implementation

51. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups (including gendered, marginalised or vulnerable groups, such as those living with disabilities) in project

¹⁰⁹ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

¹¹⁰ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

52. The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

Project Reporting

53. UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g. disaggregated indicators and data)

Sustainability

54. Sustainability¹¹¹ is understood as the probability of project outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.
55. As previously mentioned, the results framework for Enabling Activities are primarily set at the level of Outputs and to a lesser degree at the level of longer-term Outcomes (e.g. in this case, the project objective focusses on preparation and submission of a National Communication and Biennial Update Report to UNFCCC). The question of sustainability may therefore be considered in terms of the likelihood that the national capacity developed through this project will be sustained **without** the benefit of

¹¹¹ As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

external assistance/guidance from UNEP. In other words, what is the likelihood that the framework established by the project will sustain the production of high quality, data-driven national reports to the UNFCCC by South Africa.

i. Socio-political Sustainability

56. The evaluation will assess the extent to which social or political factors support the continuation and further development of project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

Financial Sustainability

57. Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

Institutional Sustainability

58. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

Factors Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above. Where the issues have not been

addressed under other evaluation criteria, the consultant(s) will provide summary sections under the following headings.)

i. Preparation and Readiness

59. This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. *(Project preparation is included in the template for the assessment of Project Design Quality).*

Quality of Project Management and Supervision

60. In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP.
61. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

Stakeholder Participation and Cooperation

62. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the Executing Agency. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.
63. The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval).*

Responsiveness to Human Rights and Gender Equity

64. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment¹¹².
65. In particular the evaluation will consider to what extent project-implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.
66. The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. (This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent).

Environmental and Social Safeguards

67. UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements¹¹³ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).
68. The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

¹¹²The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time.

https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

¹¹³For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

69. Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

Country Ownership and Driven-ness

70. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gendered and marginalised groups.

Communication and Public Awareness

71. The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

72. The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

73. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs,

outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) will provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

74. The findings of the evaluation will be based on the following:

(a) A **desk review** of:

- Relevant background documentation, e.g. Project Implementation Plan, Project Identification Form (PIF), Inception Workshop Report, etc.;
- Project design documents (including CEO Endorsement); Annual Work Plans and Budgets or equivalent, revisions to the project (e.g. Amendments), the logical framework and its budget;
- Project reports such as Half-Yearly progress reports, financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews (PIR), etc.;
- Project outputs
- Mid-Term Review Report of the project;

Interviews (individual or in group) with:

- UNEP Task Manager (TM);
- Project management team, including the Project Manager within the Executing Agency;
- UNEP Fund Management Officer (FMO);
- Portfolio Manager and Sub-Programme Coordinator, where appropriate;
- Project partners, including DFFE and the collaborating partners and line Ministries;
- Relevant resource persons;
- Surveys (where appropriate)
- Field visits (this will be determined by the COVID-19 Pandemic status at the time of mission)
- Other data collection tools as deemed appropriate.

Evaluation Deliverables and Review Procedures

75. The evaluation team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the

- project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
76. An **Evaluation Brief**, (a 2-page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.
77. **Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.
78. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.
79. The Evaluation Manager will prepare a **quality assessment** of the first draft of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.
80. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and

updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 18 months.

The Evaluation Consultant

81. For this evaluation, the evaluation team will consist of one Evaluator who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager (Ms. Pauline Marima), in consultation with the UNEP Task Manager (Ms. Suzanne Lekoyiet), Fund Management Officer (Ms. Patricia Mwenya) and the Sub-programme Coordinators of the UNEP Sub-programmes on Climate Change (Niklas Hagelberg). The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide support (introductions, meetings etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.
82. The Evaluation Consultant will be hired over a period of 8 months (April 2021 to November 2021) and should have the following: a university degree in environmental sciences, or other relevant sciences area is required, an advanced degree is desirable; a minimum of 5 years of technical experience, preferably in the field of Climate Change is required. Evaluation experience is required, preferably including evaluating projects and/or programmes using a Theory of Change approach; a broad understanding of the United Nations Framework Convention on Climate Change (UNFCCC) is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.
83. The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables, above. The Consultant will ensure that all evaluation criteria and questions are adequately covered.
84. In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the evaluation and timely provision of its outputs, data collection and analysis and report-writing. More specifically:
- Inception phase of the evaluation, including:*
- preliminary desk review and introductory interviews with project staff;
 - draft the reconstructed Theory of Change of the project;
 - prepare the evaluation framework;
 - develop the desk review and interview protocols;
 - draft the survey protocols (if relevant);
 - develop and present criteria for country and/or site selection for the evaluation mission;

- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- (where appropriate and agreed) conduct an evaluation mission, visit the project locations, interview project partners and stakeholders, including a good representation of local communities.
- Ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the evaluation consultant and indicating the reason for the rejection; and
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluand and the key evaluation findings and lessons)

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

Schedule of the evaluation

85. The table below presents the tentative schedule for the evaluation.

Table 5. Tentative schedule for the evaluation

Milestone	Tentative Dates
Consultant selection and recruitment process	March 2021
Evaluation Initiation Meeting	April 2021

Milestone	Tentative Dates
Inception Phase	May to August 2021
Inception Report	Aug/Sept 2021
Data collection via electronic consultation with project partners	September 2021
Preliminary Note summarizing results to Evaluation Manager	4th October 2021 CALL DATE: 5th October 12.00 noon (Nairobi time)
Draft report to Evaluation Manager	15 th October 2021
Draft report to Climate Change Mitigation Unit	22 nd October 2021 (COP)
Draft Report shared with Department of Forestry, Fisheries and the Environment Project Management team	22nd October 2021(COP)
Improved draft Report shared with wider group of stakeholders	25th November 2021
Final Report and Review Bulletin	15th December 2021
Final Report shared with all respondents	31st December 2021

Contractual Arrangements

86. Evaluation consultants will be selected and recruited by the Evaluation Office of UNEP under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP /UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

87. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the [Evaluation Consultant/Principal Evaluator]:

Deliverable	Percentage Payment
Approved Inception Report (as per annex document 7)	30%
Approved Draft Main Evaluation Report (as per annex document 13)	30%
Approved Final Main Evaluation Report	40%

88. The consultant may be provided with access to relevant documentation, and if such access is granted, the consultant agrees not to disclose project information to third parties beyond information required for, and included in, the evaluation report.

89. In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation

Office until the consultants have improved the deliverables to meet UNEP's quality standards.

90. If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex 10: Brief CV of International Consultant
Available on request

Annex 11: Quality Assessment of the Evaluation Report

Enabling South Africa to Prepare its Third National Communication (TNC) and Biennial Update Report (BUR-2) to the UNFCCC” (GEF ID 5237)

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant’s efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p>Final report:</p> <p>A clear and comprehensive Executive Summary.</p>	5
<p>I. Introduction</p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p>Final report:</p> <p>A concise introduction covering all necessary elements.</p>	5
<p>II. Evaluation Methods</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p>	<p>Final report:</p> <p>A good evaluation methods section, following Evaluation Office most recent guidance.</p>	6

	UNEP Evaluation Office Comments	Final Report Rating
<p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?</p>		
<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <i>Context</i>: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • <i>Results framework</i>: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders</i>: Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners</i>: A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation</i>: Any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing</i>: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>Final report:</p> <p>A clear and complete description of the project.</p>	5
<p>IV. Theory of Change</p> <p>The <i>TOC at Evaluation</i> should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>This section should include a description of how the <i>TOC at Evaluation</i>¹¹⁴ was designed (who was involved etc.) and applied to the context of the project? Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the <i>TOC at Evaluation</i>. <i>The two results hierarchies should be</i></p>	<p>Final report:</p> <p>A good TOC that covers the outputs expected of the project as well as providing the scope, at outcome level and beyond, to credit the project with long lasting achievements that they have made.</p>	6

¹¹⁴ During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

	UNEP Evaluation Office Comments	Final Report Rating
<i>presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i>		
<p>V. Key Findings</p> <p>A. Strategic relevance: This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation¹¹⁵), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> i. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) ii. Alignment to Donor/GEF Strategic Priorities iii. Relevance to Regional, Sub-regional and National Environmental Priorities iv. Complementarity with Existing Interventions 	<p>Final report:</p> <p>All elements are covered.</p>	5
<p>B. Quality of Project Design</p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report:</p> <p>A good summary of the project design. Many shortcomings had already been identified by the project team and addressed in subsequent designs.</p>	5
<p>C. Nature of the External Context</p> <p>For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval¹¹⁶), and how they affected performance, should be described.</p>	<p>Final report:</p> <p>All elements covered.</p>	5
<p>D. Effectiveness</p> <p>(i) Outputs and Project Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How</p>	<p>Final report:</p>	6

¹¹⁵ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

¹¹⁶ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

	UNEP Evaluation Office Comments	Final Report Rating
<p>convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Relevant and useful detail which addresses the core achievements of the project.</p>	
<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>Final report:</p> <p>A thorough discussion of likelihood of impact.</p>	<p>6</p>
<p>E. Financial Management</p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • <i>Adherence</i> to UNEP's financial policies and procedures • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	<p>Final report:</p> <p>All elements covered.</p>	<p>5</p>
<p>F. Efficiency</p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint. 	<p>Final report:</p> <p>All elements covered.</p>	<p>5</p>

	UNEP Evaluation Office Comments	Final Report Rating
<p>G. Monitoring and Reporting</p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>) Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) Project reporting (<i>e.g. PIMS and donor reports</i>) 	<p>Final report:</p> <p>All elements adequately covered.</p>	4
<p>H. Sustainability</p> <p>How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> Socio-political Sustainability Financial Sustainability Institutional Sustainability 	<p>Final report:</p> <p>A good discussion of sustainability dimensions.</p>	5
<p>I. Factors Affecting Performance</p> <p>These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> Preparation and readiness Quality of project management and supervision¹¹⁷ Stakeholder participation and co-operation Responsiveness to human rights and gender equity Environmental and social safeguards Country ownership and driven-ness Communication and public awareness 	<p>Final report:</p> <p>The highlighting of gender, safeguarding and communications findings is appreciated.</p>	5
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>Final report:</p> <p>The conclusions are relevant and useful</p>	5
<p>ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be</p>	<p>Final report:</p>	

¹¹⁷ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

	UNEP Evaluation Office Comments	Final Report Rating
rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons are intended to be adopted any time they are deemed to be relevant in the future and must have the potential for wider application (replication and generalization) and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Useful lessons	5
<p>iii) Quality and utility of the recommendations:</p> <p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p> <p>In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.</p> <p>Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.</p>	<p>Final report:</p> <p>The recommendations are largely for UNEP as an institution - much of the learning from the project had already been adopted by the project team in subsequent work.</p>	5
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report:	6
ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report:	6
OVERALL REPORT QUALITY RATING		5

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	Y	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	Y	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	Y	
4. Was the evaluator contracted directly by the Evaluation Office?	Y	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	Y	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		N
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		N/A
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	Y	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	Y	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	Y	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		N
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	Y	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	Y	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	Y	
15. Did the project make available all required/requested documents?	Y	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	Y	
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	Y	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	Y	

19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	Y	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	Y	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	Y	
22. Was the TOC in the inception report peer-reviewed?	Y	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	Y	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	Y	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	Y	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	Y	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	Y	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	Y	
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?	Y	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	Y	

Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.

<u>Process Criterion Number</u>	<u>Evaluation Office Comments</u>