



Department of Performance Monitoring and Evaluation

Report on the Assessment of Government Evaluations

Evaluation Title:	Climate Change Financing and Aid Effectiveness: South African Country Analysis
Evaluation Number:	428
Evaluation Completion Date:	01 April 2011
Period of Evaluation:	2010-2011
Submitted:	11 August 2014 by Meagan Jooste
Approved:	12 August 2014 by Mike Leslie

Evaluation Details

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Created:	19 May 2014 by Mike Leslie
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Period of Evaluation:	2010-2011
Known Cost:	
Known Cost Type:	No Data
Initiated By:	OECD's Development Cooperation Directorate and the African Development Bank
Initiated By Internal:	No
Undertaken By:	Agulhas Applied Knowledge (UK) (through a private South African consultant, namely, Jeff Zingel)
Undertaken By Internal:	No

Assessors

Meagan Jooste	meagan@pdg.co.za
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Assessment Documents

Document Name:	Document Type:	Added By:	Added On:
CC S.A Final JZ.pdf	Evaluation report	Mike Leslie	19 May 2014
PD Final Country Evaluation Report FINAL.pdf	Any other relevant documentation pertaining to the evaluation process	Meagan Jooste	30 June 2014
Making_the_Most_of_Climate_Change_Financing_in_Asia_and_the_Pacific-CDDE_Report_2010.pdf	Any other relevant documentation pertaining to the evaluation process	Meagan Jooste	24 July 2014
CC Aid Effectiveness Africa Synthesis Agulhas.pdf	Any other relevant documentation pertaining to the evaluation process	Meagan Jooste	04 August 2014
Assessment Report at Moderation.pdf	Assessment Report at Moderation	Mike Leslie	10 August 2014

Quality Assessment Summary

The overall score of this evaluation has been rated at 2.88 out of 5 on the Likert-type scale applied to assess the quality of government evaluations. This rating implies that the evaluation is of a fair quality. While the evidence base of the evaluation was good, the assessor could have benefited from more information on the design and implementation of the evaluation. The assessor's insights to the evaluation rely solely on the evaluator's inputs as the commissioning party was unavailable for engagement. Despite this, the evaluator's knowledge of the context and use of the evaluation was particularly insightful. At the time of the evaluation, there was a limited body of knowledge on the scale and dynamics of climate change finance in South Africa. This evaluation was important in collating a collection of desktop information and stakeholder views on the status of climate finance in relation to the key principles of Aid Effectiveness. While the evaluation holds great value in reflecting on a breadth of information in a concise fashion, the report would have benefited from a clearer structure, a language edit, and more appropriate use of conventions in the presentation of key information boxes contained in the report. A valuable contribution would also have been the use of figures or graphics to emphasize the direction of climate policy in the country as represented by the cabinet-approved Long-Term Mitigation Scenarios' 'Peak, Plateau, Decline' trajectory. While the evaluation was primarily intended for presentation to a continental (African) audience at a workshop in Nairobi, it was also hoped that its influence and application would extend to the South African government. However, achieving the latter was perhaps 'lost' in what, in the immediate period after the evaluation, became an exponentially growing sphere of knowledge and expertise on climate finance. The effect of the evaluation on the continent was however significant as, in combination with complementary case studies of other African countries, the evaluation findings were used to develop the Nairobi Declaration on African Principles for Aid Effectiveness in Climate Finance. The assessor thus scored the 'partnership approach' overarching consideration as adequate (i.e. it was scored 3.09). The evaluation was also constructed to align well to climate policy developments at the time as well as to investigate new areas of research in the realm of climate finance more broadly and thus the assessor also scored the 'coordination and alignment' overarching consideration at 3.09. It is also fair to say that the evaluation was also implemented smoothly (without external influence), according to budget and, with the exception of a minor time-extension due to the unforeseen theft of the evaluator's laptop, according to the project time-plan. The 'quality control', overarching consideration was thus scored at 2.98. In contrast, the evaluation scored lower than 2.60 in terms of the 'free and open evaluation process', 'evaluation ethics' and 'capacity development' overarching considerations as there were significant weaknesses in these respects. Overall, the findings of this assessment are that the evaluation is viewed to not only have been timely but to have set the pace for further research in the realm of climate finance in the country. However, the manner in which the evaluation was completed in terms of planning, implementation and, follow-up use, use and learning could have benefited from better structure or design and buy-in by South African government officials. This could have contributed to better knowledge transfer to domestic stakeholders as well as the use of the study's findings in ex post climate finance policy and planning.

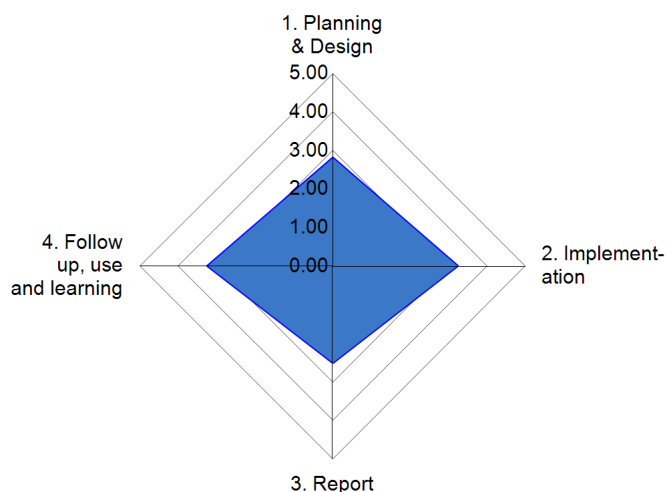
Quality Assessment Scores

Phase of Evaluation	Score
1. Planning & Design	2.84
2. Implementation	3.26
3. Report	2.51
4. Follow-up, use and learning	3.27
Total	2.88

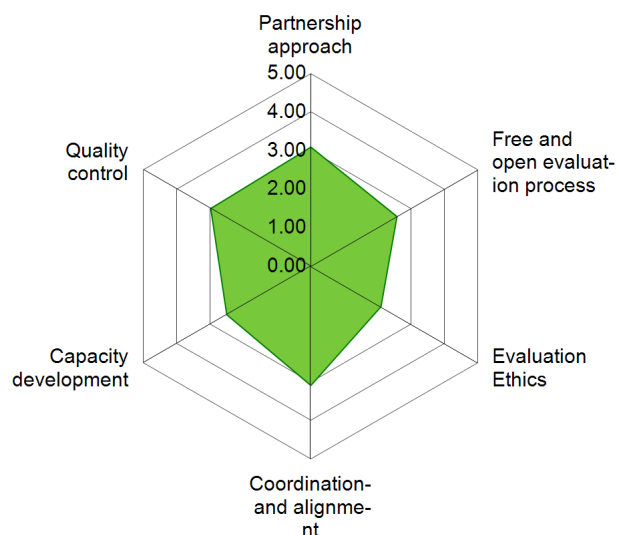
Overarching Consideration	Score
Partnership approach	3.09
Free and open evaluation process	2.58
Evaluation Ethics	2.11
Coordination and alignment	3.09

Capacity development	2.50
Quality control	2.98
Total	2.88

Scores: Phases of Evaluation



Scores: Overarching Considerations



Phase of Evaluation	Area of Evaluation	Score
1. Planning & Design	1.1. Quality of the TOR	2.63
1. Planning & Design	1.2. Adequacy of resourcing	2.55
1. Planning & Design	1.3. Alignment to policy context and background literature	4.00
1. Planning & Design	1.4. Appropriateness of the evaluation design and methodology	2.78
1. Planning & Design	1.5. Project management (Planning phase)	4.00
2. Implementation	2.1. Evaluation ethics and independence	2.82
2. Implementation	2.2. Participation and M&E skills development	1.80
2. Implementation	2.3. Methodological integrity	4.00
2. Implementation	2.4. Project management (Implementation phase)	4.00
3. Report	3.1. Completeness of reporting structure	2.75
3. Report	3.2. Accessibility of content	2.00
3. Report	3.3. Robustness of findings	2.55
3. Report	3.4. Strength of conclusions	3.43
3. Report	3.5. Suitability of recommendations	2.31
3. Report	3.6. Consideration of reporting risks and ethical implications	1.92
3. Report	3.7. Project management (Reporting phase)	2.00
4. Follow-up, use and learning	4.1. Resource utilisation	2.80
4. Follow-up, use and learning	4.2. Evaluation use	3.38
Total	Total	2.88

1. Planning & Design

1.1. Quality of the TOR

Standard: 1.1.1. The evaluation was guided by a well-structured and complete TOR or a well-structured and complete internal evaluation proposal

Comment and Analysis: A specific Terms of Reference for the study was not provided to the evaluator. The evaluator was asked to build on (and enhance the detail of) an existing research piece completed for the National Treasury by consulting relevant stakeholders according to a common structured interview matrix provided by the main sub-contractor (Agulhas UK) to the OECD/ADB. This matrix guided the evaluator through the evaluation.

Rating: 2

Standard: 1.1.2. The purpose of the evaluation stated in the TOR (or an internal evaluation proposal) was clear and explicit

Comment and Analysis: A specific Terms of Reference for the study was not provided to the evaluator and thus the purpose of the assessment does not appear to have been clearly or explicitly communicated at the outset of the diagnostic. The purpose of the evaluation was verbally communicated to the evaluator as necessitating a review of climate finance in South Africa to display the status quo of its application in the country. This included a review of what is and what is not working as well as the role of various role-players (particularly government departments) in the absorption and use of climate finance in the country. Email exchanges were however necessary, between the evaluator and the Programme Manager (Agulhas UK) to clarify the focus of the evaluation were important in ensuring alignment with the other African country case studies which were being formulated at the same time.

Rating: 2

Standard: 1.1.3. The evaluation questions in the TOR (or an internal evaluation proposal) were clearly stated and appropriate for addressing the evaluation purpose

Comment and Analysis: A specific Terms of Reference for the study was not provided to the evaluator. The common structured interview matrix provided by Agulhas UK comprised the framework which guided this South African case study. It reflects a set of key questions for stakeholders in terms of the policy, capacity, incentive and constraints elements of the Aid Effectiveness principles of Country Ownership, Alignment, Harmonisation, Measuring for Results and Mutual Accountability.

Rating: 3

Standard: 1.1.4. The approach and type of evaluation was suited to the purpose and scope of the evaluation TOR (or an internal evaluation proposal)

Comment and Analysis: A specific Terms of Reference for the study was not provided to the evaluator. This was a diagnostic evaluation however and the approach employed entailed desktop research complemented by a stakeholder engagement process. This approach was appropriate as it allowed the evaluator to 'ground-truth' evidence in available literature with insights from experts in the field of climate finance in South Africa.

Rating: 3

Standard:	1.1.5. The TOR (or an internal evaluation proposal) identified the intended users of the evaluation and their information needs
Comment and Analysis:	A specific Terms of Reference for the study was not provided to the evaluator. The evaluator understood from the Programme Manager (Agulhas UK) that the ultimate purpose of the evaluation was to showcase lessons learned from the application of climate finance in South Africa as input to a workshop in Nairobi, Kenya on Aid Effectiveness. The workshop was planned as an event to facilitate knowledge transfer in the climate finance arena in South Africa.
Rating:	3

Standard:	1.1.6. Key stakeholders were involved in the scoping of the TOR and choosing the purpose of the evaluation
Comment and Analysis:	An engagement with the UK-based Programme Manager of Agulhas UK could not be secured for this assessment. It is thus not possible to assess the extent to which key stakeholders were involved in the scoping of the ToR. However, the evaluator reported that the South African and other African case studies, were meant to mirror a similar case study assessment which Agulhas UK had recently completed for a sample of Asian countries. The evaluator also understood that a collaborative effort between Agulhas UK and the ultimate Programme Manager of the OECD and African Development Bank, helped in the formulation of the scope of work for these African case studies. The evaluator also took it upon themselves to engage with the Development Bank of Southern Africa to ensure the alignment of the evaluation to their needs for research in this domain.
Rating:	3

1.2. Adequacy of resourcing

Standard:	1.2.1. The evaluation was adequately resourced in terms of time allocated
Comment and Analysis:	The evaluator felt that the evaluation was adequately resourced in terms of time allocated.
Rating:	3

Standard:	1.2.2. The evaluation was adequately resourced in terms of original budget
Comment and Analysis:	The evaluator felt that the evaluation was adequately resourced. Fluctuating exchange rates did have a role to play in the 'real' price of the work but given that the evaluator was geographically located close to key stakeholders, this contained the transport costs. Some interviews were also done telephonically and via email which made for a more manageable budget.
Rating:	3

Standard:	1.2.3. The evaluation was adequately resourced in terms of staffing and skills sets
Comment and Analysis:	The evaluator felt adequately resourced given that the evaluation built on an existing research piece and this evaluation merely required a more in depth analysis of the existing work through a stakeholder engagement process and desktop literature review process. The evaluator also secured strategic contacts through the existing research piece to make the compilation of the evaluation smoother. The evaluation may have benefited from a team however as this would have not only distributed the stakeholder engagement responsibilities but would have potentially led to the identification of nuances in the views expressed.
Rating:	2
Standard:	1.2.4. Where appropriate, the evaluation planned to incorporate an element of capacity building of partners/staff responsible for the evaluand
Comment and Analysis:	The evaluation was ultimately intended to showcase the results of the study through a workshop on Aid Effectiveness in Nairobi, Kenya. While evaluand's were, in effect, engaged as stakeholders, it is not apparent that the evaluation had set out to incorporate capacity building of the partners/staff responsible for the evaluand through the duration of the evaluation.
Rating:	1

1.3. Alignment to policy context and background literature

Standard:	1.3.1. There was evidence that a review of the relevant policy and programme environments had been conducted and used in planning the research
Comment and Analysis:	The evaluator had previously completed an evaluation of the implementation of the Paris Declaration and Accra Agenda for Action in South Africa for the National Treasury. This research focused on, at the time, the emerging climate change sector and interrelated and cross-sectoral issues in development partner support for climate change (across the traditional environment, energy and water sectors and the newly emerging climate change sector). That evaluation provided a critical input into the development of the evaluation under assessment here as it had consolidated a breadth of knowledge on the implementation and use of climate finance (and the related key role-players) as a function of the Paris Declaration in particular. There is however very limited policy and programme review of climate change adaptation in the evaluation.
Rating:	4
Standard:	1.3.2. There was evidence of a review of appropriate literature having been conducted and used in planning the research
Comment and Analysis:	There is clear evidence that, through the compilation of the previous evaluation for National Treasury, that a review of appropriate literature has been conducted and used in the planning of this research. There is however very limited policy and programme review of climate change adaptation in the evaluation.
Rating:	4

1.4. Appropriateness of the evaluation design and methodology

Standard:	1.4.1. There was explicit reference to the intervention logic or the theory of change of the evaluand in the planning of the evaluation
Comment and Analysis:	In the documentation available for this assessment, it is not evident that a clear reference was made to the theory of change of the evaluand.
Rating:	1
Standard:	1.4.2. Key stakeholders were consulted on the design and methodology of the evaluation
Comment and Analysis:	As engagement with Agulhas UK was not possible for this assessment, it is not clear whether key stakeholders were consulted on the design and methodology of the evaluation. But, the evaluator reported that the approach was aligned to that utilised for the National Treasury study and more in depth research was completed on the basis of key stakeholder engagements guided by the common structured interview matrix provided by the Programme Manager at Agulhas UK. The evaluator inferred that the matrix was possibly formulated by Agulhas UK, the African Development Bank and the OECD.
Rating:	2
Standard:	1.4.3. The planned methodology was appropriate to the questions being asked
Comment and Analysis:	The planned methodology was appropriate to the questions being asked as a review of the sourcing and application of climate change finance in terms of whether, and how, the Aid Effectiveness principles are being applied. The approach taken in this evaluation combined a desktop literature review with qualitative interviews so as to garner the most entrenched understanding of the status quo in this regard. The approach for synthesizing the various views was however not made explicit in the evaluation.
Rating:	3
Standard:	1.4.4. Sampling was appropriate and adequate given focus and purpose of evaluation
Comment and Analysis:	The stakeholders interviewed for the evaluation included: bilateral and multilateral development partners, government, strong civil society organisations working nationally, regionally and globally, representative private sector organisations, and strong consultancies and think tank active in the sector. Given the scope of the evaluation - in terms of assessing the scale of application of Aid Effectiveness principles in South Africa - the sampling was quite appropriate given the focus and purpose of the evaluation. However, there seems to be very limited attention afforded to the topic of climate change adaptation in South Africa which, while less a concern in urban areas, is a pronounced concern in rural areas in particular. Sampling may have benefited from engagement with parties operating in that realm such as the Climate Systems Analysis Group at the University of Cape Town or the Sustainability Institute at the University of Stellenbosch for example.
Rating:	3

Standard:	1.4.5. There was a planned process for using the findings of the evaluation
Comment and Analysis:	At the outset of the study, the evaluator understood that there were similar case studies being completed in other African countries and that the end goal would be to: 1. Share lessons across the case studies through a workshop in Nairobi and, 2. Consolidate the case studies into an African climate change Aid Effectiveness review.
Rating:	5

1.5. Project management (Planning phase)

Standard:	1.5.1. The inception phase was used to develop a common agreement on how the evaluation would be implemented
Comment and Analysis:	The evaluator engaged with Agulhas UK to clarify the scope of work and also made efforts to engage with the local Development Bank of Southern Africa (DBSA) to cross-check the alignment of the evaluation with their needs for research in this domain. As an engagement with Agulhas UK could not be secured, it is not clear to what extent the AfB and OECD were engaged in the inception phase however.
Rating:	4

2. Implementation

2.1. Evaluation ethics and independence

Standard:	2.1.1. Where data was gathered in contexts where ethical sensitivity is high, appropriate clearance was achieved through an ethics review board; e.g. in evaluation involving minors, institutions where access usually requires ethical or bureaucratic clearance, and situations where assurances of confidentiality was offered to participants
Comment and Analysis:	As the evaluation included qualitative interviews much qualitative information was gathered. In the writing of the evaluation these correspondents were kept anonymous where possible. There were some exceptions though, as shown in footnote numbers 48 and 67 for example. However, elsewhere, views of departments or organizations were aggregated up to their affiliation so as to protect the identity of specific persons. It was not however, evident that the evaluator secured consent forms or other forms of documentation granting the interviewees' permission to include explicit acknowledgement of their views within the evaluation.
Rating:	2
Standard:	2.1.2. Where external, the evaluation team was able to work freely without significant interference
Comment and Analysis:	The evaluator felt complete independence and felt a comfortable balance was achieved in terms of collating information and compiling the report independently and garnering feedback from Agulhas UK on the report. This independence was enhanced by the fact that the evaluator was physically and professionally distanced from the commissioning organisations (Agulhas UK, the African Development Bank and OECD) as well as the subjects of the evaluation (such as government departments and other beneficiaries of climate financing).
Rating:	5
Standard:	2.1.3. The evaluation team was impartial and there was no evidence of conflict of interest
Comment and Analysis:	The evaluator was fairly impartial as they work as an independent researcher in the field of climate finance and public finance more broadly. However, it cannot be said with confidence that there was absolutely no conflict of interest as only the evaluator could be engaged for this assessment.
Rating:	2

2.2. Participation and M&E skills development

Standard:	2.2.1. Key stakeholders were consulted through a formalised mechanism or institutional arrangement
Comment and Analysis:	The evaluation appears to only have included a limited partnership approach with the ultimate users of the information, through their (Agulhas UK, the OECD and African Development Bank) review and comment on the draft report. However, the evaluation could have benefited from the establishment of a Steering Committee or other review body to incrementally review and engage with the content of the evaluation through a more formalised arrangement.
Rating:	2
Standard:	2.2.2. Where appropriate, an element of capacity building of partners responsible for the evaluand was incorporated into the evaluation process
Comment and Analysis:	Key partners responsible for climate change financing and aid effectiveness in South Africa include the Development Bank of Southern Africa (DBSA), the Department of Environmental Affairs (DEA), the National Treasury (NT), civil society organisations, local think tanks, donors and consultancies. The DBSA were engaged with through the course of the evaluation to ensure alignment of this study with areas which the DBSA identified as requiring further investigation. In the post-evaluation phase, the evaluator shared the outputs of the research with the DEA and NT and has been trying to work towards taking the recommendations of the evaluation further. In this way, there was some evidence of capacity building of partners responsible for the evaluand but this was fairly unstructured. But more effort to transfer the learnings of the evaluation during its implementation, would have been beneficial.
Rating:	2
Standard:	2.2.3. Where appropriate, the evaluation team incorporated an element of skills development amongst the evaluators (e.g. students, interns, recent graduates, etc)
Comment and Analysis:	The evaluator completed the evaluation alone and so there was no team of evaluators amongst whom skills development could be transferred. This represents a missed opportunity for the involvement of, for example, a junior expert/intern to develop their skills in the domain of evaluation practice as well as possibly a missed chance to transfer knowledge to the Agulhas UK, AfDB or OECD team members to develop their understanding of climate finance in South Africa.
Rating:	1
Standard:	2.2.4. Peer review of the agreed evaluation design and methodology occurred prior to undertaking data collection
Comment and Analysis:	The common structured interview matrix forthcoming from Agulhas UK, was the guiding questionnaire for engaging key stakeholders from whom qualitative data was collated. As Agulhas UK were not available for engagement for this assessment, insights into the evaluation design and methodology rely on the evaluator's knowledge. The evaluator understood that this matrix was developed by Agulhas UK through an informal peer review with contributions from the OECD Development Assistance Committee (DAC) and key personnel in the African Development Bank (AfDB) and United Nations Development Programme (UNDP). It is not however evident that an external peer reviewer was engaged to review the design and methodology.
Rating:	2

2.3. Methodological integrity

Standard: 2.3.1. The methods employed in the process of the evaluation were consistent with those planned

Comment and Analysis: The methods employed in the process of the evaluation were consistent with those planned. However, in order to gather all parties views, the evaluator had to make allowance for the fact that stakeholders' schedules limited their availability or ability to engage fully. Thus, where possible the evaluator had to follow-up on 'leads' given by stakeholders either through engaging additional stakeholders or through a desktop literature review. This aspect of the study approach were not foreseen but were amenable to the purposes of the evaluation.

Rating: 4

Standard: 2.3.2. A pilot of data collection instrumentation occurred prior to undertaking data collection

Comment and Analysis: Agulhas UK had previously completed similar country case studies/evaluations for the Asian sub-continent titled 'Realising Development Effectiveness - Making the Most of Climate Change Finance in Asia and the Pacific'. The common structured interview matrix comprises Annex 1 of this evaluation (this Asian evaluation is listed as part of the additional documents to this assessment). As such the data collection instrument used for the South African evaluation had been piloted in Asia prior to its application in Africa.

Rating: 5

Standard: 2.3.3. Data collection was not compromised by fieldwork-level problems or unplanned diversions from original intentions

Comment and Analysis: One challenge faced by the evaluator was the theft of their personal laptop which had the key research materials of the study on it. Agulhas UK granted the evaluator an extension on the project time-frame to allow for this unexpected incident but it did not result in compromised data collection but did have implications for the time-frame linked thereto.

Rating: 4

Standard: 2.3.4. Forms of data gathering were appropriate given the scope of evaluation

Comment and Analysis: The main technique of data gathering was through qualitative interviews with key stakeholders. Additionally, this was complemented with desktop research on the status quo of climate change aid effectiveness. This combined approach was appropriate given the scope of the evaluation which was intended to distill various levels of information and insights into the state of climate change aid effectiveness in South Africa. The one set of quantitative information contained in the report (box 12) was quite useful and more such quantitative data or information would have been useful to understand for example, the progressive roll-out of climate finance in the country.

Rating: 4

Standard:	2.3.5. The data analysis approach and methods were appropriate and sufficient given the purposes of the evaluation
Comment and Analysis:	The data analysis approach through the use of in-text boxes to illustrate stakeholders views or elaborate on the South African context are useful. At time however, these are not clearly introduced to the reader. One useful contribution would have been to identify whether there was any divergence in views across the stakeholders as this might have helped understand where there are barriers to enhanced efficiencies in climate change aid. It would also have been helpful had the inter-relationships between the role-players in climate change aid been outlined to the reader so that they comprehend the context of the comments garnered better. Another option would have been some form of a diagram to display these connections.
Rating:	3
Standard:	2.3.6. Key stakeholders were significantly engaged as part of the methodology
Comment and Analysis:	Gathering the inputs of key stakeholders in the realm of climate change aid was a pivotal component of this evaluation. The evaluator, through an existing set of extensive contacts, was able to engage with 25 stakeholders (bilateral and multilateral development partners, government, strong civil society organisations working nationally, regionally and globally, representative private sector organisations, and strong consultancies and think tanks active in the sector). Where possible these engagements were done face-to-face, telephonically and/or via email correspondence. One limitation was the limited emphasis on climate change adaptation as an important component to the landscape of climate finance in the country. The evaluation may thus have benefited from engagement with parties in the climate change adaptation arena.
Rating:	4
Standard:	2.3.7. The methodology included engaging beneficiaries appropriately as a key source of data and information
Comment and Analysis:	Beneficiaries of climate change aid might, most notably, include national government and civil society organisations. These parties were actively engaged through the interviews conducted by the evaluator. Beneficiaries 'on the ground' such as low-income or climate-vulnerable communities were not however engaged but such engagements would seem beyond the scope of this evaluation which is meant to track progress in the flow of climate funds between donors and South Africa as well as within South Africa. As such, it is viewed that the most appropriate set of beneficiaries were engaged as a key source of data and information. One limitation was the limited emphasis on climate change adaptation as an important component to the landscape of climate finance in the country. The evaluation may thus have benefited from engagement with parties in the climate change adaptation arena.
Rating:	4

2.4. Project management (Implementation phase)

Standard:	2.4.1. The evaluation was conducted without significant shifts to scheduled project milestones and timeframes
Comment and Analysis:	One challenge faced by the evaluator was the theft of their personal laptop which had the key research materials of the study on it. Agulhas UK granted the evaluator an extension on the project time-frame to allow for this unexpected incident but the extension did not result in a significant shift in the project milestones and timeframes.
Rating:	4

3. Report

3.1. Completeness of reporting structure

Standard:	3.1.1. Executive summary captures key components of the report appropriately
Comment and Analysis:	The executive summary provides a helpful introduction to the South African context in terms of climate finance, particularly for those unfamiliar with the country. More emphasis on the the study's conclusions in terms of the specific aid effectiveness principles, which are the crux of the assessment, would have been useful as it is at the heart of the study's recommendations as well.
Rating:	3
Standard:	3.1.2. The context of the development intervention is explicit and presented as relevant to the evaluation
Comment and Analysis:	The context of the development intervention (climate change finance/aid effectiveness) is explicit and presented as relevant to the evaluation. The reader is informed of South Africa's role in the climate change finance domain as well as the effectiveness with which it is managed. However, one major omission in the focus of the evaluation is a comparable discussion on climate change adaptation. The evaluation focuses on climate change mitigation which, is, granted, the focus of climate policy in the country given the high emissions-intensity of South Africa relative to other African countries. However, adaptation is also a key sector for allocating climate finance in South Africa. There is importance in enhancing the resilience (particularly of the poor) to the impact of climate change by implementing adaptation measures. It would have been an added value had part of these discussions been pronounced in the evaluation.
Rating:	3
Standard:	3.1.3. There is a clear rationale for the evaluation questions
Comment and Analysis:	There is a clear rationale for the evaluation questions (as epitomized by the common structured interview matrix) insofar as the output of the evaluation was intended to feed into the regional dialogue process aimed at the comparative assessment and synthesis of country progression with the organization and application of climate change financing, principally that derived from current external climate change financing mechanisms and agencies.
Rating:	4
Standard:	3.1.4. The scope or focus of the evaluation is apparent in the report
Comment and Analysis:	The scope and focus of the evaluation is apparent in the report and is indicated to be: an assessment and synthesis of country progression with the organization and application of climate change financing, principally that derived from current external climate change financing mechanisms and agencies.
Rating:	4

Standard:	3.1.5. A detailed methodology is outlined in the relevant section of the report to the point that a reader can understand the data collection, analysis and interpretation approaches used
Comment and Analysis:	The methodology underpinning the study is outlined in the Introduction and background section but it is not presented in a detailed fashion. It is explained as comprising: interviews with follow-up structured discussions where necessary and the use of a growing national and regional literature and the global literature in climate change financing. Specific engagement with the Directorate: Policy and Integration of the Development Bank of Southern Africa were also a key part of understanding the national organization of in-country and externally driven climate change finance. What is not detailed however is the approach applied in engaging stakeholders (for example, whether this was face-to-face, telephonic or via email) as well as which exact stakeholders were consulted. It is noted that the last page of the report indicates that Annex Two displays this list but this list is not available in the version of the evaluation provided for assessment here, nor on the online portal where it appears.
Rating:	2
Standard:	3.1.6. Acknowledgement of limitations of all aspects of the methodology and findings are clearly and succinctly articulated
Comment and Analysis:	No explicit acknowledgement of the limitations of the methodology and findings are made.
Rating:	1
Standard:	3.1.7. Key findings are presented in a clear way; they are made distinct from uncertain or speculative findings; and unused data is not presented in the body of the report
Comment and Analysis:	The main findings are made on the basis of informed inputs from interview respondents (and where possible these are associated to relevant government departments or other parties without compromising the identity of the respondent). There are however some parts of the report which reflect extracts from other research (in the form of text boxes), and these are, in general, insufficiently introduced to the reader. It would have been helpful had these been more 'integrated' into the main body of the discussion in the report as currently, there are places where such boxes seem to be stand alone.
Rating:	3
Standard:	3.1.8. Conclusions and recommendations are clear and succinctly articulated
Comment and Analysis:	The conclusions and recommendations are succinctly articulated but could have been better developed as an argument. It reads as if each paragraph is a summary of a specific section to the main report but these are not fashioned into a coherent argument or clear recommendation in the final paragraph of the conclusions. The report would have benefited from more explicit mention of the key recommendations and the means to realizing those.
Rating:	2

3.2. Accessibility of content

Standard:	3.2.1. The final evaluation report is user-friendly, written in accessible language and its content follows a clear logic
Comment and Analysis:	The final evaluation is relatively user-friendly but presents a number of limitations. Firstly, there is often the incorrect naming of key South African departments/organisations such as the Department of Environmental Affairs (often incorrectly referred to as Dept of Environment), National Treasury (sometimes referred to as Dept of Finance) and the Development Bank of Southern Africa (referred to as Development Bank of South Africa). While this may not seem to be a major issue it is something which deserves correct recognition given that the audience of this work is an international one. Secondly, the report would have benefited from the use of more sub-headings to guide the reader through the breadth of perspectives contained in the report. At times it makes it hard to pinpoint key points as the arguments flow from one to the next. Thirdly, given that much of the report revolved around discussing the Long Term Mitigation Scenarios (incorrectly referred to as Long-Term Mitigation Strategy), graphical display of the renowned 'peak, plateau, decline' trajectory would have been quite useful to those unfamiliar with it. In general however, there is a good, consistent logic to the evaluation in terms of it unpacking the degree to which climate change aid effectiveness in South Africa complies with its intended principles.
Rating:	2
Standard:	3.2.2. Quality of writing and presentation is adequate for publication including: adequate layout and consistent formatting; complete sentences and no widespread grammatical or typographical errors; consistency of style and writing conventions (e.g. tense, perspective (first person, third person); levels of formality; references complete and consistent with cited references in reference list and vice versa; etc.
Comment and Analysis:	The quality of writing and presentation is adequate but the evaluation could have benefited from a grammar and language edit as some errors are present (for example, misspelling of 'strengthening' on page 6). The format of the report is neat which makes it easy to follow. While the footnotes add value to the arguments, in some places they tend to consume a lot of page space as they are quite lengthy/detailed in themselves. In comparing the bibliography to the footnotes, it is evident that some references are not reflected in the bibliography.
Rating:	2
Standard:	3.2.3. Appropriate conventions are used in presentation of data (e.g. use of appropriate statistical language; reporting of p-values where appropriate; not reporting statistically insignificant findings as significant; clarifying disaggregation categories in constructing percentages; not using quantitative language in reporting qualitative data, etc.)
Comment and Analysis:	Only one set of quantitative information is presented in the report (box twelve) and this forms a key part to the evaluation's emphasis on donor aid for climate change but is purely descriptive in nature (rather than inferential). The table is however, neatly and clearly presented and makes a useful contribution to the evaluation. The qualitative outputs from the engagement process are also presented in the form of text boxes within the report. However, it would have been beneficial had more effort been afforded to introducing such boxes to the reader as they tend to be inserted wholesale without any or a very limited introduction.
Rating:	2

Standard:	3.2.4. The use of figures and tables is such that it supports communication and comprehension of results; and data reported in figures and tables are readily discernible and useful to a reader familiar with data presentation conventions
Comment and Analysis:	No figures are presented in the evaluation. The one table presented is clear and comprehensive and readily discernible to readers but is the sole descriptive information presented in the study. With the exception of excerpts from the literature/conversations with key stakeholders, the evaluation presents no graphics despite there being a necessity for it in introducing readers to the context of climate policy in South Africa. Specifically, the evaluation would have benefited from the inclusion of the renowned graphic displaying the Long-Term Mitigation Scenarios 'Peak, Plateau, Decline' graphic which displays the, cabinet-approved, low carbon economy trajectory of South Africa. While this trajectory is described in the report, to readers unfamiliar with it, it may be difficult to envisage it or understand the magnitude of commitment undertaken by South Africa as a developing country. Its absence and the lack of comparison to commitments by other developing or developed countries, makes this a major omission as it drives the country's need and motivation for climate finance.
Rating:	2

3.3. Robustness of findings

Standard:	3.3.1. Data analysis appears to have been well executed
Comment and Analysis:	The main form of data analysis undertaken for this evaluation is that of a qualitative data review. It is understood that the report is written as a compilation of the key arguments put forward by the stakeholders interviewed. The methodology by which these were compiled is not clear from the description in the report but it appears to have been well executed as it identifies key concerns and opportunities for enhanced effectiveness of climate change aid.
Rating:	2
Standard:	3.3.2. Findings are supported by available evidence
Comment and Analysis:	The findings of the evaluation are substantiated on the basis of either respondent views or literature. The evaluation would have benefited from a clearer triangulation of the various stakeholder viewpoints. Effort is made to highlight some variance in views but a more expansive use of available evidence on climate finance could have been made.
Rating:	3
Standard:	3.3.3. The evidence gathered is sufficiently and appropriately analysed to support the argument
Comment and Analysis:	The evidence gathered through the desktop literature review and interviews are well-compiled to support the arguments put forward in the evaluation. The author makes sure to substantiate perspectives by associating them with relevant government departments or other organizations.
Rating:	3

Standard:	3.3.4. There is appropriate recognition of the possibility of alternative interpretations
Comment and Analysis:	There is adequate recognition of alternative interpretations or views held by various parties key to the roll-out of climate change aid in South Africa. The evidence compiled also helps support the arguments made and provide insight to the nuances surrounding various views/perspectives on the status of climate finance as well as the barriers to the enhanced attraction and roll out of such finances.
Rating:	3
Standard:	3.3.5. The report appears free of significant methodological and analytic flaws
Comment and Analysis:	The report appears to be free of methodological and analytical flaws but the reader would have benefited from a description of the 'common structured interview matrix' which was used to engage with stakeholders. While the reader understands the matrix to include all elements of the principles of aid effectiveness, the matrix is not displayed in the report.
Rating:	3
Standard:	3.3.6. Relevant limitations of the evaluation are noted
Comment and Analysis:	No explicit mention of the limitations to the evaluation are noted.
Rating:	1

3.4. Strength of conclusions

Standard:	3.4.1. Conclusions are derived from evidence
Comment and Analysis:	The conclusions are well-grounded in the evidence contained from the main body of the report. That evidence is derived from a desktop literature review and the stakeholder engagement process.
Rating:	5
Standard:	3.4.2. Conclusions take into account relevant empirical and/or analytic work from related research studies and evaluations
Comment and Analysis:	The conclusions appear to take into account the best available research and knowledge on climate change aid effectiveness in South Africa at the time of the assessment. Since the assessment, the depth and breadth of knowledge on the issue has grown tremendously in South Africa but at the time of this assessment, a limited amount of research had been collated on the topic in South Africa. However, a major omission is a graphical display of the renowned Long-Term Mitigation Scenarios' 'Peak, Plateau, Decline' Trajectory or some other pictorial of the country's emissions trajectory to emphasize the motivation for the need for climate finance and the efforts to secure it.
Rating:	3

Standard:	3.4.3. Conclusions address the original evaluation purpose and questions
Comment and Analysis:	While the conclusions do address the original questions by unpacking the constraints to and opportunities for improved efficiencies in the roll-out of climate change aid in South Africa, it would have been useful had the statements in the conclusions been briefly related back to the specific principles of aid effectiveness (e.g. Harmonisation, Alignment, etc.).
Rating:	4
Standard:	3.4.4. Conclusions are drawn with explicit reference to the intervention logic or theory of change
Comment and Analysis:	The conclusions are not drawn with explicit reference to the intervention logic or theory of change.
Rating:	1

3.5. Suitability of recommendations

Standard:	3.5.1. Recommendations are made in consultation with appropriate sectoral partners or experts
Comment and Analysis:	It is important to note that the evaluation's recommendations are subsumed into the conclusions section of the report and thus not explicitly separated out from the conclusions. The recommendations were developed as an output from the stakeholder engagement process which was completed with key stakeholders. However, it appears that there was little revisiting of the recommendations based on feedback from Agulhas UK, the AfDB and/or OECD. Feedback from these parties was obtained on the draft report but related predominantly to the reformatting of the report (exclusion of certain sub-headings) and not to a revision of the conclusions and recommendations.
Rating:	2
Standard:	3.5.2. Recommendations are shaped following discussions with relevant government officials and other relevant stakeholders
Comment and Analysis:	It is understood that the recommendations were derived on the basis of the stakeholder engagement process which included government officials. However, it is not clear that these parties were engaged for input after the recommendations were consolidated.
Rating:	2
Standard:	3.5.3. Recommendations are relevant to the current policy context
Comment and Analysis:	At the time of the evaluation, climate change aid (and finance more broadly) was a fairly under-researched topic in South Africa. There was thus great value to the policy context in the formulation of this evaluation. However, as the evaluation report subsumes the recommendations into the conclusion section of the report, the recommendations are not clearly formulated for the reader or key stakeholders to easily identify. The recommendations are, in general, adequately presented but could have been more clearly formulated.
Rating:	3

Standard:	3.5.4. Recommendations are targetted at a specific audience sufficiently - are specific, feasible, affordable and acceptable
Comment and Analysis:	While the recommendations are presented within the conclusion, they are insufficiently targeted at a specific audience. At best there is an indication of where there specific parties' actions represent weaknesses in the current roll-out and management of climate change aid, but these are not then translated into party-specific recommendations.
Rating:	2

3.6. Consideration of reporting risks and ethical implications

Standard:	3.6.1. Peer review of the draft evaluation report occurred prior to finalisation of the evaluation report
Comment and Analysis:	While the draft evaluation report was reviewed by Agulhas UK, the African Development Bank and OECD, there is no evidence that an external peer reviewer peer review the draft evaluation report prior to its finalization.
Rating:	1

Standard:	3.6.2. The full report documents procedures intended to ensure confidentiality and to secure informed consent where necessary (in some cases this is not needed - e.g. evaluation synthesis - in which case N/A should be recorded)
Comment and Analysis:	The report does not document procedures intended to ensure confidentiality and secure informed consent. There are certain footnote references made to conversations with specific people and it is not clear whether permission was attained for such personal referencing (e.g. footnote number 48 on page 22 and footnote number 67 on page 28). Overall, with the exception of such instances, no personal identification of stakeholders engaged was made and for the most part, within the body of the report stakeholder views were aggregated up to their departmental or organizational affiliation such that their confidentiality was maintained.
Rating:	2

Standard:	3.6.3. There are no risks to participants in disseminating the original report on a public website
Comment and Analysis:	There does not appear to be any significant risks to participants in disseminating the original report on a public website. However, cognizance must be taken of the fact that in some instances interview respondents are mentioned by name and comments are attributed to them. This may well represent a risk to the study's participants.
Rating:	1

Standard:	3.6.4. There are no unfair risks to institutions in disseminating the original report on a public website
Comment and Analysis:	In general the evaluation does not appear to raise contentious issues but rather work towards identifying the concerns of key parties and to identify means for converting these into opportunities for enhanced climate change aid. As mentioned, there is not complete clarity on whether the evaluator obtained permission to reference certain individuals in footnotes, so this may be a concern but overall, it does not appear that there are unfair risks to institutions in disseminating the original report on a public website.
Rating:	4

3.7. Project management (Reporting phase)

Standard:	3.7.1. A project closure meeting that reflected on the challenges and strengths of the evaluation process occurred
Comment and Analysis:	A week long workshop was held in Nairobi where all the reports collated from the African case studies were consolidated. The intention of the workshop was primarily to share lessons learned across the African countries in terms of: i. the effectiveness of climate change aid and, it is understood, ii. in investigating the topic in Africa. However, reflecting on the challenges and strengths of the evaluation occurred only indirectly.
Rating:	2

4. Follow-up, use and learning

4.1. Resource utilisation

Standard:	4.1.1. The evaluation was completed within the planned timeframes
Comment and Analysis:	One challenge faced by the evaluator was the theft of their personal laptop which had the key research materials of the study on it. Agulhas UK granted the evaluator an extension on the project time-frame to allow for this unexpected incident so the timeframe did alter but not to a degree which infringed on the quality of the output in any way.
Rating:	2

Standard:	4.1.2. The evaluation was completed within the agreed budget
Comment and Analysis:	The evaluation was completed within the agreed budget and achieving this was made easier by the fact that the evaluator was located in close proximity to the main interview partners such as bilateral and multilateral development partners, government, civil society organisations and think tanks active in the sector).
Rating:	4

4.2. Evaluation use

Standard:	4.2.1. Results of the evaluation have been presented to all relevant stakeholders
Comment and Analysis:	The results of the evaluation were presented at a conference in Nairobi in September 2011 with the other African case studies commissioned by Agulhas UK. The conference participants included, amongst others, key official development assistance agencies and government officials. The evaluator however, had limited success in engaging the South African government further on the outcomes of the evaluation.
Rating:	4

Standard:	4.2.2. A reflective process has been undertaken by the steering committee (if no steering committee exists then by the evaluation management team or the involved department officials) to reflect on what could be done to strengthen future evaluations
Comment and Analysis:	The main party responsible for the development of the scope of work for the evaluation was Agulhas UK. As an engagement with Agulhas UK could not be secured for this assessment, insight into this relies on the evaluator's feedback. Other than the workshop in Nairobi where the study's results were displayed, it was not evident from discussions with the evaluator that a reflective process on strengthening future evaluations was done by Agulhas UK.
Rating:	1

Standard:	4.2.3. The evaluation study is seen by interviewed stakeholders as having added significant symbolic value to the policy or programme (e.g. raised its profile)
Comment and Analysis:	The conference represented a platform to transfer knowledge back to the continent and was a success in leading to the development of the draft Nairobi Declaration on African Principles for Aid Effectiveness in Climate Finance. The evaluator however, had limited success in engaging the South African government further on the outcomes of the evaluation. In general then, the evaluation study seems to have a limited symbolic value to the policy or programme of climate finance in Africa and South Africa.
Rating:	2
Standard:	4.2.4. The evaluation study is of conceptual value in understanding what has happened and possibly in shaping policy and practice
Comment and Analysis:	The evaluation study had and still has important conceptual value in understanding the status and extent of roll-out of climate change aid in South Africa. Given this evaluation on the earlier one completed for the South African National Treasury, it is understood that this research was an important part of the developing landscape of information and research on climate finance in South Africa at the time. The evaluator also reports that on completion of the report, a concerted effort was made to take the recommendations made on climate change aid effectiveness further. However, little success was achieved in securing engagements with key stakeholders at the Department of Environmental Affairs and so the extent to which the evaluation has been able to shape the local policy and practice is not clear.
Rating:	4
Standard:	4.2.5. Development of a draft improvement plan has been started, but not completed, based on the findings and recommendations set out in the evaluation
Comment and Analysis:	A key outcome of this case study and the other African case studies completed for Agulhas UK, was the drafting of the Nairobi Declaration on African Principles for Aid Effectiveness in Climate Finance. This declaration was later submitted into a conference in Busan, Korea to support the refining of the Aid Effectiveness agenda for countries of the South. The impact of the evaluation in the global policy context thus evidenced itself to be more pronounced than in the South African context.
Rating:	4
Standard:	4.2.6. The report is publicly available (website or otherwise published document), except where there were legitimate security concerns *Note: only apply if sufficient time has elapsed since completion of the evaluation
Comment and Analysis:	The report is publicly available via the OECD's website at the following link - http://www.oecd.org/dac/environment-development/48458419.pdf
Rating:	4

Standard:	4.2.7. There is clear evidence of instrumental use - that the recommendations of the evaluation were implemented to a significant extent *Note: only apply if sufficient time has elapsed since completion of the evaluation
Comment and Analysis:	As indicated, despite concerted efforts to put the recommendations of the evaluation into practice in the local, South African case, there has been limited embrace thereof by the Department of Environmental Affairs. However, in the international context, this case study and the other African case studies completed for Agulhas UK, helped formulate the Nairobi Declaration on African Principles for Aid Effectiveness in Climate Finance. This declaration was later submitted into a conference in Busan, Korea to support the refining of the Aid Effectiveness agenda for countries of the South.
Rating:	3
Standard:	4.2.8. There is clear evidence that the evaluation has had a positive influence on the evaluand, its stakeholders and beneficiaries over the medium to long term *Note: only apply if sufficient time has elapsed since completion of the evaluation
Comment and Analysis:	While in the South African context it is not evident that the full extent of the evaluation has influenced local evaluands' (including government departments), it is understood that the reach of the evaluation has gone beyond the geographical scope of the country to other African countries and Europe particularly through the learning's captured in the Nairobi Declaration on African Principles for Aid Effectiveness.
Rating:	3

References

Zingel, J. 2011. 'Climate Change Financing and Aid Effectiveness: South African Country Analysis'. Study commissioned by the OECD's Development Cooperation Directorate and the African Development Bank through Agulhas UK.

Agulhas Applied Knowledge (UK). 2010. 'Realising Development Effectiveness – Making the Most of Climate Change Finance in Asia and the Pacific'. A synthesis report from five country studies in Bangladesh, Cambodia, Indonesia, Philippines and Vietnam. Prepared by Nigel Thornton for the Asia Pacific Climate Change Finance and Aid Effectiveness Dialogue (19th-20th October 2010).

Agulhas Applied Knowledge (UK). 2011. 'Realising the Potential: Making the Most of Climate Change Finance in Africa – A synthesis report from six country studies: Cameroon, Ghana, Kenya, Morocco, South Africa and Tanzania'. Pre-format edition.

WYG International Limited. 2011. 'Phase Two Evaluation of the Implementation of the Paris Declaration and Accra Agenda for Action in South Africa: Final Country Evaluation Report'. Evaluation completed for the International Development Cooperation (IDC) Directorate in the South African National Treasury.

List of Interviewees

Mr Jeff Zingel (Private consultant). Telephonic interview conducted on 17 June 2013. Follow-up email engagements on 8 and 9 July 2014.