

ANNEX IV: DRAFT TEMPLATE FOR EVALUATION OF READINESS GRANT PROJECTS

B. COMPLETION REPORT AT LEAST THREE MONTHS BUT NOT MORE THAN SIX MONTHS AFTER PROJECT COMPLETION

Implementing Entity: South African National Biodiversity Institute (SANBI)

Country: South Africa

Adaptation Fund Grant I.D.:

Grant Type: TA Grant

Grant Description: Grant to support the National Implementing Entity in sourcing of technical assistance for assessment and management of environmental and social risks within AF-funded projects in South Africa.

Support Activity Provided/Received	Expected Outcomes	Outcome Achieved/Not Achieved	Comment/Explanation (also explain any deviation from initial plan)
1. Review of existing, relevant material and development of a framework for the Dashboard, including preliminary outline of Excel tools and functions that would be used.	1. An approach to developing the Dashboard is developed and agreed upon. <i>(Deliverable: Inception Report)</i>	1. Achieved	A briefing was held in Pietermaritzburg with the contracted consultants to discuss the approach and workplan, and confirm the contract timeline. The consultants then undertook a desktop review of relevant material and developed a draft framework for the ESP Dashboard including the basic Excel platform. This was detailed in the Inception Report, which was reviewed and approved by SANBI. A National Reference Group ¹ was formed to oversee the development of the deliverables. The Reference Group requested that the initial timeline be extended to allow additional time for review of the Dashboard and Guideline Document, prior to the planned training sessions.
2. Development ESP Dashboard and supporting Guideline Document to facilitate screening of projects for environmental	2. A user-friendly ESP Dashboard is developed, supported by a Guideline Document that explains	2. Achieved	A draft Excel-based ESP Dashboard was developed, with a page of customized questions and guidelines dedicated to each Principle, as well as pages highlighting flags for actions, monitoring needs and a page providing a summary report. A step-by-step draft Guideline Document was

¹ The National Reference Group comprised of representatives from: Department of Environmental Affairs (DEA); Department of Planning, Monitoring and Evaluation (DPME); Adaptation Network; South African National Biodiversity Institute (SANBI); SouthSouthNorth (Small Grants Facility – Project Manager); uMgungundlovu District Municipality (uMngeni Resilience Project – Project Manager); Conservation South Africa (Small Grants Facility – Facilitating Agency); CHoiCe Trust (Small Grants Facility – Facilitating Agency); and University of KwaZulu-Natal (uMngeni Resilience Project – Project Partner).

<p>and social risks; as well as undertaking risk assessments and formulating risk</p>	<p>the purpose of the Dashboard and guides the user on its use.</p> <p><i>(Deliverable: ESP Risk Dashboard and supporting Guideline Document)</i></p>		<p>developed, instructing the user on how to fill out the Dashboard, and providing the necessary definitions of relevant terms and details on the required procedures. The Dashboard and Guideline Document were developed for application to new projects (screening) applying for small grant funding, as well as for ongoing assessment of all project activities to support the identification of any new risks and development of appropriate management responses/monitoring actions, as well as to highlight social and environmental benefits resulting from project activities.</p> <p>A Skype call between SANBI and the consultants was held to discuss and refine the draft. A number of drafts were then produced and circulated for review by the National Reference Group. There was regular telephone and email correspondence between SANBI and the consultants over the period that the drafts were developed and refined.</p>
<p>3. Training of NIE, EEs and relevant project partners on using the ESP Dashboard and supporting Guideline Document.</p>	<p>3. Capacity of project partners to evaluate and monitor environmental and social risks is built</p> <p><i>(Deliverable: Training Report)</i></p>	<p>3. Achieved</p>	<p>A training toolkit was developed, consisting of PowerPoint presentations, the Excel-based ESP Dashboard, hardcopy versions of the Dashboard, the Guideline Document and exercises to participants role play applying the ESP Dashboard.</p> <p>Training sessions were held in Pietermaritzburg (on 21 June 2017 for the uMngeni Resilience Project stakeholders), Cape Town (on 11 July 2017 for the Namakwa and Cape Town based Small Grant Facility stakeholders) and Tzaneen (on 30 August for the Mopani based Small Grant Facility stakeholders). The training focused on interpreting the 15 Principles of the ESP and their likely applicability to the two South African projects, and using the Dashboard to facilitate and report on compliance with the ESP, including the identification and reporting on of any management measures/monitoring actions that may be required.</p>

			The Dashboard and Guideline Document were finalized after the inputs from training sessions were taken into consideration. Reflection sessions with the Executing Entities on the developed tools and their most appropriate use were held.
Budget	Overall expenditure was in line with the planned budget. In addition to the amount provided by the AF, the work was co-financed through SANBI staff time, both from staff members contracted to work on SANBI's AF projects, as well as additional SANBI staff members paid from non-AF sources. Other institutions – such as members of the National Reference Group – also contributed to the process.		
Overall outcome	<p>The development of the ESP Dashboard and associated training have proved valuable in facilitating compliance with the AF's ESP and ensuring any unintended negative project impacts are avoided, or mitigated if necessary. The Dashboard is currently being used in both the uMngeni Resilience Project and in each of the small grant projects under implementation in the Small Grants Facility, on an annual basis. We have noted comments from AF safeguard specialists that this annual overall reflection on the safeguards is not an AF requirement, but believe it is good practice.</p> <p>Where required the NIE is assisting project partners to complete the Dashboard, therefore training is ongoing. In addition to ensuring compliance, the use of the Dashboard has built the capacity of the project partners, including small grant recipients, to understand and manage environmental and social risk and to constantly improve their projects. Furthermore, in the Small Grants Facility project, the Dashboard has also proved valuable in assisting with the review of conditions associated with small grant project approval and implementation, thus is being used as an integrated risk and planning tool.</p>		

General Comment: The availability of the Technical Assistance Grant has greatly assisted in ensuring that SANBI's AF projects comply with the relevant AF policies and procedures. The Dashboard was shared with other NIEs at the AF workshop in Costa Rica in July 2017, and generated a great deal of interest. This included a request, which was granted, from the Costa Rica NIE to share the Dashboard and Guideline Document so that they could adapt it to their National context. Regarding SANBI's upcoming GCF programme of work, SANBI plans to adapt the Dashboard so that it can also be used to monitor compliance with the GCF's ESP.

Implementing Entity Contact Person: Dr. Mandy Barnett

Email: m.barnett@sanbi.org.za