

Terms of Reference (ToR)
Terminal Evaluation for the UNDP-supported GEF-financed full-sized project titled South Africa Wind Energy Project (SAWEP) - Phase II (PIMS 5256)

1 INTRODUCTION

In accordance with the United Nations Development Programme (UNDP) and Global Environment Facility (GEF) Monitoring & Evaluation (M&E) policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full-sized* GEF-funded project titled South Africa Wind Energy Project (SAWEP) - Phase II (*PIMS 5256*) implemented through the Department of Minerals and Energy (DMRE) in South Africa. The TE process must follow the guidance outlined in the document ‘Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects’ (see http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

2 PROJECT BACKGROUND AND CONTEXT

SAWEP Phase II, a successor to SAWEP Phase I, was formulated by UNDP and the South African Department of Energy (DoE, now DMRE) during 2013-14 with financial support provided by the GEF. The project document was signed on the 18th of December 2015 and the actual date of first disbursement was the 28th of September 2016. Implementation started de facto in the second half of 2016 with an agreement with the South African National Energy Development Institute (SANEDI) to provide project management services and with the Inception Workshop held in October 2016.

The objective of the SAWEP II project *“to assist Government and industry stakeholders overcome strategic barriers to the successful attainment of South Africa’s Integrated Resource Plan (IRP) (2010) target of 3,320 MW of wind power online by 2018/2019”*.

The objective of SAWEP II project is being achieved through four components: 1) Monitoring and Evaluation of the implementation of local content requirements; 2) Resource-mapping and wind corridor development support for policymakers; 3) Support for the development of small-scale wind sector; 4) Training and human capital development for the wind energy sector.

The period between project preparation (2013-2014) and de facto start of activities (2016), saw the successful implementation of four bidding windows under the South Africa’s Renewable Energy Independent Power Producer Procurement Programme (REIPPPP) during 2011-2015, which boosted large-scale grid-connected wind power development in the country. This contributed to changes in the importance and allocation of resources across the four project components but without a change in the overall scope (as determined in the mid-term review). This was also one of the contributing factors to SAWEP II’s first extension. The following contextual developments have also been key to large scale wind development in South Africa: the signature of bid windows 3.5 and 4 of the REIPPPP on 18 April 2018; the launch of South Africa’s Integrated Resources Plan (IRP 2019) in October 2019 with the allocation of 14,4 GW new wind development by 2030; and the issuing of REIPPPP bid window 5 Request for Proposals on 12 April 2021.

The TE should seek to assess how the aspects above have affected the project, as well as assessing the revised project scope’s ability to meet project objectives and targets.

2.1 Changes to project components based on mid-term review report and update

There were several changes in scope across the project, most notably under Component 3 and Component 4. For example, in regard to Component 3, Eastern Cape Authorities requested diversification of the application of small scale wind for water pumping at local government institutions such as schools that are dependent on rainwater, and comparing it with solar PV water pumping for potential better decision-making for government support of rural water supply options. For Component 4, the project expanded training opportunities (post-graduate student training), and also sponsored high profile wind energy events. SAWEF also supported the development of the South African Renewable Energy Master Plan (SAREM). These, and other changes in scope, have been well documented (e.g. in progress reports, Project Board Meeting minutes and briefs) for sharing with the evaluation team.

2.2 COVID-19 implications in South Africa and impact on project components

The advent of the COVID-19 pandemic has been a serious challenge to South Africa and it has drastically affected its development trajectory. The government has put several measures such as restricted movements within the country, and from abroad to South Africa. On 23 March 2020, the President of South Africa announced a national lockdown at national alert level 5 that was lowered to national alert level 3 from 1 June 2020, to 2 from 17 August and 21 September 2020, restrictions were lowered to alert level 1. In December 2020, the country experienced a second wave of COVID-19 infections. The lockdown was tightened from an adjusted level 1 to an adjusted level 3 starting on 29 December 2020. The lockdown was lowered from an adjusted level 3 to an adjusted level 1 starting on 1 March 2021. On 17 February 2021, the national COVID-19 vaccination program was officially rolled out. As of May 2021, South Africa has the highest number of confirmed COVID-19 cases in Africa and 10th highest number of confirmed infections worldwide (26 May 2021). As at June 2021, the country is currently entering a 3rd COVID-19 wave.

2.3 Current project extension

The result of the COVID-19 impact led to the DMRE request in December 2020 for a 2nd extension to end of June 2021 in order to complete WASA 3 as well as to allow sufficient time for engineering, procurement and commissioning of the small-scale wind energy pilot projects (in lieu of knock-on effects of supply chain and travel restrictions).

3 TERMINAL EVALUATION PURPOSE

The TE report will assess the achievement of project results against what was expected to be achieved and draw lessons and best practices that can improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments.

Terminal Evaluations for GEF-financed projects have the following complementary purposes:

- To promote accountability and transparency;
- To synthesize lessons that can help to improve the selection, design and implementation of future UNDP-supported GEF-financed initiatives; and to improve the sustainability of benefits and aid in overall enhancement of UNDP programming;
- To assess and document project results, and the contribution of these results towards achieving GEF strategic objectives aimed at global environmental benefits;
- To gauge the extent of project convergence with other priorities within the UNDP country programme, including poverty alleviation; strengthening resilience to the impacts of climate change, reducing disaster

risk and vulnerability, as well as cross-cutting issues such as gender equality, empowering women and supporting human rights.

It is advised that the TE should take place during the last few months of project activities, allowing the TE team to proceed while the Project Team is still in place, yet ensuring the project is close enough to completion for the evaluation team reach conclusions on key aspects such as project sustainability.

4 TERMINAL EVALUATION APPROACH & METHODOLOGY

The TE report must provide evidence-based information that is credible, reliable and useful.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and mid-term GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and mid-term stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins. For the SAWEP project, this relates to a Tracking Tool for Climate Change Mitigation Projects.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP CO, the Regional Technical Advisor, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to:

- Department of Mineral Resources and Energy (DMRE), formerly Department of Energy (DoE)
- South African National Energy Development institute (SANEDI)
- Department of Science and Innovation (DSI)
- The Department of Trade, Industry and Competition (the dtic)
- Department of Forestry, Fisheries and the Environment (DFFE), Formerly Department of Environmental Affairs (DEA)
- Department of Higher Education and Training (DHET)
- Independent Power Producers Procurement Programme (IPPPP) Office
- Council for Scientific and Industrial Research (CSIR)
- South African Weather Service (SAWS)
- University of Cape Town (UCT)
- University of Stellenbosch
- Nelson Mandela University
- University of Fort Hare
- Technical University of Denmark (DTU), Wind Energy Department
- Eastern Cape Department of Economic Development, Environmental Affairs and Tourism (DEDEAT)
- GIZ South Africa
- Raymond Mhlaba Local Municipality
- Chris Hani District Municipality
- Embassy of Denmark - Pretoria
- South African Renewable Energy Technology Centre (SARETEC)
- South African Wind Energy Association (SAWEA)

Additionally, the TE team is expected to conduct field missions to SARETEC (Western Cape Province), including the following project sites¹:

- Wind Atlas for South Africa: Wind Measurements masts (18) spread over the Northern, Western, and Eastern Cape Provinces, KwaZulu-Natal and Free State Provinces;
- Upper Blinkwater Minigrid near Fort Beaufort (Eastern Cape Province); and
- Schools for Small Scale Wind Water Pumping: Matyantya JS and Kleinbooi JS near Queenstown (Eastern Cape Province).

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, social and environmental issues are assessed as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation must be clearly outlined in the TE Inception Report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

Covid-19 considerations

If it is not possible to travel to or within the country for the evaluation then the evaluation team should develop a methodology that takes this into account the conduct of the evaluation virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the Inception report and agreed with the Evaluation Manager.

If all or part of the evaluation is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/ computer may be an issue as many government and national counterparts may be working from home. These limitations must be discussed at the inception meeting and reflected in the evaluation report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the evaluation schedule. Equally, qualified and independent national consultants can be hired to undertake the evaluation and interviews in country as long as it is safe to do so.

5 DETAILED SCOPE OF THE TERMINAL EVALUATION

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see ToR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects:

¹ The timing of project site visits will be subject to the COVID-19 situation at the project sites, and must follow Government recommendations.

http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf

5.1 Scope of the Terminal Evaluation

The findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in ToR Annex C.

The asterisk “(*)” indicates criteria for which a rating is required.

Findings - the TE should assess:

i. Project Design/Formulation

- National priorities and country ownership
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Standards (Safeguards)
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks, and risk management
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Stakeholder participation
- Linkages between the project and other interventions in the sector
- Management and supervision arrangements

ii. Project Implementation

- Adaptive management (changes to the project design, project outputs and timelines during implementation as well as mitigation and management of project delays)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
- Risk Management, including Social and Environmental Standards (Safeguards)

iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Progress to sustainability: financial (*), socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect

- Progress to impact

Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality and empowerment of women.
- Main findings, conclusions, recommendations and lessons learned should also account for findings and recommendations from a recent GEF audit.

The TE report will include an Evaluation Ratings Table, as shown below:

Table 1. Evaluation Ratings Table for SAWEP Phase 2.

Monitoring & Evaluation (M&E)	Rating ²
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	

² Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)

Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

6 TIMEFRAME

The total duration of the TE will be approximately 20 working days over a time period of 5 weeks starting on 5 July 2021. The tentative TE timeframe is as follows:

Table 2. Tentative TE timeline

Timeframe	Activity
21 June 2021	Application closes
28 June 2021	Selection of TE team
5 July 2021	Preparation period for TE team (handover of documentation)
8 July 2021	Document review and preparation of TE Inception Report
12 July 2021	Finalization and Validation of TE Inception Report; latest start of TE mission
26 July 2021	TE mission: stakeholder meetings, interviews, field visits, etc.
30 July 2021	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
17 August 2021	Preparation of draft TE report
20 August 2021	Circulation of draft TE report for comments
6 September 2021	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
9 September 2021	Preparation and Issuance of Management Response
10 September 2021	Concluding Stakeholder Workshop (optional)
13 September 2021	Expected date of full TE completion

Options for site visits should be provided in the TE Inception Report.

7 TERMINAL EVALUATION DELIVERABLES

Table 3. TE deliverables.

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: (9 July 2021)	TE team submits Inception Report to Commissioning Unit and project management
2	Presentation	Initial Findings	End of TE mission: (30 July 2021)	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report (using guidelines on report content in ToR Annex C) with annexes	Within 3 weeks of end of TE mission: (20 August 2021)	TE team submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFF
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the	Within 1 week of receiving comments on draft report: (9 September 2021)	TE team submits both documents to the Commissioning Unit

		final TE report (<i>See template in ToR Annex H</i>)		
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*All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO’s quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.³

8 TERMINAL EVALUATION ARRANGEMENTS

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project’s TE is the UNDP Country Office. The Commissioning Unit will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the TE team. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9 TERMINAL EVALUATION TEAM COMPOSITION

An independent team consisting of two evaluators will conduct the TE – one team leader (with experience and exposure to projects and evaluations in other regions) and one team expert, usually from the country of the project. The team leader will be responsible for the overall design and writing of the TE report, etc.) The team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project’s Mid-Term Review and should not have a conflict of interest with the project’s related activities.

The selection of evaluators will be aimed at maximizing the overall “team” qualities in the following areas:

Education

- Master’s degree in Engineering, Energy, Finance, Economics, Physics, Environment or Development Studies, or other closely related field;

Experience

- Relevant experience with results-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Climate Change;
- Experience in evaluating GEF projects;
- Experience working in South Africa;
- Experience in relevant technical areas for at least 10 years (experience in small-scale wind energy and mini-grids, as well as wind skills capacity building will be an added advantage)
- Demonstrated understanding of climate change;
- Experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset.

³ Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

Language

- Fluency in written and spoken English.

10 EVALUATOR ETHICS

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

11 PAYMENT SCHEDULE

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%⁴:

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other TE reports).
- The Audit Trail includes responses to and justification for each comment listed.

12 APPLICATION PROCESS⁵

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template⁶](#) provided by UNDP;

⁴ The Commissioning Unit is obligated to issue payments to the TE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the TE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

⁵ Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP <https://popp.undp.org/SitePages/POPPrRoot.aspx>

⁶<https://intranet.undp.org/unit/bom/psu/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

- b) **CV** and a **Personal History Form (P11 form⁷)** (highlighting the Team Lead, and Team Members' qualifications and experience in similar projects);
- c) Brief description **of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted **through the e-tendering system** (<https://etendering.partneragencies.org>) on or before the **21st of June 2021 5 pm SAST**. Incomplete applications or applications submitted via email will be excluded from further consideration.

If you face any difficulties in accessing or registering on the system or submitting your proposal, please contact procurement.enquiries.za@undp.org **well in advance** before the submission deadline, to ensure that any technical issues can be resolved before the procurement notice closes. Proposals after the deadline will **not** be accepted.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

13 TOR ANNEXES

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail

⁷ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

ToR Annex A: Project Logical/Results Framework

<p>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: Stabilisation and reduction of carbon emissions, and climate change mitigation and adaptation strategies fully operational. By 2016, the governance systems, use of technologies and practices and financing mechanisms that promote environmental, energy and climate adaptation have been mainstreamed into national development plans.</p>					
<p>Country Programme Outputs: Design of scaling-up programmes for energy technologies, financing options for PPs ; design and implementation of capacity development programmes/integrated energy policy; implementation of scaling-up technologies</p>					
<p>Primary applicable Key Environment and Sustainable Development Key Result Area:</p> <p>1. Mainstreaming environment and energy OR 2. Catalyzing environmental finance OR 3. Promote climate change adaptation OR 4. Expanding access to environmental and energy services for the poor.</p>					
<p>Applicable GEF Strategic Objective and Programme: GEF Focal Area Objective #3 to “Promote Investment in Renewable Energy Technologies” of the GEF-5 Climate Change Strategy.</p>					
<p>Applicable GEF Expected Outcomes:</p> <ul style="list-style-type: none"> • Favourable policy and regulatory environment created for renewable energy investments • Investment in renewable energy technologies increased • GHG emissions avoided 					
<p>Applicable GEF Outcome Indicators:</p> <ul style="list-style-type: none"> • Extent to which policies and regulations for decentralized RE are adopted and enforced; • Volume of investment mobilized; and • Tonnes of CO2-equivalent avoided. 					
Objectives/Outcomes	Indicators	Baseline (Year 0)	Target	Sources of Verification	Assumptions
<p>Project Objective:</p> <p>To assist the Government and industry stakeholders overcome strategic barriers to the successful attainment of South Africa’s Integrated Resource Plan target of 3,320 MW of wind power</p>	<p>Generation from wind farms (GWh) - produced or contracted by Year 4 of project implementation.</p> <p>Number of individuals benefiting from wind-generated electricity by</p>	<p>1,983 MW from W1 to W3 of REIPPPP.</p> <p>980,990 individuals benefit per year from wind-generated electricity</p>	<p>1,367 GWh cumulative by end-2018.</p> <p>74,230 individuals will benefit annually from project-supported new wind-generated</p>	<p>DoE IPP Unit reports Eskom System Operations</p>	<p>Production estimate based on Bidding Windows 1, 2 and 3 (BW1, BW2 and BW3) capacity and average capacity factor of 26%.</p>

generation online by 2018/19.	Year 4 of project implementation. Incremental tonnes of CO ₂ emissions reduction due to wind energy capacity contracted by Year 4.	installed under W1-W3 of REIPPPP. ⁴³ 102,423,216 tCO ₂ over 20 years, as at 2017	electricity. ⁴⁴ Direct greenhouse gas reductions of 70,378 tCO ₂ cumulative by end-2018 (using a conservative 5% project causality factor).		
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Component 1: Monitoring and verification of the implementation of local content requirements for wind energy procurement mechanisms

Objectives/Outcomes	Indicators	Baseline (Year 0)	Target	Sources of Verification	Assumptions
Mechanisms in place for objective, evidence-based assessment and verification of progress in implementing localisation initiatives, taking into account any correlations between local content requirements, investment metrics (e.g. generation capacity, financial returns, costs, prices, etc) and socio-economic development (e.g. employment creation).	Detailed assessment on economic, socio-economic and enterprise development impacts of REIPPPP	<p>GIZ-supported reporting system in place at DoE IPP Unit. Quarterly reports filed by IPPs but no verification. No systematic review and consolidation of lessons learned.</p> <p>2 Implementation of a Climate Change Mitigation M&E system by DEA, expected to become operation mid-July 2015⁴⁵.</p>	<p>1.1 Enhanced capacity of DoE IPPP Office to strengthen M&V system</p> <p>1.2 Quarterly reports since 2015 on REIPPPP progress in RE, including wind, localisation and socio-economic development (SED) published.</p>	<p>At least one report containing assessment, analysis, and recommendations</p> <p>REIPPPP reports / discussions with DoE IPP Unit;</p>	<p>M&V system will be compatible with GIZ-sponsored Reporting System used by DoE IPP Unit and DEA's Climate Change Mitigation M&E (CCM M&E) system that is expected to become operational in 2015. It is also expected that the CCM M&E system will be used to assess the CO₂ emissions effects of localisation.</p> <p>M&V system to focus on at least: (i) additional investments (ZAR billions) in wind farms by Year 4 of project implementation; (ii) trends in share of procurement</p>

⁴³ Estimated as follows: 1,983 MW of wind to be installed under Windows 1-3 of the REIPPPP. With an average capacity factor of 26%, this implies 4,516 GWh of wind-generated electricity per year. Annual per capita electricity consumption in South Africa (2011) is 4,604 kWh (i.e. 0.004604 GWh). This implies the electricity generated by wind is sufficient to provide the equivalent of 980,990 individuals with their annual electricity needs.

⁴⁴ Using a similar estimation methodology: 1,367 GWh to be generated cumulatively by project-supported new wind capacity, implying an annual average of 342 GWh – equivalent to the average annual electricity consumption of 74,230 South Africans.

⁴⁵ This will be complemented by a process to determine Desired Emission Reduction Objectives (DEROs), which is expected to be completed by end-2014, as well as the planned update of South Africa’s GHG inventory.

⁴⁶ For the benefit of at least DoE, DTI, SAWEA and participating local manufacturers.

					spend attributed to locally-produced components and related services, taking into account DTI’s Localisation Roadmap; (iii) trends in REIPPPP prices correlated with requirements for local procurement of components; and, (iv) trends in socio-economic development, job-creation, and enterprise development.
Component 2: Resource-mapping and wind corridor development support for policy-makers					
Objectives/Outcomes	Indicators	Baseline (Year 0)	Target	Sources of Verification	Assumptions
Expanded verified wind atlas (WASA ⁴⁷) completed for additional provinces in support of future wind power project development and procurement mechanisms.	2.1 Four masts and related equipment installed in the Northern Cape in WASA 3 bringing total WASA masts to 19	2.1 The installation of 5 masts and related equipment and systems required for the DANIDA-sponsored phase two of WASA (WASA II) underway from mid-2014. Focus on Eastern Cape, KZN and Free State provinces.	2.1 Geographical extension of verified Wind Atlas (WASA) developed for Northern Cape	WASA 3 PIU reports; WASA website.	WASA 3 PIU established at SANEDI will coordinate the implementation of SAWEP II-sponsored WASA 3 sites.

Strategic wind corridors/areas identified and formally approved for all WASA sites.	2.2: Completed and validated high-resolution wind resource map and database Wind energy development focus areas defined in SEA Phase 2	2.2 DEA, CSIR and Eskom scheduled to complete development of WASA I (REDZs) during second half of 2014.	2.2. WASA data processed to produce high-resolution wind resource map covering the whole nation. 2.3 Enhanced capacity within Government to use wind atlas data for energy planning at policy and strategic level	Project reports from DEA. Relevant website(s). IRP 2019	Methodologies similar to those used in the development of WASA I REDZs will be applicable.
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⁴⁷ Wind Atlas of South Africa.

Component 3: Support for the development of the small-scale wind sector					
Objectives/Outcomes	Indicators	Baseline (Year 0)	Target	Sources of Verification	Assumptions
Capacity developed among relevant stakeholders on technical, financial, regulatory and socio-economic aspects of small-scale wind projects.	At least two small-scale wind farm demonstration projects developed in Eastern Cape and monitored	No small-scale wind farms installed. GIZ support for SALGA and AMEU ⁵⁰ towards integration of small-scale solar PV in municipal distribution systems, as well as DTI's study on small-scale RE.	3.1 Establishment of small-scale wind demonstration projects (electric, water pumping) 3.2 Publicly available Monitoring and Evaluation (M&E) Report on demonstration small-scale wind farm project.	SAWEP II project reports.	SAWEP II's role will be limited to technical assistance only.
Component 4: Training and human capital development for the wind energy sector					

Objectives/Outcomes	Indicators	Baseline (Year 0)	Target	Sources of Verification	Assumptions
Enhanced local stakeholders' capacity to manage, operate and maintain wind farms in a given area based on best practice models developed in other countries.	<p>Increased number of Tertiary Institutions e.g. Technical and Vocational Education and Training (TVET) colleges participating in wind energy vocational apprenticeship programme.</p> <p>Receiving training in technical, management, operation and maintenance of wind technology</p>	TVET college actively pursuing participation in wind energy vocational skills development.	<p>4.1 Number of Tertiary institutions e.g. TVETs = maximum 5.</p> <p>4.2 Number of WTST students supported and graduated 24 (30% female)</p> <p>4.3 Number of graduate and post graduate students wind energy training sponsorships (60)</p>	<p>Project reports.</p> <p>DHET reports/publications.</p> <p>SARETEC reports.</p> <p>Support to SAWEA WindAc event</p> <p>Support of wind energy courses at tertiary institutions</p>	Close collaboration with DHET, SARETEC, GIZ and SAWEA members with operations in the Eastern Cape in place.

⁴⁹ This will result in a cumulative total of 9 masts being installed for phase two WASA.

⁴⁸ Includes selected staff members and officials from relevant state-owned agencies and the local government sphere.

⁵⁰ South African Local Government Association and Association of Municipal Electricity Utilities, respectively.

ToR Annex B: Project Information Package to be reviewed by TE team

#	Item (electronic versions preferred if available)
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
6	Inception Workshop Report
7	Mid-Term Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO Endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
18	Sample of project communications materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
20	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
21	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or “catalytic” results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)
25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes
	<i>Additional documents, as required</i>

ToR Annex C: Content of the TE report

- i. Title page
 - Title of UNDP-supported GEF-financed project
 - UNDP PIMS ID and GEF ID
 - TE timeframe and date of final TE report
 - Region and countries included in the project
 - GEF Focal Area/Strategic Program
 - Executing Agency, Implementing partner and other project partners

- TE Team members
- ii. Acknowledgements
- iii. Table of Contents
- iv. Acronyms and Abbreviations
- 1. Executive Summary (3-4 pages)
 - Project Information Table
 - Project Description (brief)
 - Evaluation Ratings Table
 - Concise summary of findings, conclusions and lessons learned
 - Recommendations summary table
- 2. Introduction (2-3 pages)
 - Purpose and objective of the TE
 - Scope
 - Methodology
 - Data Collection & Analysis
 - Ethics
 - Limitations to the evaluation
 - Structure of the TE report
- 3. Project Description (3-5 pages)
 - Project start and duration, including milestones
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address, threats and barriers targeted
 - Immediate and development objectives of the project
 - Expected results
 - Main stakeholders: summary list
 - Theory of Change
- 4. Findings
(in addition to a descriptive assessment, all criteria marked with (*) must be given a rating⁸)
 - 4.1 Project Design/Formulation
 - Analysis of Results Framework: project logic and strategy, indicators
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g. same focal area) incorporated into project design
 - Planned stakeholder participation
 - Linkages between project and other interventions within the sector
 - 4.1 Project Implementation
 - Adaptive management (changes to the project design and project outputs during implementation)
 - Actual stakeholder participation and partnership arrangements
 - Project Finance and Co-finance
 - Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
 - UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues
 - Risk Management, including Social and Environmental Standards (Safeguards)
 - 4.2 Project Results and Impacts
 - Progress towards objective and expected outcomes (*)

⁸ See ToR Annex F for rating scales.

- Relevance (*)
 - Effectiveness (*)
 - Efficiency (*)
 - Overall Outcome (*)
 - Sustainability: financial (*), socio-economic (*), institutional framework and governance (*), environmental (*), and overall likelihood (*)
 - Country ownership
 - Gender equality and women’s empowerment
 - Cross-cutting Issues
 - GEF Additionality
 - Catalytic/Replication Effect
 - Progress to Impact
5. Main Findings, Conclusions, Recommendations & Lessons
- Main Findings
 - Conclusions
 - Recommendations
 - Lessons Learned
6. Annexes
- TE ToR (excluding ToR annexes)
 - TE Mission itinerary, including summary of field visits
 - List of persons interviewed
 - List of documents reviewed
 - Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Questionnaire used and summary of results
 - Co-financing tables (if not include in body of report)
 - TE Rating scales
 - Signed Evaluation Consultant Agreement form
 - Signed UNEG Code of Conduct form
 - Signed TE Report Clearance form
 - *Annexed in a separate file:* TE Audit Trail
 - *Annexed in a separate file:* relevant terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

ToR Annex D: Evaluation Criteria Matrix template

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff,</i>

			<i>interviews with stakeholders, etc.)</i>
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?			
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?			
Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?			
<i>(Expand the table to include questions for all criteria being assessed: Monitoring & Evaluation, UNDP oversight/implementation, Implementing Partner Execution, cross-cutting issues, etc.)</i>			

ToR Annex E: UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

ToR Annex F: TE Rating Scales

<p>Evaluators/Consultants:</p> <ol style="list-style-type: none"> 1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded. 2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results. 3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle. 4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported. 5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth. 6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations. 7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation. 8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented. 9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project’s Mid-Term Review. <p>Evaluation Consultant Agreement Form</p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System:</p> <p>Name of Evaluator: _____</p> <p>Name of Consultancy Organization (where relevant): _____</p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Signed at _____ (Place) on _____ (Date)</p> <p>Signature: _____</p>

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings	4 = Likely (L): negligible risks to sustainability
5 = Satisfactory (S): meets expectations and/or no or minor shortcomings	3 = Moderately Likely (ML): moderate risks to sustainability
4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings	2 = Moderately Unlikely (MU): significant risks to sustainability
	1 = Unlikely (U): severe risks to sustainability

